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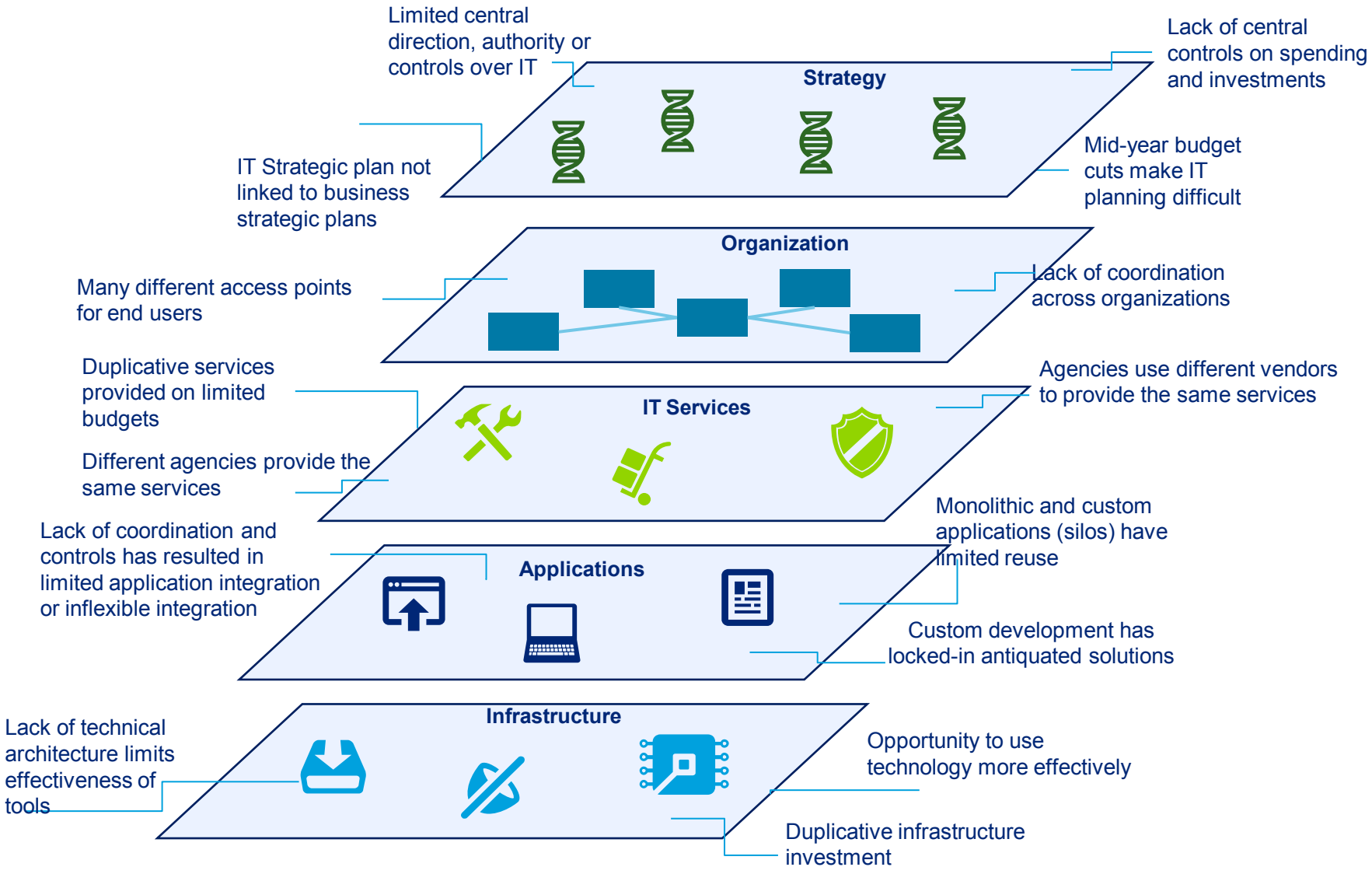
State of Louisiana
Office of Information Technology

IT Governance

Table of Contents

Current State Analysis

Current State of Louisiana IT Governance Challenges



Current State: Observations on Governance Dimensions

For the State of Louisiana, IT governance is relatively immature today. Some agencies have governance structures and processes, and Office of Information Technology (OIT) has a few groups written into its enabling legislation that are ineffective or inactive. The table below reviews different dimensions of governance as it currently exists in the State today.

Dimension	Observations
Roles, Responsibilities and Accountability	• The CIO position exists but is not ultimately accountable for all IT in the state • Other executive roles (Chief Technology, Data and Operating Officers) do not exist, Chief Information Security Officer is currently unfilled • Agencies own accountability for local IT spend which can be significant • Roles and responsibility for IT governance overlap, are redundant and limit overall effectiveness
Decision Making Bodies	• No enterprise wide decision making bodies for IT, limited direction from OIT • CISD is a convening group only, focused on networking more than collaboration • Minimal agency IT governance exists
Processes	• There is no process to foster collaboration to streamline or combine investments • The strategic planning process does not drive action or tie to other processes (ex. budgeting or portfolio management) • IT-0 process is not a cohesive approach to collaboration • IT-10 and associated processes do not result in coordinated spending, effective projects, or enterprise wide learning, improvement, or effectiveness
Tools	• IT-0 serves more as a compliance activity than a tool to support planning • No enterprise architecture to help drive purchasing behavior and system interoperability • No asset lifecycle approach to help guide investment and disinvestment in technologies • No portfolio management or project management tool to drive investment decisions • Procurement rules do not support effective purchasing or cost effective behavior • No group exists to facilitate portfolio management, standards setting, or IT institutional growth
Enforcement	• No enforcement mechanisms exist to ensure that standards or requirements are followed • Limited checks on compliance with standards; standards are more suggestive than required • Limited controls on spending or checks on purchasing rules, especially delegated authority

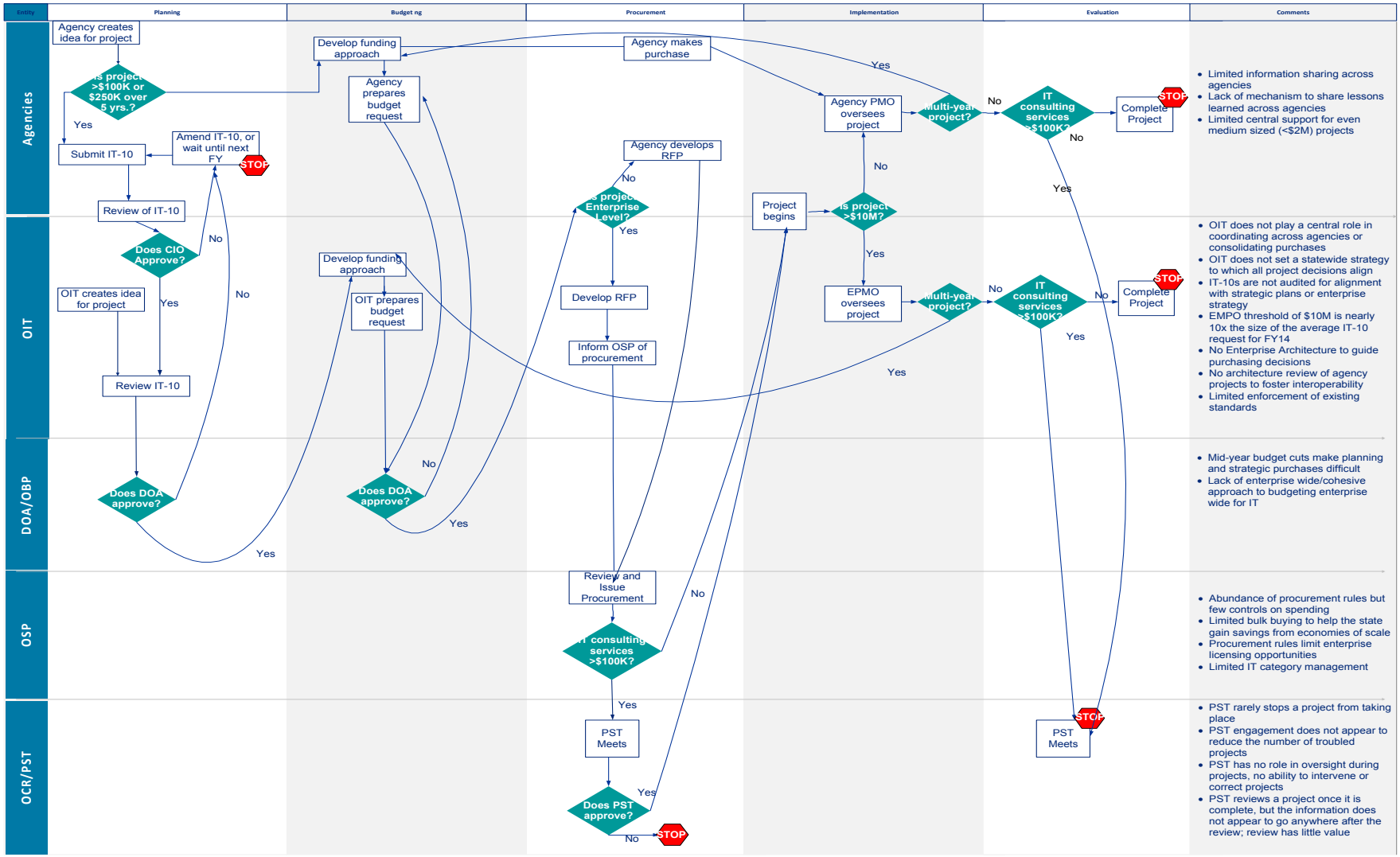
Current State Governance Roles and Responsibilities

There is currently no real role for IT governance groups or oversight, IT decisions are handled operationally and primarily by IT providers with little engagement from the end users.

	Agencies	OIT
IT Strategy and Vision	• Set own strategy • Do not necessarily follow OIT lead on strategy • Limited enterprise alignment	• Create an IT Strategic plan but it does not drive direction or funding • Vision is not driven through all IT services or purchases
IT and Business Alignment	• IT is typically in agency business aligned silos	• OIT aligns to enterprise business needs • IT Strategic Plan does not have direct ties to business objectives
IT Budget, Resource Planning and Mgmt.	• Conduct agency level IT planning • Provide OIT IT-0 with basic information	• Conduct enterprise level planning • Gather IT-0 but do not use it for planning or budgeting purposes
Project Planning and Initiation	• Do local project planning and initiation • Use IT-10 to provide OIT project request information	• Conduct enterprise level project planning • Review and approve IT-10 but do not use it as a coordination mechanism to consolidate l ke projects
Portfolio Management	• Different agencies manage IT portfolios with varying levels of sophistication	• Limited existing role/function supporting portfolio management • Limited use of portfolio management processes
Active Project Status Review	• Different approaches to project management • Different levels of sophistication for project management	• Establishing function for enterprise project management but have not yet rolled out capability
Standard Definition and Maintenance	• Set or determine standards ad hoc/agency by agency • May or may not follow what limited enterprise standards exist	• Define some standards and policies though very few exist around technology standards and lifecycle • Little ability to enforce compliance with standards that do exist
Service Delivery Management	• Agencies use different approaches for service management • Limited agency level service management processes	• Enterprise services use different approaches for service mgmt. • Limited enterprise service management processes
Vendor Management	• Agencies use different approaches for vendor management • Contracts are managed separately for the same vendors	• Enterprise services use different approaches • Contracts are managed separately for the same vendors
IT Risk Management	• Lack of common risk management approach across agencies • Little collaboration around lessons learned among agencies	• Lack of common risk management approach across OIT groups • Reactive intervention in agency troubled projects
Ops Monitoring and Reporting	• Agencies use different approaches for monitoring and reporting • Reports are not consolidated across agencies for understanding of overall IT health/effectiveness	• Typically, OIT is not privy to agency level outcomes until after projects become troubled • Limited use of dashboards for tracking and reporting on projects

Current project lifecycle and governance

In today's model the IT-10 process serves as an administrative check on IT project activity of the agencies. It lacks mechanisms to help agencies with common needs to take on shared projects, for intervention in the case of troubled projects, or for the enterprise to learn from one project to the next.

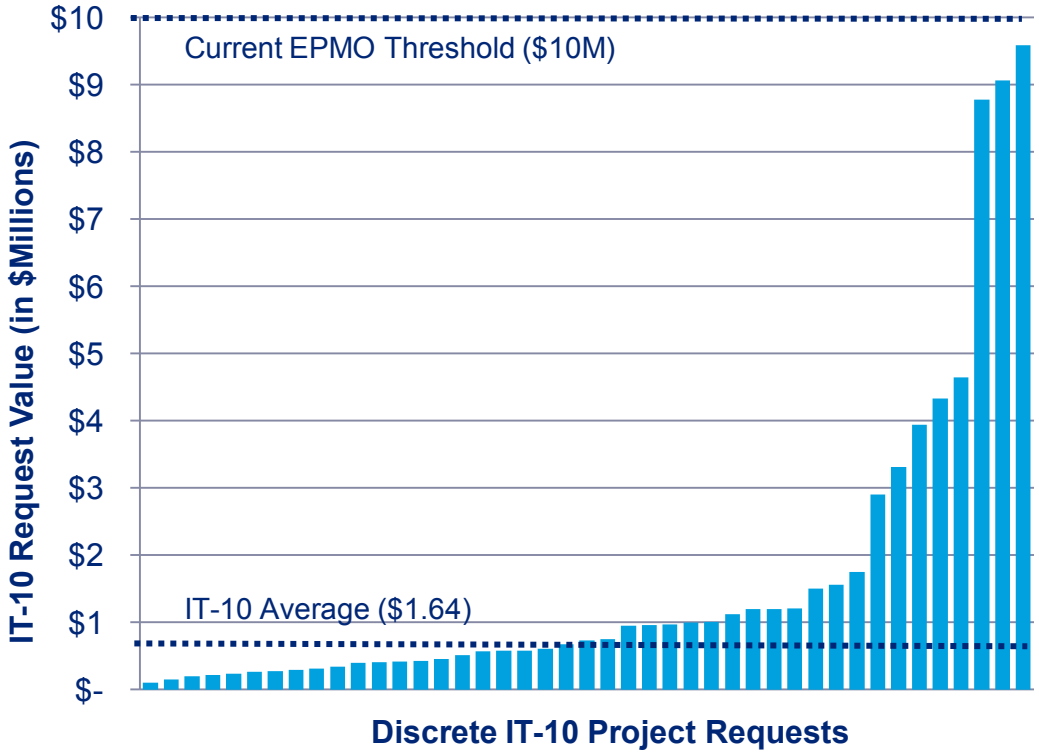


Project and Portfolio Management

The state is currently endeavoring into building an Enterprise Project Management Office to oversee IT projects. In the future, the function should include both portfolio and project management capabilities.

As part of their responsibility, the Portfolio management group will need to define the levels and gates for oversight. The average IT-10 amount for FY14 was $1.64M, and 60% of requests were between $250K-$1.5M.

FY14 IT-10s



Range	# of Projects	% of Total
Total	45	
$0-250K	6	13%
$250K - $1.5M	27	60%
$1.5- $3M	4	9%
$3-$5M	4	9%
$5- $7M	0	0%
> $7M	3	7%

Leading Governance Practices

IT Governance Objectives and Attributes

The IT Governance Institute identifies multiple objectives for IT governance:

Strategic Alignment	• Focus on aligning with the enterprise and collaborative solutions
Value Delivery	• Concentrate on optimizing expenses and proving the value of IT
Risk Management	• Address the safeguarding of IT assets, disaster recovery and continuity of operations
Performance Management	• Track project delivery and monitoring IT services and investments
Resource Management	• Optimize knowledge and IT infrastructure, resources and assets

Leading edge IT governance typically displays 10 key attributes:

1. Clarity of vision, purpose and goals
2. Executive sponsorship and buy in
3. A coherent framework for design and operations
4. Simplicity and transparency
5. Shared stakeholder understanding and buy-in
6. Adequate participation by business management
7. Pragmatic rollout process, with suitable change management
8. Tailored to decision-making style, management culture and practices of the enterprise
9. Performance tracking and continuous improvement
10. Portfolio management to increase impact of strategic investments

Orientation of Governance Structures

There are four ways IT governance organizations are typically structured. Orientation is often driven by organizational elements, maturity, and leadership needs.

Mission Based

- Governance is established around areas of the organization's mission. This provides a high level of attention to guiding IT's support to specific mission areas. This is typical of more decentralized models.
  - Public Safety
  - Education
  - Health and Human Services, etc.

Customer Based

Governance is established around specific constituencies. This provides a high-touch response that meets the needs of different IT users and providers. This is typical of organizations whose constutuencies are very different and often used in higher education.

- Citizens
- Agencies
- IT Service Providors
- Executive, Legislative, Judicial etc.

Service Based

- Governance is established around specific services. This provides emphasis on service management and quality. This is especially useful for less mature service organizations or outtasked service organizations..
  - GIS
  - Network
  - Applications
  - Infrastructure, Web, etc.

Domain Based

- Governance is established around specific domains. This provides emphasis on integration, coordination and standards. This is especially useful for organizations new to governance.
  - Data
  - Technology
  - Security
  - Services

Elements of IT Governance in Other States

Level of Centralization	• **Centralized**-Central state IT organization has authority over all areas of IT including assets, services, financial and human resource management, and operations (UT, ME, MI) • **Hybrid/Federated-**Authority for IT assets, services, financial and human resource management, and operations is distributed between the state IT organization and individual state agencies (MA, NY) • **Decentralized-** State agency CIOs have authority over all IT areas including assets, services, financial and human resource management, and operations (NC, KY)
Areas of Oversight	• **Strategy-**Designs overall IT strategy and direction in accordance with state business strategy (KY, MA) • **Investments**-Directs money and priorities for IT investment (GA, PA, VA) • **Standards**-Sets standards for domains including data, security, technology, and architecture (GA, MA, NY) • **Services**-Ensure enterprise services are the right services and are provided up to specific standards (CA, VA, MA) • **Project Specific**-Oversees large or important projects (CA, GA)
Level of Complexity	• **Streamlined-**One or two executive committees, all other decision making part of ongoing IT operations (UT, ME) • **Middle Ground**-A small number of oversight groups, specific areas of focus, regular cadence of handoffs (MA, CO, NY, MN, VA) • **Complex**-Many groups and sub-groups, many hand-offs and processes, many decision makers (KS, TX, PA)
CIO Selection/ Reporting	• **Governor**-CIO is appointed by the Governor and/or is a member of the cabinet (CA,MI) • **Agency**-Appointed by an agency head, CIO reports within an agency such as Budget, Finance and Administration etc. (MA, NY, ME) • **Other-** There is no CIO, or the CIO has an executive director type role, or responsibility is divided (KS, KY)

Elements of IT Governance Other States (Cont'd.)

Constituencies Included in IT Governance

- **IT Leaders and Managers**-IT service managers and leaders help drive IT governance (KS, MA, GA, PA)
- **Business Leaders-**Agency representatives serve in governance processes (NY, MI, TX)
- **Citizens-**Citizens provide oversight for state government IT, and review and prioritize enterprise-wide technology investments (VA, KY, KS)
- **Commissioners-**Select cabinet-level commissioners serve as members of governance groups to ensure continuity and congruence of IT strategies with agency business perspectives and the governor (PA, MN, CA)
- **Legislators-**Serve on the state's IT executive board to ensure congruence with legislative priorities (NC, MI)

Enabling Mandate

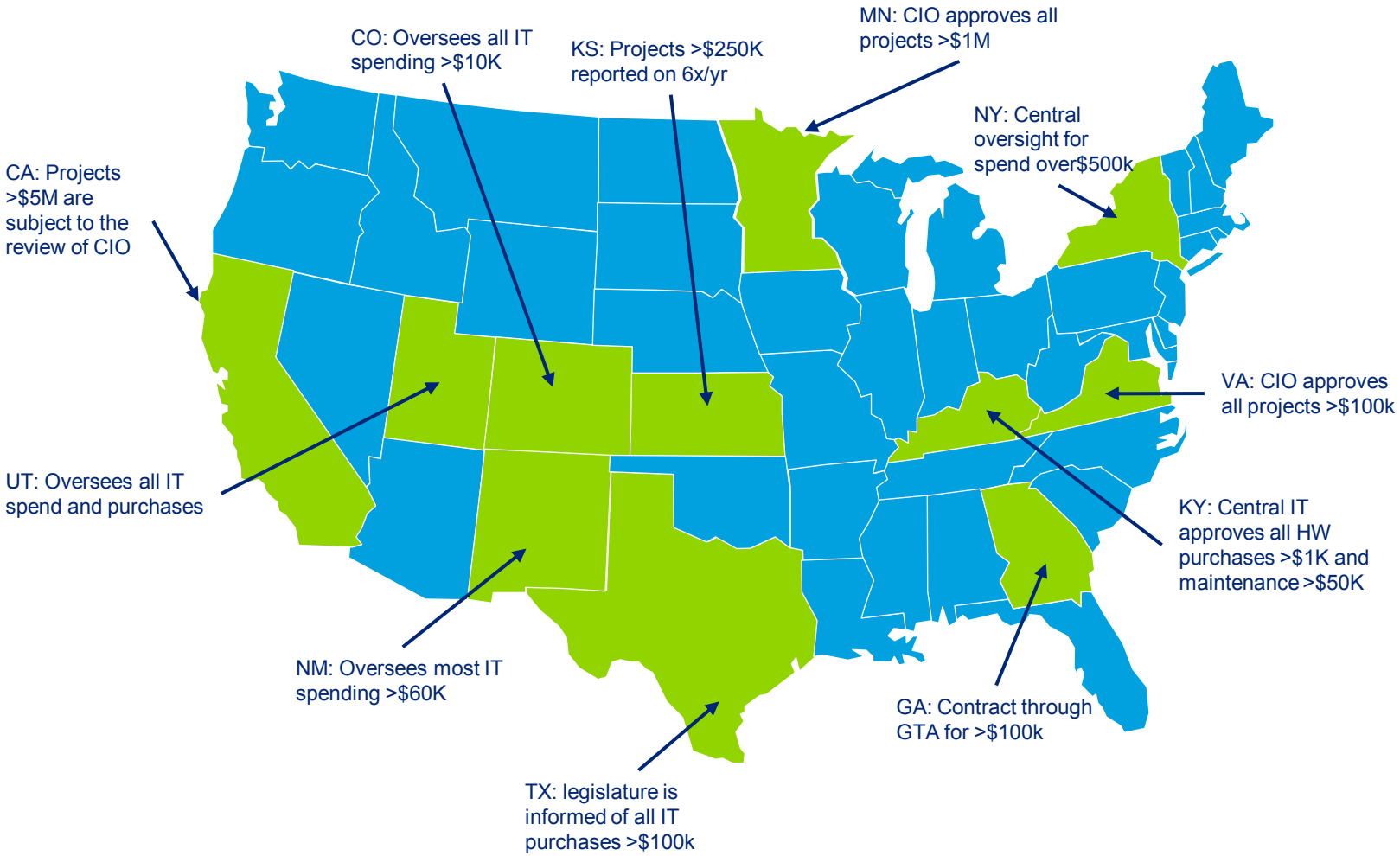
- **Executive Order-**Organization and its authority designated by Executive Order (MA, ME)
- **Legislation-**Organization and reporting relationships designated by legislation (UT, GA)
- **Hybrid-**Some elements of the organization and authority were enacted by executive order and others by legislation (KY, CO)

Enforcement

- **Strong Authority**-CIO and/or Governance boards have the authority to set and enforce IT standards (MN, MI)
- **Some Authority**-CIO and/or Governance boards have the authority to set and enforce some IT standards (MA, UT, CA)
- **Limited Authority**-There is limited authority to enforce standards (TX, KY)

Management and Financial Control Thresholds of Other States

Leading edge IT Governance often plays a significant role in financial oversight and control. As could be expected, different states use different models and thresholds for their governance organizations to manage IT purchases and project spending. To some degree, the models are driven by the level of centralization of the state. Below is a sampling of state rules for reporting and management of IT dollars as part of governance activities.



Recommended Governance Structures

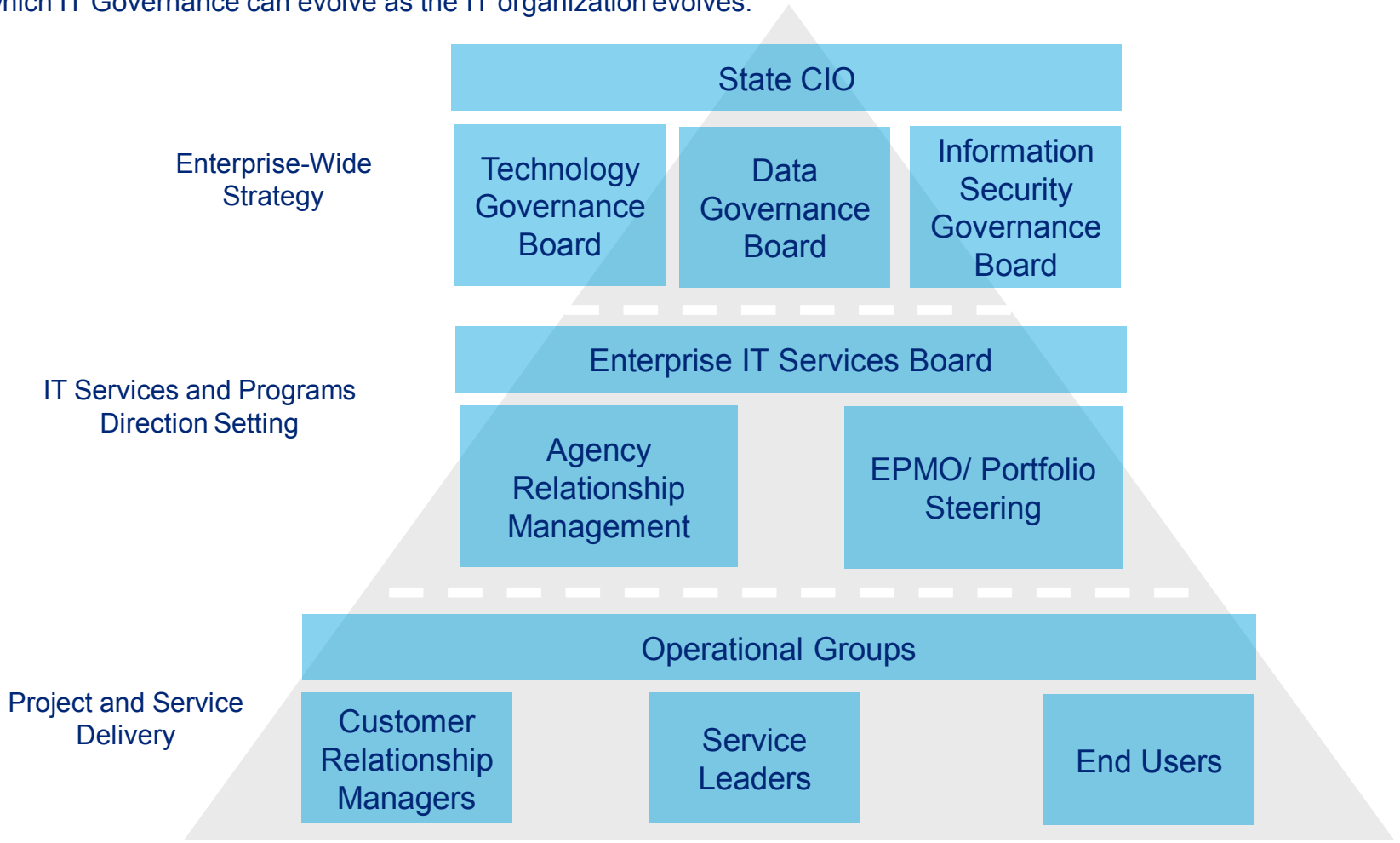
Core Team Workshop Results

The Core Team met on January 15, 2014 to discuss different elements of IT governance. The graphic below represents their sentiments about how IT governance could be structured in Louisiana. Blue checks represent group preferences.

						Comments
Orientation	Mission Based	Customer Based ✓	Service Based ✓	Domain Based ✓		• No majority opinion of orientation, preferences were 50% Customer and 40% Service, 10% Domain
Level of Centralization	Decentralized		Hybrid/Federated		Centralized ✓	• >75% agreed that centralized governance would help simplify and achieve better results
Areas of Oversight	Project Specific ✓	Services ✓	Standards ✓	Investments ✓	Strategy ✓	• There was unanimous agreement that each area should fall under the oversight of IT governance
Level of Complexity	Complex		Middle Ground ✓		Streamlined	• >75% of participants felt that the governance structure should have a few boards but not be overly complex
CIO Selection/ Reporting	Governor ✓		Agency		Other	• >75% of participants felt that the existing selection and reporting relationship for the CIO worked well
Constituencies Included in IT Governance	IT Leaders and Managers ✓	Business Leaders ✓	Citizens	Commissioners	Legislators	• >75% of participants felt that IT and business leaders should drive governance and 25% of thought inclusion of Commissioners could help
Enabling Mandate	Executive Order		Legislation		Hybrid ✓	• >75% of participants saw value in having a hybrid approach to making it administration proof but not inflexible or hard to change
Enforcement	Strong Authority ✓		Some Authority		Limited Authority	• Participants thought enforcement authority should be between (50%)Some and (50%) Strong

Proposed Model for Governance

While opinions of the group in terms orientation were mixed, the recommended model uses a domain based orientation to focus attention on core interoperability and collaboration, consistency and quality of IT services. This type of orientation will prove especially useful in early years of consolidation. The governance model sits on top of a customer oriented operating structure with relationship management/customer engagement as a core function. This model enables a wide scope of oversight and provides the necessary authority to enforce standards and drive IT effectiveness. It also creates a base from which IT Governance can evolve as the IT organization evolves.



Goals of the Proposed IT Governance Structure

Increase Performance

- Guide and monitor performance of the new IT organization
- Institute continuous improvement processes to reduce costs and improve effectiveness of IT projects and services

Leverage Investments

- Drive portfolio management with repeatable processes where agency business requirements can be identified, prioritized, and implemented using a limited set of funds and resources
- Establish standards to guide purchasing decisions

Increase Collaboration

- Establish a collaborative decision-making and management culture
- Facilitate appropriate processes and forums to identify sharing opportunities

Increase Visibility

- Enhance the simplicity and transparency of IT purchases, portfolio, services, rates and processes
- Institute timely reporting aligned with budget and strategy processes

Governance Dimensions of Future State Model

The future state IT governance model is driven by clear roles and responsibilities, lines of authority and definitive processes. The organization will not create meaningless overhead (when implemented correctly) and procedures are created to avoid politics and instead create clarity and direction. This is achieved by a defined set of tools to be used to support decision making.

Dimension	Observations
Roles, Responsibilities and Accountability	• CIO serves as steward of IT resources and strategist for IT direction • Executive roles (CTO, CDO, COO and CISO or Director level equivalents) support governance through leadership and expertise • Agencies communicate needs and drive requirements • Central IT delivers IT services balancing supply and demand with cost and efficiency • Individuals, groups and boards have clear roles and responsibilities, as well as decision making rights
Decision Making Bodies	• 3 domain oriented boards to drive standardization, interoperability and collaboration • 1 service oriented board to facilitate high quality service provision and effective customer engagement • Governance bodies are composed of IT and agency representatives
Processes	• Governance operates according to an annual cycle of processes including: strategic planning, budget development, portfolio planning and service planning • The IT-10 process is replaced with business relationship management processes at the operational level and agency representatives at the board level • The IT-0 is made obsolete with a consolidated IT budget and central spending authority
Tools	• Strategic Plan- Captures State of Louisiana business needs and uses them to drive IT direction • IT Strategic Planning Summit- Annually drives development of shared priorities and plans • Portfolio management- Enables holistic oversight and management of all IT assets and projects • Enterprise Architecture- Drives standards, interoperability, enables creation of a technology roadmap • IT Standards and Policies- Directs approach to managing, investing and retiring technologies
Enforcement	• Governance boards have enforcement mechanisms to support standards that are adhered to consistently • Governance processes create the opportunity for review and confirmation that standards are followed

Roles and Responsibilities for the Future State Model

In the future state structure, roles and responsibilities are clearly distinguished for the CIO and Governance boards, not just for IT operating groups.

	Agencies	Central IT	CIO	Governance Boards
IT Strategy and Vision	• Communicate needs	• Communicate needs and capabilities	• Directs strategy and vision	• Supports strategy and vision through standards and oversight
IT and Business Alignment	• Communicate needs	• Communicate needs and capabilities	• Ensures strategy and vision align with the business	• Supports alignment through standards and oversight
IT Budget, Resource Planning and Mgmt.	• Communicate needs	• Analyze current and forecasted budgets, service demands, service costs and planned projects	• Accountable for budget planning and development	• Informed of budget demands and gaps
Project Planning and Initiation	• Request projects and services	• Business Relationship Manager s gather project /service requests • Complete project request tool	• Has final authority to approve and deny projects in accordance with the portfolio goals	• Has authority to approve and deny projects in accordance with the portfolio goals and standards
Portfolio Management	• Request projects and services	• EPMO manages the portfolio in accordance with CIO and Board guidance	• Establishes direction of the portfolio • Accountable for portfolio results	• Supports portfolio success through oversight, guidance and enforcement
Active Project Status Review	• Engaged in status review of relevant projects	• Conducts status reviews as part of on-going project operations	• Reviews a monthly dashboard to gain insights into projects and support course correction	• Reviews a monthly dashboard to gain insights into projects and support course correction
Standard Definition and Maintenance	• Communicate needs	• Maintains inventory of assets to facilitate decision making • Develops enterprise architecture and roadmap	• Directs strategy and vision	• Set and enforce standards in accordance with strategy and architecture • Approves exceptions
Service Delivery Management	• Communicate needs	• Provides IT services and engages customers as part of operations	• Accountable for quality of service delivery	• Provides oversight as to effectiveness of service delivery
Vendor Management	• Only on rare grandfathered/ existing contracts	• Mange vendors for all contracts	• Reviews monthly dashboard of contracts and provides guidance for troubled projects	• Reviews monthly dashboard, provides guidance for troubled projects, ensures contract compliance with standards
IT Risk Management	• Escalate risks	• Conducts status reviews as part of on-going project operations	• Reviews a monthly dashboard to gain insights into and manage risks	• Reviews a monthly dashboard to gain insights into risks and support course correction as necessary
Ops Monitoring and Reporting	• Complete customer surveys	• Conduct service management, monitoring and reporting	• Reviews a monthly dashboard to gain insights into and support service provision	• Reviews monthly dashboard, provides guidance as to service needs and improvements and course correction as necessary

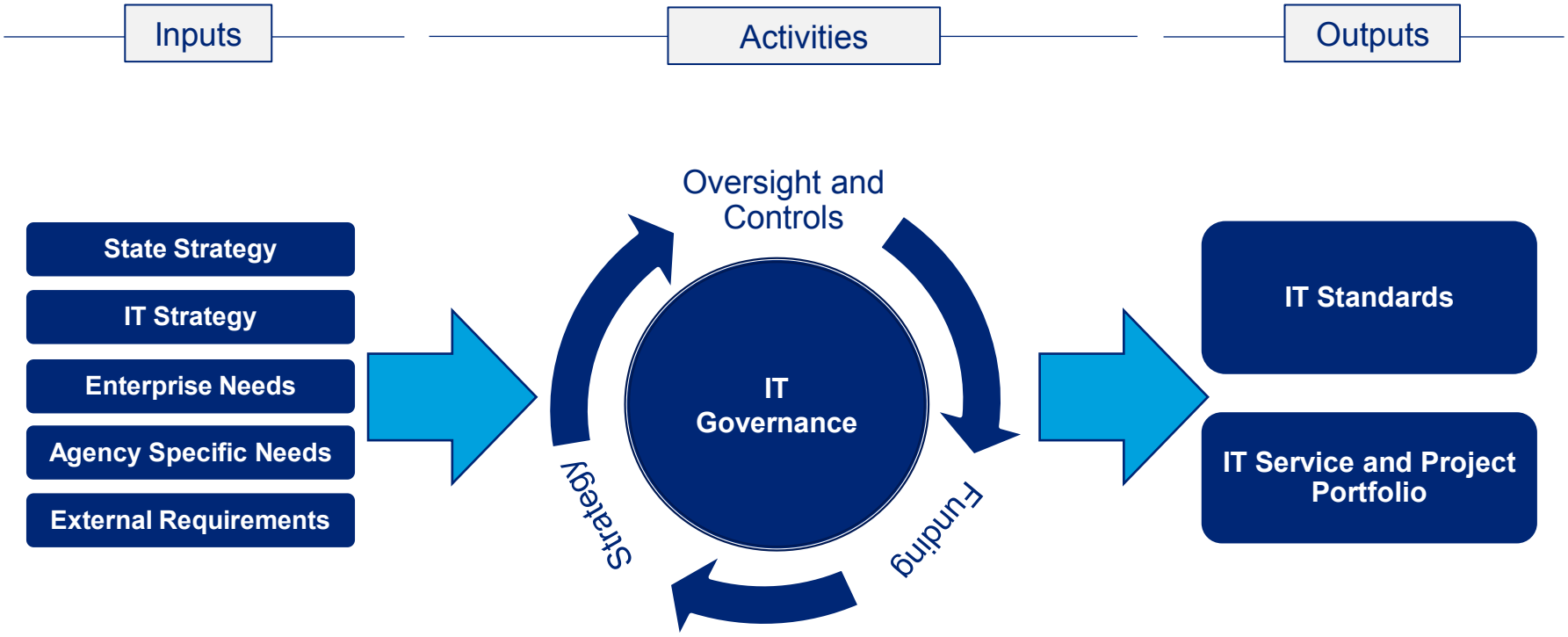
IT Governance Board Details

The table below details the role and composition of the proposed governance structure. The enterprise PMO supports the Governance Boards from an operational perspective and helps facilitate coordination across groups. A key element of the new governance structure is that the boards contain both IT and agency representatives to help drive mutually beneficial strategies, standards and solutions

Board	Charter and Select Responsibilities	Proposed Membership	Example Oversight
Technology Governance Board	**Technology Strategy and Innovation** • Provide oversight around investments in emerging technologies and technology roadmap implementation • Set and approved technology policies and standards • Provide oversight of compliance with enterprise architecture • Review technology impacts of large projects	• Chief Technology Officer/Enterprise Architect (chair) • Select Service Leaders • Agency Business Representatives • Total: 5-7	• Develop enterprise approach to cloud solutions • Evaluate new Medicaid system against technology architecture
Data Governance Board	**Data and Information Management Systems** • Review and approve data management strategy, standards and policy • Promote/ facilitate intra and inter-agency, cluster and enterprise data sets and sharing opportunities • Advocate for stakeholder data needs and concerns	• Chief Data Officer (chair) • Select Service Leaders • Agency Business Representatives • Total: 5-7	• Cross-reference agencies with data areas to identify sharing opportunities • Establish common protocols for storing data
Security Governance Board	**Information Security and Privacy** • Review and approve security architecture, standards and policy • Promote/facilitate security, risk management and compliance practices State-wide, including data and physical assets • Consult on implementation of information security protocols • Advocate for Advocate for stakeholder privacy needs and concerns	• Chief Information Security Officer (chair) • Select Service Leaders • Agency Business Representatives • Total: 5-7	• Create security standards around —Bring Your Own Device" • Evaluate implications of large proposed and procured systems
Enterprise IT Services Board	**Customer advocacy and service quality oversight** • Provide approval and recommendation of service offerings • Review and provide feedback on rate setting and transparency • Receive customer feedback, take corrective actions to improve quality of service • Provide decision making on IT portfolio of services and projects	• COO/IT Operations Leader (chair) • Chief Technology Officer • Agency Business Representatives • Service Rate Setting SME • Total: 7-9	• Oversee remediation of an underperforming service • Evaluate feasibility of providing a service in house vs. using a vendor

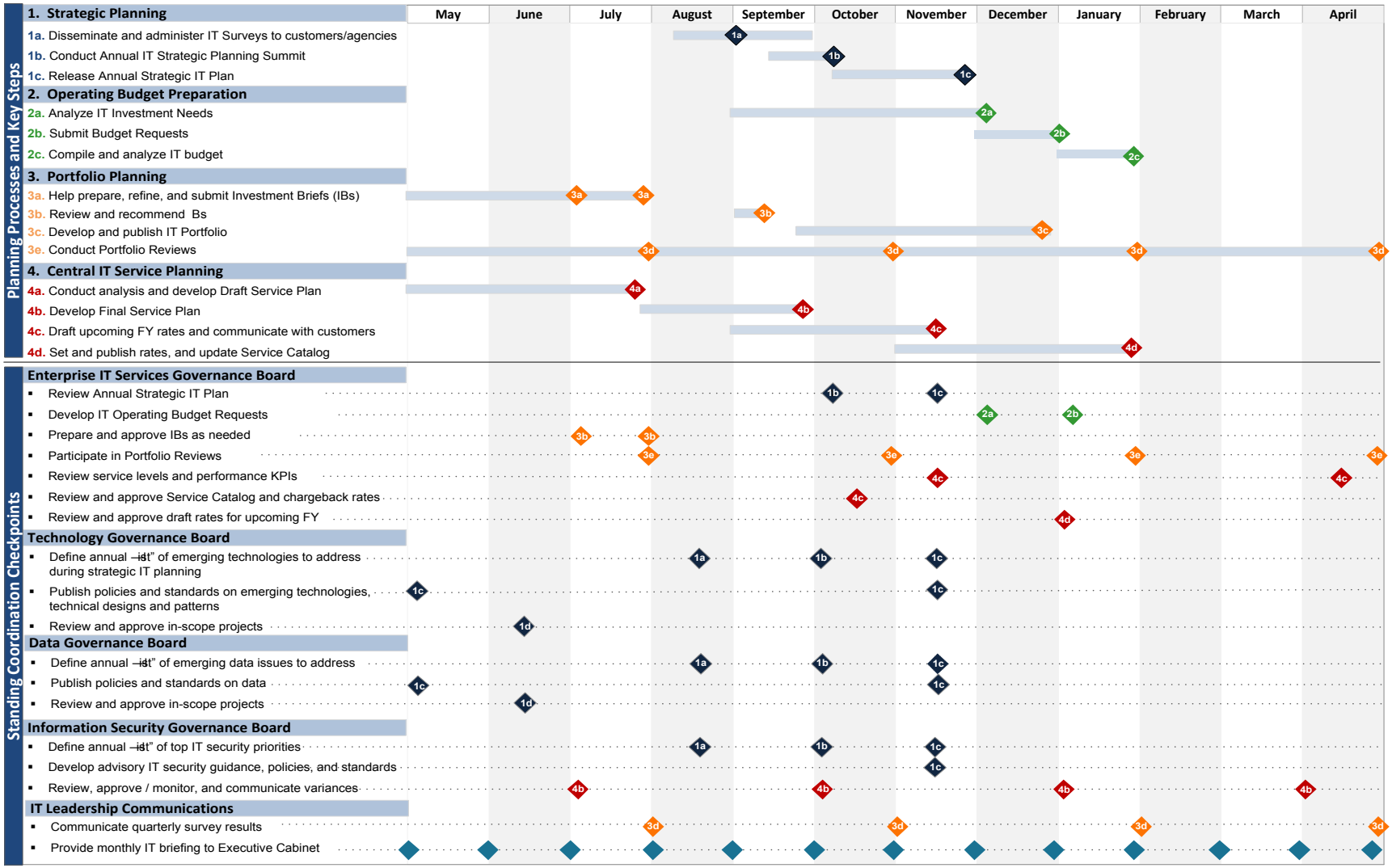
IT Governance Inputs and Outputs

The intention of the proposed Governance structure is not to create overhead, rather to produce real outputs based on concrete inputs. The graphic below highlights the inputs into the governance activities and the desired outputs.



Annual Governance Coordination Cycle

The future state governance structure enables cross-agency collaboration, allows for holistic development of the State's IT project portfolio and earlier identification of shared service opportunities. It will have a comprehensive collaborative budget environment that aligns key stakeholders with both statewide (top-down) and agency-level (bottom-up) priorities.



Key Elements of the IT Coordination Cycle

The future state governance structure is supported by key processes and specific artifacts that enhance coordination and make decisions actionable.

IT Strategic Planning Summit

An annual day-long gathering of business and IT leadership where annual IT priorities are established

- Central IT/agencies prepare IT surveys to capture plans
- All agencies can participate and communicate their priorities
- Summit provides an opportunity for agencies to
- Participants work together to prioritize investments, review priority projects, and align IT plans with the State's strategic goals.
- The result is a set of enterprise and service goals, as well as prioritized projects that support those goals

IT Strategic Plan

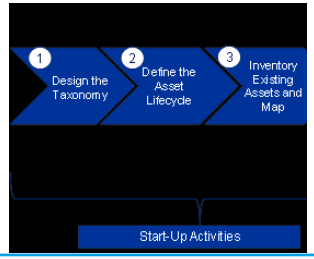
A budget aligned process that takes place annual to align goals and directs investments, this is the next step out of the Summit

- The plan identifies service and project priorities for agencies, clusters and the enterprise, results of the previous years plan and any ongoing initiatives
- Annual strategic planning results in a more tactical approach and enables better connection between strategy and the portfolio

IT Standards and Policies

A set of guidelines about what should be purchased, maintained and retired; they support interoperability, consistency and reuse

- Established by Boards for their respective domain areas
- Standard setting has both start up and on-going activities



IT Portfolio

Governance intersects with IT portfolio management in setting strategy and providing intervention/correction, as needed

- Governance boards direct the strategy to which the IT portfolio is aligned
- Different spending and investment levels trigger specific oversight or intervention activities by IT governance (see appendix)
- As project size increases and the level of involvement from governance boards

Implementation Considerations

One of the factors most critical and often forgotten when implementing IT governance is proper training and communication about how the new governance model works.

Leading edge organizations combat this challenge using a number of tools:

- **IT Governance Guidebook**-Can be used as a tool to communicate to the IT organization (especially project managers and agency technology users) about IT governance. The Guidebook serves as a desktop reference for engaging with the IT governance process.

- **IT Governance Website/Collaboration page**-Provides on-going and up to date information, process flows and details about how IT governance works. Once governance is operational, it provides meeting agendas, archives of decisions etc.

- **IT Consolidation Communications**: As part of the overall IT Consolidation communications approach the IT Consolidation Communications provides specific communications to relevant groups.

Recommended Policy Changes

Recommendations	Policy Area		
	1	2	3
IT Governance Establishment—Revise policies to bring IT governance groups into existence, clarify their purpose and oversight domains.	■	■	■
IT Governance Retirement—Revise policies establishing existing IT governance groups (IT POL 1-02 for Info Security Governance and Act 409 for GIS Council)		■	■
Controls and Enforcement—Endow new governance groups with authority for enforcement and ability to take corrective action. Without enforcement, IT governance boards become almost exclusively advisory groups		■	■
Oversight Thresholds—Develop policies that enable appropriate levels of oversight for IT governance groups based on specific criteria		■	■
Standards—Enable IT governance boards to establish and enforce standards based on legislative or executive mandate; require agencies to follow established IT standards except when exempted through established processes	■		
CIO Reporting Relationship—Consider making CIO a cabinet level position to enable IT to take amore strategic role in the state and enable regular cabinet level discussions and stakeholder engagement around IT	■		■
IT-10—Retire the use of the IT-10 process in light of an operational / relationship-based approach to generating requirements and understanding IT purchasing needs and use of IT Summit prep surveys to generate annual requirements and BRM processes/templates to file on-going requests	■	■	
IT-0—Retire the use of the IT-0 process in favor of an annual cycle of portfolio and strategic planning driven budgeting; use IT Summit preparation survey process for gathering agency IT needs/plans	■	■	

Legend

1 Strategy 2 Standardization 3 Enforcement

Appendix

Detailed Board Charters and Selection Criteria

Charter – Enterprise IT Services Governance Board

Mandate

Guide the portfolio of IT services, associated service levels, and development and dissemination of transparent chargeback rates. Provide oversight and control to ensure most successful provision of services.

Key Responsibilities

Standardization

- Provide approval and recommendation of service offerings
- Review and provide feedback on service catalogue rate setting and transparency

Advisory

- Provide decision making on IT portfolio of services and projects
- Receive customer feedback/requirements advise on corrective actions to improve quality of service, enhance services, or out task services
- Support definition of large scale new services and guidance for when services could be delivered more effectively

Enforcement

- Review services delivery to ensure compliance with service level agreements and service quality metrics
- Provide highest level feedback channel for customer relations
- Approve rare exceptions to service standards and central service provision

Decision Inputs & Outputs

Inputs

- Usage and service monitoring reports
- Agency needs
- Chargeback rate calculations
- Service level reports/KPIs
- Customer satisfaction reports/surveys
- Escalated services issues/risks/change
- Best practices/lessons learned from other organizations

Outputs

- IT Services Identified, Defined, Changed or Retired
- Approved IT Service Catalogue
- Rate structures approved
- Service Level Agreement remediation review and management
- Monitoring Dashboard
- Accountability measures

Charter – Technology Governance Board

Mandate

Drive technology strategy and innovation through enterprise technology architecture and technology standards; Support efficient use of and effective investment in technology resources.

Key Responsibilities

Standardization

- Provide oversight around investments in emerging technologies and technology roadmap implementation
- Guide development of IT Architecture and Technology Lifecycle standards

Advisory

- Disseminate policies and standards and educate users
- Identify and evaluate new consolidation, efficiency, and rationalization opportunities
- Identify and evaluate new and emerging technologies and their applicability to Louisiana
- Coordinate with Information Security Board regarding requirements and new tools and with Data Governance Board regarding data needs
- Validate whether or not initiatives were completed to specification

Enforcement

- Review systems and projects to ensure compliance with IT standards and enterprise architecture
- Approve rare to technology and architecture standards

Decision Inputs & Outputs

Inputs

- IT asset inventory
- Escalated infrastructure issues/decisions
- Emerging technology research
- Best practices and lessons learned from other organizations

Outputs

- Enterprise technology architecture, lifecycles, standards and policies
- Technology reuse, improvement and interoperability opportunities
- Standards exception reports

Charter – Data Governance Board

Mandate

Provide guidance and recommendations on how the State should govern and manage data and data management systems to improve the efficiency and effectiveness of state government, citizen service delivery and policy-making.

Key Responsibilities

Standardization

- Develop standards for data integration, management, consistency and quality
- Coordinate dataset inventory and classification

Advisory

- Disseminate policies and standards and educate users
- Identify process and legal obstacles to data sharing, and develop mitigation strategies
- Identify cross application and cross agency data sharing opportunities
- Coordinate with Information Security and Technology Governance Boards regarding security requirements and tools respectively

Enforcement

- Review systems and projects to ensure compliance with data standards
- Reduce roadblocks around interoperability and data sharing among agencies
- Approve rare exceptions to standards

Decision Inputs & Outputs

Inputs

- Inventory of existing agency and enterprise data sets
- Forthcoming data requirements
- Escalated data governance issues/decisions
- Best practices and lessons learned from other organizations

Outputs

- Enterprise Data Governance Framework (initial output)
- Enterprise data management policies and processes
- Enterprise data storage and retention policies
- Enterprise data sharing opportunities
- Standards exceptions reports

Charter – Information Security Governance Board

Mandate

Develop information security and privacy standards and policies in coordination with other State, Federal, and Local authorities to protect State-wide information and technology assets.

Key Responsibilities

Standardization

- Develop security standards for the use and protection of information and assets

Advisory

- Provide oversight to ensure the proper use of information, to protect that information from internal and external threats
- Disseminate policies and standards and educate users
- Identify and evaluate new threats and risks
- Design the appropriate response to breaches.
- Coordinate with Technology Governance Board regarding security tools and with Data Governance Board regarding data requirements

Enforcement

- Review systems and projects to ensure compliance with standards
- Review security breaches and responses
- Approve rare exceptions to standards

Decision Inputs & Outputs

Inputs

- LA, Federal and Local Security standards
- Agency and Project Security and Privacy Requirements
- Escalated Security Governance issues/decisions
- Penetration Test results, Security Audit and Breach reports
- Best practices and lessons learned from other organizations

Outputs

- Enterprise security and privacy policies
- Enterprise security and privacy procedures
- Security project reviews
- Security breach reviews

Proposed Board Member Selection Criteria

Criteria		Technology	Data Governance	Information Security	IT Services
Who is Board Chair?		CTO	CDO	CISO	COO
How many members sit on the board?		5-7	5-7	5-7	7-9
At a minimum, how often will the board meet initially?		Weekly	Weekly	Weekly	Weekly
At a minimum, how often will the board meet once stable?		Monthly	Monthly	Monthly	Monthly
Target Composition (Composition across boards can be established so that a range of agencies has representation)	Enterprise Leadership	1	1	1	1
	IT	2-3	2-3	2-4	3-4
	Agency Program	1-2	2-3	1-2	3-4
	Finance	1	1	1	1
	Audit	0	0	1	1
How long are the **appointment terms**?		2	2	2	2
What **viewpoint/approach** should be prevalent?		Technical / Strategic	Technical / Strategic	Technical / Tactical	Business / Tactical
Weight of importance of members from **large agencies**?		Med	Med	Low	High
Importance of members from agencies with large and complex **data portfolios?**		Low	High	Low	Low
Importance of Members from agencies with high **IT capability**?		High	Med	Med	High
Importance of members **with different business drivers and needs?**		Med	Med	Low	High

Approach to Selecting Board Members

The process of selecting Board Members should be as a political as possible, using established criteria and a defined and inclusive process can help create the right approach.

Initial Selection Process

- Identify decision rights owner: who has final say on board member composition
- DOA and CIO build candidate pool by soliciting suggestions from
  - Cabinet
  - DOA
  - CIO
  - CXOs (if named)
  - Existing Agency CIOs
  - Other agency business leaders
- DOA and CIO compile potential board rosters
- Designated approver garners approval

Replacement Selection Process

- Board builds candidate pool by soliciting suggestions from:
  - DOA
  - CIO
  - CXOs
  - Other agency business leaders
- Board compiles list from the pool
- Designated approver garners approval

Governance Thresholds

Setting Thresholds for IT Governance Involvement

In order to facilitate effective flow of information to the proposed governance groups, the State should establish meaningful and objective thresholds for escalation to the various Governance Boards, and EPMO. Below is described an approach for developing such a set of thresholds and some sample threshold metrics that may be used.

Develop decision types

- Develop a list of decision types for each body
- Identify participants for each decision type

Identify thresholds

- Identify threshold types for each decision type
- Thresholds can be financial or based on other criteria
- Consider past escalations and project risks and impacts of thresholds to overall organization

Finalize thresholds

- Document and communicate thresholds

Continuous improvement

- Regularly analyze thresholds and decision types for applicability

Topic	Decision Type	Sample Decision Thresholds
Architecture & Standards	Setting corporate-wide standards	• Architecture modification affects entire organization • Architecture modification affects 1 isolated project
	Localized exception approval request	• Project is critical to strategic goals • Project has high cost net run-rate as of date
	Project not adhering to enterprise standards	• Non-adherence to standards has enterprise-wide risks • Project has high cost net run-rate as of date • Project is critical to strategic goals
	Core development methodology change	• Methodology change affects entire IT organization • Methodology change affects 1 project that is critical to business and is expected to generate $1M
Risk / Security/ Compliance	Regulatory Compliance	• External compliance issue that has negative PR • External compliance issue with regulatory violations
Service Delivery	Emergency request for new service addition	• Critical Service affecting multiple customers • Service generates revenue > $1M and client is strategic
Organization / Sourcing	Vendor Contract Issues	• Issue affects delivery of critical projects (high revenue and strategic)
	Vendor Contract Issues	• Issue affects services and loss to end customers • Huge monetary loss (>$1M) due to cost discrepancies
	Supplier Risk Management	• Supplier risk leads to security/privacy issues that causes negative PR • Supplier risk leads to regulatory violations
	Staff Attrition	• Issue affects delivery of critical projects (high revenue and strategic)
Business Alignment	Project Approval	• Portfolio aligned project – aligned to strategic goals with budget >$500K • Project outside portfolio – required for critical client needs