



State of Oregon

Principles for Government Excellence

Version 1.1

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Introduction

Consistent, enterprise-wide change can be driven by concise, well understood and sanctioned principles combined with an executive commitment to their use. Principles represent a clear commitment by executive leaders to their desired decision-making biases. This executive intent takes the guesswork out of lower-level decisions. They provide the criteria for making strategic decisions. Principles help guide individual decision makers by creating a compass for best practices related to statewide changes.

Principles provide a timeless quality. They define a value system, are stable and remain consistent. Once established, principles require only very slight adjustments as business strategies and priorities change. Strategic goals are at risk if principles are disregarded. Significant deviation demands rigorous assessment through a formal change management process. Principles should only be overridden when the risk associated with following them significantly outweighs the risk of following the principle.

The key objective of principles is to provide effective and efficient government.

Scope and Audience

These principles reflect the highest values of state government. They exemplify our values and guide our actions, leading to government excellence.

These high-level principles imply not only what changes will occur, but how changes will be implemented. Groups involved in enterprise change or projects need to apply these principles as appropriate to their situations. Further, they will relate to and generate other principles focused specifically on business lines, information, technology and solutions.

The principles guide future decision-making around our Framework for Government Excellence and existing processes, such as:

- Strategic planning
- Business and information resources management planning
- Enterprise Portfolio management
- Business case development
- Issue management

Assumptions Used in Principle Development

The following assumptions guided the development of the principles included in this document.

- The mission and vision of state government is established and provides the basis for principle development.
- Principles derive from and/or align to published and accessible, capstone documents, e.g., the Governor's principles.
- Principles reinforce the strengths of the business of government and shore up weaknesses, real or perceived.
- The principles will be used to support decisions driving enterprise change.
- These principles serve as the foundation for the development of principles at more detailed levels, e.g., business, information and technical solutions.
- The operating principles of lower levels of government will derive from and align to these principles.
- Reasonable people, using best practices, will arrive at similar decisions.

Principles for Government Excellence

The following principles were derived from the Governor's Oregon Principles¹, the 2005 Enterprise Information Resources Management Strategy (EIRMS)², Gartner's Enterprise Architecture Principles Example Set³ and Oregon State Statutes 291-037⁴ and 291-038⁵. The principles were then supplemented by comments received during a number of meetings with the CIO Management Council, CIO Council and Government Excellence core team.

- ❖ **Enterprise View:** We first consider a long-term, holistic, and statewide point-of-view of government when we make decisions.
- ❖ **Accountability:** As public servants, we are accountable to the citizens of Oregon for our decisions, actions, and outcomes.
- ❖ **Public Value:** We make informed decisions to deliver value to citizens, businesses and government, striving toward the best possible outcomes for the state as a whole.
- ❖ **Everybody Participates:** Excellence in Oregon government is everyone's business.
- ❖ **Governed Evolution:** We ensure all new initiatives align with the state's vision, strategic direction, and legal mandates.
- ❖ **Plan for Change:** We recognize that government must be responsive to public need.
- ❖ **Information is a Valued Asset:** We value public information as an enterprise asset.

Principles consist of four parts: a short name, brief description, rationale and implications or consequences (positive and negative) of adopting the principle.

Enterprise View

We first consider a long-term, holistic, and statewide point-of-view of government when we make decisions.

Rationale

Government must think globally and act locally. As we confront ever increasing rates and degrees of change in legislative mandates, administrative and budget constraints and citizen expectations, we must model/analyze the impact of change across not only individual parts of state government but also across the entire enterprise.

- The relationship between business processes, information and solutions is highly interdependent.
- An architecture that is adaptive but reflective of the entire enterprise supports enterprise strategies.
- Business drivers, direction and needs from all parts of the enterprise are key inputs to the development of enterprise architecture.
- The Department of Administrative Services must actively govern investment decisions by the enterprise.

Implications

- As much as possible, our choices will reflect and align to the vision and strategy of the enterprise as a whole.
- We recognize that change must begin at the most appropriate level of the enterprise.
- We recognize that change begins in present realities, but with an enterprise view as a prerequisite.
- We make decisions based on our organization's capacity for change, but must provide critical services on a daily basis.
- We balance the needs and resource constraints of the individual agencies to accomplish their mission with the long-term vision of the state.
- Our governance structures must continuously evolve to adapt to the changing needs of state agencies and the citizens of the state.
- The expectation of timely decision-making and solution delivery must be effectively managed

Accountability

As public servants, we are accountable to the citizens of Oregon for our decisions, actions, and outcomes.

Rationale

According to the Governor's Oregon Principles — "State government is stable, responsive and accountable to Oregonians." According to the Oregon Law Commission, "Public office is a public trust. Public office should not be used for private gain and public officials should act fairly and impartially with regard to all members of society⁶." Consequently, the accountability resides in ethics.

Implications

- Our actions and decisions will be ethical. We remain comfortable and confident if and when our actions are reported to the public by the media.
- Each of us has a responsibility to make the best use of the state resources entrusted to us.⁷
- We are accountable for outcomes based on the statutes and missions of the state and its agencies.
- We attempt to make changes, when policy and legal requirements significantly risk the delivery of outcomes.
- Processes lacking value will be rigorously challenged and appropriately changed.
- Although we may delegate authority, it does not relieve us of our continued stewardship to the citizens.
- Except where required by statute, government records will remain open and accessible for public review and scrutiny.^{8&9}
- Transparent government is a priority.
- We shall communicate with businesses, citizens and each other through appropriate media.¹⁰
- We test accountability through periodic audits, ethics reviews and public release of documents.

Public Value

We make informed decisions to deliver value to citizens, businesses and government, striving toward the best possible outcomes for the state as a whole.

Rationale

The foundation of this principle resides in the:

- Governor's Oregon Principles — "State government is stable, responsive and accountable to Oregonians."
- Key success factors of the 2007 EIRMS —
 - Citizen to government
 - Business to government
 - Government to government
- Enterprise direction, as referenced in the 2007 EIRMS
 - Citizen-centric
 - Business-centric
 - Government services

Implications

- We balance our opportunities between financial return on investment and public value unless otherwise mandated.
- We monitor and assess programs and services for their desired value and outcomes.
- We take steps to eliminate or adjust programs and services no longer delivering expected value.
- We don't always implement the least expensive alternative; the optimum goal is "best value."
- We relate our business cases to current strategies for providing public value.
- We value compromise, striving for win-win solutions.
- If benefits to citizens are cost-justified, we may make changes resulting in more complexity or higher costs for agencies and staff.
- All publicly accessible processes and technologies will be designed to simplify and accelerate citizen interaction with government.
- Citizens, businesses and government employees should be able to find relevant information and services simply, intuitively and quickly.
- We must develop a common requirements vision, presenting a holistic end-to-end strategic plan that aligns the business of

state government with enabling, supporting and contributing technologies.

- We “right-size” improvements, bringing about the greatest benefit with the least disruption to today’s services.

Everybody Participates

Excellence in Oregon government is everyone's business.

Rationale

Government must strive to be responsive, effective and efficient. State business cannot, therefore, occur in a vacuum. State government must have continuous and dynamic interaction between employees, private industries and citizen communities to be effective.

Effectiveness evolves through unified planning and management of the state business. All state employees, businesses and citizens are key stakeholders.

Implications

- We are all part of one organization.
- Communication is foundational to inclusive state government.
- All agencies, their respective divisions, districts and administrative and operations business units will participate in the decisions needed to accomplish the work of government.
- We biased toward open communication.
- We act to make government excellence all-inclusive and not the exclusive endeavor of any specific state staff.
- We value diversity and disparate points of view.
- We strive for a common understanding of business, information and technical perspectives.
- We continually assess the content and style our communications to deliver the intended message to specific audiences as appropriate.
- We recognize that multi-channel communications are critical to the enablement of inclusive participation and contribution.
- We communicate clearly and completely.¹¹
- Every stakeholder accepts responsibility for contributing, developing, achieving and maintaining desired processes, outputs, and outcomes of government excellence.
- Our participation ensures that government is accessible and responsive to both state staff and citizens.
- Participation of all governmental businesses remains critical to our success as a whole.

Governed Evolution

We ensure all new initiatives align with the state's vision, ^{12&13} strategic direction, and mandates¹⁴.

Rationale

We need to ensure that all proposed initiatives:

- Are business-driven and business sponsored
- Are aligned with state strategic goals and principles
- Follow best practices and defined standards

All initiatives should maximize the return on investments while minimizing risk. We must ensure that the enterprise perspective permeates individual initiatives rather than the singular perspectives of a project or line of business.

Implications

- We ensure that each proposed change represents an acceptable level of risk to the enterprise.
- The strategic goals of the enterprise are current, actionable and accessible by the public.
- We implement and enforce a standardized change assessment framework and process.
- We monitor the progress of all initiatives, measuring the effectiveness of their implementation, the efficiencies of their processes and the derived benefits.
- We dedicate resources to manage enterprise change and support processes and procedures.
- As risk is inherent, ongoing risk assessment shall be a standard component of all initiatives.
- Not all mandates may be feasible, desirable, or attainable, leading to a calculated acceptance of the consequences of such inaction.

Plan for Change

We recognize that government must be responsive to public need.

Rationale

We cannot solve problems with the same thinking used in their creation.¹⁵ The trusted practices that served us well previously will not help us transform government.

Public expectations of government services and programs are based on private sector innovation. Information and service accessibility and availability are increasing at a near exponential rate in the private sector. The public expects similar timeframes for government services. Further, they see state government as one "company" and expect to interact with it that way. They should not have to understand the structure of government to get the services they want. But state bureaucracies are locked in processes, governance models and infrastructures preventing flexibility and agility in providing service.

Implications

- We invest in the future.
- We make decisions that move us toward simple, understood and effective processes to govern, resource, and collaborate across enterprise boundaries.
- We assess the impact of change holistically for state agencies and lines of business to efficiently implement programs and establish new process and procedures.
- We design business and technical systems be easily and quickly changed.
- We plan for reuse and take advantage of modularity to promote flexibility.
- We make visible and obvious mistakes, but welcome the opportunity to learn and recover from them.
- We challenge our "sacred cows" (i.e., things that we've taken for granted, e.g., processes, practices and rules that we've held in the past). We work to change them if they prevent best practices.

Information is a Valued Asset

We value public information as an enterprise asset.

Rationale

We protect the confidentiality, integrity and availability of information assets. ORS 182.122 designates the Oregon Department of Administrative Services (DAS) as the "single point of accountability" for information security at the state¹⁶. The Enterprise Security Office (ESO) is, therefore, developing a security strategy to ensure information security¹⁷. Information security management enables information to be shared while ensuring protection of that information and its associated technology assets.

Although information security is of prime concern, it must be balanced with the need to use information as intended while providing public value. Information must be appropriately shared to maximize the effectiveness of business decision-making throughout the enterprise and with trusted partners. Information access remains essential for the accelerated decision-making needed to meet public expectation(s).

Implications

- Information is a strategic asset of the state and must be managed as a valuable resource throughout its lifecycle.
- We protect private and confidential information from unintended consequences and uses.
- We do not provide access to state information resources without proper authorization.
- We strive to ensure the information we provide is of high quality, authoritative and trustworthy.
- We establish unified policies, controls and processes for data and information management.
- We structure data for easy access, use and management.
- We integrate information from different sources to provide public value.
- Our results and information are high quality, authoritative and trustworthy.
- Our use of information resources in state government require strong and effective management by both individual agencies and the state as a whole, and require validation through business and citizen interaction.

- Our management ensures a framework exists for the review, improvement, integration, development, security and use of information resources.
- There will be unintended consequences in using available private and confidential information. We mitigate risks and plan contingencies for such unintended consequences.
- We protect private and confidential information, following best practices to reasonably ensure the safety and welfare of all Oregonians.

Conclusion

Effective enterprise governance requires clear articulation of what the enterprise deems as desirable behavior. Solid principles agreed on by State leaders guide behavior. These principles must be institutionalized, understood, applied consistently and enforced by a governance process directed by senior management. This document serves as a starting point to begin the statewide discussion on the foundational principles of Oregon state government.

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