



Policy Type: Board

Category: Information Technology

Policy Name: Information Technology (IT) Capital Investment Policy - Board
Policy 4.19

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4.19 INFORMATION TECHNOLOGY (IT) CAPITAL INVESTMENT POLICY (Adopted 12-6-05)

It shall be the policy of the Board of Supervisors of Santa Clara County that a Biennial Three-Year Information Technology Plan will be produced to provide an overview of the County's IT Strategy. The Plan will include a listing of funded, proposed and conceptual projects, consisting of projects that are over \$100,000, regardless of the source of funding for Board review and acceptance.

It shall be the policy of the Board of Supervisors of Santa Clara County that IT Capital Projects requiring General fund allocations shall be funded through the IT Investment Process, which shall include the prioritized list of IT Projects that are reviewed and accepted by the Finance and Government Operations Committee (FGOC) then recommended for funding, in the annual budget hearings for Board review and approval.

It shall be the policy of the Board of Supervisors of Santa Clara County that IT Capital Projects that have been approved and allocated General Funds or that are managed by Agencies or Departments that report to the FGOC, shall report progress of these IT projects through the Quarterly IT Status Report to the FGOC then to the Board for review and acceptance.



All IT projects, whether funded through the General Fund, state or federally funded, or as part of a larger business program, will be reviewed and accepted or approved by the Board of Supervisors through one of the five Board policy committees.

4.19.1 Biennial Three-Year IT Plan Submission for Board Review and Acceptance

Biennially, the CIO's office will develop a Three-Year Information Technology Plan based on Countywide, Agency and Department needs. The plan will be reviewed by the ITGC, ITEC and the County Executive's Office and forwarded to the FGOE for review and acceptance. These recommendations will be provided to the Board of Supervisors for review and acceptance.

The purpose of the Biennial Three-Year Information Technology Plan is to provide decision-makers with Countywide, Agency and Department Information Technology Plans covering a three-year planning period, or greater. The plans will cover strategic, tactical and conceptual IT programs and projects that are tied to the County, Agency and Department Business Strategies and their priorities. The plan will be published biennially, with any major changes being identified and reported annually.

The plan will cover all IT Projects for all Agencies and Departments regardless of funding sources. The intent of the plan is to assist decision-makers in budgetary planning, and understanding the impact of projects on the County or operational budgets. The plan will identify how technology is being used to improve services and productivity, and to provide an overall understanding of how the projects are connected to each other or to large programs or initiatives.



4.19.2 IT Governance Structure

The CIO will be the chairperson of the two technology committees that comprise the IT governance structure, they include: the Information Technology Executive Committee (ITEC) and the Information Technology Governance Council (ITGC). Both committees have Agency and Department representatives from across the County.

The purpose of the ITEC and ITGC is to develop decision-making processes regarding strategies, priorities, standards, and resource and cost allocations to assist policy-makers. Together the committees will provide the set of guidelines that determine how major IT decisions are made and how exceptions to standard practice are considered and are resolved.

The ITEC is comprised of the Chief Deputy County Executive and Agency and Department Heads. The function of the ITEC is to provide leadership in the direction of IT in the County in an advisory capacity, provide input in the formulation of IT Policy and recommendations, review strategies, projects, recommend prioritization, and serve as business advisors.

The ITGC is comprised of Department Managers and IT Managers whose function is to review and advise the ITEC regarding the validity and soundness of proposed technical solutions, provide input to the formulation of Policy, review strategies, projects and recommend prioritization, serve as technical and business advisors, and to develop IT standards.

4.19.3 IT Capital Funding Review of General Funded IT Projects and Agencies and Departments Reporting to the FGOC

The CIO's Office will be responsible for developing the IT Capital Project Funding Review processes and forms for Agencies and Departments requesting General Fund allocations or who report to the FGOC. Templates,



guidelines and review processes will be implemented to ensure that Agencies and Departments prepare appropriate business cases or concept papers that justify the need for funding the project, along with the cost/benefit analysis. The documents will be evaluated and reviewed by the ITEC and ITGC committees and the County Executive's Office to produce a recommended prioritized list for funding using the General Fund to be reviewed through the FGOC.

Non-General Fund requests from Agencies and Departments reporting to other Board committees will be submitted through the appropriate Board Policy committee based on their current processes.

4.19.4 Board of Supervisors Review and Approval

The Board of Supervisors will review and approve IT Capital Projects until its adoption by the Board through the annual Budget Hearings.

4.19.5 IT Capital Project Quarterly Status Report for Review and Acceptance by the Board of Supervisors

Owners of an active IT Capital Project will be required to report quarterly on the status of their project that will be incorporated into the FGOC Quarterly IT Status Report provided by the CIO's Office and reviewed by the County Executive's Office. This report reflects the summary of the status, including budget, resources or timeline slippages and reasons. A risk assessment by the CIO's office or an independent contractor is required for projects over \$1 million or deemed a high risk, is also submitted as part of the FGOC IT Quarterly Report.

The FGOC and the Board members will take appropriate action based on the Quarterly Status Report if an IT project's progress is deemed seriously unsatisfactory, based on recommendations provided in the report by the



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CIO and the County Executive's Office. If the project targets for budget, timeline or resources have not been reached by the Agency or Department they will be required to report to the FGOC at the discretion of the committee.

Agencies and Departments that report to other Board Committees will submit their transmittals and status to the assigned committee to reduce duplicate efforts.

When a project is initially defined, the Agencies and Departments will identify the benefits and outcomes, how they will track them and when the benefits will be achieved.

When a project is completed or the benefits are achieved per earlier identified timelines, the Agency or Department will work with the Office of Budget and Analysis and the Chief Information Officer's Office to validate the outcomes and report back to the FGOC through the Quarterly IT Status Report.

Related Policies

None.

Related Forms and Information

None.

History

Date	Changes Made
1/31/2014	Policy Uploaded. (Kyle Larson)
12/06/2005	Policy Adopted. View legislative file.



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