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1.   PURPOSE

   1.1.   This Administrative Regulation (A.R.) establishes the Department of Information Technology (Department of IT), headed by the Chief Information Officer (CIO), as the authority which defines and enforces *Information Technology Governance*, including citywide procedures for procuring, implementing, and maintaining *Information Systems*.

   1.2.   This A.R. will ensure that as activities occur throughout the City's *Information Systems* lifecycle, they are documented and reviewed to ensure they conform with industry best practices.

   1.3.   This A.R. adheres to best practices in the Information Technology Infrastructure Library framework while using common terminology instead of the technical definitions to promote a broader understanding of the process.

2.   SCOPE

   2.1   This A.R. applies to all City departments and employees who engage in the activity of procuring, implementing, and maintaining information systems for the City of San Diego.

3.   DEFINITIONS

   3.1.   *Change Advisory Board* – a group composed of *IT Technical Leads* that can include individuals from the *Initiating Department* who assess, prioritize and schedule the changes required for deploying the *Information System*.

   3.2.   *Demand* – a request for an *Information System* to serve a business need for an *Initiating Department*.

   3.3.   *Department Lead* – a member of the *Initiating Department* who will steer the process to implement a new or updated *Information System*.

   3.4.   *Gate* – a checkpoint that is part of *Information Technology Governance* to ensure that a new or updated *Information System* aligns with the City's business needs, meets the City's technological requirements, follows an efficient implementation process, and is rolled out effectively. There are *Gates* at each stage of the *Information Technology Governance* process, for example, the *Demand Gate*, the Project Planning *Gate*, the Design Review *Gate*, and the Change Management

Authorized

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Signature on File
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CHIEF OPERATING OFFICER

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Gate. See Appendix 1 for a more detailed description of each *Gate*.

3.5. *Information Technology Governance (IT Governance)* – a process used by organizations worldwide that provides a formal framework to ensure that investments into *Information Systems* align digital strategy with business strategy.

3.6. *ITIL* - The Information Technology Infrastructure Library (ITIL) is the most widely recognized framework for IT best practices and provides comprehensive, practical and proven guidance for establishing an effective service management system. See https://www.axelos.com for additional detailed information on ITIL.

3.7. *Information Systems* – Software, hardware, data, cloud services, and procedures that integrate information technology solutions and business processes to meet the needs of City departments and include services that require a City user to login to an online account or access an *Information System*.

3.8. *Initiating Department* – The department implementing a new or significantly updated *Information System*.

3.9. *IT Liaison* – a representative from the Department of IT who helps guide *Department Leads* and *Project Managers* through the *Information Technology Governance* process to procure and implement technology solutions.

3.10. *IT Technical Leads* – individuals in the Department of IT, the *Initiating Department* or *Information System* vendors. They can include the CIO, deputy directors, managers, *Information Systems* analysts or cyber security personnel who provide input as part of the Design Review and Change Management *Gates*.

3.11. *Project* – after a demand is approved by the Department of IT, this is the status of an *Information System* before it is implemented. A *project* is a concerted effort to deliver an *Information System*, bounded by time, that has a defined outcome and deliverables, a deadline, and a budget limiting number of people, supplies and capital.

3.12. *Project Manager* – an individual employed by the City of San Diego or a contractor responsible for planning and coordinating the steps necessary and leading the project team to implement new or changing *Information Systems*. The project manager must have a project management professional (PMP) certification or have successfully run projects within the City that have followed a recognized project management methodology. *The Project Manager* can sometimes be the same individual as the *Department Lead.*

3.13. *Project Sponsor* – typically a management-level individual at the City. During

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the planning and execution stages of the project, the sponsor acts as a champion for the project at an appropriate level with key stakeholders. The Sponsor ensures that the business case and scope for the *Information System* are in alignment with the business need.

3.14. *Tech Alignment Review Form* – A checklist provided by the Department of IT used to ensure that a new or upgraded *Information System* meets cybersecurity standards and is compatible with other systems in the City.

4. POLICY

4.1. City departments shall follow the *Information Technology Governance* process and provide justification for any new or significantly updated *Information System* to ensure compliance with procurement and implementation requirements.

4.2. When an *Initiating Department* wants to procure a new or significantly updated *Information System* or services that rely on *Information Systems* to help solve a business need, its *Department Lead* or *Project Sponsor* shall submit his or her ideas to the *IT Liaison* for review.

4.3. *Department Leads* or *Project Sponsors* must ensure that they have received financial approvals for the *Project* before beginning the *IT Governance* process.

4.4. The *IT Liaison* will then meet with the *Project Sponsor* and *Department Lead* to ensure they fully understand the requirements for the *Information System*.

4.5. The *IT Liaison* will research potential solutions, determine significant risks, technological dependencies, or other potential issues with the desired solution before providing a recommendation to a *Department Lead*.

4.6. The *Department Lead* shall work with the Purchasing and Contracting Department to determine whether a competitive bidding process is needed or if a sole source contract is required to procure the desired solution.

4.7. Prior to choosing an *Information System,* the *Department Lead* shall work closely with the *IT Liaison* to ensure the solution meets the requirements in the *Tech Alignment Review Form.*

4.8. Once the *Tech Alignment Review Form* has been completed, the *IT Liaison* will enter a *demand* for the selected *Information System* into an IT Governance system used to track *Projects* used by the Department of IT.

4.9. The *IT Liaison* will present the proposed *Information System* at the *Demand Gate* and seek approval for the pro*ject* from the *IT Technical Leads*.

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4.10. A *Project Manager* must be brought on to the *project* once the *demand* is approved and work alongside the *Department Lead* to develop a plan for the implementation of the *Information System*.

4.11. The *Project Manager* will facilitate the Project Planning *Gate*, where the *IT Liaison* will review the plan and provide feedback and recommendations with the *Department Lead* and the *Project Sponsor* present.

4.12. Upon plan approval by the *IT Liaison*, the *Project Manager* will then facilitate the Design Review *Gate*, where *IT Technical Leads* and the *IT Liaison* will provide recommendations to the *Project Manager* or *Project Manager's* designee about the technical implementation of the proposed *Information System*.

4.13. The *Project Manager* or their designee will participate in the Change Management *Gate* to explain how the *Information System* will be deployed. This can include support plans, communication plans, training dates or the creation of written guides.

4.14. Once the *Change Advisory Board* has made deployment recommendations, *the Project Manager* will take the appropriate steps to deploy the *Information System* to users.

5. RESPONSIBILITIES

5.1 Department Lead

5.1.1. The *Department Lead* represents the *Initiating Department* as the individual responsible and accountable for the appropriate vetting, procurement, and implementation of their desired *Information System*. They are accountable for ensuring all process steps are followed and completed.

5.1.2 The *Department Lead* will ensure a qualified *Project Manager* is managing the *Project*.

5.1.3. The *Department Lead* must complete the *Information Technology Governance* process.

5.2. Project Manager

5.2.1. The *Project Manager* is responsible for the execution of the entire *Project* to implement the desired *Information System*.

5.2.2. The *Project Manager* must complete the *Information Technology*

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Governance process.

5.3. IT Liaison

5.3.1. The *IT Liaison* is responsible for assisting the *Department Lead* through the process to procure and/or implement new or updated *Information Systems*.

5.3.2. The *IT Liaison* assists the *Department Lead* in identifying any existing *Information Systems* that may meet the business requirements.

5.3.3. The *IT Liaison* assists the *Department Lead* and *Project* Manager to ensure all *Gate* requirements have been fulfilled as outlined in the IT Governance Overview (Attachment 1).

5.3.4. The *IT Liaison* participates in the *Gates* as required.

5.3.5. The *IT Liaison* maintains and develops checklists that will guide the *Department Lead* and/or *Project Manager* between each *Gate.*

5.3.6. The *IT Liaison* provides appropriate checklists to be completed by the *Department Lead* and/or *Project Manager*.

5.4. IT Technical Leads

5.4.1. The *IT Technical Leads* participate in the *Demand* and Design Review *Gates* to provide feedback and recommendations about the technical implementation of the proposed *Information System*.

5.5. Project Sponsor

5.5.1. A *Project Sponsor* is mandatory for all projects that are valued at $50,000 or more. (Project Sponsor training is available on Success Factors and is required prior to fulfilling this role).

5.5.2. The *Project Sponsor* leads the project through the engagement or selection process until the *Demand* is approved.

5.5.3. The *Project Sponsor* acts as a spokesperson to higher-level management to gather support throughout the organization and promote the benefits that the project will bring.

5.5.4. Once the project begins, the *Project Sponsor* reviews the *Project* with the *Department Lead* and/or *Project Manager* at the Project Planning *Gate*.

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      5.5.5. The *Project Sponsor* provides guidance on *Project* scope, timeline, cost, risks, assumptions, constraints, and dependencies.

APPENDIX

Legal References

Administrative Regulation 90.63 – Information Security Policy

Forms

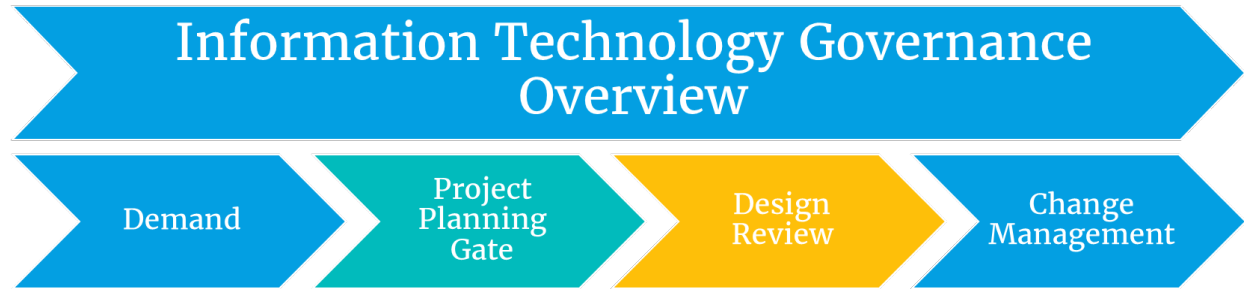Attachment 1 –Information Technology Governance Overview

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IT Governance Process for Procurement of Information Systems
Project Management Methodology

Administering Department

Information Technology

ATTACHMENT 1

Information Technology Governance Overview

| Demand | Project Planning Gate | Design Review | Change Management |

Below is an overview of each gate in the Information Technology Governance process.

Demand Gate: Entering a Demand is the beginning of the IT Governance process. During this gate, the Department of IT reviews demands to determine the downstream technological impacts and evaluates technical risks to ensure selected system is supportable by the City's technical landscape.

Project Planning Gate: During the Project Planning Gate Review, the IT Liaisons will review all planning documentation. IT Liaisons will make recommendations based on the meeting on the project approach the project team plans to use to deliver the intended scope. Reviewing planning documentation is a proven best practice for projects to ensure successful implementation.

Design Review Gate: The use of Design Reviews is proven best practice in systems development projects in ensuring successful implementation of applications, networks, security features or data centers. During the standard IT Governance process, IT Technical Leads will be reviewing each demand to determine if a Design Review is required.

Change Management Gate: The purpose of the change management process is to control the lifecycle of all changes, enabling beneficial changes to be made with minimum disruption to IT services. The Department of IT Change Management process maximizes value by driving faster changes and with higher success rates. Change management's general practice, focuses highly on system reliability and protects business continuity, while minimizing disruption.