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**State of California**  
**Department of Technology**  
**Stage 3 Solution Development**  
**Preparation Instructions**

**Statewide Information Management Manual – Section 19C**

**August 2016**

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# INTRODUCTION TO THE STAGE 3 SOLUTION DEVELOPMENT

## Overview

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Statewide Information Management Manual (SIMM) Section 19C, Stage 3 Solution Development, is the third stage of the Project Approval Lifecycle (PAL) and provides the basis for Agencies/state entities to acquire a solution that best meets business objectives and yields the highest probability of success, including the:

- Maturity of mid-level solution requirements into clearly defined and detailed solution requirements
- Elements to consider in the development of the Statement of Work (SOW)
- Guidance in the solicitation development
- Identification of information security and privacy controls
- Continual confirmation of organizational planning and readiness

This stage also includes the development of essential contractual deliverables which adhere to state policies and regulations. During Stage 3, Agencies/state entities will also update the anticipated costs within the Financial Analysis Worksheets (FAWs) as actual costs are determined. The Stage 3 Solution Development instructions have been prepared to help State of California Agencies and state entities<sup>1</sup> meet the Department of Technology requirements for documentation of proposals for projects.

### Clarifications

- ✓ A Stage 2 Alternatives Analysis must be approved by the Department of Technology prior to conducting a Stage 3 Solution Development.
- ✓ Proposal reporting requirements are initially determined as part of the Stage 1 Business Analysis but may have changed as the proposal progressed through the PAL.
- ✓ For proposals anticipated to be reportable, Agencies/state entities are required to submit a Stage 3 Preliminary Assessment prior to the development of the Stage 3 Solution Development.
- ✓ For proposals anticipated to be reportable, Agencies/state entities are required to submit a Stage 3 Solution Development to the Department of Technology.
- ✓ For proposals anticipated to be non-reportable, Agencies/state entities must receive Stage 3 Solution Development approval from the Agency/state entity's Director, as applicable.
- ✓ For ancillary procurements over an Agency/state entity's Department of General Services (DGS) Delegated Purchasing Authority, the ancillary procurement will require Procurement Oversight involvement (based on SAM Section 4819.2) to conduct, oversee, and award the contract. This type of ancillary procurement may require a separate Stage 3 Solution Development (Part A) and (Part B) submission package.

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<sup>1</sup>**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.

## Stage 3 Scalability

As part of the Stage 3 Solution Development, the total procurement contract amount ([in relation to DGS Delegated Purchasing Authority](#)) will determine which sections of the Stage 3 Solution Development (Part A) and (Part B) are required for Department of Technology initial review and approval, and those sections delegated to the Agency/state entity for approval. However, as project work progresses and complexities (business, technical, and procurement-related) and unanticipated issues are discovered, the Department of Technology may request additional and/or all sections of the Stage 3 Solution Development be provided for review and approval prior to entering into Stage 4 Project Readiness and Approval. Therefore, it is imperative that the sections approved internally by the Agency/state entity be thorough and complete.

### Example:

An Agency/state entity with competitive IT procurement delegation of purchasing authority of \$1 Million estimates a total contract cost for the solution to be \$1,200,000. This anticipated cost is over their DGS Delegated Purchasing Authority dollar threshold. The Agency/state entity must submit the Stage 3 Solution Development with all sections completed to the Department of Technology for review and approval as their proposal is **over** the DGS Delegated Purchasing Authority.

The same Agency/state entity estimates a total contract cost for the solution to be \$600,000, which is less than their DGS Delegated Purchasing Authority dollar threshold. The Agency/state entity must submit the Stage 3 Solution Development sections as indicated for proposals **under** the DGS Delegated Purchasing Authority to the Department of Technology for review and approval.

## Stage 3 Scalability Table

Based on the total cost of the primary solicitation as it relates to the [DGS Delegated Purchasing Authority](#), the Stage 3 sections indicated by a circle in the table below must be submitted to the Department of Technology for review and approval prior to release of the solicitation. The remaining sections are delegated to the Agency/state entity Director for review and approval.

S3SD Part A Sections	DGS Delegated Purchasing Authority		
	Over	Under	No Procurement
3.4 General Information	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
3.5 Part A Submittal Information	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
3.6 Procurement Profile			
3.6.1 Solicitation Identifier	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
3.6.2 Solicitation Method	<input type="radio"/>	<input type="radio"/>	
3.6.3 Procurement Scope Statement	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
3.6.4 Solicitation Contact	<input type="radio"/>	<input type="radio"/>	
3.6.5 Anticipated Length of Contract	<input type="radio"/>	<input type="radio"/>	
3.6.6 Anticipated Solicitation Key Action Dates	<input type="radio"/>	<input type="radio"/>	
3.7 Stage 3 Solution Requirements			
3.7.1 Stage 3 Solution Requirements Template	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
3.7.2 Stage 3 Requirements Count	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
3.7.3 Stage 2 Mid-Level Solution Requirement Changes	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
3.7.4 To-Be Business Process Workflow	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
3.8 Statement of Work (SOW)			
3.8.1 Completed SOW Sections	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
3.8.2 SOW Security Attributes	<input type="radio"/>		
3.9 Proposed Procurement Planning and Development Dates	<input type="radio"/>	<input type="radio"/>	
3.10 Procurement Risk Assessments and Dependencies	<input type="radio"/>		
3.11 Procurement Administrative Compliance Checklist	<input type="radio"/>		

S3SD Part A Sections	DGS Delegated Purchasing Authority		
	Over	Under	No Procurement
3.12 Solicitation Readiness	<input type="radio"/>		
<b>S3SD Part B Sections</b>			
3.13 General Information	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
3.14 Part B Submittal Information	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
3.15 Solicitation Package and Evaluation Readiness	<input type="radio"/>		
3.16 Public Contract Code (PCC) 6611 Readiness	<input type="radio"/>		
3.17 Protest Processes	<input type="radio"/>		
3.18 Project Management Planning	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
3.19 Staffing Allocation	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
3.20 Final Solicitation Package Submission	<input type="radio"/>	<input type="radio"/>	

**Note:** The Department of Technology and/or DGS reserve the right to request, at any time, a copy of the Stage 3 Solution Development (Part A) and (Part B).

## Stage 3 Format

Stage 3 Solution Development is separated into two parts; Part A focuses on the maturity of the solution requirements and SOW and Part B focuses on the development of the solicitation based on the information developed in Stage 2 and Stage 3, packaging and readiness for solicitation release and will also include the applicable project management elements. This two-part approach in Stage 3 mirrors a best practice for the development of a solicitation package and lays out a logical framework for Stage 3 activities to be conducted. Agencies/state entities normally begin by first maturing solution requirements and developing SOW components. After requirements and SOW components have been established and vetted through Agency/state entity stakeholders and oversight staff, Agencies/state entities can continue preparing the formal solicitation package and assessing readiness. This two-part approach provides Agencies/state entities the ability to build in and incorporate information from previous stages to ensure the project avoids the omission of vital information to build the solicitation. For example, once the Agency/state entity has identified tasks and key staff in the SOW, it can then build the bidder and key staff qualifications in the solicitation evaluation section and align the minimum qualifications with the actual project task requirements (as outlined in SOW). Furthermore, initially maturing the requirements and developing the SOW in Part A allows the Agency/state entity to ensure that the solicitation foundation and information is complete and agreed upon prior to Part B solicitation development. This two-part approach prevents premature development of evaluation criteria prior to the development of the solicitation and ensures that the work and development of Part A and B are complete in order to move the information forward to build the sections of the solicitation. Although this approach requires two formal submittals, this does not prevent the Agency/state entity from beginning Part B activities early and working on Stage 3 deliverables concurrently.

## Stage 3 Solution Development Reporting Requirements

For proposals that are anticipated to be reportable, the Department of Technology requires specific information from Agencies/state entities to carry out its responsibilities in approving the Stage 3 Solution Development. To evaluate an Agency/state entity's Stage 3 Solution Development, the Department of Technology needs to fully understand the procurement methodology and approach to obtain a solution. Each proposal must provide sufficient detail to describe the procurement profile as a whole, solution requirements, SOW, evaluation criteria, cost/payment model, and staffing plan.

Each Agency/state entity is responsible for ensuring its Stage 3 Solution Development analyses meet Department of Technology requirements. The Stage 3 Solution Development must be comprehensive and cannot rely on verbal or subsequent written responses (e.g., emails) to the Department of Technology staff's questions to provide needed justification for the submission. Incomplete submissions that fail to provide relevant information in written form may be returned without consideration at the discretion of the Department of Technology.

The Department of Technology may, at its discretion, request additional information from the Agency or state entity. Per SAM Section 4819.31, the Department of Technology's IT Project Oversight Division (ITPOD) may request to review and or approve IT Reportable Procurements prior to release to the public.

## **Changes to Previously Approved Submittals**

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As a proposal progresses through each stage of the PAL, further analysis is conducted, uncertainties are cleared, and information used for decision-making improves. As additional information is collected (e.g., cost estimates, schedules, and business objectives), the information submitted in an earlier stage can be refined. If information from a previously approved Stage needs to be updated, the Agency/state entity should submit an updated Stage 1 Business Analysis and/or Stage 2 Alternatives Analysis along with the Stage 3 Solution Development submittal.

## **Changes to Reportability Status**

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If at any stage in the PAL a proposal initially anticipated to be non-reportable now meets any of the reportability criteria as per State Administrative Manual (SAM) 4819.37, the Agency/state entity is required to resubmit all previous Stage/Gate deliverables with all applicable sections completed for Department of Technology review and approval.

## **Stage 3 Solution Development Transmittal Requirements**

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The Project Approval Executive Transmittal Form, located in SIMM Section 19G, will be used to satisfy the transmittal requirements for Stage 3 Solution Development.

- ✓ State entities are required to sign and submit the Project Approval Executive Transmittal to their governing Agency for approval.
- ✓ Agencies are required to sign and submit the Project Approval Executive Transmittal to the Department of Technology.
- ✓ A separate signed Project Approval Executive Transmittal Form must be submitted with Part A and Part B of the Stage 3 Solution Development.

**Exception** – State entities that are not governed by Agencies can sign and submit the Project Approval Executive Transmittal directly to the Department of Technology.

**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.*

The Stage 3 Solution Development should be submitted to the Department of Technology through the CIO Project Oversight email address at: ([ProjectOversight@state.ca.gov](mailto:ProjectOversight@state.ca.gov)).

# Project Approval Executive Transmittal

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The transmittal template (available in SIMM Section 19G) contains the approving Agency/state entity executive signatures, with the following components:

1. **State Entity Name:** Enter the state entity name that prepared the Stage 3 Solution Development. Designate one state entity as owner if multiple state entities have a role in the proposal.
2. **Agency Name:** Enter the Agency name that prepared the Stage 3 Solution Development. Designate one Agency as owner if multiple Agencies have a role in the proposal. This field is not required for state entities not governed by an Agency.
3. **Name of Proposal:** Enter the proposal name as determined by the Agency/state entity in the approved Stage 1 Business Analysis.
4. **Department of Technology Project Number:** Enter the project number assigned by the Department of Technology during the Stage 1 Business Analysis (in “0000-000” format).
5. **Submission Deliverable:** Select the Stage/Gate deliverable(s), as applicable. For Stage 3 Solution Development transmittals, be sure to also select the appropriate part – Part A or Part B.
6. **Approval Signatures:** The Agency/state entity executive approval signatures are required, documenting commitment and involvement at the Agency/state entity level. The required signatures include those of the Information Security Officer, Enterprise Architect, Chief Information Officer, Budget Officer, Procurement and Contracting Officer, State Entity Director, Agency Information Officer and the Agency Secretary.

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## Stage 3 Solution Development Main Form Instructions

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Following the submission of the Stage 3 Preliminary Assessment, Agencies/state entities may submit the Stage 3 Solution Development (Part A), with guidance from the ITPOD Oversight Manager and STPD (as applicable). Refer to SIMM Section 19B.1 Preparation Instructions, Preliminary Assessment for Stage 3 – General Instructions to complete the Stage 3 Preliminary Assessment Sections 3.1 through 3.3.

It is important to note that the Stage 3 Solution Development (Part A) work products (e.g., detailed solution requirements, SOW) and responses, along with the Stage 3 Evaluation Scorecard, will be used to determine the Agency/state entity's readiness to move into Part B.

## Stage 3 Solution Development (Part A)

### 3.4 General Information

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For the Stage 3 Solution Development (Part A), complete the following information:

**Agency or State Entity Name:** Select the Agency/state entity name that prepared and is responsible for the Stage 3 Solution Development. Designate one Agency/state entity as owner if multiple Agencies or state entities have a role in the proposal.

**Organization Code:** Organization Code populates automatically once the Agency/state entity name is selected.

**Proposal Name:** Enter the proposal name as determined by the Agency/state entity in the approved Stage 1 Business Analysis.

**Department of Technology Project Number:** Enter the project number assigned by the Department of Technology during the Stage 1 Business Analysis.

### 3.5 Part A Submittal Information

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*Note:* Prior to submitting a Stage 3 Solution Development, the Agency/state entity must complete and submit the Preliminary Assessment for Stage 3.

**Contact Information:**

**Contact First Name:** Enter the first name for Agency/state entity person who will be the primary point-of-contact for control agency questions and comments.

**Contact Last Name:** Enter the last name for Agency/state entity person who will be the primary point-of-contact for control agency questions and comments.

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

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

**Part A Submission Date:** Select the date the Stage 3 Solution Development (Part A) is being submitted to the Department of Technology for review.

**Part A Submission Type:** Select one of the following types of submission.

**New Submission:** Initial submission to the Department of Technology.

**Updated Submission (Pre-Approval):** Updated submission based on review and feedback from the Department of Technology, critical partners or other stakeholders prior to formal approval.

**Updated Submission (Post-Approval):** If Stage 3 Solution Development has been previously approved by the Department of Technology and new information or updates are required, the submittal should be updated based on new information. For instance, as a proposal progresses through each PAL stage, further analysis is conducted, uncertainties are cleared, and information used for decision-making improves, in this case an update to the Stage 3 Solution Development will be required.

**Withdraw Submission:** An Agency/state entity may decide to withdraw the Stage 3 Solution Development for various reasons (e.g., change in direction, feasibility, budgetary issues, etc.). If an Agency/state entity wishes to withdraw a previously submitted or approved proposal from further consideration, check this field and submit the Stage 3 Solution Development to the Department of Technology.

If “Withdraw Submission” is selected, select the reason for the withdrawal from the dropdown menu. If “Other,” specify the reason in the space provided.

Contact your Department of Technology ITPOD Oversight Manager and Agency Information Officer (if applicable) to inform them of your intention to withdraw the proposal. The Department of Technology will send a written confirmation of withdrawal and communicate to all associated stakeholders. Once a proposal is withdrawn, the Agency/state entity will be required to submit a new Stage 3 Solution Development to continue with a proposal for the same or a similar request.

**Part A Sections Updated:** If either Submission Type “Updated Submission (Pre-Approval)” or “Updated Submission (Post-Approval)” is selected, then indicate the sections where updates have been made. Check all that apply.

**Part A Summary of Changes:** If either Submission Type “Updated Submission (Pre-Approval)” or “Updated Submission (Post-Approval)” is selected, provide a concise summary of the changes made.

**Note:** *Highlight or otherwise indicate new or changed text within the modified section.*

**Project Approval Executive Transmittal:** Scan and attach the signed Project Approval Executive Transmittal for Stage 3 Solution Development (Part A) in the space provided; use the transmittal form located in SIMM Section 19G.

## Condition(s) from Previous Stage(s)

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In order to provide status and information on the previous stage's approval conditions, the Agency/state entity will use the Gate 1 and Gate 2 Scorecards to address each approval condition by providing a concise narrative on their plan to address each approval condition. The Agency/state entity response may include a variety of strategies to address the condition (e.g., condition to be addressed in Stage 3 Solution Development; condition to leverage other department services is being pursued through an Interagency Agreement; condition to mitigate the lack of experienced project management staff is being addressed by leveraging Department of Technology's California Project Management Office to assist with the project).

Use the Gate 1 and Gate 2 Scorecard to obtain any approval conditions from previous stages.

**Condition #:** Enter the assigned condition number(s) (e.g., 1.1, 2.1, 2.2, 2.3).

**Condition Category:** Select the condition category from the dropdown menu. If the condition category is "Other," specify in the space provided.

**Condition Sub-Category:** Select the condition sub-category from the previous stage(s) from the dropdown menu. If the condition sub-category is "Other," specify in the space provided.

**Condition:** Enter the condition from the previous stage(s).

**Assessment:** Select the assessment from the dropdown menu. If the assessment is "Other," specify in the space provided.

**Agency/state Entity Response:** Provide a narrative of the Agency/state entity's response to the condition.

**Status:** Select the condition status from the dropdown menu. If the status is "Other," specify in the space provided.

Use the "Insert Condition" to add additional conditions.

## 3.6 Procurement Profile

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The Procurement Profile can be comprised of a variety of solicitations. In most cases, IT reportable projects must contain a primary solicitation that will solicit and obtain the main IT Goods and/or Services for an IT project solution. However, at times there can be multiple ancillary solicitations that may occur along with the primary solicitation in order to achieve or support the entire solution. The Procurement Profile gives a clear picture and shows how many planned and/or in progress solicitations the project proposal involves. The solicitation package for the primary solicitation must be submitted to the Department of Technology with the Stage 3 Solution Development (Part B) submission. Per SAM 4819.31, the Department of Technology may request to review and approve ancillary solicitations prior to release to the public.

For example, the primary solicitation may be a competitive Request for Proposal (RFP) conducted by Department of Technology, STPD, while the project is also utilizing the Leveraged Procurement Agreement (LPA) via a Request for Offer (RFO) for consultation services to conduct Stage 3 requirements development and documentation. Most proposals will likely require management of multiple procurements.

**Note:** The subsections within Section 3.6 should be repeated for each anticipated ancillary solicitation planned, with the exception of 3.6.6 Anticipated Solicitation Key Action Dates. Additionally, an ancillary procurement over the Agency/state entity’s DGS delegated purchasing authority will require Procurement Oversight involvement (based on SAM Section 4819.2) to conduct, oversee, and award the contract. This type of ancillary procurement may require a separate Stage 3 Solution Development (Part A) and (Part B) submission package, which may be processed as part of the Stage 3 approval or may be processed before or after Stage 3.

### 3.6.1 Solicitation Identifier

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The Agency/state entity will designate only one solicitation as the “Primary” solicitation. Additionally, the information for the “Primary” solicitation must be completed. All other supporting solicitations planned will be designated by the Agency/state entity as an “Ancillary” solicitation. In instances when no procurement will be conducted (e.g., NCB, an amendment to an existing contract is the only transaction necessary to achieve the recommended solution), the Agency/state entity will designate these as “No Procurement”. If “No Procurement” is selected, describe why the project does not require a procurement in Section 3.6.3 Procurement Scope Statement and do not complete any other sections within Section 3.6 Procurement Profile.

**Solicitation Identifier:** Select “Primary,” “Ancillary” or “No Procurement” to identify if the solicitation is the primary or an ancillary solicitation or if no procurement is required.

**Department of General Services (DGS) Delegated Purchasing Authority:** Identify if the solicitation is “Over” or “Under” the DGS Delegated Purchasing Authority.

**Solicitation Title:** Enter a unique title as an identifier for the ancillary or primary solicitation as determined by the Agency/state entity. The title must include the project name and describe the goods or services being obtained through the solicitation (e.g., Debt Management System RFP, CalHEERS Independent Verification and Validation Services, Grant Management System Project Management Services).

### 3.6.2 Solicitation Method

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This section identifies the anticipated solicitation method and includes a basic description of the solicitation type, anticipated cost, under whose authority the solicitation is to be conducted, and development status. This information will be used to determine the Agency/state entity’s required procurement planning needs and implementation strategy during Stage 3.

**Solicitation Method:** Select the solicitation method that will be used to procure the business technology and/or solution, as follows:

- Formal Competitive Solicitation (IFB/RFP)
- Request for Offer/Master Service Agreement (RFO/MSA)
- Request for Offer/California Multiple Award Schedules (RFO/CMAS)
- Request for Offer/Software Licensing Program (SLP)
- Request for Offer/Western States Contracting Alliance (WSCA-NASPO)
- Request for Offer/Information Technology Consulting Services (ITMSA)
- Request for Offer/State Price Schedules (SPS)
- Statewide Commodity Contracts (SCC)
- Non-Competitively Bid (NCB)
- Informal Competitive Solicitation/Request for Quote (RFQ)
- Small Business/DVBE Option
- Other

If “Other,” specify: If the solicitation method is “Other,” specify in the space provided.

See the [State Contracting Manual \(SCM\) Volume 3](#) for descriptions of the above procurement methods and processes.

**Anticipated Amount:** Enter the anticipated total contract cost as estimated via quote, market research, and/or historical information and as included in the Financial Analysis Worksheets (FAWs). The Stage 4 total contract cost may differ from the Stage 3 anticipated amount if the actual vendor/contractor proposal submitted during the solicitation process differs from the estimates received. The FAWs should be continually updated with the actual costs, as determined.

**Conducted By:** For the solicitation identified, select the applicable authorized Agency/state entity who will conduct the solicitation from the following:

- Department of General Services (DGS)
- Department of Technology
- Agency/state entity
- Other

If “Other,” specify: If “Other,” specify who conducted the solicitation in the space provided.

**Development Status:** For the solicitation identified, select the development status from the following:

- Not Started
- In Progress
- Completed

**Solicitation Number:** Enter the unique identifier assigned to the solicitation, if applicable. The solicitation number is typically assigned by the Agency/state entity and is used to track the solicitation prior to contract award. The solicitation number is not applicable to NCBs or Interagency Agreements (IAs). If the solicitation method is NCB or IA, then leave blank.

### 3.6.3 Procurement Scope Statement

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Provide a brief procurement scope statement. The procurement scope statement contains the procurement objectives and boundaries. The statement summarizes the project needs, products, deliverables, and services that must be considered during and after the procurement process. The statement provides a basis for confirming and/or developing a common understanding of the procurement objective. This also provides an opportunity to highlight any high level exclusions (i.e., what will *not* be included) in the procurement. An example of a procurement scope statement as follows:

*The primary purpose of this procurement is to select a qualified vendor to conduct a third party independent quality assurance review (process and product) for the xx Department xx Information Systems Project. The vendor will be required to conduct an assessment of the project and prepare a detailed report of findings and recommendations for the Technical Architecture and Project Committee (TAPC) of the Information Resource Management Team (IRMT). This request is a one-time engagement and the vendor will not provide on-going independent quality assurance reviews.*

If “No Procurement” was selected in Section 3.6.1 Solicitation Identifier, use the space provided in this section to provide a brief description of how the Agency/state entity will achieve the recommended solution without conducting a procurement.

### 3.6.4 Solicitation Contact

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Provide the contact information for the main point-of-contact for control agency questions and comments related to the solicitation, as follows:

**Contact First Name:** Enter the first name of the Agency/state entity main contact.

**Contact Last Name:** Enter the last name of the Agency/state entity main contact.

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

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

### 3.6.5 Anticipated Length of Contract

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Provide the entire anticipated length of the contract for the solicitation.

**Contract Start Date:** Select the anticipated contract start date. The contract start date is the date the contract is awarded to the contractor.

**Contract End Date:** Select the anticipated contract end date of the base contract. The contract end date should reflect the anticipated expiration of all contract activities; the last date that contract activities are estimated to be completed.

**Optional Years:** Indicate the anticipated contract dates for any potential optional years that may extend the term of the base contract.

**Contract Start Date:** Select the anticipated contract start date for any optional year(s).

**Contract End Date:** Select the anticipated contract end date for any optional year(s).

### 3.6.6 Anticipated Solicitation Key Action Dates

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The anticipated solicitation key action dates (KADs) identify pertinent dates and times when actions must be taken or completed by the bidders. These dates are critical solicitation components used to convey the mandatory actions that must be taken or completed by the bidders. Adequate time between activities must be considered in order to allow bidders sufficient opportunity to respond to the solicitation requirements, to execute their respective tasks during the procurement process, and minimize the risk of procurement cancellation. The timeframes in this section are dependent upon such things as the number of procurement activities, solution requirements, the complexity of the relationship among requirements, etc. The Agency/state entity needs to consider the review time required for any external stakeholders, such as federal partners for federally funded contracts. Consider whether the review time will need to be built in prior to finalizing solicitation and/or prior to releasing any addenda. All anticipated solicitation key action dates, activities, and timeframes relative to the solicitation are to be entered in the table provided. The Agency/state entity will complete this section for the primary solicitation only.

**Note:** The key action dates must be finalized and approved prior to Part B exit approval.

Refer to SIMM Section 195 Solicitation Template and the STPD Estimated Timeline Guide for Department Procurement Planning Timeframes for additional instructions.

**Activity:** Select the name of the anticipated solicitation activity for each proposed KAD, as follows:

- Release of Solicitation
- Last day to submit written questions for clarification of solicitation for Bidder's Conference
- Bidder's Conference
- Last day to submit Exhibit 2: Intent to Bid and Exhibit 3: Confidentiality Statement (signed)
- Submission of Conceptual Proposal
- Confidential Discussions with individual bidders regarding Conceptual Proposal
- Submission of Detailed Technical Proposal
- Confidential Discussions with individual bidders regarding Detailed Technical Proposal
- Last day to submit written questions to and request a meeting with OTech
- OTech meetings with bidders
- Last day to submit written questions using Attachment 1 and request changes to requirements using Attachment 2
- State's response to bidder's questions, bidder's request for changes to the requirements and release of potential addendum (This action is not an official KAD; however, it is helpful to alleviate questions from bidders inquiring when an addendum will be released)
- Last day to protest solicitation requirements
- Last day to submit Draft Proposals
- Confidential Discussions with individual bidders
- Last day to submit questions for clarification of solicitation and/or request a change to the requirements in the solicitation prior to Final Proposals
- State's response to bidder's questions, bidder's request for changes to the requirements and release of potential addendum (This action is not an official KAD; however, it is helpful to alleviate questions from bidders inquiring when an addendum will be released)
- Last day to submit Final Proposals
- Evaluation Period
- Demonstration
- Public Cost Opening
- Notification of Intent to Award
- Last day to protest Award
- Contract Award
- Contract Execution
- Other

If "Other," specify: If the activity is "Other," specify in the space provided.

**Start Date:** Enter the estimated start date for the activity.

**End Date:** Enter the estimated end date for the activity. If the activity is a milestone (e.g., Release of Solicitation, Last day to submit Final Proposals), the "End Date" should be the same as the "Start Date" and the "Number of Business Days" should equal "1."

**Number of Business Days:** Enter the estimated number of business days provided for the activity. Refer to the SIMM Section 195 Solicitation Template when establishing dates as many of the KADs have predecessors and are not linear.

Use the "Insert Key Action Date Activity" to add additional activities with key action dates.

Use the "Insert Solicitation" for each solicitation planned for the solution. Follow the instructions provided in Section 3.6 for each solicitation.

### 3.7 Stage 3 Solution Requirements

The main objective or goal in defining detailed solution requirements is to further mature and communicate stakeholder needs and ensure the proposed solution or system functions as required. In the Stage 1 Business Analysis, strategic business goals, business problems or opportunities, and objectives form the initial business requirements for the proposal. Business process workflows produced during the Stage 2 Alternatives Analysis provide the context for further elaboration of business requirements into mid-level solution requirements. The mid-level requirements should include all project-related requirements. As part of the Stage 3 Solution Development, mid-level solution requirements are matured into detailed requirements that align with sections of the SOW and solicitation. For the purposes of the PAL, solution requirements continue to be sub-classified into functional, non-functional and project/transition requirements. Solution requirements enable an Agency/state entity to:

- Communicate detailed requirements needed in the solution to accomplish the business needs
- Ensure the system is built to the standards required
- Provide a basis to determine which bidder response achieves the Agency/state entity's business needs

#### Requirements in the Project Approval Lifecycle

Stage 1 – Business Analysis	Stage 2 – Alternatives Analysis	Stage 3 – Solution Development	Stage 4 – Project Readiness and Approval
<ul style="list-style-type: none"> <li>• <b>Business Requirements</b> - Goals, objectives and outcomes identified.</li> <li>• <b>Stakeholder Needs Captured</b></li> </ul>	<ul style="list-style-type: none"> <li>• <b>Process Flows</b> - The graphic representation of the business processes.</li> <li>• <b>Mid-Level Solution Requirements</b> - Characteristics of a solution scope and quality of service. They describe the conditions, functionality and capabilities that a solution must have to satisfy the business needs identified in the objectives; they are sub-classified into functional, non-functional and project/transition requirements.</li> <li>• <b>Functional Requirements</b> - Feature level information to validate the size of the system. Generally they are "what" the business has identified they want.</li> <li>• <b>Non-Functional Requirements</b> - Information to validate alternatives. Generally they are what/how non-business (i.e., technologists) want or need to satisfy what the business has identified they want.</li> <li>• <b>Project/Transition Requirements</b> - Information to validate the feasibility of cost and schedule. Generally they are temporary in nature and exist while the Project is progressing through project phases prior to project close and the solution becomes the new "as-is."</li> </ul>	<ul style="list-style-type: none"> <li>• <b>Detailed Solution Requirements</b> - They represent large groupings of concise specifications that when combined deliver an expected quality of service and functionality of a solution. They are sub-classified into functional, non-functional, and project/transition requirements.</li> <li>• <b>Detailed Functional Requirements</b> - Specifications to ensure the system meets stakeholder needs.</li> <li>• <b>Detailed Non-Functional Requirements</b> - Specifications to ensure the system operates as required; identifies qualities of the system and constraints on the system.</li> <li>• <b>Detailed Project/Transition Requirements</b> - Specifications to ensure the system is built on time and budget and meets quality levels.</li> <li>• <b>Detailed Mandatory/Optional Requirements</b> - Specifications on optional requirements (e.g., maintenance and operations after first year of operations) that will be implemented at the option of the state.</li> <li>• <b>Administrative Requirements</b> - Requirements that are defined by the Department of Technology, STPD and included under a separate section of a solicitation</li> </ul>	<ul style="list-style-type: none"> <li>• <b>Baseline Functional Requirements</b> - Information to test and subsequently maintain the desired functionality in the system.</li> <li>• <b>Baseline Non-Functional Requirements</b> - Information to test and subsequently maintain the quality and operational aspects of the system, within the defined constraints.</li> <li>• <b>Baseline Project/Transition Requirements</b> - Information to test and subsequently maintain the quality, budget and time constraints.</li> <li>• <b>Baseline Mandatory/Optional Requirements</b> - Information to subsequently maintain and validate the need to implement optional requirements (e.g., maintenance and operations after first year of operations).</li> </ul>

Note: The requirements are finalized during Stage 3; however, they may be modified based on vendor feedback and validation prior to contract award.

### 3.7.1 Stage 3 Solution Requirements Template

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The SIMM Section 19C.6 Stage 3 Solution Requirements Template is an Excel tool that Agencies/state entities can use to document detailed requirements for the PAL. The fields included in the template are required and must be included in an Agency/state entity's requirement documentation submission. Agencies/state entities may utilize another requirement documentation format as long as the required fields are included in their requirement documentation submission. Additionally, Agencies/state entities may include more fields than those provided in the Stage 3 Solution Requirements Template.

The Stage 3 Solution Requirements must trace back to the Stage 2 Mid-Level Solution Requirements and the SOW. This traceability is critical in controlling scope, ensuring delivery of a completed solution that is neither more nor less than what was agreed to by project stakeholders, and will help to identify gaps in mid-level requirements.

**Attachment:** Attach the Stage 3 solution requirements template in Excel or another electronic format.

One of the key factors in documenting the solution requirements is to consider that each requirement must trace back to a minimum of one mid-level solution requirement. This will be noted in the Stage 3 template under the columns noted as “(Stage 2) Mid-level Requirement Category” and “(Stage 2) Mid-level Requirement Number,” respectively. Throughout this process, the requirements will be used to build the solicitation.

If the Agency/state entity utilized Use Cases to document the mid-level requirements, Use Cases may continue to be used to document matured functional, non-functional, and mandatory optional requirements; however, project/transition requirements will need to be detailed in the Stage 3 Requirements Template or other appropriate mechanism that documents these requirements.

**Enter Requirements** – Use the *corresponding* tab for the “Requirement Type” (i.e., Functional tab, Non-Functional tab, Project-Transition tab, Mandatory-Optional tab) to enter the detailed solution requirements. The following information is required:

**Stage 2 Mid-level Requirement Category** – Enter the Agency/state entity defined Stage 2 mid-level requirement category or categories, if applicable, (e.g., 1, 2, HR, IT, SYS, etc.) that aligns with the detailed requirement. If the detailed requirement aligns with more than one mid-level requirement, enter all applicable categories (e.g., AC, IT). This will show the linkage, or “traceability,” of the detailed requirement back to the mid-level solution requirement(s).

If Use Cases were used during the Stage 2, enter any requirements that were NOT captured within a Use Case (e.g., project-transition requirements). If entering a new requirement, enter “UC” and then enter the requirement (not previously captured in a Use Case).

**Stage 2 Mid-level Requirement Number** – Enter the Agency/state entity defined Stage 2 mid-level requirement number (or numbers) that aligns with the detailed requirement. If the detailed requirement aligns with more than one mid-level solution requirement, enter all requirement numbers (e.g., 1, 5). This information will be used to trace the detailed solution back to the mid-level requirement in Stage 2, and will also trace it to the original problem or opportunity and objective from Stage 1.

If Use Cases were used during the Stage 2, enter the use case number.

**Category Name** – Enter the main or overall identifier using an Agency/state entity defined category number/name (or other such format) for the requirement.

Agencies/state entities may organize their requirement categories using a format, such as: “A. Training and Testing Specifications” or “1. Training and Testing Specifications” or another such format. This number/name format sample is provided to show how the documented, detailed requirements may be structured to allow for an organized structure and view within a category.

Refer to the *Detail Requirements Sample* below for additional information. For additional guidance refer to the SIMM Section 170A General Requirements Guidelines and SIMM Section 170B Project Requirements Development Instructions.

**Category ID/Requirement Number** – If entering the context description enter the Agency/state entity defined category number/identifier (or other such format) to align the Category Name and the Category Process, such as: “1.1 Context” corresponds to the category identified as “1. Training and Testing Specifications.”

If entering a requirement, enter the requirement number related to the context description, such as: “1.1.1” corresponds to the category context “1.1 Add New Learning Area.”

Multiple category IDs may trace back to a requirement category name. Each separate unique identifier will tie the category process to a primary category, or category name. For example, in the *Detailed Requirements Sample* below, the category name, “1. Training and Testing Specifications,” encompasses the process of adding a new learning area, adding a new course, searching the learning area, and editing the learning area. Therefore, each of these separate processes are uniquely identified as 1.1, 2.1, 3.1, and 4.1, respectively.

Additionally, a Category Process may be made up of several sub-processes. In these situations, you may add levels to the Category Process by adding a sub-number or other sub-identifier, such as: 1.1.1, 1.2.1, 1.3.1, etc.

Refer to the *Detailed Requirements Sample* below for additional information. For additional guidance refer to the SIMM Section 170A General Requirements Guidelines and SIMM Section 170B Project Requirements Development Instructions.

**Category ID/Category Process – Context Description/Requirement** – If entering the context description, enter the description in the “Category ID/Category Process – Category Context Description/Requirement” field (e.g., 1.1 Add New Learning Area – This process allows the user to add a new Learning Area). This field ties the requirement to a particular main function/process and provides a contextual reference for the owner of the requirement. The contextual description is used to provide the framework and background surrounding the need for the requirement and how/when it is used.

If entering requirements (once the context description is added), enter the requirement(s) associated with the process/context description. For example, if the Category Name is “3. Test Development” and the first process is “3.1 Search Learning Area,” then the first requirement for the “search” process may be, “The system shall allow user to search by LA number, LA title, LA effective date(s), LO, course title or key words when user selects to search.”

Refer to the *Detailed Requirements Sample* below for additional information. For additional guidance refer to the SIMM Section 170A General Requirements Guidelines and SIMM Section 170B Project Requirements Development Instructions.

#### DETAILED REQUIREMENTS SAMPLE

Stage 2 Mid-level Requirement Category	Stage 2 Mid-level Requirement Number	Category Name	Category ID/ Requirement Number	Category ID/Category Process – Context Description/Requirement	Requirement Type	Priority	Stability	Requirement Owner	Requirement Score	Requirement Action (Use for changes only)
TR	2, 3	1. Training and Testing Specifications	1.1 Context	1.1 Add New Learning Area – This process allows the user to add a new Learning Area (LA). The LA provides the ability for the user to view, select, edit, and save LA numbers, objectives, and courses.	Functional					
TR	2, 3	1. Training and Testing Specifications	1.1.1	The system shall allow user to enter the Learning Area (LA) number, LA title, Learning Need (LN), Learning Objectives (LO) and LO numbers when the user selects add new LA.	Functional	Mandatory	High	Vendor / Contractor	80	
TR	2, 3	1. Training and Testing Specifications	1.1.2	The system shall display the Educational Objective (EO)/LO and allow user to select the applicable courses for each EO/LO when the user selects link to courses.	Functional	Mandatory	Medium	Vendor / Contractor	80	New
TR	2, 3	1. Training and Testing Specifications	1.1.3	The system shall require the user to enter the effective date and confirm that he/she wants to save the new LA when the user selects to save.	Functional	Mandatory	High	Vendor / Contractor	80	Changed

Stage 2 Mid-level Requirement Category	Stage 2 Mid-level Requirement Number	Category Name	Category ID/ Requirement Number	Category ID/Category Process – Context Description/Requirement	Requirement Type	Priority	Stability	Requirement Owner	Requirement Score	Requirement Action (Use for changes only)
TR	1, 5	1. Training and Testing Specifications	1.2 Context	1.2 Edit Learning Area – This process allows the user to select LAs for editing. When the user selects the Learning Objective (LO), the LA displays the LOs, LO numbers, and applicable courses (side-by-side). The process allows the user to save or cancel prior to navigating away from the edit process.	Functional					
TR	1, 5	1. Training and Testing Specifications	1.2.1	The system shall display the text of the Learning Need, text of the related Learning Objectives (LOs), LO numbers, and all applicable courses for each LO (side-by-side) when the user selects a LA.	Functional	Mandatory	High	Vendor / Contractor	50	
TR	1, 5	1. Training and Testing Specifications	1.2.2	The system shall inform the user of the option to save or cancel if the user selects to navigate away from the edit process.	Functional	Mandatory	High	Vendor / Contractor	50	Removed
TR	1, 5	1. Training and Testing Specifications	1.2.3	The system shall add the current date for the “Date Last Modified” when the user selects to save.	Functional	Mandatory	High	Vendor / Contractor	50	
TR	1, 5	1. Training and Testing Specifications	1.2.4	The system shall update the LA record after date is added.	Functional	Mandatory	High	Vendor / Contractor	50	

**Requirement Type** – The requirement type (i.e., functional, non-functional, project/transition, mandatory optional) will automatically populate based on the corresponding tab’s requirement type.

The requirement types are as follows:

**Functional Requirements** – Functional requirements represent the business objectives, needs, and outcomes of all stakeholders. They should be organized and presented in context and with a baseline of business process/workflow that they describe. They provide a description of what an enabling solution should provide and the specific essential details of a solution for stakeholders as a means to express and manage expectations. They describe actions and operations that the solution must be able to perform. They can describe services, reactions, and behaviors of the solution. They also describe information the solution will manage. The requirements should be expressed in business terms and should not include any technical references. The requirement should identify “what” is required to meet the business objective, not “how” the requirement will be implemented.

**Non-Functional Requirements** – Non-functional requirements provide criteria to evaluate the operation of an enabling solution and primarily represent qualities of (expectations and characteristics) and constraints on (e.g., governmental regulations) the solution. They capture conditions that do not directly relate to the behavior or functionality of the solution, but rather describe environmental conditions of an effective solution or productive qualities of the solution. Non-functional requirements also define quality of service requirements, such as those relating to required capacity, speed, security, privacy, availability, response time, throughput, usability, data conversion /migration (sources of data, types of data, amount of historical/active/inactive data, and expected condition/quality of the migrated data) and the information architecture and presentation of the user interfaces.

**Project/Transition Requirements** – Project/transition requirements describe capabilities that the solution must have in order to facilitate the transition from the current state of the enterprise to a desired future state. Mid-level project/transition requirements are differentiated from other requirement types because they are usually temporary in nature and will not be needed once the transition is complete. They typically cover process requirements imposed through the contract, such as mandating a particular design method, administrative requirements, data profiling, data quality assessment, data cleansing, data validation interfaces, skill gaps that must be addressed, and other related changes required to reach the desired future state.

**Mandatory Optional** – Mandatory Optional requirements describe functionality/solutions that the Agency/state entity has the option to execute (e.g., maintenance and operations for the second year) and when it will be executed. Bidders are required to satisfy each mandatory optional requirement if the Agency/state entity elects to execute during the contract term.

Refer to the SIMM Section 170A General Requirements Guidelines and SIMM Section 170B Project Requirements Development Instructions for additional information regarding requirements maturity. For additional examples of functional, non-functional, and project/transition requirements, refer to the SIMM Section 19B.1 Stage 2 Alternatives Analysis, Section 2.6 Mid-Level Solution Requirements.

**Priority:** When entering the context description, no entry is required. For requirements, use the dropdown to select the priority of each detailed solution requirement, as follows:

- Mandatory – “Must have” requirements that are critical to the functionality of the solution.
- Desirable – “Nice to have” features – features that are not critical to the functionality of the solution.

**Stability:** When entering the context description, no entry is required. For requirements, use the dropdown to select “High,” “Medium,” or “Low” based on the requirement’s stability.

The requirement stability (High, Medium, Low) signifies how likely the requirement will change based on business processes or needs.

- High stability – A requirement that is not likely to change in the near future. For example, a requirement related to a business process that utilizes existing, established legislation is not likely to change and is considered to have high stability.
- Medium stability – A requirement that may change, which is not considered to have either high stability or low stability.
- Low stability – A requirement that is likely to change. For example, a requirement that is related to pending or brand new legislation, which has not been fully interpreted or analyzed from a business process standpoint.

**Requirement Owner:** For requirements, specify the owner (i.e., state or vendor/contractor) responsible for implementing the requirement. A requirement owner is not required when a context description is provided.

The owner (state staff or vendor/contractor) has the responsibility to implement the requirement correctly in the system. The owner (state staff or vendor/contractor) identified may correspond with Stage 1 Business Analysis, Section 1.4 Business Sponsor and Key Stakeholders; however, if the state staff members are from an external Agency/state entity through a contract (e.g., Interagency Agreement), list them as vendor/contractor. When state staff members are on loan from an external Agency/state entity, list them as state staff.

**Requirement Score:** When entering the context description, no entry is required. For requirements, enter the score (e.g., pass/fail, specific point value, specific percent value, etc.) assigned to each requirement.

The score assigned to each individual requirement, requirement sets, or subsets identifies the evaluation score (e.g., pass/fail, specific point value, percent value) allocation. The Procurement Official(s) can assist the Agency/state entity with the scoring methodology (allocation of points, pass/fail, percentage, etc.). The scoring evaluation methodology depends on many factors unique to the recommended solution and business needs.

**Requirement Action (Use for changes only):** This column is used to identify and track any requirement changes throughout PAL. Use this dropdown to identify if the requirement is new, changed, or removed. It is important to note that if a requirement is removed, the requirement information previously entered remains for historical and tracking purposes.

### 3.7.2 Stage 3 Requirements Count

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Capturing the aggregate number of solution requirements in Stage 3 Solution Development will serve as a baseline to measure the number of requirements that were added or removed in Stage 4.

**Total Detailed Functional Requirements:** Enter the total number of Stage 3 functional requirements.

**Total Detailed Non-Functional Requirements:** Enter the total number of Stage 3 non-functional requirements.

**Total Detailed Project/Transition Requirements:** Enter the total number of Stage 3 project/transition requirements.

**Detailed Requirements Grand Total:** Enter the grand total number of Functional, Non-Functional and Project/Transition requirements.

### 3.7.3 Stage 2 Mid-Level Solution Requirement Changes

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As requirements are matured, Mid-Level Solution Requirements developed as part of the Stage 2 Alternatives Analysis may have been modified in order to address potential problems/business needs. The following questions help identify the scope of changing, adding or deleting requirements.

1. Select “Yes” if, since approval of the Stage 2 Alternatives Analysis, the Agency/state entity developed any new solution requirements that were not represented in the mid-level solution requirements. Select “No” if the Agency/state entity has not developed any new solution requirements.
2. Select “Yes” if, since approval of the Stage 2 Alternatives Analysis, the Agency/state entity modified (changed or deleted) any mid-level solution requirements. Select “No” if the Agency/state entity has not modified any mid-level solution requirements.

If “Yes” is selected for question 1 or 2 above:

- Enter the percentage of requirement change.

**Percentage of Change:** The percentage of change is calculated by dividing the number of requirements that were modified by the total number of requirements, and then multiply by 100.

$$\text{(Number of Requirements Changed (added/modified) / Total Number of Requirements) X 100 = Percentage of Change}$$

Example:  $(80/600) \times 100 = 13.3\%$

- Describe the nature and scope of the change(s), impact(s) to the recommended solution and how the requirements align with the business objectives established in the Stage 1 Business Analysis in the space provided.

Note: Additional review may be necessary if there have been changes to the mid-level solution requirements.

### 3.7.4 To-Be Business Process Workflow

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Custom or Modified-off-the-Shelf (MOTS) solutions require to-be business process workflow diagrams to be developed for all new or proposed changes to business processes related to this proposal. The business process workflow consists of mapping a series of necessary business functions that depict an abstract graphical view of real work and personnel under different situations or timeframes. The workflow should include the events that initiate each process (i.e., the trigger event) and the results of those processes. The workflow should include the following components:

- Business Process – Illustrate the active roles and the activity the role conducts during the business process. Include the parallel processes as well as sequential steps in a process that executes the successful completion of the business process.
- Business Rules – Any business policies or procedures that dictate the need for the business process.
- Trigger Events – One or more events that directly start a business process (e.g., receive a request, phone call, or a scheduled date).
- Results – One or more outcomes from the execution of a business process.
- Data – Information or a collection of information flowing through the process (e.g., business documents, e-mails, etc.); an external data input for the entire process; a data output or data results of the entire process; a data store where the process can read/write data (e.g., a database, a microfiche cabinet, a document imaging storage, etc.)

**Attachment:** Attach the to-be business process workflow diagram(s) in PDF, Visio, or another electronic format.

**If a to-be business process workflow is not attached, explain why in the space provided:** Provide a brief explanation of why the to-be business process workflow is not needed (e.g., COTS).

Use the “Insert Attachment” to add additional workflow diagrams, as needed.

### 3.8 Statement of Work (SOW)

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The SOW is a formal document that captures and defines the work activities, deliverables, contractual obligations, and timelines that a contractor must execute in performance of specified work for the state. The SOW is the most essential document in any solicitation package and/or contract. This document includes but is not limited to, traceability to the detailed solution requirements, contractor requirements, payment milestones, and standard regulatory and governance terms and conditions. The SOW is read, interpreted, and held accountable by both technical and non-technical personnel with different backgrounds. Therefore, the investment of time and effort to write a clear and high quality SOW that can be easily understood by both technical and non-technical personnel will:

- Enable the contractor to clearly understand the requirements and needs of the state;
- Allow the contractor to more accurately cost their proposal and submit higher quality technical proposals during the solicitation;
- Provide a baseline for the development of other parts of the solicitation document(s), particularly the evaluation criteria and proposal instructions;
- Minimize the need for change orders during project implementation, which minimizes risk of potential cost increases and schedule delays;
- Allow both the state and the contractor to assess performance; and
- Reduce claims and disputes under the contract.

**Note:** The information requested in Section 3.8 Statement of Work should only be completed for SOW's related to the primary solicitation. Refer to the [SCM Volume 3](#) and SIMM Section 180 STPD Statement of Work Guidelines for general direction, information and recommendations for large IT Reportable Projects.

**Attachment:** Attach the completed SOW that will be part of the final solicitation package.

If unable to attach the completed SOW due to size, email directly to the Project Oversight mailbox at: [ProjectOversight@state.ca.gov](mailto:ProjectOversight@state.ca.gov)

Use the "Insert Attachment" to add additional SOW documentation, as needed.

### 3.8.1 Completed SOW Sections

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The Agency/state entity shall identify the SOW sections that are to be included in the solicitation. The SOW sections identified shall be completed and will be evaluated to determine the Agency/state entity's readiness to move into Stage 3 Solution Development (Part B) - Solicitation Packaging and Readiness. The SOW list below is not all inclusive of the sections addressed in an SOW; however, the following sections need to be considered during the SOW development. See SIMM Section 180 STPD Statement of Work Guidelines, Table 2 for a description of each section identified in the table.

**Completed SOW Section:** Select each SOW section included in the solicitation from the dropdown menu.

1. Background and Purpose
2. Description of Proposed New System or Service
3. Term of the Contract
4. Contract Contacts
5. Solution Requirements
6. State Data Center or Contractor Hosted Facility Environment
7. State's Roles and Responsibilities
8. Contractor's Roles and Responsibilities
9. Key Staff Qualifications and Skills
10. Key Personnel Changes
11. Escalation Process
12. Change Control Procedures
13. Project (Contractor) Tasks and Deliverable Requirements
14. Deliverable Acceptance/Rejection Process
15. Data Handling and Ownership
16. Reporting
17. Security
18. Disaster Recovery
19. Delivery (Hardware and Software)
20. Hardware and Software Needs
21. Escrow Source Code
22. Compatibility and Interface
23. System Installation
24. System Implementation or Integration
25. Technology Refresh
26. System Testing and Acceptance Procedures
27. Transition of Operation to New Contractor or to State
28. Knowledge Transfer and/or Training

29. Maintenance and Operations (M&O)
30. Help Desk/Call Center
31. Insurance Requirements
32. Warranty
33. Service Level Agreements (SLAs)
34. Liquidated Damages
35. Unanticipated Tasks
36. Budget Detail and Payment Provisions
37. GSPD-401IT General Provisions – Information Technology
38. Miscellaneous
39. Glossary of Terms

Use the “Insert Completed SOW Section” to add additional SOW sections.

## SOW Component Detail

Although all of the sections listed in Section 3.8.1 are essential, based on lessons learned from past IT projects and key factors associated with the success or failure of IT projects, it was determined that certain components within an SOW section can significantly influence contractor performance and the overall health of IT projects. The SOW sections identified below require additional details (e.g., who is responsible, if it is a performance deliverable, the corresponding requirement number(s), and the methodology/approach) to ensure these areas are considered.

Below are the SOW sections that include SOW component(s) details:

SOW Section	<b>SOW Component Detail</b> (See SIMM Section 180 STPD SOW Guidelines for specific information)
<b>14. Deliverable Acceptance/Rejection Process</b>	Details related to the procurement deliverable acceptance/rejection process
<b>15. Data Handling and Ownership</b>	Data handling and ownership details
<b>17. Security</b>	Details related to security and privacy controls and plan(s)
	Details related to the National Institute of Standards and Technology (NIST) 800-53 controls
	System Security Plan (SSP) details
<b>18. Disaster Recovery</b>	Disaster recovery (including business continuity/technology recovery) details
<b>20. Hardware and Software Needs</b>	System hardware/software needed; price/quantity; physical and performance requirements; etc.
<b>23. System Installation</b>	Solution installation details
<b>24. System Implementation or Integration</b>	Solution implementation details
	Solution integration details
<b>26. System Testing and Acceptance Procedures</b>	Details related to solution/testing and acceptance procedures
<b>27. Transition of Operation to New Contractor or to State</b>	Details related to the transition of operations to new contractor or state
<b>28. Knowledge Transfer and/or Training</b>	Knowledge transfer and/or training details
<b>29. Maintenance and Operations (M&amp;O)</b>	Maintenance and operations details
<b>32. Warranty</b>	Warranty details
<b>33. Service Level Agreements (SLAs)</b>	Service Level Agreement (SLA) details

SOW Section	SOW Component Detail (See SIMM Section 180 STPD SOW Guidelines for specific information)
34. Liquidated Damages	Provision for liquidated damages; calculation method; compensation proportionate to harm; tied to a contractual requirement; and dispute process

When any of the SOW sections above are selected, identify the following:

**Responsible (Select):** Select who will have primary ownership (i.e., state, contractor, or both) to implement and execute the SOW component. The primary owner is tasked with the responsibility to ensure that the SOW component is implemented correctly for the solution.

- **State** – Agency/state entity will have primary ownership and responsibility.
- **Contractor** – Contractor/vendor will have primary ownership and responsibility.
- **Both** – Both the Agency/state entity and the contractor will jointly share ownership and responsibility.

**Performance Deliverable (Check):** Select the box if essential SOW component end product or deliverable is expected to be a performance deliverable as oppose to a document only deliverable.

Performance deliverables are tangible/measurable outputs or products that the project will produce to enable the project's objectives to be achieved. Solicitations for IT systems should include performance deliverables as opposed to document only deliverables wherever possible. The abundance of document only deliverables typically results in an excessive number of plans required for vendors/contractors to produce without requiring solution performance be demonstrated at various stages of delivery. Oftentimes document only deliverables (such as project plans) call upon execution of processes and procedures that fall outside the scope of the vendor's contract, leaving the state empty handed. It is recommended that Agencies/state entities focus vendor/contractor deliverables on the validation of solution milestone performance; if the solution does not perform as required and/or as documented in the requirements, then the deliverable should not be accepted.

**Requirement Number(s):** Using the Stage 3 Solution Requirements Template Tool, list the requirement number, or range of numbers, for each requirement that will satisfy the essential SOW component.

During requirements development, it is important (if not critical or mandatory) to keep track of changes to the original requirements. The SOW is the primary communication tool between the state and vendor/contractor. It is imperative that the essential SOW components trace back to requirements.

**Methodology/Approach (Select):** Agencies/state entities may take into consideration multiple approaches for the development of SOW sections and the activities to address the work to be performed. The methodology and approach considered during SOW development should be completed with attention to technology assumptions and knowledge of the project needs. This approach drives the development of the written sections and related activities.

Use the dropdown provided to select the methodology and/or approach used to develop the content for the essential SOW component.

- Agency/state entity model language used
- Previous solicitation language used (solicitation number required)
- Current Industry Standards model language used
- Contractor developed the approach
- Dictated by regulations, law, or government code
- Dictated by policy
- Other

If **“Other,” specify:** If the methodology/approach is “Other,” specify in the space provided.

The solicitation number is required if the SOW language was used from a previous solicitation. The Agency/state entity needs to ensure that any language used from previous projects is applicable to their specific SOW. If so, complete the following:

- **Solicitation Number (if applicable):** Enter the solicitation number. Solicitation number can be found on the executed contract (e.g., RFP).

Agencies/state entities may take into consideration multiple approaches for the development of SOW sections and the activities to address the work to be performed. The methodology and approach considered during SOW development should be completed with attention to technology assumptions and knowledge of the project needs. This approach drives the development of the written sections and related activities.

### 3.8.2 SOW Security Attributes

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There are many facets and key components that are important to consider when preparing a successful SOW. This section requests specific information regarding featured attributes that should be taken into consideration throughout the SOW development process. The Agency/state entity SOW should include well-defined and comprehensive written documentation to the vendor/contractor and comply with any applicable laws, regulations, policy, or best practices related to these areas.

#### SOW Security Attributes

1. The SOW should define and address technology related security concerns such as preventative measures, protection of sensitive information, potential threats and all applicable security and privacy requirements. The SANS Top 20 provides guidance to efficiently prioritize security control requirements and provides a common terminology. The SANS Top 20 are a subset of the National Institute of Standards and Technology (NIST) Special Publication (SP) 800-53 controls, which are required for use by Agencies/state entities. Select “Yes” if the SOW provides details on the security and privacy controls that are required based on the SANS Critical Security Controls – Top 20. Select “No” if the SOW does not provide details on the security and privacy controls that are required. Below is a mapping of the SANS Critical Security Controls to the corresponding NIST SP800-53 controls.

SANS Critical Security Control	Corresponding NIST SP800-53 Controls	SANS Critical Security Control	Corresponding NIST SP800-53 Controls
Inventory of Authorized and Unauthorized Devices	CA-7, CM-8, IA-3, SA-4, SC-17, SI-4, PM-5	Limitation and Control of Network Ports, Protocols, and Services	AC-4, CA-7, CA-9, CM-2, CM-6, CM-8, SC-20, SC-21, SC-22, SC-41, SI-4
Inventory of Authorized and Unauthorized Software	CA-7, CM-2, CM-8, CM-10, SM-11, SA-4, SC-18, SC-34, SI-4, PM-5	Controlled Use of Administrative Privileges	AC-2, AC-6, AC-17, AC-19, CA-7, IA-2, IA-4, IA-5, SI-4
Secure Configurations for Hardware and Software on Mobile Devices, Laptops, Workstations, and Servers	CM-7, CM-2, CM-3, CM-5, CM-6, CM-7, CM-8, CM-9, CM-11, MA-4, RA-5, SA-4, SC-14, SC-34, SI-2, SI-4	Boundary Defense	AC-4, AC-17, AC-20, CA-3, CA-7, CA-9, CM-2, SA-9, SC-7, SC-8, SI-4
Continuous Vulnerability Assessment and Remediation	CA-2, CA-7, RA-5, SC-34, SI-4, SI-7	Maintenance, Monitoring, and Analysis of Audit Logs	AC-23, AU-2, AU-3, AU-4, AU-5, AU-6, AU-7, AU-8, AU-9, AU-10, AU-11, AU-12, AU-13, AU-14, CA-7, IA10, SI-4
Malware Defenses	CA-7, SC-39, SC-44, SI-3, SI-4, SI-8	Controlled Access Based on the Need to Know	AC-1, AC-2, AC-3, AC-6, AC-24, CA-7, MP-3, RA-2, SC-16, SI-4
Application Software Security	SA-13, SA-15, SA-16, SA-17, SA-20, SA-2, SC-39, SI-10, SI-11, SI-15, SI-16	Account Monitoring and Control	AC-2, AC-3, AC-7, AC-11, AC-12, CA-7, IA-5, IA-10, SC-17, SC-23, SI-4
Wireless Access Control	AC-18, AC-19, CA-3, CA-7, CM-2, IA-3, SC-8, SC-17, SC-40, SI-4	Data Protection	AC-3, AC-4, AC-23, CA-7, CA-9, IR-9, MP-5, SA-18, SC-8, SC-28, SC-31, SC-41, SI-4
Data Recovery Capability	CP-9, CP-10, MP-4	Incident Response and Management	IR-1, IR-2, IR-3, IR-4, IR-5, IR-6, IR-7, IR-8, IR-10
Security Skills Assessment and Appropriate Training to Fill Gaps	AT-1, AT-2, AT-3, AT-4, SA-11, SA-16, PM-13, PM-14, PM-16	Secure Network Engineering	AC-4, CA-3, CA-9, SA-8, SC-20, SC-21, SC-22, SC-32, SC-37
Secure Configurations for Network Devices such as Firewalls, Routers, and Switches	AC-4, CA-3, CA-7, CA-9, CM-2, CM-3, CM-5, CM-6, CM-8, MA-4, SC-24, SI-4	Penetration Tests and Red Team Exercises	CA-2, CA-5, CA-6, CA-8, RA-6, SI-6, PM-6, PM-14

2. Security and privacy controls must be designed, configured, and tested to validate they are working as expected. The SOW should have sufficient security requirements documented to ensure information and systems are secure. In some instances, a single solution or configuration may not meet all security requirements and an ancillary component or components must be purchased to augment the primary solution. Any mandatory ancillary components required to meet compliance with security requirements should be included in the SOW. Select “Yes” if the SOW defines how the security and privacy controls will be procured and implemented. Select “No” if the SOW does not define how the security and privacy controls will be procured and implemented.
  
3. Each Agency/state entity is responsible for the integration of information security and privacy within the organization. This includes, but is not limited to, the design of appropriate security controls in new systems or systems undergoing substantial redesign, including both in-house and outsourced solutions. Each Agency/state entity shall ensure its ISO, and where applicable its Privacy Program Coordinator, and Technology Recovery Coordinator are actively engaged with the owners of information and project team (procurement, technical and business personnel) involved with information asset procurement, development, operations, maintenance, and disposal. See [SAM Section 5315](#) for more information on this requirement. Select “Yes” if the SOW includes provisions for the contractor to create a System Security Plan (SSP). Select “No” if the SOW does not include provisions for an SSP.

## 3.9 Proposed Procurement Planning and Development Dates

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Identification of the proposed procurement planning and development dates is essential for the development of the Agency/state entity's procurement timeline and project resource planning for the project. The activities identified in this table should represent the highest level of proposed activities that will result in the completion of the procurement phase of the project. Each proposed project is different and may require a unique set of procurement activities. Refer to SIMM Section 195 Solicitation Template and the STPD Estimated Timeline Guide for Department Procurement Planning Timeframes for additional instructions. The information requested in this section should only be completed for the primary solicitation.

**Activity:** As appropriate, select all procurement related activities that the Agency/state entity has identified. The list provided represents high level procurement activities that will be conducted in Stages 3 and 4. The Agency/state entity should consider the following list of common activities (work efforts) when selecting each phase:

### **Planning and Development Phase - Mature Mid-level Requirements:**

- Stakeholder Requirement Sessions
- Refine Functional, non-Functional, Transitional, and Vendor Qualification Requirements
- Perform Requirement Analysis (traceability, ensure, clear, concise, measurable, qualitative quantitative, non-restrictive)
- Attend Stakeholder Requirement Sessions

### **Planning and Development Phase - SOW Development:**

- Determine and development of project specific SOW components (Refer to section 3.8.1)
- Develop Deliverables and Deliverable Item Documents
- Ensure traceability between SOW, Deliverables and Solution Requirements

### **Solicitation Development Phase:**

- Conduct working/follow-up sessions with Project Teams to develop the solicitation Document (IFB/RFP)
- Develop approach/methodologies/criteria/scoring
  - Bidder proposal (narrative) requirements and criteria
  - Requirement evaluation methodology and criteria
- STPD may perform solicitation section reviews and analysis, if needed
- Ensure solicitation aligns with FSR/IAPD and contains all of the approved components in the SOW

### **Solicitation Development Phase - Solicitation Sections:**

- Introduction – including current and proposed environment
- Bidding Instructions – including key action dates
- Administrative requirements
- Bid Requirements - including bidder/Staff Qualifications, Solution requirements
- Cost Methodology and Cost Worksheets
- Proposal/Bid Format and Submission Requirements
- Evaluation - including evaluation Methodology, Scoring/Weighting, Criteria
  - All Exhibits/Attachments
  - Finalization of SOW/Deliverables
  - Ensure Traceability of SOW, Deliverables, Requirements with Cost/Payment Milestones
  - STPD Review and Approval of Pre-solicitation

### **Solicitation Development Phase - Develop Evaluation Team Procedures:**

- Select the evaluation team
- Conduct Evaluation Training (Brief the Evaluation Team on process, Evaluation Team to conduct the evaluation)
- Prepare Evaluation Summary Report

### **Solicitation Development Phase - Release Pre-Solicitation to Vendor Community:**

- STPD review and analyze vendor community comments
- If needed, hold follow-up meetings with vendors for clarification/input
- Incorporate recommended solicitation changes
- STPD final review and approval of solicitation

### **Procurement Phase:**

- Release final solicitation
- Receive bidder's Letter of Intent
- Prepare for and receive bidder's questions for Bidder's Conference
- Conduct Bidder's Conference
- Receive bidder's questions and request for changes
  - Review, analyze and address bidder's questions and request for changes
  - Post answers to bidder's questions and request for changes
- Recommends changes to solicitation via an addendum
- STPD reviews, approves, and releases addendum
- Receive bidder's protest of requirements
  - Review, analyze and respond to protest requirements via letter to bidder
  - If warranted, project team incorporates necessary changes to solicitation
  - Review, approve and release subsequent addendum
- Receive bidder's draft solicitation proposal

Note: Solicitations may include multiple preliminary solicitation proposal submissions – conceptual, detail technical, or draft proposal(s).

- STPD facilitates team evaluation of draft proposals
  - Draft evaluations include the review, analysis, and identification of all deviations from each bidder's proposal submission
- The evaluation team members will document all deviations in preparation for confidential discussions
- Conduct confidential discussions with each bidder
  - If applicable, project team incorporates necessary changes to solicitation via an addendum as a result of confidential discussions.
- STPD reviews, approves, and releases addendum
- STPD receive bidder's protest of requirements
  - Review, analyze and respond to protest requirements via letter to bidder
  - If warranted, project team incorporates necessary changes to solicitation via addendum
  - STPD to review, approve and release subsequent addendum
- Provide revised evaluation training (if needed)
- Receive final solicitation proposals
- Preparation for solicitation proposal evaluations
- Facilitates team evaluation of final proposals

- Evaluations include the review, analysis, scoring, and identification of all material deviation from each bidder’s proposal submission
- Conduct bidder demonstrations (if applicable) for each bidder
- The evaluation team members will document all material deviations to determine responsive and responsible bidders
- Prepare Evaluation Selection Summary Report, which includes the procurement process activities and the evaluation process, and summarizes the evaluation results up to cost opening.
- Open, evaluate, and score cost work sheets for those bidders determined to be responsive and responsible
- Prepare and post Intent To Award, unless determined to move into negotiations
- Protest Period – follow protest process if protest occurs (not applicable for negotiations)
- Ensure that SPR/Section 11 are approved prior to Award (if applicable)

**Negotiations:**

- Prepare negotiation plan
- Schedule and Send Negotiation Invitations
- Conduct negotiation Sessions (may be multiple rounds of negotiation sessions and preliminary submissions)
- Receive bidders’ best and final offers (BAFO)
- Evaluate BAFOs
- Determine awardee by final scores (non-cost plus cost points)
- Update and finalize Evaluation Selection Summary Report
- Prepare and post Notification of Award
- Ensure that SPR/Section 11 are approved prior to Award (if applicable)

**Post Award Activities:**

- Prepare contract for Award
- Award and Execute Contract
- Conduct Contract Debrief
- Conduct Project Kick off
- Solicitation phase close out

**Start Date:** Enter the estimated start date for the activity.

**End Date:** Enter the estimated end date for the activity.

**Number of Business Days:** Enter the estimated number of business days provided for the activity.

Use the “Insert Activity” to add additional activities.

**\*Note:** The activities identified in this section are specific to the total procurement timeline. These are not the key action dates within the solicitation.

## 3.10 Procurement Risk Assessments and Dependencies

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Early identification of procurement related risks and dependencies are important aspects of project planning. The following questions will help Agencies/state entities identify and monitor risks in order to prepare mitigation strategies and avoid potential issues to the procurement process. The information requested in this section should only be completed for the primary solicitation.

1. In order to effectively plan the solicitation and increase the chances of achieving optimal contracting and award outcomes, it is important to identify procurement-related external dependencies (e.g., availability and competency of suppliers, stakeholder/customer legal constraints, ancillary contracts, other state or federal legislation) and any potential negative impacts to the procurement effort. Select “Yes” if the Agency/state entity has identified procurement-related external dependencies. Select “No” if there are no procurement-related external dependencies identified. If “Yes,” describe the dependencies and the potential negative impact to the procurement process in the space provided.
2. Public Contract Code (PCC) 12112 requires Agencies/state entities to evaluate risks and the need for financial protection as part of the procurement of IT goods and services. Risk guidelines and financial protection measures (applied to all applicable solicitations) are intended to protect the best interest of the state. For additional information, refer [SCM Volume 3, Ch. 4, Sec. 4.B2.13 Risk Guidelines](#) and [Ch. 9, Sec. 9.A3 Progress Payments](#). Select “Yes” if the Agency/state entity has completed the Risk Criteria Guidelines (SCM Vol. 3, Ch. 4, Sec. 4.B2.13) and, if applicable, incorporated financial risk protection measures for the primary solicitation. Select “No” if the solicitation does not require completion of the Risk Criteria Guidelines or implementation of financial protection measures for the primary solicitation (e.g. under \$1 Million, internal staff redirection, etc.).
3. Agencies/state entities should consider ownership of the source code that is developed for a state/federal/locally owned solution. Ownership of source code will impact future maintenance and software upgrades of the solution. Refer to SIMM Section 180 STPD Statement of Work Guidelines for additional information. Select “Yes” if the Agency/state entity has provided language in the contract (in addition to state standard terms and conditions) that ensures ownership of any source code developed for this solution. Select “No” if the Agency/state entity has not provided language in the contract that ensures ownership of any source code developed for this solution and does not intend to maintain ownership of any source code developed for this solution. If “Yes,” describe how ownership will be obtained (e.g., contractor will provide a copy of all source code, place source code in escrow for future use), maintained, and upgraded in the space provided.
4. All tax funded Agencies/state entities are permitted to enter into either installment purchase agreements (commonly referred to as “lease purchases”) or financed leases (e.g., Golden State Financial Marketplace Program--“GS \$Mart®” or “Lease \$Mart®”). For additional information, refer to SAM Sections 3400 and 3700; DGS State Financial Marketplace; and, State Contracting Manual, Chapter 9, Disbursements, Financing and Payment Programs.

Note: Use of any financing arrangement other than GS \$Mart is prohibited without prior approval from Department of Finance per Budget Letter 06-27.

Select "Yes" if the Agency/state entity will finance or lease assets (as provided in GC Section 14934) through an installment purchase agreement or financed lease and has received approval. Select "No" if the Agency/state entity does not intend to finance or lease any assets. Select “N/A” if no procurement is needed for this project.

Attachment: If “Yes,” attach the approved State Financial Marketplace Compliance Certification form and agreement.

## 3.11 Procurement Administrative Compliance Checklist

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Compliance with procurement policy and procedures is necessary to promote sound business practices in securing necessary IT goods and services for the state. When purchasing IT equipment, Agencies/state entities and oversight authorities must follow all applicable federal, state, and local government statutes, regulations, policies, and procedures, as applicable. **Note:** *Although DGS has statutory authority (PCC section 12101(c)) to grant purchasing authority to those departments demonstrating the capability to make purchases that adhere to state statutes, regulations, policies, and procedures, DGS and Department of Technology, STPD, ultimately have statutory responsibility (PCC sections 12100 et seq.) for procurement of all IT goods and services.* If “No” is selected for any of the questions below, Department of Technology (based on the unique characteristics of the project) may not support the continuation of Stage 3 development. The information requested in this section should only be completed for the primary solicitation. Questions may not be all-inclusive.

1. The evaluation criteria governing contract award is based on value-effective factors that include cost. These factors are weighted; generally the solution requirements equal 50 percent (50%) and cost equals 50 percent (50%). Contract award is made to the responsive/responsible bidder who scores the highest points in accordance with the evaluation methodology as described in the solicitation document. Factors weighted other than “50/50” must be approved by either DGS Procurement Division (DGS/PD) or STPD before the solicitation is released. Refer to [SCM Vol. 3, Ch. 4, Sec. 4.B5.7](#) for additional information. Select “Yes” if the Agency/state entity obtained approval from DGS/PD or STPD to use an alternative evaluation model other than a 50/50 cost split and attach a copy of the approval document in the space provided. Select “No” if the Agency/state entity anticipates using an alternative evaluation model but has not received approval from DGS/PD or STPD to use an alternative evaluation model other than a 50/50 cost split. If “Yes” or “No” was selected, provide a brief description of the evaluation criteria proposed. Select “N/A” if the Agency/state entity anticipates using the standard evaluation model or the procurement method does not allow for an alternative evaluation model.
2. The general premise for confidentiality is that during the development and management of the procurement, all information must remain confidential and secure. The contents of all bids, proposals, draft bids, correspondence, agenda, memoranda, working papers, or any other medium which discloses any aspect of a vendor’s proposal or bid shall be held in the strictest confidence until the notice of intent to award is issued. Total confidentiality during the procurement process is vital to preserve the integrity of the process. Any disclosure of confidential information by project team members during the procurement process is a basis for disciplinary action, including dismissal from state employment, as provided by Government Code (GC) Section 19570 et seq. Solicitations can involve team members internal and/or external to the department during the solicitation development, evaluation, and selection process, as well as other team members on a “need to know” basis. All of these personnel must sign confidentiality statements. The signed statements must be retained within the procurement file. Refer to [SCM Vol. 3, Ch. 4, Sec. 4.A1.4](#) for additional information. Select “Yes” if the Agency/state entity has received signed confidentiality statements from all project participants (internal and external). Select “No” if the Agency/state entity has not received signed confidentiality statements from all project participants.

3. Agency/state entities must ensure all staff involved in the procurement process are free from conflict of interest and maintain signed Conflict of Interest (COI) statements for every staff person involved in the procurement process including those making decisions such as board members, managers that will approve solicitation/contract documents. A state officer or employee shall not engage in any employment, activity, or enterprise which is clearly inconsistent, incompatible, in conflict with, or inimical to his or her duties as a state officer or employee. The signed statements must be retained within the procurement file. Refer to [SCM Vol. 3, Ch. 4, Sec. 4.A1.4](#) for additional information. Select “Yes” if the Agency/state entity has received signed conflict of interest statements from all project participants (internal and external). Select “No” if the Agency/state entity has not received signed conflict of interest statements from all project participants.
4. Pursuant to the Small Business Procurement and Contract Act (Government Code [GC] sections 14835 through 14843) and Military and Veterans Code (M&VC) section 999 et seq., procurement opportunities must be offered to California (CA) certified small businesses (SB), micro businesses (MB), and Disabled Veteran Business Enterprise (DVBE) whenever possible. Agencies/state entities should make every effort to seek out and include certified SB and DVBE when conducting any procurement. Agency/state entity is reminded to develop DVBE language to include in their solicitations that complies with the DVBE participation program. Refer to [SCM Vol. 3, Ch. 3, Sec. 3.3.0, 3.3.1 and 3.6.0](#) for additional information. The DVBE program requirements may be exempted from a solicitation by using the DVBE Waiver form (GSPD-07-04) and obtaining the approval of an Agency/state entity director or designee; however, the most recent DVBE annual goal still applies. The completed waiver form should be retained within the solicitation procurement file if the transaction is conducted under the Agency/state entity’s delegated purchasing authority. When exemption to DVBE participation program requirements occurs, the solicitation should state that the DVBE program requirements are waived. Whenever the DVBE participation requirement is not included in a solicitation, the procurement official must provide documentation within the procurement file to support the Agency/state entity director or designee has authorized the exemption.

Select “Yes” if the Agency/state entity has obtained exemption from DVBE program participation requirements and/or the DVBE participation incentive through an approved DVBE Waiver and attach the waiver in the space provided. Select “No” if the Agency/state entity anticipates seeking (but has not yet obtained) exemption from DVBE program participation requirements and/or DVBE participation incentive and provide an explanation in the space provided. Select “N/A” if the Agency/state entity is not seeking an exemption from DVBE participation requirements and/or DVBE participation incentive.

5. California Government Code section 11135 directs that: “state government entities, in developing, procuring, maintaining, or using electronic or IT, either indirectly or through the use of state funds by other entities, shall comply with the accessibility requirements of Section 508 of the Rehabilitation Act of 1973, as amended (29 U.S.C. Sec. 794d), and regulations implementing that act as set forth in Part 1194 of Title 36 of the Code of Federal Regulations.” Per SAM Section 4833, it is the policy of the State of California that information and services within California state government and provided via electronic and information technology (IT) be accessible to people with disabilities. Select “Yes” if the Agency/state entity’s solicitation requirements that will ensure compliance with the Information Technology Accessibility Policy (SAM Section 4833). Select “No” if the Agency/state entity’s solicitation does not include solution requirements that will ensure compliance with the Information Technology Accessibility Policy (SAM Section 4833).

6. A SIMM Section 71B Certification of Compliance with IT Policies form must be completed and signed by the Agency/state entity Chief Information Officer or designee for all IT procurements valued at \$5,000 or more. The signed certification must be retained within the procurement file. Refer to SIMM Section 71 Certification of Compliance with IT Policies; SAM Sections [4819.2](#), [4819.41](#), [5300](#); and, [SCM Vol. 3, Ch. 2, Sec. 2.C6.0](#) and [Ch. 8, Sec. 8.7.8](#) for additional information. If the procurement is being conducted by DGS/PD or STPD, a certification must be part of the solicitation package. Select “Yes” if the Agency/state entity completed and received approval of the SIMM Section 71B Certification of Compliance with IT Policies. If “Yes,” attach a copy of the approved certification in the space provided. Select “No” if the Agency/state entity has not received approval of the SIMM Section 71B Certification of Compliance with IT Policies. Select “N/A” if the certification is not required as the procurement is valued at less than \$5,000. Note: Agencies/state entities must retain documentation and/or written justification as to how the acquisition was authorized within the procurement file.
7. Contracting for personal services, in lieu of using civil service personnel is permitted only if the standards outlined in GC section 19130 (a) or (b) are met. Careful analysis must be given when determining whether to use contracted personnel versus civil service positions within state government. Any Agency/state entity proposing to contract for personal services must provide justification for not using civil service personnel and notify the State Personnel Board (SPB) of its intention. Refer to [SCM Vol. 3, Ch. 2, Sec. 2.B4.3](#) for additional information. Contracts awarded on the basis of GC section 19130 (b) are subject to review at the request of an employee organization representing state employees. Select “Yes” if the Agency/state entity completed and received approval of a personal services contracts justification. Select “No” if the Agency/state entity anticipates seeking (but has not yet obtained) approval of the personal services contracts justification. Select “N/A” if the Agency/state entity does not anticipate contracting for personal services, in lieu of using civil service personnel. If “Yes,” attach the approved personal services contracts justification in the space provided.
8. The successful implementation and operation of IT solutions is dependent upon the reliability of IT equipment and/or software. Failure to procure viable and adequate IT products may result in loss of revenue, unnecessary expenditure of funds, idling of state solution implementation or interruption of services. The Productive Use Requirements (PUR) is intended to: (1) minimize risk of failure of a procured IT product; and (2) protect the state from procuring equipment or software that has no record of proven performance. PUR pertains to all procurements for IT goods. Refer to [SCM Vol. 3 2.B6.2](#) for additional information. Select “Yes” if the Agency/state entity’s solicitation ensures compliance with PUR. Select “No” if the Agency/state entity’s solicitation does not comply with PUR. Select “N/A” if the Agency/state entity does not anticipate the need for PUR.

## 3.12 Solicitation Readiness

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As the Agency/state entity develops detailed solution requirements and SOW components, early consideration should be given to the components within the solicitation package that will be required in Stage 3 Solution Development (Part B). The following questions are intended to identify key areas that should be considered at this time and gauge the Agency/state entity’s progress towards completing the SIMM Section 195 Solicitation Template. If “No” is selected for any of the questions below, Department of Technology (based on the unique characteristics of the project) may not support further Stage 3 development. The following areas (e.g., Bidder’s Library, evaluation criteria, cost worksheets) must be completed prior to solicitation release. The information requested in this section should only be completed for the primary solicitation.

1. The Bidder's Library documents help potential bidders to better understand the background, organization, current systems, and processes noted in the solicitation. Select "Yes" if the Agency/state entity has started development of a Bidder's Library. Select "No" if the Agency/state entity intends to create a Bidder's Library but has not begun development. Select "N/A" if the Agency/state entity does not anticipate creating a Bidder's Library for the primary solicitation. Some essential items to be included in the Bidder's Library are:
  - System architecture designs
  - Current or proposed system drawings
  - Any maps or facility layouts
  - As-is and to-be business process workflows
2. An evaluation methodology is the prescribed criteria (e.g., scoring, points, etc.) that will be included in all solicitations and used to determine the basis for contractor selection and award. There are various methodologies that may be used to establish evaluation criteria. Use the dropdown list provided to choose the evaluation methodology that was selected for the primary solicitation. Provide a brief explanation of the rationale behind the selection of this methodology in the space provided. Refer to [PCC 12102.2\(a\)](#) for additional information.
  - **Value Effective** – Solicitations valued at over \$100,000 should be evaluated based on a value-effective methodology where factors other than cost are of considerable value to the Agency/state entity.
  - **Lowest Cost** – Solicitations that are straight-forward (requirements are known, detailed, and clear) can be based on lowest net cost (as long as the bidder's response continues to meet all other bid specifications/requirements).
3. Agency/state entities are advised to begin development of the evaluation and selection criteria early in the solicitation process to ensure the selected bidder can best meet the solution requirements and achieve the project's business objectives. Select "Yes" if the Agency/state entity has started development of the evaluation and selection criteria for the primary solicitation. Select "No" if development of the evaluation methodology for the primary solicitation has not been started.
4. Cost worksheets provide very concise and detailed instructions to the vendor regarding the method in which the cost worksheets, cost elements, etc., should be populated in the solicitation response. The cost worksheets within the solicitation identify any forms or templates that are mandatory for the vendor to complete and submit with their response. All cost elements in the solicitation must be explained for evaluation purposes. Select "Yes" if the Agency/state entity has started the development of the cost worksheets for the primary solicitation. Select "No" if development of the cost worksheets for the primary solicitation has not been started.
5. As part of the evaluation criteria, the state requires that the solicitation contain bidder/key staff qualifications. The purpose of the qualification requirements is to provide the state with the ability to specify the experience and competencies necessary to ensure the most qualified bidder is selected. Each solicitation and its requirements are unique; therefore, the qualifications (skills, experience, competencies, etc.) required should relate directly to the project goals and tie to the roles and responsibilities described in the contract's SOW.

For example:

*If the project requires integration with several counties, then a qualification for the bidder should include experience integrating with multiple counties of a “similar” size and “scope;” or,*

*If the project requires data base training, then the key staff classification, as identified by the Agency/state entity, should include a minimum of five (5) years of experience conducting data base training.*

Refer to SIMM Section 195 Solicitation Template for additional information. Select “Yes” if the Agency/state entity has started development of bidder and key staff qualifications for the solicitation. Select “No” if the Agency/state entity has not started development. Select “N/A” if the Agency/state entity does not anticipate including bidder or key staff qualifications in the solicitation.

If “N/A,” briefly explain in the space provided why the bidder and key staff qualifications will not be included in the evaluation for the solicitation (e.g., no personal services required in the solicitation).

6. As part of the evaluation criteria, the state requires that the solicitation contain bidder/key staff references. The purpose of the references document is to provide the state with the ability to validate the claims made in the bidder’s response to bidder/key staff qualifications. The references should be developed to align with the bidder/key staff qualifications. Refer to SIMM Section 195 Solicitation Template for additional information. Select “Yes” if the Agency/state entity has started development of bidder and key staff references for the solicitation. Select “No” if the Agency/state entity has not started development. Select “N/A” if the Agency/state entity does not anticipate including bidder or key staff references in the solicitation.

If “N/A,” briefly explain in the space provided why the bidder and key staff references will not be included in the evaluation for the solicitation (e.g., no personal services required in the solicitation).

**Note:** Additionally, the Key Performance Indicator (KPI) (based on STPD Contractor Performance Evaluation Reports) may be a consideration in the evaluation methodology. The KPIs allow Agencies/state entities to evaluate past vendor/contractor performance within state government.

## **Gate 3 Solution Development (Part A) - Evaluation Scorecard**

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The Gate 3 Solution Development (Part A) Evaluation Scorecard is the methodology the Department of Technology will use to communicate feedback and final disposition on the Stage 3 Solution Development (Part A) to the Agencies/state entities. The Evaluation Scorecard will be available to Agencies/state entities to view and to use as a tool for reviewing the quality of their own submissions internally prior to submission.

The Gate 3 Solution Development Evaluation Scorecard is located under SIMM Section 19C.7.

## Stage 3 Solution Development (Part B)

### 3.13 General Information

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For the Stage 3 Solution Development (Part B), complete the following information:

**Agency or State Entity Name:** Select the Agency/state entity name that prepared and is responsible for the Stage 3 Solution Development. Designate one Agency/state entity as owner if multiple Agencies or state entities have a role in the proposal.

**Organization Code:** Organization Code populates automatically once the Agency/state entity name is selected.

**Proposal Name:** Enter the proposal name as determined by the Agency/state entity in the approved Stage 1 Business Analysis.

**Department of Technology Project Number:** Enter the project number assigned by the Department of Technology during the Stage 1 Business Analysis.

### 3.14 Part B Submittal Information

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**Note:** Prior to submitting the Stage 3 Solution Development (Part B), the Agency/state entity must complete and obtain approval of the Stage 3 Solution Development (Part A).

**Contact Information:**

**Contact First Name:** Enter the first name for Agency/state entity person who will be the primary point-of-contact for control agency questions and comments.

**Contact Last Name:** Enter the last name for Agency/state entity person who will be the primary point-of-contact for control agency questions and comments.

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

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

**Part B Submission Date:** Select the date the Stage 3 Solution Development (Part B) is being submitted to the Department of Technology for review.

**Part B Submission Type:** Select one of the following types of submission.

**New Submission:** Initial submission to the Department of Technology.

**Updated Submission (Pre-Approval):** Updated submission based on review and feedback from the Department of Technology, critical partners or other stakeholders prior to formal approval.

**Updated Submission (Post Approval):** If Stage 3 Solution Development has been previously approved by the Department of Technology and new information or updates are required, the submittal should be updated based on new information. For instance, as a proposal progresses through each stage of the PAL, further analysis is conducted, uncertainties are cleared, and information used for decision-making improves, in this case an update to the Stage 3 Solution Development may be required.

**Withdraw Submission:** An Agency/state entity may decide to withdraw the Stage 3 Solution Development for various reasons (e.g., change in direction, feasibility, budgetary issues, etc.). If an Agency/state entity wishes to withdraw a previously submitted or approved proposal from further consideration, check this field and submit the Stage 3 Solution Development to the Department of Technology.

If “Withdraw Submission” is selected, select the reason for the withdrawal from the dropdown menu. If “Other,” specify the reason in the space provided.

Contact your Department of Technology ITPOD Oversight Manager and Agency Information Officer (if applicable) to inform them of your intention to withdraw the proposal. The Department of Technology will send a written confirmation of withdrawal and communicate to all associated stakeholders. Once a proposal is withdrawn, the Agency/state entity will be required to submit a new Stage 3 Solution Development to continue with a proposal for the same or a similar request.

**Part B Sections Updated:** If either Submission Type “Updated Submission (Pre-Approval)” or “Updated Submission (Post Approval)” is selected, then indicate the sections where updates have been made.

**Part B Summary of Changes:** Provide a concise summary of changes made.

**Note:** *Highlight or otherwise indicate new or changed text within the modified section.*

**Part B Project Approval Executive Transmittal:** Scan and attach the signed Project Approval Executive Transmittal for Stage 3 Solution Development; use the transmittal form located in SIMM Section 19G.

## **Condition(s) from Previous Stage(s)**

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In order to provide status and information on the previous stages approval conditions, the Agency/state entity will use the previous Gate Scorecards and address each approval condition(s) by providing a concise narrative on their plan to address the condition(s). The Agency/state entity response may include a variety of strategies to address the condition(s) (e.g., condition(s) to be addressed in Stage 2 Alternatives Analysis, condition(s) to leverage other department services is being pursued through an Interagency Agreement, condition(s) to mitigate the lack of experienced project management staff is being addressed by leveraging Department of Technology’s California Project Management Office to assist with the project).

Use the Gate Scorecards from the previous Stages to obtain any approval condition(s).

**Condition #:** Enter the assigned condition number(s) (e.g., 1.1, 1.2, 1.3, 2.1, 3.1, and 3.2).

**Condition Category:** Select the condition category from the dropdown menu. If the condition category is “Other,” specify in the space provided.

**Condition Sub-Category:** Select the condition sub-category from the previous stage from the dropdown menu. If the condition sub-category is “Other,” specify in the space provided.

**Condition:** Enter the condition from the previous stage.

**Assessment:** Select the assessment from the dropdown menu. If the assessment is “Other,” specify in the space provided.

**Agency/state Entity Response:** Provide a narrative of the Agency/state entity’s response to the condition.

**Status:** Select the condition status from the dropdown menu. If the status is “Other,” specify in the space provided.

**Department of General Services (DGS) Delegated Purchasing Authority:** Identify if the solicitation is “Over” or “Under” the Agency/state entity’s DGS Delegated Purchasing Authority. If there is no procurement, select “No Procurement.”

### 3.15 Solicitation Package and Evaluation Readiness

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The Agency/state entity solicitation package and evaluation readiness is imperative to a successful procurement outcome. Readiness assessment of the solicitation package and its evaluation methodology will provide the Agency/state entity and key stakeholders the ability to reduce the likelihood of inaccuracy or mistakes. Having accurate and viable information will allow the Agency/state entity to maintain efficiency, scope control, and retain a high degree of quality documentation. If “No” is selected for any of the questions below, Department of Technology (based on the unique characteristics of the project) may require additional information to support the finalization of Stage 3. The information requested in this section should only be completed for the primary solicitation.

1. The SIMM Section 195 Solicitation Template contains information that represents model solicitation format for procuring IT equipment, software and services, as applicable, for reportable IT projects. All sections in the solicitation template must be complete and acknowledged that the Agency/state entity has conducted a quality review of the sections. Check all sections of the STPD template completed and reviewed.

The solicitation template is comprised of two parts:

- Part 1 of the solicitation template contains the bidder and bidding instructions, proposal form instructions, solution requirement instructions, and all other instructional/compliance information that the bidder must meet in order to be considered responsive and responsible to the solicitation, including but not limited to:
  1. Introduction
  2. Bidding Instructions
  3. Administrative Requirements
  4. Bid Requirements
  5. Cost
  6. Proposal/Bid Format and Submission Requirements
  7. Evaluation
  8. Informational Attachments
- Part 2 of the solicitation template contains all forms the bidders must complete and return with their proposals (which includes the STD 213, SOW, administrative forms, qualification forms, requirement responses and all Exhibits/Attachments discussed in Part 1, as follows:

- Appendix A, Statement of Work
- STD 213, Standard Agreement
- Bidder Qualifications Forms
- Bidder Reference Forms
- Staff Qualifications Forms
- Staff Reference Forms
- Cost Worksheets
- Bidder's Library
- Functional/Non-functional Requirements

2. The scoring and point distribution should be awarded in a manner that preserves the integrity of the procurement process. The distribution and allocation of maximum points possible for each proposal element is critical for evaluation. In the table provided, describe the breakdown of the total evaluation scores (point/score) and how the points will be allotted among the evaluated areas. Refer to SIMM Section 195 Solicitation Template for additional information.

**Evaluation Area:** List the designated solicitation area that will be evaluated and scored.

**Maximum Possible Score:** Identify the maximum points available for each evaluation area

**Total Points Possible:** Enter total points possible.

**For example:**

Scoring and Point Distribution	
Evaluation Area	Maximum Possible Score
Bidder Qualification Forms	{Pass/Fail}
Bidder Reference Forms	{100}
Staff Qualification Forms	{Pass/Fail}
Staff Qualification Forms - Desirables	{50}
Staff Reference Forms	{50}
Exhibit 20 - Functional and Non-Functional	{500}
Exhibit 21 - Deliverables Table	{Pass/Fail}
Exhibit 22 – Narrative Response Requirements	{300}
Cost	{1,000}
Total Points Possible	{2,000}

Use the “Insert Evaluation Area” to add additional evaluation areas.

3. A Bidder's Library, as described in the Stage 3 Solution Development (Part A), is a collection of documents to assist potential bidders to better understand the background, organization and current systems and processes noted in the solicitation. Select "Yes" if the Agency/state entity has completed development of a Bidder's Library and is ready for vendor access. Select "No" if the Agency/state entity has not begun any development of a Bidder's Library or does not intend to establish a Bidder's Library.
4. Confidential documentation or other forms of information contained in the Bidder's Library requires secure access control that adheres to the Office of Information Security and Legal standards. Select "Yes" if the Agency/state entity anticipates any confidential information to be posted in the bidder's library. Select "No" if the Agency/state entity does not anticipate any confidential information to be posted to the bidder's library.
5. An evaluation methodology is the prescribed criteria (e.g., scoring, points, etc.) that will be applied to all solicitations and used to determine the basis for bidder selection and award. The evaluation methodology provides for accurate evaluation of a bidder proposal, represents key areas of importance, and supports meaningful discrimination and comparison between competing proposals. Refer to SIMM Section 195 Solicitation Template, A.2 Part 1 – Bidder Instructions/Part 2 – Bidder Response, Section 7 for additional information. The Agency/state entity should test and validate (through a dry run or mock scenario) the evaluation criteria, points, and/or approach. Testing and validation is imperative to ensure that the criteria is logical, mathematically correct, and does not contain errors (i.e. points don't add up, conflict of criteria). Select "Yes" if the Agency/state entity has tested and validated the evaluation methodology, points, and/or approach. Select "No" if the Agency/state entity has not tested and validated the evaluation methodology, points, and/or approach.
6. As part of the evaluation criteria the state typically requires that the solicitation contain bidder and key staff qualifications. To enable the Agency/state entity to validate the claims made by the bidder or key staff in the bid response, references must be provided in conjunction with the qualifications. Select "Yes" if the Agency/state entity has completed the bidder and key staff qualifications and the bidder and key staff reference(s) for the solicitation. If "Yes" is selected, choose the approach that will be used to validate the reference(s):
  - Written (e.g., email)
  - Verbal (e.g., telephone with pre-defined script)

Select "No" if the Agency/state has not completed the bidder and key staff qualifications and the bidder and key staff references for the solicitation. Select "N/A" if bidder or key staff qualifications and/or references are not required for the solicitation.

7. Oftentimes solicitation evaluation methodologies are developed without adequate representation or input from key stakeholders. This gap in representation can result in an evaluation methodology that does not accurately align with solution requirements. The Agencies/state entities must ensure all key stakeholders are involved in evaluation methodology development or at the very least knowledgeable and committed to its content. The involvement of key stakeholders will ensure that the evaluation criterion (scoring/points) represents the key areas of importance and fully aligns with solution requirements. Select "Yes" if all key stakeholders (executive sponsors, business and IT project team, and procurement team) are knowledgeable and committed to the evaluation methodology for the solicitation. Select "No" if all key stakeholders are not knowledgeable and committed to the evaluation methodology for the solicitation.

8. Agencies/state entities may request the bidder to demonstrate solution requirements in order to verify the bidder’s response to the requirements, and confirm that the equipment, software, and services being proposed can actually perform to the State’s requirements. The demonstration must be performed in accordance with the solution requirements. The Agency/state entity must provide advance notification reserving the right to hold demonstrations and provide a complete plan (i.e. Demo script, pre-defined set of questions, pass/fail criteria and scoring criteria) to the bidder for the performance of all applicable segments (see sample script below). The Agency/state entity must establish the evaluation criteria for how the demonstration will be passed or failed as part of the evaluation for selection. The evaluation criteria must be included as part of the evaluation methodology in the solicitation. Refer to SIMM Section 195 Solicitation Template, A.2 Part1 – Bidder Instructions/Part 2 – Bidder Response, Section 7.4.7 for additional information. Select “Yes,” if the Agency/state entity will require the bidder to demonstrate any solution requirements. Select “No,” if the Agency/state entity will not require the bidder to demonstrate any solution requirements.

If “Yes,” attach the demonstration script in the space provided.

SAMPLE DEMONSTRATION SCRIPT

Requirement Number	Requirement Demonstration	Passed Demo
VI. 12	Wait time between screens must be two seconds or less.	Yes <input type="checkbox"/> No <input type="checkbox"/>
VI. 27	Enter common data once and have it continue to populate selected fields while user moves backward and forward between screens.	Yes <input type="checkbox"/> No <input type="checkbox"/>
VI. 28	Provide fast path or hot key capability/key stroke reduction features.	Yes <input type="checkbox"/> No <input type="checkbox"/>

9. The STPD Pre-Solicitation process will informally release the draft solicitation package to the vendor community prior to formal release. This process can be considered a “dry run” and provides the vendor community with an opportunity to review the draft solicitation and provide meaningful input prior to formal release. The information gathered from this process will assist an Agency/state entity strengthen the solicitation (e.g. solution requirements, cost worksheets, evaluation methodology, terms, SOW) and validate requirements, measure risk, and gauge the health of the solicitation. Select “Yes” if changes have been made to the solicitation package (e.g. solution requirements, cost worksheets, evaluation methodology, terms, SOW) as a result of the STPD Pre-Solicitation Process. If “Yes” was selected, identify the areas that have been modified and provide a brief description of the changes in the space provided. Select “No” if the Agency/state entity did not make any changes to the solicitation package as a result of the STPD Pre-Solicitation process.

## 3.16 Public Contract Code (PCC) 6611 Readiness

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Public Contract Code Section 6611 (PCC 6611) sections (a) and (b) reserves the right for the State of California to negotiate with all bidders if it is in the best interest of the state. PCC 6611 sections (a) and (b) set forth the conditions under which DGS may use negotiations for new and existing contracts and/or procurements. PCC 6611(e) also allows Department of Technology to use the negotiation procedures and guidelines developed by DGS for procuring IT and telecommunications goods and services on behalf of Agency/state entity. In order to implement negotiations pursuant to PCC 6611, Agencies\state entities must submit a written request to DGS or Department of Technology and receive approval prior to instituting PCC 6611. Additionally, based on the complexity of the negotiation process, the early identification of the purpose, objectives (most desirable outcomes) and the initial development of the negotiation plan is necessary to achieve a successful outcome that is in the best interests of the state. Refer to [SCM Vol. 3 Ch. 2, Topic 5](#) for additional information.

1. Select "Yes" if the Agency/state entity has received approval from DGS or the Department of Technology to utilize PCC 6611 at the onset of the solicitation. If "Yes" was selected, attach a preliminary draft of the negotiation plan and approved form ([GSPD 13-003](#)) in the space provided. Refer to DGS [Negotiation Process Guide](#) for additional instructions regarding negotiation plans under PCC 6611. Select "No" if the Agency/state entity anticipates negotiations at the onset of the solicitation but has not received approval from DGS or The Department of Technology. Select "N/A" if the Agency/state entity does not anticipate negotiations at the onset of the solicitation. The information requested in this section should only be completed for the primary solicitation.

## 3.17 Protest Processes

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Participating bidders have the statutory right to protest the intended award of a contract procured under Public Contract Code (PCC) 12100. Agencies/state entities are required to provide language in the solicitation that explains the protest process and how a protest will be heard and decided.

The STPD has statutory authority to conduct procurements using the Alternative Protest Process (APP) and will follow the DGS APP process. The STPD uses the APP in all IT reportable procurements. The Traditional Protest Process is used for the majority of smaller solicitations conducted under the Agency/state entity's purchasing authority, however, Agencies/state entities may request approval from DGS to use the APP. Refer to [SCM Vol. 3, Ch. 7](#) for additional information. The information requested in this section should only be completed for the primary solicitation.

1. Select the protest process that will be utilized for the primary solicitation. An Agency/state entity's solicitation should identify the specific language, policies, rules, and protest process that is applicable to the type of solicitation selected.
  - **Alternative Protest Process (APP)** - Award protests filed against solicitations that have been approved to use the Alternative Protest Process (PCC 12125 et. seq.) will be heard and resolved by the DGS, Office of Administrative Hearings. If APP is selected, attach approval letter in the space provided.
  - **Traditional Protest Process** – Award protests filed against solicitations leveraging the tradition protest process will be heard and decided by the California Victim Compensation and Government Claims Board (PCC 12102.2 (g)).
  - **Not Applicable** – If the protest process is not applicable for the Agency/state entity's solicitation, the Agency/state entity must include a brief explanation of why it is not applicable.

## 3.18 Project Management Planning

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Stage 3 Solution Development documentation should closely align with project management planning deliverables. Project management plans developed during this stage typically relate to solution requirements, timelines, and staffing strategies. Refer to the [SIMM Section 17 California Project Management Framework \(CA-PMF\)](#) for templates and additional information. Indicate the status of the following project management plans or project artifacts. Select “Yes” if the plan/artifact is complete, approved by the designated Agency/state entity authority, and available for Department of Technology review. Select “No” if the plan/artifact is under development, pending review/approval or not yet started and provide the status in the space provided. Select “N/A” if the plan/artifact is not needed for the proposed project and provide an explanation in the space provided.

**Project Management Plans or Project Artifacts:** Select the project management plan/artifact status (i.e., “Yes,” “No” or “N/A”) for each of the following:

- Project Management Plan
- Change Control Management Plan
- Configuration Management Plan
- Data Management Plan
- Maintenance & Operations (M&O) Transition Management Plan
- Procurement Management Plan
- Quality Management Plan
- Testing Master Plan
- Security Management Plan
- Business Continuity Management Plan (including Technology Recovery Plan)
- Risk Management Plan

## 3.19 Staffing Allocation

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Further elaboration of the staffing strategy is important to ensure successful project and procurement execution. The Staffing Allocation table provides an abridged version of the project’s overall staffing plan and captures “how” the project will be resourced from a role based perspective. Recognizing the roles that are needed throughout the project and identifying the quantity of staff, classification, level of participation, and tenure/time base will allow the Agency/state entity to perform effective workload planning. The information included in this section should align with the staff information from the Stage 2 Alternative Analysis Procurement and Staffing Strategy (Section 2.11.3) and staff resources identified in the Financial Analysis Worksheets (FAWs). The project team roles identified should align with recommendations provided in SIMM Section 17 CA-PMF.

**Project Team Role** – Identify the project roles assigned to each member of the project team:

- Project Manager
- Business Analyst
- Database Administrator
- Data Architect
- Enterprise Architect
- Application Developer
- SME
- Contract Manager
- Tester
- Procurement Official
- Information Security Officer
- Other

If “Other,” **specify:** If the project team role is “Other,” specify in the space provided.

**Quantity (Qty)** – Enter the total number of staff assigned to each project team role.

**Level of Participation** – Enter the percentage of time each staff member will be dedicated for the duration of the project.

**Classification (State Resources Only)** – Select the classification of each staff assigned to the project, as follows:

- Assistant Information Systems Analyst
- Associate Governmental Program Analyst
- Associate Information Systems Analyst (Specialist)
- Associate Information Systems Analyst (Supervisor)
- Associate Programmer Analyst (Specialist)
- Data Processing Manager I
- Data Processing Manager II
- Data Processing Manager III
- Data Processing Manager IV
- Programmer I
- Programmer II
- Senior Information Systems Analyst (Specialist)
- Senior Information Systems Analyst (Supervisor)
- Senior Programmer Analyst (Specialist)
- Senior Programmer Analyst (Supervisor)
- Staff Information Systems Analyst (Specialist)
- Staff Information Systems Analyst (Supervisor)
- Staff Programmer Analyst (Specialist)
- Staff Programmer Analyst (Supervisor)
- Staff Services Analyst (General)
- Staff Services Manager I
- Staff Services Manager II (Supervisory)
- Staff Services Manager III
- Systems Software Specialist I (Technical)
- Systems Software Specialist II (Supervisory)
- Systems Software Specialist II (Technical)
- Systems Software Specialist III (Supervisory)
- Systems Software Specialist III (Technical)
- Other

If **“Other,”** specify: If the classification is “Other,” specify in the space provided.

**Source** – Select the source of the project staffing:

- New – New position created through a budget action.
- Redirected – Existing position transferred into project.
- Backfill – Position will fill in for a position that was transferred into project.

**Tenure/Time Base** – For each classification, enter whether the position is Permanent (P), Limited Term (LT), Exempt (E), or a Board position.

**Note:** If a single project team role has different staffing attributes (level of participation, classification, source, or tenure/time base), add additional line items as needed.

Use the “Insert Project Team Role” to add an additional project team role.

## **3.20 Final Solicitation Package Submission**

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The Agency/state entity must submit the completed and final solicitation package (including all attachments, exhibits, appendices) to the Department of Technology as part of the formal submittal of the Stage 3 Solution Development (Part B).

Attachment: Attach the completed and final solicitation package.

If unable to attach the package due to size, email directly to the Project Oversight mailbox at: [ProjectOversight@state.ca.gov](mailto:ProjectOversight@state.ca.gov)

In instances when the Agency/state entity will not conduct a solicitation (e.g., NCB, Section 3.6.1 Solicitation Identifier is “No Procurement”), the Agency/state entity must submit the SOW.

Use the “Insert Attachment” to add final solicitation package documentation, as needed.

### **Gate 3 Solution Development (Part B) - Evaluation Scorecard**

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The Gate 3 Solution Development (Part B) Evaluation Scorecard is the methodology the Department of Technology will use to communicate feedback and final disposition on the Stage 3 Solution Development (Part B) submitted to the Agencies/state entities. The Evaluation Scorecard will be available to Agencies/state entities to view and to use as a tool for reviewing the quality of their own submissions internally prior to submission.

The Gate 3 Solution Development Evaluation Scorecard is located under SIMM Section 19C.7.

## Preliminary Assessment for Stage 4 – General Instructions

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The purpose of the Stage 4 Preliminary Assessment is to help recognize and mitigate project risks that may occur during the last stage of the Project Approval Lifecycle (PAL). Additionally, the Preliminary Assessment provides the Department of Technology and its critical partners with an opportunity to provide guidance during the collaborative development process, with the goal of mitigating risks and ensuring a successful Stage 4. The Preliminary Assessment will be evaluated by the Department of Technology in order to communicate requirements related to either additional deliverable content and/or risk mitigation strategies to be utilized prior to moving on to project execution phase activities.

The Stage 4 Preliminary Assessment should be completed following the Stage 3 Solution Development submission and is to be discussed at the Gate 3 Collaborative Review, prior to beginning development of the Stage 4 Project Readiness and Approval. If the Stage 4 Preliminary Assessment is submitted after the Gate 3 Collaborative Review has taken place, the ITPOD Oversight Manager will schedule a meeting with the Agency/state entity and critical partners to address the Stage 4 Preliminary Assessment and provide guidance. The Stage 4 Preliminary Assessment should be submitted to the Department of Technology through the Project Oversight email address at: ([ProjectOversight@state.ca.gov](mailto:ProjectOversight@state.ca.gov)).

### 4.1 General Information

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**Agency or State Entity Name:** Select the Agency/state entity name that prepared and is responsible for the Stage 4 Project Readiness and Approval. Designate one Agency/state entity as owner if multiple Agencies or state entities have a role in the proposal.

**Organization Code:** Organization Code populates automatically once the Agency/state entity name is selected.

**Proposal Name:** Enter the proposal name as determined by the Agency/state entity in the approved Stage 1 Business Analysis.

**Department of Technology Project Number:** Enter the project number assigned by the Department of Technology provided during the Stage 1 Business Analysis.

### 4.2 Preliminary Submittal Information

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#### Contact Information:

**Contact First Name:** Enter the first name for Agency/state entity person who will be the primary point-of-contact for control agency questions and comments.

**Contact Last Name:** Enter the last name for Agency/state entity person who will be the primary point-of-contact for control agency questions and comments.

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

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

**Preliminary Submission Date:** Enter the date the Stage 4 Preliminary Assessment is being submitted to the Department of Technology for review.

**Preliminary Assessment Transmittal:** Scan and attach the signed Preliminary Assessment Transmittal for the Preliminary Assessment for Stage 4; use the transmittal form located in SIMM Section 19G.

## **4.3 Stage 4 Preliminary Assessment**

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During the PAL, circumstances may arise that impact project planning and the information contained in previously approved PAL deliverables may change. It is important to keep all planning information contained in the deliverables current. This may require an Agency/state entity to correct and resubmit previously submitted information contained in project approval deliverables. Submission of the Stage 4 Project Readiness and Approval deliverable completes the project approval package that will be reviewed and evaluated by the Department of Technology and critical partners.

The answers to the following questions will determine if additional details are needed to substantiate the proposal. Additionally, based on the responses provided, further information may need to be discussed during the Gate 3 Collaborative Review. It is important to note that the preliminary assessment questions help determine an Agency/state entity's readiness to begin Stage 4 Project Readiness and Approval and release a solicitation.

### **4.3.1 Solicitation Readiness**

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1. During the solicitation process, any bidder may raise questions regarding the solicitation documentation or procurement process and procedures. The questions may need to be reviewed by a designated subject matter expert (SME) (technical, business, legal, etc.) to address the issue and provide a written response. Select "Yes" if the Agency/state entity has committed resources to respond to questions during the solicitation process (e.g., questions and answers, protest, confidential discussions). Select "No" if the Agency/state entity has not yet committed resources to respond to questions during the solicitation process. If "No," discussions may be necessary with the ITPOD oversight manager and critical partners regarding the utilization and status of SME resources.
2. During (or prior to) the solicitation process, an evaluation team is formed to evaluate, validate and select bids/proposals received in response to the solicitation document. The evaluation team is comprised of SMEs tasked with evaluating bid submissions and participating in negotiations sessions, as required. The SMEs who evaluate bids should represent the business program areas and possess the appropriate technical expertise. Select "Yes" if the Agency/state entity has committed SMEs, as identified in Stage 2, Section 2.12.9 Organization Charts. Select "No" if the Agency/state entity has not yet committed SMEs, as identified in Stage 2 Section 2.12.9. If "No," discussions may be necessary with the ITPOD oversight manager and critical partners regarding the utilization and status of the resources.
3. During the solicitation process, the evaluation team will evaluate, validate, and make a selection from the bids/proposals received in response to the solicitation document. At the end of the evaluation, the evaluation procedures, evaluation work sheets, summaries, recommendations and other materials become part of the procurement summary file. The purpose of the procurement summary is to provide a single document that contains the history of the procurement transactions and that explains the significant facts, events, and decisions leading up to the contract award. Procurement summary information includes but is not limited to:
  - Documenting the offered prices
  - Determining if the selected supplier is responsible and the bid is responsive.
  - Attaching the Bid/Quote Worksheet or the Evaluation and Selection Report

Select “Yes” if (in addition to the information available in the [SCM Volume 3 Section 4.D5.2](#) and the Department of Technology STPD’s Memorandum of Understanding) the Agency/state entity is aware of their role in the evaluation process and has completed the evaluation plan and training documents. Select “No” if the Agency/state entity is not aware of their role in the evaluation process and/or has not completed the evaluation plan and training documents. Select “N/A” if an evaluation plan and training documents are not needed (e.g., interagency agreement).

### 4.3.2 Project Readiness

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1. Effective governance is essential to any successful IT project; it is the process whereby persons entrusted with the future of an organization exercise oversight and make transparent business decisions and determine organizational priorities that are in the best interest of the project and the Agency/state entity. Closely related to the governance process is compliance — adhering to policies, rules, and regulations set forth by the organization. Projects often experience trouble (legal or otherwise) when they fail to follow a governance plan that defines executable governance and compliance processes. Select “Yes” if the governance plan identified in the Stage 2 Alternatives Analysis, Section 2.12.8.2 includes an issue escalation and resolution process that has been implemented and is currently in use. Select “No” if the governance plan with executable issue escalation and resolution processes has not yet been engaged. Select “N/A” if Stage 2 Alternatives Analysis, Section 2.12.8.2 indicates a governance plan is not applicable. If “No,” discussions may be necessary with the ITPOD oversight manager and critical partners on the governance plan’s effectiveness and how it has been used up to now.
2. Throughout the PAL, sponsorship is critical to successful IT project outcomes. Project sponsorship is comprised of executives, business owner(s), and key stakeholders. Lack of consistent project sponsorship within the organization adversely impacts a project’s ability to meet the business needs. Key sponsorship responsibilities include:
  - Establishing and reinforcing the project vision and aligning it with the Agency/state entity strategic plan
  - Providing clear support and direction for the project and determining how it aligns with the organization’s overall business strategy
  - Securing project resources and funding
  - Making high-level decisions regarding schedule, budget and scope
  - Providing timely feedback on status
  - Championing the project at the executive level to secure buy-in and publicizing support throughout all levels of the organization

Despite the strategic importance of the sponsorship, project sponsors may be too busy or fail to recognize the importance their support contributes to a project initiative. Lack of sponsor involvement will most likely impact the project negatively.

Select “Yes” if the business sponsor and key stakeholders identified in the Stage 1 Business Analysis are currently engaged and committed to actively support and participate in this proposal once it becomes a project. Select “No” if there is a lack of engagement from the business sponsor and/or key stakeholders. If “No,” discussions may be necessary with the ITPOD manager and critical partners on the state of the current sponsorship and their effectiveness at this stage of the proposal.

3. Most proposals are likely to be impacted by a change in a business sponsor(s) priorities at some point during the PAL. Additionally, many internal and external factors may change within an Agency/state entity during the PAL. Business sponsors and key stakeholders need to continue to be aware of the business drivers and objectives for the project. Select “Yes” if the business sponsors and key stakeholders reevaluated the business objectives and business drivers identified in the Stage 1 Business Analysis and continue to support the proposal. Select “No” if the business sponsors and key stakeholders have not reevaluated the business objectives and business drivers identified in the Stage 1 Business Analysis and/or do not continue to support the proposal. If “No,” discussions may be necessary with the ITPOD oversight manager and critical partners on the current state of the business objectives and business drivers for the proposal and/or support by the executive sponsor and key stakeholder.
4. An important component of any IT project is to plan how communications will be conducted between internal and external partners for which system interactions will occur. Effective communication is a key contributor in successfully managing these partnerships. System interaction partners include organizations for which the technical solution must interact in order to effectively meet the business objectives. Partners must know what information to communicate, how to communicate this information, who to communicate with, and when. Effective communication is crucial, especially when project participants are geographically dispersed. Effective and timely communication must occur for the systems to interact successfully. The first step in enabling effective communication is to identify and document all system relationships and interactions. Each interaction must be defined and include a description of the interaction, the software interfaces, the parties involved, objectives, and the responsibilities and expectations of the partners. While the common goal of each party is to successfully implement the interaction, each party must meet individual objectives that align with the overall system, project objectives, and project schedule. Select “Yes” if the interface partners have accepted their responsibilities and deliverable timeframes for this proposal. Select “No” if the partners have not accepted their responsibilities or if they do not have the ability to support the timeframes of this proposal. If “No,” discussions may be necessary with the ITPOD manager and critical partners on the deficiencies of these relationships and how to mitigate them. Select “N/A” if system interactions will not occur.
5. Contract management and administration concentrates on the relationship between the Agency/state entity and the contractor from contract award to contract closeout, ensuring the contractor delivers the product (and/or service) in conformance with the solicitation requirements. The contract manager must completely understand all aspects of the contract and its activities. Prior to award, it is crucial to the success of the project that post-award contract management activities be identified and a contract manager assigned. Select “Yes” if (for more information, refer to [SCM Volume 3](#)) the Agency/state entity is aware of their role and prepared for the procurement closeout activities and necessary post award contract management activities. Select “No” if the Agency/state entity is not aware of their role and/or is not prepared for the procurement closeout activities and necessary post award contract management activities. If “No,” discussions may be necessary with the ITPOD oversight manager and critical partners on the Agency/state entity’s utilization and experience with contract management activities.

6. The Agency/state entity's Contact Manager is responsible for all contract management activities including managing and tracking vendors, facilitating amendments, reviewing work authorizations and invoices, and monitoring contract compliance. Select "Yes" if the Agency/state entity's Contract Manager needs further assistance to understand the responsibilities of this role as defined in the California Department of Technology [SIMM Section 17 CA-PMF](#) and [SCM Volume 3](#). Select "No" if the Agency/state entity's Contract Manager has not reviewed the [SIMM Section 17 CA-PMF](#) or [SCM Volume 3](#) and needs further assistance to understand the responsibilities of this role.
7. Completion of data conversion/mitigation activities (e.g., data extraction, cleansing, verification) as identified in Stage 2 Alternatives Analysis Section 2.12.5, has significant impact on the timeliness for Stage 4. Select "Yes" if data conversion/migration activities have been completed. Select "No" if data conversion/mitigation activities have not yet been completed or their completion is not applicable to this project. Select "N/A" if data conversion/migration activities are not needed for this project. If "No," discussions may be necessary with the ITPOD oversight manager and critical partners related to data conversion/migration activities during project execution. If "N/A," discussions may be necessary with the ITPOD oversight manager and critical partners of why data conversion/migration activities are not needed.

### 4.3.3 Project Funding

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1. Securing and aligning project funding approval with the PAL helps to ensure that accurate cost and schedule estimates are baselined and presented to the legislature and other stakeholders. After the submission of the Stage 2 Alternatives Analysis, the Agency/state entity should have been working with the Department of Finance to ensure project funding will be available when the project is approved. Select "Yes" if the Agency/state entity has a supported funding request for this project. Select "No" if the Agency/state entity needs new or additional funding and does not have a supported funding request for this project. Select "N/A," if the Agency/state entity does not need new or additional funding for this project (e.g., funded by existing funds).

If "No," provide the status of the associated funding request, including any conditions or questions received from the Department of Finance in the space provided.

2. Secure and reliable funding is essential to successful project planning and risk mitigation. Some funding sources may require the Agency/state entity to receive approval through a process outside of the PAL or a Budget Change Proposal. Select "Yes" if the Agency/state entity requires approval to leverage other funding sources (e.g., federal government, bonds) for this proposal. Select "No" if the Agency/state entity will not leverage other funding sources.

If "Yes," provide a concise description of the status of the associated funding request, including any conditions or questions received from the approving authority in the space provided.