
State of California
Department of Technology
Information Technology Capital Plan

Preparation Instructions

Statewide Information Management Manual – Section 57

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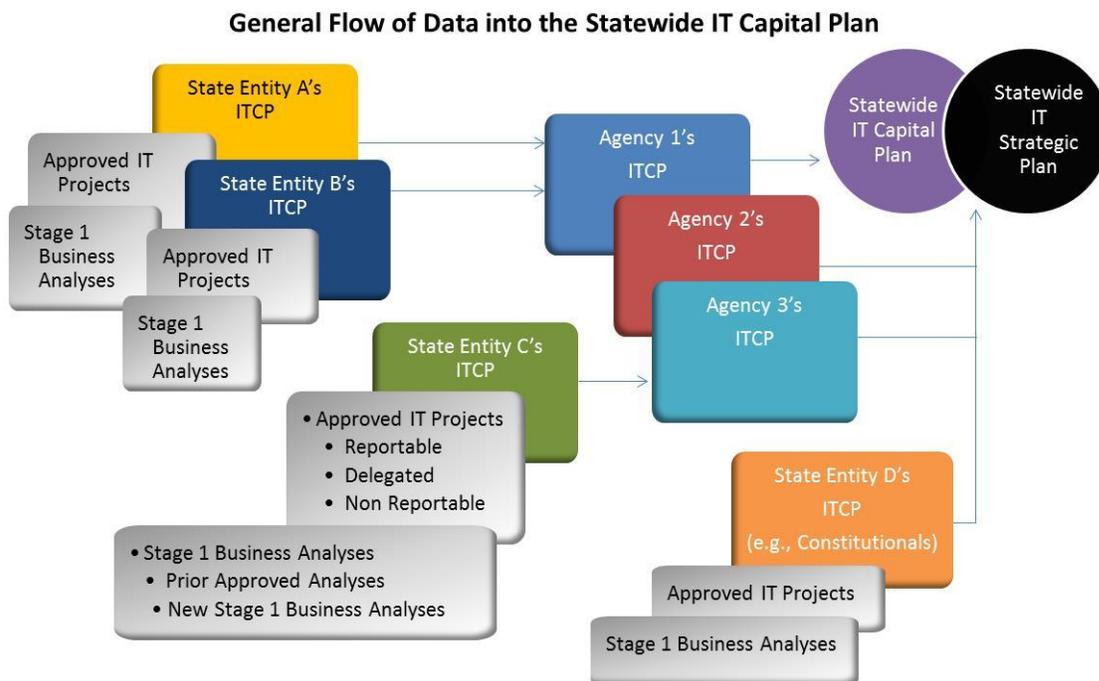
INTRODUCTION TO THE INFORMATION TECHNOLOGY CAPITAL PLAN (ITCP)

Overview

These instructions are to assist Agencies/state entities complete their Information Technology Capital Plan (ITCP) which will be used by the California Department of Technology (Department of Technology) to:

- Ensure 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, Agency, and state entity priorities and business direction.
- Promote the alignment of IT investments with the Agency/state entity's enterprise architecture (Technology, Standards, and Infrastructure), and the State's Information Technology Strategic Plan.
- Facilitate consideration and conceptual approval to pursue selected IT investments.
- Enhance and promote enterprise data sharing through IT investments.

As depicted in the following diagram, "General Flow of Data into the Statewide IT Capital Plan," the Stage 1 Business Analysis¹ serves as the basis for the Statewide IT Capital Plan which represents the Administration's plan for strategic IT investments and supports the Governor's Budget, the State's Information Technology Strategic Plan, Budget Change Proposals, and Feasibility Study Reports (FSR).



The authority for requirements to prepare ITCPs is described in the State Administrative Manual (SAM) [Section 4904](#). Preparation of the ITCPs builds from processes established in previous

¹ Stage 1 Business Analysis Preparation Instructions are in SIMM Section 19A.

years, utilizing Stage 1 Business Analysis forms to facilitate the collection and analysis of the information.

Policy

- ✓ Agencies/state entities are required to submit a Stage 1 Business Analysis for all proposals, regardless of delegated project cost thresholds.
- ✓ Reporting requirements are determined during the FSR process.
- ✓ Agencies/state entities are reminded that a Stage 1 Business Analysis must be approved by the Department of Technology prior to conducting a feasibility study.

Table of Contents

Preparation Instructions	5
Transmittal Requirements	6
State Entity Executive Approval Transmittal	6
Agency Executive Approval Transmittal	6
IT Portfolio Report.....	7
IT Portfolio Report Instructions.....	8
IT Portfolio Revision Matrix	12
IT Portfolio Report Template	12
Submission to the Department of Technology.....	12

INFORMATION TECHNOLOGY CAPITAL PLAN PREPARATION INSTRUCTIONS

Preparation Instructions

Preparation of the Information Technology Capital Plan (ITCP) is to be determined by Agencies for state entities governed by an Agency and State entities for those entities which are not governed by an Agency. Agencies/state entities² are to identify opportunities by leveraging proposed or existing activities across the respective organization. In addition, Agencies/state entities are to review their respective organization's strategic plan and enterprise architecture prior to the development of the ITCP; and propose new items with the completion of SIMM 19A Stage 1 Business Analyses documenting how the proposal will support the organization's strategic plan and enterprise architecture.

Agencies/state entities are advised that an IT Portfolio Report which summarizes the list of approved submittals is posted to the publicly viewed Department of Technology website. Accordingly, data quality is the responsibility of the submitting entity, and should be spell-checked and reviewed for appropriateness prior to submission to the Department of Technology.

- i) Agencies/state entities will provide direction to the designated staff on the completion and timelines for the submission of the Agency/state entity's ITCP information to the respective Agency/state entity.
- ii) Agencies/state entities will coordinate discussion among designated staff to ensure there is consistency in the activities surrounding the preparation of the ITCP submissions. Agencies/state entities will look for opportunities to eliminate overlap or duplication of proposals, projects, or other automation efforts within their Agency/state entity, across Agencies/state entities, and with other Agencies/state entities to reflect a consolidated approach and an enterprise-wide view.

➤ Agencies/state entities should allow sufficient time to complete this process to meet the required submission date to the Department of Technology, per SIMM Section 05A.

- iii) State entities governed by an Agency will prepare and submit the completed package; A) Updated IT Portfolio Report, B) A Stage 1 Business Analysis for each new proposal, and C) signed State Entity Executive Approval Transmittal form to their governing Agency.
- iv) State entities and governing Agencies will review their respective ITCP package submittals; A) Updated IT Portfolio Report, B) Stage 1 Business Analyses for new proposed items,
 - (1) Consolidate Agency/state entity-approved Stage 1 Business Analyses onto the IT Portfolio Report, and determine the priority of each Agency/state entity-approved Stage 1 Business Analysis.
- v) Agencies/state entities will submit their completed ITCP packages, A) Updated IT Portfolio Report, B) Agency/state entity approved Stage 1 Business Analysis(es), and C) signed State Entity Executive Approval Transmittal and Agency Executive Approval Transmittal forms to the Department of Technology in accordance with the submittal instructions in the following section.

² Agencies and state entities as defined in Technology Letter 13-02 (TL 13-02):

State entity: Includes every state office, officer, department, division, bureau, board, and commission, including Constitutional Officers. "State entity" does not include the University of California, California State University, the State Compensation Insurance Fund, the Legislature, or the Legislative Data Center in the Legislative Counsel Bureau.

Transmittal Requirements

The Transmittal Forms are required to be submitted with the ITCP package to the Department of Technology.

- ✓ State entities are required to sign and submit the State Entity Executive Approval Transmittal to their governing Agency for approval.
- ✓ Agencies are required to sign and submit the Agency Executive Approval transmittal to the Department of Technology.

Exception – state entities which are not governed by Agencies as defined in TL 13-02 must sign and submit the State Entity Executive Approval Transmittal (see definition below) in lieu of the Agency Executive Approval Transmittal to the Department of Technology.

State entity: *Includes every state office, officer, department, division, bureau, board, and commission, including Constitutional Officers. “State entity” does not include the University of California, California State University, the State Compensation Insurance Fund, the Legislature, or the Legislative Data Center in the Legislative Counsel Bureau.*

State Entity Executive Approval Transmittal

The State Entity Executive Approval Transmittal will contain the signatures of the approving state entity executives. The following are the components of the Transmittal.

1. **State Entity Name:** Enter the name of the state entity that prepared the ITCP package which includes the Stage 1 Business Analysis(es). If Stage 1 Business Analysis represents a proposal in which multiple state entities will have a role, one Agency or state entity should be designated as owner.
2. **Approval Signatures:** The signatures of executives within the state entities are required, documenting commitment and appropriate involvement at the Agency or state entity level. The required signatures include those of the Information Security Officer, Enterprise Architect, Chief Information Officer, and State Entity Director.

Agency Executive Approval Transmittal

The Agency Executive Approval Transmittal will contain the signatures of the approving Agency executives. The following are the components of the Transmittal.

1. **Agency Name:** Enter the name of the Agency that prepared the ITCP package which includes the Stage 1 Business Analysis(es). If Stage 1 Business Analysis represents a proposal in which multiple Agencies will have a role, one Agency should be designated as owner.
2. **Approval Signatures:** The signatures of executives within the Agency are required, documenting commitment and appropriate involvement at the Agency level. The required signatures include those of the Agency Information Officer and the Agency Secretary.

IT Portfolio Report

The Department of Technology will release an itemized IT Portfolio Report to Agencies/state entities to review and revise accordingly. This section of the ITCP Preparation Instructions provides Agencies/state entities with the instructions for updating their respective IT Portfolio Report.

The following table provides the mapping of the different categories of proposals and projects to the State Administrative Manual (SAM) Section that establishes the policies for each category. These categories are used by the Department of Technology for managing, monitoring, and reporting all IT proposals and projects.

The authority for the items contained in the IT Portfolio Report is outlined in the following table.

IT Portfolio Category	Policy
<p>Approved Reportable IT Projects IT Projects <i>approved</i> by the Department of Technology³, i.e., Department of Technology approved FSRs; also known as “<i>reportable projects</i>.”</p> <ul style="list-style-type: none"> – Information related to Approved Reportable IT Projects can only be changed through a Department of Technology approved Special Project Report, per SAM Sections 4920 through 4945.2. 	SAM Section: 4819.37
<p>Approved Delegated IT Projects IT Project delegations <i>approved</i> by the Department of Technology, i.e., Department of Technology approved FSR–Reporting Exemption Requests (RER); also known as “<i>delegated projects</i>.”</p> <ul style="list-style-type: none"> – Approved Delegated IT Projects are pre-populated with information on record with the Department of Technology. 	SAM Sections: 4819.37 and 4819.38
<p>Non-Reportable IT Projects IT Projects approved by the Agency/state entity in accordance with SAM Section 4819.39 (i.e., IT Projects with development costs equal to or less than the Agency/state entity’s Delegated Cost Threshold (DCT) also known as “non-reportable projects”).</p> <ul style="list-style-type: none"> – Approved Non-Reportable IT Projects are pre-populated with information on record with the Department of Technology. 	SAM Section: 4819.39
<p>New Stage 1 Business Analyses New Stage 1 Business Analyses <i>proposed</i> by Agencies/state entities. Agencies/state entities are required to submit a Stage 1 Business Analysis for all new proposals, regardless of IT delegated cost thresholds. Reporting requirements are determined in the feasibility study.</p>	SAM Section: 4904
<p>Approved Stage 1 Business Analyses (formerly concepts) Stage 1 Business Analyses (formerly concepts) <i>approved</i> by the Department of Technology. Agencies/state entities are required to submit and obtain approval of all Stage 1 Business Analyses prior to conducting a feasibility study.</p>	SAM Section: 4904

³ Applies to IT decisions provided by predecessor entities such as the California Technology Agency, the Office of the State Chief Information Officer, or the Department of Finance.

IT Portfolio Report Instructions

Use the following IT Portfolio Report Definitions/Instructions Table to prepare the IT Portfolio Report for submission to the Department of Technology. Column widths and row heights may be adjusted to facilitate viewing while editing. Some of the cells include drop-down boxes.

If significant changes are required to any of the fields below, indicate the change in the Comment field for review with your assigned Department of Technology ITPOC Oversight Manager. Note that in the Table 2 - IT Portfolio Revision Matrix, there are additional explanations to show what data is Required, Optional or can be Communicated to the Department of Technology.

Table 1 - IT Portfolio Report Definitions/Instructions Table

Column	Definitions	Instructions
Agency Org Code	This item aligns with the Department of Finance's Uniform Codes Manual. ⁴	This field is prepopulated. If a new item is being inserted, use the drop down options to select the appropriate code.
Agency Org Acronym	This item aligns with the Department of Finance's Uniform Codes Manual.	This field is prepopulated. If a new item is being inserted, use the drop down options to select the appropriate acronym.
State Entity Org Code	This item aligns with the Department of Finance's Uniform Codes Manual.	This field is prepopulated. If a new item is being inserted, use the drop down options to select the appropriate code.
State Entity Org Acronym	This item aligns with the Department of Finance's Uniform Codes Manual.	This field is prepopulated. If a new item is being inserted, use the drop down options to select the appropriate acronym.
Status	This column identifies the project/proposal's status for each of the items listed within the IT Portfolio Report.	<p>This field is prepopulated. Validate each status is in agreement with your records. If a status needs to be updated, make the selection in the Update Status column in the far right side of the Portfolio Report.</p> <ul style="list-style-type: none"> • Active - In progress • Active - In procurement • Proposed Business Analysis replaces "Proposed IT Concept" • Approved Business Analysis This replaces Approved Concept. • FSR – Submitted • Approved - Not yet initiated Project is approved, but has not started. • Not reportable • Delegated
Project	This item is assigned by the Department of	This field is prepopulated. Validate each item is

⁴ http://www.dof.ca.gov/accounting/uniform_codes_manual/

Column	Definitions	Instructions
Number	Technology and is used to track, monitor, and report on all items related to the project / proposal.	in agreement with your records.
Project Name / Proposal Name	This item is assigned by Agencies/state entities.	This field is prepopulated. Validate each item is in agreement with your records. If this is a new proposal, enter that name here and ensure it aligns with the "Name of Proposal" field on the Stage 1 Business Analysis Form.
Description	This field is a brief sentence or two which identifies what the expected project's effort proposes to realize through a business opportunity or improvement.	This field is prepopulated. Validate each item is in agreement with your records. If this is a new Stage 1 Business Analysis, this field will remain blank.
Start Date	This field represents the actual date a project began or the anticipated Start Date for prior approved proposals and new Stage 1 Business Analyses.	This field may be prepopulated. If so, validate each item is in agreement with your records. Only items with the following Project/Proposal Status type(s) may be edited: <ul style="list-style-type: none"> • Proposed Business Analysis • Approved Business Analysis • Not Reportable Enter or revise the Start Date in the following format: mm/dd/yyyy. <i>Reportable project's start date may only be updated by Department of Technology via an approved FSR/SPR.</i>
End Date	This field represents the actual date a project ended or the anticipated End Date for projects/prior approved proposals. This field is not collected for Stage 1 Business Analysis.	This field may be prepopulated. If so, validate each item is in agreement with your records. Only items with the following Project/Proposal Status type may be edited: <ul style="list-style-type: none"> • Not Reportable Enter or revise the End Date in the following format: mm/dd/yyyy. <i>Reportable project's end date may only be updated by Department of Technology via an approved FSR/SPR.</i>
Cost	This field represents project costs as defined in SIMM Sections 20, 30, and 40. This field is not collected for Stage 1	This field may be prepopulated. If so, validate each item is in agreement with your records. Only items with the following Project/Proposal Status type may be edited:

Column	Definitions	Instructions
	Business Analysis.	<ul style="list-style-type: none"> • Not Reportable <i>Reportable project's cost may only be updated by Department of Technology via an approved FSR/SPR.</i>
Priority	This field represents the priority ranking for all of the Agency/state entity's projects and proposals listed in the IT Portfolio report.	<p>This field may be prepopulated. If so, validate each item is in agreement with your records.</p> <p>The priority ranking will include both existing projects and new proposals. The top priority item will be identified as priority ranking 1, with the next highest item ranked as priority 2, and so on. There should be no numbers duplicated in the report.</p> <p>The State Entity's Director will prioritize the report. Upon submittal to the governing Agency, if applicable, the Agency Secretary will consolidate all state entities' submissions into one IT Portfolio Report. The consolidated IT Portfolio Report should be reprioritized to reflect the overall priorities of the Agency.</p> <p>Different items within the same Agency/state entity may not share the same priority number.</p>
Update Status	This field represents the most recent status of a project/proposal.	<p>This field will be blank. Select one of the following drop down options to reflect the most current project / proposal's status. The "Update Status" options are as follows:</p> <ul style="list-style-type: none"> • Completed – Select this item if the non-reportable or delegated project is completed. Reportable projects may only be updated by Department of Technology staff. • No Change – Select this item if there are no changes to this line item. • Proposed Business Analysis – Select Stage 1 Business Analysis from the drop down if this is a new proposal. • FSR - Submitted – Select this item if an FSR was submitted to the Department of Technology. • FSR-RER Submitted – Select this item if an FSR-RER was submitted to the Department of Technology. • Project in Procurement – Select this item if a procurement is in process for the project's

Column	Definitions	Instructions
		<p>system integrator.</p> <ul style="list-style-type: none"> • SPR Submitted – Select this item if a SPR was submitted to the Department of Technology • Stopped – If reportable project, select this item if the Agency/state entity has submitted an official communication to the Department of Technology. If non reportable project, select this item and provide a brief summary of the reason within the “Comment” field. • Withdrawn – Select this item if the Agency/state entity has submitted an official communication to the Department of Technology to withdraw a proposal, FSR, or SPR since the release of the last Statewide IT Capital Plan.
Comment	This field is provided for Agencies/state entities to communicate information related to specific line items.	This field will be blank. Enter any information related to the specific line item as needed.

IT Portfolio Revision Matrix

The following matrix is provided as a reference to visually display which fields within the IT Portfolio Report can have information entered and/or fields updated/revise

The revision codes and definitions for each code are as follows:

- **R = Required:** Fields assigned this code require an entry from Agencies/state entities as defined within the IT Portfolio Report Definitions/Instructions Table.
- **O = Optional:** Fields assigned this code can be modified by Agencies/state entities as defined within the IT Portfolio Report Definitions/Instructions Table.
- **C = Communicate:** Contact respective ITPOC Oversight Manager for updates/revisions.

Table 2 - IT Portfolio Revision Matrix

Status	Agency Org Code	Agency Org Acronym	State Entity Org Code	State Entity Org Acronym	Project Number	Project Name / Proposal Name	Description	Start Date	End Date	Cost	Priority	Update Status	Comment
Proposed Business Analysis	R	R	R	R		R		R			R		O
Approved Business Analysis							C	O			R	O	O
FSR Submitted											R	O	O
Approved - Not yet initiated											R	O	O
Active - In progress											R	O	O
Active - In procurement											R	O	O
Not reportable						O	O	O	O	O	R	O	O
Delegated								C	C	C	R	O	O

IT Portfolio Report Template

The IT Portfolio Report Template is provided for Agencies/state entities to develop an IT Portfolio Report for capital planning purposes.

Submission to the Department of Technology

Agencies/state entities should submit completed packages to the Department of Technology as specified in SIMM Section 05A. Include, "20XX-XX ITCP Submission"; i.e., *2013-14 ITCP Submission* in the email subject line. The email attachments (individual files) should include at a minimum the Agency/state entity's organization code within the filename. The naming convention for the individual files should follow the examples below:

1. For the Agency or State Entity's IT Portfolio Report: use Agency/state entity's org code, 20XX-XX IT Portfolio Report
Example: 4000 2013-14 IT Portfolio Report
2. Stage 1 Business Analysis form: use Agency/state entity org code 20XX-XX, S1BA Proposal Name
Example: 4000 2013-14 S1BA Business Management Review
3. State entity Executive Approval Transmittal use Agency/state entity org code 20XX-XX State entity Executive Approval Transmittal
Example: 4000 2013-14 State entity Executive Approval Transmittal
4. Agency Executive Approval Transmittal use Agency/state entity org code 20XX-XX Agency Executive Approval Transmittal
Example: 4000 2013-14 Agency Executive Approval Transmittal

Content of Agency/State Entity's IT Capital Plan (ITCP)

The ITCP submission must include the following attachments to be considered a complete package for submission in an email addressed to: CIOPMOSubmission@state.ca.gov. Include a cc to your assigned ITPOC Oversight Manager.

- ✓ Updated Agency or State Entity's IT Portfolio Report,
- ✓ Complete Stage 1 Business Analysis form for each new proposed line item added to the above IT Portfolio Report, and
- ✓ Agency/State Entity Executive Approval Transmittal form(s).

Supplemental Reference Material to assist the Agency/state entity may be found in the form of Frequently Asked Questions and the California IT Strategic Plan.

Please contact your ITPOC Manager should you have any questions about this process. Agency/state entity assignments, and the assigned project delegated cost threshold can be found at the Department of Technology Web site:
http://www.cio.ca.gov/contact_us/staff_Assignments.html.