



Stage 2 Alternatives Analysis

California Department of Technology, SIMM 19B.2 (Ver. 3.0.8, 02/28/2022)

2.1 General Information

1. **Agency or State Entity Name:** XXXX - Other

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

2670 Pilot Commissioners for the Bays of San Francisco, San Pablo, and Suisun, Board of

2. **Proposal Name:** BOPC Information Technology Modernization Project

3. **Department of Technology Project Number (0000-000):** 2670-002

4. **S2AA Version Number:** Version 1

5. **CDT Billing Case Number:** CS0096219

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

2.2 Submittal Information

1. **Contact Information**

Contact Name: Matthew Millspaugh

Contact Email: matthew.millspaugh@bopc.ca.gov

Contact Phone: 415-397-2253

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.)

N/A

Summary of Changes: (Summarize updates made.)

N/A

3. Attach [Project Approval Executive Transmittal](#) to your email submission.
4. Attach [Procurement Assessment Form](#) to your email submission.
5. Conditions from Stage 1 Approval (Enter any conditions from the Stage 1 Business Analysis approval letter issued by CDT or your AIO):

N/A

2.3 Baseline Processes and Systems

1. **Current Business Environment (Describe the current business environment of which the effort will be understood and assessed in 500 words)**

The Board of Pilot Commissioners (BOPC) is the State of California specially funded state entity, established in 1850, to license and regulate qualified mariners to exclusively pilot vessels into and out of the San Francisco Bays and its tributaries, including the Ports of Stockton and Sacramento, as well as Monterey Bay (BOPC pilotage grounds). The responsibilities of the BOPC are as follows:

- Issue and renew maritime pilot licenses.
- Administer a Pilot Continuing Education Program
- Administer a Pilot Trainee Program
- Administer a Pilot Boat Program
- Investigate ship accidents and incidents.
- Administer the San Francisco Bar Pilot Pension Plan
- Conduct pilotage rate hearings
- Set and charge various surcharges.
- Manage board, committee and other public meetings.

Relevant documentation is available in the following attachments:

- Business Capability Model (BCM):
- Current State Workflows:
- Current State Personas

Tip: Current Environment costs will be asked for in the Financial Analysis Worksheet to be completed in Section 2.12.

Attach relevant documentation to email submission (i.e., business process, workflow, problem analysis, user/stakeholder list, research findings). If these types of documents are not available, please indicate “Not Available,” and explain the reason below:

Not available reason: [Click or tap here to enter text.](#)

2. Technical Context (Describe the technical environment of which the effort will be understood and assessed in 500 words)

BOPC utilizes a variety of low-tech and/or manual tools to complete and manage day-to-day tasks. The majority of all historical files are in hard copy only, without backups, and kept in a number of file boxes located in BOPC's office. Most digital files are inconsistently stored and maintained in either BOPC's Access database or the SharePoint repository hosted and supported by Caltrans, or (in rare instances) on local machines for staff. BOPC also uses Google Sheets for tracking of various training and continuing education activities for Pilots. Each of these digital tools are only utilized for manual input and/or saving of data and do not trigger any automated processes. Though organization and standardization of these tools is inconsistent, their general functional purposes and scope are listed below.

Systems currently utilized:

- MS SharePoint for general document management; currently under 100,000 individual files stored across less than 10,000 file folders at a total of roughly 650GB. File types include predominantly Word, Excel, PowerPoint, and PDFs with some photo and video files.
- MS Access Database for saving and storing of Pilot files and information; roughly 500 data elements maintained across a total of nine (9) separate tables at less than 15MB in total. File types include text inputs with images for Pilot License headshots.
- Google Sheets for the tracking and sharing of training progress and continuing education for Pilots as well as tracking Board members contact information.

Attach relevant documentation to email submission (i.e., logical system environment diagrams, system interactions, business rules, application flows, stakeholder information, data flow charts). If these types of documents are not available, please indicate "Not Available," and explain the reason below:

Not available reason: [Limited technical documentation exists for BOPC's current low-tech and/or manual tools as these tools are utilized for manual input and/or saving of data and do not trigger any automated processes. As such, there are no applicable logical system environment diagrams, system interactions or business rules, nor application flows or data flow charts as data is stagnant once entered. See the bulleted list above for metrics regarding the data stored in SharePoint and Access \(i.e., number of files, file types, and total data size\) and applicable stakeholder information listed in the following section below.](#)

3. Data Management (Enter the information to indicate the data owner and custodian of the current system, if applicable.)

Data Owner Name: [Matthew Millspaugh](#)

Data Owner Title: [Assistant Director](#)

Data Owner Business Program area: [General Management](#)

Data Custodian Name: [John Katayama](#)

Data Custodian Title: [Information Technology Manager I](#)

Data Custodian Technical area: [Infrastructure Management Division](#)

Security - Data Classification and Categorization [Yes](#)

Security - Privacy Threshold & Impact Assessment. [Yes](#)

4. Existing Data Governance and Data

a) Do you have existing data that must be migrated to your new solution?

Answer (Unknown, Yes, No): [Yes](#)

If data migration is required, please rate the quality of the data.

Select data quality rating: [Few issues identified with the existing data.](#)

b) Does the Agency/state entity have an established data governance body with well-defined roles and responsibilities to support data governance activities?

Answer (Unknown, Yes, No): [Yes](#)

If Yes, include the data governance organization chart as an attachment to your email submission.

c) Does the Agency/state entity have data governance policies (data policies, data standards, etc.) formally defined, documented, and implemented?

Answer (Unknown, Yes, No): [Yes](#)

If Yes, include the data governance policies as an attachment to your email submission.

d) Does the Agency/state entity have data security policies, standards, controls, and procedures formally defined, documented, and implemented?

Answer (Unknown, Yes, No): [Yes](#)

If Yes, attach the existing documented security policies, standards, and controls used to your email submission.

e) Does the Agency/state entity have user accessibility policies, standards, controls, and procedures formally defined, documented, and implemented?

Answer (Unknown, Yes, No): [Yes](#)

If Yes, attach the existing documented policies, accessibility governance plan, and standards used to the email submission.

5. Security Categorization Impact Table

Consult the [SIMM 5305-A Information Security Program Management Standard - Security Categorization Impact Table](#).

Attach a table (in PDF) that categorizes and classifies the agency/state entity's information assets related to this effort (e.g., paper and electronic records, automated files, databases

requiring appropriate protection from unauthorized use, access, disclosure, modification, loss, or deletion). Each information asset for which the agency/state entity has ownership responsibility shall be inventoried and identified.

[S2AA_Security_Classification_Table_v.01]

6. Security Categorization Impact Table Summary

Consult the [SIMM 5305-A Information Security Program Management Standard - Security Categorization Impact Table](#) to provide potential impact levels of the following areas:

Confidentiality: [Medium](#)

Integrity: [Medium](#)

Availability: [Medium](#)

7. Technical Complexity Score: 1.7

(Attach a [SIMM Section 45 Appendix C](#) with Business and Technical Complexity sections completed to the email submission.)

[SIMM-45-Appendix-C-Complexity-Assessment_BOPC]

2.4 Requirements and Outcomes

At this time in the project planning process, requirements and outcomes should be documented and indicative of how the Agency/State Entity envisions the final solution. This shall be accomplished either in the form of mid-level requirements (predictive methodology)/business capabilities or representative epics and user stories (adaptive methodology) that will become part of the product backlog. The requirements or representative epics and user stories must tie back to the Objectives detailed in the Stage 1 Business Analysis. Regardless of which tool/method is used, an understanding of the following, at a minimum, must be clearly articulated:

- Functional requirements
- Expected user experience(s)
- Expected system outcome
- Expected business operations (e.g., How do you envision operations in the future?)
- Alignment to the project's objectives identified in Stage 1
- Product ownership (e.g., Who owns these requirements?); and
- Verification of need(s) fulfillment (e.g., How will success be measured?)

See the following attachments for relevant documentation:

- BOPC Mid-level requirements
- Target State Personas & Journey Maps
- S1BA (Goals & Objectives)

Tip: If providing requirements, the recommended range of requirements is between 50 and 100.

Attach Requirements and/or Outcomes narratives, mid-level requirements, and/or epics/user stories to submission email.

2.5 Assumptions and Constraints

Relevant assumptions and constraints help define boundaries and opportunities to shape the scope and complexity of the project.

Assumption: The Board will approve an increase to the BOPC operations surcharge to fund this project.

Description/Potential Impact: This would allow BOPC to effectively self-fund the project and eliminate the need to request general funds.

Assumption: The Department of Finance (DOF) will approve the surcharge increase.

Description/Potential Impact: Approval by DOF for the surcharge increase is necessary to fund the project. Absent this approval then there will be no project funding.

Assumption: BOPC staff will be available and able to dedicate a significant amount of their time throughout the duration of the project.

Description/Potential Impact: BOPC has a limited staff of 5 people, and therefore no backups. If BOPC staff are not able to provide input on the project in a timely fashion, it may cause delays.

Assumption: DOF will approve budgetary authority via BCP for the ITMP.

Description/Potential Impact: DOF must provide the budgetary authority for BOPC to spend the raised funds for the project. While the ITMP will be self-funded through collected surcharges, BOPC will need budget authority through the BCP to spend above their current authority and utilize the funds raised. Absent this approval, BOPC will not have authority to fund the project.

Constraint: BOPC Staff time.

Description/Potential Impact: BOPC staff time is limited due to their size, which may negatively affect the project schedule.

TIP: Copy and paste to add Assumptions/Constraints with Descriptions/Impacts as needed.

2.6 Dependencies

Dependencies are elements or relationships in a project reliant on something else occurring before the function, service, interface, task, or action can begin or continue.

Dependency Element: Project completion is dependent on continued funding from the BOPC's Operations Surcharge.

Dependency Description: If the surcharges that will fund the project are not sufficient, the project may experience budgetary shortfalls.

Dependency Element: [Continued availability of Caltrans management and resources required to execute the project](#)

Dependency Description: Project execution is dependent on availability of Caltrans resources to provide support to BOPC.

Enter any content that you want to repeat, including other content controls. You can also insert this control around table rows in order to repeat parts of a table.

TIP: Copy and paste to add Dependency Elements and Descriptions as needed.

2.7 Market Research

Market Research ([CDT Market Research Guidelines](#)) determines whether products or services available in the marketplace can meet the business needs identified in this proposal. Market Research can also determine whether commercial practices regarding customizing/modifying products or tailoring services are available, or even necessary, to meet the business needs and objectives of the business.

Before undertaking a Market Research approach. Contact your PAO Manager to schedule a collaborative review to review planning to date and discuss the procurement approach.

1. **Project Management Methodology:** [Predictive Approach \(Waterfall\)](#)
2. **Procurement approach recommended:** [Standard Procurement](#)
3. **Market Research Approach**

Provide a concise narrative description of the approach used to perform market research.

After completing the target state flows and developing mid-level requirements, the project team in coordination with the CDT PAL Oversight Manager, proposed to leverage a more extensive market research and vendor scan in lieu of a formal RFI. This decision was agreed upon by Caltrans, CDT, and BOPC personnel due to limited resources available at BOPC. Given these restrictions CDT, has agreed the following market research approach will be appropriate for the S2AA submission package.

As part of the market research BOPC with assistance from Gartner has:

- Conducted in-depth market research to identify potential solutions to meet BOPC's needs and assess the best strategic option for BOPC across a comprehensive list of criterion.
- Conducted 11 interviews with various State and County Departments as well as peer organizations to identify opportunities and best practices.
- Identified and leveraged best-in-class research to assess market options as well as the maturity and capabilities of that market.
- Leveraged subject-matter-experts (SMEs) on California procurements to identify and implement solution best practices.
- Leveraged subject-matter-experts (SMEs) for licensing and permitting solutions to help identify and confirm the best strategic and functional alignment for BOPC and its objectives.

Given the BOPC's modest size (five total staff) and scope of licensing operations (one single license type for no more than 60 pilots at any given time) as well as the potential cost aversion from executive leadership, the scope of its research was expanded beyond traditional licensing and permitting market options. This enhanced scope included evaluating alternative solutions outside of the market, including enhanced optimization of existing platforms, and new and/or stronger intra-agency agreements (IAAs) for BOPC to leverage instead of continuing its current procurement.

While all options presented unique strengths and weaknesses for consideration, viable market solution options were identified which align with BOPC requirements and objectives. This analysis confirms BOPC's preference for a vendor solution as the preferred solution alternative. Within the scan of viable vendor solutions BOPC has:

- Leveraged market research and best practices from other projects and procurements of similar size and complexity, to account for the variety of potential COTS solutions and the range of costs associated with those solution options.
- Developed and refined a forecast model to generate cost estimates for COTS licensing solutions based upon known characteristics and inputs of the BOPC target state design.

4. Market Research Artifacts

Market Research Artifacts can include internet research, collaboration with other governmental entities, or other documentation.

- Market Research Report

Attach Market Research artifacts to the email submission.

2.8 Viable Alternative Solutions

The CDT expects Agencies/state entities to conduct a thorough analysis of all feasible alternatives that will meet the proposal's objectives and requirements. Agencies/state entities should provide at minimum the three (3) most viable solutions, one (1) of which could be leveraging and/or enhancing the existing solution (if applicable).

1. Viable Alternative Solution #1

Name: COTS/SaaS

Description: COTS/SaaS applications focused on community development, regulation, and licensing (CDRL) best align with BOPC's identified needs. CDRL applications support the automation of licensing (amongst other regulatory functions) while providing several standard use case functionalities including case management, workflow automation, online payments, board management, and online portals. While CDRL applications can be provided as Low-Code Application Platforms (LCAP) or via custom development, COTS solutions are more competitive on cost as well as time and labor in development. Additionally, market research identified several potential vendors that both offer CRDL COTS solutions and have operated within California State Departments.

Why is this a viable solution? Please explain:

A COTS/SaaS solution best aligns with BOPC's goals and core business functions. This fulfillment of goals mixed with the affordability of a COTS solution as well as the decreased demand for staff time and resources (vs LCAP or custom build) make the alternative a viable solution for consideration. The specific subset of CDRL applications are also targeted towards government operations and use, making the alternative both viable and uniquely configurable to BOPC's needs.

Approach

Increase staff – new or existing capabilities: **No**

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**

Modify Statute/Policy/Regulations: **No**

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

Create a new IT system: **Yes**

Other: **No** Specify: [Click or tap here to enter text.](#)

Architecture Information

Business Function(s)/Process(es): All of BOPC's core business functions and responsibilities (as listed below) would be addressed and influenced by the purchase of a COTS /SaaS solution and the functionalities provided therein. Business functions and processes provided by the solution would include Licensing capabilities, a consolidated database with advanced query capabilities, case management tools including workflow and task management and automation, board management, and an online portal with standardized digital web forms.

BOPC's core business functions include:

- Board Meeting Preparation and Tracking
- Trainee Program Administration
- Pilot Licensing
- Set Pilotage Rates and Manage Rate Hearings
- Set Pilotage Surcharges
- Administer Pilot Boat Program
- Administer Pension Plan
- Investigation Tracking
- Ensuring Pilot Safety
- General Operations, which include: Document Management; Consolidated Data Storage; and Workflow Management

TIP: Copy and paste or click the + button in the lower right corner to add business processes with the same application, system, or component; COTS/Cloud Technology or custom solution; runtime environment; system interfaces, data center location; and security.

Conceptual Architecture

Attach a copy of the conceptual architecture to your email submission.

COTS/SaaS/Cloud Technology or Custom: [COTS/SaaS/Cloud Technology](#)

Name/Primary Technology: [COTS Alternative 1](#)

TIP: Copy and paste or click the + button in the lower right corner to add system software information if the application, system, or component uses additional system software.

Explain Existing System Interfaces: [BOPC does not currently maintain any system interfaces. Any digital data shared between external parties is done via email and several shared data elements remain paper based. Payroll for Pilots and pension beneficiaries is managed by the San Francisco Bar Pilots \(SFBP\), with BOPC providing only calculations for payout amounts.](#)

Explain New System Interfaces: [BOPC does not anticipate the need for any new system interfaces. External partners including SFBP, contracted accounting firm, and contracted medical examiner do not have interface capability currently and the sharing of files via email is a minor task with limited drain on staff resources. State external partners, including CHP for office administrative support and CalHR for support of the testing process also do not share files or data frequently enough to justify such a need \(CHP provides monthly budget information and will not allow a vendor solution to interface with Fi\\$cal and CalHR is partnered with once every three years to help manage the Pilot exam process\). Payroll for Pilots and pension payouts for beneficiaries will still be managed by SFBP in the target state. No other potential interfaces or needs for interfaces have been identified.](#)

Data Center Location of the To-be Solution: [Commercial data center](#)

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

Security

Access

Public: [No](#)

Internal State Staff: [Yes](#)

External State Staff: [Yes](#)

Other: [No](#) Specify: [Click or tap here to enter text.](#)

Type of Information (Select Yes or No for each to identify the type of information that requires protection. See the SAM Section 5305.5 for more information.)

Personal: [Yes](#)

Health:

Tax: No

Financial: Yes

Legal: Yes

Confidential: Yes

Other: No Specify: [Click or tap here to enter text.](#)

Protective Measures (Select Yes or No to identify the protective measures used to protect information.)

Technical Security: Yes

Physical Security: Yes

Backup and Recovery: Yes

Identity Authorization and Authentication: Yes

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

Total Viable Alternative #1 Solution Cost (copy from FAW – Executive Cost Summary tab, cells E7 through E11):

Planning Costs: \$5,121,281

One-Time (Project) Costs: \$3,461,248

Total Future Ops. IT Staff OE&E Costs: \$1,118,676

Total Proposed Cost: \$9,701,204

Annual Future Ops. Costs (M&O): \$0

2. Viable Alternative Solution #2

Name: SharePoint Optimization

Description: This alternative details the option for BOPC to optimize its current SharePoint tool (as provided and supported currently by Caltrans) to maximize its use and efficiency through contracting with a third-party professional firm. This would include creating and standardizing a centralized, structured repository for all BOPC documents and developing workflow management and task automation where applicable (given SharePoint's more limited capabilities for workflow management and task automation).

Why is this a viable solution? Please explain:

SharePoint is a low-cost alternative since BOPC already has it installed and would only need to purchase third-party services to fully optimize. While not addressing all BOPC pain points and objectives (including digital portals and forms for public consumption, advanced query abilities, and full case management capabilities with task automation), it would address the majority of those related to consolidated data and resulting task efficiencies.

Approach

Increase staff – new or existing capabilities: **No**

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**

Modify Statute/Policy/Regulations: **No**

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

Create a new IT system: **No**

Other: **No** Specify: [Click or tap here to enter text.](#)

Architecture Information

Business Function(s)/Process(es): A subset of BOPC core business functions (as listed below) would be affected and supported by this alternative. Fully optimized SharePoint would provide a standardized and consolidated data storage option for BOPC with the ability to create basic workflow guidelines.

Supported BOPC core business functions:

- Pilot Licensing
- Investigation Tracking
- Trainee Program Administration
- Board Meeting Preparation and Tracking
- General Operations

TIP: Copy and paste or click the + button in the lower right corner to add business processes with the same application, system, or component; COTS/Cloud Technology or custom solution; runtime environment; system interfaces, data center location; and security.

Conceptual Architecture

Attach a copy of the conceptual architecture to your email submission.

- N/A - Conceptual Architecture is not applicable to this alternative, as the alternative focused on enhancing and expanding current use of SharePoint.

COTS/SaaS/Cloud Technology or Custom: [COTS/SaaS/Cloud Technology](#)

Name/Primary Technology: [Custom Alternative 1](#)

TIP: Copy and paste or click the + button in the lower right corner to add system software information if the application, system, or component uses additional system software.

Explain Existing System Interfaces: [No current interfaces.](#)

Explain New System Interfaces: [No new interfaces.](#)

Data Center Location of the To-be Solution: [Agency/state entity operated by agency/state entity](#)

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

Security

Access:

Public: [No](#)

Internal State Staff: [Yes](#)

External State Staff: [Yes](#)

Other: [No](#) Specify: [Click or tap here to enter text.](#)

Type of Information (Select Yes or No for each to identify the type of information that requires protection. See the SAM Section 5305.5 for more information.)

Personal: [Yes](#)

Health: [No](#)

Tax: [No](#)

Financial: [Yes](#)

Legal: [Yes](#)

Confidential: [Yes](#)

Other: [No](#) Specify: [Click or tap here to enter text.](#)

Protective Measures (Select Yes or No to identify the protective measures used to protect information.)

Technical Security: [Yes](#)

Physical Security: [Yes](#)

Backup and Recovery: [Yes](#)

Identity Authorization and Authentication: [Yes](#)

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

Total Viable Alternative #2 Solution Cost (copy from FAW – Summary tab, cell AL33):

Total Proposed Cost: [\\$7,697,086](#)

3. Viable Alternative Solution #3

Name: [Enhance/Add New Intra-Agency Agreements](#)

Description: BOPC would enhance existing IAAs with Caltrans or create new IAAs to leverage intra-agency support to leverage current solution(s) relevant to BOPC's need.

Why is this a viable solution? Please explain:

Intra-agency agreements are a common practice to maximize efficiency by leverage existing state resources to address the project needs. There were a number of potential options identified that could meet a variety of BOPC's objectives, including:

- Enhanced utilization and optimization of SharePoint by Caltrans IT support (versus by third-party support for optimization as listed in Alternative #2).
- Leveraging DMV's use of Salesforce in its current modernization effort for issuing and managing occupational licenses.
- Leveraging Department of Consumer Affairs' (DCA) use of Versa from Tyler Technologies to build new licensing solution.

Approach

Increase staff – new or existing capabilities: **No**

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**

Modify Statute/Policy/Regulations: **No**

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

Create a new IT system: **No**

Other: **No** Specify: [Click or tap here to enter text.](#)

Architecture Information

Business Function(s)/Process(es): The primary business functions targeted in the assessment of these potential IAAs was licensing, consolidated data storage with advanced query capabilities, and case and/or workflow management. While these business functions would not address each of BOPC's objectives, they would support in some way the following core business functions:

- Pilot Licensing
- Investigation Tracking
- Trainee Program Administration
- Board Meeting Preparation and Tracking
- General Operations

TIP: Copy and paste or click the + button in the lower right corner to add business processes with the same application, system, or component; COTS/Cloud Technology or custom solution; runtime environment; system interfaces, data center location; and security.

Conceptual Architecture

Attach a copy of the conceptual architecture to your email submission.

- N/A – Conceptual Architecture was not developed for the aforementioned potential options for the following reasons:
 - Enhanced utilization and optimization of SharePoint met considerable pushback from Caltrans after additional review as Caltrans does not have the capacity (absent additional staffing) to support any expansion of SharePoint.
 - Utilizing DMV's use of Salesforce would come with considerable barriers given the ongoing solution implementation, meaning that any attempt to add BOPC to the contract would have necessitated contract revisions that would likely delay both DMV's current implementation and BOPC's target date of new solution implementation kickoff by EOY 2025. There would have been additional delays as well for the required organizational change of transitioning BOPC IT support services from Caltrans to DMV.
 - Utilizing DCA services and current Versa offerings would meet BOPC's needs with minimal effort to build given the department's proven capability to build and manage many diverse licensing boards and their solutions. However, as this would be an inter-agency effort outside of CalSTA requiring material organizational change and sign-off, and absent long-term solvency given that DCA could elect not to renew an IAA, BOPC elected not to pursue this option.

COTS/SaaS/Cloud Technology or Custom: COTS/SaaS/Cloud Technology

Name/Primary Technology:

TIP: Copy and paste or click the + button in the lower right corner to add system software information if the application, system, or component uses additional system software.

Explain Existing System Interfaces: No current interfaces.

Explain New System Interfaces: No new interfaces.

Data Center Location of the To-be Solution: Other

If Other, specify: The data center location would be dependent on the solution utilized.

Security

Access:

Public: No

Internal State Staff: Yes

External State Staff: Yes

Other: No Specify: Click or tap here to enter text.

Type of Information (Select Yes or No for each to identify the type of information that requires protection. See the SAM Section 5305.5 for more information.)

Personal: [Yes](#)

Health: [No](#)

Tax: [No](#)

Financial: [Yes](#)

Legal: [Yes](#)

Confidential: [Yes](#)

Other: [No](#) Specify: [Click or tap here to enter text.](#)

Protective Measures (Select Yes or No to identify the protective measures used to protect information.)

Technical Security: [Yes](#)

Physical Security: [No](#)

Backup and Recovery: [Yes](#)

Identity Authorization and Authentication: [Yes](#)

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

Total Viable Alternative #3 Solution Cost (copy from FAW – Summary tab, cell AL50):

Total Proposed Cost: [\\$7,643,780](#)

2.9 Project Organization

Project planning includes the process of identifying how and when specific labor skill sets are needed to ensure that the proposed project has sufficient staff with the appropriate knowledge and experience by the time the project moves into execution. All staff identified in the following sections should be included in the Financial Analysis Worksheet to be completed in Section 2.12.

1. Project Organization Chart:

Attach the Project Organization Chart to your email submission.

- See attached Project Organization Chart

2. Is the department running this project as a matrixed or projectized organization?

[Projectized](#)

In each of the following sections, provide a concise description of the approach to staffing the proposed project including contingencies for business/program, IT, or administrative areas to maintain ongoing operations in conjunction with the proposed project.

1. Administrative

The BOPC contracts with the California Highway Patrol (CHP) for support of required administrative tasks including but not limited to budgets, contracting, human resources, etc. BOPC staff will work in coordination with the CHP to oversee the budgeting, and contract management needs of this project. BOPC staff will also engage with the Office of Statewide Technology Procurement (OSTP) for the development and management of the solicitation package and any ensuing award for contract. The budget staff will need the ability to accurately estimate and plan for the resourcing requirements of the project. The project staff with communication responsibilities shall be able to assess communications needs and respond accordingly over a variety of channels. The staff responsible for procurement should possess the ability to monitor and advise of the execution of procurement activities whilst remaining in compliance with code and policy.

2. Business Program

BOPC staff provide program subject matter expertise necessary for requirements gathering and overall solution development. Program staff will also interact with internal project management and development teams and the vendor throughout the testing and implementation phases of the project to ensure requirements are met. BOPC staff will work closely with the internal project management team(s) to coordinate competing priorities and demands between day-to-day responsibilities and project-related responsibilities. There is no additional subject matter expertise outside of BOPC staff that could augment or support the business program.

3. Information Technology

The BOPC contracts with Caltrans for general IT support and for IT project management support of CDT's PAL process. While the selected vendor will provide primary system development and implementation services, BOPC will contract with Caltrans to provide additional IT support and expertise as needed.

4. Testing

The software vendor will lead the system testing and provide support for user acceptance testing. Test scripts and plans will be put into place that align with specific business processes and functional requirements. BOPC staff will execute the user acceptance tests and report on their findings. The vendor will be responsible for resolving any and all issues identified.

5. Data Conversion/Migration

BOPC staff will be responsible for identifying, cataloging, cleansing and performing any other data preparation activities that are necessary prior to any data conversion or migration effort. This would include all data in current SharePoint and Access repositories, accounting for a total of 650 GB and varying file types including Word, Excel, PowerPoint, PDF, and image and video files. BOPC staff will be required to work closely with the internal project management team(s) to coordinate competing priorities and demands between day-to-day responsibilities

and project-related responsibilities. The selected vendor will be responsible for all ETL functions as they relate to this project.

6. Training

The end-user training for the new solution will be provided by the vendor prior to the system go-live. Given that BOPC's staff only consists of 5 people, all of them will be in attendance. The vendor shall also provide documentation and user manuals for the staff to reference after the solution is live.

7. Organizational Change Management

OCM efforts will primarily target two groups: BOPC staff and Bar Pilots. The BOPC staff OCM effort will be centered around ensuring that changes to processes and procedures are well documented. There will also be an emphasis on training for the BOPC staff to ensure that their understanding of the system is strong prior to go-live. The training for the Bar Pilots will employ a train-the-trainer methodology due to their sporadic and misaligned schedules. Some Bar pilots will be designated as trainers and will receive training directly from the vendor, and then act as trainers themselves for the remainder of the Bar Pilots.

8. Resource Capacity/Skills/Knowledge for Stage 3 Solution Development

This narrative should include the experience level and quantity of procurement, contract management, and budget staff who will be responsible for the Stage 3 Solution Development.

BOPC has 2 staff members who are very knowledgeable about contract management and budgeting. The procurement team will be supplemented by procurement, contract management, and budget experts from other partner agencies.

2.10 Project Planning

1. Project Management Risk Assessment

Updated Project Management Risk Score: 1.9

Attach Updated PM Risk Assessment to your email submission. [SIMM Section 45A](#)

2. Project Charter

Is your project charter 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 Charter \(Approved\):](#) Yes

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

Attach a copy of the Project Charter to your email submission.

- See ITMP Project Charter – Signed attached.

3. Project Plans

Are the following project management plans or project artifacts 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.

Note: For Low to medium complexity and cost projects, discuss with your PAO manager the option of submitting a Master Project Management Plan in place of individual plans.

[Scope Management Plan \(Approved\):](#) Yes

Status: Complete

[Communication Management Plan \(Approved\):](#) Yes

Status: Complete

[Schedule Management Plan \(Approved\) :](#) Yes

Status: Complete

[Procurement Management Plan \(Approved\):](#) Yes

Status: Complete

[Requirements Management Plan \(Approved\):](#) Yes

Status: Complete

[Stakeholder Management Plan \(Draft\):](#) Yes

Status: Complete

[Governance Plan \(Draft\):](#) Yes

Status: Complete

[Contract Management Plan \(Draft\):](#) Yes

Status: Complete

[Resource Management Plan \(Draft\):](#) Yes

Status: Complete

[Change Control Management Plan \(Draft\):](#) Yes

Status: Complete

[Risk Management Plan \(Draft + Risk Log\):](#) Yes

Status: Complete

[Issue and Action Item Management Plan \(Draft + Issue Log\):](#) Yes

Status: Complete

[Cost Management Plan \(Approved if planning BCP approved\): Yes](#)

Status: Complete

4. Project Roadmap (High-Level)

Attach a high-level Project Roadmap showing remainder of planning phase and transition into execution phase to the email submission.

- **See Project roadmap attached.**

- a) Planning Start Date: [5/13/2024](#)
- b) Estimated Planning End Date: [5/30/2025](#)
- c) Estimated Project Start Date: [2/23/2026](#)
- d) Estimated Project End Date: [2/22/2027](#)

2.11 Data Cleansing, Conversion, and Migration

If in Section 2.3 (above) the answer to the question “Do you have existing data that must be migrated to your new solution?” was marked “Yes,” please complete this section.

The California Department of Technology recommends having a Data Consultant start data cleansing, conversion, and migration activities as soon as possible.

Identify the status of each of the following data activities. If “Not Applicable” is chosen, explain why the activity is not applicable or if “Not Started” is chosen, explain when the activity will start and its anticipated duration:

1. Current Environment Analysis: **Completed**

Current environment is low-tech, with one single Access database table and SharePoint leveraged for document management.

2. Data Migration Plan: **In Progress**

Vendor will work with BOPC to determine the hierarchical data structure and migrate Access and SharePoint data into the target state solution.

3. Data Profiling: **Completed**

BOPC staff have conducted analyses of current data to assess total size of data to be migrated, file types, number of folders and files (in SharePoint), and number of data elements and tables maintained (in Access). These figures have been shared in this document under Section 2.3.2 (Baseline Processes and Systems / Technical Context).

4. Data Cleansing and Correction: **In Progress**

BOPC staff are currently working to complete necessary cleansing and correction of their data. This includes identifying and removing duplicate files as well as cleaning and purging outdated folders and/or data that is not used nor necessary. This scope of data cleansing is considered minimal given the low complexity of the data and the limited need for cleansing outside of duplicate or misnamed files.

5. Data Quality Assessment: **Not Applicable**

There is insufficient variety, size, and complexity of data to necessitate a data quality assessment outside of the larger data assessment that BOPC has already completed (as discussed in this document in section 2.11.3).

6. Data Quality Business Rules: **Not Applicable**

Detailed solution requirements include the provision, creation, and configuration of business rule sets the Contractor shall be responsible for.

7. Data Dictionaries: **In Progress**

BOPC is currently drafting data dictionaries.

8. Data Conversion/Migration Requirements: **In Progress**

Mid-level requirements have been developed and detailed level requirements will be developed for PAL Stage 3.

2.12 Financial Analysis Worksheets

Attach [F.2 Financial Analysis Worksheet\(s\)](#) to the email submission.

End of agency/state entity document.

Please ensure ADA compliance before submitting this document to CDT.

When ready, submit Stage 2 and all attachments in an email to ProjectOversight@state.ca.gov.

Department of Technology Use Only

Original “New Submission” Date: 4/14/2025

Form Received Date: 4/14/2025

Form Accepted Date: 4/14/2025

Form Status: Complete

Form Status Date: 4/14/2025

Form Disposition: Approved.

Form Disposition Date: 10/07/2025.