

Project Governance IT Governance Policy/Process/Standard ("IT Governance Document" or "IT Governance Document")

1. **Overview.** The CIO and Office are charged with, among other things, facilitating the organization and management of investment in Information Technology Projects across State Government; reviewing, evaluating, and making recommendations as it relates to proposed Information Technology Projects and funding opportunities with the goal of reducing duplication, sharing resources, and ensuring success across the Enterprise; supporting the implementation of Project management best practices across State Government to support the success of Information Technology Projects; and assisting Participating Agencies with the reporting of Information Technology Project status and completion. To that end, this IT Governance Document establishes the Processes as to how and when Participating Agencies are to interact with the CIO and Office in its Project governance/oversight capacity, and the Standards by which the CIO and Office will make decisions about whether particular Projects should proceed and under what circumstances or on what conditions.
2. **Purpose.** The purpose of this IT Governance Document is to clearly establish and effectuate the State's Policy of carrying out Information Technology Projects in an organized manner designed to achieve desired, pre-defined Project outcomes, on Budget, consistent with the enterprise strategic plan, and subject to appropriate management/oversight by:
 - 2.1. Clearly articulating the Processes as to how and when Participating Agencies are to interact with the CIO and Office in its Project governance/oversight capacity;
 - 2.2. Establishing the Standards by which the CIO and Office will make decisions about whether particular Projects should proceed and under what circumstances or on what conditions.
3. **Scope/Application.** This IT Governance Document applies to all Participating Agencies. This IT Governance Document also applies to the Projects & Investments Subcommittee, the TLG, the CIO, the Office, and all State Personnel to the extent any of the foregoing is involved in the administration of this IT Governance Document on behalf of the CIO and the Office.
4. **Definitions.** Capitalized terms not defined herein shall have the same meaning as the corresponding defined term in the following sources, as may be amended from time to time, in the following priority order: Iowa Code Chapter 8B, Iowa Administrative Code Chapter 129; and the Information Technology Governance Document Taxonomy ("**Taxonomy**"). In addition to any other terms specifically defined herein, the following terms, primarily sourced from the [Project Management Institute](#) ("**PMI**"), are defined as follows:
 - 4.1. "**Approval to Plan**" means a Justification Form that has been approved by the CIO.
 - 4.2. "**Approval to Proceed**" means a Request to Proceed that has been approved by the CIO.

- 4.3. **“Information Technology Contract(s)”** or **“Contract(s)”** has the same meaning as given it in the Taxonomy.
- 4.4. **“Information Technology Project(s),”** **“IT Project(s),”** or **“Project(s)”** has the same meaning as given it in the Taxonomy.
- 4.5. **“Project Approval(s)”** or **“Approval(s)”** means any and all necessary approvals or signatures required over the Project Lifecycle as a precondition to proceeding to the next Project phase, including but not limited to an Approval to Plan, Approval to Proceed, or any other approval or signature as may otherwise required by:
 - 4.5.1. The CIO or Office;
 - 4.5.2. Any applicable IT Subcommittees; or
 - 4.5.3. Any applicable laws, rules, or IT Governance Documents.
- 4.6. **“Project Budget”** or **“Budget”** has the same meaning as given it in the Taxonomy.
- 4.7. **“Project Change Approval(s)”** or **“Change Approval(s)”** means a Change Request that has been Approved by the CIO.
- 4.8. **“Project Change(s)”** or **“Change(s)”** means a change to the Scope, Budget, Timeline, Milestones, and/or other deliverables or resources of or related to a Project.
- 4.9. **“Project Change Request(s)”** or **“Change Request(s)”** means a formal request submitted to the CIO/Office for a Change to a Project.
- 4.10. **“Project Charter”** or **“Charter”** means a document signed by the head of the Participating Agency sponsoring the Project which, at a minimum:
 - 4.10.1. Provides express authorization to proceed with a Project;
 - 4.10.2. Designates a Project Manager with the authority to apply organizational resources to Project activities and otherwise carry out and coordinate the successful Completion of the Project;
 - 4.10.3. Describes the anticipated Scope;
 - 4.10.4. Identifies an estimated Budget; and
 - 4.10.5. Identifies initial, estimated key Milestones and Timelines, including an estimated Project Completion date.
- 4.11. **“Project Closeout Report”** or **“Closeout Report”** means a final, formalized report, at a minimum:
 - 4.11.1. Summarizing the Completed Project and comparing the Project as Completed against the Approved Scope, Budget, Timeline, and Milestones, including any previously Approved Changes to any of the foregoing; and
 - 4.11.2. Describing any key lessons learned or issues encountered over the Project Lifecycle.

- 4.12. **“Project Complete/ion,” “Project Closeout,” “Complete/ion,” or “Closeout”** means the successful delivery of a Project consistent with the Scope, including any previously Approved Changes thereto. Completion includes any final tasks, steps, documentation, reports, or offboarding completed, generated, or required to officially close a Project, including the submission of the Project Closeout Report to the CIO/Office.
- 4.13. **“Project Execution” or “Execution”** means, following the receipt of an Approval to Proceed from the CIO, by way of example only, the:
- 4.13.1. Execution of any Contract(s) or Purchasing Instrument(s) resulting from any procurement processes completed during Project Planning;
 - 4.13.2. Execution of any Purchasing Instruments under any pre-existing Contract(s) vehicles.
 - 4.13.3. In the case where the Project will be accomplished through the deployment of existing State resources available through the Office, in whole or in part, execution of any statement of work or other like document between the Participating Agency and the Office documenting and formalizing the roles, responsibilities, and expectations of the parties.
 - 4.13.4. Directing, managing, performing, and accomplishing of Project work; provisioning of deliverables; and/or provisioning of work performance information.
- 4.14. **“Project Initiation” or “Initiation”** means launching the process that can result in the authorization of a new project. Initiation begins at the idea/conception stage.
- 4.15. **“Project Justification Form(s)” or “Justification Form(s)”** means a formal request for approval submitted to the CIO/Office at the beginning towards the end of Project Initiation, but before Project Planning, outlining the business need for a proposed Project.
- 4.16. **“Project Life Cycle” or “Life Cycle”** means the entire series of phases that a Project passes through from Initiation through Completion/Closeout.
- 4.17. **“Project Manager”** means a designated individual who is responsible for leading and managing a Project from Planning through Completion/Closeout. This individual is designated in the Charter.
- 4.18. **“Project Milestone(s)” or “Milestone(s)”** has the same meaning as given it in the Taxonomy.
- 4.19. **“Project Planning” or “Planning”** means, following the receipt of an Approval to Plan from the CIO, the process of:
- 4.19.1. Drafting and executing a Charter;
 - 4.19.2. Identifying, defining, estimating, and documenting the anticipated Scope, Budget, Timeline, Milestones and other goals, objectives, tasks, deliverables

- and risks associated with or required to successfully Complete a proposed Project;
- 4.19.3. Identifying and documenting any procurement processes that may need to be followed or pre-existing Contract(s) vehicles that may be utilized to successfully Complete a proposed Project;
 - 4.19.4. Conducting any procurement processes and drafting any resulting Contracts and/or Purchasing Instruments that may need be executed;
 - 4.19.5. Drafting any Purchasing Instruments under any pre-existing Contract(s) vehicles that may need to be executed;
 - 4.19.6. In the case where the Project will be accomplished through the deployment of existing State resources available through the Office, in whole or in part, drafting of any statement(s) of work or other like document(s) between the Participating Agency and the Office documenting and formalizing the roles, responsibilities, and expectations of the parties.
 - 4.19.7. Securing any other Approvals required prior to Execution.
- 4.20. **“Project Scope”** or **“Scope”** has the same meaning as given it in the Taxonomy.
- 4.21. **“Project Status Report(s)”** or **“Status Report(s)”** means a regular, formalized report summarizing the Project progress/status against the Approved Scope, Budget, Timeline, and Milestones, including any previously Approved Changes any of the foregoing.
- 4.22. **“Project Timeline(s)”** or **“Timeline”** has the same meaning as given it in the Taxonomy.
- 4.23. **“Purchasing Instrument(s)”** has the same meaning as given it in the Taxonomy.
- 4.24. **“Request(s) to Proceed”** means a formal request for approval submitted to the CIO/Office towards the end of Project Planning, but before Project Execution:
- 4.24.1. Describing the Project’s final documented Scope, Budget, Timelines, and Milestones and a summary of any Changes; and
 - 4.24.2. Which request must be accompanied by:
 - 4.24.2.1. Any applicable Contracts and/or corresponding Purchasing Instruments that are ready for countersignature following the CIO’s approval;
 - 4.24.2.2. In the case where the Project will be accomplished through the deployment of existing State resources available through the Office, in whole or in part, a statement of work or other like document between the Participating Agency and the Office documenting and formalizing the roles, responsibilities, and expectations of the parties.

5. **Enterprise Project Governance Policy.** It is the policy of the State of Iowa to carry out Information Technology Projects in an organized manner designed to achieve desired, pre-defined Project outcomes, on Budget, consistent with the enterprise strategic plan, and subject to appropriate management/oversight.

6. **Enterprise Project Governance Process.**

6.1. *Core Process.* As it relates to Information Technology Projects, Participating Agencies must obtain an Approval to Plan, obtain an Approval to Proceed, obtain a Project Change Approval, submit Project Status Reports, and submit a Project Closure Report under the following circumstances and in accordance with the following requirements:

6.1.1. Approval to Plan.

6.1.1.1. When Required. Before a Participating Agency may begin Planning a Project, it **must** obtain an Approval to Plan from the CIO.

6.1.1.2. How Obtained. To obtain the requisite Approval to Plan, a Participating Agency **must** submit a Project Justification Form outlining the business need for the proposed Project to the Projects and Investments Subcommittee, which Subcommittee shall make an initial recommendation to the CIO as to whether to Approve or deny, in whole or in part, the Project for Planning.

6.1.2. Approval to Proceed.

6.1.2.1. When Required. Before a Participating Agency may begin Executing a Project, it **must** obtain an Approval to Proceed from the CIO.

6.1.2.2. How Obtained. To obtain the requisite Approval to Proceed, a Participating Agency **must** submit, to the Projects and Investments Subcommittee:

6.1.2.2.1. A Project Charter. The Project Charter **must**, at a minimum:

6.1.2.2.1.1. Provide express authority to proceed with a Project;

6.1.2.2.1.2. Designate a Project Manager, in accordance with the Project Management Standard, with the authority to apply organizational resources to Project activities and otherwise carry out and coordinate the successful Completion of the project;

6.1.2.2.1.3. Describe the anticipated Scope;

- 6.1.2.2.1.4. Identify an estimated Budget;
- 6.1.2.2.1.5. Identify initial, estimated Milestones and Timelines, including an estimated Project Completion date; and
- 6.1.2.2.1.6. Be signed by the head of the Participating Agency;

The Project Charter should typically be completed and submitted before any:

- 6.1.2.2.1.7. Necessary procurement processes are initiated;
- 6.1.2.2.1.8. Necessary Purchasing Instruments are drafted; and/or,
- 6.1.2.2.1.9. In the case where the Project will be accomplished through the deployment of existing State resources available through the Office, in whole or in part, drafting any statement of work or other like document between the Participating Agency and the Office documenting and formalizing the roles, responsibilities, and expectations of the parties.

6.1.2.3. Following the completion of any of the tasks/processes identified in Section 6.1.2.2.1.7 through 6.1.2.2.1.9, a Request to Proceed. A Request to Proceed **must**, at a minimum:

6.1.2.3.1. Describe the Project's final documented Scope, Budget, Timelines, and Milestones;

6.1.2.3.2. Be accompanied by any applicable:

6.1.2.3.2.1. Contracts and/or corresponding Purchasing Instruments that are ready for countersignature following the CIO's approval;

6.1.2.3.2.2. In the case where the Project will be accomplished through the deployment of existing State resources available through the Office, in whole or in part, a statement of work or other like document between the Participating Agency and the Office documenting and formalizing the roles,

responsibilities, and expectations of the parties.

The Projects and Investments Subcommittee shall make an initial recommendation to the CIO as to whether to Approve or deny, in whole or in part, the Project for Planning.

6.1.3. Project Change Approval.

6.1.3.1. When Required. A Participating Agency **must** receive a Change Approval from the CIO before proceeding with any Change during Execution under the following circumstances:

6.1.3.1.1. When a Change will cause the Budget to vary upwards by **over** fifteen percent (15%) of the previously Approved Budget;

6.1.3.1.2. When a Change will cause the Timelines or Milestones to vary by **more than** thirty (30) days beyond the previously Approved Project Timelines or Milestones.

6.1.3.2. How Obtained. To obtain the requisite Change Approval, a Participating Agency must submit a Change Request to the Projects and Investments Subcommittee, which Subcommittee shall make an initial recommendation to the CIO as to whether to Approve or deny, in whole or in part, the Change Request.

6.1.4. Project Status Reports. In accordance with the following dollar thresholds and frequencies, following the issuance of an Approval to Plan until a Closure Report is submitted to the CIO/Office or a Project is otherwise terminated, whichever occurs first, a Participating Agency **must** submit Project Status Reports to the Projects and Investments Subcommittee:

6.1.4.1. For a Project with a Budget of **under** \$500,000, on a monthly basis;

6.1.4.2. For a Project with a Budget **equal to** or **over** \$500,000, on a weekly basis.

6.1.5. Project Closeout Reports. Upon Completion, a Participating Agency must submit a Closeout Report to the Projects and Investments Subcommittee. Such Closeout Report **must**, at a minimum:

6.1.5.1. Summarize the Completed Project and compare the Project as Completed against the Approved Scope, Budget, Timeline, and Milestones, including any previously Approved Changes to any of the foregoing; and

6.1.5.2. Describe any key lessons learned or issues encountered over the Project Lifecycle.

6.2. *Forms, where located.* All forms referenced herein, including but not limited to Project Justification Forms, Requests to Proceed, Charters, Project Change Requests, Project Status Reports, and Project Closeout Reports must be submitted to the CIO, Office, and Projects and Investments Subcommittee through the Office's online Project management application, unless any of the foregoing directs a Participating Agency to submit a form on a paper form as supplied by the Office or through other methods or means.

6.3. *Cooperation and Requests for Information.* Participating Agencies shall cooperate with the CIO, Office, and the Projects and Investments Subcommittee in the administration of this Process. This includes timely responding to inquiries made by and providing information to the CIO, Office, and Projects and Investments Subcommittee as required by Iowa Code section 8B.21(k)-(l).

7. Enterprise Project Governance Standard.

7.1. *Approvals.* In determining whether particular Projects should proceed, or whether a Change Request should be Approved, and under what circumstances or on what conditions, the CIO, Office, and Projects and Investments Subcommittee in making recommendations to the CIO and Office, will consider the following non-exclusive factors as it relates to each of the following respective Project phases/Approvals:

7.1.1. Approval to Plan.

7.1.1.1. Whether the proposed Project would result in an Information Technology solution or other deliverables or outcomes that would be useful to multiple Governmental Entities, as compared to only one (1) Governmental Entity.

7.1.1.2. Whether there are any pre-existing Information Technology solutions or other resources that could be deployed to satisfy the Participating Agency's stated need, including Information Technology solutions or other resources previously deployed by Governmental Entities outside of the State of Iowa or available in the marketplace.

7.1.1.3. Whether the proposed Project would result in an Information Technology solution or other deliverables or outcomes that would be capable of exchanging data and information with other State systems.

7.1.1.4. Whether the proposed Project would result in the duplication of existing services, resources, or support already available through the Office, and would not otherwise result in substantial cost savings. If the Office could already provide the services, resources,

or support, but the Participating Agency has shown it can obtain substantial cost savings through alternate Solution, consideration of how the Project may adversely affect other Participating Agencies if the Project proceeds.

7.1.1.5. Whether the Proposed project is consistent with or complies with the State's Enterprise strategic plan, enterprise architecture, security plans, or any applicable Information Technology Governance Documents.

7.1.1.6. Whether the proposed Project, over the course of the Project entire Project Lifecycle, will result in excessive expenditures or expenditures above market rates.

7.1.2. Approval to Proceed.

7.1.2.1. Whether a Project Manager has been designated in accordance with the requirements of the Project Management Standard so as to increase the likelihood of Project success.

7.1.2.2. Whether the Participating Agency possesses sufficient and appropriate resources to Execute the Project in a manner that is likely to result in Project success.

7.1.2.3. Whether Execution of the Project exposes the State to unnecessary or undue risk, including but not limited to from a cybersecurity and continuity of operations perspective.

7.1.2.4. Whether Execution of the Project is a good use of the State's limited resources and funds.

7.1.2.5. Whether the circumstances warranting the issuance of the Approval to Plan have materially changed since that time, such that the factors outlined in Section 7.1.1 that supported the Project proceeding no longer do so.

7.1.2.6. Whether Execution of the Project is otherwise in the best interests of the State.

7.1.3. Change Approval.

7.1.3.1. Whether the Participating Agency possesses sufficient and appropriate resources to Execute the proposed Change in a manner that is likely to result in Project success.

7.1.3.2. Whether Execution of the proposed Change exposes the State to unnecessary or undue risk, including but not limited to from a cybersecurity and continuity of operations perspective.

- 7.1.3.3. Whether issuing the requested Change Approval would substantially undermine or otherwise adversely affect the circumstances warranting the issuance of the Approval to Plan or Approval to Proceed, such that the factors outlined in Section 7.1.1 and Section 7.1.2 that supported the Project proceeding no longer do so.
 - 7.1.3.4. Whether the requested Change alters the Project as previously Approved to such a degree that granting the requested Change would effectively result in the implementation/Execution of an entirely different/new Project.
- 7.2. *Status Reports.* Status Reports are used to assess overall Project health, and whether and to what extent Information Technology leadership needs to deploy additional resources to ensure a Project's success, or otherwise institute appropriate remedial measures. In assessing overall Project health, the CIO, Office, and Projects and Investments Subcommittee, will consider the following non-exclusive factors:
- 7.2.1. Quantitative Factors.
 - 7.2.1.1. Whether the actual expenses incurred since the last Status Report vary upwards by **over** fifteen percent (15%) of the previously Approved Budget;
 - 7.2.1.2. Whether the completion of key Timelines or Milestones vary by **more than** thirty (30) days beyond the previously Approved Project Timelines or Milestones;
 - 7.2.1.3. The frequency with which and degree to which Status Reports have revealed Project expenditures in excess of the previously Approved Budget;
 - 7.2.1.4. The frequency with which and degree to which Status Reports have revealed that key Timelines or Milestones vary by beyond the previously Approved Project Timelines or Milestones;
 - 7.2.1.5. The frequency with which Status Reports have been filed in accordance with the requirements of this IT Governance Document.
 - 7.2.2. Qualitative Factors.
 - 7.2.2.1. The Project Manager's qualitative assessment of overall Project health.
 - 7.2.2.2. Documentation provided by the Participating Agency stating, indicating, or from which a reasonable inference can be drawn that the Project's overall health is less than optimal or suffering.

8. **Amendment.** This IT Governance Document shall be reviewed at least every two (2) years and amended as needed. This IT Governance Document may be amended in the sole discretion of the CIO, taking into consideration the advice and input of the TLG and its various Subcommittees.
9. **Enforcement.** This IT Governance Document shall be enforced pursuant to Iowa Administrative Code rules 11— 25.11 and 11—117.11 and Iowa Code sections 8B.21(1)(d), (f), and (h), 8B.23(1), 8B.23, and 8B.24(1), as applicable. Upon a finding of a violation of or noncompliance with this IT Governance Document, the Office may, by way of example only:
 - 9.1. Bar or otherwise limit a Participating Agency’s use of Contracts entered into by the office;
 - 9.2. Remove or bar State Personnel of a Participating Agency from participating on IT Governance Subcommittees, work groups, or task forces established, organized, or managed by the Office;
 - 9.3. Report such violations or noncompliance to the department of management, office of the governor, or auditor of state;
 - 9.4. Recover administrative fees commensurate with any increased fees incurred by the Office or other Participating Agencies as a result of the violation or noncompliance.
10. **Waiver/Variance.** Iowa Administrative Code rules 11—25.11(2) and 11—117.11(3) and Iowa Code section 8B.21(5) provide for variances\waivers from IT Governance Documents. Requests for a waiver/variance from any of the requirements of this IT Governance Document shall be submitted in writing to the Office in accordance with the requirements of those statutes and rules, as applicable.
11. **Dispute resolution.** If a dispute arises between the Office and a Participating Agency as it relates to compliance with or the administration or enforcement of this IT Governance Document, such dispute shall be resolved as provided by Iowa Code section 679A.19.

IN WITNESS WHEREOF, the CIO has caused the CIO’s duly authorized representative to execute this IT Governance Document, which is effective as of the date of signature below.

Chief Information Officer
State of Iowa