
State of California
Department of Technology

**COTS/SaaS Acquisition Information
Form**

Preparation Instructions

Statewide Information Management Manual – Section 22A

February 2015

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COTS/SaaS ACQUISITION INFORMATION FORM PREPARATION INSTRUCTIONS

1.0 OVERVIEW

Per State Administrative Manual (SAM) Section 4819.34, information regarding the acquisition of Commercial-off-the-Shelf (COTS) software and Cloud Software-as-a-Service (SaaS) solutions must be submitted to the California Department of Technology (Department of Technology). Following is the process an Agency/state entity¹ must follow to acquire a cloud solution:

1. Before proceeding with the acquisition of COTS or SaaS, an Agency or state entity must submit a completed and signed *COTS/SaaS Acquisition Information Form* to the Department of Technology, Information Technology Project Oversight and Consulting (ITPOC) Division using the template found in Statewide Information Management Manual (SIMM) Section 22.
2. The Agency/state entity must acknowledge that the use of COTS or SaaS complies with all of the conditions identified in SAM Section 4819.34.
3. The Agency/state entity must acknowledge that the use of the COTS or SaaS complies with state security policies and standards, including SAM Sections 5100 and 5300 through 5399.

2.0 COTS/SAAS ACQUISITION INFORMATION FORM

2.1 General Information

Agency/State Entity Name: Enter the name of the Agency or state entity that is submitting the COTS/SaaS Acquisition Form.

Submission Date: Enter the date the COTS/SaaS Acquisition Information Form is being submitted to the Department of Technology.

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

¹ **State entity:** Includes every state office, officer, department, division, bureau, board, and commission, including Constitutional Officers. "State entity" does not include the University of California, California State University, the State Compensation Insurance Fund, the Legislature, or the Legislative Data Center in the Legislative Counsel Bureau.

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

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

Vendor Name: Enter the name of the vendor that developed the COTS/SaaS solution.

Solution Name: Enter the name of the COTS/SaaS solution, please specify any module or component within the COTS/SaaS solution (e.g. Salesforce SRM).

Total One-Time Cost: Enter the total estimated one-time cost of the COTS/SaaS acquisition.

Total Annual Ongoing Cost: Enter the total estimated annual ongoing cost of the COTS/SaaS acquisition.

2.2 Business Case

Provide a brief summary of the business need or business problem that the COTS/SaaS solution will address. Describe why the solution is vital for the continued success and growth of the business program that this acquisition will enable, support, and/or enhance. Additionally, describe how the purchase of the solution will benefit the business program.

2.3 Security

Indicate the Agency or state entity's compliance in meeting requisite information security and privacy laws, policies, standards, and processes. Checking the following checkboxes is an acknowledgement that the Agency/state entity Information Security Officer (ISO) reviewed this form and confirms that there are auditable and traceable artifacts that support compliance.

Identify the information security requirements for which the COTS/SaaS solution is in compliance:

- State Administrative Manual (SAM) Sections 5100 and 5300 through 5399.
- Statewide Information Management Manual (SIMM) Section 5360-A.
- National Institute of Standards and Technology (NIST), Special Publication 800-53 (rev. 4) security controls.
- California Privacy Policy and Privacy Notice on Collection Requirements, (Government Code Sections 11015.5 and 11019.9, and Civil Code Section 1798.17, when personal information is involved.
- Federal Risk and Authorization Management Program (FedRAMP) Version 2.0.
- Health Insurance Portability and Accountability Act (HIPAA), when applicable.

- Federal Information Processing Standards (FIPS).
- IRS Publication 1075, Safeguards for Federal Tax Information, when applicable.
- Specify others as applicable to meet business need.

3.0 CIO AND AIO SIGNATURE AND DATE

By signing this document, the signatory is confirming that the requesting Agency/state entity certifies that the planned acquisition or use of the described commercial software does not require prior approval from the Department of Technology as defined by SAM 4819.34. Additionally, the signatory confirms that the Agency/state entity meets all Department of Technology published security and privacy policies (SAM Sections 5100 and 5300 through 5399) and that the significant business need merits the acquisition of this solution. State entities not governed by Agencies are not required to include an AIO's signature.

4.0 REQUEST SUBMISSION

Submit the completed *COTS/SaaS Acquisition Information Form* in PDF format to CIOPMOSubmission@state.ca.gov. Include "COTS/SaaS Acquisition Information Form" within the subject line. After the form has been submitted the Agency/state entity can continue the COTS/SaaS acquisition process. Although the Department of Technology may request further information or clarification, no decision will be provided. The Department of Technology will maintain the information provided and monitor the extent and frequency of COTS or SaaS use to help other Agencies/state entities that have a similar business need.