

# IT POLICY LETTER

<b>SUBJECT:</b> <b>AGENCY INFORMATION OFFICER AND DEPARTMENT CHIEF INFORMATION OFFICER RESPONSIBILITIES</b>	<b>NUMBER:</b> <b>ITPL 09-05</b>
<b>REFERENCES:</b> Governor's Reorganization Plan #1 Government Code Section 11545 and 11546 State Administrative Manual Section 4815 Statewide Information Management Manual Sections 17 and 58	<b>DATE ISSUED:</b> JUNE 26, 2009  <b>EXPIRES:</b> Until Rescinded
	<b>ISSUING AGENCY:</b> OFFICE OF THE STATE CHIEF INFORMATION OFFICER

---

## DISTRIBUTION

Agency Undersecretaries  
Agency Chief Information Officers  
Department Chief Deputy Directors  
Department Chief Information Officers

---

## PURPOSE

The purpose of this policy is to clarify the reporting structure and responsibilities for Agency<sup>1</sup> Chief Information Officers (AIO) and department Chief Information Officers (CIO) to ensure consistency with Chapter 183, Statutes of 2007 (Senate Bill 90) and the Governor's Reorganization Plan 1. This policy also defines the reporting relationship of state employees and contractors performing information technology activities and announces a new State Administrative Manual (SAM) Section 4815, associated with the clarification of AIO and department CIO responsibilities.

---

## BACKGROUND

Within the authority of Government Code (GC) Sections 11545 and 11546, the State Chief Information Officer (State CIO) has responsibility and authority for:

- The establishment and enforcement of state Information Technology (IT) strategic plans, policies, standards, and enterprise architecture; and
- The approval and oversight of IT projects.

In addition, GC 11545 also clarifies that the State CIO shall provide technology direction to AIOs and CIOs to ensure the integration of statewide technology initiatives, compliance with information technology policies and standards, and promote the alignment and effective management of IT resources.

---

<sup>1</sup> When capitalized, the term "Agency" refers to one of the state's super agencies such as the State and Consumer Services Agency or the Health and Human Services Agency. When used in lower case, the term "agency" refers to any office, department, board, bureau, commission or other organizational entity within state government. Within this ITPL, "agency" and "department" are used interchangeably.

---

## **POLICY**

*Agency Chief Information Officers (AIOs) and Non-Affiliated Chief Information Officers:* All AIOs are responsible for overseeing the management of IT assets, projects, data systems, infrastructure, services and telecommunications through the oversight and management of department CIOs. Each AIO is responsible for developing an Agency Enterprise Architecture to rationalize, standardize, and consolidate IT infrastructure, data, and procedures for all departments within their Agency.

*Department Chief Information Officers:* Department CIOs are directly responsible for all IT activities within the department. CIOs are responsible for all IT systems, assets, projects, purchases, and contracts, and will ensure departmental conformity with the Agency Enterprise Architecture. Department CIOs are also responsible for:

- Portfolio management of the department's technology initiatives.
- Operational oversight of IT functions, human resource management, and operations, including, but not limited to:
  - Web application development;
  - Application and database development and management;
  - Security administration;
  - Telecommunications, including Public Safety Communications;
  - Project planning, consulting and management; and
  - Help desk and customer service management.

Agency and Department CIOs are accountable to the State CIO with respect to technology direction, including, but not limited to, IT policy, planning and management.

*Non-Affiliated Chief Information Officers:* With the exception of the responsibilities related to the oversight of Agency-affiliated department CIOs, non-affiliated department CIOs have the same responsibilities as AIOs. In addition, non-affiliated department CIOs also have the same responsibilities as Agency-affiliated department CIOs.

*Employees and Contractors:* All state employees in information technology classifications, and all other state employees or contractors performing IT activities and/or functions must be in a direct reporting relationship to the appropriate Agency or department CIO.

Agency and department CIOs must be in compliance with state IT policies and procedures as described in SAM, SIMM and IT Policy Letters.

These changes in responsibility will appear in the next update of the State Administrative Manual (SAM). An advance copy of the new SAM Section 4815 is included as Attachment 1 to this ITPL.

---

## **CONTACT**

Please direct all questions concerning this ITPL to Adrian Farley at (916) 319-9133, or by e-mail at [Adrian.Farley@cio.ca.gov](mailto:Adrian.Farley@cio.ca.gov).

---

**SIGNATURE**

---

      /s/        
Teri Takai,  
Chief Information Officer  
State of California

---

**Advance Copy of SAM Section 4815**

**4815 AGENCY INFORMATION OFFICER AND DEPARTMENT CHIEF INFORMATION OFFICER RESPONSIBILITIES**

(New 09/09)

Within the authority of Government Code (GC) Section 11545 and 11546, the State Chief Information Officer (State CIO) shall be responsible for providing technology direction to Agency Chief Information Officers (AIO) and department Chief Information Officers (CIOs) to:

1. Integrate statewide technology initiatives,
2. Ensure Agencies and departments are in compliance with information technology and security policies and standards, and
3. Promote the alignment and effective management of information technology 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 CIO's. Each AIO is responsible for developing an Agency Enterprise Architecture to rationalize, standardize and consolidate IT infrastructure, data, and procedures for all departments within their Agency.

Specific responsibilities for the AIOs are published in Information Technology Policy Letters or the Statewide Information Management Manual (SIMM) for new policies and initiatives. Each AIO must be compliant with the responsibilities as described in SAM, SIMM, and IT Policy Letters.

**Department Chief Information Officers**

Department CIOs are directly responsible for all IT activities within the department. CIOs are responsible for all IT systems, assets, projects, purchases, and contracts and will ensure departmental conformity with the Agency Enterprise Architecture. Department CIOs are also responsible for:

- Portfolio management of the department's technology initiatives.
- Operational oversight of IT functions, personnel and operations including:
  - Web application development;
  - Application and database management;
  - Security administration;
  - Telecommunications, including Public Safety Communications;
  - Project planning, consulting, and management; and
  - Help desk and customer service management.

Agency and department CIOs must be in compliance with state IT policies and procedures as described in SAM, SIMM and IT Policy Letters.

## **Non-Affiliated Chief Information Officers**

With the exception of the responsibilities related to the oversight of Agency-affiliated department CIOs, non-affiliated department CIOs have the same responsibilities as AIOs. In addition, non-affiliated department CIOs also have the same responsibilities as Agency-affiliated department CIOs.

### **Reporting**

Agency and Department CIOs are accountable to the State CIO with respect to technology direction, including, but not limited to, IT policy, planning and management.

All state employees in information technology classifications, and all other state employees or contractors performing IT activities and/or functions must be in a direct reporting relationship to the appropriate Agency or department CIO.

Consistent with the federated governance model, the OCIO will work with the Agencies and departments to implement this operating model in a way that aligns with their business operations.