



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

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

1115 – Department of Cannabis Control

2. **Proposal Name:** [Cannabis Systems Integration \(CSI\) Project](#)

3. **Department of Technology Project Number (0000-000):** [1115-005](#)

4. **S2AA Version Number:** [Version 1](#)

5. **CDT Billing Case Number:** [CS0091969](#)

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

## 2.2 Submittal Information

1. **Contact Information**

Contact Name: [Lisa Rangel](#)

Contact Email: [Lisa.Rangel@cannabis.ca.gov](mailto:Lisa.Rangel@cannabis.ca.gov)

Contact Phone: [\(279\) 243-3599](#)

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):

No conditions from Stage 1.

## 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 leverages two separate instances of the Accela platform to manage essential business processes related to cannabis licensure, compliance, and enforcement. The two systems, known as the Cannabis Licensing, Enforcement, and Reporting (CLEaR) system and the Cultivation Licensing System (CLS), address distinct aspects of cannabis regulation in California.

The CLEaR system focuses on the licensure and regulatory oversight of cannabis retailers, distributors, laboratories, transporters, microbusinesses, event organizers and manufactured cannabis. Business processes include processing applications, tracking licensee activities, and ensuring compliance with state laws. The CLEaR system contains functionality to support Compliance and Enforcement activities as applicable to the licensing process within the system.

The CLS is specifically tailored to support the licensure and oversight of cannabis cultivation activities. This includes processes related to cannabis growers, raw product processing facilities, and nursery operators throughout California. Like CLEaR, the CLS incorporates tools for monitoring compliance and conducting enforcement activities, ensuring that cultivators adhere to state regulations and maintain high standards for safety, sustainability, and legal operations.

While these systems offer configurability, maintaining two separate instances of the Accela platform, creates a layer of complexity. The segregation complicates data integration and increases the potential for inconsistencies between the systems. Users often face challenges navigating the structure, which can hinder efficient coordination across regulatory activities or new mandates.

**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: Final as-is workflows attached. Some workflows depicted may be leveraged by other systems for tracking.

See: 2.3.1\_DCC\_BPM\_&\_RD\_As\_Is\_Business\_Process\_Mapping\_Document (Licensing)  
2.3.1DCC\_BPM\_&\_RD\_As\_Is\_Business\_Process\_Mapping\_Document (Compliance)

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

With challenges and limitations, the two instances of the Accela cloud-based software-as-a-service (SaaS) solution provide customizable and configurable items for data collection and the support of auxiliary functionality mandated of the DCC. Configuring the system for DCC’s business needs requires utilizing native configuration items in parallel to customize scripting, such as Python and Java scripting.

Accela also provides a customizable workflow engine to assist in driving the automation of business processes. The Department utilizes out-of-the-box (OOTB) reporting functionality provided by the Accela platform to conduct day-to-day operations and for external reporting, such as reporting to the California Governors’ Office and State Legislature. Accela is hosted on the Microsoft Azure commercial cloud environment with a FedRamp Tier 3 rating. Accela has third-party integration points that include, but not limited to:

- FISERV Snap Pay payment processor to assist in the collection of fee payments made to the Department.
- DCC Data Warehouse initiative to extract data from the licensing systems. This would be an automated process requiring minimal intervention from DCC staff.
- Public facing system integration for data sharing between local governments, educational institutions, and other DCC approved users. Rest APIs and Accela developed solutions are used for supporting this integration.
- Metrc System integration to populate the cannabis activity tracking system with Licensing data for the seed-to-sale activities.
- Unified License Search is a public facing web page providing curated search function on licenses, business locations of licensed businesses, and license statuses.

**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: [See 2.3.2 Licensing System – Context Diagram](#)

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

Data Owner Name: [Michael Cheng](#)

Data Owner Title: [Deputy Director](#)

Data Owner Business Program area: [Licensing Division](#)

Data Owner Name: [Evelyn Schaeffer](#)

Data Owner Title: [Deputy Director](#)

Data Owner Business Program area: [Compliance Division](#)

Data Custodian Name: [Tommy Chi](#)

Data Custodian Title: [Branch Chief](#)

Data Custodian Technical area: [IT Application Branch](#)

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): [No](#)

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): [No](#)

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. [See: 2.3.4.d\\_iso\\_Security\\_Policy](#)

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. [See: 2.3.4.e\\_Accessibility\\_policy\\_6\\_02](#)

#### 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: 2.7

(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 – [Identified in 2.4 Functional\\_Non-Functional\\_Requirements](#)
- Expected user experience(s) - [Identified in 2.4 Functional\\_Non-Functional\\_Requirements](#)
- Expected system outcome - [Identified in 2.4 Functional\\_Non-Functional\\_Requirements](#)
- Expected business operations (e.g., How do you envision operations in the future?) – [To-be process flows in progress. See 2.4\\_To\\_Be\\_Business\\_Process\\_Compliance](#)  
[2.4\\_To\\_Be\\_Business\\_Process\\_Licensing](#)
- Alignment to the project's objectives identified in Stage 1 – [Will be finalized in Stage 3.](#)
- Product ownership (e.g., Who owns these requirements?); and – [Product Owner.](#)
- Verification of need(s) fulfillment (e.g., How will success be measured?) – [Requirements will be monitored and traced using Jira throughout the project period and validated by the Product Owner and SMEs through user acceptance testing.](#)

**Attach** Requirements and/or Outcomes narratives, mid-level requirements, and/or epics/user stories to submission email. [See 2.4 Functional\\_Non-Functional\\_Requirements](#)

## 2.5 Assumptions and Constraints

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

**Assumption:** Budget change proposal will be approved for project funding.

**Description/Potential Impact:** The project may need to be deferred, or scope significantly reduced to critical functionality to be absorbable within existing budget each fiscal year. This will cause delays and result in a less effective or incomplete solution which does not fully meet the organization's needs.

**Assumption:** The necessary project resources will be allocated and available at the required times, with sufficient dedication to meet the project's needs and timelines

**Description/Potential Impact:** If resources are not allocated and/or available, the project could face delays in the overall timeline. Quality of the project could be reduced by rushed work, inadequate attention to detail or have an overburdening effect on other key project members.

**Assumption:** All new mandates requiring major change to the Department's licensing and compliance systems and affecting the project will have effective dates or compliance requirement dates coordinated with Project leadership to minimize cost and schedule impacts.

**Description/Potential Impact:** The project may face "scope creep" as new mandates might require changes to the project design and requirements. This could result in an increase in project cost and cause project schedule delays due to additional work needed to comply with unforeseen regulations.

**Constraint:** Procurement and contractual constraints.

**Description/Potential Impact:** The procurement process for acquiring software and/or services often involves strict bidding and contractual requirements that are time-consuming and can cause a lengthy delay for a project to start.

**Constraint:** State to have an identified Product Owner (or other representative) from each Program.

**Description/Potential Impact:** The System Integrator is following a structured sprint agile cadence requiring decisions to be made expeditiously. The team will look to the State to have an identified Product Owner (or other representative) from each Program to participate in the daily sprint meetings and who has the authority to make decisions to support the aggressive nature of the schedule.

**Constraint:** New tools.

**Description/Potential Impact:** The learning curve for the new tools may impact the project schedule.

## 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:** Many other State departments partner with the Department of Cannabis Control for licensing related activities. External agencies include the California Department of Pesticide Regulation, the California Department of Fish and Wildlife, the Department of Water Resources Control Board, the California Air Resources Control Board, and California Department of Food and Agriculture.

**Dependency Description:** The licensing interface requirements are dependent on these departments to have systems in place to support open application processing interfaces in order to receive required information for licensure.

**Dependency Element:** Purchase of a licensing and compliance solution with configuration and implementation services.

**Dependency Description:** To begin implementation of the solution, the successful purchase of the licensing and compliance solution will need to be executed.

**Dependency Element:** Project funding is approved.

**Dependency Description:** To begin the project phase the FY 26/27 Budget Change Proposal must be approved.

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

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

A market research questionnaire (MRQ) was posted on the DCC website via SurveyMonkey for approximately six weeks. The MRQ was designed to gather valuable insights from the vendor community and was structured into three key categories:

1. Company Background

2. Software and Security
3. Requirements and Project Experience

Each category contained a varying number of questions to support our market research efforts. In total, ten responses were received and thoroughly evaluated. Based on the findings, six vendors were invited to provide system demonstrations.

To ensure a structured evaluation, a demonstration script was provided to the vendors, outlining specific functionalities of interest while allowing flexibility for vendors to showcase additional capabilities. The demonstrations took place in the morning, followed by an afternoon session dedicated to questions and answers.

The demonstrations included multiple Salesforce demonstrations, two Accela demonstrations, and one Oracle demonstration. These demonstrations reinforced a cloud-based SaaS as the most viable option for the DCC with multiple software products highlighting key advantages such as ease of configurability, security, and scalability. The sessions provided DCC staff with confirmation that a SaaS solution would best meet the organization's needs.

Contacted several other states who license and regulate cannabis and was able to get in contact with Colorado and Utah. Colorado was in the solicitation building phase and was not able to provide details during that process. Utah stated they were utilizing a SaaS solution for enforcement however, the licensing functionality had not been modernized.

#### 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

See: [2.7.4 Market Research Responses\\_Demo Scripts](#)

## 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:** [SaaS Solution](#)

**Description:** Cloud-based [SaaS solution](#) proposed from system integration vendors through a traditional request for proposal approach.

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

Through in-depth market research efforts, all solutions proposed and demonstrated were software as a service (SaaS) options. SaaS solutions offer several key benefits, such as cost efficiency, scalability, convenience, ease of configurability, and security. SaaS solutions are cloud-based.

Users can access services from anywhere and provide real-time collaboration. A SaaS solution reduces IT infrastructure costs when compared with an on-premise solution. Additionally, SaaS products provide periodic software updates and enterprise-grade security. SaaS solutions provide easy user license scalability, which allows for minimized users during project phase, thus decreasing software licensing costs during some project phases. Furthermore, built-in compliance with government cloud security protocols, regular backups, and high up time achieves necessary system reliability and data security. A SaaS solution will enable project success and focus on continuous improvement and continuous development during future operations for State staff to maintain the solution. This alternative would allow software vendors similar to those that participated in market research (e.g. Oracle, Salesforce, and Accela) to competitively bid to be the DCC system moving forward.

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

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):** The new system will have all business process workflows in one database and provide streamlined document management, validating inputs, case management and enhanced communication for internal and external stakeholders.

### 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: Traditional request for proposal procurement vehicle will help determine viable options for the state to select a SaaS solution in future PAL stages.

**Explain Existing System Interfaces:** See 2.3.2 Licensing System - Context Diagram. This diagram shows current interfaces and narrative to each.

**Explain New System Interfaces:** **TBD**

**Data Center Location of the To-be Solution:** **Other**

If Other, specify: [New solution will be hosted by the solution provider and will be required to be hosted in a FedRamp compliant GovCloud solution, such as Azure or AWS.](#)

## Security

### Access

Public: [Yes](#)

Internal State Staff: [Yes](#)

External State Staff: [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: [Yes](#)

Health: [No](#)

Tax: [Yes](#)

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: [No](#)

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: [\\$7,937,688](#)

One-Time (Project) Costs: [\\$40,098,982](#)

Total Future Ops. IT Staff OE&E Costs: [\\$14,473,446](#)

Total Proposed Cost: [\\$60,510,115](#)

Annual Future Ops. Costs (M&O): [\\$4,857,926](#)

## 2. Viable Alternative Solution #2

**Name:** Accela SaaS Solution

**Description:** Licensing and Compliance Solution used currently by DCC.

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

Accela is currently the licensing and compliance solution used by DCC. Consolidating one of the Accela solutions into the other is a proposed approach provided by two of the vendors who responded to our market research questionnaire. While the current solution poses significant limitations, such as configurability, process improvement enhancements, and reporting, market research indicates this could be a viable alternative. New technologies have emerged for the Accela solution such as an application wizard. This is a connection to the external facing users which assists in express application and complaint submittal functions.

While this may be a viable alternative, the DCC determined that a more effective approach would be to not limit the viable software to an Accela-based solution. This provides a competitive opportunity for other software vendors to bid, including Accela, as described in Alternative #1.

### 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: **Yes**

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

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

Create a new IT system: **No**

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

### Architecture Information

**Business Function(s)/Process(es):** Merge existing workflows into one of the Accela solutions.

#### 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: **Accela**

**Explain Existing System Interfaces:** See 2.3.2 Licensing System - Context Diagram. This diagram shows current interfaces and narrative to each.

**Explain New System Interfaces:** TBD

**Data Center Location of the To-be Solution:** Other

If Other, specify: New solution will be hosted by the solution provide and will be required to be hosted in a FedRamp compliant GovCloud solution, such as Azure or AWS.

## Security

### Access:

Public: Yes

Internal State Staff: Yes

External State Staff: 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: Yes

Health: No

Tax: Yes

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: No

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: \$57,831,675

## 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 2.9.1 CSI 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 Department will provide the following staff for the administrative needs of the project:

**Project Director (PD)** - The Project Director will serve as the overall lead for the project and bring experience in full project lifecycle implementation. The PD is responsible for managing the project from planning and initiation to closing and ensuring alignment with strategic goals. The PD will facilitate the development of project plans, oversee the contractor's performance of project tasks, and communicate with control agencies and stakeholders. The PD will also secure acceptance of deliverables and work order authorizations from the vendor. As the primary decision-maker, the PD is accountable for high-level communication, including status reporting to executive leadership, managing project risks, and escalating issues that cannot be resolved within the project team. The PD provides overall direction and ensures that project objectives are met.

**Project Manager Consultant (PM)** - The Project Manager Consultant will support the PD and will bring experience in managing project implementation across the full project lifecycle. The PM will assist in managing the project from initiation to closing and will work collaboratively with the PD to ensure that the project team completes assigned tasks. The PM is responsible for overseeing the contractor's day-to-day performance of tasks and work products. The PM will monitor project risks related to schedule, cost, and scope, and report these to the PD. The PM also plays a key role in project communication, including preparing status updates, tracking risks and issues, and escalating concerns that cannot be resolved by the project team. The PM focuses on operational execution and coordination to help ensure successful project delivery under the PD's leadership.

**Procurement and Contracts Team (CDT & ITSD)** - The procurement and contracts team will

include CDT and ITSD staff and management. The procurement team will develop the procurement in accordance with CDT and Department guidelines and will facilitate approval. The team will review the solicitation document(s) and submit the final version(s), as appropriate, based on the procurement vehicle being utilized. The procurement team will facilitate the evaluation of supplier proposals/offers and will develop the evaluation and selection report and submit it for procurement documentation and to support contract(s) award. Upon award, the contracts team will participate in procurement and contract meetings, and monitor, analyze, and mitigate procurement-related risks and issues.

## **2. Business Program**

Deputy Director's from each division, Licensing, and Compliance are identified as the Project Sponsors. Each will provide support, clear any roadblocks and communicate project success to internal and external stakeholders. Additionally, they will dedicate SMEs as needed throughout the project.

The SMEs will work with the selected vendor and the PM to implement the solution. The SMEs will be dedicated to the project and will also serve as the system's user acceptance testers and execute testing at the direction of the PM and product owner. The Division will redirect work as needed to allow the SMEs time to facilitate this project. The SMEs will work closely with the Product Owner to clarify functional requirements and business processes as needed during the project phase.

## **3. Information Technology**

The Product Owner (PO) will lead the team with the PM during project development and delivery of functional requirements. The PO will act as the key decision maker on system functionality and priority. The PO will work closely with the PM and vendor team daily through the project phase. The PO will ensure the appropriate SME's are redirected to the project at various times depending on what type of functionality is being developed.

IT Support Team (ITSD) – The IT support will include experts from ITSD that will assist the PM and PD throughout the project and advise on infrastructure and enterprise implementation, as necessary.

## **4. Testing**

Testing of the system will be conducted by the vendor and SMEs predominantly with guidance from IT staff. Under the guidance of the PM and informed by the vendor's expertise, the testers will participate in software requirements meetings to understand the business and functional requirements that the software must meet. They will perform script-based and ad hoc testing based on the test plan and document any issues. Once a given issue is resolved, the testers will re-test and declare it fixed or report it again until the requirement has been successfully tested.

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

Data conversion consultants will be responsible for planning, executing, and assisting in data validation activities during the project. These consultants will work closely with project stakeholders to define data conversion strategies, establish data mapping rules, and oversee the end-to-end completion of the process.

The primary system integrator will provide a dedicated data conversion resource who will focus on the technical aspects of the conversion, including extraction, transformation, and loading (ETL) processes as well as ensuring alignment with system requirements and project timelines.

Additionally, a separate contract will be executed to onboard a data conversion lead to augment the Department's project team. This role will focus on overseeing and collaborating to conduct the technical aspects of extracting the data from the source database systems, including data quality assessments and recommended data cleanup. The data conversion consultant will monitor the entire data conversion effort, ensuring consistency, accuracy, and adherence to best practices. The lead will coordinate between the consultants, system integrator, and internal teams, providing guidance on risk mitigation, issue resolution, and quality assurance.

## **6. Training**

The vendor will work with the PO, SMEs and PM to train program staff on how to utilize the software. This includes initial training as well as ongoing support. The vendor will be required to provide training and knowledge transfer plans to State technical staff, including creating user training guides and manuals.

## **7. Organizational Change Management**

Organizational Change Management (OCM) Consultant(s) will be responsible for providing organizational change management to business users and help facilitate workshops. These OCM Consultants will gather feedback, complete readiness assessments, create an OCM plan and facilitate a smooth transition for staff with every phase of the project.

## **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.

For Stage 3 Solution Development, the procurement staff who will participate in the development of the solicitation and evaluation of responses have participated in multiple State-level project procurements, including those led by CDT staff. The staff will have past samples to draw from, and recent guidance received from CDT to empower their effectiveness in serving in their role.

## 2.10 Project Planning

### 1. Project Management Risk Assessment

Updated Project Management Risk Score: 1.0

**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: Complete

**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 \(Approved\):](#) No

Status: Draft in progress, will be submitted with Stage 3.

[Communication Management Plan \(Approved\):](#) No

Status: Draft in progress, will be submitted with Stage 3.

[Schedule Management Plan \(Approved\) :](#) No

Status: Draft in progress, will be submitted with Stage 3.

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

Status: Draft complete

[Requirements Management Plan \(Approved\):](#) No

Status: Draft in progress, will be submitted with Stage 3.

[Stakeholder Management Plan \(Draft\):](#) No

Status: Draft in progress, will be submitted with Stage 3.

[Governance Plan \(Draft\):](#) No

Status: Draft in progress, will be submitted with Stage 3.

Contract Management Plan (Draft): Yes

Status: Draft complete

Resource Management Plan (Draft): No

Status: Draft in progress, will be submitted with Stage 3.

Change Control Management Plan (Draft): No

Status: Draft in progress, will be submitted with Stage 3.

Risk Management Plan (Draft + Risk Log): No

Status: Draft in progress, will be submitted with Stage 3.

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

Status: Draft in progress, will be submitted with Stage 3.

Cost Management Plan (Approved if planning BCP approved): No

Status: Draft in progress, will be submitted with Stage 3.

#### 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 [2.10.4 Roadmap Planning\\_Project\\_Future Ops](#)

- a) Planning Start Date: [9/1/2024](#)
- b) Estimated Planning End Date: [6/30/2026](#)
- c) Estimated Project Start Date: [7/1/2026](#)
- d) Estimated Project End Date: [12/31/2028](#)

## 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: In Progress

Current environment being reviewed.

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

Will be a contractor deliverable

**3. Data Profiling: Not Started**

Will be a contractor deliverable

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

Will be a contractor deliverable

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

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

**7. Data Dictionaries: Completed**

Existing Licensing Data Dictionaries have been completed. See 2.11.7 CLEaR Data Mapping Views and 2.11.7 CLS Data Mapping Views.

**8. Data Conversion/Migration Requirements: Not Started**

## 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: 7/2/2025

Form Received Date: 7/2/2025

Form Accepted Date: 7/2/2025

Form Status: Completed

Form Status Date: 1/9/2026

Form Disposition: Approved

Form Disposition Date: 1/9/2026