

IT POLICY LETTER

	NUMBER: ITPL 10-11
SUBJECT: INFORMATION TECHNOLOGY CAPITAL PLAN INSTRUCTIONS, ECONOMIC ANALYSIS WORKSHEET REVISIONS, AND REPORTING CLARIFICATIONS EMPHASIS: Five Year Planning and Funding Source Identification for Information Technology Projects	DATE ISSUED: AUGUST 26, 2010 EXPIRES: Until Rescinded
REFERENCES: Government Code Sections 11545 State Administrative Manual Sections 4819.3, 4819.31.4, 4819.32.3, 4819.37, 4819.39, and 4904 Information Technology Policy Letters 09-06, 10-07, 10-08, and 10-10 Management Memo 08-07 Statewide Information Management Manual Sections 05A, 20, 30 and 57	ISSUING AGENCY: OFFICE OF THE STATE CHIEF INFORMATION OFFICER

Note: Agency Chief Information Officers (Agency CIO) and Department CIOs are requested to forward a copy of this Information Technology Policy Letter (ITPL) to your Project Management Office and Information Technology (IT) Project Managers.

DISTRIBUTION

Agency Secretaries
 Agency Chief Information Officers
 Department Directors
 Department Chief Information Officers

PURPOSE

The purpose of this Policy Letter is to:

- Provide information concerning the preparation and submittal of Agency and Department IT Capital Plans (Individual Plans) for 2010-11 to the Office of the State Chief Information Officer (OCIO).
- Establish a standardized reporting schedule for the submittal of Individual Plans for 2010 and beyond.
- Remind state agencies¹ of the reporting requirements for certain categories of telecommunications equipment used exclusively for voice and video communications.
- Announce the addition of Funding Source reporting to the Funding Plan portion of the Economic Analysis Workbook (EAW).
- Announce clarifications regarding:
 - The submittal of Microsoft Project Schedules for Low Criticality/Risk Projects.

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 ITPL, “agency” and “department” are used interchangeably.

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- The submittal of Actual Acquisition Costs with the quarterly Information Technology Acquisition Plans (ITAP).
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BACKGROUND

Within the authority of Government Code Section 11545, the OCIO has responsibility and authority for the establishment and enforcement of state information technology in California Government. This includes establishing and enforcing state IT policies regarding the approval of IT projects as stated in the State Administrative Manual (SAM) Section 4819.3.

On June 30, 2008, the OCIO released Management Memo (MM) 08-07, which added the IT Five Year Capital Planning requirements to the SAM Sections 4819.31 and 4904.

The Individual 2010 Plans submitted by Agencies and departments will be used to develop the 2011 Statewide IT Capital Plan (2011 Statewide Plan) to present a five-year view of the state's technology projects and initiatives.

EAWs document and compare the costs and financial benefits of the current method of operation with feasible alternatives.

POLICY

The IT Capital Planning requirements included in SAM Section 4819.31 remain unchanged. In addition, while SAM Section 4819.32 discusses exclusions to Section 4819.3, agencies are reminded of the following exceptions regarding telecommunications equipment as stated in 4819.32.3:

Acquisition of telecommunications equipment used exclusively for voice or video communications are excluded from SAM Section 4819.3. This exclusion does not apply to:

- Voice systems that include the use of interactive databases.*
- Videoconferencing systems that include the transmission of sensitive data or the use of interactive databases.*

Finally, effective immediately, the OCIO establishes the following policy change regarding EAWs for IT Project Reporting:

Agencies completing a Feasibility Study Report (FSR), Special Project Report (SPR), or equivalent document, shall include the percentage and dollar amount of the funding sources for each fiscal year, using the Funding Plan worksheet in the EAWs.

For FSRs and SPRs that were submitted to OCIO for the fall budget process, the OCIO Program Management Office (PMO) Principals and Managers will collect fund information separately. However, FSRs and SPRs submitted beginning January 2011 must be in the new format.

SIMM CHANGES

The SIMM, located at http://www.cio.ca.gov/Government/IT_Policy/SIMM.html, has been updated to include the following changes:

1) SIMM Section 05A, Required IT Reports and Activities – Updated to standardize the submittal date for Individual Plans to the third Monday in October. In addition, SIMM 05A has been updated to clarify two requirements that were included in ITPL 10-07:

- a) Microsoft Project Schedule** – Project schedules in Microsoft
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Project format for Low Criticality/Risk Projects should not be submitted with the Project Status Report unless requested by the OCIO-PMO.

b) Information Technology Acquisition Plan – Actual Acquisition Costs should not be submitted with the quarterly ITAPs at this time. The instructions for reporting Actual Acquisition Costs will be provided in a separate transmittal. Agencies should continue to report Planned Acquisition Costs in accordance with the instructions provided in ITPL 09-06 and the timeframes provided in SIMM 05A.

2) SIMM Sections 20C and 30C, Economic Analysis Worksheet Package (Instructions and EAW Templates) – Updated to include a section to enter Funding Source information within the Funding Plan worksheet of the EAWs.

Please note: When ITPL 10-10 was released on July 26, 2010, updates to SIMM Sections 20A and 30A, Instructions for the FSR and SPR, and SIMM Sections 20B and 30B, Project Summary Package, included references to the funding source changes previously discussed.

3) SIMM Section 57, Information Technology Capital Plan (ITCP) Preparation Instructions – Updated to reduce the number of segments from four to two along with supplemental components as follows:

a) Segment One, Proposed IT Project Concepts – Provides updated information concerning Project Concept Proposals approved by the OCIO (i.e., Existing Concepts), along with information regarding new Project Concept Proposals (i.e., New Concepts).

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 for approval pursuant to SAM Sections 4819.39.

c) Supplemental Reference Material and Transmittals – Consists of:

- Strategic Plan Concepts from the California IT Strategic Plan.
- Business Reference Model, Technical Reference Model, and Service Reference Model information.
- Agency and Department Executive Transmittal forms.
- Secure File Submittal Instructions.

For 2010-11, all Segment One and Two workbooks have one tab only, i.e., Agency workbooks do not include individual tabs for each constituent-department. Each Segment One workbook has been pre-populated with prior approved IT Project Concept information. Each Segment Two workbook has been pre-populated with Approved IT Project information. For each workbook, there will be one continuous listing arranged by organization code. Blank templates for Segment One and Segment Two are available within the applicable Sections of SIMM 57A and 57B.

Please note that quarterly reporting of consolidation activities included in Segment Three of the 2009-10 ITCP are now reported using the
