




Stage 2 Preliminary Assessment

California Department of Technology, SIMM 19B (Rev. 2.1), Revision 5/21/2018

2.1 General Information		
Agency or State Entity Name:		
Franchise Tax Board (FTB)		
Organization Code:		
7730		
Proposal Name:		
Enterprise Data to Revenue 2 (EDR2)		
Department of Technology Project Number:	7730-209	
2.2 Preliminary Submittal Information		
Contact Information:		
Contact First Name:	Contact Last Name:	
Chrissy	Casale	
Contact Email:	Contact Phone:	
Christina.Casale@ftb.ca.gov	845-4116	
Preliminary Submission Date:	Preliminary Assessment Transmittal:	
5/10/2017	S2AA Preliminary Assessment Transmittal  EDR2 S2AA Preliminary Assessme	
2.3 Stage 2 Preliminary Assessment		
2.3.1 Impact Assessment		
	Yes	No
1. Has the Agency/state entity identified and committed subject matter experts from all business sponsors and key stakeholders?	<input checked="" type="checkbox"/>	<input type="checkbox"/>
2. Are all current baseline systems that will be impacted by this proposal documented and current (e.g., data classification and data exchange agreements, privacy impact assessments, design documents, data flow diagram, data dictionary, application code, architecture descriptions)?	<input checked="" type="checkbox"/>	<input type="checkbox"/>
3. Does the Agency/state entity anticipate needing support from the California Department of Technology (CDT) Statewide Technology Procurement (STP) to conduct market research for this proposal (Market Survey, Request for Information)?	<input type="checkbox"/>	<input checked="" type="checkbox"/>
4. Does the Agency/state entity anticipate submitting a budget request to support the procurement activities of this proposal?	<input checked="" type="checkbox"/>	<input type="checkbox"/>
5. Could this proposal involve the development and/or purchase of systems to support activities included in Financial Information System for California (FI\$Cal) (e.g., financial accounting, asset management, human resources, procurement/ordering, inventory management, facilities management)?	<input type="checkbox"/>	<input checked="" type="checkbox"/>
6. Does the Agency/state entity have a designated Chief Architect or Enterprise Architect to lead the development of baseline and alternative solutions architecture descriptions?	<input checked="" type="checkbox"/>	<input type="checkbox"/>
7. Will the Agency/state entity's Information Security Officer be involved in the development and review of any security related requirements?	<input checked="" type="checkbox"/>	<input type="checkbox"/>
8. Does the Agency/state entity anticipate performing a business-based procurement to have vendors propose a solution?	<input checked="" type="checkbox"/>	<input type="checkbox"/>



Stage 2 Preliminary Assessment

California Department of Technology, SIMM 19B (Rev. 2.1), Revision 5/21/2018

2.3.2 Business Complexity Assessment

Business Complexity: 2.1

Business Complexity Zone:

High


Medium

Low



Stage 2 Alternatives Analysis







California Department of Technology, SIMM 19B (Rev. 2.1), Revision 5/21/2018

2.4 Submittal Information	
Contact Information:	
Contact First Name:	Contact Last Name:
Chrissy	Casale
Contact Email:	Contact Phone:
Christina.Casale@ftb.ca.gov	845-4116
Submission Date:	Project Approval Executive Transmittal:
7/26/2018	 EDR2 S2AA Approval Transmittal
Submission Type:	
<input checked="" type="checkbox"/> New Submission <input type="checkbox"/> Updated Submission (Post-Approval)	
<input type="checkbox"/> Updated Submission (Pre-Approval) <input type="checkbox"/> Withdraw Submission	
Reason: Select...	
If "Other," specify:	
Sections Updated (For Updated Submissions Only) – (check all that apply)	
<input type="checkbox"/> 2.1 General Information <input type="checkbox"/> 2.2 Preliminary Submittal Information <input type="checkbox"/> 2.3 Stage 2 Preliminary Assessment <input type="checkbox"/> 2.3.1 Impact Assessment <input type="checkbox"/> 2.3.2 Business Complexity Assessment <input type="checkbox"/> 2.4 Submittal Information <input type="checkbox"/> 2.5 Baseline Processes and Systems <input type="checkbox"/> 2.5.1 Description <input type="checkbox"/> 2.5.2 Business Process Workflow <input type="checkbox"/> 2.5.3 Current Architecture Information <input type="checkbox"/> 2.5.4 Current Architecture Diagram <input type="checkbox"/> 2.5.5 Security Categorization Impact Table <input type="checkbox"/> 2.6 Mid-Level Solution Requirements <input type="checkbox"/> 2.7 Assumptions and Constraints <input type="checkbox"/> 2.8 Dependencies <input type="checkbox"/> 2.9 Market Research <input type="checkbox"/> 2.9.1 Market Research Methodologies/Timeframes <input type="checkbox"/> 2.9.2 Results of Market Research <input type="checkbox"/> 2.10 Alternative Solutions <input type="checkbox"/> 2.10.1 Solution Type) <input type="checkbox"/> Recommended <input type="checkbox"/> Alternative <input type="checkbox"/> 2.10.2 Name <input type="checkbox"/> 2.10.3 Description <input type="checkbox"/> 2.10.4 Benefit Analysis <input type="checkbox"/> 2.10.5 Assumptions and Constraints	<input type="checkbox"/> 2.10.6 Implementation Approach <input type="checkbox"/> 2.10.7 Architecture Information <input type="checkbox"/> 2.11 Recommended Solution <input type="checkbox"/> 2.11.1 Rationale for Selection <input type="checkbox"/> 2.11.2 Technical/Initial IT Project Oversight Framework Complexity Assessment <input type="checkbox"/> 2.11.3 Procurement and Staffing Strategy <input type="checkbox"/> 2.11.4 Enterprise Architecture Alignment <input type="checkbox"/> 2.11.5 Project Phases <input type="checkbox"/> 2.11.6 High Level Proposed Project Schedule <input type="checkbox"/> 2.11.7 Cost Summary <input type="checkbox"/> 2.12 Staffing Plan <input type="checkbox"/> 2.12.1 Administrative <input type="checkbox"/> 2.12.2 Business Program <input type="checkbox"/> 2.12.3 Information Technology (IT) <input type="checkbox"/> 2.12.4 Security <input type="checkbox"/> 2.12.5 Testing <input type="checkbox"/> 2.12.6 Data Conversion/Migration <input type="checkbox"/> 2.12.7 Training and Organizational Change Management <input type="checkbox"/> 2.12.8 Resource Capacity/Skills/Knowledge for Stage 3 Solution Development <input type="checkbox"/> 2.12.9 Project Management <input type="checkbox"/> 2.12.9.1 Project Management Maturity Assessment <input type="checkbox"/> 2.12.9.2 Project Management Planning <input type="checkbox"/> 2.12.10 Organization Charts <input type="checkbox"/> 2.13 Data Conversion/Migration <input type="checkbox"/> 2.14 Financial Analysis Worksheets
Summary of Changes:	



Stage 2 Alternatives Analysis

California Department of Technology, SIMM 19B (Rev. 2.1), Revision 5/21/2018

Condition(s) from Previous Stage(s):	
Condition #
Condition Category	Select...
Other, specify
Condition Sub-category	Select...
Other, specify
Condition	
Assessment	Select...
Other, specify
Agency/state Entity Response	
Status	Select...
Other, specify
Select + to add conditions.	
2.5 Baseline Processes and Systems	
2.5.1 Description	
See attached document for description.	
 Section 2.5.1.docx	
2.5.2 Business Process Workflow	
See attached workflow documents.	
  	
Section 2.5.2 Audit Business Process Wo Section 2.5.2 Filing Enforcement Busine Section 2.5.2 Underpayment Busin	
2.5.3 Current Architecture Information	
See attached spreadsheet for current architecture information.	
 Section 2.5.3.xlsx	
2.5.4 Current Architecture Diagram	
See attached business process diagrams.	
 Section 2.5.4.docx	
2.5.5 Security Categorization Impact Table	
See attached Data Classification Standard document.	



Stage 2 Alternatives Analysis

California Department of Technology, SIMM 19B (Rev. 2.1), Revision 5/21/2018



Data Classification Standard.pdf

SECURITY CATEGORIZATION IMPACT TABLE SUMMARY

SECURITY OBJECTIVE	LOW		HIGH
Confidentiality	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Integrity	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Availability	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>

2.6 Mid-Level Solution Requirements

See attached spreadsheet.



Section 2.6
Mid-Level Solution R

2.7 Assumptions and Constraints

Assumptions/Constraints	Description/Potential Impact
The State of California's existing tax structure and tax policy will remain relatively constant.	California's tax structure and policy will remain relatively constant.
All EDR ² Project tasks will be completed as planned.	FTB will manage project tasks to ensure they are completed as planned.
Management will maintain the project as high priority throughout the SDLC.	The priority of this project is high and will remain at that level for the duration of the project.
The department is committed to developing staff with the requisite skills to support a vendor in the development of EDR ² and allow for transition of skills from the vendor to fully support EDR ² without vendor support post project.	The staff required for this project will have the requisite skills to support a selected vendor and transition those skills so the solution can be fully supported by state resources post project.
Benefits will be derived from the EDR ² project solution to fund the contract and implementation.	FTB will be able to fund this project using the benefits derived from the EDR ² solution.
The department will be authorized to use the Solution Based and Benefits funded Procurement model and receive agreement on the vendor compensation model.	FTB will be authorized to use a Solution Based and Benefits Funded Procurement model and a biddable compensation model to encourage competition and maximize vendor participation.
There will be no significant legislative mandates that impact the EDR ² Project or FTB technology.	FTB is continuously monitoring legislative mandates to ensure that any with significant impact are reviewed and responded to.
There will be sufficient interest from qualified vendors so that they will bid on the EDR ² Project.	Qualified vendors will be interested in the EDR ² project and submit proposals.



Stage 2 Alternatives Analysis

California Department of Technology, SIMM 19B (Rev. 2.1), Revision 5/21/2018

Leverage existing Enterprise Data, Modeling, and Case Management platform.	This project will leverage from the existing Enterprise Data, Modeling, and Case Management platform used by the EDR Applications.
Use Cases, Design artifacts, and Detailed Design artifacts that transitioned to FTB after implementation of the EDR System are being maintained.	FTB continues to maintain the Use Cases, Design artifacts, and Detailed Design artifacts that transitioned to FTB after implementation of the EDR System.
<p><u>Vendor Constraints:</u></p> <p>a. The Vendor must perform all EDR² Solution analysis, design, development, testing, implementation, training, maintenance, and operations activities at the FTB Central Office currently in Sacramento, California.</p> <p>b. The Vendor staff including all subcontractor staff and replacement staff assigned to the EDR² Project will be subject to a pre-employment background investigation and security check in order to be allowed access to FTB facilities and network, including fingerprinting, tax compliance, etc.</p>	Adhering to FTB’s Vendor Constraints is not optional. FTB will ensure that all vendor staff pass a background check and perform all related project work at FTB’s Sacramento location. FTB will provide all office space and equipment needed for vendor activities to take place on-site at FTB facilities.

Select + to add assumptions/constraints.

2.8 Dependencies

Element	Description
Assignment of CDT Analysts to EDR ²	A CDT Procurement Analyst has been assigned to the EDR ² Project. FTB will provide appropriate badging, office space and equipment needed for the analyst to work on-site at the FTB facilities.
Approval of EDR ² Project BCPs	EDR ² BCPs submitted by FTB need to be approved to ensure adequate funding/position authority.
Complete the Mainframe Refresh as planned	FTB will manage the Mainframe Refresh to ensure it is completed as planned.
Complete the Pega, DataStage, and Oracle refreshes prior to Project start.	FTB will initiate and manage the Pega, DataStage, and Oracle refreshes to ensure they are completed prior to Project start.
Complete the PBX replacement	FTB will manage the PBX replacement to ensure it is completed as planned.

Select + to add dependencies.

2.9 Market Research

2.9.1 Market Research Methodologies/Timeframes

Methodologies Used To Perform Market Research (check all that apply):

- Request for Information (RFI)
 Trade shows



Stage 2 Alternatives Analysis

California Department of Technology, SIMM 19B (Rev. 2.1), Revision 5/21/2018

- | | |
|----------------------------------------------------------------------------------------------------|----------------------------------------------------------|
| <input checked="" type="checkbox"/> Internet Research | <input checked="" type="checkbox"/> Published Literature |
| <input type="checkbox"/> Vendor Forums/Presentation | <input type="checkbox"/> Leveraged Agreements |
| <input type="checkbox"/> Collaboration with other Agencies/state entities or governmental entities | <input type="checkbox"/> Other, specify: |

Time spent conducting market research:	7 months
Date market research was started:	5/1/2017
Date all market research was completed:	12/1/2017

2.9.2 Results of Market Research

In 2008, FTB began a multi-phased Tax Systems Modernization (TSM) effort aimed at modernizing systems and achieving a strategic Target Architecture Model (TAM). The TSM consists of 3 phases.

- EDR - Enterprise Data to Revenue (EDR) Project, laid the foundation for TSM by delivering the infrastructure and software architecture required for a consolidated platform with common business functions and services. EDR implemented full image scanning of returns and payments, case management, modeling, and an internal and external taxpayer folder (MyFTB) to improve taxpayer self-service.
- EDR² - Builds on the platform implemented through the EDR Project. It delivers enterprise case management and enterprise modeling services for Audit/Legal, Filing Enforcement, and Underpayment and allows us to decommission the Pass-through Audit Support System (PASS), Integrated Non-Filer Compliance (INC) System, and Accounts Receivable Collections System (ARCS). The internal and external taxpayer folder (MyFTB) and the call center platforms will be modernized and implement additional functionality.
- EDR³ - Extends the functionality implemented through previous phases by delivering an enterprise tax accounting component and additional enterprise services, and supporting statewide data sharing and consolidation. With the implementation of Phase 3, the TSM initiative is complete and the FTB tax program is on a common modern platform.

With the implementation of the EDR project in 2016, FTB has started planning the EDR² Project. Part of the EDR² planning includes validating the TSM effort and the resulting TAM developed in 2008. In order to do this, FTB conducted Market Research and released a Request for Information (RFI) to the vendor community.

Market Research

FTB reached out to Gartner for assistance with the following:

- Determine if FTB’s TAM is still viable and achievable and whether it allows for inherit opportunities based on today’s and future technology growth patterns.
- Determine if FTB’s TAM compares with industry best practices

Based on discussions with Gartner, the following results were provided:

- FTB’s TAM is achievable. Gartner recommends a crawl, walk, run approach.
- FTB’s TAM reflects industry Best Practices, based on trends 5 – 10 years out.

Request for Information

FTB released a Request for Information (RFI) to the vendor community with the primary goal of validating FTB’s Mid-Level Requirements for the EDR² Project. Ten well-respected vendors responded to the RFI. Six of the ten respondents agreed they could meet our Mid-Level Requirements and proposed a solution that aligns with FTB’s TAM.

Based on the results of the Market Research and the vendor responses to the RFI, FTB has successfully revalidated the Tax System Modernization strategy and the resulting Target Architecture Model. The vendor feedback from the RFI



Stage 2 Alternatives Analysis

California Department of Technology, SIMM 19B (Rev. 2.1), Revision 5/21/2018

further supports the Mid-Level Requirements and confirms that FTB has proposed the best possible solution for Phase 2 of the TSM.

2.10 Alternative Solutions

2.10.1 Solution Type

Recommended

2.10.2 Name

EDR² - Phase II of FTB's Tax Systems Modernization (TSM) Plan

2.10.3 Description

EDR² will continue to build on the platform implemented through the EDR¹ Project. It will enhance the enterprise data, enterprise case management, and enterprise modeling services for Underpayment, Audit, and Filing Enforcement which will allow FTB to decommission the Pass-through Audit Support System (PASS), Integrated Non-Filer Compliance (INC) System, and Accounts Receivable Collections System (ARCS). The internal and external taxpayer folder (MyFTB) and the call center platforms will also be enhanced with additional functionality.

The key objectives are as follows:

Objective 1.1

Increase revenue and efficiencies by transitioning the Audit, Filing Enforcement, and Underpayment SOWs from multiple legacy systems to the Enterprise Data, Modeling, and Case Management Platform:

- Providing access to enterprise data
- Providing access to enterprise modeling
- Improving case selection
- Providing workload management
- Providing access to common services
- Providing enhanced communication capabilities
- Providing event driven Knowledge Management

Objective 1.2

Increase revenue and efficiencies for the Audit, Filing Enforcement (FE), and Underpayment SOWs by:

- Implementing new Audit and FE models that select returns not selected with their current models
- Implementing new Audit, FE, and Underpayment strategies that leverage enhanced data and data analytics and aim to change taxpayer behavior.
- Implementing Third-Party Nonfiler Program
- Automating manual audit processes
- Providing additional communication capabilities, self-services, and campaigns
- Providing mobile computing
- Implementing new third-party data sources to identify nonfilers not covered by the current FE program.
- Utilizing advanced technologies such as business and artificial intelligence

Objective 1.3

Increase revenue by correcting returns before and during Return Analysis with all available data in order to accept, hold for correction, send auto notices, and refer returns for compliance follow-up.

Objective 1.4

Increase worker direct time and increase revenue per hour by improving Worker Productivity.

- Automate manual user tasks, allowing them to work more complex tasks.
- Collect and provide information automatically to users during key tasks to improve their efficiency.



Stage 2 Alternatives Analysis

California Department of Technology, SIMM 19B (Rev. 2.1), Revision 5/21/2018

- Use technology during case management workflow to provide smart routing to staff to make assigning work tasks more efficient for leads, supervisors and managers.

Objective 1.5

Transition the functionality currently provided by INC, ARCS, and PASS to the EDR Enterprise Platform.

- Retire legacy systems that have aging and outdated technology that is nearing the end of its useful life.

Approach (Check all that apply):

- Increase staff – new or existing capabilities
- Modify the existing business process or create a new business process
- Reduce the services or level of services provided
- Utilize new or increased contracted services
- Enhance the existing IT system
- Create a new IT system
- Perform a business-based procurement to have vendors propose a solution
- Other, specify: FTB Plans to procure a benefits-based procurement and plans to leverage the platform implemented in EDR¹ to deliver enterprise services and bring in some additional functionality.

2.10.4 Benefit Analysis

Benefits/Advantages

- This solution continues to build on the platform that was implemented in EDR¹.
- The EDR¹ platform is in line with FTB’s Target Architecture Model (TAM).
- FTB’s staff have been trained on the processes and technologies that were brought in with EDR¹.
- The Architecture that was delivered in EDR¹ is flexible and will be able to keep up with impending legislation demands.
- There are multiple system integrator vendors that support the implementation of this solution and can continue to support it.
- EDR² plans to utilize a benefits-based procurement that benefits both the state and the vendor community.
- This solution meets 100% of our mid-level requirements.
- This solution meets FTB’s stringent security requirements.
- This solution allows FTB to meet our objectives, including retiring legacy systems, components, tools and applications.

Select + to add benefits/advantages

Disadvantages

N/A

Select + to add disadvantages

Anticipated Time to Achieve Objectives After Project Go-Live

Objective Number	Objective Timeframe				
	Within 1 Year	2 Years	3 Years	4 Years	Over 4 Years
1.1	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
1.2	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
1.3	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1.4	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1.5	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>

Select + to add objectives



Stage 2 Alternatives Analysis

California Department of Technology, SIMM 19B (Rev. 2.1), Revision 5/21/2018

Anticipated Time to Achieve Financial Benefits After Project Go-Live					
Financial Benefit	Within 1 Year	2 Years	3 Years	4 Years	Over 4 Years
Increased Revenues	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Cost Savings	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Cost Avoidance	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Cost Recovery	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

2.10.5 Assumptions and Constraints

N/A

Select + to add assumptions/constraints

2.10.6 Implementation Approach

Identify the type of existing IT system enhancement or new system proposed (check all that apply):

- Enhance the current system
- Develop a new custom solution
- Purchase a Commercial off-the-Shelf (COTS) system
- Purchase or obtain a system from another government agency (Transfer)
- Subscribe to a Software as a Service (SaaS) system
- Other, specify:

Identify cloud services to be leveraged (check all that apply):

- Software as a Service (SaaS) provided by OTech
- Software as a Service (SaaS) provided by commercial vendor
- Platform as a Service (PaaS) provided by OTech
- Platform as a Service (PaaS) provided by commercial vendor
- Infrastructure as a Service (IaaS) provided by OTech
- Infrastructure as a Service (IaaS) provided by commercial vendor
- No cloud services will be leveraged by this alternative. Provide a description of why cloud services are not being leveraged:

The EDR2 solution will leverage both FTB's private cloud built with the first EDR project, as well as some of FTB's existing public cloud services. It is FTB's intention to continue to build off of our private-cloud architecture for the EDR² project's core tax processing systems. For the more common services needed, that are not unique to FTB, we will utilize public cloud solutions. This is consistent with FTB's hybrid cloud policy of evaluating cloud solutions for all technology initiatives.

Identify who will modify the existing system or create the new system (check all that apply):

- Agency/state entity IT staff
- A vendor will be contracted
- Inter-agency agreement will be established with another governmental agency. Specify Agency name(s):
- Other, specify:

Identify the implementation strategy:

- All requirements will be addressed in this proposed project in a single implementation.
- Requirements will be addressed in incremental implementations in this proposed project.
- Some requirements will be addressed in this proposed project. The remaining requirements will be addressed at a later date.
Specify the year when the remaining requirements will be addressed:

Identify if the technology for the proposed project will be mission critical and public facing:



Stage 2 Alternatives Analysis

California Department of Technology, SIMM 19B (Rev. 2.1), Revision 5/21/2018

The technology implemented for this proposed project will be considered mission critical and public facing.

2.10.7 Architecture Information

Business Function/Process(es)	Enhance FTB’s enterprise data, enterprise case management, and enterprise modeling services to add Underpayment, Audit, and Filing Enforcement, which allows FTB to decommission the Pass-through Audit Support System (PASS), Integrated Non-Filer Compliance (INC) System, and Accounts Receivable Collections System (ARCS). The internal and external taxpayer folder (MyFTB) and the call center platforms will also be enhanced with additional functionality.
-------------------------------	----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------

Application, System or Component	Application and Components
COTS, MOTS or Custom	Modified off-the-shelf (MOTS)

Name/Primary Technology:	PEGA, IBM Initiate, FileNet, DB2, JAVA, SPSS, WebSphere message broker
--------------------------	------------------------------------------------------------------------

Runtime	Cloud Computing Used?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	If “Yes,” specify:	Infrastructure as a Service (IaaS)
	Server/Device Function	Applications, Web Services, DBMS, Utilities, Transactions, etc.		
	Hardware	AIX and Wintel		
	Operating System	Unix, Linux, Microsoft		
	System Software	DB2		
	System Software	PEGA		
	System Software	IBM Initiate		
	System Software	JAVA		
	System Software	SPSS		
	System Software	IBM Filenet		
System Software	IBM WebSphere message broker			

Select + to add system software

System Interfaces	IBM WebSphere message broker, API’s and ETL
-------------------	---------------------------------------------

Data Center Location	Agency/state data center operated by Agency/state entity
	Other, specify

Security	Access (check all that apply)	<input checked="" type="checkbox"/> Public <input checked="" type="checkbox"/> Internal State Staff <input checked="" type="checkbox"/> External State Staff <input type="checkbox"/> Other, specify:
	Type of Information (check all that apply)	<input checked="" type="checkbox"/> Personal <input type="checkbox"/> Health <input checked="" type="checkbox"/> Tax <input checked="" type="checkbox"/> Financial <input checked="" type="checkbox"/> Legal <input checked="" type="checkbox"/> Confidential <input checked="" type="checkbox"/> Other, specify: Federal Tax Information (FTI)
	Protective Measures (check all that apply)	<input checked="" type="checkbox"/> Technical Security <input checked="" type="checkbox"/> Identity Authorization and Authentication <input checked="" type="checkbox"/> Physical Security <input checked="" type="checkbox"/> Backup and Recovery <input type="checkbox"/> Other, specify:

Data	Data Owner	Name: Kem Musgrove
		Title: Chief Information Officer (CIO)
		Business Program: Enterprise

Data Custodian	Name: Nadean Shavor
	Title: Information Security Officer (ISO)
	Business Program: Enterprise

Select + to add business functions/processes

2.10.1 Solution Type

Alternative



Stage 2 Alternatives Analysis

California Department of Technology, SIMM 19B (Rev. 2.1), Revision 5/21/2018

2.10.2 Name

Integrated tax software solution

2.10.3 Description

The sole source integrated tax software is a commercial off-the-shelf (COTS) solution that is capable of only replacing approximately 80% of FTB's required functionality.

Approach (Check all that apply):

- Increase staff – new or existing capabilities
- Modify the existing business process or create a new business process
- Reduce the services or level of services provided
- Utilize new or increased contracted services
- Enhance the existing IT system
- Create a new IT system
- Perform a business-based procurement to have vendors propose a solution
- Other, specify:

2.10.4 Benefit Analysis

Benefits/Advantages

The Integrated tax software solution includes the accounting components that FTB plans to complete in EDR³.

The Integrated tax software solution is also used by our sister agencies, BOE and EDD.

Select + to add benefits/advantages

Disadvantages

Based on the RFI response, this solution cannot meet our Mid-level System requirements because it only provides approximately 80% of the required functionality.

If we choose to procure this solution, any forthcoming procurements to augment this solution would likely require a sole-sourced vendor and a Non-Competitive Bid (NCB) process which would limit FTB's capability to implement short notice legislative and law changes or be adaptive to business enhancements needed for compliance and revenue goals.

This solution doesn't support IVR, OCR, letters, interfaces, and reports which are required to be modified or enhanced in EDR² and EDR³ to meet our business needs.

In addition, if we need to augment staff to modify or enhance these solutions, the solution provider may not be able to meet these needs in a single procurement.

FTB has stringent Security requirements, and without knowing the solution architecture, we run the risk of implementing a solution that may not meet our security requirements.

This is a rip and replace proprietary single-engine solution; therefore, with this solution we would be throwing away years of critical business-driven capabilities, such as Case Management (CM), Business Rules Engine (BRE), Business Processing Management (BPM), Enterprise Data Warehouse (EDW), Master Data Management (MDM), Content Management, Business Intelligence, and our user-facing Case Management, Internal Tax Payer Folder (ITF), and My FTB applications.

There is no guarantee that the solution provider could make the system changes required to comply with new legislation or evolving business demands. Our business areas need to have a flexible system that adapts to our business, not our business adapting to the software solution.

FTB has an approved, pre-defined target architecture that has been vetted by Gartner Inc, and multiple state agencies. If we choose this solution, FTB would no longer be in alignment with our approved target architecture.

There would also be greater risk of not retiring all of the legacy systems, components, tools, and applications.

Select + to add disadvantages

Anticipated Time to Achieve Objectives After Project Go-Live



Stage 2 Alternatives Analysis

California Department of Technology, SIMM 19B (Rev. 2.1), Revision 5/21/2018

Objective Number	Objective Timeframe				
	Within 1 Year	2 Years	3 Years	4 Years	Over 4 Years
1.1	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1.2	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1.3	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1.4	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1.5	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Select + to add objectives

Financial Benefit	Anticipated Time to Achieve Financial Benefits After Project Go-Live				
	Within 1 Year	2 Years	3 Years	4 Years	Over 4 Years
Increased Revenues	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Cost Savings	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Cost Avoidance	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Cost Recovery	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

2.10.5 Assumptions and Constraints

Select + to add assumptions/constraints

2.10.6 Implementation Approach

Identify the type of existing IT system enhancement or new system proposed (check all that apply):

- Enhance the current system
- Develop a new custom solution
- Purchase a Commercial off-the-Shelf (COTS) system
- Purchase or obtain a system from another government agency (Transfer)
- Subscribe to a Software as a Service (SaaS) system
- Other, specify:

Identify cloud services to be leveraged (check all that apply):

- Software as a Service (SaaS) provided by OTech
- Software as a Service (SaaS) provided by commercial vendor
- Platform as a Service (PaaS) provided by OTech
- Platform as a Service (PaaS) provided by commercial vendor
- Infrastructure as a Service (IaaS) provided by OTech
- Infrastructure as a Service (IaaS) provided by commercial vendor
- No cloud services will be leveraged by this alternative. Provide a description of why cloud services are not being leveraged:

Identify who will modify the existing system or create the new system (check all that apply):

- Agency/state entity IT staff
- A vendor will be contracted
- Inter-agency agreement will be established with another governmental agency. Specify Agency name(s):
- Other, specify:

Identify the implementation strategy:

- All requirements will be addressed in this proposed project in a single implementation.



Stage 2 Alternatives Analysis

California Department of Technology, SIMM 19B (Rev. 2.1), Revision 5/21/2018

- Requirements will be addressed in incremental implementations in this proposed project.
- Some requirements will be addressed in this proposed project. The remaining requirements will be addressed at a later date.

Specify the year when the remaining requirements will be addressed: TBD

Identify if the technology for the proposed project will be mission critical and public facing:

- The technology implemented for this proposed project will be considered mission critical and public facing.

2.10.7 Architecture Information

Business Function/Process(es)	Deliver enterprise data, enterprise case management, and enterprise modeling services for Underpayment, Audit, and Filing Enforcement, which allows FTB to decommission the Pass-through Audit Support System (PASS), Integrated Non-Filer Compliance (INC) System, and Accounts Receivable Collections System (ARCS).
-------------------------------	------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------

Application, System or Component	System
----------------------------------	--------

COTS, MOTS or Custom	Commerical off-the-shelf (COTS)
----------------------	---------------------------------

Name/Primary Technology:	Integrated tax software solution
--------------------------	----------------------------------

Runtime Environment	Cloud Computing Used?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	If "Yes," specify:	Infrastructure as a Service (IaaS)
	Server/Device Function	Unknown		
	Hardware	Unknown		
	Operating System	Unknown		
	System Software	Gentax		

Select + to add system software

System Interfaces	Doesn't support this.
-------------------	-----------------------

Data Center Location	Agency/state data center operated by Agency/state entity Click here to enter text.
----------------------	---------------------------------------------------------------------------------------

Security	Access (check all that apply)	<input checked="" type="checkbox"/> Public <input checked="" type="checkbox"/> Internal State Staff <input checked="" type="checkbox"/> External State Staff <input type="checkbox"/> Other, specify:
	Type of Information (check all that apply)	<input checked="" type="checkbox"/> Personal <input type="checkbox"/> Health <input checked="" type="checkbox"/> Tax <input checked="" type="checkbox"/> Financial <input checked="" type="checkbox"/> Legal <input checked="" type="checkbox"/> Confidential <input checked="" type="checkbox"/> Other, specify: Federal Tax Information (FTI)
	Protective Measures (check all that apply)	<input checked="" type="checkbox"/> Technical Security <input checked="" type="checkbox"/> Identity Authorization and Authentication <input checked="" type="checkbox"/> Physical Security <input checked="" type="checkbox"/> Backup and Recovery <input type="checkbox"/> Other, specify:

Data Management	Data Owner	Name: Kem Musgrove
		Title: Chief Information Officer (CIO)
		Business Program: Enterprise

Data Custodian		Name: Nadean Shavor
		Title: Information Security Officer (ISO)
		Business Program: Enterprise

Select + to add business functions/processes

2.11 Recommended Solution

2.11.1 Rationale for Selection

FTB's recommendation is to procure a benefits-based solution and leverage the platform implemented in EDR¹ to deliver enterprise services and add new functionality. This direction is in alignment with our five key objectives listed in 2.10.3 and our Target Architecture Model (TAM). FTB will continue to build on the platform already implemented and



Stage 2 Alternatives Analysis

California Department of Technology, SIMM 19B (Rev. 2.1), Revision 5/21/2018

will enhance the enterprise data, enterprise case management, and enterprise modeling services for Underpayment, Audit, and Filing Enforcement, which will allow FTB to decommission the Pass-through Audit Support System (PASS), Integrated Non-Filer Compliance (INC) System, and the Accounts Receivable Collections System (ARCS). The internal and external taxpayer folder (MyFTB) will also be enhanced with additional functionality.

[Attach file](#)

2.11.2 Technical/Initial CA-PMM Complexity Assessment

Complexity	Complexity Zone	
Technical Complexity Score: 2.9	<input type="checkbox"/> Zone I	Low Criticality/Risk
	<input checked="" type="checkbox"/> Zone II/III	Medium Criticality/Risk
	<input type="checkbox"/> Zone IV	High Criticality/Risk

2.11.3 Procurement and Staffing Strategy

Activity

Conduct Procurement

Responsible (check all that apply)	When Needed (check all that apply)	Cost Estimate Verification (check all that apply)
<input checked="" type="checkbox"/> Agency/state entity staff <input checked="" type="checkbox"/> STP staff <input checked="" type="checkbox"/> CDT Project Approvals and Oversight staff <input type="checkbox"/> CA-PMO staff <input type="checkbox"/> DGS staff <input type="checkbox"/> Contractor <input checked="" type="checkbox"/> Other, specify:	<input checked="" type="checkbox"/> Stage 3 Solution Development <input checked="" type="checkbox"/> Stage 4 Project Readiness and Approval <input type="checkbox"/> After project is approved (after Stage 4 Project Readiness and Approval)	<input type="checkbox"/> Market research conducted (MR) <input checked="" type="checkbox"/> Cost estimate provided (CE) <input checked="" type="checkbox"/> CDT CE <input type="checkbox"/> DGS CE <input type="checkbox"/> Request for Information (RFI) conducted <input type="checkbox"/> Comparable vendor services have been used on previous contracts (CV) <input type="checkbox"/> Leveraged Procurement Agreement (LPA)

Complete Only if Contractor Responsible for Activity

Procurement Vehicle	Select...	Contract Type	Select...
If "Other," specify:	Click here to enter text.	If "Other," specify:	Click here to enter text.

Business Analysis

Responsible (check all that apply)	When Needed (check all that apply)	Cost Estimate Verification (check all that apply)
<input checked="" type="checkbox"/> Agency/state entity staff <input type="checkbox"/> STP staff <input type="checkbox"/> CDT Project Approvals and Oversight staff <input type="checkbox"/> CA-PMO staff <input type="checkbox"/> DGS staff <input type="checkbox"/> Contractor <input type="checkbox"/> Other, specify:	<input checked="" type="checkbox"/> Stage 3 Solution Development <input checked="" type="checkbox"/> Stage 4 Project Readiness and Approval <input type="checkbox"/> After project is approved (after Stage 4 Project Readiness and Approval)	<input type="checkbox"/> Market research conducted (MR) <input checked="" type="checkbox"/> Cost estimate provided (CE) <input type="checkbox"/> CDT CE <input type="checkbox"/> DGS CE <input type="checkbox"/> Request for Information (RFI) conducted <input type="checkbox"/> Comparable vendor services have been used on previous contracts (CV) <input type="checkbox"/> Leveraged Procurement Agreement (LPA)



Stage 2 Alternatives Analysis

California Department of Technology, SIMM 19B (Rev. 2.1), Revision 5/21/2018

Complete Only if Contractor Responsible for Activity			
Procurement Vehicle		Contract Type	
Select...	Select...	Select...	Select...
If "Other," specify: Click here to enter text.		If "Other," specify: Click here to enter text.	
Technical Analysis			
Responsible (check all that apply)	When Needed (check all that apply)	Cost Estimate Verification (check all that apply)	
<input checked="" type="checkbox"/> Agency/state entity staff <input type="checkbox"/> STP staff <input type="checkbox"/> CDT Project Approvals and Oversight staff <input type="checkbox"/> CA-PMO staff <input type="checkbox"/> DGS staff <input type="checkbox"/> Contractor <input type="checkbox"/> Other, specify:	<input checked="" type="checkbox"/> Stage 3 Solution Development <input checked="" type="checkbox"/> Stage 4 Project Readiness and Approval <input type="checkbox"/> After project is approved (after Stage 4 Project Readiness and Approval)	<input type="checkbox"/> Market research conducted (MR) <input checked="" type="checkbox"/> Cost estimate provided (CE) <input type="checkbox"/> CDT CE <input type="checkbox"/> DGS CE <input type="checkbox"/> Request for Information (RFI) conducted <input type="checkbox"/> Comparable vendor services have been used on previous contracts (CV) <input type="checkbox"/> Leveraged Procurement Agreement (LPA)	
Complete Only if Contractor Responsible for Activity			
Procurement Vehicle		Contract Type	
Select...	Select...	Select...	Select...
If "Other," specify: Click here to enter text.		If "Other," specify: Click here to enter text.	
Solicitation Development			
Responsible (check all that apply)	When Needed (check all that apply)	Cost Estimate Verification (check all that apply)	
<input checked="" type="checkbox"/> Agency/state entity staff <input type="checkbox"/> STP staff <input type="checkbox"/> CDT Project Approvals and Oversight staff <input type="checkbox"/> CA-PMO staff <input type="checkbox"/> DGS staff <input type="checkbox"/> Contractor <input type="checkbox"/> Other, specify:	<input checked="" type="checkbox"/> Stage 3 Solution Development <input type="checkbox"/> Stage 4 Project Readiness and Approval <input type="checkbox"/> After project is approved (after Stage 4 Project Readiness and Approval)	<input type="checkbox"/> Market research conducted (MR) <input checked="" type="checkbox"/> Cost estimate provided (CE) <input type="checkbox"/> CDT CE <input type="checkbox"/> DGS CE <input type="checkbox"/> Request for Information (RFI) conducted <input type="checkbox"/> Comparable vendor services have been used on previous contracts (CV) <input type="checkbox"/> Leveraged Procurement Agreement (LPA)	
Complete Only if Contractor Responsible for Activity			
Procurement Vehicle		Contract Type	
Select...	Select...	Select...	Select...
If "Other," specify: Click here to enter text.		If "Other," specify: Click here to enter text.	
Requirements Elicitation			
Responsible (check all that apply)	When Needed (check all that apply)	Cost Estimate Verification (check all that apply)	



Stage 2 Alternatives Analysis

California Department of Technology, SIMM 19B (Rev. 2.1), Revision 5/21/2018

- | | | |
|--------------------------------------------------------------------|---------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------|
| <input checked="" type="checkbox"/> Agency/state entity staff | <input checked="" type="checkbox"/> Stage 3 Solution Development | <input type="checkbox"/> Market research conducted (MR) |
| <input type="checkbox"/> STP staff | <input type="checkbox"/> Stage 4 Project Readiness and Approval | <input checked="" type="checkbox"/> Cost estimate provided (CE) |
| <input type="checkbox"/> CDT Project Approvals and Oversight staff | <input type="checkbox"/> After project is approved (after Stage 4 Project Readiness and Approval) | <input type="checkbox"/> CDT CE |
| <input type="checkbox"/> CA-PMO staff | | <input type="checkbox"/> DGS CE |
| <input type="checkbox"/> DGS staff | | <input type="checkbox"/> Request for Information (RFI) conducted |
| <input type="checkbox"/> Contractor | | <input type="checkbox"/> Comparable vendor services have been used on previous contracts (CV) |
| <input type="checkbox"/> Other, specify: | | <input type="checkbox"/> Leveraged Procurement Agreement (LPA) |

Complete Only if Contractor Responsible for Activity

Procurement Vehicle	Select...	Contract Type	Select...
If "Other," specify:	Click here to enter text.	If "Other," specify:	Click here to enter text.

Cost Reasonableness

Responsible (check all that apply)	When Needed (check all that apply)	Cost Estimate Verification (check all that apply)
<input checked="" type="checkbox"/> Agency/state entity staff <input type="checkbox"/> STP staff <input type="checkbox"/> CDT Project Approvals and Oversight staff <input type="checkbox"/> CA-PMO staff <input type="checkbox"/> DGS staff <input checked="" type="checkbox"/> Contractor <input type="checkbox"/> Other, specify:	<input type="checkbox"/> Stage 3 Solution Development <input checked="" type="checkbox"/> Stage 4 Project Readiness and Approval <input type="checkbox"/> After project is approved (after Stage 4 Project Readiness and Approval)	<input type="checkbox"/> Market research conducted (MR) <input checked="" type="checkbox"/> Cost estimate provided (CE) <input type="checkbox"/> CDT CE <input type="checkbox"/> DGS CE <input type="checkbox"/> Request for Information (RFI) conducted <input checked="" type="checkbox"/> Comparable vendor services have been used on previous contracts (CV) <input type="checkbox"/> Leveraged Procurement Agreement (LPA)

Complete Only if Contractor Responsible for Activity

Procurement Vehicle	Small Business/DVBE Option	Contract Type	Fixed Price (FP)
If "Other," specify:	Click here to enter text.	If "Other," specify:	Click here to enter text.

Project Management

Responsible (check all that apply)	When Needed (check all that apply)	Cost Estimate Verification (check all that apply)
<input checked="" type="checkbox"/> Agency/state entity staff <input type="checkbox"/> STP staff <input type="checkbox"/> CDT Project Approvals and Oversight staff <input type="checkbox"/> CA-PMO staff <input type="checkbox"/> DGS staff <input checked="" type="checkbox"/> Contractor <input type="checkbox"/> Other, specify:	<input type="checkbox"/> Stage 3 Solution Development <input type="checkbox"/> Stage 4 Project Readiness and Approval <input checked="" type="checkbox"/> After project is approved (after Stage 4 Project Readiness and Approval)	<input type="checkbox"/> Market research conducted (MR) <input checked="" type="checkbox"/> Cost estimate provided (CE) <input type="checkbox"/> CDT CE <input type="checkbox"/> DGS CE <input type="checkbox"/> Request for Information (RFI) conducted <input checked="" type="checkbox"/> Comparable vendor services have been used on previous contracts (CV) <input type="checkbox"/> Leveraged Procurement Agreement (LPA)

Complete Only if Contractor Responsible for Activity



Stage 2 Alternatives Analysis

California Department of Technology, SIMM 19B (Rev. 2.1), Revision 5/21/2018

Procurement Vehicle	Formal Solicitation (IFB/ RFP)	Contract Type	Other
If "Other," specify:	Click here to enter text.	If "Other," specify:	Fixed Price Benefits-Based

Independent Verification and Validation (IV&V)

Responsible (check all that apply)	When Needed (check all that apply)	Cost Estimate Verification (check all that apply)
<input checked="" type="checkbox"/> Agency/state entity staff <input type="checkbox"/> STP staff <input type="checkbox"/> CDT Project Approvals and Oversight staff <input type="checkbox"/> CA-PMO staff <input type="checkbox"/> DGS staff <input checked="" type="checkbox"/> Contractor <input type="checkbox"/> Other, specify:	<input type="checkbox"/> Stage 3 Solution Development <input type="checkbox"/> Stage 4 Project Readiness and Approval <input checked="" type="checkbox"/> After project is approved (after Stage 4 Project Readiness and Approval)	<input type="checkbox"/> Market research conducted (MR) <input checked="" type="checkbox"/> Cost estimate provided (CE) <input type="checkbox"/> CDT CE <input type="checkbox"/> DGS CE <input type="checkbox"/> Request for Information (RFI) conducted <input checked="" type="checkbox"/> Comparable vendor services have been used on previous contracts (CV) <input type="checkbox"/> Leveraged Procurement Agreement (LPA)

Complete Only if Contractor Responsible for Activity

Procurement Vehicle	Request for Offer/Information Technology Consulting Services (ITMSA)	Contract Type	Time and Materials (T&M)
If "Other," specify:	Click here to enter text.	If "Other," specify:	Click here to enter text.

Project Oversight

Responsible (check all that apply)	When Needed (check all that apply)	Cost Estimate Verification (check all that apply)
<input checked="" type="checkbox"/> Agency/state entity staff <input type="checkbox"/> STP staff <input checked="" type="checkbox"/> CDT Project Approvals and Oversight staff <input type="checkbox"/> CA-PMO staff <input type="checkbox"/> DGS staff <input type="checkbox"/> Contractor <input type="checkbox"/> Other, specify:	<input type="checkbox"/> Stage 3 Solution Development <input type="checkbox"/> Stage 4 Project Readiness and Approval <input checked="" type="checkbox"/> After project is approved (after Stage 4 Project Readiness and Approval)	<input type="checkbox"/> Market research conducted (MR) <input checked="" type="checkbox"/> Cost estimate provided (CE) <input checked="" type="checkbox"/> CDT CE <input type="checkbox"/> DGS CE <input type="checkbox"/> Request for Information (RFI) conducted <input type="checkbox"/> Comparable vendor services have been used on previous contracts (CV) <input type="checkbox"/> Leveraged Procurement Agreement (LPA)

Complete Only if Contractor Responsible for Activity

Procurement Vehicle	Select...	Contract Type	Select...
If "Other," specify:	Click here to enter text.	If "Other," specify:	Click here to enter text.

Contract Management

Responsible (check all that apply)	When Needed (check all that apply)	Cost Estimate Verification (check all that apply)



Stage 2 Alternatives Analysis

California Department of Technology, SIMM 19B (Rev. 2.1), Revision 5/21/2018

- | | | |
|--------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------|
| <input checked="" type="checkbox"/> Agency/state entity staff | <input type="checkbox"/> Stage 3 Solution Development | <input type="checkbox"/> Market research conducted (MR) |
| <input type="checkbox"/> STP staff | <input type="checkbox"/> Stage 4 Project Readiness and Approval | <input checked="" type="checkbox"/> Cost estimate provided (CE) |
| <input type="checkbox"/> CDT Project Approvals and Oversight staff | <input checked="" type="checkbox"/> After project is approved (after Stage 4 Project Readiness and Approval) | <input type="checkbox"/> CDT CE |
| <input type="checkbox"/> CA-PMO staff | | <input type="checkbox"/> DGS CE |
| <input type="checkbox"/> DGS staff | | <input type="checkbox"/> Request for Information (RFI) conducted |
| <input checked="" type="checkbox"/> Contractor | | <input checked="" type="checkbox"/> Comparable vendor services have been used on previous contracts (CV) |
| <input type="checkbox"/> Other, specify: | | <input type="checkbox"/> Leveraged Procurement Agreement (LPA) |

Complete Only if Contractor Responsible for Activity

Procurement Vehicle Formal Solicitation (IFB/ RFP)
 If "Other," specify: [Click here to enter text.](#)

Contract Type Other
 If "Other," specify: Fixed Price Benefits-Based

Enterprise Architecture

Responsible (check all that apply)	When Needed (check all that apply)	Cost Estimate Verification (check all that apply)
<input checked="" type="checkbox"/> Agency/state entity staff <input type="checkbox"/> STP staff <input type="checkbox"/> CDT Project Approvals and Oversight staff <input type="checkbox"/> CA-PMO staff <input type="checkbox"/> DGS staff <input checked="" type="checkbox"/> Contractor <input type="checkbox"/> Other, specify:	<input type="checkbox"/> Stage 3 Solution Development <input type="checkbox"/> Stage 4 Project Readiness and Approval <input checked="" type="checkbox"/> After project is approved (after Stage 4 Project Readiness and Approval)	<input type="checkbox"/> Market research conducted (MR) <input checked="" type="checkbox"/> Cost estimate provided (CE) <input type="checkbox"/> CDT CE <input type="checkbox"/> DGS CE <input type="checkbox"/> Request for Information (RFI) conducted <input checked="" type="checkbox"/> Comparable vendor services have been used on previous contracts (CV) <input type="checkbox"/> Leveraged Procurement Agreement (LPA)

Complete Only if Contractor Responsible for Activity

Procurement Vehicle Formal Solicitation (IFB/ RFP)
 If "Other," specify: [Click here to enter text.](#)

Contract Type Other
 If "Other," specify: Fixed Price Benefits-Based

Quality Assurance

Responsible (check all that apply)	When Needed (check all that apply)	Cost Estimate Verification (check all that apply)
<input checked="" type="checkbox"/> Agency/state entity staff <input type="checkbox"/> STP staff <input type="checkbox"/> CDT Project Approvals and Oversight staff <input type="checkbox"/> CA-PMO staff <input type="checkbox"/> DGS staff <input checked="" type="checkbox"/> Contractor <input type="checkbox"/> Other, specify:	<input type="checkbox"/> Stage 3 Solution Development <input type="checkbox"/> Stage 4 Project Readiness and Approval <input checked="" type="checkbox"/> After project is approved (after Stage 4 Project Readiness and Approval)	<input type="checkbox"/> Market research conducted (MR) <input checked="" type="checkbox"/> Cost estimate provided (CE) <input type="checkbox"/> CDT CE <input type="checkbox"/> DGS CE <input type="checkbox"/> Request for Information (RFI) conducted <input checked="" type="checkbox"/> Comparable vendor services have been used on previous contracts (CV) <input type="checkbox"/> Leveraged Procurement Agreement (LPA)

Complete Only if Contractor Responsible for Activity



Stage 2 Alternatives Analysis

California Department of Technology, SIMM 19B (Rev. 2.1), Revision 5/21/2018

Procurement Vehicle	Formal Solicitation (IFB/ RFP)	Contract Type	Other
If "Other," specify:	Click here to enter text.	If "Other," specify:	Fixed Price Benefits-Based
Organizational Change Management			
Responsible (check all that apply)	When Needed (check all that apply)	Cost Estimate Verification (check all that apply)	
<input checked="" type="checkbox"/> Agency/state entity staff <input type="checkbox"/> STP staff <input type="checkbox"/> CDT Project Approvals and Oversight staff <input type="checkbox"/> CA-PMO staff <input type="checkbox"/> DGS staff <input checked="" type="checkbox"/> Contractor <input type="checkbox"/> Other, specify:	<input type="checkbox"/> Stage 3 Solution Development <input checked="" type="checkbox"/> Stage 4 Project Readiness and Approval <input type="checkbox"/> After project is approved (after Stage 4 Project Readiness and Approval)	<input type="checkbox"/> Market research conducted (MR) <input checked="" type="checkbox"/> Cost estimate provided (CE) <input type="checkbox"/> CDT CE <input type="checkbox"/> DGS CE <input type="checkbox"/> Request for Information (RFI) conducted <input checked="" type="checkbox"/> Comparable vendor services have been used on previous contracts (CV) <input type="checkbox"/> Leveraged Procurement Agreement (LPA)	
Complete Only if Contractor Responsible for Activity			
Procurement Vehicle	Formal Solicitation (IFB/ RFP)	Contract Type	Other
If "Other," specify:	Click here to enter text.	If "Other," specify:	Fixed Price Benefits-Based
Design			
Responsible (check all that apply)	When Needed (check all that apply)	Cost Estimate Verification (check all that apply)	
<input checked="" type="checkbox"/> Agency/state entity staff <input type="checkbox"/> STP staff <input type="checkbox"/> CDT Project Approvals and Oversight staff <input type="checkbox"/> CA-PMO staff <input type="checkbox"/> DGS staff <input checked="" type="checkbox"/> Contractor <input type="checkbox"/> Other, specify:	<input type="checkbox"/> Stage 3 Solution Development <input type="checkbox"/> Stage 4 Project Readiness and Approval <input checked="" type="checkbox"/> After project is approved (after Stage 4 Project Readiness and Approval)	<input type="checkbox"/> Market research conducted (MR) <input checked="" type="checkbox"/> Cost estimate provided (CE) <input type="checkbox"/> CDT CE <input type="checkbox"/> DGS CE <input type="checkbox"/> Request for Information (RFI) conducted <input checked="" type="checkbox"/> Comparable vendor services have been used on previous contracts (CV) <input type="checkbox"/> Leveraged Procurement Agreement (LPA)	
Complete Only if Contractor Responsible for Activity			
Procurement Vehicle	Formal Solicitation (IFB/ RFP)	Contract Type	Other
If "Other," specify:	Click here to enter text.	If "Other," specify:	Fixed Price Benefits-Based
Data Cleansing			
Responsible (check all that apply)	When Needed (check all that apply)	Cost Estimate Verification (check all that apply)	
<input checked="" type="checkbox"/> Agency/state entity staff <input type="checkbox"/> STP staff <input type="checkbox"/> CDT Project Approvals and Oversight staff <input type="checkbox"/> CA-PMO staff	<input type="checkbox"/> Stage 3 Solution Development <input type="checkbox"/> Stage 4 Project Readiness and Approval	<input type="checkbox"/> Market research conducted (MR) <input checked="" type="checkbox"/> Cost estimate provided (CE) <input type="checkbox"/> CDT CE <input type="checkbox"/> DGS CE <input type="checkbox"/> Request for Information (RFI) conducted	



Stage 2 Alternatives Analysis

California Department of Technology, SIMM 19B (Rev. 2.1), Revision 5/21/2018

- | | | |
|------------------------------------------------|--------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------|
| <input type="checkbox"/> DGS staff | <input checked="" type="checkbox"/> After project is approved (after Stage 4 Project Readiness and Approval) | <input checked="" type="checkbox"/> Comparable vendor services have been used on previous contracts (CV) |
| <input checked="" type="checkbox"/> Contractor | | <input type="checkbox"/> Leveraged Procurement Agreement (LPA) |
| <input type="checkbox"/> Other, specify: | | |

Complete Only if Contractor Responsible for Activity

Procurement Vehicle Formal Solicitation (IFB/ RFP)
 If "Other," specify: [Click here to enter text.](#)

Contract Type Other
 If "Other," specify: Fixed Price Benefits-Based

Data Validation

Responsible (check all that apply)	When Needed (check all that apply)	Cost Estimate Verification (check all that apply)
<input checked="" type="checkbox"/> Agency/state entity staff <input type="checkbox"/> STP staff <input type="checkbox"/> CDT Project Approvals and Oversight staff <input type="checkbox"/> CA-PMO staff <input type="checkbox"/> DGS staff <input checked="" type="checkbox"/> Contractor <input type="checkbox"/> Other, specify:	<input type="checkbox"/> Stage 3 Solution Development <input type="checkbox"/> Stage 4 Project Readiness and Approval <input checked="" type="checkbox"/> After project is approved (after Stage 4 Project Readiness and Approval)	<input type="checkbox"/> Market research conducted (MR) <input checked="" type="checkbox"/> Cost estimate provided (CE) <input type="checkbox"/> CDT CE <input type="checkbox"/> DGS CE <input type="checkbox"/> Request for Information (RFI) conducted <input checked="" type="checkbox"/> Comparable vendor services have been used on previous contracts (CV) <input type="checkbox"/> Leveraged Procurement Agreement (LPA)

Complete Only if Contractor Responsible for Activity

Procurement Vehicle Formal Solicitation (IFB/ RFP)
 If "Other," specify: [Click here to enter text.](#)

Contract Type Other
 If "Other," specify: [Click here to enter text.](#)

Data Conversion

Responsible (check all that apply)	When Needed (check all that apply)	Cost Estimate Verification (check all that apply)
<input checked="" type="checkbox"/> Agency/state entity staff <input type="checkbox"/> STP staff <input type="checkbox"/> CDT Project Approvals and Oversight staff <input type="checkbox"/> CA-PMO staff <input type="checkbox"/> DGS staff <input checked="" type="checkbox"/> Contractor <input type="checkbox"/> Other, specify:	<input type="checkbox"/> Stage 3 Solution Development <input type="checkbox"/> Stage 4 Project Readiness and Approval <input checked="" type="checkbox"/> After project is approved (after Stage 4 Project Readiness and Approval)	<input type="checkbox"/> Market research conducted (MR) <input checked="" type="checkbox"/> Cost estimate provided (CE) <input type="checkbox"/> CDT CE <input type="checkbox"/> DGS CE <input type="checkbox"/> Request for Information (RFI) conducted <input checked="" type="checkbox"/> Comparable vendor services have been used on previous contracts (CV) <input type="checkbox"/> Leveraged Procurement Agreement (LPA)

Complete Only if Contractor Responsible for Activity

Procurement Vehicle Formal Solicitation (IFB/ RFP)
 If "Other," specify: [Click here to enter text.](#)

Contract Type Other
 If "Other," specify: Fixed Price Benefits-Based

Data Migration



Stage 2 Alternatives Analysis

California Department of Technology, SIMM 19B (Rev. 2.1), Revision 5/21/2018

Responsible (check all that apply)	When Needed (check all that apply)	Cost Estimate Verification (check all that apply)
<input checked="" type="checkbox"/> Agency/state entity staff <input type="checkbox"/> STP staff <input type="checkbox"/> CDT Project Approvals and Oversight staff <input type="checkbox"/> CA-PMO staff <input type="checkbox"/> DGS staff <input checked="" type="checkbox"/> Contractor <input type="checkbox"/> Other, specify:	<input type="checkbox"/> Stage 3 Solution Development <input type="checkbox"/> Stage 4 Project Readiness and Approval <input checked="" type="checkbox"/> After project is approved (after Stage 4 Project Readiness and Approval)	<input type="checkbox"/> Market research conducted (MR) <input checked="" type="checkbox"/> Cost estimate provided (CE) <input type="checkbox"/> CDT CE <input type="checkbox"/> DGS CE <input type="checkbox"/> Request for Information (RFI) conducted <input checked="" type="checkbox"/> Comparable vendor services have been used on previous contracts (CV) <input type="checkbox"/> Leveraged Procurement Agreement (LPA)

Complete Only if Contractor Responsible for Activity

Procurement Vehicle	Formal Solicitation (IFB/ RFP)	Contract Type	Other
If "Other," specify:	Click here to enter text.	If "Other," specify:	Fixed Price Benefits-Based

Integration/Development

Responsible (check all that apply)	When Needed (check all that apply)	Cost Estimate Verification (check all that apply)
<input checked="" type="checkbox"/> Agency/state entity staff <input type="checkbox"/> STP staff <input type="checkbox"/> CDT Project Approvals and Oversight staff <input type="checkbox"/> CA-PMO staff <input type="checkbox"/> DGS staff <input checked="" type="checkbox"/> Contractor <input type="checkbox"/> Other, specify:	<input type="checkbox"/> Stage 3 Solution Development <input type="checkbox"/> Stage 4 Project Readiness and Approval <input checked="" type="checkbox"/> After project is approved (after Stage 4 Project Readiness and Approval)	<input type="checkbox"/> Market research conducted (MR) <input checked="" type="checkbox"/> Cost estimate provided (CE) <input type="checkbox"/> CDT CE <input type="checkbox"/> DGS CE <input type="checkbox"/> Request for Information (RFI) conducted <input checked="" type="checkbox"/> Comparable vendor services have been used on previous contracts (CV) <input type="checkbox"/> Leveraged Procurement Agreement (LPA)

Complete Only if Contractor Responsible for Activity

Procurement Vehicle	Formal Solicitation (IFB/ RFP)	Contract Type	Other
If "Other," specify:	Click here to enter text.	If "Other," specify:	Fixed Price Benefits-Based

Technical Installation of Hardware

Responsible (check all that apply)	When Needed (check all that apply)	Cost Estimate Verification (check all that apply)
<input checked="" type="checkbox"/> Agency/state entity staff <input type="checkbox"/> STP staff <input type="checkbox"/> CDT Project Approvals and Oversight staff <input type="checkbox"/> CA-PMO staff <input type="checkbox"/> DGS staff <input type="checkbox"/> Contractor <input type="checkbox"/> Other, specify:	<input type="checkbox"/> Stage 3 Solution Development <input type="checkbox"/> Stage 4 Project Readiness and Approval <input checked="" type="checkbox"/> After project is approved (after Stage 4 Project Readiness and Approval)	<input type="checkbox"/> Market research conducted (MR) <input checked="" type="checkbox"/> Cost estimate provided (CE) <input type="checkbox"/> CDT CE <input type="checkbox"/> DGS CE <input type="checkbox"/> Request for Information (RFI) conducted <input type="checkbox"/> Comparable vendor services have been used on previous contracts (CV) <input type="checkbox"/> Leveraged Procurement Agreement (LPA)



Stage 2 Alternatives Analysis

California Department of Technology, SIMM 19B (Rev. 2.1), Revision 5/21/2018

Complete Only if Contractor Responsible for Activity

Procurement Vehicle	Select...	Contract Type	Select...
If "Other," specify:	Click here to enter text.	If "Other," specify:	Click here to enter text.

Technical Installation of Software

Responsible (check all that apply)	When Needed (check all that apply)	Cost Estimate Verification (check all that apply)
<input checked="" type="checkbox"/> Agency/state entity staff <input type="checkbox"/> STP staff <input type="checkbox"/> CDT Project Approvals and Oversight staff <input type="checkbox"/> CA-PMO staff <input type="checkbox"/> DGS staff <input type="checkbox"/> Contractor <input type="checkbox"/> Other, specify:	<input type="checkbox"/> Stage 3 Solution Development <input type="checkbox"/> Stage 4 Project Readiness and Approval <input checked="" type="checkbox"/> After project is approved (after Stage 4 Project Readiness and Approval)	<input type="checkbox"/> Market research conducted (MR) <input checked="" type="checkbox"/> Cost estimate provided (CE) <input type="checkbox"/> CDT CE <input type="checkbox"/> DGS CE <input type="checkbox"/> Request for Information (RFI) conducted <input type="checkbox"/> Comparable vendor services have been used on previous contracts (CV) <input type="checkbox"/> Leveraged Procurement Agreement (LPA)

Complete Only if Contractor Responsible for Activity

Procurement Vehicle	Select...	Contract Type	Select...
If "Other," specify:	Click here to enter text.	If "Other," specify:	Click here to enter text.

Testing

Responsible (check all that apply)	When Needed (check all that apply)	Cost Estimate Verification (check all that apply)
<input checked="" type="checkbox"/> Agency/state entity staff <input type="checkbox"/> STP staff <input type="checkbox"/> CDT Project Approvals and Oversight staff <input type="checkbox"/> CA-PMO staff <input type="checkbox"/> DGS staff <input checked="" type="checkbox"/> Contractor <input type="checkbox"/> Other, specify:	<input type="checkbox"/> Stage 3 Solution Development <input type="checkbox"/> Stage 4 Project Readiness and Approval <input checked="" type="checkbox"/> After project is approved (after Stage 4 Project Readiness and Approval)	<input type="checkbox"/> Market research conducted (MR) <input checked="" type="checkbox"/> Cost estimate provided (CE) <input type="checkbox"/> CDT CE <input type="checkbox"/> DGS CE <input type="checkbox"/> Request for Information (RFI) conducted <input checked="" type="checkbox"/> Comparable vendor services have been used on previous contracts (CV) <input type="checkbox"/> Leveraged Procurement Agreement (LPA)

Complete Only if Contractor Responsible for Activity

Procurement Vehicle	Formal Solicitation (IFB/ RFP)	Contract Type	Other
If "Other," specify:	Click here to enter text.	If "Other," specify:	Fixed Price Benefits-Based

Training

Responsible (check all that apply)	When Needed (check all that apply)	Cost Estimate Verification (check all that apply)
<input checked="" type="checkbox"/> Agency/state entity staff <input type="checkbox"/> STP staff	<input type="checkbox"/> Stage 3 Solution Development	<input type="checkbox"/> Market research conducted (MR) <input checked="" type="checkbox"/> Cost estimate provided (CE) <input type="checkbox"/> CDT CE



Stage 2 Alternatives Analysis

California Department of Technology, SIMM 19B (Rev. 2.1), Revision 5/21/2018

- | | | |
|--------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------|
| <input type="checkbox"/> CDT Project Approvals and Oversight staff | <input type="checkbox"/> Stage 4 Project Readiness and Approval | <input type="checkbox"/> DGS CE |
| <input type="checkbox"/> CA-PMO staff | <input checked="" type="checkbox"/> After project is approved (after Stage 4 Project Readiness and Approval) | <input type="checkbox"/> Request for Information (RFI) conducted |
| <input type="checkbox"/> DGS staff | | <input checked="" type="checkbox"/> Comparable vendor services have been used on previous contracts (CV) |
| <input checked="" type="checkbox"/> Contractor | | <input type="checkbox"/> Leveraged Procurement Agreement (LPA) |
| <input type="checkbox"/> Other, specify: | | |

Complete Only if Contractor Responsible for Activity

Procurement Vehicle	Formal Solicitation (IFB/ RFP)	Contract Type	Other
If "Other," specify:	Click here to enter text.	If "Other," specify:	Fixed Price Benefits-Based

Maintenance

Responsible (check all that apply)	When Needed (check all that apply)	Cost Estimate Verification (check all that apply)
<input checked="" type="checkbox"/> Agency/state entity staff <input type="checkbox"/> STP staff <input type="checkbox"/> CDT Project Approvals and Oversight staff <input type="checkbox"/> CA-PMO staff <input type="checkbox"/> DGS staff <input checked="" type="checkbox"/> Contractor <input type="checkbox"/> Other, specify:	<input type="checkbox"/> Stage 3 Solution Development <input type="checkbox"/> Stage 4 Project Readiness and Approval <input checked="" type="checkbox"/> After project is approved (after Stage 4 Project Readiness and Approval)	<input type="checkbox"/> Market research conducted (MR) <input checked="" type="checkbox"/> Cost estimate provided (CE) <input type="checkbox"/> CDT CE <input type="checkbox"/> DGS CE <input type="checkbox"/> Request for Information (RFI) conducted <input checked="" type="checkbox"/> Comparable vendor services have been used on previous contracts (CV) <input type="checkbox"/> Leveraged Procurement Agreement (LPA)

Complete Only if Contractor Responsible for Activity

Procurement Vehicle	Formal Solicitation (IFB/ RFP)	Contract Type	Other
If "Other," specify:	Click here to enter text.	If "Other," specify:	Fixed Price Benefits-Based

Operations

Responsible (check all that apply)	When Needed (check all that apply)	Cost Estimate Verification (check all that apply)
<input checked="" type="checkbox"/> Agency/state entity staff <input type="checkbox"/> STP staff <input type="checkbox"/> CDT Project Approvals and Oversight staff <input type="checkbox"/> CA-PMO staff <input type="checkbox"/> DGS staff <input checked="" type="checkbox"/> Contractor <input type="checkbox"/> Other, specify:	<input type="checkbox"/> Stage 3 Solution Development <input type="checkbox"/> Stage 4 Project Readiness and Approval <input checked="" type="checkbox"/> After project is approved (after Stage 4 Project Readiness and Approval)	<input type="checkbox"/> Market research conducted (MR) <input checked="" type="checkbox"/> Cost estimate provided (CE) <input type="checkbox"/> CDT CE <input type="checkbox"/> DGS CE <input type="checkbox"/> Request for Information (RFI) conducted <input checked="" type="checkbox"/> Comparable vendor services have been used on previous contracts (CV) <input type="checkbox"/> Leveraged Procurement Agreement (LPA)

Complete Only if Contractor Responsible for Activity

Procurement Vehicle	Formal Solicitation (IFB/ RFP)	Contract Type	Other
If "Other," specify:	Click here to enter text.	If "Other," specify:	Fixed Price Benefits-Based

Select + to add activities



Stage 2 Alternatives Analysis

California Department of Technology, SIMM 19B (Rev. 2.1), Revision 5/21/2018

Will any of the activities identified above result in a competitive or non-competitive solicitation that will be over the Agency/state entity's DGS delegated purchasing authority?

Yes	No
<input checked="" type="checkbox"/>	<input type="checkbox"/>

2.11.4 Enterprise Architecture Alignment

EDR² is a multi-phased approach in reaching FTB's Target Architecture Model (TAM) that is described in FTB's Tax Systems Modernization (TSM) Plan. EDR¹ laid the foundation for EDR² by implementing the Enterprise Platform that consists of the following;

- Public MyFTB website
- Internal Tax Payer Folder application
- Enterprise Identity and Access Management solution
- Enterprise Business Intelligence and Data Warehousing
- Enterprise Service Bus
- Enterprise Content Management
- Enterprise Master Data Management
- Enterprise Modeling
- Enterprise Case Management
- Enterprise Business Rules Engine
- Enterprise Business Processing Management

Information Technology Capability Table

Information Technology Capability	Existing Enterprise Capability to be Leveraged	New Enterprise Capability Needed
Public or Internal Portal/Website	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Public or Internal Mobile Application	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Enterprise Service Bus	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Identity and Access Management	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Enterprise Content Management (including document scanning and eForms capabilities)	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Business Intelligence and Data Warehousing	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Master Data Management	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Big Data Analytics	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>

2.11.5 Project Phases

Phase Planning and Ongoing Project Tasks (Project Management)

Description	Phase Deliverable
During the project management planning phase, the state and vendor address how the project activities and related managerial plans, documents, and deliverables are managed and executed. They focus on transparency, repeatable processes, rigorous controls, and ongoing communication. This plan equips the state and vendor integrated team with the standards, processes, and tools needed to identify, manage, and control the aspects of the project.	<ul style="list-style-type: none"> • Project Management Plan (including: Human Resources Management Plan, and Communications Management Plan) • Project Schedule • Time and Schedule Variance Report • Quality Management Plan



Stage 2 Alternatives Analysis

California Department of Technology, SIMM 19B (Rev. 2.1), Revision 5/21/2018

Phase Project Initiation and Planning (Technical Management)	
Description	Phase Deliverable
<p>In this phase the vendor and state agree on the technical management approach, which describes how deliverables relate to each other and are planned and executed to achieve the final results. Processes, activities, and tools the project team will use to implement the system engineering activities are documented. The approach and processes for managing and versioning configuration items created during development, implementation, and maintenance and operations phases of the project are specified. The structure and repository for the formal and informal training materials associated with the EDR project's Knowledge Management Plan are established. End-user documentation is delivered. Changes related to FTB's governance and organizational change management are identified and planned. Contingency procedures and processes are identified to allow FTB to roll back changes to restore business continuity, allowing the resumption of business services.</p>	<ul style="list-style-type: none"> • Technical Management Approach • Software Development Tools Training Materials • Organizational Change Management Guide • Software User Manual • Technical Quality Plan • Implementation Contingency Management Plan
Phase Requirements	
Description	Phase Deliverable
<p>The Requirements Phase defines the scope of the project. The state and vendor agree how the contract requirements are baselined, where they will be stored, and how they will be managed and traced. JAD sessions are held with the identified state business and technical SMEs in order to document the system and software use cases. The vendor conducts reviews of the deliverables with business/technical SME's and project stakeholders.</p>	<ul style="list-style-type: none"> • Functional Requirements Traceability Document • System/Subsystem Specification • System Requirements Review • Software Requirements Specification • Software Requirements Review
Phase Design	
Description	Phase Deliverable
<p>During the design phase the vendor and state agree on the hardware, network, software, manual operations, and interfaces for the project. The integration of new functionality with existing FTB systems is documented. This illustrates how the technical infrastructure must be structured to satisfy the technical requirements and guides the planning and execution of the technical infrastructure. In addition, it specifies the software components and their technical design to fulfill the software requirements defined in the previous phase. The Business Process Reengineering Plan is developed and implemented. System-wide database design principles are agreed to. Legacy systems and third party</p>	<ul style="list-style-type: none"> • System/Subsystem Design Description • System Design Review • Technical Infrastructure Plan • Technical Infrastructure Design Description • System Performance and Capacity Management Plan • Software Design Description • Software Detailed Design Description and Model • Software Preliminary Design Review • Software Critical Design Review • Database Design Description • Logical Database Design Review • Physical Database Preliminary Design Review



Stage 2 Alternatives Analysis

California Department of Technology, SIMM 19B (Rev. 2.1), Revision 5/21/2018

interfaces are identified and described. The vendor conducts reviews of the deliverables with business/technical SME's and project stakeholders.

- Physical Database Critical Design Review
- Legacy Systems Interface Design Description
- External Entity Interface Design Description
- Business Process Reengineering Plan
- Business Process Reengineering Design Description and Model
- Business Process Reengineering Design Description and Model Review

Phase Development

Description	Phase Deliverable
<p>In this phase the vendor and state define the standards used for universal design and characteristics of visual displays for the new system. They outline the development and implementation steps to show that the core solution ideas and assumptions are workable and feasible and document the results. The activities performed during design and development of the new databases are specified, and the process, procedures, tools, and solutions for managing and administering the database are documented. A logical data model and a physical data model are developed and agreed to. A framework for the integration of the new system with FTB's legacy systems is provided.</p>	<ul style="list-style-type: none"> • User Interface Standard • Logical Data Model • Physical Data Model • EDR Solution and Legacy Systems Integration Plan • Proof of Concept Plan • Proof of Concept Report

Phase Testing

Description	Phase Deliverable
<p>The testing phase defines the scope of testing for the project. The state and vendor agree on the types of testing that will be executed, including the principles used to plan, execute, and manage the different tests. The approaches for the different types of tests are documented, including: System Verification Testing, System Performance Testing, System Testing, and User Acceptance Testing. Reports are also delivered specifying the expected and actual results for each type of test conducted.</p>	<ul style="list-style-type: none"> • System Verification Test Readiness Review • System Performance Test Description • System Test Report • System Test Description • Software Verification Test Readiness Review

Phase First Year Operations and Closeout

Description	Phase Deliverable
<p>The first year operations and closeout phase includes finalizing the EDR project management activities in order to formally close the project and transfer the completed project to FTB. It includes a Post Implementation Evaluation Report (PIER) and Lessons Learned for the Knowledge Management (KM) Program.</p>	<ul style="list-style-type: none"> • First Year Operations Closeout

Phase Transition



Stage 2 Alternatives Analysis

California Department of Technology, SIMM 19B (Rev. 2.1), Revision 5/21/2018

Description	Phase Deliverable
In this phase the vendor and state agree to the data conversion activities, including the procedures, tools, data cleansing efforts, and problem resolution activities. The state and vendor also agree on the activities, roles, and responsibilities to transition the new system to the FTB production environment. The new solution is evaluated to see how well it's meeting service level expectations. Plans for transitioning training, change management, and maintenance and operations activities are documented and agreed to.	<ul style="list-style-type: none"> • Implementation Evaluation Report • Data Conversion Requirements Document • Data Conversion Test Plan • Training Transition Plan • System Transition to State Plan • User Training Plan

Phase Operations and Closeout

Description	Phase Deliverable
During this phase the standards to develop, improve, integrate, and execute the service operations process for the new system are documented. Reports are established to describe how service maintenance objectives are met. The retention and control attributes of documents used on the project are defined. This phase documents the facilitation of FTB's business resumption efforts in a timely and organized manner if an unplanned event occurs. It describes integration with FTB's IT Service Desk to process incidents that are caused by or related to the new functionality. It also defines connectivity, security, and access design as well as identifies an implementation strategy that identifies roles and responsibilities of the state and the vendor in securing the new solution and user access to the new solution.	<ul style="list-style-type: none"> • Service Operations Manual • Operational Readiness Assessment and Review

Select + to add project phases

2.11.6 High Level Proposed Project Schedule

Proposed Project Planning Start Date:	1/1/2017	Proposed Project Planning End Date:	6/30/2021
Proposed Project Start Date:	7/1/2021	Proposed Project End Date:	12/31/2026

Activity Name	Start Date	End Date
Stage 3 Solution Development	5/1/2018	3/1/2019
Stage 4 Project Readiness and Approval	10/25/2018	4/7/2021
Pre-solicitation for Industry Comments	1/20/2019	5/13/2019
Solicitation Award	8/30/2020	12/31/2020
Requirements	7/1/2021	9/30/2024
Data Conversion	10/1/2021	3/31/2025
Design	10/1/2021	3/31/2025
Development	1/1/2022	9/30/2025
Data Migration	10/1/2022	12/31/2025



Stage 2 Alternatives Analysis

California Department of Technology, SIMM 19B (Rev. 2.1), Revision 5/21/2018

Testing	1/1/2022	12/31/2025
Training	10/1/2022	12/31/2025
Deployment	10/1/2022	12/31/2025
Go Live	10/1/2022	12/31/2025
First Year Operations and Closeout (Warranty Year)	1/1/2026	12/31/2026
Maintenance and Operations	1/1/2027	12/31/2028

Select + to add activities

2.11.7 Cost Summary

Total Proposed Planning Cost:	\$23,106,442
Total Proposed Project Cost:	\$584,541,963
Total Proposed Future Operations IT Staff & OE&E Costs (Continuing):	\$53,885,637
Total Proposed Annual Future Operations IT Costs (M&O):	\$9,160,960

2.12 Staffing Plan

See attached staffing plan:



EDR2 Staff Management Plan.pdf

2.12.1 Administrative

FTB's Project Management Office (PMO) employs 12 people to provide Project Management Framework services for the department. These services include Project Management discipline services such as risk, issue, communication, scheduling, and project management for FTB's IT projects. The PMO has provided EDR² with two dedicated staff, who both participated on EDR¹, to provide PM services. All services provided are in alignment with CalTech's CA-Project Management Framework, which supports project management practices that conform to industry standards as defined by the Project Management Institute (PMI). In addition, 12 of FTB's procurement bureau staff are dedicated to the department's technology acquisitions. One of these procurement staff, a lead IT Specialist with eleven years of procurement experience, is dedicated to the project, along with one retired annuitant who has an exceptional amount of experience in IT procurement management.

2.12.2 Business Program

The project will require 54 PYs in FY 2021/22 to act as subject matter experts. These PYs will steadily decrease throughout the life of the project to 2 PYs in FY 2026/27. Due to the number of staff resources available at FTB, the department will be able adjust PY allocations to support both the project and maintain ongoing operations. FTB also has a dedicated Business Process Management team of 8 PYs that specializes in maintaining existing "as is" business process models as well as developing "to be" models. The three major business programs impacted by the EDR² project total nearly 5,000 PYs to maintain business operations.

2.12.3 Information Technology (IT)

FTB has 1,000 IT PYs dedicated to maintaining existing systems, which includes both maintaining operational health and enhancing our tax systems. Within the systems directly targeted by the EDR² project, 120 PYs support and enhance the compliance systems. FTB will use a combination of contractor resources and FTB IT resources to support the project. In order to allocate IT resources to the project, FTB will minimize any enhancement changes to the targeted legacy systems associated with the project. We will continue to resolve defects and perform maintenance activities and critical



Stage 2 Alternatives Analysis

California Department of Technology, SIMM 19B (Rev. 2.1), Revision 5/21/2018

enhancements. By minimizing enhancements to the targeted legacy systems, FTB will be able to adjust PY allocations to support both the project and maintain legacy functionality until the legacy system is retired and the supporting PYs are re-allocated to support the new system.

2.12.4 Security

FTB has a sophisticated security program to ensure that FTB Systems remain secure. In order to keep current with changes in technology, the EDR² project plans to add 5 PY's to the Security program to provide for the continuous monitoring of systems and connections. In addition, more third-party assessments will be performed to provide an independent and objective opinion on the risks facing the department.

2.12.5 Testing

FTB has an Enterprise Testing section composed of 35 PYs to support the enterprise platform, with emphasis on Interface, Accessibility, Functional, and Data testing. In addition, FTB has 30 PYs of dedicated testing resources that also support the targeted legacy systems associated with the project. FTB will use a combination of contractor resources and FTB testing resources to support the project. In order to allocate IT resources to the project, FTB will minimize any enhancement changes to the targeted legacy systems associated with the project. We will continue to resolve defects and perform maintenance activities and critical enhancements. By minimizing enhancements to the targeted legacy systems, FTB will be able to adjust PY allocations to support project testing until project completion, at which time the legacy testing resources will be re-allocated to the enterprise testing section to support the enterprise platform.

2.12.6 Data Conversion/Migration

FTB has an Enterprise Data Solution Section of 49 PYs dedicated to supporting our Enterprise Operation Data and Enterprise Data Warehouse. Upon project start, FTB will work with the selected vendor to determine data conversion strategy and will utilize contractor resources with State oversight to perform any necessary data conversions.

2.12.7 Training and Organizational Change Management

FTB has dedicated training teams that support each business area targeted by the project. Each training team's curriculum focuses on the specifics necessary to properly train staff and update training materials for Audit, Collections, and Filing Enforcement programs. FTB will request new staff resources to provide training and develop procedures. In addition, FTB has a dedicated enterprise training team focused on the development and training of enterprise procedures. Upon project start, FTB will work with the selected vendor to develop an overall training strategy and will utilize contractor resources with State oversight to perform the bulk of the departmental training. FTB has a dedicated organizational change management group specifically geared to facilitate successful organizational change for the EDR² project. The Organizational Change Management team supports the enterprise adoption of the new system through the use of forums, articles, and Change Champions.

2.12.8 Resource Capacity/Skills/Knowledge for Stage 3 Solution Development

FTB has a dedicated group of 10 PYs, each with a minimum of 10 years of requirements and solution development experience. This experience includes major projects such as EDR¹ and the Child Support Project (CCSAS), both successful projects with a combined project cost of almost one billion dollars. In addition, FTB's procurement staff are experienced in the acquisition of large-scale IT projects via a benefits-based procurement approach. The benefits-based approach is structured to provide vendor payments out of the benefits generated from the project. FTB's procurement experience includes the knowledge of protest types and the use of contract negotiations via (PCC) 6611 along with the ability to make procurement-related decisions within the Procurement Bureau.

2.12.9 Project Management

2.12.9.1 Project Management Risk Assessment

Project Management Risk Score:	0.7
--------------------------------	-----



Stage 2 Alternatives Analysis

California Department of Technology, SIMM 19B (Rev. 2.1), Revision 5/21/2018

Attachment: See attachment



2.12.9.2 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?

Project Charter	Yes	...
Scope Management Plan	Yes	...
Risk Management Plan	Yes	FTB utilized the Risk Management Plan from the EDR Project to create a Risk Management Process that the Vendor will be required to follow for the EDR ² Project.
Issue and Action Item Management Plan	Yes	FTB utilized the Issue and Action Item Management Plan from the EDR Project to create an Issue and Action Item Management Process that the Vendor will be required to follow for the EDR ² Project.
Communication Management Plan	Yes	FTB has a Communication Management Plan template that the Vendor is required to complete in collaboration with FTB Project Staff, after Project Start, during the Planning and Ongoing Project Tasks Phase of the EDR ² Project.
Schedule Management Plan	Yes	FTB utilized the Schedule Management Plan from the EDR Project to create a Schedule Management Process that the Vendor will be required to follow for the EDR ² Project.
Human Resource Management Plan	Yes	FTB has a Human Resource Management Plan template that the Vendor is required to complete in collaboration with FTB Project Staff, after Project Start, during the Planning and Ongoing Project Tasks Phase of the EDR ² Project.
Staff Management Plan	Yes	Covered by the Human Resource Management Plan.
Stakeholder Management Plan	Yes	FTB has a Stakeholder Management Process that the Vendor will be required to follow for the EDR ² Project.
Governance Plan	Yes	FTB utilized the Governance Plan from the EDR Project to create a Governance Model that the Vendor will be required to follow for the EDR ² Project.

2.12.10 Organization Charts

See attached org charts:



2.13 Data Conversion/Migration

Identify the status of each of the following data conversion/migration activities:

Data Conversion/Migration Planning	Not Started	Data Quality Assessment	Not Started
Data Conversion/Migration Requirements	In Progress	Data Quality Business Rules	Not Started
Current Environment Analysis	Not Started	Data Dictionaries	Not Started
Data Profiling	Not Started	Data Cleansing and Correction	Not Started



Stage 2 Alternatives Analysis

California Department of Technology, SIMM 19B (Rev. 2.1), Revision 5/21/2018

FTB created a Data Conversion Management Plan template that the Vendor will complete in collaboration with the State, after Project Start, during the Transition Phase of the EDR² Project. The Vendor will include in this Plan the data conversion activities, including the procedures, tools, data cleansing efforts, and problem resolution activities required to convert the data from the Legacy Systems to the Enterprise Data Warehouse. These activities will be documented in the Data Conversion Requirements Document, Data Conversion Plan, Data Conversion Test Plan, and Data Cleanup Report. Each of these deliverables will be reviewed and accepted by the State before the data is converted.

The State has identified four Mid-Level Requirements (MLR218, MLR219, MLR220, and MLR221) that cover the State retirement of the Legacy Systems being replaced by the EDR² Project. These Mid-Level requirements will be discussed and detailed solution requirements will be delivered with the S3SD that document the type of data to be converted for each Legacy System being retired.

2.14 Financial Analysis Worksheets

FTB anticipates generating up to 46 PYs of efficiencies during the reporting period of the EDR² project. These efficiencies can go up to 62 PYs after project implementation; however, they are spread across multiple programs areas, multiple workloads, and are dependent on the timing and functionality of each release. Through the department’s extensive analysis, the project team determined that FTB could experience these savings. The impacted areas will monitor and gather the necessary data to determine the number of efficiencies realized. Towards the end of the project, FTB will evaluate the actual savings and can either redirect these efficiencies back into the program areas to do other critical workloads, use them to offset future resource needs, or develop a negative BCP.

See attached FAWs:



EDR2 FAW for CDT.xlsx

Preliminary Assessment – Department of Technology Use Only

Original “New Submission” Date	7/26/2018
Form Received Date	7/26/2018
Form Accepted Date	7/26/2018
Form Status	Completed
Form Status Date	9/27/2018

Main Form – Department of Technology Use Only

Original “New Submission” Date	7/26/2018
Form Received Date	7/26/2018
Form Accepted Date	7/26/2018
Form Status	Completed
Form Status Date	9/27/2018
Form Disposition	Approved
Form Disposition Date	9/27/2018