



Stage 4 Project Readiness and Approval

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

4.1 General Information

1. Agency or State Entity Name: 1115 - Department of Cannabis Control

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

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

2. Proposal Name: Cannabis Law Enforcement Activity Tracking System (CLEATS)

3. Department of Technology Project Number (0000-000): 1115-003

4. S4PRA Version Number: Version 1

5. CDT Billing Case Number: CS0064108

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

4.2 Submittal Information

1. Contact Information

Contact Name: Jeff Alameida

Contact Email: Jeff.Alameida@cannabis.ca.gov

Contact Phone: 279-217-3645

2. Submission Type: New Submission

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

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

Sections Changed if an updated or resubmission (List all the sections that have changed.)

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

Summary of Changes (Summarize updates made.)

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

3. Attach [Project Approval Executive Transmittal](#) to your email submission.
4. Attach Final [Procurement Assessment Form](#) to your email submission.
5. **Conditions from Stage 3 Approval** (Enter any conditions from the Stage 3 Solution Analysis approval letter issued by CDT):
[No conditions with Stage 3 approval.](#)

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:

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

4.4 Organizational Readiness

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

1. **Implementation Management Plan (Draft):** No

Status: Implementation Management Plan is a deliverable dependent on the vendor in the executed contract and is defined as the System Development Plan. DCC will collaborate with the vendor to draft and finalize System Development Plan content upon conclusion of contract award and onboard activities.

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:

Enforcement and Information Technology Services Division.

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.

4.5 Project Readiness

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

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

An agile methodology involving a scrum framework will be used when possible. This allows for an iterative and incremental agile software development framework for managing product development. It allows for a high-level understanding of user needs through interviewing stakeholders and inclusion of business users as project team members. The output of the business and technical team efforts will produce a prioritized list of user needs, user stories, and a thorough understanding of team composition and capabilities required to complete the digital service module. During some system infrastructure activities, the nature of the work may be more waterfall in nature. The state will work with the vendor to utilize the appropriate methodology per project phase.

After discovery, the team will enter the design, development, and test phase. During this phase, the team will incrementally build functionality over a series of sprints. After each sprint, the team will complete a functioning product increment.

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.

DCC’s Chief Information Officer, Project Management Branch Section Chief, Project Support and Procurement Office’s Supervisor, and Information Technology Specialist II have implemented several projects with this methodology and have over fifteen years of managing agile and hybrid projects.

2. **Has the Agency/state entity engaged the Office of Technology Services (OTech) for capacity planning and the development of the solution delivery timeline?** **No**

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

The solution is a cloud-based COTS solution that is not utilizing OTech services.

3. Have resource commitments been obtained for all those identified in the Resource Management Plan? Yes

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

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

4. Does the Resource Management Plan ensure resources are sufficiently committed to perform project activities if they are also committed to other responsibilities? Yes

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

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

5. Have all identified project leads received at a minimum basic project management training? Yes

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

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

4.6 Business Objective Valuation

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

Objective: [The current DCA-designed system does not have the ability to collect additional data elements required in the cannabis enforcement process. As a result, staff are required to create additional data sources outside of an enforcement system of record to collect this data. A new system would reduce duplicative manual data entry required of staff to produce statistical metrics.](#)

Change and Reason for Change from Stage 1: [Click or tap here to enter text.](#)

Metric: [Percentage of statistical metrics derived outside of source database.](#)

Baseline: 100%

Target Result: 10%

Valuation: 25

Objective ID: 2

Objective: The current DCA-designed system does not have the ability to track information related to search warrants. The new system will have the ability to track search warrant activities and data elements such as date obtained, date served/executed, detailed list of property obtained from the warrant, and the date the search warrant return was submitted.

Change and Reason for Change from Stage 1: [Click or tap here to enter text.](#)

Metric: [Operationalized system functionality to track search warrant activities.](#)

Baseline: 0 – Not able to track this data in the system currently.

Target Result: [Search warrant tracking activities are functional in the system.](#)

Valuation: 25

Objective ID: 3

Objective: The current enforcement process is extremely paper-heavy. There are many opportunities for some of the paper workflows to be replaced by an electronic paperless process, including a paperless workflow for investigative report writing and review.

Change and Reason for Change from Stage 1: [Click or tap here to enter text.](#)

Metric: [Operationalized system functionality to facilitate a paperless workflow for initial writing and review.](#)

Baseline: 0 – Not able to conduct this activity electronically currently.

Target Result: [Electronic workflow for investigative report writing and review.](#)

Valuation: 25

Objective ID: 4

Objective: The current DCA-designed system does not have the ability to track evidence chain-of-custody data as its primary purpose is a time-tracking system. The new system will implement functionality to track chain of custody for evidence.

Change and Reason for Change from Stage 1: [Click or tap here to enter text.](#)

Metric: [Operationalized system functionality to facilitate chain of custody evidence tracking.](#)

Baseline: 0 – Not able to conduct this activity within a standard system currently.

Target Result: [Chain of custody tracking functionality is operational in the system.](#)

Valuation: 25

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

4.7 Schedule Baseline

1. Schedule Summary

Project Execution Start Dates

Proposed Project Start Date (from most recently approved schedule/roadmap):
[2/27/2025](#)

Baseline Project Start Date: [2/27/2025](#)

Variance: [N/A](#)

Project End Dates

Proposed Project Finish Date (from most recently approved schedule/roadmap):
[2/25/2027](#)

Baseline Project Finish Date: [2/25/2027](#)

Variance: [N/A](#)

2. Reason(s) for Variances

Provide reasons for any date variances:

3. Master Schedule and Key Milestones

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

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:

2. Cost Summary

Total Planning Cost (One-Time)

Estimated Proposed Cost (from most recently approved FAW): [\\$422,133](#)

Baseline Cost: [\\$417,039](#)

Variance: [-\\$5,094](#)

Total Project Cost (One-Time)

Estimated Proposed Cost (from most recently approved FAW): [\\$1,605,943](#)

Baseline Cost: [\\$1,547,915](#)

Variance: [-\\$58,028](#)

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

Estimated Proposed Cost (from most recently approved FAW): [\\$255,567](#)

Baseline Cost: \$197,925

Variance: -\$57,642

Total Cost

Estimated Proposed Cost (from most recently approved FAW): \$2,283,643

Baseline Cost: \$2,162,879

Variance: -\$120,764

Annual Future Operations IT Costs (Annual M&O)

Estimated Proposed Cost (from most recently approved FAW): \$243,340

Baseline Cost: \$193,340

Variance: -\$50,000

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

3. Reason(s) for Variances

Provide reasons for any cost variances: Updated planning costs to reflect actual contract amounts. Best and Final Offer (BAFO) from Vendor for contracted solution and implementation services came in lower than market research estimates in Stage 2.

4. Budget Change Proposal (BCP) Summary

Budget Request ID: [Click or tap here to enter text.](#)

Budget Request Year (0000-00): [Click or tap here to enter text.](#)

Requested Amount (specific to the project): [Click or tap here to enter text.](#)

Status: [Choose an item.](#)

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

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

5. Financial Analysis Worksheets (Baseline)

Attach Final FAWs to your email submission.

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?** [Yes](#)

If "No", please describe:

Click or tap here to enter text.

4. **Selected Vendor Name:** **Kaseware, Inc.**

5. **Contract Number:** **24-002**

a. Contract Start Date: **2/20/2025**

b. Contract End Date: **2/20/2027**

6. **Total Contract Cost (without optional years):** **\$385,875**

a. Optional Years (Number of Months): 36

7. **Total Cost of Optional Years:** **\$525,000**

8. **Total Contract Cost (with optional years):** **\$910,875**

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

1. **Configuration Management Plan (Draft)**: No

Status: The software solution being purchased is a COTS software solution, so this plan is not applicable.

2. **Data Management Plan (Draft)**: No

Status: No Data will be migrated from the legacy system. The contract includes data and security provisions along with Service Level Agreements that will be utilized.

3. **Maintenance and Operations Transition Management Plan (Draft)**: No

Status: Maintenance and operations are a deliverable provided by the vendor before production implementation of the software solution. Managing the software will be the responsibility of the Vendor through a subscription-based service model. DCC will not be transitioning the solution to the State.

4.10 Risk Register

Attach Risk Register to your email submission.

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: 2/24/2025

Form Received Date: 2/24/2025

Form Accepted Date: 2/24/2025

Form Status: Approved

Form Status Date: 03/04/2025

Form Disposition: Completed

Form Disposition Date: 03/04/2025