



Committee on Information Technology

Budget Process Overview for FY 2019-20 and FY 2020-21

Introduction to COIT Budget Process

As part of the Mayor’s Budget Office annual budget instructions, all departments are instructed to submit all technology projects that cost over \$100,000 to the Committee on Information Technology (COIT) for review and approval. In addition, to support strategic planning efforts as part of Information and Communication Technology (ICT) Plan, all proposed technology projects for the next five years will be submitted to COIT during the annual budget process.

COIT funding decisions are based on a multi-stage process of review.

	Phase 1 Project Sourcing	Phase 2 Budget Intake	Phase 3 Dept Interviews	Phase 4 Budget Hearings	Phase 5 Final Approval
Timeline	October - December	January	February	March-April	May
Objective	Anticipate Major IT requests	Identify projects for the next five years.	Conduct capacity analysis	Public discussion on proposed projects	Make final recommendations
Partners	-Mayor’s Budget Office	-Controller	-Controller -Digital Services -Technology	-Mayor’s Budget Office	-Mayor’s Budget Office

Phase 1: Project Sourcing

The challenge sourcing phase consists of conducting department interviews to learn of potential upcoming projects, especially any requests that may require major financial investments. COIT staff conducts informal interviews with several departments across the City.

Phase 2: Budget Intake

Once the Mayor’s Budget Instructions are released, departments are invited to submit project proposals through COIT’s Budget and Performance System via SharePoint. Standard information is collected on all projects, regardless of projected funding source. The focus of the intake form is to learn about the business need and identify strategic alignment.

Each project is analyzed under the following criteria before further consideration:

- **Strategic Value** - How does the project advance strategic goals?
- **Project Impact** - What problem does it solve? How will benefits be quantified?
- **Financial Savings** - Will the project provide any savings?
- **Regulatory Compliance & Risk Management** - Is the project legally required?
- **Technical Specifications** - How does it align with existing architecture?
- **Department Capacity** - Is the department ready to execute the project plan?

Projects that score highly are prioritized for possible support from the General Fund. All projects requesting General Fund support proceed into Phase 3 & 4.

Note: Historically, COIT usually receives around 110 projects requests, and funds about 29.

Phase 3: Department Interviews

In Phase 3, COIT staff [interview departments](#) to get more specific details on each project. Emphasis is given towards understanding a department's capacity to implement a project, and the specific details of each project. COIT staff will partner with Digital Services Office and Department of Technology, who will serve as technical experts and consultants in reviewing the project plan.

Some of the general questions asked will be:

- Project Plan
- Cost Analysis
- Staffing Workload & Capacity
- Change Management Strategies

Specific Questions

- Provide a rationale for your development methodology choice. (waterfall, agile, or other)
- Justify any custom development that is needed.
- Should the City consider this technology as an enterprise service?
- If the proposed technology will contain any sensitive or protected information, please describe department practices to secure information.
- How will efficiency and or financial savings be measured as a KPI?

In addition, COIT staff gives special emphasis is given to projects requesting General Fund support. COIT staff conducts a second intake form for these projects asking for more specific information on the proposal.

Phase 4: Budget Hearings

In March and April, departments begin presenting an overview of the projects to the COIT Budget and Performance Subcommittee. Hearings are a tool to gain additional perspective on project plans, and identify any risks, issues, or best practices that might benefit successful project implementation.

To structure the meetings, COIT staff score all projects and develop one pagers. COIT staff make recommendations to subcommittee members on what projects to hear during at the Subcommittee.

Phase 5: Final Approval

In May, COIT will review and approval final budget recommendations and submit them to the Mayor's Budget Office. The Mayor and the Board of Supervisors take COIT's recommendations into consideration as they finalize the City's budget.

PREVIEW OF FY 2019-20 and FY 2020-21 COIT BUDGET INTAKE FORM

FORM 1

Section 1: Project Overview

1. Project Title
2. Department
3. Executive Sponsor
4. Product Owner / Business Lead
5. Project Manager
6. What type of request?

Replacement of legacy technology	Development of a new service	Enhancement of an existing service	Other
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7. Theme

Business Specific	Residential Digital Services
Customer & Case Management	Resource Management
Digitization & Document / Records Management	Risk Management: Cybersecurity & Business Continuity
Infrastructure: Network & Data Centers	Staff Collaborative Tools - Data Analysis / Data Sharing
Major IT	

8. Select which ICT Strategic Goal the technology project most supports

Support, Maintain, Secure Critical Infrastructure	Improve Efficiency & Effectiveness	Increase Access & Transparency
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9. Projected FY Start/Finish
10. Calculated Duration (in years)

Section 2: Project Details

11. Is this your Department's highest priority project?

Yes	No
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12. Using layman terms, what is the objective of this project including short-term and long-term outcomes?
- 13.

14. What is the scale of impact?

Single Department / Customer	Multiple Departments / Customers	Citywide
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15. When the project is complete, who will be the primary user of the product?

The Public	Government Employees
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16. Have you conducted any user research?

Yes	No
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a. If Yes, what have you learned from user research?

17. How would the proposed project support **citywide strategic goals** (1-2 sentences)

18. How would the proposed project would advance department priorities? (4-5 sentences)

19. Have you consulted with Department of Technology staff about project requirements?

Yes	No
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Section 3: Funding Requirements

20. Five year costs (high and low)

21. Five year GF budget requests for COIT funding

22. Two year matching funds and funding sources: In order to support a wider range of projects, COIT encourages departments to help pay for a portion of total project costs. How much of the total project costs is your department willing to support and what are the sources?

23. FTEs: What are the existing and new FTEs and their classifications (up to 5 years)?

24. Total cost (from start to finish and prior to maintenance phase)

25. Anticipated annual ongoing maintenance and support costs

Department Comments

26. What are the consequences of not doing this project?

27. If you would like to provide any additional justifications, please describe below.

FORM 2

Business Justification

1. What is the problem you are trying to solve?
2. Have you conducted any user research?

Yes	No
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- a. If Yes, what have you learned from user research?
3. Describe specifically who the intended users and beneficiaries of this project.
 4. Estimate how many people are impacted.
 5. How do organizations outside the City address this problem? Please describe relevant examples.
 6. Why is a technology needed to address this problem?
 7. What alternatives are there to address the problem?
 8. How would this technology project advance equity?

Project Planning

9. What is the project management methodology?

Agile	Waterfall	Hybrid
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- a. Please provide a justification.
10. What resources are needed to begin work?
 11. Describe your plan to identify technology solutions.
 12. What are the distinct tasks you need the technology solution to do?
 13. What are some potential risks or issues that may impact the successful implementation of this project?
 14. Are other departments using the same or similar technologies? Please list any you are aware of.
 15. Are other departments potentially interested in using your technology?

Yes	No
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16. If yes, please list supporting departments.

Quantifying Project Benefits

17. Please identify the primary efficiencies you expect to gain

Replace Outdated Technology	Simpler Customer Experience	Financial Savings	Increased Revenue
Productivity Increases	Reduced Administrative Steps	Fewer Dedicated Staff	Other

18. Once implemented, what are the anticipated financial savings relative to the current system/process? (check all that apply)

Efficiency gains	Hardware & software savings	Overhead savings	Downtime avoidance
Consolidation savings	Revenue gains	Maintenance savings	

19. Describe how you will measure the efficiency gains / financial savings (4-6 sentences)

20. Rate how much this technology will make City services more accessible

No Measurable Impact	Minimal Impact	Measurable Impact	Significant Impact
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21. Describe how and which specific groups/populations will gain access

Technical Specifications

22. Do you anticipate any custom development will be needed to build the product?

100% Commercial Off the Shelf	Customization Needed on Commercial Product	Product will be entirely custom built	Other
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23. What other systems will be dependent on or integrated with the system?

24. Will the system have an open API?

25. Is this technology accessible (meet Section 508 compliance)?

26. Are any Open Source alternatives available? Please list any you are aware of.

Yes	No	Unknown
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27. What's the expected life of the system?

28. What're the anticipated major and regular upgrade cycle and costs?

29. If you have identified a product, what are the anticipated licensing requirements?

- a. Number of licenses
- b. Cost of a single license
- c. Contract type: Annual vs Pay as you go

Risk Management

30. Please confirm have read and are compliant with all COIT policies.

Yes	No
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31. Please list any policies or regulations that apply to the future use of the technology or information contained within the system.

32. Is this project needed to meet a new legal requirement? If yes, please explain.

Yes	No
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33. What is your compliance mitigation strategy if the technology is not available?

34. Will the planned project be a critical system in department operations? A critical system is essential to the survival of your department. When it fails or is interrupted, business operations are significantly impacted.

Yes	No
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35. Identify the classes of data your system will contain, according to the City's Data Classification Standard.

Public	Internal Use	Sensitive	Protected	Restricted
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36. Will any data from the system be available to publish on the Open Data Portal?

Yes	No
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37. What data do you anticipate publishing to the Open Data Portal?

38. How do you plan to make data available on the Open Data Portal?

39. Are there any other systems you will need to connect to?

ONE PAGER

The Committee on Information Technology (COIT) <i>Project Submission Summary</i>					
Project:	<input style="border: 1px solid #ccc;" type="text" value=""/>				
Department:	<input style="border: 1px solid #ccc;" type="text" value=""/>				
Project Overview					
Start:	<input style="width: 100px;" type="text" value="FY2019-20"/>	Finish:	<input style="width: 100px;" type="text" value=""/>	Type of Request:	<input style="border: 1px solid #ccc;" type="text" value="Select..."/>
Project Objective:	<input style="width: 95%; height: 40px;" type="text"/>				
Performance Measure:	<input style="width: 95%; height: 40px;" type="text"/>				
Budget Information					
	FY2019-20	FY2020-21	FY2021-22	FY2022-23	FY2023-24
Estimated Cost	<input style="width: 80px;" type="text" value="\$0"/>	<input style="width: 80px;" type="text" value="\$0"/>	<input style="width: 80px;" type="text" value="\$0"/>	<input style="width: 80px;" type="text" value="\$0"/>	<input style="width: 80px;" type="text" value="\$0"/>
COIT Request	<input style="width: 80px;" type="text" value="\$0"/>	<input style="width: 80px;" type="text" value="\$0"/>	<input style="width: 80px;" type="text" value="--"/>	<input style="width: 80px;" type="text" value="--"/>	<input style="width: 80px;" type="text" value="--"/>
Matching Fund	<input style="width: 80px;" type="text" value=""/>	<input style="width: 80px;" type="text" value=""/>			
Proposed Use	FY2019-20	FY2020-21	FY2021-22	FY2022-23	FY2023-24
Number of Existing FTE:	<input style="width: 80px;" type="text" value=""/>	<input style="width: 80px;" type="text" value=""/>	<input style="width: 80px;" type="text" value=""/>	<input style="width: 80px;" type="text" value=""/>	<input style="width: 80px;" type="text" value=""/>
Existing Classifications:	<input style="width: 95%; height: 20px;" type="text"/>				
Number of New FTE:	<input style="width: 80px;" type="text" value=""/>	<input style="width: 80px;" type="text" value=""/>	<input style="width: 80px;" type="text" value=""/>	<input style="width: 80px;" type="text" value=""/>	<input style="width: 80px;" type="text" value=""/>
New Classifications:	<input style="width: 95%; height: 20px;" type="text"/>				
Total Salary & Fringe:	<input style="width: 80px;" type="text" value="\$0"/>	<input style="width: 80px;" type="text" value="\$0"/>	<input style="width: 80px;" type="text" value="\$0"/>	<input style="width: 80px;" type="text" value="\$0"/>	<input style="width: 80px;" type="text" value="\$0"/>
Software:	<input style="width: 80px;" type="text" value="\$0"/>	<input style="width: 80px;" type="text" value="\$0"/>	<input style="width: 80px;" type="text" value="\$0"/>	<input style="width: 80px;" type="text" value="\$0"/>	<input style="width: 80px;" type="text" value="\$0"/>
Hardware:	<input style="width: 80px;" type="text" value="\$0"/>	<input style="width: 80px;" type="text" value="\$0"/>	<input style="width: 80px;" type="text" value="\$0"/>	<input style="width: 80px;" type="text" value="\$0"/>	<input style="width: 80px;" type="text" value="\$0"/>
Professional Services:	<input style="width: 80px;" type="text" value="\$0"/>	<input style="width: 80px;" type="text" value="\$0"/>	<input style="width: 80px;" type="text" value="\$0"/>	<input style="width: 80px;" type="text" value="\$0"/>	<input style="width: 80px;" type="text" value="\$0"/>
Materials & Supplies:	<input style="width: 80px;" type="text" value="\$0"/>	<input style="width: 80px;" type="text" value="\$0"/>	<input style="width: 80px;" type="text" value="\$0"/>	<input style="width: 80px;" type="text" value="\$0"/>	<input style="width: 80px;" type="text" value="\$0"/>
Contingency/Other:	<input style="width: 80px;" type="text" value="\$0"/>	<input style="width: 80px;" type="text" value="\$0"/>	<input style="width: 80px;" type="text" value="\$0"/>	<input style="width: 80px;" type="text" value="\$0"/>	<input style="width: 80px;" type="text" value="\$0"/>
Project Total:	<input style="width: 80px;" type="text" value="\$0"/>	<input style="width: 80px;" type="text" value="\$0"/>	<input style="width: 80px;" type="text" value="\$0"/>	<input style="width: 80px;" type="text" value="\$0"/>	<input style="width: 80px;" type="text" value="\$0"/>
Total Cost (5 Years)	<input style="width: 80px;" type="text" value="\$0"/>		+ Annual ongoing costs		<input style="width: 80px;" type="text" value=""/>
Funding Source	FY2018-19 Approved	Q2 Balance	FY2019-20 Request	FY2020-21 Request	
COIT Allocation	<input style="width: 80px;" type="text" value="\$0"/>	<input style="width: 80px;" type="text" value="\$0"/>	<input style="width: 80px;" type="text" value="\$0"/>	<input style="width: 80px;" type="text" value="\$0"/>	
Major IT	<input style="width: 80px;" type="text" value="\$0"/>	<input style="width: 80px;" type="text" value="\$0"/>	<input style="width: 80px;" type="text" value="\$0"/>	<input style="width: 80px;" type="text" value="\$0"/>	
Other GF Sources	<input style="width: 80px;" type="text" value="\$0"/>	<input style="width: 80px;" type="text" value="\$0"/>	<input style="width: 80px;" type="text" value="\$0"/>	<input style="width: 80px;" type="text" value="\$0"/>	
Any Other Source (NGF)	<input style="width: 80px;" type="text" value="\$0"/>	<input style="width: 80px;" type="text" value="\$0"/>	<input style="width: 80px;" type="text" value="\$0"/>	<input style="width: 80px;" type="text" value="\$0"/>	
<input style="width: 100%; height: 25px;" type="button" value="Scoring Rubric"/>		<input style="width: 100%; height: 25px;" type="button" value="See Full Project"/>		<input style="width: 100%; height: 25px;" type="button" value="Save & Close"/>	

COIT Budget - Structured Scoring Rubric

Criteria	Poor - 1	Mixed - 2	Good - 3	Excellent - 4
Strategic Value (Goals, Impact)	Largely about convenience, not strategic. Not tied to a goal. Project replicates old process, or legacy technology features.	Focused department goals only. Does not consider ICT or Mayoral priorities. Minor transformative value to operations or services.	Mayoral and ICT goals clearly influence project objectives. Project largely promises department specific changes, but could be an example.	Alignment with Mayoral, ICT, department goals. Supports "One City" approach. Project needed to accomplish strategic goals.
Project Benefits (Users, Measures)	End users not clearly defined. Vague notion of how they will benefit. No method to measure benefits. No plan to iteratively improve.	User benefits focused on employees. No clear connection how public will benefit. Basic measures provided, unconvinced measures will be used to improve service.	Project is orientated to address a specific need/problem. End user will clearly benefit. Established methods to incorporate measures and improve.	Project is designed to transform service experience. User issues and journey well understood. Current state measures already being used to inform design.
Financial Benefits (Savings, Fund Match)	No analysis of projected ongoing costs, staffing requirements. 100% COIT supported.	Some backup for cost estimates & ongoing costs. Unclear if there will be savings, if any. Dept will provide 1-50% funds.	Strong project cost estimates and realistic ongoing costs. Projected savings can be captured. Dept will provide 50% of funds.	Project has clear sense of costs and identifiable savings. Savings can be redirected to support future efficiencies. Dept will provide 50% of funds.
Regulatory Compliance & Risk Management (Policy, Security)	No Regulatory Requirement. No consideration for security. Unsure if sensitive data will be on system.	No Regulatory Requirement. Unclear how department will conduct risk assessment. Loose understanding of data sensitivities.	Regulation exists, but satisfied by other means. Security practices established. Working understanding of how to classify and protect data.	Project is required to satisfy regulatory requirement. A leading example of how to incorporate new technology and protect systems and data.
Architecture & Development Plan (Dev Methods, Sharing)	100% custom development. Business separated from IT. Technology to be built by outside the business. Siloed solution for department only.	User research/testing only done to satisfy COIT requests. Unconvincing the "business" will own the project. Data sharing only if asked.	Department consulted DT and designing architecture to align with other departments, and user needs. Will form sharing agreements.	Project is central to promoting shared architecture. Multiple depts actively coordinating. Design will be iterative to meet business needs.
Department Capacity (Planning, Staffing, Change Management)	Identified the solution before understanding the problem. No dedicated staff to support build, change management. No capacity for another project.	Light understanding of alternative solutions. Did not coordinate with other depts. Has put some thought into promoting adoption.	Conducted thorough scoping of market alternatives, and existing solutions in the City. Have an established practice to manage projects, change management.	Conducted specific user research/testing in the scoping phase. Clear understanding of problem and available solutions. Department already engaging in change management.

COIT Budget - Scoring

Criteria	COIT Notes	Score
Strategic Value (Goals, Impact)		
Project Benefits (Users, Measures)		
Financial Benefits (Savings, Fund Match)		
Regulatory Compliance & Risk Management (Policy, Security)		
Architecture & Development Plan (Development Methods, Sharing)		
Department Capacity (Planning, Staffing, Change Management)		
TOTAL		