

Solicitation Document Review Workflow for IT Procurements during the Project Lifecycle

**Presented by:
Enterprise Project Management Office
Statewide IT Procurement Office
Statewide Architecture & Engineering Office**

Document History and Distribution

1. Revision History

Revision #	Revision Date	Description of Change	Author
1.0	3/31/2009	Initial Document	Alisa Cutler
1.1	05/05/2010	Update Links	Janet Stewart

TABLE OF CONTENTS

1.	Overview	4
2.	Terms /Acronyms	5
3.	Solicitation Document Review Process Flow	6
4.	Solicitation Document Review, Approval and Workflow FAQ's	10
4.1	What is an IT Project ?	10
4.2	What is the "Typical" Agency PM role?	11
4.3	What Does the PMA Review in a Solicitation Document?	11
4.4	What Does Statewide Architecture & Engineering Review on an Procurement Solicitation Document?	11
4.5	What Does Statewide IT Procurement Review in a Solicitation Document?	12
4.6	What is the "Typical" role of an Agency Procurement Office?	13
4.7	What is an Agency Project Procurement Team?	13
4.8	If I have an IT project that must follow the PPM Workflow, when should I start the Solicitation Process?	13
5	Web Links	14

1. Overview

The purpose of this document is to provide State Agencies an understanding of the solicitation document review process and workflow as it relates to reviews and approvals of the Enterprise Project Management Office, the Statewide IT Procurement Office, the Statewide Architecture and Engineering Office and the Attorney General's Office. This process is a supplement to the rules, policies and procedures agencies must follow for IT Procurement as outlined in 09 NCAC 06A and B and NC G.S. 147-33.

The Solicitation Document Review Process:

- Gate 1 Project Registration/Approval
- Procurement

Gate 1 Project Registration/Approval

During the Project Planning Phase, the Agency determines any requirements for procuring goods and services necessary for implementation of the project. Once these needs are identified, the appropriate procurement methods should be utilized.

Procurement

The Procurement Process includes all work activities associated with purchasing goods and services, developing RFX's, soliciting and evaluating proposals, negotiations, vendor selection, contract award, and vendor/contract management.. During the procurement process, the EPMO, Statewide IT Procurement Office, Architecture and Engineering and a representative from the Attorney General's Office assigned to ITS are required to conduct reviews and approve agency solicitations, vendor responses and award recommendation.

This document addresses the solicitation document review process workflow. Detailed work activities outside the scope of this document are defined elsewhere by the appropriate Offices.

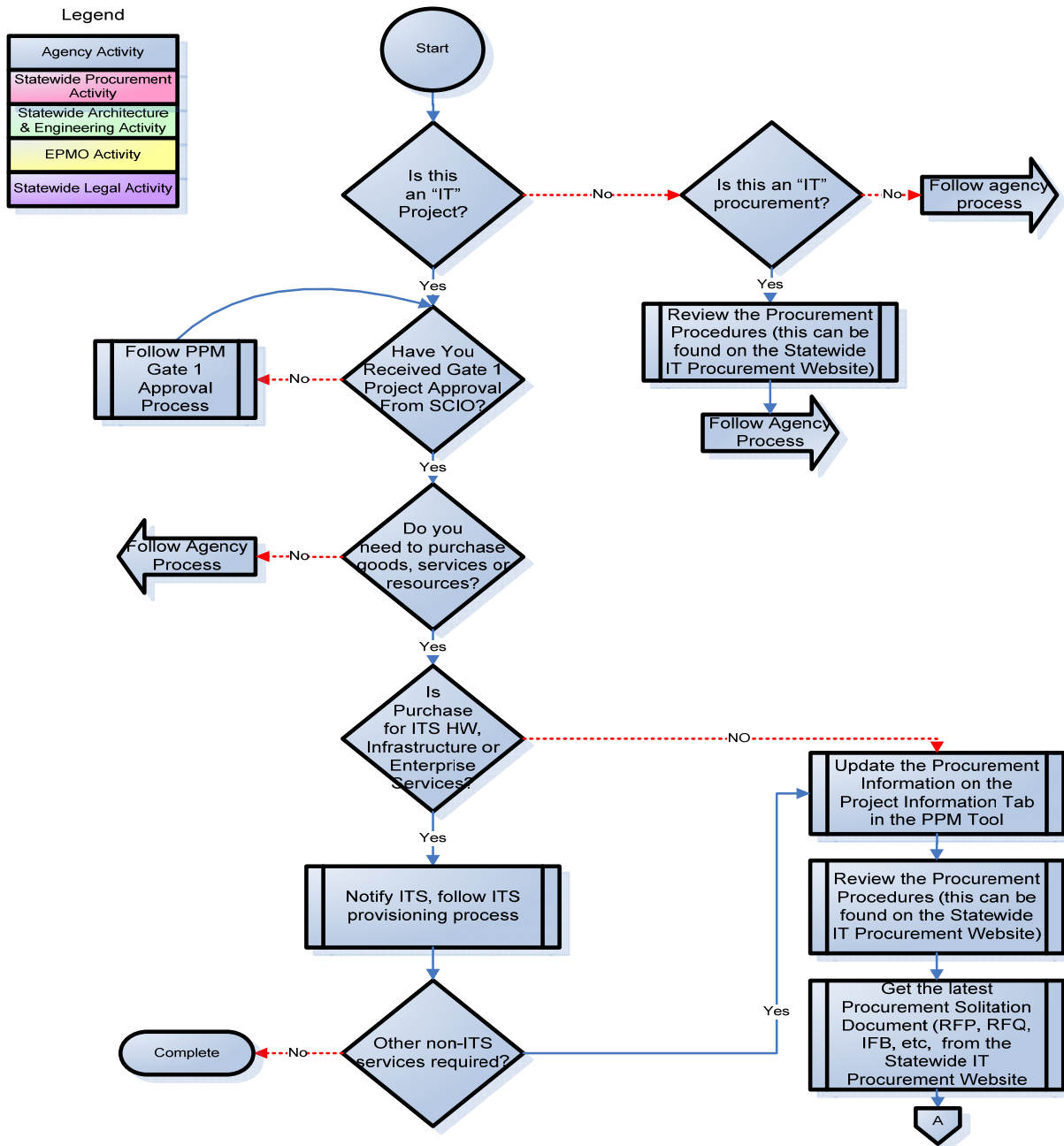
The Statewide IT Procurement Office will not approve a solicitation associated with a project that has not received Gate 1 approval.

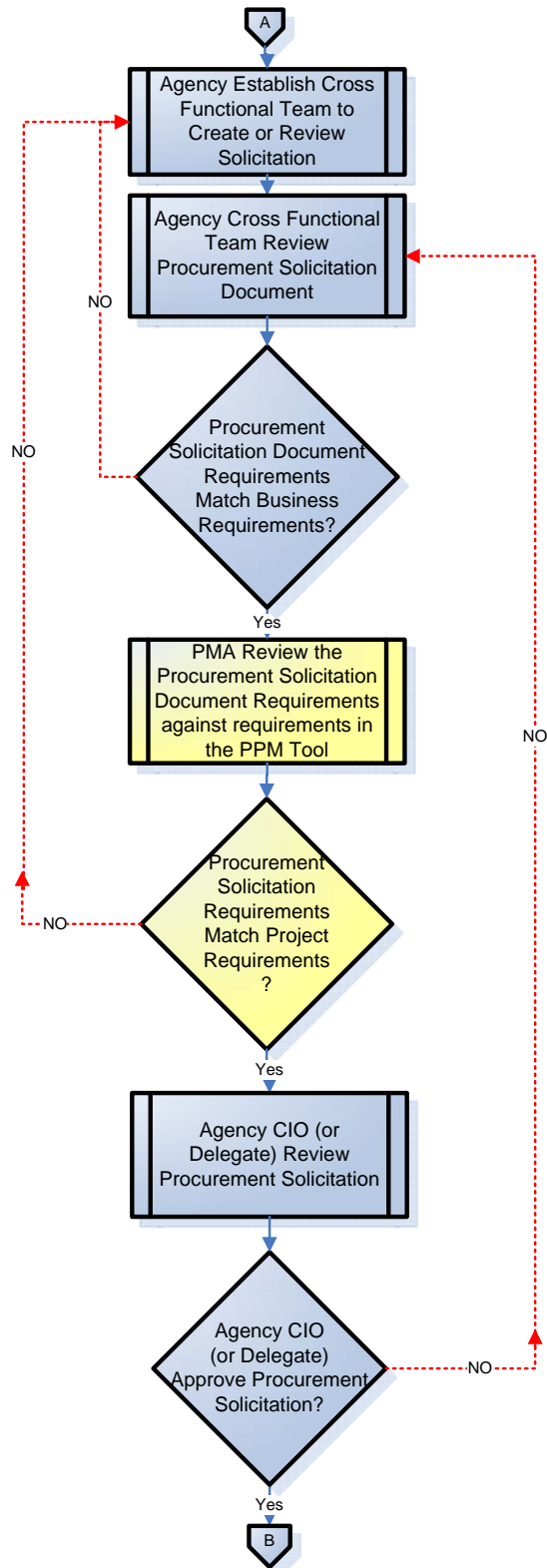
2. Terms /Acronyms

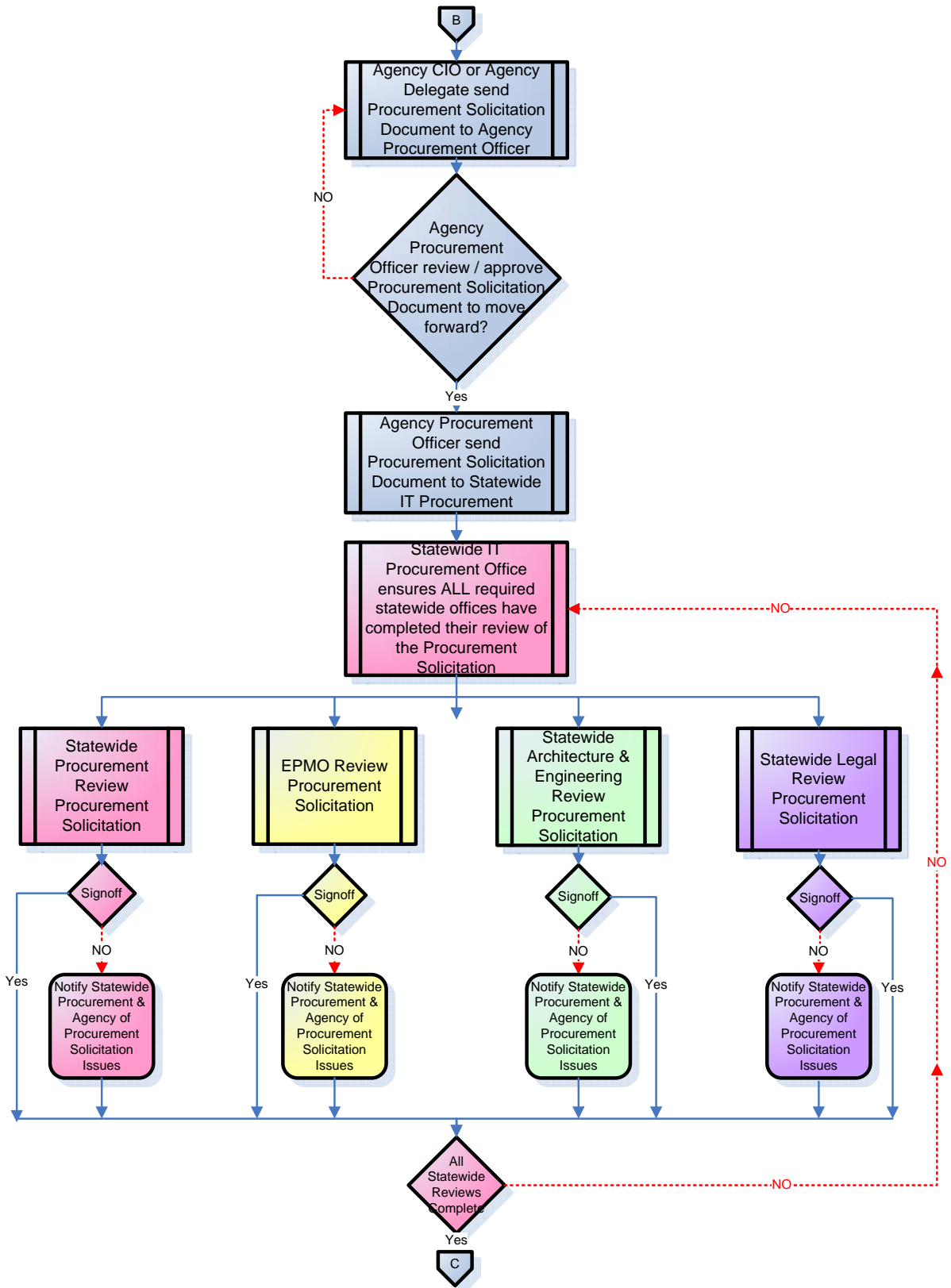
Term	Meaning
A & E	Architecture & Engineering
CIO	Chief Information Officer (Agency)
EPMO	Enterprise Project Management Office
HW	Hardware
IFB	Invitation for Bid
PPM Tool	Project Portfolio Management Tool
RFI	Request for Information
RFP	Request for Proposal
RFQ	Request for Quote
RFx	Procurement Solicitation Document
SCIO	State Chief Information Officer

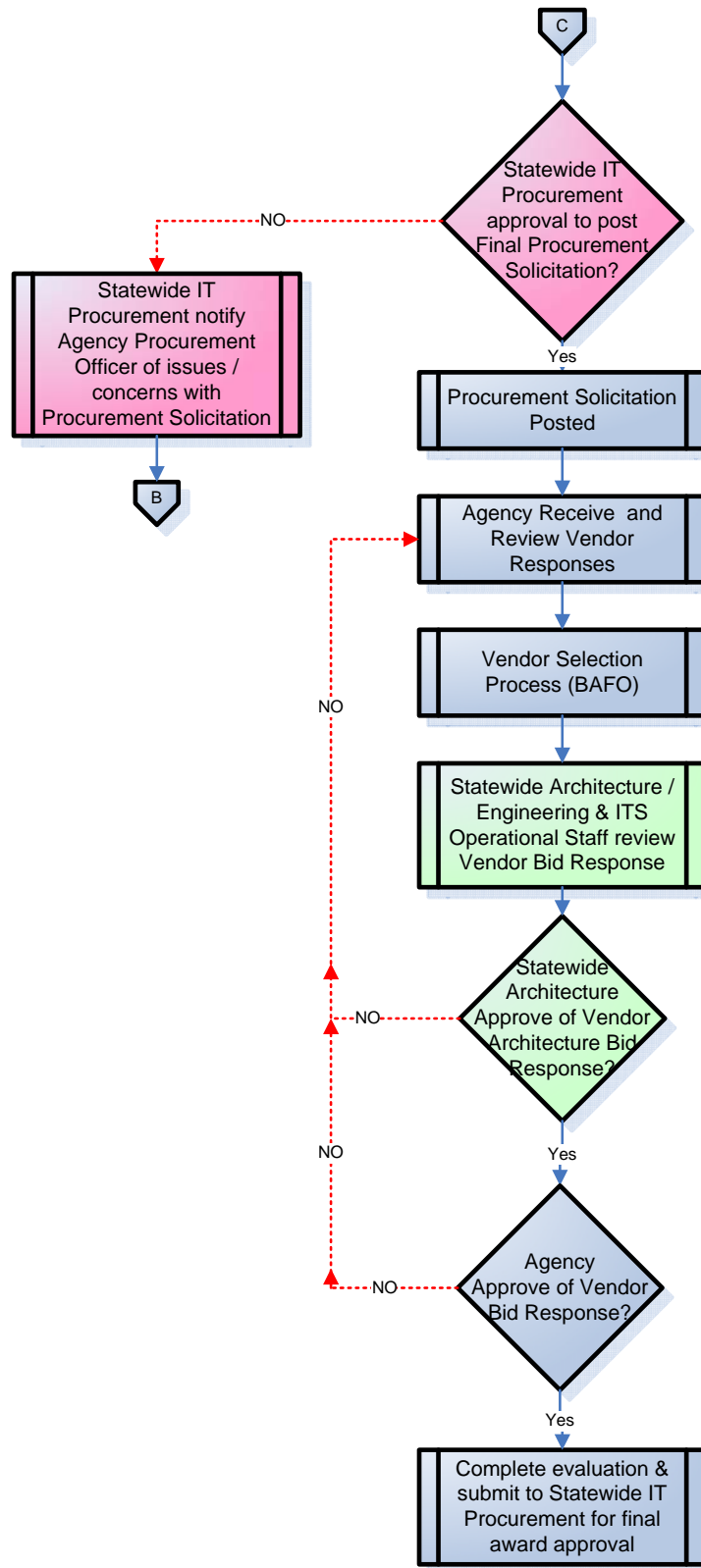
3. Solicitation Document Review Process Flow

The following process flow gives a visual view of the solicitation document review process flow from project approval through contract award.









4. Solicitation Document Review, Approval and Workflow FAQ's

4.1 What is an IT Project ?

A **project** is a temporary endeavor undertaken to create a unique product or service with a defined start and end point.

IT projects:

- New or enhanced functionality to hardware, software or IT Services
- Temporary endeavor with a start and finish.
- Creates a product or service.

Information Technology (IT) project characteristics include:

- New, or enhanced functionality;
- One time activity;
- Begin and end date;
- Performed by people;
- Constrained by limited resources (budget);
- Planned;
- Executed; and
- Controlled.

IT Projects can consist of:

- Implementation of new or enhanced software,
- Implementation of new or upgraded hardware or infrastructure components
- Utilization of ITS Enterprise Services
- Application Hosting
- Software as a Service (SaaS)

4.2 What is the “Typical” Agency PM role?

The Agency PM has a key role in the solicitation document review process.

- The PM must understand the business requirements and ensure the technical solution being presented in the solicitation document meets the agency technical direction and meets the statewide technical requirements for architecture and security.
- Update the information in the PPM Tool to ensure the information matches the procurement solicitation document..
- The PM will submit the solicitation document to the Agency Procurement Specialists.
- The PM is responsible for coordinating meetings between the Agency Project Procurement team during the procurement process
- The PM is responsible for responding to questions from the PMA, Agency Procurement Specialists, EPMO, Statewide Architecture & Engineering, Attorney General and Statewide IT Procurement.
- If the procurement award is more than the planned budget, the PM should notify OSBM and initiate a Change Request to secure the additional funding.

4.3 What Does the PMA Review in a Solicitation Document?

The PMA reviews the Solicitation Document statement of work to verify the requirements being specified in the solicitation document match the project requirements that were approved by the SCIO in the Project Portfolio Management Tool.

4.4 What Does Statewide Architecture & Engineering Review on an Procurement Solicitation Document?

The Statewide Architecture and Engineering Office reviews the architecture and security information outlined in the Procurement Solicitation Document.

Architecture Review:

- The document has appropriate language required by SB991 to refer to the North Carolina State Technical Architecture (NCSTA) and all Statewide IT Policies and Standards.
- The document clearly conveys the requirement to leverage where applicable; State IT assets, Statewide Enterprise Licensing Agreements and Statewide Enterprise Services provided by ITS.
- The technical requirements are clearly stated, well structured, align with the stated business intent of the solicitation document and follow the NCSTA guidelines.

Security Review:

- The document has appropriate language to ensure that related legal and regulatory compliance requirements are addressed such as HIPPA, FERPA, PCI and all North Carolina State laws, Standards and Policies related to the security of IT solutions.
- The document clearly conveys the requirement to leverage where applicable Statewide Enterprise Security Services.
- Identify potential security vulnerabilities and security risks.

Vendor Bid Proposal Review:

- Ensure that the proposed solution:
 - Follows the North Carolina State Technical Architecture,
 - Leverages State IT assets, Statewide Enterprise Licensing Agreements and Statewide Enterprise Services provided by ITS,
 - Complies with all Statewide IT Policies and Standards and all Laws, Standards and Policies related to the security of IT solutions
 - Provides an appropriate technical design that satisfies the functional and non-functional architectural requirements, is based on current technologies and mitigates any potential security risks.

4.5 What Does Statewide IT Procurement Review in a Solicitation Document?

The Statewide IT Procurement Office assigns a Contract Specialist to review the Procurement Solicitation Document to ensure the IT Procurement Rules, Policies and Procedures as outlined in the NC Administrative Code and relevant general statutes and posted on the Statewide IT Procurement Website have been met and followed. The Contract Specialist reviews the full content of the solicitation document.

The Contract Specialist coordinates all ITS agency reviews including legal review of solicitation documents, award recommendations and contracts between the agency, Statewide IT Procurement Office and the Attorney General's Office representative assigned to ITS.

It is the responsibility of the Statewide IT Procurement office to review and approve the recommendation for award prior to contract execution.

4.6 What is the "Typical" role of an Agency Procurement Office?

The Agency Procurement Office is the point of contact between the agency PM, business, technical, financial and legal staff, Statewide IT Procurement Office and vendors.

Agency Procurement Office Review:

- Responsible for ensuring the agency procurement policies and procedures have been followed
- Responsible for ensuring the Statewide IT Procurement Office rules, policies and procedures have been followed
- Responsible for obtaining any agency required reviews including legal review

4.7 What is an Agency Project Procurement Team?

The Agency Project Procurement Team may be made up of individuals with product/service expertise, legal/contract, finance, procurement, operational management, end users, and senior management. Their role is to represent the total organization representing different disciplines in order to ensure successful implementation of the project.

4.8 If I have an IT project that must follow the PPM Workflow, when should I start the Solicitation Process?

The Agency IT Project must have Gate 1 approval from the SCIO before the procurement process may begin.

5 Web Links

1. State SCIO Website

<http://www.scio.nc.gov/>

Project Definitions:

<http://www.epmo.scio.nc.gov/>

Glossary of IT Terms

<http://www.epmo.scio.nc.gov>

2. EPMO Website

<http://www.epmo.scio.nc.gov>

3. Project Portfolio Management Website

<https://www.ppm.state.nc.us/UMTNC/Login.aspx>

4. Statewide IT Procurement Website

<http://www.its.state.nc.us/ITProcurement>

Rules:

<http://www.its.state.nc.us/ITProcurement/Rules/Default.asp>

Forms:

<http://www.its.state.nc.us/ITProcurement/Forms.asp>

5. Statewide Architecture & Engineering Website

<http://www.architecture.scio.nc.gov/>

Security Policies & Standards:

<http://www.scio.nc.gov/mission/itPoliciesStandards.aspx>