



Office of Environmental Health Hazard Assessment

Information Technology Capital Plan August 2008



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

II.

**Department Name – Office of Environmental Health Hazard Assessment
(OEHHA)**

APPROVAL SIGNATURES

I am submitting the attached Information Technology (IT) 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		Signed Original On File
Printed name:	Jennifer Garland	
Information Security Officer		Date Signed
Signed Original On File		Signed Original On File
Printed name:	David Siegel	
Budget Officer		Date Signed
Signed Original On File		Signed Original On File
Printed name:	Carolyn Lessing	
Department Director		Date Signed
Signed Original On File		Signed Original On File
Printed name:	Joan Denton	

DEPARTMENT IT CAPITAL PLAN

Department Name and Org Code:

**Office of Environmental Health Hazard
Assessment, #3980**

Plan Year:

2009-10 through 2013-14

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

- A.1. Improve the quality of the public's health and the environment.
- A.2. Advance the science for the evaluation of risks posed to the public health and environment, and provide risk assessment leadership for the State of California.
- A.3. Provide quality, useful, and equitable service to the public.
- A.4. Seek continuous improvement in the effective and efficient use of our internal resources to accomplish our mission.

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.

A.1. Hardware

- 2.1.1. Desktops and Laptops
25% a year, rolling 4 years minimum replacement (post warranty).
- 2.1.2. Servers
5 years minimum or as necessary to meet the department's goals. The Office of Environmental Health Hazard Assessment (OEHHA) servers were replaced in late 2007 early 2008 and will not be replaced again until 2012 or later; or as necessary to meet the department's goals.
- 2.1.3. Shared infrastructure (switches, routers) – on or before end-of-life is reached or service and parts are no longer available; or as necessary to meet the department's goals.

A.2. Software

- 2.2.1. Annual maintenance on Microsoft, Novell, back-up, anti-virus, anti-SPAM, security, Adobe, products maintained on an annual basis.
- 2.2.2. Patches, Service Packs, Security – Upgrades/Updates – on-going as needed basis to maintain the integrity of the department's resources (data, hardware, software).
- 2.2.3. Purchase or renewals for specialty products, annual as necessary to meet the department's goals.

A.3. Network

- 2.3.1. Shared resources - See hardware and software above – currently, OEHHA, in cooperation with all California Environmental Protection Agency (Cal/EPA) Boards, Departments and Office (BDOs), is replacing the headquarters network infrastructure with a completion date of winter 2008. It is anticipated the next replacement or refresh of the headquarters facility will be in 2015-2016.
- 2.3.2. Non-shared resources – routers, switches – OEHHA recently replaced its end-of-life routers for Sacramento and Oakland offices and will complete switch replacements in Oakland in fall of 2008. This equipment will be used until end-of-life is reached (approximately 2015) or as necessary to meet the department's goals.

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;** CNET – Cal/EPA Network Refresh Project – This project is jointly funded by all entities under the Cal/EPA umbrella. The amount shown below represents the total project cost for the Agency and all Boards, Departments and Offices under Cal/EPA.
- **Approved Project Cost;** \$4,157,388
- **Project Number;** and 0555-12
- **Implementation Date** – August 24, 2007 (completion date anticipated Winter 2008)

4. Proposed IT Projects

After each proposed IT project has been documented by answering questions through of the attached IT Project Proposal Form, provide the following information on Table 2 on the following page:

OEHHA does not anticipate any reportable projects at this time.

Table 1-Existing Approved Reportable IT Projects Summary by Department

Existing IT Project	Approved Project Cost*	Project Number	Implementation Date
CNET – Network Refresh Project	\$4,157,388	0555-12	August 24, 2007

***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.

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.

1. Shared/Consolidated/Cooperative Projects – Any cross Boards, Department and Offices within Cal/EPA (hereafter BDO) project requires:
 - a) A detailed project proposal
 - b) Project Governance Document
 - c) Executive Sponsorship
 - d) Coordination with and through the Information Management Advisory and Coordination Committee (IMACC) - comprised of the BDO Chief Information Officers (CIO) - and the Cross BDO Network Team – comprised of BDO staff and senior level network engineers including their assistants.
2. Non-shared Projects –require review and approval by the:
 - a) Chief Information Officer
 - b) Deputy Director of the Administrative and Support Services Division
 - c) Chief Deputy Directory
 - d) Information Security Officer (ISO)
 - e) Director; and
 - f) As necessary or appropriate, Chief Counsel and Deputy Director of the Scientific Affairs Division.

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?

If we had a current proposal, the ISO would be involved in the development of the project and review of the project proposal.

The ISO's overall role in OEHHA is to provide:

1. Annual security training for staff (with assistance from the Information Technology Branch)
2. Necessary updates on security issues and prevention
3. Notifications and a written report when equipment or data is lost or stolen
4. Attend State ISO meetings
5. Act as liaison between the OEHHA Executive Management, Information Technology Branch and line staff related to information security policies, procedures and issue discovery, mitigation and resolution.

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?

OEHHA has established the following to protect its assets:

1. Virus protection
2. SPAM protection
3. Web Browser Filtering
4. Full disk encryption and password protection on laptops, desktops and hand-held devices (Treos)
5. On-demand file encryption for other portable media
6. Locks on equipment where appropriate
7. Servers and network infrastructure equipment reside behind restricted access doors
8. External contracted security assessments every 5 years for network, desktop, remote access, and facilities safety and security
9. Policies:
 - a) Encryption Policy
 - b) Privacy Policy
 - c) Computer Policy
 - d) Statement of Incompatible Activities
 - e) Email Retention Policy
 - f) Internet Publishing Policy
 - g) Intranet Policy

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

Yes – We have a privacy and encryption policy that outlines certain data requirements. For confidential or sensitive data, have distinct agreements for how data is handled and these agreements are developed closely with program, IT and Legal

Information Security

staff to ensure data security and privacy. In most cases, staff that use or access shared external data is asked to sign a confidentiality agreement that includes specific requirements (security, data management) on how the data is handled, stored, accessed or manipulated.

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?

Internet, Intranet and database design and publication staff:

1. Attend training for their specialties.
2. Work within state guidelines for web development and participate in user groups to stay connected to emerging issues and resolutions.
3. Work closely with our Legal Office to ensure best practices or regulatory compliance with privacy, section 508/ADA, copyright, and other statutory mandates.
4. Consult with the ISO on security concerns or issues.
5. Consult with the CIO on policies and procedures.
6. Follow existing Computer, Encryption, Privacy, E-Mail, Internet and Intranet policies.

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: _____ David Siegel _____

Classification: _____ Supervising Toxicologist _____

Telephone Number: 916.322.5624 **E-Mail:** dsiegel@oehha.ca.gov

Project Management, Portfolio Management and IT Governance

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

- Yes – A spreadsheet and duty statement of all IT duties, plus annual Individual Development Plans that we use to encourage mentoring, upward mobility, knowledge transfer and more.**
- 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.

Annually with six month check-ins, all IT staff and the CIO engage in the process of creating Individual Development Plans (IDP). The IDP includes individual and team goals for the year, training and mentoring needs, projects or processes that encourage knowledge transfer and knowledge that will promote upward mobility. Duty statements are also reviewed by the CIO and adjusted in coordination with the IT staff to reflect changing needs and goals of the branch and department. Staff is encouraged to participate in exams for upward mobility and the department as necessary provides exams for succession planning and upward mobility of existing staff.

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

- Yes**
- No**

If yes, briefly describe it.

In our Operational Recovery Plan (ORP), we keep an extensive list of emergency cross BDO and vendor contacts in case a building or IT staff becomes inaccessible. We also have a Continuity of Operations Plan that includes leadership succession for the department.

Project Management, Portfolio Management and IT Governance

We are also undertaking promotional exams to provided a career path for eligible staff so that as staff retires or turns over, existing staff have a path to promoting and the department does not lose a valuable, trained resource to another agency.

Our succession plan is short and vertical as follows:

1. CIO
2. Staff Information Systems Analyst (ISA)
3. Associate ISA
4. Assistant ISA
5. Consultants as appropriate

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
Staff ISA Sp.	1	1	Senior ISA Sup	1	1
Associate ISA Sp.	1	1			
Assistant ISA Sp.	1	0			

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

- Yes
 No

If yes, briefly describe it.

Our organization is small so we're able to work closely with program staff to define emerging or changing needs, analyze costs and benefits, outline solutions and implement the best solution based on business needs, goals, IT expertise, security, funding and support. We often try to be proactive and anticipate the needs of our staff as our business changes, new technologies, policies, procedures or regulations emerge. We make every attempt to think forward and work with our staff to meet business goals while maintaining the security and longevity of our assets – it's all about good communication, documentation, and shared commitment.

Project Management, Portfolio Management and IT Governance

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.

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

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:

Project Management, Portfolio Management and IT Governance

- 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.

Our BDO Network Team is chartered and the Team charter resides on the BDO share-point. Any project that requires input or implementation from the BDO Network Team requires a governance document that states a description and purpose of the project, roles and responsibilities of the participants associated with the project including team lead, technical lead, project lead, project oversight and project sponsor. The BDO Network Team has a change management policy and procedures documented in location shared by the Team and includes issue resolution and problem escalation. The IMACC oversees and collaborates as necessary with the Team on shared BDO projects. BDO help desks also have service level agreements and escalation processes for issues that might evolve from shared network resource issues.

Our current shared CNET refresh project includes weekly team meetings (or more as necessary), monthly meetings with our Independent Project Oversight Coordinator, monthly Executive Sponsor update meetings, email updates, a shared project site (share-point) for posting all documentation (including timesheets, cost spreadsheets, invoices, IPORs, technical information, governance, issues, risks and more). We also maintain project binders – a hard copy of the project.

We also have an emergency call down list and are developing a separate ORP for the shared network resources – as an adjunct to our individual BDO ORPs and Continuity of Operations Plans.

As the project proceeds we are documenting our lessons learned in anticipation of a closing summary document to present to the Cal/EPA Executives and as necessary with control agencies involved in the project in order to improve the process for future BDO shared endeavors.

Internally to OEHHA, we have a help desk service level agreement that describes the escalation process as well as an internal IT policy for escalation of any project or trouble ticket. We use a tracking system for issues and projects as well as our email system. We

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have documented policies for IT that we use to gauge and plan projects around. Projects that involve staff outside IT or affect more than IT staff are reviewed through the Deputy Director of Administrative and Support Services and as necessary through the Executive Management Team (Director, Chief Counsel, Chief and Deputy Directors) or the Expanded Management Team (Executive Management Team, Branch and Section Chiefs including the ISO).

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

Yes (Please describe)

Project plans, design, implementation, maintenance, issues and risks are documented, in hard and soft copy in a shared area for use and review. Risks are identified with mitigation strategies including resolutions if a risk comes to fruition. These documents are then available for review for future projects by a variety of stakeholders – fiscal, admin, IT, executive management. Issues, risks, lessons-learned are also discussed with stakeholders as they occur and will be discussed at the end of the project.

No