

**SAM – INFORMATION TECHNOLOGY
(California Technology Agency)**

CHAPTER 4900 INDEX

Note: Effective January 1, 2008, the Office of Information Security (Office) restructured and renumbered the content and moved SAM Sections 4840 – 4845 to SAM Sections 5300 – 5399. See also the Office's Government Online Responsible Information Management (GO RIM) Web site at www.infosecurity.ca.gov for statewide authority, standards, guidance, forms, and tools for information security activities.

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SAM – INFORMATION TECHNOLOGY
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PURPOSE

4900

(Reviewed 03/11)

Strategic planning is essential to the successful adoption of information technology in state government. An agency information management strategy provides a means of coordinating systems development throughout the agency over the long term. It enables the agency to build systems within a common infrastructure and recognizes that no investment in systems should be made without proper planning. Inherent in the concept of information strategy is the commitment to develop business systems that are based on the real business priorities of the agency.

The purposes of the planning requirements in this section are to ensure that:

1. Agency plans for and uses of information technology are closely aligned with agency business strategies;
2. Each agency identifies opportunities to improve program operations through strategic uses of information technology; and
3. Each agency establishes and maintains an information technology infrastructure that supports the accomplishment of agency business strategies, is responsive to agency information requirements, and provides a coherent architecture for agency information systems.

DEFINITIONS

4900.1

(Reviewed 03/11)

Agency Information Management Strategy. An agency's information management strategy is the agency's comprehensive plan for using information technology to address its business needs, i.e., to successfully carry out its programmatic mission. Ideally, the agency's information management strategy represents one aspect of a well-defined overall agency business strategy and is therefore closely aligned to its business strategy. If the agency has not established a business strategy, agency staff who are responsible for the agency information management strategy must make assumptions based on their knowledge of the agency's overall mission, its program resources and priorities, and the changing nature of its environment.

Business Strategy. An agency's business strategy is its overall plan for accomplishing its mission in a changing environment with the resources it can reasonably expect to be available. Such a strategy typically addresses the agency's statutory mission and historical role, the expectations of its key stakeholders (individuals and organizations that affect the agency or that the agency affects), the factors that are critical to its success as an organization, the agency's internal strengths and weaknesses, and the political, social, economic, and technological forces in its environment that support or constrain its programs. Business strategies articulate the key issues that must be successfully addressed by the agency and identify the priorities and required resources for proposed actions. A strategy may have a time frame that is as short as a few months, if there is a limited window of opportunity for significant change. However, most agency business strategies present a three- to five-year perspective, with some agencies finding it useful to extend their strategic vision as much as ten to twenty years into the future. Strategic planning is not a one-time effort; it is a fundamental, continuing management process that allows the agency to respond in an effective manner to a changing environment.

Information Technology Infrastructure. An agency's information technology infrastructure is the base or foundation for the delivery of information to support the agency's programs and management. The infrastructure contains elements upon which an agency's information technology activities are dependent. An agency must therefore define, implement, and manage these infrastructure elements to successfully employ information technology.

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DEFINITIONS

4900.1 (Cont. 1)

(Reviewed 03/11)

The desirable characteristics of this infrastructure are efficient support for the exchange of information within the agency and between the agency and other organizations; reliable availability of information processing capabilities whenever and wherever they are needed; preservation of the integrity and confidentiality of information maintained by the agency; sufficient flexibility to allow the timely and efficient addition of new information management capabilities and modifications of established capabilities; and consistency with a coherent set of technical and managerial standards for the employment of information technology.

Typical elements in an information technology infrastructure include:

Application Systems. The applications that an agency purchases and/or develops to achieve personal productivity and program support benefits.

Architecture. The guidelines or blueprints that an agency follows in designing, acquiring, and implementing information technology solutions. Organizationally approved definitions, specifications, and standards are the primary components in an agency's information technology architecture.

Communications. Local area and wide area network components, including linkages with other organizations.

Equipment. An agency's hardware platforms and components ranging from individual personal computers to mainframes and associated peripherals.

Facilities. The electrical, ventilation, fire suppression, physical security, wiring, and other components required to support an agency's information technology capability, including the physical structure itself.

Funding. Current and projected funding for information technology planning, acquisition, development, and operations activities.

Partnerships. Relationships with other public and private sector organizations that support and enable the agency's pursuit and use of information technology.

People. An agency's technical staff, user community groups, and executive steering and oversight committees that are charged with information technology planning, approval, development, management, operations, and security responsibilities.

Plans. Detailed designs or methods for aligning information technology activities with agency business strategies and accomplishing business objectives. Typical agency information technology plans include strategic, risk management, and operational recovery.

Policies. The rules, conventions, and protocols adopted by the agency to govern the pursuit and use of information technology.

Processes and Procedures. The defined steps for planning, approving, acquiring, developing, operating, maintaining, enhancing, and using information technology within the agency.

Service Definitions. The types of services provided, accepted service levels, and service delivery time frames established for an agency's information technology support organization.

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(Continued)

DEFINITIONS

4900.1 (Cont. 2)

(Reviewed 03/11)

Software. The set of operating system, utility, communications, user interface, and management programs that enable users to operate and control computers and develop application systems.

The infrastructure includes elements owned by the agency and available under contract or through interagency agreement. For agencies that employ the services of a consolidated data center, for example, the required data center resources are considered part of the agency's infrastructure.

Reengineering the Business Process. The search for, and implementation of, radical changes in business processes that result in dramatic efficiencies, reductions in turnaround time, improvements in quality, or improvements in customer service.

Strategic Planning Process for Information Technology. The process of aligning agency plans for, and uses of, information technology with the agency's business strategies.

BASIC POLICIES

4900.2

(Revised 03/11)

Each state agency must establish an ongoing strategic planning process for information technology and submit its strategic plan to the Technology Agency for approval. The strategic planning process established by an agency should be consistent with its needs, resources, uses of information technology, and management style. However, the strategic planning process should:

1. Be consistent with the current statewide strategic direction for information technology, with relevant statewide policies contained in the State Administrative Manual and current management memos, and with agency policies for the management of information and information technology;
2. Include active participation of agency executive and program management;
3. Align agency strategies for information technology with agency business strategies;
4. Identify emerging threats and opportunities in the agency's environment that have a potential impact on the agency's information management and its use of information technology;
5. Assess the strengths and weaknesses of the agency in terms of its information technology infrastructure and information management capabilities;
6. Assess the potential of new information technologies to enable new business strategies and further the accomplishment of established strategies;
7. Provide for the creation and maintenance of an agency information technology infrastructure that will support agency information requirements and business strategies; and
8. Establish goals and priorities for the acquisition of new information management capabilities.

Each agency may determine the format and content of the documentation of its strategic plan for information technology. The documentation must satisfy agency management requirements and be sufficiently detailed to provide the Technology Agency with a clear understanding of the agency's information management strategy. Agency Information Management Strategy (AIMS) documentation guidelines can be found in SIMM Section 110.

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BASIC POLICIES

(Revised 09/08)

4900.2 (Cont. 1)

It is the responsibility of the agency to ensure that the information available to the Technology Agency represents its current strategy. The Technology Agency will base its decisions regarding the approval of an agency's information technology activities and support for its budget augmentations in part upon its understanding of the Agency's Information Management Strategy (AIMS) and the relationship between the AIMS and the agency's overall business strategy. In general, activities and proposals that are not supported by an AIMS that meets the basic requirements of this section or that are inconsistent with an agency's established strategy will not be approved or supported by the Technology Agency. Any agency that does not have an approved AIMS will have all information technology project delegation rescinded, including delegation for expenditures under the Desktop and Mobile Computing Policy (SAM Section 4989.)

The agency must submit documentation of its information management strategy to the Technology Agency at the time it completes its initial strategic planning effort and, thereafter, whenever there is a significant change in strategy. SAM Section 4900.3 provides guidelines for the AIMS documentation that must be submitted to the Technology Agency. Additionally, the agency must annually certify that the AIMS approved by the Technology Agency represents its current strategy. See SAM Section 4900.5 and SIMM Section 60.

Note that approval of an agency's AIMS does not imply approval of specific projects, nor does it guarantee funding for the plan or specific projects an agency may initiate under the plan. Project funding must be addressed through the budget process, where final determination will be based on statewide as well as agency priorities.

AGENCY INFORMATION MANAGEMENT STRATEGY DOCUMENTATION

(Revised 03/11)

4900.3

Each agency is expected to tailor the documentation of its information management strategy to its own needs and to provide the Technology Agency with sufficient information for the Technology Agency to understand that strategy in light of the agency's overall business strategy. AIMS documentation guidelines can be found in SIMM Sections 60 and 110.

Agencies are requested to address at least the following in their submittal to the Technology Agency:

Changes in Mission and Programs. A summary of expected changes in the agency's mission and programs that will require changes to the agency's information management capabilities.

Agency Business Strategy. A summary of the agency's business strategy for the period covered by the information management strategy.

Information Technology Vision. A summary of the agency's values and principles that articulate the conceptual basis or foundation for the agency's chosen information technology infrastructure.

Impact on Information Management. An assessment of the impact of the agency's business strategy upon its information management practices.

New Information Technologies. A statement of how new information technologies will be employed in the business strategy.

Current Information Technology Infrastructure. A description of key elements in the agency's current information technology infrastructure: standards, hardware, software, communications, personnel, partnerships, and application systems.

Planned Information Technology Infrastructure. A description of how that infrastructure will be developed or leveraged to meet future information requirements.

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AGENCY INFORMATION MANAGEMENT STRATEGY DOCUMENTATION
(Revised 03/11)

4900.3 (Cont. 1)

Information Management Priorities, Objectives, and Resources. A statement of the agency's priorities, objectives, and resources for achieving the development or acquisition of new information management capabilities.

Activities to Reengineer Agency Business Processes. A description of changes the agency has made, or is making, to restructure its business operations in an effort to achieve dramatic improvements in critical measures of performance, such as efficiency, turnaround time, customer satisfaction, and quality.

An agency may prepare a separate summary of its information management strategy for submission to the Technology Agency or it may choose to provide the Technology Agency with copies of its internal documents. The Technology Agency may request additional information to clarify its understanding of an agency's strategy. Agencies are encouraged to submit informational copies of their business strategies with their information management strategies and to provide oral briefings to the Technology Agency in conjunction with submitting their strategies.

**AGENCY INFORMATION MANAGEMENT STRATEGY REPORTING
REQUIREMENTS**

4900.5

(Revised 03/11)

The AIMS must be submitted to the Technology Agency at the time the agency completes its initial strategic planning effort. A revised AIMS must be submitted to the Technology Agency for approval whenever there is a significant change in the agency's strategy. Additionally, to assist the Technology Agency in reviewing an agency's information technology BCPs (see SAM Section 4819.42), the agency annually must certify, by August of each year, or as instructed by the Technology Agency, that the AIMS approved by the Technology Agency represents its current strategy. SIMM Section 60 provides a template for the AIMS transmittal letter, which must be signed by the agency director or chief deputy director, for this annual certification.

EXHIBITS AND SUPPORTING DOCUMENTS

4903

(Reviewed 03/11)

The documents required in SAM Sections 4903.1-4903.4 supplement the information in the agency's AIMS by providing details about the organization or information management within the agency and the resources available to the agency.

INFORMATION MANAGEMENT ORGANIZATION

4903.1

(Revised 03/11)

By June of each year, or as instructed by the Technology Agency, each agency must submit to the Technology Agency organization charts showing:

1. The relationship between the organizational unit or units responsible for information management functions (including telecommunications) and other units within the agency; and
2. The internal organization of the unit or units responsible for information management functions, including telecommunications. The internal organization chart should indicate numbers of positions by classification.

INFORMATION MANAGEMENT COSTS

4903.2

(Revised 03/12)

By February 1 of each year, or on an annual basis, as instructed by the Technology Agency, each agency is required to summarize its actual and projected information technology costs for the past year, and current year. The format and instructions for submittal required by the Technology Agency are specified in Section 55 of the SIMM.

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INFORMATION TECHNOLOGY FIVE-YEAR CAPITAL PLAN

4904

(Revised 03/11)

To forge the necessary integration of the business and IT functions in California state government, state Agencies are required to prepare and submit a Five Year IT Capital Plan (Agency IT Capital Plan) for review by the Technology Agency and the Department of Finance. These plans will serve to inform the Statewide Five Year IT Capital Plan. The Agency IT Capital Plans will:

- Ensure that IT investments drive program efficiency and effectiveness and improve the quality of government services for Californians.
- Facilitate improvements in internal business processes and financial management through IT investments.
- Link IT investments to state and agency priorities and business direction.
- Promote the alignment of IT investments with the Agency's enterprise architecture (Technology, Standards, and Infrastructure).
- Enhance and promote enterprise data sharing through IT investments.
- Facilitate consideration and conceptual approval to pursue selected IT investments.

The scope of the Agency IT Capital Plans will include (see SIMM Section 57):

- All projects or IT investments (including infrastructure changes) that are proposed for initiation during a five year period; and
- The documentation necessary for the Technology Agency to provide conceptual approval.

The Agency IT Capital Plans must be updated annually or more frequently as needed and do not eliminate the requirement for a detailed business case for conceptually approved IT projects.

The Statewide IT Capital Plan will represent the Administration's plan for strategic IT investments and will be supported by the Governor's Budget, the CIO's Statewide IT Strategic Plan, Budget Change Proposals, and Feasibility Study Reports.

ENTERPRISE ARCHITECTURE

4906

(Revised 03/11)

The statewide Enterprise Architecture (EA) is developed in a cooperative, managed, and coordinated effort facilitated by the California Technology Agency. The National Association of State Chief Information Officers methodology and the Federal Enterprise Architecture framework included in SIMM Section 58A are adopted as the state's standards to develop and maintain the statewide EA.

Accordingly, state agencies shall implement EA in accordance with SIMM Section 58D. In addition, state agencies shall, to the extent practical, utilize the EA Practices included in SIMM Section 158.

CALIFORNIA PROJECT MANAGEMENT METHODOLOGY (CA-PMM)

4910

(Reviewed 03/11)

The California Project Management Methodology (CA-PMM) is based on project management best practices as described in the project Management Institutes Project Management Book of Knowledge (PMBOK). The purpose of the CA-PMM is to provide consistent project information regardless of the state agency that is managing the project to provide policymakers greater visibility as to the status of IT projects and enable project executives, control agencies, and other interested parties to review and evaluate the status of IT projects as well as provide informed direction and guidance to IT Project Managers.

The CA-PMM provides the framework for the entire Project Management Cycle from project concept to maintenance and operations. Included in the CA-PMM are a set of templates to support the Project Management Life Cycle and a Reference Manual that contextualizes the different elements of the Project Management Life Cycle. See SIMM Section 17 for the Toolkits, the Reference Manual, and the specific conditions for utilizing the CA-PMM.

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PURPOSE

4920

(Reviewed 03/11)

The feasibility study represents the first opportunity for agency management to assess the full implications of a proposed information technology project. The feasibility study is also the means of linking a specific information technology project to the agency's strategic business plans and information technology plans, and to ensure that the proposed project makes the best use of the agency's information technology infrastructure. The purposes of the feasibility study are to:

1. Determine whether there is a business case for a proposed project, i.e., whether the expenditure of public resources on the project is justified in terms of the project's:
 - a. Being responsive to a clearly-defined, program-related problem or opportunity;
 - b. Being the best of the possible alternatives;
 - c. Being within the technical and managerial capabilities of the agency; and
 - d. Having benefits over the life of the application that exceed development and operations costs. Project benefits typically include reduced program costs, avoidance of future program cost increases, increased program revenues, or provision of program services that can be provided only through the use of information technology.
2. Provide a means for achieving agreement between agency executive management, program management, and project management as to:
 - a. The nature, benefits, schedule, and costs of a proposed project; and
 - b. Their respective management responsibilities over the course of the project.
3. Provide executive branch control agencies and the Legislature with sufficient information to assess the merits of the proposed project and determine the nature and extent of project oversight requirements.

FEASIBILITY STUDY BASIC POLICY

4921

(Reviewed 03/11)

A feasibility study must be conducted prior to the encumbrance or expenditure of funds on any information technology project. For most projects, the feasibility study must be conducted in conformance with SAM Sections 4922 through 4927. The only exception to this requirement is the acquisition of desktop and mobile computing commodities under the Desktop and Mobile Computing Policy. (See SAM Section 4989.) In addition, a Feasibility Study Report (FSR), which documents the feasibility study, must be approved prior to the encumbrance or expenditure of funds, including the use of staff resources, on any information technology project beyond the feasibility study stage. For most projects, the FSR must be prepared in accordance with SAM Section 4928. For projects that have been delegated to the agency director and whose costs fall below a specified level, the feasibility study may be documented by means of a Project Summary Package. See SAM Section 4930 and SIMM Section 20.

The FSR must be reviewed and approved in accordance with the general requirements of SAM Sections 4819.3-4819.42 (State Information Management Authority and Responsibility), as well as the specific requirements of Sections 4926-4930.1. See SIMM Section 20 for FSR Preparation Instructions.

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FEASIBILITY STUDY SCOPE **4922**
(Reviewed 03/11)

The scope of the feasibility study must be commensurate with the nature, complexity, risk, and expected cost of the proposed use of information technology.

The study must provide sufficient information to assure agency program management that the proposed response meets program requirements. The study also must provide sufficient information to allow agency executive management to make a sound decision as to the merits of the proposed response as an investment of public resources.

FEASIBILITY STUDY PARTICIPATION **4923**
(Reviewed 03/11)

The feasibility study must be based on an understanding of the needs, priorities, and capabilities of: (1) the users of the information that is to be provided; and (2) the agency unit or program that will have operational responsibility for the information technology application. Representatives of program management and staff must participate in the feasibility study process.

FEASIBILITY STUDY DOCUMENTATION **4924**
(Revised 03/11)

The SAM Section 4928 and instructions and guidelines published by the Technology Agency (see SIMM Section 20) specify the content of the FSR, which must provide a complete summary of the results of the feasibility study. In addition to the FSR, the agency must maintain sufficient documentation of each study to ensure that project participants, agency management, and control agency personnel can resolve any questions that arise with respect to the intent, justification, nature, and scope of the project.

**CONSISTENCY WITH AGENCY INFORMATION MANAGEMENT STRATEGY
AND IT FIVE-YEAR CAPITAL PLAN** **4925**
(Reviewed 03/11)

Each proposed project must be consistent with the agency's overall strategy for the use of information technology, as expressed in its current Agency Information Management Strategy (see SAM Sections 4900.2-4900.6.) and IT Five-Year Capital Plan (see SAM Section 4904).

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FEASIBILITY STUDY PROCESS

4927

(Reviewed 03/11)

Each agency must follow a systematic, analytical process for evaluating and documenting the feasibility of information technology projects, as defined in SAM Section 4819.2. This process must include:

1. Developing an understanding of a problem (or opportunity) in terms of its effect on the agency's mission and programs;
2. Developing an understanding of the organizational, managerial, and technical environment within which a response to the problem or opportunity will be implemented;
3. Establishing programmatic and administrative objectives against which possible responses will be evaluated;
4. Preparing concise functional requirements of an acceptable response;
5. Identifying and evaluating possible alternative responses with respect to the established objectives;
6. Preparing an economic analysis for each alternative that meets the established objectives and functional requirements;
7. Selecting the alternative that is the best response to the problem or opportunity;
8. Preparing a management plan for implementation of the proposed response; and
9. Documenting the results of the study in the form of a Feasibility Study Report (FSR), as specified in SAM Section 4928.

FEASIBILITY STUDY REPORT

4928

(Revised 03/11)

The FSR must provide an accurate summary of the results of the feasibility study. As with the study itself, the scope of the FSR must be commensurate with the scope and complexity of the problem or opportunity being addressed. Enough technical detail must be included in the FSR to show that the proposed response to the problem or opportunity is workable and realistic. The FSR must provide a basis for understanding and agreement among project management, executive management and program management, as well as satisfy the information requirements of state-level control agencies.

The FSR must be submitted to the Technology Agency, and to the Office of the Legislative Analyst. In addition, the FSR must be submitted to the Department of General Services when the contract exceeds the agency's delegated purchasing authority threshold. FSRs must be submitted in a format specified by the Technology Agency and signed by the agency director or his/her designee. The Technology Agency publishes detailed instructions and guidelines for agencies' use in preparing FSRs. A copy of the instructions, guidelines, and required forms is available in SIMM Section 20. The instructions and guidelines specify the MINIMUM amount of information necessary for the Technology Agency's approval of the FSR.

The FSR must provide a complete summary of the results of the feasibility study and establish the business case for investment of state resources in a project by setting out the reasons for undertaking the project and analyzing its costs and benefits. Documentation provided by the agency must contain at least the following information:

1. A description of the business problem or opportunity the project is intended to address.
2. The project objectives; i.e., the significant results that must be achieved for an alternative to be an effective response to the problem or opportunity being addressed.
3. A thorough description of the selected alternative, including the hardware, software and personnel that will be used.

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(Continued)

FEASIBILITY STUDY REPORT
(Revised 03/11)

4928 (Cont. 1)

4. A discussion and economic analysis of each of the alternatives considered in the feasibility study that meets the established objectives and functional requirements, and the reasons for rejecting the alternatives that were not selected.
5. A complete description of the information technology capabilities and the conditions that must exist in order to satisfy each defined objective.
6. An economic analysis of the life cycle costs and benefits of the project and the costs and benefits of the current method of operation during the life cycle of the project.
7. The source of funding for the project.
8. A detailed project schedule showing key milestones during the project's life.

A Project Summary Package (SAM Section 4930) must be prepared and included in the FSR.

The agency must maintain sufficient documentation of each study to ensure that project participants, agency management, and control agency personnel can resolve any questions about the intent, justification, nature, and scope of the project.

PROJECT SUMMARY PACKAGE

4930

(Reviewed 03/11)

A Project Summary Package must be prepared and included in each FSR and SPR. In addition, the Project Summary Package may be used to document the feasibility study for projects with a total development cost equal to or less than ten percent of the agency's cost delegation threshold. See SAM Section 4819.39.

See SIMM Section 20 and/or 30 for instructions for completing the Project Summary Package.

**PROJECT OVERSIGHT AND PROJECT IMPLEMENTATION AND
EVALUATION POLICY**

4940

(Revised 03/11)

Agencies must establish project reporting and evaluation procedures for each approved information technology project. The scope of these procedures must be commensurate with the overall scope of the project's associated risk to the state.

The fundamental requirements for project oversight and evaluation are specified in SAM Sections 4819.30-4819.42. All projects, including projects delegated by the Technology Agency to the agency director, are subject to those review, reporting and evaluation requirements. Projects that have been delegated to the agency director in accordance with SAM Section 4819.36 require appropriate project reporting by the project manager to the agency director.

OVERVIEW

4941

(Revised 03/11)

Once the FSR for an information technology project has been approved the project may proceed, contingent upon any conditions imposed by the Technology Agency. Throughout the project phases, agency management must follow the IT Project Oversight Framework (see SIMM Section 45) to provide the appropriate level of independent project oversight, project management practices and project risk assessments to ensure the success of the project.

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OVERVIEW
(Revised 03/11)

4941 (Cont 1)

Post-Implementation Evaluation Report. Following completion of each information technology project, a post-implementation evaluation must be carried out by the agency. The evaluation should:

1. Measure the benefits and costs of a newly-implemented information technology application or system against the most recently approved project objectives; and
2. Document projected operations and maintenance costs over the life of the application or system.

COMPLIANCE REVIEW
(Revised 03/11)

4942

Specific projects or agencies as a whole may be subject to compliance reviews conducted by the Technology Agency. The purposes of a compliance review are to verify agency adherence to statewide information technology policies as well as approved agency policies, and to determine agency fulfillment of approved plans. The Technology Agency will review project reporting documentation in conjunction with its compliance review and oversight responsibilities.

The Technology Agency may impose sanctions, such as a reduction or elimination of an agency's delegated cost threshold for reporting and approval of IT projects by the Technology Agency, or other sanction deemed appropriate by the Technology Agency, upon finding that a state agency is consistently and/or willfully out of compliance with state policies.

AUDIT OF INFORMATION TECHNOLOGY PROJECTS
(Revised 03/11)

4943

All information technology projects are subject to audit, with project reporting and evaluation documents an essential aspect of the audit trail. Documentation supporting project decisions must be kept by the agency for a minimum of two years following approval of the post-implementation assessment.

Some projects may be subject to ongoing review by the Office of State Audits and Evaluations (OSAE). OSAE may review the Feasibility Study Reports of projects approved by the Technology Agency and the Feasibility Study Report - Reporting Exemption Requests of projects delegated to agencies by the Technology Agency. OSAE will select projects for ongoing review based on their risk, cost, and materiality.

For projects selected for ongoing review, OSAE will develop and submit to agency management periodic status reports and the project Post-Implementation Evaluation Report (PIER) required under SAM Section 4947. Agencies are required to submit final versions of the periodic status reports and the project PIER to the Technology Agency within five working days after they are received from OSAE.

If OSAE determines that the project should be audited, the agency must enter into an interagency agreement with OSAE for that purpose. Since the cost that the agency otherwise would have incurred in monitoring the project and producing progress reports and the PIER will no longer be borne by the agency, these costs should not be included in the project budget. However, the agency should ensure that the project budget includes an amount sufficient to cover the costs of the interagency agreement with OSAE.

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IT PROJECT OVERSIGHT AND REPORTING
(Revised 03/11)

4944

The Technology Agency will conduct Agency, department, IT project management and oversight assessments designed to provide agency management and the Technology Agency information on the progress of a project, including compliance with the minimum requirements for IT project management, project risk management, project oversight and project reporting activities at the agency and control agency levels as outlined in the IT Project Oversight Framework (see SIMM Section 45). The Technology Agency will schedule assessment based on an established criteria.

Independent Project Oversight Reports (IPORS) are required to be submitted on a regular basis based on project criticality to the Technology Agency (see SIMM Section 45).

SPECIAL PROJECT REPORT—GENERAL REPORTING REQUIREMENTS
(Revised 03/11)

4945

Preparation of an SPR is required whenever a project substantially deviates from the costs, benefits or schedules documented in the approved FSR, when a major revision occurs in project requirements or methodology, when criteria listed in SAM Section 4819.37, other than the project's cost exceeding the level the Technology Agency may have delegated to the agency, arise during the development or implementation of the project, or when a significant change in state policy draws into question the assumptions underlying the project. No encumbrance or expenditure of funds shall be made to implement an alternative course of action until approval has been received from the Technology Agency or the agency director, as appropriate. SAM Section 4819.36 lists specific conditions that require submission of an SPR to the Technology Agency.

If an SPR for a delegated project must be submitted to the Technology Agency, the agency must attach to the SPR a copy of the approved Feasibility Study Report and the Transmittal signed by the agency director or his/her designee.

The SPRs which must be submitted to the Technology Agency should be transmitted within 30 days after recognition of a substantial deviation. The SPR must be submitted to the Technology Agency and the Office of the Legislative Analyst. SPRs must be submitted in a format specified by the Technology Agency and signed by the agency director or the director's designee. See SIMM Section 30 for SPR Preparation Instructions.

SPECIAL PROJECT REPORT—CONTENT AND FORMAT
(Revised 03/11)

4945.2

The SPR must provide sufficient information for agency management, executive branch control agencies, and the Legislature to assess the merits of the proposed project change and determine the nature and extent of future project oversight requirements. If an SPR lacks sufficient information for these purposes, the Technology Agency will request that the agency provide additional information.

Information provided in the SPR must be commensurate with the level of deviation of costs, benefits, timelines, or project requirements from those of the approved FSR or last approved SPR.

The SPRs must be submitted in a format specified by the Technology Agency and signed by the agency director or his/her designee. The MINIMUM content for an SPR is project status, an explanation of the reason for the project deviation, a revised project management schedule, and economic summary information. The Technology Agency publishes instructions and guidelines for agencies' use in preparing SPRs. See SIMM Section 30 for SPR Preparation Instructions.

**SAM – INFORMATION TECHNOLOGY
(California Technology Agency)**

MAINTENANCE AND OPERATIONS PLAN POLICY
(Revised 03/11)

4946

The Maintenance and Operations (M&O) Plan provides an orderly, cost effective and planned process for ongoing routine M&O activities of implemented information technology (IT) systems.

The Technology Agency may request agencies to submit an M&O Plan for IT projects. Agencies requested to submit an M&O Plan must have the plan approved by the Technology Agency before commencing M&O activities. Once an M&O Plan is approved, agencies must provide the Technology Agency annual updates. The Technology Agency can suspend or withdraw its approval of the M&O Plan to respond to changing circumstances.

See the Statewide Information Management Manual M&O Plan Guidelines located in SIMM Section 160.

POST-IMPLEMENTATION EVALUATION REPORT
(Revised 03/11)

4947

Unless the agency has entered into an interagency agreement with the Office of State Audits and Evaluations (OSAE) under SAM Section 4943, a post-implementation assessment must be carried out by the agency following the completion of each information technology project. No project is considered complete until the Post-Implementation Evaluation Report (PIER), has been approved by the Technology Agency or by the agency director, as appropriate. Approval of a PIER by the Technology Agency or the agency director, as appropriate, terminates the project reporting requirements.

If OSAE selects the project for review under SAM Section 4943, OSAE will conduct the post-implementation assessment and submit the PIER to agency management. The agency is required to submit the PIER to the Technology Agency within five working days after it is received from OSAE.

The post-implementation assessment must be conducted after the new information technology capability has been operational for a sufficient period of time for its benefits and costs to be accurately assessed. Initial operational problems must have been resolved and sufficient experience and data must have been accumulated to determine whether the project met the proposed objectives, was completed within the anticipated time and budgetary constraints, and achieved the proposed benefits. The optimum time after implementation to conduct the assessment depends upon the nature of the project. Six months to one year after implementation is typical. The assessment MUST be completed within 18 months of project completion. Agencies are required to follow the instructions for preparing and submitting the PIER and Transmittal Letters, see SIMM Section 50.

**POST-IMPLEMENTATION EVALUATION REPORT—CONTENT
AND FORMAT**

4947.2

(Revised 03/11)

The PIERs must be submitted in a format specified by the Technology Agency and signed by the agency director or his/her designee, see SIMM Section 50. The level of detail included in the Post-Implementation Evaluation Report must be commensurate with the scope and complexity of the project and its anticipated benefits. The narrative portion of the PIER for a minor project can be as brief as one or two pages. However, it must provide sufficient information for agency management, executive branch control agencies, and the Legislature to assess the success of the project. In particular, the PIER must contain a comparison of the timelines, costs and benefits forecast by the FSR with the actual timelines, costs and benefits of the project. If the project was a limited success or involved significant differences between expectations and results, the agency must present the actions it intends to take to improve the outcome. If the project was a failure and the problem or opportunity that led to the project still exists, the agency must present the actions it intends to take to address that problem or opportunity.

**SAM – INFORMATION TECHNOLOGY
(California Technology Agency)**

INTRODUCTION

4981

(Reviewed 03/11)

No single combination of information technology and management philosophy can be identified as being universally suitable for state government, nor can pre-determined rules be established to allow the routine assignment of a new application to the particular combination of technology and management practice which will be most appropriate. Each decision regarding a choice of information technology and management structure must be made on a case-by-case basis, considering the particular circumstances of the application and the particular technological and managerial options available.

POLICY

4981.1

(Reviewed 03/11)

The decision to select a particular technological approach must take into account the full range of significant factors which will influence the success of the application during its operational life. These significant factors include:

1. **Statutes, Regulations and Policies**-This factor consists of applicable statutes, regulations and policies which could impact a decision to use information technology.
2. **Agency Management**-This factor includes assessment of the agency's prior experience with information technology and the managerial resources it can bring to bear on the use and control of the technology, i.e., whether the agency has an appropriate management infrastructure and agency personnel possess the necessary qualifications.
3. **Cost**-Applications of information technology must be reviewed in terms of their cost justification. Such review must take into account the potential impact of the application on the overall economy of state operations. Assessment of the costs associated with each technological alternative must cover a sufficient time span to allow for reasonable amortization of start-up costs as well as realization of cost savings and cost avoidance potentials.
4. **Nature of the Application**-This factor encompasses (1) the extent to which the application is critical to the accomplishment of the agency's mission, goals and objectives, (2) the degree of centralization or decentralization required for this activity, (3) the data communication requirements associated with the activity, (4) the characteristics of the data to be collected and processed, i.e., source, volume, volatility, distribution, and security or confidentiality, (5) the urgency of the application, and (6) backup requirements for personnel, software, data and hardware.
5. **Hardware Considerations**-This factor includes review of the alternative hardware configuration options capable of effecting the successful implementation of a given information technology activity. Consideration must be given to (1) compatibility with existing hardware, including telecommunications equipment, (2) physical plant requirements necessary for proper operation of the equipment, (3) hardware maintenance, (4) the knowledge and skills required of state personnel, (5) backup processing capability, and (6) the existing capacity, immediate required capacity and future capacity.
6. **Software Considerations**-This factor includes a review of the software options available to achieve successful implementation of a given information technology activity. Consideration must be given to (1) the compatibility of computer languages with existing and planned activities, (2) maintenance of the proposed software, e.g. vendor-supplied, (3) the urgency of the application, (4) the knowledge and skills required of state personnel, (5) the availability of complete documentation, and (6) the availability of necessary security features.
7. **Interagency Considerations**-This factor includes analyzing the agency's interfaces with other state agencies, or federal or local government. Consideration must be given to compatibility of communications and sharing of data.

**SAM – INFORMATION TECHNOLOGY
(California Technology Agency)**

INTRODUCTION
(Revised 09/08)

4982

Government Code Chapter 5.5 and 7.5 define two consolidated data centers in state government: 1) the Hawkins Data Center in the Department of Justice, and 2) the Department of Technology Services (DTS) in the State and Consumer Services Agency. Other data processing centers are considered single-agency, dedicated-use data processing centers rather than consolidated data processing centers. All data centers shall adhere to the following center policies.

**DATA CENTER CONSOLIDATION AND DETERMINATION OF AGENCY-DATA
CENTER ASSIGNMENTS**

4982.1

(Revised 03/11)

It is the state's policy to transition out of non-Tier III data centers and server rooms and to end upgrades during the transition, unless there is an emergency. The following policy shall be used to determine an agency's Tier III-equivalent facility assignment for services, and to ensure consolidation activities proceed timely:

1. The Hawkins Data Center shall serve as the Tier III-equivalent for the Department of Justice. Agencies assigned to other state-designated Tier III-equivalent facilities whose official business requires access to the data contained in the California Criminal Justice Information System's (CJIS) data repositories, including those agencies utilizing the California Law Enforcement Telecommunications System (CLETS), shall access CJIS serviced data repositories and CLETS through the Hawkins Data Center.
2. The Department of Water Resources Data Center serves as the Tier III-equivalent facility for the Natural Resources Agency and its associated departments.
3. The Franchise Tax Board (FTB) Data Center serves as the Tier III-equivalent data center for the FTB.
4. The following Office of Technology Services (OTech) facilities shall serve as the Tier III-equivalent Data Centers for all other agencies in the state:
 - a. The OTech Gold Camp Data Center serves as the production data center for the Executive Branch. In addition, the Gold Camp Data Center manages services and provides disaster recovery services to all state agencies not identified in 1, 2, and 3 above.
 - b. The Federal Data Center (FDC) located at the OTech Gold Camp facility serves as a physically partitioned-off Data Center shared by agencies.
 - c. The OTech Vacaville Data Center serves as a disaster recovery site with a secondary role as a production data center.
 - d. Any other Tier III-equivalent facility designated by the Technology Agency.
5. To facilitate timely completion of consolidation activities:
 - a. The OTech Customer Owned Equipment Managed Services (COEMS) is discontinued. COEMS customers will transition to one of the state's Tier III-equivalent facilities previously referenced.
 - b. Department server rooms will be closed.
 - c. File and print services in the greater Sacramento area will be consolidated.
 - d. New applications, server refreshes, storage replacements, and new virtualization clusters shall be located at a state Tier III-equivalent facility.
 - e. Agencies shall review all IT projects that are in progress in order to plan transition of servers and storage to a state Tier III-equivalent facility.

(Continued)

**SAM – INFORMATION TECHNOLOGY
(California Technology Agency)**

(Continued)

**DATA CENTER CONSOLIDATION AND DETERMINATION OF AGENCY-DATA
CENTER ASSIGNMENTS**

4982.1 (Cont. 1)

(Revised 03/11)

- f. The Computer Room Construction policy and requirements established in ITPL 09-04 remain in effect.
 - g. Facility upgrades for server rooms designated for shutdown will be limited to emergencies. Agencies shall utilize the approval procedures described in ITPL 09-04.
6. Agencies shall use the Data Center Consolidation Survey and Assessment (S&A) included in SIMM Section 67, and will be reporting to the Technology Agency PMO in accordance with the timeframes and submittal instructions included in SIMM Section 05A.

POLICIES FOR DATA CENTER MANAGEMENT

4982.2

(Revised 03/11)

Data Center Mission—Each data center shall have a statement of mission which states the data center's objectives and outlines the services provided by the center.

Data Center User Interaction—

1. Each data center shall have a functional responsibility to provide liaison with the users of the center. This shall include establishing and maintaining user groups and forums appropriate to the requirements of the users and the mission of the center.
2. Each data center shall make readily available a data center user guide which shall contain detailed and up-to-date descriptions of and instructions for the use of the various services offered by the center. This guide should describe the operational management processes required by user agencies to avail themselves of data center services including resources scheduling, problem management, system backup and recovery procedures and data communications network management.

Data Center Financial Management—See SAM Section 6780 for the financial management policy applicable to the Office of Technology Services.

Exchange of Data Between Data Centers—The exchange or transfer of data between data centers by intercoupling or telecommunications shall be made only with the approval of the Technology Agency. Requests for approval to exchange or transfer data between data centers must contain programmatic justification and describe how the exchange or transfer will be accomplished. The request must also clearly describe what safeguards will be established to provide data confidentiality and security in compliance with SAM Sections 5300-5399, Security and Risk Management Policy.

This section does not prohibit the transmission of data from the Department of Motor Vehicles to the Hawkins Data Center in order to obtain vehicle registration and driver license data for criminal justice purposes, or the transmission of data between centers in the same state agency.

DESKTOP AND MOBILE COMPUTING POLICY

4989

(Revised 03/11)

In lieu of a Feasibility Study Report submitted to the Technology Agency, the Technology Agency delegates authority to acquire desktop and mobile computer commodities to agencies that have submitted acceptable Disaster Recovery Plans (DRP) or DRP certifications, maintain compliance with all applicable state IT security provisions as defined in SAM Sections 5300-5399, and have appropriate plans for the use of desktop and mobile computing commodities.

(Continued)

**SAM – INFORMATION TECHNOLOGY
(California Technology Agency)**

(Continued)

DESKTOP AND MOBILE COMPUTING POLICY

4989 (Cont 1)

(Revised 03/11)

Under the Desktop and Mobile Computing Policy, agencies may acquire desktop and mobile computing commodities necessary to support the agency's programmatic functions and business needs. This includes acquiring desktop and mobile computing commodities to support increased staffing, as well as the ongoing replacement of obsolete or nonfunctioning desktop and mobile computing commodities. Desktop and mobile computing configurations are expected to make use of proven, "off-the-shelf" hardware and software. Specific exclusions from this policy are listed in Section 4989.2 below.

Replacement of desktop and mobile computing commodities acquired as part of a previously approved IT project, as defined in SAM Section 4819.2, may be included in this policy as such commodities are incorporated into and are no longer distinguishable from the agency's IT infrastructure.

DEFINITION OF DESKTOP AND MOBILE COMPUTING

4989.1

(Revised 03/11)

Communication – For the purpose of interpreting this policy, communication is the requesting, sending, transmitting, or receiving of electronic data via cable, telephone wire, wireless, or other communication facility.

Desktop and Mobile Computer Software – Commercially licensed software necessary for the operation, use, and/or security of desktop and mobile computers.

Desktop and Mobile Computer Supplies – Consumable commodities used for data storage, printing, and/or other IT supplies as defined in SAM Section 4819.2.

Desktop and Mobile Computing – For the purposes of this policy, desktop and mobile computing is the use of desktop and mobile computing commodities in support of state agencies' business operations.

Desktop and Mobile Computing Commodities – Hardware and software commonly required for most state employees to perform daily business transactions such as desktop computers, mobile computers (e.g., personal digital assistants, laptop computers, smartphones), desktop and mobile computer software, servers, server software, peripheral devices (e.g., printers), supplies, and LAN infrastructure.

Desktop and Mobile Computing Servers – Computer servers necessary for the operation, use, and/or security of desktop and mobile computers.

Desktop and Mobile Server Software – Commercially licensed server software necessary for the operation, use, and/or security of desktop and mobile computers.

Desktop Computers – Computing devices, generally designed to remain in a fixed location, that can connect by cable, telephone wire, wireless transmission, or via any Internet connection to an agency's IT infrastructure and/or data systems.

Information Technology Asset Management – The effective tracking and managing of IT assets for an agency's program and enterprise IT infrastructure and production systems, including the ability to identify and classify agency-owned hardware and software, telecommunications, maintenance costs and expenditures, support requirements (e.g., state staff, vendor support), and the ongoing refresh activities necessary to maintain the agency's IT assets.

(Continued)

**SAM – INFORMATION TECHNOLOGY
(California Technology Agency)**

(Continued)

DEFINITION OF DESKTOP AND MOBILE COMPUTING
(Revised 03/11)

4989.1 (Cont. 1)

Information Technology Infrastructure – An agency's platform for the delivery of information to support agency programs and management. Included in the infrastructure are equipment, software, communications, rules, and vision.

Local Area Network (LAN) – Two or more desktop or mobile computers at the same site connected by cable, telephone wire, wireless or other communication facility providing the ability to communicate or to access shared data storage, printers, or other desktop and mobile computing commodities.

Mobile Computers – Portable-computing devices that can connect by cable, telephone wire, wireless transmission, or via any Internet connection to an agency's IT infrastructure and/or data systems.

Remote Access – The connection of an information asset from an off-site location to an information asset on state IT infrastructure.

Smartphone – A mobile computing device that provides advanced computing capability and connectivity, and runs a complete operating system and platform for application developers and users to install and run more advanced applications.

Wide Area Network (WAN) – Two or more physical locations connected by cable, wire, or other wireless transmission, providing the ability to communicate between locations and/or Internet connectivity.

EXCLUSIONS
(Revised 03/11)

4989.2

The following activities are excluded from the Desktop and Mobile Computing Policy and must be treated in accordance with SAM Sections 4819.3 through 4819.42.

IT Projects – As defined in SAM Section 4819.2, beyond the acquisition, installation, and operation of DMCP commodities as defined in this policy. The acquisition of desktop and mobile computing commodities required for an IT project, whether reportable or delegated, must be included within the project scope and acquired under the approved project's authority. Use of this policy to circumvent IT project reporting requirements or to make an otherwise reportable project fall within delegated thresholds is expressly prohibited.

Budget Actions – Any acquisition, maintenance, or support of desktop and mobile computing commodities which requires a Budget Change Proposal, a Budget Revision, or other budget action is not covered by the Desktop and Mobile Computing Policy. However, this policy may be used to acquire the standard complement of desktop and mobile computing commodities as approved by the Department of Finance for new positions.

Specialized or Single-Purpose Systems – Acquiring any specialized, single-purpose, non-modifiable system, such as computer-aided design systems, desktop publishing systems, programmer workbench systems, or artificial intelligence systems is excluded from the policy. However, software-based applications used on a general-purpose personal computer may be covered by the policy. For example, desktop publishing employing word processing, graphics, and page layout software packages on a general-purpose personal computer falls within this policy; desktop publishing employing a specialized computer system that has been developed and marketed for the sole purpose of doing desktop publishing does not. A specialized, single-purpose system that allows some connectivity to an agency's existing systems, such as electronic mail, is still considered a specialized or single-purpose system for the purposes of this policy.

(Continued)

**SAM – INFORMATION TECHNOLOGY
(California Technology Agency)**

(Continued)

EXCLUSIONS

(Revised 03/11)

4989.2 (Cont. 1)

Infrastructure or Platform Migration – Acquisitions associated with or mandated by a change in an agency’s standard technical architecture for servers, desktops and/or mobile computing platforms are excluded from the policy. Migrating to a newer version within the existing standard’s product family is not considered an infrastructure or platform migration.

Wide Area Networks (WAN) – The acquisition, maintenance, or support of desktop and mobile computing commodities specifically to install or operate a WAN are excluded from the policy. These activities for WANs are considered IT projects, or components of IT projects, for the purposes of this policy. However, upgrading the capacity of a previously approved WAN project may fall within the definition of a previously approved project. (See SAM Section 4819.2: “Previously Approved Effort/Project”.)

While the acquisition of desktop and mobile computing commodities specifically for or required by the above-mentioned activities is specifically prohibited under this policy, existing desktop and mobile computing commodities purchased under this policy may be used for some of these purposes. For example, existing desktop computers purchased under this policy may be used in the development of a reportable IT project.

Whenever an agency is uncertain as to whether a proposed use of desktop and mobile computing commodities falls within the scope of this policy, it should seek a determination from the Technology Agency.

AGENCY ROLES AND RESPONSIBILITIES

(Revised 03/11)

4989.3

Management. Day-to-day management responsibility for desktop and mobile computing configurations resides with the manager who has supervisory responsibility for the individual or individuals who use the products. The manager must ensure that the acquisition and use of desktop and mobile computing commodities support the accomplishment of agency objectives and that the individual or individuals who will be using the products are trained in their use.

Each agency must have a plan for the appropriate application of desktop and mobile computing. Each agency must ensure that its plans are consistent with the agency’s information management standards, policies, and procedures and its information technology infrastructure. Agency plans for implementing desktop and mobile computing must not preclude the implementation of other agency applications on the same configuration. Agencies are responsible for establishing desktop and mobile computing standard configurations, ensuring each acquisition made under this policy is consistent with those standards, and accurately tracking the costs associated with such acquisitions. In addition, agencies are responsible for the creation and maintenance of IT assets inventories for commodities purchased under this policy.

Agency management has a responsibility to establish standards of technical assistance in support of LAN activities such as installation, configuration, problem-determination, maintenance, backup, recovery, and required activities beyond those normally associated with stand-alone desktop or mobile computers. Agencies are expected to maintain internal processes to ensure that any IT commodities acquired under the authority of this policy are compliant with all applicable hardware, software, and security standards for the agency.

Agency management is responsible for taking appropriate action in the event of employee misuse of desktop and mobile computing technology or employee failure to comply with State and agency policy governing the use of desktop and mobile computing.

(Continued)

**SAM – INFORMATION TECHNOLOGY
(California Technology Agency)**

(Continued)

AGENCY ROLES AND RESPONSIBILITIES

4989.3 (Cont. 1)

(Revised 03/11)

Security. Desktop and mobile computing environments owned by state agencies involve the risk of property loss, threats to privacy, and threats to the integrity of state operations. Accordingly, agencies must be in compliance with all applicable provisions of the SAM and must implement appropriate safeguards to secure the agency's desktop and mobile computing infrastructure.

Use of personally owned smartphones is restricted to devices that are compatible with the CA.Mail or the California Email Service, and are consistent with the Statewide Enterprise Architecture.

Current agency Disaster Recovery Plans (DRP) or acceptable DRP certifications must be on file at the Technology Agency. Agencies that do not demonstrate effective compliance with the State's IT security policy and Disaster Recovery policy are not authorized to make any expenditures for desktop or mobile computing commodities until the agency has complied. See SAM Sections 5300-5399.

Desktop and Mobile Computing Coordinator. In order to ensure ongoing IT asset management practices are followed, agencies employing desktop and mobile computing should designate a unit or individual employee of the agency as the agency's Desktop and Mobile Computing Coordinator or equivalent function. The coordinator must be knowledgeable about (a) desktop and mobile computing configurations; (b) state-level and agency policies for the use of desktop and mobile computing commodities; and (c) the relationship between desktop and mobile computing and other uses of information technology within the agency.

The responsibilities of the coordinator should include:

1. Maintaining current specifications for the agency's desktop and mobile computing commodity standards;
2. Assisting in the completion and review of any DMCP documents if required by the agency's policies and procedures;
3. Coordinating the acquisition of desktop and mobile computing commodities;
4. Informing desktop and mobile computing users of available training and technical support capabilities; and
5. Maintaining continuing liaison with agency IT management to ensure that: (a) proposed desktop and mobile computing applications are consistent with the agency's established information management strategy and information technology infrastructure, and (b) desktop and mobile computing configurations can support the implementation of other agency applications.

POLICY COMPLIANCE

4989.8

(Reviewed 03/11)

If Finance determines that an agency's procedures or practices are not consistent with the Statewide Workgroup Computing Policy or with the agency's own approved policy, delegation of approval authority will be rescinded and the agency will be deemed not to have an approved Workgroup Computing Policy until such time as it can assure Finance of compliance with an approved policy.