Stage 2 Alternatives Analysis

California Department of Technology, SIMM 19B.2 (Ver. 3.0.7, 02/28/2022)

2.1 General Information

1. **Agency or State Entity Name:** 4265 - Public Health, Department of

   If Agency/State entity is not in the list, enter here with the organization code.

   Click or tap here to enter text.

2. **Proposal Name:** Centralized Application Branch Online Project (CAB Online)

3. **Department of Technology Project Number (0000-000):** 4265-081

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

5. **CDT Billing Case Number:** CS0001702

   Don't have a Case Number? Click here to get one.

2.2 Submittal Information

1. **Contact Information**

   Contact Name: **Tina Luu**

   Contact Email: **Tina.Luu@cdph.ca.gov**

   Contact Phone: **1-279-667-0089**

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):

From CHHS:

Q: Are there other licensing or other solutions technology that you'll be leveraging?

CDPH Response: See Section 2.7 Market Research for a brief discussion of other licensing systems used by CDPH.

Q: Are the incomplete [facility provider] applications being processed because they're manual?

CDPH Response: An electronic solution would ensure that facility providers submit all the required forms and do not miss any. It will not eliminate all of the issues with incorrect data but it will reduce them. Section 2.4 Requirements and Outcomes includes mid-level requirements for this functionality.

From CDT:

This is licensing system and in FoPH BCP mentioned as part of Low Code/No Code strategy. As part of the S2 Analysis please cover the overall licensing systems landscape (ELLFS, ETAB etc.) and how this effort will fit with the overall Low Code/No Code platform standardization. Perhaps, the S2 analysis and market research may be expanded to cover these topics and provided as an input to the FoPH strategy effort on this topic.

CDPH Response: CDT and CDPH Enterprise Architecture Services agreed that alignment with FoPH requires that the licensing application submittal capabilities are expandable to handle future application submittal needs for other licensing types. The mid-level requirements in Section 2.4 Requirements and Outcomes reflect scalability and reusability for other licensing types. See Section 2.7 Market Research for a brief discussion of other licensing systems used by CDPH and low code/no code standardization.

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 California Department of Public Health (CDPH) is organized into five centers dedicated to different aspects of public health. One of those centers, the Center for Health Care Quality (CHCQ), operates the Licensing and Certification Division (L&C), which is responsible for licensing and regulating health care facilities throughout the state. The L&C Division protects patient safety and ensures quality care for all patients and residents of the more than 10,000 health-care facilities the program regulates in California. These include general acute care hospitals, acute psychiatric hospitals, home health agencies, hospices, skilled nursing facilities, and 30 other provider types.

The Centralized Applications Branch (CAB) provides standardization and consistency of state licensing and federal certification through the application process. It reviews, analyzes, and evaluates requests for facility licensure/certification, and processes other license-associated transactions submitted by facility providers for approval.

Applications Process

The application process is characterized by sending paper applications and other documents back-and-forth between facility providers and CAB analysts. The CAB Intake Team validates that the submitted application packet contains all the required forms and documentation. Applicants have 21 days to provide missing documentation, or the application is deemed incomplete. The application fee (if applicable) is only requested after all documentation is received, and the applicant has another 21 days to send a paper check.

The CAB analyst conducts a full review of the content of the application to ensure the applicant meets licensing/certification requirements. The analyst will contact the applicant if an application packet is incomplete or contains incorrect/insufficient information. The applicant has 60 days to submit the requested information for an Initial and Change of Ownership application and 30 days for all other Report of Change applications.

The CAB analyst validates the information in the applications by conducting database checks of several CDPH and external systems. If the content of the application meets licensing/certification requirements, the analyst approves the application and updates the Electronic Licensing Management System (ELMS). If a facility survey is required, the District Office completes the survey and sends the survey information to the CAB analyst to be input into ELMS.

The analyst generates a PDF of the approved license, obtains appropriate signatures, and sends the new/updated license to the applicant via email. The analyst scans the paper application packet into the CAB G-drive and uploads it into ELMS for documentation and mails the complete application packet to the local District Office for storage.

License Renewals Process

The annual License Renewal Application (LRA) / License Renewal Invoice is generated and distributed to the licensee 120 days from the date the license expires. The licensee is required to submit both the LRA and license renewal fee prior to the license expiration date. When the CAB analyst receives the LRA and check via mail, the check is sent to the Fiscal Management Branch for processing. The CAB analyst reviews ELMS to validate the information on the LRA is complete and signed, conducts database checks for compliance with state licensing requirements, and issues a new license to the provider.

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

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

Not available reason: **Click or tap here to enter text.**

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

CAB uses several information systems to support the facility application process. Most of these systems are stand-alone with very little integration. CAB analysts and District Office surveyors manually key the same data into multiple systems.

Electronic Licensing Management System (ELMS): ELMS is used by more than 700 district office and headquarters staff to record and manage information about providers, facilities, the services they provide, and the status of their applications. ELMS is a custom application developed using Microsoft ASP.Net and hosted in the State datacenter. ELMS performs the following functions:

- Stores License applications
- Issues licenses
- Generates license renewal notices
- Calculates license fees
- Issues and tracks State enforcement actions
- Generates management reports

Online Application Submission System/Adobe Experience Manager (AEM): In December 2019, an online application submission system was implemented using AEM pursuant to Health and Safety Code Section 1272. The provider-facing system enables general acute care hospital (GACH) and acute psychiatric hospital (APH) providers to submit their applications electronically. The automated application submission system reduced many cumbersome manual processes for GACH and APH applications and has created a seamless route for application submissions and processing. For the other 33 provider types, the application review process remains manual. AEM is hosted in the State datacenter. It receives provider and facility data from ELMS. It does not send any application data to ELMS; CAB analysts must manually rekey the data.

Caregiver Applicant Background System (CABS) is used by the Professional Certification Branch (PCB) and is shared with the California Department of Social Services. CABS tracks applications of professional certifications for Certified Nurse Assistants, Nursing Home Administrators, and Home Health Aides. CABS pulls data from the California Department of Justice and national databanks. It is a custom application developed using Microsoft ASP.Net and hosted in the State datacenter.

Online Applicant System (OASYS) provides external users with an automated application system for professional certifications. Application data submitted through OASYS is sent to CABS. OASYS is a custom application developed using Microsoft ASP.Net and hosted in the State datacenter.

ASPEN Central Office (ACO): ACO is proprietary software owned by CMS. It is used by approximately 700 L&C surveyors and support staff to record the results of facility inspections and incident findings. It is also used by Laboratory Field Services for Clinical Laboratory

Improvement Amendments (CLIA). CMS is phasing this system out and replacing it with the iQIES system).

Internet Quality Improvement and Evaluation System (iQIES) is proprietary software owned and operated by CMS. It is an online system accessed on the internet at https://iqies.cms.gov. CMS is incrementally replacing the ACO system's functionality and will eventually be used by approximately 700 L&C surveyors and support staff to record the results of facility inspections and incident findings. CMS has not published a timeline for the migration of functionality from ACO to iQIES.

Risk and Safety Solutions (RSS) is a software provider owned and operated by the University of California Office of the President. District offices currently use the proprietary Inspect product to conduct mobile surveys and are in the process of developing Complaint and Facility Reported Incidents investigation capability. The proprietary Application product is being used to support Program Flex waiver applications.

Provider Application and Validation for Enrollment (PAVE) is used by the California Department of Health Care Services (DHCS), Provider Enrollment Division to enable providers to enroll in Medi-Cal Fee for Service. PAVE conducts automated monthly database checks of external systems (e.g., U.S. Health and Human Services, Federal Office of Inspector General; U.S. General Services Administration, System for Award Management) to verify provider compliance with certification requirements. CAB conducts similar database checks manually. PAVE is modified off-the-shelf software provided as a Software-as-a-Service by Digital Harbor.

In addition to the systems above, CAB analysts interact with several public-facing databases to validate the information in providers' applications. These are:

- U.S. Centers for Medicare & Medicaid Services, National Plan & Provider Enumeration System
- U.S. Department of Health and Human Services, Office of Inspector General
- U.S. General Services Administration, System for Award Management
- U.S. Internal Revenue Service, Tax Exempt Organization Search Page
- Department of Health Care Services, Medi-Cal Suspended Provider List
- Secretary of State, Business Search
- Department of Consumer Affairs (DCA) Professional License
- Department of Public Health, Nursing Home Administrator (NHA) License Page

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

Not available reason: Click or tap here to enter text.

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

Data Owner Name: **Adam Odabashian**

Data Owner Title: **Division Chief**

Data Owner Business Program area: **Center for Health Care Quality, Licensing & Certification Division**

Data Custodian Name: **Rebecca Kyles**

Data Custodian Title: **Section Chief**

Data Custodian Technical area: **Information Technology Services Division, Health and Administrative Support Section**

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): **No**

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

Select data quality rating: **Choose an item.**

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 CDPH Ecosystem of Data Sharing (EODS) governance model considers federal and State standards for data representation, the CMS Electronic Health Records (EHR) Incentive Program, Meaningful Use initiative, data sharing opportunities, systems interoperability, accreditation goals, stakeholder collaboration, and funding opportunities.

The model includes the CDPH Information Technology (IT) Governance Council, which is overseen by the EODS Steering Committee. The latter reports to the highest-level data governance body, which is the EODS Governance Council. These groups provide strategic oversight and direction for CDPH data governance including the governance framework, approved project management artifacts, the portfolio of department enterprise services, business and technical methodology, business planning, technology policy and CDPH policies, standards, and guidelines.

The EODS is implemented from a tactical perspective, through six enterprise-level sub-committees: the CDPH Portfolio, Policies and Standards Committee, Privacy and Security Committee, Enterprise Architecture Committee, Interoperability Data Exchange Committee, Legal Committee and Fiscal/Funding Committee.

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

Answer (Unknown, Yes, No): **Yes**

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

CDPH is implementing the EODS data governance framework that addresses the business drivers for data governance, CDPH stakeholders, the EODS project portfolio, and a tiered governance structure. The EODS Governance Framework document, describes data governance capabilities, roles and responsibilities, and a development approach for technology projects. For security and confidentiality reasons, we have not attached our work in progress draft data governance framework to this proposal.

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.

(1) The CDPH Information System Security Requirements for Projects provides the minimum security requirements mandated by the CDPH ISO for projects governed and/or subject to the policies and standards of CDPH. Projects that intend to deploy systems/applications into the CDPH system infrastructure, or will utilize CDPH information system services, are also subject to the minimum security requirements it contains.

The CDPH Information Systems Security Requirements for Projects document explains the criteria CDPH will use when evaluating and certifying the system design, security features, and protocols used by project solutions utilizing CDPH services. These security requirements will also be used in conjunction with the CDPH ISO compliance review program of its information system services customers. These security requirements serve as a universal set of requirements which must be met regardless of physical hosting location or entities providing operations and maintenance responsibility. For security and confidentiality reasons, we have not attached the CDPH Information System Security Requirements for Projects to this proposal.

(2) All State departments are required to have implemented an information privacy program (Government Code Section 11019.9), including rules of conduct regarding personal information (Civil Code Section 1798.20), a designated employee in charge of ensuring program compliance (Civil Code Section 1798.22), and other guidelines, procedures, training, and compliance as outlined in the Information Practices Act (IPA) (Civil Code Section 1798 et seq.) and the State Administrative Manual (Sections 5100 and 5300 through 5399).

(3) CDPH follows the privacy policies contained in the Information Privacy Program documented in Chapter 11 of the Public Health Administrative Manual. For security and confidentiality reasons, we have not attached the Public Health Administrative Manual to this proposal.

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.

CDPH understands the importance of ensuring that Internet-facing websites are accessible by the intended audiences and that internal electronic and information technology systems are accessible by authorized state employees, including persons with disabilities. CDPH IT projects incorporate requirements to address these needs by complying with accessibility requirements such as the requirements set out in Section 508 of the Rehabilitation Act of 1973, as amended (29 U.S.C. Section 794d), and regulations implementing that act as set forth in Part 1194 of Title 36 of the Code of Federal Regulations. CDPH accessibility practices align with the guidance provided by the following sources.

(1) California Department of Technology, IT Accessibility Resource Guide, SIMM Section 25, October 2017. (https://cdt.ca.gov/wp-content/uploads/2017/10/SIMM-25.pdf)

(2) State Administrative Manual Section 4833, Information Technology Accessibility Policy. (http://sam.dgs.ca.gov/TOC/4800.aspx)

(3) Office of the State CIO, IT Policy Letter (ITPL): Information Technology Accessibility (ITPL 10-10). (https://cdt.ca.gov/technology-letters/)

(4) Section 4-1065 of the Public Health Administrative Manual addresses Web Site and Information Technology Accessibility. For security and confidentiality reasons, we have not attached the Public Health Administrative Manual to this proposal.

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: **High**

Integrity: **High**

Availability: **Low**

7. **Technical Complexity Score: 1.6**

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

2.4 Requirements and Outcomes

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

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

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

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

2.5 Assumptions and Constraints

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

Assumption: The CAB Online solution will be in alignment with the FoPH.

Description/Potential Impact: CDT and CDPH Enterprise Architecture Services agreed that alignment with FoPH requires that the licensing application submittal capabilities are expandable to handle future application submittal needs for other licensing types. The mid-level requirements in Section 2.4 Requirements and Outcomes reflect scalability and reusability for other licensing types.

Assumption: There is no deadline for decommissioning AEM.

Description/Potential Impact: The current AEM solution can continue operating until the new solution is fully functional. At that time AEM can be decommissioned.

Assumption: Data conversion from AEM is not required.

Description/Potential Impact: All of the data and files that need to be retained will already have been entered into ELMS or archived to a network share as part of normal business operating procedures. Applications already submitted through the paper process at the time of go-live will continue to be processed outside of the new system.

Assumption: The new system's Help Desk Process is the same as the current AEM Help Desk Process.

Description/Potential Impact: IT supported help desk system (currently Cherwell) triages tickets based on issue type: 1) ITSD to grant role-based access; 2) program to resolve business issues; 3) ITSD to resolve technology issues, escalated to Solution Vendor as required.

Assumption: Project funding, including the expenditure authority requested in the corresponding BCP, will be approved, and will remain available throughout the life of the project.

Description/Potential Impact: If funding is not available as planned, the project may need to reduce scope or be postponed pending available funding.

Assumption: Project actual costs are close to the estimates identified during market research, detailed in the Financial Analysis Worksheets (FAW), and expected for project budget purposes.

Description/Potential Impact: If the costs for any aspect of the solution and services increase or the bidder quoted costs come in significantly higher than estimated during market research, the project may need to reduce scope, be postponed pending available funding, or be canceled for insufficient funding.

Assumption: Executive project sponsorship will be in place and active throughout the life of the project.

Description/Potential Impact: The leadership, authority, and decisions of a strong and active Project Sponsor are essential to project success. A vacancy in the Project Sponsor role may weaken support for the project, prevent timely approvals, and delay resolution of project issues that require sponsor-level decisions.

Assumption: California Department of Social Services' (CDSS) facility licensing application submission system requirements are similar to CAB's functional requirements. Vendor's responses to CDSS's RFI provide a relevant pool of potential solutions.

Description/Potential Impact: If CDSS's application submission requirements are sufficiently different than CAB's, then the pool of potential solutions may not be correct. Vendor proposals in the procurement process may be significantly different than those in the market research and carry different costs and/or risks.

Assumption: Implementing the proposed alternative in CDPH's Microsoft Azure Cloud tenant will minimize the support resources required and simplify meeting the project's security requirements.

Description/Potential Impact: If the solution is not hosted in CDPH's Microsoft Azure Cloud tenant, additional resources will be required, and costs will be incurred.

Assumption: CDPH will have sufficient Information Technology Services Division (ITSD) staff or contractor staff available to support the project through to completion.

> **Description/Potential Impact**: In addition to the project team and stakeholders, ITSD technical staff and significant project management and support staff will need to be available and assigned to the project through completion. If the project does not have sufficient ITSD participation, it will impact the project schedule and cost.

Assumption: The CAB Online project will continue to be a high priority for CDPH throughout the life of the project, despite internal or external factors that may arise such as changes in staffing or new legislation.

> **Description/Potential Impact**: Should the high priority of the project fail to have continued departmental leadership support, the project's timing, cost, and overall success will be at risk.

Assumption: Project stakeholders will provide sufficient key subject matter expert (SME) resources to complete project activities successfully (e.g., requirements, testing, training, and solution implementation).

> **Description/Potential Impact**: Without adequate participation from stakeholders, critical requirements may be missed or poorly implemented, the system and its interfaces may not operate as expected, anticipated project benefits may not be realized, and overall project success will be at risk.

Assumption: CDPH staff assigned to the CAB Online project will remain in their current CDPH roles and will have capacity to participate in the project according to the approved project schedule.

> **Description/Potential Impact**: If CDPH project staff are not available to participate in the project as anticipated (e.g., due to staff role changes, diversion to other assignments, or retirement) critical milestones may be affected, requirements may be missed or poorly implemented, and anticipated benefits of the project may not be realized.

Assumption: Vacated team roles will be filled as quickly as possible with qualified replacements using CDPH staff or contractors who can be trained quickly and come up to speed without significant impact to the project schedule.

> **Description/Potential Impact**: Turnover can happen on any project. It will be critical to fill vacated roles promptly and ensure a smooth transition, by training and providing knowledge transfer for new project staff, to avoid risk of project schedule delay and project cost increase. Having team members who are cross trained may also mitigate impact from team member turnover.

Assumption: Integration of the CAB Online solution with existing systems will minimize modification of those existing systems.

> **Description/Potential Impact**: If modification of existing systems is required, the additional work will add to the project cost and could delay meeting project objectives, including providing timely, consolidated statewide reporting.

Constraint: The CAB Online solution must be in alignment with FoPH.

Description/Potential Impact: CDT and CDPH Enterprise Architecture Services agreed that alignment with FoPH requires that the licensing application submittal capabilities are expandable to handle future application submittal needs for other licensing types. The mid-level requirements in Section 2.4 Requirements and Outcomes reflect scalability and reusability for other licensing types.

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: Payment Processing System

Dependency Description: CDPH will implement a payment processing system that the CAB Online solution will integrate with.

Dependency Element: Timely approvals (e.g., for PAL Stage 2 Alternatives Analysis, PAL Stage 3 Solution Development, and PAL Stage 4 Project Readiness and Approval).

Dependency Description: To meet scheduled milestone and project implementation dates, the project depends on timely approvals from multiple sources including CDPH leadership, California Health and Human Services Agency (CalHHS), CDT POA, and CDT STP.

Dependency Element: This project will require a successful BCP to achieve the funding necessary to see it to completion.

Dependency Description: CDPH will redirect existing funds to conduct the CAB Online project during fiscal year (FY) 2022/23 and FY 2023/24. Approval of expenditure authority requested through the BCP process is needed to obtain funding for FY 2024/25 and the remainder of the project. Should funding not be available as expected, the project may need to reduce scope, be paused, or postponed pending available funding.

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: 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.

Internet Research

Internet research on various topics was conducted iteratively throughout the market research task. Research conducted at the beginning market research helped CDPH understand where current CDPH technologies—such as AEM, Dynamics, Power Platform, and Salesforce—reside within the application submission technology marketplace. Internet research was also valuable in understanding and clarifying vendor responses to a Request for Information (RFI) and differentiating the alternative solutions.

CDPH Licensing Systems

According to the "CDPH Centralized Application Inventory," December 29, 2020, there are 32 separate licensing systems in the department. There is wide variation in the type of license or certificate, number and type of users, the functionality, and underlying technology of each of these systems. Some highlights of this inventory that are relevant to the alternatives analysis:

- Several CDPH licensing systems are built following CDPH's low code/no code strategy (Viable Alternative Solution #1 below). The Electronic Laboratory Licensing and Registration for Facilities System (ELLFS), Electronic Tissue and Biologics (ETAB) System, Lead Related Construction Certification (LRCC) System, and Personnel Electronic Licensing (PERL) System are all built on Pega, a low code/no code platform. However, the department is discouraging further development on Pega, as skilled resources are difficult to find and expensive. Also, these systems are hosted at a CDT data center, rather than in CDPH's Microsoft Azure Cloud tenant.
- Some CDPH licensing systems were custom developed using traditional development tools (Viable Alternative Solution #2 below). The CABS, ELMS, and OASYS systems were all developed using Microsoft technologies, such as ASP.Net, C#, and Microsoft web and reporting servers and are hosted at a CDT data center. The department is discouraging further custom development using these tools as the systems are more difficult to maintain than low code/no code systems.

Outreach to Other State Departments

CDPH contacted both DHCS and the California Department of Social Services (CDSS) while researching potential solutions. Conversations with DHCS focused on the PAVE system and related processes because of its public facing application submission functionality, its SaaS technology, and as an integration point with CAB Online. CDPH contacted CDSS, based on the recommendation of CHHS Agency, because CDSS is currently completing the PAL Stage 2 documentation for a system with functionality that overlaps with CAB Online.

Outreach to Solution Vendors

As part of its PAL Stage 2 market research, CDSS issued an RFI requesting solution vendors provide solution recommendations and estimated costs for a facility licensing management system. CDPH was interested in the results of CDSS's RFI because of the similarities in the projects' scopes:

- Similar number of internal/external users
- Similar number of facility types
- Similar interfaces between internal/external systems
- Similar application submission functionality

The primary difference between the CDSS project scope and CAB Online is that CDSS is looking for a full facility licensing management system that will replace all their related legacy systems. However, the scope of CAB Online is limited to application submission functionality that will integrate with their existing facility licensing management system, ELMS. This means that the solutions and related costs recommended by vendors to support CDSS's needs include additional functionality not required by CDPH. Summary spreadsheets of vendors' responses to the CDSS RFI are included as an attachment with the CAB Online PAL S2AA email submission.

Based on the Team's market research and analysis, the viable alternatives recommended for consideration are implementing a SaaS or PaaS low code/no code solution; implementing a custom solution using traditional development tools; and expanding the existing AEM system.

4. **Market Research Artifacts**

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

Attach Market Research artifacts to the email submission.

2.8 Viable Alternative Solutions

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

1. **Viable Alternative Solution #1**

Name: SaaS or PaaS Low Code/No Code Solution

Description: The new IT system will utilize a SaaS or PaaS low code/no code solution hosted in CDPH's Microsoft Azure cloud tenant. CDPH will modify its current business processes and create new business processes to support facility providers' submission of applications electronically. CDPH will contract for services to configure and implement the system, train internal/external users, and maintain and operate the system.

Why is this a viable solution? Please explain:

This solution alternative is viable because:

- Market research showed that SaaS or PaaS low code/no code technologies are available that meet CAB Online's functional, non-functional, and project/transition requirements.
- CDPH ITSD supports the SaaS or PaaS low code/no code technologies Microsoft Dynamics, Power Platform, Salesforce, and Service Now. Solutions using each of these technologies have been implemented within the department.

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): Application Submission

Business Function(s)/Process(es): Workflow

Business Function(s)/Process(es): Communication and Reporting

Business Function(s)/Process(es): System Administration

Business Function(s)/Process(es): System Integration

Business Function(s)/Process(es): Database Checks

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

Conceptual Architecture

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

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

Name/Primary Technology: SaaS or PaaS low code/no code technologies—such as Microsoft Dynamics, Power Platform, Salesforce, and Service Now.

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: CAB Online will interface with the following systems:

ELMS:

- Receive provider, facility, and other data from ELMS to populate application forms.
- Send updated and approved provider, facility, and transaction data to ELMS.

CDPH Payment System:

- Send calculated provider data, application ID, payment amount to complete payment.
- Receive payment transaction ID and confirmation of payment.

ACO: Receive facility survey data.

iQIES: Receive facility survey data.

RSS: Receive facility survey data.

CABS: Receive professional certification data.

PAVE (DHCS): Send DHCS forms and related data.

DocuSign (external company): Receive signed documents.

Various databases (federal and state systems): Receive valid/invalid status related to provider organizations or individuals, as required.

Data Center Location of the To-be Solution: **Commercial data center**

If Other, specify: **Click or tap here to enter text.**

Security

Access

Public: **No**

Internal State Staff: **Yes**

External State Staff: **No**

Other: **Yes** Specify: **External facility providers (named users)**

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: **No**

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

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

Technical Security: **Yes**

Physical Security: **Yes**

Backup and Recovery: **Yes**

Identity Authorization and Authentication: **Yes**

Other, specify: **Click or tap here to enter text.**

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

Planning Costs: **$7,634,006**

One-Time (Project) Costs: **$21,198,869**

Total Future Ops. IT Staff OE&E Costs: **$ $6,332,909**

Total Proposed Cost: **$35,165,783**

Annual Future Ops. Costs (M&O): $2,913,329

2. Viable Alternative Solution #2

Name: Custom Solution

Description: A new IT system will be custom developed utilizing traditional development tools. The system will be hosted in a CDT-operated data center. CDPH will modify its current business processes and create new business processes to support facility providers' submission of applications electronically. CDPH will contract for services to configure and implement the system, train internal/external users, and maintain and operate the system.

Why is this a viable solution? Please explain:

This solution alternative is viable because:

- CDPH has experience developing systems using traditional development tools. Specifically, the ELMS and CABS systems that CAB Online will have to interface with were developed using Microsoft ASP.Net and related tools. These tools can be used to develop a system that meets CAB Online's functional, non-functional, and project/transition requirements.
- The new system will be developed using tools, such as Microsoft ASP.Net that CDPH ITSD supports.

While this alternative is viable, CDPH's enterprise architecture prioritizes the use of low code/no code solutions, as described in Viable Alternative Solution #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: **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): Application Submission

Business Function(s)/Process(es): Workflow

Business Function(s)/Process(es): Communication and Reporting

Business Function(s)/Process(es): System Administration

Business Function(s)/Process(es): System Integration

Business Function(s)/Process(es): Database Checks

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: **Custom**

Name/Primary Technology: **Microsoft development tools: ASP.Net, C#, SQL database server, IIS web server, SSRS reporting server**

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: CAB Online will interface with the following systems:

ELMS:

- Receive provider, facility, and other data from ELMS to populate application forms.
- Send updated and approved provider, facility, and transaction data to ELMS.

CDPH Payment System:

- Send calculated provider data, application ID, payment amount to complete payment.
- Receive payment transaction ID and confirmation of payment.

ACO: Receive facility survey data.

iQIES: Receive facility survey data.

RSS: Receive facility survey data.

CABS: Receive professional certification data.

PAVE (DHCS): Send DHCS forms and related data.

DocuSign (external company): Receive signed documents.

Various databases (federal and state systems): Receive valid/invalid status related to provider organizations or individuals, as required.

Data Center Location of the To-be Solution: **State data center operated by CDT**

If Other, specify: **Click or tap here to enter text.**

Security

Access:

Public: **No**

Internal State Staff: **Yes**

External State Staff: **No**

Other: **Yes** Specify: **External facility providers (named users)**

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: **No**

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

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

Technical Security: **Yes**

Physical Security: **Yes**

Backup and Recovery: **Yes**

Identity Authorization and Authentication: **Yes**

Other, specify: **Click or tap here to enter text.**

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

Total Proposed Cost: **$62,286,554**

3. Viable Alternative Solution #3

Name: Enhance Current AEM Solution

Description: The existing AEM solution will be expanded to include 33 additional facility types for a total of 35 facility types. Additional workflow, system integration, and database checks functionality will be added to the existing system. The system will continue to be hosted in a CDT-operated data center. CDPH will modify its current business processes to support providers' additional facility types. CDPH will contract for services to configure and implement the system, train internal/external users, and maintain and operate the system.

Why is this a viable solution? Please explain:

This solution alternative is viable because CDPH is currently supporting the AEM system for the submission of GACH and APH facility applications. AEM could be expanded to include 33 additional facility types and meet CAB Online's functional, non-functional, and project/transition requirements.

While this alternative is viable, the AEM system is heavily customized to meet the requirements for GACH and APH facility providers. Additional customization to meet the requirements for the 33 additional facility types is likely. Also, CDPH is actively discontinuing the use of AEM throughout the enterprise. CDPH's enterprise architecture prioritizes the use of low code/no code solutions, as described in Viable Alternative Solution #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: **No** Specify: **Click or tap here to enter text.**

Architecture Information

Business Function(s)/Process(es): Application Submission

Business Function(s)/Process(es): Workflow

Business Function(s)/Process(es): Communication and Reporting

Business Function(s)/Process(es): System Administration

Business Function(s)/Process(es): System Integration

Business Function(s)/Process(es): Database Checks

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

Conceptual Architecture

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

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

Name/Primary Technology: **Adobe Experience Manager**

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

Name/Primary Technology: **Customization of AEM may be necessary**

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: The expanded AEM system will continue to receive GACH and APH data from ELMS.

ELMS:

- Receive provider, facility, and other data—for GACH and APH facility types only—from ELMS to populate application forms.

Explain New System Interfaces: CAB Online will interface with the following systems:

ELMS:

- Receive provider, facility, and other data—for 33 remaining facility types—from ELMS to populate application forms.
- Send updated and approved provider, facility, and transaction data to ELMS.

CDPH Payment System:

- Send calculated provider data, application ID, payment amount to complete payment.
- Receive payment transaction ID and confirmation of payment.

ACO: Receive facility survey data.

iQIES: Receive facility survey data.

RSS: Receive facility survey data.

CABS: Receive professional certification data.

PAVE (DHCS): Send DHCS forms and related data.

DocuSign (external company): Receive signed documents.

Various databases (federal and state systems): Receive valid/invalid status related to provider organizations or individuals, as required.

Data Center Location of the To-be Solution: **Choose an item.**

If Other, specify: **Click or tap here to enter text.**

Security

Access:

Public: **No**

Internal State Staff: **Yes**

External State Staff: **No**

Other: **Yes** Specify: **External facility providers (named users)**

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: **No**

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

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

Technical Security: **Yes**

Physical Security: **Yes**

Backup and Recovery: **Yes**

Identity Authorization and Authentication: **Yes**

Other, specify: **Click or tap here to enter text.**

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

Total Proposed Cost: **$68,173,291**

2.9 Project Organization

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

1. **Project Organization Chart:**

   Attach the Project Organization Chart to your email submission.

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

   Matrixed

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

1. **Administrative**

   CDPH assessed the administrative staff support required for the CAB Online project (e.g., staff specializing in procurements, contract management, and budgets). Each area of administrative specialty is discussed in the paragraphs below.

   PROCUREMENT: CDPH has experienced staff and mature administrative processes in place for departmental procurement, contract management, and budgets. The CDPH Purchasing, Solicitations, and Processing Services Section (PSPSS) is staffed by procurement resources who have experience managing a broad range of State procurements including Invitation for Bid (IFB), Request for Offer (RFO), Request for Proposal (RFP), and Request for a Quote (RFQ). PSPSS and ITSD staff and management have experience conducting procurements for complex IT projects requiring use of multiple vendors and multiple types of vendor services. Staff in these business units are knowledgeable about Public Contract Code (PCC) 6611.

   The CAB Online project team will engage the CDPH PSPSS and the CDPH Procurement and Contracting Officer in the review and approval processes for the Stage 2 Alternatives Analysis (S2AA) package. The project team identified the list of CAB Online procurements needed and will work with PSPSS staff to confirm corresponding timeframes so they can integrate the needs of the project into their other workload. Each CAB Online procurement will be planned, scheduled, and managed in the CAB Online project schedule.

   The primary CAB Online procurement will be a modern procurement led by the CDT STP Division in partnership with CDPH consisting of cloud-hosting; SaaS or PaaS services; software licenses; design, development, and implementation (DD&I) services; application training services; and maintenance and operation services. The following additional

procurements are anticipated: Training and OCM services and independent verification and validation (IV&V) services. CDPH will use an existing contract for project management support services.

The Training and OCM services and IV&V services will be solicited under Leveraged Purchase Agreements (LPAs), using a Master Service Agreement (MSA) or California Multiple Award Schedule (CMAS). The project team will work with CDPH PSPSS staff as needed to define the items, types, quantities, services, and required delivery dates. Once approved by the Project Sponsor and STP, CDPH will use the RFO process to solicit offers from suppliers to procure the required services, within the required timeframe, and at the best value to the state.

CONTRACT MANAGEMENT: ITSD will assign an experienced resource as the CDPH Contract Manager to manage the CAB Online project contracts. Vendors contracted to provide services to the CAB Online project will each assign a resource to a corresponding contract manager role.

BUDGET: The CDPH budget office is staffed adequately and is experienced in assisting the budgetary needs of CDPH IT projects. The CAB Online Executive Sponsor and other members of the CAB Online Team communicate regularly with the budget office about the Project's budget needs and the State's budget request deadlines per fiscal year.

LEGAL: The CDPH Legal Office is amply staffed to provide any necessary legal support during the planning and procurement phases of the project. Legal staff are expected to provide some legal review of documentation during the preparation of solicitations and provide legal support (if necessary) during the execution of contracts with vendors.

2. Business Program

The CAB Online Team assessed the project's staffing needs and documented the business program project staffing allocation in the FAW attached to the CAB Online PAL S2AA email submission. CDPH staff and management are aware of the complexities and resource demands involved in implementing complex IT projects that use services from multiple vendors. For the pivotal Product Owner role that has extensive day-to-day involvement with the project and the Solution Vendor team, CHCQ selected a Staff Services Manager III who is highly knowledgeable about the CAB program and who participated in the AEM implementation. CHCQ also identified additional Program SMEs to participate in the project. The SMEs are CDPH staff who understand Program business needs and are knowledgeable about business rules and requirements. CDPH will procure vendor services to support multiple areas of the CAB Online project including DD&I, updating business processes to align with the new solution, training, OCM, and project management support. The availability of these additional resources will reduce the workload for program staff. The project Organization Chart is included in the organization charts attached to the CAB Online PAL S2AA email submission.

3. Information Technology

The CAB Online Team assessed the project's IT staffing needs including EA, business analysts, developers, network analysts, information security, and data analysts. CDPH will support and promote project success without an impact to ongoing ITSD responsibilities by committing staff to the project who have experience, knowledge, and skill, and by obtaining

services from experienced vendors. CDPH will procure vendor services for DD&I, which will reduce the project's workload burden on ITSD staff related to these activities; however, ITSD staff will participate in the project to educate vendor staff about CDPH processes, review the vendor's technical project deliverables, ensure the CAB Online solution conforms to applicable State, security, architecture, and technical standards, and receive technical knowledge transfer from the vendors about the CAB Online solution.

The CAB Online project is seeking a SaaS or PaaS low code/no code solution, which requires substantially less CDPH support than an on-premises solution but also requires that CDPH provide some level of support. The Solution Vendor and the cloud-hosting vendor (Microsoft Azure Cloud) will provide the primary support for the system during maintenance and operations. CDPH ITSD staff will provide Tier 2 support and will also support Azure integration, security operations, code deployments/management, change management, release management, and integrated components.

PPMB, which manages the Department's IT projects, has mature project management procedures and seasoned project management staff who routinely work with CDPH technical staff and vendors to deliver complex IT projects successfully. PPMB will assign a Project Manager to oversee the CAB Online project from tactical and strategic perspectives. PPMB staff are experienced in the application of the California Project Management Framework (CA-PMF). The project management life cycle and the System Development Lifecycle (SDLC) are tightly integrated and must be simultaneously managed. PPMB staff will work with business program staff and Solution Vendor to maintain CA-PMF alignment and project rigor throughout the project.

To ensure adequate project management (PM) support for the CAB Online project and maintain expected PPMB workload, CDPH will utilize and existing contract for project management services to provide project management support for this project. The PM vendor will provide a PMI certified project manager to help PPMB manage the project.

4. Testing

CDPH will provide sufficient business program resources, technical resources, and project management resources to support the planned testing activities in partnership with the project's vendor(s). The Executive Sponsor will ensure Program resources are available to participate in testing when they are needed.

The CAB Online project will conduct testing activities and make updates to the corresponding documents throughout the project. Planning for testing will involve participation by CDPH SMEs, ITSD staff, and vendor staff. Testing activities will include but are not limited to unit testing, system testing, regression testing, UAT, load/stress testing, performance testing, security testing, and post release verification and validation.

The Solution Vendor will be responsible for testing all parts of the system, including the system architecture, security, performance, and stress/load testing. The Solution Vendor will also be responsible for the overall support of the testing technical environments.

Additional Solution Vendor responsibilities include creating and managing a Master Test Plan; creating user stories, test cases, and test scripts; and performing unit testing, integration

testing, and end-to-end testing. CDPH IT staff (i.e., enterprise architect, ISO, and assigned testing resources) will work with the Solution Vendor to review test plans and test results, and to make sure any defects or issues are addressed appropriately. The Product Owner will approve software release(s) based on defined acceptance criteria established in advance.

ITSD technical analysts will perform pre-UAT testing (after system testing), security testing, and load/stress/performance testing. The CAB Online Product Owner and Program SMEs will help design and develop a plan for UAT. The CAB Online Product Owner, Program SMEs, and external facility providers will serve as testers during UAT. Under the guidance of the Project Manager and informed by the vendor's expertise, CDPH UAT testers will participate in software requirements meetings, as needed, to understand the business and functional requirements that the software must meet.

UAT will be performed based on the approved test plan. Any issues will be documented in a defect tracking tool. When a defect has been corrected, the testers will re-test and declare it fixed or report it again, until the requirement has been successfully tested and passed.

CDPH program and technical staff will work with the Solution Vendor throughout the testing process. CDPH staff will provide oversight for contractor testing to ensure the testing effort validates system requirements as well as business needs, and will sign off on the final testing deliverables and processes. The Solution Vendor will package and provide all test data, test scripts, test results, use cases, and test documentation to CDPH for subsequent reuse.

5. Data Conversion/Migration

Data conversion is not needed.

6. Training

CDPH does not have sufficient in-house resources to develop and implement the training required for the CAB Online project. CDPH will contract with an experienced Training and OCM vendor to meet the project's training needs.

The CAB Online training program will utilize a dedicated training environment. The Training Team will assess and report on training needs; develop a training plan, curricula, training schedules, and training materials; and report on training activities. End-user training that helps stakeholders understand how to perform their responsibilities using the CAB Online and updated business processes will comprise the bulk of CAB Online training program. Staff who participate in agile sprints during development of the solution will receive training on the agile methodology used by the project; and testers, help desk staff, system administrators, and others will receive training suitable to their responsibilities. Key opportunities for technical knowledge transfer will be identified and tracked, so they are not overlooked.

If the project is constrained by the COVID-19 pandemic or other factors, use of instructor-led training will be replaced or augmented by other CDPH-approved methods, which may include virtual live demonstrations and instruction, and tutorial videos. For the core solution components, the training program will provide demonstrations, instructions, FAQs, and tutorial videos.

7. Organizational Change Management

CDPH has broad experience with the human centered change-related challenges of IT projects. Program leaders recognize the importance of understanding potential impacts to stakeholders, setting expectations, and sustaining effective bi-directional communication with stakeholders throughout a project. CAB Online stakeholders of all kinds and at all levels will need information about the CAB Online project to understand, manage, and adapt to changes related to the transition to the new system. Additionally, stakeholder communication needs vary by type of stakeholder organization and by the role each person has in their organization. Assessment of potential project impacts on stakeholders will be a key part of the CAB Online OCM initiative.

CDPH does not have in-house staff available who possess the experience and expertise required to conduct the OCM activities required by the CAB Online project. CDPH will contract with an experienced Training and OCM vendor—the same vendor described in Section 2.9.6. Training above—to plan and support CDPH staff in the execution of a comprehensive OCM initiative for the CAB Online project. CDPH staff participating in the OCM initiative will receive training according to their OCM role and individual needs. Members of the project's OCM Team will also receive OCM orientation, knowledge transfer, and guidance from the OCM vendor.

OCM activities will begin on the Project Start Date. The OCM vendor will plan, conduct, and report on activities that promote acceptance and adoption of the CAB Online and will help internal and external project stakeholders prepare for the transition to the CAB Online solution. The OCM scope of work will include development and documentation of new and updated business processes aligned with the CAB Online solution.

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.

The CDPH governance processes for IT projects are mature and encompass both procurement decisions and project decisions. Governance is already underway for the CAB Online project. The project will have a Steering Committee, and the Executive Sponsor is an active participant in project governance, attend projects meetings routinely, and will continue to be involved in each stage of the PAL process.

CDPH staff have a vast amount of procurement knowledge and experience. The CDPH Contracts and Purchasing Services Section staff are highly proficient with state procurements, including the procurement vehicles and contract types referenced in the Stage 2 Alternatives Analysis template, section 2.11.3 and PCC 6611. The PPMB staff assigned to the CAB Online project are highly experienced, routinely manage complex IT projects, and participate in numerous technical procurements annually. PPMB will assign an experienced contract manager to the CAB Online project. The ITSD technical procurement staff who support the diverse technology procurement needs of the Department also have experience managing a wide range of procurements.

CDPH will partner with the CDT STP Division to conduct a modern procurement to select a solution vendor for the CAB Online Project. CDPH understands that successful procurements require a significant amount of time from state staff participants. CDPH is prepared to participate fully, supported by the expertise and guidance of CDT STP Division staff, to complete the procurement process using short-term, concentrated commitments of CDPH expert technical and business program resources.

CDPH has a contract in place for vendor services to support the CAB Online PAL and procurement effort, which has included development of the approved CAB Online PAL Stage 1 Business Analysis (S1BA), as well as the market research activities and development of the content for this Stage 2 Alternatives Analysis (S2AA). This vendor team has extensive experience with California's procurement processes and all stages of the PAL process.

2.10 Project Planning

1. Project Management Risk Assessment

Updated Project Management Risk Score: **0.9**

Attach Updated PM Risk Assessment to your email submission. SIMM Section 45A

2. Project Charter

Is your project charter approved by the designated Agency/state entity authority and available for the Department of Technology to review? **Choose**: 'Yes,' 'No,' or 'Not Applicable.' If 'No' or 'Not Applicable,' provide the artifact status in the space provided.

Project Charter (Approved): **Yes**

Status: Final draft charter is 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): **Yes**

Status: Final draft plan based on CDPH IT project standards is complete.

Communication Management Plan (Approved): **Yes**

Status: Final draft plan based on CDPH IT project standards is complete.

Schedule Management Plan (Approved) : **Yes**

Status: Final draft plan based on CDPH IT project standards is complete.

Procurement Management Plan (Approved): **Yes**

Status: Final draft plan based on CDPH IT project standards is complete.

Requirements Management Plan (Approved): **Yes**

Status: Final draft plan based on CDPH IT project standards is complete.

Stakeholder Management Plan (Draft): **Yes**

Status: Draft plan based on CDPH IT project standards is complete.

Governance Plan (Draft): **Yes**

Status: Draft plan based on CDPH IT project standards is complete.

Contract Management Plan (Draft): **Yes**

Status: Draft plan based on CDPH IT project standards is complete.

Resource Management Plan (Draft): **Yes**

Status: Draft plan based on CDPH IT project standards is complete.

Change Control Management Plan (Draft): **Yes**

Status: Draft plan based on CDPH IT project standards is complete.

Risk Management Plan (Draft + Risk Log): **Yes**

Status: Draft plan based on CDPH IT project standards is complete.

Issue and Action Item Management Plan (Draft + Issue Log): **Yes**

Status: Draft plan based on CDPH IT project standards is complete.

Cost Management Plan (Approved if planning BCP approved): **Not Applicable**

Status: Not applicable

4. **Project** Roadmap (High-Level)

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

   a) Planning Start Date: **7/1/2022**

   b) Estimated Planning End Date: **12/31/2025**

   c) Estimated Project Start Date: **1/1/2026**

   d) Estimated Project End Date: **12/31/2027**

2.11 Data Cleansing, Conversion, and Migration

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

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

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

1. **Current Environment Analysis:** Choose an item.

   Click or tap here to enter text.

2. **Data Migration Plan:** Choose an item.

   Click or tap here to enter text.

3. **Data Profiling:** Choose an item.

   Click or tap here to enter text.

4. **Data Cleansing and Correction:** Choose an item.

   Click or tap here to enter text.

5. **Data Quality Assessment:** Choose an item.

   Click or tap here to enter text.

6. **Data Quality Business Rules:** Choose an item.

   Click or tap here to enter text.

7. **Data Dictionaries:** Choose an item.

   Click or tap here to enter text.

8. **Data Conversion/Migration Requirements:** Choose an item.

   Click or tap here to enter text.

2.12 Financial Analysis Worksheets

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

End of agency/state entity document.

Please ensure ADA compliance before submitting this document to CDT.

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

Department of Technology Use Only

Original "New Submission" Date: 12/15/2023 Form

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Form Status Date: 05/14/2024

Form Disposition: Approved

Form Disposition Date: 05/14/2024