



Stage 4 Project Readiness and Approval

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

4.1 General Information

1. **Agency or State Entity Name:** 1111 - Consumer Affairs, Department of

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

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

2. **Proposal Name:** Business Modernization Cohort Two (BMC 2)

3. **Department of Technology Project Number:** 1111-014

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

5. **CDT Billing Case Number:** [Click or tap here to enter text.](#)

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

4.2 Submittal Information

1. **Contact Information**

Contact Name: [Lisa Rangel](#)

Contact Email: lisa.rangel@dca.ca.gov

Contact Phone: (916) 574-7742

2. **Submission Type:** [New Submission](#)

If Withdraw, select Reason: [Choose an item.](#)

If Other, specify reason here: [Click or tap here to enter text.](#)

Sections Changed if an updated or resubmission (List all the sections that have changed.)

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

Summary of Changes (Summarize updates made.)

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

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

4.3 Contract Management

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

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

1. [Contract Management Plan \(Approved\)](#): Yes
Status: [Draft sent to CDT for approval 01/06/2022](#)
2. **Has the role of Contract Manager been assigned, and has the Contract Manager reviewed and gained an understanding of the scope, activities, tasks, and deliverables of the contract?** Yes
If "No," briefly explain below why both have not been accomplished:
[Click or tap here to enter text.](#)
3. **Does the assigned Contract Manager understand the processes for post-award contract activities, including contract amendments, contract work authorizations, terms and conditions, and contract escalation/resolution?** Yes
If "No," briefly explain below why this has not been accomplished:
[Click or tap here to enter text.](#)
4. **Has a post-award kickoff meeting between the Contract Manager and state project team members been scheduled to align state and contractor expectations related to contract, budget, invoicing, requirements review, and contractor incentives?** Yes
If "No," briefly explain below why this has not been accomplished:
[Click or tap here to enter text.](#)
5. **Does the Contract Manager understand the Agency/state entity and federal processes, policy, and applicable procedures?** Yes
If "No," briefly explain below why this has not been accomplished:
[Click or tap here to enter text.](#)

6. **Does the Contract Manager have a plan to collect and assess contractor and project performance information on a regular basis (e.g., establish meetings with Project Managers, communication techniques)?** [Yes](#)

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

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

4.4 Organizational Readiness

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

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

Status: [Draft Project Management Plan send to CDT 09/30/2021](#)

2. **Does the Agency/state entity currently have a mature release management process with a repeatable and scalable testing methodology that supports all stages of testing (system, integration, security, performance, interfaces, regression, user acceptance, and accessibility)?** [Yes](#)

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

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

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

If “No,” briefly explain below how the Agency/state entity plans to educate the project team to ensure all members have a clear understanding of the impacted business areas by the project:

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

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

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

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

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

If “Yes,” specify the areas of business process improvement:

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

If “No,” briefly explain below how the Agency/state entity will perform business process improvement or business process reengineering activities resulting from the new solution:

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

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

4.5 Project Readiness

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

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

BMC 2 will utilize the highly successful agile (adaptive) methodology for software development. An agile methodology has been used in recent DCA projects and has proven to be the best path forward for the Department.

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

Yes. An agile software development methodology has been utilized and was successful on the following DCA projects:

Cannabis Control

Business Modernization Cohort 1

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

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

The BMC 2 project will have a System Integrator who will develop the new system. Contract start date is scheduled for April 25, 2022.

3. **Have resource commitments been obtained for all those identified in the Resource Management Plan? No**

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

All roles with the exception of the State Agile Team have been obtained. We are experiencing challenges with fulfilling these roles and have a mitigation plan to release a solicitation to augment these roles while continuing to secure the Stage Agile Team. CDT is aware of these challenges, and we are working with CDT’s Procurement Division to lead the procurement.

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

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

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

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

Yes

If “No,” explain how the Agency/state entity will educate the project team leads on project management basics:

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

4.6 Business Objective Valuation

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

Objective ID: 1.1

Objective: [Allow users to access services using an online customer profile.](#)

Change and Reason for Change from Stage 1: [N/A](#)

Metric: [Number of User Profile.](#)

Baseline: [0 percent – New Method. Baseline to be established upon implementation.](#)

Target Result: [User Profiles established within six months of implementation.](#)

Valuation: [10%](#)

Objective ID: 1.2

Objective: [Allow applicants and licensees to view their license application statuses online.](#)

Change and Reason for Change from Stage 1: [N/A](#)

Metric: [Number of User Profile.](#)

Baseline: [0 percent – New Method. Baseline to be established upon implementation.](#)

Target Result: [Applications submitted via the online portal within six months of implementation.](#)

Valuation: [10%](#)

Objective ID: 1.3

Objective: [Allow applicants and licensees to remediate application deficiencies via the online application portal.](#)

Change and Reason for Change from Stage 1: [N/A](#)

Metric: [Number of remediations submitted via the portal.](#)

Baseline: 0 percent – New Method. Baseline to be established upon implementation.

Target Result: Application information or documentation submitted via the online portal to remediate application deficiencies within six months of implementation.

Valuation: 10%

Objective ID: 1.4

Objective: Allow online functionality to accept and process initial licensing and renewals.

Change and Reason for Change from Stage 1: N/A

Metric: Number of users.

Baseline: 17 percent.

Target Result: 50 percent adoption rate of Initial licensing and renewals can be processed online within six months of implementation.

Valuation: 10%

Objective ID: 1.5

Objective: Allow online payment functionality.

Change and Reason for Change from Stage 1: N/A

Metric: Number of online payments.

Baseline: 0 percent – New Method. Baseline to be established upon implementation.

Target Result: Users able to submit fees online within six months of implementation

Valuation: 10%

Objective ID: 1.6

Objective: Improve accuracy of application data submitted via the online portal.

Change and Reason for Change from Stage 1: N/A

Metric: Number of applications completed without error.

Baseline: 0 percent – New Method. Baseline to be established upon implementation.

Target Result: Users enter data in required fields.

Valuation: 10%

Objective ID: 1.7

Objective: Allow email and/or phone notifications of renewal deadlines.

Change and Reason for Change from Stage 1: N/A

Metric: Number of timely notifications sent.

Baseline: 0 percent – New Method. Baseline to be established upon implementation.

Target Result: Users receive reminder notifications in a timely manner.

Valuation: 10%

Objective ID: 1.8

Objective: Allow applicants and licensees to track the status of lab submitted test(s) via the online portal.

Change and Reason for Change from Stage 1: N/A

Metric: Number of timely notifications sent.

Baseline: 0 percent – New Method. Baseline to be established upon implementation.

Target Result: Users receive reminder notifications in a timely manner.

Valuation: 2%

Objective ID: 2.1

Objective: Automate the enforcement intake process and case activity tracking log to reduce staff time spent on manual processes, data collection, analysis, and reports.

Change and Reason for Change from Stage 1: N/A

Metric: Average time in days spent on manual processes.

Baseline: 150 days per month

Target Result: 10% reduction within six months of implementation.

Valuation: 10%

Objective ID: 2.2

Objective: Reduce current processing timeframe for first time licensing applications.

Change and Reason for Change from Stage 1: N/A

Metric: Average processing timeframe in days.

Baseline: Three weeks.

Target Result: 10% reduction within six months of implementation.

Valuation: 3%

Objective ID: 2.3

Objective: Reduce current processing timeframe for renewal applications.

Change and Reason for Change from Stage 1: N/A

Metric: Average time in days spent on manual processes.

Baseline: 72 hours if done online or 3 weeks if done by mail

Target Result: 10% reduction within six months of implementation.

Valuation: 5%

Objective ID: 3.1

Objective: Reduce the time staff spend developing reports that require pulling data from disparate sources and reallocate that time to improving the accuracy of public information and developing more data-driven reports for each program, policy makers, and the public.

Change and Reason for Change from Stage 1: N/A

Metric: Average number of hours per month.

Baseline: 25 hours.

Target Result: 10% reduction within six months of implementation.

Valuation: 5%

Objective ID: 3.2

Objective: Implement a new system that will track all formal disciplinary action, reducing the time spent manually entering data.

Change and Reason for Change from Stage 1: N/A

Metric: Average number of hours per month.

Baseline: 1 hours.

Target Result: 10% reduction within six months of implementation.

Valuation: 5%

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

4.7 Schedule Baseline

1. Schedule Summary

Project Execution Start Dates

Proposed Project Start Date (from most recently approved schedule/roadmap):
4/25/2022

Baseline Project Start Date: 4/25/2022

Variance: TBD- on target for project start date of April 25, 2022.

Project End Dates

Proposed Project Finish Date (from most recently approved schedule/roadmap):
9/29/2023

Baseline Project Finish Date: 9/29/2023

Variance: TBD

2. Reason(s) for Variances

Provide reasons for any date variances: [Click or tap here to enter text.](#)

3. Master Schedule and Key Milestones

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

4.8 Cost Baseline

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

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

Status: [Draft sent to CDT on 1/6/2022](#)

2. Cost Summary

Total Planning Cost (One-Time)

Estimated Proposed Cost (from most recently approved FAW): \$483,955

Baseline Cost: [TBD – In the final stages of contract formation during the planning stage.](#)

Variance: None

Total Project Cost (One-Time)

Estimated Proposed Cost (from most recently approved FAW): \$10,822,384

Baseline Cost: [\\$10,822,384](#)

Variance: [TBD after project closeout](#)

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

Estimated Proposed Cost (from most recently approved FAW): \$6,943,645

Baseline Cost: [\\$6,943,645](#)

Variance: [TBD](#)

Total Cost

Estimated Proposed Cost (from most recently approved FAW): \$18,249,984

Baseline Cost: [\\$18,249,984](#)

Variance: [TBD – after project closeout](#)

Annual Future Operations IT Costs (Annual M&O)

Estimated Proposed Cost (from most recently approved FAW): \$1,967,412

Baseline Cost: \$1,967,412

Variance: TBD

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

3. Reason(s) for Variances

Provide reasons for any cost variances: [Click or tap here to enter text.](#)

4. Budget Change Proposal (BCP) Summary

Budget Request ID: [1111-139-BCP-2022-A1](#)

Budget Request Year (0000-00): [2022-23](#)

Requested Amount (specific to the project): [\\$4,281,000](#)

Status: [Pending](#)

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

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

5. Financial Analysis Worksheets (Baseline)

Attach Final FAWs to your email submission.

4.9 Primary Solicitation Results

1. **Attach** the approved Evaluation and Selection Report for the primary solicitation to your email submission.
2. **Attach** the proposed contract resulting from the primary solicitation to your email submission.
3. **Was one of the viable solutions in Stage 2 selected for final contract award?** [Yes](#)
If "No", please describe:
[Click or tap here to enter text.](#)
4. **Selected Vendor Name:** [Eduloka LLC, \(dba inLumon\)](#)
5. **Contract Number:** [TBD – In contract formation](#)
 - a. Contract Start Date: [4/25/2022](#)
 - b. Contract End Date: [9/29/2023](#)
6. **Total Contract Cost (without optional years):** [\\$3,973,156.00](#)
 - a. Optional Years (Number of Months): [24](#)

7. Total Cost of Optional Years: \$1,543,940.00

8. Total Contract Cost (with optional years): \$5,517,096.00

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

1. **Configuration Management Plan (Draft):** No

Status: The System Integrator will develop the Configuration Management Plan as identified in the Statement of Work (Deliverable ID: S.8.1)

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

Status: The System Integrator will develop the Data Management (Plan as identified in the Statement of Work (Deliverable ID: S.8.67)

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

Status: The System Integrator will develop the Maintenance and Operations Transition Management Plan as identified in the Statement of Work (Deliverable ID: S.9.26)

4.10 Risk Register

Attach Risk Register to your email submission.

End of Stage 4 Project Readiness and Approval Document.

Please ensure ADA compliance before submitting this document to CDT.

When ready, submit Stage 4 and all attachments in an email to ProjectOversight@state.ca.gov.

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

Department of Technology Use Only

Original “New Submission” Date: [5/6/2022](#)

Form Received Date: [5/6/2022](#)

Form Accepted Date: [5/6/2022](#)

Form Status: [Completed](#)

Form Status Date: [5/13/2022](#)

Form Disposition: [Approved](#)

Form Disposition Date: [5/13/2022](#)