



Stage 4 Project Readiness and Approval

Department of Technology, SIMM 19D, Revision 10/11/2016

(Embedded PDF instructions describe how to attach files and/or insert repeating sections.)

4.4 General Information

Agency or State Entity Name:

Department of Transportation (Caltrans)

Organization Code:

2660

Proposal Name:

Transportation Asset Management System (TAMS)

Department of Technology Project Number: 2660-544

4.5 Submittal Information

Contact Information:

Contact First Name:

Suzette

Contact Email:

Suzette.ponik@dot.ca.gov

Contact Last Name:

Ponik

Contact Phone Number:

(916) 947-7407

Submission Date:

11/13/2020

Submission Type:

New Submission

Updated Submission (Pre-Approval)

Updated Submission (Post-Approval)

Withdraw Submission

Reason: Select...

If "Other," (specify)

....

Sections Updated (For Updated Submissions only, check all that apply)

- 4.4 General Information
- 4.5 Submittal Information
- 4.6 Primary Solicitation Results
 - 4.6.1 Solicitation Key Action Dates Variance (Primary Solicitation Only)
 - 4.6.2 Addenda
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- 4.15 Risk Register

Summary of Changes:

....

Project Approval Executive Transmittal

Attachment: (File Attachment)

Condition(s) from Previous Stage(s):

Condition #

Condition Category	Select...	If "Other," (specify)
Condition Sub-Category	Select...	If "Other," specify:
Condition		
Assessment	Select...	If "Other," specify:
Agency/State Entity Response		
Status	Select...	If "Other," specify:

Insert Condition

4.6 Primary Solicitation Results

4.6.1. Solicitation Key Action Dates (Primary Solicitation Only)

Activity:	Release of Solicitation	If "Other," specify:
Actual Start Date:	6/26/2020	
Actual End Date:	10/26/2020	
Actual Duration (Number of Business Days):	1	
Activity:	Bidder's Conference	If "Other," specify: Click here to enter text.
Actual Start Date:	7/09/2020	
Actual End Date:	7/09/2020	
Actual Duration (Number of Business Days):	1	
Activity:	Last day to submit questions for clarification of solicitation and/or request a change to the requirements in the solicitation prior to Final Proposals	If "Other," specify: Click here to enter text.
Actual Start Date:	7/17/2020	
Actual End Date:	7/17/2020	
Actual Duration (Number of Business Days):	1	
Activity:	State's response to bidder's questions, bidder's request for changes to the requirements and release of potential addendum	If "Other," specify: Click here to enter text.
Actual Start Date:	7/28/2020	
Actual End Date:	7/28/2020	
Actual Duration (Number of Business Days):	1	
Activity:	Confidential Discussions with individual bidders regarding Conceptual Proposal	If "Other," specify: Click here to enter text.

Actual Start Date:	8/06/2020	
Actual End Date:	8/10/2020	
Actual Duration (Number of Business Days):	3	
Activity:	Last day to submit Final Proposals	If "Other," specify: Click here to enter text.
Actual Start Date:	9/21/2020	
Actual End Date:	9/21/2020	
Actual Duration (Number of Business Days):	1	
Activity:	Evaluation Period	If "Other," specify: Click here to enter text.
Actual Start Date:	9/22/2020	
Actual End Date:	10/16/2020	
Actual Duration (Number of Business Days):	17	
Activity:	Demonstration	If "Other," specify: Click here to enter text.
Actual Start Date:	10/21/2020	
Actual End Date:	10/21/2020	
Actual Duration (Number of Business Days):	1	
Activity:	Confidential Discussions with individual bidders regarding Detailed Technical Proposal	If "Other," specify: Negotiations
Actual Start Date:	10/23/2020	
Actual End Date:	10/23/2020	
Actual Duration (Number of Business Days):	1	
Activity:	Other	If "Other," specify: Best and Final Offers(BAFO) Due
Actual Start Date:	10/29/2020	
Actual End Date:	10/29/2020	
Actual Duration (Number of Business Days):	1	
Activity:	Evaluation Period	If "Other," specify: Review BAFOs
Actual Start Date:	10/29/2020	
Actual End Date:	11/03/2020	

Actual Duration (Number of Business Days):	3	
Activity:	Bidder Discussion (BI)	If "Other," specify: Click here to enter text.
Actual Start Date:	11/05/2020	
Actual End Date:	11/05/2020	
Actual Duration (Number of Business Days):	1	
Activity:	Secondary Demonstration	If "Other," specify: Click here to enter text.
Actual Start Date:	11/16/2020	
Actual End Date:	11/16/2020	
Actual Duration (Number of Business Days):	1	
Activity:	Secondary Notification	If "Other," specify: Click here to enter text.
Actual Start Date:	11/17/2020	
Actual End Date:	11/17/2020	
Actual Duration (Number of Business Days):	1	
Activity:	Other	If "Other," specify: Secondary BAFO Due
Actual Start Date:	11/19/2020	
Actual End Date:	11/19/2020	
Actual Duration (Number of Business Days):	1	
Activity:	Evaluations	If "Other," specify: Click here to enter text.
Actual Start Date:	11/20/2020	
Actual End Date:	11/20/2020	
Actual Duration (Number of Business Days):	1	
Activity:	Notification of Intent to Award	If "Other," specify: Click here to enter text.
Actual Start Date:	10/30/2020	
Actual End Date:	10/30/2020	
Actual Duration (Number of Business Days):	1	

Activity:	Contract Award	If "Other," specify: Click here to enter text.
Actual Start Date:	11/25/2020	
Actual End Date:	11/25/2020	
Actual Duration (Number of Business Days):	1	

Insert Key Action Date Activity

4.6.2 Addenda

Addenda Number:	1	
Addenda Category:	Key action date extensions (e.g., extension of bid submission)	If "Other," specify:
Addenda Number:	1	
Addenda Category:	Modifications to administrative requirements	If "Other," specify: Click here to enter text.
Addenda Number:	1	
Addenda Category:	Modifications to bidder/key staff qualifications	If "Other," specify: Click here to enter text.
Addenda Number:	1	
Addenda Category:	Modifications to evaluation criteria	If "Other," specify: Click here to enter text.
Addenda Number:	1	
Addenda Category:	Modifications to Statement of Work	If "Other," specify: Click here to enter text.
Addenda Number:	1	
Addenda Category:	Modifications to cost methodology or cost worksheets	If "Other," specify: Click here to enter text.
Addenda Number:	2	
Addenda Category:	Other	If "Other," specify: Modifications to include language specific to COVID-19 restrictions.
Addenda Number:	3	
Addenda Category:	Key action date extensions (e.g., extension of bid submission)	If "Other," specify: Click here to enter text.
Addenda Number:	4	
Addenda Category:	Modifications to cost methodology or cost worksheets	If "Other," specify: Click here to enter text.
Addenda Number:	4	
Addenda Category:	Key action date extensions (e.g., extension of bid submission)	If "Other," specify: Click here to enter text.
Addenda Number:	5	
Addenda Category:	Modifications to Statement of Work	If "Other," specify: Click here to enter text.

Insert Addenda

4.6.3 Final Bid Respondents

Respondent Name:	Data Transfer Solutions, LLC (DTS)	
Compliant:	Yes	
Non-compliance Category:	Select...	If "Other," specify:
Insert Non-compliance Category		
Negotiations Conducted:	Yes	
Intend to Award:	Yes	
Protested:	No	
Protest Disposition:	Select...	
Contract Number:	56A0651	
Contract Start Date:	12/15/2020	
Contract End Date:	2/21/2024	
Total Contract Cost:	\$15,462,308	
Respondent Name:	Taborda Solutions	
Compliant:	No	
Non-compliance Category:	Non-compliant to administrative requirement(s)	If "Other," specify:
Insert Non-compliance Category		
Negotiations Conducted:	Yes	
Intend to Award:	No	
Protested:	No	
Protest Disposition:	Choose an item.	
Contract Number:	Click here to enter text.	
Contract Start Date:		
Contract End Date:		
Total Contract Cost:	Click here to enter text.	
Respondent Name:	Accenture	
Compliant:	No	
Non-compliance Category:	Non-compliant to administrative requirement(s)	If "Other," specify:
Insert Non-compliance Category		
Negotiations Conducted:	No	
Intend to Award:	No	
Protested:		
Protest Disposition:	Choose an item.	
Contract Number:	Click here to enter text.	

Contract Start Date:		
Contract End Date:		
Total Contract Cost:	Click here to enter text.	
Respondent Name:	Agile Assets	
Compliant:	No	
Non-compliance Category:	Non-compliant to administrative requirement(s)	If "Other," specify:
Insert Non-compliance Category		
Negotiations Conducted:	No	
Intend to Award:	No	
Protested:	No	
Protest Disposition:	Choose an item.	
Contract Number:	Click here to enter text.	
Contract Start Date:		
Contract End Date:		
Total Contract Cost:	Click here to enter text.	
Respondent Name:	Aurigo	
Compliant:	No	
Non-compliance Category:	Non-compliant to administrative requirement(s)	If "Other," specify:
Non-compliance Category:	Did not indicate compliance to functional/non-functional requirement(s)	If "Other," specify:
Insert Non-compliance Category		
Negotiations Conducted:	No	
Intend to Award:	No	
Protested:		
Protest Disposition:	Choose an item.	
Contract Number:	Click here to enter text.	
Contract Start Date:		
Contract End Date:		
Total Contract Cost:	Click here to enter text.	
Respondent Name:	Parsons	
Compliant:	No	
Non-compliance Category:	Non-compliant to administrative requirement(s)	If "Other," specify:
Non-compliance Category:	Did not indicate compliance to functional/non-functional requirement(s)	If "Other," specify:

Insert Non-compliance Category		
Negotiations Conducted:	No	
Intend to Award:	No	
Protested:	No	
Protest Disposition:	Choose an item.	
Contract Number:	Click here to enter text.	
Contract Start Date:		
Contract End Date:		
Total Contract Cost:	Click here to enter text.	
Respondent Name:	ZPro	
Compliant:	No	
Non-compliance Category:	Non-compliant to administrative requirement(s)	If "Other," specify:
Non-compliance Category:	Did not indicate compliance to functional/non-functional requirement(s)	If "Other," specify:
Insert Non-compliance Category		
Negotiations Conducted:	No	
Intend to Award:	No	
Protested:	No	
Protest Disposition:	Choose an item.	
Contract Number:	Click here to enter text.	
Contract Start Date:		
Contract End Date:		
Total Contract Cost:	Click here to enter text.	

Insert Respondent

4.6.4 Subcontractor Information

Subcontractor Name	SB	DVBE	N/A
ICDS, Inc.	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Spy Pond Partners, LLC	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>

Insert Subcontractor

4.7 Ancillary Solicitation Status

Solicitation Title:	Request for Offer – RFO #:56A0652, Business Process Management (BPM) IT Consulting Services (MSA #5167010-001 To 328)
Status:	In Progress
Respondent Name:	The Highlands Consulting Group, LLC.
Contract Number:	56A0652
Contract Start Date:	6/26/2020
Contract End Date:	6/25/2021

Total Contract Cost:	\$750,000
Solicitation Title:	Request for Offer – RFO #: CT_TAMS_20190130
Status:	Completed
Respondent Name:	Gartner
Contract Number:	56A0616
Contract Start Date:	6/03/2019
Contract End Date:	6/30/2020
Total Contract Cost:	\$1,266,500

Insert Ancillary Solicitation Status

4.8 Contract Management

	Yes	No
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? If "No," briefly explain below why this has not been accomplished: ...	<input checked="" type="checkbox"/>	<input type="checkbox"/>
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? If "No," briefly explain below why this has not been accomplished: ...	<input checked="" type="checkbox"/>	<input type="checkbox"/>
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? If "No," briefly explain below why this has not been accomplished: ...	<input checked="" type="checkbox"/>	<input type="checkbox"/>
4. Does the Contract Manager understand the Agency/state entity and federal processes, policy, and applicable procedures? If "No," briefly explain below why this has not been accomplished: ...	<input checked="" type="checkbox"/>	<input type="checkbox"/>
5. Does the Contract Manager have a plan to collect and assess contractor and project performance information on a regular basis (i.e. establish meetings with Project Managers, communication techniques)? If "No," briefly explain below why this has not been accomplished: ...	<input checked="" type="checkbox"/>	<input type="checkbox"/>

4.9 Organizational Readiness

	Yes	No
1. Does the Agency/state entity currently have a mature testing release management process with a repeatable and scalable testing methodology that supports all stages of testing (system, integration, security, performance, interfaces, regression, and user acceptance)? If "No," briefly describe below the testing 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: ...	<input checked="" type="checkbox"/>	<input type="checkbox"/>
2. Does the project team have a clear understanding of the lines of business that will be impacted by the project? 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:	<input checked="" type="checkbox"/>	<input type="checkbox"/>

- ...
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?
 If "No," briefly describe below how the Agency/state entity will perform OCM activities for this proposal:
- ...
4. Does the Agency/state entity have dedicated resources assigned to business process improvement or business process reengineering activities?
 If "Yes," specify the areas of business process improvement needed below:
- ...

4.9.1 Project Organization Chart

Attachment: (File Attachment)

4.10 Project Readiness

1. Specify the system development methodology that will be used to design and develop the new system:
 Agile Waterfall Iterative/Incremental Other, specify: ...

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.

The IT Project Manager has extensive experience in hybrid agile iterative/incremental software development and deployment. This methodology was used on her last 2 projects, the most recent was OSI/CWDS - \$460M project. In addition, part of the SI contract/agreement includes high level Agile training for the rest of the State project team/staff who are not as familiar with this methodology. Training will include general process and methodology, as well as for specific roles (i.e. Product Owner, Scrum Master).

	Yes	No	N/A
2. Has the Agency/state entity received approval of the Evaluation and Selection Report?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3. Has the Agency/state entity engaged the Office of Technology Services (OTech) for capacity planning and the development of the solution delivery timeline? If "No" and data center capacity planning and alignment services are needed and the Agency/state entity has not engaged OTech, explain below: ...	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
4. Have resource commitments been obtained for all staff resources identified in Stage 3, Section 3.17 Staffing Allocation? If "No," explain below: ...	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
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? If "No," explain below how sufficient resource levels will be maintained for all project activities: ...	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
6. Have all identified project leads received formal project management training? If "No," explain below how the Agency/state entity will educate the project team leads on project management basics: ...	<input checked="" type="checkbox"/>	<input type="checkbox"/>	

4.11 Requirements Baseline

	Yes	No	N/A
1. Has the Agency/state entity modified any mid-level or detailed solution requirements since obtaining approval of the Stage 3 Solution Development?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	

If "Yes":

- Provide the percentage of change in the space provided.
- Below 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:

Percentage of Change
Click here to enter text.%

...

2. Has the requirements traceability been updated to accurately reflect any modification(s)?

4.11.1 Final Requirements Count

Total Functional Requirements:	746
Total Non-Functional Requirements:	160
Total Project/Transition Requirements:	Enter Number
Requirements Grand Total	906

4.12 Schedule

4.12.1 Schedule Summary

	Estimated Date	Final Baseline Date	Difference
Project Planning Start Date	7/26/2017	7/27/2017	
Project Planning End Date	2/28/2020	12/31/2020	
Project Start Date	12/15/2020	Date Picker	
Project End Date	2/21/2024	Date Picker	

4.12.2 Reason(s) for Difference

PAL Stage 3 took longer than anticipated.

4.12.3 High Level Integrated Master Schedule and Key Milestones

Attachment: (File Attachment)

4.13 Cost Baseline

4.13.1 Cost Summary

	Estimated Proposed Cost	Final Baseline Cost	Difference
Total Planning Cost (One-Time)	\$5,854,025	\$4,601,075	-\$1,252,950
Total Project Cost (One-Time)	\$20,734,248	\$21,575,434	\$841,186
Total Future Operations IT Staff and OE&E Cost (Continuing)	\$1,329,765	\$2,101,284	\$771,519

4.13.2 Reason(s) for Difference

1. Planning cost lower than previously estimated.
2. SI actual costs, plus contingency
3. Increased M&O costs based on actual contract.

4.13.3 Budget Change Proposal (BCP) Summary

Budget Request ID	N/A – Using internal funds.
Budget Request Year	YY/YYYY
Requested Amount	...
Status	Select...

Insert BCP Summary

4.13.4 Financial Analysis Worksheets (Baseline)

Attachment: (File Attachment)

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 Department of Technology review?

Risk Register	Yes	...
Contract Management Plan	Yes	
Cost Management Plan	Yes	
Implementation Management Plan	No	Deferred as agreed with CDT/ PAO Manager.
Requirements Management Plan	Yes	
Deliverable Expectation Document (DED)	Yes	

4.15 Risk Register

Attachment: (File Attachment)

Stage 4 Project Readiness and Approval – Department of Technology Use Only

Original “New Submission” Date	1/8/2021	
Form Received Date	1/8/2021	
Form Accepted Date	1/8/2021	
Form Status	Completed	
Form Status Date	2/5/2021	
Form Disposition	Approved	If “Other,” specify:
Form Disposition Date	2/5/2021	