State of California

Office of the State Chief Information Officer

Information Technology Capital Plan

Preparation Instructions

Revised April 2009

(SIMM Section 57)

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I. Overview

These instructions have been prepared to assist State of California Agencies[1] in completing their July 2009 Five Year Information Technology Capital Plan (July 2009 Plans). The Office of the State Chief Information Officer (OCIO), the Department of Finance (Finance), and the Office of Information Security and Privacy Protection (OISPP) will utilize this information to:

- Ensure that IT investments drive program efficiency and effectiveness and improve the quality of government services for Californians.
- Facilitate improvements in internal business processes and financial management through IT investments.
- Link IT investments to state and agency priorities and business direction.
- Promote the alignment of IT investments with the Agency's enterprise architecture (Technology, Standards, and Infrastructure), and the state's *January 15, 2009, California Strategic Plan* (2009 Strategic Plan).
- Enhance and promote enterprise data sharing through IT investments while ensuring the information security (availability, integrity, and confidentiality) of data systems.
- Facilitate consideration and conceptual approval to pursue selected IT investments.

Ultimately, the July 2009 Plans will serve as the basis for the January 2010 Statewide Information Technology Capital Plan (the 2010 Statewide Plan). The 2010 Statewide Plan will represent the Administration's plan for strategic IT investments and will be supported by the Governor's Budget, the state's Information Technology Strategic Plan, Budget Change Proposals, and Feasibility Study Reports. The requirements to prepare Agency and department IT Capital Plans are described in the State Administrative Manual (SAM) Section 4904.

Development of the Agency and department IT Capital Plans that were submitted in October 2008 (the October 2008 Plans) initiated a coordinated statewide process for planning state government IT investments, which ultimately resulted in the release of the Statewide IT Capital Plan in January 2009 (the 2009 Statewide Plan). Along with information on OCIO-approved projects and requests for IT Project Concept Proposals, the October 2008 Plans also included a survey of Agency and departmental efforts regarding various technology management areas. These included Enterprise Architecture, Information Security, Workforce issues and Project Management practices. The information gathered in the October 2008 Plans is being used to inform state policy regarding these topics.

Preparation of the July 2009 Plans includes a similar focus. Accordingly, Agencies and departments should include information about alignment with the 2009 Strategic Plan, and the Business and Technical Reference Model classifications of their IT Project Proposals being submitted to the OCIO for conceptual approval. The same information (2009 Strategic Plan alignment and Business and Technical Reference Model classifications) should also be included for IT projects approved by the OCIO[2] pursuant to the State Administrative Manual (SAM) Section 4819.37, as well as IT projects delegated to Agencies and departments for approval pursuant to SAM Section 4819.39. Finally, Agencies and departments should identify information security efforts and technology consolidation initiatives. Development of the July 2009 Plans utilizes Excel worksheets to facilitate the collection and analysis of the information.

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[1] When capitalized, the term "Agency" refers to one of the state's super agencies such as the State and Consumer Services Agency or the Health and Human Services Agency. When used in lower case, the term "agency" refers to any office, department, board, bureau, commission or other organizational entity within state government. Within this SIMM Section, "agency" and "department" are used interchangeably.

[2] Applies to IT project approvals provided by predecessor entities such as the Department of Finance.

II. Content of the July 2009 Plan

The July 2009 Plan is divided into four segments plus supplemental components to facilitate preparation and submittal. Workbooks to complete the four Segments as well as the Supplemental Reference Material and Transmittal can be downloaded from SIMM Section 57 of the OCIO's Website at: http://www.cio.ca.gov/Government/IT_Policy/SIMM.html.

A. **Segment One, Proposed IT Project Concepts –** Provides updated information concerning Project Concept Proposals that were included in the January 2009 Statewide Plan (i.e., Existing Concepts), along with information regarding new Project Concept Proposals (i.e., New Concepts).

   Segment One reporting consists of two elements: (1) An Excel workbook summarizing Existing and New Concepts; and (2) An Excel workbook using the CA-PMM IT Project Concept Toolkit for each Existing and New Concept included in the summary workbook.

B. **Segment Two, Approved IT Projects –** Provides information concerning IT Projects approved by the OCIO pursuant to SAM Section 4819.37, as well as IT projects delegated to Agencies and departments for approval pursuant to SAM Section 4819.39.

   Segment Two information consists of an Excel workbook summarizing both OCIO-approved IT projects and IT projects delegated to agencies. Include all projects that are active between January 1, 2009 through June 30, 2015, and beyond as applicable.

C. **Segment Three, Consolidation –** Establishes a vision and goal(s) for the consolidation effort. Segment Three consists of an Excel-based Consolidation Workbook. Specific instructions are included in the Consolidation Plan Reference Manual. The Consolidation Reference Manual and the Consolidation Workbook provide a scalable framework that presents tools to move Agencies and departments through the consolidation methodology. The workbooks will be available later in April.

D. **Segment Four, Security –** Focuses on information security efforts and initiatives. Segment Four consists of an Excel workbook with questions regarding security practices. The workbook includes the completion instructions, and will be available later in April.

E. **Supplemental Reference Material and Transmittals:**

   i) Supplemental Reference Material consisting of:

      - Strategic Plan Concepts and Strategies from the January 2009 California IT Strategic Plan.
      - The Business Reference Model (BRM) – The BRM is a function-driven framework for describing the business operations of the state government independent of the agencies that performs them. The BRM provides an organized, hierarchical construct for describing the day-to-day business operations.
      - The Technical Reference Model (TRM) – The TRM is a framework used to identify and organize the standards, specifications, and technologies that support and enable the delivery of the state's business services and capabilities.
      - The Service Reference Model (SRM) – The SRM is a business-driven functional framework that classifies Service Components with respect to how they support business and/or performance objectives. The SRM is structured across horizontal service areas that, independent of the business functions, can provide

a leverageable foundation for reuse of applications, application capabilities, components, and business services.

ii) The Agency Executive Approval Transmittal form.

iii) The Department Executive Approval Transmittal form.

III. Preparation Process

The process for completing and submitting the July 2009 Plans is different depending on whether the Plans are prepared by an Agency and their constituent-departments or by entities that do not report to an Agency Secretary such as Constitutional Offices, the California State Library, or the Student Aid Commission.

Regardless of the entity preparing the plan, during the preparation process, look for common or similar activities proposed or underway, identifying opportunities to leverage proposed activities across your organization. In addition, review your organization's strategic plan and enterprise architecture prior to developing your July 2009 Plan and identify those IT project proposals that best support the organization's strategic plan and enterprise architecture.

A. Agencies and Constituent-Departments

i) Agencies will provide direction to their constituent-departments regarding completion instructions and timelines for the submission of the department information to their Agency.

ii) Agencies will coordinate discussion among departments to ensure there is consistency in the activities surrounding the preparation of the July 2009 Plans. Agencies will also look for opportunities to eliminate overlap or duplication of projects or other automation efforts within their Agency, across Agencies, and with other entities to reflect a consolidated approach and an enterprise-wide view.

Agencies should allow sufficient time to complete this process in order to meet the required submission date to the OCIO.

iii) Constituent-departments will prepare the Segments One, Two and Four information and submit them as a package to their Agency, and complete a Project Concept Toolkit for each concept proposal submitted to the Agency. Segment Three information shall be completed in accordance with the direction provided by Agencies to their constituent-departments.

iv) Agencies will review and consolidate their constituent-departments' Concepts onto the Segment One Agency Summary worksheet, and determine the priority of each Concept.

Agencies will also review and consolidate their constituent-department's IT Project information onto the Segment Two Agency Summary worksheet. Agencies will also complete the information for Segment Three and Segment Four.

v) Agencies will submit their July 2009 Plan package to the OCIO in accordance with the submittal instructions in Section V below.

B. Constitutional Offices and Non-Affiliated Departments

i) Departments will discuss the July 2009 Plan Workbooks and completion instructions with appropriate management and staff. Departments will coordinate with management and staff to ensure there is consistency in the activities surrounding the preparation of the July 2009 Plans. Departments will also look for opportunities to eliminate any overlap or duplication of projects or other automation efforts to reflect a consolidated approach and an enterprise-wide view.

ii) Departments should look for common or similar activities proposed or underway, identifying opportunities to leverage proposed activities across the department, and with Agencies and with other entities.

iii) Departments will review their Concepts, and identify which ones to include in the Segment One, "Summary of Approved IT Project Concept Proposals" workbook. Departments will also determine the priority of each proposed Concept, and complete a Project Concept Toolkit for each Concept included in their July 2009 Plan.

iv) Departments will also complete the information for Segment Two, Segment Three, and Segment Four.

v) Departments will submit the July 2009 Plan package to the OCIO in accordance with the submittal instructions in Section V below.

IV. Instructions for Completing the July 2009 ITCP Workbooks and Transmittals

In addition to the process previously described, the following instructions are to be used in completing the workbooks and forms that comprise the July 2009 IT Capital Plans submitted to the OCIO.

A. Segment One, Proposed IT Project Concepts

The Segment One workbooks for Agencies include a designated worksheet tab for each constituent-department to enter the IT project information approved by their Agency. A similar worksheet tab is designated for the Agency to enter the summary information. Please note that the worksheet layouts within the Segment One Workbooks are identical to facilitate copying and pasting constituent-department information onto the Agency summary worksheet.

Blank templates are available for entities that were not included in the January 2009 Statewide Plan. For constituent-departments, a blank template worksheet tab is located within each Agency workbook. For Constitutional Offices and non-affiliated departments, a blank template workbook is located within SIMM 57.

i) Summary of IT Project Concepts

Constituent-departments will list and prioritize all proposed IT projects on the Worksheet designated for their department. Agencies will review and consolidate their constituent-department's Concepts onto the designated Agency Summary worksheet, and determine the overall priority of each Concept included in the Agency's July 2009 Plan. Each Concept must have its own priority ranking number; different proposals may not share the same priority number.

Information concerning Existing Concepts that were included in the January 2009 Statewide Plan has been listed in the top row(s) Columns A through D of the Workbooks for each entity. Agencies and departments must complete the information in the remaining columns E through W. For New Concepts, enter the information in the rows below the pre-filled Concept information beginning with Column A.

Please note that for New Concepts, 20 rows have been pre-formatted in each worksheet. Please copy the formatting if additional rows are needed to accommodate more than 20 New Concept entries. In addition, some of the cells include drop-down boxes (<u>indicated by underlined text in the instruction below</u>). Column widths may be increased to facilitate viewing while editing.

- **Column A, Department Organizational Code –** Enter the department Organization code in this column.
- **Column B, Department Acronym –** Enter the department acronym in this column.
- **Column C, IT Project Concept Name –** Enter the name of the proposed Concept in this column.
- **Column D, Included in 10/2008 ITCP? –** <u>Select from the following choices from the drop-down menu arrow within the cell</u>: Click "Y" if the Concept was included in ITCP submitted to the OCIO in October 2008, otherwise, click "N."

- **Column E, Update Status:**
    - **For Existing Concepts that were included in the January 2009 Statewide ITCP**, select from the following choices from the drop-down menu arrow within the cell:
        - **FSR Submitted –** Select this item if a Feasibility Study Report for the IT project proposal has been submitted to the OCIO since the publication of the January 2009 Statewide ITCP.
        - **Concept Updated –** Select this item if an updated Project Concept Toolkit has been included with the July 2009 Plan.
        - **Withdrawn –** Select this item if the IT project proposal has been withdrawn since the publication of the January 2009 Statewide ITCP.
    - **For New Concepts that are included in the July 2009 Plan**, select the default entry "Concept Included" from the drop-down menu within the cell.
- **Column F, Priority Ranking –** Enter the priority ranking for each Concept.

  The priority ranking will include both Existing and New Concepts. The top priority proposed IT project will be identified as priority ranking 1, with the next highest item ranked as priority 2, and so on.

  Constituent-departments will list and prioritize all proposed IT projects on the Worksheet designated for their department. Agencies will review and consolidate their constituent-department's Concepts onto the designated Agency Summary worksheet, and determine the overall priority of each Concept included in the Agency's July 2009 Plan. As previously stated, each IT project proposal must have its own priority ranking number; different proposals may not share the same priority number.
- **Column G, Planned Fiscal Year for FSR Submission –** Select from the following choices from the drop-down menu arrow within the cell:
    - If an FSR has been submitted to the OCIO since the publication of the January 2009 Statewide Plan, click "N/A."[3]
    - If the submission date is unknown, click "TBD."
    - For the remaining Concepts, click the Fiscal Year when the FSR is planned to be submitted to the OCIO.
- **Column H, Estimated Total Cost (x $1,000) –** Enter the estimated total cost in thousands (x $1,000).

  The amount entered in Column H should correspond to the total estimated cost from the "Estimating Summary" portion of the Project Concept Toolkit divided by $1,000 then rounded to the nearest whole number. For example, if the total amount shown in the Project Concept Toolkit equals $1,256,947, enter $1,257 in Column H.

[3] This applies to FSRs submitted to the OCIO on July 17, 2009, which is also the date that Agency and department IT Capital Plans are due to the OCIO.

- **Column I, Consolidation-Related –** Select from the following choices from the drop-down menu arrow within the cell:
    - Click "Y-Core" if the Concept is part of a Segment Three consolidation effort within your organization that has been identified as a Core Category as described in the Consolidation Plan Reference Manual.
    - Click "Y-Desired" if the Concept is part of a Segment Three consolidation effort within your organization that has been identified as a Desired Category as described in the Consolidation Plan Reference Manual.
    - Click "Y-Option" if the Concept is part of a Segment Three consolidation effort within your organization that has been identified as an Option Category as described in the Consolidation Plan Reference Manual.
    - Click Y-TBD" if the Concept is part of a Segment Three consolidation effort within your organization but the Category has not yet been identified.
    - Click "N" if the Concept is not part of a Segment Three consolidation effort within your organization.
- **Column J, through Column O, SPC 1 through SPC 6 –** SPC refers to the Strategic Plan Concepts included in the *January 15, 2009, California Information Technology Strategic Plan.* Strategic Plan Concepts and the associated Strategies are listed in the Supplemental Reference Material previously discussed.

  Identify the Strategic Plan Concept that best corresponds to the IT project proposal, and then identify the Strategy that the IT project proposal will address. Enter the number of the Strategy in the appropriate SPC column. If more than one Strategy is identified, separate the number of each Strategy with a comma. You may also select more than one Strategic Plan Concept if necessary. For example, if the IT project proposal will address Strategic Plan Concept 1 Strategies 1 and 3, and Strategic Plan Concept 5 Strategies 2 and 4, enter 1,3 in Column J, SPC 1, and 2,4 in Column N, SPC 5.
- **Column P, BRM –** BRM refers to the Enterprise Architecture Business Reference Model associated with the Concept.

  Identify the BRM Element Name and Description that best describes the business operation that the Concept will support. BRM information is listed in the Supplemental Reference Material previously discussed. Select the BRM Element ID Number from the drop-down menu within the cell.
- **Column Q, TRM Primary –** TRM refers to the Enterprise Architecture Technical Reference Model associated with the Concept.

  Identify the TRM Element Name and Description that best describes the technology that will be employed in the Concept. TRM information is listed in the Supplemental Reference Material previously discussed. Select the TRM Element ID Number from the drop-down menu within the cell.
- **Columns R and S, TRM 1 and 2 Additional –** If there are one or more additional TRM Elements that the Concept will utilize, select the TRM Element ID Number from the drop-down menu within the cell(s).

- **Column T, SRM Primary –** SRM refers to the Enterprise Architecture Service Reference Model associated with the Concept.

  Identify the SRM Element Name and Description that best describes the technology that will be employed in the Concept. SRM information is listed in the Supplemental Reference Material previously discussed. Select the SRM Element ID Number from the drop-down menu within the cell.

- **Columns U and V, SRM 1 and 2 Additional –** If there are one or more additional SRM Elements that the Concept will utilize, select the SRM Element ID Number from the drop-down menu within the cell(s).

ii) CA-PMM IT Project Concept Toolkits

Departments must provide a CA-PMM IT Project Concept Toolkit for each Concept included in their July 2009 Plan. The Project Concept Toolkit will be used to document the need, benefits, alternatives, approach and estimated size of proposed IT projects. Departments must complete the Concept Statement and Size Estimating sections of the Project Concept Toolkit to provide this required information.

Note: Agencies (i.e., "state super agencies") that are considering IT project proposals within their Agency (i.e., not through one of their constituent-departments), or that cross multiple Agencies also must complete the Project Concept Toolkit for each Concept.

The Project Concept Toolkit completion instructions are included in the "Concept Stage" portion of the CA-PMM Reference Manual, located within the Statewide Information Management Manual (SIMM) Section 17A.

To facilitate matching the completed Project Concept Toolkits with the Concept information included in the Summary workbook, include the Concept name in the file name of each completed Project Concept Toolkit.

B. Segment Two, Approved IT Projects

Segment Two workbooks have been prepared for each Agency, Constitutional Office, and Non-Affiliated Department pre-populated with OCIO-approved project information for IT projects that are active between January 1, 2009 through June 30, 2015, and beyond as applicable.

The workbooks for Agencies also include a designated worksheet tab for each constituent-department to enter the Approved IT Project information. A similar worksheet tab is designated for the Agency to enter the summary information. Please note that the worksheet layouts within the Segment Two Workbooks are identical to facilitate copying and pasting constituent-department information onto the Agency summary worksheet.

Blank templates are available for entities that were not included in the January 2009 Statewide Plan. For constituent-departments, a blank template worksheet tab is located within each Agency workbook. For Constitutional Offices and non-affiliated departments, a blank template workbook is located within SIMM 57.

Information concerning OCIO-Approved projects has been listed in the top row(s) Columns A through D of the Workbooks for each entity. Agencies and departments must complete the information in the remaining columns E through W. For Delegated IT Projects, enter the information in the rows below the pre-filled OCIO-Approved Project information beginning with Column A.

Please note that for Delegated IT Projects, 20 rows have been pre-formatted within each worksheet. Please copy the formatting if additional rows are needed to accommodate more than 20 Delegated IT Project entries. In addition, some of the cells include drop-down boxes (<u>indicated by underlined text in the instruction below</u>). Column widths may be increased to facilitate viewing while editing.

- **Column A, Department Organizational Code –** Enter the department Organization code in this column.
- **Column B, Department Acronym –** Enter the department acronym in this column.
- **Column C, IT Project Number –** Enter the IT Project Number assigned by the Agency or department in this column.
- **Column D, IT Project Name –** Enter the name of the IT Project in this column.
- **Column E, Project Start –** <u>Select the applicable Fiscal Year period when the project started or is expected to start from the drop-down menu arrow within the cell</u>.
- **Column F, Implementation FY –** <u>Select the Fiscal Year period when implementation is anticipated to be completed from the drop-down menu arrow within the cell</u>:
- **Column G, Total Cost (x $1,000) –** Enter the total project cost in thousands (x $1,000) rounded to the nearest whole number. For example, if the project cost equals $1,256,947, enter $1,257 in Column G.
- **Column H, Consolidation-Related –** <u>Select from the following choices from the drop-down menu arrow within the cell</u>:
    - Click “Y-Core” if the IT Project is part of a Segment Three consolidation effort within your organization that has been identified as a Core Category as described in the Consolidation Plan Reference Manual.
    - Click “Y-Desired” if the IT Project is part of a Segment Three consolidation effort within your organization that has been identified as a Desired Category as described in the Consolidation Plan Reference Manual.
    - Click “Y-Option” if the IT Project is part of a Segment Three consolidation effort within your organization that has been identified as an Option Category as described in the Consolidation Plan Reference Manual.
    - Click Y-TBD” if the IT Project is part of a Segment Three consolidation effort within your organization but the Category has not yet been identified.
    - Click “N” if the IT Project is not part of a Segment Three consolidation effort within your organization.
- **Column I, through Column N, SPC 1 through SPC 6 –** SPC refers to the Strategic Plan Concepts included in the *January 15, 2009, California Information Technology Strategic Plan.* Strategic Plan Concepts and the associated Strategies are listed in the Supplemental Component information previously discussed.

Identify the Strategic Plan Concept that best corresponds to the IT Project, and then identify the Strategy that the IT project proposal will address. Enter the number of the Strategy in the appropriate SPC column. If more than one Strategy is identified, separate the number of each Strategy with a comma. For example, if the IT project proposal will address Strategic Plan Concept 1 Strategies 1 and 3, and Strategic Plan Concept 5 Strategies 2 and 4, enter 1,3 in Column J, SPC 1, and 2,4 in Column N, SPC 5.

- **Column O, BRM –** BRM refers to the Business Reference Model associated with the IT Project.

  Identify the BRM Element Name and Description that best describes the business operation that the IT Project supports. BRM information is listed in the Supplemental Reference Material previously discussed. Select the BRM Element ID Number from the drop-down menu within the cell.

- **Column P, TRM Primary –** TRM refers to the Technical Reference Model associated with the IT Project.

  Identify the TRM Element Name and Description that best describes the technology that the IT Project supports. TRM information is listed in the Supplemental Reference Material previously discussed. Select the TRM Element ID Number from the drop-down menu within the cell.

- **Columns Q and R, TRM 1 and 2 Additional –** If there are one or more additional TRM Elements that the IT Project utilizes, select the TRM Element ID Number from the drop-down menu within the cell(s).

- **Column S, SRM Primary –** SRM refers to the Service Reference Model associated with the IT Project.

  Identify the SRM Element Name and Description that best describes the technology that the IT Project supports. SRM information is listed in the Supplemental Reference Material previously discussed. Select the SRM Element ID Number from the drop-down menu within the cell.

- **Columns T and U, SRM 1 and 2 Additional –** If there are one or more additional SRM Elements that the IT Project utilizes, select the SRM Element ID Number from the drop-down menu within the cell(s).

C. Segment Three, Consolidation

Refer to the Consolidation Plan Reference Manual for instructions regarding the completion of the Workbook for this Segment.

D. Segment Four, Security

Refer to the completion instructions included in the workbook to be released in mid-April.

E. Supplemental Components

i) Agency Executive Approval Transmittal – Enter the Agency Name and complete the signature block information for the Agency's Information Officer and Agency Secretary in the appropriate areas of the transmittal. The transmittal must be signed prior to submission to the OCIO.

ii) Department Executive Approval Transmittal – Enter the Department Name and complete the signature block information for the Department's Chief Information

Officer, Information Security Officer, Budget Officer, and Department Director in the appropriate areas of the transmittal. The transmittal must be signed prior to submission to the OCIO.

V. Submission to the OCIO

Agencies, Constitutional Offices, and non-affiliated departments should submit completed packages to the OCIO no later than July 17, 2009. Submission of the July 2009 Plans shall follow the same process used to submit the October 2008 plans. Specific instructions regarding submission via SecureTransport will be issued separately. The OCIO will forward the July 2009 plans to Finance.

July 2009 Plans should be packaged as follows:

- A main folder with the name of the Agency, Constitutional Office, or Non-Affiliated Department.
    - A sub-folder labeled Segment One. Within the Segment One sub-folder:
        - The Summary workbook of IT Project Concept Proposals.
        - A completed CA-PMM IT Project Concept Toolkit for each Concept included in the Summary Workbook.

          As previously stated, to facilitate matching the completed Project Concept Toolkit with the Concept information included in the Summary workbook, include the Project Concept name in the file name of each completed Project Concept Toolkit.
    - A sub-folder labeled Segment Two. Within the Segment Two sub-folder:
        - The Summary workbook of OCIO-Approved and Delegated IT Projects.
    - A sub-folder labeled Segment Three. Within the Segment Three sub-folder:
        - The completed Consolidation workbook
    - A sub-folder labeled Segment Four. Within the Segment Four sub-folder:
        - The completed IT Security workbooks.
    - A sub-folder labeled Transmittal Documents. Within the Transmittal Documents sub-folder, include the signed Agency and Department Transmittal documents.

      For Agency submittals, the transmittal documents will consist of the signed Agency July 2009 ITCP Transmittal and the signed Department July 2009 ITCP Transmittals for each constituent-department within the Agency.

      For Constitutional Offices and Non-Affiliated Departments, the transmittal document will consist of the signed Department July 2009 Plan ITCP Transmittal.