



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

**Department Name**

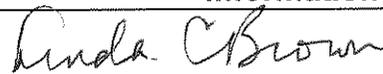
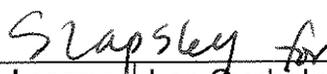
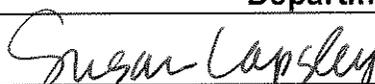
OFFICE OF ADMINISTRATIVE LAW

**APPROVAL SIGNATURES**

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

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

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

Chief Information Officer		Date Signed
		9/30/08
Printed name:	Linda C. Brown	
Information Security Officer		Date Signed
		9/30/08
Printed name:	Linda C. Brown	
Budget Officer		Date Signed
		9/30/08
Printed name:	Les Ouchida	
Department Director		Date Signed
		9/30/08
Printed name:	Susan Lapsley	

# **Information Technology Capital Plan**

## **Department IT Capital Plan**



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

**Department Name**

OFFICE OF ADMINISTRATIVE LAW

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<b>Chief Information Officer</b>		<b>Date Signed</b>
<b>Printed name:</b> Linda C. Brown		
<b>Information Security Officer</b>		<b>Date Signed</b>
<b>Printed name:</b> Linda C. Brown		
<b>Budget Officer</b>		<b>Date Signed</b>
<b>Printed name:</b> Les Ouchida		
<b>Department Director</b>		<b>Date Signed</b>
<b>Printed name:</b> Susan Lapsley		

## DEPARTMENT IT CAPITAL PLAN

Department Name and Org Code:

OFFICE OF ADMINISTRATIVE LAW 8910

Plan Year:

2009-10 through 2013-14

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

#### Mission Statement

The Office of Administrative Law is a very small agency with 21 employees, 14 of whom are attorneys. OAL is responsible for reviewing administrative regulations proposed by over 200 state regulatory agencies for compliance with standards set forth in California's Administrative Procedure Act, for transmitting these regulations to the Secretary of State, and for publishing regulations in the California Code of Regulations. The Office assists state regulatory agencies through a formal training program, as well as through less formal methods, to understand and comply with the Administrative Procedure Act. Through its Reference Attorney service, the office provides direct legal advice to state agencies and members of the public regarding California rulemaking law.

In response to petitions by interested persons, the Office evaluates whether rules being used by state agencies constitute underground regulations which have not been properly adopted pursuant to the requirements of the Administrative Procedure Act and issues formal determinations reflecting those evaluations.

The Office oversees the publication and distribution, in print and on the Internet, of the California Code of Regulations and the California Regulatory Notice Register.

DEPARTMENT AUTHORITY: Government Code Sections 11340-11365.

### 2. What are your organization's plans to upgrade or replace your IT infrastructure for the following? When responding, please indicate the timeframes of your intended upgrade or replacement efforts.

- 2.1. **Hardware:** OAL purchased new desktop computers in Spring 2006. Lifespan of PC's and monitors is estimated to be 3-4 years; if funding is available, we plan to replace these hardware items by Spring 2010. OAL replaced its switches in 2006 and does not have a timeframe for switch upgrade or replacement. OAL leases its router from DTS and DTS is responsible for upgrade or replacement of the router.
- 2.2. **Software:** OAL replaced its outmoded legacy database (LEO) in calendar 2007 with a customized version of the off-the-shelf law office management software product LegalEdge. OAL upgraded to MS Office 2007 in Spring 2008. Future software will be acquired or upgraded as needed and depending on availability of funding.
- 2.3. **Network:** OAL eliminated all on-site servers and migrated its applications to DTS Server-Based Computing Services environment in 2005-2006. OAL upgraded to a fiber optic network connection in Summer 2007. Network connections will be upgraded or replaced as needed and depending on availability of funding.

3. Existing Approved Reportable IT Projects: **NO REPORTABLE APPROVED IT PROJECT**

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 **NO REPORTABLE PROPOSED IT PROJECT**

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
<b>NO REPORTABLE IT PROJECT</b>			

\***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
<b>NO REPORTABLE PROPOSED IT PROJECT</b>			

**PROPOSED IT PROJECTS: NO REPORTABLE PROPOSED IT PROJECT**

Complete this IT Project Proposal Form (questions 4.1 though 4.15 below) for each proposed IT project that meets the definition of a reportable project as defined in the State Administrative Manual Section 4819.37:

- 4.1. Proposal name and priority ranking: **Not Applicable**
- 4.2. Description of the proposed IT project: **Not Applicable**
- 4.3. Which of your department's business goals and objectives does this project support, and how? **Not Applicable**
- 4.4. What are the expected business outcomes or benefits of the proposal as they relate to your organization's business goals and objectives? **Not Applicable**
- 4.5. The following are from the State's IT strategic plan. Check the appropriate box(es) to identify the goals this proposal supports: **Not Applicable**
- 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?  
**Not Applicable**
- 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? **Not Applicable**
- Yes  
 No
- 4.8. If this proposal is conceptually approved, what is the estimated date (mm/yyyy) the FSR will be submitted? **Not Applicable**
- 4.9. What is the estimated project start date (mm/yyyy) if the FSR is approved? **Not Applicable**
- 4.10. What is the duration of the proposed project? **Not Applicable**

4.11. Will the proposed project utilize the existing infrastructure? **Not Applicable**

- Yes
- No

If no, please explain.

4.12. Is the proposal related to another proposal or to an existing project? **Not Applicable**

- 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: **Not Applicable**

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

**Not Applicable**

- 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):

**Not applicable**

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

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

Enterprise Architecture

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

- Yes
- No\*

\*OAL is a small agency with 21 full-time employees, 14 of whom are attorneys. Because of OAL's size and structure, OAL's procedures for its functions are well-established but are generally less formal than procedures utilized at larger agencies. In the event of a need to undertake an information technology project, the Director of OAL or if unavailable, the Deputy Director of OAL, will assess the situation, and determine how to proceed in compliance with all statutory and regulatory requirements.

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

**Table A-1, Enterprise Architecture Completion Status**

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

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

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

- Yes
- No\*

\*Questions may be referred to Linda C. Brown, Deputy Director at (916) 323-8915 or [lbrown@oal.ca.gov](mailto:lbrown@oal.ca.gov)

Name: \_\_\_\_\_

Classification: \_\_\_\_\_

Telephone Number: \_\_\_\_\_ E-Mail: \_\_\_\_\_

## Information Security

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

The Deputy Director of OAL serves as ISO and the Assistant Chief Counsel serves as back-up ISO. OAL is a small agency with 21 full-time employees, 14 of whom are attorneys. Because of OAL's size and structure, OAL's procedures for its functions are well-established but are generally less formal than procedures utilized at larger agencies. OAL works closely with DTS on proposed project development efforts.

### **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?**

OAL's computer usage and internet access policy establishes standards and guidelines to ensure appropriate use of the state's property and information. OAL does not maintain confidential personal information such as social security numbers in its database. OAL contracts with the state Department of Technology Services to provide a secure computing environment, back up services, and information asset protection.

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

- Yes  
 No

If no, please explain.

Not applicable

### **B.4. How does your department ensure that software developers and programmers follow standards and best practices for Web, application, and system development?**

OAL contracts with the state Department of Technology Services to provide a secure computing environment, back up services, and information asset protection.

### **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:** Linda C. Brown

**Classification:** Deputy Director

**Telephone Number:** (916) 323-8915 **E-Mail:** [lbrown@oal.ca.gov](mailto:lbrown@oal.ca.gov)

**Workforce Development, Workforce Planning and Succession Planning**

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

- Yes
- No\*

\*OAL does not have IT staff. OAL contracts with DTS for computer network services and with a private vendor for on-site tech support and hardware support.

**If yes, briefly describe it.**

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

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

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

- Yes
- No\*

\*OAL does not have IT staff. OAL contracts with DTS for computer network services and with a private vendor for on-site tech support and hardware support.

**If yes, briefly describe it.**

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

- Yes
- No\*

\*OAL does not have IT staff. OAL contracts with DTS for computer network services and with a private vendor for on-site tech support and hardware support.

**If yes, briefly describe it.**

**C.5. IT Staffing**

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

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

Table C-1 — IT Staffing

IT Rank and File Staff Classification	Number of IT Rank and File Staff in Classification	Number of IT Rank and File Staff in Classification Eligible to Retire in Next 5 Years	IT Management Staff Classification	Number of IT Management Staff in Classification	Number of IT Management Staff in Classification Eligible to Retire in Next 5 Years
See <b>NOTE</b> below					

**NOTE:** \*OAL does not have IT staff. OAL contracts with DTS for computer network services and with a private vendor for on-site tech support and hardware support.

## 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

\*OAL is a small agency with 21 full-time employees, 14 of whom are attorneys. Because of OAL's size and structure, OAL's procedures for its functions are well-established but are generally less formal than procedures utilized at larger agencies. In the event of a need to undertake an information technology project, the Director of OAL or if unavailable, the Deputy Director of OAL, will assess the situation, and determine how to proceed in compliance with all statutory and regulatory requirements  
**If yes, briefly describe it.**

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

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

\*OAL is a small agency with 21 full-time employees, 14 of whom are attorneys. Because of OAL's size and structure, OAL's procedures for its functions are well-established but are generally less formal than procedures utilized at larger agencies. In the event of a need to undertake a formal portfolio management methodology for an information technology project, the Director of OAL or if unavailable, the Deputy Director of OAL, will assess the situation, and determine how to proceed in compliance with all statutory and regulatory requirements.

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

None

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

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

\*OAL is a small agency with 21 full-time employees, 14 of whom are attorneys. Because of OAL's size and structure, OAL's procedures for its functions are well-established but are generally less formal than procedures utilized at larger agencies. In the event of a need to undertake a standard project management methodology for an information technology project, the Director of OAL or if unavailable, the Deputy Director of OAL, will assess the situation, and determine how to proceed in compliance with all statutory and regulatory requirements.

### Project Management, Portfolio Management and IT Governance

**D.5. Does the organization require its project managers to be certified, either through a professional organization (e.g., PMI, ITIL) and/or through completion of specified project management coursework:**

- Yes
- PMI
  - ITIL
  - Agency-specified project management coursework (identify below)

**No\***

\*OAL has no IT staff and no IT project managers other than the Director and Deputy Director.

**D.6. Select from the list other areas of training your organization requires of its project managers: **Not applicable, OAL has no IT staff****

- Fundamental Project Management
- Systems Development Life Cycle
- Scheduling tool (identify below)
- 
- 
- 
- Project Performance Management (e.g., Earned Value Management)
- Business Process Analysis
- Requirements Traceability
- Procurement/Contracts Management
- Other (identify below)
- 
- 
- 
- None

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

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**D.8. Does the project management methodology include processes for documenting lessons-learned and applying these to future projects? **Not applicable****

Yes (Please describe)

No