

Information Technology Capital Plan

Department IT Capital Plan

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



Department Name

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 |
| <i>Stephanie Clendenn</i> | | 8/29/08 |
| Printed name: | | |
| Information Security Officer | | Date Signed |
| <i>Chuck Lano</i> | | 8.29.08 |
| Printed name: | CHUCK LANO | |
| Budget Officer | | Date Signed |
| <i>Jody Lusby FOR KAREN MISKANIS</i> | | 8/29/08 |
| Printed name: | JODY LUSBY / KAREN MISKANIS | |
| Department Director | | Date Signed |
| <i>Robert P. David</i> | | 8/29/08 |
| Printed name: | Robert P. David | |
| Chief Deputy Director | | |

DEPARTMENT IT CAPITAL PLAN

Department Name and Org Code:

Office of Statewide Health Planning &
Development (OSHPD) - 4140

Plan Year:

2009-10 through 2013-14

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

The mission of the Office of Statewide Health Planning and Development (OSHPD) is to promote healthcare accessibility through leadership in analyzing California's healthcare infrastructure, promoting a diverse and competent healthcare workforce, providing information about healthcare outcomes, assuring the safety of buildings used in providing healthcare, insuring loans to encourage the development of healthcare facilities, and facilitating development of sustained capacity for communities to address local healthcare issues. OSHPD endeavors to accomplish that mission through the following goals:

1. Monitor, assess, support and improve California's healthcare infrastructure.
2. Improve the quality of California's healthcare and its delivery through analysis and dissemination of usable information.
3. Reduce healthcare disparities through identification/measurement and collaboration with others.
4. Improve the Office's workplace environment, efficiency, and effectiveness.
5. Support innovation and creativity in healthcare delivery.

In its effort to continually reassess and realign its priorities to California's changing healthcare environment and to further its efforts in promoting healthcare accessibility, OSHPD plans to engage during FY 08/09 in a strategic planning process to further update its organizational goals and objectives to provide a roadmap for OSHPD's future efforts.

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

OSHPD's five year plan includes:

1. Update Server Room Environmental Reliability (FY 09/10)
2. Storage and Server Standardization, Modernization and Consolidation (FY 10/11);
3. Refreshing Aging Servers, i.e., Blades, Server Virtualization (FY 11/12);
- 4.. Define and Execute Backup and Disaster Recovery Plan in LA (FY 12/13),

2.2. Software

OSHPD's five year plan includes:

1. Consolidating software to assure that our applications portfolio does not overlap in functional capabilities (FY 10/11);
2. Replace our Groupwise email application with Agency standard email tool (FY 10/11).

3. Consolidate the systems software infrastructure into as few variations as possible (FY 12/13);

Other major software version updates include:

- Microsoft Office Desktops
- Microsoft Back Office Servers including Sharepoint and SqlServer
- Oracle, Business Objects, and Informatica
- ESRI GIS
- SAS for PC
- Visual Studio 2008

2.3. Network

Our five year plan includes infrastructure modernization and stability. Areas we plan to focus on include:

1. Network Access Control and Security (FY 10/11);
2. Expand the secure FTP infrastructure (FY 10/11).
3. LAN Robustness, Redundancy, Flexibility, Capacity, and Security (FY 11/12);
4. Continue to refresh the network with new network resources, i.e., Routers, Switches, etc. (FY 13/14)
5. Expand the secure wireless network infrastructure (FY 13/14).

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 4.15 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 |
|--|------------------------|----------------|---------------------|
| Logbook Redesign | \$11,494,938 | 4140-18 | 2010/03 |
| California Charitable Care Collection (4C) | \$944,000.0 | 4140-20 | 2008/06 |
| OSHPD Relocation | \$1,324,380.0 | 4140-21 | 2009/06 |
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*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 |
|----------------------------------|------------------|---------------------|----------------------|
| Workforce Clearinghouse | 1 | July 2008 | \$10,405,000 |
| MIRCal ICD-10-CM Upgrades | 2 | July 2009 | \$ 3,400,000 |
| Healthcare Atlas Re-design (GIS) | 3 | July 2009 | \$ 2,000,000 |
| | | | |
| | | | |

PROPOSED IT PROJECTS

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:

Workforce Clearinghouse, Rank 1 – (not required to complete 4.1 to 4.15. FSR is currently pending OCIO approval)

PROPOSED IT PROJECTS

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:

MIRCal ICD-10-CM Upgrades, Rank 2

4.2. Description of the proposed IT project:

This project would provide for extensive upgrades to support the transition from the ICD-9 to the ICD-10-CM coding structure to all of OSHPD systems that collect, analyze and disseminate patient level data. This includes:

- ♦ The Medical Information Reporting for California System (MIRCal), which collects over 15 million patient level records annually from California hospitals, emergency departments, and ambulatory surgery centers.
- ♦ This OSHPD enterprise data warehouse that transforms and stores the MIRCal data for reporting and business intelligence.
- ♦ Data reporting and query systems that deliver data to California citizens.

The Department of Health and Human Services (HHS) published proposed regulations that would replace the ICD-9-CM code sets now used to report health care diagnoses and procedures with greatly expanded ICD-10-CM code sets, effective October 1, 2011. ICD-9-CM is the current code sets standard adopted by the Secretary of HHS under the Health Insurance Portability and Accountability Act of 1996 (HIPAA). ICD-9 is used by all covered entities to report diagnoses and inpatient hospital procedures on health care transactions. All healthcare facilities, hospitals, emergency departments and ambulatory surgery centers, which report patient level data to OSHPD, will be affected.

The ICD coding structure for healthcare diagnoses and procedures is the backbone for all OSHPD patient level data collected, analyzed, and disseminated. Substantial changes will need to be made to accommodate the ICD-10-CM Coding structure.

This project will also provide additional resources to support new and enhanced reporting on critical issues related to healthcare quality and transparency due to the increased precision and level of detail the ICD-10-CM coding structure provides.

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

Monitor, assess, support and improve California's healthcare infrastructure.

Improve the quality of California's healthcare and its delivery through analysis and dissemination of usable information.

Reduce healthcare disparities through identification/measurement and collaboration with others.

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

OSHPD will be able to continue to collect and disseminate high quality patient level data. The ICD-10-CM coding structure also provides significant opportunities for reporting on critical issues related to healthcare quality and transparency. The adoption of the ICD-10-CM code sets is expected to:

- ♦ Support value-based purchasing by accurately defining services and providing specific diagnosis and treatment information, such as identifying cases of MRSA and other specific conditions.
- ♦ Support comprehensive reporting of quality data.
- ♦ Allow the United States to compare its data with international data to track the incidence and spread of disease and treatment outcomes because the United States is one of the few developed countries not using ICD-10-CM.

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? 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? 2 Years.

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:

OSHPD will not be able to collect or disseminate patient level healthcare data as mandated.

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

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

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* | | | | | | |
| | | \$1,300,000 | \$1,500,000 | \$600,000 | | \$3,400,000 |
| Total | | \$1,300,000 | \$1,500,000 | \$600,000 | | \$3,400,000 |

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

California Health Data and Planning Fund (CHDPF)

CHDPF is funded by fees collected by OSHPD and is primarily expended by OSHPD. The Department of Public Health has a minor annual appropriation from this fund--\$200,000.

PROPOSED IT PROJECTS

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:

Healthcare Atlas Re-design (GIS), Rank 3

4.2. Description of the proposed IT project:

This will be an evolutionary enhancement of the existing Healthcare Atlas and part of the ongoing GIS program at OSHPD. This will provide an application and architecture that provides the most robust platform for telling the human health and healthcare story in California and delivering a broad spectrum of health information to a broad spectrum of users.

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

Improve the quality of California's healthcare and its delivery through analysis and dissemination of usable information.

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

This application will allow users to easily access current healthcare information from multiple sources. This will be a significant benefit to the public in terms of improved processes of care, improved access to care and better-informed healthcare policies.

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? 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?

2 years

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 Enterprise Geographic Information System (EGIS) 4140-16
 No

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

The Enterprise GIS (EGIS) project implemented GIS technology across OSHPD programs to improve our enterprise capabilities for providing consistent, timely, accurate information to support assessment, allocation of resources, measurement of outcomes, and improve communication in support of the Office's vision of equitable healthcare accessibility.

This project significantly improves the value of GIS information by building upon the existing Atlas infrastructure and adding the newest interface technology to make healthcare information easily understandable, quickly accessible, and relevant. The re-design of the Healthcare Atlas will be an evolutionary enhancement of the existing EGIS and part of the ongoing GIS program at OSHPD.

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

OSHPD will continue to use the current Healthcare Atlas web application although; the current Atlas application is not user friendly. Because of its usability issues, it does not meet many healthcare reform stakeholders' needs.

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

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

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* | | 1,000,000 | 1,000,000 | | | 2,000,000 |
| Total | | 1,000,000 | 1,000,000 | | | 2,000,000 |

Note: Identify the fund source and if the department is the sole user of the fund. California Health Data and Planning Fund (CHDPF).

CHDPF is funded by fees collected by OSHPD and is primarily expended by OSHPD. The Department of Public Health has a minor annual appropriation from this fund--\$200,000.

Enterprise Architecture

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

- Yes
- No

OSHPD has a both a data management and technology management strategic plan.

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.

Currently, our department does not have an Enterprise Architecture governance structure in place to review and approve our enterprise architecture; however, efforts to develop an Enterprise Architecture implementation plan are underway. We do have a well developed Technical and Data management strategic plan. Both plans are due to be updated. We are directly working with the CHHS to leverage Agency Enterprise Architecture developments and Office of Systems Integration (OSI) enterprise architecture best practices. We have plans to establish a Department Enterprise Architecture Steering Committee with a cross section of business and IT representatives that includes the Chief Deputy, Program Deputies and the ISO, and project the following levels of Enterprise Architecture governance at a minimum:

- Department Enterprise Architecture Steering Committee responsible for department-level governance review and recommend approval of IT investments, policy, procedure, guiding principles, and reference models in accordance with the department business strategy.

This structure follows the projected CHHS Agency Enterprise Architecture strategy, with the CIO at the head of the department’s decision-making structure, and department workgroups, in subordinate roles, actively evaluating enterprise-wide operational policies and procedures to be forwarded to the CIO for approval.

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

Name: _____

Classification: _____

Telephone Number: _____ E-Mail: _____

Information Security

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

OSHPD’s Information Security Officer (ISO) is involved in proposed project development as a member of the project development team as well as provides security standards against which the project must be designed

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?

OSHPD has an active IT Security Program Framework that is tasked with mitigating the risks associated with operations of an enterprise wide environment while assuring the ability to protect the confidentiality, integrity and availability of department information assets. This Framework includes processes for: Information Asset Review; Business Impact Analysis; Vulnerability Analysis; Threat Analysis and Risk Analysis. OSHPD has an active Information Security group with the appropriate training and background to administer these functions, and to install, monitor and enforce security standards and procedures.

The risk analysis process defines the levels of protection based on OSHPD information assets. OSHPD has documented and communicated IT and data security policies and procedures and an approved and dynamic ORP/BCP plan which includes incident response. OSHPD has provisions that ensure contractors are in compliance with stated OSHPD policies and procedures.

The OSHPD IT security program is reviewed, evaluated, documented and updated periodically and as required by changes to the IT and data management environments and Department operational needs. OSHPD has a mandatory annual and new employee Information Security and Privacy computer-based training course and skills assessment.

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?

Information Security

In order to ensure that OSHPD's developers and programmers follow standards and best practices for Web, application and system development, developers and programmers are expected to follow internal security standards, policies, and procedures, and receive external training to keep current on security concerns. OSHPD has a mandatory annual and new employee Information Security and Privacy computer-based training course and skills assessment.

Additionally, a peer review is conducted to ensure development efforts meet security standards, policies and procedures.

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: Chuck Lano

Classification: Senior Information Systems Analyst (Supervisor)

Telephone Number: 916-326-3620 E-Mail: clano@oshpd.state.ca.us

Workforce Development, Workforce Planning and Succession Planning

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

Yes

No (OSHPD will adopt the CHHS plan as described below)

If yes, briefly describe it.

Currently in the planning stage, California Health and Human Services Agency (CHHS) workforce development efforts will incorporate recruitment, lifelong learning, and mentorship into an effective plan of action for successfully increasing the size and aptitude of our skilled staff. Our plan formulation strategy involves seven key steps to goal fruition:

1. Develop an overall plan structure. CHHS will construct a general outline of the plan's architecture with the final framework goals of incorporating and implementing policies and processes within reasonable time frames, and at acceptable costs. The plan will be geared towards realizing observable improvements in department and agency performance, labor force management and retention.
2. Establish roles and responsibilities. The plan structure will outline roles, responsibilities, and targets for leadership.
3. Incorporate formal and informal efforts. The plan will make room for both formal development efforts (i.e., job fair recruitment), and informal efforts (i.e., supporting word-of-mouth recruitment and mentorship outside of an established mentoring program).
4. Develop performance process mechanisms and procedures. With the necessary safeguards and appropriate accountability mechanisms in place, our performance plan will focus on achieving organizational results, accelerating change, providing meaningful performance distinctions, and opening up ongoing dialogs between management and staff to aid in employee growth.
5. Formulate retention and mentor recruiting elements. Using proven recruiting and retention methods, we will create a workable, affordable plan of action to initiate and maintain productive recruiting and mentoring programs within the department.
6. Solidify department participation. Departmental feedback is critical to create workable, affordable procedures and attain employee "buy in". CHHS will rely heavily on department-level participation in construction of the final framework for workforce development.
7. Identify core competencies. To create an effective workforce development plan, we will examine the existing architecture of our department and identify those core competencies essential to successful operations. Our development plan will nurture the sustainment of these competencies by cultivating a talented staff guaranteed to support operations and meet CHHS short and long-term needs.

CHHS will initiate proven recruiting methods to hire new talent, map the advancement of current employees, identify and address potential future knowledge and skill needs, uphold workforce diversity, and increase employee retention. Based on thorough workforce planning analysis,

SIMM 57, Office of the State CIO

Department ITCP

Workforce Development, Workforce Planning and Succession Planning

our workforce development plan will successfully aid in the achievement of organizational goals, and meet the current and future needs of CHHS, whatever the challenge.

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)

As stated, CHHS will soon solidify a formal workforce development plan geared towards the following priorities:

- Implement mentorship and management training programs to maximize the upward mobility of current staff and enhance retention efforts.
- Aid employee growth through the development of performance process mechanisms and procedures to provide meaningful performance distinctions, accelerate positive change, and initiate employee growth.
- Potentially further support retention efforts through recruitment bonuses and employee recognition programs that acknowledge and reward excellence while promoting individual and team growth.

Performance management is vital to ensure and enhance department performance, due to the correlation between an individual's activities and departmental results. To increase department-wide performance, our workforce development plan will involve three key practices:

1. Behavior modification support: linking individual performance with department performance and goals. Each individual will be encouraged to realize the connection between their daily activities and accomplishments and their broader impact on company operations and objectives. This awareness will nurture our team mentality and identity as a cohesive unit, aiding in CHHS's health and future growth.
2. Increasing communication and accountability. As part of the plan's behavior modification support, mentoring, and retention efforts, each employee will be impressed upon the fact that, as part of a team, they have a responsibility both to reaching their goals and helping their coworkers achieve the same results. Further, performance monitoring by management will open up ongoing dialogs between supervisors and staff, supporting that same establishment of a link between individual performance and team/department performance. This collaborative atmosphere will provide a nurturing, open environment for staff at every level.
3. Performance tracking. Employee assessments will continue to be used for performance monitoring, providing a framework for constructive criticism, and enhancing individual productivity. The assessment, which will include an analysis of employee competencies, job duties, performance, and behavior, will allow the employee to "self-monitor" and address performance gaps. The result will be the enhancement of both accountability

SIMM 57, Office of the State CIO

Workforce Development, Workforce Planning and Succession Planning

and management-employee communications, creating a continuous wish for growth within the employee that directly and continuously contributes to department success.

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.

As stated, CHHS is in the process of implementing an effective workforce development plan, which will incorporate recruitment, lifelong learning, and mentorship. The plan will outline governance roles, responsibilities, and targets for leadership. The envisioned plan will be formulated for utilization by all departments.

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

Yes

No

If yes, briefly describe it.

CHHS has a strong presence as an employer within the state of California. Though IT staff retention levels are historically low within the IT industry, CHHS does not suffer from high IT turnover and personnel shortages. We are adept at coping with increases and decreases in staffing requirements, and our effective workforce planning management procedures eliminate negative program continuity impact due to employee vacancies. Nevertheless, CHHS is in the process of developing a succession plan, applicable to all departments, that ensures continued success in adequate staffing.

CHHS's succession plan will accomplish the following:

- Incorporate a workable, affordable recruitment strategy based on established best practices, and attracting potential talent via targeted outreach efforts and word of mouth.
- Implement mentorship and management training programs to increase staff promotions and help to ensure the retention of our current talent.
- Further support retention efforts through recruitment bonuses and recognition programs.

At CHHS, we stay abreast of changes in the local economy affecting employment rates, as well as any employee recruitment developments within the greater Sacramento area. We realize that the welfare of our current and newly acquired staff members is paramount to agency success. Our plan will promote communication and knowledge sharing, increase retention rates, and provide employees with stability and valuable opportunities for advancement, creating a dedicated, reliable workforce.

Workforce Development, Workforce Planning and Succession Planning

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 Information Systems Analyst | 1 | 1 | CEA/Deputy Director/CIO | 1 | 0 |
| Associate Information Systems Analyst (Spec) | 7 | 2 | Data Processing II | 2 | 2 |
| Associate Programmer Analyst (Spec) | 4 | 1 | Senior Information Systems Analyst (Supervisor) | 1 | 1 |
| Senior Information Systems Analyst (Spec) | 2 | 0 | Senior Programmer Analyst (Supervisor) | 1 | 1 |
| Senior Programmer Analyst (Spec) | 1 | 0 | | | |
| Staff Information systems Analyst (Spec) | 5 | 1 | | | |
| Staff Programmer Analyst (Spec) | 4 | 2 | | | |
| Staff Services Analyst (General) | 1 | 0 | | | |
| Systems Software Specialist II (Tec) | 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.

The Project Management Office (PMO) was created to centralize and standardize the management of projects; to enhance the successful outcome of projects; to conform to state policies on project management; and to ensure the alignment of projects with the business needs and objectives of the office. The PMO was established with a goal of increasing OSHPD's return on information technology (IT) investments, and the productivity and efficiency of resource utilization.

The PMO has responsibility for all new IT initiatives. The PMO has established a project concept process that evaluates all new project requests focusing on business goals and the business problems/opportunities the project will address. The PMO ensures that all new projects align with and provide value to the business units they are intended to support. The PMO also looks across its portfolio of projects to ensure business alignment and enterprise approach to the deployment of technology in the office.

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

Project Management, Portfolio Management and IT Governance

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

Implemented (Please describe)

The OSHPD Project Management Office (PMO) is evolving into the primary support for program and project planning, economic analysis, resource planning and project management. It provides leadership for new program and project initiatives. OSHPD has successfully implemented a project management framework for IT development projects. OSHPD has also started to implement a structured project management approach for maintenance and enhancement activities and small IT projects approved under OSHPD's delegated authority.

The OSHPD's Project Management Methodology is based on the guidelines in the Statewide Information Management Manual (SIMM) Section 200 and the Project Management Body of Knowledge (PMBOK), maintained by the Project Management Institute. The project management methodology includes the recommended project management and risk management practices of the State's Chief Information Officer (CIO) Information Technology Project Framework. Also included are industry best practices and lessons learned from prior OSHPD projects. The OSHPD project management approach incorporates the principles of these methodologies and includes the following activities:

- Maintaining a detailed integrated project schedule and identifying the critical path of activities for the phases, timeframes, responsible parties, dependencies, milestones and deliverables.
- Monitoring planned versus actual performance, schedule and budget.
- Utilizing the OSHPD standard issue and change management processes.
- Developing a risk management plan and performing frequent project risk assessments.
- Defining a structured approach for reviewing and approving deliverables.
- Adhering to the State CIO reporting requirements

The OSHPD PMO developed project management (PM) standards, templates and tools in compliance with the Office of the Chief Information Officer (OCIO) requirements for project management and the Project Management Institute's (PMI) Project Management Body of Knowledge (PMBOK). OSHPD has benefited substantially from its staff's use of this standard project management approach on a variety of IT projects including: the Medical Information Reporting for California (MIRCal); the Enterprise Geographic Information System (EGIS); the Automated License Information and Report Tracking System (ALIRTS); and the California Charitable Care Collection (4C).

- 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

Project Management, Portfolio Management and IT Governance

management coursework:

- Yes
- PMI
 - ITIL
 - Agency-specified project management coursework (identify below)
- No (But for high criticality projects the assigned project manager must have the PM experience and coursework necessary to qualify for the PMP exam.)

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)
 - MS Project
 -
- Project Performance Management (e.g., Earned Value Management)
- Business Process Analysis
- Requirements Traceability
- Procurement/Contracts Management
- Other (identify below)
 - IT Project Management Certificate Program offered at DTS
 -
 -
- None

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

In order to effectively manage change for the project, the OSHPD uses a Change Management Plan to define the process, procedures and outputs for all change-related project activities. The plan identifies the parties responsible for identifying, resolving, supporting and making project changes. The major goal of this change management strategy is to ensure changes are made using standardized methods and procedures which minimize negative impacts and maximize positive impacts to the requirements, design, development, implementation and maintenance of the system. The Change Management process provides the capability to identify, document, manage and resolve all project related changes. The plan is designed to:

- Minimize project risk,
- Provide documentation for all changes,
- Minimize disruption to the project due to rework,
- Measure project volatility,
- Provide open disclosure of changes,

Project Management, Portfolio Management and IT Governance

- Communicate changes to stakeholders,
- Maximize system/application value and
- Minimize unanticipated impacts to schedule and/or budget.

The implementation of a change management plan ensures that all changes are evaluated for potential scope, cost and schedule impacts. The process allows decision-makers the opportunity to evaluate changes in a systematic manner which becomes a component of the overall project risk management strategy. Without a method for evaluating, prioritizing and implementing changes, schedule delays, poorly defined requirements and/or cost overruns are potential results for any system development effort. Alternatively, a well-defined and properly utilized Change Management process reduces risk and increases the likelihood of project success.

The Change Control Process to be followed on a project will provide a mechanism for the review and approval of changes or additions to the scope, requirements and design of the system. This process will allow the project management team to jointly discuss, review, prioritize and approve changes to requirements and design through all phases of the project from initiation through testing, implementation and maintenance.

The Change Control Process will track and handle all proposed changes to the system software and hardware. All requested changes will be presented to a Change Control Board (CCB) for approval. This process ensures that changes are documented and applied in a controlled manner with participation from relevant project personnel from initiation through closure. The CCB will be comprised of members from both the IT and program area.

Project risks are factors that can jeopardize the successful accomplishment of project goals. OSHPD has a standard project risk management plan that complies with the California Office of the State Chief Information Officer's (CIO's) Information Technology Project Management Methodology. Risk management is the systematic process of identifying, analyzing, tracking, mitigating and responding to project risks. The OSHPD's approach is based on best practices for early detection, thorough analysis, appropriate and swift response, set escalation process as well as continuous project lifecycle monitoring.

Project Management, Portfolio Management and IT Governance

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

Yes (Please describe)

After the project has been completed, a through post-implementation evaluation (PIER) is conducted. All lessons-learned are documented in a report and used for future project planning activities.

No