

California State Library IT Capital Plan

October 2008



Information Technology Capital Plan, Plan Year 2009-10 through 2013-14 Executive Approval Transmittal

Department Name

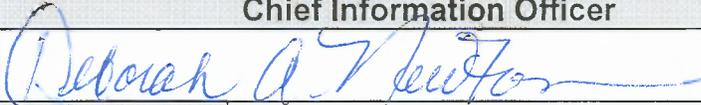
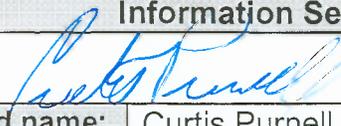
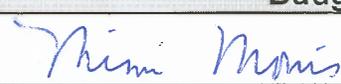
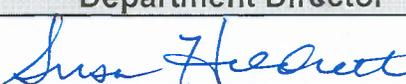
California State Library

APPROVAL SIGNATURES

I am submitting the attached Information Technology Capital Plan as required by the State Administrative Manual Section 4904.

I certify that the IT Capital Plan was prepared in accordance with State Information Management Manual section 57 and that the proposed IT projects are consistent with our business strategies and information technology strategy.

I have reviewed and agree with the information in the attached Information Technology Capital Plan.

Chief Information Officer		Date Signed
		9/25/08.
Printed name:	Deborah A. Newton	
Information Security Officer		Date Signed
		9/25/08
Printed name:	Curtis Purnell	
Budget Officer		Date Signed
		9/25/08.
Printed name:	Mimi Morris	
Department Director		Date Signed
		9/24/08
Printed name:	Susan Hildreth	

DEPARTMENT IT CAPITAL PLAN

Department Name and Org Code:

6120 — California State Library

Plan Year:

2009-10 through 2013-14

1. Summarize your organization's business goals and objectives below:

The State Library's main strategic focus areas can be summarized into four agency goals:

- Align library services to meet changing needs of customers, with specific reference to electronic information services;
- Manage and preserve the Library's collections;
- Increase the effectiveness and efficiency of State Library operations; and
- Position the State Library as a significant cultural institution and as a source of information relating to the cultural and social development of California.

Translating these State Library business goals, with an IT focus they are defined as:

- Adopt and maintain appropriate technologies that provide library services and original research and grant information to meet the changing needs of diverse groups of customers;
- Explore, implement, develop and support technologies and systems to effectively and efficiently manage, preserve, and make accessible the collections of the California State Library;
- Implement, operate and maintain infrastructures, systems and applications that increase the effectiveness and efficiency of State Library operations; and
- Explore opportunities to implement projects and technologies that will position the California State Library as a significant source of information on the cultural and social development of California.

Specific State Library objectives that support the IT and agency goals are:

Goal 1: Adopt and maintain appropriate technologies that provide library services to meet the changing needs of customers:

1. By January 2009, provide access via the web to databases maintained by the California History Section, including the CallINFO file, phone directory database, city directory database, and Gladding McBean projects file.
2. By June 2009, implement systems that enable the Braille and Talking Book Library to fully support the new digital book formats to be adopted by the Library of Congress National Library Service for the Blind and Physically Handicapped (NLS).
3. By June 2009, implement further changes to CSL's websites to improve navigation, content and functionality with a customer-centric perspective.
4. By December 2009, take steps to further clarify CSL's role, explore potential partnerships, identify current projects, and explore technical solutions to support access to digital government information for state government and the public.
5. By December 2010, implement openURL and federated search tools to expand and enhance access to electronic databases and for state government officials and staff.

6. Continue to provide technical assistance to local public libraries in the areas of information technology, telecommunications, electronic access to information, grant information and technology planning for library facilities.

Goal 2: Explore, implement, develop and support technologies and systems to effectively and efficiently manage and preserve the collections of the California State Library.

7. By June 2009, migrate CSL's DRA Classic Integrated Library System (ILS) to a viable, supported alternative. Also see objectives 2 and 3, above, and 9, 12, 19 and 20, below.

Goal 3: Implement and maintain infrastructures, systems and applications that increase the effectiveness and efficiency of State Library operations.

8. By October 2008, successfully implement NAS storage capability for individual users' accounts critical files.
9. By December 2008, install hardware, software and connectivity necessary to provide digital recording capability in the Braille and Talking Book Library.
10. By January 2009, provide connectivity and cabling infrastructure necessary to support staff and collection moves necessary to the Library-Courts I renovation project.
11. By April 2009, upgrade backbone cabling in LCII to support 1GB internal network capacity.
12. By April 2009, enhance capabilities for performing software upgrades and updates over the network.
13. By June 2009, perform recovery tests for major CSL servers, including the email server.
14. Continue to provide input and develop technology plans to support Sutro Library in its future home in the J. Paul Leonard Library Building.
15. By December 2010, perform a security audit of CSL's network and systems.

Goal 4: Explore opportunities to implement projects and technologies that will position the California State Library as a significant source of information on the cultural and social development of California.

16. Expand on the Southern California photograph project by continuing the digitization and catalog linking of the CSL's collection of 200,000 historic photographs.
17. By December 2009, consider options for the next generation system and tools for providing access to CSL digital collections, with particular emphasis on the California documents and historic photograph collections.
18. By June 2009, enhance the public's access to information relating to projects and activities funded via the California Cultural and Historic Endowment and California Civil Liberties Public Education Project.

2. **What are your organization's plans to upgrade or replace your IT infrastructure for the following? When responding, please indicate the timeframes of your intended upgrade or replacement efforts.**

2.A1. Hardware

FY	Planned Hardware Refresh	Estimated Cost
2009/10	4 PC Servers, 100 PCs, 12 laptops, misc. peripherals (printers, scanners, data projectors)	\$244,000
2010/11	3 PC Servers, 100 PCs, 12 laptops, misc. peripherals (printers, scanners, data projectors)	\$234,000
2011/12	3 PC Servers, 2 NAS servers, 100 PCs, 12 laptops, misc. peripherals (printers, scanners, data projectors)	\$281,000
2012/13	8 PC servers, 1 storage server, tape autoloader, 100 PCs, 12 laptops, misc. peripherals (printers, scanners, data projectors)	\$331,000
2013/14	1 PC server, 100 PCs, 12 laptops, misc. peripherals (printers, scanners, data projectors)	\$219,000

2.A2. Software

FY	Planned Software Upgrades	Estimated Cost*
2011/12	Windows Operating System on Clients (current platform is XP Pro) (375 licenses)	\$27,000
2011/12	Office Pro (current platform is Office 2003 Pro) (375 licenses)	\$25,000

*Estimated cost based on educational licenses.

2.A3. Network

FY	Planned Network Upgrades	Estimated Cost
2012/13	PIX 515E - UR & FO Firewalls	\$30,000

3. Existing Approved Reportable IT Projects

Provide the following information regarding your existing approved reportable IT projects on Table 1 on the following page:

- Existing IT Project;
- Approved Project Cost;
- Project Number; and
- Implementation Date

4. Proposed IT Projects

After each proposed IT project has been documented by answering questions 4.A1

through 4.B1 of the attached IT Project Proposal Form, provide the following information on Table 2 on the following page:

- **The name of each proposed IT project;**
- **The priority ranking;**
- **The FSR submission date; and**
- **The estimated cost**

Table 1-Existing Approved Reportable IT Projects Summary by Department

Existing IT Project	Approved Project Cost*	Project Number	Implementation Date
Integrated Library System Replacement	\$2,544,000 (approval letter of 1/07) \$2,746,087 (revised EAWs submitted 5/08)	6120-9	System acceptance scheduled for 6/30/09

***Note:** If a Special Project Report (SPR) was submitted for review in July 2008 that includes project costs that differ from the last approved project document, enter both the last approved project cost and the revised project cost from the SPR under review.

Table 2-Proposed IT Project Summary

Proposed IT Project	Priority Ranking	FSR Submission Date	Estimated Total Cost
Digital Document Repository System	1	Not yet determined	Not yet determined
Historic Photographs – Media Archive Solution	2	Not yet determined	Not yet determined

PROPOSED IT PROJECTS

Complete this IT Project Proposal Form (questions 4.A1 through 4.B1 below) for each proposed IT project that meets the definition of a reportable project as defined in the State Administrative Manual Section 4819.37:

4.A1. Proposal name and priority ranking:

Digital Document Repository System

4.A2. Description of the proposed IT project:

Background:

Since 1850, the CSL has collected and preserved the publications of the three branches of state government. In 1945 the Library Distribution Act (Government Code 14900 – 14913) was passed to establish the California depository program making all CA state documents freely available to the citizens of the state. CSL is responsible for carrying out the provisions of the Act and administering the depository program. Historically, distribution of state documents to CSL and the other depository libraries has largely been carried out through shipments directly from the State Printer or by the issuing department.

Problem:

Today increasing numbers of State documents are “published” electronically via state agency websites and never printed and distributed to libraries. There is no overall plan for ensuring in the years to come that the public will have access to California state government documents that exist only in digital format or to the historic record they represent. Many of today’s documents are destined to be lost forever to the historic record.

In 2005 as an interim measure, CSL began capturing and archiving state documents utilizing a digital archive solution offered by OCLC, a not-for-profit library organization (<http://www.oclc.org/us/en/about/default.htm>). This archiving solution has enabled CSL to selectively capture electronic state documents and make them available over the Internet, however a small portion of documents produced by the state are currently saved and the repository and document preservation systems that currently exist do not address all the issues necessary to ensure long-term preservation and integrity of these resources, not just for decades, but for centuries.

Project:

CSL, in conjunction with broader state government, must explore next-generation solutions for digital document preservation that address document discovery, harvesting, metadata capture, data integrity, format migration, access, and other long-term management requirements. In conjunction with this exploration of options,

CSL must also address resources required to manage a digital preservation collection and preservation system.

4.A3. Which of your department's business goals and objectives does this project support, and how?

This planned project meets the following strategic goals and objectives:

- Align library services to meet changing needs of customers, with specific reference to electronic information services
 - Develop plans and funding to support and encourage state and public access to information, reflecting the changes underway at the federal level in the Government Printing Office and its library depository program, the National Technical Information Service, and at the state level through eGovernment initiatives.
- Manage and preserve the collections

4.A4. What are the expected business outcomes or benefits of the proposal as they relate to your organization's business goals and objectives?

This project directly supports the State Library's mission and legislative mandate to collect, preserve and make freely available to its citizens the documents produced by state government.

4.A5. The following are from the State's IT strategic plan. Check the appropriate box(es) to identify the goals this proposal supports:

- Supporting and enhancing services for Californians and businesses
- Enhancing information and IT security
- Reducing state operational costs (leveraging, consolidation, new technology, etc.)
- Improving the reliability and performance of IT infrastructure
- Enhancing human capital management
- Supporting state and agency priorities and business direction

4.A6. Is the proposal consistent with your organization's Enterprise Architecture?

- Yes
- No

If no, please explain why the deviation from the organization's Enterprise Architecture is necessary.

CSL does not have a formal Enterprise Architecture.

4.A7. Will the proposed system collect, store, transmit, or exchange confidential or sensitive information?

- Yes
 No

4.A8. If this proposal is conceptually approved, what is the estimated date (mm/yyyy) the FSR will be submitted?

Not yet determined.

4.A9. What is the estimated project start date (mm/yyyy) if the FSR is approved?

Not yet determined.

4.A10. What is the duration of the proposed project?

Not yet determined. Technical alternatives have not yet been fully explored.

4.A11. Will the proposed project utilize the existing infrastructure?

- Yes
 No

If no, please explain.

Not yet determined.. Technical alternatives have not yet been fully explored and no specific alternative has been identified.

4.A12. Is the proposal related to another proposal or to an existing project?

- Yes
 No

If yes, describe the related proposal or project and how it is related:

The solution should interface with and be compatible with the Integrated Library System being implemented during FY 2008/09 as approved project 6120-9.

4.A13. Describe the consequences of not doing this proposed project at the planned timeframe:

Many of state government's publications, that capture and preserve the state's history and record, are being lost or at risk of being lost.

4.A14. Check the appropriate box(es) to identify the proposal's funding strategy:

- Augmentation needed
 Redirection of existing funds
 Other (describe):

4.A15. What are the estimated cost and funding source(s) by fiscal year through implementation (information should be provided in the following format):

Not yet identified.

Fund Source	2009-10	2010-11	2011-12	2012-13	2013-14 and future	Total
General Fund						
Federal Fund						
Special Fund*						
Total						

* Note: Identify the fund source and if the department is the sole user of the fund.

4.B1. Proposal name and priority ranking:

Historic Photographs – Media Archive Solution

4.B2. Description of the proposed IT project:

Background:

The California State Library collections include approximately 200,000 historic photographs, many rare and unique, that chronicle virtually every region and time period in the state’s history from the mid-1800s to the present. In 2001 CSL embarked upon a pilot project to digitize a subset of approximately 15,000 photographs of Los Angeles and make them searchable and available via CSL’s website (Approved as project #6120-007). CSL has continued to add to this collection of digitized photographs and now has approximately 20,000 photos available via the online catalog.

Problem:

While the digitization and access method being used is functional today, the system lacks the level of scalability and digital management features needed for future growth and for long-term preservation and access.

Project:

CSL plans to investigate options for future management of this digital collection that considers scalability, persistency of urls, data integrity and management, data migration, digital rights management, collection management features and other functions required for long-term management of a valuable digital asset.

4.B3. Which of your department's business goals and objectives does this project support, and how?

This planned project meets the following strategic goals and objectives:

- Align library services to meet changing needs of customers, with specific reference to electronic information services
 - Enhance electronic access to the collections.
- Manage and preserve the collections
- Position the California State Library as a significant cultural institution and as a source of information relating to the cultural and social development of California
 - Develop the visual and pictorial collection of the California History Collection as a major resource for scholars and researchers

4.B4. What are the expected business outcomes or benefits of the proposal as they relate to your organization's business goals and objectives?

Expected outcomes of this project include greater public access to the historic pictorial resources of the State Library and preservation of the state's historic record through these resources. Further, this project is expected to reduce the physical handling of the collection of prints and negatives that will help to slow the deterioration and destruction currently taking place with these materials.

4.B5. The following are from the State's IT strategic plan. Check the appropriate box(es) to identify the goals this proposal supports:

- Supporting and enhancing services for Californians and businesses
- Enhancing information and IT security
- Reducing state operational costs (leveraging, consolidation, new technology, etc.)
- Improving the reliability and performance of IT infrastructure
- Enhancing human capital management
- Supporting state and agency priorities and business direction

4.B6. Is the proposal consistent with your organization's Enterprise Architecture?

- Yes
- No

If no, please explain why the deviation from the organization's Enterprise Architecture is necessary.

CSL does not have a formal Enterprise Architecture.

4.B7. Will the proposed system collect, store, transmit, or exchange confidential or sensitive information?

- Yes
- No

4.B8. If this proposal is conceptually approved, what is the estimated date (mm/yyyy) the FSR will be submitted?

Not yet determined.

4.B9. What is the estimated project start date (mm/yyyy) if the FSR is approved?

Not yet determined.

4.B10. What is the duration of the proposed project?

Not yet determined. Technical alternatives have not yet been fully explored.

4.B11. Will the proposed project utilize the existing infrastructure?

Yes

No

If no, please explain.

Not yet determined. Technical alternatives have not yet been fully explored and no specific alternative has been identified.

4.B12. Is the proposal related to another proposal or to an existing project?

Yes

No

If yes, describe the related proposal or project and how it is related:

The solution should interface with and be compatible with the Integrated Library System being implemented during FY 2008/09 as approved project 6120-9. Also, as mentioned above, this project builds upon the resources developed with the pilot project approved as 6120-007.

4.B13. Describe the consequences of not doing this proposed project at the planned timeframe:

This project is necessary to adequately manage, preserve, expand and enhance public access to the digital pictorial resources in the State Library collections.

4.B14. Check the appropriate box(es) to identify the proposal's funding strategy:

Augmentation needed

Redirection of existing funds

Other (describe):

4.B15. What are the estimated cost and funding source(s) by fiscal year through implementation (information should be provided in the following format):

Not yet identified.

Fund Source	2009-10	2010-11	2011-12	2012-13	2013-14 and future	Total
General Fund						
Federal Fund						
Special Fund*						
Total						

*** Note: Identify the fund source and if the department is the sole user of the fund.**

Enterprise Architecture

A.1. Does your organization have documented Enterprise Architecture principles, strategies, or standards to guide decisions on technology projects?

- Yes
- No

A.2. Indicate on Table A-1 below, the completion status of the component Reference Models of your formal Enterprise Architecture efforts. If available, please submit a copy of your Enterprise Architecture document.

Table A-1, Enterprise Architecture Completion Status

Component Reference Model	Status			
	Implemented	Implementation in Progress	Planned or Planning in Progress	Not Implemented and Not Planned
Business				
Service				
Technical				
Data				

A.3. Describe the governance structure your organization uses to review and approve the Enterprise Architecture and any subsequent changes.

A.4. Does your organization have an Enterprise Architect? (if yes, provide their name, telephone number, and e-mail address below)

- Yes
- No

Name: _____

Classification: _____

Telephone Number: _____ E-Mail: _____

Information Security

B.1. How is your Information Security Officer involved in proposed project development efforts?

The Information Security Officer is involved during the project planning process and during final project review and approval.

B.2. What are your department's core business principles, policies and standards related to information integrity, confidentiality, and availability and the protection of information assets?

CSL strives to follow and comply with standards and guidelines defined by OISPP. As a very small independent department, we rely upon their guidance and support.

B.3. If data within your department is shared with external entities, does your department implement data exchange agreements with these entities?

- Yes
 No

If no, please explain.

CSL is in the process of reviewing data exports with non-state entities to determine whether any exchanges fall under current definitions of confidential, sensitive or personal information.

Not applicable

B.4. How does your department ensure that software developers and programmers follow standards and best practices for Web, application, and system development?

Because CSL does not have programming or software development staff we seek out commercial applications and, recently, open source solutions with robust support forums. When implementing and maintaining solutions, we seek out and apply industry and application best practices.

B.5. Does your organization have an Information Security Officer? (if yes, provide their name, telephone number, and e-mail address below)

- Yes
 No

Name: Curtis Purnell

Classification: Staff Services Manager II

Telephone Number: 916-651-0980 **E-Mail:** cpurnell@library.ca.gov

Workforce Development, Workforce Planning and Succession Planning

C.1. Does your organization have a workforce development plan for IT staff?

- Yes
- No

If yes, briefly describe it.

CSL does not have a formal IT staff development plan, however with a small staff of 7 positions, staff members' training needs and development goals are reviewed individually on a periodic basis and addressed through training, cross-training and developmental assignments.

C.2. Check the appropriate box(es) to identify which workforce development tools, if any, your organization is using for IT classifications:

- Training
- Upward Mobility
- Mentoring
- Career Assessments
- Knowledge transfer program
- Performance Evaluations
- Other (please list) – Cross-training

C.3. Does your organization have a workforce plan for IT staff (i.e., for Rank and File)?

- Yes
- No

If yes, briefly describe it.

C.4. Does your organization have a succession plan for IT staff (i.e., for Management)?

- Yes
- No

If yes, briefly describe it.

C.5. IT Staffing

Provide the following information in table C-1 on the following page:

- The name of each IT classification currently in the organization.
- The number of staff in each IT classification in the organization.
- The number of staff in each IT classification eligible to retire in the next five years.
- The percentage of each IT classification eligible to retire in the next five years.

Table C-1 — IT Staffing

IT Rank and File Staff Classification	Number of IT Rank and File Staff in Classification	Number of IT Rank and File Staff in Classification Eligible to Retire in Next 5 Years	IT Management Staff Classification	Number of IT Management Staff in Classification	Number of IT Management Staff in Classification Eligible to Retire in Next 5 Years
Senior ISA (Spec)	1	1	CEA 1	1	1
Staff ISA (Spec)	5	2			
Assoc. ISA (Spec)	1	0			

Project Management, Portfolio Management and IT Governance**D.1. Does your organization have a process for improving the alignment of business and technology?**

- Yes**
 No

If yes, briefly describe it.

CSL's Chief Information Officer (CIO) reports to the Deputy State Librarian and is a member of the CSL's Administrative Council, its executive management team, comprised of the Director, Deputy Director and the chiefs of all State Library bureaus. (See Appendix A, *California State Library Organization Chart*.) The Administrative Council generally meets twice a month to discuss issues relating to State Library administration, management, trends and challenges, and to make recommendations and decisions regarding these issues. Information Technology needs, strategies, priorities and issues are frequently discussed and decided upon during these meetings.

D.2. What is the status of implementing a formal portfolio management methodology for technology projects within your organization?

Implemented (Please describe)

Implementation in progress (Please describe)

Planned or planning in progress

Not implemented and not planned

D.3. List any automated tools being used for portfolio management. Enter "None" if no automated tools are being used.

None.

Project Management, Portfolio Management and IT Governance

D.4. What is the status of implementing a standard project management methodology for technology projects in your organization?

Implemented (Please describe)

CSL's IT projects historically have been classified as "small" by California State Government standards. Thus, CSL has followed guidance provided in SIMM section 45 for project management.

Implementation in progress (Please describe)

Planned or planning in progress

Not implemented and not planned

Project Management, Portfolio Management and IT Governance

D.5. Does the organization require its project managers to be certified, either through a professional organization (e.g., PMI, ITIL) and/or through completion of specified project management coursework:

- Yes
 PMI
 ITIL
 Agency-specified project management coursework (identify below)
- No

D.6. Select from the list other areas of training your organization requires of its project managers:

- Fundamental Project Management
 Systems Development Life Cycle
 Scheduling tool (identify below)
 -
 -
 -
 Project Performance Management (e.g., Earned Value Management)
 Business Process Analysis
 Requirements Traceability
 Procurement/Contracts Management
 Other (identify below)
 -
 -
 -
 None

D.7. Describe project-level governance practices, including change management, issue resolution, and problem escalation.

CSL follows guidance provided in SIMM section 45 with specific plans detailed in FSRs for managing projects.

D.8. Does the project management methodology include processes for documenting lessons-learned and applying these to future projects?

- Yes (Please describe)

CSL documents lessons learned as part of the PIER process.

- No