Stage 3 Solution Analysis

California Department of Technology, SIMM 19C.2 (Rev. 3.0.6, 2/28/2022)

3.1 General Information

1. **Agency or State Entity Name: 0555 - Secretary for Environmental Protection**

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

2. **Proposal Name: California Environmental Reporting System (CERS) NextGen**
3. **Department of Technology Project Number (0000-000): 0555-018**
4. **S3SD Version Number: Version 1**
5. **CDT Billing Case Number:** Click or tap here to enter text.

   Don't have a Case Number? Click here to get one.

3.2 Submittal Information

1. **Contact Information**

   Contact Name: Nick Kuka

   Contact Email: nick.kuka@calepa.ca.gov

   Contact Phone: 916-566-5054

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 update or resubmission: (List all the sections that 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 updated** [Procurement Assessment Form] with Stage 3 information to your email submission.
5. **Conditions from Stage 2 Approval** (Enter any conditions from the Stage 2 Alternatives Analysis approval letter issued by CDT):

   There were no conditions.

3.3 Detailed Solution Requirements and Outcomes

1. **Attach detailed** Requirements and Outcomes documents including traceability matrix to the email submission. Include any changed or updated requirements.
2. **Stage 2 Requirements and Outcomes Changes**

   Since approval of the Stage 2 Alternatives Analysis, has the agency/state entity developed or modified any requirements and/or outcomes that were not represented in Stage 2? Yes

   If "Yes," explain:

   Scope has not changed the structure of the of the mid-level and detailed requirements has been optimized for clarity and organization.

   If "Yes," please describe the nature and scope of the change(s) and how the requirements and/or outcomes align with the business objectives established in the Stage 1 Business Analysis:

   Scope has not changed, alignment with business objectives has not changed.

3. **Attach** the updated To-Be Workflow(s) to your email submission.

   If To-Be business process workflow(s) is not attached, explain why:

   To-Be Workflows are attached to the email.

4. **Attach** the Statement of Work to your email submission.

3.4 Project and Procurements Roadmap

Attach a Project and Procurements Roadmap or Summary to the submission.

The roadmap or summary should include both the primary and all ancillary procurements.

3.5 Project Planning

Are the following Project Management Plans or artifacts completed to the required level, 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.

Project Management Plan (Draft):Yes

Status: Attached

Risk Management Plan (Approved):Yes

Status: Attached (combined Risk and Issue Management)

Issue and Action Item Management Plan (Approved):Yes

Status: Attached (combined Risk and Issue Management)

Change Control Management Plan (Draft):Yes

Status: Attached

Quality Management Plan (Draft):Yes

Status: Attached

Testing Management Plan (Approved):N/A

Status: Will be provided by the System Integration Contractor (Prime)

Security Management Plan (Approved):Not applicable

Status: Will be provided by the System Integration Contractor (Prime)

Contract Management Plan (Draft):Yes

Status: Attached

Other (enter name) (Approved) Governance, Resource Management Plan:Yes

Status: Attached

3.6 Primary Solicitation

Attach the Primary Solicitation document to your email submission.

For a standard procurement, please attach a copy of your IFB, RFP, or RFO.

For a challenge-based procurement, please attach a copy of the solicitation.

3.7 Ancillary Procurements

1. **Attach** all in-progress and completed ancillary procurement documents to your email submission.
2. Has the project begun procurement activities for Independent Verification and Validation (IV&V) services per the State Administrative Manual Section 4940.3? No

   If "Yes," indicate the planned start date for IV&V services below:

Click or tap to enter a date.

If “No” or “Not applicable,” provide a brief explanation below:

IV&V RFO will be released in Spring 2023 contract start date is 7/1/2023

3. Provide the following information for each of your ancillary procurements:

Service Type: Organizational Change Management

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

Roles/Responsibilities or Tasks: Support internal and external stakeholder communications. Tasks have not been defined. RFO release date is January 2023.

Status: Planned

CDT STP Conducted: No

Procurement Type: IT-MSA

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

Length of Contract: Two Years

Service Type: Other

If “Other,” specify: Procurement Support Contract

Roles/Responsibilities or Tasks: Conduct Market Research, Develop primary RFP and ancillary solicitations. The tasks below are to be fulfilled by the Procurement Support Contractor

Create Project Workplan

A. Facilitate initial session with the CalEPA PM to confirm tasks, deliverables, milestones, and resources.
B. Develop a draft project work plan by task and facilitate working sessions with key stakeholders to update the work plan.
C. Maintain the work plan throughout the engagement.

Project Management

A. Schedule meetings, create agendas, facilitate meetings, document outcomes and decisions within the timeline required by Task 2.2 of the SOW.
B. Create and maintain risk and issues logs. Data fields may include but are not limited to: Title, Status, Description, Severity, Probability, Impact, Timeframe, Risk/Issue Owner, and Response
C. Provide updates on risk and issue status and mitigation plans as part of the periodic status reports. Manage and monitor risk throughout each phase of project lifecycle
D. Based on project outcomes and upon request of the CalEPA PM, update project artifacts, which may include but are not limited to: project plans, requirements, PAL documentation, or FAWs
E. Facilitate weekly project status meetings and prepare bi-weekly status reports with all the information outlined in the RFO

F. Attend stakeholder and executive meetings to communicate project status
G. Manage deliverable quality and submission.

Refine and Confirm Detailed Solution Requirements

A. Confirm RFI objectives with the CalEPA PM and key stakeholders
B. Draft the RFI documentation, including the overview, background, key action dates, response instructions, and relevant attachments
C. Review and revise documentation based on feedback from project team members and CDT
D. Analyze and summarize responses
E. Present findings to the project team and discuss recommendations for requirement modifications
F. Conduct detailed solution requirements review workshops with SMEs to review, update, and finalize detailed solution requirements, as necessary
G. Update requirements in accordance with CDT SIMM-19 C guidelines.

Prepare Pre-solicitation Package

A. Identify and align on the pre-solicitation objectives, scope, and timeline. This may include any or all of the required components for the final Solicitation Package identified in Task 5 of the RFO.
B. Create a draft pre-solicitation based on the selected procurement strategy and CalEPA Procurement and CDT solicitation process requirements and constraints.
C. Schedule and facilitate working sessions with SMEs to review and finalize the pre-solicitation and associated attachments.
D. Release the pre-solicitation package to the vendor community for feedback.
E. Document and consolidate feedback from the vendor community. Review and revise procurement documents with the project team, as necessary.

Prepare Solicitation Package, Including the Scope of Work

- Identify all required components for the solicitation package
- Confirm timeline with appropriate stakeholders. Refine the solicitation package to include all required components.
- Develop CERS NextGen Statement of Work (SOW) according to CDT's SOW Procurement Guidelines defined in SIMM 180 SOW Guidelines.
- Develop RFP according to CDT Solicitation Template, SIMM Section 19C – C.1, Section 3.11 (Procurement Administrative Compliance Checklist), SIMM Section 19C – C.1 Section 3.9 (Proposed Procurement Planning and Development Dates), SIMM Section 19C – C.1 Section 3.15 (Solicitation Package and Evaluation Readiness), the State Contracting Manual, Fi$Cal, and SCM Volume 3.
- Prepare Bidders Library using SIMM Section 19C – C.1, 3,12, Solicitation Readiness.

Prepare and Present S3SD

A. Coordinate with CalEPA to complete all required sections, attachments, and supporting materials required for the S3SD submission.
B. Refine and revise based on CalEPA and CDT feedback, as necessary

Evaluation Team Training

A. Confirm evaluation team members and associated evaluation areas for each team member; determine additional SME support needs for those not directly performing the evaluation and scoring activities
B. Prepare CERS RFP evaluation training materials, based on solicitation scoring and evaluation area content
C. Submit CERS RFP evaluation training materials to CalEPA for review and refine as appropriate
D. Coordinate training and deliver CERS RFP evaluation training to CalEPA evaluation team

Bidder Sessions

A. Document bidder invitation list and attendance
B. Define session objectives and develop required materials
C. Facilitate sessions, document session minutes and results
D. Draft and revise Q&A responses based on procurement team feedback

Amend Procurement Documents

A. Identify need for solicitation document updates through collaboration with the CalEPA PM, project team, and CDT procurement official
B. Create or revise procurement documents, as required

Ancillary Procurement Scope of Work

A. Define ancillary services goals and objectives and confirm solicitation timeline
B. Develop draft SOW. Refine and revise based on CalEPA SME feedback
C. Finalize SOW

Status: In-Progress

CDT STP Conducted: No

Procurement Type:CMAS

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

Length of Contract: Two Years

Service Type: Other

If "Other," specify: Data Cleansing Contract

Roles/Responsibilities or Tasks: The tasks below are to be fulfilled by the Data Cleansing Contractor

Project Management

A. Contract Kickoff
   i. Determine status meeting frequency
   ii. Determine status report frequency
   iii. Confirm success criteria, business objectives, stakeholders

iv. Identify team members, support channels, communication paths

B. Hold weekly status meetings

C. Submit bi-weekly status reports

D. Manage risks and issues

E. Contract Kickoff

v. Determine status meeting frequency

vi. Determine status report frequency

vii. Confirm success criteria, business objectives, stakeholders

viii. Identify team members, support channels, communication paths

F. Hold weekly status meetings

G. Submit bi-weekly status reports

H. Manage risks and issues

External Stakeholder Project Kickoff

A. Meet with CalEPA team to review goals and tasks

B. Meeting preparations and follow ups

C. Confirm success criteria, business objectives, stakeholder groups

D. Identify team members, support channels, communication paths

E. Conduct one or more kickoff meetings with applicable stakeholder groups

Analysis of Current State of Data

A. Define current environment
    i. Describe existing system interfaces (CalEPA and external systems such as CUPAs and PAs, US EPA, other State of California systems, and other commercial systems)
        i. Identify data sources, method of input, update frequency/schedule, by program.
B. Work with CalEPA to identify missing data
    i. Analyze existing data in CERS to determine extent of missing data
C. Work with CalEPA, BDOs, and stakeholder groups to identify incorrect data in CERS
    i. Compare program element data against business activity declarations
    ii. Examine correctness of data reported for a program element (e.g. UST data matches tank/installation types, Business Plan storage container matches chemical type and physical state)
    iii. Compare CME data from CUPA and PA systems to data in CERS
    iv. Identify missing validation functions that allow for incorrect data
    v. Identify incorrect or inconsistent formats (e.g. dates)
    vi. Identify duplicate, orphan, or non-applicable records
D. Document current state baseline of data quality
E. Identify issues and opportunities
    i. Review and propose data standardization best practices

F. Draft the Current State of Data Analysis Report
    i. Submit for comments
    ii. Update per comments

Develop the Data Cleansing Plan

A. Define the approach to the following activities, including, but not limited to:
    i. How duplicate data records will be merged, handling orphaned records, eliminating unnecessary data records, fixing format issues, and standardizing data
    ii. Options of how missing required data will be handled when the facility is closed, abandoned, or the data owner will not respond
    iii. Assigning severity and priority to data issues in i and ii
    iv. Methodology to obtain and reconcile CME data from CUPAs and PAs
    v. Methodology to obtain missing data from facilities
    vi. Identifying the data owner and responsible party for resolving data issues
    vii. Impact analysis – for CUPAs and PAs, Businesses, and CalEPA and its BDOs

B. Define needed changes to the Unified Program's Data Dictionary. This can include content and structure.

C. Define data cleanup environment and approach to data management.

D. On-going plan for maintaining data quality

E. Define metrics for Data Cleansing progress and measures of success.

F. Develop Data Governance Plan
    i. Communication Plan describing stakeholders and communication methods
    ii. Roles and responsibilities
    iii. Change control process
    iv. Version control process
    v. Escalation pathway

G. Update Data Cleansing Plan based on stakeholder feedback

Execute Data Cleansing Plan

A. Data cleansing kickoff meetings with project stakeholders
    A. Summary of Task 3 analysis
    B. Summary of Task 4 Data Cleansing Plan
    C. Roles, responsibilities, and expectations
    D. Data cleansing timeline

B. Coordinate updates to the data dictionary as defined in the Data Cleansing Plan

C. Work with CalEPA to update the regulations affected by the updated data dictionary

D. Implement the Data Cleansing Plan

E. Monthly Data Cleansing Activity Report

    A. Outcomes and progress by CUPA

    B. Issues

    C. Risks

    D. Schedule

F. Collaborate with other project contractors
(PAL Stage 3&4, Organizational Change Management, System Integrator, etc.)

    A. Updates to requirements and/or business rules discovered during data cleansing activities

    B. Coordinate handoff of data cleanup activities to the SI

Knowledge Transfer

A. Conduct lessons learned and knowledge transfer sessions, periodically throughout the contract term
    i. Facilitate lessons learned and knowledge transfer sessions
    ii. Document results
B. Provide subject matter expertise and guidance to CalEPA, as requested

Status: In-Progress

CDT STP Conducted: No

Procurement Type:IT-MSA

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

Length of Contract: Two Years

TIP: Copy and paste or click the + button in the lower right corner of the ancillary procurement items to add Services (for different Service Types or Lengths of Contract) with all additional information as needed.

End of agency/state entity document.

Please ensure ADA compliance before submitting this document to CDT.

When ready, submit Stage 3 and all attachments in an email to ProjectOversight@state.ca.gov.

TIP: Review the Gate 3 Project Management Planning Evaluation Scorecard to ensure a complete submission. GATE 3 Evaluation Scorecard

Department of Technology Use Only

Original "New Submission" Date: 12/1/2022

Form Received Date: 12/1/2022

Form Accepted Date: 12/1/2022

Form Status: Completed

Form Status Date: 2/24/2023

Form Disposition: Approved

Form Disposition Date: 2/24/2023