Stage 2 Alternative Analysis

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

General Information

Agency or State Entity Name: Department of Motor Vehicles

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

Organization Code: 2740

Proposal Name: Enterprise Content Management (ECM) System

Department of Technology Project Number (0000-000): 2740-230

Preliminary Submittal Information

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

Stage 2 Preliminary Assessment

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

Submittal Information

Contact Information

   Contact First Name: James (Jim)

   Contact Last Name: Woodward

   Contact Email: James.Woodward@dmv.ca.gov

   Contact Phone: (916) 657-8052

Submission Date: 2/9/2022

Project Approval Executive Transmittal (Attached to email submission)

Submission Type: New Submission

    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.)

    Click or tap here to enter text.

    Summary of Changes (Summarize updates made.)

    Click or tap here to enter text.

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.

Baseline Processes and Systems

2.5.1 Description See Section 2.5.2 attachment.

2.5.2 Business Process Workflow

2.5.3 Current Architecture Information

Business Function/Process(es)

Application, System, or Component: Driver Safety Datacap Scanning

    COTS, MOTS, or Custom: COTS

    Name/Primary Technology: .NET

Runtime Environment

    Cloud Computing Used: No

        If "Yes," specify: Choose an item.

    Server/Device Function: client/server application

    Hardware: virtual server

    Operating System: Windows

    System Software: Microsoft .NET Framework

System Interfaces: desktop application, Datacap database, Driver Safety Application database

Data Center Location: Agency/state entity operated by agency/state entity

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

Security

    Access: (answer Yes or No to all choices)

        Public: Yes

        Internal State Staff: No

        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: Yes

Tax: No

Financial: No

Legal: Yes

Confidential: No

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: Deanna Wida

Data Owner Title: Program Manager

Data Owner Business Program: Licensing Operations Division

Data Custodian Name: Ellen Rhodes

Data Custodian Title: IT Manager I

Data Custodian Business Program: Database Administration Group

Application, System, or Component: Driver Safety Case Manager

COTS, MOTS, or Custom: MOTS

Name/Primary Technology: Java

Runtime Environment

Cloud Computing Used: No

If "Yes," specify: Choose an item.

Server/Device Function: web application

Hardware: virtual server

Operating System: Linux

System Software: IBM WebSphere Application Server, IBM FileNet P8, IBM Content Navigator

System Interfaces: web browser, FileNet database, Driver Safety Application database

Data Center Location: Agency/state entity operated by agency/state entity

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: Click or tap here to enter text.

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

Personal: Yes

Health: Yes

Tax: No

Financial: No

Legal: Yes

Confidential: No

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: Deanna Wida

Data Owner Title: Program Manager

Data Owner Business Program: Licensing Operations Division

Data Custodian Name: Ellen Rhodes

Data Custodian Title: IT Manager I

Data Custodian Business Program: Database Administration Group

Application, System, or Component: Occupational Licensing FileNet

COTS, MOTS, or Custom: COTS

Name/Primary Technology: Java

Runtime Environment

Cloud Computing Used: No

If "Yes," specify: Choose an item.

Server/Device Function: web application

Hardware: virtual server

Operating System: Linux

System Software: IBM WebSphere Application Server, IBM FileNet P8, IBM FileNet Workplace XT

System Interfaces: web browser, FileNet database, Occupational Licensing database

Data Center Location: Agency/state entity operated by agency/state entity

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: Click or tap here to enter text.

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

Personal: Yes

Health: Yes

Tax: No

Financial: No

Legal: Yes

Confidential: No

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: Deanna Wida

Data Owner Title: Program Manager

Data Owner Business Program: Licensing Operations Division

Data Custodian Name: Ellen Rhodes

Data Custodian Title: IT Manager I

Data Custodian Business Program: Database Administration Group

Application, System, or Component: Document Imaging

COTS, MOTS, or Custom: MOTS

Name/Primary Technology: C#

Runtime Environment

Cloud Computing Used: No

If "Yes," specify: Choose an item.

Server/Device Function: web application

Hardware: virtual server

Operating System: Windows

System Software: Mitek QuickStrokes, Fairfax Imagining Quick Modules, Fairfax Imaging Quick Web

System Interfaces: web browser, various databases

Data Center Location: Agency/state entity operated by agency/state entity

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: Click or tap here to enter text.

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

Personal: Yes

Health: Yes

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: various

Data Owner Title: various

Data Owner Business Program: various

Data Custodian Name: Ellen Rhodes

Data Custodian Title: IT Manager I

Data Custodian Business Program: Database Administration Group

Application, System, or Component: Field Office Document Imaging (FODI)

COTS, MOTS, or Custom: COTS

Name/Primary Technology: .NET

Runtime Environment

Cloud Computing Used: No

If "Yes," specify: Choose an item.

Server/Device Function: web application

Hardware: virtual server

Operating System: Windows

System Software: Microsoft .NET Framework, EMC Captiva InputAccel

System Interfaces: web browser, FODI database

Data Center Location: Agency/state entity operated by agency/state entity

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: Click or tap here to enter text.

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

Personal: Yes

Health: No

Tax: No

Financial: No

Legal: No

Confidential: No

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: Deanna Wida

Data Owner Title: Program Manager

Data Owner Business Program: Licensing Operations Division

Data Custodian Name: Ellen Rhodes

Data Custodian Title: IT Manager I

Data Custodian Business Program: Database Administration Group

Application, System, or Component: ProLaw

COTS, MOTS, or Custom: COTS

Name/Primary Technology: .NET

Runtime Environment

Cloud Computing Used: No

If "Yes," specify: Choose an item.

Server/Device Function: web application

Hardware: virtual server

Operating System: Windows

System Software: Microsoft .NET Framework, Thomson Reuters ProLaw

System Interfaces: web browser, ProLaw database

Data Center Location: Agency/state entity operated by agency/state entity

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: Click or tap here to enter text.

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

Personal: No

Health: No

Tax: No

Financial: No

Legal: Yes

Confidential: No

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: firewall environment

Data Management

Data Owner Name: Shelly Johnson Marker

Data Owner Title: Chief of Staff

Data Owner Business Program: Legal Affairs Division

Data Custodian Name: Ellen Rhodes

Data Custodian Title: IT Manager I

Data Custodian Business Program: Database Administration Group

Application, System, or Component: Remittance System

COTS, MOTS, or Custom: MOTS

Name/Primary Technology: C#

Runtime Environment

Cloud Computing Used: No

If "Yes," specify: Choose an item.

Server/Device Function: web application

Hardware: virtual server

Operating System: Windows

System Software: Mitek QuickStrokes, Fairfax Imaging Quick Modules, Fairfax Imaging Quick Web

System Interfaces: web browser, various databases

Data Center Location: Agency/state entity operated by agency/state entity

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: Click or tap here to enter text.

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

Personal: Yes

Health: Yes

Tax: No

Financial: Yes

Legal: No

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: firewall environment

Data Management

Data Owner Name: Denise Burroughs

Data Owner Title: Branch Chief

Data Owner Business Program: Registration Operations Division

Data Custodian Name: Ellen Rhodes

Data Custodian Title: IT Manager I

Data Custodian Business Program: Database Administration Group

2.5.4 Current Architecture Diagram

(Attach Current Architecture Diagram to the email submission.)

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

Mid-Level Solution Requirements

(Attached to the email submission.)

Assumptions and Constraints

Assumptions/Constraints: Vendor will utilize phased implementation and priority changes will be determined by DMV.

Description/Potential Impact: Utilizing the phased approach will provide the ability to evaluate each system, prioritize and determine best method for integrating with ECM solution.

Assumptions/Constraints: Transfer of knowledge from vendor to state staff.

Description/Potential Impact:

Assumptions/Constraints: The vendor must adhere to California state government information security standards as defined in State Information Management Manual (SIMM) 5300-A and State Administrative Manual (SAM) 5300.

Description/Potential Impact: SIMM 5300-A provides the state-defined security parameters for NIST SP 800-53. It and SAM 5300 contain detailed security control content. Vendor access will only be provided to DMV data under Non-Disclosure Agreement during the California state entity procurement processes.
[SIMM 5300-A: https://cdt.ca.gov/policy/simm/]
[SAM 5300: https://www.dgs.ca.gov/Resources/SAM/TOC/5300]

Failure to adhere to these standards will result in significant risk to the delivery of services and delivered products/services that do not meet the security standards will be rejected.

Assumptions/Constraints: The DMV owns its data and will own the new ECM data and system developed for it.

Description/Potential Impact: The intent of the DMV is to modernize in a way that makes it easier and simpler to access data and maintain content management.

Assumptions/Constraints: Vendor must comply with DMV IT standards.

Description/Potential Impact: The DMV will ensure that the vendor is in compliance with IT standards such as new software.

Assumptions/Constraints: The project budget will be approved.

Description/Potential Impact: Without an approved budget, the project will not be able to proceed.

Assumptions/Constraints: Project resources will be available and engaged through the entirety of the project.

Description/Potential Impact: If resources are no longer available or engaged, the project could fall behind schedule causing the project to miss the targeted implementation date.

Assumptions/Constraints: DMV will work with the California Department of Technology (CDT) and the Department of Finance (DOF) to ensure that funding will be available, as planned, throughout the project's life

Description/Potential Impact: The project will be conducted as a partnership with CDT and DOF whose support is required for the project to be successful.

Assumptions/Constraints: Budget constraints may result in reductions to project scope.

Description/Potential Impact: If there is a reduction in the budget, then DMV will have to reduce the scope of the project.

Assumptions/Constraints: Dedicated staff will remain in their current roles.

Description/Potential Impact: When new staff join the project or if project staff change roles, retire, or otherwise leave the project, it is critical to ensure transition training and knowledge transfer.

Assumptions/Constraints: Executive sponsorship will continue through project completion.

Description/Potential Impact: Constant support from executive sponsors will ensure resources are continuously available for the project.

Assumptions/Constraints: The CDT/DOF will review and approve the project.

Description/Potential Impact: The control agencies' support is necessary to start the project and will ensure external influences will not impact the successful completion of the project

Assumptions/Constraints: Qualified DMV program and technical staff will be available to participate, as needed, in design, development, testing, training, and implementation of the selected information technology (IT) solutions.

Description/Potential Impact: The project will not be successful if key program and technical staff are not committed to the successful completion of the project.

Assumptions/Constraints: Suppliers, vendors, consultants, and State staff will perform their assignments related to the project in a competent and timely manner.

Description/Potential Impact: Delays by any of the project partners could adversely impact the project schedule.

Assumptions/Constraints: Issues will be resolved, and risks mitigated on a timely basis.

Description/Potential Impact: Issues and risks that are not addressed on a timely basis could impact the project scope, budget, and/or schedule.

Assumptions/Constraints: The functional and non-functional requirements will not change significantly during project development

Description/Potential Impact: Potential vendors may not be able to meet the defined project objectives within the time constraints and/or within budget limitations.

Dependencies

Dependency Element: The system must meet all DMV Information Security Requirements.

Dependency Description: Failing to implement adequate security requirements could expose the Department to a security breach that could allow unauthorized access to confidential data. This would have a negative impact on the Department's reputation as well as expose the DMV to legal costs and the costs associated with mitigating the security issues.

Dependency Element: Test Strategy.

Dependency Description: The testing strategy will serve as a guide for verifying how other case management and content management systems will interfaces and integrate with the new solution.

Dependency Element: Preparing Environments.

Dependency Description: Environments for the development, integration testing (IT), system testing (ST), user acceptance testing (UAT), and training will need to be set up and configured as needed.

Dependency Element: Business and System Requirements.

Dependency Description: The ECM solution build, test, and defect resolution is dependent on accurate and available business and system requirements.

Market Research

2.9.1 Market Research Methodologies/Timeframes

Methodologies Used to Perform Market Research

Request for Information (RFI): No

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: No Specify: Not Applicable

Time spent conducting market research: 5 months

Date market research was started: 6/21/2021

Date all market research was completed: 11/29/2021

2.9.2 Results of Market Research:

Internet Research: DMV conducted research on the internet to identify potential solution approaches to meet ECM objectives and requirements. Potential solutions that were considered included Commercial Off-The-Shelf (COTS), Modified Off-The-Shelf (MOTS), Platform as a Service (PaaS), Software as a Service (SaaS), and Infrastructure as a Service (IaaS).

Published Literature: DMV reviewed the latest Gartner publications which included "Critical Capabilities for Content Services Platforms" and "Magic Quadrant for Content Services Platforms". Both documents were published in October 2021.

Vendor Presentations: DMV requested webinar presentations from vendors that offered ECM solutions and were highly rated in the Gartner publications for Content Services Platforms providers. The vendor presentations included the following topics that DMV was mainly interested in, along with a Q and A portion:

1.   Products/Tools to implement Enterprise Content Management at the DMV (including integration with large volume scanning operations and case management systems)
2.   Federated Content Management in a diverse (legacy, on-prem, cloud, SaaS) ecosystem
3.   Records management
4.   Security
5.   Product Architecture and Roadmap
6.   Support
7.   Pricing structure

Based on the Internet Research, Published Literature and Vendor Presentations, DMV decided to pursue a solution that would expand the main large-volume document scanning and processing system already in place, and introduce a new federated content management platform which would integrate other DMV systems such as case management, remittance, etc. This would create a true Enterprise Content Management system as the "single source of truth".

Alternative Solutions

2.10.1 Solution Type (Recommended or Alternative): Recommended

2.10.2 Name: **Proposed Solution - Implement a Flexible Federated Enterprise Content Management System that integrates with Existing Systems.**

2.10.3 Description: Implement a flexible ECM System department-wide to consolidate document resources, maintain and manage a centralized repository along with applying a federated model to provide the ability to integrate and search multiple content repositories. The federated model will allow existing content repositories to migrate data gradually. The proposed solution will provide a single department-wide secure electronic platform, cohesive document resources, enhanced information security, and reduced workflow processing time frames.

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: Yes

Create a new IT system: Yes

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

Other: Choose an item. Specify: Click or tap here to enter text.

2.10.4 Benefit Analysis

Benefits/Advantages:
- Establish an Enterprise Content Management System which allows a single point of access to enterprise-wide documents.
- Improves workflow processes due to allow more efficient access of departmental and customer records.
- Enables transparency.
- Improves customer service with more timely responses to requests for data or records.
- Improved collaboration between internal customers.
- Ability to manage and access content in various applications, systems, or platforms utilized by the department.
- Flexible and scalable platform structure that will allow the department to strategize system expansion.
- Allows for growth to meet peak business performance demands.
- Ability to implement future business process changes efficiently.
- Strengthen governance and compliance with record retention policy.

- Ensure data security through enterprise role-based permission control access.

Disadvantages:
- DMV would be highly dependent on the vendor's platform and framework.
- Data migration is needed from legacy systems to the new system.
- Training required on the ECM solution for program users.

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: 1.1 Objective Timeframe Within 1 year

Objective Number: 2.1 Objective Timeframe Within 1 year

Objective Number: 3.1 Objective Timeframe Within 1 year

Anticipated Time to Achieve Financial Benefits after Project Go-Live

Increased Revenues: Choose an item.

Cost Savings: Choose an item.

Cost Avoidance: Within 1 year

Cost Recovery: Choose an item.

2.10.5 Assumptions and Constraints

(List the assumptions and constraints, and describe the impact to the project):

ASSUMPTIONS:
- Staged implementation based on application and high functional priority will be planned in the initial iteration.
- Core functionality will be built lightweight to start with to meet immediate business needs -- the core will beaccommodate long-term DMV needs.
- Customer service level agreements and time-to-market objectives will be established.
- The COVID-19 situation will be slow to resolve, requiring physical distancing and remote work to remain the way business gets done.
- Extensive vendor support, DMV business area staff, and Information Systems Division (ISD) staff resources can be provided for requirements gathering, design, development, testing, and implementation

CONSTRAINTS:
- As DMV implements changes to its applications and systems, it must continue to support its daily business workload and changes necessitated as the result of legislative mandates.
- Changes imposed on DMV's field office technicians must be minimized. Such changes can be very expensive and disruptive to deploy. Training 4000 DMV employees and another 2000 auto clubs employees to use a new system, coordinating the technology rollout with the training, and mitigating the productivity impact of the field office learning curve are major events with very high probability of negative impact to the public.

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: Yes

Develop a new custom solution: No

Purchase a Commercial off-the-Shelf (COTS) system: No

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

Subscribe to a Software as a Service (SaaS) system: No

Other: Yes Specify: MOTS and PaaS

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: No

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: No

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: Yes

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. No

Requirements will be addressed in incremental implementations in this proposed project. Yes

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): Enterprise-wide document imaging system

Application, System, or Component: Fairfax Document Imaging System

COTS, MOTS, or Custom: MOTS

Name/Primary Technology: C#

Runtime Environment

Cloud Computing Used: No

If "Yes," specify: Choose an item.

Server/Device Function: web application

Hardware: virtual server

Operating System: Windows

System Software: Mitek QuickStrokes

Fairfax Imaging Quick Modules

System Interfaces: web browser

various databases

Data Center Location: Agency/state entity operated by agency/state entity

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: Choose an item. Specify: Click or tap here to enter text.

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

Personal: Yes

Health: Yes

Tax: Yes

Financial: Yes

Legal: Yes

Confidential: Yes

Other Choose an item. 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: Cheryl Ramsubhag

Data Owner Title: Chief of Staff

Data Owner Business Program: Customer Services Division

Data Custodian Name: Ellen Rhodes

Data Custodian Title: IT Manager I

Data Custodian Business Program: Database Administration Group

Business Function/Process(es): Federated Content Management System

Application, System, or Component: Federated Content Management System

COTS, MOTS, or Custom: Choose an item.

Name/Primary Technology: Click or tap here to enter text.

Runtime Environment

Cloud Computing Used: Yes

If "Yes," specify: PaaS - Platform as a Service

Server/Device Function: Paas

Hardware: unknown

Operating System: unknown

System Software: unknown

System Interfaces: Federated Content Management System database

Fairfax Document Imaging System

Driver Safety Case Manager

Occupational Licensing FileNet

ProLaw

Fairfax Remittance System

Data Center Location: Other

If Other, specify: unknown

Security

Access: (answer Yes or No to all choices)

Public: No

Internal State Staff: Yes

External State Staff: No

Other: Choose an item. Specify: Click or tap here to enter text.

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

Personal: Yes

Health: Yes

Tax: Yes

Financial: Yes

Legal: Yes

Confidential: Yes

Other Choose an item. 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: Cheryl Ramsubhag

Data Owner Title: Chief of Staff

Data Owner Business Program: Customer Services Division

Data Custodian Name: Ellen Rhodes

Data Custodian Title: IT Manager I

Data Custodian Business Program: Database Administration Group

2.10.1 Solution Type (Recommended or Alternative): Alternative

2.10.2 Name: **Alternative Solution 2 - Implement a Flexible Federated Enterprise Content Management System that integrates with Existing Systems and includes the Replacement of Existing Hardware (capitalized purchase).**

2.10.3 Description: This alternative solution will replace the software and purchase hardware of the current large-volume document imaging system, remittance system and other legacy systems with a new solution for scanning, processing and storing documents and media files, and will be integrated with a federated content management system which will access content and data from the content management system as well as other existing platforms such as case management, legal, and other applications.

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: Choose an item. Specify: Click or tap here to enter text.

2.10.4 Benefit Analysis

Benefits/Advantages:

- Establish an Enterprise Content Management System which allows a single point of access to enterprise-wide documents.
- Improves workflow processes due to allow more efficient access of departmental and customer records.
- Enables transparency.

- Improves customer service with more timely responses to requests for data or records Improved collaboration between internal customers.
- Ability to manage and access content in various applications, systems, or platforms utilized by the department.
- Flexible and scalable platform structure that will allow the department to strategize system expansion.
- Allows for growth to meet peak business performance demands.
- Ability to implement future business process changes efficiently.
- Strengthen governance and compliance with record retention policy.
- Ensure data security through enterprise role-based permission control access.

Disadvantages:
- Significantly lengthen the design, development, testing, and implementation phases due to the replacement of software and hardware.
- Higher upfront costs to purchase new equipment and software as well as additional consultant contracts to replace current hardware and software.
- Increased development and implementation costs due to expanded scope regarding replacement of software and hardware.
- Possible disruptions to existing content management systems.
- Significant data migration or conversion from current to new systems.
- Replacement of equipment with the same model with little to no new functionality.

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: 1.1 Objective Timeframe   Within 1 year

Objective Number: 2.1 Objective Timeframe   Within 1 year

Objective Number: 3.1 Objective Timeframe   Within 1 year

Anticipated Time to Achieve Financial Benefits after Project Go-Live

Increased Revenues: Choose an item.

Cost Savings: Choose an item.

Cost Avoidance: Within 1 year

Cost Recovery: Choose an item.

2.10.5 Assumptions and Constraints

(List the assumptions and constraints, and describe the impact to the project):

ASSUMPTIONS:
1. Staged implementation based on application and high functional priority will be planned in the initial iteration.
2. Core functionality will be built lightweight to start with to meet immediate business needs -- the core will be evolved to accommodate long-term DMV needs.
3. Customer service level agreements and time-to-market objectives will be established.
4. The COVID-19 situation will be slow to resolve, requiring physical distancing and remote work to remain the way business gets done.
5. Extensive vendor support, DMV business area staff, and Information Systems Division (ISD) staff resources can be provided for requirements gathering, design, development, testing, and implementation

CONSTRAINTS:
• As DMV implements changes to its applications and systems, it must continue to support its daily business workload and changes necessitated as the result of legislative mandates.
• Changes imposed on DMV's field office technicians must be minimized. Such changes can be very expensive and disruptive to deploy. Training 4000 DMV employees and another 2000 auto clubs employees to use a new system, coordinating the technology rollout with the training, and mitigating the productivity impact of the field office learning curve are major events with very high probability of negative impact to the public.

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: No

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

Subscribe to a Software as a Service (SaaS) system: No

Other: Yes Specify: MOTS and PaaS

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: No

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: No

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: Yes

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. No

Requirements will be addressed in incremental implementations in this proposed project. Yes

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): Enterprise Content Management System with Federation Services

Application, System, or Component: Enterprise Content Management System with Federation Services

COTS, MOTS, or Custom: MOTS

    Name/Primary Technology: unknown

Runtime Environment

    Cloud Computing Used: Yes

        If "Yes," specify: PaaS - Platform as a Service

    Server/Device Function: unknown

    Hardware: unknown

    Operating System: unknown

    System Software: unknown

System Interfaces: Enterprise Content Management System database

            Driver Safety Case Manager

            Occupational Licensing FileNet

            ProLaw

Data Center Location: Other

    If Other, specify: unknown

Security

    Access: (answer Yes or No to all choices)

        Public: No

        Internal State Staff: Yes

        External State Staff: No

        Other: Choose an item. Specify: Click or tap here to enter text.

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

        Personal: Yes

        Health: Yes

Tax: Yes

Financial: Yes

Legal: Yes

Confidential: Yes

Other Choose an item. 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: Cheryl Ramsubhag

Data Owner Title: Chief of Staff

Data Owner Business Program: Customer Services Division

Data Custodian Name: Ellen Rhodes

Data Custodian Title: IT Manager I

Data Custodian Business Program: Database Administration Group

2.10.1 Solution Type (Recommended or Alternative): Alternative

2.10.2 Name: **Alternative Solution 3 – Implement a Flexible Federated Enterprise Content Management System that integrates with Existing Systems and includes the replacement of Existing Hardware Utilizing a Lease Procurement Methodology.**

2.10.3 Description: This alternative solution will replace the software and lease hardware, of the current large-volume document imaging system and remittance system with one new solution for scanning, processing and storing documents and media files, and will be integrated with a federated content management system which will access content and data from the content management system as well as other existing platforms such as case management, legal, and other applications. The Field Office Document Imaging system hardware and software would still be replaced.

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: Choose an item. Specify: Click or tap here to enter text.

2.10.4 Benefit Analysis

Benefits/Advantages:

- Establish an Enterprise Content Management System which allows a single point of access to enterprise-wide documents.
- Improves workflow processes due to allow more efficient access of departmental and customer records.
- Enables transparency.
- Improves customer service with more timely responses to requests for data or records.
- Improved collaboration between internal customers.
- Ability to manage and access content in various applications, systems, or platforms utilized by the department.
- Flexible and scalable platform structure that will allow the department to strategize system expansion.
- Allows for growth to meet peak business performance demands.
- Ability to implement future business process changes efficiently.
- Strengthen governance and compliance with record retention policy.
- Ensure data security through enterprise role-based permission control access.
- Obtain efficient state-of-the-art hardware through a lease program that allows consistent lower upfront cost along with balanced funding need over hardware

lease period.

Disadvantages:
• Significantly lengthen the design, development, testing, and implementation phases due to the replacement of software and hardware.
• Higher ongoing annual costs to lease new equipment and software as well as additional consultant contracts to replace current hardware and software.
• Increased development and implementation costs due to expanded scope regarding replacement of software and hardware.
• Possible disruptions to existing content management systems.
• Significant data migration or conversion from current to new systems.
• Replacement of equipment with the same model with little to no new functionality.

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: 1.1 Objective Timeframe Within 1 year

Objective Number: 2.1 Objective Timeframe Within 1 year

Objective Number: 3.1 Objective Timeframe Within 1 year

Anticipated Time to Achieve Financial Benefits after Project Go-Live

Increased Revenues: Choose an item.

Cost Savings: Choose an item.

Cost Avoidance: Within 1 year

Cost Recovery: Choose an item.

2.10.5 Assumptions and Constraints

(List the assumptions and constraints, and describe the impact to the project):
ASSUMPTIONS:
1. Staged implementation based on application and high functional priority will be planned in the initial iteration.
2. Core functionality will be built lightweight to start with to meet immediate business needs -- the core will be evolved to accommodate long-term DMV needs.
3. Customer service level agreements and time-to-market objectives will be established.
4. The COVID-19 situation will be slow to resolve, requiring physical distancing and remote work to remain the way business gets done.
5. Extensive vendor support, DMV business area staff, and Information Systems Division (ISD) staff resources can be provided for requirements gathering, design, development, testing, and

implementation.

CONSTRAINTS:
1. As DMV implements changes to its applications and systems, it must continue to support its daily business workload and changes necessitated as the result of legislative mandates.
2. Changes imposed on DMV's field office technicians must be minimized. Such changes can be very expensive and disruptive to deploy. Training 4000 DMV employees and another 2000 auto clubs employees to use a new system, coordinating the technology rollout with the training, and mitigating the productivity impact of the field office learning curve are major events with very high probability of negative impact to the public.

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: No

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

Subscribe to a Software as a Service (SaaS) system: No

Other: Yes Specify: MOTS and PaaS

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: No

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: No

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: Yes

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. No

Requirements will be addressed in incremental implementations in this proposed project. Yes

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): Enterprise Content Management System with Federation Services

Application, System, or Component: Enterprise Content Management System with Federation Services

COTS, MOTS, or Custom: MOTS

Name/Primary Technology: unknown

Runtime Environment

Cloud Computing Used: Yes

> If "Yes," specify: PaaS - Platform as a Service

Server/Device Function: unknown

Hardware: unknown

Operating System: unknown

System Software: unknown

System Interfaces: Enterprise Content Management System database

Driver Safety Case Manager

Occupational Licensing FileNet

ProLaw

Data Center Location: Other

If Other, specify: unknown

Security

Access: (answer Yes or No to all choices)

Public: No

Internal State Staff: Yes

External State Staff: No

Other: Choose an item. Specify: Click or tap here to enter text.

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

Personal: Yes

Health: Yes

Tax: Yes

Financial: Yes

Legal: Yes

Confidential: Yes

Other Choose an item. 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: Cheryl Ramsubhag

Data Owner Title: Chief of Staff

Data Owner Business Program: Customer Services Division

Data Custodian Name: Ellen Rhodes

Data Custodian Title: IT Manager I

Data Custodian Business Program: Database Administration Group

Recommended Solution

2.11.1 Rationale for Selection: Based on the Internet Research, Published Literature and Vendor Presentations, the recommended solution will best meet the objectives set in Stage 1 Business Analysis. This solution will create a true Enterprise Content Management system which will not only have one enterprise-wide document imaging system for scanning, processing and storage, but also a federated content management system which will provide search and records management for the document imaging system as well as content in other platforms in the department such as case management, remittance, legal, and other applications. This solution will meet the objectives specified in Stage 1 Business Analysis. This solution will not require the replacement of the current large-volume document imaging system hardware or software which will save time, costs and resources. This solution will offer the flexibility of COTS/MOTS and cloud options (SaaS, PaaS and IaaS) for the federated content management system. Consolidating the current large-volume document imaging system to replace other legacy systems will simplify maintaining licensing and support agreements. Overall, the recommended solution far outweighs the alternatives, and the disadvantages do not overcome the many benefits.

2.11.2 Technical/Initial CA-PMM Complexity Assessment

(Reference section 2.11.2 in the Stage 2 Alternative Analysis Preparation Instructions, SIMM19B.1 and Complexity Assessment instructions SIMM Section 45D.)

Technical Complexity Score: 2.4

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: Yes

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): 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): No

Leveraged Procurement Agreement (LPA): No

Complete Only if Contractor Responsible for Activity

Procurement Vehicle: Choose an item.

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: Yes

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): 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: Choose an item.

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: Yes

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): 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: Choose an item.

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: Yes

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): 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: Request for Offer (RFO)/Master Service Agreement (MSA)

   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**: Conduct Procurement

Responsible (answer Yes or No to all choices)

   Agency/state entity staff: Yes

   STP staff: No

   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: No

   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): Yes

   Leveraged Procurement Agreement (LPA): No

Complete Only if Contractor Responsible for Activity

Procurement Vehicle: Choose an item.

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: 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: Request for Offer (RFO)/Master Service Agreement (MSA)

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: Yes

STP staff: No

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: 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: Choose an item.

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: 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: Request for Offer (RFO)/Master Service Agreement (MSA)

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**: 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): No

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): No

Leveraged Procurement Agreement (LPA): No

Complete Only if Contractor Responsible for Activity

Procurement Vehicle: Choose an item.

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**: 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): No

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): No

Leveraged Procurement Agreement (LPA): No

Complete Only if Contractor Responsible for Activity

Procurement Vehicle: Choose an item.

> 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**: 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): No

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): No

Leveraged Procurement Agreement (LPA): No

Complete Only if Contractor Responsible for Activity

Procurement Vehicle: Choose an item.

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**: 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: 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): No

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: Choose an item.

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**: 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): No

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): No

Leveraged Procurement Agreement (LPA): No

Complete Only if Contractor Responsible for Activity

Procurement Vehicle: Choose an item.

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**: 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: 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): No

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: Choose an item.

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: 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): No

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): No

Leveraged Procurement Agreement (LPA): No

Complete Only if Contractor Responsible for Activity

Procurement Vehicle: Choose an item.

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): No

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): No

Leveraged Procurement Agreement (LPA): No

Complete Only if Contractor Responsible for Activity

Procurement Vehicle: Choose an item.

> 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: 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): No

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): No

Leveraged Procurement Agreement (LPA): No

Complete Only if Contractor Responsible for Activity

Procurement Vehicle: Choose an item.

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**: 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): No

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): No

Leveraged Procurement Agreement (LPA): No

Complete Only if Contractor Responsible for Activity

Procurement Vehicle: Choose an item.

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**: 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): No

> 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): No

> Leveraged Procurement Agreement (LPA): No

Complete Only if Contractor Responsible for Activity

> Procurement Vehicle: Choose an item.

>> 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.

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: DMV's project and architecture roadmap uses different projects and efforts as building blocks to reach the target architecture. The vision is to leverage the technologies and infrastructure built in other efforts to maximize our investment. This proposal is consistent with DMV's target enterprise architecture.

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

Public or Internal Portal/Website: Existing Enterprise Capability to be Leveraged

Public or Internal Mobile Application: Existing Enterprise Capability to be Leveraged

Enterprise Service Bus: Existing Enterprise Capability to be Leveraged

Identity and Access Management: Existing Enterprise Capability to be Leveraged

Enterprise Content Management (including document scanning and eForms capabilities): New Enterprise Capability Needed

Business Intelligence and Data Warehousing: Existing Enterprise Capability to be Leveraged

Master Data Management: Existing Enterprise Capability to be Leveraged

Big Data Analytics: Existing Enterprise Capability to be Leveraged

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: 3/15/2021

Proposed Project Planning End Date: 9/30/2022

Proposed Project Execution Start Date: 10/3/2022

Proposed Project Execution End Date: 3/29/2024

Activity Name: Stage 3 Solution Development

Start Date: 2/9/2022

End Date: 5/16/2022

Activity Name: Solicitation Development

Start Date: 2/9/2022

End Date: 5/16/2022

Activity Name: Stage 4 Project Readiness and Approval

    Start Date: 5/16/2022

    End Date: 9/30/2022

Activity Name: Design

    Start Date: 10/4/2022

    End Date: 1/2/2023

Activity Name: Development

    Start Date: 1/3/2023

    End Date: 9/4/2023

Activity Name: Testing

    Start Date: 9/5/2023

    End Date: 12/5/2023

Activity Name: Training

    Start Date: 10/16/2023

    End Date: 3/15/2024

Activity Name: Deployment

    Start Date: 12/6/2023

    End Date: 3/29/2024

Activity Name: Go Live

    Start Date: 3/29/2024

    End Date: 3/29/2024

Activity Name: Maintenance and Operations

    Start Date: 4/1/2024

    End Date: 4/1/2025

2.11.7 Cost Summary

Total Proposed Planning Cost: $2,715,526

Total Proposed Project Cost: $10,637,877

Total Proposed Future Operations IT Staff & OE&E Cost (Continuing): $4,312,881

Total Proposed Annual Future Operations IT Cost (M&O): $3,451,082

Staffing Plan

2.12.1 Administrative

The DMV Administrative sections have the capacity and capability of providing the project support necessary for this project. The DMV's Budget and Fiscal Analysis Branch (BFAB) is part of the existing duties of the Budget Office Staff. An analyst from BFAB with the support of the Budget Office management team, will provide budget-related assistance and guidance to the proposed Information Technology project team. Responsibilities include consulting with the programs areas in determining the costs associated with staffing and operational needs for the project and acting as a liaison between the Department of Finance (DOF) and other control agencies in preparing and submitting the Budget Change Proposal (BCP). The Budget Office staff has extensive experience in budgeting. The DMV Contract Management manager administers all contracts for the project to ensure compliance with appropriate regulations and policies, researches contract issues, and monitors the contractor's performance against the requirements of the contract. The Contract Manager works with the Project Manager to ensure the expectations and due dates for each deliverable set forth in the contract or SOW is clear and complete. The Contract Manager also monitors the contract in accordance with Disabled Veterans Business Enterprise (DVBE) contract requirements. The Contract Manager tracks all contract deliverables and milestones and validates deliverable acceptance prior to authorization of payment. The Contract Manager will have full responsibility and oversight of the contract and knowledge of: Contract administration, maintaining a working copy of the contract file, the elements of the contract, when to notify the contractor to begin work, monitoring the contractor to assure the compliance with contract provisions are met, approving the final product/service, monitoring expenditures and approving/disputing invoices for payment/nonpayment, and requesting modifications, renewals, or a new contract as required. The Evaluation Team Members responsibilities are: understanding the requirements of the Solicitation prior to the beginning of the Bid evaluations, timely review of the Bid, attending all Evaluation Team meetings, working to gain consensus with Fellow Evaluation Team members, completing review worksheets and evaluation sheets in accordance with the Evaluation Plan, notifying the PO and DMV Acquisitions Analyst if any questions or concerns during the review process, evaluating the Final Bid, and determining the materiality of deviations from the procurement requirements with input from the Department of Technology Legal staff. The DMV

IT Acquisitions Unit assists with procuring a contract through solicitations, contacting prospective contractors, developing or reviewing the solicitation packages (including the Statement of Work), coordinating the encumbrance of funds for the contract, and distributing copies of the signed executed contract to the appropriate parties. The DMV IT Acquisitions Official coordinates final approval of the contracts with the DMV's Procurement and Contracting Officer and advises the project of new or modified state procurement policies and regulations. Throughout the project life cycle, the DMV IT Acquisitions Official continues to serve the project with contract amendments and staff replacement and must work with the Department of Technology Statewide Procurement (CDT STP) Office as required. The DMV Acquisitions Official is a subject matter expert on the State of California's Solicitation process and acts as an advisor to members of the Evaluation Team. Specific duties related to the evaluation and selection process include: Coordinating with CDT STP on a regular basis, assisting the CDT STP with training the Evaluators on the review process and the use of the evaluation materials such as worksheets and evaluation sheets, and assisting the CDT STP in preparation of the Evaluation and Selection Report. This position is the primary point of contact for CDT STP, Project Team and Evaluation Team in regard to the solicitation. The Department of Technology Procurement Official (PO) is the person designated by the State to have full responsibility for coordination and oversight of the acquisition process and gaining approval of the Solicitation Evaluation and Selection Report. Specific duties related to the procurement process include, Maintaining the Master Copy of all Bids and the official procurement files, acting as the single point of contact for correspondence sent to and received from Bidders, managing the proposal materials to include safeguarding proprietary information, assist with preparing the Evaluation and Selection Report, and contacting prospective contractor.

2.12.2 Business Program

DMV business programs will continue to operate with existing content management systems and case management systems. The business programs most impacted by the project (CSD, DSD, LOD, and ROD) will not need to request additional resources to implement the replacement solution.

2.12.3 Information Technology

DMV's Information Systems Division has conducted a thorough analysis of the current resource capacity and determined DMV does have the capacity to absorb the additional workload without assistance.

2.12.4 Testing

DMV's Product Quality Assurance (PQA) Section will assign a test manager and contract services to provide guidance for the overall testing. All other impacted business teams will conduct UAT to ensure their existing systems are functioning as designed. Responsibilities for the Test Manager include review and approval of a strategy and scope of testing, review and approval of the test approach, defining a defect management plan, providing the defect severity classification, providing the pass/fail criteria for test cases, identifying and raising any risks related to testing throughout the effort and monitoring all test phases (e.g. – Unit, Integration, System, etc.) and types of testing (e.g. – Black Box, White Box, Regression, Stress,

etc.) throughout the ECM project. The PQA test manager will also have responsibility for reviewing and approving the overall Test Strategy and test plan for the project. The PQA test manager, with over five years of experience acting as test manager on multiple types of projects, will accomplish this by eliciting guidance if necessary from other PQA resources.

2.12.5 Data Conversion/Migration

The proposed solution is going to interface with existing systems and data conversion/migrationis not required. An API connector will be developed by the vendor. DMV will do data validation to ensure integrity of the retrieved data/documents. Deviations in quality and accuracy will be addressed through the defect management and contract deliverable acceptance process.

2.12.6 Training and Organizational Change Management

The ECM Project Change Management team will support the vendor in the planning, designing, and developing of delivered functionality training content and video guides. The vendor's training content and video guides will adhere to DMV communication/training standards. The ECM Change Management team will work with the DMV Enterprise Organizational Change Management (OCM) and Office of Public Affairs (OPA) to disseminate project information regarding the changes introduced by ECM, if applicable. The ECM Change Management team will be the conduit of information regarding enterprise level training needs provided by OCM, Learning and Development Branch (LDB) and the Divisions to the vendor. DMV also plans to leverage consultant services for the OCM and DMV's existing Development Branch. The team will work in conjunction with the ECM Project stakeholders to ensure that the stakeholders are educated about the changes, are given opportunity to buy-in to the vision, and are able to adopt the change.

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

The DMV has an Enterprise Governance Council that makes informed decisions regarding DMV's technology direction and technology investment strategies. The governance framework includes procurement and project management related decision-making descriptions and actions. The DMV's procurement official has experience using the proposed procurement methodologies identified in this document, Section 2.12.1. and using the Department of Technology S3SD process. The DMV's procurement staff is familiar with protest types, use of Public Contract Code (PCC) 6611, and has participated with Statewide Technology Procurement Division in the negotiations of various contracts.

2.12.8 Project Management

2.12.8.1 Project Management Risk Assessment

Project Management Risk Score: **1.2**

See Attachment

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.)

Project Charter: Yes, See Attached.

Scope Management Plan: Yes, See Attached Draft

Risk Management Plan: Yes, See Attached Draft

Issue and Action Item Management Plan: Yes, See Attached Draft

Communication Management Plan: Yes, See Attached Draft

Schedule Management Plan: Yes, See Attached Draft

Human Resource Management Plan: Yes, See Attached Draft

Staff Management Plan: Yes, See Attached Draft

Stakeholder Management Plan: Yes, See Attached Draft

Governance Plan: Yes, See Attached Draft

2.12.9 Organization Charts:

(See Attachment)

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: Not Applicable The proposed solution is going to interface with existing systems and data conversion/migrationis not required. The vendor will develop an API connector. DMV will do data validation to ensure integrity of the retrieved data/documents. Deviations in quality and accuracy will be addressed through the defect management and contract deliverable acceptance process.

Data Conversion/Migration Requirements: Not Applicable

Current Environment Analysis: Not Applicable

Data Profiling: Not Applicable

Data Quality Assessment: Not Applicable

Data Quality Business Rules: Not Applicable

Data Dictionaries: Not Applicable

Note: The current system only scans documents/images and creates text files.

Data Cleansing and Correction: Not Applicable

Financial Analysis Worksheets

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

Department of Technology Use Only

Original "New Submission" Date: 2/9/2022

Form Received Date: 2/9/2022

Form Accepted Date: 2/9/2022

Form Status: Completed

Form Status Date: 4/1/2022

Form Disposition: Approved

Form Disposition Date: 4/1/2022