

# What Makes Collaborative Initiatives Work?



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## *A Pattern for the Future*

Cross jurisdictional collaborative initiatives will become a growing and standard practice in the future. The importance of such collaborative arrangements is recognized by the National Association of State Chief Information Officers, (NASCIO) and the Public Technology Institute (PTI). NASCIO and PTI “joined up” to launch an initiative in 2012 to identify successful collaborative arrangements.

Cross-jurisdictional arrangements have included state to federal, state to state, state to county, county to county, city to county collaboratives. The growing prevalence of such arrangements is primarily due to the ongoing persistent national economic stress. There is a gap between revenues and expenditures. With flat or slow revenue growth, state and local governments are pressed to execute on operational reforms designed to improve efficiency and reduce costs. For State CIOs, cost savings is the primary motivation for collaboration.

A second gap exists as well. That is the chasm between the historical way in which government has operated and the realities of their new circumstances. Government has been bound by traditional organizational, procurement, and operational structures. This circumstance resides next to an increased demand for certain government services. So, there are established government expectations and capabilities - this historical situation. Now arrives a new situation requiring new viable and sustainable value based outcomes that require “scaling up.” Addressing this second gap requires a full reset of expectations, viewpoints and perspectives, and government practice for delivering services. This reset is inherent in the “calls to action” presented in this report. Government, non-profits, and corporate partners must participate in this “reset.” All levels of government and jurisdictions cannot avoid change and innovation. They cannot avoid risk by standing still or doing nothing. In turbulent, challenging times, inaction entails as much or more risk than pursuing change.

Collaborative arrangements involving multiple jurisdictions or agencies have demonstrated cost savings as well cost avoidance, improved existing services and also the ability to add new services.

Eventual exit from the current economic circumstance will require growth in the economy; a national innovation management strategy encompassing research, engineering and manufacturing; innovations in information technology and; effective application of comprehensive enterprise architecture discipline. Government and industry will need to continually mature best practices in:

- Business and service models, process improvements and enhancements
- Organizational transformation and continual change competency
- Innovation, research and development
- Innovation management
- Modernizing traditional economic engines, e.g., manufacturing
- Operational efficiencies
- Business analytics

Upon that exit, it could be anticipated that government will have removed or reduced significant redundancy in organizational service delivery and technology investment. This reduction will be achieved to the greatest extent through multi-agency, multi-jurisdictional collaborative initiatives. We're just at the beginning of such an era of cross-jurisdictional collaboration. In future, there will be a maturation in the operating discipline for identifying, planning, implementing and sustaining multi-jurisdictional collaboratives.

NASCIO is actively investigating existing collaboratives in order to promote these arrangements across government and to uncover operating discipline and best practices that make for successful collaboratives. These best practices support strategy, governance, program and project management, organization, operations and effective application of technology. Collectively these best practices are imbedded in the enterprise architecture of successful collaboratives.

## ***A "First" Initiative***

The first round of this activity was carried out through the 2012 NASCIO State & Local Collaboration Working Group. This working group was formed under the NASCIO Enterprise Architecture & Governance Program. NASCIO has been looking at collaborative arrangements for some time. NASCIO published briefs, conducted conference sessions, and webinars in the past few years that made recommendations on "cross boundary collaboration." The recommendations from these reports were substantiated in NASCIO's most recent study in 2012.<sup>1,2</sup> At present there is such economic stress on government, that policy makers, government leaders, knowledge workers, and operations staff are sharing a new sense of urgency in resolving the gap between revenues and costs; budgets and obligations.

For over ten years NASCIO has promoted discipline around the design and sustainment of government operations, service delivery and organization. This effort has been founded on the concepts of enterprise architecture. This approach is not restricted to technology architecture. It is a comprehensive enterprise wide architecture for designing the complete enterprise. Enter-



prise architecture has been recast by NASCIO and many other organizations to encompass strategic planning, management, organization, business processes, services, data and knowledge management, analytics, inter-enterprise collaboratives, as well as information technology.<sup>3</sup>

This includes assessment of the environmental context; market/need analysis; strategic planning; managing the portfolio of capabilities that enable strategic intent within that greater environmental context. Those capabilities are diverse in nature and include but are not restricted to technologies. That discipline is enterprise architecture. A critical evaluation of the profession of enterprise architecture will conclude that enterprise architecture as a complete management discipline is in its beginnings. There isn't a single enterprise in existence today that has fully embraced the concept of comprehensive enterprise architecture to purposefully design an enterprise, map out its strategic intent; map out the necessary delivery processes, partnerships, organization and technologies to deliver on intent. Organizations are making progress - but it is slow progress. This is completely understandable. After all, most organizations in existence today were put together in a time when comprehensive enterprise architecture wasn't understood and not employed.

Now arrives a new era of significant economic stress that necessitates collaboration, rationalization, optimization, and sometimes elimination. These words that end in "tion" are being applied to organization, processes, physical assets, intellectual assets, and even policy. New kinds of enterprises - cross boundary / cross jurisdictional enterprises - present a new level of complexity that creates further demand for comprehensive enterprise architecture discipline including framework, delivery process, methods and procedures.

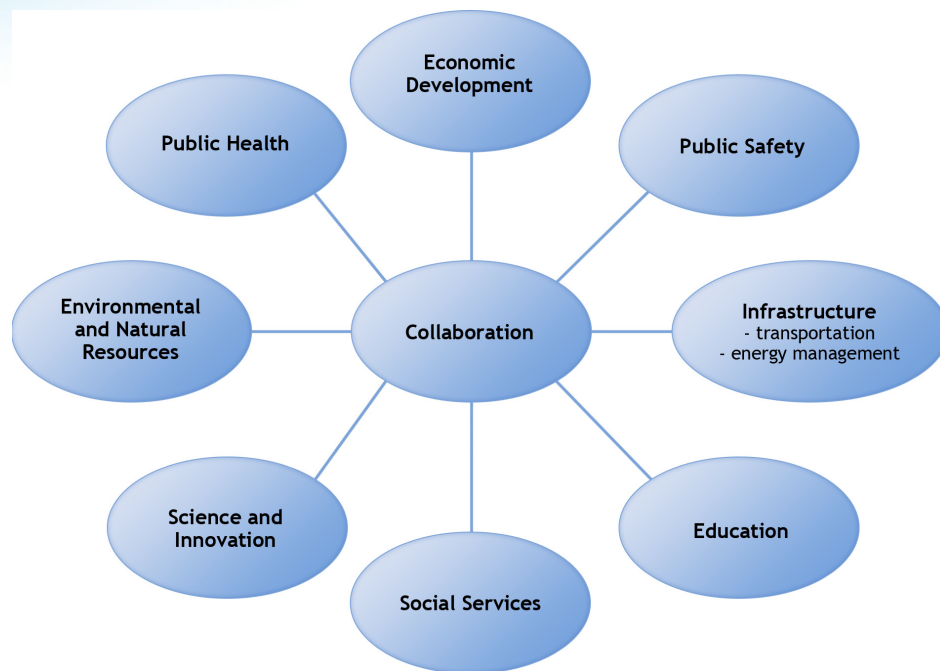
### ***"Get Ready for a Bumpy Ride"<sup>4</sup>***

The current economic circumstance in the United States as well as the rest of the globe has been described as the most challenging economic time since the Great Depression. We (that means all of us working together: government; industry; non-profits; academia) must find the path through these times. How will this country cope, survive and thrive under the current economic circumstances? How will we sustain and grow our economy? How will state and local governments deliver services when resources are so limited? How will state and local government prepare and deal with the "fiscal cliff" as this federal funding dramatically drops off? Can states sustain the necessary level of services? Some believe the real economic crisis hasn't arrived yet. So if things become worse how will government be able to respond. So, what is the answer?

Part of the answer is to look within government to learn how well government is currently using its limited resources; uncover unnecessary redundancy; find economies of scale that could be achieved; remove anything that is unnecessary or isn't contributing to the mission of government; identify those activities, processes, programs and organizations that would actually perform better if they were done collaboratively. Going it alone won't even be an option.

Governments need to: explore and anticipate a significantly higher level of strategic partnering; learn how to “join up”; identify the best opportunities for collaborative arrangements; learn how best to form collaboratives and under what conditions or situations; abandon some of the old behaviors and barriers that have historically stood in the way.

Collaboration is a major part of the solution to sustaining and thriving government organizations and services. But it has to be done correctly so it is effective, can sustain through the life of the initiative’s intent, and can adapt with changing environmental circumstances. No matter what service area, mode of delivery, management area, or technology, collaborative arrangements should be considered as an alternative that may deliver the most effective outcomes.<sup>5</sup>



Targets of Opportunity for Collaboration

This first discovery initiative on the part of NASCIO was orchestrated with the Public Technology Institute and included input from other partners from industry, non-profits, and government. The central objective of this initiative was to take a first look at collaborations that can be termed “successful” in order to uncover patterns and best practices that contributed to their success. These patterns can form foundational elements of an *enterprise architecture*<sup>6</sup> for designing, implementing and operating new collaboratives, or maturing existing collaboratives.

Successful collaboratives were defined as collaboratives that: are sustaining themselves; are delivering tangible results; and can be either replicated, or expanded to encompass additional jurisdictions. Under the auspices of the NASCIO Enterprise Architecture & Governance Program, a State and Local Collaboration Working Group was chartered with specific deliverables for the 2012 program year.

- Inventory successful collaboratives (try to collect from 15 to 20 scenarios)
- understand what made these collaboratives successful
- publish findings through webinars, conference calls, and research briefs.
- develop recommendations for the future

Part of the challenge was developing a method for identifying, collecting, and evaluating existing collaboratives. That proved to be a significant challenge. Surveying provided limited results. Eventually, what worked was word of mouth, partnering, and contacting NASCIO members, state and local associations, and non-profits to uncover collaboratives. Through word of mouth, enlisting partners and alliances, and points of contact provided by working group members, a list of candidate collaboratives was created. There are hundreds of collaboratives in place today. But getting “air time” with these initiatives proved challenging. NASCIO and PTI were able to partner with about 25 collaboratives that fit the criteria and who were willing to contribute their story. NASCIO launched a website for presenting these collaboratives and for continuing to collect and present scenarios going forward. There are also links to past NASCIO Technology Awards for *Cross Boundary Collaboration*, and relevant references. Stay tuned to this website for further development and a growing archive of scenarios. See [www.nascio.org/advocacy/collaboration/](http://www.nascio.org/advocacy/collaboration/).

The working group developed a simple approach for telling these stories through a 9 point outline. It should be emphasized that a simple outline would help limit the level of effort on the part of contributors, but also ensure the essence of successful collaboratives would be captured for uncovering the patterns of success.

1. *Title*
2. *Project Initiation and completion date*
3. *Organization and primary point of contact*
4. *Business problem Description*
5. *Business solution description*
6. *Benefit to government*
7. *Benefits to customers*
8. *Best practices employed (governance, relationship management, communication and marketing, etc.). That is, what business practices contributed to the success of this project, helped maintain commitment, funding and adoption.*
9. *Describe why and how this collaborative effort is transferrable to other jurisdictions.*

**NASCIO 9 Element Outline for Collaborative Scenarios**



## **Foundational Research**

Earlier shared service assessments, ranging from NASCIO's 2007 *Getting Started in Cross-Boundary Collaboration: What State CIO's Need to Know and Connecting State and Local Government: Collaboration through Trust and Leadership*<sup>7</sup> to Gartner's *Shared Services in Government: Critical Success Factors*<sup>8</sup> and *An IT-Enabled 'Cross-Boundary' Collaboration Framework for Government*<sup>9</sup>, have provided very useful summaries of best practices and critical success factors.

These include generic and classic best practices, more specialized state local requirements for success, and steps required to lay the foundation for establishing an ongoing program and portfolio approach to cross-boundary collaboration. Practices range from vision, leadership, governance and trust to accountability, management and operational processes. This white paper extends the existing solution portfolio by identifying, and refining 'new normal', modern solutions. Key state / local issues and solutions are discussed under Patterns Uncovered or cited in the Appendix. Others will be refined further under the Call for Action deliverables, including assessing the requirements for 'joining up' governments and an operational model.

In this report, best practices will be presented and summarized which were specifically called out by the various initiatives collected as being contributory to their success. A full list of possible critical success factors or best practices can be harvested from the various reports referenced throughout this report. Most of the examples used throughout this report are available on NASCIO new collaboration website at [www.nascio.org/advocacy/collaboration/](http://www.nascio.org/advocacy/collaboration/). Others are appropriately footnoted with links to the related website.

## **Patterns Uncovered**

- ***An Idea***

Every initiative started with an *idea*. The idea starts with a problem or an opportunity. The idea needs to be explored and evaluated to ensure it has merit. Target goals and objectives should be defined that promise a good combination of value and feasibility. The idea may be extremely innovative breaking new ground in some area of government service, or it may extend a recent innovation. The idea will remain an idea until someone takes ownership for it. There must be a clearly understood outcome and method for achieving it.

The Local Government Information Systems (LOGIS) Association was started by a group of local government officials in Minnesota who simply wanted to save money and find a way to pay for information technology they couldn't afford on their own. The initial opportunity was a jointly acquired financial system. That first initiative has led to a dozen different applications encompassing financial controls, public safety and utility billing systems. But it started with an idea shared by a relatively small group of local government officials exploring possibilities.

- ***Effective Targeting and Alignment of Issues and Solutions***

In order to address the performance gap between the ways governments currently operate and the realities of their new circumstances and requirements for new and different outcomes, it is necessary to identify and target appropriate, shared issues and *align* both the issues as well as the solutions. This alignment needs to maximize rewards and minimize risks, and pay more attention to institutional and process changes that technology can enable. Solutions entail more than IT and include policy and strategic alignment, processes and people. It may be necessary to develop new processes and organizational and operating models - i.e., new business architectures. A draft process for issue portfolio management is presented in NASCIO's August 2012 report, *Is Big Data a Big Deal for State Governments? The Big Data Revolution - Impacts for State Government - Timing is Everything*.<sup>10</sup>

Gartner has identified several potential targets for IT enabled cross boundary collaboration with other governments:

***Gartner's Nine Targets for IT-Enabled Cross-Boundary Collaboration<sup>11</sup>***

Boundaries\Bundles	IT Services	IT-Enabled Administrative Services	IT-Enabled External Services
Reforms within a single jurisdiction	Enterprisewide rather than agency-specific IT decision making	Enterprisewide finance, HR and procurement	Enterprisewide portals and other services and regulation
Cross-boundary with other governments	Multigovernment IT services, such as backup, geographic information systems and shared portals	Multijurisdictional support services, such as shared procurement (government to government)	Multijurisdictional end-user services, such as Western Governors University ( <a href="http://www.wgu.edu">http://www.wgu.edu</a> )
Cross-boundary with the private sector	Partnerships for technology services, such as cloud for processing, storage, and communications	Partnerships for administrative services, such as payroll, ERP and building management	Partnerships for end-user services, such as portal design and operations, revenue collections, and educational offerings

Source: Gartner (December 2010)

The state of New York Comptroller<sup>12</sup> has also identified collaborative opportunities in a range of issue and service areas. These include Public Safety, Facilities, Public Works, Justice Courts, School Business Office Functions, Procurement, Property Assessment, Records Management, Health Care and IT function such as IT Administration, Asset management and Security. A number of these areas parallel the examples discussed in this white paper. Technology considerations for solutions supporting these issue areas include focusing on those amenable for sharing. They should be:

- Replicable and transferable
- Scalable
- Open source, off shelf if possible

Solutions need not be new. GIS, broadband, application sharing, data sharing,



management processes and systems, procurement and others have exceptional success track records. However, there are also maturing solution models such as the cloud that inherently are silo-busters.

The State of Michigan and the Local Government Information Systems (LOGIS) Association provide great examples of initiatives that explore candidate challenges and opportunities and decide on next target opportunities through appropriate governance.

- **World Changers**

The recipe for successfully bringing any idea into action requires a visionary. This individual or group of individuals has a strong motivation to change the status quo. They have evaluated a situation and developed an idea for making a change. Now the idea for change must be well thought out. It can't be a "half baked" idea. However, brainstorming, or innovative thinking will bring up what may seem like blue sky ideas. The idea must be vetted through careful analysis of technical and economic feasibility. Further, such ideas must be vetted with other ideas in order to evaluate comparative merit. NASCIO has begun exploring this aspect in the publication *Is Big Data a Big Deal for State Governments? The Big Data Revolution - Impacts for State Government - Timing is Everything*<sup>13</sup>. The appendix of that report presents a draft process for issue portfolio management. This process, or one like it, could provide the process for comparative analysis, prioritization, identification of dependencies and co-influencers, and analysis of secondary effects. Further, an idea is tested through a formal, comprehensive economic analysis - *a business case*.

Each of the scenarios collected by NASCIO had an individual or a group of individuals that are *world changers*. They were not satisfied with the status quo. A group of *world changers* in the state of Montana recognized the need to design and implement a public safety mutual aid strategy that includes a diverse set of partnering agencies involving local, state, tribal and federal agencies. Sharing of resources is orchestrated through public safety operating discipline. That discipline critically relies on a communications strategy and effective, ongoing updating of that strategy. Montana's mutual aid discipline describes frequency resources, best practices and standards for spectrum utilization. Due to recent developments in public safety communications, the Montana collaborative formed a task force made up of three councils for orchestrating an effort to upgrade the *Montana Mutual Aid and Common Frequencies Manual* with input from a vast array of stakeholders representing emergency medical services, hospitals, the State Agency Radio Users Task Force, Interoperability Montana, the FBI, the US Air Force, and others.

- **Establish and Maintain Trust**<sup>14</sup>

*Trust* was clearly a common theme across all of the scenarios in this study. The state of Michigan's initiatives that are continually expanding with more and more state-wide service offerings coming from local government is founded on a level of trust that took almost a decade to cultivate. Crossing organizational boundaries is an endeavor that requires a great deal of trust on all sides. Particularly in state-local collaborations, where the processes and the players can differ greatly, it is important to construct and cultivate trust at the outset of collaboration. Establishing a sound governance model



is the first step in establishing this trust.

Important concepts to remember when establishing trust in any partnership are:

- Examine the risks to both sides and determine how to minimize or address them
- Address any pre-existing trust issues
- Have a common plan for handling the relationship from start to finish
- Demonstrate long term commitment to partner's interests through action, without necessarily receiving immediate gains in exchange
- ***A Compelling Business Case and Ongoing Analytics***

Formal vetting of an idea is achieved through developing a business case. The business case will include analysis of the feasibility of a project - both economically and technically. This requires an assessment of current capabilities as well as limitations of the organization. NASCIO has published a primer on business case development that can serve as a resource.<sup>15</sup> The business case must minimally include a list of the outcomes, the association resource requirements, funding alternatives, the period of time the initiative should be in place, and how to sustain the initiative during its lifetime. The process of developing a compelling business case invokes a discipline for methodically evaluating the merit of an idea as well as its comparative merit. An idea may have defensible merit on its own but when evaluated against all of the candidates for investment may not be as competitive in terms of net present value, or other measures.

In the future, it can be anticipated that issue portfolio management will become a more sophisticated management discipline for evaluating all of the opportunities as well as threats that face an enterprise. Individual analysis and comparative analysis will generate a priority list for management. That priority list can change quickly particularly when additional issues arrive that have associated federal mandates. Issue portfolio management is something any collaborative must employ in order to identify those issues and projects that present excellent opportunities for addressing as a cohort of collaborators. Further, any initiative must continue to prove is worth through collecting relevant analytics.

The Statewide Electronic Collision and Ticket Online Records (SECTOR) initiative uses state of the art technology and process for creating citations and collision reports. This initiative provides a seamless electronic document flow across an array of state agencies that need the same information. Time savings were only part of the justification for moving from a paper system to an automated system. New levels of effectiveness were achieved at an enterprise level due to timely, accurate information sharing through the new system. The initiative developed a compelling business case and continues to collect and report impressive statistics on adoption and usage rates, reduction in errors, and time savings. The collective group of agencies benefiting from SECTOR include: the Washington State Department of Transportation (WSDOT), the Department of Licensing (DOL), and the Administrative Office of the Courts (AOC). Prosecutors have the ability to utilize SECTOR to review officer created citations, make charging decision, and create additional citations.

- ***Maximize Partnership Infrastructures, Including Creating New Ones***

There are a wide array of organizations at the federal, state and local level whose goal is to encourage and support collaboration. These entities also include the IT service provider community. It is productive and sometimes a critical success requirement to leverage such organization goals and ideas, priorities, support and endorsement, and resources.

It may also be desirable or necessary to create a new collaborative authority. At the state level these may include regional governments or planning organizations, service districts, associations of governments or professions, good government organizations or foundations, trade groups or association and more. Some, such as criminal justice and public safety have established collaborative models and practices in many states and represent low hanging fruit for states with less mature approaches.

Michigan's Shared Network Integration Project (SNIP) provides an example of leveraging existing cross-boundary organizational structure. The project overcame common partnership barriers through support from the Cross-Boundary Technology Steering Committee (XBTSC), which is Co-Chaired by local units of government and comprised of 16 information technology leaders from both state and local government levels. The committee and this project are sponsored by the State's Department of Technology, Management and Budget's Center for Shared Solutions and Technology Partnerships (CSSTP). Together CSSTP and XBTSC are instrumental in forming local and state partnerships on technology initiatives, with a proven track record for breaking through historical silos that in the past have inhibited progress.

- ***A Marketing and Communications Strategy***

A great idea needs a great message that presents its value. The message must be carefully crafted for each audience that will benefit from the initiative. The idea or innovation must be supported by the majority of stakeholders that are affected. This will require a compelling message that describes the initiative, targeted outcomes, the economic and technical feasibility, and the merit of the initiative. This message is delivered through a communications and marketing strategy designed to gain support. Prior to getting to this stage, management must be convinced that the initiative being considered rises to the list of initiatives that are worthy of consideration and priority as compared with other candidate ideas.

The City of Raleigh and North Carolina State University have a long-standing history of collaboration. They teamed up to create the Gig.U and Raleigh Connected Partnership to develop and implement a strategy for high speed fiber network that benefits the university as well as the city. The initiative prepares the city and university as well as the region for economic growth in the 21st century. Citizens make up one of the most important stakeholders. Their understanding of the importance of the initiative and their sustained supported has been gained through active marketing, communications and outreach. Early on the initiative combined a marketing plan with its business plan to effectively communicate the merit of the project. Part of the intent of its marketing strategy was to help prepare organizations and communities for ongoing change. Through effective marketing and communications the initiative has gained participation, ownership, enthusiasm and support from urban and rural communities, academia and government.

- ***Effective Cross-Jurisdictional Governance***

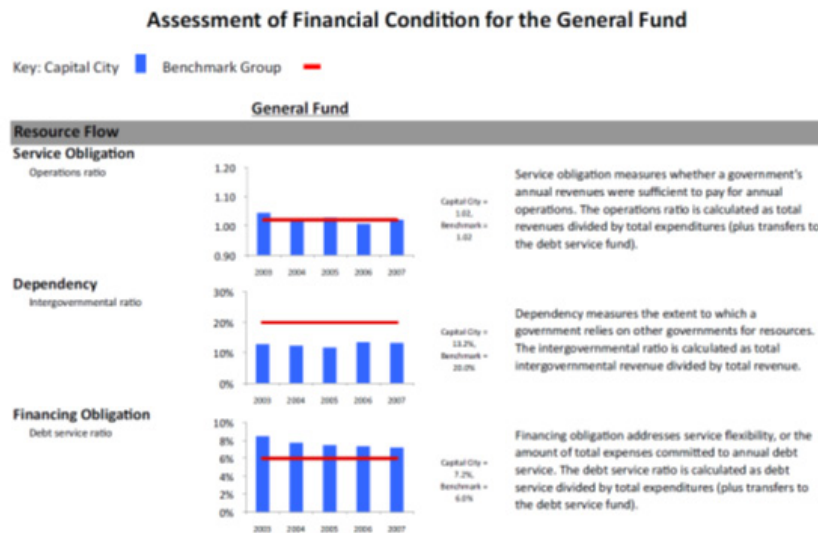
**Governance answers the questions:**

- **What decisions must be made?**
- **Who should make these decisions?**
- **How will decisions be made?**
- **What is the process for monitoring results?**

*Weill and Ross 2004*

Governance is essentially formal establishment of decision rights. It is critical that participants in a collaborative have and know they have a voice, and an equal vote irrelevant of the size of their organization or perceived clout. All affected stakeholders should have a seat at the table, and have an equal status at that table. Clarity, transparency and accountability around governance is especially important, because among the most difficult and recurring issues related to creating cross-boundary shared services are leadership, identity and ownership, decision rights, trust and people issues.

One of the best examples of governance is the State of North Carolina Financial Reporting Dashboard initiative. This initiative essentially leveraged the existing governance structure already in place. The State Treasurer's Office is the lead agency with a governance structure involving academia and local governments. Governance in this situation leverages relationships that date back to the 1930s when a network was initially created to deal with local government debt management. Today, the governance model includes the Institute of Government, the NC League of Municipalities, the NC Rural Center, and the NC Government Finance Officers Association. Further, this network of organizations has been growing since the 1930s.<sup>16</sup>



*A Dashboard for a Hypothetical City<sup>17</sup>*

• **Thinking Regionally**

Cross-jurisdictional collaboratives by definition encompass more than one jurisdiction. Such initiatives recognize that many events have little or no relationship to the formally defined jurisdictional boundaries or scope of responsibility established for state or local government. For example, natural disasters, terrorism, crime, public health, weather are representative of the kinds of events that move beyond local, state and national boundaries.

Each of the scenarios examined provide examples of this regional thinking.

• **Effective Use of Information Technology**



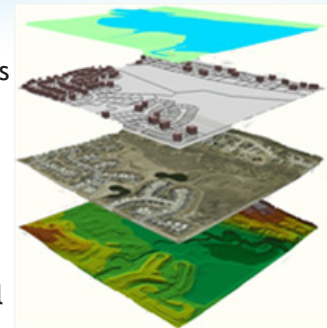


***“We utilize the E-filing system in Nebraska courts on a daily basis, and we’re very pleased. We find it benefits not just lawyers but anyone who comes into contact with the Nebraska court system. It makes the system more efficient and more transparent for society as a whole.”***

*Omaha attorney  
 Mark Quandahl*

Water quality, emergency response, disaster preparedness, and transportation issues, to name a few, are multi-county in nature and must be addressed using appropriate information, including geospatial information. The state of Indiana recognized this circumstance and went further to identify technologies that will support statewide, regional and local management and response. One of the most critical technologies that is necessary in the recipe for success is geographic information systems (GIS).

Indiana’s GIO, in partnership with nearly a dozen other organizations, partnered with Indiana counties to increase the value of the *IndianaMap*, Indiana’s statewide geospatial data resource. Interestingly, the initiative requires only a minimum amount of information about land parcels, local road centerlines, point addresses, and administrative boundaries. Datasets are created and maintained by county governments making for a statewide resource for government strategy and management across a wide variety of government lines of business at the state and local levels of government.



The state of Nebraska has employed service oriented architecture and cloud computing technologies to create the capability for electronic case filing. Case filing data entry loads were increasing and it was difficult for clerks to manage the workload and to expedite filings. Some high volume courts were weeks behind in processing paper filings brought to their offices. Additionally, attorneys’ office business processes were evolving and demand for online filing was increasing. The answer was employment of a service oriented approach to automation, information sharing, and process interoperability.

## **Summary**

In summary, the key best practices that are common patterns for successful collaboratives include: a well thought out idea; vetting of that idea with other candidates through effective targeting and alignment; advocacy by world changers; establishment of trust; a compelling business case; leveraging of existing governance structures; establishing effective governance within the initiative itself; an effective marketing and communications plan; emphasis on regionalism; strategic use of information technologies; an internal drive for change. The most prevalent best practices which are highlighted in this report are depicted in the following diagram. A more complete list of best practices is presented in the appendix.



## ***Calls to Action***

Going forward NASCIO makes the following recommendations which can be interpreted as calls to action on the part of NASCIO and state CIOs.

- Create a toolkit for planning, executing, and sustaining state and local government collaboratives. The toolkit may follow the pattern of the NASCIO Enterprise Architecture ToolKit<sup>18</sup> by describing successful governance models. This toolkit will exploit the excellent content in the many reports referenced throughout this report as well as centers of excellence and communities of interest related to cross-boundary collaboration.
- Assess the requirements for full policy, management commitment and engagement requirements for shared services including prioritization, resources, project and performance management and operating models. Develop recommendations for shared services operating models (e.g. centralized, hierarchical, peer-to-peer, joint), including partnered sourcing options.
- Modify the Technology Awards process to include the basic 9 element outline for Cross-Boundary Collaboration and Partnerships.
- Reconvene the state and local government collaboration working group to continue work relative to planning, sustaining, and maturing collaboratives.
- Examine the implications of “joining up” multiple jurisdictions. These include legal, jurisdictional, enterprise architecture, data management, funding, procurement and governance.

- Create a live, real time, ongoing survey of collaboratives. Maintain a NASCIO webpage for continually collecting scenarios (<http://www.nascio.org/advocacy/collaboration/>). Hold conference calls or webinars for exploring planned or existing collaboratives; lessons learned; effective practices such as governance, supply chain management, funding, enterprise architecture, enabling technologies.
- Establish a NASCIO Center for Collaboration which will develop the discipline for planning and implementing collaborative government arrangements including cross jurisdictional collaboratives, public private partnerships, multi-association initiatives, inter-state compacts, international arrangements.
- Promote enterprise architecture best practices for organizing and managing multi-jurisdictional collaboratives. If enterprise architecture is essential to managing a single enterprise's complexity and ongoing change, how much more important in the more complex circumstance of a multi-jurisdictional "enterprise."
- Establish common architectural based approaches for data management, security, and identity and credentialing management. There should not be "n" varieties of delivery processes, selected standards and approaches. Stay tuned to NASCIO and other leading national organizations who promote a common framework for managing government data. See links in the appendix.



## Appendix A - Best Practices

Innovative Idea	Effective Targeting and Alignment of Issues and Solutions	World Changers	Relationships of Trust
Compelling Business Case	Leverage Existing Governance Structures	Governance	Effective Marketing
Regionalism	Effective Use of IT	Project Management	Motivation for Change
Stakeholder Analysis	Funding	Analytics	Authority

An Innovative Idea	<i>An idea that catches the imagination solves a problem or captures an opportunity. Future oriented. Encompassing a large array of stakeholders.</i>
Effective Targeting and Alignment of Issues and Solutions	<i>This is an informal or formal process for continually evaluating opportunities and risks and maintaining a current list of priority issues and aligned solutions to work on collaboratively.</i>
World Changers	<i>An individual or a group of individuals with a passion for change. Not satisfied with the status quo.</i>
Relationships of Trust	<i>A key ingredient for any collaborative. States can establish the necessary level of trust by demonstrating support of collaborations at the local level that may not provide immediate or obvious benefit to the state - but do demonstrate positive citizen outcomes. Essentially this is an altruistic attitude about government, collaboration and citizen outcomes.</i>
A Compelling Business Case	<i>NASCIO has published a primer that outlines the necessary elements of an effective business case.<sup>19</sup> The business case is necessary for securing necessary support. However, that is subsequent to its role of fully vetting an idea and the competitiveness of an idea against all other candidate endeavors.</i>  <i>The business case should present appropriate economic evaluation and capital budgeting as essential elements of its defense.<sup>20</sup></i>
Leverage Existing Governance Structures	<i>Effectively use existing agencies, commissions, boards, authorities, and formal structures for citizen engagement.</i>
Governance	<i>Decision rights. Governance answers the questions:</i> <ul style="list-style-type: none"> <li>• <i>What decisions must be made?</i></li> <li>• <i>Who should make these decisions?</i></li> <li>• <i>How will decisions be made?</i></li> <li>• <i>What is the process for monitoring results?</i></li> </ul>

Effective Marketing	<i>Marketing really begins at the evaluation stage and entails establishing an understanding of customer / citizen needs and wants. Marketing then pursues solutions, products and/or services, with messaging that is relevant to the consumer of the product or service. Marketing is also important to gaining support, endorsement, adoption and sustained commitment from all stakeholders - everyone affected. Marketing doesn't end with the project approval. Rather, it continues throughout the life of the project, and the life of the project deliverables.</i>
Regionalism	<i>Not restricted to political or jurisdictional boundaries. Rather consider economic and population clusters that are affected and can benefit from change. Thinking beyond the immediate enterprise or organization.</i>
Effective Use of IT	<i>Must ensure an initiative doesn't amount being a solution looking for a problem to solve. Although, the arrival of innovative technology begs the question, "where could this be leveraged?" Predominant thinking should be, "what technologies exist that can assist in this endeavor?"</i>
Project Management	<i>Judicious use of people, knowledge, skills, techniques, and tools to transform an idea into a useful process or product in an effective and efficient manner.<sup>21</sup></i>
Motivation for Change	<p><i>Motivation on the part of all concerned for change. Motivation can not reside with the world changes or management sponsors alone. All stakeholders must be motivated. There must also be a catalyst or a tipping point that contributes to this motivation.</i></p> <p><i>Catalyst or Tipping Point:        As presented in NASCIO's report, "Transforming Government Through Change Management: The Role of the State CIO," Kotter's Eight Step Transformation Process includes the necessity of a "crisis," or a "jolt" that creates a certain sense of urgency and priority for solving a problem or responding to a threat or opportunity. The more urgent, the more effective.<sup>22</sup></i></p>
Stakeholder Analysis	<i>Identification of those who will be affected and who can benefit from change.</i>
Resources and Funding	<i>Combining existing resources and funds and additional resources gained through grants, fees, or sales.</i>
Analytics	<i>Analytics may actually uncover an issue that must be dealt with; provide understanding of an issue's magnitude; provide the basis for a business case; provide ongoing monitoring of progress from conceptualization through implementation and sustainment. As presented in NASCIO's series on analytics, analytics touches virtually every aspect of the enterprise.<sup>23</sup></i>
Authority	<i>Authority through legislation or given by the stakeholders informally.</i>

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<sup>1</sup> Getting Started in Cross-Boundary Collaboration: What State CIOs Need to Know, 2007, NASCIO. [www.nascio.org/publications](http://www.nascio.org/publications).

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<sup>3</sup> NASCIO has promoted this comprehensive view of the enterprise for some time. There are many other organizations that have also been evolving their definition of enterprise architecture in a similar way. A representative list of profession organizations that are working on the development of enterprise architecture discipline and the profession of enterprise architecture is presented on the website for the Federation of Enterprise Architecture Professional Organizations (FEAPO) at [www.feapo.org/](http://www.feapo.org/).

<sup>4</sup> All About Eve. Dir. Joseph L. Mankiewicz. Perf. Bette Davis, Anne Baxter, George Sanders, and Celeste Holm. 20th Century Fox, 1950. Film.

<sup>5</sup> The Federal Business Reference Model provides one of the most comprehensive set of government services. See FEA Reference Model Mapping Quick Guide, August 2008. [http://www.whitehouse.gov/sites/default/files/omb/assets/fea\\_docs/FY10\\_Ref\\_Model\\_Mapping\\_Quick\\_Guide\\_Aug\\_2008\\_Revised1.pdf](http://www.whitehouse.gov/sites/default/files/omb/assets/fea_docs/FY10_Ref_Model_Mapping_Quick_Guide_Aug_2008_Revised1.pdf)

<sup>6</sup> "Enterprise Architecture" in this context is a comprehensive enterprise architecture. NASCIO's definition for enterprise architecture is as follows. *Enterprise Architecture is a management engineering discipline that presents a holistic, comprehensive view of the enterprise including strategic planning, organization, relationships, business process, information, and operations. The organization must be viewed as a fluid - changing over time as necessary based on the environment and management's response to that environment.* Related references on enterprise architecture from NASCIO can be found at [www.nascio.org/publications](http://www.nascio.org/publications).

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<sup>15</sup> *Business Case Basics and Beyond: A Primer on State Government IT Business Case*, 2003.. [www.nascio.org/publications](http://www.nascio.org/publications).

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<sup>17</sup> Allison, Rivenbark, Roenigk, Appendix A.

<sup>18</sup> NASCIO Enterprise Architecture Toolkit, Version 3, available at [www.nascio.org/publications](http://www.nascio.org/publications).

<sup>19</sup> NASCIO report, *Business Case Basics*.

<sup>20</sup> See Colorado School of Mines - Economic Evaluation and Investment Decision Methods, <http://www.csmospace.com/events/econeval/>. Supporting text, *Economic Evaluation and Investment Decision Methods*, by F.J. Stermole and J.M. Stermole, and the accompanying Solutions Manual and Self-Teaching Manual are published and copyrighted by Investment Evaluations Corporation (IEC). Publication Date: January 1, 2012 | ISBN-10: 187874013X | ISBN-13: 978-1878740137 | Edition: 13th Edition.

<sup>21</sup> Kapur, G.K., *Project Management for Information, Technology, Business and Certification*. Upper Saddle River, New Jersey: Pearson Prentice Hall, 2005. Print.

<sup>22</sup> *Transforming Government Through Change Management: The Role of the State CIO*, NASCIO, April 2007. Available at [www.nascio.org/publications](http://www.nascio.org/publications).

<sup>23</sup> See NASCIO series on analytics. In Part II of this series a rendering of strategic intent is presented as a descriptive meta model demonstrating touch points with analytics. Series is available at [www.nascio.org/publications](http://www.nascio.org/publications).

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