

# Stage 4 Project Readiness and Approval

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

4.4 General Information

Agency or State Entity Name: Choose an item.

If agency/entity not in list then 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 taphere to enter text.

* 1. 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.

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

**Submission Type**: Choose an item.

If “Withdraw Submission,” select Reason: Choose an item.

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

**Sections Updated**

List sections updated and describe the changes made: Click or tap here to enter text.

**Part A Project Approval Executive Transmittal**

Attach Transmittal to the 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.

State: Choose an item.

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

TIP: Copy and paste to add Conditions as needed.

* 1. Primary Solicitation Results

4.6.1 Solicitation Key Action Dates

**Activity:** Choose an item.

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

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

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

**Actual Duration (Number of Business Days):** Click or tap here to enter text.

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

4.6.2 Addenda

Addenda Number: Click or tap here to enter text.

Addenda Category: Choose an item.

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

TIP: Copy and paste to add Addendum as needed.

4.6.3 Final Bid Respondents

Respondent Name: Click or tap here to enter text.

Compliant: Choose an item.

Non-Compliance Category: Choose an item.

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

TIP: Copy and paste to add Non-compliance Categories as needed per bidder.

Negotiations Conducted: Choose an item.

Intent to Award: Choose an item.

Protest: Choose an item.

Protest Disposition: Choose an item.

Contract Number: Click or tap here to enter text.

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

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

Total Contract Cost (without optional years): Click or tap here to enter text.

Optional Years

Optional Years (Number of Months): Click or tap here to enter text.

Total Cost of Optional Years: Click or tap here to enter text.

Total Contract Cost (with optional years): Click or tap here to enter text.

TIP: Copy and paste to add Respondents as needed.

4.6.4 Subcontractor Information

Complete the subcontractor information only for subcontractors of the intended awardee.

Subcontractor Name: Click or tap here to enter text.

Subcontractor SB/DVBE: Choose an item.

TIP: Copy and paste to add Subcontractors as needed.

* 1. Ancillary Solicitation Status

Solicitation Title: Click or tap here to enter text.

Status: Choose an item.

Awardee Name: Click or tap here to enter text.

Contract Number: Click or tap here to enter text.

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

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

Total Contract Cost (w/o Op. Yrs.): Click or tap here to enter text.

Optional Years:

Optional Years (Number of Months): Click or tap here to enter text.

Total Cost of Optional Years: Click or tap here to enter text.

**Total Contract Cost (with Optional Years.):** Click or tap here to enter text.

TIP: Copy and paste to add Ancillary Solicitation statuses as needed.

* 1. Contract Management

**Complete the questions below in reference to the primary solicitation.**

1 Has the role of Contract Manager been assigned and has the Contract Manager reviewed and gained an understanding of the scope, activities, tasks, and deliverables of the contract? Choose an item.

If “No,” briefly explain below why this has not been accomplished: Click or tap here to enter text.

2 Does the assigned Contract Manager understand the processes for post award contract activities, including contract amendments, contract work authorizations, terms and conditions, and contract escalation/resolution? Choose an item.

If “No,” briefly explain below why this has not been accomplished: Click or tap here to enter text.

3 Has a post-award or kickoff meeting between the Contract Manager and state project team members been scheduled to align state and contractor expectations related to contract, budget, invoicing, requirements review, and contractor incentives? Choose an item.

If “No,” briefly explain below why this has not been accomplished: Click or tap here to enter text.

4 Does the Contract Manager understand the agency/state entity and federal processes, policy, and applicable procedures? Choose an item.

If “No,” briefly explain below why this has not been accomplished: Click or tap here to enter text.

5 Does the Contract Manager have a plan to collect and assess contractor and project performance information on a regular basis (e.g., establish meetings with Project Managers, communication techniques)? Choose an item.

If “No,” briefly explain below why this has not been accomplished: Click or tap here to enter text.

* 1. Organizational Readiness

1 Does the agency/state entity currently have a mature release management process with a repeatable and scalable testing methodology that supports all stages of testing (system, integration, security, performance, interfaces, regression, user acceptance, and accessibility)? Choose an item.

If “No,” briefly describe below the release management process that will be used to manage, plan, schedule, and control a software build through the different phases and environments, including testing and deploying software releases:

Click or tap here to enter text.

2 Does the project team have a clear understanding of the lines of business that will be impacted by the project? Choose an item.

If “No,” briefly explain below how the agency/state entity plans to educate the project team to ensure all members have a clear understanding of the goals that the project intends to achieve: Click or tap here to enter text.

3 Does the agency/state entity have processes and methodologies in place to support organizational change management (OCM) activities identified in Stage 1, Section 1.12.4 Training and Organizational Change Management? Choose an item.

If “No,” briefly describe below how the agency/state entity will perform OCM activities for this proposal: Click or tap here to enter text.

4 Does the agency/state entity have dedicated resources assigned to business process improvement or business process reengineering activities? Choose an item.

If “Yes,” specify the areas of business process improvement needed below: Click or tap here to enter text.

If “No,” briefly explain below how the agency/state entity will perform business process improvement or business process reengineering activities for this proposal: Click or tap here to enter text.

4.9.1 Project Organization Chart

Attach Project Organization Charts to your email submission.

* 1. Project Readiness

1. Select the system development methodology you plan to use to design and develop the new system: Choose an item.

If “Other,” specify the methodology and provide a brief description below: Click or tap here to enter text.

Describe below the agency/state entity’s past project experience using the system development methodology identified. If this methodology has never been used before, describe the training and staff development that will be provided to prepare staff to leverage this methodology. Click or tap here to enter text.

2. Has the agency/state entity received approval of the Evaluation and Selection Report? Choose an item.

3. Has the agency/state entity engaged the Office of Technology Services (OTech) for capacity planning and the development of the solution delivery timeline?

Choose an item.

If “No,” and data center capacity planning and alignment services are needed and the agency/state entity has not engaged OTech, explain below: Click or tap here to enter text.

4. Have resource commitments been obtained for all staff resources identified in Stage 3, Section 3.19 Staffing Allocation? Choose an item.

If “No,” explain below why commitments have not been obtained and the plan to mitigate this risk: Click or tap here to enter text.

5. Does the project staffing plan ensure sufficient staff resources are available to perform project activities while also supporting maintenance and ongoing operations for other agency/state entity initiatives? Choose an item.

If “No,” explain below how sufficient resource levels will be maintained for all project activities: Click or tap here to enter text.

1. Have all identified project leads received formal project management training?

Choose an item.

If “No,” explain how the agency/state entity will educate the project team leads on project management basics: Click or tap here to enter text.

1. If California Department of Technology oversight services are required, has a Service Request (SR) for oversight services been submitted?

Choose an item.

If “Yes,” provide the SR number below; if “No,” provide a brief explanation:

Click or tap here to enter text.

1. Has the project begun procurement activities for Independent Verification and Validation (IV&V) services per the State Administrative Manual Section 4940.3?

Choose an item.

If “Yes,” indicate the planned start date for IV&V services below:

Click or tap to enter a date.

If “No” or “Not applicable,” provide a brief explanation below:

Click or tap here to enter text.

4.11 Requirements Baseline

1. Has the agency/state entity modified any mid-level or detailed solution requirements since obtaining approval of the Stage 3 Solution Development?

Choose an item.

If “Yes”, enter the percentage of change in the space provided: Click or tap here to enter text.

If “Yes”, describe the modification(s), impact(s) to the recommended alternative, and how the requirements align with the business objectives established in the Stage 1 Business Analysis: Click or tap here to enter text.

2. Has the Requirements Traceability been updated to accurately reflect any modification(s)? Choose an item.

4.11.1 Final Requirements Count

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

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

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

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

4.12 Schedule

4.12.1 Schedule Summary

| **Date** | **Estimated Date** | **Final Baseline Date** | **Difference** |
| --- | --- | --- | --- |
| **Project Planning Start** | Click or tap to enter a date. | Click or tap to enter a date. | Click or tap here to enter text. |
| **Project Planning End** | Click or tap to enter a date. | Click or tap to enter a date. | Click or tap here to enter text. |
| **Project Execution Start** | Click or tap to enter a date. | Click or tap to enter a date. | Click or tap here to enter text. |
| **Project End** | Click or tap to enter a date. | Click or tap to enter a date. | Click or tap here to enter text. |

4.12.2 Reason(s) for Difference

Provide reasons for any date differences: Click or tap here to enter text.

4.12.3 High Level Master Schedule and Key Milestones

Attach High-Level Master Schedule and Key Milestones to your email submission.

4.13 Cost Baseline

4.13.1 Cost Summary

| **Cost** | **Estimated Proposed**  **Cost** | **Final Baseline Cost** | **Difference** |
| --- | --- | --- | --- |
| **Total Planning Cost**  **(One-Time)** | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |
| **Total Project Cost**  **(One-Time)** | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |
| **Total Future Operations IT Staff and OE&E Cost**  **(Continuing)** | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |
| **Total** | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |
| **Annual Future Operations IT Costs (M&O)** | Click or tap here to enter text. | Click or tap here to enter text. | Click or tap here to enter text. |

4.13.2 Reason(s) for Difference

Provide reasons for any date differences: Click or tap here to enter text.

4.13.3 Budget Change Proposal (BCP) Summary

Budget Request ID: Click or tap here to enter text.

Budget Request Year (0000-00): Click or tap here to enter text.

Requested Amount: Click or tap here to enter text.

Status: Choose an item.

TIP: Copy and paste to add BCPs as needed.

4.13.4 Financial Analysis Worksheets (Baseline)

Attach FAWs to your email submission.

4.14 Project Management Planning

Are the following project management plans or project artifacts complete, approved by the designated agency/state entity authority, and available for California Department of Technology review?

**Risk Register**: Choose an item.

If “No,” provide the status; if “Not applicable,” provide an explanation. Click or tap here to enter text.

**Contract Management Plan**: Choose an item.

If “No,” provide the status; if “Not applicable,” provide an explanation. Click or tap here to enter text.

**Cost Management Plan**: Choose an item.

If “No,” provide the status; if “Not applicable,” provide an explanation. Click or tap here to enter text.

**Implementation Management Plan**: Choose an item.

If “No,” provide the status; if “Not applicable,” provide an explanation. Click or tap here to enter text.

**Requirements Management Plan**: Choose an item.

If “No,” provide the status; if “Not applicable,” provide an explanation. Click or tap here to enter text.

**Deliverable Expectation Document**: Choose an item.

4.15 Risk Register

Attach Risk Register to your email submission.

Gate 4 Project Readiness and Approval Evaluation Scorecard

Use the Gate 4 Project Readiness and Approval Evaluation Scorecard ([SIMM Section 19](https://cdt.ca.gov/policy/simm-19/)-D) as an internal tool to ensure a quality submission.

Stage 4 Project Readiness and Approval – 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:** Choose an item.

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

**Form Disposition:** Choose an item.

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