CALIFORNIA TECHNOLOGY AGENCY	NUMBER:	DATE ISSUED:
TECHNOLOGY LETTER	**TL 12-13**	**SEPTEMBER 7, 2012**
SUBJECT: **INFORMATION TECHNOLOGY CAPITAL PLAN INSTRUCTIONS AND TEMPLATES FOR 2012-13:** Updated IT Capital Plan Preparation Instructions and Changes for the 2012-13 Submittal	REFERENCES: Government Code Section 11545 State Administrative Manual Sections 4819.3, 4819.39, and 4904 Management Memo 08-07 Statewide Information Management Manual Section 57 Information Technology Policy Letter 11-06	

BACKGROUND

On June 30, 2008, Management Memo 08-07 was released, which added the Information Technology (IT) Five-Year Capital Planning requirements to the SAM Section 4904.

Agencies and departments must develop IT Project Conceptual Proposals (IT Project Concepts) as part of their Five-Year IT Capital Plan. Statewide Information Management Manual (SIMM) Section 57 requires agencies and departments to annually submit these IT Project Concepts to the Technology Agency by the third Monday in October. Therefore, Agency and department 2012-13 IT Capital Plans will be due October 15, 2012. The Technology Agency will use the Five-Year IT Capital Plan submitted by agencies and departments to develop the Statewide IT Capital Plan, to present a five-year view of the state's technology projects and initiatives.

PURPOSE

The purpose of this Technology Letter (TL) is to:

- Provide updated information concerning the preparation and submittal of 2012-13 IT Capital Plans to the Technology Agency.

- Convey new changes for Agency and department 2012-13 IT Capital Plan submittals.

PROCESS AND INSTRUCTIONS

Process Overview

The process to complete and submit IT Capital Plans depends 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, or non-affiliated departments (e.g. the California State Library, or the California Student Aid Commission.)

1. Agencies will provide direction to their constituent-departments regarding completion instructions and timelines for the submission of the department information to their Agency, and submit their IT Capital Plan package to the Technology Agency in accordance with the IT Capital Plan Preparation Instructions located in the SIMM Section 57.

2. Constitutional offices and non-affiliated departments will directly submit their IT Capital Plan package to the Technology Agency in accordance with the SIMM Section 57.

Deadline and Method to Submit

Regardless of the entity preparing the plan, Agencies, constitutional offices, and non-affiliated departments should submit completed packages via email to the Technology Agency no later than October 15, 2012.

The email must be addressed to: CIOPMOSubmission@state.ca.gov. Please include "2012-13 ITCP Submission" in the e-mail subject line.

The Technology Agency will forward the IT Capital Plans to the Department of Finance. Please contact your Technology Agency representative to report any IT Project Concepts that occur out of the reporting cycle.

Updated Instructions

IT Capital Plan instruction materials and SIMM 57 have been updated to reflect the 2012-13 changes. IT Capital Plans are divided into two segments plus supplemental submittal documents.

- Segment One – provides updated information concerning new Proposed IT Project Concepts.

- Segment Two – consists of an Excel workbook summarizing the department's IT project portfolio, including approved IT projects. Departments shall add non-reportable projects approved in accordance with SAM Section 4819.39.

- Supplemental Transmittal documents – include the Agency Executive Approval Transmittal and Department Executive Approval Transmittal forms.

The IT Capital Plan Preparation Instructions and Workbooks to complete the two Segments and the Supplemental Transmittal documents as well as Frequently Asked Questions are available for download from SIMM 57 of the Technology Agency Web-site at:

> http://www.cio.ca.gov/Government/IT_Policy/SIMM.html

Additional Requirements

The Technology Agency has pre-populated the worksheets that agencies and departments will receive with IT Project Concept and IT project information. These fields are grayed-out and must not be altered.

Worksheets must be complete. Summary Worksheets submitted to the Technology Agency with missing data or with changes or alterations will be returned for correction and resubmission. Departments are also reminded that IT Project Concepts and other IT project information are uploaded to the Technology Agency Website. Submitting entities are responsible for data quality. Submissions should be spell-checked and reviewed for appropriateness before transmittal to the Technology Agency.

Departments must include all IT Project Concepts with the Segment One submittals. This includes IT Project Concepts that appear to result in an IT project delegated pursuant to SAM Section 4819.39.

CHANGES FOR 2012-13

The following are the only changes for 2012-13 IT Capital Plan submittal:

- Completed IT Capital Plans must be submitted to the Technology Agency by October 15, 2012, the third Monday in October.

- The California IT Strategic Plan goals have been changed from three to five. Departments must update the Summary Worksheets to indicate Strategic Plan goal(s) that correspond to specific IT Project Concepts and IT projects.

- The Enterprise Architecture fields are optional, thus the Technology Agency will not require reporting of Business Reference Module, Technical Reference Module, and Service Reference Module information. An agency or department may populate the fields if this information is meaningful.

QUESTIONS

Questions should be directed to your Technology Agency Program Management Office (PMO) Manager or Principal. A listing of PMO Managers and Principals and their departmental assignments can be found at the Technology Agency Web site located at:
http://www.cio.ca.gov/Contact_Us/staff_assignments.html

SIGNATURE

_____/s/_____

Carlos Ramos, Secretary
California Technology Agency