Department of Toxic Substances Control

Information Technology Capital Plan

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

Department Name
Department of Toxic Substances Control

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: Shell Culp	
Information Security Officer	**Date Signed**
Signed Original on FIle	
Printed name: Bill Howe	
Budget Officer	**Date Signed**
Signed Original on FIle	
Printed name: Sara Benson	
Department Director	**Date Signed**
Signed Original on FIle	
Printed name: Maureen F. Gorsen	

DEPARTMENT IT CAPITAL PLAN

Department Name and Org Code:	Plan Year:
Toxic Substances Control - 3960	2009-10 through 2013-14

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

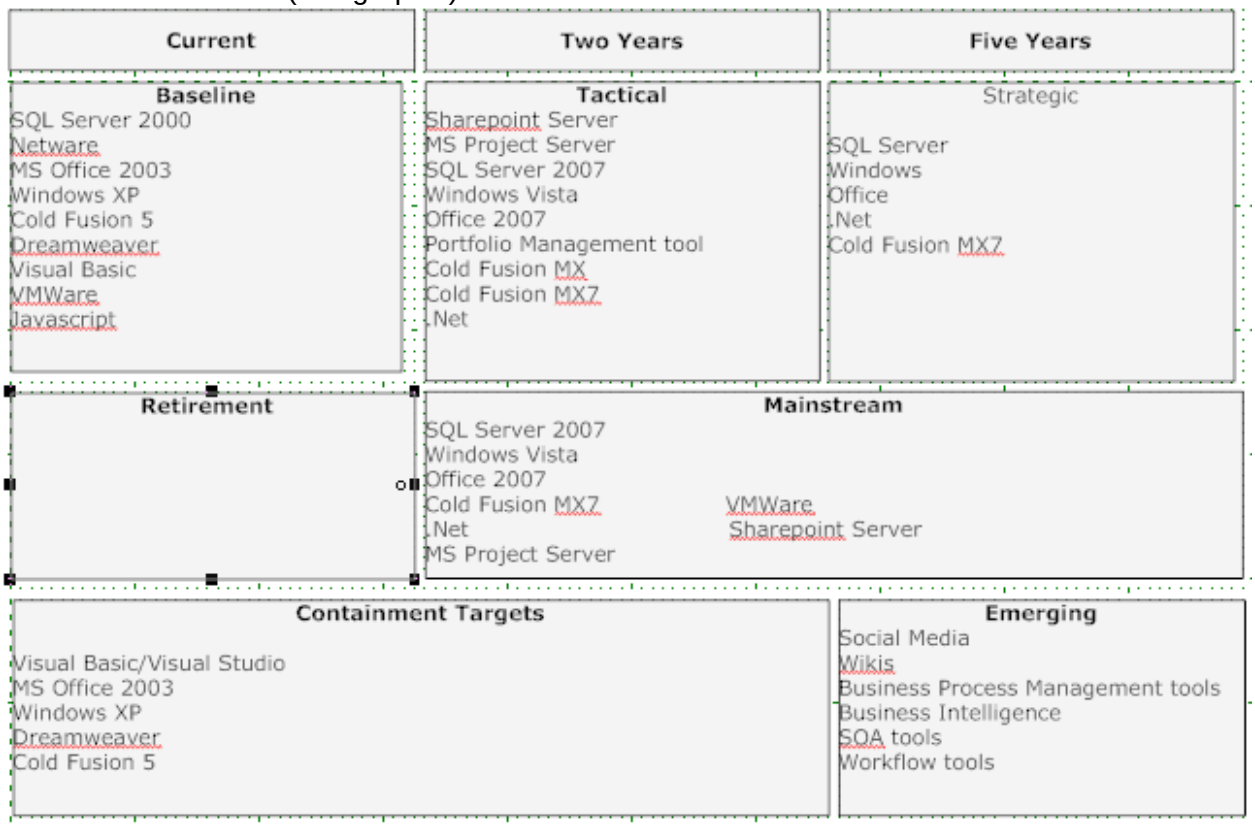
Working as part of the California Environmental Protection Agency (Cal/EPA), the Department of Toxic Substances Control (DTSC) is responsible for restoring the safety and health of communities and the clean up of sites contaminated by toxic substances from the legacy of California's industrial past; for ensuring that hazardous waste generated in California's present industrial economy is managed safely and does not pose threats to people or the environment; and for pollution prevention to ensure a safe and healthy future for California.

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

1500 Desktops and laptops – 3 year lease; replace as lease expires
Servers – replace as expire, approx. 25%/yr
Printers – replace all non-duplexing models with duplexing models, approx. 25%/yr

2.2. **Software** (see graphic)



2.3. Network

Increase Circuit capacity for regional offices
Replace switches, hubs, routers as they expire (approximate 25%/yr)

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**

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	**$4,157,388**	**0555-12**	**8/4/07 – 12/31/08**

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** = None
- **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
None			

***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
None			

Workforce Development, Workforce Planning and Succession Planning

PROPOSED IT PROJECTS

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

4.1. Proposal name and priority ranking: None

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.

Workforce Development, Workforce Planning and Succession Planning

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):**

Workforce Development, Workforce Planning and Succession Planning

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.**

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.

DTSC's IT Governance structure includes three points of reference:

1. Executive Staff
2. Program Initiatives Council (PIC)
3. Technology Architecture Council (TAC)
    a. The TAC provideds technical feasibility analysis of proposed changes to DTSC's architecture.

Workforce Development, Workforce Planning and Succession Planning

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

☐ **Yes**

☒ **No –** recruitment planned

Name: _____

Classification: _____

Telephone Number: _____ **E-Mail:** _____

B.1. How is your Information Security Officer involved in proposed project development efforts? Must review and approve the FSR

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? As set forth in SAM 5300

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?

DTSC uses Peer review of work in progress, but we also require all programmers on development efforts to submit an Entity Relationship Diagram to the database administrators for review and approval before the DBAs will establish the database tables, indexes, views, etc. This way we know the database design is properly normalized and

documented. Employing a standard set of development tools, ColdFusion, JavaScript and MS Visual Basic, makes peer review easier.

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

☒ **Yes** – When the budget is signed (Retired Annuitant)
☐ **No**

Name: ___William Howe_____

Classification: ___Senior Information Systems Analyst _(Retired Annuitant)

Telephone Number: _____ **E-Mail:** _____

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

☐ **Yes**
☒ **No**

If yes, briefly describe it.

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

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

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

☐ **Yes**
☒ **No**

If yes, briefly describe it.

Workforce Development, Workforce Planning and Succession Planning

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

☐ **Yes**
☒ **No**

If yes, briefly describe it.

C.5. IT Staffing

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

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

Table C-1 — IT Staffing

IT Rank and File Staff Classification	Number of IT Rank and File Staff in Classification	Number of IT Rank and File Staff in Classification Eligible to Retire in Next 5 Years	IT Management Staff Classification	Number of IT Management Staff in Classification	Number of IT Management Staff in Classification Eligible to Retire in Next 5 Years
Assistant ISA	2	1	DPM I	1	1
Associate ISA	8	3	DPM II	2	1
Staff ISA	17	6	DPM III	(1 Vac)	
Staff PA	11	4	CEA	1	1
Senior PA	1	1			
SSS II	2	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.

DTSC's IT Governance structure includes three points of reference:

1. Executive Staff
2. Program Initiatives Council (PIC)
3. Technology Architecture Council (TAC)

To develop information about the technology needs of DTSC programs, the PIC meets twice each year to share information about programs' business needs, brainstorm high-level functional requirements, and propose priorities for technology initiatives. The TAC reviews PIC outputs for technical feasibility and architectural fit. Executive Staff review and prioritize the annual technology project portfolio, and make adjustments as needed.

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

☒ **Implemented (Please describe)**

The technology portfolio is proposed in January for the following FY, reviewed and revised for the next five months, approved in July, and implemented immediately. Changes to the portfolio must be agreed to by Executive Staff; changes are entertained at the half-year. Schedule below:

Jan	IT	First Draft Portfolio for next FY
	IT	Draft priority categories/sequence
	Exec Staff	Adjust/approve priority categories/sequence
	Exec Staff	Monitoring
	All	Continuous suggestions
Feb	IT	High level analysis scope, schedule, resources
	IT	Architectural adjustments
	All	Continuous suggestions
Mar	IT	Second Draft Portfolio
	PIC	Review Draft Portfolio
	IT	PIC meeting notes
	All	Continuous suggestions
Apr	IT	Third Draft Portfolio
	Exec Staff	Adjust/Approve Draft Portfolio
May	IT	Portfolio Published
Jun	IT	Final adjustments from May Revise
Jul	Exec Staff	Monitoring; Approve Final Portfolio
Aug	All	Continuous suggestions
Sep	PIC	Portfolio Review
	IT	PIC meeting notes
	All	Continuous suggestions
Oct	Exec Staff	Process Review

Project Management, Portfolio Management and IT Governance

	Exec Staff	Portfolio Review and monitoring
	Exec Staff	Adjust/approve PIC suggestions (if any)
	All	Continuous suggestions
Nov	IT	Exec Staff meeting notes
	All	Continuous suggestions
Dec	All	Continuous suggestions

Project Management, Portfolio Management and IT Governance

☐ **Implementation in progress (Please describe)**

☐ **Planned or planning in progress**
☐ **Not implemented and not planned**

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

None

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

☐ **Implemented (Please describe)**

☐ **Implementation in progress (Please describe)**

☒ **Planned or planning in progress**
☐ **Not implemented and not planned**

Project Management, Portfolio Management and IT Governance

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

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

☒ **No**

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

☐ **Fundamental Project Management**
☐ **Systems Development Life Cycle**
☒ **Scheduling tool (identify below)**
- **– MS 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.

Using standard PM practices, for each project, the project organization includes;

- Project Management Plan
- Project Schedule
- Communications Plan
- Change Management Plan
- Risk Management Plan

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

☒ **Yes (Please describe)**

Upon completion, every project must conduct a “post-mortem” and publish the results to all IT staff

Project Management, Portfolio Management and IT Governance

☐ **No**