

December 27, 2021

Mark Ghaly, Secretary
California Health and Human Services Agency
1215 O Street
Sacramento, CA 95814

Dear Secretary Mark Ghaly,

In accordance with the State Leadership Accountability Act (Leadership Accountability), the Department of Public Health submits this report on the review of our internal control and monitoring systems for the biennial period ending December 31, 2021.

Should you have any questions please contact Brandon Nunes, Chief Deputy Director of Operations, at (916) 558-1700, Brandon.Nunes@cdph.ca.gov.

GOVERNANCE

Mission and Strategic Plan

The California Department of Public Health's (CDPH or the Department) mission is to advance the health and well-being of California's diverse people and communities, which supports the Department's vision of healthy communities with thriving families and individuals.

The Department's strategic planning involves identifying high-priority goal areas that encompass all the work the Department performs. Everything the Department does, from administrative operations to programs and services, is reflected in these goal areas in support of our mission and vision. Strategic planning also aligns with other departmental initiatives such as Let's Get Healthy California and the public health accreditation process. The Department is currently working to develop and establish an updated strategic plan for 2023-2026 that reflects the Department's commitment to improving the health and well-being of California's diverse people and communities, while also incorporating CDPH's ongoing engagement to effectively address and provide support for emergency events such as the COVID-19 pandemic.

Reporting Responsibility

The Department's reporting responsibility includes six Public Health Centers and two Public Health Offices that administer over 200 programs. There are four independent entities that report directly to the director of the Department, which include the Office of Compliance, the Office of Health Equity, the Office of Legislative and Governmental Affairs and the California Conference of Local Health Officers. These are supported by operational and administrative support services within five Offices, the Administration Division, the Human Resources Division, the Information Technology Services Division and the Strategic Development and External Relations (Fusion Center).

Control Environment

Integrity and Ethical Values

The Department upholds standards for integrity and ethical behavior for employees.

Integrity is one of CDPH's Core Values. The integrity value communicates expectations related to ethical behavior and conduct of employees to demonstrate high ethical and professional standards in day-to-day work and work-related activities/relationships, as well as demonstrating honest interactions and acting responsibly as stewards over state funding and resources entrusted to the Department.

CDPH requires designated staff and managers/supervisors to complete the Office of the Attorney General's online Internet Ethics Training course for State Officials every two years. This training provides guidelines for managing ethical behavior, enables CDPH management to identify and address ethical problems, promotes professionalism, and supports adherence to CDPH's code of conduct. All CDPH employee duty statements outline the California Code of Regulations (Title 2, Section 172) that staff are expected to meet. Further, the CDPH Public Health Administrative Manual (PHAM) outlines Employee Conduct requirements and expectations.

Annually, the Department provides all staff with the Whistleblower Hotline Notification, which provides the process and avenue for staff to anonymously report unethical, improper, or questionable behavior by CDPH employees.

Oversight Design

CDPH's internal control system is overseen by the Director and State Public Health Officer, the Assistant Director, and two Chief Deputy Directors, which combined represent CDPH's Directorate team. The Directorate team and the leadership over the various areas of the organization make up CDPH's Senior Leadership team. Each Center, Office and Division of the Department is overseen by a Deputy Director.

Organizational Structure

The Department's organizational structure is set forth by CDPH leadership through establishing clear organizational level strategies, goals and priorities; development, availability and maintenance of the Department's organizational structure and operational processes; clearly defined policies and procedures to govern the organization; communication of expectations of conduct to be upheld by all CDPH employees; and ensuring oversight and accountability is properly conducted by all managers and supervisors to support overall efficiency and effectiveness throughout the Department.

Maintaining Documentation of Internal Control System

The PHAM, in alignment with the State Administrative Manual (SAM), is an integral part of CDPH's directive and internal control system. It communicates official administrative policy and procedures, delegations of authority, and assignments of responsibility throughout the Department. The PHAM also outlines the organizations expectations of ethical responsibilities, standards of conduct and behavior that should be upheld by all employees, and outlines the reporting structure, protocol and responsibility to report ethical concerns.

CDPH's Director, Assistant Director and Chief Deputy Directors are responsible for the overall establishment and maintenance of the internal control and monitoring systems. Managers and supervisors are responsible to adjust internal processes to reflect policies reflected in the PHAM.

CDPH's Enterprise Risk Management and Compliance (ERMC) Framework and Program also provides infrastructure and processes for maintaining documentation and following up with areas on risk and compliance matters to support CDPH's system of internal control.

Maintaining a Competent Workforce

The Department's commitment to maintaining a competent workforce is demonstrated through various plans and activities.

CDPH's Workforce Development Plan (WDP) includes various processes to continuously improve the CDPH workforce by establishing professional development opportunities, provide competitive salary and benefits to new hires, and retain a strong and competent workforce by providing growth and advancement opportunities. Under the WDP, the Department's Human Resources Division (HRD) continues to lead recruitment and professional development efforts and engagement opportunities to support a competent workforce. HRD also conducts department-wide stay surveys to gather feedback to understand why staff stay with CDPH and increase retention of employees at CDPH.

CDPH's Succession Management Plan sets forth the Department's process to establish pipelines for key positions and provide development opportunities throughout the organization to ensure a skilled and knowledgeable workforce will be in place to support current and future organizational needs. It also establishes a systematic process to plan for an anticipated increase in key position retirements over the next five years.

The Department's Building a Competency Based Culture training course provides an introduction to the state's Core and Leadership Competency Models and explains how utilizing competencies can enhance individual and organizational performance. Participants also gain a greater understanding on how to apply competencies in areas like recruitment and selection, professional development, and succession planning.

With the ongoing redirection of CDPH employees to support COVID-19 response efforts, CDPH implemented and maintains the CDPH Employee Redirection Tracker (CERT) to support the Department in tracking, managing and reporting on employee redirections for emergency response efforts. CERT also allows CDPH employees to track their current and new skills gained through redirections to support ongoing redirection workload needs and promote professional development opportunities. Skills in CERT include analytical skills, knowledge of special software programs, experience in special program areas, and skills gained through ongoing emergency response activities.

CDPH maintains a commitment to a diverse and inclusive work environment, and continues to conduct trainings, education opportunities/events, and other resources to staff to support an environment where all employees are included, treated with dignity and respect, and in a position where they can contribute to work that protects the health of all Californians.

Accountability

Each CDPH Center, Office, and Division has a Deputy Director who have responsibility and oversight authority. Managers and supervisors are responsible for day-to-day activities to hold staff accountable to their job duties, policies, procedures, and processes (State-level, department-level and job specific), as well as CDPH expectations of conduct. Management is also responsible for ensuring and reviewing

workloads, requirements, and assignments for annual Department drills to ensure staff can feasibly complete their work without creating conditions where staff may engage in behaviors that violate CDPH's standards of conduct.

Yearly performance appraisals for employees or probationary reports for new hires are provided to staff to support adaption to their job and work environment, recognize effective performance and identify aspects of performance that can be improved. CDPH's Performance Management Unit within HRD, assists managers and supervisors in the appropriate and timely application of preventative and progressive discipline processes to proactively address concerns relating to job performance or conduct in the workplace and to provide guidance on potential unreasonable pressures as they arise.

Information and Communication

Relevant and Reliable Information

CDPH utilizes various information systems and tools to collect and communicate pertinent information for operational, programmatic, and financial decision-making processes.

The Department's online web based administrative system, the CDPH Administrative Network, provides a centralized tool for personnel actions, contracts, and purchasing requisitions throughout the Department. Administrative and operational areas, as well as leadership, use this system to track and monitor key organizational information, make informed decisions and plan workloads or needed resources based on data stored in this system.

The Public Health Employee Training Tracking System (PHETTS) provides a central location to track employee completion of all CDPH mandated trainings, classification mandated trainings, as well as other trainings staff complete.

CDPH's cloud based paperless timekeeping system, Tempo Timekeeping, automates time and leave keeping and allows management and employees to electronically request and approve absence requests. Additionally, it supports tracking of COVID-19 work activities, overtime authorization and timesheet approvals, and has capacity to expand to track other workload and project specific activities.

CDPH utilizes the Financial Information System for California (FI\$Cal) as the accounting, budget, cash management and procurement system for the Department. Through data received from Department of FI\$Cal, CDPH populates its internal FI\$Cal Online Reporting Environment (FORE) reporting system, a web-based application through which employees can access financial information and reports via the CDPH Intranet. CDPH also maintains various Excel reports with the CDPH's Chart of Account and financial coding information to fulfill requirements to submit yearly financial statements to the State Controller's Office (SCO) and the Department of Finance as required by law. The Department has also implemented an online invoice portal system to support streamlined submission and tracking of invoices for processing. Through the portal and an Excel report that is maintained with data from SCO, CDPH staff have access to track the status of warrants relevant to their areas.

Internal Communication

The Department maintains the CDPH Intranet Site, the Department's centralized and interactive hub for employee resources, training opportunities, CDPH level policies, procedures, and guidebooks/manuals, as well as financial reporting and information systems.

CDPH programs maintain internal policies and procedures specific to their workloads within their functional areas and are responsible to keep these current and up to date. Information is also shared at operational and administrative workgroups, councils and committees.

Employees are notified of department policies and standards of conduct through the PHAM and through regular administrative memorandums and bulletins issued. Twice a year, the Director's Office provides an email summarizing any recent revisions made to policies in the PHAM to all employees. Additional updates and communication of policies and procedures, human resource information, action items, annual drills to be completed, and Information Technology (IT) system related updates are provided to staff through Administration memorandums, IT Service Desk notifications, Human Resources Quarterly Blasts, and other emails and newsletters sent through the Office of Public Affairs and/or the Director's Office.

External Communication

CDPH utilizes the CDPH Internet, an external public facing website, to provide an avenue for CDPH to release public health media, newsletters on upcoming events, advances in public health, COVID-19 related updates and an avenue for the public to apply for public health services that are provided by CDPH. CDPH provides communication through email by issuing Media Advisories on public health matters and through Stakeholder Briefings summaries. Further, CDPH provides Legislative briefings and subject matter expertise on statewide public health related matters.

Reporting Inefficiencies

To support staff's ability to report inefficiencies, CDPH requires all new hires to complete an introduction to quality improvement in public health training. The training outlines CDPH's adopted process and model for quality improvement, which includes staff's role to conduct regular reviews of their day-to-day workloads to identify inefficiencies that would benefit from process improvements. The Department also offers regular in-house Lean White Belt trainings (a customer focused process improvement methodology adopted and followed by the State of California).

Through onboarding and notifications, all employees are provided information on their responsibility to report improper activities. Staff are encouraged to go through their internal reporting chain of command first; however, staff are provided resources to report fraud, waste, or abuse that may arise in the Department (e.g., Whistleblower Hotline).

MONITORING

The information included here discusses the entity-wide, continuous process to ensure internal control systems are working as intended. The role of the executive monitoring sponsor includes facilitating and verifying that the Department of Public Health monitoring practices are implemented and functioning.

The responsibilities as the executive monitoring sponsor(s) have been given to:

Brandon Nunes, Chief Deputy Director of Operations.

Confirming Effectiveness of Internal Control System

The Department conducts and uses various activities and processes to ensure the effectiveness of the Department's internal control system.

CDPH's Senior Leadership team and Directorate oversee, deliberate, and monitor organizational performance and the internal control system through executive level committees. These executive committees include the Senior Leadership Team, the Department Operations Improvement Team, and the Policy Committee. To align with COVID-19 social distancing requirements, these meetings are currently held virtually to continue providing a venue for CDPH leadership to discuss and resolve operational or policy issues that span across the Department and assist in making determinations on the resources necessary to address or mitigate vulnerabilities appropriately.

CDPH's Office of Compliance (OOC) oversees the Department's Internal Audit Program, which coordinates internal and external audit activities, conducts grant compliance reviews for Emergency Preparedness Office and Office of AIDS sub recipients, facilitates enterprise risk and compliance management activities, and serves as a liaison to all external auditing entities.

OOC's Internal Audits Unit (IAU) conducts routine activities to identify vulnerabilities through various risk assessments, internal and external reviews and audits, and through regular meetings with programs. To complete its annual audit plan, IAU regularly monitors and reports department-wide deficiencies to CDPH's Directorate that were identified through internal and external audits.

OOC's Enterprise Risk and Accountability (ERA) Unit is responsible for both the development of the State Leadership Accountability Act related reports, conducting department-wide enterprise risk management and compliance activities, as well as providing ongoing ad-hoc reports as requested by CDPH management and staff. The ERA Unit oversees the Enterprise Risk Management and Compliance (ERMC) Framework and Program and facilitates tracking and monitoring activities regarding the status of identified risk areas, compliance issues and vulnerabilities reported across the Department.

Comparison of Results Against Objectives

CDPH's utilizes Results-Based Accountability (RBA) as a performance measurement process to track and monitor progress towards the achievement of the Department's vision, mission, and strategic goals and priorities. RBA measures and tracks progress for population accountability for the services the Department delivers externally, as well as program performance improvement and organizational operations measures within the Department. Each area of the organization develops performance measures specific to their workloads in pursuit of CDPH's vision, mission, and strategic goals and priorities that are tracked and monitored by the Office of Quality Performance and Accreditation within the Department.

Ownership and Monitoring Progress

The process of assigning ownership for addressing and monitoring internal control vulnerabilities is determined through regular management review, internal audits, executive committee discussion, or other monitoring activities as needed. Ownership for addressing internal control vulnerabilities resides with the program, Center, Office, Division, or other functional units whose internal controls were found deficient. Enterprise-wide internal controls, such as a new policy, program, and process are established and adopted as needed and monitored through the ERMC Program.

Monitoring of progress to reduce the identified vulnerabilities

IAU tracks and monitors open audit recommendations from external auditing agencies and works with

programs until the recommendations are fully implemented. The ERM Program facilitates regular check-ins with programmatic areas to gather status updates on internal control activities being used to address organizational risks to determine if the implementation of internal controls is reducing organizational risks as anticipated, or if further discussion and additional control proposals are needed.

RISK ASSESSMENT PROCESS

The following personnel were involved in the Department of Public Health risk assessment process: executive management, middle management, front line management, and staff.

The following methods were used to identify risks: brainstorming meetings, employee engagement surveys, ongoing monitoring activities, audit/review results, other/prior risk assessments, questionnaires, and consideration of potential fraud.

The following criteria were used to rank risks: likelihood of occurrence, potential impact to mission/goals/objectives, and timing of potential event.

RISKS AND CONTROLS

Risk: Staff--Key Person Dependence, Workforce Planning

CDPH may be unable to maintain a productive and competent workforce due to staff leaving for other opportunities, increasing retirements, ongoing vacancies in hard-to-fill classifications and key person dependencies. The result of not investing in workforce and succession planning are loss of key institutional knowledge, extended vacancies in key positions, reduced ability to perform core department responsibilities, increased turnover, inability to meet organizational objectives and potential failure to meet mandates and provide key public health services.

Control: Workforce Development, Succession Plans and Resources

The Workforce Development Plan (WDP) and Succession Management Plan (SMP) provides the Department's infrastructure for recruiting, developing, and retaining an engaged, diverse, competent, and productive workforce to meet current and future Department needs. CDPH's Human Resources Division (HRD) continues implementation of initiatives and activities under the WDP and SMP to gather critical information on workforce and succession management gaps to inform discussion on strategies to address these. HRD also continues to monitor administrative impacts related to COVID-19 and develop updates to HR related processes as needed to ensure alignment with current requirements. The initiatives, activities and trainings administered under the workforce and succession management plans support reduction of the risk by providing additional growth and advancement opportunities to CDPH employees and support to CDPH managers/supervisors to develop and implement strategies to effectively manage redirections, reduce key person dependencies, fill vacancies in key positions and establish controls to address ongoing challenges that may impact CDPH's ability to sustain a competent workforce.

Control: Workforce Coordination and HR Teams

CDPH's Workforce Development Coordinator continues to oversee and implement specific workforce and succession planning activities including development of competency profiles for

CDPH's key leadership positions, which supports development of hiring goals and building the Department's candidate pool. CDPH's Workforce Development and Recruitment Units under HRD provide tools and resources for managers, supervisors, and current and future employees to recruit, develop and retain a qualified workforce. This includes participation and promotion of job fairs, use of social media recruitment platforms (LinkedIn), and the use of employee surveys to gain valuable information on employee satisfaction, experience, or retention issues. The HRD Performance Management Unit assists managers and supervisors in the appropriate and timely application of the progressive discipline process, and addressing concerns related to performance and conduct in the workplace. These workforce related coordination and HR teams support reduction of the risk by providing workforce resources to address retention and performance issues, which supports maintenance of a competent workforce.

Control: Professional Development Opportunities

CDPH is committed to expanding the capacity of individuals to promote and perform in leadership positions throughout the Department. Through various programs, initiatives, trainings and collaboration with external partners such as CalHR, the Department continues to provide professional growth opportunities to managers, supervisors and staff to develop competencies that can enhance individual and organizational performance and support understanding on how to apply new skills to better manage staff, promote to higher level positions, track current and new skills gained through redirections and support identification of strategies and opportunities to promote a diverse workforce. CDPH continues to explore updates needed to current professional growth opportunities and is currently in the process of exploring options to obtain further positions throughout the Department, which will also allow for more career advancement opportunities. Professional development opportunities support reduction of the risk by allowing CDPH employees to ensure that knowledge and skills stay relevant and up to date and that CDPH employees continue to not only be competent in their profession, but also excel in it.

Risk: FI\$Cal Implementation, Maintenance, Functionality

CDPH may be unable to adequately coordinate, track, report and manage the Department's financial data due to ongoing inaccuracies and delays of reporting information available regarding funding, expenditures, and invoices within the FI\$Cal system. The result of not being able to effectively report financial information is loss of funding and/or inability for CDPH management to demonstrate financial stewardship internally or with external partners.

Control: FI\$Cal Workgroups

CDPH's FI\$Cal Workgroups were established to provide streamlined communication and timely resolution of complex and crosscutting issues related to the FI\$Cal system, which might otherwise divert more attention away from core administrative and financial management functions. The Director's Office for the Department continues to work closely and participate in workgroups with the Financial Management Branch related to FI\$Cal challenges as the Department continues to identify resources in-house to support financial management and procurement processes in the FI\$Cal environment. The Department's Administration Division (Admin) continues facilitation of monthly Administration Customer Service Meetings, a forum to provide updates on statuses of projects and current issues related to facilities, procurements, payments, reconciliations, upcoming

deadlines, budget development drills, and other relevant fiscal topics to provide timely and unified guidance and support throughout CDPH. This type of executive support and oversight of financial management and procurement processes in FI\$Cal assists to mitigate this risk by ensuring adequate tracking and reporting of the Department's financial data.

Control: Special Projects Unit

CDPH's Special Projects Unit (SPU) within the Financial Management Branch was created to provide support, coordination, and oversight of FI\$Cal and COVID-19 fiscal reporting for CDPH. This includes serving as the primary contact with the State Department of FI\$Cal, facilitating a FI\$Cal help desk to provide guidance and resolve ongoing issues with FI\$Cal, development and management of complex coding structures that allow for tracking resources and reporting in compliance with the Department of Finance. SPU continues to participate and provide a leadership role to established FI\$Cal Operations working group meetings, which includes representatives from the Department's Accounting Section and the Program Support Branch. As we normalize our FI\$Cal processes internally, CDPH will begin to transition this team to take on a project management role, helping to focus on enhancements and process mapping tools to better integrate FI\$Cal with the Department program administrative leaders. SPU supports reduction of this risk by providing ongoing support and expertise on issues and challenges that arise with accessing financial information and reports through the FI\$Cal system.

Control: Electronic Invoice Submission System

CDPH's Electronic Invoice Submission System is the Department's tool for submitting and tracking the status of pending invoices in the approval process and streamlines the process for invoice payments. This system allows for more transparency for CDPH programs to identify where invoices are in the payment process, provide efficiencies in assigning and reviewing of invoices, allows the ability to search for invoices more efficiently, and provides an effective tool for management to measure and assess workload and metrics. This supports CDPH's ability to handle the new or changing invoice circumstances arising due to COVID-19 and enable CDPH to continue to process payments with limited interruptions. The Department is in progress to develop and implement additional reporting functionalities with this system. The timely processing of invoices supports the reduction of the risk by assisting the Department in better managing its invoices and tracking pay warrants issued by the State Controller's Office, which increases efficiency in overseeing the Department's financial expenditures and supports internal satisfaction with CDPH's financial processes and supports communication and accountability with external regulators.

Risk: Program/Activity Changes Complexity

CDPH may be unable to consistently align, comply and communicate organizational workloads, initiatives, requirements, and work activities with CDPH's strategic direction due to the ongoing rapid changes and complexities of requirements that govern the Department. The result of not consistently aligning work activities with the Departments strategic direction is inaccuracies in department-wide processes, and increased errors related to inability to effectively interpret changes needed to process.

Control: ERM Program

The Department's Enterprise Risk Management and Compliance (ERM) Program administers ongoing assessments and activities to evaluate and monitor CDPH's system of internal control and gather essential information on critical risks and compliance issues that may impact the achievement of the Department's strategic objectives and mandates. The ERM Program is in progress for 2021 to utilize the risk assessment completed within Enterprise Risk Management (ERM) processes to engage in discussions with CDPH's Senior Leadership to inform decision-making to support efficient and effective operations. The ERM Program also continues to monitor lessons learned from COVID-19 response efforts to identify and mitigate potential emerging risks that should be considered for review. The ERM Program supports reduction of the risk through information sharing and through facilitation of an integrated and proactive enterprise risk management and compliance program, which supports operational efficiency, compliance with mandates and can also support the Department's ongoing role in COVID-19 response efforts.

Control: CDPH Compliance Units

The Department's Internal Audits, Enterprise Risk and Accountability, Grant Compliance, and Award Compliance Units within Office of Compliance provide independent, objective analysis and consulting services to improve the Department's operations by identifying and reporting on inaccuracies in department-wide processes and/or activities out of compliance with the Department's mandates, policies and/or requirements to both the Department's programmatic areas and Senior Leadership. Through ERA Unit recommendations on solutions to ensure alignment of processes to requirements is facilitated and through the various auditing Units, ongoing corrective actions are monitored to support mitigation and resolve issues to improve operations. These risk/compliance units support the reduction of the risk by identifying inaccuracies in department-wide processes, while also monitoring areas to ensure they address these inaccuracies, which improves compliance with mandates and achievement of the Department's strategic objectives.

Control: CDPH Intranet

CDPH's Intranet Site is the Department's centralized and interactive hub to provide internal communications to CDPH employees. Through the Intranet, the Department provides communication on major updates, including daily updates related to COVID-19, department policies and administrative memorandums resources, training opportunities, procedures, guidance documents, financial reporting resources and various other forms and resources to receive help as needed to all employees. Specific CDPH programs maintain sub-sites that include information on various operational and administrative programs of the Department, available training, and resources to support compliance, information sharing and collaboration. The Intranet also includes specific sections to provide resources to support CDPH areas to develop and/or update work processes, regulations and/or obtain guidance from established help desks to find solutions to various issues identified ranging from HR, IT and FI\$CAL. The CDPH Intranet Site supports reduction of the risk by enhancing the Department's ability to effectively communicate on current organizational workloads, initiatives, and major updates to the Department.

Risk: Technology - Data Security

CDPH may be at risk of security and privacy vulnerabilities due to ongoing challenges to address information technology (IT) internal security and privacy issues in a timely manner, resource limitations to help further develop and expand the organization's information security and privacy infrastructure capacity and capabilities, as well as challenges due to the complexity and variety of public health activities the Department administers. The result of being unable to address security and privacy issues is ongoing challenges with providing services to clients through critical systems the Department maintains, potential loss of data or ransomware attacks, non-compliance with laws, regulations or other requirements, potential loss of funding or penalties increased exposure to cyberattacks and potential privacy and (data) security breaches.

Control: Cybersecurity Training

The Department continues to roll out its anti-phishing email-training program through social engineered phishing attacks. The Department continues to send monthly simulated phishing emails to CDPH employees, which is followed by cybersecurity training to those who fail to recognize the phishing attempt. These engaging training modules teach staff to spot fraudulent emails and include information on best practices to prevent CDPH employees and the Department from being exposed to a cybersecurity threat. The Department continues to monitor changing cybersecurity requirements and revises or develops CDPH policy to reflect current mandates and industry best practices to support increased cybersecurity awareness and prevent exposures to cyberattacks more proactively. Ongoing cybersecurity trainings help CDPH to reduce this risk by supporting the Department's ability to address security and privacy issues department-wide.

Control: CDPH Security Operations Center

The Department's Security Operations Center (SOC), under the Information Technology Services Division (ITSD) is responsible for monitoring and analyzing CDPH's security posture on an ongoing basis with the goal to detect, analyze and respond to cybersecurity incidents using technology solutions and strong processes. This central and specialized operational security function serves as a primary contact with the State Security Operations Center for bi-directional identification and mitigation of technical threats to CDPH computing environments to reduce security vulnerabilities. The CDPH SOC continues to manage and oversee automated solutions and provide "eyes-on" cyberthreat analysis and remediation efforts, cloud security, network and host-based intrusion detection, security information and event management monitoring, and vulnerability scanning and remediation. In addition to ongoing monitoring of IT related threats, the Department continues to explore emerging technology that will support the enhanced security posture of CDPH. The work performed by SOC helps CDPH to reduce the risk by ensuring that potential security incidents are correctly identified, analyzed and reported for improved incident detection and timely response.

Control: Centralized Security and Privacy Policies and Procedures

CDPH continues to closely work with California Health and Human Services (CHHS)/California Department of Technology (CDT)/ CA Office of Emergency Services (CalOES) and others to monitor and respond to cybersecurity threats via various communications channels. Through this monitoring, CDPH has developed numerous security and privacy policy and procedure documents

for COVID-19 specific procurements and operations related to the Department's role in the COVID-19 emergency response efforts. The Department also continues to work with management to adjust security and privacy policy and technical controls as needed to address telework challenges. The Department continues progress and discussions to provide centralized Security and Privacy policies, procedures, and resources. Ongoing updates to security and privacy policies support reduction of the risk by creating the ability for the Department to ensure alignment with current security and privacy best practices and provide guidance to CDPH staff on their role to reporting privacy and security risks.

Risk: Technology - Compatibility

CDPH may be at risk for operational service disruptions due to ongoing reliance on outdated or incompatible technology systems or applications (legacy systems) and limitations in resource availability or data compatibility to effectively migrate to newer systems or applications. The result of not addressing the ongoing use of outdated or incompatible technology systems or applications may lead to costly maintenance, incompatibility of data housed in old systems when new systems are implemented, workarounds/duplication, reliance on consultants to support outdated systems, and potential external business disruptions.

Control: Information Technology Strategic Business Roadmap Model

As the Department's Information Technology Services Division (ITSD) continues to provide COVID-19 IT support, the development of Strategic Business Roadmap Models transitioned from being focused on identifying IT systems to support specific programs within the Department to identifying Enterprise-wide IT systems that could replace CDPH's current legacy systems to support processes and compliance department-wide, including most critically those related to COVID-19 response needs. ITSD continues to identify and research technology platforms that will benefit the ITSD Enterprise modernization efforts and continues to identify, update or replace IT systems as needed to meet data processing and analysis needs of the Department. These efforts help CDPH to reduce this risk as it allows for long-term planning of technology-based business needs from the business area and organizational perspective, but also allows for discussions to determine key short-term needs as well.

Control: Information Technology Business Services

The Department's ITSD continues to provide IT related services to support CDPH management with ongoing IT issues caused by impacts due to COVID-19. ITSD continues to hold regular meetings with each area in the organization to discuss current business needs and to determine if there are enterprise-level platforms available in the organization that could benefit the business needs in other areas quickly and effectively. This type of communication helps CDPH to manage and reduce this risk, as it allows for integration across multiple enterprise-wide information technology solutions across the Department. ITSD continues to provide a service desk to support CDPH staff, including those teleworking with network and technical issues. Providing ongoing IT solutions and business services reduces the risk by ensuring that connectivity and technical issues are handled timely so that CDPH staff continue progress to process and/or complete critical workloads in office and/or teleworking.

Control: Ecosystem of Data Sharing

CDPH continues progress to identify strategies to support implementation of the Department's Ecosystem of Data Sharing (EODS) plan. Committees comprised of representatives from across the organization continue to engage in planning and discussions focused on EODS and how to improve data interoperability among and across CDPH programs through the systems and applications they use. CDPH's ITSD continues to document potential solutions to support discussions with EODS leadership to continue efforts to move this initiative forward once COVID-19 response efforts subside. ITSD continues progress to fully implement a data loss platform to control the type of data that is being transmitted from CDPH to outside entities. The Department continues to utilize Microsoft Teams as a tool to share information and collaborate on work items. Creating an ecosystem of data sharing helps to reduce the risk by providing resources and/or methods to collaborate and create an avenue to share data and information effectively.

Risk: Pandemic, Pandemic Related Response

CDPH may be unable to respond to critical business needs and achieve organizational objectives due to its ongoing and prolonged role for the statewide COVID-19 response and operational, programmatic, and funding changes that have occurred because of the pandemic. The result of not meeting the Department's organizational objectives includes delays to public health services, and not meeting CDPH's mission and vision to advance the health and well-being of California's diverse people and communities.

Control: HRD Workgroups (Teleworking, Redirections/Staffing Needs, Space Needs)

To address ongoing operational impacts caused by COVID-19, the Department established Human Resource Division (HRD) related workgroups that include representatives from Centers/Divisions/Offices across the Department tasked with developing new and/or updated department policies, plans and processes in the areas of telework, workplace changes and staffing needs. Through these workgroups, the Department released a workplace protocols document, which ensures greater consistency across department facilities for workplace safety practices and provides links to various health and safety resources and guidance. These HRD workgroups continue to meet to discuss and strategies to allow staff to return to the office safely based on data collected and to best manage ongoing redirection needs for COVID-19 response efforts and general HR support for COVID-19 teams, including the CalConnected Program with 500 employees from various state departments. The established HRD workgroups reduce the risk by ensuring ongoing discussions and information of COVID-19 related issues are addressed to ensure achievement of CDPH's strategic objectives.

Control: Fiscal Task Force

CDPH's COVID-19 Fiscal Task Force manages and provides oversight, tracks, and reports on the Department's overall COVID-19 funds and expenditures. The task force's recent activities include coordination and management of COVID-19 resources, including accurate and timely allocations, contract executions, emergency funding requests, payments and reporting of expenditures to oversight and control agencies. To help track and manage the various funding streams and activities, the team has created and continues to maintain various tools including but not limited to

an internal COVID Cost Tracker, Activity and Resource Summary, Federal Funds Tracker, and other tracking resources. The Department continues to work closely with the Department of Finance in securing and tracking funding authorities and expenditures for COVID-19 activities, while the task force continues to meet with CDPH administration twice a week to discuss and develop strategies to address COVID-19 financial management challenges. The fiscal task force supports reduction of the risk by ongoing tracking and reporting to inform CDPH's Administration Division leadership and the Director's Office of the status of COVID-19 resource spending and projected requirements.

Control: Fiscal Oversight Section

The pandemic highlighted specific improvements needed to the Administration Division's ability to track and report detailed financial and business services data due to outdated systems and lack of resources. Because of this, the Department is working to expand the Administration Division's resources to allow for a new section focused on upholding the integrity and reliability of reported financial information for the Department, as well as implement Quality Improvement initiatives related to financial information sharing and process development. This includes overseeing the ongoing development and maintenance of Fi\$Cal automation projects, training and workgroups for program administrative participation, and online dashboards with visual report graphics and accessible financial reports for Departmental administrative leaders to quickly access and manage their program accounts. The fiscal oversight section supports reduction of the risk by utilizing current technology and enhancements to better coordinate, track, report and manage the Department's financial data, which supports CDPH to meet the complex and changing business requirements for the Department.

Control: COVID Related Policies

In alignment with the Department of General Services guidance, a new, updated CDPH Telework Policy is under development for longer term use and will outline CDPH processes for telework and support implementation of the Department's new hybrid work environment to be implemented in 2022. The Department established and released the COVID-19 Testing Policy and COVID-19 Vaccine Policy, to align with the state and federal testing and vaccination requirements. The Department also established and released the CDPH Redirection Administrative Guide for COVID-19 and Contact Tracing Expectation Document and Supervisory Administrative Guide to provide updates to administrative procedures to support CDPH management consistent handling of employee timesheets and issues while overseeing contact tracing and redirection of staff workloads. The Department continues to monitor impacts of the COVID-19 pandemic and updates department policies and processes to support both COVID-19 response efforts and ongoing CDPH work activities. The development of COVID-19 related policies supports reduction of the risk by supporting the Department's ability to comply with all policies, including those related to COVID-19.

Control: Resource and Workforce Adaptations

The Department continues to assess adaptations needed to workforce, emergency response processes, and resources to support ongoing changes to critical business needs. The Department established guides for CDPH management and staff on redirection expectations while supporting emergency response efforts, and on how to effectively offboard staff to return to their regular

assignments. The Department is currently administering various surveys to CDPH staff to learn about retention issues and redirection processes, training and communication to support establishment of additional workforce and succession initiatives, provide valuable information to support updating emergency response processes and to track employee skills and knowledge to support ongoing redirection of assignments as needed. While public events continue to be limited, CDPH continues to participate and host recruitment events virtually through the use of various platforms. These various guides and adaptation activities support reduction of the risk by aligning processes and providing resources to build a reserve of available and trained state employees who can better support future emergency response and various critical Department workloads.

CONCLUSION

The Department of Public Health strives to reduce the risks inherent in our work and accepts the responsibility to continuously improve by addressing newly recognized risks and revising risk mitigation strategies as appropriate. I certify our internal control and monitoring systems are adequate to identify and address current and potential risks facing the organization.

Tomás J. Aragón, M.D., Dr.P.H., Director and State Public Health Officer

CC: California Legislature [Senate (2), Assembly (1)]
California State Auditor
California State Library
California State Controller
Director of California Department of Finance
Secretary of California Government Operations Agency