

Information Technology Capital Plan

Department IT Capital Plan

Office of Traffic Safety



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

Department Name

Office of Traffic Safety

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:	Jon Kirkham	
Information Security Officer		Date Signed
Printed name:	Jon Kirkham	
Budget Officer		Date Signed
Printed name:	Bill Terrell	
Department Director		Date Signed
Printed name:	Chris Murphy	

DEPARTMENT IT CAPITAL PLAN

Department Name and Org Code:

Office of Traffic Safety - 2700

Plan Year:

2009-10 through 2013-14

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

The Office of Traffic Safety (OTS) is a federally funded agency that provides grant monies for traffic safety programs to eligible agencies throughout California. The OTS business goals and objectives listed below come from our Performance-based Strategic Plan.

OTS's business goals:

1. Enhance OTS's support and monitoring of grantees' performance
2. Ensure OTS's administration of grants is efficient and customer-friendly
3. Use grant funds more strategically, effectively and with greater innovation
4. Strengthen communication with internal and external stakeholders

Summary of OTS's business objectives:

1. Increase the efficiency of receiving, processing and reporting Grantee Performance Reviews, Grantee Quarterly Performance Reports, Grantee Quarterly Claims and Pre-operational Meetings
2. Streamline and greatly improve the efficiency of the grant proposal submission, review and award process
3. Implement the use of tools that facilitate communication and review/discussion of files, reports and other data
4. Provide better access to data and use that data to effectively allocate funds, identify target areas for grant solicitation and closely monitor grant expenditures

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

2.1.1 Dell Desktops – replace using 3-year refresh schedule - Fiscal Years 2009 through 2014

2.1.2 Dell Servers (file, print, DC, web, virtual, etc.) – add an additional server – Fiscal Year 2009 – and replace/upgrade based on business/performance needs – Fiscal Years 2011-2014

2.1.3 Network Accessible Storage (NAS) devices – replace based on business/performance needs – Fiscal Years 2010-2014

2.1.4 Network Printers – replace as needed – Fiscal Years 2009-2014

2.1.5 Tape Drives – replace – Fiscal Year 2009

2.2. Software

2.2.1. Windows XP – Fiscal Year UNKNOWN (depends on viability of available operating systems)

2.2.2. Office 2003 – upgrade to Office 2007 – Fiscal Year 2009

2.2.3. Server 2003 – upgrade to Server 2008 – Fiscal Year 2009 - 2010

2.2.4. Implement the use of virtual server software – Fiscal Year 2009 - 2010

2.3. Network

2.3.1. Replace Switch – Fiscal Year 2009 - 2010

2.3.2. Add an additional hardware firewall – Fiscal Year 2009 or 2010

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
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
Statewide Automated Traffic Safety Grant Administration (SATSGA) Project	1	June 2009	\$1.5 million

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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:

Statewide Automated Traffic Safety Grant Administration (SATSGA) Project
Priority ranking: 1

4.2. Description of the proposed IT project:

The goal of the SATSGA Project is to provide OTS staff and OTS customers with a user-friendly web-based interface for conducting business that increases efficiency, provides a centralized location for shared data, provides better accessibility to data, reduces dependency on paper and desktop applications and allows for better communication.

This project will improve data availability and accessibility, process efficiency, work quality and accuracy and will involve the following:

- Streamlining and reengineering current OTS business processes and converting them from paper-driven to electronic processes
- Replacing the use of disparate systems, desktop applications and paper files for data storage and establishing a central database for all grant-related data
- Creating a user-friendly web-based interface for grantees and potential grantees to electronically apply for, manage, report on and submit reimbursement claims for OTS grants
- Providing OTS staff with a web-based interface and common electronic platform to manage grants, manage grant funds and grant funding, communicate with grantees, route and track tasks and work and create work log entries related to proposals, grants and accounts
- Providing electronic workflow management and tracking
- Migrating electronic data storage and back-up to a data center
- Exploring and potentially implementing the use of electronic signatures
- Integrating the grant budgeting and grant expenditure tracking systems
- Eliminating redundant data entry processes

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

Goals (from the OTS Performance-based Strategic Plan):

1. Enhance OTS's support and monitoring of grantees' performance
2. Ensure OTS's administration of grants is efficient and customer-friendly
3. Use grant funds more strategically, effectively and with greater innovation
4. Strengthen communication with internal and external stakeholders

The SATSGA Project directly supports Goal 1 by providing an electronic interface to submit and review quarterly performance reports (QPRs) and reimbursement claims (both currently handled on paper) and a centralized database to store and retrieve this data. This not only makes submitting and reviewing QPRs and claims easier and more efficient, but it also allows both OTS staff and grantees to simultaneously access, review and discuss current and past performance and spending. In addition, it allows more QPR format standardization

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and the use of business and accounting logic to tighten controls and reduce reimbursement claim errors.

The SATSGA Project directly supports Goal 2 by providing grantees with a user-friendly, easily accessible electronic interface for applying for, developing, revising and managing traffic safety grants. It also supports this goal by increasing efficiency by providing electronic work flow management and tracking and by reducing or eliminating the need to handle paper in almost every grant management process.

The SATSGA Project indirectly supports Goal 3 by improving data accessibility through a centralized database. OTS will be able to analyze data such as expenditure patterns, grantee performance and grant impact across grant activities, geographic locations, funding types, etc. This will provide valuable information that can be used to make strategic funding decisions.

The SATSGA Project directly supports Goal 4 by allowing OTS to post messages for grantees and prospective grantees using the system and by using event-based business logic to communicate requirements and policies to these users as they are conducting business online. It will also indirectly support this goal by allowing OTS staff and external users to view the same data simultaneously and by tracking work log entries that will be helpful for communication among OTS staff.

The SATSGA Project also directly supports OTS's business objectives by eliminating/reducing paper dependency and providing a centralized database to store and retrieve data, thereby increasing the efficiency of the following business processes: soliciting, reviewing, editing and approving grant proposals and budgets; reviewing, editing and approving grant agreement contracts and budgets; conducting financial and operational grant reviews; reviewing and approving quarterly operational reports and quarterly reimbursement claims; recording grantee equipment purchases and tracking equipment use and depreciation; reviewing and processing grant agreement contract revisions; tracking non-performance; terminating non-performing grants and closing out completed grants.

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

- Increased efficiency for all grant-related business processes for both OTS staff and grantees, leading to better use of available resources for grant monitoring, auditing, performance reviews, data analysis, etc.
- Customer-friendly web interface, providing better tools and service and more efficient grant administration for OTS customers
- Electronic grant administration system, decreasing dependency on desktop applications and time-consuming paper processes and allowing electronic workflow and workflow tracking
- Elimination of a very cumbersome paper-based grant application process, making it easier and more appealing for potential grantees to apply for OTS grant funds and potentially increasing the number of annual grant applicants
- Reduction of secondary data entry, improving work quality and accuracy and reducing errors and the time spent addressing them
- Improved data availability and accessibility in a central database that integrates data from all systems and processes, leading to better analysis and better solutions, particularly around grant funding and expenditures

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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.

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?

06/2009

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

10/2009

4.10. What is the duration of the proposed project?

24-30 months

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:

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

California has the largest federally funded traffic safety program in the country but is bogged down by inefficient and cumbersome paper and desktop application-dependent business processes and data tracking and storage solutions. This applies not only to OTS staff but also to OTS grantees and potential grantees. Not implementing this project in a timely manner puts OTS at risk of losing grantees with limited resources to invest in time-consuming administrative processes, beginning with the current paper-based grant application process.

In addition, the Federal Government, through the National Highway Traffic Safety Administration (NHTSA), has recommended the use of electronic systems to provide a more customer-friendly grant application process and to increase states' abilities to analyze grantee expenditures and monitor grantee performance. Delaying this project puts OTS at risk of not being able to meet these NHTSA requirements. Since seven other states have already implemented electronic solutions, NHTSA data reporting standards and expectations have been raised, and OTS does not have the tools to meet them.

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

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

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	\$300,000	\$600,000	\$600,000			\$1,500,000
Special Fund*						
Total	\$300,000	\$600,000	\$600,000			\$1,500,000

* 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

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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

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

Name: _____

Classification: _____

Telephone Number: _____ **E-Mail:** _____

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

The OTS Information Security Officer is involved in all aspects of the 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?

The Office of Traffic Safety is guided by industry best practices and by ensuring compliance with all Federal and State codes and acts concerning information integrity, confidentiality, and availability and the protection of information assets.

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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?

OTS contracts with the Department of Technology Services (DTS) for Web services.

For application and system development, we contract with external entities and ensure best practices and standards are followed by mandating it contractually.

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: _____ Jon Kirkham _____

Classification: _____ Senior Information Systems Analyst _____

Telephone Number: ___(916) 509-3050___ E-Mail: jkirkham@ots.ca.gov_

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

Yes

No

If yes, briefly describe it.

OTS has an informal workforce development plan for IT staff that includes classroom and hands-on training and cross-training and an annual individual development plan.

The goal is to provide staff with a broader view of IT and possible career paths while providing them with the knowledge necessary to successfully conduct their current job duties, exposure to duties conducted by other positions and to learn about and possibly apply emerging technologies.

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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.

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 ISA	2	0	Senior ISA	1	0
Staff ISA	1	0			

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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.

The alignment of business and technology is addressed in OTS's strategic planning process. The SATSGA project is the first major IT project proposed to align with goals and objectives in the OTS Performance-based Strategic Plan.

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

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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)**
 - IT Project Management
 -
 -
- 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)**

OTS does not have a dedicated project management section but does have an IT staff member whose primary responsibility is to manage projects. In the last year, we have implemented more formal project management methodologies for all of our projects, and a post-mortem meeting to document lessons learned and to aid in the planning and execution of future projects is one of these.
- No**