Information Technology Policies and Procedures Manual

A guide to the City’s goals, values, standards, policies, procedures and practices for the effective use of its IT resources.

city of san luis obispo
# Table of Contents

## Section 100  
**COUNCIL AND CITY MANAGER POLICIES**

### General Guidelines
- Information Technology Acquisition and Support 101-1
- Fiber Optic Communication Networks 105-1

### Electronic Communications
- Remote Access to the City’s Information Systems 120-1
- Electronic Mail Policy 123-1
- Internet Access and Use Policy 125-1
- Telephone Use Policy 127-1

### Public Access
- Electronic Village Concept 130-1
- Regional Network Consortium 132-1
- Web Policy 137-1

### Purchasing and Surplusing Computer Equipment
- Purchasing Computer Workstations, Laptops and Mobile Data Computers 160-1
- Disposing of Surplus Computer Equipment 163-1
- Employee Computer Loan Program 167-1

### Video Monitoring
- Video Monitoring Systems 175-1

## Section 200  
**IT STEERING COMMITTEE POLICIES**

- Training Strategy 205-1
- Hard Drive Software Installation and Support 225-1
- Network Application Installation 230-1
- Mobile Application Installation 231-1
- Fax Operation and Maintenance 280-1
- IT Disaster Recovery Plan 285-1

## Section 300  
**IT STANDARDS AND PRACTICES**

### Criteria for Significant “Off the Radar” Application Initiatives 301-1

### Computer Workstations
- General Standards 305-1
- Computer Laptop Standards 307-1
- Mobile Data Computer Standards 308-1
- CAD/GIS Computer Workstations 310-1

### Application Servers 315-1

### Printers
- System Printers 320-1
- Color Printers 325-1

### Software 330-1

### Shared Workstations: Cell Phones 340-1

### Passwords 350-1

### Data Storage for Recovery 355-1

### Request for User Set-Up or Change 360-1

### Voice Mail Greetings 370-1

### Voice Mail Automated Attendant 372-1

## Section 400  
**COMMITTEE AND GROUP MEMBERS**

- IT Steering Committee Members and Application Administrators 401-1
Information Technology Acquisition and Support

OVERVIEW

The effective use of information technology is one of the key strategies available to us in achieving our goals of improving organizational productivity, customer service and public access to City information. In accordance with the City’s adopted Information Technology Strategic Plan, the purpose of this policy is to establish an overall framework for guiding the growth and use of our information technology resources in accomplishing these broader goals.

ACQUISITION OF NEW SYSTEMS

Information Technology Strategic Plan

The acquisition and implementation of major systems should be accomplished by working from an established organization-wide priority list. The priority list should be for a four to five year period and evaluated at least annually, based on changing needs and technology. The most recent Information Technology Strategic Plan prepared for this purpose was adopted by the Council in March 2001.

Strategic Initiatives

While the Information Technology Strategic Plan sets forth a number of recommendations, the most significant strategic initiatives include:

- Information Technology Infrastructure Improvements
- Network Security
- Document Management
- Radio System Upgrade
- Public Safety Dispatch Console Replacement
- Public Safety Mobile Data Computer System
- Water and Sewer Telemetry System Upgrade

System Acquisition and Development Strategies

There are two basic strategies available to the City in acquiring and developing new information technology systems:

- Packaged Systems. Purchase “package” systems and applications that have been developed by third party vendors for use by a number of agencies, and as such, have demonstrated
reliability and performance in other organizations prior to their consideration for use by the City.

- **Locally-Developed Systems.** Develop custom systems and applications locally, either through contract programming or City staff.

The following is a summary of features associated with each approach:

### Acquisition and Development Strategies

<table>
<thead>
<tr>
<th>Local Development</th>
<th>Package System Acquisition</th>
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</thead>
<tbody>
<tr>
<td>- Application fully customized to meet local requirements.</td>
<td>- Package provides pre-defined functionality; changes should be limited to formatting issues.</td>
</tr>
<tr>
<td>- Relatively lower cost.</td>
<td>- Relatively higher cost.</td>
</tr>
<tr>
<td>- Ability to meet City programming and data base requirements.</td>
<td>- Selection criteria can include its ability to meet City data base standards.</td>
</tr>
<tr>
<td>- Design limited to local knowledge.</td>
<td>- Design reflects thinking of a number of agencies.</td>
</tr>
<tr>
<td>- Support limited to small, local organizations – often a single person.</td>
<td>- Support provided by the vendor as part of the package, with assistance by user groups.</td>
</tr>
<tr>
<td>- Changes in requirements can be identified and implemented locally.</td>
<td>- User groups and vendor can jointly develop modifications over time as needed to meet changing requirements.</td>
</tr>
<tr>
<td>- There are inherent risks in new development efforts:</td>
<td>- Ability to select system that is already operational, and conduct reference and background checks before acquiring.</td>
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<tr>
<td></td>
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</tr>
</tbody>
</table>
* Incorrect or incomplete design.  
* Faulty programming.  
* Incomplete or faulty testing.  |
| - Tendency to “pave the cow path” by programming to current City business policies, practices and procedures. | - Tendency to re-look at business policies, practices and procedures for improvement as part of the acquisition and implementation process. |

The City should consider the advantages and disadvantages of each approach on a case-by-case basis. In general, the primary strength of packaged systems is risk avoidance; and the primary strengths of local development are lower costs and ability to meet specific City requirements. As outlined in the information technology master plan, the following summarizes factors that should be considered in evaluating local development versus packaged system acquisition:

### Strategy Selection: Risk Assessment

<table>
<thead>
<tr>
<th>Low Risk</th>
<th>High Risk</th>
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<tbody>
<tr>
<td>Not Mission-Critical</td>
<td>Mission Criticality</td>
</tr>
<tr>
<td>Familiar Technology</td>
<td>Technical Complexity</td>
</tr>
<tr>
<td>Single Department</td>
<td>Organizational Complexity</td>
</tr>
<tr>
<td>Small, Simple Data Base</td>
<td>Application Size</td>
</tr>
</tbody>
</table>

- **Local Development**
- **Package System Acquisition**

101-2
Information Technology Acquisition and Support

In summary, those systems where the risk and consequence of failure are relatively low are candidates for local development; and those systems where the risk and consequence of failure are high should be acquired as a package from a vendor with: a track record for success; the financial capacity to provide adequate support; and a sufficient user base to generate support during a transition period should the vendor no longer continue in business.

Centralized Decision-Making for All New Systems

Decision-making to acquire and implement new information technology systems or applications is centralized. Whether this decision is made by the IT Division, IT Steering Committee, City Manager or Council depends on the scope and cost of the application or system.

Departments planning to acquire or develop new systems or applications need to prepare an implementation plan that addresses the following issues:

- Consistency with current software, hardware and infrastructure standards.
- User support and training.
- Installation and operational support needs from Information Technology.
- Plan for ongoing application support.
- Resource requirements.
- Impact on the City’s technology infrastructure: Will network traffic dramatically increase? Will system performance be affected? Will new technology or system upgrades be required?

The Information Technology Division (IT) will review the plan to ensure that it will not require new technology or adversely impact other users or system performance. Additionally, the requesting department and IT will work together in preparing and agreeing upon a plan and schedule for installing the new application.

New System Implementation and Support

The City will only acquire new equipment, applications or systems if the skills and resources to effectively implement, manage and support them are available. As stated in the 1995 information technology master plan, installing new systems but not adequately supporting them afterwards is a blueprint for failure.

Accordingly, the following issues will be fully considered and evaluated before acquiring or developing major new systems:

- The costs (both initial and ongoing) and benefits of the new system.
- Hardware and software compatibility.
- Availability of adequate implementation, maintenance and support resources.
- Training requirements.
Centralized Versus Departmental Acquisition and Support Responsibilities

In general, user departments are responsible for managing and supporting their applications; and IT is responsible for managing and supporting the technical environment in which these user applications operate (workstations, application servers, printers, data communications, local and wide area networks, operating system and desktop software).

- **Application Support.** Responsibility for acquiring and supporting applications that meet focused functional requirements – such as public safety, geographical information systems, building permits, telemetry and utility system maintenance – generally lies with the user department. This reflects the fact that users are the ones best positioned to evaluate new applications and to support them: they are the ones who understand and use these systems in conducting the City’s business, and they are the ones who use the information it provides.

In the case of organization-wide applications such as word processing, spreadsheets, presentation graphics and electronic calendaring, responsibility for acquiring and supporting applications generally lies with IT.

- **Technical Support.** Responsibility for technical support generally lies with IT. This reflects the City’s increasing use of integrated systems, local and wide area networks, more complicated desktop operating systems, standard office automation software, and sharing of data and files. In this case, providing specialized technical support from a unit organized, staffed and trained for this purpose is a more effective use of limited resources than relying upon departmental staff to perform these functions.

For major applications, the managing department and IT should enter into a Service Level Agreement (SLA) to clearly define roles, responsibilities, service scope and performance standards for both partners.

Compliance with Software Licenses

All software will be used in conformance with license agreements and copyright laws.

ROLES AND RESPONSIBILITIES

City Council and City Manager

- **Policies.** The Council is responsible for adopting organization-wide information technology policies. These are generally set forth in the Information Technology Strategic Plan. The City Manager recommends to the Council new policies and revisions to existing policies.

- **Long-Term Plans.** The Council is responsible for adopting a comprehensive, organization-wide master plan that sets overall direction, purpose and priorities for the City's development and use of information technology resources. The City Manager has overall responsibility for developing this plan, presenting it to the Council for their approval, and for ensuring implementation after its adoption.
Information Technology Acquisition and Support

Resources. The Council is responsible for allocating the resources necessary to acquire, manage, operate and maintain the City's information technology systems. The Council also approves specific acquisitions consistent with the City's purchasing policies. Based on an approved priority list, the City Manager makes specific recommendations to the Council regarding the allocation of resources and system acquisitions.

Organization. The City Manager is responsible for the effective management and operation of the City's information technology activities. To assist him or her in fulfilling this responsibility, the Information Technology Steering Committee, Application Administrators Group, and User Groups are established under this policy, and their responsibilities as well as those of City departments are identified. The City Manager may modify the membership and responsibilities of these groups and departments as she or he deems appropriate in achieving the overall goals and objectives set forth in this policy as well as in the adopted Information Technology Strategic plan.

Information Technology Steering Committee

Responsibilities. The IT Steering Committee is responsible for:

- Coordinating development and implementation of the information technology strategic plan; monitoring progress in achieving plan goals and objectives; and recommending plan updates to the City Manager on a periodic basis as appropriate.

- Approving information technology standards and policies, including voice, data and wireless communication systems, as recommended by the Application Administrators Group, User Groups or IT staff that would have significant organizational or budgetary impacts.

- Approving operational policies and procedures, consistent with the plans and policies set forth in the adopted Information Technology Strategic Plan.

- Reviewing departmental proposals for new applications and making recommendations to the City Manager for inclusion in the priority list as appropriate.

- Approving organization-wide training strategies.

- Monitoring and overseeing the implementation and performance of existing and proposed information technology applications, including major capital projects.

- Facilitating research into new technology opportunities.

Membership. The IT Steering Committee has six members as follows:

- Assistant City Manager, who serves as the Committee Chair
- Three department heads who will serve for a two year period; one of these should be from the public safety departments (police or fire)
Information Technology Acquisition and Support

- Chair of the Application Administrators Group
- Director of Finance & Information Technology

**Staff Support.** IT staff are responsible for providing staff support to the committee.

**Meetings.** The IT Steering Committee will meet as necessary to fulfill its responsibilities. With the concurrence of their department head, other employees interested in these issues are welcome to attend these meetings and offer their comments and advice. Agendas and other meeting materials will be distributed to members of the Application Administrators Group as well as to any other staff members requesting this information.

**Department of Finance & Information Technology Responsibilities: IT Division**

**Policies and Standards.** Recommending and implementing information technology policies and standards; assuring that organization-wide information system needs are effectively served pursuant to established organization-wide priorities; assisting in establishing organization-wide priorities for new system acquisitions; ensuring compliance with software copyrights and licensing agreements; protecting the City’s information technology systems from unauthorized use or access; and providing staff support to the IT Steering Committee and other technical/user groups.

**New Systems and Applications Installation Support.** Taking lead responsibility for planning and managing the installation of new organization-wide systems and applications; and assisting operating departments in planning and managing the installation of new systems and applications for more specialized functions.

**Network and Office Automation Support.** Assuring adequate support, maintenance and training for organization-wide information technology systems; providing advice and assistance to departmental application administrators; and serving as system administrator for all local area networks (LAN) and the wide area network (WAN). More specifically:

- IT staff have the primary responsibility for supporting (including maintenance, repairs, replacement, data communication, and training) all organization-wide hardware and software standards that are installed on workstations or connected to LAN's. This support includes operating and system software, but excludes specific departmental data, files, reports or applications that may use these software packages.

- Operating departments are responsible for managing and supporting all specialized applications (including software, hardware, data communications and training) whether provided on a stand-alone, network or other file server basis.

- On a case-by-case basis, IT staff may support departmental applications when requested by the department, recommended by the IT Steering Committee and approved by the City Manager.
Information Technology Acquisition and Support

- **Other Electronic Systems.** Managing the City's other electronic systems such as copiers, telephones and voice mail.

**Operating Department Responsibilities**

- Utilizing existing information technology systems and applications in an efficient and effective manner.
- Identifying existing and future system needs.
- Assisting in establishing organization-wide priorities for new system acquisitions.
- Assuring the full use of existing equipment and software prior to developing requests for additional acquisitions.
- Managing and supporting specialized departmental applications.
- Appointing an application administrator for each of their major departmental systems.

**Application Administrators**

Each major application should have an “application administrator” who has the lead responsibility for managing the application.

*What is a “major” application?* Not all applications require formally designating an administrator, and the need to do so will change over time. Department Heads are responsible for making this determination. Factors to consider in determining if a formally designated application administrator is necessary include:

- It is a “mission-critical” application – its use is essential for day-to-day operations.
- The application is used by more than one department.
- Data is generated or entered by more than one department.
- There are complex data base creation and maintenance issues.
- It has unique or complex technical support needs.
- The application interfaces with other major systems or applications.
- There are a significant number of users who require ongoing training and support.
Responsibilities. Application Administrator responsibilities include:

- Identifying application functional requirements.
- Managing application installations and upgrades.
- Assisting IT staff in developing technical standards as needed for the application.
- Working closely with third-party “packaged system” vendors in support issues and product enhancements.
- Assuring effective use of the system by users.
- Managing databases.
- Coordinating user training.
- Forming a “users group” to resolve problems and assist with training, when appropriate.
- Serving as a member of the Application Administrators Group.

Application Administrators Group

Responsibilities. This group is responsible for:

- Advising the IT Steering Committee and IT staff on technical issues related to administering their applications.
- Assuring effective coordination with other administrators on applications that cross departmental lines.
- Reviewing technical standards for specialized applications; in the case of application standards with significant organizational or budgetary impacts, recommending changes to the IT Steering Committee.
- Assisting in developing information technology plans, policies, priorities and resource allocations.
- Developing strategies for creating and maintaining effective application user groups.
- Selecting a Chair to facilitate group meetings and to serve on the IT Steering Committee.

Membership. This group is composed of all formally-designated application administrators as well as the Information Technology Manager.

Meetings. The Application Administrators Group will meet as necessary to fulfill its responsibilities. With the concurrence of their department head, other employees interested in these issues are welcome to attend these meetings and offer their comments and advice. Agendas and other meeting materials will be distributed to IT Steering Committee members as well as to any other staff members requesting this information.
Application Users Group

**Responsibilities.** User groups for each major application may be created with the following responsibilities:

- Working with their application administrator to ensure that end-user needs are being met.
- Recommending new standards, applications, system changes or training programs that would improve application performance or staff productivity.
- Advising on the overall implementation and management of the application.
- Working with their application administrator in developing strategies for creating and maintaining an effective users group.

**Membership, Organization and Meetings.** The membership and organization of each application users group will vary from application based on their unique needs and interests. It is the responsibility of each application administrator to develop a plan for creating and maintaining an effective users group for their application. These plans should be prepared with the assistance of the user group, and distributed to all application users.

- Originally approved by the City Manager on January 28, 1998
- Revised by the City Manager on October 23, 2002
- Revised by the City Manager on January 20, 2010
CITY OF SAN LUIS OBISPO

FROM: Michael McCluskey, Public Works Director

SUBJECT: Fiber Optic Communication Networks

CAO RECOMMENDATION

Conceptually approve a strategy for creating a City Fiber Optic Network

DISCUSSION

In August of 1993 the first fiber optic network line was installed connecting City Hall with 955 Morro Street, the parking garages at Marsh and Palm, and the Parks and Recreation Department at 860 Pacific Street. As a result of that connection, substantial increases in communication speeds and efficiency were achieved by all employees and operations so connected. Additionally cost savings occurred, in that existing phone systems which had previously been used for communications systems connections were discontinued.

From that beginning, a very elementary form of fiber optic master planning was initiated. It was realized that a fiber optic network which connected all City facilities would allow instantaneous communication amongst all voice and data communications, with the ability in the future to add video transfer capabilities. While the initial installation was done in a joint trench with a City owned water line project, it was also realized that other City capital improvement projects would be forthcoming at which time the opportunity would arise to place fiber optic conduits during that construction project. By selecting key capital improvement projects for installation of fiber optic conduits, a network of conduits could be in place that would eventually connect all City facilities.

During the summer of 1995, contacts were made with the San Luis Obispo Unified School District. The School District wished to have a fiber optic network interconnecting all its school facilities and volunteered to work with the City in a cooperative manner, and likewise the City volunteered to work with the School District in a cooperative manner to allow the same conduit to interactively connect School District facilities and City facilities.

At the same time as staff contacted the School District, initial contact was made with officials of San Luis Obispo County. The County felt an advantage to being connected to the City Hall from its Courthouse facilities, but that no other advantages could be realized with the remainder of its facilities. Thus, City staff began working cooperatively with School District staff to formulate ideas and plans linking capital improvement projects with fiber optic conduit placement. The School District has since negotiated a fiber optic contract with Sonic Cable Company. City staff learned of this contract only after the District and Sonic's plan became public. In a followup contact with School officials, they have indicated their intention to involve other agencies once the proposal with Sonic is fully resolved.
To date a number of installations have taken place with various projects, and a number of installations are either planned or in the planning stage for installation. A complete network is nearly planned. Some "gaps" in the network have been identified, as some areas of town simply do not have upcoming capital improvement projects. Until specific fiber optic projects are built, or capital improvement projects are identified, these will remain as gaps in a future network.

A map showing the existing and proposed fiber optic conduit locations is attached as Exhibit A. Existing conduits are shown, as well as future conduit installations associated with known capital improvement projects. Areas where no known capital improvement project are located, where fiber connections will be needed, are identified as "gaps". A description of the existing conduits and future known conduits is also shown on Exhibit A and are marked 1-22; a description of the gaps identified are described by letters A-E. As can be seen from the timing associated with the known projects, it is anticipated that major City facilities would be linked via fiber optics by the year 1998. However due to the remaining gaps which would be in existence at that time, all City facilities would not be totally interconnected. Although not requested or anticipated at this time, certainly at some future date there will arise the need for a specific capital improvement project to complete specific gaps so as to complete the network and tie all City facilities together.

Future connections to other government bodies such as Cal Poly, Caltrans, Water Quality Control Board, etc. should be a goal of a future community-based network. A great benefit of such interconnection, besides easier communication, would be the sharing of GIS files which are very large and often redundant. However, careful attention will need to be directed to assure each agency full security of its information and data before such connections are made.

Staff believes that the City is pursuing a wise policy of slowly and steadily adding other City facilities to the fiber network as economically as possible, via combining fiber optic conduits with selected capital projects. There is no need for an immediate connection, but a general recognition that this is the communication pathway of the future and the City needs to plan for it.

No formal Council action is requested at this time, other than to concur with strategy and philosophy to date. At some future date, funding for a specific fiber capital project to close an identified gap may be requested.

FISCAL IMPACT

Making a fiber optic system operational involves three components: a) conduit which carries fiber cable; b) fiber cable from site to site; and c) equipment at each site to transmit and receive the information. Due to the incremental approach/philosophy, the cost of conduit installation is usually just the cost of the conduit itself; as trenching, backfill and pavement repair costs are borne by the main project. Because sites are added one at a time, the amount of actual fiber cable (and its cost) are minimized and only one read/receive unit is needed since that site is tying into an established system. Most costs to date have been borne by the general fund, while significant contributions have been made by the water, sewer, and parking enterprise funds.
CONDUIT - NEW-PART OF LAUREL & JOHNSON SIGNAL PROJECT SUMMER 96
CONDUIT - EX-PART OF JOHNSON PARK PROJECT SUMMER 95
CONDUIT - NEW-PART OF SUTHERLAND CENTER REID SUMMER 96
CONDUIT - NEW-UNKNOWN
CONDUIT - NEW-PART OF SCHOOL DISTRICT REID SINSHEIMER SCHOOL
CONDUIT - EX-PART OF PHONE CO PROJECT TO SCHOOL MAINTENANCE FACILITY
CONDUIT - NEW-PART OF BIKE PATH PROJECT SUMMER 96
CONDUIT - NEW-PART OF JENNIFER STREET BRIDGE SUMMER 96
CONDUIT - NEW-PART OF SIGNAL INTERCONNECT PROJECT C/T SUMMER 96
CONDUIT - EX-PART OF CLARK LANE PROJECT JAN. 96
CONDUIT - NEW-PRASS RD. OVERLAY SUMMER 96 OR 97
CONDUIT - NEW-PART OF BOWEN WATER PROJECT 1994
CONDUIT - EX-PART OF P & R ADMINISTRATION BLDG WINTER 95-96
CONDUIT - NEW-PART OF SIGNAL INTERCONNECT PROJECT C/T SUMMER 96
CONDUIT - NEW-PART OF U.D. NO SUMMER 97
CONDUIT - NEW- PART OF WATER TRANSMISSION PROJECT SUMMER 97
CONDUIT - NEW-DATIC UNKNOWN CALIF. MILE TO MONTEREY
CONDUIT - NEW-PART OF CITY/MA SIGNAL INTERCONNECT PROJECT SUMMER 96
ALTERNATE FROM MILL TO GROVE
CONDUIT - NEW- PART OF TK ANNEXATION TIME unknown
CONDUIT - NEW-PART OF WATER RE-USE PROJECT SUMMER 1999
CONDUIT - NEW-PART OF WATER RE-USE PROJECT SUMMER 1999
CONDUIT - EX-NEW PLACEMENT BY FISHER BY IS STAFF SUMMER 96?

CITY FACILITIES ▲ SCHOOL FACILITIES ○ OTHER PUBLIC FACILITIES

CONDUIT EXISTING CONDUIT PLANNED

HIGHLANDS GAP-POSSIBLE SPECIAL PROJECT NEED C/P OK
P & R TO FC #1 GAP-ROUTE UNKNOWN-POSSIBLE U.D. #14 BROAD ST.
FC #1 TO BIKE PATH GAP -ROUTE UNKNOWN
HIGHUARD GAP-POSSIBLY 30 WITH CITY FORCES?
BIKE PATH PHASE II GAP - CONNECT TO TRANSIT CENTER?

105-4
Remote Access to the City’s Information Systems

PURPOSE

Remote access to and from the City's computer systems should occur under guidelines that are incorporated into the Information Technology policies and procedures. The remote access policies outlined below are intended to establish a framework for the use of remote access options organization-wide.

AUTHORIZED USE

Council Members, Department Heads and Information Technology (IT) staff are specifically authorized to have remote access to the City's network. Access by other staff members requires the approval of the Department Head and the concurrence of the Information Technology Steering Committee Chair. Any significant use of remote access for “telecommuting” must be approved by the City Manager.

SECURITY

The following practices are intended to provide reasonable, but not absolute, safeguards against unauthorized access to the City's computer systems:

- **Communications Software.** All communications shall be conducted via password protected and encrypted communications software that meets the standards established by IT.

- **Passwords.** All users of the City's computer systems must be issued a login name and password. The City standard login name is first initial and last name. Passwords are a confidential sequence of letters and numbers. Because passwords are the key to system security, which becomes an even greater issue when remote access is provided, it is essential that they are not disclosed or utilized by other persons. All passwords will be changed every six months. Disclosure of passwords (or the use of an unauthorized one) may result in terminating access (remote or local) to the City's network, and depending on the severity of the outcome of the disclosure, may result in disciplinary action, including termination.

SUPPORT RESPONSIBILITIES

- **Information Technology.** IT staff are responsible for: establishing standards for remote access communication software and modems; installing computers and communication software for Council Members; and providing communication software for other approved remote access users.
Remote Access to the City’s Computer Systems

- **Application Administrators.** On a case-by-case basis, Application Administrators may take the lead role in installing and supporting remote access for their applications. This will be mutually agreed upon between IT staff and the operating department.

- **Departments.** Departments are responsible for the costs of purchasing communication software, and for approving employee access to the network. In the case of Council Members, Administration is responsible for providing training in accessing the City Hall local area network as well as the use of standard City office applications.

**USER RESPONSIBILITIES**

- **Council Members.** Each Council member may use a City-owned computer for remote access. At the end of their term, Council members will return the computer and communication software to the City.

- **Staff.** Users who own a computer and are authorized to have remote access may login to the City's local area network. Users should contact IT staff to determine if their home computer has sufficient capacity to perform satisfactorily when connected to the City’s network. Users’ home computers must also meet minimum security standards set by IT. Any other costs associated with installing remote access as well as the on-going maintenance, repairs, and upgrades of the remote computer are the responsibility of the individual user. At the end of employment with the City (or termination of remote access privileges), the communication software must be returned to the City.

- **All Users.** Each remote user will have generally the same level of access to programs and files as they would while on site. As noted above, unauthorized access or improper system utilization may result in terminating access (remote or local), and depending on the severity of the outcome of improper use, may result in disciplinary action, including termination.

- *Originally approved by the Council on July 20, 1993*
- *Amended by the Council on January 4, 1994*
- *Amended by the IT Steering Committee on June 26, 1997 to reflect changes in organizational responsibility for information technology support*
- *Amended by the City Manager on July 23, 2009*
- *Revised by the City Manager on January 20, 2010*
Electronic Mail Policy

OVERVIEW

Electronic mail (email) can be a very effective way of sharing information with others, both inside and outside of our organization. However, because email often appears less formal than other forms of written communication, there is a tendency to forget that email messages are no less a part of “official city business” than any other hard-copy City correspondence.

The purpose of this policy is to set forth guidelines for using the City’s email system – whether internal to the City or with others via the internet – that retain its inherent value for enhancing information exchange while also assuring its appropriate use in conducting City business.

PURPOSE OF EMAIL

*The City’s email system exists solely for the purpose of conducting City business, and is not intended for personal use.*

All electronic data placed on the City’s information systems are the property of the City. Accordingly, employees should have no expectations of privacy in their email messages (or any other data files residing on City-owned hardware), whether sent or received. This includes any messages or files that users may designate as “private, personal or confidential” under the City’s software.

While email messages and other data files will not be routinely monitored, the City reserves the right for authorized staff to access and review all email messages and data files on the City’s information systems at any time. Reasons for doing so include:

- Retrieving lost data.
- Recovering from system failures or monitoring system performance.
- Complying with lawful requests for information.
- Ensuring that City information systems are being used in accordance with this policy.

*There are a number of circumstances under which email messages may be publicly disclosed.*

If disclosure of email messages (or any other data files) should be required under the Public Records Act or other lawful requests for this information (despite the designation of any message as “private” or “confidential”), the City shall not be liable for this disclosure in any way. In short, the City’s information systems do not provide any guarantee of personal privacy protection, and employees should use them with this limitation in mind.
**Limits to Access.** While the City reserves the right to access and review all data on its information systems, no employee – including system administrators, other information technology (IT) support staff or an independent contractor – is allowed to access email or other data files solely for the purpose of satisfying idle curiosity about the affairs of others.

**PROHIBITED USES OF EMAIL**

Since our email system exists solely for the purpose of conducting City business, good judgment and common sense should prevail at all times regarding its appropriate use. Under this standard, it is not possible to list all of the allowed and prohibited uses of email. However, the use of City email is expressly prohibited whenever it would:

- Compromise the integrity of the City and its business operations in any way.
- Break the law by sending chain letters or copies of documents in violation of copyright laws or by committing any other illegal acts.
- Contain offensive, abusive, threatening or obscene language or graphics.
- Violate the City’s diversity or sexual harassment avoidance policies by including content that is sexually explicit or could be construed as discriminatory based on race, national origin, sex, sexual orientation, age, disability, or religious or political beliefs.
- Advertise or promote commercial ventures, religious beliefs or political causes.
- Result in private gain or advantage for the employee (such as conducting business related to economic interests outside of City employment); or violate the City’s ethics policy.

**Personal Use of Email.** There may be times when email messages of a more personal nature may be appropriate, such as notifying fellow employees about births, deaths and illnesses. There are also times when providing or receiving information about people and events outside of the City organization may be appropriate; however, these should be few and far between. When considering the appropriateness of such use, *ask yourself: are the City’s mission, goals and values advanced by this communication?* If in doubt, ask your Department Head or the Human Resources Director for guidance.

**ETIQUETTE**

Because of its “real-time” nature, there are some “etiquette” distinctions that should be made in using email over other forms of written communication:

- **Share information, but avoid arguing.** Email is very effective for sharing information, but it is not very effective in resolving conflicts or differences of opinion. Don’t argue over email. Whenever discussion is required in reaching a decision, the telephone or face-to-face communication should be used.
Electronic Mail Policy

- **Don’t hide behind the keyboard.** Do not fall to the temptation of using email to communicate bad news and avoid difficult face-to-face discussions. Some things you just have to do in person. If you are having conflicts with someone, this requires a more personal form of communication in resolving differences.

- **Use humor and sarcasm with great care.** These can be very easily misunderstood without the benefit of body language or tone of voice. “Emoticons” (simple keyboard graphics intended to present your “emotions” – happiness, sadness, wry humor – to the recipient through keystroke “icons,” thus the term “emoticons”) can often help in conveying intended moods and tone. However, these should not be used in place of good judgment about the proper tone or content of your message.

- **Don’t be hasty – avoid “flaming.”** Spontaneity is another benefit of email – but it’s also a curse. If a message generates negative feelings, set it aside and re-read it later. Don’t rule out the possibility that this is a misunderstanding, which is common in email because of the lack of physical cues. On the other hand, just as unintended “tone” can be a problem (I didn’t mean to make fun of you and hurt your feelings), *intended* tone can also be a problem (I did mean to make fun of you and hurt your feelings). You need to watch the tone of an email message as closely as you would a memo written on paper. Anger, frustration and derogatory comments about others are never appropriate responses to convey via City email. As discussed above, these types of concerns (while they may at times be legitimate in the workplace) need to be communicated in more personal forms.

- **Read and respond to email on a timely basis.** You should read your email (both internal and external) and respond to it on a timely basis as you would with any other hard-copy correspondence or phone messages.

- **Don’t forget it is in writing.** Never put into an email something you would not put into a hard-copy memorandum. The informality of email is part of its convenience. But depending on how it was saved by you (or the recipient), it can become a permanent record of a written communication – and more easily retrieved than a hard-copy memorandum. Further, email may be subject to disclosure as a public record. In short, just because you’ve deleted and forgotten it, doesn’t mean you won’t be seeing it again.

- **Be focused – avoid sending messages to “everyone.”** While there may be times when “All City Employees” is the right audience, be sure to ask yourself: is this truly something “everyone” needs to know? Send your email messages only to those who truly need to receive them.

- **Do not use email for confidential information.** There is no such thing in email.

- **Grammar and spelling are important.** In any correspondence, proper grammar, sentence structure and spelling help the reader understand your message – so review your email messages for both structure and content before sending them. The City’s email software includes a spell check feature – so use it.

- **Be brief.** Long email messages can be difficult to read. Keep paragraphs short, and use lots of “white space” to enhance the look and clarity of email messages. Compose longer
Electronic Mail Policy

messages in Word, and then attach it as a file to your email. It will be easier for you to prepare with the added tools that Word offers, and it will be easier for the recipient to read.

- **Identify yourself in external email messages.** In an external email message, it is likely that the recipient will only be getting your user name, so be sure to include your full name, position, department and the City’s name somewhere in your message. (Outlook has a “signature” feature that makes this easy to do.)

- **Don’t use all capital letters in composing your message.** This is the electronic equivalent of SHOUTING.

RECORDS MANAGEMENT AND FILE MAINTENANCE

Under the Public Records Act, email messages are subject to the same records retention requirements as all other City documents. In many cases, email messages are either “non-records” or “transitory” documents (work-in-progress), and therefore are not subject to minimum records retention requirements. For file management and storage purposes, email messages that are non-records or transitory documents should only be retained for as long as needed. In most instances, this means deleting messages as soon as you have read them, and shortly after you have sent them.

However, depending on its purpose and record type, some email messages are subject to longer retention periods based on adopted schedules. In this case, email messages should be stored outside of Outlook, either by saving them to the appropriate network drive and folder; or printing hard copies of the messages and filing them in an appropriate hard copy file. The email messages themselves should then be deleted.

**How can you tell if the email message is a “non-record”, “transitory record” or a “record” subject to the City’s retention requirements?** The simple answer is: apply the same criteria you use every day in determining the retention requirements for the “hard copy” communications you receive and send. More information about the City’s retention schedules as well as definitions of records, non-records and transitory documents is provided in the City’s Records Retention Policy and Schedules (which is on the City’s Intranet). And if in doubt, contact the City Clerk’s Office for guidance.

Email Retention Procedures

Only six months after converting from GroupWise to Outlook in December 2006, data storage dedicated to Outlook files had grown to over 100 gigabytes by June 2007. Without a system-wide approach to file management, this would continue to grow without limits. The following sets forth standard procedures in implementing the City’s email records retention policy and managing data storage.

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**Practice Tip**

Think of email in your “virtual” in and out boxes the same way you do your “real” ones. How long do you keep items in your “physical” in box? And how long in your outbox?

If you need to retain documents in your “physical” in or out-box, do you keep them in these boxes? Or do you file them elsewhere (like in a file cabinet)?
Electronic Mail Policy

User Level

- For internal email, senders should insert links to their documents rather than directly attaching them to their email whenever feasible. This will significantly reduce storage space as well as facilitate making and keeping track of document changes by multiple recipients, which is often the reason for attaching documents. (Contact IT for more information on inserting document links.)

- Users should compress photos and large graphic files whenever possible; and compress them in documents and presentations whenever possible.

- The City limits the maximum size of individual email messages (sent and received) to 50 megabytes. However, users should avoid sending attachments larger than 10 megabytes to external email addresses. (Contact IT for suggestions on how to reduce the size of attachments, such as compression options and the use of zip folders.)

System Level

- All deleted items will be “finally” deleted from the Deleted Items Folder after 30 days.

- The email “stationery” feature for backgrounds (“themes”) will be disabled. Along with significantly reducing file storage requirements, in many cases it will make email easier to read and present a more professional image of the City.

- Files will not be saved in a “.pst” format: this file format was not developed for network systems, and as such, files saved in this format are subject to corruption.

- User mail boxes will be limited to 600 megabytes. The system will issue a warning at 550 megabytes. When the mail box limit has been reached, users will no longer be able to send out messages until the mail box size has been reduced. On a case-by-case basis as recommended by the Department Head where special circumstances exist, mail box sizes may be increased with the approval of the Director of Finance & Information Technology.

Managing Mailbox Size

Outlook provides a number of tools for managing your mailbox size within the 600 megabytes provided to all users. For example

1. Click on “Tools” on the toolbar and select “Mailbox Cleanup” from the drop-down menu. (Figure 1).
2. This will bring-up several options for viewing your mailbox in making decisions about the easiest way to reduce files (Figure 2.)

3. Selecting “View Mail Box Size” will show you the file size of various types of Outlook files, such as your in-box, calendar, tasks and sent items.

For example, in Figure 3, sent items account for large percentage of total storage (about 60% of the total); and deleted items account for 25%. Deleting sent messages that are six months or older (assuming that any that qualify as “records” have already been stored appropriately elsewhere) and cleaning-out deleted items will significantly free-up space.

**File Back-Up**

The Outlook Exchange server is backed-up nightly for 14 days. After this time, deleted files will not be recoverable.

**PUBLIC EMAIL DISTRIBUTION LISTS**

For user convenience, IT maintains a limited number of organization-wide (“global”) distribution lists on the City’s network. Beyond this, users can create both shared and personal distribution lists. For more information on how to use this feature, contact IT staff.

**Sending Email to “All City Employees.”** One of the global distribution lists created by IT is “All City Employees.” As noted above, this should be used sparingly, and only in cases where the information is truly applicable to all employees.

**EMPLOYEE RESPONSIBILITY**

- **General.** Each employee with access to the City’s information systems is responsible for understanding and following these guidelines. All such employees will sign a statement acknowledging that they have been provided with a copy of the City’s email policy, understand it, and agree to abide by it as a condition of being provided access to the City’s information systems and continuing to use them. Unauthorized or improper use of the City’s
Electronic Mail Policy

information systems may result in terminating access to them; and depending on the severity of
the outcome of unauthorized or improper use, may result in disciplinary action, including
termination.

■ Receipt of Inappropriate Email. If you receive an inappropriate email message under these
guidelines, please contact your Department Head or Human Resources Director.

■ System Security and Passwords. Each employee has a uniquely-assigned user name and
password for security purposes. While this cannot guarantee privacy, confidentiality or data
security, it is an important component of the City’s overall system protection. Passwords
should never be shared with others. This is especially important since employees are
responsible for the content of all messages sent via their user name.

SUMMARY

The use of email is an important and convenient communication tool for our organization. It
helps us do our work in an effective, efficient manner. However, because of its convenience,
email can be inappropriately used. The purpose of these guidelines is to ensure that common
sense, consideration for others and organizational purpose are embodied in our daily use of
email.

• Approved by the City Administrative Officer on October 2, 1997
• Revised by Information Technology on June 12, 2001
• Revised by the City Administrative Officer on September 20, 2007
• Revised by the City Manager on January 20, 2010
Internet Access and Use Policy

OVERVIEW

The Internet can be a very effective resource in gathering information needed to conduct City business; for this reason, the City provides employees with browsing access to it. However, as everyone knows who has ever logged on to it, “surfing the net” can be very addictive and time consuming. It’s easy to become absorbed with one link after another, and forget the original business reason for accessing the Internet and visiting a Web site.

In short, browsing access to the Internet can either be a major productivity boost or a major time waster, depending on its use. Accordingly, this policy sets guidelines for using City resources in accessing the Internet that retain its value for obtaining information while also assuring its appropriate use in conducting City business.

Using Internet Email. Guidelines for using Internet email are set forth separately in the City’s Electronic Mail Policy.

PURPOSE OF PROVIDING INTERNET ACCESS

The City’s Internet connection exists solely for the purpose of conducting City business, and is not intended for personal use.

Employees who want to have personal Internet email or access should contract for this from any number of non-profit or commercial providers, and use it at home. However, limited and appropriate personal use of the City’s Internet connection is allowed, provided that:

- It does not occur during an employee’s assigned working hours.
- It is used in accordance with all other guidelines and restrictions set forth in this policy.

USE AND ACCESS GUIDELINES

Use of the City’s Internet Connection

Good judgment and common sense should always prevail regarding the appropriate use of the City’s Internet connection. Under this standard, it is not possible to list all the allowed and prohibited uses of the City’s Internet connection. However, use of the City’s Internet connection for any reason is expressly prohibited under the following circumstances:

- Compromises the integrity of the City and its business operations in any way.
- Commits any illegal act.
Internet Access and Use Policy

- Violates the City’s Anti-Discrimination and Unlawful Harassment Policy.
- Results in private gain or advantage for the employee (such as conducting business related to economic interests outside of City employment), or violates the City’s Ethics Policy.

When possible, Information Technology (IT) will block accesses to sites that fall within the above expressly prohibited categories. Computers that attempt to access sites categorized as security risks 5 or more times in 24 hours will have their Internet access suspended until IT staff can assess the security risk.

Approval to Use the City’s Internet Connection

- **General Approval.** Council members, Council appointed officials, department heads and all regular City staff are authorized to use the City’s Internet connection. Department heads are responsible for providing employees who have Internet access with a copy of this policy.

- **Case-by-Case Approval.** Department head approval is required for all other users. Department heads should submit written requests to IT that concisely discuss why the temporary employee, contractor, or volunteer needs Internet access. Department heads are responsible for providing users who have Internet access with a copy of this policy. IT will periodically provide the City Manager with a listing of users with Internet access.

- **Shared Access Computers and User Accounts.** Computers that do not require a user login and shared user accounts will have only limited access to the City’s Internet connection as determined by IT working with the department.

Unrestricted Use of the City’s Internet Connection

Unrestricted use of the City’s Internet connection is only provided for employees authorized by their Department head and will be to all sites except those categorized as security risks. Access to security risk sites must be coordinated with IT.

Approval for Unrestricted Access to the City’s Internet Connection

- **General Approval.** IT staff are authorized to have unrestricted access to the City’s Internet connection for the purpose of carrying out IT duties.

- **Case-by-Case Approval.** Department head approval is required for all other employees that require unrestricted Internet access. Department heads should submit written requests to IT that concisely discuss why the employee needs unrestricted Internet access. IT will periodically provide the City Manager with a listing of employees with unrestricted Internet access.
Monitoring Internet Use

The City will prepare monthly summary reports on Internet activity, which will be provided to Department Heads and City Administration for their review. More detailed ad hoc reports on Internet use for each user are available to department heads upon request.

Under the State’s public records disclosure laws, these reports may be subject to public disclosure.

EMPLOYEE RESPONSIBILITY

- **General.** Each employee with access to the City’s Internet connection is responsible for understanding and following these guidelines. Unauthorized or improper use of the City’s Internet connection may result in terminating access to it; and depending on the severity of the outcome of unauthorized or improper use, may result in disciplinary action, including termination.

- **Connection Security and Passwords.** Each employee has a uniquely assigned user name and password for security purposes. While this cannot guarantee privacy, confidentiality or data security, it is an important component of the City’s overall system protection. Employees should never share passwords with others. This is especially important since employees are responsible for all Internet use conducted under their user name.

SUMMARY

The use of the Internet is an important research tool for our organization. It helps us do our work in an effective, efficient manner. However, the Internet can easily be used inappropriately. The purpose of these guidelines is to ensure that common sense and organizational purpose are embodied in our Internet use.

- Approved by the City Manager on May 7, 1998
- Updated by Information Technology on January 15, 2002
- Amended by the City Manager on July 23, 2009
- Revised by the City Manager on January 20, 2010
Telephone Use Policy

OVERVIEW

The City's telephone system exists solely for the purpose of conducting City business, and is not intended to be used for personal reasons. Nonetheless, limited circumstances may arise where employee use of the City's telephone system for personal reasons may be appropriate. These circumstances should be rare, and consistent with the City's ethics policy, should never occur when it will result in private gain or advantage for the employee (such as conducting business related to economic interests outside of City employment).

In no case shall personal long-distance calls outside of the City's service area be charged to the City; employees must charge such calls to their personal telephone credit card, call collect or use other third-party billing procedures. In the event that a mistake is made, and a personal long-distance call is inadvertently charged to the City, the employee shall immediately reimburse the City upon discovering this error.

RESPONSIBILITIES

- **Employees.** Each employee has the primary responsibility for using the City's phone system in accordance with City policies. This includes limiting the personal use of the City's telephone system to only those circumstances—for reasonable durations—where it is truly justified. In the event that a personal call has been charged to the City, the employee should immediately reimburse the City by making payment to the cashier at the employee's work site.

- **Information Technology Division (IT).** Each month, IT receives detail use and cost reports for all calls and charges for each telephone extension. IT staff give these reports a cursory review for late charges, international calls or other unusual charges before approval for payment; employees and the operating departments are responsible for a detailed review of these reports. Upon request, IT will provide these reports via hard copy or email for the assigned telephone extension(s) to requesting departments, divisions or employees. Similar reports are also received for cellular phone use, and a similar review of these reports will be made.

- **Operating Departments.** Specific procedures for reviewing telephone usage and cost reports will vary between departments depending on their unique circumstances.

- **Department Heads.** Department Heads are responsible for assuring that a reasonable system of ongoing review of telephone usage, for both City business and personal use, is in place in their department.

- **Approved by the City Manager on November 1, 1996**

- **Updated on September 26, 2003 to reflect the transfer of cell phone responsibilities from Fire to Information Technology**

- **Revised by the City Manager on January 20, 2010**
RESOLUTION NO.8271 (1994 Series)

A RESOLUTION OF THE COUNCIL OF THE CITY OF SAN LUIS OBISPO ENDORSING THE ELECTRONIC VILLAGE CONCEPT AND CO-SPONSORING THE ELECTRONIC VILLAGE FORUM

WHEREAS, the City's mission is to provide quality programs that serve the community and provide each citizen with the opportunity to participate in the life of the City; and

WHEREAS, the local, national and global community is developing information networks which permit electronic communication between the private sector, government, education institutions, and citizens; and

WHEREAS, the City of San Luis Obispo, County of San Luis Obispo, Cal Poly State University, Cuesta College, County Office of Education, San Luis Coastal Unified School District, and many community businesses have individually identified the need for integrated electronic communication within their environments; and

WHEREAS, these organizations desire to develop means of community communication beyond their traditional boundaries;

NOW THEREFORE, BE IT RESOLVED by the Council of the City of San Luis Obispo, in cooperation with the County of San Luis Obispo, Cal Poly State University San Luis Obispo, Cuesta College, the County Office of Education, San Luis Coastal Unified School District, and the San Luis Obispo Chamber of Commerce on behalf of the business sector:

SECTION 1. The City will co-sponsor with the Chamber of Commerce, Cal Poly and the County of San Luis Obispo an electronic village forum to be held at the Pacific Suites Hotel on March 31, 1994 and will contribute $500 toward the forum and encourage Council, staff and citizen participation.

SECTION 2. The City will - within the limits of its own data communication system - include electronic data interchange as an additional means for providing information to the public.

SECTION 3. The City will support cooperative endeavors between business entities, government agencies and educational institutions to conduct business activities using existing communication networks.

SECTION 4. The City will incorporate electronic communication with other community organizations as a part of its future organizational strategic planning efforts.
Resolution No. 8271

On motion of Settle, seconded by Roalman and on the following roll call vote:

AYES: Council Members Settle, Roalman, Rappa, Romero, and Mayor Pinard
NOES: None
ABSENT: None

the foregoing Resolution was passed and adopted this 1st day of March, 1994.

ATTEST:

Diane Gladwell, City Clerk

APPROVED:

Jeffry G. Jorgensen, City Attorney

Mayor Peg Pinard

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130-2
MISSION STATEMENT

Who are we?

We are a voluntary association of government agencies in San Luis Obispo County working together in making information infrastructure improvements that will help each organization better meet its technology needs.

What do we stand for?

Virtually every government agency operating in San Luis Obispo County has plans - formal or informal - for using information technology to achieve important organization-wide goals such as improving productivity, customer service, community involvement in civic affairs and public access to information. And in almost all cases, these plans require reliable and cost-effective information technology infrastructures that allow electronic communications between remote sites within their own information systems as well as with others.

The purpose of the Consortium is to create a forum where information technology plans can be shared and solutions identified that will either help make possible through collaborative efforts what no one agency could achieve alone, or result in more efficient and cost-effective solutions for everyone.

How does the Consortium help accomplish this?

The Consortium helps bring about better regional networks and electronic connectivity by:

- Providing an ongoing forum for public agencies to share their plans with each other and in turn identify solutions that can mutually benefit each of them in terms of better service or lower costs.

- Sponsoring workshops to keep member agencies current on new networking products, services and trends.

- Providing staff from smaller organizations with opportunities to discuss needs and solutions with staff from larger, more technologically sophisticated organizations.

- Developing technical standards and guidelines for communications hardware and software for use by agencies on a voluntary basis.

- Working closely with private sector service providers like Pacific Bell and Call America as well as community-based organizations like SLONET, United Way, Chamber of Commerce and recognized community advisory groups in identifying ways of improving regional networks and overall electronic connectivity.
Regional Network Consortium

- Maintaining a directory of information technology contacts from member agencies, private sector organizations and community-based groups.

- Assisting in coordinating efforts to obtain funding that may be available for improving regional networks through the National Telecommunications and Information Assistance Program or similar grant programs.

What the Consortium isn't.

The Consortium is not another layer of government: it does not act independently nor review or approve plans and activities of other agencies.

Each agency already possesses the ability to cooperate with other governmental agencies or private vendors in joint projects and programs that mutually benefit them. What each agency does not currently possess is knowledge about what other agencies are doing (or planning to do) where collaborative efforts would result in a better product or lower costs.

In short, the Consortium solely exists to help agencies put together joint projects when it makes business sense for each of them to do so by providing a forum for sharing plans so that areas of mutual interest and benefit can be identified.

How does an agency become a Consortium member?

Every governmental agency doing business in San Luis Obispo County - a city, state agency, special district, council of governments, joint powers authority, the County - is already by definition a member of the Consortium. However, benefits from membership can only be obtained by actively supporting - and participating in - Consortium activities.

Adopted by the Council on October 17, 1995 – Resolution No. 8460

G: MIS Policies/Regional Network Consortium
Web Policy

OVERVIEW

Purpose. The City’s web site will provide easy access to public records, be used as a public communications tool and provide services by:

- Providing easy electronic access to public information for use by the target audience.
- Providing the public with an alternative means of communicating with City officials and staff.
- Enhancing delivery and awareness of public services and facilitate a process for public inquiry.
- Providing an electronic forum for discussions.
- Providing a 24-hour City Hall.
- Keeping current with changing technology.
- Providing a web site that includes a page for all City departments.
- Establishing guidelines to ensure a unifying theme to the web page while allowing for different departmental information needs.

Target Audience. The information on the web site will be directed toward five primary groups: the general public, tourists, students, businesses and other governmental agencies.

Contents. A broad range of information will be accessible through the City web site including (but not limited to):

- General information about City government
- Department information
- City employment information
- Economic development opportunities
- Emergency information
- Agendas, minutes, and staff reports
- Municipal code
- General plan
- Financial plan, comprehensive annual financial report, and other fiscal information
- Major policy documents (Parking Plan, Urban Water Plan, etc.)
- Advisory body information (summary, members, openings, applications)
- Links to: Chamber/Visitors Bureau, other government agencies, library, transportation information and news.
POLICY ORGANIZATION

The web policy is comprised of four key components:

- Design
- Development
- Implementation
- Maintenance

DESIGN

The design component is the conceptual development of look and format; it includes scope of information and identification of how page will be accessed. It is the vision as well as the specifications. The City will strive for the highest degree of professionalism and the best use of current technologies in its web sites. Departments should use a variety of resources (information and technology) and should apply the following basic design principles:

Content

- **Use consistent unified or common themes.** Bring all pages in sync with the entire web site while allowing some level of individuality and/or functionality between departments/divisions. The City will develop a basic shell with modestly sized banner graphics or logos, signature icons and action buttons as base design.

- **Provide a user-friendly site.** Use logical and intuitive links. Design to use on both major web browsers and keep in mind non-graphical browsers as well. Do not overwhelm the user with clutter.

- **Provide links relative to City.** This includes internal as well as external links:
  
  - **External.** Links to other web sites should be chosen for their ability to provide information that is consistent with the purpose and mission statement of this policy and to address the target audience. Links must have a clear City business related purpose and should be made only to other governmental agencies or 501c-3 non-profit organizations. Exceptions require City Manager approval. Providing links to web pages of other independent organizations does not equal an endorsement of that organization, its web page or its mission.

  - **Internal.** Include link to City home page on every page. Minimize the number of links on each page.

- **Provide navigational tools.** Include graphic navigation buttons or bars leading forward, back and to the original index on deeper-level pages.
Web Policy

- **Allow for interactivity.** Include e-mail response, surveys, feedback, forms, etc.

- **Value of material should be relevant and timely.** Keep all text reasonably short and to the point. Proofread and edit carefully.

- **Graphic files should be relative to site.** Design with care to allow for quickest loading.

- **Allow for search capabilities.** Use existing search engines and/or create City database within home site.

- **Track page hits per department.** Locate hit counter unobtrusively at bottom of page.

- **Simplicity.** Keep page address (URL) short and simple.

Responsibilities

- **Department Heads.** Ensure that all links are relevant and appropriate, and within the guidelines established by other City policies.

- **Information Technology (IT) Steering Committee.** Approves domain name addresses.

- **Information Providers Group.** This is a new ongoing support group with representatives from each department who will assume the duties of webmaster and perform at least an annual review of the site.

- **IT.** Maintains and supports City web servers; registers and maintains domain name addresses; applies for and renews any needed Secure Socket Layer (SSL) certificates; and manage user access to website administration.

**DEVELOPMENT**

This area defines the process of creating the web pages using design guidelines and level of professional assistance needed.

**Content**

Development of the City’s web site should cover some basic components that will have purpose and information relevant to what the site users are looking for.

**Responsibilities**

- Each City department should have information available on the web.

- Each departmental or division site should define their main objectives in developing their site.
Departments are encouraged to contact other comparable web sites in other municipalities for methods on user feedback, staff responsiveness, etc.

Any applications that provide services via the City’s website must be reviewed and approved by IT during the development stage of the application and before integration with the City’s website.

Community Needs

Assessments should be accomplished to determine the value of what should be on the web page. Information should be relative, easy to find, timely, interactive (if possible), accessible and easy to navigate.

Site Development Issues

This includes identification of department services; documents that are frequently requested by the public can be made available for downloading by users; launch departmental surveys; and other related needs.

Other Resources

Local agencies – Downtown Association, Chamber of Commerce, Convention and Visitor’s Bureau, Cal Poly, County of San Luis Obispo, Cuesta College – should be contacted for their participation on the site either through information or linkages.

IMPLEMENTATION

The Implementation phase identifies a schedule and process for completing the web page project; who is responsible for what aspects; administrative reviews; and priorities for implementation.

Promotion. Promoting the City’s domain address needs to be accomplished as close to or at the time implementation occurs. Suggested methods include use of the City’s web address on letterheads, business cards, correspondence; City mailings/publications (utility bills, parks & recreation brochure); news releases, etc.

Budget. Budgetary considerations for the City’s web site should include initial costs of creating site files; initial and ongoing costs of domain name ownership; costs of any licensing or images, trademarks, name hosting, etc. These costs will be funded through the organization-wide web account along with initial training for each department. Departments are responsible for ensuring that adequate resources are available in their department budgets to develop and maintain their web pages.

Responsibilities

Department heads will need to identify who will be serve as their Information Provider to provide the new site HTML files; structure and archive files; upload files to the site; clean-
Web Policy

up site when completed; how the design will be determined to link to the City’s main home page; add the departmental site to the City’s main home page; and when needed, contract for technical assistance.

- Each department will assume responsibility for the content on their web page and keep the information current and timely.

Authority

- Department heads are authorized to approve information that goes on their department’s web pages.

- City Manager approval is required for items on the City’s main web page.

Response. User activity should be tracked at each department site in the form of number of raw hits, registration of home pages with search engine providers, number of e-mails received and number of files downloaded by users.

Testing. All pages should be tested for compatibility with multiple platforms before implementation.

MAINTENANCE

The maintenance component of the City’s web policy establishes and clarifies on-going responsibilities for departments with web pages. However, no one component of the policy (design, development, implementation or maintenance) stands alone. While performing maintenance/monitoring-type activities, which may be more clerical in nature, it may become apparent that the web page appearance or character needs to be “refreshed,” which would necessitate re-designing a page. The City will provide software to make updates simple.

The following establishes the key components of the maintenance function:

Responsibilities. Each department is responsible for maintaining their own web page.

- Information must be kept current by updating regularly and timely.

- Accuracy and relevance of information provided is essential.

- All information updates should contain the current date so both the user and provider can easily determine its applicability.

- Information added to a web page must maintain a consistent look with the page design.

- A professional consultant will provide initial maintenance training and a specified level of on-going technical support for each department.
Web Policy

Budget. Each department is responsible for adequately budgeting resources for web page maintenance.

- Each department will designate staff with web page maintenance as a part of their regular workload.
- Each department must commit to providing adequate financial resources for training staff to obtain and maintain technical expertise for on-going web page support.
- The organization-wide account will be used to fund initial maintenance training and the on-going technical support provided by the professional consultant.

Review. Each department should develop a process for periodic review of its web page for relevance and user interest.

- Pages that are visited infrequently should be revised or eliminated.
- Links should be periodically reviewed for relevance and tested for operational accuracy.

Feedback. Maintaining the department’s web page includes monitoring the interactive feedback vehicle.

- User surveys or other interactive methods should be developed to receive opinions on relevance of web page information, or other information requested.
- Each department is responsible for identifying, extracting and directing the user comments received to the appropriate individuals for follow-up.

• Approved by the City Manager on February 19, 1998
• Revised by the City Manager on January 20, 2010
**Purchasing Computer Workstations, Laptops and MDC’s**

**GUIDELINES**

The City will use cooperative purchasing through the State of California in buying desktop computer workstations, laptops and mobile data computers (MDC’s).

**BACKGROUND**

**Cooperative Purchasing**

The City has used a number of purchasing strategies over the past years in attempting to ensure quality, reliable computer workstations, laptops and MDC’s at a reasonable cost. Purchasing workstations through the State’s *California Multiple Award Schedule* (CMAS) program, *Western States Contracting Alliance* (WSCA) program or similar cooperative purchasing programs accomplishes the following goals:

- Highly reliable workstations, laptops and MDC’s
- Simple but fair purchasing system
- Reasonable costs

**Dell Computers**

As a result of the analysis presented to the Council, the City purchases Dell computers through cooperative purchasing programs for the City’s workstations and laptops. Periodically, Information Technology will review pricing, features and service to determine if Dell continues to be the City’s best value supplier.

**Panasonic**

The City will purchase MDC’s from Panasonic through cooperative purchasing programs. Periodically, Information Technology will review pricing, features and service to determine if Panasonic continues to be the City’s best value supplier.

- *Cooperative purchasing policy approved by the Council on December 5, 1995*
- *Revised by the City Manager on January 20, 2010 to expand to laptops and mobile data computers*
Disposing of Surplus Computer Equipment

PURPOSE

The purpose of these procedures is to set forth guidelines for disposing of surplus computer equipment.

SURPLUS PROCEDURES

As set forth in Resolution No. 8749 adopted on January 6, 1998, the Council has declared that all replaced computer equipment is surplus property and is authorized for sale subject to the following conditions:

- There are no other uses for the equipment. (Except for interim uses, retention of replaced computer equipment requires Council approval: replacements are intended to keep the City’s technology resources current, not to expand the City’s computer equipment inventory.)

- As set forth in Resolution No. 8733, the sale will be made in accordance with the following procedures.

DISPOSAL PROCEDURES

- All surplus computer equipment offered for sale will be on an “as-is” basis.

- Surplus computer equipment will first be offered for purchase to City employees subject to the following conditions:
  - The Director of Finance & Information Technology and IT staff are excluded from purchasing surplus computer equipment under all circumstances; and Department Heads whenever any surplus computer equipment is from their department.
  - Employees purchasing surplus computer equipment under this program must demonstrate that they legally own licensed copies of the City’s standard desktop operating system and word processing software for their personal use.

- Remaining computer equipment will then be offered to non-profit organizations, and then to other governmental agencies.

- Whatever is not purchased by these agencies will be consigned to the City’s auction firm for sale, or other method of disposal as determined by the Director of Finance & Information.

- The Director of Finance & Information Technology will establish further administrative guidelines as needed to implement these procedures.

- Approved by the Council on October 21, 1997 (Resolution No. 8733) and January 6, 1998 (Resolution No. 8749)

- Revised by the City Manager on January 20, 2010
Employee Computer Loan Program

INTRODUCTION

Program Purpose and Overview

The goal of this program is to improve organizational productivity by encouraging employees to purchase and use home computers by providing them with a modest financial incentive to do so.

In striking a reasonable balance between the benefits to the City and the employee, the loan program places the primary financial obligation on the employee for the purchase price of the computer hardware and software, with financial assistance from the City in the form of a no interest loan repaid through automatic payroll deductions.

Goal and Policy Links

As set forth in the City’s Information Technology Acquisition and Support policy, the effective use of technology is one of the key strategies available to us in achieving our goals of delivering quality services to our customers and improving productivity. In order for technology to realize this promise, it is critical that employees be well-trained in its use.

Program Benefits to the City

While the City is committed to an ongoing program of formal training, the reality is that skill development will be much faster, and will occur in greater depth, if employees have computers at home with the same software that the City uses. This allows employees (on a voluntary basis) to use these applications more frequently, explore their features in greater detail, and to do so at their own leisure and pace in a comfortable environment. From a City cost perspective, it would be extremely expensive for employees to devote this kind of time to training during work hours, and as a practical matter, it will never be available. Additionally, this program assists employees in upgrading their home technology to stay current with City technology; and facilitates employees working from home.

In summary, by providing an incentive for employees to have a computer at home with applications similar to the one at work, the City will benefit significantly in making more effective use of our information technology resources.

PROGRAM FEATURES

- **Maximum Loan Amount.** The City will loan employees up to $3,000 for the purchase of computer hardware and software. Regardless of the loan balance, employees may not have more than one loan outstanding at any time.
Employee Computer Loan Program

- **Loan Repayment.** Repayment will be made through equal bi-weekly payroll deductions over a maximum period of 30 months. Repayment in full will be accepted at any time without penalty to the employee.

- **Interest.** No interest will be charged by the City on loans under this program.

- **Payment Upon Termination.** Any remaining loan balance is due and payable upon termination, and will be deducted from the employee’s final check.

- **Eligibility.** Only regular employees who have successfully passed their probationary period as new employees, and have no garnishments for credit or tax purposes, or similar liens in place at the time of application, are eligible to participate in this program. A regular employee who is back on probation because of a recent job change is eligible to participate in the program during the new probationary period. Contract employees may participate in this program under the following conditions: their employment contract generally extends to them the same benefits as regular employees; and the repayment period does not extend beyond their contract term.

- **Usage.** The primary use of computer equipment or software purchased under this program should be by employees in their homes. Any items so purchased will not be sold or otherwise transferred for the use of others until such time as the City’s loan is repaid in full.

**HARDWARE AND SOFTWARE REQUIREMENTS**

- **Hardware.** There are no specific hardware configuration requirements; however, the employee’s home computer must be capable of running the City’s standard office applications suite. Eligible hardware purchases include one new computer and related peripheral devices (such as printers and scanners), upgrades to an existing computer, related taxes and shipping charges, and extended warranty agreements offered at the time of purchase. Since the purpose of this program is to improve employee skills, only one peripheral device per type (such as one keyboard, one mouse, one printer and one scanner) may be purchased per loan agreement.

- **Software.** Employees must purchase (or show other proof of ownership) the City’s latest standard office applications suite. In short, applications at home must be compatible with applications at work if this program is to achieve its goals. Software purchases other than those typically used by the City are not eligible under this program (excluding standard software packages typically “bundled” with new computer purchases); however, all participating employees must comply with all software licensing requirements for their use of any hardware purchased under this program.

- **Non-Eligible Purchases.** Costs related to installation, training, repairs, telephone lines, online services, furnishings or any other initial or ongoing costs are not eligible for funding under this program, and are the sole responsibility of the employee. The City has no responsibility for support and maintenance for any purchases funded under this program.
PURCHASE AND LOAN PROCEDURES

There are three approaches available to employees in receiving loan funds under this program:

- **Purchase Through the City.** With the approval of the vendor, employees may purchase hardware and software through the City in accordance with Information Technology's standard purchasing policies and procedures. Any such requests must be consolidated at one-time in a format approved by the Information Technology (IT) Steering Committee and presented to Information Technology for order placement. Upon receipt of all ordered items, the final costs will be consolidated into one loan amount.

- **Reimbursement of Costs.** Employees may directly purchase items and submit requests for reimbursement. Under this approach, all expenditures must be made within a 90-day period of time, and submitted in one consolidated request for payment. While not a requirement of this program, employees are encouraged to review their proposed purchase with the Information Technology staff to ensure that they will be eligible for reimbursement. No funds will be advanced to employees for the purchase of loan items.

- **Combination of Approaches.** A combination of approaches is allowable; however, all such payments must be made within a 90-day period of time, and finalized into one loan amount.

Regardless of the approach selected, employees are solely responsible for installing, maintaining and supporting items funded under this program. Further, resolving vendor or delivery problems with the hardware or software purchased under this program is the sole responsibility of the employee.

INSURANCE

For their own protection, employees should provide adequate insurance coverage to protect their purchases against damages due to theft, fire, flood and lightning. The City does not assume any liability for damage or theft of items purchased under this program. All agreed-upon payroll deductions will continue through final payment even if the items funded from this program are not available for the employee's use for any reason whatsoever.

TAX IMPLICATIONS

Questions regarding tax consequences of participation in this program should be directed to a reputable tax advisor.

LOAN AGREEMENT

Employees will enter into a loan agreement that fully sets forth:

- Amount and term of the loan, and the resulting amount of payroll deductions.
- Employee’s authorization for the payroll deduction to occur.
- Equipment funded under the loan.
Employee Computer Loan Program

- Employee’s understanding and agreement with all of the terms of the City’s employee computer loan program.
- Approval of the loan agreement by the Finance & Information Technology Director or designee.

PROGRAM ADMINISTRATION

The IT Steering Committee is responsible for administering this program. The committee is authorized to make minor administrative changes to the program that will make it run more efficiently or reflect changes in policies and procedures in other areas of the City's operations, provided that any such changes do not affect program objectives or key features.

- Approved by the Council on December 3, 1996
- Revised by the IT Steering Committee on December 16, 1996 and August 23, 2001
- Revised and approved by the City Manager on September 17, 2004
- Updated by IT June 8, 2009
- Revised by the City Manager on January 20, 2010
Video Monitoring Systems

PURPOSE

In order for public locations and facilities under the City’s jurisdiction to be safe and secure, the use of electronic systems for routine video monitoring may be necessary. The purpose of this policy is to ensure that their use is consistent with federal and state law, and reasonably balances privacy concerns with personal safety and responsible stewardship of the community’s assets.

Scope. This policy applies to systems that enable continuous or periodic routine video monitoring on a sustained basis for the following purposes:

1. Deter theft and vandalism and assist in identifying individuals who damage City facilities or property.
2. Assist law enforcement agencies in investigating criminal activity.
3. Promote a safer environment by deterring acts of violence or aggression.

This policy does not apply to the routine use of hand-held video cameras.

POLICIES AND PROCEDURES

Installation Approval

The approval process for installation of a video monitoring system falls into two categories, depending on the intended use.

1. Routine or traditional uses, such as security cameras at the Police Station, videotaping of water and sewer lines, or mobile systems in Police vehicles, will be approved through the usual budgeting and purchasing approval process.

2. Placement at other City facilities or buildings, such as City Hall, other City offices, public parks, Mission Plaza, open space areas, public street or other public locations, requires approval by the City Manager, via the City Manager Report process.

Approval Criteria

When seeking City Manager approval, Department Heads will address the following issues and concerns in supporting their request:
1. Objectives for implementing the system.

2. Use of equipment, including:
   a. Location of cameras.
   b. Location of reception equipment.
   c. Personnel authorized to operate the system.
   d. Times when monitoring will be in effect (and staffed, if applicable).

3. Other deterrence or detection measures that were considered, and why video monitoring is the best solution.

4. Any specific, verifiable reports of incidents of crime or significant safety concerns that have occurred in the location to be placed under video monitoring.

5. Possible effects of the proposed video monitoring system on personal privacy, if any, and how they will be mitigated.

6. Appropriate consultation with stakeholders, including the public; or reasons why this is not necessary.

7. Signage strategy advising the public that video monitoring is occurring.

8. Approach to installing and maintaining the system.


**Location and Direction of Video Monitoring Equipment**

1. Permanent, fixed-mounted cameras will not be placed in areas where a reasonable expectation of privacy is standard, such as inside restrooms.

2. Cameras located internally will not be directed to look through windows to areas outside the building, unless necessary to protect external assets, provide for the personal safety of individuals or deter criminal activity from occurring.

3. Cameras will not be directed to look into adjacent, non-City owned buildings.

4. Placement of cameras will also take into consideration physical limitations such as availability of power, cell reception and reasonable mounting facilities.

**Notification Procedures**

1. The Council and City employees will be notified in advance, in writing or via e-mail, of the placement of any video monitoring system in a City-owned facility or building.

2. Clearly written signs will be prominently displayed at the perimeter of video monitoring areas advising the public that video monitoring is occurring.
3. On a case-by-case basis, as approved by the City Manager, a decision may be made to eliminate public signage or employee notification in order to support crime prevention or investigative activities.

**Responsibility for Oversight of Video Monitoring Systems**

The City Manager (or designee) is responsible for overall oversight of all video monitoring systems and for implementation of this policy.

**Intended Use of Video Monitoring Information**

Any information obtained from video monitoring systems will only be used for the purposes set forth in this policy.

**PROTECTION OF VIDEO MONITORING INFORMATION**

**Security of Storage Devices Resulting from Routine Video Monitoring**

1. When not in use, storage devices will be securely kept in a controlled access area.

2. All storage media that is no longer in active use will be numbered and dated.

**Retention and Destruction of Routine Video Monitoring Records**

1. All records derived from routine video monitoring will be retained for as long as required by federal or state law. (Currently, California Government Code Section 34090.6 requires that these records be retained for one year prior to destruction.)

2. In the event that records are evidence in any claim filed or any pending litigation, they will be preserved until the pending litigation is resolved.

3. Destruction requires the written consent of the City Attorney.

4. Records will be securely and permanently disposed of in a manner appropriate to their storage media.

**Placement and Viewing of Video Monitors**

Video monitors will not be placed in locations that facilitate public viewing.

**Access and Use of Recorded Information**

1. Only those personnel authorized by the City Manager (or designees) in writing will have access to information acquired through routine video monitoring.

2. Recorded information will never be sold, and will not be publicly viewed or distributed in any other manner, except as provided for by this policy and applicable federal and state law.
ON GOING REVIEW OF CITY’S USE OF VIDEO MONITORING SYSTEMS

The City Manager (or designee) will review the City’s use of video monitoring systems and adherence to this policy at least every two years. These reviews will include an inventory of video monitoring installations, date of installation, summary of their purpose, experience in implementing the policy and any proposed policy changes. The results of each review will be documented and provided to the Council, Human Relations Commission and other applicable advisory bodies. Any concerns or deviations from this policy will be addressed promptly and effectively.

The City Manager is authorized to make minor administrative changes to this policy in light of technological or legal changes as long as they are intended to carryout its purpose and will not have any significant policy impacts.

- Approved by the Council on April 18, 2006, Resolution No. 9788
- Revised by the City Manager on January 20, 2010 to reflect change of City Administrative Officer to City Manager
Training Strategy

The City is committed to providing a variety of learning opportunities to staff on City-standard software applications and office automation equipment. Because users of the City’s computer systems have various degrees of experience and needs, our strategy for organization-wide computer training is versatile and offers the following options:

- **Formal Training.** Formal classroom training will be offered based on user interest for the following standard software applications:

  - Windows (desktop operating system)
  - Excel (spreadsheet)
  - Word (word processing)
  - Access (database)
  - PowerPoint (presentations and graphics)
  - Outlook (email, calendar, scheduling)
  - Frontpage (website maintenance)
  - Internet Explorer (Internet)
  - Adobe Acrobat (archival format and electronic forms)
  - ShoreTel Call Manager (Voice-over-Internet Protocol – VoIP – call manager)

  These classes will be taught and hosted by an outside contractor using professional, certified trainers selected by Information Technology (IT). On a periodic basis, users will be given an opportunity to participate in the development of these classes. IT will generate a “training needs” survey and route this via email to all users on the network. The results of this “needs” survey will be forwarded to the trainers to highlight in the classes offered. While the format will be developed and refined on an on-going basis, courses will probably be delivered in six-hour increments.

- **Personal Desk Side Training.** From time-to-time, personal desk side training provided by outside trainers on standard City applications may be appropriate and will be funded through IT’s organization-wide training budget.

- **Specialized Training.** Application administrators are responsible for developing and funding training programs targeted to their specific work groups (such as Finance, GIS, AutoCad or public safety systems). IT staff are available to assist application administrators in coordinating training requirements.

- **Ad-hoc Training.** Groups and individual users may request the use of the City’s in-house computer training resources for special purposes, ad-hoc training (such as financial management system access, ArcView, Web page development, 60-day agenda use). IT is available to assist with unique training setup arrangements.
Training Strategy

- **Brown bag luncheons.** Brown bag luncheons will be hosted by IT staff for users to share tips and techniques with fellow enthusiasts when there is sufficient interest or new features added.

- **On-going tips.** As users or IT staff become aware of time-saving “tips,” they will be emailed to all users or posted on a training bulletin board. This includes tips on issues raised at “brown bag” sessions.

- **Mentoring.** New employees should be assigned mentors within each department or division. The mentor will assist the new employee with orientation to email, voice mail, Netware login, network directories, etc. Mentoring is meant to provide support to new staff who are waiting for the next series of computer training classes.

*Adopted by the IT Steering Committee on June 26, 1997*
*Revised by the IT Steering Committee on December 17, 2009*
Hard Drive Software Installation and Support

OVERVIEW

Until 1996-97 when a comprehensive desktop hardware and software upgrade was completed as part of the “Windows 95” project, it was generally the City's practice to use hard drives for operating system and desktop management functions, and to rely upon network file servers for application software. While this approach has some advantages as discussed below, there are circumstances when installing application software directly onto an individual workstation’s hard drive may make more business sense than relying upon the network to deliver the application. As such, the purpose of this policy is to:

- Set criteria for when application software should be installed on the network versus individual workstation hard drives.
- Establish guidelines for allowable hard drive software.
- Assign responsibility for installing and supporting hard drive software applications.

Why is there a need for a policy on hard drive software?

When there was limited use of hard drives (for a number of years it was the City's policy not to purchase hard drives at all for standard network workstations), and when responsibility for workstation and network support was largely decentralized at the departmental or site level, there may not have been a compelling need for organization-wide guidelines in this area. However, with greater emphasis on centralized technical support, sharing of data and files, more complicated operating system desktop management software, and the resulting increased potential for conflicts between application software and network and desktop operating systems, organization-wide standards for installing and supporting application software on individual workstation hard drives are needed.

HARD DRIVE SOFTWARE GUIDELINES

Network Versus Workstation Installation

The decision to install application software on individual workstation hard drives, or to deliver it to users via the network, will be made on a case-by-case after considering the following factors:

Factors Supporting Using the Network for Delivering Application Software

- Significant opportunity for cost reduction by purchasing a limited number of user licenses rather than purchasing copies for every workstation. This approach is likely to be successful
when an application is broadly used by the organization, but by a limited number of users at any one time, and for a relatively short time frame when they do.

- Improved file and data sharing over installation on individual workstations.
- Organization-wide application where individual user licenses are not required and the software can be quickly downloaded from the network.
- Functional requirement of the software (some applications will require both server and client software licenses); or required to ensure compliance with software licensing agreements and copyright laws.
- Reduction in the potential for data loss; and improved recovery and reduced business disruption when disasters occur.

Factors Supporting Installing Application Software on Workstations

- Organization-wide office automation software that is frequently used by all City employees. This includes applications such as word processing, spreadsheets and electronic mail.
- Bundled software where the cost offered by the vendor for a suite of applications to be installed on individual workstations makes this an especially cost effective approach.
- Workstations at remote sites that are not connected to a network.
- Extensive use of an application by a very limited number of users.
- Standalone workstations dedicated to a single operational purpose such as telemetry systems, plant operation control systems, traffic signal controllers, and data communications.
- Technical conflicts between the application software and the City's standard operating system and desktop management software.

Data Sharing and Back-Up

It is important to note that even though application software may be installed separately on each workstation, data files can usually be shared with others over the network. Additionally, data files can usually be saved to the network for back-up and recovery purposes. In fact, until such time as the City has the ability to back-up hard drives centrally via the network, users are encouraged to save files created using standard City software applications to the network rather than their workstation hard drive.

Application Software Standards

Except as noted below for “freeware/shareware” or software downloaded from the Internet, in order to be installed on an individual workstation hard drive, application software must be:

- **Owned by the City and used in compliance with all software licensing agreements and copyright laws.** No personal software is to be installed on workstation hard drives or on network file servers. Screen savers are an exception to this policy; personally-owned screen savers may be installed on workstations provided that doing so: does not violate software licensing agreements; and does not cause system or operational conflicts.
Hard Drive Software Installation and Support

- **Compatible with the City's network and desktop operating environment.** In the event that system or operational conflicts or arise, users will have one of two options: select and acquire different software that will meet their functional requirements and is compatible with the City's network and desktop management systems; or remove the workstation from the network.

**Freeware and Shareware**

Freeware or shareware (software provided at no cost by others) may be installed on City hardware under the following conditions: it is used for business purposes; it is installed by Information Technology (IT) staff; and it does not result in system or operational conflicts.

**Software Downloaded from the Internet**

In browsing web sites, “plug-in” software is commonly offered in order to better view the site or fully use its features (such as audio or video clips). At your option, this software will often be electronically downloaded to your hard drive via links from the web site. An example of this is Adobe Acrobat, which enables users to view and download forms and other heavily formatted documents. (The City’s web site has pages that require Adobe Acrobat, and provides links for users to download it to their computers.)

Users may download software from the Internet under the following conditions:

- Use good judgment as to when you believe this is appropriate: Is the software needed for business purposes? Are you familiar with the software? Is it an industry standard plug-in?
- Let IT staff know as soon as possible what software you downloaded; IT will then determine what follow-up action, if any, is warranted.

**Budgeting and Accounting for Application Software**

Costs for purchasing standard City application software will be charged to IT; all other software purchases will be charged to the operating department.

**Installation and Support Responsibilities**

**Information Technology**

IT staff will generally be responsible for installing all application software on workstation hard drives in order to:

- Ensure that current City software standards and versions are used.
- Ensure compliance with software licensing agreements and copyright laws.
Avoid technical conflicts between application software installed on hard drives and organization-wide operating system, application, and desktop management software standards.

On a case-by-case basis, operating departments may assume lead responsibility for installing application software rather than IT staff. This will generally occur under the following circumstances:

- Workstations at remote sites that are not connected to a network.
- Standalone workstations dedicated to a single operational purpose.
- Lead responsibility for system application administration has been assigned to the operating department, and as such, trained technical staff are available to do this.

**Operating Departments**

Operating departments are generally responsible for supporting department or function-specific application software on their hard drives, including training, proper use and timely back-ups of files and data.

On a case-by-case basis as agreed upon by IT and the operating department, IT may assume responsibility for application software installation and support when this would otherwise by the responsibility of the operating department.

**Individual Users**

Individual users may install personal screen savers on their workstation; however, they should inform their system administrator before doing so. As noted above, personal screen savers will be removed if they cause system or operational conflicts. Additionally, software may be downloaded from the Internet, subject to the conditions noted previously.

All other software installations should be made by IT staff or application administrators.

**IMPLEMENTATION AND MONITORING**

IT will perform periodic hard drive software inventories (with the goal of reviewing each workstation at least once annually), and will remove any software not installed in accordance with this policy. A follow-up report on the results of the inventory will be provided to the IT Steering Committee and the affected Department Head.

- Approved by the IT Steering Committee on December 9, 1997
- Updated by the IT Steering Committee on December 17, 2009
Network Application Installation

POLICY

Information Technology (IT) approval is required to install applications on the City’s network or hosted applications with links to the City’s network; depending on the complexity of installation and potential operational impacts on the City’s information technology systems, IT Steering Committee approval may also be required.

BACKGROUND

Under the City’s information technology master plan, decision-making to acquire and implement new applications is centralized. Whether this decision is made by the IT Division, IT Steering Committee, City Manager or Council depends on the scope and cost of the application. IT review is critical for the success of new applications.

APPLICATION INSTALLATION APPROVAL

Installation of applications on the City’s network or hosted application with links to the City’s network requires IT review to assure that it will not:

- Require new technology or significant upgrades to existing systems.
- Adversely impact other users or system performance.

IT is authorized to approve the request if it determines that there are no major issues associated with installing or supporting the application; otherwise, IT Steering Committee approval is required.

REQUESTS FOR APPLICATION INSTALLATION

Written requests to IT for installing applications on the City’s network or hosted application with links to the City’s network should describe the proposed application and address the following issues:

- Consistency with current software, hardware and infrastructure standards.
- User support and training.
- Installation and operational support needs from Information Technology.
- Plan for ongoing application support.
- Resource requirements.
Network Application Installation

- Impact on the City’s technology infrastructure – Will network traffic dramatically increase? Will system performance be affected? Will new technology or system upgrades be required?

The requesting department and IT will work together in preparing and agreeing upon an implementation plan and schedule for installing the new application.

- Approved by the IT Steering Committee on December 9, 1997;
- Revised by the IT Steering Committee on December 17, 2009.
Fax Maintenance and Operation

At some point, centralized purchasing and support for FAX equipment may be appropriate. However, until then, operating departments continue to be responsible for purchasing, supporting, and operating FAX machines.

With the increasing availability of more inexpensive alternatives, including email, departments are encouraged to find ways to eliminate FAX equipment whenever possible.

- Approved by the IT Steering Committee on December 22, 1993
- Updated by the IT Steering Committee on December 17, 2009
IT Disaster Recovery Plan

Procedures for Recovery of Critical Business Functions and Information Technology Systems in the Event of Disasters or Emergencies

November 1999

Prepared By

Robert F. Neumann, Fire Chief
Teri Maa, Information Systems Manager
Table of Contents

1. INTRODUCTION ........................................................................................................................................1

2. ORGANIZATION .......................................................................................................................................2

2.1 OVERVIEW ...........................................................................................................................................2

2.2 INCIDENT COMMAND SYSTEM AND CITY EMERGENCY ORGANIZATION ........................................2

2.3 THE ADMINISTRATIVE/ POLICY GROUP ............................................................................................3

2.4 MIS RECOVERY TEAM ........................................................................................................................4

2.5 THE DISASTER PREPAREDNESS COMMITTEE ..................................................................................4

3. OBJECTIVES AND GUIDANCE ...............................................................................................................6

3.1 PLAN OBJECTIVE .................................................................................................................................6

3.2 GENERAL GUIDANCE FOR DISASTER OPERATIONS ........................................................................6

4. DISASTERS ..........................................................................................................................................8

4.1 DEFINITION .......................................................................................................................................8

4.2 EXTENT ..............................................................................................................................................8

4.3 SEVERITY .........................................................................................................................................9

4.4 DURATION .......................................................................................................................................9

4.5 SAFETY ..........................................................................................................................................9

5. MIS RECOVERY PREPARATION ...........................................................................................................10

5.1 MIS RECOVERY TEAM AND SYSTEM RECOVERY UNITS .................................................................10

5.2 CITY EMPLOYEES ............................................................................................................................10

5.3 DISASTER PREPAREDNESS COMMITTEE RESPONSIBILITIES ............................................................11

5.3.1 Recovery Locations .........................................................................................................................11

5.3.2 System Operations/Safeguards ........................................................................................................12

5.3.2.1 Standardization ..........................................................................................................................12

5.3.2.2 Equipment/Available Resources ...............................................................................................12

5.3.2.3 Back-Up Data Storage ...............................................................................................................12

5.3.2.4 Public Safety Answering Point (911) ..........................................................................................12

5.3.2.5 Power Supply ............................................................................................................................13

5.3.3 Paper Document Recovery .............................................................................................................13

5.3.4 Purchase Order And Petty Cash Management Procedures .............................................................13

5.3.5 Information Systems Preparations ....................................................................................................14

5.3.5.1 Automated Systems Recovery .................................................................................................14

5.3.5.2 Local Area Network ..................................................................................................................14

6. GENERAL EMERGENCY RECOVERY PROCEDURES .........................................................................15

6.1 ADMINISTRATIVE/ POLICY GROUP ACTIONS ................................................................................15

6.1.1 Assess Disaster ...............................................................................................................................15

6.1.2 Initial Recovery Actions ..................................................................................................................16

6.1.2.1 Declaration of a Disaster ...........................................................................................................16

6.1.2.2 Operational Functions ...............................................................................................................16

6.1.2.3 Recovery Center Emergency Operations ..................................................................................17

6.1.2.4 Objectives and Priorities ..........................................................................................................17

6.1.2.5 Coordination with Civil Emergency Response Agencies .........................................................17

6.1.2.6 Safety Issues ...........................................................................................................................17

6.2 INITIAL DISASTER RECOVERY OPERATIONS ..............................................................................18

6.2.1 Alert Notification ............................................................................................................................18

6.2.2 MIS Recovery Team Assembly ......................................................................................................18

6.2.3 Relocation to Recovery Center ........................................................................................................18

6.3 RESTORING CRITICAL BUSINESS FUNCTIONS ..........................................................................18

6.4 CONCURRENT OPERATIONS ...........................................................................................................19
6.4.1 Critical Events Log ................................................................. 19
6.4.2 Purchase Orders ........................................................................ 20
6.4.3 Procedures for Obtaining Cash .................................................. 20

**7. POST EMERGENCY RECOVERY PROCEDURES** .................................................. 21

7.1 REVIEW OF CRITICAL EVENTS LOG ................................................................. 21
7.2 EVALUATION OF CITY EMPLOYEE RESPONSE ........................................... 21
7.3 EVALUATION OF VENDOR RESPONSE ......................................................... 22
7.4 RECOGNITION OF OUTSTANDING PERFORMANCE ............................................ 22
7.5 LIABILITY ASSESSMENTS ............................................................................... 22
7.6 FINAL REPORT AND MODIFICATION OF THE MIS RECOVERY PLAN ............... 22

**8. MIS RECOVERY PLAN TRAINING** ......................................................................... 24

8.1 RESPONSIBILITIES....................................................................................... 24
8.2 POLICIES....................................................................................................... 24
  8.2.1 Subjects.................................................................................................... 24
  8.2.1.1 General Training ................................................................................ 24
  8.2.1.2 MR Teams and SRU Members ............................................................. 25

**9. MIS RECOVERY PLAN TESTING** ......................................................................... 26

9.1 RESPONSIBILITIES....................................................................................... 26
9.2 POLICIES....................................................................................................... 26
  9.2.1 Testing..................................................................................................... 26
  9.2.2 Frequency ............................................................................................. 26
  9.2.3 Evaluation of Results ........................................................................... 26

**10. MIS RECOVERY PLAN MAINTENANCE** .......................................................... 27

10.1 RESPONSIBILITIES....................................................................................... 27
10.2 MAINTENANCE TRIGGERS ........................................................................... 27

**11 APPENDICES:** .................................................................................................. 28

- Appendix A- MRT Master Checklist ................................................................. 28
- Appendix B- Process Flow Chart ...................................................................... 30
- Appendix B (continued) - Process Flow Chart ............................................... 31
- Appendix C Critical Business Functions and Supporting Information Systems .... 33
- Appendix D- ICS Organizational Chart ............................................................ 39
- Appendix E- MIS Recovery Team .................................................................... 40
1. Introduction

Background

About the City. The City of San Luis Obispo is located midway between San Francisco and Los Angeles approximately 8 miles from the Pacific Coast. The City’s population is about 43,000, including 17,000 students from California Polytechnic University. As the county seat, the City hosts a number of state and federal agencies besides Cal Poly. Among these are Cuesta Community College and the Regional Water Quality Board.

Commitment to Disaster Planning. The City has recognized its responsibility to the community to maintain services in the event of a disaster and has been proactive in preparing for potential emergencies. Plans have been developed for emergency response to specific types of disasters that include earthquake, flood, fire, hazardous material and nuclear power plant incidents. These plans address methods to maintain or restore physical protection and services in the region.

Use of Information Technology in Providing Essential Services

The computer systems that were initially a convenience have become a necessity in the execution of the City’s business. Information technology enables the City to deliver essential services to its citizens, including development and execution of the City budget and assistance in the dispatch of fire and police services. It enables recording and maintaining records of citizens’ critical personal events. The business processes provided by the City depend on the operation of networked computers.

There are a number of ways that the services provided by the City’s management information systems (MIS) could be interrupted. Natural disasters such as earthquakes and floods, or accidental events as simple as the misfiring of the fire protection sprinklers could cause direct loss of computers or the loss of power and therefore the inability to use computer equipment.

Plan Objective. The objective of this plan is to develop procedures to prepare for and recover from an event that results in loss of business functions that depend on information technology. This plan is separate from the existing plans developed by the city, which describe the City’s response to flood, fire, earthquake, hazardous materials and nuclear power plant disasters. These existing City plans do not currently address special measures to accommodate information technology systems. As the Fire Department updates existing plans, it will incorporate this plan into those documents.

This MIS Recovery Plan (MRP) explicitly applies to information technology losses that occur as a result of City emergencies covered by one of the existing plans or an information technology loss that results from an independent event. This plan describes an organization for planning and leadership that is consistent with the City’s emergency recovery plans.
2. Organization

2.1 Overview

This plan is predicated upon the formation of three Incident Command System groups from the City employees for purposes of planning and implementing disaster recovery operations:

- Administrative/Policy Group (APG)
- Management Information System Recovery Team (MRT)
- Disaster Preparedness Committee (DPC)

For emergency operations, the City has established the Incident Command System. This organization is discussed in section 2.2. Portions of that organization will be further emphasized for this plan. Decisive leadership is the foundation for rapid and effective resumption of operations in the event of a disaster. To ensure rapid decision-making, unity of purpose, and aggressive implementation of recovery procedures, the City will form an Administrative/Policy Group whose primary focus is the provision of clear and decisive leadership in the event of a disaster. The APG, whose decision-making authority rests with at least two senior executives of the City, operating with the advice and counsel of senior managers, will have overall responsibility for directing disaster recovery operations. The APG is discussed in greater detail in section 2.3.

To facilitate MIS recovery operations, the City will appoint a small group to act as primary MIS recovery personnel. These personnel will be referred to as the MIS Recovery Team. The MRT is discussed in Section 2.5.

Finally, a sound MIS recovery plan requires ongoing training, preparation, testing, and plan modification. A Disaster Preparedness Committee will be charged with responsibility for ongoing disaster recovery preparedness. The DPC is discussed in Section 2.5.

2.2 Incident Command System and City Emergency Organization

The City will manage emergencies using the Incident Command System (ICS). ICS is a modular emergency management system designed for incidents involving a multi-jurisdictional response. It provides effective direction and control of an emergency from the time of notification, through all its stages, until the situation de-escalates to a point where emergency resources are no longer needed.

ICS consists of several components. When applied together, the following provide the basis for effective emergency management:
• Common terminology
• Modular organization
• Integrated communications
• Unified command structure
• Consolidated action plan
• Manageable span-of-control
• Pre-designated incident facilities

The modular aspect of ICS establishes a dynamic emergency organization based on the resources needed to support all phases of an emergency. The organization’s staff will be integrated from the top down. If a situation escalates, additional resources can be brought into the organization, and likewise, when the situation de-escalates, resources can be released when they are no longer needed.

The chart found on the inside cover of this document ICS Organization Chart illustrates the City’s Incident Management Organization for various types of emergencies. The staffing and actual structure of the organization will vary based on the type and severity of an emergency.

The Incident Management Organization is headed by the Incident Commander (IC). The IC has overall responsibility for the City's emergency management. The Mayor or designee will act as the Director of Emergency Services and provide policy guidance to the Incident Commander.

The Police Department Watch Commander or the on-duty Battalion Chief will act as the IC at the onset of an emergency. When a designated Incident Commander arrives at the City Emergency Operations Center (EOC), the acting IC will relinquish command and act as the Deputy Incident Commander until command is stable and the arriving IC has been briefed. When the Incident Management Organization is mobilized, the IC is supported by five functional groups:

• Command Staff
• Operations Section
• Planning Section
• Logistics Section
• Finance Section. The MRT is one of two units operating under the Finance Section Chief.

2.3 The Administrative/ Policy Group

The Administration/Policy Group is headed by the Mayor, assisted by the City Administrative Officer, City Council, Human Resources Director and the City Attorney
who will provide legal and long-range policy. Direction to the Incident Commander must be continually updated. In particular, the APG is responsible for:

- Initial assessment of a potential disaster.
- Formal declaration of a disaster.
- Formulation and implementation of a suitable response strategy.
- Management, leadership and final decision authority during all phases of disaster recovery.
- Determination of a suitable strategy for resuming normal operations at an appropriate time.
- Formal declaration of disaster termination and resumption of normal activities.
- Providing recognition of outstanding efforts on the part of City employees and scheduling of compensatory time where appropriate.

2.4 MIS Recovery Team

The MRT is headed by the City’s Information Systems Manager and staffed by the Information Systems employees normally assigned. This core MRT will be augmented with System Recovery Units (SRU). The SRUs are representatives from the various city staff sections who are knowledgeable in the operations of the computer systems belonging to the various City departments. The SRUs are appointed by the Department Heads when the need is evident.

The MRTs purpose is to implement procedures designed to ensure preparedness and to be the reaction teams in the event of a true disaster or emergency. The critical nature of disaster recovery, and the fact that MRT members may be the only staff personnel called in to provide services, requires that the MRT team members be experienced and knowledgeable personnel who are capable of assuming duties outside their normal responsibilities. A broad understanding of multiple city processes is an ideal team member qualification. The team leader, in particular, is a seasoned manager with detailed knowledge of all operations and functions within the business unit.

2.5 The Disaster Preparedness Committee

Finally, a disaster recovery plan is, of necessity, a “living document.” It is subject to constant change and update. To assure the currency of this document, the City will utilize the Disaster Preparedness Planning Committee to ensure that this plan is reviewed, updated and tested on a regular basis.

Per the City’s Municipal Code, (2.24.060), a Disaster Council is established. This Council is headed by the Mayor (Emergency Services Director (ESD), City Administrative Officer (Assistant Emergency Services Director) and Fire Chief (Deputy Director of Emergency Services) appointed by the ESD.
Under the Municipal Code (2.24.060.d), the Fire Chief (Deputy Director of Emergency Services) has established a Disaster Preparedness Committee (DPC) to oversee and coordinate disaster preparedness measures in the City. The DPC is headed by the Fire Chief and is composed of representatives from the Fire Department, Police Department, Public Works Department, Utilities Department, Human Resources (Risk Manager) and Administration.

The DPC is responsible for planning, directing and coordinating disaster preparedness measures within the City. The DPC is strictly a steering body for pre-disaster preparedness, and does not convene during the emergency phase of operations.
3. Objectives and Guidance

3.1 Plan Objectives

This plan has been formulated to obtain the general goal of restoring critical City operations in the event of a natural disaster or civil emergency. To obtain this goal the plan is designed to achieve the following objectives:

- **Avoid loss of human life.** No operations of the City justify any risks to human life in excess of those normally encountered in daily living; therefore, the plan is designed to ensure the safety of City employees and the public.

- **Prevent lawsuits.** The plan ensures that the City employees resume operations without extraordinary or unusual actions, which could result in a public lawsuit.

- **Exercise proactive, rather than reactive, decision-making.** The plan emphasizes preparation and readiness, rather than reaction in the event of a disaster.

- **Assist adjacent entity efforts for recovery.** The plan encourages looking for opportunities to help adjacent organizations during the planning and recovery process. This will engender strong feelings of mutual support during the recovery. The bond that is generated during the recovery process will last well past the end of the disaster.

3.2 General Guidance for Disaster Operations

It is not possible to explicitly account for every possible contingency and plan a detailed response to each. The plan establishes basic procedures that are likely to apply, in greater or lesser measure, in any situation that causes significant disruption of critical city services or facilities or poses a significant threat to the safety of City employees. Nonetheless, any disaster situation will require the exercise of prudence, common sense and good judgment. Department Heads will be responsible for assessing a situation and responding appropriately, while providing leadership and guidance to subordinate employees. Based upon the objectives stated above, and in the absence of special instructions, all should operate according to the following principles:
• Protect employee safety above all other considerations.
• Ensure City employee cooperation with uniformed civil emergency authorities such as the police, fire fighters, emergency medical personnel and the military.
• Do not engage in or pursue any activity that is unethical or illegal, regardless of circumstances.
• Ensure that the City employees promptly reimburse the private sector for any goods or services received during course of recovery and disaster operations.
• Ensure that City employees perform to the same high standards during emergencies that characterize normal operations.

This plan is written to enable the applications of these principles. Department Heads and City officials are encouraged to apply these principles as they continue their excellent service to the City.
4. Disasters

4.1 Definition

For the purposes of this plan a disaster will be defined as follows:

*A disaster is any incident, event or circumstance which significantly threatens the safety and well-being of City employees; deprives employees of access to their offices, facilities, or information systems for a prolonged period of time; or otherwise prevents the City from conducting normal operations.*

Disasters may include (but are not limited to):

- Natural calamities such as earthquakes and severe storms.
- Fires.
- Riots or civil disturbances.
- Terrorist activities.
- Extended power or water outages.

Final determination of whether a disaster has occurred under this definition will rest with the Administrative/Policy Group, which is discussed in Section 6—General Emergency Response Procedures. In determining whether to declare a disaster and begin recovery operations, the APG will need to consider a number of factors including the cost of recovery (involving use of outside vendors and office facilities) and the threat to City employees’ safety and well-being. The APG will need to consider the extent of the disaster, the severity of the disaster, and the estimated duration of the disaster.

4.2 Extent

The circumstance or event that triggers the meeting of the APG will have a geographical extent or geographical area of impact. All other factors being equal, the broader the geographical extent of the event, the greater the difficulty government will face in stabilizing the situation and providing for the resumption of normal life.

The APG will also need to consider the extent of the disaster from the standpoint of its impact on City operations. While the impact may be severe, it may be confined to a few offices or to a specific area of operations, such as a prolonged outage of mission critical information systems due to sabotage. The APG should consider the extent to which City operations are affected before determining an appropriate reaction. In general, the broader the extent, the better the case for beginning disaster recovery operations.
4.3 Severity

Severity addresses the amount of damage, which has occurred as a result of the incident. In general, damage can best be measured in dollars but other criteria should be used as appropriate (such as percentage of office space rendered unusable or the number of employees who cannot report for work). Again, increased severity argues for the commencement of appropriate recovery operations.

4.4 Duration

Incident duration is a crucial issue in deciding whether to initiate disaster recovery operations. In general, the cost, inconvenience and difficulty of disaster recovery operations argue for restraint in any situation for which the remaining incident duration time (time until normal operations can be resumed) is short. The APG should carefully weigh the options of suspension of operations, limited disaster recovery and full disaster recovery in any given scenario.

4.5 Safety

The final, and most important, issue is identifying any potential threats to City employee safety. Any recovery strategy must mitigate or eliminate such threats. If such threats cannot be reasonably controlled or contained as part of the response strategy, the City should suspend operations until such time as safety issues can be resolved. For purposes of this plan, a safety threat is any identifiable and credible potential for an employee to be seriously injured or become ill while performing his/her normal duties. Such threats must be controlled not only within the work environment, but also during transportation to the work site. Thus, even incidents, which do not affect City physical premises, but do significantly raise the risk of injuries during commutes to and from work, may be legitimately declared a disaster.
5. MIS Recovery Preparation

5.1 MIS Recovery Team and System Recovery Units

Responsibilities of MRT members and System Recovery Units (SRU) include:

- Be familiar with business functions and procedures of their assigned sections.
- Know the business function responsibilities of other staff members.
- Know required office equipment needed to perform normal and critical business functions.
- Assist in ongoing planning, preparation and review of disaster recovery site and backup locations (including storage sites for emergency supplies).
- Know emergency recovery procedures.
- Be familiar with alternate recovery site options.
- Assist in disaster recovery training.
- Assist in ongoing review and testing of the disaster recovery plan.
- Maintain off-site inventories and backups copies of critical files.
- Maintain off-site backups of data files and applications.
- Be aware of any other preparations required to ensure that their staff section can implement disaster recovery operations.

5.2 City Employees

Responsibilities for other City employees include:

- Receive and act on an alert notification.
- Be familiar with the MIS recovery plan and procedures.
- Secure critical paper files on an ongoing basis, ensuring that their staff section can implement disaster recovery operations.
- Assist in maintenance of other resources required to perform critical business functions including: office equipment, such as postage meters, fax machines, photocopiers, office supplies (paper, envelopes, letterheads and staplers) and other critical materials such as active paper files, floppy disks and rolodexes.
5.3 Disaster Preparedness Committee Responsibilities

The DPC’s responsibilities can be divided into several major areas:

- Modified authority for purchase orders and petty cash.
- Telephone alert rosters.
- Paper document recovery.

Each of these areas is discussed in some detail in the following sections.

5.3.1 Recovery Locations

The DPC is responsible for maintaining and publishing a list of off-site location options for disasters. If a disaster occurs that requires the IS systems to be evacuated from City Hall, it is likely that the City would move to another owned City site. The first choice will be Emergency Operations Center (EOC) at Fire Station #1. Another alternate location will be the City’s Corporation Yard.

At the time of the emergency, the IC should determine the need for additional off-site options, especially if long-term operations were to be considered. The MRT will consider the possibility of using county buildings or Cal Poly facilities for possible alternate operating sites. In the event of an earthquake, it may be necessary to move some distance away from the current location to be able to function effectively.

Working in coordination with the Information System Manager, the DPC will:

- Identify government-owned and private facilities at various distances from the City offices, which could be used as disaster recovery sites.
- Periodically visit and inspect identified facilities, including hotels, at varying distances from the City Hall.
- Contact and coordinate with owners or managers of identified recovery sites and establish arrangements for facility use in the event of a disaster.
- Maintain surveys of each location, including number of rooms available, number of phone lines per room, available office services, and nearby hotel and food service facilities.
- Ensure that MRT leaders have complete information on available disaster recovery sites.

Several companies provide mobile office facilities. These organizations will deliver work facilities fully equipped according to your specifications within 24 hours after the disaster is declared. The City may consider the use of this support if appropriate.
5.3.2 System Operations and Safeguards

The following sections outline strategies and actions that have been taken in order to prepare the system so that in the event of a failure the recovery process can be facilitated in the most expedient manner.

5.3.2.1 Standardization

In order to facilitate the relocation of our computer system and/or the restoration of any failed portion of the system, it is important that software workstations, system servers and tape back-up units be standardized and compatible with each other whenever possible. This allows for swapping pieces, real time back-up and user familiarity. Additionally, each file server has internal fault-tolerant capabilities such as RAID-protected hard drives and redundant power supply.

5.3.2.2 Equipment/Available Resources

For training purposes, the City has installed a separate local area network (LAN). It consists of 12 workstations and a server, and is not part of our every day working system. This equipment is typically the most modern in the system. Should it become necessary to build a substitute system, this equipment will become the primary equipment pool for the development of a substitute wide area network (WAN) at Fire Station #1 or any other off-site location. Should the training equipment be lost, the Fire Station #1 LAN will be placed into service as the primary WAN server.

5.3.2.3 Back-Up Data Storage

System data is very important. Unlike equipment, it cannot be replaced. In order to ensure for the safe back-up of all systems, the following actions will be taken:

- Every Monday an employee at the Fire Department, Corporation Yard, City Hall and the Police Department will install a new tape in the tape back-up system located at these facilities.
- Every Monday afternoon an MIS employee will make the rounds of the server locations, collecting tapes and distributing old tapes for reuse. The collected tapes will then be stored in a software vault located at Fire Station #1 EOC.

Note. The servers located at these facilities cover the entire system.

The Police Department system requires a higher degree of security, therefore, a special system has been put in place: when a Monday falls on a holiday, the back-up simply moves to the first business day of the week.

Some locations may require more frequent tape back-up. However, at a minimum, the City will only be at risk for the loss of one week’s data.

5.3.2.4 Public Safety Answering Point (911)

The Police Department serves as the Public Safety Answering Point (911). Should this facility/system fail, the current technology requires that the system be switched to the
Sheriff’s Department Emergency Communications Center. While acceptable, this has created difficulty in past emergencies and staff is researching the possibility of installing equipment at Fire Station No. 1 to serve as a secondary answer point.

The actual dispatch and records management system for both the Police and Fire Departments also operate out of the Police Station. This UNIX-based system is not compatible with any other City-owned system and has no back-up. Staff has analyzed this situation and has concluded that a redundant system is cost-prohibitive. However, the system itself has several internal fault-tolerant capabilities, including mirrored hard drives. Should the system fail, we simply would return to a manual dispatch system awaiting arrival of a replacement.

5.3.2.5 Power Supply

In the event of a significant emergency, the power supply will more than likely be compromised. It is critical that all servers operate in facilities that can run for extended periods of time on auxiliary power. Additionally, these servers must be protected with uninterruptible power supplies (UPS) in order that the transition from one power source to another is adequately covered. Certain workstations in the system have a higher priority than others and require UPS. These decisions are the responsibility of the MIS Division and department heads.

File servers. At this time, all of our file servers are UPS protected; and file servers at critical sites (such as City Hall, Police Station, Fire Station No. 1 and the Corporation Yard) are connected to emergency power supplies (diesel generators) that are automatically are switched in the event of a power failure. UPS in these circumstances is primarily intended to serve as a “bridge” during the (usually very short) time between when regular power is lost and the generator begins providing power.

Workstations. Selected workstations at each site are plugged into emergency power outlets.

5.3.3 Paper Document Recovery

The City Clerk, working with Department Heads, will identify those recurring and one-time paper documents that must be preserved. Where possible, these documents will be scanned and the electronic results stored with other magnetic material. In the event that documents cannot be scanned, such as some legal documents, the City Clerk will arrange for their periodic collection and safe storage.

5.3.4 Purchase Order and Petty Cash Management Procedures

It is possible that during a disaster there will be a need to procure goods or services in a more expedient manner. The Financial Management Manual designates all procedures to be used for purchase orders and petty cash. If these procedures must be changed as a result of the incident, a request should be submitted to the Incident Commander.
5.3.5 Information Systems Preparations

5.3.5.1 Automated Systems Recovery

The MRT is responsible for the recovery of all required mission-critical automated systems including servers, PC-based systems and LAN services. Appendix C (Critical Business Functions and Supporting Information Systems) contains a description of principal mission critical systems that must be recovered, and made operational and accessible to end-users.

5.3.5.2 Local Area Network

To the extent possible, the MRT will ensure that disaster recovery sites are equipped with cabling and hardware that allow the immediate establishment of a LAN. Alternatively, the MRT will identify the cabling and hardware required to establish a small LAN at each site for which no current facilities exist. The MRT will maintain purchase orders, which may be executed as needed during set up of a disaster recovery site. The inventory and purchase orders should also note the required numbers and estimated configurations of any required computing equipment (such as PC’s, file servers and printers). Exact configurations may depend upon the estimated severity and duration of disaster recovery operations; the equipment configurations may be altered as needed.

The MRT is also responsible for maintaining the information technology-related sections of the disaster recovery plan. Depending upon circumstances, the MRT plan for several options for supplying LAN and computer equipment to recovery locations. These options include maintenance of:

- Readily prepared and executed purchase orders for use with computer equipment vendors.
- Purchased equipment (basic minimal configuration) that is stored at an off-site storage location.
6. General Emergency Recovery Procedures

6.1 Administrative/Policy Group Actions

The occurrence of an event that will greatly reduce the ability of the City to function properly or threaten the safety of its employees or citizens constitutes a disaster. Occurrence of such an event requires the immediate assembly of the Administrative/Policy Group.

There are a number of ways that the City could learn of the disaster. During non-business or off duty hours, the Police Watch Commander or the Battalion Chief might first learn of the event. During business or duty hours, the incident would be recognized and reported by the various affected department heads. In the event of a natural disaster, such as an earthquake, the employees may first learn of the disaster through the news media.

Regardless of how the event is discovered, the first step in the emergency response is to notify the members of the Administrative/Policy Group and establish an IC. Notification methods include phone, radio or cell phone. The roster of personnel to be notified and the method by which each is to be reached will be maintained in the Fire Department’s Emergency Operations Center (EOC).

The IC will determine and announce the location for a meeting to discuss and determine response strategies.

6.1.1 Assess Disaster

Upon assembling the Administrative/Policy Group, the IC or his/her designated representative will oversee an assessment of the disaster. For internal incidents, knowledgeable and appropriate City employee members will be interviewed to determine the nature, extent and severity of the incident. In the case of external disasters, the IC will supervise efforts to obtain information from appropriate government agencies, adjacent organizations and municipalities, news media, and site visits. The following issues are to be assessed:

- Nature of the incident.
- Geographical extent of the incident.
- Internal extent of the incident.
- Severity of the incident.
- Estimated duration of the incident (period of time during which resumption of normal operations and activities will not be possible).
- Threats, if any, to City employee or citizen safety.
Upon completing an initial assessment of the incident, the IC will determine whether to request the APG to declare a disaster event. If the IC determination is that a disaster will be declared, then the APG will establish priorities for the resumption of appropriate City operations. These priorities may include temporary suspension of some or all City operations. Based upon disaster circumstances and the priorities established by the IC, the APG will develop an initial response strategy.

6.1.2 Initial Recovery Actions

Developing an initial strategy will involve the actions described in the following sections.

6.1.2.1 Declaration of a Disaster

It is the responsibility of the APG to recommend that the full City Council produce a formal declaration of disaster. A formal declaration may contain the information of sections 6.1.2.2 - 6.1.2.5 or this information may be released as a separate document is produced in concert with the IC and City Attorney.

The IC will develop a statement designed to inform employees of the nature, extent, severity, duration, and safety considerations of the disaster. This statement, known as an Incident Action Plan (IAP) should provide the IC’s assessment of the situation and an overview of his/her response. Any special instructions to City employees should be included in this statement and disseminated according to the Incident Action Plan. The IAP is published by the Planning Section for each operational period (24 or 12 hours) and contains the following information:

- Operational functions.
- Recovery center emergency operations.
- Objectives and priorities.
- Coordination with other agencies involved in disaster recovery.
- Safety.

Any information for release to the public will be coordinated through the Public Information Officer.

6.1.2.2 Operational Functions

Using available information about the severity and geographical extent of a disaster, the IC or Operations Section Chief (OSC) will identify which business functions are to be operational. Under some circumstances, the IC may decide to suspend routine business functions and provide only those services considered critical to the City’s disaster recovery efforts. The IC or OSC will identify the functions, which are to operate during the disaster recovery and a tentative schedule for resumption of the remaining City functions.
6.1.2.3 Recovery Center Emergency Operations

Consistent with the operational functions identified above, and after determination of the local vs. regional impact of the disaster, the IC will identify if disaster recovery center(s) are to become operational. If more than one site is identified (e.g. a computer operations site and two office sites), the functions and personnel assigned to each will be established by the IC. The IC will also establish a schedule for activation of disaster recovery teams to prepare the recovery sites for staffs as functions are resumed. It should be noted that normal City offices might be the “disaster recovery site” for localized disasters.

6.1.2.4 Objectives and Priorities

Consistent with the decisions of the preceding two sections, the IC or OSC will establish objectives for operations and support. Priorities are critical in severe or extended disasters since resources may be unavailable in spite of extended planning and preparation. The City employees must have a clear understanding of which operational functions have first claim to available resources. Such a priority list will facilitate smooth resumption of services and reduce conflicts between staff groups.

The priority list should be consistent with the schedule established in section 6.1.2.2 and with those operational functions to be resumed receiving highest priorities for resources. Priorities may change, however, as recovery proceeds and other operations are resumed. As part of its establishment of priorities, the APG will identify the order in which information systems are to become operational. The priority list for information systems should be based upon the needs of the staff activities whose operations are to be resumed first.

6.1.2.5 Coordination with Civil Emergency Response Agencies

A necessary part of a coherent initial disaster response is the need to identify the entities with which the City will need to coordinate its actions. Private sector providers of goods and services will also be identified. These entities should be informed of the City’s recovery site locations and telephone numbers, services to be provided, emergency procedures, points of contact, and any other pertinent information such as requested support required to facilitate coordination between the City and other agencies.

6.1.2.6 Safety Issues

A primary concern of both the APG and the IC will be the identification of all issues relating to the safety of both the citizens and the city employees. Dissemination of these concerns will have top priority using the communication methods described above.
6.2 Initial Disaster Recovery Operations

6.2.1 Alert Notification
Consistent with the initial response strategy developed by the IC, initial notification of employees for disaster recovery will be made through the use of telephones. Employees who receive information (such as through the news media) on a disaster that may affect City operations are responsible for returning to work to see if their assistance is required.

6.2.2 MIS Recovery Team Assembly
MIS Recovery Team and System Recovery Units are responsible for initial preparation and setup of disaster recovery sites (possibly in preparation for other employees to be called in) and for performing those operational functions designated by the IC. In some cases, MRT members may be the only employees called in to perform the functions of their particular office. Disaster recovery teams will assemble at sites designated by the IC. Each employee is responsible for provision of his/her own transportation, though cooperation with other employees is encouraged (such as car-pooling). Employees are responsible for preparing and bringing appropriate belongings for extended stays at sites outside of feasible commuting ranges when notified by MRT leaders.

Each MRT/SRU will maintain its own alert notification roster. In addition to a cellular telephone for emergency use, each MRT member should have access to a laptop computer configured with appropriate software.

6.2.3 Relocation to Recovery Center
Relocation to disaster recovery centers will be coordinated within individual MRTs/SRUs, consistent with any guidance received from the IC or OSC. Regardless of circumstances, each designated MRT/SRU member is ultimately responsible for ensuring that he/she is prepared and present at the disaster recovery center at the appointed time.

6.3 Restoring Critical Business Functions
Once designated recovery sites (which may be normal City offices) are staffed, the resumption of designated business functions will take place under the direction of the MRT leaders and senior managers. Normal recovery will involve the following steps:
1. Establish accountability for all employees and provide for safety and comfort.
2. Set up office furniture and equipment.
3. Establish work locations for each employee.
4. Set up information technology support (computers and software).
5. Establish telecommunications where appropriate (such as establish LAN or WAN connections, ensure telephones are installed and operational).
6. Coordinate any special provisions for working at the disaster recovery site (such as notifying Federal Express, UPS and courier services of the location; arranging for bottled water delivery and obtaining a coffee make).
7. Arrange delivery of materials and inventory stored at off-site disaster recovery storage facilities.
8. Survey resource requirements and place emergency orders (such as office supplies, computer supplies and special forms).
9. Coordinate with all appropriate County and State agencies, and private sector providers to ensure that the disaster recovery center telephone numbers, address and services are known.
10. Resume designated business activities.

The MRT, SRU and other staff members will continue to operate in the recovery centers until directed to deactivate the centers by the IC.

6.4 Concurrent Operations

6.4.1 Critical Events Log

Disaster recovery may involve problems or decisions which may be useful for modifying the disaster recovery plan in the future, disciplining or rewarding employees, reimbursing other agencies or private sector vendors for services provided, or responding to lawsuits or other claims against the City. In order to ensure accurate and timely information is available to support any analysis or response arising from actions or decisions undertaken during disaster recovery operations, a log of all critical events will be maintained.

The IC will appoint normally from the Planning Section a representative, or recorder, who will be responsible for implementing and maintaining a critical events log during the entire period from initial notification of a disaster to completion of the post-disaster.

The log will contain a complete account of all important events, decisions and activities occurring during the disaster recovery period. As a minimum, each entry will include a description of the event, personnel involved, time and date, manager or executive responsible for resolution, and outcome (as appropriate). As deemed necessary, the recorder may include copies of documents, correspondence, telephone conversation summaries, and any other hard copy sources of relevant information. All personnel
participating in disaster recovery are responsible for notifying the recorder of important events or decisions and providing supporting documentation as necessary.

The designated recorder is responsible for maintaining the integrity, accuracy, completeness and security of the log. These responsibilities may require contacting employees, vendors or other City officials to clarify particulars or to obtain supporting documentation.

6.4.2 Purchase Orders

At his/her discretion, the IC may authorize and activate modified authorities for purchasing during a disaster. The modified authorities should be based upon the estimated extent, duration and requirements of the disaster. The current procedures will be as stated in the Financial Management Plan.

6.4.3 Procedures for Obtaining Cash

The IC may, in the event of a disaster, activate petty cash accounts and distribute appropriate documents and financial instruments (such as checks, credit cards and ATM cards) to those individuals authorized to draw petty cash.

IC will appoint a representative normally from the Finance Section who will maintain tight accountability of all petty cash expenditures and will require the following from each individual authorized to draw upon petty cash (on a weekly basis):

- Accounting of all expenditures, including amount, goods or services, purpose, beginning and ending account balances (since last report).
- Receipts for any purchase in excess of $5.
- Statement of anticipated needs or requests for additional funds (if needed).
7. Post Emergency Recovery Procedures

As disasters occur infrequently and no amount of planning can cover every possible contingency, it is important that the DPC explore every opportunity to refine and improve the disaster recovery plan and its associated procedures and preparations. Unfortunately, the lessons learned from reacting to a real disaster are just such an opportunity. This section reviews the critical post-disaster recovery procedures.

The DPC will be responsible for overseeing, coordinating and tracking all actions taken to completely terminate all disaster recovery activities and resume normal business operations. The termination of disaster recovery operations and resumption of normal business operations will be officially noted in a declaration of the APG. The APG declaration will note a specific time and date to terminate disaster recovery operations (keeping in mind there may be some “clean up” still ongoing). The DPC will use the times and dates specified in APG declarations (declaration of the disaster and termination of the disaster) as the official period of disaster recovery operations.

The DPC will prepare a report whose contents, as a minimum, review the information described in the following sections.

7.1 Review of Critical Events Log

The DPC’s first post-disaster responsibility will be to review the critical events log for accuracy and completeness. Omissions, incorrect information and unclear or inadequate entries will be charged to the recorder for correction and clarification as necessary. The DPC will use the critical events log as a basis for its further review of disaster recovery operation.

7.2 Evaluation of City Employee Response

The DPC will conduct a thorough appraisal of the adequacy of the City employee responses to the disaster. The DPC will not be limited in its review. Its review may include (but not be limited to):

- Timeliness of MRT responses.
- Adequacy of procedures and preparations.
- Quality and breadth of services provided to City, other agencies and the public during disaster recovery operations.
- Morale, safety and discipline of City employees.
- Use of petty cash and purchase orders.
- Status of tangible assets such as computing equipment, office furniture and facilities.
• Security procedures and breaches.
• Quality of coordination and cooperation with outside agencies.
• Any other aspect of City employee response deemed noteworthy.

7.3 Evaluation of Vendor Response

The DPC will undertake a separate evaluation of vendor response to in-place agreements and emergency purchase of goods and services. The quality of vendor response may result in terminating some vendors and adding others to disaster recovery agreements. The DPC’s review of each vendor may include (but not be limited to):

• Timeliness of the vendor’s response.
• Adequacy of vendor goods and services.
• Cost-effectiveness of vendor goods and services.
• Vendor’s attitude or spirit of cooperation and assistance.
• Problems encountered with the vendor.
• Staff perceptions of the vendor.

For each vendor, the DPC’s review should include recommendations for future relationships (whether the vendor’s agreement be terminated, modified or augmented).

7.4 Recognition of Outstanding Performance

Disaster operations are likely to bring out both the best and worst qualities of City employees. Those staff members whose performance and dedication go beyond the bounds of a normal call to duty should be recognized. The DPC will actively seek out employees deserving of special recognition and include reviews of their conduct as part of the post-disaster review.

7.5 Liability Assessments

The DPC will review all financial liabilities assumed during the course of the disaster recovery, including pending liabilities from claims or lawsuits. The DPC will, in its review, present the known and potential costs associated with the disaster recovery effort. The DPC may also comment upon the cost-effectiveness or appropriateness of any liabilities.

7.6 Final Report and Modification of the MIS Recovery Plan

Within ninety calendar days of the official termination of disaster recovery operations and the resumption of normal business operations, as declared by the APG, the DPC will
prepare a report which reviews the nature of the disaster and all aspects of the City employee responses as outlined above. The report will also discuss:

- Problems (such as claims, lawsuits, inter-agency disputes, replacement of lost assets and budget shortfalls) that arose due to disaster recovery operations and which remain to be resolved.
- Recommendations for the resolution of any problems specified above.
- Recommendations for improvement of disaster recovery operations, preparedness and the disaster recovery plan.
- Any other disaster recovery information deemed important or interesting to senior executives.

The report will include supporting documentation as appendices (including the critical events log). Sources of information for the report should include (but not be limited to) members of the APG, City officials and Department Heads, members of MRTs, selected citizens involved in the recovery and private sector providers.

The report will be submitted to the APG for review and approval. During its review, the APG may task the DPC to conduct additional research and review or it may conduct hearings as appropriate. Upon approval of its report, the DPC will be responsible for overseeing the implementation of approved recommendations contained therein.
8. MIS Recovery Plan Training

8.1 Responsibilities
The DPC will have primary responsibility for developing and scheduling disaster preparation and recovery training. The DPC may coordinate with the County or other external agencies to participate in their disaster recovery training.

8.2 Policies
Regular training in disaster recovery will be required of all City employees. Training will be classified according to the target audience: staff members, disaster recovery team members and senior city officials/department heads.

8.2.1 Subjects
Annual Disaster recovery training is intended to ensure that all City employees understand the following basic concepts:

- Potential causes of disaster in the area around the City offices.
- How the APG assesses and declares a disaster.
- Procedures for notifying employees.
- The responsibilities of individual employees.
- Normal procedures to facilitate disaster recovery.
- Overview of the City disaster recovery operations and off-site recovery locations.

In addition, MRT and SRU members will undergo specific training in their responsibilities in preparing and responding to a disaster situation. Senior City officials will be kept apprised of the policies and procedures contained within the disaster recovery plan.

8.2.1.1 General Training
All City employees will undergo an initial lecture on the topics listed above, either as part of the approval of this plan or as part of an annual lecture delivered to all newly hired personnel. Subsequent refresher training will be given to ensure familiarity with the disaster recovery procedures and to inform employees of any significant changes to the disaster recovery plan.
8.2.1.2 MIS Recovery Teams and SRU Members

MRT and SRU members, in addition to the general training described above, will be given additional training in:

- Location and status of disaster recovery sites.
- Recovering information technology services.
- Responsibilities and procedures of MRTs and SRUs.
- Coordination and cooperation with other federal, state and local agencies engaged in disaster recovery efforts.

MRT and SRU members will also participate in periodic disaster preparedness tests, post-test reviews and periodic reviews of the MIS Recovery Plan.
9. MIS Recovery Plan Testing

9.1 Responsibilities

The DPC is responsible for conducting periodic disaster recovery tests to evaluate preparedness and to review the adequacy of existing procedures. These tests will typically involve only the DPC, MRT and the Information Systems Division.

9.2 Policies

9.2.1 Testing

The DPC may, within reason, conduct whatever tests are deemed necessary to ensure that the City employees are adequately prepared to respond to an emergency and that the disaster recovery procedures and preparations are adequate. As a minimum, however, the DPC will test annually the restoration of system backups to backup computer systems and the ability of the MIS Section to bring backup computer systems on-line and into full production.

In addition, representatives of the DPC will annually inventory any off-site storage facilities to ensure the security of materials stored and the adequacy of stocks maintained at these facilities. As part of the annual inventory, the DPC will review all existing contracts and executable purchase orders, which are maintained to assist in disaster recovery operations. The review will ensure the adequacy and currency of these agreements and purchase orders. Modifications and adjustments are to be made as appropriate.

9.2.2 Frequency

The DPC will schedule at least one MIS recovery test each calendar year. The tests will be at least six months apart, and be designed as training tool so that employees may gather valuable experience.

9.2.3 Evaluation of Results

After each test, the DPC representatives will document the results of the test. The written report will discuss any problems or unsatisfactory results obtained as a result of the test, together with recommendations for corrective action. The report will be reviewed by the APG for approval to implement the recommendations contained therein.
10. MIS Recovery Plan Maintenance

10.1 Responsibilities

The DPC is responsible for maintenance of the MIS Recovery Plan. The overall and final responsibility will rest with the chairperson of the DPC. However, the Information Systems Manager is expected to maintain the currency of all portions of the plan which are information system specific or which depend upon information systems for execution during disaster recovery operations.

Other conditions that may “trigger” a review and modification of the disaster recovery plan are reviewed in section 10.2.

10.2 Maintenance Triggers

The Chair of the DPC is responsible for ensuring that the disaster recovery plan is maintained and modified as a result of periodic tests, inventories and meetings with the IC. In addition, the events below should cause either the Chair of the DPC or the Information Systems Manager to immediately update the plan. These events are:

- **Hardware Changes.** Major changes to the City’s information technology infrastructure, including network configuration changes.

- **Software Changes.** Major modifications, deletions and additions to the City’s information technology infrastructure

- **Employee/MRT Member Changes.** Any critical changes in City employees or MRT members.

- **New Infrastructure.** Any other enhancements to the City’s information systems that may impact on disaster recovery operations
Appendix information is designed to allow tear-out for field use as Field Operations Guides (FOG).

**Appendix A—MRT Master Checklist**

- Notify Director And Deputy Director
- Notify All APG members
- Activate Critical Events Log
- Notify All Department Heads
- APG meets
- Prepare Disaster Assessment
- Prepare Initial Response Strategy
  - Identify Operational Functions
  - Identify Primary Recovery Sites
  - Establish Priorities
  - Coordinate With Federal, State, County, And Other Authorities As Appropriate
- Establish and Publish “Command Post” Location and Telephone Numbers For APG
- Announce/Publish Response Strategy
- Release Public Information
- Coordinate Movement To Disaster Recovery Sites With Facilities
- Assemble MRT/SRU and Associated Equipment, Files, Computer Software/Hardware
- Ensure Distribution of Cellular Phones, Pagers, Laptops, and Other Personal Communications and Computing Devices.
- Activate Modified Authorities For Purchasing
- Activate Petty Cash Accounts
- Establish Transportation and Hotel Reservations for Employees as Appropriate
- Relocate to EOC
- Establish Accountability for All Employees at Each Site
- Coordinate Movement of Equipment and Supplies from Pre-Positioned Stocks
- Set-Up Office Equipment and Furniture
- Establish Work Locations for Employees
- Set-Up Information Technology Support (Computers and Software)
☐ Load Backups and Bring Hosts/Servers On-line
☐ Establish LAN/WAN Links
☐ Establish Telephone Service
☐ Establish Connections to Remote Research Services, If Needed
☐ Inform Service Providers (Such As UPS, FEDEX) and Courts of Location and Telephone Numbers
☐ Survey Software, Equipment and Supplies at Sites, Place Emergency Orders for Shortfalls
☐ Resume Identified Business Functions
☐ Determine Missing Documents and Computer Files and Coordinate Recovery
☐ Ongoing Coordination with Federal, State and Municipal Authorities
☐ Ongoing Public Relations Coordination
☐ Schedule Future Actions (Modification of Initial Response Strategy)
☐ Assign MRT/SRU Members Additional Responsibilities As Necessary (Such As Coordinating Supplies, Answering Telephones, Tracking Equipment, Maintaining Log of Critical Events)
Appendix B—Process Flow Chart

Disaster Event Occurs

Notify City Leadership
1. CAO
2. Council

Notify Emergency Leadership
1. APG
2. MRT/SRU

Determine Response
1. Prepare Disaster Assessment
2. Prepare Initial Response Strategy
3. Establish Recovery Location
4. Announce Strategy

#1
Appendix B (continued) - Process Flow Chart

Inform Public and Employees
1. Release Public Information
2. Initiate Alert Notification
3. Coordinate Movement to DR Site

Prepare for Recovery
1. Assemble MRT and Equipment
2. Distribute radios and Laptops
3. Activate Modified Purchasing
4. Activate Petty Cash Procedures
5. Activate Employee Expense Procedures
6. Arrange Transportation & Lodging if Necessary

Relocate to DR Site

#1
City of San Luis Obispo IT Disaster Recovery Plan

Prepare DR Site for Operation
1. Establish accountability for all MRT/SRU members
2. Coordinate delivery of supplies & equipment
3. Set-up office furniture & equipment
4. Establish employee work locations
5. Set up computers
6. Restore host computers
7. Establish LAN/WAN links
8. Establish phone service
9. Establish connections to remote servers, e.g. ISPs
10. Inventory equipment/supplies & place order for shortfalls

Resume Designated Business Functions
1. Determine missing files/documents & coordinate their recovery
2. Coordinate with State, Federal & local agencies (ongoing)
3. Public relations effort (ongoing)
4. Perform business functions

Evaluate Situation
Schedule New Business Function as appropriate and modify response strategy

Post-Disaster Operations
1. Secure DR Site
2. Recover to normal offices
3. Conduct post-disaster evaluation
Appendix C—Critical Business Functions and Supporting Information Systems

<table>
<thead>
<tr>
<th>Critical Process</th>
<th>Department</th>
<th>Division/Function</th>
<th>Hardware</th>
<th>Software</th>
<th>Network</th>
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</thead>
<tbody>
<tr>
<td>1. Provide communication services (dispatch, 911, etc.) and directed emergency response</td>
<td>Police</td>
<td>Patrol Services/Communication Services</td>
<td>External Interfaces (CLETS, DOJ)</td>
<td>Spillman, 911 Dispatch</td>
<td>PD LAN</td>
</tr>
<tr>
<td>2. Provide and maintain radio systems</td>
<td>Fire</td>
<td>Communication Services</td>
<td>911 System, EOC, PC’s on Crash Carts</td>
<td>MS Office, GroupWise, FoxPro DB Applications)</td>
<td>City Hall LAN</td>
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<tr>
<td>3. Operate a functional EOC at Fire Station 1 including:</td>
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<td>Disaster Preparedness</td>
<td>PC, Printer</td>
<td>GroupWise, MS Office</td>
<td>City Hall LAN</td>
</tr>
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<td>• operating program direction and evaluation and communication with Council and department heads during emergencies</td>
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<td>Administration (CAO)</td>
<td>PC, Printer, Proxy server</td>
<td>GroupWise, MS Office</td>
<td>City Hall LAN</td>
</tr>
<tr>
<td>• provide advice to the City Council, various commissions, committees, department heads and city employees throughout the organization</td>
<td></td>
<td>Attorney</td>
<td>GroupWise, MS Office, Westlaw</td>
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<td>City Hall LAN, Internet</td>
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<td>Critical Process</td>
<td>Department</td>
<td>Division/Function</td>
<td>Hardware</td>
<td>Software</td>
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<td>4. Provide potable water services to the community</td>
<td>Utilities</td>
<td>Water</td>
<td>Embedded systems</td>
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<td>5. Provide wastewater collection and treatment for the community</td>
<td></td>
<td>Wastewater</td>
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<tr>
<td>7. Determine safe and habitable buildings</td>
<td>Community Development</td>
<td>Building</td>
<td>PC’s &amp; Printers</td>
<td>GroupWise</td>
<td>City Hall LAN</td>
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<td>8. Determine whether assistance is needed in damage assessment</td>
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<td>9. Accumulate and report damage assessment and damage repairs</td>
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<tr>
<td>10. Provide non-emergency police patrol services, responses and interventions.</td>
<td>Police</td>
<td>Patrol Services/ Communication Services</td>
<td>External Interfaces (CLETS, DOJ)</td>
<td>Spillman, 911 Dispatch</td>
<td>PD LAN</td>
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<tr>
<td>Critical Process</td>
<td>Department</td>
<td>Division/Function</td>
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<td>11. Manage the city’s telephones</td>
<td>Finance</td>
<td>Information Systems</td>
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<td>Pac Bell, GST Call America</td>
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<td>12. Coordinate local area and wide area network support</td>
<td></td>
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<td>All LAN’s</td>
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<td>13. Prepare and disseminate information (legal and promotional publications, posting of ordinances, resolutions, public hearings, legal notices, etc.)</td>
<td>City Clerk</td>
<td>Records</td>
<td>PC’s &amp; Printer</td>
<td>MS Office GroupWise</td>
<td>City Hall LAN</td>
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<tr>
<td>14. Conduct maintenance and repair infrastructure</td>
<td>Utilities</td>
<td>Water Distribution</td>
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<tr>
<td>15. Provide storm drain and creek maintenance</td>
<td>Public Works</td>
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<td>Flood Control</td>
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<td>16. Provide emergency response</td>
<td>Parks &amp; Recreation</td>
<td>Administration</td>
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<td>17. Provide logistical support during city emergency operations</td>
<td>Police</td>
<td>Investigative Services</td>
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<td>Internet Access via SLONET</td>
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<td>Critical Process</td>
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<td>19. Manage, maintain, and operate the Finance Department’s computer system</td>
<td>Finance</td>
<td>Information</td>
<td>Pentamation Server, SLO 1 server,</td>
<td>Pentamation</td>
<td>City Hall LAN</td>
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<td></td>
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<td>Systems</td>
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<td>20. Provide workstation and printer support</td>
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<td>Accounting</td>
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<td>21. Ensure the completion of payroll on a bi-weekly basis</td>
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<td>Revenue Management</td>
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<td>PC w/modem</td>
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<td>(external interface)</td>
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<td>22. Process the City’s Accounts Payable</td>
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<td>23. Prepare daily deposits/receiving and deposit city revenue</td>
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<td>24. Administer utility billing system</td>
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<td>25. Administer TOT (Transient Occupational Tax) Maintain banking services/on-line access to bank balances</td>
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<td>26. Administer the accounts receivable system</td>
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<td>27. Administer the business tax system/licensing the business’ within city limits</td>
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<td>Critical Process</td>
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<td>28. Provide employee benefit administration</td>
<td>Human Resources</td>
<td>Administration</td>
<td>PC’s &amp; Printers, Pentamation Server, SLO 1 server</td>
<td>MS Office, GroupWise, Pentamation</td>
<td>City Hall LAN</td>
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<td>29. Provide information concerning employee whereabouts during emergency</td>
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<td>Risk Management</td>
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<td>30. Provide workers compensation claims administration</td>
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<td>31. Provide vehicle maintenance</td>
<td>Fire</td>
<td>Emergency Response</td>
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<td>32. Provide legal representation for the city at City Council and Planning commission meetings and defend the city against claims and litigation.</td>
<td>Attorney</td>
<td>Legal Services</td>
<td>PC’s &amp; Printers</td>
<td>MS Office, GroupWise</td>
<td>City Hall LAN</td>
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<td>33. Initiate civil lawsuits on behalf of the city</td>
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<td>34. Provide enforcement management</td>
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<td>35. Process the city mail and provide postal metering</td>
<td>Finance</td>
<td>Accounting</td>
<td>PC’s &amp; Printers</td>
<td>MS Office, GroupWise</td>
<td>City Hall LAN</td>
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<td>36. Prepare interim and annual financial reports</td>
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<td>Critical Process</td>
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<td>37. Ensure Brown Act compliance</td>
<td>City Clerk</td>
<td>Records</td>
<td>PC &amp; Printers</td>
<td>MS Office, GroupWise</td>
<td>City Hall LAN</td>
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<td>38. Coordinate and schedule Council meeting agenda items</td>
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<td>39. Provide clerical and administrative support to the Council</td>
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<td>Provide records management</td>
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<td>40. Provide ranger service</td>
<td>Parks &amp; Recreation</td>
<td>Administration</td>
<td>PC’s &amp; Printers</td>
<td>RecWare</td>
<td>Parks &amp; Recreation LAN</td>
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<td>41. Provide Sun and Fun day care</td>
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<td>Children’s Service</td>
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<td>42. Provide summer day camps</td>
<td></td>
<td>Class, Facility Rentals</td>
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<tr>
<td>43. Provide holiday camps</td>
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<td>Adult Athletics</td>
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<td>44. Coordinate STAR (Students Taking Active Responsibility)</td>
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<td>45. Manage recreation center</td>
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</table>
Appendix D- ICS Organizational Chart

I.C.S. ORGANIZATION CHART- FULL DISASTER

INCIDENT COMMANDER “IC”

ADMIN/POLICY “ADMIN”

INFORMATION OFFICER “INFORMATION”

SAFETY OFFICER “SAFETY”

LIAISON OFFICER “LIAISON”

LOGISTICS SECTION

“LOGISTICS”

INCIDENT COMMANDER “IC”

SAFETY OFFICER “SAFETY”

LIAISON OFFICER “LIAISON”

ADMIN/POLICY “ADMIN”

OPERATIONS SECTION “OPERATIONS”

SITUATION UNIT “SIT UNIT”

PLANNING SECTION “PLANNING”

FINANCIAL SECTION “FINANCE”

ADMIN/POLICY “ADMIN”

INFORMATION OFFICER “INFORMATION”

SAFETY OFFICER “SAFETY”

LIAISON OFFICER “LIAISON”

LOGISTICS SECTION

“LOGISTICS”

COMMUNICATIONS SECTION “COMMUNICATION”

FINANCIAL SECTION “FINANCE”

PLANNING SECTION “PLANNING”

COMMUNICATIONS SECTION “COMMUNICATION”

LAW BRANCH “LAW”

FUNCTIONAL RESPONSIBILITIES

COMMAND/COORD
SITUATION REPORTING (GENERAL)
TRAFFIC MGT.
EVACUATIONS
SECURITY
BUILDING COLLAPSE/RESCUE

FIRE BRANCH “FIRE”

FUNCTIONAL RESPONSIBILITIES

COMMAND/COORD
SITUATION REPORTING (BUILD.
COLLAPSE, RESCUE, INJURIES)
MASS INJURIES/ MEDICAL
MAJOR FIRES
HAZMAT. RELEASE

UTILITIES BRANCH “UTILITIES”

FUNCTIONAL RESPONSIBILITIES

COMMAND/COORD
SITUATION REPORTING (WATER)
SANITATION DISRUPTION
DAM EVALUATION (WHALE ROCK)
BUILD. COLLAPSE/RESCUE
LOGISTICS SUPPORT

PUBLIC WORKS BRANCH “PUBLIC WORKS”

FUNCTIONAL RESPONSIBILITIES

COMMAND/COORD
SITUATION REPORTING (ROADS & BRIDGES)
CITY ROADS DISRUPTION
LOGISTIC SUPPORT/PARKS/BUILD. DIV. TO LOGISTICS SECTION
BUILD. COLLAPSE/RESCUE
STATE ROADS DISRUPTION

LAW BRANCH “LAW”

FUNCTIONAL RESPONSIBILITIES

COMMAND/COORD
SITUATION REPORTING (GENERAL)
TRAFFIC MGT.
EVACUATIONS
SECURITY
BUILDING COLLAPSE/RESCUE

FIRE BRANCH “FIRE”

FUNCTIONAL RESPONSIBILITIES

COMMAND/COORD
SITUATION REPORTING (BUILD.
COLLAPSE, RESCUE, INJURIES)
MASS INJURIES/ MEDICAL
MAJOR FIRES
HAZMAT. RELEASE

UTILITIES BRANCH “UTILITIES”

FUNCTIONAL RESPONSIBILITIES

COMMAND/COORD
SITUATION REPORTING (WATER)
SANITATION DISRUPTION
DAM EVALUATION (WHALE ROCK)
BUILD. COLLAPSE/RESCUE
LOGISTICS SUPPORT

PUBLIC WORKS BRANCH “PUBLIC WORKS”

FUNCTIONAL RESPONSIBILITIES

COMMAND/COORD
SITUATION REPORTING (ROADS & BRIDGES)
CITY ROADS DISRUPTION
LOGISTIC SUPPORT/PARKS/BUILD. DIV. TO LOGISTICS SECTION
BUILD. COLLAPSE/RESCUE
STATE ROADS DISRUPTION

LAW BRANCH “LAW”

FUNCTIONAL RESPONSIBILITIES

COMMAND/COORD
SITUATION REPORTING (GENERAL)
TRAFFIC MGT.
EVACUATIONS
SECURITY
BUILDING COLLAPSE/RESCUE

FIRE BRANCH “FIRE”

FUNCTIONAL RESPONSIBILITIES

COMMAND/COORD
SITUATION REPORTING (BUILD.
COLLAPSE, RESCUE, INJURIES)
MASS INJURIES/ MEDICAL
MAJOR FIRES
HAZMAT. RELEASE

UTILITIES BRANCH “UTILITIES”

FUNCTIONAL RESPONSIBILITIES

COMMAND/COORD
SITUATION REPORTING (WATER)
SANITATION DISRUPTION
DAM EVALUATION (WHALE ROCK)
BUILD. COLLAPSE/RESCUE
LOGISTICS SUPPORT

PUBLIC WORKS BRANCH “PUBLIC WORKS”

FUNCTIONAL RESPONSIBILITIES

COMMAND/COORD
SITUATION REPORTING (ROADS & BRIDGES)
CITY ROADS DISRUPTION
LOGISTIC SUPPORT/PARKS/BUILD. DIV. TO LOGISTICS SECTION
BUILD. COLLAPSE/RESCUE
STATE ROADS DISRUPTION
Appendix E

ICS Position: MIS Recovery Team

Position Responsibilities: Responsible for directing the recovery of all automated systems with the help of the System Recovery Unit representatives.

Duty Checklist:

____ Check-in and obtain briefing from the Incident Commander.

____ Don position identification vest and READ ENTIRE DUTY CHECKLIST.

____ Assemble MRT to include SRU representatives. Brief unit members.

____ Determine operational status of City Information systems.

____ Prepare informal briefing on status of personnel, equipment and systems.

____ Attend planning meeting obtain information on overall strategy.

____ Provide briefs to the Incident commander on status of information systems.

____ Initiate and maintain MRT critical event log.

____ Develop plan with incident commander to move operation to designated site.

____ Assign tasks to MRT core and SRUs to move operations.

____ Execute conditional purchase orders for required back-up equipment.

____ Retrieve required system back-up data.

____ Develop plan with incident commander to move operation to designated site.

____ Move operational equipment to designated site.

____ Load backups and bring hosts/servers on-line.

____ Establish WAN/LAN links.

____ Establish Telephone service

____ Resume Identified Business Functions.

____ Assign MRT members additional responsibilities as necessary.

____ Provide periodic status reports to the Incident Commander.
Criteria for Significant “Off the Radar” Application Initiatives

OVERVIEW

The City’s policy for Information Technology Acquisition and Support sets forth an overall framework for guiding the growth and use of our information technology (IT) resources in improving organizational productivity, customer service and public access to City information.

For major system acquisitions, this policy states that this “should be accomplished by working from an established organization-wide priority list.” There are two key policy documents that provide this “priority listing:”

- Information Technology Strategic Plan, which sets forth significant strategic initiatives for the next four to six years.
- Financial Plan, which appropriates funding for major initiatives in the operating program or capital improvement plan (CIP) budget.

However, from time-to-time, significant IT application initiatives may emerge that should be considered for implementation that are not included in one of these policy documents. Accordingly, the purpose of these guidelines is to set criteria for evaluating significant, “off-the-radar” application initiatives.

GUIDELINES

Consistency with Acquisition and Support Policy

In general, all “off-the-radar” requests should meet the criteria for significant new systems set forth in the City’s Information Technology Acquisition and Support policy.

Applicability

Based on the factors set forth in the Information Technology Acquisition and Support policy, the following types of projects are subject to these “off-the-radar” review guidelines:

- Application is part of a strategic system initiative.
- Application requires introduction of new or added technology; or requires system upgrades to support the new application or maintain system performance.
- Application users are in more than one department. Information is generated and entered by more than one department.
Criteria for New “Off-the-Radar” Initiatives

- The application is required for the operation of other applications, systems or work outside of the department.

- Application may need to integrate with applications in other departments beyond well-defined standards.

Additionally, any initiative that qualifies as a CIP project (and thus would have been reviewed by the IT Steering Committee and CIP Review Committee as part of the budget process) is also subject to these “off-the-radar” evaluation guidelines.

**Smaller or Less Complex Projects.** New system implementations that do not meet this criteria should be evaluated using the “centralized” decision-making process set forth in the *Information Technology Acquisition and Support* policy.

**Link to Important IT Goals**

The project should demonstrate its clear linkage to significantly improving organizational productivity, customer service or public access to City information.

**Package Systems**

Off-the-radar initiatives should be “package” systems and applications that have been developed by third party vendors for use by a number of agencies, and as such, have demonstrated reliability and performance in other organizations prior to their consideration for use by the City.

**E-Government**

If the new initiative will include an interactive, financial link to the City’s web site (such as payment for services via credit card or checking account), then the “front-end” must be: developed and supported by the same “package” system vendor as the existing “back-end” system; and automatically interfaced to the back-end system.

**Software and Hardware Compatibility**

The proposed system software and hardware should be compatible with adopted City standards.

**Adequate Funding for Acquisition and Support**

This includes funding for both initial and ongoing costs for:

- Hardware.
- Application and system software.
- Training.
- Implementation, maintenance and support resources.
Since this is an “off-the-radar” project, it is especially important to ensure that adequate IT resources are available to support the installation. To ensure that the new initiative does not adversely impact already-approved projects, it is assumed that installation will occur on an overtime basis (or that it will displace regular functions that will need to be completed on an overtime basis). Accordingly, the project budget must fund IT overtime costs based on estimated IT staff time for installation.

Additionally, IT needs to concur that it is feasible to schedule the work given other projects and workload issues. If this is not possible, the IT Steering Committee, with advice from the IT staff, will need to identify which “on-the-radar” projects or service will be deferred in order to accommodate the “off-the-radar” one.

**Review and Approval**

The new initiative will require review by IT staff and the IT Steering Committee; and approval by the City Manager (depending on the circumstances, approval by the Council may also be required).

- *Approved by the IT Steering Committee on December 15, 2004*
- *Updated by the IT Steering Committee on December 17, 2009 to reflect change from CAO to City Manager*
General Computer Workstation Standards

Because technology changes so rapidly, it is very difficult to specify minimum workstation performance standards that stand the test of time – they simply become obsolete too quickly. Instead, in determining workstation performance standards, the City will use the following guidelines, which use price rather minimum configuration as the performance-setting framework.

- **Performance.** To ensure that we stay current with changes in technology at a reasonable cost, Information Technology will purchase standard City computer workstations with the most advantageous package of features possible at a benchmark cost of $1,650, including monitor, standard office suite, taxes, delivery and other applicable charges.

- **Replacement workstations.** In the event that not all components are needed at the time of order for a replacement workstation (such as a monitor, keyboard or network card), this benchmark cost will be revised downward accordingly.

- **Warrantee.** All workstations should include a three-year warrantee.

These are intended to be guidelines in setting performance standards. Depending on the circumstances (such as resource availability or application requirements), Information Technology may purchase workstations at a higher or lower benchmark cost on a case-by-case basis.

- Approved by the IT Steering Committee on January 31, 1996
- Modified via the 2003-05 Financial Plan process on July 1, 2003
- Modified by the IT Steering Committee on March 30, 2005 and December 17, 2009
Computer Laptop Standards

OVERVIEW

Laptops are useful and necessary tools in assisting employees with special needs in their daily operations and can be a critical tool for employees who need to take work away from the office, make presentations or operate specialized systems requiring remote programming and data exchange. Laptops can also be expensive if not managed properly. These guidelines are intended to supplement existing basic computer workstation standards for the traditional office setting.

Laptops come at an increased cost compared to the basic office configuration. In certain settings, it may be more appropriate to share a laptop by groups of employees. A system whereby employees check out a laptop from a central location is much preferred over purchase and assignment to a specific employee. As such, issuance of laptops to individual employees should be limited to those able to demonstrate need for using a laptop as an alternative to the City’s standard workstation or as a specialized PC, and must be authorized in writing by their Department Head justifying this need.

DEPARTMENT HEAD APPROVAL

Users will be eligible for a dedicated laptop based on their Department Head approval and concurrence by the Information Technology Manager. While the final decision concerning the appropriateness of approving a laptop request lies with the Department Head, it should be made with careful consideration of the need for a dedicated laptop versus a standard workstation.

Approval to purchase should be based on compelling needs such as meeting presentations, taking work home or programming of specialized field equipment. Based on projected frequency of use and where practical, laptops should be held as a group “check out” resource for the department to help keep the computer inventory at a minimum.

FUNDING

- **Initial Cost.** When justified by the Department Head as discussed above, the department will fund the cost of upgrading an existing basic computer workstation to a laptop when a desktop workstation is otherwise scheduled for replacement. If a new laptop is being requested as an addition to the City’s workstation inventory (that is, not as a replacement or upgrade of an existing standard computer workstation), the requesting department will pay the entire cost of the new laptop. **Note:** All other information technology policies regarding adding computer workstations to the existing inventory will still apply.
Replacement Cycle. Once authorized as part of the City’s computer inventory, laptops will be replaced on the same cycle as desktop workstations.

Ongoing Replacement Allowance. Rather than cite a specific amount in these guidelines, the replacement allowance for laptops will be established as a ratio of the cost of the standard City computer workstation. Information Technology will fund the periodic replacement of Laptop’s based on the replacement cycle noted above. A benchmark allowance of 2.0 times the cost of the City’s standard computer workstation will be used, including taxes, delivery and other applicable charges. In the event that not all components are needed at the time of order (such as a monitor, keyboard, port replicator or network card), this cost will be revised downward accordingly. Likewise, depending on the circumstances (such as resource availability or special application requirements), Information Technology may purchase laptops at a higher or lower benchmark cost on a case-by-case basis.

Purchase and Installation. Once approval is received, Information Technology will order, receive, setup and configure the laptop prior to a designated person for the receiving department taking possession.

- Approved by the IT Steering Committee on January 24, 2002
- Modified by the IT Steering Committee on March 30, 2005
- Updated by the IT Steering Committee on December 17, 2009
Mobile Data Computer Standards

OVERVIEW

Mobile data computers (MDC’s) are useful and necessary tools for employees to access City data in the field during their daily operations and can be a critical tool for employees who need access to mobile programs, real-time data or operate specialized systems requiring remote programming and data exchange. MDC’s can also be expensive if not managed properly. These guidelines are intended to supplement existing basic computer laptop standards for the traditional office setting.

MDC’s come at an increased cost compared to the basic office configuration. In certain settings, it may be more appropriate to share a MDC by groups of employees. A system whereby employees check out a MDC from a central location is much preferred over purchase and assignment to a specific employee or vehicle. As such, issuance of laptops to individual employees or vehicles should be limited to those able to demonstrate need for using a MDC as an alternative to the City’s standard workstation or as a specialized PC, and must be authorized in writing by their Department Head justifying this need.

DEPARTMENT HEAD APPROVAL

Users will be eligible for a dedicated MDC based on their Department Head approval and concurrence by the Information Technology Manager. While the final decision concerning the appropriateness of approving a MDC request lies with the Department Head, it should be made with careful consideration of the need for a MDC versus a standard laptop.

Approval to purchase should be based on compelling needs such as use outdoors, harsh environmental conditions, necessary uptime, or programming of specialized field equipment. Based on projected frequency of use and where practical, MDC’s should be held as a group “check out” resource for the department to help keep the computer inventory at a minimum.

FUNDING

- **Initial Cost.** When justified by the Department Head as discussed above, the department will fund the cost of upgrading an existing basic computer workstation or laptop to a MDC when a desktop workstation or laptop is otherwise scheduled for replacement. If a new MDC is being requested as an addition to the City’s workstation inventory (that is, not as a replacement or upgrade of an existing standard computer workstation), the requesting department will pay the entire cost of the new MDC. *Note: All other information technology policies regarding adding computer workstations to the existing inventory will still apply.*
Replacement Cycle. Once authorized as part of the City’s computer inventory, MDC’s will be replaced on the same cycle as desktop workstations.

Ongoing Replacement Allowance. Rather than cite a specific amount in these guidelines, the replacement allowance for MDC’s will be established as a ratio of the cost of the standard City computer workstation. Information Technology will fund the periodic replacement of MDC’s based on the replacement cycle noted above. A benchmark allowance of 3.0 times the cost of the City’s standard computer workstation will be used, including taxes, delivery and other applicable charges. In the event that not all components are needed at the time of order (such as a monitor, keyboard, port replicator or network card), this cost will be revised downward accordingly. Likewise, depending on the circumstances (such as resource availability or special application requirements), Information Technology may purchase laptops at a higher or lower benchmark cost on a case-by-case basis.

Purchase and Installation. Once approval is received, Information Technology will order, receive, setup and configure the MDC prior to a designated person for the receiving department taking possession.

Approved by the IT Steering Committee on December 17, 2009
CAD/GIS Computer Workstation Standards

OVERVIEW

Computer-aided design (CAD) and geographic information systems (GIS) technicians are the “power users” of the City’s computer hardware. The size of the data files and the complexity of the specialized software require computers with increased performance and capacity over standard office workstations. To achieve an acceptable level of performance these computers need to have increased processor speed, RAM, bus throughput, video capability and monitor size commensurate with system processing and operational demands.

These enhanced features come at an increased cost compared to the basic office configuration. As such, their placement is limited to those able to demonstrate an appropriate need, and must be authorized in writing by the department head.

WORKSTATION STANDARDS

Rather than cite a specific amount in these guidelines, the replacement allowance for CAD/GIS computer workstations will be established as a ratio of the cost of the standard City computer workstation.

- **Replacement Cycle.** CAD/GIS computer workstations will be replaced on the same replacement cycle as other computer workstations.

- **Initial Cost.** Information Technology will fund the cost of upgrading an existing basic computer workstation to a CAD/GIS standard. If a new CAD/GIS workstation is being requested as an addition to inventory (that is, not as a replacement or upgrade to an existing standard computer workstation), the requesting department will pay the entire cost of the new CAD/GIS computer system. *Note: IT policies for adding computer workstations to the existing inventory will still apply.*

- **Ongoing Replacement Allowance.** For CAD/GIS workstations, a benchmark allowance of 2.0 times the cost of the standard City computer workstation will be used, including taxes, delivery and other applicable charges. In the event that not all components are needed at the time of order (such as a monitor, keyboard or network card), this cost will be revised downward accordingly

- **Eligibility.** Only those users of CAD or GIS software will be eligible for these workstations unless otherwise documented in writing by the department head. The department head must
authorize any new CAD/GIS workstation upgrade, with the concurrence of the Information Technology Manager.

These guidelines are intended to supplement existing basic computer workstation standards for the traditional office setting. Depending on the circumstances (such as resource availability or special application requirements), Information Technology may purchase workstations at a higher or lower benchmark cost on a case-by-case basis.

- Originally approved by the MIS Steering Committee on May 22, 1996
- Revised by the IT Steering Committee on September 24, 1998
- Revised by the CAO via the 2001-03 Financial Plan process in April 2001 to revise replacement cycle to the same as standard workstations
- Revised by the IT Steering Committee on March 30, 2005
- Updated by the IT Steering Committee on December 17, 2009
Application Server Standard

POLICY

The City will use Hewlett-Packard (HP) servers as the hardware standard for all application servers.

BACKGROUND

Because technology changes so rapidly, it is very difficult to specify minimum server standards that will not become obsolete in a short period of time. Information Technology (IT) will select and size servers based on the criteria below. However, the City will strive for high-reliability and performance for application servers that are “mission-critical” hardware for the City. For this reason, the City will purchase HP servers, which are acknowledged industry leaders for this purpose.

Selection Criteria. IT will consider the following factors in selecting and sizing servers:

- Size of the workgroup to be serviced
- Projected growth
- Internet/intranet needs
- Database applications
- Affordability
- Latest technology
- Features designed to maximize performance and uptime such as RAID5 storage.
- Desired fault tolerance (such as hot pluggable disk drives, hot plug power supplies, clustered servers)
- Desired uptime
- Upgradability
- Physical location of the server

Warranty. All servers should include a five year warranty

Major City Systems. For major City systems, hardware platforms and servers will be determined on a case-by-case basis for maximum flexibility and compatibility with software application requirements.

Adopted by the IT Steering Committee on April 23, 1998
Revised by the IT Steering Committee on December 17, 2009
Virtual Server Standard

POLICY

The City will use Hewlett-Packard (HP) servers as the hardware standard for all virtual host servers. The City will use VMWare ESX Server as the hypervisor.

BACKGROUND

Because technology changes so rapidly, it is very difficult to specify minimum server standards that will not become obsolete in a short period of time. Information Technology (IT) will select and size servers based on the criteria below. However, virtual host servers are “mission-critical” hardware for the City, and as such, the City will strive for high-reliability and performance. For this reason, the City will purchase HP servers and VMWare ESX server, which are acknowledged industry leaders for this purpose.

Selection Criteria. IT will consider the following factors in selecting and sizing servers:

- Number of virtual guests
- Projected growth
- Internet/intranet needs
- Database applications
- Affordability
- Latest technology
- Minimized single points of failure
- High uptime
- Upgradability
- Physical location of the server

Warrantee. All servers should include a five year warranty.

Major City Systems. For major City systems, hardware platforms and servers will be determined on a case-by-case basis for maximum flexibility and compatibility with software application requirements.

- Adopted by the IT Steering Committee on April 23, 1998
- Revised by the IT Steering Committee on December 17, 2009
System Printer Standards

POLICY

The City will use Hewlett Packard laser jet printers as its standard for system printers.

BACKGROUND

In June of 1995, the IT Steering Committee adopted Lexmark Optra printers as the City’s system printer standard. Since that time, we have received several requests to re-consider this standard. Attached are the background materials prepared for the IT Steering Committee which led to the adoption of Hewlett Packard as the City’s standard in September of 1996.

- Adopted by the IT Steering Committee on September 25, 1996
- Updated by the IT Steering Committee on December 17, 2009
MEMORANDUM

September 23, 1996

To: MIS Steering Committee
    System Administrators

From: Teri Maa, Information Systems Manager

Subject: City Network Printer Standard

OVERVIEW AND RECOMMENDATION

Information Systems has received unsolicited calls, memos and email from users in the City who are stating a preference for Hewlett-Packard printers in lieu of the City's laser printer standard, Lexmark. Before Information Systems' purchases replacement printers (over 15 city-wide), I would like the MIS Steering Committee to revisit the printer standard. The Lexmark printer is best known for its groundbreaking 1200 dpi resolution, delivers ease of use, has solid printing performance, and produces high quality output. However, in light of user preference and trade journal reviews, I am recommending the City standard be changed back to Hewlett Packard.

SUPPORTING ARTICLES (copies available upon request)

On May 6, 1996, Federal Computer Week ran an article entitled Network Printers that reviewed the four top-selling network printers in the government market. In this article, performance, ease of use, system design, capacity, documentation, technical support, support options, and price are compared. The overall winner of their comparison was the industry leader: the HP Laserjet 5si MX.

Network Computing also tested network laser printers in their November 15, 1995 article, Network Printers: Fit to Print. Of the nine reviewed, HP Laserjet 5Si MX was their top choice. Quoting from the article, "The print quality is excellent, it has superb remote management and a variety of paper handling options that make it versatile enough for a department, but cost-effective enough for a workgroup."

In their June 11, 1996 issue, PC Magazine reviewed eleven printers in the article, Share and Share Alike, for reliability, ease of setup and use, print quality, and performance. Of the models tested, the Editors' Choice was awarded to the HP Laserjet 5Si MX and the HP Laserjet 5M, with an honorable mention for the HP LaserJet 4MV.
COST

HP printers range from $1670 to $3681, while Lexmark printers range from $1,441 to $3,212. HP is also offering a Cash In and Trade Up program whereby old printers (any brand) can be turned in for credit towards any new printer in the Laserjet family.

IN SUMMARY

The Lexmark laser printer family is not a bad investment. It is comparable to the Hewlett Packard product line. The decision is primarily one of preference, which Federal Computer Week, Network Computing, and PC Magazine have awarded to Hewlett Packard.

ATTACHMENTS

- Printer Comparison Spreadsheet
- Memorandum from Sue Baasch, dated June 6, 1996
- Memorandum from William Lord, dated August 26, 1996
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- Included
MEMORANDUM

June 6, 1996

TO: Bill Statler, Finance Director
    Teri Maa, Manager, Information Systems

VIA: John Moss, Utilities Director

FROM: Sue Baasch, Fiscal Officer

SUBJECT: Consideration of City Network Printer Standard

Prior to setting Lexmark as the printer standard, the City routinely purchased Hewlett Packard ("HP") printers. We have acquired some experience with both brands of printers and have formed opinions about the reliability and quality of each. I would like the MIS committee to consider returning to HP as the City standard, based on our experience with both types of printers and the insights provided in a third party review of network printers.

User evaluation

Lexmark printers are located at the Corporation Yard and in the Utilities Conservation Office. The staff using these printers routinely find these printers adequate in terms of print quality. In terms of reliability, they have not been as successful as the HP’s they replaced. Both locations have experienced downtime and have needed to call upon the technicians for assistance.

On the other hand, staff has always been pleased with the HP printers quality, reliability and ease of use.

Third Party evaluation

Attached is a detailed PC MAGAZINE June 1996 review of network printers. The evaluation was based on the following review criteria: reliability, ease of setup and use, print quality and long term performance. The evaluation also looked at the true cost, which includes not only the purchase price but such ongoing routine operating costs as toner and developer components. The conclusion of the review was that for small to medium size work groups, the best printer was the new 12-ppm Laser Jet 5M from Hewlett-Packard ($1,750 street). For larger workgroups, the review chose two printers: the HP LaserJet 5Si MX ($4,899 list) and the QMS 2425 Ex Print System ($5,499 list). The review concluded that HP printers, based on economies of scale, were about 1.7 cents per page to operate, versus 2.2 cents for most other brands.

If you feel it is appropriate, I would be happy to write a longer, more detailed analysis for presentation to the MIS Committee.
MEMORANDUM

TO: MIS Steering Committee

FROM: William Lord, Computer Systems Technician

DATE: August 26, 1996

SUBJECT: Printer Standard Revisited

The System Administrators have unanimously voted to adopt the Lexmark Optra as the City’s laser printer standard last year. This was decided after a thorough selection and evaluation process. The MIS Steering Committee subsequently adopted this standard. The Lexmark Optra was selected for the following reasons: (1) Price/Performance, (2) ease of use, and (3) reliability. The following sites have Lexmarks installed and are satisfied with their performance: Utilities Conservation(1), Finance-Customer Service(1), Police(3), and Corporation Yard(1).

I would like to review the selection process and then elaborate on the findings. The following criteria were used to select products for evaluation. The printer must have at least 600dpi resolution, an Ethernet network connection, an optional second paper drawer, an optional power envelope feeder, and a Postscript level 2 option. This narrowed the field to the two industry leaders in laser printers, Hewlett-Packard and Lexmark (a publicly held spinoff of IBM’s printer, typewriter and keyboard units).

I would like to review the evaluation findings.

1. The HP printer supports 300dpi & 600dpi resolution, while Lexmark supports 300dpi, 600dpi, and 1200dpi. While 1200dpi is practically indistinguishable from 600dpi for text applications, it will be desirable in all graphics intensive applications (imaging, digital camera photos, mug shots and finger prints for the Police Department, etc.).

2. The Lexmark printers offer the widest range of paper handling capabilities. The Dual Rear Envelope Feeder allows for both envelopes and a second paper type. On an Optra Lxn Plus, this means that both envelopes and letterhead may be added without a second paper drawer. With a second paper drawer; envelopes, plain paper, letterhead, and legal size paper can all be accessible at once.

3. The HP printers use a single line LED display for printer messages. The Lexmark uses a 4 line LCD display for printer messages, making it much more user friendly.
4. Concerning the price/performance, while Lexmark is only $405.00 less than HP at the low end, at the high end Lexmark is nearly $1,500 less (plain paper, letterhead, envelope and network adapter). This makes the use of high performance machines much more feasible. A three year onsite maintenance agreement can be added for $299.00 and $369.00 respectively. The Lexmark printer is also much more energy efficient (Lexmark 326 watts printing, 26 watts idle; HP 1,100 watts printing, 240 watts idle). Not only is it less expensive to run, but it help meet energy reduction goals as well.

5. Lexmark uses a single toner cartridge for its entire Optra product line. HP uses two different cartridges (5M, 5Si MX series). This allows simplified ordering. The Lexmark printers utilize toner cartridges that yield 7,000 or 14,000 copies. These cartridges are interchangeable. HP cartridges yield 4,000 for the 5M series and 15,000 for the 5Si MX series. Lexmark printers allow smaller toner cartridge inventories, and less frequent ordering.

6. Local service is available for both HP and Lexmark.

7. The following is a partial list of local Lexmark references: UCSB, County of SLO, the City/County of Ventura, and the City/County of Oxnard.

The MIS Steering Committee is being asked to reaffirm the current City printer standard and to approve the following replacement schedule for the 1995-1996 budgeted printer replacement funds. As a part of this replacement schedule, there will be only HP and Lexmark printers in the City's laser printer inventory. There will be only 1 HP LaserJet II and 1 HP LaserJet IID left. These will be replaced with the 1996-1997 replacement cycle.
Color Printer Standards

GUIDELINES

- “Black and white” laserjet printers should continue to be the printer for networked users
- All of the City’s color laser or ink jet printers should be manufactured by Hewlett Packard.
- Ink jet printers are appropriate for small-scale, standalone operations. Whenever possible, ink jet printers should be networked
- The Information Technology (IT) Manager may approve exceptions to this standard as requested by the department head on a case-by-case basis.

BACKGROUND

In the Fall 1996, the IT Steering Committee adopted Hewlett Packard as the City’s standard for printers. The strategy for black and white printing has been to centrally locate and network laser printers in the workplace to facilitate the needs of a group of users. The benefits associated with this strategy include:

- Higher print speeds (12 or better pages per minute)
- Multiple media sizes (letter, legal, envelopes, 11”x17”, transparencies, card)
- Separate media handling trays (150 and 500 sheet trays, envelope feeders)
- Duplex printing

Because of the widespread availability of affordable, fast, efficient and versatile inkjet printers (retail cost as low as $299), there has been an increased interest in purchasing them as they will produce both black and color images. These inkjets challenge our current installation strategy because they can easily be set up as a local printer on an individual’s desk.

While we understand the usefulness of laser printers in the workplace, we have never addressed the question of when does it make good sense to install inkjet printers (and color ones at that) in the workplace. From an IT perspective, our ability to provide a satisfactory level of customer service diminishes as the number of printers increase in the user community. Additionally, our supply of on-hand consumable printer parts will need to increase to accommodate user demands.

- Originally approved by the IT Steering Committee on May 29, 1997
- Revised by the IT Steering Committee on September 24, 1998
- Revised by the IT Steering Committee on December 17, 2009
Software Standards

OPERATING SYSTEMS

- Desktop operating system: Windows XP, Windows 7
- Network operating system: Windows Server

APPLICATION SOFTWARE

- Word processing: Word
- Spreadsheets: Excel
- Presentation graphics: PowerPoint
- Database
  - Non-enterprise applications: Access, Microsoft SQL Server
  - Enterprise applications: Microsoft SQL Server
- Computer aided design: AutoCAD
- Electronic mail, calendaring and scheduling: Outlook
- Internet browser: Internet Explorer
- Website editing: FrontPage
- Archival format for digital publishing and distribution: Adobe Acrobat (PDF)

MISSION-CRITICAL APPLICATIONS

System software for mission-critical applications such as public safety, finance and GIS applications will generally be determined as integral part of the system evaluation and selection process.

- Approved by the IT Steering Committee on February 28, 1996
- Amended by the IT Steering Committee to include Access as alternative data base on September 26, 1996
- Amended by the Council on March 13, 2001 via the Information Technology (IT) Strategic Plan to establish Oracle as the “enterprise application” database standard, Explorer as the Internet/Intranet browser and Windows version upgrade
- Amended by the IT Steering Committee on June 27, 2002 to establish Adobe Acrobat as the standard archival format for digital publishing and distribution
- Amended by the IT Steering Committee on September 19, 2002 to add SQL Server as a data base standard in addition to Oracle
- Amended by IT Division in July 2004 to reflect Windows XP as the City’s desktop standard
- Amended by IT Division in July 2006 to reflect Windows Server as the City’s network standard
- Amended by IT Division in December 2007 to reflect Outlook as the City’s email/calendar standard
- Amended by the IT Steering Committee on December 17, 2009 to reflect the addition of Windows 7 and deletion of Oracle and FoxPro from the database standard
Cellular Phones

OVERVIEW

Cellular phones can be very useful tools in assisting employees in their daily operations. They can also be very instrumental in dealing with natural disasters and other types of large-scale emergencies. However, they can be costly if not managed properly.

It is the overall intent to allow Department Heads the decision as to whether or not a cell phone is appropriate. The overall question of cost versus benefit is best weighed by the Department Head. When making this decision, Department Heads should consider the following:

- Cell phones offer clear, clean and private communications. They are simple to use and relatively inexpensive to purchase. However, the monthly service and per minute use charges are considerable when service usage exceeds the allotted monthly minutes.

- Radios are a one-time expense requiring little, if any, maintenance; and no monthly service costs.

- Pagers are even less costly to purchase and require no monthly charge for local service and only minor fees for statewide service.

In certain settings it may be possible to share cell phones by groups of employees. A system whereby employees check out a phone from a central location is much preferred over buying phones for limited individual use. However, it is important to keep track of who has checked out the shared phone.

In order to get the best possible monthly service rate and service, it is the City's policy to use one common carrier for all cell phones. At least every two years, Information Technology (IT) will conduct an informal review of the cell phone contract to compare existing rate structures and level of satisfaction with service. Every four years IT will also review all state cooperative purchasing contracts to determine the best carrier for the City.

IT will review cell phone usage each month. Copies of statements will also be distributed to Department Heads or assigned staff for review of usage. If a disparity is noted, the Department Head responsible for that cell phone will be asked for an explanation. Departments should contact IT for follow-up information on technical details, appropriate uses and budget information.
GUIDELINES AND PRACTICES

Cellular Phone Approval by Department Head

An employee or supervisor requesting a cell phone should complete the attached Telecommunications Service Request. The supplemental questionnaire must also be completed to provide justification for the request. In considering whether or not to approve the request, Department Heads should use the following guidelines:

- The reason for the request, and whether it will enhance emergency response, employee safety or work efficiency.
- The adequacy of the present system of communication, and if a cellular phone is the most appropriate and economical choice.
- How much time the user spends in the field each day.
- How frequently the phone will be used.
- Whether the user can share a phone with other employees.

While the final decision concerning the appropriateness of approving a cell phone request lies with the Department Head, it should not be made without careful consideration of the “Justification” section of the request form.

Purchase

Once Department Head approval is received, IT will purchase the unit and assign it to the designated location or person.

Training

IT is responsible for training cell phone users to use the system efficiently and effectively, such as the use of direct connect and text messaging. IT will update training as necessary.

Funding

- **Existing Cell Phones.** For existing cell phones, each budget period IT is responsible for requesting adequate funds to support existing cell phones at current rates and any needed replacements.

- **Additional Cell Phones.** For new cell phone service requests occurring mid-budget, the requesting department will be responsible for providing funding. This will include both the purchase cost and money sufficient to cover the monthly service charge and per minute usage for the remainder of the budget period. This charge or rate will be determined by taking an average of the City’s monthly cell phone charges. These funds will be transferred to the appropriate IT program line item.
With the advent of the new budget, IT will budget for the continuation of existing service and will cover any new phone requests as long as adequate time is allowed for the inclusion to the budget process. All requests should be made in accordance with the Budget Instructions.

Installation

IT will coordinate the installation of cell phones in vehicles using the most cost-effective approach.

Maintenance

Cell phones require little if any maintenance. Often when a problem develops with a unit (especially portables or hand-helds), it is usually cheaper to just replace them. Malfunctioning cell phones should be sent to Information Technology for repair or replacement.

Specifications

The state of the art for cell phone technology, like most electronics, is rapidly changing. Because of this and other factors, such as competition in the market place, there are a great many varied package deals available. These “deals” change on a daily basis. IT will strive to standardize purchases in order to minimize different types of phones. This is important because it improves efficiency by reducing the need for training and familiarization with a lot of different equipment by the users, especially when several people within a department share phones.

IT is responsible for determining which specific phone and service package will be selected under the master agreement, based on the needs of the employee and the most cost-effective solution for them.

- Originally Approved by the City Manager on February 24, 1997.
- Revised by the City Manager on December 3, 2002;
- Revised by the IT Steering Committee on December 17, 2009.
TELECOMMUNICATIONS SERVICE REQUEST

For technical assistance, help in determining the correct equipment for your particular need or information on current costs, please call:

For Radio Services information:
For Cell Phone information:

REQUESTING DEPARTMENT

EMPLOYEE

DEPARTMENT HEAD APPROVAL

DATE

EQUIPMENT REQUEST SUMMARY

- PAGER
  - Local Only
  - State-wide
  - Numeric
  - Alpha

- RADIO
  - Mobile
  - Hand-Held
  - Base Station

- CELL PHONE
  - Model i50
  - Model i85
  - Other

PLEASE MAKE THIS PURCHASE:

- Now: Transfer from Account No. _______________________
- With the new budget cycle (no account number required)

JUSTIFICATION: PAGERS AND RADIOS

On the back of this request, provide justification for your pager or pager request(s). The City's communication system is multi-faceted. Various applications can be arranged to meet a variety of needs. Consider the following: Pagers vary in cost from statewide or display pagers ($75) to local numeric pagers ($10 very limited supply). Pagers require little, if any maintenance and no on-going monthly expense. Statewide paging is limited to Department Heads, and with justification, key mid-managers and public safety members only. Radios are expensive to purchase but have very low service and maintenance costs. Cell phones are relatively inexpensive to purchase, but do require a monthly service charge plus the per minute charge, therefore the ongoing costs are significant.

JUSTIFICATION: CELL PHONES

For cell phones, complete the questionnaire on the following page.
# CELL PHONE QUESTIONNAIRE

1. Why is a cellular telephone being requested? How will emergency response, employee safety or work efficiency be enhanced?

<table>
<thead>
<tr>
<th>Questionaire Section</th>
</tr>
</thead>
<tbody>
<tr>
<td>Why is a cellular telephone being requested? How will emergency response, employee safety or work efficiency be enhanced?</td>
</tr>
</tbody>
</table>

2. What is the present system of communication that will be replaced by the cellular phone and why is it inadequate? Why is a cellular phone the best choice for a replacement?

<table>
<thead>
<tr>
<th>Questionaire Section</th>
</tr>
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<tbody>
<tr>
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</tr>
</tbody>
</table>

3. How much time does the user spend in the field? (Such as 100%, 75%, 50%, 25%)

<table>
<thead>
<tr>
<th>Questionaire Section</th>
</tr>
</thead>
<tbody>
<tr>
<td>How much time does the user spend in the field? (Such as 100%, 75%, 50%, 25%)</td>
</tr>
</tbody>
</table>

4. How frequently do you anticipate the phone being used?

<table>
<thead>
<tr>
<th>Questionaire Section</th>
</tr>
</thead>
<tbody>
<tr>
<td>How frequently do you anticipate the phone being used?</td>
</tr>
</tbody>
</table>

5. Is the user able to share a phone with other employees? If yes, who? If no, why not?

<table>
<thead>
<tr>
<th>Questionaire Section</th>
</tr>
</thead>
<tbody>
<tr>
<td>Is the user able to share a phone with other employees? If yes, who? If no, why not?</td>
</tr>
</tbody>
</table>

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**WHEN COMPLETED, FORWARD YOUR REQUEST TO INFORMATION SYSTEMS**
City of San Luis Obispo
EMPLOYEE CELL PHONE USE AGREEMENT

<table>
<thead>
<tr>
<th>EMPLOYEE</th>
<th>DEPARTMENT</th>
</tr>
</thead>
</table>

I recognize and understand that cellular phones are provided by the City of San Luis Obispo for the use of employees in support of the business operations of the City and are to be used for legitimate business purposes. I further understand that the phones belong to the City and are to be used in an effective, efficient, ethical and lawful manner.

I am aware that the City reserves the right to review, audit and inspect information residing in or transferred over the information systems (which includes cellular phones) at any time, with or without notice and that such access may occur during or after work hours.

I am aware that I am required to reimburse the City for any and all costs I incur for personal use of the City issued cellular phones, whether incoming or outgoing calls. I am aware that I must identify personal incoming calls. I understand that I am prohibited from making long distance calls without advance authorization from my department head.

I understand that the current service provider rates are subject to change without notice and agree to comply with future rates that are applicable to the City’s cellular phone system.

I am aware that each month the phone bill is reviewed by an assigned staff representative and, if the City is charged for personal phone calls, I will reimburse the City for the cost of said calls.

I understand I am responsible for good care and maintenance of my assigned cellular phone and will be required to reimburse the City’s cost for any damaged or lost phone due to negligence.

I am aware that my assigned phone may be reassigned or withdrawn at the department head’s discretion.

☐ I use only one City cell phone on a full time basis.
☐ I share access to the following cellular phone numbers:

I certify and acknowledge that I have read and understand the City’s policy regarding cellular phone regulations and will comply with the regulations as set therein.

<table>
<thead>
<tr>
<th>EMPLOYEE SIGNATURE</th>
<th>DATE</th>
</tr>
</thead>
</table>

340-6
Passwords

POLICY

It is the City’s policy to have network passwords that are at least eight (8) characters long and change every six (6) months.

BACKGROUND

Passwords are one of the primary ways the City secures its network from unauthorized access. Passwords are also used to control user access to different parts of the network and secure files from unauthorized access.

SUGGESTIONS FOR STRONG PASSWORDS

- Include both upper and lower case letters (e.g. CityofSlo).
- At least 1 number (e.g. C1tyofSlo).
- At least 1 special character. (e.g. C1tyof$lo).
- Passwords should not be words (e.g. password).
- Passwords should not be easy to guess (e.g. 990PalmSt).
- Passwords should not just be incremented when they change (e.g. password1 to password2).

FOR OTHER SYSTEMS

When possible all other systems should link to the City’s network passwords. If that is not possible the systems should have the same requirements as the City’s network. Any exceptions require the approval of the IT Manager.

- Approved by the IT Steering Committee on August 23, 1994
- Revised by the IT Steering Committee on December 17, 2009
Data Storage for Recovery

POLICY

It is the City’s policy to retain data back-ups for recovery for six weeks.

BACKGROUND

Prior to adoption of this policy, the City did not have a formal policy on data storage for recovery. However, it was the City’s practice to retain back-ups for recovery for twelve weeks. Given the data storage challenges facing the City in 2008-09, we revisited this practice and solicited advice as follows:

1. CIO Solutions, who installed our current storage area network (SAN), recommends four weeks and most of their private and public sector SAN customers have adopted this as their standard.

2. In discussions with the “Data Storage Team,” with representatives from all departments, it appeared that no standard update procedures under which data errors are likely to be discovered are longer than monthly. To provide adequate time for identification, this group reached consensus that six weeks would be an adequate timeframe for back-up recovery.

3. Surveys of other local government agencies showed retention periods of up to one-year, largely based on the use of tape back-up rather than virtual servers. In the case of the County of San Luis Obispo, which uses tape back-up and users are presented with differential pricing for varying retention periods, its effective retention period is six weeks.

Based on the City’s business practices and IT environment, six weeks is an appropriate period for retaining data back-up for recovery. While it is certainly possible that situations may arise where a longer retention period may have been desirable, the likelihood of this occurring, and the consequence of error if it should, does not outweigh the added cost of mitigating this, especially in light of practices in other organizations.

Data Retention

It is important to note that all data will be retained as long as required by law or the City’s record retention policies.

This policy only applies to retention of back-ups for data recovery.

• Approved by the IT Steering Committee on January 28, 2009
• Updated by IT Steering Committee on December 17, 2009
# Request for User Set-Up or Change

This request is for:  
- ☐ New User  
- ☐ Change for Current User

<table>
<thead>
<tr>
<th>EMPLOYEE NAME</th>
<th>DEPARTMENT</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
</tr>
</tbody>
</table>

### Add the Following Special Applications

- ☐ [ ]  
- ☐ [ ]  
- ☐ [ ]  
- ☐ [ ]  
- ☐ [ ]  
- ☐ [ ]

### Include in the Following Public Groups

- ☐ Everyone  
- Local Area Networks  
- ☐ City Hall/Utilities Conservation  
- ☐ Police Station  
- ☐ 919 Morro/Parking Offices  
- ☐ Fire Stations  
- ☐ Parks & Recreation Office  
- ☐ Corporation Yard/Water Reclamation Facility  
- Special Groups  
- ☐ Department Heads  
- ☐ Application Administrators  
- ☐ Fiscal Officers  
- ☐ Telephone Representatives  
- ☐ Department Group  
- ☐ IT Steering Committee  
- ☐

### Other Requested Changes

-  
-  
-  
-  
-  

PREPARED/APPROVED BY: ____________________________________________ DATE: __________________

FOR NEW USERS: EMPLOYEE ACKNOWLEDGMENT

I hereby acknowledge that: I have received a copy of the City of San Luis Obispo’s email policy; I have read and understand it; and I agree to abide by it as a condition of being provided with access to the City’s information systems and continuing to use them.

EMPLOYEE SIGNATURE: ____________________________________________ DATE: __________________
Voice Mail Greetings

INTRODUCTION

The City introduced voice mail to our communications environment for one purpose: to improve customer service. To ensure that voice mail truly serves this purpose, it is essential that your personal voice mail greeting be brief, friendly and up-to-date. If you are not able to answer your phone because you are not here, it is essential that you let the caller know this.

In short, voice mail can be a powerful customer service tool, but only when it lets the caller know your status, and the resulting status of their voice mail message. It also requires periodically checking your voice mail messages throughout the day, and promptly returning your calls.

SAMPLE GREETING SCRIPTS

To assist you in this, attached are sample voice mail “scripts” for four basic circumstances:

- You’re in the office, but not available to take the call at this time (you’re either away from your desk or on the phone) – several options are provided in this circumstance.
- You’re out of the office for just the day.
- You’re out of the office for more than one day.
- City offices are closed because it’s a holiday.

You’re in the Office, But Not Available

Three basic options are provided in this situation:

- **Standard Daily Greeting.** By providing the same greeting each day you are here, this option is the easiest one to implement (and may therefore be the most customer-friendly in the long run). However, if this option is used, it is essential that it be modified whenever you are not in the office so people can trust it actually means what it says.

- **Custom Daily Greeting.** By changing your greeting every day to reference the day’s date even when you are here, this option is clearly the best in letting folks know about your status, but only if you faithfully update it each day. In the real world, this is a very difficult thing to do, so this approach should only be used by the very self-disciplined among us. While it is a noble gesture, your efforts to provide great service by updating your greeting every day will have the exact opposite effect the first time it is clear to a caller that you aren’t updating it. In short, this is a high-risk option, so give it a lot of thought before using it.
Voice Mail Greetings

- **Custom Weekly Greeting.** This approach can be a good halfway point between a standard greeting and a customized daily one by outlining your status for the upcoming week. It doesn’t require daily updating, but it does tell the caller about your availability in a way that shows you monitor your voice mail on a conscientious basis.

You’re Out of the Office

Three sample voice mail messages are provided in this case: you’re out for one day; you’re out for more than one day; or you’re out because it’s a holiday (so City offices are closed). The following are a couple of tips when using out-of-office greetings:

- The sample greetings assume that you will not be checking your messages while you are gone. If you will be, let the caller know this, and how often.

- If you forget to update your standard greeting before leaving, you can always update it later from an outside line by dialing directly into our voice mail system (781-7099). You can also retrieve (and reply or forward) messages the same way.

- Each of the sample messages (except for the holiday one) lets the caller know whom they will be connected with if they dial zero. This is especially helpful if this number is busy, and they get this person’s voice mail.

- Transfer your calls directly to your voice mailbox. This will avoid callers getting a number of rings before they get your greeting – they will get it after the first ring (which will not be heard on your phone, so your fellow employees will not be bothered by a ringing phone).

- **Remember to change your voice mail message once you return.**

A last piece of advice in recording your voice mail greeting:

**Smile.**

Can the caller see you? Of course not. But the smile on your face will come through in the tone of your voice.

---

**ATTACHMENTS**

**Sample Voice Mail Greetings**

- You’re in the Office, But Not Available
- You’re Not in the Office
YOU’RE IN THE OFFICE, BUT NOT AVAILABLE

STANDARD DAILY GREETING
Hello, this is Mary Ann Smith, Customer Services Associate for the City of San Luis Obispo. Please leave a message and I will return your call today. If you need immediate assistance, please dial zero. Thank you.

CUSTOMIZED DAILY GREETING
Hello, this is Mary Ann Smith, Customer Services Associate for the City of San Luis Obispo. Today is [day, date]. I am in the office, so please leave a message and I will return your call today. If you need immediate assistance, please dial zero. Thank you.

CUSTOMIZED WEEKLY GREETING
Hello, this is Mary Ann Smith, Customer Services Associate for the City of San Luis Obispo. This is the week of [date through date]. I will be in the office all week [or briefly describe your schedule], so please leave a message and I will return your call today. If you need immediate assistance, please dial zero. Thank you.
YOU’RE NOT IN THE OFFICE

OUT OF OFFICE GREETING: ONE DAY
Hello, this is Mary Ann Smith, Customer Services Associate for the City of San Luis Obispo. I will be out of the office on [day/date]. I will not be checking my messages, so if you need immediate assistance, please dial zero. Otherwise, please leave a message and I will return your call when I return on [day, date]. Thank you.

Note: If you will be checking your messages, let the caller know this, and how often you will be doing this (once a day, twice a day, every other day).

OUT OF OFFICE GREETING: MORE THAN ONE DAY
Hello, this is Mary Ann Smith, Customer Services Associate for the City of San Luis Obispo. I will be out of the office from [day, date] through [day, date]. I will not be checking my messages, so if you need immediate assistance, please dial zero. Otherwise, please leave a message and I will return your call when I return on [day, date]. Thank you.

HOLIDAY
Hello, this is Mary Ann Smith, Customer Services Associate for the City of San Luis Obispo. [Day, date, name of holiday] is a City holiday and our offices are closed. Please leave a message and I will return your call when I return on [day, date]. Thank you.
Voice Mail Automated Attendant

OVERVIEW

With decreased staffing resources along with increased public acceptance of automated telephone features, departments may want to consider using the “automated attendant” features of our Voice over Internet Protocol (VoIP) system. The following provides general guidelines in implementing automated attendant features.

GENERAL GUIDELINES

- **Maintain a “customer-centric” focus in designing auto attendants.** The purpose of automated attendant to make it easier for our telephone customers—both external and internal—to get to the person that they need to talk with, not harder.

- **Limit “menus” to six items.** An added “tree” is better than a long list of options that will be hard for callers to remember. Note: “Other” or “0” options count as an “entrée” item.

- **Include an “Other” or “0” option in the tree.** Callers should always be able to get out the tree by selecting an “Other” or “0” option that will connect them to a “real” person who is almost always going to be able to answer the phone. However, this option should generally be presented last in the menu.

  *About connecting with a “real person.”* In the real world, there are going to be times when connecting callers with a “real” person won’t be possible: even with the best of intentions, callers may still get someone’s voice mail (but at least it should be the voice mail of a “real” person, not another tree.) The goal here is not “perfection” (even in the best of times, there are not enough resources for this); but failure to deliver a “real” voice at some point in the “tree” because the covering employee was not available should be the exception, not the rule. And as noted below, if this is likely to be the “rule,” City Manager approval is required for an exception.

- **Allow users to get the person that they need to talk with after two menus.** They may still get that person’s voice mail if they are not in, but customers should generally never be presented with more than two menu “trees.”

- **Introduce the “main” tree with where the caller has landed and provide them will early “navigational aids.”** For example: “You have reached the Department of Public Works for the City of San Luis Obispo.” And then inform them that if they know their party’s four-digit extension, that they can enter it at any time. Other key information can also be provided at this time as appropriate depending on where the caller has landed, such as: “If
you have an emergency, please hang-up and dial 9-1-1.” And if misdirected calls are common, you might provide this information early, too. For example: “If you want to talk with someone from the County of San Luis Obispo’s Community Development Department, please hang up and call 781-5600.”

- **Consider using an “alpha” option.** The City’s VoIP system has the option of allowing callers to enter the first four letters of an employee’s name and then providing the extension number (with an option to dial it for them). This is not applicable in all circumstances, but there may be times will it be very helpful to callers by getting them right where they want to go without “operator assistance.”

**About “0” Options.** As set forth in the City’s Voice Mail Greetings guidelines (Section 370), all individual mail boxes should have a “0” option that connects the caller with a “real” person (keeping in mind the “real world” note above on this). The only “pre-approved” exception to this is where the employee has forwarded their voice mail messages to automatic emailing and the employee is diligent in following-up on pages and returning calls promptly.

**PROCEDURES**

The Information Technology Division (IT) is responsible for setting-up automated attendant features. As such, departments should contact the IT Manager for assistance in developing effective “trees” and for subsequent implementation of them. IT has several samples of automated attendant uses that departments may want to consider. (Two samples are attached: one is a simple use of automated attendant and the other is a more complex one).

To the degree that departments implement automated attendant in accordance with these guidelines, no “formal” approval is required. In working with departments, the IT Manager is authorized to make non-substantive changes from these guidelines. However, if the department believes that it has unique circumstances that justify significant deviations from these guidelines, City Manager approval is required.

**SAMPLES**

- Simple Voice Mail Tree
- More Complex Voice Mail Tree

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- *Approved by the City Manager on October 4, 2004*
- *Updated by the IT Steering Committee on December 17, 2009*
Hi. You have reached the Finance & Information Technology Department for the City of San Luis Obispo. If you have an emergency, please hang-up and dial 9-1-1. Our office hours are from 8:00 AM to 5:00 PM, Monday through Friday. If you know your party’s four-digit extension, you may enter it at any time.

For utility billing questions, press 1.
This sends the caller to a “live voice” in Customer Services (Utility Billing Accounting Assistant). This is a multi-line extension, and it is very rare for it not to be covered.

For business tax questions, press 2.
This sends the caller to a “live voice” in Customer Services (Business Tax Accounting Assistant). This is a multi-line extension, and it is very rare for it not to be covered.

For Information Technology, press 3.
This sends the caller to an IS Technician, which may be a “live voice,” but not often. While there is no “O” option in this mailbox, the IS Technician is on a pager and will return the voice mail message promptly.

And for other Finance questions, please press 4.
This sends the caller to a “live” voice in Accounting (Accounts Reconcilement Accounting Assistant). This is a multi-line extension, and it is very rare for it not to be covered.

Thanks, and have a great day.
If You Call 781-7317

Sample “MORE COMPLEX” VOICE MAIL TREE

You have reached the San Luis Obispo Police Department. If you have an emergency, please hang up and dial 9-1-1.

1 If you know the name of the employee you wish to speak to, press 1.

2 To report a crime or to request a police response, press 2.

3 To inquire about a police report or for massage, taxi or solicitor permit information, press 3.

4 To speak to the Chief of Police or administrative personnel, press 4.

5 For Investigations and Special Units and, press 5.

6 Should you need further assistance, please press 0.

For Spanish – press 2.

If you know your party’s 4 digit extension, you may dial it at any time. General information is provided at the end of this message.

Press the first 4 letters of the person’s last name that you want to speak with.

Ext. 312 - Transfers to Dispatch

Transfers to that person’s extension or voice mailbox.

Ext. 311: Transfers to Records. After hours or if not answered, message will give business hours and advise to call back.

Ext 337: If Sharon is unavailable, she will forward this line to Communications, who will transfer the caller to the appropriate extension.

Investigations, press 1
Traffic, press 2
SORT, press 3

Each of these will drop you into listings by name and specialty. Traffic and Sort listings already exist.

After these six options there will be a recording of the departments office hours, how to obtain a report, the jail, traffic court, and other popular phone numbers. It will also tell how to access our website for further information.
IT Steering Committee and Application Administrators Group

As of December 2009

IT STEERING COMMITTEE

Shelly Stanwyck, Assistant City Manager (Committee Chair)
John Callahan, Fire Chief (Appointed August 2008)
Melissa Ellsworth, Chair, Application Administrators Group (Appointed August 2008)
Carrie Mattingly, Director of Utilities (Appointed December 2009)
John Mandeville, Director of Community Development (Appointed August 2008)
Jay Walters, Director of Public Works (Will replace August 2010)
Bill Statler, Director of Finance & Information Technology

Staff Support – Steve Schmidt, Information Technology Manager

APPLICATION ADMINISTRATORS GROUP

<table>
<thead>
<tr>
<th>Department</th>
<th>Application</th>
<th>Administrator</th>
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</thead>
<tbody>
<tr>
<td>City Clerk</td>
<td>Records Management</td>
<td>Elaina Cano</td>
</tr>
<tr>
<td>Community Development</td>
<td>Permits</td>
<td>Tim Girvin</td>
</tr>
<tr>
<td></td>
<td>Land Use</td>
<td>Ryan Betz</td>
</tr>
<tr>
<td>Finance &amp; IT</td>
<td>Finance System/Accounting (Pentamation)</td>
<td>Sallie McAndrew</td>
</tr>
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<td></td>
<td>Finance System/Utility Billing (ACS)</td>
<td>Jennifer Thompson</td>
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<tr>
<td></td>
<td>Organization-Wide Office Applications</td>
<td>Steve Schmidt</td>
</tr>
<tr>
<td>Parks &amp; Recreation</td>
<td>Recreation Programming (RecWare)</td>
<td>Linda Fitzgerald</td>
</tr>
<tr>
<td>Police</td>
<td>CAD, RMS, Rover (Spillman), Livescan</td>
<td>Melissa Ellsworth</td>
</tr>
<tr>
<td></td>
<td>Laserficshe, CLETS, Telecommunications</td>
<td>Kerri Rosenblum</td>
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<tr>
<td>Public Works</td>
<td>Computer Aided Design (AutoCAD)</td>
<td>Jennifer Lawrence</td>
</tr>
<tr>
<td></td>
<td>Customer Service/Maintenance</td>
<td>Andrew Collins</td>
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<tr>
<td></td>
<td>Geographic Information System</td>
<td>David Yun</td>
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<tr>
<td>Utilities</td>
<td>Utilities Maintenance (Hansen)</td>
<td>Bud Nance</td>
</tr>
<tr>
<td>Websters</td>
<td>City Web Site (Internet/Intranet)</td>
<td>Dave Smith</td>
</tr>
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