



Oregon Department of Corrections

To provide innovative technology solutions on a robust and sustainable infrastructure, supported by effective customer service, in alignment with the Agency's public safety goals.

IT Governance Council Charter

March 1, 2022

In alignment with:





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Mission and Purpose

The Information Technology Governance Council (Council) is responsible for the oversight and delivery of all IT investment decisions, including the overall strategic direction of the agency in terms of technology and business capability.

The purpose of the Council is to ensure the effective and efficient use of technology in enabling the agency to achieve its strategic goals within acceptable levels of risk. The Council is tasked with and is accountable for ensuring that technology investments deliver business value, and that expected benefits from new IT investments are fully realized.

This is a standing (permanent) governance structure. It will be supported by other governance structures — both standing and project (temporary) — as required to effectively achieve its purpose. The Service Request Governance Committee and the Architecture Review Board charters will be updated to incorporate the Council.

DOC Information Technology Services (ITS) has implemented governance across three areas to ensure effective and efficient use of IT to enable the agency to achieve its goals.

- **People**
 - Time/Task targeting
 - Resource planning/allocation to tasks and projects.
- **Tools and Architecture**
 - Inventory of all hardware and software with monitoring of lifecycle replacement and version upgrades to maintain support and security
 - Architecture Review Board (ARB)
- **Tasks**
 - Centers of Excellence for Project Management, Business Analysis and Quality Assurance
 - Service Center Service Manager (SCSM) for incidents and support requests
 - Service Request Governance Committee (SRGC) for scoring service requests/projects for alignment and importance to the mission of the agency.

The Council is the capstone of IT governance for DOC. The Council will use the input from analysis by the ARB and SRGC to set the project and task work queue for ITS. It will rearrange priorities to meet changing agency and technology needs. The Council will be a key participant in ITS strategic planning and modernization efforts as well as the governing board for both the SRGC and ARB.

The Council will play a key role in ensuring DOC ITS has a robust and mature governance in place that meets the definition from Gartner:



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"IT governance is defined as the processes that ensure the effective and efficient use of IT in enabling an organization to achieve its goals."

Charter Authority.

The IT Governance Council is authorized by agency policy #XXXXXXX, that was effective agency wide as of March 1, 2022. Furthermore, EIS senior portfolio manager will review and assess outcomes and maturity level by working with the agency.

Responsibilities of IT Governance Council

The IT Governance Council ensures that there is a business strategy for the agency and that IT investments are aligned to this business strategy within acceptable levels of risk (see the section referring to risk for more detail).

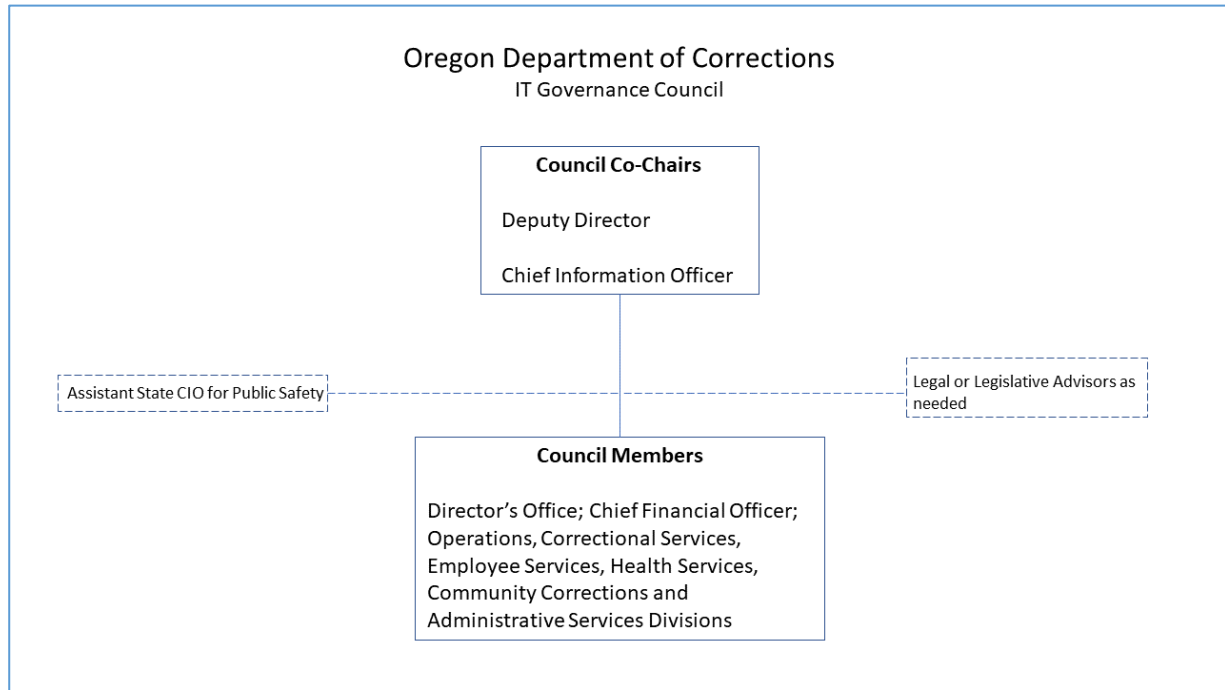
- **Decide based on strategy and capabilities.** Use the agency business strategy, objectives and capabilities of the agency. Create a portfolio of assets and investments for the enterprise and align technology services and investments with the agency business strategy and the IT strategy to build the agency IT investment portfolio.
- **Balance investment risk.** Balance investment risk against potential investment opportunities, selecting those investments that are in line with the risk profile of the enterprise.
- **Ensure a steady flow of communications.** Communicate strategy and board investment decisions to stakeholders to create understanding at all levels of the agency about which investments have been approved. Communicate changes to the business strategy that may have an impact on technology services and strategy.
- **Deliver results.** Ensure the successful progress of technology projects, services and investments at the strategic level. Resolve issues that impede the effective delivery of investments. Ensure the agency and technology strategies are aligned and that deviations are consciously managed.
- **Improve governance.** Continuously assess and improve the effectiveness of the governance process and of the Council.
- **Decide on quorum and decision making.** Determine what represents sufficient meeting attendance and how decisions will be made. Recognize that if people do not attend the meetings, an issue exists that must be addressed by the council chair. People tend not to abandon the process if meaningful decisions are to be made that effectively engage their expertise. Design governance meetings with this principle in mind.
- **Prioritize project, services and investments.** Review work requests after initial high-level analysis, effort estimate and scoring according to criteria determined by the Council. Utilize a vetted procedure that is enforced by an agency policy to confirm placement of work requests into the ITS queue of projects, services, and investments to be completed.



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Governance Organization Chart



The IT governance Council is comprised of representatives who will represent the mission critical business verticals in the agency. In most cases these will be the division leaders (Executive Team) or an authoritative designee empowered with decision making capacity. The agency through policy shall ensure the selected representatives who serve on the council are allowed time to prepare for the meetings and are held accountable. Members shall be provided resources on governance protocols, and are expected to have experience in their area of expertise and with good institutional knowledge.

1. Council Chair / Agency CIO

- a. Lead the meeting, support discussions and decision-making
- b. Ensure minutes, meeting records and outcomes are recorded.
- c. Organize agenda items/technical proposals and distribute to council members at least seven days in advance.
- d. Prepare and present on topics and validate proposals against IT Strategic Plan.
- e. Collaborate with and inform EIS-P3 Public Safety Senior Portfolio Manager on agency IT proposals and status.
- f. Engage legal or legislative review and advice as needed to evaluate impacts of proposals.

2. Council Co-Chair – Agency Deputy Director

- a. Approve the council meeting agenda.
- b. Ensure the membership of the Council is engaged and leveraged for their expertise; broker discussions and facilitate decision-making.
- c. Convene and close scheduled council meetings.



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3. Agency CFO–

- a. Review proposals for fiscal accuracy and defensibility.
- b. Prepare budgetary input to council members.
- c. Review agency budgets and advise on budgetary forecast, as appropriate.

4. Agency Leadership–

- a. Assistant Directors and administrators who work with the agency CIO's team are to ensure that the business and technology strategies are clearly understood and executed within their business areas.
- b. As needed, convene subcommittees within their business area to develop business needs that may need to be supported by new technology initiatives. These subcommittees will be interlinked with the Council. Members of the agency CIO team and other relevant business are included to form these subcommittees.
- c. Be champions and advocates of the governance principles and adhere to agency and IT strategies.
- d. Be familiar with proposals developed in their business area to effectively articulate and educate the Council.
- e. Once proposals are prioritized and selected by the governance council to be projects for implementation, they become champions to support the successful completion of the projects.

5. Assistant State CIO for Public Safety– Nonvoting member

- a. Review IT investments for enterprise alignment.
- b. Monitor and ensure modernization investments are vetted in the agency modernization plan and are aligned with the modernization roadmap.
- c. Assist with creation and modification of agency IT strategic plans
- d. Review Total Cost of Ownership (TCO) of current IT investment portfolio and advise agency on strategic initiatives.
- e. Bridge gaps between agency and state enterprise services to aid the Council in setting priorities and making sound decisions.

6. Legal or Legislative Adviser- (as needed by the chair)

- a. Review major proposals and advise from legal perspective
- b. Advise on legislative impact on major proposals



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IT Governance RACI

| IT Governance Council | | IT Governance Stakeholders | | | | | | | | | | | | | | |
|---------------------------|---|---|----------|----------------------------|-----------------------|-----------------|------------------------------|-------------------------|-------------------------------|----------------------------------|------------------------|---------------------------|----------------------|-----|--------------------|--|
| Department of Corrections | | EIS ASCIO | EIS SIPM | Agency Executive Team (ET) | Agency Division Exec | Agency CIO Team | Agency IT Support Management | Agency IT Security Team | Agency Partner Support Liason | Agency Project Management office | Federal Systems Liason | Agency Procurement Office | Agency Fiscal Office | LFO | Legislative Liason | Tactical Emergency Services Support Team |
| | | IT Governance Council Accountabilities | | | Strategy / Leadership | | | Technology Planning | | | | Other Key Resources | | | | |
| 1 | Prepare IT expenditure proposals for ITGC Review | I | C | I | A | R | I | C | I | R | | I | C | | I | |
| 2 | Set high level bussness priorities and agency wide goals | C | I | A | R | C | I | I | I | I | I | I | C | | I | I |
| 3 | Evaluate business priorities and set IT investment priorities | C | I | I | R | A | R | R | C | C | I | I | C | I | I | I |
| 4 | Establish/Enhance IT governance guiding principles | A | I | C | I | | R | | R | | | | | | | |
| 5 | Review/Establish IT security policies and procedures | I | I | A | R | R | C | R | I | | C | | I | | | I |
| 6 | Review/prioritize resource allocation for agency wide IT pr | I | I | I | R | R | A | I | R | C | | C | C | I | I | I |
| 7 | Provide updates to IT strategy and priorities | I | I | I | A | R | A | I | | C | | C | C | I | I | |
| 8 | Establish state-wide IT strategies & guidelines | A | C | I | I | C | I | I | | | | | | I | I | |
| 9 | Establish agency IT standards and strategic guidelines | C | C | I | I | A | R | R | R | C | I | I | C | I | I | I |
| 10 | Establish agency IT system dev/management policies | I | I | I | I | A | R | C | | I | | | | | | |
| 11 | Establish divisional IT governance guide | C | I | C | A | R | C | I | | C | | I | I | | | |
| 12 | Approve major IT projects and expenditures | I | C | A | C | R | I | I | I | C | | I | R | C | I | I |
| D | Driver | Assists those who are responsible for a task. | | | | | | | | | | | | | | |
| R | Responsible | Assigned to complete the task or deliverable. | | | | | | | | | | | | | | |
| A | Accountable | Has final decision-making authority and accountability for completion. Only 1 per task. | | | | | | | | | | | | | | |
| S | Support | Provides support during implementation. | | | | | | | | | | | | | | |
| C | Consulted | An adviser, stakeholder, or subject matter expert who is consulted before a decision or action. | | | | | | | | | | | | | | |
| I | Informed | Must be informed after a decision or action. | | | | | | | | | | | | | | |
| A+R | Accountable and Responsible | Single entity is responsible and accountable at the same time. | | | | | | | | | | | | | | |



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Governance Success Criteria

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.

Governance framework must set performance criteria to assess success. The following are criteria critical to the successful application of IT governance at DOC.

- Intake process to collect and track all requests to DOC ITS. Approvals, status and analysis should be captured and made easily available.
- Scoring algorithm that quantifies alignment of a request with agency IT strategic plans and enterprise plans and goals.
- Architecture Review Board (ARB) analysis is included on all requests that introduce new technology or modify the use of existing infrastructure. Recommendations and approvals based upon alignment with agency and enterprise technology plans and goals. ARB will also score requests that are purely technological or infrastructure in nature using a scoring algorithm.
- SRGC will analyze and score business requests using a scoring algorithm. If a request will introduce or modify the use of technology or infrastructure, then the ARB should have done an analysis prior to SRGC scoring.
- DOC ITS work priorities are managed by the Council based upon scoring, agency and enterprise plan and goal alignment.
- The Council is regularly updated on progress on major ITS requests as well as any issues being encountered.
- The Council serves as the governing board for both the ARB and the SRGC. Review charters, processes, and operations. Make improvements as needed.



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Key Dependencies.

Dependencies that must be addressed for the council to conduct its work:

1. **Implement Governance Policy.** Draft the policy and associated procedure. Create a draft policy and the associated procedure and review it with a few key stakeholders. Then, discuss and finalize the policy. Execute the policy through agency executive leadership.
2. **Approve the charter.** Discuss the governance charter and approve it. Make changes to ARB and SRGC charters to include the Council.
3. **Establish prioritization criteria.** Discuss and adopt the criteria used to prioritize ("score") requests. This algorithm will be used by the ARB and SRGC as the score for each request.
4. **Establish or review the enterprise strategy.** Review state enterprise strategic frameworks, agency IT strategy and agency business strategy first. If some of these strategy documents do not exist work with the Assistant State CIO for Public Safety to move forward with governance while preparing to establish these technology-related strategic documents.



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Membership List

| Member | Title | Division |
|--------------------|---------------------------------------|---------------------------------------|
| Colette Peters | Director | N/A |
| Heidi Stewart | Deputy Director | N/A |
| Jeremiah Stromberg | Assistant Director | Community Corrections |
| Rob Persson | Assistant Director | Operations Division |
| Joe Bugher | Assistant Director | Health Services |
| Gail Levario | Assistant Director | Employee Services |
| Jennifer Black | Communications Director (interim) | Communications Office |
| Craig Prins | Inspector General | Inspector General’s Office |
| Kelly Rath | Assistant Director (interim) | Correctional Services |
| [vacant] | OCE Director | OCE |
| [vacant] | Chief Financial Officer | Chief Financial Office |
| Jim Paul | Assistant Director | Administrative Services |
| Don Pack | Chief Information Officer | Information Technology Services |
| Ben Gherezgiher | Assistant State CIO for Public Safety | Enterprise Information Services (DAS) |

Resources

Resources that support the governance effort.

| Resource | Type |
|--|------------------------|
| Director’s Office Executive Support | Administrative Support |
| Administrative Services Division Executive Support | Administrative Support |



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Risks

The following risks have been identified in relation to establishing the governance council:

- Lack of business engagement and participation.
 - *Mitigation: Council co-chairs ensure that members of the council have the authority needed to properly represent their business units and actively participate in the meetings.*
- A lack of objectivity by ITGC members, or a gaming of the system for requests.
 - *Mitigation: Council members hold each other accountable to maintain objectivity in decision making and prioritization.*
- Coordination and process flow between Intake, ARB, SRGC and ITGC is not efficient or effective.
 - *Mitigation: CIO monitors the processes governing the flow of requests between the groups involved in intake, analysis and scoring of requests. Improve processes as needed to remedy inefficiencies.*

Approval Signatures

Authoritative signatures are needed to implement the council within the agency.

Agency Director/Approving Authority

Date

IT Governance Council Co-Chair

Date

Donald A. Pack

IT Governance Council Co-Chair, Agency CIO

3/8/2022

Date

Glossary

ARB – Architecture Review Board. An ITS committee of architecture minded technical staff who will review design concepts and designs of information systems to ensure alignment with ITS, agency and enterprise technical architecture. The ARB will score and prioritize non-Application Services (Development) service requests and projects.

ITGC – Information Technology Governance Committee. The DOC Executive Team meeting to discuss and confirm the prioritization of agency projects for ITS.

ITS – Information Technology Services. The Department of Corrections IT organization led by the Chief Information Officer (CIO) and Deputy CIO (DCIO).

SRGC – Service Request Governance Committee. A committee of business unit representatives that use a standard scoring criterion to prioritize service requests and division projects for ITS Application Services (Development).