

**COMMONWEALTH OF VIRGINIA**

**2003 AGENCY INFORMATION TECHNOLOGY**

**STRATEGIC PLANNING GUIDANCE**

**Appendices**

**2004 – 2006 BIENNIUM**

**Issued**

**By**

**Secretary of Technology**

**April 8, 2003**

## INFORMATION TECHNOLOGY STRATEGIC PLANNING GUIDANCE

### Appendices

#### **Appendix A: Commonwealth Technology Management Policy Overview**

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. The ITIM process begins with the selection process wherein projects being proposed for funding are screened, analyzed, and ranked based on project costs, benefits, and risks. Management makes investment decisions on which projects to propose for funding, and which mix of projects will best meet strategic business goals. Once projects have been selected, management controls the execution of projects through periodic reviews of project progress against established cost, schedule, and performance baselines. The last phase of ITIM, the evaluation phase, closes the loop on the ITIM process. By comparing actual results against planned measures of success, the business value achieved and actual return on the investment is determined. Lessons learned during the evaluation phase provide feedback for future selection and control processes.

#### ***CTM IT Strategic Planning Overview***

IT Strategic Planning is a systematic method used by an organization to set broad direction and specific goals for managing information and supporting delivery of IT services to customers. The CTM IT Strategic Planning process is an ITIM-based IT Strategic Planning methodology that looks at IT resources and IT projects as long-term investments and forms the foundation for selecting, controlling, and evaluating technology investments as part of a business-driven technology portfolio.

IT Strategic Planning will be performed at various levels of government within the Commonwealth, including development of: a Commonwealth of Virginia Strategic Plan for Technology by the Secretary of Technology (CIO); designated Enterprise Technology Program Plans reflecting Secretariat and inter-agency initiatives; and individual Agency IT Strategic Plans.

#### ***Agency IT Strategic Planning Overview***

Each Executive Branch agency within the Commonwealth will develop and maintain an Agency IT Strategic Plan. The Agency IT Strategic Plan will be used by agencies to align the IT organization and budget with Commonwealth technology initiatives and with agency organizational priorities, goals, and objectives. The agency IT strategic planning process should include both business and technology managers within the agency. Agency strategic planning articulates the agency mission and vision for the future. The agency strategic plan provides the basis for IT investment decisions so that the identification, selection, control, life cycle management, and evaluation of technology

investments are based upon the anticipated business value of the investment. Technology investments should be prioritized and executed based on the benefit to be derived towards achieving agency strategic goals.

Agency business leaders must play an integral part in the initiation of any technology investment or project, defining the business need and the anticipated outcomes to be achieved from the investment or project. Involvement by the business leadership of the agency should continue throughout the life cycle of any technology project, continually validating that the project is on track to deliver the desired business value. A critical aspect of CTM is the early and continuous involvement of agency leadership in technology investment decision-making and in providing effective oversight after investment decisions are made.

As part of the Agency IT Strategic Planning process, each agency will develop, manage, and maintain an Agency Technology Portfolio. Agencies will use the Agency Technology Portfolio to support technology investment decisions including, the identification of all major technology procurements and projects to be incorporated in the Agency IT Strategic Plan. Agencies are required to utilize ITIM-based practices in their IT strategic planning efforts, including clearly defined selection criteria, business case development, risk assessment methodologies, and prioritization schema.

The Agency Strategic Plan, the Commonwealth of Virginia Strategic Plan for Technology, Enterprise Architecture standards, and Enterprise Technology Program Plans, will serve as the basis for the development of Agency IT Strategic Plans and corresponding IT budgets. The Agency IT budget will reflect the technology investments required to support agency business initiatives. Specific IT budget requests will be developed based on guidance issued by the Secretary of Technology and the Department of Planning and Budget. Agency IT Strategic Plans will be published bi-annually and will include planned IT investments for a minimum of two years.

## **Appendix B: Agency IT Strategic Plan Certification**

This Appendix outlines the Agency ITSP certification process that each Agency Head and Secretary must complete.

### **Timeline**

Submission of all planning information must be complete by July 2, 2003. The certification process may begin at any time and must be complete by July 11, 2003.

### **Reports**

The following reports can be generated from the CTP Web-tools to review the data input into the Tool. These reports can be used throughout both the data submission and certification process to help agencies validate their information. The reports are located on the front page of the Web Tool.

- Agency ITSP Summary \*
- Agency Asset Portfolio Summary \*
- Server Detail Listing
- Servers by Location Detail Listing
- Personnel Detail Listing
- Personnel by Location Detail Listing
- External Services Listing
- Software Detail Listing
- Software by Location Detail Listing
- LAN Services Detail Listing
- LAN Services by Location Detail Listing
- Shared Devices Detail Listing
- Computer Rooms Detail Listing
- TELCO Equipment Detail Listing
- TELCO Equipment by Location Detail Listing
- TELCO Services Detail Listing
- TELCO Services by Location Detail Listing
- Locations Detail Listing

### **Certification Requirements**

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\* These are the Summary Reports that the Agency Head and Secretary will review and certify. They are to be included as part of the Certification Package. Institutions of higher education will only certify the Agency ITSP Summary.

Each Agency Head and Secretary will be asked to certify, to the best of their knowledge, information, and belief, that the following activities have been performed related to their agency's participation in the Information Technology (IT) Strategic Planning process.

- All information requested as part of the IT Strategic Planning process has been submitted to the Department of Technology Planning. In the event that specifically requested information was not available, the ITSP Liaison was so notified.
- The Agency IT Resource and Agency Head have personally reviewed the Summary Reports of their submissions and deem it to be an accurate presentation of the information provided by the agency. The ITSP Liaisons Team will provide each Agency Head and Secretary this Summary.
- The provided Summary Reports of the agency's IT strategic plan submission and asset portfolio data represents an accurate assessment of the agency's planned IT projects, procurements and IT assets the agency needs to support its mission for the upcoming 2004-2006 Budget Biennium.

### **Process**

- When to Begin. Agencies may begin the certification process at any time prior to July 11th if they have finished submitting their data. Once data submission is complete, they should notify the DTP ITSP Liaison that they are ready to begin the certification process for the plan.
- Data Lockdown. Once the certification process begins, the data submitted through the Web tool for that agency will be "locked down" and no further changes will be permitted to the IT Strategic Planning information. Agencies may wish to generate a full set of reports at this time to help verify the data. Agencies will be asked to update the asset information in the Agency Technology Portfolio on a periodic basis.
- Checklist. To help agencies prepare for the certification process, the DTP ITSP team will send each agency a checklist indicating the status of the ITSP data submitted. This checklist will be sent to agencies on or about July 1st. Agencies should verify this checklist against their own checklist to ensure accuracy. If any errors are discovered in the checklist, please contact the ITSP Liaison immediately to resolve.

### **Certification Package**

Once the checklist has been verified, agencies may begin review and approval of their Certification Package. Once the Agency Head has certified this package, it should be sent to the Secretary for review and signature. The Certification Package contains two (2) documents. These documents are located on the CTP Website in the Information Technology Strategic Planning section:

- Cover Letter to be signed by the Agency Head and the Secretary. (Note: The ITSP Liaisons will provide this letter to each agency. Please do not change or modify the wording in the body of the letter).
- Summary Reports of the information submitted into CTP. Agency Heads and Secretaries will be asked to review and certify the Summary Report. If agencies wish to see the detailed information that supports these Summary Reports, the information may be reviewed via the Reports link available on the CTP website. However, these detailed Reports do not need to be submitted with the Certification Package.

*Certification Letter*

July 11, 2003

**Information Technology Strategic Planning Certification**

**TO:** George C. Newstrom  
Secretary of Technology

**FROM:** (Agency Head)

**THROUGH:** (Secretary)

**RE:** Certification of Agency IT Strategic Planning Data

I, (**agency head**), (**title**) certify that, as of this date and to the best of my knowledge, information, and belief, the following activities have been performed related to submission of the Agency IT Strategic Plan:

1. All requested information regarding planned IT Projects, procurements, assets, resources, and locations has been provided to the ITSP Liaisons by my agency. In the event that specifically requested information did not exist, the Liaisons were so notified.
2. I have personally reviewed the attached summary of my Agency IT Strategic Plan submissions and deem it to be an accurate presentation of agency plans for the 2004-2006 Budget Biennium.

\_\_\_\_\_  
Agency Head Date

Accepted by:

\_\_\_\_\_  
Secretary Date

## **Appendix C: Informational Links**

Commonwealth of Virginia Strategic Plan for Technology

<http://www.techplan.state.va.us/>

Commonwealth Technology Policy

<http://www.dtp.state.va.us/pubs/policies/CTMPolicy-Final.pdf>

Commonwealth Technology Management Glossary

<http://www.dtp.state.va.us/pubs/standards/GlossaryStandard2002-02-Final.pdf>

Commonwealth Technology Portfolio (CTP)

<http://www.CTP.state.va.us>

Commonwealth Enterprise Architecture

<http://www.cots.state.va.us/EA/vision.htm>

Commonwealth Project Management

<http://www.dtp.state.va.us/CPM/index.shtml>

Department of Planning and Budget Virginia Results

<http://www.dpb.state.va.us/VAResults/VRHome.html>

Department of Technology Planning

<http://www.dtp.state.va.us>