

# **Information Technology Capital Plan**

## **Department IT Capital Plan**



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

**Department Name**

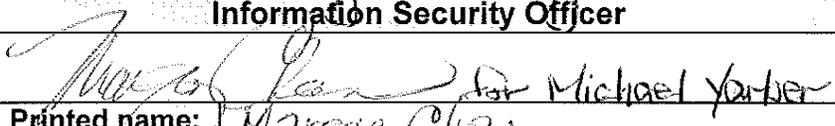
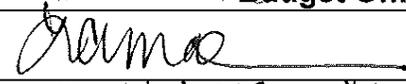
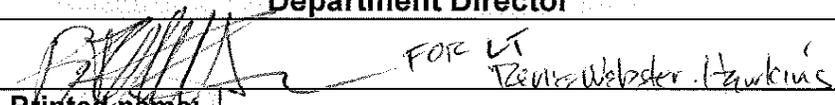
Department of Community Services and Development

**APPROVAL SIGNATURES**

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

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

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

Chief Information Officer	Date Signed
 Printed name: Evelyn McCarthy	9-5-08
Information Security Officer	Date Signed
 Printed name: Margie Clark	9/5/08
Budget Officer	Date Signed
 Printed name: Leisa Maestretti	9-6-08
Department Director	Date Signed
 Printed name: Denise Webster-Hawkins	9-5-08

## DEPARTMENT IT CAPITAL PLAN

Department Name and Org Code:

Dept. of Comm. Serv. & Dev. (4700)

Plan Year:

2009-10 through 2013-14

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

Our Department mission is: to administer and enhance energy and community services programs that result in an improved quality of life for the low-income population.

We have six goals:

- 1) Californians are aware of CSD's purpose and programs and how to access them.
- 2) CSD and its provider partners have the capacity and resources to meet the needs of Californian low-income residents.
- 3) CSD is the national leader in services delivery and fiscal and programmatic accountability.
- 4) CSD and the provider network and associations work together to strengthen and leverage their collective impact to improve the living conditions of low-income Californians.
- 5) CSD and its provider network are committed to improving the quality of life for the low-income by provide clear, correct, courteous, complete, concise and competent service to the customer.
- 6) CSD's workforce is a team of highly skilled professionals committed to the organization, which makes things happen, recognizes and seizes opportunities, adds value, influences and inspires others and continuously learns and grows.

### 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. Servers – phased lifecycle replacement with completion by FY 2013/14
- 2.1.2. Desktop computers & laptops – by 12/31/2010

#### 2.2. Software

- 2.2.1. Windows Server replacement by Spring 2011
- 2.2.2. Sybase to MS-SQL by 12/31/2010
- 2.2.3. Vista and Office upgrade by 12/31/2010
- 2.2.4. Exchange Email by 12/31/2010 or pending eServices/DTS service offering

#### 2.3. Network

- 2.3.1. Switches by 12/31/2011

### 3. Existing Approved Reportable IT Projects

Provide the following information regarding your existing approved reportable IT projects on Table 1 on the following page:

**None**

#### **4. Proposed IT Projects**

**After each proposed IT project has been documented by answering questions 4.1 through 4.15 of the attached IT Project Proposal Form, provide the following information on Table 2 on the following page:**

**None**

**Table 1-Existing Approved Reportable IT Projects Summary by Department**

Existing IT Project	Approved Project Cost*	Project Number	Implementation Date
None to report			

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

**Table 2-Proposed IT Project Summary**

Proposed IT Project	Priority Ranking	FSR Submission Date	Estimated Total Cost
None to report			

## **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: N/A
- 4.2. Description of the proposed IT project: N/A
- 4.3. Which of your department's business goals and objectives does this project support, and how? N/A
- 4.4. What are the expected business outcomes or benefits of the proposal as they relate to your organization's business goals and objectives? N/A
- 4.5. The following are from the State's IT strategic plan. Check the appropriate box(es) to identify the goals this proposal supports: N/A
- 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?  
N/A
- 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? N/A

- Yes
- No

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

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

4.10. What is the duration of the proposed project? N/A

4.11. Will the proposed project utilize the existing infrastructure? N/A

- Yes
- No

If no, please explain.

4.12. Is the proposal related to another proposal or to an existing project? N/A

- 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: N/A

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

- 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*						
<b>Total</b>						

\* 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.**

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 are directly working with the CHHS to leverage Agency Enterprise Architecture developments and 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.

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

- Yes
- No

Enterprise Architecture

Name: Mr. Mike Bonner

Classification: Staff Information Systems Analyst (Specialist)

Telephone Number: 916-341-4375 E-Mail: mbonner@csd.ca.gov

## Information Security

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

The ISO sees all project charters, project status reports and reviews key project deliverables (e.g., use cases, design documents, and testing scripts). We typically will include the ISO on the project Steering Committee to ensure an IT or non-IT security or data or intrusion detection risk have been addressed prior to development and followed during Quality Assurance testing.

### **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?**

CSD has set core values to ensure the integrity and confidentiality of all data we host. In addition, we protect the certification of federal monies to only be applied as was intended by law and regulation.

Second, our Computer Security and Confidentiality Statement require our employees to sign annually that they will:

1. Exercise due care to preserve data integrity and confidentiality
2. Treat passwords as confidential information and change them every ninety days to help maintain the security of our network and application systems
3. Take reasonable precautions to ensure the protection of CSD data from unauthorized access or destruction
4. Notify any supervisor or manager and the CSD information security officer when they may be aware of a possibly security violation

Employee's also have to attest to an understanding that unauthorized access, attempted access, or use of any computer systems and/or data of the State of California is a violation of Sec. 502 of the California Penal Code and is subject to prosecution. This is a network log-in disclaimer that all employees of our data network must accept on a daily basis.

Third, Information Technology Employee Code of Ethics provisions states all CSD IT employees shall:

1. use good judgment and apply it in all aspects of your roles and responsibilities as outlined in a duty statement.
2. show good faith, integrity and respect for whom, why, what and when accessing any CSD data stored on local PC's, databases or on the data network.
3. employ a high standard of behavior when applying your technical skills for the responsibility as defined for your position within the Department or for the best interest of the State of California.
4. be no tolerance for illegal, dishonest, improper or irresponsible use of privileged access for personal gain and/or with intent to disclose confidential, private or sensitive information that an employee or any section within the Department creates or administers.

**Information Security****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.**

We do share data with our network of service providers. We integrate language directly in the service provider's contract with CSD that each entity leadership must sign to certify compliance with our policy along with guidelines set forth by Dept. of Finance in Budget Letter 04-35. CSD has various contracts with our network of public and nonprofit, local-service providers. The contract requirements regarding information security practices. Subcontractors must comply with the same terms and conditions.

Second, CSD has contracts with such external entities as utility companies for LIHEAP-related services. These CARE and Extended CARE agreements include language to protect the security of information.

Third, an equivalent high priority is to maintain confidentiality of personal or confidential data and records. All contractors or utilities with their contract with CSD agree to provide required security to insure the confidential, physical security, and safekeeping of all data, information, files, and documents while in its possession. All sensitive data, documentation, or other information that are designated confidential by CSD and made available to the Contractor in order to carry out this Agreement will be protected by the Contractor from unauthorized use and disclosure through the observance of the same or more effective procedural requirements as used by CSD. The identification of all such confidential data and information, as well as CSD procedural requirements for protection of such data and information from unauthorized use and disclosure, shall be provided in writing to the Contractor by CSD.

 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?**

We are fortunate to have a couple of certified Microsoft professional developers that adhere to standards and best practices established by various groups. In addition, we will be adopting a Department and Agency Enterprise Architecture that will conform to the statewide architecture. In addition, our standard is to follow the standards established by using the Rational Unified Process and adhere to the Unified Modeling Language methodology.

**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:** Mr. Michael Yarber

**Classification:** Staff Management Auditor

**Telephone Number:** 916-341-4337 **E-Mail:** myarber@csd.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.**

Currently in the planning stage, CHHS's 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, 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.

## Workforce Development, Workforce Planning and Succession Planning

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

### Workforce Development, Workforce Planning and Succession Planning

**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 Do you have an informal process that includes mentoring, cross-training, and process documentation?**

**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 a 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. Or 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.

Currently we have an informal process in place utilizing IT discipline leads to mentor our less experienced staff in IT skills. We also have a process in place to support cross-training to insure we can meet our support needs within our IT shop. Additionally we maintain and update documentation on all processes and procedures for the ITS unit in a versioned repository.

**Table C-1 — IT Staffing**

<b>IT Rank and File Staff Classification</b>	<b>Number of IT Rank and File Staff in Classification</b>	<b>Number of IT Rank and File Staff in Classification Eligible to Retire in Next 5 Years</b>	<b>IT Management Staff Classification</b>	<b>Number of IT Management Staff in Classification</b>	<b>Number of IT Management Staff in Classification Eligible to Retire in Next 5 Years</b>
Assoc. ISA	3	0	Senior ISA (Supv.)	1	1
Staff ISA (Sp.)	5.5	1	DPM III	1	
Senior ISA (Sp.)	1	0			
Staff Programmer	2	0			
System Software Specialist I	1	1			
<b>TOTALS</b>	<b>12.5</b>	<b>2</b>		<b>2</b>	<b>1</b>

**C.5 By classification, how many Information Technology staff does your organization have? Refer to table C-1 – IT Staffing in C.4**

**C.6 What percentage of Rank and File IT staff identified in question C.5 above will be eligible to retire within the next five years? Refer to table C-1 – IT Staffing in C.4**

**C.7 What percentage of Management IT staff identified in question C.5 above will be eligible for retirement within the next five years? Refer to table C-1 – IT Staffing in C.4**

**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.**

We have a governance approach where any request for IT services may have to go through a formal "action request". This process includes analysis impacts, effort, etc. and these requests must be approved by a cross-representative committee of executive, programs and IT. In addition, IT has month status/update meetings with executive staff to provide regular communication about over operations to be in alignment with the Departments' business.

**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**

## Project Management, Portfolio Management and IT Governance

**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)**  
 – **Microsoft Project**  
 –
- 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.**

Our goal is to follow the practices recommended by the PMI – PMBOK guidelines for project governance in addition to the State standard on whether there is or isn't IV&V or Project Oversight by a third party depending on the overall value of the project. Change Management is a formal deliverable that the project manager/team must create a plan for each project. Issue resolution and problem escalation is a procedure that is required that the project manager creates and the oversight Steering Committee approve and report on during regular updates. In addition, another mandatory deliverable is a project risk management plan. All plans must be submit to the project Steering Committee no later than 30 days following the project kick-off.

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

- Yes (Please describe)**

First, the project manager as part of the project closing phase is required to complete a report that summarizes the overall performance of the project team and document the outcomes. Once this report is produced, the project manager is responsible to present the results to an IT project Steering Committee to identify all lesson learned and what adjustments need to be made in process, communication, project management, documentation, etc.

- No**