



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:** 0890 - Secretary of State

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:** Notary Automation Project 2.0 (NAP 2.0)

3. **Department of Technology Project Number (0000-000):** 0890-053

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

5. **CDT Billing Case Number:** CS0063225

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

2.2 Submittal Information

1. **Contact Information**

Contact Name: Betsy Bogart

Contact Email: bbogart@sos.ca.gov

Contact Phone: (916) 695 -1197

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 #01 NAP 2.0 19G.1 Project Approval Executive Transmittal.pdf to your email submission.**
4. **Attach #02 NAP 2.0 B.5 STP 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 were noted in the Stage 1 Business Analysis approval letter issued by the CDT.

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 Secretary of State's Office (SOS) comprises the following divisions and programs: State Archives, Elections, Political Reforms, Business Programs, Notaries Public & Authentications, Safe at Home Registry, Advance Health Care Directive Registry, Domestic Partners Registry, and Administration.

SOS is responsible for the appointment of California notaries public and utilizes a legacy notary system to appoint, store, and maintain notary public commission data. In addition, the legacy notary system is used to process authentication/apostille requests, i.e. authentication of public officials' signatures for use outside the United States, in its Sacramento and Los Angeles offices. The Business Programs Division's Notary Public Section is responsible for providing services to over 140,000 active California notaries public and members of the public who interact with notaries public. Staff process notary public applications, appoint notaries public, investigate complaints received against notaries public, enforce notarial law, issue authentications/apostilles of public officials' signatures on documents to be used outside the United States, and approve seal manufacturers.

In addition, with the passage of Senate Bill (SB) 696, Portantino (Chapter 291, Statutes of 2022), SOS must build a new system to account for Remote Online Notaries (RON) Public, the RON Platforms and Storage Vendors. SOS has established the information technology project under this Stage 2 approval request to design, develop and implement the new system as NAP 2.0. The project includes activities necessary to implement statutes related to online notarization required by SB 696. SB 696 will be effective upon SOS certification on its internet website that NAP 2.0 is complete or on January 1, 2030, , whichever is earlier. This is unless the SOS informs the Legislature and the Governor in writing on or before January 1, 2029, that NAP 2.0 will not be completed by January 1, 2030, including a detailed status of the project.

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:

Attachment #03 NAP 2.0 External Stakeholder Register.xlsx

Attachment #04 NAP 2.0 Internal Stakeholder Register.xlsx

Attachment #05 Notary Legacy System Diagram

Attachment #06 NAP 2.0 Problem Analysis

Attachment #07-01 Authentication Request Process

Attachment #07-02 Dishonored Check Process

Attachment #07-03 Duplicate Commission Certificate Process

Attachment #07-04 Duplicate Notary Seal Process

Attachment #07-05 Education Vendor Application Process

Attachment #07-06 Failed to Qualify (FTQ) Application Process

Attachment #07-07 Lost or Stolen Process

Attachment #07-08 Notary Address Change Process

Attachment #07-09 Notary Application Process

Attachment #07-10 Notary Name Change Process

Attachment #07-11 Notary Resignation Process

Attachment #07-12 Positive or Negative Certificate Process

Attachment #07-13 Public Official Oaths Process

Attachment #07-14 Seal Manufacturer Application Process

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 existing legacy notary system is designed using outdated PowerBuilder programming language that has limited support and is currently maintained by contracted support. If the contracted support expires before the NAP 2.0 implementation, SOS has contingency plans to acquire continued services. The capabilities of this system have reached end-of-life. SOS technical environment has progressed toward a cloud-based enterprise of which the legacy system cannot be migrated. Security requirements must also be addressed as the legacy system does not support necessary newer technologies deployed by the SOS enterprise. **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:

Attachment #08 Notary Public Application Procedures 11-4-2015

Attachment #09 Notary Public Authentication Processing Procedures 5-31-2016

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: Shannon Delgado

Data Owner Title: Assistant Chief, BPD Production

Data Owner Business Program area: Business Programs Division

Data Owner Name: Alex Ting

Data Owner Title: Assistant Chief, BPD Automation

Data Owner Business Program area: Business Programs Division

Data Custodian Name: Lee Garvey

Data Custodian Title: Staff Service Manager II

Data Custodian Technical area: Business Programs Division

Data Custodian Name: Sean Iwata

Data Custodian Title: Staff Service Manager I

Data Custodian Technical area: Business Programs Division

Data Custodian Name: Shernee Tousant

Data Custodian Title: Staff Service Manager I

Data Custodian Technical area: Business Programs Division

Data Custodian Name: Ed Lacroix

Data Custodian Title: Information Technology Manager I

Data Custodian Technical area: Information Technology Division

Data Custodian Name: Nick Yu

Data Custodian Title: Information Technology Specialist III

Data Custodian Technical area: Information Technology Division

Data Custodian Name: Tom Rodriguez

Data Custodian Title: Information Technology Supervisor II

Data Custodian Technical area: Information Technology 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: 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.

The SOS has formally established the Data Governance Board as of April 8, 2024. There is a process in place to call the Board members together on an ad hoc basis, if needed, to address any data concerns that arise during project activities.

Attachment #11 NAP 2.0 Data Governance Org Chart

Attachment #12 Notary Glossary of Terms and Definitions

- 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.

Attachment #13 Access Control Policy

Attachment #14 Data Download Policy

Attachment #15 Data 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): No

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

SOS recognizes CDT policies and will work to be compliant.

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.

Attachment #16 NAP 2.0- S2AA 2.3.5 Security Categorization-Impact Table Reference Document-Ver 1.0.xlsx

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: High

Availability: Low

7. Technical Complexity Score: Click or tap here to enter text.

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

Attachment #17 NAP 2.0 Stage 2 Complexity Assessment SIMM_45_Appendix.xlsx

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?).

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.

Attachment #18 NAP 2.0 Midlevel 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: SOS Information Technology Division (ITD) currently has a complex environment with a number of differing technologies. ITD is working to move the Agency to a more standardized technical environment.

Description/Potential Impact:

This may impact the choice of certain solutions.

Assumption: SOS would like to have the ability to support new Agency solutions during Maintenance & Operations using its internal resources without excluding vendor support per service agreement.

Description/Potential Impact: This may exclude a number of available solutions where they are proprietary and if the source code to be available to SOS.

This may impact the selection of certain solutions.

Constraint: None

Description/Potential Impact: Click or tap here to enter text.

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: None

Dependency Description: Click or tap here to enter text.

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.

The project team began performing the Notary Automation Project 2.0 (NAP 2.0) Market Research effort by understanding the various needs of the NAP 2.0 internal and external stakeholders. The NAP 2.0 team met with multiple internal stakeholder groups to confirm their requirements and obtained lessons learned and feedback from other Secretaries of State on their modernization efforts. One of the primary activities the NAP 2.0 team performed was the development of a questionnaire and survey to gather feedback from the vendor community. The NAP 2.0 team analyzed the ecosystem of the current SOS Notary Public system, SOS, and its stakeholders' vision for the replacement system. This analysis established the overall NAP 2.0 Software Vendor Questionnaire.

NAP 2.0 established a Software Vendor Questionnaire outlining the questions to ask the vendor community that would support the goals, objectives, approach, and overall plan for the NAP 2.0 solution. The Market Research Report documents the activities undertaken for performing the NAP 2.0 Market Research and findings from this research to support alternatives and options analysis for the replacement system implementation. The market research and alternatives analysis results will also be used to consider feasible options, estimate costs, and timeline schedule, related to system acquisition and implementation for a proposed NAP 2.0 solution.

The results of the NAP 2.0 Software Vendor Questionnaire showed that of the six companies responding all had technical solutions to offer that could meet the needs of SOS.

Of the six respondents, the preponderance offers a Commercial Off-the-Shelf (COTS), Modified Off-the-shelf (MOTS), or Low-Code-No-Code (LCNC) solutions (five of six) with the last of the six offering a Custom Build. All solutions discussed in the market research are cloud based and will be SaaS. The recent passing of Remote Online Notarization (SB 696) stipulates various requirements that make solutions other than COTS/MOTS/LCNC or Custom Build non-viable.

The NAP 2.0 project team gathered information from all research activities and developed results and observations. Overall, from the various market research activities, the following high level key findings have emerged:

- For the NAP 2.0 solution needs, potential COTS/MOTS/LCNC products or solutions exist that meet many of SOS' and its internal and external stakeholders' Notary Automation Project needs and requirements.
- No applications exist within the State of California or in California Counties and Cities, that meet all the NAP 2.0 solution needs.
- Several solutions exist across the nation and potentially internationally that meet individual jurisdiction Notary needs since they share similar processes. However, individual states and governments have differing requirements.
- Many government entities, states with complex needs and large populations, including the federal government, choose to develop custom solutions to meet their needs.
- NAP 2.0 comparable solutions typically take between 12 to 48 months. This time range is dependent upon the State's requirements and specified processes and procedures for full implementation once the solution is purchased and the vendor is on board.
- Almost all solutions are cloud based with a configurable interface to enter file notary data.
- One of the six responding vendors responded with custom development.
- Two of the six responding vendors indicated that they would configure the systems using an agile approach.
- Five of the six responding vendors responded with COTS/MOTS/LCNC solutions.
- Almost all large government entity solutions have an application programming interface (API) for third party application providers to enter data in acceptable and state published formats.
- All existing solution providers offer Software as a Service (SaaS).
- All solutions and implementations have a stated period of maintenance and operation.
- Ease of data reporting to the public and entry of data into the system was considered a key feature during the design and development of the system.
- When used, Electronic Payments can be integrated with the state's payment systems.
- Custom solution provides an option that SOS would own the solution developed.

See NAP 2.0 Market Research Report for additional details on the approach, analysis, estimate cost, and timelines.

4. Market Research Artifacts

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

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/MOTS/LCNC

Description:

In this alternative, SOS would engage an external prime contractor to install, configure, develop or modify, and test a cloud solution with COTS/MOTS/LCNC components to develop a NAP 2.0 solution to meet the NAP 2.0 requirements more efficiently; improve data quality; automate existing paper processes; expand public access to data; allow for system modifications and improvements to respond to statutory and regulatory changes (SB 696); allow other system modifications to improve efficiency and public access to data; and improve security of confidential personal identifying information.

In addition, the solution ownership and licensing come into play when considering COTS/MOTS/LCNC as opposed to Custom Development, in which SOS owns the core solution. It is anticipated some form of development and customization would need to be performed on a COTS/MOTS/LCNC solution to meet the NAP 2.0 requirements. The degree to which a COTS/MOTS/LCNC solution would require customization versus configuration varies by vendor solution. The ownership of the customization solution would need to be considered during the development of the solicitation.

The prime vendor's team would develop the NAP 2.0 solution by modifying COTS/MOTS/LCNC system components, functions, or software accelerators for the NAP 2.0 solution development. In this alternative, the prime vendor could implement a COTS/MOTS/LCNC application, with the necessary configuration changes running in a Cloud infrastructure within the SOS enterprise architecture design, meeting all required security regulations and policies.

Core COTS/MOTS/LCNC software would be licensed to SOS via a subscription.

Why is this a viable solution? Please explain:

Over 80% of respondents in the NAP 2.0 informal market research responses proposed using COTS/MOTS/LCNC solution components and other types of accelerators. This approach would allow the prime vendor to meet complex system requirements by leveraging existing system components or accelerators for development and deployment. Many of the respondents provide system development by utilizing accelerators such as tools to provide the NAP 2.0 solution. This alternative solution works for California, offering the following:

- A solution modified to fit NAP 2.0 needs, meeting many of SOS business requirements.
- COTS/MOTS/LCNC development tools potentially allow less experienced developers to build and test applications more quickly.
- Potentially less time to deliver a solution.
- Potentially lower development costs.
- Rapid application development from the re-use of existing software components or libraries used in other states.

Respondents have expertise and knowledge of Notary business processes, terminology, and implementation experience in other government locations.

- No existing solution meets 100% of SOS needs and NAP 2.0 requirements. Hence a pure COTS for NAP 2.0 system does not exist and would be offered as a COTS/MOTS/LCNC alternative.
- Application accelerators shorten the development and deployment lifecycle.
- Modifying the existing legacy system was not feasible and did not allow for new business process automation without a complete system redevelopment effort and technology migration.
- COTS/MOTS/LCNC solutions were observed to be largely used across various States and International Governments.
- The estimated implementation cost and timeframe were less for COTS/MOTS/LCNC alternatives than a Custom Development alternative.

This approach would allow the prime vendor to leverage existing off the shelf products and modify them to meet the SOS needs and NAP 2.0 requirements.

Attachment #40a – NAP 2.0 Alt1 Timeline provides an estimated timeline for this alternative.

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: Yes

Please Specify: With the passage of SB 696 - Remote Online Notarization, new regulations will be needed to fully implement the Remote Online Notarization Program.

Create a new IT system: Yes

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

Architecture Information

Business Function(s)/Process(es): The NAP 2.0 solution must allow the Secretary of State's Notary Public Section to manage notaries public data more efficiently; move away from manual

paper based processing; improve data quality; expand public access to data; allow for solution modifications and improvements to respond to statutory and regulatory changes; allow for third party integrations; allow other solution modifications to improve efficiency and public access to data; and streamline the ability of the SOS, the counties, and the notary public to fulfill mandated duties. The NAP 2.0 solution must include, the features and capabilities described below:

Secure Database for Notary Public and Apostille Data

The solution must include a database of sufficient capacity and performance to support records for over 145,800 active notaries public well as the oaths of office and all historical data for past notaries public. The solution must include a database of sufficient capacity and performance to support 330,000 apostille (authentication of public officials' signatures) requests received and processed each year. The solution design must be scalable to accommodate an annual growth rate of 10% active notaries public and apostille requests. The solution must be flexible enough to accommodate new data elements for notaries public and apostilles, new/changing reporting requirements, and contain configurable data retention policies.

Public Facing Website

The solution must provide a public facing website that supports, at a minimum, the following features:

- The solution must include an online application/functionality to allow new users to establish and maintain accounts for accessing the system without the intervention of Notary staff.
- The solution must be able to integrate with the state's credit card payment system for processing online transactions and generate itemized receipts in printable and digital formats.
- The solution must provide the ability for notary public applicants to apply for commissions online.
- The solution must provide the ability for notaries public to manage their commissions online.
- The solution must be able to capture user/business information (ex. first/middle/last name, suffix, business name, address, email, phone number) while processing all online submission types.
- The solution must provide the ability for users to perform searches on publicly available Notary data.
- The solution must provide the ability to submit and track online orders.
- The solution must provide the ability to verify certificates.
- The solution must allow users to edit data or attachments prior to submission.
- The solution must present terms of use agreement prior to the start of any of the online submission.
- The Solution must provide Remote Online Notarization (RON) functions including the following:
 - Registration and public search of notaries who are RON authorized.

- Registration and search of approved RON supporting vendors including:
 - RON education.
 - RON platforms.
 - RON record depositories.
- The solution must provide a mechanism for public users to track submissions and compliance appeals.
- The solution must provide the ability to redact confidential and personal identifying information.

Internal Facing Website

The solution must provide an internally facing website that supports, at a minimum, the following features:

- The solution must include an online application/functionality allowing SOS staff to establish and maintain accounts for accessing the system without manual intervention.
- The solution must include account management features that allow for account maintenance, permissions, user roles, and account administration.
- The solution must provide the ability for authorized SOS staff to manage and configure system functionality and workflows.
- The solution must provide the ability for authorized SOS users to scan/upload data/images and maintain that data according to SOS policies.
- The solution must provide robust internal search functionality that allows reporting and searching for all available data elements within the system.
- The solution must allow authorized SOS users to configure, maintain, process, and track all submission types.
- The solution must provide the ability to manage commissions based on configured rules.
- The solution must provide functionality for authorized SOS users to manage and print certified copies.
- The solution must log all actions taken by all users.
- The solution must provide configurable dashboard functionality for authorized SOS users to manage, generate, and publish reports.
- The solution must provide the ability for authorized SOS users to define workflows and maintain the work queues for all submissions.

Application Programming Interfaces (APIs)

The solution must provide the following APIs at a minimum:

- Provide the ability to receive DOJ background check (Live Scan) results through an Application Programming Interface (API).
- Provide the ability to receive Department of Child Support Services (DCSS) payment information through an API.

Third-Party Systems

The solution must have the functionality to support such uploads in a Java Script Object Notation (JSON) or similar modern open-source interchange format to be established with the existing user community. In addition, the solution must have the functionality to validate all incoming Notary Public Commissions and Apostilles and provide the user with immediate notice of any validation errors. The solution must have the functionality to include an environment and process for testing and evaluating the compatibility of all data provided by a third-party system with the established formats. The solution must interface with the following SOS managed services to meet SOS' information security, maintainability, and compliance standards including, but not limited to, the following third-party systems:

- Web Application Firewall (WAF) Service
- Email Service
- Identity Management Service
- Payment Service
- Logging Service
- Business Intelligence and Reporting Service

Other SOS Functions

The solution must have the functionality to configure and assess fees and fines related to notary public compliance issues. The solution must include functionality to report and track fine/fee assessments/payments received at SOS. The solution must provide functionality that allows authorized SOS users to configure data retention rules and purging schedules. The solution must include functionality to perform data migration from the existing Notary application. The solution must include a tool to manage Filing Office Statement (FOS). The solution should have the capability to integrate with the SOS chatbot.

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

Attachment #20a NAP 2.0 Alt 1 Project System Components – Conceptual Architecture

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

Name/Primary Technology: COTS/MOTS / Cloud Hosted

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:

1. CPS HR Consulting (CPS HR) – Notary staff access the CPS HR portal and manually download the applicants' exam information and load the data into the Notary system for processing.
2. Department of Justice (DOJ) – SOS uses Axway to securely extract data from DOJ's FTP

server. Another daily SQL Server Integration Service (SSIS) job will pick up the extracted file and save it into the DOJ Live Scan application database. Notary staff login to the internal DOJ Live Scan intranet application and process the file. Entries in the file that pass data validation will automatically insert into the Notary system (Oracle database). Any entry that has missing information or does not pass data validation will be reviewed by Notary staff with the option to insert into the Notary system.

3. Department of Child Support Service (DCSS) – DCSS places two files (DCSS Revocations and DSS Suspensions) on the 3rd Saturday of every month on the mainframe server. SOS uses Axway to pick up the files and SOS DBA uses Oracle SQL Loader to import the files into the Notary system.

Explain New System Interfaces:

1. CPS HR Consulting (CPS HR) – Automate the current interface Notary staff accessing the CPS HR portal. Currently, Notary staff manually download the applicants' exam information and load the data into the NAP 2.0 system to process.

2. Department of Justice (DOJ) – Automate the current interface processing currently performed in NAP. Currently, SOS uses Axway to securely extract data from DOJ's FTP server. Another daily SQL Server Integration Service (SSIS) job will pick up the extracted file and save it into the SOS application database to process the DOJ Live Scan. Notary staff login to the SOS internal DOJ Live Scan intranet application and process the file. Entries in the file that pass data validation will automatically be inserted into the Notary system (Oracle database). Any entry that has missing information or does not pass data validation will be reviewed by Notary staff with the option to insert it into the Notary system.

3. Department of Child Support Service (DCSS) – Automate the current processes via an interface to collect DCSS Revocation and DSS Suspensions information. Currently, DCSS places two files (DCSS Revocations and DSS Suspensions) on the 3rd Saturday of every month on the mainframe server. SOS uses Axway to pick up the file and SOS DBA uses Oracle SQL Loader to import the file into the Notary system.

4. SOS' Payment Processing Gateway – Electronic Payments will be integrated with the State's contracted payment processing vendors solution.

5. Remote Online Notary (RON) – This interface will integrate with the RON Depository Vendor and RON Platform Vendor for applications, notifications, and registrations.

Data Center Location of the To-be Solution: Other

If Other, specify: Cloud

Security

Access

Public: Yes

Internal State Staff: Yes

External State Staff: Yes

Other: Yes Specify: CPS HR and State Payment Processing Vendor

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: Yes Specify: Secretary of State's Safe at Home Program; Department of Child Support Services (DCSS) **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: \$11,347,193

One-Time (Project) Costs: \$34,449,555

Total Future Ops. IT Staff OE&E Costs: \$12,493,302

Total Proposed Cost: \$58,290,050

Annual Future Ops. Costs (M&O): \$8,182,786

2. Viable Alternative Solution #2

Name: Contracted Custom Development

Description:

In this alternative, SOS would engage an external prime vendor to design, develop, configure, and test a cloud data driven NAP 2.0 solution to meet the NAP 2.0 requirements to improve data

quality; automate existing paper processes; expand public access to data; allow for system modifications and improvements to respond to statutory and regulatory changes (SB 696); allow other system modifications to improve efficiency and public access to data; and improve the security of confidential personal identifying information.

In this alternative, the prime vendor would develop an application running in a Cloud infrastructure within the SOS enterprise architecture design meeting all required security regulations and policies.

Why is this a viable solution? Please explain:

NAP 2.0 performed information market research with contractors in the marketplace. Responses received from the software vendor community reflected that less than 20% of the respondents proposed a custom development model and/or identified themselves as being custom solution development providers.

This alternative approach provides the desired result for California, potentially offering the following:

- Custom developed system meeting the required system complexity
- Ability to choose solution architecture, design, technology stack and implementation platform
- Availability of resources knowledgeable in the chosen technology
- Ownership of the system and intellectual rights to the solution source code
- Development delivered incrementally
- Solution explicitly built to SOS' needs and requirements
- Ability for SOS to control and manage the priority of all future enhancements

This approach would allow the prime contractor to develop a custom-built solution that meets the NAP 2.0 replacement system requirements.

Attachment #40b – NAP 2.0 Alt2 Timeline provides an estimated timeline for this alternative.

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

Architecture Information

Business Function(s)/Process(es): The Business Function / Processes for this alternative are the same as Alternative 1 above.

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

Attachment #20b NAP 2.0 Alt 2 Project System Components - Conceptual Architecture

COTS/SaaS/Cloud Technology or Custom: Custom

Name/Primary Technology: Custom Build / Cloud hosted

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:

1. CPS HR Consulting (CPS HR) – Notary staff access the CPS HR portal and manually download the applicants' exam information and load the data into the Notary system to process.
2. Department of Justice (DOJ) – SOS uses Axway to securely extract data from DOJ's FTP server. Another daily SQL Server Integration Service (SSIS) job will pick up the extracted file and save it into the DOJ Live Scan application database. Notary staff login to the internal DOJ Live Scan intranet application and process the file. Entries in the file that pass data validation will automatically insert into the Notary system (Oracle database). Any entry that has missing information or does not pass data validation will be reviewed by Notary staff with the option to insert into the Notary system.
3. Department of Child Support Service (DCSS) – DCSS places two files (DCSS Revocations and DSS Suspensions) on the 3rd Saturday of every month on the mainframe server. SOS uses Axway to pick up the file and SOS DBA uses Oracle SQL Loader to import the file into the Notary system.

Explain New System Interfaces: Due to constraints by external departments the new system will use the same methods to interface data transfers.

1. CPS HR Consulting (CPS HR) – Automate the current interface Notary staff accessing the CPS HR portal. Currently, Notary staff manually download the applicants' exam information and load the data into the NAP 2.0 system to process.
2. Department of Justice (DOJ) – Automate the current interface processing currently performed in NAP. Currently, SOS uses Axway to securely extract data from DOJ's FTP server. Another daily SQL Server Integration Service (SSIS) job will pick up the extracted file and save it into the SOS application database to process the DOJ Live Scan. Notary staff login to the SOS internal DOJ Live Scan intranet application and process the file. Entries in the file that pass data validation will automatically be inserted into the Notary system (Oracle database). Any entry that has missing information or does not pass data validation will be reviewed by Notary staff with the option to insert it into the Notary system.

3. Department of Child Support Service (DCSS) – Automate the current processes via an interface to collect DCSS Revocation and DSS Suspensions information. Currently, DCSS places two files (DCSS Revocations and DSS Suspensions) on the 3rd Saturday of every month on the mainframe server. SOS uses Axway to pick up the file and SOS DBA uses Oracle SQL Loader to import the file into the Notary system.
4. SOS' Payment Processing Gateway – Electronic Payments will be integrated with the State's contracted payment processing vendor's solution.
5. Remote Online Notary (RON) – This interface will integrate with the RON Depository Vendor and RON Platform Vendor for applications, notifications, and registrations.

Data Center Location of the To-be Solution: Other

If Other, specify: Cloud

Security

Access:

Public: Yes

Internal State Staff: Yes

External State Staff: Yes

Other: Yes Specify: CPS HR and State Payment Processing Vendor

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: Yes Specify: Secretary of State's Safe at Home Program; Department of Child Support Services (DCSS)

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: \$72,289,731

3. Viable Alternative Solution #3

Name: With permission of CDT, SOS will not be submitting a Viable Alternative Solution #3.

Description: SOS has conducted informal market research inquiries involving 6 companies currently offering technical solutions meeting the needs of SOS. Of the 6 respondents, the preponderance offers a COTS/MOTS/LCNC solution (5 of 6) with the last of the six offering a Custom Build. All solutions discussed in the market research are cloud based and will be SaaS. The recent passing of SB 696 stipulates various requirements that make solutions other than COTS-MOTS or Custom Build non-viable.

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.

Attachment #21 NAP 2.0 Project Team 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.

a. Administrative

Executive Leadership – Executive Leadership on the project will be provided by the Deputy Secretary of State – Chief Operations Officer (COO) and the Deputy Secretary of State (Deputy SOS). The COO and the Deputy SOS will serve as the Executive Sponsors of the project. One of the Executive Sponsors will chair the Executive Steering Committee (ESC), and the other will be the backup chair. The Executive Sponsors have management responsibility for the primary business program(s) affected by this proposal as well as for information technology. The Executive Sponsors will provide resources and strategic direction with an enterprise view and will be expected to resolve/mediate issues that cannot be handled at lower levels in the project team. If necessary, the Secretary of State will be engaged to provide guidance and decision making on matters of high risk and sensitivity to the SOS organization.

Previous large information technology (IT) projects at the SOS have also employed an ESC composed of executive leadership, affected business area representatives, IT representatives, Management Services, Fiscal Affairs, Legal Affairs and PMO. NAP 2.0 will also utilize this ESC model as an additional means of communication, decision-making, and priority setting. The ESC will meet regularly over the course of the planning and execution phases of the project. The Project Charter, the Governance Plan, the Communications and Stakeholder Engagement Plan, and other associated project planning documents will specifically describe the expectations and commitment for the ESC, and the other leadership roles in the project.

NAP 2.0 will leverage both the SOS Contract Services Unit of the Management Services Division and the CDT's Statewide Technology Procurement (STP) unit to provide guidance and assistance during the prime contractor procurement phase and other ancillary procurements (e.g., IV&V services, Project Management Support services, etc.). Both the Contract Services Unit and the STP have experienced contract staff who specialize in IT contractor contracting and procurement. Both teams have supported the development and execution of Request for Proposals (RFPs), as well as other solicitation documents, and composed the resulting contracts for many the SOS' IT projects, including four large system integration projects of similar size and complexity. The planned NAP 2.0 procurement and implementation schedule anticipates the current and planned allocation of these key resources across the various functions they perform within the agency. Key NAP 2.0 activities and deliverables are planned so as not to conflict with planned implementation of other significant projects being undertaken by the SOS. NAP 2.0 includes a resource management plan that will address future conflicts should they occur.

The Budget Section of the Fiscal Affairs Division (FAD) provides the guidance and assistance needed for the cost management of the NAP 2.0 project. FAD reviews all artifacts of the cost management process such as, Financial Analysis Worksheet (FAW), Budget Change Concept (BCC), Budget Change Proposal (BCP), and others. They also serve as the contact person for the project team to the Department of Finance.

Other key internal and external stakeholders will be kept informed through regular communication and outreach that is detailed in the Project Charter and Communication and Stakeholder Engagement Plan during the duration of the project.

b. Business Program

The overwhelming majority of the existing (redirected) business staff effort necessary to complete this project will come from BPD. BPD is the sole business unit responsible for processing, maintaining, and appointing of California notaries public. BPD and Legal Affairs Unit are responsible for investigation, discipline, and enforcement of California notaries public and applicants.

The primary business area will be represented at the senior level by the BPD Division Chief. This person shall also serve on the ESC. The BPD Division Chief is the project sponsor and is ultimately responsible for business functionality of the solution. As such, the BPD Division Chief will be responsible for providing the necessary subject matter experts to develop and validate business requirements that will result in an acceptable solution. The current BPD Division Chief, Betsy Bogart, comes in with significant experience in successfully implementing statewide business/technology efforts that involved real changes in the way diverse groups of stakeholders performed their functions, including the recent successful implementation of California Business Connect (CBC).

The midlevel of business area management will be represented by three BPD Assistant Division Chiefs. These Assistant Division Chiefs will be responsible for the day-to-day guidance of the BPD team during the procurement and execution phases of the project.

The Assistant Division Chiefs will have primary responsibility for allocating BPD resources to meet the needs of the project while maintaining BPD's services to the public.

To the extent that the chosen solution will accept online fine and fee payments, it will be necessary to involve select staff from the SOS Fiscal Affairs, Legal Affairs, ITD and the Information Security Officer (ISO) to validate payment formats and security protocols.

Management from both the SOS Fiscal Affairs, Legal Affairs, ITD and the ISO have been involved in the development of this proposal and are aware that there will be some need for involvement of staff for specific tasks during project execution, primarily during requirements gathering and testing. In addition, the SOS currently has a semi-monthly Sponsor meeting that also includes a representative from the SOS executive office. Through this forum, agency priorities can be continually evaluated, and resource allocation decisions can be made. This project is regularly reported on during the Division Chiefs meeting.

The project has requested temporary help to fill behind those staff redirected from existing duties to the project. The temporary help will assist in maintaining on-going operations.

3. Information Technology

The planning for a new solution procurement and the subsequent support of the implementation and maintenance of a new system requires a team of highly skilled technical staff with expertise in several IT domains. Regardless of the platform chosen, the technical team will be required to interact with the legacy system's infrastructure and data as well as review and provide IT-related feedback on all proposed solution alternatives. The technical team will also be a critical partner who will assist the planning contractor with the technical aspects of the solicitation document development, and the team will also provide its expertise during the contractor bid evaluation activities. Once the prime contractor is onboard, the technical team will work closely with the System Integrator and NAP 2.0 team on a myriad of activities related to the technical design, development, and implementation of the system.

The senior level of IT management will be represented by the Chief Information Officer (CIO), who is a member of the ESC. The CIO will ultimately be responsible for providing sufficient in-house technical resources to achieve the project objectives as well as for managing any contract staff serving in a technical capacity.

The second level of IT management will consist of the Chief Technology Officer/Deputy CIO. This level of management and team of IT staff will provide input into all planning activities from an IT perspective, including documentation developed during each PAL stage. This Chief Technology Officer/Deputy CIO will also be responsible for the tactical allocation of resources and technical aspects of the project during the execution phases. This team includes a NAP 2.0 IT Solutions Manager who will manage resource coordination, scheduling, and oversight of NAP 2.0 for ITD resources dedicated to the project and the integration with other IT operations.

The project's approach to IT staff for planning and execution support also includes staff who will provide expertise in several technical areas required by this project:

- IT Policy Administrator - IT Specialist I
- IT Policy Standards - IT Specialist II
- IT Risk Practitioner - IT Specialist II
- IT Security Auditor - IT Specialist II
- IT Supervisor II
- Developer – IT Specialist II
- (3) Developer - IT Specialist I
- (2) Network Engineer - IT Specialist II
- Cloud Engineer - IT Specialist II
- Cloud Administrator - IT Specialist I
- ITD Specialist III
- ITD Specialist II (PMO)

ITD will continue to support legacy operations and maintenance through already secured vendor contract support. Any system and security issues will follow the general scope of Information technology Division with existing staff.

4. Quality Assurance and Validation

All throughout the Quality Assurance and Validation Process, SOS will be overseeing the process end-to-end. Data Cleansing Consultants and requirements Management Consultants will be hired to lead and perform the necessary tasks. However, there will be SOS technical staff available for support and guidance.

Unit Validation

When applicable, the prime contractor will create formal unit test scripts that will be used to execute tests for customized processes and record the test results. Any problems encountered will be tracked through the system defect process, so that defects, corrections, and subsequent retesting will be tracked.

System Validation Phase

The prime contractor will conduct system validation which will be subject to a formal System Test Plan, which will control all phases of the system test such as testing administered by small, medium, and large reporting/data requests and load testing to reflect the expected number of end users. All test results will be formally validated and documented. All problems encountered will be documented and processed through the system problem correction process. After problems areas are resolved and successfully unit tested, the prime contractor will conduct system regression testing to ensure the problem has been fully corrected in the larger systemwide context.

Integration Validation Phase

The prime contractor will validate integration through a formal Integration Test Plan. The integration testing will be executed to ensure that all the components of the solution work together as required, including external interface partner testing. All test results will be formally documented, and any problems will be documented and forwarded through the system problem correction process. After problems are corrected and successfully unit tested, system regression testing will be done to ensure the problem has been corrected in the application environment context.

User Acceptance Testing Phase

The SOS will conduct User Acceptance Testing, which is the final phase of solution testing prior to go live. A formal User Acceptance Test Plan will be developed, which will include end-to-end solution functionality testing based on formal UAT test scripts, which will also include external interface partner testing, security testing, performance testing, and ADA compliance testing. The User Acceptance Test Plan will describe the scope, test scripts, and processes and expected results of the user acceptance testing. All test results will be formally documented in a User Acceptance Test Report. The information within this report will be used as part of the project's "go/no go" criteria. The purpose of the "go/no go" criteria is to indicate whether the system is ready for implementation.

As problems are encountered and corrected, the new software version(s) will be subject to the testing described above, including user acceptance testing by the SOS' subject matter expert team comprised of both business and IT Staff.

5. Data Conversion/Migration

NAP 2.0 activities will include not only a robust data conversion and migration component but also a thorough data cleansing and validation effort in preparation for the data conversion and migration activities.

Per lessons learned from past projects and the CDT's recommendations, the need to clean and prepare the Legacy Notary data prior to implementation of a new system has been identified. The SOS has put together a Data Analytics team to work on complex application data, identify challenges and develop solutions, and bring technical expertise to ensure the quality and accuracy of Legacy Notary data. Major tasks planned as part of the data analytics effort include the following items:

- work on query development and optimization;
- analysis of data and formulation of methods for new or revised data processing systems;
- data research and analysis to respond to public inquiries;
- development of a reconciliation and verification strategy to ensure data integrity;
- data research and analysis to respond to public inquiries;
- development of data diagrams, data inventory, and long-term data analytics support to provide data transparency for various enterprise applications.

The work focused on creating, processing, designing, and presenting data will assist the NAP 2.0 team make informed decisions and implement the vision of the new system architecture.

During the planning phase, data cleansing will begin by SOS redirected staff in profiling the existing environment and identify the structures, data fields, and business rules. From this, a data quality assessment will be performed to identify the level of work needed for data cleansing. Additionally, the data dictionary will be built/modified to be used as the roadmap for data conversion and migration.

SOS staff has begun data cleansing activities since August 23, 2024, and is performing as much pre-work as possible. This includes the establishment of necessary data environments to store cleaned data that will also be used by the legacy system once cleansing activities are completed. To ensure the validity and integrity of data is achieved, an independent data cleansing contractor will be utilized. The data cleansing contractor will review all work conducted by SOS and provide any further activities that need to be accomplished. The data cleansing contractor will remain with the project and work with the System Integrator, along with SOS staff, through data migration and the cutover to the new solution. The projected start date of the Data Cleansing Consultant is in June 2024.

The System Integrator will both assess the current and future data models and develop a formal Data Conversion and Migration Plan. The System Integrator will then be responsible for executing the entire data conversion and migration effort and work with the data cleansing contractor brought into the project for data cleansing. The ITD team and the BPD business SMEs will provide support for this effort by assisting both the System Integrator and the data cleansing contractor with understanding the data and the developing and testing of data conversion and migration rules.

The project has planned its resources to ensure the necessary legacy data experts (both BPD and ITD staff) are available during the appropriate project phases to assist with the cleansing, conversion, and migration of data to the new solution.

6. Training

The SOS and specifically Business Programs Division's (BPD) CBC project successfully and modernized the way California does business with the SOS. Benefits of the new system include electronic processing of Business Entity (BE) filings and Uniform Commercial Code (UCC) filings with automated crosschecking and data validation. The automation of these processes has allowed the Secretary of State to maintain and improve on the agency's goal of five business day turnaround for business filings. The new online system also provides an automated means for the agency to preserve and manage the vital business records of the State. This project included monthly external stakeholder meetings, meetings with other state agencies with which electronic data is now exchanged, and training programs for both internal and external users of the new system.

SOS will be requiring the prime contractor to provide a plan for training and user guides to a

designated number of SOS staff, both BPD and ITD, and other selected application users. Training will be provided at a location within California, preferably within the greater Sacramento area and Los Angeles area for our Los Angeles staff or possibly through virtual/remote training to be determined at a later date.

SOS anticipates conducting additional education for customers and stakeholders once the system is implemented and shall require the prime contractor to provide training sessions and detailed user guides for the public.

Most if not all the current filing processes are expected to change when the new system is implemented. As the new system is anticipated to be almost completely online, the processing of paper streams will be minimized to the greatest extent possible. The business process for BPD staff will then change from a matching and reviewing effort to one that uses system generated exception reports to identify filings that need staff attention. Some automation of the correspondence is also expected, though staff likely will have a manual correspondence process for exceptions. Upfront system data validation should reduce the error rate and keep exceptions to a minimum. From the external users' side, internal processes may need to change depending on the interfaces selected to submit filings electronically. The project's prime contractor's contract and Organization Change Management's (OCM) contract will, by necessity, include a substantial education and outreach component to meet the needs of both external and internal users.

7. Organizational Change Management

The SOS is planning to procure an OCM consultant to assist Secretary of State with OCM activities. This is imperative with the inclusion of SB 696 into the NAP project.

It is expected that the OCM consultant will work with the project team, the leadership of both BPD, ITD and other SOS areas as well as the Executive Team, when applicable, to identify all business changes and customer impacts resulting from this project's execution.

OCM efforts and OCM contract deliverables will, by necessity, include a substantial education and outreach component to meet the needs of both external and internal users.

Project success is partially dependent on clear, accurate, timely, and appropriate information communicated in an effective and professional manner. The Communication and Stakeholder Engagement Plan incorporates communication best practices and methods and aligns with recommendations outlined in Project Management Institute's Project Management Body of Knowledge (PMBOK), Prosci's ADKAR OCM framework; California Department of Technology's California Project Management Framework (CA-PMF) and California Change Management Framework (CA-CMF) guidelines. The Plan also incorporates lessons learned and input from CBC project stakeholders and the experience and expertise of CBC project team members and SOS staff.

A principled approach to communicating and implementing change fosters openness and trust which ultimately improves the project's chances of success. The approach, methodology, and methods used will build Awareness, Desire, Knowledge, and Ability and Reinforce continued adoption of the project and planned changes. (*Reference: Prosci's ADKAR model/framework*)

Awareness (of the project goals/objectives, timeline, progress/status, actions/activities, and decisions)

Desire to support the project and related changes, engage in meetings and activities, and take actions needed.

Knowledge (of the system look, use, and benefits; and changes to policy, procedures, processes, organizational structure, and technology)

Ability (to use the new system, business processes, protocols, and technology)

Reinforcement (feedback on actions taken during the project and reinforcement messages that convey the level of adoption and realization of desired outcomes, changes, and benefits)

The OCM consultants will possess extensive experience in applying communications and stakeholder engagement best practices on similar State of California and other technology, process, and other business transformation projects. The OCM consultants will review the SOS Communication and Stakeholder Engagement Plan and stakeholder engagement and communications activities.

The consultants will work with the SOS Training and Outreach Team (TOT) to support stakeholder communications activities. The change manager is expected to play a key role in ensuring change initiatives meet objectives by increasing employee adoption and usage. This person will focus on the people side of change, including business processes, systems and technology, job roles and organizational structure. These activities are essential to ensuring the implementation efforts will sufficiently cover the business needs of the program, as well as properly communicate the transition between the “As-Is” and “To-Be” states.

The consultants will develop and maintain the OCM Plan and ensure that it is followed and approved by the Project Director. The OCM Plan will provide strategies for managing the impact of change during the implementation of the new system. This resource will report to the Project Director and will work with the Business Analyst(s) and BPD Staff to organize and manage change management activities throughout the project. They will advise designated SOS Project team members on OCM issues that arise during the project and provide an ongoing assessment of the OCM approach, communication, deliverables, and work products, etc. to help ensure that OCM activities are designed and executed in a manner that meets the SOS’ requirements and is consistent with the OCM Plan. These assessments will include appropriate findings and recommendations.

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.

Below are identified the experience level and quantity of procurement, contract management and budget staff who will support all activities associated with the Stage 3 Solution Development (S3SD).

Business, Technical, and Procurement Staff

NAP 2.0 will be leveraging the expertise of key staff from the SOS, BPD, MSD-Contract Services and ITD to provide guidance and feedback on the procurement support services contractor's effort to develop the prime contractor solicitation document.

Information Technology Development

The ITD team has many years of experience in supporting the legacy system. Additionally, the ITD team has years of experience supporting all aspects of other SOS IT projects, such as the CBC Project and VoteCal Project. The team has expertise in the legacy Notary system's technical architecture as well as a detailed understanding of the legacy data and the steps needed to prepare it for conversion and migration to the new solution. The additional staff being requested are needed because the Notary system will be moving from an archaic legacy, on premises environment to a modernized cloud-based enterprise approach which takes on a whole new set of complexity and support.

Business Programs Division

As described above SOS BPD brings an experienced program team to the analysis and planning of this project. BPD key management team have had prior experience in the development of business cases, requirements development, and assistance with the solicitation document review with the CBC Project. The BPD subject matter expert team are knowledgeable of the various types of system users and their business needs. They also understand the legacy data and can support the ITD, data cleansing contractor and prime contractor to ensure it is accurately mapped to the new solution prior to conversion and migration.

Management Services Division

The SOS' Management Services Division (MSD-Contract Services) will facilitate all ancillary procurements needed during project planning and execution phases and will also assist the STP with review and finalizations of the prime contractor solicitation document and bidder evaluation materials. The MSD-Contracts Services includes an experienced procurement team to assist the Stage 3 activities, including:

- Shannon Kauffman, who has more than 21 years' experience in the procurement field, and
- Raquelle Lassetter, who has more than 16 years' experience in the procurement field.

The MSD-Contracts Services procurement team has many years of experience with prior projects' IT solution solicitation efforts, and they are experienced using various procurement approaches. Additionally, the MSD-Contracts Services has years of experience working with the STP using its prime contractor solicitation documents and are familiar with protest types and use of Public Contract Code (PCC) 6611.

Procurement Planning Support Contractor

To assist with all aspects of the prime contractor acquisition, the project has obtained a procurement planning support contractor. The procurement support services contractor's tasks and deliverables not only include the S2AA's mid-level requirements and market research/alternatives analysis activities, but also development of both draft and final versions of the prime contractor solicitation document, including development of an Evaluation and Scoring Document.

Contract Management & Deliverable Management

The key staff that NAP 2.0 is leveraging for the contract management activities include two individuals from the SOS' enterprise Project Management Office (PMO):

- Teresita Pineda, who has more than 10 years' experience at the State of California, either leading or assisting in the development and implementation of IT solutions.

Fiscal Affairs Division (FAD) Budgets

The SOS brings an experienced fiscal team to the analysis and planning of this project. Key fiscal staff and management have had prior experience with SOS IT solution planning and development efforts, including IT project BCP/SFL development, IT project cost expenditure tracking, quarterly reports to the Joint Legislative Budget Committee, and FAW's development.

Project Management Office

The SOS' Enterprise Project Management Office is composed of many experienced IT staff, each of whom have years of experience in IT project management, including IT contractor solicitations. Their expertise will be leveraged to ensure the solicitation document and evaluation process aligns with project management industry standards and best practices.

Project Governance

The project's governance framework, specifically the ESC, has decision making authority that includes procurement related decision making (in addition to project decision making). All procurement related matters will be brought before the ESC prior to initiating a procurement or entering into an agreement.

2.10 Project Planning

1. Project Management Risk Assessment

Updated Project Management Risk Score: PAL Stage 2 Project Management Risk Score is 0.6.

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

Attachment #17 NAP 2.0 Stage 2 Complexity Assessment SIMM_45_Appendix.xlsx

Attachment #22 NAP 2.0 PAL Risk Assessment.xlsx

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: Yes

Status: Approved

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

Attachment #23 NAP 2.0 Project Charter mini Signed

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.

Attachment #24 NAP 2.0 Scope Management Plan (Approved): Yes

Attachment #25a NAP 2.0 Communication Management Plan (Approved): Yes

Attachment #25b NAP 2.0 Communications Matrix.xlsx (Approved): Yes

Attachment #26 NAP 2.0 Schedule Management Plan (Approved) : Yes

Attachment #27 NAP 2.0 Procurement Management Plan (Approved): Yes

Attachment #28 NAP 2.0 Requirements Management Plan (Approved): Yes

Attachment #29 NAP 2.0 Governance Plan (Approved/Signed): Yes

Attachment #30 NAP 2.0 Contract Management Plan (Draft): Yes

Attachment #31 NAP 2.0 Resource Management Plan (Draft): Yes

Attachment #32a NAP 2.0 Change Control Management Log.xlsx (Draft): Yes

Attachment #32b NAP 2.0 Change Control Management Plan (Draft): Yes

Attachment #33 NAP 2.0 Change Control Request Form (Draft): Yes

Attachment #34a NAP 2.0 Issue Management Plan (Approved): Yes

Attachment #34b NAP 2.0 Risk Management Plan (Approved): Yes

Attachment #34c NAP 2.0 Risk Management Process (Approved): Yes

Attachment #35 NAP 2.0 Issue Submission Form (Draft): Yes

Attachment #36 NAP 2.0 Risk and Issue Register (Approved): Yes

Attachment #37 NAP 2.0 Risk Submission Form (Draft): Yes

Attachment #38 NAP 2.0 Cost Management Plan (Draft): Yes

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 Attachments #40a - NAP 2.0 Alt 1 Timeline and #40b - NAP 2.0 Alt 2 Timeline

- a) Planning Start Date: 8/1/2022
- b) Estimated Planning End Date: 10/24/2025
- c) Estimated Project Start Date: 3/21/2023
- d) Estimated Project End Date: 10/30/2028

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

A team of redirected SOS staff are currently reviewing the legacy data environment and creating a comprehensive data dictionary. This includes the specification and any meta data information for all elements. ITD is working on a plan and schedule to detail the necessary steps to setup a data cleansing environment, create a list of known items that will need cleansed, and the creating of a process to perform cleansing activities.

2. Data Migration Plan: In Progress

The migration of legacy data to the new solution must be coordinated with the legacy data cleansing team and the new solution provider. It must be determined if the solution provider will pull data into the new system, or the legacy team will push data into the new system. Verification and validation of all data migration must be completed and agreement between the data owner, solution provider, and legacy data team must be achieved for successful completion.

During parallel processing, this must be a continuous process that identifies all new and changed data within the legacy system and a coordinated process for getting that data into the new system. The plan is to have an independent data cleansing contractor remain with the project until successful cutover and acceptance of the new system and all data is confirmed to be valid within the new system.

3. Data Profiling: In Progress

Work is currently being conducted to identify and document all current legacy data to include table structures, business rules, data integrity, and data quality.

The documented results of these efforts will be used to build/revise the data dictionaries and create/update all meta data defining the purpose and structure of the legacy data environment. These results will also become the foundation for developing the data cleansing strategy by identifying all known items that need to be cleansed before migration can occur.

4. Data Cleansing and Correction: Not Started

Using the data profiling results, a comprehensive plan will be developed that identifies the strategies and methodologies to be conducted during data cleansing. Data elements, business rules, and data structures requiring correction will be identified in order to build a strategy for performing transformation into quality data.

A strategic plan will be developed that will include the processes and timing for data cleansing. This will also include identifying the structure of a new, clean environment that will be used through the remainder of operation for the legacy system. Continued validation and correction of data will occur as necessary to ensure all additions and modifications meet the quality standards that will be used for later data migration.

5. Data Quality Assessment: In Progress

Each data field will be reviewed and identified for its intended purpose and reason for use.

This will be reviewed by the data owner by comparing business requirements and business rules. Data custodians will identify the field structures that will be compared to the business requirements and used to identify which fields contain data that must be corrected.

To perform these actions, a list of indicators will be created for each data field that will be used to assess the quality of existing data and develop the documentation for data cleansing activities.

Work has started in identifying the data quality in conjunction with building/modifying the data dictionaries of the legacy system and data profiling.

6. Data Quality Business Rules: Not Started

This will be done in concert with BPD as a joint effort as part of ongoing project work.

7. Data Dictionaries: In Progress

Legacy system data is being identified, mapped, and analyzed by existing SOS staff. All data elements are being documented along with any/all specifications and purpose. End result will be a comprehensive data dictionary that will be used in data cleansing and migration activities.

8. Data Conversion/Migration Requirements: Not Started

Once the end solution is identified, all required data elements will be mapped to the “to be” environment. Cleansed data will follow a mapped process for the successful migration from the legacy environment.

During parallel operation, new or modified legacy data must be identified and successfully migrated to the new environment with continued verification and validation.

2.12 Financial Analysis Worksheets

Attach F.2 Financial Analysis Worksheet(s) to the email submission.

Attachment #41 F.2-FAW NAP 2.0 S2AA

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: 5/14/2024

Form Received Date: 5/14/2024

Form Accepted Date: 5/14/2024

Form Status: Approved

Form Status Date: 7/23/2024

Form Disposition: Completed

Form Disposition Date: 7/23/2024