
State of California
Department of Finance
Agency Information Management
Strategy
Documentation Guidelines
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Agency Information Management Strategy Documentation Guidelines

An Agency Information Management Strategy (AIMS) is the agency's (or department's) comprehensive plan for using information technology (IT) to support its business needs and is closely aligned to its agency's business strategy. The process of developing the strategy begins with a keen understanding of the agency's mission, vision, goals, objectives, State mandates and directives and the critical issues facing the agency. An AIMS includes an assessment of IT's internal strengths and weaknesses and how new and evolving technologies can be used to enable agency strategies. An AIMS should define the IT strategy along with a set of IT goals, measurable objectives, priorities and resources required to successfully execute the strategy. The plan articulates strategic IT initiatives and projects that address key factors essential to the agency's success. Information technology should be an integral part of an agency's reengineering of its business processes that result in dramatic efficiencies, reductions in turnaround time, and/or improvements in quality or customer service. The AIMS should describe its plan to support these changes. Increasing demands for services, shrinking resource bases and greater expectations for services all combine to form a dynamic environment. An AIMS should identify potential opportunities and threats in the external environment that may impact the agency and develop strategies in response to those changes (e.g., declining state tax revenues, increasing unemployment, impending legislation, new statewide policies, limitations on training funds, cyber-terrorism, HIPAA). The AIMS is tempered by a keen appreciation of technological possibilities and political and economic realities. It should present the current state of IT, a vision of its future, a plan how IT will get there and how IT will measure its success. It is not only a strategy; it is a commitment to action if it is to achieve results.

1. Agency Business Strategy. A summary of the agency's business strategy, values and principles that articulate the conceptual basis or foundation for the agency's chosen IT infrastructure.

An agency's business strategy is its overall plan for accomplishing its mission in a changing environment with the resources it can reasonably expect to be available. Such a strategy typically addresses the agency's statutory mission and historical role, the expectations of its key stakeholders (individuals and organizations that affect the agency or that the agency affects), the factors that are critical to its success as an organization, the agency's internal strengths and weaknesses, and the political, social, economic and technological forces in its environment that support or constrain its programs. Business strategies articulate the key issues that must be successfully addressed by the agency and identify the priorities and required resources for proposed actions. A strategy may have a time frame that is as short as a few months, if there is a limited window of opportunity for significant change. However, most agency business strategies present a three- to five-year perspective, with some agencies finding it useful to extend their strategic vision as much as ten to twenty years into the future. Strategic planning is not a one-time effort; it is a fundamental, continuing management process that allows the agency to respond in an effective manner to a changing environment.

1.1 Agency/Department Business Strategy

Provide a summary background information on the agency. Include its mission, values, guiding principles, goals, objectives and strategies

1.2 IT Strategies

Describe the role of IT as it relates specifically to supporting the agency and being an integral part of the agency's success. Include IT's mission, values, critical success factors, goals and measurable objectives. How does the agency's IT organization measure its success?

1.3 Alignment of IT Strategy with Business Strategy

Describe how IT strategies will help the agency meet its goals. How does IT enable the agency to fulfill its mission?

1.4 Active Agency Executive Management participation in IT Programs, e.g., IT Steering Committee

How are agency executives involved in determining IT strategy, setting IT's priorities and providing oversight for major IT projects? What is the role and authority of the IT Steering Committee? List the members and titles of the Committee. How often does the IT Steering Committee meet?

1.5 E-Government Strategy

What programs are in place, being developed or anticipated in support of the Governor's e-Government directive? What are their priorities? How will e-Government technology be used to deliver information and/or services to the agency's clients? What specific e-Government technology solutions are being considered (e.g., portals, Web access, automated payment transaction capability)?

1.6 Plans for Inter-Agency Sharing of IT Projects/Resources

Describe any joint development opportunities that have been identified for applications, data, network or systems architecture that can reduce costs, save time between agencies or departments.

1.7 Description Of Service Level Agreements With Data Center, Other Service Providers, And Customers

Summarize any Service Level Agreements (SLAs) the agency has developed with state data centers, Application Service Providers (ASPs), other service providers and clients. Describe the nature of the services delivered, annual cost, length of the agreement, the metrics of the SLA and incentives for performance.

1.8 Information Technology Accessibility Standards

Describe current efforts and future plans to ensure that IT developments

are in line with SAM Section 4833, Information Technology Accessibility Policy and that they comply with the Section 508 Standard of the Rehabilitation Act of 1973, as amended (29 U.S.C. 749d).

2. Changes in Mission and Programs. A summary of expected changes in the agency's mission and programs that will require changes to the agency's information management capabilities.

- 2.1 Anticipated changes in the agency's mission that will require changes in IT. Describe the potential impact of anticipated changes on IT.

Describe any anticipated or potential changes due to impending legislation, new statewide policies, standards, competition, and agency reorganization, changes in its business condition or the economy that will impact IT strategy or programs. How likely are these changes and when will they occur? Will the anticipated changes require new systems or applications? Does the agency have the resources (e.g., staff, systems, time) to affect the change?

- 2.2 Identify emerging threats and opportunities in the agency's environment that have a potential impact on the agency's information management capabilities.

Describe any potential threats, e.g., declining economy, budget constraints, lack of training funds, unbudgeted federal or state mandates, competition for IT resources with private sector (e.g., inability to attract key personnel or retain key personnel). Describe any potential opportunities; e.g., new program grants, savings from other technology initiatives undertaken by the agency, partnerships with other agencies, or private sector companies.

3. Activities to Reengineer Agency Business Processes. A description of changes the agency has made, or is making, and its priority to restructure its business operations in an effort to achieve dramatic improvements in critical measures of performance, such as efficiency, turnaround time, customer satisfaction and quality.

Has the agency identified its key business processes? What are the targeted processes in need of change? How can technology enable dramatic improvements in these processes? What is the expected improvement in the agency's performance? How will the IT strategy and performance measurements change to support the change in the agency's strategy?

4. Current Information Technology Infrastructure. A description of key elements in the agency's current information technology infrastructure; e.g., standards, hardware, software, communications, personnel, partnerships and application systems.

An agency's information technology infrastructure is the foundation for the delivery of information to support the agency's programs and management. The infrastructure contains elements upon which an agency's information technology activities are dependent. An agency must therefore define, implement, and manage these infrastructure elements to successfully employ information technology. The

desirable characteristics of this infrastructure are efficient support for the exchange of information within the agency and between the agency and other organizations; reliable availability of information processing capabilities whenever and wherever they are needed; preservation of the integrity and confidentiality of information maintained by the agency; sufficient flexibility to allow for the timely and efficient addition of new information management capabilities and modifications of established capabilities; and consistency with a coherent set of technical and managerial standards for the employment of information technology.

Additionally, the agency's infrastructure must meet the requirements of SAM Section 4834, Information Technology Infrastructure Policy.

4.1 IT Organization Structure Including Vacancies

Provide an IT organization chart for current fiscal year. The organization chart should include both filled and vacant positions (all budgeted positions).

4.2 IT Employee Experience And Skills Assessment

Provide a list all IT employees by job classification and the number of IT positions (cost and availability of personnel). Assess current staffing skills against required skills to successfully execute IT strategy.

4.3 Description Of Current IT Infrastructure

Provide a high-level list of hardware, software, network and applications which make up the agency's IT infrastructure.

4.4 Strengths And Weaknesses Of Current IT Infrastructure

Provide a technical assessment of the strengths and weaknesses of the agency's current IT infrastructure.

4.5 How IT Infrastructure Supports The Agency's Business Requirements

Provide an assessment of the strengths and weaknesses of the agency's current IT infrastructure as it relates to supporting the agency's mission and strategy. Does it promote or impede the ability of the agency to fulfill its strategy?

4.6 Description Of Mission Critical Applications From Agency's Operational Recovery Plan

Provide a list of the mission critical applications from the agency's existing Operational Recovery Plan. Describe the various contingencies that are included in the Plan (e.g., power, flood, fire, earthquake). Describe the agency's progress toward implementing the agency's ORP.

4.7 Description And Plans For Security

What is the agency's security policy for IT, including physical security of IT assets, application security, data security including anti-virus and network security. Has a security audit been performed? [Do not include the details of your security procedures and implementation.]

4.8 Description Of IT Standards Utilized.

Provide a list of your agency's IT standards along with a description of each (e.g., Project Management, Application Development Methodologies [JAD, RAD], CASE, Configuration Management, Workgroup Computing). Identify adherence/deviation from statewide standards.

4.9 Asset Management Program

Describe the agency's IT Asset Management Program. Is it manual or automated (which vendor)? What is contained in your asset inventory (desktop, application and telecom-related hardware and software)?

4.10 Adherence to Software Management Policy

Describe the agency's adherence and implementation of the California Software Management Policy (e.g., software piracy).

4.11 Plans For Intra-Agency Sharing Of IT Projects/Resources

Describe any joint development opportunities that have been identified for applications, data, network or systems architecture that can reduce costs, and save time within the agency.

4.12 Server Consolidation Strategy

How many servers does the agency have? Where are they located? Describe any plans to consolidate servers into an Enterprise server. Describe the agency's plan to move local servers to a state data center for security and 24x7 support. [Data Centers only: provide your strategy for server consolidation and support among agencies and departments.]

5. New Information Technologies. A statement of how new and evolving information technologies will be employed in the business strategy.

5.1 Assess the potential of new and emerging information technologies to enable new business strategies and further the accomplishment of established strategies

Describe the potential benefits of new and emerging technologies available in the marketplace and how each can further IT's ability to support the established agency mission and strategies or enable new business strategies for the agency. Describe how these technologies can strengthen the existing IT infrastructure.

- 5.2 Establish goals and priorities for the acquisition of new information technology capabilities.

Identify and prioritize these new and emerging information technologies in terms of their potential to support existing strategies, enable new agency strategies or strengthen the current IT infrastructure. Identify any perceived risks associated with the implementation of these new and emerging technologies. Discuss the relative benefits vs. cost of these technologies.

6. Planned Information Technology Infrastructure. A description of how the agency's infrastructure will be developed or leveraged to meet future information requirements. The Plan should go out at least three years in the future.

- 6.1 Provide for the creation and maintenance of an agency information technology infrastructure that will support agency information requirements and business strategies

Describe IT's plan to strengthen the current IT infrastructure and how the proposed infrastructure enhancements will support the agency's business strategy and information requirements. Existing, new and evolving technologies should be considered in strengthening the IT infrastructure.

- 6.2 Assess skills needed to successfully employ identified new and evolving strategies (i.e., training programs), salary incentive programs, etc.

Identify the current IT skills that need to be added or enhanced to support the proposed IT infrastructure. Can existing IT staff be trained or will supporting the proposed IT infrastructure require hiring skilled personnel? Identify the percentage of staffing impacted and dollar estimates.

7. Information Management Priorities, Objectives and Resources. A statement of the agency's priorities, objectives, and resources for achieving the development or acquisition of new information management capabilities.

- 7.1 Provide a complete list of current IT projects, including delegated projects and projects for which FSRs have been approved by Finance. Provide a summarized list of approved (in process or not yet started) agency projects. Include the following information for each project:
- a) Project Number
 - b) Name and brief description of project
 - c) Start date of project and length of project
 - d) Estimated cost
 - e) How the project supports the agency strategy and expected benefits

- 7.2 Provide a prioritized list of proposed reportable and non-reportable IT projects, including project scope and cost estimates.

Provide a summarized list of IT projects that are anticipated to be proposed over the planning horizon. Include the following information for each

project:

- a) Name and brief description of project
- b) Start date of project and length of project
- c) Estimated cost
- d) How the project supports the agency strategy and expected benefits

7.3 Describe the intended use of external Application Service Providers (ASPs) and the justification.

If applicable:

- Describe the agency's current use of any ASPs.
- How does the agency procure ASP services?
- Describe any Service Level Agreements with existing ASP providers
- Describe plans and justification for future use of ASP services