IT Transformation

September 25, 2012
Benefits the IT Transformation will deliver

**Key benefits to IT customers**
- Elevated business delivery through Cluster CIO partnerships that make IT — more aligned with needs — more innovative
- Ability to focus on core mission without losing transparency and influence in IT decision-making
- More value and resources for IT dollars spent

**Key benefits to IT personnel**
- Personal/professional growth and opportunities for promotion
- Development of world-class skills and experience with state-of-the-art technologies
- Be part of building a new high-performing IT organization

Better services for New Yorkers
What the IT Transformation means operationally

The **Office of Information Technology Services (ITS)** consists of **Enterprise** services and **8 Clusters**:
- Services common to all State agencies, e.g., email, data centers, security, managed at the enterprise level
- Clusters represent and ensure delivery on the specific needs of agencies within their domains

![Diagram showing the IT Transformation process](image-url)

### IT Transformation

- **Enterprise**
  - Enterprise IT Architecture
  - Enterprise Data Architecture
  - Information Security
  - Enterprise IT Portfolio Management
  - Former OFT Services

### Future-state ITS

- **Enterprise**
  - Enterprise IT Architecture
  - Enterprise Data Architecture
  - Information Security
  - Enterprise IT Portfolio Management
  - Infrastructure Services

- **Cluster 1**
  - Agency-specific
    - Business Application Delivery
    - Program and Project Management
Information Technology Services (ITS)

Cluster Chief Information Officer(s)

NYS Chief Information officer (CIO)
Daniel C. Chan - Acting

Chief Portfolio Officer (CPO)
Mahesh Nattanmai

Director of Admin
Theresa Papa

Chief Counsel
Karen Geduldig

Chief Technology Officer (CTO)
Kishor Bagul

Chief Data Officer (CDO)
Barbara Cohn

Chief Operations Officer (COO)
Kim McKinney

Chief Information Security Officer (CISO)
TBD
Cluster CIO Groupings

**Health & Human Services**

**Health**
- Dept. of Health
- Medicaid
- Office of Mental Health
- Office of the Medicaid Inspector General

**Behavioral Health**
- Office of Alcoholism and Substance Abuse Services
- Office for People with Developmental Disabilities
- Commission on Quality of Care and Advocacy for Persons with Disabilities
- Office for the Aging

**Human Services**
- Office of Children and Family Services
- Office of Temporary and Disability Assistance
- Dept. of Labor
- Office of the Welfare Inspector General
- Division of Human Rights

**Public Safety**
- Division of Criminal Justice Services
- Division of State Police
- Office for the Prevention of Domestic Violence
- Office of Victim Services
- Dept. of Corrections and Community Supervision
- Division of Homeland Security and Emergency Services
- Division of Military and Naval Affairs
- State Commission on Corrections
- IDOA
- Commission on Judicial Conduct
- Indigent Legal Services

**Transportation / Economic Development**
- Dept. of Transportation
- ESDC/DED
- NY Homes and Community Renewal

**Finance / Regulation / Gaming**
- Division of Budget
- Dept. of Taxation and Finance
- Department of Financial Services
- Division of the Lottery
- Racing and Wagering Board

**Environment & Energy**
- Dept. of Environmental Conservation
- Dept. of Agriculture and Markets
- Office of Parks, Recreation, and Historic Preservation
- Adirondack Park Agency
- Public Service Commission
ITS Cluster Structure
Functional Organization

Cluster Chief Information Officer (CCIO)

- Enterprise Architecture & Shared Services
  - Enterprise Architecture and Standards
  - Application Architecture
  - Enterprise Information Management

- Project & Program Management
  - IT Strategic Planning and Change Management
  - Project Management
  - Business Analyst
  - Quality Assurance

- Business Solutions
  - Customer Relationship Management
  - Application Development and Support

- Information Security Services
  - Information Security Standards and Compliance

- Service Management
  - Performance and Standards
  - Help Desk
  - Network and Communication Administration
  - Mainframe System Administration
  - Server Administration
  - Database Administration
  - Software Administration
  - Desktop Support

- IT Resource Management
  - IT Human Resources
  - IT Finance
  - IT Contracts
  - IT Assets
  - IT Training
Objective

Transfer staff functionally performing IT activities to ITS using Civil Service Law, Section 70.2 beginning November 22\textsuperscript{nd}, 2012.

Key Takeaways

- Staff substantially engaged in IT functions will be transferred to ITS
  - This transfer of function will not involve layoffs, but employees who decline or do not respond to transfer offers will lose all rights to their positions and will be removed from the payroll if their position is transferred.
- Status and classification issues will be addressed after the transfer of function
Staff Transfer Summary

• Staff in an IT or other title identified as substantially engaged in IT work
• Cluster CIOs meeting with agency heads to identify staff substantially engaged in IT functions – used as the basis for the staffing rosters
• All positions in IT titles remaining in agency will be earmarked by DOB and Civil Service for review when vacated – no current incumbents will be impacted

• Staff who are substantially engaged in duties in support of an IT division or functions
• Cluster CIOs negotiating transfer of funded vacancies in lieu of multiple partial FTEs

• All vacant and hold IT items identified as substantially engaged will also be transferred to ITS
Working Conditions

• Labor Management Committee
• Work Rules
• Work Location
• Work Schedule
• Parking
Transfer Timeline

**Key Outreach**
- 9/25 Union Briefing

**Staff Rosters**
- 9/28 Initial Staff Roster to Agency Heads

**SLA Distributed**
- 10/1 CCIOs distribute SLA to Agency Leaders

**Agency Certification**
- 10/15 MOA Signed/Transfer Roster Certified

**Initiate 70.2 Process**
- 11/1 Individual employees on certified roster sent offers of transfer and advised of rights

**Employee Response Due**
- 11/16 Note: A failure to respond to an offer of transfer will be treated as a declination

**Protest Period Ends**
- 11/21

**70.2 Process Effective Date**
- 11/22
Appendix:
Transfer FAQs for Employees
1. Is ITS the new name for OFT?
   - No, the Office of Information Technology Services (ITS) is a whole new entity that will provide IT services to New York State. OFT only covered 30% of what ITS will do, and all OFT activities, staff, and budget have been rolled into the new ITS.

2. How is OFT going to change?
   - Existing OFT services and employees will be consolidated within the new Office of Information Technology Services (ITS).

3. What services will ITS provide?
   - ITS will lead the transformation efforts of IT operations, establish IT policies and standards, and provide efficient and effective IT services to all State agencies.
   - The Enterprise group provides infrastructure and shared platform services that benefit from scalability and standardization, such as data centers, networks, servers, IT security, desktops and laptops, e-mail, web content management, business intelligence, identity and access management.
   - The Cluster CIOs, reporting to the State CIO, provide services that require more tailoring to the needs of the agencies within their scope, such as agency-specific business application delivery, program and project management.

4. What services will stay in the agencies?
   - All IT services will be transitioned into the Cluster or Enterprise groups; transitioned staff will remain physically at agency of origin at this time.

5. What is the goal of consolidating IT services?
   - The goal of consolidation is to improve State IT services to the public and agencies, end duplicative processes, reduce costs and allow for greater flexibility in employee assignment and career opportunities. The State has an opportunity through this consolidation to better use IT as an enabler of government reform.
6 How will the transition to ITS be staged?

- It is very important that the process minimizes disruption to State businesses and to the people who provide excellent IT services within the current structure.
- ITS will begin by maintaining the same IT services an agency receives today through a combination of Enterprise- and Cluster-provided services. These services will be clearly outlined in service agreements established with each agency.

7 In addition to Clusters, what other new IT functional groups will exist within ITS?

- ITS will be led by the State Chief Information Officer (CIO), supported by a Chief Portfolio Officer (CPO), Chief Technology Officer (CTO), Chief Data Officer (CDO), Chief Operations Officer (COO), Information Security Officer (ISO), Cluster Chief Information Officers (CCIOs), Director of Administration, and Chief Counsel. Under the leadership of the Chief Operations Officer, all the State’s infrastructure services will be consolidated and presented as a shared service offering to NYS agencies. The infrastructure service catalog will include data center services, network, telecommunication, e-mail, and enterprise identity and access management. In addition, ITS is responsible for setting the State’s architecture standards, and data integration across policy areas.

8 What are the IT Transformation projects and how do they fit within the new ITS organization?

- The IT Transformation started in 2011 with four initiatives that were focused on cost savings and improved efficiency: Data Center Consolidation, Email Services, Converged Network Services, and Enterprise Identity and Access Management. These projects are ongoing and incorporated within ITS responsibilities.

9 How are agencies aligned in the cluster groups and who are the Cluster CIOs?

- A cluster is a group of agencies that are associated with each other based on the similarity of their business missions. Because agencies within a cluster share similar missions, they often also share similar customers, data, business processes and common IT needs. These commonalities naturally serve as a basis to share technologies and identify interoperable and interrelated IT initiatives.
Staff FAQs and answers (3/8)

Cluster groups, Cluster CIOs, and constituent agencies

<table>
<thead>
<tr>
<th>Health &amp; Human Services</th>
<th>Public Safety</th>
<th>General Government</th>
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<tbody>
<tr>
<td><strong>TBD</strong></td>
<td><strong>Anne Roest</strong></td>
<td><strong>Adam Gigandet</strong></td>
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<td>John Norton</td>
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<td>Health</td>
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<td>Dept. of Health</td>
<td>Division of Criminal Justice Services</td>
<td>Dept. of Civil Service</td>
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<td>Medicaid</td>
<td>Division of State Police</td>
<td>Office of Employee Relations</td>
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<td>Office of Mental Health</td>
<td>Office for the Prevention of Domestic Violence</td>
<td>Office of General Services</td>
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<td>Office of the Medicaid</td>
<td>Office of Victim Services</td>
<td>Deferred Compensation Board</td>
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<td>Inspector General</td>
<td>Dept. of Corrections and Community Supervision</td>
<td>Dept. of Motor Vehicles</td>
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<td>Division of Homeland Security and Emergency Services</td>
<td>Dept. of State</td>
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<td>Division of Military and Naval Affairs</td>
<td>State Board of Elections</td>
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<td>State Commission on Corrections</td>
<td>State Liquor Authority</td>
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<td>Commission on Judicial Conduct</td>
<td>State Inspector General</td>
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<td>Indigent Legal Services</td>
<td>Workers’ Compensation Board</td>
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<td>Authority Budget Office</td>
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<td>Division of Veterans Affairs</td>
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| Behavioral Health       |            |                   |
| **Robert Vasko**        |            |                   |
| Office of Alcoholism and Substance Abuse Services |               |                   |
| Office for People with Developmental Disabilities |               |                   |
| Commission on Quality of Care and Advocacy for Persons with Disabilities |               |                   |
| Office for the Aging    |               |                   |

| Human Services          |            |                   |
| **William Travis**      |            |                   |
| Office of Children and Family Services |               |                   |
| Office of Temporary and Disability Assistance |               |                   |
| Dept. of Labor          |               |                   |
| Office of the Welfare Inspector General |               |                   |
| Division of Human Rights|               |                   |

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| Brian Digman                       |                              |                      |
|                                       |                              |                      |

<p>| Leslie Brennan                    |                              |                      |
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<th>Question</th>
<th>Answer</th>
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<td>10</td>
<td>Will all employees move to a centralized work site?</td>
<td>No, many IT employees will continue to support customer agencies and will not require a physical move. Their primary responsibility will remain the same – to serve the business needs of the agencies. Physical changes for individuals over time will only happen when there is a business need.</td>
</tr>
<tr>
<td>11</td>
<td>Will all IT staff be transferred to ITS?</td>
<td>All staff substantially engaged in IT functions will be transferred to ITS; the only exception being staff not substantially engaged in performing an IT function. Staff will have the opportunity to explore roles within both the Enterprise and Cluster groups.</td>
</tr>
<tr>
<td>12</td>
<td>What job titles are included in the consolidation?</td>
<td>The consolidation does not focus on specific titles but rather on IT functions within the designated State agencies, along with related IT support functions. Work is underway with the agencies to identify the actual activity that is dedicated to information technology and develop a methodology to ascertain the impacted staff.</td>
</tr>
<tr>
<td>13</td>
<td>Will there be layoffs?</td>
<td>A reduction of staff is not expected. Over time, as consolidation efficiencies are achieved, the same level of service will be provided with the same staffing levels, so any reduction in force is expected to be accomplished through attrition rather than by staff layoffs. Staff may be relocated or repositioned within the IT organization as IT services evolve.</td>
</tr>
<tr>
<td>14</td>
<td>Will support staff who work with IT staff be part of the consolidation?</td>
<td>Agencies will be identifying and accounting for the necessary level of administrative support that the entity provides its IT function. Those necessary employees who are substantially engaged in IT work will be transferred.</td>
</tr>
<tr>
<td>15</td>
<td>Will existing IT consultants and Research Foundation employees doing agency IT work be part of the consolidation?</td>
<td>If they perform the IT functions referenced above, they will be part of the IT consolidation, regardless of funding source.</td>
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### Staff FAQs and answers (5/8)

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<td>16</td>
<td>Who is going to determine which IT employees will be included in the transfer?</td>
<td>Each agency will work with ITS to determine the number and responsibilities of all IT employees in the agency, based upon the IT functions that will be transferred.</td>
</tr>
<tr>
<td>17</td>
<td>Some agencies allow for telecommuting, flextime, alternate work schedules and compressed work weeks. Will these practices continue in ITS?</td>
<td>Employee work schedules must be consistent with the operating needs of ITS. Decisions on how best to address agencies’ varying work practices will be part of the long range planning effort. Until these decisions are made, the time and attendance and other HR practices of your existing agency will apply.</td>
</tr>
<tr>
<td>18</td>
<td>When the transition occurs for agency IT employees to become employees of ITS, how will employees be transferred to the new agency?</td>
<td>The process for transferring employees from one state agency to another is done in accordance with Civil Service Law, Section 70.2. Section 70.2 is a formalized process that provides for the transfer of staff “substantially engaged” in the function to be transferred from one state agency to another.</td>
</tr>
<tr>
<td>19</td>
<td>What does it mean to be “substantially engaged” in the function to be transferred?</td>
<td>Generally, employees serving in specialized titles or in an organizational unit which is specific to the function or operation being transferred may be considered as substantially engaged.</td>
</tr>
<tr>
<td>20</td>
<td>How are “substantially engaged” employees identified?</td>
<td>The current agency performing the function, in consultation with ITS, determines which employees and the titles in which they serve are substantially engaged in the performance of the function to be transferred.</td>
</tr>
</tbody>
</table>
21. If an employee is identified as substantially engaged, can he/she refuse the transfer?

- An employee may refuse the transfer, but his/her position may still be transferred to ITS. Employees who refuse the transfer and whose position is being transferred and not abolished have no displacement rights under Civil Service Law, sections 80 or 80(a). An employee who refuses the transfer will lose all rights to his/her position, will be removed from the payroll and will not be entitled to reemployment rights. However, if the transfer will result in a change in employees’ geographic work location from one county to another, the names of tenured employees will be placed on appropriate reemployment lists effective the date of the transfer.

22. If an employee fails to respond to or declines the offer of transfer, will he/she be offered a second opportunity to transfer?

- No. An employee who declines or fails to respond to an offer of transfer waives all rights to transfer to ITS under section 70.2.

23. If an employee intends to protest his/her inclusion on the list of substantially engaged employees, should he/she respond to the offer of transfer?

- The employee should accept the transfer even if he/she intends to file a protest or he/she will waive all rights to the transfer if his/her protest is denied.

24. With whom does the employee file a protest?

- The protest should be in writing to the head of their current agency with a copy to ITS and should include the specific reasons for the protest.
25. If an employee transfers to ITS under Section 70(2) and decides he/she doesn’t like the assignment, the environment, the location, etc., can he/she return to the former agency?

- Only when the transferred employee has a hold on an item in their former agency can he/she return.

26. How is an employee probationary status affected by a transfer to ITS?

- Only those employees who are in probationary status at the time of transfer will be required to serve probation in ITS. Such employees are not required to serve an entirely new probation in ITS, but merely to complete the probationary period they began in the former agency. As such, ITS will have the balance of the original probationary period to make the determination as to whether a probationary employee will be retained.

27. If a permanent probationary employee on leave from his / her hold item transfers to ITS, will the hold item be transferred as well?

- The hold item will be transferred if it is identified as one that is “substantially engaged in the performance of the function” to be transferred. If the hold item is not “substantially engaged”, it will remain in your current agency.

28. In situations where a permanent probationer on leave from his / her hold item transfers to ITS but the hold item stays behind, is ITS required to establish a hold there?

- No. The employee will be on probation in ITS and on leave from the former agency.

29. Does a probationary employee have the option of returning to their hold item rather than transfer to ITS?

- Yes, unless the hold item has also been identified as part of the function to be transferred.
30 How will promotional eligibility lists be affected by ITS transfers?

- For interdepartmental promotion (IDP) lists, permanent, non-probationary employees’ names will be added to the department portion of the lists in ITS, in score order and removed from their former agency’s list. No employee request is necessary for this. Until the transfer occurs, existing agency lists remain in force. Where the transferred employee is a permanent probationer with a mandatory leave from their former agency, the employee’s name will remain on their former agency’s department portion of the IDP list until the leave ends. At such time, the employee’s name will be removed from the former agency’s department portion of the IDP list, and upon the employee’s request, his/her name will be added to the ITS list. For agency-specific department promotion lists, the employee’s name will be removed from the former agency’s list effective the date of transfer unless that employee has a leave from a position in his/her former agency. In that case, the employee’s name will remain on the former agency’s list for the duration of such leave.

31 Does this transfer affect eligibility from open-competitive (OC) lists?

- Eligibility from OC lists will not be affected.

32 What is the layoff configuration of ITS?

- ITS is a single layoff unit unless and until a new layoff unit configuration is agreed upon.

33 How will consistency among IT classifications and grades be handled among agencies across the State?

- An extensive analysis will be undertaken to ensure consistency in IT classifications and grades as part of ITS implementation. It is anticipated that the consolidation will result in more consistency in how positions are classified.
34 Will IT employees have the opportunity to provide input during the consolidation process?

- IT employees are well positioned to have valuable insight on their entity’s IT services, particularly in light of the early consolidation of IT within the agency. IT employees should communicate any suggestions, ideas, or concerns to their Cluster CIO. On an enterprise level, ITS will be creating mechanisms for employee input into the overall consolidation process.

35 Will parking spots be reallocated as a result of transfers to ITS?

- This has not been determined at this time, but it is recognized as an important issue and all efforts will be made to minimize changes to parking spaces.
Workforce transition timeline

- Nov 1: Impacted staff notified and transfer lists posted
- Nov 16: Transfer acceptance period (10 days)
- Nov 21: Protest period ends
- Nov 22: Effective date of transfer