

# **Stage 2 Alternatives Analysis**

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

1. General Information
2. **Agency or State Entity Name:** Choose an item.

If Agency/State entity is not in the list, enter here with the [organization code](http://dof.ca.gov/Accounting/Policies_and_Procedures/Uniform_Codes_Manual/organization_codes/documents/5orgnumb.pdf).

Click or tap here to enter text.

1. **Proposal Name:** Click or tap here to enter text.
2. **Department of Technology Project Number (0000-000):** Click or tap here to enter text.
3. **S2AA Version Number:** Choose an item.
4. **CDT Billing Case Number:** Click or tap here to enter text.

 Don’t have a Case Number? [Click here to get one.](https://services.cdt.ca.gov/csm)

1. Submittal Information
2. Contact Information

Contact Name: Click or tap here to enter text.

Contact Email: Click or tap here to enter text.

Contact Phone: Click or tap here to enter text.

1. Submission Type: Choose an item.

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.

1. Attach [Project Approval Executive Transmittal](https://cdt.ca.gov/policy/simm-19/) to your email submission.
2. Attach [Procurement Assessment Form](https://cdt.ca.gov/policy/simm-19/) to your email submission.
3. Conditions from Stage 1 Approval (Enter any conditions from the Stage 1 Business Analysis approval letter issued by CDT or your AIO):

Click or tap here to enter text.

1. Baseline Processes and Systems
2. Current Business Environment (Describe the current business environment of which the effort will be understood and assessed in 500 words)

Click or tap here to enter text.

*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.

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

Click or tap here to enter text.

**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.

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

Data Owner Name: Click or tap here to enter text.

Data Owner Title: Click or tap here to enter text.

Data Owner Business Program area: Click or tap here to enter text.

Data Custodian Name: Click or tap here to enter text.

Data Custodian Title: Click or tap here to enter text.

Data Custodian Technical area: Click or tap here to enter text.

Security - Data Classification and Categorization Choose Yes or No.

Security - Privacy Threshold & Impact Assessment. Choose Yes or No.

1. Existing Data Governance and Data
2. Do you have existing data that must be migrated to your new solution?

**Answer** (Unknown, Yes, No): Choose an item.

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

Select data quality rating: Choose an item.

1. 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): Choose an item.

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

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

**Answer** (Unknown, Yes, No): Choose an item.

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

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

**Answer** (Unknown, Yes, No): Choose an item.

If Yes, attach the existing documented security policies, standards, and controls used to your email submission.

1. Does the Agency/state entity have user accessibility policies, standards, controls, and procedures formally defined, documented, and implemented?

**Answer** (Unknown, Yes, No): Choose an item.

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

1. Security Categorization Impact Table

**Consult** the [SIMM 5305-A Information Security Program Management Standard - Security Categorization Impact Table](https://cdt.ca.gov/policy/simm/).

**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.

1. Security Categorization Impact Table Summary

**Consult** the [SIMM 5305-A Information Security Program Management Standard - Security Categorization Impact Table](https://cdt.ca.gov/policy/simm/) to provide potential impact levels of the following areas:

Confidentiality: Choose an item.

Integrity: Choose an item.

Availability: Choose an item.

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

(Attach a [SIMM Section 45 Appendix C](https://cdt.ca.gov/policy/simm/) with Business and Technical Complexity sections completed to the email submission.)

1. 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.

1. Assumptions and Constraints

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

**Assumption**: Click or tap here to enter text.

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

**Constraint**: Click or tap here to enter text.

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

*TIP: Copy and paste to add Assumptions/Constraints with Descriptions/Impacts as needed.*

1. 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:** Click or tap here to enter text.

**Dependency Description**: Click or tap here to enter text.

*TIP: Copy and paste to add Dependency Elements and Descriptions as needed.*

1. Market Research

Market Research ([CDT Market Research Guidelines](https://cdt.ca.gov/wp-content/uploads/2019/08/Market-Research-Guidelines.pdf)) 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: Choose an item.
2. Procurement approach recommended: Choose an item.
3. Market Research Approach

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

Click or tap here to enter text.

1. 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.

1. **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:** Click or tap here to enter text.

**Description:** Click or tap here to enter text.

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

Click or tap here to enter text.

**Approach**

Increase staff – new or existing capabilities: Choose Yes or No.

Modify the existing business process or create a new business process: Choose Yes or No.

Reduce the services or level of services provided: Choose Yes or No.

Utilize new or increased contracted services: Choose Yes or No.

Enhance the existing IT system: Choose Yes or No.

Modify Statute/Policy/Regulations: Choose Yes or No.

 Please Specify: Click or tap here to enter text.

Create a new IT system: Choose Yes or No.

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

**Architecture Information**

**Business Function(s)/Process(es):** Click or tap here to enter text.

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

**Conceptual Architecture**

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

**COTS/SaaS/Cloud Technology or Custom**: Choose an item.

Name/Primary Technology: Click or tap here to enter text.

*TIP: Copy and paste or click the + button in the lower right corner to add system software information if the application, system, or component uses additional system software.*

**Explain Existing System Interfaces**: Click or tap here to enter text.

**Explain New System Interfaces**: Click or tap here to enter text.

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

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

**Security**

**Access**

Public: Choose Yes or No.

Internal State Staff: Choose Yes or No.

External State Staff: Choose Yes or No.

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

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

Personal: Choose Yes or No.

Health: Choose Yes or No.

Tax: Choose Yes or No.

Financial: Choose Yes or No.

Legal: Choose Yes or No.

Confidential: Choose Yes or No.

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

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

Technical Security: Choose Yes or No.

Physical Security: Choose Yes or No.

Backup and Recovery: Choose Yes or No.

Identity Authorization and Authentication: Choose Yes or No.

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

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

Planning Costs: Click or tap here to enter text.

One-Time (Project) Costs: Click or tap here to enter text.

Total Future Ops. IT Staff OE&E Costs: Click or tap here to enter text.

Total Proposed Cost: Click or tap here to enter text.

Annual Future Ops. Costs (M&O): Click or tap here to enter text.

1. Viable Alternative Solution #2

**Name:** Click or tap here to enter text.

**Description:** Click or tap here to enter text.

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

Click or tap here to enter text.

**Approach**

Increase staff – new or existing capabilities: Choose Yes or No.

Modify the existing business process or create a new business process: Choose Yes or No.

Reduce the services or level of services provided: Choose Yes or No.

Utilize new or increased contracted services: Choose Yes or No.

Enhance the existing IT system: Choose Yes or No.

Modify Statute/Policy/Regulations: Choose Yes or No.

 Please Specify: Click or tap here to enter text.

Create a new IT system: Choose Yes or No.

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

**Architecture Information**

**Business Function(s)/Process(es):** Click or tap here to enter text.

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

**Conceptual Architecture**

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

**COTS/SaaS/Cloud Technology or Custom**: Choose an item.

Name/Primary Technology: Click or tap here to enter text.

*TIP: Copy and paste or click the + button in the lower right corner to add system software information if the application, system, or component uses additional system software.*

**Explain Existing System Interfaces**: Click or tap here to enter text.

**Explain New System Interfaces**: Click or tap here to enter text.

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

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

**Security**

**Access**:

Public: Choose Yes or No.

Internal State Staff: Choose Yes or No.

External State Staff: Choose Yes or No.

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

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

Personal: Choose Yes or No.

Health: Choose Yes or No.

Tax: Choose Yes or No.

Financial: Choose Yes or No.

Legal: Choose Yes or No.

Confidential: Choose Yes or No.

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

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

Technical Security: Choose Yes or No.

Physical Security: Choose Yes or No.

Backup and Recovery: Choose Yes or No.

Identity Authorization and Authentication: Choose Yes or No.

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

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

Total Proposed Cost: Click or tap here to enter text.

1. Viable Alternative Solution #3

**Name:** Click or tap here to enter text.

**Description:** Click or tap here to enter text.

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

Click or tap here to enter text.

**Approach**

Increase staff – new or existing capabilities: Choose Yes or No.

Modify the existing business process or create a new business process: Choose Yes or No.

Reduce the services or level of services provided: Choose Yes or No.

Utilize new or increased contracted services: Choose Yes or No.

Enhance the existing IT system: Choose Yes or No.

Modify Statute/Policy/Regulations: Choose Yes or No.

 Please Specify: Click or tap here to enter text.

Create a new IT system: Choose Yes or No.

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

**Architecture Information**

**Business Function(s)/Process(es):** Click or tap here to enter text.

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

**Conceptual Architecture**

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

**COTS/SaaS/Cloud Technology or Custom**: Choose an item.

Name/Primary Technology: Click or tap here to enter text.

*TIP: Copy and paste or click the + button in the lower right corner to add system software information if the application, system, or component uses additional system software.*

**Explain Existing System Interfaces**: Click or tap here to enter text.

**Explain New System Interfaces**: Click or tap here to enter text.

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

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

**Security**

**Access**:

Public: Choose Yes or No.

Internal State Staff: Choose Yes or No.

External State Staff: Choose Yes or No.

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

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

Personal: Choose Yes or No.

Health: Choose Yes or No.

Tax: Choose Yes or No.

Financial: Choose Yes or No.

Legal: Choose Yes or No.

Confidential: Choose Yes or No.

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

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

Technical Security: Choose Yes or No.

Physical Security: Choose Yes or No.

Backup and Recovery: Choose Yes or No.

Identity Authorization and Authentication: Choose Yes or No.

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

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

 Total Proposed Cost: Click or tap here to enter text.

1. 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.

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

Choose an item.

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

Click or tap here to enter text.

1. Business Program

Click or tap here to enter text.

1. Information Technology

Click or tap here to enter text.

1. Testing

Click or tap here to enter text.

1. Data Conversion/Migration

Click or tap here to enter text.

1. Training

Click or tap here to enter text.

1. Organizational Change Management

Click or tap here to enter text.

1. 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.

Click or tap here to enter text.

1. Project Planning
2. Project Management Risk Assessment

Updated Project Management Risk Score: Click or tap here to enter text.

**Attach** Updated PM Risk Assessment to your email submission. [SIMM Section 45A](https://cdt.ca.gov/policy/simm/)

1. 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](https://capmf.cdt.ca.gov/) (Approved): Choose an item.

Status: Click or tap here to enter text.

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

1. 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)](https://capmf.cdt.ca.gov/): Choose an item.

Status: Click or tap here to enter text.

[Communication Management Plan (Approved)](https://capmf.cdt.ca.gov/): Choose an item.

Status: Click or tap here to enter text.

[Schedule Management Plan (Approved)](https://capmf.cdt.ca.gov/) : Choose an item.

Status: Click or tap here to enter text.

[Procurement Management Plan (Approved)](https://capmf.cdt.ca.gov/): Choose an item.

Status: Click or tap here to enter text.

[Requirements Management Plan (Approved)](https://capmf.cdt.ca.gov/): Choose an item.

Status: Click or tap here to enter text.

[Stakeholder Management Plan (Draft)](https://capmf.cdt.ca.gov/): Choose an item.

Status: Click or tap here to enter text.

[Governance Plan (Draft)](https://capmf.cdt.ca.gov/): Choose an item.

Status: Click or tap here to enter text.

[Contract Management Plan (Draft)](https://capmf.cdt.ca.gov/): Choose an item.

Status: Click or tap here to enter text.

[Resource Management Plan (Draft)](https://capmf.cdt.ca.gov/): Choose an item.

Status: Click or tap here to enter text.

[Change Control Management Plan (Draft)](https://capmf.cdt.ca.gov/): Choose an item.

Status: Click or tap here to enter text.

[Risk Management Plan (Draft + Risk Log)](https://capmf.cdt.ca.gov/): Choose an item.

Status: Click or tap here to enter text.

[Issue and Action Item Management Plan (Draft + Issue Log)](https://capmf.cdt.ca.gov/): Choose an item.

Status: Click or tap here to enter text.

[Cost Management Plan (Approved if planning BCP approved)](https://capmf.cdt.ca.gov/): Choose an item.

Status: Click or tap here to enter text.

1. Project Roadmap (High-Level)

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

1. Planning Start Date:Click or tap to enter a date.
2. Estimated Planning End Date:Click or tap to enter a date.
3. Estimated Project Start Date:Click or tap to enter a date.
4. Estimated Project End Date:Click or tap to enter a date.
5. 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.

1. Data Migration Plan: Choose an item.

Click or tap here to enter text.

1. Data Profiling: Choose an item.

Click or tap here to enter text.

1. Data Cleansing and Correction: Choose an item.

Click or tap here to enter text.

1. Data Quality Assessment: Choose an item.

Click or tap here to enter text.

1. Data Quality Business Rules: Choose an item.

Click or tap here to enter text.

1. Data Dictionaries: Choose an item.

Click or tap here to enter text.

1. Data Conversion/Migration Requirements: Choose an item.

Click or tap here to enter text.

1. Financial Analysis Worksheets

**Attach** [F.2 Financial Analysis Worksheet(s)](https://cdt.ca.gov/policy/simm-19/) 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:** Click or tap to enter a date.

**Form Received Date:** Click or tap to enter a date.

**Form Accepted Date:** Click or tap to enter a date.

**Form Status:** Choose an item.

**Form Status Date:** Click or tap to enter a date.

**Form Disposition:** Choose an item.

**Form Disposition Date:** Click or tap to enter a date.