


STATE OF VERMONT
Agency of Human Services (AHS)

Information Technology Governance	REVISION HISTORY:	Chapter/Number 5.02
	EFFECTIVE DATE:	Attachments/Related Documents: Information Technology Governance in the AHS Enterprise , Organization and Charters
Authorizing Signature: 		Date Signed: <u>1/14/09</u>
Robert D. Hofmann, Secretary, Agency of Human Services		

PURPOSE/POLICY STATEMENT:

To establish an Information Technology (IT) governance model for AHS. IT governance is necessary to create structure and accountability for investments and operation of information technology as AHS aligns IT strategy with business (program) strategy and sets priorities to achieve AHS goals and objectives. Through IT governance practices, AHS will ensure that expectations for IT are met and value is delivered.

The purpose of IT governance is to direct IT endeavors so that we meet the following objectives:

- Align IT with the business (program) needs
- Manage, evaluate, measure and monitor IT processes in a consistent and repeatable manner that takes advantage of opportunities and maximizes returns
- Manage and prioritize the responsible utilization of IT resources and assets by departments
- Ensure that IT delivers on its plans, budgets and commitments
- Establish and clarify accountability and decision rights
- Manage risks, change and contingency planning
- Improve IT performance, compliance, maturity and development
- Support decision making to resolve issues that result from technology implementations and operations
- Connect with the needs of customers and other stakeholders

BACKGROUND and REFERENCES:

As automation increased, the Departments and Offices of the Agency of Human Services have identified a need for coordination of information technology activities. A policy was written in 1992, "Acquisition and Use of Information Systems" that described the organization, process and approvals that were to be followed. Much has changed in technology and the Agency has gone through restructuring as well. As interdependencies among the various information systems have grown, and resources are constrained, it is essential that AHS set forth organizational structures and protocols to govern IT.

DEFINITIONS:

Chartered project – A project with a charter, sponsor and approval to commit resources for its completion. Chartered projects may be reviewed and monitored by the IT Planning Strategy Team. A chartered project that is considered a major enterprise project, or is critical to the success of major enterprise initiatives, will be monitored by the Enterprise Executive Steering Committee.

Enterprise – Enterprise refers to AHS processes, information systems, personnel and organizational sub-units.

Enterprise architecture - Enterprise Architecture is the practice of applying a comprehensive and rigorous method for describing a current and/or future structure and behavior for an organization's processes, information systems, personnel and organizational sub-units, so that they align with the organization's core goals and strategic direction. Although often associated strictly with information technology, it relates more broadly to the practice of business optimization in that it addresses business architecture, performance management, organizational structure and process architecture as well.

Enterprise Executive Steering Committee- A Committee of AHS Commissioners/Directors or their designees who provide organizational oversight of the chartered projects of the Agency of Human Services. The Committee is chartered by the Secretary to advise the Agency Secretary and/or make decisions when given the authority by the Secretary

Information Technology - The statutory definition as given in 3 V.S.A. 2222 shall apply: "...information technology activities" shall mean: (A) the creation, collection, processing, storage, management, transmission, or conversion of electronic data, documents, or records; (B) the design, construction, purchase, installation, maintenance, or operation of systems, including both hardware and software, which perform these activities."

IT Planning Strategy Team- A committee of AHS programmatic, financial and IT leaders who help create a vision for future systems and strategies for change that will support the mission and objectives of the Agency. The Team is chartered by the Secretary and provides information and recommendations to the *Enterprise Executive Steering Committee*.

Project Sponsor – The individual who is the champion for the project and is responsible for the overall plan, acquisition of resources and continued commitment to its completion. A project sponsor is typically a member of a departmental leadership team with sufficient authority and responsibility to carry out the duties of a sponsor.

SCOPE:

This document applies to all Agency departments, divisions, and offices hereafter referred to jointly as "department".

GUIDELINES:

IT governance relates to the organizational structures created by the enterprise which control and manage the projects, the relationship between them, the responsibilities and authority assigned to each, and how projects are guided by the enterprise (AHS) vision, mission, goals and objectives. This policy begins to outline IT Governance as it relates to enterprise architecture and technology, but it does not describe all of the governance associated with running the enterprise.

The final responsibility for IT governance is with the Agency Secretary as advised by the Enterprise Executive Steering Committee. In addition to the Enterprise Executive Steering Committee, the IT Planning Strategy Team is chartered to complete the essential work of IT planning. Other groups may be created by these committees as required. These committees shall strive to meet the objectives outlined above recognizing that departmental resources may be shared to meet Agency programmatic goals.

At a minimum, a project will have a designated project sponsor and project manager and key designated individuals that form the team that will complete the work on the project. Larger projects will have additional roles of Project Director, committee or functional leads and smaller groups of sub-teams. All projects should have, at a minimum, a written project charter that is used to gain sponsorship and approval for a project within a department. The IT Planning Strategy Team will develop written procedures that define the criteria for projects that will be brought to their review, and the process for review, priority setting, resource allocation and project monitoring. Those projects considered major

enterprise projects or those critical to the success of major enterprise initiatives will be monitored by the Enterprise Executive Steering Committee. Departments will develop written procedures for project review and monitoring consistent with the procedures developed by the IT Planning Strategy Team.

COMPLIANCE:

It is the responsibility of the departments to ensure dissemination and review of this policy to all managers and other employees within their organizations that define program initiatives and projects that have information technology implications.

ENFORCEMENT:

The Office of the Secretary may initiate review, assessments or other means to ensure that policies, guidelines or standards are being followed.



State of Vermont

**Information Technology Governance
in the AHS Enterprise**

Organization and Charters

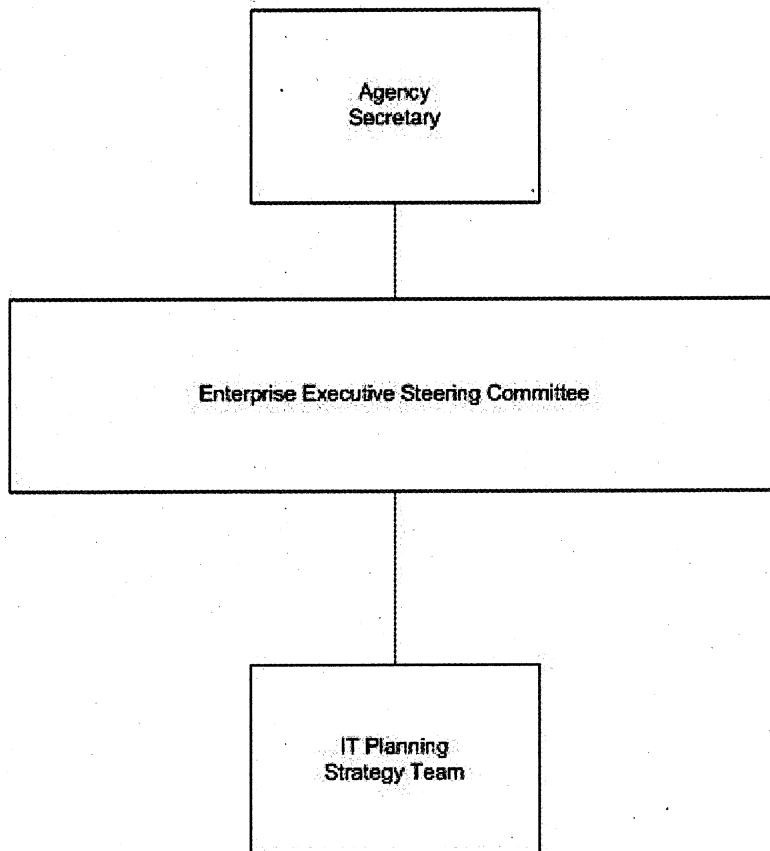
Organization

The Agency Secretary has overall responsibility for the Agency Information Technology, including:

- Approval of overall plan
- Acquisition of resources
- Championing projects
- Final decision making and arbitration
- Creating entities to assist in IT governance

IT Governance in AHS can be depicted in the diagram shown below. The Agency Secretary has chartered two groups for this purpose: (1) the Enterprise Executive Steering Committee and (2) the IT Planning Strategy Team. The IT Planning Strategy Team members represent all departments and are responsible for a broad review of projects for the Agency, including approval, prioritization and status reviews. Those projects or issues that demand greater attention because of cost, risks and impacts will be directed to the Enterprise Executive Steering Committee for consideration, as will issues that arise that merit executive reviews. Details of the responsibilities of these two groups are provided in the charters which follow.

IT Governance in the AHS Enterprise



Enterprise Executive Steering Committee Charter

Authority and Background:

The AHS Secretary is creating the Enterprise Executive Steering Committee to provide organization oversight of the enterprise projects of the Agency of Human Services. This charter became effective with the signing of policy 5.02 (January 14,2009).

Mission and Purpose: The mission of the Enterprise Executive Steering Committee is to provide a forum for the Agency programmatic, financial and IT leaders to consider the issues that impact the scope, schedule, and resources of enterprise wide AHS IT initiatives and make recommendations to the Agency Secretary for final approval. The Committee:

- Reviews, approves and oversees overall plans and budgets
- Reviews programmatic expectations to project scope and progress to identify gaps
- Reviews policy and statutory issues
- Reviews resource needs, assigns priorities and allocates resources
- Receives regular status reporting
- Resolves critical project issues and makes timely decisions
- Reviews project interrelationships and identifies potential problems
- May create work groups to research or work on specific areas to resolve cross-project issues or inconsistencies
- Monitors projects against strategic business and IT plans

Relationships:

The Committee receives information from departmental members or departmental project directors about proposed projects and status of approved projects regarding time, scope and resources and any cross departmental or cross project issues. The Committee provides information and recommendations to the Agency Secretary

The Committee receives information concerning projects and innovative technologies from the IT Planning Strategy Team. The Committee may establish other relationships with AHS and departmental committees and teams as required in the conduct of their business.

Membership:

All departments have representation either by their Commissioner or designee. Members are responsible for representing their departments interests and working in a collaborative manner to come to agreement on the best solutions to problems or issues brought before the Committee. The AHS Central Office (AHSCO) is represented by the Chief Financial Officer, Director of AHS Health Care Operations, Improvement and Compliance, Chief Information Officer, Agency Secretary and Deputy Secretary. Others may be designated as part of the Committee for project reviews.

The Deputy Secretary chairs the Committee, creates the agenda and schedules the meetings. The results of meetings, summaries and action steps, together with prepared materials shall be made generally available to the group. Agency-wide communications will be prepared and disseminated by the Committee as deemed necessary.

Committee members who are made aware of issues or information that needs to be shared with the Committee should contact the Deputy Secretary to determine the appropriate course of action. The issue may be added to the next meeting agenda, or if urgent may require a special meeting, teleconferences or

other actions to address the presenting problem. The full committee will be briefed on these activities at the next regularly scheduled meeting.

Committees:

Special work teams may be chartered by the Team to investigate solutions on particular topics such as videoconferencing, or provide a forum for in depth discussion of particular issues prior to the creation of a chartered project. There are no standing committees.

Staff support

Staff support to the Team will be provided by AHS Secretary Office

Issued: January 2009

IT Planning Strategy Team Charter

Authority and Background:

The Office of the AHS Secretary created the IT Planning Strategy Group through a “*Statement of Work for developing AHS Information Technology Systems Strategies*” signed by then Deputy Secretary Steve Gold on September 20, 2006. The purpose was to create a ‘*vision for future systems that are needed to support the new AHS and to devise a strategy to implement this vision.*’ The team was composed of selected programmatic and IT representatives and was constituted to help develop ‘*the vision and strategies for change.*’ The participation varied and after a hiatus the group was reconstituted by Deputy Secretary Patrick Flood in September 2007 with a similar charter. In the past year additional groups have been formed to oversee projects and provide IT Governance. Below is clarification of the purpose of the group and its charter. This charter is effective on signature of policy 5.02.

Mission and Purpose: The mission of the IT Planning Strategy Team is to provide a forum for the Agency programmatic, financial and IT leaders to review projects, systems and strategies for change that will support the mission and objectives of the AHS. The Team will develop procedures and protocols, as directed in this policy, to review and monitor AHS projects. The Team will engage in activities that include:

- Forum for operational problem discussion and resolution – e.g. registry, standard language for contracts, Continuity of Operations Plan (COOP)
- Advisors to Chief Information Officer (CIO) and Secretary’s office in reviewing projects
- Receiving status reports of on-going projects and monitoring progress
- Creating specialized committees and assigning responsibility for projects and other tasks – e.g. videoconferencing
- Identify resources
- Recommend resource allocations and cost allocations
- Investigate new technologies – e.g. Share Point
- IT issues of Agency wide impact – e.g. E-mail encryption
- Creation of draft policies

Relationships:

The Team receives information from departmental members or departmental project directors about proposed projects and status of approved projects regarding time, scope and resources and any cross departmental or cross project issues. The Team provides information and recommendations to the Enterprise Executive Steering Committee concerning major projects or projects that involve components or functions that are required for the success of major AHS initiatives. The communication is conveyed by the Chair or Agency Deputy Secretary from the Team to the Enterprise Executive Steering Committee. The AHS Policy Review Committee receives draft IT policies which have been prepared and reviewed by the Team. The Team may establish other relationships with AHS and departmental committees and teams as required in the conduct of their business.

Membership:

The AHS Central Office (AHSCO) is represented by the Chief Financial Officer, Director of AHS Health Care Operations, Improvement and Compliance, Chief Information Officer, IT Manager for Infrastructure and Director of Systems Security. All departments have members from their leadership/management teams who are selected by the department to participate. Members are responsible for presenting issues of interest in their departments or the whole agency to the Team and for reporting back to their departments the discussions and recommendations of the Team.

The CIO chairs the group and with the Agency Deputy Secretary creates the agenda for the meetings. The results of meetings, summaries and action steps, together with prepared materials shall be made generally available to the group. Agency-wide communications will be prepared and disseminated by the Team on issues, decisions or topics of general interest.

Committees:

Special work teams may be chartered by the Team to investigate solutions on particular topics such as videoconferencing, or provide a forum for in depth discussion of particular issues prior to the creation of a chartered project. There are no standing committees.

Staff support

Staff support to the Team will be provided by AHS Secretary Office

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