

Information Technology Capital Plan

Department IT Capital Plan



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

Department Name

Department of Pesticide Regulation

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
Signed original on file.		
Printed name:	JoAnne Payan	
Information Security Officer		Date Signed
Printed name:	David McCarty	
Budget Officer		Date Signed
Printed name:	Adrienne Watson	
Department Director		Date Signed
Printed name:	Mary-Ann Warmerdam	

DEPARTMENT IT CAPITAL PLAN

Department Name and Org Code:

Department of Pesticide Regulation- 3930

Plan Year:

2009-10 through 2013-14

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

To protect human health and the environment by regulating pesticide sales and use, and by fostering reduced risk pest management.

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

- PC's – Desktops & laptops: DPR has a three year life cycle plan on all PC's and approximately one third of these are refreshed each year.
- Servers: DPR currently has a four year life cycle plan on refreshing servers. Approximately seven servers are refreshed each year.
- Network Equipment – DPR has a five year life cycle plan on all switches, routers, hubs, etc. DPR is currently (2008*) participating in an Agency refresh for all of our LAN and WAN switches. DPR has also refreshed routers to support two remote locations this year.

2.2. Software

- DPR is in the process of upgrading our Oracle operating systems to the latest Oracle 11g platform, scheduled for completion 12/31/08*.
- DPR is in the process of upgrading our ColdFusion application software to ColdFusion-8, schedule for completion 12/31/08*.
- DPR is in the process of upgrading to Microsoft Office 2003 for our PC's, scheduled for completion 12/31/08*.

2.3. Network

- Network Equipment – DPR has five year life cycle plan on all switches, routers, hubs, etc. DPR is currently (2008*) participating in a Cal/EPA refresh for all of our LAN and WAN switches. DPR is also refreshing routers to support our two remote locations this year. (Cal/EPA reportable project No. 0555-12.)

* The Governor's Executive Order S-09-08 may delay the above referenced dates.

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;** Cal/EPA Network Refresh Project - Cross-organizational project jointly funded by all organizations within Cal/EPA to replace the aging network equipment originally installed immediately following building construction in 2000.
- **Approved Project Cost;** \$4,157,388

- **Project Number;** 0555-12
- **Implementation Date:** August 2007 - estimated completion December 2008

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;** N/A – DPR does not have any Reportable IT Projects.
- **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
Cal/EPA Network Refresh Project - Cross-organizational project jointly funded by all organizations within Cal/EPA to replace the aging network equipment originally installed immediately following building construction in 2000.	\$4,157,388	0555-12	August 2007 - estimated completion December 2008

***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

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PROPOSED IT PROJECTS

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

- 4.1. Proposal name and priority ranking:
- 4.2. Description of the proposed IT project:
- 4.3. Which of your department's business goals and objectives does this project support, and how?
- 4.4. What are the expected business outcomes or benefits of the proposal as they relate to your organization's business goals and objectives?
- 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?

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

4.10. What is the duration of the proposed project?

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:

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

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

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

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

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

Enterprise Architecture

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

- Yes
- No

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

- 2008 Department Strategic Plan – http://www.cdpr.ca.gov/docs/dept/planning/strg_pln/2008plan/strtplan.pdf
- Service Level Agreement – Attached
- 2007/2008 AIMS – Attached
- 2008/2009 ITB Road Map Short-Mid & Long Range Plan – Attached

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	2008 Department Strategic Plan			
Service	Service Level Agreements			
Technical	2007/2008 AIMS			
Data	2008/2009 ITB Road Map Short-Mid & Long Range Plan			

A.3. Describe the governance structure your organization uses to review and approve the Enterprise Architecture and any subsequent changes. Once the component models are developed, all Program and Administrative Branch Chief’s review and approve. The information is then reviewed for approval by the Associate and Assistant Directors before transmission to the Executive Office for final review and approval.

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? DPR's ISO serves in a non-technical oversight role to the Directorate, CIO and CTO.

B.2. What are your department's core business principles, policies and standards related to information integrity, confidentiality, and availability and the protection of information assets? The Department's core business principles are:

1. Use state-of-the-art technologies to develop and maintain stable, secure and effective information systems to support DPR's business and program needs.
2. Use cost effective and secure technologies to deliver readily accessible, timely pesticide information to our stakeholders, and empower them to conduct transactions with DPR electronically.
3. DPR adheres to provisions of Management Memos, SAM and the California Information Practices Act as directed by the OISPP to ensure information assets are secure and protected. Further, SAM specifies the use of the American National Standards Institute and the Federal Information Processing Standards for our Information Management Planning and Operations.

We have the following policies related to information integrity, confidentiality in place:

- **INFORMATION SYSTEMS ADMINISTRATION POLICY**
Policy - The integrity of the DPR's data is critical to the success of the program and the proper management of the public trust. The automated files and databases are an essential resource that must be given appropriate protection from loss, inappropriate disclosure, and unauthorized modification.
- **END-USER PASSWORD POLICY**
Policy -The integrity of the DPR's data is critical to the success of the program and the proper management of the public trust. The automated files and databases are an essential resource that must be given appropriate protection from loss, inappropriate disclosure, and unauthorized modification.
- **Budget Letter 05-32 - Encryption Policy**
Policy - This BL announced new policy and requires the following: portable computing devices and portable electronic storage media that contain confidential, personal, or sensitive information must use encryption or equally strong measures to protect the data while it is being stored. The related SAM information is now located at <http://sam.dgs.ca.gov/TOC/5300/5345.2.htm>.

Information Security

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? By adhering to the policies, procedures and standards that are established by control agencies, as well as compliance with the Project Management and System Development Life Cycle procedures and processes:

- <http://www.webtools.ca.gov/pdf/WebPolicy.pdf>
- http://www.cio.ca.gov/Government/IT_Policy/pdf/IT_OvrsqhtFrmwrkR2-25-04s.pdf
-

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

- Yes
- No

Name: David McCarty _____

Classification: Staff Services Manager I _____

Telephone Number: (916) 323-4995 _____ **E-Mail:** dmccarty@cdpr.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. DPR has a workforce development plan for all of its employees as part of our Succession Planning activities. DPR has developed new approaches for addressing the professional workforce development and succession planning for all staff. This information is available on DPR's internal web site.

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)
- Professional Competencies Development

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. See C.1. information.

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

- Yes
 No

If yes, briefly describe it. See C.1. information

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
Information Systems Technician	2	0	System Software Specialist II (Supervisor)	2	1
Assistant Information Systems Analyst	3	2	Data Processing Manager III	1	1
Associate Information Systems Analyst	7	1			
Associate Programmer Analyst	8	1			
Staff Information Systems Analyst	4	3			
Staff Programmer Analyst	2	1			
System Software Specialist I	2	0			
Management Services Technician	1	1			

Project Management, Portfolio Management and IT Governance

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

Yes

No

If yes, briefly describe it. DPR develops annual Operational Plans that tie back to the Department's Strategic Plan and AIMS. All Program and Administrative Operational Plans are prepared and reviewed at the executive level with the intent of aligning business and technology needs.

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

Implemented (Please describe)

DPR has recently developed and implemented a Directorate sponsored IT Road Map that identifies the short-term, mid-term and long-term IT goals for the department. The Road Map is reviewed by management and the executive office to establish IT priorities for the department. The Road Map is intended to be a working document that will be updated and reviewed on a periodic basis (no less than annually).

Implementation in progress (Please describe)

Planned or planning in progress

Not implemented and not planned

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

None

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

Implemented (Please describe)

Within the first six months of employment, all IT staff attend project management courses and also attend refresher and extended project management training as needed. The training provider is a Registered Education Provider with the Project Management Institute (PMI) and their courses are all consistent with the PMI Project Management Body of Knowledge (PMBOK) methodology. The course work is a practical approach to managing projects that is consistent with PMBOK practices". DPR follows the PMBOK best practices and methodologies as our implementation standards for technology projects.

Implementation in progress (Please describe)

Planned or planning in progress

Not implemented and not planned

Project Management, Portfolio Management and IT Governance

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

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

No

D.6. Select from the list other areas of training your organization requires of its project managers:

- Fundamental Project Management
- Systems Development Life Cycle
- Scheduling tool (identify below)
 - Microsoft Project
- 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.

- All technical projects must be reviewed and approved by the Branch Chief of the program or administrative area submitting the project request.
- These projects are then added to the existing list of technical projects and prioritized by management and the executive office (reference Road Map described above).
- For change management; we meet with all staff involved with the project to inform them of what we are planning to accomplish, how we intend to achieve the objectives and what their role will be in the process and once implemented:
 - Review business needs and decision to pursue project
 - Review scope, design concepts and functionality of future system
 - Review schedule timelines, milestones and planned implementation date
 - Review resources required to accomplish the project and their responsibilities
 - Consultants/Contractors
 - IT Staff
 - User Staff
 - Answer any questions and address any concerns
 - Keep all impacted well informed
 - Risk Management is assessed throughout the project life cycle to identify and address any potential hurdles or roadblocks to the project.
- Decision Escalation/Dispute Resolution: The Project Manager reviews all related project issues and problems, and works with the project team to resolve. If there is no resolution, the issues are raised to DPR's ITB Chief/CTO and if no resolution, these issues are raised to the CIO. Depending upon seriousness and potential risk to the project, we may move the issue straight to the CTO and/or CIO.

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?

X Yes (Please describe)

All lessons learned are documented and filed via an IT shared server on the network and in an IT Portfolio folder under Project Tracking – Project Lessons Learned. This information is referred to when any new project is initiated.

No