Center for Technology in Government

University at Albany, SUNY

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minimizing risks

creating innovations

building knowledge

improving government

developing resources

enhancing services

maximizing opportunities

Mission

The Center for Technology in Government works with government to develop well-informed information strategies that foster innovation and enhance the quality and coordination of public services.

We carry out this mission through applied research and partnership projects that address the policy, management, and technology dimensions of information use in the public sector.

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July 2001

Dear Friends,

What do government managers need most to help them develop e-government? We asked that question recently, and the top answer, by a landslide, was easy access to reliable information about e-government development and performance. Public managers want to know what citizens want from e-government. They want to understand their policy options, service delivery choices, and funding alternatives. They want to know how their colleagues in the US and elsewhere are responding to changing organizational, operational, and staffing demands and performance expectations. State, local, and federal officials all want to know how to plan, design, and sustain e-government applications, and how to win the support of legislators, executive leaders, businesses, and citizens. Now, more than ever, it's not just about the technology. It's about vision, innovation, experimentation, risk-taking, and learning.

At CTG we have the privilege of working side-by-side with government agencies as they seek answers to all of these critical questions. In projects like *Using Information in Government*, completed this year, we've developed solutions and learned important lessons about information strategies, policies, finances, quality, and technology. Our newest project, *E-Government: Creating Tools of the Trade*, is tackling many of the issues government managers face as they build electronic government infrastructures and applications. Federally-funded research grants have given us the opportunity to learn twice from these projects—first by working on practical solutions, and then by analyzing the lessons they offer about building and operating a digital government.

Each year, government, academic, and corporate partners make CTG's work possible. Government agencies provide both the venues for our projects and the expertise of experienced public managers. University at Albany faculty and other academic partners offer specialized skills and methodologies. Corporate partners make it possible for us to tackle almost any issue, knowing that a wide array of products and skills can be brought to bear where and when they are needed.

This report outlines current work and reviews the accomplishments of the past year. From this foundation, we look forward to future partnerships in e-government research and learning.

Sincerely,

Sharon S. Dawes, Director

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Applied research program supports electronic government initiatives

E-Government: Creating Tools of the Trade

Many governments have developed electronic services, but the bulk of e-government work is yet to come. CTG is supporting this work through a year-long applied research program called *E-Government: Creating Tools of the Trade.*

This work responds to the expressed needs of government managers for practical resources that address the planning, design, and implementation of e-government programs and services at all levels of government.

These needs were identified through an environmental scan, a roundtable discussion with nearly 100 managers and IT and public policy specialists from dozens of state agencies and local governments in New York, as well as numerous interviews and an online survey.

We are now working with an array of government managers to develop the following tools of the e-government trade:

◆ E-government knowledge repository—a Web-based resource

◆ Methods and issues of data sharing—a technology awareness session

◆ Transitioning from the static to the dynamic Web—a technology awareness session

◆ Business process implications of e-government—a best practices report

◆ E-government laboratory for local governments—a strategic support initiative

◆ Guide to building a business case for e-government—a guidebook

◆ Briefing paper for top executives on the critical need for business process transformation—an executive briefing

◆ Guide to managing electronic records in e-government—a best practices report

◆ Guide to collecting baseline measures on cost and performance of existing services and guide to conducting a return on investment analysis for e-government—a report of best and current practices

◆ Case study in collaboration—a report of enterprise-level strategy

The first product of this program is "Untangle the Web: Delivering Municipal Services Through the Internet." This practical guidebook provides lessons and advice to help county and municipal governments launch and maintain Web sites. "Untangle the Web" draws from the experiences of a group of city, town, and county officials throughout New York State.

CTG will release more e-government tools throughout the coming year.
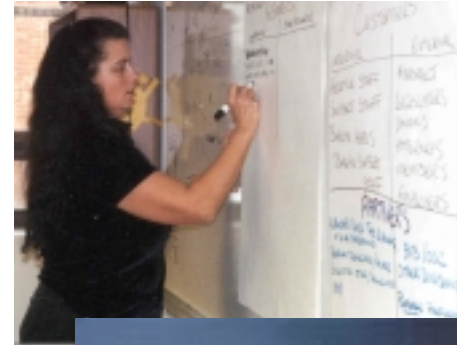
Partners

NYS Forum for Information Resource Management

NYS Office for Technology

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Interactive guide helps governments become better information users

Insider's Guide to Using Information in Government
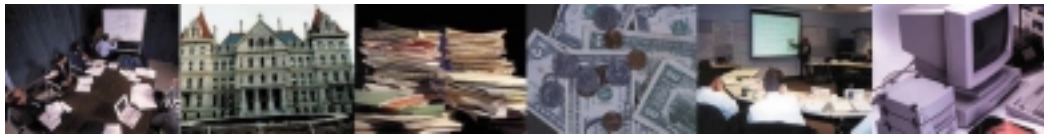
Governments are driven by information. But they face many challenges when using information to make decisions, develop policies, evaluate programs, and deliver services to citizens and businesses. CTG created the Web-based *Insider's Guide to Using Information in Government* to help government professionals overcome these challenges.

The *Guide*—available at www.ctg.albany.edu/guides/usinginfo/—lays out a framework that draws from the experiences of New York state and local agencies that faced and solved problems using information. The interactive, electronic resource presents six themes—strategy, policy, data, cost, skills, and technology—that impact most information projects. The themes are illustrated with eight case studies, and rounded out with links to additional resources.

The *Insider's Guide* grew out of our two-year *Using Information in Government* applied research program where we helped state and local governments work through the policy, management, and technology issues they encounter when using information to carry out their missions.

Partners

Central New York Psychiatric Center

New York City Department of Information Technology and Telecommunications

NYS Council on Children and Families

NYS Department of Transportation

NYS Office of Real Property Services

NYS Office of Temporary and Disability Assistance, Bureau of Shelter Services

Office of the NY State Comptroller, Central Accounting System

Office of the NY State Comptroller, Division of Municipal Affairs

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Web resource makes children's data more accessible

Kids Well-being Indicators Clearinghouse

Health and human services workers need a tremendous amount of information to design programs aimed at improving the lives of New York State's children. The *Kids Well-being Indicators Clearinghouse* will make this information more accessible, timely, and usable.

The KWIC project tested an interactive, data rich, electronic resource full of childhood indicators information, including such data as the rates of infant mortality, teen pregnancy, and juvenile violent crime arrests.

CTG partnered with the New York State Council on Children and Families to design and prototype this site, which was funded in part by a grant from the US Department of Health and Human Services. After testing the prototype, the full production site is now under development at the Council, which is devising a strategy to launch and maintain KWIC. When it is complete, public and nonprofit agencies throughout the state will have quick and easy access to the most current data to help them develop policies and programs that benefit children.

Partners

US Department of Health and Human Services

NYS Council on Children and Families

Cornell University, College of Human Ecology

NYS Commission on Quality Care for the Mentally Disabled

NYS Department of Health

NYS Department of Labor

NYS Division of Criminal Justice Services

NYS Division of Probation and Correctional Alternatives

NYS Education Department

NYS Office for the Aging

NYS Office of Advocate for Persons With Disabilities

NYS Office of Alcoholism and Substance Abuse Services

NYS Office of Children and Family Services

NYS Office of Mental Health

NYS Office of Mental Retardation and Developmental Disabilities

NYS Office of Temporary and Disability Assistance

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Practical guidelines shape electronic records access programs

Gateways to the Past, Present, and Future: Practical Guidelines to Secondary Uses of Electronic Records

Many people and organizations need government information. Increasingly that information is being created and stored through electronic means. CTG developed a guidebook to help government agencies through the complex decision making processes involved in creating effective electronic records access programs. The availability of effective programs will ensure that the public, as well as private and government organizations, will have appropriate access to the vast quantities of government information that are stored electronically.

"Opening Gateways: A Practical Guide for Designing Electronic Records Access Programs" presents a series of tools agencies can use to understand the relationships between design, implementation, and cost. It helps them develop effective programs that are appropriate given the nature of the information and the policies which govern it, make sense for the providing organization, and provide usable and reliable access tools for users. This guidebook is the result of a two-year research project, which was funded in part by a $381,000 grant from the National Historical Publications and Records Commission.

The guidebook was created through a collective effort and extensive research. CTG researchers conducted a current practices review, and interviewed more than two dozen electronic records program officers. Another 50 electronic records experts from around the world provided advice and feedback on the practical guidelines, which many agencies are using to create their own electronic records access programs.

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Business process analysis supports redesign of statewide information system

Office of the New York State Comptroller Central Accounting System Redesign and Financial Management System Integration

Redesigning a nearly 20-year-old statewide information system that processes 17.5 million transactions each year is a complex project, to say the least. But the Office of the New York State Comptroller is taking the right steps to move this multi-year project forward.

One of the key aspects of the ground-level work on the central accounting system redesign is a thorough analysis of the business processes it supports. CTG helped the Comptroller's Office learn the art of business process analysis using two processes—revenue and contracts—as examples. This work involved field visits and interviews with dozens of agencies that rely on these processes every day.

After learning the analysis technique from CTG, the Comptroller's Office is applying it to the remaining business processes. This work will enable the agency to establish a core set of statewide process standards as a major step toward a fully redesigned system.

Partners

Office of the NY State Comptroller

NYS Department of Civil Service

NYS Department of Correctional Services

NYS Department of Health

NYS Department of Law

NYS Department of Motor Vehicles

NYS Department of Taxation and Finance

NYS Department of Transportation

NYS Education Department

NYS Office of Children and Family Services

NYS Office of General Services

NYS Office of Mental Health

NYS Office of Mental Retardation and Developmental Disabilities

NYS Office of Parks, Recreation, and Historic Preservation

NYS Office of Temporary and Disability Assistance

NYS Treasury

NYS Unified Court System

SUNY Central Administration

SUNY Construction Fund

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Program helps build the granting agency of the future

Developing an Information Technology and Organizational Design Research Agenda for Evaluation and Management of Research Proposals

Together, the National Science Foundation and the National Institutes of Health handle more than 80,000 funding requests and award more than $18 billion in grants each year. And they came to CTG to help investigate how to best use e-business technologies and e-government principles to manage grant proposal and award processes in the future.

NSF awarded CTG a $236,000 grant to identify the characteristics of an ideal proposal management process, and to generate both action recommendations and a research agenda for the future.

CTG researchers are conducting interviews, identifying current and best practices, and facilitating two workshops. One workshop will focus on defining the ideal process and identifying the changes that are needed to achieve it. In the other workshop, a group of researchers and practitioners from a variety of fields will discuss the tools and technologies that must be explored or developed to make this process a reality. The results will be summarized in a research agenda for grant-making agencies and researchers.

Partners

National Science Foundation

National Institutes of Health

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International research focuses on service delivery partnerships

New Models of Collaboration for Delivering Government Services

The digital age is breaking down the barriers that separate public, private, and nonprofit organizations and enabling them to collaborate to deliver services to citizens and businesses. CTG's first international research project is studying these collaborative partnerships that take advantage of advanced networking and other information technologies to foster communication and coordination.

Our primary partner in this effort is CEFRIO, a nonprofit research center in Canada dedicated to helping improve the performance of organizations through the appropriation of information and communication technologies. A group of international researchers is studying 20 partnerships from around the globe, including North America, Belgium, Brazil, and Germany.

The National Science Foundation awarded CTG a two-year grant of $400,000 to fund the US portion of this project, which will search for cross-cultural similarities and differences, and identify the barriers and enablers to collaboration. As always with CTG projects, the research will lead to practical guidelines for government officials.

Partners

National Science Foundation

Centre Francophone d'Informatisation des Organisations (CEFRIO), Quebec, Canada

Cellule Interfacultaire Technology Assessment, Belgium

Hautes Etudes Commerciales, Quebec, Canada

Indiana University

University of Bremen, Germany

University of Maryland, Baltimore County

University of Quebec at Montreal, Canada

University of Sao Paulo, Brazil

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$1 million research project studies government knowledge networking

Knowledge Networking in the Public Sector

Today's rapid advances in communications technologies are making it much easier for government agencies to share information, build knowledge, and develop relationships with others who share common goals. The resulting knowledge networks are the subject of our $1 million *Knowledge Networking in the Public Sector* research project.

We are in the midst of this three-year research program, which is funded by the National Science Foundation. This work involves studying how seven initiatives in New York State developed relationships to share information, design policies, create work processes, and use technology to achieve common objectives.

CTG researchers are conducting surveys and interviews, analyzing documents, observing agency meetings and processes, and collecting feedback through reflection meetings. Preliminary findings indicate that knowledge networking is influenced by: the nature of the problem or objective, participants' characteristics and expectations, technical capacity and infrastructure, and legal and policy frameworks.

The study will result in a conceptual model of how knowledge networking relationships are formed and operate. We will also produce practical recommendations to improve the planning and implementation of successful knowledge networking in the public sector.

Partners

National Science Foundation

New York City Department of Information Technology and Telecommunications

NYS Council on Children and Families

NYS GIS Clearinghouse

NYS Office of Real Property Services

NYS Office of Temporary and Disability Assistance, Bureau of Shelter Services

**Office of the NY State Comptroller, Central Accounting System**

Office of the NY State Comptroller, Division of Municipal Affairs

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Outreach makes connections between technology researchers and government

Education, Outreach, and Training Team – Partnership for Advanced Computational Infrastructure

As the lead government partner in the *Education, Outreach, and Training Team* of the *Partnership for Advanced Computational Infrastructure*, CTG is helping create productive collaborations between information technology researchers and government managers. The goal of this National Science Foundation program is to build and promote the national technology infrastructure of the 21st century.

CTG is using workshops, publications, and other linkages to encourage these partnerships. We introduce federal, state, and local government managers to the problem-solving possibilities of advanced computational technologies. And we introduce researchers to the complex public problems that might serve as a focus for their research.
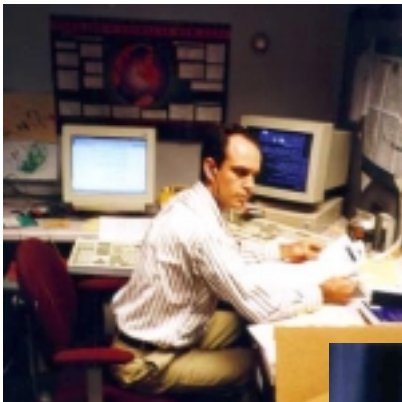
Partners

National Science Foundation

National Center for Supercomputing Applications, University of Illinois at Urbana-Champaign

San Diego Supercomputing Center, University of California at San Diego

International conference enables expansion of research agenda

Hawaii International Conference on System Sciences

CTG is extending its reach into the research community by co-chairing three minitracks at one of the world's foremost conferences on system sciences. The 35th Hawaii International Conference on System Sciences, held on the Big Island of Hawaii in January 2002, is designed to bring together information system and technology researchers and practitioners.

We are co-chairing and facilitating three research minitracks: "Information Technology and Public Administration—E-Policy," "Information Technology and Public Administration—E-Government," and "Modeling Nonlinear Natural and Human Systems." These minitracks will help increase understanding and promote research on these important topics. Our participation enables us to share our knowledge, and expand our relationships, with academics and practitioners from around the globe.

Partners

University of Hawaii

Federal Institute of Intellectual Property, Switzerland

University of Applied Sciences, Switzerland

University of Texas at Dallas

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Work made possible by the generosity of partners

CTG was founded eight years ago to help meet the changing information technology needs of New York State agencies. While that charge has broadened to include all levels of government, our efforts are still focused on helping public sector organizations deal with the policy, management, and technology issues they encounter when developing and delivering services and programs.

This work is made possible by the generous support of a variety of government, corporate, and academic partners. From in-kind donations of equipment and expertise to grants for applied research, CTG relies on funding streams outside the New York State budget for more than half of our financial resources.

CTG's total resources for the past year were $1,926,491. Federal research grants provided us with $884,681. Government, corporate, and academic partners furnished another $118,579 worth of in-kind contributions. Together, these two funding streams accounted for 52 percent of our total resources. Another $805,131 came from New York State through our annual budget allocation, which amounts to 42 percent of our financial resources. The remaining six percent of our funding, or $118,100, was provided through such means as contractual work with government agencies and fee-based education programs.

Other 6%

Federal research grants 46%

NYS budget allocation 42%

Government, corporate, and academic partners 6%
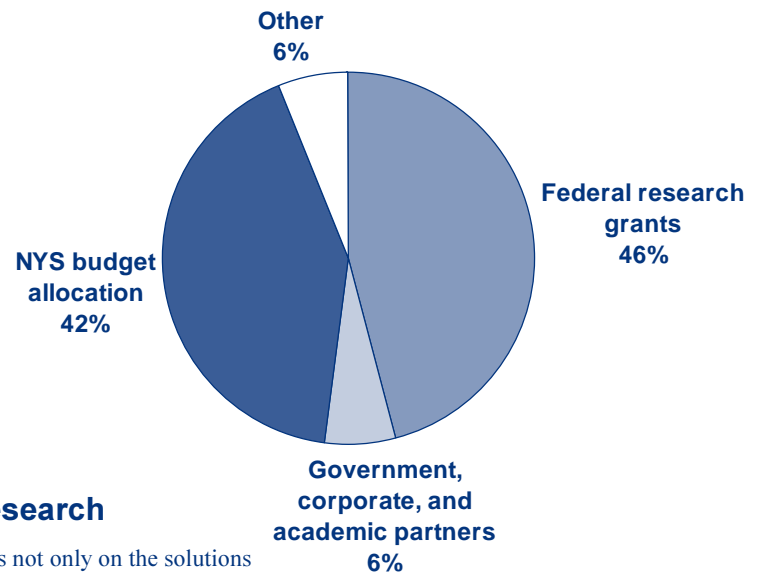
Granting organizations support applied research

Our projects are a form of applied or "action" research. They focus not only on the solutions to practical needs or problem, they also generate new knowledge useful to academics as well as practitioners. We have been successful in competing for research grants at the national level to help support this work. In the last year alone, CTG worked on four national and international projects funded by the National Science Foundation. *Knowledge Networking in the Public Sector; Education, Outreach, and Training Team/Partnership for Advanced Computational Infrastructure; Developing an Information Technology and Organizational Design Research Agenda for Evaluation and Management of Research Proposals*; and *New Models of Collaboration for Delivering Government Services* were all made possible through NSF grants.

Government partners work with us to solve management, policy, and technology problems

Government is at the heart of every CTG project. More than 100 local, state, and federal government agencies have worked with us to devise information-based strategies to help them fulfill their program goals. Our interactions with government partners allow us to develop resources that other agencies can replicate for their own unique situations. Multiple agencies were involved in just about every project we conducted this year. The *Kids Well-being Indicators Clearinghouse* and *Office of the New York State Comptroller Central Accounting System Redesign and Financial Management System Integration* projects each involved scores of New York State agencies. And our *E-Government: Creating Tools of the Trade* work will involve even more state and local government partners.

Corporate partners provide equipment and services

When it comes to hardware, software, and technical expertise, our corporate partners are key resources. More than 50 corporate partners have supported the technical aspects of CTG projects, including Oracle, Sun Microsystems, Hewlett-Packard, Deloitte & Touche, and Meta Group. This year, Microsoft Corporation provided us with an in-kind donation of software worth $7,429 for CTG's infrastructure. Audio Visual Sales and Service loaned CTG audio and video equipment and technical support worth $4,400 for seminars based on our *Using Information in Government* program, and for the roundtable event that kicked off the *E-Government: Creating Tools of the Trade* program. And $1,750 worth of artist Randy Glasbergen's cartoons helped illustrate CTG presentations during the year.

Academic partners share skills and expertise

Colleagues at the University at Albany, and other colleges and universities, have always been a part of CTG work. Academic experts in a number of fields helped conduct research and provided advice for several projects this year. *New Models of Collaboration for Delivering Government Services* relies on the research of colleagues from universities in North and South America, and Europe. Faculty from universities in Dallas and Switzerland are partnering with us for the *Hawaii International Conference on System Sciences*. And colleagues from several New York state colleges and universities aided our electronic records access project, *Gateways to the Past, Present, and Future: Practical Guidelines to Secondary Uses of Electronic Records*.

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Sharing research and results

We frequently share our work with colleagues in the public, private, and academic sectors through presentations at meetings and conferences. Some of the connections we made this year include:

♦ Discussing "Beyond Technology: The Realities of Data Integration" at the National Science Foundation's Digital Government consortium in Washington, DC

♦ Demonstrating our *Insider's Guide to Using Information in Government* Web resource for researchers and end-users of high performance computing at the Super Computing 2001 conference in Dallas

♦ Hosting the Council for Excellence in Government E-Government Fellows for a segment of the annual meeting of the National Partnership for Advanced Computational Infrastructure in San Diego

♦ Moderating an e-government symposium of New York state and local agency leaders for the New York State Forum for Information Resource Management and the New York State Office for Technology

♦ Teaching a workshop on intergovernmental solutions for New York state and local government staff at the University at Albany's Graduate School of Public Affairs

♦ Presenting the early results of our knowledge networking research to the staff of the European Commission and to federal officials in South Korea

♦ Developing a new academic program in Information Strategy and Management for UAlbany's Public Administration Master's Program

Research and resources available on Web site

We produce copious amounts of research and resources each year. And all of that information is available at www.ctg.albany.edu.

Partners, colleagues, and the general public have easy access to CTG information, including project reports, practical guides, newsletters, research updates, and links to other resources. More and more people are visiting our site for this valuable information. Last year, visits to the CTG Web site grew 38 percent. This trend is certain to continue as we add e-government tools to the site as part of the *E-Government: Creating Tools of the Trade* research program.

We continually upgrade and expand our site to make it more user-focused. We're adding features and functionality that will make it easier for users to quickly find the information they need. We're also renovating the face of the site to make it more visually appealing, and we'll continue to create new types of interactive resources, like the *Insider's Guide to Using Information in Government*.

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minimizing risks   maximizing opportunities

Partners benefit from education workshops

CTG's applied research and innovations projects routinely yield lessons from which our corporate and government partners and other professionals can benefit.

Traditionally, we've offered three workshops. "Making Smart IT Choices" teaches government managers the skills and tools they need to make informed decisions about information technology projects. "Information, Technology, and Government" helps corporate representatives learn the unique environment in which their government clients operate. "Models for Action: Practical Approaches to Electronic Records Management and Preservation" provides guidance on how to create electronic records management programs.

In the past year, we've adapted some of these workshops to provide more personalized training for partners. The goal is help them apply the lessons and tools from the workshops directly to their own projects. This customization makes for a more seamless transition from classroom learning to real-life application.

Reports and guidebooks provide valuable lessons

One of the ways we share our work and knowledge is through publications. Over the years, CTG has produced dozens of reports, practical guides, executive briefings, handbooks, and tools for government managers.

This past year saw the production of three major publications: "Untangle the Web: Delivering Municipal Services Through the Internet," the "Insider's Guide to Using Information in Government," and "Opening Gateways: A Practical Guide for Designing Electronic Records Access Programs." All of them drew accolades from colleagues, and the media, as the kinds of advice, lessons, and tools government managers need to help them use information technology to achieve their service goals.

A list of our more than 50 publications is included on the following two pages. All CTG publications can be downloaded for free from our Web site.

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Publications

Untangle the Web: Delivering Municipal Services Through the Internet. Mark LaVigne, Stephanie Simon, Sharon Dawes, Theresa Pardo, Donna Berlin. June 2001

The Insider's Guide to Using Information in Government Executive Briefing. February 2001

Opening Gateways: A Practical Guide for Designing Electronic Records Access Programs. Theresa Pardo, Sharon Dawes, Anthony Cresswell. December 2000

Insider's Guide to Using Information in Government. November 2000

What Citizens Want From E-Government. Meghan Cook. October 2000

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The Internet, the State Library, and the Implementation of Statewide Information Policy: The Case of the New York State GIS Clearinghouse. Sharon Dawes, Sharon Oskam. *Journal of Global Information Management,* Volume 7, Number 4, October-December 1999.

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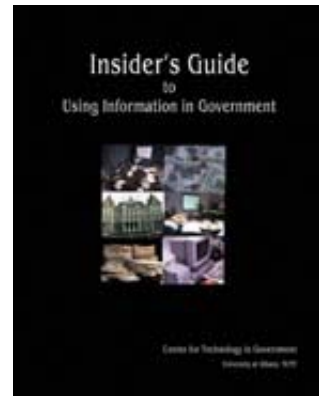
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Partners in State-Local Information Systems: Lessons

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applying research   developing resources

from the Field. Sharon Dawes, Theresa Pardo, David Connelly, Darryl Green, Claire McInerney. October 1997

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A Cost Performance Model for Assessing WWW Service Investments. Peter Bloniarz, Kai Larsen. June 1997

Tying a Sensible Knot: Best Practices in State-Local Information Systems. Executive Briefing Paper. June 1997

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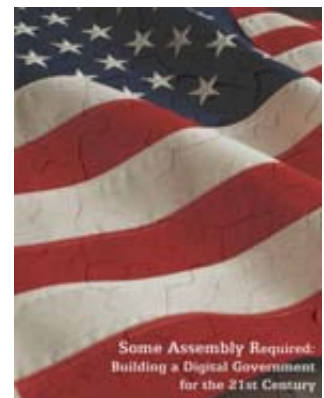
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applying research

minimizing risks

creating innovations

building knowledge

improving government

developing resources

enhancing services

maximizing opportunities