Stage 3 Solution Analysis

California Department of Technology, SIMM 19C.2 (Rev. 3.0.7, 2/28/2022)

3.1 General Information

1. **Agency or State Entity Name: 0890 - Secretary of State**

   If Agency/entity is not in the list, then enter here. Click or tap here to enter text.

2. **Proposal Name:** California Automated Lobbying And Campaign Contribution and Expenditure Search System (CAL-ACCESS) Replacement System (CARS) Project

3. **Department of Technology Project Number (0000-000):** 0890-054

4. **S3SD Version Number: Version 1**

5. **CDT Billing Case Number:** CS0056881

   Don't have a Case Number? <u>Click here to get one.</u>

3.2 Submittal Information

1. **Contact Information**

   Contact Name: Harjit Basi

   Contact Email: hbasi@sos.ca.gov

   Contact Phone: 916-704-6860

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 update or resubmission: (List all the sections that changed.)

   Click or tap here to enter text.

   Summary of Changes: (Summarize updates made.)

   Click or tap here to enter text.

3. **Attach Project Approval Executive Transmittal** to your email submission.

Attachment 3.2.3 SOS 19G.1-Project-Approval-Exectuive-Transmittal

4. **Attach updated [Procurement Assessment Form](#)** with Stage 3 information to your email submission.

Attachment 3.2.4 B.5-STP-Procurement-Assessment-Form

5. **Conditions from Stage 2 Approval** (Enter any conditions from the Stage 2 Alternatives Analysis approval letter issued by CDT):

No conditions were noted in the Stage 2 approval letter issued by the CDT

3.3 Detailed Solution Requirements and Outcomes

1. **Attach detailed** Requirements and Outcomes documents including traceability matrix to the email submission. Include any changed or updated requirements.

Attachment 3.3.1.1 C.3-Stage-3-Solution-Requirements_Draft V1.0

2. **Stage 2 Requirements and Outcomes Changes**

   Since approval of the Stage 2 Alternatives Analysis, has the agency/state entity developed or modified any requirements and/or outcomes that were not represented in Stage 2? Yes

   If "Yes," explain:

   Since approval of the Stage 2 Alternatives Analysis, the Secretary of State has added seven mid-level requirements (Functional, Non-Functional, and Project-Transition Mandatory). These mid-level requirements align with the S1BA goals & objectives.

   If "Yes," please describe the nature and scope of the change(s) and how the requirements and/or outcomes align with the business objectives established in the Stage 1 Business Analysis:

S1BA Goals & Objectives	Mid-Level Requirement Number	Description	Additional Notes	Category Area
Goal 1 - Provide Superior Customer Service Objective 1.1 - Standardize external communication	MLPT-004	The data conversion and data migration activities must include, but not limited to: 1. Following and applying business, legal, and regulatory rules. 2. Data mapping documentation. 3. Examining source data, standardize data and remove anomalies. 4. Processes migration from Cal-ACCESS to new CARS system.		Project-Transition
Goal 2 - Stimulate Civic Engagement Objective 2.1 - Promote Participation in	MLNFR-041	The solution shall provide robust online help.	This functionality includes but not limited to: - full text search capability - help index levels - index values	Non-Functional

the Electoral Process			- help table - open standard tools - configurable contents - context sensitive help information	
	MLNFR-044	The solution must provide dashboard functionality.	This functionality includes but not limited to: - Display system and application events	
	MLNFR-045	The solution must provide a Single Sign-On (SSO) functionality.		
Goal 3 - Promote Innovation and Foster a Sustainable Organization Objective 3.2 - Improve business processes to achieve efficiency	MLNFR-042	The solution shall provide payment processing features.	This functionality includes but not limited to: - ability to connect to payment processing solutions - transmit information - detect and prevent duplicate transactions - payment reconciliation - notifications and confirmations	Non-Functional
	MLNFR-043	The solution shall provide real-time alert functionality.	This functionality includes but not limited to: - Email -Phone - SMS	
	MLFR-075	The solution must provide the capability for global (GL) requirements to be implemented across multiple functional and non-functional areas.	This functionality includes but not limited to (GL) detail level solution requirements.	Functional

3. **Attach** the updated To-Be Workflow(s) to your email submission.

Attachment 3.3.3.1 FutureStateModels_Version2.0

    If To-Be business process workflow(s) is not attached, explain why:

    Click or tap here to enter text.

4. **Attach** the Statement of Work to your email submission.

Attachment 3.3.4.1 – Not yet attached

3.4 Project and Procurements Roadmap

Attach a Project and Procurements Roadmap or Summary to the submission.

The roadmap or summary should include both the primary and all ancillary procurements.

Attachment 3.4.1 CARS Project Procurement Services Roadmap 20230721

Attachment 3.4.2 CARS Master Schedule 2023-08-15

Attachment 3.4.3 CARS Master Schedule PDF 2023-08-11

3.5 Project Planning

Are the following Project Management Plans or artifacts completed to the required level, 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.

Project Management Plan (Draft):Yes

> Status: Approved
>
> Attachment 3.5.1 CARS Master Project Management Plan

Risk Management Plan (Approved):Yes

> Status: Approved Risk and Issue Management Plans are combined
>
> Attachment 3.5.2 CARS Risk and Issue Management Plan

Issue and Action Item Management Plan (Approved):Yes

> Status: Approved Risk and Issue Management Plans are combined
>
> Attachment 3.5.2 CARS Risk and Issue Management Plan

Change Control Management Plan (Approved):Yes

> Status: Approved
>
> Attachment 3.5.3 Change Control Management Plan

Quality Management Plan (Approved):Yes

> Status: Approved
>
> Attachment 3.5.4 CARS Quality Management Plan

Testing Management Plan (Approved):Yes

> Status: Approved Master Test Management Plan
>
> Attachment 3.5.5 CARS Master Test Management Plan

Security Management Plan (Approved):Yes

> Status: Approved Data and Security Management Plan
>
> Attachment 3.5.6 CARS Data and Security Management Plan

Contract Management Plan (Updated Draft):Yes

Status: Approved

Attachment 3.5.7 CARS Contract Management Plan

Other (enter name) PRD Data Governance Plan:Yes

Status: Approved

Attachment 3.5.8 PRD Data Governance Plan

3.6 Primary Solicitation

Attach the Primary Solicitation document to your email submission.

Attachment 3.6.1 – Not yet attached

For a standard procurement, please attach a copy of your IFB, RFP, or RFO.

For a challenge-based procurement, please attach a copy of the solicitation.

3.7 Ancillary Procurements

1. **Attach** all in-progress and completed ancillary procurement documents to your email submission.

Attachment 3.7.1.1 22-41- Aptakrit Std. 213+Exh (Executed)

Attachment 3.7.1.2 22-53- Std 213 Sabot Consulting_Executed

Attachment 3.7.1.3 22-58- Capitol Tech Solutions_Executed

Attachment 3.7.1.4 RFO #22-040 - SOW CARS OCM Services - 8.3.23

Attachment 3.7.1.5 CARS Project Agile Coach SOW Draft

Attachment 3.7.1.6 CARS UAT Lead SOW Draft

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

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

5/1/2023

If "No" or "Not applicable," provide a brief explanation below:

Click or tap here to enter text.

3. Provide the following information for each of your ancillary procurements:

Service Type: Other

If "Other," specify: Project Planning Support Services

Roles/Responsibilities or Tasks: The consultant team is to develop, under the direction of the SOS, a solicitation document that will be used to acquire the services of a contractor to develop a replacement CAL-ACCESS system. The consultants will also assist the SOS with completion of the CDT Project Approval Lifecycle and budget document development, data migration readiness and business process reengineering to identify requirements for the solicitation document.

Status: Complete

CDT STP Conducted: No

Procurement Type: IT-MSA

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

Length of Contract: 18 months

Service Type: Other

If "Other," specify: Independent Verification and Validation

Roles/Responsibilities or Tasks: The contractor is to provide the Project with Independent Verification and Validation (IV&V) Services for the following California Department of Technology (CDT) Project Approval Lifecycle (PAL) Information Technology (IT) Project planning stages. The Contractor will also provide IV&V Services for all Project execution phase activities, including the solution design, development, and implementation activities, that fall within the timeline of the Contract.

Status: Complete

CDT STP Conducted: No

Procurement Type: IT-MSA

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

Length of Contract: 36 months

Service Type: Other

If "Other," specify: Scheduler and Requirements Manager

Roles/Responsibilities or Tasks: The Project Scheduler is to develop, monitor, analyze, and update the CARS Integrated Project Schedule and any supporting project schedules using SOS requirements, industry standards and best practices. The Requirements Manager is to review and analyze current requirements, business rules, and use cases to assist with refinement of mid-level requirements and build out of the requirements repository within the CARS Microsoft Azure DevOps, working closely with the CARS Project Team to ensure requirements are imported and that setup of cross connections, dependencies, business rules, and administrative templates are complete.

Status: Complete

CDT STP Conducted: No

Procurement Type: IT-MSA

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

Length of Contract: 36 months

Service Type: Organizational Change Management

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

Roles/Responsibilities or Tasks: The contractor is to ensure leadership and impacted parties are informed of project progress and status; all stakeholders, both internal and external, are engaged and understand their role in the project; foster and ensure buy-in and engagement of leadership at the SOS, the FPPC, and the FTB; ensure preparedness and readiness of impacted end users; identify gaps between process and system functionality that may need to be addressed; ensure all end-users receive appropriate training for the new CARS solutions; ensure all PRD, ITD, PMO, and process support teams understand their role in system rollout and support; facilitate transition to the CARS solutions utilizing OCM tools and processes, as defined by the OCM contractor; and increase receptiveness and reduce resistance to changes resulting from the implementation so that members of the public (including the media) are served in a timely and efficient manner.

Status: In-Progress

CDT STP Conducted: No

Procurement Type: IT-MSA

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

Length of Contract: 36 months

Service Type: Training and Instruction

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

Roles/Responsibilities or Tasks: Agile Trainer/Coach

The contractor is to train, coach, mentor, and guide the SOS during the transition from a traditional waterfall software development approach to a hybrid agile software development approach that will in all likelihood be used for the CARS Project. The training will ensure project stakeholders understand the roles & responsibilities and specialized terminology that is used in an Agile Scrum software development methodology, which is a sprint-based system for managing software development efforts. Additionally, during the project's execution phase, the Contractor will facilitate and provide in-the-moment course correction during the transition to Agile and throughout the actual solution development lifecycle.

Status: In-Progress

CDT STP Conducted: No

Procurement Type: IT-MSA

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

Length of Contract: 36 months

Service Type: Testing

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

Roles/Responsibilities or Tasks: Quality Assurance and User Acceptance Testing

The contractor is to lead the CARS User Acceptance Testing effort under the direction of Secretary of State QA Manager. Additionally, the contractor will monitor third party testing activities such as System testing and Performance testing. The contractor shall also perform regression testing, generate testing reports on issues found during testing activities and their resolution, and create test tracking metrics to ensure the testing process is documented.

Status: In-Progress

CDT STP Conducted: No

Procurement Type: Choose an item.

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

Length of Contract: Click or tap here to enter text.

Service Type: Other

If "Other," specify: Project Management Support Services

Roles/Responsibilities or Tasks: The consultant team is to assist the SOS with various project management support activities during the Execution Phase of the project.

Status: Planned

CDT STP Conducted: No

Procurement Type: IT-MSA

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

Length of Contract: 36 months

TIP: Copy and paste or click the + button in the lower right corner of the ancillary procurement items to add Services (for different Service Types or Lengths of Contract) with all additional information as needed.

End of agency/state entity document.

Please ensure ADA compliance before submitting this document to CDT.

When ready, submit Stage 3 and all attachments in an email to ProjectOversight@state.ca.gov.

TIP: Review the Gate 3 Project Management Planning Evaluation Scorecard to ensure a complete submission. GATE 3 Evaluation Scorecard

Department of Technology Use Only

Original "New Submission" Date: 08/17/2023

Form Received Date: 08/17/2023

Form Accepted Date: 08/17/2023

Form Status: In Analysis

Form Status Date: 08/17/2023

Form Disposition: Choose an item.

Form Disposition Date: Click or tap to enter a date.