

SAM – REVISION SUMMARY 435

Revisions to SAM sections are provided after the summary table below, and are indicated with the “track changes” display through the revised text on all revised SAM pages. Highlighted content indicates newly added information to the SAM chapter. “Track Changes” are not inserted for format changes.

**** Follow the link to the revised SAM Chapter ****

CHAPTER/ SECTION	SUMMARY
<u>CHAPTER 1</u>	
Section 30	Section added, Chapter 1300 changes, Chapter 1330 created and Authors/Contacts updated.
<u>CHAPTER 1300</u>	
Chapter 1300 TOC	Removed: Energy and Sustainability Program (moved to Chapter 1800). Removed Building and Property Management (Moved to Chapter 1330 and changed name).
Section 1301	Removed reference to Building and Property Management Branch.
Section 1320.1	Removed. Moved to section 1800.
Section 1325	Removed. Moved and renumbered to section 1802.
Section 1328	Removed reference to Direct Construction Unit and reference to two operational units in Construction Services Branch.
Section 1328.12	Removed reference to Direct Construction Unit.
Sections 1330.1 through 1330.8	Removed. Moved to Chapter 1330.
<u>CHAPTER 1330</u> New Chapter	
Sections 1330.1-1330.8	New Chapter: Sections 1330.1 through 1330.8 moved from Chapter 1300.
<u>CHAPTER 1800</u>	
Chapter 1800 TOC	Added Energy and Sustainability Program.
Chapter 1800	Chapter name revised.
Section 1800	Revised.
Section 1802	New. Moved from section 1325 to Chapter 1800, revised and renumbered.
Section 1821.4	Added linked documents including exemption form.
Section 1821.7	Added additional resource link.

(Continued)

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<u>CHAPTER 4800</u>	
Chapter 4800 TOC	Updated to reflect removal of section 4832 and related renaming of section 4819.41.
Section 4815	Per TL-16-06, updated to include definitions.
Section 4819.2	Per TL-16-06, updated to include definitions referenced in the IT Accessibility Resource Guide including: (1) Accessibility/Accessible; (2) Assistive Technology; (3) Computer Accessibility; and (4) Public Facing Applications.
Section 4819.41	Per TL 16-07, policy was updated to ensure Agency/state entity procurements comply with policies and help identify which entity (Delegated, DGS or CDT) has procurement authority over the procurement. SAM Section renamed to “Certification of Compliance with IT Policies”.
Section 4832	Per TL 16-07, policy was updated to remove duplicative language found in SAM Section 4819.41.
<u>CHAPTER 4900</u>	
Section 4927	Per TL 16-07, policy was updated to include processes related to Stage 4 Project Readiness and Approval.
Section 4927	Per TL 16-07, policy was updated to include a comprehensive description of the Project Approval Lifecycle, Stage 4 Project Readiness and Approval.
<u>CHAPTER 8700</u>	
Section 8753	Revised to change Financial Information System for California name to Department of Financial Information System for California, remove GC 11276-11277, move Fiscal Systems and Consulting Unit (FSCU) and Department of Financial Information System for California from “SWCAP Only” to “Both”, and other minor edits.
Section 8754	Revised to removed State Controller’s Office department notification process, removed quarterly assessment language, and other minor edits.

SAM—INTRODUCTION

SAM PUBLICATIONS AND CONTACTS
(Revised 9/2016)

0030 (Cont. 1)

CHAPTER/ SECTIONS	DEPT.	RESOURCES	CONTACT INFORMATION
0001-0030 Introduction	General Services, Office of Strategic Planning, Policy & Research (OSPPR)	State Administrative Manual (SAM) & Management Memos (MM)	Jason Tyburczy jason.tyburczy@dgs.ca.gov 916-376-5069 Kam Langham
			Michael Sears michael.sears@dgs.ca.gov 916-376-1862 Jason
100-110 General	General Services, Administration Division (AD)		Deputy Director 916-376-5024
130-170 General	Finance, Budget Operations Support (DOF)	www.dof.ca.gov	916-322-5540 foinbox@dof.ca.gov
180 General	General Services, Administration Division (AD)		Deputy Director 916-376-5024
190-192 General	California Department of Human Resources (CalHR)	www.calhr.ca.gov	Steve Caldwell Steve.caldwell@calhr.ca.gov 916-323-4411
200-211 Governor's Office	Governor's Office Constituent Affairs	www.gov.ca.gov	Adrian Mata Adrian.mata@gov.ca.gov 916-322-7478
400-422.1 Exempt Personnel	California Department of Human Resources (CalHR)	www.calhr.ca.gov	Angelina Snarr Angelina.snarr@calhr.ca.gov
			Raquel Belmontes Raquel.belmontes@calhr.ca.gov

SAM—INTRODUCTION

SAM PUBLICATIONS AND CONTACTS
(Revised 9/2016)

0030 (Cont. 2)

CHAPTER/ SECTIONS	DEPT.	RESOURCES	CONTACT INFORMATION
500-580 Advertising	General Services, Office of State Publishing (OSP)	www.dgs.ca.gov/osp	Danielle Mahood Danielle.mahood@dgs.ca.gov 916-323-0309
			Danelle Hamilton Danelle.hamilton@dgs.ca.gov 916-327-5867
700-750 753-780 Travel	California Department of Human Resources (CalHR)	www.calhr.ca.gov	Ray Asbell Ray.asbell@calhr.ca.gov 916-324-0526
751-752 Travel	General Services, Risk & Insurance Mgmt. (ORIM)	www.dgs.ca.gov/orim	Isabel Cortez-Raj Isabel.cortez@dgs.ca.gov 916-376-5297
900-911 Grants	Governor's Office Planning & Research	www.gov.ca.gov	Scott Morgan Scott.morgan@opr.ca.gov 916-322-2318
912 Federal Grants	Finance, Budget Operations Support	www.dof.ca.gov	916-322-5540 foinbox@dof.ca.gov
1100-1107 Statewide Planning	Governor's Office Planning and Research	www.gov.ca.gov	Scott Morgan Scott.morgan@opr.ca.gov 916-322-2318
1200-1233 Contracts	General Services, Legal Services (OLS)	www.dgs.ca.gov/ols	Richard Goldberg Richard.Goldberg@dgs.ca.gov 916-376-5108
1300 Real Estate Services Division (RESD) 1300 Real Estate Services Division (RESD)	General Services, Real Estate Services Division (RESD) General Services, Real Estate Services Division (RESD)	www.dgs.ca.gov/resd www.dgs.ca.gov/resd	James Beck James.beck@dgs.ca.gov 916-375-4154
			Karena Benskin Karena.benskin@dgs.ca.gov 916-375-4326

SAM—INTRODUCTION

SAM PUBLICATIONS AND CONTACTS
(Revised 9/2016)

0030 (Cont. 3)

CHAPTER/ SECTIONS	DEPT.	RESOURCES	CONTACT INFORMATION
<p align="center">1330 DGS Facilities Management Division (FMD)</p>	<p align="center">General Services, Facilities Managemtn Division (FMD)</p>	<p align="center">www.dgs.ca.gov</p>	<p align="center">Valerie Williams Valerie.williams@dgs.ca.gov 916-376-1725</p>
<p align="center">1450-1452.3 Division of the State Architect (DSA)</p>	<p align="center">General Services, Division of the State Architect (DSA)</p>	<p align="center">www.dgs.ca.gov/dsa</p>	<p align="center">Linda Heckert-Crough Linda.heckertcrough@dgs.ca.gov 916-324-5900 Bo Nishimura Bo.nishimura@dgs.ca.gov 916-324-5792</p>
<p align="center">1600 Records Management</p>	<p align="center">California Secretary of State (SOS)</p>	<p align="center">www.sos.ca.gov</p>	<p align="center">Rebecca Wendt Rebecca.wendt@sos.ca.gov 916-651-8420 Jenny Chakonova Jenny.chakonova@sos.ca.gov Sydney Bailey Sydney.bailey@sos.ca.gov</p>
<p align="center">1700 Forms Management</p>	<p align="center">General Services, Office of Strategic Planning, Policy & Research (OSP/PR)</p>	<p align="center">https://www.apps.dgs.ca.gov/StatewideFormsWeb/Forms.aspx</p>	<p align="center">Shelley Nishikawa Shelley.nishikawa@dgs.ca.gov 916-375-4859</p>
<p align="center">1800-1805.4 Energy and Sustainability</p>	<p align="center">General Services, Office of Sustainability</p>	<ul style="list-style-type: none"> • https://www.apps.dgs.ca.gov/EnergyAlertSubscribe/EnergyAlertSubscribe.aspx • http://www.documents.dgs.ca.gov/osp/sam/memos/M09_04a2.pdf • http://www.documents.dgs.ca.gov/osp/sam/memos/M09_04a3.pdf • http://www.documents.dgs.ca.gov/energy/elpb1.pdf 	<p align="center">Office of Sustainability sustainability@dgs.ca.gov</p>

SAM—~~REAL ESTATE SERVICES FACILITIES MANAGEMENT~~
DIVISION

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DIVISION**

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**SAM—~~REAL ESTATE SERVICES~~ FACILITIES MANAGEMENT
DIVISION**

**Rev. 429
(A-2)**

SAM—REAL ESTATE SERVICES DIVISION

ORGANIZATIONAL STRUCTURE

1301

(Revised ~~94~~/201~~6~~5)

The organizational structure for RESD is composed of the Deputy Director, Assistant Deputy Director, and four branches:

Asset Management Branch (AMB)	<i>SAM Section 1310</i>
Project Management and Development Branch (PMDB)	<i>SAM Section 1320</i>
Construction Services Branch (CSB)	<i>SAM Section 1328</i>
Building and Property Management Branch (BPMB)	<i>SAM Section 1330</i>

Note: Building and Property Management Branch was renamed the Facilities Management Division in July 2016 and its descriptions and functions are found in Chapter 1330 as of September 2016.

(Continued)

SAM – REAL ESTATE SERVICES DIVISION

ORGANIZATIONAL STRUCTURE

(Revised ~~19/2015~~6)

1301 (Cont. 1)

RESD Branches and their Functions

(Continued)

<p>Asset Management Branch (AMB)</p>	<p>The Asset Management Branch (AMB) is the first point of contact for state agencies requesting RESD services and is a liaison to RESD for state agencies. AMB reviews new project requests to ensure RESD services are provided from a statewide, strategic asset management perspective and reflect state management, policy, and statutory priorities. Additionally, AMB manages occupancy in state-owned, DGS-controlled office buildings, develops regional plans for future state office requirements, identifies and implements value enhancement solutions for selected surplus properties, sells or exchanges other state-owned surplus real estate in an “as is” condition, and negotiates the long-term ground lease of underutilized properties in order to generate revenue for the General Fund. The Statewide Real Property Inventory (SPI) is managed by staff in AMB. SPI is a comprehensive statewide inventory of all real property held by the State of California.</p>
<p>Project Management and Development Branch (PMDB)</p>	<p>PMDB includes all of the architectural and engineering services, space planning and interior design, leasing, lease management, real estate sales and acquisitions, energy and environmental services, and other related competencies such as seismic retrofits, toxic site investigation and hazardous materials remediation.</p>
<p>Construction Services Branch (CSB)</p>	<p>CSB consists of two operational units. The Construction Management and Inspection Unit (CMIU) provides construction management, code and contract document compliance inspection services for construction projects undertaken by the state. The Direct Construction Unit (DCU) utilizes a combination of contracts and day labor under certain circumstances per Section 10122 of the Public Contract Code to directly accomplish construction projects.</p>
<p>Building and Property Management Branch (BPMB)</p>	<p>The BPMB is responsible for the day-to-day, onsite management, maintenance, and operation of DGS-controlled buildings. The BPMB also provides services to properties of other state agencies where geographic location allows economic and effective operations. The BPMB provides for building administration, operations, maintenance, cleaning services, grounds keeping, and repair activities necessary to support customer needs for buildings and grounds.</p>

SAM – REAL ESTATE SERVICES DIVISION

CONSTRUCTION SERVICES BRANCH

PROGRAM SUMMARY, RESOURCES, AND CONTACTS

1328

(Revised ~~39~~/201~~6~~4)

The Construction Services Branch ([CSB](#)) consists of two operational units. The Construction Management and Inspection Unit (CMIU), which provides construction management and contract document compliance inspection services for construction projects undertaken by the state.

~~The Direct Construction Unit (DCU) utilizes a combination of contracts and day labor under certain circumstances per [Section 10122](#) of the Public Contract Code to directly accomplish construction projects.~~

MAJOR POLICIES AND SERVICES

- Available Services
 - Quality Assurance Inspection and Testing
 - Code Inspection to Ensure Compliance with Building Codes and Regulation
 - Field Level Management of Construction
 - Change Order Estimating and Negotiation
 - After-Contract Guarantee Enforcement and Dispute Resolution
 - ~~Direct Construction Services~~
 - Administration of Construction Contracts

Contact information and additional program information on CSB's services and operations maybe accessed from our home page located at <http://www.dgs.ca.gov/resd/Home/ConstructionServicesBranch.aspx>

SAM – REAL ESTATE SERVICES DIVISION

CONSTRUCTION SERVICES
(Revised 1/2015)

1328.1

Statutory Authority

Government Code Section [14951](#) states: “The State Architect has general charge, under the DGS, of the erection of all state buildings and shall have an inspector assigned to each building during its construction.” Responsibility for this inspection has been delegated to CSB by the StateArchitect.

The focus of ~~CSB the Construction Management and Inspection Unit (CMIU)~~ is to ensure that state building and related facilities are constructed in accordance with approved design and contract documents, in compliance and applicable codes and regulations, and to the highest quality standards. The ~~CMIU-CSB~~ headquarters is located in Sacramento but area offices are strategically located throughout thestate.

The ~~CSB/CMIU~~ offers the following services:

1. Quality assurance inspection and testing
2. Code inspection to ensure compliance with building codes and regulations
3. Construction management services
4. After-contract guarantee enforcement
5. After-contract dispute resolution

SAM – REAL ESTATE SERVICES DIVISION

~~**DIRECT CONSTRUCTION UNIT** _____ **1328.12**
(Revised 3/2014)~~

~~The Direct Construction Unit (DCU) is the state's in-house construction contractor. It provides, for the use of all agencies, direct construction supervisors, casual trades craftspeople, and contracting available to provide direct construction services in case of emergency or when it has been determined to be in the best interest of the state to directly undertake the work per Public Contract Code Section [10122](#).~~

Incorporated into Chapter 1330 in September 2016.

SAM – REAL ESTATE SERVICES DIVISION

Sections 1330 through 1330.8 were moved to the new Chapter 1330, DGS Facilities Management Division, in September 2016.

BUILDING AND PROPERTY MANAGEMENT BRANCH

PROGRAM SUMMARY **1330**
 (Revised 1/2015)

The Building and Property Management Branch (BPMB) manages, maintains, and operates state buildings and grounds. BPMB is a statewide operation with management units located in major cities throughout California. Its mission is to provide tenants and the public with a safe and healthy environment in which to conduct business, and to preserve the state's investment in real property and equipment through an efficient and effective centralized maintenance and operations program. BPMB offers full building and grounds maintenance and operations, including all labor, materials, and equipment, in most locations where services are provided.

BPMB services include:

Building Cleaning	Contract Administration and Management: – Security Guard Service
Routine Building Management Inspections – Assess conditions of material and equipment – Detect deterioration – Follow up and evaluate maintenance and repairs	– Elevator Maintenance Service – Window Cleaning – Projects and Repairs Oversight and Routine testing: – Security Systems – Switch Gear – Fire Life Safety Systems – Energy Management Systems
Groundskeeping	Equipment Operation, Maintenance and Warranty Compliance
Facility Operation and Maintenance	Heating, Ventilating and Air Conditioning
Trades, Crafts and Engineering Services	Energy Management
Emergency Preparedness and Response	Special Repair Projects
Environmental Health and Safety Management	Structural Maintenance
	Tenant Space Changes

{Continued}

SAM — REAL ESTATE SERVICES DIVISION

(Continued)

PROGRAM SUMMARY

1330 (Cont. 1)

(Revised 1/2015)

Information pertaining to the location and/or use of a building's facilities and amenities (e.g., auditoriums, conference rooms, atriums, cafeteria, break rooms, restrooms, concession stands, and other rooms); building directory services and bulletin boards; building services such as elevators, office temperatures, and lighting; hazardous or dangerous conditions and other related facility related areas can be directed to the building manager's office.

Additional information on BPMB's services and operations may be accessed from our home page located at <http://www.dgs.ca.gov/resd/bpm/main.asp>. If you wish to write or call us, our mailing address and telephone number are:

Building and Property Management Branch
Real Estate Services Division
1304 O Street
Sacramento, CA 95814-5906
Fax: 916-375-4968

SAM – REAL ESTATE SERVICES DIVISION

~~COST OF SERVICES~~ ~~1330.1~~
(Reviewed 12/2014)

~~Agencies pay rent for the space they use in buildings owned and operated by DGS. The rent covers regular building services, including all labor, materials and equipment. The DGS' Price Book lists the BPMB's hourly rates for services not covered in the rent. Your building manager may be contacted to answer any billing questions. Monthly invoices are generated directly to the requesting agency for:~~

- ~~1. Special building services that are not included in the rent, i.e., tenant services such as locksmithing, painting, carpentry, minor repairs, etc. Charges for special services are based on costs for time and materials. Your building manager can provide information on the services included in standard and special building services.~~
- ~~2. Services to special funded buildings where costs are not recovered through rent. Charges to special fund agencies who own their building(s) are based on the actual costs of providing services.~~

SAM – REAL ESTATE SERVICES DIVISION

BUILDING ALTERATIONS **1330.2**
(Reviewed 12/2014)

~~When an agency determines the need for a building alteration in a DGS-owned or managed building and funding of the proposal is approved, BPMB will complete the project with its in-house staff, or hire a private contractor. If a private contractor is hired, BPMB will let the contract and supervise the completion of the job.~~

SAM – REAL ESTATE SERVICES DIVISION

~~USE OF BUILDINGS OUTSIDE REGULAR WORKING HOURS~~ 1330.3
(Reviewed 12/2014)

~~The DGS-owned and managed buildings are typically in operation from 7:00 a.m. to 6:00 p.m. In light of resource conservation, personal safety, and building security concerns, agencies are encouraged to minimize the use of state buildings outside of these hours. In many buildings, use outside of the regular operation hours requires the heating or cooling of the entire building.~~

~~If your agency's operations require use of a building outside of regular operation hours, please contact your building manager so appropriate staffing and other arrangements can be made.~~

SAM – REAL ESTATE SERVICES DIVISION

~~PARKING IN LOADING DOCK AREAS OF STATE BUILDINGS~~ ~~1330.4~~
(Reviewed 12/2014)

~~Assigned parking is not permitted in loading dock areas in buildings under the jurisdiction of the DGS.
Unauthorized vehicles may be towed at the vehicle owner's expense.~~

SAM – REAL ESTATE SERVICES DIVISION

~~SMOKING IN STATE BUILDINGS~~ ~~1330.5~~
(Reviewed 12/2014)

~~Government Code Section [19994.30-35](#) bans smoking in state-owned and state-leased space. This prohibition applies to any area enclosed by the outermost walls of the building. Atriums, balconies, stairwells, and other similar building features are considered within a building.~~

SAM – REAL ESTATE SERVICES DIVISION

~~OFFICE PLANTS~~ ~~1330.6~~
(Reviewed 12/2014)

~~Purchase and care of office plants are not a service of BPMB. Budgetary justification, purchase, or lease of office plants by state personnel or by a service contract is the responsibility of the agency.~~

SAM – REAL ESTATE SERVICES DIVISION

~~DISPLAY OF ART, POSTERS, AND NOTICES IN STATE BUILDINGS~~ ~~1330.7~~
(Reviewed 12/2014)

~~Posting signs, notices, or other written material in DGS owned and managed office buildings is not allowed except on bulletin boards or other display equipment designed for this purpose. This policy is designed to prevent damage to painted surfaces and maintain a clear entry and exit. Commercial or political notices are not permitted. Artwork displayed in lobby areas will be shown only with the approval of the Director of DGS. The Director will designate a location and duration for display. If you plan a display, your justification should follow these guidelines:~~

- ~~1. Display will include work by more than one artist.~~
- ~~2. Display is not controversial.~~
- ~~3. Display is not commercial and/or not for sale.~~
- ~~4. State will not be liable for damaged or stolen artwork.~~

~~Further information on the display of artwork may be obtained by contacting your building manager. Information on the Art in Public Buildings Program can be found in [Government Code Section 15813 et seq.](#)~~

SAM – REAL ESTATE SERVICES DIVISION

~~PURCHASE AND DISPLAY OF FLAGS AT STATE BUILDINGS~~ ~~1330.8~~

~~(Reviewed 12/2014)~~

~~General~~

~~Government Code Sections 420 and 430-439 provide basic information regarding the State Flag of California and the Flag of the United States. A pamphlet entitled *California Bear Flag* is available from DGS, Office of Procurement, Documents and Publications Section. Information pertaining to the Flag of the United States is available at a nominal charge from the Superintendent of Documents, U.S. Government Printing Office, Washington, D.C., 20402. The [Flags of the World](#) web site also has information and links on this topic.~~

~~Purchase and Display~~

~~State law requires the State and American flags to be displayed at all state buildings when the state is the sole or major tenant of the building (occupying more than 50 percent of the available space). The flags must be flown outside the building and must be prominently placed although a freestanding flagpole is not necessarily required. Flying any other flags outside or on state buildings will require the approval of the Director of DGS.~~

~~The responsibility for purchase and display of flags is:~~

- ~~1. With an individual state agency when the agency is the sole or major tenant of the building, and the building is not maintained by DGS, BPMB.~~
- ~~2. With BPMB where that it manages and maintains the buildings and grounds.~~

~~Should a duly elected California official on behalf of a democratic sovereign nation or its duly appointed representative(s) request the flying of its national flag at a state building to commemorate or honor the special day, such request should be made in writing to the Director of DGS 60 days in advance of the event, when practical.~~

~~The Governor annually proclaims the third Friday of September to be known as Prisoner of War/Missing in Action (POW/MIA) Recognition Day. On that day the flag of the National League of POW/MIA Families shall be flown over certain prescribed state buildings and public buildings and grounds as specified in Military and Veterans Code Section 1831.~~

~~Flying the Flag at Half mast~~

~~Generally the American flag is flown at half mast at state buildings only by presidential and/or gubernatorial decree. In the event a state agency wishes to fly flags at half mast, authorization will be obtained from their agency secretary. The state flag shall be displayed in the same manner as the American flag.~~

SAM – DGS FACILITIES MANAGEMENT DIVISION

FACILITIES MANAGEMENT DIVISION

1330

(New Chapter 9/2016)

PROGRAM SUMMARY

1330

(Revised 9/2016)

The DGS Facilities Management Division (FMD) Building and Property Management Branch (BPMB) manages, maintains, and operates state buildings and grounds. BPMB is a statewide operation with management units located in major cities throughout California. Its mission is to provide tenants and the public with a safe and healthy environment in which to conduct business, and to preserve the state's investment in real property and equipment through an efficient and effective centralized maintenance and operations program. BPMB FMD offers full building and grounds maintenance and operations, including all labor, materials, and equipment, in most locations where services are provided.

FMD's Direct Construction Unit (DCU) is the state's in-house construction contractor. It provides, for the use of all agencies, direct construction supervisors, casual trades craftspersons, and contracting available to provide direct construction services in case of emergency or when it has been determined to be in the best interest of the state to directly undertake the work per [Public Contract Code Section 10122](#).

BPM FMD services include:

Building Cleaning	Contract Administration and Management: - Security Guard Service
Routine Building Management Inspections - Assess conditions of material and equipment - Detect deterioration - Follow-up and evaluate maintenance and repairs	- Elevator Maintenance Service - Window Cleaning - Projects and Repairs Oversight and Routine testing: - Security Systems - Switch Gear - Fire Life Safety Systems - Energy Management Systems
Groundskeeping	Equipment Operation, Maintenance and Warranty Compliance
Facility Operation and Maintenance	Heating, Ventilating and Air Conditioning
Trades, Crafts and Engineering Services	Energy Management
Emergency Preparedness and Response	Special Repair Projects
Environmental Health and Safety Management	Structural Maintenance
	Tenant Space Changes

SAM – DGS FACILITIES MANAGEMENT DIVISION

(Continued)

SAM – DGS FACILITIES MANAGEMENT DIVISION

(Continued)
PROGRAM SUMMARY
(Revised 9/1/20165)

1330 (Cont. 1)

Information pertaining to the location and/or use of a building's facilities and amenities (e.g., auditoriums, conference rooms, atriums, cafeteria, break rooms, restrooms, concession stands, and other rooms); building directory services and bulletin boards; building services such as elevators, office temperatures, and lighting; hazardous or dangerous conditions and other related facility related areas can be directed to the building manager's office.

Additional information on BPMBFMD's services and operations may be accessed from our home page located at <http://www.dgs.ca.gov/fmdresd/bpm/main.asp>. If you wish to write or call us, our mailing address and telephone number are:

Facilities Management Division
Department of General Services
707 – 3rd Street, 3rd Floor
West Sacramento, CA 95605
(916) 376-1902

Building and Property Management Branch
Real Estate Services Division
1304 O Street
Sacramento, CA 95814-5906
Fax: 916-375-4968

**SAM – REAL ESTATE SERVICES DIVISION DGS FACILITIES
MANAGEMENT DIVISION**

COST OF SERVICES

1330.1

(~~Reviewed 12/2014~~Revised 9/2016)

Agencies pay rent for the space they use in buildings owned and operated by DGS. The rent covers regular building services, including all labor, materials and equipment. The DGS' Price Book lists the BPMBFMD's hourly rates for services not covered in the rent. Your building manager may be contacted to answer any billing questions. Monthly invoices are generated directly to the requesting agency for:

1. Special building services that are not included in the rent, i.e., tenant services such as locksmithing, painting, carpentry, minor repairs, etc. Charges for special services are based on costs for time and materials. Your building manager can provide information on the services included in standard and special building services.
2. Services to special-funded buildings where costs are not recovered through rent. Charges to special fund agencies who own their building(s) are based on the actual costs of providing services.

**SAM – REAL ESTATE SERVICES DIVISION DGS FACILITIES
MANAGEMENT DIVISION**

BUILDING ALTERATIONS

1330.2

~~(Reviewed 12/2014)~~ Revised 9/2016

When an agency determines the need for a building alteration in a DGS-owned or managed building and funding of the proposal is approved, ~~BPMB-FMD~~ will complete the project with its in-house staff, or hire a private contractor. If a private contractor is hired, ~~BPMB~~FMD will ~~let the obtain~~ contract approval/execute and supervise the completion of the job.

**SAM – REAL ESTATE SERVICES DIVISION DGS FACILITIES
MANAGEMENT DIVISION**

USE OF BUILDINGS OUTSIDE REGULAR WORKING HOURS

1330.3

(Reviewed 12/2014 Revised 9/2016)

The DGS-owned and managed buildings are typically in operation from 7:00 a.m. to 6:00 p.m. In light of resource conservation, personal safety, and building security concerns, agencies are encouraged to minimize the use of state buildings outside of these hours. In many buildings, use outside of the regular operation hours requires the heating or cooling of the entire building.

If your agency's operations require use of a building outside of regular operation hours, please contact your building manager so appropriate staffing and other arrangements can be made.

**SAM – REAL ESTATE SERVICES DIVISION DGS FACILITIES
MANAGEMENT DIVISION**

PARKING IN LOADING DOCK AREAS OF STATE BUILDINGS

1330.4

~~(Reviewed 12/2014)~~ Revised 9/2016

Assigned parking is not permitted in loading dock areas in buildings under the jurisdiction of the DGS. Unauthorized vehicles may be towed at the vehicle owner's expense.

**SAM – REAL ESTATE SERVICES DIVISION DGS FACILITIES
MANAGEMENT DIVISION**

SMOKING IN STATE BUILDINGS

1330.5

(~~Reviewed 12/2014~~Revised 9/2016)

Government Code Sections 19994.30-35 bans smoking, including electronic cigarettes that deliver nicotine or other vaporized liquids, in state-owned and state-leased space. This prohibition applies to any area enclosed by the outermost walls of the building. Atriums, balconies, stairwells, and other similar building features are considered within a building.

**SAM – REAL ESTATE SERVICES DIVISION DGS FACILITIES
MANAGEMENT DIVISION**

OFFICE PLANTS

1330.6

(~~Reviewed 12/2014~~Revised 9/2016)

Purchase and care of office plants are not a service of BPMBFMD. Budgetary justification, purchase, or lease of office plants by state personnel or by a service contract is the responsibility of the agency.

**SAM – REAL ESTATE SERVICES DIVISION DGS FACILITIES
MANAGEMENT DIVISION**

DISPLAY OF ART, POSTERS, AND NOTICES IN STATE BUILDINGS

1330.7

(~~Reviewed 12/2014~~ Revised 9/2016)

Posting signs, notices, or other written material in DGS-owned and managed office buildings is not allowed except on bulletin boards or other display equipment designed for this purpose. This policy is designed to prevent damage to painted surfaces and maintain a clear entry and exit. Commercial or political notices are not permitted. Artwork displayed in lobby areas will be shown only with the approval of the Director of DGS. The ~~d~~Director will designate a location and duration for display. If you plan a display, your justification should follow these guidelines:

1. Display will include work by more than one artist.
2. Display is not controversial.
3. Display is not commercial and/or not for sale.
4. State will not be liable for damaged or stolen artwork.

Further information on the display of artwork may be obtained by contacting your building manager. Information on the Art in Public Buildings Program can be found in [Government Code Section 15813 et seq.](#)

**SAM – REAL ESTATE SERVICES DIVISION DGS FACILITIES
MANAGEMENT DIVISION**

PURCHASE AND DISPLAY OF FLAGS AT STATE BUILDINGS

1330.8

(Reviewed 12/2014 Revised 9/2016)

General

Government Code Sections [420](#) and [430-439](#) provide basic information regarding the State Flag of California and the Flag of the United States. A pamphlet entitled *California Bear Flag* is available from DGS, Office of Procurement, Documents and Publications Section. Information pertaining to the Flag of the United States is available at a nominal charge from the Superintendent of Documents, U.S. Government Printing Office, Washington, D.C., 20402. The [Flags of the World](#) web site also has information and links on this topic.

Purchase and Display

State law requires the State and American flags to be displayed at all state buildings when the state is the sole or major tenant of the building (occupying more than 50 percent of the available space). The flags must be flown outside the building and must be prominently placed although a freestanding flagpole is not necessarily required. Flying any other flags outside or on state buildings will require the approval of the Director of DGS.

The responsibility for purchase and display of flags is:

1. With an individual state agency when the agency is the sole or major tenant of the building, and the building is not maintained by DGS, [BPMBFMD](#).
2. With [BPMB-FMD](#) where that it manages and maintains the buildings and grounds.

Should a duly elected California official on behalf of a democratic sovereign nation or its duly appointed representative(s) request the flying of its national flag at a state building to commemorate or honor the special day, such request should be made in writing to the Director of DGS 60 days in advance of the event, when practical.

The Governor annually proclaims the third Friday of September to be known as Prisoner-of-War/Missing in Action (POW/MIA) Recognition Day. On that day the flag of the National League of POW/MIA Families shall be flown over certain prescribed state buildings and public buildings and grounds as specified in Military and Veterans Code Section 1831.

Flying the Flag at Half-mast

Generally the American flag is flown at half-mast at state buildings only by presidential and/or gubernatorial decree. In the event a state agency wishes to fly flags at half-mast, authorization will be obtained from their agency secretary. The state flag shall be displayed in the same manner as the American flag.

SAM – SUSTAINABLE OPERATIONS AND PRACTICES ENERGY AND SUSTAINABILITY

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SAM – ~~SUSTAINABLE OPERATIONS AND PRACTICES~~ ENERGY AND SUSTAINABILITY

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SAM – SUSTAINABLE OPERATIONS AND PRACTICES ENERGY AND SUSTAINABILITY

INTRODUCTION

1800

~~(New 8/2014)~~ Revised 9/2016

Energy and Sustainability

This State Administrative Manual (SAM) chapter provides the policies and guidelines put in place pursuant to the [Green Building Action Plan](#) accompanying [Executive Order B-18-12](#). In partnership with other state agencies, the Department of General Services ([DGS](#)) develops policies and guidelines for the operation and maintenance of state buildings to achieve operating efficiency improvements and water and resource conservation, and continually incorporates them into ~~the~~ SAM.

~~The Energy and Sustainability program's mission is to progressively move state agencies towards compliance with the Administration's sustainability initiatives. Services include research and project implementation for green and sustainable projects and buildings, Clean Renewable Energy Projects, Power Purchase Agreement (PPA) Programs, Energy Retrofit Projects/Programs, Zero Net Energy (ZNE) Building Design Program, Electric Vehicle Charging Program, State/Investor-Owned Utility Partnership Liaison, and LEED and Sustainability Consultation. See SAM Section 1325 for more details.~~

~~The DGS Office of Sustainability Energy and Sustainability Program develops and implements clean energy strategies and programs for state buildings. State departments strive to lead by example in advancing clean energy and sustainability goals in the state. The office supports state departments in this goal with programs that include clean renewable energy projects, energy retrofit projects/programs, zero net energy (ZNE) building policy development, electric vehicle charging infrastructure development, LEED certification support and state buildings benchmarking. See SAM section 1802 for more details.~~

SAM – ENERGY AND SUSTAINABILITY

DROUGHT MORATORIUM

1821.4

(~~New 10/2015~~ Revised 9/2016)

The [Emergency Drought Proclamation](#) dated January 17, 2014, places a moratorium on new, non-essential landscaping projects at state facilities and on state highways and roads. Projects that are not needed to protect existing trees and shrubs, or are not necessary for erosion or dust control are considered non-essential. Any exemptions must be approved by the governor's office. ~~Submit any exemption requests to sustanainability@dgs.ca.gov.~~ Submit any exemption requests to sustainability@dgs.ca.gov.

Rev. 43~~52~~

SAM – ENERGY AND SUSTAINABILITY

ENERGY AND SUSTAINABILITY PROGRAM

1802

(Revised 9/2016) (Renumbered from 1325)

The Energy and Sustainability Program provides research and project implementation for green and sustainable projects and buildings. The program's mission is to progressively move state agencies towards compliance with the Administration's sustainability initiatives.

- **Clean Renewable Energy Projects** – Consultation and management of projects involving clean renewable energy sources including solar photovoltaic systems and wind turbines.
- **Power Purchase Agreement (PPA) Programs** – Statewide program that provides clean renewable on-site solar and wind energy that does not require up-front capital and generally costs less than grid-based energy.
- **Energy Retrofit Projects/Programs** – Statewide program that offers a no-up-front capital, budget-neutral opportunity to participating agencies to reduce their electricity, gas and water consumption while addressing deferred maintenance and improving the environment of state facilities.
- **Zero Net Energy (ZNE) Building Program** – Project consultation program where a new or existing building is designed to produce as much on-site energy as it consumes over the course of a year.
- **Electric Vehicle Charging Program** – Consultation and management of projects for the installation of electric vehicle charging stations.
- **State/Investor-Owned Utility (IOU) Partnership Liaison** – Liaison with the IOU companies regarding incentive programs, Demand Response (DR), grid stability, and renewable energy interconnections.
- **LEED and Sustainability** – Consultation on achieving LEED building certification and other sustainable measures.

SAM – ENERGY AND SUSTAINABILITY

DROUGHT MORATORIUM

1821.4

(~~New 10/2015~~ Revised 9/2016)

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Rev. 43~~52~~

SAM – ENERGY AND SUSTAINABILITY

RESOURCES

1821.7

(~~New 10/2015~~ Revised 9/2016)

Information and Directories:

- [CalRecycle Compost and Mulch:](#)
Starting point to learn about the uses and benefits of compost and mulch.
- [CalRecycle Compost and Mulch Producers:](#)
A list of permitted compost and mulch producers, searchable by county.
- [Seal of Testing Assurance:](#)
Program run by U.S. Composting Council to assure high-quality finished products, includes listing of approved composters and laboratories.

Guidelines and Resources:

- [State Landscaping and Irrigation Guidelines](#)
- [Bay-Friendly Landscape Guidelines:](#)
Provides a whole systems approach to the design, construction, and maintenance of landscapes to support the integrity of the Sacramento River and San Francisco Bay watersheds, but applicable elsewhere as well.
- [Caltrans Compost Specifications:](#)
Guidelines for purchase and use of compost along California roadways, developed by California Department of Transportation (Caltrans). Other resources on erosion control, infiltration and plant establishment.
- [Compost Use for Landscape and Environmental Enhancement Manual:](#)
CalRecycle manual with information on compost use in landscape plantings and environmental applications.
- [Grasscycling:](#)
The natural recycling of grass by leaving clippings on the lawn when mowing.
- [Xeriscaping:](#)
Developing landscapes specifically designed to use little or no water.
- [Landscape Plants for California Gardens](#), Robert C. Perry 2010.
- [California Invasive Plant Council \(Cal-IPC\):](#)
List of invasive plants.
- [Essential Landscaping Guidelines for State of California-owned Facilities and Application for Exemption from Drought Landscaping Moratorium](#)

**SAM – INFORMATION TECHNOLOGY
(California Department of Technology)**

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**SAM – INFORMATION TECHNOLOGY
(California Department of Technology)**

**AGENCY INFORMATION OFFICER AND STATE ENTITY
CHIEF INFORMATION OFFICER RESPONSIBILITIES**

4815

(Revised ~~69~~/201~~56~~)

Within the authority of Government Code (GC) Section [11545](#) and [11546](#), the Director of the California Department of Technology ([CDT](#)) shall be responsible for providing technology direction to Agency Chief Information Officers (AIOs) and state entity Chief Information Officers (CIOs) to:

1. Integrate statewide technology initiatives,
2. Ensure Agencies/state entities are in compliance with IT and security policies and standards, and
3. Promote the alignment and effective management of IT resources.

Agency Information Officers

All Agency Information Officers (AIOs) are responsible for overseeing the management of IT assets, projects, data systems, infrastructure, services and telecommunications through the oversight and management of ~~department~~Agency-affiliated State Entity CIOs. Each AIO is responsible for developing an Agency Enterprise Architecture to rationalize, standardize and consolidate IT infrastructure, data, and procedures for all state entities within their Agency. Additionally, AIOs have been delegated CDT approval authority for Project Approval Lifecycle Stage 1 Business Analyses prepared by Agency-affiliated State Entities.

Specific responsibilities for the AIOs are published in the State Administrative Manual (SAM), Technology Letters (TLs), and the Statewide Information Management Manual (SIMM). Each AIO must be compliant with the responsibilities as described in SAM, SIMM, and TLs.

(Continued)

**SAM – INFORMATION TECHNOLOGY
(California Department of Technology)**

DEFINITIONS

4819.2

(Revised 079809/2016)

The following definitions of administrative and technical terms are provided to assist Agencies/state entities in their application of information technology (IT) policy.

The primary source for technical definitions is the Information Processing Systems Technical Report, American National Dictionary for Information Processing Systems, developed by the American National Standards Committee, X3 Information Processing Systems. In some cases the definitions have been modified to meet state needs.

Accessibility/Accessible: Individuals with disabilities are able to acquire the same information, engage in the same activities, perform the same functions, and access the same content and services as individuals without disabilities, with similar ease.

Agency: This term refers to one of the state's ~~super-umbrella Agencies such as the Business, Consumer Services and Housing Agency or the Health and Human Services Agency.~~ Umbrella Agencies include the Natural Resources Agency, California Environmental Protection Agency, Government Operations Agency, Business Consumer Services and Housing Agency, California Department of Corrections and Rehabilitation, California State Transportation Agency, Labor Agency and the California Health and Human Services Agency.

Agency-affiliated State Entities: This term refers to State Entities that are governed by one of the state's umbrella Agencies. See definition of Agency.

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

Ancillary Solicitation: An acquisition that may be necessary to achieve and/or support the primary procurement activities and objectives of an IT project. An IT project may be supported by many Ancillary Solicitations.

Assistive Technology: Any item, piece of equipment, software, or system that is designed to increase, maintain, or improve the functional capabilities of individuals with disabilities.

(Continued)

**SAM – INFORMATION TECHNOLOGY
(California Department of Technology)**

(Continued)

DEFINITIONS

4819.2 (Cont. 10)

(Revised 0987/2016)

Network Equipment: Equipment facilitating the use of a computer network. This includes routers, switches, hubs, gateways, access points, network bridges, modems, firewalls, and other related hardware and software.

Non-affiliated State Entities: This term refers to State Entities that are not governed by an Agency. See definition of Agency.

One-Time Costs: Costs associated with the analysis, design, programming, verification and validation services, staff training, data conversion, acquisition, and implementation of new IT applications. See SIMM Section 19F (Financial Analysis Worksheets).

Open Source Software: Software that includes distribution terms that comply with the following criteria provided by the Open Source Initiative: (The open source definition used here is from the Open Source Initiative and is licensed under a Creative Commons Attribution 2.5 License(<http://creativecommons.org/licenses/by/2.5/>))

1. Free Redistribution: The software can be given as part of a package with other applications;
2. Source Code: The code must either be distributed with the software or easily accessible;
3. Derived Works: The code can be altered and distributed by the new author under the same license conditions as the product on which it is based;
4. Integrity of the author's source code: Derived works must not interfere with the original author's intent or work;
5. No discrimination against persons or groups;
6. No discrimination against fields of endeavor: Distributed software cannot be restricted in who can use it based on their intent;
7. Distribution of license: The rights of the program must apply to all to whom the program is re-distributed without need for an additional license;
8. License must not be specific to a product; Meaning that an operating system product cannot be restricted to be free only if used with another specific product;
9. License must not contaminate other software; and
10. License must be technology-neutral.

(Continued)

**SAM – INFORMATION TECHNOLOGY
(California Department of Technology)**

PROCUREMENT CERTIFICATION OF COMPLIANCE WITH IT POLICIES 4819.41
(Revised 1/2016)

A signed certification of compliance with state IT policies is required for all IT ~~procurements-acquisitions (that cost \$100,000 or more and are in support of a development effort. Development is defined in SAM Section 4819.2 as "Activities or costs associated with the analysis, design, programming, data conversion, staff training, acquisition, and implementation of new IT applications."~~ Procurements of hardware, software, services, and services (including and IT Inter Agency Agreements) are included in this requirement.

A certification is not required for:

- ~~a. Procurements for Acquisitions~~ less than \$~~5100~~,000;
- ~~b. Procurements limited only to maintenance services;~~
- ~~c. Procurements in support of previously approved efforts. See SAM Section 4819.40;~~
- ~~d. Procurement of services associated with the Project Approval Lifecycle, provided the services are limited to supporting or conducting the analysis and/or preparing the applicable Project Approval Lifecycle Stage/Gate deliverable (SAM Sections ~~4927 and 4928~~); or~~
- ~~b. Procurements of excluded activities as described in SAM Section 4819.32-Projects, activities, or acquisition of telecommunications equipment used exclusively for voice communications;~~
- ~~e.c. Projects, activities, or acquisitions of Voice over Internet Protocol (VoIP) phone systems that are stand alone and do not interface with other systems on the network.~~

The certification must be completed by the Agency/state entity that will directly utilize the procured goods or services. ~~and~~ When an acquisition requires the approval of either the California Department of Technology (CDT) or the Department of General Services (DGS) the original signed certification must be included-submitted with the applicable transmittal document for each IT acquisition transaction (including requests to approve Non-Competitively Bid Justifications and Limited to Brand or Trade Name Statement) of the procurement package to the procurement Agency/state entity or authority. For audit and review purposes, a copy of the signed certification must be retained in the Agency/state entity's procurement file. When an acquisition is conducted under purchasing authority granted by the DGS, the original signed certification must be retained in the procurement file. The required ~~format for the certification form~~ is provided in SAM-SIMM Section 483271B.

**SAM – INFORMATION TECHNOLOGY
(California Department of Technology)**

CERTIFICATION OF COMPLIANCE WITH POLICIES _____ **4832**

(Revised 6/2015)

The SAM Section 4819.41 specifies that signed certifications of compliance with the state's information technology (IT) policies must be included with the transmittal of certain procurement packages to the procurement Agency/state entity or authority. The required format of the certification is provided in [SAM Section 4832, Illustration 1](#).

Signature Authority Certifications for procurements of \$100,000 or more MUST be signed by the Agency/state entity director or by a member of Agency/state entity management specifically designated by the director for this purpose.

As shown in 4832 Illustration 1, the certification must reference one of the following with respect to the justification and approval of the proposed procurement:

1. If the procurement is for a project approved by the Department of Technology, the project is currently under development, and the Post-Implementation Evaluation Report (PIER) has not yet been approved, provide the project number, the title, and approval date of the Stage 4 Project Readiness and Approval. If the procurement is the result of a non-reportable project, provide the project number, the title, and the date of the document indicating approval.
2. If the procurement is an Interagency agreement to procure services from a consolidated data center in support of multiple projects, it must be certified that: (1) the funding level is appropriate for the nature and scope of the services to be supplied; (2) the services are consistent with approved Project Approval Lifecycle (PAL) Stage/Gate deliverable and/or PIERs; and (3) project reporting for the various projects is current.

Submission of a PAL Stage/Gate deliverable to the Department of Technology or to the Agency/state entity director does not constitute project approval. Approval requires an approval letter from the Department of Technology or, for delegated projects, a document indicating approval by the Agency/state entity director or the director's designee.

(Continued)

**SAM – INFORMATION TECHNOLOGY
(California Department of Technology)**

PROJECT APPROVAL LIFECYCLE PROCESS

4927

(Revised ~~4078~~/2016)

Each Agency/state entity must follow a systematic, analytical process for evaluating and documenting the analysis of proposed IT projects, as defined in SAM Section [4819.2](#).

This process includes:

1. Developing an understanding of a problem (or opportunity) in terms of its effect on the Agency/state entity'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 solution requirements of an acceptable response;
5. Identifying and evaluating possible alternative responses with respect to the established objectives;
6. Preparing an financial analysis for each alternative that meets the established objectives and solution requirements;
7. Selecting the alternative that is the best response to the problem or opportunity;
8. Developing a solicitation package that will result in the selection of qualified vendors;
9. Developing a contract by which the sState and the vendor can effectively leverage to achieve project objectives and outcomes;
10. Preparing a management plan for implementation of the proposed response; ~~and~~
- [11. Capturing and documenting Documenting](#) the results of the study in the form of [analytical and comparable data in the](#) Project Approval Lifecycle Stage/Gate deliverables, as specified in SAM Section 4928-~~i~~;
- [12. Validating the maturity and readiness of the Agency/state entity to undertake critical project activities \(e.g., testing, release management, organizational change management, business process reengineering\);](#)
- [13. Reinforcing the commitment of stakeholders, state staff, and contractor/vendor resources prior to project design, development and implementation; and](#)
- ~~11-14.~~ [14. Establishing accurate and realistic baselines to measure project health and success.](#)

**SAM – INFORMATION TECHNOLOGY
(California Department of Technology)**

PROJECT APPROVAL LIFECYCLE PROCESS

4927

(Revised ~~4078~~/2016)

Each Agency/state entity must follow a systematic, analytical process for evaluating and documenting the analysis of proposed IT projects, as defined in SAM Section [4819.2](#).

This process includes:

1. Developing an understanding of a problem (or opportunity) in terms of its effect on the Agency/state entity'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 solution requirements of an acceptable response;
5. Identifying and evaluating possible alternative responses with respect to the established objectives;
6. Preparing an financial analysis for each alternative that meets the established objectives and solution requirements;
7. Selecting the alternative that is the best response to the problem or opportunity;
8. Developing a solicitation package that will result in the selection of qualified vendors;
9. Developing a contract by which the sState and the vendor can effectively leverage to achieve project objectives and outcomes;
10. Preparing a management plan for implementation of the proposed response; ~~and~~
- [11. Capturing and documenting Documenting](#) the results of the study in the form of [analytical and comparable data in the](#) Project Approval Lifecycle Stage/Gate deliverables, as specified in SAM Section 4928-~~i~~;
- [12. Validating the maturity and readiness of the Agency/state entity to undertake critical project activities \(e.g., testing, release management, organizational change management, business process reengineering\);](#)
- [13. Reinforcing the commitment of stakeholders, state staff, and contractor/vendor resources prior to project design, development and implementation; and](#)
- ~~11-14.~~ [14. Establishing accurate and realistic baselines to measure project health and success.](#)

**SAM – INFORMATION TECHNOLOGY
(California Department of Technology)**

PROJECT APPROVAL LIFECYCLE STAGE/GATE DELIVERABLES

4928

(Revised 08/2016)

The Project Approval Lifecycle (PAL) Stage/Gate deliverables, here and after referred to as “deliverables”, must provide an accurate summary of the results of each Stage/Gate analysis. The deliverables must provide a complete summary of the results of the analysis and establish the business case for investment of state resources in a proposed project by setting out the reasons for undertaking the project and analyzing its costs and benefits. The PAL Stage/Gate model includes the following deliverables:

Stage 1 Business Analysis: Provides a basis for project management, program management, executive management, and state-level control agencies to understand and agree on business problems or opportunities, and the objectives to address them. In order to evaluate a Stage 1 Business Analysis, the Department of Technology must fully understand the business justification. Therefore, each proposal must describe in detail the business driver(s), statutes or legislation, program background and context, business problems or opportunities, strategic business alignment, organizational readiness, and business and stakeholder impact. Additionally, the Stage 1 Business Analyses are used to generate the quarterly Conceptually Approved IT Project Proposals Report which represents the Executive Branch's plan for IT investments in support of the California IT Strategic Plan.

Stage 2 Alternatives Analysis: Provides a basis for how the proposal’s business objectives will be achieved, the evaluation of multiple alternative solutions, determines which alternative will yield the highest probability of meeting the business objectives, and to develop an acquisition strategy/plan for procuring services. In order to evaluate a Stage 2 Alternatives Analysis, the Department of Technology must fully understand how the selected alternative will best achieve the proposed project’s business objectives. Each proposal must provide sufficient detail to describe the baseline processes, mid-level solution requirements, alternative solutions, recommended solution, procurement strategy and staffing considerations. This deliverable must also include a financial analysis of the life cycle costs, benefits and source of funding of the proposed project and the costs and benefits of the current method of operation during the life cycle of the project.

(Continued)

**SAM – INFORMATION TECHNOLOGY
(California Department of Technology)**

(Continued)

PROJECT APPROVAL LIFECYCLE STAGE/GATE DELIVERABLES 4928 (Cont. 1)

(Revised [084](#)/2016)

Stage 3 Solution Development: Provides a basis for how the project will mature mid-level solution requirements into clearly defined and detailed solution requirements, develop solicitations to acquire solutions that best meet business objectives and yield the highest probability of success. In order to evaluate a Stage 3 Solution Development, the Department of Technology must fully understand the procurement methodology, approach and selection criteria to obtain a value effective solution. Each proposal must provide sufficient detail to describe the procurement profile, solution requirements, evaluation criteria, cost and payment model, negotiation strategy, statement of work, and staffing plan.

Stage 4 Project Readiness and Approval: Provides [a basis for how the intended awardee will contribute towards the successful achievement of the project's business objectives and yield the highest probability of success, ensure the Agency/state entity's readiness to execute the project and establish realistic schedule and cost baselines. In order to evaluate a Stage 4 Project Readiness and Approval, each proposal must provide sufficient detail to describe the solicitation results, contract management strategy, organizational/project readiness and project baselines \(scope, schedule, cost and resources\). This deliverable must also include an updated financial analysis which will support the final approval of project funding requests.](#) ~~confirmation of project scope, resources (internal and external), and cost in support of requesting solution funding and project readiness to proceed with implementation.~~

PAL Stage/Gate deliverables must be submitted to the California Department of Technology (Department of Technology), and to the Office of the Legislative Analyst, and to the Department of Finance's Information Technology Consulting Unit. Deliverables must be submitted in a format specified by the Department of Technology and signed by the Agency/state entity director or his/her designee. The Department of Technology publishes detailed instructions and guidelines for Agency/state entity use in preparing deliverables. A copy of the instructions, guidelines, and required forms is available in [SIMM Section 19](#). The instructions and guidelines specify the MINIMUM amount of information necessary for the Department of Technology's approval. The Agency/state entity must maintain sufficient documentation of each analysis to ensure that project participants, Agency/state entity management, and control agency personnel can resolve any questions about the intent, justification, nature, and scope of the project.

SAM-MISCELLANEOUS ACCOUNTING PROCEDURES

CENTRAL SERVICE COSTS

8753

(Revised ~~063/2016~~5)

Central service costs are those amounts expended by central service departments and the Legislature for overall administration of state government and for providing centralized services to state departments. These functions are necessary for state operations and are centralized to provide efficient and consistent statewide policy and services. Central service departments are:

California State Auditor's Office	Legislative Counsel Bureau
California State Library	Legislature
California Department of Technology	Office of Administrative Law
Department of Finance	Office of Planning and Research
Department of Human Resources	Secretary of the California Health and Human Services Agency
Department of Justice	
Financial Information System for California Department of Financial Information System for California	State Controller's Office
Governor's Office	State Personnel Board
Health Benefits for Annuitants (Retired) Dental Benefits for Annuitants (Retired) Health Benefits for Annuitants (Retired CSU)	State Treasurer's Office

Central service costs are funded by the General Fund and the Central Service Cost Recovery Fund appropriations made to each central service department. The central services benefit most funds/departments. For equity, Government Code sections ~~11270-11277~~11270-11275 and 22883 provide for the sharing of central service costs by funds other than the General Fund and the Central Service Cost Recovery Fund. This cost sharing process is titled formally as "General Administrative Costs" but is known more commonly as "Pro Rata." See explanation in SAM section 8754.

In addition to administering the Pro Rata central service costs sharing, the Department of Finance, Fiscal Systems and Consulting Unit ([FSCU](#)), prepares a Statewide Cost Allocation Plan ([SWCAP](#)) each year. SWCAP is a cost allocation plan which apportions federally allowable central service costs to departments. Therefore, differences exist in the central service costs contained in the two plans.

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SAM—MISCELLANEOUS ACCOUNTING PROCEDURES

GENERAL ADMINISTRATIVE COSTS (PRO RATA)

8754

(Revised 06/~~2016~~⁰⁹)

General Administrative Costs ~~will be~~ shared commonly referred to as Pro Rata. As mentioned in SAM sSection 8753, Pro Rata is the sharing of central service costs by funds other than the General Fund and the Central Service Cost Recovery Fund (CSCRF).

The cost of each central service is apportioned to departments. Then, each department's total central service costs are allocated to the department's funding source(s).

The Department of Finance (Finance), Fiscal Systems and Consulting Unit (FSCU) classifies funds as nonbillable or billable. In general, nonbillable funds are those whose funding source is the General Fund or a federal fund. Billable funds are funded by special revenue sources such as fees, licenses, penalties, assessments, etc.

FSCU calculates Pro Rata costs for both billable and nonbillable funds. ~~The total~~ Pro Rata cost information is shared ~~provided~~ to departments so that full departmental/program costs can be determined. The se detailed reports are available at website: <http://www.dof.ca.gov/fisa/prowswcap/prowswcap.htm>. Full cost information is particularly important when nonbillable funding sources provide and recover full costs for reimbursable services. See SAM sSection 8756 for more information on the sState's full cost recovery process.

~~Each year, Finance certifies to the State Controller's Office (SCO) the Pro Rata costs to be charged to billable funds. The certification is sent to the State Controller's Office (SCO). The SCO notifies each department of the impending Pro Rata assessments for each of its billable fund(s). Departments have thirty days from the SCO notification date to request deferral of Pro Rata charges. Departments will send all deferral requests to the SCO. The SCO will transmit one copy of the department's deferral request to the Finance FSCU, and will defer any transfer of Pro Rata charges until a decision has been made on the deferral request.~~

Pro Rata assessments against billable funds are paid ~~processed~~ by the SCO transfers. ~~The SCO transfers one-fourth of each assessment on August 15, November 15, February 15, and May 15 of each fiscal year.~~ The transfers are first made to the Central Service Cost Recovery Fund CSCRF up to the amount determined by Finance, FSCU. All subsequent transfers for that fiscal year are made to the General Fund.

For Any questions concerning Pro Rata, contact the Finance FSCU Pro Rata analyst at fiproswp@dof.ca.gov.