Stage 4 Project Readiness and Approval

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

4.1 General Information

1. **Agency or State Entity Name:** 2740 - Motor Vehicles, Department of

   If Agency/State entity not in the list, enter here with the <u>organization code</u>.

   Click or tap here to enter text.

2. **Proposal Name: Enterprise Content Management (ECM)**

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

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

5. **CDT Billing Case Number: CS0048267**

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

4.2 Submittal Information

1. **Contact Information**

   Contact Name: James (Jim) Woodward

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

   Contact Phone: (916) 657-8052

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. **See Attachment**

4. Attach Final **[Procurement Assessment Form]** to your email submission. **See Attachment**

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

   All Project Management documentation must be update with DMV's processes and submitted for approval during the Stage 4 Project Readiness and Approval (S4PRA) to the CDT.

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: Emailed to CDT on 5/9/2023

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?** No

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

   The contractor has not yet been selected. However, a kickoff meeting to discuss expectations will occur once the contractor is onboarded.

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: Emailed to CDT on 5/9/2023

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:

DMV hired a contractor to complete Business Process Reengineering as a result of the proposed new solution. The hired contractor is currently producing As-Is business workflows and mapping. DMV Staff have been dedicated to help in this effort. DMV also hired a Business Analyst consultant to work with business SMEs to capture and document business requirements and workflows. A detailed business requirements excel was provided in Stage 3.

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. See Attachment

4.5   Project Readiness

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

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

    The ECM Project will adopt an adaptive (agile) approach based on the Agile Scrum methodology. This will enable DMV to better manage and adapt to changing priorities and business needs. The solution will further be configured/tested/implemented in three parallel swim-lanes related to Federation, Integration, and Content Migration.

    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 DMV has experience and lessons learned from the following agile projects – Motor Voter, National Motor Vehicle Title Information System, SB 210, DL/ID/SP Card Contract, and the Digital eXperience Platform (DxP) project for Occupational Licensing and Vehicle Registration phases. DMV has experience in how to better manage and implement upcoming projects. DMV has procured multiple Agile Coaches to provide training, coach the project teams and Executive Leadership, and define processes, roles, and responsibilities aligned with SAFe and Scrum practices. DMV staff continue to attend professional Agile and Scrum trainings along with Gartner lead Agile Workshops for 80 plus employees for different divisions. DMV has certified Agile Scrum Masters on staff and utilizes certified consultants.

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:

    Click or tap here to enter text.

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 <u>also</u> 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. See Attachment

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

    Objective ID: 1.1

    Objective: Implement a centralized Enterprise Content Management (ECM) solution available to all DMV divisions identified in scope to promote a standardized and efficient content storage, access, and management within 12 months of final implementation.

    Change and Reason for Change from Stage 1: Objective was reworded to align with identified business needs.

    Metric: The ECM solution is successfully implemented within the DMV infrastructure.

    Baseline: No centralized ECM solution implemented.

    Target Result: ECM solution implemented and available to all of DMV divisions that are identified in scope.

    Valuation: 20

    Objective ID: 2.1

Objective: Implement the ECM solution to integrate existing DMV content repositories to enable federated content searching, retrieval, and viewing for all DMV users within 12 months of final implementation.

Change and Reason for Change from Stage 1: Objective was reworded to align with identified business needs.

Metric: Users with appropriate roles and access are able to conduct federated search and retrieval of content from one or more existing DMV content repositories using a single search.

Baseline: No federated search capabilities with a centralized ECM solution.

Target Result: 100% of all the systems identified in scope.

Valuation: 20

Objective ID: 3.1

Objective: Replace existing FODIWeb software components used for content capture and organization within 12 months of final project implementation.

Change and Reason for Change from Stage 1: A new objective was added from original Stage 1 Objectives. Through planning analysis DMV would benefit from replacement of FODIWeb with components by utilizing the new ECM Software.

Metric: FODIWeb software replaced for content capture and organization.

Baseline: FODIWeb software in use.

Target Result: FODIWeb software decommissioned.

Valuation: 20

Objective ID: 4.1

Objective: Implement the ECM solution to integrate with identified DMV content capture technologies to ingest and store content and metadata within 12 months of final project implementation.

Change and Reason for Change from Stage 1: Objective was reworded to align with identified business needs.

Metric: Successfully integrate with the identified DMV systems. Content from existing DMV capture technologies will flow into the ECM solution data repository.

Baseline: No integration to centralize ECM solution.

Target Result: 100% of all the systems identified in scope.

Valuation: 20

Objective ID: 5.1

Objective: Migrate content from identified systems to the new ECM repository to retire obsolete legacy document storage repositories and centralize document storage within 12 months of final project implementation.

Change and Reason for Change from Stage 1: A new objective was added from the original Stage 1 Objectives. Through planning analysis DMV would benefit from a lazy migration of data to a centralized ECM solution.

Metric: Successfully migrate of existing FileNet, Quick Web, and Salesforce content with minimal disruption.

Baseline: No migration with a centralized ECM solution.

Target Result: 90% of all the systems identified in scope.

Valuation: 20

4.7 Schedule Baseline

1. **Schedule Summary**

   Project Execution Start Dates

   Proposed Project Start Date (from most recently approved schedule/roadmap): 10/3/2022

   Baseline Project Start Date: 6/1/2023

   Variance: 8 months

   Project End Dates

   Proposed Project Finish Date (from most recently approved schedule/roadmap): 3/29/2024

   Baseline Project Finish Date: 11/29/2024

   Variance: 8 months

2. **Reason(s) for Variances**

   Provide reasons for any date variances: Variance due to additional market research recommended by Executive Sponsorship and solicitation review and award took longer than estimated.

3. **Master Schedule and Key Milestones**

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

   See Attachment

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: Emailed on 5/9/2023 titled "2740-230 ECM PM Plans

2. **Cost Summary**

    Total Planning Cost (One-Time)

    Estimated Proposed Cost (from most recently approved FAW): $2,565,526

    Baseline Cost: $2,718,132

    Variance: +$152,606

    Total Project Cost (One-Time)

    Estimated Proposed Cost (from most recently approved FAW): $10,637,877

    Baseline Cost: $14,144,248

    Variance: +$3,506,371

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

    Estimated Proposed Cost (from most recently approved FAW): $4,335,069

    Baseline Cost: $5,384,583

    Variance: +$1,049,514

    Total Cost

    Estimated Proposed Cost (from most recently approved FAW): $17,538,473

    Baseline Cost: $22,246,963

    Variance: +$4,708,490

    Annual Future Operations IT Costs (Annual M&O)

    Estimated Proposed Cost (from most recently approved FAW): $3,469,553

    Baseline Cost: $3,403,258

    Variance: -$66,295

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

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

    Provide reasons for any cost variances:

    Planning Cost: Redirect/New staff salaries and benefits increased (such as 64.191% to 66.758%) in FY 22/23 forward.

    Project Cost: Redirect/New staff salaries and benefits increased (such as 64.191% to 66.758%) in FY 22/23 forward. In addition, added redirected/new staff cost resulted from the added FY 24/25 (5 months).

Future Operations IT Staff and OE&E: Redirect/New staff salaries and benefits increased (such as 64.191% to 66.758%) in FY 24/25 and FY 25/26. In addition, for FY 24/25 the cost represented 7 months instead of the original estimate for 3 months due to adjusted implementation timeline.

No new professional service expenses were included.

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

Budget Request ID: 2740-088-BCP-2022-AR

Budget Request Year (0000-00): 2022/23

Requested Amount (specific to the project): $5,457,000

Status: Supported

Budget Bill Language (if supported): Notwithstanding any other law, $4,655,000 of the amount included in this item shall be allocated upon order of the Department of Finance for the Enterprise Content Management Information Technology project. Stage 4 of the project approval lifecycle process for the project shall be approved by the Department of Technology prior to these funds being made available.

Budget Request ID: 2740-016-BCP-2023-AR

Budget Request Year (0000-00): 2023/24

Requested Amount (specific to the project): $10,446,000

Status: Pending

Budget Bill Language (if supported):

5. **Financial Analysis Worksheets (Baseline)**

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

4.9   Primary Solicitation Results

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

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

3. **Was one of the viable solutions in Stage 2 selected for final contract award?** Choose Yes or No.

    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. <u>**Configuration Management Plan (Draft)**</u>**:** Yes

   Status: Emailed on 5/9/2023 titled "2740-230 ECM PM Plans

2. <u>**Data Management Plan (Draft)**</u>**:** Yes

   Status: Emailed on 5/9/2023 titled "2740-230 ECM PM Plans

3. <u>**Maintenance and Operations Transition Management Plan (Draft)**</u>**:** Yes

   Status: Emailed on 5/9/2023 titled "2740-230 ECM PM Plans

4.10 Risk Register

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

End of Stage 4 Project Readiness and Approval Document.

Please ensure ADA compliance before submitting this document to CDT.

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

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

Department of Technology Use Only

Original "New Submission" Date: 5/10/2023

Form Received Date: 5/10/2023

Form Accepted Date: 5/10/2023

Form Status: Completed

Form Status Date: 6/28/2023

Form Disposition: Approved with Conditions

Form Disposition Date: 6/28/2023