

# **Agricultural Labor Relations Board**

## **Information Technology Capital Plan**



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

**Department Name**  
**AGRICULTURAL LABOR RELATIONS BOARD**

**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.

<b>Chief Information Officer</b>		<b>Date Signed</b>
Signature on File		
<b>Printed name:</b>	J. Antonio Barbosa	
<b>Information Security Officer</b>		<b>Date Signed</b>
Signature on File		
<b>Printed name:</b>	Sharon Massie	
<b>Budget Officer</b>		<b>Date Signed</b>
Signature on File		
<b>Printed name:</b>	Nancy Davis	
<b>Department Director</b>		<b>Date Signed</b>
Signature on File		
<b>Printed name:</b>	Guadalupe A. Almaraz	

## DEPARTMENT IT CAPITAL PLAN

Department Name and Org Code:

Agricultural Labor Relations Board #7300

Plan Year:

2009-10 through 2013-14

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

See attached Department Strategic Plan.

**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**

Laptop computers are scheduled for replacement in Fiscal Year 2010-11.

Desktop computers are scheduled for replacement in Fiscal Year 2011-12.

Servers are scheduled for replacement in Fiscal Year 2012-13.

Routers will be replaced as network requirements arise. (Routers replaced in FY 2007-08.)

**2.2. Software**

Network software: Fiscal Year 2012-13

Desktop Applications: Fiscal Year 2011-12

Anti-virus software: Fiscal Year 2008-09.

**2.3. Network**

Network switches: 2009-10 (Visalia and Salinas)

(Headquarters' network switches replaced in FY 2007-08.)

**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; Not Applicable.
- Approved Project Cost;
- Project Number; and
- Implementation Date

**4. Proposed IT Projects**

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

- The name of each proposed IT project; Not Applicable
- The priority ranking;
- The FSR submission date; and
- The estimated cost

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

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

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

**Table 2-Proposed IT Project Summary**

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

## **PROPOSED IT PROJECTS**

Complete this IT Project Proposal Form (questions 4.1 though 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: None.
- 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*						
<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				
Service				
Technical				
Data				

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

All projects which will incur expenditures are first developed in concept by a committee of staff and management, and then presented to the full Board and General Counsel for approval. If the Board and General Counsel approve the concept, a detailed cost analysis is completed and presented 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

**Name:** \_\_\_\_\_

**Classification:** \_\_\_\_\_

**Telephone Number:** \_\_\_\_\_ **E-Mail:** \_\_\_\_\_

**Information Security**

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

Information Security Officer is included in all proposed project development efforts.

**B.2. What are your department's core business principles, policies and standards related to information integrity, confidentiality, and availability and the protection of information assets?**

The Board's related core business principles, policies and standards are contained in its Information Security Policy which details that each individual authorized access to ALRB information, systems, applications, equipment, facilities, and other information assets must follow ALRB information security policies and good business practices to protect those assets from unauthorized access, use, modification, deletion, destruction or disclosure.

**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 ALRB does not have software developers and programmer staff. Any consultants used are required to be knowledgeable of all State standards and best practices.

**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:** Sharon Massie

**Classification:** Associate Governmental Program Analyst

**Telephone Number:** (916) 653-3741

**E-Mail:** smassie@alrb.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.

**C.2. Check the appropriate box(es) to identify which workforce development tools, if any, your organization is using for IT classifications:**

- Training  
 Upward Mobility  
 Mentoring  
 Career Assessments  
 Knowledge transfer program  
 Performance Evaluations  
 Other (please list)

**C.3. Does your organization have a workforce plan for IT staff (i.e., for Rank and File)?**

- Yes  
 No

If yes, briefly describe it.

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

- Yes  
 No

If yes, briefly describe it.

**C.5. IT Staffing**

Provide the following information in table C-1 on the following page:

- The name of each IT classification currently in the organization.
- The number of staff in each IT classification in the organization.
- The number of staff in each IT classification eligible to retire in the next five years.
- The percentage of each IT classification eligible to retire in the next five years.

Table C-1 — IT Staffing

IT Rank and File Staff Classification	Number of IT Rank and File Staff in Classification	Number of IT Rank and File Staff in Classification Eligible to Retire in Next 5 Years	IT Management Staff Classification	Number of IT Management Staff in Classification	Number of IT Management Staff in Classification Eligible to Retire in Next 5 Years
N/A					

**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 ALRB has developed a case/time tracking electronic system based on Microsoft Access to provide for assessing status of cases and resource use and needs. The ALRB has also developed an inventory system which is maintained electronically from the time a Form 5 is submitted to the time an item is tagged.

**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)
- 
- 
- 
- 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.**

As a routine, a plan is developed for completion of projects including a calendar. They are then monitored by a committee of staff and management including weekly or semi-weekly meetings to assess progress, any changes needed, and identification of any issues. Project status is reported at each public Board Meeting and included in the public notice.

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

Yes (Please describe)

No

# **Agricultural Labor Relations Board Strategic Plan**

## **Mission**

The mission of the Agricultural Labor Relations Board is to administer and enforce the Agricultural Labor Relations Act in an efficient manner that gives full effect to the rights afforded to employees and employers under the Act.

## **Vision**

The Agricultural Labor Relations Board envisions the timely and orderly resolution of disputes in an effort to bring stability in agricultural labor relations.

## **Values**

The Agricultural Labor Relations Board values the effective application of the Agricultural Labor Relations Act, accountability of its resources provided by the State of California, and the commitment of its employees in carrying out its mission.

## **Initiatives**

### **Goal 1.1**

Establish an education and outreach mechanism to educate agricultural workers and employers in isolated areas about the Agricultural Labor Relations Act's broad protections (e.g. concerted activity related to heat stress, sexual harassment).

### **Goal 1.2**

Implement an Election Rapid Response to respond to inquiries from employers and labor organizations during the 7-day period leading to an election, thus, minimizing illegal practices and reducing charges filed.

### **Goal 1.3**

Triage Unfair Labor Practice cases according to complexity for more efficient processing of cases and better utilization of staff.

### **Goal 1.4**

Complete implementation of the Case Management and Tracking System by September 30, 2008.

## **Learning and Growth**

### **Goal 2.1**

Develop and participate in internship programs seeking both college and law students whose interest is in the area of labor relations and exposing these individuals to the work of the ALRB.

### **Goal 2.2**

Participate in a "job loaning" program with sister agency, Employment Development Department, to expose staff from another department to the work of the Board resulting in the development of a pool of well qualified candidates for ALRB vacant positions.

### **Goal 2.3**

The inclusion of Regional Staff in the development and implementation of Case Tracking system that will provide real time data on all aspects of ALRB field activity.

## **Customer Service**

### **Goal 3.1**

Work with the Punjabi community in Northern California on education on the rights and protections of the Act.

### **Goal 3.2**

Work with the federal Equal Employment Opportunity Commission and the California Department of Fair Employment and Housing towards educating farm worker communities regarding rights and protections under the Act towards the prevention of sexual harassment in the fields.

### **Goal 3.3**

Continue to update and expand the ALRB website capabilities, including the ability to submit forms electronically.

### **Goal 3.4**

Continue implementation of the plan to eradicate unfair labor practice case backlog that will also limit or prevent the development of any future case backlog, thus, reducing costs to the agency and litigants, and reducing any grower, union or employee dissatisfaction.

### **Goal 3.5**

Insure the placement of clerical staff in each regional office in an effort to always provide a public contact person with whom the public can interface.

## **Financial Management**

### **Goal 4.1**

Complete a follow-up Internal Control Review to determine whether the ALRB's documentation of policies and procedures and internal controls need to be expanded or updated by December 31, 2008.

### **Goal 4.2**

Electronically link the Case Management and Tracking System to the Time Tracking System so that both chronological time frames and percentage of time worked on projects can be assessed towards maximizing efficiencies and assigning resources by September 30, 2008.

### **Goal 4.3**

Complete a conversion of the Trust Fund (Backpay, makewhole, or Agricultural Employee Relief Fund monies received from employers and distributed to farm workers) to be electronically compatible with the Case Management and Tracking System to more easily track the Fund by September 30, 2008.

## **Internal Business Processes**

### **Goal 5.1**

Complete drafting and updating of written procedures for accounting, personnel, budgeting, handling of fixed assets and maintenance of our new case tracking and management system.

### **Goal 5.2**

Complete an electronic Time Tracking System that tracks employee time spent working on cases, both election and unfair labor practice charge related by September 30, 2008.

### **Goal 5.3**

Complete an update of the ALRB inventory of equipment and office furniture which electronically tracks all steps from the initial Form 5 request to final receipt and tagging of each item by September 30, 2008.

### **Goal 5.4**

Complete an update of the ALRB Unfair Labor Practice Manual reflecting new policies and procedures.