

COUNTYWIDE INFORMATION TECHNOLOGY GOVERNANCE

PREPARED BY



Countywide Information Technology Mission & Goals Draft

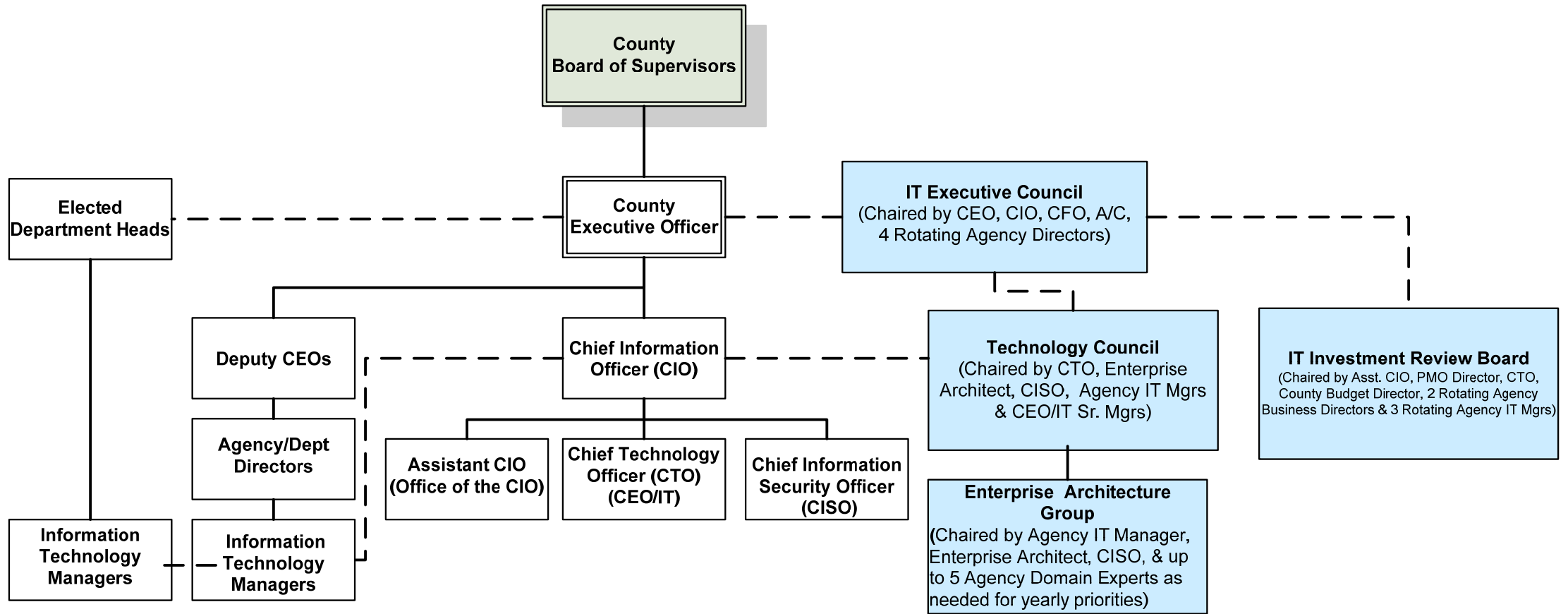
Countywide Information Technology Mission Statement

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
 County Governance Bodies

————— Direct Reporting
 - - - - - 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 or yearly operational expenditures.

Countywide IT Governance

Role	Membership	Responsibilities	Examples of Duties	Meeting Frequency
Board of Supervisors	<ul style="list-style-type: none"> • Current Board Members 	<ul style="list-style-type: none"> • Countywide IT policy • Countywide IT Strategic and Tactical Plans • Countywide Yearly IT Project and Operational budget • IT contracts • Quarterly IT Project Status Reports and Risk Assessments • Annual IT Report 	<ul style="list-style-type: none"> • Approves IT Policy presented by the CIO or IT Executive Council • Approves IT Strategic and Tactical plans • Approves yearly IT project and operational budgets through the CEO Budget process • Approves IT contracts via Agenda Item Transmittals • Receives quarterly IT Project Status Reports and Risk Assessments • Receives Annual IT Report 	<ul style="list-style-type: none"> • Board is briefed and IT Agenda items submitted as required
<p>IT Executive Council</p> <p><i>Advisory to the County Executive Office</i></p> <p><i>Final review and approval of IT direction and plans</i></p>	<ul style="list-style-type: none"> • Chaired by CEO • Vice Chair - CIO • CFO • Auditor-Controller • 4 Rotating Agency Directors (representation from Public Protection, Community Services, Infrastructure & Environmental Services & General Gov't.) 	<ul style="list-style-type: none"> • Provides concurrence on IT policies and guidelines proposed by the CIO • Provides concurrence on the IT Strategic Plan • Provides concurrence on CIO's annual Operational (Tactical) Plan and IT priorities • Provides concurrence on Countywide IT priorities • provides concurrence on recommendations from IT Investment Review Board • Provides concurrence on IT Performance Metrics • Approves recommended funding models for IT expenditures and provides concurrence • Receives Countywide IT Annual Report 	<ul style="list-style-type: none"> • Reviews Countywide IT Policies • Reviews Countywide 3-5 year IT Strategic Plan • Reviews recommendations for opportunities identified in review of Agency Operational (Tactical) Plans • Reviews annual Countywide IT priorities • Reviews recommendations made by IT Investment Review Board for funding of IT Projects over \$150,000 • Reviews recommended funding models for IT expenditures • May request the Technology Council Chair to analyze and prepare a business case to implement a specific technology, project or initiative 	<ul style="list-style-type: none"> • Meets quarterly • Ad hoc meetings as needed

Countywide IT Governance

Role	Membership	Responsibilities	Examples of Duties	Meeting Frequency
Chief Information Officer	<ul style="list-style-type: none"> • CIO 	<ul style="list-style-type: none"> • Advises CEO and Board of Supervisors on IT-related issues and decisions • Provides leadership to IT strategic direction and policy • Ensures that IT services are delivered in an efficient, cost-effective and transparent manner • Ensures Countywide IT Security • Supports Countywide business-driven projects approved by IT Executive Council • Provides oversight of Countywide IT purchases & expenditures • Ensures Countywide IT Policies are established • Facilitates IT Executive Council meetings • Approves domain architecture policies • Implements and monitors industry standards around specific practices • Receives input/direction from the IT Executive Council to pursue specific IT initiatives • Compiles a Countywide IT Annual Report for IT Executive Council • Ensures Countywide alignment to IT Mission Statement and Goals • Reviews all IT ASRs prior to CEO concurrence 	<ul style="list-style-type: none"> • Develops Countywide IT policies in compliance with State & Regulatory requirements • 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) • Provides oversight of Countywide IT Purchases & Expenditures • Advises CEO and Board of Supervisors on IT-related matters • Provides quarterly status of key IT initiatives and expenditures to IT Executive Council and Board of Supervisors • Establishes project management methodologies and periodically audits Agencies for adherence to these methodologies for projects over \$150,000 • Provides formal risk assessments for projects based on specific criteria • Reviews IT investments for opportunities to leverage purchasing power • Develops standard IT ASR format and reviews all IT ASRs 	<ul style="list-style-type: none"> • Meets regularly with CEO and Board of Supervisors to provide status and guidance on Countywide IT initiatives • Meets regularly with County Agency Directors • Acts as Vice Chair at quarterly IT Executive Council

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

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

Countywide IT Governance

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	Agencies & CEO/IT	IT Executive Council	Board of Supervisors	Agencies & CEO/IT	CIO	CIO • Qrtly Report • Annual Report
IT Operational Budgets <ul style="list-style-type: none"> ○ Software ○ Hardware ○ IT Services (Internal & Professional) ○ IT Training 	Agencies & CEO/IT	Agencies & CEO/IT	IT Investment Review Board, CEO & CIO <ul style="list-style-type: none"> • Seek opportunities for synergy (e.g. consolidated buying) • Eliminate Redundancy • Establish common priorities 	Board of Supervisors	Agencies & CEO/IT	Agencies & CEO/IT	CIO <ul style="list-style-type: none"> • Qrtly Report • Annual Report
Initiatives > \$150k	Agencies & CEO/IT	Agencies & CEO/IT	IT Investment Review Board, CEO and CIO	Board of Supervisors	Agencies & CEO/IT	Agencies & CEO/IT	CIO <ul style="list-style-type: none"> • Qrtly Report • Annual Report • PMO review • IV&V
Agenda Staff Reports (ASRs)	Agencies & CIO	Agencies & CEO/IT	CIO <ul style="list-style-type: none"> • Assist agencies in addressing potential Board concerns • Provide independent input to Board of Supervisors 	Board of Supervisors	N/A	N/A	N/A
Countywide IT Policies and Standards	CIO	Agencies & CEO/IT	IT Executive Council	CEO or Board of Supervisors as appropriate	Agencies & CEO/IT	Agencies & CEO/IT	CIO

