



**DEPARTMENT OF CORRECTIONS**  
**Information Technology**



<b>Title:</b>	<b>Information Technology Investment Governance</b>	<b>DOC Policy: 60.7.1</b>
<b>Effective:</b>	<b>2/14/2023</b>	<b>Supersedes: N/A</b>
<b>Applicability:</b>	<b>All agency divisions</b>	
<b>Directives Cross-Reference:</b>	<b>Agency IT Strategic Plan</b>	
<b>Attachments:</b>	<b>Information Technology Governance Council Charter Information Technology Investment Request Form</b>	

**I. PURPOSE**

- A. It is the policy of the Department of Corrections that all Information Technology (IT) decisions must be governed through a formal IT governance process. This process provides structure for the agency ensuring that IT investment decisions are driven by an agency IT strategic plan to support agency business objectives and maintain alignment with enterprise IT strategies.
- B. This policy applies to all agency business divisions as defined in the latest agency organizational structure, and includes all divisions, departments, sections, or units within the Department of Corrections.

**II. DEFINITIONS**

- A. Enterprise Information Services (EIS): The state Chief Information Officer (CIO) organization which provides statewide IT leadership by maturing enterprise technology governance, leveraging investments in shared services, ensuring transparency, providing oversight, and delivering secure and innovative solutions.
- B. Enterprise Information Technology Strategies: All published EIS policies, standards, strategies, procedures, plans, Basecamp contracts, and agency modernization plans.
- C. Information Technology (IT): Includes, but is not limited to, all present and future forms of hardware, software, and services for data processing, office automation, and telecommunication.
- D. IT Investment Governance: The process that an agency uses to ensure that IT investment decisions support agency business objectives and enterprise IT strategies.
- E. IT Investment Governance Process: The formal documentation of IT investment governance. An IT governance process is primarily focused on communication, prioritization, investment value analysis, and decision-making regarding IT investment in support of agency business outcomes.

- F. IT Investment: The planned or actual commitment of funds for IT-related expenditures. IT investments include, but are not limited to, agency IT personnel, contracted labor, products, services, and contracts.
- G. IT Governance Council: Provides appropriate executive-level oversight to ensure that there is a business strategy for the agency and that IT investments are aligned to this business strategy within acceptable levels of risk to achieve the overall agency goals and objectives.

### **III. POLICY**

#### **A. Exclusions and Special Exceptions**

Request exclusions to this policy by a documented justification email to the agency CIO. The request should state the policy section and the exact wording to which the exclusion would apply, if approved, and will be reviewed by the IT Governance Council for approval.

#### **B. General Information**

1. Agency Executive Director is accountable for creating and adopting an agency IT investment governance policy.
2. Agency must submit any new or modified IT investment governance process to EIS for review and guidance.
3. EIS will publish and maintain an Information Technology Governance Guide which will include example procedures and templates which the agency may modify and adopt.
4. Annually, agency will perform a review of agency IT investment governance to assess conformance to the agency IT Investment Governance policy and procedure.
5. Agency will audit IT investment governance outcomes and assess if the performance of the success factors and metrics set by the adopted IT investment governance charter are met. These metrics will be shared with EIS through the Senior IT Portfolio Manager assigned to the policy area of state government that the agency is a member of.

#### **C. IT Investment Governance Procedure**

1. Agency division, section, or unit shall complete an information technology investment request form with relevant information. The completed information technology investment request form shall be signed by the executive sponsor requesting the service or IT investment.
2. The completed information technology investment request form is routed to agency CIO's office or agency Project Management Office (PMO) for further consultation and alignment to the agency IT strategic plan and the state's enterprise strategies.

3. Agency division, section, or unit will further develop a brief business case and cost benefit analysis in collaboration with agency PMO or agency CIO's office.
4. Agency CIO's office consults with the assigned EIS Senior IT Portfolio Manager to receive guidance and support for the proposed IT investment to satisfy the outlined business need.
5. A vetted, fully documented IT investment proposal is routed to the IT governance council for review, prioritization, and decision to proceed, following an established process and cadence.
6. Based on the outcome of the IT investment governance process, agency IT investment portfolio is updated, and an EIS IT investment form is created and submitted to EIS for oversight determination.
7. Agency IT strategic plan, agency modernization plan, and the associated opportunity maps are updated as needed by the agency's CIO team in consultation with EIS.
8. Relevant funding request documents are drafted if the IT investment requires funding in the Governor's Recommended Budget.
9. IT Governance Council minutes and updated decision logs are maintained in writing and those instruments will be used to assess the performance of the council.

#### **IV. IMPLEMENTATION**

This policy will be adopted immediately without further modification.

Certified: \_\_\_\_\_ signature on file \_\_\_\_\_  
Julie Vaughn, DOC Rules Coordinator

Approved: \_\_\_\_\_ signature on file \_\_\_\_\_  
Heidi Steward, Deputy Director