



PROPRIETARY AND CONFIDENTIAL DRAFT REPORT FOR  
**CITY OF ROSEVILLE**  
STRATEGIC TECHNOLOGY PLAN PROGRESS ASSESSMENT

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## I. BACKGROUND

In April 2013, the City of Roseville completed development of a Three-Year Citywide Strategic Technology Plan. The City's goals and objectives for the project primarily focused on the creation of a strategic plan that would be used to guide the City's efforts toward achieving a clearly defined vision and would align with the overall business objectives of the City and each Department. It was also expected that the plan would account for goals and initiatives of interest to the IT department which included continuously improving support for internal users (City staff), allowing the Departments to realize efficiencies within service delivery to the community (including residential and business/commercial customers). The primary goals were summarized within the following:

- Guarantee that the strategic technology direction of the City aligns with the business strategies, objectives and meets customer needs
- Ensure that the strategic initiatives strengthen and reinforce the vision of the City as a whole
- Reinforce the acceptance of the City as a technology leader within the region
- Improve collaboration between the IT Department and other departments
- Strengthen Technology Governance processes
- Capitalize on current trends within the technology sector that allow for realization of efficiencies

The resulting plan included a series of initiatives with associated strategies and expected outcomes that were driven by internal and external factors within the technology environment of the City as well as that of the broader market and industry. The plan was not designed to provide a detailed road map with turn-by-turn directions, but instead represented a compass to be used for navigation and orientation as the City made decisions on how best to utilize technology budgets and resources.

The process was straightforward and was largely driven by the customers. The project approach was designed to be streamlined and efficient, building on previous efforts that the IT Department and City had already undertaken. The process included interviews to capture the voice of the customer, which helped identify the wants and needs of departments. This effort was important to balance the demand for business technology services versus the limited supply of resources available in the City. The process further helped ensure that the highest-priority efforts would be undertaken, supporting transparency and access from a variety of stakeholders.

However, implementation is oftentimes the most difficult part of the strategic planning process. It involves achieving the objectives set out in the strategic plan while remaining alert and flexible to new opportunities as they unfold. With foresight, the City built a monitoring process into the original engagement. The reasoning behind establishing ongoing monitoring and evaluation is sound and is fundamentally built around determining if the City is: achieving its objectives; showing progress towards its goals; meeting the needs of its stakeholders; efficiently and effectively using its resources; and able to demonstrate the impact and/or progress.

## II. PROGRESS ASSESSMENT

The overarching focus of the current project has been on assessing progress against the Citywide Strategic Technology Plan. Given the nature of the plan (with its emphasis on providing course navigation) and the goals of the planning effort, the project team focused foremost on evaluating whether the City has stayed on course towards achieving goals related to alignment, collaboration, governance, etc.

Since the project involved examining the activities of the IT Department, the City further requested that broad consideration be given to how the progress and performance of the IT Department ties into a parallel citywide initiative. In 2012, the Roseville City Council approved a five-year rotational cycle of performance audits to ensure city departments were operating efficiently, managing risks effectively through established internal control structures, and practicing fiscal responsibility and proper stewardship of public funds and resources. To this end, the City requested preliminary feedback regarding the IT Department relative to the various categories against which its performance will be measured in the coming year.

Given these factors, the process involved working with the IT Department to review its activities over the plan's time horizon, as well as interviewing stakeholders, users, and participants in the prior planning process. The extent to which the City achieved initial plan goals and objectives, utilized the plan framework, and performed in the audit categories has been analyzed. With this in mind, the project team structured this effort around some key questions, as follows:

- Has the City effectively used the plan to guide and influence technology decisions as well as project prioritization? Have City and technology resources been directed towards the initiatives/projects set forth by the plan?
- How well has the plan served in meeting the primary purpose for the strategic technology planning effort?
- Will there be any surprises about which the City should be concerned during an operational audit of the IT Department?
- What are the lessons learned and the next steps in terms of the City's strategic technology planning efforts?

Within each of the following report sections, analysis related to these core questions has been assembled for consideration.

### A. PLAN EXECUTION

The initial questions naturally focus on the reasoning behind establishing the monitoring and evaluation process. That is, to assess whether plan objectives have been achieved, resources have been utilized appropriately, stakeholder needs have been met, and demonstrable progress has been made. Information gathered from interviews and from listings of technology projects completed or

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initiated since plan inception revealed that the City has utilized resources towards efforts that align with many of the strategic initiatives and meet stakeholder needs, thereby achieving certain objectives.

However, this has occurred despite a number of factors that reveal the plan was not central to guiding, influencing, and prioritizing these technology decisions. Primary factors contributing to this situation relate to the ongoing efforts the City has had with technology governance, thereby missing an opportunity to incorporate the plan into transparent decision-making processes and directly address governance issues. This is exacerbated by the lack of clarity regarding the role of the Technology Governance Committee (TGC) as well as the TGC's reported decline in participation. Nevertheless, the progress assessment has raised productive questions not only concerning governance and the TGC, but also regarding the most suitable approach for subsequent strategic technology planning efforts.

To be sure, the plan has been effectively utilized in productive ways by IT Management as a means to communicate and demonstrate the linkages with the citywide GIS plans, to orient new department heads to the City, and to present proposed technology expenditures to City Council. As noted, while the plan may not have been actively incorporated into some governance processes, the framework created by the ten initiatives laid out in the plan remained active themes for grouping projects, communicating the status of ongoing projects and highlighting the efforts of the IT Department for City and departmental management. The following table links the projects pursued with the strategies and initiatives laid out in the plan.

Initiative	Strategy	Representative Projects/Progress
Information Management	Strengthen Data Management	<ul style="list-style-type: none"> <li>• SharePoint Pilot and Implementation</li> <li>• Project Enterprise Dashboard</li> </ul>
	Pursue Systems Integration Opportunities	<ul style="list-style-type: none"> <li>• eDisclosure (Form 700) / eCampaign</li> <li>• 20+ interfaces with Public Safety Computer system (New World Systems)</li> </ul>
	Enhance Decision Support & Performance Management	<ul style="list-style-type: none"> <li>• ESRI Business Analyst Online</li> <li>• Enterprise Reporting</li> <li>• Project Dashboard</li> </ul>
Enterprise Systems	Expand Capabilities, including Support, of Current Enterprise Systems	<ul style="list-style-type: none"> <li>• IFAS Technology Upgrade</li> <li>• CIS Technology Upgrade</li> <li>• Office 365</li> </ul>
	Address Needs for New Enterprise and Vertical Systems	<ul style="list-style-type: none"> <li>• ERP Selection Kick-off</li> <li>• CIS Implementation</li> <li>• Accela Automation</li> <li>• Integrated Library System (ILS)</li> <li>• Maximo Enterprise Asset Management</li> </ul>
Process & Workflow Improvement	Improve Data Flow through Systems Integrations and Interfaces	<ul style="list-style-type: none"> <li>• eDisclosure (Form 700) / eCampaign</li> <li>• 20+ interfaces with Public Safety Computer system (New World Systems)</li> </ul>

Initiative	Strategy	Representative Projects/Progress
	Pursue Agenda Automation	<ul style="list-style-type: none"> <li>• Agenda Management System</li> </ul>
	Identify Additional Paperless Opportunities	<ul style="list-style-type: none"> <li>• Docathon SOP Management System</li> <li>• SharePoint Pilot and Implementation</li> <li>• Law Enforcement Records Management System</li> </ul>
Records Management	Utilize Technology to Implement Records Retention Policies	<ul style="list-style-type: none"> <li>• SharePoint Pilot and Implementation</li> <li>• Agenda Management System</li> </ul>
	Optimize Use of Document Management Systems	<ul style="list-style-type: none"> <li>• Agenda Management System</li> <li>• Accela Citizens Access</li> <li>• Law Enforcement Records Management System</li> </ul>
	Establish Reasonable e-mail Retention Policies	<ul style="list-style-type: none"> <li>• eMail Retention policy</li> <li>• Office 365</li> </ul>
Customer Service & Governance	Expand Customer Service Capabilities	<ul style="list-style-type: none"> <li>• Remedy IT Service Management System</li> <li>• Customer Outreach Assignments</li> <li>• Application Teams Realignment</li> </ul>
	Improve Collaboration and Communication with Departments	<ul style="list-style-type: none"> <li>• Office 365</li> <li>• Customer Service Surveys</li> <li>• Technology Insiders Group</li> </ul>
	Institutionalize IT Governance Processes	<ul style="list-style-type: none"> <li>• IT Governance Continuous Improvement</li> <li>• Project Portfolio Management System</li> </ul>
	Ensure System Reliability	<ul style="list-style-type: none"> <li>• IFAS Technology Upgrade</li> <li>• CIS Technology Upgrade</li> <li>• WiFi Upgrade/Replacement</li> <li>• SQL Server Upgrade</li> </ul>
Emerging Technologies	Pursue Cloud/Software-as-a-Service Opportunities	<ul style="list-style-type: none"> <li>• Office 365</li> <li>• Integrated Library System (ILS)</li> <li>• ArcGIS Cloud Online</li> </ul>
Mobile Workforce	Develop a Mobile Strategy	<ul style="list-style-type: none"> <li>• Mobile Device Standardization</li> <li>• Mobile Devices Testing</li> </ul>
	Enable Greater Mobility of the Workforce as well as Citizen Interaction through Mobile Technologies	<ul style="list-style-type: none"> <li>• Website Upgrade</li> <li>• Virtual Private Networking</li> <li>• Office365</li> <li>• MSDSONline</li> </ul>
eGovernment & Citizen Interaction	Coordinate Social Media Presence	<ul style="list-style-type: none"> <li>• Social Media Center</li> <li>• eMail Notification Subscriptions</li> </ul>
	Solidify Virtual City Hall Plans	<ul style="list-style-type: none"> <li>• eGovernment Strategic Plan</li> <li>• CMS Replacement</li> </ul>
	Achieve Greater Openness, Communication, and Accountability through Transparency	<ul style="list-style-type: none"> <li>• eDisclosure (Form 700)</li> <li>• Open Data Portal</li> <li>• ESRI Story Maps</li> <li>• SB272 Catalog of Enterprise Systems</li> </ul>

Initiative	Strategy	Representative Projects/Progress
Security & Privacy	Pursue Balance between Security and Productivity	<ul style="list-style-type: none"> <li>• SANS Institute Training</li> <li>• Information Security Administrator Position</li> <li>• Security Technology and A/V Standards</li> </ul>
	Expand Remote Access Capabilities	<ul style="list-style-type: none"> <li>• Virtual Private Networking w- Two-Factor Authentication</li> <li>• Office365</li> <li>• System Center Configuration Manager</li> </ul>
	Ensure Regulatory Compliance	<ul style="list-style-type: none"> <li>• eDisclosure (Form 700) / eCampaign</li> <li>• Computer Usage Policy (CJIS, PCI Compliance)</li> <li>• SB272 Catalog of Enterprise Systems</li> </ul>
Innovative Ideas & Workforce Empowerment	Pursue Innovative Funding Strategies	<ul style="list-style-type: none"> <li>• Cost of Service Chargeback Study</li> <li>• Annual Rehab Funding</li> </ul>
	Increase Citywide Buying Power	<ul style="list-style-type: none"> <li>• PublicPurchase.com</li> <li>• Open Purchase Orders</li> </ul>
	Provide Adequate Training	<ul style="list-style-type: none"> <li>• Project Management Training</li> <li>• Cyber Attack Exercise</li> <li>• Formal Onboarding</li> <li>• Pluralsight eLearning</li> </ul>

Over the plan's time horizon, there appeared to be a shift in how the plan was utilized to communicate and demonstrate the linkages to overarching goals of the City. Whereas the plan was developed with a strong tie-in to the mission, vision, values and goals largely borne through the City Manager's office, more recently alignment with the City Council goals has become more prevalent. This shift has not been disruptive given the fact that the goals, values, and philosophies of both City Management and City Council are naturally in sync.

Project sponsors provided documentation fashioned to represent the alignment of IT programs, initiatives, and project listings (initiated, completed, near-term, long-term, and maintenance) with Council Goals and the Strategic Technology Plan. While this documentation is potentially useful in depicting the efforts of the IT Department in support of Council goals, it nevertheless appears to be more representative of a point in time mapping rather than indicative of a process that occurred over time with such intentions. Further, the documentation excludes some key elements, including a discussion of how the technology-oriented descriptions of each goal were derived as well as linkages to the strategic plan initiatives. As a result, the reader may be left to assume that the materials were prepared utilizing 20/20 vision in hindsight.

The City is fortunate to be in a position to exhibit success in deploying, utilizing, and maintaining technologies that effectively support and demonstrate progress towards achieving the goals set forth by the City's elected representatives. As noted, this success did not come through dutiful conformity with the strategic technology plan tenets. Rather, it is more likely attributed to the IT Department's faithful devotion to the vision the team had developed prior to the planning effort. This vision was designed to aid in the realization of the overarching City vision, and is comprised of strategic components and values which include valued partnerships and collaboration, technology


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leadership, and agility and innovation. While this vision was a key influencer in the development of strategic initiatives within the plan, one can make the argument that it also drove the initial planning project itself, particularly the emphasis placed on listening to the voice of the customer.

### B. PLANNING PURPOSE

The second question focuses on the extent to which the preliminary purpose of the planning effort has been achieved through the development and subsequent execution of the plan. The purpose was tied to a set of goals listed in the plan and described as shaping not only the structure of the plan document but also the strategies and initiatives included therein. Based on the discussions and review of documentation, the table below provides a brief discussion regarding the extent to which each listed goal has been met through the strategic technology planning process.

Goal Focus	Summary Assessment	Goal Met?
Align technology with business objectives and customer needs	The voice of the customer and the City's mission/vision represented the primary internal drivers/influencers of strategic initiatives within plan;	✓
Reinforce and strengthen vision	As noted above, IT Department vision, and the overarching City vision from which it was derived, has remained a primary driver.	✓
Further establish regional technology leadership	The City continues to be recognized for Excellence in IT Practice and is committed to the pursuit of regional partnerships, particularly within the public safety realm.	✓
Improve collaboration between IT and customers	A majority of City representatives involved in the assessment spoke favorably of progress made by the IT Department in collaborating and strengthening service.	✓
Strengthen governance	<p>The City continues to make improvements with technology governance but has not yet effectively established processes for defining and measuring expected outcomes. The number of projects reviewed and approved by the TGC grows year over year; however, this is attributable more to the increase in the number of projects presented to the group than anything to do with the effectiveness of the group.</p> <p>The timeline has been reduced from quarterly to monthly for reporting out on committee activities and projects reviewed. In addition, the Committee has been taking advantage of technologies such as SharePoint to realize some efficiency with respect to project proposal and concept paper submittal and review.</p>	—

Goal Focus	Summary Assessment	Goal Met?
Capitalize on trends to realize efficiencies	While projects have been initiated and/or completed that should streamline processes and automate data interchange to realize efficiencies, the City has not accomplished this through attention to technology trends or by positioning itself on the leading edge. However, the City appears to be shifting gears through development of the Technology Insiders group.	

Most goals appear to have been achieved over the course of the plan timeline which leads to the conclusion that the purpose has been met. Closer examination shows that maintaining focus on accomplishing its vision again contributed to much of the success the City and IT Department had in meeting the purpose and goals for conducting the planning process.

Here again the progress assessment has highlighted governance issues that contributed to the plan becoming more of a static document than an organic, dynamic one. There are other contributing factors that should be highlighted in order to make subsequent planning even more successful. Given the nature of the Citywide Strategic Technology Plan as a “big picture” document, within the plan itself there was limited discussion around actionable, measurable steps and/or assigned roles and responsibilities for accountability of implementation. In addition, limited communication and visibility outside of the IT Department and the participants in the planning process allowed the plan to sit relatively idle.

### C. AUDIT CATEGORIES

As noted, the City requested preliminary feedback in advance of an upcoming operational audit slated for the IT Department as part of the five-year rotational cycle. While a common set of performance categories has been developed, given the diverse nature of the departments, including service offerings and customer base, it is first necessary to come to consensus on the relevance of the categories/attributes to each operation being audited. As such, the project team put some effort into interpreting what each performance category means with respect to IT Department operations in order to provide the requested feedback.

The following table provides the results of the high-level assessment, noting the performance category and representative operational/organizational elements that serve as the basis for evaluation. The assessment on each of the categories or performance attributes has been developed based on discussions with stakeholders, review of documentation, and observations over the past few years.

Category/Attribute • <i>Relevance to IT Department</i>	Assessment
<b>Product Quality</b> <ul style="list-style-type: none"> <li><i>Programs, services, technologies, and functionality align with customer needs, requirements, and expectations</i></li> <li><i>Quality control mechanisms exist to measure outcomes and success/failure</i></li> </ul>	<ul style="list-style-type: none"> <li>✓ The department has a commitment to continuous improvement of service delivery, system reliability, and project management, which can be evidenced by its success in delivering projects on time and on budget</li> <li>✓ Stakeholder interviews highlighted some areas where users had unmet needs in terms of system functionality (such as complex scheduling capabilities); however, follow-up with the IT department revealed that in most cases the needs were being addressed by projects still in process</li> <li>— Project proposals include a section where expected benefits can be listed; however, current governance processes focus more on assessing project success or failure and does not make a determination whether benefits were realized</li> </ul>
<b>Customer Satisfaction</b> <ul style="list-style-type: none"> <li><i>Focus on Voice of the Customer to strengthen relationships and meet/exceed expectations</i></li> <li><i>Processes established for listening to customer, measuring satisfaction, providing customer support, incorporating feedback, managing relationships, and ensuring value</i></li> </ul>	<ul style="list-style-type: none"> <li>✓ Strategic Technology Plan was driven by VOC</li> <li>✓ Continuous feedback on SharePoint project to incorporate lessons learned as rollout to new departments</li> <li>— The mixed reviews with respect to the SharePoint rollout are indicative of the fact that the IT department realizes greater success when they adopt a consultative role with the departments and the departments recognize their role in determining how the technology will be used</li> <li>— The department recognizes a need for greater alignment with each department</li> <li>✗ The department does not appear to have conducted customer satisfaction surveys within the past few years</li> </ul>
<b>Employee &amp; Leadership Development</b> <ul style="list-style-type: none"> <li><i>Competent, motivated, adaptive, and safe-working staff/management that value people/customers</i></li> <li><i>Participatory, collaborative organization dedicated to:</i> <ul style="list-style-type: none"> <li><i>- mission, vision and values</i></li> <li><i>- continual learning and improvement</i></li> <li><i>- knowledge retention</i></li> <li><i>- opportunities for professional and leadership development</i></li> <li><i>- creation of integrated, well-coordinated team</i></li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>✓ The department always appears to share a particular camaraderie that likely results in a productive work environment</li> <li>✓ Department leadership continuously remains focused on the mission, vision and values adopted by IT</li> <li>✓ There is an emphasis on learning and training, with the department budgeting more per FTE than most of the City. The department also provides training to the City in the areas of business analysis, project management, and cybersecurity</li> <li>✓ Staff in administrative positions are given opportunities to evolve their career and move into positions more technical in nature</li> <li>✓ Based on the volumes of documentation that the City has provided for projects, it appears knowledge retention remains high</li> </ul>

Category/Attribute • <i>Relevance to IT Department</i>	Assessment
<p><b>Operational Optimization</b></p> <ul style="list-style-type: none"> <li>• <i>Focus on continuous improvement and innovation of processes/work systems for efficiency and effectiveness, standardization, and redundancy minimization</i></li> <li>• <i>Maximized return on investment of resources, minimal service errors and downtime, and control of costs</i></li> </ul>	<ul style="list-style-type: none"> <li>✓ The department has a commitment to continuous improvement of service delivery, system reliability, and project management, which can be evidenced by its success in delivering projects on time and on budget</li> <li>✓ The department recently re-organized to ensure improved alignment with the goals and initiatives set forth by the City Council</li> <li>✓ Based on recent project pursuits, the department seeks technologies that may allow for the realization of cost-savings and efficiency gains such as virtualization and enterprise integration frameworks;</li> <li>— However, these technologies have been available for quite some time. In that regard, the City may be risk averse or slow adopters with respect to new technology trends</li> <li>— SharePoint rollout offers opportunities to realize operational improvement, standardization and innovation, but some stakeholders still not clear on how it is to be used</li> </ul>
<p><b>Financial Viability</b></p> <ul style="list-style-type: none"> <li>• <i>Managed and optimized financial resources allocated to highest and greatest need</i></li> <li>• <i>Known TCO of programs and services, acceptable cost recovery mechanisms and strong internal financial controls</i></li> </ul>	<ul style="list-style-type: none"> <li>✓ The City is currently examining its cost recovery methodologies and the IT Department is focusing on preparing a plan for moving to a cost recovery/reimbursement model which will require that the department fully understand the costs of providing specific services. Not much information is available to effectively assess this category currently.</li> </ul>
<p><b>Infrastructure Stability</b></p> <ul style="list-style-type: none"> <li>• <i>Known condition and costs of infrastructure assets</i></li> <li>• <i>Long-term asset maintenance, enhancement, and replacement plans consider appropriate life-cycle cost and acceptable risk</i></li> <li>• <i>Maintenance and repair activities/projects coordinated to minimize disruptions</i></li> </ul>	<ul style="list-style-type: none"> <li>✓ The City is currently examining its cost recovery methodologies and the IT Department is focusing on developing the IT Internal Service Fund which will require that the department better understand the total cost of ownership regarding information assets</li> <li>— Maintenance activities are coordinated to minimize disruptions to users, with the department scheduling downtime and maintenance activities on the same day each month and sending out reminder communications seven days in advance</li> </ul>

Category/Attribute • <i>Relevance to IT Department</i>	Assessment
<b>Operational Strength</b> <ul style="list-style-type: none"> <li>• <i>Collaborative culture with customers, responsive to customer problems, spirit of teamwork and continuous improvement</i></li> <li>• <i>Proper mix of skills to meet service demands and accomplish mission/vision</i></li> <li>• <i>Understanding of internal and external business risks, and anticipation of and response to trends</i></li> </ul>	<ul style="list-style-type: none"> <li>✓ Working well with Government Relations Team internally on projects as well as externally to understand and respond to pending legislation to mitigate risks and effect change</li> <li>✓ The department has a commitment to continuous improvement of service delivery, system reliability, and project management, which can be evidenced by its success in delivering projects on time and on budget</li> <li>✓ The City has embarked on developing a Business Impact Analysis (BIA) that further brings IT together with the departments to understand risks and threats as well as to prioritize services for resumption culminating in plans for business continuity and disaster recovery</li> <li>— There is as perception that all technology decisions are made by the IT department which can lead to the impression that IT is a barrier to obtaining and implementing systems when a concept paper gets rejected</li> </ul>
<b>Community Sustainability</b> <ul style="list-style-type: none"> <li>• <i>Promotion of sustainability practices, ideas and efforts as well as employee health and wellness</i></li> <li>• <i>Facilitation of reduced energy dependency, waste reduction, and increased recycling</i></li> </ul>	<ul style="list-style-type: none"> <li>✓ The department is leading the efforts to replace the Content Management System (CMS) in an effort to streamline communications and interactions between the City, its departments, and the citizens and customers.</li> <li>— The department continues to explore options that could reduce energy dependency, including virtualization and cloud technologies; however, the drivers of this relate more to interest in capitalizing on trends than it does on sustainability</li> </ul>
<b>Resource Adequacy</b> <ul style="list-style-type: none"> <li>• <i>Long-term resource supply and demand analysis to serve current and future customer needs</i></li> <li>• <i>Clear understanding of hardware and software replacement cycles</i></li> <li>• <i>Infrastructure reinvestment and stewardship through needs analysis and utilization of necessary tools, facilities and resource allocation</i></li> </ul>	<ul style="list-style-type: none"> <li>✓ IT has been working much more closely with the departments through key points of contact</li> <li>— Still working through project portfolio management in order to improve resource allocation across projects and day-to-day maintenance activities</li> <li>— Some stakeholders interviewed reported concerns that the service desk appeared to be stretched thin</li> <li>✗ Formal analysis related to long-term supply and demand of resources along with analysis of the total cost of ownership when assessing alternatives or making acquisitions of information assets has not been incorporated into technology decision-making and governance processes. The ITISF project should provide a means by which to establish some baselines.</li> </ul>

Category/Attribute • <i>Relevance to IT Department</i>	Assessment
<b>Stakeholder Understanding &amp; Support</b> <ul style="list-style-type: none"> <li>• <i>Continuous education, dialogue and feedback about services through data driven facts and managed expectations</i></li> <li>• <i>Recognition of supportive relationships and accountability to oversight bodies</i></li> <li>• <i>Active involvement of stakeholders in decisions that affect them</i></li> </ul>	<ul style="list-style-type: none"> <li>✓ Stakeholders interviewed noted that over the past six years there has been a drastic opening of the doors, as IT has become more transparent, and has shown positive changes as departments experience greater ease of interactions with IT</li> <li>✓ Departments would like to see IT continue to improve communications around what they do and what they can do</li> <li>✓ IT has been working much more closely with the departments through key points of contact</li> <li>— The benefits, features, and functionality associated with SharePoint have not been effectively articulated</li> <li>— The Department reports on performance indicators of work volume and efficiency/effectiveness, but includes very little contextual information to make the metrics meaningful</li> </ul>
<b>Safety</b> <ul style="list-style-type: none"> <li>• <i>Secure environment for employees, visitors, and users of all service</i></li> <li>• <i>Trained employees to recognize and respond to unsafe practices, emergencies, incidents and unnecessary risks</i></li> <li>• <i>Adequate Incident detection, prevention, response, and management</i></li> </ul>	<ul style="list-style-type: none"> <li>✓ Created a security manager position to ensure that security-related issues receive adequate attention</li> <li>✓ Worked to amend legislation that could have required release of sensitive information impacting the security of critical assets</li> <li>✓ CIO Communications to the City and posted on the City's website have been largely focused around cybersecurity to increase awareness not only amongst City personnel but also the community at large</li> </ul>

The anticipated operational performance audit will go into much more depth in these and several other areas. However, given the focus of the strategic plan progress assessment on the major activities and projects undertaken by the IT department over the past three years, the project team was able to gain a high-level understanding of the IT operations in order to assess performance. This information has been assembled to provide the department with a preliminary glimpse into performance areas that may be functioning as expected as well as areas that may need increased focus.

### III. LESSONS LEARNED & RECOMMENDATIONS

Fundamentally, this project represents a milestone with respect to the Three-Year Citywide Strategic Technology Planning effort and resulting plan published in 2012. The project has focused on examining the activities of the IT department over the past three years to determine whether the purpose, goals, and objectives of the planning effort were met and whether the plan served to guide technology investments over the past three years. In addition, since the project involved gaining an understanding of the IT operations during this time period, the City requested that the project team provide feedback relative to the performance categories that comprise the core of the rotational performance audits that all City departments undergo. Within this final section of the progress assessment report, issues and lessons learned are reiterated and highlighted to facilitate presentation of proposed next steps.

#### A. TECHNOLOGY GOVERNANCE

As noted within the themes that provide the framework for the City's overarching goals, there is significant importance placed on the attributes embodied within the "One City" concept. Core to this concept is the emphasis placed on working together as a team, both among city departments as well as with the community to accomplish the collective fiscal and economic development goals, including delivering exceptional customer service. Cross functional teams have been assembled throughout the City for the express purpose of fostering teamwork and collaboration as well as to ensure buy-in and sound decision-making.

Naturally, technology governance within the City has been built around the Technology Governance Committee (TGC), which is a cross-functional team assembled to review proposals and business value related to City technology projects. The group meets regularly, reviews project proposals, and makes recommendations to the City's Executive team on whether to fund the projects. As noted within the progress assessment, the volume of projects that the TGC has reviewed and approved has steadily increased; however, the TGC and its role within the decision-making processes related to technology resources does not, in and of itself, indicate healthy and robust governance.

Technology governance incorporates multiple inter-related disciplines that together establish the strategies, structures, processes and measurements for the management of technology and technology resources. In order to move technology governance to the next level (say, for example, in a traditional maturity model), the City needs to recognize that governance goes beyond making decisions on whether or not to allocate technology resources to a given proposed project, initiative, or strategy.

The following bullet list identifies the component processes or disciplines that make up technology governance according to the IT Governance Institute, and provides summary recommendations for the City's consideration with respect to continuous improvement of technology governance.

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- **Alignment** – The department should continue to plan and act to provide a strategic direction of IT and the alignment of IT and the business, not only with respect to projects, but also with respect to services that the department offers, manages, and delivers.
- **Value and Service Delivery** – From a value perspective, as the City shifts to an internal service fund model, increased focus will be placed on ROI and ensuring that the City as a whole is perceiving and/or receiving adequate value from investments. With respect to service delivery, the department can continue to emphasize collaboration, cross-functional teaming, and continuous improvement.
- **Risk Management** – When it comes to risk, focus has largely been on security, but there may be opportunities to adopt a control framework across the board, particularly with respect to the lifecycle of IT investments, from acquisition to implementation to ongoing maintenance.
- **Resource Management** – In this area, the City has been focusing on project portfolio management, but should now take into consideration the total cost of ownership and plan resource utilization associated with ongoing maintenance and management of resources. This should include the department's human resources, capitalizing on staff development, succession planning, and ongoing training efforts to ensure adequate capabilities exist for current and future needs.
- **Performance Measurement** – At the project level, the City should incorporate processes into governance that guarantee expected benefits outlined in project proposals are re-visited to ensure expectations have been met. For the department as a whole, KPIs for performance measurement should be meaningful and tie back to the other key areas above.

The City should examine each of these areas independently with a goal of assessing how they can all be tied together in an effort to strengthen (or continuously improve) technology governance.

## B. STRATEGIC PLANNING PROCESS

The lessons learned within the progress assessment process suggest that strategic technology planning should be treated in a more dynamic fashion and draw a distinction between establishing a longer-term framework of strategic initiatives versus annual operational efforts. In this regard, the City should give consideration to:

- Continuing to align IT Department mission/vision/values/goals with those of the City
- Continuing to treat the Citywide Technology Strategic Plan as a longer-term plan representing a framework of strategies/initiatives/program recommendations
- Adding elements to the plan and to project proposals that allow for better outcome/performance measurement
- Developing elements to make people more accountable to using the plan (roles/responsibilities)
- Focusing more on preparing and managing annual operational plans, making sure they are tied to strategies/initiatives and have associated KPI that align with outcome measurements

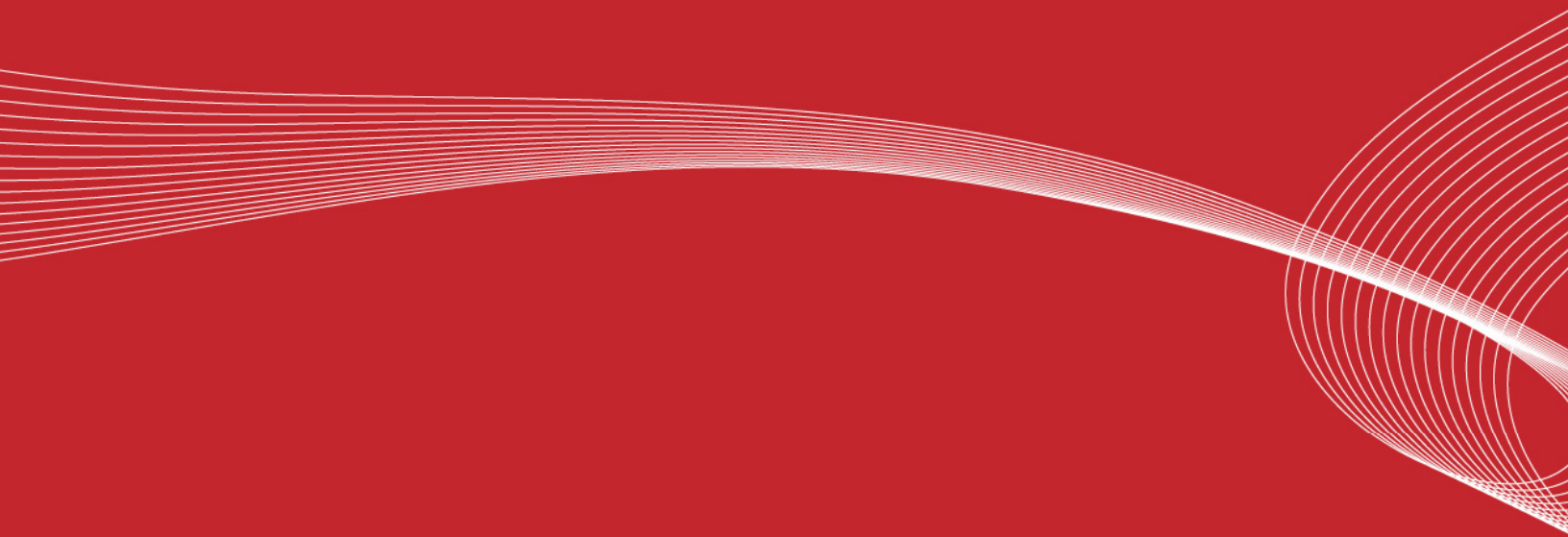
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- Expanding communication efforts related to the completion of the plan to increase awareness across the city

### C. ADDITIONAL RECOMMENDATIONS

In addition to the lessons learned and recommendations related to the strategic plan and technology governance, a few additional recommendations were identified:

- Consideration should be given to the development of Service Level Agreements (SLAs) between the IT Department and the departments that not only establish the levels of service, but define the services themselves, the roles and responsibilities of the customers and the metrics to be used to measure compliance
- Given the positive reaction of the City staff and management to the changes that have been made within IT over the past six years, the department should identify ways to further improve department transparency, including giving consideration to publishing maintenance schedules/calendars. With the implementation of the new service desk system, the department has the opportunity to more effectively communicate status of issues and incidents reported by users, thereby keeping them in the loop and informed rather than leaving them guessing.
- The IT Department should continue adopting a collaborative or consultative approach with the departments as a means to realize continuous improvement when it comes to service delivery. The needs of the departments from a system, functionality, and support standpoint should become a core component of an ongoing dialog that the department has with its customers.



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