

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.

Chief Information Officer		Date Signed
Printed name: David Brown		
Information Security Officer		Date Signed
Printed name: Eric Milstein		
Budget Officer		Date Signed
Printed name: Denise Cook		
Department Director		Date Signed
Printed name: Paul Thayer		

DEPARTMENT IT CAPITAL PLAN

Department Name and Org Code:

State Lands Commission 3560

Plan Year:

2009-10 through 2013-14

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

Listed by Program

Mineral Resources Management

Sustained non-tax revenue stream to State treasury from the development of mineral resources.

Fair compensation for resources extracted from state-owned lands.

Application of the best achievable protection that minimizes the risks and consequences of oil spills into marine waters due to the design, construction and operation of oil development facilities.

Land Management

Manage the School Lands Trust asset to achieve a sustainable revenue stream to the State Teachers Retirement System.

Assure fair compensation for exclusive use of state-owned trust lands granted through leases and permit.

Assure protection of public safety and environment through leasing practices.

Clear determination of State boundaries and ownership interests of trust lands managed.

Activities on Granted Lands conducted consistent with Public Trust Doctrine and legislative intent.

Marine Facilities Management

Application of the best achievable protection that minimizes the risks and consequences of oil spills into marine waters due to the design, construction and operation of marine oil terminals.

Prevent or reduce the introduction and spread of non-indigenous aquatic species into state waters by the marine shipping industry.

Environmental Management

Environmental documents successfully withstand legal challenges

Management partnerships and funding sources established to improve trust assets.

Administration

Guidance provided to programs to carry out the policies and direction of the Commission.

Programs provided with the necessary staff and resources to successfully achieve program objectives.

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 60 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 infrequently. 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. ArcView and CAD/CAM are upgraded as soon as is practical after the release of new versions. (12-18 months). Security and network monitoring software is also upgraded as soon as is practical after the release of new versions. (12-18 months) Firewall software is upgraded within 30-60 days after each new release.

The desktop suite used by the CSLC (Microsoft Office 2003) will be upgraded (Microsoft Office 2007) relatively soon. (3-6 months)

2.3. Network

Servers are generally on the same 4-5 year cycle, again dependent on funding availability. On average the organization replaces 1-2 servers each year as well as a variety of other networking equipment. (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
Inspection Database	\$353,000	3560-13	06/2009

***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
“Born Digital” Electronic Content Management System	1	01/2010	\$800,000

PROPOSED IT PROJECTS

Complete this IT Project Proposal Form (questions 4.1 though 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:

“Born Digital” Electronic Content Management System; priority 1

4.2. Description of the proposed IT project:

To provide Electronic Content Management System and Electronic Records Management to enhance the organization, identification and retrieval of electronic data currently stored on file and email servers.

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

Will support all direct programs by achieving Administration goal of “providing the necessary staff and resources to successfully achieve program objectives”

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

Provide a comprehensive structure in which to organize electronic content that will enable prompt identification of records in response to program need, legal discovery and records management requirements.

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		40,000	240,000	40,000		320,000
Federal Fund						
Special Fund*		60,000	360,000	60,000		480,000
Total		100,000	600,000	100,000		800,000

* Note: Identify the fund source and if the department is the sole user of the fund. As this is an administrative support project, funding will be proportional to the existing fund sources supporting the Commission. Current funding proportions are:

General Fund 0001	40 %
Oil Spill Prevention and Response Fund 0320	46 %
Marine Invasive Species Control Fund 0212	14 %

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 ITSO and the organization's network administrator's are the principal architects recommending network changes. Their recommendations are researched and then represented to and discussed with the CIO and ISS Supervisor (and the ITSO if recommended changes originate from the network administrator).

Prospective changes are then discussed with the organization's Executive Officer prior to formal implementation of changes. Upon his final approval recommendations at to changes to the Enterprise Architecture are affected.

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?

CIO, ITSO and Information Services staff meet periodically to keep the Information Security Officer abreast of security related activities and implementations. The ISO is an attorney in the Legal unit and has significant other duties beyond that of ISO.

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?

The motto of the Information Services Section is "*Security First*". This is an operating principal under which all members of computing operations, from network and server administrators to help desk staff, have been instructed to operate.

The importance of this principal is communicated to line-staff and managers by the ITSO and CIO. The ITSO began conducting Security Awareness Presentations to staff prior to this becoming a state-wide requirement. Presentations are conducted at least annually and for many of the last several years more frequently. Periodically both the ITSO and CIO will prepare and distribute important security articles and/or reminders about the need to always be conscious about the security implications of one's actions.

A number of internal policies have been developed to provide guidance to staff relative to safe computing practices including the safe 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 to help ensure the strength and viability of the three corners of the CIA triad. These include the use of encrypted portable drives and laptops, the use of network monitoring software, and Instant Messaging and Peer-to-Peer blocking 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 – Administrative policies outline the security requirements for the migration of local developer files to production servers. This ensures that the

Information Security

most senior member(s) of the computing staff, either the Information Services Section (ISS) Supervisor or the Information Technology Security Officer (ITSO) have the opportunity to review the submission of all application developers before their work is placed in the production environment. This helps to ensure that applicable administrative practices are adhered to.

(2) Development Policies – At one time the organization has a strict set of development protocols that was to be tightly adhered to by all developers. As times, technology and staff have changed so have the needs of the organization. A new set of principle development standards is being developed that is more applicable to current development and hardware technologies.

(3) Reusable Application User Authentication – The CSLC has paid a consultant programmer to develop reusable code to perform authentication checks on all application users. User credentials are hashed and salted and stored (encrypted) within the back-end SQL database. This makes the interception of credentials virtually impossible and greatly enhances application security. This practice not only shortens development time but also helps to ensure the security of all CSLC developed applications.

(4) Production Servers Inaccessible to Developers - This practice ensures that developers cannot make modifications to production servers that may enhance their particular application development efforts while potentially undermining the security of other applications running within the shared environment. Any changes to the shared environment that a developer deems necessary must first be thoroughly vetted through the ISS Supervisor and ITSO.

(5) Database Security – Specific procedures have been developed governing the security of all back-end SQL databases. Developers have remote access only to the databases that they have been charged with developing and then only via a controlled test environment. Only the Database Administrator, the ISS Supervisor and the ITSO have full and unfettered access to all databases (test or production).

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: Eric Milstein

Classification: Staff Counsel

Telephone Number: 574-1866 **E-Mail:** milstee@slc.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	1	SENIOR INFO SYSTEMS ANALYST (SUPV)	1	1
SYSTEMS SOFTWARE SPEC III (TECH)	1	1			
STAFF INFO SYSTEMS ANALYST	2	2			
ASSOC PROGRAMMER ANALYST	1	0			
ASSOC INFO SYSTEMS ANALYST	2	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.

The Commission has used in the past an Information Technology Board consisting of all Division Chiefs to discuss project priorities and policy issues. Due to logistics and impacted by budget reductions, the board has not meet in some time.

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

A process and protocol for evaluating new projects was developed but not fully implemented due to budget reductions.

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

Scoring sheet for new projects

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 technology projects are directed to and managed by the Project Manager/Project Management Office. The Project Manager works closely with the CIO and ISS Supervisor to ensure that projects are managed well and conclude successfully.

Standard documentation requirements have been established as have standards for project scheduling and work breakdown structures.

- 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

Recently established minimum requirements are that the PMO attain a project management certificate from an accredited academic institution. The program offered by University of California, Davis is the preferred program although other programs will be considered in the future. A certification from the PMI is strongly encouraged but not required at this time.

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)**
- Microsoft Project 2007
 -
 -
- 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: The Project Management Officer 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 CIO and the Project Owner (typically one of 5 division chiefs) for discussion and internal approval. Upon internal approval any needs for additional project funding are discussed with the Budget Officer and/or Chief of Administrative and Information Services. Changes to projects are document and maintained for the duration of the project.

Issue Resolution and Problem Escalation: The Project Management Officer is the primary party responsible for the resolution of any issues or conflicts arising out of project

Project Management, Portfolio Management and IT Governance

related efforts. In the event that all best efforts to resolve an issue had been exhausted the PM would involve the CIO and the Supervisors/Managers/Division Chiefs of the aggrieved party, along with the aggrieved party, to jointly work toward and implement/adopt a position or outcome acceptable to all parties.

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

Yes (Please describe)

At the conclusion of each project the principle project team members meet to discuss those things that went well and those that did not go so well during project efforts. The discussions are typically documented, in brief, at the conclusion of this meeting. This document is then made available to all members of ISS via an Intranet site.

No