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**State of California**

**Department of Technology**

**Certification of Compliance  
with IT Policies**

**Preparation Instructions**

**Statewide Information Management Manual (SIMM) - 71A**

**July 2024**

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# INTRODUCTION TO CERTIFICATION OF COMPLIANCE WITH IT POLICIES

State entities are required to complete the certification form provided in [Statewide Information Management Manual \(SIMM\)](#) Section 71B and adhere to the preparation instructions provided in this SIMM Section 71A. This includes obtaining the required signatures prior to commencing work on an acquisition.

For each subsequent amendment a new SIMM 71B form must be completed and executed.

## **Section 1: General Information**

This section is to be completed by Customer/Requester – the Customer or Requester is the person that is submitting the Certification of Compliance with IT Policies Form (SIMM 71B).

- a. **State Entity Name:** Enter the name of the state entity that is submitting the Certification of Compliance with IT Policies form (SIMM 71B).
- b. **Submission Date:** Enter the date of the submittal.
- c. **Contact First and Last Name:** Enter the first and last name of the state entity person that will be the primary point of contact for questions and comments.
- d. **Contact Title:** Enter the title of the state entity person that will be the primary point of contact for questions and comments.
- e. **Contact Email:** Enter the work email address of the primary point of contact provided above.
- f. **Contact Phone:** Enter the work phone number of the primary point of contact provided above.
- g. **Estimated Cost:** Enter the estimated total cost of the acquisition, including all previous amendments.
- h. **Proposed Acquisition Method:** Enter the proposed acquisition method.
- i. **Does the acquisition include any GenAI as described in Technology Letter (TL) 24-01?**
  - i. State entities acquiring GenAI must complete a SIMM 5305-F Generative Artificial Intelligence Risk Assessment. The assessment is required to determine whether GenAI is rated low, moderate, or high risk.

- ii. All IT, non-IT, and Telecommunication procurements with GenAI classified as moderate or high risk require consultation with CDT prior to award. Those classified as low risk GenAI acquisitions do not require CDT consultation.
  - iii. Refer to the [CDT GenAI Website](#) for additional information and links to documents and policy for GenAI
  - iv. All GenAI procurements must submit a completed copy of the Generative Artificial Intelligence Risk Assessment (SIMM 5305-F) to CDT.
    - a. The CIO/AIO/Designee submits a Case via the [New Technology Consultation and Assessment](#) request, in the [CDT IT Service Portal](#).
    - b. When the request has been processed, a CDT Customer Engagement Services (CES) Account Lead will be in contact with instructions to provide:
      - i. Required Generative Artificial Intelligence Risk Assessment (SIMM 5305-F),
      - ii. Required Generative Artificial Intelligence (GenAI) Reporting and Factsheet (STD 1000), once received from the Bidder / Offeror / Contractor Information
      - iii. If completed, Privacy Threshold Assessment and Privacy Impact Assessments (SIMM 5310-C)
  - v. CDT reserves the right to audit and consult on "Low" GenAI risk levels with potential higher risk concerns.
- Yes – If seeking approval for **new** GenAI, the Customer/Requester must complete section 2 and 3 to the best of their knowledge.
  - Yes – If CDT consultation and assessment for GenAI technology has **already been completed**, and the Customer/Requester is looking to modify it, you must complete the Generative Artificial Intelligence Risk Assessment (SIMM 5305-F). Provide CDT's consultation/assessment number. Please continue to complete Sections 1: General Information, 2: Procurement Authority, and 3:Certifications.
  - Yes - If you have completed the Generative Artificial Intelligence Risk Assessment (SIMM 5305-F) and scored your GenAI acquisition as a "Low" risk then indicate if you would like to proceed with a CDT GenAI consultation. Complete Sections 1: General Information, 2: Procurement Authority, and 3:Certifications.
  - No – This procurement does not contain GenAI. Complete Sections 1, 2 and 3.

Enter a "No" response if GenAI is available but the Customer/Requester has chosen to decline GenAI for this procurement.

Enter a “No” response if you have completed the GenAI Reporting & Factsheet (STD 1000), and no GenAI has been identified.

Mark Section 3.5. as N/A.

- Mark Section 3.5. as N/A.

- j. **Description of Acquisition:** A short description of the IT acquisition (manufacturer, product name, etc.). Include exactly what your need is. How did you decide on this IT solution/product? Will this acquisition replace an existing solution? What is the impact on other state entities if the acquisition is not approved? Confirm if this is a new purchase or a renewal. If it is an Amendment, provide the Amendment Number, Amendment Amount, if applicable, and Total Contract Amount.

## **Section 2: Procurement Authority**

This section is to be completed by the Customer/Requester.

The authority to conduct a procurement may differ based on the total cost of the acquisition and its correlation to the state entity’s DGS Delegated Purchasing Authority dollar threshold, and if the acquisition is related to a non-delegated IT project based on the California Department of Technology’s Project Delegation Criteria in SAM § 4819.37. The following statements will determine which entity will conduct the recommended acquisition, see Table 1 for an illustration of procurement authority.

Choose from the following options, as applicable:

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

Provide the Department of Technology Project Number

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 § 4819.37) and exceeds the State entity’s assigned DGS/PD Delegated Purchasing Authority dollar threshold.

**Approval Requirements:** If selected, Certifications MUST be signed by the State entity Chief Information Officer (CIO) or by a member of State entity management specifically designated by the CIO for this purpose. 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 State Entity’s assigned Department of Technology Project Cost Delegation (as identified in SIMM § 15) or \$1 million,

whichever is lower.

Upon approval, 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. State entities should retain a copy of the approved Certification of Compliance with IT Polices form in the procurement file.

3. This acquisition is subject to the State entity’s Procurement Authority because it is within the State entity’s assigned DGS/PD Delegated Purchasing Authority dollar threshold OR the acquisition is not related to a non-delegated IT project and exempt from DGS oversight.

**Approval Requirements:** If selected, Certifications **MUST** be signed by the State entity Chief Information Officer (CIO) or by a member of State entity management specifically designated by the CIO for this purpose. 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 State Entity’s assigned Department of Technology Project Cost Delegation (as identified in SIMM § 15) or \$1 million, whichever is lower. Upon approval, State entities may proceed with conducting the acquisition. State entities should retain a copy of the approved Certification of Compliance with IT Polices form in the procurement file.

**Table 1: Procurement Authority**

Below DGS/PD Purchasing Authority Dollar Threshold	Subject to Agency/state Entity Procurement Authority	Subject to Agency/state Entity Procurement Authority*
	Subject to DGS/PD Procurement Authority	Subject to CDT Procurement Authority
Above DGS/PD Purchasing Authority Dollar Threshold	Delegated IT Project	Non-Delegated IT Project

Note: Delegated IT project acquisitions related to programs that are statutorily exempt from DGS oversight are subject to State entity procurement authority. Non-delegated IT project

acquisitions are still subject to Department of Technology procurement authority regardless of DGS oversight exemption.

- Effective April 30, 2024, and thereafter,
  - All IT, non-IT, and Telecommunications procurements, regardless of acquisition type or method, for any GenAI purchase, prior to July 1, 2024, AIO/CIO/Designee must consult with the [CDT GenAI intake](#) to proceed.
- Effective July 1, 2024, and thereafter,
  - State entities acquiring GenAI must complete a SIMM 5305-F Generative Artificial Intelligence Risk Assessment. The assessment is required to determine whether GenAI is rated low, moderate, or high risk.
    - All IT, non-IT, and Telecommunication procurements with GenAI classified as moderate or high risk require consultation with CDT prior to award. Those classified as low risk GenAI acquisitions do not require CDT consultation.

\*CDT will authorize state entities to conduct these acquisitions under the purchasing authority granted by DGS through the Project Approval Lifecycle (PAL).

### **Section 3: Certifications**

This section is to be completed by Customer/Requester.

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

1. The signatory confirms that the acquisition described herein complies with the criteria and procedures for IT prescribed in SAM § 4819.41.
2. The signatory confirms that the acquisition described herein meets the requirements of Government Code 11135 applying § 508 of the Rehabilitation Act of 1973 as amended or qualifies for one or more exceptions.
3. The signatory confirms that the procurement authority for this acquisition is accurately noted in Section 2 of this form.
4. 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.
5. The signatory confirms that the acquisition described herein contains a GenAI and meets the requirements of the State of California GenAI Guidelines for Public Sector Procurement, Uses, and Training. This acquisition is within the state entity’s authority, but it requires a CDT GenAI Consultation.

Mark "N/A" if this procurement does not contain GenAI.

6. 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.

Mark "N/A" if this procurement does not contain IT training according to SAM § 4854.

**Approval Requirements:** If selected, certifications MUST be signed by the State entity Chief Information Officer (CIO) or by a member of State entity management specifically designated by the CIO for this purpose. 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 State Entity's assigned Department of Technology Project Cost Delegation (as identified in SIMM Section 15) or \$1 million, whichever is lower.

Upon approval, state entities may submit the completed Certificate 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 Project Cost Delegation and under \$1 million may be submitted directly to the Department of Technology for approval. 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 non-delegated IT project prior to advertising/release to the vending community.*

7. Regardless of the dollar amount, CDT must approve of the acquisition if there is any GenAI component.

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

Certifications MUST be signed by the State entity Chief Information Officer (CIO) or by a member of State entity management specifically designated by the CIO for this purpose. 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 State entity's assigned Department of Technology Project Cost Delegation (as identified in SIMM § 15) or \$1 million. By signing this document, the signatory confirms that the acquisition described herein complies 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**

Original or electronically 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.