

**SAM – INFORMATION TECHNOLOGY
(California Technology Agency)**

PROCUREMENT REVIEW AND CERTIFICATION

4819.41

(Revised 12/12)

1. Review of Formal IT Solicitations

Formal IT Solicitations as defined in the State Contracting Manual (SCM), Volume 3, Chapter 4, Section B1.0, must be reviewed by the Technology Agency prior to release to the public. Review of Informal IT Solicitations is delegated to departments. The following materials shall be included with the Formal IT Solicitation package:

- a. A completed and signed *Formal Information Technology Solicitation Executive Approval Transmittal*, which is available in SIMM Section 28A.
- b. All sections, appendices, attachments and exhibits comprising the Formal IT Solicitation.
- c. The Information Technology Procurement Plan prepared in accordance with Volume 3, Chapter 2, Section B3 of the SCM and approved by the DGS.

Review of Formal IT Solicitations is in addition to existing IT-related reporting and approval requirements. The instructions and time frame for submitting Formal IT Solicitations to the Technology Agency for review is specified in SIMM Section 05A.

For addenda focusing on Technical or Functional Requirements within the solicitation that are specific to the California IT Strategic Plan, alignment with the Statewide Enterprise Architecture, or alignment with IT reporting and approval requirements, the Technology Agency will collaborate with the DGS Procurement Division (PD), for DGS-Administered Procurements, and with the issuing department, for delegated procurements, prior to release. All other addenda will only be reviewed by the DGS PD or the issuing department, as appropriate. The time frame for submitting addenda will be determined in collaboration with the Technology Agency and the DGS PD or with the issuing department as appropriate.

Departments shall not be relieved of responsibility for major scope deviations within the Formal IT Solicitations or addenda reviewed by the Technology Agency unless:

- a. The department has specifically informed the Technology Agency-Program Management Office (PMO) in writing of such major deviations at the time of submittal; and
- b. The Technology Agency-OTech has given written approval of the specific deviation.

2. Certification for Information Technology Procurements

A signed certification of compliance with state information technology policies is required for all information technology procurements that cost \$100,000 or more and are in support of a development effort. Development is defined in SAM Section 4819.2 as "Activities or costs associated with the analysis, design, programming, data conversion, acquisition, and implementation of new information technology applications." Procurements of hardware, software, and services (including interagency agreements) are included in this requirement.

(Continued)

**SAM – INFORMATION TECHNOLOGY
(California Technology Agency)**

(Continued)

4819.41 (Cont. 1)

PROCUREMENT REVIEW AND CERTIFICATION

(Revised 12/12)

A certification is not required for:

- a. Procurements for less than \$100,000;
- b. Procurements limited only to maintenance services;
- c. Procurements in support of previously-approved efforts. See SAM Section 4819.40;
- d. Procurement of services to conduct a feasibility study, provided the services are limited to supporting or conducting the feasibility study and/or preparing the feasibility study report (SAM Sections 4927 and 4928);or
- e. Procurements of excluded activities as described in SAM Section 4819.32.

The certification must be completed by the agency that will directly utilize the procured goods or services, and the original signed certification must be included with the transmittal of the procurement package to the procurement agency or authority. For audit and review purposes, a copy of the signed certification must be retained in the procurement file. The required format for the certification is provided in SAM Section 4832.