

Information Technology Capital Plan

Department IT Capital Plan



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

Department Name

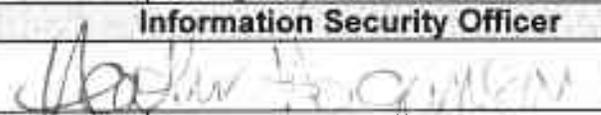
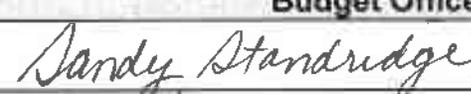
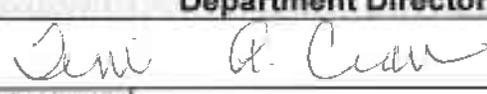
California Gambling Control Commission

APPROVAL SIGNATURES

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

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

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

Chief Information Officer		Date Signed
		9/17/08
Printed name:	Michael Gardner	
Information Security Officer		Date Signed
		9/17/08
Printed name:	Heather Hoganson	
Budget Officer		Date Signed
		9-17-08
Printed name:	Sandy Standridge	
Department Director		Date Signed
		9-18-08
Printed name:	Terri A. Cia	

DEPARTMENT IT CAPITAL PLAN

Department Name and Org Code:

CA Gambling Control Commission - 0855

Plan Year:

2009-10 through 2013-14

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

The California Gambling Control Commission protects the public by fostering the integrity of gaming through setting policies, promulgating regulations, licensing, and monitoring compliance; and by implementing and administering the Gambling Control Act and the Tribal-State Gaming Compacts.

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 Commission's upgrade "cycle" is typically 3 years for Desktop and Mobile Computing, 5-6 years for servers.

2.2. Software

The Commission's upgrade "cycle" is approximately 6 years for major upgrades depending on developments with respect to the vendor's version/replacement plans.

2.3. Network

The Commission's upgrade "cycle" is approximately 6 years for major upgrades depending on developments with respect to the vendor's version/replacement plans.

3. Existing Approved Reportable IT Projects

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

Currently the Commission has no Approved Reportable Projects.

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

Enterprise Architecture

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:

Online-Automated Licensing & E-Payment (rank 1)

4.2. Description of the proposed IT project:

The current Licensing System has a web-based online licensing and payment module that would assist with workload particular for the lower levels of gambling licenses while giving the gaming industry a more timely and accurate approach to licensing employees with the highest turnover.

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

This project will support the Commission's goal of fully implementing Commission Programs within Strategic Plan. A key objective within this goal is to develop the Commission's Agency Information Management Strategy (AIMS). This On-Line Automated Licensing and d-Payment project has been identified as a priority project for the Commission.

Licensing of gaming industry principals and employees is a key business and regulatory function of the Commission. Currently the Commission uses a system relying of state staff for all data entry and validation of licensing information. Online licensing will permit the Commission to focus its investigation and licensing efforts on key principals of gaming organizations in the State, and allow individuals with lesser responsibilities within gaming organizations to acquire licenses in a less time consuming fashion.

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

1. Ability to focus licensing resources on more complicated/sophisticated gaming organizations' licensing.
2. Allow gaming industry to have more streamlined, timely licensing of less critical gaming licensee/employees
3. Allow gaming industry to determine licensing status of gaming employees online rather than contacting Commission staff.
4. Allow more timely collection of gaming fees

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

Enterprise Architecture

- 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?
- 06/2009
- 4.9. What is the estimated project start date (mm/yyyy) if the FSR is approved?
- 06/2010 (due to necessary collaboration with Department of Justice & DGS)
- 4.10. What is the duration of the proposed project?
- Six months
- 4.11. Will the proposed project utilize the existing infrastructure?
- Yes – however additional hardware/systems and third party systems (financial) will be required.
 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:

Enterprise Architecture

The current licensing system known as LIS has been in production since March 2006. Automated Licensing is an additional add-on module currently available from the current vendor under contract to supply the application software. E-Payment will require contracting an (existing) DGS-available third party fiscal intermediary who can process electronic licensing payment. This project may require integration between the two vendors.

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

If the project is not undertaken in the planned timeframe the Commission will face increasing demands on staff to process licensing requests as the gaming industry increases in California resulting in greater delays to the Commission and the gaming industry.

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

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

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

Fund Source	2009-10	2010-11	2011-12	2012-13	2013-14 and future	Total
General Fund						
Federal Fund						
Special Fund*	\$200,000	\$100,000				
Total						

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

Enterprise Architecture

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

- Yes
 No

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

Table A-1, Enterprise Architecture Completion Status

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

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

Currently the Commission is an organization with approximately 90 staff of which it has only 3 IT positions. Of these 3 positions, 2 are dedicated to Infrastructure Deployment and Support, leaving only 1 Senior Programmer/Analyst dedicated to determine and resolve all IT Managerial, Administrative, Enterprise Architectural, Application, Web and Development projects and tasks. IT reports to the Chief Administrative Officer.

In the light of these constrained resources dedicated to IT, those resources are tightly focused on daily support of existing systems and upgrades to infrastructure as well as maintenance (configuration, modification, reporting, etc.) of current applications as well as Commission web site information. There are no additional resources for more advanced, formal IT management.

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

- Yes
 No

Name: Michael Gardner

Classification: Senior Programmer/Analyst

Telephone Number: 916-263-1452 **E-Mail:** mgardner@cgcc.ca.gov

Information Security

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

The ISO participates in the review and approval of all key IT documents and procedures from the perspective of security, privacy, and confidentiality. The ISO is included in the review and approval of the Operational Recovery Plan, the Agency Information Management Strategy and communications with the Office of Information Security and Privacy Protection (OISPP).

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 Commission maintains tight security over its information assets in the form of hardware, system, and software features. Data is segmented and secured by operational unit with Active Directory Services applied to all such data for naming, passwords, and access control lists. Access to key applications is controlled via multiple passwords and access control lists. Backups are taken on daily, weekly, monthly basis and secured offsite in secured storage. More details with respect to security are contained within the Commission's Operational Recovery Plan as submitted and approved by OISSP.

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 single developer for all Commission applications applies standards and best practices as per the particular application involved by using industry standard languages, databases, and tools.

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: Ms. Heather Hoganson
 Classification: Staff Counsel III (Specialist)
 Telephone Number: 916-274-6328 E-Mail: hhoganson@cgcc.ca.gov

Workforce Development, Workforce Planning and Succession Planning

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

- Yes
 No

If yes, briefly describe it.

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

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

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

- Yes
 No

If yes, briefly describe it.

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

- Yes
 No

If yes, briefly describe it.

C.5. IT Staffing

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

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

Table C-1 — IT Staffing

IT Rank and File Staff Classification	Number of IT Rank and File Staff in Classification	Number of IT Rank and File Staff in Classification Eligible to Retire in Next 5 Years	IT Management Staff Classification	Number of IT Management Staff in Classification	Number of IT Management Staff in Classification Eligible to Retire in Next 5 Years
Senior Programmer/Analyst (Specialist)	1	1			
Systems Software Specialist II (Technical)	1				
Associate Information Systems Analyst (Specialist)	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 Commission has just recently included an Agency Information Management Strategy process as part of its overall Strategic Planning process. It is in the process of being developed.

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

Implemented (Please describe)

Implementation in progress (Please describe)

Planned or planning in progress

Not implemented and not planned

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

None

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

Implemented (Please describe)

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.

There is currently no formal process in place. IT staff determine priorities on an ad-hoc basis resulting from program and agency management needs. The institution of the AIMS is the Commission's first step towards a more formal IT/project governance.

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

Yes (Please describe)

No