



6 Governance

Information Technology Governance is a subset discipline of County Governance focused on information technology (IT) systems and their performance and risk management. Attention to gGovernance is a direct outcome of historical acknowledgments that IT projects can easily get out of control and profoundly affect the performance of an organization.

A common theme of IT governance discussions is that the IT capability can no longer be a mystery to the business. Historically, involvement of executives in IT issues was to defer all key decisions to the company's IT leadership. IT governance implies a system in which all stakeholders, including leadership, internal customers, and particular departments, have the necessary input into the decision making process. The goal is the prevention of IT from independently making and later being held solely responsible for decisions that have a less than positive impact. A strong governance model also holds users accountable for decisions when a system does not behave or perform as expected.

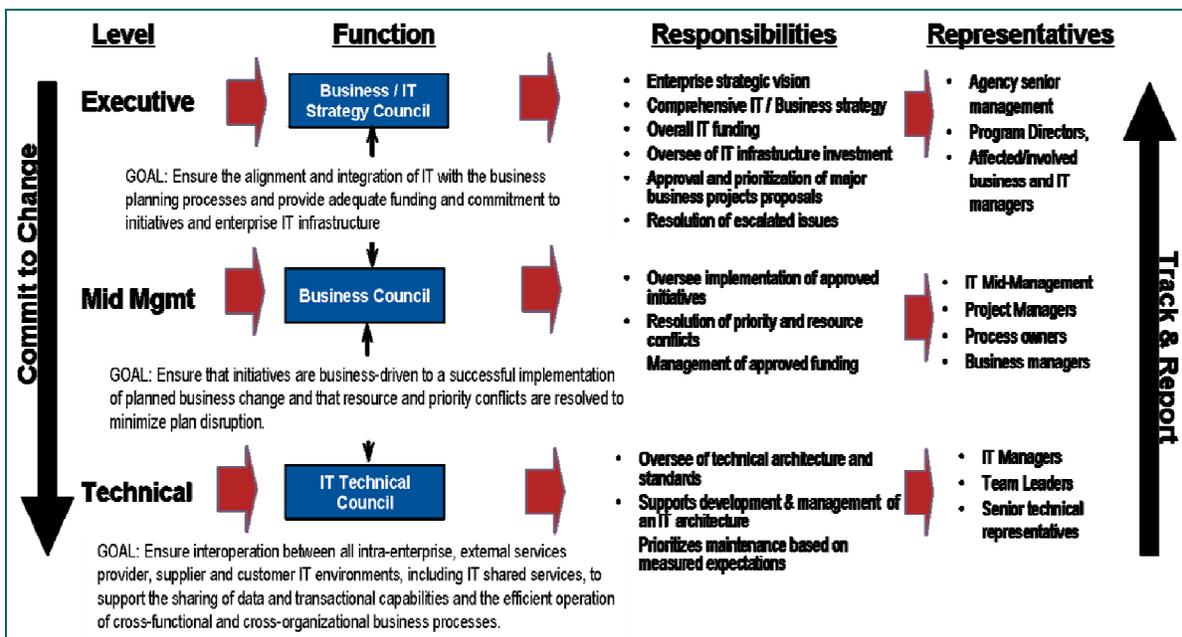
Enterprise Governance is about who is responsible for making major decisions, has input and is accountable for implementing those decisions. Governance objectives are:

- Enterprise Governance assigns decision rights and creates an accountability framework that encourages desirable behavior.
- Business Automation Framework (known in the Technology circles as Enterprise Architecture or EA) Governance is the subset of Business Governance that focuses on setting direction for the County – in terms of how to execute processes and how to use IT; both the business and IT organizations participate.

Once the organization adopts a robust Governance strategy, the model provides the organization with an effective mechanism for planning changes to meet business objectives and support desired outcomes. The governed programs are a proactive response by IT to avoid scars and expensive mistakes by anticipating business needs.

To be fully effective, Governance works better when business owns the business process of planning how to meet their needs, and utilizing technology as the tool for the results. The chart that follows, demonstrates how multiple levels of leadership and input are key to the input required for organized change and the subsequent parallel is the communication that takes place to ensure enterprise knowledge and change success.

Figure 30 - Governance Input



Montgomery County has embraced a variety of governance models that support the business drive to use technology and make effective decisions on technology investments.

6.1 Technical Operations Management Group (TOMG)

The TOMG will identify, develop and recommend enterprise policies and strategies required to guide the deployment of information technology solutions and products. TOMG will identify opportunities for improving service delivery throughout Montgomery County Government (MCG). TOMG recommendations will be made to the Chief Information Officer (CIO), the Chair of Information Technology Policy Advisory Committee (IPAC). The IPAC will have final decision authority on recommendations.

To fulfill the County's mission, the TOMG will consider the following:

- The County Executive's Mission Statement
- Customer needs and expectation, internal and external
- Work activities across lines-of-business (LOB) / departments
- The capabilities and limitations of emerging and maturing technologies



Responsibilities

In fulfilling its purpose, the TOMG will:

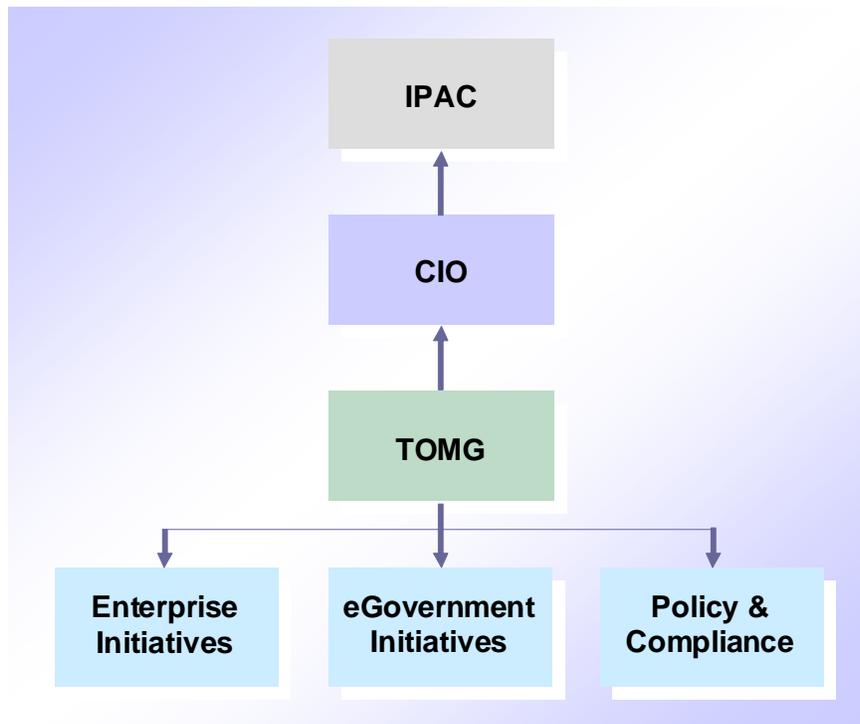
- Establish fundamental operating principles and business practices for, communications, transactions and the use of technology;
- Identify innovations and best practices to compare the effectiveness of MCG activities with government and private sector best practices;
- Strive to maximize the use of technology in MCG Departments, Offices and business lines to benefit customers and other key stakeholders;
- Endeavor to assure that all electronic content is secure, available and accurate;
- Identify key issues bearing upon the advantageous deployment, availability and use of Technology;
- Identify and standardize departmental level policies needed to ensure the security, availability and use of technology;
- Recommend policies and strategies as appropriate to ensure business needs are met;
- Consult with key user-communities and encourage these communities to communicate their technology needs;
- Recommend changes to the County Enterprise Architect; and
- Provide coordination and communication among the various Departmental groups currently working on technology projects in MCG.

Framework

In order to include all County organizations in Enterprise technology discussions and solutions, the TOMG will be based on a two-tier structure. Tier A will comprise all organizations with "in-house" technical staff. Tier B will comprise all other organizations.

Tier A organizations shall appoint a business and technical representative to the TOMG.
Tier B organizations should appoint a business representative.

Figure 31 - TOMG Framework



The TOMG facilitator, designated by the CIO, will coordinate the meetings. All meetings will have an advance agenda and each meeting will be documented through minutes. Any TOMG representative can add an item to the agenda. Other DTS required representatives include architecture, security and others as required. The TOMG will determine sub-division(s) of work effort. The work products and recommendations of the TOMG will be submitted to the CIO for review and consideration, and then submitted to IPAC for final approval.

Issues or areas of concern will be resolved to the maximum extent possible through consensus. Those issues which cannot be resolved will be forwarded to the CIO for guidance and/or decision.

TOMG representatives may designate an alternate to attend meetings. However, all TOMG representatives must have the requisite knowledge and authority to speak on behalf of the business or technical organization.

6.2 Information Technology Policy Advisory Committee (IPAC)

Montgomery County implemented an IT governance structure and processes, based on recognized business best practices, in order to plan, manage, and build support for IT projects, programs and policies. The committee is designed to facilitate the cooperation and communication among various County departments and to establish an institution to promulgate and adopt IT operating standards, policies, and architecture decisions.

The IT governance initiative includes two levels of input and review. First, the Technical Operations Management Group (TOMG) is comprised of technical representatives from each County department. Second, the IT Policy Advisory Committee (IPAC) is comprised of 12 department heads representing a cross section of County departments. The Chief Information Officer (CIO) chairs both groups.

The new IT governance structure has been instrumental in the adoption and implementation of new policies and procedures for the enterprise directory and messaging systems and in developing an overarching IT architecture standard for the County government. The governance structure will allow the County government to steer a course to introduce and coordinate the best use of IT resources in order to improve the service provided citizens and County employees.

The Need for Governance

Montgomery County was experiencing challenges due to the decentralized budgeting, planning, and management of IT systems and services. The decentralized approach fostered duplication of systems and services, operational inefficiencies, stand-alone systems that were unable to share data, and hampered the County in implementing and maintaining enterprise-wide IT initiatives.

In many cases, departments would develop or purchase systems that were not compatible with enterprise systems and had difficulties communicating with other department applications. This resulted in a County IT infrastructure with many vulnerabilities and requiring a greater amount of resources to operate and maintain. Specific examples include over 30 Network domains, over 10 independent e-mail systems, and numerous single function stand-alone business applications. Another result of this environment includes limited or ineffective IT policies.

A symptom of the lack of coordination was that departments did not have a good understanding of the strategic IT plan for the County. The operating departments also did not see the central IT department, DTS, as providing the leadership to guide the County in IT initiatives.

Departments did not have an opportunity to contribute to enterprise initiatives these initiatives with few exceptions failed or achieved limited success. The lack of the governance also hindered securing funds for major IT projects. MCG needed an effective IT governance process that allowed all stakeholders to participate in a formalized process to adopt standards, policies and IT architecture for the County.



The IT governance initiative started with the County Government's CIO recognizing that IT leadership was ineffective. The CIO proposed a two tiered governance structure, comprised of a technical level and a policy level. The technical level was designated the Technical Operations Management Group (TOMG). The policy level was designated the IT Policy Advisory Committee (IPAC). A core group of 12 operating department heads were asked to participate on the committee. The proposal was accepted and endorsed by the Chief Administrative Officer.

TOMG meets on a regular basis and focuses on technical issues. They are also responsible for a first review of policies and how they would impact business operations.

IPAC meets quarterly and focuses on policy issues, but also has the added responsibility of reviewing the standards and technical designs recommended by the TOMG. Since its inception, IPAC has undertaken establishing County policies for Internet and cell phone use, as well as creating County Internet domain naming and portal design architectures.

6.3 ITPCC Overview

The Interagency Technology Policy and Coordination Committee (ITPCC) was chartered by the Montgomery County Council on July 26, 1994 in Council Resolution No. 12-1758. The rapidly accelerating changes and opportunities presented by new information technologies presented unique challenges to both public and private sectors for efficient utilization of these capabilities. Council desired to provide a framework to encourage agencies of County government to coordinate where possible and leverage opportunities for interagency linkage and economies of scale. As stated by Councilmember Marilyn Praisner who initiated ITPCC, "the taxpayer sees one government" meaning that the differences between agency missions was not apparent to the typical citizen who has the continuing expectation that the agencies of government work together efficiently, not separately.

The mission of ITPCC is to: promote IT strategic planning and coordination among the agencies of MCG that include Montgomery County Public Schools (MCPS), Montgomery College (MC), Montgomery County Government (MCG), Maryland National Parks and Planning Commission (M-NCPPC), Washington Suburban Sanitary Commission (WSSC), and the Housing Opportunities Commission (HOC); provide a forum for coordinated implementation of technology policy and guidelines; facilitate Interagency communication including evaluation and sharing of new technologies, and advise policy makers on strategic uses of technology.

This is accomplished within a structure consisting of the ITPCC Principals, the CIO Staff Subcommittee, Project Teams, Special Interest Groups (SIGs), and Special Subcommittees. The Principals are the agency heads for the ITPCC agencies noted above. The ITPCC establishes policy, reviews work products, and establishes priorities. The ITPCC provides status reports to the Management and Fiscal Planning Committee (MFP) periodically. The CIO Staff Subcommittee reports to the ITPCC and is composed of representatives from each member agency who hold the title or role of a Chief Information Officer (CIO). The Staff Subcommittee meets periodically and proposes the yearly work plan, approves or defines the scope and tasks to be completed by the project work teams,



allocates resources to complete project tasks, reviews and approves project work products, and makes recommendations to the ITPCC based on the results of the work accomplished by the teams. Project Work Teams are designated by the CIO to perform the tasks required by the ITPCC work plan, or other special project assignments as required. Special Interest Groups (SIGs) are typically the offspring of the project work teams that have completed a project. SIGs meet to continue information sharing and dialog on issues of common interagency interest and benefit.

Examples of some of the major interagency project efforts include: development of an interagency GIS Strategic Plan in 1996 (presently being updated); establishing interagency guidelines for Internet policies; the Year 2000 project; establishment of the policy for standard replacement cycles for desktop computer systems (60k plus systems); completion of the FiberNet Strategic Plan; establishment of the Interagency FiberNet Governance Charter; establishment of the FiberNet Interagency Technical Advisory Committee; established the FiberNet Chargeback Policy; created of the FiberNet Designated Reserve Fund; developed of the IT Major Systems asset management models revealing the critical need for adequate resourcing for over \$350 million of major systems replacements and upgrades; established the Interagency Technology Fund (ITF) that currently supports multiple projects including development of Continuity of Operations Plans (COOP) in all agencies, implementation of a Central Vendor Registration System, a strategic roadmap study for CAD systems, and a new GIS Strategic Plan. There are many additional examples of interagency coordination that have been facilitated by the existence of ITPCC.

The ITPCC framework is unique in local government in that it periodically brings together the most senior decision makers in government to discuss issues and coordinate actions on a true interagency basis. The ongoing dialog among the agencies facilitates information exchanges and enables government to be more nimble in adopting policies and technology solutions to effectively and efficiently deliver services to the residents of Montgomery County.

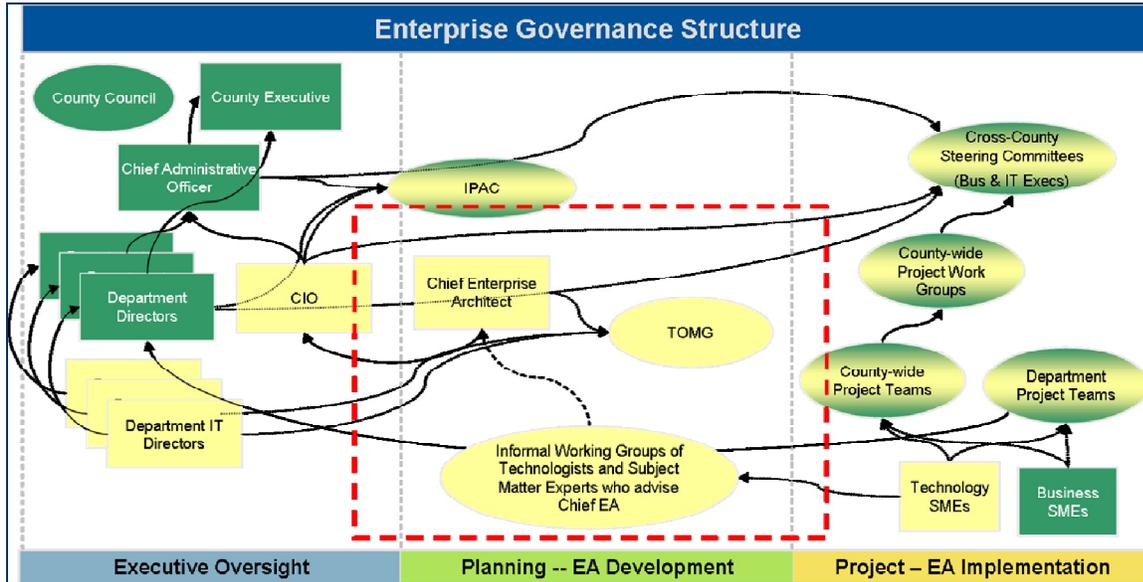
Governance Summary

While Montgomery County has a complex network for technology governance today, the introduction of our future enterprise solutions can add additional complexity to the governance process as well as offer opportunities to streamline the governance model.

In early 2008, as a part of the preparation for Enterprise Resource Planning effort, Gartner was utilized to provide an assessment of technology processes that included the governance model. The assessment outlined the current flow and also provided some recommendations on how the County might look at the future state.

The following image is Gartner's assessment of the current state of the governance model used.

Figure 32 - Enterprise Governance Structure



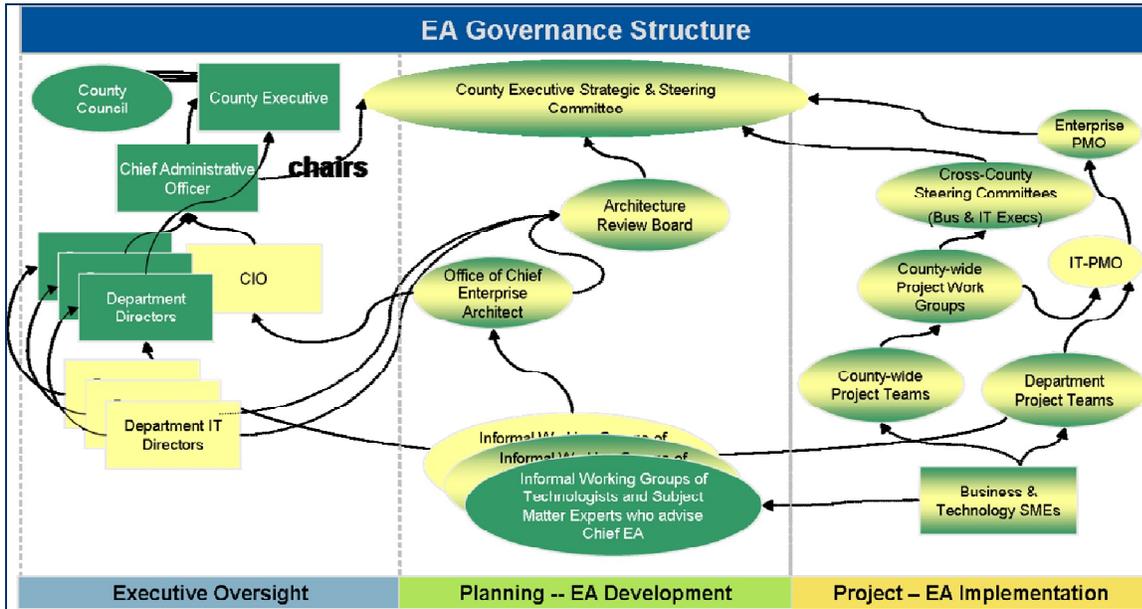
While the Gartner review did not identify any major issues with the as-is model, they did outline risks that needed to be considered. In summary, these were:

1. No formal coordination/reporting structure above Project Steering committees
2. The Project Management Office functionality is only provided for the IT dimension
3. Reliance on informal communications channels and relationships for coordinating issues with indirect stakeholders and other projects
4. Non-Enterprise activities provided limited visibility and coordination with other department initiatives
5. There was the absence of an Architecture Review Board function for providing stakeholder input into enterprise architecture transformation and lacking an enterprise approval process to support compliance.

Gartner clearly articulated that there is no single “right answer” to creating the most effective governance model. Each organization needs to evaluate the strengths and weaknesses of the IT processes to develop a model that has efficiencies, strong communications and promotes a collaborative environment in decision making that may affect the current infrastructure as well as the integration of new systems or solutions.

The following chart is one example of numerous models that were presented for consideration. This example is a direct result of the opportunities that the County will have as larger, enterprise processes begin to permeate the future technology transformations.

Figure 33 - EA Governance Structure



The example provided denotes a number of changes that will need to be considered as the County progresses with the impetus of new, broader technology solutions. The model also provides for the ability to integrate non-core technology efforts into the broader, enterprise model. This is extremely important given the vast number of technology initiatives that will be competing for visibility as their results are continually monitored to ensure the original goals are being met, objectives have not changed and that these programs are healthy to move forward.

Some of the changes that this model asks the County leadership to examine include a transformation of current governance groups. As an example, the TOMG group in the older model, given the tasks and accountabilities in the current state, transitions into the Architecture Review Board to take more of a technical role in change / modernization recommendations.

Many of the recommendations from the Gartner review have created momentum on the development of a future Enterprise Governance recommendation. While the final outcomes of the leadership have not been finalized, the change in direction and commitment to bringing business views and input into technology transformation is considered a best practice for organizations that truly embrace technology as a tool for future success.

Goal:
Continue to develop leadership oversight mechanisms that provide for business inputs and impacts while managing and modernizing technology to support business outcomes.