

Information Technology Capital Plan

Department IT Capital Plan

State Controller's Office



October 1, 2008



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

Department Name

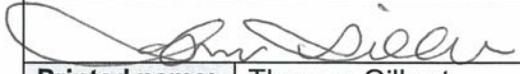
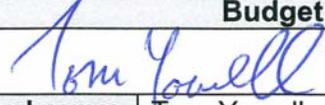
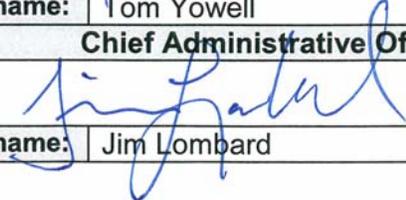
State Controller's Office

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
		10.1.08
Printed name:	Jan Ross, Acting	
Information Security Officer		Date Signed
		10-1-08
Printed name:	Thomas Gilbert	
Budget Officer		Date Signed
		10-1-08
Printed name:	Tom Yowell	
Chief Administrative Officer		Date Signed
		10/1/08
Printed name:	Jim Lombard	

DEPARTMENT IT CAPITAL PLAN

Department Name and Org Code:

State Controller's Office - 0840

Plan Year:

2009-10 through 2013-14

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

The SCO is in the middle of a departmental undertaking to rewrite our Strategic Plan. The following six strategic goals have been drafted as part of this comprehensive effort, and may be subject to some modifications prior to finalization. Supporting strategic objectives will be defined in October 2008.

1. Actively promotes financial integrity and accountability for State and Local governments.
2. Provides world class customer service.
3. Improve delivery of core services and products through innovative business processes and technology solutions.
4. Invest in our employees to create a destination organization.
5. Improves communications and information sharing with all stakeholders.
6. Provides leadership on statewide economic and social policy issues.

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 SCO employs a 3 to 5 year refresh cycle for servers. The number of servers refreshed in FY 09/10 and out years is based on when these servers reach end of life. In addition, future server replacement will also take into consideration the SCO's server consolidation efforts using virtualization.

2.2. Software

Software upgrades are implemented based on level of service required by the business area, vendor maintenance and support requirements. When current software versions are no longer supported, SCO will research and procure software as needed to provide the level of service needed by our business customers.

2.3. Network

Network infrastructure components are procured as needed or when no longer supported. No network components are scheduled for refresh in FY 09/10.

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
21 st Century Project (Human Resource/Payroll System) This information is from the approved Special Project Report (SPR) dated May 12, 2008.	\$178,671,658	0840-70	June 2010
Unclaimed Property System Replacement Project (UPSR)	\$4,147,647	0840-73	July 15, 2008
Unclaimed Property System Replacement Project (UPSR) – SPR #3	\$53,361	0840-73	SPR #3 may move to December 31, 2008
* Approved project costs include one-time and continuing costs.			

***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
Local Government Report Modernization (LGRS)	1	July/September 2009	TBD
Property Tax Postponement System Replacement (PTP)	2	July/September 2009	TBD
Project Management Portfolio Tool (PMPT)	3	July/September 2009	\$1,300,000
Local Reimbursement System and Report Modernization (LRS)	4	July/September 2010	TBD
Federated Identity Management (FIDM)	5	July/September 2010	\$7,300,000
Self-Service Data Warehouse (SSDW)	6	July/September 2010	\$3,750,000
Electronic Expenditure Tracking System (EETS)	7	July/September 2010	\$1,100,000
CalATERS Replacement System (CRS)	8	July/September 2010	\$2,000,000
Software Development and Testing Approach (SWDTA)	9	July/September 2011	\$2,975,000
Services Oriented Architecture Application Retrofit & Connect (SOAARC)	10	July/September 2012	\$3,900,000
Operational Recovery Plan Augmentation (ORPA)	11	N/A	\$1,900,000

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:

Local Government Report Modernization (LGRS); Priority Ranking - 1

4.2. Description of the proposed IT project:

A number of statutes require the SCO to annually collect, review, and compile more than 6,200 financial transaction reports. SCO's annual publications presenting this data represent the only source of statewide financial data available to policymakers in all levels of government. The LGRS project implements updated reporting technology towards the goal of transparent government enabling SCO executives, legislators and other interested stakeholders to retrieve local government information. This eliminates the risk of a system failure and/or the inability for local agencies to submit information due to outdated technology.

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

The Local Government Report Modernization (LGRS) project supports SCO's strategic goals 4 and 5 as follows:

- Updating the reporting technologies used provide LGRS staff with opportunities for training, job enrichment, and possible upward mobility within the organization.
- Modernizing the reporting technologies to support industry-standard data exchange formats allows the SCO to move towards more transparent government, streamlines the reporting process, and improves report delivery time to affected stakeholders.

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 solution will provide a standard supportable platform consistent with industry standards as well as provide the ability to acquire development and support staff based on current technologies. Further business outcomes and benefits will be identified over the next year.

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
- Other

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

A technology solution has not been proposed at this time and therefore cannot be assessed for consistency with the SCO's Enterprise Architecture.

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?

07/2009 – 09/2009

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

09/2010 – 12/2010

4.10. What is the duration of the proposed project?

The Feasibility Study Report will determine the project duration.

4.11. Will the proposed project utilize the existing infrastructure?

- Yes
- No
- Other

If No or Other, please explain.

A technology solution has not been proposed at this time and therefore cannot be assessed for utilization with the SCO's existing infrastructure.

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:

Due to the current use of outdated, unsupported technology, there is a near-term risk that agencies may no longer be able to submit information electronically. This in turn would create significant, time-consuming manual processes for SCO staff and also increases the risk of delayed and inaccurate reporting.

Additionally, the information contained in the current application will no longer be in a searchable format. The consequence means that SCO Executives, legislators and other key stakeholders will no longer have access to electronic information for critical decision-making. Due to the critical nature of the information contained in this system and the reliance on this statewide financial data by policymakers in all levels of government, any degradation in the quality or availability would have significant statewide consequences.

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

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

The Feasibility Study Report will determine the project's funding strategy.

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

The Feasibility Study Report will determine the project's estimated cost and funding source.

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

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

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:

Property Tax Postponement (PTP) System Replacement; Priority Ranking - 2

4.2. Description of the proposed IT project:

The SCO Information Systems Division and the Division of Accounting and Reporting are currently participating in a Feasibility Study Report (FSR) development project to replace the SCO's archaic PTP "system". DAR contracted with the NewPoint Group to write the FSR and to perform a business process re-engineering study for the program. The contractor is expected to complete the FSR for submission to SCO's budget office on or before May 15, 2009. The contractor will prepare the related BCP for submission to SCO's budget office by July 10, 2009 (for 2010-11 funding).

The PTP program is currently supported by a number of computer applications including a 31 year old mainframe system. The mainframe supports only the accounting and payment functions. The mainframe lacks a considerable degree of functionality needed today and it is very inflexible. IT support for the mainframe is very scarce. The mainframe processes are supplemented by a myriad of PC databases and a variety of spreadsheets, none of which are supported by ISD. It is the intent of the SCO to replace the disparate PTP applications with a new and highly integrated and efficient system encompassing the Eligibility, Lien Management, Accounting, Collections and Customer Service functions. The system must support an increasing number of program participants as recent legislative changes will grow the program. The system must also electronically interface with the data received from the Franchise Tax Board's Homeowner and Renters Assistance (HRA) program, such that PTP claimant accounts are credited by the amount of the HRA grants.

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

The Property Tax Postponement System Replacement (PTP) project supports SCO's strategic goals 2, 3, 4 and 5 as follows:

- Replacing the aging legacy system with modern technologies provides PTP support staff with a streamlined, integrated, and more efficient system eliminating the many manual processes and lookups and reducing the amount of time to process applications and respond to inquiries thereby improving customer service.
- Implementing business process improvements in conjunction with replacement of the existing system with modern technologies will improve service delivery.
- Updating the technologies used provide PTP staff with opportunities for training, job enrichment, and possible upward mobility within the organization.

- Modernizing the technologies to support industry-standard data exchange formats allows the SCO to provide for interoperable, seamless information/data sharing with stakeholders.

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 solution will allow the program to modify processes and gain efficiencies in the manner in which service is delivered. The new technology would also provide a standard supportable platform consistent with industry standards, result in enhanced internal controls, and will dramatically improve our opportunity to acquire on-going IT support for the applications. Specifically, a solution that is web based or utilizes other suitable technology will allow the program to:

- Issue electronic payments directly to counties
- Ensure that PTP liens are filed and released timely
- Reduce the myriad of data reconciliations currently necessary
- Provide efficiencies in the manner in which eligibility is determined
- Process a growing number of applications more efficiently
- Ensure the State's interest is protected when postponing property taxes on eligible properties
- Monitor accounts receivable and collect delinquent accounts effectively
- Improve customer service by providing easier access to applications and account information.
- Allow for easier automated interaction with external stakeholders including county tax collectors and the Franchise Tax Board
- Reduce the inordinate amount of manual functions, thereby eliminating the need for more staff as the number of program participants increase

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
- Other

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

A technology solution has not been proposed at this time and therefore cannot be assessed for consistency with the SCO's Enterprise Architecture.

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?

07/2009 – 09/2009

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

09/2010 – 12/2010

4.10. What is the duration of the proposed project?

The Feasibility Study Report will determine the project duration.

4.11. Will the proposed project utilize the existing infrastructure?

- Yes
- No
- Other

If No or Other, please explain.

A technology solution has not been proposed at this time and therefore cannot be assessed for utilization with the SCO's existing infrastructure.

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:

The number of manual and semi-manual processes that have developed to supplement an ineffective mainframe system are extremely cumbersome. The program participation level is expected to double within a few years due to aging of the population and a legislation that increased the income threshold. The current system stifles the ability to accomplish necessary business process improvements. Unless we can achieve efficiencies in the current business processes:

- The need for additional staff will be considerable and extremely difficult to fund.
- Our ability to serve the senior and disable homeowners that apply to this program will be compromised.
- A very ineffective payment methodology continues (blank warrants are currently issued)
- Protection of the State’s interest is at risk due to the ineffective and inefficient lien processes currently.

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

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

TBD

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

The Feasibility Study Report will determine the project’s estimated cost and funding source.

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

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

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:

Project Management Portfolio Tool – Priority Ranking – 3

4.2. Description of the proposed IT project:

Integrated information technology governance is about leadership in effectively and efficiently managing an organization's use of technology to meet its business needs. Project Portfolio Management Tool is to aid the governance (governance structure) in making effective IT investment decisions through improved ability to identify, analyze, and prioritize potential IT investments; originate, initiate, monitor, oversee, and successfully implement IT projects; better ensure projects align with the strategic direction of the department.

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

The Project Management Portfolio Tool (PMPT) project supports SCO's strategic goals 2, 3, and 5 as follows:

- Improves SCO ability to identify, analyze, and prioritize potential IT investments; to originate, initiate, monitor, oversee, and successfully implement IT projects; better ensure projects align with the strategic direction of the department by:
 - Collecting and consolidating project information using a single application.
 - Providing SCO Management with "decision support" information to assist with Project Origination, Portfolio and Project Management, and Oversight responsibilities.
 - Providing resource availability and usage (i.e. staff, skills, funding, etc.) to balance demand with supply.

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

- Automated process to improve the planning and execution of IT projects.
- More efficient management of IT work.
- More efficient use of IT resources (staff, funding, skill sets, etc.)
- Graphical and tabular portfolio analytics.
- Visibility for all IT processes, from strategic planning to work execution.
- Budget creation at various levels to forecast and track running costs.
- Various work and investment related reporting

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
- Other

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

A technology solution has not been proposed at this time and therefore cannot be assessed for consistency with the SCO's Enterprise Architecture.

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?

07/2009 – 09/2009

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

09/2010 – 12/2010

4.10. What is the duration of the proposed project?

The Feasibility Study Report will determine the project duration.

4.11. Will the proposed project utilize the existing infrastructure?

- Yes
- No
- Other

If No or Other, please explain.

A technology solution has not been proposed at this time and therefore cannot be assessed for utilization with the SCO's existing infrastructure.

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:

The SCO IT governance structure will not have the necessary tools and information to make effective IT investment decisions.

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

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

TBD

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

The estimated costs for this project are \$1,300,000.

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

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

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:

Local Reimbursement System and Report Modernization – Priority Ranking – 4

4.2. Description of the proposed IT project:

The SCO Information Systems Division and the Division of Accounting and Reporting recommend replacing the current outdated Local Reimbursement System. This new system must be capable of interfacing with the LGeC online claiming system and accept submission of manual claim, make payments, account for payables and receivables, data warehousing of claims filed and paid and the preparation of reports on the 120 + mandated cost programs and 2 special reimbursement programs. The regulatory reports include the Annual Report of Program Costs and Payments for State Mandate Programs (AB 3000), the Annual Deficiency Report, and the Audit Finding report which are due October 31, April 15, and April 30, respectively. Additionally, this new system will need to have the capability to provide ad-hoc reports or the ability of users to create their own reports using the data warehouse. The replacement system should utilize the Enterprise Architecture's recommended application development platform that will provide a flexible source of data that will meet the mandate's ever changing need for data. This enterprise solution would replace the current system and files that are currently utilized to develop the regulatory report requirements.

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

The Local Reimbursement System and Report Modernization (LRS) project supports SCO's strategic goals 4 and 5 as follows:

- Updating the technologies used provide LRS staff with opportunities for training, job enrichment, and possible upward mobility within the organization.
- Modernizing the technologies to support industry-standard data exchange formats allows the SCO to move towards more transparent government, streamlines the reporting process, and improves report and service delivery time to affected customers.

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 solution will provide a standard supportable platform consistent with industry standards as well as provide the ability to acquire development and support staff based on current technologies. Further business outcomes and benefits will be identified over the next year.

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
- Other

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

A technology solution has not been proposed at this time and therefore cannot be assessed for consistency with the SCO's Enterprise Architecture.

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?

07/2010 – 09/2010

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

09/2011 – 12/2011

4.10. What is the duration of the proposed project?

The Feasibility Study Report will determine the project duration.

4.11. Will the proposed project utilize the existing infrastructure?

- Yes
- No
- Other

If No or Other, please explain.

A technology solution has not been proposed at this time and therefore cannot be assessed for utilization with the SCO's existing infrastructure.

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:

The older LRS System does not have an adequate claims posting process, payment system or reporting module to adequately, accurately and timely make payments or extract data for reports that are required in statute. Due to these constraints and the time it takes to manually navigate the older system the SCO is unable to spend sufficient time monitoring and reviewing claims filed. In addition, ISD has a single programmer with the technical knowledge to support the system and she will be retiring in the near future. Due to the age of the system's technology, finding additional resources with this knowledge is difficult. To comply with mandate reform and the current reporting requirements the section has resorted to developing and using interfaces and databases that are external to the original system and typically supported by ISD. The existing process is not efficient and effective and manual verification of data is necessary in order to accurately perform the section's functions. Eventually, the system will collapse and the SCO will be forced to revert to a manual claims filing and payment system, void the use of the newly developed LGeC online filing system and not be able to meet the statutory payment and reporting deadlines.

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

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

TBD

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

The Feasibility Study Report will determine the project's estimated cost and funding source.

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

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

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:

Federated Identity Management (FIDM) – Priority Ranking – 5

4.2. Description of the proposed IT project:

In June 2008, a workgroup studied and presented to the Service Oriented Architecture Governance Board their recommendations for identity management and a conceptual architecture as a part of the California State IT enterprise blueprint. An enterprise-wide identity management strategy should provide the essential components to ensure the electronic access and delivery of government services in a secure, efficient and effective manner.

Part of the conceptual architecture included the State Controller's Office having lead responsibility to prepare, design, and build the interface and infrastructure to provide shared identity services for State employees, both active and retired, for use by all State entities. This involves selecting an interface with the Personnel and Payroll SAP system to extract information securely for purposes of identification and authorization to grant access to government services and data. Further, this interface requires build out of SCO's and DTS's network infrastructure and hire of State staff to support it

This interface requires:

- Use of an identity management framework which is based on a federated model
- Use of shared (authentication) services to operate in a Service Oriented Architecture environment
- Adopt and use a set of technical standards for validating user identity (authentication) and providing user permissions (authorization) for use throughout State Government.
- Use of a governance authority to address complex policy issues related to identity management.
- Use of a governance structure to facilitate public, private, and inter-governmental collaboration

The State Controller's Office plans to collaborate with the State Chief Information Office, Enterprise Architecture and the Department of Finance to determine how to fund and allocate costs for this enterprise service. An estimate of proposed interface development and network infrastructure costs are included for Fiscal Year 2011/12. This particular fiscal year is chosen because the new Twenty First Century implementation of SAP for Personnel and Payroll should be in production and the infrastructure is in place to connect to at the State level.

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

The Federated Identity Management (FIDM) project supports SCO's strategic goal 3 as follows:

- Implementation of single sign-on capabilities will improve service delivery. Modernizing the technologies to support industry-standard data exchange formats allows the SCO to move towards more transparent government, streamlines the reporting process, and improves report and service delivery time to affected.

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

TBD

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
- Other

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

A technology solution has not been proposed at this time and therefore cannot be assessed for consistency with the SCO's Enterprise Architecture.

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?

07/2010 09/2010

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

09/2011 – 12/2011

4.10. What is the duration of the proposed project?

The Feasibility Study Report will determine the project duration.

4.11. Will the proposed project utilize the existing infrastructure?

- Yes
- No
- Other

If No or Other, please explain.

A technology solution has not been proposed at this time and therefore cannot be assessed for utilization with the SCO's existing infrastructure.

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:

- Individual State entities will build their own state employee identity services, increasing the State's overall PY and IT infrastructure costs.
- No alignment with the State CIO's vision of building and offering enterprise services and sharing the costs across the State.
- Continues the silo approach to services and does not support e-Government for Californians and others who do business electronically with the State.

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

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

TBD

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

The estimated costs for this project are \$7,300,000.

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

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

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:

Self-Service Data Warehouse – Priority Ranking – 6

4.2. Description of the proposed IT project:

A data warehouse is a repository of an organization's stored data. It is a collection of subject-oriented, integrated, time-variant, and non-volatile data. It is designed to support decision making within an organization. A data warehouse project for SCO would include the following high level items beyond the normal project management principals:

- Complete an FSR to focus the scope of the project FY 10/11
- Acquire consulting services to bring into the project a group of knowledgeable and experienced data warehouse specialist to help form the project plan, create and guide the project team, recommend a methodology, and mentor ISD staff who would be supporting the system
- Select a hardware architecture that has extendable storage
- Build or purchase a front-end system that is flexible, customizable, and provides a self-service approach to data retrieval
- Training for SCO staff to support the system and to use the self-service interface

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

The Self-Service Data Warehouse (SSDW) project supports SCO's strategic goals 1, 2, 3, and 5 as follows:

- An enterprise data warehouse will store financial data in one central repository and be easily accessible by State and local government.
- An enterprise data warehouse will provide a self-service interface for SCO staff and public.
- Modernizing the technologies would help improve business operations by providing data to make decisions more efficiently.
- A enterprise data warehouse will make data readily available and consistent.

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

- A data warehouse would help improve business operations by providing managers with data to make decisions more efficiently than the methods used today.
- Valuable staff time spent to research trends and survey staff and other entities can be reduced or eliminated.
- SCO management will have a valuable tool to help find ways to reduce costs and increase efficiency.

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
- Other

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

A technology solution has not been proposed at this time and therefore cannot be assessed for consistency with the SCO's Enterprise Architecture.

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?

07/2010 – 09/2010

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

09/2011 – 12/2011

4.10. What is the duration of the proposed project?

The Feasibility Study Report will determine the project duration.

4.11. Will the proposed project utilize the existing infrastructure?

- Yes
- No
- Other

If No or Other, please explain.

A technology solution has not been proposed at this time and therefore cannot be assessed for utilization with the SCO's existing infrastructure.

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:

Without a data warehouse, SCO will retain the current manual driven methods to extract data from business areas for managerial reviews and continue to run a high risk of data loss, low data quality, and higher costs since archive data will remain scattered throughout the agencies systems; missing the opportunity to streamline storage costs through consolidation.

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

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

TBD

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

The estimated costs for this project are \$3,750,000.

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

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

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:

Electronic Expenditure Tracking System (EETS) – Priority Ranking – 7

4.2. Description of the proposed IT project:

SCO currently has a limited (25 users), small scale deployment of ACL Audit Exchange software allowing auditors, through manual system interfaces, to seek anomalies of state expenditures for audit analysis. SCO will seek to expand its current deployment to a full-scale enterprise implementation coinciding with the FISCAL implementation in FY11/12. This will provide a dramatically improved and comprehensive platform for SCO's auditors to leverage FISCAL's data repositories. ACL-FISCAL data integration capabilities will significantly strengthen SCO's auditors means to efficiently and effectively perform state-level data analyses to help detect and prevent fraud. Identifying expenditure anomalies quickly, also contributes to California's fiscal health, improving accuracy of findings, enhancing stewardship and control, and increasing the State's return on investment of human capital.

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

The Electronic Expenditure Tracking (EET) project supports SCO's strategic goals 1, 3, and 5 as follows:

- Using technology to ensure auditing principles are adhered to in order to realize financial integrity and accountability

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

TBD

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
- Other

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

A technology solution has not been proposed at this time and therefore cannot be assessed for consistency with the SCO's Enterprise Architecture.

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?

07/2010 – 09/2010

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

09/2011 – 12/2011

4.10. What is the duration of the proposed project?

The Feasibility Study Report will determine the project duration.

4.11. Will the proposed project utilize the existing infrastructure?

- Yes
- No
- Other

If No or Other, please explain.

A technology solution has not been proposed at this time and therefore cannot be assessed for utilization with the SCO's existing infrastructure.

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:

TBD

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

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

TBD

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

The estimated costs for this project are \$1,100,000.

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

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

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:

CalATERS Replacement System – Priority Ranking – 8

4.2. Description of the proposed IT project:

When CalATERS was first developed, it used the existing version of the IBM Automated Travel Expense Reimbursement System (ATERS) as the base for the system. ATERS was an off the shelf system that was configured and customized to meet California's needs. This version was partially ADA compliant through the use of 3rd party tools that enabled the visually impaired to use the system and approve travel claims. However, over time the software operating system tools were upgraded by the vendor, and then the Java tool that CalATERS uses was upgraded. Both of these changes rendered the current CalAters system incapable of supporting the 3rd party ADA-enabling technology. Consequently, CalAters is no longer ADA compliant. Concurrently, the Legislature mandated use of this system for all departments effective 7/1/09. This lack of ADA compliance has been examined from the perspective of making changes to the ATERS version SCO uses or developing new interface tools, but neither approach has proven to be effective, as the current version of ATERS is past end-of-life and further enhancements are not an option. It has therefore become apparent that we need to move from the current version of ATERS to IBM's next release of this product, known as Global ERS version. Global ERS not only provides additional functionality, but is fully ADA compliant.

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

The CalATERS Replacement System (CRS) project supports SCO's strategic goals 2 and 3.

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

TBD

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
- Other

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

A technology solution has not been proposed at this time and therefore cannot be assessed for consistency with the SCO's Enterprise Architecture.

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?

07/2010 – 09/2010

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

09/2011 – 12/2011

4.10. What is the duration of the proposed project?

The Feasibility Study Report will determine the project duration.

4.11. Will the proposed project utilize the existing infrastructure?

- Yes
- No
- Other

If No or Other, please explain.

A technology solution has not been proposed at this time and therefore cannot be assessed for utilization with the SCO's existing infrastructure.

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:

TBD

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

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

TBD

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

The estimated costs for this project are \$2,000,000.

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

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

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:

Software Development and Testing Approach – Priority Ranking – 9

4.2. Description of the proposed IT project:

In pursuit of ITIL best practices, the State Controller's Office must change its software development and testing organizational structure, processes, and tools. SCO will create separate application development and testing units for independent verification and quality assurance of code developed by in-house and contract developer staff. It is estimated 18 full-time staff will be needed. This change will require SCO to acquire an enterprise-wide configuration management and version control application which can house an architecture repository of all applications and their specific data elements.

This project is included in FY 2012/13 to allow SCO time to plan and formulate the proposed organizational structure and classifications, responsibilities, and duties; to prepare an organizational change management approach; and determine impact to existing application development operations.

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

The Software Development and Testing Approach (SWDTA) project supports SCO's strategic goals 3 and 4 as follows:

- This result in new software configuration management, version control, and architecture repository products which improve service delivery.
- Reorganizing our software development and testing areas will attract employees wanting to work in an ITIL-based environment.

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

TBD

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
- Other

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

A technology solution has not been proposed at this time and therefore cannot be assessed for consistency with the SCO's Enterprise Architecture.

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?

07/2011 – 09/2011

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

09/2012 – 12/2012

4.10. What is the duration of the proposed project?

The Feasibility Study Report will determine the project duration.

4.11. Will the proposed project utilize the existing infrastructure?

- Yes
- No
- Other

If No or Other, please explain.

A technology solution has not been proposed at this time and therefore cannot be assessed for utilization with the SCO's existing infrastructure.

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:

- Code quality assurance and verification inconsistencies based on individual developer criteria.
- Delays in moving changes forward into production for program areas due to code rework and testing.
- No repeatable, metric-driven processes in place to verify code integrity and quality assurance testing.
- Without dedicated, independent, structured software testing staff and practices, the SCO's ability to prevent or discover software defects early in the development lifecycle is at risk. The result is an environment of software development vulnerabilities in requirements analysis, test plans, quality control metrics and deployment.

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

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

TBD

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

The estimated costs for this project are \$2,975,000.

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

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

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:

Service Oriented Architecture Application Retrofit & Connect (SOAARC) – Priority Ranking – 10

4.2. Description of the proposed IT project:

This project provides SCO with the capability to retrofit legacy mainframe based or client/server/mainframe based applications to the Department of Technology Services (DTS) Service Oriented Architecture (SOA) infrastructure to enable our services to be accessible for other State entities, private companies, and the public. Further, as legacy applications are modernized, the architecture of the new systems must be SOA compatible with the DTS infrastructure.

SCO must build out its own infrastructure and interfaces to connect to the DTS SOA and hire or develop staff expertise to support it.

This project is included in FY 2013/14 to allow DTS to build the SOA infrastructure, gain staff expertise to support it, mature it for general State entity use, and establish acceptable, reasonable overhead and use costs to charge State entities. Further, SCO desires to complete the Federated Identity Management (FIDM) project prior to starting this project from an enterprise services perspective.

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

The Services Oriented Architecture Application Retrofit & Connect project supports SCO's strategic goals 3 as follows:

- Retrofitting existing applications will enable the SCO's services to be accessible for other State entities, private companies, and the public improving delivery of core services.

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

TBD

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
- Other

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

A technology solution has not been proposed at this time and therefore cannot be assessed for consistency with the SCO's Enterprise Architecture.

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?

07/2012 – 09/2012

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

09/2013 – 12/2013

4.10. What is the duration of the proposed project?

The Feasibility Study Report will determine the project duration.

4.11. Will the proposed project utilize the existing infrastructure?

- Yes
- No
- Other

If No or Other, please explain.

A technology solution has not been proposed at this time and therefore cannot be assessed for utilization with the SCO's existing infrastructure.

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:

The consequences for not doing this proposed project in the planned timeframe include:

- No alignment with the State CIO's vision of building and offering enterprise services and sharing the costs across the State.
- The SCO customers and partners are constrained in choices to access our services.
- No reduction in the SCO's IT environment complexity and costs.

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

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

TBD

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

The estimated costs for this project are \$3,900,000.

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

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

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:

Operational Recovery Plan Augmentation – Priority Ranking – N/A

4.2. Description of the proposed IT project:

The Operational Recovery Plan Augmentation project will allow for the most efficient replication of data to a disaster recovery environment, with the quickest return of SCO business to operation.

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

The Operational Recovery Plan Augmentation (ORPA) project supports SCO's strategic goals 1, 2, and 3 as follows:

- Enables the SCO's business functionality to remain intact during a disaster.
- Allows minimal down time for critical business operations.
- Implementing new virtualization technology to aid in the recovery of data during a disaster maximizing efficiency and reducing overhead.

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

Would provide data mirroring in as close to real time as possible, providing replication in various geographical locations, allowing the SCO environment to become truly redundant.

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
- Other

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

A technology solution has not been proposed at this time and therefore cannot be assessed for consistency with the SCO's Enterprise Architecture.

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?

No FSR needed, this will be done as an in-house project

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

09/2010 – 12/2010

4.10. What is the duration of the proposed project?

The project duration is approximately 6 months.

4.11. Will the proposed project utilize the existing infrastructure?

- Yes
- No

If no, please explain.

This project will utilize some of the existing infrastructure.

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:

This project is an augmentation of the existing ORP.

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

SCO IT environment will not be totally supported with the warm site, and return to operation would take anywhere from one to 8 hours with one day of data loss.

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

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

TBD

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

The estimated costs for this project are \$1,900,000.

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

*** 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**Strategy:** The strategy for SCO's Enterprise Architecture is '*Just enough architecture, Just in time.*'**Standards:** The SCO's Enterprise Architecture standards are a work in progress. No**Principles:** The SCO's Enterprise Architecture principles are currently being developed with a planned completion date of March 2009.**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	N/A	N/A	Planned for FY 09/10	N/A
Service	N/A	N/A	Planned for FY 09/10	N/A
Technical	N/A	N/A	Planned completion date of December 2008	N/A
Data	N/A	N/A	Planned completion date of June 2009	N/A

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

The Enterprise Architecture Program (EAP) applies a comprehensive and rigorous methodology in describing both the current ('As-Is') and future technology environments. In addition, the EAP defines acceptable methods, products and platforms for building, sustaining, and retiring information systems, such that they align with the SCO's core mission and strategic direction, as well as provide a framework within which SCO will build its technology vision.

To that end, the SCO is updating its internal governance structure to include the Enterprise Architecture Program (EAP).

Enterprise Architecture

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

Yes

No

Name: Paulette Childs – Enterprise Architect

Classification: Systems Software Specialist III (Technical)

Telephone Number: (916) 322-1142 **E-Mail:** pchilds@sco.ca.gov

Name: Phillip Oyog – Data Architect

Classification: Systems Software Specialist III (Technical)

Telephone Number: (916) 327-8736 **E-Mail:** poyog@sco.ca.gov

Information Security

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

The State Controller's Office (SCO), Chief Information Security Officer (CISO), and Information Security Office (ISO) conduct oversight activities to ensure projects adhere to SCO Information Security Program standards. Oversight activities include information security and privacy risk assessment, project security planning, and information security certification evaluations.

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 SCO Information Security Program and security standards are constructed in alignment with the ISO/IEC 27002 International Standards for Information Technology – Security Techniques – Codes of practice for Information Security Management, Federal Information Processing Standards, and National Institute of Standards and Technology Special Publications.

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?

The SCO Information Systems Division (ISD) utilizes the Software Engineering Body of Knowledge (SWEBOK) methodology published by IEEE Computer Society Professional Practices Committee to develop software. The ISO conducts vulnerability scans on SCO servers using nCircle at the Department of Technology Services (DTS), Webinspect for SCO web servers, and Qualys for SCO's in-house servers. These vulnerability scans ensure an acceptable level of risk is maintained.

Information Security

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: Thomas Gilbert - ISO

Classification: Systems Software Specialist II (Supervisory)

Telephone Number: (916) 324-9472 **E-Mail:** tgilbert@sco.ca.gov

Workforce Development, Workforce Planning and Succession Planning

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

- Yes
- No

While SCO does not currently have a published workforce development plan for IT staff, SCO has established a Departmental Leadership Subcommittee that is in the process of developing SCO's workforce development & succession management plans for the department.

If yes, briefly describe it.

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 - informally
- 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

SCO is in the process of developing this plan.

If yes, briefly describe it.

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

- Yes
- No

While SCO does not currently have a published workforce development plan for IT staff, SCO has established a Departmental Leadership Subcommittee that is in the process of developing SCO's workforce development & succession management plans for the department.

If yes, briefly describe it.

Workforce Development, Workforce Planning and Succession Planning

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
1312 – Staff Information Systems Analyst (Specialist)	28	11	1381 – Data Processing Manager I	1	0
1337 – Senior Information Systems Analyst (Specialist)	16	8	1384 – Data Processing Manager II	12	7
1350 – Computer Operations Supervisor II	1	1	1387 – Data Processing Manager IV	4	1
1351 – Computer Operations Supervisor I	2	0	1393 – Data Processing Manager III	6	2
1353 – Computer Operator	8	2			
1360 – Information Systems Technician	9	2			
1367 – Systems Software Specialist III (Technical)	4	0			
1373 – Systems Software Specialist II (Technical)	5	4			
1470 – Associate Information Systems Analyst (Specialist)	28	10			
1479 – Assistant Information	6	0			

Systems Analyst					
1557 – Information Systems Technician Specialist II	3	1			
1562 – Information Systems Technician Specialist I	2	2			
1579 – Associate Programmer Analyst (Specialist)	14	6			
1581 – Staff Programmer Analyst (Specialist)	15	7			
1583 – Senior Programmer Analyst (Specialist)	17	6			
1587 – Systems Software Specialist I (Technical)	4	1			

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 State Controller's Office (SCO) uses three primary mechanisms:

- The SCO Governance Council brings IT and Business leaders together to align the organization cross-divisionally and to coordinate IT investments across the enterprise in a strategic, portfolio management approach.
- The SCO Agency Information Management Strategy (AIMS) Report documents the department's IT strategy and shows the alignment of IT initiatives and services with business goals and objectives.
- The SCO Governance Council, Project Approval process requires Concept Papers and Feasibility Study Reports (FSRs) demonstrate alignment with the SCO AIMS and business goals and objectives. Through this process, projects which demonstrate alignment rank higher in priority.

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

This project is currently in the Project Origination Phase. To date, the SCO approved a Concept Paper, prepared a Request for Information (RFI), and received vendor RFI responses for a Project Portfolio Management Tool (PPMT). However, work on the Feasibility Study Report (FSR) is deferred due to statewide and departmental budget constraints.

- 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.

The SCO Information Systems Division (ISD) uses the Project Management Software – Platinum Enterprise Project Management (Platinum EPM).

The EPM software provides an open database compliant (ODBC) capability which enables the ISD Business Systems Bureau to develop and maintain a database backend for project, M&O, and human resource reporting. The 21st Century Project uses Microsoft Project Professional. Externally managed projects typically use Microsoft Project Professional.

Project Management, Portfolio Management and IT Governance

In addition to these tools, the SCO Project Management Office prepares a monthly IT Project Dashboard, which consolidates and summarizes information from various sources on a Microsoft Excel spreadsheet for the Governance Council.

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

Implemented (Please describe)

In 1998, the SCO Information Systems Division (ISD) chartered the Project Management Office with the responsibility to develop a scalable project management process for ISD. This process evolved and is documented on the Controller's Office intranet as the SCO Project Management Handbook. In January 2004, the SCO IT Governance Board adopted the SCO Project Management Handbook as the departmental standards. This handbook is consistent with the Project Management Body of Knowledge (PMBOK).

Implementation in progress (Please describe)

Planned or planning in progress

Not implemented and not planned

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

No

Although the SCO does not require project managers to be certified to manage projects, the department encourages and supports the training, education, and certification of project managers. This is demonstrated by the following:

PMI

- Currently, all project liaisons in the SCO Project Management Office (PMO) are Project Management Institute (PMI) certified Project Management Professionals (PMPs).
 1. Jesse Alexander - PMI certified PMP
 2. Jeanne Fong - PMI certified PMP
- For the SCO's '*Table 1 – Existing Approved Reportable IT Projects*,' all Information Systems Division (ISD) Project Managers are certified PMPs or certified in Project Management by the U.C. Davis Extension.
 1. 21st Century Project – Cheryl Hotaling – PMI certified PMP
 2. UPSR – Bob Morthole – PMI certified PMP
- Other Information Systems Division Managers either PMI certified PMPs or targeted for certification include:
 1. Laurye Gage – PMI certified PMP
 2. Carla Nishimura – targeted for certification in FY 2008/2009

Project Management, Portfolio Management and IT Governance

ITIL

- In 2007/2008, the ISD procured and delivered IT Infrastructure Library (ITIL) V.2 Foundations training and certifications for approximately 50 managers and staff within the ISD.

Agency-specified project management coursework (identify below)

- In 2007/2008, the SCO procured and delivered executive level Project Management Seminars and Applied Project Management (APM) training from Knowledge Structures Inc. The APM training was provided to current SCO project managers and select staff on projects.

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

Although not mandated by department policy, needed training is made available as specified in project and individual training plans. This training includes, but is not limited to the following:

- Requirements Management
- Procurement/Contract Management
- Microsoft Project Professional
- Platinum Enterprise Project Management (EPM)
- Risk Management
- State of CA IT Manager's Academy (ITMA)
- Assessment and Recovery of Troubled Projects

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

The SCO uses the following department required "project-level" governance practices, described in the SCO Project Management Handbook:

- The Project Concept and Approval process specifies concept papers and feasibility study reports (FSRs) show alignment with the SCO Information Management Strategy and submitted to the Governance Council for authorization.
- The integrated Project Issue, Risk, & Change Management process provides for the identification, documentation, communication, escalation, resolution/mitigation, and approval of project issues, risks, and changes.
- The SCO PM Handbook includes control gates to ensure projects deliver planned project objectives before proceedings on to the next phase through Quality Assurance, End of Phase Milestone Reviews, and Customer Acceptance.

Project Management, Portfolio Management and IT Governance

- The SCO uses statewide project-level governance practices including independent Project Oversight & Reporting (IPOR), Independent Verification & Validation (IV&V), and Post Implementation Evaluation Reviews (PIER).

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

Yes (Please describe)

The SCO lessons learned process is described in the SCO Project Management Handbook. Templates, examples, and past lessons learned reports are available for current and future projects on the Controller's Office Intranet.

No