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# State of Minnesota IT Governance Framework

June 2012

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# Introduction

## IT Governance Overview



IT governance exists to inform and align decision making for information technology planning, policy and operations in order to meet business objectives, ascertain that risks are managed appropriately and verify that resources are being used responsibly and strategically.

Because information technology services account for significant capital and operational expenses in most organizations - including the State of Minnesota - the formal processes within a governance framework ensure that business requirements ultimately drive planning decisions for the development and management of information technology

resources. Formalizing governance processes also helps ensure that technology and business leaders are in agreement on what is an appropriate level of risk in the information technology that powers day-to-day operations.

Within the executive branch of the State of Minnesota, there is compelling reason in May 2012 for a new governance framework for IT decision making, one that clarifies the relationship between the newly centralized information technology organization and its customers and consumers and that serves as a companion to the new comprehensive service agreements that represent the customers' most active role in IT priorities and delivery strategies.

This document represents and outlines an information technology (IT) governance framework for the State of Minnesota that meets the unique needs of those government customers at the same time that it provides the structure to manage successfully a complex IT environment through a single executive branch IT organization, and results in services that add value to, and make successful the business of government.

## Process for Developing the New Framework

In December 2011, a working team of MN.IT Services Central and agency-based staff was formed to research and develop governance recommendations for the State CIO, who has the ultimate statutory responsibility for devising and managing a comprehensive IT governance framework to meet the unique needs of the State of Minnesota and its recently consolidated technology agency.

When developing its recommendations, the project team took into consideration best practice research that was published by recognized leaders, including the IT Governance Institute, the Massachusetts Institute of Technology, and the International Standards Organization. The team also reviewed existing IT governance practices that were used by individual state agencies, by other states, and by MN.IT Services prior to consolidation.

In addition, governance requirements and strategies have been discussed with business leadership through MN.IT Services' strategic planning process and through input from the Technology Advisory Committee since its formation in December 2011.

The following governance framework is being issued by State CIO Carolyn Parnell based on the above input and recommendations. The framework is, by its nature, a living document that will be adjusted as processes change and mature, the new centralized IT organization and the roles within it solidify, and as additional needs are identified.

# Management of the Governance Process

The goal of governance is to facilitate agile, effective and transparent decision making. This requires consistent and timely communications. Stakeholders that may be impacted by decisions must have a way to know what decisions are in queue at any given point in time and understand how to provide feedback.

To facilitate this process, MN.IT Executive Team members will serve as chairs of most governing bodies with an appointed agency CIO as a co-chair. This provides a direct link from governance decision as described in this framework to the State CIO and to operational decisions that are made at MN.IT's Executive Team level (operational decision making for the MN.IT organization and its agency-based offices is not described in the IT Governance Framework).



Overall coordination and communication of all governance activity will be managed by the Standards and Risk Management Division.

## Communications

Communications of governance processes and outcomes will be shared not only with the IT community but with business leadership affected by the management of state information technology. Regular governance communications regarding key governance activity, policies and decisions will be published on the MN.IT public website, and reported to key leadership groups that regularly meet for information sharing (e.g., cabinet meetings, deputies meetings, chief financial officers meetings, etc.).

For more targeted customer communications, agency-based CIOs will play a primary role in keeping agency management informed of IT governance decisions that will affect IT services and projects, and will serve as the primary contact for agency-based IT planning and the resulting comprehensive service agreements.

# Minnesota IT Governance Framework

In total, there are eight formal governing bodies within the Minnesota IT Governance Framework separated across three IT governance categories that distinguish their roles: Vision, Planning, and Technology Operations Alignment.

| Governance Categories                  |  |
|--|--|
| Governance Category                    | Description  |
| <b>Vision</b>                          | Governance bodies that ensure that the state technology vision includes input from, and state IT leadership has access to best practices from entities within and outside state government.  |
| <b>Planning</b>                        | Governance bodies that exist to facilitate key planning activities, such as strategic and tactical planning and coordination of significant service strategy decisions. These bodies rely on input from many other governance bodies in both the Vision and Technology Operations Alignment categories.      |
| <b>Technology Operations Alignment</b> | Governance bodies that coordinate decisions for highly strategic and often specialized IT disciplines, such as information security and architecture. A primary goal of bodies in this category is the creation of policies and standards to improve the efficiency and effectiveness of IT enterprise-wide. |

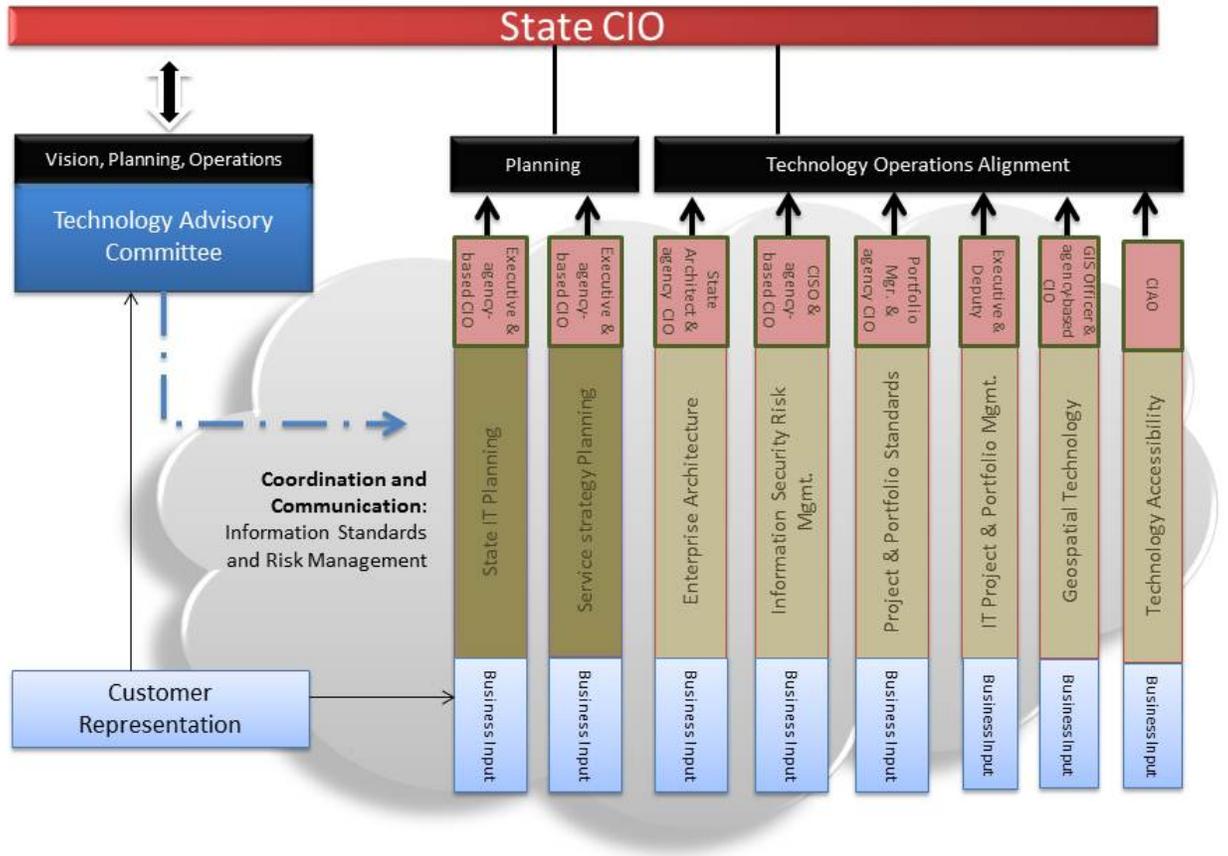
The table below describes each governing body and its decision-making authority, expressed in RACI terminology (responsible, accountable, consulted, and informed).

| Governing Bodies by Category             |                               |  |                 |
|--|-------------------------------|--|-----------------|
| Governance Category                      | Governing Body                | Description  | Decision Rights |
| <b>Vision, Planning &amp; Operations</b> | Technology Advisory Committee | Legislatively mandated committee representing government business leadership and external partners (see below), established to provide advice to the State CIO on a variety of governance levels   | Consulted       |
| <b>Vision</b>                            | Informal advisory committees  | Informal advisory bodies and groups to the State CIO in order to inform the vision for State IT. Such ad hoc groups may include legislators, private sector colleagues and/or experts, employees, and other groups such as the Governor's sub-cabinet on Better Government and | Consulted       |

| Governance Category             | Governing Body  | Description   | Decision Rights |
|---------------------------------|---|---|-----------------|
| Planning                        |   | the legislatively created Commission on Service Innovation.   |                 |
|                                 | State IT Planning Committee                             | Forum to promulgate long-range information technology plans to support the business needs of government customers.  | Responsible     |
|                                 | Service Strategy Committee                              | Forum to recommend modifications to the state IT service portfolio and review performance of existing services and customer-facing processes.                         | Responsible     |
| Technology Operations Alignment | Enterprise Architecture Committee                       | Forum to establish and promulgate IT architectural policies and standards for the executive branch.   | Responsible     |
|                                 | Information Security Risk Management Committee          | Forum to recommend information security policies, standards, and planning initiatives.  | Responsible     |
|                                 | Enterprise Project and Portfolio Standards Committee    | Forum to increase project management rigor and standards statewide to reduce the number of projects unable to achieve their stated objectives                         | Responsible     |
|                                 | IT Project and Portfolio Management Oversight Committee | Forum to select, prioritize and stage MN.IT Central and enterprise technology projects for execution and to recommend changes to or cancellation of existing projects | Responsible     |
|                                 | Geospatial Technology                                   | Forum to recommend geospatial policies, standards and priorities for the executive branch   | Responsible     |

The following diagram provides an overview of this governance structure, the relationship among groups, and the participation channels for customers within the formal process. These bodies – and the role of the customer in governance - are described in more detail in subsequent chapters.

# IT Governance Framework Structure



# IT Governance Framework: Primary Roles

## Role of the State CIO

Enabling legislation for the MN.IT Services holds the State Chief Information Officer accountable to state leadership and agency programs for all information technology direction, strategy, resources and activity in the executive branch of Minnesota state government.

The State CIO exercises this responsibility in a collaborative manner within the framework of this governance model and in consultation with the Governor and agency leadership.

## Role of the Technology Advisory Committee

2011 enabling legislation for the MN.IT Services established the Technology Advisory Committee (TAC) with broadly defined responsibilities that combine elements of all three categories of governance: **Vision**, **Planning** and **Technology Operations Alignment**.

State law outlines the membership of the TAC, as well as the persons that are responsible for appointing those members. The TAC serves in a consultative capacity to the State CIO. Many of the decisions and recommendations made by other governing bodies will be presented and/or reported to the TAC for input.

The TAC's role is further defined in a subsequent chapter.

## Role of the Customer

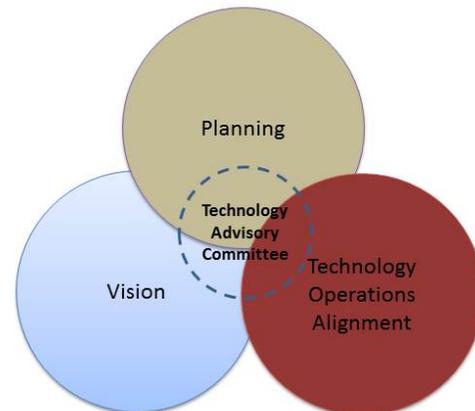
### Agency-based IT planning and Service Level Agreements

The customers of IT services – the business leaders of Minnesota government (particularly state agencies) – have a critical role in the governance process for information technology. Primarily, the customer is concerned with *what* IT delivers, how IT will meet program needs, and how well IT performs.

The customer's most prominent role, therefore, is depicted in the diagram below as Customer Strategic Planning, the ongoing internal planning between customer leadership and IT service managers (agency-based CIOs, in the case of state agencies), to determine the technology needs for given projects, priorities, programs and annual budgets. The result of this planning process is a Comprehensive Service Level Agreement that outlines the agency's IT services.

The Comprehensive Service Level Agreement is designed to articulate the needs and expectations of individual customers in terms of services, service levels, metrics and processes for setting priorities and managing changes. Determination of the agreement's terms is based on an ongoing relationship between agency business leadership and the agency-based CIO. Together, they determine the IT needs of the agency based on business strategic planning. The CIO serves as the responsible party for ensuring that the resulting MN.IT services – regardless of their sourcing – are satisfactory to the needs of the customer.

Role of the Technology Advisory Committee



Details of the service agreement are not included in this framework.

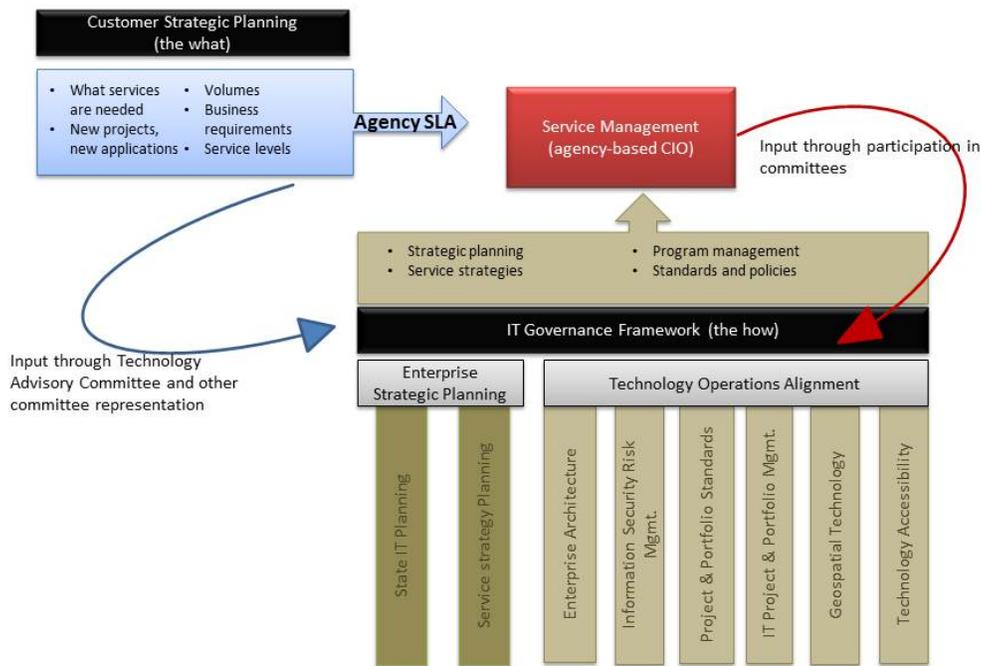
**Representation in Formal Governance**

The customer also has an important role in the more formal governance process that informs the strategy, direction and operations of MN.IT Services.

- State agency customer leadership have majority representation on the Technology Advisory Committee, with additional representation by county leadership
- Customers have an active role in the strategic planning and service strategy teams
- Customers – leadership and SMEs - have representation on the Technology Operations Alignment teams that dictate *how* services are delivered

The agency-based CIOs are a vital partner to their customers within the IT Governance Framework. The CIO plays a dual role at all levels of formal governance: a) representing the needs and plans of their agency customers within both MN.IT’s enterprise strategic planning and the operational decision making within the framework, and b) interpreting IT governance decisions to the agency customer and making sure that the services and projects that are delivered by the agency-based operations meet the customers’ needs while adhering to the standards and policies that apply.

Role of the Agency Customer in IT Decision-Making Framework



# IT Governance Framework Decision Making Process

While the State CIO remains solely accountable to both customers and stakeholders for all information technology direction, policy and strategy in the executive branch, the new Minnesota IT Governance Framework reflects the changes in roles and responsibilities brought on by consolidation and adopts strategies to ensure customer business leadership participation and buy-in.

- Governing bodies in the Minnesota IT Governance Framework will include a diverse set of representatives from various stakeholder groups impacted by the decisions of that body. When appropriate, these bodies will represent both IT (internal to MN.IT Services) and business functions (agency-level and enterprise-level business leadership).
- The Technology Advisory Committee (TAC) will serve as the most diverse governance body both in representation (including business leadership, employee representation, local government representation, and private sector expertise), and in scope of advice and consultation.
- No body in the Minnesota IT Governance Framework works in a vacuum. Instead, they rely on input from the cross-pollination of other governing bodies within the framework.
- The State CIO will maintain a flexible governance process, particularly in the areas of Vision and Planning, that will allow the right-time consultation with subject matter expertise, stakeholders and industry experts, and the formation of additional formal or informal groups in a fashion that improves the decision-making process and the outcomes for the State's IT.

## Decision Rights

Critical components of an IT governance framework are the clear definition of decision rights and a process by which decisions are made. Particularly in large organizations, multiple governing processes and bodies are created to focus on specific activities or decisions, both strategic and operational. A framework outlines the roles and relationships among these groups.

The State of Minnesota's IT governance framework utilizes the Responsibility Assignment Matrix to define decision rights. Roles in this decision-making framework, commonly referred to as a RACI Matrix, fall into one of four distinct categories: Responsible (R), Accountable (A), Consulted (C), or Informed (I). The table below describes each of these roles.

**Responsibility Accountability Matrix Role Definitions**

| RACI Role              | Role Description  |
|------------------------|---|
| <b>Responsible (R)</b> | Those that do the work to fulfill the deliverables. A responsible person or persons get their authority from the individual that is accountable. In the Minnesota IT Governance Framework, the State Chief Information Officer delegates responsibility to the teams in this framework.   |
| <b>Accountable (A)</b> | The <b>one</b> person that has ultimate decision-making authority and is answerable for the correct and thorough completion of deliverables. This person can delegate responsibility for completion of the deliverables to others, but remains accountable. In the Minnesota IT Governance Framework, the State Chief Information Officer is solely accountable to both customers and stakeholders for all IT decisions and activities in the State of Minnesota. |
| <b>Consulted (C)</b>   | Those whose opinions are sought, typically subject matter experts and advisors. There is two-way communication between individuals that are consulted and those responsible.  |
| <b>Informed (I)</b>    | Those that are kept up to date on progress, often only on completion of the deliverables.   |

# Vision, Planning and Operations Governance

The 2011 Minnesota Legislature created the Technology Advisory Committee (TAC) to provide advice to the State Chief Information Officer. Under current law, the TAC serves the State CIO in a consultative capacity.

The scope of this body’s advisory role as outlined in law is quite broad. In fact, the TAC is the only body in the Minnesota IT Governance Framework with a scope that spans all three governance categories: Vision, Planning, and Technology Operations Alignment.

As depicted in the table below, the TAC has nine members, representing the broad interests of state agencies, local government, the private sector, and labor.

| The Technology Advisory Committee |  |             |                                   |                    |
|-----------------------------------|--|-------------|-----------------------------------|--------------------|
| Attribute                         | Attribute Description  |             |                                   |                    |
| <b>Purpose:</b>                   | Advise the State CIO on a wide array of matters, outlined in state law   |             |                                   |                    |
| <b>Chair:</b>                     | Elected By Members   |             | <b>Co-Chair:</b>                  | Elected By Members |
| <b>Governance Category</b>        | Vision ✓   | Planning ✓  | Technology Operations Alignment ✓ |                    |
| <b>Decision Authority:</b>        | Responsible  | Accountable | Consulted ✓                       | Informed           |
| <b>Decisions:</b>                 | The Technology Advisory Committee is a consultative body   |             |                                   |                    |
| <b>Membership:</b>                | The committee has a total of nine members, as follows: <ul style="list-style-type: none"> <li>• Six members from state agencies that are involved in business planning</li> <li>• One county representative</li> <li>• One labor union representative</li> <li>• One member representing private industry</li> </ul> |             |                                   |                    |
| <b>Meetings:</b>                  | Bi-monthly   |             |                                   |                    |

## Defined Processes

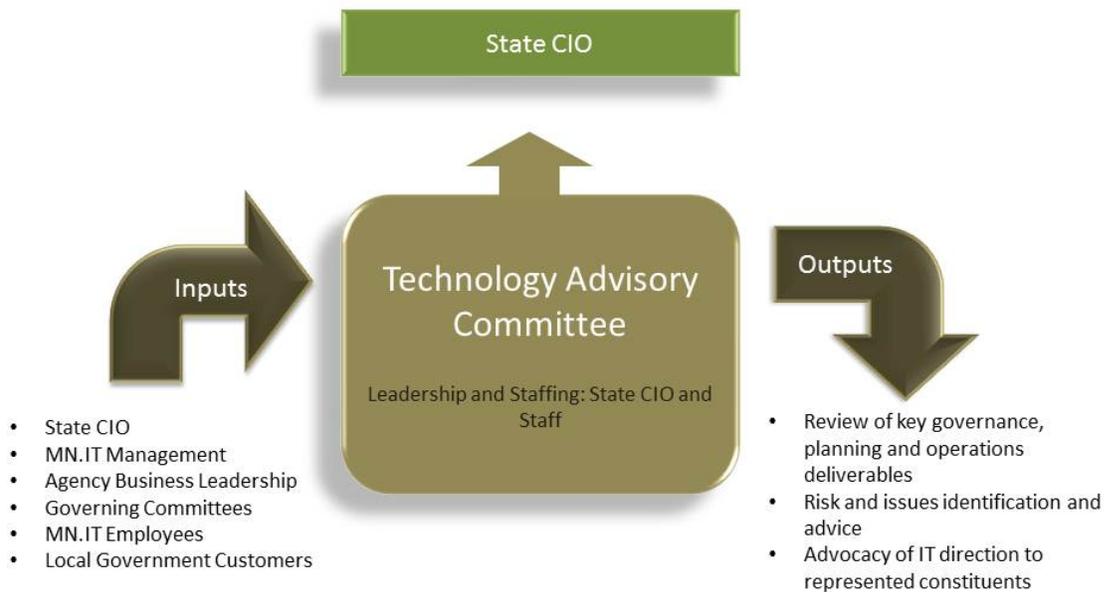
2011 enabling legislation for the Technology Advisory Committee requires this body to advise the State CIO on a broad array of topics including, but not limited to:

- Development and implementation of the state information technology strategic plan
- Critical information technology initiatives for the State
- Standards for state information architecture
- Identification of business and technical needs of state agencies
- Strategic information technology portfolio management, project prioritization, and investment decisions
- MN.IT’s performance measures and fees for service agreements with executive branch agencies
- Management of the state enterprise technology revolving fund
- The efficient and effective operation of the office

The TAC meetings and agenda are managed by the Office of the State CIO. Meeting notices and minutes are published on the MN.IT website.

To fulfill its diverse statutory responsibilities, the TAC will conduct ongoing meetings to gain an understanding of and provide insight into key technology decisions. Agendas for TAC meetings will include regular reports on governing activity and decision points as well as significant management decisions that do not flow through governance, such as budgeting and rate-setting of IT services.

Recognizing that the TAC is a new governing body, the processes necessary to align and integrate the TAC meeting agendas with other decision making processes within the Framework will evolve and mature over time.



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## Visioning Governance

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The State CIO is ultimately accountable for developing a technology vision and implementing strategic and tactical plans to achieve that vision. To be successful, the State CIO has the latitude within this governance framework to gather input from technology visionaries and industry expertise from both inside state government and the private sector, and to consult regularly with government leadership at the state, local and federal levels. Consultation can be informal – attendance, presentations or updates to existing groups and individuals – or formal through the creation of working teams and/or advisory groups.

This informal input complements and supplements the vision role provided by the Technology Advisory Committee (TAC).

### Example of Vision in Action

In parallel to the development of this governance framework (December 2011 – April 2012), the State CIO led the process to craft the five-year State of Minnesota Master Plan that outlines the technology strategies for the executive branch. In the process, the State CIO convened and consulted a variety of constituencies on a regular basis throughout the three-month planning process to ensure that, in the midst of consolidating all IT staff and budgets to a single organization, the long-term goals and priorities of IT would meet the best interests of the new organization's business customers and the intent of the legislators and Governor in mandating consolidation.

In addition to consultation with the Technology Advisory Committee, the State CIO and staff held a series of "listening sessions" with agency CIOs, other state IT management, state IT employees, and agency leadership to gather ideas and review drafts. The State CIO also consulted with an ad hoc committee of legislators and with the Governor and Chief of Staff. Regular updates on the planning process were provided to commissioners, deputies, and CFOs through the regular meetings of those constituencies and through email, and a dialog with state IT employees was maintained on the new State IT intranet.

The State CIO also actively sought advice and examples from colleagues at the National Association of State CIOs (NASCIO) and locally based corporations with IT operations of a similar size to state government.

# Planning Governance

The Minnesota IT Governance Framework establishes two governing bodies to help MN.IT Services establish strategic priorities and oversee its portfolio of information technology services. The IT Strategic Planning Committee will review and approve long-range strategic enterprise plans, including the Minnesota IT Master Plan as required by statute. This long-term planning view will be complemented by a Service Strategy Committee, which will help identify shared service opportunities and vet changes to existing services in the State’s technology portfolio.

## IT Strategic Planning Committee

### Committee Role

The overarching goal of the IT Strategic Planning Committee is to align information technology with state agency business needs. To foster this alignment, the committee includes representatives from the MN.IT Services as well as members that provide a customer line-of-business perspective. The committee is chaired by the State’s lead IT Planning Executive and is co-chaired by an agency-based MN.IT CIO. The committee includes leadership representation from customers in the executive branch and beyond, emphasizing the importance of technology and business alignment.

Primary responsibility of the IT Strategic Planning Committee is to review and approve two key planning activities:

- The State of Minnesota IT Master Plan: The Master Plan outlines the five-year goals, priorities and strategies for information technology in the State. This plan is required by statute to be updated and reported on every two years.
- The State IT Strategic Plan: a plan that describes how IT should be managed and delivered, the strategic plan focuses on the organizational priorities and strategies that will deliver the required outcomes for information technology as outlined in the Master Plan.

### The IT Strategic Planning Committee

| Attribute           | Attribute Description   |                             |                                 |          |
|---------------------|---|-----------------------------|---------------------------------|----------|
| Purpose:            | Approve long-range information technology plans to support the business needs of government customers.  |                             |                                 |          |
| Chair:              | IT Planning Executive   | <b>Co-Chair:</b> Agency CIO |                                 |          |
| Governance Category | Vision  | Planning ✓                  | Technology Operations Alignment |          |
| Decision Authority: | Responsible ✓   | Accountable                 | Consulted                       | Informed |
| Decisions:          | <ul style="list-style-type: none"> <li>• Approve IT Strategic Plan</li> <li>• Approve IT Master Plan</li> </ul>   |                             |                                 |          |
| Membership:         | The committee has ten members, representing both IT and customer business leaders: <ul style="list-style-type: none"> <li>• Deputy State CIO</li> <li>• IT Planning Executive</li> <li>• Customer Service Executive</li> <li>• Two agency-based CIOs</li> <li>• Four members from state agencies who are involved in business planning, such as deputy commissioners, assistant commissioners, or program directors</li> <li>• One local government representative</li> </ul> |                             |                                 |          |
| Meetings:           | Series of weekly or bi-weekly meetings, when activated  |                             |                                 |          |

Committee Process

The IT Planning Executive is responsible for driving the information technology planning processes.

Though the committee approves the final plans, most of the detailed work will be the responsibility of Planning Division staff. For example, to gain an understanding of business needs, the IT Planning Executive will assemble appropriate work teams to gather planning input from a wide array of customer stakeholders, information technology professionals, and members of other governing bodies in the Minnesota IT Governance Framework. The IT Planning Executive will organize and present deliverables from the work teams to the committee for feedback.

On the recommendation of the committee, the MN.IT Services will publish the plans under the signature of the State CIO, signifying acceptance at the highest level in state government. The IT Planning Committee will provide annual updates to each plan, thereby ensuring that the State always has a relevant long-term technology vision.

With assistance from other members of the Executive Team, the lead Planning Executive in the MN.IT Services will develop and implement tactical plans to implement the long-term strategies, including guidelines for IT planning at the level of individual agency offices.

The IT Planning Committee will be activated only when specific planning deliverables require direction and input.

Relationship To Other Governance Groups

Input: The IT Planning Committee will use input from various governing groups, including the Technology Advisory Committee, to meet its deliverables.

Output: Strategy decisions made in the planning process will impact other governing bodies, particularly those in the Technology Operations Alignment category. For example, a strategic decision to embark in a specific technology direction may necessitate the creation of one or more projects to execute the strategy, along with additional architecture and security work.



## Service Strategy Committee

### Committee Role

The true value of information technology is realized through the strategic organization and management of a comprehensive IT service portfolio that includes all IT activity, both centrally provided and agency-based. Within the Minnesota IT Governance Framework, a Service Strategy Committee exists to inform and recommend an approach to the portfolio as a whole and strategies for individual service delivery. Strategies they will address include:

- The addition of new shared or common services to the portfolio
- The retirement of services from the portfolio
- Business cases and timelines for service delivery (shared vs. unique) and/or sourcing changes to individual services
- Business cases for major upgrades to key common services
- Review of service level agreements and performance metrics for shared services in the portfolio.

The planning horizon for the Service Strategy Committee generally ranges from one to three years. The table below summarizes the purpose, decisions and membership of the Service Strategy Committee.

| Service Strategy Committee |  |                  |                                 |            |
|----------------------------|--|------------------|---------------------------------|------------|
| Attribute                  | Attribute Description  |                  |                                 |            |
| Purpose:                   | Approve modifications to the state IT shared service portfolio and review performance of shared services and customer-facing processes.  |                  |                                 |            |
| Chair:                     | Customer Service Executive   | <b>Co-Chair:</b> |                                 | Agency CIO |
| Governance Category        | Vision   | Planning ✓       | Technology Operations Alignment |            |
| Decision Authority:        | Responsible ✓  | Accountable      | Consulted                       | Informed   |
| Decisions:                 | <ul style="list-style-type: none"> <li>• Approve proposals for the development, redesign or retirement of shared IT services</li> <li>• Approve service requirements and service level agreements for shared IT services</li> <li>• Recommend service opportunities to the IT Planning Committee</li> </ul>  |                  |                                 |            |
| Membership:                | The committee has a total of eleven members, as follows: <ul style="list-style-type: none"> <li>• Customer Service Executive</li> <li>• IT Service Portfolio Manager</li> <li>• Lead Financial Executive</li> <li>• Three agency-based CIOs</li> <li>• Five members from state agencies that are involved in business planning, such as deputy commissioners, assistant commissioners, or program directors</li> </ul> |                  |                                 |            |
| Meetings:                  | Monthly  |                  |                                 |            |

### Committee Processes

The Customer and Service Management Executive is responsible for driving service strategy planning processes.

Though the committee approves the final plans, most of the detailed work will be the responsibility of IT Service Portfolio Management Division staff.

Based on the IT Strategic Plan and various other inputs, the IT Service Portfolio Management staff creates and submits service proposals for the development, modification or retirement of specific IT

services within the State’s IT service catalog. Service proposals clearly define the business case and service description, along with information about service availability, capacity, security and recoverability. For new services, information in service proposals also provides a foundation for subsequent design activities. The Service Strategy Team uses service proposal information to identify services that are best suited for operation as shared services and/or to determine optimal sourcing strategies.

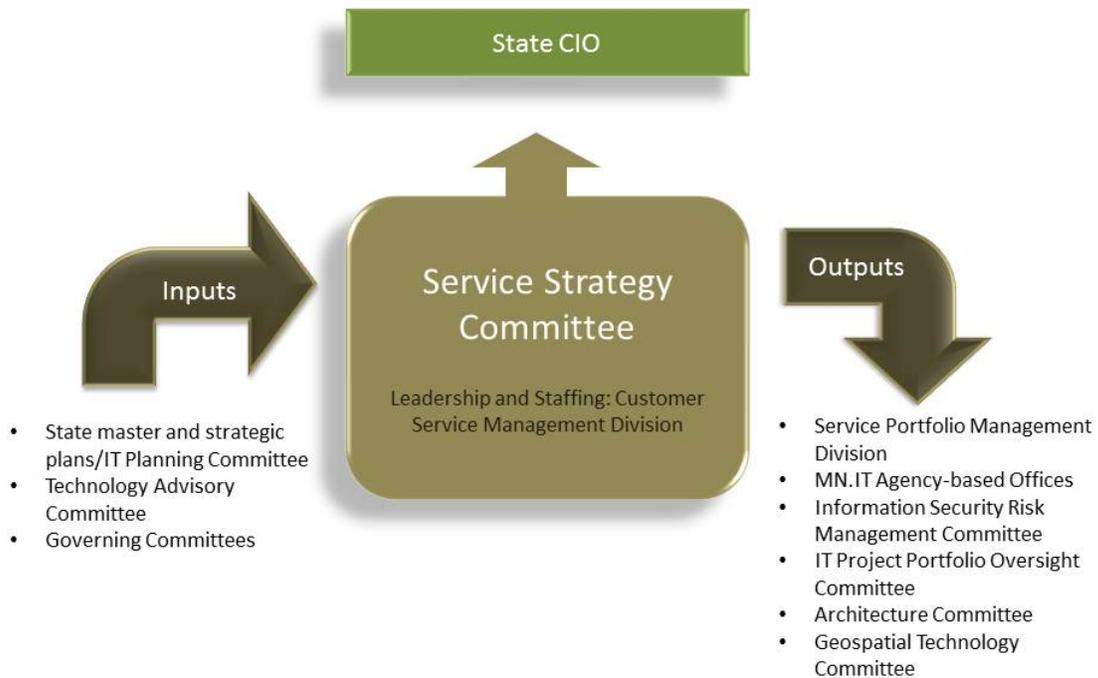
Once the Service Strategy Committee classifies a service change, the IT Service Portfolio Management function must prepare a service development project request to design and transition the service into production and/or manage the service change. The IT Service Portfolio Management function is responsible for defining core service features and performance expectations in a Service Level Agreement, which is subject to review by the Service Strategy Committee.

Key decisions of the IT Service Strategy Committee will be reported to the Technology Advisory Committee for input and feedback.

Relationship to Other Governance Groups

Input: Various governance groups in the Minnesota IT Governance Framework, including the Technology Advisory Committee, will provide input to the Service Strategy Committee. In particular, strategic direction for IT services will come from the Strategic Planning Committee.

Output: Service Strategy Committee decisions and activity will impact other governing bodies, particularly those in the Technology Operations Alignment category, including Architecture, Program Management, and Security.



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# Technology Operations Alignment Governance

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Information technology has been undergoing a period of profound change in which technology providers are increasingly becoming technology brokers. As a result, the internal operational side of information technology is rapidly changing roles and functionality as organizations turn to the cloud to externalize infrastructure operations, streamline back office processes, and focus on unique business applications. The Minnesota IT Governance Framework includes several governing bodies that are designed to align enterprise technology operations to this evolving service management and delivery model.

The Minnesota IT Governance Framework defines five governing bodies that will align technology operations across the executive branch:

- Enterprise Architecture Committee
- Information Security Risk Management Committee
- Enterprise Project and Portfolio Standards Committee
- IT Project Portfolio Management Oversight Committee
- Geospatial Technology Committee

## Policies and Standards Process for All Operations Committees

The Information Standards and Risk Management Executive is responsible for driving and coordinating policies and standards processes for all committees.

Policies and standards are the primary alignment tools of the Technology Operations Alignment committees. All of the above committees will have, as their primary responsibility, the development and vetting of the key policies in their area.

Each committee will initiate the development process by identifying and prioritizing areas in need of guidance. Committee Chairs will then drive the policy and standard development process, harnessing resources both within and outside MN.IT Services. After vetting by subject matter experts, committee chairs will present proposed policy or standard drafts to their respective committees for approval as an official state policy or standard.

Policies and standards recommended by Technology Operations Alignment governing bodies will be published under the signature of the State CIO, signifying acceptance by the individual that bears ultimate authority for information technology in the State of Minnesota. Policy and standard exception requests will be reviewed and approved at the committee level.

For all technology operations alignment committees, decisions will require ratification by a simple majority of the members. A quorum of at least two thirds of the members must either be present or vote by proxy.

## Enterprise Architecture Committee

### Committee Role

Minnesota has an enterprise architecture framework that includes business, information and service architecture components. When fully implemented, this framework will highlight important interrelationships between business processes and the underlying technologies that support those processes. The framework will also help the State simplify its technology footprint and avoid development of systems and technologies that are duplicative, incompatible, and unnecessarily costly to maintain and integrate.

As depicted in the table below, the eleven member committee is chaired by the State Enterprise Architect and includes representatives from both business and information technology. To emphasize the

importance of aligning architectural decisions with business needs, the co-chair of the committee will be a member who is a recognized subject matter expert in the business architecture domain.

**Enterprise Architecture Committee**

| Attribute           | Attribute Description   |   |                                   |          |
|---------------------|---|---|-----------------------------------|----------|
| Purpose:            | Establish and promulgate IT architectural policies and standards  |   |                                   |          |
| Chair:              | State Enterprise Architect  | <b>Co-Chair:</b> Business Domain Member |                                   |          |
| Governance Category | Vision  | Planning                                | Technology Operations Alignment ✓ |          |
| Decision Authority: | Responsible ✓   | Accountable                             | Consulted                         | Informed |
| Decisions:          | <ul style="list-style-type: none"> <li>• Approve IT architectural policies and standards</li> <li>• Approve exceptions to IT architectural policies and standard</li> <li>• Approve architecture initiatives for consideration by the IT Planning Committee</li> </ul>  |   |                                   |          |
| Membership:         | The committee has a total of eleven members, as follows: <ul style="list-style-type: none"> <li>• State Enterprise Architect</li> <li>• Information Standards and Risk Management Assistant Commissioner</li> <li>• Service Delivery Assistant Commissioner</li> <li>• Assistant Commissioner of Agency Support (finance)</li> <li>• Two agency-based CIOs</li> <li>• One member from state agencies that are involved in business planning, such as deputy commissioners, assistant commissioners, or program director</li> <li>• Four members with expertise in enterprise architecture domains: business architecture, information architecture, applications architecture, and technology architecture</li> </ul> |   |                                   |          |
| Meetings:           | Monthly   |   |                                   |          |

Committee Processes

The State Enterprise Architect is responsible for driving Enterprise Architecture planning and policy processes.

Though the committee approves the final output, most of the detailed work will be the responsibility of Architecture Division staff.

The Enterprise Architecture Committee will follow the policies and standards process outlined above.

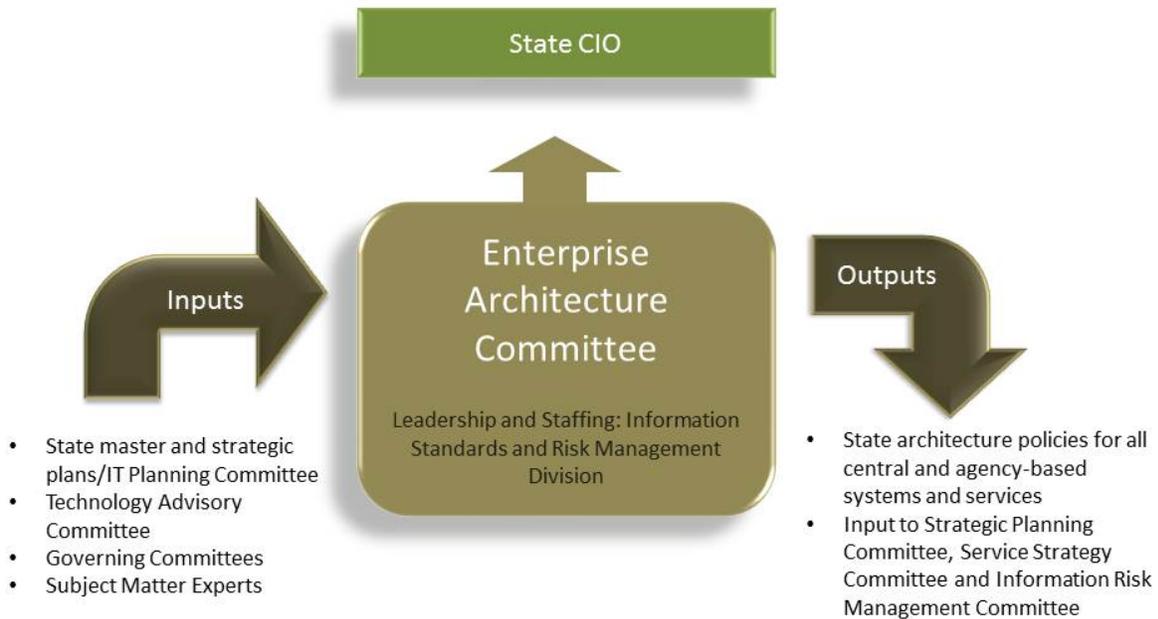
In addition to approving policies and standards, the Enterprise Architecture Committee will review and vote on exception requests at its monthly meetings.

Relationship to other Governance Groups

Input: Architecture activity will be driven by the State’s master and strategic plan and by the Service Strategy Planning.

Output: Primary outputs of this committee are the state architecture policies to be adhered to in the design and implementation of all central and agency-based systems and services.

Ideas to advance information technology through enterprise architecture initiatives will be forwarded to the IT Planning Committee for consideration. The Enterprise Architecture Committee will also provide input into other Technology Alignment Operations committees and the Service Strategy Committee.



## Information Security Risk Management Committee

### Committee Role

In 2006, the Office of Enterprise Technology initiated an Enterprise Security Program to fulfill cyber security duties outlined in the state law that makes the State CIO responsible for defining cyber security policies, standards, and guidelines for the executive branch. The State CIO also has authority to install and administer security systems. In order to implement the Enterprise Security Program and appropriate security systems, the State CIO delegates security-related responsibilities to a Chief Information Security Officer (CISO).

The Information Security Risk Management Committee will help ensure that key security decisions include input from both security professionals and stakeholders impacted by committee decisions. As depicted in the table below, the committee will be chaired by the State CISO and co-chaired by an agency CIO.

### The Information Security Risk Management Committee

| Attribute           | Attribute Description  |                  |                                   |            |
|---------------------|--|------------------|-----------------------------------|------------|
| Purpose:            | Approve information security policies, standards, and planning initiatives.  |                  |                                   |            |
| Chair:              | State CISO   | <b>Co-Chair:</b> |                                   | Agency CIO |
| Governance Category | Vision   | Planning         | Technology Operations Alignment ✓ |            |
| Decision Authority: | Responsible ✓  | Accountable      | Consulted                         | Informed   |
| Decisions:          | <ul style="list-style-type: none"> <li>• Approve enterprise information security policies and standards</li> <li>• Approve exceptions to enterprise security policies and standards</li> <li>• Approve security initiatives for consideration by the IT Planning Committee</li> </ul>  |                  |                                   |            |
| Membership:         | The committee has a total of 11 members, as follows: <ul style="list-style-type: none"> <li>• State Chief Information Security Officer</li> <li>• Information Standards and Risk Management Assistant Commissioner</li> <li>• Service Delivery Assistant Commissioner</li> <li>• Assistant Commissioner of Agency Support</li> <li>• Two agency-based CIOs</li> <li>• One member from state agencies that are involved in business planning, such as deputy commissioners, assistant commissioners, or program directors</li> <li>• One member with expertise in security governance, risk, and compliance</li> <li>• One member with expertise in information security operations and oversight</li> <li>• One member with expertise in data practices</li> <li>• One member with expertise in continuity of operations planning</li> </ul> |                  |                                   |            |
| Meetings:           | Monthly  |                  |                                   |            |

### Committee Processes

The State CISO is responsible for driving Information Security Risk Management processes for planning and policy.

Though the committee approves the final output, most of the detailed work will be the responsibility of Security Division staff.

The Information Security Risk Management Committee will follow the policies and standards process outlined above.

In addition to approving policies and standards, the Information Security Risk Management Committee will review exception requests at its monthly meetings.

To assess the effectiveness of policies and standards, the committee will review enterprise security metrics at its monthly meetings.

Relationship to Other Governing Bodies

Input: Security Risk Management activity will be driven by the State’s master and strategic plan with input from other governing committees, including the Service Strategy Planning Committee, the Architecture Committee, and the Project and Portfolio Management Committee.

Output: Primary outputs of this committee are the information security policies to be adhered to in the design and implementation of all central and agency-based systems and services, and to direct the monitoring and controls activities within state IT operations.

Ideas to advance information technology through enterprise security initiatives will be forwarded to the IT Planning Committee for consideration. The Information Security Risk Management Committee will also have input into other Technology Alignment Operations committees and the Service Strategy Committee.



## Enterprise Project and Portfolio Standards Committee

### Committee Role

As outlined in the table below, the Enterprise Project and Portfolio Standards Committee promulgates project and portfolio management policies and standards for use by all executive branch IT projects. Through the adoption of standards, the committee will increase project management rigor statewide and reduce the number of projects unable to achieve their stated objectives. Adoption of standards will also help MN.IT Services meet project oversight compliance requirements, outlined in state law. The success of the newly consolidated operations of MN.IT Services will be based in part on how well it delivers complex projects on time and on budget.

The committee will be chaired by the Project and Portfolio Standards Manager and co-chaired by an agency CIO.

### Enterprise Project and Portfolio Standards Committee

| Attribute           | Attribute Description  |                             |   |          |
|---------------------|--|-----------------------------|---|----------|
| Purpose:            | To increase project management rigor statewide and reduce the number of projects that do not achieve their stated objectives   |                             |   |          |
| Chair:              | Project and Portfolio Standards Manager  | <b>Co-Chair:</b> Agency CIO |   |          |
| Governance Category | Vision   | Planning                    | Technology Operations Alignment  |          |
| Decision Authority: | Responsible   | Accountable                 | Consulted   | Informed |
| Decisions:          | <ul style="list-style-type: none"> <li>Approve project and portfolio management policies and standards</li> <li>Approve exceptions to enterprise project and portfolio management policies and standards</li> </ul>  |                             |   |          |
| Membership:         | The committee has a total of 7 members, as follows: <ul style="list-style-type: none"> <li>Project and Portfolio Standards Manager</li> <li>Project Management Executive</li> <li>Project Management Office Leader</li> <li>Portfolio Management Office Leader</li> <li>Information Standards and Risk Management Assistant Commissioner</li> <li>One agency-based CIO</li> <li>One member from a state agency that is involved in business planning, such as deputy commissioners, assistant commissioners, or program directors</li> </ul> |                             |   |          |
| Meetings:           | Quarterly  |                             |   |          |

### Committee Processes

The Information Standards and Risk Management Executive is responsible for driving Enterprise Project and Portfolio Standards Committee activity and processes.

Though the committee approves the final output, most of the detailed work will be the responsibility of the Project and Portfolio Standards Manager and staff.

The Enterprise Project and Portfolio Standards Committee will follow the policies and standards process outlined above.

In addition to recommending policies and standards, the Enterprise Project and Portfolio Standards Committee will review exception requests at its quarterly meetings. The committee will also review the results of audits that assess compliance with project and portfolio management standards.

Relationship to Other Governing Bodies

Inputs: The Enterprise Projects and Portfolio Standards Committee will be driven by the state master and strategic plans as well as proven industry standards. Input will be received from other IT Governance Framework bodies and from subject matter experts.

Outputs: Standards set by the Project and Portfolio Standards Committee will be required for all state IT projects, including the projects managed by agency-based offices and the projects under the oversight of the IT Project and Portfolio Management Oversight Committee.



## IT Project and Portfolio Management Oversight Committee

### Committee Role

The IT Project and Portfolio Management Oversight Committee helps to select, prioritize, budget for and stage MN.IT Central projects for execution. This governing body also is responsible for approving changes to existing projects and sometimes authorizing the cancellation of projects. This is a formalization of the Projects Portfolio Management Review Team (PPMRT), now operating within the central MN.IT organization.

Initially, the committee will provide direction for projects under the management of MN.IT Services' central office. Agency-based MN.IT offices will continue to work with project and portfolio oversight functions in their respective agencies. In later stages of IT consolidation and when new project appropriations are directed to MN.IT, a decision may be made to bring all technology projects under the oversight of this committee.

As depicted in the table below, the MN.IT Project Management Executive will chair this committee with the Deputy CIO as co-chair.

### IT Project and Portfolio Management Oversight Committee

| Attribute                 | Attribute Description  |                             |                                   |          |
|---------------------------|--|-----------------------------|-----------------------------------|----------|
| Purpose:                  | Select, prioritize and stage enterprise technology projects for execution. Also, approve changes to or cancellation of existing projects   |                             |                                   |          |
| Chair:                    | Project Management Executive   | <b>Co-Chair:</b> Deputy CIO |                                   |          |
| Governance Category       | Vision   | Planning                    | Technology Operations Alignment ✓ |          |
| Decision Authority:       | Responsible ✓  | Accountable                 | Consulted                         | Informed |
| Decisions and Activities: | <ul style="list-style-type: none"> <li>Approve the selection, prioritization and sequencing of IT projects</li> <li>Approve major changes to existing projects, including the cancellation of projects</li> </ul>  |                             |                                   |          |
| Membership:               | The committee includes eight members, as follows: <ul style="list-style-type: none"> <li>Project Management Executive</li> <li>Project Management Office Leader</li> <li>Portfolio Management Office Leader</li> <li>Deputy CIO</li> <li>Customer Service Executive</li> <li>Information Standards and Risk Management Executive</li> <li>Service Delivery Executive</li> <li>The Assistant Commissioner for Agency Support</li> <li>The Assistant Commissioner for Planning and Communications</li> </ul> |                             |                                   |          |
| Meetings:                 | Biweekly   |                             |                                   |          |

### Committee Processes

The MN.IT Projects and Initiatives Executive is responsible for driving Enterprise Project and Portfolio Management Oversight Committee processes.

Though the committee approves the final output, most of the detailed work will be the responsibility of the Project and Portfolio Manager (PMO) and staff.

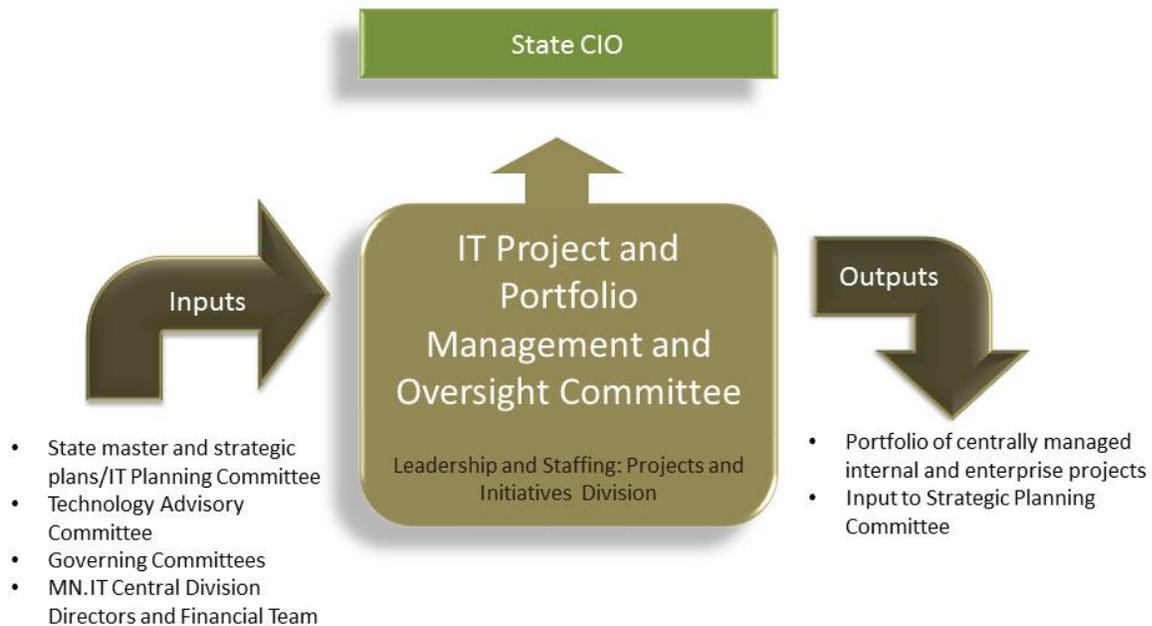
The IT Project and Portfolio Oversight Committee is the only technology operations alignment governing body that does not create policies and standards. Instead, it is a committee that meets regularly to provide executive level oversight of the entire portfolio of centrally managed projects.

At its biweekly meetings, the committee will be presented with metrics by project and portfolio managers to aid decision-making.

Relationship to Other Governing Bodies

Input: Decisions made by the IT Project and Portfolio Management Oversight Committee are typically driven by planning guidance that is promulgated by the IT Planning and Service Strategy Committees.

Output: Committee decisions and project updates for major enterprise projects in this portfolio determine the budgets and project portfolio of the organization. Decisions and updates will be regularly reported to the Technology Advisory Committee through the State CIO.



## Geospatial Technology Committee

### Committee Role

Minnesota law gives the Chief Geospatial Information Officer authority to identify, coordinate, and guide strategic investments in geospatial information technology systems, data, and services. Enabling legislation also establishes two advisory bodies to improve management of geospatial technology:

- A State Government Geospatial Advisory Council to advise the Chief Geospatial Information Officer about issues pertaining to state government
- A statewide Geospatial Advisory Council to advise the Chief Geospatial Information Officer about issues of importance to the entire state

Membership criteria and the appointment processes for both councils are defined in statute.

The Minnesota IT Governance Framework has created a third group, the Geospatial Technology Committee, to be the primary governing body for decisions and policies that impact the use of geospatial technology in the executive branch.

As depicted in the table below, the Chief Geospatial Information Officer will serve as the Chair of the Geospatial Technology Committee. The committee will be co-chaired by the chief information officer of an agency that places extensive reliance on geospatial technology.

### Geospatial Technology Committee

| Attribute           | Attribute Description   |                             |   |          |
|---------------------|---|-----------------------------|---|----------|
| Purpose:            | Approve geospatial policies, standards, and planning initiatives  |                             |   |          |
| Chair:              | Chief Geospatial Information Officer  | <b>Co-Chair:</b> Agency CIO |   |          |
| Governance Category | Vision  | Planning                    | Technology Operations Alignment <input checked="" type="checkbox"/> |          |
| Decision Authority: | Responsible <input checked="" type="checkbox"/>   | Accountable                 | Consulted   | Informed |
| Decisions:          | <ul style="list-style-type: none"> <li>• Approve geospatial policies and standards</li> <li>• Approve exceptions to geospatial policies and standards</li> </ul>  |                             |   |          |
| Membership:         | The committee has ten members, as follows: <ul style="list-style-type: none"> <li>• Chief Geospatial Information Officer</li> <li>• Information Standards and Risk Management Executive</li> <li>• State Enterprise Architect</li> <li>• Service Delivery Executive</li> <li>• One agency-based CIO</li> <li>• One member from a state agency that is involved in business planning, such as deputy commissioner, assistant commissioners, or program director</li> <li>• Three members with advanced geospatial expertise who serve on existing advisory councils</li> <li>• Assistant Commissioner of Agency Support</li> </ul> |                             |   |          |
| <b>Meetings</b>     | Monthly   |                             |   |          |

Committee Processes

The Chief Geospatial Information Officer is responsible for driving Geospatial Technology Committee processes and activity.

Though the committee approves the final output, most of the detailed work will be the responsibility of MNGeo staff.

In setting policies, the Geospatial Technology Committee will follow the policies and standards process outlined above.

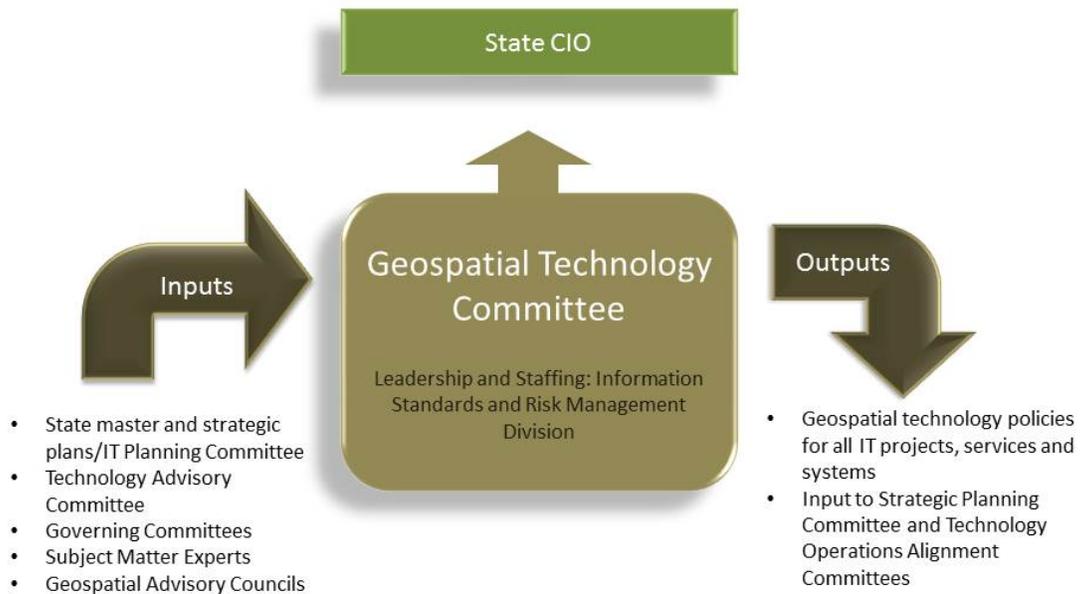
Though the Geospatial Technology Committee has authority to establish policies and standards, some standards that affect the geospatial community but fall under the jurisdiction of other committees will be referred to those committees for consideration.

The geospatial community has processes that have developed over time. These processes will be adapted to reflect the new and more comprehensive governance structure in the Minnesota IT Governance Framework.

Relationship to Other Governing Bodies

Input: Like all Technology Operations Alignment governing bodies, the Geospatial Technology Committee will work closely with subject matter experts in state government to facilitate the development of policies and standards. However, the Geospatial Technology Committee will also solicit input from the two existing advisory councils that foster collaboration between state government and other stakeholders.

Output: Adherence to the policies recommended by the Geospatial Technology Committee will be required of all executive branch geospatial activity.



## Technology Accessibility Advisory Committee

### Committee Role

The TAAC was established by Minnesota Statutes 2011, Section [16E.0475](#) to serve in a consulting role as defined by the RACI model. According to the Committee’s charter, it “is a legislatively mandated advisory committee convened to advise the State of Minnesota CIO on implementation of the Minnesota standards for technology accessibility.”

The committee reports to the legislature on its activities and status every January 15.

The TAAC’s role is fairly broad in that it provides consultation and feedback on a range of policies and activities including:

- Processes to be used for the evaluation or certification of accessibility of technology against accessibility standards
- Resources for training and technical assistance for state agency staff, including instruction regarding compliance with accessibility standards
- Individual agency accessibility plans
- Assessments of progress in implementing accessibility standards.

As depicted in the table below, the MN.IT Chief Information Accessibility Officer, appointed by the Technology Accessibility Advisory Committee, will chair this committee.

### Technology Accessibility Advisory Committee

| Attribute                 | Attribute Description  |                      |                                 |          |
|---------------------------|--|----------------------|---------------------------------|----------|
| Purpose:                  | Legislatively mandated committee convened to advise the State of Minnesota Chief Information Officer on implementation of standards for technology accessibility.  |                      |                                 |          |
| Chair:                    | Chief Information Accessibility Officer  | <b>Co-Chair:</b> n/a |                                 |          |
| Governance Category       | Vision   | Planning             | Technology Operations Alignment |          |
| Decision Authority:       | Responsible  | Accountable          | Consulted                       | Informed |
| Decisions and Activities: | <ul style="list-style-type: none"> <li>• Advises the Chief Information Accessibility Officer and State CIO on issues, planning and policies related to accessibility</li> <li>• Assesses progress in the State’s implementation of accessibility standards</li> </ul>  |                      |                                 |          |
| Membership:               | The committee includes ten members, as follows: <ul style="list-style-type: none"> <li>• State CIO or the CIO’s designee (Chief Information Accessibility Officer)</li> <li>• Representative from State Services for the Blind, appointed by the commissioner of DEED</li> <li>• Commissioner of Administration, or the commissioner’s designee</li> <li>• One representative selected by the Commission of Deaf, DeafBlind, and Hard of Hearing Minnesotans</li> <li>• Commissioner of Education, or the commissioner’s designee</li> <li>• Commissioner of Health, or the commissioner’s designee</li> <li>• Commissioner of Human Services, or the commissioner’s designee</li> <li>• One representative from the Minnesota judicial system, designated by the Chief Justice</li> <li>• One staff member from the legislature, appointed by the chair of the Legislative Coordinating Commission</li> </ul> |                      |                                 |          |
| Meetings:                 | At least quarterly   |                      |                                 |          |

### Committee Processes

The CIAO is responsible for driving Accessibility Office planning and policy processes. Though the committee approves the final output, most of the detailed work will be the responsibility of the Office of Accessibility staff.

### Relationship to Other Governing Bodies

Input: Accessibility activity will be driven by the State's master and strategic plan and by the Accessibility Office strategic planning. Included in these activities is any redefinition of the Accessibility Standard and exception policies as necessary.

Output: Primary outputs of this committee are the state accessibility policies to be adhered to in the design and implementation of all information and communications technology (ICT) products and services.

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## Conclusion

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The consolidation of information technology to a single organization within the executive branch offers immense opportunities for efficiencies, service improvement and the strategic investment in the technology of the future. Clear governance that includes business input and involvement and that leads to transparent decision-making is a key ingredient to the organization's success. The Minnesota IT Governance Framework sets the stage for effective management of this vital government function and a foundation for exciting change.

Inevitably, this initial roadmap will be modified as the new consolidated organization matures and the relationship between MN.IT and its business partners takes shape. This is, therefore, a living breathing document and the processes it outlines will be modified to meet the needs of the organization on an ongoing basis.