

Information Technology Capital Plan

Department IT Capital Plan



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

Department Name

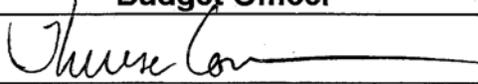
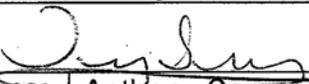
Department of Rehabilitation

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
		9-16-08
Printed name:	Jan Sneed	September 16, 2008
Information Security Officer		Date Signed
		09/16/08
Printed name:	Brently Foon	September 16, 2008
Budget Officer		Date Signed
		9/16/08
Printed name:	Theresa Correale	September 16, 2008
Department Director		Date Signed
		
Printed name:	Anthony Sauer	September 16, 2008

DEPARTMENT IT CAPITAL PLAN

Department Name and Org Code:

Department of Rehabilitation 5160

Plan Year:

2009-10 through 2013-14

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

The Department of Rehabilitation (DOR) has established the following priority business goals to successfully meet our mission and deliver on our priorities.

Employment: The Department is committed to maximizing employment opportunities for individuals with disabilities. In order to accomplish this, the following business goals have been established reflecting infrastructure, workforce development & succession planning, program and partnerships:

Employment Infrastructure: The DOR will:

1. Electronic Records System: (Priority Level 1): develop and implement a new Electronic Records System (ERS) that will improve the accessibility, effectiveness and efficiency of the Vocational Rehabilitation (VR) service program.
2. Bandwidth Improvement Project (BIP) (Priority Level 1): upgrade and increase the rate of data transfer between Central Office and field offices that will improve DOR Network response time.
3. Facility Strategic Plan (Priority Level 2): develop a five-year strategic plan to effectively utilize facility dollars to serve DOR applicants and consumers.
4. Mobile Staffing Project (Priority Level 2): assess the viability of DOR staff serving consumers in remote areas as mobile staff, with effective use of technologies.

Employment: Workforce Development & Succession Planning: The DOR will:

1. Vocational Rehabilitation Service Delivery Project (VRSD): thoroughly analyze the current vocational rehabilitation service delivery system to ensure quality and effective vocational rehabilitation services.
2. Recruitment and Retention: increase the recruitment and retention of Qualified Rehabilitation Professionals.
3. Compensation: work towards compensation for vocational rehabilitation staff that is competitive to the labor market.
4. Technical Development: enhance staff's technical knowledge.
5. Succession Planning: collaborate with Agency and CHHS sister departments to identify and prioritize succession-planning strategies and then implement those strategies that best apply to DOR.

Employment Vocational Rehabilitation Program Goals: The DOR will:

1. Improved Outcomes: increase the quality and quantity of employment outcomes.
2. Efficiencies: implement program efficiencies to provide counselors more time with their consumers.
3. Effectiveness and Accountability: increase the effectiveness and efficiency and accountability of the vocational rehabilitation service delivery system.
4. Return on Investment: increase the number of Social Security Income (SSI)/ Social Security Disability Insurance (SSDI) beneficiaries at or above Substantial Gainful Activity.
5. BEP: improve the Business Enterprise Program (BEP) outcomes.

Employment Vocational Rehabilitation Partnership Goals: The DOR will:

1. Stakeholder Collaboration: promote and enhance collaboration with local and statewide partners and stakeholders.
2. Department of Veterans Affairs (VA) Collaboration: complete the development and implementation of a Memorandum of Understanding (MOU) with the VA – Vocational Rehabilitation and Employment Program.
3. Workforce Development: increase collaborative workforce development partnerships with California’s Business to maximize employment opportunities for DOR consumers.
4. Cooperative Programs: As a result of budgeting changes, new cooperative programming will occur throughout the state to serve targeted populations.
5. Fee Structures: develop more cost efficient methodologies, establishing flat fee rates for services to maximize best value to the state for consumer services.

Independence: The Department is committed to maximizing the independence of individuals with disabilities. In order to accomplish this, the following business goals have been established reflecting infrastructure, workforce development & succession planning, program and partnerships:

Independence Infrastructure Goals: The DOR will:

1. Business Enterprise Program (BEP) Accountability: improve the accountability and success of the BEP.
2. Increased Independent Living Resources: seek opportunities to increase Independent Living Center resources including funding.

Independence Workforce Development/ Succession Planning Goals: The DOR will:

1. Process Improvement: develop efficiencies and process improvements to maximize DOR staff efficiency and vendor/ stakeholder opportunities.

Independence Program Goals: The DOR will:

1. Business Enterprise Program (BEP) Accountability: improve the accountability and success of the BEP, thereby improving its image.
2. Transition to Independent Living: pursuant to the Olmstead Decision, and in collaboration with the State Independent Living Council, the DOR will provide one-time funding for Californians with disabilities moving from institutional settings to living in their own homes and community based living.
3. Healthy Choice Options: make easily identifiable healthy food options, via the BEP vendor facilities and vending machine locations in federal and state buildings.
4. Improved opportunities: increase opportunities for under-represented communities to participate in collaboration, networking, leadership, development, education, mobilization and advocacy.
5. Business Enterprise Program (BEP) Fiscal Solvency: ensure fiscal solvency, explore additional revenue-generating opportunities and maximize the use of the BEP Trust Fund.

Independence Partnership Goals: The DOR will:

1. Collaboration: promote and enhance collaboration with local and statewide partners and stakeholders.
2. Improved Community Resources: promote the development of community resources to enhance the independence of Californians with disabilities.

Equality: The Department is committed to the ongoing systems change necessary to ensure equality for Californians with disabilities. In order to accomplish this, the following business goals have been established reflecting infrastructure, workforce development & succession planning, program and partnerships:

Equality Infrastructure Goals: The DOR will:

1. Electronic Digital Access Committee (EDAC): participate on the EDAC and provide leadership to enhance the accessibility of web pages and digital information.

Equality Workforce Development/ Succession Planning Goals: The DOR will:

1. Focused Recruitment: strategically focus recruitment, development and retention activities to ensure a culturally competent staff to meet the diverse needs of DOR applicants and consumers.

Equality Program Goals: The DOR will:

1. California Community of Practice: actively participate in the California Community of Practice for Secondary transition to work with all stakeholders who have a shared responsibility in serving transition age youth with disabilities.
2. Opportunities for Self Advocacy: effect improvement in the quality of community life for people with disabilities through systems change and self-advocacy activity.
3. The DOR will develop an improved process to determine under-represented communities of Californians with disabilities.

Equality Partnership Goals: The DOR will:

1. Improved Image: improve the DOR image with consumers, internal and external stakeholders and customers.
2. Enhanced collaboration: promote and enhance collaboration with local and statewide partners and stakeholders.
3. Cultural Competence: monitor and encourage the Independent Living Centers and other disability organizations to provide culturally competent services to under-represented communities.
4. Increased Capacity of Self-Advocacy: increase the capacity and strength of under-represented communities to create change and influence public policy on their own behalf.

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

The DOR has a 4-year replacement plan for Personal Computers (PCs), laptops, printers, and associated peripherals. Each fiscal year 25% of a selected hardware component group is replaced based on available budget.

2.2. Software

The DOR replaces or upgrades software as budget dollars are available and end-of-life support is established by the manufacturer.

2.3. Network

The DOR replaces or upgrades network components as budget dollars are available, system requirements necessitate replacement, or end-of-life support is established by the manufacturer.

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; Electronic Records System Project**
- **Approved Project Cost; \$16,090,00**
- **Project Number; and 5160-46**
- **Implementation Date; March 2011**

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: Not Applicable**
- **The priority ranking;**
- **The FSR submission date:**
- **The estimated cost:**

Table 1-Existing Approved Reportable IT Projects Summary by Department

Existing IT Project	Approved Project Cost*	Project Number	Implementation Date
Electronic Records System (ERS)	\$16,090,000	5160-46	March 2011

***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
Not Applicable			

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:
- 4.2. Description of the proposed IT project:
- 4.3. Which of your department's business goals and objectives does this project support, and how?
- 4.4. What are the expected business outcomes or benefits of the proposal as they relate to your organization's business goals and objectives?
- 4.5. The following are from the State's IT strategic plan. Check the appropriate box(es) to identify the goals this proposal supports:
- Supporting and enhancing services for Californians and businesses
 - Enhancing information and IT security
 - Reducing state operational costs (leveraging, consolidation, new technology, etc.)
 - Improving the reliability and performance of IT infrastructure
 - Enhancing human capital management
 - Supporting state and agency priorities and business direction
- 4.6. Is the proposal consistent with your organization's Enterprise Architecture?
- Yes
 - No

If no, please explain why the deviation from the organization's Enterprise Architecture is necessary.

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

- Yes
 No

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

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

4.10. What is the duration of the proposed project?

4.11. Will the proposed project utilize the existing infrastructure?

- Yes
 No

If no, please explain.

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

- Yes
 No

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

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

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

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

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

Fund Source	2009-10	2010-11	2011-12	2012-13	2013-14 and future	Total
General Fund						
Federal Fund						
Special Fund*						
Total						

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

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.

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?

The Department of Rehabilitation's Information Security Officer reviews project documents and is involved in project meetings and other project activities.

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?

To ensure information integrity, confidentiality, and availability and the protection of information assets, DOR has established:

- A risk management and information security program
- Administrative, technical, and physical safeguards.

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?

The Department of Rehabilitation has established processes, procedures and templates in place to ensure software developers and programmers follow the industry standard best practices for Web, application, and system development. The application templates were designed and approved by the Department of Technology Services and are used by other State agencies.

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

- Yes
 No

Information Security

Name: Brently Foon

Classification: Senior Information Systems Analyst (Specialist)

Telephone Number: (916) 558-5892 E-Mail: bfoon@dor.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,

Workforce Development, Workforce Planning and Succession Planning

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 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.

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.**

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
			Data Processing Manager III	1.00	1.00
			Data Processing Manager II	2.00	0
			Senior Programmer Analyst (Supv)	2.00	0
			Senior Information Systems Analyst (Spec)	1.00	0
			Data Processing Manager I	0	0
			Staff Information Systems Analyst (Supv)	0	0
			Staff Programmer Analyst (Supv)	0	0
Staff Information Systems Analyst (Spec)	2.00	1.00			
Staff Programmer Analyst (Spec)	4.50	2.00			
Systems Software Specialist I	5.00	1.00			
Associate Information Systems Analyst (Spec)	11.00	1.00			

Associate Programmer Analyst (Spec)	9.00	2.00			
Programmer I	1.00	0			
Assistant Information Systems Analyst	9.00	1.00			
Information Systems Technician	4.00	1.00			

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 strategic direction, business goals and objectives are developed by the Executive Staff, including the CIO as part of those discussions. As business concepts are put forth for discussion and direction, the Information Systems Services Branch plays a key role in review of proposed project with respect to technology and infrastructure requirements.

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)

The Project Management Office (PMO) currently utilizes the Project Management Institute's Project Management Book of Knowledge (PMBOK) Methodology. The DOR uses best practices and templates currently provided by Office of System Integration (OSI). The OSI developed the best practices using applicable industry standards, State of California rules and regulations, as well as, other organizational best practices. The OSI Best Practices website addresses project needs by providing a resource for policies, standards, guidance, and industry best practices.

- 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**

DOR recommends, but does not require project managers to be certified.

D.6. Select from the list other areas of training your organization requires of its project managers:

- Fundamental Project Management**
 - Systems Development Life Cycle**
 - Scheduling tool (identify below)**
 -
 -
 - Project Performance Management (e.g., Earned Value Management)**
 - Business Process Analysis**
 - Requirements Traceability**
 - Procurement/Contracts Management**
 - Other (identify below)**
 -
 -
- None**

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

The DOR has a process and structure in place for project-level governance to address change management, issue resolution, and problem escalation. The project governance organizational structure consists of a Project Steering Committee, Independent Project Oversight, External Stakeholders, Independent Verification and Validation, Technical Architect, and Core Business Stakeholders.

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

- Yes (Please describe)**

Lessons-learned are developed for completed projects and archived for future use. The lessons-learned are built upon the best practices contained within the Project Management Institute's PMBOK.

- No**