

## Minutes of the Executive Committee

Monday, January 25, 2010

Dwyer called the meeting to order at 8:30 a.m.

**Present:** Supervisors Jim Dwyer (Chair), Bonnie Morris, Fritz Ruf, Tom Schellinger, Duane Paulson, Pat Haukohl, and Dave Swan.

**Also Present:** Chief of Staff Mark Mader, Information Systems Manager Mike Biagioli, Health & Human Services Deputy Director Don Maurer, Land Information Systems Manager Don Dittmar, Treasurer Pam Reeves, Register of Deeds Jim Behrend, Emergency Preparedness Director Richard Tuma, Internal Audit Manager Lori Schubert, Renee Messing and Jeff Lemmermann of Clifton Gunderson LLP, Director of Administration Norm Cummings, Director of Public Works Allison Bussler, Business Manager Betsy Crosswaite, Highway Operations Manager Pete Chladil, Emergency Management Coordinator Bill Stolte, Collections & Business Services Manager Sean Sander, Budget Specialist Linda Witkowski, Business Services Administrator Donn Hoffmann, Infrastructure Administrator Al Mundt, Legislative Policy Advisor Sarah Spaeth, Principal Business Analyst Toni Limoni, Dave Kragenbrink, and Supervisors Jean Tortomasi, Steve Wimmer, and Bill Zaborowski. Recorded by Mary Pedersen, County Board Office.

### **Update on the Following Information Technology Projects**

CAD Geo-Based System Selection – Tuma said the RFP process produced two viable proposals out of about 16. Both vendors did well on benchmarking and their proposed equipment could handle the County's work volume. Questions remain on how the vendors will handle the County's geo-based addressing system which will need to be answered before we proceed further with them. If the vendors' systems cannot handle this, the process will start over. Tuma advised that the benchmarking issue discouraged some vendors from bidding, vendors who could have handled the addressing, because of it being so labor intensive. Dwyer noted the County spent \$110,000 on a consultant to work on the RFP and was concerned as to how much more money will go into this. Ruf suggested changing the address system. Tuma responded there are political issues and a resistance to change. In addition, Morris said changing the current system would cost around \$2 million and Dwyer felt the unique addressing system benefits dispatch. After a lengthy discussion, Dwyer suggested agendaizing this issue for all future Executive Committee meetings until it is resolved.

Tax System – Sander said three of the five components of the tax system (listings, billings, and lottery credit) have been completed. Collections and municipal settlements are still a work in progress. Staff are working with the vendor and Treasurer Reeves to implement a cashiering process that meets Reeves' needs. To answer Dwyer's question, Sander said staff is planning to test the settlement component. Reeves said the tax system is going well. However, cashiering will take some time. The tax system must be integrated with cashiering so her staff can do collections. Dwyer asked Sander when the collection and settlement components might be finished. Sander said they are currently in the testing mode and fine tuning development. He estimated tests would be

run at the end of January and end of July. Reeves said her office cannot take payments on the cashiering system. The systems are not running parallel and there is a lack of communication. Sander agreed and said they are not in a position to fully run parallel but can test portions of what has been developed to date.

Countywide Cashiering – Sander said cashiering has been implemented in the Register of Deeds Office with some minor issues that staff are working on. Staff have decided no implementation in any other departments until issues concerning the Treasurer’s Office and Register of Deeds Office are resolved. Biagioli advised that the vendor is not receiving any additional compensation until these issues are fixed. Staff are also talking with the vendor about implementing a backup system for each department in the event the County’s server stops communicating. Behrend said cashiering is up and running but trying to integrate two vendors’ systems has been difficult, of which he gave examples. The system does not seem to move along as fast as it should and they have had to resolve a variety of issues. Reeves said they are unable to batch payments and there have been communications issues with the two systems. Cummings said countywide cashiering will be a challenge and will not be perfect whereby he spoke of the State of Wisconsin which is also having issues. He believes there will be more enterprise-wide cashiering systems available in the future. Reeves explained those components the vendor said they could provide during the RFP process but to date have not including a back up system/off-line mode, maintenance log, batched payments, etc. Sander said while not everything has gone smoothly, there have been a number of successes. There are always difficulties when implementing new systems.

HHS Automation – Biagioli said staff did a site visit to look at the modules in a real, functioning environment before deciding whether to implement them here. Several comments from the evaluation group led staff to believe the components were prohibitively expensive for HHS to maintain in the future. Maurer agreed and spoke about this issue further. Biagioli indicated an RFP is being developed for both a case management system and a complementary system to replace the People Links system. Cummings said they are very hopeful there will be some competing products. Maurer said the new RFP should be completed during the second quarter of this year.

HR System – Hoffmann indicated that HR staff asked IT staff last year to assist in developing an automated in-house application system that processes applicants coming through the system, or look for an outside vendor. Eventually, staff decided to contract and lease software with Neo-Gov that specializes in applicant tracking processing. Neo-Gov was implemented in May of last year and between May and December 31, 2009, Hoffmann said 4,317 applications came through the system at a cost of \$2,472.20. Had HR done this manually, it would have cost \$17,528.30. Dwyer spoke of issues he had while using the new system and felt HR should do follow-ups with the departments that use the system for input. Cummings said they would do this.

Tract Index System – Biagioli said we recommended that Manatron take advantage of our in-house expertise when testing the conversion data. They chose not to and County staff are still correcting conversion issues between the two systems. The data warehouse cannot be updated or rolled out until these issues are corrected. It did go live November 16 but there is no system running parallel. Behrend said County staff and Manatron staff are working to resolve these issues and things should improve in a few months.

Electronic Content Management – Biagioli advised an RFP was posted during the fourth quarter of 2009 to select a consultant to assist in developing a roadmap of the County’s electronic data. Standard business rules and retention rules will apply. The goal of this project is to reduce the County’s paper footprint as much as possible yet maintain adequate retrieval capabilities. Biagioli said this process is moving along well.

**Presentation and Discussion of General Controls Audit of Information Technology (IT)  
Network Operations**

Schubert introduced Messing and Lemmermann of Clifton Gunderson, LLP. Biagioli, Mundt, and Cummings were also present to discuss this item. Schubert advised that she will be sending out a brief memo prioritizing the remaining recommendations. Those present highlighted the report as outlined including the Executive Summary, Summary of Audit Recommendations, etc.

Lemmermann indicated the overall IT environment was very good. He stated that many of the findings were common to similar sized organizations. There were some key findings. Several findings were resolved during the audit fieldwork and are noted in the report. The audit objective was to perform a general controls audit of the Information Technology Network Operations of Waukesha County. The primary objective of the general controls audit was to determine the effectiveness of the County’s information system internal control structure. The control structure included organization environment controls, system access and security controls, application development controls, system software controls, processing controls, and disaster planning and contingency controls.

In reviewing the systems and activities, the auditors found that the County employs a number of sound procedures in maintaining protections over information. However, the auditors did find weaknesses in general controls, particularly related to security program planning and management, access controls, and application software development and change controls. These include: 1) no consistent vendor management policy in place across the organization, 2) user access reviews on application and network access are not being performed in a number of primary areas, 3) user education on information security requirements could be strengthened, 4) internal processes for installing and monitoring software upgrades and patches to fix security vulnerabilities are not adequate, and 5) documentation and logging of requests, testing, approvals and implementation of changes to application software is sometimes not adequate.

Lemmermann said, in general, many of the findings are common findings of other organizations they have examined. In comparison to other governmental entities of similar size, Waukesha County generally compares favorably in its attention to information security concerns and overall organization and development of the IT function. To quantify this in letter grade terms as requested by Swan, Lemmermann gave the County a B+. Biagioli, Mundt, and Cummings explained how staff will address each of the audit recommendations. No major concerns were voiced. Biagioli talked about how IT staff will handle assignments and advised the implementation of the remaining recommendations will be long-term. He said staff will work through this so they get to a point where they can take on the additional functionalities. Schubert and Lemmermann said the audit

process went very well and a great deal of cooperation was noted. Cummings said he feels the County will have a much better operation as a result of this audit.

**Appointments 164-A-031: Appointment Of Kurt Bauer As Waukesha County Surveyor**

MOTION: Paulson moved, second by Ruf to approve Appointment 164-A-031. Motion carried 7-0.

**Appointment 164-A-032: Appointment Of Beth Harris To The Big Bend Village Library Board Of Trustees**

MOTION: Morris moved, second by Haukohl to approve Appointment 164-A-032. Motion carried 7-0.

**Discuss and Consider Ordinance 164-O-072: Amend Capital Project 200827 State Salt Shed Project To Increase Expenditures And Revenues**

Crosswaite said the State has agreed to reimburse the County for additional costs incurred resulting from the construction of the State salt shed totaling \$50,000. This payment was included in the final contract. Copies of the revised capital project plan were distributed. Dwyer said revenues were listed incorrectly at \$500,000. That figure should read \$550,000.

MOTION: Swan moved, second by Haukohl to approve Ordinance 164-O-072. Motion carried 7-0.

**Discuss and Consider Ordinance 164-O-073: Repeal And Recreate Sections 17-1 And 4-170 Of The County Code Of Ordinances To Update Emergency Management Provisions**

Stolte and Tuma were present to discuss this ordinance as outlined. Stolte distributed a handout which summarizes changes made by the State. Many of the statutes related to Emergency Management were scattered within the State Statutes and now they will be under one section. The State also made some wording changes. Stolte said their challenge was to identify what needed to be changed locally whereby Corporation Counsel staff identified two areas in the County Code which required wording changes.

MOTION: Swan moved, second by Ruf to approve Ordinance 164-O-073. Motion carried 7-0.

**Committee Reports by Committee Chairs for the Following Meetings**

January 14, 2010 Public Works Committee – Swan said the committee approved the bid for the Highway Operations water main loop, approved two ordinances that were referred in the last cycle, heard a report by Public Works Director Allison Bussler on the Highway Conference, and discussed the County/State Routine Maintenance Agreement.

January 15, 2010 Judiciary & Law Enforcement Committee – Morris said the committee heard a presentation by Clerk of Circuit Courts staff on fines and forfeitures including how they are generated and collected, and approved six ordinances that were referred in the last cycle.

January 19, 2010 Land Use Committee – Ruf said the committee approved two ordinances and two resolutions referred in the last cycle which he explained briefly.

January 19, 2010 Personnel Committee – Schellinger said the committee approved the ordinance on salary and benefits for non-represented employees.

January 20, 2010 Finance Committee – Haukohl said the committee approved eight ordinances referred in the last cycle, approved the ordinance on salary and benefits for non-represented employees as amended by the Personnel Committee, approved two contract procurement processes, and heard the annual report on the County’s disposal of fixed assets.

**Correspondence**

Copies of the most recent list of correspondence were distributed.

**Meeting Approvals**

MOTION: Morris moved, second by Swan to approve expenses for any Executive Committee members wanting to attend the WCA Legislative Exchange February 9 and 10 in Madison. Motion carried 7-0.

MOTION: Swan moved, second by Haukohl to approve expenses for any Executive Committee members wanting to attend the NACo Legislative Conference March 6-10. Motion carried 7-0.

**Legislative Update**

For informational purposes, copies of Legislative Policy Advisor Dave Krahn’s updated chart on State legislation were distributed.

MOTION: Ruf moved, second by Haukohl to adjourn at 12:34 p.m. Motion carried 7-0.

Respectfully submitted,

Bonnie J. Morris  
Secretary