



# Stage 4 Project Readiness and Approval

California Department of Technology, SIMM 19 D.2 (Rev. 3.0.9, 2/28/2022)

## 4.1 General Information

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

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

[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. S4PRA Version Number:** Version 1

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

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

## 4.2 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 updated or resubmission** (List all the sections that have changed.)

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

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

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

3. Attach [Project Approval Executive Transmittal](#) to your email submission.

4. Attach Final [Procurement Assessment Form](#) to your email submission.

[Attachment 4.2.4 B.5-STP-Procurement-Assessment-Form](#)

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

[No conditions.](#)

## 4.3 Contract Management

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

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

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

Status: v2.1 Approved

[Attachment 4.3.1 CARS Contract Management Plan v2.1](#)

2. **Has the role of Contract Manager been assigned, and has the Contract Manager reviewed and gained an understanding of the scope, activities, tasks, and deliverables of the contract?** [Yes](#)

If "No," briefly explain below why both have not been accomplished:

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

3. **Does the assigned Contract Manager understand the processes for post-award contract activities, including contract amendments, contract work authorizations, terms and conditions, and contract escalation/resolution?** [Yes](#)

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

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

4. **Has a post-award kickoff meeting between the Contract Manager and state project team members been scheduled to align state and contractor expectations related to contract, budget, invoicing, requirements review, and contractor incentives?** [Yes](#)

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

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

5. **Does the Contract Manager understand the Agency/state entity and federal processes, policy, and applicable procedures?** [Yes](#)

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

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

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

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

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

## 4.4 Organizational Readiness

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

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

Status: [v1.0 Approved](#)

[Attachment 4.4.1 CARS Implementation and Deployment Plan v1.0](#)

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

[Attachment 4.4.6 CARS Org Chart 2024-05-20](#)

## 4.5 Project Readiness

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

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

This hybrid approach is the best fit for the CARS Project, which is tasked with replacing the legacy CAL-ACCESS. In a hybrid model, Waterfall provides the overall structure for the well-understood, predictive aspects of the solution development, and Agile techniques are used for the iterative, more uncertain parts. In this way, the CARS can create software in an Agile fashion but follow Waterfall for the rollout process.

For this reason, the waterfall or predictive approach is the best fit for the CARS requirements development as a great majority of the business rules and business processes are already known and can be identified ahead of time. On the other hand, how the system should ultimately be developed is not clearly known by the SOS, and so an agile approach is best to ensure the state is involved at each step of the design and development effort. That way, the CARS stakeholders can see how the solution is shaping up and can change course quickly if it finds what is being developed is not meeting its needs. Once the state is satisfied with the solution, it can then be rolled out to its users.

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

The CBC Project used a hybrid agile methodology similar to the methodology described above for the development and system testing. The User Acceptance Testing was conducted after the vendor completed their system testing.

Though the agency may have some experience with the hybrid agile methodology, an Agile Trainer/Coach has been hired to help ensure project success. This contractor will provide training, coaching, and mentoring to guide the SOS during the transition from a traditional

waterfall software development approach to a hybrid Agile software development approach that will likely be used for the CARS Project. The contractor will be providing the trainings below.

- Hybrid Agile fundamentals for the project team,
- Scrum Master/Product Owner workshop for the subject matter experts (SMEs),
- SME Product Owner/sprint backlog planning workshop,
- Hybrid Agile Fundamentals Workshop for SMEs,
- Hybrid Agile Overview Workshop for the project team,
- Hybrid Agile Overview Workshop for executives, and
- Hybrid Agile Overview Workshop for external stakeholders.

The contractor will remain onboard to provide further coaching during execution.

**2. Has the Agency/state entity engaged the Office of Technology Services (OTech) for capacity planning and the development of the solution delivery timeline? [Not applicable](#)**

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

The solution will be cloud-based but will not require outreach to CDT.

**3. Have resource commitments been obtained for all those identified in the Resource Management Plan? [Yes](#)**

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

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

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

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

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

**5. Have all identified project leads received at a minimum basic project management training? [Yes](#)**

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

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

## **4.6 Business Objective Valuation**

**1. Attach** the Requirements/Backlog Baseline and/or Deliverables Baseline to your email submission.

[Attachment 4.6.1 EXHIBIT 2-1 CARS REQUIREMENTS\\_clean copy](#)

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

1. Manual processes prevent adequate data validation caused by non-standardized data and free-form text fields for the approximately 67,000 paper filings per election cycle.

Objective ID: 1.1

Objective: Reduce the amount of PRD campaign and lobbying registration manual data entry by at least 50% by the end of our first election cycle after the system is made publicly available.

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

Metric: Count of filings keyed into the system over a two-year period

Baseline: 67,000

Target Result: 33,500

Valuation: 7%

Objective ID: 1.2

Objective: Reduce the amount of PRD campaign and lobbying filing manual review and error correction by at least 50% by the end of the first year after the system is made publicly available.

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

Metric: Staff hours spent on manual review of campaign and lobbying disclosure reports

Baseline: 29,120

Target Result: 14,560

Valuation: 7%

Objective ID: 1.3

Objective: Increase data validation of incomplete filings and subsequent follow up by at least 50% by the end of the first year after the system is made publicly available.

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

Metric: Count of correspondence sent to address non-compliant (non-filers, referred to FPPC, incomplete statement, no signature, non-compliance, fine) within a two-year period

Baseline: 17,000

Target Result: 8,500

Valuation: 8%

2. PRD and Stakeholder business operations are at risk due to the system running on an old unsupported information technology platform which cannot be maintained or modified to be more robust or feature laden.

Objective ID: 2.1

Objective: Provide a flexible system, based on current technologies, that enables changes to filing requirements, including updated FPPC forms, as well as revised business processes in a timely manner.

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

Metric: CARS should allow for minor to moderate system changes via PRD-user level configuration or moderate complexity change requests that can be accomplished within time periods not to exceed six months

Baseline: Launch a system that complies with all current requirements and business practices

Target Result: The system is designed to allow for PRD-user level configuration for foreseeable changes as well as for simple modification via change requests.

Valuation: 8%

3. PRD and Stakeholders have limited online information access, audit, and report filing capabilities which hinders timely and accurate online reporting, audit efficiency and report generation.

Objective ID: 3.1

Objective: Increase FTB audit efficiencies by providing data integrity and enhanced search capability by reducing the amount of time allocated to manual intervention and validation by 40%.

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

Metric: The FTB conducted 163 audits with a budget of 2.035 million in FY 2018/19

Baseline: 163 audits with a budget of 2.035 million budget

Target Result: Increase of up to 25 audits

Valuation: 7%

Objective ID: 3.2

Objective: Allow members of the public (including the media) to easily retrieve filings without PRD intervention and to query data sets to obtain custom information without PRD intervention.

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

Metric: CARS must provide a database that contains all campaign and lobbying data, including history, and an integrated reporting toolset that has inquiry access to all data.

Baseline: Qualitative

Target Result: Y/N - Database that contains all campaign and lobbying data, including history, and an integrated reporting toolset that has inquiry access to all data.

Valuation: 8%

Objective ID: 3.3

Objective: Provide an application programming interface (API) for submission of filings.

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

Metric: Successful receipt of API filings submission

Baseline: 0 record API submission

Target Result: Y/N – Successful transmission of all API submission filings via new system

Valuation: 8%

4. PRD staff engage in compliance activities including identifying missing filings and assessing fines for late filings.

Objective ID: 4.1

Objective: Reduce by 25% the amount of time staff spends identifying and tracking delinquent filings, assessing, and collecting fines, and processing waiver requests, in order to increase capacity in these areas.

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

Metric: Staff time spent for assessing fines, collecting fines, and processing waivers based on current benchmarks.

Baseline: 14,560 Hours / Yr.

Target Result: 10,920 Hours / Yr.

Valuation: 7%

5. Filers can be confused by the complex filing deadlines and requirements; some fail to file required reports or file late.

Objective ID: 5.1

Objective: Automate PRD's non-filer notification process to reduce late and missed filings. The system shall remind filers of upcoming filing deadlines and automatically notify them about missed filings of periodic reports (semi-annual and pre-election filings).

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

Metric: Count of non-filer correspondence generated over a typical four-year election cycle.

Baseline: 17,000

Target Result: 8,368

Valuation: 8%

6. The new system must comply with industry security standards and legislation that governs the Political Reform Act (PRA).

Objective ID: 6.1

Objective: Provide the ability for secure online submission.

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

Metric: Successful secure online submission

Baseline: 0 record secure submission

Target Result: Y/N – Secure receipt of online transmission

Valuation: 8%

Objective ID: 6.2

Objective: Provide the ability for data information redaction.

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

Metric: Successful data information redaction

Baseline: 0 data record redaction

Target Result: Y/N – Successful data information redaction

Valuation: 8%

Objective ID: 6.3

Objective: Provide the ability for digital signature submission. Click or tap here to enter text.

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

Metric: Successful digital signature submission

Baseline: 0 record digital signature submission

Target Result: Y/N – Successful receipt of digital signature submission

Valuation: 8%

Objective ID: 6.4

Objective: Provide secure data storage and archiving in a manner consistent with PRA retention guideline.

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

Metric: Successful secure data storage and archiving

Baseline: 0 record secure data storage and archiving

Target Result: Y/N – Successful data storage and archiving

Valuation: 8%

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

## 4.7 Schedule Baseline

### 1. Schedule Summary

#### Project Execution Start Dates

Proposed Project Start Date (from most recently approved schedule/roadmap):  
[6/28/2024](#)

Baseline Project Start Date: [6/28/2024](#)

Variance: [0 days](#)

#### Project End Dates

Proposed Project Finish Date (from most recently approved schedule/roadmap):  
[8/26/2026](#)

Baseline Project Finish Date: [2/16/2027](#)

Variance: [+ 170 calendar days](#)

### 2. Reason(s) for Variances

Provide reasons for any date variances: [Project leadership required that the solution be implemented after the 2026 mid-term elections.](#)

### 3. Master Schedule and Key Milestones

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

[Attachment 4.7.3.1 CARS PV Schedule Timeline View with State Calendar 2024-06-03 \(PDF\)](#)

[Attachment 4.7.3.2 CARS Master Schedule + PV Schedule 2024-06-03 \(.MPP file\)](#)

## 4.8 Cost Baseline

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

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

Status: [v1.1 Approved](#)

[4.8.1 CARS Cost Management Plan v1.1](#)

### 2. Cost Summary

**Total Planning Cost (One-Time)**

Estimated Proposed Cost (from most recently approved FAW): Stage 2 FAW = \$17,242,743

Baseline Cost: Stage 4 FAW = \$9,712,039

Variance: \$-7,530,704

### **Total Project Cost (One-Time)**

Estimated Proposed Cost (from most recently approved FAW): Stage 2 FAW = \$61,622,257

Baseline Cost: Stage 4 FAW = \$69,968,946

Variance: \$8,346,689

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

Estimated Proposed Cost (from most recently approved FAW): Stage 2 FAW = \$27,029,980

Baseline Cost: Stage 4 FAW = \$12,671,339

Variance: -\$14,358,641

### **Total Cost**

Estimated Proposed Cost (from most recently approved FAW): Stage 2 FAW = \$105,894,980

Baseline Cost: Stage 4 FAW = \$92,352,323

Variance: -\$13,542,657

### **Annual Future Operations IT Costs (Annual M&O)**

Estimated Proposed Cost (from most recently approved FAW): Stage 2 FAW = \$13,590,444

Baseline Cost: Stage 4 FAW = \$9,361,112

Variance: \$4,229,332

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

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

Provide reasons for any cost variances: For variances between Stage 2 and Stage 4 FAWs, please see the following:

Attachment 4.8.3 Stage 2 to Stage 4 CARS FAW Variance 05-2024.

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

Budget Request ID: 0890-006-BCP-2024-GB

Budget Request Year (0000-00): 2024-25

Requested Amount (specific to the project): \$16,774,000

Status: [Pending](#)

Budget Bill Language (if supported): [N/A](#)

Budget Request ID: [TBD](#)

Budget Request Year (0000-00): [2025-26](#)

Requested Amount (specific to the project): [TBD](#)

Status: [Future](#)

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

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

## 5. Financial Analysis Worksheets (Baseline)

**Attach Final FAWs** to your email submission.

[Attachment 4.8.5 FAW CARS S4PRA 05-29-2024](#)

## 4.9 Primary Solicitation Results

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

[Future Attachment 4.9.1](#)

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

[Future Attachment 4.9.2](#)

3. **Was one of the viable solutions in Stage 2 selected for final contract award?** [Yes](#)

If “No”, please describe:

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

4. **Selected Vendor Name:** [Click or tap here to enter text.](#)

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

a. Contract Start Date: [Click or tap to enter a date.](#)

b. Contract End Date: [Click or tap to enter a date.](#)

6. **Total Contract Cost (without optional years):** [Click or tap here to enter text.](#)

a. Optional Years (Number of Months): [Click or tap here to enter text.](#)

7. **Total Cost of Optional Years:** [Click or tap here to enter text.](#)

8. **Total Contract Cost (with optional years):** [Click or tap here to enter text.](#)

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

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

Status: v1.0 Approved Draft

Attachment 4.9.8.1 CARS System Configuration Management Plan v1.0

2. **[Data Management Plan \(Draft\)](#):** Yes

Status: v1.1 Approved Draft

Attachment 4.9.8.2 CARS Data and Security Management Plan v1.1

3. **[Maintenance and Operations Transition Management Plan \(Draft\)](#):** Yes

Status: v1.0 Approved Draft

Attachment 4.9.8.3 CARS Maintenance and Operations Plan v1.0

## 4.10 Risk Register

**Attach** Risk Register to your email submission.

[Attachment 4.10 CARS Risk Register & Issue Log](#)

**End of Stage 4 Project Readiness and Approval Document.**

**Please ensure ADA compliance before submitting this document to CDT.**

**When ready, submit Stage 4 and all attachments in an email to [ProjectOversight@state.ca.gov](mailto:ProjectOversight@state.ca.gov).**

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

## Department of Technology Use Only

**Original "New Submission" Date:** 06/03/2024

**Form Received Date:** 06/03/2024

**Form Accepted Date:** 06/03/2024

**Form Status:** Completed

**Form Status Date:** 06/24/2024

**Form Disposition:** Approved

**Form Disposition Date:** 06/24/2024