



Stage 4 Project Readiness and Approval

California Department of Technology, SIMM 19 D.2 (Rev. 3.0.9, 2/28/2022)

4.1 General Information

1. Agency or State Entity Name: 7100 - Employment Development Department

If Agency/State entity not in the list, enter here with the [organization code](#).

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

2. Proposal Name: Document Management System (DMS)

3. Department of Technology Project Number (0000-000): 7100-237

4. S4PRA Version Number: Version 1

5. CDT Billing Case Number: CS0062891

Don't have a Case Number? [Click here to get one.](#)

4.2 Submittal Information

1. Contact Information

Contact Name: Brett Bruderer

Contact Email: brett.bruderer@edd.ca.gov

Contact Phone: 415/225-4552

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. Attachment 4.2.3
4. Attach Final [Procurement Assessment Form](#) to your email submission. Attachment 4.2.4
5. **Conditions from Stage 3 Approval** (Enter any conditions from the Stage 3 Solution Analysis approval letter issued by CDT):
[Click or tap here to enter text.](#)

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: [Approved](#) Attachment 4.3.1

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: The high-level plan has been drafted. The selected solution vendor will work collaboratively with EDD to establish the implementation management plan. **Attachment 4.4.1**

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.](#)

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](#) – DMS Organizational Change Management (OCM) Plan is a vendor deliverable as described in the RFP:

The DMS OCM Plan shall describe how the Contractor will establish and perform OCM processes to facilitate the iterative releases of the solution and inspire EDD staff acceptance of the product and process improvements. The plan shall include, but not be limited to, the following:

- Gap Analysis of Current EDD Business Processes
- OCM Approach
- Change Readiness Approach
- Change Communication Strategy
- Stakeholder Engagement Plan

- EDD Resource Requirements including Roles and Responsibilities
- Success Measurement Methodology
- Lessons Learned

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 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:

[The impacted business processes SME have been identified and are included in the Project Org Chart.](#)

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.](#)

5. Attach Updated Project Organization Chart to your email submission. Attachment 4.4.6

4.5 Project Readiness

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

Provide a brief description of your methodology and reason for selecting it below: [The EDDNext Hybrid Agile Framework \(HAF\) methodology is a combination of Agile and Waterfall System Development Lifecycle \(SDLC\) models. The HAF methodology provides the Project teams the flexibility to get more done in less time.](#)

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.

[The EDD has developed a comprehensive HAF training program that is provided to all EDDNext DMS team members.](#)

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:

[The DMS solution will be hosted in the EDD instance of the AWS cloud within the OTech tenant managed services environment. The EDD AWS subject matter experts will be supporting the DMS AWS implementation.](#)

3. Have resource commitments been obtained for all those identified in the Resource Management Plan? Yes As represented in the Project Org Chart

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

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

4. Does the Resource Management Plan ensure resources are sufficiently committed to perform project activities if they are also committed to other responsibilities? Yes As represented in the Project Org Chart

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 EDD has developed a comprehensive project management HAF training program that has been provided to all EDDNext DMS team leads.

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. **Attachment 4.6.1**

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: [Upon implementation of a recommended software solution, the development time of custom data capture and new scan jobs will be reduced.](#)

Change and Reason for Change from Stage 1: N/A [No change Percent Score 60%](#)

Metric: [Scan job development process time](#)

Baseline: [Approximately 16 weeks](#)

Target Result: [By end of the project- the development time of custom data capture and new scan jobs will be reduced to within 4 weeks.](#)

Valuation: [Measure new request for data capture from intake through production release and assess the development and implementation timeline to confirm results.](#)

Objective ID: 2.1

Objective: Upon implementation of a recommended software solution, multiple formats of input data will be accepted into the software used for image storage and retrieval.

Change and Reason for Change from Stage 1: N/A No change Percent Score 40%

Metric: Data Source input type

Baseline: One

Target Result: Multiple formats (ex. XML, Comma Separated Values).

Valuation: Introduce forms with multiple formats for input data and validate that the image storage and retrieval solution render the content correctly.

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):
4/11/2024

Baseline Project Start Date: 5/15/2024

Variance: 24 business days added to support vendor solution response evaluation.

Project End Dates

Proposed Project Finish Date (from most recently approved schedule/roadmap):
6/30/2028

Baseline Project Finish Date: 6/30/2028

Variance: None

2. Reason(s) for Variances

Provide reasons for any date variances: 24 business days added to support vendor solution response evaluation.

3. Master Schedule and Key Milestones

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

Attachment 4.7.3-Draft

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: **Approved Attachment 4.8.1**

2. **Cost Summary**

Total Planning Cost (One-Time)

Estimated Proposed Cost (from most recently approved FAW): **\$9,697,479**

Baseline Cost: **8,992,979**

Variance: **The S4SPA FAW Planning Cost have been adjusted to reflect the CDT new rate schedule resulting in an additional \$704,500.**

Total Project Cost (One-Time)

Estimated Proposed Cost (from most recently approved FAW): **\$78,718,320**

Baseline Cost: **71,632,690**

Variance: **The selected vendor's solution cost for design, development, and implementation (DD&I) is \$2,333,774 less than the S2AA estimate. In addition, the selected vendor's solution will require EDD to provide AWS environment, tools and professional services during DD&I and one (1) year of maintenance and operations. The cost associated to the AWS overhead is \$9,188,904. The S4SPA FAW was also adjusted to correctly reflect the CDT costs based on the new rate schedule resulting in an addition of \$230,500. The net result is a \$7,085,630 increase to the Total Project Cost (One-Time).**

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

Estimated Proposed Cost (from most recently approved FAW): **\$11,347,640**

Baseline Cost: **28,458,170**

Variance: **The solution vendor's response to the future cost for Annual Vendor Resources and Technology is \$17,110,530 under the S2AA estimate.**

Total Cost

Estimated Proposed Cost (from most recently approved FAW): **\$99,763,439**

Baseline Cost: **109,083,839**

Variance: **The total proposed cost is \$9,320,400 under the S2AA baseline estimate.**

Annual Future Operations IT Costs (Annual M&O)

Estimated Proposed Cost (from most recently approved FAW): **\$26,280,277**

Baseline Cost: **\$37,698,773**

Variance: The total proposed cost of annual future operations IT cost is \$11,418,496 under the S2AA baseline estimate.

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

3. Reason(s) for Variances

Provide reasons for any cost variances: The selected vendor's over all estimated cost for DD&I and maintenance and operations was \$16,221,799 under the overall S2AA baseline estimates.

4. Budget Change Proposal (BCP) Summary

Budget Request ID: 7100-007-BCP-2024-GB

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

Requested Amount (specific to the project): \$29,000,000 - EDDNext 2024-25 BCP includes all the projects within the EDDNext Portfolio of projects. The amount included in this document represents the EDDNext 2024-25 BCP amount allocated to the DMS project.

Status: Pending

Budget Bill Language (if supported): Click or tap here to enter text.

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. Attachment 4.8.5

4.9 Primary Solicitation Results

1. **Attach** the approved Evaluation and Selection Report for the primary solicitation to your email submission. **Attachment 4.9.1-Evaluation and Selection Report**

2. **Attach** the proposed contract resulting from the primary solicitation to your email submission. **Attachment 4.9.2-Proposed Contract**

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

5. **Contract Number:** TBD

a. Contract Start Date: 5/15/2024 To be updated at contract signing

b. Contract End Date: 6/30/2028

6. **Total Contract Cost (without optional years):** \$42,973,661.50

a. Optional Years (Number of Months): 24

7. **Total Cost of Optional Years: \$5,358,305**
8. **Total Contract Cost (with optional years): \$48,331,966,50**
9. Are the following Project Management Plan Drafts approved by the designated Agency/state entity authority and available for the Department of Technology to review? **Yes** – Draft Plans are available. The Plans will be completed in partnership with the selected primary vendor. 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** Attachment 4.9.9.1
Status: Drafted
2. **Data Management Plan (Draft)**: **Yes** Attachment 4.9.9.2
Status: Drafted
3. **Maintenance and Operations Transition Management Plan (Draft)**: **Yes** Attachment 4.9.9.3
Status: Drafted

4.10 Risk Register

Attach Risk Register to your email submission. **Attachment 4.10.1**

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.

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: 4/12/2024

Form Received Date: 4/12/2024

Form Accepted Date: 4/12/2024

Form Status: Completed

Form Status Date: 06/14/2024

Form Disposition: Approved

Form Disposition Date: 06/14/2024