

Information Technology Capital Plan

Department IT Capital Plan



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

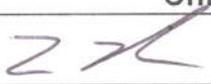
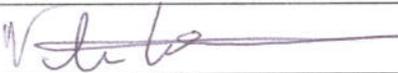
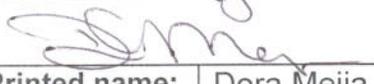
Department Name

APPROVAL SIGNATURES

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

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

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

Chief Information Officer		Date Signed
		10-1-8
Printed name:	Lee Kercher	
Information Security Officer		Date Signed
		10-2-8
Printed name:	Wendell Christopher	
for Budget Officer		Date Signed
		10-2-08
Printed name:	Dora Mejia	
Department Director		Date Signed
		10/2/08
Printed name:	Janice Lumsden	

DEPARTMENT IT CAPITAL PLAN

Department Name and Org Code:

Secretary of State 0890

Plan Year:

2009-10 through 2013-14

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

The Secretary of State's office is comprised of nearly 500 people who are dedicated to making government more transparent and accessible in the areas of elections, business, political campaigning, legislative advocacy, and historical archives.

The Secretary of State's responsibilities include:

- Serving as the state's Chief Elections Officer
- Implementing electronic filing and Internet disclosure of campaign and lobbyist financial information
- Chartering corporations
- Maintaining business filings
- Commissioning notaries public
- Operating the Safe At Home program
- Maintaining the Domestic Partners and Advanced Health Care Directives Registries
- Safeguarding the State Archives
- Serving as a trustee of the California Museum for History, Women & the Arts

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

2.2. Software

2.3. Network

3. Existing Approved Reportable IT Projects

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

- Existing IT Project;
- Approved Project Cost;
- Project Number; and
- Implementation Date

4. Proposed IT Projects

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

- The name of each proposed IT project;
- The priority ranking;
- The FSR submission date; and
- The estimated cost

Table 1-Existing Approved Reportable IT Projects Summary by Department

Existing IT Project	Approved Project Cost*	Project Number	Implementation Date
VoteCal Statewide Voter Registration System	65,568,601	0890-46	2009/2010

*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
BE Connected Project.	2	07/2009	

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:

BE Connected Project
Priority Rank 2.

4.2. Description of the proposed IT project: The BE Connected Project is being proposed or initiated to procure and oversee the development and implementation of a web-enabled information and integrated document management system, and revise the business processes that support the business programs.

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? The proposed solution will provide a consistent, reliable electronic platform that supports Business Programs Division (BPD) program functions and the full range of transactions and reporting between BPD, its customers, internal Secretary of State (SOS) Divisions and other organizations. By availing itself of information technologies that have come to maturity in the last few years and the emerging national infrastructure for electronic commerce, the SOS will bring increased efficiency and effectiveness to its own operations and also enhance the business climate throughout California.

The expected business outcomes of the proposal project related to the Business Program Division's objectives are:

- Improve Customer Service and Satisfaction
 - ⇒ Make public information easily retrievable by external customers
 - ⇒ Provide a robust search engine that can be used by internal users and external customers
 - ⇒ Permit electronic filing of all documents
 - ⇒ Permit automated response to requests for information and data
 - ⇒ Accommodate high-volume electronic filing through industry standard technologies
 - ⇒ Allow electronic processing of payment for all filings

- Fully Comply with the Legislatively Mandated Requirements
 - ⇒ Easily accommodate new legislative mandates
 - ⇒ Image documents in a manner that meets the legal requirements placed on the SOS
 - ⇒ Reduce information retrieval time

- ⇒ Store and retrieve images and related data on-line
- ⇒ Meet the State Administrative Manual (SAM) Guidelines for cashiering
- Align with the SOS Strategic Initiatives
 - ⇒
 - ⇒ Establish full system access by branch offices
 - ⇒ Provide an architecture and business process that are aligned with the SOS business strategy
 - ⇒ Allow payments to be cashiered in a timely manner
 - ⇒ Leverage current innovations in information management
- Achieve Operational Efficiencies
 - ⇒ Eliminate retention of paper documents
 - ⇒ Streamline BPD business processes
 - ⇒ Enforce business rules to ensure uniform standardization of data
 - ⇒ Consolidate similar processes between units within BPD
 - ⇒ Bridge information gaps within the SOS
 - ⇒ Decrease service delivery turnaround time
 - ⇒ Improve the quality of information and services provided
 - ⇒ Automate workload statistic reporting

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. This will be a solution-based procurement per SOS policy in order to maximize the competitiveness of existing solutions.

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

Yes

No

4.8. If this proposal is conceptually approved, what is the estimated date (mm/yyyy) the FSR will be submitted? 07/2009

4.9. What is the estimated project start date (mm/yyyy) if the FSR is approved? 07/2010

4.10. What is the duration of the proposed project? 5 years

4.11. Will the proposed project utilize the existing infrastructure?

Yes

No

If no, please explain. This will be a solution-based procurement

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:

One of the core functions of BPD is to file, maintain and make available upon request filed documents relating to various business entities, including corporations, limited partnerships, limited liability companies, general partnerships and limited liability partnerships. This program provides services that support businesses and economic interests by filing statutorily required documents for business entities and maintaining data and document repositories that are vital to California's economy.

The business case for this proposal can be summarized as follows:

- The existing mainframe systems lack needed functionality and there are insufficient resources within the Department and the consulting community to enhance these legacy systems.
- The manual systems are overwhelmed and can only meet increasing workload with the addition of a significant number of new positions.
- The existing automated processes currently in use in BPD do not provide the functionality necessary to meet the needs of its customers.
- The existing processes are inefficient and labor intensive.

The BE Connected Project is anticipated to address these inefficiencies and improve customer service. California economy will suffer as a result of these deficiencies if this proposed project is not approved and completed within the timeframe identified. The SOS will not be able to meet all mandates and customer demands if existing processes and databases are not replaced.

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

- Augmentation needed
- Redirection of existing funds
- Other (describe): To be determined after the FSR is completed and costs estimated.

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. Cost will be determined during the process of developing the FSR. This will be funded through Business Fees Fund as the SOS is the sole user of this 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. N/A

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 SOS ISO acts as an independent and objective moderator, sets and verifies conformance with security policy, identifies potential security risks and approves mitigation strategies at the early development stage and throughout the cycle.

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? Custodianship of private and confidential information is a core business function of the SOS. The SOS places the highest priority on the protection of the information assets entrusted to this office.

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?

In order for SOS to ensure that software developers and programmers follow standards and best practices for Web, application and system development the software developers and programmers work closely with our system architect. The system architect is responsible for the overall technical direction and oversight of the Secretary of State's information technology projects. The system architect is the team lead on new information systems projects and enhancements to existing systems. The system architect is also:

- Provides a single point of technical vision for the project.
- Ensures the overall integrity of the system architecture, including the information, application, integration and technical architectures.
- Defines the technical direction of the project, including key business drivers, technical driver, standard, technical objectives and constraints.
- Works with application end-users to determine and document functional requirements for application software, and translates those requirements into system models using formal analytical methods.
- Oversees the definition of transition steps (migration strategy) from the current environment to the new system.
- Oversees integration testing of new systems prior to their production release.
- Ensures delivery of the system architecture specification.
- Manages the technical expectations of customer staff, and provides mentoring for both ITD and program area personnel.

Information Security

The management team and, where appropriate, the ISO, conduct reviews at each stage of the development process. This includes the beginning of the design phase before code is written, the end of each software developmental phase throughout the life cycle, and, before the application goes live.

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: Wendell Christopher

Classification: Staff Information System Analyst

Telephone Number: 653- 5213 **E-Mail:** wchristopher@sos.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.

Cross training assignments and accelerated management development training are made available for senior managers to provide succession opportunities for the CIO position.

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
			CEA II	1	1
			DPM III	2	0
			SR. PA (SUP)	2	0
			SR. ISA (SUP)	1	1
SYS. SOFTWARE SPEC. III (TECH)	2	1			
SYS. SOFTWARE SPEC. II (TECH)	3	0			
SYS. SOFTWARE SPEC. I (TECH)	1	0			
SR. ISA (SPEC)	2	1			
STAFF ISA (SPEC)	3	2			
STAFF PA (SPEC.)	7	2			
ASSOC. ISA (SPEC)	8	5			

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.

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. N/A

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

- Implemented (Please describe)
We follow the Project Management Body of Knowledge (PMBOK).
- 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

SOS follows the guidance of section 2 and 3 of the SIMM Information Technology Project Framework to determine project classification for project management practices and oversight. The four primary factors that SOS uses to determine appropriate training and experience that a project manager must have are project size, project manager experience, team experience and project type.

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

Note: SOS typically obtains a contracted a project manager for our larger projects.

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

The SOS Project Management Methodology aligns with project management methodologies consistent with the State Information Management Manual (SIMM) guidelines and the PMI Project Management Methodologies stated in the PMBOK.

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

Yes (Please describe)

The project team identifies and documents lessons learned during each phase of the project lifecycle. This information is used to improve processes for future projects. SOS uses a file-share system as a central repository. SOS staff uses lessons learned for general information, work planning or trend analysis.

No

Project Management, Portfolio Management and IT Governance