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## State of Ohio Administrative Policy

### Information Technology Strategic Investment Planning

No:  
Information Technology  
**IT-02**

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Effective:

January 15, 2020

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Issued By:

Matthew M. Damschroder, Director

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#### 1.0 Purpose

This policy addresses state requirements for information technology (IT) strategic investment planning, which ensures alignment with the administration's priorities, as well as IT-related budgeting and purchasing requirements.

A glossary of terms found in this policy is located in Appendix A - Definitions. The first occurrence of a defined term is in ***bold italics***.

#### 2.0 Policy

State agencies, boards and commissions shall deliberately plan IT program funding requests. Such ***IT strategic investment plans*** shall form the basis for their budget requests for IT-related efforts. The Office of IT Strategy and Investment Management ("Office"), within the DAS Office of Information Technology (OIT), shall administer a state IT strategic investment planning program, in which State of Ohio agencies, boards and commissions (agencies) shall participate.

2.1 **IT Strategic Investment Plan Submission**: Agencies shall prepare and submit an IT strategic investment plan on an annual basis in conjunction with the development of budget requests. IT strategic investment plans shall be submitted in the form and manner prescribed by the Office. Each agency's plan shall become a part of the Enterprise Planning Portfolio (EPP), which is maintained by the Office, and will be used to identify opportunities for shared services, agency collaboration, technology standardization, and volume purchases.

2.1.1 Agency IT strategic investment plans shall contain those strategic initiatives, ideas and/or projects that align with the EPP Decision Framework guidance provided by the Office (refer to Appendix B – Resources for the location of the decision framework).

- 2.1.2 As a minimum, agencies shall review and, if needed, refresh IT strategic investment plans quarterly.
- 2.1.2.1 If necessary, the Office shall provide guidance to agencies on how to update their plans.
- 2.1.3 On a quarterly basis, agencies shall prioritize newly added IT strategic investments using the standard weighted EPP criteria (refer to Appendix B – Resources for the location of the EPP Prioritization Criteria).
- 2.1.4 Agencies shall also revise the IT strategic investment plan submitted to the Office soon after any changes to IT program funding or scope, such as but not limited to:
- Changes in allocation or allotment;
  - Changes in an agency's IT project portfolio, or,
  - Changes in the agency's application and IT infrastructure portfolio.
- 2.1.5 If the submitting agency has a project within its' IT strategic investment plan that qualifies as a "major project" as defined in Ohio Administrative Policy IT-16, "Major Project Governance," then the agency shall also follow the requirements outlined in IT-16.
- 2.2 **Alignment with Administration Priorities:** In consultation with the governor, director of budget and management, and director of DAS, the state chief information officer (CIO) shall identify priorities for the state and may require agencies to incorporate such priorities into their IT strategy and investment plans.
- 2.2.1 The Office shall communicate the administration's priorities to the agencies (refer to Appendix B – for the location of IT Strategy and Investment Management resources).
- 2.2.2 Agencies shall use this information during portfolio prioritization.
- 2.3 **Alignment with the Operating Budget and Capital Budget:** In consultation with the director of budget and management, the state CIO may review and approve agency IT strategic investment plans as part of an agency's overall operating and capital budget requests. IT strategic investment plans, as submitted to the Office, shall serve as the budget narratives for agency IT program funding requests for both operating and capital budgets.

2.4 **Alignment with Purchasing:** Agencies shall ensure that requests for IT purchases are made in accordance with their IT strategic investment plans.

2.4.1 The Office shall review IT purchase requests to help validate alignment with IT strategic investment plans.

2.5 **State IT Strategic Investment Process:** DAS OIT shall be responsible for administering Ohio's IT strategic investment process including investment planning, services planning (e.g., identification of shared service opportunities or shared service enhancements), multi-agency collaboration planning, and supporting agencies in terms of IT strategic investment needs. The Office shall support and maintain an IT strategic investment framework and process, instruct agencies as to the requirements of the framework and process, and provide timely notification to agencies of any relevant changes.

2.6 **Procedures:** Agencies shall designate an IT strategic investment planning coordinator and forward their contact information to the Office.

2.6.1 The IT strategic investment planning coordinator is responsible for overseeing completion of the agency's IT strategic investment plan and ongoing updates. The IT strategic investment planning coordinator is also responsible for coordinating with the Office to obtain access to automated tools for appropriate agency personnel.

### 3.0 Authority

ORC 125.02, 125.04, 125.041, 125.18

The director of budget and management may prescribe participation in the IT strategic investment planning process from agencies which are typically exempted from the policy authority of the state CIO as part of the process for establishing capital and operating budgets. In such cases, the director of budget and management shall establish such participation through memorandum.

### 4.0 Revision History

Date	Description of Change
07/03/1994	This original policy replaces all previously released memoranda regarding Long Range Information Technology Plans.
06/23/2000	This policy replaces the revised policy dated June 29, 1998.
03/14/2002	Revised planning procedures for fiscal years 2004-2005. Added budget estimates and projection of accuracy requirements in IT plans.

<b>Date</b>	<b>Description of Change</b>
04/06/2004	Revised planning procedures for fiscal years 2006-2007 and reorganized content. Updated policy to reflect the authority given to the State CIO and OIT specified in Executive Order 2004-02T.
04/25/2006	Revised planning procedures and reorganized content.
07/15/2010	Revised planning procedures and reorganized content to reflect updates for fiscal years 2012-2013.
10/13/2016	Revised planning requirements to reflect process updates. In addition, transferred policy content to a new State of Ohio Administrative Policy Template. Re-numbered policy to IT-02 to be consistent with new numbering format.
01/15/2020	Updated the policy to reflect the current process, terminology and policy references.
01/15/2022	Scheduled policy review.

## 5.0 Inquiries

Direct inquiries concerning the IT strategic investment planning requirements covered in this policy to:

IT Strategy and Investment Management Administrator  
IT Strategy and Investment Management  
Office of Information Technology  
Ohio Department of Administrative Services  
30 East Broad Street, 39th Floor  
Columbus, Ohio 43215

1-614-466-6930 | [DAS.State.ITPlanning.Manager@das.ohio.gov](mailto:DAS.State.ITPlanning.Manager@das.ohio.gov)

IT Strategy and Investment Management information and resources can be found online at: <https://das.ohio.gov/Divisions/Information-Technology/IT-Investment-Planning-Services>

Direct inquiries about this policy to:

State IT Policy Manager  
Enterprise IT Architecture & Policy  
Office of Information Technology  
Ohio Department of Administrative Services  
30 East Broad Street, 39th Floor  
Columbus, Ohio 43215

1-614-466-6930 | [DAS.State.ITPolicy.Manager@das.ohio.gov](mailto:DAS.State.ITPolicy.Manager@das.ohio.gov)

State of Ohio Administrative Policies may be found online at  
[www.das.ohio.gov/forStateAgencies/Policies.aspx](http://www.das.ohio.gov/forStateAgencies/Policies.aspx)

## Appendix A - Definitions

- a. IT Strategic Investment Plan. The IT strategic investment plan facilitates an agency's identification and justification of planned IT initiatives that will support the business needs of the agency. An agency's IT strategic investment plan will also serve as the budget narrative for an agency's IT program funding request.

## Appendix B - Resources

Document Name
The <i>IT Strategy and Investment Management Information Center</i> provides additional guidance and resources on the IT strategic investment planning process: <a href="https://das.ohio.gov/Divisions/Information-Technology/IT-Investment-Planning-Services">https://das.ohio.gov/Divisions/Information-Technology/IT-Investment-Planning-Services</a>
<i>Enterprise Planning Portfolio Prioritization Criteria</i> <a href="https://das.ohio.gov/Portals/0/DASDivisions/InformationTechnology/IG/pdf/EPP%20Prioritization%20Criteria%2020190702.pdf?ver=2019-07-03-120127-810">https://das.ohio.gov/Portals/0/DASDivisions/InformationTechnology/IG/pdf/EPP%20Prioritization%20Criteria%2020190702.pdf?ver=2019-07-03-120127-810</a>