

**California Department of Social Services**

**Information Technology Capital Plan**

**Department IT Capital Plan**



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

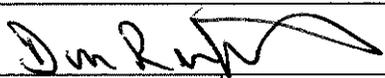
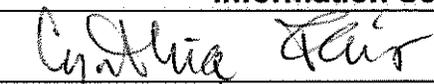
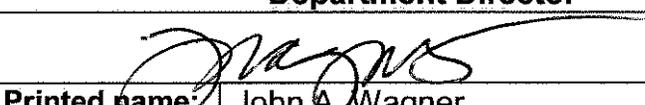
Department Name

## 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
	8/27/08
Printed name: Cal Rogers	
Information Security Officer	Date Signed
	8/27/08
Printed name: Cynthia Fair	
Budget Officer	Date Signed
	8/27/08
Printed name: Donna Richardson	
Department Director	Date Signed
	8/28/08
Printed name: John A. Wagner	

## DEPARTMENT IT CAPITAL PLAN

Department Name and Org Code:

Department of Social Services - 5180

Plan Year:

2009-10 through 2013-14

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

1. **Report Cards** (statewide data on program performance)  
Increasing transparency in outcomes to assess statewide performance measures, with the goal of better targeting resources to areas most needed
2. **Food Stamp Access**  
Recognizing the importance of nutrition and adequate food, increasing access to this important nutritional benefit
3. **Workforce Development**  
Planning to ensure CDSS is able to meet its and the public's future needs, making us an employer of choice, proactively addressing our higher rates of impending retirements, and making CDSS the best DSS in the country
4. **Increasing Access to Employment (including Work Participation Rates (WPRs))**  
CDSS is about building self-sufficiency and alleviating poverty. In order to perform our mission, we must actively seek ways to increase access to important resources for the populations we serve; for many, this will be through employment as well as other supports
5. **Safety (including Licensing) and Well-Being**  
We seek to improve the lives of all of those who come to us. Regardless of the programs and resources, our fundamental obligation is to ensure safety and well-being while under our care and/or custody
6. **Program Integrity**  
In addition to our responsibility to the families and individuals we serve, we also serve the taxpayer. We strive to ensure that only those eligible for our programs and services have access to them. Program integrity is also in the best interests of our clients so the public knows our resources are going towards those intended to receive them, in as an efficient manner as possible

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

**2.1. Hardware**

The CDSS supports a total of 150 servers statewide, 50 servers at headquarters and 100 at field offices. In addition, CDSS supports 300 switches statewide, 40 at headquarters and 260 in field offices. CDSS has hardware refresh schedules for PC servers, major peripherals and network equipment located at headquarters and at 35 sites statewide. PC servers are refreshed every 36 months. Network equipment is refreshed every 60 months. This equipment may also be replaced when a particular model is no longer supported by the manufacturer; or supported by a hardware maintenance support vendor; or cannot support a service or technology that is to be implemented.

**Year 08-09**

65 PC Servers  
78 Ethernet switches  
50 Firewall appliances  
20 Uninterruptible Power Supplies

**Year 09-10**

50 PC Servers  
30 Ethernet switches  
20 Uninterruptible Power Supplies  
8 LTO4 tape libraries

**Year 10-11**

50 PC Servers  
30 Ethernet switches  
20 Uninterruptible Power Supplies  
8 LTO4 tape libraries

**Year 11-12**

50 PC Servers  
30 Ethernet switches  
20 Uninterruptible Power Supplies

**Year 12-13**

50 PC Servers  
30 Ethernet switches  
20 Uninterruptible Power Supplies

## **Year 13-14**

50 PC Servers  
30 Ethernet switches  
50 Firewall appliances  
20 Uninterruptible Power Supplies

### **2.2. Software**

CDSS, Information Systems Division provides network services and resources that comprise the Departments network called the DSSnet. Example services and resources: Active Directory, Dynamic Host Configuration Protocol (DHCP), Domain Name Service (DNS), File and Print, SharePoint, Microsoft Office, Systems Management Server (SMS), Symantec Antivirus, Encryption, Intranet, Internet, Extranet and web services, Lotus Notes/Domino, back-up and restore services and PC server and desktop operating systems.

These applications require upgrades or replacement due to no longer being supported by their manufacturers. New software is introduced to provide new services.

The Department currently utilizes Symantec Corporation for its security software (anti-virus for desktops, laptops and servers). They recently developed a new, comprehensive solution called Endpoint Protection which combines network access and threat protection into a single product. Because the Department pays for yearly software maintenance, it has upgrade rights to Endpoint Protection. The Department will implement Symantec Endpoint Protection and enable network access control preventing unauthorized internal access and provide for the future of telecommuting.

In the near future, the CDSS will need to either install its own firewall devices or contract with the DTS for the service. Current firewall devices include not only secure web access but web monitoring/filtering, traffic shaping, etc. To prevent unauthorized access from outside the CDSS network, the Department will implement the Fortinet Unified Threat Management Solution.

In the area of security, we will implement a device control module to existing software, Guardian Edge. The software secures data by managing the devices to which the data may or may not be transferred.

## **Year 8-9**

SQL Server 2005-upgrade service  
Symantec Antivirus-upgrade service  
Hard Disk Encryption-upgrade service  
What's Up Gold-upgrade service  
Fortinet web security, antivirus, network protocol analyzer-new service  
Veritas NetBackup PureDisk-disk to disk backup - upgrade service  
VM Ware – new service

**Year 9-10**

HP Openview-upgrade service  
SMS-upgrade service

**Year 10-11**

Windows Server 2008 Enterprise Edition-upgrade OS

**Year 11-12**

CDSS has not completed the planning process for insuring that software purchases/rollouts for this SFY align IT with the business.

**Year 12-13**

CDSS has not completed the planning process for insuring that software purchases/rollouts for this SFY align IT with the business.

**2.3. Network**

CDSS Wide Area Network (WAN) services are procured via an Inter-Agency Agreement with the Department of Technology Services (DTS). CDSS consumes a variety of network services from the DTS to include T1, Dial-up, Virtual Private Network (VPN) and OPT-E-MAN network services.

**Year 8-9**

8 offices - Convert T1 to OPT-E-MAN

**Year 9-10**

8 offices - Convert T1 to OPT-E-MAN

**Year 10-11**

8 offices - Convert T1 to OPT-E-MAN

**Year 11-12**

8 offices - Convert T1 to OPT-E-MAN

**Year 12-13**

CDSS has not completed the planning process for insuring infrastructure purchases/rollouts for this SFY align IT with the business.

**3. Existing Approved Reportable IT Projects**

**Table 1-Existing Approved Reportable IT Projects Summary by Department**

<b>Existing IT Project</b>	<b>Approved Project Cost*</b>	<b>Project Number</b>	<b>Implementation Date</b>
Office Buildings 8 and 9 IT Renovation Project	\$10,806,064	5180-152	July 2007 – June 2009
CWS/Web Replacement for the Child Welfare Services /Case Management System (CWS/CMS)	\$254,000,000	0530-208	July 2006 – October 2013
Community Care Licensing (CCL) Licensing Reform Automation Project	\$4,023,493	5180-150	July 1, 2008 – June 30, 2010
Case Management, Information and Payrolling System II	\$325,000,000	4130-141	April 1, 2000 - June 30, 2018
Statewide Automated Welfare System (SAWS) Project LEADER Replacement System Project	\$4,619,931- planning costs only	0530-200	July 2005 – July 2009
SAWS Project Interim Statewide Automated Welfare System (ISAWS) Consortium Migration Project	\$222,698,397	0530-205	July 2006 – October 2011
Electronic Benefits Transfer (EBT) Project Re-Procurement	\$168,000,000	0530-204	2005/06 - 2017
CWS/CMS: Maintenance & Operations Plan	\$41,478,000 (FY 08-09 State Share Only)	4130-202	January 2006 - July 2013
Research and Development Enterprise Project (RADEP) Phase I	\$1,671,645	2003-137	September 29, 2005 - October 1, 2007
County Expense Claim Reporting Information System (CECRIS)	\$3,356,678	5180-153	July 2009 – January 2012

**\*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**

<b>Proposed IT Project</b>	<b>Priority Ranking</b>	<b>FSR Submission Date</b>	<b>Estimated Total Cost</b>
CalWORKs Business Analytics and Reporting System (CBARS)	<b>1</b>	August 2008	\$12,820,048
CCLD - Special Project Report - Licensing Reform Automation Project (LRAP)	<b>2</b>	July 2008	\$2,799,288
Registered Sex Offender Address Match System (RAMS)	<b>3</b>	August 2008 **	\$1,422,000
Adoptions Files Conversion Project (AFC)	<b>4</b>	July 2008	\$6,464,428

\*\*FSRER

#### **4. PROPOSED IT PROJECTS**

##### **CalWORKS Business Analytics and Reporting System, Rank 1**

###### **Description of the proposed IT project**

The CDSS proposes to implement a business analytics and reporting (BAR) system that will provide the department with timely and user-friendly access to information about the California Work Opportunity and Respect for Kids (CalWORKs) program's business metrics (e.g., Work Participation Rates), county progress and potential problem areas, and provide the ability to share more timely, complete, and reliable data with stakeholders.

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

This project supports Goal 4, Increasing Access to Employment (including WPRs). This effort will provide CDSS with the necessary data and information to make more informed decisions on where to focus attention and resources to result in the best possible program outcomes children and families.

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

Good decisions depend on good information. BAR tools can assist organizations in acquiring that information by bridging the gap between the information that decision makers require and the vast amounts of CalWORKs program data that the county consortia automated welfare systems store, as well as data stored in county ancillary systems that track activities such as work participation.

###### **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**

###### **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.**

Currently, our department does not have an Enterprise Architecture governance structure in place to review and approve our enterprise architecture; however, efforts to develop an Enterprise Architecture implementation plan are underway.

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

- Yes  
 No

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

09/2008

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

09/2009

**What is the duration of the proposed project?**

40 Months

**Will the proposed project utilize the existing infrastructure?**

- Yes  
 No

**If no, please explain.**

The CDSS proposes acquiring a business analytics and reporting tool that will leverage proven technology to access and manipulate the extensive welfare case data currently stored in the county consortia systems. The solution will require the procurement of commercial off-the-shelf software products, system integration services, training, and hardware that best meet the business objectives and the functional and technical requirements presented in this document. The production solution may be hosted at the DTS and accessed by CDSS staff via CDSS workstations.

**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:**

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

The State is at significant risk for incurring federal penalties and increased maintenance of effort payments of at least \$330 million per year if federally mandated Temporary Assistance to Needy Families (TANF) work participation rates (WPR) are not met. The business analytics and reporting tool will assist the department in obtaining timely county data allowing the department to assist counties in meeting the WPR and to make any mid course policy corrections if necessary. The county welfare departments capture and store welfare client and program data in the Statewide Automated Welfare System (SAWS), which

consists of four disparate county-managed systems. Despite the fact the four consortia systems are part of a statewide system, the State does not have timely access to the counties' data. CalWORKs data is currently piecemealed from a variety of sources. State aggregated CalWORKs data reported by the counties is generally six to nine months old when received by CDSS, and disaggregated client demographic data is obtained on a sample basis (the sample size for computing the state's TANF work participation rate is such that it is not valid until year end) or through ad hoc reports from a few counties that is extrapolated statewide. The lack of timely county data makes it extremely difficult, if not impossible, to make mid-course corrections in program policies or procedures or to provide technical assistance to the counties in a timely manner to make an impact on program outcomes.

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

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

<b>Fund Source</b>	<b>2009-10</b>	<b>2010-11</b>	<b>2011-12</b>	<b>2012-13</b>	<b>2013-14 and future</b>	<b>Total</b>
<b>General Fund</b>	0	0	0	0	0	0
<b>Redirection</b>	208,457	278,941	312,437	44,208	0	844,043
<b>Federal Fund</b>	1,392,661	3,807,478	5,721,776	1,054,091	0	11,976,006
<b>Special Fund*</b>	0	0	0	0	0	
<b>Total</b>	1,601,118	4,086,419	6,034,213	1,098,299	0	12,820,049

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

## **CCLD - Special Project Report (SPR)- Licensing Reform Automation Project, Rank 2**

### **Description of the proposed IT project**

The deliverables in this project were a part of the original FSR; however, because of the State's ongoing fiscal constraints they were removed to reduce project costs. This project is a two year effort that will overlap with the currently approved project by one year (Phase I – July 1, 2008 to June 30, 2010; SPR timeframe July 1, 2009 to June 30, 2011). The Feasibility Study Report (FSR) addressed the need to enhance the existing Field Automation System to correct problems identified in the May 2006 Bureau of State Audits Report and enable the CCLD to perform essential health and safety oversight roles. It also sets the foundation for future publishing of licensing information on the web.

There is a very strong interest by the Legislature and stakeholders to publish licensing information to the web. This SPR will add a component to the Project that will provide for the publishing of compliance history and civil penalty information for CCLD facilities to the public via the internet.

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

This project supports Goal 5, Safety (including Licensing) and Well-Being. The project addresses safety concerns raised by various stakeholders and allows the CDSS to better accomplish its mission of protecting the vulnerable children and adults receiving care in California's community care facilities.

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

The main focus of this effort is to reinvest in the Field Automation System which is the primary workflow component for CCLD and where the majority of the source documents are created and maintained. Significant improvements can be made to make the information easier for consumers as well as licensees to understand. By providing this information stakeholders/consumers can make more informed choices regarding their community care options.

**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

**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.**

Currently, our department does not have an Enterprise Architecture governance structure in place to review and approve our enterprise architecture; however, efforts to develop an Enterprise Architecture implementation plan are underway.

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

- Yes
- No

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

07/2008

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

07/2009

**What is the duration of the proposed project?**

24 Months

**Will the proposed project utilize the existing infrastructure?**

- Yes  
 No

If no, please explain.

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

- Yes  
 No

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

This project increases the functionality of the approved CCLD Licensing Reform Automation Project (Project # 5180-150).

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

Stakeholders will not have easy access to information needed to make critical decisions about care options for children and adults.

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

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

<b>Fund Source</b>	<b>2009-10</b>	<b>2010-11</b>	<b>2011-12</b>	<b>2012-13</b>	<b>2013-14 and future</b>	<b>Total</b>
<b>General Fund</b>	1,086,257	1,311,000	0	0	0	2,448,110
<b>Redirection</b>	0	0	0	0	0	0
<b>Federal Fund</b>	114,433	138,000	0	0	0	257,899
<b>Special Fund*</b>	41,389	50,000	0	0	0	93,279
<b>Total</b>	1,242,079	1,499,000	0	0	0	2,799,288

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

## Registered Sex Offender Address Match System (RAMS), Rank 3

### Description of the proposed IT project

CCLD will implement a comprehensive plan to minimize the risk of predictable and preventable harm to vulnerable children and adults in community care settings.

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

This project supports Goal 5, Safety (including Licensing) and Well-Being. The project addresses safety concerns raised by various stakeholders and allows the CDSS to better accomplish its mission of protecting the vulnerable children and adults receiving care in California's community care facilities.

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

This project will put in place a system to identify any registered sex offender illegally residing in a community care setting. Whenever a RSO is found to be illegally residing in a care setting, they will be required to immediately leave the facility and legal action pursued against the licensee. This would typically result in the suspension or revocation in their license. Another feature involves making this information available to law enforcement, parole officers and other placement agencies; this will help prevent inappropriate RSO placements in or near our homes and facilities.

### 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

### 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.

Currently, our department does not have an Enterprise Architecture governance structure in place to review and approve our enterprise architecture; however, efforts to develop an Enterprise Architecture implementation plan are underway.

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

- Yes  
 No

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

08/2008

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

07/2009

**What is the duration of the proposed project?**

24 Months

**Will the proposed project utilize the existing infrastructure?**

- Yes  
 No

If no, please explain.

**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:**

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

The safety and wellbeing of vulnerable children and adults residing in community care facilities could be compromised by the inappropriate presence of a Registered Sex Offender in a state-licensed facility.

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

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

Fund Source	2009-10	2010-11	2011-12	2012-13	2013-14 and future	Total
General Fund	1,271,000	831,000	831,000	831,000	831,000	1,271,000
Redirection	0	0	0	0	0	0
Federal Fund	151,000	70,000	70,000	70,000	70,000	151,000
Special Fund*	0	0	0	0	0	0
<b>Total</b>	<b>1,422,000</b>	<b>901,000</b>	<b>901,000</b>	<b>901,000</b>	<b>901,000</b>	<b>1,422,000</b>

## Adoptions Files Conversion, Rank 4:

### Description of the proposed IT project:

This project seeks to protect and secure adoption case files stored/archived by CDSS that are vulnerable to inefficient storage and retrieval processes resulting in delays in responding to information requests; risk of loss from wear, flood, fire, or other disasters; and, security violations where data is accessible to unauthorized users.

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

This project supports Goal 1, Report Cards; Goal 5, Safety (including Licensing) and Well-Being; and Goal 6, Program Integrity. By improving the protection, storage and retrieval of these highly sensitive documents, the CDSS insures improved customer service.

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

The increased efficiency and improvement in adoption case request processing will provide better customer service, the proposed solution will reduce the time to process requests to within the 20 day mandated timeline; decrease time and effort associated with redacting confidential information; reduce effort associated with locating case files; provide instant access to adoption information and allow case files to be updated instantly; and, reduce physical handling of files.

### 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

### 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.

Currently, our department does not have an Enterprise Architecture governance structure in place to review and approve our enterprise architecture; however, efforts to develop an Enterprise Architecture implementation plan are underway.

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

Yes

No

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

08/2008

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

10/2009

**What is the duration of the proposed project?**

32 Months

**Will the proposed project utilize the existing infrastructure?**

Yes

No

**If no, please explain.**

The CDSS proposes acquiring the services of a vendor to convert all existing paper files to electronic images and implement a system for indexing and retrieval, incorporating Master Adoption Index (MAI) functionality. The production solution will be hosted at the DTS and accessed by CDSS staff via CDSS workstations.

**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:**

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

All Children and Family Services Division (CFSD) adoption case files, which are kept in hard copy format, will remain unsecure and unprotected until an imaging solution is implemented.

Title 22 of the California Code of Regulations, Division 2, Section 35049 states that all adoption case files must be kept confidential. CFSD will not be in compliance with this code since paper documents cannot be fully secured. Adoptive parents and children will be at risk should confidential, sensitive or personal information be breached. CFSD will not be able to meet the conditions of Family Code 9200-9206 and Civil Code Section 1798.24 (q and r) which assures clients that their personal information is kept safe and confidential.

CFSD keeps adoption case files dating back to 1927. Many of the documents stored and maintained by CFSD are fragile and deteriorating. Without the implementation of an imaging solution, the protection of the paper documents will continue to be an issue. Destruction and loss of documents will put adoptive parents and children at risk since their adoption case information (which includes vital medical history) will no longer be available. There are adoption case files and indexes to these files that have no backup and cannot be recreated. Destruction and loss of case file documents can jeopardize the success of both past and future adoptions.

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

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

<b>Fund Source</b>	<b>2009-10</b>	<b>2010-11</b>	<b>2011-12</b>	<b>2012-13</b>	<b>2013-14 and future</b>	<b>Total</b>
<b>General Fund</b>		1,180,875	1,244,628	386,798		2,812,301
<b>Redirection</b>	302,988	52,639	223,095	261,104		839,826
<b>Federal Fund</b>		1,180,875	1,244,628	386,798		2,812,301
<b>Special Fund*</b>						
<b>Total</b>	302,988	2,414,389	2,712,351	1,034,700		6,464,428

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

**Enterprise Architecture**

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

- Yes
- No

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

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

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

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

Currently, our department does not have an Enterprise Architecture governance structure in place to review and approve our enterprise architecture; however, efforts to develop an Enterprise Architecture implementation plan are underway. We are directly working with the CHHS to leverage Agency Enterprise Architecture developments and OSI enterprise architecture best practices. We have plans to establish a Department Enterprise Architecture Steering Committee with a cross section of business and IT representatives that includes the Chief Deputy, Program Deputies and the ISO, and project the following levels of Enterprise Architecture governance at a minimum:

- Department Enterprise Architecture Steering Committee responsible for department-level governance review and approval of IT investments, policy, procedure, guiding principles, and reference models in accordance with the department business strategy.

This structure follows the projected CHHS Agency Enterprise Architecture strategy, with the CIO at the head of the department’s decision-making structure, and department workgroups, in subordinate roles, actively evaluating enterprise-wide operational policies and procedures to be forwarded to the CIO for approval.

**Enterprise Architecture**

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

**Yes**

**No**

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

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

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

## Information Security

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

To protect information assets and the public's right to privacy, and to reduce costs, CDSS ensures that Information Technology (IT) security and risk considerations are addressed up-front in IT projects. System requirements for information security and the processes for implementing security will be integrated in the early stages of the information system development life cycle and at the onset of any IT-related project. CDSS' Information Security Program includes use of established policies and implementation of identified protections to manage privacy and security vulnerabilities across the enterprise.

The ISO leads the Information Security Program and is responsible for the development and implementation of the Information Security Program. The CDSS Director grants the ISO unrestricted access to all departmental organizations, automated systems, records, activities, property, and personnel when performing information security risk assessments and investigations. The ISO is part of the review and approval process for FSRs, contracts, and project validations to verify that the necessary information security considerations and risk management provisions are included.

For CDSS Projects managed by the Health and Human Services Agency, Office of Systems Integration (OSI), the OSI Information Security Office will work in conjunction with CDSS and be responsible for incident reporting as a result of any project related security incidents. The OSI Information Security Office will also coordinate with the CDSS Information Security Office on review and oversight for project security.

Future projects include development of a risk management program, planning for business continuity, automation of the incident reporting process, use of security scanning, and development of security awareness training.

### **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?**

Pursuant to State policy, CDSS management must ensure that its information assets are properly secured. The goal of the CDSS Information Security Program is to preserve the availability of CDSS information assets and protect them from unauthorized access, modification, destruction, or disclosure. Improper disclosure of information can be the source of legal liability and cause substantial harm to CDSS and its customers and clients. Unauthorized changes to the information can damage the ability of CDSS to accomplish its mission.

Decisions on updating information security policies are approved by departmental management via the Information Technology Governance Committee (ITGC). The ITGC is an executive level committee providing approval and guidance, as necessary, on information technology issues.

## Information Security

The Information Technology Governance Committee (ITGC) has adopted the following IT principles to ensure the most efficient and effective use of IT in the CDSS:

- CDSS will adhere to State Administrative Manual (SAM) and State Information Management Manual (SIMM) requirements for security.
- CDSS will adhere to standard project management practices to ensure a uniform approach to project security, initiation, planning, execution and control.
- CDSS will implement security policies and standards that protect systems, networks, resources and data/information from loss, unauthorized access, use, modification, destruction and disclosure.
- CDSS will use the ISO/IEC 27002:2005 standard as the foundation for our Information Security Program.

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

CDSS project management and oversight functions utilize templates for risk assessment and mitigation that include evaluation of whether or not developers and programmers are following standards and best practices for Web, application and system development.

CDSS is also pilot-testing a development protocol within the Web Development group. This protocol integrates security at the beginning of the project planning and system design, with the Information Security Office involvement included in design validation prior to any development activities. After the successful completion of the pilot-testing, the protocol will be considered for use by non-web application and system developers.

**Information Security**

**B.5. Does your organization have an Information Security Officer? (if yes, provide their name, telephone number, and e-mail address below)**

- Yes**
- No**

**Name:** Cynthia J. Fair

**Classification:** Staff Services Manager II

**Telephone Number:** 916 651-9923 **E-Mail:** Cynthia.fair@dss.ca.gov

## Workforce Development, Workforce Planning and Succession Planning

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

- Yes  
 No

If yes, briefly describe it.

Currently in the planning stage, CHHS's workforce development efforts will incorporate recruitment, lifelong learning, and mentorship into an effective plan of action for successfully increasing the size and aptitude of our skilled staff. Our plan formulation strategy involves seven key steps to goal fruition:

1. **Develop an overall plan structure.** CHHS will construct a general outline of the plan's architecture with the final framework goals of incorporating and implementing policies and processes within reasonable time frames, and at acceptable costs. The plan will be geared towards realizing observable improvements in department and agency performance, labor force management and retention.
2. **Establish roles and responsibilities.** The plan structure will outline roles, responsibilities, and targets for leadership.
3. **Incorporate formal and informal efforts.** The plan will make room for both formal development efforts (i.e., job fair recruitment), and informal efforts (i.e., supporting word-of-mouth recruitment and mentorship outside of an established mentoring program).
4. **Develop performance process mechanisms and procedures.** With the necessary safeguards and appropriate accountability mechanisms in place, our performance plan will focus on achieving organizational results, accelerating change, providing meaningful performance distinctions, and opening up ongoing dialogs between management and staff to aid in employee growth.
5. **Formulate retention and mentor recruiting elements.** Using proven recruiting and retention methods, we will create a workable, affordable plan of action to initiate and maintain productive recruiting and mentoring programs within the department.
6. **Solidify department participation.** Departmental feedback is critical to create workable, affordable procedures and attain employee "buy in". CHHS will rely heavily on department-level participation in construction of the final framework for workforce development.
7. **Identify core competencies.** To create an effective workforce development plan, we will examine the existing architecture of our department and identify those core competencies essential to successful operations. Our development plan will nurture the sustainment of these competencies by cultivating a talented staff guaranteed to support operations and meet CHHS short and long-term needs.

CHHS will initiate proven recruiting methods to hire new talent, map the advancement of current employees, identify and address potential future knowledge and skill needs, uphold workforce diversity, and increase employee retention. Based on thorough workforce planning analysis, our workforce development plan will successfully aid in the achievement of organizational goals, and meet the current and future needs of CHHS, whatever the challenge.

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

As stated, CHHS will soon solidify a formal workforce development plan geared towards the following priorities:

- Implement mentorship and management training programs to maximize the upward mobility of current staff and enhance retention efforts.
- Aid employee growth through the development of performance process mechanisms and procedures to provide meaningful performance distinctions, accelerate positive change, and initiate employee growth.
- Potentially further support retention efforts through recruitment bonuses and employee recognition programs that acknowledge and reward excellence while promoting individual and team growth.

Performance management is vital to ensure and enhance department performance, due to the correlation between an individual's activities and departmental results. To increase department-wide performance, our workforce development plan will involve three key practices:

1. **Behavior modification support: linking individual performance with department performance and goals.** Each individual will be encouraged to realize the connection between their daily activities and accomplishments and their broader impact on company operations and objectives. This awareness will nurture our team mentality and identity as a cohesive unit, aiding in CHHS's health and future growth.
2. **Increasing communication and accountability.** As part of the plan's behavior modification support, mentoring, and retention efforts, each employee will be impressed upon the fact that, as part of a team, they have a responsibility both to reaching their goals and helping their coworkers achieve the same results. Further, performance monitoring by management will open up ongoing dialogs between supervisors and staff, supporting that same establishment of a link between individual performance and team/department performance. This collaborative atmosphere will provide a nurturing, open environment for staff at every level.
3. **Performance tracking.** Employee assessments will continue to be used for performance monitoring, providing a framework for constructive criticism, and enhancing individual productivity. The assessment, which will include an analysis of employee competencies, job duties, performance, and behavior, will allow the employee to "self-monitor" and address performance gaps. The result will be the enhancement of both accountability and management-employee communications, creating a continuous wish for growth within the employee that directly and continuously contributes to department success.

### Workforce Development, Workforce Planning and Succession Planning

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

- Yes  
 No

**If yes, briefly describe it.**

As stated, CHHS is in the process of implementing an effective workforce development plan, which will incorporate recruitment, lifelong learning, and mentorship. The plan will outline governance roles, responsibilities, and targets for leadership. The envisioned plan will be formulated for utilization by all departments.

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

- Yes  
 No

**If yes, briefly describe it.**

CHHS has a strong presence as an employer within the state of California. Though IT staff retention levels are historically low within the IT industry, CHHS does not suffer from high IT turnover and personnel shortages. We are adept at coping with increases and decreases in staffing requirements, and our effective workforce planning management procedures eliminate negative program continuity impact due to employee vacancies. Nevertheless, CHHS is in the process of developing a succession plan, applicable to all departments, that ensures continued success in adequate staffing.

CHHS's succession a plan will accomplish the following:

- Incorporate a workable, affordable recruitment strategy based on established best practices, and attracting potential talent via targeted outreach efforts and word of mouth.
- Implement mentorship and management training programs to increase staff promotions and help to ensure the retention of our current talent.
- Further support retention efforts through recruitment bonuses and recognition programs.

At CHHS, we stay abreast of changes in the local economy affecting employment rates, as well as any employee recruitment developments within the greater Sacramento area. We realize that the welfare of our current and newly acquired staff members is paramount to agency success. Or plan will promote communication and knowledge sharing, increase retention rates, and provide employees with stability and valuable opportunities for advancement, creating a dedicated, reliable workforce.

#### C.5. IT Staffing

Table C-1 — IT Staffing

IT Rank and File Staff Classification	Number of IT Rank and File Staff in Classification	Number of IT Rank and File Staff in Classification Eligible to Retire in Next 5 Years	IT Management Staff Classification	Number of IT Management Staff in Classification	Number of IT Management Staff in Classification Eligible to Retire in Next 5 Years
Assistant Information Systems Analyst	11	8	Staff Information Systems Analyst (Sup)	0	0
Programmer I	0	0	Staff Programmer Analyst (Sup)	0	0
Programmer II	2	2	Senior Information Systems Analyst (Sup)	5	3
Associate Information Systems Analyst	49	22	Systems Software Specialist I (Sup)	0	0
Associate Programmer Analyst	10	6	Systems Software Specialist II (Sup)	0	0
Associate Systems Software Specialist	1		Systems Software Specialist III (Sup)	0	0
Information Systems Technician	1	1	Data Processing Manager I	6	2
Staff Information Systems Analyst	37	27	Data Processing Manager II	6	1
Staff Programmer Analyst	13	8	Data Processing Manager III	2	2
Senior Information Systems Analyst (Specialist)	10	4	CEA 1 – Chief Technology Officer	1	1
Systems Software Specialist I	7	3	CEA 3 – Chief Information Officer	1	1

**Table C-1 — IT Staffing (continued)**

<b>IT Rank and File Staff Classification</b>	<b>Number of IT Rank and File Staff in Classification</b>	<b>Number of IT Rank and File Staff in Classification Eligible to Retire in Next 5 Years</b>	<b>IT Management Staff Classification</b>	<b>Number of IT Management Staff in Classification</b>	<b>Number of IT Management Staff in Classification Eligible to Retire in Next 5 Years</b>
Systems Software Specialist II	3	2			
Systems Software Specialist III	0	0			

## Project Management, Portfolio Management and IT Governance

### D.1. Does your organization have a process for improving the alignment of business and technology?

- Yes  
 No

#### If yes, briefly describe it.

The CDSS Information Technology Governance Committee has adopted the following principles to ensure the most efficient and effective use of IT in the CDSS:

- Provide a framework for reaching IT decisions.
- Develop a body of rules and agreements that define the basis for interactions between IT staff and business units within the Department.
- Provide a forum for discussions about IT architectures, standards, organization, and allocation of IT resources.
- Develop processes that ensure IT organizational resources are targeted to deliver maximum business value.

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

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

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

CDSS is planning a project to implement Clarity software to support project portfolio management.

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

- Implemented (Please describe)

The CDSS' Project Management Methodology was adopted in 1998 and supporting policies are documented and published in the CDSS Administrative Manual. The Project Management Institute (PMI) methodology and SIMM Section 200 Project Management Methodology guidelines are used to structure the project management activities of a CDSS IT project.

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

## Project Management, Portfolio Management and IT Governance

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

Yes

PMI

ITIL

Agency-specified project management coursework (identify below)

No

ISD assigns only trained Project Managers to provide project management and support for complex and/or department-wide IT projects, ensuring that project management practices are applied consistently, resources are responsibly coordinated, and projects are brought to successful conclusions. The Project Managers assigned to critical and large investment projects are certified through PMI and have other training such as ITIL, business analysis, contract management, procurement and other relevant training.

**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 2007

–

–

Project Performance Management (e.g., Earned Value Management)

Business Process Analysis

Requirements Traceability

Procurement/Contracts Management

Other (identify below)

– Data Modeling/Workflow Diagramming

– Conducting a Feasibility Study

–

None

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

Project Managers are required to maintain an integrated project plan for each project. The project manager must communicate project status and updates to the project sponsor, users and various stake holders including participation in the monthly Independent Project Oversight Report meetings. The following is a high level description of project manager expectations:

Communication Plan - Outlines the information and communication needs of the project; who needs what information, when they need it and how they will obtain the information.

## Project Management, Portfolio Management and IT Governance

Issue Tracking Process - Identifies project situations that require a decision, management action or confirmation of information and includes prioritization, assignment and resolution of issues. An issue tracking log is developed and maintained throughout the project.

Risk Management Process – The process used to assess and manage risk throughout the project:

- Risk Assessment - Identifies sources of risk, potential risk events, risk symptoms, and impact to the project. This includes analysis of which tasks from the Risk Assessment to avoid, accept, or mitigate.
- Risk Response – Describes process for risk notifications, contingencies, and possible mitigation steps.
- Risk Management Log - Develop and maintain a process to track and maintain risks, contingencies, mitigations and outcomes.

Change Management Process – The change management process addresses the methodology that will be used to identify, track and manage issues and requests for changes to the project. The CM process:

- Identifies and defines a focal point for the coordination of issue identification and change activity.
- Ensures management participation and support.
- Defines a forum for acknowledging and communicating issues and change management requirements.
- Defines a process for prioritizing issues, problems, and changes.
- Defines a process for managing both in-scope and out-of-scope change requests.

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

**Yes (Please describe)**

Project Managers are required to perform Project Closeout. Project Closeout activities include:

Background and Summary of Results - A brief summary of the Project's objectives, and results, including, how the project was initiated, how it progressed, problems that were encountered and how they were overcome, user and management acceptance of the implemented application, how CDSS management views the overall management of the Project, and how the Project fits into CDSS's overall management and operations strategy.

Attainment of Objectives - Describes the Project's outcome with respect to each objective included in the FSR and, if applicable, SPR.

Lessons Learned - Factors that contributed to the Project's success or problems and the lessons learned from them.

Corrective Actions - Analysis and conclusion of the Project's overall success. If the Project is deemed a limited success, then describe the problem or opportunity that presents itself.

Project Schedule – Prepare a revised project Work Plan showing the targeted and actual completion dates. Any significant deviations must be explained.

**Project Management, Portfolio Management and IT Governance**

No