Project Approval Lifecycle Training
Stage 3
Office of Statewide Project Delivery
CA Department of Technology
Create Your Own Job Aid

Capture ideas for follow-up. Use a bright sheet of paper to jot down key information.

I will use this:
Tools and information I can use right away.

Look this up later:
Concepts I want to explore later on my own.

My reference list:
References I want to keep for future use.
What Will Be Covered Today

• This training covers
  – PAL’s role in IT Project Delivery
  – Role of “Critical Partners” and “Core Team” in PAL
  – Stage 3 Preliminary Assessment
  – Stage 3 Solution Development (Part A & B)

• This training will not address
  – General Business Analysis Techniques
  – Procurement Training
  – Analysis of your specific project situation
Additional Training

• Business Analysis
  – BABOK-based training programs

• Procurement
  – Department of General Services, California Procurement & Contracting Academy (Cal-PCA)
Up First…

• This training covers
  – **PAL’s role in IT Project Delivery**
  – Role of “Critical Partners” and “Core Team” in PAL
  – Stage 3 Preliminary Assessment
  – Stage 3 Solution Development (Part A & B)

• This training will not address
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  – Procurement Training
  – Analysis of your specific project situation
Top Issues Departments Face

- Contract management and vendor negotiations
- Data conversion and migration
- Governance and sponsorship
- Interface planning and implementation
- Organizational change management
- Quality assurance and quality control
- Release management
- Requirements definition and management
- Risks and issues
- Schedule
- Testing
- Architecture planning
CA Statewide IT Project Delivery

• Stage 1 – Business Analysis (Project Concept)
  – Approval delegated to AIOs (TL 16-08)
  – 30 Day target for CDT approval

• Stage 2 – Alternatives Analysis (Project Alternatives)

• Stage 3 – Solution Development (Procurement Planning)

• Stage 4 – Project Readiness & Approval (Project Readiness)
  – Recently released (TL 16-07)
The Project Approval Lifecycle is flexible.

- The business complexity score and the subsequent technical complexity score will impact what you submit to CDT.
- Conditional approval at a stage gate allows the department to move forward with future planning activities with remediation of specified risks occurring later.
PAL Policies and Forms

- PAL guidelines and forms are located in the Statewide Information Management Manual (SIMM):
  - SIMM 19 Project Approval Lifecycle

** Find a PAL Training Library here with the slide deck from today’s presentation, along with PAL samples, examples, and other resources.

• This training covers
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  – **Role of “Critical Partners” and “Core Team” in PAL**
  – Stage 3 Preliminary Assessment
  – Stage 3 Solution Development (Part A & B)

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  – General Business Analysis Techniques
  – Procurement Training
  – Analysis of your specific project situation
An important part of the PAL process is ensuring that all the right stakeholders are involved in the planning of your project.
California Department of Technology (CDT) will involve Critical Partners from across the organization as well as other state control agencies (DOF and DGS) in the review of PAL documents.
When to Partner with DGS vs CDT for Project Procurements?

The decision about whether to partner with DGS or CDT’s Statewide Technology Procurement area depends upon two factors:

- Reportability
- Procurement cost compared to purchasing authority
The PAL Development Team should include the necessary resources to address all aspects of project planning.

* May also involve Legal, as needed
Core Team Concept

The Core Team is a sub-team of the PAL Development Team that will drive the gathering and reporting of PAL information and analysis.

* May also involve Legal, as needed
Essential Practices
Core Team Concept

It is important to have the right level of engagement from the team members. This means making time and giving commitment. Not having active engagement is a project risk. Plan for these resources to continue to be involved as needed as the project transitions from planning to executing.

If you don’t have the PAL Development Team members represented, then that may suggest a potential risk to your project. PAL is intended to uncover potential deficiencies in the project staffing and SME involvement and work with you to mitigate those potential risks.
PAL Development Team

**Program**

- Also known as “the business” — is the driver of the business need.
- Responsible for ensuring that business process needs are met.
- Develops a program-appropriate strategy for stakeholder involvement.

**Admin & Procurement**

- Keeps track of time and resources.
- Will be leveraged for understanding department resources.
- Leads or assists with the development of solicitations for IT goods and/or services, and managing support contracts.
PAL Development Team

**Project Management**

- An office specializing in running projects and monitoring the department’s IT portfolio.

**IT System Support**

- The Data custodian organization for the existing or proposed solution.

**Information Security**

- Oversees and validates the security and privacy handling of information by the state entity.
- Ensures security controls are suitable for the information classification.
Enterprise Architecture

- Ensures alignment of business requirements to the proposed solution development and alignment of solution development to the architecture and vision of the Enterprise.

Budget Office

- Provides financial information regarding the existing operations
- Leads the development of the Financial Analysis Worksheets.

* If Legal is also involved, they provide consultation and review of solicitations and contracts.
PAL Stage 3 Process

- Stage 2 Collaborative Review & Stage 3 Kick-Off Meeting
- Continued Proposal Development Activities
  - Guided
  - Self-directed
- Collaborative Review will be repeated for Parts A & B
  - Using Scorecard Tools

PAL Collaborative Review is intended to cover the prior stage and prepare for the next steps associated with the next stage.
Stage 3 Part A includes a “required approval” checkpoint using the Stage 3 Scorecard.
Collaborative Review Objectives

- Approve proposals with mature and traceable requirements, articulated SOW, and a comprehensive procurement evaluation methodology
- Confirm that the solution best meets the business goals and objectives stated in the Stage 1 Business Analysis
- Provide guidance on key activities needed to conduct the procurement
- Share knowledge gained through lessons learned from similar initiatives
- Communicate any conditions, if approved
Up Next…

• This training covers
  – PAL’s role in IT Project Delivery
  – Role of “Critical Partners” and “Core Team” in PAL
  – **Stage 3 Preliminary Assessment**
  – Stage 3 Solution Development (Part A & B)

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  – Procurement Training
  – Analysis of your specific project situation
Preliminary Assessment

The purpose of the Project Approval Lifecycle Stage 3 Preliminary Assessment is to:

• Recognize and mitigate project risks early
• Introduce flexibility in PAL Stage 3 reporting
Instructions for the Stage 3 Preliminary Assessment are located in SIMM Section 19B.1–Preparation Instructions. **This is within the Stage 2 instructions, so perhaps not where you would expect to find them!**
3.3 Preliminary Assessment

**Intent:** Assess the agency’s readiness to continue solution planning and develop a solicitation (if needed) in order to deliver the project. This includes an assessment of the agency’s—

- Solicitation knowledge, experience, and expectations
- Project resourcing strategy and governance
- Security and privacy considerations
- Requirements development strategy

**Outcome:** Confirm readiness to continue solution planning and develop a solicitation (if needed) in order to deliver the project.
### 3.3.1 Solicitation Readiness

<table>
<thead>
<tr>
<th></th>
<th>Yes</th>
<th>No</th>
<th>N/A</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Does the project team have experience procuring the type of solution recommended for this proposal?</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>2. The Agency/state entity’s Procurement Official has reviewed the procurement and understands their role, responsibility, and authority to guide the procurement activities, as defined in the California Department of Technology Statewide Technology Procurement Division’s (STPD) Memorandum of Understanding (MOU).</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>3. Does the Agency/state entity anticipate the primary solicitation will require modification or supplementation to the State’s General Provisions – Information Technology (IT General Provisions) (Form GSPD 401IT)?</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>4. Does the Agency/state entity plan to include any Agency/state entity specific provisions in the solicitation?</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Each agency/state entity’s Procurement and Contracting Officer (PCO) and Purchasing Authority Contact (PAC) can be looked up by viewing their purchasing authority at the following link and clicking on “Departments with Approved Purchasing Authority”:

[http://www.dgs.ca.gov/pd/Programs/Delegated.aspx](http://www.dgs.ca.gov/pd/Programs/Delegated.aspx)
At this point in the PAL, the Privacy Impact Assessment should reach *maturity* – meaning it should be complete and become a change control item for the project.
Know your internal procurement governance processes. Familiarize yourself with internal department procurement procedures, process, and purchasing authority. By making sure you understand your organization’s internal procurement governance processes you will be better able to complete Stage 3 activities expeditiously.

Leverage your Core Team. Make sure you have the right folks involved in solution planning and solicitation development as part of your Core Team. If you don’t have certain recommended resources, then ask for help.
### Stage 3 Scalability Table

<table>
<thead>
<tr>
<th>S3SD Part A Sections</th>
<th>DGS Delegated Purchasing Authority</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Over</td>
</tr>
<tr>
<td>3.4 General Information</td>
<td></td>
</tr>
<tr>
<td>3.5 Part A Submittal Information</td>
<td></td>
</tr>
<tr>
<td>3.6 Procurement Profile</td>
<td></td>
</tr>
<tr>
<td>3.6.1 Solicitation Identifier</td>
<td></td>
</tr>
<tr>
<td>3.6.2 Solicitation Method</td>
<td></td>
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<tr>
<td>3.6.3 Procurement Scope Statement</td>
<td></td>
</tr>
<tr>
<td>3.6.4 Solicitation Contact</td>
<td></td>
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<tr>
<td>3.6.5 Anticipated Length of Contract</td>
<td></td>
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<tr>
<td>3.6.6 Anticipated Solicitation Key Action Dates</td>
<td></td>
</tr>
<tr>
<td>3.7 Stage 3 Solution Requirements</td>
<td></td>
</tr>
<tr>
<td>3.7.1 Stage 3 Solution Requirements Template</td>
<td></td>
</tr>
<tr>
<td>3.7.2 Stage 3 Requirements Count</td>
<td></td>
</tr>
<tr>
<td>3.7.3 Stage 2 Mid-Level Solution Requirement Changes</td>
<td></td>
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<tr>
<td>3.7.4 To-Be Business Process Workflow</td>
<td></td>
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<tr>
<td>3.8 Statement of Work (SOW)</td>
<td></td>
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<tr>
<td>3.8.1 Completed SOW Sections</td>
<td></td>
</tr>
<tr>
<td>3.8.2 SOW Security Attributes</td>
<td></td>
</tr>
<tr>
<td>3.9 Proposed Procurement Planning and Development Dates</td>
<td></td>
</tr>
<tr>
<td>3.10 Procurement Risk Assessments and Dependencies</td>
<td></td>
</tr>
<tr>
<td>3.11 Procurement Administrative Compliance Checklist</td>
<td></td>
</tr>
<tr>
<td>3.12 Solicitation Readiness</td>
<td></td>
</tr>
<tr>
<td>S3SD Part B Sections</td>
<td></td>
</tr>
<tr>
<td>3.13 General Information</td>
<td></td>
</tr>
<tr>
<td>3.14 Part B Submittal Information</td>
<td></td>
</tr>
<tr>
<td>3.15 Solicitation Package and Evaluation Readiness</td>
<td></td>
</tr>
<tr>
<td>3.16 Public Contract Code (PCC) 6611 Readiness</td>
<td></td>
</tr>
<tr>
<td>3.17 Protest Processes</td>
<td></td>
</tr>
<tr>
<td>3.18 Project Management Planning</td>
<td></td>
</tr>
<tr>
<td>3.19 Staffing Allocation</td>
<td></td>
</tr>
<tr>
<td>3.20 Final Solicitation Package Submission</td>
<td></td>
</tr>
</tbody>
</table>

- Scalability determined by total cost of primary solicitation in relation to DGS Delegated Purchasing Authority.
- Sections indicated by a circle must be submitted to CDT for review and approval.
- Remaining sections delegated to Agency/state entity Director for review and approval.
• This training covers
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  – Role of “Critical Partners” and “Core Team” in PAL
  – Stage 3 Preliminary Assessment
  – Stage 3 Solution Development (Part A & B)

• This training will not address
  – General Business Analysis Techniques
  – Procurement Training
  – Analysis of your specific project situation
3.4 General & 3.5 Part A Submittal Info.

**Intent:** Identify any changes to the agency contact information and project plans since the Stage 2 submission.

**Outcome:** Submission information is accurate and up-to-date.
### 3.4 General Information

**Agency or State Entity Name:**

**Department of Technology Project Number:** 0000-000

### 3.5 Part A Submittal Information

**Contact Information:**

#### Part A Sections Updated (For Updated Submissions only, check all that apply)

- □ 3.4 General Information
- □ 3.5 Part A Submittal Information
- □ 3.6 Procurement Profile
  - □ 3.6.1 Solicitation Identifier
  - □ 3.6.2 Solicitation Method
  - □ 3.6.3 Procurement Scope Statement
  - □ 3.6.4 Solicitation Contact
  - □ 3.6.5 Anticipated Length of Contract
  - □ 3.6.6 Anticipated Solicitation Key Action Dates
- □ 3.7 Stage 3 Solution Requirements
  - □ 3.7.1 Stage 3 Solution Requirements Template
- □ 3.7.2 Stage 3 Requirements Count
- □ 3.7.3 Stage 2 Mid-Level Solution Requirement Changes
- □ 3.7.4 To-Be Business Process Workflow
- □ 3.8 Statement of Work (SOW)
  - □ 3.8.1 Completed SOW Sections
  - □ 3.8.2 SOW Security Attributes
- □ 3.9 Proposed Procurement Planning and Development Dates
- □ 3.10 Procurement Risk Assessments and Dependencies
- □ 3.11 Procurement Administrative Compliance Checklist
- □ 3.12 Solicitation Readiness

#### Part A Summary of Changes:
3.6 Procurement Profile

**Intent:** Identify the scope of any procurement activities associated with the project, including the number of planned and/or in-progress primary and ancillary solicitations.

**Outcome:** Gives a clear picture of the planned procurements including cost, length, scope, key action dates, and method of solicitation.
3.6 Procurement Profile

3.6.1 Solicitation Identifier

- Primary
- Ancillary
- No Procurement

Department of General Services (DGS) Delegated Purchasing Authority: [ ] Over [ ] Under

Solicitation Title:

3.6.2 Solicitation Method

- Solicitation Method: [ ] Select...
- Anticipated Amount: [ ] If “Other,” specify: [ ]
- Conducted By: [ ] Select...
- If “Other,” specify: [ ]
- Development Status: [ ] Select...
- Solicitation Number: [ ]

3.6.3 Procurement Scope Statement

3.6.4 Solicitation Contact

Contact First Name: [ ] Contact Last Name: [ ]

See the instructions for how to add additional procurements in section 3.6.1.

If there is not a procurement, you must give a justification for why not in section 3.6.3 and then move on to complete section 3.7.

Primary Solicitation: The acquisition that will procure and obtain the main IT Goods and/or Services for an IT project solution. An IT Project may only have one Primary Solicitation, but may be supported by many Ancillary Solicitations.

Ancillary Solicitation: An acquisition that may be necessary to achieve and/or support the primary procurement activities and objectives of an IT project.
A department is in need of a licensing system for an additional licensing function they are now legislatively responsible for. Decision is made that no procurement is needed. Why not?

- Department already has an existing system that performs existing licensing functions.
- In house staff are able to configure the system to meet the new licensing functional needs.
State Contracting Manual, Volume 3 discusses the procurement methods available to you as well as restrictions of use. Discussing this with your procurement team member will assist in developing timelines for the procurements and project.
Review Criteria: Section 3.6 Procurement Profile

• Have the primary solicitation components been identified such as method of solicitation, length of contract, and anticipated $ amount?

• Are key action dates identified and are the activities and timeframes reasonable for the size and scope of this procurement?

• If no procurement is anticipated, has a reasonable explanation been provided?
3.7 Solution Requirements

**Intent:** To further refine and expand mid-level solution requirements to well-defined, detailed solution requirements that are traceable to the Stage 2 Mid-level solution requirements and Stage 1 Business Objectives. Develop To-Be process workflows.

**Outcome:** Well defined solution requirements allow clear and explicit communication of stakeholder needs and ensure the proposed solution or system functions as required.
**S1BA:**
“Business need and opportunity statement”  
Business Case has the high level scope and business objectives needed to accomplish the goals of the project.

**S2AA:**
“What the solution should do”  
Mid-Level Requirements add detail to business objectives by defining functional, non-functional, and transitional requirements.

**S3SD:**
“How the solution will work”  
Detailed solution requirements based on the chosen approach that ensures the solution meets stakeholder needs.
3.7 Solution Requirements

### 3.7 Stage 3 Solution Requirements

#### 3.7.1 Stage 3 Solution Requirements Template

Attachment: (File Attachment)

#### 3.7.2 Stage 3 Requirements Count

<table>
<thead>
<tr>
<th>Requirement Type</th>
<th>Count</th>
</tr>
</thead>
<tbody>
<tr>
<td>Total Detailed Functional Requirements</td>
<td>00000</td>
</tr>
<tr>
<td>Total Detailed Non-Functional Requirements</td>
<td>00000</td>
</tr>
<tr>
<td>Total Detailed Project/Transition Requirements</td>
<td>00000</td>
</tr>
<tr>
<td>Detailed Requirements Grand Total</td>
<td>00000</td>
</tr>
</tbody>
</table>

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

<table>
<thead>
<tr>
<th>Question</th>
<th>Yes</th>
<th>No</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Since approval of the Stage 2 Alternatives Analysis, has the Agency/state entity developed any new solution requirements that were not represented in the mid-level solution requirements?</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td>2. Since approval of the Stage 2 Alternatives Analysis, has the Agency/state entity modified (changed or deleted) any mid-level solution requirements?</td>
<td>☐</td>
<td>☐</td>
</tr>
</tbody>
</table>

If question 1 or 2 above is “Yes”:
- Enter the percentage of change in the space provided
- Describe below the nature and scope of the change(s), impact(s) to the recommended solution, and how requirements align with the business objectives established in the Stage 1 Business Analysis:

See the instructions for guidance about the percentage of change calculations.
Stage 1 Business Objective

Reduce average customer wait time by 40% within the first year of modernizing the department’s call center technologies.

Stage 2 Mid-Level Solution Requirement

Solution will provide business analytics functionality.

Stage 3 Solution Requirements

- The Solution shall capture, store, maintain, and retrieve customer call history from a central data store.
- The Solution shall provide a visual dashboard indicating the status of defined key performance indicators. Key performance indicators are defined in the Glossary.
- The solution shall provide trend analysis reports of inbound calls during configurable time frames.
- The solution shall store and reuse data analytic specifications.

See tools available at SIMM 170 A & B, including Requirements Guidelines Set, as well as a number of other resources.
### Example: Detailed Security Requirements

<table>
<thead>
<tr>
<th>Weak</th>
<th>Strong</th>
</tr>
</thead>
<tbody>
<tr>
<td>The Contractor shall implement technical safeguards that <strong>reasonably and appropriately</strong> protect the confidentiality of personal data, including electronic personal data that it creates, receives, maintains, uses, or transmits on behalf of [Department].</td>
<td>All workstations and laptops that process and/or store personal data on behalf of [Department] must be encrypted using a Federal Information Processing Standards (FIPS) 140-2 certified algorithm which is 128bit or higher, such as Advanced Encryption Standard (AES). The encryption solution must be full disk unless approved by the [Department] Information Security Office.</td>
</tr>
<tr>
<td>Remote access connections shall be <strong>properly secured</strong>.</td>
<td>All remote access shall require two-factor authentication. Two-factor authentication is something you know (e.g., password); and something you have (e.g., token or smart card) or something you are (e.g., fingerprint or other biometric).</td>
</tr>
<tr>
<td>The system shall <strong>not require</strong> use of <strong>unsecure</strong> protocols.</td>
<td>SSH and Telnet shall not be used for access to or by the system.</td>
</tr>
<tr>
<td>The contractor shall <strong>maintain security logs</strong>.</td>
<td>The contractor shall maintain application, firewall, router, switch, and IDS/IPS logs for a period not less than 6-months. Log files shall capture all data necessary to allow a virtual reconstruction of the end-to-end network session and auditability of end-user transactions.</td>
</tr>
</tbody>
</table>

Note: Highlighted text is subject to interpretation and potential disputes, thus not desirable for requirements or contracts.
Example: To-Be Process Workflows #1

To-Be workflows feature:

- Action boxes that shows points where the process begins or end
- Reflects each individual step in the process
- Clearly indicates a decision point, usually with a yes/no
- Depicts the sequence of the activities performed in a process
- Includes a legend to help provide clarity
Example: To-Be Process Workflows #2
Essential Practices
3.7 Solution Requirements

There are 4 Main Types of Requirements that the project should identify and mature.

• **Functional** - The business objectives, needs, and outcomes required by all stakeholders
• **Non-Functional** - Criteria to evaluate the operation of an enabling solution
• **Project/Transition** - Capabilities that the solution must have in order to facilitate the transition from the current state of the enterprise to a desired future state
• **Mandatory Optional** - Functionality/solutions that the Agency/state entity has the option to execute

**Developing Requirements is a Special Skill.** Developing requirements is not something that everyone knows how to do. Try to avoid entrusting this responsibility to someone who is inexperienced. If you do so anyway, be sure to use your Core Team to bolster the development and vetting process.
**Leverage the Guidelines.** Requirements become contract terms in Stage 4. It is crucial that whomever, whether state staff or contractor, is writing requirements for the Project adhere to SIMM 170 Requirements Guidelines Set.

**Organize Requirement Groups by Category.** Classifying solution requirements into Stage 2 and Stage 3 requirements categories will increase requirement manageability and ownership, as well as simplify requirement traceability. This is because organizing requirement groups by category provides a structure (a taxonomy) to the mid-level solution requirements.
• Are the requirements traceable to the project objectives?
• Are the solution requirements clear, correct, complete, concise, and verifiable?
3.8 Statement of Work (SOW)

**Intent:** Capture and define work activities, deliverables, contractual obligations, and timelines that the state and/or contractor must execute in performance of specified work for the state. This constitutes the Statement of Work (SOW) for the solution.

**Outcome:** A clear, explicit, and complete SOW that will be used in the solicitation package and to manage the resulting contract.
3.8 Statement of Work (SOW)

Only attach the Statement of Work of the Primary Solicitation.

The SOW should be based upon project characteristics and project outcomes. This is the basis for which sections you complete and the level of detail included in those sections.

<table>
<thead>
<tr>
<th>Completed SOW Section:</th>
<th>14. Deliverable Acceptance/Rejection Process</th>
</tr>
</thead>
<tbody>
<tr>
<td>SOW Component Detail:</td>
<td>Details related to the procurement deliverable acceptance/rejection process.</td>
</tr>
<tr>
<td>(See SIMM Section 180 SOW Guidelines for specific information)</td>
<td></td>
</tr>
</tbody>
</table>

- Responsible:
- Performance Deliverable:
- Requirement Number(s):
- Methodology/Approach:
- Solicitation Number: (If applicable)

Select... if “Other,” specify:
Some SOW Sections Require More Detail

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

Reach out to your Statewide Technology Procurement contact to help provide samples of SOWs that you can use for reference.

<table>
<thead>
<tr>
<th>Completed SOW Section:</th>
<th>17. Security</th>
</tr>
</thead>
<tbody>
<tr>
<td>SOW Component Detail:</td>
<td>Details related to security and privacy controls and plan(s).</td>
</tr>
<tr>
<td>Responsible:</td>
<td>Both</td>
</tr>
<tr>
<td>Performance Deliverable:</td>
<td>☑</td>
</tr>
<tr>
<td>Requirement Number(s):</td>
<td>xxxx</td>
</tr>
<tr>
<td>Methodology/Approach:</td>
<td>Other</td>
</tr>
<tr>
<td></td>
<td>If “Other,” specify: The methodology shall be dictated by both policy (SAM Section 5300) and the State Contracting Manual (SCM).</td>
</tr>
<tr>
<td>Solicitation Number: (If applicable):</td>
<td>N/A</td>
</tr>
<tr>
<td>SOW Component Detail:</td>
<td>Details related to the National Institute of Standards and Technology (NIST) 800-53 controls.</td>
</tr>
<tr>
<td>Responsible:</td>
<td>Contractor</td>
</tr>
<tr>
<td>Performance Deliverable:</td>
<td>☑</td>
</tr>
<tr>
<td>Requirement Number(s):</td>
<td>xxxx</td>
</tr>
</tbody>
</table>
1. Does the SOW provide details on the information security and privacy controls that are required (based on the NIST 800-53 controls)?

Include the NIST controls that were selected based on the determined impacted level as described in FIPS 199. For NIST controls not applicable to this project; describe the reason (e.g., the control is a common control and is managed at the enterprise level; alternative compensating controls have been determined to be acceptable based on the enterprise risk acceptance process). Your answer to this question must be supported by project documentation.
2. Does the SOW define how the information security and privacy controls will be procured and implemented?

Are the NIST controls common to the enterprise or will they need to be implemented specific to this project? Will the needed controls be purchased or developed by the contractor? Will the commercially purchased controls’ effectiveness be certified by a trusted third party (Common Criteria, FIPS 140-2, FedRAMP, etc)? Your answer to this question must be supported by project documentation.
3.8.2 SOW Security Attributes

<table>
<thead>
<tr>
<th></th>
<th>Yes</th>
<th>No</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Does the SOW provide details on the information security and privacy controls that are required (based on the NIST 800-53 controls)?</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td>2. Does the SOW define how the information security and privacy controls will be procured and implemented?</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td>3. Does the SOW include provisions for creating the System Security Plan (SSP)?</td>
<td>☐</td>
<td>☐</td>
</tr>
</tbody>
</table>

3. Does the SOW include provisions for creating the System Security Plan (SSP)?

Will the SSP format and contents meet or exceed the standard set by NIST SP800-18? Your answer to this question must be supported by project documentation.
Essential Practices

3.8 Statement of Work (SOW)

**Always Consider Legal Participation.** Legal participation should be sought as early in the project as possible.

**Avoid Legal Disputes.** A clear and concise SOW reduces the probability of disputes under the contract.

**Leverage Your Core Team.** Be sure to leverage all your department’s Core Team when developing your SOW and then partner with your critical partners to bolster any gaps in knowledge or experience.
Review Criteria: Section 3.8 Statement of Work

• Are all relevant sections in the SOW complete and provide the appropriate level of detail, explanation, and clarification?
• Does the SOW address security objectives?
• Are both state and vendor obligations explicitly defined?
• Does the SOW content align to previous stage gate artifacts?
Intent: Identify proposed procurement planning and development dates to allow appropriate resource planning for the project.

Outcome: Agency/state entity develops procurement timeline and project resource plan to support procurement activities.
## 3.9 Proposed Procurement Planning and Development Dates

<table>
<thead>
<tr>
<th>Activity</th>
<th>Select...</th>
</tr>
</thead>
<tbody>
<tr>
<td>Start Date</td>
<td>Date Picker</td>
</tr>
<tr>
<td>End Date</td>
<td>Date Picker</td>
</tr>
<tr>
<td>Number of Business Days</td>
<td></td>
</tr>
<tr>
<td>Insert Activity</td>
<td></td>
</tr>
</tbody>
</table>
Example Planning & Development Activities

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

Apply dates to these types of procurement activities.

See the “Estimated Timelines for Agency/State Entity Procurement Planning” document in SIMM 185 for guidance
Be Realistic in Planning Your Procurement Dates. Build in adequate time upfront that realistically accounts for all steps and the core team’s involvement for procurement activities.

Incorporate Solicitation Key Action Dates in the Pre-Solicitation for Supplier Feedback. If sufficient time between key action dates is not provided, suppliers will let you know.

Consider the Participants’ Schedules and Level of Commitment. Involving the Core Team in planning & development of dates provides greater certainty as to whether or not the dates will be met.
Review Criteria: Section 3.9 Proposed Procurement Planning and Development Dates

- Do the procurement planning and development dates align with other project activities?
- Are the activities outlined achievable?
- Is a realistic amount of time allocated to complete the activities described?
- Are Agency/state entity resources available and committed, and has adequate time been allocated?
**3.10 Procurement Risk Assessments and Dependencies**

**Intent:** Identify procurement related risks and dependencies early in the planning effort.

**Outcome:** Risks and dependencies are identified early enabling the department to better manage the project and prepare appropriate mitigation strategies.
### 3.10 Procurement Risk Assessments and Dependencies

To assess the procurement risk associated with the project, use the Risk Criteria Guidelines in SCM 4.B2.13 and work with your Core Team to ensure all risks and dependencies have been addressed.

<table>
<thead>
<tr>
<th></th>
<th>Yes</th>
<th>No</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Has the Agency/state entity identified procurement-related external dependencies (e.g., supplier viability, stakeholder/customer legal constraints, ancillary contracts, other state or federal legislation)?</td>
<td>□</td>
<td>□</td>
</tr>
<tr>
<td>If “Yes,” describe dependencies below:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>2. Has the Agency/state entity completed the State Contracting Manual Volume 3, Chapter 4, Section 4.B2.13 Risk Criteria Guidelines and incorporated financial protection measures for the primary solicitation?</td>
<td>□</td>
<td>□</td>
</tr>
<tr>
<td>3. Does the Agency/state entity intend to maintain ownership of any source code developed for this solution?</td>
<td>□</td>
<td>□</td>
</tr>
<tr>
<td>If “Yes,” describe below how ownership will be obtained, maintained, and upgraded:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>4. Will this transaction be financed?</td>
<td>□</td>
<td>□</td>
</tr>
<tr>
<td>If “Yes,” attach the approved State Financial Marketplace Compliance Certification form and agreement below.</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
### Example

**Procurement Risk and Dependencies**

<table>
<thead>
<tr>
<th>Dependency</th>
<th>Procurement Risk</th>
</tr>
</thead>
<tbody>
<tr>
<td>Stakeholder commitment</td>
<td>Delay in proposed planning &amp; development dates</td>
</tr>
<tr>
<td>No pre-solicitation process followed</td>
<td>Suppliers are unable or unwilling to bid Possible delay in procurement timeline</td>
</tr>
<tr>
<td>RICEF Inventory completion (Reports, Interfaces, Customizations, Enhancement, and Forms)</td>
<td>RICEF Inventory that documents reports, interfaces, customizations, enhancement, and forms is incomplete which risk a delay in the procurement timeline, as well as greater risk for contract changes and costly change requests later.</td>
</tr>
<tr>
<td>No Conceptual, Detailed Technical, or Draft bid submissions within the procurement process</td>
<td>Suppliers are unable or unwilling to bid Possible delay in procurement timeline</td>
</tr>
<tr>
<td>Ancillary contracts required (e.g., Project Management, IV&amp;V, RFP writer)</td>
<td>Delay in proposed planning &amp; development dates</td>
</tr>
</tbody>
</table>
Be Thoughtful About Source Code. Consider the ownership of the source code that is developed for any state solution.

Identify All Dependencies, Including Those External to the Project. Be sure to describe the dependencies on the project and any potential negative impacts.
• Are any potential procurement risks identified, impacts described, and mitigation strategies provided?
  – Internal
  – External

• Have financial protection measures of the primary solicitation been addressed?
Intent: Reduce procurement risk by ensuring compliance with procurement policy and procedures in securing necessary IT goods and services for the state.

Outcome: IT goods and services are procured following all applicable federal, state, and local government statutes, regulations, policies, and procedures.
## 3.11 Procurement Administrative Compliance Checklist

(Questions may not be all-inclusive)

<table>
<thead>
<tr>
<th></th>
<th>Yes</th>
<th>No</th>
<th>N/A</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Has the Agency/state entity obtained approval from Department of General Services Procurement Division (DGS/PD) or Statewide Technology Procurement Division (STPD) to use an alternative evaluation model other than a 50/50 cost split? If “Yes,” attach approval below. Attachment: (File Attachment) If “Yes” or “No,” below provide a brief description of the evaluation criteria proposed:</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td>2. Has the Agency/state entity received signed confidentiality statements from all project participants (internal and external)?</td>
<td>☐</td>
<td>☐</td>
<td></td>
</tr>
<tr>
<td>3. Has the Agency/state entity received signed conflict of interest statements from all project participants (internal and external)?</td>
<td>☐</td>
<td>☐</td>
<td></td>
</tr>
<tr>
<td>4. Has the Agency/state entity obtained an exemption from the Disabled Veteran Business Enterprise (DVBE) participation requirements and/or the DVBE participation incentive through an approved DVBE Waiver? If “Yes,” attach the waiver below. Attachment: (File Attachment) If “No,” provide a brief explanation below:</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td>5. Does the Agency/state entity’s solution requirements ensure compliance with the Information Technology Accessibility Policy (SAM Section 4833)?</td>
<td>☐</td>
<td>☐</td>
<td></td>
</tr>
<tr>
<td>6. Has the Agency/state entity completed and received approval of the SIMM Section 71 Certification of Compliance with IT Policies? If “Yes,” attach the approved certification below. Attachment: (File Attachment)</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td>7. Has the Agency/state entity completed and received approval of a personal services contracts justification (Government Code Section 19130)? If “Yes,” attach the approved justification below. Attachment: (File Attachment)</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
</tr>
</tbody>
</table>
Ask for Help with Small Business and DVBE Requirements. Small Business and Disabled Veteran Business Enterprise (SB/DVBE) participation requirements can be confusing. See your department’s SB/DVBE advocate.
• Have necessary procurement steps been executed?
• Have applicable procurement administrative documents been submitted?
**3.12 Solicitation Readiness**

**Intent:** Determine solicitation readiness and gauge the agency/state entity’s progress towards completing the solicitation template.

**Outcome:** The project has documented the status of the Bidder’s Library, evaluation methodology, selection criteria, cost worksheet, as well as bidder and key staff qualifications and references.

Once approval of Stage 3 Part A is received, the project is able to move forward to Stage 3 Part B.
### 3.12 Solicitation Readiness

<table>
<thead>
<tr>
<th>Question</th>
<th>Yes</th>
<th>No</th>
<th>N/A</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Has the Agency/state entity started development of a Bidder’s Library?</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td>2. What evaluation methodology was selected for the primary solicitation?</td>
<td>☐</td>
<td>☐</td>
<td>Select...</td>
</tr>
<tr>
<td>Explain the rationale for selection below:</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>3. Has the Agency/state entity started development of the evaluation (and selection) criteria for the primary solicitation?</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td>4. Has the Agency/state entity started development of the cost worksheets as part of the evaluation for the solicitation?</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td>5. Has the Agency/state entity started development of the bidder and key staff qualifications as part of the evaluation for the solicitation?</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td>If “N/A,” briefly explain below why bidder and key staff qualifications will not be included in the evaluation for the solicitation:</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>6. Has the Agency/state entity started development of the bidder and key staff references as part of the evaluation for the solicitation?</td>
<td>☐</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td>If “N/A,” briefly explain below why bidder and key staff references will not be included in the evaluation for the solicitation:</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
A Complete Bidder’s Library Is Essential. The Bidder’s Library documents provide all the information bidders need to effectively scope and price the proposed solution and services. Examples include:

- System architecture designs
- Current or proposed system drawings
- Any maps or facility layouts
- As-is and To-be business process workflows
• Does the submission indicate a readiness to continue solicitation development?
• Have key activities and tasks been completed such as the bidders library, evaluation methodology, cost worksheets, etc.?
**Intent:** Identify any changes to the agency contact information and project plans since approval of the Part A submission.

**Outcome:** Submission information is accurate and up-to-date.
### 3.13 General Information

**Agency or State Entity Name:**

**Organization Code:**

**Proposal Name:**

**Department of Technology Project Number:** 0000-000

### 3.14 Part B Submittal Information

**Contact Information:**

- **Contact First Name:**
- **Contact Email:**
- **Contact Phone Number:** (000) 000-0000

**Part B Submission Date:**

**Part B Submission Type:**

- New Submission
- Updated Submission (Pre-Approval)
- Updated Submission (Post-Approval)
- Withdraw Submission

**Reason:** Select...

If “Other,” specify:
### 3.13 General Information & 3.14 Part B Submittal Information

#### Part B Sections Updated (For Updated Submissions only, check all that apply)

- [ ] 3.13 General Information
- [ ] 3.14 Part B Submittal Information
- [ ] 3.15 Solicitation Package and Evaluation Readiness
- [ ] 3.16 Public Contract Code (PCC) 6611 Readiness
- [ ] 3.17 Protest Processes
- [ ] 3.18 Project Management Planning
- [ ] 3.19 Staffing Allocation
- [ ] 3.20 Final Solicitation Package Submission

#### Part B Summary of Changes:

### Part B Project Approval Executive Transmittal

**Attachment:** (File Attachment)

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

<table>
<thead>
<tr>
<th>Condition #</th>
<th>Condition Category</th>
<th>Condition Sub-Category</th>
<th>Condition</th>
<th>Assessment</th>
<th>Agency/state Entity Response</th>
<th>Status</th>
<th>If “Other,” specify:</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

#### Department of General Services (DGS) Delegated Purchasing Authority:

- [ ] Over
- [ ] Under
- [ ] No Procurement

List conditions from previous stages
Intent: Ensure that the solicitation package contains accurate and viable information allowing Agency/state entity to maintain efficiency, scope control, and retain a high degree of quality documentation.

Outcome: A thorough solicitation package leading to a successful procurement outcome.
3.15 Solicitation Package and Evaluation Readiness

1. Check all sections of the SIMM Section 195 Statewide Technology Procurement Division (STPD) Solicitation Template completed and reviewed for quality assurance:

<table>
<thead>
<tr>
<th>Part 1:</th>
<th>Part 2:</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Introduction</td>
<td>Appendix A, Statement of Work</td>
</tr>
<tr>
<td>2. Bidding Instructions</td>
<td>STD 213, Standard Agreement</td>
</tr>
<tr>
<td>3. Administrative Requirements</td>
<td>Bidder Qualifications Forms</td>
</tr>
<tr>
<td>4. Bid Requirements</td>
<td>Bidder Reference Forms</td>
</tr>
<tr>
<td>5. Cost</td>
<td>Staff Qualifications Forms</td>
</tr>
<tr>
<td>6. Proposal/Bid Format and Submission Requirements</td>
<td>Staff Reference Forms</td>
</tr>
<tr>
<td>7. Evaluation</td>
<td>Cost Worksheets</td>
</tr>
<tr>
<td>8. Informational Attachments</td>
<td>Bidder’s Library</td>
</tr>
<tr>
<td></td>
<td>Functional/Non-functional Requirements</td>
</tr>
</tbody>
</table>

2. Describe the breakdown of the total evaluation score to be awarded (point/score) and how the score will be allotted, below:

<table>
<thead>
<tr>
<th>Scoring and Point Distribution</th>
</tr>
</thead>
<tbody>
<tr>
<td>Evaluation Area</td>
</tr>
</tbody>
</table>

Insert Evaluation Area

3. Is the Bidder’s Library complete and ready for vendor access?  
4. Does the Agency/state entity anticipate that any confidential information will be posted in the Bidder’s Library?  
5. Has the Agency/state entity tested and validated the evaluation methodology, points, and/or
Stage 3 Solution Development (Part B)

6. Has the Agency/state entity completed development of the bidder and key staff qualifications and the bidder and key staff references?  
   If “Yes,” select the approach that will be used to validate the references submitted below:  
   Select...

7. Are all key stakeholders (executive sponsors, business and IT project team, and procurement team) knowledgeable and committed to the evaluation methodology for the solicitation?  

8. Will the Agency/state entity require the bidder to demonstrate any solution requirements?  
   If “Yes,” attach the demonstration script below.  
   Attachment: (File Attachment)

9. Have changes been made to the solicitation package (e.g., solution requirements, cost worksheets, evaluation methodology, terms, SOW) as a result of the Statewide Technology Procurement Division (STPD) Pre-Solicitation process?  
   If “Yes,” explain changes below:
Graduate Essential Practices
Solicitation Package & Evaluation Readiness

Work closely with your assigned procurement official. They can assist you with obtaining all the information you need in order to complete your solicitation package for submission.

Ensure that all key stakeholders are involved in evaluation methodology development. An evaluation methodology is the prescribed criteria that will be applied and used to determine the basis for bidder selection and award. It provides for accurate evaluation of the bidder proposal and represents key areas of importance to the agency/state entity.

The CDT Pre-Solicitation process can be considered a “dry run”. This process provides the vendor community with an opportunity to review the draft solicitation and provide meaningful input prior to the formal release.
3.15 Part B Solicitation Package and Evaluation Readiness

• Does the solicitation package include all the information necessary to complete the procurement?
• Is the bidder’s library complete?
• Has the evaluation methodology been determined?
3.16 Public Contract Code (PCC) 6611 Readiness

**Intent:** To communicate to CDT whether or not the department has received approval to utilize PCC 6611, if applicable.

**Outcome:** The CDT and the department both understand that negotiation will be used so that they can both plan and resource appropriately, if applicable.
3.16 Public Contract Code (PCC) 6611 Readiness

1. Has the Agency/state entity received approval from Department of General Services (DGS) or the Department of Technology to utilize PCC 6611? If “Yes,” attach a preliminary draft of the negotiation plan and the approved form (GSPD 13-003) below:
   Attachment: (File Attachment)

Use DGS’s Negotiation Process Guide. Click on “Chapter 2 – Procurement Planning”, then section 2.C5.0.

Know who will be negotiating.
California Department of Technology (CDT) is the only state entity with authority to negotiate. Contact your CDT PAL Manager to get help with negotiations.

Know the acceptable reasons to go into negotiations.
(1) The business need or purpose of a procurement or contract can be further defined as a result of a negotiation process.
(2) The business need or purpose of a procurement or contract is known by the department, but a negotiation process may identify different types of solutions to fulfill this business need or purpose.
(3) The complexity of the purpose or need suggests a bidder’s costs to prepare and develop a solicitation response are extremely high.
(4) The business need or purpose of a procurement or contract is known by the department, but negotiation is necessary to ensure that the department is receiving the best value or the most cost-efficient goods, services, information technology, and telecommunications.
• Has CDT given approval to use PCC 6611 and has a CDT lead negotiator been assigned to work with you?
• Is the 6611 approval attached to the submission?
• Is the department prepared for negotiations?
3.17 Protest Processes

**Intent:** Ensure that the department has addressed the need for a protest process and has effectively planned to support the process, if applicable.

**Outcome:** The department has a defined, appropriate protest process in their solicitation that is sufficiently planned for, if applicable.
3.17 Protest Processes

1. Select the protest process being utilized for the primary solicitation:
   - Alternative Protest Process (APP) – if selected, attach below:  
   - Traditional Protest Process
   - Not Applicable (N/A) – if selected, specify below:

   Attachment: (File Attachment)

If the protest process is “N/A” for the solicitation, provide an explanation below:
Knowing the differences between the Alternative Protest Process (APP) and Traditional Protest Process will assist you in knowing which is right for your procurement. Review PCC 12102.2(g) and PCC 12125 et. Seq. and State Contracting Manual (Volume 3, Chapter 7) for each process and discuss with your assigned procurement official.
Review Criteria: Section 3.17 Protest Processes

- Has a protest process been identified for the solicitation, if applicable?
- Are necessary approvals from DGS and CDT attached?
Pre-Solicitation Release Process

1. Agency completes and receives approval of Stage 3 Part A
2. Agency completes and submits a draft of Stage 3 Part B
3. CDT releases pre-solicitation
4. Agency updates Stage 3 Part A to reflect any changes
5. Agency revises Stage 3 Part B to be final and submits for approval
3.18 Project Management Planning

**Intent:** Ensure that there are documented plans to effectively manage the project.

**Outcome:** CDT can gain confidence that the project has thought through how to effectively manage the project and reduce risk.
### 3.18 Project Management Planning

<table>
<thead>
<tr>
<th>Plan</th>
<th>Yes</th>
<th>No</th>
<th>N/A</th>
</tr>
</thead>
<tbody>
<tr>
<td>Project Management Plan</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Change Control Management Plan</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Configuration Management Plan</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Data Management Plan</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Maintenance &amp; Operations (M&amp;O) Transition Plan</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Procurement Management Plan</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Quality Management Plan</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Testing Master Plan</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Some plans are referenced for the first time in PAL.
Essential Practices

3.18 Project Management Planning

What Responses Mean:

• “Yes”: The plan is complete and has been internally approved
• “No”: It is understood that the plan is needed, but it has not yet been completed/ internally approved
• “N/A”: The plan is not needed.

**An N/A entry requires an explanation for why the plan is not needed in a clear and concise manner.

Talk with your
CDT PAL Manager about planning!

Please Remember:

• Align plans with the CA-PMF
• Make sure project plans are appropriate for the scope of the project and your state entity
• Completion of certain plans may become conditions of stage approval
Review Criteria: 3.18 Project Management Planning

- CDT will review project management plans based upon the size and complexity of the project
- Explanations will be reviewed for thoughtful analysis for plans considered “not applicable”
- Consider whether the plans are consistent with the solicitation document
3.19 Staffing Allocation

**Intent:** Ensure that the identified roles and responsibilities that are needed for the project have been identified, assigned to individuals, and any gaps have been identified with a plan to deliver the required resources.

**Outcome:** A thorough project staffing strategy that helps ensure a successfully executed procurement and project.
3.19 Staffing Allocation

STAFF PLANNING THROUGH THE STAGES

S1 What Functions Are Needed To Plan my Project?

S2 What Roles Are Needed To Support the Recommended Alternative?

S3 How Will My Resources Implement the Recommended Alternative?
### 3.19 Staffing Allocation

<table>
<thead>
<tr>
<th>Project Team Role</th>
<th>Select...</th>
<th>If “Other,” specify:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Quantity</td>
<td>%</td>
<td></td>
</tr>
<tr>
<td>Level of Participation</td>
<td>Select...</td>
<td>If “Other,” specify:</td>
</tr>
<tr>
<td>Classification (State Resources Only)</td>
<td>Select...</td>
<td>If “Other,” specify:</td>
</tr>
<tr>
<td>Source</td>
<td>Select...</td>
<td></td>
</tr>
<tr>
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Insert Project Team Role

Talk with your PAL Manager. For example, if you have lots of project staff to enter in 3.19, then talk to your PAL manager about attaching it to the Stage 3 section 3.20 instead.
Essential Practices
3.19 Staffing Allocation

Form Completion Tips:
- Speak with CDT on exceptions and request examples.

Things To Consider:
- For existing staff, evaluate skill sets for filling each role
- If participants are part-time, strategize for workload balance
- More detail is expected regarding procurement-related staffing assignments

Analysis Tips:
- Create a spreadsheet to identify each participant, assigned role(s), level of participation, classification, and source of the position
- Make sure to align with the FAWs
- Refer to CA-PMF for guidance
- Remember every project is different!
Review Criteria: 3.19 Staffing Allocation

- Staffing allocations will be reviewed for alignment with project plans, FAWs, and BCPs.
- Staffing roles will be reviewed for alignment with the Stage 2 section 2.12 Staffing Plan.
- Key roles will be evaluated for reasonableness given the size and complexity of the project.
3.20 Final Solicitation Package Submission

**Intent:** Formal submission of Stage 3 Solution Development Part B focuses on the development of the solicitation based on information developed in Stage 2 and Stage 3.

**Outcome:** Successful submission of Stage 3 Part B includes the applicable project management elements as well as a finalized solicitation.
3.20 Final Solicitation Package Submission

Attachment: (File Attachment)
A final solicitation package must contain the following:

- Completed & final STP solicitation template (including identified Key Action Dates)
  - Statement of Work
  - Detailed Solution Requirements
  - Bidder Qualifications
  - Staff Qualifications
  - Evaluation Criteria & Methodology
- Solicitation method to be used to procure the solution
Stakeholder involvement is crucial. Have all project Core Team members participated in the development of the solicitation documents, and reviewed the entire solicitation and all related documents? Core Team involvement is crucial in assuring that all department needs are contained in the final solicitation package.
• Is the final solicitation package complete?
What We Covered Today…

• This training covered
  – PAL’s role in IT Project Delivery
  – Role of “Critical Partners” and “Core Team” in PAL
  – Stage 3 Preliminary Assessment
  – Stage 3 Solution Development (Part A & B)
Stage 3 Q&A

Questions?

Ask The Experts
Appendix 1

Tools & Resources
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# Tools & Resources 2

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<tr>
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<td>Click on “Chapter 2 – Procurement Planning”. Then find 2.C5.0 and click on the link to the Guide there.</td>
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Appendix 2

Roles & Responsibilities
• Program team members should be Subject Matter Experts (SMEs), in the program areas that have the business need.
  – This person should know the resources and functions of the program, including program policy and processes.

• Resources the Program person should bring to the team include:
  – Procedural manuals
  – Relevant policy interpretations
  – A working knowledge of the business process flows
Administration & Procurement

• Administration is a broad area that captures a wide range of functions. Common areas that may be tapped include:
  – Accounting
  – Facilities
  – Contract Management
  – Human Resources

• The Administration team members would bring knowledge and resources such as:
  – Organizational charts
  – Duty statements
  – Contract management knowledge
Procurement is a specialized area that captures functions and duties related to:

- Conducting market research
- Determining procurement approach
- Developing solicitations
- Overseeing overall procurement activities

The procurement team members would bring knowledge and resources such as:

- Market research assistance
- Procurement approach options
- Costing models
- Evaluation methodology
Project Management

• The Project Management team member is responsible for:
  – Documenting the analysis and planning activities that the project team is doing, including mapping out a schedule
  – Creating methods and processes to manage the proposal development and the project

• CDT expects that a Project Manager be a core team member from S2AA onward, where organizational capacity exists.
IT System Support

• IT System Support is the custodian of the existing data systems.
  – IT is on the Core Team and at the table, but the Program area drives the effort.

• IT System Support team members are responsible for:
  – Serving as SMEs for the technical solution
  – Bringing documentation of the existing system
  – Serving as the liaison with the Statewide Data Center
  – Assisting in estimating IT related project costs for development and infrastructure
  – Maintaining the new solution
• Information Security has both a business and technical focus.
• The Information Security team member brings:
  – Knowledge of the information security policies, standards, and controls required based on information classification and system categorization
  – Applies these information security policies and standards to the proposed solution
Enterprise Architecture

- Enterprise Architecture (EA) focuses on the business and ways technology may be used to meet business needs.
- The EA team member is expected to bring knowledge of:
  - The business
  - Business requirements
  - State entity EA practice and policies
  - Statewide EA Practice and Program
  - Appropriate governance and standards
The Budget Office team member serves as lead in the development of the Financial Analysis Worksheets (FAWs) included in PAL Stage 2. The Budget Office team member will bring knowledge of:

- State budget processes
- Budget timelines
- Cost estimation methodologies
Thank You!

PAL Training Team

Contact Us @
CIOPALTraining@state.ca.gov