

**Victim Compensation and
Government Claims Board**

Information Technology Capital Plan



Information Technology Capital Plan, Plan Year 2009-10 through 2013-14 Executive Approval Transmittal

Department Name

Victim Compensation and Government Claims Board

APPROVAL SIGNATURES

I am submitting the attached Information Technology Capital Plan as required by the State Administrative Manual Section 4904.

I certify that the IT Capital Plan was prepared in accordance with State Information Management Manual section 57 and that the proposed IT projects are consistent with our business strategies and information technology strategy.

I have reviewed and agree with the information in the attached Information Technology Capital Plan.

Chief Information Officer		Date Signed
		8/5/2008
Printed name: Lina Luna-Pruitt		
Information Security Officer		Date Signed
		8/6/08
Printed name: Glen Carson		
Budget Officer		Date Signed
		8/5/08
Printed name: Pat Valencia-Carlson		
Department Director		Date Signed
		8/7/08
Printed name: Julie Nauman		

DEPARTMENT IT CAPITAL PLAN

Department Name and Org Code:

Victims Compensation and Government
Claims Board (VCGCB) - 1870

Plan Year:

2009 - 10 through 2013 - 14

1. Summarize your organization's business goals and objectives below:

1. Achieve a 10% reduction in processing times for VCP claims and payments
2. Achieve a 10% increase in customer and stakeholder satisfaction
3. Achieve a 10% increase in employee satisfaction
4. Achieve a 10% increase in public awareness of the VCP Program
5. Achieve a 10% improvement in efficiencies of the Government Claims Program processes
6. Increase revenue recovery efforts to support a stable Restitution Fund

2. What are your organization's plans to upgrade or replace your IT infrastructure for the following? When responding, please indicate the timeframes of your intended upgrade or replacement efforts.

2.1. Hardware

- Implementation of Blade Server Technology--08/09 FY
- Server Refresh 09/10
- PC Refresh 09/10

2.2. Software

- Install VM Ware to implement and promote virtual Servers—08/09 FY
- Install Multi-Link to provide automated controlled shutdown of system when UPS is engaged or server room becomes overheated —08/09 FY
- Install Orion Solarwinds (network monitoring tool)—08/09 FY

2.3. Network

- Install network components for redundancy—08/09 FY

3. Existing Approved Reportable IT Projects

Provide the following information regarding your existing approved reportable IT projects on Table 1 on the following page:

- Existing IT Project;
- Approved Project Cost;
- Project Number; and
- Implementation Date

4. Proposed IT Investments

After each proposed IT investment has been documented by answering questions 4.1 through of the attached IT Investment Proposal Form, provide the following information on Table 2 on the following page:

- **The name of each proposed IT investment;**
- **The priority ranking;**
- **The FSR submission date; and**
- **The estimated cost**

Table 1-Existing Approved Reportable IT Projects Summary by Department

Existing IT Project	Approved Project Cost	Project Number	Implementation Date
Currently, the VCGCB has no existing reportable IT projects.			

Table 2-Proposed IT Investment Summary

Proposed IT Investments	Priority Ranking	FSR Submission Date	Estimated Total Cost
Liens and Overpayments System (LORS)	1	FY 08/09	\$1,000,000
Government Claims System (GCATS)	2	FY 09/10	\$1,000,000

PROPOSED IT INVESTMENTS

Complete this IT Investment Proposal Form (questions 4.1 through 4.15 below) for each proposed IT project that meets the definition of a reportable project as defined in the State Administrative Manual Section 4819.37:

4.1. Proposal name and priority ranking:

Liens and Overpayments System (LORS) – Priority Ranking 1

4.2. Description of the proposed IT investment:

LORS tracks the collection of liens and overpayments made through the Victim Compensation Program. This system is planned to interface with VCGCB's Compensation and Restitution System, CaRES. The LORS system does not currently exist as a single system. There are some manual process and a collection of three separate Microsoft Access applications and excel spreadsheets that are used for managing Liens and Restitutions.

4.3. Which of your department's business goals and objectives does this project support, and how?

Goal 6: Increase revenue recovery efforts to support a stable Restitution Fund.

LORS will provide fiscal services staff with a tool that can facilitate the collection of liens and overpayments resulting in increased revenue recovery. By integrating the LORS functionality into CaRES the Board will be able to increase restitution collections; reduce overpayments resulting from civil suits; and improve the overall program efficiencies in these efforts.

4.4. What are the expected business outcomes or benefits of the proposal as they relate to your organization's business goals and objectives?

The Board has a strategic goal to "Increase revenue recovery efforts to support a stable Restitution Fund". LORS will provide fiscal services staff with a tool that can facilitate the collection of liens and overpayments resulting in increased revenue recovery. The overall collections for the existing system will be compared to the collections for the new system.

4.5. The following are from the State's IT strategic plan. Check the appropriate box(es) to identify the goals this proposal supports:

- Supporting and enhancing services for Californians and businesses
- Enhancing information and IT security
- Reducing state operational costs (leveraging, consolidation, new technology, etc.)
- Improving the reliability and performance of IT infrastructure
- Enhancing human capital management
- Supporting state and agency priorities and business direction

PROPOSED IT PROJECTS CONTINUED - LORS

4.6. Is the proposal consistent with your organization's Enterprise Architecture?
 Yes
 No

4.7. Will the proposed system collect, store, transmit, or exchange confidential or sensitive information?
 Yes
 No

4.8. If this proposal is conceptually approved, what is the estimated date (mm/yyyy) the FSR will be submitted?

02/2009

4.9. What is the estimated project start date (mm/yyyy) if the FSR is approved?

07/2009

4.10. What is the duration of the proposed project?

6-8 months

4.11. Will the proposed project utilize the existing infrastructure?
 Yes
 No

4.12. Is the proposal related to another proposal or to an existing project?
 Yes
 No

If yes, describe the related proposal or project and how it is related:

4.13. Describe the consequences of not doing this proposed project:

VCGCB will have to rely on an existing system that runs on unsupported software. Revenue recover efforts will be hampered by the inability to enhance or extend the legacy system. In the worst case scenario data may be lost because of the inability to recover from catastrophic hardware software failure.

4.14. Check the appropriate box(es) to identify the proposal's funding strategy:
 Augmentation needed
 Redirection of existing funds
 Other (describe):

PROPOSED IT PROJECTS CONTINUED - LORS

4.15. What are the estimated cost and funding source(s) by fiscal year through implementation (information should be provided in the following format):

Fund Source	2009-10	2010-11	2011-12	2012-13	2013-14 and future	Total
General Fund						
Federal Fund	\$1,000,000					\$1,000,000
Special Fund*						
Total	\$1,000,000					\$1,000,000

*** Note: Identify the fund source and if the department is the sole user of the fund.**

PROPOSED IT INVESTMENTS

Complete this IT Investment Proposal Form (questions 4.1 through 4.15 below) for each proposed IT project that meets the definition of a reportable project as defined in the State Administrative Manual Section 4819.37:

4.1 Proposal name and priority ranking:

Government Claims System (GCATS) – Priority Ranking 2

4.2 Description of the proposed IT investment:

GCATS is a claims processing system for managing claims. The existing system was written in VB 6 with a SQL Server backend. The system uses canned Crystal Reports templates. The Board only has the compiled code and not the source code making system modifications virtually impossible. Any changes to reports are addressed outside of the system.

4.3 Which of your department's business goals and objectives does this project support, and how?

GCATS supports Goal 5: Achieve a 10% improvement in efficiencies of the Government Claims Program processes. See response to Question 4.4 for how GCATS supports this goal/objective.

4.4 What are the expected business outcomes or benefits of the proposal as they relate to your organization's business goals and objectives?

The Board has a strategic goal to “Achieve a 10% improvement in efficiencies of the Government Claims Program processes.”

The Government Claims Program is responsible for addressing claims against the State. To carry out this function the Board must interface with most state agencies. Currently the interactions occur via inter-office mail increasing the processing time. The existing system is outdated; many of the processes are very labor intensive and do not provide management information or claims tracking.

A new Government Claims system would decrease claims processing times, increase accuracy, and provide management information to make policy decisions.

4.5 The following are from the State's IT strategic plan. Check the appropriate box(es) to identify the goals this proposal supports:

- Supporting and enhancing services for Californians and businesses
- Enhancing information and IT security
- Reducing state operational costs (leveraging, consolidation, new technology, etc.)
- Improving the reliability and performance of IT infrastructure
- Enhancing human capital management
- Supporting state and agency priorities and business direction

PROPOSED IT PROJECTS CONTINUED - GCATS

4.6 Is the proposal consistent with your organization's Enterprise Architecture?
 Yes
 No

4.7 Will the proposed system collect, store, transmit, or exchange confidential or sensitive information?
 Yes
 No

4.8 If this proposal is conceptually approved, what is the estimated date (mm/yyyy) the FSR will be submitted?

07/2009

4.9 What is the estimated project start date (mm/yyyy) if the FSR is approved?

07/2010

4.10 What is the duration of the proposed project?

6-8 months

4.11 Will the proposed project utilize the existing infrastructure?
 Yes
 No

4.12 Is the proposal related to another proposal or to an existing project?
 Yes
 No

If yes, describe the related proposal or project and how it is related:

4.13 Describe the consequences of not doing this proposed project:

VCGCB will have to rely on an existing system that runs on unsupported software. In the worst case scenario data may be lost because of the inability to recover from catastrophic hardware software failure.

4.14 Check the appropriate box(es) to identify the proposal's funding strategy:
 Augmentation needed
 Redirection of existing funds
 Other (describe):

PROPOSED IT PROJECTS CONTINUED - GCATS

4.15 What are the estimated cost and funding source(s) by fiscal year through implementation (information should be provided in the following format):

Fund Source	2009-10	2010-11	2011-12	2012-13	2013-14 and future	Total
General Fund		\$1,000,000				\$1,000,000
Federal Fund						
Special Fund *						
Total		\$1,000,000				\$1,000,000

*** Note: Identify the fund source and if the department is the sole user of the fund.**

Enterprise Architecture

A.1. Does your organization have documented Enterprise Architecture principles, strategies, or standards to guide decisions on technology investments?

- Yes
- No

A.2. Indicate on Table A-1 below, the completion status of the component Reference Models of your formal Enterprise Architecture efforts. If available, please submit a copy of your Enterprise Architecture document.

Table A-1, Enterprise Architecture Completion Status

Component Reference Model	Status			
	Implemented	Implementation in Progress	Planned or Planning Progress	Not Implemented and Not Planned
Business				✓
Service				✓
Technical				✓
Data				✓

A.3. Describe the governance structure your organization uses to review and approve the Enterprise Architecture and any subsequent changes.

N/A

A.4. Does your organization have an Enterprise Architect? (if yes, provide their name, telephone number, and e-mail address below)

- Yes
- No

Currently, VCGCB does not have an enterprise architect. We will be utilizing existing resources to fill the role in the future.

Name:
 Classification:
 Telephone Number:
 E-Mail:

Information Security

B.1. How is your Information Security Officer involved in proposed project development efforts?

The Information Security Officer (ISO) reviews and approves technology proposals that deviate from existing approved practices.

B.2. What are your department's core business principles, policies and standards related to information integrity, confidentiality, and availability and the protection of information assets?

Currently, the VCGCB is participating in developing the core principles for the State and Consumer Services Agency (SCSA) which will be adopted by the Board. In addition, the board has the following policies in place that address information integrity, confidentiality, and availability and the protection of information assets:

- Data Classification and Security
- Password Policy
- E-mail Policy and Procedures
- VCGCB Information Security Policy
- Internet Access Policy
- Desktop and Mobile Computing Guidelines
- Security Incident Report Process

B.3. If data within your department is shared with other entities, does your department implement data exchange agreements with the other entities?

- Yes** FTB, SCO, CDRC & Joint Powers & Victim Witness Centers
 No

If no, please explain.

B.4. How does your department ensure that software developers and programmers follow standards and best practices for Web, application, and system development?

The Board uses the Microsoft Visual Studio Team System which is an integrated Application Life Cycle Management (ALM) solution comprising tools, processes, and guidance to help all members of a development team improve their skills and work effectively together.

The Team Foundation Server (TFS) is the environment used to maintain the tools, processes and guidance for the development team. To ensure the software developers follow standards and best practices for web, application and system development, they are trained, documentation is maintained with illustrations of standards and best practices and peer code reviews are conducted.

Additionally, code reviews are conducted to ensure developers follow standards.

Information Security

B.5. Does your organization have an Information Security Officer? (if yes, provide their name, telephone number, and e-mail address below)

- Yes**
- No**

Name: Glen Carson

Classification: Staff Information Systems Analyst

Telephone Number: (916) 491-3597

E-Mail: gcarson@vcgcb.ca.gov

Workforce Development, Workforce Planning and Succession Planning

C.1. Does your organization have a workforce development plan for IT staff?

- Yes
- No

If yes, briefly describe it.

C.2. Check the appropriate box(es) to identify which workforce development tools, if any, your organization is using for IT classifications:

- Training
- Upward Mobility
- Mentoring
- Career Assessments
- Knowledge transfer program
- Performance Evaluations
- Other (please list)

C.3. Does your organization have a workforce plan (i.e., for Rank and File)?

- Yes
- No

If yes, briefly describe it.

C.4. Does your organization have a succession plan (i.e., for Management)?

- Yes
- No

If yes, briefly describe it.

C.5. IT Staffing

Provide the following information in table C-1 on the following page:

- The name of each IT classification currently in the organization.
- The number of staff in each IT classification in the organization.
- The number of staff in each IT classification eligible to retire in the next five years.
- The percentage of each IT classification eligible to retire in the next five years.

Workforce Development, Workforce Planning and Succession Planning

Table C-1 — IT Staffing

IT Rank and File Staff Classification	Number of IT Rank and File Staff in Classification	Number of IT Rank and File Staff in Classification Eligible to Retire in Next 5 Years	IT Management Staff Classification	Number of IT Management Staff in Classification	Number of IT Management Staff in Classification Eligible to Retire in Next 5 Years
Assistant ISA	4	1	DPM III	Currently Vacant	
Associate ISA	7	2	DPM II	3	2
Associate PA	4				
Staff ISA	8	3			
Associate PA	4				
Staff PA	2	1			
Senior ISA	2				
SSS II (Tech)	2				
Asst. SSS	1				

Project Management, Portfolio Management and IT Governance

D.1. Does your organization have a process for improving the alignment of business and technology?

- Yes
 No

If yes, briefly describe it.

The Board has a Change Control Board (CCB) whose membership is made up of representatives from each program area and ITS. This CCB reviews and approves requests for enhancements or additional development efforts relative to the VCGCB's Compensation and Restitution System (CaRES).

D.2. What is the status of implementing a formal portfolio management methodology for technology projects within your organization?

- Implemented (Please describe)
- Implementation in progress (Please describe)
- Planned or planning in progress
 Not implemented and not planned

D.3. List any automated tools being used for portfolio management. Enter "None" if no automated tools are being used.

None

D.4. What is the status of implementing a standard project management methodology for technology projects in your organization?

- Implemented (Please describe)
- Implementation in progress (Please describe)
- Planned or planning in progress
 Not implemented and not planned

D.5. Does the organization require its project managers to be certified, either through a professional organization (e.g., PMI, ITIL) and/or through completion of specified project management coursework:

- Yes
- PMI
 - ITIL
 - Agency-specified project management coursework (identify below)
- No

Project Management, Portfolio Management and IT Governance

D.6. Select from the list other areas of training your organization requires of its project managers:

- Fundamental Project Management
- Systems Development Life Cycle
- Scheduling tool (identify below)

-
-
-

- Project Performance Management (e.g., Earned Value Management)
- Business Process Analysis
- Requirements Traceability
- Procurement/Contracts Management
- Other (identify below)

-
-
-

None

D.7. Describe project-level governance practices, including change management, issue resolution, and problem escalation.

N/A

D.8. Does the project management methodology include processes for documenting lessons-learned and applying these to future projects?

Yes (Please describe)

No

N/A