

**2002
ANNUAL REPORT**



Mission

The Center for Technology in Government (CTG) 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.



Center for Technology in Government

introduces our new logo...

which provides a fresh look to CTG's Web site and publications but remains true to the Center's fundamental ideals of dynamic collaboration, continuous learning, and knowledge sharing.

NEW foundations

July 2002

Dear Friends,

The events of the past year have prompted us all to re-examine our fundamental principles and goals. As we watched our colleagues in New York City and New York State government respond with resourcefulness, determination, and heroism to the attack on the World Trade Center, we could see more clearly than ever the power of trust and collaboration to meet a common need. We witnessed the spirit of public service in countless actions across the public, private, and nonprofit sectors. We saw the importance and resilience of our laws, policies, and plans, even as new challenges emerged to test them. And we reaffirmed the importance of information, communication, and technology to the ongoing life of our government and our society.



At CTG we are honored to have a role in supporting effective government. In the past year we've reaffirmed our founding principles of public service, problem solving, partnership, and knowledge building. These principles play out in projects like "E-Government: Creating Tools of the Trade," where we've worked with many state and local officials to create practical tools for building electronic government infrastructures and applications. Federally funded research grants allowed us to focus on broad questions of interorganizational collaboration, information integration, and knowledge sharing. And a new grant from the National Science Foundation is giving us the privilege of learning how the response to September 11 might bring us long-term improvements in government in more ordinary times.

As always, government, academic, and corporate partners are essential to our program. They continually strengthen our foundations and make it possible for us to apply leading-edge thinking to important public problems. We look forward to 2003 with great confidence in both the spirit and the reality of public service.

Sincerely,

A handwritten signature in dark ink that reads "Sharon S. Dawes". The signature is written in a cursive, flowing style.

Sharon S. Dawes
Director

Knowledge networking research nears completion

For more than a decade, public agencies have been making major changes in the philosophy and operation of key service and administrative programs. In this process they have been moving away from centralized, command and control management models, toward collaborative and distributed ways of working. CTG's "Knowledge Networking in the Public Sector" research project was designed to examine this trend. Now in its third and final year, the project has focused on interorganizational information sharing as a fundamental feature of innovative public sector programs. The main project goals were to identify the dimensions of success in public sector knowledge networks, and to understand how organizational, technological, and political factors influence results.

Funded by a \$1-million grant from the National Science Foundation (NSF), the study examined the formation and operation of knowledge networks (KNs) in the public sector. The research studied seven cases involving agencies in New York State that depend on the sharing of knowledge and information to achieve an administrative or policy purpose. The study addressed the following research questions:

- What are the defining characteristics of successful interorganizational networks for information sharing in the public sector?
- What activities comprise the processes of planning and implementing interorganizational information sharing?
- What organizational, technological, and political factors influence public sector KNs and how can they be measured?



The results of the study will include an enhanced model of knowledge network formation and operation in the public sector, as well as recommendations to practitioners about planning and implementing knowledge networks. Research themes include:

- Leadership – how leadership emerges, changes, and influences the effectiveness of knowledge networking
- Knowledge sharing – how various forms of knowledge sharing work in interorganizational settings
- Success – what factors constitute successful knowledge networking and how they can be observed or measured
- Trust – how trust among individuals and organizations is related to knowledge sharing activities

Research results have been reported in several papers that are available from CTG, and additional publications are in preparation.

partners

National Science Foundation
New York City Department of Information Technology
and Telecommunications
NYS Council on Families and Children
NYS GIS Clearinghouse

NYS Office of Real Property Services
NYS Office of Temporary and Disability Assistance, Bureau
of Shelter Services
Office of the NYS Comptroller, Central Accounting System
Office of the NYS Comptroller, Division of Municipal Affairs

Research enterprise looks to the future

Organized research in the U.S. involves billions of federal and private dollars and dozens of agencies. It also comprises large numbers of research institutions and individual investigators in a complex set of relationships with funding organizations and with one another.

From its modest beginning in the late 1940s, the publicly supported research enterprise has grown, matured, and evolved into a \$112-billion endeavor involving thousands of organizations and investigators representing every scientific discipline and field of knowledge. More than 20 agencies contribute to federal investments in research and development in the form of grants for basic and applied research, development, and supporting equipment and facilities.



With funding and cooperation from the National Science Foundation and the National Institutes of Health, CTG conducted interviews, focus groups, and a national workshop to identify the aspirations, experiences, and ideas of investigators, funding agencies, research administrators, and political leaders. The project report, “Finding Our Future: A Research Agenda for the Research Enterprise,” offers a vision of the ideal research enterprise and designs a supporting research and action agenda to help achieve it. The report emphasizes the need to understand and manage complexity, risk, and diversity; to harness rapid technological change; and to respond to an ever-changing array of relationships and expectations.

partners

National Institutes of Health

National Science Foundation

IT lessons are focus of World Trade Center research project

Research into what government agencies did in the midst of the World Trade Center crisis, and the role of IT in the events, can provide valuable lessons for improving crisis emergency management and planning. Equally important, the preparedness and interdependencies that this emergency response warranted put in place human, organizational, and technological resources that may well benefit overall government operations in normal times.

This premise is at the heart of a new study by CTG and project partner Urban Logic, Inc. which is funded by a \$100,000 grant from the National Science Foundation (NSF) Digital Government Program.



The research strategy focuses first on those who worked at Pier 92, where New York City's Emergency Operations Center was established after its formal EOC was destroyed by the collapse of the World Trade Center. By starting at the "nerve center" of the response, rescue, and recovery effort, the study expects to be able to follow and document the network of relationships, information flows, and actions that represent a range of government responsibilities, and to identify the partners inside and outside government who played integral roles in the effort.

partners

Urban Logic, Inc.

National Science Foundation

Framework guides IT strategic planning

The University at Albany is a sophisticated, complex, and evolving institution committed to high quality and innovative research, instruction, and service. The University's size, stature, and future aspirations depend on its human, physical, and technological assets. The central role of information technology in the realization of this potential was the subject of an internal partnership project focused on a framework for IT strategic planning.

During the past year the Center partnered with the University's Chief Information Officer to lay the groundwork for strategic planning and management of the University's IT infrastructure. The joint project team worked closely with a group of key advisors from across the University to produce the basic building blocks of a new IT strategic planning process. These included:

- A best practice review of other universities' IT strategic planning processes
- An inventory of the University at Albany's IT-related programs and services
- A preliminary IT needs assessment
- A preliminary IT planning governance structure
- Recommended principles to guide IT strategic planning at the University

The package of recommendations and research results was shared with University leadership and will be implemented in the upcoming academic year under the direction of the University's Chief Information Officer.



partners

University at Albany
Office of the Chief Information Officer
Division of Academic Affairs

Division of Research
Division of Finance and Business

Practical tools assist e-government work

One of the promises of e-government is a reinvented government. This vision includes improved access for citizens, more responsive service, increased efficiency, and greater effectiveness.

But building e-government is not simple or easy. It is a complex and costly design and construction effort that challenges existing skills and demands policy, management, and technology tools for planning, design, implementation, and evaluation.

In response to government managers' needs for such tools, CTG's "E-Government: Creating Tools of the Trade" program has created a series of practical resources to assist in the design and implementation of e-government. Chosen by the pioneers in New York's e-government work, these tools provide practical advice for public managers facing a wide variety of e-government challenges.

Information Access in an Electronic World

- How do government agencies decide what information to make public and how?
- How do they determine what information to include or exclude from their Web sites?
- How can they best use information technology to give people the information they need?
- How do they protect personal privacy and try to ensure personal and national security?

These questions were at the heart of a policy panel hosted by CTG in January at the State Capitol in Albany. The panel discussion, entitled "Information Access in an Electronic World," examined the difficult balance among competing information policy goals.

The policy panel encompassed a broad range of disciplines including government agencies, academic institutions, citizen-access groups, and IT and homeland security experts. Panelists included representatives from the New York State Department of Law, New York State Office for Technology, New York State Department of Criminal Justice Services, the Center for Democracy and Technology, and the Federal Bureau of Investigation.

Making a Case for Local E-Government

E-government may be uncharted territory for many in local government, but technology holds great potential for improving the way government works. Local and county governments are trying to realize this potential by finding the best ways to implement new technology. The lessons from their experiences are the focus of an executive briefing released by CTG in July.

The briefing, entitled *Making a Case for Local E-Government*, is the result of research into local experiences in planning, developing, implementing, and evaluating e-government initiatives. It draws from the insight, lessons, and stories shared by local e-government pioneers who participated in the CTG research program.

e-Gov FirstStop™

After a yearlong process of research and development, CTG introduced **e-Gov FirstStop™**, a knowledge-sharing partnership. Located at www.ctg.albany.edu/egovfirststop, **e-Gov FirstStop™** includes a carefully selected collection of e-government materials including executive-level briefings, research and best practices reports, case studies, and Web sites. All resources included in **e-Gov FirstStop™** are reviewed and selected by e-government practitioners and scholars.



e-Gov FirstStop™ was created in response to government managers who expressed frustration by the need to sort through vast amounts of information to find useful, high-quality, timely material. They requested a resource that classifies and evaluates e-government resources and presents them in an organized, intuitive, and usable way. New material is continuously nominated, reviewed, and added to the site, making it a “living” resource for e-government research.

Investing in e-government

Statistics on information technology investment report that failure rates in the range of 50 to 80 percent. Most failures occur because of an inability to appreciate the complexity of IT decision making and how IT affects nearly every other aspect of an organization’s work.

CTG’s *Smart IT2* is the revised edition of an earlier handbook designed to help organizations make good decisions about when and how to invest in information technology. It offers a well-tested approach to reduce the risk of failure that is focused first on the service objectives and underlying business processes rather than on the technology itself. A second principle is to identify all of the internal and external stakeholders and to understand clearly their different needs, resources, and expectations. *Smart IT2* is organized as a guide to a careful analytical process that culminates in a sound business case for investing in significant IT projects.

Electronic Government and Business Process Change

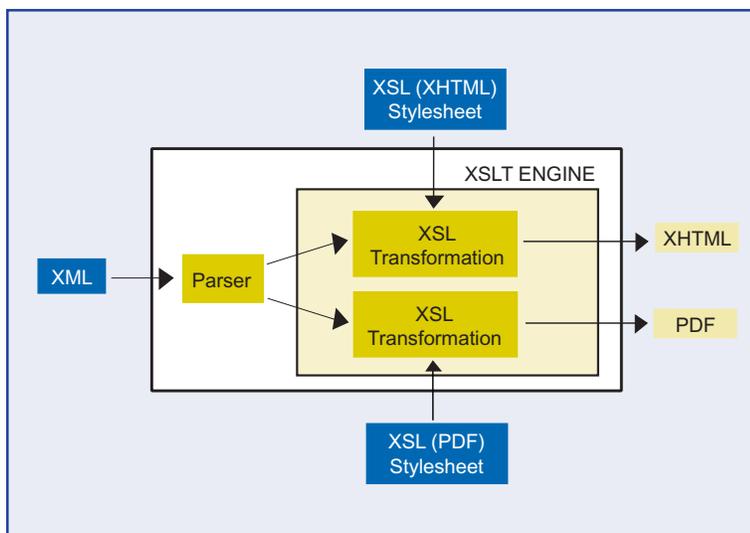
Electronic government has the capacity to change how government works, making it inevitable that existing business processes will change. Some will be only slightly revised while others completely vanish or are overhauled from scratch. In each case, success will depend on the ability of government professionals to respond to and manage the elements and effects of business process change.

Electronic Government and Business Process Change is a work in progress that examines the challenges of business process change related to e-government initiatives. It focuses on strategies and tactics for dealing with these issues and includes recommendations for action. The analysis is based on academic- and practitioner-oriented best-practices research in both the public and private sectors.

From Static to Dynamic Web

As the Internet expands and evolves, Web sites become larger, more interactive, and more complex. With this increased complexity comes a greater need to efficiently manage Web content while moving from a static to a dynamic “living” resource.

CTG has been bringing the latest thinking in dynamic Web technology to a diverse audience of public sector information technology professionals via a presentation series entitled *XML: From Static to Dynamic Web*. The series explains the challenges of cutting-edge Web site management—involving content, layout and style—and the effective solutions that XML (eXtensible Markup Language) can provide. The presentations feature discussions of challenges, examples of code, Web redesign analyses, and practical advice for developing a Web site that is both more dynamic and easier to manage.



partners

The E-Government: Creating Tools of the Trade project was based on the insight and input of a legion of e-government practitioners including representatives of 50-plus local governments, more than a dozen state agencies, valued academic and corporate partners, and numerous other university and government colleagues. CTG gratefully acknowledges their participation and contributions. A complete listing of these participants is provided on the CTG Web site as well as within each of the individual “tools” publications.

Model to improve justice information sharing and integration

The justice enterprise is made up of many different kinds of organizations at different levels of government—local police agencies, county prosecutors and probation officers, state correctional facilities, the FBI, and many others that all play vital roles. The effectiveness of the justice enterprise depends on the ability of all the players to share and integrate information about offenders, court cases, investigations, trends, and performance. The U.S. Department of Justice, Office of Justice Programs has awarded CTG a \$503,000 grant to develop a capability model for assessing and improving the ability of justice agencies to engage in effective information sharing and integration.



The 18-month project is in the early phase of drafting a capability assessment model that will be evaluated and refined by practitioners from around the country through workshops, field visits, and interviews. It will address at least five aspects of capability: governance, staffing, policies, data quality, and information technology. Assessments of each of these areas should result in strategies for addressing gaps or weaknesses in capability in a practical and affordable way.

The project involves active collaboration with justice system practitioners and leadership organizations such as the National Governors Association and the National Association of State Chief Information Officers.

partners

U.S. Department of Justice, Office of Justice Programs

An international look at collaboration

New Models of Collaboration for Government Services to Citizens and Businesses is a multi-national research project designed to study innovative models of public-private partnerships and other networked organizational forms. The project is designed to understand how these partnerships use advanced networking and other informational technologies as the means of multi-organizational communications and coordination.

CTG and the Centre Francophone d'Informatisation des Organisations (CEFRIO) are the major research partners for this project. Both centers are leading the comparative analyses of successful partnerships worldwide through case studies developed by an international network of field researchers in Canada, the United States, and Europe.

Funded by a two-year, \$400,000 grant from the National Science Foundation, the U.S. portion of the project is examining cross-cultural similarities and differences, and identifying barriers and enablers to collaboration. Case studies examining the NYS GIS Coordination Program, the Internal Revenue Service E-file Program, FirstGov, and Access Indiana have been completed. Research partners at the University of Maryland, Baltimore County and Indiana University joined CTG in capturing the American cases.

In October, CEFRIO is hosting an international colloquium on the theme, "Public/Private Partnership: Myth or Reality?" to be held in Quebec City. The event will include presentations of cases, best practice workshops, roundtables, expert panels, and networking activities.



partners

National Science Foundation
Centre Francophone d'Informatisation des Organisations
(CEFRIO), Quebec, Canada
Cellule Interfacultaire Technology Assessment, Belguim
Hautes Etudes Commerciales, Quebec, Canada

Indiana University
University of Bremen, Germany
University of Maryland, Baltimore County
University of Quebec at Montreal, Canada

Efforts bridge supercomputing research to government

EOT-PACI is the Education, Outreach, and Training component of the Partnership for Advanced Computational Infrastructure. It is part of a National Science Foundation-funded effort to bring together professionals from the computational sciences and other disciplines to help construct the advanced computational capabilities of the 21st century. EOT partners represent many research institutions working collaboratively to assess and meet the needs of schools, businesses, government, as well as the scientific and engineering community. As the lead government outreach partner, CTG works with PACI researchers and government leaders to identify, develop, and disseminate innovative applications of high performance technologies to practical problems of federal, state, and local government.



Some of the most powerful PACI technologies deal with the analysis of very large and complex data sets. Government is both a provider and user of this kind of data. This year, while the IT researchers focused on the computational side of “big data” challenges, CTG focused on the organizational and policy dimensions of providing access to huge government data resources. We used cutting-edge technology to develop a Web-based workbench for designing electronic records access programs. The workbench is based on two years of CTG work funded by the National Historical Publications and Records Commission (NHPRC) to develop practical guidelines to encourage and support access to and use of government information. The Web application guides access program designers through the processes of description, assessment, diagnosis, design, and cost estimation as they work to create records access programs that meet the needs of users and are workable and affordable for the providers.

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

System science conference provides a forum for ideas

For more than thirty years the Hawaiian International Conference on System Sciences (HICSS) has brought together highly qualified, interdisciplinary professionals in an interactive environment to address issues in the areas of computer science, computer engineering, and information systems. The HICSS conference is one of the oldest in the field of system sciences and, according to *MIS Quarterly*, one of the two most influential.

In January 2002 more than 600 information systems and technology researchers and practitioners from the United States and 30 other countries attended the 35th annual conference to present and share research papers, theoretical and empirical work, and advanced case studies with their colleagues.

The Center for Technology in Government played an important role in the event by co-chairing three minitracks: E-Policy, E-Government, and Modeling Nonlinear Natural and Human Systems. CTG developed and chaired the conference minitracks in collaboration with colleagues from the Swiss Federal Institute of Intellectual Property and the University of Applied Sciences in Switzerland.

The minitracks were very successful, attracting 46 proposals, 18 selected papers, and 26 attendees at the sessions. As a result, CTG will continue and expand its HICSS involvement in January 2003 by co-chairing and facilitating five minitracks of research paper sessions including:

- IT-enabled Management of Government (E-government Management)
- Policy for IT-enabled Public Administration (E-policy)
- IT-enabled Democracy (E-democracy)
- IT-enabled Government Services (E-services)
- Modeling Nonlinear Natural and Human Systems



partners

University of Hawaii
Federal Institute of Intellectual Property, Switzerland

University of Applied Sciences, Switzerland
University of Texas at Dallas

Information strategy and management curriculum debuts

The University at Albany's Rockefeller College of Public Affairs and Policy ranks among the top schools of public affairs in the nation. An ongoing partnership between CTG and the College has resulted in a completely redesigned specialty in information strategy and management, which itself ranks in the top five-percent. The new information strategy and management curriculum offers specially designed courses as well as internship and research opportunities that focus on the real-world issues of information management and technology in government.

As a result of its work with all levels of government, CTG has a unique practice-based perspective on government operations and the role of information technology and management. That perspective is reflected in several new courses with a strong emphasis on professional practice.

The curriculum also responds to the results of a CTG-conducted survey of members of the National Association of State Chief Information Officers (NASCIO) and the NYS Forum for Information Resource Management (NYSFIRM) that asked practicing government managers what they believe new government managers need to know about information technology.

Using the survey responses, along with the strategies developed during CTG research projects, the curriculum development work resulted in three new courses offered in the Department of Public Administration and Policy and taught by CTG staff and faculty fellows. The courses are offered to both traditional and mid-career masters and doctoral students. They include *Foundations of Government Information Strategy and Management*, *Making a Case for Government IT Investments*, and a *Seminar in Information Strategy and Management*.



partners

Department of Public Administration and Policy,
University at Albany

Strong foundations include the generosity of partners

For nearly a decade, CTG has focused on helping public sector organizations deal with the policy, management, and technology issues they encounter when developing and delivering services and programs. Over that period, we have broadened our outreach into all levels of government and shared the results of our programs with countless government professionals and organizations in the US and abroad. Our foundations are strong; and our future is vibrant.

Our growing program is made possible by the commitment and generous support of government, corporate, and academic partners. From in-kind donations of equipment and expertise to grants for applied research, these partnerships account for more than half of our financial resources.

CTG's total resources for the past year were valued at \$2,231,875, with federal research grants providing \$1,279,586, or 57 percent of the total. Another \$840,247, or 38 percent, came from New York State through the University's annual budget allocation. Four percent of our funding, or \$85,552, came from contractual work with government agencies and fee-based education programs. Government, corporate, and academic partners furnished another \$26,490 worth of in-kind contributions, mostly in the form of staff time and expert consulting.

Granting organizations key to CTG growth

CTG projects represent applied or "action" research. Action research can be described as a family of research methodologies that pursue action (or change) and research (or understanding) at the same time. Our work thus focuses not only on the solutions to practical needs or problems, it also generates new knowledge useful to both academics and practitioners.

We have had continued success in competing for federal research grants to help support this work. In the past year, we received new grant awards funded by the National Science Foundation Digital Government and Information Technology Research programs, as well as from the U.S. Department of Justice.

Government partners are teammates in tackling challenges

Public service is the common thread woven through the fabric of our work. Representatives of more than 100 local, state, and federal government agencies have worked with us this year to devise information-based strategies to help them meet their program and service goals. Our government partnerships assure that our work remains relevant and usable in the real world. They also raise essential policy, management, and technical issues that can be explored on many levels—as practical, conceptual, and theoretical problems.

Through interviews, focus groups, workshops, and seminars, our work with government partners provides invaluable insight into the issues of contemporary government. Their willingness to participate and share their rich and varied experience is vital to our ability to craft models, tools, and guides that contribute to better, more effective government.

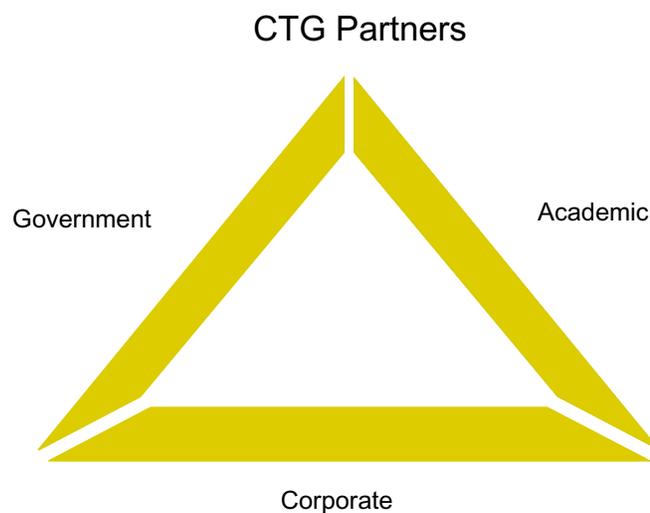
Academic partners share knowledge and expertise

Academic experts in a number of fields at the University at Albany and other colleges and universities have helped conduct research and shared their expertise on a number of projects this year. These cross-institutional, cross-disciplinary collaborations broaden our own knowledge and sharpen our appreciation for the variety of approaches that can be applied to important public issues.

Over the past year we have worked with academic partners from around the world including colleagues from Canada, Belgium, and Switzerland, as well as American colleagues from the University of Maryland, Baltimore County and Indiana University. We value these relationships and are proud of the collective discovery process they encourage and body of knowledge they create.

Corporate partners bring state of the art resources

When it comes to technical expertise, hardware, and software, our corporate partners are key resources. As partners, they apply their specific expertise to support our projects and assist in programs of outreach that share our results. Their knowledge and generosity insure that we employ the latest—and right—technologies and technical strategies to meet our project goals. This year, we are particularly grateful for the ongoing support of Audio-Visual Sales and Service for continuing to support our demonstrations and workshops and to MetaGroup for full access to its research expertise. In addition, artist Randy Glasbergen's cartoons helped illustrate CTG presentations during the year.



Publications

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Theresa Pardo, Sharon Dawes, Anthony Cresswell, Fiona Thompson, Giri Tayi. July 2002



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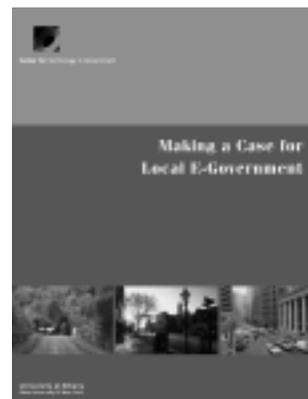
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