

# Gate 4 Project Readiness and Approval Evaluation Scorecard

 California Department of Technology, SIMM 19D.5 (Rev. 2.5, July/2021)

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

## Submittal Completeness

Stage 4 Preliminary Assessment: Choose an item.

4.4 General Information: Choose an item.

4.5 Submittal Information: Choose an item.

4.6 Primary Solicitation Results: Choose an item.

4.6.1 Solicitation Key Action Dates Variance (Primary Solicitation Only): Choose an item.

4.6.2 Addenda Key Milestones: Choose an item.

4.6.3 Final Bid Respondents: Choose an item.

4.6.4 Subcontractor Information: Choose an item.

4.7 Ancillary Solicitation Status: Choose an item.

4.8 Contact Management: Choose an item.

4.9 Organizational Readiness: Choose an item.

 4.9.1 Project Organization Chart: Choose an item.

4.10 Project Readiness: Choose an item.

4.11 Requirements Baseline: Choose an item.

4.12 Schedule Choose an item.

4.12.1 Schedule Summary Choose an item.

4.12.2 Reason(s) for Difference: Choose an item.

4.12.3 High Level Master Schedule and Key Milestones: Choose an item.

4.13 Cost Baseline: Choose an item.

4.13.1 Cost Summary: Choose an item.

4.13.2 Reason(s) for Difference: Choose an item.

4.13.3 Budget Change Proposal (BCP) Summary: Choose an item.

4.13.4 Financial Analysis Worksheets (Baseline): Choose an item.

4.14 Project Management Planning: Choose an item.

4.15 Risk Register: Choose an item.

## Stage 4 Preliminary Assessment

1. The Stage 4 Preliminary Assessment was completed.

Choose an item.

Comments: Click or tap here to enter text.

## Submittal Information

Contact information, submission date, and submission type are identified. Choose an item.

Comments: 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.

Comments: Click or tap here to enter text.

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

Comments: Click or tap here to enter text.

1. Condition(s) from previous Stages/Gates are adequately addressed with an appropriate response and clearly define an action status.

Choose an item.

Comments: Click or tap here to enter text.

## 4.6 Primary Solicitation Results

1. For Section 4.6.1 Solicitation Key Action Dates (Primary Solicitation Only), all applicable solicitation key action activities, dates, and number of business days are entered. Compare and validate data submitted in the Stage 3 Section 3.20 Final Solicitation Package with information results collected by the California Department of Technology (CDT) Statewide Technology Procurement (STP) Specialist. Variances need to be noted and may require an explanation.

Choose an item.

Comments: Click or tap here to enter text.

1. For Section 4.6.2 Addenda, each addenda is identified with a number and indicates an applicable category. Compare and validate data submitted with information results collected by the STP Specialist.

Choose an item.

Comments: Click or tap here to enter text.

1. For Section 4.6.3 Final Bid Respondents, identifies the applicable information for the bid respondents relative to the primary solicitation:
* Respondent Name
* Compliant response
* Non-compliance category
* If negotiations were conducted
* Intent to Award
* Protested
* Protest Disposition
* Contract information (number, start date, end date and total cost)

Compare and validate data submitted with information results collected by the STP Specialist.

Choose an item.

Comments: Click or tap here to enter text.

1. For Section 4.6.4 Subcontractor Information, all subcontractors are identified and indicates if SB, DVBE or Not applicable. Compare and validate data submitted with information results collected by the STP Specialist. Choose an item.

Comments: Click or tap here to enter text.

## 4.7 Ancillary Procurement Status

1. For Section 4.7 Ancillary Procurement Status, each ancillary procurement identified aligns with the Stage 3 Section 3.6 Procurement Profile.

Choose an item.

Comments: Click or tap here to enter text.

1. For Section 4.7 Ancillary Solicitation Status, each ancillary solicitation with a status of “Completed” contains:
* Solicitation Title
* Status = Completed
* Awardee Name
* Contract information (number, start date, end date, and total cost).

Choose an item.

Comments: Click or tap here to enter text.

## 4.8 Contract Management

1. For Section 4.8 Contract Management, Question 1:
* If “Yes,” the contract manager has been named and specifically understands the scope, activities and deliverables of the contract.
* If “No,” an explanation is provided; however, the contract manager must be named in the contract prior to contract execution.
* The project manager should not be named as the contract manager in the contract.

Choose an item.

Comments: Click or tap here to enter text.

1. For Section 4.8 Contract Management, Question 2:
* If “Yes,” the contract manager understands the post award contract activities, including contract amendments, contract work authorizations, terms and conditions, and contract escalation/resolution.
* If “No,” an explanation is provided of why the contract manager has not complied with this requirement.

Choose an item.

Comments: Click or tap here to enter text.

1. For Section 4.8 Contract Management, Question 3:
* If “Yes,” a post-award or kickoff meeting has been scheduled to review contract schedule, budget, invoicing requirements, and contractor incentives with the project team members.
* If “No,” an explanation is provided of why the contract manager has not complied with this requirement.

Choose an item.

Comments: Click or tap here to enter text.

1. For Section 4.8 Contract Management, Question 4:
* If “Yes,” the contract manager understands the agency/state entity and federal processes, policy, and applicable procedures.
* If “No,” an explanation is provided of why the contract manager has not complied with this requirement.

Choose an item.

Comments: Click or tap here to enter text.

1. For Section 4.8 Contract Management, Question 5:
* If “Yes,” the contract manager has a plan to collect and assess contractor and project performance information on a regular basis (e.g., vendor management plan, governance structure/processes, change control management process). Validation that the contractor manager has completed and put in place the applicable plans to assess and validate contractor and project performance.
* If “No,” an explanation is provided (e.g., no vendor management plan in place, no change control process, not following governance structure/process) of why the contract manager does not have a plan in place to collect and assess contractor and project performance information on a regular basis. The contract manager provides a plan to mitigate this requirement, subject to review by the CDT.

Choose an item.

Comments: Click or tap here to enter text.

## 4.9 Organizational Readiness

1. For Section 4.9 Organizational Readiness, Question 1:
* If “Yes,” project processes and plans with repeatable and scalable testing methodologies support all testing stages (e.g., system, integration, security, performance, interfaces, regression, user acceptance, and accessibility).
* If “No,” the testing process described includes how the testing process will be used, managed, scheduled, and controlled throughout the different phases and environments.

Choose an item.

Comments: Click or tap here to enter text.

1. For Section 4.9 Organizational Readiness, Question 2:
* If “Yes,” the project team understands the business program(s) to be impacted by this project.
* If “No,” the explanation ensures that all project team members are educated on the project goals.

Choose an item.

Comments: Click or tap here to enter text.

1. For Section 4.9 Organizational Readiness, Question 3:
* If “Yes,” processes and methodologies are in place to support organizational change management activities identified in Stage 1 Section 1.12.4 Training and Organizational Change Management (OCM).
* If “No,” the explanation describes how and when the training and OCM activities will be performed for this project.

Choose an item.

Comments: Click or tap here to enter text.

1. For Section 4.9 Organizational Readiness, Question 4:
* If “Yes,” dedicated resources are identified for business process improvement or business process reengineering activities and the areas of business process improvement are included.
* If “No,” an explanation describes how business process improvement or business process reengineering activities will be performed for this proposal.

Choose an item.

Comments: Click or tap here to enter text.

1. For Section 4.9.1 Project Organization Chart is attached and includes all parties involved in project execution, including:
* PMO staff
* Business staff
* IT staff
* Vendor staff
* Business sponsors and key stakeholders

Choose an item.

Comments: Click or tap here to enter text.

1. For Section 4.9.1 Project Organization Chart aligns with the Financial Analysis Worksheets, Stage 2 Section 2.11.3 Procurement and Staffing Strategy, and Stage 3 Section 3.19 Staffing Allocation.

Choose an item.

Comments: Click or tap here to enter text.

## 4.10 Project Readiness

1. For Section 4.10 Project Readiness, the system development methodology (agile/iterative, waterfall, other) is identified and the explanation provided is acceptable.

Choose an item.

Comments: Click or tap here to enter text.

1. For Section 4.10 Project Readiness Question 2:
* If “Yes,” the Evaluation and Selection Report has been approved by CDT.
* If “No,” the Evaluation and Selection Report must be approved by CDT prior to contract execution.
* If “Not applicable,” an explanation is provided of why an Evaluation and Selection Report is not required.

Choose an item.

Comments: Click or tap here to enter text.

1. For Section 4.10 Project Readiness Question 3:
* If “Yes,” Office of Technology Services (OTech) has been engaged to ensure data center capacity and alignment with the solution delivery timeline.
* If “No,” OTech services are needed and OTech has not been engaged.
* If “Not applicable,” an explanation is provided of why OTech services are not required.

Choose an item.

Comments: Click or tap here to enter text.

1. For Section 4.10 Project Readiness Question 4:
* If “Yes,” resource commitments have been obtained and are consistent with Stage 3 Section 3.19 Staff Allocation.
* If “No,” the explanation provides the plan for the staffing and when the staffing resources will be in place prior to contract execution.

Choose an item.

Comments: Click or tap here to enter text.

1. For Section 4.10 Project Readiness Question 5:
* If “Yes,” the staffing plan supports all project activities, including ongoing operations for existing systems and concurrent project activities.
* If “No,” the explanation provides an approach to maintain all project activities (ongoing operations, existing systems, concurrent project activities, etc.)

Choose an item.

Comments: Click or tap here to enter text.

1. For Section 4.10 Project Readiness Question 6:
* If “Yes,” project leads have received formal project management training.
* If “No,” the explanation provides how project management training will be implemented.

Choose an item.

Comments: Click or tap here to enter text.

1. For Section 4.10 Project Readiness Question 7:
* If “Yes,” a Service Request (SR) has been submitted and the SR number provided.
* If “No,” an SR is required and has not been submitted. An explanation details the reason and timeframe for the SR to be submitted.
* If “Not applicable,” the CDT oversight services are not required.

Note: Any conditions and/or deficiencies will be included in the CDT project approval letter and monitored by CDT Oversight team.

Choose an item.

Comments: Click or tap here to enter text.

1. For Section 4.10 Project Readiness Question 8:
* If “Yes,” Independent Verification and Validation (IV&V) Services are required and the procurement has been initiated with the start date for the IV&V services.
* If “No,” IV&V services are required and a procurement has not been initiated. An explanation details the reason why the IV&V services procurement has not been initiated with a timeframe for the IV&V services contract to begin.
* If “Not applicable,” the IV&V services are not required. The explanation describes why the IV&V services are not required (e.g., the Department of Technology assigned a low complexity to the project and the Agency Chief Information Officer will not require IV&V services).

Note: Any conditions and/or deficiencies will be included in the CDT project approval letter and monitored by CDT Oversight team.

Choose an item.

Comments: Click or tap here to enter text.

## 4.11 Requirements Baseline

1. For Section 4.11 Requirements Baseline Question 1:
* If “Yes,” 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 Stage 3 Section 3.7.3 and business objectives in Stage 1.
* If “No,” the artifacts show that no changes were made to the requirements.

Choose an item.

Comments: Click or tap here to enter text.

1. For Section 4.11 Requirements Baseline Question 2:
* If “Yes,” the Stage 3 Solution Development requirements traceability artifact(s) have been updated to accurately reflect any modifications.
* If “No,” the artifact(s) must be updated to reflect any requirements modifications.
* If “Not applicable,” a requirements traceability does not apply.

Choose an item.

Comments: Click or tap here to enter text.

1. For Section 4.11.1 Final Requirements Count:
* Totals for all functional, non-functional, project/transition requirements and grand total are entered.
* Missing data must be provided prior to Stage 4 approval.

Choose an item.

Comments: Click or tap here to enter text.

## 4.12 Schedule

1. For Section 4.12.1 Schedule Summary,
* The estimated start and end dates (entered in Stage 2 Section 2.11.6 High Level Project Schedule) must be entered.
* The final baseline start and end dates must be entered.
* The project start date reflects the date the IT project proposal is anticipated to be both approved and funded (July 1 budget cycle); or, the anticipated Gate 4 approval date for projects without a budget action.
* The project end date accurately reflects the last date that project activities are estimated to be completed.

Choose an item.

Comments: Click or tap here to enter text.

1. For Section 4.12.2 Reason(s) for Difference:
* A justification is provided for differences between the estimated and final baseline dates and includes an explanation (e.g., change in direction, feasibility, budgetary issues).

Choose an item.

Comments: Click or tap here to enter text.

1. For Section 4.12.3 High Level Master Schedule and Key Milestones:
* The high level integrated master schedule is attached and includes the key milestones, duration, resources, and a clear critical path.
* If the high level integrated master schedule is not attached, the schedule must be provided prior to Stage 4 approval.

Note: Any conditions and/or deficiencies should be included in the CDT project approval letter.

Choose an item.

Comments: Click or tap here to enter text.

## 4.13 Cost Baseline

1. For Section 4.13.1 Cost Summary,
* The total estimated costs (from the Stage 2 Financial Analysis Worksheets) must be entered.
* The final baseline costs (from the Stage 4 Financial Analysis Worksheets) must be entered.
* Missing data must be provided prior to Stage 4 approval.

Choose an item.

Comments: Click or tap here to enter text.

1. For Section 4.13.2 Reason(s) for Difference:
* A justification is provided for any differences (e.g., change in direction, feasibility, budgetary issues) between the anticipated solicitation estimated and final baseline costs.

Choose an item.

Comments: Click or tap here to enter text.

1. For Section 4.13.3 Budget Change Proposal (BCP) Summary:
* All BCP information is entered (budget request ID, year, amount).
* Each BCP includes a status (pending, supported, not supported, future).

Choose an item.

Comments: Click or tap here to enter text.

1. For Section 4.13.4 Financial Analysis Worksheets (Baseline):
* The FAWs are attached.
* The FAWs have been updated from the artifacts submitted during Stage 2.
* The FAWs align with the BCP information identified in Section 4.13.3.

If the FAWs are not included and/or updated, the FAWs must be attached and updated prior to Stage 4 approval.

Choose an item.

Comments: Click or tap here to enter text.

## 4.14 Project Management Planning

1. Each project management plan or project artifact is identified (i.e., Yes, No, Not applicable).

Choose an item.

Comments: Click or tap here to enter text.

1. If any project management plans or project artifacts are identified as “Not applicable,” a description was provided as to why it is not needed.

Choose an item.

Comments: Click or tap here to enter text.

1. If any project management plans or project artifacts are identified as “No,” the status of the artifact is provided.

Choose an item.

Comments: Click or tap here to enter text.

## 4.15 Risk Register

1. Section 4.15 Risk Register:
* Risk Register is attached.
* Risk Register contains all open prior Stage/Gate conditions and/or deficiencies.

Note: Any conditions and/or deficiencies will be included in the CDT project approval letter and monitored by CDT Oversight team.

Choose an item.

Comments: Click or tap here to enter text.

Critical Partner Evaluation

Office of Statewide Project Delivery (OSPD) Project Approvals and Oversight

1. The agency/state entity has submitted the completed and final solicitation package (including all attachments, exhibits, appendices, SOW) to CDT.

Choose an item.

Comments: Click or tap here to enter text.

1. Does the information provided in Stage 4 Project Readiness and Approval align with previous Stages/Gates?

Choose an item.

Comments: Click or tap here to enter text.

1. Are there concerns regarding the readiness for final approval of the Stage 4 Project Readiness and Approval?

Choose an item.

Comments: Click or tap here to enter text.

1. Are there questions outside the Gate 4 Evaluation Scorecard for this project that need to be captured and accounted for?

Choose an item.

Comments: Click or tap here to enter text.

Attach additional questions to the scorecard.

1. Does the project have conditions of approval that are outstanding?

Choose an item.

Comments: Click or tap here to enter text.

1. If a condition of approval is outstanding, has the agency/state entity provided a strategy to mitigate the risks or provided a plan to address the condition?

Choose an item.

Comments: Click or tap here to enter text.

1. Has a Stage 4 Complexity Assessment been conducted to baseline the original Overall Complexity (Business Complexity/Technical Complexity) and Complexity Zone

Choose an item.

Comments: Click or tap here to enter text.

Office of Information Security (OIS)

1. Does the agency/state entity have any outstanding Information Security audit findings or reported weaknesses that could be remediated in this project? Refer to the entity’s Plan of Action and Milestones (POAM) for further information.

Choose an item.

Comments: Click or tap here to enter text.

Office of Technology Services (OTech)

1. If the agency/state entity intends to subscribe to OTech service offerings, did the agency/state entity engage with OTech during the vendor discussions for service offering information/consultation?

Choose an item.

Comments: Click or tap here to enter text.

1. Were any Stage 2 mid-level or Stage 3 solicitation requirements renegotiated and/or removed during the vendor selection process that has an impact to OTech service offerings?

Choose an item.

Comments: Click or tap here to enter text.

1. If the agency/state entity intends to transition the solution, or components of the solution, to OTech has the transition plan been modified since OTech reviewed the plan in Stage 3?

Choose an item.

Comments: Click or tap here to enter text.

Gate 4 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 line with 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 line with Condition# up to before this line to copy/paste)

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

OSPD Project Approvals and Oversight (PAO) Reviewer

**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.