1. Purpose and Scope

A. ITS Agency Overview and Governance Process

The Office of Information Technology Services (ITS) is responsible for providing centralized technology services to customer agencies, setting technology standards, and coordinating and governing statewide technology-related initiatives. The agency was created to eliminate duplicative information technology spending and processes and build safer, more resilient systems. In 2014, the information technology (IT) governance framework was implemented to facilitate decisions regarding enterprise and agency projects and procurements. The governance process is designed to:

- Prioritize investments based on administration goals, risk, cost and return on investment;
- Align investments with enterprise standards, leveraging expertise, generating savings and enhancing security;
- Drive improvements to business processes, resulting in operating efficiencies;
- Recognize total cost of projects, including recurring operational costs; and
- Identify the replacement need for vulnerable, mission critical systems.

B. Improved Coordination of IT Investments

Executive Agencies will engage in the IT governance process to promote the use of technology to improve public services, permit the statewide coordination of technology initiatives, ensure the most cost effective acquisition of technology services, and remediate deficiencies in their current environments. This process will facilitate a dialogue among agencies, the Division of the Budget (DOB) and ITS regarding each agency’s overall technology strategy and plans for specific projects. The review of such plans will ensure consistency with both a statewide technology strategy and the budget process. The steps for a project to be approved are as follows:
• Agencies are assigned to an ITS Cluster based on mission and business process goals.

• Agencies submit project proposals to their Cluster Executive Board (CEB) that align with the agency’s core mission and provide all required information for a new project proposal, as discussed below in paragraph 3B. CEB’s consist of executive staff from the ITS cluster, as well as agency executives, DOB staff, and ITS central staff.

• The CEB proposes projects to their respective Deputy Secretary for review and recommendation to the Information Technology Strategic Planning Board (ITSPB). The ITSPB is the highest level of IT governance in the State and consists of the State’s Chief Information Officer (CIO), the Director of the Budget, and the Director of State Operations. The ITSPB is responsible for approval of IT investment proposals and coordinates the publication of the State’s IT Portfolio as described below in paragraphs 3C and 3D and the Strategic Plan, as described in paragraph 3A below.

• The Deputy Secretary presents the projects to the ITSPB for their approval and addition to the Statewide IT Portfolio.

C. The Budget Reform Act: Adherence to Legislative Requirements

The ITS governance process produces IT portfolio information that is used as the source of data necessary for DOB to meet the reporting requirements of State Finance Law Section 22. This legislation requires projects funded in the Executive Budget, totaling $10 million dollars or greater and involving one or more contracts, to be reported annually to the Legislature. The report must include for each project:

• Project summary, including project purpose, proposed approach, key milestones, current status, timetable;

• Proposed method of procurement;

• Proposed funding source;

• Proposed financing method; and
• Estimated costs by fiscal year for the duration of the project.

2. Roles and Responsibilities

A. ITS – ITS has the responsibility for developing statewide technology policy, planning, coordination and related issues. Consistent with this responsibility, ITS will develop and maintain a three-year enterprise strategic plan, including annual updates. Based on this strategy, ITS will provide standards and guidance to State agencies, public authorities, and public benefit corporations throughout the annual governance cycle and will coordinate participation in statewide IT initiatives. The Chief Portfolio Office (CPO) is responsible for the oversight, coordination, and scheduling of regular CEB meetings for each cluster. These meetings should provide the basis for agency and ITS discussions on project initiation, development, and completion.

B. DOB – DOB has the responsibility of working with ITS to develop and refine the Statewide IT Portfolio throughout the annual governance cycle. This includes confirmation of available funding based on agency project proposals and in-flight cost estimate updates. DOB will also assist in confirmation of available ITS staff resources for project purposes and prioritization of approved projects.

C. Customer Agencies – Customer agencies are responsible for aligning IT related initiatives with the core mission and vision of the agency. Agencies will work with assigned ITS cluster staff to develop an annual baseline analysis in comparison with ITS standards and request projects during the annual governance cycle.

3. Annual Governance Cycle

The annual governance cycle consists of quarterly ITSPB meetings which are consistent with the State’s budget development process for each fiscal year. The quarterly ITSPB schedule and phases are as follows:

A. April through July – Strategic Planning Phase

• IT Strategic Plan – ITS shall present an enterprise IT Strategic Plan that develops a common baseline of technology standards for the State. This plan includes the State’s technology vision, mission, goals, priorities, and updates on enterprise initiatives. The Strategic Plan, or annual update, will be presented at the July ITSPB meeting.
• Agency Baselining and Self-Assessment – Agencies shall work directly with ITS cluster staff to conduct a self-assessment that identifies IT-related gaps in comparison with the common baseline established by ITS. Once these gaps are identified, the agency and ITS staff work will develop a mitigation plan.

• Project Proposal Guidance – ITS will provide guidance for submittal of new IT investment requests for the upcoming fiscal year.

B. July through September – Project Planning Phase

• Project Proposals – CEBs shall submit a list of proposed IT projects on behalf of their agencies. New IT investment requests must include a business case, cost estimate, return on investment (ROI) analysis, total cost of ownership (TCO), timeline, strategic alignment, priority type (e.g. Governor's Priority, Legislative Mandate, Agency Priority, etc.) and funding source. Project information is submitted electronically in the IT Service Management system.

• Executive Budget Alignment – Project proposals should be submitted consistent with agency guidance provided by DOB in relation to the Executive Budget process for the upcoming fiscal year.

• Proposal Presentation – Deputy Secretaries will present a summarized list and briefing of project proposals in their respective policy area to the ITSPB at the September meeting.

C. September through January – Project Review Phase

• Project Proposal Review – The ITS CPO and DOB staff will jointly review project proposals to confirm agency funding, ensure availability of ITS staff resources, and prioritize projects.

• In-flight Project Review – Previously approved projects that are expecting to carry over into the next fiscal year will be updated with current cost and schedule projections, as needed.

• Project Prioritization – New proposals and in-flight projects will be evaluated based on priority type, ROI, public service improvements, and risk mitigation of critical infrastructure.
• Draft Statewide IT Portfolio – At the January meeting, a draft IT Portfolio aligned with the Executive Budget will be provided to Deputy Secretaries and agency executives.

D. January through April – Portfolio Refinement and Finalization

• Final Statewide IT Portfolio – The Statewide IT Portfolio will be refined, finalized, and presented at the April ITSPB meeting in alignment with the Enacted Budget for the upcoming fiscal year.

• Performance Metrics – ITS will present and discuss operational and project-related performance metrics, including enterprise initiative updates, accomplishments, and project completions for the previous fiscal year.

4. Performance Metrics and Active Project Reporting

A. Post-Implementation Performance Metrics

ITS will develop a process to evaluate IT projects after they are completed. This post-implementation strategy includes determination of stakeholder satisfaction, identified business results and savings, and evaluation of the solution as a possible best practice for reuse.

B. Active Project Reporting

The ITS CPO shall issue a quarterly report on the status of active IT projects. This report shall include project description, spending to date, funding source, projected timeline, budget, status, and potential risks. The report will also include information about completed projects including date, total cost, and comparison with the original budget. These reports will be distributed to Deputy Secretaries at ITSPB meetings and electronically to agency executives.

5. Review of Agency IT Purchasing

A. Linkage to the Plan to Procure Process

Agencies are required to submit a Plan to Procure (PTP) request when purchasing IT related services. Requests are submitted by agencies or their affiliated cluster through the PTP application in NY.gov and are reviewed by the
ITS Portfolio and Technology Offices to ensure adherence to the State’s enterprise strategy, architecture, and IT Portfolio. An approved PTP form is then electronically forwarded to the original requestor for the agency’s records. To the extent a project has already been incorporated within the State’s IT Portfolio, required reviews by ITS and DOB of the proposed procurement will proceed more quickly.

B. Review of IT Purchasing

In order to ensure compliance with the governance structure and consistency with the IT Portfolio, the Public Protection Unit within DOB will centrally review all IT-related spending requests in accordance with Budget Bulletin B-1184 and make a recommendation on the approval of the purchase to the appropriate budget examiner.