

INFORMATION TECHNOLOGY ACQUISITION PLAN PROCESS REVISIONS

Frequently Asked Questions

The Information Technology Acquisition Plan (ITAP) Process Revisions Policy Letter 11-05 delegates ITAP approval authority for certain categories of information technology goods and services to Department Directors and Agency or Department Chief Information Officers.

Please review the FAQs and answers to assist in the completion of the revised ITAP form.

1. Q: Is it possible to clarify the role of Agencies and Agency Information Officers in the ITAP process?

A: The final version of the ITPL clarifies the role of Agency Information Officers in approving departmental ITAPs. Also, the revised ITPL emphasizes that the ITAP requirements do not diminish or replace any approval authority that Agencies may have over their constituent-departments that may be greater than the requirements included in the ITPL.

2. Q: If a department wants to acquire an item(s) that is on the list of IT goods and services included on page 2 of the ITPL, but does not plan to use the item(s) for Infrastructure Consolidation Program (ICP) purposes, does it need to submit an ITAP for California Technology Agency (Technology Agency) approval?

A: Yes; all items listed as requiring Technology Agency ITAP approval must be listed on the ITAP, regardless of their relationship to ICP activities.

Page 2 of the ITPL identifies the categories of IT (and specific items within each category) that require Technology Agency ITAP approval, such as:

- E-mail, Directory and Collaboration Services
- Network
- Facilities
- Server, Virtualization, Storage and Backup

3. Q: Are departments with Tier III-equivalent Data Centers exempt from the requirement to submit an ITAP for Facilities-related items listed on page 2 of the ITPL?

A: Yes; departments that operate a Tier III-equivalent Data Center, as described in the State Administrative Manual (SAM) Section 4982.1, are exempt from the requirement to submit an ITAP for Facilities-related items. However, the remaining categories must be submitted to the Technology Agency for approval. Also, Facilities-related acquisitions shall be included in the department-approved ITAPs submitted to the Technology Agency for informational purposes.

Please note that the Computer Room Construction policy described in [ITPL 09-04](#) and in [SIMM 18A, Computer Room Construction](#) remain in effect.

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4. Q: Does the list of items listed on page 2 of the ITPL requiring Technology Agency approval include contracts?

A: Yes; the IT goods and services requiring Technology Agency ITAP approval includes contracts for these goods and services.

5. Q: The ITPL specifies that within the “Server, Virtualization, Storage and Backup” category, “all types of servers” must be included on an ITAP submitted for Technology Agency approval. What if a server is used for file and print, which is otherwise excluded from consolidation reporting?

A: As stated previously, all planned acquisitions of IT goods and services requiring Technology Agency ITAP approval must be listed on the ITAP, regardless of their relationship to ICP activities.

For example, if a department proposes to acquire five servers that cost \$5,000 each, although four of them are to be used for file and print services (which is not a consolidation-related activity), all of the servers must be listed on the ITAP, since “all types of servers” are specified as requiring Technology Agency ITAP approval. The revised ITAP form contains a column and drop-down list to indicate whether an item is consolidation-related to assist the Technology Agency in its approval determination.

6. Q: Is there any specific information that the Technology Agency is looking for in the Rationale column?

A: Departments should provide information that explains and justifies the need and purpose for proposed items. In the case of servers, for example, the rationale should include the specific application(s) or function (e.g., file and print) that the server would be running.

7. Q: If an item or an acquisition with an aggregate value is less than the cost thresholds specified on page 3 of the ITPL, does it need to be included on an ITAP submitted for Technology Agency approval?

A: No; only planned acquisitions over the designated cost thresholds need to be reported on an ITAP. As a reminder, it is contrary to state policy to split contracts or purchase orders to avoid administrative reporting requirements.

8. Q: Do managed services provided by OTech need to be reported on an ITAP for Technology Agency approval?

A: No; OTech managed services do not need to be reported on an ITAP.

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9. Q: Are department-approved ITAPs submitted to the Technology Agency for informational purposes subject to further audit or review?

A: Yes; informational ITAPs are subject to further Technology Agency review and oversight to verify that department-approved acquisitions are appropriate and do not contain categories of IT goods and services that require Technology Agency approval prior to acquisition.

10. Q: What are the due dates for ITAPs submitted to the Technology Agency for approval and for informational ITAPs approved by the department?

A: ITAPs should be submitted according to the submittal due dates specified in Section 05A of the SIMM, which is available at: [SIMM 05A - IT Reports and Activities](#). An excerpt of the due dates for ITAPs submitted to the Technology Agency for approval and for informational ITAPs approved by the department is included below:

Reporting Due Date (2 nd Monday)	ITAPs for planned acquisitions that are submitted to the Technology Agency for approval for the upcoming quarter as indicated below	Informational ITAPs for reporting of acquisitions that were approved by your Department for the quarter as indicated below
June	Q1 – July, August, September	Q3 – January, February, March
September	Q2 – October, November, December	Q4 – April, May, June
December	Q3 – January, February, March	Q1 – July, August, September
March	Q4 – April, May, June	Q2 – October, November, December

11. Q: Is there a separate form for providing informational copies of department-approved ITAPs to the Technology Agency?

A: Department-approved ITAPs and ITAPs submitted for Technology Agency approval will use the same Excel workbook template. The revised template has a check-box on the Cover Page tab to indicate whether the ITAP is for department or Technology Agency approval.

Please note that ITAPs submitted to the Technology Agency for review and approval should contain only those items corresponding to the categories of IT goods and services requiring Technology Agency approval. Similarly, department-approved ITAPs should contain only items not specified as requiring Technology Agency approval.

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12.Q: Some departments submit all of their planned acquisitions for the year in the Q1 ITAP, and then submit ITAPs in subsequent quarters to cover any changes from the Q1 plan. In cases like this, is it acceptable to acquire items in later quarters if they already have been approved by the Technology Agency? Do the approval and the acquisition have to occur in the same quarter?

A: If the Technology Agency has approved an item on an ITAP, departments may execute the acquisition of that item in a subsequent quarter of the fiscal year in which the ITAP was approved. Departments are free to submit ITAPs prior to the quarter in which the acquisition is planned.

13.Q: Does the ITAP process remove the need for the Annual Cost Report?

A: No; the requirement to complete the Annual Cost Report ([SAM Section 4903.2](#) and [ITPL 10-18](#)) remains in effect. The Annual Cost Report includes a range of IT cost categories and is not limited to acquisitions.

14.Q: What is the effective date of this ITPL?

A: The ITPL is effective on June 13, 2011, the Q1 ITAP submittal deadline.

ITPL 11-01, Department Director Certification of ITAPs

1. Q: Can a Department Director delegate ITAP certification signature authority?

A: Department Directors may delegate ITAP certification signature authority to an executive-level designee such as the Chief Deputy Director or Chief Operating Officer. However, ITAP certification signature authority cannot be delegated back to the Department's Chief Information Officer.