

# Gate 3 Solution Development Evaluation Scorecard, Part A

California Department of Technology, SIMM 19C.7 (Rev. 2.5, July/2021)

Department of Technology Project Number: Click or tap here to enter text.

Project Name: Click or tap here to enter text.

Version: Click or tap here to enter text.

## Submittal Completeness

Stage 3 Preliminary Assessment: Choose an item.

3.4 General Information: Choose an item.

3.5 Part A Submittal Information: Choose an item.

3.6 Procurement Profile: Choose an item.

3.7 Stage 3 Solution Requirements: Choose an item.

3.8 Statement of Work (SOW): Choose an item.

3.9 Proposed Procurement Planning and Development Dates: Choose an item.

3.10 Procurement Risk Assessments and Dependencies: Choose an item.

3.11 Procurement Administrative Compliance Checklist: Choose an item.

3.12 Solicitation Readiness: Choose an item.

## Office of Statewide Project Delivery (OSPD) Project Approvals and Oversight (PAO) Instructions:

The statements below will help to ensure that all information is provided and complete. Any information that results in a deficiency will need to be corrected by the submitting agency/state entity.

## Stage 3 Preliminary Assessment

1. The Stage 3 Preliminary Assessment was completed.

Choose an item.

Click or tap here to enter text.

## 3.5 Part A Submittal Information

1. Contact information, submission date, and submission type are identified.

Choose an item.

Click or tap here to enter text.

1. For Updated Submission (Post-Approval)/ (Pre-Approval), the sections updated are identified and summary of the changes is provided.

Choose an item.

Click or tap here to enter text.

1. The Project Approval Lifecycle Executive Transmittal was signed off by the authorized staff.

Choose an item.

Click or tap here to enter text.

1. Condition(s) from prior Stages/Gates 1 and 2 are adequately addressed in Section 3.5 with an appropriate response and clearly define an action status. Choose an item.

Click or tap here to enter text.

## 3.6 Procurement Profile

1. For Section 3.6.1, a Solicitation Identifier box has been selected:

Choose an item.

Click or tap here to enter text.

1. For Section 3.6.1, if “No Procurement” is selected, an explanation is provided in Section 3.6.3 Procurement Scope Statement of why a procurement is not needed (e.g., Non-competitively Bid Contract, Interagency Agreement, or in-house staff used):

Choose an item.

Click or tap here to enter text.

1. For Section 3.6.2, the solicitation method, anticipated amount, conducted by, and development status have been entered. The solicitation number is optional data.

Choose an item.

Click or tap here to enter text.

1. For Section 3.6.2, the anticipated amount provided is consistent with the amount(s) included in the Financial Analysis Worksheets (FAWs)

Choose an item.

Click or tap here to enter text.

1. For Section 3.6.3, the statement supports the current project/procurement and includes the project needs, products, deliverables, services, and any high level exclusions.

Choose an item.

Click or tap here to enter text.

1. For Section 3.6.4, the solicitation contact information is provided (e.g., first name, last name, email and phone).

Choose an item.

Click or tap here to enter text.

1. For Section 3.6.5, the Anticipated Length of Contract start and end dates have been entered and are consistent with the current project/procurement plan identified in Stage 2, Section 2.11.6 High Level Proposed Project Schedule.

Choose an item.

Click or tap here to enter text.

1. For Section 3.6.6, all anticipated solicitation key action dates (KADs), activities, and timeframes appear to be reasonable for the size and scope for the procurement.

Choose an item.

Click or tap here to enter text.

1. For Section 3.6.6, the anticipated KAD activities are in alignment with the planned implementation date.

Choose an item.

Click or tap here to enter text.

## 3.7 Stage 3 Solution Requirements

1. For Section 3.7.1, the Stage 3 solution requirements are attached and all fields have data entries.

Choose an item.

Click or tap here to enter text.

1. For Section 3.7.1, the Stage 3 solution requirements provide traceability to a Stage 2 mid-level requirement.

Choose an item.

Click or tap here to enter text.

1. For Section 3.7.1, the Stage 3 solution requirements are complete, testable, unambiguous, and valid.

Choose an item.

Click or tap here to enter text.

1. For Section 3.7.1, the Stage 3 project transitional requirements trace to the SOW (e.g., testing, training).

Choose an item.

Click or tap here to enter text.

1. For Section 3.7.1, the Stage 3 requirements trace to the cost worksheet.

Choose an item.

Click or tap here to enter text.

1. For Section 3.7.2, the total detailed functional, non-functional, project/transition requirements with a grand total was entered. The totals entered match the Stage 3 solution development detailed requirements provided.

Choose an item.

Click or tap here to enter text.

1. For Section 3.7.3, if response is “Yes” to Section 3.7.3, Question 1 or 2, the percentage of change was entered and nature and scope of change(s), impact(s) to recommended solution were described. The changes and/or impacts to scope, schedule, and costs align with the Stage 1 Business Analysis Section 1.6 and S2AA Sections 2.11, 2.12, 2.13, and 2.14.

Choose an item.

Click or tap here to enter text.

1. For Section 3.7.4, the To-Be Business Process Workflow has been attached for custom or Modified off-the-shelf (MOTS) solutions and includes the applicable business process, business rules, trigger events, results, and data.

If the workflow is not attached, an explanation is provided.

Choose an item.

Click or tap here to enter text.

## 3.8 Stage 3 Solution Requirement

1. For Section 3.8, the completed SOW is attached.

Choose an item.

Click or tap here to enter text.

1. For Section 3.8.1, the sections included in the SOW are included and the SOW provides details for the applicable sections.

Choose an item.

Click or tap here to enter text.

1. For Section 3.8.1, the SOW component detail is completed for each applicable SOW section and identifies responsible party and whether it is a performance deliverable. If “Performance Deliverable,” indicates “Yes,” then the corresponding requirement number(s) and methodology/approach are also included.

Choose an item.

Click or tap here to enter text.

1. For Section 3.8.2, Question 1:

* If “Yes,” the SOW provides details regarding information security and privacy, as required and based on NIST 800-53 controls.
* If “No,” the California Information Security Office (California ISO) and OSPD validate that the items are not required or are in progress (to be completed prior to solicitation release).

Choose an item.

Click or tap here to enter text.

1. If Section 3.8.3, Question 2:

* If “Yes,” the SOW defines how information security and privacy controls will be procured and implemented.
* If “No,” the California ISO and OSPD validate that the items are not required or are in progress (to be completed prior to solicitation release).

Choose an item.

Click or tap here to enter text.

1. If Section 3.8.3, Question 3:

* If “Yes,” the SOW includes provisions for creating the System Security Plan.
* If “No,” the California ISO and OSPD validate that the items are not required or are in progress (to be completed prior to solicitation release).

Choose an item.

Click or tap here to enter text.

## 3.9 Proposed Procurement Planning and Development Dates

1. The proposed high level planning and development activities for Stages 3 and 4 are entered:
   * Planning and Development Phase - Mature Mid-level Requirements
   * Planning and Development Phase - SOW Development
   * Solicitation Development Phase
   * Solicitation Development Phase - Solicitation Sections
   * Solicitation Development Phase - Develop Evaluation Team Procedures
   * Solicitation Development Phase - Release Pre-Solicitation to Vendor Community
   * Procurement Phase
   * Post Award Activities.

Choose an item.

Click or tap here to enter text.

1. Stage 3 and 4 activities align with the Stage 2 (Section 2.11.6 High Level Proposed Project Schedule), appear to be achievable, and provide a realistic number of calendar days for each activity.

Choose an item.

Click or tap here to enter text.

## 3.10 Procurement Risk Assessments and Dependencies

1. Section 3.10, Question 1:

* If “Yes,” the external dependencies are described and include any the potential negative impact to the procurement process.
* If “No,” no external dependencies exist (e.g., no ancillary contracts; no other local, state or federal legislation or interfaces, etc.).

Choose an item.

Click or tap here to enter text.

2. Section 3.10, Question 2:

* If “Yes,” the Risk Criteria Guidelines analysis per SCM Vol. 3, Ch. 4, Sec. 4.B2.13 was completed and incorporates financial protection measures required for the solicitation.
* If “No,” a description is provided that supports why the financial risk protection measures are not needed.

Choose an item.

Click or tap here to enter text.

3. Section 3.10, Question 3:

* If “Yes,” the SOW provides a description on how the ownership will be obtained, maintained, and upgraded (e.g., contractor to place developed source code in escrow).
* If “No,” a description is provided that supports why the source code will not be available or required by the state.

Choose an item.

Click or tap here to enter text.

4. Section 3.10, Question 4:

* If “Yes,” the approved State Financial Marketplace Compliance Certification form and agreement are attached.
* If “No,” the agency/state entity does not intend to finance or lease any assets.
* If “Not applicable,” a procurement is not needed for the project.

Choose an item.

Click or tap here to enter text.

## 3.11 Procurement Administrative Compliance Checklist

1. Section 3.11 Question 1:

* + If “Yes,” the approval letter from DGS/PD or CDT/STP is attached.
  + If “No,” the agency/state entity anticipates using an alternative evaluation model but has not received approval from DGS/PD or CDT/STP. The approval letter must be received prior to Stage 3 Solution Development, Part B approval.
  + If “Not Applicable,” the standard evaluation model or procurement method will be used.

Choose an item.

Click or tap here to enter text.

2. Section 3.11 Question 2:

* If “Yes,” all confidentiality statements have been received from all project participants (internal/external), verified as completed/signed, and placed in procurement file.
* If “No,” the statements must be completed prior to Stage 3 Solution Development, Part A approval.

Choose an item.

Click or tap here to enter text.

3. Section 3.11 Question 3

* If “Yes,” all Conflict of Interest statements have been received from all project participants (internal/external), verified as completed/signed, and placed in procurement file.
* If “No,” the statements must be completed prior to Stage 3 Solution Development, Part A approval.

Choose an item.

Click or tap here to enter text.

4. Section 3.11 Question 4:

* If “Yes,” an approved DVBE participation waiver and/or incentive has been approved, signed, and attached.
* If “No,” the waiver is pending and must be completed prior to release of solicitation.
* If “Not applicable,” the agency/state entity is not seeking an exemption from the DVBE participation requirements and/or DVBE participation incentive.

Choose an item.

Click or tap here to enter text.

5. Section 3.11 Question 5:

* If “Yes,” the solution requirements will ensure compliance with the IT Accessibility Policy (SAM 4833).
* If “No,” the solution requirements to ensure compliance with the IT Accessibility Policy (SAM 4833) must be included in the solicitation requirements prior to Stage 3, Part B approval.

Choose an item.

Click or tap here to enter text.

6. Section 3.11 Question 6:

* If “Yes,” the signed Certificate of Compliance with Policies form (SAM 4832, Illustration 1) for IT procurement $100,000 or more is attached.
* If “No,” the certification is pending and must be completed and included in the procurement file prior to release of solicitation.
* If “Not applicable,” the certification is not required (procurement is valued at less than $100,000).

Choose an item.

Click or tap here to enter text.

7. Section 3.11 Question 7:

* If “Yes,” an approved justification for a personal services contract (GC 19130) is attached.
* If “No,” an approved justification must be submitted prior to contract award.
* If “Not applicable,” the justification is not required.

Choose an item.

Click or tap here to enter text.

8. Section 3.11 Question 8:

* If “Yes,” the language in solicitation complies with productive use requirements (PURs).
* If “No,” compliance with PURs must be included in the solicitation prior to solicitation release.
* If “Not applicable,” the PURs are not required.

Choose an item.

Click or tap here to enter text.

## 3.12 Solicitation Readiness

1. Section 3.12, Question 1:

* If “Yes,” the Bidder’s Library development has been started.
* If “No,” the Bidder’s Library development is in progress and must be completed prior to solicitation release.
* If “Not applicable,” the Bidder’s Library is not anticipated to be needed.

Choose an item.

Click or tap here to enter text.

2. Section 3.12, Question 2:

An evaluation methodology—Value Effective or Lowest Cost is selected and the rationale described for the methodology is acceptable.

Choose an item.

Click or tap here to enter text.

3. Section 3.12, Question 3:

* If “Yes,” the evaluation/selection criteria has been started.
* If “No,” the evaluation/selection criteria development has not been started and must be completed prior to solicitation release. Evaluation areas must be consistent with the contract award objective and the solicitation requirements that are most important to an agency/state entity. Evaluation criteria should be (1) structured to specify the minimum acceptable level and the levels above and below the minimum that ratings can be assigned; (2) developed using precise language that is clearly and easily understood by both the bidders and evaluators; and (3) structured to evaluate substance consistent with the minimum requirements of the Statement of Work (SOW).

Choose an item.

Click or tap here to enter text.

4. Section 3.12, Question 4:

* If “Yes,” the documentation validates that the cost worksheets have been started.
* If “No,” the cost worksheets have not been started and must be completed prior to solicitation release. Cost worksheets must include services, features and costs the bidder must provide for the term of the contract as identified in the SOW. These include (1) mandatory implementation tasks and deliverables and include all identified payment milestones; (2) optional extensions for maintenance and operations are identified and evaluated; (3) unanticipated tasks hourly labor rates are identified; and (4) maintenance and operational ongoing costs should be identified as monthly rates.

Choose an item.

Click or tap here to enter text.

5. Section 3.12, Question 5:

* If “Yes,” the documentation validates that bidder and key staff minimum qualifications have been started that map to the bidder and key staff roles and responsibilities as stated in the SOW.
* If “No,” the bidder and key staff qualifications have not been started and must be completed prior to solicitation release.
* If “Not applicable,” a description is provided that supports why the bidder and key staff qualifications will not be required.

Choose an item.

Click or tap here to enter text.

6. Section 3.12, Question 6:

* If “Yes,” the bidder and key staff reference forms are in progress that validate the required minimum qualifications based on the roles and responsibilities in the SOW.
* If “No,” the bidders and key staff reference forms have not been started and must be completed prior to solicitation release.
* If “Not applicable,” a description is provided that supports why the bidder and key staff reference forms will not be required.

Choose an item.

Click or tap here to enter text.

## Critical Partner Evaluation

### OSPD Project Approvals and Oversight

1. Does the information provided in Stage 3 Solution Development (S3SD), Part A align with the approved Stage 1 Business Analysis (S1BA) (e.g., business problem or opportunity and objectives) and Stage 2 Alternatives Analysis (S2AA) (e.g., mid-level solution requirements, recommended solution, high level proposed project schedule, resource plan, Financial Analysis Worksheets, hosting strategies, data migration/conversion plan)?

Choose an item.

Comments: Click or tap here to enter text.

2 Are there concerns regarding the readiness for S3SD Part A?

Choose an item.

Comments: Click or tap here to enter text.

3. Are there questions outside the S3SD Scorecard for this project that need to be captured and accounted for?

Choose an item.

Comments: Click or tap here to enter text.

### Enterprise Architecture

1. Does the Office of Enterprise Architecture (EA)/OTech agree with the agency/state entity's selection of hosting and services of the proposed solution?

Choose an item.

Comments: Click or tap here to enter text.

1. Does the current architecture and business workflow diagrams provided during Stage 2 sufficiently describe the "As-Is" business and technical architecture?

Choose an item.

Comments: Click or tap here to enter text.

1. Does the solicitation package sufficiently explain the agency/state entity solution expectations?

Choose an item.

Comments: Click or tap here to enter text.

1. Did the agency/state entity modify Stage 3 solution requirements as a result of EA and/or OTech input?

Choose an item.

Comments: Click or tap here to enter text.

1. Did the agency/state entity mitigate risks identified by the EA and/or OTech during solicitation package development/review?

Choose an item.

Comments: Click or tap here to enter text.

6. Has the agency/state entity referenced the SIMM 170A IT Solicitation Documentation and Requirements Guideline and 170B Project Requirements Development Instructions materials during development of requirements in Stage 2 and/or Stage 3?

Choose an item.

Comments: Click or tap here to enter text.

7. Does the solicitation package clearly and correctly describe the business and technical need(s) of the recommended alternative identified in Stage 2?

Choose an item.

Comments: Click or tap here to enter text.

1. Does the solicitation package contain ambiguity (e.g., “robust system” or “user-friendly” requirements, or requirements to provide solution capabilities instead of expected actions) that may impact proposals from the bidding community?

Choose an item.

Comments: Click or tap here to enter text.

9. Is the solicitation package largely paper deliverable - based (e.g., excessive plans in lieu of performance)?

Choose an item.

Comments: Click or tap here to enter text.

10. Are the requirements traceable to expected results?

Choose an item.

Comments: Click or tap here to enter text.

11. Is the architectural vision based on industry standard reference architectures?

Choose an item.

Comments: Click or tap here to enter text.

12. Are there requirements to allow building of shared services from this solution (e.g., if a vendor is providing maintenance services, the department should allow other applications to use services provided by this application/solution)?

Choose an item.

Comments: Click or tap here to enter text.

13. If the solution requires interfacing with external applications, does the solicitation package adequately address the interaction and/or the dependency on the other applications and any potential capacity and support impacts?

Choose an item.

Comments: Click or tap here to enter text.

14. Are the deliverables based on industry standards (e.g., IEEE Standards), when applicable?

Choose an item.

Comments: Click or tap here to enter text.

### California Information Security Office

1. Does the SOW requirements ensure that new or changed system and related processes comply with federal and state Laws, as well as, state policies regarding privacy and confidentiality?

Choose an item.

Comments: Click or tap here to enter text.

1. Does the SOW include requirements for a baseline security and privacy assessment to be performed on this system and related processes?

Choose an item.

Comments: Click or tap here to enter text.

1. Does the SOW include a Privacy Threshold Assessment (PTA) to be performed?

Choose an item.

Comments: Click or tap here to enter text.

1. Does the SOW address any issues or concerns related to the security assessment identified in Stage 2?

Choose an item.

Comments: Click or tap here to enter text.

1. Does the SOW include security and privacy business and technical requirements to ensure compliance with applicable federal and state laws and policies? This includes, but is not limited to, addressing confidentiality, integrity, and availability.

Choose an item.

Comments: Click or tap here to enter text.

### Office of Technology Services (OTech)

1. Does the agency/state entity intend to host or subscribe to OTech offerings as identified in S2AA, Section 2.10.7?

Choose an item.

Comments: Click or tap here to enter text.

1. If the agency/state entity intends to host or subscribe to OTech services, did they consult with OTech regarding the recommended alternative leaving Stage 2 and/or during Stage 3?

Choose an item.

Comments: Click or tap here to enter text.

1. Is the Stage 3/Gate 3 OTech critical partner review, OTech's only engagement thus far with the proposed project?

Choose an item.

Comments: Click or tap here to enter text.

1. Does the agency/state entity's proposed solution include a transition plan in the SOW that impacts OTech? If so, was OTech specifically engaged during the development of this plan?

Choose an item.

Comments: Click or tap here to enter text.

1. If a transition plan that impacts OTech is included, was OTech specifically engaged during the development of this plan?

Choose an item.

Comments: Click or tap here to enter text.

### OSPD Statewide Technology Procurement (STP)

1. Are there concerns regarding readiness for S3SD, Part A?

Choose an item.

Comments: Click or tap here to enter text.

1. Does the service level agreement define the service level priorities and criticality levels?

Choose an item.

Comments: Click or tap here to enter text.

1. Are all the applicable project management planning artifacts included with due dates and milestones for each deliverable?

Choose an item.

Comments: Click or tap here to enter text.

1. Do the SOW tasks and/or deliverables tie to the cost/payment milestones in cost worksheet?

Choose an item.

Comments: Click or tap here to enter text.

1. Does the SOW acceptance criteria define the process and timeframes for the contractor to respond to the state’s acceptance or rejection of each deliverable?

Choose an item.

Comments: Click or tap here to enter text.

1. Are the financial protections (e.g., withholds, progress payments, bond amounts) aligned with the project’s complexity level as defined in SCM Vol. 3, Chapter 4.B2.13?

Choose an item.

Comments: Click or tap here to enter text.

1. Does the SOW define the exit/entry criteria for each phase in the project (e.g., testing, production, go-live)?

Choose an item.

Comments: Click or tap here to enter text.

1. Does the SOW define how deficiencies will be addressed prior to entry into the next project phase?

Choose an item.

Comments: Click or tap here to enter text.

1. Does the SOW define the acceptance criteria for “final” full system acceptance?

Choose an item.

Comments: Click or tap here to enter text.

1. Does the SOW define the state’s tasks, roles, and responsibilities as it relates to the SOW?

Choose an item.

Comments: Click or tap here to enter text.

### Gate 3 Exit Criteria

| **Critical Partner Review** | **Reviewer** | **Date** | **Comments** |
| --- | --- | --- | --- |
| OSPD Project Approvals and Oversight review completed | Click or tap here to enter text. | Click or tap to enter a date. | Click or tap here to enter text. |
| Office of Enterprise Architecture review completed | Click or tap here to enter text. | Click or tap to enter a date. | Click or tap here to enter text. |
| OIS Review Completed | Click or tap here to enter text. | Click or tap to enter a date. | Click or tap here to enter text. |
| OTech review completed | Click or tap here to enter text. | Click or tap to enter a date. | Click or tap here to enter text. |
| OSPD Statewide Technology Procurement review completed | Click or tap here to enter text. | Click or tap to enter a date. | Click or tap here to enter text. |
| OSPD Project Management Office review completed (as a service provider) | Click or tap here to enter text. | Click or tap to enter a date. | Click or tap here to enter text. |
| California Department of Finance review completed | Click or tap here to enter text. | Click or tap to enter a date. | Click or tap here to enter text. |
| Office of Digital Innovation review completed | Click or tap here to enter text. | Click or tap to enter a date. | Click or tap here to enter text. |

### Collaborative Review

Collaborative Review completed: Choose an item.

Date: Click or tap to enter a date.

**Risk**: Choose an item.

If Other is specified: Click or tap here to enter text.

**Agency/State Entity Risk Strategy:** Choose an item.

If Other is specified: Click or tap here to enter text.

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

TIP: Copy and paste for additional Risks, as needed. (copy/paste, Ctrl c & Ctrl v from Risk up to before this line to copy/paste)

### California Department of Technology Decision:

Choose an item.

**Conditions(s)**

**Condition#** Click or tap here to enter text.

**Condition Category:** Choose an item.

**Condition Sub-Category:** Choose an item.

**Condition:** Click or tap here to enter text.

TIP: Copy and paste for additional Conditions, as needed. (copy/paste, Ctrl c & Ctrl v from Condition# up to before this line to copy/paste)

**Rationale for Decision:** Click or tap here to enter text.

## OSPD PAO and STP Acquisition Reviewer

**STP Acquisition Specialist:** Click or tap here to enter text.

**Email:**  Click or tap here to enter text.

**Phone:** Click or tap here to enter text.

**OSPD PAO Manager:**  Click or tap here to enter text.

**Email:**  Click or tap here to enter text.

**Phone:** Click or tap here to enter text.