

# Stage 3 Solution Development, Part A

 Department of Technology, SIMM 19C.3 (Rev. 2.5, July/2021)

3.4 General Information

Agency or State Entity Name: Choose an item.

If agency/entity not in list, enter here: Click or tap here to enter text.

Organization Code: Choose an item.

Proposal Name: Click or tap here to enter text.

Department of Technology Project Number (0000-000): Click or tap here to enter text.

* 1. Part A Submittal Information

Contact Information

Contact First Name: Click or tap here to enter text.

Contact Last Name: Click or tap here to enter text.

Contact Email: Click or tap here to enter text.

Contact Phone Number: Click or tap here to enter text.

**Part A Submission Date**: Click or tap to enter a date.

**Part A Submission Type**: Choose an item.

If “Withdraw” is specified, select reason: Choose an item.

 If “Other,” specify reason: Click or tap here to enter text.

**Part A Sections Updated** (For Updated Submissions only, include all that apply)

List of Sections updated: Click or tap here to enter text.

**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 changes made: Click or tap here to enter text.

**Part A Project Approval Executive Transmittal**

Include Transmittal as an attachment to your **email** submission.

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

Condition #: Click or tap here to enter text.

Condition Category: Choose an item.

If “Other,” specify: Click or tap here to enter text.

Condition Sub-Category: Choose an item.

If “Other,” specify: Click or tap here to enter text.

Condition: Click or tap here to enter text.

Assessment: Choose an item.

If “Other,” specify: Click or tap here to enter text.

Agency/State Entity Response: Click or tap here to enter text.

Status: Choose an item.

If “Other,” specify: Click or tap here to enter text.

TIP: Copy and paste to add Conditions as needed.

TIP: Throughout this document, you may use **Ctrl+c** and **Ctrl+v** to copy and paste sections.

* 1. Procurement Profile

3.6.1 Solicitation Identifier

Choose an item.

Will this procurement be over or under the Department of General Services (DGS) Delegated Purchasing Authority? Choose an item.

Solicitation Title: Click or tap here to enter text.

3.6.2 Solicitation Method

**Solicitation Method:** Choose an item.

If “Other,” specify: Click or tap here to enter text.

**Anticipated Amount:** Click or tap here to enter text.

**Conducted By:** Choose an item.

If “Other,” specify: Click or tap here to enter text.

**Development Status:** Choose an item.

**Solicitation Number:** Click or tap here to enter text.

3.6.3 Procurement Scope Statement

Click or tap here to enter text.

3.6.4 Solicitation Contact

Contact First Name: Click or tap here to enter text.

Contact Last Name: Click or tap here to enter text.

Contact Email: Click or tap here to enter text.

Contact Phone Number: Click or tap here to enter text.

3.6.5 Anticipated length of Contract

Contract Start Date: Click or tap to enter a date.

Contract End Date: Click or tap to enter a date.

Optional Years:

Contract Start Date: Click or tap to enter a date.

Contract End Date: Click or tap to enter a date.

TIP: Copy and paste to add Optional Years, Contract Start and End Dates as needed.

3.6.6 Anticipated Solicitation Key Action Dates (Primary solicitation only)

**Activity:** Choose an item.

If “Other” is selected, specify: Click or tap here to enter text.

**Start Date:** Click or tap to enter a date.

**End Date:** Click or tap to enter a date.

**Number of Business Days:** Click or tap here to enter text.

TIP: Copy and paste to add the Solicitation Key Action Dates Activities, Start Date, End Date, and Number of Business Days.

TIP: Copy and paste to add Ancillary procurement(s) from Subsections 3.6.1 to 3.6.6 as needed.

* 1. Stage 3 Solution Requirements

3.7.1 Stage 3 Solution Requirements Template

Attach the completed, updated Stage 3 Solution Requirements Template to the email submission.

3.7.2 Stage 3 Requirements Count

**Total Detailed Functional Requirements**: Click or tap here to enter text.

**Total Detailed Non-Functional Requirements**: Click or tap here to enter text.

**Total Detailed Project/Transition Requirements**: Click or tap here to enter text.

**Detailed Requirements Grand Total**: Click or tap here to enter text.

3.7.3 Stage 2 Mid-Level Solution Requirement Changes

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? Choose an item.

2. Since approval of the Stage 2 Alternatives Analysis, has the agency/state entity modified (changed or deleted) any mid-level solution requirements? Choose an item.

If response to question 1 or 2 is “Yes”:

Enter the percentage of change (%): Click or tap here to enter text.

Describe 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: Click or tap here to enter text.

3.7.4 To-Be Business Process Workflow (if applicable)

Attach the updated To-Be Workflow(s) to the submission.

If To-Be business process workflow(s) is not attached, explain why: Click or tap here to enter text.

* 1. Statement of Work (SOW)

3.8.1 Completed SOW Sections

List the completed SOW Section(s): Click or tap here to enter text.

Reference Stage 3 Preparation Instructions ([SIMM19](https://cdt.ca.gov/policy/simm-19/)-C.1 Instructions).

TIP: Attach completed Statement of Work to the email submission.

Essential SOW Component Detail

**SOW Section 14. Deliverable Acceptance/Rejection Process**

Details related to the procurement deliverable acceptance/rejection process.

 **Responsible:** Choose an item.

 **Performance Deliverable:** Choose an item.

 **Requirement Number:** Click or tap here to enter text.

 **Methodology/Approach:** Choose an item.

 If “Other,” specify: Click or tap here to enter text.

**Solicitation Number (if applicable):** Click or tap here to enter text.

**SOW Section 15. Data Handling and Ownership**

Data handling and ownership details.

 **Responsible:** Choose an item.

 **Performance Deliverable:** Choose an item.

 **Requirement Number:** Click or tap here to enter text.

 **Methodology/Approach:** Choose an item.

 If “Other,” specify: Click or tap here to enter text.

**Solicitation Number (if applicable):** Click or tap here to enter text.

**SOW Section 17. Security – Part 1**

Details related to security and privacy controls and plan(s).

 **Responsible:** Choose an item.

 **Performance Deliverable:** Choose an item.

 **Requirement Number:** Click or tap here to enter text.

 **Methodology/Approach:** Choose an item.

 If “Other,” specify: Click or tap here to enter text.

**Solicitation Number (if applicable):** Click or tap here to enter text.

**SOW Section 17. Security – Part 2**

Details related to the National Institute of Standards and Technology (NIST) 800-53 controls.

 **Responsible:** Choose an item.

 **Performance Deliverable:** Choose an item.

 **Requirement Number:** Click or tap here to enter text.

 **Methodology/Approach:** Choose an item.

 If “Other,” specify: Click or tap here to enter text.

 **Solicitation Number (if applicable):** Click or tap here to enter text.

**SOW Section 17. Security – Part 3**

System Security Plan details.

 **Responsible:** Choose an item.

 **Performance Deliverable:** Choose an item.

 **Requirement Number:** Click or tap here to enter text.

 **Methodology/Approach:** Choose an item.

 If “Other,” specify: Click or tap here to enter text.

 **Solicitation Number (if applicable):** Click or tap here to enter text.

**SOW Section 18. Disaster Recovery**

Disaster recovery (including business continuity/technology recovery) details.

 **Responsible:** Choose an item.

 **Performance Deliverable:** Choose an item.

 **Requirement Number:** Click or tap here to enter text.

 **Methodology/Approach:** Choose an item.

 If “Other,” specify: Click or tap here to enter text.

 **Solicitation Number (if applicable):** Click or tap here to enter text.

**SOW Section 20. Hardware and Software Needs**

System hardware/software needed; price/quantity; physical and performance requirements; etc.

 **Responsible:** Choose an item.

 **Performance Deliverable:** Choose an item.

 **Requirement Number:** Click or tap here to enter text.

 **Methodology/Approach:** Choose an item.

 If “Other,” specify: Click or tap here to enter text.

**Solicitation Number (if applicable):** Click or tap here to enter text.

**SOW Section 23. System Installation**

Solution installation details.

 **Responsible:** Choose an item.

 **Performance Deliverable:** Choose an item.

 **Requirement Number:** Click or tap here to enter text.

 **Methodology/Approach:** Choose an item.

 If “Other,” specify: Click or tap here to enter text.

 **Solicitation Number (if applicable):** Click or tap here to enter text.

**SOW Section 24. System Implementation or Integration**

Solution implementation details.

 **Responsible:** Choose an item.

 **Performance Deliverable:** Choose an item.

 **Requirement Number:** Click or tap here to enter text.

 **Methodology/Approach:** Choose an item.

 If “Other,” specify: Click or tap here to enter text.

 **Solicitation Number (if applicable):** Click or tap here to enter text.

**SOW Section 26. System Testing and Acceptance Procedures**

Details related to solution/testing and acceptance procedures.

 **Responsible:** Choose an item.

 **Performance Deliverable:** Choose an item.

 **Requirement Number:** Click or tap here to enter text.

 **Methodology/Approach:** Choose an item.

 If “Other,” specify: Click or tap here to enter text.

 **Solicitation Number (if applicable):** Click or tap here to enter text.

**SOW Section 27. Transition of Operation to New Contractor or to State**

Details related to the transition of operations to new contractor or state.

 **Responsible:** Choose an item.

 **Performance Deliverable:** Choose an item.

 **Requirement Number:** Click or tap here to enter text.

 **Methodology/Approach:** Choose an item.

 If “Other,” specify: Click or tap here to enter text.

 **Solicitation Number (if applicable):** Click or tap here to enter text.

**Section 28. Knowledge Transfer and/or Training**

Knowledge transfer and/or Training details.

 **Responsible:** Choose an item.

 **Performance Deliverable:** Choose an item.

 **Requirement Number:** Click or tap here to enter text.

 **Methodology/Approach:** Choose an item.

 If “Other,” specify: Click or tap here to enter text.

 **Solicitation Number (if applicable):** Click or tap here to enter text.

**SOW Section 29. Maintenance and Operations (M&O)**

Maintenance and operations details.

 **Responsible:** Choose an item.

 **Performance Deliverable:** Choose an item.

 **Requirement Number:** Click or tap here to enter text.

 **Methodology/Approach:** Choose an item.

 If “Other,” specify: Click or tap here to enter text.

 **Solicitation Number (if applicable):** Click or tap here to enter text.

**SOW Section 32. Warranty**

Warranty details.

 **Responsible:** Choose an item.

 **Performance Deliverable:** Choose an item.

 **Requirement Number:** Click or tap here to enter text.

 **Methodology/Approach:** Choose an item.

 If “Other,” specify: Click or tap here to enter text.

 **Solicitation Number (if applicable):** Click or tap here to enter text.

**SOW Section 33. Service Level Agreements (SLA)**

SLA details.

 **Responsible:** Choose an item.

 **Performance Deliverable:** Choose an item.

 **Requirement Number:** Click or tap here to enter text.

 **Methodology/Approach:** Choose an item.

 If “Other,” specify: Click or tap here to enter text.

 **Solicitation Number (if applicable):** Click or tap here to enter text.

**SOW Section 34. Liquidated Damages**

Provision for liquidated damages; calculation method; compensation proportionate to harm; tied to a contractual requirement; and dispute process.

 **Responsible:** Choose an item.

 **Performance Deliverable:** Choose an item.

 **Requirement Number:** Click or tap here to enter text.

 **Methodology/Approach:** Choose an item.

 If “Other,” specify: Click or tap here to enter text.

 **Solicitation Number (if applicable):** Click or tap here to enter text.

TIP: Copy and paste row to add SOW Section(s) as needed.

3.8.2 SOW Security Attributes

1. Does the SOW provide details on the information security and privacy controls that are required (based on the NIST 800-53 controls)? Choose an item.

2. Does the SOW define how the information security and privacy controls will be procured and implemented? Choose an item.

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

* 1. Proposed Procurement Planning and Development Dates (Primary Solicitation only)

**Activity:** Choose an item.

**Start Date:** Click or tap to enter a date.

**End Date:** Click or tap to enter a date.

**Number of Business Days:** Click or tap here to enter text.

**NOTE**: These dates are for the total procurement timeline and are not only the Key Action Dates.

TIP: Copy and paste to add Activities as needed.

* 1. Procurement Risk Assessments and Dependencies (Primary solicitation only)
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)? Choose an item.

If “Yes,” describe dependencies below: Click or tap here to enter text.

1. 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? Choose an item.
2. Does the agency/state entity intend to maintain ownership of any source code developed for this solution? Choose an item.

If “Yes,” describe below how ownership will be obtained, maintained, and upgraded: Click or tap here to enter text.

1. Will this transaction be financed? Choose an item.

If “Yes,” attach the approved State Financial Marketplace Compliance Certification form and agreement to your email submission.

* 1. Procurement Administrative Compliance Checklist

Questions may not be all-inclusive.

1. Has the agency/state entity obtained approval from Department of General Services Procurement Division (DGS/PD) or Statewide Technology Procurement (STP) to use an alternative evaluation model other than a 50/50 Cost Split? Choose an item.

If “Yes,” attach the approval to your email submission.

If “Yes” or “No,” provide a brief description of the evaluation criteria proposed. Click or tap here to enter text.

1. Has the agency/state entity received signed Confidentiality statements from all project participants (internal and external)? Choose an item.
2. Has the agency/state entity received signed Conflict of Interest statements from all project participants (internal and external)? Choose an item.
3. 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? Choose an item.

If “No,” provide a brief explanation: Click or tap here to enter text.

If “Yes,” attach the waiver to your email submission.

1. Does the agency/state entity’s solution requirements ensure compliance with the Information Technology Accessibility Policy (SAM Section 4833)? Choose an item.
2. Has the agency/state entity completed and received approval of the SIMM Section 71 Certification of Compliance with IT Policies? Choose an item.

If “Yes,” attach the approved certification to your email submission.

1. Has the agency/state entity completed and received approval of a Personal Services Contracts Justification (Government Code Section 19130)? Choose an item.

If “Yes,” attach the approved justification to your email submission.

1. Will the agency/state entity’s solicitation ensure compliance with Productive Use requirements? Choose an item.
	1. Solicitation Readiness
2. Has the agency/state entity started development of a Bidder’s Library? Choose an item.
3. What evaluation methodology was selected for the primary solicitation? Choose an item.

Explain the rationale for the selection: Click or tap here to enter text.

1. Has the agency/state entity started development of the Evaluation (and Selection) Criteria for the primary solicitation? Choose an item.
2. Has the agency/state entity started development of the Cost Worksheets as part of the evaluation for the solicitation? Choose an item.
3. Has the agency/state entity started development of the bidder and key staff qualifications as part of the evaluation for the solicitation? Choose an item.

If “Not applicable,” briefly explain why the bidder and key staff qualifications will not be included in the evaluation for the solicitation: Click or tap here to enter text.

1. Has the agency/state entity started development of the bidder and key staff references as part of the evaluation for the solicitation? Choose an item.

If “Not applicable,” briefly explain why the bidder and key staff references will not be included in the evaluation for the solicitation: Click or tap here to enter text.

TIP: Review the Gate 3 Solution Development Evaluation Scorecard, Part A, to ensure a complete submission. [SIMM 19](https://cdt.ca.gov/policy/simm-19/)C.7 GATE 3 Evaluation-Scorecard Part-A.

TIP: Review Stage 3 Part A with your Project Approval and Oversight Manager prior to formal submittal.

**End of agency/state entity document.**

**When ready, submit Stage 3 Part A and all attachments in an email to** ProjectOversight@state.ca.gov.

S3SD Part A – California Department of Technology Use Only

**Original “New Submission” Date:** Click or tap to enter a date.

**Form Received Date:** Click or tap to enter a date.

**Form Accepted Date:** Click or tap to enter a date.

**Form Status Select :** Choose an item.

**Form Status Date:** Click or tap to enter a date.