



State of Illinois Department of Innovation and Technology IT Governance



IT Governance Guidebook
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Document Purpose and Overview

The purpose of this document is to describe the State of Illinois' IT Governance structure and the associated operational processes. It is intended to provide Project Managers, agency leaders and IT users with a holistic view of IT Governance, how it runs and the roles of key stakeholders within the process. The information described herein will provide the reader with guidance and the methodology necessary for integrating agency, cluster and enterprise IT activities with the State of Illinois' IT Governance processes and tools.



1.0 Executive Summary

1.1 Overview

State governments are enduring difficult fiscal conditions, now more than ever. Over the past two decades, the role of Information Technology (IT) in transforming state government has become a focus of greater attention due to budget crises, increasing demands to do more with less, and ever-changing technology needs identified by business partners. Many states are facing serious challenges realizing the benefits of technological innovation, the State of Illinois is no different. To that end, the demand for more modern and integrated services, greater protection of citizen information, and greater efficiency drove the State to pursue IT Transformation. Out of IT Transformation came a recognition of the need to develop a stronger, more robust governance structure and the processes necessary to support it.

From January to March 2016, the State of Illinois (SOI or the “State”) conducted an analysis of its current IT operations and environment. This initiative identified gaps in the State’s service delivery environment relative to industry leading practices. Findings included the need to establish a new business model that will support integrated service delivery, increase IT resource sharing, align IT priorities with business needs, and support transformation. The study further found that the State’s lack of an IT Governance model hampered the business operations as well as fostered siloes regarding its IT delivery.

The State used a working group composed of agency participants, business leaders and statewide IT leaders to facilitate the work in developing the new approach to IT Governance. This collaborative team was established to garner the most comprehensive perspectives from state’s leadership. This was essential in the design of the State’s governance model for many reasons, most importantly because it reengineered the approach to governance, previously managed at the agency level or within a central service provider, and instead building a multi-tier collaborative organizational structure. This team was also charged with creating new boards, working groups, and key roles to support the new structure. In addition, the team designed the key governance processes to align activities with the State’s enterprise goals.

Guiding principles for design include:

- Increase collaboration among the Agencies
- Develop and approve an annual State of Illinois IT Strategic Plan that reflects State priorities
- Provide a forum in which IT policy standards are established
- Promote collaboration by including board members from a variety of agencies and developing formal processes that drive interaction between them
- Align IT budgeting to strategic decisions as well as prior performance
- Improve project performance by establishing a common set of performance measures and elevating specific project decisions to the appropriate level
- Increase the opportunity to leverage IT investments across the enterprise by driving the adoption of standard technologies and processes that enable agencies to leverage and share IT

Based on these principles, lessons learned from other states, and professional experience, the IT Governance Working Group helped developed recommendations that resulted in the State of Illinois' IT Governance model.

1.2 What is IT Governance?

IT Governance refers to the structures and processes that allow the State's business mission to be supported by IT. The purpose of IT Governance is to align technology with broader enterprise goals, maximize the benefits and minimize the risks of IT, and use publically funded resources efficiently and effectively. IT Governance is essential to the success and cost-effectiveness of IT investments and to the delivery of services that support agency and the State's missions and objectives.

IT Governance will help the State gain more control over IT initiatives so that they provide the greatest benefits to those who depend on it. The complexity of State of Illinois' technology environment results in challenges in providing IT effectively, in risks and inefficiencies. To counter this, the implementation of IT Governance provides the policies, procedures, and tools for decision making. It also provides the administration, authority, and a collaborative approach in order to balance and process the priorities of the State's IT investments, while still balancing risk and control. Governance needs to be agile enough to address the changing needs of business.

Moreover, IT Governance provides the methodology for identifying and measuring key performance indicators so that projects, through the process of portfolio management, can be measured and benchmarked to confirm that a secure, reliable, and sustainable IT environment for the State of the State of Illinois is maintained.

1.3 The Benefits of IT Governance

For the State of Illinois, the benefits of implementing IT Governance are plentiful:

- Clarifies the roles and responsibilities that make up IT leadership across the State
- Confirms that processes and procedures are simple and not cluttered with bureaucratic red tape
- Provides for a higher degree of leadership control on overall IT spending and allows for interoperability and shared assets across agencies
- Establishes enterprise-wide standards for technology
- Aids in aligning IT with the organizational goals and strategy
- Allows the State to manage IT projects through a defined portfolio management process
- Optimizes IT operations through more standard provisioning of services

The benefits of IT Governance will be realized by imposing strong leadership, sound processes, and strategically placed checks and balances.

1.4 The State of Illinois' IT Governance — A Snapshot

As is stated above, the IT Governance Working Group convened over the course of several months to create a flexible, but enduring structure to govern the State's IT environment. The team designed this structure to address the current needs in the State's IT environment and will act as an enabler for the agencies and the enterprise as a whole in the future. Additionally, this model is designed to be simplistic in function as the State has had limited experience with IT Governance. Figure 1 describes State of Illinois' IT Governance model.

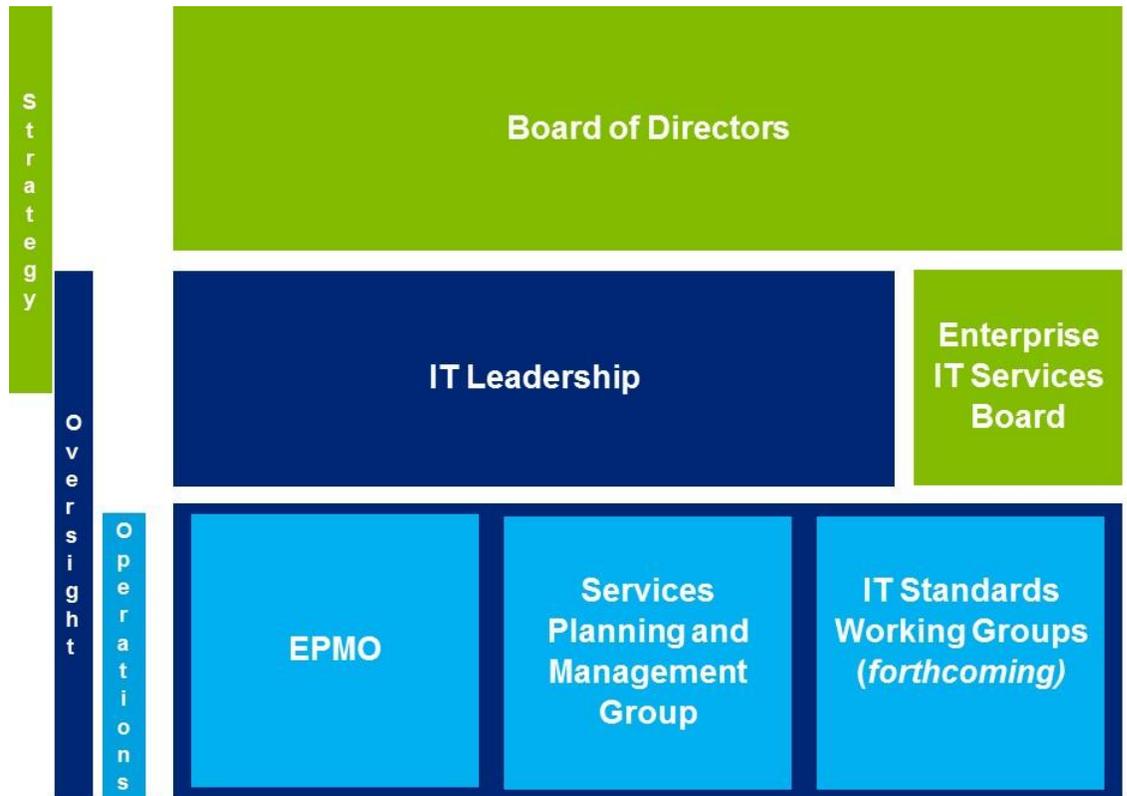


Figure 1. This figure illustrates the State’s three levels of governance—Strategy, Oversight and Operations—and the boards/groups at each level.

The State of Illinois’ Governance Model includes two enterprise IT governance boards. The first board is the Board of Directors (“BOD”), which has the greatest authority over State IT strategy and direction. The second board is the Enterprise IT Services Board (“ESB”) that focuses on service delivery and enterprise IT operations. In addition to Governance Boards, the state has created key leadership positions to oversee specific IT domains:

- Chief Technology Officer (CTO) – Technology and Innovation
- Chief Information Security Officer (CISO) – Security and IT Risk Management
- Chief of Enterprise Applications – Enterprise Application Services and Capabilities

These roles report to the State’s Chief Information Officer who is accountable for overall IT strategy and services. In addition to oversight of services and capabilities, each chief is responsible for establishing standards for their respective areas. These roles will be supported by various IT architects and standards working groups.

At the operational level there are organizational units that will support governance activities from an operational standpoint. There are two main groups that will provide operational support. The Enterprise Program Management Office (“EPMO”) will oversee the day-to-day operations of IT projects and IT portfolio. The EPMO will coordinate the activities of and nominating process for the Board of Directors. The second group is the Services Planning and Management Group, which will help track and facilitate effective process oriented IT service delivery. This group will coordinate the activities of the Enterprise IT Services Board.

All of the components and processes described in this model will be explained in greater detail in the chapters that follow.

2.0 How IT Governance Works

The State of Illinois IT Governance model is designed to promote a better, more effective way of managing the State's investments across the enterprise, from a portfolio perspective and confirm IT investments achieve the State's enterprise goals by aligning IT with business. This model will help in delivering business value, strategically managing risk, utilizing and maximizing resources, and measuring performance. In this model, IT decisions are compared so that the State can evaluate and support those choices that provide the greatest contribution to enterprise business goals. The model was designed based on the following principles:

- Build a simple structure with limited layers and processes
- Establish the appropriate authority needed to set direction, standards and resolve issues
- Clarify the enterprise wide view of IT, and provide deeper insights into IT decisions within agencies and clusters
- Foster Statewide collaboration and the involvement of a wide set of stakeholders from agencies, clusters and business leaders

IT Governance activities are organized into several key processes with key actors and having distinct responsibilities. These processes create the basis for day to day operations, identify the State of Illinois IT investment priorities, allow the enterprise to monitor those investments, and identify common standards to enable sharing, interoperability, and normalization of IT resources.

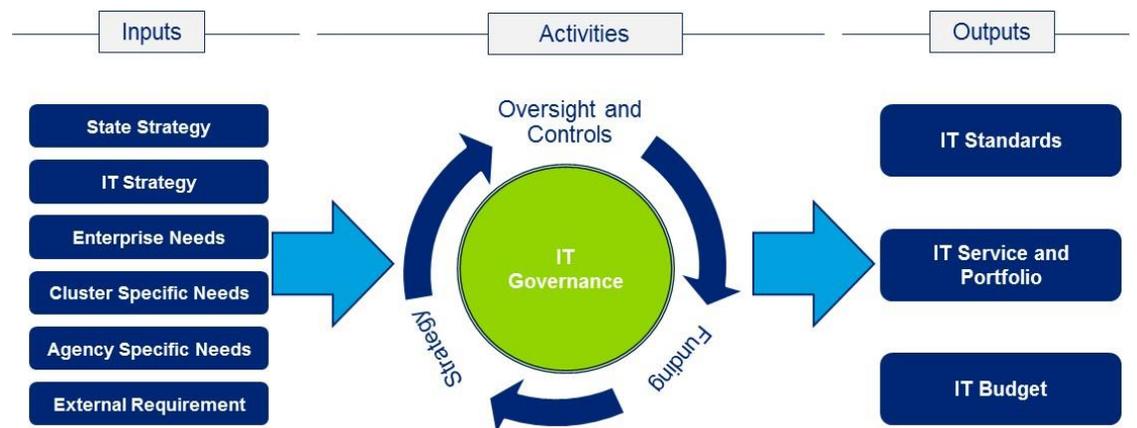


Figure 2: Governance Inputs, Activities and Outputs

This section outlines the way that the State of Illinois' IT Governance works. Specifically, the following subsections will describe the most important groups and processes of the Illinois' IT Governance model, which are:

- Governance Boards
- Operational Support
- Governance Cadence

- Strategic Planning
- Portfolio Management
- Standards as an Enabler of IT Governance
- Provide case studies of the governance process in action

These groups and processes are integral to a successful IT Governance structure.

2.1 Governance Boards

The State of Illinois' governance model includes two oversight groups:

1. **Board of Directors** – Develop Enterprise IT Strategy in alignment with business requirements; provide executive oversight and resource prioritization.
2. **Enterprise IT Services Board** – Guide the portfolio of enterprise IT services, associated service levels, and development and dissemination of transparent chargeback rates.

These two boards meet routinely to set direction, review matters in their respective domains, and resolve enterprise coordination issues. A detailed list of the two Board's activities are described in Table1.

Board	Activities
Board of Directors	<ul style="list-style-type: none"> • Review and approve Enterprise IT Strategic Plan • Provide executive oversight and accountability • Set direction and guide priorities for resource allocation • Promote standardization across the enterprise • Resolve escalated issues
Enterprise IT Services Board	<ul style="list-style-type: none"> • Identify existing and approve new enterprise IT services • Review results of IT services delivery to confirm effectiveness • Review and monitor SLAs • Approve transparent and reasonable chargeback rates • Review service portfolio against needs

Table 1. IT Governance Boards Key Activities

Board Membership

Effective governance requires having the right stakeholders represented when both establishing the State's IT strategy and making key operational decisions. Membership on the State of Illinois' two governance boards should be comprised of individuals who have skills and experiences that thoroughly move the State's IT strategy forward. Additionally, the process of selecting board members should be as transparent and process driven as possible. Using established criteria and a defined and inclusive process helps drive board selection that is representative, inclusive and fair.

Below, Tables 2 and 3 describe the target composition and criteria that have been put into place to select the State's two governance boards.

Criteria and Key Considerations		Board of Directors
Board Chair		State Chief Information Officer
Number of members on the board		<10
How often will the workgroup meet initially		Bi-weekly
At a minimum, how often will the workgroup meet once stable?		Quarterly
Target Composition	State Leadership • Representative from the Governors Office who ideally has agency and/or IT experience	1
	IT Representation • Representative from DoIT core leadership team	1
	Agency Leadership • Agency Director from each cluster. Governor's Office should consider the following and balance: (1) large and small agencies; (2) agencies that do and do not receive significant funding from outside of the State of Illinois (i.e. federal funding); and (3) high and low users of IT services	7
	Finance • Sr. Leader from GOMB ideally with some non-GOMB agency and IT experience	1
	Cluster CIO/Other	Invite as necessary, ex officio
How long are the appointment terms (years)?		2
What viewpoint/approach should be prevalent?		Business/Strategic

Table 2: Board of Directors Membership Criteria and Meeting Cadence

Criteria and Key Considerations		Enterprise IT Services Board
Board Chair		State Chief Technology Officer
Number of members on the board		10-12
How often will the workgroup meet initially		Weekly
At a minimum, how often will the workgroup meet once stable?		Bi-Monthly or Quarterly in Full Maturity
Target Composition	State Leadership	0
	IT Representation • Representatives should be from DoIT core or extended core leadership team	2-3
	Agency Leadership • Agency Director or Cluster CIO from each cluster. Governor's Office should consider the following and balance: (1) large and small agencies; (2) agencies that do and do not receive significant funding from outside of the State of Illinois (i.e. federal funding); and (3) high and low users of IT services	7
	Finance • DoIT CFO • Representative from GOMB or Agency CFO	2-3
	Representative from Service Planning and Management Group	1
How long are the appointment terms (years)?		2
What viewpoint/approach should be prevalent?		Technical / Operational

Table 3: Enterprise IT Services Board Membership Criteria and Meeting Cadence

During the implementation of this new model of governance, it is important to determine how selection of board members may be different than subsequent years when board members are being replaced. The following Table offers guidance on the initial selection process versus the replacement process.

Initial Selection Process	Replacement Selection Process
<ul style="list-style-type: none"> Identify decision rights owner: who has final say on board member composition Build candidate pool by soliciting suggestions from <ul style="list-style-type: none"> Governor's Cabinet IT Leadership (CXOs) 	<ul style="list-style-type: none"> Board builds candidate pool by identifying gaps resulting from turnover and soliciting suggestions from: <ul style="list-style-type: none"> IT Leadership (CXOs) GOMB CIOs Other agency business leaders

<ul style="list-style-type: none"> ○ GOMB ○ Cluster CIOs ○ Agency CIOs ○ Agency Directors ● Compile potential board rosters ● Governor's Office approval 	<ul style="list-style-type: none"> ● Compile list from the pool ● Governor's Office Approval
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Table 4: Initial Selection Process versus Replacement Process

Final decisions on membership of the State's IT Governance will be made by the Governor or his/her designee with the advice of the State's CIO.

2.2 Operational Support

In addition to the two enterprise Governance boards, there are four primary groups and organizations that support the State's IT governance model.

1. The Enterprise Portfolio Management Office (EPMO)
2. The Service Planning and Management Group (SPMG)
3. The Governor's Office of Management and Budget (GOMB)
4. IT Clusters

The Enterprise Portfolio Management Office (EPMO)

The EPMO is responsible for supporting governance activities, primarily:

- Coordinating the development of and maintenance of the State of Illinois' Enterprise IT Strategic Plan
- Facilitating collaboration of governance bodies, specifically the Board of Directors
- Reviewing and communicating decisions and dependencies
- Managing project review and approval processes
- Review business cases and project budget
- Publishing Project Health Reports with mitigation plans for "At Risk" projects
- Escalating critical issues to the State CIO and Board of Directors

The EPMO serves as a central point of collaboration among the Board of Directors and other participants in the governance process. This is depicted in Figure 3. Additionally, as the EPMO matures, this office will provide resources that will support stakeholders' projects from beginning to finish.

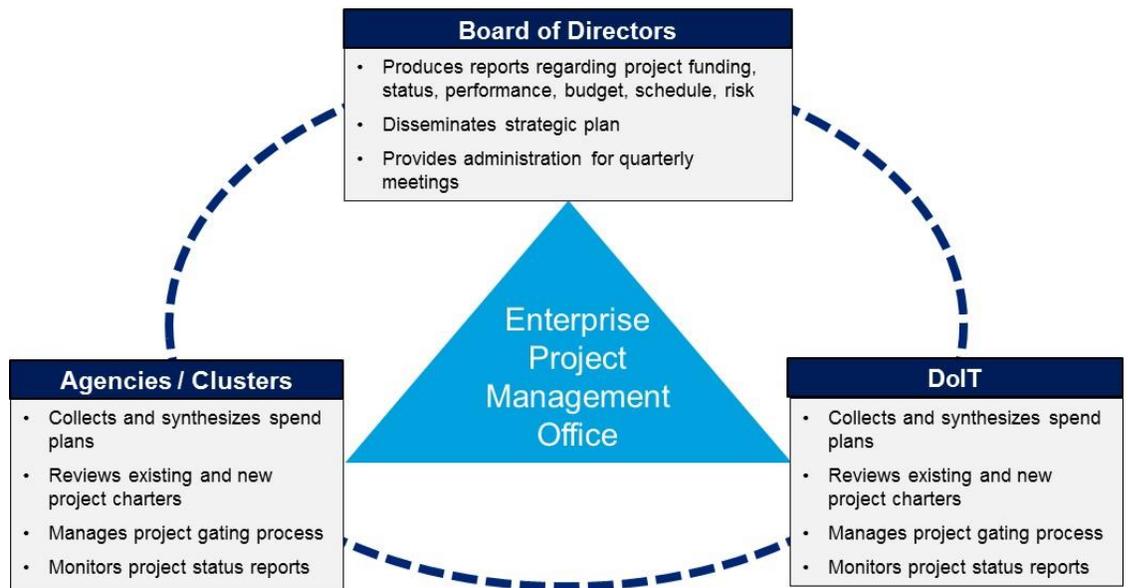


Figure 3. Services provided by the EPMO to the Board of Directors and other stakeholders

Services Planning and Management Group (SPMG)

Another support group that is integral to the State’s IT Governance model is the Services Planning and Management Group (SPMG). Specifically, this group spearheads the effective operation of the Enterprise Services Board. As depicted in Figure 4, The SPMG’s key activities are:

- Manage and coordinate development of Service Catalog
- Bring forward recommendations on DoIT service rates
- Bring forward analysis of services and recommendations for new/retired services
- Support identification of SLA targets and reports on compliance
- Facilitate Enterprise Services Board meetings



Figure 4: Services provided by the SPMG to the Enterprise IT Services Board and other stakeholders

Governor’s Office of Management and Budget (GOMB)

GOMB plays an enhanced role in coordinating IT expenditures under the IT Governance model. In the State’s new IT Governance model, it is more directly involved in IT planning, and is central to realizing enterprise business goals are supported by enterprise IT spending. In support of IT Governance, GOMB’s key activities are:

- Review business cases and project budgets
- Discuss potential funding mechanism and sources (including federal share)
- Participate in planning to confirm that the State’s IT budget aligns with the goals of the IT and business needs of the State
- Prepare a financial summary report for Executive approval that link performance to future budget allocation decision

IT Clusters

A new and necessary concept added to the State of Illinois’ IT environment and incorporated into the IT Governance model is that of the cluster. A cluster is a group of agencies that are associated with each other based on the similarity of their missions and constituencies of service. Because the agencies within a cluster share similar missions, they often also share similar customers and data, business processes and common IT needs and services. As shown below in Figure 5, the cluster and cluster leader (Cluster CIO) play an important role in driving collaboration and resource sharing as well as identification of IT needs and projects. They work closely with Agency CIOs who drive service delivery closest to the end user, particularly for agency specific applications. For more on these roles see the section on roles and responsibilities that follows.

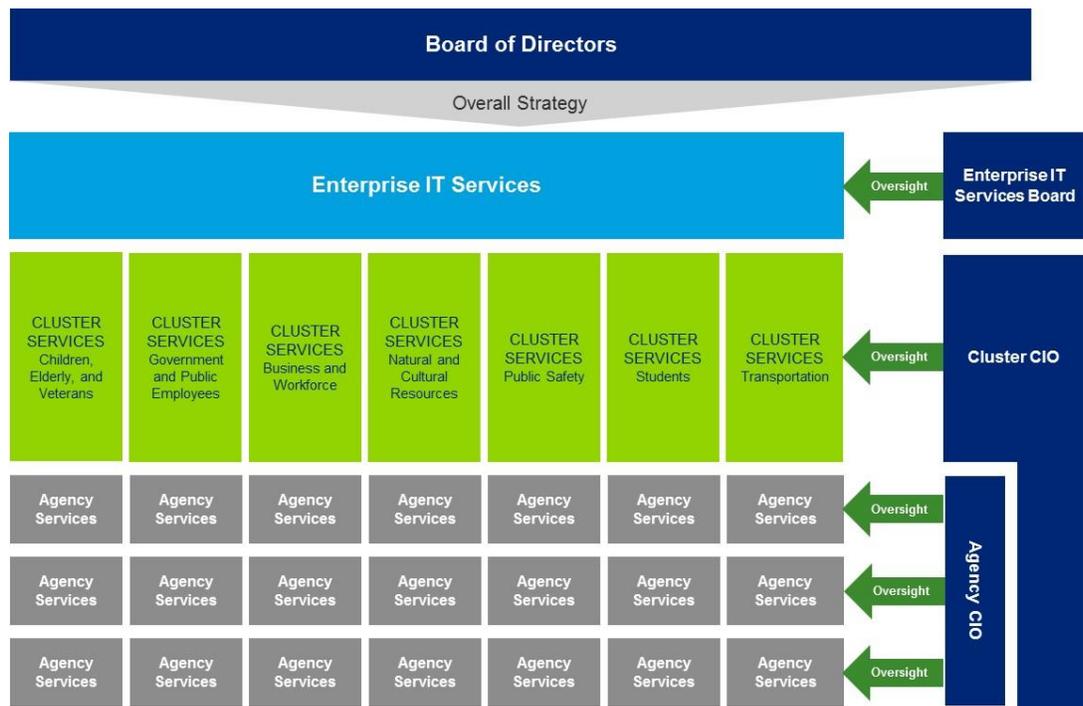


Figure 5: Different level of services provided in new IT Governance model

Cluster similarities serve as a basis to share technologies and identify interoperable and interrelated IT initiatives. In this way, clusters serve an important role in coordinating the separate IT needs and priorities of agencies and communicating them to the enterprise level. Clusters also provide consolidated support to agencies by representing their interests in the IT service delivery, strategic planning and portfolio management processes.

2.3 Governance Cadence

While the establishment of boards and groups with clear decision making authority is important to the State’s IT Governance model, equally important is the establishment of an annual cadence of Governance activities. Board activities now align to other State activities—strategic planning, budget planning (GOMB), etc.—such that decision making has a logical timing and cascading inputs and outcomes. This alignment of activities builds on the concept that no decision is divorced or separate from overall State planning and budgeting activities. Figure 6 describes the annual calendar and timeline of key governance activities.

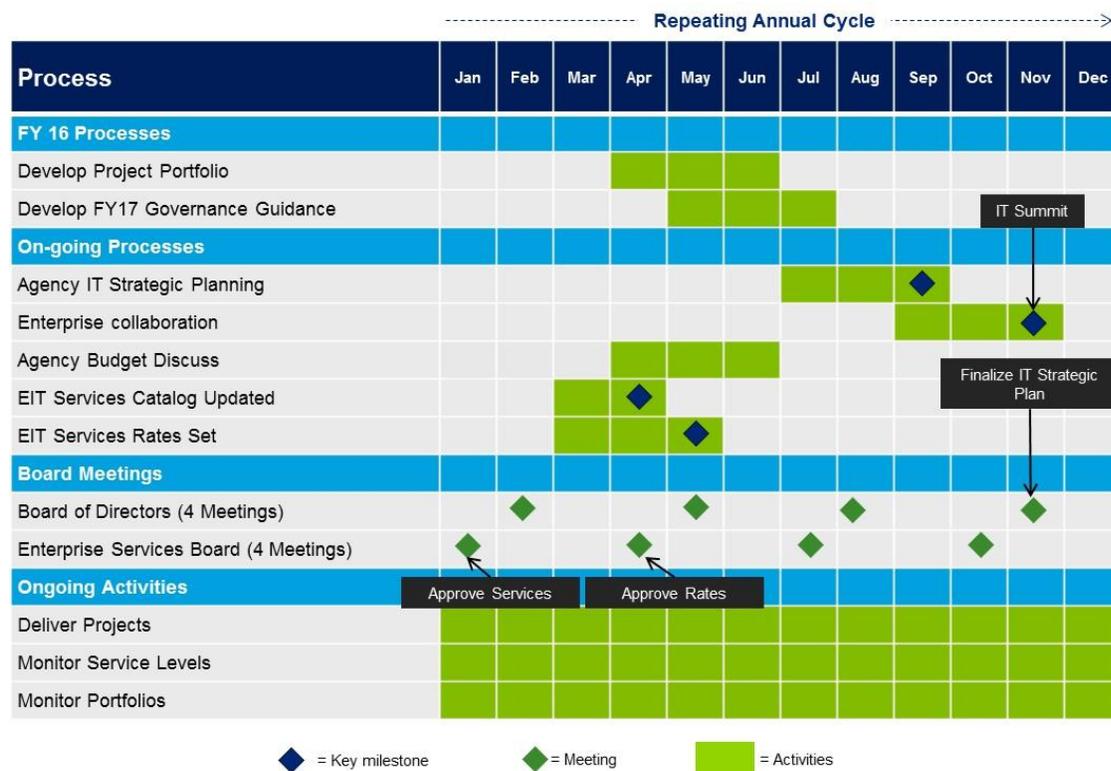


Figure 6. IT Governance Annual Timeline

2.4 Strategic Planning

Benefits of Strategic Planning

Under the new IT Governance model, the strategic planning process is aligned with the State of Illinois annual budgeting cycle. Connection between strategic planning and budgeting provides IT and budget decision makers’ insight into IT priorities and an understanding of how they support the State’s business objectives. It also allows for DoIT leadership and GOMB leadership to discuss spending and human resource needs and allocations for the coming year in a concrete way.

In addition to alignment with the budget cycle, the process as designed has other noteworthy features and benefits. First, by documenting plans, and reviewing progress against those plans, the

process allows for continuous improvement in IT activities, and the ability to correct the course when goals and activities become misaligned. Second, the plan provides a tool for IT and the business to communicate and collaborate both in the development of the plan and in future discussions about IT needs. Third, with a 3 to 5 year horizon, it allows for a longer term perspective on IT, which will help the State of Illinois move forward with a common vision.

Process

The IT strategic planning process helps to prioritize enterprise IT investments and align them with the State's strategic business goals. The result of the process is a State of Illinois IT Strategic Plan that provides guidance for a three- to five-year cycle, and is updated annually to account for changes in technology, priorities and budget allocations. The plan is developed according to a set of processes that align with the budget cycle calendar: (This cycle should be fully functional by FY18.)

- **Summer:** The State identifies its strategic goals, concurrent with the development of agency and cluster IT strategic plans and goals.
- **Fall:** Spend plans, project charters and performance data are compiled by the EPMO. All of the information is presented to the IT Summit, which is an opportunity for agency business and IT leaders to discuss prioritization and optimization of IT spending to support the State's strategic business goals

Output (Winter)

The end result of these steps is the State of Illinois' IT Strategic Plan that includes:

- Statement of the State's strategic IT objectives
- Description of current IT landscape
- Identification of IT project priorities for agencies, clusters and the enterprise
- Identification of new shared IT service requirements and priorities
- Discussion of new issues and mitigation strategies
- Description of updates to previous fiscal year plan
- Status and progress of previous fiscal years' goals and initiatives

2.5 Portfolio Management

The portfolio management process builds on existing capabilities to gain better visibility into risk management, project prioritization, shared services opportunities, and takes a more holistic approach to implementing IT projects in the State of Illinois. The portfolio management process is made up of two key activities, developing the portfolio and overseeing the portfolio.

Developing the Portfolio

Developing the portfolio is the next step in the sequence of activities after strategic planning. In order to develop the portfolio, the EPMO first consider the prioritized programs identified for the IT summit and highlighted in the strategic plan. Next, they look at a number of key considerations for each project, those that create value for the State, and those that impose major risks. Projects are evaluated individually for value and risks and are then compared against one another.

Projects are also checked for compliance with strategy and standards, as well as size and scale of management required. Once value, risks and compliance are understood for all of projects under consideration, the EPMO – along with the Board of Directors for significant projects based on thresholds that have yet to be established—will select a set of projects that will make up the

portfolio. The portfolio is a set of compliant projects that balance risk against value, and are on the whole of a number and complexity that the EMPO can manage. Note that inclusion in the portfolio is simply a determinant of the level of oversight and executive sponsorship. Projects that are not included in the State of Illinois' IT Portfolio may still be implemented by clusters or agencies, if they are approved using the appropriate processes. Below in Figure 6 is the process that will be used for approval of projects within the portfolio.

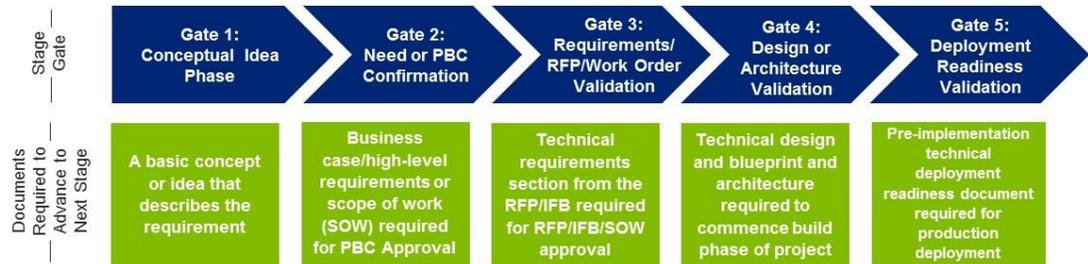


Figure 7. Approval/Gating process for project inclusion within portfolio.

Portfolio Thresholds

In order to facilitate effective flow of information to the State's governance groups, the State should establish meaningful and objective thresholds. These thresholds will not only be important to the flow of information, but also in knowing what decisions and risks should be escalated to the Board of Directors. The creation of thresholds requires four steps:

1. Develop Decision Types
 - Develop a list of decision types for each body
 - Identify participants for each decision type
2. Identify Thresholds
 - Identify threshold types for each decision type
 - Thresholds can be financial or based on other criteria
 - Consider past escalations and project risks and impacts of thresholds to overall organization
3. Finalize Thresholds
 - Document and communicate thresholds
4. Continuous Improvement
 - Regularly analyze thresholds and decision types for applicability

Below, Table 5 presents sample decision types and decision thresholds that will be useful to the State of Illinois in the development of thresholds.

Topic	Decision Type	Sample Decision Thresholds
Architecture & Standards	Setting corporate-wide standards	<ul style="list-style-type: none"> Architecture modification affects entire organization Architecture modification affects 1 isolated project
	Localized exception approval request	<ul style="list-style-type: none"> Project is critical to strategic goals Project has high cost net run-rate as of date
	Project not adhering to enterprise standards	<ul style="list-style-type: none"> Non-adherence to standards has enterprise-wide risks Project has high cost net run-rate as of date Project is critical to strategic goals
Risk / Security/ Compliance	Regulatory Compliance	<ul style="list-style-type: none"> Methodology change affects entire IT organization Methodology change affects 1 project that is critical to business and is expected to generate \$1M External compliance issue that has negative PR External compliance issue with regulatory violations
Service Delivery	Emergency request for new service addition	<ul style="list-style-type: none"> Critical Service affecting multiple customers Service generates revenue > \$1M and client is strategic
Organization / Sourcing	Vendor Contract Issues	<ul style="list-style-type: none"> Issue affects delivery of critical projects (high revenue and strategic)
	Vendor Contract Issues	<ul style="list-style-type: none"> Issue affects services and loss to end customers Huge monetary loss (>\$1M) due to cost discrepancies
	Supplier Risk Management	<ul style="list-style-type: none"> Supplier risk leads to security/privacy issues that causes negative PR Supplier risk leads to regulatory violations
Business Alignment	Staff Attrition	<ul style="list-style-type: none"> Issue affects delivery of critical projects (high revenue and strategic)
	Project Approval	<ul style="list-style-type: none"> Portfolio aligned project – aligned to strategic goals with budget >\$500K Project outside portfolio – required for critical client needs

Table 5: Sample Thresholds for Governance Involvement

Portfolio Oversight

Once the project is approved and entered into the portfolio, it is launched and then monitored by the EMPO as part of the Portfolio Oversight process. Approved and funded projects can begin work, and go through a set of regular checkpoints to assess project performance and determine whether enterprise and other goals are being met. This process provides visibility into project performance and institutes regular project reviews. It also provides a forum and criteria for decision making. Not all projects face the same level of review. Generally, the larger the project cost/risks/impact, the greater the oversight. Currently, project thresholds have not been defined.

2.6 Standards as an Enabler to IT Governance

The State is in the process of establishing its approach to setting IT standards, which is an important attribute of successful IT Governance.

Why Use Standards?

In order to optimize the State of Illinois' IT investments, technologies and resources are leveraged across the enterprise. The State of Illinois uses a consistent set of standards established by IT Governance Boards to support this effort. These common policies and standards for technology and processes are adopted across the enterprise.

- **Policies** are a governing principle that provide the basis for standards and carry the highest authority in the organization.
- **Standards** identify a set of approved technologies that should be used for a particular function, or a common process to carry out an activity.

Standards Development

Typically, the process for developing IT standards has both Start-up activities as well as repeatable activities. As part of start-up activities, standards have to be identified and promulgated. In terms of repeatable activities, standards have to be updated as technology and business requirements change. The steps for developing the standards are set forth in Figure 8.

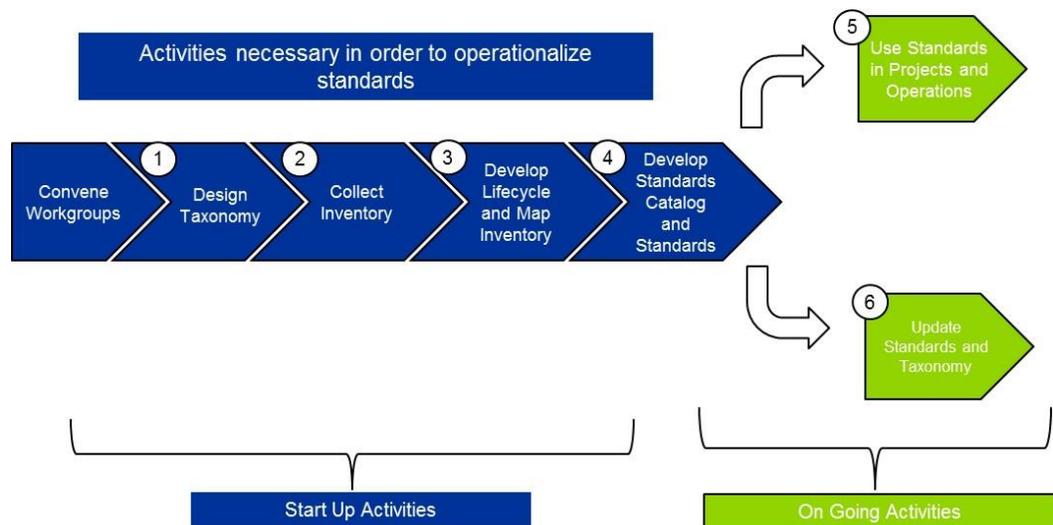


Figure 8. Standards development process steps

2.7 The IT Governance Process in Action

Successful IT Governance requires clear processes with effective handoffs. Figure 9 below describes three case studies, at a high level, when there is need for: (1) developing a new product, (2) requesting a new service, (3) DoIT's ongoing service activities.

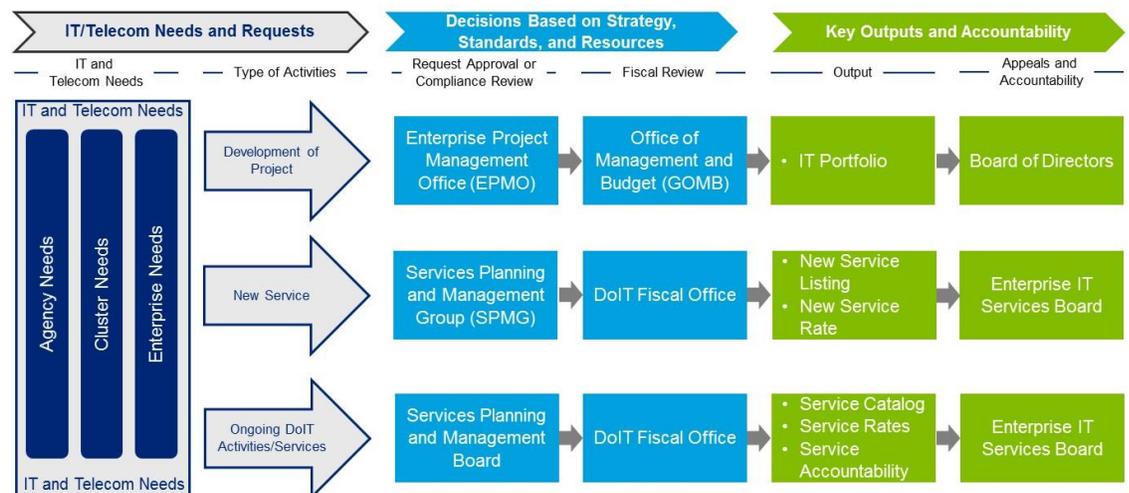


Figure 9: High level governance process

Development of Project – Process

1. Agencies, clusters and/or DoIT identify their needs and develop a project proposal to support those needs
2. These proposals are submitted to the EPMO through their portal at <https://gov2.portal.illinois.gov/sites/epm/Pages/Default.aspx> for review. The EPMO is the central point of coordination for all IT project requests.
3. Approved projects will be financially resourced from pre-approved funding from the Office of Management and Budget or submitted for funding during the annual budgeting process
4. Appeals and issue resolution for significant requests will be addressed by the Board of Directors, as necessary

Request for New Services – Process

1. Agencies, clusters and/or DoIT identify a new service or new need and submit it through standard service request processes
2. For a significant new service that cannot be easily rendered, the request is routed to the Service Planning and Management Group for evaluation
3. The Service Planning and Management Group facilitate service design in conjunction with the service owner
4. DoIT's fiscal office conducts a rate impact analysis
5. Successful approval results in the development of a new service proposal with associated rates
6. The Enterprise IT Services Board approves or declines the new service proposal/rates

DoIT Ongoing Activities/Services – Process

1. Service Planning and Management Group reviews service metrics and evaluates services against SLAs
2. Fiscal office reviews services rates against service costs
3. Service catalog and service rates are updated and published
4. Service Planning and Management Group conducts quarterly review of service effectiveness and compliance with SLAs, compiles report for Enterprise IT Services Board
5. Performance is reviewed by Enterprise IT Services Board and resolutions to low performance identified as necessary

3.0 Key Governance Roles and Responsibilities

The State of Illinois IT Governance model relies on several key positions at the enterprise and cluster levels. At the enterprise level, the key positions are three Chief IT Officers (CXOs). At the cluster level, oversight is through the Cluster CIO.

3.1 Chief IT Officers (CXOs)

Three key positions share responsibility for making sure that enterprise standards are consistently followed:

- Chief Technology Officer
- Chief of Enterprise Applications
- Chief Information Security Officer (CISO)

These executive positions report to the State's CIO and are typically responsible for leading standard development in his or her respective domain. With executive positions in each area, State of Illinois will have strong leadership to drive policies and decision making for IT across the enterprise. Table 6 summarizes the key responsibilities of the State CIO and CXOs.

Officer	Responsibilities
State Chief Information Officer	<ul style="list-style-type: none"> • Provides executive leadership, with particular emphasis on strategy, programs and IT governance direction setting • Works with cluster and agency business and IT leaders to oversee and guide the development and implementation of IT policy, architecture, and standards to enable the efficient and effective delivery of IT services to end users • Reports to the Board of Directors on the alignment of projects and services with the enterprise strategy
Chief Technology Officer	<ul style="list-style-type: none"> • Aligns State's technology vision and architecture with business strategy • Leads all aspects of developing and implementing a comprehensive technology strategy • Leads the development of the State enterprise architecture and the promulgation of technology standards • Promotes technology innovation in support of the State's business needs
Chief of Enterprise Applications	<ul style="list-style-type: none"> • Oversees Governance and Enterprise Portfolio Management Office (EPMO). • Aligns technology solutions with business needs • Leads all aspects of developing and implementing a comprehensive business solutions architecture based on Enterprise business capabilities reference model • Supports innovation and drives Statewide adoption of proven innovative solutions
Chief Information Security Officer	<ul style="list-style-type: none"> • Establishes and maintains a vision, strategy and program that enables the State's physical and data assets to be adequately protected • Directs staff in identifying, developing, implementing and maintaining policies and processes to reduce risk • Anticipates, responds to, monitors and develops mitigation procedures for enterprise security incidents

Table 6. Chief Officer Roles and Responsibilities

3.2 Cluster and Agency Roles and Responsibilities

The creation of clusters naturally enables agencies to pursue collaboration.

As part of their central design, and to help spearhead collaboration, each cluster has its own CIO. The Cluster CIOs report to the State CIO. The Cluster CIO is responsible for understanding and communicating the priorities and needs of his or her member agencies. As part of this, the Cluster CIO reviews agency projects before they are reviewed by the EMPO as part of the strategic planning

and portfolio management processes. The Cluster CIO also helps to communicate back to agencies where collaboration and resource sharing can take place. Likewise, the Cluster CIO serves as the agent communicating cluster needs for shared services at the enterprise level.

Reporting to the Cluster CIO are the agency CIOs. The primary role of the agency CIO is to understand strategic Agency direction, maintain Agency specific applications, and advocate for Agency needs. They are the primary liaison with Cluster CIO to confirm alignment of strategic priorities between their Agency and DoIT. This role is key position in the provision of IT services as they are the local contact for agency IT needs.

For a full listing of the agencies as they relate to clusters, please refer to Appendix C: Cluster Groupings.

3.3 Next Steps

The information presented thus far provides a big picture view of the basic operations, tools and responsibilities in the State of Illinois IT Governance model. As stated, it is intended to serve as a starting point for anyone interested or involved in the IT Governance processes in the future.

The immediate next steps are:

1. Rollout – Distribute this document to key stakeholders
2. Onboarding – Identify and train governance leaders (Boards and Groups)
3. Launch – Initiate governance activities
4. Update – After launch of remaining governance activities confirm that new decisions are reflected in this document

The Appendix sections that follow provide a more detailed perspective on the tools and processes highlighted in the previous sections and can be understood as follows:

- **Appendix A: Templates** - Board Membership Tracking Template, Governance Boards Meeting Minutes Template, and IT Project Assessment Tool
- **Appendix B: Strategic Planning**-Provides detailed steps of the year long process for IT strategic planning.
- **Appendix C: Cluster Groupings**-Provides a reference for understanding which agencies are grouped within each cluster.

Appendices

Appendix A: Templates

The following templates and tools have been developed to help the State of Illinois transition to its new Governance model. These templates and tools will help the state remain organized as well as help with objectivity in the portfolio management process.

Board Membership Tracking Template

This template is designed to help the state track the qualifications of its board members and confirm the Boards have a mix of individuals with the targeted experience. For each Board Member, the following information will be tracked:

- Agency Name
- Role at Agency
- Start and End of Term
- Target Composition Role

State of Illinois IT Governance Boards - Board of Directors							
Board Name		Board of Directors					
Charter		Develop Enterprise IT Strategy in alignment with business requirements; provide executive oversight and resource prioritization					
Chair		State Chief Information Technology Officer					
Number of members on the Board		4-10					
How often will the workgroup meet initially?		Bi-weekly					
At a minimum, how often will the workgroup meet once stable?		Quarterly					
Target Composition	State Leadership • Representative from the Governor's Office who ideally has agency and/or IT experience	One (1) Representative					
	IT Representation • Representative from DoIT core leadership team	One (1) Representative					
	Agency Leadership • Agency Director from each cluster. Governor's Office should consider the following and balance: (1) large and small agencies; (2) agencies that do and do not receive significant funding from outside of the State of Illinois (i.e. federal funding); and (3) high and low users of IT services.	Seven (7) Representatives					
	Finance • Senior Leader from GOMB ideally with some non-GOMB agency and IT experience	One (1) Representative					
	Cluster CIO/Other	Invite as necessary, ex officio					
How long and the experience term (years)?		Two (2) years					
What viewpoint/approach should be prevalent?		Business/Strategic					
Membership Details							
	Name	Agency	Role at Agency	Start Term	End Term	Target Composition Role Filled	Notes
1	John Doe	Governor's Office of Management and Budget (GOMB)	Director	2017	2021	Finance	N/A
2	Allison Maple	Capital Development Board (CDB)	Agency Director	2017	2019	Agency Leadership	N/A
3	Terry Strong	Gaming Board, Illinois	Agency Director	2017	2019	Agency Leadership	N/A
4	Margaret Smith	Human Rights, Department of (DHR)	Agency Director	2017	2019	Agency Leadership	Moved from Arkansas where there is strong IT Governance
5	David Terry	Deaf & Hard of Hearing Comm. (DHHCC)	Agency Director	2017	2019	Agency Leadership	N/A
6	James White	Veterans Affairs, Department of (DVAV)	Agency Director	2017	2019	Agency Leadership	N/A
7	Cory Davis	Labor Relations Board (LRB)	Agency Director	2018	2019	Agency Leadership	N/A
8	Armigene Johnson	Commerce and Economic Opportunity, Department of (DCEO)	Agency Director	2019	2021	Agency Leadership	N/A
9	Shella Horberg	Aging, Illinois Department of (AGE)	Agency Director	2019	2021	Agency Leadership	N/A
10	Jill Edwards		Deputy Governor	2019	2021	State Leadership	N/A
11	Kiran Gupta		Deputy CIO	2017	2021	IT Leadership	N/A
12	Sarah Turner	State Fire Marshall (SFM)	Agency Director	2019	2020	Agency Leadership	N/A
13	Mark Seale	Revenue, Illinois Department of (IDOR)	Agency Director	2018	2020	Agency Leadership	Recently successfully implemented large integration
14	Mable Jenkins	Civil Service Commission	Agency Director	2018	2020	Agency Leadership	N/A
15	Eric Vincent	State Police, Illinois (ISP)	Agency Director	2018	2020	Agency Leadership	N/A

Figure 10: Board Membership Tracking Template

Board Meeting Minutes Template

This template is designed to provide consistency between the two governance boards in documenting action items and decisions made.

DOIT <small>Illinois Department of Innovation & Technology</small>		Bruce Rauner, Governor Hardik Bhatt Secretary Designate Department of Innovation & Technology State CIO																											
<Insert Board Name> Meeting Minutes Day of week, Month Day, Year																													
Meeting Purpose:	Insert Purpose of Meeting																												
Date:	Day of week, Month Day, Year																												
Time:	Time																												
Location:	Room Name – Room Number																												
Attendees:	Function																												
	Board Co-Chair	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 5%;"></td> <td style="width: 15%;"> <ul style="list-style-type: none"> ▪ Additional Notes </td> <td style="width: 15%;"></td> <td style="width: 15%;"></td> <td style="width: 15%;"></td> <td style="width: 15%;"></td> </tr> <tr> <td style="text-align: center;">2</td> <td> Description of action items <ul style="list-style-type: none"> ▪ Additional Notes </td> <td>Project Name</td> <td>mm/dd/yy</td> <td>N/A</td> <td>Complete</td> </tr> <tr> <td style="text-align: center;">3</td> <td> Description of action items <ul style="list-style-type: none"> ▪ Additional Notes </td> <td>Project Name</td> <td>mm/dd/yy</td> <td>N/A</td> <td>Complete</td> </tr> </table>					<ul style="list-style-type: none"> ▪ Additional Notes 					2	Description of action items <ul style="list-style-type: none"> ▪ Additional Notes 	Project Name	mm/dd/yy	N/A	Complete	3	Description of action items <ul style="list-style-type: none"> ▪ Additional Notes 	Project Name	mm/dd/yy	N/A	Complete						
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3	Description of action items <ul style="list-style-type: none"> ▪ Additional Notes 	Project Name	mm/dd/yy	N/A	Complete																								
	Board Members	<table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr style="background-color: #003366; color: white;"> <th></th> <th>Decisions</th> <th>Project/Request</th> <th>Due Date</th> <th>Owner</th> <th>Status</th> </tr> </thead> <tbody> <tr> <td style="text-align: center;">1</td> <td> Description of decision made <ul style="list-style-type: none"> ▪ Individuals voting in favor of decision </td> <td>Project Name</td> <td>mm/dd/yy</td> <td>N/A</td> <td>Complete</td> </tr> <tr> <td style="text-align: center;">2</td> <td> Description of decision made <ul style="list-style-type: none"> ▪ Individuals voting in favor of decision </td> <td>Project Name</td> <td>mm/dd/yy</td> <td>N/A</td> <td>Complete</td> </tr> <tr> <td style="text-align: center;">3</td> <td> Description of decision made <ul style="list-style-type: none"> ▪ Individuals voting in favor of decision </td> <td>Project Name</td> <td>mm/dd/yy</td> <td>N/A</td> <td>Complete</td> </tr> </tbody> </table>					Decisions	Project/Request	Due Date	Owner	Status	1	Description of decision made <ul style="list-style-type: none"> ▪ Individuals voting in favor of decision 	Project Name	mm/dd/yy	N/A	Complete	2	Description of decision made <ul style="list-style-type: none"> ▪ Individuals voting in favor of decision 	Project Name	mm/dd/yy	N/A	Complete	3	Description of decision made <ul style="list-style-type: none"> ▪ Individuals voting in favor of decision 	Project Name	mm/dd/yy	N/A	Complete
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3	Description of decision made <ul style="list-style-type: none"> ▪ Individuals voting in favor of decision 	Project Name	mm/dd/yy	N/A	Complete																								
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		Meeting Notes																											
		Agenda Item	Presenter	Action Items	Decisions																								
		Agenda Item Title	X	X	-																								
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		Agenda Item Title	-	-	X																								
2	<ul style="list-style-type: none"> ▪ Text ▪ Text ▪ Text ▪ Decision: <ul style="list-style-type: none"> ○ The following members voted in favor of the decision: <ul style="list-style-type: none"> ▪ Member Name, Agency ▪ Member Name, Agency 																												
3		Agenda Item Title	-	X	-																								

Figure 11: Board Meeting Minutes Templates

IT Project Assessment Tool

This tool is designed to help the Enterprise Portfolio Management Office (EPMO) decide which projects should continue in the approval process and the priority the projects should be given. This tool compares a project's value to its risks.

 IT Project Assessment Tool				
Name of Project	Emergency Tracking			
Project Description	This application will allow IEMA to track the deployment of it's vehicles during emergency responses. This is needed to help make sure our workers our safe.			
Requesting Agency	IEMA			
Agency Contact Person	John Doe			
Contact Person Email	John.Doe@illinois.gov			
Contact Person Phone	217-782-0000			
Start Date of Project	Sep-16			
End Date of Project	Aug-17			
EPMO Contact	Gavin Davis			
	Value Considerations	Score	Risk Considerations	Score
	Alignment with Strategic Objectives	2 - Somewhat Low	Total Project Cost*	1 - Low
	Return on Investment	3 - Somewhat	Project Duration*	2 - Somewhat Low
	Reduce Technical Debt	5 - High	Number of Agencies Affected*	2 - Somewhat Low
	Establishes New Shared Capability	4 - Somewhat High	Dependencies with Other Projects	3 - Somewhat
	Alignment with Target Architecture	5 - High	Degree of Technical Difficulty	4 - Somewhat High
	Improves Citizen Engagement	1 - Low	Degree of Organizational Change/Impact	1 - Low
	Total Value Consideration (Out of 30)	20	Total Risk Consideration (Out of 30)	13

Figure 12: IT Project Assessment Tool Example

Appendix B: Strategic Planning Processes

The Strategic Planning process begins by gathering data from across the enterprise, including the State’s strategic IT goals, as well as cluster and agency IT goals, plans and budgets. The EMPO gathers and analyzes that data to prepare for the IT Summit. The outputs from the IT Summit are discussed with GOMB to identify financial resourcing. The Strategic Planning process is broken down into the timing, goals and activities identified below.

Timing:	Summer	Fall	Winter			
Goals:	Identify SOI Business Stakeholders and Inputs		Prepare for and Conduct IT Summit	Draft, Review and Approve Plan		
Activities:	1. Define Enterprise Goals	2. Incorporate Agency/Cluster Priorities	3. Review Enterprise Progress	4. Define Shared Priorities	5. Support Priorities with Funding	6. Finalize Strategic Plan
1. Define Enterprise Goals	<ul style="list-style-type: none"> State CIO and Board of Directors review list of specific programs and goals (for the upcoming fiscal year and for the next 3 to 5 years) for IT Align with the business goals identified by the Governor 					
2. Incorporate Agency/Cluster Priorities	<ul style="list-style-type: none"> Cluster/Agency CIOs and Governance Boards develop lists of priorities and key projects that support their organizations business goals Cluster/Agency CIOs and Governance Boards identify enterprise shared service and new technology needs Clusters submit priorities and needs to EMPO 					
3. Review Enterprise Progress	<ul style="list-style-type: none"> EMPO reviews progress against the previous year IT Strategic Plan EMPO works to identify enterprise level projects worthy of pursuit based on agency/cluster project submissions, identified needs, or opportunities for collaboration 					
4. Define Shared Priorities	<ul style="list-style-type: none"> Conduct IT Summit: <ul style="list-style-type: none"> EMPO presents overview of SOI Strategic Objectives as defined by CIO and Board of Directors EMPO provides overview and analysis of cluster/agency strategic plans and key projects as submitted by clusters/agencies Attendees review projects to identify commonalities, benefits, risks, and implementation considerations Attendees discuss shared goals and IT investments as well as identify highest priority projects for enterprise and budget endorsement Clusters/agencies discuss service requirements and identify service priorities Attendees review standards, processes and exceptions, and new technologies 					
5. Support Priorities with Funding	<ul style="list-style-type: none"> Conduct Budget Conversations <ul style="list-style-type: none"> GOMB, State CIO, and Board of Directors discuss goals and strategies identified in the IT Summit GOMB incorporates IT projects and priorities into budget recommendations GOMB presents IT funding allocation 					
6. Finalize Strategic Plan	<ul style="list-style-type: none"> EMPO compile inputs and draft the State of Illinois IT Strategic Plan Review plan with CXOs and Board of Directors and update as needed Publish plan Conduct briefing meetings with stakeholders as necessary 					

Appendix C: Cluster Groupings

Below are the agency groupings that form the State of Illinois clusters as of August 2016.

Business and Workforce	Natural and Cultural Resources	Public Safety	Students	Transportation
<ul style="list-style-type: none"> • Commerce and Economic • Opportunity Employment Security • Financial and Professional Regulation • Human Rights • Insurance • Labor • Power Agency • Racing Board • Workers Compensation • Commerce Commission 	<ul style="list-style-type: none"> • Environmental Protection • Natural Resource • Agriculture • Historic Preservation • Arts Council • Pollution Control Board 	<ul style="list-style-type: none"> • Corrections • Emergency Management • State Police • Military Affairs • Prisoner Review Board • State Fire Marshal • Criminal Justice Authority • Law Enforcement Training and Standards 	<ul style="list-style-type: none"> • Student Assistance Commission • Board of Education • Community College Board • Board of Higher Education 	<ul style="list-style-type: none"> • Transportation • Toll Highway Authority
Families, Children, Elderly, and Veterans		Government and Public Employees		
<ul style="list-style-type: none"> • Children and Family Services • Human Services • Healthcare and Family Services • Juvenile Justice • Public Health • Aging • Veteran's Affairs • Council on Developmental 	<ul style="list-style-type: none"> • Disabilities • Guardianship & Advocacy • Health Information Exchange • Deaf and Hard of Hearing • Comprehensive Health Insurance Plan • Housing Developmental Authority 	<ul style="list-style-type: none"> • Capital Development Board • Central Management Services • Gaming Board • Management and Budget • Liquor Control Commission • Lottery • Revenue • Education Labor Relations Board • Independent Tax Tribunal 	<ul style="list-style-type: none"> • Executive Inspector General Office • Finance Authority • Labor Relations Board • Investment Board • Civil Service Commission • Executive Ethics Commission • Procurement Policy Board • Board of Elections • Property Tax Appeal Board • State Retirement System 	