

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



Department Name

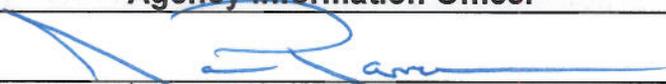
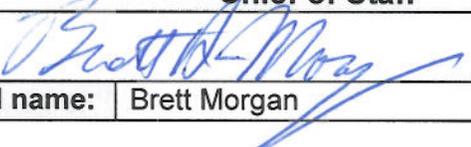
California Department of Corrections and Rehabilitation

APPROVAL SIGNATURES

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

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

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

Agency Information Officer		Date Signed
		9/17/08
Printed name:	Joe Panora	
Information Security Officer		Date Signed
		9/18/08
Printed name:	Allen Pugnier	
Budget Officer		Date Signed
		9/23/08
Printed name:	Dave Lewis (A)	
Chief of Staff		Date Signed
		9/24/08
Printed name:	Brett Morgan	

California Department of Corrections and Rehabilitation



Information Technology Capital Plan

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DEPARTMENT IT CAPITAL PLAN

Department Name and Org Code:

California Department of Corrections and Rehabilitation – 5225

Plan Year:

2009-10 through 2013-14

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

The California Department of Correction and Rehabilitation (CDCR) mission is to "enhance public safety through safe and secure incarceration of offenders, effective parole supervision, and rehabilitative strategies to successfully reintegrate offenders into our communities."¹ This mission applies to all offenders within CDCR's jurisdiction and oversight - both adult and juvenile offenders. However, given the significantly different needs of adults and juveniles, some CDCR business goals and objectives vary between the adult and juvenile program areas. The various CDCR goals and objectives are described below.

Adult Operations and Programs

In May 2007, in support of CDCR's mission, the Legislature and Governor Schwarzenegger passed Assembly Bill (AB) 900, also known as the Public Safety and Offender Rehabilitation Services Act. Using resources provided through AB 900, CDCR's most immediate goal is to develop and support improved rehabilitation and community reentry programs for adult offenders. Each of these programs is specifically designed to reduce crime, decrease prison overpopulation, and enhance public safety.

Specific facets of AB 900 include:

- Receipt of the approved funding will occur in two implementation phases. To receive funding for Phase II, CDCR must demonstrate achievement of 13 specific benchmarks identified in AB 900.
- Establishing the California Rehabilitation Oversight Board (C-ROB) in the Office of Inspector General. C-ROB's mandate is to regularly examine the various mental health, substance abuse treatment, educational, and employment programs for inmates and parolees operated by CDCR.
- The mandate to meet dozens of requirements, which CDCR has translated into more than 100 specific distinct projects. Some CDCR efforts related to AB 900 include:
 - Build 16,000 in-fill beds in existing institutions. CDCR is planning to fund and build up to 4,000 in-fill beds in Phase I and 4,600 in-fill beds in Phase II.
 - Build up to 11,000 reentry beds in Secure Reentry Facilities (SRF) throughout the State. CDCR will provide 3,000 reentry beds in Phase I and up to 8,000 reentry beds in Phase II. This includes new SRFs in the local communities in which an offender will receive intensive rehabilitation programs during their final 12 months in custody, prior to their release to parole.

¹CDCR Strategic Plan 2007-2012

- Establish a system of community supervision and reentry with comprehensive, collaborative services. CDCR will move approximately 2,000 low-level female offenders into much smaller secure facilities -- Female Rehabilitative Community Correctional Centers (FRCCCs) -- located in the communities from which they came. The FRCCCs will house no more than 200 women at a time, and will be located in or within 25 miles of an urban center.
- Create and implement an Inmate Treatment and Prison to Employment plan.
- Identify specific locations in existing prisons and community correctional facilities to provide substance abuse treatment services for an additional 4,000 inmates.
- Increase offender participation in classes and education programs.
- Implement the California Logic Model, which includes the following key components:
 - Assess an inmate's risk level to recidivate;
 - Identify offenders' criminogenic needs;
 - Develop individual case plans;
 - Deliver cognitive behavioral programs; periodically assessing to evaluate progress;
 - Update treatment plans, measure treatment gains, and determine appropriateness for program completion;
 - Develop formal re-entry plans;
 - Provide aftercare and facilitate successful re-entry;
 - Track offenders and collect outcome data.
- Use evidence-based practices to select programs designed to manage offenders, reduce recidivism, and increase public safety. This includes using empirical assessment tools to target the program to the individual offender and objectively measuring program implementation and outcomes. In order to ensure that CDCR programming for offenders is consistent with evidence-based practice to the greatest extent possible, the CDCR employs the California Correctional Program Assessment Process to assess rehabilitative programs.
- Align parole field decisions to improve the consistency of the discharge recommendations for select non-violent and non-serious parolees at 12 months, and other offenders at 24 months, who have demonstrated good behavior and have been violation free. This will help to ensure that recommendations are made in accordance with current state law.
- Develop a decision-making matrix instrument designed to improve consistency at the agent and supervisor level when faced with a violation of the terms and conditions of parole or the commission of a new crime. This instrument is also designed to guide agents and supervisors to consider programming and remedial sanctions at all phases of the revocation process.

Juvenile Operations and Programs

The CDCR Division of Juvenile Justice (DJJ) oversees all aspects of housing, supervising, educating and treating juvenile offenders. On November 19, 2004, a Consent Decree was entered into in the case of Farrell v. Allen, which required the Defendant, the current DJJ, to file

remedial plans in all areas of deficiency identified by court experts. As a result of this action, rather than simply addressing the deficiencies identified by the experts' reports, the DJJ decided to reform California's juvenile justice system to a rehabilitative model based on a therapeutic environment.

The wide sweeping reforms identified in the seven Consent Decree remedial plans, Mental Health, Safety and Welfare, Health Care Services, Wards with Disabilities, Sexual Offender Treatment, and Education, touch every aspect of DJJ's business and operations.

CDCR Strategic Plan

Since consolidation, CDCR has updated its Strategic Plan in 2005, 2006, and 2007. The most recent of these plans, titled the *CDCR Strategic Plan 2007 - 2012*, published in January 2007, recognizes that significant changes occurred within the Department, both organizationally and philosophically, during the previous year. In addition, during the previous twelve months, the Department continued to make great strides towards improving its operations. Accordingly, the *CDCR Strategic Plan 2007 – 2012* includes many new and revised strategies and objectives, most of which were predicated by the timely completion of tasks developed from the January 2005 and January 2006 Strategic Plans. The 2007 Strategic Plan represents a realistic and pragmatic proposal, describing CDCR's commitment to reestablish the principle that providing effective offender programs and services is consistent with safety and security, and to its mission to provide public safety.

Objectives

The *CDCR Strategic Plan 2007 – 2012* identifies the following five overarching objectives.

- Alleviate overcrowding to promote an atmosphere for rehabilitative programs.
- Improve programming and increase offender participation in rehabilitative programs that will make them more successful when they parole.
- Manage and control budget and fiscal issues.
- Build relationships with the Federal Receiver and the court monitors, to make essential improvements in operations.
- Reduce critical staffing vacancies.

Goals and Strategies

The *CDCR Strategic Plan 2007 – 2012* identifies the following seven business goals and associated strategies.

- **Goal 1 – Workforce Excellence:** Ensure a well-trained, quality workforce.
 - Strategy 1.1: Develop and provide a comprehensive recruitment and hiring program.
 - Strategy 1.2: Develop a comprehensive employee training program.
 - Strategy 1.3: Develop a consistent and effective performance evaluation system.
- **Goal 2 – Technology:** Develop information technology strategies and implement systems capable of managing current and future needs.

- Strategy 2.1: Promote customer service.
- Strategy 2.2: Ensure the security of technology systems.
- Strategy 2.3: Centralize and align Information Technology support services.
- Strategy 2.4: Develop a robust infrastructure that supports correctional systems' needs.
- **Goal 3 – Organizational Effectiveness**: Achieve organizational excellence in our operations and systems.
 - Strategy 3.1: Develop a comprehensive approach for managing the organization to improve lines of accountability and achieve desired program and operational outcomes.
 - Strategy 3.2: Establish an ongoing program of evaluation.
- **Goal 4 – Risk Management**: Create a risk-intelligent organization that develops preventive strategies to minimize and mitigate harm, preclude litigation, and remedy identified violations.
 - Strategy 4.1: Develop an enterprise-wide risk management program that promotes accountability, proactively addresses risk in the workplace, and ensures timely mitigation strategies, corrective action and compliance.
- **Goal 5 – Crime Prevention, Rehabilitation Programming and Safety**: Use research to identify best practices in reducing criminality and victimization, and establish a comprehensive approach for offender rehabilitation, crime prevention, and safety.
 - Strategy 5.1: Reduce overcrowding in adult institutions.
 - Strategy 5.2: Ensure safe and secure facilities for offenders and staff.
 - Strategy 5.3: Develop and implement a comprehensive gender responsive female offender rehabilitation and management program which supports family reunification.
 - Strategy 5.4: Develop and implement policies, procedures, and programs that support the safety and rehabilitation of juvenile offenders.
 - Strategy 5.5: Maintain a comprehensive victim services program and establish justice practices to ensure offender rehabilitation and accountability to victims, the community, and to themselves.
- **Goal 6 – Rehabilitation and Reentry**: Provide a comprehensive system of evidence-based management and rehabilitation that begins at reception and guides programming through reentry into the home and community.
 - Strategy 6.1: Utilize offender risk and needs assessment tools at the time of incarceration, and design a programming plan that continues while on parole.
 - Strategy 6.2: Continue to provide effective parole services in a manner that reduces the propensity of re-offending.
 - Strategy 6.3: Establish collaborations with stakeholders to implement strategies to prevent crime and victimization, support rehabilitative efforts, and reduce recidivism.
- **Goal 7 – Health Care Delivery**: Provide constitutionally acceptable levels of health care that reflect community care standards and operate in an efficient and cost-effective manner.
 - Strategy 7.1: Develop and implement a service delivery system to provide accessible, quality, and cost-effective health care across all programs.
 - Strategy 7.2: Build additional healthcare treatment facilities.

NOTE: The California Prison Health Care Receivership (Receiver) plans to prepare and submit a separate IT Capital Plan to address all plans related to medical, mental, and dental health care services for adult offenders.

Information Technology (IT) Strategic Plan

In today's increasingly complex work environment, an organization's ability to communicate, track its performance, maintain its records, and maximize productivity and efficiency relies largely on information technology (IT). The CDCR is committed to advancing IT solutions to increase the efficiency and effectiveness of our operations. CDCR IT projects – both existing and planned - to achieve this goal, include efforts to develop and/or improve the Department's basic infrastructure, business administration and major program components, e.g., population management, rehabilitation, integrated justice, etc.

The CDCR is currently working to implement a number of enterprise-wide IT systems that, when completed, will comprehensively integrate and automate the Department's core business functions - those required to effectively manage offender related activities and data, as well as those required to efficiently manage CDCR operational activities. These systems are strategically planned to address all currently known and future expected business needs.

In conjunction with participating in the annual preparation of the CDCR Strategic Plan, CDCR also maintains an IT Strategic Plan. In August 2005, Enterprise Information Services (EIS), the newly consolidated CDCR IT organization, published its first CDCR IT Strategic Plan (titled *California Technology Improving Public Safety - CalTIPS*). This plan aligned with the November 2004 California State IT Strategic Plan, and the January 2005 CDCR Strategic Plan, which supported the consolidation of several Youth and Adult Correctional Agency entities into one Department. The IT Strategic Plan serves to tell the story of the IT transitional roadmap, in greater detail than is possible to tell within the departmental business strategic plan.

Since the CDCR consolidation, EIS has participated with the business program areas each time the Department has updated its business Strategic Plan. Goal 2 of the *CDCR Strategic Plan 2007 – 2012* represents all current IT strategies and objectives. The specific strategies and objectives associated with Goal 2 are as follows:

- **Strategy 2.1 – Promote customer service.**
 - Objective 2.1.1: Develop and maintain a customer service business plan.
 - Objective 2.1.2: Develop performance metrics to measure IT program effectiveness and customer satisfaction.
 - Objective 2.1.3: Establish baseline agreements between customers and IT to determine the appropriate level of service.
 - Objective 2.1.4: Establish a 24/7 centralized call center operation to improve IT support.
- **Strategy 2.2 – Ensure the security of technology systems.**
 - Objective 2.2.1: Develop and enforce technology standards and policies.
 - Objective 2.2.2: Develop and employ effective technology safeguards including risk analysis, mitigation, and management strategies.
- **Strategy 2.3 – Centralize and align Information Technology support services.**
 - Objective 2.3.1: Create a centralized intake and proposal development system.
 - Objective 2.3.2: Align IT services with strategic and operational priorities.

- **Strategy 2.4 – Develop a robust infrastructure that supports correctional systems’ needs.**
 - Objective 2.4.1: Establish an Enterprise Technical Architecture Plan to refine existing computing and network infrastructure standards and common services to be provided.
 - Objective 2.4.2: Create a standardized enterprise-wide network infrastructure to support approved, planned, and future projects.
 - Objective 2.4.3: Increase wide-area network capabilities and update/upgrade correctional institution/facility infrastructure.
 - Objective 2.4.4: Develop comprehensive systems standards to support sharing and exchanging information with local, state, and federal law enforcement entities.
 - Objective 2.4.5: Implement comprehensive business and offender-based management systems including Business Information System Strategic Offender Management System.

Timelines for accomplishing each of these strategies are identified in the *CDCR Strategic Plan 2007 - 2012*. To see the complete *CDCR Strategic Plan 2007 – 2012*, go to: http://www.cdcr.ca.gov/About_CDCR/docs/stratplan.pdf

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.

Contingent upon funding availability within the Department and in recognition of known manufacturer driven end-of-life cycles, EIS plans the following upgrades and/or replacements in the next five years.

2.1. Hardware

- a. Upgrade 280 existing 32 bit servers at end-of-life to 64-bit Servers. This equipment upgrade will provide increased scalability for applications and allow a greater number of users to connect concurrently to a single server. It will also enable increased storage of data in memory, which will reduce query times and make more effective use of memory.
- b. Increase SAN storage by 4 terabytes in the next year and add 2 additional terabytes of storage each year for the next 4 years to support e-discovery, increase disk utilization, reduce data center rack/floor space, and increase disaster recovery capabilities.
- c. Migrate to virtualization technologies for approximately 650 physical servers to virtual machines running on approximately 280 64 bit , which will reduce hardware and software costs and energy requirements/costs, as well. Virtualization will also reduce mean time to implement a server.

2.2. Software

- a. Upgrade SAN Replication software to replicate SAN storage to a remote site, thereby enhancing continuity of operations and streamlining disaster recovery.

- b. Migrate toward a data centric security scheme in addition to perimeter defense through encryption technologies software, which will protect data in rest and in transit. Also, add functionality to force encryption whenever data leaves the network's edge.
- c. Upgrade to Exchange 2007 to enhance email functionality with web-ready document viewing, Smart Scheduling, additional management tools, and improved searches. The migration to Exchange 2007 is also a key step in building the architectural foundation for a complete messaging and unified communications system. Unified Communications will enhance user presence with the integration of voice, instant messaging, email, and business applications.
- d. Expand network-monitoring software to provide proactive management tools to maximize end user experience and ensure the greatest availability of network applications.

2.3. Network

- a. Install Power over Ethernet (PoE) edge switches in support of unified communication, which will allow users to integrate voice, instant messaging, email, and business applications into a single environment and lay the foundation for Voice over Internet Protocol (VoIP), video streaming and video conferencing throughout CDCR.
- b. Add additional network equipment to leverage the foundation implemented via the Consolidated Information Technology Infrastructure Program (CITIP) project, and further the LAN/WAN fault tolerance, both at local levels and throughout CDCR, by installing redundant switch gear at identified single points of failure, to provide enhanced application availability and ensure CDCR's ability to partner with and meet the needs of the California Prison Health Care Services (Receiver's Office).
- c. Migrate to Multi Protocol Label Switching (MPLS) to provide higher application availability, reduce operating expenses, and simplify operations. The CDCR WAN topology was migrated from T1 hub and spoke to ATM Frame as part of the BIS project. At the inception of the CITIP project, MPLS was emerging technology and not offered as part of Calnet2. ATM Frame is an interim step toward use of (MPLS) topology. MPLS is now a Calnet2 offering and CDCR will leverage the foundation laid by BIS to make use of MPLS.
- d. Upgrade the WAN to a Quality of Service (QoS) framework in support of IT Governance models, to protect management access to network infrastructure and position the network to support the prioritization of business traffic when that need arises. This framework is required as part of an MPLS WAN environment for Class of Service routings and will be leveraged to provide necessary underpinnings for additional service offerings of video streaming, video conferencing, and VoIP. This service is not part of the CITIP scope, nor is MPLS.
- e. Upgrade routers and switches to allow out-of-band access to network equipment at remote sites. This will provide the ability of centralized staff to power on/off, reboot and configure network components, even if the LAN/WAN is inoperable, providing servicing of the existing remote infrastructure from a central location.

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
Ward Information Network Prison Law Office (WIN PLO)	\$ 7,645,238	5225-071	Dec – 2008
Business Information System (BIS) SPR #3	\$ 144,465,388	5225-093	Jan – 2009
Business Information System (BIS) SPR #4	\$ 164,593,284	5225-093	Oct – 2009
Restitution Accounting Canteen System (RACS)	\$ 15,440,855	5225-094	Dec – 2008
Discharged Offender Records Management System (DORMS)	\$ 19,737,414	5225-102	Sep – 2008
Parole LEADS Modernization (PLM)	\$ 9,037,663	5225-103	April – 2010
Consolidated Information Technology Infrastructure Program (CITIP)	\$ 191,036,710	5225-112	Jun – 2010
Strategic Offender Management System (SOMS)	\$ 416,278,518	5225-113	Mar – 2013
Valdivia Court Ordered RSTS Application System Changes	\$ 1,675,937	5225-116	Apr – 2008
Valdivia Court Ordered RSTS Application System Changes SPR #1	\$ 3,417,312	5225-116	Feb – 2009
Disability and Effective Communication (DEC) System	\$ 2,553,296	5225-117	Jun – 2008
Education for Inmates Reporting & Statewide Tracking System (EdFIRST)	\$ 17,687,259	5225-123	Jun – 2010
Automated Risk and Needs Assessment Tool (ARNAT)	\$ 13,475,591	5225-125	Jun – 2010

***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
Disability and Effective Communication Accommodation Tracking System (DECATS)	1	July – 2008	\$ 13,111,159
Juvenile Risk Assessment Management System (JRAMS)	2	January – 2009	\$ 3,886,965
Criminal Intelligence and Analysis Unit (CIAU)	3	July – 2008	\$ 5,308,717
Risk Mitigation Strategy for Electronic Discovery	4	July – 2008	\$ 5,311,113
Statewide Automated Victim Information and Notification (SAVIN) Program	5	July – 2010	\$ 500,000 (plus additional costs TBD)
Voice over Internet Protocol (VoIP)	6	July – 2010	\$ TBD
Estelle Transitional Program (Expand beyond PB pilot)	7	July – 2009	\$ TBD

PROPOSED IT PROJECT – Disability & Effective Communication Accommodation Tracking System (DECATS)

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:

Disability & Effective Communication Accommodation Tracking System (DECATS).
Priority Ranking: 1.

4.2 Description of the proposed IT project:

In response to several law suits related to CDCR's compliance with the Americans with Disabilities Act (ADA), CDCR plans to develop and implement an automated system that will enable CDCR to meet its legal obligations to provide facilities and due processes to inmates with disabilities. The primary law suits related to this project include *Valdivia*, *Clark*, and *Armstrong*. To develop DECATS, CDCR will utilize and modify current existing systems, including the Disability and Effective Communication (DEC) System, the Inmate Appeals Tracking System, the Clark Developmental Disability Automated Tracking System, and the Standard Automated Preventive Maintenance System. Additionally, CDCR will design the application for integration into the Strategic Offender Management System (SOMS).

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

The proposed solution aligns with the following goal from the *CDCR Strategic Plan 2007 - 2012*.

- **Goal #4** – Create a risk-intelligent organization that develops preventive strategies to minimize and mitigate harm, preclude litigation, and remedy identified violations.

This project specifically addresses CDCR issues related to compliance with the ADA, the premise of the *Valdivia*, *Clark*, and *Armstrong* lawsuits.

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

The proposed solution will allow CDCR to comply with ADA requirements for inmates with disabilities as required by the Armstrong Permanent Injunctions, the Clark Remedial Plan, and the Valdivia Stipulated Permanent Injunction. Compliance with these mandates will help prevent future sanctions and court orders against CDCR. Specifically, the proposed solution will allow CDCR to:

- appropriately house disabled offenders;
- provide adaptive support to developmentally disabled offenders
- identify an offender's accommodation and effective communication needs for clinical encounters when scheduling clinical encounters;
- identify the ADA transportation needs of offenders to and from institutions, to and from county jails, and to and from community programs;

PROPOSED IT PROJECT – Disability & Effective Communication Accommodation Tracking System (DECATS)

- provide information regarding adaptive support needs of developmental disability program inmates from institutions to parole units;
- record whether disabled offenders on parole are provided reasonable accommodations for effective communication during the issuance of general or special conditions of parole, remedial sanctions, or conducting not in custody hearings;
- identify the ADA accessibility of the services provided by contracted community program providers to facilitate the referral of disabled offenders;
- share ADA information regarding disabled offenders assigned to community programs with contracted community program providers that also meets compliance with the Health Insurance Portability and Accountability Act;
- track and report the timeliness of ADA appeals statewide including medical verification processes;
- identify whether accommodations are provided for disabled offenders during the appeal process;
- ensure offenders who are referred to the Division of Correctional Health Care Services for treatment are tracked and able to resume the revocation process when able to do so.
- track disabled offender assignments to all institution programs;
- access the accommodation and effective communication needs of disabled inmates on a timely basis;
- obtain detailed case factors used for classification committee actions;
- schedule sign language interpreters (SLI) for hearing and speech impaired offenders and record the use of SLI's across all institutions, community programs and parole units;
- distribute entire parole planning packets (revocation, lifer, etc.) to all affected parties prior to scheduled hearings; and
- collect, analyze and report on data collected during self-monitoring of program implementation.

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

- Supporting and enhancing services for Californians and businesses**
- Enhancing information and IT security**
- Reducing state operational costs (leveraging, consolidation, new technology, etc.)**
- Improving the reliability and performance of IT infrastructure**
- Enhancing human capital management**
- Supporting state and agency priorities and business direction**

4.6 Is the proposal consistent with your organization's Enterprise Architecture?

- Yes**
- No**

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

PROPOSED IT PROJECT – Disability & Effective Communication Accommodation Tracking System (DECATS)

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?

July, 2008

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

July, 2008

4.10 What is the duration of the proposed project?

Approximately two years, one month.

4.11 Will the proposed project utilize the existing infrastructure?

- Yes
 No

If no, please explain.

4.12 Is the proposal related to another proposal or to an existing project?

- Yes
 No

If yes, describe the related proposal or project and how it is related:

The DECATS project relates to DEC and SOMS, two existing CDCR projects identified in Table 1. The following describes each relationship individually.

- DEC – the DEC system and infrastructure will provide the foundation, upon which CDCR will create DECATS.
- SOMS – certain DECATS functions will be replaced by or integrated with SOMS. However, business processes and policies developed during the DECATS project can be incorporated into SOMS.

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

CDCR will fail to comply with the *Valdivia*, *Armstrong* and *Clark* court orders.

PROPOSED IT PROJECT – Disability & Effective Communication Accommodation Tracking System (DECATS)

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):

The following represents the total estimated one time and ongoing project costs identified in the DECATS FSR, submitted to OCIO in July 2008.

Fund Source	2008-09	2009-10	2010-11	2011-12	2012-13 and future	Total
General Fund (New)	\$ 5,582,200	\$ 3,626,195	\$ 2,031,133	\$ 1,531,483	\$ 0	\$12,771,011
General Fund (Redirect)	\$ 89,416	\$ 89,416	\$ 35,767	\$ 25,548		\$ 240,147
Federal Fund						
Special Fund						
Total	\$ 5,671,616	\$ 3,715,611	\$ 2,066,900	\$ 1,557,031	\$ 0	\$13,111,158

PROPOSED IT PROJECT – **Juvenile Risk Assessment Management System**

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:

Juvenile Risk Assessment Management System (JRAMS). Priority Ranking: 2.

4.2 Description of the proposed IT project:

In November 2004, the State of California entered into a consent decree in the *Farrell v. Cate* (then known as *Farrell v. Allen*) lawsuit. According to the terms of the Consent Decree, the State agreed to provide the Court with remedial plans in six areas including mental health, sex behavior, and general corrections (later named Safety and Welfare). With this project, CDCR will develop and implement an electronic assessment and case planning system that incorporates the current Division of Juvenile Justice (DJJ) risk/needs assessment, the California Youth Assessment and Screening Instrument (CA-YASI) and all other assessments / reassessments and case planning information required by the *Farrell* Remedial Plans, in one centralized system. DJJ will utilize JRAMS to input all risk, needs, classification, placement and case management related assessments, identify needed interventions, place juvenile offenders in the appropriate living units to address their risk and needs, document case planning activities and reassessment results, identify change over time, and track the populations' risk and need related information to forecast trends for future resource needs.

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

From the CDCR Strategic Plan 2007 – 2012:

Goal 4 – Create a risk-intelligent organization that develops preventive strategies to minimize and mitigate harm, preclude litigation, and remedy identified violations.

- Objective 4.1.5: Identify and procure technology systems to support risk management functions that include the identification and analysis of risk indicator data.

Goal 5 – Use research to identify best practices in reducing criminality and victimization and establish a comprehensive approach for offender rehabilitation, crime prevention and safety.

- Objective 5.4.3: Develop and provide effective programs for youthful offenders and evaluate program quality, outcomes, and effectiveness to ensure offender rehabilitation and accountability.
- Objective 5.4.4: Enhance the health care system for youthful offenders including mental health treatment programs.
- Objective 5.4.5: Ensure safe and secure juvenile facilities for wards and staff.

PROPOSED IT PROJECT – Juvenile Risk Assessment Management System

Goal 6 – Provide a comprehensive system of evidence-based management and rehabilitation that begins at reception and guides programming through reentry into the home and community.

- Objective 6.1.1: Develop a comprehensive plan for implementation of evidence-based treatment and practices to reduce the risk of criminal behavior.

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

To comply with the court requirements, information technology must be available to replace the paper and pencil, scantron and standalone databases with a centralized system. JRAMS will allow CDCR to:

- Fulfill mandates of the Consent Decree under the *Farrell* Lawsuit. JRAMS will enable DJJ to comply with the *Farrell* Court commitments and to quickly and accurately demonstrate compliance.
- Utilize risk and needs assessment information to determine program and resource priority and needs.
- Determine specific outcome measures in reduction of risk-to re-offend.
- Improve accountability of assessments and interventions through a consistent, statewide process.
- Effectively and efficiently use resources, by objectively identifying the least restrictive environment necessary to provide interventions to the juvenile offenders under DJJ jurisdiction.
- Utilize the most expensive treatment beds for the highest risk/highest needs population, and will allow oversight to ensure juvenile offenders are transitioned to less expensive and less restrictive settings, when their treatment progress and behavior (as indicated by the case plan and reassessments) reflects their readiness to transition.
- Create a seamless transition to the community by utilizing the same assessment and case planning system for facilities and parole.

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
- Not Yet Known

PROPOSED IT PROJECT – Juvenile Risk Assessment Management System

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

The details of this proposed project still need to be identified. Once the details are known, the EA Program will review to ensure the proposal is consistent with our 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?

January, 2009.

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

January, 2010.

4.10 What is the duration of the proposed project?

18 months.

4.11 Will the proposed project utilize the existing infrastructure?

- Yes
 No

If no, please explain.

The proposed solution will use infrastructure whenever possible. However, the solution may potentially require additional workstations, and database and application servers.

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:

The JRAMS project relates to ARNAT and SOMS, two existing CDCR projects identified in Table 1. The following describes each relationship individually.

- ARNAT – Potentially, JRAMS may interface with or provide data to ARNAT, the system planned for conducting risk and needs assessments for adult offenders.
- SOMS – JRAMS may obtain juvenile offender data from SOMS.

PROPOSED IT PROJECT – Juvenile Risk Assessment Management System

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

CDCR will fail to comply with the *Farrell* Remedial Plans.

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):

The following represents the total estimated one time and ongoing project costs identified in a draft JRAMS FSR prepared in July 2007. More accurate costs will be estimated when developing the final FSR.

Fund Source	2009-10	2010-11	2011-12	2012-13	2013-14 and future	Total
General Fund (New)	\$ 0	\$ 2,437,000	\$ 766,710	\$ 0	\$ 0	\$ 3,203,710
General Fund (Redirect)	\$ 367,971	\$ 315,284	\$ 0	\$ 0	\$	\$ 683,255
Federal Fund						
Special Fund						
Total	\$ 367,971	\$ 2,752,284	\$ 766,710	\$ 0	\$ 0	\$ 3,886,965

PROPOSED IT PROJECT – Criminal Intelligence and Analysis Unit (CIAU)

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:

Criminal Intelligence and Analysis Unit (CIAU). Priority Ranking: 3.

4.2. Description of the proposed IT project:

The CDCR Office of Correctional Safety will establish a Criminal Intelligence and Analysis Unit (CIAU) and an automated system for conducting crime analysis. The proposed solution will provide reliable and timely information sharing capabilities for departmental intelligence, threat assessment, suppression, diversion and prosecution purposes.

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

The establishment of a "New Information Sharing and Data Analysis Unit for the California Department of Corrections and Rehabilitation" has specifically been cited as an objective in the State of California Homeland Security Strategy for 2008.

State of California, Homeland Security Strategy 2008 – Goal 2 "STRENGTHEN INFORMATION SHARING, COLLABORATION CAPABILITIES AND LAW ENFORCEMENT INVESTIGATIONS."

Additionally, the CIAU project aligns with at least two goals from the *CDCR Strategic Plan 2007 - 2012*.

Goal 4 – Create a risk-intelligent organization that develops preventive strategies to minimize and mitigate harm, preclude litigation, and remedy identified violations.

Goal 5 – Crime Prevention, Rehabilitation Programming and Safety: Use research to identify best practices in reducing criminality and victimization and establish a comprehensive approach for offender rehabilitation, crime prevention and safety.

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

- Enhance the CDCR's ability to prepare successful cases against offenders that commit felonies while in-custody.
- Enhance the CDCR's ability to support gang suppression, interdiction, or diversion efforts.
- Enhance the CDCR's ability to conduct statewide threat assessments and/or trend analysis of on-going criminality within the CDCR via review/analysis of currently maintained data.
- Provide the CDCR with the ability to collect strategic investigative information in a consistent/defined manner from legacy databases, institutions, juvenile facilities

PROPOSED IT PROJECT – Criminal Intelligence and Analysis Unit (CIAU)

or parole regions to conduct statewide threat assessments and/or trends analysis of on-going criminality within the CDCR.

- Provide the CDCR with the ability to prepare criminal intelligence allowing for statewide criminal link-analysis.
- Provide the CDCR with the infrastructure required to securely and legally transmit controlled (law enforcement sensitive, secret, etc.) information internally or externally.

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

- Supporting and enhancing services for Californians and businesses
- Enhancing information and IT security
- Reducing state operational costs (leveraging, consolidation, new technology, etc.)
- Improving the reliability and performance of IT infrastructure
- Enhancing human capital management
- Supporting state and agency priorities and business direction

4.6. Is the proposal consistent with your organization's Enterprise Architecture?

- Yes
- No

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

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

- Yes
- No

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

July, 2008

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

September, 2009

4.10. What is the duration of the proposed project?

Approximately two years

4.11. Will the proposed project utilize the existing infrastructure?

- Yes
- No

PROPOSED IT PROJECT – Criminal Intelligence and Analysis Unit (CIAU)

If no, please explain.

The proposed solution will use existing data communication lines from CDCR institutions to headquarters at 1515 S Street and Aerojet Data Center. However, the solution will require database and application servers, workstations, and potentially bandwidth between headquarter and institutions, and between the Aerojet Data Center and institutions.

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:

The CIAU project relates to RACS, SOMS, and potentially ARNAT, three existing CDCR projects identified in Table 1. The following describes each relationship individually:

- RACS – CIAU will require data regarding transactions associated with an offender's trust account.
- SOMS – CIAU will require various offender data from SOMS, including visiting, crime/incident reports, and housing and movement information.
- ARNAT – CIAU may provide data pertinent to conducting inmate risk assessments, the results of which will be captured in ARNAT.

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

The inability to perform crime analysis, as provided by the proposed solution, will result in the following consequences:

- CDCR cannot implement gang suppression, interdiction, or diversion efforts. As long as the influence of gangs exists inside institutions, CDCR cannot implement successful rehabilitative programs as required by AB 900. In addition, gang activity jeopardizes the safety of inmates and staff.
- CDCR cannot appropriately respond to state and federal agency requests for criminal information related to prison radicalization and the prevention of terrorism in California, threatening homeland security.
- Federal Grant dollars pending could be lost.

PROPOSED IT PROJECT – Criminal Intelligence and Analysis Unit (CIAU)

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

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

The Project will receive \$2,664,156 in Federal Grant Funding as shown below. The remaining costs will require a budget augmentation.

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 following represents the total estimated one time and ongoing project costs identified in the CIAU FSR, submitted to OCIO in July 2008.

Fund Source	2009-10	2010-11	2011-12	2012-13	2013-14 and future	Total
General Fund (New)	\$ 869,494	\$ 954,606	\$ 820,461	\$ 0	\$ 0	\$ 2,644,561
Federal Fund (Grant)	\$ 2,664,156					\$ 2,664,156
Special Fund						
Total	\$ 3,533,650	\$ 954,606	\$ 820,461	\$ 0	\$ 0	\$ 5,308,717

PROPOSED IT PROJECT – Risk Mitigation Strategy for Electronic Discovery

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:

Risk Mitigation Strategy for Electronic Discovery. Priority Ranking: 4.

4.2 Description of the proposed IT project:

E-Discovery will address long-term business needs with the opportunity to control cost and organizational security. It consists of integrating disparate software tools and using the resultant e-Discovery software to identify, save, preserve, produce and redact (the removal of irrelevant privacy information) the large volume of electronic documents produced within the department for response to discovery requests related to litigation.

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

From the CDCR Strategic Plan 2007 – 2012:

- **Goal 4** – Create a risk-intelligent organization that develops preventive strategies to minimize and mitigate harm, preclude litigation, and remedy identified violations.

This project, as the specific answer to email e-discovery process and system, will directly address CDCR strategic goal #4. The CDCR, by this project, is requesting authority and approval to implement a preventative strategy to minimize and mitigate harm, both current and future. This project will assist the CDCR in mitigating potentially large fines or lawsuits by helping to ensure timely and accurate responses to data requesters.

- **Goal 2** – Develop information technology strategies and implement systems capable of managing current and future needs.

This project will establish a strategy for email e-discovery and lay the foundation for all CDCR e-discovery as data is identified and categorized.

- Objective 2.2.1: Develop and enforce technology standards and policies.

The e-Discovery changes in Federal rules will drive CDCR responsibility for enforcing policy related to retention, security, data handling, and data classification throughout the Department, down to the individual level. An enhanced education process will be developed to ensure that each employee is aware of the new requirements for handling data and the consequences of not adhering to policy.

- Objective 2.2.2: Develop and employ effective safeguards including risk analysis, mitigation, and management strategies.

PROPOSED IT PROJECT – Risk Mitigation Strategy for Electronic Discovery

Recent e-discovery related Federal mandates change the way in which CDCR must control access and retention of electronically stored information. This e-Discovery project will ensure that risks are reduced and strategies are in place to properly retain data and comply with court mandated collection.

- Objective 2.3.2: Align IT services with strategic and operational priorities.

Assisting the CDCR Office of Legal Affairs (OLA) to complete the discovery process and to produce responsive and accurate reports based on subpoenas and other legal mandates has become a vital and necessary service performed by EIS. This project will assist the CDCR in mitigating potentially large fines or lawsuits by helping to ensure timely and accurate responses to data requesters.

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

The following are the benefits of this project proposal:

- Manage email from its creation to its deletion across all repositories as a repeatable and standardized process.
- Enable staff to respond within a reasonable timeframe to requests for e-discovery that consist of/include email.
- Evaluate incoming requests to identify relevance and privilege.
- Produce requested email in a concise and accurate form, reducing redundancy whenever possible.
- Identify, hold, and preserve email when ordered to do so.
- Accurately identify and completely conceal protected information, differentiating it from information to be released through discovery.
- Grant OLA users transparent access to information, empowering them to search and retrieve critical data.
- Verify compliance through audit trails that help protect against severe fines.

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

- Supporting and enhancing services for Californians and businesses**
- Enhancing information and IT security**
- Reducing state operational costs (leveraging, consolidation, new technology, etc.)**
- Improving the reliability and performance of IT infrastructure**
- Enhancing human capital management**
- Supporting state and agency priorities and business direction**

4.6 Is the proposal consistent with your organization's Enterprise Architecture?

- Yes**
- No**

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

PROPOSED IT PROJECT – Risk Mitigation Strategy for Electronic Discovery

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?

July, 2008

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

July, 2009

4.10 What is the duration of the proposed project?

Approximately one year.

4.11 Will the proposed project utilize the existing infrastructure?

- Yes
 No

If no, please explain.

4.12 Is the proposal related to another proposal or to an existing project?

- Yes
 No

If yes, describe the related proposal or project and how it is related:

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

Without the proposed solution:

- CDCR will continue to be out of compliance with the U.S. Federal Rules of Civil Procedure mandates related to court procedures in civil law suits. Specific mandates require CDCR to respond to e-mail discovery within adequate timeframes.
- CDCR cannot provide verification that the requested evidentiary materials have been unaltered from the original content and the proper chain of custody has been maintained. This could result in risk hefty fines, threats of criminal penalties, charges of obstruction of justice, and adverse inference instruction sanctions.

PROPOSED IT PROJECT – Risk Mitigation Strategy for Electronic Discovery

- CDCR must retain electronic mail indefinitely, creating a performance issue for the Department’s electronic mail system, as well as a significant support workload for the EIS staff who maintain the system.

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):

The following represents the total estimated one time and ongoing project costs identified in the Risk Mitigation Strategy for E-Discovery FSR, submitted to OCIO in July 2008.

Fund Source	2009-10	2010-11	2011-12	2012-13	2013-14 and future	Total
General Fund (New)	\$ 2,925,679	\$ 1,343,434	\$ 1,326,902	\$ 0	\$ 0	\$ 5,596,015
Federal Fund						
Special Fund						
Total	\$ 2,925,679	\$ 1,343,434	\$ 1,326,902	\$ 0	\$ 0	\$ 5,596,015

PROPOSED IT PROJECT – Statewide Automated Victim Information and Notification

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:

Statewide Automated Victim Information and Notification program. Priority Ranking: 5.

4.2 Description of the proposed IT project:

The California State Sheriff's Association (CSSA) intends to implement a Statewide Automated Victim Information and Notification (SAVIN) program for the State of California. The system will collect booking and release data from the electronic offender management systems throughout California, and then transmit that data to the solution vendor's central location where the data will be processed and made available to victims.

California SAVIN will allow victims to access offender information via a public website or via a toll-free number. Callers to the phone line will be able to use an automated service, or zero out to a live operator on a 24 hour per day, 365 day per year basis. Victims will be able to register for notification on either the web site or the phone line. Once a victim is registered, the SAVIN program will generate automated outbound telephone notifications as well as email notification and automated written letters on the participating agencies letterhead.

CDCR plans to participate in the SAVIN program, providing data regarding CDCR offenders.

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

The system will help to protect the public from crime and victimization, and it aligns with the *CDCR Strategic Plan 2007 - 2012*.

Goal 5 – Use research to identify best practices in reducing criminality and victimization and establish a comprehensive approach for offender rehabilitation, crime prevention and safety.

- Objective 5.5.4: Partner with State and local programs to assist in locating crime victims and ensure timely notification to victims regarding offender status.

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

CDCR will create and maintain a partnership with the California County Sheriff's Association to enhance public safety and notify victims in a timely manner.

PROPOSED IT PROJECT – Statewide Automated Victim Information and Notification

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
- Not Yet Known

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

The details of this proposed project still need to be identified. Once the details are known, the EA Program will review to ensure the proposal is consistent with our 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?

July, 2010

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

January, 2012

4.10 What is the duration of the proposed project?

One year

4.11 Will the proposed project utilize the existing infrastructure?

- Yes
- No

If no, please explain.

To obtain offender data from CDCR, the SAVIN vendor will develop and deploy Global Justice XML Compliant software adapters and install the required data network to transmit offender transactions to the vendor's notification center. The software adapters will monitor and capture the transactions flowing through the offender systems and forward those transactions to the vendor's central data processing and notification facility.

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:

The SAVIN program will obtain CDCR's offender data from SOMS.

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

California Penal Code Section 679.03 provides the victim's right to be reasonably informed when the person convicted of a violent felony is released from custody, or is scheduled execution. Victims also are afforded the right to be informed of and present at any criminal proceedings which are dispositive of the charges where the defendant has the right to be present, to be reasonably informed of and be allowed to submit either a written or oral statement at all hearings affecting bond or bail, to be heard at any proceeding involving a post-arrest release decision, a plea, or sentencing, and to be reasonably protected from the accused or persons acting on their behalf throughout the criminal justice process.

Currently, CDCR expends considerable time and resources attempting to provide victim notifications. Unfortunately, CDCR accomplishes these notifications for less than 25 percent of their target population. If CDCR chooses not to participate in the SAVIN program, victims of CDCR offenders will continue to not receive the life-saving notification clearly outlined in California law.

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

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

Federal grant funding matched with existing CDCR resources.

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

Detailed cost will be determined when the FSR is developed. CDCR plans to submit the FSR in July 2010.

PROPOSED IT PROJECT – Statewide Automated Victim Information and Notification

Fund Source	2009-10	2010-11	2011-12	2012-13	2013-14 and future	Total
General Fund (Redirect)	\$ 0	\$ 0	\$ TBD	\$ 0	\$ 0	\$ TBD
Federal Fund (Grant)			\$ 500,000			\$ 500,000
Special Fund						
Total	\$ 0	\$ 0	\$ TBD	\$ 0	\$ 0	\$ TBD

PROPOSED IT PROJECT – Voice over Internet Protocol (VoIP)

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:

Voice over Internet Protocol. Priority Ranking: 6.

4.2 Description of the proposed IT project:

This project will replace the existing CDCR telephone infrastructure and hardware, including handsets and automatic call distribution system, with Voice over Internet Protocol (VoIP), allowing CDCR to reduce costs. This technology allows individuals to make voice calls using a broadband Internet connection instead of a regular (or analog) phone line. It allows individuals to call other people using the same service. VoIP services works over a computer or a special VoIP phone, while other services use a traditional phone connected to a VoIP adapter.

CDCR plans to conduct this project in two phases. Phase I will consist of a pilot between the Aerojet facility and a single field office. Following an evaluation of the pilot, Phase II will extend VoIP to the headquarters office and the remaining CDCR facilities.

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

From the CDCR Strategic Plan 2007 – 2012:

Goal 3 – Achieve organizational excellence in our operations and systems.

- Objective 3.1.2: Improve communication systems between all organizational areas including headquarters, headquarters and field operations, and between institutions and paroles.

Goal 2 – Develop information technology strategies and implement systems capable of managing current and future needs.

- Objective 2.4.2: Create a standardized enterprise-wide network infrastructure to support approved, planned, and future projects.

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

Cost Savings – Traditional phone calls work by allocating an entire phone line to each call. With VoIP, voice data is compressed and transmitted over a computer network. VoIP uses substantially less bandwidth than a traditional telephone call and is consequently more cost effective. It also combines overhead of voice and data expertise and infrastructure.

Simplify infrastructure – With VoIP on the CDCR network, the Department will no longer need separate cabling for its telephone system.

PROPOSED IT PROJECT – Voice over Internet Protocol (VoIP)

Scalable – Traditional PABX (Private Automatic Branch Exchange) based phone systems come in many size ranges and it may be necessary periodically to scrap existing systems and replace hardware; this is not the case with VoIP systems.

Reduce operating costs – Because a VoIP exchange is based on software rather than hardware, it is easier to alter and maintain.

Improve productivity – VoIP treats voice as if it were any other kind of data, so users can attach documents to voice messages or participate in virtual meetings using shared data and videoconferencing. It also allows link of voice with web servers and database applications. The Department will have the capability to implement these features.

Flexibility – A Virtual Private Network (VPN) is an allocated amount of bandwidth on the public Internet where public access is prevented through encryption. Combining CDCR’s VPN with VoIP, will allow the Department to set up a fully functioning office anywhere that a broadband connection exists.

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

- Supporting and enhancing services for Californians and businesses**
- Enhancing information and IT security**
- Reducing state operational costs (leveraging, consolidation, new technology, etc.)**
- Improving the reliability and performance of IT infrastructure**
- Enhancing human capital management**
- Supporting state and agency priorities and business direction**

4.6 Is the proposal consistent with your organization's Enterprise Architecture?

- Yes**
- No**

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

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

- Yes**
- No**

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

July, 2010

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

July, 2011

PROPOSED IT PROJECT – Voice over Internet Protocol (VoIP)

4.10 What is the duration of the proposed project?

Approximately three years.

4.11 Will the proposed project utilize the existing infrastructure?

- Yes
 No

If no, please explain.

The approach is to leverage the existing infrastructure wherever possible; however, additional communication lines will need to be installed and equipment will need to be purchased.

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:

The Consolidated Information Technology Infrastructure Program (CITIP) is a LAN / WAN modernization project, which provides CDCR with improved building-to-building wiring, increased WAN bandwidth, and new network drops. VoIP will benefit from and leverage this project wherever possible.

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

From an institution perspective, the following are potential consequences of not going forward with the proposed VoIP project (considering an institution implementation of June 2012):

- Existing PBX switches are at - or almost at - capacity and would need a costly upgrade to expand the capacity.
- Aging copper cable plants are in need of repair or replacement due to water intrusion or wiring becoming brittle – costly new cable plants will ultimately be needed.
- Current available copper pairs for additional telephones are limited or not available and would need additional costly cable plant to accommodate the need for additional telephones.
- Moves, Adds, and Changes would continue to be done the same, thus missing the opportunity to do these changes at little cost and more efficiently.
- Cost savings from VoIP would not be achieved (avoidance of long distance call charges).

PROPOSED IT PROJECT – Voice over Internet Protocol (VoIP)

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):

Cost will be determined when the FSR is developed following conclusion of the pilot. CDCR plans to submit the FSR in July 2010.

Fund Source	2009-10	2010-11	2011-12	2012-13	2013-14 and future	Total
General Fund	\$ 0	\$ 0	\$ TBD	\$ TBD	\$ TBD	\$ TBD
Federal Fund						
Special Fund						
Total	\$ 0	\$ 0	\$ TBD	\$ TBD	\$ TBD	\$ TBD

Additional costs related to infrastructure may be required as CDCR explores the requirements for this new technology and will be identified during development of the FSR.

Additionally, at this time, CDCR believes any existing Cat 3 wiring, where a VoIP phone would be installed would need to be minimally replaced with Cat 5e (the current CDCR Telecommunications standard is Cat 6). This cost still needs to be identified.

PROPOSED IT PROJECT – Estelle Transitional Program (ETP)

Complete this IT Project Proposal Form for each proposed IT project that meets the definition of a reportable project as defined in the State Administrative Manual Section 4819.37:

4.16 Proposal name and priority ranking:

Estelle Transitional Program (ETP) Phase II. Priority Ranking: 7.

4.17 Description of the proposed IT project:

This project establishes a re-entry program for serious, violent offenders who reside in a Security Housing Unit (SHU) and are within one year of being released to a general population facility or into the community. The Estelle Transitional Program (ETP) delivers program curriculum to the offender/student directly in their cell. The program addresses the need to provide avenues and an atmosphere for inmates to make behavioral changes necessary for a successful re-entry. The ETP curriculum addresses the leading causes of recidivism including anger management, cognitive restructuring, cultural diversity, and substance abuse.

CDCR requested and received reporting exemption from Department of Finance (DOF) and delegated approval to review, approve and oversee the proof of concept for this project, which included deploying the solution in 24 cells at the Pelican Bay State Prison (PBSP) SHU. As part of the delegated approval criteria, DOF required that “before expanding the system beyond the 24 cells at PBSP, the CDCR shall conduct a feasibility study of statewide implementation and receive approval of an FSR from Finance (now the OCIO).” The proof of concept deployment is complete and the Department is currently conducting the Post Implementation Evaluation Report, which will measure the concept’s success and help cost any desired expansion of the program throughout the Department.

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

The ETP project aligns with the following goal from the *CDCR Strategic Plan 2007 - 2012*.

Goal 6 – Provide a comprehensive system of evidence-based management and rehabilitation that begins at reception and guides programming through reentry into the home and community.

- Objective 6.1.2: Improve and expand academic and vocational education, life skills, mental health, substance abuse treatment, and other programs and services to meet the offender needs during incarceration and while on parole.

The project is also consistent with the Office of Correctional Education (OCE) Master Plan, Objectives #2 and #3.

PROPOSED IT PROJECT – Estelle Transitional Program (ETP)

4.19 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 have a positive impact on reducing the recidivism rate, while creating a safer public and expanding the possibilities for the inmate's success while on parole. It will:

- Deliver an effective re-entry curriculum to SHU inmates in their cells;
- Address the security needs of SHU inmates;
- Provide an environment for inmates to make the behavioral changes necessary for making a successful transition back into society;
- Provide evidence-based, innovative programming for these inmates;
- Reduce the number of inmates who return to custody upon release.

4.20 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

4.21 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.

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

- Yes
- No

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

July, 2009

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

November, 2009

4.25 What is the duration of the proposed project?

Approximately two years.

PROPOSED IT PROJECT – Estelle Transitional Program (ETP)

4.26 Will the proposed project utilize the existing infrastructure?

- Yes
- No

If no, please explain.

Because of the need to maintain control and security, the proposed solution will not reside on the CDCR network and it will utilize thin client technology within the walls between the SHU cells. Specifically, the solution must:

- Work from a secured, closed circuit LAN or the institutional television network;
- Provide for inmate access to the software program;
- Electronically and Physically secure the server from inmate access;
- Provide the teacher and the SISA the ability to control inmate computers remotely;
- Provide the ability to expand the software used in the program;
- Provide tracking and reporting of the system;
- Provide shadowing;
- Secure the network;
- Must not require additional custody staff.

4.27 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:

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

Not implementing the ETP will directly affect public security because inmates in segregation housing spend a significant portion of their incarceration in isolation. This isolation adds to their anti-social behavior. Subsequently, these inmates parole to their communities lacking the treatment and skill development training essential for successful re-integration into society. Because of the high security nature of a SHU environment, the inmates are extremely limited in their access to the types of rehabilitative programming afforded to the General Population (GP). In the past, the nature of SHU isolation has caused that segment of the inmate population, who are most in need of rehabilitative services, to be all but shut out from critical transitional training.

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

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

PROPOSED IT PROJECT – Estelle Transitional Program (ETP)

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

Cost will be determined when the FSR is developed. CDCR plans to submit the FSR in July 2009.

Fund Source	2009-10	2010-11	2011-12	2012-13	2013-14 and future	Total
General Fund	\$ TBD	\$ TBD	\$ 0	\$ 0	\$ 0	\$ TBD
Federal Fund						
Special Fund						
Total	\$ TBD	\$ TBD	\$ 0	\$ 0	\$ 0	\$ TBD

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

Appendix A

Enterprise Architecture

Enterprise Architecture

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

- Yes
 No

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

Table A-1, Enterprise Architecture Completion Status

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

See Appendix A-1, EA Program Overview, for a summary of CDCR's EA program. The following Table of Contents identifies the collection of CDCR Enterprise Architecture (EA) documents available in the CDCR EA Program Materials binder.

CDCR Enterprise Architecture Program Materials

Table of Contents

Section 1 **EA Program Initiation**

1. EA Program Charter (Sept 2006)
2. EA Communication Plan (Sept 2006)
3. EA Tools, Methods, and Frameworks Best Practice (Jan 2007)
4. EA Business Foundation (Jan 2007)
5. EA Performance Measurement Best Practice (Jan 2007)
6. EA Organization Recommendations (Feb 2007)
7. EA Three Year Strategic Plan (Aug 2007)

Section 2 **Current EA Program Information**

1. CDCR Enterprise Architecture Decision (CEAD) EA Program Overview
2. CEAD EA Overview
3. CDCR EA Governance Strategy
4. CEAD Guiding Principles (Quick Reference)
5. CEAD Enterprise Architecture Guiding Principles, Rationale and Implications
6. CEAD Intranet **Website**
7. CEAD **SharePoint** Site
8. CEAD EA Summary of the OCIO Supplemental Report
9. CEAD Definitions
10. eNews EA articles

Enterprise Architecture

Section 3 EA Forms

1. CDCR IT Standards Adoption Request Form
2. EA Waiver Request
3. Product Component Review
4. Product Component Review – Supplemental Form
5. Project Review Decision Transmittal

Section 4 Technology Architecture

1. Brick Overview
2. Technical Reference Model
3. CEAD ETA Bricks Website
4. Established Technology Bricks & Specifications
5. CDCR Technology Baseline Report
6. ETA Architects and Technical Lead Contact List
7. Information Security Architecture (actual document available upon request)

Section 5 Application Architecture

1. Automated Risk and Needs Assessment Tool (ARNAT)
2. Business Information System
3. CalParole
4. Consolidated Information Technology Infrastructure Program
5. Correctional Offender Management Profiling for Alternative Sanctions (to be replaced upon implementation of ARNAT)
6. Disability and Effective Communication System
7. Discharged Offender Records Management System
8. Estelle Transitional Program
9. Juvenile Justice Infrastructure Migration
10. Lifer Scheduling and Tracking System
11. Restitution Accounting Canteen System
12. Revocation Scheduling and Tracking System
13. Senate Bill 618

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

See Appendix A-2, CDCR EA Governance Strategy.

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

- Yes
 No

Name: Caroline Bigelow
Classification: Systems Software Specialist III (Supervisor)
Telephone Number: (916) 358-2620 **E-Mail:** Caroline.Bigelow@cdcr.ca.gov

Appendix A-1

Enterprise Architecture Program Overview

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Benefits of EA	1
General EA Efforts	1
CDCR EA Framework and Methodologies	2
SOA Efforts	2
ETA Efforts	3
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Enterprise Architecture @ CDCR

The California Department of Corrections and Rehabilitation (CDCR) established an Enterprise Architecture (EA) Program in late 2006. Enterprise architecture is a comprehensive framework used to manage and align an organization's information technology (IT) assets, people, operations, and projects with operational characteristics. In other words, the enterprise architecture defines how information and technology will support the business operations and provide benefit for the business. The primary purpose of describing the architecture at CDCR is to improve the effectiveness or efficiency of the business itself.

This document was developed to briefly explain the concepts of enterprise architecture and describe CDCR's EA efforts.

What is Enterprise Architecture?

Enterprise Architecture is a strategic information asset base which defines the business, the information necessary to operate the business, the technologies necessary to support the business operations, and the processes necessary for implementing new technologies in response to the changing business needs. EA is a "blueprint" for systematically and completely defining the state's current (baseline) or desired (target) technology environment. EA is essential for evolving information systems and developing new systems to optimize mission value. If defined, maintained, and implemented effectively, EA assists in optimizing the interdependencies and interrelationships among the business operations and the underlying IT that support operations.

Benefits of EA

The benefits for implementing an EA program are great. Some benefits that CDCR expect to receive include:

- Better understanding of CDCR's business and IT interactions and impact with each other;
- Improved communication among the business and IT organizations within the enterprise;
- Focus on the strategic use of emerging technologies;
- Improved technology interoperability and efficiencies;
- Improved consistency in data and technology;
- Reduced costs and technical risks;
- Achieve economies of scale by providing mechanisms for sharing services across the enterprise.

General EA Efforts

To be effective, it was determined that only certain EA efforts would begin and those efforts would be well suited with the program's staffing. The first phase of the program's efforts include the following:

- Establish the EA program;
- Select an EA framework and methodology;
- Market the EA program;
- Focus the EA program's initial efforts on implementing an Enterprise Technical Architecture (ETA) program by June 2009;
- Leverage key IT projects to create CDCR's service oriented architecture (SOA) by December 2010.

The other architectures (business, application, and data) are targeted to begin in the spring or summer of 2009 after the ETA program documents the majority of the technology environment and reaches a manageable level by EA program staff and customers.

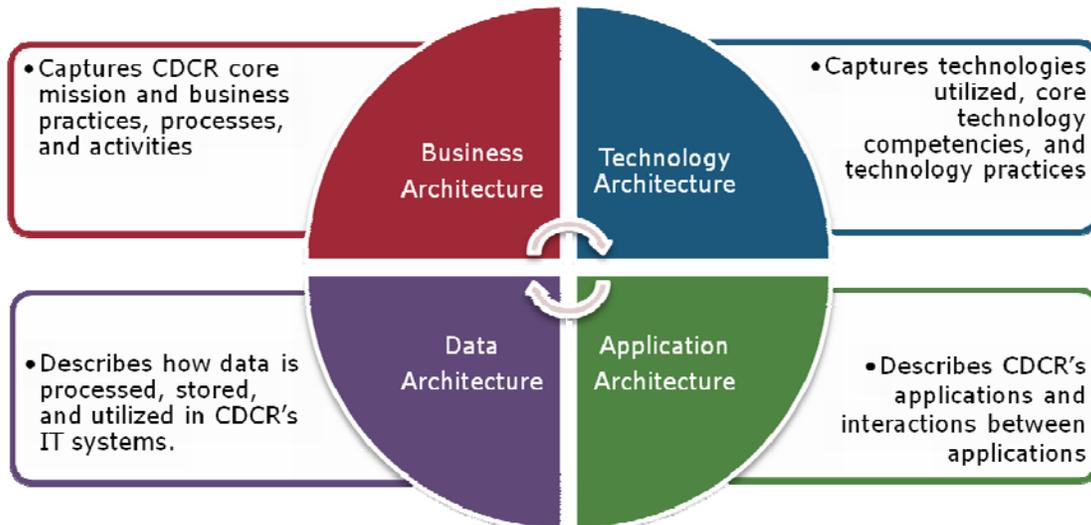
CDCR EA Framework and Methodologies

In 2006, after reviewing several frameworks (*Adaptive Enterprise Architecture Development Toolkit (AEAD)*, *Extended Enterprise Architecture Framework (E2AF)*, *The Open Group Architecture Framework (TOGAF)*, *Federal Enterprise Architecture Framework (FEAF)*, *Zachman Framework*, etc.) CDCR selected and adapted their own framework because the EA discipline is at a relatively immature stage and no standards, official or even de facto, for frameworks or methodologies existed that CDCR could leverage at the time. The most important attributes considered in selecting the CDCR EA framework and methodologies were compatibility, fit, clarity, flexibility, and usability.

CDCR's framework is called **CDCR Enterprise Architecture Decision Framework (CEAD)**. The CEAD framework consists of four architectures (business, application, data, and technology) just like FEAF. However, CDCR's technical reference model (TRM) differs as CDCR adapted their own model based on the selected attributes (e.g., compatibility, fit, etc.).

In 2008, the Office of the State Chief Information Officer (OCIO) recommended adoption of the FEAF framework and NASCIO methodologies for the State of California. The newly selected framework and methodologies have not negatively impacted CDCR's efforts as the existing CEAD TRM has been mapped to the FEAF TRM and the most important facet of EA is the data population and analysis not the framework used to categorize the information.

The following picture depicts the four unique architectures which include business, technology, data, and application. Each of these architectures require a separate reference model and result in different artifacts. Combined as a whole, these four separate architectures and their artifacts create CDCR's Enterprise Architecture.



Service Oriented Architecture (SOA) Efforts

CDCR's strategic goal 2.4.4 is to develop comprehensive systems standards to support sharing and exchanging information with local, state, and federal law enforcement entities and other state agencies by December 2010. To accomplish this goal, the following two major milestones were established:

1. Develop standards that align with outside stakeholders (i.e., SCO, DTS, DOJ, etc.);
2. Adopt Global Justice XML Standards.

To accomplish these objectives, the Enterprise Architecture Program is participating in various State of California's SOA workgroups and is leveraging their efforts. To date, the State of California has successfully developed several EA documents that guide the State in the adoption of SOA. CDCR has fully adopted these efforts and documents as their own to ensure alignment and successful enterprise implementation. CDCR has also adopted the National Information Exchange Model (NIEM) and Health Level 7 (HL7) data models.

Several key CDCR IT projects such as the Strategic Offender Management System, Parole Leads Modernization, and Business Information System are targeted to be developed in a manner that realizes external data sharing and exchanging. These targeted projects are anticipated to adopt these standards and include State of California SOA documents in their IT procurement bidder libraries. Future CDCR SOA projects will also be required to include State of California SOA documents in their bidder's library and also adopt NIEM and HL7 data standards.

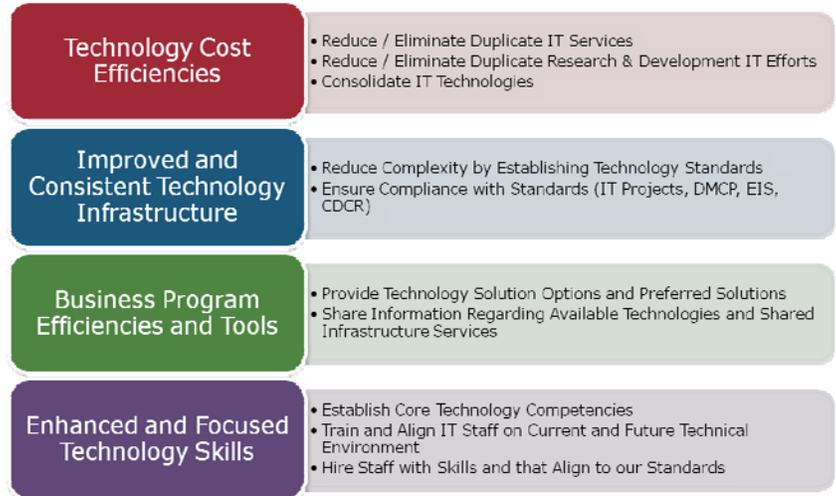
Enterprise Technology Architecture (ETA) Efforts

CDCR's strategic goal 2.4.1 is to establish an Enterprise Technical Architecture Plan to refine existing computing and network infrastructure standards and common services to be provided by June 2009. To accomplish this goal, the following four major milestones were established:

1. Develop principles for making enterprise-wide technical decisions;
2. Establish an enterprise technical architecture committee (ETAC);
3. Conduct a baseline existing inventory;
4. Develop technology standards and reflect their life cycle using the "brick" format.

In addition to the above, the program will develop a technical shared service portfolio to market and promote the use of common technology services and develop infrastructure patterns which are design ideas that can be reused and leveraged across CDCR.

ETA Goals



More Information

The EA program uses multiple venues to share information. General public information can typically be found on the CEAD Intranet site at <http://intranet/isd/project-information/cead/cead.asp>.

CEAD Intranet Website

This is a public site that EA customers use to learn about the EA program and current IT standards (e.g. "technology bricks"). It also contains contact information for the CEAD team. The following information is contained within the CEAD website:

- General information and an overview of the CEAD Technology Bricks;
- Technology Bricks (IT Standards), Configuration Standards and Technology Specifications;
- IT Standards Adoption Request Form;
- EA Waiver Request Form;
- CEAD Technical Reference Model;
- EA Definitions;
- IT Standards Decision Making Principles;
- Technical overview of IT projects (ARNAT, BIS, CalParole, CITIP, COMPAS, DECS, DORMS, Estelle, JJIM, LSTS, RACS, RSTS, SB618).

CEAD SharePoint Team Site

This is a working site that the EA program staff and architects use to develop new EA artifacts. It also contains historical information that typically isn't of interest to our customers. Where warranted, access to this team site may be obtained. The following information can be found through this site.

CEAD Program Initiation Materials

Program Charter; Communication Plan; EA Tools, Methods, and Frameworks Best Practice Report; EA Business Foundation Report; Performance Measurement Best Practice Report; EA Organization Recommendations; EA Three Year Strategic Plan.

Current EA Program Information

Program Overview; EA Overview; Governance Strategy; EA Guiding Principles, Rationale and Implications Report; CEAD Summary of the OCIO Supplemental Report; CEAD News Articles; Calendar of EA Events; EA Staff Tasks.

Technology Architecture

CDCR Technology Baseline Report; Unestablished Draft Bricks and Specifications; Program Templates and Forms; ETA Reference Material; IT Standards Meeting Agendas, Notes, Participant Lists, and Reference Material; Product Component Reviews; ETA Architects and Technical Lead Contact List; IT Project and Procurement reviews; EA Waiver Reviews.

Business, Application, and Data Architectures

Various reference material.

Appendix A-2

Enterprise Architecture Governance Strategy

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- EA Governance Overview **1**
- EA Program **1**
- Enterprise Technical Architecture Committee **2**
- Integrated IT Governance **3**
- IT Solutions Process **4**
- IT Standards Process **5**
- IT Procurement Compliance Process **6**
- EA Waiver and Escalation Process **7**

EA Governance Overview

The California Department of Corrections and Rehabilitation (CDCR) recognizes the importance of Enterprise Architecture (EA) and its role in governing IT solution and standards decisions. The CDCR EA Program is managed by a Chief Enterprise Architect and is executed by an integrated team of architects, subject matter experts and support staff, each with a specific set of responsibilities. This document describes the CDCR Enterprise Architecture Governance Strategy, including the processes and organizations that govern CDCR EA and IT standards development. In addition to documenting these governance processes, the EA Program is responsible for communicating the processes to CDCR users, as they are ultimately responsible for ensuring the success of the CDCR EA and related initiatives.

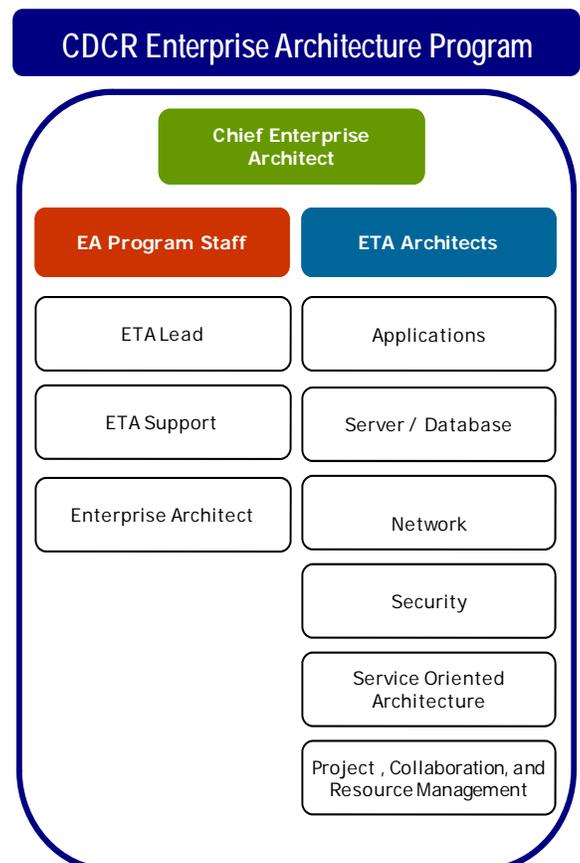
The CDCR EA Governance Model requires the following teams and governing bodies to be successful.

- Enterprise Architecture Program
- Enterprise Technical Architecture Committee (ETAC)
- Integrated IT Governance Board

Enterprise Architecture Program

The Enterprise Architecture (EA) Program is led by the Chief Enterprise Architect and is composed of senior architects and program staff. The EA Program is responsible for developing architecture processes, driving the development of EA, and creating and maintaining EA artifacts.

Chief Enterprise Architect: This position develops and leads the EA Program. The primary responsibility is to implement, maintain, and oversee the architecture process, program planning and staff development. The Chief Enterprise Architect is not and should not be the source of architecture content; rather, they are the facilitator of the architecture's development. A key role is to remove obstacles to ensure the architecture team can be productive in its work. The Chief position is also responsible for the preparation and presentation of the annual CDCR EA Plan and assists with IT strategic planning and creating the annual CDCR IT Capital Plan. This position trains and mentors management and supervisors in EA processes and compliance requirements. The Chief also serves as subject matter expert to communicate EA recommendations and decisions to the Integrated IT Council.



Enterprise Architecture Program *(continued)*

EA Program Staff: These members assist technology users and implementers with the EA Program. They work with architects and subject matter experts to facilitate the development of the IT standards. They are tasked with ensuring consistent communication and collaboration to ensure IT standards are developed at the enterprise level. They also maintain the program’s artifacts, EA framework and reference models. They conduct basic research and develop straw man artifacts. They train and consult with staff, including project teams, on EA and review IT procurements for architecture compliance. They respond to EA related inquiries by providing information or referring inquiries to the appropriate architect, technical lead or subject matter expert.

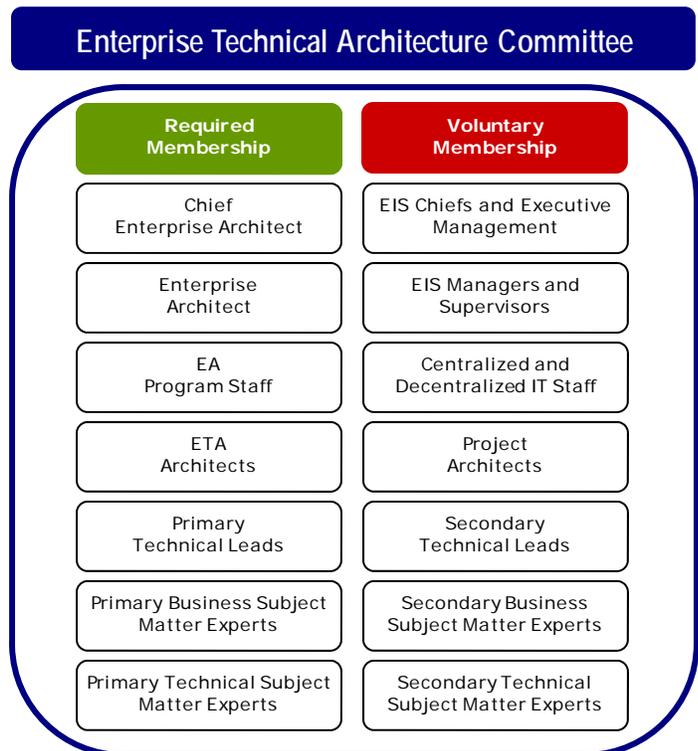
Enterprise Architect: The Enterprise Architect works under the general direction of the Chief Enterprise Architect. The Enterprise Architect is the primary overall technical architect for CDCR’s EA Program. The Enterprise Architect’s primary focus is to closely coordinate the activities and artifacts of all domain technical architects and to ensure they are developed with an enterprise view. The Enterprise Architect develops EA artifacts and leads EA activities for all architectures which include business, application, data, and technical architectures. The Enterprise Architect leads the development and implementation of CDCR’s strategic and tactical technology roadmap by planning and leveraging CDCR’s projects and initiatives for the desired target state.

ETA Architects: These members are senior technical experts in their respective domains who ensure the CDCR architecture is built in the most efficient and effective manner. The entire team works with subject matter experts throughout CDCR to recommend IT standards and assist in the development of design solutions. They are focused on the development of technology principles, standards and patterns. The ETA architects provide the bridge between the other project architects to ensure that the technology infrastructure meets the Department’s EA goals. They also perform extensive research in their respective domain and serve as a single point of contact for their technology areas.

Enterprise Technical Architecture Committee

The Enterprise Technical Architecture Committee (ETAC) is a cross-functional committee chaired by the Chief Enterprise Architect. The committee’s primary goal is to recommend adoption of proposed IT standards through a consensus process. ETAC meets on a quarterly basis or more frequently if needed.

ETAC is comprised of senior architects, project architects, business and IT subject matter experts, and other various interested parties. Several key members of ETAC are required to attend and participate at each meeting. However, others can contribute and participate based on interest and specific agenda items. ETAC membership is open to all interested parties; its current membership consists of over 100 participants with approximately 50 regular members.



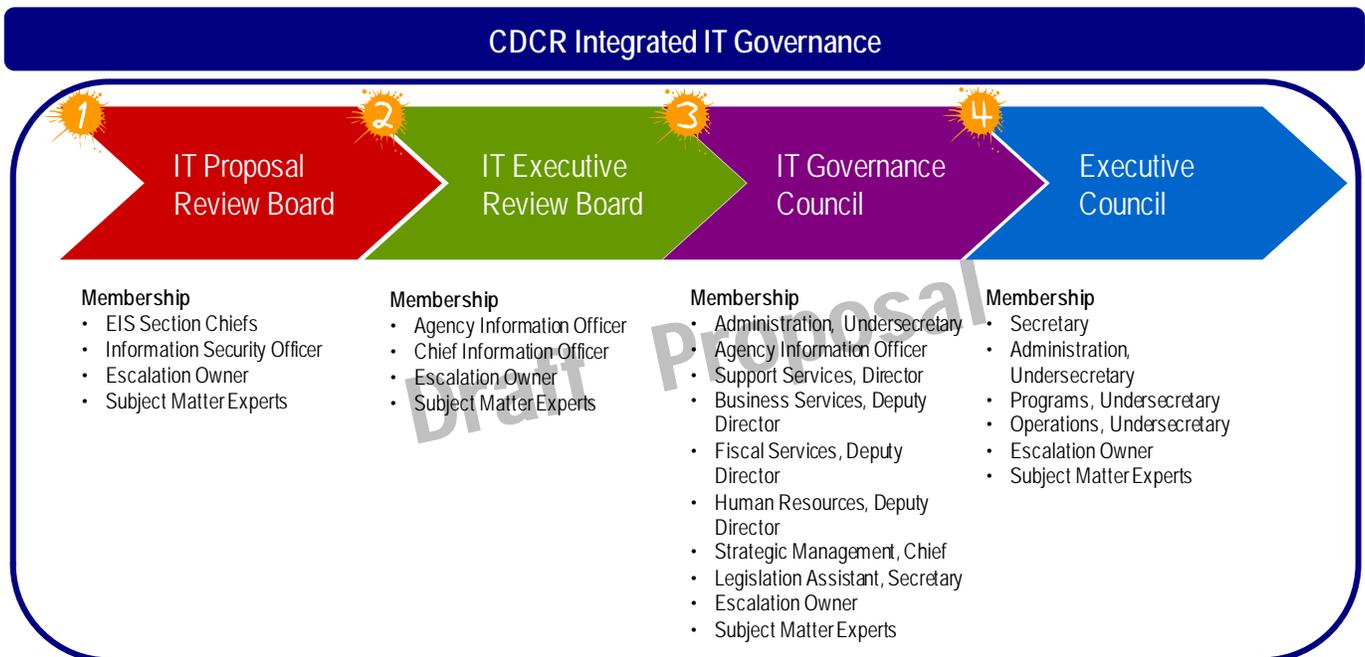
Integrated IT Governance Structure

CDCR is currently revisiting and revising its integrated IT Governance model. Work is being done to properly align the processes with the current organizational structure to ensure the most effective and efficient technology decisions in support of the Department's business needs. The current proposal for CDCR Integrated IT Governance involves a four tiered model, which includes leadership from both the business and technology program areas,

to be involved as needed. One of CDCR's EA Guiding Principles is to "empower, with appropriate authority, decision making at the lowest level." Therefore, the first level of the governance process begins with an established IT organizational entity, the CDCR IT Section Chiefs, where governance issues or requests are introduced as a standing agenda item, at a regularly scheduled meeting. From the point of activation, an issue will only be escalated if it

cannot be resolved at the lower level – or, if the nature of the issue is already deemed to require a higher level of discussion and decision. As a matter of normal process, if an issue or request cannot be resolved at a lower level of governance, the next board or council is solicited. This structure requires an issue or request be presented with evidence of completed staff work and analysis. The process includes the validation of

business needs and priorities and it establishes the decision making framework from which CDCR EA decisions are made. These decisions include the approval of EA artifacts (e.g., principles, bricks, patterns, process models, etc.), the approval of EA related policies, and processes, as well as the prioritization and funding of technology solutions in support of program priorities.

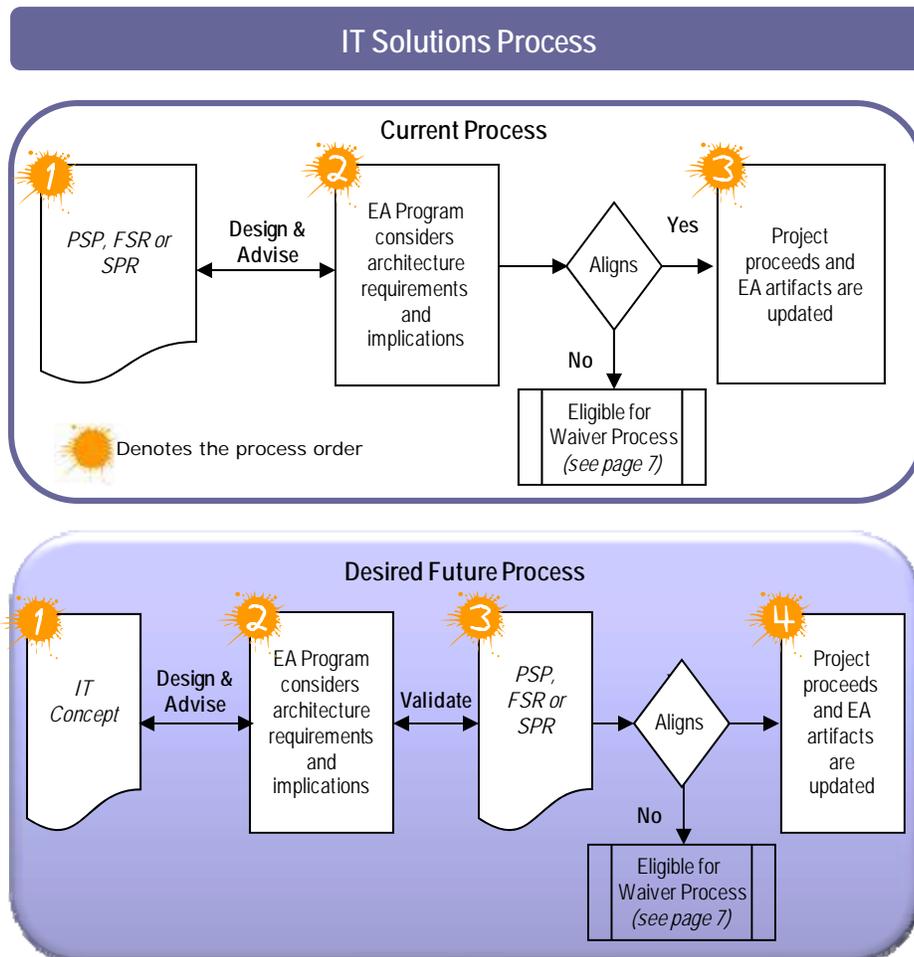


IT Solutions Process

To fully leverage the benefits of EA, IT projects and solutions must resolve an important business need and must align with CDCR architecture standards and guidelines. As such, all IT solution proposals will receive formal approval from the EA Program based on the proposed solution's compliance with these standards and guidelines.

Often, IT projects are the catalyst to advance CDCR's current architecture to the desired target state. Therefore, there are times when an IT standard may not be pre-defined. When this occurs, the "IT standards process" is followed as reflected on page 5.

Sometimes, it may not be feasible or realistic to comply with a standard. In these situations, IT project teams or IT solution proposers may follow the waiver process to request approval to deviate from the prescribed standards.



IT Standards Process

The IT standards process (i.e., technology bricks) guides EA development in a consensus driven environment. In general, a CDCR IT standard is:

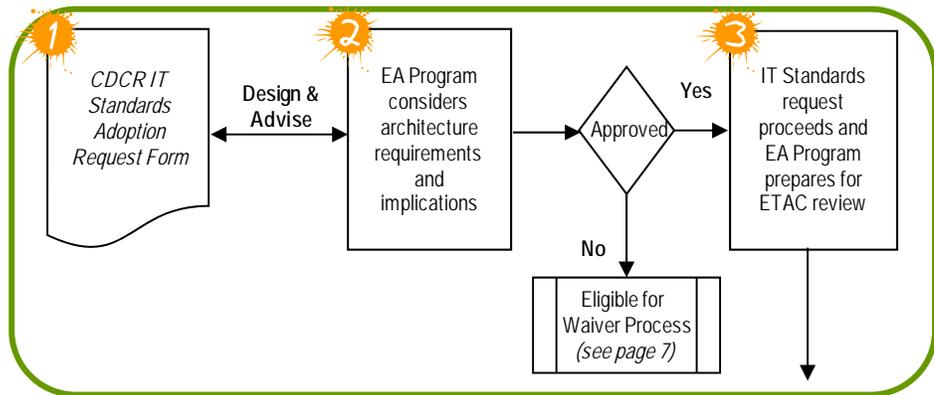
1. Stable and well-understood,
2. Technically competent,
3. Recognizably useful in some or all parts of CDCR,
4. Required for integration or is a generally accepted industry or government best practice or standard.

A specification is a written description of a product, technology, approach, or protocol. CDCR's architecture standards are necessary for the inter-working, portability, and reusability of CDCR IT systems and components across the enterprise. These standards and specifications are written and communicated to the CDCR IT community and adopted via the formal review process described in this document.

The IT standards process uses the EA Guiding Principles to ensure the standards process is fair, open, and objective. At each stage of the process, a standard and specification is repeatedly discussed and its merits debated in open meetings and via discussion groups.

Once IT standards are adopted, notification is sent to the Enterprise Technical Architecture Committee and other interested parties. IT standards are published on the CDCR Enterprise Architecture Decision Framework (CEAD) intranet website for use department wide. In some instances, standards are also communicated via EIS Net Alerts to all IT Field Coordinators.

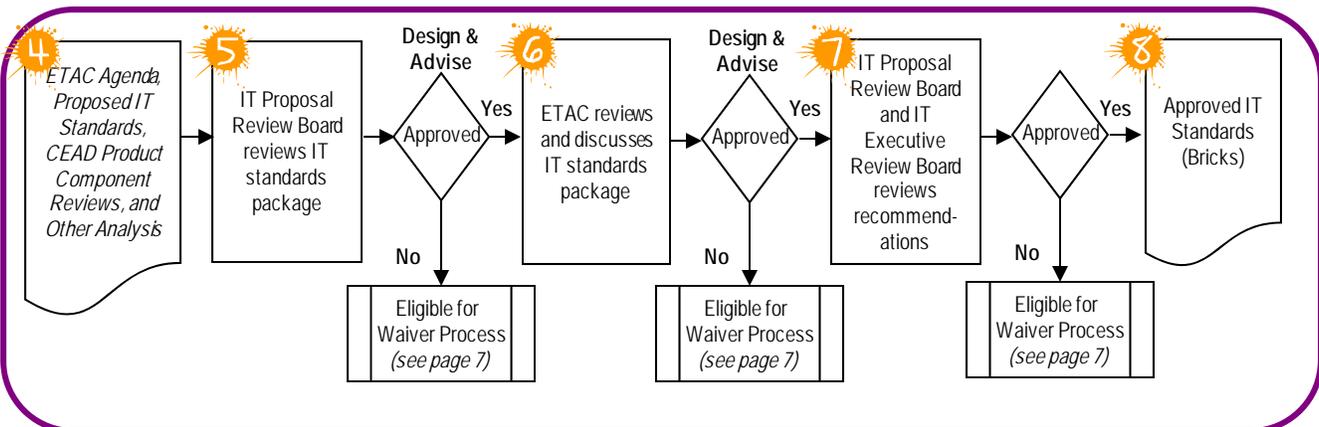
IT Products and Technologies Process



CDCR IT Standards Goals

1. Model technical excellence
2. Adopt proven technology
3. Provide clear, concise, and easily understood documentation
4. Reduce or eliminate duplicate efforts by sharing information and knowledge statewide
5. Provide a wide spectrum of valuable information for common products and technologies, such as warranty and procurement information
6. Ensure CDCR statewide distribution and use

ETAC Review



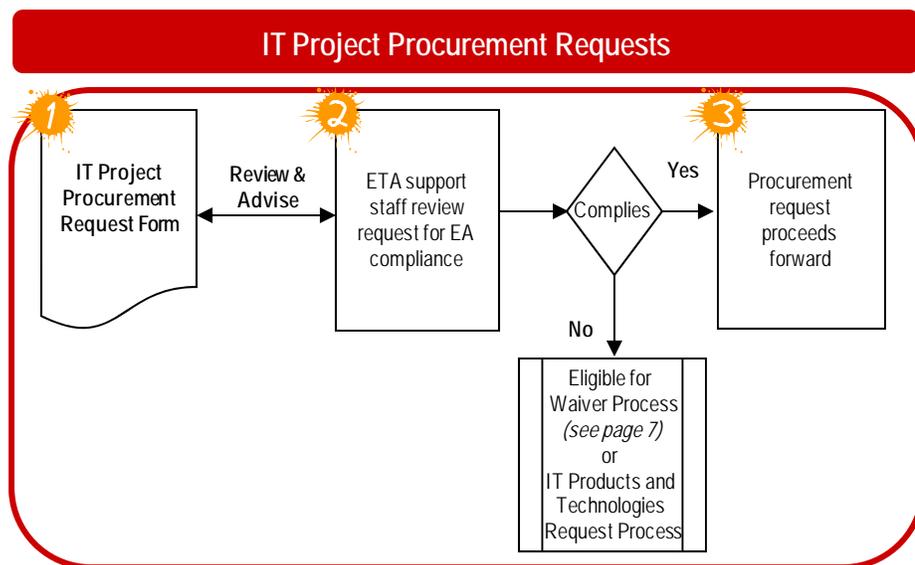
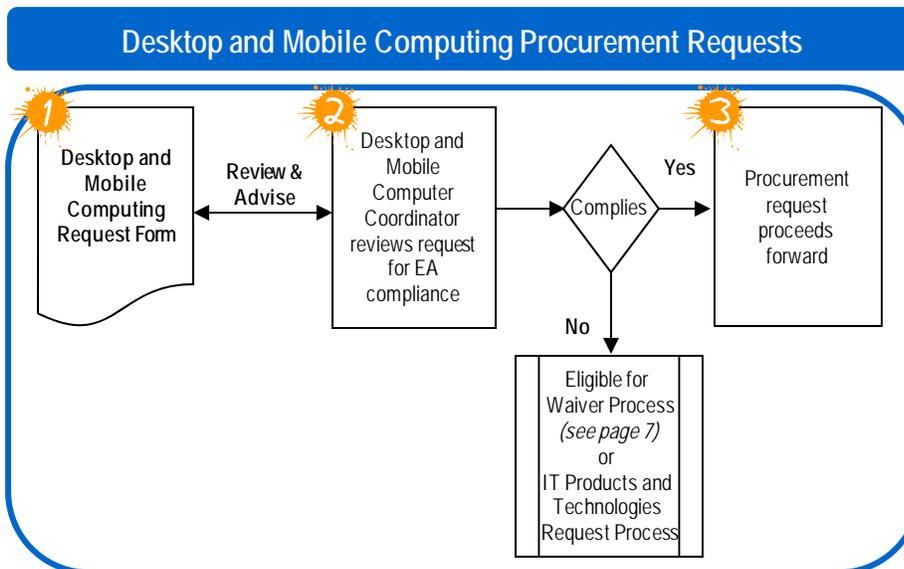
Denotes the process order

IT Procurement Compliance Process

Ensuring that individual IT procurements comply with the Enterprise Technical Architecture is an essential aspect of IT Governance. The goals of the EA compliance review include the following:

1. Ensure EA benefits (i.e., interoperability, integration, agility, cost reduction, improved security, reduction of technical risk, economies of scale, etc.) are realized;
2. Identify where existing standards may require modification;
3. Identify and communicate significant architectural gaps to products and technologies;
4. Document strategies for collaboration, resource sharing, and other synergies across multiple teams.

Currently, two unique procurement authorities and processes exist at CDCR. The first IT procurement authority is established through the Desktop and Mobile Computing Policy. The second is executed via the CDCR IT project certification process. Both processes ensure IT procurements comply with CDCR's EA standards and guidelines. When a non-standard request is received, it follows the IT standards process or the waiver process.



 Denotes the process order

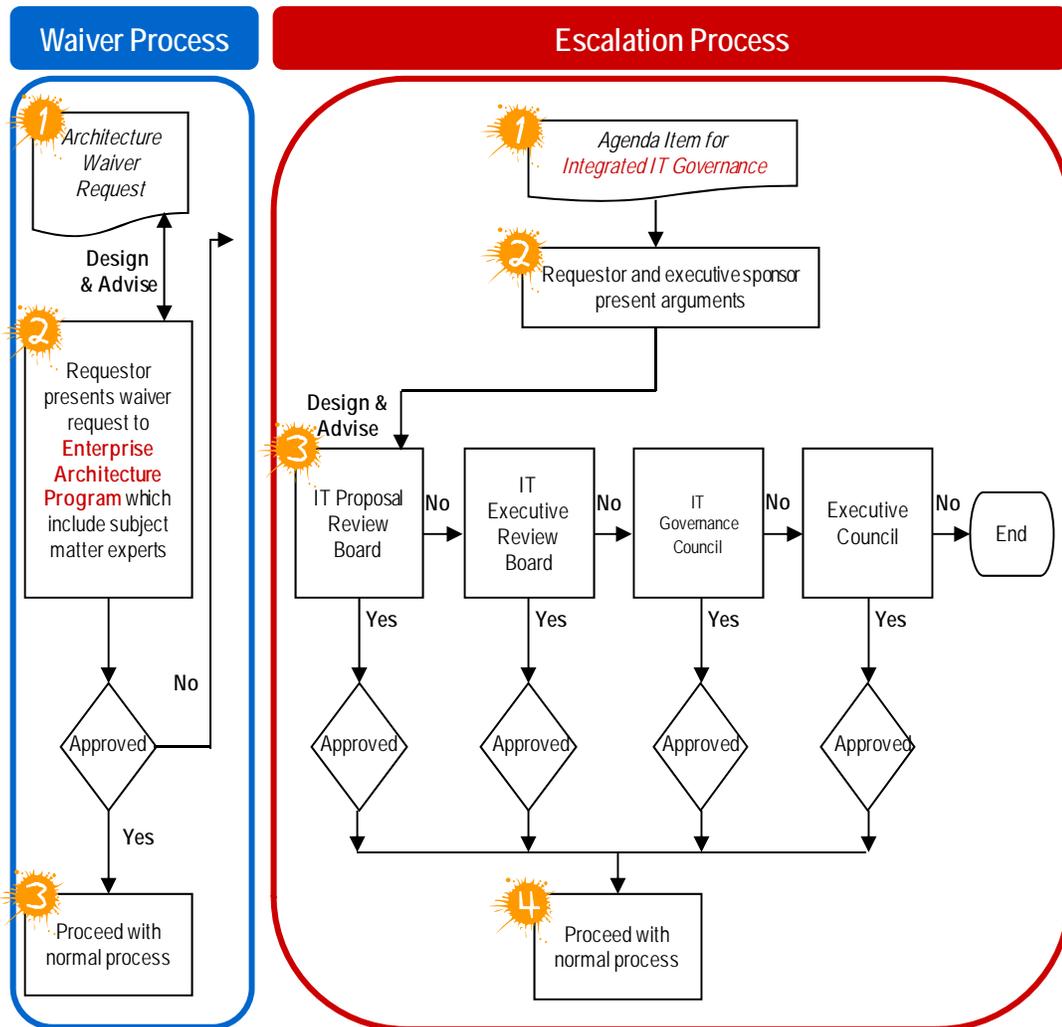
EA Waiver and Escalation Process

One of CDCR’s EA Guiding Principles is to “select and prioritize projects and initiatives based on alignment to the strategic plans and enterprise architecture.” However, business requirements sometime necessitate an exception. In these situations, an EA Waiver Request is completed to begin the exception process. Generally, exceptions are temporary and limited in scope.

Decision Criteria: In exercising discretion to approve an EA waiver request, the approval authority will consider the following criteria:

1. The impact (business and technical) of not granting the waiver.
2. The technical merit of the waiver.
3. The collateral impact to other systems and business processes.
4. The impact to the CDCR enterprise architecture.
5. Alternatives to granting the waiver.
6. Precedent setting effects.

If disagreements or lack of consensus exist, a requestor may escalate a denied waiver via the Integrated IT Governance process.



Denotes the process order

Appendix B

Information Security

Information Security

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

The Information Security Officer (ISO) works with the EIS Enterprise Project Management Office (EPMO) to review all new proposed IT projects. The ISO reviews all Feasibility Study Reports, Project Summary Packages, and when needed, Special Project Reports. ISO provides feedback in writing via the EPMO and is included in final approval routing and signatures.

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?

CDCR has developed 16 business principles and 26 specific technology principles to guide CDCR future IT decisions. Each principle has been adopted because it is consistent with CDCR's overall business requirements. They provide CDCR with the basic set of decision tools for investment, development, deployment, and retirement of information technology. In addition, they are important to the standards process because they help ensure decisions are made with the best business interest of CDCR. All principles are important to CDCR, therefore each principle is equally weighted and all should be considered.

Business Principles

- Manage from a consolidated enterprise-wide perspective.
- Select and prioritize projects and initiatives based on alignment to the strategic plans and enterprise architecture.
- Approve projects, programs, and initiatives that receive a commitment of adequate resources from program and support entities to cover initiation through operations.
- Support services are directly traceable to documented business needs and service level agreements.
- Ensure an accessible, reliable, secure and extensible infrastructure.
- Collect and manage information as an asset in accordance with its business values.
- Information security must be considered in decision making.
- Ensure a well-trained, quality, professional, and flexible workforce in program and support areas.
- Employ standard processes and technologies.
- Empower, with appropriate authority, decision making at the lowest level.
- Direction is captured and authorized through policy and standards.
- Make strategic and operational decisions based on sound information analysis and forecasting.
- Physical security must be considered in decision making.
- Reuse existing solutions before buying new solutions, and purchase off-the-shelf solutions before building custom solutions.
- Follow an enterprise investment strategy, leveraging economies of scale and measuring total cost of ownership of operations.
- Organize and conduct all projects using project management standards, appropriate to the size and complexity of the project.

Information Security

Technical Principles

Overall

- Invest in solutions (e.g., COTS, development techniques, development languages) that are available from established market leaders.
- Treat all IT hardware and software as enterprise assets and are managed accordingly by EIS.
- Align outsourced services with the architecture and ensure compliance with CDCR policies (e.g., disaster recovery) and defined standards.
- Adopt vendor neutral standards.
- Minimize total cost of ownership for technology solutions.

Application

- Promote application consolidation, standardization, and integration.
- Select applications that are open, easily configured, and extensible.
- Maintain a centralized repository of applications and systems, in production and development.
- Meet production standards prior to deployment.
- Use applications and tools that present a common look and feel Infrastructure.
- Build the IT infrastructure to enable connectivity between systems and users.
- Limit the types of computing platforms (e.g., Intel/ Windows, Intel/ Linux).
- Build the IT infrastructure to be flexible and support the addition of new technologies limit, to the extent possible, the amount of “unique” performance tuning to individual infrastructure components – particularly servers and clients.
- Maximize availability and reliability from the business user perspective.

Data

- Assign a single steward or authoritative source for each individual data item with clearly defined locations and data accessibility.
- Separate production databases from data warehouses used for decision support.
- Maintain common and consistent information / data definitions across all business units (e.g., data dictionary).
- Ensure data accessibility to all authorized entities.
- Store and transmit data electronically to avoid data transcription and manual re-entry.
- Preserve and maintain data such that the information remains accessible and useable for the designated retention period.
- Ensure system data is accessed through the use of business rules.

Security

- Secure information assets from unauthorized access, use, modification, destruction, and /or disclosure.
- Employ centralized security management for the Department.

Information Security

- Delegate security authorization authority regarding information classification and access.
- Promote a high level of security awareness to employees and partners.

The CDCR maintains the Department Operations Manual which outlines the information security, desktop and mobile, and data processing policies in separate sections. The ISO is the “owner” of the information security policy and provides updates as needed. In addition, the ISO maintains an Information Security Architecture document published on the CDCR Intranet.

B.3. If data within your department is shared with external entities, does your department implement data exchange agreements with these entities?

- Yes**
 No

Agreements are managed for each application through Contract Agreements Memorandums of Understanding, or Data Exchange Agreements between specific entities. For example:

- CDCR's Office of Research executed a Data Exchange Agreement with the Los Angeles County Probation Department, who receives CDCR data regarding all adult and juvenile probationers in Los Angeles County. The Probation Department uses the data to determine the number of probationers from Los Angeles County who have been or who are currently under the supervision of CDCR.
- CDCR has multiple Memorandums of Understanding with the Department of Justice (DOJ) related to the various data sharing instances which regularly occur between CDCR and DOJ. These exchanges include CDCR providing inmate palm prints to DOJ's California Automated Palm Print System, fingerprints to DOJ's Automated Fingerprint Identification System, and parolee data to DOJ's Supervised Release File. Conversely, CDCR receives criminal offender record information from DOJ. CDCR uses an offender's past criminal history to predict the likelihood of recidivism among parolees and prioritize levels of parole supervision.
- CDCR's Information Security Office has a signed Data Exchange Agreement with the California Prison Industry Authority (CALPIA), who receives CDCR data regarding inmates employed by CALPIA. CALPIA uses the data to measure recidivism among CALPIA inmate employees, understand the CDCR incarceration histories of CALPIA inmate employees, for daily CALPIA operational purposes, and for reporting to CALPIA stakeholders.

If no, please explain.

Here are some of the exceptions where written Data Exchange Agreements do not currently exist:

Information Security

- Offender Based Information System (OBIS) data extracts have Interagency Agreements (IAA) on file with most of the external entities. The only exception is U.S. Homeland Security.
- We currently provide Offender Based Information Tracking System (OBITS) information to the Department of Social Services (DSS). This information identifies individuals that may have a high risk of committing fraud with DSS. This is a legislative mandate that the information exchange occur. Currently the process on how the information is delivered is verbal with a Memorandum of Understanding being crafted.
- A new request to provide an exchange of information with the Department of Developmental Services is being created. The goal is to find out if one department has a recorded disability where the other department has no record.
- California State Dept of Education mandated our two-way communication with their California School Information System database armed with a State law that authorizes them to cut Prop 98 funds to any school district that did not comply. No agreement exists, because it's an edict based on state law.

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?

EIS Management addresses the key areas of application development that must be met to ensure best practices are followed. All development projects follow a System Development Life Cycle using IEEE standards. All Web developers follow California E-services guidelines.

The CDCR has established an Enterprise Technical Architecture program and is in the process of vetting technical standards in excess of one hundred technology disciplines. Each discipline has an assigned architect and all standards (CDCR uses the term 'bricks') are published using the CDCR Intranet. The Enterprise Technical Architecture Committee (ETAC) meets quarterly to review and approve all technical standards and configuration standards. The ISO participates as an architect and as an ETAC member.

We are currently pursuing a standardized application development environment to provide consistent maintainable code that is fully documented both for the end user as well as system developers.

The Unit Managers oversee the teams to ensure that resources are provided for and defined ahead based on the scope, time and costs of the effort.

During the initial requirements scoping and planning stage, technical project managers use and report progress using standard project management processes and tools. The work efforts include technical project managers to manage the schedules, issues and coordination of development. In addition, the IT Standards Committee helps define department's IT standards.

Information Security

Project documentation and reporting to the EPMO, Executive Management & Stakeholders, Independent Validation & Verification (IV&V), Independent Project Oversight Consultant (IPOC), and the OCIO are coordinated with the EIS EPMO on all reportable projects.

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: Allen Pugnier

Classification: Data Processing Manager III

Telephone Number: (916) 255-2700 **E-Mail:** Allen.Pugnier@cdcr.ca.gov

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Appendix C

Workforce Development, Workforce Planning, and Succession Planning

Workforce Development, Workforce Planning and Succession Planning

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

Yes

No – No formal plan exists at this time; however CDCR Workforce Development Planning efforts are in varying stages at both the departmental and IT organization levels. Those efforts are described below.

If yes, briefly describe it.

Departmental Efforts

Goal 1 of the *CDCR Strategic Plan 2007 - 2012* states, “Workforce Excellence: Ensure a well-trained, quality workforce.” The focus of this goal is to establish strategies to recruit, select, develop, and retain employees as well as provide employees with the tools, resources, and leadership needed to perform their jobs with competence.

The strategy for achieving this goal, specific to workforce development, is to update and/or establish training standards for selected classifications. IT classifications are not currently the focus of this effort. However, Enterprise Information Services (EIS) plans to work cooperatively with the Human Resources Office to develop training standards applicable to IT classifications during the next fiscal year.

Also supporting the Department’s workforce development needs, the CDCR Human Resource Office includes the Office of Workforce Planning and Selection, whose core mission is to ensure accurate projections of the Department’s current and future hiring and training needs for recruitment and selection services. These efforts will focus on identifying training for supervisors and managers to support upward mobility.

IT Related Efforts

Although EIS does not yet have a formalized workforce development plan, a number of related efforts have been implemented or are in process related to workforce development. Some of those efforts are described below.

- In August 2005, EIS, the newly consolidated CDCR IT organization, published its first CDCR IT Strategic Plan (titled *California Technology Improving Public Safety - CALTIPS*). This plan aligned with the November 2004 California State IT Strategic Plan, and the January 2005 CDCR Strategic Plan, which supported the consolidation of several Youth and Adult Correctional Agency (YACA) entities into one Department. Goal 6 of the 2005 IT Strategic Plan was dedicated to “Build our technology workforce” and it contained a number of objectives for recruiting and training highly skilled IT staff.
- Since the CDCR consolidation, the Department has updated its business Strategic Plan each year and has included EIS in the development of each plan. Goal 2 of the *CDCR Strategic Plan 2007 - 2012* represents all current IT strategies and objectives. However, the original 2005 IT Goal 6 (Build our technology workforce) is now embodied within the Department’s Business Goal 1 – Workforce Excellence: Ensure a well-trained, quality workforce. Goal 1 describes the need to build CDCR’s workforce, including technical skills.

Workforce Development, Workforce Planning and Succession Planning

- The existing CDCR EIS Business Model was published in April 2006. The business model provides guidance for how IT, within CDCR, must align both its resources and its range of services to successfully deliver the products and services needed to not only make the strategic program successful, but to leverage these efforts to be better prepared for future strategic initiatives.

Section 6.2 of the Business Model outlines several best practices related to Resource Management. In particular, the section offers training program criteria to meet customer service and operational requirements, create an upward mobility program to provide staff the skills needed to advance their careers, and implement a formal, structured staff development program.

- CDCR is currently developing and implementing the Business Information System (BIS), a CDCR enterprise resource planning solution. BIS includes several modules related to workforce development.
 - **Learning Solutions** – includes a Course Catalog that displays all courses offered by the Office of Training and Professional Development or by frequently used external learning providers. When an employee enrolls and completes a course listed in the catalog, BIS will automatically record the training in the employee's training record, and if the course satisfies a qualification, the training record will be updated to reflect the new qualification.
 - **Skills Management** – includes a Qualifications Catalog which identifies requirements for jobs and positions, such as, a license, certification, credential, education, a Class 'A' or 'B' driver's license, a language fluency, etc. A manager can establish a job requirement and proficiency level as mandatory, add specific requirements to a position in their program, or search the catalog to identify employees in the workforce who have specialized training or skills to fill in program areas on an "as needed" basis. The system will perform an employee profile match to determine if an employee satisfies the requirements of a position; if not, the system will flag the supervisor or manager to schedule the employee for the appropriate training. The Qualifications Catalog promotes succession planning by providing a resource to view employee qualifications, and to match job/employee profiles.
 - **Appraisals** – submits a notice to a supervisor when it is time for an employee's probation or annual appraisal, and record the completion date in the employee master data file. Unique features of the system include the ability to link deficient competencies with remedial training identified in the employees annual Individual Development Plan (IDP), and the identification of supervisors who have not completed an employee evaluation in a timely manner.

BIS will provide enterprise-wide analysis to assist CDCR in identifying skill sets and training needs that are needed to grow the organization - at both the line and management level. While succession planning will not be implemented initially with BIS, the system's robust reporting capabilities will produce monthly reports to:

- Notify all managers/supervisors of employees nearing the end of probation; appraisals that are due and probation completion status;

Workforce Development, Workforce Planning and Succession Planning

- Notify staff regarding licenses and certifications that are nearing expiration, enabling employees to proactively update them;
- Identify training available for employees, including the appropriate prerequisites.

BIS will establish and maintain qualifications related to both positions and employees, enabling a seamless skills assessment and skills reporting capability. Additionally, as needed, managers can query the workforce to determine who has a specific skill required for workforce and succession planning efforts.

In other workforce development plan efforts, EIS currently plans and provides training for IT staff as follows.

- Annual IT Coordinators and Training Conference – On an annual basis, EIS develops, coordinates and hosts a statewide IT Coordinators and Training Conference. Approximately 300 CDCR IT support professionals attend this conference, as well as IT customers, IT and program managers and key business analysts. The conference provides insight of CDCR IT projects affecting support staff within their own organizational spheres; increases support and understanding of Department business initiatives, strategic plans and the role of technology; provides relationship building, professional development and skill building; promotes collaboration on new ideas, projects and best practices; and allows sharing of accomplishments in support of the CDCR mission.
- Each year, EIS participates in the State's Information Technology Managers Academy, a year-long intensive program for state IT managers, which focuses on developing leadership, communication, collaboration, and networking skills as well as the knowledge necessary for IT executives to succeed in the 21st Century.
- In January 2003, EIS conducted a Knowledge and Skill Survey and performed a gap analysis to focus on short and long term skills requirements. During Fiscal Year 2008/2009, EIS will develop a new survey to update the 2003 study and capture information on staff not previously employed by EIS.
- IDPs are utilized as a tool for both staff and supervisor to create a pathway for improvement, growth and promotional opportunities. Job duty statements and staff training records are reviewed as a part of this process to help define any skill gaps that should be addressed or changes in position functions that require updating.
- EIS develops an annual training plan to assist with the prioritization of training needs.
- Multiple EIS units maintain a list of suggested training classes relevant for the workload within their respective unit.
- In March 2007, EIS developed a project management training strategy, designed to ensure standardization and continuity of training and practices for all EIS staff who perform project management activities. As part of this effort, EIS conducted a project management survey to determine project management training needs for all EIS staff.

Workforce Development, Workforce Planning and Succession Planning

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

- Training** – Develop annual training plans; utilize CDCR Enterprise Architecture Decision Framework to focus technical training needs of the Division.
- Upward Mobility** – Use of training and development assignments.
- Mentoring** – All managers and supervisors regularly coach, guide and mentor their staff.
- Career Assessments** – Participation in the Leadership for the Government Executive Program at Sacramento State, College of Continuing Education.
- Knowledge transfer program** – Incorporate language into contracts with IT Consultants when appropriate.
- Performance Evaluations** – Annual update of Individual Development Plans.
- Other (please list)** – Recruitment strategies focused on IT classifications; IT Classification and Selection Project; IT-specific exam schedule.

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

- Yes**
- No** – Though no formal workforce plan exists at this time, workforce planning efforts exist in varying stages at both the departmental and IT organization levels. Those efforts are described below.

If yes, briefly describe it.

CDCR has identified "Workforce Excellence: Ensure a well-trained, quality workforce," as Goal 1 in the *CDCR Strategic Plan 2007 - 2012*. The focus of this goal is to establish strategies to recruit, select, develop, and retain employees as well as provide employees with the tools, resources, and leadership needed to perform their jobs with competence.

Strategies for achieving this goal specific to workforce planning include:

- Conduct job analyses for critical classifications.
- Develop a Departmental recruitment outreach and marketing plan.

Increased recruitment efforts are in process, focusing on IT classifications. The EIS Policy, Planning & Support Services-Human Resources Unit is partnering with the CDCR Office of Workforce Planning and Selection to help develop recruitment materials and participate at recruitment events.

Additionally, the CDCR EIS Business Model, Section 6.2, outlines several best practices related to Resource Management. In alignment with these best practices, EIS is currently conducting an analysis of its IT workload and staffing levels. When completed, the Resource Baseline Study will provide CDCR with a comprehensive view of the total workload required to support its IT environment, the current staffing assigned to perform that workload, and any gap between the workload and the staffing levels.

Using the results of the Resource Baseline Study, CDCR will develop and implement a reusable and updateable IT workload model to effectively forecast, sustain and manage

Workforce Development, Workforce Planning and Succession Planning

the IT resources required to support CDCR program needs and to clearly communicate those resource needs. This includes designing and implementing the repeatable processes and tools required to systemically sustain the model. As part of this effort, EIS is in the process of implementing an automated project and resource management tool, MS Project Server, from which we plan to track, manage, forecast and report detailed information regarding our IT resource availability, utilization and skills, and IT workload. EIS plans to complete the MS Project Server deployment during the remainder of 2008.

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

Yes

No – However, see the description below for efforts underway.

If yes, briefly describe it.

Strategy 1.1.4 of the *CDCR Strategic Plan 2007 - 2012* establishes a comprehensive Succession Plan for management. The CDCR Office of Workforce Planning is in the process of performing a gap analysis on a department-wide basis. This information is expected to be available by September 2008 and will be used to prioritize development of a Succession Plan, focusing first on the areas of highest risk. The final plan will include CDCR information technology functions, though the timeframe for inclusion of these functions is not yet established. The EIS plans to partner with the Office of Workforce Planning to speed the development of the IT-portion of the CDCR Succession Plan. By utilizing the tools and expertise available through the Office of Workforce Planning, and performing much of the development work internally, EIS anticipates development of all plan components over the next 12 months.

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 (1)	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 (1)
Class	Class Title			Class	Class Title		
1312	ST INFO SYS AN/SP	136	43	1387	DATA PROC MGR IV	5	3
1337	SR INFO SYS AN/SP	30	16	1393	DATA PROC MGR III	12	9
1360	INFO SYS TC	18	4	1316	ST INFO SYS AN/SUP	18	7
1367	SYS SFTWR S III/TC	3	0	1340	SR. INFO SYS AN/SUP	9	5
1373	SYS SFTWR S II/TC	18	7	1381	DATA PROC MGR I	5	3
1470	AS INFO SYS AN/SP	144	58	1384	DATA PROC MGR II	23	7
1479	A INFO SYS AN	56	13	1559	SYS SFTW SP III/S	3	0
1579	AS PROG ANALYST/SP	18	3	1584	SR PROG ANALYST/SUP	3	1
1581	ST PROG ANALYST/SP	24	14				
1583	SR PROG ANALYST/SP	20	9				
1587	SYS SF SP I/TECH	23	7				
		490	174			78	35
(1) Based on employees age 50 and above							

Appendix D

Project Management, Portfolio Management, and IT Governance

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
 Planned and/or Implementation in progress

If yes, briefly describe it.

Goal 2, Strategy 2.3 of the *CDCR Strategic Plan 2007 – 2012* states, “Centralize and align Information Technology support services.” A subordinate strategic objective, 2.3.2, is titled “IT Service Alignment” and it states, “Align IT services with strategic and operational priorities.” The following describes both current and “in process” activities in support of this strategy and objective.

CDCR strives to maintain open communication between business and technology entities, creating understanding of business needs and ensuring all technology projects provide value to the CDCR mission and program. To that end, CDCR currently employs the following processes:

Current Processes

- The CDCR AIO:
 - Reports directly to the Undersecretary of Administration. The AIO regularly attends meetings with the Undersecretary and his Administration executive peers, as well as, meetings with the Chief of Staff or Secretary and all other CDCR executive and cabinet staff. These meetings provide regular communication regarding the Department’s most critical business needs and priorities. The AIO uses the topics discussed at these meetings as a driver to reach out any program area for which it seems valuable to offer IT assistance – either directly by the AIO or per delegation to the appropriate EIS manager.
 - Attends regular partnership meetings with the California Prison Health Care Receiver’s office, to integrate and coordinate business needs and IT direction for both the Receiver and CDCR. The formal body for this partnership is entitled the Healthcare Information Technology Executive Committee, on which the AIO holds a voting position.
 - Participates on Steering Committees for all CDCR Reportable IT Projects, partnering with business counterparts to make decisions about the direction of those projects.
 - Meets regularly with program managers throughout the Department to discuss program needs and the quality and capacity of current IT services to meet those needs.
 - Participates equally with all other CDCR executives in an annual update of the CDCR Strategic Plan.
- The CDCR CIO and EIS Management Team regularly interact with program managers and staff. The following describes some of these interactions.
 - Regular customer meetings to discuss business needs and IT services – status on existing or requirements for new services.

Project Management, Portfolio Management and IT Governance

- The EIS Application Maintenance and Support Section has been influential in establishing IT Steering Committees with some program areas, especially with the Division of Juvenile Justice (DJJ). EIS and DJJ hold monthly DJJ IT Priority Committee meetings where the customer and EIS discuss the need and prioritization of all DJJ requests for IT services.
- Weekly telephone conferences with IT field support staff and some impacted business partners regarding business needs, priorities and status of IT initiatives.
- The EIS Enterprise Customer Service Center and Client Support Section continues to promote a collaborative IT support model by reaching out to CDCR customers in the field at the institutions and the Sacramento metropolitan area.
- In 2007, the EIS Enterprise Customer Service Center and Client Support Section initiated a service agreement program to further promote and improve customer satisfaction. Service agreements present a mechanism for managing expectations, enhancing communications, clarifying responsibilities, and providing an objective basis for assessing service effectiveness. The service agreement program includes: Service Level Agreements (SLA), Operating Level Agreements (OLA) and Memorandums of Understanding (MOU). To date, EIS has one approved SLA with the Division of Adult Parole Operations and four approved MOU's with DJJ, the Board of Prison Hearings, the Division of Adult Institutions, and the Office of Legal Affairs.
- The EIS is preparing to conduct its third annual CDCR IT Customer Service Survey. This survey solicits feedback throughout the Department regarding the quality of IT customer services. The findings are used to focus areas of improvement.
- The EIS Enterprise Project Management Office (EPMO) maintains regular communication with CDCR program needs in the following ways.
 - The Project Authority unit facilitates the processing of all internal and external (reportable) project requests, ensuring the business needs are clearly articulated and align with strategic business goals, and that proposed solutions align with the Department's enterprise architecture.
 - The Program Project Management Section assists program directors and staff with the reporting of progress on all AB900 Prison Reform initiatives throughout the Department, as well as any other initiatives for which the Secretary requires regular reporting.
 - The Project Oversight managers and staff meet regularly with Technical Project Managers, User Project Managers and Project Sponsors to discuss IT and program project needs and they attend Project Steering Committees, as well.
- As mentioned under the AIO activities above, EIS participates annually in updating the CDCR Strategic Plan, ensuring all IT initiatives align with the Department's business goals. EIS provides monthly updates regarding progress on IT initiatives and meets with other CDCR staff on a quarterly basis to discuss progress across the Department.
- The EIS Application Maintenance and Support Section partners with the Strategic Offender Management System (SOMS) project team, including appropriate business partners to make decisions regarding the change control process required for existing legacy systems, in preparation for SOMS implementation.

Project Management, Portfolio Management and IT Governance

Additionally, CDCR recognizes the need to continuously improve and implement new processes to help better align business and technology. Therefore, CDCR is currently planning and/or implementing the following processes:

Processes in Progress

CDCR Strategic Objective 2.3.2 is comprised of 4 initiatives (projects) intended to “Align IT services with strategic and operational priorities.” Overall, Objective 2.3.2 was developed to create a repository of tactical plans for ensuring that IT best practices and services exist to meet the Department’s mission critical business needs. The overarching project objective statement for these 4 alignment initiatives is: Ensure EIS does the right things (Governance, Oversight, Customer Service), builds the right things (IT services and projects aligned with critical business needs and departmental IT standards), the right way (best practices), and keeps technology running (infrastructure, systems), in support of the CDCR Strategic Plan and business mission. The 4 alignment initiatives are:

- **By 12/31/2008 – Establish a CDCR IT Governance Model.** This initiative exists to implement a department-wide planning process that integrates CDCR business and technology strategic planning to ensure CDCR IT investments support the Department’s business direction. The current “in process” proposal for CDCR IT Governance leverages lessons learned from an earlier effort, has the support of the current CDCR leadership and aligns with the State CIO Integrated IT Governance vision. The proposed model begins with a Proposal Review Board (PRB), within the IT organization, which assesses a number of project components, including: whether or not an appropriate business case exists and/or appropriate business study has been performed, the proposal’s technical feasibility, cost, resource and risk impacts, and a presumed prioritization based on its alignment with the CDCR Strategic Plan and other potential drivers: litigation, legislation, cost savings, etc. The model also includes levels of escalation within the Department, wherever escalation of decision making is appropriate.
- **By 12/31/2008 – Standardize the CDCR IT Project Management Methodology.** The EIS EPMO hired a consultant to help update the existing IT Project Management Methodology (ITPMM) to make it:
 - Scalable, practical, and more useful by all CDCR IT Project stakeholders; and
 - Closely aligned with the OCIO Project Oversight Framework.

The consultant engagement provided a foundation to this methodology; however, the EIS EPMO continues to refine the processes and templates to better meet specific CDCR business practices – and to electronically link its access via each project manager’s key tools – Microsoft Project Server and SharePoint Services. The electronic link will ensure appropriate sections of the methodology are instantly available to all project managers, at the appropriate time of the project life cycle.

The ITPMM is also being designed to be helpful to all PM practitioners throughout the Department – not just IT. Once implemented for IT, the EIS EPMO will publish the methodology for use by all CDCR PM practitioners.

Project Management, Portfolio Management and IT Governance

- **By 12/31/2008 – Develop an IT Service Catalog.** The objective of this initiative is to publish an IT Service Catalog, written in customer terms, documenting significant, currently available services. The project stakeholders have approved a draft template for the enhanced IT Customer Service Catalog. Once the budget is approved, EIS will acquire the resources required to populate the catalog.
- **By 5/31/2009 – Maintain Ongoing 24 Month IT Operational Plans.** This initiative involves publishing IT strategic, operational and tactical plans that are continually updated to align with the CDCR Strategic Plan, the State CIO Strategic Plan and the CDCR AIMS.

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

- Implemented (Please describe)**
 Planned or planning in progress
 Not implemented and not planned
 Implementation in progress (Please describe)

Since the consolidation of the CDCR entities, the Office of Enterprise Information Services has been planning for its Portfolio Management program implementation. The following identifies a number of related efforts to date.

- In 2007, the EIS EPMO enlisted a consultant to develop recommendations for implementing a CDCR specific Project Portfolio Management (PPM) program. The CDCR EIS PPM Framework document was published in June 2007 and recommends the framework and roadmap for developing CDCR IT PPM practices and processes. The recommendations are based on a lessons learned approach, gleaned from the consultant's best practice research and actual third party interviews, conducted with other State entities who were "in process" with their PPM implementation efforts. The CDCR EIS EPMO plans to revisit this framework and use it as a foundation to implement its PPM program, this fiscal year, following the IT Project Management Methodology implementation and the final migration of all project and workload data to its project management/portfolio management tool, Microsoft Project Server.
- The CDCR EIS EPMO has implemented Microsoft Project Server and is in the process of migrating all reportable IT projects, non-reportable projects and all IT maintenance and operations workload to the tool. This fiscal year, when the IT project and workload efforts are fully migrated to Project Server, the EPMO will implement its Portfolio Management methodology and deploy Microsoft will begin reporting portfolio information, internally to EIS to better manage efforts and resources, internally to CDCR for IT Governance purposes and externally to the OCIO, as needed or requested.

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

Project Management, Portfolio Management and IT Governance

For current Portfolio and Project Management:

- Microsoft Project Professional 2007;
- Microsoft Project Server 2007;
- Microsoft Portfolio Server 2007.

For current Performance Analysis and Reporting tools:

- Microsoft SQL Reporting Services (add-on to the MS SQL Server database);
- Microsoft SQL Analysis Services (add-on to the MS SQL Server database).

From a current PPM Collaboration and Workflow perspective:

- SharePoint 2007 (MOSS 2007).

Other currently used products in containment and headed for retirement for Project Management:

- EPM.

Future Performance Analysis and Reporting tools include the use of one or both of:

- Cognos;
- Microsoft PerformancePoint 2007.

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

The EIS EP MO hired a consultant to help update the existing IT Project Management Methodology (ITPMM) to make it:

- Scalable, practical, and more useful by all CDCR IT Project stakeholders; and
- Closely aligned with the OCIO Project Oversight Framework.

The consultant engagement provided a foundation to this methodology; however, the EIS EP MO continues to refine the processes and templates to better meet specific CDCR business practices – and to electronically link its access via each project manager’s key tools – Microsoft Project Server and SharePoint Services. The electronic link will ensure appropriate sections of the methodology are instantly available to all project managers, at the appropriate time of the project life cycle.

This past year, EIS implemented three major project management templates/tools. These templates have proven to be very useful in both managing and overseeing each CDCR reportable IT project.

1. The Project Cost Tracking Workbook. This Microsoft Excel workbook provides a common, structured format where project managers can forecast planned expenditures, track actual project expenditures, identify project expenditure trends, and determine a project’s fiscal health at any point in time.

Project Management, Portfolio Management and IT Governance

2. Standardized Issue Template, using SharePoint technology. The Issue Template, using SharePoint technology, provides a common, structured format and repository where project managers maintain and prioritize project issues, track issue resolution activities, and report on issue status at any point in time.
3. Standardized Risk Template, also using SharePoint technology. The Risk Template, also using SharePoint technology, provides a repository and standardized format (compliant with OCIO IT Project Oversight Framework) for project managers to maintain and prioritize project risks, analyze risk impacts to the project, develop and track mitigation and contingency plans, and report on risk status at any point in time.

Note: The ITPMM is also being designed to assist all PM practitioners throughout the Department – not just IT. Once implemented for IT, the EIS EPMO will publish the methodology for use by anyone who needs a structured set of PM processes and templates, throughout the Department.

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** – for outside consultants hired as a Technical Project Manager
- PMI**
 - ITIL**
 - Agency-specified project management coursework (identify below)**
- No** – for CDCR staff assigned as project managers; however PM training and certification is encouraged and supported. The certification vehicle is not specified for State staff. A longer educational experience, such as certification via an accredited educational entity is preferred, though all PMI supported certification is appreciated.

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)**
 - MS Project Professional
 - MS Project Server
- Project Performance Management (e.g., Earned Value Management)**
- Business Process Analysis**
- Requirements Traceability**
- Procurement/Contracts Management**
- Other (identify below)**
 - How to Gather and Document Business Requirements (optional but encouraged)

Project Management, Portfolio Management and IT Governance

None

NOTE: CDCR recommends the above training classes for all IT staff, including project managers. Although CDCR does not require its project managers to receive the above training courses, CDCR chooses and assigns project managers to projects based on their experience, knowledge, education, and qualifications.

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

CDCR utilizes Executive Steering Committees to provide project-level governance. Typically, the roles and responsibilities of an Executive Steering Committee include:

- Provide executive leadership;
- Ensure resource availability;
- Monitor project progress;
- Assist the Project Sponsor as needed;
- Remove obstacles and resolves issues impacting the project;
- Review and consider change requests elevated by the Project Sponsor;
- Conduct “go/no go” reviews at various points during the project lifecycle, which result in decisions for continuing to the next phase.

Additionally, the “in process” CDCR IT Project Management Methodology (ITPMM) describes processes for change management, issue resolution, and problem escalation. For instance, the change management process requires project managers to:

- Identify, track, evaluate, and manage project changes in a structured manner;
- Document all change requests on a standard Change Control Request form;
- Analyze all change requests for impact to the project’s scope, schedule, and costs;
- Establish a Project Change Control Board;
- Review and approve or reject all change requests submitted for consideration;
- Maintain a log of all project changes documented and analyzed;
- Elevate any change request with a significant impact to scope, schedule, or cost to the CCB for consideration and approval.

For issue resolution and problem escalation, the CDCR ITPMM requires project managers to:

- Complete monthly status reports for submission to executive management; the reports include the status of all open issues;
- Maintain an Issue/Action log, identifying the status of the issue and the action planned to address the issue;
- Elevate problems requiring executive intervention to the Executive Steering Committee.

Project Management, Portfolio Management and IT Governance**D.8. Does the project management methodology include processes for documenting lessons-learned and applying these to future projects?**

- Yes (Please describe)**
 No

The “in process” CDCR IT Project Management Methodology (ITPMM) addresses the full lessons learned practice within the Closeout Process. Additionally, it references those lessons learned practices and recommends that they be employed between project phases and whenever a significant project issue is resolved. Specifically, the methodology requires project managers to:

- Conduct a lessons learned review meeting with the project team and stakeholders at the conclusion of the project – and each project phase;
- Review all project change requests to identify lessons learned;
- Document all lessons learned identified;
- Store lessons learned documentation in the project file, located in the project library – whether hard copy or automated, preferably automated.

Additionally, the CDCR Chief of Enterprise Projects conducts monthly roundtable meetings, where project managers share their lessons learned.

Ultimately, CDCR will store lessons learned documentation on a SharePoint site, which all project teams can access for reference.