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:** 0511 - Secretary for Government Operations Agency

    If Agency/State entity not in the list, enter here with the organization code.

    Click or tap here to enter text.

2. **Proposal Name: Cradle-to-Career Data System**

3. **Department of Technology Project Number (0000-000): 0511-004**

4. **S4PRA Version Number:** Version 1

5. **CDT Billing Case Number: CS0042445**

    Don't have a Case Number? Click here to get one.

4.2 Submittal Information

1. **Contact Information**

    Contact Name: Dan Lamoree

    Contact Email: dan.lamoree@c2c.ca.gov

    Contact Phone: 9162086630

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.

4. Attach Final **Procurement Assessment Form** to your email submission.

5. **Conditions from Stage 3 Approval** (Enter any conditions from the Stage 3 Solution Analysis approval letter issued by CDT):

   Per agreement during Stage 3 approval, these artifact will be delivered within 30 days of awarding the System integrator contract

   ● Project Management Plan
   ● Risk Management Plan
   ● Issue and Action Item Management Plan
   ● Change Control Management Plan
   ● Quality Management Plan
   ● Testing Management Plan
   ● Security Management Plan

   .

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):** No.

   Status: Draft

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):** No.

   Status: Per agreement during Stage 3 approval, this artifact will be delivered within 30 days of awarding the System Integrator contract.
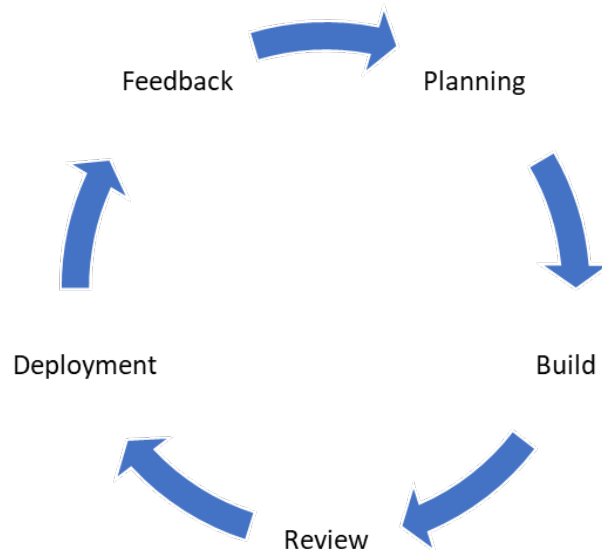
2. **Does the Agency/state entity currently have a mature release management process with a repeatable and scalable testing methodology that supports all stages of testing (system, integration, security, performance, interfaces, regression, user acceptance, and accessibility)?** No.

   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:

   As a newly established Office, Cradle to Career does not yet have a mature release management process. The process outlined here is drawn from best practices following both the California Project Management Framework and the Project Management Institute's Project Management Body of Knowledge as it applies to the iterative and incremental development approach the office intends to use for this project. In an effort to ensure the most practical and efficient methods, it is the Office's intent to refine and adjust this process as necessary. The process will be as follows:

1. **Release planning and design** - Stakeholders, developers, and project leadership determine which features will be included in the next release.
2. **Software build -** The development team builds the software based upon the users stories and established acceptance criteria. Once a feature set is accepted, the release will be pushed into an internal testing environment for review.
3. **Review -** The new build and code is reviewed and cleared through quality and security checks. This includes unit testing, integration testing, user interface testing, and accessibility testing. Once a feature set has passed the review stage, it is ready for deployment.
4. **Deployment -** Deployments will be done in two stages. First, the release will be pushed into a staging environment. A small subset of users will be identified to be staging or "pilot" users that are responsible for accepting the final release prior to the push into a production environment.
5. **Feedback -** Feedback is collected from users, testers, developers, and other stakeholders to determine if there is a need for actionable work items or user stories to be added to the backlog and considered for future releases.

The following diagram illustrates the above process:

Feedback → Planning → Build → Review → Deployment → Feedback

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?** N/A

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

This is a newly established Office and thus does not need to undergo any Organizational Change.

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?** N/A

    If "Yes," specify the areas of business process improvement:

    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:

    The C2C Data System is not replacing any existing solution or manual process that currently exists thus does not have a business process reengineering or improvement component.

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

4.5 Project Readiness

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

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

    The use of iterative/incremental development attempts to mitigate the main criticisms of waterfall / sequential development methodologies since the entire project is broken down into smaller increments or iterations that can apply the lessons learned from the previous iteration. Learning comes from both the development and use of the system, where possible key steps in the process start with a simple implementation of a subset of the software requirements and iteratively enhance the evolving versions until the full system is implemented. At each iteration, design modifications are made and new functional capabilities are added.

    Although iterative development may look at first glance like agile development, there are several key differences, the main one being that iterative development generally follows the same steps as waterfall, just happening in smaller units of time and that with agile you have a potentially shippable product at all times, whereas that is not necessarily the case with iterative development.

    The following diagram illustrates the iterative/incremental process:
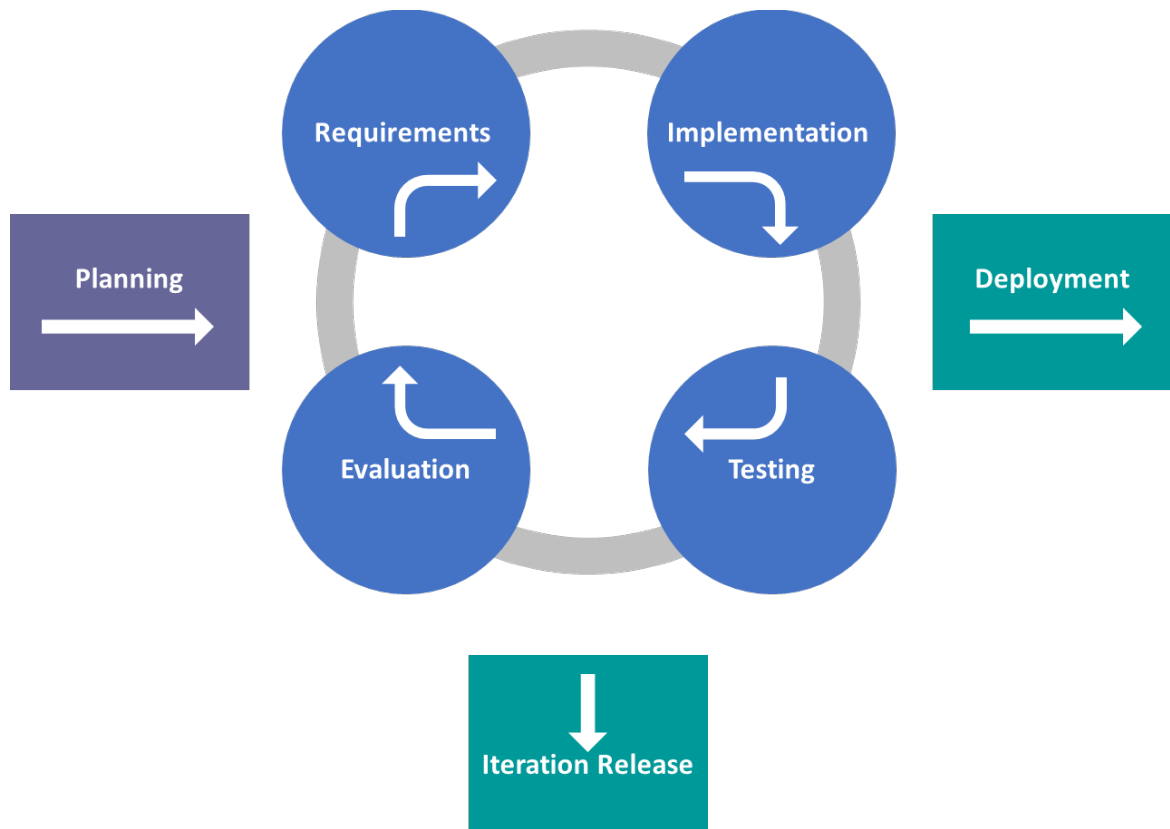
Describe below the Agency/state entity's past project experience using the system development methodology selected. If this methodology has never been used before, describe the training and staff development that will be provided to prepare staff to utilize this methodology.

The C2C Office is newly established and thus does not have a history of past project experiences. In an effort to satisfy this requirement we are providing the experience of the Project director and the Project manager assigned to the project;

1. **Project Director -** The Project Director has 7 years experience managing and delivering IT projects within the State of California utilizing an iterative/incremental SDLC approach.
2. **Project Manager -** The Project Manager has over 20 years experience managing and delivering IT projects within the State of California and over 10 years experience utilizing an iterative/incremental SDLC approach.

2. **Has the Agency/state entity engaged the Office of Technology Services (OTech) for capacity planning and the development of the solution delivery timeline?** Yes

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:

Click or tap here to enter text.

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:

    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 <u>also</u> 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?** No.

    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.

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: Link records provided by state agencies and individual colleges, and develop an analytical data set that can be accessed through dashboards, a query builder, and a request process for anonymized individual-level information that can be accessed through a secure enclave.

    Change and Reason for Change from Stage 1: Click or tap here to enter text.

    Metric: Within two years, K-12, public postsecondary, financial aid, and employment information will be linked; within three years independent college information will be linked; within four years private college and early learning & care information will be linked; within five years social service, health, and workforce training information will be linked

    Baseline: None

    Target Result: By June 2026, data from all planned providers are available in public tools

    Valuation: In the dashboard, query builder, and list of available data element for research requests, information from the specified data providers will be visible.

    Objective ID: 2.1

Objective: Scale the existing state-funded CaliforniaColleges.edu to provide free resources for all California middle and high school students, integrate with CDE's CALPADS data system, and better connect with the public postsecondary and financial aid application processes

Change and Reason for Change from Stage 1: Click or tap here to enter text.

Metric: Within two years, information exchanges will be strengthened with CDE, CSAC, CSU, CCC, and UC; within five years all interested local education agencies will have adopted the planning and monitoring tools

Baseline: 669,000 California 6th-12th grade students currently use CaliforniaColleges.edu

Target Result: By June 2026, 3.2 million of 6th-12th grade students will use CaliforniaColleges.edu

Valuation: Reports on the number of unique users

Objective ID: 3.1

Objective: Scale the existing state-funded eTranscript California to provide free resources for all California postsecondary students and integrate with CCCCO's Management Information System on the EdExchange platform

Change and Reason for Change from Stage 1: Click or tap here to enter text.

Metric: Within two years, the underlying platform will be improved; within three years, free electronic transcript services will be available to all public college students; within four years free electronic transcript services will be available to all California private college students

Baseline: 650,000 students are currently able to access eTranscript California

Target Result: By June 2026, 2.7 million college students will have access to eTranscript California

Valuation: Reports on the number of students enrolled at participating colleges

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): Click or tap to enter a date.

   Baseline Project Start Date: 10/31/2022

   Variance: Click or tap here to enter text.

   Project End Dates

Proposed Project Finish Date (from most recently approved schedule/roadmap): Click or tap to enter a date.

Baseline Project Finish Date: Click or tap to enter a date.

Variance: Click or tap here to enter text.

2. **Reason(s) for Variances**

Provide reasons for any date variances: Click or tap here to enter text.

3. **Master Schedule and Key Milestones**

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

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):** No.

   Status: Per agreement during Stage 3 approval, this artifact will be delivered within 30 days of awarding the System Integrator contract.

2. **Cost Summary**

   Total Planning Cost (One-Time)

   Estimated Proposed Cost (from most recently approved FAW): $1,194,708

   Baseline Cost: Click or tap here to enter text.

   Variance: Click or tap here to enter text.

   Total Project Cost (One-Time)

   Estimated Proposed Cost (from most recently approved FAW): $14,874,255

   Baseline Cost: Click or tap here to enter text.

   Variance: Click or tap here to enter text.

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

   Estimated Proposed Cost (from most recently approved FAW): $2,846,848

   Baseline Cost: Click or tap here to enter text.

   Variance: Click or tap here to enter text.

   Total Cost

   Estimated Proposed Cost (from most recently approved FAW): $18,915,812

   Baseline Cost: Click or tap here to enter text.

Variance: Click or tap here to enter text.

Annual Future Operations IT Costs (Annual M&O)

Estimated Proposed Cost (from most recently approved FAW): $2,846,848

Baseline Cost: Click or tap here to enter text.

Variance: Click or tap here to enter text.

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

3. **Reason(s) for Variances**

Provide reasons for any cost variances: Click or tap here to enter text.

4. **Budget Change Proposal (BCP) Summary**

Budget Request ID: N/A.

Budget Request Year (0000-00):

Requested Amount (specific to the project):

Status:

Budget Bill Language (if supported):

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.

4.9 Primary Solicitation Results

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

2. **Attach** the proposed contract resulting from the primary solicitation to your email submission.

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:** 0511-025-001 System integrator

   a. Contract Start Date: 2022-11-XX
   b. Contract End Date: 2023-11-XX

6. **Total Contract Cost (without optional years):** $4,737,515

   a. Optional Years (Number of Months): Work Order Authorizations (WOA)

7. **Total Cost of Optional Years:** Work Order Authorizations

8. **Total Contract Cost (with optional years):** $4,737,515 + WOA + $360,000 M&O

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):** No.

   Status: Per agreement during Stage 3 approval, this artifact will be delivered within 30 days of awarding the System Integrator contract.

2. **Data Management Plan (Draft):** No.

   Status: Per agreement during Stage 3 approval, this artifact will be delivered within 30 days of awarding the System Integrator contract.

3. **Maintenance and Operations Transition Management Plan (Draft):** No.

   Status: Per agreement during Stage 3 approval, this artifact will be delivered within 60 days of awarding the System Integrator contract.

4.10	**Risk Register**

Attach Risk Register to your email submission.

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: 11/10/2022

Form Received Date: 11/10/2022

Form Accepted Date: 11/10/2022

Form Status: Completed

Form Status Date: 11/18/2022

Form Disposition: Approved

Form Disposition Date: 11/18/2022