ILLINOIS STATE POLICE DIRECTIVE
SRV-228, PROJECT MANAGEMENT FRAMEWORK/GOVERNANCE

RESCINDS:	REVISED:
New Directive	04-15-2024 **2024-022**
RELATED DOCUMENTS:	**RELATED CALEA STANDARDS (6th Edition):**
ADM-134, SRV-201, SRV-200, SRV-227	11.4.4, 11.4.5

I.   POLICY

    I.A.   The Illinois State Police (ISP):

        I.A.1.   Will require its information technology (IT) service providers to follow the IT Project Framework/Governance process as outlined in this policy and the Department of Innovation and Technology's (DoIT) SharePoint website at https://ilgov.sharepoint.com/sites/DoITEPMO/SitePages/IT%20Governance.aspx, unless an IT project's governance process exceeds the standards established by DoIT.

        I.A.2.   Is a client agency of DoIT, and as such while maintaining appropriate oversight, defers to DoIT to establish a process for handling project management consistent with their IT project framework/governance to ensure an acceptable level of oversight.

    I.B.   The IT project framework/governance process is a DoIT resource the ISP has approved to ensure all ISP controlled IT projects are appropriately managed and resources are expended in a fiscally responsible manner.

II.   DEFINITIONS

    II.A.   Agency – the Illinois State Police (ISP).

    II.B.   Agency Final Approver (AFA) – ISP, First Deputy Director (FDD), or designee. AFA gives the final approval of a proposal, allowing the Enterprise Portfolio Management Office (EPMO) team to turn the proposal into a project.

    II.C.   Agency Proposal Review Committee (APRC) – a group of people who review the proposal and decide if the proposal needs to be moved forward as a project. The APRC team is comprised of the ISP FDD, Chief Financial Officer (CFO), and DoIT Chief Information Officer (CIO). The APRC Facilitator is a security role in the Project and Portfolio Management (PPM) System, representing the APRC team. APRC facilitator has decision authority and is responsible for approving proposals in the PPM system workflow.

    II.D.   Enterprise Business Analyst (EBA) – the work of enterprise analysis is business-focused, and while enterprise analysis may consider what IT can bring to the table in terms of solutions, its primary focus is on business, including changes in business processes, models, and strategies.

    II.E.   Enterprise Portfolio Management Office (EPMO) – a division within DoIT whose mission is to provide all state agencies with IT project guidance, architecture and project governance, standardized proposal, and project processes that are right-sized to projects' characteristics, and project, program and portfolio best practices, including tools and techniques that will enable agencies to have the best opportunity at project success.

    II.F.   Functional Testing – testing used to validate the system's features, capabilities, and interactions with different components. It involves testing the software's input and output, data manipulation, user interactions, and the system's response to various scenarios and conditions. Functional testing usually occurs in the project phase (PRJ) just before, or in, PRJ 4.

    II.G.   IT Project Framework/Governance – the process of moving projects with a technology component (also referred to as IT projects) from proposal to development using a phased approach.

    II.H.   Project and Portfolio Management (PPM) System – current system used by the state of Illinois to track IT projects produced by Micro Focus.

II.I. Project Phase (PRJ) – required stages to complete the project and to close it out within the PPM system.

II.J. Proposal Phase (PRP) – required stages to be completed to promote the project to the PRJ. Steps range from Start to PRP 7 depending on the type of the proposal size.

II.K. Submitter – a Division Chief of Staff who creates or help complete proposals in the PPM system.

II.L. User Acceptance Testing (UAT) – the process used to identify and correct defects and verify expectations, completeness, and quality of work. Testing usually occurs just before, or in, PRJ 4.

III. RESPONSIBILTIES

III.A. The ISP is responsible for:

III.A.1. Completing and submitting the proposal intake form in the PPM system.

III.A.2. Determining the appropriate project size by using the IT Project Classification Method Matrix.

III.A.3. Reviewing and completing any required documents, activities, and workflow options while working through the proposal and project governance processes.

III.A.4. Reviewing the proposal cost estimate and confirming a budget is available.

III.A.5. Providing final approval of the PRP to allow the EPMO team to proceed to the PRJ.

III.A.6. Notifying the ISP Office of Inspection and Audits (OIA) to complete all activities, required documentation, and select an audit review outcome.

III.A.7. Providing end users to perform UAT when needed.

III.A.7.a. To access the PPM system, users must have a PPM User Account that allows them the appropriate access.

III.A.7.b. Each PPM User Account has one or more associated PPM User Roles that provide access to perform functions within the PPM system, such as viewing or modifying data or completing certain steps within the proposal or project workflows.

III.A.7.c. Some PPM User Roles also give the user access to a shared dashboard that displays information relevant to that role.

III.A.8. Ensuring all contracts with other IT vendors for any IT projects not maintained by DoIT have a project management framework process that meets or exceeds the standards outlined within this policy. ISP management overseeing the IT project will ensure appropriate documentation is completed and approved prior to implementation, including, but not limited to, adequate segregation of duties to ensure strong internal controls are maintained.

III.B. The APRC is responsible for reviewing and completing any required documents, activities, and workflow options while working through the proposal and project governance processes.

III.C. DoIT is responsible for:

III.C.1. Ensuring its current policies and procedures establish requirements for the handling of new or existing ISP IT projects.

III.C.2. Utilizing its IT proposal and project governance processes to ensure effective alignment with agency business strategy and enterprise architecture standards.

III.C.3. Reviewing and completing any required documents, activities, and workflow options while working through the proposal and project governance processes.

> **NOTE:** Pursuant to an Intergovernmental Agreement (IGA), DoIT has accepted these responsibilities with ISP approval.

IV.   PROCEDURES

IV.A.   Submitting an IT Proposal

IV.A.1.   Each project will use the IT Project Classification Method Matrix to determine the appropriate workflow size to use. A copy of the matrix is located on DoIT's SharePoint website at https://ilgov.sharepoint.com/sites/DoITEPMO/SitePages/IT%20Governance.aspx.

IV.A.1.a.   Large Proposal/Project Workflow – More than 10 points**.** All PRP phases are required to be completed.

IV.A.1.b.   Medium Proposal/Project Workflow – 3 to 10 points. All PRP phases, except PRP 1, are required to be completed.

IV.A.1.c.   Small Proposal/Project Workflow – 0 to 2 points. All PRP phases, except PRP 3, are required to be completed.

IV.A.1.d.   Emergency Proposal Workflow – Requirements needed for an emergency proposal can be located on DoIT's SharePoint website. Only PRP phases, Start, 5, 6, and 7 need to be completed.

IV.A.2.   The submitter will complete a new proposal intake form in the PPM system from the Create menu > Proposal**.** The submitter will use the IT Project Classification Method Matrix during this stage to determine the appropriate project size (Large, Medium, Small).

IV.A.3.   The APRC will review and approve the proposal submission and enter the assigned EBA.

IV.A.4.   The submitter will complete the Project Cost Estimate, Business Requirements, Technical Requirements, the IT Governance Attendee Meeting Guide, and any other required fields within the PPM system. The submitter will work with DoIT to determine the Project Cost Estimate.

IV.A.5.   The APRC will review and approve the proposal summary and overview, project governance, sponsors and managers, categorization, financials, business and technical requirements, and value and risk scores.

IV.A.6.   The ISP CFO will complete a review of the Project Cost Estimate and confirm a budget is available.

IV.A.7.   The AFA will review and approve documents and proposal input for relative alignment to agency key initiatives and strategy. The AFA will also conduct a final review by the Agency before the proposal moves to the EPO for advancement to Project.

> **NOTE:** Additional detail for required PRP states, including Emergency Proposals, which are adopted then incorporated herein, may be found on DoIT's SharePoint website at https://ilgov.sharepoint.com/sites/DoITEPMO/SitePages/IT%20Governance.aspx.

IV.B.   Project Workflow

IV.B.1.   The ISP will provide end users to perform UAT and functional testing when needed.

IV.B.2.   The ISP OIA will complete all activities, require documentation, and select an audit review outcome as detailed in PRJ 5.

IV.C.   Request a PPM User Account and Role

Users or authorized requestors must submit the Request PPM Access form to request new access or to change the existing access or role for a PPM user.

IV.C.1.   The form is completed by providing the user's email address and selecting the necessary PPM User Role(s).

IV.C.2.   Once the form is submitted, the Agency Technology Service Requesters (ATSR) will review the request and initiate a ServiceNow ticket.

IV.C.3.   A notification is sent to the requestor/user when the access request has been completed.

IV.D.   IT Projects

IV.D.1.   All IT projects that impact an ISP controlled IT resource will adhere to this policy unless otherwise approved by the Director or their designee. Where another project management framework or governance is approved, prior to implementation, ISP management will ensure:

IV.D.1.a.   IT proposals and projects are submitted through the APRC for documentation and approval.

IV.D.1.b.   Approvals are received from the AFA and ISP CFO.

IV.D.1.c.   Adequate segregation of duties is established to ensure strong internal controls are maintained.

IV.D.2.   ISP Divisions will communicate with DoIT, if needed, to determine any IT security features to ensure systems, applications, and data is protected.

IV.D.3.   ISP Divisions will also include DoIT on any IT projects when systems or applications need to be hosted on, or communicate with, any existing or new server managed by DoIT.

-End of Directive-