

Information Technology Capital Plan

Department IT Capital Plan

Housing and Community Development



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

Department Name

Housing and Community Development

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
Printed name:	Christine McCaleb	
Information Security Officer		Date Signed
Printed name:	Mitzi Houston	
Budget Officer		Date Signed
Printed name:	Terrie Watson	
Department Director		Date Signed
Printed name:	Lynn Jacobs	

DEPARTMENT IT CAPITAL PLAN

Department Name and Org Code:

Housing and Community Development -
2240

Plan Year:

2009-10 through 2013-14

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

To provide leadership, policies and programs to preserve and expand safe and affordable housing opportunities and promote strong communities for all Californians by 1) Increasing the housing supply; 2) Establishing a permanent funding source for affordable housing; 3) Maintaining the health and safety of existing housing; and, 3) Strengthening communities by improving infrastructure and attracting, expanding and retaining business and jobs for all Californians.

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** – One third of all servers and one fourth of all desktops, laptops and printers are refreshed annually.
- 2.2. **Software** – There are no plans to replace Department owned software. All business applications are updated (enhanced) annually consistent with priorities established in five-year strategic plans for each business area. Desktop and other commercial off the shelf (COTS) software is maintained and upgraded when offered by the vendor and upgrading is in the best interest of the Department. For example HCD owns licenses for MS VISTA but has not upgraded from MS XP because VISTA is not stable.
- 2.3. **Network** - Switches and routers are replaced every five years.

3. Existing Approved Reportable IT Projects

Provide the following information regarding your existing approved reportable IT projects on Table 1 on the following page: NONE

- 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 4.15 of the attached IT Project Proposal Form, provide the following information on Table 2 on the following page: NONE

- **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
NONE			

***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
NONE			

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PROPOSED IT PROJECTS NONE TO REPORT

Complete this IT Project 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:
- 4.2. Description of the proposed IT project:
- 4.3. Which of your department's business goals and objectives does this project support, and how?
- 4.4. What are the expected business outcomes or benefits of the proposal as they relate to your organization's business goals and objectives?
- 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.

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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?

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

4.10. What is the duration of the proposed project?

4.11. Will the proposed project utilize the existing infrastructure?

- Yes
- No

If no, please explain.

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 at the planned timeframe:

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

- Augmentation needed
- Redirection of existing funds
- Other (describe):

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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						
Special Fund*						
Total						

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

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

- 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 in Progress	Not Implemented and Not Planned
Business				X
Service	X			
Technical	X			
Data	X			

NOTE: HCD is defining enterprise architecture as department-wide standard platforms for application development, databases, data storage and customer service.

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

HCD has an IT Steering Committee that reviews and approves changes.

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

- Yes
- No

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Name: _____ Ron Sullivan _____

Classification: _____ Data Processing Manager II _____

Telephone Number: __916-324-9770__ **E-Mail:** _rsullivan@hcd.ca.gov__

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

The ISO is on the IT Steering Committee that reviews and approves all development efforts. In addition, the ISO is involved in all phases of the project development as the security SME.

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?

In compliance with state and federal laws regarding the loss of computer equipment that contains personal information, it is HCD's policy to encrypt the "C" drive of all department laptops, to purchase both encrypted and non-encrypted flash drives for business use and that no personal information is to be stored on any non-encrypted HCD or personal portable devices. Copies of the relevant policies can be provided if needed.

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.

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?

Adherence to HCD's internal Web, Application, and System development and maintenance standards is ensured by separation of the functions of Analysis (Business Process & System Design), Programming (Design, Coding, & Unit Testing), Database Administration (Design, Programming/Implementation, Monitoring, & Quality Audit), and Testing (System, User, Stress, Integration, etc.); and end-to-end testing with appropriate

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staff of the end products from each functional area as a development or maintenance project progresses.

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: _____ Mitzi Houston _____

Classification: _____ CEA _____

Telephone Number: _____ 916-324-7962 _____ E-Mail: _____ mhouston@hcd.ca.gov _____

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

- Yes
 No

If yes, briefly describe it.

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

- Yes
 No

If yes, briefly describe it.

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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
Systems Software Specialist II	3	1 (33%)	DATA Processing Manager III	1	1
Systems Software Specialist I	4		DATA Processing Manager II	2	2
Staff Information Systems Analyst	4	2 (50%)	Systems Software Specialist II, Supervisory	1	1
Associate Information Systems Analyst	6	2 (33%)	Staff Information Systems Analyst, Supervisor	1	1
Assistant Information Systems Analyst	2				
Senior Programmer Analyst	5	1 (20%)			
Staff Programmer Analyst	4	1 (25%)			
Associate Programmer Analyst	2				
Total	30	7 (23%)		5	5 (100%)

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

- Yes
 No

If yes, briefly describe it.

Key business areas have an IT Strategic Plan governed by a Core Team and Steering Committee made up of program managers, Deputy Directors, IT managers and SMEs. These committees approve priorities for application upgrades, additional application functionality needed, new IT technology or services and propose new IT projects. These priorities are the basis for the assignment of IT resources and are reviewed, prioritized and approved by the IT Steering Committee when there are not enough IT resources to meet the demand and if projects are reportable.

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)

All HCD IT projects follow standard project management methodology including the Project Management Life Cycle and Project Management Body of Knowledge.

Implementation in progress (Please describe)

Planned or planning in progress
 Not implemented and not planned

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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

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.

Projects are governed by 3 teams. Subject Matter Experts define the business requirements of new applications, enhancements of existing applications and recommend priorities. Recommendations are forwarded to a Core Team made up of mid level program managers, Deputy Directors and IT staff involved in the project. The Core team reviews the recommendations and attempts to achieve a consensus and assign required resources. When demand exceeds available resources or if the Core Team is unable to achieve a consensus issues are elevated to the Project Steering Committee which includes the deputies from the program and Administration Divisions, CIO, ISO and Chief Deputy.

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

- Yes (Please describe)

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Lessons learned are documented in the Post Implementation Evaluation Report. Lessons learned are discussed during planning, FSR, BCP, and all phases of the next project to ensure past issues and problems are addressed.

No