



Gate 1 Collaborative Review Guidelines

Gate 1: Business Analysis

The Collaborative Review is required for anticipated reportable proposals and is designed to review and discuss the business problems and/or opportunities to be addressed. This review will assess suitability of the proposal and ensure the stakeholders and business sponsors are identified and committed to all phases of the project. In the Gate 1 Collaborative Review, the Department of Technology seeks to discuss deficiencies, provide guidance and recommendations, and come to an agreement on risk mitigation strategies in order to direct the focus of the sponsor to matters that should be addressed before the next phase of the approval lifecycle. The collaborative review process, in some cases, may dictate going back and performing further analysis before proceeding further.

Collaborative Review Participants

Agency/state entity representatives may include:

- Business Sponsor(s)
- Key Stakeholder(s)
- Project Management Office (PMO)
- Deliverable Contact (Preparer)
- Chief Information Officer (CIO)
- Enterprise Architect (EA)
- Information Security Officer (ISO)
- Budget Office
- Procurement Office
- Agency Information Officer (AIO)

Department of Technology and Critical Partners may include:

- Information Technology Project Oversight Division (ITPOD) Oversight Manager (Facilitator)
- ITPOD Section Chief
- ITPOD Branch Chief
- State Enterprise Architect
- State Information Security Office
- Statewide Technology Procurement Division
- Office of Technology Services, OTech
- Geospatial Information Systems
- Department of Finance
- Department of General Services



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Core Review Items

Assess key elements in the Stage 1 Business Analysis, including:

- The business problem/opportunity articulation and business imperative validity.
- Confirmation that the business analysis and objectives are logical, practical, and realistic.
- Validation that sponsors and key stakeholders are identified.
- Confirmation that sponsors and key stakeholders are committed to what is to be done and why.
- Confirmation of alignment with both State and Agency/state entity strategy, policy, and standards.
- Validation that the proposal does not duplicate existing functionality already in place or under development.
- Preliminary Assessment for Stage 2 including business complexity score and zone.
- Discussion on the initiation and/or development status of project management planning documents as appropriate at this stage:
 - Issue Log
 - Risk Register
 - Approach to Requirements Documentation
- Discussion on the initiation and/or development status of project management planning documents that will be required, if applicable, prior to obtaining Gate 2 approval:
 - Project Charter
 - Scope Management Plan
 - Risk Management Plan
 - Issue and Action Item Management Plan
 - Communication Management Plan
 - Schedule Management Plan
 - Human Resource Management Plan
 - Staff Management Plan
 - Stakeholder Management Plan
 - Governance Plan



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Objectives

- Consensus on the next step for proposals, with an articulated business case.
- Guide Agencies/state entities towards the knowledge gained through lessons learned from similar initiatives.
- Assist Agencies/state entities in leveraging other investments that already exist, or are proposed, under development, or planned.
- Prevent unnecessary expenditure of resources to develop more costly alternatives when the business analysis does not make sense and/or does not align with business strategy.
- Communicate risk mitigation strategies for conducting Stage 2 Alternatives Analysis.
- Confirm that the project makes sense in the context of the Agency/state entity's portfolio and state priorities.
- Communicate conditions of approval, if approved.



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Inputs

The Department of Technology and Critical Partners will provide a completed Stage 1 Business Analysis Evaluation Scorecard, which contains recommendations and risk mitigation strategies identified during the Stage Gate 1 review. Conditions of approval and recommendations may include additional work and/or clarification required to obtain Stage 1 approval. In addition to the Evaluation Scorecard prepared by the Department of Technology, Agencies/state entities should be prepared to discuss and provide the following details related to this proposal:

- An elaboration of the Agency/state entity's impacted business program(s), business problem(s), and processes, what it is intended to accomplish, and how it is defined.
- Proposal concept, imperatives, and business problem(s) and/or opportunity(ies).
- Expected business outcomes, specific success factors and proposal risks.
- Extent of key stakeholder's and/or sponsor's involvement.
- Explanation on how the project proposal aligns with the Agency/state entity's strategic plans and priorities, and State IT Strategic Plan goals, broader federal/state government or cross-departmental goals (as appropriate) and proposal's priority in context with the Agency/state entity's IT portfolio.
- Agency/state entity's IT Portfolio Report.
- Project Management Risk Assessment.
- PMO capability and capacity with respect to current project portfolio.
- Agency/state entity's governance and organizational change management methodologies.
- Overall Agency/state entity's readiness.

Exit Criteria

- Based on what is known at this stage, the proposal has a good business case with SMART goals and objectives, the department demonstrated organizational readiness, etc. (In addition, the ITPOD Oversight Manager should state the reasons why they are recommending approval.)
- If the Stage 1 Business Analysis is approved to proceed, Agency/state entity and Department of Technology agree on a path forward for Stage 2 Alternatives Analysis development, 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 1 Business Analysis Evaluation Scorecard from the Department of Technology with one of the following:

- Approved to proceed to Stage 2 Alternatives Analysis.
- Approved to proceed to Stage 2 Alternatives Analysis, with required conditions.
- Not approved to proceed to Stage 2 Alternatives Analysis.

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

Department of Technology will disseminate a formal written confirmation of disposition following the collaborative review meeting.