Revision bars are not inserted for format changes, non-substantial technical changes, and fully rewritten chapters. Revision bars appear on the right sides of all pages. Vertical (addition) bars indicate added and rewritten matter, and horizontal (deletion) bars indicate deleted matter.

***\*\* Click on the Chapter Number to be taken to the actual SAM Chapter \*\****

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| **ITEM** | **SUMMARY** |
| [**CHAPTER 1**](http://www.sam.dgs.ca.gov/TOC/1.aspx) | |
| **Section 1** | Reviewed; still is current practice |
| **Section 5** | Reviewed; still is current practice |
| **Section 10** | Corrected link to SAM Home page |
| **Section 15** | Updated information “Revision History” content |
| **Section 20** | Updated “Revision Packages” content |
| **Section 30** | Updated contact information |
| [**CHAPTER 100**](http://www.sam.dgs.ca.gov/TOC/100.aspx) | |
| **Section 101** | Corrected DHS to DHCS |
| **Section 110** | Added link for Government Code 14600 |
| **Section 191** | Corrected Division name and contact phone number |
| [**CHAPTER 500**](http://www.sam.dgs.ca.gov/TOC/500.aspx) | |
| **Sections 500-550** | Reviewed; still is current practice |
| [**CHAPTER 700**](http://www.sam.dgs.ca.gov/TOC/700.aspx) | |
| **Entire Chapter** | Changed references made to “DPA” or the “Department of Personnel Administration” “CalHR” or the “Department of Human Resources”. |
| [**CHAPTER 1200**](http://www.sam.dgs.ca.gov/TOC/1200.aspx) | |
| **Section 1200** | Reviewed; still is current practice |
| **Section 1205** | Reviewed; still is current practice |
| **Section 1208** | Reviewed; still is current practice |
| [**CHAPTER 1300**](http://www.sam.dgs.ca.gov/TOC/1300.aspx) | |
| **Section 1300-1310.7** | Revised Asset Mgmt. Branch description to reflect current program |
| **Section 1321.1** | Revised |
| **Section 1323.13** | Revised |
| **Section 1323.14** | Reviewed and Renumbered |
| [**CHAPTER 1600**](http://www.sam.dgs.ca.gov/TOC/1600.aspx) | |
| **Section 1601** | Corrected Language |

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| **ITEM** | **SUMMARY** |
| [**CHAPTER 1700**](http://www.sam.dgs.ca.gov/TOC/1700.aspx) | |
| **Entire Chapter 1700** | Updated, Consolidated 1700 Addendum and FMC Policies into existing content and Reviewed entire chapter. 1700 Addendum has been eliminated |
| [**CHAPTER 2500**](http://www.sam.dgs.ca.gov/TOC/2500.aspx) | |
| **Section 2582.1** | Deleted |
| [**CHAPTER 3100**](http://www.sam.dgs.ca.gov/TOC/3100.aspx) | |
| **Section 3130** | Corrected name “Documents and Publications Unit” to read “Office of State Publishing” |
| **Section 3151** | Each agency must provide its own forms and procedures to comply with the Government Code, Section 14911; therefore, the procedures which were listed in this section are being deleted. |
| **Section 3161** | The “Department of General Services, Office of Procurement, Publications Section” no longer exists/at OSP; therefore, its reference within this section is being deleted. |
| [**CHAPTER 53001**](http://www.sam.dgs.ca.gov/TOC/5300.aspx) | |
| **Section 5300** | Corrected website links throughout SAM 5300. |
| [**CHAPTER 60002**](http://www.sam.dgs.ca.gov/TOC/6000.aspx) | |
| **Section 6400** | Revised to: (1) Add requirements related to the past year presentation of the Governor’s Budget, including reconciliation and certification. (2) Clarify submittal of budget spreadsheets of a department is assigned to an Agency Secretary. |
| **Section 6401** | New section to: Add responsibilities and authority of fund administrators and fund users for non-shared and shared funds. |
| **Section 6453** | Revised |
| **Section 6600** | Added section for Finance’s regulations on Standardized Regulatory Impact Assessments and Major Regulations pursuant to Government Code section 11346.36(f) |
| **Section 6601** | Added to this section an outline of the new instructions from Finance’s regulations |
| **Section 6602** | Added 3 new definitions (economic impact, major regulation and Standardized Regulatory Impact Assessments) and clarified the definitions of costs, direct costs and indirect costs to say fiscal costs, direct fiscal costs and indirect fiscal costs. |
| **Section 6603** | Replaced the instructions in this paragraph with references to the statutory origins of each section of the STD. 399 and the contact information for the Economic Research Unit at the Department of Finance. |
| **Section 6614** | Revised the signature requirements for a STD. 399 |

1 Revisions posted to website in April 2014 to maintain corrected link integrity

2 Revisions for 6600 posted in March 2014 due to BL399 & SB617 but were received after Rev425 deadline date.

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| **ITEM** | **SUMMARY** |
| [**CHAPTER 7200**](http://www.sam.dgs.ca.gov/TOC/7200.aspx) | |
| **Section 7230** | Minor edits for consistency |
| **Section 7260** | Minor edits for consistency |
| [**CHAPTER 7400**](http://www.sam.dgs.ca.gov/TOC/7400.aspx) | |
| **Section 7400** | Minor edits for consistency |
| [**CHAPTER 7900**](http://www.sam.dgs.ca.gov/TOC/7900.aspx) | |
| **Section 7900** | Minor edits for consistency |
| **Section 7904** | Minor edits for consistency |
| **Section 7921** | Updated Budget Letter Number from 13-02 to 14-04 and add fund users responsibilities. |
| **Section 7950** | * Minor edits for consistency. * Revised to correct department’s unit name to “State Publishing”. |
| **Section 7951** | Add new requirement for Report 6, update illustration, and minor edits. |
| **Section 7961** | Add new requirement for Report 6, update Report No. 6 illustration, and minor edits. |
| **Section 7967** | * Minor edits for consistency. * Updated Illustration 7967. |
| **Section 7976-7978** | Minor edits for consistency. |
| **Sections 7981** | Minor edits for consistency |
| [**CHAPTER 8000**](http://www.sam.dgs.ca.gov/TOC/8000.aspx) | |
| **Section 8091** | Change deposited within 30 days to remitted within 30 days and minor edits. |
| [**CHAPTER 8400**](http://www.sam.dgs.ca.gov/TOC/8400.aspx) | |
| **Section 8422.104** | Revised to reference section 1200, Victim Compensation and Government Claims Board, minor edits. |
| **Sections 8472.1 - 8472.4**  **and 8472.41** | Deleted. OSP Invoices are handled through the EFT program which falls under SAM 8471.2 – 8471.6 |
| [**CHAPTER 8600**](http://www.sam.dgs.ca.gov/TOC/8600.aspx) | |
| **Section 8660** | Minor edits for consistency |
| [**CHAPTER 10400**](http://www.sam.dgs.ca.gov/TOC/10400.aspx) | |
| **Section 10438** | Minor edits for consistency |
| [**CHAPTER 10600**](http://www.sam.dgs.ca.gov/TOC/10600.aspx) | |
| **Section 10600** | Added title to standard entry, minor edits for consistency |
| **Section 10608** | Updated to add title, and minor edits for consistency |
| [**SUBJECT INDEX**](http://www.documents.dgs.ca.gov/sam/pdf/subjectindexs/subjindex425.pdf) | |
| **6401** | Added “Fund Administrators and Fund Users, Responsibilities and Authority |
| **8472.1** | Deleted “Services or Supplies, Authorization for”…. |
| **Entire Index** | Removed “local mandates” |

# PURPOSE AND CONTACTS 0001

(Reviewed 6/14)

The SAM is a reference source to statewide management policy. A list of the authoring department and the contact telephone number for each SAM section is contained in SAM Section 0030. Telephone the program contact person directly to: (1) request Internet information, (2) request listed publications, and (3) for content questions about SAM sections. If you have additional questions or comments regarding the SAM, telephone the SAM Unit, at (916) 327-8908, CALNET 467-8908. You can also forward comments electronically at: [**samunit@dgs.ca.gov**](mailto:samunit@dgs.ca.gov)**.**

# AUTHORITY 0005

(Reviewed 6/14)

The SAM was created in 1953 by the Department of Finance (DOF) to provide management communication among state departments. On July 31, 1990, SAM responsibility was officially transferred from DOF to the Department of General Services (DGS). Presently, this program is located within, DGS’ Office of State Publishing (OSP), Administrative/SAM Unit. The DGS is delegated the responsibility of developing and providing a centralization of business management functions and services of the state. The SAM communicates major policy related to this responsibility.

# ACCESS TO SAM 0010

(Revised 6/14)

Paper SAM….

Contact the SAM Unit for information on how to purchase a paper SAM and subscription to SAM revisions.

SAM at Libraries….

The State Library Government Publications Desk (located within Sacramento) and Complete Depository Libraries (located within metropolitan areas of California) have paper copies of SAM that are available for public use. Contact the SAM Unit for library addresses.

SAM on Internet….

The SAM is available free on the Internet at: [http://www.sam.dgs.ca.gov](http://www.sam.dgs.ca.gov/). Its query feature can help locate SAM topics.

# SAM ARRANGEMENT 0015

(Revised 6/14)

The SAM contains the following major parts:

1. SAM Revision History. *(only back to December 2002)*
2. Foreword. Contains opening statement by DGS Executive Director.
3. Table of Contents. Lists all chapters and sub chapters.
4. SAM Subject Index. Assists in locating SAM topics.
5. SAM Chapters. Each chapter is listed in the Table of Contents.

# REVISING SAM 0020

(Revised 6/14)

Responsibility for Revising SAM

Responsibility for updating SAM content is assigned to authoring state departments. The SAM Section 0030 lists authoring departments for each SAM section and provides telephone numbers of individuals who can direct SAM Users to authors to assist with content information. The departmental director or his/her designee is responsible for certifying that any revisions to their SAM sections are legal and consistent with overall state policies.

Anyone can recommend revisions to SAM. To recommend SAM revisions, contact the author’s office listed in SAM Section 0030 or contact the SAM Unit. When the author determines that SAM revisions are necessary, the SAM Unit can provide process information and timetables. The author may designate an author contact to write and coordinate revisions through the SAM Unit.

SAM Revision Packages

Revisions are posted to the [SAM Website](http://www.sam.dgs.ca.gov/) quarterly and are available for download. The quarterly dates can be found on same webpage. SAM revision packages contain the following information:

* 1. *Revision Summary*. This document contains a summary of the revisions to each SAM chapter being revised.
  2. *New and Revised SAM Pages*. Each new and revised page of SAM is provided in numerical order.

Vertical bars on pages indicate additions or overall changes. Revised pages in chapter rewrites do not contain bars. Section and subsection titles in the text are followed by information indicating whether the section is new, revised, or renumbered.

**SAM PUBLICATIONS AND CONTACTS 0030**

(Revised 6/14)

The following chart lists publications cited in SAM which are available through the program. Telephone the program contact person directly to: (1) request Internet information, (2) request listed publications, and (3) for content questions about SAM sections.

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| **SECTION NUMBERS**  **& CHAPTER TITLE** | **DEPT./ PROGRAM** | **INTERNET & PUBLICATIONS CITED & AVAILABLE THROUGH PROGRAM** | **CONTACT & PHONE** |
| 0001-0030  Introduction | General Services, Office of Strategic Planning, Policy and Research | [Isaac.clark@dgs.ca.gov](mailto:Isaac.clark@dgs.ca.gov)  State Administrative Manual (SAM) [http://www.sam.dgs.ca.gov](http://www.sam.dgs.ca.gov/) | Isaac Clark III (916) 376-1862 |
| [jason.tyburczy@dgs.ca.gov](mailto:jason.tyburczy@dgs.ca.gov) | Jason Tyburczy (916) 376-5069 |
| [kam.langham@dgs.ca.gov](mailto:kam.langham@dgs.ca.gov) Management Memos (MM) | Kam Langham (916) 376-5068 |
| 0100-0110  General | General Services, Administration Division |  | Deputy Director (916) 376-5024 |
| 0130-0170  General | Finance, Budget Operations Support | [http://www.dof.ca.gov**/**](http://www.dof.ca.gov/) | (916) 322-5540 |
| 0180  General | General Services, Administration Division |  | Deputy Director (916) 376-5024 |
| 0190-0192  General | California Department of Human Resources (CalHR) | [Steve.caldwell@calhr.ca.gov](mailto:Steve.caldwell@calhr.ca.gov) | Steve Caldwell 916-323-4411 |
| 0200-0211  Governor's Office | Governor's Office, Constituent Affairs | [Adrian.mata@gov.ca.gov](mailto:Adrian.mata@gov.ca.gov) | Adrian Mata 916-322-7478 |
| 0400-0422.1  Exempt Personnel | California Department of Human Resources (CalHR) | [Debbie.Baldwin@calhr.ca.gov](mailto:Debbie.Baldwin@calhr.ca.gov) | Vanessa Singh 916-322-4028 |
| [Vanessa.singh@calhr.ca.gov](mailto:Vanessa.singh@calhr.ca.gov) |
| 0500-0580  Advertising | General Services State Publishing | [Danielle.mahood@dgs.ca.gov](mailto:Danielle.mahood@dgs.ca.gov) | Danielle Mahood 916-323-0309 |
| [Danelle.hamilton@dgs.ca.gov](mailto:Danelle.hamilton@dgs.ca.gov) | Danelle Hamilton 916-327-5867 |
| 0700-0750  Travel | California Department of Human Resources (CalHR) | [Ray.Asbell@calhr.ca.gov](mailto:Ray.Asbell@calhr.ca.gov) | Ray Asbell (916) 324-0526 |
| 0751-0752  Travel | General Services, Risk & Insurance Management | [Isabel.Cortez@dgs.ca.gov](mailto:Isabel.Cortez@dgs.ca.gov) | Isabel Cortez-Raj (916) 376-5297 |
| 0753-0780  Travel | California Department of Human Resources (CalHR) | [Ray.Asbell@calhr.ca.gov](mailto:Ray.Asbell@calhr.ca.gov) | Ray Asbell (916) 324-0526 |

**Page 0030 (Cont. 2)**

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| **SECTION NUMBERS**  **& CHAPTER TITLE** | **DEPT./ PROGRAM** | **INTERNET & PUBLICATIONS CITED & AVAILABLE THROUGH PROGRAM** | **CONTACT & PHONE** |
| 0900-0911  Grants | Governor's Office, Planning & Research | [Scott.morgan@opr.ca.gov](mailto:Scott.morgan@opr.ca.gov) | 916-322-2318 |
| 0912  Grants | Finance, Budget Operations Support | <http://www.dof.ca.gov/> | (916) 322-5540 |
| 1100-1107  Statewide Planning | Governor's Office Planning & Research | [Scott.morgan@opr.ca.gov](mailto:Scott.morgan@opr.ca.gov) | 916-322-2318 |
| 1200-1233  Contracts | General Services, Legal Services | <http://www.dgs.ca.gov/ols>  State Contracting Manual | Kathleen Yates (916) 376-5115 |
| 1300-1335  Real Estate Services Division | General Services Real Estate Services Division | [Mary.dupont@dgs.ca.gov](mailto:Mary.dupont@dgs.ca.gov) | Mary Dupont 916-376-1902 |
| 1450-1452.3  Division of the State Architect | [Dale.kuroda@dgs.ca.gov](mailto:Dale.kuroda@dgs.ca.gov) Bo.nishimura.dgs.ca.gov | Dale Kuroda 916-322-0600  Bo Nishimura 916-324-5792 |
| 1600-1626  Imaging & Records Management | General Services, OSP, CalRIM | <http://www.dgs.ca.gov/pd> | Ramona Gutierrez (916) 322-1728 |
| 1700-1750  Forms Management | General Services, OSPPR  (Forms Mgmt Center) | [Shelly.nishikawa@dgs.ca.gov](mailto:Shelly.nishikawa@dgs.ca.gov) | Shelly Nishikawa (916) 375-4859 |
| [Jeff.walker@dgs.ca.gov](mailto:Jeff.walker@dgs.ca.gov) | Jeff Walker 916-376-9931 |
| [http://www.dgs.ca.gov/osp/Programs/For](http://www.dgs.ca.gov/osp/Programs/FormsManagementCenter.aspx) [msManagementCenter.aspx](http://www.dgs.ca.gov/osp/Programs/FormsManagementCenter.aspx) |  |
| 1900-1960  Waste Prevention and Recycling of Non- Hazardous Waste | Cal Recycle | [Sue.ingle@calrecycle.ca.gov](mailto:Sue.ingle@calrecycle.ca.gov) | Sue Ingle 916-341-6518 |
| [Gregory.dick@calrecycle.ca.gov](mailto:Gregory.dick@calrecycle.ca.gov) | Gregory Dick 916-341-6489 |
| [http://www.calrecycle.ca.gov](http://www.calrecycle.ca.gov/) |  |
| 2400-2482  Insurance & Surety Bonds | General Services, Risk & Insurance Management | [Isabel.cortez@dgs.ca.gov](mailto:Isabel.cortez@dgs.ca.gov) | Isabel Cortez-Raj (916) 376-5297 |
| [Karen.bianchini@dgs.ca.gov](mailto:Karen.bianchini@dgs.ca.gov) | Karen Bianchini 916-376-5280 |
| 2580-2590.2  Worker's Comp. | California Department of Human Resources (CalHR) | [Becky.Bayliss@calhr.ca.gov](mailto:Becky.Bayliss@calhr.ca.gov) | Becky Bayliss 916-322-1360 |

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| **SECTION NUMBERS**  **& CHAPTER TITLE** | **DEPT./ PROGRAM** | **INTERNET & PUBLICATIONS CITED & AVAILABLE THROUGH PROGRAM** | **CONTACT & PHONE** |
| 2591  Worker's Comp. (Asbestos Notification) | General Services Real Estate Services Division | [Mary.dupont@dgs.ca.gov](mailto:Mary.dupont@dgs.ca.gov) | Deputy Director (916) 375-4150 |
| Mary DuPont 916-376-1902 |
| 2800-2820  Publishing/Printing | General Services, State Publishing | [danelle.hamilton@dgs.ca.gov](mailto:danelle.hamilton@dgs.ca.gov) <http://www.dgs.ca.gov/osp> | Danelle Hamilton (916) 327-5867 |
| 2825  Publishing/Printing | General Services, State Publishing | [Noel.Soliz@dgs.ca.gov](mailto:Noel.Soliz@dgs.ca.gov) Advertising Program Guidelines <http://www.dgs.ca.gov/osp> | Noel Soliz Printing Process Operations Supervisor (916) 322-2373 |
| 2850-2865  Publishing/Printing | Prison Industry Authority Legal Office | [Kelly.condon@calpia.ca.gov](mailto:Kelly.condon@calpia.ca.gov) | Kelly Condon 916-358-4302 |
| 2870-2880  Publishing/Printing | General Services, State Publishing | [Jerry.hill@dgs.ca.gov](mailto:Jerry.hill@dgs.ca.gov) <http://www.dgs.ca.gov/osp> | Jerry Hill State Printer  (916) 445-5680 |
| 3100-3130  Publications and Documents | California State Library | [bill.riddle@library.ca.gov](mailto:bill.riddle@library.ca.gov) | Bill Riddle (916) 376-3974 |
| 3130, 3151-3161  Publications and Documents | General Services, State Publishing | [Danielle.mahood@dgs.ca.gov](mailto:Danielle.mahood@dgs.ca.gov) | Danielle Mahood 916-323-0309 |
| [Danelle.hamilton@dgs.ca.gov](mailto:Danelle.hamilton@dgs.ca.gov) | Danelle Hamilton 916-327-5867 |
| 3400-3440.20  Financed Acquisitions | General Services, Procurement | [patrick.mullen@dgs.ca.gov](mailto:patrick.mullen@dgs.ca.gov) | Patrick Mullen (916) 375-4617 |
| [Debra.neisen@dgs.ca.gov](mailto:Debra.neisen@dgs.ca.gov) | Debra Neisen 916-375-4450 |
| <http://www.dgs.ca.gov/pd/home.aspx> |  |
| 3500-3515  3522.1-3574.6  3600  Purchases | General Services, Procurement | [Bob.door@dgs.ca.gov](mailto:Bob.door@dgs.ca.gov) | Bob Door 916-375-4347 |
| [Bernard.quinn@dgs.ca.gov](mailto:Bernard.quinn@dgs.ca.gov) | Bernard Quinn 916-375-4360 |
| [Kristopher.bianchini@dgs.ca.gov](mailto:Kristopher.bianchini@dgs.ca.gov) | Kristopher Bianchini 916-375-4354 |
| 3520-3522  Purchases | [Steve.paul@dgs.ca.gov](mailto:Steve.paul@dgs.ca.gov) | Steve Paul 916-928-2183 |
| 3700-3760  Lease/Purchase Equipment | General Services, Procurement | [Patrick.mullen@dgs.ca.gov](mailto:Patrick.mullen@dgs.ca.gov) <http://www.dgs.ca.gov/pd> | Patrick Mullen (916) 375-4617 |

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| **SECTION NUMBERS**  **& CHAPTER TITLE** | **DEPT./ PROGRAM** | **INTERNET & PUBLICATIONS CITED & AVAILABLE THROUGH PROGRAM** | **CONTACT & PHONE** |
| 3800-3885  Transportation Management | General Services Procurement, Transportation Management Unit | [http://www.dgs.ca.gov/pd/programs/tran](http://www.dgs.ca.gov/pd/programs/transportation.aspx) [sportation.aspx](http://www.dgs.ca.gov/pd/programs/transportation.aspx) [Robert.ullrey@dgs.ca.gov](mailto:Robert.ullrey@dgs.ca.gov) | Robert Ullrey (916) 375-4431 |
| 4100-4118  Transportation Services | General Services, Fleet Administration | Office of Fleet And Asset Management State Fleet Handbook [cecilia.perezdunn@dgs.ca.gov](mailto:cecilia.perezdunn@dgs.ca.gov) | Cecilia Perez-Dunn 916-376-3975 |
| 4500-4555  Telecommunications | California Technology Agency | <http://www.cta.ca.gov/PSCO/index.html> Public Safety Communications Office [Stevens.colin@state.ca.gov](mailto:Stevens.colin@state.ca.gov) | Stevens Colin (916) 657-9454 |
| 4700-4705  Merit Award Program | Personnel Administration, Merit Award Bd. | [Scott.kingsbury@calhr.ca.gov](mailto:Scott.kingsbury@calhr.ca.gov) | Scott Kingsbury 916-324-4660 |
| [Kari.ehrman@calhr.ca.gov](mailto:Kari.ehrman@calhr.ca.gov) | Kari Ehrman 916-324-0522 |
| 4800-5180  Information Technology | California Department of Technology | [ITPolicy@State.ca.gov](mailto:ITPolicy@State.ca.gov) | Policy Officer Manveer Bola (916) 403-9624 |
| 5200-5291  Information Technology | Department of General Services, Procurement | <http://www.dgs.ca.gov/pd> | Bernard Quinn 916-375-4360 |
| [Bernard.quinn@dgs.ca.gov](mailto:Bernard.quinn@dgs.ca.gov) |
| 5300-5399  Information Security | California Technology Agency, Office of Information Security | <http://www.cio.ca.gov/> | Manveer Bola 916-403-9624 |
| [Manveer.bola@state.ca.gov](mailto:Manveer.bola@state.ca.gov) |
| 5901-5953  Information Technology | General Services, Office of Fleet & Asset Mgmt | [cecilia.perezdunn@dgs.ca.gov](mailto:cecilia.perezdunn@dgs.ca.gov) | Cecilia Perez-Dunn 916-376-3975 |
| 6000-6680  Budgeting | Finance, Budget Operations Support | <http://www.dof.ca.gov/> | (916) 322-5540 |
| [Jennifer.nelson@dof.ca.gov](mailto:Jennifer.nelson@dof.ca.gov) |
| 6700-6780  Budgeting Information Technology | Finance, Information Consulting Unit | [Susan.davisjames@dof.ca.gov](mailto:Susan.davisjames@dof.ca.gov) | Susan Davis-James (916) 445-1777  Ext. 3238 |
| 6801-6899  Capital Outlay | Finance, Capital Outlay | [Brian.Dewey@dof.ca.gov](mailto:Brian.Dewey@dof.ca.gov) | Brian Dewey (916) 445-9694  Ext. 2233 |
| 6900-6965  Budgeting | Finance, Budget Operations Support | <http://www.dof.ca.gov/> | (916) 322-5540 |

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| **SECTION NUMBERS**  **& CHAPTER TITLE** | **DEPT./ PROGRAM** | **INTERNET & PUBLICATIONS CITED & AVAILABLE THROUGH PROGRAM** | **CONTACT & PHONE** |
| 7110-8535  Accounting/Fiscal Procedures | Finance, Fiscal Systems and Consulting Unit | [fscuhotline@dof.ca.gov](mailto:fscuhotline@dof.ca.gov) | FSCU Hot Line (916) 324-0385  CALNET 454-0385 |
| 8536-8537  Accounting/Fiscal Procedures | California Department of Human Resources (CalHR) | [Becky.bayliss@calhr.ca.gov](mailto:Becky.bayliss@calhr.ca.gov) | 916-322-1360 |
| 8538-8778  Accounting/Fiscal Procedures | Finance, Fiscal Systems and Consulting Unit | [fscuhotline@dof.ca.gov](mailto:fscuhotline@dof.ca.gov) | FSCU Hot Line (916) 324-0385  CALNET 454-0385 |
| 8780-8780.2  Accounting/Fiscal Procedures | California Department of Human Resources (CalHR) | [Becky.bayliss@calhr.ca.gov](mailto:Becky.bayliss@calhr.ca.gov) | 916-322-1360 |
| 8785-19464  Accounting/Fiscal Procedures | Finance, Fiscal Systems and Consulting Unit | [fscuhotline@dof.ca.gov](mailto:fscuhotline@dof.ca.gov) | FSCU Hot Line (916) 324-0385  CALNET 454-0385 |
| 20000-20090  Auditing of State Agencies | Finance, Office of State Audits & Evaluations | [Rick.Sierra@dof.ca.gov](mailto:Rick.Sierra@dof.ca.gov) | Rick Sierra (916) 322-2985  Extension 3103  CALNET 492-2985 |

**GENERAL POLICY**

(Reviewed 12/13) 0100

This chapter defines general policy concerning the authority of the departments of Finance and General Services, the ability of directors to reorganize their departments, general statewide office hours, and medical services provided to employees and visitors at State institutions.

[TERMS AND DEFINITIONS](#_TOC_250000)

(Revised 6/14) 0101

[DHCS](http://www.dhcs.ca.gov/Pages/default.aspx). The Department of Health Care Services. [CalHR](http://www.calhr.ca.gov/Pages/home.aspx). California Department of Human Resources. [DGS](http://www.dgs.ca.gov/dgs/Home.aspx). The Department of General Services.

[DOF](http://www.dof.ca.gov/). The Department of Finance.

Staggered work hours. Where employees arrive and leave the work place at different times, by an approved fixed schedule.

Flex-time. Where employees can arrive and leave the work place at different times, but not by an approved schedule, as long as they work their full assigned number of hours.

Panel physician. A physician with whom the employee is preregistered.

# DEVELOPMENT AND ENFORCEMENT OF POLICY

(Revised 6/14) **0110**

DGS develops policies and procedures to ensure effective departmental operations. DGS also enforces its polices, investigates and holds proceedings as it deems necessary to conserve the rights and interests of the State. See Government Code Section [14600](http://leginfo.legislature.ca.gov/faces/codes_displaySection.xhtml?lawCode=GOV&amp;sectionNum=14600).

# EMPLOYEE PHYSICAL EXAMS 0191

(Revised 6/14)

When physical examinations are required for pre-employment or as a condition of employment, the state will provide or pay for them. The applicant must pay for any more studies or exams beyond the approved level.

The California Department of Human Resources (CalHR) is responsible for ensuring the uniformity of health questionnaires and exam forms. CalHR’s Medical Officer must approve any job classification's requirement for all tests or procedures. The description of all special or extensive tests or procedures must also be approved by the Medical Officer.

The DHCS sets the dollar amount that the State will pay for all exams and related medical services. This amount may be changed by a Memoranda of Understanding applicable to rank and file employees or by CalHR regulations that apply to employees excluded from collective bargaining. The State will also pay for required diagnostic services or special tests when they are not commonly performed as part of the general physical exam. Reimbursement for physician services will be based on the proper unit value listed in the "1974 California Relative Value Studies".

A copy of the 1974 California Relative Value Studies is kept by the DHCS’s Fee-For- Service Rates Development Division, (916) 552-9638.

**GENERAL POLICY 0500**

(Reviewed 6/14)

Government Code Sections [11080](http://leginfo.legislature.ca.gov/faces/codes_displaySection.xhtml?lawCode=GOV&amp;sectionNum=11080) and [11081](http://leginfo.legislature.ca.gov/faces/codes_displaySection.xhtml?lawCode=GOV&amp;sectionNum=11081) mandate that every State agency shall send all notices, advertisements, or publications which they are legally required or authorized to publish to the Department of General Services (DGS). The law gives DGS the sole authority to approve and have published all such notices, advertisements, and publications.

The DGS grants each State agency an exemption from its approval and delegates to each state agency the authority to have published any required or authorized notice, advertisement, or publication.

Section 500 et seq. of SAM discusses the following rules:

1. Advertising an Auction.
2. Publication of Administrative Regulations.
3. "Help Wanted" Advertisements.
4. Advertising Public Works Contracts.
5. Contracts for Advertisements.

# TERMS AND DEFINITIONS 0501

(Reviewed 6/14)

Auction. A public sale at which property or goods are sold to the highest bidder.

"Help Wanted" Advertisements. An advertisement for finding new employees.

Legal Notice. A notice required by law.

Public Works Contracts. Contracts for structures, roads, dams and schools that are designed for public use and paid for by government.

# ADVERTISING AN AUCTION 0510

(Reviewed 6/14)

When advertising an auction of state property, the ad must state those sales taxes, when applicable, will be added to the bid prices.

# PUBLICATION OF ADMINISTRATIVE REGULATIONS 0520

(Reviewed 6/14)

Agencies do not need DGS approval to publish legal notices when adopting, amending, or repealing regulations. See Government Code Section [11346.4](http://leginfo.legislature.ca.gov/faces/codes_displaySection.xhtml?lawCode=GOV&amp;sectionNum=11346.1) for the legal requirements governing publication of notices for adopting, amending or repealing regulations.

# "HELP WANTED" ADVERTISEMENTS 0530

(Reviewed 6/14)

Agencies do not need DGS approval to place "help wanted" ads.

# ADVERTISING PUBLIC WORKS CONTRACTS 0540

(Reviewed 6/14)

For information about advertising small or minor public works contracts, please see the "[State Contracting Manual](http://www.dgs.ca.gov/ols/Resources/StateContractManual.aspx)" on the Internet. You may also request a manual through the DGS Office of Legal Services at: (916) 376-5080.

# CONTRACTS FOR ADVERTISEMENTS 0550

(Reviewed 6/14)

Contracts for advertising space do not require DGS approval unless they exceed

$15,000 or the amount specified in SAM Section 1215.

This chapter provides guidelines on traveling for official State of California (State) business and for obtaining reimbursements. Travel expenses are reimbursed in accordance with the policies found within the California Code of Regulations, Title 2 (Personnel Administration), Division 1 (Administrative Personnel), Chapter 3 (Department of Human Resources), Subchapter 1 (General Civil Service Rules), Article 2 (Travel Expenses), and employee Memoranda of Understanding (MOU).

# Basic Policies

1. Use travel when personal contact is the most economical way of conducting official State business.
2. Limit attendance at conferences and meetings to those directly concerned with the topic.
3. Use the most economical method of transportation. Consider the time employees will be away from the office and the direct cost of the methods that may be used.
4. Avoid back-tracking and duplicate travel whenever possible.
5. State vehicles should not be parked overnight at an airport unless there is no other practical and reasonable way for the employee to get to and from the airport.

(For further clarification of the following terms and definitions, see CALHR Rule 599.616 or CALHR Rule 599.616.1).

Business and Miscellaneous Expenses. These are costs necessary for completion of State business. Some examples are: phone calls, telegrams, emergency clothing, equipment, and supply purchase.

Business-Related Meals. These are meals taken in combination with business meetings when business cannot be done at any other time.

Headquarters. This is where employees spend the largest part of their regular working time, or where the employee returns upon completion of a special assignment, or a specifically assigned geographic area regularly traveled.

In-State Travel and Travel in Bordering States. Travel within state boundaries and through areas next to state borders is in-state travel. The bordering state travel must be incidental to the in-state trip to be in-state travel.

Incidentals. The State reimburses an employee (when the travel period is greater than 24 hours) for small miscellaneous expenses while traveling. Examples include: laundry and dry cleaning, newspapers and magazines, tips, etc.

Out-of-State Travel. This includes travel to and from a point outside California to transact official State business. It does not include trips through or stopovers in bordering states incidental to travel within points in California.

Per Diem Expenses. These expenses are charges for meals and lodging while traveling.

Primary/Permanent Residence. This is the dwelling where the employee lives, which bears the most logical relationship to the employee's headquarters, regardless of other legal or mailing addresses. If an employee maintains more than one dwelling, the department will designate the employee's primary/permanent residence.

Secondary Residence. When an employee maintains more than one dwelling that meets the criteria in CALHR Rules 599.616(b) or 599.616.1(b), these are secondary residence(s).

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**TERMS AND DEFINITIONS 0710** (Cont. 1)

(Revised 6/14)

State Vehicles (Pool Vehicles). A fleet of vehicles maintained by the Department of General Services or other agencies for use by State agencies in the conduct of their business.

Transient Occupancy Tax. A tax imposed by cities and counties within the State. The tax varies from 6% to 12% (depending on location). This tax may be waived (and your lodging rate reduced) if you show proof that you are a State employee on official State business. The waiver is always at the option of the lodging establishment. See Travel Guide Supplement for a sample Tax Waiver Form.

Transportation Expenses. These expenses are the charges to transport the employee to and from the employee's headquarters. Some examples are: charges for commercial carriers (e.g., airline, bus, rental vehicle, etc.), private vehicle mileage, parking costs, bridge and road tolls.

Travel Expenses. Travel expenses include per diem expenses, transportation expenses, and business and miscellaneous expenses.

# REQUEST FOR TRAVEL EXPENSE EXCEPTION APPROVAL 0715

(Revised 6/14)

CALHR will consider travel exception requests when:

1. Appropriate or unavoidable lodging, and/or meal expenses occur while on travel status within 50 miles of headquarters. These circumstances require prior approval by the appointing power.

CALHR [PML 93-28](http://www.dpa.ca.gov/textdocs/freepmls/PML9328.TXT) delegated to agencies/departments the authority to approve exceptions to the “50 mile rule” when certain criteria are met. Certain reimbursements which are made under the provisions of [PML 93-28](http://www.dpa.ca.gov/textdocs/freepmls/PML9328.TXT) may be deemed reportable income. Contact your departments’s accounting office for clarification on this issue.

1. Lodging costs associated with regular travel, and conferences/conventions are in excess of the approved State rates found within CALHR Rules 599.619(a), 599.621(a), and the MOU. Exception requests must be submitted and approved on an Excess Lodging Rate Request form ([STD 255C](http://www.documents.dgs.ca.gov/osp/pdf/std255c.pdf)) prior to the trip taking place. Details about the approval process for the [STD 255C](http://www.documents.dgs.ca.gov/osp/pdf/std255c.pdf) may be found on CALHR [PML 2006-013](http://www.calhr.ca.gov/Documents/PML2006013.pdf).

CALHR requires a minimum of 10 days advance notice; please submit request at least two weeks in advance of the trip. No request will be considered after the date of travel.

CALHR Rules and MOU’s provide for the reimbursement of actual and necessary out- of-pocket expenses while traveling on State business. Limits exist for each expense type (e.g., lunch, mileage, hotel, etc.). These limits help employees plan trips within agency and personal budgets.

Employees who claim the allowable rate without submitting receipts with their travel expense claims should retain their receipts in order to substantiate out-of-pocket expenses in the event of an audit by the State or the IRS. Contact your department’s accounting office for your department’s policy as it relates to the submission of receipts.

Employees on travel status for more than one 24-hour period and less than 31 consecutive days may claim per diem for each 24 hours of travel. Expenses for partial days after the 24 hours may be claimed.

Employees on travel status for less than 24 hours may claim lodging expenses, if this applies, and breakfast or dinner. No lunch or incidental allowance is paid when employees are on travel status for less than 24 hours. Expenses must be incurred at least 50 miles from headquarters. This distance from the headquarters is the normal commute distance determined by the most direct route. Sometimes one route of travel may be a greater distance but is the more reasonable commute. For example, taking a freeway route instead of congested surface streets is more reasonable. The freeway miles may be greater but because it is more efficient the freeway miles are used to determine the distance.

# Lodging and Meal Allowance Reimbursements

The following defines conditions for payment.

* 1. In-State Lodging/Meal Allowance. Per diem and lodging expenses will be reimbursed in the amount of actual expenses, supported by a receipt, up to the maximum rates as identified in the CALHR Rules and current applicable MOU. Each item of expense of $25.00 or more requires a receipt; receipts may be required for items of expense that are less than $25.00..
  2. Out-of-State Lodging/Meal Allowance. Reimbursement is made for actual lodging expense, supported by a receipt. Meals and incidentals will be reimbursed at in- State rates. Failure to furnish lodging receipts will limit reimbursement to meals and incidentals at the in-State rates.
  3. Out-of-Country Lodging/Meal Allowance. Reimbursement will be made for actual lodging, supported by a receipt. Meals/incidentals will be reimbursed according to the Maximun Per Diem Allowances for Foreign Areas, Section 925, U.S. Department of State Standardized Regulations and the meal/incidental breakdown in Federal Travel Regulation Chapter 301, Travel Allowances, Appendix B.

Employees who receive a meal as part of State travel must reduce their per diem claim by the cost for that meal. For non-represented employees, see CALHR Rule 599.619(a)(5) for guidance.

# Time Frames for Meal Allowances

Time frames for payment for meals are outlined in Appendix AF-1.

Employees on travel status for longer than 31 consecutive days qualify for long-term travel per diem. The full long-term per diem is paid for each 24-hour period provided the employee's primary residence is occupied by the employee's dependents or is maintained at a net expense greater than $200 per month. If an employee does not maintain a separate residence, payment is one-half the full long-term rate. The rate ends when an employee is assigned to another geographic area. If long-term lodging is not available, then short-term rates may be approved beyond 31 days with advance approval of the appointing authority. Partial days of long-term travel are paid as follows: Less than 12 hours- one half the long-term rate; 12-24 hours-full long-term rate. This rate includes meals, lodging, and incidental allowances. Consult the CALHR Rules and employee MOU for current per diem rates.

# CONVENTIONS, CONFERENCES, OR BUSINESS MEETINGS 0724

(Revised 6/14)

For a conference called by a State agency, no per diem expense will be allowed within 50 miles of an employee's headquarters. Exceptions may be given in advance by CALHR. See SAM Section 0715. Registration fees for conferences/conventions are payable if the employee has prior approval to attend.

Travel Expense Claims that contain expenses incurred due to a conference, convention, or similar meeting must be countersigned by the agency head, or the deputy whose name has been forwarded to the Audits Division of the State Controller's Office (SCO) under the following circumstances. These circumstances are: when two or more agents, officers, or employees attend the same convention, or conference; or when the registration fee exceeds $50.

Agencies will establish a procedure to enable verification and audit of travel expense claims for persons attending meetings of Boards, Commissions, Committees, etc., when claims are not approved by someone having personal knowledge of meeting attendance.

CALHR Rule 599.634 provides for per diem and travel expenses for non State applicants who are called for interviews. Payments may be approved in advance by the appointing power. Requests must meet the following conditions:

1. Requests must be submitted prior to the actual travel date.
2. Requests must include the following:
   1. Names and addresses of the applicant (applicant may not be a current state employee).
   2. Approximate amount of the anticipated expenses, including tax. (Payment may not exceed the current State rates.)
   3. Reason(s) why it is necessary to call the applicant for interview, i.e., position is hard to fill, recruitment for affirmative action, or disabled hire, etc.
   4. Title of position being filled.
3. Attach a copy of the approved request to the applicant's Travel Expense Claim prior to submission to the SCO.

**COMPENSATING TIME OFF (CTO) 0726**

(Revised 6/14)

Employees granted sick leave while on official travel status may be paid allowances for up to three days of sick leave time. See CALHR Rules 599.633 and 599.633.1. If the sick leave exceeds three days, or in unusual cases, added payment may be approved by the agency according to CALHR delegation. Exceptions must include the following:

1. Name and home address of employee.
2. Nature of illness.
3. Address where employee is confined during illness/injury.
4. Address where expenses are being incurred.
5. Number of days confined during illness/injury.
6. Cost of expenses incurred.

Departments shall not consider exceptions if the employee is confined to a hospital and hospital costs are covered by insurance. Expenses incurred other than hospital costs may be considered.

Attach a copy of the approved exception to the employee's Travel Expense Claim prior to submission to the SCO.

Normally, no per diem expenses are allowed when employees are on vacation or CTO. An agency may allow an exception to an employee claiming other than short-term per diem if they are: authorized time off on CTO, or authorized time off on vacation while employed in seasonal agricultural work.

(Revised 6/14)

In some instances, the cost of business-related meal expenses may be allowed. It must be clearly shown that it was impractical to conduct the State’s business during working hours and that the meal took place in conditions beyond the employee's control. The employee provides justification on the TEC. The statement must include the purpose or goal of each business-related meal and the unusual conditions that justify payment. For meals consumed, the employee may claim expenses not to exceed the breakfast, lunch, or dinner per diem rates. The amount must be supported by a voucher or receipt for represented employees. Nonrepresented employees do not have to provide receipts.

Examples of allowable meals may include: participants from different cities hold a luncheon meeting to allow one or more of them to make connections on a scheduled flight; an employee is required to go to lunch as a member of a group, such as a Board or Commission where official business is conducted; the meeting does not adjourn during lunch and the employee has no choice of place to eat.

Examples of non-allowable meals include: two or more employees go to lunch together and continue their business as an incidental to the meal; or, the meal is strictly for public relations purposes; or, the meeting could have taken place during the regular working hours.

No payment is allowed for the meal if the employee claims per diem for that day.

CALHR will consider exception requests to CALHR Rules 599.622(b)(c) and 599.623(b)(d)(e) for business-related meals.

# PRIVATELY-OWNED/RENTED/LEASED AIRCRAFT 0746

(Revised 6/14)

Travel on official State business may be by privately-owned/rented/leased aircraft whenever this is the least costly means or is in the best interest of the State.

Employees must first obtain supervisor approval. Employee pilots shall certify at least yearly to their employing agency that they have the required liability insurance in force during the period of official travel. These required limits are shown on [STD. 265](http://www.documents.dgs.ca.gov/osp/pdf/std265.pdf). Use STD. 265 for certification.

In all cases, the aircraft must be certified in accordance with FAA regulations and properly equipped for the type of flying to be performed.

State employees who pilot aircraft on official State business must meet the requirements of CALHR Rule 599.628 and SAM Section 0747.

# PILOT QUALIFICATIONS 0747

(Revised 6/14)

To operate privately-owned, rented, or State-owned aircraft on official business, pilots must be physically qualified and licensed to fly the aircraft for the type of flying performed.

To carry passengers on official business, a pilot must:

1. Either possess a valid (FAA) commercial pilot's license or have previously logged at least 250 hours of flight time as a licensed pilot in command of an aircraft; and,
2. Have logged at least 40 hours of actual flight time as a pilot in command of an aircraft during the preceding 12 months.

Pilots must obtain approval from their agencies to use air transportation and must satisfy the requirements outlined in CALHR Rule 599.628 and SAM Section 0746.

Mileage reimbursement is paid to employees authorized to use privately-owned vehicles while conducting official State business. The reimbursement rate is based on the current MOU and the CALHR Rules.

When an employee is driven to a common carrier, the employee can claim double the rate authorized for one-way trips to and from the common carrier. The vehicle cannot be parked at the terminal and the employee must be an occupant of the vehicle. “Double mile” claims are considered to be reportable to SCO since the amount claimed is above the rates found in the current MOU and the CALHR Rules. If the employee departs or returns to a common carrier on the employee's day off or one hour before or one hour after the normal workday, payment for actual miles driven may be claimed.

An employee can claim repair for a privately-owned vehicle damaged while conducting official State business if the accident was not the employee's fault. Payment is made out of the employing agency's allotted travel funds. File the claim in the following manner:

1. File a Report of Vehicle Accident form, [STD. 270](http://www.documents.dgs.ca.gov/osp/pdf/std270.pdf). See SAM Section 2441 for instructions.
2. Attempt to recover damages through insurance coverage.
3. Prepare TEC. Attach the green copy of STD. 270, signed by the employee's supervisor, and a receipted bill for repairs/parts to the TEC. Enter this certification in the Remarks Section of the TEC: "I hereby certify that this expense was incurred by me as a result of damage to my privately-owned vehicle. This expense is not reimbursable through the insurance coverage of any of the parties involved in the accident."
4. Submit three estimates of repair costs.

The approving official takes the following actions:

1. Reviews STD. 270 and TEC for compliance with the governing CALHR Rules.
2. Signs STD. 270 to certify that the vehicle was being operated on official State business and that the accident was not through the fault of the employee.
3. Determines the claim is not the result of the employee's, officers, or agent's decision not to maintain collision coverage. Claims filed because of a decision not to maintain collision coverage may be filed with the Victim’s Compensation and Government Claims Board.
4. Signs TEC to certify the employee has presented sufficient evidence that the repair expense has not been paid by insurance and to authorize payment for the least costly of the three competitive estimates.

# OR PLACE OF BURIAL 0772

(Revised 6/14)

CALHR Rules allow payment of transportation expenses necessary to return the remains of agents, officers or employees who die while traveling on official State business. Reimbursement is for return to the employee’s headquarters or the place of burial in the State, whichever is least costly. CALHR Rules 599.636 and 599.636.1 lists expenses normally allowed. Agencies will contact the estate of the employee, in writing, and detail the allowances and procedures for claiming them. Agencies may contact the local funeral home selected by the estate to arrange shipment in the least costly manner to the State. CALHR may grant exceptions to CALHR Rules 599.636 and 599.636.1.

# TRAVEL AND RELATED REIMBURSEMENT

# OF PERSONS NOT STATE EMPLOYEES 0774

(Revised 6/14)

Reimbursement for transportation and per diem costs to persons who are not state employees is outlined in [CALHR Management Memo 86-01](http://www.calhr.ca.gov/PML%20Library/86-01.pdf). Policy for non-State employees who are interviewing for a position with the State can be found in CALHR Rule 599.634.

# TRAVEL EXPENSE CLAIM (TEC), STD. 262 0780

(Revised 6/14)

Appendix A-1 contains preparation instructions for this form. Use TEC to claim travel and transportation expenses.

CALHR Rules 599.638 and 599.638.1 require that TECs contain a brief statement of purpose for each trip. Enter this statement (one line if possible) on the line immediately below the last entry for each trip. If two or more trips are made for the same purpose and one TEC is used, one statement is sufficient for the trips.

# INTRODUCTION 1200

(Reviewed 6/14)

This chapter provides policy direction for state agencies for services, consultant services, interagency agreements, and architectural and engineering and minor public works contracts. Other types of contracts are covered in SAM Sections 5200 et seq.; 1400 et seq.; and 1300 et seq.

# STATE CONTRACTING MANUAL 1205

(Reviewed 6/14)

Department of General Services, Office of Legal Services (DGS/OLS), has coordinated the effort to compile State Contracting Manual Volume 1 (SCM 1) which contains policies, procedures, and guidelines in securing necessary services for the state. The SCM1 and other OLS publications are available on the Internet at [**http://www.dgs.ca.gov/ols/Resources/StateContractManual.aspx**](http://www.dgs.ca.gov/ols/Resources/StateContractManual.aspx).

# AUTHORIZATION OF AGREEMENTS 1208

(Reviewed 6/14)

1. State Departments–Authorized Signatures
   1. Authority to sign purchase documents is limited to those executive officers who either have statutory authority or have been duly authorized in writing by one who has statutory authority.
   2. Anyone who signs a purchase document should have knowledge in the procurement laws, policies, and procedures pertaining to the goods or services being procured. If an individual with signature authority does not possess sufficient procurement knowledge and expertise, the individual should, prior to signing, have the purchase document reviewed by someone who possesses such knowledge and expertise.
   3. Delegation of signature authority is a selective process and should be commensurate with experience with principles of sound contracting and procurement policies, demonstrated familiarity with the process of purchase document formation, execution, and administration, and completion of applicable training and/or certifications.
   4. Each executive officer who has statutory authority to sign purchase documents shall ensure that his/her agency maintains a current written record of agency employees authorized to enter into and sign purchase documents on behalf of that agency. This written record shall be subject to DGS audit.

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**AUTHORIZATION OF AGREEMENTS 1208** (Cont. 1)

(Reviewed 6/14)

* 1. State Board’s and Commission’s purchase documents in excess of $5,000 must be accompanied by a copy of the resolution approving the execution of the purchase document, unless by statute the executive officer may sign the purchase document.

1. Local Governmental Entities–Authority
   1. Purchase documents to be signed by a county, city, district or other local public body must be authorized by a resolution, order, motion or ordinance for the purchase document. A copy of the authorization should be sent to DGS/OLS with the purchase document.
   2. Where performance by the local governmental entity will be complete prior to any payment by the state a resolution is not needed. Such instances are usually

one-time events such as a room rental.

**REAL ESTATE SERVICES DIVISION**

# PROGRAM SUMMARY, RESOURCES, AND CONTACTS 1300

(Revised 6/14)

The Department of General Services (DGS), Real Estate Services Division (RESD) offers a full range of real estate and property management services to all state agencies. RESD is dedicated to providing effective, high quality and value-added services to our customers and incorporates all organizational elements necessary to provide these services to customers.

The Asset Management Branch (AMB) is the initial point of contact for all new requests for services from RESD. New project requests are submitted from the customer agency to AMB via Global CRUISE: RESD’s electronic project request system. To obtain a Global CRUISE user account, access <http://globalcruise.dgs.ca.gov/>and click on the ―Click here to create a user account‖ link. For assistance with Global CRUISE, contact the AMB Customer Services Management Unit at 916-376-1800. Customer Services Managers are assigned by agency and are available to provide needed assistance and training.

Additionally, the ―HELP‖ tab in Global CRUISE includes a handy user guide.

Additional information on the RESD’s services and operations may be obtained from the RESD home page located at <http://www.dgs.ca.gov/resd/Home.aspx>or by telephone at 916-376-1800.

# ORGANIZATIONAL STRUCTURE 1301

(Revised 6/14)

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

|  |  |
| --- | --- |
| Asset Management Branch (AMB) | *SAM Section 1310* |
| Project Management and Development Branch (PMDB) | *SAM Section 1315* |
| Construction Services Branch (CSB) | *SAM Section 1328* |
| Building and Property Management Branch (BPMB) | *SAM Section 1330* |

(Continued)

**ORGANIZATIONAL STRUCTURE 1301** (Cont. 1)

(Revised 6/14)

# RESD Branches and their Functions

(Continued)

|  |  |
| --- | --- |
| **Asset Management Branch (AMB)** | 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. |
| **Project Management and Development Branch (PMDB)** | PMDB includes all of the architectural and engineering services, space planning and interior design, leasing, lease management, real estate sales and acquisitions, environmental services, and other related competencies such as seismic retrofits, toxic site investigation and remediation. |
| **Construction Services Branch (CSB)** | 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](http://leginfo.legislature.ca.gov/faces/codes_displaySection.xhtml?lawCode=PCC&amp;sectionNum=10122) of the Public Contract Code to directly accomplish construction projects. |
| **Building and Property Management Branch (BPMB)** | 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. |

# ASSET MANAGEMENT BRANCH

**PROGRAM SUMMARY, RESOURCES, AND CONTACTS 1310**

(Revised 6/14)

The Asset Management Branch (AMB) ensures the optimum use of the state’s real estate assets to meet program needs and to derive the maximum value from the state’s surplus property. AMB also provides regional and facility planning services which present strategies for most effectively meeting the state’s office space needs.

AMB’s Customer Services Management unit is the initial point of contact for requesting new RESD projects. The Customer Services Manager (CSM) serves as a liaison to RESD for state agencies. Customers seeking RESD services should contact their RESD CSM or call the Customer Services Management unit at (916) 376-1800.

More information about the Asset Management Branch is available on the AMB website at: <http://www.dgs.ca.gov/resd/Programs/AssetManagement.aspx>or by telephone at (916) 376- 1800.

# ORGANIZATIONAL STRUCTURE 1310.1

(Revised 6/14)

The Asset Management Branch is made up of the Portfolio Management and Asset Enhancement sections.

# PORTFOLIO MANAGEMENT SECTION 1310.2

(Revised 6/14)

The Portfolio Management Section is the initial point of contact for new RESD projects and serves as a liaison to RESD for state agencies.

Customer Services Managers (CSMs) are assigned by agency and are the central point of contact to RESD. CSMs review incoming CRUISE requests for completeness and direct each request to the appropriate branch for project execution. This unit maintains an understanding of the customers programs, real estate and facility requirements, and assists with collaboration among RESD programs.

Regional Portfolio Managers (RPMs) review all project requests to ensure RESD services are provided from a statewide, strategic asset management perspective and reflect state management, policy and statutory priorities. The RPMs also maintain a profile of the state’s real estate portfolio by managing the utilization of space in a state-owned or DGS-controlled office building, assisting agencies with planning short and long term real estate needs, and developing regional plans for future state office requirements.

While managing space assignments in state facilities pursuant to the [State Administrative](http://www.documents.dgs.ca.gov/osp/sam/mmemos/MM04_17.pdf) [Manual Management Memo 04-17](http://www.documents.dgs.ca.gov/osp/sam/mmemos/MM04_17.pdf), the following terms and conditions in the [DGS Building](http://www.documents.dgs.ca.gov/RESD/pubs/DGSBuildingOccupancyPolicy.pdf#search%3Dbuilding%20occupancy%20policy%26view%3DFitH%26pagemode%3Dnone) [Occupancy Policy](http://www.documents.dgs.ca.gov/RESD/pubs/DGSBuildingOccupancyPolicy.pdf#search%3Dbuilding%20occupancy%20policy%26view%3DFitH%26pagemode%3Dnone) (Policy) pertain to state agencies (occupant agencies) that hire from the DGS certain premises with the appurtenances situated in various cities within the State of California. Occupant agencies are assigned space subject to the terms contained in the Policy, Building Rules and Regulations, Space Assignment GS 4091, legislative mandates, and any and all applicable State of California statutes, policies, and regulations.

# TERMS AND DEFINITIONS 1310.3

(Revised 6/14)

Capitol Area Plan. This plan is the official master plan, approved in statute, for development of state-owned property proximate to the State Capitol Complex and Capitol Park. Progress reports are submitted to the Legislature annually.

Major Metropolitan Regional Planning Areas. (1) Sacramento/East Yolo Counties (2) Los Angeles County (excluding Long Beach) (3) San Francisco Bay Area (4) San Diego County.

Other Regional Planning Areas. (1) San Joaquin Valley (2) Upper Sacramento Valley (3) South Central Coast (4) North Coast (5) Orange County (6) San Bernardino/Riverside Counties (7) Santa Clara/Contra Costa/East Alameda Counties (8) Long Beach.

# LOCAL GOVERNMENT ASSESSMENTS 1310.4

(New 6/14)

[Pursuant to Article XIII C & D](http://www.leginfo.ca.gov/const-toc.html) of the California State Constitution, California state agencies may be subject to assessments levied by local government agencies on real property that receives a special benefit. Said Articles were added to the Constitution as a result of Proposition 218 which received voter approval in the November 1997 election. DGS developed SAM Section 1310.4 per Government Code Section [53752](http://leginfo.legislature.ca.gov/faces/codes_displaySection.xhtml?lawCode=GOV&amp;sectionNum=53752), which provided that compliance standards be developed to inform owners of state property of their duties and responsibilities with regard to Article XIII.

Existing law, Government Code Section [53752](http://leginfo.legislature.ca.gov/faces/codes_displaySection.xhtml?lawCode=GOV&amp;sectionNum=53752), prescribes specific procedures for notice, protest, and hearing for the levying of new or increased assessments by local government agencies pursuant to [Article XIII D](http://www.leginfo.ca.gov/const-toc.html) of the California Constitution. These statutory procedures supersede other statutory provisions applicable to the levying of these assessments and are subject to the approval process set forth in Section 4 of [Article XIII D](http://www.leginfo.ca.gov/const-toc.html) of the California Constitution.

Upon receipt of an invoice, statement, tax bill or other notification with a line item assessment or information pertaining to the development of an Assessment District, all state agencies are required to review the information and obtain its legal council’s opinion in determining if the Assessment District was constituted pursuant to the procedures prescribed by law and further evaluate whether or not the state property within the district receives a special benefit. Agencies receiving bills from districts constituted prior to 1996 should verify that the districts have gone back and followed the procedures established in current law which would allow the state’s participation. If the validity test is met, then the state agency which owns or controls the property is required to promptly pay its share of the assessment. Management Memo [05-17](http://www.documents.dgs.ca.gov/osp/sam/mmemos/MM05_17.pdf), Assessments Levied by Local Government Agencies, describes the DGS policy with regards to Local Government Assessments.

Procedures to determine if the state is required to participate in proposed or existing Business Improvement or Special Assessment Districts can be found at [Business](http://www.documents.dgs.ca.gov/resd/ProceduresforBusinessImprovementDistricts.pdf) [Improvement Districts](http://www.documents.dgs.ca.gov/resd/ProceduresforBusinessImprovementDistricts.pdf) and includes the Assessment District Questionnaire (to be completed by a state agency when participating in an Assessment District).

# ASSET ENHANCEMENT SECTION 1310.5

(Revised 6/14)

The Asset Enhancement staff identifies and implements value enhancement solutions for unused or underutilized state-owned properties. This section is responsible for the disposition of state-owned real property which has been declared surplus to future state needs.

# MANAGING SURPLUS STATE LANDS 1310.6

(Revised 6/14)

Surplus land refers to land acquired by the state through purchase, condemnation, or donation, which is no longer needed for any state purpose.

Identification of Surplus State Lands—(Responsibility of state agencies)

[Government Code Section 11011](http://leginfo.legislature.ca.gov/faces/codes_displaySection.xhtml?lawCode=GOV&amp;sectionNum=11011) et seq. requires each state agency to annually review all proprietary lands under its jurisdiction to identify and report to RESD any land that is excess to the agency’s foreseeable needs.

Reporting of Surplus State Lands—(Responsibility of DGS)

DGS is required to annually report to the Legislature the lands identified as excess by state agencies and request authorization to dispose of the lands by sale or otherwise.

The Annual Report to the State Legislature on Surplus Proprietary Land is prepared by – AMB’s Asset Enhancement Section. This report provides information about the excess properties submitted by agencies. It also serves as the basis for DGS sponsored legislation each year to obtain authorization to carry out the disposal of surplus properties.

Disposing of Surplus State Lands

After the Legislature authorizes the disposal of surplus properties, AMB’s Asset Enhancement Section performs the activities necessary to carry out the sale, lease, exchange, or other disposition.

# STATEWIDE REAL PROPERTY INVENTORY 1310.7

(Revised 6/14)

The DGS’ Responsibility

DGS is required to maintain a complete and accurate statewide inventory of all real property held by the State of California. This is called the Statewide Real Property Inventory (SPI) and is a comprehensive database of all state proprietary land holdings.

Agency’s Responsibility

State agencies that acquire, encumber, or dispose of real property are required to provide information to DGS for inclusion in the SPI and routing to the Secretary of State Archives. For assistance in determining the appropriate documents to be submitted, contact RESD’s SPI Unit at (916) 375-4052.

# TRANSFER OF FUNDS TO THE ARCHITECTURE

# REVOLVING FUND (RESD FORM 22) 1321.1

(Revised 6/14)

For clients using the Architecture Revolving Fund (ARF), the client agency must first transfer the funds to the ARF via RESD Form 22 before design and construction support services can be provided. DGS/RESD will prepare and provide the completed Form 22 to the client agency for their approval and subsequent submission to the Department of Finance for funding approval.

# POSTING OF STATE PROPERTY 1323.13

(Revised & Renumbered 6/14)

Posting state-owned or state-leased property in an effort to protect it from misuse, destruction, vandalism, or criminal activity is the responsibility of the agency or department who controls the property. The agency or department shall coordinate the posting of property with the California Highway Patrol.

# STATE PROPERTY EASEMENTS 1323.14

(Reviewed & Renumbered 6/14)

Agencies are required to submit any proposed acquisitions of easements requiring execution or approval by the Director of DGS to RPSS. Acquisition of easements where the total amount to be paid by the state is less than $1,000 are exempt, as long as the agency uses an agreement Form previously approved in writing by RPSS.

Requests to grant easements across state property generally require execution or approval of the Director of DGS. When such approval is required agencies should not negotiate with the grantee about the terms and conditions of the proposed grant until the RPSS determines the consideration for the grant.

Landholding agencies shall consider the effect of the proposed grant upon the environment and provide RPSS with the appropriate environmental document (s). RESD can assist agencies in developing the necessary environmental documents. You may contact your CAM for assistance.

Agencies shall not permit potential grantee use of state lands until authorized by an executed document.

**SAM—RECORDS MANAGEMENT**

**TERMS AND DEFINITIONS 1601**

(Revised 6/14)

Terms that define a type-of- record are listed under the heading “Recommended Retention Periods (SAM 1614)” Terms that define the type of equipment are listed under the heading “Filing Equipment (SAM 1609) and Supplies (SAM 1610).”

**PROGRAM SUMMARY, RESOURCES, AND CONTACTS 1700**

Revised 6/14)

Government Code Section 14771 establishes the State Forms Management Program (SFMP)for all state agencies to facilitate the statewide standardization of all agencies‟ forms and forms management programs.

The SFMP is administered by the Forms Management Center ([FMC](http://www.dgs.ca.gov/osp/Programs/FormsManagementCenter.aspx)) which is located within the Department of General Services, Office of Strategic Planning, Policy and Research, 707 Third Street, West Sacramento, California 95605. For inquires, telephone the FMC at (916) 375-4895, (916) 376-9931, or fax (916) 376-6340.

This chapter provides major policy for the SFMPwhich includes, but is not limited to, criteria for forms design, inventory control systems, terms and definitions, review processes, agencies‟ responsibilities and reporting requirements. Procedures for complying with this policy are contained in handbooks available from the FMC.

The Forms Management and Forms Design handbooks are part of the FMC's resource documents and are based on ‟best business practices‟ for forms programs. They contain guidelines, procedures, instructions, recommended readings, and other detailed information relating to state and departmental forms management programs.

The Departmental Forms Coordinator (DFC) and/or other staff involved in the f o r m s

m a n a g e m e n t responsibilities should contact the FMC for detailed information See SAM Section 0030 for contact names and telephone numbers.

# STATUTORY AUTHORITY 1701

(Reviewed 6/14)

[Government Code Section 14770](http://leginfo.legislature.ca.gov/faces/codes_displaySection.xhtml?lawCode=GOV&amp;amp%3BsectionNum=14770) requires the Director of the Department of General Services (DGS) to “. . . establish and staff an activity within the department to be known as the ”forms management center‟ for the orderly design, implementation and maintenance of a statewide forms management program.” This activity includes the study, development, coordination,

and initiation of State Standard (STD.) forms (forms of interagency and common administrative usage) which is required by [Government Code Section 14771(a)(2).](http://leginfo.legislature.ca.gov/faces/codes_displaySection.xhtml?lawCode=GOV&amp;amp%3BsectionNum=14771)

[Government Code Section 14771(a)(9)](http://leginfo.legislature.ca.gov/faces/codes_displaySection.xhtml?lawCode=GOV&amp;amp%3BsectionNum=14771) requires the Director of the Department of General Services (DGS), through the Forms Management Center (FMC) to “…Develop and promulgate rules and standards to implement the [State Forms Management Program].” These rules and standards include responsibilities of the FMC, State agencies, and Departmental Forms Coordinators (DFCs).

[Government Code Section 14771(a)(14)](http://leginfo.legislature.ca.gov/faces/codes_displaySection.xhtml?lawCode=GOV&amp;amp%3BsectionNum=14771) requires the Director of the Department of General Services (DGS), through the FMC, to “. . . provide notice to state agencies, forms management representatives, and departmental forms coordinators, that in the usual course of reviewing and revising all public-use forms that refer to or use the terms spouse, husband, wife, father, mother, marriage, or marital status, that appropriate references to state- registered domestic partner, parent, or state- registered domestic partnership are to be included.”

The term ‟agency„ refers to appropriate departments, offices, boards, commissions, etc.

# RESPONSIBILITIES OF THE FORMS MANAGEMENT CENTER 1702

(Revised 6/14)

The Forms Management Center ([FMC](http://www.dgs.ca.gov/osp/Programs/FormsManagementCenter.aspx)) is responsible for carrying out the provisions of Government Code Section [14771](http://leginfo.legislature.ca.gov/faces/codes_displaySection.xhtml?lawCode=GOV&amp;amp%3BsectionNum=14771) on behalf of the Director of the Department of General Services. These responsibilities include:

1. Establishing standards, policies and procedures to carry out the State‟s Forms Management Program.
2. Assisting agencies in developing programs for the effective management, analysis and design of forms.
3. Establishing basic design and specification criteria for the State‟s forms.
4. Maintaining a central cross-index of state agency forms, eliminating redundant forms while providing a central source of information for users.
5. Establishing a program for the management of the State Standard (STD.) forms.
6. Studying, developing, designing, revising, coordinating, and managing the State‟s STD. forms in cooperation with the agencies responsible for their content.
7. Obtaining information and reports from agencies as required to administer the program and evaluate its progress.

# ESTABLISHING THE AGENCY PROGRAM 1705

(Revised 6/14)

[Government Code Section 14750(a)](http://leginfo.legislature.ca.gov/faces/codes_displaySection.xhtml?lawCode=GOV&amp;amp%3BsectionNum=14750) requires the head of each agency to “Establish and maintain an active, continuing program for the economical and efficient management of the records and information collection practices of the agency. The program shall ensure that the information needed by the agency shall be obtained with a minimum burden upon individuals and businesses…”

[Government Code Section 14771(a)(4)](http://leginfo.legislature.ca.gov/faces/codes_displaySection.xhtml?lawCode=GOV&amp;amp%3BsectionNum=14771) requires the Director of the Department of General

Services (DGS), through the Forms Management Center (FMC), to “Provide assistance, training, and instruction in forms management techniques to state agencies, forms management representatives, and departmental forms coordinators . . .”

The forms management program is mandatory. Its effectiveness depends on a clear

understanding of the responsibilities of the operating agencies, DGS and the FMC. The responsibilities, derived from the statutes cited here are formulated from good business practices and gathered from forms professionals and forms associations.

Forms management is a staff activity. The program should be located at a level high enough to give the perspective and authority needed for across-the-board improvements and to provide technical guidance and department-wide coordination between functions. The program should be centralized and needs backing, upper-level support, and stature in the organization to be successful.

[Government Code Sections 14771(a)](http://leginfo.legislature.ca.gov/faces/codes_displaySection.xhtml?lawCode=GOV&amp;amp%3BsectionNum=14771) and [14775](http://leginfo.legislature.ca.gov/faces/codes_displaySection.xhtml?lawCode=GOV&amp;amp%3BsectionNum=14775) require the director of each State agency to

fulfill legislative requirements needed to effectively implement the State Forms Management Program. Such requirements may involve submitting various reports to the DGS FMC.

# RESPONSIBILITIES OF THE DEPARTMENTAL FORMS MANAGEMENT REPRESENTATIVE (FMR) AND FORMS COORDINATOR (DFC) 1706

(Revised 6/14)

[Government Code Section 14772](http://leginfo.legislature.ca.gov/faces/codes_displaySection.xhtml?lawCode=GOV&amp;amp%3BsectionNum=14772) requires the director of each State agency to “. . . appoint a forms management representative and provide necessary assistance to implement the State Forms Management Program within the agency.” The Forms Management Representative (FMR) usually has a level of responsibility equivalent to a staff services manager position.

The FMR appoints and works with the Departmental Forms Coordinator (DFC) to manage and maintain the forms management program within the agency. The DFC usually has a level of responsibility equivalent to that of a staff services analyst position.

These appointments are made using the form FMC 105 – *State Forms Management Program Appointments*, signed by the department director, and submitted to the Forms Management Center (FMC).

The primary responsibility of the DFC is to serve as liaison between the agency and the FMC. The DFC of an agency responsible for the content of a State Standard (STD.) form works closely with the FMC to coordinate the development, design and publication of the form; including ensuring the proof review and approval cycle is prompt between authors and FMC. Responsibilities for DFCs also include maintaining a list of forms distinguished by business- and public-use category and keeping contact information about their authors current.

Agencies may also staff their forms management program with forms program managers, forms analysts, forms designers, forms authors, forms programmers, and proofreaders to assist their FMR and DFC in carrying out the forms management responsibilities of the agency.

Classifications commonly used to staff the forms management program have been staff services managers, associate governmental program analysts, staff services analysts, digital composers, information officers, and information systems analysts. Staff should possess the skills, knowledge, and abilities to carry out the duties detailed in SAM Chapter 1700 and the FMC‟s handbooks.

On behalf of the agency, the DFC is responsible for:

1. Coordinating the agency forms management program.
2. Delegating duties to other appropriate personnel.
3. Acting as the contact between the agency and the FMC.
4. If the agency is responsible for the content of any STD. form, providing timely response to requests for information from the FMC.

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# RESPONSIBILITIES OF THE DEPARTMENTAL FORMS MANAGEMENT REPRESENTATIVE (FMR) AND FORMS COORDINATOR (DFC) 1706 (Cont. 1)

(Revised 6/14)

1. Inventorying and establishing an ongoing system of controls for the forms ordered and maintained by the agency.
2. Providing safeguards in all forms management activities for the protection of individual privacy and confidentiality of information.
3. Reviewing and approving requests for printing or creation of electronic versions of forms for the agency or delegating those responsibilities in the way that is most effective for the agency.
4. Determining that only necessary forms are ordered or established in electronic media and that those forms meet the standards set forth in the Forms Design Handbook.
5. Ensuring that the new or revised forms meet the standards set forth in the Forms Design Handbook and the Forms Management Handbook.
6. Ensuring discontinuance of obsolete forms from the agency system.
7. Conducting research into forms management problems.
8. Conducting forms analysis for designing or redesigning the agency‟s forms.
9. Being responsible for reports required by the FMC for administration of the program. These include, but are not limited to, reports on the agency Public Use Forms Program and the Business Use Forms/Reports Program.
10. Distributing information on forms management activities.
11. Coordinating with the agency training office to provide and make arrangements for appropriate training of forms management personnel.

# TERMS AND DEFINITIONS 1710

(Revised 6/14)

Forms – Any preprinted or electronic documents containing fixed messages or requests that are used repeatedly. Variable data or fill-in spaces may or may not be included. This definition applies to all temporary or permanent forms. It applies whether a form is printed by the Office of State Publishing or on agency duplicating equipment. It includes such items as form letters, tags, labels, continuous forms, tab cards and envelopes. Data entry screens and reports from databases are included in this definition.

Business – A business is any partnership, corporation, organization, business trust, or any person or nongovernmental entity or representative thereof, who supplies the state with information by filling out a form**.**

**Business-Use Forms/Reports** – State forms and/or reports used to collect and/or solicit information, including signatures,from businesses. See [Government Code Sections 14771(c)](http://leginfo.legislature.ca.gov/faces/codes_displaySection.xhtml?lawCode=GOV&amp;amp%3BsectionNum=14771) and [14775.](http://leginfo.legislature.ca.gov/faces/codes_displaySection.xhtml?lawCode=GOV&amp;amp%3BsectionNum=14775)

**Public-Use Forms** – State forms used to obtain or solicit facts, opinions, or other information from the public or private citizens, etc. See [Government Code Section 14741(1).](http://leginfo.legislature.ca.gov/faces/codes_displaySection.xhtml?lawCode=GOV&amp;amp%3BsectionNum=14741)

**State Standard (STD.) Forms** – State forms developed for use by all agencies to carry out common statewide administrative functions. See [Government Code Sections 14771(a)(2-6).](http://leginfo.legislature.ca.gov/faces/codes_displaySection.xhtml?lawCode=GOV&amp;amp%3BsectionNum=14771)

**Agency / Departmental Forms** – State forms created and used specifically by an agency to carry out the agency‟s administrative functions. The term ‟agency„ refers to appropriate departments, offices, boards, commissions, etc.

**Forms Management Representative (FMR)** – An individual appointed by the department‟s director to implement the agency‟s FMP. See [Government Code Section 14772.](http://leginfo.legislature.ca.gov/faces/codes_displaySection.xhtml?lawCode=GOV&amp;amp%3BsectionNum=14772)

**Departmental Forms Coordinator (DFC)** – An individual appointed by the department‟s FMR to serve as liaison between the agency and the FMC.

# FORMS MANAGEMENT TRAINING AND GUIDELINES 1715

(Revised 6/14)

As required by [Government Code Section 14771(a)(4),](http://leginfo.legislature.ca.gov/faces/codes_displaySection.xhtml?lawCode=GOV&amp;amp%3BsectionNum=14771) the Forms Management Center (FMC) provides training and assistance in all aspects of establishing and implementing the State Forms Management Program.

Due to advances in technology, many state government agencies use diverse software to produce forms, both paper and electronic such as data entry screens used to process data on a variety of information-processing systems. To ensure uniformity, FMC offers training classes and holds user group meetings. During classroom training, instructors educate students in forms design techniques and forms management strategies such as effective layout presentation and organization, naming convention guidelines and file management methods. At user group meetings, problems and resolutions as well as industry trends are discussed. FMC also provides manuals that include topics such as forms design, forms management and forms analysis.

State agencies may contact the FMC to coordinate and schedule training sessions.

# FORMS DESIGN STANDARDS 1720

(Revised 6/14)

Forms can be filled out and designed on paper or by electronic media. Agencies should follow the forms design standards, criteria, and techniques presented in the Forms Design Handbook. All agency forms and all State Standard (STD.) forms must contain the term ‟State of California„, the authoring department‟s name, a form title, a form number, and a form creation or revision date. Contact the Forms Management Center ([FMC](http://www.dgs.ca.gov/osp/Programs/FormsManagementCenter.aspx)) for information about forms design standards and forms design software.

Refer to SAM Section 1710 for Agency Forms and STD. Forms definitions.

Forms not included in the STD. Forms Program may not carry ‟STD.‟ or any variation of that designation as a prefix to the form number. If a form is removed from coordination as an STD. form and returned to management of the generating agency, the agency must change the number and identification at the next printing. These forms may carry a statement such as ‟Formerly STD. XXX‟.

All agency forms must show certain identifying information. If there is space, you should locate this information together. The Forms Design Handbook shows formatting for this information.

Form Titles – Form titles must describe both the form‟s subject and function. See the Forms Management Handbook for help with titling forms.

Form Numbers – Ideally, form numbers should be prefixed by the initials of the agency, i.e.,FTB, WRCB, etc. The numbers may follow any plan or scheme that works for your agency but must not duplicate a number already in use by the agency. An exception is allowed if a number is differently prefixed or suffixed. A form used by an office or division within an agency may carry a sub-prefix. An example is „GS-OAS,‟ for the DGS, Office of Administrative Services. Suffixes are often helpful to show field office versions with different mailing addresses or close relationship to another form, such as FTB 1000-LA, or DOJ 1000B.

Creation or Revision Dates – The date, if the form is new, must be the month and year in which the form was created or first distributed, such as „NEW 1-96‟. If it is revised, the date will be the month and year in which the form was revised, such as „Rev. 1-96‟. The notation „TEMP‟ may be used instead of „NEW‟ or „Rev.‟ on a form intended to be temporary, such as a form used in a short-term project. „TEST‟ or „PILOT‟ may be used on forms being tested before release to all users.

It is not advisable to preprint names of employees on forms unless there are compelling reasons to do so. An exception may be made for names of elected or appointed officials.

# FORMS REVIEW PROCESSES 1725

(Reviewed 6/14)

Proposed changes to paper and electronic forms should be reviewed for legal impact, workflow processes and routed for review by the appropriate departmental staff.

Coordinating this review and approval process is the responsibility of the Departmental Forms Coordinator (DFC).

# STATE STANDARD (STD.) FORMS 1730

(Reviewed 6/14)

State Standard (STD.) forms are state forms developed for use by all agencies to carry out common statewide administration functions. The Forms Management Center (FMC) is responsible for the orderly design, implementation, management and maintenance of STD. forms, including STD. electronic forms (eForms) and integrated STD. eForms systems.

In accordance with Government Code Section [14771](http://leginfo.legislature.ca.gov/faces/codes_displaySection.xhtml?lawCode=GOV&amp;sectionNum=14771), State government agents and entities doing business with the state should use STD. forms disseminated by FMC rather than reproduce their own.

[FMC](http://www.dgs.ca.gov/osp/Programs/FormsManagementCenter.aspx) ensures the most current versions are available either online or in hard-copy paper format. STD. eForms are available for online use on FMC‟s website. Certain paper forms are available through the Office of State Publishing in prepackaged quantities and minimum print quantities.

Using STD. forms managed by FMC ensures that the most cost-effective, economical and efficient solution is provided to the state.

These compliancy practices reduce costs associated with reproduction, dissemination, storage, and destruction, eliminating redundancy by serving as a centralized location for management of STD. forms. Observing these compliancy practices avoids the probability of using an expired form revision or a bootlegged form. Bootlegged forms and expired form revisions have been found to increase administrative costs and cause legality problems.

If a state agency has a suggested revision to a STD form, but is not the author of the form, it may submit the revision proposal to the FMC. The FMC will review the proposal and coordinate review by the form‟s authoring agency for approval.

Note: Customizing department forms for other than the author agency will not be performed by the FMC.

# STATE STANDARD (STD.) FORMS IDENTIFICATION 1731

(Revised 6/14)

To ensure accuracy in tracking the author of a State Standard (STD.) form, the originating department‟s name must be placed near the location of the title, number and date of the form after or opposite the „State of California‟ line.

The Forms Management Center ([FMC](http://www.dgs.ca.gov/osp/Programs/FormsManagementCenter.aspx)), in order to enforce forms identification standards state- wide, reserves the right to modify the information contained in the „State of California‟ line, department‟s name, title, number, and date of any STD. form. Modification of this information may not be made without the consent of the FMC. The positioning of this information on a form is left to the discretion of the FMC and may be modified by the FMC to fit space limitations.

Forms not included in the STD. Forms Program may not carry ‟STD.‟ or any variation of that designation as a prefix to the form number. If a form is removed from coordination as an STD. form and returned to management of the author agency, the agency must change the number and identification at the next printing. These forms may carry a statement such as ‟Formerly STD. XXX‟.

# STATE STANDARD (STD.) FORMS SECURITY 1732

(Revised 6/14)

To ensure compliance, security technology will be applied and enforced on all State Standard (STD.) electronic forms (eForms) and integrated STD. eForms systems the Forms Management Center (FMC) disseminates.

These security practices include locking of STD. eForms to reduce unauthorized possession and unapproved altering of the content, design and form field properties, and disabling of menu options for STD. eForms deployed on FMC‟s website. FMC‟s purpose for deploying STD. eForms on its website is to ensure that a cost-effective, economical and efficient solution is provided to the state, and to enable entities, public and private, to conduct administrative transactions for state business.

STD. eForms should not be downloaded. This non-downloadable aspect ensures that the current revision of a STD. form is used.

# MODIFIED STATE STANDARD (STD.) FORMS 1733

(Revised 6/14)

Modified State Standard (STD.) forms – If your agency has a significant and compelling need for a modification of an STD. form for your agency only, you must request approval in writing from the Forms Management Center (FMC). This request must first be reviewed and approved by your agency Department Forms Coordinator (DFC). Explain the need for the change and the benefits expected and attach a mock-up or draft of the modified form. If the FMC finds the request is reasonable, they will then ask the responsible agency if the modification can be accepted. If the request is granted, a copy of the FMC‟s approval must be attached to any request for printing. No approval will be valid for more than one year unless specifically stated in the approval by the FMC. This is to ensure that you are not reprinting forms that have been revised.

STD. forms modified by an agency with approval of the FMC will carry the STD. number and the naming convention of the generating agency, such as „STD. 15 (Rev. 6-95) DGS 210 (Rev.

1/2002).‟

Overprinted STD. forms – If your agency purchases STD. forms in their original paper form and wishes to overprint with agency information, you must request pre-approval from the FMC. Send the [FMC](http://www.dgs.ca.gov/osp/Programs/FormsManagementCenter.aspx) a written request with a copy of the form as you wish it overprinted. The Office of State Publishing will not overprint STD. forms without approval from the FMC. Overprinted forms do not need special identification of the using agency if it is identified in the material overprinted.

Electronic STD. form – You must also request approval for your agency to use an electronic version of an STD. form that was not distributed by the FMC. The procedure is the same as the request for a modified STD. form. The form must carry the STD. number and the naming convention of the generating agency, such as „STD. 15 (Rev. 6-95) DGS 210 (Rev. 1/2002).‟

State government agencies may opt to have STD. forms developed in-house by state government union employees such as digital composers or coordinate development with FMC. Whichever the case, STD. forms must adhere to FMC‟s forms design principles and practices. As a result, FMC has final approval of the layout and design of STD. forms, including STD. eForms and integrated STD. eForms system. The final management and dissemination of STD. forms must occur from FMC or from its centralized resource centers. Compliance with these guidelines minimizes the chances for errors associated with bootlegged forms and maximizes state resources.

# BUSINESS-USE INVENTORY 1735

(Reviewed 6/14)

[Government Code Sections 14771(c)](http://leginfo.legislature.ca.gov/faces/codes_displaySection.xhtml?lawCode=GOV&amp;amp%3BsectionNum=14771) and [14775](http://leginfo.legislature.ca.gov/faces/codes_displaySection.xhtml?lawCode=GOV&amp;amp%3BsectionNum=14775) require the development, maintenance, and review of a statewide inventory of non-tax business-use forms and reports used by State agencies to collect and/or solicit information from businesses.

This inventory is known as the Business-Use Inventory which is comprised of the forms your department has created in order to conduct its daily business and reports that it requests of businesses. For the purpose of this inventory, a business is defined as any partnership, corporation, organization, business trust, or any person or non-governmental entity or representative thereof who supplies the state with information by filling out a form.

[Government Code Section 14771(c)](http://leginfo.legislature.ca.gov/faces/codes_displaySection.xhtml?lawCode=GOV&amp;amp%3BsectionNum=14771) requires the Director of the Department of General Services (DGS), through the Forms Management Center (FMC), to develop and maintain the statewide Business-Use Inventory, and notify State agencies of their annual review requirements.

[Government Code Section 14775(b)](http://leginfo.legislature.ca.gov/faces/codes_displaySection.xhtml?lawCode=GOV&amp;amp%3BsectionNum=14775) requires each State agency commencing December 31, 1995, to review one-third of its Business-Use Inventory on an annual basis.

The reporting period has been changed to alleviate other workloads that exist due to the closing of fiscal years. The new reporting period is January 1 through December 31. Reports for that calendar year are due on December 31.

Initially, the reporting requirement is met by submitting a complete listing of all the business- use forms created by your agency, along with other information such as revision date, form type, and associated statutory code. The FMC will combine all agency lists into a Statewide Master list. For very specific instructions for formatting your data please contact the FMC.

As part of the annual review requirements, each State agency is to eliminate those forms and/or reports that are not mandated by statute. However, an agency head may certify the continued use of a form and/or report if the information provided on the form and/or report meet specific requirements detailed in [Government Code Section 14775(b).](http://leginfo.legislature.ca.gov/faces/codes_displaySection.xhtml?lawCode=GOV&amp;amp%3BsectionNum=14775)

[Government Code Section 14775(c)](http://leginfo.legislature.ca.gov/faces/codes_displaySection.xhtml?lawCode=GOV&amp;amp%3BsectionNum=14775) states that a business may contest an agency head's certification of the continued use of a form and/or report.

**PUBLIC-USE FORMS INVENTORY 1740**

(Reviewed 6/14)

[Government Code Section 14771(a)(12)](http://leginfo.legislature.ca.gov/faces/codes_displaySection.xhtml?lawCode=GOV&amp;amp%3BsectionNum=14771) requires that forms to be used by the public (including businesses) have assigned control numbers. The agency form number serves this purpose and must appear on the form as part of the identification. See SAM Section 1720.

An agency may not ask for or require members of the public to supply information to the State on a form not so identified. This applies whether the information is submitted voluntarily, required to gain or retain a benefit or service, or mandatory (a penalty will be assessed for failure to provide the information).

Agencies have been given the responsibility by the Forms Management Center ([FMC](http://www.dgs.ca.gov/osp/Programs/FormsManagementCenter.aspx)) to identify all forms used by the public and maintaining a current index and inventory of forms. Upon request, agencies must report changes to their inventory to the FMC.

# PRIVACY AND DISCLOSURE 1745

(Reviewed 6/14)

State and Federal laws protect people's privacy and confidential information. An agency must obey these laws when gathering or disclosing information about an individual. These laws include requirements concerning:

* 1. The kind of information a form can request;
  2. The information that is provided by the individual;
  3. How to store the forms and their information; and
  4. Disclosing the data on the forms.

You can find out more about the privacy and disclosure laws and regulations from the following:

1. [Federal Privacy Act, Public Law 93-579](http://www.gpo.gov/fdsys/pkg/STATUTE-88/pdf/STATUTE-88-Pg1896.pdf);
2. [Freedom of Information Act, 5 U.S.C. 552(b)(6)](http://www.justice.gov/oip/amended-foia-redlined-2010.pdf);
3. [Information Practices Act, California Civil Code Section 1798 et seq.](http://leginfo.legislature.ca.gov/faces/codes_displaySection.xhtml?lawCode=CIV&amp;sectionNum=1798); and
4. [California Public Records Act, Government Code Section 6250 et seq.](http://leginfo.legislature.ca.gov/faces/codes_displaySection.xhtml?lawCode=GOV&amp;sectionNum=6250)

# DISPOSAL OF UNUSED ACCOUNTABLE FORMS 1750

(Revised 6/14)

Each agency is responsible for the appropriate disposal of unused (blank) accountable forms. Accountable forms are unused pre-numbered forms used to record or transfer money.

Examples are checks, receipts, meal tickets, and licenses.

Destruction of accountable forms should be witnessed by a member of your agency‟s internal audit unit. If there is no such unit, it must be witnessed by an agency employee who is not directly responsible for handling or accounting for the documents or the fees for which the documents are issued.

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**FIRST AID KITS** (REVISED 3/96) **2582.1**

~~First aid kits must be provided and readily available to all employees.~~

~~The California Department of Human Resources defines and identifies first aid supplies and requests compliance with the guidelines presented.~~

~~First Aid: That assistance provided the sick or injured before medical help is available but only with the express purposes of controlling loss of blood, sustaining breathing, and reducing the effects of shock. Suitably trained personnel are highly recommended. Medical diagnosis, treatment, and provision of medicines or drugs (aspirin included) are not appropriate.~~

~~These supplies have been approved by a consulting physician, as required by General Industry Safety Orders, Section 3400:~~

~~Item~~

~~Sterile gauze pads 4"~~   ~~Roller gauze 1"~~   ~~Paper of adhesive tape 1/2"~~   ~~Triangular bandage~~   ~~Sterile package of band-aids 1"~~   ~~Sterile compress bandage 3"~~   ~~Elastic bandage 3"~~   ~~Sting swabs~~   ~~Soap cloths~~   ~~Container (sealable plastic bag with fairly heavy wall, metal or plastic box.)~~

~~All other first aid supplies determined by agencies to be necessary for their operations, will need to be approved by a consulting physician.~~

~~(Code reference: Section 3400, Title 8, Chapter 4, California Code of Regulations. Although there may be other codes involved, the above list of supplies was developed in conjunction with Department of Industrial Relations and the Department of Health Services and are considered appropriate for standardized kits.)~~

~~Agencies may contact the Office of Risk & Insurance Management's first Aid/CPR Coordinator for assistance in training personnel in first aid/cardiopulmonary resuscitation.~~

**PUBLICATIONS REPRESENTATIVES**

(Revised 6/14) **3130**

Each department, board or commission must assign one person as its "Publications Representative." Each December 1st, your organization must send the name, mailing address and telephone number of your Publications Representative to the following:

1. The Office of State Publishing (OSP) of the Department of General Service's Office of Procurement.
2. The Librarian at the Government Publications Section of the State Library.

If you are your Department's Publications Representative, you must set up and use procedures that comply with the Library Distribution Act. Each of your published documents must state how to get a copy of the document. This includes having on each document the name, mailing address, and telephone number of the agency that distributes the document. You should try and place this information on the front or back of the title page.

If your publication is to be distributed according to the Library Distribution Act, you must indicate this on either the Printing Requisition–Invoice, STD. 67, or on the Reproduction Order, STD. 51.

# ANNUAL CORRECTION 3151

(Reviewed 6/14)

Section 14911 of the Government Code requires you to check and correct your mailing lists each year. You must do this to every mailing list and to all people on your mailing lists. The only exception is for those lists that are made up for distribution of a publication that has been specifically defined by a different law. You must carefully review each case where a name on a mailing list is at the request of the person or organization that receives the publication. This Section of the Government Code does not apply to depository libraries.

You must use the same method to check your mailing lists that you use to send your publications to State agencies and officials, even if you do not use the U.S. mail to send the publications.

Each agency must provide its own forms and procedures to comply with the Government Code.

# FREE DISTRIBUTION OF PUBLICATIONS 3161

(Revised 6/14)

Even if the Department of General Services Office of State Publishing is selling your publications for your agency, you may give out the following types of documents, directly and for free for any of the following reasons:

1. You are distributing copies as required by the Library Distribution Act. See SAM Sections 3120 and 3121.
2. You are giving the copies to other government agencies.
3. The copies are part of a package for which a license fee or other fee has already been paid.
4. You are giving the copies to the public, and the publication was designed and published to promote compliance with State laws.
5. The publication provides information on issues of general statewide importance.
6. The publication provides answers to recurring questions at less cost than by repetitive specific correspondence.

Even though many publications may qualify for free distribution, you must try to keep a good balance between cost and benefits for all free distributions.

**GOVERNING PROVISIONS 5300.2 (Cont. 1)**

(Revised 6/14)

Many information security and privacy requirements are program specific; thus, the legal and regulatory requirements may vary from one program to another. For example, the laws governing security and privacy for health care programs differ from the laws governing energy programs. The following overarching laws, which affect the categorization, classification, protection, and dissemination of information, are applicable to most state entities:

* 1. [Article 1, Section 1, of the Constitution of the State of California](http://www.leginfo.ca.gov/.const/.article_1) defines pursuing and obtaining privacy as an inalienable right.
  2. [The Information Practices Act of 1977 (Civil Code section 1798, et seq.)](http://www.leginfo.ca.gov/cgi-bin/displaycode?section=civ&amp;group=01001-02000&amp;file=1798-1798.1) places specific requirements on each state entity in the collection, use, maintenance, and dissemination of information relating to individuals.
  3. [The California Public Records Act (Government Code sections 6250-6265)](http://www.leginfo.ca.gov/cgi-bin/displaycode?section=gov&amp;group=06001-07000&amp;file=6250-6270) provides for the inspection of public records and authorizes specific exemptions for not disclosing certain records or portions of certain records.
  4. [The State Records Management Act (Government Code sections 14740-14770)](http://www.leginfo.ca.gov/cgi-bin/displaycode?section=gov&amp;group=14001-15000&amp;file=14740-14741.1) provides for the application of management methods to the creation, utilization, maintenance, retention, preservation, and disposal of state records, including determination of records essential to the continuation of state government in the event of a major disaster. ([SAM sections 1601 through 1699](http://sam.dgs.ca.gov/TOC/1600.aspx) contain administrative regulations in support of the Records Management Act.)
  5. [The Comprehensive Computer Data Access and Fraud Act (Penal Code section](http://www.calpers.ca.gov/eip-docs/utilities/conditions/502-ca-penal-code.pdf)

[502)](http://www.calpers.ca.gov/eip-docs/utilities/conditions/502-ca-penal-code.pdf) affords protection to individuals, businesses, and governmental entities from tampering, interference, damage, and unauthorized access to computer data and computer systems. It allows for civil action against any person convicted of violating the criminal provisions for compensatory damages.

**INFORMATION SECURITY PROGRAM 5305** (Cont. 1)

(Revised 6/14)

1. Develop and disseminate security and privacy metrics and risk information to state entity executives and other managers for decision making purposes; and
2. Coordinate state entity security efforts with local government entities and other branches of government as applicable.

**Implementation Controls:** [NIST SP 800-53](http://nvlpubs.nist.gov/nistpubs/SpecialPublications/NIST.SP.800-53r4.pdf): [Planning (PL)](http://nvlpubs.nist.gov/nistpubs/SpecialPublications/NIST.SP.800-53r4.pdf#page%3D295); [Program Management](http://nvlpubs.nist.gov/nistpubs/SpecialPublications/NIST.SP.800-53r4.pdf#page%3D392) [(PM)](http://nvlpubs.nist.gov/nistpubs/SpecialPublications/NIST.SP.800-53r4.pdf#page%3D392)

# INFORMATION SECURITY PROGRAM MANAGEMENT 5305.1

(Revised 6/14)

**Policy:** Each state entity must provide for the proper use and protection of its information assets. Accordingly each state entity shall:

1. Develop, implement, and maintain a state entity-wide Information Security Program Plan.
2. Ensure the plan documentation provides the following:
   1. an overview of the requirements for the state entity’s information security program;
   2. a description of the state entity’s strategy and prioritization approach to information security, privacy, and risk management;
   3. a plan for integrating information security resource needs into the state entity’s capital planning and funding request processes; and
   4. a plan of action and milestones process for addressing program deficiencies.
3. Be approved and disseminated by the state entity head responsible and accountable for risks incurred to the state entity’s mission, functions, assets, image and reputation.
4. Identify roles and responsibilities, and assign management responsibilities for information security program management consistent with the roles and responsibilities described in the Information Security Program Management Standard ([SIMM 5305-A](http://www.cio.ca.gov/Government/IT_Policy/SIMM.html#5300)).

**Implementation Controls:** [NIST SP 800-53](http://nvlpubs.nist.gov/nistpubs/SpecialPublications/NIST.SP.800-53r4.pdf): [Planning (PL)](http://nvlpubs.nist.gov/nistpubs/SpecialPublications/NIST.SP.800-53r4.pdf#page%3D295); [Program Management](http://nvlpubs.nist.gov/nistpubs/SpecialPublications/NIST.SP.800-53r4.pdf#page%3D392) [(PM)](http://nvlpubs.nist.gov/nistpubs/SpecialPublications/NIST.SP.800-53r4.pdf#page%3D392); [Information Security Program Management Standard (SIMM 5305-A)](http://www.cio.ca.gov/Government/IT_Policy/SIMM.html)

**POLICY, PROCEDURE AND STANDARDS MANAGEMENT 5305.2**

(Revised 6/14)

**Policy:** Each state entity must provide for the protection of its information assets by establishing appropriate administrative, operational and technical policies, standards, and procedures to ensure its operations conform with business requirements, laws, and administrative policies, and personnel maintain a standard of due care to prevent misuse, loss, disruption or compromise of state entity information assets. Each state entity shall adopt, maintain and enforce internal administrative, operational and technical policies, standards and procedures in accordance with [SIMM 5305-A](http://www.cio.ca.gov/Government/IT_Policy/SIMM.html#5300) to support information security program plan goals and objectives.

**Implementation Controls:** [NIST SP 800-53](http://nvlpubs.nist.gov/nistpubs/SpecialPublications/NIST.SP.800-53r4.pdf): [Planning (PL)](http://nvlpubs.nist.gov/nistpubs/SpecialPublications/NIST.SP.800-53r4.pdf#page%3D295); [Program Management](http://nvlpubs.nist.gov/nistpubs/SpecialPublications/NIST.SP.800-53r4.pdf#page%3D392) [(PM)](http://nvlpubs.nist.gov/nistpubs/SpecialPublications/NIST.SP.800-53r4.pdf#page%3D392); [SIMM 5305-A](http://www.cio.ca.gov/Government/IT_Policy/SIMM.html#5300)

# INFORMATION SECURITY ROLES AND RESPONSIBILITIES 5305.3

(Revised 6/14)

**Policy:** Information security is a shared responsibility. All personnel have a role and responsibility in the proper use and protection of state information assets. Each state entity shall ensure information security program roles and responsibilities identified in [SIMM 5305-A](http://www.cio.ca.gov/Government/IT_Policy/SIMM/SIMM5305_A.PDF) are acknowledged and understood by all state entity personnel.

**Implementation Controls:** [NIST SP 800-53](http://nvlpubs.nist.gov/nistpubs/SpecialPublications/NIST.SP.800-53r4.pdf): [Planning (PL)](http://nvlpubs.nist.gov/nistpubs/SpecialPublications/NIST.SP.800-53r4.pdf#page%3D295); [Program Management](http://nvlpubs.nist.gov/nistpubs/SpecialPublications/NIST.SP.800-53r4.pdf#page%3D392) [(PM)](http://nvlpubs.nist.gov/nistpubs/SpecialPublications/NIST.SP.800-53r4.pdf#page%3D392); [SIMM 5305-A](http://www.cio.ca.gov/Government/IT_Policy/SIMM.html#5300)

(Continued)

# INFORMATION ASSET MANAGEMENT 5305.5 (Cont. 1)

(Revised 6/14)

1. Importance of information asset to the execution of the state entity’s mission and program function.
2. Potential consequences and impacts if confidentiality, integrity and availability of the information asset were compromised.

**Implementation Controls:** NIST SP 800-53: [Planning (PL)](http://nvlpubs.nist.gov/nistpubs/SpecialPublications/NIST.SP.800-53r4.pdf#page%3D295); [Program Management](http://nvlpubs.nist.gov/nistpubs/SpecialPublications/NIST.SP.800-53r4.pdf#page%3D392) [(PM)](http://nvlpubs.nist.gov/nistpubs/SpecialPublications/NIST.SP.800-53r4.pdf#page%3D392); [Information Security Program Management Standard (SIMM 5305-A)](http://www.cio.ca.gov/Government/IT_Policy/SIMM/SIMM5305_A.PDF); and [FIPS](http://csrc.nist.gov/publications/fips/fips199/FIPS-PUB-199-final.pdf) [Publication 199](http://csrc.nist.gov/publications/fips/fips199/FIPS-PUB-199-final.pdf).

# RISK MANAGEMENT 5305.6

(Revised 6/14)

**Policy:** Each state entity shall create a state entity-wide information security, privacy and risk management strategy which includes a clear expression of risk tolerance for the organization, acceptable risk assessment methodologies, risk mitigation strategies, and a process for consistently evaluating risk across the organization with respect to the state entity’s risk tolerance, and approaches for monitoring risk over time.

The state entity’s risk management strategy and methodologies shall be consistent with [NIST SP 800-30](http://csrc.nist.gov/publications/nistpubs/800-30-rev1/sp800_30_r1.pdf) and [NIST SP 800-39](http://www.csrc.nist.gov/publications/nistpubs/800-39/SP800-39-final.pdf), and must include:

1. Risk assessments conducted at the three various levels of the risk management hierarchy, including:
   1. Organizational level;
   2. Mission/Business process level; and
   3. Information asset level.
2. A risk assessment process to identify and assess risks associated with its information assets and define a cost-effective approach to managing such risks; including, but not limited to:
   1. Risk associated with introducing new information processes, systems and technology into the state entity environment;
   2. Accidental and deliberate acts on the part of state entity personnel and outsiders;
   3. Fire, flooding, and electric disturbances; and,
   4. Loss or disruption of data communications capabilities.

**Implementation Controls:** NIST SP 800-53: [Planning (PL)](http://nvlpubs.nist.gov/nistpubs/SpecialPublications/NIST.SP.800-53r4.pdf#page%3D295); [Program Management](http://nvlpubs.nist.gov/nistpubs/SpecialPublications/NIST.SP.800-53r4.pdf#page%3D392) [(PM)](http://nvlpubs.nist.gov/nistpubs/SpecialPublications/NIST.SP.800-53r4.pdf#page%3D392); and [SIMM 5305](http://www.cio.ca.gov/Government/IT_Policy/SIMM.html#5300)-A

# RISK ASSESSMENT 5305.7

(Revised 6/14)

**Policy:** Each state entity shall conduct an assessment of risk, including the likelihood and magnitude of harm from the unauthorized access, use, disclosure, disruption, modification, or destruction of the information system/asset and the information it processes, stores, or transmits. Each state entity shall conduct a comprehensive risk assessment once every two years which assesses the state entity’s risk management strategy for all three levels and documents the risk assessment results in a risk assessment report.

The risk assessment process must include the following:

1. Assignment of responsibilities for risk assessment, including appropriate participation of executive, technical, and program management.
2. Identification of the state entity information assets that are at risk, with particular emphasis on the applications of information technology that are critical to state entity program operations. Identification of the threats to which the information assets could be exposed.
3. Assessment of the vulnerabilities, e.g., the points where information assets lack sufficient protection from identified threats.
4. Determination of the probable loss or consequences, based upon quantitative and qualitative evaluation, of a realized threat for each vulnerability and estimation of the likelihood of such occurrence.
5. Identification and estimation of the cost of protective measures which would eliminate or reduce the vulnerabilities to an acceptable level.
6. Selection of cost-effective security management measures to be implemented.
7. Preparation of a report, to be submitted to the state entity head and to be kept on file within the state entity, documenting the risk assessment, the proposed security management measures, the resources necessary for security management, and the amount of residual risk to be accepted by the state entity.

**Implementation Controls:** NIST SP 800-53: [Risk Assessment (RA)](http://nvlpubs.nist.gov/nistpubs/SpecialPublications/NIST.SP.800-53r4.pdf#page%3D307)

(Continued)

# PROVISIONS FOR AGREEMENTS WITH STATE

**AND NON-STATE ENTITIES 5305.8 (Cont. 1)**

(Revised 6/14)

1. Agreements that the data custodian shall be responsible for all costs incurred by the data owner due to security incident resulting from the data custodian’s failure to perform or negligent acts of its personnel, and resulting in an unauthorized disclosure, release, access, review, or destruction; or loss, theft or misuse of an information asset. If the contractor experiences a loss or breach of data, the contractor shall immediately report the loss or breach to the data owner. If the data owner determines that notice to the individuals whose data has been lost or breached is appropriate, the contractor will bear any and all costs associated with the notice or any mitigation selected by the data owner. These costs include, but are not limited to, staff time, material costs, postage, media announcements, and other identifiable costs associated with the breach or loss of data.
2. Agreements that the data custodian shall immediately notify and work cooperatively with the data owner to respond timely and correctly to public records act requests.
3. Agreements between the data custodian and data owner to address the appropriate disposition of records held by the data custodian during the term of its agreement with the data owner.

**Implementation Controls:** NIST SP 800-53, [System and Services Acquisition (SA)](http://nvlpubs.nist.gov/nistpubs/SpecialPublications/NIST.SP.800-53r4.pdf#page%3D312)

# INFORMATION SECURITY PROGRAM METRICS 5305.9

(Revised 6/14)

**Introduction:** Performance with respect to security controls must be measured to determine whether the needs of the state entity are being met. Security metrics assist with adjustments to security controls in order to improve effectiveness.

**Policy:** Each state entity shall establish outcome-based metrics to measure the effectiveness and efficiency of the state entity’s information security program, and the security controls deployed.

**Implementation Controls:** NIST SP 800-53: [System and Services Acquisition (SA)](http://nvlpubs.nist.gov/nistpubs/SpecialPublications/NIST.SP.800-53r4.pdf#page%3D312); [Security Assessment and Authorization (CA)](http://nvlpubs.nist.gov/nistpubs/SpecialPublications/NIST.SP.800-53r4.pdf#page%3D211); [Contingency Planning (CP)](http://nvlpubs.nist.gov/nistpubs/SpecialPublications/NIST.SP.800-53r4.pdf#page%3D234)

# PRIVACY 5310

(Revised 6/14)

**Introduction:** Privacy can be understood as the rights of individuals, as defined by law, to control the collection and use of their personal information. This privacy policy is based generally on the [Information Practices Act of 1977 (Civil Code section 1798, et](http://www.leginfo.ca.gov/cgi-bin/displaycode?section=civ&amp;group=01001-02000&amp;file=1798-1798.1) [seq.](http://www.leginfo.ca.gov/cgi-bin/displaycode?section=civ&amp;group=01001-02000&amp;file=1798-1798.1)). In addition to its general application, the Information Practices Act of 1977 is broad in scope, drawing from the [Fair Information Practice Principles (FIPPs),](http://www.nist.gov/nstic/NSTIC-FIPPs.pdf) which form the basis for most privacy laws in the United States and around the world. The [FIPP](http://www.nist.gov/nstic/NSTIC-FIPPs.pdf)s help entities attain public trust and mitigate loss and risk stemming from privacy incidents.

Included among the principles are transparency, notice, and choice. Some state entities are also subject to additional state and federal privacy laws related to particular types of personal information.

**Governing Authority:** The following overarching privacy laws are applicable to state entities:

1. [Article 1, Section 1](http://www.leginfo.ca.gov/.const/.article_1), of the Constitution of the State of California defines pursuing and obtaining privacy as an inalienable right.
2. The [Information Practices Act of 1977 (Civil Code section 1798, et seq](http://www.leginfo.ca.gov/cgi-bin/displaycode?section=civ&amp;group=01001-02000&amp;file=1798-1798.1).) places specific requirements on each state entity in the collection, use, maintenance, and dissemination of information relating to individuals.
3. [Government Code Section 11019.9](http://www.leginfo.ca.gov/cgi-bin/displaycode?section=gov&amp;group=10001-11000&amp;file=11000-11019.11) requires state agencies to enact and to maintain a privacy policy and to designate an employee to be responsible for the policy. The policy must describe the agency's practices for handling personal information, as further required in the Information Practices Act.

**Policy:** State entity heads shall direct the establishment of an entity-specific Privacy Program. The Privacy Program shall ensure, and privacy coordinators shall confirm, that the requirements contained in the California Information Practices Act, this policy and the associated standards are adhered to by the state entity and its personnel.

**Implementation Controls:** NIST SP 800-53: [Appendix J-Privacy Control Catalog](http://nvlpubs.nist.gov/nistpubs/SpecialPublications/NIST.SP.800-53r4.pdf#page%3D435)

# STATE ENTITY PRIVACY STATEMENT

# AND NOTICE ON COLLECTION 5310.1

(Revised 6/14)

**Policy:** Information asset owners shall be open about state entity information handling practices, including the purposes for which the state entity collects, uses, and discloses personal information of individuals. Each state entity Privacy Program Coordinator shall prepare, publish, and maintain a General Privacy Policy Statement and a Privacy Notice on Collection for each personal information collection in accordance with the Privacy Statement and Notices Standard ([SIMM 5310-A](http://www.cio.ca.gov/Government/IT_Policy/SIMM.html)).

General Privacy Policy Statement

Each state entity’s general privacy policy, as required by [Government Code section](http://www.leginfo.ca.gov/cgi-bin/displaycode?section=gov&amp;group=10001-11000&amp;file=11000-11019.11) [11019.9](http://www.leginfo.ca.gov/cgi-bin/displaycode?section=gov&amp;group=10001-11000&amp;file=11000-11019.11), shall apply to the entire state entity and its subdivisions.

Privacy Notice on Collection

When personal information is collected from an individual on or with any form, the information asset owner shall ensure that notice is provided to the individual at or before the time of collection. The content and presentation of the notice shall comply with requirements outlined in the Privacy Statement and Notices Standard ([SIMM 5310-A](http://www.cio.ca.gov/Government/IT_Policy/SIMM.html)).

**Implementation Controls:** NIST SP 800-53: [Appendix J-Privacy Control Catalog](http://nvlpubs.nist.gov/nistpubs/SpecialPublications/NIST.SP.800-53r4.pdf#page%3D435), and [SIMM 5310-A](http://www.cio.ca.gov/Government/IT_Policy/SIMM.html#5300)

# LIMITING COLLECTION 5310.2

(Revised 6/14)

**Policy:** Information asset owners shall collect the least amount of personal information that is required to fulfill the purposes for which it is being collected. Information asset owners shall obtain personal information only through lawful means and shall collect personal information to the greatest extent practicable directly from the individual who is the subject of the information rather than from another source. Information asset owners shall endeavor to collect non-personal information, instead of personal information, if it is able to fulfill the same requirements.

**Implementation Controls:** NIST SP 800-53: [Appendix J-Privacy Control Catalog](http://nvlpubs.nist.gov/nistpubs/SpecialPublications/NIST.SP.800-53r4.pdf#page%3D435)

**LIMITING USE AND DISCLOSURE 5310.3** (Cont. 1)

(Revised 6/14)

Social Security Numbers

Information asset owners shall minimize the collection and use of Social Security numbers. Information asset owners shall not publicly post or publicly display in any manner an individual's Social Security number or otherwise permit handling of Social Security numbers in any manner inconsistent with the Privacy Individual Access Standard ([SIMM 5310-B](http://www.cio.ca.gov/Government/IT_Policy/SIMM.html#5300)).

Information asset owners shall not permit Social Security numbers to be either entered into systems as authentication credentials or used as user unique identifiers within systems. This requirement shall apply to all new systems, and major changes or upgrades to existing systems.

**Implementation Controls:** NIST SP 800-53: [Appendix J-Privacy Control Catalog](http://nvlpubs.nist.gov/nistpubs/SpecialPublications/NIST.SP.800-53r4.pdf#page%3D435), and [SIMM 5310-B](http://www.cio.ca.gov/Government/IT_Policy/SIMM.html)

# INDIVIDUAL ACCESS TO PERSONAL INFORMATION 5310.4

(Revised 6/14)

**Policy:** Each state entity shall ensure individuals are provided with information about their access rights and the procedures for exercising those rights.

Individuals Right to Access

Each state entity Privacy Program Coordinator shall publish procedures for individuals to follow in exercising their rights to access records held by the state entity which contain their personal information. Such rights include the right to inquire and be informed as to whether the state entity maintains a record about the individual and the right to request a correction of or an amendment to their personal information. Such procedures shall be made available online if the state entity has a website, and shall otherwise comply with the Privacy Individual Access Standard ([SIMM 5310-B](http://www.cio.ca.gov/Government/IT_Policy/SIMM.html#5300)).

Personal Information in Public Records

Each state entity head shall include in the state entity’s procedures for access to public records, a provision requiring the redaction of personal information prior to allowing inspection or releasing records in response to a California Public Records Act request.

(Continued)

# INDIVIDUAL ACCESS TO PERSONAL INFORMATION 5310.4 (Cont. 1)

(Revised 6/14)

Mailing Lists

Upon written request of an individual, an information asset owner maintaining a mailing list shall remove the individual's name and contact information from such list, unless such name and contact information is exclusively used by the state entity to directly contact the individual. Information asset owners shall inform individuals, in the requisite Privacy Notice on Collection forms used to collect personal information, of their right to have their information removed from such mailing lists.

**Implementation Controls:** NIST SP 800-53: [Appendix J-Privacy Control Catalog](http://nvlpubs.nist.gov/nistpubs/SpecialPublications/NIST.SP.800-53r4.pdf#page%3D435) , and [SIMM 5310-B](http://www.cio.ca.gov/Government/IT_Policy/SIMM.html#5300)

# INFORMATION INTEGRITY 5310.5

(Revised 6/14)

**Policy:** Information asset owners shall maintain all records with accuracy, relevance, timeliness, and completeness.

Maintaining Record Integrity

When an information asset owner uses a record to make a determination about an individual or transfers a record to another state or non-state entity, the owner shall correct, update, withhold, or delete any portion of the record that it knows or has reason to believe is inaccurate or out of date.

Maintaining Information Sources

Whenever an information asset owner collects personal information, the owner shall either ensure that the individual is provided a copy of the source document or shall record and maintain the source of the information, unless the source is the individual record subject.

(Continued)

**INFORMATION INTEGRITY 5310.5** (Cont. 1)

(Revised 6/14)

Ownership of Stored Records and State Archived Records

1. Stored Records: When records that contain personal information are transferred to the Department of General Services (DGS) for storage, information asset owners for the state entity transferring the records shall retain all owner responsibilities for the protection of the record as provided in this Chapter. The DGS shall not disclose the record except to the information asset owner or his designee, or in accordance with their instructions which must be in accordance with this policy and relevant laws.
2. State Archives: Information asset owners shall transfer a record pertaining to an identifiable individual to the State Archives only after determining, with concurrence by the state entity head, that the record has sufficient historical or other value to warrant its continued preservation by the California state government. In the event of this transfer, information asset ownership shall be formally transferred to an information asset owner in the State Archives, who shall accept all owner responsibilities contained in the enterprise information security and privacy policies and standards.

**Implementation Controls:** [NIST SP 800-53: Appendix J-Privacy Control Catalog](http://nvlpubs.nist.gov/nistpubs/SpecialPublications/NIST.SP.800-53r4.pdf#page%3D435)

# DATA RETENTION AND DESTRUCTION 5310.6

(Revised 6/14)

**Policy:** Information asset owners shall retain and/or destroy records of personal information in accordance with the state entity’s record retention and destruction policy and the [Privacy Individual Access Standard (SIMM 5310-B)](http://www.cio.ca.gov/Government/IT_Policy/SIMM.html#5300). Information asset owners shall take reasonable steps to keep personal information only as long as is necessary to carry out the purposes for which the information was collected.

However, no record of personal information shall be destroyed or otherwise disposed of by any state entity unless:

* 1. It is determined by the state entity head that the record has no further administrative, legal, or fiscal value;
  2. The state entity head has determined that an audit has been performed for any record subject to audit; and
  3. The Secretary of State has determined that the record is inappropriate for preservation in the State Archives.

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# DATA RETENTION AND DESTRUCTION 5310.6 (Cont. 1)

(Revised 6/14)

Destruction of Electronically Collected Personal Information

An information asset owner shall, upon request by the record subject, securely discard without reuse or distribution, any personal information collected through a state entity’s website.

**Implementation Controls:** [NIST SP 800-53: Appendix J-Privacy Control Catalog](http://nvlpubs.nist.gov/nistpubs/SpecialPublications/NIST.SP.800-53r4.pdf#page%3D435), and [SIMM 5310-B](http://www.cio.ca.gov/Government/IT_Policy/SIMM.html)

# SECURITY SAFEGUARDS 5310.7

(Revised 6/14)

**Policy:** Information asset owners shall apply all applicable statewide and state entity information security laws, policies, standards, and procedures in order to protect personal information under the information asset owner’s responsibility.

# Implementation Controls: [NIST SP 800-53: Appendix J-Privacy Control Catalog](http://nvlpubs.nist.gov/nistpubs/SpecialPublications/NIST.SP.800-53r4.pdf#page%3D435)

**INFORMATION SECURITY INTEGRATION 5315**

(Revised 6/14)

**Policy:** Each state entity is responsible for the integration of information security and privacy within the organization. This includes, but is not limited to, the designing of appropriate security controls in new systems, or systems that are undergoing substantial redesign, including both in-house and outsourced solutions. Each state entity shall ensure its ISO, and where applicable its Privacy Program Coordinator and Technology Recovery Coordinator, are actively engaged with the owners of information, and project, procurement and technical personnel involved with information asset acquisition, development, operations, maintenance and disposal to:

* + 1. Ensure information security is considered throughout the asset lifecycle, from acquisition and development through maintenance and operations, to retirement.
    2. Integrate information security design requirements into both manual information handling and information processing functions, and information technology activities, including throughout the system development lifecycle (SDLC);
    3. Create system security plans outlining key information security controls to mitigate risks;
    4. Create and maintain residual risk documentation consistent with the State Information Management Principles, Record of Decisions ([SAM Section 4800](http://sam.dgs.ca.gov/TOC/4800.aspx));

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# INFORMATION SECURITY INTEGRATION 5315 (Cont. 1)

(Revised 6/14)

* + 1. Integrate information security (confidentiality, integrity, and availability) requirements into contracts for outsourced products and services, and any agreements with state and non-state entities;
    2. Create, maintain, and enforce information security policies, standards, procedures, and guidelines;
    3. Create secure configuration standards for hardware, software, and network devices; and
    4. Implement administrative, technical, and physical controls for the protection of information assets as part of the system engineering process.

**Implementation Controls:** NIST SP 800-53: [System and Services Acquisition (SA)](http://nvlpubs.nist.gov/nistpubs/SpecialPublications/NIST.SP.800-53r4.pdf#page%3D312)

# SYSTEM AND SERVICES ACQUISITION 5315.1

(Revised 6/14)

**Policy:** Each state entity shall determine the information security requirements (confidentiality, integrity, and availability) for its information assets in mission/business process planning; determine, document and allocate the resources required to protect the information assets as part of its capital planning and investment control process; and, establish organizational programming and budgeting documentation.

For all information system acquisitions, the state entity shall identify security functional, strength and assurance requirements; security-related documentation requirements; a description of the information system development and intended operational environments; and acceptance criteria.

**Implementation Controls:** NIST SP 800-53: [System and Services Acquisition (SA)](http://nvlpubs.nist.gov/nistpubs/SpecialPublications/NIST.SP.800-53r4.pdf#page%3D312)

# SYSTEM DEVELOPMENT LIFECYCLE 5315.2

(Revised 6/14)

**Policy:** Each state entity shall manage its information assets using a documented SDLC methodology that:

1. Incorporates information security requirements and considerations;
2. Defines and documents operational information security roles and responsibilities throughout the information asset lifecycle;
3. Identifies individuals having information security roles and responsibilities; and
4. Integrates the organizational information security risk management process into the development lifecycle activities.

**Implementation Controls:** NIST SP 800-53: [System and Services Acquisition (SA)](http://nvlpubs.nist.gov/nistpubs/SpecialPublications/NIST.SP.800-53r4.pdf#page%3D312)

# INFORMATION ASSET DOCUMENTATION 5315.3

(Revised 6/14)

**Policy:** In conjunction with Records Management (SAM Chapter 1600) and Property Accounting (SAM Chapter 8600) requirements, each state entity shall ensure information security documentation is prepared and maintained as part of the overall documentation for all information assets. Documentation shall include a description of the effective use and maintenance of security controls and the state entity’s responsibilities in maintaining the security of the information assets. Each state entity shall obtain administrator and user documentation for each information system, and provisions for the protection of documentation from loss, theft, damage, or misuse.

**Implementation Controls:** NIST SP 800-53: [System and Services Acquisition (SA)](http://nvlpubs.nist.gov/nistpubs/SpecialPublications/NIST.SP.800-53r4.pdf#page%3D312); SAM Chapters [1600](http://sam.dgs.ca.gov/TOC/1600.aspx) and [8600](http://sam.dgs.ca.gov/TOC/8600.aspx)

# SYSTEM DEVELOPER SECURITY TESTING 5315.4

(Revised 6/14)

**Policy:** Each state entity shall require that system developers create and implement a security test and evaluation plan as part of the system design and build. When a contract is required, it shall specify the acceptance criteria for security test and evaluation plans and vulnerability remediation processes.

**Implementation Controls:** NIST SP 800-53: [System and Services Acquisition (SA)](http://nvlpubs.nist.gov/nistpubs/SpecialPublications/NIST.SP.800-53r4.pdf#page%3D312)

# CONFIGURATION MANAGEMENT 5315.5

(Revised 6/14)

**Policy:** Each state entity shall establish a documented process regarding controlled modifications to hardware, firmware, and software to protect the information asset against improper modification before, during, and after system implementation.

**Implementation Controls:** NIST SP 800-53: [Configuration Management (CM)](http://nvlpubs.nist.gov/nistpubs/SpecialPublications/NIST.SP.800-53r4.pdf#page%3D220)

# ACTIVATE ONLY ESSENTIAL FUNCTIONALITY 5315.6

(Revised 6/14)

**Policy:** Each state entity shall configure information assets to provide only essential capabilities and functionality, and shall adhere to the principle of least privilege and restrict the use of unnecessary ports, protocols, and/or services to minimize the state entity’s risk.

**Implementation Controls:** NIST SP 800-53: [Configuration Management (CM)](http://nvlpubs.nist.gov/nistpubs/SpecialPublications/NIST.SP.800-53r4.pdf#page%3D220)

# SOFTWARE USAGE RESTRICTIONS 5315.7

(Revised 6/14)

**Policy:** Each state entity shall ensure its Software Management Plan (SAM sections [4846.1](http://sam.dgs.ca.gov/TOC/4800/48461.aspx) and [4846.2](http://sam.dgs.ca.gov/TOC/4800/48462.aspx)) addresses the following:

1. Use of software and associated documentation in accordance with contract agreements and copyright laws;
2. Enforcement of explicit rules governing the authorized installation of software by users; and
3. Maintaining control over the types of software installed by identifying permitted and prohibited software installations.

**Implementation Controls:** NIST SP 800-53: [Configuration Management (CM)](http://nvlpubs.nist.gov/nistpubs/SpecialPublications/NIST.SP.800-53r4.pdf#page%3D220)

# INFORMATION ASSET CONNECTIONS 5315.8

(Revised 6/14)

**Policy:** Each state entity shall carefully consider the risks that may be introduced when information assets are connected to other systems with different security requirements and security controls, both within the state entity and external to the state entity.

Each state entity shall identify and maintain an inventory of its authorized information system connections with other state entities which establish authorized connections from information assets as defined by their authorization boundary, to other information systems. Each state entity shall document, for each connection, the interface characteristics, security requirements, the nature of the information communicated, and ensure written agreements are established and maintained which include the minimum provisions for agreements with state and non-state entities as outlined in SAM Section 5305.8.

This policy applies to dedicated connections between information assets and does not apply to transitory, user-controlled connections such as email and website browsing.

**Implementation Controls:** [NIST SP 800-53: Access Control (AC)](http://nvlpubs.nist.gov/nistpubs/SpecialPublications/NIST.SP.800-53r4.pdf#page%3D163)

# SECURITY AUTHORIZATION 5315.9

(Revised 12/13)

**Introduction:** The authorizing official(s) provide budgetary oversight for state entity information assets and assume responsibility for the mission/business operations supported by those systems.

**Policy:** Consistent with the State Information Management Principles, Record of Decisions ([SAM section 4800](http://sam.dgs.ca.gov/TOC/4800.aspx)), each state entity shall establish a documented security authorization method which tracks official management decisions authorizing the operation of information assets and explicit acceptance of risks based on implementation of agreed-upon information security measures. The state entity head shall assign senior-level executive(s) or manager(s) as the authorizing official(s).

# TRAINING AND AWARENESS FOR INFORMATION SECURITY

**AND PRIVACY 5320**

(Revised 6/14)

**Policy:** Each state entity must establish and maintain an information security and privacy training and awareness program. State entity personnel must possess the knowledge and skills necessary to use information technology to the best advantage for the state. Each state entity must regularly assess the skills and knowledge of its personnel in relation to job requirements, identify and document training and professional development needs, and provide suitable training within the limits of available resources.

The training and awareness program shall ensure:

1. All personnel receive general security and privacy awareness training so that they understand the state entity information security policies, standards, procedures, and practices; and are knowledgeable about the various management, operational, and technical controls required to protect the information assets for which they are responsible.
2. Groups of personnel with special security training needs, such as application developers receive the necessary training.
3. Training records are maintained to support corrective action, audit and assessment processes.
4. The program content is maintained and evaluated for effectiveness on an ongoing basis.

State entity heads, Chief Information Officers (CIOs), ISOs, management, and information asset owners have key roles in information security training and awareness. The state entity head is responsible for ensuring an effective program is implemented state entity-wide. The scope and content of the awareness program must align with statewide policy, and with any state entity specific security needs and requirements.

**Implementation Controls:** NIST SP 800-53: [Awareness and Training (AT)](http://nvlpubs.nist.gov/nistpubs/SpecialPublications/NIST.SP.800-53r4.pdf#page%3D193)

# SECURITY AND PRIVACY TRAINING 5320.2

(Revised 6/14)

**Policy:** Each state entity shall determine the appropriate content of security and privacy training based on the assigned roles and responsibilities of individuals and the specific security requirements of the state entity and the information assets to which personnel have access. Privacy training content will ensure personnel understand their responsibility for compliance with the Information Practices Act of 1977 and the penalties for non-compliance.

**Governing Provisions:** [Civil Code section 1798](http://www.leginfo.ca.gov/cgi-bin/displaycode?section=civ&amp;group=01001-02000&amp;file=1798-1798.1)

**Implementation Controls:** NIST SP 800-53: [Awareness and Training (AT)](http://nvlpubs.nist.gov/nistpubs/SpecialPublications/NIST.SP.800-53r4.pdf#page%3D193)

# SECURITY AND PRIVACY TRAINING RECORDS 5320.3

(Revised 6/14)

**Policy:** Each state entity shall document and monitor individual information security and privacy training activities including basic security and privacy awareness training and specific information system security training; and retain individual training records to support corrective action, audit and assessment processes. The ISO will be responsible for ensuring that training content is maintained and updated as necessary to address the latest security challenges that may impact users.

**Implementation Controls:** NIST SP 800-53: [Awareness and Training (AT)](http://nvlpubs.nist.gov/nistpubs/SpecialPublications/NIST.SP.800-53r4.pdf#page%3D193)

# PERSONNEL SECURITY 5320.4

(Revised 6/14)

**Policy:** Each state entity shall establish processes and procedures to ensure that individual access to information assets is commensurate with job-related responsibilities, and individuals requiring access to information assets sign appropriate user agreements prior to being granted access.

Access agreements shall include acceptable use provisions, and may also include nondisclosure agreements and conflict-of-interest agreements. If required by law, regulation or policy, each state entity must ensure individuals obtain applicable security clearances.

Personnel transfers or reassignments to other positions within the state entity must be reviewed to prevent accumulation of access and support least access privilege.

Returning and issuing keys, identification cards, and building passes; closing information system accounts and establishing new accounts; and changing information system access authorizations are all examples of personnel security practices related to staff transfer or reassignment.

**Implementation Controls:** NIST SP 800-53: [Personnel Security (PS)](http://nvlpubs.nist.gov/nistpubs/SpecialPublications/NIST.SP.800-53r4.pdf#page%3D301)

# BUSINESS CONTINUITY WITH TECHNOLOGY RECOVERY 5325

(Revised 6/14)

**Introduction:** The entire concept of business continuity is based on the identification of all business functions within a state entity, and then assigning a level of importance to each business function. A business impact assessment is the primary tool for gathering this information and assigning criticality, recovery point objectives, and recovery time objectives, and is therefore part of the basic foundation of contingency planning and business continuity.

**Policy:** Each state entity shall ensure individuals with knowledge about business functions of the organization lead and participate in the business continuity planning process to:

1. Identify and document all business functions;
2. Conduct a business impact assessment to identify:
   1. critical functions and systems, and prioritize them based on necessity;
   2. threats and vulnerabilities; and
   3. preventive controls and countermeasures to reduce the state entity’s risk level.
3. Develop recovery strategies to ensure systems and functions can be brought online quickly;
4. Develop the Business Continuity Plan to include procedures for how the state entity will stay functional in a disastrous state;
5. Conduct regular training to prepare individuals on their expected tasks;
6. Conduct regular tests and exercises to identify any deficiencies and further refine the plan; and
7. Develop steps to ensure the Business Continuity Plan is maintained and updated regularly.

Note: The Business Continuity Plan must also address the Office of Emergency Services’ continuity planning requirements. These are available at: [http://www.calema.ca.gov/PlanningandPreparedness/Pages/Continuity-](http://www.calema.ca.gov/PlanningandPreparedness/Pages/Continuity-Planning.aspx) [Planning.aspx](http://www.calema.ca.gov/PlanningandPreparedness/Pages/Continuity-Planning.aspx)

**Implementation Controls:** NIST [SP 800-34](http://csrc.nist.gov/publications/nistpubs/800-34-rev1/sp800-34-rev1_errata-Nov11-2010.pdf); NIST SP 800-53: [Contingency Planning](http://nvlpubs.nist.gov/nistpubs/SpecialPublications/NIST.SP.800-53r4.pdf#page%3D234) [(CP)](http://nvlpubs.nist.gov/nistpubs/SpecialPublications/NIST.SP.800-53r4.pdf#page%3D234)

# TECHNOLOGY RECOVERY PLAN 5325.1

(Revised 6/14)

**Introduction:** The Technology Recovery Plan (TRP) is a sub-set of the state entity’s Business Continuity Plan. The TRP is activated immediately after a disaster strikes and focuses on getting critical systems back online.

**Policy:** Each state entity shall develop a TRP in support of the state entity’s Continuity Plan and the business need to protect critical information assets to ensure their availability following an interruption or disaster. Each state entity must keep its TRP up- to-date and provide annual documentation for those updates to the CISO. The annual requirements are:

1. Each state entity must file a copy of its TRP and the Technology

Recovery Program Compliance Certification ([SIMM 5325-B](http://www.cio.ca.gov/Government/IT_Policy/SIMM.html#5300)) with the CISO, in accordance with the [Technology Recovery Plan Submission Schedule](http://www.cio.ca.gov/OIS/Government/schedule.asp).

1. If the state entity employs the services of a data center it must work with the data center to establish and document TRP coordination procedures.

Each state entity TRP must cover, at a minimum, the program areas which are listed and described in the Technology Recovery Plan Documentation for Agencies Preparation Instructions ([SIMM 5325-A](http://www.cio.ca.gov/Government/IT_Policy/SIMM.html#5300)). If the TRP does not follow the format in [SIMM 5325-A](http://www.cio.ca.gov/Government/IT_Policy/SIMM.html#5300), a cross reference sheet, [SIMM 5325-B](http://www.cio.ca.gov/Government/IT_Policy/SIMM.html#5300), must be included with the update to indicate where required information is located.

The TRP must outline a planned approach to managing risks to the state entity’s mission, including risk and potential impact to critical information technology assets. The TRP must be derived from the state entity’s business impact assessment and Business Continuity Plan. Instructions for preparing the TRP are described in [SIMM 5325-A](http://www.cio.ca.gov/Government/IT_Policy/SIMM.html#5300).

**Implementation Controls:** NIST [SP 800-34](http://csrc.nist.gov/publications/nistpubs/800-34-rev1/sp800-34-rev1_errata-Nov11-2010.pdf); NIST SP 800-53: [Contingency Planning](http://nvlpubs.nist.gov/nistpubs/SpecialPublications/NIST.SP.800-53r4.pdf#page%3D234) [(CP)](http://nvlpubs.nist.gov/nistpubs/SpecialPublications/NIST.SP.800-53r4.pdf#page%3D234)

# TECHNOLOGY RECOVERY TRAINING 5325.2

(Revised 6/14)

**Policy:** Each state entity shall establish technology recovery training and exercises for personnel involved in technology recovery, to ensure availability of skilled staff. The training exercises shall include a crisis communication plan, event status reporting requirements, and focused role-based training for managers and system administrators.

**Implementation Controls:** NIST SP 800-53: [Contingency Planning (CP)](http://nvlpubs.nist.gov/nistpubs/SpecialPublications/NIST.SP.800-53r4.pdf#page%3D234)

# TECHNOLOGY RECOVERY TESTING 5325.3

(Revised 6/14)

**Policy:** Each state entity shall test the TRP to determine its effectiveness and the state entity’s readiness to execute the TRP in the event of a disaster. Each state entity shall initiate corrective actions and improvements to the TRP based upon deficiencies identified during testing and exercises.

**Implementation Controls:** NIST SP 800-53: [Contingency Planning (CP)](http://nvlpubs.nist.gov/nistpubs/SpecialPublications/NIST.SP.800-53r4.pdf#page%3D234)

# ALTERNATE STORAGE AND PROCESSING SITE 5325.4

(Revised 6/14)

**Policy:** Each state entity shall establish an alternate storage site, including the necessary agreements to permit the storage and recovery of backup information. Each state entity shall ensure that the alternate storage site provides information security safeguards equivalent to that of the primary site.

**Implementation Controls:** NIST SP 800-53: [Contingency Planning (CP)](http://nvlpubs.nist.gov/nistpubs/SpecialPublications/NIST.SP.800-53r4.pdf#page%3D234)

# TELECOMMUNICATIONS SERVICES 5325.5

(Revised 6/14)

**Policy:** Each state entity shall ensure they have alternate telecommunications services including necessary agreements to permit the resumption of information asset operations for essential missions and business functions when the primary telecommunications capabilities are unavailable at either the primary or alternate processing or storage sites.

**Implementation Controls:** NIST SP 800-53: [Contingency Planning (CP)](http://nvlpubs.nist.gov/nistpubs/SpecialPublications/NIST.SP.800-53r4.pdf#page%3D234)

# INFORMATION SYSTEM BACKUPS 5325.6

(Revised 6/14)

**Policy:** Each state entity shall perform regularly scheduled backups of system and user-level information. Backups shall be:

1. Conducted at the operating system, application, and user level;
2. Conducted of information system documentation including security-related documentation;
3. Stored in a protected locations; and
4. Securely destroyed upon expiration of retention period.

System-level information includes system-state information, operating system and application software, and software licenses. User-level information includes any information other than system-level information. Mechanisms to protect the integrity of information system backups shall include digital signatures and cryptographic hashes. Information system backups shall reflect the requirements in contingency plans as well as other state entity requirements for backing up information.

**Implementation Controls:** NIST SP 800-53: [Contingency Planning (CP)](http://nvlpubs.nist.gov/nistpubs/SpecialPublications/NIST.SP.800-53r4.pdf#page%3D234)

# INFORMATION SECURITY COMPLIANCE 5330

(Revised 6/14)

**Policy:** Each state entity shall validate compliance with statewide information security policy, standards, and procedures as set forth in this Chapter, and the state entity’s internal information security policies to verify that security measures are in place and functioning as intended. Each state entity’s validation processes shall include:

1. Ongoing assessments of key security measures and controls in both in-house and outsourced systems;
2. Completion of independent “pre-production” assessments of security controls in new systems or systems that are undergoing substantial redesign;
3. Adherence to the CISO reporting requirements;
4. Coordination of all IT audit and assessment work done by third-party auditors; and
5. Monitoring of third-party auditors’ compliance to statewide information security requirements as set forth in this Chapter.

**Implementation Controls:** NIST SP 800-53: [Security Assessment and Authorization](http://nvlpubs.nist.gov/nistpubs/SpecialPublications/NIST.SP.800-53r4.pdf#page%3D211) [(CA)](http://nvlpubs.nist.gov/nistpubs/SpecialPublications/NIST.SP.800-53r4.pdf#page%3D211)

**SECURITY ASSESSMENTS 5330.1**

(Revised 6/14)

**Policy:** Each state entity shall perform security assessments to determine whether the security controls selected by the state entity are implemented correctly and working as intended to mitigate risk. Security assessments conducted by the state entity shall include, but are not limited to, the following:

1. Legal, policy, standards, and procedure compliance review;
2. Vulnerability scanning; and
3. Penetration testing.

**Implementation Controls:** NIST SP 800-53: [Security Assessment and Authorization](http://nvlpubs.nist.gov/nistpubs/SpecialPublications/NIST.SP.800-53r4.pdf#page%3D211) [(CA)](http://nvlpubs.nist.gov/nistpubs/SpecialPublications/NIST.SP.800-53r4.pdf#page%3D211)

# INFORMATION SECURITY MONITORING 5335

(Revised 6/14)

**Policy:** Each state entity is responsible for continuous monitoring of its networks and other information assets for signs of attack, anomalies, and suspicious or inappropriate activities.

Each state entity shall ensure:

1. An event logging and monitoring strategy which provides for audit trails and auditability of events and appropriate segregation and separation of duties;
2. Event logging and log monitoring are performed with sufficient regularity that signs of attack, anomalies, and suspicious or inappropriate activities are identified and acted upon in a timely manner;
3. Sensors, agents, and security monitoring software are placed at strategic locations throughout the network;
4. Situational awareness information from security monitoring and event correlation tools are monitored to identify events that require investigation and response; and
5. Potential security events are reported immediately to the security incident response team.

**Implementation Controls:** NIST SP 800-53: [Audit and Accountability (AU)](http://nvlpubs.nist.gov/nistpubs/SpecialPublications/NIST.SP.800-53r4.pdf#page%3D197); [Physical](http://nvlpubs.nist.gov/nistpubs/SpecialPublications/NIST.SP.800-53r4.pdf#page%3D283) [and Environmental Protection (PE-1)](http://nvlpubs.nist.gov/nistpubs/SpecialPublications/NIST.SP.800-53r4.pdf#page%3D283); [Risk Assessment (RA)](http://nvlpubs.nist.gov/nistpubs/SpecialPublications/NIST.SP.800-53r4.pdf#page%3D307)

**CONTINUOUS MONITORING 5335.1**

(Revised 6/14)

**Introduction:** Continuous monitoring programs facilitate ongoing awareness of threats, vulnerabilities, and information security to support state entity risk management decisions.

**Policy:** Each state entity shall develop a continuous monitoring strategy and implement a continuous monitoring program.

**Implementation Controls:** NIST SP 800-53: [Audit and Accountability (AU)](http://nvlpubs.nist.gov/nistpubs/SpecialPublications/NIST.SP.800-53r4.pdf#page%3D197); [Physical](http://nvlpubs.nist.gov/nistpubs/SpecialPublications/NIST.SP.800-53r4.pdf#page%3D283) [and Environmental Protection (PE-1)](http://nvlpubs.nist.gov/nistpubs/SpecialPublications/NIST.SP.800-53r4.pdf#page%3D283); [Risk Assessment (RA)](http://nvlpubs.nist.gov/nistpubs/SpecialPublications/NIST.SP.800-53r4.pdf#page%3D307); [Security Assessment and](http://nvlpubs.nist.gov/nistpubs/SpecialPublications/NIST.SP.800-53r4.pdf#page%3D211) [Authorization (CA)](http://nvlpubs.nist.gov/nistpubs/SpecialPublications/NIST.SP.800-53r4.pdf#page%3D211)

# AUDITABLE EVENTS 5335.2

(Revised 6/14)

**Introduction:** Audit records can be generated at various levels of abstraction, including at the packet level as information traverses the network. Selecting the right level of abstraction is a critical aspect of an audit capability and can facilitate the identification of root causes to events. Each state entity may determine that information systems must have the capability to log every file access, both successful and unsuccessful, but not activate that capability except for specific circumstances due to the extreme burden on system performance.

**Policy:** Each state entity shall ensure that information systems are capable of being audited and the events necessary to reconstruct transactions and support after-the-fact investigations are maintained. This includes the auditing necessary to cover related events, such as the various steps in distributed, transaction-based processes (e.g., processes that are distributed across multiple organizations) and actions in service- oriented architectures.

**Implementation Controls:** NIST SP 800-53: [Audit and Accountability (AU)](http://nvlpubs.nist.gov/nistpubs/SpecialPublications/NIST.SP.800-53r4.pdf#page%3D197); [Physical](http://nvlpubs.nist.gov/nistpubs/SpecialPublications/NIST.SP.800-53r4.pdf#page%3D283) [and Environmental Protection (PE-1)](http://nvlpubs.nist.gov/nistpubs/SpecialPublications/NIST.SP.800-53r4.pdf#page%3D283); [Risk Assessment (RA)](http://nvlpubs.nist.gov/nistpubs/SpecialPublications/NIST.SP.800-53r4.pdf#page%3D307)

# INCIDENT RESPONSE TRAINING 5340.1

(Revised 6/14)

**Policy:** Each state entity shall provide incident response training to information system users consistent with assigned roles and responsibilities.

Incident response training shall be at an appropriate level for the assigned roles and responsibilities of state entity personnel. For example, regular users may only need to know who to call or how to recognize an incident; system administrators may require additional training on how to handle/remediate incidents; and incident responders may need more specific training on chain of custody, forensics, reporting, system recovery, and restoration. Incident response training shall include, at a minimum, user training in the identification and reporting of suspicious activities, both from external and internal sources.

**Implementation Controls:** NIST SP 800-53: [Incident Response (IR)](http://nvlpubs.nist.gov/nistpubs/SpecialPublications/NIST.SP.800-53r4.pdf#page%3D259)

# INCIDENT RESPONSE TESTING 5340.2

(Revised 6/14)

**Introduction:** Incident response testing includes an assessment of the effects on state entity operations (e.g., reduction in mission capabilities), state entity assets, and individuals due to incident response, and involves the use of checklists, walk-through or tabletop exercises, and simulations to prepare personnel and mitigate the impacts of actual incidents.

**Policy:** Each state entity shall exercise or test their incident response capability to determine its effectiveness, document the results and incorporate lessons learned to continually improve the plan.

**Implementation Controls:** NIST SP 800-53: [Incident Response (IR)](http://nvlpubs.nist.gov/nistpubs/SpecialPublications/NIST.SP.800-53r4.pdf#page%3D259)

# INCIDENT HANDLING 5340.3

(Revised 6/14)

**Policy:** Each state entity shall implement incident handling for information security and privacy incidents that includes preparation, detection and analysis, containment, eradication, and recovery. Incident handling shall coordinate with business continuity planning activities (SAM section 5325). Incident handling capability shall include procedures for coordination among many groups within a state entity, for example, mission/business owners, information system owners, authorizing officials, human resources offices, physical and personnel security offices, legal departments, operations personnel, procurement offices, and executive management.

**Implementation Controls:** NIST SP 800-53: [Incident Response (IR)](http://nvlpubs.nist.gov/nistpubs/SpecialPublications/NIST.SP.800-53r4.pdf#page%3D259)

# INCIDENT REPORTING 5340.4

(Revised 6/14)

**Policy:** Each state entity shall follow the incident reporting procedures as described in [SIMM 5340-A](http://www.cio.ca.gov/Government/IT_Policy/SIMM.html#5300).

**Implementation Controls:** NIST SP 800-53: [Incident Response (IR)](http://nvlpubs.nist.gov/nistpubs/SpecialPublications/NIST.SP.800-53r4.pdf#page%3D259); [SIMM 5340-A](http://www.cio.ca.gov/Government/IT_Policy/SIMM.html#5300)

# VULNERABILITY AND THREAT MANAGEMENT 5345

(Revised 6/14)

**Introduction:** Threats and vulnerabilities provide the primary inputs to the state entity’s risk assessment process.

**Policy:** Each state entity shall continuously identify and remediate vulnerabilities before they can be exploited. Vulnerability and threat management include, but not limited to, the following:

1. Strategic placement of scanning tools to continuously assess all information technology assets;
2. Implementation of appropriate scan schedules, based on asset criticality;
3. Communication of vulnerability information to system owners or other individuals responsible for remediation;
4. Dissemination of timely threat advisories to system owners or other individuals responsible for remediation; and
5. Consultation with system owners on mitigation strategies.
6. Implementation of mitigation measures.

**Implementation Controls:** NIST SP 800-53: [Risk Assessment (RA)](http://nvlpubs.nist.gov/nistpubs/SpecialPublications/NIST.SP.800-53r4.pdf#page%3D307); [System and](http://nvlpubs.nist.gov/nistpubs/SpecialPublications/NIST.SP.800-53r4.pdf#page%3D312) [Services Acquisition (SA)](http://nvlpubs.nist.gov/nistpubs/SpecialPublications/NIST.SP.800-53r4.pdf#page%3D312); [System and Communication Protection (SC)](http://nvlpubs.nist.gov/nistpubs/SpecialPublications/NIST.SP.800-53r4.pdf#page%3D340)

# OPERATIONAL SECURITY 5350

(Revised 6/14)

**Introduction:** In order to mitigate against successful attacks, each state entity is responsible for separating and controlling access to various systems and networks with different threat levels and sets of users which may operate or interface within their technology environment.

**Policy:** Each state entity shall develop, implement, and document, disseminate, and maintain operational security practices which include, but are not limited to:

1. A network security architecture that:
   1. includes distinct zones to separate internal, external, and DMZ traffic; and
   2. segments internal networks to limit damage, should a security incident occur.
2. Firewall, router, and other perimeter security tools which enforce network security architecture decisions.
3. Periodic review of perimeter security access control rules to identify those that are no longer needed or provide overly broad access.

Each state entity’s security architecture shall align with the following security controls and best practices:

1. Application partitioning;
2. Denial of service protection;
3. Boundary protection;
4. Confidentiality of transmitted information or appropriate compensating security controls if protection assurances cannot be guaranteed; and
5. Cryptographic protections using modules that comply with FIPS-validated cryptography.

**Implementation Controls:** NIST SP 800-53: [System and Information Integrity (SI)](http://nvlpubs.nist.gov/nistpubs/SpecialPublications/NIST.SP.800-53r4.pdf#page%3D371); [System and Communications Protection (SC)](http://nvlpubs.nist.gov/nistpubs/SpecialPublications/NIST.SP.800-53r4.pdf#page%3D340)

# ENCRYPTION 5350.1

(Revised 6/14)

**Policy:** End-to-end encryption or approved compensating security control(s) shall be used to protect confidential, sensitive, or personal information that is transmitted or accessed outside the secure internal network (e.g., email, remote access, file transfer, Internet/website communication tools) of the state entity, or stored on portable electronic storage media (e.g., USB flash drives, tapes, CDs, DVDs, disks, SD cards, portable hard drives), mobile computing devices (e.g., laptops, netbooks, tablets, and smartphones), and other mobile electronic devices. In rare instances where encryption cannot be implemented, compensating control(s) or alternatives to encryption must be in place. Compensating controls and alternatives to encryption must be reviewed on a case-by-case basis and approved in writing by the state entity ISO, after a thorough risk analysis.

**Implementation Controls:** FIPS 140-2, FIPS 197, NIST SP 800-53: [Access Control](http://nvlpubs.nist.gov/nistpubs/SpecialPublications/NIST.SP.800-53r4.pdf#page%3D163) [(AC)](http://nvlpubs.nist.gov/nistpubs/SpecialPublications/NIST.SP.800-53r4.pdf#page%3D163), and [System and Communications Protection Controls (SC)](http://nvlpubs.nist.gov/nistpubs/SpecialPublications/NIST.SP.800-53r4.pdf#page%3D340)

# ENDPOINT DEFENSE 5355

(Revised 6/14)

**Policy:** Each state entity shall be responsible for protecting information on computers that routinely interact with untrusted devices on the internet or may be prone to loss or theft.

Each state entity shall develop and implement methods and techniques to manage processes and tools to:

1. Detect malicious software;
2. Permit only trusted software to run on a device, commonly referred to as white listing;
3. Prevent certain software from running on a device, commonly referred to as blacklisting;
4. Identify unauthorized changes to secure configurations; and
5. Encrypt sensitive data.

**Implementation Controls:** NIST SP 800-53: [System and Information Integrity (SI)](http://nvlpubs.nist.gov/nistpubs/SpecialPublications/NIST.SP.800-53r4.pdf#page%3D371)

# MALICIOUS CODE PROTECTION 5355.1

(Revised 6/14)

**Policy:** Each state entity shall employ malicious code protection mechanisms at information asset entry and exit points and at workstations, servers, or mobile computing devices on the network to detect and eradicate malicious code.

Malicious code protection mechanisms may not always detect malicious code; therefore, each state entity shall implement additional safeguards to help ensure that software does not perform functions other than those intended. Examples of additional safeguard include, but are not limited to, secure coding practices, configuration management and control, trusted procurement processes, and monitoring practices.

**Implementation Controls:** NIST SP 800-53: [System and Information Integrity (SI)](http://nvlpubs.nist.gov/nistpubs/SpecialPublications/NIST.SP.800-53r4.pdf#page%3D371)

# SECURITY ALERTS, ADVISORIES, AND DIRECTIVES 5355.2

(Revised 6/14)

**Policy:** Each state entity shall receive information asset security alerts, advisories, and directives from various legitimate external sources and shall act on those to mitigate state entity risk, including generating internal security alerts, advisories, and directives as deemed necessary.

**Implementation Controls:** NIST SP 800-53: [System and Information Integrity (SI)](http://nvlpubs.nist.gov/nistpubs/SpecialPublications/NIST.SP.800-53r4.pdf#page%3D371)

# IDENTITY AND ACCESS MANAGEMENT 5360

(Revised 6/14)

**Policy:** Each state entity shall safeguard access to information assets by managing the identities of users and devices and controlling access to resources and data bases on a need to know basis throughout the identity lifecycle. Each state entity shall establish processes and procedures to ensure:

1. Maintenance of user identities, including both provisioning and de-provisioning;
2. Enforcement of password policies or more advanced multifactor mechanisms to authenticate users and devices;
3. Management of access control rules, limiting access to the minimum necessary to complete defined responsibilities;
4. Separation of duties to avoid functional conflicts;
5. Periodic recertification of access control rules to identify those that are no longer needed or provide overly broad clearance;
6. Use of privileged accounts that can bypass security are restricted and audited;
7. Systems to administer access based on roles are defined and installed; and
8. Encryption keys and system security certificates are effectively generated, exchanged, stored and safeguarded.

**Implementation Controls:** NIST SP 800-53: [System and Information Integrity (SI)](http://nvlpubs.nist.gov/nistpubs/SpecialPublications/NIST.SP.800-53r4.pdf#page%3D371)

# REMOTE ACCESS 5360.1

(Revised 6/14)

**Policy:** Each entity shall establish and document allowed methods of remote access to its information systems; establish usage restrictions and implementation guidance for each allowed remote access method; and monitor the information asset for unauthorized remote access. Allowed methods shall comply with the Telework and Remote Access Security Standard ([SIMM 5360-A](http://www.cio.ca.gov/Government/IT_Policy/SIMM.html#5300)).

**Implementation Controls:** NIST SP 800-53: [Access Control (AC)](http://nvlpubs.nist.gov/nistpubs/SpecialPublications/NIST.SP.800-53r4.pdf#page%3D163); [SIMM 5360-A](http://www.cio.ca.gov/Government/IT_Policy/SIMM.html#5300)

# WIRELESS ACCESS 5360.2

(Revised 6/14)

**Policy:** Each state entity shall establish appropriate restrictions and implementation instructions for wireless access, and enforce requirements for wireless connections to information systems. Each state entity shall also proactively search for unauthorized wireless connections including scans for unauthorized Wi-Fi access points.

**Implementation Controls:** NIST SP 800-53: [Access Control (AC)](http://nvlpubs.nist.gov/nistpubs/SpecialPublications/NIST.SP.800-53r4.pdf#page%3D163); [SIMM 5360-A](http://www.cio.ca.gov/Government/IT_Policy/SIMM.html#5300)

# PHYSICAL SECURITY 5365

(Revised 6/14)

**Policy:** Each state entity shall establish and implement physical security and environmental protection controls to safeguard information assets against unauthorized access, use, disclosure, disruption, modification, or destruction.

Physical security and environmental controls shall include management and maintenance of:

1. Facility entry controls and badging systems for personnel and visitors;
2. Equipment and media handling/destruction processes;
3. Building emergency procedures;
4. Screening and/or background check processes;
5. Ventilation and temperature control systems; and
6. Fire suppression, water damage prevention, and electrical power fluctuation or failure detection systems.

Each state entity shall issue physical access authorization credentials to state entity personnel and visitors, as appropriate. Personnel with long-term physical access authorization credentials are not considered visitors. Authorization credentials include, but are not limited to, badges, identification cards and smart cards. The strength of authorization credentials necessary, including level of forge-proof badges, smart cards, or identification cards, shall be determined through a risk assessment.

Each state entity shall monitor physical access to information systems to detect and respond to physical security incidents; review physical access logs and, upon occurrence of an incident, coordinate results of reviews and investigations with the state entity incident response capability.

**Implementation Controls:** NIST SP 800-53: [Physical and Environmental Protection](http://nvlpubs.nist.gov/nistpubs/SpecialPublications/NIST.SP.800-53r4.pdf#page%3D283) [(PE)](http://nvlpubs.nist.gov/nistpubs/SpecialPublications/NIST.SP.800-53r4.pdf#page%3D283)

# ACCESS CONTROL FOR OUTPUT DEVICES 5365.1

(Revised 6/14)

**Policy:** Each state entity shall control access to information system output devices, such as printers and facsimile devices, to prevent unauthorized individuals from obtaining the output.

**Implementation Controls:** NIST SP 800-53: [Physical and Environmental Protection](http://nvlpubs.nist.gov/nistpubs/SpecialPublications/NIST.SP.800-53r4.pdf#page%3D283) [(PE)](http://nvlpubs.nist.gov/nistpubs/SpecialPublications/NIST.SP.800-53r4.pdf#page%3D283)

# MEDIA PROTECTION 5365.2

(Revised 6/14)

**Policy:** Each state entity shall safeguard media in digital and/or non-digital form from unauthorized access, use, modification or disposal, inside or outside of the state entity’s control areas whether in storage or transport.

**Implementation Controls:** NIST SP 800-53: [Media Protection (MP)](http://nvlpubs.nist.gov/nistpubs/SpecialPublications/NIST.SP.800-53r4.pdf#page%3D275)

# MEDIA DISPOSAL 5365.3

(Revised 6/14)

**Introduction:** Sanitization techniques, including clearing, purging, and destruction, prevent the disclosure of information to unauthorized individuals when such media is reused or released for disposal. Sanitization of non-digital media include, but are not limited to, removing a classified appendix from an otherwise unclassified document, deleting meta data or tags embedded in the document properties that may reveal sources of the document, or redacting selected sections or words from a document.

**Policy:** Each state entity shall sanitize digital and non-digital media prior to disposal or release for reuse, in accordance with applicable standards and policies, including media found in devices such as hard drives, mobile devices, scanners, copiers, and printers.

**Implementation Controls:** NIST SP 800-53: [Media Protection (MP)](http://nvlpubs.nist.gov/nistpubs/SpecialPublications/NIST.SP.800-53r4.pdf#page%3D275)

**THE DEPARTMENTAL BUDGET PRESENTATION 6400**

(Revised 6/14)

1. The departmental presentation should be arranged in the order and format prescribed in the current annual budget preparation instructions. Normally the format will follow the presentation of the latest Governor’s Budget. The budget spreadsheet should be submitted directly to Finance.
2. Departmental estimates of expenditures and revenue in the Governor’s Budget should be based on existing law and policies. No consideration should be given in the budget presentation to proposed program changes in laws and policies except for those approved by the Administration as part of the Governor’s Budget.
3. Past Year Presentation of the Governor’s Budget
   1. It is important that fund balance, revenues, expenditures, and other data included in the past year’s presentation of the Governor's Budget reconciles with similar data published in the State Controller’s Budgetary/Legal Basis Annual Report. Therefore, departments must ensure that data included in budget schedules reconcile with year- end financial reports. In very limited circumstances, there may be differences between the amounts in the Governor’s Budget and the year-end financial reports (e.g., pending budget decisions or legislation).
   2. Each department head or designee (who must be at least one level above both budgeting and accounting) must complete a DF-117, Certification of Past and Prior Year Information, when submitting past year budget information to Finance to certify the following:
      * Past/prior year information provided to Finance is accurate and reconciles between budget and accounting information, and
      * Accounting records and information are consistent with information provided to the Controller.

The certification is required for **all** funds with past/prior year activity.

1. The following sections of SAM deal with departmental budget presentations. The first section, management of funds, includes the responsibilities of fund administrators and fund users. Following the management of funds are sections dealing with the presentation of personal services, as the reconciliation of the position base to the legislative authorizations typically is an initial task in building the next budget, operating expenses and equipment, supplementary schedules, Expenditures by Category, Details of Appropriations and Adjustments, Fund Condition Statements, and Schedule 10s.

# RESPONSIBILITIES AND AUTHORITY OF FUND ADMINISTRATORS

**AND FUND USERS 6401**

(New 6/14)

Department of Finance ([Finance](http://www.dof.ca.gov/)) designates an administering department for each fund. The administering department is responsible for the overall management of the fund. The administering department is indicated in the description of the fund in the Manual of State Funds, which can be found at: <http://www.dof.ca.gov/accounting/manual_of_state_funds/>.

This section outlines the responsibilities of a fund administrator for both non-shared and shared funds, and users of shared funds. Responsibilities pertaining to Fund Condition Statements apply only when a Fund Condition Statement is prepared and to be published in the Governor’s Budget.

# Responsibilities of a Fund Administrator that is the sole user (non-shared) of the fund:

1. Verifies the accuracy of departmental accounting records by performing monthly reconciliations with source documents and corresponding appropriation and general ledger accounts maintained by the State Controller’s Office ([SCO](http://www.sco.ca.gov/)).
2. Calculates prior year adjustments and keeps documentation for such adjustments.
3. Submits Fund Condition Statement to Finance with prior year adjustments and appropriate backup documents, past year revenues, transfers, loans, and past year expenditures. Works with Finance to determine any special adjustments or reserves.
4. Ensures accuracy and consistency of data between budget documents (e.g., Fund Condition Statement) and year-end financial reports submitted to the SCO.
5. Ensures both sets of documents are prepared with the same method and on the same accounting basis as in the Governor’s Budget and Budget Act per Government Code section [12460](http://leginfo.legislature.ca.gov/faces/codes_displaySection.xhtml?lawCode=GOV&amp;sectionNum=12460). No variance should exist. No exceptions, unless approved by Finance or authorized in law.
6. Reports changes to Finance and/or SCO for any changes in past year fund condition (prior year adjustments, past year revenues, or past year expenditures).
7. Coordinates with Finance budget analyst who oversees the fund to ensure there are no other statewide changes to be included in the Fund Condition Statement.
8. Tracks and manages changes and ensures a prudent reserve is maintained. Works with Finance to determine the level necessary for a prudent reserve.
9. Provides all necessary information per Finance’s request on a timely basis when Finance performs its review of the fund’s components, including the following:
   * DF-303, Detailed Fund Balance Report (applies to funds with a Fund Condition Statement in the Governor’s Budget).
   * Year-end financial reports or other backup documents related to the fund’s prior year adjustments and past year revenues/expenditures.
   * DF-117, Certification of Past and Prior Year Information.

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# Authority and Responsibilities of a Shared Fund Administrator:

1. Performs all responsibilities as listed above.
2. Possesses authority to request information from user department(s). User departments include departments that collect revenues and/or spend from the fund. The shared fund administrator can request the following information from user departments at any time:
   * DF-303, Detailed Fund Balance Report (applies to funds with a Fund Condition Statement in the Governor’s Budget).
   * Copies of the year-end financial reports or other backup documents related to the fund’s prior year adjustments and past year revenues/expenditures.
   * Copies of reconciliations and reports as necessary to allow the shared fund administrator to reconcile departmental account and fund balances to [SCO](http://www.sco.ca.gov/).
   * DF-117, Certification of Past and Prior Year Information.
3. Reviews data from other fund users for reasonableness. Except for budget development period (when changes are tracked by Finance), tracks and manages changes and ensures a prudent reserve is maintained. Works with Finance to determine the level necessary for a prudent reserve. Once all budget proposals are developed and approved, Finance will share a copy of the Fund Condition Statement with the fund administrator.
4. Based on latest available information, provides a letter of support or opposition to fund users when they ask for a determination of sufficiency of the fund to fund a proposal. Fund users are not to provide details of the proposal, but must obtain a letter of support from fund administrators regarding adequacy of fund balance.
5. Assists Finance when requested in determining the use of the fund for new purposes.

# Responsibilities of Shared Fund Users:

1. Verifies the accuracy of departmental accounting records by performing monthly reconciliations with source documents and corresponding appropriation and general ledger accounts maintained by the SCO.
2. Ensures the accuracy and consistency of data between budget documents (e.g., Fund Condition Statement, if applicable) and year-end financial reports submitted to the SCO.

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# RESPONSIBILITIES AND AUTHORITY OF FUND ADMINISTRATORS

**AND FUND USERS 6401** (Cont. 2)

(New 6/14)

1. Provides all necessary information requested by the fund administrator to manage and reconcile the fund on a timely basis, including the following:
   * DF-303, Detailed Fund Balance Report (applies to funds with a Fund Condition Statement in the Governor’s Budget).
   * Year-end financial reports or other backup documents related to the fund’s prior year adjustments and past year revenues/expenditures.
   * Reconciliations and reports necessary to allow the shared fund administrator to reconcile departmental account and fund balances to [SCO](http://www.sco.ca.gov/).
   * DF-117, Certification of Past and Prior Year Information.
   * Amount of new spending requests (from Budget Change Proposals or requests for spring Finance Letters) to ensure there is sufficient fund balance available in the fund. Other confidential information is not necessary. Proposals that could result in additional revenue to the fund should also be communicated.

Note: Assessments by statewide projects/programs are not considered fund users for purposes of the responsibilities above.

# SPACE ACTION REQUESTS CRUISE (Form 9) 6453

(Revised 6/14)

DGS’s Real Estate Leasing and Planning Section uses the Space Action Request (CRUISE Form 9), as part of the Form 10 package when required to obtain [Department of Finance (DOF)](http://www.dof.ca.gov/) approval.

NOTE: Departments initially request RESD services via Global CRUISE, which is RESD’s online project initiation system. The Global CRUISE system should be used to request services such as:

New or additional space (including swing space), lease extensions, or renewals desired by an agency in **non-institutional** buildings—whether state-owned or state-leased, relocatable buildings, and trailers.

If DOF approval is needed prior to proceeding with a new project, the requesting department with the assistance of the Real Estate Officer, prepares the CRUISE Form 9 and supporting documents for the Form10 package based on the data contained in the Global CRUISE summary.

DOF’s Review Requirements. A request is submitted to RESD via the Global CRUISE system. DGS forwards a copy of the CRUISE Form 9 as part of the Form 10 package to the DOF Capital Outlay Unit for approval if any one of the following conditions exists:

1. Rental costs (excluding one-time costs) as determined by DGS are estimated to exceed

$300,000 in any year of the firm term of a lease. Lease **renewals** are exempt from this requirement unless:

* 1. A ten percent or greater increase in space is requested; or
  2. The department will propose a budget augmentation to meet rent increases.

1. The department will require a budget augmentation for any year within the firm term of the proposed lease. In this respect, one-time costs, including moving, equipment, furniture, telephones, and data processing related costs, etc. must be considered.
2. The department (or DGS) proposes:
   1. A lease with a purchase option pursuant to Government Code Section [14669 (b);](http://leginfo.legislature.ca.gov/faces/codes_displaySection.xhtml?lawCode=GOV&amp;sectionNum=14669)
   2. A lease-purchase (installment purchase) arrangement; note that a lease with a

―bargain‖ purchase option is defined, for the purpose of this section, as a lease- purchase;

* 1. A lease which in any other fashion meets the definition of a capitalized lease per the Capital Outlay Section in SAM [8363](http://www.sam.dgs.ca.gov/TOC/8000.aspx).
  2. A lease which must be noticed to the Legislature pursuant to Government Code Section [13332.10](http://leginfo.legislature.ca.gov/faces/codes_displaySection.xhtml?lawCode=GOV&amp;sectionNum=13332.10).

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1. The DOF re-reviews any CRUISE Form 9 or which costs significantly exceed the level originally indicated by DGS and concurred with by DOF. Thresholds for re-review are established by memorandum of understanding between DGS and DOF.

Whenever a CRUISE Form 9 is submitted to DOF, it must be accompanied with an Estimate of Occupancy Costs form, STD. 10, prepared by DGS and reflecting DGS’ recommended space strategy. The STD. 10 provides a clear synopsis of the reasons for the recommended move or other action; how the action is consistent with approved asset management plans; a schedule of estimated costs for each year of the expected term of the lease and a detailed breakdown of the estimated one-time costs and/or savings associated with the action; and any rent overlaps expected. In addition, an OREDS 4083 Space Planning Data Form must be submitted which provides information on employee classifications for the tenant department, type of space, and specifics on specialized space needs.

For certain requests, DGS also prepares a separate economic analysis for DOF verifying that the selected method of procuring space (lease, lease-purchase, lease with purchase option) is the most cost effective, including a comparison with state construction. The conditions of this analysis (i.e., for which projects, and the content) are set by memorandum of understanding between DGS and DOF.

The DOF’s review of CRUISE Form 9s consists of two parts:

1. The Capital Outlay analyst reviews DGS’ analysis justifying the method of procuring space and the consistency with approved asset management plans.
2. The appropriate DOF support analyst determines whether the program assumptions for the space request are valid, including any possible future growth requirements.

The DOF Capital Outlay unit coordinates this review. The normal time frame for DOF review is less than 30 days. Questions on the status of any space action request which has been forwarded to DOF should be directed to this unit.

# The DOF’s approval of the CRUISE Form 9 does not constitute approval of additional funding for any future rental increase or other costs related to the CRUISE Form 9*.*

The department may wish to coordinate the timing of space action requests with the budget process to avoid making commitments to new space prior to budgetary approval. Requests for a budget adjustment must be submitted as part of the normal budget preparation process. Requirements are reviewed below.

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# SPACE ACTION REQUESTS CRUISE (Form 9) 6453 (Cont. 2)

(Revised 6/14)

Coordination of CRUISE Form 9s with Support Budget Change Proposals (BCPs). The BCPs are required for any request to increase support budget funding for new or additional space, rent increases on an existing lease, furniture (such as modular), or costs associated with moving. The BCP must be submitted with a copy of the Form 10 package previously approved by DOF. If a final version of this package is not available because the leasing transaction is still under development, DOF will base its review of the BCP on the department’s initial estimate on draft version of the package. However, the department is still required to complete the Form 10 package approval process by having DGS submit a final set of forms: CRUISE Form 9 and Estimate of Occupancy Cost Form 10 and OREDS 4083, with complete data, for approval to DOF. As appropriate, DOF may adjust any prior budget decisions to conform with the final CRUISE Form 9.

It is not necessary to coordinate the BCP process with the CRUISE Form 9 process if the BCP is requesting facility funding as a per - position complement. For example, the department may request five new positions for a program, with a per -position facility component.

However, such complements are usually adequate only for marginal adjustments of staff. Therefore, departments are cautioned against using per-position complements if large numbers of staff are being added or specialized space is required. Additional facility funding may not be provided later to correct budget shortfalls.

Coordination of CRUISE Form 9 with Capital Outlay Budget Change Proposals (COBCPs). Informational COBCPs are required for proposals to enter in the budget year into a lease- purchase agreement, lease with purchase option, or any other lease which meets the definition of a capital lease, as described in the ‖capitalized Assets‖ Chapter (Capital Outlay Section) of SAM. The opportunity to enter into such a lease may arise, on an unplanned basis, off-cycle with the budget process. The DOF may waive the formal COBCP requirement in this situation, but the client department and DGS must nonetheless provide the same information as well as the economic analysis referred to above as part of Form 10 approval package.

# STANDARDIZED REGULATORY IMPACT ASSESSMENT

**FOR MAJOR REGULATIONS 6600**

(New 6/14)

Pursuant to [Government Code section 11346.36(f)](http://leginfo.legislature.ca.gov/faces/codes_displaySection.xhtml?lawCode=GOV&amp;sectionNum=11346.36), Finance’s regulations regarding major regulations and Standardized Regulatory Impact Assessments are published below.

A state agency promulgating a major regulation is required to send a completed Standardized Regulatory Impact Assessments and the form required by California Code of Regulations, title 1, section 2002 to the Department of Finance for review and comment. Please send these documents electronically to [majorregulations@dof.ca.gov](mailto:majorregulations@dof.ca.gov) or send three copies to:

Economic Research Unit Department of Finance 915 L Street

Sacramento, CA 95814

Fax No.: (916) 449-5253

Title 1, California Code of Regulations Division 3. Department of Finance

Chapter 1. Standardized Regulatory Impact Assessment for Major Regulations.

2000. Definitions.

For purposes of this chapter:

* 1. ―Agency‖ has the meaning given to that term in Section 11342.520 of the code.
  2. ―As estimated by the agency‖ means the agency has estimated the economic impact of a proposed action in the manner prescribed by section 2003.
  3. ―Code‖ means the Government Code.
  4. ―Department‖ means the Department of Finance.
  5. ―Economic impact‖ means all costs or all benefits (direct, indirect and induced) of the proposed major regulation on business enterprises and individuals located in or doing business in California.
  6. ―GO-Biz‖ means the Governor’s Office of Business and Economic Development.
  7. ―Major regulation‖ means any proposed rulemaking action adopting, amending or repealing a regulation subject to review by OAL that will have an economic impact on California business enterprises and individuals in an amount exceeding fifty million dollars ($50,000,000) in any 12-month period between the date the major regulation is estimated to be filed with the Secretary of State through 12 months after the major regulation is estimated to be fully implemented (as estimated by the agency), computed without regard to any offsetting benefits or costs that might result directly or indirectly from that adoption, amendment or repeal.
  8. ―Notice of proposed action‖ means the notice required by Section 11346.5 of the code.
  9. ―OAL‖ means the Office of Administrative Law.
  10. ―SRIA‖ means the standardized regulatory impact assessment required by Section 11346.3(c) of the code.

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# STANDARDIZED REGULATORY IMPACT ASSESSMENT

**FOR MAJOR REGULATIONS 6600** (Cont. 1)

(New 6/14)

NOTE: Authority cited: Section [11346.36](http://leginfo.legislature.ca.gov/faces/codes_displaySection.xhtml?lawCode=GOV&amp;sectionNum=11346.36), Government Code. Reference: Sections [11342.548](http://leginfo.legislature.ca.gov/faces/codes_displaySection.xhtml?lawCode=GOV&amp;sectionNum=11342.548) and [11346.36](http://leginfo.legislature.ca.gov/faces/codes_displaySection.xhtml?lawCode=GOV&amp;sectionNum=11346.36), Government Code. 2001. Notification; Public Input.

1. (1) An agency that anticipates promulgating a major regulation shall provide the department, not later than

February 1 of each calendar year, with a list of all major regulations that it anticipates proposing during that entire calendar year. The information shall be provided on a form prescribed by the department. The list shall specifically identify the following for each major regulation that the agency proposes to adopt, amend or repeal: subject matter, title and section of the California Code of Regulations that will be affected, statute or court decision being implemented, interpreted or made specific and the anticipated date on which the agency proposes to publish the notice of proposed action for each major regulation. The list shall also contain the name of the agency, the responsible unit within the agency, and the name, telephone number, email, and mailing address of a contact person.

1. In the event an agency determines after February 1 that it anticipates promulgating a major regulation, the agency shall submit to the department the information required in subdivision (a)(1) as soon as possible but in no event later than 60 days prior to filing a notice of proposed action with OAL.
2. Within 15 days of receipt of a list of proposed major regulations, the department shall provide a copy of that list to GO-Biz and to any other agency that has requested a copy.
3. Within 15 days of receipt of a list of proposed major regulations, the department shall post that list on its Internet web site.
4. The agency shall also seek public input regarding alternatives from those who would be subject to or affected by the regulations (including other state agencies and local agencies, where appropriate) prior to filing a notice of proposed action with OAL unless the agency is required to implement federal law and regulations which the agency has little or no discretion to vary. An agency shall document and include in the SRIA the methods by which it sought public input.

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# STANDARDIZED REGULATORY IMPACT ASSESSMENT

**FOR MAJOR REGULATIONS 6600** (Cont. 1)

(New 6/14)

NOTE: Authority cited: Sections [11346.3](http://leginfo.legislature.ca.gov/faces/codes_displaySection.xhtml?lawCode=GOV&amp;sectionNum=11346.3) and [11346.36](http://leginfo.legislature.ca.gov/faces/codes_displaySection.xhtml?lawCode=GOV&amp;sectionNum=11346.36), Government Code. Reference: Sections [11342.548](http://leginfo.legislature.ca.gov/faces/codes_displaySection.xhtml?lawCode=GOV&amp;sectionNum=11342.548), [11346.3](http://leginfo.legislature.ca.gov/faces/codes_displaySection.xhtml?lawCode=GOV&amp;sectionNum=11346.3) and [11346.36](http://leginfo.legislature.ca.gov/faces/codes_displaySection.xhtml?lawCode=GOV&amp;sectionNum=11346.36), Government Code.

2002. Standardized Regulatory Impact Assessment.

1. An agency that anticipates promulgating a major regulation as defined in section 2000 shall, pursuant to Section 11346.3(f) of the code, submit its completed SRIA to the department within the following time frame:
   1. Not less than 60 days prior to filing a notice of proposed action with OAL if the agency has notified the department of the proposed regulation within the time prescribed by 2001(a); or
   2. Not less than 90 days prior to filing a notice of proposed action with OAL if the agency has not notified the department of the proposed major regulation within the time prescribed by section 2001(a);
2. (1) The SRIA shall contain all of the information required by Section 11346.3(c) of the code, which shall have been prepared in compliance with section 2003.
   1. The SRIA shall also include a description and explanation of each of the following:
      1. The economic impact method and approach, including the underlying assumptions the agency used and the rationale and basis for those assumptions;
      2. The specific categories of individuals and business enterprises who would be affected by the proposed major regulation;
      3. The inputs into the assessment of the economic impact;
      4. The outputs from the assessment of the economic impact;
      5. The agency’s interpretation of the results of the assessment of the economic impact.
   2. The SRIA shall also include documentation sufficient to substantiate compliance with the requirements of this section and section 2003.
3. The SRIA shall be accompanied by a form prescribed by the department that includes all of the following:
   1. Name of the agency.
   2. The name, telephone number, email and mailing address of the contact person.
   3. Statement of the need for the proposed major regulation.
   4. A summary of the categories of individuals and business enterprises who will be impacted by the proposed major regulation and the amount of the economic impact on each such category.

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# STANDARDIZED REGULATORY IMPACT ASSESSMENT

**FOR MAJOR REGULATIONS 6600** (Cont. 2)

(New 6/14)

* 1. An identification and description of all costs and all benefits due to the proposed regulatory change, calculated on an annual basis from estimated date of filing with the Secretary of State through 12 months after the estimated date the proposed major regulation will be fully implemented as estimated by the agency.
  2. Description of the 12-month period in which the agency estimates the economic impact of the proposed major regulation will exceed $50 million.
  3. Description of the baseline that the agency used to compare proposed regulatory alternatives.
  4. Identification of each regulatory alternative for addressing the stated need for the proposed major regulation, including each alternative that was provided by the public or another governmental agency and each alternative that the agency considered; all costs and all benefits of each regulatory alternative considered; and the reasons for rejecting each alternative.
  5. Description of the methods by which the agency sought public input as required by section 2001, accompanied by documentation of that public outreach.
  6. A description of the economic impact method and approach, including the underlying assumptions the agency used and the rationale and basis for those assumptions.
  7. Date, printed name, and signature of the head of the agency.

1. Within 10 days of receiving an SRIA, the department shall post a copy of the form required by subdivision (c) on its Internet web site.
2. Within 10 days of receiving an SRIA, the department shall provide a copy of the form required by subdivision (c) to Go-Biz and any other agency that requests it. GO-Biz and any other agency may provide comment to the department within 10 days thereafter.

NOTE: Authority cited: Section [11346.36](http://leginfo.legislature.ca.gov/faces/codes_displaySection.xhtml?lawCode=GOV&amp;sectionNum=11346.36), Government Code. Reference: Sections [11342.548](http://leginfo.legislature.ca.gov/faces/codes_displaySection.xhtml?lawCode=GOV&amp;sectionNum=11342.548), [11346.3](http://leginfo.legislature.ca.gov/faces/codes_displaySection.xhtml?lawCode=GOV&amp;sectionNum=11346.3) and [11346.36](http://leginfo.legislature.ca.gov/faces/codes_displaySection.xhtml?lawCode=GOV&amp;sectionNum=11346.36), Government Code.

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# STANDARDIZED REGULATORY IMPACT ASSESSMENT

**FOR MAJOR REGULATIONS 6600** (Cont. 3)

(New 6/14)

2003. Methodology for Making Estimates.

1. In conducting the SRIA required by Section 11346.3(c) of the code, an agency shall use an economic impact method and approach that has all of the following capabilities:
   1. Can estimate the total economic effects of changes due to regulatory policies over a multi-year time period.
   2. Can generate California economic variable estimates such as personal income, employment by economic sector, exports and imports, and gross state product, based on inter-industry relationships that are equivalent in structure to the Regional Industry Modeling System published by the Bureau of Economic Analysis.
   3. Can produce (to the extent possible) quantitative estimates of economic variables that address or facilitate the quantitative or qualitative estimation of the following:
      1. The creation or elimination of jobs within the state;
      2. The creation of new businesses or the elimination of existing businesses within the state;
      3. The competitive advantages or disadvantages for businesses currently doing business within the state;
      4. The increase or decrease of investment in the state;
      5. The incentives for innovation in products, materials, or processes; and
      6. The benefits of the regulations, including but not limited to benefits to the health, safety, and welfare of California residents, worker safety, and the state’s environment and quality of life, among any other benefits identified by the agency.
2. The department’s most current publicly available economic and demographic projections, which may be found on the department’s website, shall be used unless the department approves the agency’s written request to use a different projection for a specific proposed major regulation. Such approval shall be made on a case-by-case basis. An agency that anticipates that it will take more than one year to develop a major regulation is encouraged to work with the department in determining the most appropriate projections to use.
3. Costs and benefits shall be separately identified for different groups of agencies, businesses and individuals if the impact of the regulation will differ significantly among identifiable groups.
4. The agency shall compare regulatory alternatives with a baseline that reflects the anticipated behavior of individuals and businesses in the absence of the proposed major regulation and shall identify the baseline it used.

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# STANDARDIZED REGULATORY IMPACT ASSESSMENT

**FOR MAJOR REGULATIONS 6600** (Cont. 4)

(New 6/14)

1. In comparing proposed regulatory alternatives with an established baseline, an agency should consider including the following in its analysis:
   1. A description of feasible alternatives to the proposed major regulation and the rationale for choosing the proposed major regulation over the other alternatives considered. This description should also include:
      1. An explanation of how the need for the proposed major regulation affects the selection of regulatory alternatives;
      2. An evaluation of the legal and statutory constraints that limit the selection of regulatory alternatives.
   2. Whenever possible, at least two alternatives should be compared to the proposed major regulation, including:
      1. An alternative that could achieve additional benefits beyond those associated with the proposed major regulation; and
      2. A next-best alternative that would not yield the same level of benefits associated with the proposed major regulation, or is less likely to yield the same level of benefits.
   3. A comparison of the cost-effectiveness of different alternatives.
      1. Both total and incremental benefits and costs should be estimated. Incremental benefits and costs are the differences between the estimates associated with the alternatives considered.
      2. Whenever possible, final rather than intermediate outcomes should be used as measures of effectiveness.
      3. In cases where the proposed major regulation addresses more than one measure of effectiveness, weights should be applied to different categories of effects.
      4. The uncertainties associated with the estimates should be discussed.
   4. If there are significant differences between the incidence or timing of costs and benefits of a regulation, distributional effects should be addressed, including how the effects of the regulation are distributed, for example, by industry, income, race, sex, or geography, and how the effects are distributed over time.
   5. The assumptions, analytical methods, and data used in the analysis should be documented.

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# STANDARDIZED REGULATORY IMPACT ASSESSMENT

**FOR MAJOR REGULATIONS 6600** (Cont. 5)

(New 6/14)

* + 1. To the extent possible, the analysis should rely on peer-reviewed literature.
    2. The source for all original information should be documented.

1. An analysis of estimated changes in behavior by businesses and/or individuals in response to

the proposed major regulation shall be conducted and, if feasible, an estimate made of the extent to which costs or benefits are retained within the business and/or by individuals or passed on to others, including customers, employees, suppliers and owners.

1. For each assessment of the value of benefits of the proposed major regulation required by

section 11346.3(c)(1)(F) of the code, the agency shall describe the applied analytical methods and data sources used and the results of that analysis.

1. The agency’s assessment may rely on current and (if applicable) projected market transaction data where a market exists that can directly reveal the quantity or monetary value of a projected benefit of the proposed major regulation.
2. The agency may use an indirect approach (e.g., use values derived from related markets) in cases where the value of the benefits can be inferred from actual choices made by individuals in related markets. The assessment should rely on current and (if applicable) projected market transaction data.
3. The agency may use a direct approach (e.g. use values from surveys), estimating the value of the benefits based on hypothetical choices made by individuals responding to a survey.
4. The agency may estimate the value of the benefits based upon an existing study of another regulatory policy with similar subject or physical characteristics. This estimate should describe how the agency took into account the differences in the characteristics (such as time span, specific benefits to value, population, and other socio-economic factors) between the study and the proposed major regulation.
5. In assessing the effects of a regulatory proposal on the General Fund and special funds of the state and affected local government agencies attributable to the proposed major regulation, including the cost of enforcement and compliance to the agency, an agency shall follow the Department of Finance instructions in the State Administrative Manual sections 6601, 6602, and 6604 through 6616.

NOTE: Authority cited: Section [11346.36](http://leginfo.legislature.ca.gov/faces/codes_displaySection.xhtml?lawCode=GOV&amp;sectionNum=11346.36), Government Code. Reference: Sections [11342.548](http://leginfo.legislature.ca.gov/faces/codes_displaySection.xhtml?lawCode=GOV&amp;sectionNum=11342.548), [11346.3](http://leginfo.legislature.ca.gov/faces/codes_displaySection.xhtml?lawCode=GOV&amp;sectionNum=11346.3) and [11346.36](http://leginfo.legislature.ca.gov/faces/codes_displaySection.xhtml?lawCode=GOV&amp;sectionNum=11346.36), Government Code.

2004. Failure to Comply with Requirements of this Chapter.

When an agency fails to comply in whole or in part with this chapter, the department shall identify in its comments the area(s) where the agency is out of compliance.

NOTE: Authority cited: Section [11346.36](http://leginfo.legislature.ca.gov/faces/codes_displaySection.xhtml?lawCode=GOV&amp;sectionNum=11346.36), Government Code. Reference: Sections [11342.548](http://leginfo.legislature.ca.gov/faces/codes_displaySection.xhtml?lawCode=GOV&amp;sectionNum=11342.548), [11346.3](http://leginfo.legislature.ca.gov/faces/codes_displaySection.xhtml?lawCode=GOV&amp;sectionNum=11346.3), [11346.36](http://leginfo.legislature.ca.gov/faces/codes_displaySection.xhtml?lawCode=GOV&amp;sectionNum=11346.36) and [11349.1.5](http://leginfo.legislature.ca.gov/faces/codes_displaySection.xhtml?lawCode=GOV&amp;sectionNum=11349.1.5), Government Code.

# PREPARATION OF LOCAL MANDATE DETERMINATIONS AND COST ESTIMATES FOR EXECUTIVE REGULATIONS AND ORDERS

**GENERAL 6601**

(New 6/14)

This and the following sections set forth the guidelines to complete the Economic and Fiscal Impact Statement ([STD. 399](http://www.dof.ca.gov/research/economic_research_unit/SB617_regulation/documents/std399.pdf)). Pursuant to Government Code Section [11346.5](http://leginfo.legislature.ca.gov/faces/codes_displaySection.xhtml?lawCode=GOV&amp;sectionNum=11346.5), a rulemaking agency is required, prior to the issuance of an executive regulation, to include in the notice of proposed adoption, amendment, or repeal of a regulation the following:

1. A determination as to whether the regulation imposes a mandate on local agencies or school districts and, if so, whether the mandate requires state reimbursement pursuant to Part 7 (commencing with Section [17500](http://leginfo.legislature.ca.gov/faces/codes_displaySection.xhtml?lawCode=GOV&amp;sectionNum=17500)) of Division 4 of the Government Code.
2. An estimate, prepared in accordance with instructions adopted by the Department of Finance ([DOF](http://www.dof.ca.gov/)), of the cost or savings to any state agency or local government; the cost to any local government that is required to be reimbursed under Part 7 (commencing with Section [17500](http://leginfo.legislature.ca.gov/faces/codes_displaySection.xhtml?lawCode=GOV&amp;sectionNum=17500)) of Division 4 of the Government Code; any other nondiscretionary costs or savings including revenue changes imposed on state and local governments; and the cost or savings in federal funding to the state.
3. A statement of the results of the assessment of the economic impacts of a proposed regulation pursuant to Government Code sections [11346.2](http://leginfo.legislature.ca.gov/faces/codes_displaySection.xhtml?lawCode=GOV&amp;sectionNum=11346.2) and [11346.3](http://leginfo.legislature.ca.gov/faces/codes_displaySection.xhtml?lawCode=GOV&amp;sectionNum=11346.3).

# DEFINITION 6602

(Revised 6/14)

For the purposes of implementing these guidelines, the following definitions apply:

**Agency, Local**. Any city, county, special district, authority, or other political subdivision of the state.

**Agency, State**. Every office, officer, department, division, bureau, board, council, or commission in state government. A ―state agency‖ does not include an agency in the judicial or legislative branches of state government.

# Direct Fiscal Costs

* 1. Personnel needed to perform a line function or activity prescribed (expressed or implied) in the regulation.
  2. Fringe benefits associated with those personnel, e.g., retirement, OASDI, workers’ compensation.
  3. Operating expenses associated with those personnel, e.g., if compliance is achieved by contracting with a private vendor.
  4. Any additional equipment which will have to be purchased or leased in order to comply with the regulation.
  5. Allocation of other personnel-related costs if not otherwise allocated through an indirect cost system. Some agencies may allocate the costs of rent, space, utilities, etc., directly to the personnel involved.

**Economic Impact.** All costs or all benefits, (direct, indirect and induced) of the proposed major regulation on business enterprises and individuals located in or doing business in California.

All costs or all benefits, (direct, indirect and induced) of the proposed major regulation on business enterprises and individuals located in or doing business in California.

A direct economic impact is the first-round impact of the policy change from the proposed regulation, e.g., a cost to a business of investing in new required equipment or a benefit to consumers of having additional health coverage. There are two additional types of economic impacts – indirect and induced – which are the reactions to the direct economic impact. An indirect economic impact is the secondary economic impact resulting from the direct economic impact, e.g., the extra sales of equipment to the regulated businesses, or the additional supply or demand for health care from expanded coverage. An induced economic impact is any other economic impact of the policy change from the proposed regulation not accounted for by the direct or indirect economic impacts, e.g., the additional household spending by employees of firms selling extra equipment or in the health care industry, or the additional tax burden on businesses and individuals from fiscal costs associated with enforcing the regulation.

Calculating an economic impact for a major regulation includes all costs or all benefits, computed without regard to any offsetting benefits or costs that might result directly or indirectly, to business enterprises and individuals directly affected by the regulation.

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**DEFINITION 6602** (Cont. 1)

(Revised 6/14)

**Fiscal Costs**. All additional expenses for which either supplemental financing or the redirection of existing staff and/or resources (with or without the need for supplemental funding) is required. Costs include those which can be absorbed in an agency's existing budget.

**Indirect Fiscal Costs**. Any costs related to the additional personnel or operating expenses described in the preceding which are not directly allocated or assigned to those personnel. They do not include a pro rata share of the costs of any manager or supervisor above the first line supervisors since it is assumed that any such supervisors would be in place whether or not the personnel hired to comply with the regulations were there. For example, if a regulation necessitated the hiring of additional staff in a county welfare department, it would not be appropriate to assign, through an indirect cost system, a portion of the costs of the county welfare director to those new personnel since the director would exist to perform his/her functions even if the new personnel were not hired.

**Major Regulation.** Any proposed rulemaking action adopting, amending or repealing a regulation subject to review by OAL that will have an economic impact on California business enterprises and individuals in an amount exceeding fifty million dollars ($50,000,000) in any 12-month period between the date the major regulation is estimated to be filed with the Secretary of State through 12 months after the major regulation is estimated to be fully

implemented (as estimated by the agency), computed without regard to any offsetting benefits or costs that might result directly or indirectly from that adoption, amendment or repeal.

**Mandate**. A requirement with a consequence of noncompliance of either (1) a criminal penalty, (2) a civil liability, or (3) an administrative penalty.

**Public Agency**. Any state agency, city, county, special district, school district, community college district, county superintendent of schools, or federal agency.

**Reasonable Compliance**. No universal definition is available. However, the ―prudent person‖ test can be utilized to arrive at an appropriate definition of the term. For example, if an agency is required by regulation to provide transportation for certain persons, it clearly would not be appropriate to purchase limousine-type luxury automobiles to do so. On the other hand, it would not be appropriate to provide the service by purchasing tandem bicycles. Reasonable compliance can be achieved with some mode of transportation between the two extremes cited. The issuing agency must evaluate each instance separately and determine what

―reasonable compliance‖ would be. The estimate developed must clearly indicate the mode or level of activity it has assumed would achieve such compliance.

Since compliance connotes that the regulation involves a requirement, costs incurred by state or local agencies in exercising any authority granted by a regulation which is permissive or optional are not germane and need not be estimated.

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**DEFINITION 6602** (Cont. 2)

(Revised 6/14)

**Regulation.** Every rule, order, or standard of general application or the amendment, supplement, or revision of any rule, order or standard adopted by any state agency to implement, interpret, or make specific the law enforced or administered by it, or to govern its procedure.

The term "emergency" means a situation that calls for immediate action to avoid serious harm to the public peace, health, safety, or general welfare. An emergency regulation is adopted pursuant to Government Code Section [11346.1](http://leginfo.legislature.ca.gov/faces/codes_displaySection.xhtml?lawCode=GOV&amp;sectionNum=11346.1).

**Revenues**. Any changes in the amounts of operating income received by state and local agencies as the result of an executive regulation must also be identified. In this context,

―revenue‖ includes taxes, state and/or federal assistance, fees, licenses, and so forth.

**Savings**. Both actual budget reductions and the ―freeing up‖ of staff and/or resources for reassignment to other areas of legitimate concern of the agency.

**School District**. Any school district, community college district, or county superintendent of schools.

**Special District**. Any agency of the state which performs governmental or proprietary functions within limited boundaries. Special district includes a redevelopment agency, a joint powers agency or entity, a county service area, a maintenance district or area, an improvement district or improvement zone, or any other zone or area. Special district does not include a city, a county, a school district, or a community college district.

County free libraries established pursuant to Chapter 6 (commencing with Section 19100) of Part II of the Education Code, areas receiving county fire protection services pursuant to Government Code Section [25643](http://leginfo.legislature.ca.gov/faces/codes_displaySection.xhtml?lawCode=GOV&amp;sectionNum=25643), and county road districts established pursuant to Chapter 7 (commencing with Section 1550) of Division 2 of the Streets and Highways Code shall be considered special districts for all purposes of this section.

**Standardized Regulatory Impact Assessment.** An analysis of the economic impacts of proposed major regulations which is required for any proposed regulation that has an estimated economic impact to business enterprises and individuals located in or doing business in California exceeding $50 million in any 12-month period between the date the major regulation is estimated to be filed with the Secretary of State through 12 months after the major regulation is estimated to be fully implemented.

# ECONOMIC IMPACT STATEMENT 6603

(Revised 6/14)

A state agency that proposes to promulgate a regulation must include a completed STD. [399](http://www.dgs.ca.gov/osp/Forms/search/resultsNumber.aspx?number=399) with each proposed regulation that is submitted to OAL for publication in the California Regulatory Notice Register. Government Code sections [11346.2](http://leginfo.legislature.ca.gov/faces/codes_displaySection.xhtml?lawCode=GOV&amp;sectionNum=11346.2), [11346.3](http://leginfo.legislature.ca.gov/faces/codes_displaySection.xhtml?lawCode=GOV&amp;sectionNum=11346.3), [11346.5](http://leginfo.legislature.ca.gov/faces/codes_displaySection.xhtml?lawCode=GOV&amp;sectionNum=11346.5) and Health and Safety Code section [57005](http://leginfo.legislature.ca.gov/faces/codes_displaySection.xhtml?lawCode=HSC&amp;sectionNum=57005) establish requirements for assessing a proposed regulation’s estimated economic impact. This SAM section will relate each section of the Economic Impact Statement of the STD. [399](http://www.dgs.ca.gov/osp/Forms/search/resultsNumber.aspx?number=399) to the corresponding statutory requirements specified in the codes referenced.

* + 1. Estimated Private Sector Cost
       1. This section references the specific economic impacts of a proposed regulation. If the proposed regulation fits any of the a-g criteria, then the appropriate section of the economic impact statement must be completed.
       2. This section references the estimated economic impact of the proposed regulation which an agency must compute to determine if the proposed regulation is a Major Regulation in accordance with California Code of Regulations, [title 1, section 2000](http://weblinks.westlaw.com/result/default.aspx?action=Search&amp;cfid=1&amp;cnt=DOC&amp;db=CA%2DADC&amp;eq=search&amp;fmqv=c&amp;fn=%5Ftop&amp;method=TNC&amp;mt=Westlaw&amp;n=1&amp;origin=Search&amp;query=CI%28%221%2BCA%2BADC%2BS%2B2000%22%29&amp;rlt=CLID%5FQRYRLT45995115810164&amp;rltdb=CLID%5FDB96527115810164&amp;rlti=1&amp;rp=%2Fsearch%2Fdefault%2Ewl&amp;rs=GVT1%2E0&amp;service=Search&amp;sp=CCR%2D1000&amp;srch=TRUE&amp;ss=CNT&amp;sskey=CLID%5FSSSA12527115810164&amp;sv=Split&amp;tempinfo=FIND&amp;vr=2%2E0).
       3. Total businesses impacted

Government Code section [11346.5](http://leginfo.legislature.ca.gov/faces/codes_displaySection.xhtml?lawCode=GOV&amp;sectionNum=11346.5)(a)(7)(A) requires agencies to identify the types of businesses affected by the proposed regulation.

* + - 1. Businesses created or eliminated

Government Code section [11346.3](http://leginfo.legislature.ca.gov/faces/codes_displaySection.xhtml?lawCode=GOV&amp;sectionNum=11346.3)(b)(1)(B) requires agencies to assess the proposed regulation’s impact on the creation or elimination of businesses within the state, including regional impacts.

* + - 1. Geographic extent of regulation

Government Code section [11346.3](http://leginfo.legislature.ca.gov/faces/codes_displaySection.xhtml?lawCode=GOV&amp;sectionNum=11346.3)(b)(1)(C) requires agencies to assess the proposed regulation’s impact on the expansion of businesses within the state.

* + - 1. Employment factors

Government Code section [11346.3](http://leginfo.legislature.ca.gov/faces/codes_displaySection.xhtml?lawCode=GOV&amp;sectionNum=11346.3)(b)(1)(A) requires agencies to assess the proposed regulation’s impact on the creation or elimination of jobs in California.

* + - 1. Competition

Government Code section [11346.3](http://leginfo.legislature.ca.gov/faces/codes_displaySection.xhtml?lawCode=GOV&amp;sectionNum=11346.3)(a)(2) requires agencies to evaluate the impact on the ability of California businesses to compete with businesses in other states.

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**ECONOMIC IMPACT STATEMENT 6603** (Cont. 1)

(Revised 6/14)

* + 1. Estimated Costs
       1. Initial and ongoing costs to business and individuals

Government Code section [11346.3](http://leginfo.legislature.ca.gov/faces/codes_displaySection.xhtml?lawCode=GOV&amp;sectionNum=11346.3)(a) requires agencies to evaluate the potential cost of compliance of the proposed regulation for businesses and individuals.

* + - 1. Share of total costs

Government Code section [11346.5](http://leginfo.legislature.ca.gov/faces/codes_displaySection.xhtml?lawCode=GOV&amp;sectionNum=11346.5)(a)(7)(A) requires agencies to describe the types of businesses affected by the proposed regulation and their share of the total cost of the proposed regulation if the proposed regulation has a significant statewide adverse economic impact.

* + - 1. Reporting requirements

Government Code section [11346.5](http://leginfo.legislature.ca.gov/faces/codes_displaySection.xhtml?lawCode=GOV&amp;sectionNum=11346.5)(a)(7)(B), requires agencies to identify reporting requirements for businesses if the proposed regulation has a significant statewide adverse economic impact.

* + - 1. Housing

Government Code section [11346.5](http://leginfo.legislature.ca.gov/faces/codes_displaySection.xhtml?lawCode=GOV&amp;sectionNum=11346.5)(a)(12) requires agencies to determine if the regulation will directly impact housing costs.

* + - 1. Federal regulations

Government Code section [11346.5](http://leginfo.legislature.ca.gov/faces/codes_displaySection.xhtml?lawCode=GOV&amp;sectionNum=11346.5)(a)(3)(B) requires the agency to determine if the regulation differs from an existing comparable federal regulation.

* + 1. Estimated Benefits

Parts 1-3 of this sections are required by Government Code section [11346.3](http://leginfo.legislature.ca.gov/faces/codes_displaySection.xhtml?lawCode=GOV&amp;sectionNum=11346.3)(b)(1)(D) which requires agencies to discuss the benefits of the regulation, including, but not limited to, benefits to the health, safety, and welfare of California residents, worker safety, and the state’s environment and quality of life, among any other benefits identified by the agency.

4. Expansion of businesses

Government Code section [11346.3](http://leginfo.legislature.ca.gov/faces/codes_displaySection.xhtml?lawCode=GOV&amp;sectionNum=11346.3)(b)(1)(C) requires agencies to assess the proposed regulation’s impact on the expansion of businesses within the state.

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**ECONOMIC IMPACT STATEMENT 6603** (Cont. 2)

(Revised 6/14)

* + 1. Alternatives to the Regulation

Parts 1 and 2 of this section are required by Government Code section [11346.2](http://leginfo.legislature.ca.gov/faces/codes_displaySection.xhtml?lawCode=GOV&amp;sectionNum=11346.2)(b), which requires agencies to discuss alternatives to the proposed regulation.

1. This section supplements the comparisons of the proposed alternatives and the proposed regulation in parts 1 and 2 of this section to allow for a standardized comparison.
2. Consideration of performance standards

Government Code section [11346.2](http://leginfo.legislature.ca.gov/faces/codes_displaySection.xhtml?lawCode=GOV&amp;sectionNum=11346.2)(b) requires agencies, when mandating the use of specific technology or equipment, to consider performance standards to help lower compliance costs

* + 1. Major Regulations

Parts 1 through 3 of this section apply only to boards, offices and departments within the [California Environmental Protection Agency](http://www.calepa.ca.gov/). Health and Safety Code section [57005](http://leginfo.legislature.ca.gov/faces/codes_displaySection.xhtml?lawCode=HSC&amp;sectionNum=57005) requires each board, office and department to follow internal guidelines for regulations with an estimated economic impact on the state’s business enterprises in an amount exceeding ten million dollars.

Parts 4 and 5 of this section apply to a proposed regulation that is a major regulation. Government Code section [11346.3](http://leginfo.legislature.ca.gov/faces/codes_displaySection.xhtml?lawCode=GOV&amp;sectionNum=11346.3)(c)(1) requires all state agencies proposing to adopt, amend, or repeal a regulation which is subject to review by OAL and not specifically exempted from the Administrative Procedure Act to conduct a Standard Regulatory Impact Assessment (SRIA) for a major regulation. Three copies of the SRIA and the form required by California Code of regulations, [title 1, section 2002](http://weblinks.westlaw.com/result/default.aspx?action=Search&amp;cfid=1&amp;cnt=DOC&amp;db=CA%2DADC&amp;eq=search&amp;fmqv=c&amp;fn=%5Ftop&amp;method=TNC&amp;n=1&amp;origin=Search&amp;query=CI%28%221%2BCA%2BADC%2BS%2B2002%22%29&amp;rlt=CLID%5FQRYRLT5598956111164&amp;rltdb=CLID%5FDB3367756111164&amp;rlti=1&amp;rp=%2Fsearch%2Fdefault%2Ewl&amp;rs=GVT1%2E0&amp;service=Search&amp;sp=CCR%2D1000&amp;srch=TRUE&amp;ss=CNT&amp;sskey=CLID%5FSSSA069356111164&amp;tempinfo=FIND&amp;vr=2%2E0) should be submitted to the Department of Finance.

Questions concerning the Economic Impact Statement may be directed to:

California Department of Finance 915 L Street

Sacramento, California

Telephone Number: (916) 322-2263

# SIGNATURE REQUIRED FOR FISCAL IMPACT STATEMENT (FIS) 6614

(Revised 6/14)

A state agency adopting, amending, or repealing a routine or emergency regulation shall use the [STD. 399](http://www.dof.ca.gov/research/economic_research_unit/SB617_regulation/documents/std399.pdf) to make a determination and develop an estimate of that proposed regulation's fiscal impact on local governments. The Fiscal Impact Statement section of the [STD. 399](http://www.dof.ca.gov/research/economic_research_unit/SB617_regulation/documents/std399.pdf) must be completed and signed by the agency when a notice of proposed action is submitted for publication in the [California Regulatory Notice Register](http://www.oal.ca.gov/notice_register.htm). If the proposed regulation is modified and this modification would cause a change to the fiscal impact of the proposed regulation after the [STD. 399](http://www.dof.ca.gov/research/economic_research_unit/SB617_regulation/documents/std399.pdf) was submitted to Finance and signed, an updated [STD. 399](http://www.dof.ca.gov/research/economic_research_unit/SB617_regulation/documents/std399.pdf) must be submitted to Finance. The [STD. 399](http://www.dof.ca.gov/research/economic_research_unit/SB617_regulation/documents/std399.pdf) and related documents must be submitted in the agency’s rulemaking file for the proposed action.

The [STD. 399](http://www.dof.ca.gov/research/economic_research_unit/SB617_regulation/documents/std399.pdf) must be approved and signed by (1) the Agency fiscal officer and

1. the Agency Secretary; the highest ranking official in the state agency, if it is not under an Agency Secretary; or a designee having a written delegation from the Agency Secretary or the highest ranking official before it is submitted to OAL. Prior to submitting an emergency regulation to OAL, a Finance signature on the [STD. 399](http://www.dof.ca.gov/research/economic_research_unit/SB617_regulation/documents/std399.pdf) is not required. In accordance with Government Code section [11346.1](http://leginfo.legislature.ca.gov/faces/codes_displaySection.xhtml?lawCode=GOV&amp;sectionNum=11346.1), a Finance signature is required when the agency submits to OAL the rulemaking file and certification stating compliance with Government Code sections 11246.2 to 11346.3.

A Finance Program Budget Manager (PBM) or designee signature is required when the Fiscal Impact Statement on the [STD. 399](http://www.dof.ca.gov/research/economic_research_unit/SB617_regulation/documents/std399.pdf) reflects either costs or savings, whether budgeted or not. The estimate in a [STD. 399](http://www.dof.ca.gov/research/economic_research_unit/SB617_regulation/documents/std399.pdf) that is signed by the agency must reflect the actual language of the proposed regulation adopted by the agency. A PBM signature reflects a concurrence that the estimates provided on the [STD. 399](http://www.dof.ca.gov/research/economic_research_unit/SB617_regulation/documents/std399.pdf) are an accurate estimation of the fiscal impact of the proposed regulation. A PBM signature does not reflect a policy endorsement of the regulation itself, a concurrence that the proposed regulation is the most cost-effective option, or an approval to submit a Budget Change Proposal (BCP) to address any identified fiscal impact.

Any estimated budget costs or savings must be addressed through the annual budget development and BCP process.

# If a proposed regulation is determined to be a major regulation, comments submitted by Finance relating to the required Standardized Regulatory Impact Assessment (SRIA) and a PBM’s signature on the [STD. 399](http://www.dof.ca.gov/research/economic_research_unit/SB617_regulation/documents/std399.pdf) do not reflect an endorsement of the SRIA or of the proposed major regulation.

**REPORTS 7230**

(Revised 6/14)

Reports are prepared from accounting records and provide information on a department’s financial operations. See SAM sections [7900–7999](http://www.sam.dgs.ca.gov/TOC/7900.aspx) for quarterly and special year-end financial reporting requirements.

# AUTOMATED ACCOUNTING SYSTEMS/CALSTARS 7260

(Revised 6/14)

# Implementation

The California State Accounting and Reporting System ([CALSTARS](http://www.dof.ca.gov/accounting/calstars/)) is designed to satisfy the basic accounting needs of most state departments. CALSTARS is being installed in selected departments each year, as staff resources from the Department of Finance ([Finance](http://www.dof.ca.gov/)) are available to provide support in making or overseeing the installation.

Advance Finance approval is required for any state department that will:

* 1. Contract to acquire, design, or develop any accounting system.
  2. Contract to procure hardware or software components to modify or expand any accounting system.
  3. Contract to obtain support staff to implement any accounting system.

Requests should be forwarded to Finance, [Fiscal Systems and Consulting Unit](http://www.dof.ca.gov/accounting/fscu/), at 915 L Street, Sacramento, CA 95814. A copy of the request should be forwarded to the CALSTARS Client Support Unit. If applicable, see SAM sections [6700-6770](http://www.sam.dgs.ca.gov/TOC/6000.aspx) for more details on information technology systems.

# CALSTARS Consulting Services

CALSTARS departments may request CALSTARS analyst assistance for accounting organizational studies, accounting system problems, or modification to their accounting operations or reporting capabilities. Requests should be forwarded to Finance, CALSTARS Client Support Unit, at 915 L Street, Sacramento, CA 95814.

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# AUTOMATED ACCOUNTING SYSTEMS/CALSTARS 7260 (Cont. 1)

(Revised 6/14)

[CALSTARS](http://www.dof.ca.gov/accounting/calstars/) departments need [Finance](http://www.dof.ca.gov/) approval to independently contract with other state departments or independent consulting firms or consultants for accounting related services. Requests should be forwarded to the CALSTARS System Support Unit, 915 L Street, Sacramento, CA 95814. Other services requiring Finance approval include:

1. Operational Assistance: Monthly reconciliations, year-end financial reports/process, problem solving, table review and analysis, etc.
2. Report Processes/Reports: Requests to acquire, design, develop, or modify CALSTARS reporting processes or reports.
3. Subsystems/Automated Interfaces. Assistance in reviewing subsystem specifications to determine interface to CALSTARS and developing coding requirements, dataset requirements, record layouts, etc.

Departments with Finance approval to acquire services as defined above must continue to incorporate the State's uniform coding structure and capabilities prescribed in SAM sections 7261–7262 or as amended in accordance with Finance instructions.

**SAMCLASSIFICATION OF FUNDS**

**FUNDS OF THE STATE-GENERAL 7400**

(Revised 6/14)

In state government finance and accounting, a fund is defined as a legal budgeting and accounting entity that provides for the segregation of moneys or other resources in the State Treasury for obligations in accordance with specific restrictions or limitations. A separate set of accounts must be maintained for each fund to show its assets, liabilities, reserves, and balance, as well as its revenue and expenditures. The state's funds are classified by type on both a legal/budgetary basis and a generally accepted accounting principles (GAAP) basis. The classification basis includes category types shown below:

# Legal/Budgetary Basis GAAP Basis

Governmental Cost Fund Governmental Fund Nongovernmental Cost Fund Proprietary Fund

Fiduciary Fund

The classification assigned to each fund is located in the Uniform Codes Manual ([UCM](http://www.dof.ca.gov/accounting/uniform_codes_manual/)) and the Manual of State Funds. The UCM provides listings of funds alphabetically, numerically, and by classification. The Manual of State Funds provides a detailed description of each fund. Both resources are maintained by the Department of Finance ([Finance](http://www.dof.ca.gov/)), Fiscal Systems and Consulting Unit ([FSCU](http://www.dof.ca.gov/accounting/fscu/)) and can be found on Finance’s Accounting home page at <http://www.dof.ca.gov/accounting>.

This structure affects a fund’s basis of accounting, general ledger accounts, and year-end financial reports. Departments should carefully review the general ledger account descriptions, use, and prohibitions contained in SAM sections [7620-7680](http://www.sam.dgs.ca.gov/TOC/7600.aspx) and [10401-10475](http://www.sam.dgs.ca.gov/TOC/10400.aspx).

**INTRODUCTION TO RECONCILIATIONS AND REPORTS CHAPTER 7900**

(Revised 6/14)

The reconciliations and reports chapter provides general information, reporting requirements, and deadlines for preparing financial reconciliations and reports. It also provides some instructions and standard formats for preparing the year-end financial reports. More detailed instructions for preparing the year-end financial reports are issued annually to departments by the State Controller’s Office ([SCO](http://www.sco.ca.gov/)). Additionally, departments that use the California State Accounting and Reporting System ([CALSTARS](http://www.dof.ca.gov/accounting/calstars/view.php)) will refer to the CALSTARS Procedures Manual.

# DEPARTMENTS USING CALSTARS 7904

(Revised 6/14)

Departments that use [CALSTARS](http://www.dof.ca.gov/accounting/calstars/) will refer to the CALSTARS Procedures Manual together with the guidelines and instructions presented within SAM. Instructions and illustrations of CALSTARS year-end financial reports and reconciliations are available in the CALSTARS Procedures Manual at the Department of Finance website: <http://www.dof.ca.gov/accounting/calstars/faq/cpm.php>.

# RECONCILIATION OF DEPARTMENT’S ACCOUNT BALANCES 7921 WITH SCO BALANCES

(Revised 6/14)

Departments will reconcile their accounts with the corresponding accounts maintained by the [SCO](http://www.sco.ca.gov/). The SCO provides the following reconciliation reports to departments to facilitate the monthly reconciliation process:

1. Agency Reconciliation Report–will be used by departments to reconcile their appropriation account balances. For each appropriation account, the report displays the beginning balance, transactions that occurred during the month, and the ending balance. The reconciliation will detail differences in appropriation balances between the SCO and department’s records. Departments will resolve reconciling items timely to prevent differences at year-end.
2. Fund Reconciliation Report–will be used by departments to reconcile their general ledger account balances. Departments will reconcile general ledger account balances with the corresponding balances maintained by the SCO for non-shared funds and shared funds.

See Department of Finance, Budget Letter Number 14-04, Attachment 1 for the responsibilities and authority of fund administrators and fund users for both non-shared and shared funds. One of the responsibilities of a fund administrator and a fund user is to “verify the accuracy of departmental accounting records by performing monthly reconciliations with source documents and corresponding appropriation and general ledger accounts maintained by the SCO.” This responsibility applies to fund administrators and fund users of both non-shared and shared funds.

# YEAR-END FINANCIAL REPORTS—GENERAL 7950

(Revised 6/14)

The [SCO](http://www.sco.ca.gov/) annually issues detailed instructions to departments for the preparation and submission of year-end financial reports. Departments must have SCO preapproval to utilize computer generated reports.

Departments will prepare a separate set of year-end financial reports for each fund. Accounts of two or more funds will not be commingled in department statements except in a few rare instances and then only upon written permission from Finance, [FSCU](http://www.dof.ca.gov/accounting/fscu/).

Departments will prepare year-end financial reports as soon after June 30 to meet the required due dates and to estimate accruals with reasonable accuracy. See SAM section 7930 for Calendar of Reports and Actions due dates. See SAM 7951 Illustration for List of Required Year-End Financial Reports and their distribution. Departments should plan for additional distribution of all standard reports to meet their internal management needs.

In order for departments to meet their deadlines, the following is recommended:

* 1. Issue a year-end work plan. List the specific year-end activities, due dates, responsibilities, and other important information for the timely completion of year- end financial reports.
  2. Keep accounting staff trained in the year-end financial report preparation procedures.
  3. Keep all phases of accounting current during the fiscal year. All reconciliations should be kept current and reconciling items should be corrected on a timely basis. See SAM section 7901 – 7924 for additional information on reconciliations.
  4. Do as much work as possible on year-end financial reports before June 30. Departments should start work on problem areas early so that sufficient time is allocated for the timely resolution of issues anticipated in the current year. [CALSTARS](http://www.dof.ca.gov/accounting/calstars/view.php) departments experiencing or expecting serious difficulty in completing the required year-end financial reports on time should contact the Finance, CALSTARS Client Support Unit. Other departments should contact Finance, FSCU for assistance.
  5. Schedule vacations so they will not conflict with the preparation of the year-end financial reports.
  6. The SCO will provide the following documents for year-end closing: appropriation balances; journal entries for June; Report of Accruals to Controller’s Accounts; Adjustments to Controller’s Accounts; and the Final Reconciliation of Controller’s Accounts with Final Budget Report. The SCO will notify departments by letter of the exact dates they may expect these documents.

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# YEAR-END FINANCIAL REPORTS—GENERAL 7950 (Cont. 1)

(Revised 6/14)

* 1. Departments will submit year-end financial reports to the SCO as soon as completed rather than hold them until the final submission date.
  2. Throughout the year, departments will review the condition of their cash, appropriation, and category balances to determine if sufficient funds will be available to meet expenditures. If sufficient funds are not available, departments have the following options:
     1. Begin negotiations with other departments for prompt payment of reimbursements, if applicable.
     2. Begin negotiations with the Finance budget staff to obtain approval for additional funding.
     3. Return a portion of an advance (e.g., Revolving Fund, General Services, State Publishing, and Prison Industries) to the appropriation it was originally withdrawn from.
  3. Departments will estimate receivable and payable accruals when it is not possible to obtain actual documentation. Lists of all accrual documents, estimated accruals, and amounts will be retained for audit purposes.
  4. Departments will provide deadlines and instructions to employees for submitting documents necessary to prepare the year-end financial reports (e.g., travel expense claims, purchase documents, and invoices).

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# YEAR-END FINANCIAL REPORTS—GENERAL 7950 (Cont. 2)

(Revised 6/14)

Below is a list of references, not in this chapter, related to year-end financial reporting.

|  |  |
| --- | --- |
| **Subject** | **SAM Section Reference** |
| Accruals and Adjustments – Standard Entries | [10600 - 10615](http://www.sam.dgs.ca.gov/TOC/10600.aspx) |
| Accruals to Trust Accounts – Trust and Agency Funds | [19305](http://www.sam.dgs.ca.gov/TOC/19000.aspx) |
| Allotment-Expenditure Accounting   * Year-End Accruals * One-Year Appropriations * Continuing Appropriations | [8380](http://www.sam.dgs.ca.gov/TOC/8300.aspx)  [8381](http://www.sam.dgs.ca.gov/TOC/8300.aspx)  [8382](http://www.sam.dgs.ca.gov/TOC/8300.aspx) |
| Change in Method of Accrual | [8793](http://www.sam.dgs.ca.gov/TOC/8700.aspx) |
| Closing Entries | [10650 - 10651](http://www.sam.dgs.ca.gov/TOC/10600.aspx) |
| Controller’s Accounts   * General * Year-End Accruals | [8800](http://www.sam.dgs.ca.gov/TOC/8800.aspx)  [8860](http://www.sam.dgs.ca.gov/TOC/8800.aspx) |
| Expenditures | [10210](http://www.sam.dgs.ca.gov/TOC/10200.aspx) |
| Federal Trust Funds | [17130](http://www.sam.dgs.ca.gov/TOC/17000.aspx) |
| Income   * General * From Investments * From Surplus Money Investment Fund * From Condemnation Deposits Fund | [8200](http://www.sam.dgs.ca.gov/TOC/8200.aspx), [10230](http://www.sam.dgs.ca.gov/TOC/10200.aspx)  [8284](http://www.sam.dgs.ca.gov/TOC/8200.aspx)  [8284.1](http://www.sam.dgs.ca.gov/TOC/8200.aspx)  [8284.2](http://www.sam.dgs.ca.gov/TOC/8200.aspx) |
| Prior Year Appropriation Adjustments | [10240](http://www.sam.dgs.ca.gov/TOC/10200.aspx) |
| Proprietary and Fiduciary Funds | [13400](http://www.sam.dgs.ca.gov/TOC/13400.aspx) |
| Revenue | [8210, 8290 - .7](http://www.sam.dgs.ca.gov/TOC/8200.aspx) |

# LIST OF YEAR-END REPORTS AND THEIR DISTRIBUTION 7951

(Revised 6/14)

The chart shown in the [7951 Illustration](NULL) lists the required year-end financial reports, their distribution, and applicable SAM references.

Departments are required to submit one certification letter per fund. Each certification letter must have an original signature of authorization and include the certification statement shown below.

I certify (or declare) under penalty of perjury that the data on the attached statements is true and correct; and that I have not violated any of the provisions of Article 4, Chapter 1, Division 4, Title 1, Government Code (commencing with Section [1090](http://leginfo.legislature.ca.gov/faces/codes_displaySection.xhtml?lawCode=GOV&amp;sectionNum=1090)).

Subscribed and executed this day of , 20 at , California.

Signature of Officer

Name and Title of Officer

The certification letter must include:

1. Date.
2. Department name and organization number.
3. Department mailing address and the name and e-mail addresses for the department Director and Chief of Accounting.
4. Fund name and number.
5. A list of the reports submitted. If there is nothing to report, note this on the certification letter as “no activity to report.”
6. Contact person, phone number, and e-mail address.
7. Certification statement signed by the officer responsible for fiscal administration.

# YEAR-END REPORT NO. 6, FINAL BUDGET REPORT 7961

(Revised 6/14)

At year-end, departments will prepare a Final Budget Report, Report No. 6. This report presents a summary status of appropriations including expenditures, encumbrances, and balances as of June 30 for each appropriation.

This report is not submitted to the [SCO](http://www.sco.ca.gov/), but is kept on file for year-end financial reporting and audit purposes, except for [CALSTARS](http://www.dof.ca.gov/accounting/calstars/) departments that submit automated statements. This report will be used to support past/prior year expenditures during the budget development process.

A sample of Report No. 6, Final Budget Report, is shown in the 7961 Illustration 1 and Illustration 2. Refer to SAM section 7940 for quarterly reporting.

# YEAR-END REPORT NO. 11, BANK RECONCILIATION 7967

(Revised 6/14)

This report will be prepared by departments in accordance with SAM section 7923 requirements for monthly bank reconciliations. Report No. 11 is not submitted to the [SCO](http://www.sco.ca.gov/), but it is kept on file with other year-end financial reports for audit purposes.

A sample of Report No. 11, Bank Reconciliation, is shown in the 7967 Illustration.

# YEAR-END REPORT NO. 15, 7976

**RECONCILIATION OF AGENCY ACCOUNTS WITH TRANSACTIONS PER STATE CONTROLLER**

(Revised 6/14)

This report assures the accuracy and completeness of a department's revenue and expenditure accounts reported on its year-end financial reports. The Report No. 15 presents a reconciliation of a department's nominal accounts, the 8000 and 9000 series general ledger accounts with transactions per the State Controller as of June 30. The fund administrator will also record in their accounting system and include on the Report 15 certain statewide assessments charged to the fund. Submit this report with other year-end financial reports to the [SCO](http://www.sco.ca.gov/).

A sample and instructions of how to complete Report No. 15, Reconciliation of Agency Accounts with Transactions per State Controller, is shown in the 7976 Illustration 1 and Illustration 2.

**REMITTANCES TO STATE TREASURY 8091**

(Revised 6/14)

Cash collected by state departments for revenue, reimbursements, or abatements is deposited into an approved depository bank within the centralized State Treasury System. See SAM section 8031 for approved depository banks. Cash must be remitted within 30 days following the date collected, unless more frequent remittances are required by law. Accumulated deposits of $25,000 will be remitted as soon as possible, but not later than the first day of the week following the collection.

Departments may use the following methods to remit funds:

* + Either the Report to State Controller of Remittance to State Account, form CA- 21A or Report to State Controller of Remittance to State Treasurer, form CA-21.
  + The Electronic Fiscal Input Transaction System ([eFITS](http://www.sco.ca.gov/ard_state_accounting.html)).

Form CA-21A

Form CA-21A (TC-47), also known as a remittance advice (RA) is required when cash has been deposited in the department's checking account and will be remitted to a fund in the State Treasury. Form CA-21A is available at: [http://www.sco.ca.gov/Files-](http://www.sco.ca.gov/Files-ARD/remittc_tc47.pdf) [ARD/remittc\_tc47.pdf](http://www.sco.ca.gov/Files-ARD/remittc_tc47.pdf) and may be submitted to the State Controller’s Office (SCO) via email to [FiscalControl@sco.ca.gov](mailto:FiscalControl@sco.ca.gov). Departments may design their own RA form with SCO approval prior to its use.

On form CA-21A, departments will enter its three-digit checking account number and a RA number, which is a unique five-digit number after the preprinted letter "R." Each checking account number must have its own department assigned range of RA numbers, which cannot be duplicated within the same fiscal year. Upon receipt of form CA-21A, the SCO issues a Controller's Receipt beginning with the prefix CRA, to record the reduction of cash in the department checking account and the corresponding increase to Cash in State Treasury.

Departments will record the remittance to the State Treasury via form CA-21A as a debit to general ledger account (GL) 1115, General Cash, Remittances in Transit. The CRA document will be recorded as a credit to GL 1115. See SAM section [7620](http://www.sam.dgs.ca.gov/TOC/7600.aspx) for GL descriptions.

Form CA-21

Form CA-21 (TC-30) use is limited to those instances when form CA-21A or the eFITS process is not an option.

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**REMITTANCES TO STATE TREASURY 8091** (Cont. 1)

(Revised 6/14)

Departments will submit form CA-21 to the State Treasurer’s Office ([STO](http://www.treasurer.ca.gov/)) identifying the appropriate fund to be increased. If the cash has been deposited into the department’s checking account, the department will submit an agency check payable to the STO, along with form CA-21 which is available at: [http://www.sco.ca.gov/Files-](http://www.sco.ca.gov/Files-ARD/remittc_tc30.pdf) [ARD/remittc\_tc30.pdf](http://www.sco.ca.gov/Files-ARD/remittc_tc30.pdf). Departments may design their own RA form with SCO approval prior to its use.

On form CA-21, departments will enter a RA number, which consists of two alphabetical characters assigned by the [SCO](http://www.sco.ca.gov/), and six numeric characters from the department's own assigned range of RA numbers.

Upon receipt of the CA-21 document, the SCO issues a Controller's Receipt document beginning with the prefix CR to record the increase to Cash in State Treasury.

Department’s will record the remittance to the State Treasury as a debit to GL 1150, Cash in Transit to State Treasury. The CR document will be recorded as a credit to GL 1150. See SAM section [7620](http://www.sam.dgs.ca.gov/TOC/7600.aspx) for GL descriptions.

When cash is received directly into the State Treasurer's demand account, such as wire transfers, departments will complete form CA-21 or Report of Deposit form and will send it directly to the STO without a department check.

eFITS

Departments, authorized by the SCO, may use the [eFITS](http://www.sco.ca.gov/ard_state_accounting.html) process when cash has been deposited in the department's checking account and will be remitted to a fund in the State Treasury. Information on the eFITS method of remittance is available at: <https://www2.sco.ca.gov/eFITS_Enterprise_ApplicationWeb/static/eFITSFAQ.pdf>.

In the eFITS system, departments will enter its three-digit checking account number and a five-digit RA number after the preprinted letter "R." Each checking account number must have its own department assigned range of RA numbers, which cannot be duplicated within the same fiscal year. The SCO issues a Controller's Receipt beginning with the prefix CRE to record the reduction of cash in the department’s checking account and the corresponding increase to Cash in State Treasury.

Departments will record the remittance to the State Treasury via eFITS as a debit to GL 1115, General Cash, and Remittances in Transit. The CRE document will be recorded as a credit to GL 1115. See SAM section 7620 for GL descriptions.

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# CHAPTER 8400 INDEX (Cont. 2)

|  |  |
| --- | --- |
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# INVOICES FOR CONTRACTUAL SERVICES 8422.104

(Revised 6/14)

Invoices for contractual services and space rental will show the applicable contract or lease number, or other data, to allow positive identification of an existing contract or lease. The State Controller's Office ([SCO](http://www.sco.ca.gov/)) will examine the contracts to determine whether the payments are in accordance with the contract terms. All contracts are filed with the SCO upon execution in accordance with SAM Chapter 1200.

Original authorizations by lessors to make payments to someone other than the lessor will be forwarded to the SCO prior to scheduling invoices requiring such payment.

Leases subject to Department of General Services ([DGS](http://www.dgs.ca.gov/dgs/Home.aspx)) approval will secure its notification of approval before scheduling invoices to the new payee.

Departments will attempt to obtain invoices in advance for all payments to be made under contracts or leases which provide for fixed monthly or quarterly payments, other than for space rentals. As each payment becomes due, the applicable invoice will be removed from the file and scheduled for payment. If the lessor or contractor's names are not on printed billheads, the invoice should be checked for signatures of the lessor or contractor. Remove remaining invoices for canceled contracts or leases.

[Victim Compensation and Government Claims Board](http://www.vcgcb.ca.gov/) section 677(f) permits space rental lease payments without an accompanying invoice if the applicable lease is on file with the SCO. A listing of the lease payments to be made may be submitted instead of individual invoices. The listing must include the lease number, name of lessor/assignee, location of leased property, amount, period covered by payments, and due date of the payment. The listing format must be approved by the SCO, Audits Division prior to submitting the listing for payments.

Changes (payee, amount, address, etc.) to a space rental lease must be received by the SCO, Audits Division by the 22nd of the month in order to make the change effective by the first of the succeeding month.

Invoices for payment on oral agreements should describe fully the nature of the services rendered and the terms or conditions under which payment is to be made and a notation that there is no written agreement.

For one-time payment contracts, a copy of the contract will be attached to the invoice at the time the claim schedule is sent to the SCO. This will facilitate the audit and expedited payment of the claim.

**SAM—GENERAL LEDGER ACCOUNTS**

**ACCOUNT NO. 2740, INVENTORY OF SURVEYED EQUIPMENT 10438**

(Revised 6/14) Normal Balance: Debit

Purpose: This account shows the estimated sales value of surveyed equipment at the end of any fiscal year in which the new equipment has been purchased but the old item, budgeted to be traded-in, and has not been sold on or before June 30. The purpose of this account is to give effect to uncompleted equipment transactions in the department's final budget report and to show salable surveyed equipment as fund assets in other final year-end financial reports furnished to the [State Controller's Office](http://www.sco.ca.gov/). It will be used only by those funds where the receipts from the sale in lieu of trade-in are to be abated to a Budget Act appropriation or other appropriation specific in amount.

Subsidiaries: Property Ledger; File of Uncleared Survey Reports Normal Entries:

|  |  |  |  |
| --- | --- | --- | --- |
| Entry No. | Debits | Entry No. | Credits |
| A-7 | Estimated sales value of surveyed equipment is recorded as of June 30. | A-7R | Semi-reverse entry No. A-7 as of July 1. |

**ENTRY NO. A–1, GENERAL CASH IS ADJUSTED FOR**

**UNDEPOSITED RECEIPTS 10600**

(Revised 6/14) Nature of Transaction:

The General Cash account is adjusted for undeposited receipts as of June 30 so the actual amount of general cash will be shown in the department’s centralized State Treasury (CTS) account with the [State Treasurer](http://www.treasurer.ca.gov/). (This entry is made as of June 30 and reversed as of July 1.)

Journal Entry for General Ledger Accounts:

Debit:

1190 Cash on Hand

Credit:

1110 General Cash

Source Document:

Analysis of General Cash Receipts Register at June 30.

Explanation:

During the fiscal year Account No. 1110, General Cash, shows all cash receipts deposited and to be deposited in the General Cash account. This adjusting entry is made in the General Ledger as of June 30 each year to reduce, for year-end financial report purposes, the balance of the General Cash account to the cash (including deposits in transit) in the department’s CTS account with the State Treasurer.

The General Cash Receipts Register will be analyzed to determine the amount of general cash received by June 30 but not deposited as of that date.

# ENTRY NO. A–8, ACCOUNTS PAYABLE ARE ACCRUED 10608

(Revised 6/14)

# Nature of Transaction:

The A-8 entry accrues expenditures for valid encumbrances (commitments) and obligations for the fiscal year just ended. This entry is dated and posted as of June 30.

# Journal Entry for General Ledger Account:

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Debit: |  | | | |
| 5350 | Reserve for Encumbrances | | a/ | |
| 9000 | Appropriation Expenditures | | b/ | |
| 9893 | Prior Year Appropriations Adjustments | | c/ | |
| Credit: | |  | |  |
| 3010 | | Accounts Payable | | d/ |
| 3114 | | Due to Other Funds | | e/ |
| 3115 | | Due to Other Appropriations, Within the Same Fund | | f/ |
| 3210 | | Due to Federal Government | | g/ |
| 3220 | | Due to Local Government | | h/ |
| 3290 | | Due to Other Governmental Entities | | i/ |
| 6150 | | Encumbrances | | a/ |

a/ Balance of Accounts No. 5350 and 6150 as of June 30.

b/ Amount of valid encumbrances and obligations as of June 30 payable from appropriations available for encumbrance during the fiscal year just ended.

c/ Amount of valid encumbrances and obligations as of June 30 payable from prior year appropriations not available for encumbrance during the fiscal year just ended.

d/ Amount of obligations in b and c due to private entities and the total encumbrances in b and c.

e/ Amount of obligations in b and c due to other funds.

f/ Amount of obligations in b and c due to other appropriations, within the same fund

g/ Amount of obligations in b and c due to the federal government. h/ Amount of obligations in b and c due to local governments.

i/ Amount of obligations in b and c due to other governmental entities.

In addition, if any encumbrances will be funded by a reimbursement, the reimbursement may be accrued in one asset account, Accounts Receivable – Reimbursements, General Ledger Account 1312. See SAM section [7952](http://www.sam.dgs.ca.gov/TOC/7900.aspx).

(Continued) (Continued)

# Source Document:

Encumbrance documents (e.g., contracts, purchase orders, purchase estimates, Public Works Project Authorization and Transfer Requests, etc.)

# Explanation:

This entry is made to accrue the amounts for (1) valid encumbrances (goods/services not received/performed as of June 30), and (2) obligations (goods/services received/performed as of June 30 but not yet scheduled for payment).

To determine the amounts for valid encumbrances and obligations, all unliquidated encumbrances are reviewed to identify whether they are valid encumbrances or obligations of the year just ended, as defined by the Victim Compensation and [Government Claims Board](http://www.vcgcb.ca.gov/claims/) Rule 610 and described in SAM section [8340](http://www.sam.dgs.ca.gov/TOC/8300.aspx).

Contracts and purchase orders will be analyzed to determine that the amounts approximate the actual expenditures that will be incurred. Amounts will be adjusted at this time if appropriate, e.g., purchase estimates adjusted to amounts of related purchase orders, contract balances liquidated when final payment has been made on a contract, etc.

For multi-year agreements, departments must determine by June 30 the amount to encumber against the first fiscal year, in accordance with the budget plan when the agreement was issued. Any amounts not encumbered and not accrued to an appropriation during the period of encumbrance availability shall be paid from an appropriation that is available for encumbrance.

Many support and local assistance encumbrances remaining at year-end should be liquidated within a few months of the new fiscal year. Capital outlay encumbrances generally require more time to liquidate. Departments are instructed to closely monitor encumbrances to effect prompt delivery of requested goods or services and to ensure timely disencumbrances in instances where it is determined the goods or services will not be received/performed or will cost less than originally estimated.

Even though the unencumbered balance is not formally reverted in the appropriation accounts of the State Controller's Office, the remaining two years prior to actual reversion are strictly for the liquidation of encumbrances accrued as of the last date the appropriation was available for encumbrance and the payment of obligations, which are chargeable only to a prior year appropriation.

(Continued)

(Revised 6/14)

Any obligations that were not previously encumbered will be accrued. Any obligations of prior fiscal year appropriations that have not yet reverted will be accrued to the applicable fiscal year. In addition, any obligations of reverted appropriations will be accrued to a like appropriation of the fiscal year just ended. These procedures permit all valid obligations of state funds to be reflected in year-end financial reports.

Once the encumbrances and obligations have been determined, these amounts are recorded as (1) expenditures in the applicable appropriation accounts and (2) liabilities in the accounts which identify to whom the amount is due. See above detailed journal entry.

Accrual entry amounts will, at a minimum, be supported by the following: vendor name, document number or other reference (contract number, purchase order number, etc.), and entry date. Departments must retain supporting documentation and reports for audit purposes.

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