OFFICE OF THE STATE CIO

IT POLICY LETTER

	NUMBER: **ITPL 10-15**
SUBJECT: **ENTERPRISE ARCHITECTURE STANDARDS AND PROCEDURES** **Emphasis:** Update and clarify the governance process for Enterprise Architecture (EA), and the release of EA Standards and Practices	DATE ISSUED: DECEMBER 15, 2010
	EXPIRES: Until Rescinded
REFERENCES: Government Code Section 11545 State Administrative Manual Sections 4819.31.6 and 4906 Statewide Information Management Manual Sections 58, 60, 110, and 158 Information Technology Policy Letter 09-03	ISSUING AGENCY: OFFICE OF THE STATE CHIEF INFORMATION OFFICER

Note: Agency[1] Chief Information Officers (Agency CIO) and Department Chief Information Officers (CIO) are requested to forward a copy of this Information Technology Policy Letter (ITPL) to your Enterprise Architects.

DISTRIBUTION	Agency Secretaries Agency Chief Information Officers Department Directors Department Chief Information Officers
PURPOSE	Building upon the statewide Enterprise Architecture (EA) established by the Office of the State Chief Information Officer (OCIO)[2] when ITPL 09-03 was released in April 2009, the purpose of this ITPL is to announce:

- Enhancements and clarifications to the review and vetting process for EA Standards and EA Practices. This includes:

  - Updated content to Section 4906 of the State Administrative Manual (SAM);

  - Updated content to the Statewide Enterprise Architecture in Section 58 of the Statewide Information Management Manual (SIMM), specifically the EA Developers Guide in Section 58A, the Governance Process in Section 58B and the EA Glossary in Section 58C; and

  - The addition of EA Standards and EA Practices to the SIMM as Sections 58D and 158 respectively.

- The EA Standards and EA Practices published to date.

BACKGROUND	Within the authority of Government Code Section 11545, the OCIO has broad responsibility and authority to guide the application of information

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[1] 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.
[2] Effective January 1, 2011, the Office of the State Chief Information Officer (OCIO) is renamed the California Technology Agency (CaTA).

technology (IT) in California State government. This includes establishing and enforcing state IT strategic plans, policies, standards, practices, and EA.

EA is a process used to facilitate changes within the state. EA Standards and Practices support the establishment of the statewide roadmap to achieve the business mission and goals by improving the performance of its core business processes within an efficient IT environment.

POLICY

Agencies and departments are required to implement their EA in accordance with the instructions and guidelines included in Section 58 of the SIMM, as stated in Sections 4819.31.6 and 4906 of the SAM. This includes complying with the EA Standards in SIMM Section 58D.

PROCESS

Located within the California IT Wiki, the EA Standards Wiki is used to provide state agencies and other interested parties with the status of EA Standards and Practices from initial submittal as a proposal through final notification of disposition.

The EA Standards Wiki notification feature replaces the issuance of additional ITPLs when EA Standards and Practices are added, changed or deleted. Accordingly, individuals interested in the status and disposition of proposed EA Standards and Practices should subscribe to the RSS feed. State staff may submit questions or comments to the OCIO using the IT Forum. The IT Forum Registration process is described within the Web site.

Once approved, an EA Standard is noted as "Published" in SIMM Section 58D. Similarly, an EA Practice is noted as "Published" in SIMM Section 158. The EA Governance Process described in SIMM Section 58B is updated to include the notification process previously discussed. In addition, Sections 58D and 158 are added to the SIMM for "Published" EA Standards and Practices. A list of the EA Standards and EA Practices published to date is included in this ITPL as Attachment A.

Section 4906 of the SAM will be updated to add narrative regarding complying with the EA Standards in SIMM Section 58D. SAM Section 4906 will also be updated to add a SIMM Section 158 reference and narrative advising state agencies, to the extent practical, to utilize the SIMM Section 158 EA Practices. An advance copy of the SAM Section 4906 update is included in this ITPL as Attachment B.

SPECIAL CONDITIONS

The "Effective Date" for EA Standards and Practices is noted when published in SIMM. In some cases, special conditions or timeframes associated with implementing specific EA Standards and Practices are addressed within the "Implementation" section of the individual EA Standard or Practice.

For example, state agencies must comply with the Geocode Standards published concurrently with this ITPL for IT projects approved after July 1, 2010. For systems that are already in place, state agencies should review the Geocode Standards, and incorporate implementation or retrofit plans into their Agency Information Management Strategy (AIMS). The AIMS policy in SAM Section 4900 and AIMS reporting in SIMM Sections 05A, 60, and 110 are unchanged at this time.

APPLICABILITY

All state agencies under the direct executive authority of the Governor's

Office are required to comply with this policy.

**CHANGES AND
VARIANCES TO
EA STANDARDS**

The [Enterprise Architecture Developers Guide](#), available in Section 58A of the SIMM has been updated to clarify the process departments should follow when proposing changes and variances to existing EA Standards. Changes and variances may be proposed using the Compliance Component Tools in Section 3.2.2, and by following the EA Compliance Package submittal instructions in Section 5.2. Additional detail is also included in Section 4.1 within the "Compliance Components Modification" sub-section.

DEFINITIONS

The EA Glossary included in SIMM Section 58C has been updated to include the following definitions:

- Albers Equal Area Projection
- Composite Service
- Coding Accuracy Support System (CASS)
- Datum
- Geocode
- Geodetic Datum
- Projection

**SAM AND SIMM
CHANGES**

The SAM Section 4906, Enterprise Architecture, will be updated to incorporate the changes previously discussed. An advance copy of the SAM update is included in this ITPL as Attachment B.

The SIMM, located at http://www.cio.ca.gov/Government/IT_Policy/SIMM.html, has been updated to include the following changes:

- **SIMM Section 58A, The Enterprise Architecture Developers Guide –** Updated to clarify the process for proposing changes and variances to EA Standards previously discussed.

- **SIMM Section 58B, The Enterprise Architecture Governance Process –** Updated to include the governance process clarifications previously discussed.

- **SIMM Section 58C, Enterprise Architecture Glossary –** Updated to include the definitions preciously discussed.

- **SIMM Section 58D, Enterprise Architecture Standards –** Added to include EA Standards that agencies must comply with as Section 58D.1 for Technical Reference Model Standards, and Section 58D.2 for Service Component Reference Model Standards.

- **SIMM Section 158, Enterprise Architecture Practices –** Added to include EA Practices that agencies are encouraged to follow as Section 158A for Technical Reference Model Practices and Section 158B for Service Component Reference Model Practices.

A list of EA Standards and EA Practices published to date is included in this ITPL as Attachment A.

CONTACT

General questions regarding EA should be directed to Lee Mosbrucker, Deputy Director for Enterprise Architecture, at (916) 403-9624, or by e-

mail at Lee.Mosbrucker@state.ca.gov.

Specific questions regarding geocoding should be directed to Scott Paterson, Office of the State Chief Information Officer, at (916) 403-9619, or by e-mail at Scott.Paterson@state.ca.gov.

Specific questions regarding Virtualization should be directed to Carol Kelly, Project Director, Consolidation, Office of the State Chief Information Officer by e-mail at Carol.Kelly@state.ca.gov.

SIGNATURE

_____/s/_____

Christy Quinlan,
Acting Chief Information Officer
State of California

Statewide Information Management Manual (SIMM)
Enterprise Architecture Standards and Practices Published to Date

SIMM Section 58D – Enterprise Architecture Standards

1. **Technical Reference Model**

   - TRM 1.3.894.001 – EA Software Tool Standard

   - TRM 2.8.861.001 – Email Hygiene and Encryption Standard

   - TRM 4.17.865.001 – Server Virtualization Software Standard V2

   - TRM 4.17.866.001 – Desktop Operating Systems Standard

2. **Service Component Reference Model**

   - SRM 74.742.590.1 – Geocode Standard

   - SRM 74.742.590.2 – Geocode Projection

SIMM Section 158 – Enterprise Architecture Practices

   A. **Technical Reference Model**

   - TRM 4.17.865.002 – Server Virtualization Practice

   B. **Service Component Reference Model**

   - SRM 74.742.590.3 – Geocoding Practice

State Administrative Manual Section 4906

4906 - ENTERPRISE ARCHITECTURE
(Revised XX/10)

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 58. This includes complying with the EA Standards in SIMM Section 58D. In addition, state agencies shall, to the extent practical, utilize the EA Practices included in SIMM Section 158.