3.0 GOVERNANCE STRUCTURE

3.0 GOVERNANCE STRUCTURE

The governance structure for Business and IT/IRM Transformation in the State of Hawai'i will consist of two tiers: the top level is the Executive Leadership Council (ELC)—the 18 Department Directors and the CIOC, which consists of the Departmental IT Leads. The Legislatively established IT Steering Committee also provides advice and guidance to the CIO. To focus on specific topic areas and provide recommendations to the CIOC, various Working Groups are established under the CIOC. This structure is depicted in Figure 3.

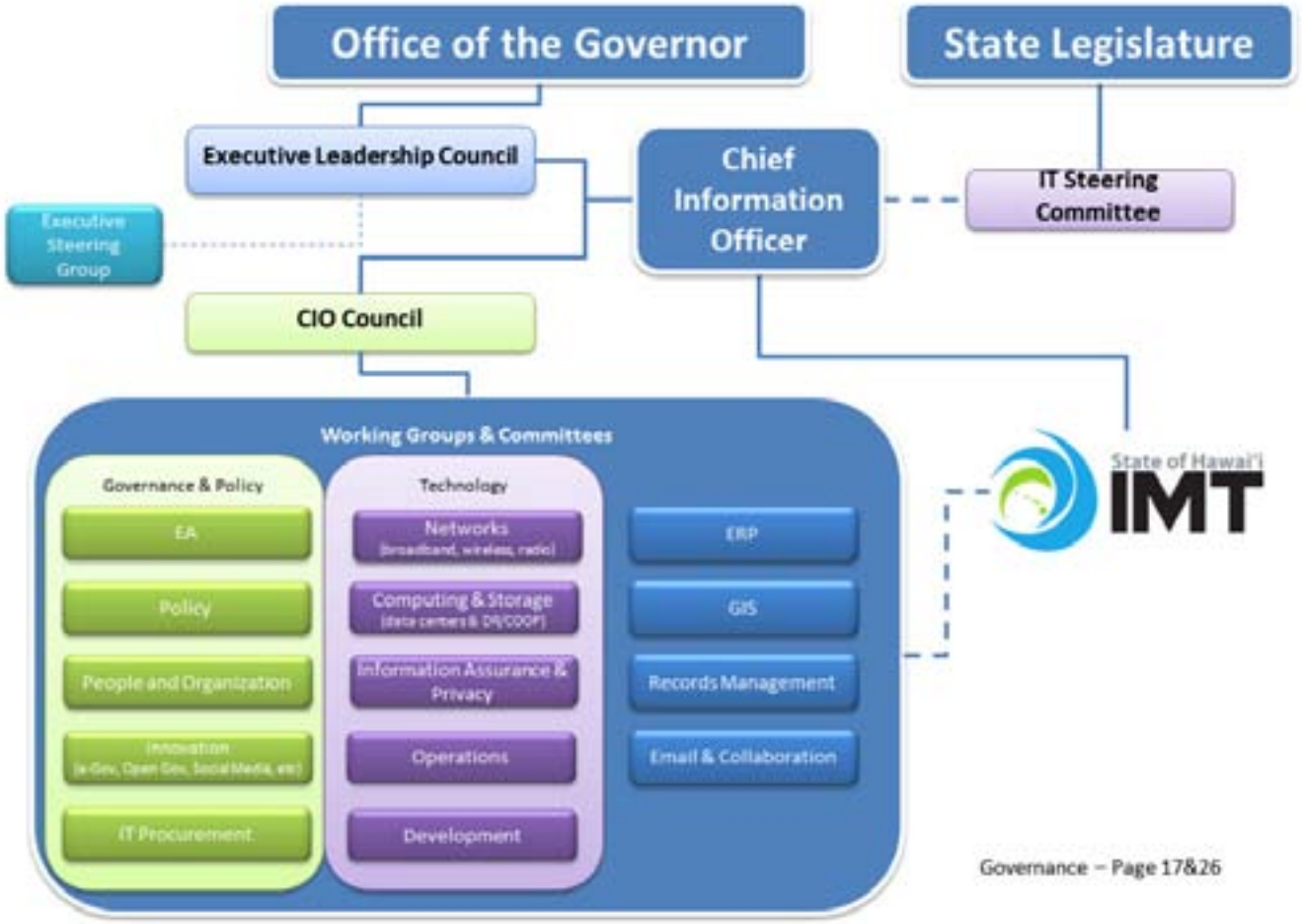

Figure 3: Governance Structure

The specific responsibilities of each governing body are described below.

3.1 EXECUTIVE LEADERSHIP COUNCIL (ELC)

3.1.1 PURPOSE

The ELC provides the State's strategic vision and direction for investments in business process improvement and Information Technology/Information Resource Management (IT/IRM). The ELC is the senior board accountable to the Governor and is responsible for setting priorities, establishing and tracking initiatives, resolving conflicts among Departments, and providing resources for transformation and IT/IRM initiatives.

The ELC is responsible for the five focused areas of IT governance:

- Strategic Alignment
  - Ensuring management has put in place an effective strategic planning process
  - Ratifying the aligned business and IT strategy
  - Ensuring the IT organizational structure complements the business model and direction

- Value Delivery
  - Sponsoring cross-cutting IRM/IT and business transformation initiatives
  - Ascertaining that OIMT has put processes and practices in place that ensure IT delivers provable value to the business
  - Ensuring investments represent a balance of risk and benefit and that budgets are acceptable

- IT Resource Management
  - Monitoring how management determines what IT resources are needed to achieve strategic goals
  - Ensuring a proper balance of IT investments for sustaining and growing the enterprise
  - Allocating business resources required to ensure effective IT governance over projects and operations

- Risk Management
  - Maintaining awareness about IT risk exposures and their containment
  - Evaluating the effectiveness of management's monitoring of IT risks

- Performance Management
  - Assessing senior management's performance on IT strategies in operation
  - Working with the CIO to define and monitor high-level IT performance

3.1.2 MEMBERSHIP

ELC membership consists of the voting and advisory members described below.

3.1.2.1 VOTING MEMBERS

The members of the ELC are the Directors of the Executive Branch Departments of the government of the State of Hawai'i, listed in the *Policy Plan*, and the Chief Information Officer (CIO). The Chair of the ELC is the Governor's Chief of Staff.

3.1.2.2 ADVISORY MEMBERS

Advisory members are non-voting members who attend meetings as subject matter experts to the Council. They provide recommendations on issues related to, for example, legislative compliance, records management, security, project management, enterprise architecture, and infrastructure impacts and risks associated with specific investments. They advise the ELC on the technical feasibility of proposed projects, the project's adherence to IT architectures and standards, its relationship to other IT projects, and the reasonableness of the project cost estimates. Advisory members may be government personnel or contractors.

The Chair or any other member of the ELC may invite other advisory members as appropriate for consultation on the decisions before the ELC.

3.1.3 ROLES AND RESPONSIBILITIES

The roles and responsibilities of the ELC are described below.

3.1.3.1 RESPONSIBILITIES OF THE ELC

1. The ELC provides leadership, strategic direction, prioritization, and coordination among the Departments with respect to business transformation and IT/IRM.

2. The ELC fosters cooperation and communication, brokers disputes, enables joint action, and engenders commitment from stakeholder across the State.

3. The ELC communicates awareness and understanding of business and IT objectives and direction to appropriate stakeholders and users throughout the enterprise.

4. The ELC is responsible for reviewing, understanding, and approving or disapproving (with comments and required remedial actions):

IT Strategic Plan and Annual Operating Plan. *The IT Strategic Plan* defines the mission, vision, goals, objectives, and performance metrics for how IT contributes to the State's strategic goals, and the related costs and risks. The IT Strategic Plan will address, at a minimum, the following areas:

- Policy and Organization
- Leadership/Management
- Process/Change Management
- Information Resources Strategy and Planning
- IT Performance Assessment: Models and Methods
- IT Project/Program Management
- Capital Planning and Investment Control (CPIC)
- Acquisition
- e-Government
- Information Security/Information Assurance (IA)
- Enterprise Architecture
- Technology Management and Assessment

The *Annual Operating Plan* is a yearly addendum to the *Strategic Plan* that identifies the specific Initiatives that will be undertaken in that year to achieve the objectives defined in the *Strategic Plan*, their resource requirements, and their associated performance targets.

According to the COBIT Framework, version 4.1, the optimal state is achieved when:

> "IT strategic planning is a documented, living process; is continuously considered in business goal setting; and results in discernible business value through investments in IT. Risk and value-added considerations are continuously updated in the IT strategic planning process. Realistic long-range IT plans are developed and constantly updated to reflect changing technology and business-related developments. Benchmarking against well-understood and reliable industry norms takes place and is integrated with the strategy formulation process. The strategic plan includes how new technology developments can drive the creation of new business capabilities and improve the competitive advantage of the organization."

Enterprise Architecture. The *Enterprise Architecture (EA)* describes both the current state (as-is) and the target state (to-be) of how the State's IT aligns with and supports the business. This information is typically presented in accordance with a series of established reference models; Performance, Business, Service, Data, and Technology. The EA also includes a transition sequencing plan.

COBIT's description of an optimized architecture states:

> "The information architecture is consistently enforced at all levels. The value of the information architecture to the business is continually stressed. IT personnel have the expertise and skills necessary to develop and maintain a robust and responsive information architecture that reflects all the business requirements. The information provided by the information architecture is consistently and extensively applied. Extensive use is made of industry good practices in the development and maintenance of the information architecture, including a continuous improvement process. The strategy for leveraging information through data warehousing and data mining technologies is defined. The information architecture is continuously improving and takes into consideration non-traditional information on processes, organizations, and systems."

Biennial and Supplementary Budget Requests. Hawai'i's budget is determined on a biennial basis beginning each even-numbered fiscal year, with an opportunity for supplemental budget requests to address emergent requirements in the odd-numbered years.

Budget requests must be as specific as possible for both costs and benefits. A sound business case should accompany each request for funding to provide the Legislature. Alternative funding sources (e.g., grants and in-kind donations, Federal funds, fee-for-service) should be explored prior to requesting resources from General Funds. For each budget request cycle, the ELC will review the proposal recommended by the CIO Council (CIOC) and approve, disapprove, or reprioritize each specific request prior to submission to the Legislature. At their discretion, the ELC may also add funding requests for new initiatives. The ELC is responsible for ensuring the budget request is sufficient to maintain the IT operations of the State.

COBIT states that investment management is optimal when:

> "Industry good practices are used to benchmark costs and identify approaches to increase the effectiveness of investments. Analysis of technological developments is used in the investment selection and budgeting process. The investment management process is continuously improved based on lessons learned from the analysis of actual investment performance. Investment decisions incorporate price/performance improvement trends. Funding alternatives are formally investigated and evaluated within the context of the organization's existing capital structure, using formal evaluation methods. There is proactive identification of variances. An analysis of the long-term cost and benefits of the total life cycle is incorporated in the investment decisions."

Statewide IT Policies. The ELC reviews and approves IT/IRM and business transformation-related policies that apply across all Departments within the State. Such policies include program and project management methodologies for IT/IRM and business transformation initiatives, IT/IRM acquisition, and records management policies, among others.

The COBIT criteria for optimal IT Policy management are:

> "The information control environment is aligned with the strategic management framework and vision and is frequently reviewed, updated and continuously improved. Internal and external experts are assigned to ensure that industry good practices are being adopted with respect to control guidance and communication techniques. Monitoring, self-assessment and compliance checking are pervasive within the organization. Technology is used to maintain policy and awareness knowledge bases and to optimize communication, using office automation and computer-based training tools."

Major Initiatives. Major Initiatives are those IT/IRM and business transformation initiatives that involve multiple Departments, cost millions of dollars, or take years to implement. In the past, each Department has undertaken major initiatives independently. While when looked at as individual projects, each one of these efforts had merit, the State can no longer afford to pursue major initiatives without coordination and sharing among the Departments. The ELC evaluates and approves major initiative proposals, and has oversight responsibility for the management and execution of these initiatives.

COBIT defines optimized project management as:

> "A proven, full life cycle project and program methodology is implemented, enforced and integrated into the culture of the entire organization. An ongoing initiative to identify and institutionalize best project management practices is implemented. An IT strategy for sourcing development and operational projects is defined and implemented. An integrated project management office is responsible for projects and programs from inception to post-implementation. Organization-wide planning of programs and projects ensures that user and IT resources are best utilized to support strategic initiatives."

3.1.3.2 RESPONSIBILITIES OF VOTING MEMBERS

1. Voting members are responsible for representing their Department, taking into consideration the interests of the State as a whole, in developing and maintaining the State enterprise and segment architectures.
2. Additionally, voting members are responsible for ensuring that they, or their pre-approved designee, are in attendance for meetings where voting may be required. This will be communicated ahead of the meeting via the agenda.

3.1.3.3 RESPONSIBILITIES OF THE CHIEF OF STAFF/ELC CHAIR

1. Presides over meetings and enforces this Charter.
2. With the assistance of the CIO and OIMT Staff, coordinates, schedules, and establishes the agenda for ELC meetings.
3. Ensures that proposed changes to the Charter are approved by the ELC before implementation.
4. Maintains the list of appointed members and ensures that those voting are members or designees appointed by their respective office directors as required by this Charter.
5. Establishes the advisory members of the ELC and other advisors as requested.
6. With the assistance of the CIO and OIMT staff, keeps the ELC informed of Hawai'i's IT strategy, architecture, initiatives, and policies and any proposed changes thereto.

3.1.3.4 RESPONSIBILITIES OF THE CIO AND OIMT STAFF

1. Provides guidance and assistance to IT/IRM and business transformation project sponsor offices in preparing the information that must be submitted for ELC reviews.
2. Provides advisory members and speakers to the ELC.
3. Provides support to the ELC for meeting arrangements, correspondence, recordkeeping, publication of minutes, and other logistical requirements as needed.
4. Maintains the Enterprise Alignment Database (EAD)/ Governance Tool to be used as a reference by the ELC.

3.1.3.5 RELATIONSHIP TO OTHER GOVERNANCE BOARDS

1. The ELC is the senior governance body in the State, accountable directly to the Governor. Its decisions shall be held binding by the CIOC, the State CIO, and OIMT.
2. Every document, policy, or initiative that the ELC will be asked to review and approve will have already been approved by the CIOC.
3. The ELC will consider recommendations made by the IT Steering Committee in its deliberations, but ultimately the decisions of the ELC will be based on its members' own perception of the best interests of the State.

3.1.4 METHODS AND PROCEDURES

This section describes the ELC's methods and procedures for meetings and communications.

3.1.4.1 MEETINGS

The ELC shall meet at least once per quarter, typically in the last month of each quarter, and as often as necessary to accomplish its purpose. Agendas will be distributed electronically to the ELC membership prior to the date of the meeting, but the primary purpose of each meeting is in alignment with the State's fiscal year. In general, the meeting topics will be as follows:

- December – Supplemental Budget Submission
- March – Architecture/Portfolio Review
- June – IT Strategic Plan/Annual Operating Plan
- September – Strategic Priorities

Meetings will be scheduled for three hours.

3.1.4.2 MEETING ABSENCE

In the event that a member cannot attend a meeting, the designee may cast proxy votes during the meeting, providing the designee has been pre-approved by the CIO.

3.2.4.3 MEETING GROUND RULES

The Chair presides over the meetings. The ELC uses consistent criteria for evaluating and approving IT/IRM and/or business transformation initiatives, including changes to the EA. Decisions are made by a simple majority vote of the members present. The Council will proceed with voting with the members present and the vote will be recognized by all members as valid.

3.1.4.4 MEETING MINUTES

The OIMT Staff will prepare and distribute the draft meeting minutes to the membership electronically. Members may provide comments or corrections in the minutes for a two week period after the draft minutes have been distributed. The final minutes will be distributed to the membership again and stored as permanent records for internal viewing and possible distribution to oversight authorities upon request without further approval by the ELC.

3.1.4.5 COMMUNICATION

Meeting invitations, agendas, review documents, and other notices will be distributed by the Chair via email to each member unless other means are requested by individual members. Additionally, agendas, review documents, and final meeting minutes will be posted to the OIMT collaboration site.

3.2 CIO COUNCIL (CIOC)

3.2.1 PURPOSE

The CIOC provides the State's expertise and understanding for investments in business process improvement and IT/IRM. The CIOC is accountable to the CIO, their respective Department Directors, and the ELC. It is responsible for bringing issues related to IT/IRM to the attention of the CIO, making recommendations regarding future plans to the CIOC, tracking initiatives, resolving conflicts among Departments, and providing resources for transformation and IT/IRM initiatives. Related to the five focus areas of IT governance, the CIOC is responsible for:

- Strategic Alignment
  - Functioning as the "idea" entry point for new investment ideas and requirements
  - Agreeing to the aligned business and IT strategy
  - Ensuring the IT organizational structure complements the business model and direction
  - Representing Department needs and priorities

- Value Delivery
  - Reviewing, promoting, and supporting IT/IRM projects and investments in achieving successful outcomes
  - Ascertaining that OIMT has put processes and practices in place that ensure IT delivers provable value to the business
  - Ensuring investments represent a balance of risk and benefit and that budgets are acceptable
  - Stewards Department Solutions and Department-Specific Infrastructure in compliance with Enterprise Architectures and Standards

- IT Resource Management
  - Sponsoring agreements to establish enterprise standards for enterprise-level technology, shared data, and web services
  - Monitoring how management determines what IT resources are needed to achieve strategic goals
  - Ensuring a proper balance of IT investments for sustaining and growing the enterprise
  - Allocating business resources required to ensure effective IT governance over projects and operations

- Risk Management
  - Maintaining awareness about IT risk exposures and their containment
  - Evaluating the effectiveness of management's monitoring of IT risks

- Performance Management
  - Assessing senior management's performance on IT strategies in operation
  - Working with the CIO to define and monitor high-level IT performance

3.2.2 MEMBERSHIP

The CIOC membership consists of the voting of advisory members described below.

3.2.2.1 VOTING MEMBERS

The members of the CIOC are the IT Leads of the Departments of the government of the State of Hawai'i, as listed in the *Policy Plan.* The Chair of the CIOC is the State CIO.

3.2.2.2 ADVISORY MEMBERS

Advisory members are non-voting members who attend meetings as subject matter experts to the Council. They provide recommendations on issues related to, for example, legislative compliance, records management, security, project management, enterprise architecture, and infrastructure impacts and risks associated with specific investments. They advise the CIOC on the technical feasibility of proposed projects, the project's adherence to IT architectures and standards, its relationship to other IT projects, and the reasonableness of the project cost estimates. Advisory members may be government personnel or contractors.

The Chair or any other member of the CIOC may invite other advisory members as appropriate for consultation on the decisions before the CIOC.

3.2.3 ROLES AND RESPONSIBILITIES

This section describes the roles and responsibilities of the CIOC.

3.2.3.1 RESPONSIBILITIES OF THE CIOC

First, the CIOC provides leadership, strategic direction, prioritization, and coordination among the Departments with respect to business transformation and IT/IRM.

The CIOC fosters cooperation and communication, brokers disputes, enables joint action, and engenders commitment from stakeholder across the State.

The CIOC communicates awareness and understanding of business and IT objectives and direction to appropriate stakeholders and users throughout the enterprise.

The COBIT Framework, version 4.1, the state that the optimal state is achieved when:

> "The information control environment is aligned with the strategic management framework and vision and is frequently reviewed, updated and continuously improved. Internal and external experts are assigned to ensure that industry good practices are being adopted with respect to control guidance and communication techniques. Monitoring, self-assessment and compliance checking are pervasive within the organization. Technology is used to maintain policy and awareness knowledge bases and to optimize communication, using office automation and computer-based training tools."

Second, The CIOC is responsible for reviewing, understanding, and recommending to the ELC for approval or disapproval (with comments and required remedial actions) for the items described below.

IT Strategic Plan and Annual Operating Plan. The *IT Strategic Plan* defines the mission, vision, goals, objectives, and performance metrics for how IT contributes to the State's strategic goals, and the related costs and risks. The IT Strategic Plan will address, at a minimum, the following areas:

- Policy and Organization
- Leadership/Management
- Process/Change Management
- Information Resources Strategy and Planning
- IT Performance Assessment: Models and Methods
- IT Project/Program Management
- Capital Planning and Investment Control (CPIC)
- Acquisition
- E-Government
- Information Security/Information Assurance (IA)
- Enterprise Architecture
- Technology Management and Assessment

The *Annual Operating Plan* is a yearly addendum to the Strategic Plan that identifies the specific Initiatives that will be undertaken in that year to achieve the objectives defined in the Strategic Plan, their resource requirements, and their associated performance targets.

According to the COBIT Framework, version 4.1, the optimal state is achieved when:

> "IT strategic planning is a documented, living process; is continuously considered in business goal setting; and results in discernible business value through investments in IT. Risk and value-added considerations are continuously updated in the IT strategic planning process. Realistic long-range IT plans are developed and constantly updated to reflect changing technology and business-related developments. Benchmarking against well-understood and reliable industry norms takes place and is integrated with the strategy formulation process. The strategic plan includes how new technology developments can drive the creation of new business capabilities and improve the competitive advantage of the organization."

Enterprise Architecture (EA). The *Enterprise Architecture (EA)* describes both the current state (As-Is) and the target state (To-Be) of how the State's IT aligns with and supports the business. This information is typically presented in accordance with a series of established reference models: Performance, Business, Service, Data, and Technology. The EA also includes a transition sequencing plan.

COBIT's description of an optimized architecture states:

> "The information architecture is consistently enforced at all levels. The value of the information architecture to the business is continually stressed. IT personnel have the expertise and skills necessary to develop and maintain a robust and responsive information architecture that reflects all the business requirements. The information provided by the information architecture is consistently and extensively applied. Extensive use is made of industry good practices in the development and maintenance of the information architecture, including a continuous improvement process. The strategy for leveraging information through data warehousing and data mining technologies is defined. The information architecture is continuously improving and takes into consideration non-traditional information on processes, organizations, and systems."

Biennial and Supplementary Budget Requests. Hawai'i's budget is determined on a biennial basis beginning each even-numbered fiscal year, with an opportunity for supplemental budget requests to address emergent requirements in the odd-numbered years.

Budget requests must be as specific as possible for both costs and benefits. A sound business case should accompany each request for funding to provide the Legislature. Alternative funding sources (e.g., grants and in-kind donations, Federal funds, fee-for-service) should be explored prior to requesting resources from General Funds. For each budget request cycle, the CIOC will review the proposal recommended by the CIOC and approve, disapprove, or reprioritize each specific request prior to submission to the Legislature. The CIOC may also add funding requests for new initiatives, at their discretion. The CIOC is responsible for ensuring that the budget request is sufficient to maintain the IT operations of the State.

COBIT states that investment management is optimal when:

> "Industry good practices are used to benchmark costs and identify approaches to increase the effectiveness of investments. Analysis of technological developments is used in the investment selection and budgeting process. The investment management process is continuously improved based on lessons learned from the analysis of actual investment performance. Investment decisions incorporate price/performance improvement trends. Funding alternatives are formally investigated and evaluated within the context of the organization's existing capital structure, using formal evaluation methods. There is proactive identification of variances. An analysis of the long-term cost and benefits of the total life cycle is incorporated in the investment decisions."

The CIOC will review and make recommendations to the ELC, IT/IRM and business transformation-related policies that apply across all Departments within the State. Such policies include program and project management methodologies for IT/IRM and business transformation initiatives, IT/IRM acquisition, and records management policies, among others. Any policies that will apply to personnel outside of OIMT and ICSD will be approved by the CIOC.

COBIT criteria for optimal IT Policy management are defined as:

> "The information control environment is aligned with the strategic management framework and vision and is frequently reviewed, updated and continuously improved. Internal and external experts are assigned to ensure that industry good practices are being adopted with respect to control guidance and communication techniques. Monitoring, self-assessment and compliance checking are pervasive

within the organization. Technology is used to maintain policy and awareness knowledge bases and to optimize communication, using office automation and computer-based training tools."

Major Initiatives. Major Initiatives are those IT/IRM and business transformation initiatives that involve multiple Departments, cost millions of dollars, or take years to implement. In the past, each Department has undertaken major initiatives independently. While when looked at as individual projects, each one of these efforts had merit, the State can no longer afford to pursue major initiatives without coordination and sharing among the Departments. The CIOC is responsible for evaluating major initiative proposals, making recommendations to the ELC, and overseeing the management and execution of these initiatives.

COBIT defines optimized project management as:

> "A proven, full life cycle project and program methodology is implemented, enforced and integrated into the culture of the entire organization. An ongoing initiative to identify and institutionalize best project management practices is implemented. An IT strategy for sourcing development and operational projects is defined and implemented. An integrated project management office is responsible for projects and programs from inception to post-implementation. Organization-wide planning of programs and projects ensures that user and IT resources are best utilized to support strategic initiatives."

3.2.3.2 RESPONSIBILITIES OF VOTING MEMBERS

1. Voting members are responsible for representing their Department, taking into consideration the interests of the State as a whole, in developing and maintaining the NRC enterprise and segment architecture.

2. Additionally, voting members are responsible for ensuring that they, or their pre-approved designee, are in attendance for meetings where voting may be required. This will be communicated ahead of the meeting via the agenda.

3.2.3.4 RESPONSIBILITIES OF THE CIO/CIOC CHAIR

1. Presides over meetings and enforces the Charter.

2. With the assistance of the OIMT Staff, coordinates, schedules, and establishes the agenda for CIOC meetings.

3. Ensures that proposed changes to the Charter are approved by the CIOC before implementation.

4. Maintains the list of appointed members and ensures that those voting are members or alternates appointed by their respective office directors as required by the Charter.

5. Establishes the advisory members of the CIOC and other advisors as requested.

6. With the assistance of the OIMT staff, keeps the CIOC informed of Hawai'i's IT strategy, architecture, initiatives, and policies and any proposed changes thereto.

3.2.3.5 RESPONSIBILITIES OF THE OIMT STAFF

1. Provides guidance and assistance to IT/IRM and business transformation project sponsor offices in preparing the information that must be submitted for CIOC reviews.

2. Provides advisory members and speakers to the CIOC.

3. Provides support to the CIOC for meeting arrangements, correspondence, recordkeeping, publication of minutes, and other logistical requirements as needed.

4. Maintains the Enterprise Alignment Database (EAD)/ Governance Tool to be used as a reference by the CIOC.

3.2.3.6 RELATIONSHIP TO OTHER GOVERNANCE BOARDS

1. The CIOC will consider recommendations made by the IT Steering Committee in its deliberations, but ultimately the decisions of the CIOC will be based on its members' own perception of the best interests of the State.

2. The CIOC makes recommendations to ELC. In some areas (notably, those specific to IT), the ELC may delegate decision authority to the CIOC, but the ELC maintains ultimate responsibility

3.2.4 METHODS AND PROCEDURES

This section describes the CIOC's methods and procedures for meetings, communications, and charter revisions.

3.2.4.1 MEETINGS

The CIOC shall meet at least once per month and as often as necessary to accomplish its purpose. Agendas will be distributed electronically to the CIOC membership prior to the date of the meeting.

3.2.4.2 MEETING ABSENCE

In the event that a member cannot attend a meeting, the designee may cast proxy votes during the meeting, providing the designee has been pre-approved by the CIO.

3.2.4.3 MEETING GROUND RULES

The Chair presides over the meetings. The CIOC uses consistent criteria for evaluating and approving IT/IRM and/or business transformation initiatives, including changes to the EA.

Decisions are made by a simple majority vote of the members present. The Council will proceed with voting with the members present and the vote will be recognized by all members as valid.

3.2.4.4 MEETING MINUTES

The OIMT Staff will prepare and distribute the draft meeting minutes to the membership electronically. Members may provide comments or corrections in the minutes for a two week period after the draft minutes have been distributed. The final minutes will be distributed to the membership again and stored as permanent records for internal viewing and possible distribution to oversight authorities upon request without further approval by the CIOC.

3.2.4.5 COMMUNICATION

Meeting invitations, agendas, review documents, and other notices will be distributed by the Chair via email to each member unless other means are requested by individual members. Additionally, agendas, review documents, and final meeting minutes will be posted to the OIMT collaboration site.

3.2.4.6 CHARTER REVISIONS

Revisions to this Charter will be made by providing the proposed changes to the CIOC at a monthly meeting. The Council will review the proposed changes and vote for adoption at the next meeting. 3.3 IT Steering Committee

3.3.1 PURPOSE

Act 200, Session Laws of Hawai'i 2010, established the Information Technology Steering Committee (ITSC) to assist the CIO with executing his responsibilities. The Act, as amended by Act 84 of 2011, states:

> There is established an Information Technology Steering Committee to assist the chief information officer in developing the State's information technology standards and policies, including but not limited to:
>
> 1. Assisting the chief information officer in developing and implementing the state information technology strategic plans;
> 2. Assessing executive branch departments' progress in meeting the objectives defined in the state information technology strategic plans and identifying best practices for shared or consolidated services;
> 3. Ensuring technology projects are selected based on their potential impact and risk to the State, as well as their strategic value;
> 4. Ensuring that executive branch departments maintain sufficient tools to assess the value and benefits of technology initiatives;
> 5. Assisting the chief information officer in developing state information technology standards and policies; and
> 6. Clarifying the roles, responsibilities, and authority of the information and communication services division, specifically as it relates to its statewide duties.

The members of the ITSC shall be appointed in equal number by the senate president and speaker of the house of representatives, respectively, and shall include representatives from executive branch departments, including large user agencies such as the Department of Education and the University of Hawai'i; the judiciary; the legislature; and private individuals. The CIO shall serve as the chair of the committee and shall ensure that the committee is evaluated periodically.

3.3.2 MEMBERSHIP

As appointed by the Legislature, the voting members of the ITSC are:

- Sanjeev "Sonny" Bhagowalia, CIO
- David Lassner
- Gordon Bruce
- Liane Moriyama

3.3.3 ROLES AND RESPONSIBILITIES

The responsibilities of the ITSC are as indicated by the Hawai'i Revised Statues.

3.3.4 METHODS AND PROCEDURES

This section describes the ITSC's methods and procedures for meetings, communications, and applicability of the Sunshine Law.

3.3.4.1 MEETINGS

The ITSC shall meet monthly, typically in the last month of each quarter, and as often as necessary to accomplish its purpose. Agendas will be distributed electronically to the ITSC membership prior to the date of the meeting.

Meetings will be scheduled for one hour.

3.3.4.2 MEETING GROUND RULES

The Chair presides over the meetings. The ITSC is advisory in nature and may provide the CIO with advice, insight, and recommendations on any topic related to IT standards and practices.

3.3.4.3 MEETING MINUTES

The OIMT Staff will prepare and distribute the draft meeting minutes to the membership electronically. Members may provide comments or corrections in the minutes for a two-week period after the draft minutes have been distributed. The final minutes will be distributed to the membership again and stored as permanent records for internal viewing and possible distribution to oversight authorities upon request without further approval by the ITSC.

3.3.4.4 COMMUNICATION

Meeting invitations, agendas, review documents, and other notices will be distributed by the Chair via email to each member unless other means are requested by individual members. Additionally, agendas, review documents, and final meeting minutes will be posted to the OIMT collaboration site.

3.3.4.5 SUNSHINE LAW

In general, the Sunshine Law applies to all state and county boards, commissions, authorities, task forces, and committees that have supervision, control, jurisdiction, or advisory power over a specific matter and are created by the State Constitution, statute, county charter, rule, executive order, or some similar official act.

A committee or other subgroup of a board that is subject to the Sunshine Law is also considered to be a board for purposes of the Sunshine Law and must comply with the statute's requirements.

3.4 WORKING GROUPS

Working Groups are standing bodies that, with the exception of the Executive Steering Group (ESG), are accountable to the CIOC, and which are responsible for planning and oversight of a specific area of the State's IT enterprise. The ESG is accountable to the ELC. The Working Groups are not decisional or governance entities themselves, although via their recommendations to the CIOC, may have a significant influence on the decisions of the larger body. Recommendations of the working groups are presented to CIOC for approval or recommendation to the ELC.

Membership of a Working Group may be composed of any IT support personnel, as designated by their respective Department CIO or DP Lead. In FY12, Working Groups will contribute to the development of the State's *Business and IT/IRM Transformation Strategic Plan*, including governance, methodologies, and enterprise architecture, but they will also continue to meet after the publication of the *Strategic Plan* to guide and oversee the implementation and operations of Hawai'i's IT enterprise.

The contributions of the Working Groups to the Strategic Plan will be critical to the success of Hawai'i's transformation in the coming years. Working Groups will develop the vision for the future state of Hawai'i's business and IT/IRM enterprise. Vision means a description, including diagrams and flowcharts, of the high-level processes and information flows of the ideal future state and the technology that will enable them. The Working Groups will also outline the projects and investments that will need to take place over the next ten years to implement the vision, including the required infrastructure, analysis and business process reengineering, requirements development, and system design, development, and deployment. These projects and investments will need to be sequenced, identifying the dependencies among them and potential risks and constraints. Finally, a rough cost estimate for each investment will be developed that includes personnel, contractors, hardware, software, training, and services.

The work product expected from each working group is a five-to-ten page document that follows a template that will be provided by OIMT. It describes the desired future state, shows the sequence of investments, and provides a cost breakdown. This product will be integrated with the inputs from other working groups and LOBs to create the overall To-Be EA and the Transition and Sequencing Plan for the next ten years. This Plan will in turn serve as the foundation for the State's IT budget requests to the Legislature. Therefore, it is important that the vision be realistic, and as accurate and complete as possible.

Working Groups are organized into three main areas, plus the ESG. These areas are: Governance and Policy, Technology, and Shared Services. In some cases, the size and complexity of a specific topic with a Working Group's domain may necessitate the formation of a sub-working group. If this need seems likely to continue, the CIOC will formally establish a new Working Group to address the specific issue.

Figure 4 depicts the organization of the Working Groups in relation to the CIO, OIMT, and the governance bodies (CIOC, ELC, and ITSC). Descriptions and current membership in each of the Working Groups follow.

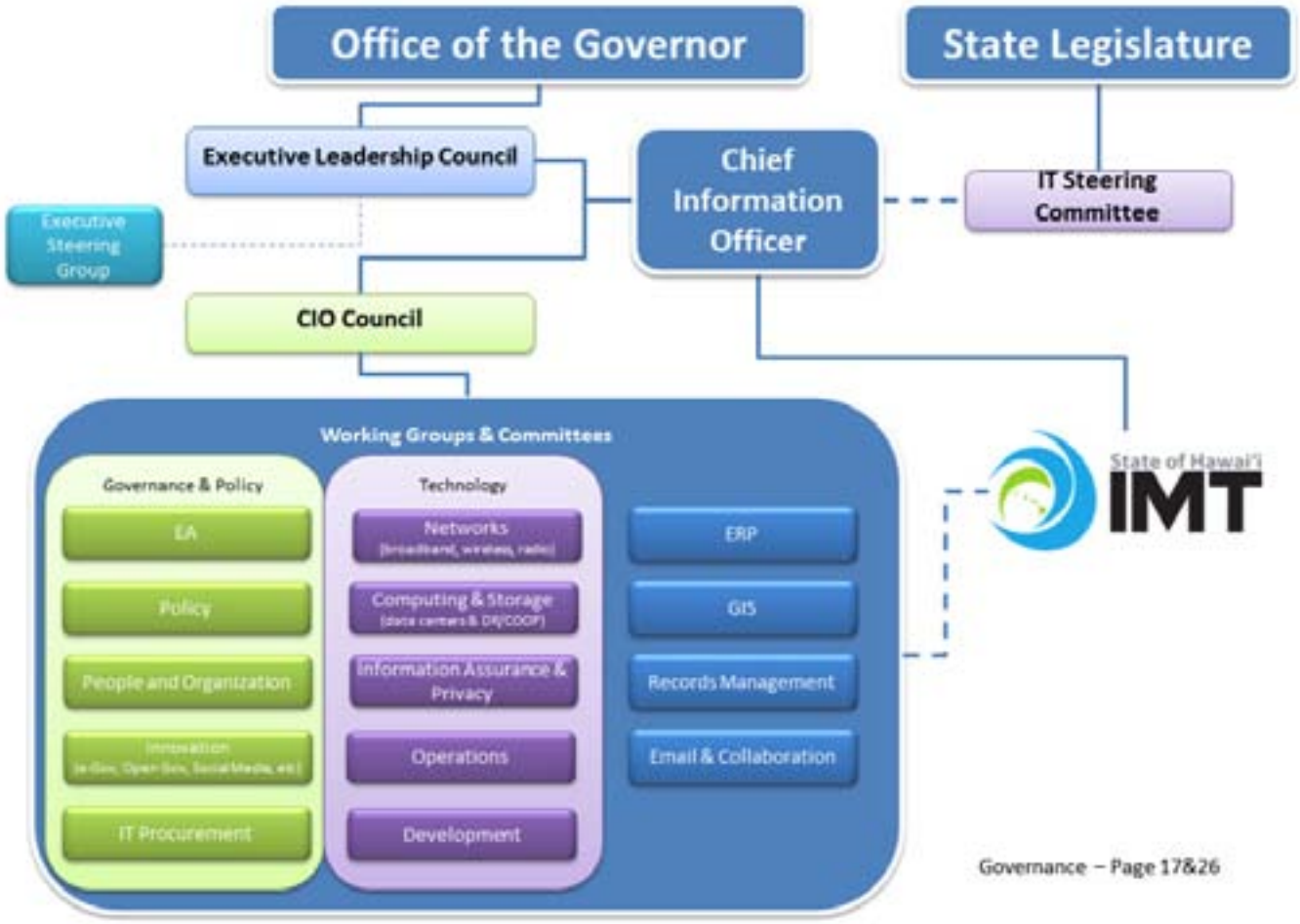

Figure 4: Working Group Organization Structure

3.4.1 EXECUTIVE GROUP

Group	Description
Executive Steering Group (ESG)	The ESG is composed of senior executives, nominally Department Deputy Directors or equivalents, who provide guidance and recommendations on matters outside of the scope of the CIOC, especially those that relate to business processes and business transformation. Specifically, the ESG reviews informational and decisional briefings prepared for the ELC to ensure quality and completeness when, due to their non-IT related subject matter, they have not been previously approved by the CIOC prior to their presentation to the ELC. Briefs that are not approved (informational) or endorsed (decisional) by the ESG will not be presented to the ELC.

3.4.3 GOVERNANCE AND POLICY WORKING GROUPS

Group	Description
IT Policy Working Group	The IT Policy Working Group reviews and recommends for approval the IT Policies applicable state-wide. Each policy will be reviewed and re-approved at least annually. The Policy Working Group is also responsible for ensuring that any deficiencies in IT policies found by audits or other means are addressed promptly.
Enterprise Architecture Group	The EA Working Group reviews and evaluates the EA of the State of Hawai'i. Hawai'i's EA includes the EBA, the LOBs and business functions the State Government engages in to accomplish its mission of serving the citizens of Hawai'i; the ESA, which describes the systems and applications used throughout the state to support its business processes; the EIA, which describes the structure and content of the information and data used by the state; and the ETA, which describes the hardware and software infrastructure within and upon which the solutions and information reside. Each architecture layer consists of both an As-Is, which describes the current state, and a To-Be, which describes the future state. Once the As-Is has been captured, it will be continually updated to reflect the evolution of the state's business and IT environment. The To-Be will be updated when new ideas or technologies become available and are selected by the EA Working Group and approved by the CIOC for inclusion in the target state. The EA Working Group also reviews and recommends for approval the Transition and Sequencing Plan, the high-level timeline for migrating processes, systems, applications, data structures, and technology to the target state.
People and Organization Working Group	The People and Organization Working Group is responsible for examining and recommending an organizational structure and human resources development plan to the CIOC. This group will plan for the integration of ICSD into OIMT, as well as the longer-term structure for managing the IT support personnel throughout each of the Departments. The Working Group will address not only organizational structure, but staffing levels, reporting relationships, position descriptions, personnel evaluation standards and practices, career development, recruiting and retention strategies, and relationship with the employees' union.
Innovation Working Group	The Innovation Working Group provides a formal mechanism for new ideas to be introduced into the state's business and IT enterprise. The initial focus of the group will be on potential e-Government and Open Government initiatives and social media. The Working Group should find ways to encourage innovation throughout the State and among the citizens through challenges, outreach events, industry days, conducts conferences with thought leaders, etc. Eventually, an Innovation Lab within OIMT could be established as a test bed or incubator for new ideas, which could provide programmatic support for proof-of-concept pilots identified by the group.
IT Acquisition Working Group	The IT Acquisition Working Group will work with the SPO to identify ways to make procurement of IT products and services by the state more agile and responsive to customer needs. Potential areas to explore include supplementing SPO staff with PIMT personnel to assist with processing of IT procurements; proposing changes to acquisition regulations and legislation; negotiating enterprise license agreements, GWACS, and BPAs; and/or establishing a web-enabled product and service catalog with pre-negotiated prices.

3.4.4 TECHNOLOGY WORKING GROUPS

Group	Description
Networks Working Group	The Networks Working Group is responsible for the vision and operation of the state's information networks. This WG oversees local-, wide-, and personal-area networks, wireless data (i.e., 3G/4G wireless mobile, and wi-fi), radio and microwave, satellite, and voice and video transmission. The group is also the CIOC's interface with the Hawai'i Broadband Initiative and the Federal Communications Commission (FCC). The group will coordinate with the Computing and Storage Working Group on the topic of Disaster Recovery and Continuity of Operations (DR/COOP).
Computing and Storage Group	The Computing and Storage Working Group plans and oversees the State's computing and storage environment, including data centers, servers, mainframes, supercomputers, personal computing (i.e., desktops, laptops, tablets, and PDAs), cloud, and peripherals (printers, scanners, cameras, etc.). The group establishes and monitors the technical refresh plan for the State. The group will develop a plan for consolidating the State's data centers over the next ten years as part of the Transformation Strategic Plan. The group will coordinate with the Networks Working Group on the topic of DR/COOP.
Information Assurance and Privacy Working Group	The Information Assurance and Privacy (IA & P) Working Group plans and oversees the State's IA &P programs; the policies, technologies, and standards the state employs to protect the confidentiality, integrity, and availability of the State's information at rest, in motion, and at work via application layer and security and continuous monitoring. The IA&P group will investigate Security-as-a-Service and Privacy-as-a-Service models for potential use by the State.
Service Management and Operations Working Group	The Operations Working Group is responsible for overseeing the day-to-day operations of the State's IT enterprise. They establish the system and service management processes and set performance standards for availability, response time, trouble calls, capacity utilization, energy consumption, etc. The group reviews the previous month's measures and longer-term trends and to formulate and recommend courses of action to improve performance. The group develops and implements the state's service delivery framework, applying ITIL standards and practices to manage service delivery. They are responsible for overseeing operations of the Service Desk, maintenance, and customer service excellence.
Development Group	The Development Working Group oversees the Development, Modernization, and Enhancement projects undertaken by the State. The Development Working Group sets development standards (e.g., project management, performance metrics, SDLC methodology, etc.) and serves as the primary oversight body of development, modernization, and enhancement (DME) projects. The Development Working Group reviews project status, directs PMs to address issues and monitors their resolution, and escalates issues to the CIOC. The group manages by exception, using dashboards and business intelligence tools to pull project information in real time rather than requiring PMs to create periodic reports. The group will also explore ways to make solution development within the state cheaper, better, and faster, potentially through approaches such as code libraries like forge.mil, Agile development, open source, etc.

3.4.5 SHARED SERVICES WORKING GROUPS

Group	Description
Enterprise Resource Planning (ERP) Working Group	The ERP Working Group focuses on the business, information, and technology requirements for the shared services that will comprise the State's ERP solution, namely Finance/Accounting, Human Resources, Supply Chain Management, Project Management, and Customer Relationship Management (CRM). The group will plan and oversee the first phase of the ERP project, develop the Statement of Work (SOW) and hire the consultants to perform the analysis and formal requirements development; manage the system integrator and ERP vendor in configuring and deploying the solution; and continue to evaluate the effectiveness and evolving requirements of the system.
Geospatial Information Systems (GIS) Working Group	The Geospatial Information Systems (GIS) Working Group is charged with developing the Strategic Plan for defining and implementing the desired future state for GIS in the State of Hawai'i. GIS, for the purposes of this Working Group, includes hardware, software, data, and standards for capturing, managing, analyzing, and displaying all forms of geographically referenced information. The group will focus primarily on those GIS systems and data of the State government, but they will also identify opportunities to coordinate with Federal and local governments, non-profit, academic, and commercial organizations and make available to them the capabilities, systems, and data used by the State.
Records Management Working Group	The Records Management Working Group ensures that the State's technology supports the standards established for maintaining official state records, including how records are created, where they are stored, how they are searched and accessed, and how they are disposed. The group oversees scanning/imaging of paper records, long-term storage and archiving, indexing, and cataloging of state records.
Email and Collaboration (Unified Communications) Working Group	The Email and Collaboration Working Group coordinates common standards for email and collaboration solutions within the state. The group will also oversee deployment and operations of the Active Directory (AD) and Domain Name System (DNS). Additionally, this group will investigate potential solutions for voice, video, and messaging capabilities.