

# COUNTYWIDE INFORMATION TECHNOLOGY GOVERNANCE

# Countywide Information Technology Mission & Goals Draft

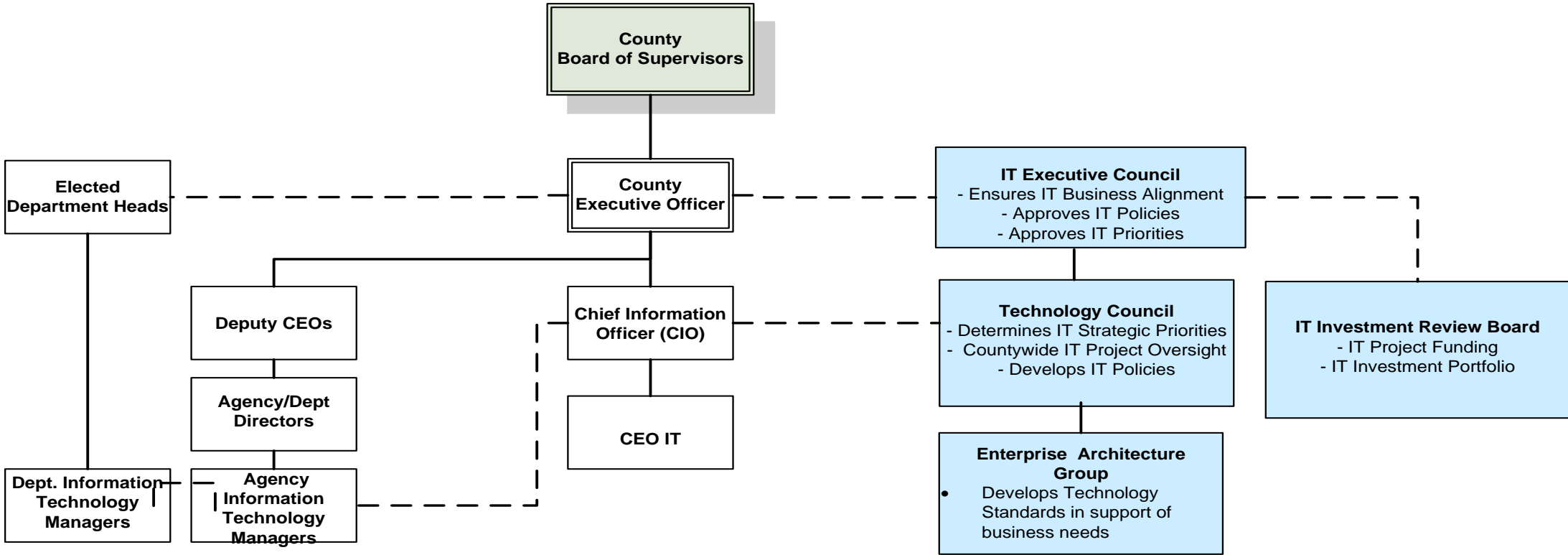
## Countywide Information Technology Mission Statement

Provide quality, innovative, fiscally responsible and secure Information Technology solutions that support the business needs of the County of Orange as a whole now and into the future.

## Countywide Information Technology Goals

- Provide excellent customer service to all internal and external constituents of the County of Orange
- Ensure transparent and fiscally responsible stewardship of IT assets
- Promote creative, cost-effective and innovative thinking
- Foster a culture of team work and collaboration across Countywide IT functions

# Orange County IT Management and Governance



County Organization Structure       Direct Reporting  
 County Governance Bodies       Oversight

Note: Chart does not depict individual Program Steering Committees, e.g., CAPS+, PTMS, etc. IT Programs must adhere to countywide governance as appropriate for approval of new project funding.

Role	Membership	Responsibilities	Examples of Duties	Meeting Frequency
<b>Board of Supervisors</b>	<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 and Tactical Plans</li> <li>• Countywide Yearly IT Project and Operational budget</li> <li>• IT contracts</li> <li>• Quarterly IT Project Status Reports and Risk Assessments</li> <li>• Annual IT Report</li> </ul>	<ul style="list-style-type: none"> <li>• Approves IT Policy presented by the CIO or IT Executive Council</li> <li>• Approves IT Strategic and Tactical plans</li> <li>• Approves yearly IT project and operational budgets through the CEO Budget process</li> <li>• Approves IT contracts via Agenda Item Transmittals</li> <li>• Receives quarterly IT Project Status Reports and Risk Assessments</li> <li>• Receives Annual IT Report</li> </ul>	<ul style="list-style-type: none"> <li>• Board is briefed and IT Agenda items submitted as required</li> </ul>
<b>IT Executive Council</b>  <i>Advisory to the County Executive Office</i>  <i>Final review and approval of IT direction and plans</i>	<ul style="list-style-type: none"> <li>• Chaired by CEO</li> <li>• Vice Chair - CIO</li> <li>• COO</li> <li>• CFO</li> <li>• CRO</li> <li>• CHRO</li> <li>• 4 Rotating Agency Dept. Heads (1 Elected, 1-Non-Elected, 1 Public Protection)</li> </ul>	<ul style="list-style-type: none"> <li>• Provides concurrence on IT policies and guidelines proposed by the CIO</li> <li>• Provides concurrence on the IT Strategic Plan</li> <li>• Provides concurrence on CIO's annual Operational (Tactical) Plan and IT priorities</li> <li>• Provides concurrence on recommendations from IT Investment Review Board</li> <li>• Provides concurrence on IT Performance Metrics</li> <li>• Approves recommended funding models for IT expenditures and provides 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 3-5 year IT Strategic Plan</li> <li>• Reviews recommendations for opportunities identified in review of Agency Operational (Tactical) Plans</li> <li>• Reviews annual Countywide IT priorities</li> <li>• Reviews recommendations made by IT Investment Review Board for funding of IT Projects over \$150,000</li> <li>• Reviews recommended funding models for IT expenditures</li> <li>• May request the Technology Council 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 meetings as needed</li> </ul>

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Chief Information Officer	<ul style="list-style-type: none"> <li>• CIO</li> </ul>	<ul style="list-style-type: none"> <li>• Advises CEO and Board of Supervisors on IT-related issues and decisions</li> <li>• Provides leadership to IT strategic direction and policy</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 IT Executive Council</li> <li>• Provides oversight of Countywide IT purchases &amp; expenditures</li> <li>• Provides Project Management of Agency IT Projects ≥ \$1,000,000 or that impact multiple agencies/departments, with the ability to approve exceptions</li> <li>• Ensures Countywide IT Policies are established</li> <li>• Facilitates IT Executive Council meetings</li> <li>• Approves domain architecture policies</li> <li>• Implements and monitors industry standards around specific practices</li> <li>• Receives input/direction from the IT Executive Council to pursue specific IT initiatives</li> <li>• Compiles a Countywide IT Annual Report for IT Executive Council</li> <li>• Ensures Countywide alignment to IT Mission Statement and Goals</li> <li>• Reviews all IT ASRs prior to CEO concurrence</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 a 3-5 year IT Strategic Plan and yearly Tactical Plan in support of County business goals with a yearly Operating Plan (coordinating with IT Technology Council)</li> <li>• Provides 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 IT Executive Council and Board of Supervisors</li> <li>• Establishes project management methodologies and periodically audits Agencies for adherence to these methodologies for projects over \$150,000</li> <li>• Provides formal risk assessments for projects based on specific criteria</li> <li>• Reviews IT investments for opportunities to leverage purchasing power</li> <li>• Develops standard IT ASR format and reviews all IT ASRs</li> </ul>	<ul style="list-style-type: none"> <li>• Meets regularly with CEO and Board of Supervisors to provide status and guidance on Countywide IT initiatives</li> <li>• Meets regularly with County Agency Directors</li> <li>• Acts as Vice Chair at quarterly IT Executive Council</li> </ul>

Role	Membership	Responsibilities	Examples of Duties	Meeting Frequency
<b>Agency</b>	<ul style="list-style-type: none"> <li>Agency IT Managers/Directors</li> </ul>	<ul style="list-style-type: none"> <li>Deliver Agency-specific IT services to customers (applications, Agency infrastructure)</li> <li>Participate in the development of the 3 Year IT Strategic Plan</li> <li>Develop the annual Agency Tactical Plan</li> <li>Propose IT initiatives over \$150,000 to the IT Investment Review Board</li> <li>Develop Agency IT policies and standards</li> <li>Provide quarterly reporting of IT projects over \$150,000 and expenditures to CIO</li> <li>Comply with Countywide IT policies</li> <li>Comply with Countywide Governance Processes</li> <li>Ensure IT ASR's reflect full cost for item under consideration and reference previous Board Actions</li> </ul>	<ul style="list-style-type: none"> <li>Support Agency-specific applications</li> <li>Provide Agency User-support</li> <li>Develop annual Agency IT tactical plan</li> <li>Develop annual Agency IT budget</li> <li>Work with CIO's Office on review of ASR's to address potential issues</li> </ul>	<ul style="list-style-type: none"> <li>Participates in appropriate governance meetings as required</li> </ul>
<b>Technology Council</b>  <i>Technical oversight; technical advisory to the Chief Information Officer (CIO) and IT Executive Council</i>	<ul style="list-style-type: none"> <li>Chaired by the CTO</li> <li>Enterprise Architect</li> <li>CISO</li> <li>All Agency IT Managers</li> <li>Senior CEO-IT Managers as needed</li> <li>Note: CEO-IT will have one vote cast by CTO</li> </ul>	<ul style="list-style-type: none"> <li>Maintains and is responsible for developing the annual Countywide IT Operational (Tactical) Plan in Support of IT Strategic Plan</li> <li>Ensures agency/department IT plans are considered in Countywide IT strategic planning and vice-versa</li> <li>Sponsors and recommends Enterprise IT projects to the IT Investment Review Board</li> <li>Participates in Technical Governance of and ensures timely delivery of approved Enterprise projects.</li> <li>Establishes annual priorities for Enterprise Architecture Group</li> <li>Approves domain architecture policies, guidelines, and standards submitted by the Enterprise Architecture</li> <li>Ensures that technology solutions are in compliance with established Countywide technology standards and guidelines</li> <li>Delegates staff to working groups and projects</li> <li>Participates in the development of IT policies</li> <li>Escalates decisions as needed to IT Executive Council</li> </ul>	<ul style="list-style-type: none"> <li>Makes recommendations to IT Executive Council 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 Operational (Tactical) Plan with Agency/Department IT Managers that includes both Project and Operations &amp; Maintenance work for the year with costs &amp; provides status of this work plan to IT Executive Council</li> <li>Establishes annual priorities for Enterprise Architecture Group</li> <li>Assigns ad hoc work to Enterprise Architect or other IT Subject Matter Experts as needed</li> </ul>	<ul style="list-style-type: none"> <li>Meets monthly</li> <li>Ad hoc meetings as needed</li> </ul>

Role	Membership	Responsibilities	Examples of Duties	Meeting Frequency
<b>Enterprise Architecture Group</b>	<ul style="list-style-type: none"> <li>• Chaired by an Agency IT Manager (Rotating)</li> <li>• Enterprise Architect</li> <li>• CISO</li> <li>• Up to 5 Agency domain experts as needed</li> <li>• Other IT subject matter experts as needed</li> </ul>	<ul style="list-style-type: none"> <li>• Develops an annual work plan to meet priorities established by the Technology Council</li> <li>• Develops Countywide Enterprise Architecture standards in IT Domains including Business, Data, Applications, Technology, Security</li> <li>• Develops technology policies, standards and guidelines</li> <li>• Updates strategic and tactical direction for architectural domains</li> <li>• Reviews IT projects to ensure alignment with County Architecture as requested by the IT Investment Board</li> <li>• Escalates decisions as needed to Technology Council</li> </ul>	<ul style="list-style-type: none"> <li>• Develops Application Portfolio Management Process</li> <li>• Establishes minimal Data Center standards</li> <li>• Establishes framework for enabling mobile devices</li> </ul>	<ul style="list-style-type: none"> <li>• Meets monthly</li> <li>• Ad hoc meetings as needed</li> </ul>
<b>IT Investment Review Board</b>  <i>Advisory to the CIO &amp; IT Executive Council</i>	<ul style="list-style-type: none"> <li>• Chaired by the Asst. CIO</li> <li>• Project Management Office (PMO) Director</li> <li>• County Budget Director</li> <li>• CTO</li> <li>• 3 Rotating Agency/Department IT Managers</li> <li>• 2 Rotating Agency Business Directors</li> </ul>	<ul style="list-style-type: none"> <li>• Reviews IT projects over \$150,000; recommends funding distribution of the 038 budget; provides recommendation on the advancement of Agency projects to the CIO &amp; IT Executive Council</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 CIO's portfolio management and strategic planning groups</li> </ul>	<ul style="list-style-type: none"> <li>• Reviews/evaluates Information System Requests (ISRs) during the yearly budget cycle to review detailed IT project business cases. Presents Recommended project funding to CIO and IT Executive Council.</li> <li>• Meets to review other projects as determined necessary outside of the budget cycle as required by Agencies</li> <li>• Review IT Operating Budgets</li> </ul>	<ul style="list-style-type: none"> <li>• Quarterly</li> <li>• Ad hoc as needed</li> </ul>

Deliverables	Responsibility & Accountability	Develop	Review & Recommend	Approve	Implement	Operate	Monitor & Report (Oversight)
IT Strategic Plan	CIO	Agency Directors, Agency IT Managers, Business Community	IT Executive Council	Board of Supervisors	CIO	CIO	CIO Annual Report
IT Tactical Plan	CIO	Agency IT & CEO IT	IT Executive Council	Board of Supervisors	Agency IT & CEO IT	CIO	CIO • Qrtly Report • Annual Report
IT Operational Budgets ○ Software ○ Hardware ○ IT Services (Internal & Professional) ○ IT Training	Agencies & CEO/IT	Agency IT & CEO IT	IT Investment Review Board, CEO & CIO • Seek opportunities for synergy (e.g. consolidated buying) • Eliminate Redundancy • Establish common priorities	Board of Supervisors	Agency IT & CEO IT	Agency IT & CEO IT	CIO • Qrtly Report • Annual Report
Initiatives > \$150k	Agencies & CEO/IT	Agency IT & CEO IT	IT Investment Review Board, CEO and CIO	IT Exec. Council, Board of Supervisors	Agency IT & CEO IT	Agency IT & CEO IT	CIO • Qrtly Report • Annual Report • PMO review • IV&V
Enterprise Initiatives	CIO	CEO IT and Agency IT	Technology Council	IT Investment Review Board, CEO, Board of Supervisors	CIO, CEO IT & Agency IT representatives as required	CEO IT	CIO
Agenda Staff Reports (ASRs)	Agency IT & CEO IT	Agency IT & CEO IT	CIO • Assist agencies in addressing potential Board concerns • Provide independent input to Board of Supervisors	Board of Supervisors	N/A	N/A	N/A



<b>Countywide IT Policies</b>	CIO	Agencies & CEO/IT	IT Executive Council	CEO or Board of Supervisors as appropriate	Agencies & CEO/IT	Agencies & CEO/IT	CIO
<b>IT Guidelines and Standards</b>	Technology Council	Enterprise Architecture Group	Enterprise Architecture Group	Technology Council	Agencies & CEO/IT	Agencies & CEO/IT	CIO

