



## 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:** 0820 - Justice, Department of

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

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

2. **Proposal Name:** Firearms IT Systems Modernization (FITSM) Project

3. **Department of Technology Project Number (0000-000):** 0820-228

4. **S2AA Version Number:** [Choose an item.](#)

5. **CDT Billing Case Number:** CS0075210

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

### 2.2 Submittal Information

1. **Contact Information**

Contact Name: [Elisa Diez](#)

Contact Email: [Elisa.Diez@doj.ca.gov](mailto:Elisa.Diez@doj.ca.gov)

Contact Phone: (916) 210-5473

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 [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):

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

## 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 Department of Justice (DOJ) ensures that the Bureau of Firearms (BOF) regulatory programs comply with state and federal laws and regulations. The California constitution requires that the DOJ's firearms systems be the main control mechanism of California's firearms regulatory functions. The BOF accomplishes this by operating thirty-four (34) different state-mandated firearms-related programs. The current business environment to operate the business programs accounts for \$24 million including Information Technology (IT) support in FY 2023-2024. The BOF is responsible for conducting firearms eligibility background checks and manufacturer inspections for compliance and providing oversight, enforcement, education, and regulation of California's firearms and ammunition laws.

In order to execute the state-mandated business programs, each of thirty-four (34) baseline business processes mainly communicates with its pertinent DOJ internal IT systems, components as well as state and federal external systems such as the Immigration and Customs Enforcement (ICE), the Department of Motor Vehicles (DMV) and the National Instant Criminal Background Check System (NICS). The DOJ internal firearms databases are outdated legacy systems that are comprised of a suite of seventeen (17) applications. Due to the inflexibility of each system, the modifications needed across multiple systems cannot be achievable, thereby causing difficulty to support statutory mandates and law enforcement changes in a timely manner. Additionally, many of data points required by the Legislature cannot currently be tracked and maintained.

As articulated in the Project Approval Lifecycle (PAL) Stage 1 Business Analysis, the current business process is inefficient and requires labor-intensive manual processes and workarounds for both BOF and IT staff. The time-consuming, manual action required to work with the firearms systems has resulted in the creation of an enormous backlog. Lack of automation has also led to increased errors requiring additional workloads to fix the inaccuracies for BOF staff. The unreliable and wasteful process takes staff away from addressing other critical work, resulting in inadequate quality of service and negative effects on human resources.

All of the current baseline business processes will be impacted by the Firearms IT Systems Modernization (FITSM) project. Since the first firearms system implementation, the BOF has experienced multiple issues with the DOJ's internal applications including business functionality, performance, data integrity, reporting, and manual sidesteps. Some processes are reliant on the use of Excel spreadsheets or standalone databases to track and maintain dealership information, applicants, and licensees. This prevents streamlined communications

among all Bureau staff and creates additional assigned work for BOF staff.

The FITSM Project is a top priority for DOJ, as it will automate and streamline all of the current firearms business processes that are carried out mission-critical regulatory functions for public safety by the BOF. To best resolve several underlying issues and align with DOJ strategic business and technology goals and objectives, the BOF seeks a modernized and consolidated Firearms IT systems solution to achieve greater timeliness and efficiency when responding to legislative mandates and changing BOF business requirements.

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: Each of thirty-four (34) business processes has one to many relationships with multiple systems, components, and sub-business processes. Due to the complexity of their respective business processes and systems, a business process creates several diagrams. This will generate a large number of business process documents and workflow diagrams. [Attachment A](#) – Current Business Environment documents a high-level summary of as-is business processes, including internal and external interfaces.

**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)**

The DOJ internal firearm systems consist of seventeen (17) main systems and several sub-systems. All of the current baseline firearm systems will be impacted by the proposal. [Attachment B](#) – Technical Context document provides detailed information related to business processes, supporting technology, interfaces, data exchanging entity, data center location, and security for each system.

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

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

Data Owner Name: [Allison Mendoza](#)

Data Owner Title: [Director](#)

Data Owner Business Program area: [Bureau of Firearms, Division of Law Enforcement](#)

Data Custodian Name: [Veronica Gilliard](#)

Data Custodian Title: [Chief, California Justice Information Services Division](#)

Data Custodian Technical area: [Application Development Bureau](#)

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: [Some 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.

## 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: 3.1

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

# 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?)

**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:**

1. **Project Management:** All stakeholders will proceed in accordance with approved Project Management Plans.
2. **Resource Availability:** Project resources, both program and Information Technology, will be made available in a timely manner throughout project lifecycle.
3. **Risk/Issue Management:** Project risks and issues will be recorded and addressed in a timely manner.
4. **Governance:** Decision-making authorities will provide feedback and decisions in a timely manner.
5. **Governance:** Project Executive Sponsors will remove roadblocks and ensure the project is provided with staff and funding needed to support all phases of the FITSM Project life cycle.
6. **Cost Management:** Project funding needs and requests will be supported by the DOJ, external control agencies, and the State Legislature.
7. **Scope:** The FITSM Project will establish an approach within the project to assess, coordinate, manage, and incorporate new legislation into the FITSM Project, in a seamless and efficient manner.

**Description/Potential Impact:** Project may experience delays, cost, and quality impacts if any of the assumptions experience deviation from the assumption.

**Constraint:**

1. **Scope:** Project Scope will experience impacts due to new legislation that must be managed and incorporated, and ensure business continuity at implementation.
2. **Schedule:** Timelines dependent on resources to achieve target timelines.
3. **Costs:**
  - a. The State is competing for highly skilled and expert knowledge resources, delaying the recruitment, and hiring processes, and contributing to attrition rates.
  - b. Project is dependent on funding approvals through the Budget Change Proposal process, which, if any resources/funds are denied, could contribute to additional delays.

**Description/Potential Impact:** Project may experience delays, cost, and quality impacts due to constraints.

## 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:**

1. **Project Resources:** The Project must adhere to state recruitment and hiring policies/processes.
2. **Project Resources:** The Project is required to obtain CDT Statewide Technology Procurement (CDT-STP) approvals before releasing solicitations for ancillary procurements.
3. **Procurement:** The Project solution procurement requires CDT-STP to conduct the procurement on DOJ's behalf.
4. **Project Approval:** The Project is required to obtain approvals from CDT Oversight for each Stage (1-4) of the Project Approval Life Cycle.

5. Project Costs: The Project is required to obtain new resources and funding approval from the Department of Finance and the Legislature.

**Dependency Description:** See above.

## 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:** [Hybrid](#)
2. **Procurement approach recommended:** [Standard Procurement](#)
3. **Market Research Approach**

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

The FITSM Project conducted a state survey to states with Firearms Laws comparable in volume to the number of California Laws. However, there is no state in the nation that has the same volume of Firearms Laws as California. The results yielded one response (need to locate survey to list state that responded) that identified a custom solution. The DOJ also conducted a formal Request for Information (RFI) to canvass the market for potential products and/or services that may be able to address the DOJ's business needs. The RFI was released on September 7, 2023, with the RFI Response date of September 25, 2023. The DOJ received one vendor response, which included details for a custom solution. The RFI vendor response conclusion allowed the DOJ to confirm that the FITSM Project viable solution would need to be a Custom Solution, considering there are no other viable solutions (COTS, MOTS, or SaaS) in the market.

As a result of the research conducted by the DOJ, the FITSM Project can only provide one viable and recommended alternative, with cost estimates for the Stage 2 Package. The estimation and planning for a Custom Solution, will be based on the iterative System Development Life Cycle approach, State Master Service Agreement hourly rates for vendor resource classifications, and Statewide Licensing Program product rates for software/hardware needs that are generally required with custom solution.

### 4. Market Research Artifacts

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

**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:** Custom Build

**Description:** This solution would require procurement of a solution integrator and products that can be supported by the DOJ infrastructure. The solution integrator would collaborate and coordinate with the project team to plan, design, establish required environments, build/code, conduct testing, develop, deliver training, and roll-out a solution. This should meet all the business objectives and solution requirements that will support the modernization of a firearms system to no more than two modernized systems. The planning and analysis along with security requirements will determine the system architecture feasible for DOJ.

**Why is this a viable solution?** Please explain:

DOJ currently manages all seventeen (17) firearms systems and the corresponding infrastructure on premise. DOJ is best positioned to support the data architecture in preparation for the custom built solution. The custom built solution will modernize the affected systems to work interactively in a way that can be more quickly and easily scaled and would translate to future integration of new and changing requirements with minimal fiscal impact, and would thus be the most cost-effective solution in the long-term.

#### Approach

Increase staff – new or existing capabilities: Yes

Modify the existing business process or create a new business process: Yes

Reduce the services or level of services provided: No

Utilize new or increased contracted services: Yes

Enhance the existing IT system: No

Modify Statute/Policy/Regulations: No

Please Specify: No impact to Statute/Policy/Regulations - However, if new legislation is chaptered during the life of the project, modifications may be required.

Create a new IT system: Yes

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

#### Architecture Information

**Business Function(s)/Process(es):** Please see attached mid-level requirements



## Conceptual Architecture

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

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

Name/Primary Technology: [TBD based on procurement responses](#)

**Explain Existing System Interfaces:** The DOJ has built and operates numerous firearms information technology systems in response to the needs of the citizens of California. These systems support the education, regulation, and enforcement actions regarding the manufacturing, sale, ownership, safety training, and transfer of firearms. To support the comprehensive program that promotes the legitimate and responsible firearms possession and use by California residents, the DOJ maintains seventeen (17) systems. (Technical diagrams/documentation are available for on-site review)

**Explain New System Interfaces:** [TBD](#)

**Data Center Location of the To-be Solution:** [Other](#)

If Other, specify: [Hawkins Data Center](#)

## Security

### Access

Public: [Yes](#)

Internal State Staff: [Yes](#)

External State Staff: [Yes](#)

Other: [Yes](#) Specify: [Law Enforcement Agencies/Authorized Federal Agencies](#)

**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: [Yes](#)

Tax: [No](#)

Financial: [Yes](#)

Legal: [Yes](#)

Confidential: [Yes](#)

Other: [Choose Yes or 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: [\\$31,527,900](#)

One-Time (Project) Costs: [\\$417,177,522](#)

Total Future Ops. IT Staff OE&E Costs: [\\$10,073,617](#) (does not include OE&E)

Total Proposed Cost: [\\$458,779,038](#)

Annual Future Ops. Costs (M&O): [\\$10,073,617](#)

## 2. Viable Alternative Solution #2

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

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

**Why is this a viable solution?** Please explain:

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

### Approach

Increase staff – new or existing capabilities: [Choose Yes or No.](#)

Modify the existing business process or create a new business process: [Choose Yes or No.](#)

Reduce the services or level of services provided: [Choose Yes or No.](#)

Utilize new or increased contracted services: [Choose Yes or No.](#)

Enhance the existing IT system: [Choose Yes or No.](#)

Modify Statute/Policy/Regulations: [Choose Yes or No.](#)

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

Create a new IT system: [Choose Yes or No.](#)

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

### Architecture Information

**Business Function(s)/Process(es):** [Click or tap here to enter text.](#)

*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:** [Choose an item.](#)

Name/Primary Technology: [Click or tap here to enter text.](#)

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

**Explain New System Interfaces:** [Click or tap here to enter text.](#)

**Data Center Location of the To-be Solution:** [Choose an item.](#)

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

## Security

### Access:

Public: [Choose Yes or No.](#)

Internal State Staff: [Choose Yes or No.](#)

External State Staff: [Choose Yes or No.](#)

Other: [Choose Yes or 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: [Choose Yes or No.](#)

Health: [Choose Yes or No.](#)

Tax: [Choose Yes or No.](#)

Financial: [Choose Yes or No.](#)

Legal: [Choose Yes or No.](#)

Confidential: [Choose Yes or No.](#)

Other: [Choose Yes or 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: [Choose Yes or No.](#)

Physical Security: [Choose Yes or No.](#)

Backup and Recovery: [Choose Yes or No.](#)

Identity Authorization and Authentication: [Choose Yes or No.](#)

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

### 3. Viable Alternative Solution #3

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

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

**Why is this a viable solution?** Please explain:

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

#### Approach

Increase staff – new or existing capabilities: [Choose Yes or No.](#)

Modify the existing business process or create a new business process: [Choose Yes or No.](#)

Reduce the services or level of services provided: [Choose Yes or No.](#)

Utilize new or increased contracted services: [Choose Yes or No.](#)

Enhance the existing IT system: [Choose Yes or No.](#)

Modify Statute/Policy/Regulations: [Choose Yes or No.](#)

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

Create a new IT system: [Choose Yes or No.](#)

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

#### Architecture Information

**Business Function(s)/Process(es):** [Click or tap here to enter text.](#)

*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:** [Choose an item.](#)

Name/Primary Technology: [Click or tap here to enter text.](#)

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

**Explain New System Interfaces:** [Click or tap here to enter text.](#)

**Data Center Location of the To-be Solution:** [Choose an item.](#)

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

## Security

### Access:

Public: [Choose Yes or No.](#)

Internal State Staff: [Choose Yes or No.](#)

External State Staff: [Choose Yes or No.](#)

Other: [Choose Yes or 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: [Choose Yes or No.](#)

Health: [Choose Yes or No.](#)

Tax: [Choose Yes or No.](#)

Financial: [Choose Yes or No.](#)

Legal: [Choose Yes or No.](#)

Confidential: [Choose Yes or No.](#)

Other: [Choose Yes or 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: [Choose Yes or No.](#)

Physical Security: [Choose Yes or No.](#)

Backup and Recovery: [Choose Yes or No.](#)

Identity Authorization and Authentication: [Choose Yes or No.](#)

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

## 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.

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

Matrixed

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 FITSM Project Administrative functions are planned to be addressed by resources that will be requested via a Budget Change Proposal (BCP) to assume roles that include administrative functions (Resource/Cost Management, HR functions, such as establishing positions, recruitment, hiring, and onboarding, etc.). If requested BCP resources are not approved for the various project phases, the Project's existing resources would need to take on additional activities and accept delay of timelines.

#### **2. Business Program**

The FITSM Project Business Team will consist of requested BCP resources and redirected staff that include a Business Manager/Lead, DOJ SMEs, and Business Solutions Consultants. The Business Team Manager and resources will plan, collaborate, and coordinate all project activities between respective program executives, operational teams, and end users (internal/external), that include analysis, business process re-engineering, requirements gathering, data analysis, data clean-up, organizational change management – outreach, testing, training, ongoing program support functions. If requested BCP resources are not approved for the various project phases, the Project's existing resources would need to take on additional activities and accept delay of timelines.

#### **3. Information Technology**

The FITSM Project Technical Team will consist of requested BCP resources and redirected staff that include a Technical Manager/Lead, DOJ SMEs, Architect, and Technical Consultants. The Technical Team Manager and resources will plan, collaborate, and coordinate all project technical activities between respective program executives, business team, and interfaces (internal/external), which include analysis, business process re-engineering, requirements gathering, data analysis, and architecture, data clean-up, organizational change management – technology, testing, training, ongoing help desk, and data center support functions. The FITSM Project plans to leverage existing DOJ enterprise IT services to support the project and request additional IT funding through BCP to support increased staff (State and Contract). The

FITSM Project plans to request BCP Funding to fund the project's primary solution and any tools required for the project.

#### **4. Testing**

The FITSM Project will collaborate with respective operational teams to coordinate, plan, and develop a Testing Plan that addresses the various testing required for the FITSM Project solution. The FITSM Project plans to request a Testing Manager and two test analysts through a BCP to develop, implement, and oversee the FITSM Project Testing Plan, activities, and schedule. A

#### **5. Data Conversion/Migration**

The FITSM Project Data Conversion/Migration Team will consist of requested BCP resources and redirected staff that will include a Technical Manager/Lead, DOJ SMEs, Architect, and Data Consultants. The Technical Team Manager and resources will plan, collaborate, and coordinate all project data activities between respective program executives, business team, and interfaces (internal/external), which include analysis, data architecture, requirements gathering, data clean-up, organizational change management – technology, testing, training, ongoing help desk, and data center support functions.

#### **6. Training**

The FITSM Project Training Team will consist of requested BCP resources and redirected staff that include a Lead, DOJ SMEs, and Consultants. The Training Team Lead and resources will plan, collaborate, and coordinate all project training needs and activities between with project sponsors, executives, business team, technical team, and project management team, that include analysis, IT project management, Software Development Lifecycle methodologies and approaches, product, functional, and the necessary ongoing help desk and data center support functions.

#### **7. Organizational Change Management**

The FITSM Project Organizational Change Management (OCM) Team will consist of requested BCP resources and redirected staff that include a Business Manager/Lead, DOJ SMEs, and OCM Consultants. The OCM Team Manager and resources will plan, collaborate, coordinate, and conduct all project organizational change management activities between impacted departmental executives, business area(s), technical area(s), and internal/external stakeholder/end users, that include readiness assessments, training, communications (internal/external), and coordinating all changes to for impacted business process and systems.

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

The FITSM project has secured a permanent IT Manager I (ITM I) position for contract management and procurement activities and an IT Specialist II (ITS II) who will manage all project costs and fiscal tracking. These positions will coordinate procurement activities with CJIS Contract staff to support Stage 3 activities. The FITSM project will utilize its procurement

officials, CDT, STP, and others to provide the appropriate guidance and support. The FITSM project will leverage leading practices utilized by the PAL support. These key resources will provide training and guidance to the team, supporting the overall goal of developing a solid and qualified procurement vehicle for the solution. The FITSM Project Team in collaboration with the PAL support, STP, and CDT will have the procurement, contract management, and budget experience needed for a project of this size.

## 2.10 Project Planning

### 1. Project Management Risk Assessment

Updated Project Management Risk Score: 1.8

**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:

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

### 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:

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

Status:

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

Status:

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

Status:



Requirements Management Plan (Approved): Yes

Status:

Stakeholder Management Plan (Draft): Yes

Status:

Governance Plan (Draft): Yes

Status:

Contract Management Plan (Draft): Yes

Status:

Resource Management Plan (Draft): Yes

Status:

Change Control Management Plan (Draft): Yes

Status:

Risk Management Plan (Draft + Risk Log): Yes

Status:

Issue and Action Item Management Plan (Draft + Issue Log): No

Status: Issue is included w/Risk Management Plan and Action is included w/Communication Plan

Cost Management Plan (Approved if planning BCP approved): Yes

Status:

#### 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.

- a) Planning Start Date: [6/30/2020](#)
- b) Estimated Planning End Date: [6/30/2025](#)
- c) Estimated Project Start Date: [6/30/2025](#)
- d) Estimated Project End Date: [6/30/2031](#)

## 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**

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

**2. Data Migration Plan: Not Started**

[Dependent on Data Assessment/Analysis and Solution Procurement](#)

**3. Data Profiling: Not Started**

[Pending onboarding of Data Assessment Consultants](#)

**4. Data Cleansing and Correction: Not Started**

[Pending onboarding of Data Assessment Consultants](#)

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

[Pending onboarding of Data Assessment Consultants](#)

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

[Pending onboarding of Data Assessment Consultants](#)

**7. Data Dictionaries: Not Started**

[Dependent on Data Assessment/Analysis Consultants](#)

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

[Dependent on Data Assessment/Analysis and Solution Procurement](#)

## **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](mailto:ProjectOversight@state.ca.gov).**



**Department of Technology Use Only**

**Original “New Submission” Date:** 2/12/2024

**Form Received Date:** 2/12/2024

**Form Accepted Date:** 2/12/2024

**Form Status:** Approved

**Form Status Date:** 10/31/2024

**Form Disposition:** Completed

**Form Disposition Date:** 10/31/2024