Washington State Administrative Office of the Courts

ISD Transformation – IT Governance Initiative Update

Background

At the March 5, 2010 meeting, the JISC approved the Final IT Governance Framework as presented and documented in the "Final JIS IT Governance Framework Executive Overview," with the understanding that the entire amended Framework would be available for review by the next JISC meeting on April 23.

The JISC voted to adopt the Framework as presented on March 5, amended as follows:

- Add AOC as the 4th IT Review Committee for all requests that don't fall under the purview of one of the other three groups.
- Add the Misdemeanant Corrections Association as the 11th endorsing group.

Final IT Governance Framework Status

The Final IT Governance Framework reflects the decisions of the JISC at the March 5 meeting. An electronic version of the Framework has been provided to JISC members. Substantive supporting materials are published under separate cover in the Framework appendices. The appendices are available to JISC members upon request.

For additional information or access to the Framework appendices, contact Kathleen Wyer, AOC IT Governance Project Manager at (360) 705-5281 or Kathleen.Wyer@courts.wa.gov.

Washington State Administrative Office of the Courts

ISD Transformation

Work Order #2.2 – Implement IT Governance

Deliverable #3 – Final IT Governance Framework (Main Section)

Information Technology Governance Initiative

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This document contains the Main Section of the Final IT Governance Framework.
For additional information or access to the Appendices of the Final Framework,
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Document History

Author	Version	Date	Comments
L. Bame	0.1	01/18/2010	Draft report
M. Zanon	0.2	03/12/2010	Peer review
L. Bame	0.3	03/17/2010	Final draft submitted for client review
L. Bame	1.0	04/13/2010	Final report
L. Bame	2.0	04/20/2010	Final report submitted for signing

A. Executive Summary

"Establishing governance and setting up decision-making models will give us clarity, consistency, and feedback."

Justice Fairhurst, Chair
Judicial Information System Committee
April 17, 2009

Introduction

Information Technology (IT) Governance is about how IT investment decisions are made, communicated and overseen. IT Governance is defined as "*specifying the decision rights and accountability framework to encourage desirable behavior in using IT,*" by Peter Weill and Jeanne W. Ross, leading authorities on IT Governance. With an established IT Governance process, the Administrative Office of the Courts (AOC) can assure IT investment decisions align with the business plan and IT strategy, and that the IT Governance process provides clear guidance, repeatable processes and measurable outcomes.

The Final IT Governance Framework provides a structure and process to guide implementation of a new IT Governance model, which will enable effective, efficient and transparent IT investment decision-making for Washington Courts. At the March 5, 2010 Judicial Information System Committee (JISC) meeting, the JISC approved the Final IT Governance Framework as described in the "Final JIS IT Governance Framework Executive Overview" (see Appendix J). The complete "Final IT Governance Framework" document contained herein fully describes the Framework at a level of detail to support its implementation.

Background

In June 2009, a draft IT Governance Framework was approved by the JISC and AOC executive leadership. Since then, through an initiative of the AOC Information Services Division (ISD), AOC has worked to clarify, refine and build out the Framework in preparation for implementation.

Major Activities and Accomplishments

The following key IT Governance activities clarified and refined the draft Framework:

- Obtained guidance about the IT Governance needs of the court communities from Governance Advisory Panels with broad representation from various levels and types of courts
- Developed an easy to follow, streamlined, repeatable and transparent IT Governance process
- Defined clear roles and consistent rules for stakeholders in the IT Governance process
- Validated the completeness and usability of the Framework with proof of concept exercises

IT Governance Overview

IT Governance specifies the authority levels and creates an accountability framework that encourages desirable use of IT, which maximizes value and minimizes risk for the organization. Ideal IT Governance is a transparent process driven by a business plan, IT strategy, and clear and repeatable processes, with measurable outcomes that address both AOC and court user needs.

The IT Governance Framework was founded on commonly accepted business principles that promote business-IT alignment, stakeholder ownership and buy-in, accountability, transparency, collaboration, flexibility, sustainability, and structured processes. These principles are consistent with industry best practices and proven IT Governance frameworks.

In addition, existing policies, goals and objectives guided development of the IT Governance Framework, including JISC rules and policies, Access to Justice Technology Principles and Principal Policy Goals of the Washington State Judicial Branch.

IT Governance Framework

An IT Governance Framework defines both structure and process for IT governing bodies to classify IT requests, apply criteria and thresholds, determine the appropriate levels of authority and accountability and establish a foundation for IT investment decision making. The Framework supports the business needs of the courts by aligning IT investment decision-making with the strategic direction of AOC and the Washington courts community.

A core element of the IT Governance Framework is the process workflow for IT requests. The process workflow shows how a request progresses through each step of the IT Governance process, the relationships between decision points and possible process outcomes. Refer to Appendix C of the full report for IT Request Process diagrams.

The five steps in the IT Governance process are:

Step 1) **Initiate** – Initiate an incident or project request from the client user community.

Step 2) **Endorse** – Affirm the request is reasonable and viable to move it forward for analysis.

Step 3) **Analyze** – Ensure sufficient supporting documentation exists by having AOC staff analyze, assess and augment the request prior to review by recommending bodies.

Step 4) **Recommend** – Filter and score by IT Review committees against predefined criteria to create a prioritized list of IT requests.

Step 5) **Schedule** – Compare all recommended requests to determine the scheduling of action subject to delegated authority, resource availability and approved budget.

Throughout each step of the process, request status and decisions will be communicated to those directly involved and those who have a stake, or interest, in the process. Preplanned operational activity supported by ISD will be addressed outside the IT Governance process (e.g., scheduled system maintenance, data administration activities.)

Key attributes of the IT Governance Framework include:

- **Incidents/Mandates** – Incidents are unplanned interruptions or reduction in quality of an IT service. In addition to Incidents, mandated requests (e.g., legislation, court rule) and other critical requests will be expedited or "fast-tracked."
- **Site-Specific Rules** – Individual courts and court communities of interest have the flexibility to define site-specific rules regarding who can initiate and/or endorse a request.
- **Endorsement by Community of Interest** – Enables court associations or committees to review requests, determine their potential broader impacts and affirm the request is valid to move forward for analysis.
- **Preliminary Analysis** – AOC-ISD staff will provide initial scope and cost "ballpark" analysis to the IT request endorser; decisions to support for further consideration will be based on the results of full analysis that evaluates project scope, cost, complexity, benefits and risks.
- **Prioritization by new IT Review Committees** – Appellate Courts, Superior Courts, Courts of Limited Jurisdiction, and State Court Administrator IT Review committees will review and prioritize requests on a regular (likely quarterly) basis.
- **Recommendations by IT Review Committee** – The new IT Review committees will provide recommendation to advance a request for scheduling either with a unanimous approval or with pros and cons, or decline the request with a unanimous decision.
- **Authority** – JISC is responsible for approving all JIS requests. However, JISC delegates authority based on the thresholds identified in the JIS Delegation Matrix. Similarly, the Appellate Courts and AOC have an IT Governance Framework that meets their specific needs. Refer to Appendix E for more information about the delegation matrices.
- **Decision to Schedule** – Requests that have been advanced from the Recommend step will be scheduled, pended for later scheduling or returned to the appropriate recommending body for additional consideration.

Key benefits of the IT Governance Framework include:

- The IT Governance process is simplified, consistent and repeatable:
  - The Framework is designed to allow a request to go through the process with enough information to make reasoned, well-informed decisions in a streamlined and consistent manner.
- IT requests are assessed and solutions proposed that:
  - Maximize business value and benefit
  - Minimize potential risks
  - Provide a positive cost-benefit analysis and desirable return on investment
  - Leverage existing IT portfolio assets and technology expertise
  - Optimize use of existing resources
  - Align with enterprise architecture and other technology-related standards.

- Open and ongoing communication provides transparency and ensures stakeholders are informed of request status and decisions throughout the request process.
- Court communities are engaged at critical decision points throughout the request process. This includes initiating requests, endorsing requests through endorsing committees and evaluating and prioritizing requests through IT Review recommending committees.

Recommended Success Strategies

To guide and support successful implementation of the new IT Governance Framework, the following strategies are recommended:

- Create a simple and repeatable process that is easy to understand and use.
- Promote transparency and open communication throughout the process.
- Use the IT Governance process unchanged for a minimum of 12 months, allowing stakeholders the time to learn, assess, and plan for improvements.

Although this Executive Summary highlights just a few recommendations, the full body of this report contains an expanded Recommendations section, which provides additional detail and highlights recommendations from other IT Governance deliverables.

JISC Guidance Required

To effectively establish and launch a new IT Governance process, the following guidance is needed from JISC over the March to June 2010 timeframe:

- Establish and communicate a JIS budget
- Confirm business priorities
- Identify priority projects
- Endorse IT strategic direction
- Champion IT Governance Framework

Next Steps

To ensure successful implementation of the new IT Governance Framework, the following needs to occur:

- Create and charter IT Review committees
- Conduct necessary training
- Establish operational (AOC internal) IT Governance processes (April – June 2010)
- Provide initial support for new IT Governance process for court communities (July 2010)
- Develop automated system for IT request capture, tracking and reporting

B. Introduction

Information Technology (IT) Governance is about how IT investment decisions are made, communicated and overseen. For the Administrative Office of the Courts (AOC), that means "*the processes, roles, and responsibilities by which IT investment decisions are made to support and serve the business needs of the courts.*"

IT Governance should be driven by a business plan, align with an IT strategy, and provide clear guidance, repeatable processes and measurable outcomes. To be most effective, IT Governance should:

- **Establish** the basis for project oversight, approval and measurement – including defining roles and accountability, policies and standards, and associated processes.
- **Evaluate** investment proposals to select those that are the best expenditure of funds and scarce resources, and are within the organization's ability to deliver.
- **Define** the desired business outcomes, benefits and value (e.g., the business measures of success and overall value proposition).
- **Control** project scope and funding.
- **Monitor** project progress, stakeholder commitment, and results achieved.
- **Measure** the outputs, outcomes, benefits and value – against both the plan and measurable expectations.
- **Act** to 'steer' projects into the organization, remove obstacles, manage the critical success factors and remediate project or benefit-realization shortfalls.
- **Develop** the organization's project delivery capability – continually building and enhancing its ability to deliver more complex and challenging projects in less time and for less cost while generating the maximum value.

Successful implementation of IT Governance will depend, in part, on integrating the governance process and disciplines with processes being developed as part of the AOC Information Services Division (ISD) Project Management Office (PMO), Information Technology Portfolio Management (ITPM) and Enterprise Architecture Management (EAM) initiatives. Figure 1 on the following page shows the inter-relationships of these key initiatives underway in ISD as part of the ISD Transformation project.

IT Governance → PMO

IT Governance drives PMO. Projects approved through IT Governance go to the PMO, which then delivers, controls, and monitors them.

ITPM → IT Governance → PMO

IT portfolio management begins with assessment of current assets. Decisions on future assets are made through the IT Governance process. As part of the evaluation, ISD must determine which assets to keep, what to replace based on their continuing value, and whether the financial investment for replacement is worth the cost.

The three elements depend on each other to be most effective. Without established IT Governance processes, the PMO may lack clear direction. If the PMO does not deliver, the portfolio may not be complete or valid. Portfolio management is an outcome of both IT Governance and the PMO. Implementation of these three initiatives within ISD with special attention to their interdependencies will result in a higher likelihood of aligning IT investments with the business strategy and priorities of the courts.

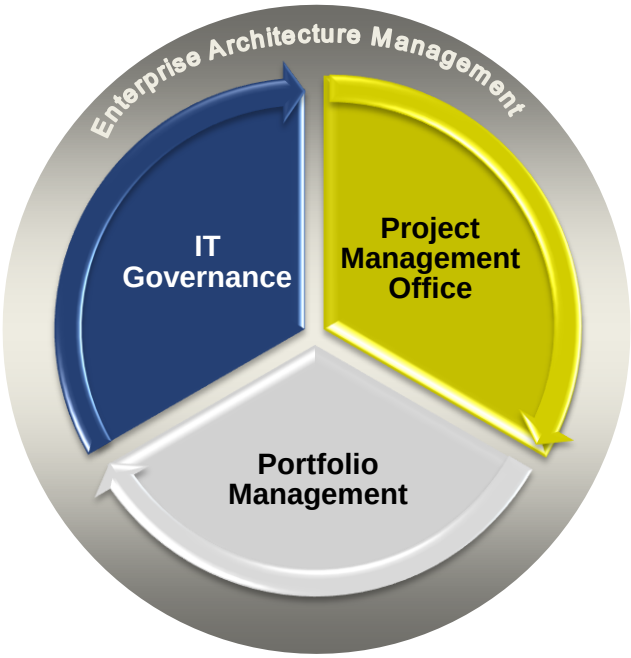


Figure 1.

Enterprise Architecture Management → ITPM → IT Governance → PMO

In addition to the interdependency between IT Governance, PMO and ITPM, the fourth highly integrated element of the IT organization is EAM. EAM establishes the standards and protocols that guide IT Governance investment decisions, the composition of the Portfolio and the solutions implemented by the PMO.

IT Governance requires both structure and process to guide IT investment decisions, to make those decisions transparent to the broader court community and ensure investments solve business problems and align with the strategic direction of the Judicial Information System Committee (JISC) and AOC. The goal of AOC's IT Governance Initiative is to deploy a governance framework and accountability structure that promotes effective IT investment decisions through:

- Transparency – requiring ongoing communication.
- Delegation – to appropriate authority levels.
- Process – followed consistently by all participants.

IT Governance should not be a static endeavor. While the goals of governance are fixed, the structure and methods need to be flexible and evolving to accommodate changes in policy, funding, timelines, and expectations.

C. Purpose

The purpose of the Final IT Governance Framework is to refine and expand upon the Interim Framework and provide sufficient detail for implementation.

On June 26, 2009, the JISC voted to approve the draft IT Governance Framework, amended to eliminate the proposed Judicial Technology Advisory (JTA) Committee. They also approved a revised IT Governance Delegation Matrix (e.g., JTA removed). Refer to Appendix E for additional description of delegated authorities.

The objective for developing the Interim IT Governance Framework was to add enough detail to the June 2009 Framework to engage stakeholders in a dialogue about what questions need to be asked, what data needs to be collected, what options should be considered, and what authorities and accountabilities need to be in place in the Final IT Governance Framework.

The Final IT Governance Framework builds upon important themes, recommendations, and considerations introduced in the Interim Framework, such as:

- Framework – refined and elaborated upon through court community input, AOC expertise, and industry best practices.
- IT request process – tested and improved to reflect real-world processes and considerations for each step of the request process.
- Existing policies and procedures – in-depth review guided recommendations for aligning IT Governance decisions with IT and business strategy and development of a draft Charter template for new IT Governance structures.
- Tools – identified policies, procedures and technology needed to implement and support the new IT Governance process.
- Exception Handling – described processes and procedures to handle exceptions throughout the IT Governance process.
- Participants – identified participants in each step of the IT request process and outlined their roles and responsibilities.
- Metrics – developed preliminary metrics to capture the value and benefits of IT Governance.

D. Approach

In developing the Final IT Governance Framework, the Interim Framework as described in the previous section titled "Purpose," was reviewed and revised to reflect additional court community and AOC input. Each component of the process was subjected to a more in-depth analysis and evaluation. IT Governance best practices (e.g., COBIT®, Val IT™, ITIL®) have been incorporated into the Final Framework to guide alignment of business practices with the IT Governance needs of Washington State Courts.

Existing IT Governance policies, procedures, tools, and templates have been identified and analyzed. As part of a separate IT Governance Initiative deliverable, the "PMO Integration Report," a plan was developed to address cross-initiative integration considerations within AOC-ISD. Additionally, the IT Governance Framework was reviewed with court stakeholders through the IT Governance Advisory Panel sessions and with AOC staff throughout the course of the project.

Key Activities in Support of the IT Governance Framework:

The following activities contributed to the development of the Final IT Governance Framework:

- Refined and elaborated upon the Interim IT Governance Framework.
- Identified and documented impacts and issues that could influence the Framework.
- Identified groups and individuals involved in the IT Governance process and described their roles and responsibilities.
- Developed concepts of tools, templates and process descriptions.
- Identified preliminary IT Governance reporting and metrics.
- Reviewed IT Governance ISD Transformation project artifacts with the project team.
- Reviewed and validated IT Governance processes with court stakeholder communities.
- Reviewed selection criteria and delegated authorities with the AOC-ISD Project Management Office (PMO).

To accomplish these activities, the IT Governance project team conducted research and interviewed AOC staff to learn about current and past governance processes, tools used, and future needs. Refer to Appendix A for a listing of related meetings, interviews, and discussions.

An IT Governance Framework is established for each of the three key IT Governance stakeholder groups: JIS, Appellate Courts and AOC. Although the primary focus of this document and the Framework is on JIS governance, the Appellate Courts and internal AOC IT Governance structures will have distinct roles and responsibilities, predominately similar to the JIS roles and responsibilities. Throughout this document, distinctions are made where appropriate for the different governance frameworks. The fundamental differences are found in the roles and responsibilities for the Endorse and Recommend steps of the IT request process (e.g., who endorses and who recommends) as well as the differences in the delegation matrices. Refer to Appendix E for a description of each of the delegation matrices and a table highlighting stakeholder roles and responsibilities for each group.

The following table provides context to the breadth of potential stakeholder involvement in the IT Governance process for the Washington courts in relation to the steps of the IT Governance process:

IT Governance Process	Breadth of Stakeholder Involvement
Initiate Step	1 - 24,000 court community JIS clients
Endorse Step	1 of 11 court-based Endorsing Committees
Analyze Step	1 - 50 AOC-ISD and other AOC staff
Recommend Step	1 of 4 IT Review Committees
Schedule Step	JISC or delegated authority

The "ISD - Business Blueprint Process and Procedure" provided in the IT Governance Proof of Concept Report, identifies the various phases in the lifecycle of an IT request, the participants in each of those phases, and the process flows associated with each phase of the lifecycle. The Blueprint describes the following ISD stakeholders and functions:

ISD Operations

The ISD Operations group is responsible for the review and response to all Incident ticket requests submitted into the AOC Right Now! Incident management system or the AOC Help Desk. They are also responsible for review and response to submitted Change Requests or Known Errors.

IT Service Manager (ITSM)

The new ISD ITSM will fulfill the role of first point of contact for IT requests entering ISD. This role will ensure each request is complete, is not a duplicate of an existing project or previously submitted request, and is analyzed (triaged) as quickly as possible.

Operations Control Board (OCB)

The OCB will be comprised of a combined group of ISD functional managers, representatives from PMO, ITPM, and EAM, and other AOC staff as appropriate. OCB members will participate in the review and analysis of requests put forward by the Endorsers. The ITSM will be responsible for coordinating and overseeing the work of the OCB.

Project Management Office (PMO)

The PMO is responsible for all Project Delivery at ISD.

Enterprise Architecture Management (EAM)

AOC requires an Enterprise Architecture framework and process to ensure that IT applications developed and implemented at AOC have an enterprise-wide perspective. The Enterprise Architecture framework and supporting activities will result in ISD management capabilities

and related processes necessary to develop and control the business, information, application, and technical architectures that in turn provide standards and guidance for the design and deployment of applications and services across the organization.

Portfolio Management

Portfolio Management provides the decision-making data, processes and framework for defining IT assets into portfolios and managing these IT portfolios to achieve AOC business goals. Over time, Portfolio Management will support the long-term goal of being able to properly manage, monitor and measure the costs and performance of IT assets.

The Final IT Governance Framework provides a description of IT Governance principles, goals, objectives, delegated authorities, classifications, filters, criteria, committees and IT request process workflow. The following section describes these Framework components in detail, elaborated upon from the Interim Framework, reflecting industry best practices and the guidance and feedback from the IT Governance Advisory Panels, AOC staff and the JISC. Refer to Appendix A for a listing of stakeholder interviews and Advisory Panel participants.

E. Final IT Governance Framework Overview

The remainder of this report describes the Final IT Governance Framework in detail. It contains the following sections:

IT Governance Architecture – the business goals and IT strategies that drive alignment of IT investments with business priorities for value realization.

IT Governance Framework – the IT Governance Framework as approved by the JISC and the AOC Leadership Team in June 2009; updated to reflect requested changes and additional guidance.

IT Governance Model – an expanded outline of the accepted framework, incorporating additional structure, guidance and illustrations of the draft model.

IT Governance Tool – a description of, and set of guidelines regarding, the future "to-be" state and the composition and interaction between technology, policy, process and procedure.

Implementation Considerations – a summary description of the anticipated approach, timing and sequencing of the implementation of the new IT Governance model into a production environment.

Recommendations – a listing of recommendations for implementation of the new IT Governance Framework, drawn from various IT Governance deliverables.

1. IT Governance Architecture

IT Governance Architecture provides a description of the business goals and IT strategies that will drive alignment of IT investments with business need and guide achievement of resultant value for AOC and the Washington courts community. The IT Governance Architecture was reviewed with the JIS IT Governance Advisory Panel participants in their initial session in November 2009 and changes to the original framework were reflected in the Interim IT Governance Framework published in February 2010.

Whereas most organizations embrace the concept of strategic planning and agree that IT investments need to align with the organizational or "business" strategy, few organizations are successful in demonstrating how their IT investments actually align with their business strategy. These organizations are also challenged to quantify how those investments add value to the organization. This is why so many governance structures across private sector, government and non-profits perennially question what value they have received in return for their IT dollars. Therefore, it is imperative for a successful IT Governance Framework to be built upon an architecture that ensures business and IT strategies, policies, priorities and metrics guide and enable strategic alignment.

The IT Governance Architecture provides an overview of how to align IT investments with business goals and objectives to maximize the value, quality, and use of an organization's IT assets (e.g., applications, data, technology, people.) The Architecture also includes a summary of key business objectives, principal policy goals of the Judicial Branch, Access to Justice

Technology Principles, and a description of the key IT Governance principles necessary to support those objectives.

In addition to the strategic alignment, the IT Governance Architecture needs to assure technology alignment of IT investments with the existing IT Portfolio, Enterprise Architecture and other technical standards. To do so, at a minimum, the following need to be in place:

- A defined IT Portfolio with a complete inventory of assets
- A defined Enterprise Architecture with standards and guidelines that support individual reference architectures and promote consistency and reusability (e.g., technologies, data exchange protocols, security standards)

Strategic Alignment – SAM

The Strategic Alignment Model (SAM) was developed by Henderson and Venkatraman (1993) to "conceptualize and direct the area of strategic management of IT." The SAM shows the interrelationships between IT Strategy, Business Strategy, Organizational Infrastructure and Processes, and IT Infrastructure and Processes. The following SAM diagram (Figure 2) has been embellished to include strategies, processes and other components specific to AOC and the enterprise of Washington Courts communities. Although not an exhaustive representation, this diagram visually portrays how the interrelationships between strategy and operations can relate to the AOC and Washington courts IT environment:

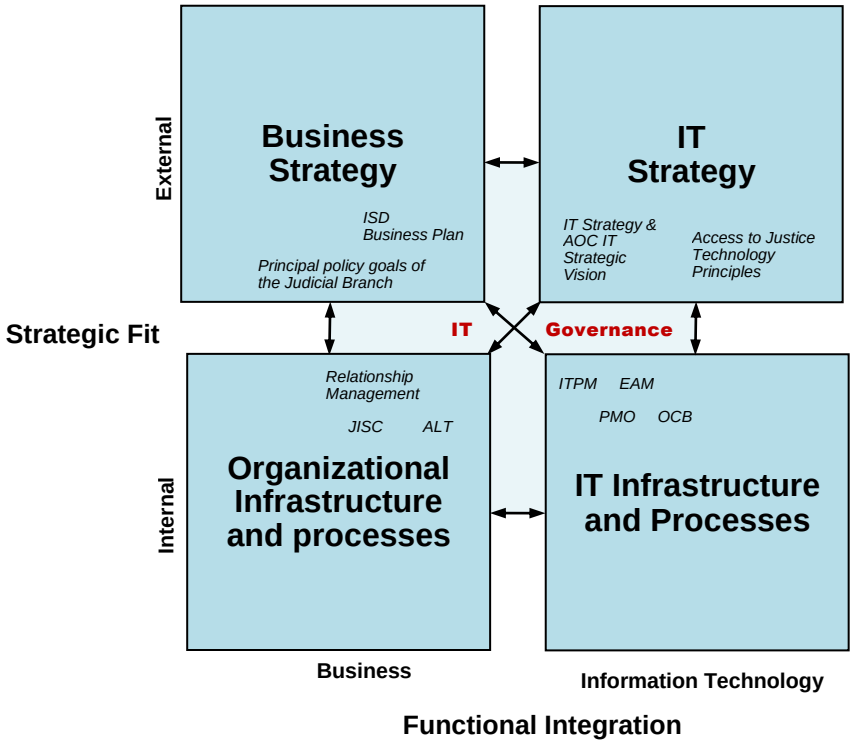


Figure 2. Strategic Alignment Model applied to Washington Courts

HENSERSON J.C. AND VENKATRAMAN N., 1993,
Strategic alignment: leveraging Information Technology for transforming organizations",
IBM Systems Journal, vol. 32, nr. 1; diagram adapted to change IS to IT.

Strategic Alignment – JIS Policies, Principles and Objectives

In addition to the JISC Rules, Bylaws and authorizing statute, RCW 2.68.050 (Electronic access to judicial information), various principles, policies and objectives currently direct IT investment decision making for Washington Courts. Several of these are profiled in the table on the following page. Refer to Appendix I for additional information on IT Governance principles and policies.

Access to Justice Technology Principles[1]	Judicial Branch Principal Policy Goals[1]	AOC IT Strategic Vision[2]	AOC IT Strategic Goals[2]	ISD Business Objectives: ISD Transformation[2]
Requirement of Access to Justice	Fair and Effective Administration of Justice in All Civil and Criminal Cases	ISD has new management, a strong sense of purpose, and renewed vigor with enthusiasm to deliver. ISD can become a strategic partner to the courts and their provider of choice for high value IT services.	Efficiently delivers services to the courts, providing greater value despite limited resources.	Simplify the customer base and rationalizing services based on defined customer priorities
Technology and Just Results	Accessibility		Is viewed by its customers as a strategic partner that has a deep understanding of their needs and proactively offers solutions that address their toughest problems.	Reorganize ISD to add key functions and better align the organization with customer groups - this will enable the delivery of solutions that better meet customer needs
Openness and Privacy	Access to Necessary Representation		Is the provider of IT services that courts look to first for new solutions because it consistently delivers on expectations	Mature ISD by implementing governance, developing new capabilities, establishing new functions and acquiring required skills - this will allow the delivery of higher value services more efficiently
Assuring a Neutral Forum	Commitment to Effective Court Management			Modernize the JIS applications to provide greater functionality, and improve integrity, reliability, maintenance, and standardization
Maximizing Public Awareness and Use and Best Practices	Appropriate Staffing and Support			

(1) Refer to Appendix I – "IT Governance Principles and Policies" for the complete "Access to Justice Technology Principles" and "Principal Policy Goals of the Washington State Judicial Branch"

(2) Extracted from the ISD Strategic Vision, "State of Washington Administrative Office of the Courts, ISD Business Planning and Governance Business Plan," Approved July 20, 2009 (http://www.courts.wa.gov/content/publicUpload/JIS%20Roadmap/ISD%20Business%20Plan.pdf) and the "State of Washington Administrative Office of the Courts ISD Business Planning and Governance IT Strategy," July 20, 2009 (http://www.courts.wa.gov/content/PublicUpload/JIS%20Roadmap%20Bulletin/E&Y%20IT%20Strategy%20Final%20Version%206-26-09.pdf)

Strategic Alignment – ISD Transformation Objectives & Guiding Principles

In addition to the aforementioned goals, principles, policies and objectives, there are also clear benefits and target outcomes which AOC-ISD is actively striving to achieve through the ISD Transformation project, which is a multi-year, multi-initiative effort to implement the operational plan activities (OPAs) outlined in the June 2009 ISD Operational Plan. The ISD Business Plan outlines the following benefits ISD expects to attain from the Transformation:

- **Increased Court process efficiency** – The combination of Court process standardization and new system functionality will eliminate work-around and drive efficiencies in Court processes.
- **Increased responsiveness to customer needs** – The ISD organization will have more flexible systems. ISD will be able to quickly adapt to new or changing customer needs.
- **Enhanced judicial decision-making** – ISD will provide Courts with better quality information, reporting and analysis, allowing them to make more informed decisions.
- **Greater customer satisfaction** – Court users will be more satisfied with the services provided. User satisfaction is critical to the success of a system. ISD will have the capability to set, manage and deliver on expectations and this will drive up customer satisfaction.

Refer to http://www.courts.wa.gov/content/publicUpload/JIS%20Roadmap/ISD%20Business%20Plan.pdf for a complete copy of the ISD Business Plan.

To achieve the desired benefits of the ISD Transformation, the ISD IT Strategy provided the following guiding principles:

- Baseline project management capabilities must be developed first, so that all subsequent initiatives can be successfully executed.
- The organizational structure must be redesigned so it can accommodate and support the development of new capabilities.
- Key organizational capabilities must be matured before ISD can successfully implement new JIS technology.
- The length of time during which new or modified applications and legacy applications are supported in parallel must be minimized.
- The timing of initiatives must accommodate resource and funding limitations and allow time for ISD to absorb organizational change.

Refer to http://www.courts.wa.gov/content/PublicUpload/JIS%20Roadmap%20Bulletin/E&Y%20IT%20Strategy%20Final%20Version%206-26-09.pdf for a complete copy of the ISD IT Strategy.

Over time, as business and technology strategies, goals and objectives are reviewed and revised, their alignment with IT Governance needs to be assessed and updated as needed.

Strategic Alignment – Val IT© IT Governance Framework

In support of the IT Governance Architecture and the need for strategic alignment of IT, an industry leading IT Governance framework – the Val IT© IT Governance Framework – provides mechanisms to guide and validate this alignment.

Val IT provides a comprehensive and robust framework to assure that organizations can align strategically and also demonstrate the value of that alignment.

The following questions are key to the Val IT Framework:

- **Strategy**: *Are we doing the right things?*
- **Architecture**: *Are we doing them the right way?*
- **Delivery**: *Are we getting them done well?*
- **Value**: *Are we getting the benefits?*

Refer to Appendix F-4 for additional information on industry leading IT Governance practices and frameworks and a diagram that shows how strategic alignment is facilitated and supported by the Val IT© IT Governance Framework.

Strategic Alignment – SWOT Analysis

The SWOT Analysis is a valuable tool commonly used for high-level organizational, situation or problem analysis. In developing a SWOT Analysis, **s**trengths, **w**eaknesses, **o**pportunities, and **t**hreats are placed on a four-square grid, providing a holistic view of the analysis on a single page. Analysis of strengths and weaknesses focus on influences from an internal perspective and analysis of opportunities and threats focus on influences from an external perspective.

This tool is particularly useful for presenting complex issues in a simple format. An example of a SWOT Analysis for AOC-ISD was incorporated in the "ISD Strategic Vision" document and is shown in Figure 3 below:

> *"ISD's strengths, weaknesses, opportunities and threats were taken into consideration when determining the path towards the future state. The IT Strategy shores up weaknesses, mitigates threats and capitalizes on opportunities."*

Strengths: ‣ IT Operations Management ‣ Disaster Recovery ‣ Application Maintenance	**Opportunities:** ‣ Availability of Skilled Resources ‣ Next Generation commercial off the shelf (COTS) systems
Weaknesses: ‣ Complex Application and Data Architecture ‣ Lack of Customer Alignment ‣ Missing or Ineffective Governance Bodies ‣ Lack of Process Definition and Standardization ‣ Weak Security Controls	**Threats:** ‣ Loss of State Funding ‣ Customers Using Other IT Service Providers ‣ Low Customer Credibility ‣ High Variability of Court Processes

ISD Strategic Vision, "State of Washington Administrative Office of the Courts, ISD Business Planning and Governance Business Plan," Approved July 20, 2009 (http://www.courts.wa.gov/content/publicUpload/JIS%20Roadmap/ISD%20Business%20Plan.pdf)

Figure 3.

Performing a SWOT analysis with a focus on IT Governance, augmented by simple metrics, will aid AOC in efforts to measure and communicate its success at strategic alignment and value gained through implementation of a new IT Governance process.

IT Governance Principles

The IT Governance Principles, refined from the **PMO Deployment Roadmap (**Deliverable #3 Findings and Recommendations) are consistent with industry best and proven practices and are grouped into high-level categories as follows:

Strategically aligned

- **Strategic Alignment** – Ensures governance processes are aligned with business priorities and reflect the strategic direction of the JISC and AOC accordingly.

Ownership and authority

- **Ownership** – Decision makers and other stakeholders clearly understand their discreet role in the governance process and the roles of others. Leadership takes ownership of the governance model and tools, and facilitates future reviews and improvements.

  The ownership principle aligns with the accountability principle by ensuring IT Governance processes are integrated within existing AOC governance and management processes.

Figure 4.

- **Authority** – A consolidated approach provides clearer authority based on a common IT Governance framework.
- **Mandated Authority** – A designated IT Governance authority and supporting governance structures will establish priorities, manage key issues and make decisions relating to the selection and management of requests, initiatives, and projects. The mandate should enable the development of principles, standards, operational policies and procedures across the broader ISD environment.
- **Federated Model** – A federated IT Governance model brings together stakeholders, providers and users to govern the development and implementation of an IT Governance framework. The federated model seeks to network and integrate participants rather than remove authority and replace it with a centralized approach.
- **Central Governance** – ISD will ensure that the processes include all relevant elements of IT Governance. ISD will serve as the “first line” of analysis, staff support and management for initiatives, requests, or projects arising from the stakeholder communities/committees or subcommittees.

Accountable and transparent

- **Accountable** – The governance bodies and other participants in the governance process must operate in a clear and transparent way to promote trust in the process for managing requests and any resulting initiatives or projects.
- **Transparent** – Communication throughout the steps of the governance process ensures greater visibility into the decision making process, not just the resultant decision. Transparency also involves informing each step of the process, equipping participants with the appropriate information, tools, and other resources needed to execute each step.

Collaborative, flexible, evolving

- **Collaborative, Flexible, Evolving** – ISD's approach to IT Governance needs to evolve over time – allowing participants and stakeholders to continue to operate IT Governance solutions that meet their specific business needs while respecting the need to accommodate transition to the future IT Governance Framework.
- **Scope of Governance** – The range of participants and level of participation should evolve over time as the IT Governance framework is established, beginning with a strong focus on core users and other select groups.

Simple and sustainable

- **Directed Evolution** – Based on a learning process that guides gains in governance maturity, it is imperative that the governance model be established, allowed to operate for a given period, and assessed formally on an ongoing basis. Assessment will be guided by predetermined performance metrics.
- **Keep it Simple** – Processes, frameworks, models, and tools all need to be developed and evolved to the most simple state, in support of the business needs of Washington Courts. Complexity can easily result in crippling the governance process and may have significant negative impact on its effectiveness and ability to be sustained.

Structured and automated

- **Standards, Policies and Procedures** – Standards, policies and procedures must be created in collaboration with all stakeholder groups – not driven top down from a central agency. At the same time, such an approach must be based on the ultimate acceptance of minimum, ISD-wide standards.

For the purposes of these IT Governance principles, participants are defined as individuals and groups that have an active role in some aspect of the IT Governance process. Stakeholders are defined as individuals and groups that may be participants in the IT Governance process or otherwise have an interest in the IT Governance process or its outcomes.

Current IT Governance

In general, current IT Governance processes are guided by policies and procedures and predominately-informal processes that provide both objective and subjective evaluation of IT requests.

The following systems are currently supported by AOC for their client communities to submit new IT requests and for AOC to manage the requests:

- eService is a web-based client interface supported by the RightNow! System. This system is supported by the Help Desk and maintained by the AOC Judicial Services Division (JSD). It allows system users to submit requests that are incident in nature. Error reports and change requests that are more than a simple fix are also input into an ISD system called ClearQuest.
- ClearQuest is an application utilized by AOC-ISD staff to track and manage known errors and change requests.
- Concept Overview (CO) is a web-based SharePoint technology application used by AOC-ISD to track and manage requests for projects. Concept Overview, previously named New Concept Overview, is managed by the PMO and to date has been used on a limited basis within AOC.

Historically, AOC's internal IT Governance has operated within a subset of the IT Governance structures of JIS and has been guided by primarily manual processes. Future JIS IT Governance processes, Appellate Courts-specific IT Governance processes, and AOC internal IT Governance processes will all be utilizing common terminology and high-level process workflows. However, these governance processes will differ in elements such as thresholds applied, complexity of the client user communities served and diversity of systems supported.

2. IT Governance Framework

IT Governance focuses on the alignment of IT decisions with the overall organizational strategy and the delivery of value from those decisions. IT Governance provides the *framework* by which IT investment decisions are made, communicated and overseen.

The Final Framework depicts the general outline and composition of the IT Governance Model. It includes updates and refinement to draft Framework elements and the subsequent Interim Framework to reflect requested changes and additional guidance.

The Framework components were essential to developing the inputs, facilitating the dialogue, and documenting the outputs of the eight IT Governance Advisory Panel sessions held between November 2009 and January 2010. Refer to Appendix A for a listing of panel participants.

Purpose

The Framework creates both a structure and a process for IT governing bodies to classify requests, apply criteria and thresholds and determine the appropriate levels of authority and accountability.

Components

The Framework is comprised of a set of policies, processes, tools, and templates, including:

- IT request and decision-making processes and workflows.
- IT request classification guidelines.
- Delegated authorities and accountabilities.
- Decision criteria, filters, and thresholds.
- Stakeholder group definitions and their associated roles and responsibilities.

Functions

The Framework is used to identify, evaluate, prioritize and authorize IT requests:

- Identify – identify a business need that describes a problem or an opportunity that requires a technology solution, a “request.”
- Evaluate – assess the validity, viability, and value of the request.
- Prioritize – determine relative importance, urgency, and value of the request in comparison to other requests and current investments or initiatives.
- Authorize – approving action on a request, either scheduling action or pending action until the schedule, budget, or other resource availability permit action.

The IT Governance Framework is also used to communicate the status of IT requests to stakeholders and the appropriate client user communities as needed throughout the decision making process.

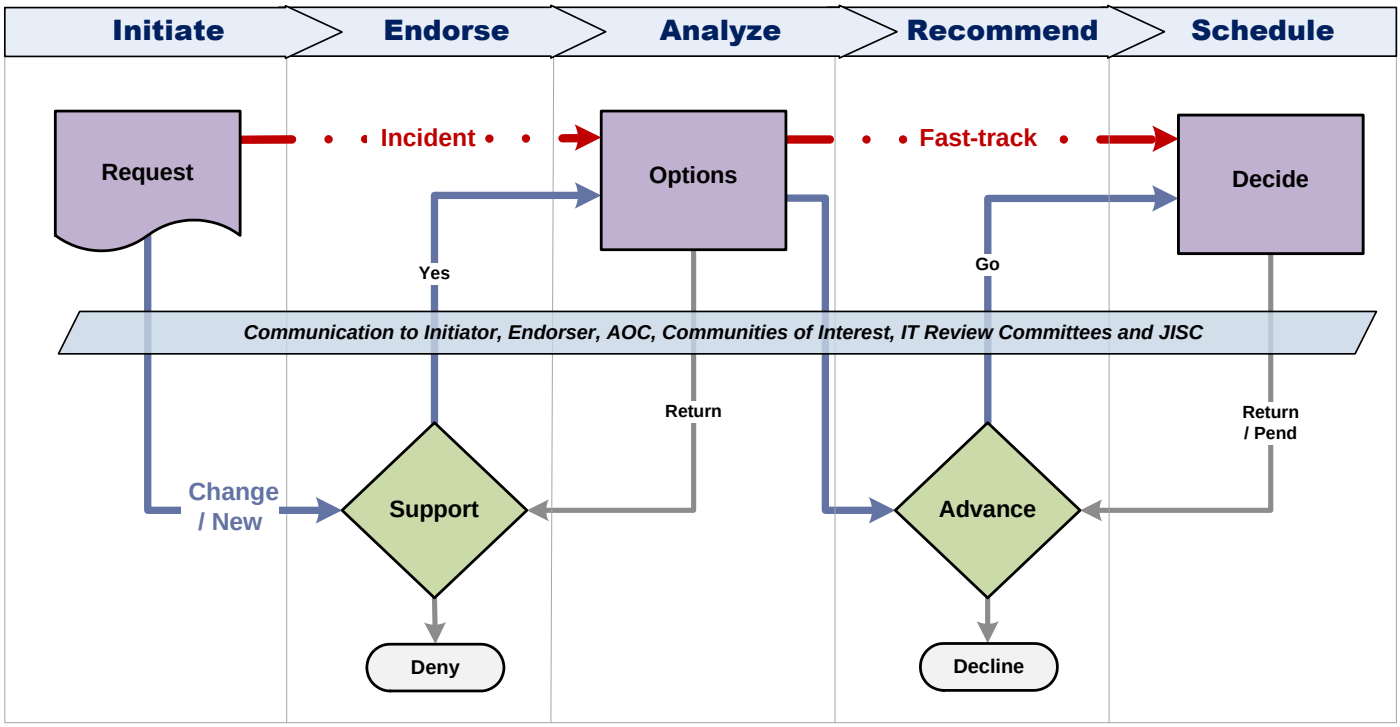
The following section provides additional detail describing how the IT Governance Framework is used.

IT Request Process Workflow Overview

The IT Request Process Workflow describes how, through IT Governance, requests are evaluated, prioritized, and authorized for action. It also describes the structure and process for classifying requests and applying criteria to determine the appropriate levels of authority and accountability. These criteria form the basis upon which future IT investments decisions will be made – from operational break-fix situations to the creation of new applications that replace core system functionality.

The diagram shown in Figure 5 below, describes the high-level IT Governance process. These generalized governance processes were reviewed and accepted by the JISC and AOC in June 2009. This diagram and the related IT Request Process Diagrams presented in Appendix C were used, in part, to inform and engage stakeholders in discussions about implementing a new IT Governance Framework for the Washington State Courts.

Information Technology Governance Process



NOTES: Informing occurs throughout the governance process.
Incidents are unplanned interruptions or reduction in quality of an IT service.
In addition to Incidents, mandated requests and other critical requests will be "fast-tracked".

Figure 5.

Further refinement of Framework elements and contributions provided through stakeholder engagement sessions have resulted in improvements to the IT Request Process steps as described in this document.

A summary description of each of these processes follows with additional detailed description provided in Section 3, "IT Governance Model."

The five steps in the IT Governance process are:

Step 1) **Initiate** – Initiate an incident or project request from the client user community by submitting proper background and documentation of the business problem or opportunity prior to seeking endorsement. General incidents that disrupt normal work, mandated requests, and other requests critical in nature are expedited ("fast-tracked") through the request process.

Step 2) **Endorse** – Affirm the request is reasonable and viable (with a preliminary "ballpark" estimate from AOC if needed.) The endorsement community may decline the request or move it forward for analysis.

Step 3) **Analyze** – Ensure sufficient supporting documentation exists for each request by having AOC-ISD staff analyze, assess and augment the request and determine possible solutions prior to review by recommending bodies.

Step 4) **Recommend** – Filter and score by IT Review Committees against predefined criteria to create a prioritized list of IT requests that can be recommended for scheduling.

Step 5) **Schedule** – Compare all recommended requests to determine the scheduling of action subject to delegated authority, resource availability, and approved budget.

Throughout each step of the process, request status and decisions will be communicated to those directly involved and others who have a stake, or interest, in the process. Preplanned operational activity supported by ISD will be addressed outside the IT Governance process (e.g., system or database optimization, data backups and recovery, system upgrades).

Refer to Appendix C, "IT Request Process Diagrams" for visual representations of the process. Refer also to "Step 5 – Recommend" in the following section for the JIS Delegation Matrix and Appendix E for the Appellate Courts' and AOC delegation matrices that also comprise the IT Governance Framework.

The following section titled "IT Governance Model," further elaborates each step of the IT Request Process and highlights the delegation matrices as key elements of the IT Governance Model.

3. IT Governance Model

The IT Governance Model is an expanded outline of the June 2009 accepted Framework incorporating additional structure, guidance and illustrations of the proposed Model. The Model includes:

- Additional enhancements to the workflows, refinements to the delegation matrix, proposed governance committee structures, and a listing of existing technologies and how they may be leveraged in the IT Governance processes.
- Criteria, filters, thresholds, categories, templates, and narratives for the expected processes and procedures, including reporting and communications.

These elements of the model were utilized in the previously described IT Governance Advisory Panel sessions to gain input and clarify stakeholder requirements, further refine the discreet elements and expand upon the overall governance process.

The following IT Governance Model attributes are addressed in the section below titled "IT Request Process Workflow Detail":

- Classifications guidelines
- Delegated authorities and accountabilities
- Selection criteria
- Decision-making criteria such as filters and thresholds
- Decision-making processes and workflows

Preliminary definition, roles, and responsibilities of proposed endorsing and recommending governance bodies are addressed in a subsequent section titled "Recommended IT Governance Structures." In addition, modified IT request process and forms are provided in Appendix D, "IT Request Process–Sample Forms & Supporting Information."

IT Request Process Workflow Detail

In order to apply the IT Governance Model, a detailed, approved budget must exist. The budget should reflect the planned expenditures by the classifications imbedded in the IT Governance Model (e.g., maintenance, changes to existing systems, new or replacement of system functionality). Additionally, the JISC may choose to allocate budgets based on court communities (i.e., Appellate Courts, Superior Courts, Courts of Limited Jurisdiction) or by functional area such as data exchanges. In the Recommend step of the IT request process, IT Governance recommending bodies will review requests in the context of funds allotted by these categories. Subsequently, in the Schedule step, budget allocations, in conjunction with staffing and other resource capacity and competing priorities, will impact the scheduling of action on a request.

The IT Governance Model will guide IT decision-making by providing a process of request definition, submission and evaluation that reflects the criteria and authority limits established by the JISC for JIS IT Governance, by Appellate Courts for their court-specific IT needs and by AOC leadership for AOC internal IT Governance. An understanding of the IT Request Process facilitates understanding of the IT Governance Model – the IT Request Process describes what

steps are necessary and the Model elaborates what each step entails and reflects who can do those steps.

For each of the five steps of the IT request process, this section ("IT Request Process Workflow Detail") provides the following:

- Describes the IT request step.
- Identifies key questions to be asked.
- Specifies the minimum required data needed to move the request on to the next step of the IT request process.
- Identifies additional data needed to inform the IT request process.
- Identifies who needs to participate in each step.

The elements outlined above will drive both the content and use of the IT Request forms that will be used by participants throughout the IT request process. Refer to Appendix D for sample IT request forms for each step of the IT request process.

The Final IT Governance Framework reflects the input of the IT Governance Advisory Panels, AOC staff, the JISC and industry best practices. Membership of the IT Governance Advisory Panels, and a listing of key AOC staff participating in the IT Governance initiative, are provided in Appendix A.

The IT Governance process has been vetted by these stakeholders and tested through various real-world and hypothetical examples in the Advisory Panel session proof of concept exercises and a formal AOC staff "table top" exercise with precursor walkthrough sessions. These exercises allowed participants to experience the IT request process and examine potential process bottlenecks, opportunities for improvement, and integration points with other ISD initiatives such as PMO, ITPM and EAM. The process and results of the proof of concept and table top exercises are detailed in the IT Governance Proof of Concept Report (Deliverable #6). Additional PMO integration considerations are highlighted in the IT Governance PMO Integration Report.

The IT request process has been visually depicted with additional detail in the "ISD - Business Blueprint Process and Procedure" diagram contained in Appendix C. This detail diagram and descriptors were instrumental to the Table Top session and were used to align and validate the preliminary IT Governance Use Cases.

The preliminary IT Governance Use Cases were developed to clarify and vet the IT request process. Use cases were developed for each step of the process as well as some common use cases such as Authenticate User, Search Requests and Notify Actors. Together, the Blueprint, and Use Cases have been a valuable tool to further test the IT Governance process for missing elements and to identify potential new considerations. In the IT Governance implementation phase, the Use Cases will be refined to reflect the actual process and tools put into practice. Refer to Appendix F-3 for a description and diagram of the IT Governance Use Cases. For full supporting documentation for both of the Blueprint and the Use Cases, refer to the IT Governance Proof of Concept Report.

The following section describes the first step of the IT Governance process – initiating the IT request.

Step 1) **Initiate –** Initiate an incident or project request from the client user community by submitting proper background and documentation of the business problem or opportunity prior to seeking endorsement. Incidents that disrupt normal work, mandated requests, and other requests critical in nature are all expedited ("fast-tracked") through the request process.

IT Request Classifications

Initiated requests will be evaluated by type, thereby providing a unique path for classifications or groupings of requests to follow. The classifications provide a means to apply different criteria; for example, the criteria necessary to prioritize a request for a new printer is significantly different from considering a functional change to an application. Grouping IT requests in this manner provides a more effective approach to evaluation and allocation of IT resources.

Incident Requests

The Information Technology Infrastructure Library (ITIL®) defines incidents as "unplanned interruptions or reduction in quality of an IT service." Incidents, as well as mandated requests (e.g., legislated mandate or judicial ruling) and other critical requests will be "fast-tracked" through the request process as depicted in the IT Governance Process diagram in Appendix C.

Refer to Appendix G for a diagram of current AOC processes that support mandated requests. Although mandated requests will be expedited on a fast-track through the IT request process, the process will inform the appropriate Endorsing Committee, providing them the opportunity to weigh in on optimal solutions.

- **Application** – operational problems such as workflow, business processes, training, support, or documentation.
- **Maintenance** – changes to existing applications that are mandatory (e.g., legislated), critical, or have very narrow or limited impact, such as table and cosmetic changes, or break-fix changes.
- **Infrastructure** – assistance with non-business related problems such as network access or issues, password or report locking, access to tools.

NOTE: Other preplanned operational activity occurs outside this process. Examples of these activities include regular refreshes of databases, system restarts and application of security patches.

Project Requests

Primarily driven by application-oriented issues and significant unmet business needs.

- **Enhancement** – changes to existing applications that are limited in scope and do not require extensive planning, coordination, and communication, such as screen or report changes, new data, or function changes.
- **New** – applications or functions not currently provided. For example, a new application to support an unmet business need of the Superior Courts.
- **Replacement** – removing applications or functions currently provided that are to be materially changed or retired that require extensive planning, coordination, and communication. For example, an application that replaces functionality in an existing legacy Appellate Courts application.

The AOC-ISD Project Management Office (PMO) describes a project is a unique endeavor to produce a set of deliverables within clearly specified constraints of time, cost, and quality. The PMO distinguishes projects from business operations based on the following criteria:

- **Unique** – a project has a defined end state with activities necessary to accomplish the desired end state; **Timescale** for deliverables with definite beginning and end points, and overall timeframe or **duration** based on project type of either small, medium, or large:

Small	Total effort can be accommodated in less than 300 hours (or less than 2 staff months) from initiation to deployment and closure.
Medium*	Total effort can be accommodated within 2000 hours or no less than 300 hours (between 2 and 12 staff months) from initiation to deployment and closure.
Large*	Total effort may demand in excess of 2000 hours or greater (greater than 12 staff months) from initiation to deployment and closure.

* Based on high-level PMO examples.

- **Budget** – A project has a maximum limit to the expenditure within which the deliverables must be produced, to meet the customer's requirement.
- **Resources** – A project is allocated a specified amount of labor, equipment, and materials at the start.
- **Risk** – A project entails uncertainty and therefore carries business risk.
- **Change** – The purpose of a project is typically to improve an organization through the implementation of business change.

ISD clients can currently submit IT requests in two ways:

1. The **eService** web portal is used to enter requests and issues related to use of an application or infrastructure. The nature of these requests are support-related or "*incidents*." Examples of these requests are an application problem, getting someone set up with security access, or requesting a new printer. System users have the ability to submit a RightNow! System ticket by entering their request into the eService web portal, which is supported by the AOC Help Desk.
2. Within the past couple of years, the **Concept Overview** has been deployed within the PMO Portal to manage larger application-oriented *project* requests. These requests are generally for new applications and material enhancements or changes to existing systems.

Refer to Appendix G for additional information on the various IT request processes, tools and governance structures currently supported by ISD.

Implementation of the IT Governance Framework will leverage existing IT request systems with the objective of future system capability that is automated and seamless to the requestor as part of the Initiate Step.

Framework Improvements reflect Court Community Input

Based on input from the IT Governance Advisory Panels, AOC, and the JISC, the following considerations were addressed and associated recommendations specific to the Initiate Step were incorporated in the Final IT Governance Framework:

	Considerations	Recommendations
1.	Level of complexity	Minimize information; Identify business problem / opportunity
2.	Incident management; Mandatory changes	Fast-track process
3.	Constraints on initiation	Site-specific rules
4.	Track status	Provide current status

These recommendations will ensure the IT Governance process addresses real business problems, captures the minimum amount of information needed to provide a simple and streamlined process, allows flexibility at the jurisdiction level and provides communication amongst stakeholders.

Key Questions for the Initiate Step

1. As a Requestor, what information is needed for others to appropriately review and assess the request?

Minimum Data Required for the Initiate Step

1. The request – a clear business problem or opportunity
2. The requestor name and contact information
3. Mandated request (Y/N)?

Expanded Data Set More Fully Defines an IT Request

In addition to the minimal data required to initiate a request, additional data will help streamline and inform subsequent steps of the IT request process. These data elements will be collected using a standardized IT Request Form for initiating a request, such as the example provided in Appendix D-1.

IT Request Summary Information

- Origination Date
- Request Number
- Request Title
- Business problem or opportunity – describes the business need that cannot be met with current system functionality (the process and problem, challenge, issue or opportunity requiring resolution.)

IT Request Specification

The level of detail needed for a request will vary relative to the scope, complexity and nature of the request.

- Requestor selects one of the following:
  - System problem/interruption preventing work
  - Change/enhancement to a current system
  - New system
  - Mandated change (provide authorizing mandate if known)
- Urgency of the request
- System(s) impacted

Business Problem / Opportunity Detail

- Additional circumstances/comments
- Expected benefit or value
- Metrics to measure benefit or value gained (e.g., cost savings)
- Possible solution (if known)
- Impact if this problem (or opportunity) is not resolved
- Communities impacted
- Checked against known exclusions (e.g., technologies not supported)
  - If encompasses exclusion(s), provide rationale for override
- Supporting documentation (e.g., screenshot, error message)

Requestor Information

- Requestor's name, title, and contact information
- Requestor's reporting manager

Endorser Information

- Name and contact information for recommended endorser (if applicable)

Key Participants in the Initiate Step

- Primary Responsibility: Requestor
- Secondary Participants (consulted): Requestor's court community association or designated endorsing body

NOTE: Jurisdictions or court communities may establish site-specific rules that constrain what roles or who can initiate a request.

Refer to Appendix D-1 for a draft "Initiate" IT Request form and additional supporting information for the Initiate step of the IT request process.

The following section describes the second step of the IT Governance process following Initiate – endorsing the IT request.

Step 2) **Endorse –** Affirm the request is reasonable and viable (with a preliminary "ballpark" estimate from AOC if needed.) The endorser may decline the request or move it forward for analysis.

Once an initial IT request is created and submitted (initiated), it requires endorsement to continue through the request process. All requests will be vetted by the appropriate court community association or requisite endorsing body to obtain support for analysis and further consideration. The IT Governance Advisory Panels provided specific guidance for these communities to be discipline-based and where possible, to leverage existing association and committee structures. These communities are specified in the participants section that follows.

This step may require seeking out additional information before making a decision to support or deny the request for further consideration. Endorsement filters out unwarranted requests prior to investment of additional time and resources and ensures there is collaboration in the submission of IT requests.

Framework Improvements reflect Court Community Input

Based on input from the IT Governance Advisory Panels, AOC, and the JISC, the following considerations were addressed and associated recommendations specific to the Endorse Step were incorporated in the Final IT Governance Framework:

	Considerations	Recommendations
1.	Clarity of problem	Review of rationale
2.	Ownership of requests	Site-specific rules; Endorse by community
3.	Timely throughput	Endorser may expedite
4.	Breadth of impact	Identify and communicate
5.	Track status	Provide current status

Similar to the Initiate Step, in the Endorse Step, these recommendations will ensure the IT Governance process validates that IT requests address real business problems, capture the minimum amount of information needed to allow for a simple and streamlined process, allow flexibility at the jurisdiction level and provide communication amongst stakeholders.

Key Questions for the Endorse Step

As a representative of a court community endorsing body – or in some cases the supervisor of the Requestor:

1. What information is needed to **Endorse** (support or deny) a request for further consideration?
2. What criteria or other considerations factor into the endorsement decision?

Minimum Data Required for the Endorse Step

In addition to the data collected in the Initiate Step, the following data elements are needed to Endorse an IT request:

1. The endorser name and contact information
2. Support for analysis (Y/N)?

Expanded Data Set Helps Inform the Endorse Step

In addition to the minimal data required to endorse a request, additional data will help streamline and inform subsequent steps of the IT request process. These data elements will be collected using a standardized IT Request Form for endorsing a request, such as the example provided in Appendix D-2.

IT Request Summary Information

IT Request attributes are carried forward from the Initiate step to provide the information needed to support or deny a request for further consideration:

- Origination Date
- Request Number
- Request Title
- Business problem or opportunity

IT Request Specification

Information may be modified from Initiate Step

- Endorser selects one of the following types of request:
  - System problem/interruption preventing work
  - Change/enhancement to a current system
  - New system
  - Mandated change (provide authorizing mandate if known)
- Urgency of the request
- System(s) impacted

NOTE: Original data provided in the Initiate Step will be retained for reference.

Business Problem / Opportunity Detail

- Additional circumstances/comments
- Expected benefit/value
- Metrics to measure benefit or value gained (e.g., cost savings)
- Possible solution (if known)
- Impact if this problem (or opportunity) is not resolved
- Communities impacted

- Other communities that need to weigh in on the endorsement decision
- Checked against known exclusions
  - If encompasses exclusion(s), provide rationale for override
- Supporting documentation (e.g., screenshot, error message)

Endorser Information

- Endorsement Committee Name
- Contact Name and information

Endorsement Decision

- Endorse Request (Y/N)?
- Additional Comments
- Return for more information/clarification (Y/N)?
- Forward to AOC for preliminary "ballpark" analysis (Y/N)?
- Refer to others for additional endorsement (Y/N)?

Additional Endorser Information (when needed)

- Endorsing Committee Name
- Contact Name and information

Key Participants in the Endorse Step

- Requestor
- Requestor's court community association or designated endorsing body. The following 11 court communities have been identified as primary participants in the Endorse process:
  - **Appellate Courts**
    Court of Appeals Executive Committee
    Appellate Judges and Clerks
  - **Superior Courts**
    Superior Court Judges Association
    Superior Court Clerks Association
    Association of Washington Superior Court Administrators
  - **Courts of Limited Jurisdiction**
    District and Municipal Court Judges' Association
    District and Municipal Court Management Association
    Misdemeanant Corrections Association
  - **Juvenile**
    Superior Court Judges Association Family and Juvenile Law Committee
    Washington Association of Juvenile Court Administrators
  - **Other**
    AOC endorses for other communities (e.g., DSHS, DOL, JIN Board)
- Jurisdictions or court communities may establish site-specific rules, which provide the Requestor's supervisor with a role in the Endorse process (may be contingent upon the source or nature of the request.)

- AOC is involved in the Endorse process in the following ways:
  - As part of their analysis process, AOC provides:
    1. Initial “ballpark” estimate sizing the scope and cost of the effort to address the request; and
    2. Full analysis of effort commensurate with the size and scope of the effort.
  - Provides technical and business expertise as input to inform the Initiate and Endorse processes.

Refer to Appendix D-2 for a sample “Endorse” IT Request form and additional supporting information for the Endorse step of the IT request process.

The following section describes the third step of the IT Governance process – analyzing the IT request.

Step 3) **Analyze –** Ensure sufficient supporting documentation exists for each request by having AOC-ISD staff analyze, assess and augment the request and determine possible solutions prior to review by recommending bodies.

The AOC staff responsible for analyzing a request must ensure the request information is complete with sufficient accompanying documentation. This analysis process may require further discussion with the requestor, court client communities, or other AOC staff to gain a better understanding of the scope and potential impacts of the request as well as potential solutions. Although primary responsibility for analysis will lie with the AOC-ISD staff, they will work collaboratively and in consultation with other AOC staff as needed (e.g., staff from the Judicial Services and Management Services divisions.)

The anticipated benefit or value to be gained by the request is substantiated by statistics such as cost benefit and return on investment analyses, as well as clear descriptions of how the request aligns with business and IT strategies and plans.

Framework Improvements reflect Court Community Input

Based on input from the IT Governance Advisory Panels, AOC, and the JISC, the following considerations were addressed and associated recommendations specific to the Analyze Step were incorporated in the Final IT Governance Framework:

	Considerations	Recommendations
1.	Avoid bottlenecks	Quick “ballpark” analysis
2.	Affirmation by endorser	Feedback loops to endorser
3.	Capture appropriate data	Size analysis by scope
4.	Track status	Provide current status

These recommendations will ensure the Analyze Step of the IT Governance process provides information back to the Endorser with a preliminary and quick, “ballpark” sizing estimate of scope and cost. This gives the Endorser the opportunity to affirm the request for further analysis or decline support. Likewise, once the full analysis of the request is complete, the endorser again has the opportunity to affirm the request for additional consideration or at that point, decline support.

The magnitude of the analysis performed will be commensurate with the scope, complexity and nature of the request. For example, simple requests will only require a ballpark analysis, whereas requests that are more complex will include a cost-benefit analysis of alternatives and feasibility assessment. The largest, most complex requests will undergo a full feasibility study. When a feasibility study is required, the study then becomes the recommended solution that moves

forward for consideration in the Recommend step. Throughout the Analyze Step, stakeholders are informed of the status of the request. Refer to Appendix D-3 for examples of information that can be provided about request status.

Key Questions for the Analyze Step

AOC-ISD staff analyzing an IT request will need to answer the following questions:

1. What information is needed to provide the Endorser with a preliminary "ballpark" estimate of effort to complete?
2. What information is needed to provide the Endorser with the appropriate level of analysis commensurate with the size, scope and complexity of the request?
3. What information is needed to move the request forward for consideration in the Recommend process?

Minimum Data Required for the Analyze Step

In addition to the data collected in the Initiate and Endorse steps, the following data elements are needed to Analyze an IT request:

1. The analyst name and contact information
2. Preliminary scope and effort ("ballpark estimate")
3. Additional analysis complete (Y/N)?

Expanded Data Set Helps Inform the Analyze Step

In addition to the minimal data required to analyze a request, additional data will help streamline and inform subsequent steps of the IT request process. These data elements will be collected using a standardized IT Request Form for analyzing a request, such as the example provided in Appendix D-3.

IT Request Summary Information

IT Request attributes are carried forward from the Initiate step to provide the information needed for AOC staff to analyze the request:

- Origination Date
- Request Number
- Request Title
- Business problem or opportunity

IT Request Specification

Based on discovery during analysis, the Type of Request selection may be modified from the Initiate or Endorse steps (AOC Analyst will select one of the following):

- System problem/interruption preventing work
- Change/enhancement to a current system
- New system
- Mandated change (provide authorizing mandate if known)

Urgency of the request

System(s) impacted

NOTE: Original data provided in the Initiate and Endorse steps will be retained for reference.

AOC Staff Analysis Checklist

Where indicated, specific analysis tools, samples and supporting information are provided in Appendix D-3 to elaborate further upon the analysis elements identified below. The number references below (e.g., ❶) cross-reference to detail tables provided in Appendix D-3 that offer additional considerations for analysis. Some of these also support considerations in support of the Recommend step.

- Preliminary "ballpark" analysis complete (Y/N)? ⓪
  - If yes, specify hours to complete and cost estimates
  - Affirmation received from Endorser to continue analysis (Y/N)?
- Further analysis required based on "ballpark" (Y/N)?
  - Further analysis complete (Y/N)?
  - Affirmation received from Endorser to continue request process (Y/N)?

The sizing of the analysis required correlates to the scope, complexity and nature of the request. Refer to the Analysis Matrix in Appendix F-1 for guidance regarding the analyses required for a given request, which in turn will determine which of the following may be needed:

- Alternatives analyzed ❶
  - If yes, specify alternatives
- Solution strategies considered ❷
  (e.g., COTS, custom-developed, 3rd party hosted, hybrid solution, other (specify))
- Checked against known exclusions (e.g., technology not supported by ISD) ❸
  - If encompasses exclusion(s), provide rationale for override
- Aligns with Enterprise Architecture ❹
- Aligns with other JIS, AOC and ISD Standards and Policies ❺
- Aligns with JIS, AOC and ISD Strategies ❻
- Aligns with industry/peer best practices ❼
- Risk Assessment complete ❽
  - Risk Mitigation Strategies identified
- Benefits and business value clearly stated in measurable terms ❾
- Cost Benefit Analysis complete (refer to the Analysis Matrix in Appendix F-1) ❿
  - Positive Return on Investment (ROI)?
  - If yes, how long to achieve ROI?
- Feasibility Study required (refer to the Analysis Matrix in Appendix F-1)?

NOTE: if yes, the Feasibility Study becomes the recommended solution.

AOC Staff Analysis Detail

- Recommended Solution
- Technical Solution Design Summary
- Solution Implementation Schedule
- Solution Cost Estimate to Complete
- Solution Cost Estimate for Annual Maintenance
- Impacts to AOC Resources
- Impacts to Requestor and Client Community
- Implementation Considerations

AOC Analyst Information

- Analyst name and contact information

Key Participants in the Analyze Step

- Primary Responsibility:
  - ISD Operations Control Board (OCB) – the analysis ("triage") center within AOC-ISD responsible for analysis of all IT requests
  - ISD ITSM – oversees the OCB
  - AOC Analyst – coordinates and/or performs analysis of individual IT requests

  NOTE: Roles of the OCB and ITSM are outlined in the "Blueprint" contained in the IT Governance Proof of Concept report, and referenced in the "Recommended IT Governance Structures" section later in this document.
- Secondary Participants (consulted):
  - Requestor
  - Endorser
  - Other AOC staff – business and technical experts within AOC
  - Vendor community and industry experts
  - Other agencies, court communities and judicial stakeholders

Refer to Appendix D-3 for a sample "Analyze" IT Request form and additional supporting information about the Analyze Step of the IT request process.

The following section describes the fourth step of the IT Governance process – recommending the IT request.

Step 4) **Recommend –** Filter and score by IT Review Committees against predefined criteria to create a prioritized list of IT requests that can be recommended for scheduling.

RECOMMEND: Filter ➡ Score ➡ Rank ➡ Prioritize

Following the analysis of an IT request, the IT Governance recommending committees review the analysis and apply filtering criteria (Y/N), score the request (0 to 50), group the requests (H-M-L), and prioritize the stack-ranked requests (top to bottom). The recommending committees then decide to either advance the request with a unanimous decision, advance the request with pros and cons, or decline support for the request with a unanimous decision.

The filtering process applies criteria to assist in the evaluation and ranking of IT requests. Some filtering criteria may be assessed based on a simple yes/no response. Others, such as "Compliance with ISD Standards," may be assessed based on a range (e.g., 0=non-compliant and 5=fully compliant) because it is important to know how far out of compliance a request is. For some criteria, contextual or other supporting information is needed to support the assessment. Over time, as the IT Governance model matures, it will be necessary to review and refine the Recommend criteria on a cyclic basis, as part of a recommended annual IT Governance assessment and update process.

Framework Improvements reflect Court Community Input

Based on input from the IT Governance Advisory Panels, AOC, and the JISC, the following considerations were addressed and associated recommendations specific to the Recommend Step were incorporated in the Final IT Governance Framework:

	Considerations	Recommendations
1.	Objectivity	Filter -> Score -> Rank -> Prioritize
2.	Decision process	Advance ‣ Unanimous Ranking, or ‣ Providing pros/cons Decline ‣ Unanimous only
3.	Recommend to JISC by ‣ Endorsing/recommending bodies, or ‣ 4 IT review committees	Recommend to JISC by ‣ 4 IT review committees
4.	Track status	Provide current status

Once the IT request has been through the high-level filters such as exclusions, benefits, and risks, it is scored based on a variety of criteria, which then informs the determination of an overall

stacked ranking value and prioritization. Each criterion in the scoring is assigned a value range. As each criterion is evaluated, a value will be assigned that contributes to an overall score.

Since this step typically occurs at a high level in the organization hierarchy, there are other considerations that come to bear on decisions. For instance, even though the IT request meets all previous criteria, the ISD manager may need to make a trade-off decision based upon department budget or other competing priorities. The scheduler may then wish to request additional information or meet with staff and /or ISD management to see if viable alternatives exist.

Once the scoring of individual requests is complete, all requests under consideration by the Recommending body will then be stack-ranked (or grouped) into categories of high, medium, and low with those requests ranked high having the greatest preference or priority. Requests within a stacked ranking group will then be prioritized from top to bottom.

Key Questions for the Recommend Step

1. In order to Recommend the request, what Filters does the request need to pass through in order to advance it for Scheduling?
2. What information is needed to recommend to decline support and not advance the request?

Minimum Data Required for the Recommend Step

In addition to the data collected in the Initiate, Endorse and Analyze steps, the following data elements are needed to Recommend an IT request:

1. Name and contact information of the recommending body
2. Advance (Y/N)? (NOTE: if pend or return, provide rationale)
3. Ranking

Expanded Data Set Helps Inform the Recommend Step

In addition to the minimal data required to recommend a request, additional data will help streamline and inform the subsequent Schedule Step of the IT request process. These data elements will be collected using a standardized IT Request Form for recommending a request, such as the example provided in Appendix D-4.

IT Request Summary Information

IT Request attributes are carried forward from the Initiate step to provide the information needed to support or deny a request for further consideration:

- Origination Date
- Request Number
- Request Title
- Business problem or opportunity
- Type of Request
- Systems impacted (if applicable)

Apply Filters to IT Requests

The filtering process is primarily informed by the results of the Analyze Step. Further guidance on assessing standards compliance and costs, benefits and risks are outlined in Appendix D-3 for the Analyze Step and Appendix D-4 for the Recommend Step.

- **Exclusions*** – assess request against a finite list of exclusions or functions that AOC will not provide (requires predetermination for an extended period, such as a specific software or technology not supported)
- **Compliance with ISD Standards*** – determine if request complies with ISD Standards (e.g., security standards)
- **Benefit*** – assess if the stated benefits are consistent with the request and if those benefits can be realized broadly. Sample benefits include cost savings, productivity improvements, elimination of redundant data or code.
- **Risk***– assess if the known risks or impediments to integration, likelihood of successful implementation, and rate of adoption are acceptable and manageable for this request. Sample risks include limited technical expertise for selected software, lack of stability of software and non-standardized or changing user requirements
- **Cost** – assess if the total overall cost and resources required for the request are reasonable using standardized cost determination tools such as total cost of ownership and net present value.
- **Filtering Criteria Checklist**
  - Stated benefits attainable
  - Solution aligns with the business plan
  - Solution aligns with IT strategy and goals
  - Solution aligns with technology standards
  - Positive return on investment (ROI)
  - Risks assessed
  - Adequate funding available

Score the IT Requests

Following the filtering of IT requests, the requests are score based on set criterion and related values as shown in the table that follows.

There are several criteria used for evaluation in the Recommend Step that derive their information from the analysis performed in the Analyze Step. The number references in the following table (e.g., ❿) cross-reference to tables that detail additional considerations for the Analyze Step of the IT request process. Refer to the documentation of the Analyze Step in Appendix D-3 for descriptions of these cross-references and the additional considerations that apply to the Recommend Step.

Scoring Criteria	Scoring Guidance	Scoring Descriptor
Business Value ❿	0 – 10 (10 = High)	Benefits to court client staff / users represented by return on investment, net present value, cost avoidance, cost reduction metrics. 0 = low business value and unclear linkages to business and IT strategy 10 = high business value and strong linkages to business and IT strategy
Relative Priority	0 – 10 (10 = High)	Priority ranking from community of interest. 0 = relatively low priority in relation to other requests 10 = a relatively high priority in relation to other requests
Cost ⓪	0 – 5 (5 = Low)	Total cost of effort; available funding sources; total cost of ownership. 0 = requires additional funding or complex funding sources (e.g., appropriation, grants, cross-agency funding) 5 = low cost factor – able to accomplish effort with existing or budgeted funding sources
Complexity / Level of Effort	0 – 10 (10 = Low)	Total consumption and availability of resources and volume, throughput, type of activity, degree of introduced change, previous/existing successes. 0 = requires additional resources/expertise not available within ISD capacity 10 = low complexity – able to accomplish effort with existing resources; aligns with technology infrastructure and supports enterprise architecture standards
Risk ❾	0 – 5 (5 = Low)	Acceptability of Risk level based on risk analyses, and ability to mitigate and/or manage risks (assess both likelihood and level of risk.) 0 = high impact level and likelihood of risk occurring 5 = low impact level and likelihood of risk occurring
Breadth of Benefit / Impacts	0 - 5 (5 = Broad)	Supportive of consistent experience across Judicial space, avoidance of adverse consequences and function not previously provided, addressing incomplete functions, extending capture/exchange of data. 0 = Request specific to a narrow scope of a single/few courts or jurisdictions 5 = Broad impact across courts, jurisdictions, or systems.
Impact of Doing Nothing	0 – 5 (5 = High)	Cost / Impact of not responding to the request now. 0 = workarounds exist 5 = high negative impact if no response, no workarounds or workarounds not viable
Overall Score (0-50):		
Does Score Support Further Evaluation?		○ Yes ○ No

Create Stacked Ranking of Requests

- Specify ranking that is placed on this request (high, medium or low)
- Identify additional information to be considered before moving forward with the request

Prioritize Stack-Ranked List of Requests

- Specify priority of stack-ranked list of IT requests
- Identify additional information to be considered before moving forward with the request:

Make Recommendation regarding IT Request

- Recommend Request (Y/N)
- If decision is not unanimous, list pros/cons
- Identify additional considerations or comments

Key Participants in the Recommend Step

The IT Governance Delegation Matrix defines the roles for a given classification of request.

- Primary Participants
  - Designated Recommending Body – one of the 3 court-based IT Review Committees depending on communities impacted, or the State Court Administrator if the request impacts external communities
  - AOC
- Secondary Participants
  - Requestor
  - Endorser
  - Primary beneficiaries of request

Refer to Appendix D-4 for a sample “Recommend” IT Request form and additional supporting information for the Recommend Step and Risk Assessment as part of the IT request process.

The following section describes the fifth and final step of the IT Governance process – scheduling the IT request.

Step 5) **Schedule –** Compare all recommended requests to determine the scheduling of action subject to delegated authority, resource availability and approved budget.

Framework Improvements reflect Court Community Input

Based on input from the IT Governance Advisory Panels, AOC, and the JISC, the following considerations were addressed and associated recommendations specific to the Schedule Step were incorporated in the Final IT Governance Framework:

	Considerations	Recommendations
1.	Who decides	JISC ‣ Use Delegation Matrix Actions ‣ Schedule, Pend or Return
2.	Competing priorities	JISC to consider priorities, budget constraints and ISD workload
3.	Track status	Provide current status

When a request has successfully moved through the Initiate, Endorse, Analyze, and Recommend steps, it is ready for scheduling. Scheduling of an IT request is dependent upon having approved funding available to support it. Even if approved funding is available, the IT request may be pended based upon other budget and planning criteria or placed in a “queue” for future action. In the case of a pended request, or a request returned to the IT Review Committee for additional consideration, the JISC can revisit priorities and the scheduling of other requests.

The JISC has the authority to reverse a previous decision. Since most of the requests reviewed will be large undertakings, it is unlikely that they will have been completed, or even started, prior to JISC review. In the event JISC reverses a previous IT request decision, other IT Governance stakeholders will be informed of the reversal and ISD will be notified so they can remove the request from the work queue. A similar process will be established to support AOC internal IT decisions and the IT needs specific to the Appellate Courts.

Key Questions to be Answered in the Schedule Step

1. In order to Schedule the request, what information is needed?
2. What information is needed to pend the request or return it to the IT Review Committee for additional consideration?

Minimum Data Required for the Schedule Step

In addition to the data collected in the Initiate, Endorse, Analyze and Recommend steps, the following data elements are needed to Schedule an IT request:

1. Scheduler name and contact information

2. Schedule Information (will be one of the following)
    a. Schedule date
    b. Pend rationale
    c. Return with rationale to recommending body for additional consideration

Expanded Data Set Helps Inform the Schedule Step

In addition to the minimal data required to schedule a request, additional data will help streamline and inform the Schedule Step of the IT request process. These data elements will be collected using a standardized IT Request Form for scheduling a request, such as the example provided in Appendix D-5.

IT Request Summary Information

- Origination date
- Request number
- Request title
- Business problem or opportunity
- Type of request
- Authorizing mandate, if applicable
- System(s) impacted

Recommendation

- Recommendation
- Relative ranking of request
- Request priority
- If not unanimous, pros/cons
- Additional considerations

Scheduling Checklist

- High priority relative to other requests (Y/N)?
- Budget available (Y/N)?
- Dedicated funding (Y/N)?
- ISD staffing capacity sufficient (Y/N)?
- Required expertise available (Y/N)?
- Conflicting priorities identified and resolved (Y/N)?

Scheduling Action

- Schedule request
- Dependencies and other scheduling considerations
- Schedule timeline
- Budget amount allocated
- Funding source
- ISD group tasked with the request
- Pend the request (Y/N)? If yes, provide rationale for pending
- Return request to recommending body (Y/N)? If yes, provide rationale for reconsideration

Key Participants in the Schedule Step

- Primary Participants

  - Designated Scheduling Body – the JISC or the delegated body as specified by the IT Delegation Matrix (see Figures 6 and 7 that follow and refer to Appendix E)
  - AOC
- Secondary Participants
  - Requestor
  - Endorser
  - Recommending Body
  - Primary beneficiaries of request

Refer to Appendix D-5 for a sample "Schedule" IT Request form and additional supporting information about the Schedule Step of the IT request process.

IT Governance Delegation Matrix – JIS

The IT Governance Delegation Matrix is a tool by which levels of delegated authority can be determined for specific classifications of IT requests. The following "JIS IT Governance Delegation Matrix" reflects the delegated authorities accepted by the JISC at their June 2009 meeting. The first table depicts the delegated authorities for IT requests that are "incident" in nature (refer to section "Step 1) Initiate" in the section titled, "IT Governance Model" for a description of incident requests):

Incident Classifications

Incident Classification Description	Not-to-Exceed Cost	Community of Interest	Discipline / Association	AOC	IT Review Committees	ISD Manager	AOC CIO	AOC Administrator
		Ongoing			*Quarterly*	*Ongoing*	*Weekly*	*Bi-Weekly*
Application – operational problems such as workflow, business processes, or documentation	$5,000					Schedule		
	$10,000						Schedule	
	$25,000							Schedule
Maintenance – changes to existing applications that are mandatory, legislated or critical or have very narrow or limited impact, such as table and cosmetic changes	$10,000					Schedule		
	$25,000	Initiate		Analyze			Schedule	
	$50,000							Schedule
Infrastructure – assistance with non-business problems such as network issues, password or report locking, access to tools	$50,000					Schedule		
	$100,000						Schedule	
	$250,000							Schedule

NOTE: all Incident requests that exceed the specified maximum Not-to-Exceed value for a category will be treated as a Project request.

Figure 6.

The following table depicts the delegated authorities for IT requests that are "project" in nature (refer to section "Step 1) Initiate" in the section titled, "IT Governance Model" for a description of incident requests for a description of project requests):

Project Classifications

Project Classification Description	Not-to-Exceed Cost	Community of Interest	Discipline / Association	AOC	IT Review Committees	AOC CIO	AOC Administrator	JISC Exec Committee
		Ongoing			*Quarterly*	*Weekly*	*Bi-Weekly*	*Bi-Monthly*
Enhancement – existing applications that are to be changed in a limited manner that do not require extensive planning and communication	$25,000					**Schedule**		
	$50,000					**Recommend**	**Schedule**	
	Beyond						**Recommend**	**Schedule**
New – applications or functions not currently provided	$50,000	**Initiate**	**Endorse** (may engage with Staff)	**Analyze**	**Recommend**	**Schedule**		
	$100,000					**Recommend**	**Schedule**	
	Beyond						**Recommend**	**Schedule**
Replacement – removing applications or functions currently provided that are to be materially changed or retired, requiring extensive planning and communication	$100,000					**Schedule**		
	$250,000					**Recommend**	**Schedule**	
	Beyond						**Recommend**	**Schedule**

NOTES:
1.) Preplanned operational activity occurs outside of the matrix.
2.) Not-to-Exceed costs include AOC hours.
3.) Includes Project Classifications section of the JIS Delegation Matrix. The complete matrix includes an Incident section representing request classifications at the AOC operational level.

Figure 7.

Refer to Appendix E for the following additional delegation matrices:

- Draft "Appellate Courts Delegation Matrix" that will guide the Appellate Courts' non-JIS IT governance process.
- "AOC Delegation Matrix," which will guide the AOC internal IT governance process.

Informing Throughout the IT Governance Process

Reporting to the appropriate stakeholders on request status, decisions made and actions taken occurs throughout the IT Governance process.

The following key questions need to be addressed in each step of the IT request process:

- What information is needed to inform stakeholders?
- Who needs to be informed?
- What communication mechanisms should be considered?
- What should be the timing of communications?

Informing Aligns with IT Request Process

Step 1) **Initiate –** Inform communities of interest of requests that have been initiated. Inform requestor when request has been processed (initiated) and transitioned to the Endorse step.

Step 2) **Endorse –** Inform stakeholders with an interest (or stake) in the endorse process:

- Inform communities of interest and other associations about requests that have been endorsed for further consideration.
- Dependent upon the scope, nature and complexity of the request:
  - Inform AOC staff that a request requires an initial “ballpark” estimate of scope and cost of effort to complete.
  - If endorser affirms endorsement following the ballpark estimate, inform AOC staff that a request requires a full analysis.
  - If endorser affirms endorsement following full analysis, inform stakeholders that the request will move forward to Recommend.
- Inform the requestor of the decision to deny support for a request or support it for further consideration.

Step 3) **Analyze –** Inform stakeholders of results of AOC staff analyses to support decision-making.

- AOC informs the endorser of the results of the ballpark estimate.
- If endorsement affirmed following the ballpark estimate, AOC proceeds with full analysis and informs the endorser of the results.
- The requestor is also updated with the status of their request.

Step 4) **Recommend –** one of the IT Review Committees will review the full analysis provided by AOC and will inform stakeholder groups (e.g., requestor, endorser, AOC, scheduler, and communities of interest) of their recommendation to either decline support or advance for scheduling.

Step 5) **Schedule –** all stakeholders will be informed of the schedulers’ decision to either schedule action based on available resources and budget, pend the request, or refer back to the recommending body for additional consideration.

Informing the IT Request Process – RACI Chart

The following "Responsible, Accountable, Consult, Inform" (RACI) chart illustrates the desired approach for informing the IT Request process. Throughout the process, IT Governance stakeholders are either:

- **responsible** for performing a process or activity,
- ultimately **accountable** for its execution,
- **consulted** about its delivery in order to obtain feedback or contribute to the process or activity, or
- **informed** about the status of the request and resulting decisions and actions.

Utilizing the RACI chart as a general guideline for IT Governance communications will help AOC and the other IT Governance bodies ensure all the necessary stakeholders are apprised of the appropriate information at the appropriate times throughout the IT request process.

IT Governance RACI Communications Chart

Process	Requestor	Endorser Association	Community of Interest	AOC Staff	ISD Operations Control Board	ISD Management Team	AOC-ISD CIO	State Court Administrator (AOC CEO)	IT Review Committees	JISC
Initiate	**R**	**A**	I, C	I, C	I	I	I	I	I	I
Endorse	I, C	**R**	C	C	I	I	I	I	I	I
Analyze	I, C	I, C	I, C	**R**	**A**	I	I	I	I	I
Ballpark	I	I, C	I	**R**	**A**	I	I	I	I	I
Full Analysis	I	I, C	I	**R**	**A**	I	I	I	I	I
Recommend	I	I, C	C	C	C	I	**R_{DA}, C**	**R_{DA}, C**	**R**	**A**
Schedule	I	I	I	I	I	C	**R_{DA}, C**	**R_{DA}, C**	I	**R_{DA}, A**
(R = Responsible, A = Accountable, C = Consult, I = Inform, DA = Based on Delegated Authority)										
Stakeholder Communication	**Requestor**	**Endorser Association**	**Community of Interest**	**AOC Staff**	**ISD Operations Control Board**	**ISD Management Team**	**AOC-ISD CIO**	**State Court Administrator (AOC CEO)**	**IT Review Committees**	**JISC**
Frequency of Updates	AN	M	M	AN	D	D	W	W	M	M
(AN = As Needed, D = Daily, W = Weekly, M = Monthly)										

Chart 1.

Recommended IT Governance Structures

The draft IT Governance Framework presented governance structure recommendations for consideration. Those structures have been reviewed and refined to reflect the needs of the new IT Governance Framework and processes.

For initial implementation of IT Governance, the recommended governance structures include the following committees, boards, and other existing and new governing bodies:

IT Governing Bodies and Roles Committees, Boards, and other governing bodies chartered with some role in IT Governance.	
Judicial Information System (JIS) – IT Governance	
JISC Executive Committee	▪ Highest level of governing authority over the JIS domain. ▪ Comprised of: the JISC Chair, the JISC Vice Chair, State Court Administrator, one superior court judge appointed by the JISC Chair, one court of limited jurisdiction judge appointed by the JISC Chair, and a county clerk appointed by the JISC Chair.
JISC	▪ Highest level of governing authority over the JIS domain. ▪ Comprised of: four members from the appellate court level (Supreme Court and Court of Appeals), five members from the superior court level, two of whom shall be members of the Superior Court Judges' Association, and one of whom shall be a member of the Washington Association of Juvenile Court Administrators, five members from the courts of limited jurisdiction level, one of whom shall be a member of the Misdemeanant Corrections Association, four members from the courts of limited jurisdiction level, and three at large members from outside the judiciary, one of whom will be a member of the Washington State Bar Association, one of whom will be a member of the Washington Association of Sheriffs and Police Chiefs, and one of whom will be a member of the Washington State Association of Prosecuting Attorneys.
JISC Subcommittees	▪ Data Dissemination Committee
Other JIS Committees	▪ Data Management Steering Committee ▪ JIS Codes Committee ▪ Person Business Rules Committee
	▪ Statewide Applications Committee [potential future committee] ▪ Master Data Management Committee [potential future committee]

IT Governing Bodies and Roles	
IT Review Committees	IT Review Committees will have primary responsibility for the Recommend step of the IT Governance process. Three new court community-based IT Review Committees will support: ▪ Appellate Courts ▪ Superior Courts ▪ Courts of Limited Jurisdiction A fourth IT Review Committee will consider requests from external stakeholders or partner agencies: ▪ Administrative Office of the Courts
Endorsing Committees	Eleven new court community-based Endorsing Committees, will support the following: ‣ **Appellate Courts** 1. Court of Appeals Executive Committee 2. Appellate Judges and Clerks ‣ **Superior Courts** 3. Superior Court Judges Association 4. Superior Court Clerks Association 5. Association of Washington Superior Court Administrators ‣ **Courts of Limited Jurisdiction** 6. District and Municipal Court Judges' Association 7. District and Municipal Court Management Association 8. Misdemeanant Corrections Association ‣ **Juvenile** 9. Superior Court Judges Association Family and Juvenile Law Committee 10. Washington Association of Juvenile Court Administrators ‣ **Other** 11. *The State Court Administrator endorses for other judicial stakeholder communities (e.g., DSHS, DOL, JIN Board)*
Appellate Courts – IT Governance	
Appellate Courts IT Governance Committee	▪ IT Governance body for IT investment decisions affecting non-JIS, Appellate Court –specific technology needs. ▪ Potential committee composition: Court of Appeals Executive Committee and Supreme Court representation from the Appellate Judges and Clerks Association.

IT Governing Bodies and Roles	
AOC Internal – IT Governance	
AOC Leadership	▪ State Court Administrator (AOC CEO)
AOC IT Leadership	▪ AOC-ISD Chief Information Officer (CIO)
AOC Leadership Team (ALT)	▪ State Court Administrator (AOC CEO) ▪ AOC ISD Director / Chief Information Officer (CIO) ▪ AOC Judicial Services Division (JSD) Director ▪ AOC Management Services Division (MSD) Director ▪ AOC Associate Human Resources Director ▪ AOC Associate Director, Board of Judicial Administration ▪ AOC Judicial Communications Manager
ISD Management Team	▪ ISD section managers: Standards & Policies Manager, Architecture & Strategy Manager, ISD Operations Manager, Information Access Manager, and Technical Group Manager
ISD Operations Control Board (new)	▪ *ISD Operations Control Board (OCB) composition has not yet been defined It will be managed by the new ISD ITSM position*. In addition to the ITSM, the OCB will include, at a minimum, representation from the PMO, ITPM, and EAM; and representation by the ISD Management Team or their designees.
ISD IT Service Manager (ITSM)	▪ Responsible for operations and support of the OCB
Project Management Office (PMO)	▪ ISD Standards and Policies Manager ▪ PMO Manager ▪ Project Managers

Alternate governance structure configurations are possible. For example, committees could be established by role within court communities (e.g., judges, clerks, administrators). It is important to note that each committee will require coordination, communication, and workload management functions. This increased workload will have an impact on committee members and AOC staff resources.

The JISC authorizes creation of advisory and ad hoc committees under JISC Rule 2(c)**:**

> *"… User advisory committees shall be established for each level of court and will be representative of the users at each level. Ad hoc committees shall also be established for the purpose of monitoring specific projects undertaken by the Judicial Information System."*

Regardless of the number of committees formed, if there is more than one, then there is a need to address enterprise (cross-committee) opportunities and assess enterprise impacts.

The Final IT Governance Framework and Model elaborates upon the shared responsibilities for each of these entities as well as their individual roles and responsibilities.

This final product includes a fully described AOC IT Governance Model that will be a subset of the overall IT Governance model, which also includes JIS IT Governance. The Final JIS Governance Framework in the form of the "Final JIS IT Governance Framework Executive Overview" was presented to the JISC and approved at their March 5, 2010 meeting.

The diagram below depicts a preliminary view of recommended IT Governance structures and their high-level relationships. It does not include the 11 endorsing committees, AOC-ISD Management Team or the proposed future committees identified in the previous table.

Recommended IT Governance Structures

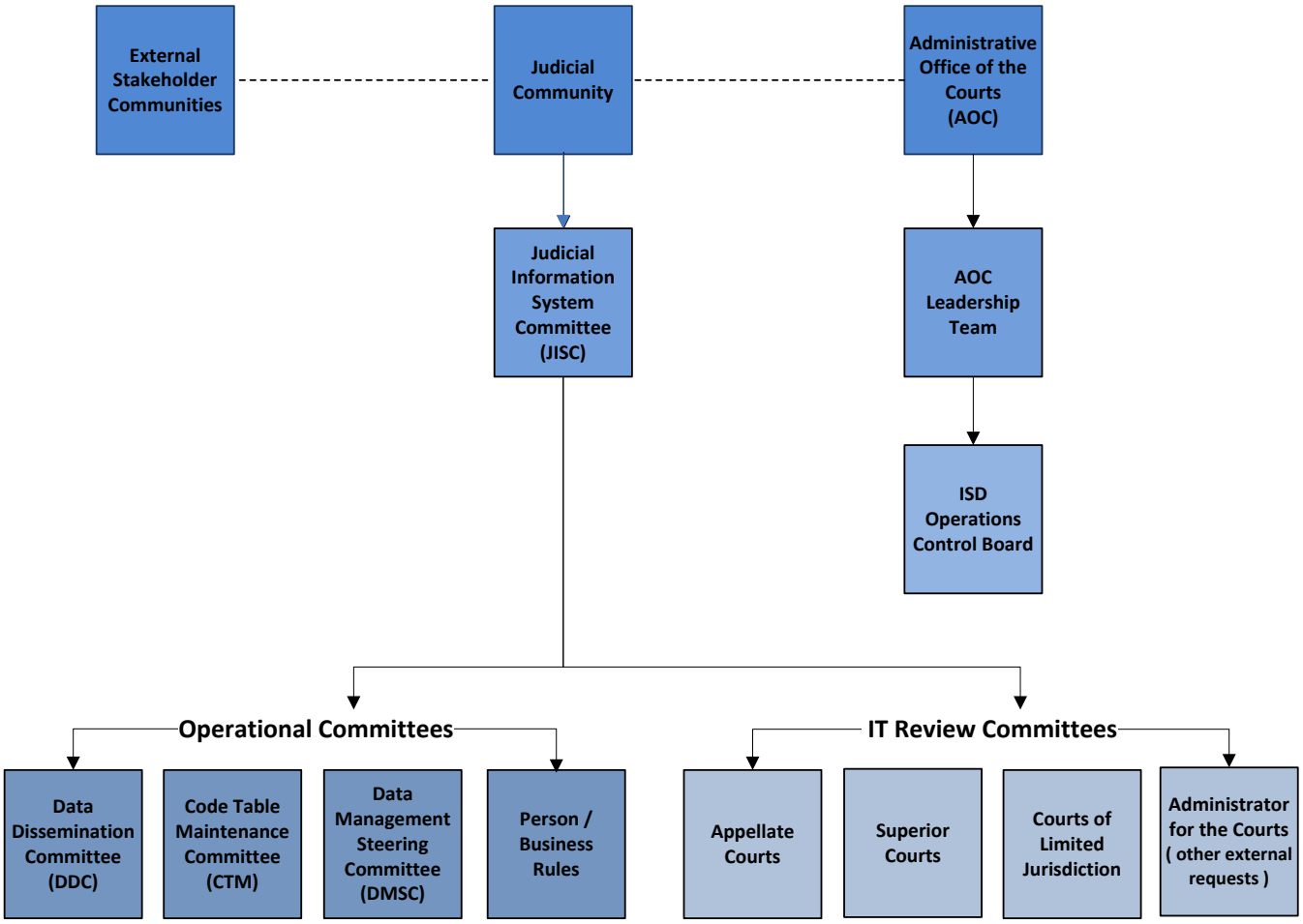


Figure 8.

In the initial stage of IT Governance implementation, the following key activities need to be conducted:

IT Review (Recommending) Committees

- Define composition of the four IT Review committees (see the IT Review Committees – Composition Template that follows)

  JISC will provide guidance for the composition and assignment of individuals to participate on each of the three court-based IT Review committees.

  AOC will work with JISC to define the role of the State Court Administrator for the IT Review function as it pertains to support for external JIS-related requests.

- Charter the IT Review committees

  Leverage the charter template from PMO Enterprise Implementation – Deliverable #3, Appendix K, modified for the Final IT Governance Framework in Appendix H of this document. This charter can be modified and streamlined to meet the needs of the IT Review committees. The charter outline that follows shows the key elements included in the charters for new IT Governance committees.

- Define templates and guidelines for the Recommend process

  Utilize request form templates and the content from the IT Governance Model of this document as the basis for templates and guidelines.

- Develop targeted training for IT Review Committees

  Draw upon the IT Governance Training Plan – Deliverable # 6, to build the structure and content of training for the IT Review Committees.

- Identify AOC staff responsible for liaison and support activities of the Endorse and IT Review committees

  Define the AOC staff roles and responsibilities needed to support the work of the Endorsing and IT Review committees.

- Facilitate initial meetings of the IT Review committees

  Work individually with the IT Review committees to guide their use of the new IT Governance process, tools, templates and guidelines.

Table 1 on the following page is a template for establishing the composition of each of the IT Review committees. Although the structure of the table is not prescriptive of the committee composition, it provides a useful format for ensuring there is broad and diverse membership representation.

IT Review Committees – Composition Template				
Role	**Appellate Courts IT Review Committee**	**Superior Courts IT Review Committee**	**Courts of Limited Jurisdiction IT Review Committee**	**State Court Administrator IT Review Committee**
Voting Members				
Judges				
Clerks			--	
Administrators				
JIS Users / Request Originators				
Partner agencies and other JIS consumers				
State Court Administrator or designee (optional)				1
Total # Voting Members:	**0**	**0**	**0**	**1**
NOTE: For each committee, membership shall be comprised of at least one member from each of the specified Endorsing communities of interest.	• Court of Appeals Executive Committee • Appellate Judges and Clerks	• Superior Court Judges Association (SCJA) • Superior Court Clerks Association • Association of Washington Superior Court Administrators • SCJA Family and Juvenile Law Committee • Washington Association of Juvenile Court Administrators	• District and Municipal Court Judges' Association • District and Municipal Court Management Association • Misdemeanant Corrections Association	• other judicial stakeholder communities (e.g., DSHS, DOL, JIN Board)
Non-Voting Members				
Chair (appointed by the JISC)[1]				
AOC CIO (optional)				
ISD ITSM (optional)				
AOC Analyst (optional)				
AOC Staff Liaison (optional)				
Total # Non-Voting Members:	**0**	**0**	**0**	**0**
Total # Members:	**0**	**0**	**0**	**0**

[1] Committee Chair roles and responsibilities will be outlined in the charters for the IT Review committees.

Table 1.

Endorsing Committees

- Define composition of the 11 Endorsing committees (see the Endorsing Committees – Composition Template that follows)

  JISC will provide guidance for aligning over 30 existing court community groups or "listservs" with the 11 Endorsing committees. The court communities will be responsible for sufficient representation on each of the Endorsing committees identified in the "IT Governing Bodies and Roles" table earlier in this section.

- Charter the Endorsing committees

  Leverage the charter template from PMO Enterprise Implementation – Deliverable #3, Appendix K, modified for the Final IT Governance Framework in Appendix H of this document. This charter can be modified and streamlined to meet the needs of the Endorsing committees. The charter outline that follows shows the key elements included in the charters for new IT Governance committees.

- Define templates and guidelines for the Endorse process

  Utilize request form templates and the content from the IT Governance Model of this document as the basis for templates and guidelines.

- Develop targeted training for the Endorse Committees

  Draw upon the IT Governance Training Plan – Deliverable # 6, to build the structure and content of training for the Endorse Committees.

- Identify AOC staff responsible for liaison and support of Endorse Committee activities

  Define the AOC staff roles and responsibilities needed to support the work of the Endorse committees.

- Facilitate initial meetings of the Endorse committees

  Work individually with the Endorse committees to guide their use of the new IT Governance process, tools, templates and guidelines.

Tables 2 and 3 on the following pages provide a template for establishing the composition of each of the Endorsing committees. Although the structure of the table is not prescriptive of the committee composition, it provides a useful format for ensuring there is broad and diverse membership representation.

Endorsing Committees – Composition Template (1 of 2)					
	Appellate Courts (2 Committees)		Superior Courts (3 Committees)		
Role	Court of Appeals Executive Committee	Appellate Judges and Clerks	Superior Court Judges Association	Superior Court Clerks Association	Association of Washington Superior Court Administrators
Voting Members					
Judges					
Clerks					
Administrators					
JIS Users / Request Originators					
Partner agencies and other JIS consumers					
State Court Administrator or designee (optional)					
Total # Voting Members:	**0**	**0**	**0**	**0**	**0**
NOTES:					
Non-Voting Members					
Chair (elected by full committee)[1]					
AOC CIO or designee (optional)					
ISD ITSM (optional)					
AOC Analyst (optional)					
AOC Staff Liaison (optional)					
Total # Non-Voting Members:	**0**	**0**	**0**	**0**	**0**
Total # Members:	**0**	**0**	**0**	**0**	**0**

[1] Committee may determine Chair to be a voting member of the committee.

Table 2.

Endorsing Committees – Composition Template (2 of 2)						
	Courts of Limited Jurisdiction (3 Committees)			Juvenile (2 Committees)		State Court Administrator (1 Committee)
Role	District and Municipal Court Judges' Association	District and Municipal Court Management Association	Misdemeanant Corrections Association	Superior Court Judges Association Family and Juvenile Law Committee	Washington Association of Juvenile Court Administrators	Other judicial stakeholder communities (e.g., DSHS, DOL, JIN Board)
Voting Members						
Judges						
Clerks	--	--	--	--	--	
Administrators						
JIS Users / Request Originators						
Partner agencies and other JIS consumers						
State Court Administrator or designee (optional)	0	0	0	0	0	0
Total # Voting Members:	**0**	**0**	**0**	**0**	**0**	**0**
NOTES:						
Non-Voting Members						
Chair (elected by full committee) [1]						
AOC CIO or designee (optional)						
ISD ITSM (optional)						
AOC Analyst (optional)						
AOC Staff Liaison (optional)						
Total # Non-Voting Members:	**0**	**0**	**0**	**0**	**0**	**0**
Total # Members:	**0**	**0**	**0**	**0**	**0**	**0**

[1] Committee may determine Chair to be a voting member of the committee.

Table 3.

IT Governing Body Composition Guidelines – IT Review and Endorsing Committees

The following are recommended IT Governing body composition guidelines that apply to both Endorsing and Recommending (IT Review) bodies:

1. Term of office will be two years. Initial membership appointments shall be staggered between two and three years. The Committee, on an annual basis, shall review the term of office for the chair.
2. Committee Chair
    a. Each court community-based IT Review Committee shall be chaired by a JISC member appointed by the full JISC. The duties of the Chair include reporting to the JISC on a regular basis.
    b. The State Court Administrator IT Review Committee shall be chaired by the State Court Administrator. The duties of the Chair include reporting to the JISC on a regular basis.
    c. Each court community-based Endorsing Committee shall be chaired by a member elected by the full committee. The duties of the Chair include reporting to the JISC on a regular basis.
3. Appointment of representatives will be made in writing by the organization to the Chair. Any changes in representation will be made in writing 15 days prior to the next scheduled meeting. Every two years the Committee will review its structure and membership to ensure appropriate and balanced representation.
    a. Each Committee shall have broad representation from its constituency reflecting diversity:
        i. by discipline (e.g., judges, clerks, administrators); and
        ii. by court size.
    b. Court community-based IT Review committees shall have representation from at least one member from each Endorsing Committee for a given court community (i.e., Appellate Courts, Superior Courts, Courts of Limited Jurisdiction)
4. Committee composition and its governance processes will be reviewed one year following original signing of the charter and every two years thereafter.

Refer to Appendix H for an IT Governance Committee Charter Template, which can be streamlined as needed and adapted for use by the Endorsing and IT Review committee structures. The following charter outline reflects the structure of the template referenced above:

IT Governance Charter Outline

Article I. NAME

Article II. DURATION

Article III. AUTHORITY

Article IV. PURPOSE

Article V. GOALS

Article VI. PRINCIPLES

Article VII. STRATEGY

Article VIII. ORGANIZATION

- Section 1. Committee Structure
- Section 2. Membership Designation

Article IX. POWERS, RESPONSIBILITIES, AND DUTIES

- Section 1. Responsibilities
- Section 2. Duties
- Section 3. Administration
- Section 4. Terms of Office

Article X. VOTING

- Section 1. Representation
- Section 2. Quorum
- Section 3. Voting Majority
- Section 4. Voting Rules

Article XI. MEETINGS

- Section 1. Regular Meetings
- Section 2. Special Meetings
- Section 3. Meeting Notice and Materials

Article XII. AMENDMENTS

APPROVED BY: _____

DATE: _____

4. IT Governance Tool

The IT Governance Tool provides a description and set of guidelines regarding the future "to-be" state, composition and interaction between technology, policy, process and procedure that will form the "IT Governance Tool."

Future IT Governance

The IT Governance Tool represents transition to the future "to be" state. The following are key to moving toward the future state:

- Tools Progression: assess and integrate current applications and tools to meet immediate IT Governance Implementation needs, evolving and enhancing them over time to result in a single, integrated solution.

  For Example:

  - Incident Requests will use the RightNow! System, Decision Management System or some variation
  - Known Errors and Change Requests will use the ClearQuest System or some variation
  - New Project Requests will use the Initiate IT request form template or some variation.

  In the future ideal state, requestors will have a seamless, integrated request interface so it will be transparent to them whether the request is being processed by one or more systems.

Measuring IT Governance Success

The success of IT Governance can be measured in several ways, from the enterprise and strategic level to the discreet individual request or project level.

Assessing IT Governance – CMM

At the enterprise and strategic level, IT Governance will be assessed on a periodic basis to determine how well the processes are maturing. The Capability Maturity Model (CMM) assessment tool, developed by the ISD Transformation Organizational Change Management (OCM) initiative, leverages leading industry maturity model metrics such as from the IT Governance COBIT © model, providing ISD with a custom assessment tool that addresses their specific needs.

The following table is an excerpt from the OCM deliverable outlining CMM assessment criteria for IT Governance (refer to the full OCM deliverable for a complete description of this CMM):

Category→ CMM LEVEL	ORGANIZATION & GOVERNANCE	PROCESS, POLICIES & PROCEDURES	KNOWLEDGE, SKILLS & EXPERTISE	COMMUNICATION, REPORTING & COMPLIANCE	INTEGRATION & MEASUREMENT
	• Strategic Alignment • Roles & Responsibilities • Organizational Accountabilities	• Policies, Processes and Procedures • Standards & Specifications • Tools & Automation	• Knowledge • Skills • Training & Learning	• Communications • Management Reporting • Adherence to Process	• Overall Integration • Metrics & Measurement • Evaluations
CMM LEVEL 5 OPTIMIZED	Management and organization are focused on effective governance and continuous improvement. The accountability model has cascaded throughout the organization. Strategic alignment is integrated and future focused.	Processes, policies and procedures are standardized, optimized and integrated. Standardized tools are used across the organization and are fully integrated with other related tools. Tools are used to support improvement and automatically detect control exceptions.	Learning and training promotes an environment of continual improvement. Skills improvement is encouraged. Knowledge sharing is part of the culture of the organization.	Communication is proactive using mature techniques and integrated tools. Reporting is efficient and optimized. Tools are in place to automatically detect non-compliance control exceptions.	Integration is seamless and optimized. Metrics and measurement promote continuous improvement. Performance measurement and evaluation is integrated and linked to business goals.
CMM LEVEL 4 MANAGED	Management and organization support and promote effective governance. Responsibilities and accountabilities are defined and integrated across organization boundaries. Strategic alignment is built into day-to-day organizational processes.	Processes, policies and procedures are standardized and integrated. A procedure is in place for ongoing maintenance of the methodology and templates. Tools are used in critical areas to automate management processes.	Skill requirements including proficiencies are routinely updated for all areas. Proficiency is ensured where critical and certification is encouraged. Training planning is mandatory and knowledge networks are encouraged. Mature training techniques are applied according to the training plan.	Communications management is mandated and formal communication strategies and plans are required. Quality is viewed from an organizational perspective. Tools are in place in critical areas to monitor non-compliance and control exceptions.	Integration is seamless. Metrics are integrated to drive business decisions. Performance goals are linked to areas of accountability.
CMM LEVEL 3 DEFINED	Organizational structure including roles and responsibilities is defined. Leadership and accountability has been defined and authority levels are being exercised. Strategic alignment is deliberate.	Processes, policies and procedures are standardized and documented. A plan has been defined for the use and standardization of tools to automate process. Tools are being used to automate key management processes.	Skill requirements are defined and documented. A formal training plan exists but training is still based on individual need. Alternative learning mechanisms are being considered.	Communications are more formal and structured. Management reporting includes aggregate and comparative reporting. A formal compliance process and a formal quality process are defined.	Systems are becoming more integrated. Goals linked to strategy are emerging but are not universally understood. Measurements exist but are not consistently applied.
CMM LEVEL 2 EMERGING	Governance is emerging. Roles & Responsibilities are defined but lack clarity resulting in overlaps and confusion when problems occur. Strategic alignment is emerging.	Key processes, policies and procedures are standardized but not always documented. Tools may have been acquired but are not consistently used.	Minimum skill requirements are identified for critical elements. Training is informal and in response to needs, rather than on the basis of an agreed upon plan.	Communications are becoming more formal and regular. A compliance process is emerging. Management reporting is summary-level.	Integration is emerging but not seamless. Goals are more defined and documented. Measurement is inconsistent.
CMM LEVEL 1 INFORMAL	Governance and planning is silo-based with managers focusing on the best interest of their area with minimal enterprise perspective. Minimal visibility as to how decisions are impacting organizational performance. Strategic alignment is ad-hoc.	Processes, policies and procedures are ad-hoc and not documented. Some tools may exist but are generally not standardized. There is no planned approach to tool usage.	Management is aware of the need for standards in some of the knowledge areas. Skills required are not identified. A training plan and formal training do not exist.	Communication is sporadic. Awareness of the need for compliance is emerging. Project reporting to management is informal and on request.	Efforts are silo-based and minimal if any integration exists. Goals are not clear and minimal. Metrics are informally collected on an ad-hoc basis.

Assessing IT Governance – Other Methods

The principles adopted by each of the IT Governance endorsing and recommending bodies through their charters will also provide a means for periodically assessing the success of IT Governance. In other words, how well did the governing body act compared to how they said they wanted to act and how well did they align their decisions with the principals and priorities outlined in their governing charter.

Additionally, at the strategic level, ISD will be able to assess IT Governance success by reviewing the IT Strategies, Business Objectives, and JISC priorities to evaluate how well they align with the decisions emerging from the IT Governance process. This assessment can occur at both an enterprise, summary level as well as at the individual request level. The SWOT Analysis discussed in a previous section, offers one option for such an assessment.

For individual requests, value and risk metrics will be collected. As the requests move from the IT Governance Process to PMO and into ITPM, the metrics collected through the IT request process can be measured against those emergent PMO projects and ITPM assets.

There are a variety of assessment tools that can be drawn from to augment the CMM and SWOT Analysis. An excellent example of an evaluation and assessment tool is provided by the Federal Information Technology Resources Board (ITRB). This robust assessment tool can be readily customized for the JIS, Appellate Courts and AOC IT Governance needs. Examples of questions asked by ITRB are:

- *Do IT investments reflect business priorities?*
- *Are competing opportunities for technology investments prioritized to effectively allocate limited funds?*
- *Do IT projects explore different approaches to find alternatives that lower risk and reduce cost?*
- *Do project-level technical architectures ensure consistency with the overall agency IT architecture?*
- *Are performance goals and associated measures linked to the IT strategic plan?*
- *Does the organization support an independently established performance model such as the Capability Maturity Model (CMM)?*
- *Does the agency have a clear process for communicating decisions about IT spending?*

Refer to Appendix F-5 for a few sample reports that can be used to inform the IT Governance process as well as inform the assessment of the IT Governance process.

5. IT Governance Implementation Considerations

IT Governance implementation considerations address the anticipated approach, timing and sequencing of the implementation of the IT Governance Model and Tool into a production environment, inclusive of policies and procedures to support the future governance process.

In implementation of IT Governance, it is optimal to have a single user interface for submitting IT requests and monitoring their progress. For AOC-ISD, the best combination of technology solutions and related procedures will need to be determined for client-facing applications and for the operational “back end” systems needed to support the overall request process. In the near-term, it may be desirable to continue to use RightNow!, Clear Quest and Concept Overview applications in their current state and work toward a phased implementation to achieve a preferred single, seamless interface for IT requests that makes the technology solutions transparent to the client communities. Budget and staffing capacity are key considerations in the decision whether to use current systems or establish new capability.

Documentation and training requirements are provided in a separate deliverable, the “IT Governance Training Plan and Materials.” The plan provides the approach and high-level agenda and materials needed to deploy training to support the implementation of IT Governance for AOC staff, court community users and other stakeholders in the governance process.

Sample reports and performance metrics are included in the Final Framework. These are derived from best practices and adapted for the AOC and the Washington courts community needs. These, in conjunction with the Capability Maturity Model developed by OCM for IT Governance, will help AOC, JISC and the Appellate Courts determine and communicate the value gained from their new IT Governance Frameworks. Information on IT assets and investments derived from the Project Portfolio along with project status information from the PMO and information on enterprise architecture alignment will improve implementation of IT Governance processes. The Final Framework provides mechanisms throughout the IT request process to measure benefit, value, risk and other metric-based criteria to support performance reporting needs.

Implementation of the IT Governance Model and Tool, scheduled for the second phase of the IT Governance Initiative (Cycle 2), is an accelerated 4-month cycle planned to begin in March 2010. Detailed planning and refinements to the training, documentation, and communications will be included in the implementation cycle. Implementation will utilize a staged approach that includes deploying, assessing and refining the IT Governance Model and Tool, while integrating and adapting existing processes and practices as needed. Initial implementation will focus on JIS Governance. The governance model, tool, templates and processes will be refined through initial implementation, then extended to address the specific needs of the Appellate Courts and AOC internal IT Governance processes.

Identification of risks and risk mitigation and management strategies necessary to aid successful implementation are part of this Final Framework. These considerations focus on simplifying processes, informing and engaging stakeholders, and enabling IT Governance to grow and mature incrementally while continuing to add value.

6. IT Governance Recommendations

The Final Framework recommendations focus on guiding successful implementation, minimizing risk, and fostering ownership and buy-in to the new IT Governance Model. Recommendations from other IT Governance Initiative deliverables are also reflected in the following recommendations.

The IT Governance recommendations support the following high-level success strategies:

- Create a simple and repeatable process that is easy to understand and use.
- Promote transparency and open communication throughout the process.
- Use the IT Governance process unchanged for a minimum of 12 months, allowing stakeholders the time to learn, assess, and plan for improvements.

Governance Structures

- Establish new IT Review and Endorsing IT Governance bodies with common goals, objectives and guidelines and the flexibility to organize in a manner that best suits their needs.
- Identify interrelationships and dependencies between the JISC, its standing committees and other formal and informal IT Governance structures.
- Clarify roles, responsibilities and authorities for participants in the IT request process.

Organizational Capacity within AOC

- ISD has recently established and filled the ITSM position. The ITSM position's role and authority need to be clearly defined and communicated. The ITSM will play a vital role in the successful implementation of the new IT Governance process and will coordinate and support the Operations Control Board (OCB).
- Create the OCB with responsibilities and authorities clearly defined, a charter developed and members selected. OCB members should be familiar with the ISD Transformation initiatives and knowledgeable of and proponents for the new IT Governance Framework. The OCB should be established as soon as possible to support the launch of new IT Governance processes and evaluate and analyze incoming IT requests.
- Determine operational dependencies between IT Governance and the ITPM, PMO, EAM and ISD Operations functions within ISD. Establish protocols and processes regarding how they will interact and inform each other. Determine timelines for establishing EAM standards and guidelines and ITPM inventory of assets.
- Clarify roles and responsibilities for AOC staff in support of Endorsing and IT Review committees, the OCB and the overall IT Governance process and tools.

IT Requests

- Archive and make accessible the current IT Request Backlog as a resource to support AOC analysis efforts and for the user community as a reference and potential basis for new IT requests.

- Ensure all IT requests go through the new IT Governance process for consideration and prioritization, which will allow user communities to identify and evaluate IT requests that represent current priorities.
- Gather as much information as early as possible in the IT request process (e.g., need, benefits, costs, risks) because the requester and/or endorser are best-positioned to answer relevant questions about business value, risks, impacts on other users, etc.
- Anticipate there to be an undocumented demand for IT services that exists as a result of the "freeze" on IT service enhancements over the past two to four years. When user communities are able to submit requests for system enhancements to the new IT Governance process, there may be a larger demand than the IT request backlog suggested. The new governance processes need to anticipate the impact of this pent up demand on AOC and new governance structures. Key to addressing this unknown demand will be the communication to and education of participants and stakeholder throughout the IT Governance process.

Common Understanding and Ownership

- Provide sufficient descriptions, guidelines, tools, templates and examples to ensure AOC and the court communities are well informed and equipped to engage in each step of the IT Governance process. Provide training to participants and other stakeholders early in implementation and provide ongoing business and technical support from the Help Desk, other JSD staff, and ISD.
- ISD should build upon the positive communication and coordination efforts surrounding the development of the ISD Business Blueprint, the Table Top planning and exercise activities, and the CA Clarity configuration. ISD should establish regular cross-initiative meetings and a central repository of initiative artifacts to facilitate ongoing communication and collaboration.

Process and Tools

- Establish an exception-handling process that identifies, plans for and manages exceptions within the IT Governance Framework. Refine Use Cases to match implementation of the Framework and real-world application of new governance processes, including exceptions.
- Work with IT Governance stakeholders to define metrics that are meaningful and accurately capture the value and benefits of IT Governance. Periodic assessments of IT Governance will be instrumental to ensure the Framework supports IT investment decision-making with desired results in a timely manner, continues to add value and is sustainable.
- Maintain the ISD Business Blueprint process map to ensure it is a dynamic, evolving representation of the IT Governance process and a tool that will aid ISD in the implementation and ongoing support of IT Governance. ISD should assign the OCB and the ITSM as its representative to be the permanent "owner" of the Blueprint.

- Leverage existing technologies, tools, templates and expertise in the implementation of the new IT Governance process. Evaluate best fit for initial implementation and develop long-term strategies to address future tool and technology needs to support IT Governance.

Implementation Approach

Implement IT Governance using a phased approach with initial focus on the JIS IT Governance Framework. Once implemented, the Framework should be left materially unchanged for a period of at least one year to be able to assess and improve the Framework.

Senior Level Guidance Needed

To effectively establish and launch a new IT Governance process, the following senior level guidance is needed over the March to June 2010 timeframe:

- Direct creation of Endorsing and IT Review committees
- Establish and communicate budget capacity
- Confirm business priorities
- Identify policy level or technical exclusions
- Identify priority projects
- Endorse IT strategic direction
- Champion IT Governance Framework

Next Steps

To ensure successful implementation of the new IT Governance Framework, the following needs to occur:

- Establish and charter 11 Endorsing and 4 IT Review committees
  - JISC directs composition of the committees
  - AOC provides Charter template for committee customization and adoption
  - AOC provides tools, templates and guidelines for use by the committees
  - AOC facilitates training and provides support to committees
  - AOC determines AOC staff support and liaison roles and responsibilities
- Establish Operations Control Board
- Conduct necessary training for AOC and court community
- Establish operational (AOC internal) IT Governance processes (April – June 2010)
- Provide initial support for new IT Governance process for court communities (July 2010)
- Develop mechanisms to capture, track and report on IT requests

F. Approval Signatures

Title	Name	Signature	Date
Project Sponsor	Dirk Marler		
AOC Project Manager	Kathleen Wyer		
Sierra Systems Project Lead	Mike Zanon		