OFFICE OF THE STATE CIO

IT POLICY LETTER

NUMBER:

ITPL 09-03

SUBJECT: **ESTABLISHMENT OF A STATEWIDE ENTERPRISE ARCHITECTURE AND THE ASSOCIATED POLICY AND PROCESS**	DATE ISSUED: APRIL 15, 2009
	EXPIRES: Until Rescinded
REFERENCES: Government Code Section 11545 State Administrative Manual Sections 4819.31(6), and 4906 Statewide Information Management Manual Section 58 National Association of State Chief Information Officers Enterprise Architecture Standards Federal Enterprise Architecture Standards	ISSUING AGENCY: OFFICE OF THE STATE CHIEF INFORMATION OFFICER

Note: Agency Information Officers (AIO) 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[1] Secretaries
Agency Information Officers
Department Directors
Department Chief Information Officers

PURPOSE

There is a growing demand for the State of California to conduct its business differently. Consequently, California has a significant challenge to redesign its business approaches and processes. One of its greatest challenges is to implement an Information Technology (IT) environment that supports a new business model - one that builds an IT infrastructure that efficiently connects agencies to each other and to their customers, and one which provides appropriate access to information from any place, at any time.

Accordingly, the Office of the State Chief Information Officer (OCIO) is establishing a statewide Enterprise Architecture (EA). To facilitate the development of the statewide EA, the OCIO has developed an EA process to be used by Agencies and departments. Accordingly, the purpose of this ITPL is to:

- Announce the adoption of National Association of State Chief Information Officers (NASCIO) methodology and the Federal Enterprise Architecture (FEA) framework as the state's standards to refresh the statewide EA;

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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.

- Announce the governance process that will be utilized to develop and maintain the statewide EA;

- Advise Agencies and departments of the requirement to utilize the Enterprise Architecture process, beginning with the completion of an "As-Is" Inventory within their organizations;

- Describe the process for developing and submitting the "As-Is" Inventory that is due in June 2009; and

- Identify new and changes to existing State Administrative Manual (SAM) and Statewide Information Management Manual (SIMM) content concerning governance requirements, processes, and procedures to be used when developing, proposing, and adopting new EA standards.

BACKGROUND

As described in Government Code Section 11545, the OCIO has broad responsibility and authority to guide the application of IT in California State government. This includes establishing and enforcing state IT strategic plans, policies, standards and EA.

POLICY AND PROCESS

Through an iterative process, the OCIO will establish a statewide Enterprise Architecture, and has adopted the following as state policy:

1. The NASCIO methodology and the FEA framework will be utilized to develop the statewide EA. SIMM Section 58A, the *Enterprise Architecture Developers Guide* (the Guide), identifies the process the OCIO will use to develop the statewide EA.

2. The Governance Process described in SIMM Section 58B will be utilized to review and adopt changes to the statewide EA. The Guide includes EA Compliance Tools and instructions for proposing those changes.

3. The Guide included in SIMM Section 58A will be utilized to develop the Statewide EA. To begin this process, Agencies and departments will be required to inventory their business, and technologies by June 30, 2009.

   The tools and instructions necessary to complete this "As-Is" inventory are included in the Guide. The "As-Is" Inventory process is summarized as follows:

   a. **Step 1 –** Each department will use the Business Template included in SIMM Section 58A to map their core business activities to the California Business Reference Model (CalBRM).

b. **Step 2 –** Each department will use the Technology Template included in SIMM Section 58A to map their technologies used to support their services and lines of business.

c. **Step 3 –** Each department is required to include identification of e-mail and Identity Management solutions using the Technology Template described in Step 2.

d. **Step 4 –** Agencies with constituent departments shall consolidate their departments' Business and Technology Templates in the Agency Rollup Template.

Please note that Constitutional Offices and entities that do not report to an Agency Secretary (e.g., the California State Library and the Department of Personnel Administration) should consolidate their organization's Business and Technology Template information completed in Steps 1 through 3 above using the Step 4 Agency Rollup Template as well.

Completed "As-Is" Inventory Packages must be submitted to the OCIO by June 30, 2009, and delivered as attachments in an e-mail addressed to:

EASubmissions@cio.ca.gov

Include "EA Proposal Submission" in the subject. Detailed submission instructions are included in Paragraph 5 within the Guide.

The Guide also includes information concerning roles and responsibilities, methodology, tools and instructions for proposing future EA changes using EA Compliance Tools. This is a future activity, but is included in the Guide for informational purposes.

Given the iterative process, as the EA development lifecycle progresses, additional updates will be provided in future ITPLs.

SAM AND SIMM CHANGES

SAM Section 4819.31 has been updated, and SAM Section 4906 has been added to include the new EA requirements. The update and the addition are included in this ITPL as Attachment A.

SIMM, located at http://www.cio.ca.gov/Government/IT_Policy/SIMM.html includes the following changes and additions:

- **Section 05A, Required Information Technology Reports and Activities –** A Summary of required IT-related reports and activities, updated to include the new EA "As-Is" Inventory requirements.

- **Section 58A, Enterprise Architecture Developers Guide –** The instructions and electronic links to the Business, Technology, and Rollup Templates, and the Executive Approval Transmittals; submittal instructions; and links to NASCIO and FEA websites.

- **SIMM Section 58B –** The EA Governance Process, including the process used to propose new or changes to established Enterprise Architectures.

- **SIMM Section 58C –** An EA Glossary to facilitate understanding of the terminology used in developing the statewide EA.

CONTACT

Questions regarding this EA policy should be directed to Lee Mosbrucker, Acting Enterprise Architect at (916) 403-9624, or by e-mail at Lee.Mosbrucker@cio.ca.gov.

SIGNATURE

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

4819.31   Basic Policy
(Revised 06/09)

(Note: The new addition to SAM Section 4819.31 is Item #6. Subsequent items in Section 4819.31 have been renumbered.)

Each state agency is required to:

1. Establish and maintain a Disaster Recovery Plan, so that it will be able to protect its information assets in the event of a disaster or serious disruption to its operations, and submit the plan or its update to the Office of Information Security and Privacy Protection (OICPP) as outlined in the Disaster Recovery Plan Quarterly Reporting Schedule (SIMM Section 05). See SAM Sections 5350-5355.

2. Establish an ongoing information management strategic planning process to support the accomplishment of its overall business strategy (i.e., its strategy to carry out its programmatic mission) and submit its strategic plan to the OCIO for approval. See SAM Section 4900.2.

3. Adopt standards for an agency information technology infrastructure consistent with SAM Section 4900.1.

4. Prepare annually an IT Capital Plan for long-term planning of the State's strategic IT investments. See SAM Section 4904.

5. Use the California Project Management Methodology (CA-PMM) as described in SAM Section 4910 for managing all IT projects.

6. <u>Implement their Enterprise Architecture in accordance with the guidelines and instructions included in SIMM Section 58.</u>

7. Conduct a feasibility study in order to establish the business case for each proposed information technology project (development or acquisition) and obtain approval of the FSR from the OCIO, or, if approval authority has been delegated to the agency director, from the agency director before expending any resources on the project. See SAM Sections 4819.34-4819.35.

8. Manage information technology projects following the established IT Project Oversight Framework (SIMM Section 45) minimum requirements, to ensure that projects are completed on-time, within budget, and that they accomplish the objectives defined in their FSRs. See SAM Section 4800.

9. Protect the integrity of its information management capabilities and databases and ensure the security and confidentiality of information it maintains.

10. Establish an ongoing acquisition planning process to develop IT Procurement Plans (ITPP) for IT project acquisition of IT goods and services as determined by the Department of General Services.

If an agency fails to meet these requirements, the agency will be required to obtain the OCIO approval before expending any resources on information technology projects.

The project approval process is described in SAM Section 4819.34.

4906   Enterprise Architecture
(New 06/09)

The statewide Enterprise Architecture (EA) is developed in a cooperative, managed, and coordinated effort facilitated by the Office of the State Chief Information Officer. Accordingly, Agencies and departments shall implement EA in accordance with the guidelines and instructions included in SIMM Section 58A.

In addition, the National Association of State Chief Information Officers methodology and the Federal Enterprise Architecture framework included in SIMM Section 58A are being adopted as the state's standards to develop and maintain the statewide EA. Finally, the Governance Process described in SIMM Section 58B will be utilized to review and adopt changes to the statewide EA.