

# **State Personnel Board**

## **Information Technology Capital Plan**



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

**Department Name**

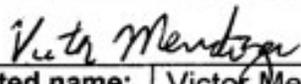
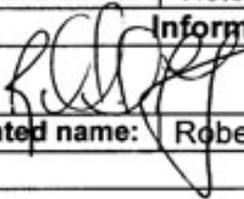
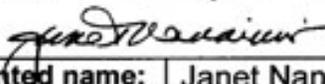
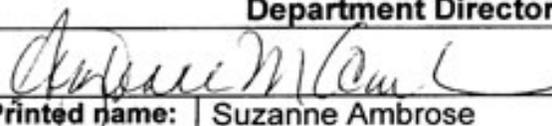
State Personnel Board

**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
		7/29/08
Printed name:	Victor Mendoza	
Information Security Officer		Date Signed
		7-29-08
Printed name:	Robert Pugh	
Budget Officer		Date Signed
		7/29/08
Printed name:	Janet Nannini	
Department Director		Date Signed
		7/30/08
Printed name:	Suzanne Ambrose	

## DEPARTMENT IT CAPITAL PLAN

**Department Name and Org Code:**

State Personnel Board (SPB) - 1880

**Plan Year:**

2009-10 through 2013-14

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

The mission of the State Personnel Board (SPB) is to provide an innovative, merit-based civil service system that fosters a talented and diverse state workforce to provide premier public service to all Californians.

To provide a highly qualified and diverse workforce for all California state agencies, SPB has identified the following goals and objectives as documented in the department's strategic plan.

- Meet the State's Hiring Needs
  - Simplify the Hiring Process
  - Aid Departments in Filling Hiring Gaps
  - Re-Engineer Our Processes to Better Meet the State's Needs
  - Provide More Resources to Departments
- Meet Stakeholders' Needs
  - Improve Communication and Improve Customer Service
  - Provide Resources to Departments
- Provide Leadership to Ensure a Qualified Workforce
  - Partner with Others
  - Strengthen the Organization
- Identify Process Improvements for the Department
  - Create Efficiencies and Improve Quality in the Appeals Division
  - Make Improvements to Programs Within Consulting Services Division
  - Identify Process Improvements for the Merit Operations Division
  - Identify Improvements for the Administrative Services Division

### 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

- SPB plans to replace servers as they reach end of life. Some servers may be moved to SPB's planned Virtual Environment
- 1/3 of SPB's personal computers are replaced every year
- Maintenance expires on 9 servers in our server room in FY 2009/2010. Maintenance contracts can be extended on 2 servers. Maintenance does not extend on 7 servers, and will therefore be replaced

**IT infrastructure upgrades or replacements continued:**

**2.2. Software**

- SPB plans to upgrade to Exchange 2007 in 2009/2010

**2.3. Network**

- SPB does not have any planned upgrades during the 2009/2010 Fiscal Year.

**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 Projects**

**After each proposed IT project has been documented by answering questions 4.1 through 4.14 of the attached IT Project Proposal Form, provide the following information on Table 2 on the following page:**

- The name of each proposed IT project;
- 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
Exam and Certification Replacement Project (ECRP)	\$4,710,000	1880-15	2008/2009

**\*Note:** If a Special Project Report (SPR) was submitted for review in July 2008 that includes project costs that differ from the last approved project document, enter both the last approved project cost and the revised project cost from the SPR under review.

**Table 2-Proposed IT Project Summary**

Proposed IT Project	Priority Ranking	FSR Submission Date	Estimated Total Cost
SPB currently does not have any proposed reportable IT projects for FY 2009/2010 through 2013/2014.			

## **PROPOSED IT PROJECTS**

Complete this IT Project Proposal Form (questions 4.1 through 4.14 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:**

SPB currently does not have any proposed reportable IT projects for FY 2009/2010 through 2013/2014.

**4.2. Description of the proposed IT project:**

N/A

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

N/A

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

N/A

**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

**4.6. Is the proposal consistent with your organization's Enterprise Architecture?**

- Yes
- No

**If no, please explain why the deviation from the organization's Enterprise Architecture is necessary.**

N/A

**4.7. Will the proposed system collect, store, transmit, or exchange confidential or sensitive information?**

- Yes
- No

N/A

**PROPOSED IT PROJECTS CONTINUED**

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

N/A

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

N/A

4.10. What is the duration of the proposed project?

N/A

4.11. Will the proposed project utilize the existing infrastructure?

Yes

No

If no, please explain. N/A

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:

N/A

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

N/A

Check the appropriate box(es) to identify the proposal's funding strategy:

Augmentation needed

Redirection of existing funds

Other (describe): N/A

4.14. 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						
Special Fund*						
<b>Total</b>						

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

N/A

**Enterprise Architecture**

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

- Yes
- No

SPB is currently participating in an Agency-wide Enterprise Architecture (EA) Committee and plans to adopt the Agency's EA after its completion.

**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 in Progress	Not Implemented and Not Planned
<b>Business</b>			X	
<b>Service</b>			X	
<b>Technical</b>			X	
<b>Data</b>			X	

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

SPB currently has no formal Enterprise Architecture; however, SPB is actively involved with State and Consumer Services Agency's efforts to develop an Agency Enterprise Architecture.

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

- Yes
- No

SPB has not made any efforts to hire an Enterprise Architect.

## Information Security

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

The Information Security Officer is consulted on all proposed project development efforts.

**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?**

SPB has policies related to confidentiality and privacy protection and Internet use. After recent completion of a Department risk assessment exercise, SPB is currently developing policies related to appropriate usage for IT resources. SPB is committed to protection of all personal identifying information both in transit and at rest.

**B.3. If data within your department is shared with external entities, does your department implement data exchange agreements with these entities?**

- Yes  
 No

**If no, please explain.**

SPB has data exchange agreements with some external entities, but not with all. SPB is working towards formalizing data exchange agreements.

Not applicable

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

Software developers and programmers use the State Administrative Manual (SAM), the webtools.ca.gov site, bestpractices.ca.gov site, and the eservices.ca.gov site as sources of reference for statewide policies, procedures, and regulations. In addition, SPB supports ongoing training for Information Technology employees, which enables them to stay abreast of the latest standards and best practices in software and systems development.

**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:** Robert Pugh

**Classification:** Staff Services Manager II (Supervisory)

**Telephone Number:** (916) 653-1468

**E-Mail:** rpugh@spb.ca.gov

**Workforce Development, Workforce Planning and Succession Planning**

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

- Yes
- No

Plan is in development.

**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 for IT staff (i.e., for Rank and File)?**

- Yes
- No

Plan is in development

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

- Yes
- No

Plan is in development

**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.

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
Associate Information Systems Analyst	2	0	Senior Programmer Analyst (Supervisor)	1	1
Associate Programmer Analyst	2	0	Data Processing Manager III	1	0
Staff Information Systems Analyst	6	0			
Staff Programmer Analyst	2	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.**

Including IT in discussion of potential strategic objectives/timelines.

**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

SPB has hired a contract Project Manager (PM) for the Examination and Certification Replacement Project. The PM is PMI certified.

**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.**

For the Examination and Certification Replacement Project, we are using the following project-level governance practices: change management; issue resolution; problem escalation; and risk management.

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

Yes (Please describe)

No