



# Stage 4 Project Readiness and Approval

California Department of Technology, SIMM 19 D.2 (Rev. 3.0.8, 2/28/2022)

## 4.1 General Information

- 1. Agency or State Entity Name:** 7350 - Industrial Relations, Department of  
If Agency/State entity not in the list, enter here with the [organization code](#).  
[Click or tap here to enter text.](#)
- 2. Proposal Name:** Cal/OSHA Data Management System (DMS) Project
- 3. Department of Technology Project Number (0000-000):** 7350-094
- 4. S4PRA Version Number:** Version 1
- 5. CDT Billing Case Number:** CS0047619  
Don't have a Case Number? [Click here to get one.](#)

## 4.2 Submittal Information

- 1. Contact Information**  
Contact Name: [Benjamin Bonte](#)  
Contact Email: N/A  
Contact Phone: N/A
- 2. Submission Type:** [New Submission](#)  
If Withdraw, select Reason: [Choose an item.](#)  
If Other, specify reason here: [Click or tap here to enter text.](#)  
**Sections Changed if an updated or resubmission** (List all the sections that have changed.)  
[Click or tap here to enter text.](#)  
**Summary of Changes** (Summarize updates made.)  
[Click or tap here to enter text.](#)

3. Attach [Project Approval Executive Transmittal](#) to your email submission. **Attached**
4. Attach Final [Procurement Assessment Form](#) to your email submission. **Attached**
5. **Conditions from Stage 3 Approval** (Enter any conditions from the Stage 3 Solution Analysis approval letter issued by CDT):  
None

## 4.3 Contract Management

The Contract Manager must be a State Employee and should not be the Project Manager. Please complete the questions below in reference to the **primary solicitation**.

Is the Contract Management Plan complete, approved by the designated Agency/state entity authority, and available for the Department of Technology to review? **Choose:** 'Yes,' 'No,' or 'Not Applicable.' If 'No' or 'Not Applicable,' provide the artifact status in the space provided.

1. [Contract Management Plan \(Approved\)](#): Yes

Status: Included in S4PRA Project Management Plan **Attached**

2. **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?** Yes

If "No," briefly explain below why both have not been accomplished:

[Click or tap here to enter text.](#)

3. **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?** Yes

If "No," briefly explain below why this has not been accomplished:

[Click or tap here to enter text.](#)

4. **Has a post-award 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?** Yes

If "No," briefly explain below why this has not been accomplished:

[Click or tap here to enter text.](#)

5. **Does the Contract Manager understand the Agency/state entity and federal processes, policy, and applicable procedures?** Yes

If "No," briefly explain below why this has not been accomplished:

[Click or tap here to enter text.](#)

6. **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)?** [Yes](#)

If “No,” briefly explain below why this has not been accomplished:

[Click or tap here to enter text.](#)

## 4.4 Organizational Readiness

Is the Implementation Management Plan draft complete, approved by the designated Agency/state entity authority, and available for the Department of Technology to review? **Choose:** ‘Yes,’ ‘No,’ or ‘Not Applicable.’ If ‘No’ or ‘Not Applicable,’ provide the artifact status in the space provided.

1. **[Implementation Management Plan \(Draft\):](#)** [Yes](#)

Status: [Included in the S4PRA Project Management Plan](#) **Attached**

2. **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)?** [Yes](#)

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

[Click or tap here to enter text.](#)

3. **Does the project team have a clear understanding of the areas of business (identified in Stage 1) that will be impacted by the project?** [Yes](#)

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 impacted business areas by the project:

[Click or tap here to enter text.](#)

4. **Does the Agency/state entity have processes and methodologies in place to support Organizational Change Management (OCM) activities identified in Stage 2, Section 2.9 Organizational Change Management?** [Yes](#)

If “No,” briefly describe below how the Agency/state entity will perform OCM activities for this proposal:

[Click or tap here to enter text.](#)

5. **Does the Agency/state entity have dedicated knowledge transfer resources assigned to business process improvement or business process reengineering activities resulting from the new solution?** [Yes](#)

If “Yes,” specify the areas of business process improvement: Streamlining of business processes and procedures for the Cal/OSHA program and its units.

[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 resulting from the new solution:

[Click or tap here to enter text.](#)

6. **Attach** Updated Project Organization Chart to your email submission. **Attached**

## 4.5 Project Readiness

1. **Select the system development methodology you plan to use to design and develop the new system: Adaptive**

Provide a brief description of your methodology and reason for selecting it below:

[We will use the adaptive/agile approach in implementing this project. The exact methodology will be determined in collaboration with the System Integrator selected.](#)

Describe below the Agency/state entity’s past project experience using the system development methodology selected. If this methodology has never been used before, describe the training and staff development that will be provided to prepare staff to utilize this methodology.

[In the past DIR has used the waterfall and hybrid methodology. DIR is new to the adaptive/agile approach for IT projects. New projects have been using agile methodology and agile tools such as JIRA. DIR has sent PMO staff to CDT training courses in Agile and Scrum Certification. In addition, DIR has provided in-person training on Human Centered Design and Agile training to the DIR business team.](#)

2. **Has the Agency/state entity engaged the Office of Technology Services (OTech) for capacity planning and the development of the solution delivery timeline? No**

If “No,” and data center capacity planning and alignment services are needed, explain below the reason OTech has not been engaged and what is the alternative plan:

[We will work with the system integrator on helping us with the capacity planning of and development of the solution delivery timeline.](#)

3. **Have resource commitments been obtained for all those identified in the Resource Management Plan? Yes**

If “No,” explain below why commitments have not been obtained and the plan to mitigate this risk:

4. **Does the Resource Management Plan ensure resources are sufficiently committed to perform project activities if they are also committed to other responsibilities? Yes**

If “No,” explain below how sufficient resource levels will be maintained for all project activities:

[Click or tap here to enter text.](#)

**5. Have all identified project leads received at a minimum basic project management training?**

Yes

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.](#)

## 4.6 Business Objective Valuation

1. **Attach** the Requirements/Backlog Baseline and/or Deliverables Baseline to your email submission. **Attached**
2. **Insert your Objectives (ID, Objective, Metric, Baseline, and Target Result) from Stage 1 Section 1.7, along with changes and reason for changes, and assign a percent score value to each. The total of all scores should be 100%.**

Objective ID: 1.1

Objective: Increase Cal/OSHA efficiency by eliminating paper case files and manual workflow.

Change and Reason for Change from Stage 1: No change

Metric: # of Cal/OSHA new paper case files created

Baseline: 100% of Cal/OSHA case files are currently paper-based

Target Result: Reduce the # of new paper case files by 90% within the first year following Cal/OSHA OIS implementation with the necessary equipment purchased.

Measurement Method: Count the # of new paper case files created after the first year of implementation.

Valuation: 20%

Objective ID: 2.1

Objective: Increase the number and efficiency of coding from UPAs to corresponding inspections and consequently generate more accurate reports to better aid in the enforcement and the outreach targeting activities.

Change and Reason for Change from Stage 1: No change

Metric: % of coded UPAs transferred to corresponding inspections in the system.

Baseline: 70% of coded UPAs are reflected on corresponding inspections with manual input.

Target Result: 100% of coded UPAs are reflected on the corresponding inspections in the new system after the first year of implementation.

Measurement Method: Run one report for coded UPAs and another report for coded inspections. Compare the two counts and verify they are the same count.

Valuation: 20%

Objective ID: 3.1

Objective: Improve reports without additional analysis and reformatting after system extract.

Change and Reason for Change from Stage 1: No change

Metric: # of useable reports

Baseline: 90% of reports currently require additional analysis and reformatting after system extract

Target Result: 30% of reports requiring additional analysis and reformatting after system extract

Measurement Method: List of reports requested versus list of reports available in the system not requiring additional analysis and reformatting.

Valuation: 20%

Objective ID: 4.1

Objective: Enable external users to access online reporting of complaints and accidents (injuries/illness) online.

Change and Reason for Change from Stage 1: No change

Metric: # of complaints and accidents (injuries/illness) reported online.

Baseline: 0% of services are accessible online by external stakeholders.

Target Result: 5% of complaints and accidents reported online after first year of implementation.

Measurement Method: *Count of # of complaints and accidents (injuries/illness) reported online.*

Valuation: 20%

Objective ID: 5.1

Objective: Access to data and reports across different Cal/OSHA units.

Change and Reason for Change from Stage 1: No change

Metric: # of useable reports

Baseline: 0% electronic access to data and reports across different Cal/OSHA units.

Target Result: 90% electronic access to data and reports across different Cal/OSHA units.

Measurement Method: List of reports available across different Cal/OSHA units.

Valuation: 20%

*TIP: Copy and paste or click the + in the lower right corner of the above seven fields to add multiple objectives.*

## 4.7 Schedule Baseline

### 1. Schedule Summary

#### Project Execution Start Dates

Proposed Project Start Date (from most recently approved schedule/roadmap from revised S2AA approved on 1.10.24): [5/1/2024](#)

Baseline Project Start Date (Used from RFP for SI KAD as if 3.12.24 – targeted contract award date): [7/17/2024](#)

Variance: [2.5 months longer than expected proposed project start date.](#)

#### Project End Dates

Proposed Project Finish Date (from most recently approved schedule/roadmap from revised S2AA approved on 1.10.24): [6/30/2027](#)

Baseline Project Finish Date (from draft project plan as of 4.14.24 – end of release 3): [11/10/2027](#)

Variance: [over 4 months longer than expected proposed project end date.](#)

### 2. Reason(s) for Variances

Due to increased costs and funding request for BCP FY24/25, on 10/4/23, DOF and CDT requested DIR to submit an updated/revised S1BA and S2AA documents packet to CDT for approval. CDT did not grant approval until they confirmed that BCP FY24/25 funding was included in the governor's budget on 1.10.24. S3 approval was on hold until revised S2AA and updated FAW was updated, submitted, and approved. In addition, the RFP for SI required S3 approval before it could be released on 1.11.24. These items and activities, along with the lengthy procurement timeline by STP for the RFP for the SI in S4 has caused additional delay to the project start date and end date.

### 3. Master Schedule and Key Milestones

**Attach** Master Schedule with highlighted Key Milestones to your email submission.

**Attached**

## 4.8 Cost Baseline

Is the Cost Management Plan complete, approved by the designated Agency/state entity authority, and available for the Department of Technology to review? **Choose:** 'Yes,' 'No,' or 'Not Applicable.' If 'No' or 'Not Applicable,' provide the artifact status in the space provided.

### 1. [Cost Management Plan \(Approved\)](#): Yes

Status: [Included in the S4PRA Project Management Plan](#) **Attached**

## 2. Cost Summary

### Total Planning Cost (One-Time)

Estimated Proposed Cost (from most recently approved FAW from revised S2AA approved on 1.10.24): \$5,774,976

Baseline Cost: \$6,794,158

Variance: \$1,019,182

### Total Project Cost (One-Time)

Estimated Proposed Cost (from most recently approved FAW from revised S2AA approved on 1.10.24): \$76,729,476

Baseline Cost: \$76,984,158

Variance: \$254,682

### Total Future Operations IT Staff and OE&E Cost (Continuing)

Estimated Proposed Cost (from most recently approved FAW from revised S2AA approved on 1.10.24): \$13,700,593

Baseline Cost: \$14,225,109

Variance: \$524,516

### Total Cost

Estimated Proposed Cost (from most recently approved FAW from revised S2AA approved on 1.10.24): \$96,205,045

Baseline Cost: \$98,003,811

Variance: \$1,798,766

### Annual Future Operations IT Costs (Annual M&O)

Estimated Proposed Cost (from most recently approved FAW from revised S2AA approved on 1.10.24): \$13,700,593

Baseline Cost: \$14,225,109

Variance: \$524,516

*TIP: Baseline costs should match the submitted Financial Analysis Worksheet for Stage 4.*

## 3. Reason(s) for Variances

Provide reasons for any cost variances: Cost increases related to salary adjustments from FY21/22 thru FY24/25. CDT requested for us to include salary adjustments to the FAW this year.

## 4. Budget Change Proposal (BCP) Summary

Budget Request ID: 7350-007-BCP-2023-GB



Budget Request Year (0000-00): 2023-24

Requested Amount (specific to the project): \$12.6M

Status: Supported

Budget Bill Language (if supported): N/A

Budget Request ID: 7350-005-BCP-2024-GB

Budget Request Year (0000-00): 2024-25

Requested Amount (specific to the project): \$25.3M

Status: Supported

Budget Bill Language (if supported): N/A

Budget Request ID: Not yet assigned until BCP Narrative stage

Budget Request Year (0000-00): 2025-26

Requested Amount (specific to the project): \$19.3M

Status: Pending

Budget Bill Language (if supported): N/A

*TIP: Copy and paste or click the + button in the lower right corner to add BCPs as needed (e.g., Planning and Project related).*

#### 5. Financial Analysis Worksheets (Baseline)

Attach Final FAWs to your email submission. **Attached**

## 4.9 Primary Solicitation Results

1. **Attach** the approved Evaluation and Selection Report for the primary solicitation to your email submission. **(REQUEST COPY FROM STP)**
2. **Attach** the proposed contract resulting from the primary solicitation to your email submission. **(REQUEST COPY FROM STP)**
3. **Was one of the viable solutions in Stage 2 selected for final contract award?** Yes  
If “No”, please describe:  
[Click or tap here to enter text.](#)
4. **Selected Vendor Name:** TBD in JUNE 2024 (In Evaluation Phase)
5. **Contract Number:** TBD in JUNE 2024 (In Evaluation Phase)
  - a. Contract Start Date: Click or tap to enter a date.
  - b. Contract End Date: Click or tap to enter a date.

6. **Total Contract Cost (without optional years):** TBD in JUNE 2024 (In Evaluation Phase)

a. Optional Years (Number of Months): TBD in JUNE 2024 (In Evaluation Phase)

7. **Total Cost of Optional Years:** TBD in JUNE 2024 (In Evaluation Phase)

8. **Total Contract Cost (with optional years):** TBD in JUNE 2024 (In Evaluation Phase)

Are the following Project Management Plan Drafts approved by the designated Agency/state entity authority and available for the Department of Technology to review? **Choose:** 'Yes,' 'No,' or 'Not Applicable.' If 'No' or 'Not Applicable,' provide the artifact status in the space provided. These plans may be completed with the selected primary vendor.

1. **Configuration Management Plan (Draft):** Yes

Status: Included in the S4PRA Project Management Plan **Attached**

2. **Data Management Plan (Draft):** Yes

Status: Included in the S4PRA Project Management Plan **Attached**

3. **Maintenance and Operations Transition Management Plan (Draft):** Yes

Status: Included in the S4PRA Project Management Plan **Attached**

## 4.10 Risk Register

Attach Risk Register to your email submission. **Attached**

**End of Stage 4 Project Readiness and Approval Document.**

**Please ensure ADA compliance before submitting this document to CDT.**

**When ready, submit Stage 4 and all attachments in an email to [ProjectOversight@state.ca.gov](mailto:ProjectOversight@state.ca.gov).**

*TIP: Use the Gate 4 Project Readiness and Approval Evaluation Scorecard ([SIMM Section 19-D](#)) as an internal tool to ensure a quality submission.*

## Department of Technology Use Only

**Original “New Submission” Date:** [5/30/2024](#)

**Form Received Date:** [5/30/2024](#)

**Form Accepted Date:** [5/30/2024](#)

**Form Status:** [In Analysis](#)

**Form Status Date:** [5/30/2024](#)

**Form Disposition:** [Choose an item.](#)

**Form Disposition Date:** [Click or tap to enter a date.](#)