Ref.	Policy	SAM
R1	**IT Project Activities:** Expenditures in support of an IT project will require CDT approval unless delegated to the Agency/state entity Director, provided that the activity meets the following definition: *IT Project - A unique endeavor with a defined beginning and end, named deliverables and defined budget/resources that consumes at least 500 hours of effort. IT projects are undertaken to provide an IT solution for a business problem/opportunity in order to meet unique goals and defined objectives that encompasses computerized and auxiliary automated information handling, that may include systems design and analysis, conversion of data, computer programming, information storage and retrieval, data transmission, requisite system controls, simulation, and related interactions between people and machines. Also see definition of IT Activity.*	SAM 4819.2
R2	**Maintenance and Operations Activities**: Expenditures in support of an ongoing IT activity will normally not require CDT approval provided that the activity meets the following definition: *Maintenance – Activities or costs associated with ongoing upkeep of operational applications (such as correcting flaws, optimizing existing systems or applications, responding to minor changes in specified user requirements, renewal of equipment maintenance agreements, software or hardware upgrade or refresh to maintain the health of the systems, and meeting normal workload increases using substantially the same applications, facilities, IT personnel, supplies and software).* *Operations - Activities or costs associated with continued use of applications (such as IT personnel associated with computer operations, including network operations, job control, scheduling, key entry, and the costs of computer time or other resources for processing).*	SAM 4819.2
R3	**Ongoing IT Activity:** Expenditures in support of an ongoing IT activity will normally not require CDT approval provided that the activity meets the following definition: *Previously Approved Project/Effort - An IT activity or project previously approved by CDT or the Agency/state entity's executive officer in accordance with SAM Section 4819.3. Qualification of an activity as a previously approved effort requires an approved FSR or PAL Stage 4 Project Readiness and Approval AND an approved PIER. Effort/project must use substantially the same equipment, facilities, technical personnel, supplies and software to meet substantially the same requirements or to meet normal workload increases. "Substantially the same equipment" does not include the addition, upgrade or replacement of a central processing unit. (Applicable activities include meeting modified needs, improving the effectiveness of the activity, program or system maintenance, or extension of existing services to new or additional users performing essentially the same functions as those that the project was designed to support).* Notes: 1. "Substantially the same equipment" does not include the addition, upgrade or replacement of a Mainframe. 2. Minor changes in functionality and/or equipment will normally meet the definition of previously approved effort/project. Significant changes in functionality and/or equipment that require budget actions do not meet the definition of previously approved effort/project.	SAM 4819.2, 4819.40
R4	**Single Function Process Control Systems, Analog Data Collection Devices, or Telemetry Systems:** Activities include automated processing systems that monitors and controls the operation of a single function system, and that can perform that control in isolation from other systems (such as components necessary to monitor and control the traffic signals at an intersection, the position of water restriction and diversion components in a water supply and distribution system, environmental systems for buildings or to adjust the behavior of a motorized conveyer in response to changes in load and demand). This includes sensors,	SAM 4819.32

| | telemetry devices, alarm and physical entry controls, functional components such as motors or traffic lights, electronic control processors, and the network system that connects those devices into a single-function process control system

This should not be interpreted to include information processing and network systems in which data is gathered, stored, transmitted, processed, analyzed, displayed, printed or reported for purposes other than the direct, automatic monitoring and controlling of a single function system, or for the manual review of the performance and activities of that single system.

Note: Any component that may be added to any process control system, such as additional sensors, processing capacity or network communications capability, that is necessary for use in conjunction with a current or planned IT system must be included in all Project Approval Lifecycle Stage/Gate deliverables, plans, proposals and budget estimates for the IT system. | |
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| R5 | **Telecommunications Equipment Used Exclusively for Voice Communications:** Projects, activities, or acquisitions where approval and initiation is within the jurisdiction of the Public Safety Communications Office, per California Government Code Section 15275-15277, such as public safety telecommunications including microwave, satellite, 911, telematics, and radio/rf. | SAM 4819.32 |
| R6 | **Voice Over Internet Protocol (VOIP) Phone Systems:** Installations of VOIP systems that are stand alone and do not interface with other systems on the network. | SAM 4819.32 |
| R7 | **Acquisition of Printers, Scanners, and Copiers**: If any of these components are part of a planned IT system they must be included in all Project Approval Lifecycle Stage/Gate deliverables, plans, proposals and budget estimates for the IT system. | SAM 4819.32 |
| R8 | **Desktop and Mobile Computing Delegations:** Agencies/state entities are delegated the authority to acquire desktop and mobile computing commodities to support increased staffing, as well as the ongoing replacement of obsolete or nonfunctioning desktop and mobile computing commodities. Delegation includes authority for the acquisition of equipment and software to support the Agency/State entity's desktop and mobile computing activities. Agencies/state entities must have submitted acceptable Technology Recovery Plans or Technology Recovery Plan 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. See SIMM 4989 for policy details, definitions and exclusions. | SAM 4819.34, 4989 |
| R9 | **Commercial-off-the-Shelf (COTS) Software and Cloud Software-as-a-Service (SaaS) Delegation:** Agencies/state entities are delegated the authority for the approval and acquisition of COTS software and Cloud SaaS solutions which are not classified as reportable (see SAM Section 4819.37 for a list of reportable project criteria). The acquisition must meet "ALL" of the following conditions:

• Software licenses and consulting services will be acquired through a leveraged purchasing agreement managed by the Department of General Services (e.g. CMAS or MSA) or through one of the Department of Technology's master contracts.
• Does not require installation of new hardware on premises at the Agency/state entity or its designated data center.
• Solution is single purpose use, not mission critical, and used for internal purposes only.
• Does not exchange confidential or sensitive data with other systems.

Agency/state entities must notify the Department of Technology of all COTS and SaaS acquisitions prior to project initiation as defined in Statewide Information Management Manual (SIMM) Section 22. | SAM 4819.34, 4989.2

SIMM 22 |

R10	**Reportable Project:** Agencies/state entities must obtain formal approval for all projects that meet at least one of the following criteria before encumbering or expending funds on, or dedicating staff resources to, the project. 1. Projects whose initiation depends upon decisions to be made during the development or enactment of the Governor's Budget, such as approval of a Budget Change Proposal or Budget Revision to increase the Agency/state entity's existing IT activities related to the project; 2. Projects that involve a new system development or acquisition that is specifically required by legislative mandate or is subject to special legislative review as specified in budget control language or other legislation; 3. Projects that have a cost that exceeds the level the Agency/state entity's delegated cost threshold assigned by the Department of Technology and do not meet the criteria of a desktop and mobile computing commodity expenditure (see SAM Section 4989 – 4989.3); 4. Projects that meet previously imposed conditions by the Department of Technology.	SAM 4819.37
R11	**Reporting Exemption Request:** Agency/state entity may request an exemption from reporting the results of three stages of the PAL [Stage 2 Alternatives Analysis (S2AA), Stage 3 Solution Development (S3SD) and Stage 4 Project Readiness and Approval (S4PRA)] to CDT. Each Agency/state entity's request for exemption will be evaluated on a case-by-case basis. Exempting an Agency/state entity from reporting to the Department of Technology does not eliminate the requirement for approval of PAL Stage/Gate deliverables by the Agency/state entity director. A prerequisite to submitting a PAL Reporting Exemption Requests (PAL-RER) is that the proposal must have an approved Stage 1 Business Analysis (S1BA) and the Agency/state entity must have an acceptable Technology Recovery Plan and an Agency Information Management Strategy (AIMS) approved by CDT. Additional requirements for PAL-RERs, including the circumstances in which Stage/Gate deliverables must be approved by CDT, are described in policy contained in SAM Sections 4819.37 and 4819.38.	SAM 4819.37, 4819.38