



## NC DEPARTMENT OF **HEALTH AND HUMAN SERVICES**

# Information Technology Governance Body Planning Procedures

## I. Purpose

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[Chapter 143B/GS 143B-1330 of the N.C. General Statutes](#) established a systematic process for planning and financing the state's information technology (IT) resources. The Department of Health and Human Services (DHHS) has established a Technology Plan pursuant to these statutory requirements.

To comply with the spirit and intent of N.C.G.S § Chapter 143B Article 15, the DHHS Secretary has established the DHHS Information Technology Governance Body (ITGB). The ITGB has established a two-step IT initiative application and review process for the purpose of prioritizing and deciding which IT investments to pursue based on business drivers, funding opportunities, and compliance with state/federal regulations/law. This document describes the process for application and approval of DHHS IT initiatives by the ITGB.

All DHHS IT initiatives (including grant opportunities) that include the development and/or acquisition of new technology solutions (i.e., applications, information systems, software, hardware, IT services, IT contracts, IT staff, etc.) require approval of the ITGB. The presentation for approval must include estimated total cost of ownership (TCO), which is the estimated non-recurring project cost and recurring cost for operations and maintenance support for five (5) years (i.e., sixty (60) months after implementation). The ITGB must also approve significant resource, scope, and/or schedule changes to current projects, regardless of funding source.

## II. IT Initiative Approval Process

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The application process for proposed IT initiatives has been established to provide the ITGB with core information necessary to prioritize IT investments. The documents used to request approval of a proposed IT initiative are available upon request. DHHS divisions/offices are to submit IT initiative applications electronically to [DHHS.IT.Proposals@dhhs.nc.gov](mailto:DHHS.IT.Proposals@dhhs.nc.gov). *Proposals for IT initiatives with state and/or federal deadlines are to be submitted well in advance to accommodate all timelines for required approvals, procurement, development, and implementation.*

ITGB meeting dates are scheduled monthly, but meetings may be held as needed based on factors including the urgency of applications pending review. The ITGB meeting minutes will record all action items, discussion points, and approval outcomes for

proposed IT initiatives. The DHHS PMO and/or the Executive Assistant for DHHS IT will follow-up with the requesting division(s)/office(s) and other parties as appropriate to ensure all assigned action items are completed and appropriate next steps are being taken.

### **Regular ITGB approval Process:**

The normal ITGB application and review process is comprised of two steps: Step 1: Presentation of business concept to address business need/problem; and Step 2: Presentation of business case with detailed cost/benefit analysis.

#### *Step 1: Presentation of Business Concept to Address Business Need/Problem*

- The requesting division(s)/office(s) documents the business need/problem requiring automation by completing the *Request to Pursue IT Initiative for Consideration by the Information Technology Governance Body Step 1 Submission: Business Concept* document. The DHHS Project Management Office (PMO) is available for consultation for drafting business concept proposals.
- The primary requesting division/office submits the business concept documentation to [DHHS.IT.Proposals@dhhs.nc.gov](mailto:DHHS.IT.Proposals@dhhs.nc.gov) (in the future, the DHHS ITD may provide an automated tool for submission). Proposals must be received at least three (3) weeks in advance of a scheduled ITGB meeting. Submissions must include the Microsoft Word version of the document and a scanned version containing the required signatures. Signature by the division/office director(s) and budget officer(s) are required.
- The DHHS PMO and Division of Budget and Analysis (DB&A) coordinate staff reviews of submitted proposals ([click here for more information about this review](#)).
- When the staff review has been completed, the final business concept and supporting information will be forwarded to the members of the ITGB at least five (5) business days in advance of the next ITGB meeting. The requesting division(s)/office(s) will be notified that the business concept has been placed on the agenda for the upcoming ITGB meeting.
- Representatives from the requesting division(s)/office(s) present the proposal to the ITGB and respond to business, financial, and technical questions raised during the discussion. At the end of the discussion, the ITGB will vote on whether to approve the business concept.
- If the ITGB votes to approve the business concept, the proposed IT initiative proceeds to Step 2 for ITGB approval. When approving the business concept, the ITGB may also provide guidance on IT implementation strategies/options that require analysis when the business case is documented, as well as any required action items.
- The ITGB will provide guidance on how to proceed for any business concept that is not approved.

*Step 2: Presentation of business case with detailed cost/benefit analysis*

- The requesting division(s)/office(s) documents the business case by completing the *Request to Pursue IT Initiative for Consideration by the Information Technology Governance Body Step 2 Submission: Business Case* document, which contains the *ITGB Application Step 2 – Cost-Benefit Analysis* document. The business case builds upon the information provided in the Step 1 application. The DHHS PMO is available for consultation for drafting business case proposals.
- The business case must include a separate cost/benefit analysis for each IT implementation strategy/option considered. Include a list of all anticipated exception requests for each strategy/option (e.g., procurement exception, non-State hosting exception, etc.).

When developing cost estimates, the following costs must be included as appropriate:

- Disaster recovery hosting, unless the requesting division(s)/office(s) attests that disaster recovery is not required or possible for the proposed solution;
- Independent verification and validation if required for federal funding participation; and
- Cost of third-party security assessments for the solution.
- The primary requesting division/office submits the business case documentation to [DHHS.IT.Proposals@dhhs.nc.gov](mailto:DHHS.IT.Proposals@dhhs.nc.gov) (in the future, the ITD may provide an automated tool for submission). Proposals must be received at least three (3) weeks in advance of a scheduled ITGB meeting. Submissions must include the Microsoft Word version of the document and a scanned version containing the required signatures. Signature by the division/office director(s), budget officer(s), and IT director/manager(s) are required.
  - DHHS PMO and DB&A coordinate staff reviews of submitted proposals ([click here for more information about this review](#)).
- When the staff review has been completed, the final business case and supporting information will be forwarded to the members of the ITGB at least five (5) business days in advance of the next ITGB meeting. The requesting division(s)/office(s) will be notified that the business case has been placed on the agenda for the upcoming ITGB meeting.
- Representatives from the requesting division(s)/office(s) present the proposal to the ITGB and respond to business, financial, and technical questions raised during the discussion. At the end of the discussion, the ITGB will vote on whether to approve the business case, and identify any caveats or next steps required.
- The ITGB may provide guidance on how to proceed on any business case that is not approved.

**Expedited (Fast Track) ITGB approval Process:***Presentation of Business Concept for expedited review of Business Need/Problem*

- The requesting division(s)/office(s) documents the business need/problem requiring automation by completing the *Request to Pursue IT Initiative for Consideration by the Information Technology Governance Body Emergency/Fast-Track Approval* document. The DHHS Project Management Office (PMO) is available for consultation for drafting the proposals.
- The primary requesting division/office submits the *Emergency/Fast-Track Approval* documentation to [DHHS.IT.Proposals@dhhs.nc.gov](mailto:DHHS.IT.Proposals@dhhs.nc.gov). Proposals must be received at least three (3) weeks in advance of a scheduled ITGB meeting. Submissions must include the Microsoft Word version of the document and a scanned version containing the required signatures. Signature by the division/office director(s) and budget officer(s) are required.
- The DHHS PMO and Division of Budget and Analysis (DB&A) coordinate staff reviews of submitted proposals ([click here for more information about this review](#)).
- When the staff review has been completed, the final business concept and supporting information will be forwarded to the members of the ITGB at least five (5) business days in advance of the next ITGB meeting. The requesting division(s)/office(s) will be notified that the business concept has been placed on the agenda for the upcoming ITGB meeting.
- Representatives from the requesting division(s)/office(s) present the proposal to the ITGB and respond to business, financial, and technical questions raised during the discussion. At the end of the discussion, the ITGB will vote on whether to approve the business concept.
- If the ITGB votes to approve the *Emergency/Fast-Track Approval* document the proposed IT initiative can proceed to start. When approving the *Emergency/Fast-Track Approval* document, the ITGB may also provide guidance on IT implementation strategies/options as well as any required action items.
- The ITGB may provide guidance on how to proceed for any business case that is not approved.

If the IT initiative is approved by the ITGB, the division(s)/office(s) is responsible for obtaining all other necessary approvals as required by law or administrative process (e.g., Advanced Planning Document, grant award, etc.). Obtaining these approvals includes, but is not limited to, working with the following as indicated:

- DHHS PMO – Coordinates entries in the State's current project portfolio management tool, and responses to requests for additional information needed for approval that are received from the Enterprise Project Management Office (EPMO) in the Department of Information Technology (DIT), DIT, the State Chief Information Officer (SCIO), and the Office of the State Controller (OSC).
- DB&A – Coordinates with the Office of State Budget and Management (OSBM) regarding funding.

### **III. Staff Review of IT Proposal Documentation Prior to ITGB Review**

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As noted above, business concepts and business cases received for proposed IT initiatives undergo a preliminary IT and budget staff review before being forwarded to the ITGB for review and approval.

The preliminary review of IT proposal documentation has two principal components: IT and Budget.

#### *IT Component – DHHS Project Management Office*

DHHS PMO staff works with appropriate DHHS ITD resources to examine the proposed IT initiative regarding:

- relevance to the DHHS Information Technology Plan;
- opportunities for consolidation, enterprise solutions, and ability to serve needs of other divisions/offices;
- technical adequacy and compliance with current best IT practices;
- compliance with the appropriate Standards for Electronic and Information Technology set forth in Section 508 of the Rehabilitation Act of 1973 as amended in 1998;
- issues involving the state-level project review and approval;
- cost/benefit analysis in conjunction with the DHHS DB&A; and
- optimization of current IT investments.

#### *Budget Component – Division of Budget and Analysis*

DB&A examines the:

- funding availability for the project and operations and maintenance;
- budget priority;
- cost/benefit analysis in conjunction with DHHS PMO;
- planning and execution within the biennial budget cycle; and
- conformity with results-based budget priorities, performance metrics, and the critical needs process.

\*\*\*End of Document\*\*\*