

**Information Technology Capital Plan**

**Department of Alcohol & Drug Programs**

**IT Capital Plan**



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

**Department Name**

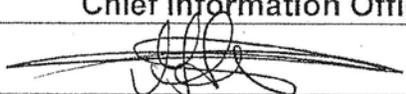
Alcohol and Drug Programs

**APPROVAL SIGNATURES**

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

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

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

Chief Information Officer		Date Signed
		8/27/08
Printed name:	Gigi Smith	
Information Security Officer		Date Signed
<i>Ra Woolley for Gary Hummel</i>		
Printed name:	Gary Hummel	
Budget Officer		Date Signed
<i>SUSAN LUSSIER Susan T. Lussier</i>		8-29-08
Printed name:	Candace Boas	
Department Director		Date Signed
<i>Susan T. Lussier for Renee Zito</i> <i>SUSAN LUSSIER FOR RENEE ZITO</i>		8-29-08
Printed name:	Renée Zito	

## DEPARTMENT IT CAPITAL PLAN

Department Name and Org Code:

Alcohol and Drug Programs – 4200

Plan Year:

2009-10 through 2013-14

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

The Department of Alcohol and Drug Programs (ADP) has identified the following three key strategic areas:

- Provide ongoing Leadership in Identifying and Addressing Emerging and Priority Issues
- Enhance Prevention, Treatment, and Recovery Systems
- Increase Knowledge, Skills, and Abilities in the Alcohol and Other Drug (AOD) Prevention and Treatment Workforce

#### *Provide Ongoing Leadership in Identifying and Addressing Emerging and Priority Issues*

The goals and strategies within this strategic area address the Department's activities to enhance its leadership at all levels of AOD and problem gambling prevention and treatment service; address emerging trends in AOD related problems and apply best practices to address them; maintain and enhance operation of the Substance Abuse and Crime Prevention Act of 2000 program services; ensuring appropriate use of funds using outcome-based planning and monitoring; and, improve Californians understanding that addiction is a chronic disease and can be successfully prevented and treated.

#### *Enhance Prevention, Treatment, and Recovery Systems*

The goals and strategies within this strategic area address the Department's activities to integrate a comprehensive system of culturally competent AOD and problem gambling prevention, treatment, and recovery services; partner with organizations serving criminal justice populations, perinatal women, youth, and persons with co-occurring disorders to provide integrated services; and, use of data to improve services and support continuous quality improvement.

#### *Increase Knowledge, Skills, and Abilities in the Alcohol and Other Drug (AOD) Prevention and Treatment Workforce*

The goals and strategies within this strategic area address the Department's activities to ensure that primary prevention providers meet specified core competencies and to increase the cultural competency abilities of the AOD workforce.

**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**

ADP is following a four year replacement cycle plan for all desktop and laptop personal computers. Additionally ADP has established a four year replacement cycle plan for network servers and related equipment. We anticipate replacing approximately 100 computers and laptops and 15 network servers if funding is available during the 2008-09 fiscal year.

**2.2. Software**

ADP uses maintenance agreements for the various software programs used by the Department. ADP is continuously evaluating and reviewing new software packages (example Vista) but has not made a decision to move forward with any new operating system software at this time. ADP is planning on upgrading and installing the new version of Microsoft SharePoint. It is anticipated the software will be installed no later than October 15, 2008. Once the software has been installed ADP staff will begin the testing and development of the various components associated with SharePoint.

**2.3. Network**

The Information Security and Privacy Program Implementation (ISPPi) project is a business opportunity that will improve risk management, create a formal information security and privacy program, support ADP business functions at the appropriate level by involving stakeholders in the security and privacy process, maintain HIPAA compliance, and provide compliance with state recommended guidelines.

To date ADP has an Executive Security Governance Committee, an automated event logging and correlation, and a HIPAA Security Policy. Within the next 9 months, ADP will have a documented Risk Management Process, and Security and Privacy awareness training.

**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 4.16 through 4.30 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
HIPAA Compliance Project	\$ 11,570,425 *	4200-9	08/20/2000
Update to SPR #1	\$13,570,715	4200-9	07/08/2008

**\*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
Licensing and Certification System	1	11/30/08	\$400,000
Provider Registry Information Management Enterprise (PRIME)	2	10/31/08	\$536,000
Substance Abuse and Crime Prevention Act and Offender Treatment Program Management Information	3	TBD	TBD

## **PROPOSED IT PROJECTS #1**

**Complete this IT Project Proposal Form (questions 4.16 through 4.30 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:**

Licensing and Certification System      2

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

Analysis, Design and Development of a Licensing and Certification Division Business Management System

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

This project supports the ADP strategic plan Goal 6: Develop and maintain a comprehensive, integrated statewide prevention, treatment and recovery system. ADP is working with the Alcohol and Other Drug (AOD) field to better increase the knowledge, skills and abilities of the treatment workforce. To that end, a comprehensive LCD business system is crucial to increase staff efficiency and ensure the data and resources to manage and improve the service delivery system. The current fragmented systems will not effectively support necessary service improvements. This effort includes performing the following:

- Business Analysis and Reengineering (In progress)
- Business Process improvement (In progress)
- System Design and Development (Proposed to achieve the following:
  - Customer satisfaction
  - Improved availability of information
  - Better integration of ADP Business processes

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

- Improve reliability of IT systems by replacing obsolete systems that IMSD no longer can support.
- Improved integration of IT systems to share information
- Improved capability to make better business decisions
- Improved businesses processes
- Improved efficiency and better utilization of staff

These improvements in the LCD business operation will permit the Division to process licensing and certification applications and renewals in a more timely manner, track fee changes, monitor program services more effectively, and investigate and respond to program and counselor complaints more efficiently. The improvements will result in broad and significant enhancements to the AOD continuum of services as follows:

- Increases public health and safety by:
  - Increasing the pool of licensed and certified AOD treatment facilities for both publicly and privately funded treatment.
  - Correcting and tracking the issues with program operations that negatively impact client treatment.
  - Correcting and tracking the issues with counselor certification and/or behavior that negatively impact client treatment.
- Supports LCD in promoting the ADP mission to “Lead efforts to reduce alcoholism, drug addiction, and problem gambling in California by developing, administering, and supporting prevention, treatment and recovery programs.” by improving the efficiency of licensing processes.
- Improves the efficient and timely completion of the licensing and certification provisions of California Health and Safety Code §11834.01 through 11834.18.
- Enhances ADP efforts to ensure safe treatment programs for youth to meet the aims of the California Child Welfare Council, and provide comprehensive regarding treatment resources to be included in the Choices Cal Care Net as required by the Olmstead Act.
- Enhances the availability of AOD treatment resources for Californians receiving services from the Departments of Social Services (CalWORKS), Rehabilitation, Aging, Developmental Services and Health Care Services, as well as the California Department of Corrections and Rehabilitation and private insurers.
- Improves access to information regarding available programs and services to respond to inquiries from the public.
- Improves the Department’s ability to manage resources to ensure efficient use of public funds by automating complex, resource intensive manual processes.
- Permits more efficient management of program applications, monitoring visits, complaint investigation, and fee payment processing.

As noted below the improvements this project will accomplish are all in alignment with the OCIO Strategic Plan. They will be accomplished using the, Substance Abuse Prevention and Treatment Block Grant, Narcotic Treatment Program Licensing Trust Fund and the Residential and Outpatient Program Licensing Fund established with licensee fees to meet the costs of licensing and certifying programs.

**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?**

January 2009

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

March 2009

**4.10. What is the duration of the proposed project?**

12 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:**

The Licensing and Certification Division Business Management System (LCD-BMS) Project will interface with and utilize the data repository delivered by the PRIME Project

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

There are several silo applications within ADP. Some of these are very obsolete and can no longer be supported. The FoxPro system the Licensing and Certification

division uses is vintage 1992 and that infrastructure is not very reliable. This poses serious threat to the ability of ADP to conduct its business.

**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
<b>General Fund</b>						
<b>Federal Fund</b>	\$100,000	\$33,000*				\$133,000
<b>Special Fund*</b>	\$200,000	\$67,000				\$267,000
<b>Total</b>	\$300,000	\$100,000				\$400,000

**\* Note: Identify the fund source and if the department is the sole user of the fund.  
Narcotic Treatment Program Licensing Trust Fund and the Residential and  
Outpatient Program Licensing Fund**

## **PROPOSED IT PROJECTS #2**

**Complete this IT Project Proposal Form (questions 4.16 though 4.30 below) for each proposed IT project that meets the definition of a reportable project as defined in the State Administrative Manual Section 4819.37:**

**4.16. Proposal name and priority ranking:**

Provider Registry Information Management Enterprise (PRIME) Project 1

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

This project is intended to replace ADP's multiple "silo" provider data systems and disparate business processes with an enterprise provider data repository and set of common business processes and rules.

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

This project supports ADP's Continuum of Services System Redesign (COSSR) and Goal #6 of ADP's Strategic Plan to "*Develop and maintain a comprehensive, integrated statewide prevention, treatment and recovery system.*" It will provide for a centralized system for accessing information about service program location, thus facilitating communication, monitoring, and reporting.

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

This project is a foundational effort to improve the AOD service delivery system through the implementation of a common set of provider information business rules and delivery of an enterprise provider data repository

Measurable objectives include:

- A common definition of a provider will be defined and used by all ADP business and service programs;
- A set of uniform standards on what provider data must be collected will be established;
- A common set of business processes and repository of information will be established and utilized;
- A formal process will be established for maintaining and reconciling the provider data;
- Staff resource savings will be realized due to less manual entry and duplicate entry of data;
- Various provider data elements currently not collected by ADP will be identified; and,
- Data will be collected and entered accurately and timely.

4.20. 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

4.21. 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.

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

- Yes
- No

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

October 2008

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

February 2009

4.25. What is the duration of the proposed project?

32 Months

4.26. Will the proposed project utilize the existing infrastructure?

- Yes
- No

If no, please explain.

4.27. 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:

**The Licensing and Certification Division Business Management System (LCD-BMS) Project will interface with and utilize the data repository delivered by the PRIME Project**

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

1. The business processes associated with maintaining separate "silo" provider data systems will continue to be inefficient.
2. Provider data may be inaccurate, inconsistent, or incomplete which could result in ineffective decisions and reporting.
3. Enterprise projects, such as LCD-BMS, that will utilize PRIME will be adversely impacted and will be forced to use current "silo" data systems instead.

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

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

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

<b>Fund Source</b>	<b>2009-10</b>	<b>2010-11</b>	<b>2011-12</b>	<b>2012-13</b>	<b>2013-14 and future</b>	<b>Total</b>
<b>General Fund</b>						
<b>Federal Fund</b>	\$471,000 (\$125,000 state staff costs and \$346,000 contractor costs)	\$65,000 (estimated M&O)				\$536,000 (does not include project expenditures in 07/08 and 08/09)
<b>Special Fund</b>						
<b>Total</b>	\$471,000	\$65,000				\$536,000

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

### **PROPOSED IT PROJECTS #3**

**Complete this IT Project Proposal Form (questions 4.16 through 4.30 below) for each proposed IT project that meets the definition of a reportable project as defined in the State Administrative Manual Section 4819.37:**

**4.31. Proposal name and priority ranking:**

Substance Abuse and Crime Prevention Act (SACPA) and Offender Treatment Program (OTP) Management Information

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

The program staff are working with a contractor to perform a business analysis to determine what the information needs are to manage the SACPA and OTP programs. Some of the necessary information may be available in existing ADP data systems. If a separate data system is necessary to collect additional utilization and performance management data, the contractor performing the business analysis will complete the FSR.

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

Goal 3, continue to implement and monitor the Substance Abuse and Crime Prevention Act of 2000 – Proposition 36.

Strategy 3.2, Improve levels of suitability, acceptance, participation, and accountability of offenders referred to treatment.

It will provide the Office of Criminal Justice Collaboration (OCJC) with the information needed to manage SACPA and the OTP document the flow of offenders through the treatment process, identify effective client management models, and report progress to the Legislature and control agencies.

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

OCJC will have the information necessary to enhance management of program planning, operation, performance, and reporting for the SACPA and OTP programs.

4.35. 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

4.36. 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.

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

- Yes
- No

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

June 2009

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

August 2009

4.40. What is the duration of the proposed project?

TBD

4.41. Will the proposed project utilize the existing infrastructure?

- Yes
- No

If no, please explain.

**4.42. 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:**

It is not definite until the current business analysis and analysis of data needs and availability in existing data systems has been completed, but it is likely at a minimum it will need to access data available in the proposed PRIME system and the data available in CalOMS.

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

OCJC will not have the data necessary to support enhancement of its current program operations to meet control agency expectations.

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

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

**4.45. 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	TBD	TBD				TBD
<b>Total</b>	TBD	TBD				TBD

Special Fund = Substance Abuse Treatment Trust Fund – Established by Proposition 36 for the purpose of administering the SACPA program.

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

Enterprise Architecture

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

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

Changes are proposed and examined by various area subject matter experts (SME). Accepted changes are incorporated into the existing IT Strategy and sent to the CIO. The CIO reviews and if approves of the changes, presents the IT Strategy to Executive Staff, serving as the IT Governance Committee, for final approval.

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

- Yes
- No

**Name:** John McCarthy

**Classification:** Software Systems Specialist II

**Telephone Number:** 916-323-9892 **E-Mail:** [jmccarthy@adp.ca.gov](mailto:jmccarthy@adp.ca.gov)

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

The Project Management Office (PMO) maintains a good working relationship with the ADP information security officer (ISO). All projects that require information security input are reviewed by the ISO.

**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?**

ADP is committed to protecting its valuable information resources through the implementation of the information security guidelines from the State Administrative Manual (section 5300), the Health Insurance Portability and Accountability Act (HIPAA), 42 Code of Federal Regulations, and other state and federal requirements. In addition, executive management takes an active role in the implementation and operation of the information security program through the operation of an Information Security Governance Committee.

**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?**

ADP has development standards and implements quality control procedures to insure these standards are followed. We also have an Enterprise Architect (EA) whose function is to insure the existing and proposed system architecture meets ADP standards. In addition the EA is responsible for keeping ADP standards up to date with best practices.

Information Security

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

- Yes
- No

**Name:** Gary Hummel, MSIA, CISSP

**Classification:** Senior Information Systems Analyst (Specialist)

**Telephone Number:** 916-327-6724 **E-Mail:** ghummel@adp.ca.gov

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

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

- Yes
- No

**If yes, briefly describe it.**

The Department is in the process of completing this plan. It will be consistent with the Health and Human Services Agency Plan which we are currently under.

**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.**

The Department is in the process of completing this plan. It will be consistent with the Health and Human Services Agency Plan which we are currently under.

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

- Yes
- No

**If yes, briefly describe it.**

The Department is in the process of completing this plan. It will be consistent with the Health and Human Services Agency Plan which we are currently under.

**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
Assistant Information Systems Analyst (Specialist)	2	0	Chief Information Officer CEA II	1	0
Associate Information Systems Analyst (Specialist)	4	3	Data Processing Manager II	1	0
Staff Information Systems Analyst (Specialist)	9	5	Senior Information Analyst (Supervisor)	3	3
Senior Information Systems Analyst (Specialist)	3	2			
Staff Programmer Analyst (Specialist)	3	2			
Senior Programmer Analyst (Specialist)	2	0			
System Software Specialist II	2	0			
Associate Governmental Program Analyst	1	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.

ADP has a well defined business strategic plan, and IMSD is in the process of updating the Agency Information Management Strategy and implementing an Enterprise Architecture that improve the alignment of business and technology.

### 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)

ADP has a well established Project Management Office (PMO) with a systematic PM framework that includes many of the elements of portfolio management. Currently, ADP is adapting the framework to provide a more systematic approach to portfolio management.

- 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.

ADP has been using MSProject Server to provide information for portfolio management. Currently, ADP is planning means to use Sharepoint in conjunction with Project Server for portfolio management.

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

- Implemented (Please describe)

ADP has established a PMO that is fully implemented and continuously improved. ADP's Project Management Lifecycle (PML) is consistent with the standards and requirements of the Department of Finance PMO Framework, Project Management Institute, and the Institute of Electrical and Electronic Engineers and adapted to support the ADP business environment. It is well accepted and utilized for business projects as well as IT

- Implementation in progress (Please describe)

## Project Management, Portfolio Management and IT Governance

- 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

**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 and Project Server.  
 –  
 –
- 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.**

The ADP PML requires an Executive Sponsor for each project. For enterprise level projects, e.g., HIPAA Implementation, two or more executives may serve as co-sponsors. In addition to the sponsor, a senior management level person may serve as Project Director (PD). The PM and PD provide regularly scheduled status reports to the sponsor(s). In addition, the PMO lead meets with the CIO on a regular basis to report status and manage PMO operations.

The ADP PML includes a well defined issue resolution, and change process that provides a system for any project team member to identify an issue and work with the PM to assess the issue and risk, propose mitigation, if necessary, and escalate to the PD and Executive Sponsor in a timely manner. The PMO Guides provide the procedures to systematically manage issue resolution and change, and PMs have standardized templates for documenting and reporting the process. In addition, each

**Project Management, Portfolio Management and IT Governance**

project is assigned a workspace using Sharepoint to store, track, access, and communicate project documents and activities.

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

**Yes (Please describe)**

The ADP PML includes procedures and templates for collecting and assessing lessons learned from all team members during the completion phase of each project. The lessons learned are reported to the Executive Sponsor during the Completion Phase milestone meeting and available to PMs for use on subsequent projects.

**No**