



# Stage 2 Alternative Analysis

California Department of Technology, SIMM 19B.2 (Rev. 2.5, July/2021)

## 2.1 General Information

Agency or State Entity Name: State Controller

If agency/entity not in list then enter here. [Click or tap here to enter text.](#)

Organization Code: 0840

Proposal Name: [Unclaimed Property Management System Replacement \(UPMSR\)](#)

Department of Technology Project Number (0840-091): 091

## 2.2 Preliminary Submittal Information

Removed. Stage 2 Preliminary Assessment information moved to Stage 1 Business Analysis, Section 1.10.

## 2.3 Stage 2 Preliminary Assessment

Removed. Stage 2 Preliminary Assessment information moved to Stage 1 Business Analysis, Section 1.10.

## 2.4 Submittal Information

### Contact Information

Contact First Name: Todd

Contact Last Name: Boltjes

Contact Email: [tboltjes@sco.ca.gov](mailto:tboltjes@sco.ca.gov)

Contact Phone: (916) 445-8245

**Submission Date:** 5/5/2023

**Project Approval Executive Transmittal** ([attach file to your email submission.](#))

**Submission Type:** Updated Submission (Post-Approval)

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

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

## Sections Updated

**Sections Changed** (List all the sections that have been updated.)

2.11.7 Cost Summary

**Summary of Changes** (Summarize updates made.)

Project and Planning Costs (one-time) updated based on updates made to the FAW dated 3\_15\_2022.

**Sections Changed** (List all the sections that have been updated.)

2.11.6 High Level Proposed Project Schedule

**Summary of Changes** (Summarize updates made.)

Updated proposed project schedule dates

**Sections Changed** (List all the sections that have been updated.)

DGS Delegated Purchasing Authority

**Summary of Changes** (Summarize updates made.)

Updated answer from No to Yes

## Condition(s) from Previous Stage(s)

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

Condition Category: [Choose an item.](#)

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

Condition Sub-Category: [Choose an item.](#)

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

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

Assessment: [Choose an item.](#)

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

Agency/State Entity Response: [Click or tap here to enter text.](#)

Status: [Choose an item.](#)

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

## **2.5 Baseline Processes and Systems**

### **2.5.1 Description**

**There are four bureaus within the Unclaimed Property Division (UPD):**

- **Holder Operations Bureau (HOB)** - This bureau is responsible for processing reports from holders; cataloging, storing, and safekeeping safe deposit box contents; as well as outreach and compliance with the business community.
- **Special Operations Bureau (SOB)** - This bureau handles tasks prior to claims processing such as Call Center queries and intake of claims, as well as tasks after claims processing such as quality assurance and settlement.
- **Consumer Services Bureau (CSB)** - This bureau is responsible for processing all claims for unclaimed property received by UPD.
- **Accounting Bureau (AB)** - This bureau is responsible for maintaining, disbursing and reporting all cash, securities and related financial activity for UPD.

**All of the bureaus within UPD use the UPS2000 system. The processes for these units are described below. The filenames for the attached business process workflows for each are included in section 2.5.2.**

#### **HOB - Remit Reporting**

Reporting Section staff review the report documents submitted by the holder and check the report electronic file for errors in Report Import, which includes an automatic comparison against the corresponding report in CA Notice. Once the report is verified correct, Reporting staff load the report file from Report Import to UPS2000 system, where they link any cash remittance receipts to the report, and finalize cash-only, negative, or safekeeping property reports. Reporting staff forward reports containing securities property to the Accounting Bureau for verification of the securities remittance.

#### **HOB - Outreach and Compliance**

Outreach and Compliance (OCU) staff identify industries to focus on and conduct unclaimed property outreach efforts, which may include targeted correspondence, webinars, mailing list updates, telephone outreach, events, and site visits. OCU staff pull holder and reporting data from UPS2000 system using UPD's Report Manager tools, as well as business information shared by the California State Board of Equalization and Franchise Tax Board.

## **HOB - Safe Deposit Box Inventory**

As safe deposit box contents are received from holders, Safe Deposit Unit (SDU) staff inventory the contents and reconcile any discrepancies with the reported property information found in UPS2000 system. SDU staff updates each safekeeping item's inventory status and contents location in the property record in UPS2000 system. Safekeeping items are stored until they are reclaimed by the owner, destroyed, or sold at auction in accordance with unclaimed property law.

## **SOB - Call Center**

Call center is the first point of contact for the public. Call Center staff will search for properties, provide status on claims received, and answer general questions for submitting a claim. The unit also provides assistance with warrant issues and bond/aggregate research. Current process flow illustrates how this information/inquiries is communicated and logged into our current system. The routing of communication is done through a CCFS (Call Center Fact Sheet) which is a uniform template sent through Outlook email and noted on the current system database.

## **SOB - Intake**

Intake Unit are responsible for all incoming mail that is delivered to UPD. Intake is the first to handle claims and inquiries received by the public and identifies how that correspondence is routed. They manually scan in all claims that have been received into our current data base system and will file them to be evaluated at a future date.

## **SOB – Quality Assurance**

Quality Assurance Unit provides a second review of all claims. Claims are received after initial review by the CSB Units (Consumer Services Bureau). Claims which have passed second review will be entered into the weekly settlement batch. Claim dollar thresholds determine additional levels of approval. This process is conducted on UPD's current system database but paper claims require an additional filing process.

## **SOB – Settlement**

Settlement Unit also provides a second review of all claim. Claims sent to the Settlement Desk for payment are reviewed and routed for payment or routed to accounting if securities/stocks are involved. As payments go through the pay cycle the claims status is updated manually on UPD's system database.

## **CSB – Claims Processing**

Claims are received, sorted and held in a staging area to be processed by claim evaluators. Claims are then reviewed along with claimants identities and documentation using various tools to verify that the rightful property owners have submitted the claim. Once the claims have been verified, they are approved and sent for area for payment and archiving.

## **CSB – Pending Desk**

During the evaluation process of a claim, there may be a need for additional documentation to verify a claimant's identity or association to property. Claims needing additional documentation are placed in a "Pending" status within UPS2000. The claims are then forwarded and held in a central location (the pending desk) within the evaluation unit while the claimant is contacted and documentation requested. The claimant is given a set time to provide the documentation and if received, the claim is returned to the evaluator to complete evaluation. If the requested documentation is not received, the claim is either closed and returned to the claimant, or closed if the claim is denied.

## **AB – Accounting Processes**

The overall Accounting Process workflow diagram illustrates processes in the Accounting Bureau to reconcile shares reported by holders to actual shares received from holders, manage securities portfolio, record receipts, allocate funds to properties, sell securities, pay security claims, and bill holders for noncompliance. Main accounting systems used to perform these tasks are the Unclaimed Property System (UPS2000) and legacy Unclaimed Property systems. Attached workflows for the Accounting Bureau including:

- 1577 Unit – Interest and Penalties on Holders
- Accounting Collections
- Accounting Overview
- Analysis and Reconciliation of Securities Issues
- Book Entry Statement
- Manual Payments
- Missing Receipts
- Report Reconciliation
- Sale of Securities
- Settlement
- Stock Assignment

### **2.5.2 Business Process Workflows**

**The following workflow diagrams correspond to the business processes listed above:**

#### **Remit Reporting**

File Name: S2AA\_2021\_12\_Workflow\_UPD\_HOB\_RemmitReporting\_UPMSR\_v0.01

#### **HOB - Outreach and Compliance**

S2AA\_2021\_12\_Workflow\_UPD\_HOB\_Outreach&Compliance\_UPMSR\_v0.01

**HOB - Safe Deposit Box Inventory**

**S2AA\_2021\_12\_Workflow\_UPD\_HOB\_SafeDepositBoxInventory\_UPMSR\_v0.01**

**SOB - Call Center**

**S2AA\_2021\_12\_Workflow\_UPD\_SOB\_CallCenter\_UPMSR\_v0.01**

**SOB - Intake**

**S2AA\_2021\_12\_Workflow\_UPD\_SOB\_Intake\_UPMSR\_v0.01**

**SOB – Quality Assurance**

**S2AA\_2021\_12\_Workflow\_UPD\_SOB\_QualityAssurance\_UPMSR\_v0.01**

**SOB – Settlement**

**S2AA\_2021\_12\_Workflow\_UPD\_SOB\_Settlement\_UPMSR\_v0.01**

**CSB – Claims Processing**

**S2AA\_2021\_12\_Workflow\_UPD\_CSB\_ClaimsProcess\_UPMSR\_v0.01**

**CSB – Pending Desk**

**S2AA\_2021\_12\_Workflow\_UPD\_CSB\_PendingDesk\_UPMSR\_v0.01**

**AB – 1577 - Interest**

**S2AA\_2021\_12\_Workflow\_UPD\_AB\_1577-Interest\_UPMSR\_v0.01**

**Accounting Collections**

**S2AA\_2021\_12\_Workflow\_UPD\_AB\_AccountingCollections\_UPMSR\_v0.01**

**AB – Accounting Overview**

**S2AA\_2021\_12\_Workflow\_UPD\_AB\_AccountingOverview\_UPMSR\_v0.01**

**Analysis and Reconciliation of Securities Issues**

**S2AA\_2021\_12\_Workflow\_UPD\_AB\_ARSIWorkflow\_UPMSR\_v0.01**

**AB – Book Entry Statement**

**S2AA\_2021\_12\_Workflow\_UPD\_AB\_BookEntryStatement\_UPMSR\_v0.01**

**AB – Report Reconciliation**

**S2AA\_2021\_12\_Workflow\_UPD\_AB\_ReportReconciliation\_UPMSR\_v0.01**

**Manual Payments**

**S2AA\_2021\_12\_Workflow\_UPD\_AB\_ManualPayments\_UPMSR\_v0.01**

**Missing Receipts**

**S2AA\_2021\_12\_Workflow\_UPD\_AB\_MissingReceipts\_UPMSR\_v0.01**

**Report Reconciliation**

**S2AA\_2021\_12\_Workflow\_UPD\_AB\_ReportReconciliation\_UPMSR\_v0.01**

**Sale of Securities**

**S2AA\_2021\_12\_Workflow\_UPD\_AB\_SaleofSecurities\_UPMSR\_v0.01**

**Settlement**

**S2AA\_2021\_12\_Workflow\_UPD\_AB\_Settlement\_UPMSR\_v0.01**

**Stock Assignment**

**S2AA\_2021\_12\_Workflow\_UPD\_AB\_StockAssignment\_UPMSR\_v0.01**

**2.5.3 Current Architecture Information**

**Business Function/Process(es)**

Holder Reporting, Holder Compliance, Claims Processing, Claims Quality Assurance Review, Call Center, Mail/Intake Unit, Locator Unit, Claims Settlement Processing, Securities Management and Reconciliation, Accounting, Interest and Penalties, Financial Management, Auction Management, Fraud Prevention, Property Owner Advocate, Testing and Technical

Support (Business Analysis Unit (BAU) and Unclaimed Property Division Service Desk (UPDSD))

**Application, System, or Component:** Application

COTS, MOTS, or Custom: MOTS

Name/Primary Technology: UPS2000 system (production, test, training, & development servers), UCPI web application

## Runtime Environment

Cloud Computing Used: No

If "Yes," specify: [Choose an item.](#)

Server/Device Function: SCO owns the database servers and is paying for SQLServer licensing and support.

Hardware: Desktops/laptops that run the UPS2000 application have Windows10 with RAM ranging from 8GB-16GB

Operating System: Desktop/Laptop Win 10 1909, Database – please see attached spreadsheet "UPD\_Hardware\_Spec.xlsx"

System Software: UPS2000 Application (including related executable files)

**System Interfaces:** Upload address files received from Franchise Tax Board (FTB), Data validation with Lexis/Nexis and Accurint, integrated Interactive Voice Response (IVR) system, receive Holder Payments via Electronic Funds Transfer (EFT)/Automated Clearing House (ACH), barcode scanner/printers, document printers.

**Data Center Location:** State data center operated by CDT

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

## Security

**Access:** (answer Yes or No to all choices)

Public: No

Internal State Staff: Yes

External State Staff: No

Other: No Specify: N/A

**Type of Information** (answer Yes or No to all choices)

Personal: Yes

Health: No

Tax: Yes



Financial: Yes

Legal: Yes

Confidential: Yes

Other: No Specify: N/A

**Protective Measures** (answer Yes or No to all choices)

Technical Security: Yes

Physical Security: Yes

Backup and Recovery: Yes,

Identity Authorization and Authentication: Yes

Other, specify: N/A

**Data Management**

Data Owner Name: Margit Miller

Data Owner Title: Unclaimed Property Division Chief

Data Owner Business Program: Unclaimed Property Division

Data Custodian Name: Sam Taylor

Data Custodian Title: DBA Manager

Data Custodian Business Program: Database Server Infrastructure

**2.5.4 Current Architecture Diagram**

**S2AA\_2021\_12\_ArchitectureDiagram\_UPD\_ClearviewConnect\_UPMSR\_v0.01**

**S2AA\_2021\_12\_ArchitectureDiagram\_UPD\_ShoppingCart\_UPMSR\_v0.01**

**2.5.5 Security Categorization Impact Table**

(Attach Security Categorization Impact Table to the email submission.)

**SECURITY CATEGORIZATION IMPACT SUMMARY**

Confidentiality: Medium

Integrity: Medium

Availability: Medium

## 2.6 Mid-Level Solution Requirements

(Attach Mid-Level Solution Requirements to the email submission.)

## 2.7 Assumptions and Constraints

**Assumptions/Constraints:** A.1 The current UPS2000 product will remain functional and viable until the new system is implemented, accepted, and all of UPD's active workload can be maintained in the new system.

**Description/Potential Impact:** The current UPS2000 needs to be operational and should continue to perform its current functionalities until it is no longer needed to perform UPD's business functions.

**Assumptions/Constraints:** A.2 Funding requests will continue to be approved for PAL stages and BCP will be approved for solution implementation and ongoing maintenance.

**Description/Potential Impact:** Funding is required to proceed with the project. If required funding is not approved, then the project cannot move forward.

**Assumptions/Constraints:** A.3 Executive sponsorship and Steering Committee support continues throughout the PAL and project lifecycle.

**Description/Potential Impact:** If the executive sponsors, senior leadership and steering committee are not actively engaged, then the project may not be successful.

**Assumptions/Constraints:** A.4 A data conversion is planned for all data needed to meet the requirements for the new system.

**Description/Potential Impact:** If the historical data is not available in the new system, then UPD will need to work in both the legacy and new systems for an indefinite period of time.

**Assumptions/Constraints:** A.5 Details for Financial Analysis Worksheet (FAW) will be estimated.

**Description/Potential Impact:** The estimate included in the FAW is based on the best information available at the time. As knowledge and understanding grows to improve estimates, there may be changes to project cost.

**Assumptions/Constraints:** A.6 Dedicated UPD resources including Subject Matter Experts (SME's) will be available to support UAT testing.

**Description/Potential Impact:** There will be dedicated UPD UAT testing staff and UPD SMEs available for UAT testing activities.

**Assumptions/Constraints:** A.7 No change to the project's scope once the requirements are baselined.

**Description/Potential Impact:**

**Assumptions/Constraints:** A.8 Dedicated and assigned project resources/support will remain allocated to the project.

**Description/Potential Impact:** Dedicated and assigned project resources/support must remain allocated to the project in order to meet deliverables and timelines.

## 2.8 Dependencies

**Dependency Element:** Project Resources

**Dependency Description:** Dedicated and assigned project resources/support must remain allocated to the project in order to meet deliverables and timelines.

**Dependency Element:** Legacy Data

**Dependency Description:** Migration of legacy data, such as Access databases, SharePoint Lists, and spreadsheets used to perform key tasks, including the ARU (Additional Research Unit) Assignment Tracking Log, the Claims Requirement Checklist (CRL), the Fraud Database, and the LAN Accountability database, to replacement system.

**Dependency Element:** Role-Based Solution Training

**Dependency Description:** Vendor provides training for SCO UPD staff to have adequate knowledge and skills for the use of the solution once the project is completed.

**Dependency Element:** Testing Strategy

**Dependency Description:** The testing strategy will serve as a guide to how vendor and UPD testers validate the solution meets the requirements and is ready for deployment.

**Dependency Element:** Requirements and Related Documentation

**Dependency Description:** Gathering comprehensive and clear requirements and documentation is essential for configuring and testing the UPD replacement system.

## 2.9 Market Research

### 2.9.1 Market Research Methodologies/Timeframes

#### Methodologies Used to Perform Market Research

Request for Information (RFI): Yes

Internet Research: Yes

Vendor Forums/Presentation: Yes

Trade shows: No

Published Literature: Yes

Leveraged Agreements: No

Collaboration with other Agencies/state entities or governmental entities: No

Other: Other States Yes Specify: UPD contacted representatives from multiple states who use the Kelmar KAPS system to ask a series of questions and get their feedback. OBJ

**Time spent conducting market research:** 5 months

**Date market research was started:** 7/23/2021

**Date all market research was completed:** 12/22/2021

## **2.9.2 Results of Market Research:**

UPD began researching a replacement system in the summer of 2021. The initial research included presentations/demos from both Avenu and Kelmar on the capabilities and features of their respective systems. UPD requested that both Avenu and Kelmar each provide presentations to a large group of UPD staff representing all bureaus within the department. Both Avenu and Kelmar were asked to present the tools they felt could benefit California's unclaimed property program, including Notice & Remit online reporting tools, documentation management tools, unclaimed property databases, fraud protection capabilities, reconciliation tools, customer management functions, and workflow management tools. Both Avenu and Kelmar gave presentations/demos to UPD staff in August 2021.

The comparison chart below is based off the information received from those presentations:

Features (included within product)	Avenu	Kelmar	Comments
Online Document Submission (Digital Document Management)		X	Can add any document to the system manually (INCLUDING ACCURINT PRINTOUTS) directly from computer screen including those mailed and scanned or attached to emails, etc.
Online Reporting (Notice and Remit)		X	Has not been implemented in any other state, but has been designed
Stock Reconciliation and Value Tracking		X	
Partial Payment Account Reconciliation		X	Processing partial payments with the Avenu system is a manual process; Kelmar's system includes an automated process
Safekeeping Auction Tool (Functional)		X	Avenu tool not functional since launch
Safekeeping Lien Fee Payment Tool (Functional)		X	Avenu tool not functional since launch
eCart Functionality (Shopping Cart)	X	X	Avenu Shopping Cart application essentially copied style/flow from states using Kelmar's system

Automatic Workflow Process		X	Ability to assign claims to staff automatically based on criteria/rules down to the user level (assign 10 single owner claims to Person A)
Remote Workflow		X	Avenu's system was not built to work via VPN, whereas Kemar's system is cloud-based and built for full workflow flexibility
Realtime Claim Initiation		X	Requires Kelmar to host the website. Import process goes away.
Quality Assurance Review	X	N/A	Kelmar has a claims audit function, routing a % of claims or claims meeting specific criteria for QA - rather than 100% review. Automated evidence requirements and digital documents would replace current QAR process.
ChatBot Integration		X	Kelmar can integrate with any chosen ChatBot tool selected by any state
Automated Delivery of System Reports		X	
Ad Hoc Reports (by Non-Technical Staff)		X	Users can create custom reports, as needed; some ad hoc reports (like FOIA reports), would still require technical staff
LexID Matching		X	If a claim is initiated for a property connected to a specific LexID, the system will locate other properties in the system belonging to the same LexID and will recommend and/or automatically add the properties to the claim
Automatic Claimant Correspondence		X	Informs claimants of documentation needed to claim automatically at time of claim.
Email Correspondence Recording		X	Email tool within the database (using standard email addresses) to correspond with claimants and holders, and automatically record all communications with the claim/property/holder/report.
Automatically Reject Reports (During Submission)		X	
Claimant Authentication Quiz		X	
LexisNexis' ThreatMetrix		X	Kelmar uses the enterprise-level LexisNexis' ThreatMetrix tool; Avenu uses the lower tier government-based LexisNexis Risk Defense Platform
Fraud Scoring System		X	Kelmar's fraud scoring system uses data from a variety of sources including known fraud index checks, geolocation vs IP checks, age of email address provided
Fraud Data Sharing		X	Kelmar's system includes shared fraud data between agencies and multi-states fraud analysis systems
Fraud Profiling		X	Kelmar's system can auto-reply to claimant that property is not claimable at this time, if certain fraud threshold is reached - requiring no staff to correspond - reduces/stops phishing attempts

In addition to the presentations provided by Avenu and Kelmar, UPD conducted additional research by contacting the 11 most populous states that use Kelmar's KAPS system; we received responses from 7 states:

- Colorado
- New Jersey
- North Carolina
- Minnesota
- Massachusetts
- Michigan
- Washington

UPD contacted unclaimed property representatives from each of these states and asked them for their feedback on several key questions about the reasons they chose the KAPS system, any benefits/pain points, conversion process, how well staff adapted to the new system, teleworking feedback, and overall satisfaction with the KAPS system. Some states chose to provide responses via email and others provided answers via phone interviews with UPD staff. The responses to UPD's questions from each of these states are included in the attached files:

S2AA\_2021\_12\_MarketResearch\_Colorado\_UPMSR\_v0.01.pdf

S2AA\_2021\_12\_MarketResearch\_New Jersey\_UPMSR\_v0.01.pdf

S2AA\_2021\_12\_MarketResearch\_North Carolina\_UPMSR\_v0.01.pdf

S2AA\_2021\_12\_MarketResearch\_Minnesota\_UPMSR\_v0.01.pdf

S2AA\_2021\_12\_MarketResearch\_Massachusetts\_UPMSR\_v0.01.pdf

S2AA\_2021\_12\_MarketResearch\_Michigan\_UPMSR\_v0.01.pdf

S2AA\_2021\_12\_MarketResearch\_Washington\_UPMSR\_v0.01.pdf

## **2.10 Alternative Solutions**

**2.10.1 Solution Type (Recommended or Alternative): Recommended**

**2.10.2 Name: Cloud-based Unclaimed Property Management System**

**2.10.3 Description:** UPD requires a cloud-based workflow solution with an intuitive interface and robust fraud protections. The new solution should include integrated and automated tools for online holder reporting (Notice and Remit), secure remote report processing, multi-property online claims tool, safe online claims document portal, secure remote claims processing, settlement processing, securities management and reconciliation, Accounting integration, interest and penalties tools, financial management, and auction management. In addition, the vendor should provide a dedicated and responsive development team to respond to issues/defects as well as a thorough transition and training program, and ongoing support for new system needs as they arise.

**Approach** (Answer Yes or No to all choices):

Increase staff – new or existing capabilities: Yes

Modify the existing business process or create a new business process: Yes

Reduce the services or level of services provided: No

Utilize new or increased contracted services: Yes

Enhance the existing IT system: No

Create a new IT system: Yes

Perform a business-based procurement to have vendors propose a solution: Yes

Other: No Specify: N/A

**2.10.4 Benefit Analysis -**

**Benefit/Advantage:** A new solution with fraud detection and prevention tools reduces the risk of UPD paying fraudulent claims instead of reuniting property to its rightful owner.

**Benefit/Advantage:** A solution that automates processes between and within bureaus will improve the efficiency of services offered by UPD to its constituents.

**Benefit/Advantage:** A cloud-based SaaS solution reduces the risk of system failure due to the obsolete system hardware and software.

**Benefit/Advantage:** SaaS solutions serve a broader customer base, incorporate industry standards, and stay abreast of industry innovations.

**Benefit/Advantage:** SaaS solutions have less dependences on platforms since their components are supported across different environments and can be integrated.

**Benefit/Advantage:** In addition to supporting many baseline requirements, SaaS solutions may offer desirable functions and features for future enhancements and implementations.

**Benefit/Advantage:** Commercial systems provide an additional measure of standardization and control over the solution. Unique, one-off functionality that has been a source of concern in the legacy system can be addressed through development tools

provided in modern solutions. Any such unique development then becomes part of the base software, and is accounted for in future upgrades.

**Benefit/Advantage:** While the state will clearly maintain control of the data and be responsible for usage of the system, the vendor will assume significant responsibility for the platform's support of compliance, upgrades, and ongoing operational changes.

**Benefit/Advantage:** Robust user training and documentation is available with a SaaS solution.

**Disadvantage:** Procurement, design, implementation, maintenance and support of a new system carries significant costs

**Disadvantage:** Complexity of conversion of legacy systems and data with new solution.

**Disadvantage:** The skill set of much of the team supporting the legacy environment focuses on existing, outdated technology. Moving from that environment to a cloud-based system designed around the user experience is a major leap, and will require different skills to support the solution.

**Disadvantage:** A cloud-based SaaS solution is dependent on key transformational changes to current UPD business processes. These key changes are supported by the key stakeholders and the project team. If these changes are not implemented timely the project's scope, schedule, and cost could be impacted.

### **Anticipated Time to Achieve Objectives After Project Go-Live**

(Choose one: Within 1 Year, 2 Years, 3 Years, 4 Years, Over 4 Years)

#### **Objective Number: 1 Objective Timeframe 2 years**

Increase the return of properties to the rightful owners by 15% within the first two years after implementation

#### **Anticipated Time to Achieve Financial Benefits after Project Go-Live**

Increased Revenues: N/A [Choose an item.](#)

Cost Savings: N/A [Choose an item.](#)

Cost Avoidance: N/A [Choose an item.](#)

Cost Recovery: N/A [Choose an item.](#)

#### **Objective Number: 2 Objective Timeframe Within 1 year**

Within the first year after implementation, increase the number of documents submitted electronically by holders to 75% of total submitted holder documents.

#### **Anticipated Time to Achieve Financial Benefits after Project Go-Live**

Increased Revenues: N/A [Choose an item.](#)

Cost Savings: N/A [Choose an item.](#)



Cost Avoidance: **Within 1 year**

Cost Recovery: N/A [Choose an item.](#)

**Objective Number: 3 Objective Timeframe Within 1 year**

Increase the number of UPD staff who can work remotely by 20% within the first year after implementation.

**Anticipated Time to Achieve Financial Benefits after Project Go-Live**

Increased Revenues: N/A [Choose an item.](#)

Cost Savings: **2 years**

Cost Avoidance: **2 years**

Cost Recovery: N/A [Choose an item.](#)

**Objective Number: 4 Objective Timeframe Within 1 year**

Within the first year after implementation, increase the number of documents submitted electronically by claimants to 30% of total submitted documents.

**Anticipated Time to Achieve Financial Benefits after Project Go-Live**

Increased Revenues: N/A [Choose an item.](#)

Cost Savings: N/A [Choose an item.](#)

Cost Avoidance: **2 years**

Cost Recovery: N/A [Choose an item.](#)

**Objective Number: 5 Objective Timeframe 3 years**

Increase holder reporting compliance by 20% within the first three years after implementation (CRM, interconnected connected databases, etc.).

**Anticipated Time to Achieve Financial Benefits after Project Go-Live**

Increased Revenues: **3 years**

Cost Savings: N/A [Choose an item.](#)

Cost Avoidance: N/A [Choose an item.](#)

Cost Recovery: N/A [Choose an item.](#)

**Objective Number: 6 Objective Timeframe 2 years**

Reduce manual claim processing time to 125 days within the first two years after implementation.

**Anticipated Time to Achieve Financial Benefits after Project Go-Live**

Increased Revenues: N/A [Choose an item.](#)

Cost Savings: N/A [Choose an item.](#)

Cost Avoidance: **2 years**

Cost Recovery: N/A [Choose an item.](#)

**Objective Number: 7 Objective Timeframe Within 1 year**

Within one year of implementation, increase the number of customer questions handled by automated systems by 10%.

**Anticipated Time to Achieve Financial Benefits after Project Go-Live**

Increased Revenues: N/A [Choose an item.](#)

Cost Savings: N/A [Choose an item.](#)

Cost Avoidance: **2 years**

Cost Recovery: N/A [Choose an item.](#)

**Objective Number: 8 Objective Timeframe Within 1 year**

Launch a minimum of three automated fraud prevention tools within the first year after implementation.

**Anticipated Time to Achieve Financial Benefits after Project Go-Live**

Increased Revenues: N/A [Choose an item.](#)

Cost Savings: N/A [Choose an item.](#)

Cost Avoidance: **2 years**

Cost Recovery: N/A [Choose an item.](#)

**Objective Number: 9 Objective Timeframe Within 1 year**

Within one year of the implementation of the project, launch a system that will allow UPD to auction properties.

**Anticipated Time to Achieve Financial Benefits after Project Go-Live**

Increased Revenues: **Over 4 years**

Cost Savings: N/A [Choose an item.](#)

Cost Avoidance: N/A [Choose an item.](#)

Cost Recovery: N/A [Choose an item.](#)

**Objective Number: 10 Objective Timeframe Within 1 year**

Reduce the timeline for system fixes, updates and enhancements by 50% within the first year of implementation.

**Anticipated Time to Achieve Financial Benefits after Project Go-Live**

Increased Revenues: N/A [Choose an item.](#)

Cost Savings: N/A [Choose an item.](#)

Cost Avoidance: **Within 1 year**

Cost Recovery: N/A [Choose an item.](#)

**Objective Number: 11 Objective Timeframe Within 1 year**

Upon full system implementation, integrate business process workflows between and within all UPD bureaus.

**Anticipated Time to Achieve Financial Benefits after Project Go-Live**

Increased Revenues: N/A [Choose an item.](#)

Cost Savings: N/A [Choose an item.](#)

Cost Avoidance: N/A [Choose an item.](#)

Cost Recovery: N/A [Choose an item.](#)

**Objective Number: 12 Objective Timeframe Within 1 year**

Upon full system implementation, eliminate stand-alone databases and spreadsheets required for essential business functions and replace with a secure, integrated system.

**Anticipated Time to Achieve Financial Benefits after Project Go-Live**

Increased Revenues: N/A [Choose an item.](#)

Cost Savings: N/A [Choose an item.](#)

Cost Avoidance: N/A [Choose an item.](#)

Cost Recovery: N/A [Choose an item.](#)

## **Objective Number: 13 Objective Timeframe Within 1 year**

Upon implementation, implement integrated and automated systems to ensure financial integrity and accurate reconciliation of funds

### **Anticipated Time to Achieve Financial Benefits after Project Go-Live**

Increased Revenues: N/A [Choose an item.](#)

Cost Savings: N/A [Choose an item.](#)

Cost Avoidance: **Within 1 year**

Cost Recovery: N/A [Choose an item.](#)

### **2.10.5 Assumptions and Constraints**

*A business-based procurement is a procurement method that allows vendors to propose a solution based on the agency/state entity's business requirements and supporting information.*

*Assumptions and constraints for a business-based procurement.*

#### **Assumptions:**

- Vendors will propose a solution based on the Unclaimed Property Management System Replacement (UPMSR) detailed business requirements and supporting information.
- An organized methodology will allow for detailed comparison of one system to another.
- Functional differences and advantages of one system to another will promote comparisons of return on investment (ROI) between solutions.
- Ensures that the evaluations of vendors will not be influenced by other information stated outside the defined business requirements and system information.

#### **Constraints:**

- Potential lengthy vendor evaluation process.
- Lacks flexibility if key strategies or objectives shift during the evaluation process.
- Limited vendors due to uniqueness of system.

### **2.10.6 Implementation Approach**

#### **Identify the type of existing IT system enhancement or new system proposed**

(Answer Yes or No for each)

Enhance the current system: No

Develop a new custom solution: No

Purchase a Commercial off-the-Shelf (COTS) system: Yes

Purchase or obtain a system from another government agency (Transfer): No

Subscribe to a Software as a Service (SaaS) system: Yes

Other: No Specify: N/A

**Identify cloud services to be leveraged** (Answer Yes or No for each)

Software as a Service (SaaS) provided by OTech: No

Software as a Service (SaaS) provided by commercial vendor: Yes

Platform as a Service (PaaS) provided by OTech: No

Platform as a Service (PaaS) provided by commercial vendor: Yes

Infrastructure as a Service (IaaS) provided by OTech: No

Infrastructure as a Service (IaaS) provided by commercial vendor: Yes

If no cloud services will be leveraged by this alternative, provide a justification of why cloud services are not being leveraged: [Click or tap here to enter text.](#)

**Identify who will modify the existing system or create the new system** (Select Yes or No for each):

Agency/state entity IT staff: No

A vendor will be contracted: Yes

Inter-agency agreement will be established with another governmental agency. No

Specify agency name(s): [Click or tap here to enter text.](#)

Other: [Choose an item.](#) Specify: [Click or tap here to enter text.](#)

**Identify the implementation strategy:**

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

Requirements will be addressed in incremental implementations in this proposed project. No

Some requirements will be addressed in this proposed project. The remaining requirements will be addressed at a later date: No

Specify the year when the remaining requirements will be addressed: [Click or tap here to enter text.](#)

**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. No

## 2.10.7 Architecture Information

**Business Function/Process(es):** Holder Reporting, Holder Compliance, Claims Processing, Claims Quality Assurance Review, Call Center, Mail/Intake Unit, Locator Unit, Claims Settlement Processing, Securities Management and Reconciliation, Accounting, Interest and Penalties, Financial Management, Auction Management, Fraud Prevention, Property Owner Advocate, Testing and Technical Support (Business Analysis Unit (BAU) and Unclaimed Property Division Service Desk (UPDSD))

**Application, System, or Component:** Proprietary COTS/SaaS Solution (production and testing environments), document scanners, barcode scanner/printers, document printers, integration with MS Outlook, external interfaces (upload address files from Franchise Tax Board (FTB), data validation with Lexis/Nexis and Accurant, integrated Interactive Voice Response (IVR) system, receive Holder Payments via EFT/ACH, future data feed to FI\$Cal)

**COTS, MOTS, or Custom:** COTS

Name/Primary Technology: Proprietary SaaS

### Runtime Environment

Cloud Computing Used: Yes

If "Yes," specify: SaaS - Software as a Service

Server/Device Function: Unknown

Hardware: Unknown

Operating System: Unknown

System Software: Proprietary SaaS

**System Interfaces:** Upload address files received from Franchise Tax Board (FTB), Data validation with Lexis/Nexis and Accurant, integrated Interactive Voice Response (IVR) system, receive Holder Payments via EFT/ACH, future data feed to FI\$Cal, integration with MS Outlook for stock and user-generated email correspondence and communication tracking, document scanners, barcode scanner/printers, document printers.

**Data Center Location:** Other

If Other, specify: Vendor-provided cloud storage

### Security

**Access:** (answer Yes or No to all choices)

Public: Yes

Internal State Staff: Yes

External State Staff: No

Other: No Specify: [Click or tap here to enter text.](#)

**Type of Information** (answer Yes or No to all choices)

Personal: Yes

Health: No

Tax: Yes

Financial: Yes

Legal: Yes

Confidential: Yes

Other No Specify: [Click or tap here to enter text.](#)

**Protective Measures** (answer Yes or No to all choices)

Technical Security: Yes

Physical Security: [Yes](#)

Backup and Recovery: Yes

Identity Authorization and Authentication: Yes

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

**Data Management**

Data Owner Name: Margit Miller

Data Owner Title: UPD Division Chief

Data Owner Business Program: UPD

Data Custodian Name: Todd Boltjes

Data Custodian Title: SCO Chief Information Officer (CIO)

Data Custodian Business Program: Information Systems Division (ISD)

## 2.11 Recommended Solution

**2.11.1 Rationale for Selection:** The recommended solution, a cloud-based SAAS Unclaimed Property management system, is the most viable option for this proposal. Remaining with the current, outdated UPD system is not a viable option, as the current system lacks adequate fraud detection and prevention tools, lacks automated and integrated digital document management capabilities, creates significant manual workflow processes, and lacks adequate financial management tools. In order for UPD to meet its mission to safeguard property and return it to its rightful owners as well as meet SCO's strategic goals, UPD needs to modernize its system.

### 2.11.2 Technical/Initial CA-PMM Complexity Assessment

(Reference section 2.11.2 in the Stage 2 Alternative Analysis Preparation Instructions, [SIMM](#) 19B.1 and Complexity Assessment instructions [SIMM](#) Section 45D.)

**Technical Complexity Score:** 2.8

**Complexity Zone:** Zone II/III - Medium Criticality/Risk

### 2.11.3 Procurement and Staffing Strategy

Select an **Activity**: Solicitation Development

**Responsible** (answer Yes or No to all choices)

Agency/state entity staff: Yes

**STP staff:** Yes

CDT Project Approvals and Oversight staff: No

CA-PMO staff: No

DGS staff: No

Contractor: No

Other: No Specify: [Click or tap here to enter text.](#)

**When Needed** (answer Yes or No to all choices.)

Stage 3 Solution Development: Yes

Stage 4 Project Readiness and Approval: No

After project is approved (after Stage 4 Project Readiness and Approval): No

**Cost Estimate Verification** (answer Yes or No to all choices)

Market research conducted (MR): No



Cost estimate provided (CE): Yes

CDT CE: No

DGS CE: No

Request for Information (RFI) conducted: No

Comparable vendor services have been used on previous contracts (CV): No

Leveraged Procurement Agreement (LPA): No

**Complete Only if Contractor Responsible for Activity**

Procurement Vehicle: None

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

Contract Type: [Choose an item.](#)

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

Select an **Activity**: Requirements Elicitation

**Responsible** (answer Yes or No to all choices)

Agency/state entity staff: Yes

STP staff: No

CDT Project Approvals and Oversight staff: No

CA-PMO staff: No

DGS staff: No

Contractor: No

Other: No Specify: [Click or tap here to enter text.](#)

**When Needed** (answer Yes or No to all choices.)

Stage 3 Solution Development: Yes

Stage 4 Project Readiness and Approval: No

After project is approved (after Stage 4 Project Readiness and Approval): No

**Cost Estimate Verification** (answer Yes or No to all choices)

Market research conducted (MR): No

Cost estimate provided (CE): Yes

CDT CE: No

DGS CE: No

Request for Information (RFI) conducted: No

Comparable vendor services have been used on previous contracts (CV): No

Leveraged Procurement Agreement (LPA): No

**Complete Only if Contractor Responsible for Activity**

Procurement Vehicle: None

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

Contract Type: [Choose an item.](#)

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

Select an **Activity**: Cost Estimating

**Responsible** (answer Yes or No to all choices)

Agency/state entity staff: Yes

STP staff: No

CDT Project Approvals and Oversight staff: No

CA-PMO staff: No

DGS staff: No

Contractor: No

Other: No Specify: [Click or tap here to enter text.](#)

**When Needed** (answer Yes or No to all choices.)

Stage 3 Solution Development: Yes

Stage 4 Project Readiness and Approval: Yes

After project is approved (after Stage 4 Project Readiness and Approval): Yes

**Cost Estimate Verification** (answer Yes or No to all choices)

Market research conducted (MR): No

Cost estimate provided (CE): Yes

CDT CE: No

DGS CE: No

Request for Information (RFI) conducted: No

Comparable vendor services have been used on previous contracts (CV): No

Leveraged Procurement Agreement (LPA): No

**Complete Only if Contractor Responsible for Activity**

Procurement Vehicle: None

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

Contract Type: [Choose an item.](#)

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

Select an **Activity**: Business Analysis

**Responsible** (answer Yes or No to all choices)

Agency/state entity staff: Yes

STP staff: No

CDT Project Approvals and Oversight staff: No

CA-PMO staff: No

DGS staff: No

Contractor: No

Other: No Specify: [Click or tap here to enter text.](#)

**When Needed** (answer Yes or No to all choices.)

Stage 3 Solution Development: Yes

Stage 4 Project Readiness and Approval: Yes

After project is approved (after Stage 4 Project Readiness and Approval): Yes

**Cost Estimate Verification** (answer Yes or No to all choices)

Market research conducted (MR): No

Cost estimate provided (CE): Yes

CDT CE: No

DGS CE: No

Request for Information (RFI) conducted: No

Comparable vendor services have been used on previous contracts (CV): No

Leveraged Procurement Agreement (LPA): No

**Complete Only if Contractor Responsible for Activity**

Procurement Vehicle: None

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

Contract Type: [Choose an item.](#)

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

Select an **Activity**: Technical Analysis

**Responsible** (answer Yes or No to all choices)

Agency/state entity staff: Yes

STP staff: No

CDT Project Approvals and Oversight staff: No

CA-PMO staff: No

DGS staff: No

Contractor: No

Other: No Specify: [Click or tap here to enter text.](#)

**When Needed** (answer Yes or No to all choices.)

Stage 3 Solution Development: Yes

Stage 4 Project Readiness and Approval: Yes

After project is approved (after Stage 4 Project Readiness and Approval): Yes

**Cost Estimate Verification** (answer Yes or No to all choices)

Market research conducted (MR): No

Cost estimate provided (CE): Yes

CDT CE: No

DGS CE: No

Request for Information (RFI) conducted: No

Comparable vendor services have been used on previous contracts (CV): No

Leveraged Procurement Agreement (LPA): No

**Complete Only if Contractor Responsible for Activity**

Procurement Vehicle: None

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

Contract Type: [Choose an item.](#)

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

Select an **Activity**: Project Management

**Responsible** (answer Yes or No to all choices)

Agency/state entity staff: Yes

STP staff: No

CDT Project Approvals and Oversight staff: No

CA-PMO staff: No

DGS staff: No

Contractor: No

Other: No Specify: [Click or tap here to enter text.](#)

**When Needed** (answer Yes or No to all choices.)

Stage 3 Solution Development: Yes

Stage 4 Project Readiness and Approval: Yes

After project is approved (after Stage 4 Project Readiness and Approval): Yes

**Cost Estimate Verification** (answer Yes or No to all choices)

Market research conducted (MR): No

Cost estimate provided (CE): Yes

CDT CE: No

DGS CE: No

Request for Information (RFI) conducted: No

Comparable vendor services have been used on previous contracts (CV): No

Leveraged Procurement Agreement (LPA): No

**Complete Only if Contractor Responsible for Activity**

Procurement Vehicle: None

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

Contract Type: [Choose an item.](#)

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

Select an **Activity**: Conduct Procurement

**Responsible** (answer Yes or No to all choices)

Agency/state entity staff: Yes

STP staff: Yes

CDT Project Approvals and Oversight staff: No

CA-PMO staff: No

DGS staff: No

Contractor: No

Other: No Specify: [Click or tap here to enter text.](#)

**When Needed** (answer Yes or No to all choices.)

Stage 3 Solution Development: Yes

Stage 4 Project Readiness and Approval: Yes

After project is approved (after Stage 4 Project Readiness and Approval): No

**Cost Estimate Verification** (answer Yes or No to all choices)

Market research conducted (MR): No

Cost estimate provided (CE): Yes

CDT CE: No

DGS CE: No

Request for Information (RFI) conducted: No

Comparable vendor services have been used on previous contracts (CV): No

Leveraged Procurement Agreement (LPA): No

**Complete Only if Contractor Responsible for Activity**

Procurement Vehicle: None

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

Contract Type: [Choose an item.](#)

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

Select an **Activity**: Independent Verification and Validation (IV&V)

**Responsible** (answer Yes or No to all choices)

Agency/state entity staff: Yes

STP staff: No

CDT Project Approvals and Oversight staff: No

CA-PMO staff: No

DGS staff: No

Contractor: Yes

Other: No Specify: [Click or tap here to enter text.](#)

**When Needed** (answer Yes or No to all choices.)

Stage 3 Solution Development: No

Stage 4 Project Readiness and Approval: Yes

After project is approved (after Stage 4 Project Readiness and Approval): Yes

**Cost Estimate Verification** (answer Yes or No to all choices)

Market research conducted (MR): Yes

Cost estimate provided (CE): Yes

CDT CE: No

DGS CE: No

Request for Information (RFI) conducted: No

Comparable vendor services have been used on previous contracts (CV): Yes

Leveraged Procurement Agreement (LPA): No

**Complete Only if Contractor Responsible for Activity**

Procurement Vehicle: Formal Solicitation (IFB/ RFP)

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

Contract Type: Fixed Price (FP)

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

Select an **Activity**: Project Oversight

**Responsible** (answer Yes or No to all choices)

Agency/state entity staff: No

STP staff: Yes

CDT Project Approvals and Oversight staff: Yes

CA-PMO staff: No

DGS staff: No

Contractor: No

Other: No Specify: [Click or tap here to enter text.](#)

**When Needed** (answer Yes or No to all choices.)

Stage 3 Solution Development: Yes

Stage 4 Project Readiness and Approval: Yes

After project is approved (after Stage 4 Project Readiness and Approval): Yes

**Cost Estimate Verification** (answer Yes or No to all choices)

Market research conducted (MR): No

Cost estimate provided (CE): No

CDT CE: Yes

DGS CE: No

Request for Information (RFI) conducted: No

Comparable vendor services have been used on previous contracts (CV): No

Leveraged Procurement Agreement (LPA): No

**Complete Only if Contractor Responsible for Activity**

Procurement Vehicle: None

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

Contract Type: [Choose an item.](#)

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

Select an **Activity**: Organizational Change Management

**Responsible** (answer Yes or No to all choices)

Agency/state entity staff: Yes

STP staff: No



CDT Project Approvals and Oversight staff: No

CA-PMO staff: No

DGS staff: No

Contractor: No

Other: No Specify: [Click or tap here to enter text.](#)

**When Needed** (answer Yes or No to all choices.)

Stage 3 Solution Development: Yes

Stage 4 Project Readiness and Approval: Yes

After project is approved (after Stage 4 Project Readiness and Approval): Yes

**Cost Estimate Verification** (answer Yes or No to all choices)

Market research conducted (MR): No

Cost estimate provided (CE): Yes

CDT CE: No

DGS CE: No

Request for Information (RFI) conducted: No

Comparable vendor services have been used on previous contracts (CV): No

Leveraged Procurement Agreement (LPA): No

**Complete Only if Contractor Responsible for Activity**

Procurement Vehicle: None

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

Contract Type: [Choose an item.](#)

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

Select an **Activity**: Testing

**Responsible** (answer Yes or No to all choices)

Agency/state entity staff: Yes

STP staff: No

CDT Project Approvals and Oversight staff: No

CA-PMO staff: No

DGS staff: No

Contractor: Yes

Other: No Specify: [Click or tap here to enter text.](#)

**When Needed** (answer Yes or No to all choices.)

Stage 3 Solution Development: No

Stage 4 Project Readiness and Approval: No

After project is approved (after Stage 4 Project Readiness and Approval): Yes

**Cost Estimate Verification** (answer Yes or No to all choices)

Market research conducted (MR): Yes

Cost estimate provided (CE): Yes

CDT CE: No

DGS CE: No

Request for Information (RFI) conducted: No

Comparable vendor services have been used on previous contracts (CV): Yes

Leveraged Procurement Agreement (LPA): No

**Complete Only if Contractor Responsible for Activity**

Procurement Vehicle: Formal Solicitation (IFB/ RFP)

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

Contract Type: Fixed Price (FP)

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

Select an **Activity**: Design

**Responsible** (answer Yes or No to all choices)

Agency/state entity staff: Yes

STP staff: No

CDT Project Approvals and Oversight staff: No

CA-PMO staff: No

DGS staff: No

Contractor: Yes

Other: No Specify: [Click or tap here to enter text.](#)

**When Needed** (answer Yes or No to all choices.)

Stage 3 Solution Development: No

Stage 4 Project Readiness and Approval: No

After project is approved (after Stage 4 Project Readiness and Approval): Yes

**Cost Estimate Verification** (answer Yes or No to all choices)

Market research conducted (MR): Yes

Cost estimate provided (CE): Yes

CDT CE: No

DGS CE: No

Request for Information (RFI) conducted: No

Comparable vendor services have been used on previous contracts (CV): Yes

Leveraged Procurement Agreement (LPA): No

**Complete Only if Contractor Responsible for Activity**

Procurement Vehicle: Formal Solicitation (IFB/ RFP)

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

Contract Type: Fixed Price (FP)

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

Select an **Activity**: Data Cleansing

**Responsible** (answer Yes or No to all choices)

Agency/state entity staff: Yes

STP staff: No

CDT Project Approvals and Oversight staff: No

CA-PMO staff: No

DGS staff: No

Contractor: Yes

Other: No Specify: [Click or tap here to enter text.](#)

**When Needed** (answer Yes or No to all choices.)

Stage 3 Solution Development: No

Stage 4 Project Readiness and Approval: No

After project is approved (after Stage 4 Project Readiness and Approval): Yes

**Cost Estimate Verification** (answer Yes or No to all choices)

Market research conducted (MR): Yes

Cost estimate provided (CE): Yes

CDT CE: No

DGS CE: No

Request for Information (RFI) conducted: No

Comparable vendor services have been used on previous contracts (CV): Yes

Leveraged Procurement Agreement (LPA): No

**Complete Only if Contractor Responsible for Activity**

Procurement Vehicle: Formal Solicitation (IFB/ RFP)

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

Contract Type: Fixed Price (FP)

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

Select an **Activity**: Data Validation

**Responsible** (answer Yes or No to all choices)

Agency/state entity staff: Yes

STP staff: No

CDT Project Approvals and Oversight staff: No

CA-PMO staff: No

DGS staff: No

Contractor: Yes

Other: No Specify: [Click or tap here to enter text.](#)

**When Needed** (answer Yes or No to all choices.)

Stage 3 Solution Development: No

Stage 4 Project Readiness and Approval: No

After project is approved (after Stage 4 Project Readiness and Approval): Yes

**Cost Estimate Verification** (answer Yes or No to all choices)

Market research conducted (MR): Yes

Cost estimate provided (CE): Yes

CDT CE: No

DGS CE: No

Request for Information (RFI) conducted: No

Comparable vendor services have been used on previous contracts (CV): Yes

Leveraged Procurement Agreement (LPA): No

**Complete Only if Contractor Responsible for Activity**

Procurement Vehicle: Formal Solicitation (IFB/ RFP)

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

Contract Type: Fixed Price (FP)

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

Select an **Activity**: Data Conversion

**Responsible** (answer Yes or No to all choices)

Agency/state entity staff: Yes

STP staff: No

CDT Project Approvals and Oversight staff: No

CA-PMO staff: No

DGS staff: No

Contractor: Yes

Other: No Specify: [Click or tap here to enter text.](#)

**When Needed** (answer Yes or No to all choices.)

Stage 3 Solution Development: No

Stage 4 Project Readiness and Approval: No

After project is approved (after Stage 4 Project Readiness and Approval): Yes

**Cost Estimate Verification** (answer Yes or No to all choices)

Market research conducted (MR): Yes

Cost estimate provided (CE): Yes

CDT CE: No

DGS CE: No

Request for Information (RFI) conducted: No

Comparable vendor services have been used on previous contracts (CV): Yes

Leveraged Procurement Agreement (LPA): No

**Complete Only if Contractor Responsible for Activity**

Procurement Vehicle: Formal Solicitation (IFB/ RFP)

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

Contract Type: Fixed Price (FP)

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

Select an **Activity**: Data Migration

**Responsible** (answer Yes or No to all choices)

Agency/state entity staff: Yes

STP staff: No

CDT Project Approvals and Oversight staff: No

CA-PMO staff: No

DGS staff: No

Contractor: Yes

Other: No Specify: [Click or tap here to enter text.](#)

**When Needed** (answer Yes or No to all choices.)

Stage 3 Solution Development: No

Stage 4 Project Readiness and Approval: No

After project is approved (after Stage 4 Project Readiness and Approval): Yes

**Cost Estimate Verification** (answer Yes or No to all choices)

Market research conducted (MR): Yes

Cost estimate provided (CE): Yes

CDT CE: No

DGS CE: No

Request for Information (RFI) conducted: No

Comparable vendor services have been used on previous contracts (CV): Yes

Leveraged Procurement Agreement (LPA): No

**Complete Only if Contractor Responsible for Activity**

Procurement Vehicle: Formal Solicitation (IFB/ RFP)

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

Contract Type: Fixed Price (FP)

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

Select an **Activity**: Training

**Responsible** (answer Yes or No to all choices)

Agency/state entity staff: Yes

STP staff: No

CDT Project Approvals and Oversight staff: No

CA-PMO staff: No

DGS staff: No

Contractor: Yes

Other: No Specify: [Click or tap here to enter text.](#)

**When Needed** (answer Yes or No to all choices.)

Stage 3 Solution Development: No

Stage 4 Project Readiness and Approval: No

After project is approved (after Stage 4 Project Readiness and Approval): Yes

**Cost Estimate Verification** (answer Yes or No to all choices)

Market research conducted (MR): Yes

Cost estimate provided (CE): Yes

CDT CE: No

DGS CE: No

Request for Information (RFI) conducted: No

Comparable vendor services have been used on previous contracts (CV): Yes

Leveraged Procurement Agreement (LPA): No

**Complete Only if Contractor Responsible for Activity**

Procurement Vehicle: Formal Solicitation (IFB/ RFP)

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

Contract Type: Fixed Price (FP)

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

Select an **Activity**: Integration/Development

**Responsible** (answer Yes or No to all choices)

Agency/state entity staff: Yes

STP staff: No

CDT Project Approvals and Oversight staff: No

CA-PMO staff: No

DGS staff: No

Contractor: Yes

Other: No Specify: [Click or tap here to enter text.](#)

**When Needed** (answer Yes or No to all choices.)

Stage 3 Solution Development: No

Stage 4 Project Readiness and Approval: No

After project is approved (after Stage 4 Project Readiness and Approval): Yes

**Cost Estimate Verification** (answer Yes or No to all choices)

Market research conducted (MR): Yes

Cost estimate provided (CE): Yes

CDT CE: No

DGS CE: No

Request for Information (RFI) conducted: No



Comparable vendor services have been used on previous contracts (CV): Yes

Leveraged Procurement Agreement (LPA): No

**Complete Only if Contractor Responsible for Activity**

Procurement Vehicle: Formal Solicitation (IFB/ RFP)

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

Contract Type: Fixed Price (FP)

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

Select an **Activity**: Contract Management

**Responsible** (answer Yes or No to all choices)

Agency/state entity staff: Yes

STP staff: No

CDT Project Approvals and Oversight staff: No

CA-PMO staff: No

DGS staff: No

Contractor: No

Other: No Specify: [Click or tap here to enter text.](#)

**When Needed** (answer Yes or No to all choices.)

Stage 3 Solution Development: Yes

Stage 4 Project Readiness and Approval: Yes

After project is approved (after Stage 4 Project Readiness and Approval): Yes

**Cost Estimate Verification** (answer Yes or No to all choices)

Market research conducted (MR): No

Cost estimate provided (CE): Yes

CDT CE: No

DGS CE: No

Request for Information (RFI) conducted: No

Comparable vendor services have been used on previous contracts (CV): No

Leveraged Procurement Agreement (LPA): No

**Complete Only if Contractor Responsible for Activity**

Procurement Vehicle: None

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

Contract Type: [Choose an item.](#)

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

Select an **Activity**: Enterprise Architecture

**Responsible** (answer Yes or No to all choices)

Agency/state entity staff: Yes

STP staff: No

CDT Project Approvals and Oversight staff: No

CA-PMO staff: No

DGS staff: No

Contractor: No

Other: No Specify: [Click or tap here to enter text.](#)

**When Needed** (answer Yes or No to all choices.)

Stage 3 Solution Development: No

Stage 4 Project Readiness and Approval: No

After project is approved (after Stage 4 Project Readiness and Approval): Yes

**Cost Estimate Verification** (answer Yes or No to all choices)

Market research conducted (MR): No

Cost estimate provided (CE): Yes

CDT CE: No

DGS CE: No

Request for Information (RFI) conducted: No

Comparable vendor services have been used on previous contracts (CV): No

Leveraged Procurement Agreement (LPA): No

**Complete Only if Contractor Responsible for Activity**

Procurement Vehicle: None

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

Contract Type: [Choose an item.](#)

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

Select an **Activity**: Quality Assurance

**Responsible** (answer Yes or No to all choices)

Agency/state entity staff: Yes

STP staff: No

CDT Project Approvals and Oversight staff: No

CA-PMO staff: No

DGS staff: No

Contractor: Yes

Other: No Specify: [Click or tap here to enter text.](#)

**When Needed** (answer Yes or No to all choices.)

Stage 3 Solution Development: No

Stage 4 Project Readiness and Approval: No

After project is approved (after Stage 4 Project Readiness and Approval): Yes

**Cost Estimate Verification** (answer Yes or No to all choices)

Market research conducted (MR): Yes

Cost estimate provided (CE): Yes

CDT CE: No

DGS CE: No

Request for Information (RFI) conducted: No

Comparable vendor services have been used on previous contracts (CV): Yes

Leveraged Procurement Agreement (LPA): No

**Complete Only if Contractor Responsible for Activity**

Procurement Vehicle: Formal Solicitation (IFB/ RFP)

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

Contract Type: Fixed Price (FP)

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

Select an **Activity**: Technical Installation of Hardware

**Responsible** (answer Yes or No to all choices)

Agency/state entity staff: Yes

STP staff: No

CDT Project Approvals and Oversight staff: No

CA-PMO staff: No

DGS staff: No

Contractor: No

Other: No Specify: [Click or tap here to enter text.](#)

**When Needed** (answer Yes or No to all choices.)

Stage 3 Solution Development: No

Stage 4 Project Readiness and Approval: No

After project is approved (after Stage 4 Project Readiness and Approval): Yes

**Cost Estimate Verification** (answer Yes or No to all choices)

Market research conducted (MR): No

Cost estimate provided (CE): Yes

CDT CE: No

DGS CE: No

Request for Information (RFI) conducted: No

Comparable vendor services have been used on previous contracts (CV): No

Leveraged Procurement Agreement (LPA): No

**Complete Only if Contractor Responsible for Activity**

Procurement Vehicle: None

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

Contract Type: [Choose an item.](#)

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

Select an **Activity**: Technical Installation of Software

**Responsible** (answer Yes or No to all choices)

Agency/state entity staff: No

STP staff: No

CDT Project Approvals and Oversight staff: No

CA-PMO staff: No

DGS staff: No

Contractor: Yes

Other: No Specify: [Click or tap here to enter text.](#)

**When Needed** (answer Yes or No to all choices.)

Stage 3 Solution Development: No

Stage 4 Project Readiness and Approval: No

After project is approved (after Stage 4 Project Readiness and Approval): Yes

**Cost Estimate Verification** (answer Yes or No to all choices)

Market research conducted (MR): Yes

Cost estimate provided (CE): No

CDT CE: No

DGS CE: No

Request for Information (RFI) conducted: No

Comparable vendor services have been used on previous contracts (CV): Yes

Leveraged Procurement Agreement (LPA): No

**Complete Only if Contractor Responsible for Activity**

Procurement Vehicle: Formal Solicitation (IFB/ RFP)

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

Contract Type: Fixed Price (FP)

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

Select an **Activity**: Maintenance

**Responsible** (answer Yes or No to all choices)

Agency/state entity staff: Yes

STP staff: No

CDT Project Approvals and Oversight staff: No

CA-PMO staff: No

DGS staff: No

Contractor: Yes

Other: No Specify: [Click or tap here to enter text.](#)

**When Needed** (answer Yes or No to all choices.)

Stage 3 Solution Development: No

Stage 4 Project Readiness and Approval: No

After project is approved (after Stage 4 Project Readiness and Approval): Yes

**Cost Estimate Verification** (answer Yes or No to all choices)

Market research conducted (MR): Yes

Cost estimate provided (CE): Yes

CDT CE: No

DGS CE: No

Request for Information (RFI) conducted: No

Comparable vendor services have been used on previous contracts (CV): Yes

Leveraged Procurement Agreement (LPA): No

**Complete Only if Contractor Responsible for Activity**

Procurement Vehicle: Formal Solicitation (IFB/ RFP)

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

Contract Type: Fixed Price (FP)

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

Select an **Activity**: Operations

**Responsible** (answer Yes or No to all choices)

Agency/state entity staff: Yes

STP staff: No

CDT Project Approvals and Oversight staff: No

CA-PMO staff: No

DGS staff: No

Contractor: Yes

Other: No Specify: [Click or tap here to enter text.](#)

**When Needed** (answer Yes or No to all choices.)

Stage 3 Solution Development: No

Stage 4 Project Readiness and Approval: No

After project is approved (after Stage 4 Project Readiness and Approval): Yes

**Cost Estimate Verification** (answer Yes or No to all choices)

Market research conducted (MR): Yes

Cost estimate provided (CE): Yes

CDT CE: No

DGS CE: No

Request for Information (RFI) conducted: No

Comparable vendor services have been used on previous contracts (CV): Yes

Leveraged Procurement Agreement (LPA): No

**Complete Only if Contractor Responsible for Activity**

Procurement Vehicle: Formal Solicitation (IFB/ RFP)

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

Contract Type: Fixed Price (FP)

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

**DGS Delegated Purchasing Authority**

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

#### **2.11.4 Enterprise Architecture Alignment: The SaaS solution will provide the majority of the Information Technology capabilities, except as noted below.**

**Information Technology Capability** (Select Yes or No to identify capabilities that may be needed for this project.)

Public or Internal Portal/Website: N/A [Choose an item.](#)

Public or Internal Mobile Application: N/A [Choose an item.](#)

Enterprise Service Bus: N/A [Choose an item.](#)

Identity and Access Management: Existing Enterprise Capability to be Leveraged

Enterprise Content Management (including document scanning and eForms capabilities): Existing Enterprise Capability to be Leveraged

Business Intelligence and Data Warehousing: N/A [Choose an item.](#)

Master Data Management: N/A [Choose an item.](#)

Big Data Analytics: N/A [Choose an item.](#)

#### **2.11.5 Project Phases**

**Phase Title:** [Click or tap here to enter text.](#)

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

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

#### **2.11.6 High Level Proposed Project Schedule**

**Proposed Project Planning Start Date:** 11/10/2021

**Proposed Project Planning End Date:** 9/22/2023

**Proposed Project Execution Start Date:** 9/25/2023

**Proposed Project Execution End Date:** 8/20/2024

**Activity Name:** Stage 3 Solution Development

**Start Date:** 2/1/2022

**End Date:** 5/30/2023

**Activity Name:** Stage 4 Project Readiness and Approval

**Start Date:** 6/1/2023

**End Date:** 10/16/2023



### **2.11.7 Cost Summary**

Total Proposed Planning Cost: \$2,544,935

Total Proposed Project Cost: \$2,523,901

Total Proposed Future Operations IT Staff & OE&E Cost (Continuing): \$4,690,000

Total Proposed Annual Future Operations IT Cost (M&O): \$0

## **2.12 Staffing Plan**

### **2.12.1 Administrative**

There is minimal administrative impact anticipated on the priorities and capacities of UPD Administrative Support staff to maintain ongoing UPD operations in conjunction with the UPMSR project workload. UPD Administrative Support staff will act as a liaison between UPD Bureaus and contractors and will serve as the UPD Contract Liaison with the new vendor.

### **2.12.2 Business Program**

UPD's BAU, Bureau Chiefs, Section Chiefs, Managers, Supervisors and Subject Matter Experts continue to support and maintain UPD's day-to-day operations. These same resources will actively participate in the UPMSR project by developing and documenting business requirements, providing mid-level requirements, participate in project meetings and providing feedback as needed.

### **2.12.3 Information Technology**

The ISD serves the SCO by providing technology solutions and services, and ensuring the integrity and security of the SCO technology, employees and facilities. During the project, the ISD will provide service desk support and database application and web services development, maintenance and infrastructure support for the current solution, and on-site hardware and vendor support for the new solution. For the project, ISD will provide 1.5 ITS I (Information Technology Specialist) positions for project management oversight and 2 ITS I (Information Technology Specialist) positions for business analysis support.

### **2.12.4 Testing**

Unclaimed Property Division's BAU will support system, integration, security, performance, regression and user acceptance testing for the UPMSR project. SCO UPD will provide 4 Associate Governmental Program Analysts at 100% capacity. UPD's BAUs will function as the liaison between UPD and ISD UPMSR technology teams, and lead UAT (User Acceptance Testing) while collaborating with ISD UPMSR technology team(s) to identify appropriate testing strategies, test environments and test data. They will also collaborate internally to guide and mentor staff regarding use of the new UPMSR solution and participate in Organizational Change Management (OCM) processes (as needed).

### **2.12.5 Data Conversion/Migration**

The UPMSR Data Conversion and Migration Plan will be developed during PAL Stage 3. ISD and UPD will collectively identify resources and determine their capacity and capability to support the project.

### **2.12.6 Training and Organizational Change Management**

SCO Management and Supervisors actively participated in 7 hours of Change Management training in spring 2021. The goal with this training was for supervisors and managers to learn how to plan effectively for change; implement and execute change plans; identify, understand, and handle resistance to change; cultivate commitment; and successfully manage teams during change. The business/program will lead the change within the UPD organization and UPD will identify an OCM lead, who will be in continuous contact with the ISD PMO PM as the planning and scheduling develops. The ISD PMO PM will help identify dependencies of activities within the OCM schedule and with the overall project and vendor schedule. The OCM schedule will be integrated into the PM master schedule and presumably no changes would occur after baseline. If changes do occur, those would have to be done by the PM in collaboration with the OCM lead. At SCO, we use Prosci ADKAR model / methodology. OCM is a Risk to the UPMSR project that will be mitigated. There is a risk response plan along with a contingency plan. This risk will be reviewed with the UPMSR Project team at least twice monthly.

### **2.12.7 Resource Capacity/Skills/Knowledge for Stage 3 Solution Development**

The UPMSR project team will utilize project management best practices with a governance plan for project decision making and a contract management plan for contract decision making and escalation. ISD PMO will also leverage a previous procurement management plan to model procurement governance for the project in PAL Stage 3. A Staffing Plan will also be developed and implemented which will ensure that all phases of the project are staffed appropriately. Full detailed requirements will be developed in S3, SCO and CDT subject matter experts will be consulted regarding the completeness and quality of the requirements. SCO Technical and UPD business subject matter experts will review and provide input into the requirements. Project team will focus on conducting adequate planning for the project and manage the risks and issues appropriately. SCO will also utilize internal subject matter resources (SCO Contracts and Procurement (C&P), and ISD and UPD staff and management), who have experience with procurement, solicitation development, bidding, evaluation and contract award. A Contract manager will be identified to support the UPMSR project in advance of the solicitation going out for bid. The UPMSR project team will also seek input and guidance from the department of Statewide Technology Procurement (STP) as needed. SCO is not familiar with STP's streamlined template but has a Contracts and Procurement unit that is experienced in using various other procurement templates. If the template is provided by STP, SCO C&P can assist the project team in completing it, referring to STP guidance as needed. SCO C&P does have experience with Protests as covered in Title 2, CA Codes of Regulations section 1195 and the State Contracting Manuals. C&P does not have experience with the Alternative Protest Process for major IT procurements conducted under PCC section 12125 and very limited exposure to the 6611 negotiation process.

## **2.12.8 Project Management**

### **2.12.8.1 Project Management Risk Assessment**

Project Management Risk Score: 1.0

(Attach PM Risk Assessment to the email submission. [SIMM](#) Section 45C)

### **2.12.8.2 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? (Choose: Yes, No, Not Applicable. If No or Not Applicable, provide the artifact status in the space provided.)

Requirements Management Plan: Yes S2AA-2022-01\_UPMSR Requirements Management Plan

Contract Management Plan: Yes, S2AA\_2022-01\_UPMSR\_Contract\_Management\_Plan

Project Charter: No, Deferred to Stage 3, per CDT

Scope Management Plan: No, Deferred to Stage 3, per CDT

Risk & Issues Management Plan: Yes, S2AA\_2022-01\_UPMSR\_Risk and Issue\_Management\_Plan

Issue and Action Item Management Plan: No, Issue Management Plan included with Risk Plan

Communication Management Plan: No, Deferred to Stage 3, per CDT

Schedule Management Plan: No, Deferred to Stage 3, per CDT

Human Resource Management Plan: No, Deferred to Stage 3, per CDT

Staff Management Plan: Not Applicable, Deferred to Stage 3, per CDT and included with HR and Staff Plan

Stakeholder Management Plan: No, Deferred to Stage 3, per CDT

Governance Plan: Yes, S1BA\_2021-12\_UPMSR\_Governance Management Plan

### **2.12.9 Organization Charts:**

(Attach Organization Charts to the email submission.)

[S2AA\\_2021-12\\_UPMSR Organizational Chart\\_v1.2](#)

## 2.13 Data Conversion/Migration

Identify the status of each of the following data conversion/migration activities. If Not Applicable, explain why the activity is not applicable or if Not Started, explain when the activity is planned to begin and anticipated to be completed:

Data Conversion/Migration Planning: In Progress, The UPMSR project team has identified current data sources, whether from legacy systems, hard copies, document images, access databases, etc. The project team does understand the importance of a sound Data Migration Plan, and the plan will be fully developed in PAL Stage 3, as it was deferred from PAL Stage 2 due to an expedited Stage 2 schedule. ISD PMO does have previous Data Migration Plans to leverage and UPD subject matter experts are available to assist where needed.

Data Conversion/Migration Requirements: Not Started, Legacy data conversion and migration has been identified as a mid-level requirement, with further analysis required to ensure accurate and complete data conversion/migration requirements are defined and developed in PAL Stage 3.

Current Environment Analysis: Not Started, Environment Analysis will begin in PAL Stage 3.

Data Profiling: Not Started, Data Profiling will begin in PAL Stage 3.

Data Quality Assessment: Not Started Data Quality Assessment will begin in PAL Stage 3.

Data Cleansing and Correction: Not Started, Data cleansing will be identified as part of Stage 3 planning and development. Cleansing and correction activities can be scheduled shortly after and during Stage 3.

## 2.14 Financial Analysis Worksheets

(Attach Financial Analysis Worksheet(s) to the email submission.)

## Department of Technology Use Only

Draft Form Date: 1/21/2022

Original "New Submission" Date: 5/4/2023

Form Received Date: 5/4/2023

Form Accepted Date: 5/4/2023

Form Status: Completed

Form Status Date: 5/16/2023

Form Disposition: Approved with Conditions

Form Disposition Date: 5/16/2023