



Gate 4 Collaborative Review Guidelines

Gate 4: Project Readiness and Approval

The Collaborative Review is designed to validate that the selected solution can successfully achieve the project's business objectives and yield the highest probability of success. This review will assess the results of the solicitation, ensure the Agency/state entity's readiness to execute the project, and establish realistic schedule and cost baselines. In the Gate 4 Collaborative Review, the California Department of Technology (CDT) will discuss deficiencies, provide guidance and recommendations, and come to an agreement on risk mitigation strategies in order to direct the sponsor's focus to matters that should be addressed prior to final approval through the Project Approval Lifecycle (PAL) or monitored as risks in project execution. The Collaborative Review process, in some cases, may dictate going back and performing further analysis before proceeding further. The readiness for project design, development, and implementation activities are also reviewed at this gate

Collaborative Review Participants

Agency/state entity representatives, including:

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

Department of Technology and Critical Partners, including:

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



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Core Review Items

- ◆ Reconfirm underlying business understanding, precision of objectives, commitment of stakeholders, and how expected business outcomes will be measured.
- ◆ Validate key elements in the Stage 4 Project Readiness and Approval, including:
 - Identify and report activities that occurred through the solicitation process (e.g. addenda, compliance, protest, etc.)
 - Identify all contractors/vendors related to the primary and ancillary solicitations
 - Validate that solicitation results will achieve a solution that best addresses the project business problem and/or opportunities
 - Obtain actual data results and compare to projections that were made in previous stages to identify trends and improve future estimates.
 - Discuss the processes, roles and responsibilities of contract management
 - Validate the maturity and readiness of the Agency/state entity to undertake critical project activities (e.g., testing, release management, organizational change management, business process reengineering)
 - Reinforce commitment of stakeholders, state staff, and contractor/vendor resources
 - Validate the Agency/state entity's readiness and preparation to embark on project execution (e.g., experience with system development methodology, communication with external partners, staffing considerations)
 - Articulate schedule of critical path activities and milestones
 - Refine Financial Analysis Worksheets (FAWs) and associated cost estimates
 - Discuss the initiation and/or development status of project management planning documents as identified in Section 4.14 Project Management Planning
 - Document risks identified throughout PAL that will continue into project execution
 - Comply with laws, regulations, and polices

Note: The expected level of detail for the above items corresponds directly with the detail necessary to assess the feasibility of the approach. The focus is on whether the results of the solicitation and project plans best address the business problem and opportunity and if the approach to deliver the solution is valid.



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Objectives

- Approve proposals with an articulated business case, mature and traceable requirements, and a solution that best meets the business goals and objectives stated in the Stage 1 Business Analysis and is the best value to the state
- Guide Agencies/state entities with the knowledge gained through lessons learned from similar initiatives
- Provide guidance and/or instruction on key activities needed to conduct contract management
- Communicate risk mitigation strategies for project design, development, and implementation
- Communicate and confirm ITPOD's oversight role and associated costs
- Communicate conditions of approval, if approved

Inputs

The CDT and Critical Partners will provide a completed Stage 4 Project Readiness and Approval Evaluation Scorecard, which contains recommendations and risk mitigation strategies identified during the Gate 4 review. Conditions of approval and recommendations may include additional work and/or clarification required to obtain Stage 4 approval. In addition to the Evaluation Scorecard prepared by the CDT, Agencies/state entities should be prepared to discuss and provide the following details related to the proposal:

- An elaboration of the Agency/state entity's solicitation results (addenda, protests, negotiations, intended awardee)
- Approach used to determine how and why the intended awardee best meets the project's business objective from Stage 1 Business Analysis and requirements set forth in the Stage 2 Alternatives Analysis and Stage 3 Solution Development
- Information on implementation approach and project baselines, including schedule, cost, project organization, and staff planning
- Refined FAWs [Statewide Information Management Manual (SIMM) 19F] related to contract allocations and budget

Exit Criteria

- Provided all the required information has been submitted, approval through all stages of the PAL is probable
- If the Stage 4 Project Readiness and Approval is approved to proceed, Agency/state entity and CDT agree on a path forward, including deliverable requirements, risk mitigation strategies, etc.



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Review Format

Collaborative Review meeting – Two-hour or up-to half-day workshop sessions typical, depending on the projected items to be discussed.

Outputs

Gate 4 Project Readiness and Approval Evaluation Scorecard from the CDT with one of the following:

- Approved to proceed to project execution (PAL complete)
- Approved to proceed to project execution, with required conditions added to the project risk register
- Not approved to proceed to project execution

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

The CDT will disseminate a formal written confirmation of disposition following the Gate 4 Collaborative Review meeting.