



State of Montana

Agency IT Template Instructions 2016

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Introduction

The Montana Information Technology Act (MITA) requires each State agency to develop and maintain an agency information technology plan that establishes agency mission, goals and objectives for the development and use of information technology, and provides a description about how each agency intends to participate in meeting the goals of the 2016 State of Montana Strategic Plan for IT. MITA defines an agency as any entity of the executive branch, including the university system.

Each Agency IT Plan belongs to the individual agency that develops the plan, but MITA does require some specific content and format. MITA also requires that new investments in information technology can only be included in the governor's budget if the proposed investment is included in an approved agency plan. Section 11 of the Template instructions and your agency IT plan are based on this requirement.

Agency IT Plans are also related the State's Biennial IT Report. Every two years DOA must produce a performance report based on agencies' evaluation of their progress in implementing their IT plans from the previous biennium. This report provides an analysis of the State's IT infrastructure (value, condition, and capacity), an evaluation of the performance of the State's IT capabilities, and an assessment of progress made toward implementing the State Strategic Plan for IT during the previous biennium. Because strategic planning and reporting are closely related, and because each Agency IT Plan and biennial report are updates to existing plans and activities, agencies will provide detailed information on their IT environment in this planning cycle.

Reference Information

The following information may be relevant to development of your updated Agency IT Plan:

- Your current agency strategic business plan and previous Agency IT Plan updates;
- Information Technology Act (2-17-501 through 527, MCA)
<http://www.leg.mt.gov/css/Services%20Division/default.asp>;
- A draft copy of the 2016 State of Montana Strategic Plan for IT is located at:
<http://sitsd.mt.gov/Governance/Boards-and-Councils/ITMC>
- Both the SITSD-supplied Agency IT Plan template and the instruction manual for filling out the Template can be found on the following web page: <http://sitsd.mt.gov/Governance/Boards-and-Councils/ITMC>

Template Assistance

Please contact Pete Wiseman (444-9665) if you would like assistance, additional information, or an external editor to review your draft IT plan.

Agency Template Submission

Submit the completed Template to SITSD (itpolicy@mt.gov). You may submit your agency IT Plan before the deadline. Include a transmittal letter from your agency head containing the following wording:

Pursuant to the Information Technology Act of 2001, the [entity name] presents its plan for information technology for the period July 2016 through June 2021. This plan represents the Information Technology goals, objectives, and strategies of the [entity name] and has been reviewed and approved by _____, agency head.

Strategic Planning Timetable

January 2016	SITSD publishes a draft of the state-wide strategic IT plan and distributes agency plans instructions and template.
March 1, 2016	SITSD submits the 2016 State Strategic Plan for IT to the Governor and Legislative Finance Committee
March 15, 2016	SITSD publishes Agency IT Initiative Supplement documents and instructions
April 1, 2016	2016 State Strategic Plan for IT published
April 15, 2016	Agency IT Plans due to SITSD
April – May 2016	SITSD reviews Agency IT Plans, obtains clarifications, and requests changes
May 31, 2016	SITSD recommendation to the CIO for approval of Agency IT Plans. (This is the deadline; each recommendation is due no later than 60 days after receipt of an Agency IT Plan.)
June 30, 2016	Final day for SITSD to approve Agency IT Plans (pending receipt of IT Initiative Supplements)
June - August 2016	The Agency IT Initiative Supplements will be reviewed by SITSD in coordination with OBPP. The Agency IT Initiative Supplements will be appended to the Agency IT Plan upon approval by OBPP.
November 15 2016	Office of Budget and Programming Planning and SITSD submit a summary of major new IT projects to Governor’s Office, and for legislators’ consideration.

Template Instructions

Montana's Template for Agency IT Plans follows Gartner's framework for strategic planning. Although the Gartner framework recommends separate documents for outlining strategy and IT projects or initiatives, this Template is a single document as described in MITA. MITA requirements are found at the end of the Template in sections 10-14.

10. IT Goals and Objectives
11. IT Projects
12. Security and Business Continuity Programs
13. Planned IT Expenditures
14. Administrative Information

Developing an IT Plan is not a massive research and writing project. Plans are normally only about a dozen pages. MITA requirements will add to the overall page length. What a plan does require is a lot of thought. It is first and foremost a method to communicate how the agency's IT organization will support the agency's business strategies and deliver value to the agency and the agency's constituents. Plans can also announce and advertise new approaches and methods within the IT organization.

Guiding principles for writing a good IT plan:

- Use business language and avoid technical terms. If a glossary is necessary, put it in an appendix.
- Be brief. 10-12 pages should be adequate for the first 9 sections.
- Reference more detailed documents such as budgets, organization charts, etc.
- Avoid generic and obvious statements such as, "IT is a critical input to the business."

During the development stages of the Template there were discussions about potentially making some sections of the Template optional. The final version of the Template has no optional sections; all sections are required.

1. Executive Summary

Description: *The summary captures the essence of the IT strategy. It includes the “trail of evidence” from IT strategy to business value. Most summaries focus on the organization’s business strategies, the IT strategies, and how or why the IT strategies directly support the business objectives. The IT strategies are found in Section 3, IT Contribution and Strategies. Executive summaries are normally developed after all the other sections have been written.*

2. Environment, Success, and Capabilities

Description: *This section profiles the business environment the agency is operating in; outlining the regulatory, economic, and political drivers. Reference agency policy or strategy documents if appropriate. Agencies should feel free to copy material from the state-wide strategy document if it accurately describes the same forces, funding problems and issues affecting the agency. This is where the reader is presented with the business/mission priorities. The Administration’s specific priorities are jobs, education and effective/efficient state government. Feel free to use State’s business objectives. Append to the enterprise-wide material any regulatory, economic, and political issues that are unique to your agency.*

Describe how the agency will fulfill and/or grow its mission. Identify key program/business strategies that the agency will focus on to succeed. You may include parts of the agency’s mission, vision, goals and/or principles. Clarify the critical (1-5) agency business or program capabilities required for the agency to succeed. Outline the gaps between existing and needed capabilities.

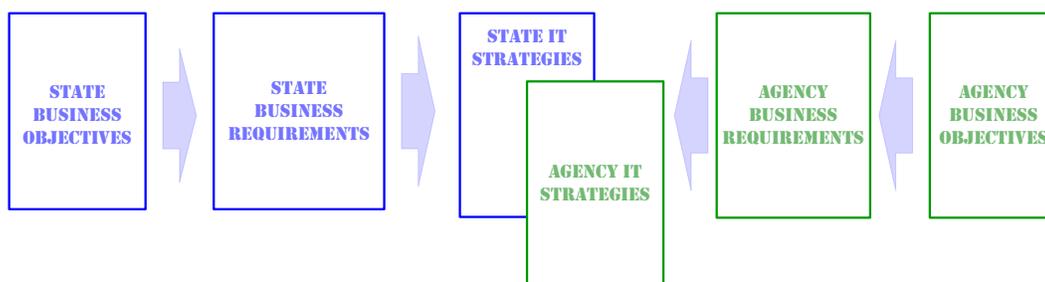
Use existing sources of information (agency web site, internal agency documents, etc.) to acquire this information. The Governor asked all agencies to prepare a summary of their business plans and objectives. This would be an excellent source of information.

3. IT Contributions and Strategies

Description: *This section is the heart of the IT strategy document. This is where readers learn how the IT organization will partner with their program and business parts to deliver value to their constituents. This part is your “elevator pitch” that explains how the agency IT organization is going to contribute value to the agency.*

Explain how the agency's IT strategies support and conform to the State’s IT strategies. Add agency-specific strategies.

Use diagrams charts or any means appropriate to demonstrate your points. Don’t be constrained to a simple bulleted format. For example, a Venn diagram might illustrate the overlap between agency and State IT strategies.



4. IT Principles

Description: *IT principles provide a framework for making decisions. They provide guidance on which way decisions should go. Principles should be connected to the success of the agency and be detailed enough to drive decisions, behaviors and trade-offs. Principles often guide decisions in the areas of agility, organizational structure, risk management, sourcing and staffing. Avoid truisms such as “We will provide high-quality, reliable IT services.”*

Agencies should adopt the IT principles from the state-wide strategy document and add any agency-specific principles.

5. IT Governance

Description: *This section explains how agency IT decisions are made. It describes the parties and processes key to making IT decisions. List the parties that provide input and recommendations, as well as the parties that make the decisions. Describe the processes for communicating and enforcing decisions.*

6. IT Financial Management

Description: *The financial management section provides an overview of how an agency manages its IT funding and expenditures. Use this section to describe the IT funding sources (base budget, grants, fees, HB10, etc.), uses, and management processes for controlling IT expenditures. Ensure that the reader can identify whether the agency treats the IT organization as a cost center, profit center or investment center. Describe any internal IT chargebacks. Reference detailed IT budget and enterprise financial strategy documents; do not cut and paste them here.*

7. IT Services and Processes

Description: *This section is designed to provide an overview of an IT organization’s portfolio of services and processes that manage their IT operations. Large agencies may want to include frameworks like COBIT and ITIL. Most agencies will have too many IT services to list individually, so group them or mention only the most significant or costly services. Try to keep your list to 15 or less. Mention those services that are unique so that a reader knows how or why your agency is different from the norm.*

8. IT Infrastructure, Staffing and Resources

Description: This section summarizes the key human capital, vendor, contract, and infrastructure aspects of the IT strategy. It describes the as-is and to-be human capital management picture. Consider using current or future skills inventories. Describe any future organizational changes necessary to implement the agency IT strategy. Identify important vendor or contract relationships and your agency's approach to sourcing.

9. Risks and Issues

Description: This section outlines the 5-10 major risks associated with an agency's IT strategy. If the enterprise risks are applicable to your agency, use them. Feel free to use a percentage (such as 25%) if you prefer to quantify the probability of a risk occurring. Otherwise use high, medium, and low for probabilities.

Evaluating an impact is a qualitative judgment and not usually a quantitative measure. Impacts can be described as high, medium and low. Mitigation strategies are those actions and activities that your agency will use to monitor the risk, minimize the probability of the risk occurring, or minimize the impacts if the risk occurs.

Example:

Primary Risk	Probability	Impact	Mitigation Strategy
Staff retirements	High	Medium	The agency will develop a succession planning program that creates a list of staff eligible to retire and forecast an estimated retirement date and replacement plan when possible. Positions/skills rated as critical will have individual plans for skills transfer, replacement, documented procedures, etc. for mitigating the impact.
Security breach	Medium	High	Our agency has an active security program including, but not limited to, staff training and awareness, data encryption, and security policies.
Difficulty of hiring qualified technical staff	High	High	Increase pay for positions most affected by this issue.

10. IT Goals and Objectives

Description: This section outlines your agency's major IT goals and objectives. List your planned IT goals and objectives, and describe how they are designed to support agency business strategies.

11. IT Projects

Description: This section outlines your agency's major IT projects. At a minimum, include all IT projects that meet any of the following criteria:

- a. An EPP item for IT spend.
- b. A budget of \$500,000 or more, whether or not it is an EPP item. The \$500,000 budget is the sum of all grants, current operating budget expenses, new budget allocations, special fees, and other sources of funds and includes costs associated with internal builds.
- c. An IT initiative with a budget of \$100,000 or more and also comprises 25% or more of the agency's IT budget, whether or not it is an EPP item.
- d. An IT project or initiative that impacts other agencies or has the potential for an enterprise-wide impact.

Item	Description
Project name	
Project/program purpose and objectives	Describe the project's business purpose and business/program objectives.
Estimated start date	
Estimated cost	The estimate cost is the sum of all grants, current operating budget expenses, new budget allocations, special fees, and other sources of funds and includes costs associated with internal builds.
Funding source - 1	
Funding source - 2	
Funding source - 3	
Annual Costs upon completion	

12. Security and Business Continuity Programs

Security Program Description: This part provides an overview of an agency's security program as required by MCA 2-15-114. The state has adopted an enterprise security framework based on National Institute of Standards and Technology (NIST) security standards to assist agencies with their security programs. This section describes how an agency incorporates this framework into the agency's security program.

Continuity of Operations (COOP) Capability Program Description: Describe your agency's progress in developing and maintaining a COOP program in compliance with MOM Continuity and Emergency Management policy, standards and procedure. Identify completed activities, current activities and planned activities. Typical activities would be Business Continuity Plans (BCP), Emergency Action Plans (EAP), Information System Contingency Plans (ISCP), Communications Plans, and Incident Management Plans.

Public Records – Agency Records Management Duties: New requirement for the 2016 Agency IT Plans. (Public Records statute effective October 1, 2015), MCA 2-6-1103 (5) states "Incorporate records management requirements into the agency information technology plan". Include a statement to the effect

