



# Gate 3 Collaborative Review Guidelines

## Gate 3: Solution Development

The Collaborative Review is designed to review and discuss solution needs and focus on solicitation development. This review will assess the suitability of the solicitation, ensure that mature requirements are clearly stated, and a thorough solicitation package was completed. In the Gate 3 Collaborative Review, the California Department of Technology (CDT) will discuss deficiencies, provide guidance and recommendations, and come to an agreement on risk mitigation strategies in order to direct the sponsor's focus to matters that should be addressed prior to progressing to the next stage of the Project Approval Lifecycle (PAL). This review will include and address any conditions for the next stage of the PAL. The Collaborative Review process, in some cases, may dictate going back and performing further analysis before proceeding further. The initial readiness for Stage 4 Project Readiness and Approval is also reviewed at this gate

### Collaborative Review Participants

Agency/state entity representatives, including:

- Business Sponsor
- Key Stakeholders
- Project Management Office
- Chief Information Officer
- Enterprise Architect
- Information Security Officer
- Budget Office
- Procurement and Contracting Office
- Agency Information Officer

Department of Technology and Critical Partners, including:

- Information Technology Project Oversight Division (ITPOD) Oversight Manager (Facilitator)
- ITPOD Section Chief
- ITPOD Branch Chief
- Statewide Technology Procurement Division (STPD) Procurement Official
- STPD Branch Chief
- State Enterprise Architect
- State Information Security Office
- Customer Delivery Division (CDD)
- Office of Technology Services, OTech
- Office of the State Geographic Information Officer
- Department of Finance
- Department of General Services



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### Core Review Items

- ◆ Reconfirm underlying business understanding, precision of objectives, commitment of stakeholders, and how expected business outcomes will be measured.
- ◆ Validate key elements in the Stage 3 Solution Development, including:
  - Documentation of thorough market research activities and technology assumptions
  - Maturity and validity of solution requirements traceability to business objectives
  - Clearly articulated Statement of Work (SOW) elements, attributes, and features
  - Cost Worksheets and associated evaluation content
  - Payment models and acceptance approach are logical, practical, and realistic
  - An evaluation and selection approach that will achieve a solution that best addresses the project business problem and/or opportunities
  - Identified procurement planning dates and key action dates are practical and take into consideration resource constraints, mandated deadlines, and budget alignment
  - Developed solicitation documents are complete, comprehensive, and enable the project to meet procurement and project objectives
  - Coordination of dependencies across both primary and ancillary solicitations
  - Compliance with laws, regulations, and policies
  - Financial Analysis Worksheets (FAWs) and associated cost estimates (which include ITPOD and STPD costs)
  - Reinforced commitment of stakeholders and staff resources
  - Validation of negotiation approach, if applicable
  - Discussion on the initiation and/or development status of project management planning documents as identified in Section 3.16 Project Management Planning
  - Preliminary Assessment for Stage 4 Project Readiness and Approval

**Note:** The expected level of detail for the above items corresponds directly with the detail necessary to assess the quality of the solicitation. The focus is on whether the solicitation package best addresses the business problem and opportunity and if the approach to obtain the solution vendor/contractor is practical.



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### Objectives

- Approve further analysis of proposals with mature and traceable requirements, articulated SOW, and a thoroughly tested procurement evaluation methodology
- Gain confirmation that the solution best meets the business goals and objectives stated in the Stage 1 Business Analysis
- Guide Agencies/state entities with the knowledge gained through lessons learned from similar initiatives
- Provide guidance and/or instruction on key activities needed to conduct the procurement
- Communicate risk mitigation strategies for conducting Stage 4 Project Readiness and Approval
- Communicate and confirm ITPOD and STPD roles and associated costs
- Communicate conditions of approval, if approved
- Develop a procurement solicitation that will result in the following:
  - Qualified bidders responding to the solicitation
  - Selection process that is timely, effective, and produces the best value to the state
  - A contract that the State and the vendor can effectively leverage to achieve project objectives and outcomes



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<p><b>Inputs</b></p>	<p>The CDT and Critical Partners will provide a completed Stage 3 Solution Development Evaluation Scorecard, which contains recommendations and risk mitigation strategies identified during the Gate 3 review. Conditions of approval and recommendations may include additional work and/or clarification required to obtain Stage 3 approval. In addition to the Evaluation Scorecard prepared by the CDT, Agencies/state entities should be prepared to discuss and provide the following details related to the proposal:</p> <ul style="list-style-type: none"> <li>• An elaboration of the Agency/state entity’s solicitation package (solution requirements, SOW, cost worksheets, evaluation criteria)</li> <li>• Approach used to determine how and why the selected evaluation criteria best meets the solution’s business objective from Stage 1 Business Analysis and Stage 2 Alternatives Analysis</li> <li>• Solicitation evaluation and selection readiness</li> <li>• Information on implementation approach, including schedule, project organization, and staff planning</li> <li>• Findings and recommendations that may potentially effect the solicitation as a result of changing technology assumptions and/or STPD’s pre-solicitation process, if applicable</li> <li>• Financial Analysis Worksheets [Statewide Information Management Manual (SIMM) 19F] related to contract allocations and budget</li> </ul>
<p><b>Exit Criteria</b></p>	<ul style="list-style-type: none"> <li>• Provided all the required information has been submitted, approval through all stages of the PAL is probable</li> <li>• Fully developed solicitation package, detailed requirements, and a quality SOW</li> <li>• If the Stage 3 Solution Development is approved to proceed, Agency/state entity and CDT agree on a path forward for Stage 4 Project Readiness and Approval, including deliverable requirements, risk mitigation strategies, etc.</li> </ul>
<p><b>Review Format</b></p>	<p>Collaborative Review meeting – Two-hour or up-to half-day workshop sessions typical depending on the projected items to be discussed.</p>



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### Outputs

Gate 3 Solution Development Evaluation Scorecard (Part A and Part B) from the CDT with one of the following:

- Approved to proceed to Stage 4 Project Readiness and Approval
- Approved to proceed to Stage 4 Project Readiness and Approval, with required conditions
- Not approved to proceed to Stage 4 Project Readiness and Approval

All discussions and decisions will be documented during the meeting to ensure consensus and will be shared with all attendees.

The CDT will disseminate a formal written confirmation of disposition following the Gate 3 Collaborative Review meeting.