

**SUBMITTAL TO THE BOARD OF SUPERVISORS  
COUNTY OF RIVERSIDE, STATE OF CALIFORNIA**

507



**FROM:** Riverside County Information Technology

**SUBMITTAL DATE:**  
July 19, 2011

**SUBJECT:** The Chief Information Officer Information Technology (IT) Strategic Plan 2011-2014

**RECOMMENDED MOTION:** That the Board of Supervisors:

1. Approve the IT Strategic Plan 2011-2014; and,
2. Approve the Information Technology Governance structure for Riverside County.

**BACKGROUND:** On March 22, 2011 (M.O. 3.1) the Board of Supervisors was presented with my 90-day Report that provided an initial review of the current information technology framework in the county along with a strategy to focus on enterprise services that provide cost savings and improve efficiency and effectiveness throughout the county. Following this initial report is now the development of a three-year strategic plan for your approval. *(Continued on Page 2)*

Departmental Concurrence

*Nathan J. Colodney*  
\_\_\_\_\_  
Nathan J. Colodney  
Chief Information Officer

<b>FINANCIAL DATA</b>	<b>Current F.Y. Total Cost:</b>	\$ N/A	<b>In Current Year Budget:</b>	N/A
	<b>Current F.Y. Net County Cost:</b>	\$ N/A	<b>Budget Adjustment:</b>	N/A
	<b>Annual Net County Cost:</b>	\$ N/A	<b>For Fiscal Year:</b>	11/12 – 13/14

<b>SOURCE OF FUNDS: N/A</b>	<b>Positions To Be Deleted Per A-30</b>	<input type="checkbox"/>
	<b>Requires 4/5 Vote</b>	<input type="checkbox"/>

**C.E.O. RECOMMENDATION:**

**APPROVE**

BY: *Serena Chow*  
\_\_\_\_\_  
Serena Chow

**County Executive Office Signature**

Consent  
 Policy  
  
 Consent  
 Policy  
  
 Dep't Recomm.:  
 Per Exec. Ofc.:

**Prev. Agn. Ref.:**

**District:**

**Agenda Number:**

ATTACHMENTS FILED  
WITH THE CLERK OF THE BOARD

3.86

**BACKGROUND:** (Continued)

Update on 90-day Report Initiatives:

**Directory Services:** The County initiative to establish Enterprise Directory Services has been defined and the scope of the project will include the review of existing directory service deployments and uses, the establishment of a county directory consortium, and the development and implementation of enterprise directory design. Departmental technology staff will be contacted to form the consortium and begin work on the directory design and implementation strategies. This project will be a collaborative effort between departmental Information Technology Officers (ITOs) and the CIO's staff, and will be monitored by the Executive Technology Committee (ETC).

**Data Center Consolidation:** The CIO's staff, working in conjunction with County departments, is currently conducting an inventory of data center facilities throughout the County. A physical inspection of each site will be performed and an operational sustainability rating will be assigned. As with other projects, this is a collaborative effort with departmental ITOs. The result will be a report submitted through the ETC up to the ITGC for discussion and a decision on the next step. Staff is also conducting a security and relocation evaluation of the RCIT data center located on the 10<sup>th</sup> floor of the Riverside CAC.

Strategic Plan

The enclosed strategic plan promotes a vision of County information technology that provides user-friendly systems for the benefit of our citizens, businesses and County employees. The plan establishes goals and objectives for the next three years. The plan does not mandate specific actions. Rather, the accomplishment of goals and objectives is based on departments executing those things necessary to accomplish their normal course of business, as well as collaboration among departments, both formal and informal, through the Executive Technology Committee and Information Technology Governance Committee (ITGC). This document has been reviewed and endorsed by the ITGC.

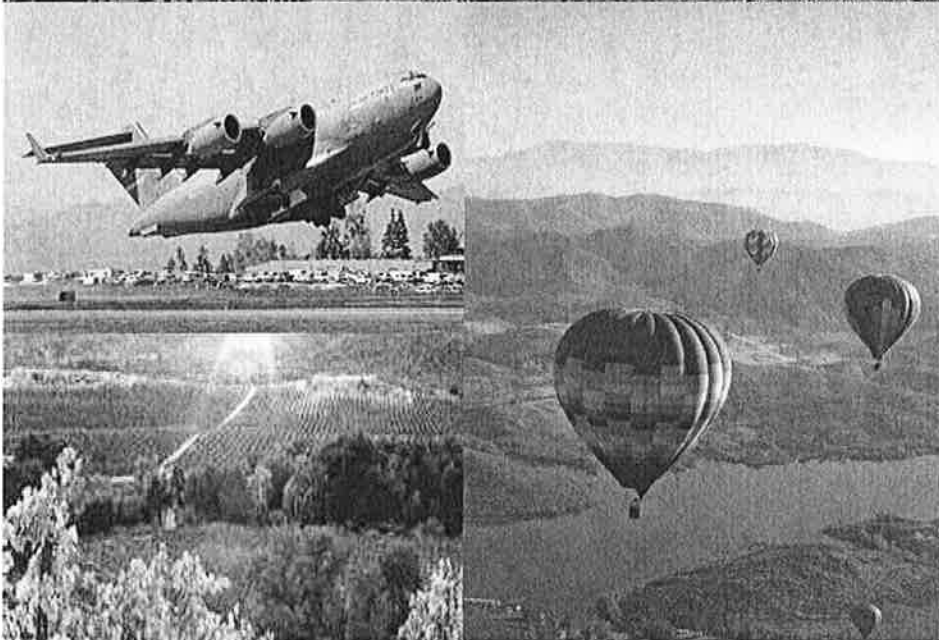
Information Technology Governance in Riverside County

IT governance is the framework within which IT decisions and policies are made, administered and enforced. The enclosed Information Technology Governance document lays the foundation for roles and responsibilities of the IT governance team and the structure to support enterprise IT strategies and County/Departmental business objectives. This document has been reviewed and endorsed by the ITGC.



IT STRATEGIC PLAN 2011 - 2014

## STRATEGIC ACTIONS FOR EXCELLENCE



Authored by: Office of the CIO  
July 14, 2011

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## MESSAGE FROM THE CHIEF EXECUTIVE OFFICER

### BACKGROUND

In 2008, a change in economic conditions within the County resulted in the Board of Supervisors focusing on developing efficiencies to lower operational costs. Concurrently, the County must stay abreast of changes in technology to ensure a high level of service to internal and external customers. Therefore, identifying and applying to the County operational best practices in both the public and private sectors is essential.

The County's IT environment is marked by approximately 27 different IT units. The Riverside County Information Technology (RCIT) department focuses most heavily on providing enterprise services, such as communications services to all departments. However, it also provides commodity services, such as desktop support and data center services to a variety of departments.

Meanwhile, the remaining IT units provide customer support ranging from helpdesk services for basic productivity tools (Microsoft Office) to computer break-fix to support for departmental unique business applications, as well as systems development and deployment services. Many of the individual IT units within departments maintain their hardware in a wide-variety of facilities ranging from make-shift space to what some refer to as data centers. Thus, while departments have unique business systems, there is also significant duplication of services across the County.

In 2009, a formal IT governance process was put in place with the establishment of the Information Technology Governance Council (ITGC). This body consisted of select department heads split into two committees, Policy and Steering, both led by the Assistant CEO. Independent of the ITGC was the Executive Technology Committee (ETC), led by the Chief Information Officer (CIO). The ETC was self-confined primarily to technical issues while the ITGC focused on strategic endeavors focused on lowering costs and increasing efficiency.

Recognizing the need for a new paradigm in IT management, in 2010 the County hired a new CIO, with the intent to change the CIO's focus from the management of RCIT to county-wide strategic management. This plan is the second step in establishing the new paradigm of IT as a county-wide strategic resource. It addresses the need to clarify and strengthen information technology governance to allow projects and processes to be implemented in a coordinated fashion and expand the use of technology to provide improved services both within the organization and to external customers.

My objectives include:

- Improve the county-wide IT structure and quality of service;
- Identify and maximize the value of the County's overall technology investment;
- Implement an overall information technology management strategy and structure that reports to the County Executive Officer;
- Enhance the County Executive Officer's close oversight of all enterprise-wide information technology projects and systems;
- Reduce IT operating expenses across the County;
- Clarify and strengthen the County's information technology governance structure;
- Expand the use of technology to provide improved services, both within the organization and externally to customers and clients;
- Develop strategic information technology plans for every County department;
- Aggressively pursue GIS and government opportunities to facilitate data exchange;
- Define RCIT's core services for customers;
- Instill a culture of collaboration in the IT units across the County;
- Define and leverage departmental responsibilities for IT, and;
- Adopt a multi-year financial plan for technology investments.

## **THE PLAN**

This document presents a strategic plan that establishes a high level direction for information technology throughout the County<sup>1</sup>. It provides a definition of the County's Vision for IT, the Mission common to all IT organizations in the County, and identification of key Strategic Goals, Objectives, and Initiatives. It does not replace departmental information technology plans, nor does it make achieving the all the goals and objectives mandatory within a specific timeframe. However, information technology endeavors undertaken by departments in the normal course of business should support the County's goals and objectives.

The focus at the front-end of the Plan is on two immediate initiatives:

- Enterprise Service: eliminating redundancy and facilitating new service delivery methods
- Business Continuity/Recovery Services/Protection of IT Assets: ensuring the continuity of service in the face of a natural disaster and physically protecting the County's IT investments

Another key initiative is the implementation of an extended IT governance structure and process to define how best to organize our IT resources, fund IT initiatives, and ensure we realize the maximum value for our IT investments.

## **VISION FOR INFORMATION TECHNOLOGY**

Citizens, businesses, and County employees can easily and conveniently conduct business with the County at their convenience via user-friendly systems.

## **MISSION COMMON TO ALL COUNTY IT ORGANIZATIONS**

To provide user-friendly and highly responsive services to users through innovative, collaborative, and fiscally responsible technology solutions.

## **GOALS, INITIATIVES AND OBJECTIVES**

Five goals have been established to support the achievement of the County's mission. Each goal is followed by one or more objectives. The objectives will be achieved through strategic initiatives to help close the gap between where County IT is today and where it needs to be in the future. Some initiatives are very broad, and thus, will consist of numerous projects. A description of each goal, with the supporting objectives and initiatives appears below.

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<sup>1</sup> Special thanks to Santa Barbara County, whose plan was used as a model for this document.

Each of the five goals was analyzed from four perspectives to identify what needs to be accomplished from a 360-degree view. The four perspectives are:

- **User perspective:** "How can we use information technology to meet internal and external user expectations and achieve their business requirements?"
- **Financial perspective:** "How will we effectively use and leverage taxpayer dollars to ensure good value for our technology expenditures?"
- **Internal process perspective:** "Where do we need to excel and what processes should we streamline to satisfy stakeholders, partners and County elected officials?"
- **Learning / growth perspective:** "What will we do to ensure organizational performance improvement, change, and learning?"

## **STRATEGIC GOALS**

**Goal 1:** County IT investments result in the efficient and effective management of IT resources.

**Goal 2:** IT systems and applications are comprehensive, integrated, and user friendly.

**Goal 3:** Users can access information and request services at their convenience.

**Goal 4:** Internal and external users can access data, as appropriate, for decision-making.

**Goal 5:** County IT employees are provided tools and training that enable them to work collaboratively to provide the County with the highest quality customer service and support.

## **INITIATIVES**

### **Enterprise Services**

This initiative is the foundational project of the 1000-Day Plan. The goal is to enable departments to continue self-determination over their unique business systems while implementing common applications at the enterprise-level. Enterprise services permits a single instance of an application to serve the entire County, as opposed to each department maintaining hardware and software, thus multiplying both across the County. The scope of this strategy is to identify and implement and strengthen enterprise services when economically beneficial for those services used by multiple departments.



*Key objectives include:*

- Maximize the value of existing applications while reducing County-wide costs
- Provide enterprise access to applications currently accessible to limited departments where appropriate
- Establish the technical foundation for the adoption of applications designed for enterprise level services, as well as cloud services

**Business Continuity/Recovery Services/Protection of IT Assets**

Enabling the County to access data after a natural disaster to continue providing services to citizens and the County leadership is critical. To do so, costly hardware assets and data resources must be protected. The County's dependence on the use of IT for service delivery is especially important in times of emergency when speed and efficiency could affect lives. The County will develop an IT business continuity and disaster recovery plan based upon County and departmental business needs. This will include reviewing existing disaster recovery plans, assessing current data center facilities, and conducting a Business Impact Analysis to identify critical applications and related hardware, software, services, etc. An important goal is to balance risk versus cost when making recommendations. Risk measures will also be developed.

*Key objectives include:*

- Prevent and mitigate the risks of IT disasters
  - Reduce risk of partial failures
  - Minimize potential of complete system failures
- Prevent and mitigate the risks of non-IT disasters on IT resources
- Leverage current and future technology investments
- Prepare for disasters
- Partner with OES in disaster planning activities

**GIS Integration and Enhancement**

Riverside County has a significant investment in geographic data. However, it is highly decentralized to numerous departments and not well-suited to cross-departmental or public use. The focus of this initiative is to maximize the County's existing Geographic Information System (GIS) resources and to expand its GIS capabilities to support internal and external customers' geographic information needs. The scope of the initiative is to design and develop an enterprise geographic information data warehouse.

The identification of user needs, development of a logical data model, construction of a data warehouse, data loading and the development of interactive mapping applications to present data geographically are essential. County departments and the public will be able to access and analyze data, thus enabling the identification of further areas for investments.

*Key objectives include:*

- Translate geographic data into user-friendly information
- Make geographic information available internally and externally for decision-making

### **IT Governance**

IT Governance is the framework within which IT decisions and policies are made, administered and enforced. The governance process reflects an appreciation of the importance of the County's culture, the mission of departments, and the business processes affected by changing technologies within a large, complex and rapidly evolving information centric environment.

IT Governance is concerned primarily with two things: (1) Ensuring IT investments deliver maximum value to the enterprise, and; (2) mitigation of IT risks.

*Key objectives include:*

- Implement and institutionalize an IT Governance structure that will provide guidance on the management of information technology and a framework for making timely IT decisions
- Clearly define the process, rules, agreements and standards appropriate for the County's needs
- Ensure IT resources are deployed to deliver maximum value
- Ensure appropriate management of IT-related risks, and
- Ensure that IT investments meet the following standards:
  - Alignment of IT with the enterprise
  - Realization of the promised benefits
  - Support County strategic planning activities and the budget process

### **IT Employee Management**

A highly-trained, flexible IT workforce is essential in achieving the vision set forth in this 1000-Day Plan, as well as meeting the everyday business needs of County departments. Like many public organizations, the County struggles to attract and retain qualified IT staff. This challenge is further exacerbated by the rapid speed at which technology changes and the ever evolving skill-sets needed to capitalize on new technologies.

The scope of this initiative is to develop plans and programs to recruit, train, develop and retain qualified information technology experts. This will include the identification of staff skills required to meet the County's needs and development of plans and programs to enhance, develop and maintain those skill sets.

*Key objectives include:*

- Recruit, train and develop employees to support the County's IT
- Provide the highest quality service with a well-trained staff
- Become the local IT employer of choice
- Increase the flexibility of the IT classification and compensation structure
- Recognize the value of shared training and cross-department teams to ensure business continuity
- Recognize staff for their achievements

### **Infrastructure Development/Modernization**

Providing an adequate infrastructure is essential in today's technology environment. The goal of this initiative is to ensure the County's IT components are aligned with the County's core goals and strategic direction. An infrastructure blueprint must be maintained that ensures the infrastructure matches the technology requirements to provide services to internal and external users to meet the County's current and future needs.

*Key objectives include:*

- Develop a blueprint of the to-be infrastructure
- Develop a scalable and flexible technology infrastructure
- Leverage County hardware and software resources
- Develop a funding strategy to ensure the sustainability of the infrastructure

## IT Security Program

IT security is a basic responsibility of organizations and users. Citizens and businesses trust the County to safeguard their personal information, and taxpayers expect County IT investments will be protected. The County currently has security policies and procedures in place to do both. However, more will be done to develop a comprehensive IT security program to ensure the safety of sensitive and confidential information from the desktop to the host.

Key objectives include:

- Develop security policies and procedures to protect the County's information assets regardless of technology platform
- Implement procedures to mitigate the impact of IT security incidents
- Develop a security awareness program
- Balance security measures with the need to get work done

## IT Best Practices

Best practices are a means to capitalize on established processes to maximize value. IT organizations in the County should endeavor to ensure that all the components of IT systems and processes work together in the most effective manner. The Best Practices initiative will identify and implement those IT best practices that result in significant cost savings, and more effective technology acquisition and implementation.

Examples include:

- Resource optimization
- Shared knowledge forums/Collaboration
- IT research and development

The *Resource Optimization* component will establish a process that provides for on-going evaluation, tracking and reporting of IT resource utilization (hardware, software, staff) to ensure they are being used to their fullest capacity. *Shared Knowledge Forums/Collaboration* will establish venues for information sharing and education both within and outside the County to enhance decision-making ability and cross agency/department collaboration, reduce duplicative efforts through communication and partnering, and identify opportunities for leveraging resources. The *IT Research and Development* component encompasses developing a program that ensures the County can cost-effectively identify and test technological tools that may help departments achieve their future business needs.

*Key objectives include:*

- Coordinating the pursuit of new technologies by County IT staff
- Establishing a technical environment that facilitates the identification and testing of technological tools for County departments
- Ensuring County IT staff understand the businesses they support and the implications of implementing new technologies
- Creating a customer-friendly test lab to facilitate testing and problem-solving

### **Citizen Technology Outreach**

The focus of this initiative is the development of a program to identify and reach out to County customers, clients and providers who do not normally use technology for reasons such as limited access to it. The CIO should partner with other agencies to make surplus equipment available for their use, and provide training and assistance to encourage use of the County's online services.

*Key objectives include:*

- Introduce customers and providers to the technology services the County offers
- Encourage and enable as many possible users of online services
- Prepare future customers for effective use of County online services

### **Electronic Content Management**

Enterprise Content Management (ECM) is comprised of the processes and technologies used to capture, manage, store, preserve, and deliver content and documents. It covers the complete life cycle of content from its creation to its destruction.

This initiative is to develop a countywide content management strategy and implementation plan for a realistic approach to electronic content management. This will include strategies for document imaging, storage and retrieval.

*Key objectives include:*

- Reduce the amount of paper circulated and stored by County departments
- Increase timely access to information initiatives

### **e-Government**

There are five main components of the e-Government initiative:

- Implementation of Social media best practices
- Website Harmonization
- Continued Development of a Citizen-Centric Service Structure
- Continued Internet and Intranet Application Development
- Additional Channels for Service Delivery
- Business Process Integration

The *Website Harmonization* component culminates with the implementation of a stream-lined design and supporting structure for the County's web presence that provides internal and external services. It includes the implementation of a *Citizen-Centric Service Structure* offering e-Government services to customers in such a manner that they do not need to be familiar with the County's organizational structure to accomplish their business. The *Internet and Intranet Applications Development* component is the implementation of applications to provide information and services to both internal and external customers via the web. The *Additional Channels for Service Delivery* component will explore the implementation of technology to support multiple access points for County customers by making services available via call centers, service centers and kiosks. Finally, it will be necessary to identify which business processes will be affected by e-Government services and identify opportunities for *Business Process Integration* and sharing of information that will support e-Government service offerings.

*Key objectives include:*

- Provide the highest level of services to customers through innovative IT solutions
- Make it easier for customers to locate the services and/or information they are looking for
- Provide 24 hour availability to customers wherever possible
- Provide additional channels for customer service delivery
- Reduce the number of departmental contacts necessary to conduct a transaction
- Reduce the time it takes to complete transactions
- Identify and prioritize e-Government services desired by customers
- Re-engineer business processes to streamline service delivery and improve information sharing

**Data for Decision-Making**

The goal is to develop a reporting and analysis infrastructure capable of consolidating data from disparate departmental systems into a shared repository/shared repositories. This would streamline the current cumbersome, time-consuming process of finding, aggregating and reporting on data. The scope is to define the strategy and implement tools to facilitate the collection, aggregation, analysis and reporting of data for both internal and external decision-making and to provide training to facilitate effective use of the new tools.

Key objectives include:

- Maximize the value of existing departmental systems and databases
- Enable non-technical users to find and access the data they need to answer questions and make informed decisions
- Develop an enterprise architecture

**MAPPING THE PLAN**

The table below summarizes the key Initiatives and how they map to each of the strategic goals referred to on page 5.

Initiative	Strategic Goals
Enterprise Services	1, 4
Business Continuity/Recovery Services/Protection of IT Assets	1, 3, 4
GIS Integration and Enhancement	1, 2, 3, 4
IT Governance	1, 2, 3, 4
IT Employee Management	5
Infrastructure Development/Modernization	1, 2, 3, 4
IT Security program	2, 3, 4, 5
IT Best Practices	5
Citizen Technology Outreach	3, 4
Electronic Content Management	3, 4
E-Government	1, 3, 4
Data for Decision Making	1, 2, 3, 4

## WAY-AHEAD – NEXT STEPS AND MEASURING PERFORMANCE

### Fiscal Strategies

This 1000-Day Plan positions the County to achieve the vision of improving the ability of internal and external stakeholders to communicate and conduct business with the County. However, financial strategies must be developed to fund the investments addressed herein. The County must pursue new and innovative funding strategies. To this end, County IT organizations will:

- Benchmark current management against best practices to ensure IT organizations are maximizing the value of current expenditures
- Explore additional funding sources, including public/private partnerships;
- Collaborate across departments to reduce the use of external service providers

### Organization Strategies

The County's IT management is highly decentralized, with each department controlling its own IT funding, human resources, and system. To achieve the 1000-Day Plan goals and objectives, there must be a strong commitment to working toward the greater good of the County organization.

The IT governance process is the primary means by which strategic goals can be achieved through a collaborative and cooperative effort. Work is still needed to define an organizational model combining the best of the centralized and decentralized models into a hybrid approach. The County must determine which IT functions and services are best centralized and which are most effectively decentralized to achieve the departmental business goals. This will be addressed once the County's IT Governance structure is fully implemented and functioning effectively.

### IT Governance

As previously mentioned, governance is an enterprise philosophy for how an organization defines who is responsible for what and how decisions are made. To a large degree, it is a political process. IT Governance is the framework for how IT decisions and policies are made, administered and enforced. Due to the increasing importance of information technology in service delivery, the overall objective of the County's IT governance program is to position IT so it can be used strategically and tactically to ensure the sustainability of County operations.



IT Governance has five focus areas:

- Strategic Alignment
- Value Delivery
- Resource Management
- Risk Management
- Performance Management

Implementation of an IT Governance structure is key to successfully completing the goals discussed in this 1000-Day Plan.

### **Measuring Success**

The County is operating in a challenging economic environment marked by the unknown. Even the best-laid plans are subject to change, thus flexibility will be a key to success. Success must be measured and assessed within the overall environment in which this plan is executed, which is likely to change over time. Formal and informal surveys will be taken annually to measure performance and guide course corrections as necessary over the next 1000 days. Indications of success will be when internal (employees and Board of Supervisors members) and external (citizens, businesses, visitors) indicate:

- IT solutions have helped reduce the time and effort it takes to access services and conduct business with the County;
- They have access to a comprehensive repository of information for decision-making and tools that make it easy to interpret the data;
- County information technology investments have resulted improved efficiency and effectiveness;
- Staff have the tools and training that enable them to work collaboratively to meet customer service and support expectations.

## **Information Technology Governance in Riverside County**

The Riverside County IT governance process is based on a commitment to respect the integrity of its departments, as well as a mandate to match enterprise IT strategy to County business objectives.

### ***Background on Riverside County Information Technology***

A key mission of the Office of the Chief Information Officer (OCIO), which consists of Riverside County Information Technology (RCIT) and the Office of Strategic Management is to provide effective information management and efficient delivery of information to all users, both internal and external. The County's Chief information officer (CIO) was appointed by the Chief Executive Officer to realize a vision of leveraging technology to achieve improvements in government service while providing for more efficient IT management for the residents of Riverside County.

The OCIO will accomplish this by developing enterprise information strategies, policies and standards; by overseeing information technology investments; and by creating a secure and efficient information management environment. This must be done in the proper context of business strategies and operational requirements.

IT governance is the set of authorities, processes and procedures whereby strategic and key operational decisions are made for, and on behalf of, the enterprise. The County's IT governance team must operate within the context of a "federated" model, which reflects the County's organization and culture. Furthermore, clarifying roles and responsibilities within the general relationship described by that model is essential.

The federated model provides for both centralized and distributed authority and resources, and acknowledges the importance of the IT management function as an enabler of departmental success and the primacy of business needs as drivers for IT decisions. It recognizes that a thoughtful mixture of centralized, shared and departmental responsibilities can be crafted to further the missions of all County departments.

### ***Implementing a federated model of governance***

The federated model identifies some functions as the responsibility of a central services organization – in our case, RCIT. These include information management responsibilities common to the entire enterprise, such as establishing the County's architecture and technology standards, information management policies, setting of enterprise strategies and priorities, and operation of County enterprise common functions like communications services and information security. These are commonly referred to as "utility" functions managed by one department on behalf of all of departments.

A second group of processes, identified as "shared" services, are created and maintained by one department, usually an existing center of excellence to service multiple departments with similar functions to facilitate sharing of applications and data, based on the enterprise foundation

of architecture, policies and programs. Examples might include business processes such as an integrated system used by the Treasurer, Comptroller, and Assessor. This permits leveraging of investments, supports efficient operation of systems, reduces the administrative burden on citizens and promotes interchange of data.

Finally, department-specific processes and systems meet the unique needs of departments for customized programs to support their mission. While these applications must also adhere to the County's architecture and policies, and meet County standards and best practices, their functionality is so individual in nature that sharing is unlikely to add value.

In reality, Riverside County has been operating under an implied federated governance model since at least the late 1990's. The creation and evolution of the OCIO demonstrates the County's intent to set uniform information policy and priorities for the using the vehicle of a central authority. At the same time, the distribution of responsibility and resources throughout County departments allows for local implementation of these standards and priorities.

In recent years, the changes in technology, information management practices, and the technology industry have clearly demonstrated the business case for greater coordination and integration of efforts in areas such as the development of enterprise systems, IT investment management, and IT security. A planned approach to enterprise technology will result in improvements in efficiency, security and service, without compromising the business operations which IT exists to support.

### ***CIO decision drivers***

The Chief Executive Officer's creation of the OCIO impliedly vests responsibility for leading county-wide IT efforts in the OCIO and in the person of the County CIO. The CEO has directed the County CIO to have a formal consultative relationship with the department heads of key departments, and to develop similar informal bodies to engage departments and the private sector in discussions of market trends and best practices, and to provide a forum for independent review and comment on County strategic plans and information policies.

The primary driver for the County CIO's decisions, strategies and policies is, of course, provided by the guidance of the CEO acting in furtherance of the strategic imperatives established by the Riverside County Board of Supervisors (BOS). There are other sources as well:

- The needs and concerns of our residents and their preferences for service delivery are key influences on priority and directional decisions, both directly and indirectly.
- Departmental business plans and the services the departments provide must be coordinated and integrated to achieve the greatest efficiency, but not at the expense of departmental effectiveness in achieving their missions.
- Market trends and industry best practices inform the decisions of the County CIO and help the County keep current with developments in business process reengineering, information management practices in industry and in other public and private organizations.
- Finally, the practical impact of economic and demographic trends, county policies and local events must be considered in both strategic and operational decisions.

## *Components of Riverside's governance strategy*

Supporting this high-level view of governance is an operational level where the principles of a federated model are put into practice. As it will be implemented in Riverside County, this governance strategy has six key components:

### 1. Business Process Redesign

Reconsideration and redesign of fundamental business processes and continuous improvement of those processes is essential to achieving and maintaining operational efficiencies and mission effectiveness.

### 2. Enterprise Strategic Planning

Enterprise strategic planning processes incorporate county-wide information management strategies, business needs and administration priorities, and ensure that IT plans and review processes are properly integrated into County budget processes.

### 3. Enterprise Architecture

A strong County architecture includes business, information, application and technology components. This framework provides guidance to departments in designing and implementing systems, assures hardware compatibility of systems and provides a high measure of compatibility with best practices in such areas as security, supply chain management, strategic partnerships, networking, storage, and development.

### 4. Enterprise Portfolio Management

An enterprise portfolio management process ensures that IT investments and initiatives are aligned with County priorities and information strategies; that all IT projects follow accepted standards for design and development; that appropriate business case and risk management practices are observed; and that sound project management techniques including a phased approach, milestones, scope management, progress measurement, project performance review, and reporting routinely take place.

### 5. Leveraged IT Acquisition Process

An IT acquisition process that builds on the architecture and County standard leverages the buying power that goes with aggregation and focused procurement. Emphasized competition and energetic negotiation with vendors controls costs and delivers the greatest value to the County.

### 6. Enterprise IT Funding Mechanism

An enterprise funding mechanism accommodates investment life cycle management, provides for development of shared applications outside the normal departmental budget structure, and captures and reinvests savings attributable to improvements in information management programs and services.

All of these program offerings are designed to actively involve departments and other potential stakeholders at all stages of the process.

### *Governance structure and process*

The governance process begins with the CIO's 1000-Day Plan, which sets forth strategic goals and initiatives for IT. This document is the basis for drawing the linkage between business operations and the information technology to support it.

In addition to directing these IT governance processes, the County CIO is responsible for the management of enterprise and shared services operations, establishment of information policy and communicating with stakeholders about the contribution of information management to County operations and for advancing potential improvements in information administration. The communication and consultation groups set up by the County CIO will help assure that an optimal mixture of both a truly enterprise view and departmental unique concerns are considered in IT planning and operation.

#### *Information Technology Governance Committee (ITGC)*

To accomplish the intent of the governance perspectives provided in this document, it is recommended that the County CIO should have a single advisory body of selected department heads as the Information Technology Governance Committee (ITGC). The goal is to provide enterprise-wide strategic decision-making, shared leadership, transparency, monitoring, and true ownership of major IT decisions, opportunities and risks by offering advisory recommendations to the Board and County Executive Officer. This group will provide review, consultation and feedback to the County CIO about enterprise IT strategies and policies. It will also review the budget and performance metrics of enterprise and RCIT systems and services. The ITGC would provide advisory opinions regarding proposed IT investments from across the County forwarded by the IT Investment Review Board. The Board and/or County Executive Officer make all final decisions regarding investments.

This board should include a mix of not more than 12 members, including the CIO, CFO, a representative from each functional/business type unit (i.e. Public Safety, Special Districts, etc.) and each elected department head to ensure continuity and congruence of IT strategies with the CEO's vision along, with departmental business perspectives. This will assure that departmental needs are represented on an enterprise-wide basis, and that understanding of IT issues and directions is shared across the County. This group should meet periodically throughout the year. The ITGC will be chaired by the County CIO.

#### *Executive Technology Committee (ETC)*

In addition to the ITGC, there should be an advisory body consisting of departmental technical leaders as the Executive Technology Committee (ETC). This group, which should meet periodically, will provide an initial review, consultation, and feedback to the County CIO about enterprise strategies and policies, with recommendations to the ITGC. This will ensure an initial review of strategies and policies from a departmental perspective. The ITGC may accept, reject, or send recommendations back to the ETC for further study.

*Departmental Technology Standards Committee (DTSC)*

The Departmental Technology Standards Committee (DTSC) should be a standing working-group to address technical issues underlying strategic endeavors addressed by the ETC. It should consist of representation from each of the departments appointed from departmental information technology organizations.

*Information Technology Investment Review Board (ITIRB)*

The financial oversight and review function will be carried out by an Investment Review Board (IRB). The ITIRB will ensure that proposed investments contribute to the CEO's strategic vision and mission requirements, meet the business needs of the departments/County, employ sound IT investment methodologies, provide the highest return on investment, and are within acceptable project risk levels. The IRB will be chaired by the Assistant CIO (Director of the OCIO) and include a membership of 9 others from department and county-level positions. This body will make recommendations to the ITGC, as appropriate.

Finally, the County CIO will create and maintain ongoing input mechanisms, as needed, for feedback from a broad array of governmental entities to ensure enterprise-wide collaboration and consideration of broader needs in devising county-wide strategies.



**Information Technology Governance Committee**

<p>Define the Project</p> <ul style="list-style-type: none"> <li>• Policy</li> <li>• Process</li> <li>• Project</li> </ul> <p>Efficient resource allocation</p> <ul style="list-style-type: none"> <li>• Departmental IT/OCIO</li> <li>• ITIRB</li> <li>• Customers – Depts., Fiscal, Support</li> <li>• Cost/Benefit</li> </ul> <p>Coordinate effort (all Stakeholders)</p> <ul style="list-style-type: none"> <li>• Departments</li> <li>• Customers</li> <li>• ISS</li> <li>• RCIT</li> <li>• Vendors</li> </ul> <p>Priorities</p> <ul style="list-style-type: none"> <li>• Departmental</li> <li>• Corporate (County) Initiatives</li> <li>• Conflict Resolution</li> <li>• Long term vs. Short Term</li> </ul>	<p>Committee</p> <ul style="list-style-type: none"> <li>• Over \$100K – Departmental and County IT Governance Processes</li> <li>• Less \$100K – Departmental Processes</li> </ul> <p>Process</p> <ul style="list-style-type: none"> <li>• Process Owner</li> <li>• Process Beneficiaries – Internal and External</li> <li>• Relationship to other Processes (internal and External)</li> <li>• Technology and Non-Technology Impact</li> </ul> <p>Policy</p> <ul style="list-style-type: none"> <li>• County 1000-Day Plan</li> <li>• Department IT Plan</li> <li>• Department Business Plan</li> <li>• Board Policies</li> </ul> <p>Strategic Alliances</p> <ul style="list-style-type: none"> <li>• Opportunities w/other County departments</li> <li>• Opportunities to partner with another county</li> <li>• Business Partnerships with Vendors</li> <li>• Private/Public Partnerships</li> </ul> <p>Balanced Score Card Assessment</p>	<p>Return on Investment</p> <ul style="list-style-type: none"> <li>• Speed of Work</li> <li>• Lower Cost of Work</li> <li>• Quality Improved</li> <li>• Measurement/Return on Investment</li> <li>• Rediation/Potential to Improve Results</li> </ul> <p>Projects</p> <ul style="list-style-type: none"> <li>• Completed</li> <li>• Avoided (fail to pass cost/benefit)</li> <li>• Modified for success early             <ul style="list-style-type: none"> <li>○ Process improvement vs. IT project</li> <li>○ Focus scope to improve value</li> </ul> </li> </ul>
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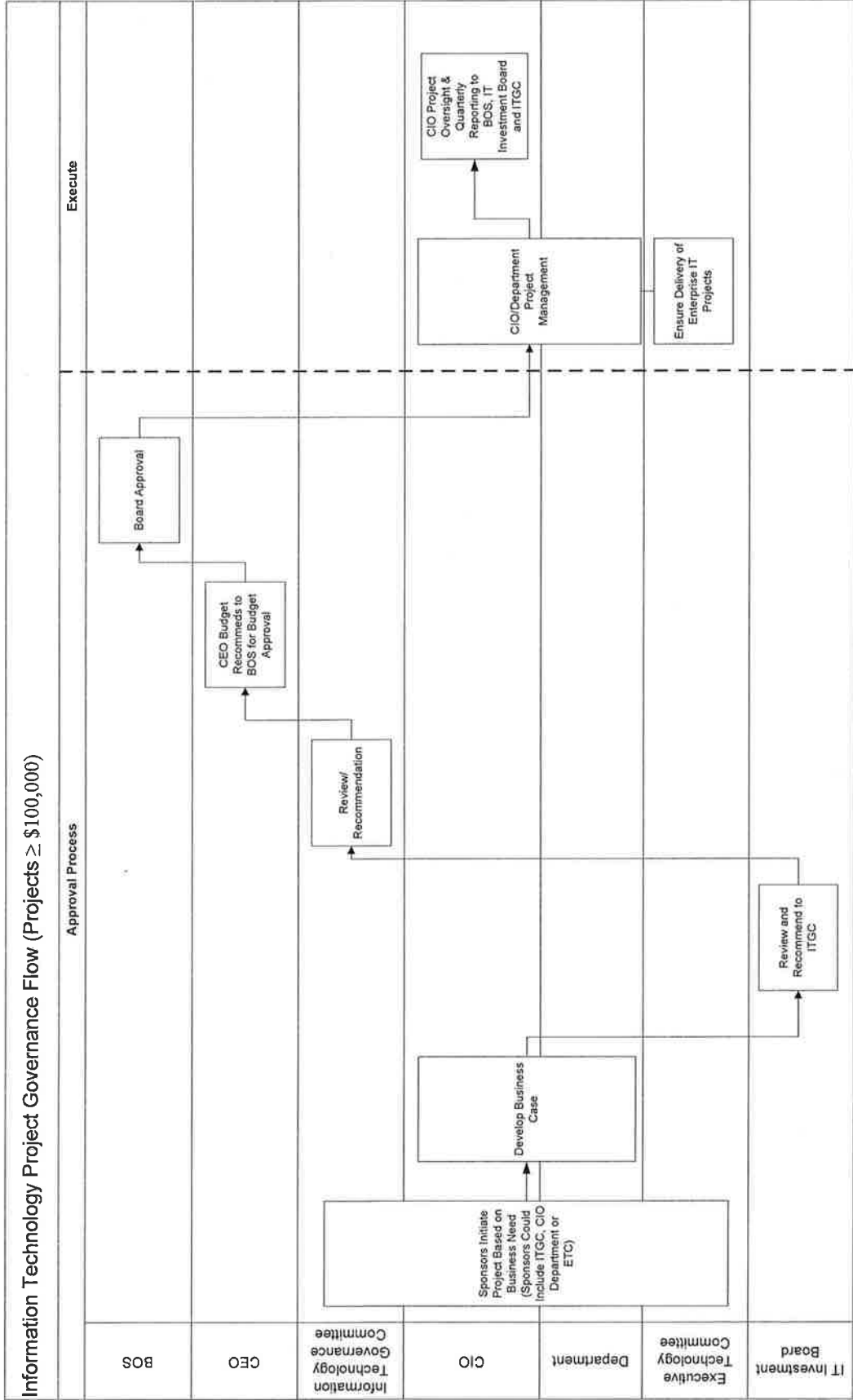
Role	Membership	Responsibilities	Examples of Duties	Meeting Frequency
Board of Supervisors	<ul style="list-style-type: none"> <li>-Current Board Members</li> </ul>	<ul style="list-style-type: none"> <li>-Countywide IT Policy</li> <li>-Countywide IT Strategic Plan</li> <li>-Countywide Yearly IT Project and Operational Budget</li> <li>-IT Contracts</li> <li>-Annual IT Report</li> </ul>	<ul style="list-style-type: none"> <li>-Approves IT policy by the CIO or ITGC</li> <li>-Approves the 1000-Day Plan</li> <li>-Approves annual IT project or operational budgets through the CEO budget process</li> <li>-Approves IT contracts via agenda items</li> <li>-Receives quarterly IT reports</li> <li>-Receives Annual IT Report</li> </ul>	<ul style="list-style-type: none"> <li>-Agenda items submitted as required</li> <li>-Board is briefed as required</li> </ul>
IT Governance Committee	<ul style="list-style-type: none"> <li>-Chaired by CIO</li> <li>-Vice Chair by Nomination of Membership</li> <li>-7 Career Department Heads</li> <li>-5 Elected Department Heads</li> </ul>	<ul style="list-style-type: none"> <li>-Provides input and concurrence on IT policies and guidelines proposed by the CIO</li> <li>-Provides input and concurrence on the 1000-Day Plan</li> <li>-Provides input and concurrence on Countywide IT priorities</li> <li>-Provides input and concurrence on recommendations from IT Investment Review Board</li> <li>-Provides advisory recommendations to the Board and CEO on IT investments</li> <li>-Provides concurrence on IT Performance Metrics</li> <li>-Approves recommended funding models for IT expenditures and provides input and concurrence</li> <li>-Receives countywide IT Annual Report</li> </ul>	<ul style="list-style-type: none"> <li>-Reviews countywide IT policies</li> <li>-Reviews countywide 1000 Day Plan</li> <li>-Reviews annual countywide IT priorities</li> <li>-Reviews recommendations made by IT Investment Review Board for funding of IT projects over \$100,000</li> <li>-Reviews recommended funding models for IT expenditures</li> <li>-May request the Executive Technology Committee Chair to analyze and prepare a business case to implement a specific technology, project or initiative</li> </ul>	<ul style="list-style-type: none"> <li>-Meets quarterly</li> <li>-Ad hoc as needed</li> </ul>



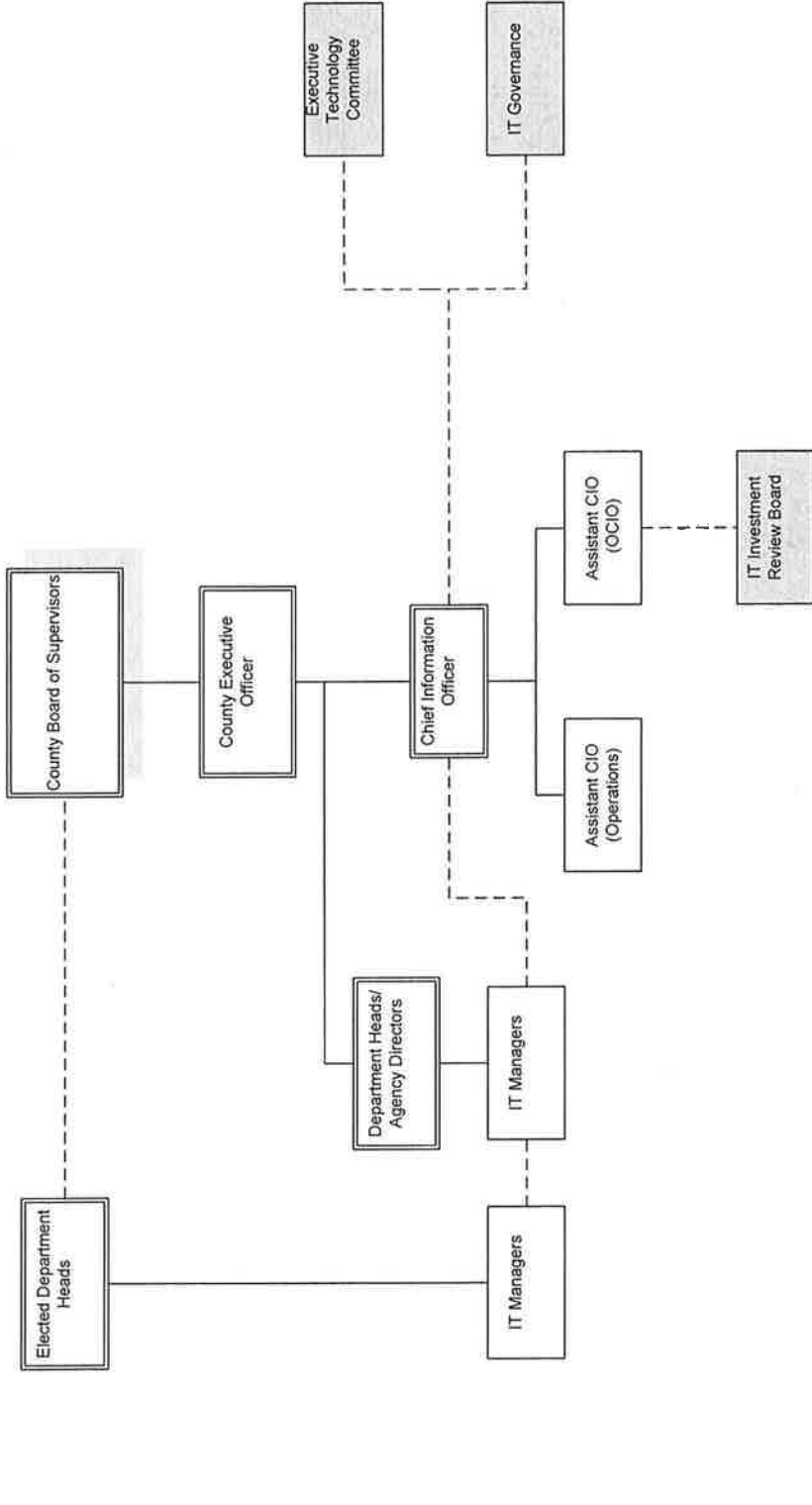
Role	Membership	Responsibilities	Examples of Duties	Meeting Frequency
Chief Information Officer	-CIO	<ul style="list-style-type: none"> <li>-Advise CEO and Board of Supervisors on IT-related issues and decisions</li> <li>-Provides support to departmental ITOs to ensure they are able to provide information technology solutions to their departments</li> <li>-Provides leadership to IT strategic direction and policy</li> <li>-Creates an environment that encourages IT staff throughout the County to collaborate, share best practices, and enhance skill sets to keep current with emergent technology trends</li> <li>-Ensures that IT services are delivered in an efficient, cost-effective, and transparent manner</li> <li>-Ensures countywide IT security</li> <li>-Supports countywide business-driven projects approved by the ITGC</li> <li>-Provides oversight of countywide IT purchases &amp; expenditures</li> <li>-Ensures countywide IT policies are established</li> <li>-Chairs Information Technology Governance Committee meetings</li> <li>-Implements and monitors industry standards around specific issues</li> <li>-Receives input/direction from the IT Governance Committee to pursue specific IT initiatives</li> <li>-Compiles a countywide IT Annual Report for the ITGC</li> <li>-Ensures countywide alignment to IT Mission Statement and Goals</li> </ul>	<ul style="list-style-type: none"> <li>-Develops countywide IT policies in compliance with State &amp; Regulatory requirements</li> <li>-Oversees development of 1000-Day Plan and Updates</li> <li>-Provides coordination oversight of countywide IT purchases &amp; expenditures</li> <li>-Advises CEO and Board of Supervisors on IT-related matters</li> <li>-Provides quarterly status of key IT initiatives and expenditures to ITGC and Board of Supervisors</li> <li>-Establishes project management methodologies and periodically audits departments for adherence to the methodologies for projects over \$100,000</li> <li>-Provides formal risk assessments for projects based on specific criteria</li> <li>-Reviews IT investments for opportunities to leverage purchasing power</li> </ul>	<ul style="list-style-type: none"> <li>-Meets regularly with CEO to provide status and guidance on countywide initiatives</li> <li>-Meets with Board of Supervisors, as needed</li> <li>-Meets regularly with County department heads</li> <li>-Chairs quarterly ITGC meeting</li> <li>-Chairs the Executive Technology Committee meeting</li> </ul>

Role	Membership	Responsibilities	Examples of Duties	Meeting Frequency
Departments	<ul style="list-style-type: none"> <li>-Department ITO's</li> </ul>	<ul style="list-style-type: none"> <li>-Deliver department-specific IT services to customers (applications, departmental infrastructure)</li> <li>-Participate in the development of the 1000-Day Plan</li> <li>-Develop annual tactical plans</li> <li>-Participate in departmental strategic business plan development</li> <li>-Develop departmental IT strategic plans</li> <li>-Propose IT initiatives over \$100,000 to the IT Investment Review Board</li> <li>-Develop departmental IT policies and standards</li> <li>-Provide quarterly reporting for all projects over \$100,000 and expenditures to the CIO</li> <li>-Comply with countywide policies</li> <li>-Comply with countywide governance processes</li> </ul>	<ul style="list-style-type: none"> <li>-Support department-specific applications</li> <li>-Provide department user-support</li> <li>-Develop department tactical plans</li> <li>-Develop annual department IT budget</li> </ul>	<ul style="list-style-type: none"> <li>-Participates in appropriate governance meetings, as required</li> </ul>
Executive Technology Council	<ul style="list-style-type: none"> <li>Chaired by CIO</li> <li>-CISO</li> <li>-All Department Senior ITO's</li> <li>-Note: RCIT and CIO will have one vote cast by the CIO</li> </ul>	<ul style="list-style-type: none"> <li>-Maintains and is responsible for developing annual countywide operational plan in support of the 1000-Day Plan updates</li> <li>-Ensures department IT plans are considered in countywide 1000-Day Plan updates and vice versa</li> <li>-Sponsors and recommends enterprise IT projects to the IT Investment Board</li> <li>-Ensures timely delivery of approved Enterprise projects</li> <li>-Approves domain architecture policies, guidelines, and standards</li> <li>-Ensures that technology solutions are in compliance with established countywide technology standards and guidelines</li> <li>-Delegates staff to working groups, as needed</li> <li>-Participates in the development of IT policies</li> <li>-Escalates decisions as needed to the IT Governance Committee</li> </ul>	<ul style="list-style-type: none"> <li>-Makes recommendations to the IT Governance Committee and IT Investment Review Board concerning technology investments</li> <li>-Appoints technical staff to perform necessary technological reviews</li> <li>-Coordinates development of countywide IT tactical plans with department ITO's that includes both project and operations and maintenance work for the year, with costs &amp; provides status of this work plan to the IT Governance Committee</li> <li>-Assigns ad hoc work to IT subject matter experts, as needed</li> </ul>	<ul style="list-style-type: none"> <li>-Meets at least monthly</li> <li>-Ad hoc meetings, as necessary</li> </ul>
IT Investment Review Board	<ul style="list-style-type: none"> <li>-Chaired by Asst CIO</li> <li>-Project Management Director</li> <li>-County Chief Financial Officer</li> <li>-5 Rotating department business executives</li> <li>-2 Rotating depart ITO's</li> </ul>	<ul style="list-style-type: none"> <li>-Reviews IT projects over \$100,000; provides recommendations on the advancement of department projects to the CIO and IT Governance Committee</li> <li>-Ensures individual IT projects and initiatives support countywide strategic priorities</li> <li>-Reviews projects for potential synergies or overlap</li> <li>-Review IT operating budgets for potential opportunities or synergies</li> <li>-Works in cooperation with the OCIO's portfolio management and strategic planning groups</li> </ul>	<ul style="list-style-type: none"> <li>-Reviews/evaluates Information System Requests (ISRs) during the annual budget cycle to review detailed IT project business cases. Presents recommended project funding to the CIO and IT Governance Committee</li> <li>-Meets to review other projects as determined necessary outside of the budget cycle as required by departments</li> <li>-Review IT operating budgets</li> </ul>	<ul style="list-style-type: none"> <li>-Quarterly</li> <li>-Ad hoc, as needed</li> </ul>

Deliverable	Responsibility & Accountability	Develop	Review & Recommend	Approve	Implement	Operate	Monitor & Report (Oversight)
1000-Day Plan and Updates	CIO	Department Heads, Department ITO's, and Department Business Managers	IT Governance Committee & Executive Technology Committee	Board of Supervisors	CIO	CIO	CIO -Annual Report
IT Tactical Plans	CIO	Departments	IT Governance Committee & Executive Technology Committee	Board of Supervisors	Departments	CIO	CIO -Quarterly Report -Annual Report
IT Operational Budgets -Software -Hardware -IT Services (Internal & professional) -IT Training	Departments	Departments	IT Investment Review Board, CEO, and CIO -Seek opportunities for synergy -Eliminate Redundancy -Establish common priorities	Board of Supervisors	Departments	Departments	CIO -Quarterly Report -Annual Report
Initiatives over \$100,000	Departments	Departments	IT Investment Review Board, CEO, and CIO	Board of Supervisors	Departments	Departments	CIO -Quarterly Report -Annual Report -PMO Review
Requests to the Board of Supervisors	Departments and CIO	Departments and CIO	CIO -Assist departments in addressing potential Board concerns -Provide independent input to the Board	Board of Supervisors	N/A	N/A	N/A
County-wide IT Policies and Standards	CIO	Departments	IT Governance Committee & Executive Technology Committee	CEO or Board of Supervisors, as appropriate	Departments	Departments	CIO



# Riverside County IT Management and Governance



County Organizational Structure  
 County Governance Board  
 — Direct Reporting  
 - - - Oversight

# Charter for the Information Technology Governance Committee

Riverside, California

## **PURPOSE**

This document defines the mission, objectives, and methods of operations of the Information Technology Governance Committee (ITGC).

## **MISSION**

The principle mission of the ITGC is to, working in conjunction with the County Chief Information Officer:

1. establish the County's information technology strategic direction;
2. implement corporate IT best practices and policies;
3. ensure the most efficient use of human and financial resources to achieve strategic goals;
4. ensure the implementation of contemporary IT security practices and solutions to ensure the protection of all County information system;
5. enhance corporate operational effectiveness through the deployment of shared corporate technology systems and infrastructures, and;
6. make advisory recommendations to the County Executive Officer and Board of Supervisors on information technology investments.

The ITGC is accountable to the County Executive Officer for promoting effective use of technology throughout the County of Riverside.

## **OBJECTIVES**

The objectives of the ITGC include:

- *Recommending corporate IT best practices* – to ensure corporate technology services maximize resource sharing, meet the needs of the departments, provide for security of all information systems across the organization, and provide cost effective service. The ITGC brings diverse perspectives and business issues to one place to discuss and develop corporate IT best practices to meet our common needs.
- *Recommending corporate IT policy* – the success of policy implementation is predicated upon business effectiveness. The ITGC provides the forum to debate issues, define

contingencies, formulate policy recommendations focused on achieving strategic objectives, and measure results.

- Recommending corporate strategic initiatives - ITGC members represent countywide business leadership. They have the foresight to see the advantage in developing strategic actions that consider and balance corporate technology issues with specific business needs of county departments and agencies.

## **MEMBERSHIP**

Membership consists of:

Chief Information Officer

Chief Financial Officer

Common Area of Interest: Public Safety

Common Area of Interest: General Government

Common Area of Interest: Human Services

Common Area of Interest: Land Management

Common Area of Interest: Special Districts

Elected Department Head: District Attorney

Elected Department Head: Sheriff

Elected Department Head: Assessor

Elected Department Head: Auditor Controller

Elected Department Head: Treasurer

## **ITGC WORKING AGREEMENT**

The ITGC committee will meet at least quarterly, and at other times as scheduled by the chairpersons, at a location designated by the chairperson. The chairperson will plan meeting agendas and will solicit agenda item suggestions from committee membership

The chairperson assumes responsibility for maintaining open lines of communication to exchange information on new or developing issues, and to discuss the progress of ITGC business. The ITGC will keep adequate records of all meetings.

For voting purposes, fifty-one percent attendance of membership shall constitute a quorum. A simple majority of members present is required to pass an item requiring a committee decision. Each member will have one vote. The chairperson will vote to break a tie. Members represent the County's interest as a whole, not their individual departments. Therefore, participation is essential and members may not send substitutes to meetings.

If significant controversy over an issue arises that cannot be resolved, it will be elevated to the County Chief Executive Officer who will be fully briefed on the issue. The ITGC chairperson will consider all feedback from committee membership, elected officials and department heads, and will generally establish consensus or will consult with the County Executive Officer if significant controversy persists.

## **AMENDMENTS AND TERM**

The Executive Office or Board of Supervisors may amend or revoke any part of the Bylaws and Working Agreement at any time. Any ITGC member may initiate discussion that leads to amending or revoking any part of the Bylaws and Working Agreement through processes described herein.

This Charter will be in effect until terminated by the Executive Office or Board of Supervisors.