



Stage 3 Solution Analysis

California Department of Technology, SIMM 19C.2 (Rev. 3.0.7, 2/28/2022)

3.1 General Information

1. **Agency or State Entity Name:** **4150 - Managed Health Care, Department of**

If Agency/entity is not in the list, then enter here. [Click or tap here to enter text.](#)

2. **Proposal Name:** **CAP Modernization (SB-858)**
3. **Department of Technology Project Number (0000-000):** **4150-034**
4. **S3SD Version Number:** **Version 1**
5. **CDT Billing Case Number:** **CS0062128**

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

3.2 Submittal Information

1. **Contact Information**

Contact Name: **Jeffrey Wren**

Contact Email: **jeffrey.wren@dmhc.ca.gov**

Contact Phone: (916) 414 0189

2. **Submission Type:** **New Submission**

If Withdraw, select Reason: **Choose an item.**

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

Sections Changed if an update or resubmission: (List all the sections that changed.)

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

Summary of Changes: (Summarize updates made.)

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

3. Attach [Project Approval Executive Transmittal](#) to your email submission.
4. Attach updated [Procurement Assessment Form](#) with Stage 3 information to your email submission.
5. Conditions from Stage 2 Approval (Enter any conditions from the Stage 2 Alternatives Analysis approval letter issued by CDT):

Not Applicable

3.3 Detailed Solution Requirements and Outcomes

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

[C.3-Stage-3-Solution-Requirements- SB858 \(Consolidated\).xlsx \(sharepoint.com\)](#)

2. Stage 2 Requirements and Outcomes Changes

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

If "Yes," explain:

Additions:

- 13 new functional requirements were added in Stage 3, these were determined as missed requirements in Stage 2 and were uncovered as part of process for documenting detailed requirement.
 - Functional requirement Numbers (Stage 3): 261.1, 261.2, 261.3, 261.4, 262.1, 262.2, 262.3, 262.4, 262.5, 263.6, 262.7, and 262.8.
- 24 new non-functional requirements were added as part of detailed requirement documentation in Stage 3, these were mainly added to align requirements with CA IT State policies.
 - Non-functional requirement Numbers (Stage 3): 302.2, 314.2, 315.2, 316.2, 348.2, 353.2, 354.1, 355.1, 356.1, 357.1, 357.2, 358.2, 359.1, 360.1, 361.1, 362.1, 363.1, 364.1, 365.1, 366.1, 367.1, 368.01, 369.1, 370.1

Deletion:

- We have removed requirement 136 from Stage 2 Mid-level requirements as OFR RBO - Office of Financial Review, Risk Bearing Organization decided not to use the CAP system for time entry.

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

Functional Requirements

The added requirements fall into two primary categories – user administration and view CAP History. These categories were already defined during stage 2, please note that same and/or similar requirements were documented for some of the DMHC program offices during stage 2, but these were missed for some offices. Please see the details below:

[View History requirements \(261.1, 261.2, 261.3, 261.4\)](#)

These requirements were added for OPM DPS – Division of Plan Surveys (A Division within Office of Plan Monitoring). The requirement enables OPM DPS users to be able to view history for their CAPs. These requirements were also documented in Stage 2 (Mid-level Requirement numbers – 114, 115, 151, 152) for the Office of Financial Review in and aligns with S1BA business Objective 2.1 & 3.1.

[Administration requirements \(262.1, 262.2, 262.3, 262.4, 262.5, 263.6, 262.7, 262.8\)](#)

These requirements were added for all Divisions of OPM - Office of Plan Monitoring. The requirement enables OPM managers to administer application access for DMHC and Health plan users in the CAP system. These requirements were also documented in Stage 2 (Mid-level Requirement numbers – 56, 58, 62 and 155) for the Office of Financial Review & Office of Enforcement and aligns with S1BA business Objective 1.1 & 2.1.

Non-functional Requirements

Non-functional requirements related to information security, accessibility compliance, architecture, cloud computing policies, compatibility, system availability and API policies were added in Stage 3 during detailed requirement documentation exercise. These additions were made to make sure that the non-functional requirements for the new CAP application align with SIMM and SAM, DMHC, CalHHS and CA State policies & processes.

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

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

[DMHC PAL Project Hub - SB-858 - 3.3.3 To Be Process flows - All Documents \(sharepoint.com\)](#)

Not Applicable

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

3.4 Project and Procurements Roadmap

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

[DMHC PAL Project Hub - SB-858 - 20240309 DMHC SB-858 CAP Modernization Roadmap .pdf - All Documents \(sharepoint.com\)](#)

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

3.5 Project Planning

Are the following Project Management Plans or artifacts completed to the required level, approved by the designated agency/state entity authority, and available for the Department of Technology to review? **Choose:** 'Yes,' 'No,' or 'Not Applicable.' If 'No' or 'Not Applicable,' provide the artifact status in the space provided.

[DMHC PAL Project Hub - SB-858 - 3.5 Project Planning - All Documents \(sharepoint.com\)](#)

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

Status: Complete

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

Status: Complete

[Issue and Action Item Management Plan \(Approved\):](#)Yes

Status: Complete

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

Status: Complete

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

Status: Complete

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

Status: Complete

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

Status: Complete

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

Status: [Complete](#)

Other (enter name) [Implementation Management Plan :Yes](#)

Status: [Ready for Review](#)

Other (enter name) [Transition, Maintenance and Operations Management Plan :Yes](#)

Status: [Ready for Review](#)

Other (enter name) [Business Continuity Management Plan :Yes](#)

Status: [Ready for Review](#)

3.6 Primary Solicitation

Attach the Primary Solicitation document to your email submission.

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

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

3.7 Ancillary Procurements

1. **Attach all in-progress and completed ancillary procurement documents to your email submission.**
2. **Has the project begun procurement activities for Independent Verification and Validation (IV&V) services per the State Administrative Manual Section 4940.3? [Not applicable](#)**

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

[Click or tap to enter a date.](#)

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

[This project does not need IV&V services.](#)

[Given the size, risk and complexity of the project is low, DMHC will not be procuring IV&V for the CAP Modernization project. CalHHS will provide oversight for the CAP Modernization project.](#)

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

[Given the size of this project, there will be no ancillary procurement for this project. DMHC State Staff will support the vendor in activities such as testing, training and Organization change management. DMHC state staff will also provide oversight to the project to identify and document any variances from the baselined project plans and contract.](#)

Service Type: [Choose an item.](#)

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

Roles/Responsibilities or Tasks: [Click or tap here to enter text.](#)

Status: [Choose an item.](#)

CDT STP Conducted: [Choose Yes or No.](#)

Procurement Type: [Choose an item.](#)

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

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

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

End of agency/state entity document.

Please ensure ADA compliance before submitting this document to CDT.

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

TIP: Review the Gate 3 Project Management Planning Evaluation Scorecard to ensure a complete submission. [GATE 3 Evaluation Scorecard](#)

Department of Technology Use Only

Original "New Submission" Date: 3/10/2025 Form

Received Date: 3/10/2025

Form Accepted Date: 3/10/2025

Form Status: Completed

Form Status Date: 04/23/2025

Form Disposition: Approved

Form Disposition Date: 04/23/2025