FY 2010-2011 ITIP Application User Guide

Ohio Department of Administrative Services
Office of Information Technology
Investment and Goverance Division
Office of State IT Investment Management

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1.0 OVERVIEW

The *ITIP Application User Guide* provides instruction and guidance on the use of the Department of Administrative Services' (DAS) ITIP application. The ITIP application is the plan containment tool that state agencies, boards and commissions are required to use for the submission of their biennial IT plans to the Office of Information Technology (OIT).

The *ITIP Application User Guide* is designed for use by agency planners. Although the guide contains functionality for DAS personnel, the main focus is the operation of the application tool from an agency planner's perspective. It should be noted that the ITIP application tool documents the results of planning; and is not intended to facilitate an agency's planning process. The *FY2010/2011 Agency Guide to IT Investment Planning* provides agencies with assistance to facilitate the planning process.

The first portion of the guide – Sections 1-3, discusses prevailing principles and concepts for the ITIP application as a whole. Section 4 contains operational details, plan information entry, and instruction on publication of an IT investment plan. To better understand the ITIP application and this guide, read Sections 1-3 in narrative form. Refer to Section 4 to obtain detailed help about screen operations, explanations about data fields, and how to perform needed actions.

2.0 GETTING STARTED

Before beginning use of the ITIP application, there are some preparatory steps to review. This section details those actions.

2.1 Gathering Information

The ITIP application is not where planning occurs; it is where the previously generated planning information is recorded. Accordingly, agency planners should review the State of Ohio Policy *IT Investment Planning ITP D.4* and the *FY2010/2011 Agency Guide to IT Investment Planning* before a significant amount of data entry occurs in the ITIP application tool. Interaction with the application without reference to both documents is likely to increase the difficulty and confusion of the user. Both documents are accessible via the DAS Office of State IT Investment Management (IM) web site at: http://www.oit.ohio.gov/IGD/planning/ITPlanningPortal.aspx.

2.2 Obtaining Access

The user must have an assigned user name and password in order to login to the application. These assignments can be obtained through your agency's IT investment planning coordinator, or by contacting IM via e-mail at: state.itplanning.manager@oit.ohio.gov or by calling 614-466-7468.

2.3 Computer/Access Configuration Requirements

2.3.1 Browser

The ITIP application was designed for use with either Microsoft Internet Explorer (IE) version 6 or above or Firefox 2.0.0.11 or above. The application may not function properly with an earlier version of either browser.

2.3.2 Monitor/Screen

The ITIP application was designed for operation at a resolution of at least 1024x768. At a resolution lower than this, horizontal and vertical scrolling will be more frequently required to view the contents of an entire screen.

2.3.3 Internet Access

The URL for ITIP is: https://appPortal.oit.ohio.gov. This will take you to the application login page where you will be prompted to enter your user name (e.g., firstname.lastname) and your password.

2.4 Getting Help

2.4.1 Updated Application User Guide (online)

Any changes to the ITIP application will trigger updates to the Application User Guide. Updated versions to the guide will be available online, through the Documents link in the application and on the IM web site. Agency planners should interact with the application no less than every six months, more frequently if events relevant to the plan or a project dictate.

2.4.2 Updated Agency Guide to IT Investment Planning (online)

The Application User Guide is a companion document to the Agency Guide to IT Investment Planning. Further, some changes to the ITIP application may trigger updates to the Agency Guide to IT Investment Planning. Current or updated versions to the Agency Guide to IT Investment Planning will be available online, through the Documents link in the application and on the IM web site.

2.4.3 Contact Information

The agency planner can obtain additional help by e-mail at: state.itplanning.manager@oit.ohio.gov or by calling 614-466-7468.

3.0 APPLICATION BASICS

3.1 Application Principles

3.1.1 Plan Behavior

The primary operation of the ITIP application consists of the completion of plan sections. The Biennium IT Investment Plan consists of an agency-level plan component and a series of one or more IT project plans. The Biennium IT Investment Plan cannot be considered ready for publication until both the agency-level plan and the IT project plans have been validated by the application.

The ITIP application will support two versions of each agency's plan: a draft copy and a published copy. A DRAFT plan exists in various stages of completion and can be stored even if required data is not yet completed. When the plan is complete, planners publish their plan. This creates the PUBLISHED version. All validation rules must be met in order to publish a plan. After the plan is published, the agency may need to make revisions. They will revise the DRAFT version, which will begin as a copy of the previously published plan. When the agency re-publishes the plan, the newly revised version replaces the previously published version. The ITIP application manages only one published plan version. The versioning process is shown in the diagram below:

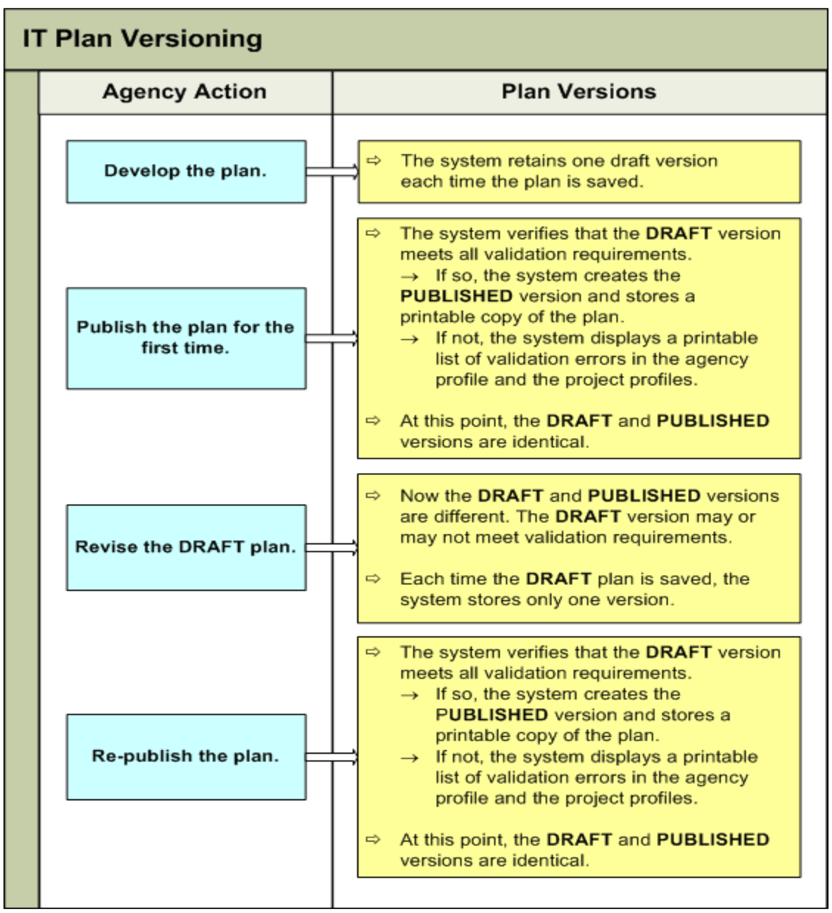


Figure 1: IT Plan Versioning

3.1.2 Application Behavior

The application guides the user through permitted actions, and generally restricts actions not allowed. However, the large amount of business rule validation that existed in the previous application (i.e., ePlanningIT), has been minimized. ITIP application users are given significant latitude during the documentation phase of their plans.

It should be noted that the user should enable pop-ups for this application. Otherwise, some of the warning messages and a few of the reports cannot be seen.

3.1.3 Leaving the Application

There are three exit procedures from the ITIP application. Data not saved prior to performing these procedures may result in lost data. They are as follows:

1. **Logoff navigational click**: The ITIP application provides a persistent navigational link to an exit application feature in the action frame along the left-hand side of the application. Clicking that option will return the user to the OIT Application Portal. This is the preferred method of exit.
2. **Exit the browser**: Click on the "X" in the upper right-hand corner of the browser window, thus terminating the browser, and ending the operation of any running web applications and connections to any web sites. This exit method is not recommended.
3. **Inactivity Logout**: If the user is inactive in the application for one hour, the application will automatically "timeout" or perform an automatic logoff. Although any screen activity will reset the timeout feature, the user should periodically "Save" to preserve their work and reset the logout timer.

3.2 User Principles

The ITIP application manages the following agency contact types:

3.2.1 "Authorized User"

The agency identifies to the DAS Office of IT Investment Planning individuals from the agency requiring access to the ITIP application. Only the DAS Office of IT Investment Planning can grant access to the application and add individuals to the list of authorized users. Once the individual is added to the authorized list, all planning information for the planner's agency is available for review, addition, or modification by the "authorized user." (**Note**: the term "authorized user" is not used by the application, but is used here to clarify access and roles in this discussion.)

If an agency becomes aware that a user no longer requires access to the ITIP application, then notify OIT so that unauthorized access can be prevented.

3.2.2 Plan Contact

The Plan Contact is assigned in the agency-level plan. This assignment does not grant that individual access to the application, it only identifies that individual as the point of contact for the Plan. The application recognizes only one individual as a Plan Contact for the agency.

3.3 Screen Layout

The State of Ohio Portal format provides the pattern for the ITIP application. As a portal application, some physical features, such as the Ohio state logo, and other non-application unique characteristics appear along the top of the screen while the application is in use. The physical layout for each screen within the application follows a standard format, as illustrated by Figure 1 below. This standard format follows:

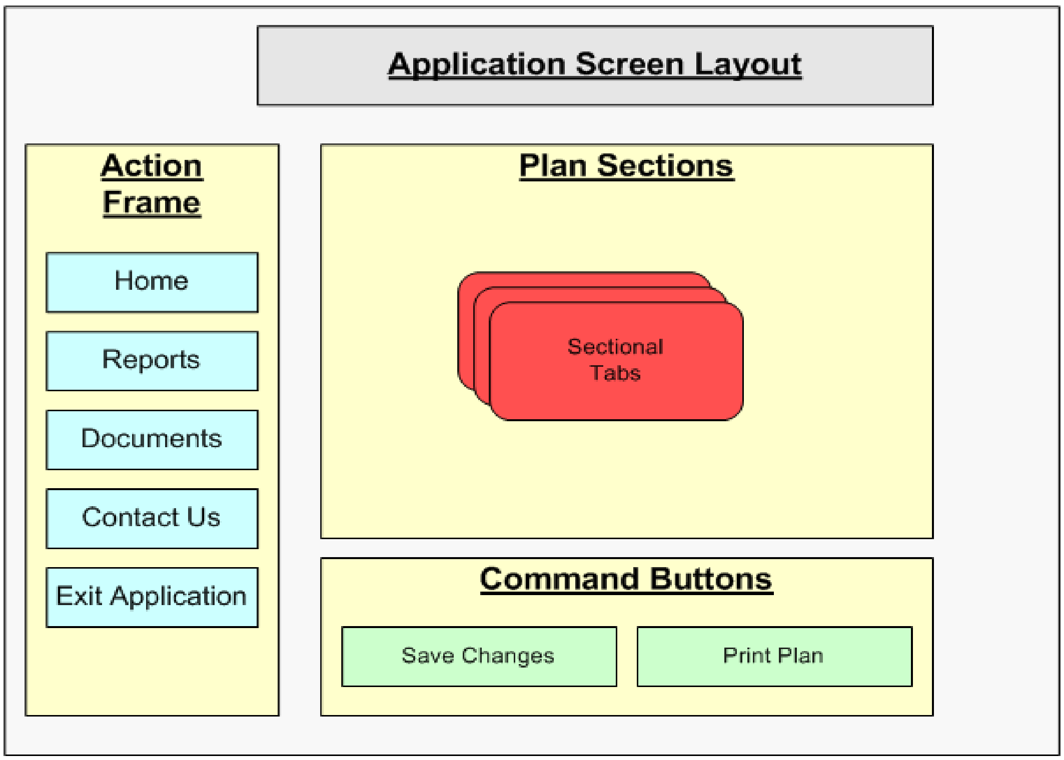


Figure 2: Screen Layout

1. **Action Frame**: Along the left side of the screen is a list of command buttons always available to the user that will not disappear regardless of the contents or status of the Plan Sections Window section. The normal action invoked by clicking one of these command buttons is explained in section 4.2 in this guide.
2. **Plan Sections Window**: This section of the application screen contains the home pages and plan sections of the agency-level and project-level plan information. All of the plan information data entry occurs in this section. The screen may contain data entry/edit fields, pull-down menus, and a few plan

section-unique command buttons. The following principles are common in all of the plan sections:

- ✓ When a red asterisk appears to the left of a field name, it means the field is required. These fields can be left blank and saved during plan creation or editing, but the plan cannot be validated and published without a valid entry.
- ✓ For large text fields, a number appears along the upper right corner of the field. This number indicates the maximum number of characters allowed by the application for this field.
- ✓ Some data fields will have a "+ Instructions" entry. This indicates that additional instructions can be displayed by clicking on the "+" sign. Clicking on the resultant "-" sign will collapse the instructions. The default behavior is that expandable text is condensed upon screen entry.

3. **Command Buttons**: The command buttons section contains a set of context-sensitive options for user action. The available command buttons are determined by the plan version (i.e., draft or published), plan type (i.e., agency or project), and location (i.e., home page or not). A few plan sections contain command buttons embedded in the Plan Sections portion of the screen (e.g., the assignment of collaborating agencies for projects), but they are the exception.

3.4 Navigation Principles

There are three primary ways to navigate through the system.

3.4.1 Navigational Command Buttons

Many user screens contain command buttons that allow navigation to the project home page, where a list of catalogued IT projects is displayed. Another command button in the action frame along the left-hand side of the screen navigates the user to the agency home page, where the user could select between draft and published versions of their plan. Both of these actions are explained further in section 4.2 and 4.3.

3.4.2 Hyper-linked Information

Some user screens contain informational lists that allow navigation to a more detailed view of the selection. The best example of this is the project selection link on the project home page. Normally, the user can edit that information or make other changes to that plan section before returning to the screen of origin.

3.4.3 Browser Navigation

The browser provides forward and back navigational functionality, however, it should not be used in the ITIP application. The browser functions do not work the same as the functionality in the ITIP application. Use of the browser forward and back navigation methods can cause loss of input data, logoff from the application, or another unpredictable result. With the browser back and forward page navigation the ITIP application is not expected to respond to the agency planner in a predictable fashion.

3.5 Help Principles

Help for the application is available as follows:

3.5.1 Application Screen Text

Each screen should contain enough textual help to explain the context of the screen and any significant restrictions or qualifiers for data entry on that screen. In most cases, the application follows the process outlined in the Agency Guide to IT Investment Planning, which explains the planning process. The Application User Guide explains how to record the information generated from the planning process. The on-screen text explains how to perform data entry on the application. The screen provides help, most frequently, by explaining field size restrictions, required data entries, and brief explanations of the longer textual entries. The top portion of each section may contain helpful text for that screen. Additionally, some data fields provide supplemental help text that "expands" and "contracts" at the discretion of the user.

3.5.2 Application User Guide

The primary help for the application is this User Guide. The Table of Contents includes hyper-linking capabilities to accelerate user navigation to any specific screens' information. Section 4 is the largest, most detailed source of help, as it contains narrative about data fields and their validation criteria, the operation of command buttons, and other information useful to successfully complete each screen.

3.5.3 Application Error Messages

An error message appears when an erroneous entry is made in some data fields. These error messages are normally brief, but usually specific enough to inform the user where the problem occurred on the screen. If the message and user text are insufficient, the user should consult the related screen information in section 4 of this Guide.

4.0 APPLICATION DETAILS

This section explains the general screen usage, data fields, command buttons, and any special screen checks the application performs prior to executing the desired action.

4.1 Login Screen

The OIT Application Portal is the starting point for all users. Since the ITIP application resides within the OIT portal, any valid application user already logged into the portal will not be prompted to re-enter their username and password. If the application user is outside of the portal, the login screen will appear. It validates that the agency planner entered a proper username-password combination. A successful username-password combination sends the planner to the *Agency Home Page* screen. An unsuccessful combination causes the page to refresh and display an invalid username-password error on the screen.

Login Steps

1. Open browser
2. Go to the portal (http://www.oit.ohio.gov/igd/Applications/default.aspx). If the planner is an Authorized User, the ITIP application will be an option visible on the screen, and clicking that option will navigate the user directly to the *Agency Home Page* screen.

Login Screen

User Name (required): must correspond to an assigned and active value.

Password (required): must correspond to a valid password for the user name entered in the User Name field. Passwords are case-sensitive.

Login command button: clicking this command button initiates the username-password combination validation.

4.2 Action Frame

Along the left-hand side of the application is a frame with a set of command buttons that remains visible during the entire time the planner is logged into the application. These command buttons support additional actions that a planner may perform during the planning session.

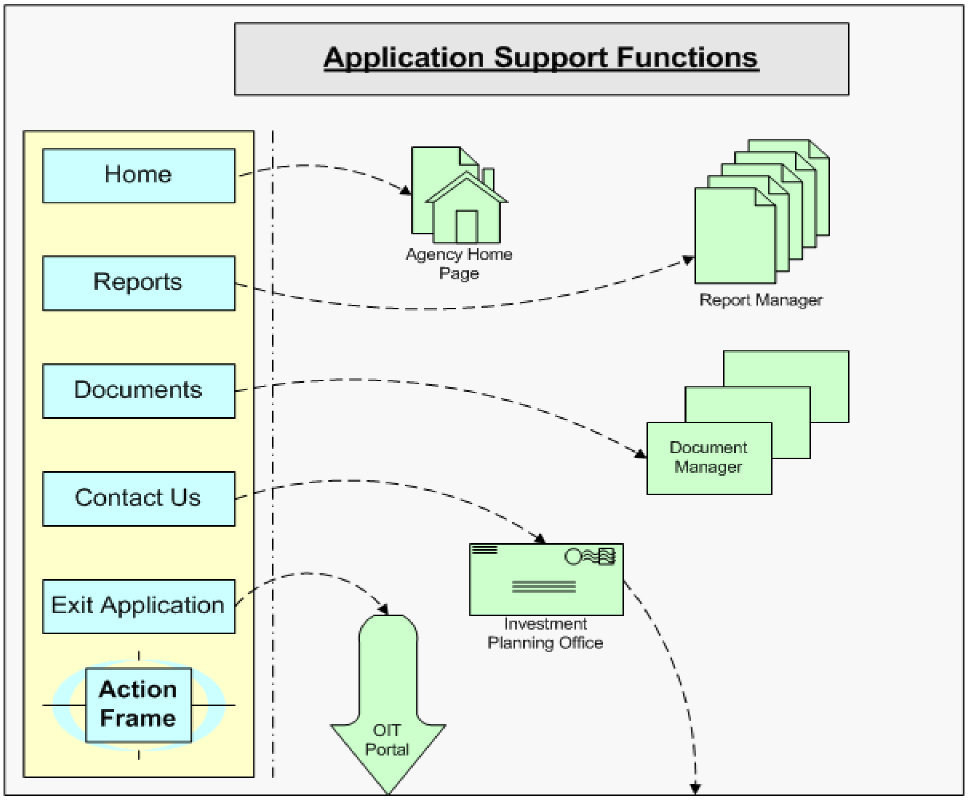


Figure 3: Application Support Functions

The next few sections in this guide describe the purpose and actions of each of the command buttons in the action frame.

4.2.1 Home Function

The *Home* command button navigates the planner to the agency home page. If there are any unsaved changes to the plan, the user will be prompted for a save. Normally, the planner performs this action in order to select one of the two plan types (i.e., draft or published), or to perform a Validate and Publish Plan action on the current draft.

4.2.2 Reports Function

The *Reports* command button triggers the opening of a Reports Manager window on the screen, and provides a list of existing reports that are available to the planner. This action does not prompt the user about any unsaved changes to the plan. The availability of reports is based on which agency IT investment plan is active for the planner's current session. For example, no reports are available to planners from the agency home page because neither the draft or published plan is active. The following reports are available for planner use:

Project Plan Status (draft only): This report shows the status of each project in the DRAFT version of an agency's IT plan. For the purpose of this report, project plan status refers to the validation status of the project plan data, not the status of the project. Planners use this report to review the validation status of the IT projects in the draft plan.

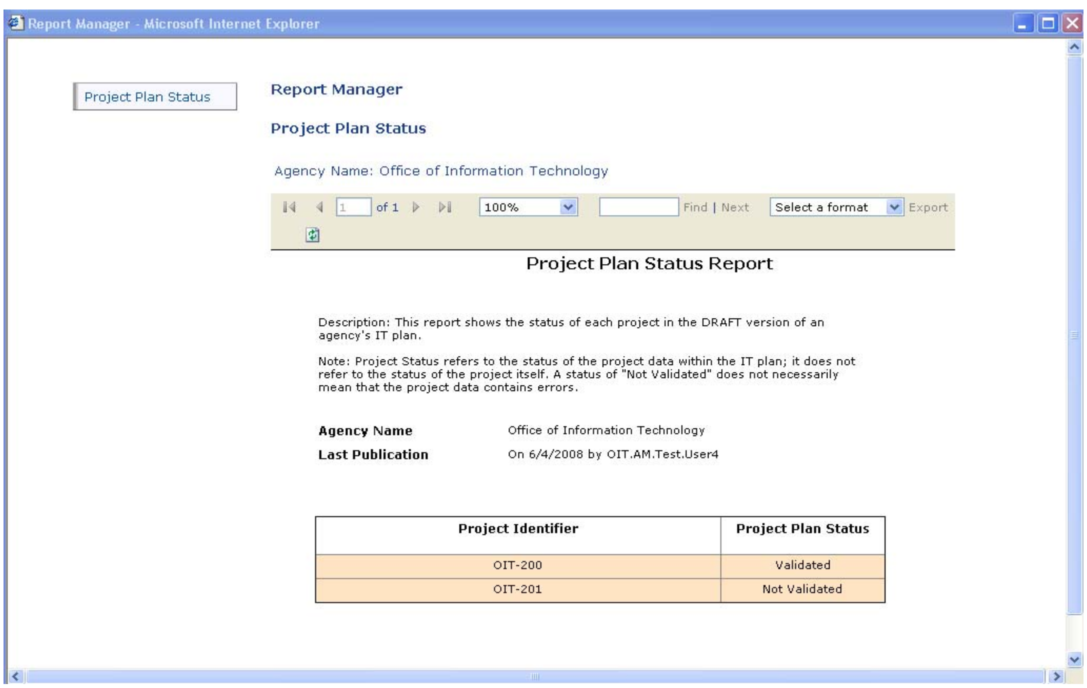
Agency Budget Summary (published only): This report provides a high-level summary of application maintenance, infrastructure maintenance, and IT project budget profiles. Only the budget group totals are presented in each case.

Project Budget Summary (published only): This report provides a high-level summary of IT project budget profiles. A budget group total is presented for each IT project.

Project Budget Detail (published only): This report provides a detailed table of the IT budget groups and categories for each project.

Printing a report: The *Reports* command button opens the Reports Manager window, which contains one or more command buttons, each associated with a specific report. Clicking one of these report command buttons initiates the following sequence of events:

Step 1 – Within the Reports Manager window, an abbreviated portion of the report becomes visible. The figure below is an example of the Project Plan Status report, displayed to the right of the command button that generated the report. In this particular case, the report completely displays all the data.



Step 2 – If the planner desires to print the full report, then the next step is to select a file format for report export. In the upper right-hand portion of the window, a pull-down field is available to allow the selection of Acrobat (a PDF file). Selecting 'Acrobat' will activate the 'Export' feature to the right of the field. Left-clicking the 'Export' field triggers a file generation containing the report information.

(Note: The planner may execute a "Ctrl+P" command and print the window as many other software applications allow, but the result will be a single page print of the window, not the report (i.e., the report command buttons and Report Manager title will also be part of the print-out). Consequently, the planner would take this approach only if the window displays the desired information.)

Step 3 – Another window will pop-up to display the results. However, the format selected by the planner determines the secondary action. Another window will pop-up to ask the planner whether the file is to be opened (and therefore be considered temporary), saved (and the user prompted for a destination and file name), or cancelled. Cancelling will close the secondary window and leave an open window, which would then require termination. The open option would open an Acrobat application window, allowing the planner to continue in that application. The save option would prompt for the normal windows file destination and naming actions.

Step 4 – After the planner finishes their Acrobat application actions, it is left to the planner to terminate the intermediate screens. The intermediate window triggered at file export is still activate, as well as the Report Manager window. Clicking on the red "X" in the upper right-hand portion of the screen or "ALT-F4" will close each window, although the planner should verify the correct window is active before closing.

4.2.3 Documents Function

The *Documents* command button triggers the opening of a Document Library window on the screen, and provides a list of existing documents that are available to the planner. This action does not prompt the user about any unsaved changes to the plan. Currently, the following documents are available for planner use:

Agency Guide to IT Investment Planning: an online, PDF formatted file version of the Agency Guide to IT Investment Planning. This guide supplements the IT Investment Planning Policy and walks an agency planner through the planning process.

Application User Guide: an online, PDF formatted file version of this Agency ITIP Application User's Guide.

Statewide IT Policy, "Information Technology Investment Planning ITP-D.4: an online version of the statewide policy on IT investment planning.

IT Investment Planning Resources: A set of supplemental documents to address specific planning issues considered too detailed for the planning or users guides. Examples include documents to explain the FEA, the mapping of OAKS budget codes the budget profile categories, and a benefit and risk profile to explain the purpose behind the project information question set.

The sequence for viewing these documents following the approach detailed for the Report Manager in 4.2.2.

4.2.4 Contact Us Function

The *Contact Us* command button triggers the opening of another window on the screen, and provides a mechanism to e-mail the OIT Investment Planning office. If there are any unsaved changes to the plan, the user will be prompted for a save. The user will see a screen with the fields listed below:

1. **Name** (required): enter the name of message sender.
2. **Email Address** (required): enter an e-mail address that can be used to send a reply to the message.
3. **Phone Number** (required): enter a telephone number that can be used to verbally contact the sender.
4. **Comments** (required**):** enter a free-form comment of the body of the message.

Clicking the Cancel command button will cancel the action. Clicking the Send command button will send an e-mail to the IT Investment Planning Manager.

4.2.5 Exit Application Function

The *Exit Application* command button navigates the planner to the OIT Application Portal. At this point, the planner is not expected to record any additional planning information or perform any additional actions.

4.3 Command Buttons

Along the bottom of the application is a set of command buttons that remains visible during the entire time the planner is logged into the application. These command buttons support additional actions that a planner may perform during the planning session, but are specific to the context of the planning session. For example, command buttons that support actions on draft plans are available only while an agency draft plan is active. Conversely, command buttons that support actions on published plans are available only while an agency published plan is active. The figure below illustrates this concept.

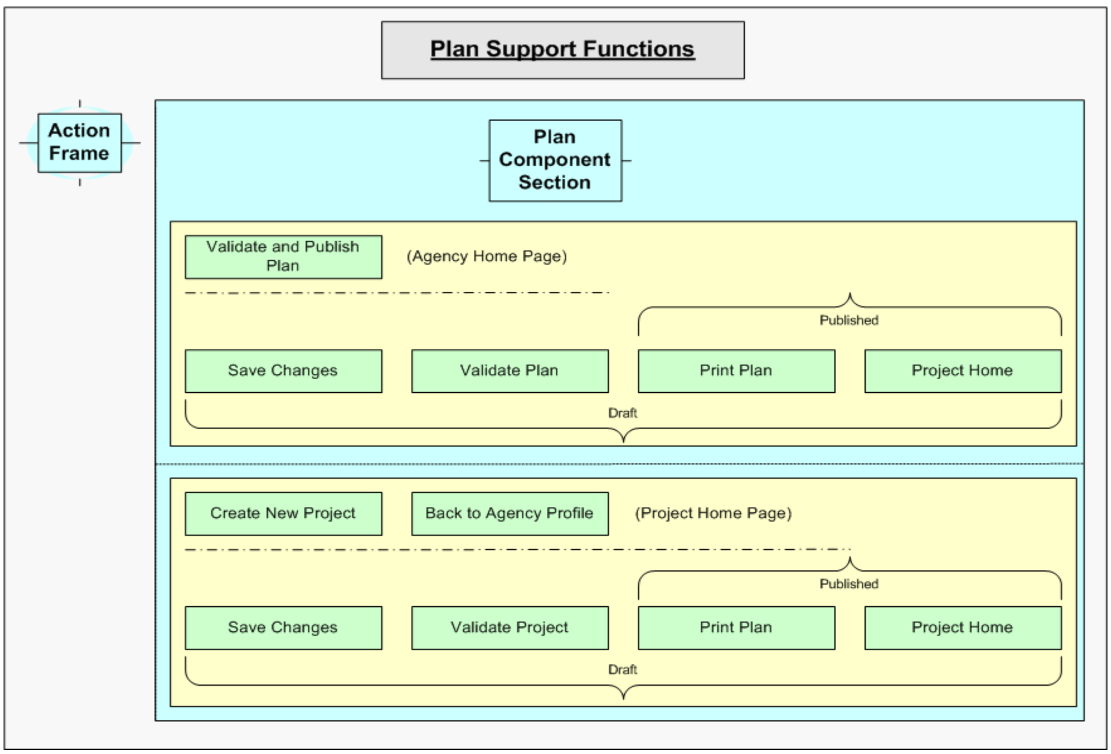


Figure 4: Plan Support Functions

In the figure, the two yellow boxes group the command buttons for agency –level context and project-level context. Command buttons in the agency-level context are available while the planner is working with the agency-level planning information, while the command buttons in the project-level context are available while the planner is working with project-level planning information. The yellow box groupings also illustrate the draft and published distinctions, as well as the command buttons available on their respective home pages.

The following guide sections describe the functionality of these command buttons.

4.3.1 Validate and Publish Plan (agency-level – home page only)

The *Validate and Publish Plan* command button is only available on the *Agency Home Page* screen. This command button performs two separate actions, as follows:

1. **Validate Plan**: the first action is an automated check through all plan sections for the agency-level and project-level planning information and checks all existing validation rules. If any validation rules are not satisfied, a validation report displays indicating which validation rules were not followed. If all validation rules were satisfied, then the second action is performed.
2. **Publish Plan**: the second action formalizes the publication date of the agency IT investment plan. It performs the following actions:
   - ✓ Sets the IT investment plan publication date to the current date.
   - ✓ Replaces the previously published plan with the new plan.
   - ✓ Stores a copy of the new plan in a library for historic purposes.

4.3.2 Save Changes (agency-level and project-level)

The *Save Changes* command button is available for both the agency- and project-level screens. This command button performs a save of any unsaved information the planner may have recorded since the last save. It does not perform any plan validation actions, but it does prevent any accidental loss of recorded information.

4.3.3 Validate Plan (agency-level)

The *Validate Plan* command button is available for the agency-level screens. This command button performs a validation check against all the saved planning information recorded in the current draft version of the plan, including all project plan information. A summary of the validation checks are detailed below:

> **Required Fields Complete**: verifies that all data fields identified as required have a valid entry.

A validation report is displayed indicating which validation rules were not followed. If all validation rules were satisfied, the validation report indicates that all plan sections are complete. Note that the plan is not considered published if only this command button is used. This command button provides an interim validation check for planners to gauge their current progress and plan status.

(Note – if the planner does not perform a Save operation prior to the Validation, the ITIP application automatically saves any unsaved information.)

4.3.4 Print Plan (agency-level and project-level)

The *Print Plan* command button is available for both the agency- and project-level screens. This command button generates a PDF copy of the currently active plan, whether it is published or draft plan version. However, the active plan determines the interaction with the planner. Below is the sequence based on active plan:

Draft – Same sequence as documented in 4.2.2 in the Report Manager. An open window with display the beginning of the plan. If the planner wants the full plan, then the file export type (through the 'Select a format' pull-down field) and export (through the 'Export' field on the right of the pull-down field) fields should be used. Since a draft plan is temporary, the planner should save the file with a designated name if the current version of plan information is important.

Published – Since the publication of a plan creates a PDF file as a by-product, then a PDF file already exists. The planner is prompted with a File Download window with that filename, and is offered a choice of Open, Save, or Cancel. Cancel ends the request and returns the planner to the ITIP application. Save allows the planner to rename and store the plan file in a location of their choosing. Open activate the Acrobat application and opens the file. The planner must close the Acrobat window when finished.

4.3.5 Project Home Page (agency-level and project-level)

The *Project Home Page* command button is available for both the agency- and project-level screens. This command button navigates the planner to the project home page and displays a list of currently defined projects and the appropriate command buttons. Normally, planners performing this action from the agency-level screens are shifting their attention from agency-level planning to project-level planning. Planners performing this action from a project-level screen usually intend to select another project to review or create a new project.

4.3.6 Create New Project (project-level – home page only)

The *Create New Project* command button is available at the project home screen only. This command button navigates the user to the *Project Profile* tab and pre-populates the *Project ID* field with the next available project identifier.

4.3.7 Back to Agency Profile (project-level – home page only)

The *Back to Agency Profile* command button is available at the project home screen only. This command button navigates the planner to the agency-level screens, defaulting to the *Overview* tab.

4.3.8 Validate Project (project-level)

The *Validate Project* command button is available for the project-level screens. This command button performs a validation check against all the saved planning information recorded in the current draft version of the currently active project plan. A summary of the validation checks are detailed below:

> **Required Fields Complete**: verifies that all data fields identified as required have a valid entry.
>
> **Information Tab Questions Complete**: if the budget profile for the project lifecycle is $1M or more, then answering the question set in the Information tab is mandatory. If the budget profile for the project is less than $1M for the project lifecycle, then answering the question set is optional.

A validation report is displayed indicating which validation rules were not followed. If all validation rules were satisfied, the validation report indicates that the project information status is complete. Note that the plan is not considered published if only this command button is used. This command button provides an interim validation check for planners to gauge their current progress and project plan status.

(Note – if the planner does not perform a Save operation prior to the Validation, the ITIP application automatically saves any unsaved information.)

4.4 Agency-Level Plan Sections

Agency planners record the results of their planning activities in one of two places: the agency- or project-level plan sections. Agency-level plan sections document IT investment planning information that applies to the agency at their enterprise-level, and planning information in these plan sections will likely affect many different IT activities.

The figure below provides a high-level overview of the plan sections and elements associated with the agency-level plan information. The plan section tabs appear on the left-side of the figure, while the plan elements (i.e., application data fields) are linked on the right-side of the figure.

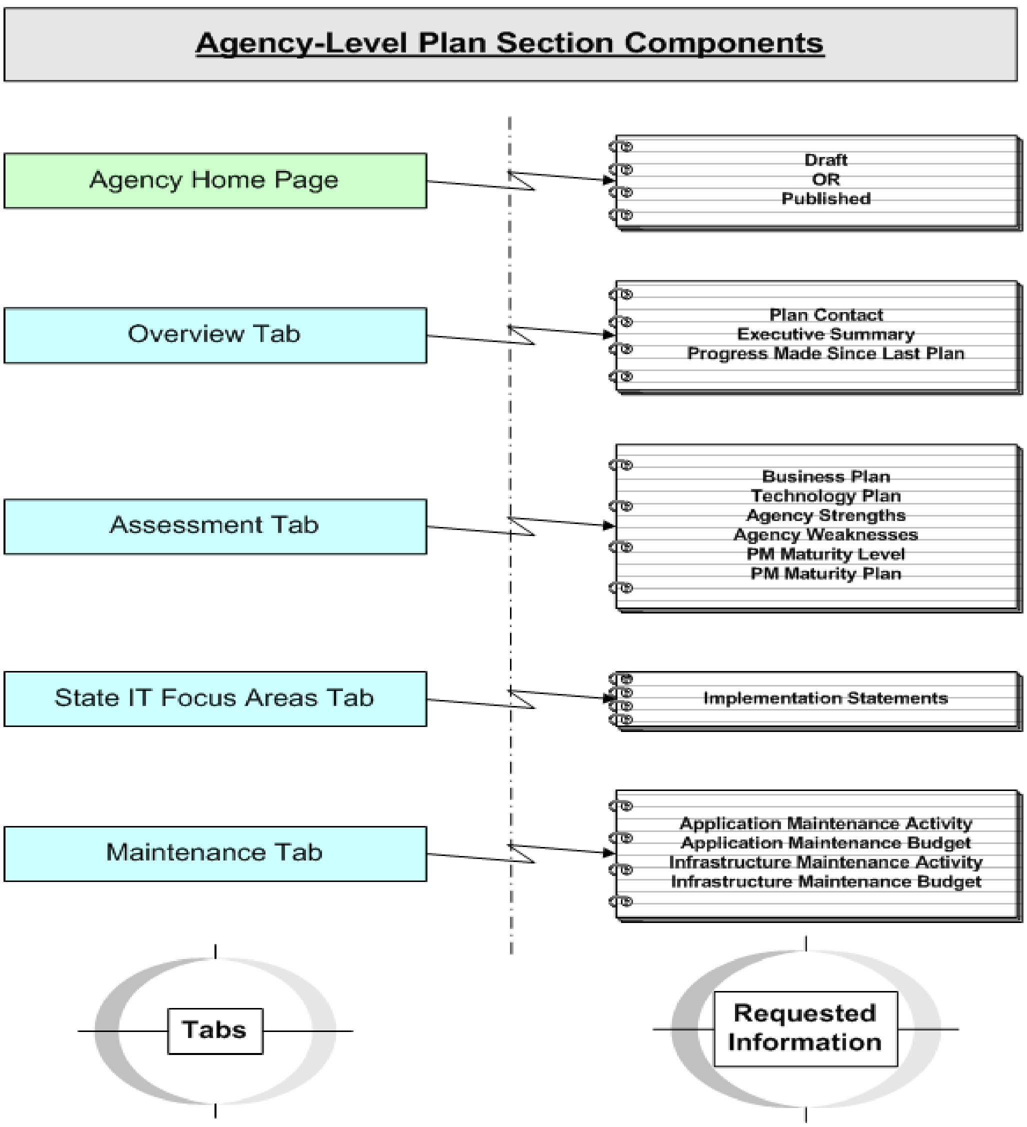


Figure 5: Agency-Level Plan Section Components

4.4.1 Agency Home Page

The *Agency Home Page* screen is the first screen the application displays once the login validation successfully completes. The planner can select either the draft or published plan version to continue work, or validate and publish the draft plan, as displayed in the figure below.

Figure 6: Agency Home Page Screen

Plan Version Table (select one): by left-clicking on the "Select" column to the left of the plan version column, the user navigates to the agency-level plan screen pre-populated with the plan version selected (i.e., Draft or Published). When a plan is under development or revision, draft is the proper selection. When reviewing an approved plan, published is the proper selection, as no changes are allowed to published plans. Once a draft is validated and published, the previous published version is replaced by the newly published plan and is unavailable for further use.

4.4.2 Overview Tab

The *Overview* tab is the default screen displayed after the selection of a draft or published version of the plan. The *Overview* tab is displayed below.

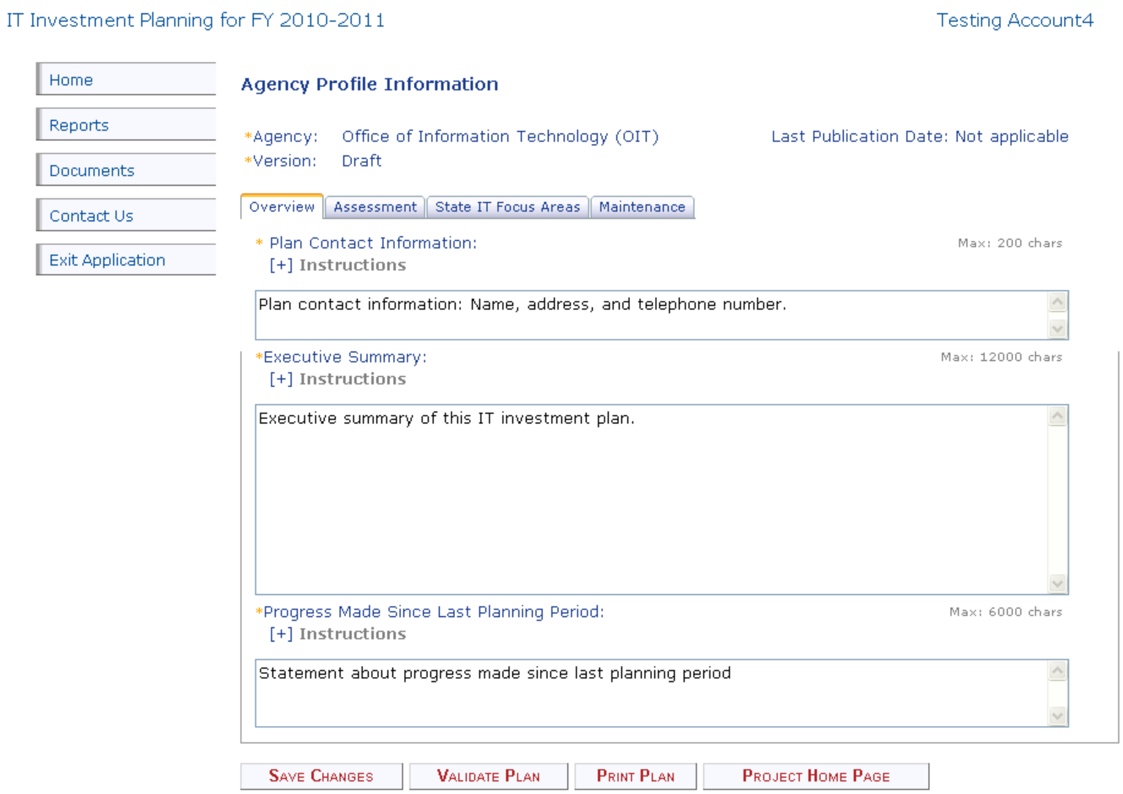


Figure 7: Overview Tab Screen

Plan Contact (required): The person to contact regarding the plan (name, phone, email address, etc.). This is free-form text.

Executive Summary (required): This data field provides for the entry of an Executive Summary. At the beginning of a planning effort, this text often contains an outline of what is anticipated for the plan. At the end of a planning effort, it is a summary or synopsis of what the plan contains. Since it is the first section in the published plan generated by the application, it is the first section the reader sees and sets the stage for the remainder of the plan.

Progress Made Since Last Planning Period (required): This field should describe progress made on the previous biennium's plan. It may also include background information regarding the planning approach, any significant factors taken into consideration during the planning process, and the key participants involved in the planning process.

4.4.3 Assessment Tab

The *Assessment* tab contains planning information associated with the self-assessment of the agency's IT environment. The *Assessment* tab is displayed below.

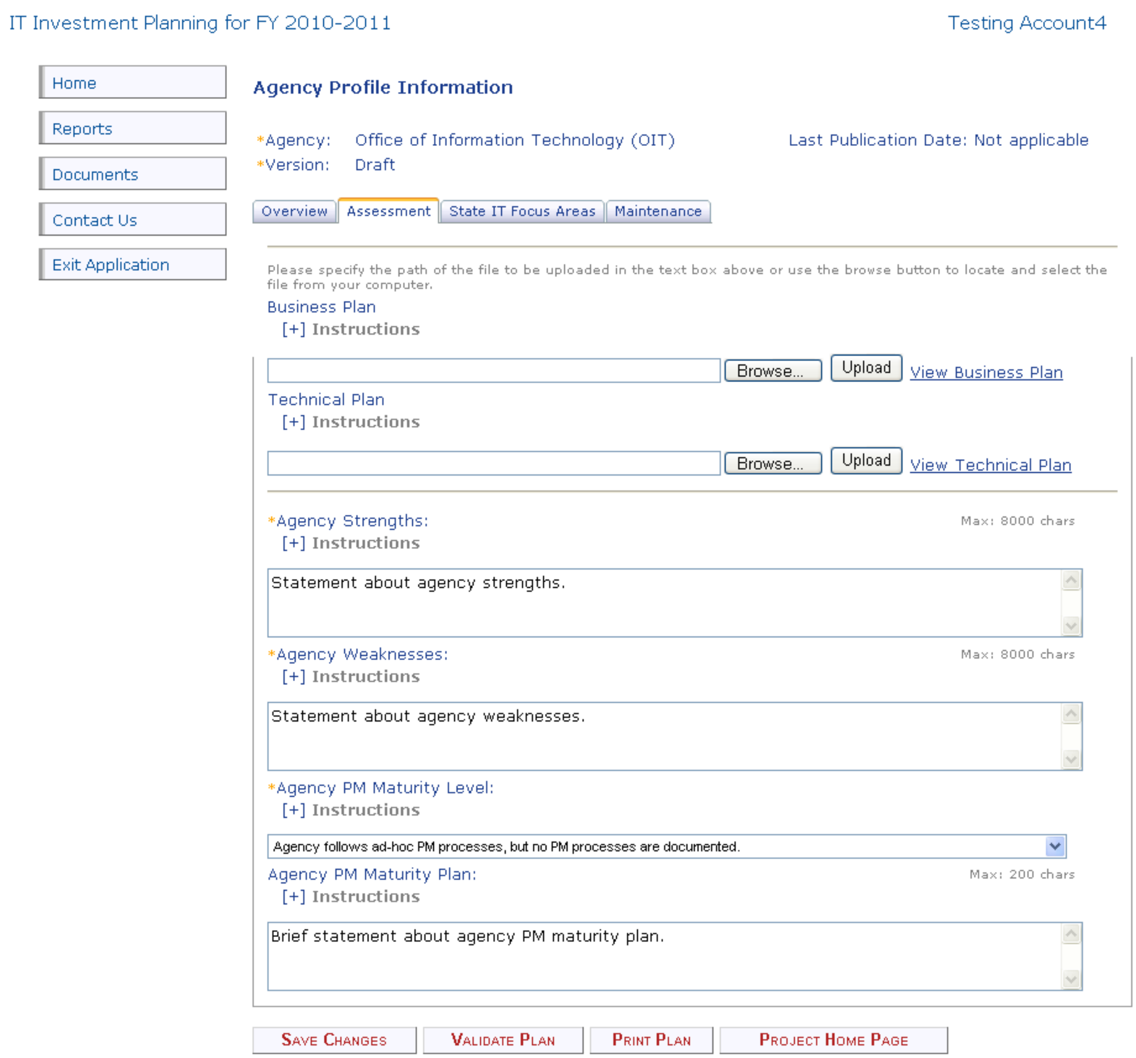


Figure 8: Assessment Tab Screen

Business Plan (optional): If the agency has a business plan document, they may upload it. If another document is uploaded at a later time, it will replace the previous document. The system will provide a way for the user to view the business plan document, if one exists and the user has installed the appropriate software (Adobe Reader, for example).

Technical Plan (optional): If the agency has a technical plan document, they may upload it. If another document is uploaded at a later time, it will replace the previous document. The system will provide a way for the user to view the technical plan document, if one exists and the user has installed the appropriate software (Microsoft Word, for example).

Agency Strengths (required): The agency should explain the current and anticipated organizational strengths that may help IT programs and management, as well as future conditions that may have a positive affect on IT efforts. This is a large text field.

Agency Weaknesses (required): The agency should explain current organizational weaknesses that may hinder IT programs and management, as well as anticipated conditions that may have a negative affect on IT efforts. This is a large text field.

Agency PM Maturity Level (required): The agency chooses from the following list of statements that describe various PM maturity levels:

- ✓ "Agency follows ad-hoc PM processes, but no PM processes are documented": Projects do not follow a documented, predictable pattern during project phases.
- ✓ "Agency follows ad-hoc PM processes, some but not all are documented": Documentation exists for some PM processes, but some processes used by the project are not documented. The agency assumes process compliance, but does not require it.
- ✓ "Agency follows and manages against some PM practices (some are documented, some are not documented)": The agency's management structure uses the documented processes to manage (i.e., monitor, evaluate and control) the project. The agency expects some form of process compliance.
- ✓ "Agency completely follows and manages against a documented PM methodology (all processes are documented and monitored)": All significant processes used to manage a project are documented and the agency uses that set of documented processes (a PM methodology) to manage IT projects. The agency documents process compliance.
- ✓ "Agency monitors and continuously improves PM processes": The agency examines the effectiveness of the documented PM processes and makes adjustments to the processes to improve effectiveness. The agency documents and evaluates process compliance.
- ✓ "Agency monitors and continuously improves PM processes and trains the organization on the improvements": The agency continuously improves the PM processes and provides ongoing training to personnel responsible for compliance with those processes. The agency matures PM processes, and actively facilitates personnel training to maintain effectiveness.

Agency PM Maturity Plan (optional): Agencies may add information about their project management processes to support and elaborate on the maturity level previously identified. Maturity comments may include statements about existing best practices in the agency, the current status of project management training efforts, and existing trends in project management trends within the agency. This is a large text field.

The first three data fields in the *Assessment* tab are unique in the ITIP application. All three of these fields provide the capability to upload a user-identified file to associate with the investment plan. Valid file types for these upload operations are Microsoft Office files (i.e., Word, Excel, Powerpoint, Publisher, Visio, and Project) and PDF. Additionally, all three fields have the following capabilities:

- Browse – locate the file to be uploaded using a typical browse capability. The application displays the standard *Choose File* dialog box used in Microsoft Office applications.
- Upload – upload the identified file to the ITIP application.
- View Business/Technology Plan – view a plan previously uploaded.

After a file is uploaded, it cannot be deleted. If a file is uploaded by mistake, create an empty file and upload that file. It will overwrite the previous upload, even if the two file types are different.

Note – Users of the Firefox browser should be aware that the *View Business/Technology Plan* command button may not automatically open a Microsoft Office file without assigning file types to application executables.

4.4.4 Focus Area Tab

The *Focus Area* tab contains planning information associated with the alignment of the agency's activities with state IT focus areas that should inform and influence agency planning. The *State IT Focus Area* tab is displayed below.

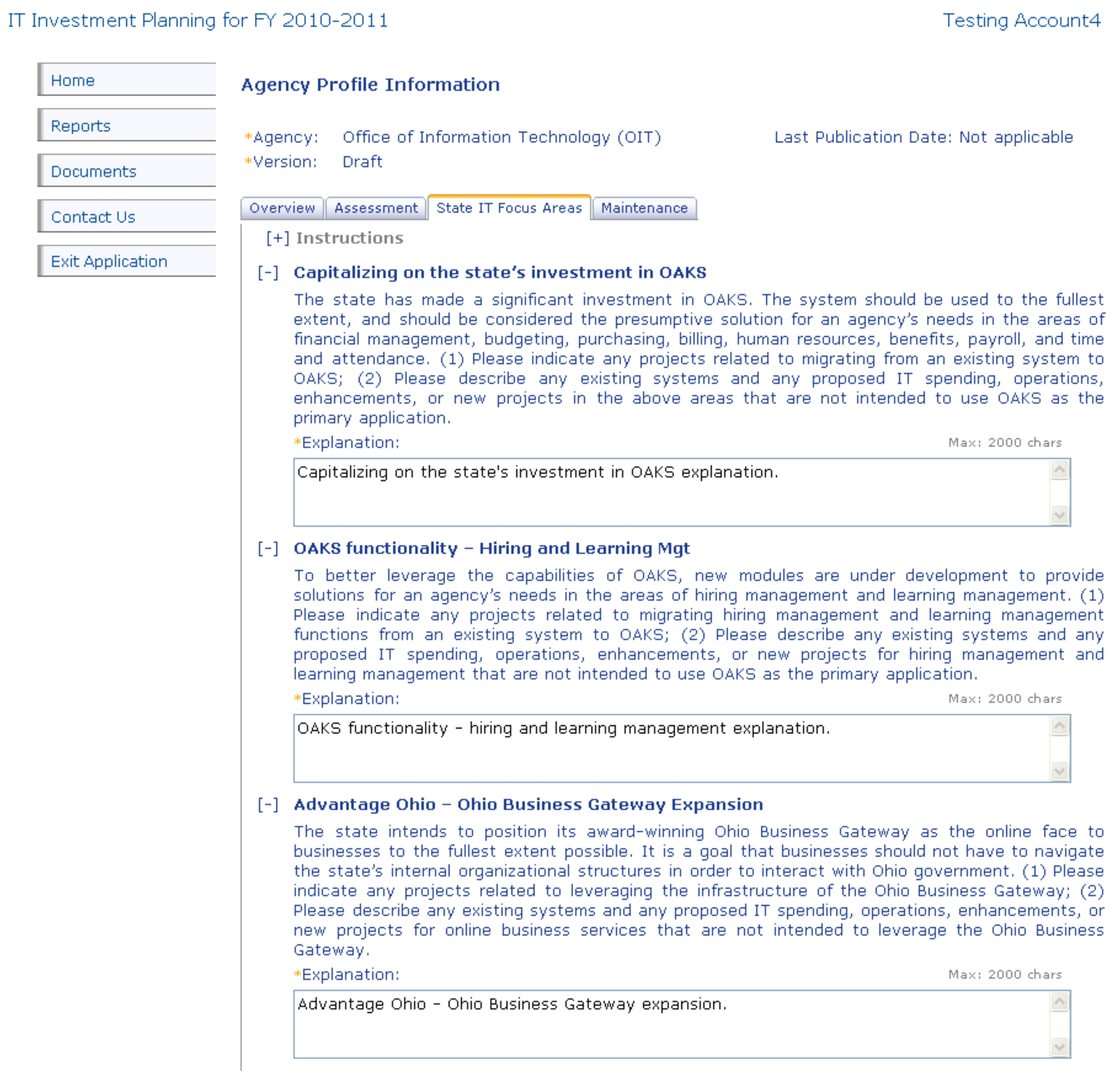


Figure 9a: Focus Area Screen – Part 1

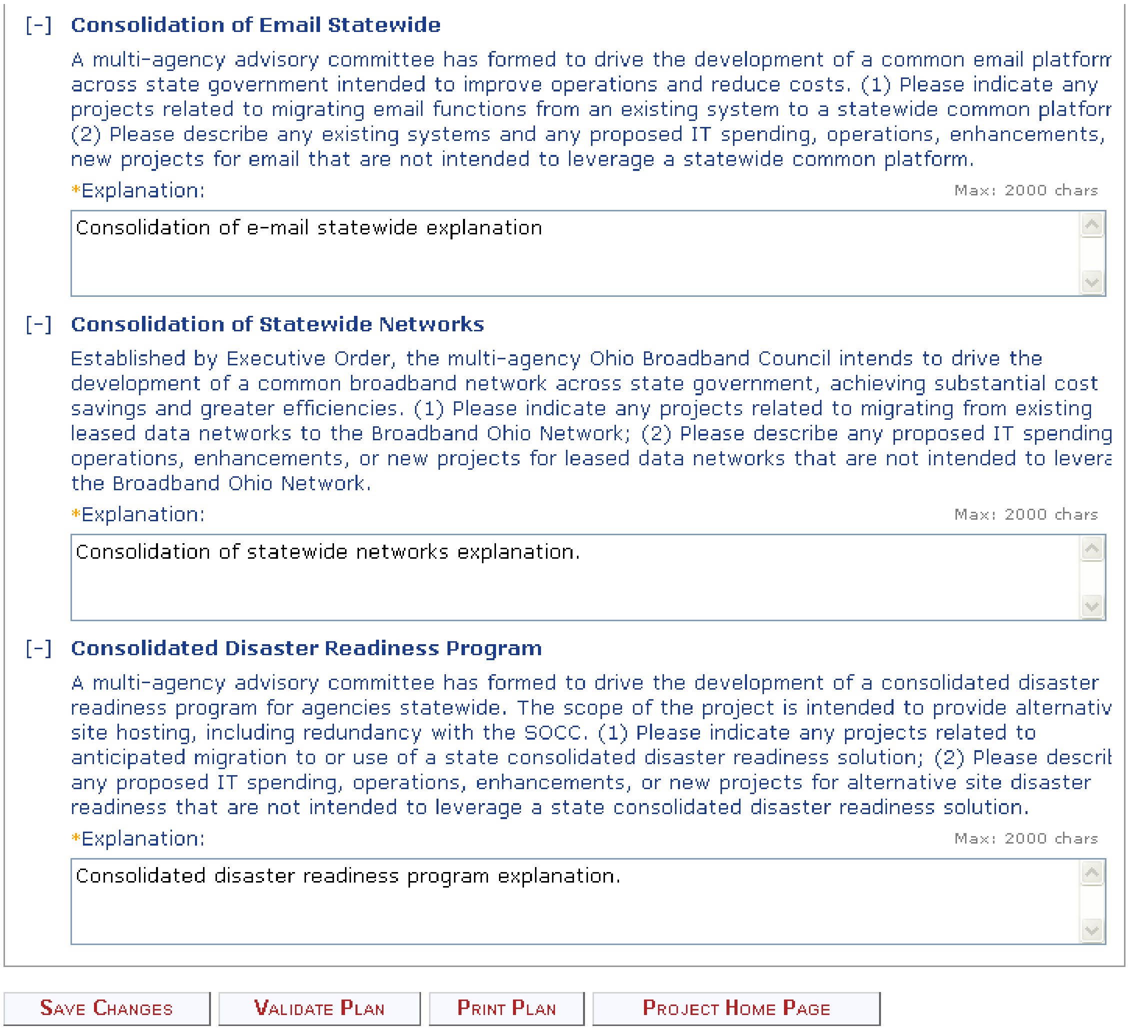


Figure 9b: Focus Area Screen – Part 2

There are multiple Focus Area statements, but they all operate under the same following guideline:

> **Implementation Explanation (required)**: The agency planner should enter textual planning information that indicates how the agency is implementing the Focus Area statement. If the agency does not anticipate any activity related to the statement, a negative comment is required.

4.4.5 Maintenance Tab

The *Maintenance* tab contains planning information associated with the IT activities associated with existing IT resources and capabilities. The *Maintenance* tab is displayed below.

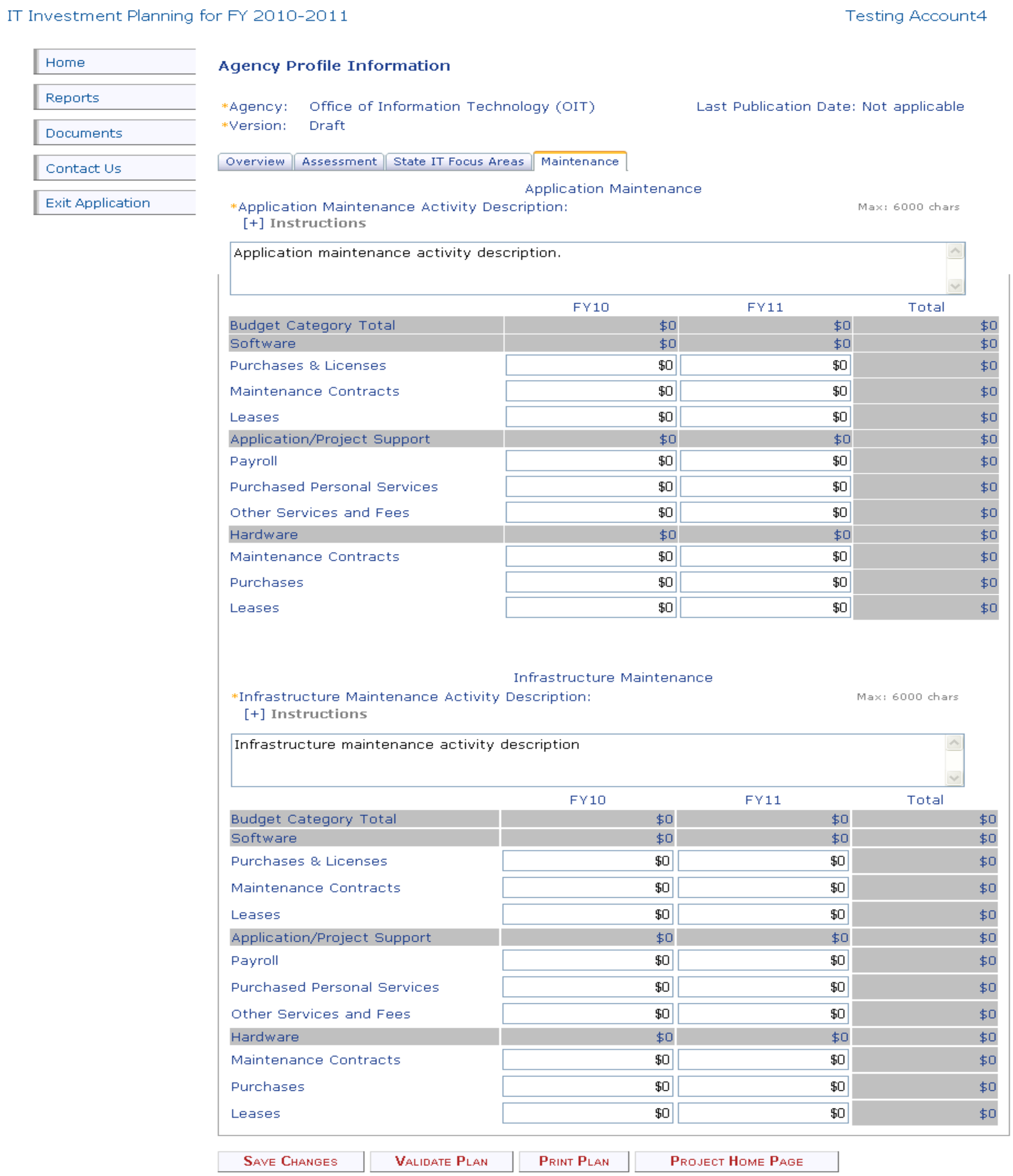


Figure 10: Maintenance Tab Screen

Application Maintenance Activity Description (required): The user will provide a brief description of the application maintenance activities for the indicated fiscal year. Application maintenance activities include routine activities undertaken to support current applications at existing or slightly improved service levels. Maintenance or updates to applications software or end-user programs based on commercial packages, e.g. databases, spreadsheets and word possessors, should be considered application maintenance activities.

Budget Category Table (optional): The budget category table consists of three budget groups and their budget categories, as listed below:

- ✓ Software ($)
    - ◊ Purchases & Licenses ($)
    - ◊ Maintenance Contracts ($)
    - ◊ Leases ($)
- ✓ Application/Project Support ($)
    - ◊ Payroll ($)
    - ◊ Purchased Personal Services ($)
    - ◊ Other Services and Fees ($)
- ✓ Hardware ($)
    - ◊ Maintenance Contracts ($)
    - ◊ Purchases ($)
    - ◊ Leases ($)

The ITIP application supports the entry of budget values for the budget categories. The application totals the budget categories into the budget group rows, and the three budget groups are summarized into a budget category total for the entire table. A summary column to the right of both FY10 and FY11 columns provides another total for the appropriate row for the entire planning period.

Note: the gray-shaded portions of the table are row and column totals. They are calculated and cannot be changed by the user.

Infrastructure Maintenance Activity Description (required): The user will provide a brief description of the infrastructure maintenance activities for the indicated fiscal year. Infrastructure maintenance activities include routine activities undertaken to support current applications at existing or slightly improved service levels. Maintenance or updates to applications software or end-user programs, e.g. databases, spreadsheets and word possessors, should be considered application maintenance activities.

Budget Category Table (optional): The budget category table for infrastructure maintenance operates the same way as the budget category table for application maintenance, as documented above.

4.5 Project-Level Plan Sections

Agency planners record the results of their planning activities in one of two places: the agency- or project-level plan sections. Project-level plan sections document IT investment planning information that applies to a specific IT project, and planning information in these plan sections will likely affect only one IT activity.

The figure below provides a high-level overview of the plan sections and elements associated with the project-level plan information. The plan section tabs appear on the left-side of the figure, while the plan elements (i.e., application data fields) are linked on the right-side of the figure.

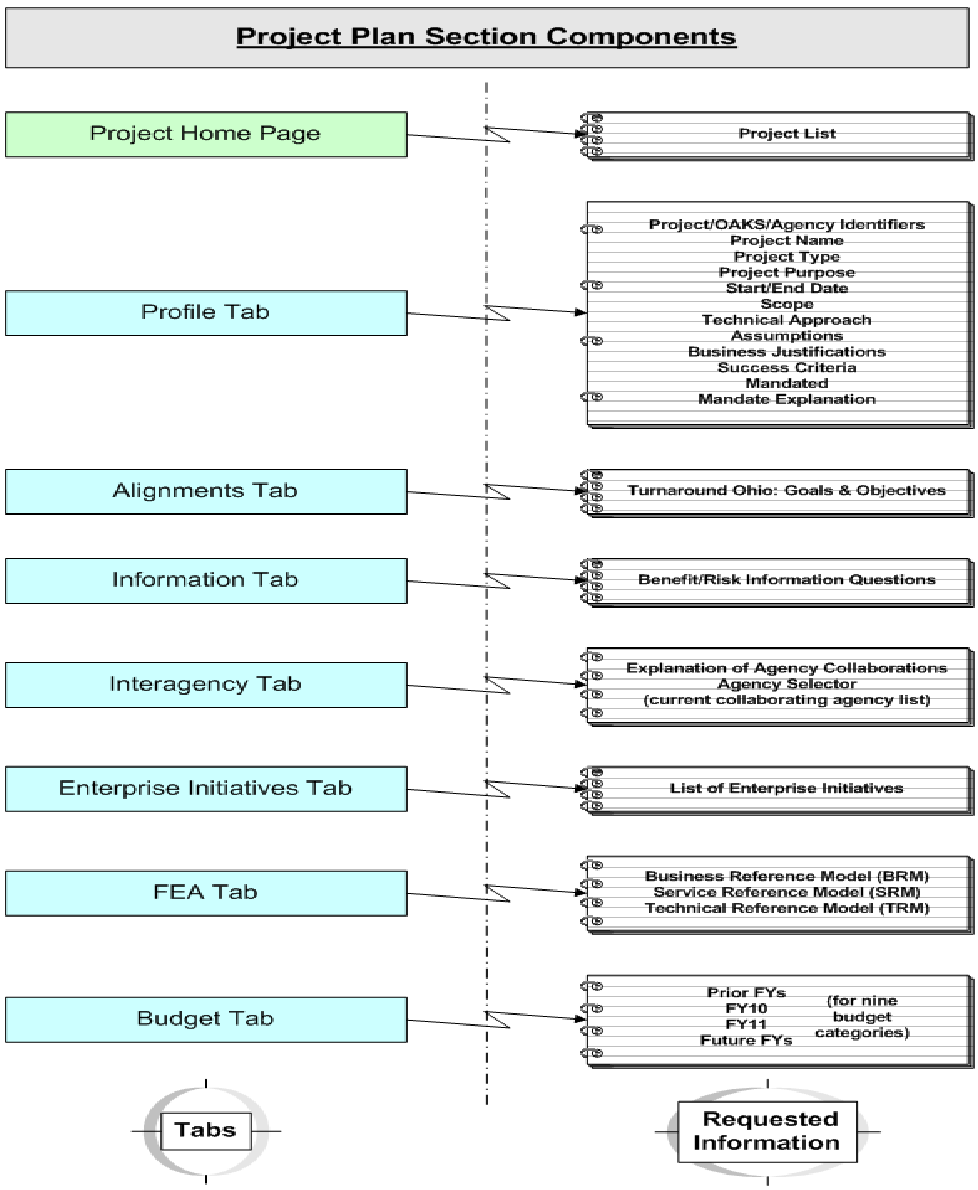


Figure 11: Project Plan Section Components

4.5.1 Project Home Page

The *Project Home Page* screen is the displayed when the planner clicks on a *Project Home Page* command button. The planner can select an existing project plan (from the project table list), create a new project plan (through the command button), or return to the agency-level plan (through the command button), as displayed in the figure below.

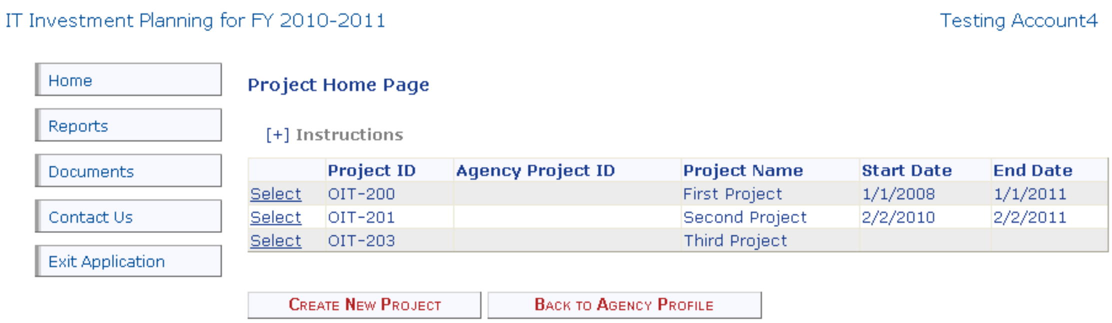


Figure 12: Project Home Page Screen

Project List Table (select one): by left-clicking on the "Select" column to the left of the project identifier column, the planner navigates to the project-level plan screen pre-populated with the project selected.

Create New Project: by left-clicking on the "Create New Project" command button the planner navigates to the project-level plan screen with the next project identifier pre-assigned. If the planner decides to cancel the transaction at this time, the assigned project identifier still exists. If the planner decides that this project identifier will not be used, OIT should be contacted to delete the project since the plan cannot be validated with an incomplete project.

Back to Agency Profile: by left-clicking on the "Back to Agency Profile" command button the planner returns to the agency-level information plan section at the Overview tab.

A special note should be made about IT projects carried-over from the FY08-09 plan. Arrangements were made with each agency to migrate relevant data from the FY08-09 plans into the ITIP application based on input from the agency. Subsequent to this notification, if the agency decides additional projects should be migrated, the agency should notify OIT of those projects, since agency planners will be unable to assign the same project identifier in ITIP.

4.5.2 Profile Tab

The *Profile* tab is the default screen displayed after the selection of a project. The *Profile* tab is displayed below.

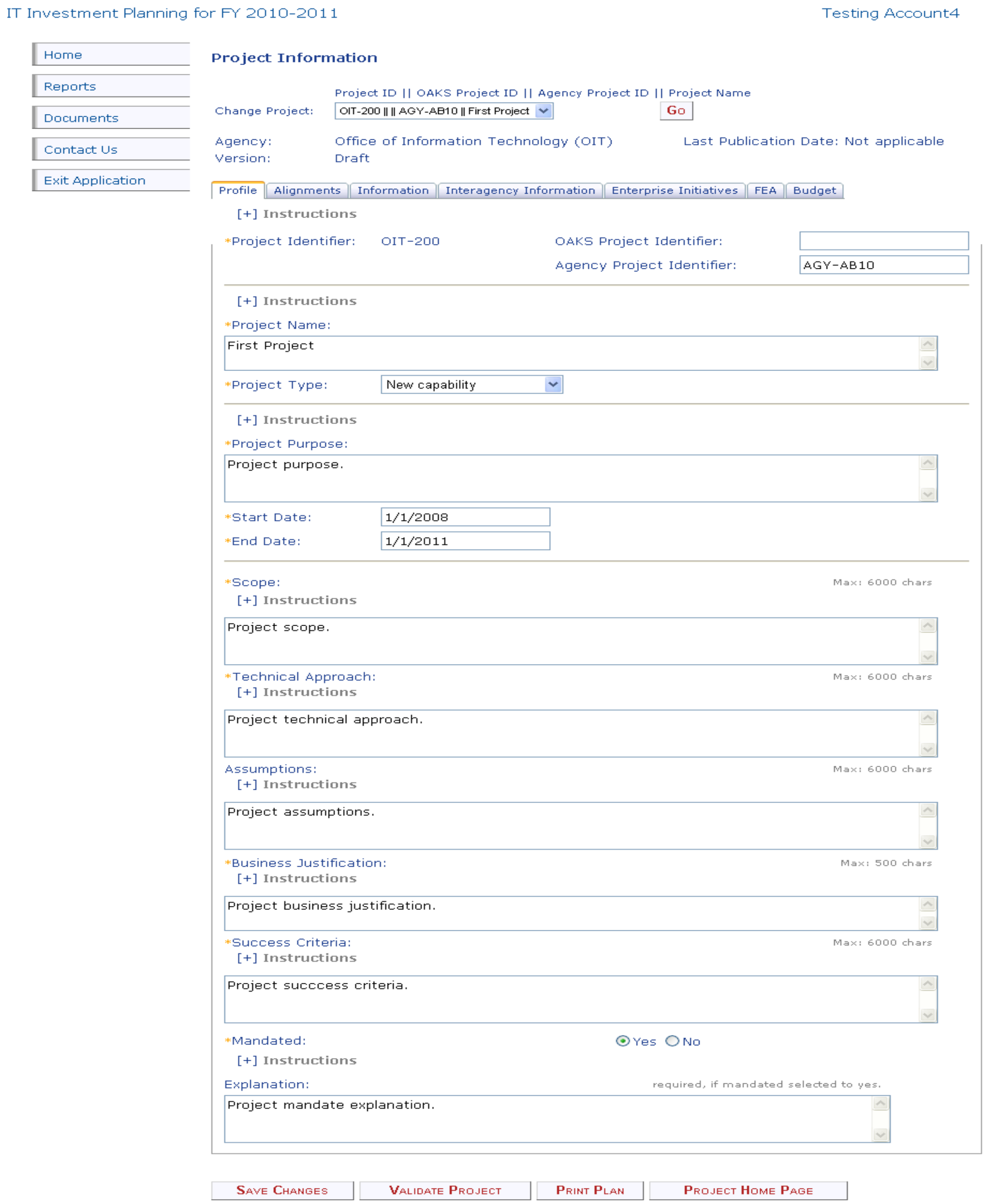


Figure 13: Profile Tab Screen

Project Identifier (required): The application provides the agency code prefix for this identifier field, and suggests the next unavailable number. The user may override this number, but the system will warn the user if the entry is a duplicate identifier and prevent saving the entry until a unique identifier is created.

OAKS Project Identifier (optional): A code that uniquely identifies the project budget in OAKS. This identifier will relate the project in the IT Investment Planning system to the corresponding budget in OAKS.

Agency Project Identifier (optional): Some agencies have an internally naming scheme for their projects. This field allows the agency to enter that name for their reference.

Project Name (required): The name by which the project is commonly referred to within the agency.

Project Type (required): The planner chooses from a list of values such as:
- ✓ New capability – the project will provide a new IT capability.
- ✓ Enhancement/expansion – the project will enhance or expand an existing IT capability.
- ✓ One-time requirement – the project exists to satisfy a one-time requirement (e.g., database platform migration)
- ✓ Other IT-related activity – the project exists to support another IT-related activity (e.g., business continuity testing)

Project Purpose (required): A brief description that explains the problem or opportunity that the project is intended to address and the consequence if the project is not in progress during the specified planning period. The purpose for the project should align with satisfying the agency business goals and objectives in their business plan. This is a large text field.

Start Date (required): The date when the project is expected to begin. In order to save a DRAFT plan, the Start Date must be a valid date.

End Date (required): The date when the project is expected to end. In order to save a DRAFT plan, the End Date must be a valid date and cannot be earlier than the Start Date.

Scope (required): A high-level description of the features and functions of the project deliverables, as well as the work to be done to accomplish the deliverables. It should explain the functional and technical boundaries the project encompasses, and any restrictions or constraints that may exist within the boundaries. This is a large text field.

Technical Approach (required): The agency's technical approach to the project, including how hardware, software, telecommunications, and security services will be employed. It should be clearly stated if no hardware, software or telecommunications services will be employed. This is a large text field.

Assumptions (optional): The agency documents project assumptions that could affect the cost, schedule or quality of the project. Project assumptions are internal and external factors such as technology, available human resources, stakeholder expectations and the political environment, which may impact the development and implementation of the project. The agency should document all project assumptions that could affect the cost, schedule or quality of the project during implementation and the expected benefits upon project completion. This is a large text field.

Business Justification (required): An explanation of how the project supports the agency's business objectives. This can be a reference to the agency's business plan, if one exists. This is a large text field.

Success Criteria (required): The agency summarizes the expected return on investment for the project and the metrics or measures they will use to determine whether the expected benefits are achieved, as well as the expected benefits upon completing the project. Project success criteria provide a narrative describing the measurable value the agency expects from completion of the project. This narrative should be presented as measurable outcomes that define project success. If the success criteria are not known, the agency should state this. This is a large text field.

Mandate (required): Response to the question: "Is the project mandated by state law, federal law, administrative rule, or other non-legislative requirement?"

Mandate Explanation (conditional): Response to the prompt: "If mandated, please cite the law, administrative rule, or other non-legislative requirement." This field is required if the agency responds Yes to "Mandated?"

4.5.3 Alignments Tab

The *Alignments* tab contains planning information associated with the alignment of the project with Turnaround Ohio's goals and objectives. The Governor has established a set of goals for the State, called Turnaround Ohio Goals. Within each goal are specific objectives. Each project may be associated with one or more Turnaround Ohio objectives. The *Alignments* tab is displayed below, with just one of the Turnaround Ohio goal statements expanded with its objectives.

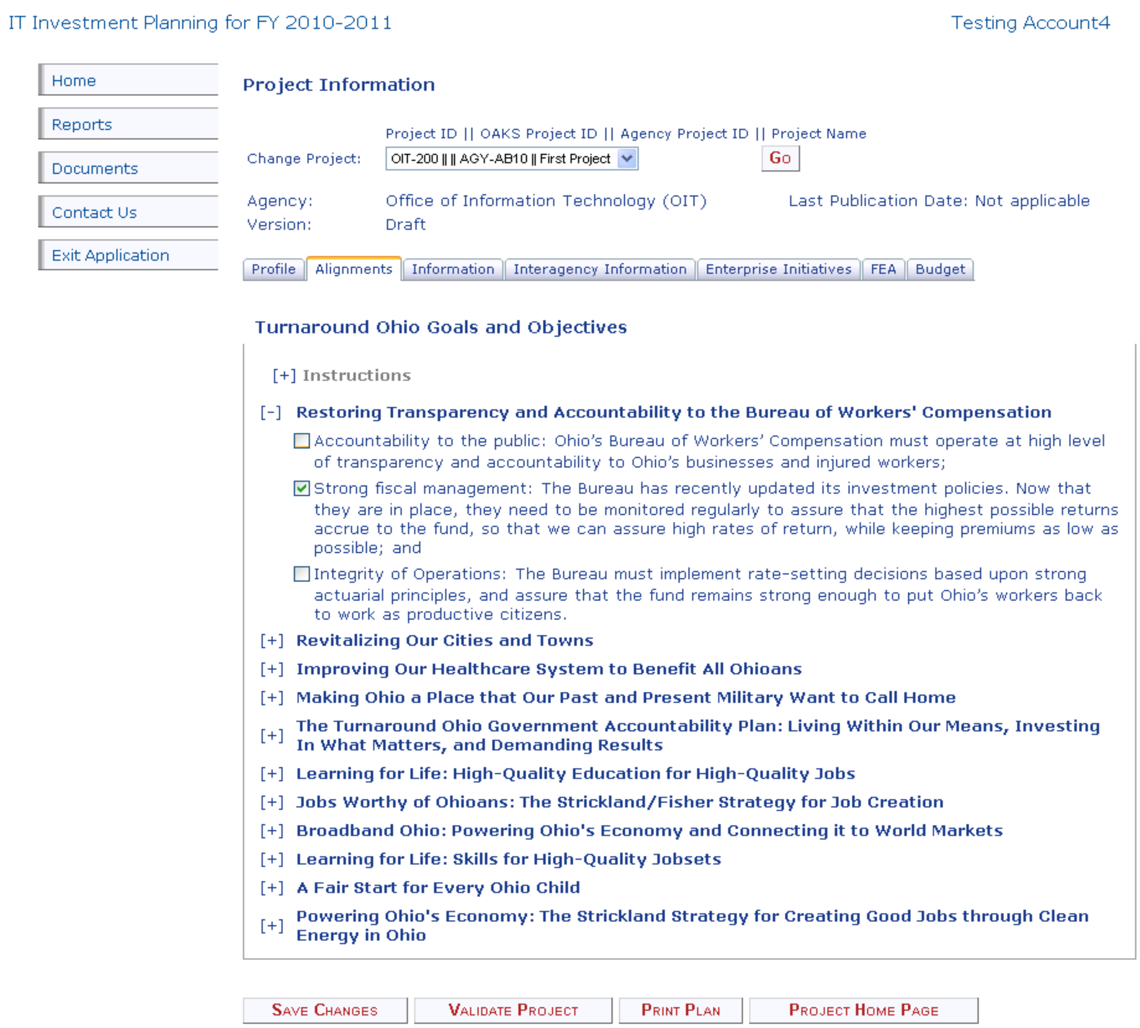


Figure 14: Alignments Tab Screen

Turnaround Ohio Goal(s) and Objective(s) (required): A checkbox is provided to the planner for each Turnaround Ohio objective. If all the objectives to a goal are aligned with the project, then all the objectives should be checked.

4.5.4 Information Tab

The *Information* tab contains benefits and risks assessment planning information associated with the IT project. This screen contains a list of questions. Each question provides a list of possible answers, of which only one can be selected. The *Information* tab is displayed below.

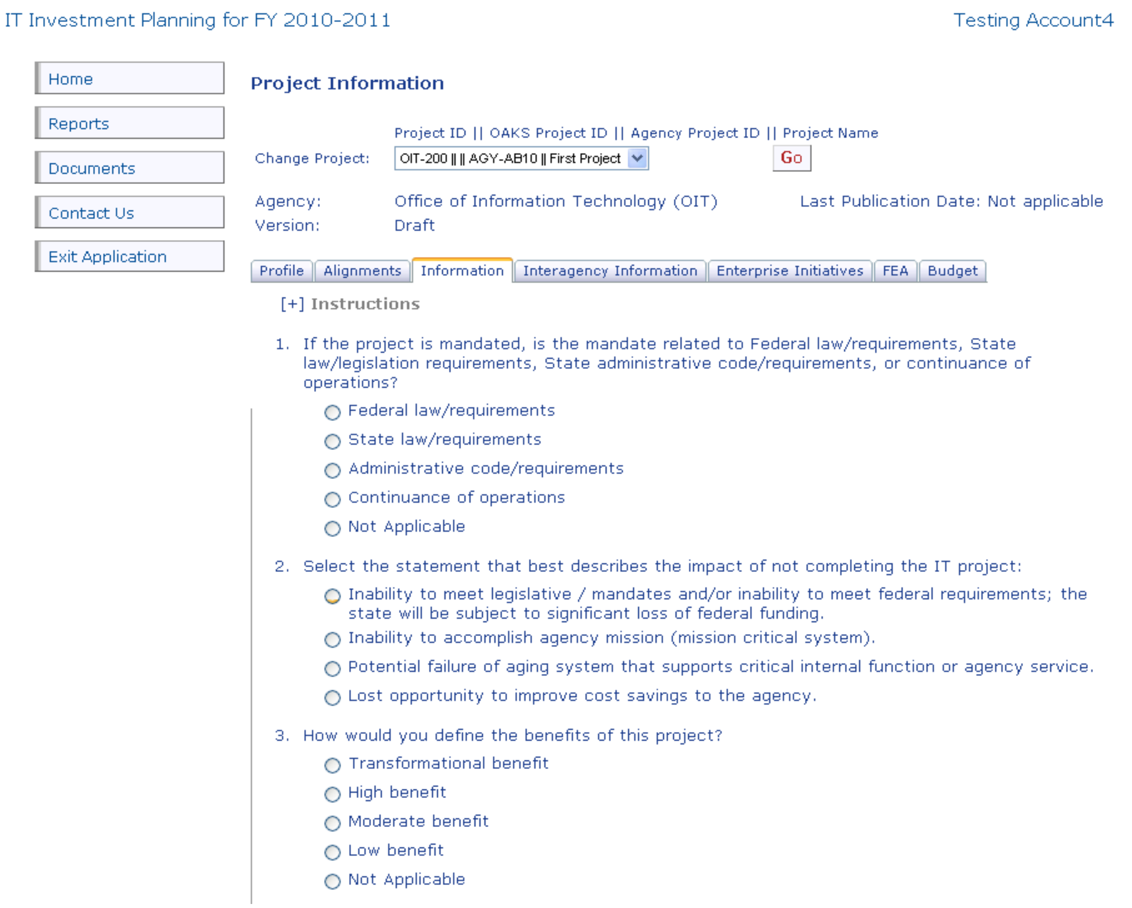


Figure 15: Information Tab Screen (partial)

Project Information Question(s) (conditional): A series of answers and radio buttons are provided for each project information question in this list. If the budget profile for the lifecycle of the project equals or exceeds $1M, then the planner is required to answer all the questions. If the budget profile for the lifecycle of the project is less than $1M, then responding to the question set is optional.

Additional information about the benefits and risks assessment can be found in the *Planning Resource – Benefits and Risk Assessment* document through the *Document* command button.

4.5.5 Interagency Tab

The *Interagency* tab identifies how other agencies may be participating in the project design or implementation. The *Interagency* tab is displayed below.

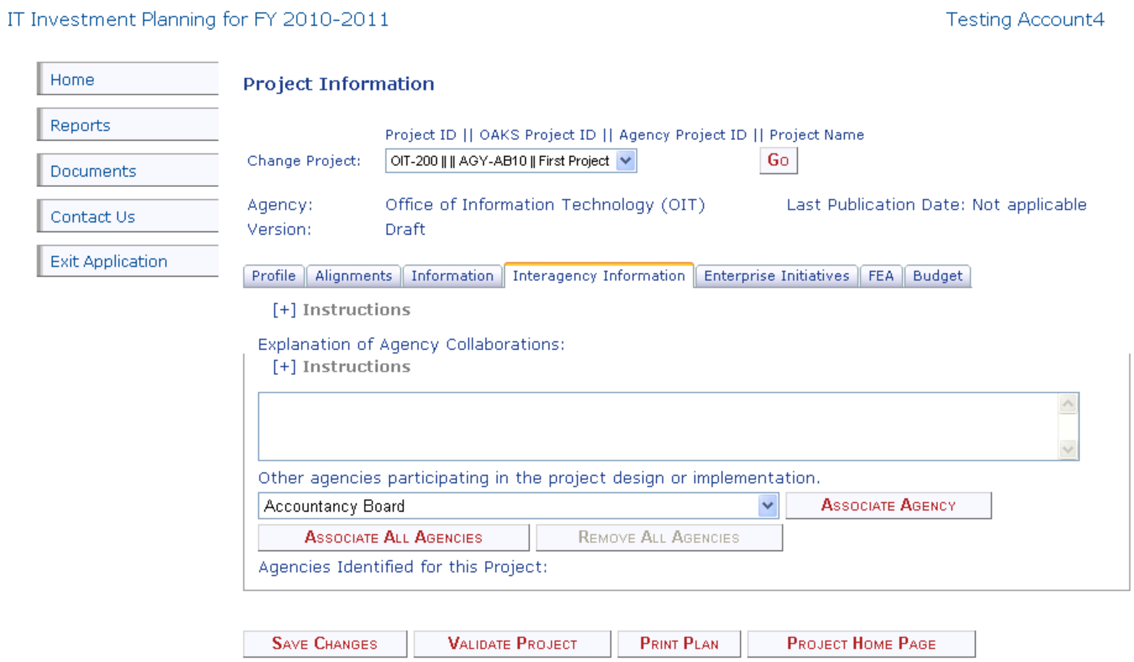


Figure 16: Interagency Information Tab Screen

Explanation of Agency Collaborations (optional): An explanation of the nature of the agency collaborations. This explanation may be entered once for each project, regardless of the how many agencies are collaborating on the project. This is a large text field.

Agency Selection Options (optional): There are four ways to change an agency collaboration association with a project. They are as follows:

- ✓ Associate/Add a single agency – A pull-down box contains a list of all state agencies. The planner selects an agency from the list, and clicks on the Associate Agency command button to the right of the field. This action establishes a collaboration link between the selected agency and the project, and repopulates the agency table list lower in the screen.
- ✓ Associate/Add all agencies – The Associate All Agencies command button establishes a collaboration link between all agencies and the project. The agency table list is repopulated with all agencies.
- ✓ Remove/Delete all agencies – The Remove All Agencies command button removes all collaboration links between agencies and the project. All the agencies listed in the agency table lower in the screen are removed from the screen.

- ✓ Remove/Delete selected agency – An agency list table exists to display all of the previously associated collaborating agencies with the project. The left-most column in this table provides for a removal action for the planner to individually remove a collaborating association between the identified agency and the project.

4.5.6 Enterprise Initiatives Tab

The *Enterprise Initiatives* tab contains planning information associated with the alignment of the project with enterprise IT initiatives as established by the State CIO and other State leaders. Each project may be associated with one or more enterprise initiatives, as displayed below:

Figure 17: Enterprise Initiatives Tab Screen

Enterprise Initiatives List (optional): From a list of previously defined enterprise IT initiatives, check all the initiatives this project supports.

4.5.7 FEA Tab

The *FEA* tab contains planning information associated with the alignment of the project with the various components of the Federal Enterprise Architecture (FEA) reference models. Each project may be associated with one or more enterprise initiatives. The *FEA* tab is displayed below, with the Business Reference Model expanded with its line-of-business components.

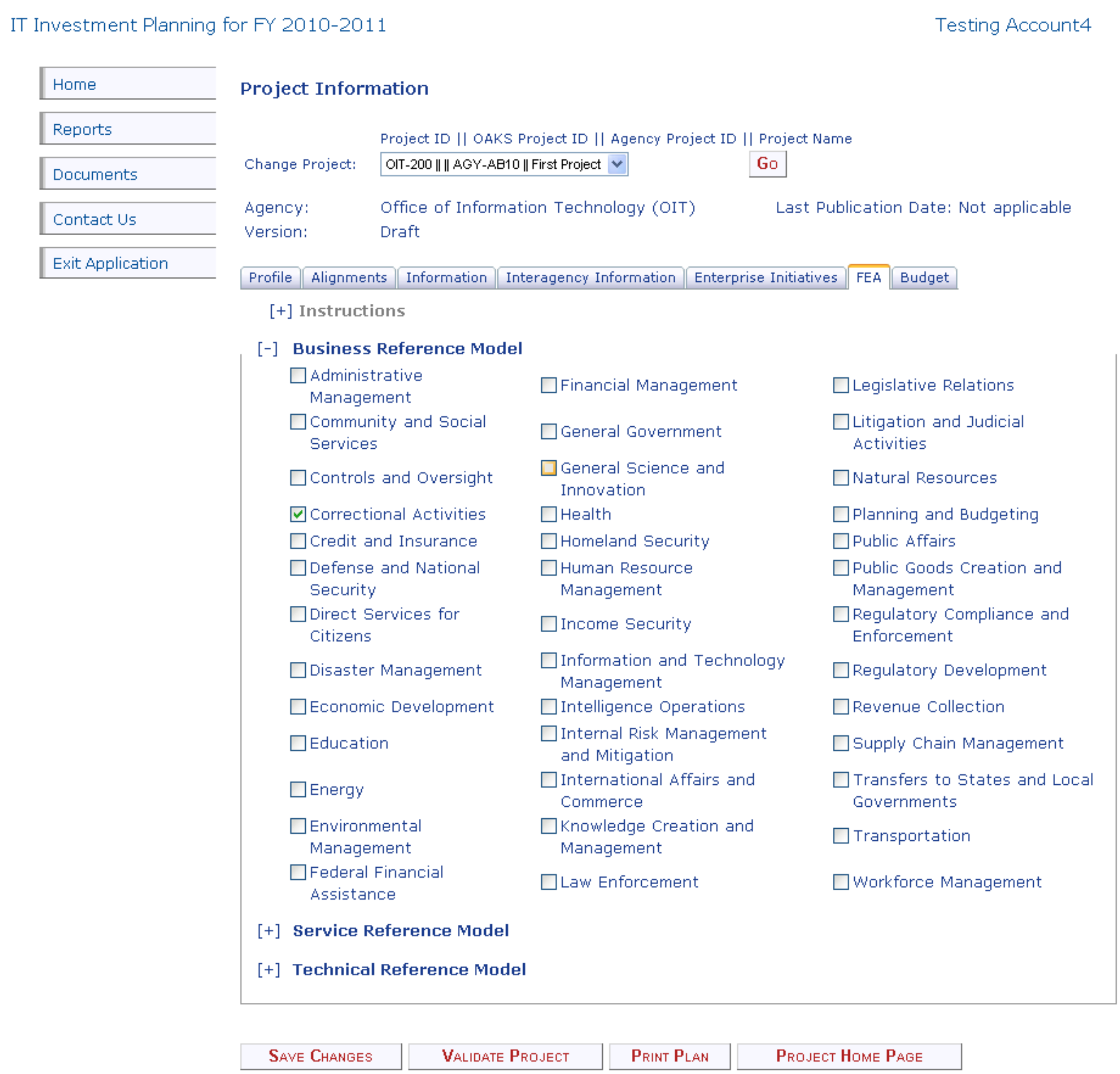


Figure 18: FEA Tab Screen

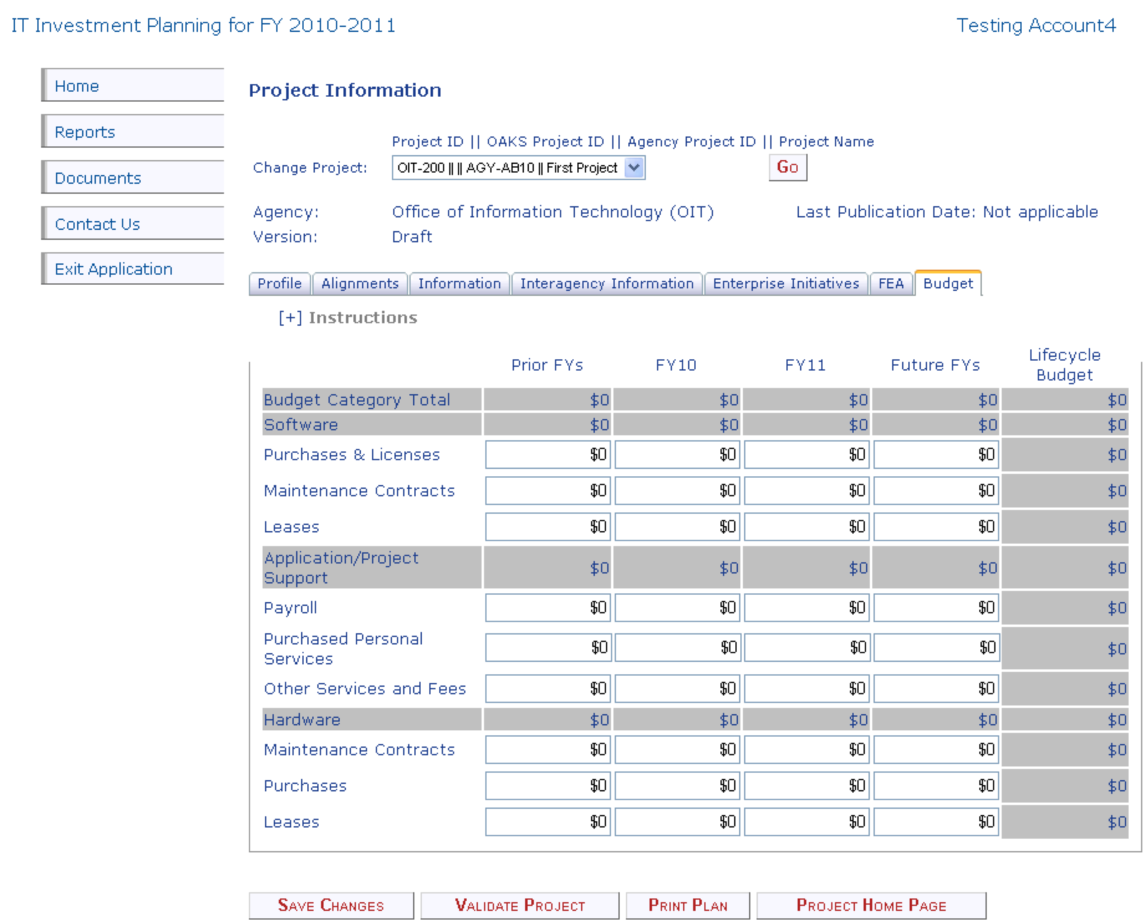
FEA Reference Model (conditional): From a breakdown of each of the three FEA reference models, identify as many associations as necessary with the project.

- ✓ Business Reference Model (BRM) (required) – An expanded BRM displays 39 lines-of-business. The planner is required to identify at least one line-of-business the completed project supports.
- ✓ Service Reference Model (SRM) (optional) – An expanded SRM displays 30 service categories. The planner may identify as many service categories as the completed project may provide.
- ✓ Technical Reference Model (TRM) (optional) – An expanded TRM displays 52 service standards. The planner may identify as many service standards as the completed project will implement.

Additional information about the FEA reference models can be found in the *Planning Resource – FEA-RM Overview* document through the *Document* command button.

4.5.8 Budget Tab

The *Budget* tab contains the budget profile information associated with the IT project. This budget screen contains the same budget categories that are in the Maintenance tab on the agency-level plan section. However, as displayed and described below the column sections are slightly different.



	Prior FYs	FY10	FY11	Future FYs	Lifecycle Budget
Budget Category Total	$0	$0	$0	$0	$0
Software	$0	$0	$0	$0	$0
Purchases & Licenses	$0	$0	$0	$0	$0
Maintenance Contracts	$0	$0	$0	$0	$0
Leases	$0	$0	$0	$0	$0
Application/Project Support	$0	$0	$0	$0	$0
Payroll	$0	$0	$0	$0	$0
Purchased Personal Services	$0	$0	$0	$0	$0
Other Services and Fees	$0	$0	$0	$0	$0
Hardware	$0	$0	$0	$0	$0
Maintenance Contracts	$0	$0	$0	$0	$0
Purchases	$0	$0	$0	$0	$0
Leases	$0	$0	$0	$0	$0

Figure 19: Budget Tab Screen

Budget Category Table (optional): each of these budget categories allows for a numeric entry to indicate the anticipated costs in each area. Each will allow any positive numeric value, with a calculated total cost at the bottom of the column. There are three calculations for the budget table . . . The table should be completed from two perspectives:

Budget Spending Categories – The categories listed below identify the three budget groups and their respective budget categories. As with the maintenance budget profiles, any entry in this table should be made to the lower level budget categories, with budget group totals accumulated for their respective areas.

- ✓ Software ($)
  - ◊ Purchases & Licenses ($)
  - ◊ Maintenance Contracts ($)
  - ◊ Leases ($)
- ✓ Application/Project Support ($)
  - ◊ Payroll ($)
  - ◊ Purchased Personal Services ($)
  - ◊ Other Services and Fees ($)
- ✓ Hardware ($)
  - ◊ Maintenance Contracts ($)
  - ◊ Purchases ($)
  - ◊ Leases ($)

Budget Funding Periods – The Budget Funding Periods identify three distinct time periods for the budget profile of a project. These periods are listed below:

- ✓ <u>Prior FYs</u> – The estimated costs of the project prior to the FY10/11 time period. These costs should include …
- ✓ <u>Current FYs (FY10 and FY11)</u> – The estimated costs of the project for the FY10 and FY11 time period. Together, they represent the budget estimate for the project for this biennium.
- ✓ <u>Future FYs</u> – The estimated costs of the project after the FY10/11 biennium period. This estimate includes the estimated cost to complete the project and should not include any costs to operate any resulting operational capabilities.

The ITIP application supports the entry of budget values for the budget categories. The application totals the budget categories into the budget group rows, and the three budget groups are summarized into a budget category total for the entire table. A summary column to the right of both FY10 and FY11 columns provides another total for the appropriate row for the entire planning period.

Note: the gray-shaded portions of the table are row and column totals. They are calculated and cannot be changed by the user.

Appendix A: ITIP Fields – Maximum Character Size

Agency-Level Information:

Overview Tab:

Plan Contact – 200 characters
Executive Summary – 12,000 characters
Progress Made Since Last Planning Period – 6,000

Assessment Tab:

Agency Strengths – 8,000 characters
Agency Weaknesses – 8,000 characters
Agency PM Maturity Plan – 200 characters

State IT Focus Areas t Tab:

Each Focus Area – 2,000 characters

Maintenance Tab:

Application/Infrastructure Maintenance Activity Description – 6,000 characters
All Budget Categories – 10 characters (i.e., less than $10 billion dollars)

Project-Level Information:

Profile Tab:

OAKS Project Identifier – 10 characters
Agency Project Identifier – 20 characters
Project Name – 75 characters
Project Purpose – 6,000 characters
Scope – 6,000 characters
Technical Approach – 6,000 characters
Assumptions – 6,000 characters
Business Justification – 500 characters
Success Criteria – 6,000 characters
Mandated Explanation – 200 characters

Alignments Tab:

N/A

Information Tab:

N/A

Interagency Information Tab:

Explanation of Agency Collaboration – 1,000 characters

Enterprise Initiatives Tab:

N/A

FEA Tab:
N/A

Maintenance:
All Budget Categories – 10 characters (i.e., less than $10 billion dollars)