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: **Public Utilities Commission**

If agency/entity not in list then enter here. Click or tap here to enter text.

Organization Code: 8660

Proposal Name: RSSIMS Bulk Update Project

Department of Technology Project Number (0000-000): 8660-073

4.5 Submittal Information

Contact Information

Contact First Name: Dennis

Contact Last Name: Hong

Contact Email: dennis.hong@cpuc.ca.gov

Contact Phone Number: 415-703-1724

Submission Date: 9/2/2021

Submission Type: Updated Submission (Pre-Approval)

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: Updated the template of S4PRA to comply with ADA standards, 4.4 – Corrected the Organization Code, 4.5 – Updated the submission date,

4.6 – Updated Protest selection field and Contract Number field, 4.9 – Updated Project Organization Chart with classification, 4.11 – Updated requirement narrative with alignment to objectives from S1BA, 4.12 – Updated reasoning for schedule differences and explanation for key milestones, 4.13 – Updated the FAW for M&O, 4.14 – Submitted additional project plans.

Part A Project Approval Executive Transmittal

RSSIMS Stage 4
Project Approval Exe

Condition(s) from Previous Stage(s)

Condition #: Not Appliable

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.

4.6 Primary Solicitation Results

4.6.1 Solicitation Key Action Dates

Activity: Release of Solicitation

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

Actual Start Date: 3/10/2021

Actual End Date: 3/10/2021

Actual Duration (Number of Business Days): 1

Activity: Bidder's Conference

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

Actual Start Date: 3/24/2021

Actual End Date: 3/24/2021

Actual Duration (Number of Business Days): 1

Activity: Last day to submit Exhibit 2: Intent to Bid and Exhibit 3: Confidentiality Statement (signed)

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

Actual Start Date: 4/7/2021

Actual End Date: 4/7/2021

Actual Duration (Number of Business Days): 1

Activity: Last day to submit written questions to and request a meeting with OTech

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

Actual Start Date: 4/21/2021

Actual End Date: 4/21/2021

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 (after written questions)

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

Actual Start Date: 5/12/2021

Actual End Date: 5/12/2021

Actual Duration (Number of Business Days): 1

Activity: Last day to submit Final Proposals

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

Actual Start Date: 6/9/2021

Actual End Date: 6/9/2021

Actual Duration (Number of Business Days): 1

Activity: Evaluation Period

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

Actual Start Date: 6/9/2021

Actual End Date: 6/23/2021

Actual Duration (Number of Business Days): 10

Activity: Other

If "Other" is selected, specify: Oral Presentation

Actual Start Date: 6/28/2021

Actual End Date: 7/2/2021

Actual Duration (Number of Business Days): 5

Activity: Confidential Discussions with individual bidders

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

Actual Start Date: 7/8/2021

Actual End Date: 7/16/2021

Actual Duration (Number of Business Days): 7

Activity: Other

If "Other" is selected, specify: Best and Final Offer Submission #2

Actual Start Date: 8/12/2021

Actual End Date: 8/12/2021

Actual Duration (Number of Business Days): 1

Activity: Notification of Intent to Award

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

Actual Start Date: 8/23/2021

Actual End Date: 8/23/2021

Actual Duration (Number of Business Days): 1

Activity: Contract Award

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

Actual Start Date: 9/10/2021

Actual End Date: 9/10/2021

Actual Duration (Number of Business Days): 1

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: Not Appliable

Addenda Category: Choose an item.

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

4.6.3 Final Bid Respondents

Respondent Name: AgreeYa

Compliant: Yes

Non-Compliance Category: Choose an item.

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

Negotiations Conducted: Yes

Intent to Award: No

Protest: No

Protest Disposition: Choose an item.

Contract Number: Not Appliable

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): $3,335,604,76

Respondent Name: Technology Crest Corporation

Compliant: Yes

Non-Compliance Category: Choose an item.

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

Negotiations Conducted: Yes

Intent to Award: No

Protest: No

Protest Disposition: Choose an item.

Contract Number: Not Appliable

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): $2,476,840.00

Respondent Name: Cambria Solutions

Compliant: Yes

Non-Compliance Category: Choose an item.

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

Negotiations Conducted: Yes

Intent to Award: No

Protest: No

Protest Disposition: Choose an item.

Contract Number: Not Appliable

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): $3,287,927,.72

Respondent Name: Trinity Technology Group

Compliant: Yes

Non-Compliance Category: Choose an item.

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

Negotiations Conducted: Yes

Intent to Award: Yes

Protest: No

Protest Disposition: Choose an item.

Contract Number: RFP 1120-001

      Contract Start Date: 9/10/2021

      Contract End Date: 9/9/2024

Total Contract Cost (without optional years): $2,880,432.60

Optional Years

      Optional Years (Number of Months): 4

      Total Cost of Optional Years: $1,602,380.00

      Total Contract Cost (with optional years): $3,132,508.60

Respondent Name: Global Touchpoints Inc.

Compliant: No

Non-Compliance Category: Choose an item.

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

Negotiations Conducted: Yes

Intent to Award: No

Protest: No

Protest Disposition: Choose an item.

Contract Number: Not Appliable

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): $4,992503.71

Respondent Name: Business Integra Technology Solutions

Compliant: No

Non-Compliance Category: Choose an item.

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

Negotiations Conducted: No

Intent to Award: No

Protest: No

Protest Disposition: Choose an item.

Contract Number: Not Appliable

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: Not Appliable

Subcontractor SB/DVBE: Choose an item.

TIP: Copy and paste to add Subcontractors as needed.

4.7 Ancillary Solicitation Status

Solicitation Title: RSSIMS IV&V

Status: **Completed**

Awardee Name: Intervision Systems LLC

Contract Number: 61269

Contract Start Date: 12/21/2020

Contract End Date: 12/20/2022

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

Optional Years: Not Appliable

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.): $242,250

Solicitation Title: RSSIMS Project Manager

Status: **Completed**

Awardee Name: Sacramento Consulting Group

Contract Number: 66378

Contract Start Date: 7/1/2021

Contract End Date: 6/30/2023

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

Optional Years: Not Appliable

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.): $485,760

<u>TIP: Copy and paste to add Ancillary Solicitation statuses as needed.</u>

4.8 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? Yes

   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? Yes

   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? No

   If "No," briefly explain below why this has not been accomplished: A contract post-award meeting will be scheduled after the notification of award.

4   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.

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)? Yes

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

4.9 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)? Yes

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? 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 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? 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.

4   Does the agency/state entity have dedicated resources assigned to business process improvement or business process reengineering activities? Yes

 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: The business SMEs are assigned to the business improvements and process re-engineering. All the SMEs are identified in the Project Organization Chart.

4.9.1 Project Organization Chart

RSSIMS Project
Organization Chart

4.10　　Project Readiness

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

   If "Other," specify the methodology and provide a brief description below: Hybrid of Agile and Waterfall

   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. This project will be a hybrid of Agile and Waterfall methodology. Waterfall is the standard methodology adopted on many IT projects at CPUC. This project follows CDT's Project Approval Lifecycle (PAL) Process. Waterfall follows Requirements validation, System Technical Designs, System Development, Testing, Verification, and Deployment. CPUC has been accustomed to developing plans, budgets, and approvals prior to development work. The part of the project that will utilize the Agile methodology development. CPUC has experience utilizing the hybrid methodology on the Transportation Carrier Portal, which was successfully deployed in May 2021. CPUC's project manager for this project is also Scrum Master certified.

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

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

   Not applicable

   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? Yes

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? Yes

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

6. Have all identified project leads received formal 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.

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

    No

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

    All CPUC projects uses the same SR number so no new request is needed.

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

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

    12/21/2020

    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?

    Yes

    If "Yes", enter the percentage of change in the space provided: 2.3%

    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: Added 2 requirements that address concerns regarding Disaster Recovery and data backup process. Added 3 requirements to address the file size of attachments and file type for bulk processing. These requirements ensure alignment with the business objectives 3.1 in the S1BA for bulk processing.

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

4.11.1 Final Requirements Count

Total Functional Requirements: 98

Total Non-Functional Requirements: 107

Total Project/Transition Requirements: 15

Requirements Grand Total: 220

4.12 Schedule

4.12.1 Schedule Summary

Date	Estimated Date	Final Baseline Date	Difference
Project Planning Start	9/1/2017	9/10/2021	4 Years
Project Planning End	2/25/2021	12/23/2021	10 Months
Project Execution Start	3/1/2021	9/10/2021	6 Months
Project End	6/30/2022	1/31/2023	7 Months

4.12.2 Reason(s) for Difference

Provide reasons for any date differences: The planning stages was extended due to multiple changes of resource for the project manager role. The business analysis position was vacant for some time due to the length of the hiring process. The write up of the RFP took more time than estimated and the evaluation for each proposal took longer than expected. There were multiple negotiations that occurred with the multiple vendors.

4.12.3 High Level Master Schedule and Key Milestones

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

RSSIMS PAL Stage 4
Project Schedule PD

RSSIMS Project
Schedule.mpp

4.13 Cost Baseline

4.13.1 Cost Summary

Cost	Estimated Proposed Cost	Final Baseline Cost	Difference
Total Planning Cost (One-Time)	$3,287,236	$3,006,732	$280,504
Total Project Cost (One-Time)	$5,770,055	$4,762,839	$1,007,216
Total Future Operations IT Staff and OE&E Cost (Continuing)	$1,065,497	$1,282,391	$216,894
Total	$10,122,788	$9,051,961	$1,070,827
Annual Future Operations IT Costs (M&O)	$498,673	$683,037	$184,364

4.13.2 Reason(s) for Difference

Provide reasons for any date differences: When the project conducted the RFI, it was originally proposed to be a hybrid of the application being held on-premise in a datacenter with the database being on the cloud. After discussion with CPUC Enterprise Architect, it was determined that a hybrid system was not feasible for CPUC. The solution was changed to an all Cloud solution to meet CDT's Cloud preference.

4.13.3 Budget Change Proposal (BCP) Summary

Budget Request ID: Not Appliable

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.

RSSIMS Financial
Analysis Worksheet

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: Yes

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

Contract Management Plan: Yes

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

Cost Management Plan: Yes

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

Implementation Management Plan: Yes

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

Requirements Management Plan: Yes

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

Deliverable Expectation Document: No

4.15 Risk Register

Attach Risk Register to your email submission.

RSSIMS Risk
Register v1.0.xlsx

Gate 4 Project Readiness and Approval Evaluation Scorecard

Use the Gate 4 Project Readiness and Approval Evaluation Scorecard (SIMM Section 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: 8/27/2021

Form Received Date: 9/2/2021

Form Accepted Date: 9/2/2021

Form Status: Completed

Form Status Date: 11/17/2021

Form Disposition: Approved with Conditions

Form Disposition Date: 11/17/2021