

Information Technology Capital Plan

Department IT Capital Plan



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

Department Name

California State Lands Commission

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.

Agency Information Officer		Date Signed
Printed name: John Ellison		
Information Security Officer		Date Signed
Printed name: Chris Potter		
Budget Officer		Date Signed
Printed name: Patrick Kemp		
Agency Secretary		Date Signed
Printed name: Mike Chrisman		

DEPARTMENT IT CAPITAL PLAN

Department Name and Org Code:

California Resources Agency - 0540

Plan Year:

2009-10 through 2013-14

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

Resources Agency programs protect and restore California's diverse, abundant natural and cultural resources for current and future generations, including 278 state parks, stunning coastlines and lakes, spectacular forests, vast fish and wildlife habitats, rich farmlands and mineral resources. Agency programs also protect the public through suppression of wildfires, construction of levees in the Central Valley, and permitting environmentally safe energy power plants. These programs not only contribute to the state's unique quality of life, but also are critical to sustaining a vibrant economy.

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.

2.1. Hardware

The organization performs desktop technical refreshes each year on a four to five year cycle. On average the organization replaced 30 workstations and a varying number of printers, plotters and network capable fax machines each year depending on availability of funding. This practice is expected to continue.

2.2. Software

The organization upgrades workstation operating systems on an as need basis as justified by availability of upgrades and software stability. Upgrades and patches are tested prior to deployment. The next OS upgrade will occur in approximately 2-3 years (approximately 1 year after the successor to Windows Vista has been released.)

Other software is upgraded with some routine. Our GIS software is upgraded as soon as is practical within 6 months of the release of new versions. Security and network monitoring software is also upgraded as soon as is practical within 6 months of the release of new versions. Firewall software is upgraded within 30-60 days after each new release.

The desktop suite (e.g., Microsoft Office 2003) will be upgraded (e.g., Microsoft Office 2007) relatively soon (e.g., within the next 12 months)

2.3. Network

Servers are generally on the same 4-5 year cycle, again dependent on funding availability the condition/performance of the equipment. On average the organization replaces 2-4 servers each year as well as a variety of other networking equipment (e.g., switches, hubs, etc.). This practice is expected to continue.

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 4.1 through 4.15 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
none			

***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
none			

PROPOSED IT PROJECTS

Complete this IT Project Proposal Form (questions 4.1 through 4.15 below) for each proposed IT project that meets the definition of a reportable project as defined in the State Administrative Manual Section 4819.37:

- 4.1. Proposal name and priority ranking:
- 4.2. Description of the proposed IT project:
- 4.3. Which of your department's business goals and objectives does this project support, and how?
- 4.4. What are the expected business outcomes or benefits of the proposal as they relate to your organization's business goals and objectives?
- 4.5. 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
- 4.6. 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.

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

- Yes
 No

4.8. If this proposal is conceptually approved, what is the estimated date (mm/yyyy) the FSR will be submitted? 01/2010

4.9. What is the estimated project start date (mm/yyyy) if the FSR is approved? 06/2011

4.10. What is the duration of the proposed project? 24 months

4.11. Will the proposed project utilize the existing infrastructure?

- Yes
 No

If no, please explain.

4.12. 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:

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

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

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

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

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

Information Security

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.

The organization's Deputy AIO is the principal architect recommending network changes. These recommendations are thoroughly researched and then presented to and discussed with the AIO.

Prospective changes are then discussed with the Assistant Secretary for Administration and Finance prior to formal implementation of 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 AIO, Deputy AIO and ISO meet as needed to share information about systems, technologies and activities that have the potential to affect information and data security. The ISO has a full time job as a program lead.

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?

A regular, annual audit is conducted of Agency IT systems and practices and the findings are provided to the ISO for consideration for potential remedial actions. ISO recommendations are made to Assistant Secretary for Administration and Finance and copied to the AIO and Deputy AIO.

Internal policies have been developed to provide guidance to staff about safe computing practices including the appropriate treatment, handling and management of personal and non-personal data. Strong password and computer lockout policies help to prevent unauthorized access to electronic documentation and a variety of both hardware and software solutions have been implemented establish appropriate information and data security. These include the use of encrypted portable drives and laptops and the use of network monitoring software, and system configurations to block Instant Messaging and Peer-to-Peer software.

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.

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?

(1) Administrative Policies – We have standard practices for the migration of local developer files to production servers and separate development, test and production environments. This ensures the review of all application code prior to its posting to the production environment.

(2) Development Policies – Agency development policy and practices have evolved over time as new technologies emerge and staff skills and competencies mature. This is an ongoing process as we seek a balance between agility, responsiveness and cost effectiveness.

(3) Reusable Application User Authentication – Too few to worry about.

Information Security

(4) Production Servers Inaccessible to Developers – Agency has a very small group of application developers that also work to support production systems. We do not have enough staff to be able to segregate developers from our production environments.

(5) Database Security – See answer to # 4 above.

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: Chris Potter

Classification: Coastal Grants and Wetland Coordinator

Telephone Number: 916-654-0536 **E-Mail:** chris.potter@resources.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.

n/a

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)

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 INFO SYSTEMS ANALYST	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.

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.

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

- Implemented (Please describe)

A standard methodology was established some time ago. All information technology projects are directed to and managed by CERES program staff. The Resources Agency embraces the PMBOK methodology.

- 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.

Change Management: Designated Project Manager is responsible for ensuring that all requested or necessary changes to a project are properly evaluated as to impact to the project, the project schedule and the project cost. The PM and (when applicable) the party requesting changes to the project present the change request to the AIO and the Project Owner for discussion and internal approval. Upon internal approval any needs for additional project funding are discussed with the Chief of Administrative. Changes to projects are document and maintained for the duration of the project.

Issue Resolution and Problem Escalation: The Project Manager is the primary party responsible for the resolution of any issues or conflicts arising out of project related efforts. In the event that all best efforts to resolve an issue had been exhausted the PM would involve the AIO and the appropriate program executive and/or Chief of Administration, along with the aggrieved party, to jointly work toward and implement/adopt a position or outcome acceptable to all parties.

Project Management, Portfolio Management and IT Governance

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

Yes (Please describe)

Projects are reviewed upon completion to assess lessons learned.

No