

COMMONWEALTH OF VIRGINIA

2003 AGENCY INFORMATION TECHNOLOGY

STRATEGIC PLANNING GUIDANCE

Section I – Introduction

2004 – 2006 BIENNIUM

Issued

By

Secretary of Technology

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INFORMATION TECHNOLOGY STRATEGIC PLANNING GUIDANCE

2004 – 2006 Budget Biennium

Section I – Introduction

This document provides an overview of the Agency IT Strategic Planning process, guidance on strategic directions for technology in the Commonwealth, and specific instructions for plan submission. Appendices are provided that outline the certification process for Agency IT Strategic Plans, a description of the Commonwealth policy on technology management and IT strategic planning process, and links to information that may facilitate agency IT strategic planning.

Overview

The Information Technology Strategic Planning (ITSP) process for the 2004-2006 Budget Biennium is based on guidance issued over the last year by the Secretary of Technology, the current Commonwealth of Virginia Strategic Plan for Technology, the Commonwealth Technology Management Policy, and the Commonwealth Enterprise Architecture. The planning process has been streamlined for agencies through an abbreviated submission of ITSP data focused on planned projects, planned procurements, and updates to the agency technology assets (Due Diligence) portfolio.

The IT Strategic Plan information will be submitted in three parts with completion dates established for each submission.

- Part I of the plan focuses on agency strategic goals, critical issues, the agency strategic IT vision and Major IT Projects and procurements that will support agency business goals and critical issues.
- Part II of the plan focuses on Non-major projects and procurements. (Institutions of higher education with decentralized procurement authority are exempt from Part II of the ITSP.)
- Part III of the plan entails updating of agency asset information previously submitted through the Due Diligence Process. (All institutions of higher education are exempt from Part III of the ITSP.)

All proposed or continuing projects with expenditures planned for the next biennium, regardless of funding source, should be identified in the Agency IT Strategic Plan. Project proposals providing more detailed information will be solicited for planned projects requiring funding during the 2004-2006 Budget Biennium. Additional information may be requested on continuing projects.

Agency Heads are requested to appoint an individual as the Agency IT Resource and to certify the submission of the Agency IT Strategic Plan information. A web-based Commonwealth Technology Portfolio (CTP) will be provided to support the submission of Agency IT Strategic Plans.

Commonwealth of Virginia Strategic Plan for Technology

Governor Mark R. Warner and Secretary of Technology George C. Newstrom released the "*Virginia in The Global Digital Economy: Commonwealth of Virginia Strategic Plan for Technology*" on September 25, 2002. The full strategic plan addresses Governor Warner's technology imperatives, Secretary Newstrom's initiatives to support those imperatives, and specific agency projects, which implement the initiatives. Highlights of the plan call for:

- Consolidating information technology infrastructure and providing centralized IT services from one single state agency;
- Coordinating and developing a unified "customer-facing" Internet portal for all state agencies which can be used to conduct business with citizens online — without ever involving paper in the process;
- Planning, budgeting, and tracking IT expenditures by developing a capital planning and funding process for IT;
- Increasing federal research and development funding to industry and Virginia's colleges and universities;
- Increasing commercialization of intellectual property from Virginia's labs, entrepreneurs, and institutions of higher education; and
- Increasing statewide broadband deployment, especially in rural areas.

The full strategic plan and a separate 34 page executive summary of the highlights can be found on the [Secretary of Technology Web site](#).

Commonwealth Technology Management

The Commonwealth Technology Management (CTM) Policy was issued in September 2002 to establish a comprehensive and uniform policy for the management of technology investments in the Commonwealth of Virginia (COV). The CTM approach is based on the principles of IT Investment Management (ITIM) for selecting, controlling, and evaluating IT investments. An overview of the CTM approach for ITIM-based IT Strategic Planning is provided in Appendix A.

Virginia Information Technologies Agencies Legislation Overview

Senate Bill 1247 and House Bill 1926, passed during the 2003 legislative session, establishes the Virginia Information Technologies Agency (VITA) to replace the Department of Information Technology (DIT), the Department of Technology Planning (DTP), and the Virginia Information Provider Network (VIPNet) Authority, which are abolished. In addition, the bill establishes the Information Technology Investment Board (ITIB) to oversee the planning, budgeting, acquiring, and managing of major information technology projects in the State. The VITA legislation will become effective July 1, 2003. Under the bill an independent Chief Information Officer (CIO) of the State, hired by the IT Investment Board, will lead VITA. The bill (1) establishes the Division of Project Management within the VITA to assist the CIO in the development and implementation of a project management methodology to be used in the planning and development of information technology projects; (2) establishes a project planning, development and approval process for major information technology projects; (3) authorizes the Virginia Public Building Authority to issue debt to finance major information technology projects; and (4) provides for the consolidation of the procurement and operational functions of information technology for state agencies. The bill also provides an implementation schedule for the consolidation of operational functions, including but not limited to, servers and networks.

The current *Code of Virginia* and the VITA legislation require all state agencies and public institutions of higher education to prepare and submit information technology plans to the CIO for review and approval. All state agencies and public institutions of higher education shall maintain current information technology plans that have been approved by the CIO. Both current *Code of Virginia* and the VITA legislation also require the CIO to “*Direct the development of policies and procedures, in consultation with the Department of Planning and Budget, that are integrated into the Commonwealth's strategic planning and performance budgeting processes, and that state agencies and public institutions of higher education shall follow in developing information technology plans and technology-related budget requests.*”

VITA legislation further states:

- “*Such policies and procedures shall require consideration of the contribution of current and proposed technology expenditures to the support of agency and institution priority functional activities, as well as current and future operating expenses, and shall be utilized by all state agencies and public institutions of higher education in preparing budget requests.*”
- VITA will “*Assist state agencies and public institutions of higher education in the development of information management plans and the preparation of budget requests for information technology that are consistent with the policies and procedures developed pursuant to § 2.2-2002.*” and

- VITA will “*Review information management and information technology plans submitted by agencies and public institutions of higher education and recommend to the CIO the approval of such plans and any amendments thereto;*”

Activities performed by DTP referenced within this document will be performed by VITA after enactment of the legislation. (The complete text of the current VITA legislation is available at the Legislative Information System website <http://leg1.state.va.us/cgi-bin/legp504.exe?031+ful+CHAP1021>).

The Agency IT Strategic Planning process and schedule recognizes that agency IT strategic planning will take place concurrently with the implementation of the new VITA legislation. Dates established in the VITA legislation for actions by the IT Investment Board have been addressed in the schedule for the Agency IT Strategic Planning process. As VITA legislation is implemented, individual Service Level Agreements will be executed between agencies and VITA. Until individual agreements are established with each agency, agencies will continue to operate as they do now. Agency plans should therefore be based on the current technology environment and identify all planned agency technology projects and procurements for the two year planning period. Agencies should develop plans without regard to changes that may result from the implementation of VITA legislation.

Agency IT Resource

As in the past, each Agency Head is requested to identify a person to DTP to serve as the agency single point of contact for the purpose of agency IT strategic planning. As recommended by JLARC, the new VITA Legislation requires “*The head of each state agency shall designate an existing employee to be the agency's information technology resource who shall be responsible for compliance with the procedures, policies, and guidelines established by the (Commonwealth) CIO.*” For this IT Strategic Planning cycle, the Agency IT Resource (AITR) will serve as the single point of contact with DTP for Agency IT Strategic Plan information and will coordinate completion of the plan and ITSP certification by the Agency Head. The Agency IT Resource will also be the single point of accountability and liaison with VITA on such activities as the following:

- VITA transition activities
- Development and administration of the VITA Service Level Agreement
- VITA training activities
- Agency data collection efforts and submissions
- Timely dissemination of VITA information to agency staff
- On-going compliance with established technology procedures, policies, and guidelines.

Based on the division of technology responsibilities between VITA and line agencies indicated in VITA legislation, it is important that each agency AITR be the individual who will most consistently serve as the interface between the agency's technology support needs and VITA support offerings.

The Agency Head is asked to notify DTP at sotech@ntp.state.va.us with the AITR name, title, and contact information no later than April 14, 2003. Once the AITR has been named, login information for accessing the Commonwealth Technology Portfolio (CTP) website will be sent to the designated AITR.

Key Dates

ACTION	COMPLETION DATE
Agency IT Resource Appointed	April 14
Agency receives ID's, Passwords, and Access to the Commonwealth Technology Portfolio	April 15-16
Agency IT Strategic Planning User Training	April 16-18
Agency ITSP Part I Due – Agency Profile, Agency Strategic Direction, and Major IT Projects and Procurements	May 21
Agency Input of Major IT Project Proposals into Projects Portfolio Begins	June 6
Agency ITSP Part II Due - Agency Non-Major IT Projects and Procurements	June 13
Agency ITSP Part III Input Begins - Agency Updates to Asset Portfolio	June 16
Agency Input of Major IT Project Proposals into Projects Portfolio Due	June 27
Agency ITSP Part III Due - Agency Updates to Asset Portfolio	July 2
Agency ITSP Certification Due	July 11
Agency ITSP Reviews and Approvals Completed	July 18
Major IT Projects List to SoTech/CIO and Governor for Review	July 21
Major IT Projects List to IT Investment Board (Tentative)	July 25
Agency Input of Non-Major IT Project Proposals into Projects Portfolio Due	August 1
CIO/IT Investment Board Approval of Major IT Projects List	August 8
Draft Major IT Projects Report to SoTech and Governor for Review	August 22
Final Major IT Projects Report to Governor and General Assembly	September 1
Non-Major IT Project Proposals Approvals Completed	September 15

Evaluation Criteria

Agency IT Strategic Plans Evaluation and Approval

The Department of Technology Planning, on behalf of the Secretary of Technology, will review all Agency IT Strategic Plans for:

- Completeness
- Adherence to planning guidance
- Compatibility with the Commonwealth of Virginia Strategic Plan for Technology
- Compatibility with Enterprise Architecture standards

The Agency Head must approve, via the certification process, the Agency IT Strategic Plan. Once the Agency Head has certified the plan, the plan will be sent to the proponent Secretary for review and signature, before submission to the Secretary of Technology. Based upon plan reviews, the Department of Technology Planning will provide an approval recommendation to the Secretary of Technology. Cabinet Secretaries and the Department of Technology Planning will also review Agency IT Strategic Plans to identify potential programs or projects that should be designated as Secretariat enterprise technology programs.

The Secretary of Technology will approve or disapprove all Agency IT Strategic Plans. An approved IT Strategic Plan must be maintained on file with the Department of Technology Planning. Approved plans will establish a reference for the Department of Technology Planning to validate agency technology investments and planned procurement and project requests. The Department of Technology Planning will work with agencies to revise and resubmit plans that are disapproved by the Secretary of Technology.

Project Evaluation Criteria - Major IT Projects Evaluation Criteria

Agencies are asked to identify all planned Major IT Projects, including telecommunications projects, as part of the Agency IT Strategic Plan. The definition of Major IT Projects within the Commonwealth has evolved over time. The VITA legislation states: *"Major information technology project" means any state agency information technology project that (i) is mission-critical, (ii) has statewide application, or (iii) has a total estimated cost of more than \$1 million.* Since the IT Strategic Planning process spans the transition from the current operational environment to VITA and the IT Investment Board, a project proposal detailing the business case for Major IT Projects must be recommended by the CIO for approval by the newly established IT Investment Board. In order to support the strategic planning process through the transition, the definition of Major IT Projects contained in the VITA legislation has been adopted for this planning cycle and should serve as the guide for agency identification of Major IT Projects in the Agency IT Strategic Plan. All Major IT Projects requiring any expenditure of funds during the two-year planning period must be identified in the Agency IT Strategic Plan, including projects in progress.

Criteria for the evaluation and approval of Major IT Projects are specified in the VITA legislation to include:

- Degree to which the project is consistent with the Commonwealth's overall strategic plan (as evidenced by the Strategic Plan for Technology, Commonwealth Enterprise Architecture Business Strategies and the Department of Planning and Budget agency strategic planning information). For further information on agency strategic plans, and performance, see the Virginia Results Website;
- Technical feasibility of the project;
- Benefits to the Commonwealth of the project, including customer service improvements;
- Risks associated with the project;
- Continued funding requirements;
- Past performance by the agency on other projects.

Knowledge of evaluation criteria should assist agencies in the identification and selection of Major IT Projects for inclusion in the Agency IT Strategic Plan. Detailed information provided by each agency in subsequent project proposal submissions will be evaluated against these criteria.

Project Evaluation Criteria – Non-major IT Projects Evaluation Criteria

Agencies are asked to identify all planned Non-major IT Projects, including telecommunications projects, as part of the Agency IT Strategic Plan. Non-major IT Projects are those technology projects with an estimated total project cost of less than \$1 million and not deemed to be mission critical or designated as having statewide application by the CIO. Non-major IT Projects costing more than \$100,000 will require approval of the CIO. Agencies are therefore asked to identify within the Agency IT Strategic Plan, Non-major IT Projects requiring any expenditure of funds during the two year planning period with an estimated cost of \$100,000 or more. Detailed information provided in the subsequent Non-major IT Project proposal submissions will be evaluated against the same general criteria as Major IT Projects.

Procurement Evaluation Criteria

According to the new VITA legislation, all technology procurements after July 1, 2003 will be executed under procedures established by VITA. Agencies are asked to identify all planned procurements with an estimated cost of over \$50,000, including telecommunications procurements, as part of the Agency IT Strategic Plan. The plan submission Part I requests procurements supporting Major IT-Projects and Major IT Procurements not supporting projects, with an estimated cost equal to or greater than \$1 million. The plan submission Part II requests procurements supporting Non-major IT Projects and Non-major Procurements with an estimated cost of over \$50,000 but less than \$1 million.

All technology procurements with an estimated cost of over \$50,000 will be evaluated to determine if they are:

- Consistent with Commonwealth and Agency IT Strategic Plans
- Consistent with the Virginia Public Procurement Act
- Adhere to the Commonwealth Enterprise Architecture

Procurements supporting Major or Non-major IT Projects will be approved as part of the project approval process. Once a project proposal is approved, a separate procurement approval will not be required, unless the procurement was not part of the project proposal.

ITSP Staff Assistance

DTP staff members will serve as ITSP Liaisons to assist agencies with ITSP activities. For information, or to schedule assistance, call or email one of the following ITSP Liaisons:

ITSP Liaisons	Telephone	E-mail
Judy Marchand	804-786-4392	jmarchand@ntp.state.va.us
Mike Sandridge	804-371-2762	msandridge@ntp.state.va.us
Jo Jo Martin	804-786-0505	jmartin@ntp.state.va.us