



# TRANSITION HANDBOOK

- **Governor's Transition Team  
IT Assessment Template**
- **Chief Information Officer  
Transition Handbook**



National Association of State  
Chief Information Officers



---

# TRANSITION HANDBOOK

---

By Glenn W. Robertson and Thomas R. Davies



National Association of State  
Chief Information Officers

Copyright, 2002 National Association of State Chief Information Officers (NASCIO)  
This document may not be reproduced in whole or in part without the written permission of the publisher.

## Sponsors



**AMS**  
Steve E. Kolodney  
Vice President  
Digital Government  
Public Sector Group  
1215 K Street, Suite 1000  
Sacramento, CA 95814  
(916) 283-2020  
steve\_kolodney@ams.com



**AT&T**  
Jeff Hansen  
Vice President  
State Government Solutions  
3033 Chain Bridge Road, AH6102  
Oakton, VA 22185  
(703) 691-5312  
jeffreyhansen@att.com



**BellSouth**  
Barry Harbaugh  
BellSouth Business  
Segment Marketing Manager -  
Government  
2180 Lake Boulevard, Suite 600  
Atlanta, GA 30319  
(404) 829-6275



**Cisco Systems, Inc.**  
Michele Grisham  
State & Local Government Practice Lead  
170 West Tasman, M/S 11/2  
San Jose, CA 95134  
(408) 527-9713  
mgrisham@cisco.com



**Cognos**  
Kate Holmes  
Public Sector Marketing Manager  
67 S Bedford Street  
Burlington, MA 01803  
(613) 769-9773  
kate.holmes@cognos.com



**Governing**  
Elder Witt  
Deputy Publisher  
1100 Connecticut Ave NW, Suite 300  
Washington, DC 10036  
(202) 862-1432  
ewitt@governing.com



**IBM**  
Curtis Clark  
e-business solutions  
IBM Public Sector, The Americas  
P.O. Box 12195, Building 144  
3039 Cornwallis Road  
Research Triangle Park, NC 27709  
(919) 871-6135  
cclark1@us.ibm.com



**Motorola**  
Bob Schassler  
MCEI Vice President & Director  
Integrated Solutions Division  
6450 Sequence Drive  
San Diego, CA 92121  
(858) 404-4434  
Bob.Schassler@Motorola.com



**Northrop Grumman**  
Cheryl Janey  
Vice President, State & Local Programs  
Northrop Grumman Information  
Technology  
2411 Dulles Corner Park  
Herndon, VA 20171  
(703) 713-4381  
cjaney@northropgrumman.com



**PeopleSoft**  
Kevin Horigan  
Vice President & Managing Director  
Education & Government Divisions  
6903 Rockledge Dr, Suite 1100  
Bethesda, MD 20817  
(301) 571-5915



**SAP**  
Milford Sprecher,  
Segment Manager, Public Services  
N Tower, Suite 500  
1300 Pennsylvania Ave NW  
Washington DC 20004  
(202) 312-3529  
milford.sprecher@sap.com



**SAS**  
Jeff Babcock  
Vice President, Public Sector  
SAS Campus Drive  
Cary, NC 27513  
(919) 531-7237  
Jeff.Babcock@sas.com



**Sun Microsystems Inc**  
Marty Dunning  
Operations Manager  
State and Local Government  
7900 Westpark Drive, Suite A110  
McLean, Virginia 22102  
(703) 204-4125  
martin.dunning@sun.com



**Symantec**  
Pam Carr  
Manager, National Business  
Development  
12030 Sunrise Valley Drive  
Suite 200  
Reston, VA 20191  
(703) 262-2809  
pcarr@symantec.com



**3com**  
Larry Geller  
Public Sector Marketing Manager  
5400 Bayfront Plaza M/S 1515  
Santa Clara, CA 95052  
(408) 326-8179  
larry\_geller@3com.com



**Unisys**  
Greg Baroni  
President  
Unisys Global Public Sector  
8008 Westpark Drive  
McLean, VA 22102  
(703) 556-5200  
greg.baroni@unisys.com

# **Table of Contents**

**Acknowledgements**.....ii

**Governor’s Transition Team IT Assessment Template**

Introduction.....1

Section 1: The Governor’s IT-Related Business Priorities.....4

Section 2: The Governor’s IT Priorities.....5

Section 3: Current State IT Assessment.....11

Section 4: IT Preference Impact Analysis.....14

**Chief Information Officer Transition Handbook**

Introduction.....1

Chapter One: Accepting the CIO Challenge.....2

Chapter Two: Keeping Up With Critical Trends.....5

Chapter Three: Talking to Power.....10

Chapter Four: Successfully Navigating State Budgeting and Financing.....15

Chapter Five: Critical Success Factors.....17

Chapter Six: Working With the IT Industry.....26

Chapter Seven: Helpful Hints.....28

Chapter Eight: Reaching Out.....31

Conclusion.....36

## **Acknowledgments**

The Transition Handbook was developed and published by the National Association of State Chief Information Officers (NASCIO) and the NASCIO Corporate Leadership Council (CLC) in consultation with the National Governors Association (NGA).

The corporate sponsors are:

<b>American Management Systems</b>	<b>Northrop Grumman</b>
<b>AT&amp;T</b>	<b>PeopleSoft</b>
<b>BellSouth</b>	<b>SAP</b>
<b>Cisco</b>	<b>SAS</b>
<b>Cognos</b>	<b>Sun Microsystems</b>
<b>Governing</b>	<b>Symantec</b>
<b>IBM</b>	<b>3Com</b>
<b>Motorola</b>	<b>Unisys</b>

This handbook has become a reality as a result of the hard work and dedicated efforts of a team of people. We would be remiss if we didn't acknowledge their contributions and hard work. First, we would like to express our appreciation to Gerry Wethington, Missouri CIO and NASCIO president, as well as Holli Ploog, vice president, Unisys and 2001-2002 chair of the NASCIO Corporate Leadership Council (CLC), for their leadership and vision to foresee the need for the handbook.

We are forever indebted to Carolyn Purcell, Texas CIO, for her leadership and willingness to dedicate hours of effort toward improving every aspect of this document. She tirelessly committed herself to sharing her wisdom and years of experience as a CIO, and took on the formidable job of synthesizing the comments and feedback from the steering committee.

We would also like to extend our appreciation to those who read and commented on multiple drafts. They shared their insights and drew upon their first-hand knowledge to provide invaluable suggestions and tips. Many current CIOs, especially Judith Teller, New Jersey; Harry Lanphear, Maine; and Richard Varn, Iowa, made important additions. Other contributors, including Steve Kolodney, AMS; John Kost, Gartner; Michael Langrehr, CEDAR and Marlene Lockard, EzGov are former state CIOs themselves. Also Arlene King, Motorola; Marty Dunning, Sun Microsystems; Milford Sprecher, SAP; Miles Wiegold, infoUSA; John Halpin, 3Com; Pam Carr, Symantec; Jeff Hansen, AT&T; Bill Keip, Ciber; Andris Ozols, State of Michigan; and Michael Kerr, ITAA, all made substantial recommendations.

We would also like to recognize the key contributions made by Thom Rubel and Erin Lee of the National Governors Association Center for Best Practices. They added critical insights and advice from the vantage point of the governors. We would also like to thank Governor Paul Patton from the Commonwealth of Kentucky for his contribution in the Helpful Hints section of Chapter 7.

Our thanks also go out to the NASCIO staff who was essential to coordinating many aspects of the handbook. Elizabeth Miller, Beth Roszman and Matt Trail represent the best in association support and teamwork.

Finally, we would like to express our sincere gratitude to Patti Cochran who served as technical editor. Her thoughtful and professional edits of each page of the document improved the final product immeasurably.

Naturally, any omissions or errors are the sole responsibility of the authors. There were many excellent ideas that didn't make it into the final version of the handbook due to limitations on time and space. We can already see the need for a second edition, but that will have to wait until the next election year.

**Glenn W. Robertson**

**Glenn W. Robertson & Associates**

Glenn's background includes serving as Florida's Director of the Office of Planning & Budgeting and Director of Policy & Finance under three governors. He served both Democratic and Republican administrations over a nine year period. He led the production of Florida's first "Governor's Transition Handbook" in 1986 and produced revised version for each subsequent transition.

**Thomas R. Davies, Senior Vice President**

**Current Analysis, Inc.**

Dr. Davies was the former Deputy Director of the Florida Information Resource Commission (IRC), the first Cabinet level technology office in state government. He also served in Florida's Office of Planning & Budgeting and as a staff member of the Florida Legislature. He writes frequently on the topic of the management and use of technology in the public sector, and is a columnist for Governing magazine.

**About NASCIO**



NASCIO represents the state chief information officers from the 50 states, six U.S. territories and the District of Columbia. Members include cabinet and senior level state officials responsible for information resource management. Other IT officials participate as associate members and private sector representatives may become corporate members.

Association Management Resources, Inc. (AMR) provides NASCIO's executive staff.

---

# **THE GOVERNOR'S TRANSITION TEAM IT ASSESSMENT T E M P L A T E**

---

By Glenn W. Robertson and Thomas R. Davies



# **Introduction**

Newly elected Governors have little time to prepare for the job. Transition teams are routinely assembled to assist in the daunting task. A new administration must be formed, priorities established and appointments made in short order. Meanwhile, pressing state government business must be conducted, ready or not.

One area of growing importance to a new administration is the use of information technology. State government and the delivery of services to citizens have changed dramatically in recent years. Most state officials now realize that the ability to provide more timely, accurate, less costly and higher quality state government services depends to a great extent on information technology-related decisions. Many Governors are appointing a Chief Information Officer (CIO) to oversee and lead IT initiatives and help make critical decisions important to the success of the Administration. In fact, more than half the states have CIOs who report directly to the Governor.

State government operations have been revolutionized over the past decade through the application of advanced computing and communications technologies. The state CIO has been at the center of much of this revolution. Citizens routinely interact with state government today via the web - conducting transactions, communicating with officials and locating information. And the public demand for more information and greater convenience in dealing with government will continue to increase. The Governor's transition team will need tools and resources to quickly assess the state's technology needs and ongoing initiatives.

This document, published by the National Association of State Chief Information Officers (NASCIO), is a template to aid the transition team in gathering information about current state IT conditions and recording the Governor's IT-related preferences and priorities. A companion document, *The Chief Information Officer's Transition Handbook*, follows in Part Two of this publication. This handbook provides support to a newly appointed CIO and is especially focused on assisting those who are new to state government.

**The CIO plays a key role in managing how technology is implemented across the state.**  
**- Governor Paul Patton, Commonwealth of Kentucky, NGA Chairperson**

## **Purpose**

The *Transition Team IT Assessment Template* presents helpful information, asks questions and provides an electronic format for storing and retrieving answers to assess the state's IT situation. These answers will provide information critical to making IT strategic plans. The answers will also support decisions related to IT operations and CIO leadership. The template presents key IT/CIO subject areas where decisions can be considered, recorded, stored and revised if necessary. The template is divided into four sections:

*Section One:* The Governor's IT-related Business Priorities

*Section Two:* The Governor's IT Priorities

*Section Three:* Current State Assessments

*Section Four:* IT Preference Impact Analysis

## **Suggested Ways to Use the Template**

This template can be used in a number of ways to help the Governor's transition team quickly gain a high-level understanding of the IT operations across the state. Here are a few recommendations:

- Review the subject areas covered and questions presented and determine their pertinence. Add or delete subject areas as appropriate for your state.
- Use as a checklist for validating transition documents submitted by the previous administration.
- Develop a list of individuals, groups or organizations from whom to solicit answers to questions.
- Send one or more questions from the template to each answer source and request a response.
- Select a template administrator to collect, store and retrieve the answers.
- Present accumulated answers to transition team members and decision-makers.
- Record IT and CIO-related decisions as they are made.
- Use the template as a plan for IT implementation and CIO selection initiatives.

## Points to Ponder

Information technology has the potential for great contributions and controversy. The following are points for consideration regarding the subject of information technology and CIO appointments. Background stories on the serious impacts that some IT contributions and controversies have had in other states are available from the National Governors Association, the National Association of State Chief Information Officers and other government and industry parties.

- IT is a key contributor to improving state government capacities.
- IT is typically a major ingredient in reengineering government and increasing employee productivity and state agency operating efficiencies.
- IT and CIO appointments are becoming more closely connected to the Governor and can significantly impact the Administration's capacity to achieve its goals and objectives.
- The media typically shows great interest in the Governor's appointment of a CIO.
- Technology procurements can be quite large and highly competitive, which may result in a controversial selection.
- IT-related outsourcing contracts are typically pursued aggressively and can draw major political and media attention.
- CIOs with significant authority, broad responsibilities and policy influence are typically scrutinized and challenged professionally and politically.

The *Transition Team IT Assessment Template* is a single electronic source document for some key information, transition team notes, Governor's preferences and final IT-related decisions. The following four sections of the template will help the transition team and Governor prepare for successful IT initiatives in support of the Administration's goals.



# **Section 2    The Governor's IT Priorities**

The Governor's IT initiatives involve setting goals and objectives, identifying strategies for achieving them and then selecting a leadership team that can get the job done. The following questions and possible answers are compiled from a review of state trends. Once answered, the Governor's Administration will have a set of guidelines to support IT-related decision-making.

### **IT Plans**

**What are the Governor's highest priority IT goals?**  
(Indicate # 1 as the highest priority, # 2 second highest, etc.)

- \_\_\_\_\_ Maintain current state focus: no new initiatives or expansion of IT solutions
- \_\_\_\_\_ Help improve state agency operational productivity
- \_\_\_\_\_ Help cut or curtail government "unit of service" costs (same service for lower costs)
- \_\_\_\_\_ Use IT solutions to improve the delivery of state services to public customers
- \_\_\_\_\_ Provide IT services using an enterprise approach (shared services model)
- \_\_\_\_\_ Use outsourcing contracts to provide major IT services in support of state government
- \_\_\_\_\_ Increase the quality of government services
- \_\_\_\_\_ Leverage the economic development, science and technology agenda
- \_\_\_\_\_ Other: \_\_\_\_\_
- \_\_\_\_\_

### **Transition Team Notes**

---

---

---

---

---

---

---

---

---

---

**Below are the top IT trends in state government. Which trends are of most interest to the Governor?** (Indicate #1 for the most important; # 2 for second most, etc.)

- \_\_\_\_\_ Consolidation across departmental lines of infrastructure and related service
- \_\_\_\_\_ Implementation of a single electronic "front door" for the state (a state portal)
- \_\_\_\_\_ Getting better control over telecommunications costs
- \_\_\_\_\_ Integrating the public health security functions with the traditional public safety functions
- \_\_\_\_\_ Developing enterprise blueprints for how IT systems will work in state operations
- \_\_\_\_\_ Implementing statewide enterprise administrative systems (e.g., budget, human resources, procurement, etc.)
- \_\_\_\_\_ Implementing solutions across boundaries (e.g., Homeland Security, criminal justice, etc.)
- \_\_\_\_\_ Contracting with the private sector for IT solutions and ongoing support
- \_\_\_\_\_ Deployment of commercial off-the-shelf (COTS) software
- \_\_\_\_\_ Using state IT resources in support of other levels of government
- \_\_\_\_\_ Using IT as an integral part of reengineering the business processes of government for greater efficiency and lower costs
- \_\_\_\_\_ Demanding interoperability for government communication systems
- \_\_\_\_\_ Integrating existing legacy databases and systems
- \_\_\_\_\_ Creating integrated financial, operating and performance systems
- \_\_\_\_\_ Calculating IT returns on investment
- \_\_\_\_\_ Establishing performance accountability measures for IT solutions
- \_\_\_\_\_ Creating private and inter- and intra-governmental partnerships
- \_\_\_\_\_ Other: \_\_\_\_\_  
\_\_\_\_\_

**Transition Team Notes**

---

---

---

---

---

---

---

**A number of resources are available to help states in IT planning, development and implementation, including those listed below.** (Indicate with an "X" those of interest to the transition team.)

- National Governors Association (NGA) Center for Best Practices
- National Association of State Chief Information Officers (NASCIO) publications and conferences
- National Association of State Budget Officers (NASBO) research, publications and networking
- National Association of State Procurement Officers (NASPO) publications and conferences
- State and local government trade publications and conferences
- Industry published research
- Industry technology conferences
- Research institutions at state universities
- Other state Governors and IT offices and officials who can share experiences

**IT Organization**

**Below are the various types of CIO reporting relationships across the states. Which is preferred by the Governor?** (Indicate choice with an "X")

- CIO reports to the Governor
- CIO reports to the Chief of Staff
- CIO reports to an agency head
- CIO reports elsewhere: \_\_\_\_\_

**Transition Team Notes**

---

---

---

---

---

---

---

---

---

---

**Below are the primary responsibilities assigned to state IT offices and CIOs. Which are preferred by the Governor?** (Indicate #1 as the highest preference; # 2 the second highest, etc.)

- \_\_\_\_\_ Coordinates the Administration's IT policy development and legislative policy initiatives
- \_\_\_\_\_ Directs all state IT activities, including infrastructure, voice and data telecommunications and applications
- \_\_\_\_\_ Manages/coordinates statewide telecommunications policy and procurement
- \_\_\_\_\_ Works with the public information officers to develop a consistent and up-to-date web presence
- \_\_\_\_\_ Establishes and enforces IT standards
- \_\_\_\_\_ Sets policy for IT procurement
- \_\_\_\_\_ Assists state agencies in planning and implementing IT solutions to improve service delivery
- \_\_\_\_\_ Analyzes state agency budget requests for IT solutions and advises the Governor and Legislature
- \_\_\_\_\_ Provides/coordinates centralized purchasing of IT solution hardware and software to gain cost efficiencies
- \_\_\_\_\_ Responsible for major state agency IT purchasing authorizations
- \_\_\_\_\_ Manages cross-agency IT solution plans, budgets and implementation initiatives
- \_\_\_\_\_ Provides shared or centralized IT solution development, operations and implementation support for state agencies
- \_\_\_\_\_ Provides application development support to state agencies
- \_\_\_\_\_ Other: \_\_\_\_\_  
\_\_\_\_\_

**Transition Team Notes**

---

---

---

---

---

---

---





## **Section 3    Current State IT Assessment**

This section is a tool to help capture and assess critical IT intelligence related to the current IT situation in the state. The MS Word tables are expandable. Feel free to tailor the questions and table headings to fit your state's terminology.

**What are key state statutes and/or Executive Orders related to IT authority and expectations?**

<b>Key Statute</b>	<b>Key Authorization Focus</b>	<b>Summary of Governor's Authority</b>	<b>Summary of Non-Governor Authority Designations</b>
1.			
2.			
3.			
4.			

**Where are the IT offices and what are their key responsibilities and resources?**

<b>Name of IT Office</b>	<b>Location of IT Office (or agency)</b>	<b>Major Responsibilities (IT services provided)</b>	<b>Key Contact Person, Phone &amp; Email Address</b>	<b># of Full Time Employees</b>	<b>Major Unresolved Issues</b>
1.					
2.					
3.					
4.					

**What is the current budget for each IT office and what are the major issues or resources being funded?**

IT Office/Agency	Current Authorized		Key Issues Funded in Current Budget
	\$ Operating - Budget	\$ Capital Budget	
1.			
2.			
Etc.			

**What are actual state IT spending trends over the last three years?** (Spending for central office and all state agencies collectively.)

Fiscal Year	FY 1999-2000	FY 2000-01	FY 2001-02
<b>Total Spending</b>	\$	\$	\$
<b>IT Operations Spending</b> (IT staff and other expenses required to operate the office)	\$	\$	\$
<b>IT Outsourcing Spending</b> (Spending categories can be identified as appropriate)	\$	\$	\$
<b>IT Capitalization Spending</b>	\$ _____ total	\$ _____ total	\$ _____ total
For hardware	\$	\$	\$
For software	\$	\$	\$
For systems	\$	\$	\$

**What are the results of any major IT financial or performance audits completed?**

Audit Title and Author and IT Office Audited	Audit's Key Financial, Administrative and/or Legal Findings and Recommendations	Audit's Key Operational Findings and Recommendations
1.	1a.	1b.
2.		

**What major IT decision challenges does the Governor face within the next year?**

Major IT Legal Issues by Office or Agency and Decision Dates	Major IT Project Implementation Issues and Decision Dates	Major IT Budget Request Issues By Office or Agency Requesting and Decision Dates	Major IT Operations Issues and Decision Dates
1.	1.	1.	1.
2.			

**What financial and operating performance and accountability measures are available from office or agency IT organizations?** (These IT measures are those that are formally collected by the Governor, Budget or Planning Office or Legislature in state plans, budgets and/or required performance reports.)

Formally Presented IT Financial Measures By Office or Agency (e.g., spending, trust funds, grants, General Fund revenues)	Formally Presented IT Service Production Measures (e.g., quantity of IT service provided)	Formally Presented IT Customer Results Measures (e.g., efficiency/cost improvements/public customer satisfaction improvements)
Office/agency 1: _____ 1.	1.	1.
Office/agency 2: _____ 1.	1.	1.

## **Section 4 IT Preference Impact Analysis**

The following table provides a format for assessing the impacts of proceeding with options presented in Sections One and Two. This will help determine the implications of strategies prior to a final decision.

<b>IT Strategy Preferences</b>	<b>Legislation Required</b>	<b>Budget Impact Estimates</b>	<b>Executive Policy Implementation Decisions</b>	<b>Other Impacts</b>
<p>From previous "Template" sections, list major IT initiative preferences being considered.</p> <p><b>IT Plans &amp; Policies</b></p> <p>1.</p> <p>2.</p> <p><b>IT Organization</b></p> <p>1.</p> <p>2.</p> <p><b>CIO Selection</b></p> <p>1.</p> <p>2.</p>				

### **Transition Team Notes**

---



---



---



---



---



---



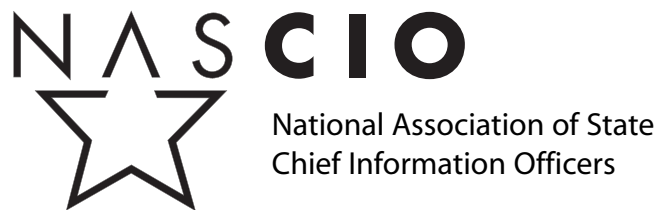
---

---

# **CHIEF INFORMATION OFFICER TRANSITION HANDBOOK**

---

By Glenn W. Robertson and Thomas R. Davies



# **Introduction**

Congratulations on your selection as the state's Chief Information Officer. The CIO of today is positioned to make great contributions to the delivery of state services. Technology underlies virtually every operation of state government. As CIO, you have an opportunity to make government more efficient, reliable and citizen centric. You may be asked to operate a type of corporate headquarters for information technology, where you are accountable for the performance of IT operations throughout the state. It's a challenging job, but less so for those who are prepared.

As the CIO, your responsibilities today are much different from those of the past few years. For instance, in 1999, you would have been consumed by the challenges of assuring that old systems were ready to roll into the new century. Then came the explosion of the Internet and the scramble to stake a claim in cyberspace so that citizens and businesses could find your state and recognize your governor's leadership. Today, every state has a web site and offers basic citizen-centric applications. Although the front-end looks nice, the back-end isn't working very well. Agencies still operate systems in silos and interagency cooperation is minimal.

The real work is designing the architecture and building out the infrastructure that will support not only electronic transactions from end-to-end, but also the less glamorous details behind the scenes. Citizens are savvy customers and have great expectations of government. Making your state appear transparent, accessible and easy to navigate is hard work that deals more with changing entrenched patterns of bureaucratic behavior than with technology. The technology is the easy part - the turf fights will be the bigger challenge. But, if you get it right, your state will be recognized and emulated, and your governor will be congratulated.

Gaining mind-share and resources won't be easy. Most states face budget shortfalls and shrinking tax collections. Many legislatures believe that they have already supported technology for Y2K and that other priorities take precedence. The Governor is working to bring more jobs to your state, lower medical costs, and educate kids. One Governor recently observed that the lion's share of the state's budget is spent to educate, medicate and incarcerate - everything else is on the table. Homeland Security is further complicating matters and not everyone agrees on how to proceed. Your challenge is to align technology decisions with the policy objectives of the day, build the business case for new investments, reduce costs and improve services - all while making the existing infrastructure work. No small task.

You have an opportunity to make a big difference in how citizens and businesses engage their government. It is a noble cause and important work. It will be tough, but rewarding. This handbook represents the collective wisdom of your colleagues - current and past members of the National Association of State CIOs. It is intended to give you some practical advice as you navigate the political environment of your new career. It is not a handbook on how to be a CIO, just how to play that role in the public sector. Future state CIOs will ultimately benefit from your contributions as NASCIO publishes updated editions of The CIO Transition Handbook. We hope this handbook is a welcome and valuable resource to you as a new state CIO.

# **Chapter 1    Accepting the CIO Challenge**

Governors, Cabinet members and Legislatures across the country are increasingly turning to the state CIOs to provide the leadership needed to modernize state operations and bring the latest electronic services to citizens and businesses. The 21st Century state CIO can serve as a key advisor to the Governor and often becomes the chief architect of state IT policies. Your responsibilities will most likely include planning, budgeting and administering IT services and supports; conducting large IT procurements; managing substantial IT contracts; coordinating statewide system implementations; managing your own office and IT enterprise; promoting economic development; and serving as a liaison to the technology industry.

**The CIO must be personally and professionally capable of operating in a fishbowl where all their actions are a matter of public record.**

## **The Challenge**

The challenge of being a state CIO is not for the faint-hearted. Today's government environment is characterized by an infinite need for services constrained by a finite set of resources. The CIO must be personally and professionally capable of operating in a fishbowl where all their actions are a matter of public record. Failures are fodder for the popular press and the CIO will be expected to explain technical initiatives to a non-technical community of government officials and private citizens. Successfully transitioning to state government can be quite an adjustment for even the most experienced manager.

## **The Basics**

CIOs in state government need to be at the top of their game if they are to be successful and make a difference. To do so requires much more than simply being able to run a well-managed IT operation. Today, you must have the requisite skills and competencies to handle all the many varied responsibilities of the position. Here are a few basic skills that state CIOs must be able to master:

### ***1. Thrive in a political environment.***

Politics surrounding IT can be fierce from numerous perspectives. Political officials are concerned about constituent interests. State agency personnel are often concerned about changes to "the way we've always done our jobs." And citizens demand the kind of timely, convenient and inexpensive access to services that they experience from the private sector.

Technology services, systems and equipment procurement and IT contract management can be especially challenging politically. Be prepared for outside challenges to contract awards and penetrating questions about IT contractor management. Understanding your state's budget and appropriations process is critical to your success.

Introducing IT solutions into state bureaucracies can be another political challenge. Transformational opportunities may conflict with traditional thinking. State jobs may be put in jeopardy as reengineered processes streamline operations. Shared services and enterprise-wide consolidations threaten traditional points of control. Sometimes affected state employees have long-term relationships with state legislators and their staffs, resulting in political oppositions. This challenge can be formidable without the skill to navigate the sensitivities among personnel.

The politics of state government spending and taxing presents additional pressures. IT is often the solution of preference for combating high cost and unresponsive government services. Expectations are high. Funding potential, especially in tough fiscal times, may be low.

**2. *Know public information laws and other applicable laws.***

Public law authorizes and outlines expectations for state government operations. The CIO must be intimately familiar with the statutes governing their domain. Failure to understand and have a staff that is knowledgeable about state law, agency authority and policy can result in serious missteps.

You and your staff must be familiar with public records statutes, sometimes referred to as "sunshine laws." These laws open up records for public access and scrutiny. Part of the challenge of dealing with the media will focus on public records access and the corresponding issues of privacy and security. There are legitimate and often competing concerns by the public and business regarding these issues and you must be responsive. You should also have an understanding of state laws related to procurement, human resources and ethics.

**3. *Use IT to achieve the Governor's priorities.***

The Governor provides overall political leadership. The CIO is typically asked to provide the managerial and technical support needed to help achieve the Governor's goals and service priorities. The Governor expects the CIO to contribute by responding to many different pressures on state government from citizens and businesses using information technology. The CIO is expected to not only come to the table with strategies and IT solutions, but also navigate their implementation within and across state agencies, sometimes in hostile professional and political waters.

**4. *Improve public services.***

Most state officials now realize that more timely, accurate, less costly and higher quality state government services depends to a great degree on information technology. State government operations have been revolutionized over the past decade through the application of advanced computing and communications technologies. The state CIO has been at the center of much of this revolution.

Deploying advanced applications of technology to state operations has become a proven means of improving business and citizen satisfaction. Citizens and businesses routinely interact with state government today via the web - conducting transactions, communicating with officials and locating information. Many of the most exciting proposals for improving the efficiency, speed and convenience of state services require even further uses of technology. Technology will also be an important driver in Homeland Security and advances in emergency management.



## **Chapter 2 Keeping Up With Critical Trends**

State government is continually evolving in response to changing economic, social and political trends, and the pace of this change is accelerating. Keeping up with trends and anticipating their impact on state government is an essential part of the CIO's job.

### **Trend 1: Changes in the Fiscal Environment**

CIOs should be aware of state spending and revenue trends that affect the ability of state government to provide public services and support operations. This knowledge is vital for positioning IT successfully when competing for state dollars. Most state governments require a balanced budget.

#### **Trends in State Spending**

- Demand for government services is inversely proportional to general economic conditions. For example, when economic times are bad, more people need government services.
- Education costs continue to rise at increasing rates primarily due to the rising student population. Education is typically a top priority for the general public and state governments.
- Health care costs are also on the rise as percentage increases are back in the double digits. Aging Baby Boomers and health care industry dynamics are resulting in rapidly increasing budgets, especially for Medicaid programs, which provide health care to the disabled, the elderly and the poor. Medicaid is a federal entitlement program and states must match federal funding with state funds.
- Public safety-related services' spending is rising due to terrorist threats and the likelihood that the lower crime rates of recent years will not last.
- Constitutional amendments are becoming the focus of citizen groups with special interests. When a Legislature does not respond as desired by such groups, petitions are circulated to amend the state constitution and force a resolution. The trend for constitutional amendments and propositions started years ago and continues.

**Potential IT Impact:** Heightened scrutiny of budget requests, business case justifications, changes in spending priorities and expectations for "returns on public investments" will be more common. Therefore, expect increased demand for IT-related cost-cutting solutions. Also, there may be more interest in outsourcing IT and other government services.

#### **Trends in State Revenues**

- The U.S. economic recovery is slower than anticipated and likely will curtail most states' revenue growth for some time. The potential for economic disruptions due to terrorism remains a threat to state revenue growth.

- Federal tax cuts and deferrals will result in lost state revenues over the next few years. Corporate income tax changes at the federal level will result in lower state revenues also for at least the next two years. Estate tax cuts also affect states that receive piggyback revenues on federal tax rates.
- Previous year state and federal tax cuts and deferrals are cutting revenue collections in many states. Decisions to cut tax rates or repeal taxes during the "Roaring 1990s" have eliminated some traditional state government revenue streams.
- Enterprise operations that can be self-funding are becoming more popular. These focus on establishing a more business-like environment where services are provided to citizens, businesses and state agencies for a fee.
- Fee increases are generally more palatable to politicians and citizens than tax increases. This provides an opportunity to seek a new or expanded fee to fund IT operations and investments. If circumstances are dire, expect serious tax increase discussions.
- Public/private partnerships are becoming more common in state government. These partnerships focus on finding common interests between business sector entities and government. They establish a shared risk-benefit environment. In many partnerships, state government and private companies agree to cost share based on assumptions of reasonable returns for each. The arrangement then becomes a way to increase service initiatives with the support of private revenues.

**Freeing yourself from the General Fund budget gives you more flexibility and capital to innovate and demonstrate the effectiveness of new technology.**

**Potential IT Impact:** State revenues will be seriously limited for IT initiatives, especially those that don't result in immediate savings. CIOs should reduce their operations' dependency on the General Fund (funding that comes from state tax collections) as much as possible. Focus on generating revenues from the services your organization delivers. Freeing yourself from the General Fund budget gives you more flexibility and capital to innovate and demonstrate the effectiveness of new technology.

## **Trend 2: Changes in Public Expectations**

Elected officials respond to public pressures and expectations. Therefore, it is critical to understand and consider the impact of public attitudes and demands. Below are some trends in public expectations that are likely to directly impact the leadership, management and operation of IT in state government.

- The public wants improved and more widely accessible governmental services. Most citizens expect more for less in many of their consumer and business purchases. They have similar expectations for government services.
- The public expects state government to be continually more efficient in using its resources. Media stories about inefficiency in government produce anger and anxiety among taxpayers who already generally mistrust government. Political campaigns typically promise solutions and they reinforce the public concerns. Upon election, therefore, public officials typically want to find efficiency improvements and seek IT solutions.

- There is an increasing expectation that technology is a magic bullet that can cut costs and lower taxes. That expectation puts a heightened burden on CIOs to be accountable and responsible in their use of public funds.
- The public does not expect or want tax increases. Since the 1980s and through the 1990s, the anti-tax movement was in full gear. The public is not accustomed to tax increases due to conservative political decision-making and a prosperous economy that previously produced adequate revenues for state governments.
- The public is demanding easier and quicker access to information and more direct contact with officials in all branches of government through email and web sites. There is a growing expectation for more, not less, of this interactive environment.
- The public wants to be assured that vital community and state resources are secure. The post 9/11 environment is producing serious concerns for the security of water, power, telecommunications, transportation and food resources essential to a community's economic and physical well being. State government plays an important role in assuring that these critical infrastructures are adequately protected.
- The public wants to be assured that personal data and information is secure and protected. Personal privacy issues are heightened due to the threat of data and information sharing and theft. This is an area that challenges government policy-makers as they seek to balance privacy issues with the public's desire for transparency in government.

**Potential IT Impact:** Information technology will be expected to provide solutions that meet the demands of more sophisticated constituents. Elected officials will continually fine-tune their budget preparation and review processes. They will force state agencies to scrutinize operations, reduce positions and use lower cost resources. They will have to respond to increased spending pressures. They will seek IT solutions but resist those with high costs, especially if the solution requires General Fund revenues.

### **Trend 3: Homeland Security**

The events of September 11, 2001 have focused our nation on the need to better protect our homeland. Again, IT is seen as a key element of the solutions to guard against terrorist threats. Security of networks and control systems is vital to protecting the critical infrastructure. The trends in Homeland Security continue to emerge.

- There are many initiatives underway to obtain funding for new and ongoing IT investments related to Homeland Security. The reliance on IT will be paramount to preventing, detecting and responding to future acts of terrorism. Efforts are being undertaken to better align IT investments, especially in public safety, health care and emergency management, with overall Homeland Security goals and objectives.
- Interoperability of intra- and interagency communications systems has become a priority. States are looking for ways to expand communication capacities, while assuring that there is widespread and timely information collection and sharing.

- New governance mechanisms are being established to ensure that Homeland Security operations and IT initiatives in a state dovetail with those at the federal and local levels and across state government. Establishing effective governance policies will require thoughtful consideration of legislative prerogatives, executive authority and state constitutional roles and responsibilities.
- Pressures are mounting to integrate existing legacy databases and systems, especially related to bio-terrorism, disease management and public safety. As a result, privacy, security and public "need to know" policies are under consideration. Serious attention is also being given to developing cyber security policies and strategies.

**Potential IT Impact:** Integration issues of all types - data, software, applications, and business processes - will become more important as will security and privacy in an environment of increased interagency coordination. CIOs will be required to provide significant resources to issues of Homeland Security for the foreseeable future.

#### **Trend 4: Changes in IT Management and Operations**

Few areas of state government have been the focus of change more than IT. The above trends are the driving forces for many of these changes. Traditionally, state government has lagged behind the private sector as adopters of new technology and processes. However, the Internet seems to have shortened that lag time. Some of the trends listed here may be well-established practices in corporate America, but CIOs should know that these are relatively new ideas in government.

- CIOs increasingly report directly to their Governors. In 2001, CIOs reported directly to the Governor in 29 states (58%), compared to 25 states in 2000, and 8 states in 1998. The second most common reporting relationship for a state CIO is to an agency head. (Source: NASCIO, January 2002 review)
- There is renewed interest in developing enterprise architectures. Initiatives to implement statewide enterprise administrative systems, such as human resources and purchasing, are growing. These initiatives are driven by expectations for cost efficiencies, enhanced accountability and improved government services.
- Outsourcing and consolidation of operations are becoming more common. State decision-makers are introducing a more competitive environment into the public sector to spur innovation, gain access to advanced technology and minimize costs.
- There is a growing focus on interagency data-sharing and database systems. Collaboration was once the exception; now it's the rule.
- IT offices are being asked to provide cross-agency policy implementation and project management support. This results from a growing emphasis on greater consistency in the use of IT solutions and the need to involve multiple organizations that previously focused solely on their own domains.

- CIOs are being given the authority and responsibility to administer IT procurement for state agencies. This offers the potential for more consistent policies, more intelligent purchasing strategies and greater cost efficiencies.
- IT offices are being asked to analyze state agency IT budget requests and to provide recommendations to the Governor. This is a response to concerns about agency capacities to provide a credible business case to justify IT requests.
- There is greater demand for a reasonable business case before IT investments are considered.

**As enterprise-wide IT issues grow in importance in state government, so will the role and authority of the CIO.**

***Potential IT Impact:*** The role and responsibilities of the CIO office in state government are rapidly expanding and changing. While the CIO is not a czar, he or she is the most visible IT leader and spokesperson for the executive branch. As enterprise-wide IT issues grow in importance in state government, so will the role and authority of the CIO.

## **Chapter 3 Talking to Power**

The importance of being skilled in written and verbal communication is paramount. One of the most critical challenges many new state CIOs face immediately is in communicating IT priorities, objectives and budget requests successfully to top officials and influential parties, sometimes in very public forums. Decision-makers that can affect IT include individuals who may be elected, appointed or hired as staff. In state government, elected decision-makers include the Governor, the Legislature and possibly other statewide elected officials, such as an Agriculture Commissioner and a State Comptroller. The focus of these officials is typically on high-level policy and budget decisions.

Appointed decision-makers include state agency heads, the state budget officer and other high-level professionals such as the Auditor General and Inspector General. Their focus is on policy implementation and administrative decisions, including budget recommendations and identifying agencies to audit. Staff decision-makers are sometimes overlooked in the big picture. Staff to the Governor, to legislative members and committees, to the Budget Officer and to state agency heads are often delegated decision-making powers by elected and appointed officials. The Governor's recommended budget, for instance, contains many issues that are typically decided by staff in the budget office. The approved Legislative Appropriations Act normally includes many detailed decisions made by staff. The impacts of these decisions on the CIO and IT office can be substantial.

Your audience is most likely unfamiliar with IT issues and vocabulary, which can be a barrier to successfully promoting an important project. The Governor, state agencies and the Legislature will be receptive to well presented IT projects if they solve government problems. The "art of the sale" depends on the ability of the CIO and the IT office to communicate effectively and accurately.

The ability to communicate well with the press is crucial for many reasons. As a public official, you must be available to the press. If you do not successfully convey your story to the news media, the article that gets printed may be an unpleasant surprise.

### **Communicating With Decision-makers**

The first principle of communicating with state officials is to focus on what you can do for them. When presented the opportunity, focus on why IT is a value-added contribution to their political agenda. Their general interests will reflect many of the trends described in Chapter Two of this handbook. Their specific interests can be determined rather easily by asking them or their staff. Here are some suggested talking points and communication tips for selling the benefits of technology to state leaders:

#### **Talking points for communicating the "value add" of IT to elected officials**

- Governor (Legislator), you can have state web sites and portals for communicating with the general public and constituency groups.
- You can offer citizens the ability to have 24/7 access to state data and information via web sites and IT systems.

- You can improve services to government customers by instituting IT solutions in agency operations that are receiving poor performance marks from citizen customers and possibly oversight organizations.
- You can save General Fund dollars over time by substituting IT solutions for some labor-intensive service delivery strategies.
- You can be confident that critical issues in the state are communicated quickly to allow more time for a reasoned response.
- You can more accurately measure the performance of agencies with tools that IT can provide.

### **Talking points for communicating the "value add" of IT to state agency heads**

- Mr./Ms. Agency Head, you can deploy IT strategies to provide your agency's customers with more direct, convenient and efficient access to your services.
- You can reduce your investment by sharing infrastructure with other state agencies.
- Technology can give your agency access to data from many different sources and allow rapid communication with other state, local or federal agencies. You can improve the productivity of your staff by providing IT resources to help them do their work and provide financial and performance feedback on a timely basis.
- Your "data/information silos" can be replaced with more open IT architecture, which will provide valuable support to different areas of your agency as well as to other agencies.
- You can track financial and operating performance results over time and manage your department's budget much more efficiently with integrated personnel, payroll, and financial systems.

### **Tips for communicating with the Governor**

- Minimize the number of people you bring when you talk directly with the Governor. Avoid the entourage syndrome. Governors often prefer small group discussions.
- Use common terminology, provide examples, and keep it short unless the Governor expands the discussion.
- Provide a one-page summary of key issues, but have details available if asked for more information. The Governor's daily calendar is almost always tight. Give the Governor an "easy read" issue paper. Your regard for his or her valuable time will be appreciated.
- When possible, provide the Governor with a scan of the economic, social and/or political impacts of key IT issues being discussed. This will protect the Governor from making a decision prematurely or without a full understanding of the implications.

- Anticipate questions and stand ready to answer them confidently. Most Governors assess the quality of their staff by their ability to think through issues and provide resolutions to likely problems.

### **Tips for communicating with the Legislature**

- When presenting to legislative committees, make sure the story or issue or budget request you are presenting is accurately portrayed and that the numbers add up. Your credibility is on the line.
- Treat all legislators and their staffs with respect. Being known as "the consummate professional" typically results in much greater legislative cooperation and support even in a politically charged environment. Remember that staff can be key decision-makers, too.
- Avoid having to say, "We'll get back to you," when asked questions in legislator's offices or in front of committees. Of course, there will be times when you are asked a question for which you have no ready answer and you will have to get back to them. When this occurs, make sure you understand their timeframes and always fulfill your promise to meet them.
- Remain calm and professional when testifying before committees. Avoid emotional responses at all costs. If personality differences surface with a legislator or a group, your IT agenda and/or your effectiveness may suffer.
- Provide legislators with as complete a story as possible on key issues of discussion. Tell them the pros and the cons to a controversial issue. If possible, be prepared to indicate how a con can be resolved, especially if it involves a constituency group's interests or a funding source problem.
- If a major IT issue is before a legislative committee, you should be the principal presenter. Legislators are quite conscious of who presents to them, even if they appear disinterested at times. Your presence shows respect for them. Your absence does not. Your ability to present complex issues indicates your knowledge base and establishes your credibility.
- Emphasize the business solution the IT project addresses and the positive impact on constituents. Remember that the most significant performance measure for an elected official is their re-election, so you'll want to drive home what's in it for their constituents.

### **Tips for communicating with other state officials and staff**

- Meet with state agency officials regularly. A CIO can better understand the Governor's priorities by talking with line agency heads, the budget officer and other office heads. Their perspective is often essential, especially if you are having trouble knowing exactly what the Governor wants.
- Create an inventory of critical functions requiring IT support in state agencies. This will indicate an appreciation for state agency agendas and provide valuable ideas for IT solutions.

- There are formal and informal ways of doing things in state government just like everywhere else. State officials with tenure can teach you the ropes. Identify "Who's Who" in state government and their ability to champion IT issues.
- Establish relationships with key state agency staff who have an interest in IT and who can make or break IT initiatives in their agency. Their support when a logjam occurs can be vital to succeeding on projects important to you, the Governor and the Legislature.

## Communicating with the Media

Media interaction is one of the most challenging parts of being a CIO. It is important to recognize that IT scandals and irregularities are far more interesting to the general public than stories relating to the competent management of IT. Consequently, some press will search for controversial issues. Always keep in mind that the media's first duty is to find a story, no matter what the personal relationship between you and a reporter appears to be.

Sometimes the capitol press corps will have reporters who are inexperienced in state government, generally, and in IT, specifically. They can misunderstand or misinterpret more easily. Be careful when discussing IT issues with them. Be clear and patient.

The media's customers are John and Jane Q. Public. What may seem to be a small amount to spend on IT to you can appear to be a very large amount to the average citizen. Don't be surprised if the story focuses on costs more than benefits.

It also is important to realize that a media frenzy can occur quite quickly over something you believe is really minor, especially during an election year. Always check with your media relations office before responding to any calls from the press.

**Media interaction is one of the most challenging parts of being a CIO.**

## Tips for establishing good CIO/IT office media relations

- Get to know your media relations staff. You'll want to understand how they work, who is responsible for what assignments, and how to reach them in the event of an emergency.
- Get media training. Being prepared to deal with the media, including how to handle a hostile interview, is critical. Also learn the rules of the road for doing an interview and find out what "off-the-record" really means.
- Get to know your local press corps, especially the beat reporters who cover technology issues. Know their biases. Always treat them with respect.
- Provide your staff with clear policy direction on dealing with the media. For example, if you want all media contacts to go through you, be very open and direct in communicating this to your staff.

- Always be aware of how a comment or an issue discussion will appear in the press. Much of your work will be on display for the public. Members of the press will often attend meetings you attend. Expect them to be listening carefully to your presentations and comments, and assume they will be critically reviewing your proposals.

### **Tips for communicating with the press**

- Focus on the IT story's key points. The press is typically bottom-line oriented.
- Present the IT story and issues simply and clearly. If possible, provide examples. Sometimes illustrating the issue graphically communicates more quickly than words.
- Be careful to avoid the possibility of misleading or misinforming the press. This can be quite damaging if they think it was purposeful.
- Keep media content factual. Do not editorialize or get personal. The press likes a good quote, but they respect professionalism.
- Always try to remain friendly, not combative or agitated. Even when there's good reason, avoid tensions when possible. Staying in control connotes confidence and credibility.
- Let media staff and executives know if their IT reporting is inaccurate or misleading. Use this opportunity as a learning tool for the offender. The reporter will appreciate your ability to stay professional and could be more attentive to your agenda in the future.

## **Chapter 4    Successfully Navigating State Budgeting and Financing**

IT solutions usually require sustained financial support. Typically, this involves submitting official budget requests to the Governor and the Legislature. Most state agencies compete for General Fund revenues to do their jobs. The Legislature has discretion to allocate these funds in any manner it desires each year. In most states, funding cannot be carried over from one year to the next without special authorization. This can lead to a "use it or lose it" mindset.

Some funds are restricted by law and can be spent only in specified areas. There is less competition for these funds due to these restrictions. Roads are typically funded out of a trust fund. Federal funds are placed in trust funds due to the restrictions that normally accompany them. Federal support for the state's Medicaid program is in a trust fund. Enterprise trust funds may be established to guarantee support for an enterprise operation.

Since most IT operations and solutions compete for General Fund revenues, the budget process is particularly important to understand. The IT office or specific agencies typically submit requests for funding from the General Fund. Budget requests must follow prescribed processes. The Governor and Legislature send out budget instructions. Agencies and offices submit their requests to an executive budget office and to the legislative appropriations committees. Both will expect concurrence with the law, accuracy in calculations and understandable indications of investment returns.

State budgeting processes are getting more sophisticated and expectations are growing for more critical analysis of spending requests. Performance-based budgeting, zero-based budgeting and activity-based budgeting are growing in popularity. All require much more attention to detail and connections between dollars requested and value added.

### **Tips for preparing your budget requests credibly and effectively**

- Be aware of state budget pressures, know the Governor's and Legislature's top priorities and connect IT budget issues to them where possible.
- Justify budget issues by connecting them to their impact on agency service delivery costs and customer performance results. This establishes investment returns and value added.
- Indicate the impact of not funding the IT issue. Sometimes this can be as powerful as investment returns and value-added documentation.
- Submit budget requests that carefully follow instructions and do not have to be returned due to substantive or calculation errors. This builds your office's technical credibility with budget staff.
- Avoid budget games, such as asking for more money than is needed for the issue, assuming automatic reductions occur on every request. You will gain personal and professional credibility by being absolutely forthright on budget issues.

- Lobby key budget issues early and often with executive and legislative officials and budget and appropriations staff. Don't risk out-of-sight, out-of-mind situations, especially as decisions near.
- Provide demonstrations, examples, testimony, and reports to substantiate key budget issues and likely results. Proving contentions, showing likely outcomes and presenting support from others for your issues separates you from competitors.
- When presenting budget issues to political officials, be brief, use simple graphics, stress investment returns in their areas of interest and do not rely on lower level staff to tell your IT story. Show your respect for the Governor, budget officers and the legislative committees by understanding the executive budget and legislative appropriations processes.
- Don't oversell an issue when there is an indication that it's already sold. Excessive talking can lose support.
- Persist in monitoring the status of your IT issues as the Governor's recommended budget and the Legislature's Appropriations Act decisions are being made. Never assume a budget issue is "in the bag."

#### **Tips for finding revenues to help fund your IT budget**

- Seek matching federal funds for IT solutions whenever possible. Projects that have matching federal funding support are much more attractive.
- Find non-recurring (one-time available) revenues, which can fund equipment and other one-time IT purchases. Establish their availability and ask for them.
- Battles are most bitter over recurring or operating funds. Look for offsetting savings to cover project operating costs.
- Identify federal and state trust fund balances that can be used for IT projects. Asking for trust funds is much easier than asking for money from the General Fund.
- Show actual dollar savings that are possible with the acquisition of IT solutions. If salaries, benefits and general expenses can be saved, ask for the total or part of the amount to fund your IT project.
- Develop partnering relationships with private sector companies to build an IT solution that will minimize the need for General Fund revenues.
- Collaborate with other governments on specific solutions that benefit all parties. Local governments, for instance, may be willing to share the cost of a joint solution.
- Develop a self-sufficient IT enterprise model that requires less or no General Fund revenues. State officials are focusing on enterprise models in an effort to relieve funding pressures on direct revenue sources for the General Fund. The development of fee schedules for services rendered is producing more creative revenue relationships for state agencies and offices.

**Develop a self-sufficient IT enterprise model that requires less or no General Fund revenues.**

## **Chapter 5    Critical Success Factors**

There is no simple formula for becoming a successful CIO in state government. However, the best CIOs in state government have adopted remarkably similar leadership and management practices. These practices range from the relationships they establish with their Governor, to their personal standards of conduct and how they work with their staffs. This chapter provides some proven critical success factors (CSFs) to consider.

### **CSF 1: Support Your Governor's Priorities**

If you report directly to the Governor of your state, there is no relationship that will be more essential to your success than the one you have with your Governor. You will need to keep your Governor involved and supportive of what you are trying to accomplish. One key to doing so is to be very clear about the contribution IT is making to the Governor's goals.

Focus on the Governor's most important priorities and ensure that his or her top aides have a conversational-level understanding of the contribution IT is making. Take advantage of every opportunity to communicate how IT is contributing to the Governor's success.

Your relationship with your Governor will be based on trust. The Governor must trust your judgment and capabilities. At the same time, you'll need to trust that your Governor will be there to provide you with the support and backing you'll need. Make time to educate others, especially the Cabinet, about the Governor's priorities and how IT is supporting them. At the same time, be sensitive to the fact that not everyone in state government is going to be as enthusiastic about the Governor's priorities as you may be.

Support for the Governor starts with support for the transition team. Remember that they have a job to do. One of your goals should be to help them do their job, but in a way that furthers your goals as well. Here are some useful tips:

#### **Tips**

- Carefully prepare easy-to-understand documentation that describes your organization, its mission, budget, staffing, organizational structure, accomplishments and priorities.
- Proactively reach out to the transition team and offer to provide them with any assistance they need. One typical area of need is technical support in setting up office systems, such as email for the transition team and the Governor's staff.
- Communicate the big picture and avoid overwhelming the transition team with unnecessary details.
- If you are involved in a transition, you can assist the transition team by alerting them to critical issues that will need the Governor's attention in the short-term. If bad news is about to break, it's best they hear it first from you.

## CSF 2: Act with Integrity

Any and all actions you take, even the most innocent ones, are on display for the world to see. You'll want to avoid all appearances of a conflict of interest or favoritism. Simply because your actions are well intended, don't assume that they will be seen that way by the general public.

You are representing your state and your Governor at all times. You want to establish a reputation for the highest ethical standards. Go out of your way to set the bar at the highest levels for yourself, members of your organization, and the vendors with whom you choose to do business.

**You want to establish a reputation for the highest ethical standards.**

Remember that the campaign is over and the time for governing has begun. Therefore, the rules and standards have changed. Also remember that state government is not the private sector, nor is it local or federal government. Each state has its own culture and ways of conducting business. Pay special attention to these business practices in your state. Remember that no two states are alike; what is permissible in one state may get you in hot water in another.

Be aware that key stakeholders are watching every move you make. Learn to anticipate how these stakeholders will respond to your actions. Be prepared for some to put a negative spin on what you are doing. Make sure your actions are bulletproof to outside second-guessing even if doing so results in delays. What may appear at first to be a shortcut can later result in significant delays or derailments, as you work to defend your decisions and actions.

### Tips

- Obtain a copy of your state's ethics guidelines and familiarize yourself with them.
- Have your staff do the same. Remember all violations of state ethics practices by members of your staff will reflect back on you. Hold regular workshops for your staff, especially new ones who may not be familiar with state government.
- Conduct as much of your business as possible in the "sunshine". This means open meetings, full disclosure and being forthcoming about the basis for your decisions and the direction you are headed.
- Assume all your dealings with the private sector will be scrutinized at some point. Ensure that they can withstand questioning by the press and other interested parties.
- It's often the appearances and not the reality that counts. Ask yourself, "How will this play out in the press?"
- Respect the laws and internal processes that are in place for getting work done, such as procurement regulations. Some may be cumbersome but must be followed.
- You may be asked to disclose information about your personal financial situation and other sensitive matters. Reach out to state legal counsel for advice and guidance if you have questions about what needs to be disclosed.

- If you are uncertain about possible actions that could violate state ethics guidelines, approach the state ethics office and discuss the situation.
- You will be held accountable not only for the results you achieve but also for how you conduct your affairs. As a state leader, you are expected to produce results and do so in a way that reflects positively on your state.

### **CSF 3: Adapt Your Leadership Style**

Successful CIOs in state government have learned to adapt their leadership style to the unique requirements associated with operating at the highest levels of government. Some would even say their success is in large part attributable as much to their style as to their knowledge of technology or state government programs. You'll need to decide for yourself what style best fits your state.

#### **Tips**

- Demonstrate a genuine interest in alternative points of view even if they come from an opposing party.
- State government can be more attuned to the process than the results. The more inclusive you make the process on the front-end, the greater the likelihood you'll get the results you want on the back-end.
- While you'll be anxious to make changes, don't unnecessarily and unknowingly offend people by criticizing everything that's in place or gone on before you arrived. You'll needlessly make enemies by doing so.
- Undertake a listening tour during your first 90 days on the job to gain a first-hand understanding of the challenges facing your customers. You have a window of opportunity in your first year as CIO to reach out to others and gain an understanding of their goals, objectives and styles.
- Demonstrate that you can work well with other important state leaders. There is very little of significance that gets accomplished by a single leader in state government.
- Generally, politics and technology don't mix. Realize that the campaign is over and a steady parade of former campaign cronies in and out of your office will send the wrong signals.
- No one ever expects all the decisions to go their way, but they do expect to see a level playing field. Avoid being perceived as playing favorites with vendors or agencies.

#### **CSF 4: Work With Your Staff**

Your staff has a great deal of institutional knowledge about state operations that you will need to be successful. Don't overlook the fact that your staff is working horizontally through state government and will have their ear to the ground. They can help you avoid surprises.

Demands on your time will require you to be out of the office for travel and other reasons. A good staff will enable you to do so knowing that the day-to-day business will be run professionally and your interests will be protected. Many of your staff had their jobs before you arrived and will be there after you leave. Much of your legacy will depend on whether you can convince them to support your priorities when you're not there.

As a top executive, you know how important it is to take care of your people. But in state government, there are often strict guidelines about how you can reward your staff for exemplary performance. Financial rewards are generally very limited. Fortunately, there are other ways to recognize their efforts, like arranging for the Governor to pose for a congratulatory photo with a staff member or to send a personal note for a job well done.

#### **Tips**

- Resist pressures to quickly make key personnel changes without first assessing the people for yourself. Just because someone was there when you arrived doesn't mean they are part of the problem.
- You'll want to bring in some new people from outside state government with new ideas. Strive for a balance. Avoid an "us vs. them" mindset.
- Recruit the best talent you can from other state departments. Their knowledge and experience - as well as relationships - will help you gain instant credibility.
- The CIO is a very visible position in state government. Share the credit and the limelight with those who have been instrumental in your successes.

#### **CSF 5: Influence Decision-making**

One of your greatest challenges will be to understand how important decisions get made in your state. The formal decision-making process in state government, such as how laws get passed, is often documented. It's the informal decision-making process that is more difficult to fathom. Search for an experienced state government official who can mentor you through the decision-making maze.

CIOs often function as a type of corporate Office of Information Technology for state government. State CIOs are involved in decision-making at all levels of government. CIOs are often asked to serve on statewide task forces, such as for Homeland Security, that will involve local, state and federal government officials. As part of a federal system of government, state IT is just one component of a wider inter-governmental service delivery system.

**State CIOs are involved in decision-making at all levels of government.**

The state CIO often serves as the leader of a council of IT leaders from across the state enterprise. The council may have private sector representatives as well as local and federal officials serving as members. The proceedings of these meetings are often open to the public. These councils can be powerful mechanisms to communicate overarching priorities, reinforce decisions, build credibility and support for new initiatives, and generally influence the direction of IT in the state. Below are some of the more important decision areas where you may want to make a contribution:

### **Budget Decisions**

The top budget office in the state will often turn to you and your staff for advice and guidance on agency/department budget requests. They will look to you for objective, impartial evaluations on the cost-effectiveness, cost savings potential, and the technical feasibility of what is being proposed.

State agency IT customers may seek and acquire federal or state funds to support IT projects. This may require the IT office to set up their accounting system to facilitate different billing requirements. Agency funding for IT that comes from federal grants is often treated differently from funding that comes from state tax collections. Also, funding for IT projects that originates from transaction fees, such as a fee associated with renewing a professional or business license, can be treated quite differently from either the General Fund or federal funds.

### **Policy Decisions**

There are many critical policy-level decisions surrounding IT. Some of these come under the domain of the CIO. Decisions that relate to how much or what parts of the IT enterprise to outsource, or what standards to adopt for desktop software, may well be within the CIO's domain. There are other critical policy areas, such as security and privacy, where the state CIO is expected to provide leadership, although he or she is likely to be just one of many leaders who will determine the final policy direction.

Keep in mind that many areas of state government, such as health and human services, operate based on federal government policy. In this capacity, the states act primarily as administrators of federal programs. While the states receive substantial funding for IT from the federal government, they can be constrained in how they spend it.

### **Procurement and Contracting Decisions**

Most states require a CIO-level review, and in some cases approval, of any procurement award that exceeds an agreed upon dollar threshold. State CIO offices are often asked to serve on agency procurement evaluation teams and to lend technical assistance to these efforts.

In many states, the CIO does not have direct authority or responsibility for IT purchasing and contracting. This can severely impede your ability to ensure results are achieved and policies are implemented according to plan. If this is the situation in your state, you'll want to examine ways to gain greater influence over IT procurement and contracting. In any case, you'll need to demonstrate competency in contract negotiations, development and management.

### **Rule Making**

An enabling statute or other authority may allow for rule making. Rules exert incredible influence over an agency's use of IT and can force a common architecture (or at least interoperability) and standards on various IT issues, like security and web presence. Be judicious about what rule-makings you take on - choose your battles carefully. A few small wins, like rules that make agency CIOs' lives easier, can help make a more intrusive rule easier to pass.

Rule making is often a lengthy, time-consuming and frustrating endeavor. Every proposed rule must be vetted in the public domain so that the public and affected state agencies can comment. You can improve the public response to a posted rule by vetting it early with agency personnel who will have to implement it.

### **Legislative Decisions**

State CIOs are often called upon to testify in support of a variety of policy and budgetary issues related to IT. The state CIO is often the highest single point of accountability regarding IT, so when a legislative committee needs an enterprise perspective they will often look to the CIO to provide it. Be sure to give an unbiased assessment of the issue. They are depending on you for objectivity.

Depending upon the state, the Legislature can exercise a great deal of power and influence over IT spending and management. In some states, for example, it is the Legislature, not the CIO, that has primary oversight responsibility for agency IT spending. You'll want to be familiar with the Legislature's responsibilities regarding the IT budget.

### **CSF 6: Demonstrate Competence and Embrace Accountability**

Competence and accountability are critical to your success. The reality is that many states do not know how much they spend on IT annually, or exactly what is purchased. It can be time-consuming and costly to find out due to the fragmentation of state government accounting and procurement systems. Yet, the lack of such readily available spending metrics often results in major credibility gaps and questions about how well IT operations are being managed.

Research the state statutes and executive orders for your office. You'll want to be intimately familiar with the legislative intent in setting up your office and the specific responsibilities and authority you are granted. Be aware that in many states, you are only permitted to undertake those activities authorized by state statute.

There are several types of measures that will be relevant to guiding and controlling state IT and demonstrating IT performance. Become familiar with the different types of performance measures that are used in state government and the specific terminology that is employed. Measures that are understandable to a lay person are most useful. You'll need to be as proficient with these as you may be with measures such as return-on-capital and shareholder value.

- **Outcome and Cost-effectiveness Measures**: These measures capture the contribution of IT to the business goals and objectives of state policy-makers. They will be focused on the contribution IT is making to improve the cost-effectiveness of service delivery to citizens and businesses. For example, state officials usually want to know what contribution IT is making to help recruit and retain attractive industries and employers to the state and how it can be enhanced if you benchmark your state against like organizations.

- **Output Measures**: These metrics record the quantity and quality of IT-specific services provided to your customers. In addition, the costs for providing those services will be of interest.
- **Workload Measures**: These measures capture the work output of the IT operation. Of particular interest will be the productivity of the IT operations. For example, the overall staffing and expenditures required to support a statewide human resource system may be important.
- **Input and Efficiency Measures**: Input measures such as expenditures for providing IT services during a fiscal year and between fiscal years are important to record. It is natural for lawmakers to be curious about how other states or private sector entities are handling IT issues. Benchmark your state against others on every dimension where possible and be prepared to answer questions about your relative performance. Benchmark operational or capital cost of new projects against old costs before implementation. This benchmark helps respond to concerns about years of increased spending on IT. Other data likely of interest is the percent of your operational budget that is administrative versus IT-specific.

### **Tips**

- Determine how much money is being spent annually on IT and how it is being spent.
- Work with your state agencies to develop performance reporting that can be used to support funding requests. Where appropriate, require business cases to be developed to justify further investment in IT.
- Work with similarly sized business enterprises in your state to gain their assistance in reviewing your IT operations.
- Develop an annual IT performance scorecard that can be used to communicate to elected officials and top policy-makers in terms they find meaningful.
- Connect IT spending patterns to workload requirements, service production levels and customer results. You'll then be in a position to answer most questions about IT operating costs and investment returns.

### **CSF 7: Set Priorities and Manage Expectations**

Managing expectations and setting priorities are two of the most difficult leadership challenges facing new state CIOs because they require continuous personal investment of your time, energy and resources. As CIO, your office impacts much of what the state does. You'll need to make tough choices about what areas you want to commit to personally.

Don't count on the bottom-line contributions of your office to carry the day. Perceptions can easily become reality in state government and you are as responsible for managing the perceptions of your office as you are about delivering results.

The CIO honeymoon period can vanish quickly. You may wonder where your "friends" have gone once the press conference announcing your appointment is over. If issues heat up, maintain contact with supporters and help them help you put out fires. Avoid the natural tendency to hunker down until bad news blows over.

**Don't wait for people in powerful positions to begin asking tough questions.**

Don't wait for people in powerful positions to begin asking tough questions. Get to know the key officials on whose programs you have the greatest impact and keep them informed. Never let them be blind-sided or hear important information via the grapevine rather than from you.

### **Tips**

- Build a broad base of support. These include the press, key Governor's Office and Legislative staff, agency/department heads, citizen advocacy groups and the private sector, especially the IT industry.
- Keep IT tightly aligned with the top budget and policy priorities of your Governor and other top elected officials. Connect the dots for other top state leaders so they can see the direct link between what your office is working on and their priorities.
- Focus most of your time on the top priorities of your stakeholders, not your personal interests. Don't put your agenda before your Governor's.
- Allow time in your personal calendar to keep your ear to the ground. You will want to know about emerging requirements on the horizon, such as those from new federal mandates.
- Search for other sources of revenue besides state tax dollars, such as private-public partnerships, to support your office. Avoid creating an image that your office is always looking for more money and that you are out of touch with the spending pressures on the states.

### **CSF 8: Expect the Unexpected**

Like any top executive in state government, the CIO receives their fair share of surprises and bad news. CIOs need to expect the worst. You'll want to ensure that the financial records of your office are in order and that you understand them. It might be prudent to request an audit of your office when you take over to preclude any unexpected problems that will become your problems over time.

The following is a representative list of surprises that can befall a new CIO in state government. Any and all of these are likely to take place during your tenure as CIO; although, with any luck, not during your first few months on the job.

- Hearing through the grapevine that one of the top campaign contributors to the Governor's election is circulating names of people to replace you.
- Receiving a call from the press asking you why a particular vendor was selected or about a rumor of an irregularity in an IT purchase.

- Learning that the Governor's top IT priority, for which you are responsible, is zeroed out in a late night session of the Appropriations Committee.
- Learning that a critical IT application modernization that was begun in the previous administration is failing dramatically and you've been called to testify as to why before the Legislature.
- Reading a breaking story by a major newspaper indicating that one of your employees has a cozy relationship with a vendor and is creating the appearance of a conflict of interest.
- Receiving a call from an aide to the Governor that strongly suggests that you hire someone who is blatantly unqualified for a position in your organization.
- Getting a call from the head of a state agency to personally lobby you to support an IT investment by her agency that you know is likely to fail or is unnecessary.
- Learning that a consumer watchdog organization in the state capitol holds a press conference to announce the release of a report documenting wasteful spending on IT.
- Being informed by the top state budget officer that due to a major budget shortfall, there will be no funding available for the top priority you've been promoting publicly as the key to the changes you want to make, regardless of the fact that the Governor personally committed to you that it would be funded.
- Approving a contract award to a vendor whom the press has learned is also a major campaign contributor to the Governor.

## **Chapter 6 Working with the IT Industry**

The IT industry is an invaluable resource for CIOs in state government. Many executives representing the IT industry have served in top leadership roles in state government, some as CIO. They often know from first-hand experience the challenges facing a state CIO during transition periods.

The IT industry is very willing to assist a CIO through a transition period and lend a hand wherever and whenever they can. The key to gaining industry support is to reach out to the industry and develop relationships with their top executives. Knowing who the most important IT companies are that currently support your state is essential. They are the ones that are most likely to be able to support you in the short-term and have a significant degree of familiarity with the operations in your state. They also have deep familiarity with emerging products and they can be invaluable in helping you stay on top of broader industry trends and concerns.

**The IT industry is an invaluable resource for CIOs in state government.**

Don't limit your meetings to just a handful of companies. You'll find that many are very willing to extend support, but often they simply don't know who to contact or how to be of assistance. Your efforts to reach out to the IT industry, through meetings, speaking engagements and functions to which you will be invited, will be viewed very positively. Go out of your way to extend to all companies the courtesy of listening to how their company can be of assistance to the state. Access to the CIO by industry should be as broad as possible.

Pay special attention to any state policy regarding doing business with small, disadvantaged or historically underutilized businesses (HUBs). Your state may be one of many that have special provisions in place emphasizing the importance of accessibility of state markets to these businesses. You'll need to familiarize yourself with the requirements of these policies and ensure that your actions conform to their guidelines.

Here are some examples of how the IT industry has provided support to new state CIOs. Some companies have:

- Provided executives to direct an independent blue-ribbon commission to help build the case for further investments in IT.
- Made their government relations executives available to help a CIO understand the personalities and interests of key legislators on an important legislative committee.
- Shared their insights into why an upcoming procurement was not likely to result in a successful outcome thereby helping the CIO avoid a potentially embarrassing setback on a key initiative.
- Financially supported a major conference in the state capitol, bringing together both industry and government officials.
- Helped build a business case for making significant changes in the underlying technology of an important state service.

- Located examples of Requests for Proposals (RFPs) that had been successfully used in other states.
- Organized and sponsored a networking event that brought together CIOs from across the country who were then able to learn from each other's experiences.
- Conducted a technology needs assessment of a state operation at no cost to the state.
- Hosted top state officials at an educational event to familiarize them with a new technology that could help them dramatically improve state operations.

Before implementing any of these, you'll want to make sure that they don't limit or preclude the participating companies from doing business with your state in any manner.

## **Chapter 7    Helpful Hints**

There is no substitute for sage advice from those who have gone before you. In this section, current and former state officials offer transition tips based upon their own personal experiences. Their insights and recommendations reflect years, and in some cases, decades of service at the highest levels of state government. Their wisdom and insights will help you not only carry out your many responsibilities, but do so in a way that makes your years in state government some of your best.

### **Helpful Hints From Legislative and Executive Political Officials**

***Use the Transition Handbook as a tool:*** “Information technology is critical to the operations of state governments. The CIO plays a key role in managing how technology is implemented across the state. This handbook will be very helpful to incoming CIOs and the new administrations. You will find the experiences and lessons learned are beneficial as you begin the role of state CIO.”

*Paul E. Patton*  
*Governor, Commonwealth of Kentucky*  
*NGA Chairperson*

***Establish one point of contact for the Legislature:*** “Legislatures need a single point of contact for IT matters in the state and that should be the state CIO. All major IT issues, budget matters and projects should be coordinated and communicated to the Legislature by the state CIO. As a part of this responsibility, the CIO should develop, manage and enforce a statewide IT architecture. Legislatures look to the state CIO for leadership, guidance and recommendations on such issues as cross-system integration, interoperability, data sharing, statewide networks, outsourcing, total cost of ownership, project management, etc.”

*Patrick P.J. Hogan*  
*State Senator, State of Maryland*

***Gain support of key officials:*** “The CIO position is the hardest position in State Government. The CIO is at the collision point between agencies that want to do their own thing and reforming government information systems to behave like a single enterprise. In most cases, the CIO has the responsibility without the authority to make change. In order to be successful, a CIO must have the unqualified support of the Governor and the key Budget and Finance people within a legislature.”

*Eric Reeves*  
*State Senator, State of North Carolina*

## Helpful Hints From Other State CIOs

**Getting off to the right start:** "You will have a brief honeymoon with elected officials - don't squander it. Find a quick win to build credibility. Don't talk about how they did it where you came from. Ask for opinions and suggestions - you'll be surprised at what you can learn. Be a change agent, but make sure you have the facts before you act. It is vital to seek executive support in all of your initiatives! When you meet with elected officials in a public forum, remember the hearing is for the people at the dais and their constituents back home. These are not personal encounters. Take it seriously, but don't take it personally."

*Carolyn Purcell  
CIO, State of Texas*

**Advance the enterprise perspective as an investment in the state:** "In bad economic times, technology will be viewed as an expense, not as an investment. The CIO should be an advocate and show how technology can be an effective tool to reduce costs and streamline operations. This is a great opportunity to prove the value of solving problems at the enterprise level, rather than crafting specific solutions for individual agencies. Remember however, that what is advantageous for the government at large may disadvantage some agencies. At least it may be perceived that way. This is where executive empowerment and support by the Governor and other key, senior staff is most important."

*Charles Gerhards  
CIO, Commonwealth of Pennsylvania*

**Have a strong vision and articulate your plans:** "I believe that the incoming CIO may have a great deal of leeway in how their position is shaped. The greatest challenge may be that in accepting the position, the CIO needs to have a strong vision of what must be done and be ready to articulate it. In many cases, these may be new positions and no one will invite you to participate or sit at the big table. You will need to define how you will participate with the Governor's team. Do not be shy! The CIO, as a leader in their state, will also be a catalyst for change. CIOs need to work on three parallel tracks: 'Now' - What needs immediate attention and what can I do now? 'To be done soon' - What are the short-term issues that can be addressed in 6-18 months? And, 'It will take longer' - What are projects that will take 18-36 months to complete? If you can speak about these things, it will indicate that you have a plan."

*Aldona Valicenti  
CIO, Commonwealth of Kentucky*

**Manage people, processes and plan:** "People selection is key. Select the best players because a strong team generally wins. Continuous staff training is also crucial; remember that a great process with poorly trained people will not improve productivity. At the same time, automating a faulty process just makes you do bad things faster. Don't try to automate what you can't do manually! Finally, develop a strategic plan that is aligned with the administration's goals."

*John Carrow  
CIO, Unisys and former CIO, City of Philadelphia*

***Establish excellence and service as your watchwords:*** "As a former Chief of Staff and CIO, I credit my 22-year tenure in government to maintaining a reputation for integrity, innovation and achievement. You must couple your record and reputation with excellent communication skills to ensure that key stakeholders at all levels are continuously informed of both the good news and the bad. No governor or legislator is fond of surprises. It is also essential not only to be aware of but to understand your governor's top priorities. By doing so, you can then be innovative in developing a way to help implement his/her key policy initiatives successfully and efficiently."

*Marlene Lockard  
Vice President, Government Affairs, EzGov  
Former Nevada Chief of Staff and CIO*

### **Helpful Hints From Budget Directors**

***Know the finance side of the enterprise:*** "In today's economy, the CIO's job is much more than technology. The CIO must learn the budget and finance side of government. He/she has to know how to get funding for programs, and that requires an understanding of fund accounting, the appropriations process, and the various funding mechanisms that are peculiar to that state. There is also a need to learn about such alternative funding methods as leasing, certificates of participation, bonds, and partnering practices that are acceptable in that state. The CIO that comes to the table with something other than a request for General Funds stands a much better chance of success in obtaining approval."

*Randy Bauer  
State Budget Director, Iowa*

### **Helpful Hints From Agency IT Customers**

***Involve the agency CIO:*** "I would encourage each new state CIO to ensure that each agency has the CIO function within its organization and then to engage that agency CIO for their perspective. Agency CIOs have to support the enterprise view, but also have very distinct organizational missions. The state CIO needs to recognize and provide leadership for cross-agency collaboration."

*Barbara Bean  
Commissioner, Division of Information Technology  
Commonwealth of Kentucky*

### **Helpful Hints From Private Sector CIOs**

***Focus on the information:*** "Establish a trusted and broad network of leaders (both internal and external) that "push" information to you. Strive to have IT discussed regularly at gubernatorial staff meetings, even if briefly. When you report bad news, be sure to have an action plan to resolve the issue. If this is not possible, at least have timeline for developing a plan. Finally, remember that while IT stands for information technology, new CIOs need to focus on 'information' and not be fixated by technology."

*Samir T. Desai  
Senior Vice President and CIO  
Motorola, Inc.*

## **Chapter 8 Reaching Out**

CIOs have numerous resources available to them, all for the asking, if they know where to turn. You can save time and money by reaching out and seeing who else has experience in a given area; then capitalize on it.

### **Sources of Best Practices**

There are a number of highly reliable sources of best practices in state government at your disposal. There is little reason to spend scarce financial resources from your office budget to pay outside consultants to tell you what you can easily discover simply by asking. Some of the best places to turn to include:

- The National Association of State Chief Information Officers (NASCIO) awards program recognizes best-in-class applications and uses of IT in state government.
- The NASCIO mid-year and annual meetings are excellent forums to learn about best practices in other states.
- Federal oversight agencies are familiar with best-in-class examples of operations in other states.
- Top executives from the IT industry are personally familiar with best-in-class uses of IT in other states.
- The National Governors Association (NGA) Center for Best Practices has a repository of information on exemplary practices in the states.
- Audit reports from your state auditor's office often document the strengths and weaknesses of different IT practices in the state.
- Local universities and state colleges often sponsor executive seminars and some have research centers of excellence dedicated to government.
- Industry analysts' technology conferences, academic think tanks and other government-related research organizations are valuable sources of best practices in government.
- Visits to seasoned CIOs in states that operate similar to yours are another way to share best practices.

## **Organizational Support**

State CIOs have a number of government associations and membership organizations that they regularly turn to for best practices, professional development and peer-to-peer networking. Regular participation in these organizations not only benefits your state, but opens up new channels of assistance as you acclimate yourself to state government.

### **National Association of State Chief Information Officers (NASCIO)**

NASCIO is the premier national organization representing the state CIOs. As a membership organization, they have been supporting the CIOs in state government for over 30 years.

**Website:** [www.nascio.org](http://www.nascio.org)

#### **Key NASCIO Contacts:**

Gerry Wethington, CIO State of Missouri and President of NASCIO  
wethig@mail.oit.state.mo.us  
(573) 526-7741

Elizabeth Miller, Executive Director, NASCIO  
emiller@amrinc.net  
(859) 231-1971

Ashley Sinclair, Membership Coordinator, NASCIO  
asinclair@amrinc.net  
(859) 514-9168

#### **Key NASCIO Resources:**

- NASCIO annual and mid-year membership and educational meetings with CIOs from other states
- NASCIO web site, directories and listservs for communicating with other state CIOs and their staffs
- NASCIO research reports and publications on critical state IT issues, such as information architectures, information security and electronic commerce
- NASCIO annual *Compendium of Digital Government in the States*, which includes national IT statistics and the most in-depth profiles of state IT management available
- NASCIO task forces on IT issues of great significance to states on a national basis
- NASCIO annual "fly-ins" to Washington D.C. to present the case of the states to Congress and the Executive Branch

### **National Governors Association (NGA)**

NGA is the primary policy organization representing the Governors and their interests in Washington, D.C.

**Website:** [www.nga.org](http://www.nga.org)

#### **Key NGA Contact:**

Thom Rubel, Director, Center for Best Practices

[trubel@nga.org](mailto:trubel@nga.org)

(202) 624-7740

#### **Key NGA Resources:**

- NGA's Center for Best Practices contains a repository of best practice research on state government at <http://www.nga.org/center/1,1188,,00.html>
- Source of public policy positions adopted by the NGA
- Working subcommittees of NGA members pertaining to IT
- Directories of NGA staff members and key staff from other Governor's offices

#### **Other Key Government Associations**

- Council of State Governments (CSG) [www.statesnews.org](http://www.statesnews.org)
- National Association of State Telecommunications Directors (NASTD) [www.nastd.org](http://www.nastd.org)
- National Association of State Procurement Officials (NASPO) [www.naspo.org](http://www.naspo.org)
- National Association of State Budget Officers (NASBO) [www.nasbo.org](http://www.nasbo.org)
- National Conference of State Legislatures (NCSL) [www.ncsl.org](http://www.ncsl.org)
- Government Finance Officers Association (GFOA) [www.gfoa.org](http://www.gfoa.org)

#### **Other Key Government-related Resources**

- Center for Technology in Government (CTG) [www.ctg.albany.edu](http://www.ctg.albany.edu)
- Council for Excellence in Government (CEG) [www.excelgov.org](http://www.excelgov.org)
- Information Technology Association of America (ITAA) [www.itaa.org](http://www.itaa.org)
- Governing Magazine [www.governing.com](http://www.governing.com)
- Government Technology Magazine [www.govtech.net](http://www.govtech.net)

- Federal Computer Week [www.fcw.com](http://www.fcw.com)
- Washington Technology [www.washingtontechnology.com](http://www.washingtontechnology.com)
- Government Computer News [www.gcn.com](http://www.gcn.com)

In addition to the resources and web sites already cited in the handbook, below are links to a number of useful documents and informational sites.

### **General**

1. To view profiles of CIOs in each state, including state statute citations for state CIO authority and links to the 50 states' web sites, visit NASCIO at [www.nascio.org/aboutNascio/profiles/](http://www.nascio.org/aboutNascio/profiles/).
2. For information about entrants and winners of the NASCIO awards program and best-in-class uses of IT in state government, see [www.nascio.org/awards/index.cfm](http://www.nascio.org/awards/index.cfm)
3. For more information about state laws related to procurement, human resources, ethics and other broad issues impacting state governments, see the National Governors Association at [www.nga.org](http://www.nga.org).
4. For information on state legislative processes, please see the National Conference of State Legislatures at [www.ncsl.org](http://www.ncsl.org).

### **Public Records Access and Information Privacy**

5. For state-by-state information on Freedom of Information laws, see the National Freedom of Information Coalition at [www.nfoic.org/web/index.htm](http://www.nfoic.org/web/index.htm).
6. For more information on public open records issues, see the Coalition for Sensible Public Records Access at [www.cspra.org](http://www.cspra.org), and the National Conference of State Legislatures at [www.ncsl.org/programs/lis/cip/ciphome.htm](http://www.ncsl.org/programs/lis/cip/ciphome.htm).
7. For summaries of federal laws that may have an impact on access to state records, see NASCIO's Federal Privacy Law Compendium at [www.nascio.org/hotIssues/workgroups/privacy.cfm?workgroup=privacy](http://www.nascio.org/hotIssues/workgroups/privacy.cfm?workgroup=privacy)
8. For more information on how states are dealing with information privacy and theft issues, please see the National Conference of State Legislatures at [www.ncsl.org/programs/lis/cip/ciphome.htm](http://www.ncsl.org/programs/lis/cip/ciphome.htm).

## Homeland Security

9. For more information on Homeland Security policies and the role of the CIO, see:  
[www.nascio.org/hotIssues/hs/StateCIOsandHomeSec.cfm](http://www.nascio.org/hotIssues/hs/StateCIOsandHomeSec.cfm)  
[www.nascio.org/2001/11/securityforum011113-14.cfm](http://www.nascio.org/2001/11/securityforum011113-14.cfm).

## Funding and Procurement

10. For more information on resource funding pools for IT, how some states calculate the return on IT investments and a sampling of some states' approval process for IT projects, see NASCIO's Issue Brief on these topics at <https://www.nascio.org/hotIssues/workgroups/innovative.cfm?workgroup=innovative>
11. For detailed state budget information, see the National Association of State Budget Officers at [www.nasbo.org](http://www.nasbo.org).
12. For more on procurement-related issues, visit the National Association of State Procurement Officials (NASPO) at [www.naspo.org](http://www.naspo.org).

## Local Government

13. For information on local governments' focus on IT, visit the following web sites:
  - National Association of Counties (NACo) <http://naco.org/programs/infotech/index.cfm>.
  - International City/County Managers Association (ICMA) at <http://www.icma.org/issueintersections/eGovt.cfm>
  - Public Technology, Inc. (PTI) at [http://pti.nw.dc.us/links/e\\_government.html](http://pti.nw.dc.us/links/e_government.html).

## Federal Government

14. Information on best-in-class examples of operations in other states may be available through your local Infragard chapter (sponsored by the FBI) at [www.infragard.net](http://www.infragard.net).
15. For information on intergovernmental solutions U.S. General Services Administration, Office of Intergovernmental Solutions at [www.gsa.gov/intergov](http://www.gsa.gov/intergov).



## **Conclusion**

Our goal has been to share with you some of the best insights and wisdom of those that have been intimately associated with the Office of the CIO in state government. These include officials who have served as their state CIO, executives from the IT industry who work closely with the state CIOs and staff of the organizations that support the state CIOs on a daily basis.

There are so many facets to the CIO job in state government these days that it would be impossible to capture everything of importance to a transition in a single handbook. Undoubtedly, you will discover for yourself areas that we have overlooked. At some point, we hope you'll make a contribution to the next edition of the handbook.

Admittedly, the challenges facing a new state CIO are difficult ones, especially in these tough economic times. The potential pitfalls a new state CIO must avoid can certainly be overwhelming to someone new to operating at the highest levels of state government. As you have probably gathered by now, the key is to be prepared. It is our sincere hope that this transition guide will help you do so.