

Information Technology Capital Plan

Department IT Capital Plan

State Water Resources Control Board
Information Technology Capital Plan,
Plan Year 2009-10 through 2013-14
Executive Approval Transmittal



Department Name

State Water Resources Control Board

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.

Signed Document on File

Chief Information Officer		Date Signed
Diana Fong		
Printed name:		
Information Security Officer		Date Signed
Geesun Jung		
Printed name:		
Budget Officer		Date Signed
Bill Damian		
Printed name:		
Department Director		Date Signed
Dorothy Rice		
Printed name:		

DEPARTMENT IT CAPITAL PLAN

Department Name and Org Code:

State Water Resources Control Board 3940

Plan Year:

2009-10 through 2013-14

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

The current Strategic Organizational Priorities are the key drivers of the Water Board's business goals. Those priorities are:

PRIORITY 1. PROTECT AND RESTORE SURFACE WATERS

Decrease the number of impaired water bodies in priority watersheds by 10 percent by 2015, working toward the target of all of these water bodies fully supporting beneficial uses by 2030, focusing resources on TMDL adoption and implementation.

PRIORITY 2. PROTECT GROUNDWATER

Improve groundwater quality by reducing waste discharges to groundwater in high use basins by 25 percent by 2020.

PRIORITY 3. PROMOTE SUSTAINABLE WATER SUPPLIES

Increase sustainable water supplies available to meet existing and future beneficial uses by 1,725,000 acre-feet per year, in excess of 2002 levels, by 2015.

PRIORITY 4. CALIFORNIA WATER QUALITY PLAN

PRIORITY 5. BASIN PLANNING

The California Water Plan addresses water quality protection and restoration, and describes how the relationship between water supply and water quality is affected across all water supply management strategies, through the development of a California Water Quality Plan.

Basin Plans are consistently organized by 2012, and updated by 2015, to provide a clear structure that readily conveys the beneficial uses, water quality objectives, goals for watersheds, plans for achieving those goals, and monitoring to inform and adjust the plans.

PRIORITY 6. TRANSPARENCY AND ACCOUNTABILITY

Improve transparency and accountability by ensuring that Water Board goals and actions are clear and accessible, by demonstrating and explaining results achieved with respect to the goals and resources available and by enhancing and improving accessibility of data and information.

PRIORITY 7. CONSISTENCY

Enhance consistency across the Water Boards to ensure our processes are effective, efficient, and predictable, and to promote fair and equitable application of the laws, regulations, policies, and procedures.

PRIORITY 8. WORKFORCE CAPACITY

Ensure that the Water Boards have access to information and expertise, including employees with appropriate knowledge and skills, needed to effectively and efficiently carry out the Water Boards' mission.

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
None

2.2. Software
None

2.3. Network
In Progress is an upgrade of routers and switches to the latest Cisco platforms.

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 1.4.1 through 1.4.15 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
California Integrated Water Quality System (CIWQS)	\$4,589,530	3940-70	7/1/2005
CIWQS Ambient Monitoring System (AMM)	\$1,537,051	3940-71	N/A PIER In Process
Electronic Water Rights Information Management System (eWRIMS)	\$3,886,991	3940-72	6/30/2008
Geotracker 2	\$416,000		
Groundwater Ambient Monitoring Assessment (GAMA)	\$275,000		

***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
Water Quality Data display	1	Spring 2009	Unknown
CIWQS – online reporting of spills at WWTP	2	Spring 2009	\$500,000
Wetland Tracker	3	2009	Unknown
Loan and Grants Tracking System 2 (LGTS 2)	4	2009/2010	\$497,000
eWRIMS - water use reporting	5	2009	\$150,000
CEDEN (including portal for accepting grant data) (One of Two Reportable Projects per SAM Section 4819.37)	6	2009	\$4,000,000
Electronic Funds Transfer System	7	2009/2010	Unknown
Install credit card acceptance for payments	8	2009/2010	Unknown
SCUFIS enhancements	9	2009/2010	Unknown
Electronic Content Management (ECM) (One of Two Reportable Projects per SAM Section 4819.37)	10	2009/2010	\$3,600,000
CIWQS – eSMR3	11	2010	Unknown
CIWQS – Ag Waiver support	12	2011	Unknown
CIWQS – Dairy program support	13	2011	Unknown
CIWQS - Pretreatment support	14	2011	Unknown
Biosolids tracking	15	2012	Unknown
Accounts Receivable System expansion (to add accounts payable, procurement, fixed assets, and general ledger) [on hold unless the Fi\$cal project does not proceed]	16	On hold	Unknown
State Clean Up Fund Improved Information System	17	2009	Under \$500,000

PROPOSED IT PROJECTS # 1 of 2

Complete this IT Project Proposal Form (questions 1.4.1 through 1.4.15 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:

California Environmental Data Exchange Network (CEDEN) Rank 6

4.2. Description of the proposed IT project:

The California Environmental Data Exchange Network (CEDEN) is proposed to facilitate data access, sharing and standardization of the state's environmental monitoring so data can be used interchangeably between multiple monitoring programs and reporting systems.

The State Water Resources Control Board (SWRCB), Regional Water Quality Control Board (RWQCB), multiple other agencies, university groups, private entities, bond funded monitoring programs and stakeholder entities collect large amounts of environmental data; in many cases there is a great demand for this data to be available as a comprehensive, interoperable and standardized data set by SWRCB, RWQCB, technical/enforcement personnel and decision makers. Unfortunately, within California, the many groups who collect monitoring data store them in different databases with inconsistent formats, Quality Assurance/Quality Control (QA/QC), and data collection procedures. To help provide better access and improve compatibility, the Legislature has passed SB-1070 mandating the collaboration of the SWRCB and Resources Agency departments to coordinate data collection and dissemination, and passed SB-1049 requiring bond recipients collecting environmental data to follow data quality and dissemination standards developed by the SWRCB. CEDEN is the SWRCB program being developed by the Office of Information Management and Analysis (OIMA) to meet the SWRCB's obligations specified in these legislations. CEDEN will help the SWRCB meet its business objectives and provide an information and standardization system that promotes a comprehensive understanding of the status, trends, and environmental processes and mechanisms in California, and leads to more robust adaptive management strategies, improved information for 305(b) reporting, 303 (d) listings, and Total Maximum Daily Load (TMDL) calculations. Access to this base data will lead to creating applications that convert monitoring data into refined information, which will help the SWRCB convey important aspects of surface water information to the public and legislature using media such as the Web.

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

PRIORITY 1. PROTECT AND RESTORE SURFACE WATERS

SWRCB, RWQCB and EPA staff will utilize CEDEN data in conjunction with user supplied analytical tools, such as simulation models, or apply the data to TMDL calculations and 303(d) reporting which can all be used to make decisions that will help determine which water bodies are impaired and evaluate adaptive management strategies designed to improve them. These groups of data users in most cases need large volumes of high quality multi-agency data.

PRIORITY 4. CALIFORNIA WATER QUALITY PLAN & PRIORITY 5. BASIN PLANNING

The unique capability of CEDEN to relate diverse types of information from many different monitoring programs will improve analysis of the relationship between water supply management strategies and water quality. Different restoration plans and water quality improvement efforts can be evaluated based on the analyzed data from CEDEN that would otherwise not be readily available to data users.

PRIORITY 6. TRANSPARENCY AND ACCOUNTABILITY

CEDEN will provide data for applications that offer web access to monitoring data, highly refined information for the public, web services and other types of data dissemination programs. This will improve transparency of the water board's efforts and successes regarding the improvement of the state's surface waters. Examples include a web display of contaminated water bodies for public consumption and third party portals can access the same corpus of data (anything from Google, through educational web sites creating language-appropriate interpretations for K-6 graders, to supercomputer center-based simulated flyovers). Other examples include representations of data in formats such as charts, plots, or maps in easy to understand displays of refined information to the public, legislators, stakeholders and decision makers.

PRIORITY 7. CONSISTENCY

Promulgation of the SWAMP/CEDEN data standards will improve the consistency and therefore the interchangeability of surface water ambient monitoring data between the multiple monitoring programs at the RWQCB and SWRCB. Without consistency of data, complete interoperability among water boards' ambient monitoring programs is all but impossible to achieve.

PRIORITY 8. WORKFORCE CAPACITY

CEDEN will represent a comprehensive environmental surface water data source for the state. This system will increase the SWRCB, RWQCB and EPA staff capacity to conduct analysis and report results and information; staff could perform simple and refined queries and obtain data they need from numerous sources quickly and efficiently, as opposed to going thousands of individual monitoring programs and trying to put data together manually.

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

The use of CEDEN's distributed data technology and SWAMP/CEDEN standards is proposed to facilitate data access, sharing and standardization of the state's environmental monitoring data so data can be used interchangeably between multiple monitoring programs and reporting systems. The proposed mechanism is flexible in that it can be set-up to deliver specifically formatted data to decision support groups used by many participants to provide comprehensive data for integrated research projects. Greater access to data will improve many of the reporting, regulatory, analysis and public/stakeholder outreach efforts undertaken by the water boards.

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?

12/2008

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

07/2009

4.10. What is the duration of the proposed project?

July 2009 through June 2013

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:

Loss of ambient monitoring data collected by bond funded programs and inability to utilize data from many monitoring entities would continue to hamper several of the water board's business objectives. The lack of a standardized method for ambient water quality data collection and data structures among local, state, Federal, and private entities prevents effective data consolidation and reporting. Multiple agencies are involved in monitoring water quality throughout the state such as the Departments of Water Resources, Health Services, Pesticide Regulation, and Toxic Substances Control monitor water quality at the state level. In addition, numerous regional, local, and private organizations are involved at the local level. Each agency has different data collection methodologies and stores its data in a separate system, which makes it extremely difficult to compare data across agencies and comprehensively monitor the state's water quality. The lack of a standardized method for surface water and groundwater quality data collection and assessment among state, Federal, and private entities negatively affects data consolidation and reporting, which results in highly fragmented, incomplete, and often inaccurate monitoring and assessment results. In addition the State Board cannot fully meet the requirements mandated by the legislature in SB-1070 and SB-1049.

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):

02Fund Source	2009-10	2010-11	2011-12	2012-13	Total
General Fund					
Federal Fund					
Special Fund*	\$1,000,000	\$1,000,000	\$1,000,000	\$1,000,000	\$4,000,000
Total	\$1,000,000	\$1,000,000	\$1,000,000	\$1,000,000	\$4,000,000

* **Note: Identify the fund source and if the department is the sole user of the fund.**
 Funding source is Prop 84

PROPOSED IT PROJECTS # 2 of 2

Complete this IT Project Proposal Form (questions 1.4.1 through 1.4.15 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:

Electronic Content Management (ECM) Rank 10

4.2. Description of the proposed IT project:

The purpose of this Feasibility Study Report (FSR) is to expand implementation of the four Region pilot ECM project to the State Water Resources Control Board Divisions (State Water Board) and remaining Regional Water Quality Control Boards (Regional Boards).

The processing of documents by the State Water Board and the Regional Boards requires a significant amount of manual handling, routing, and tracking. None of the Regional Boards currently have the ability to share paper-based information with other Regional Boards without being forced to create document copies or scans and, the public cannot easily review information received and/or created. The Water Boards need to be able to receive and manage documents in an Enterprise environment and ensure that the public has access to information as requested by the legislature and the Governor's Office.

The State Water Board's Agency Information Management Strategy (AIMS), updated 2008, specifically identified as a core project the need for a document management system.

Continued implementation is needed to:

- Provide the remaining six Regional Boards, three satellite Offices, five State Water Board Divisions, and six State Water Board Offices access to the Enterprise solution.
- Ensure that all Water Boards records (documents and files) are complete, accurate, and readily accessible to staff and the general public when and where required. Staff and the public must be able to retrieve and view documents and be confident that the files contain all appropriate and relevant information.
- Reduce or eliminate staff maintaining copies of files, documents, and material at their desks and personal file drawers in the form of "work-in-process" folders by ensuring that "originals" are properly stored and maintained.
- Establish tracking and accountability for all documents received.
- Provide automated document routing to improve document processing.
- Reduce hard-copy printing and manual work routing and tracking.
- Provide multi-user and simultaneous access to documents across regional and program boundaries.
- Enable parallel review & processing of electronic documents.
- Ability to create, escalate and manage electronic work "folders".
- Ensure that information contained in the Water Boards' mission-critical files can be recovered following a disaster.
- Reduce staff time to find and make copies of documents and reduce or eliminate the number of lost and misplaced folders, documents, and materials.
- Avoid increasing space requirements for paper document storage at all Water Board Office locations.
- Provide an operational infrastructure with flexibility to permit improvement of business processes.
- All records should meet Government Code requirements for storage in a non-alterable format.

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

PRIORITY 6. TRANSPARENCY AND ACCOUNTABILITY

Improve transparency and accountability by ensuring that Water Board goals and actions are clear and accessible, by demonstrating and explaining results achieved with respect to the goals and resources available and by enhancing and improving accessibility of data and information. This system will greatly improve accessibility and accuracy of data and information for state staff, clients, and the public.

PRIORITY 7. CONSISTENCY

Enhance consistency across the Water Boards to ensure our processes are effective, efficient, and predictable, and to promote fair and equitable application of the laws, regulations, policies, and procedures. Rollout of the system to the State Water Board and all remaining Regional Water Boards will create a consistent process for access to documents, data, and information for all stakeholders.

PRIORITY 8. WORKFORCE CAPACITY

Ensure that the Water Boards have access to information and expertise, including employees with appropriate knowledge and skills, needed to effectively and efficiently carry out the Water Boards' mission. Access to Water related information statewide will be greatly increased and standardized by the complete implementation of this system.

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

This system will improve accessibility and accuracy of data and information for state staff, clients, and the public. It will also create a consistent process for access to documents, data, and information. Access to information statewide will be increased and standardized by the enterprise wide implementation of this system.

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.

No Enterprise Architecture exists at this time.

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?

12/2008

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

07/2009

4.10. What is the duration of the proposed project?

July 2009 through June 2012

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:

FSR #109 and Special Project Report on Enterprise Content Management Dated May 9, 2007. This project implemented the Pilot ECM system for Regional Boards #2, #3 and #9 as well as a State Board component. This was implemented in October 2007 and the success of that system is the foundation for the Enterprise wide rollout of the ECM to the rest of the Regional Waterboards and the completion of State Waterboard system.

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

The processing of documents by the Regional Boards requires a significant amount of manual handling, routing and tracking. None of the Regional Boards have the ability to share information with other Regional Boards without being forced to create document copies and the public cannot easily review information received and/or created. Our pilot Regions receives any where from 25-100 public and regional requests per day, many of them pertain to litigations, Water Rights, and Administrative requests. Region 9 has experienced many successions during this pilot phase by just providing information in a matter of minutes as opposed to weeks, further detail of these types of successions can be reviewed upon request. The water Boards need to be able to receive and manage documents in an Enterprise environment and ensure that the public has access to information as required by statute.

The lack of implementation of an Enterprise document-imaging environment will result in an increase of document volumes that cannot be accessed or managed without significant resource requirements, duplication of effort, and redundancy of files. A review of available annual records management reports reveals annual increases ranging between 5 to 12% for hard copy storage. Document Handling is also at risk since information is routinely misplaced or lost and there is no centralized mechanism to know when each document was received, what state of processing the document resides, or how to ensure that drafts and copies are handled according to the approved records retention policy. Currently, the Water Boards and Regional Boards pay more than an estimated \$1.2 million for its State Records storage, Downtown storage and Regional Facility storage costs alone.

Last, there are over 25 separate legislative mandates require the Water Boards to “post” a variety of documents to web pages on the Water Boards home page. If ECM is not implemented throughout the Water Boards, any resources required to meet these demands will not be redirected to higher value activities. ECM could allow full access to all public documents contained within the system and Web links from the Water Boards home page can further simplify searches, however, the effort required to post and maintain documents on the web are no longer necessary with ECM.

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):

02Fund Source	2009-10	2010-11	2011-12	2012-13	Total
General Fund	\$415,981.23	\$407,424.34	\$131,468.07	N/A	\$954,873.64
Federal Fund					
Special Fund*	\$1,648,441.77	\$1,614,532.66	\$520,978.93	N/A	\$3,783,953.36
Total	\$2,064,423.00	\$2,021,957.00	\$ 652,447.00	N/A	\$4,738,827.00

*** 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				X
Service				X
Technical				X
Data				X

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

No integrated Enterprise Architecture exists at this time.

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

- Yes
- No

Name: N/A

Classification: _____

Telephone Number: _____ E-Mail: _____

Workforce Development, Workforce Planning and Succession Planning

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

The ISO reviews and approves all applicable FSRs.

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 Water Boards Technical Strategy lists:

Strategy 6 Provide for information security at all levels of a project.

Information security is an important aspect of the information technology environment. To provide for secure information on Water Board systems, we use security procedures that provide for:

- **Physical Security** – All network and enterprise application hardware and software is secured within a locked server room
- **Application Level Security** – The State Water Board strictly controls administrative rights to the WAN, LANs, and applications with administrative passwords.
- **Encryption** – Encryption of some secure data to safeguard its confidentiality.
- **Authorization** – Only the database administrator or authorized designee may alter the system security tables.
- **Firewall** – A Cisco/PIX firewall protects the database assets from unauthorized access.
- **Audits** – The State Water Board conducts ongoing security audits of the Windows-based LANs.

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?

No formal method in place.

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: Geesun Jung

Classification: Chief, Internal Audits Office

Telephone Number: 916-341-5126 E-Mail: Gjung@waterboards.ca.gov

Workforce Development, Workforce Planning and Succession Planning

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

- Yes
- No Overall Plan

If yes, briefly describe it. Individual Development Plans (IDP) are created for each staff with their immediate supervisor.

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
Assistant ISA	4	2	Senior ISA	2	0 + 2V
Associate ISA	9		DPM II	1	
Staff ISA	13	3 + 2V	CIO	1	0 + 1V
Senior ISA	2		Senior PA	2	0 + 1V
Associate PA	6		Director	1	
Staff PA	3	1	DPM III	1	0 + 1V
Senior PA	5	1 + 2V			
Programmer II	1				
RPS I	1				
RPS II	3				
IST	1	0 + 1V			

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.

In developing a foundation of business strategy and mission upon which to base information management and technology strategy, the SWRCB has taken into account:

- The Water Boards Strategic Plan (currently being revised);
- The legislative and administrative mandates imposed on the Water Boards, the fulfillment of which rely heavily on information management and IT systems;
- The needs of the regulated community/partner agencies, staff, and the public, which are being reshaped by the business/technology cycle.

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)

The Water Boards will utilize the new Governance structure to implement processes to manage the technology portfolio, including CIWQS, productional/ operational processes, planned and future projects and processes that align with the business strategy. The Water Boards recognize that the portfolio consists not only of "projects", but also of operational "processes". In the classic definition, a "project" is a *temporary* (not necessarily "short") effort with a defined beginning and a defined end that is undertaken to accomplish a defined scope of work.

- 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)
 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.

Project Monitoring at a weekly duration tracks project progress in comparison with the workplan. Status reports are provided to the Project Manager and Executive Sponsor. Change Requests, Issue Identification and Resolution, and Problem Escalation are routed first to the Project Managers (Technical and Business), then to the Business Executive Sponsor when deemed necessary by the Project Manager(s). The Requirements Matrix and the Project Workplan are updated to reflect all approved changes, issues resolved, and results of problem escalation resolutions.

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

Yes (Please describe)

Post Implementation Evaluation Reports and IT Governance review.

No