



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:** 7100 - Employment Development Department

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

7100

2. **Proposal Name:** Document Management System

3. **Department of Technology Project Number (0000-000):** 7100-237

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

5. **CDT Billing Case Number:** CS0062891

Don't have a Case Number?

2.2 Submittal Information

1. **Contact Information**

Contact Name: Brenda O'Brien

Contact Email: Brenda.OBrien@edd.ca.gov

Contact Phone: 916-699-6559

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. [Attachment 2.2.3](#)
4. Attach [Procurement Assessment Form](#) to your email submission. [Attachment 2.2.4](#)
5. **Conditions from Stage 1 Approval** (Enter any conditions from the Stage 1 Business Analysis approval letter issued by CDT or your AIO):

N/A

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 Employment Development Department's (EDD) Document and Information Management Center (DIMC) uses high speed equipment and advanced technologies, known as the Document Management System (DMS), to provide mail opening, mail sorting, document imaging, data capture, document storage and retrieval, fund allocation, and cashiering services. These services are primarily for the Unemployment Insurance Branch (UIB), Disability Insurance Branch (DIB), Tax Branch, Workforce Services Branch (WSB), Information Technology Branch (ITB), and the Administration Branch. Data from the documents and electronic submissions, once captured and purified, is automatically uploaded to various mainframe, client server, and web applications. Images of the paper documents are then archived for long-term storage or routed through workload management queues for processing within content management system. The same services, at a lower volume, are also provided to the California Unemployment Insurance Board (CUIAB), the Department of Child Support Services (DCSS), and the Department of Industrial Relations (DIR). Funds electronically deposited as a result of the cashiering services are available for immediate fund allocation and use by the State Treasurer's Office (STO) and the State Controller's Office (SCO). The following are the high-level DIMC DMS processes:

- **Data Capture:** Data Capture encompasses mail opening, scanning, data capture, and manual data purification.
 - High-volume semi-automated mail opening
 - Mail opening machines are used to rapidly open and sort a large volume of mail pieces.
 - High-speed scanning
 - A variety of scanning equipment is used to rapidly produce high-quality images of paper documents. The reading of barcodes and "patch" codes is used to gather batch information and separate multi-page documents.
 - Optical Character Recognition (OCR) data capture
 - For high-volume forms designed for data-capture, data is automatically read and captured, which reduces the information that needs to be manually entered; thus, saving processing time.
 - Data entry and purification

- On forms where the data cannot be automatically captured by the Data Capture processes, the document data is entered by a DIMC Key Data Operator; thus, purifying the data.
 - De-Obfuscation
 - EDD's Claimant Privacy Measures (CPM) project introduced a requirement for social security numbers to be obfuscated, for DE 2501 (Claim for Paid Family Leave) forms, and the DMS data capture and image archiving components now include functionality to de-obfuscate social security numbers.
 - The DMS Data capture application interfaces with a CPM application server residing at the Office of Technology Services Data Center as a participant in the social security number obfuscation process.
 - Data capture is utilized to process high volume forms for the UIB, DIB (including the Paid Family Leave program), and Tax Branch; and low volume forms for the CUIAB, DCSS, and DIR
- **Remittance Processing:** Remittance Processing is used to process tax remittances as well as UI and State Disability Insurance (SDI) benefit overpayments.
 - Data entry and purification
 - On forms where the data cannot be automatically captured by any of the Data Capture processes, the remittance data is entered by a DIMC Key Data Operator; thus, purifying the data.
 - In addition to OCR, Magnetic Ink Character Recognition (MICR) reading is another capability that is applied to checks in the remittance process. MICR allows the payments to be sent via an Image Cash Letter to the appropriate banks through an automated process; depositing funds faster and increasing accuracy.
- **Image Archiving:** Image Archiving is used by all supported business areas within EDD, including the UIB, DIB, Tax Branch, WSB, ITB, and Administration Branch.
 - The DMS allows for images stored in the content management system to be associated with various "index" values. These values allow EDD users throughout the State to quickly locate document images related to a specific account through a simple query. Index values are either entered directly into the content management system or added automatically from the data capture process.
 - In addition to the images used in the data-capture process, the content management system also stores other miscellaneous forms and correspondence scanned by DIMC through the DMS.
- **Supporting Processes:** Supporting Processes are 30 custom processes that support the main three DMS business processes through importing and exporting data.
 - Importing data
 - Data and images from a variety of sources are imported into the target destination using an appropriate custom import process. For example, the EDD Federal State Employment Taxes application receives the XML data from large external tax filers such as Intuit and ADP, parses the XML and sends the data to the Accounting and Compliance Enterprise System (ACES) for further processing.

- Mainframe Exception processing workloads from the Base Wage Database (BWDB) and Benefit Charge (BCB) systems.
- Multiple custom fax application suites process forms received via fax such as the Commercial Employer Account Registration and Update Form (DE1) and the BOCA forms for ingestion into the Infolmage workflow and archive.
- Exporting data and file transfer
 - After processing at DIMC is complete, a variety of data exports are performed depending on the needs of various business areas. For example, a custom DMS data extraction application extracts data nightly from the Benefit Overpayment Collection Automation (BOCA) workflow in Infolmage and sends the file to ACES system for further processing.
 - Custom developed data transfer applications such as the Import Export Module and the Shadow Electronic File Transfer sends data to the EDD mainframe daily.

Note: Fund Allocation: Any remittance processed has the ability for portions of the remittance to be allocated to different funding accounts including, but not limited to, Unemployment Insurance (UI), Employment Training Tax (ETT), State Disability Insurance (SDI), California Personal Income Tax (PIT), Penalty, and Interest.

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 Folder 2.3.1](#)

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)

EDD's Document Management System (DMS) is a robust Commercial Off The Shelf document management application suite which supports approximately 11,000 end users statewide. The DMS features an integrated image workflow and archiving, scanning and data capture solution that supports EDD program services. The current system consists of three main components that support the DMS infrastructure:

- **Document Management/Image Archiving:** supports the storage and retrieval of documents scanned and imaged by system. This component also provides workflow routing and long term storage based on business rules for each form type. Forms are accessed/routed based on role-based access.
- **Data Capture:** this component extracts information from forms/documents into appropriate work queues for processing. This module includes a data purification process aligned with business rules created during route implementation for each form/document type.
- **Remittance Processing:** processes and packages all types of remittance checks received for payroll taxes and benefit overpayment submitted to EDD. This component

also has a data purification/exception processing based on business rules and industry standards for processing checks.

The current infrastructure is hosted on hardware centrally located at the Goethe facility and utilizes VMware to create virtual servers that host the document management applications. The servers are hosted on Windows Server and SQL 2016/2019 environments. The DMS has over 30 integrated custom applications which process and package data for EDD core business systems, enterprise databases, and applications that are mission critical to EDD's program services hosted at EDD's Central Office and State of California's Department of Technology. Listed below are main core business systems DMS interfaces with along with a listing of the more critical custom applications used by the DMS solution:

EDD Core Systems

- Mainframe Systems: Single Client Database (SCDB) - Legacy system of record for Unemployment Insurance (UI), Disability Insurance (DI), and Paid Family Leave (PFL) benefit claims; Base Wage Database (BWDB) – Legacy System of record for Employee Wage Data.
- UI Online: Custom application built for processing UI continued claims benefits
- State Disability Insurance Online: Custom application for processing DI continued claims
- PFL System: Custom application for processing PFL continued claims
- Accounting and Compliance Enterprise System (ACES): Application/system used for managing and collecting payroll taxes

Custom Applications

- Federal, State and Employment Taxes (FSET): downloads and packages employer payment information (DE 88, DE9, DE 9C) for processing by ACES
- Image Cash Letter (ICL): works in conjunction with remittance processing application to transfer batched payments to 8 banks
- Import-Export Module (IEM): Processes files to EDD's Mainframe
- Interface Conversion Module (ICM): Processes and creates .DDF and .IEM files to upload to EDD Mainframe and DMS for program purposes. File formats created are based on form/document type
- Shadow Exception File Transfer (SEFT): Uploads and downloads files to/from Mainframe.

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 Folder 2.3.2](#)

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: [Ajit Girm](#)

Data Owner Title: Application Services Division Chief

Data Owner Business Program area: [Information Technology Branch](#)

Data Custodian Name: [Kelly York](#)

Data Custodian Title: [Document Technology Manager](#)

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

Security - Data Classification and Categorization [Yes](#)

Security - Privacy Threshold & Impact Assessment. [Yes](#)

4. Existing Data Governance and Data

a) Do you have existing data that must be migrated to your new solution?

Answer (Unknown, Yes, No): [Yes](#)

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

Select data quality rating: [Few issues identified with the existing data.](#)

b) Does the Agency/state entity have an established data governance body with well-defined roles and responsibilities to support data governance activities?

Answer (Unknown, Yes, No): [No](#)

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

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

Answer (Unknown, Yes, No): [No](#)

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

d) Does the Agency/state entity have data security policies, standards, controls, and procedures formally defined, documented, and implemented?

Answer (Unknown, Yes, No): [Yes](#)

If Yes, attach the existing documented security policies, standards, and controls used to your email submission. [Attachment 2.3.4.d](#)

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. [Attachment 2.3.4.e](#)

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 2.3.5**

6. Security Categorization Impact Table Summary

Consult the [SIMM 5305-A Information Security Program Management Standard - Security Categorization Impact Table](#) to provide potential impact levels of the following areas:

Confidentiality: **Medium**

Integrity: **Medium**

Availability: **Medium**

7. Technical Complexity Score: 2.1 **Attachment 2.3.7**

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

2.4 Requirements and Outcomes

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

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

Attach the spreadsheet of Requirements Attachment 2.4.1

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: Qualified resources will be assigned to the project and will remain on the project until no longer needed.

Description/Potential Impact: The project could be delayed and product quality could be impacted if resources are not made available.

Assumption: The project executives will actively participate in the project, complete reviews and make decisions in a timely fashion.

Description/Potential Impact: The project could be delayed if approvals are not received in a timely manner

Assumption: The business (UIB, DIB/PFL, Tax Branch, and Administration Branch), will drive the functional requirements for all business processes and actively provide additional Subject Matter Experts (SME) input whenever required.

Description/Potential Impact: The project could be delayed and/or require rework due to misstated or missed requirements.

Assumption: Internal EDD and Labor and Workforce Development Agency review and approvals will be completed in a timely manner.

Description/Potential Impact: The project could be delayed and/or require rework due to lack of timely direction from the project executives.

Assumption: The project will require modification and/or creation of new business processes.

Description/Potential Impact: Without supporting efficient business processes, project objectives may not be met

Assumption: The Organizational Change Management (OCM) efforts will be sufficient to support successful project implementation.

Description/Potential Impact: The lack of effective OCM efforts could result in delayed realization of project objectives

Assumption: The Project progresses to ensure continued alignment with Department needs.

Description/Potential Impact: As project planning progresses through the PAL process, project objectives may need to be revised to address new or unanticipated Department needs. For example, alignment with the recent "Employment Development Department Strike Team Detailed Assessment and Recommendations" report.

Assumption: System requirements and vendor contract will address scalability to anticipate any new legislative mandates.

Description/Potential Impact: The solution may not be able to address business needs resulting from legislative mandates

Constraint: In order to realize full system potential, program areas will accept and support and accept process improvements (changes) necessitated by project implementation.

Description/Potential Impact: The lack of timely adoption of process changes could result in delayed realization of project objectives

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: Expert Program and Technical Staff

Dependency Description: Expert program and technical staff must be secured on an ongoing basis to support the development of functional and non-functional system requirements, business rule extraction and discovery, data quality analysis, and system implementation support.

Dependency Element: Cloud hosted solutions may have unexpected downtime where the system will not be available

Dependency Description: Cloud solutions are generally reliable, and vendor will be held to service level agreements; however, EDD will be dependent on the service provider. This will be outside of EDD's control.

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

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

Approach:

The EDD issued a Request for Information (RFI) for solutions that could meet the department’s scanning, data capture, document management and remittance processing needs as a possible replacement and modernization for the current DMS.

The EDD received thirteen responses from a mix of enterprise and cloud-based solution providers and system integrators. Solutions proposed included custom developed, software as a service (SaaS), platform as-a-service (PaaS), commercial-off-the-shelf (COTS) and modified off-the-shelf (MOTS) systems, with many offerings both cloud and on-premises hosting options.

Three vendors provided onsite demonstrations between January 22 and January 29, 2020. The EDD provided vendors a demonstration script that covered a range of functional needs and helped ensure a fair comparison of solutions. EDD executives, management, and program/IT SMEs participated in the demonstrations.

Two of the three vendors gave demonstrations offering both cloud and on-premise hosting options, with one vendor proposing a cloud-only solution. One of the vendors was recognized as a leader in Gartner’s Magic Quadrant in the Content Services category.

Additional internet research was performed in January 2023 to confirm that the vendors and products continue to provide the services necessary to meet the DMS project objectives and needs.

Findings:

The vendor demonstrations validated that EDD’s business requirements could be met through a single solution hosted either on-premise or in the cloud.

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. [Attachment Folder 2.7.4.0](#)

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: Procure a new COTS/MOTS Solution (EDD Hosted Cloud)

Description: For this alternative, EDD selects and engages an external vendor to configure, modify, integrate, and implement a COTS/MOTS DMS software solution to replace the image archiving (Infolmage), data capture (iCapture), and remittance processing components. The

COTS/MOTS solution will reduce or eliminate the number of custom developed components that were built to support processes and functionality not available in the existing DMS COTS solution.

Through a competitive procurement, EDD will select a COTS/MOTS software product(s) and solution integration vendor (system integrator). However, because of the unique DMS requirements it may be necessary for the solution integration vendor to not only configure the COTS/MOTS product but also perform minimal software customizations where applicable. The proposed DMS project goal is to have a fully developed solution within 36 months of project initiation.

The solution will be configured, modified, and implemented through collaborative efforts of the COTS/MOTS product vendor, as well as EDD business and technical staff. The COTS/MOTS will be hosted in the EDD hosted AWS environment which will enable ongoing development and maintenance. Maintenance and operations of the new system will be the responsibility of the systems integration vendor in conjunction with the DMS IT staff. Before the contract expires, the system integration vendor will also mentor the DMS IT staff on maintenance of the systems for transitional purposes

Why is this a viable solution? Please explain:

- COTS/MOTS software products are typically more stable and mature because of each COTS/MOTS solution vendor's dedication to software development; adherence to formal institutionalized processes; 100% dedication of knowledge teams to the business domain; and continual vetting and refining of their products over years with multiple similar customers.
- In an EDD Hosted environment, resources are deployed in-house and within an enterprise's IT infrastructure. An enterprise is responsible for maintaining the solution and all its related processes.
- Time to deployment is shorter compared to a custom developed solution since the reviewed COTS/MOTS products will meet the majority of the requirements with minimal software modification required.
- The time commitment from business staff is minimal to moderate during the software configuration, customization, and deployment timeframe.
- COTS/MOTS software products are typically based on technology platforms that enable the exchange of data with a variety of other technology platforms and formats, and allow vendors to customize, extend, test, and build applications and workflows to meet specific needs.
- The modular nature of the known COTS/MOTS products will allow EDD the flexibility for phased implementation approaches.
- COTS/MOTS software may have additional functionality that can be scaled as future business requirements evolve, typically for a small increase in software licensing cost or potentially no additional cost.
- COTS/MOTS software is typically well documented, and the documentation is updated for each change to the software.
- Much of the functionality is already in place in COTS/MOTS systems.
- Ability to leverage vendor experience and lessons learned in the implementation and maintenance of the COTS/MOTS solution.

- With a COTS/MOTS EDD AWS Cloud Hosted solution, supportability is better as EDD has control of the entire environment and any changes, configurations and/or upgrades are done on at EDD's discretion.

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: [Yes](#) Specify: [Purchase COTS/MOTS Solution](#)

Architecture Information

Business Function(s)/Process(es): [Document Management, Document Scanning, OCR, Rules Based Workflows and Remittance Processing](#)

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: [AWS Cloud Technology](#)

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: EDD's Document Management System (DMS) integrates with EDD mainframe and business applications for UI, DI, PFL and Tax Lines of business. Includes descriptions of the EDD systems integrate with the Document Management Systems.

- SCDB
- BWDB
- BCB
- ACES
- CUBS
- SDIO
- UI Workshare (Salesforce)

- PFL
- CA SIDES
- CUIAB Appeals Decisions

Explain New System Interfaces: [None](#)

Data Center Location of the To-be Solution: [Agency/state entity operated by agency/state entity](#)

If Other, specify: [EDD AWS Hosted Cloud](#)

Security

Access

Public: [No](#)

Internal State Staff: [Yes](#)

External State Staff: [No](#)

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

Type of Information (Select Yes or No for each to identify the type of information that requires protection. See the SAM Section 5305.5 for more information.)

Personal: [Yes](#)

Health: [Yes](#)

Tax: [Yes](#)

Financial: [Yes](#)

Legal: [No](#)

Confidential: [Yes](#)

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: [N/A](#)

Total Viable Alternative #1 Solution Cost (copy from FAW – Executive Cost Summary tab, cells E7 through E11): [Attachment 2.8.1](#)

Planning Costs: [\\$5,138, 000](#)

One-Time (Project) Costs: \$78,596,000

Total Future Ops. IT Staff OE&E Costs: \$27,359,000

Total Proposed Cost: \$111,094,000

Annual Future Ops. Costs (M&O): \$27.359,000

2. Viable Alternative Solution #2

Name: COTS/MOTS Hosted on Premise

Description: For this alternative, EDD selects and engages an external vendor to configure, modify, integrate, and implement a COTS/MOTS DMS software solution to replace the image archiving (Infolmage), data capture (iCapture) and remittance processing components. The COTS/MOTS solution will reduce or eliminate the number of custom developed components that were built to support processes and functionality not available in the existing DMS COTS solution.

Through a competitive procurement, EDD will select a COTS/MOTS software product and solution integration vendor (system integrator). However, because of the unique DMS requirements it may be necessary for the solution integration vendor to not only configure the COTS/MOTS product but also perform minimal software customizations where applicable. The proposed DMS project goal is to have a fully developed solution within 36 months of project initiation

The solution will be configured, modified, and implemented through collaborative efforts of the COTS/MOTS product vendor, as well as EDD business and technical staff. The COTS/MOTS will be installed within the EDD hosted infrastructure that supports the EDD on premises services. The integration vendor will configure, customize, test, and implement the product. Maintenance and operations of the new system will be the responsibility of the vendor in conjunction with the DMS IT staff.

Why is this a viable solution? Please explain:

- A COTS/MOTS on-premise solution will leverage EDD existing data center infrastructure has a lower capital expenditure as there is no need to purchase additional data center equipment.
- COTS/MOTS software products are typically more stable and mature because of each COTS/MOTS solution vendor's dedication to software development; adherence to formal institutionalized processes; 100% dedication of knowledge teams to the business domain; and continual vetting and refining of their products over years with multiple similar customers.
- The time commitment from business staff is minimal to moderate during the software configuration, customization, and deployment timeframe.
- COTS/MOTS software products are typically based on technology platforms that enable the exchange of data with a variety of other technology platforms and formats, and allow vendors to customize, extend, test, and build applications and workflows to meet specific needs.
- The modular nature of the known COTS/MOTS products will allow EDD the flexibility for a variety of phased implementation approaches.

- COTS/MOTS software may have additional capabilities that can be leveraged when required at a later date, generally for a relatively small increase in software license cost or in some cases for no additional cost.
- COTS/MOTS software is typically being continually improved, with additional functionality and technical enhancements being added on a frequent basis.
- COTS/MOTS software is typically well documented, and the documentation is updated for each change to the software.
- Much of the functionality is already in place in COTS/MOTS systems.
- Ability to leverage vendor experience and lessons learned in the implementation and maintenance of the COTS/MOTS solution.
- COTS/MOTS solutions can be scaled up or back as business requirements evolve. Additional capacity can be added quickly, and new add-ons can be purchased as a part of a subscription at a later date to meet new requirements that call for new system functionality.

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: [Yes](#) Specify: [Purchase COTS/MOTS Solution \(hosted within the EDD on-premises environment\)](#)

Architecture Information

Business Function(s)/Process(es): [Document Management, Document Scanning, OCR, Rules Based Workflows and Remittance Processing](#)

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: [COTS/MOTS EDD Hosted on Premise](#)

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: EDD's Document Management System (DMS) integrates with business applications for UI, DI, PFL and Tax Lines of business. Includes descriptions of the EDD systems integrate with the Document Management Systems.

- ACES
- CUBS
- SDIO
- UI Workshare (Salesforce)
- PFL
- CA SIDES
- CUIAB Appeals Decisions

Explain New System Interfaces: [N/A](#)

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

If Other, specify: [COTS/MOTS Hosted on Premise](#)

Security

Access:

Public: [No](#)

Internal State Staff: [Yes](#)

External State Staff: [No](#)

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

Type of Information (Select Yes or No for each to identify the type of information that requires protection. See the SAM Section 5305.5 for more information.)

Personal: [Yes](#)

Health: [Yes](#)

Tax: [Yes](#)

Financial: [Yes](#)

Legal: [No](#)

Confidential: [Yes](#)

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: [N/A](#)

Total Viable Alternative #2 Solution Cost (copy from FAW – Summary tab, cell AL33):
[Attachment 2.8.2](#)

Total Proposed Cost: \$39,645,000

3. Viable Alternative Solution #3

Name: [Custom Developed DMS Replacement Solution](#)

Description: For this alternative, the EDD engages both EDD IT staff and external vendor resources to develop and implement a custom DMS solution using a combination of on-premises and cloud-based components to meet EDD's business requirements via a hybrid cloud solution. This custom developed solution may leverage a combination of third party, cloud-based software components as well as cloud-based application programming interfaces (APIs) and other third-party COTS software, such as SaaS, to support image storage retrieval, business process management (workflow), remittance processing capabilities, and interfaces with existing EDD systems.

DMS will obtain an external solution integration vendor experienced with deploying cloud-based content management solutions. The proposed DMS project goal is to have a fully developed solution within 36 months of project initiation. Custom developed solution is the costliest and most time consuming alternative.

The custom developed solution components will be hosted on-premises with the cloud-based components hosted in a private cloud.

Why is this a viable solution? Please explain:

- Allows the EDD to continue to take advantage of existing architecture and components on-premises, allowing applications and components to interoperate across boundaries (on-premise and in the cloud). Components not suited for the cloud would remain on-premises.
- A custom application tailored to EDD's business needs can be revised on an as needed basis to incorporate business process improvement efforts and revisions/updates to forms. As creators of the solution, EDD developers have more control over architecture as business needs change.
- The data capture and remittance processing components can be built using technology and architecture supported by EDD staff.
- Provides EDD greater control over how certain business processes are supported and accommodated within the solution.
- A cloud-based content service component has a shorter implementation timeframe compared to a custom developed content service solution.

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: [Yes](#)

Other: [Yes](#) Specify: [Custom](#)

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

Total Proposed Cost: [\\$35,292,000](#)

Conceptual Architecture

Attach a copy of the conceptual architecture to your email submission. [Attachment 2.8.3](#)

Business Function(s)/Process(es): [Supporting Processes \(DMS Custom Applications\)](#)
or **Custom:** [Custom](#)

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

Name/Primary Technology: [Custom Developed DMS Replacement Solution](#)

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: [Infolmage, iCapture, ACES, BOCA, EDD Mainframe](#)

Explain New System Interfaces: [N/A](#)

Data Center Location of the To-be Solution: [State data center operated by CDT](#)

If Other, specify:

Security

Access:

Public: [No](#)

Internal State Staff: [Yes](#)

External State Staff: [No](#)

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

Type of Information (Select Yes or No for each to identify the type of information that requires protection. See the SAM Section 5305.5 for more information.)

Personal: [Yes](#)

Health: [Yes](#)

Tax: [Yes](#)

Financial: [Yes](#)

Legal: [No](#)

Confidential: [Yes](#)

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: [N/A](#)

Conceptual Architecture

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

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

or Custom: [Custom](#)

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

Name/Primary Technology: [iCapture](#)

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: IBML, Infolmage

Explain New System Interfaces: [N/A](#)

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

Type of Information (Select Yes or No for each to identify the type of information that requires protection. See the SAM Section 5305.5 for more information.)

Personal: [Yes](#)

Health: [Yes](#)

Tax: [Yes](#)

Financial: [Yes](#)

Legal: [Yes](#)

Confidential: [Yes](#)

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: [N/A](#)

Conceptual Architecture

Attach a copy of the conceptual architecture to your email submission. [Attachment 2.8.3](#)

Business Function(s)/Process(es): [Remittance Processing \(TMS\)](#)

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

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

Name/Primary Technology: [TMS 2011 by Exela Technologies](#)

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: [FTP to banks, ACES, ICM](#)

Explain New System Interfaces: [N/A](#)

Data Center Location of the To-be Solution: [State data center operated by CDT](#)

If Other, specify: [N/A](#)

Security

Access:

Public: [No](#)

Internal State Staff: [Yes](#)

External State Staff: [No](#)

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

Type of Information (Select Yes or No for each to identify the type of information that requires protection. See the SAM Section 5305.5 for more information.)

Personal: [Yes](#)

Health: [No](#)

Tax: [Yes](#)

Financial: [Yes](#)

Legal: [No](#)

Confidential: [Yes](#)

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

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

Technical Security: [Yes](#)

Physical Security: [Yes](#)

Backup and Recovery: [Yes](#)

Identity Authorization and Authentication: [Yes](#)

Other, specify: [N/A](#)

Business Function(s)/Process(es): [Scanning, Keying, Imaging, Processing \(SKIP\)](#)

or **Custom:** [Custom](#)

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

Name/Primary Technology: TMS 2011 by Exela Technologies

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:

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

Data Center Location of the To-be Solution: [Agency/state entity operated by agency/state entity](#)

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

Security

Access:

Public: [No](#)

Internal State Staff: [Yes](#)

External State Staff: [No](#)

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

Type of Information (Select Yes or No for each to identify the type of information that requires protection. See the SAM Section 5305.5 for more information.)

Personal: [No](#)

Health: [No](#)

Tax: [No](#)

Financial: [Yes](#)

Legal: [No](#)

Confidential: [Yes](#)

Other: [Yes](#) Specify: [Sensitive- Hazardous Waste Info](#)

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.](#)

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 2.9.1](#)

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

[Matrixed](#)

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

1. Administrative

The EDD's Administration Branch, UIB, DIB, and Tax have the capacity and capability needed to maintain ongoing operations and absorb the proposed additional workload this project is anticipated to generate. The existing staff of the above-mentioned branches have sufficient experience to provide project support for this project with experience performing all imperative administrative functions necessary to maintain EDD's operations.

Procurement

The EDD will assemble a procurement team and the team will ascribe a lead to assist the CDT with the procurement execution as needed for the proposed DMS project. The procurement team will consist of staff from all above-mentioned branches and will perform the following functions:

- The Administration Branch's Business Operations Planning and Support Division will:
 - Attend solicitation workshops with CDT and various program areas.
 - Review/approve the solicitation prior to release.
 - Attend the Phase I evaluations.
 - Administer, provide guidance, and furnish internal oversight over all procurements.
 - Advise of existing, new, or modified state procurement policies and regulations and work with the Department of Technology Statewide Technology Procurement Office as required.
- The ITB's Technology Governance Division (TGD) will:
 - Keep all parties informed of the solicitation progress post Phase I evaluations.
- The ITB's TGD and Infrastructure Services Division in cooperation with the Administration Branch's DIMC and the CDT will:
 - Attend solicitation workshops.
 - Develop official solicitation materials.
 - Attend the Phase 1 evaluations.

Contract management

All applicable contract management, as needed for the proposed DMS project, will be performed

by the assigned contract manager in conjunction with assistance from the ITB TGD. The contract manager will:

- Oversee the DMS contract/s.
- Manage the contractor and the deliverables.
- Collect, review, and approve the contractor project status reports and time sheets.
- Participate in contractor performance reviews by reviewing and evaluating deficiencies.
- Participate in procurement and contract meetings.
- Monitor and approve contractor deliverables.
- Monitor, analyze, and mitigate contract-related risks and issues.
- Review and approve work authorizations and invoices
- Facilitate amendments.
- Complete the Contractor Evaluation Report after the contract expires.

Budget

The proposed DMS project budget related workload is part of the existing duties of the Administration Branch's Fiscal Programs Division (FPD), UIB, DIB/PFI, Tax, and the ITB staff. The ITB TGD, UIB, DIB/PFL, and Tax, with the support from the Administration Branch's FPD, will provide budget-related assistance and guidance to the DMS Project Manager. Responsibilities include:

- Consult with the program areas to determine the costs associated with staffing and operational needs for the project.
- Develop the Financial Analysis Worksheets.
- Determine BCP funds needed for the project.
- Act as a liaison between the DOF and other control agencies.
- Track expended funds and prepare fiscal expenditure reports.

Furthermore, the proposed DMS project will utilize the Administration Branch's Human Resources Division to assist the ITB TGD and DMS to perform and manage all human resource related functions such as resource development, training, compensation, safety and health, and staff and labor relations.

Any additional information, if necessary, will be provided in Stage 4.

2. Business Program

The EDD's Administration Branch's DIMC has the capacity and capability needed to maintain ongoing operations in conjunction with the proposed project workload. The UIB, DIB, and Tax will participate in the proposed project. Furthermore, the branches mentioned previously have sufficient experience to provide support for this project with experience performing all imperative program functions necessary to maintain UIB, DIB/PFL, and Tax operations.

The EDDNext Project team will work with the Branch's to assemble a project team to perform, oversee, and ensure a successful project execution as needed for the proposed DMS project. The project team will consist of staff from all above mentioned branches and will perform the following functions:

- Conduct or directly manage daily activity such as requirements validation, process design, data conversion, environmental setup, quality assurance, testing, training, deployment, and other activities.
- Manage the workflows, which contains all the business rules, forms, queries and variables, as well as all system security.
- Assist with various procurement tasks such as defining technical and functional requirements, providing input and reviewing the Request for Information and assessing solution vendor proposal responses.
- Ensure that all required functionality is included in the designed solution by providing business, process and technical knowledge to the project team.
- Ensure that the completed solution meets the functional and technical requirements defined through extensive requirements validation, process design, and system acceptance testing activities.
- Plan, develop, and deliver training to technical staff and end users.

The DIMC and ITB identified SMEs (including UIB, DIB/PFL and Tax SMES) have the program knowledge to participate in all change management and business reengineering sessions.

The above mentioned business program Deputy Directors are members of the proposed DMS project steering committee.

3. Information Technology

The DMS project will leverage ITB redirected EDD document management system experts to participate in and contribute to the DMS project. The majority of EDD's IT resources have sufficient experience to provide project support with most staff performing all aspects of document management functions necessary to maintain EDD's operations. Furthermore, the proposed DMS project has identified and established a technical team and a Project Manager.

The DMS project will use existing IT resources from the various divisions within ITB and they will be appointed by the respective management teams based on their knowledge, experience, and skillset.

Additional ITB staff will serve as SMEs. While not a permanent part of the proposed DMS project team, they will respond to specific requests as needed.

If needed, contractors will be utilized to supplement state staff when state staff do not possess the necessary skills and the responsibilities are of a temporary nature. The proposed DMS project will follow standard EDD procurement processes in compliance with applicable laws and regulations.

4. Testing

The existing IT resources have the capacity and capability needed to maintain the EDDs' testing needs for current operations in conjunction with the proposed project workload. The EDD has a dedicated section, the Enterprise Testing Office, which performs all aspects of testing needed for new systems/sub-systems and programs. The EDD will utilize a combination of ITB, UIB, DIB/PFL, DIMC, Tax, and vendor staff with the capacity and capability needed for overall testing

efforts. Further, all above mentioned branches have sufficient experience to provide project support experience performing all imperative skillset necessary to maintain EDD's operations.

The project will use state staff to the extent the necessary skillsets exist and are available. The EDD Enterprise Testing Office (ETO) staff has experience testing EDD applications. The ETO will identify a Test Manager to provide guidance for the overall testing. The Test Manager's and test team duties will include:

- Collaborating and coordinating with the DMS Project Manager, Vendor Project Manager and Vendor Test Lead
- development, review and approval of the test plan
- test scope
- test scripts
- test approach
- defect management plan
- defect severity classification
- pass/fail criteria for test cases
- identifying and raising any risks related to testing throughout the effort and monitoring all
- test phases (Unit, Integration, System, Performance, User Acceptance)
- types of testing (e.g., – Black Box, White Box, Regression, Stress, etc.) throughout the effort.

The proposed DMS project will use the existing IT resources from the various divisions within ITB and they will be appointed by the respective management teams based on their knowledge, experience, and skillset.

Additional ITB staff will serve as SMEs. While not a permanent part of the proposed DMS project team, they will respond to specific requests as needed.

The EDD may supplement the state staff with expert vendor resources and testing software.

Contractors will be utilized on the proposed DMS project when state staff do not possess the necessary skills or the responsibilities are of a temporary nature. The proposed DMS project will follow standard EDD procurement processes in compliance with applicable laws and regulations.

5. Data Conversion/Migration

Data Conversion/Migration plans will be established once the vendor has been selected and the implementation plan is developed. Once the implementation plan has been completed, the EDD will select the resources to support the Data Conversion/Migration plan.

6. Training

The EDD plans to prepare their stakeholders for the upcoming project by having the team of state staff and consultants., disseminate information about the proposed DMS project.

The OCM, Communications, and Training Lead will be responsible for:

- Stakeholder communications.
- Managing all training activities and document preparation.
- Coordinating and/or developing training plans, curriculum, and materials.
- Delivering “Train the Trainers” sessions and the agreed upon curriculum.
- Developing OCM and communication strategies incorporating mainstream OCM methodologies (Adkar, Kotter, etc.).

7. Organizational Change Management

The EDD plans to prepare stakeholders for the upcoming project by establishing the DMS Organizational Change Management (OCM) and Training teams. The Department has an existing OCM team to leverage throughout the project lifecycle. The ITB existing OCM staff will be leveraged to form a DMS OCM team. The Department plans to procure consultant services for OCM support, if necessary. All above mentioned staff have sufficient experience to provide project support with experience performing all imperative tasks necessary to maintain EDD’s operations.

The OCM team will continually work with the stakeholders educating them about the changes, providing them the opportunity to buy in to the vision and structure of the change, and eventually adopt the change. The team will seek to prepare staff and the EDD organization for new processes and technology through services that educate the staff about the change and how they will successfully perform their responsibilities in the new system. The formation of this team of state staff and consultants, along with leveraging existing OCM teams, prior project experiences, will ensure that the project’s OCM activities are managed successfully through project completion.

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 EDD has been successful in IT procurements, the past several years, with the experienced IT contracting staff. The EDD Branches and Business Divisions are strong supporters of implementing the proposed DMS project, and the ITB has prioritized key resources for the project. .

The primary requirement from existing EDD staff is to provide Subject Matter Experts (SMEs) for various business processes and technical disciplines. The vendor will be responsible for the configuration and implementation of the system, including the development of interfaces (if needed). Therefore, individual SMEs will not be needed continuously, but on an activity-by-activity basis. Initially, they will be needed to confirm and describe the meaning of functional requirements for the vendor to configure and implement. After this, they will review and approve the requirements and configurations documents that the vendor produces and they will participate in the testing. Similarly, IT staff will provide SME knowledge to the vendor regarding current interfaces that will need to be rebuilt to communicate with the new DMS. The vendor will be responsible for the development of these interfaces, while IT staff will help with testing.

2.10 Project Planning

1. Project Management Risk Assessment

Updated Project Management Risk Score: 0.5

Attach Updated PM Risk Assessment to your email submission. [SIMM Section 45A Attachment 2.10.1](#)

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. [Attachment 2.10.2](#)

[Project Charter \(Approved\):](#) Yes

Status:

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

3. Project Plans [Attachment Folder 2.10.3](#)

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: EDD Hybrid Agile Framework established a combined Scope and Change Control Management Plan. - **Attachment 2.10.3.1**

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

Status: EDD Hybrid Agile Framework established a combined Communication and Stakeholder Management Plan. - **Attachment 2.10.3.2**

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

Status: Drafted and under review. - **Attachment 2.10.3.3**

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

Status: EDD Hybrid Agile Framework established a combined Procurement and Contract Management Plan. - **Attachment 2.10.3.4**

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

Status: **Attachment 2.10.3.5**

Stakeholder Management Plan (Draft): Yes

Status: EDD Hybrid Agile Framework established a combined Communication and Stakeholder Management Plan. - **Attachment 2.10.3.2**

Governance Plan (Draft): Yes

Status: Drafted - **Attachment 2.10.3.6**

Contract Management Plan (Draft): Yes

Status: EDD Hybrid Agile Framework established a combined Procurement and Contract Management Plan. - **Attachment 2.10.3.4**

Resource Management Plan (Draft): Yes

Status: Drafted - **Attachment 2.10.3.7**

Change Control Management Plan (Draft): Yes

Status: EDD Hybrid Agile Framework established a combined Scope and Change Control Management Plan. - **Attachment 2.10.3.2**

Risk Management Plan (Draft + Risk Log): Yes

Status: EDD Hybrid Agile Framework established a combined Risk and Issue Management Plan. Drafted. - **Attachment 2.10.3.8 & 2.10.3.8.1-Risk and Issue Register**

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

Status: EDD Hybrid Agile Framework established a combined Risk and Issue Management Plan. Drafted - **Attachment 2.10.3.8**

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

Status: - **Attachment 2.10.3.9**

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. - **Attachment 2.10.4.1**

- a) Planning Start Date: *12/1/2022*
- b) Estimated Planning End Date: *6/30/2023*
- c) Estimated Project Start Date: *7/1/2023*
- d) Estimated Project End Date: *6/30/2027*

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: Not Started

The DMS selected vendor in partnership with EDD subject matter experts will perform a current environment analysis designed to support the vendor solution and project implementation.

2. Data Migration Plan: Not Started

The DMS selected vendor in partnership with EDD subject matter experts will develop and deliver the data migration plan designed to support the vendor solution and project implementation.

3. Data Profiling: Not Started

The DMS selected vendor in partnership with EDD subject matter experts will perform data profiling designed to support the vendor solution and project implementation.

4. Data Cleansing and Correction: Not Started

The DMS selected vendor in partnership with EDD subject matter experts will provide a data cleansing and correction strategy designed to support the vendor implementation plan

5. Data Quality Assessment: Not Started

The DMS selected vendor in partnership with EDD subject matter experts will provide a data quality assessment based on solution needs and project objectives

6. Data Quality Business Rules: Not Started

The DMS selected vendor will define the data quality business rules in partnership with EDD subject matter experts. The data quality business rules will be designed to support the vendors solution needs and project objectives.

7. Data Dictionaries: Not Started

The DMS selected vendor will develop the data dictionaries in partnership with EDD subject matter experts. The data dictionaries will be designed to support the vendors solution needs and project objectives.

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

The DMS selected vendor will develop the data conversion/migration requirements in partnership with EDD subject matter experts. The data conversion/migration requirements will be designed to support the vendors solution needs and project objectives.

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: 05/23/2023

Form Received Date: 05/23/2023

Form Accepted Date: 05/23/2023

Form Status: Completed

Form Status Date: 06/27/2023.

Form Disposition: Approved with Conditions

Form Disposition Date: 6/27/2023