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**State of California**  
**Department of Technology**  
**Certification of Compliance with**  
**IT Policies**

**Preparation Instructions**

**Statewide Information Management Manual – Section 71A**

**April 2018**

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# INTRODUCTION TO CERTIFICATION OF COMPLIANCE WITH IT POLICIES

## Section 1: General Information

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**Agency/State Entity Name:** Enter the name of the Agency or state entity that is submitting the Certification of Compliance with IT Policies form.

**Submission Date:** Enter the date the Certification of Compliance with IT Policies form is being submitted to the California Department of Technology (CDT) or Department of General Services (DGS).

**Contact First Name:** Enter the first name of the Agency or state entity person that will be the primary point-of-contact for questions and comments.

**Contact Last Name:** Enter the last name of the Agency or state entity person that will be the primary point-of-contact for questions and comments.

**Contact Email:** Enter the email address of the contact provided above.

**Contact Phone:** Enter the ten-digit phone number of the contact provided above.

**Estimated Cost:** Enter the total estimated cost of the acquisition.

**Acquisition Method:** Enter the acquisition method.

**Description of Acquisition:** Enter a brief description of IT product(s) or service(s) being acquired.

## Section 2: Procurement Authority

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The authority to conduct a procurement may differ based on the total cost of the acquisition and its correlation to the Agency/state entity's DGS Delegated Purchasing Authority dollar threshold and if the acquisition is related to a reportable IT project based on the California Department of Technology's Project Reporting Criteria in SAM Section 4819.37. The following questions will determine which entity will conduct the recommended acquisition, see Table 1 for an illustration of procurement authority.

1. This acquisition is subject to the Department of Technology's Procurement Authority because it is related to a new or active reportable IT project (meets one or more of the criteria listed in SAM Section 4819.37) and either exceeds the Agency/state entity's assigned DGS/PD Delegated Purchasing Authority dollar threshold OR the acquisition is exempt from DGS oversight.

**Approval Requirements:** If selected, Certifications MUST be signed by the Agency/state entity Chief Information Officer (CIO) or by a member of Agency/state entity management specifically designated by the CIO for this purpose. Agency-affiliated state entities must submit the completed Certification of Compliance with IT Policies form to their governing Agency for approval if the total cost of the IT acquisition exceeds the Agency/state Entity's assigned Department of Technology Delegated Cost Threshold (as identified in SIMM Section 15) or \$1 million, whichever is lower. Upon approval, Agencies/state entities may submit the completed Certification of Compliance with IT Policies form to the California Department of Technology ([TechnologyProcurements@state.ca.gov](mailto:TechnologyProcurements@state.ca.gov)) with the applicable transmittal document for each IT acquisition transaction that requires CDT approval and/or work. Certifications for non-affiliated state entities (state entities not governed by Agencies) or IT acquisition with a total cost within the Department of

Technology Delegated Cost Threshold and under \$1 million may be submitted directly to the Department of Technology for approval. Agencies/state entities should retain a copy of the approved Certification of Compliance with IT Policies form in the procurement file.

Additionally, Agencies/state entities shall provide the Department of Technology Project Number of the project that the acquisition relates to in the space provided.

2. This acquisition is subject to the Department of General Services' Procurement Authority because it is NOT related to a new or active reportable IT project (does NOT meet one or more of the criteria listed in SAM Section 4819.37) and exceeds the Agency/state entity's assigned DGS/PD Delegated Purchasing Authority dollar threshold.

**Approval Requirements:** If selected, Certifications MUST be signed by the Agency/state entity Chief Information Officer (CIO) or by a member of Agency/state entity management specifically designated by the CIO for this purpose. Agency-affiliated state entities must submit the completed Certification of Compliance with IT Policies form to their governing Agency for approval if the total cost of the IT acquisition exceeds the Agency/state Entity's assigned Department of Technology Delegated Cost Threshold (as identified in SIMM Section 15) or \$1 million, whichever is lower. Upon approval, Agencies/state entities may submit the completed Certification of Compliance with IT Policies form to the Department of General Services/Procurement Division (DGS/PD) with the applicable transmittal document for each IT acquisition transaction that requires DGS/PD approval and/or work. Agencies/state entities should retain a copy of the approved Certification of Compliance with IT Policies form in the procurement file.

3. This acquisition is subject to the Agency/state entity's Procurement Authority because it is within the Agency/state entity's assigned DGS/PD Delegated Purchasing Authority dollar threshold OR the acquisition is not related to a reportable IT project and exempt from DGS oversight.

**Approval Requirements:** If selected, Certifications MUST be signed by the Agency/state entity Chief Information Officer (CIO) or by a member of Agency/state entity management specifically designated by the CIO for this purpose. Agency-affiliated state entities must submit the completed Certification of Compliance with IT Policies form to their governing Agency for approval if the total cost of the IT acquisition exceeds the Agency/state Entity's assigned Department of Technology Delegated Cost Threshold (as identified in SIMM Section 15) or \$1 million, whichever is lower. Upon approval, Agency/state entities may proceed with conducting the acquisition. Agencies/state entities should retain a copy of the approved Certification of Compliance with IT Policies form in the procurement file.

Note: The Department of Technology may request to review any solicitation for acquisitions related to a reportable IT project prior to advertising/release to the vending community.

**Table 1: Procurement Authority**

<b>Reportable IT Project</b>	<p><b>Subject to Agency/state Entity Procurement Authority</b></p> <p>California Department of Technology may request to review the acquisition prior to release</p>	<p><b>Subject to California Department of Technology Procurement Authority</b></p>
	<b>Non-Reportable IT Project</b>	<p><b>Subject to Agency/state Entity Procurement Authority</b></p>
		<p><b>Below DGS/PD Purchasing Authority Dollar Threshold</b></p>

Note: Non-reportable IT project acquisitions related to programs that are statutorily exempt from DGS oversight are subject to Agency/state entity procurement authority. Reportable IT project acquisitions are still subject to Department of Technology procurement authority regardless of DGS oversight exemption.

**Section 3: Certification**

Select “Yes” or “No” next to each of the following statements to indicate whether the acquisition described herein complies with the respective policy and requirements.

- The signatory confirms that the acquisition described herein is in compliance with the criteria and procedures for IT prescribed in SAM Section 4819.41.
- The signatory confirms that the acquisition described herein meets the requirements of Government Code 11135 applying Section 508 of the Rehabilitation Act of 1973 as amended or qualifies for one or more exceptions.
- The signatory confirms that the procurement authority for this acquisition is accurately noted in section 2 of this form.
- The signatory confirms that the acquisition described herein is excluded from the Department of Technology’s IT Project Submittal and Approval Authority because it is excluded under SAM 4819.32.

## **CIO/AIO Signature and Date**

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Certifications MUST be signed by the Agency/state entity Chief Information Officer (CIO) or by a member of Agency/state entity management specifically designated by the CIO for this purpose. Agency-affiliated state entity certifications MUST also be signed by the Agency Information Officer (AIO) or designee if the total cost of the IT acquisitions exceeds the Agency/state entity's assigned Department of Technology Delegated Cost Threshold (as identified in SIMM Section 15) or \$1 million. By signing this document, the signatory is confirming that the acquisition described herein is in compliance with the state's information technology (IT) policies and requirements.

Certifications for non-affiliated state entities (state entities not governed by Agencies) must be submitted to the Department of Technology ([ProjectOversight@state.ca.gov](mailto:ProjectOversight@state.ca.gov)) for approval. The Department of Technology will indicate approval by signing within the AIO signature block.

Enter the first and last name of each signatory, provide signature(s), and insert the date(s) that the form was signed.

## **Form Submission**

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Original signed certifications of compliance must be submitted with the applicable transmittal document for each IT acquisition transaction to the appropriate procurement authority, see Section 2 – Procurement Authority to identify where to submit the certification form.