



**Special Project Report for
Statewide Voter Registration Database**

Provided by Secretary of State

**November 16, 2012
Project # 0890-46
SPR # 4**

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Attachment 1: Economic Analysis Worksheet, Approved VoteCal FSR

Attachment 2: Economic Analysis Worksheet, Last Approved (SPR # 3)

Attachment 3: Economic Analysis Worksheet, Current Proposed (SPR #4)

Attachment 4: IT Complexity Assessment

Information Technology Project Request



Special Project Report
Executive Approval Transmittal

Department Name			
Secretary of State			
Project Title (maximum of 75 characters)			Project Acronym
Statewide Voter Registration Database			VoteCal
FSR Project ID	FSR Approval Date	Department Priority	Agency Priority
0890-46	4/14/06	1	1

I am submitting the attached Special Project Report (SPR) in support of our request for the California Technology Agency's approval to continue development and/or implementation of this project.

I certify that the SPR was prepared in accordance with the State Administrative Manual Sections 4945-4945.2 and that the proposed project changes are consistent with our information management strategy as expressed in our current Agency Information Management Strategy (AIMS).

I have reviewed and agree with the information in the attached Special Project Report.

I also certify that the acquisition of the applicable information technology (IT) product(s) or service(s) required by my department that are subject to Government Code 11135 applying Section 508 of the Rehabilitation Act of 1973 as amended meets the requirements or qualifies for one or more exceptions (see following page).

APPROVAL SIGNATURES

Chief Information Officer		Date Signed
		10/18/12
Printed name:	Chris Maio	
Budget Officer		Date Signed
		10/19/12
Printed name:	Kristin Dagsher	
Department Director		Date Signed
		10-19-12
Printed name:	Evan Goldberg for Secretary Bowen	
Agency Chief Information Officer		Date Signed
Printed name:		
Agency Secretary		Date Signed
Printed name:		

Executive Approval Transmittal IT Accessibility Certification

Yes or No

Yes	The Proposed Project Meets Government Code 11135 / Section 508 Requirements and no exceptions apply.
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Exceptions Not Requiring Alternative Means of Access

Yes or No	Accessibility Exception Justification
No	The IT project meets the definition of a national security system.
Yes	The IT project will be located in spaces frequented only by service personnel for maintenance, repair, or occasional monitoring of equipment (i.e., "Back Office Exception.")
Yes	The IT acquisition is acquired by a contractor incidental to a contract.

Exceptions Requiring Alternative Means of Access for Persons with Disabilities

Yes or No	Accessibility Exception Justification
No	<p>Meeting the accessibility requirements would constitute an "undue burden" (i.e., a significant difficulty or expense considering all agency resources).</p> <p>Explain:</p> <p>Conformance with Government Code 11135 / Section 508 is part of the VoteCal SI Contractor RFP. SOS expects the selected SI's proposed VoteCal solution to meet these standards as required.</p> <p>Describe the alternative means of access that will be provided that will allow individuals with disabilities to obtain the information or access the technology.</p> <p>VoteCal solution will meet the accessibility standards.</p>
No	<p>No commercial solution is available to meet the requirements for the IT project that provides for accessibility.</p> <p>Explain:</p> <p>Describe the alternative means of access that will be provided that will allow individuals with disabilities to obtain the information or access the technology.</p>

**Special Project Report
Executive Approval Transmittal
IT Accessibility Certification**
(continued)

Exceptions Requiring Alternative Means of Access for Persons with Disabilities

Yes or No	Accessibility Exception Justification
No	<p>No solution is available to meet the requirements for the IT project that does not require a fundamental alteration in the nature of the product or its components.</p> <p>Explain:</p> <p>Describe the alternative means of access that will be provided that will allow individuals with disabilities to obtain the information or access the technology.</p>

**INFORMATION TECHNOLOGY PROJECT SUMMARY PACKAGE
SECTION A: EXECUTIVE SUMMARY**

1.	Submittal Date	October 19, 2012
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2.	Type of Document	FSR	SPR	PSP Only	Other:
	Project Number		X		
		0890-46			

3.	Project Title	VoteCal Statewide Voter Registration System Project	Estimated Project Dates	
	Project Acronym	VoteCal	Start	End
			08/03/06	06/30/16

Submitting Department	Secretary of State
Reporting Agency	

Project Objectives
<p>Program objectives for the VoteCal Project include:</p> <ul style="list-style-type: none"> - Comply with 100% of the Help America Vote Act voter registration system requirements

8.	Major Milestones	Est. Complete Date
	SI Contract Award	12/28/12
	Planning Phase – Phase I	12/27/13
	Design Phase – Phase II	05/29/14
	Development Phase – Phase III	03/31/15
	Test Phase – Phase IV	07/31/15
	Pilot Phase – Phase V	09/30/15
	Deployment – Phase VI	06/30/16
	Maintenance and Operations – Phase VII	06/30/17
	PIER	10/31/17
	Key Deliverables	
	Design Documents	05/29/14
	Application	03/31/15
	Test Results	07/31/15
	Pilot Deployment	09/30/15
	Complete Deployment	06/30/16

INFORMATION TECHNOLOGY PROJECT SUMMARY PACKAGE
SECTION A: EXECUTIVE SUMMARY

7.	<p>Proposed Solution</p> <p>Section 303 of the Help America Vote Act (HAVA) of 2002 (Public Law 107-22, 107th Congress) mandates that each state implement a uniform, centralized, interactive, computerized voter registration database that is defined, maintained, and administered at the state level. This database must contain the name and registration information of every legally-registered active or inactive voter in the state. This system constitutes the official record of all registered voters. Unlike the state's current system, the state database must serve as the single system for storing and managing the official list of registered voters in the state.</p> <p>This system must provide a functional interface for county elections officials, who are charged with the actual conduct of elections, to access and update the registration data. Additionally, HAVA mandates the voter registration database system coordinate electronically with the Department of Motor Vehicles (DMV), the California Department of Public Health (CDPH), the Employment Development Department (EDD), and the California Department of Corrections and Rehabilitation (CDCR) for voter identification and list maintenance purposes.</p> <p>The major factors driving the selected HAVA compliance solution were the specific compliance requirements, as understood by the State of California, and the need to minimize disruption to county elections offices business processes. In particular, the requirements for a uniform and centralized database to serve as the official list preclude solutions where information in county systems is simply exported to a central database without list maintenance activities being performed. Enabling county elections officials to continue to use existing election management systems (EMSs) minimizes disruption to their staff.</p> <p>The proposed solution addresses both of these major requirements by providing a new central state voter registration database and system (VoteCal system), remediating existing county EMSs to serve as the "front end" for maintaining voter registration information in the central system. The solution will permit county users to use their existing (remediated) data entry screen processes while ensuring that voter registration information is maintained by the VoteCal system in the single, statewide voter registration database.</p>
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INFORMATION TECHNOLOGY PROJECT SUMMARY PACKAGE
SECTION B: PROJECT CONTACTS

Project #	0890-46
Doc. Type	SPR

Executive Contacts								
	First Name	Last Name	Area Code	Phone #	Ext.	Area Code	Fax #	E-mail
Chief Deputy Secretary of State	Evan	Goldberg	916	653-7244		916	651-8295	Evan.Goldberg@sos.ca.gov
Manager – Fiscal Affairs	Kristin	Dagsher	916	653-7288		916	653-8544	Kristin.Dagsher@sos.ca.gov
Chief Information Officer	Chris	Maio	916	653-7835		916	653-2151	Chris.Maio@sos.ca.gov
Project Sponsor	Janice	Lumsden	916	653-2328		916	653-4795	Janice.Lumsden@sos.ca.gov

Direct Contacts								
	First Name	Last Name	Area Code	Phone #	Ext.	Area Code	Fax #	E-mail
Doc. prepared by	Irene	Wei	916	651-7288		916	653-3214	Irene.Wei@sos.ca.gov
Primary contact	Irene	Wei	916	651-7288		916	653-3214	Irene.Wei@sos.ca.gov
Project Manager	Mardell	Hall	916	651-7405		916	653-3214	Mardell.Hall@sos.ca.gov

INFORMATION TECHNOLOGY PROJECT SUMMARY
SECTION C: PROJECT RELEVANCE TO STATE AND/OR DEPARTMENTAL PLANS

1.	What is the date of your current Operational Recovery Plan (ORP)?	Date	10/12/2011
2.	What is the date of your current Agency Information Management Strategy (AIMS)?	Date	05/17/2004
3.	For the proposed project, provide the page reference in your current AIMS and/or strategic business plan.	Doc.	AIMS
		Page #	2

Project #	0890-46
Doc. Type	SPR

4.	Is the project reportable to control agencies?	Yes	No
		X	
	If YES, CHECK all that apply:		
	X	a) The project involves a budget action.	
	X	b) A new system development or acquisition that is specifically required by legislative mandate or is subject to special legislative review as specified in budget control language or other legislation.	
	X	c) The estimated total development and acquisition cost exceeds the departmental cost threshold and the project does not meet the criteria of a desktop and mobile computing commodity expenditure (see SAM 4989 – 4989.3).	
		d) The project meets a condition previously imposed by Finance.	

**INFORMATION TECHNOLOGY PROJECT SUMMARY PACKAGE
SECTION F: RISK ASSESSMENT INFORMATION**

Project #	0890-46
Doc. Type	SPR

**Budget Augmentation
Required?**

No									
Yes	X								
If YES, indicate fiscal year(s) and associated amount:									
FY	12/13	FY	13/14	FY	14/15	FY	15/16	FY	16/17
\$4,448,750		\$22,427,932		\$13,717,941		\$30,214,511		\$5,164,129	

PROJECT COSTS

1.	Fiscal Year	FY 06/07-11/12	FY 12/13	FY 13/14	FY 14/15	FY 15/16	FY 16/17	TOTAL
2.	One-Time Cost	\$10,973,108	\$4,448,750	\$22,427,932	\$13,717,941	\$30,214,511	\$0	\$81,782,241
3.	Continuing Costs	\$0	\$0	\$0	\$0	\$0	\$5,164,129	\$5,164,129
4.	TOTAL PROJECT BUDGET	\$10,973,108	\$4,448,750	\$22,427,932	\$13,717,941	\$30,214,511	\$5,164,129	\$86,946,371

SOURCES OF FUNDING

5.	General Fund							
6.	Redirection							
7.	Reimbursements							
8.	Federal Funds	\$10,973,108	\$4,448,750	\$22,427,932	\$13,717,941	\$30,214,511	\$5,164,129	\$86,946,371
9.	Special Funds							
10.	Grant Funds							
11.	Other Funds							
12.	PROJECT BUDGET	\$10,973,108	\$4,448,750	\$22,427,932	\$13,717,941	\$30,214,511	\$5,164,129	\$86,946,371

PROJECT FINANCIAL BENEFITS

13.	Cost Savings/Avoidanc	\$0	\$0	\$0	\$0	\$0	\$0	\$0
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**INFORMATION TECHNOLOGY PROJECT SUMMARY PACKAGE
SECTION F: RISK ASSESSMENT INFORMATION**

	es							
14.	Revenue Increase	\$0	\$0	\$0	\$0	\$0	\$0	\$0

Vendor Cost for FSR Development (if applicable)	\$ 174,295
Vendor Name	Gartner Consulting

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VENDOR PROJECT BUDGET

1.	Fiscal Year	FY 06/07-11/12	FY 12/13	FY 13/14	FY 14/15	FY 15/16	FY 16/17	TOTAL
2.	Primary Vendor Budget	\$1,869,666	\$0	\$13,511,748	\$7,402,673	\$17,837,508	\$1,787,038	\$42,408,633
3.	Project Management Budget	\$2,353,328	\$1,165,000	\$1,165,000	\$1,165,000	\$1,165,000	\$0	\$7,013,328
4.	Independent Oversight Budget	\$622,571	\$100,000	\$100,000	\$100,000	\$100,000	\$0	\$1,022,571
5.	IV&V Budget	\$866,927	\$291,409	\$582,816	\$582,816	\$582,816	\$0	\$2,906,784
6.	Other Budget	\$846,122	\$784,597	\$4,820,123	\$1,647,907	\$4,396,907	\$307,047	\$12,802,703
7.	TOTAL VENDOR BUDGET	\$6,558,614	\$2,341,006	\$20,179,687	\$10,898,396	\$24,082,231	\$2,094,085	\$66,154, 019

------(Applies to SPR only)-----

PRIMARY VENDOR HISTORY SPECIFIC TO THIS PROJECT

7.	Primary Vendor	CGI Technologies and Solutions Inc. (CGI)
8.	Contract Start Date	December 28, 2012 ¹
9.	Contract End Date (projected)	June 30, 2017 ²
10.	Amount	\$38,751,929

¹ – Assumes that SPR is approved by December 18, 2012

² – Assumes execution through completion of First Year Maintenance and Operations and Close-out

**INFORMATION TECHNOLOGY PROJECT SUMMARY PACKAGE
SECTION F: RISK ASSESSMENT INFORMATION**

PRIMARY VENDOR CONTACTS

	Vendor	First Name	Last Name	Area Code	Phone #	Ext.	Area Code	Fax #	E-mail
11.	CGI	Brian	Sway	916	283-2036		916	830-1199	b.sway@cgi.com
12.									
13.									

Project #	0890-46
Doc. Type	SPR

RISK ASSESSMENT

	Yes	No
Has a Risk Management Plan been developed for this project?	X	

General Comment(s)
<p>The VoteCal Project has employed a systematic approach to risk identification, management, escalation, and closure. The VoteCal risk management and escalation processes ensure:</p> <ul style="list-style-type: none"> • Risks are defined and properly scoped. • The correct participants are involved in the risk analysis and mitigation process. • Root causes are analyzed and recommendations are based on sound judgment. • Specific persons are named to complete action items. • Actions are tracked to resolution/completion. • Escalation to a higher level of management is available and is pursued when mitigation or intervention cannot be achieved at the project level. • Risks and associated actions and their status are formally documented and regularly reviewed. • Communication among project stakeholders is appropriate and timely in order to facilitate an understanding of risk impact, develop quality responses, and minimize the disruption associated with rumor and misinformation. <p>Risk management is an ongoing process, from the inception to the closure of the project, and it is a critical component of VoteCal project monitoring and control activities.</p>

3.0 PROPOSED PROJECT CHANGE

Federal law requires the Secretary of State's office (SOS) to deploy a Statewide Voter Registration Database (VoteCal System) that is the official statewide voter registration list for all federal elections. The SOS has completed solution-based procurement and has selected a System Integration (SI) contractor to develop and implement VoteCal. It is estimated that the new VoteCal system will be fully deployed by June 30, 2016. The new SI contract with CGI Technologies and Solutions Inc. (CGI) is expected to be awarded by December 28, 2012. In addition to the schedule impact, based on the costs proposed by the SI, the new total project budget is estimated to be approximately \$86,946,371 (inclusive of one year maintenance and operations). Details of all projected budget changes can be found in the Economic Analysis Worksheets (EAWs) in the SPR.

3.1 Project Background

The program to be supported by VoteCal is the registration of voters, administered jointly by the SOS Elections Division and county elections officials. The Elections Division's primary mandate is to ensure that state and federal elections laws are fairly and uniformly administered, that every eligible voter can participate in the electoral process, and that the process remains open and free from fraud. California's voter registration program is fundamental to that effort. Maintaining accurate records of all legally registered voters is critical to ensuring the integrity of all elections conducted in this state. To fulfill the purposes of the voter registration program, the state distributes voter registration cards through many channels, including local advocacy groups, other state and local agencies, and provides online access to registration materials. County elections officials are responsible for:

- Processing voter registration cards
- Verifying voter eligibility
- Notifying voters of their voter registration status
- Updating voter registration records with data received from multiple sources

The information collected and maintained through the voter registration process is used to conduct a wide range of election management activities, including:

- Determining precinct boundaries
- Establishing polling places
- Verifying petition signatures
- Mailing election information to registered voters
- Providing voter information to courts for jury pools
- Qualifying candidates for the ballot

Currently, while the existing system (known as Calvoter I) is the official voter file for federal elections as a matter of law and regulation, it is an amalgamation of data maintained by the 58 county elections officials. The Calvoter I system enables SOS to maintain a statewide database of all active and inactive voters. And, by identifying duplicate, changed and invalid

registrations and sending notifications about these for county elections officials' staff to address as appropriate, Calvoter I also aids county elections officials' voter registration list maintenance activities. Calvoter I is a mirror image of the county voter records, kept current by daily updates that originate from county elections staff. New voter records cannot be entered directly into Calvoter I; they must be entered into the county's election management system (EMS), which then sends the new information to Calvoter I on a nightly basis. Through automated nightly batch processing at SOS, the Calvoter I database is updated with voter registration additions, changes, and deletions.

Section 303 of the Help America Vote Act (HAVA) of 2002 (Public Law 107-22, 107th Congress) mandates that each state implement a uniform, centralized, interactive, computerized voter registration database that is defined, maintained, and administered at the state level. This database must contain the name and registration information of every legally registered active or inactive voter in the state. This system constitutes the official record of all registered voters. The state database must serve as the single system for storing and managing the official list of registered voters in the state.

3.2 Project Status

Since the last approved SPR, SOS adhered to the Department of General Services (DGS) comprehensive procurement guidelines and worked closely with DGS procurement and legal officials on the development of a new VoteCal SI contractor Request for Proposal (RFP). The new SI RFP was released to the contractor community on October 2010. The project team conducted four rounds of confidential discussions with interested bidders, developed and issued eight question and answer sets, and released eleven RFP addenda by July 2012. As a result of these procurement activities, SOS has completed the competitive, solution-based procurement, evaluation and selection of a SI contractor to develop and implement the single, centralized voter registration database that meets 100% of HAVA requirements. SOS has selected CGI as the SI contractor.

In addition, the project team has refined and implemented project management and lifecycle management processes consistent with the California Project Management Methodology (CA-PMM). Project staffing, roles and responsibilities, and contractor services have been refined. Via a Request for Information (RFI) and market survey of industry expertise, the project team has defined scope, cost estimates, and requirements for backup recovery and disaster recovery (BRDR) services. The project team has also defined scope, cost estimates, and requirements for EMS remediation services and engaged California Technology Agency and DGS in preliminary discussions regarding the critical importance of securing approval on non-competitive bid (NCB) contractual agreements at the same time SOS finalizes the contract with the SI contractor. Representing a significant project risk mitigation strategy, expediting NCB approvals for the EMS remediation services enables the state to safely contract with the SI in the immediate-term while allowing SOS to further refine the specific scope of work and cost estimates appropriate to each of the individual EMS vendors based on the nature of the SI contractor's solution in the intermediate-term.

3.3 Reason for Proposed Change

This SPR describes the solution proposed and selected during the solution-based VoteCal procurement and presents the revised final VoteCal project costs and schedules based on the selected SI contractor and solution. Identifying the selected solution also enabled, the

VoteCal Project Team to further define and scope those project activities that, while outside the selected SI contractor's scope of work, are required to fully implement the total VoteCal solution. This SPR documents the complete proposed schedule and budget resulting from the completion of the procurement phase.

3.4 Proposed Project Change

The solution-based procurement has resulted in a comprehensive VoteCal solution for meeting 100% of HAVA requirements. Based on the selected solution, this SPR proposes following changes to the project from the last approved SPR:

Schedule

The projected contract award date for the SI contractor is December 28, 2012, with completion of deployment by June 30, 2016, and completion of one year of maintenance and operations by June 30, 2017.

Budget

Project costs are finalized to reflect the SI contractor's cost for the recommended solution and other required contract services and project activities. The total estimated one time project cost is \$81,782,241.

Scope

The scope (HAVA compliance) and strategic direction for this project remain fundamentally the same as described in the last approved SPR. This SPR does not propose any major change to SOS' approach towards meeting 100% of HAVA requirements. No changes have been made to the functional scope of the VoteCal solution that was approved as part of original Feasibility Study Report (FSR) and following SPRs. For example, the capability for California residents to register online using the VoteCal public access website, which was cited in the FSR, remains in scope.

SOS has revised some of the business and operational requirements included in the SI contractor RFP. SOS anticipates that the revised features will significantly enhance the overall quality of VoteCal solution without incurring any significant increase in cost. Many of these requirements had been included within the VoteCal solution as described in the FSR, SPR #1 and SPR #2 but were omitted in SPR #3 and are restored in this current SPR #4. The list that follows briefly describes the primary VoteCal business, system and performance requirements changed since the last approved SPR, either as a consequence of restoring requirements omitted in SPR #3 or as the result of SOS further clarifying and refining existing requirements.

Business Requirements

- Features that provide service to the public and enhance their experience, such as the system's public access website, which will allow:
 - Voters who have voted a provisional ballot to determine if their ballot was counted and, if not, the reason it was not counted.
 - Voters who have voted a Vote-by-Mail ballot to determine if their ballot was counted and, if not, the reason it was not counted.
 - A voter to determine his or her eligibility to vote in an upcoming election.

- Features that provide service and information to counties or ease county transition by minimizing change in the county end-user experience. These features will include:
 - Maintaining additional data on voter characteristics that would, in cases where a voter moved from one county to another, enable county elections officials' staff to have access to more complete historical information
 - Supporting bulk mailings of print materials on behalf of counties, for potential cost savings.
 - Restoring and enhancing online help requirements.
 - Enabling county staff to interface with VoteCal through their local EMS rather than through a separate system login and user interface.

System and Performance Requirements

In addition to revising the business requirements addressed above, SOS reworked a subset of the VoteCal technical requirements to improve the overall solution's accuracy, reliability and performance and included these in the SI contractor RFP re-released October 29, 2010. These revised system and performance requirements include the following changes:

- VoteCal will collect precinct-district mapping (for data quality assurance) for local districts as well as statewide districts, supervisorial districts, and municipalities
- VoteCal performance and availability requirements are more explicit and include performance requirements for public website functions as well as county- and SOS-facing transactions, and peak transaction volumes as well as average volumes
- VoteCal technical support response times for pilot phase through maintenance and operations are specified
- Restoration of affidavit issuance tracking, to support fraud detection and investigation

Backup Recovery and Disaster Recovery

Consistent with the approved FSR and as supported by recent market research, the backup, recovery and disaster recovery approach for the VoteCal system locates the backup and recovery services and system with a third-party vendor and location. SOS has enhanced this approach by requiring that the backup recovery and disaster recovery site is geographically remote from the Sacramento area (where the primary VoteCal system is situated within the SOS data center). This approach enables SOS to leverage the specific expertise of a specialized BRDR vendor community while reducing project risk. See the *Project Budget* summary description of BRDR services in the SPR section that follows below (3.5 – Impact of the Proposed Change on the Project) and section 3.6.1.11 - Backup Recovery and Disaster Recovery, later in this SPR, for additional information about the BRDR approach and how it contributes to reducing project risk.

3.4.1 Accessibility

The proposed VoteCal system and the web site conform to California Government Code Section 1135 and United States Rehabilitation Act Section 508. Also, by conforming to Web Content Accessibility Guidelines and the W3C Recommendations, the system performs according to these accessibility specifications to allow for a variety of different users to register, confirm their vote, etc.

3.5 Impact of the Proposed Change on the Project

Below are specifics as to how the project will be impacted because of the proposed change.

Project Schedule

The schedule proposed in this SPR and reflected in the attached EAWs is based on the SI contractor's proposed schedule. The projected contract award date for the SI contractor is December 28, 2012, with completion of deployment by June 30, 2016, and completion of one year of maintenance and operations by June 30, 2017. The total project variance from the last approved SPR for complete deployment is 24 months. The chart that follows shows anticipated schedule variance for all VoteCal major milestones:

Exhibit 3-1: VoteCal Milestone Dates & Schedule Variance

Major Milestones	SPR #3 August 2010	SPR #4 October 2012	Schedule Variance
Award Contract	9/30/11	12/28/12	15 months
Complete Planning	11/30/11	12/27/13	25 months
Complete Design	04/30/12	05/29/14	25 months
Complete Development	11/30/12	03/31/15	28 months
Complete Testing	03/31/13	07/31/15	28 months
Complete Pilot Deployment	11/30/13	09/30/15	22 months
Complete Deployment to all County Elections Offices	06/30/14	06/30/16	24 months
Complete one year Maintenance and Operations	05/31/15	06/30/17	25 months
Complete PIER	05/31/15	10/31/17	29 months

Project Budget

The VoteCal budget has been revised to reflect the new solution proposed by the selected SI and to integrate actual project costs incurred since the last approved SPR. The extended duration, primarily a consequence of conducting a second SI contractor procurement, contributes to the revised budget by requiring increased project costs for personnel and contractor staff and for the fees charged to manage federal funds. The one-time and ongoing costs are estimated at \$81,782,241 and \$5,164,129 respectively. The total revised project budget is estimated at \$86,946,371 or \$33,478,598 more than the last approved SPR. All budget details are included in the EAWs included in this SPR's Attachment 1. Project cost categories that have increased since the last approved SPR are listed and briefly described below.

- o *SI Solution*

The SI's proposed one-time cost for the selected VoteCal solution is \$38,751,929. This cost represents an \$18,705,263 increase since the last approved SPR. Based on lessons learned from the initial contract award, the requirements included in the VoteCal SI contractor RFP re-released October 29, 2010 were enhanced with significant safeguards to protect the state's interests. The enhanced requirements included: service level agreements (SLAs) for the VoteCal maintenance and operations period favoring the state; more stringent experience and qualifications requirements for Bidders' proposed staff;

improved performance and availability requirements; and, requiring a Letter of Credit for 25% of the contract award (in lieu of the previous performance bond). The selected SI contractor's extensive systems integration experience increases the state's confidence that the bid amount proposed is an accurate estimate.

- *EMS Remediation*

SOS has further analyzed and evaluated the anticipated scope of work resulting from the decision (reported in SPR #3) to require county staff to access VoteCal exclusively through their EMSs and to enable the EMSs to operate as the VoteCal front-end. The revised one-time cost estimate of \$9,000,000 for EMS remediation represents a \$2,700,000 increase from the previously approved SPR. The revised estimate reflects SOS' fuller understanding of the scope of the EMS remediation effort and a more informed cost projection.

- *Backup Recovery & Disaster Recovery*

When the "hot site" backup and recovery requirement was removed from the SI contractor scope of work in SPR #3, SOS adopted an approach focused on acquiring VoteCal backup recovery and disaster recovery support from a vendor specializing in such services in order to meet VoteCal availability and operational recovery needs (as approved in the FSR). SOS recognized that a vendor bringing specific BRDR service delivery experience would be better positioned to affordably support VoteCal's availability and operational recovery needs (thereby optimizing cost). Further, SOS anticipated that focusing the SI contractor exclusively on VoteCal-specific work would reduce complexity and, therefore, project risk. In the time since SOS initially estimated the backup recovery costs in SPR #3: SOS has more fully defined the VoteCal BRDR requirements and scope; the VoteCal system scope has been finalized; and, a BRDR RFI and market survey have been conducted. As a consequence, SOS has been able to establish a refined cost estimate of \$921,141 for VoteCal BRDR services. See section 3.6.1.11 for additional information about VoteCal BRDR services.

- *Project Management*

As a result of the lessons learned from the initial SI procurement and the experience and insights gained in revising and re-releasing the VoteCal RFP, SOS developed a refined understanding of the total VoteCal solution's scope and complexity. Combining this increased awareness with recognizing that additional project resources would be needed to conduct and manage the prolonged procurement cycle lead the Agency to identify increased project management support needs, an increase that was included in the last approved SPR. In the course of conducting the second competitive procurement for the SI contractor, the Agency has further clarified and refined the VoteCal solution requirements. Bringing the solution's total scope and complexity into even sharper focus, the Agency's participation in Confidential Discussions with prospective Bidders and the analyses required to respond to Bidders questions, suggestions and requests to change requirements have further honed SOS' understanding of what will be required to successfully implement the VoteCal solution. Based on this increased awareness, SOS has determined that the VoteCal project requires additional project management resources in order to assure:

- 1) Consistent application of industry-standard risk, issue, change, and the related project management practices essential to controlling an IT project of VoteCal's scope and complexity; and,

- 2) SOS will be able to effectively and efficiently coordinate and manage the multiple solution providers required to implement the total VoteCal solution (for more information on these solution providers, see *Solution Approach* within section of 3.6.1.1, later in this SPR).

The revised projected cost for project management services is \$6,841,288, representing a \$2,941,658 increase over the cost estimated in the last approved SPR.

- o *Independent Verification and Validation (IV&V)*

The scope of IV&V services is dependent upon the nature of the solution proposed. As noted above, SOS has developed a refined understanding of the VoteCal solution's scope and complexity and has determined that the selected VoteCal solution warrants an expanded scope of IV&V services. These expanded scope of IV&V services are required in order to ensure that activities such as the following are adequately assessed and performed: requirements traceability, verification, validation, testing and system acceptance. The revised cost estimate for IV&V services is \$2,891,158, representing a \$1,678,424 increase over the cost estimated in SPR #3.

Project Scope and Strategy

The project scope and strategy has not changed since the last approved SPR.

3.6 Feasible Alternatives Considered

As per the Department of Finance (DOF) approved recommendation in a letter dated April 14, 2006 a solution-based procurement was conducted and a SI contractor has been selected to provide a complete solution including hardware and network infrastructure, software and system components meeting the approved architecture, and organization training and support services. Hence there is no feasible alternative to the one proposed herein. From the competitive solution-based procurement only a single compliant proposed solution has been received and the VoteCal project team has evaluated that it meets the project requirements. The SOS must deploy a Statewide HAVA-compliant Voter Registration database and the project cannot be cancelled without violating SOS' agreement with the United States Department of Justice (USDOJ).

3.6.1 Recommended Alternative Solution

3.6.1.1 Solution Description

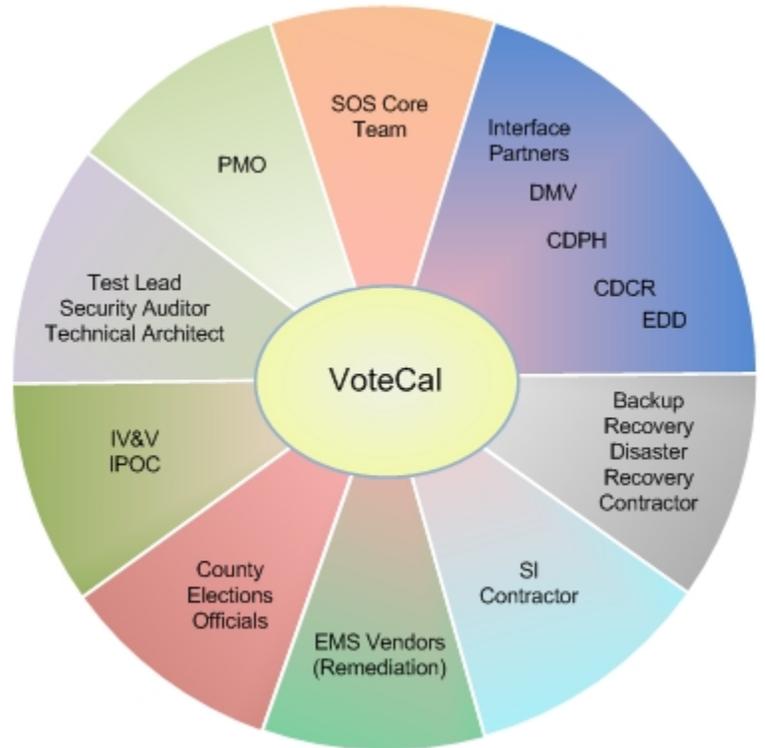
The recommended alternative solution supports a hybrid voter registration approach that will address requirements to: create and operate a new centralized statewide voter registration database; implement a public access website to support online voter registration and provide registered voters access to relevant voter information; and, remediate counties' existing EMSs to operate as the front end for county elections offices to maintain voter registration information in the new central system. While requiring EMS changes to enable VoteCal to serve as the centralized voter registration system, the recommended solution allows County elections officials, who are charged with the actual registration of voters and conduct of elections, and their staff to continue to use their existing EMSs' and does not require that they learn to directly interact with an entirely new system.

Online voter registration functionality, one of several voter services that will be delivered by the public access website, has been included within VoteCal scope from its earliest approval and remains an important business requirement. The SOS VoteCal project team carefully considered the Agency's recent response to SB 397 (the California Online Voter Registration (COVR) website) and has determined that it does not impact VoteCal's scope (see section 3.6.1.8 for information about leveraging established interfaces).

Solution Approach

As first described in the approved FSR, VoteCal is mission-critical to assuring that SOS meets constitutional and federal obligations in the conduct of elections in California. As a consequence, SOS planned and is enacting an integrated VoteCal solution approach aimed at optimizing success and reducing risk.

A critical element of SOS' envisioned approach is to focus on the total VoteCal solution by identifying and building partnerships with essential solution providers, partnerships engineered to leverage the specific expertise and established relationships each is able to bring. A brief description of each of these essential solution providers and their contribution to the total VoteCal solution is described below.



- o **SI team:** SOS has anticipated procuring the services of a respected systems integration team with experience implementing a HAVA-compliant voter registration system to implement the VoteCal system since its earliest planning stages. The selected SI prime contractor, CGI, is a well-established system integration firm with a respected track record successfully implementing system solutions within the state of California and throughout the world. CGI proposes supplementing its extensive systems integration experience with voter registration, EMS, and SOS' Calvoter I system expertise through strategic subcontractor agreements. CGI will directly partner with Data Information Management Systems (DIMS) and DFM Associates (DFM) to assure that the VoteCal solution benefits from the expertise these two EMS vendors bring in county voter registration requirements, data, and processing (in addition to the expertise they bring with their respective EMS systems). Between them, DIMS and DFM account for a total of 56 out of the 58 EMSs used in California's county elections offices. One measure of the strength of CGI's commitment to the VoteCal solution benefitting from the expertise afforded by these EMS vendors is the fact that CGI proposes filling one of the six Key Staff Roles the SI is required to provide for VoteCal is staffed by a senior DIMS staff member (the Business Lead). The SI anticipates relying heavily upon the EMS expertise in developing and supporting the SI's extensive Organization Change Management (OCM) effort. CGI has also established another strategic partnership by subcontracting

with Natoma Technologies, Inc. (Natoma) to provide key technical services and a senior Natoma staff person with fill another of the SOS required six Key Staff Roles (Technical Lead). Natoma has a long history with developing and supporting the SOS Calvoter I system.

- EMS vendors: The vendors who maintain and support the EMS systems currently used by the county elections officials' staff have long been recognized as critical to the total VoteCal solution. SOS will contract directly with each of the three vendors currently supporting California's counties to remediate their respective EMSs' to interface with VoteCal and serve as the VoteCal front-end. These EMS vendors bring many years of voter registration knowledge and experience working with county staff. SOS will contract will all three EMS vendors to perform the "handshaking" scope of work necessary to implement the total VoteCal solution: remediating and testing their respective EMS systems; training county staff in using the remediated system; and providing pilot and deployment support to the counties, SOS, and SI contractor. As noted, the selected SI contractor has proposed subcontracting with the two EMS vendors whose systems support the majority of California counties to support the SI's VoteCal scope of work (as distinguished from EMS remediation work). SOS anticipates that having this EMS expertise on "both sides" of the VoteCal solution (SOS and county) will further optimize coordination, collaboration and communication, decrease risk, and contribute to the quality of the total solution.
- County elections officials and staff: The county elections officials and their staff are not expected to be passive recipients of the VoteCal solution but are expected to operate as critical solution-providers in their own right. County elections officials will help guide VoteCal decision-making, and county staff will participate in designing, testing and deploying the remediated EMSs' and the VoteCal system. To facilitate county involvement, the total VoteCal solution includes reimbursing the counties for staff participation.
- BRDR vendor: The vendor SOS envisions selecting to provide VoteCal BRDR services will support the total VoteCal solution by contributing the expertise and resources required to provide such specialized services. Further, SOS has required that the SI contractor begin using the external BRDR service effective the start of the pilot phase (when VoteCal technically begins "production" operations). The SOS strategy to separate the BRDR services from the SI scope reduces project risk and potentially cost (see the immediately preceding Project Budget section for related information). The SOS timing requirements for integrating BRDR services with VoteCal allows sufficient time for the BRDR vendor to become familiar with the system it is required to provide backup recovery and disaster recovery support for and better assures that the VoteCal system will be a stable target for the BRDR vendor to support.

By contracting with these solution-providers (including the essential county stakeholders) and supplementing SOS' VoteCal project team with experienced project management, IV&V, IPOC, and other state and contractor expertise, the SOS solution approach enables the total VoteCal solution to draw upon the distinct areas of expertise and interests represented by each provider and will create a "whole" that is greater than the sum of its parts. Applying this approach will help to assure that the deployed VoteCal solution will result in 100% SOS compliance with the federal HAVA mandate.

Another key element of the VoteCal solution approach is to house the primary system within the SOS data center. As a state constitutional office, the SOS based this previously approved decision on the following considerations:

- By hosting the system within the Agency's own data center (in lieu of the state's data center), SOS is better able to address VoteCal's support and continuity requirements as a top priority. As a state constitutional office charged with addressing the HAVA federal mandate, the SOS must be able to assure that challenges to VoteCal deployment and ongoing operation and legislative changes are addressed in a timely manner.
- The SOS data center and staff currently fully support the interim HAVA solution (Calvoter I) that VoteCal will replace, including interfaces to multiple external state agencies and a well-established wide area network (WAN) linking the SOS and the 58 counties (components that VoteCal will also require).
- The current SOS data center can easily be scaled and supplemented to accommodate VoteCal. SOS will be able to leverage pre-existing data center infrastructure and resources to integrate VoteCal.
- Hosting VoteCal in a state data center rather than at SOS would introduce remotely controlled network, equipment and processing components into the VoteCal solution. The potential consequence of adding such components: would introduce increased operational and support complexity (and therefore, risk); could expose confidential voter registration data and expand security vulnerabilities; and, could impact performance. By hosting VoteCal in the Agency's data center, SOS avoids these potential problems.

SI-Specific Solution Approach

The selected SI contractor, CGI, has proposed an integrated solution that comprehensively addresses the functional, technical, and implementation requirements essential to VoteCal success, fully addresses the legacy voter registration system's limitations and enables SOS to fully comply with HAVA. Based on existing SOS standards and investments, the proposed SI solution approach uses industry-standard best practice frameworks and an open technology basis to facilitate future growth.

CGI proposes a bottom-up, iterative approach for addressing VoteCal business requirements based on a methodology successfully applied on other public and private sector projects and which begins with establishing reference models driven by requirements. To address the VoteCal requirements, the SI methodology adopts a five-step process to develop:

- A conceptual model of proposed VoteCal system functionality
- A requirements traceability matrix (RTM) that captures each VoteCal requirement and, through subsequent analysis, maps requirements to the functional architecture
- A detailed functional architecture based upon grouping business requirements into functions or components representing each business and operational need
- A technical architecture based on the technology needed to support each business requirement

- An implementation and deployment approach for addressing the SOS Pilot Test and county deployment requirements.

Functional Architecture

The proposed functional architecture organizes high level business functions into business processes and then defines the business and common services, partner/legacy systems, and key information repositories required to support each business process. Although the functional requirements are central to the functional architecture, the SI contractor's approach also recognizes the criticality of key stakeholders, organizational changes, readiness and impacts, and represents these as key functional architecture components.

Technical Architecture

The proposed technical architecture incorporates a well-managed service-oriented architecture (SOA) to support VoteCal processes and services in a secure environment. The proposed VoteCal solution provides scalability and extensibility to meet performance and capacity requirements and flexibility to support changing business and legal requirements. This architecture provides for seamless data integration and enables real-time messaging between SOS and the counties. In addition, the VoteCal technical architecture's Master Data Management (MDM) capabilities are intended to improve data quality, remove duplicates, and provide a single voter registration record for each voter statewide. The proposed architecture includes the following key components:

- Application and data architecture that enable the consolidation of data from County EMS and State systems into a centralized data repository of voter registration information.
- Application architecture constructed from industry-standard SOA integration techniques providing timeliness of data updates.
- Data architecture and a management approach founded on MDM principles such as matching and data validation, establishing an accurate single view of the voter.
- Industry-standard infrastructure capacity management planning (CMP), establishing an operational approach to provide system availability and scalability.
- An application-centric security approach that protects core applications and data, and then layers security outward to the host and network to protect the various network components.
- A robust reporting solution that caters to the ad-hoc and standard reporting needs of the State.

The VoteCal software architecture includes components to address security and vulnerability management, backup and recovery (locally and to external BRDR service), storage, virtualization, and server operating system. SOS will contract directly with a Technical Architect consultant to work with and evaluate the SI contractor's technical architecture and overall VoteCal solution to help assure that VoteCal design, implementation and testing demonstrates integration of industry best practices while addressing all SOS technical requirements.

3.6.1.2 Network

The proposed solution supports communications between the central VoteCal system and County EMSs by leveraging SOS' existing Multiprotocol Label Switching (MPLS) network that connects the data center within SOS Headquarters to the 58 counties. VoteCal will also connect to the existing SOS LAN using Cisco network components. The network component of the VoteCal solution will use industry standard protocols such as the User Datagram Protocol (UDP) and Transmission Control Protocol (TCP), the latter of which will facilitate data movement between end-user workstations and servers and between servers. To provide gigabit speeds to meet all performance and backup and recovery requirements, Fiber Channel (FC) connectivity is proposed from the Database Servers to the SAN Storage and the Data Domain. The proposed solution also incorporates a Cisco Catalyst 6509-E switch incorporating two ASA 5555 firewall appliances for managing adaptive security.

3.6.1.3 Hardware

VoteCal hardware will reside at the SOS data center. The SI contractor's proposed hardware is chassis based to enable a VoteCal solution requiring the least physical space within the data center. Categories of hardware included in the SI contractor's proposed solution include: servers, storage units, and network components.

3.6.1.4 Software

SI Solution

The SI contractor's proposed VoteCal software architecture supports meeting the functional and system operational requirements described in the VoteCal Functional and Technical Architectures (see section 3.6.1.1). The software architecture is designed to: consolidate redundant functions into enterprise processes and services; assemble data from disparate sources and systems into a single, logical data store; and, to help to create the consolidated, accurate view of voter registration functions and data. The software architecture component of the SI contractor's solution coordinates system functionality spanning the VoteCal application, system monitoring, security, auditing, messaging and reporting.

CGI proposes using Microsoft's .NET Framework to develop the core VoteCal system and SQL Server 2008 R2 Enterprise Edition for the database servers. To develop the standard (pre-defined) VoteCal reports and to facilitate end-user query and report development (for "super users") the following products are included: SAP Application Standalone Business Intelligence (BI), Business Analysis & Technology, SAP BusinessObjects Business Intelligence Platform, Business Analysis & Technology SAP Crystal Reports, Business Analysis & Technology SAP BusinessObjects and Web Intelligence.

Remediation of EMSs

Consistent with the RFP requirements and the anticipated SI contract agreement, EMS remediation is critical to VoteCal project success. SOS will directly contract with existing EMS vendors that currently support the 58 counties for all remediation work. Remediation-related work will begin during VoteCal design and continue through testing and deployment support, to ensure a complete and successful VoteCal implementation. It is crucial that SOS gain approval from DGS to establish these NCB contractual agreements with the EMS vendors simultaneous with the SI contract, in order to avoid potentially significant project impacts that could:

- Result in the State's inability to uphold the SI contract agreement and incurring SI contractor initiated fees and penalties;
- Cause counties unanticipated challenges and problems which may significantly delay VoteCal system implementation and acceptance, and result in the counties losing credibility with state implementations;
- Cause VoteCal to span additional election cycles and, as consequence, further extend the project timeline and incur additional unanticipated costs;
- Trigger USDOJ sanctions against the State; and
- Trigger questions from the Legislature, media, etc.

The EMSs will be remediated to ensure that all voter registration information derives from VoteCal, thereby ensuring it is the official voter registration list, as required by HAVA. County staff will continue to key new and updated voter registration information into their EMSs; however, record updates will be applied directly to the VoteCal database. This approach will create a one-way information flow wherein any addition to, change in, or deletion of voter registration information will be applied first to the VoteCal database. New fields, code tables, and edit rules will be established to bring the county EMS data entry screens into alignment with statewide voter registration data definitions and data edits. New logic will be established in EMSs to deal with exception processing arising from integration and validation errors. The EMS vendors will complete this work based on specifications they collaborate with the SI contractor to develop.

3.6.1.5 System Security

Data and system security is a prime concern for SOS, the proposed solution is secured through the following set of security mechanisms:

- Policy and Procedure – developing and/or modifying and clearly communicating appropriate policies and procedures for access and monitoring.
- Physical Security – providing protections for the physical and environmental security controls, physical access controls, fire safety, and supporting facilities.
- Network Security – establishing protected zones, monitoring, identification and authentication, and executing network and performance management.
- Operating Systems and Platform Security – auditing each operating system and platform in accordance with CGI security best practices and in conjunction with SOS.
- Application – protecting core applications and data through the implementing application security mechanisms (e.g., authentication, authorization, and auditing).
- Data – protecting data through the use of database-level security.

The proposed solution addresses physical security, network security, intrusion detection system, protection against denial of service attack, county system isolation, operating system and platform security, application security, authentication, authorization, Single-sign-on, in-flight data encryption, and data security procedures. Additionally a method to properly authenticate, authorize and audit users is a core component within the proposed solution. Central to security is integration with SOS's implementation of Microsoft's Active Directory. Directory services enable the management of users, groups, resources and other system components as well as the permissions that govern their accessibility.

The SI VoteCal solution supports the following security standards: Microsoft Active Directory (AD); Web Services Security (OASIS standards); Secure Socket Layer (SSL) and, FIPS-140 (Microsoft TDE), where in data at rest will be encrypted using transparent data encryption (TDE) at the database level.

Supplementing the VoteCal project's IV&V team's efforts to assure independent review and assurance of VoteCal security, SOS will solicit and integrate the SOS Information Security Officer's review and input through all phase of the VoteCal lifecycle and contract with an independent Security Auditor to review and confirm VoteCal meets appropriate industry best practices as well as SOS' specific security requirements.

3.6.1.6 Technical Interfaces

SOS and the SI contractor will work with impacted state agencies (DMV, CDPH, CDCR, and EDD) to determine acceptable data definitions and update protocols and to ensure that any actions that need to be taken by these agencies are coordinated with the overall project schedule. These interfaces are currently in place and provide information to Calvoter I and, most recently to the COVR website. Leveraging these existing interfaces, the VoteCal environment proposed by the SI contractor is required to use those interfaces already established with:

- DMV to validate driver's license and change of address information.
- DMV to the Social Security Administration for Social Security information.
- DMV to retrieve digital signatures for the registering voter.
- CDPH to receive records on deaths.
- CDCR to receive information on felons.
- EDD to validate and correct address information against the U.S. Postal Service's National Change of Address (NCOA) system.

3.6.1.7 Testing Plan

The VoteCal testing scope includes: unit testing, integration testing (which tests the various components of the system from a technical perspective), system functional testing, performance testing (which includes load and stress testing), backup and recovery testing, User Acceptance Testing (UAT), pilot testing, and regression testing where appropriate. To further support comprehensive test coverage, part of the testing performed includes negative testing. Due to VoteCal's dependency on data from external systems, external interface testing is also very important for the project to ensure quality. In addition to the support of the IV&V contractor, the project will acquire testing lead services to assist the State with quality control activities.

3.6.1.8 Training Plan

To operate effectively in the VoteCal environment, SOS employees and county elections staff must be equipped with the skills, knowledge, and abilities required for using the VoteCal system to achieve the SOS's desired business results. The SI will develop a training plan that will further define the approach to training the county elections officials' 650 voter registration staff and administrators as well as SOS staff—the two major categories of users. The types of training envisioned include:

- End-user training. The focus of end-user training is two-fold: 1) to provide initial training to SOS and county elections staff to operate the system, and 2) to provide SOS VoteCal trainers with the competency, materials, and necessary support to provide ongoing training once the system is operational.
- Project team and technology personnel training. This will provide designated SOS IT support and Help Desk staff with the proficiency needed to be productive team members during preparation and implementation and to prepare them to provide first-tier support for the new solution after implementation.

SOS will coordinate all training activities with the SI Training Lead, the EMS vendors, and the SOS and individual county staff for EMS systems and business policy changes. The EMS vendors will be responsible for providing training to the county elections staff on changes to the EMS systems. SI will be responsible for training the SOS users on VoteCal operations and county elections staff on business policy changes.

3.6.1.9 Backup Recovery and Disaster Recovery

Because of VoteCal's business critical nature, SOS has consistently placed a high priority on the timely and accurate recovery and operational continuity of the system (so much so that the original procurement proposed a "hot site" backup). Although the "hot site" requirement was eliminated in SPR #3, VoteCal backup recovery and disaster recovery remains a critical requirement. SOS will acquire services of a remote vendor who specializes in BRDR services from pilot phase onwards.

The state data center resides within the same geographic area as SOS' data center. Due to this geographic proximity, the two data centers share very similar vulnerability profiles for anything other than a localized disaster. Because of this similarity, SOS concluded that contracting with a specialized BRDR vendor (in lieu of the state data center) to host these services outside of the Sacramento Valley would reduce project and ongoing operational risk to this federally mandated, mission-critical system.

The SI will work with the selected BRDR vendor to integrate the backup recovery and disaster recovery services for VoteCal. The proposed VoteCal architecture is designed to support backups to a remote site in case of a disaster that makes the data and systems at the primary SOS headquarter site inaccessible. The SI will work closely with SOS and BRDR vendor to address this functionality. The VoteCal solution will be designed to support backups to a remote site in case of a disaster that makes the data and systems at the primary SOS headquarter site inaccessible. The recovery of data that is backed-up can be used in other scenarios as well.

3.6.1.10 VoteCal Help Desk and User Support

SOS will maintain the Level 1 help desk, while the SI will be responsible for Level 2 help desk support. Level 3 help desk support will be divided between Infrastructure Support, Application Support, and Operation Support and service at this level will be managed by the both SOS or the SI depending on the nature of the support request. The proposed solution includes using an industry-leading toolset to monitor the different infrastructure tiers with event and metrics management capabilities.

3.7 Implementation Plan

The VoteCal project implementation plan will follow an incremental or phased approach as proposed by the SI contractor. This approach is designed to minimize deployment risk and be more manageable for the SOS team. This phased deployment requires fewer SOS resources over a longer period of time to support a level deployment effort.

The project will be conducted in phases that SOS has defined as follows:

- Phase I – Project Planning
- Phase II – Design
- Phase III – Development
- Phase IV – Testing
- Phase V – Pilot Deployment
- Phase VI – Full Deployment and Cutover
- Phase VII – First-year Operations and Close-out

Throughout these seven phases, SOS will work closely with county elections officials and their staff, EMS vendors, the SI contractor, and state interface partners to develop the VoteCal system, revise the EMSs' and to integrate SOS' existing voter registration-related interfaces. The individual subcomponents of the system will be tested prior to integration, system and user acceptance testing of the total, integrated VoteCal system and solution. Once the integrated VoteCal system has been thoroughly tested and the SI contractor has confirmed that the remediated EMSs' comply with the data integration and exchange specifications critical to supporting HAVA, VoteCal will be deployed first to the Pilot counties and later to the remaining counties in a series of seven groups. Once the final county is deployed to VoteCal, California will be fully HAVA compliant.

County elections officials and their staff will be invited to participate in Joint Application Development (JAD) sessions, will receive training on VoteCal and their remediated EMS, and will be invited to participate in data conversion, data cleansing, and testing activities. The SOS will invite county elections office participation and will rely on it to ensure the successful deployment of VoteCal. Deployment will occur in such a way as to minimize disruption to the election cycles. Training and materials will be provided to county elections offices to explain any changes to business process as well as to their EMSs.

The SOS project team will include staff and managers who provide functional (Elections) and technical IT expertise, supplemented with contract support for technical architecture expertise, security auditing, leadership and coordination of testing activities. In addition, SOS has contracted for ongoing project management, IV&V and IPOC services.

The table that follows summarizes the key activities and intermediate decision-points specified within each project phase that will build towards successful project implementation. Section 4.5.3 Project Phasing, later in this report, includes a table that summarizes the primary SI contractor deliverables due during each project phase.

Exhibit 3-2: Activities and Decision-Points

Phases	Activities and Decision-Points
Phase I	<p>Project Planning</p> <ul style="list-style-type: none"> ▪ SI contractor, EMS vendor (for remediation), Test Lead contractor, Security Auditor contractor, and Technical Architect contractor procurements completed ▪ Project kick off meetings conducted ▪ “As is” and “to be” business processes defined and gap analysis conducted ▪ VoteCal requirements updated and finalized ▪ Organizational change management (OCM) activities initiated and preliminary organization readiness assessments conducted ▪ Project management plans developed, refined and executed ▪ Deliverables accepted and invoices paid
Phase II	<p>Design</p> <ul style="list-style-type: none"> ▪ JAD sessions conducted and use cases developed ▪ Technical architecture finalized and approved ▪ System requirements specification and detailed design specifications developed ▪ System design approved ▪ VoteCal-EMS data integration and exchange specifications developed and approved ▪ EMS remediation efforts initiated ▪ BRDR services vendor procurement completed ▪ Training plans finalized and approved ▪ Deliverables accepted and invoices paid
Phase III	<p>Development</p> <ul style="list-style-type: none"> ▪ SOS data center readied and VoteCal development, test and training environments installed, configured and certified ▪ System developed (coded) and unit tested based on use cases ▪ EMSs remediated, tested, and confirmed ▪ Integration and system test plans developed and approved ▪ System acceptance test plan developed and approved (includes testing integration of remediated EMSs and interfaces with VoteCal) ▪ BRDR services configured/established to support VoteCal and vendor’s connectivity to SOS data center implemented and tested ▪ Training materials developed for Help Desk staff, system end-users, and, county staff (inclusive of training on “to be” business processes for VoteCal and using remediated EMS) ▪ Deliverables accepted and invoices paid
Phase IV	<p>Testing</p> <ul style="list-style-type: none"> ▪ Interface to BRDR services implemented and approved

Phases	Activities and Decision-Points
	<ul style="list-style-type: none"> ▪ Integration and system tests completed and approved ▪ Remediated EMSs completed and approved ▪ System acceptance test completed and approved ▪ Remediated EMSs' certified for VoteCal compliance and approval to proceed to User Acceptance Testing ▪ User Acceptance Test (UAT) completed and approved ▪ Requirements traceability completed and certified ▪ Pre-deployment organizational readiness assessments conducted for each Pilot county confirm county readiness for Pilot ▪ VoteCal-EMS Data Integration for Pilot counties completed and approved ▪ Go/No Go decision point based on testing acceptance criteria ▪ VoteCal Pilot and production environments in SOS data center installed, configured and certified ▪ Project risks and issues associated with Planning Phase through Testing Phase are assessed and closed ▪ Deliverables accepted and invoices paid
Phase V	<p>Pilot Deployment</p> <ul style="list-style-type: none"> ▪ VoteCal Help Desk(s) and operations processes and procedures developed ▪ Help Desk(s) and operations processes and procedures training completed for SOS, SI contractor and EMS vendor staff ▪ End-user training for SOS staff conducted ▪ Training on revised business processes (for VoteCal) for county elections staff in Pilot counties conducted ▪ Training on remediated EMSs' for county staff in Pilot counties conducted ▪ Pilot counties deployed to VoteCal production operations in waves of one Pilot county per wave (includes converting each Pilot county's EMS historical data to VoteCal) ▪ SOS accepts the VoteCal system based on Pilot deployment results ▪ Go/No Go decision point based on Pilot acceptance criteria ▪ Production backup and recovery to external BRDR service commenced with the Pilot counties and validated ▪ Project risks and issues associated with Pilot Phase assessed and closed ▪ Deliverables accepted and invoices paid
Phase VI	<p>Full Deployment and Cutover</p> <ul style="list-style-type: none"> ▪ VoteCal Help Desk(s) and operations processes and procedures updated and supplemental training conducted (if needed) ▪ VoteCal System training for SOS staff updated/conducted (if needed) ▪ Training on revised business processes (for VoteCal) for county

Phases	Activities and Decision-Points
	<p>elections staff in remaining counties conducted</p> <ul style="list-style-type: none"> ▪ Training on remediated EMSs' for county elections staff in remaining counties conducted ▪ Pre-deployment readiness confirmed for each county prior to deployment ▪ Remaining counties deployed in multiple waves (includes conversion of EMS historical data to VoteCal for each county) ▪ VoteCal Help Desk documentation, operations processes and procedures and SOS end-user training augmented for VoteCal public access website ▪ Training for Help Desk and SOS end-user staff on public access website developed and delivered ▪ Go/No Go decision point based on final acceptance criteria ▪ After final county is successfully deployed to VoteCal, the public access website is implemented ▪ Project risks and issues associated with Deployment and Cutover Phase assessed and closed ▪ Deliverables accepted and invoices paid
Phase VII	<p>First-year Operations and Close-out</p> <ul style="list-style-type: none"> ▪ First full year of VoteCal hardware and software maintenance and operations performed, monitoring actual performance against service level objectives and assigning/recovering service credits as needed ▪ Monthly and year-end M&O reports generated and delivered ▪ Remaining deliverables accepted and invoices paid ▪ Project close-out activities performed (including lessons learned) ▪ Prepare PIER

4.0 UPDATED PROJECT MANAGEMENT PLAN

4.1 Project Manager Qualifications

No changes from the approved SPR #3.

4.2 Project Management Methodology

No changes from the approved SPR #3.

4.3 Project Organization

The VoteCal project organization chart (Exhibit 4-1) represents the current VoteCal Project structure. The Agency's organization chart is in Exhibit 4-2, the Information Technology Division (ITD) organization chart is shown in Exhibit 4-3, and the Elections Division organization chart is shown in Exhibit 4-4.

Exhibit 4-1: VoteCal Project Organization Chart

SOS VoteCal Project Organization

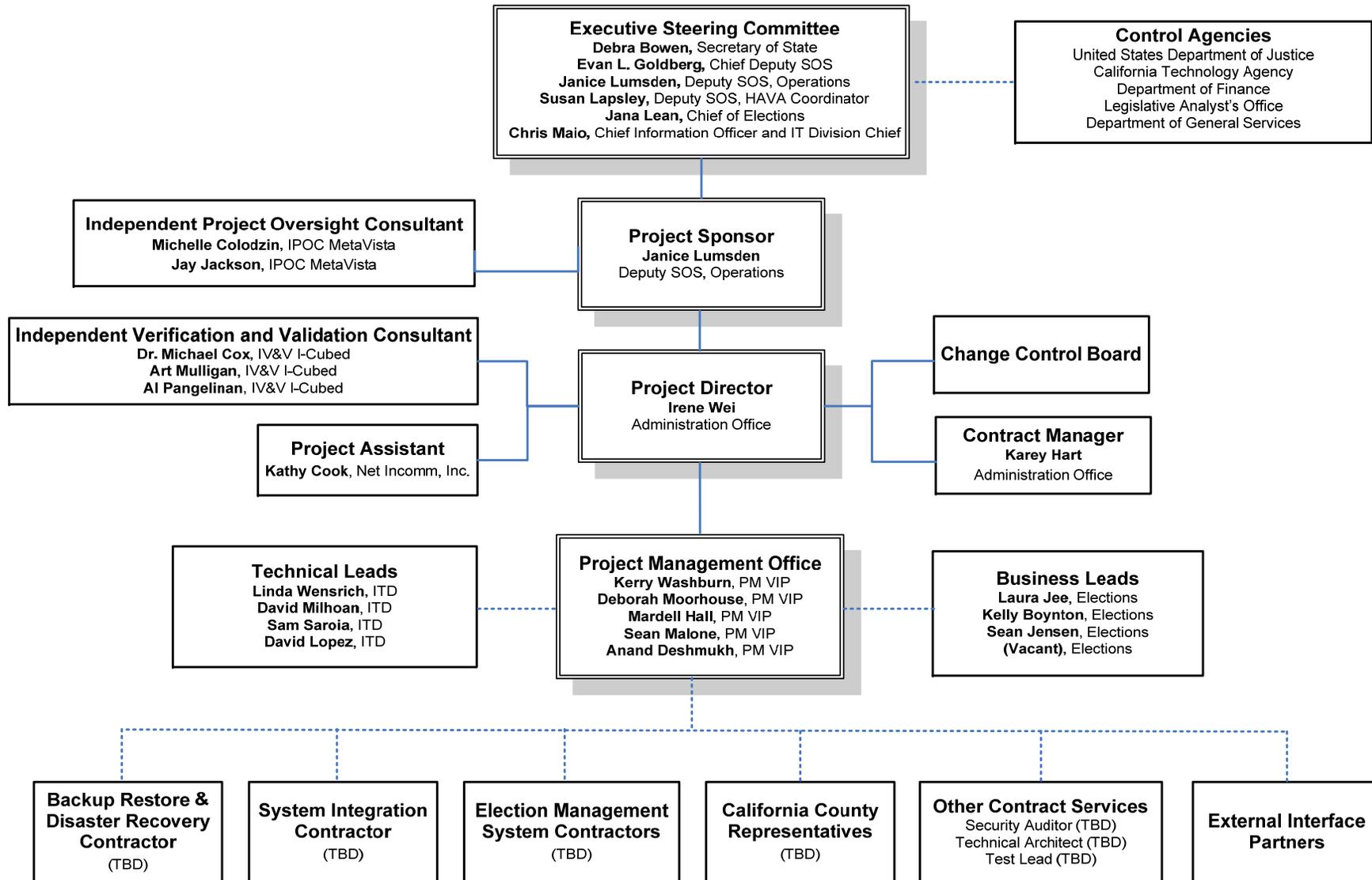


Exhibit 4-2: SOS Organization Chart

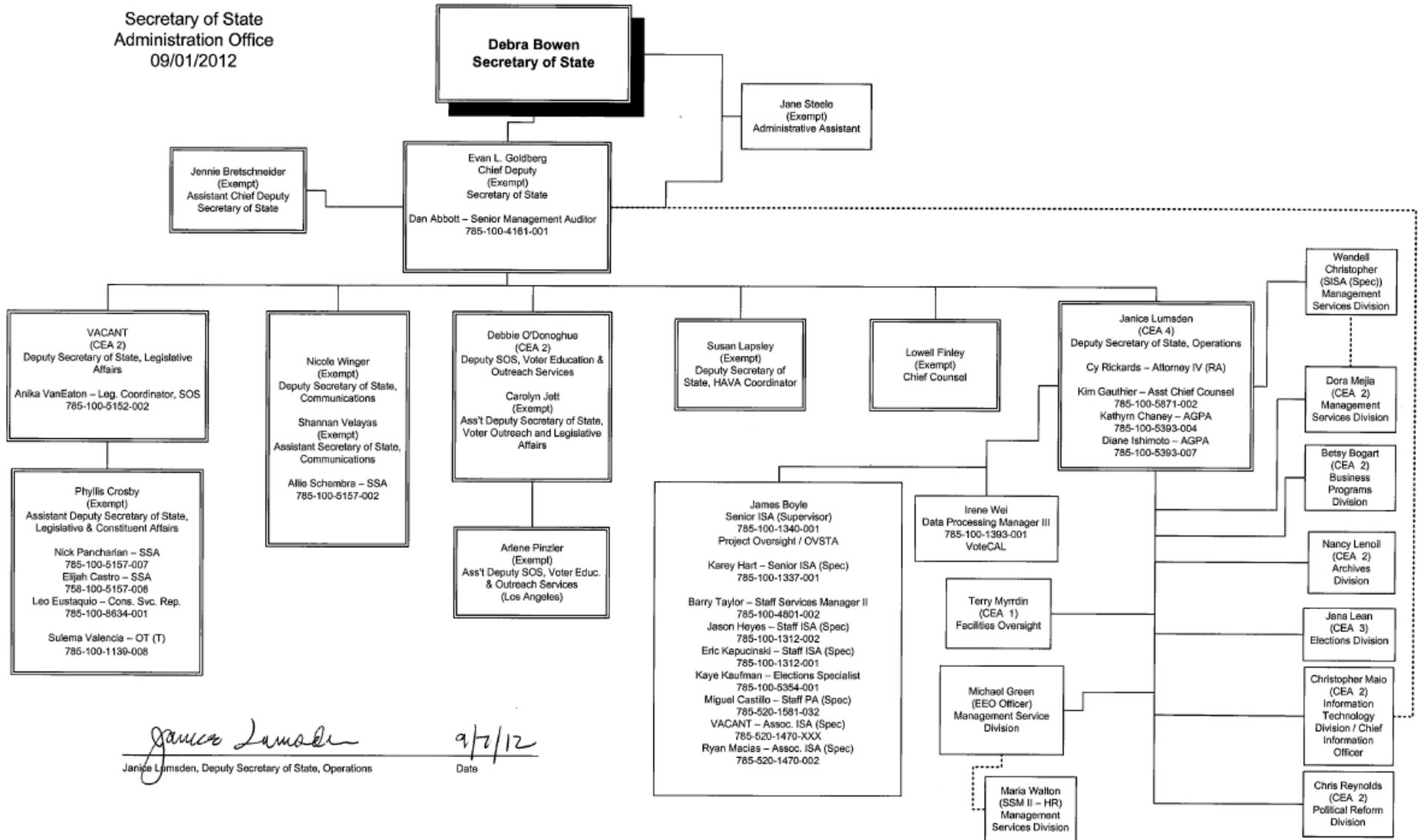
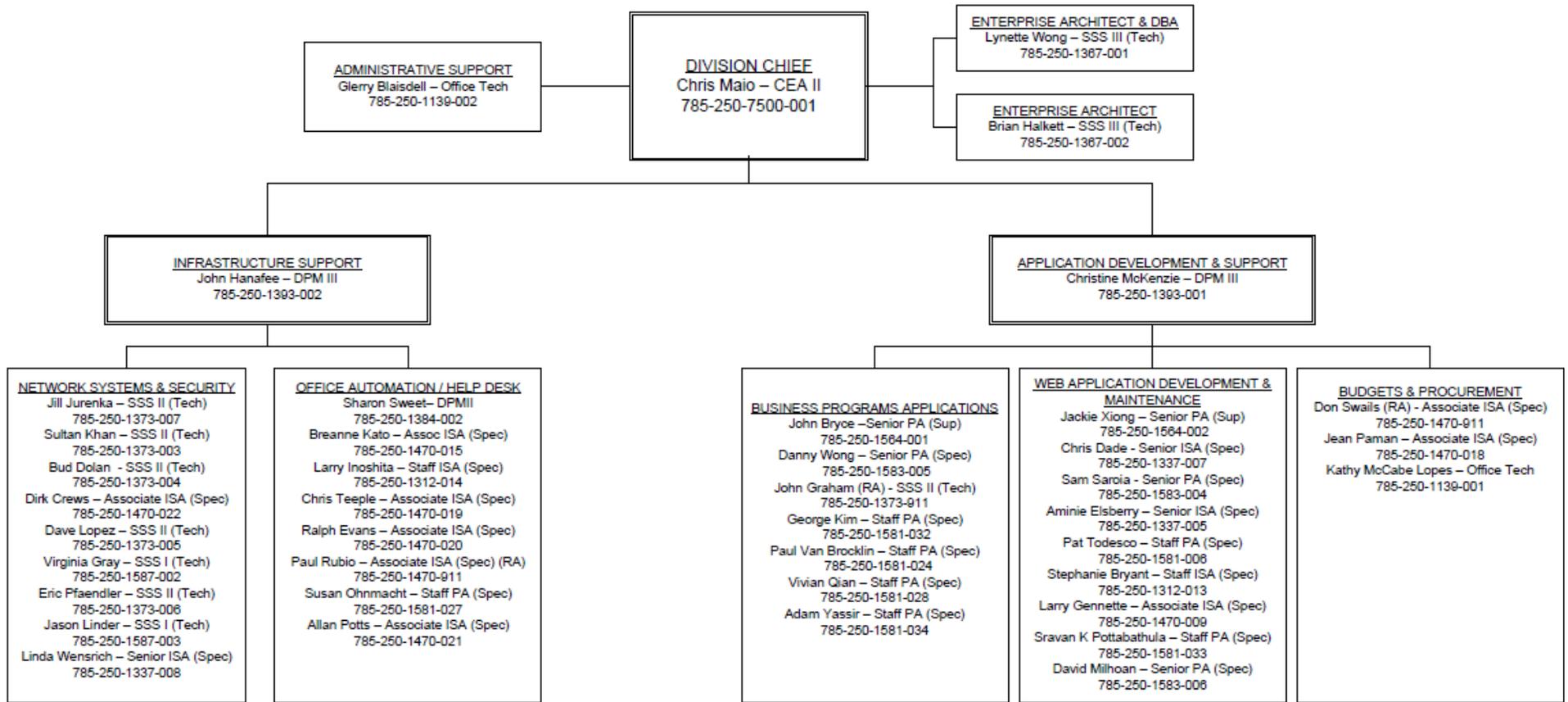


Exhibit 4-3: Information Technology Division Organization Chart

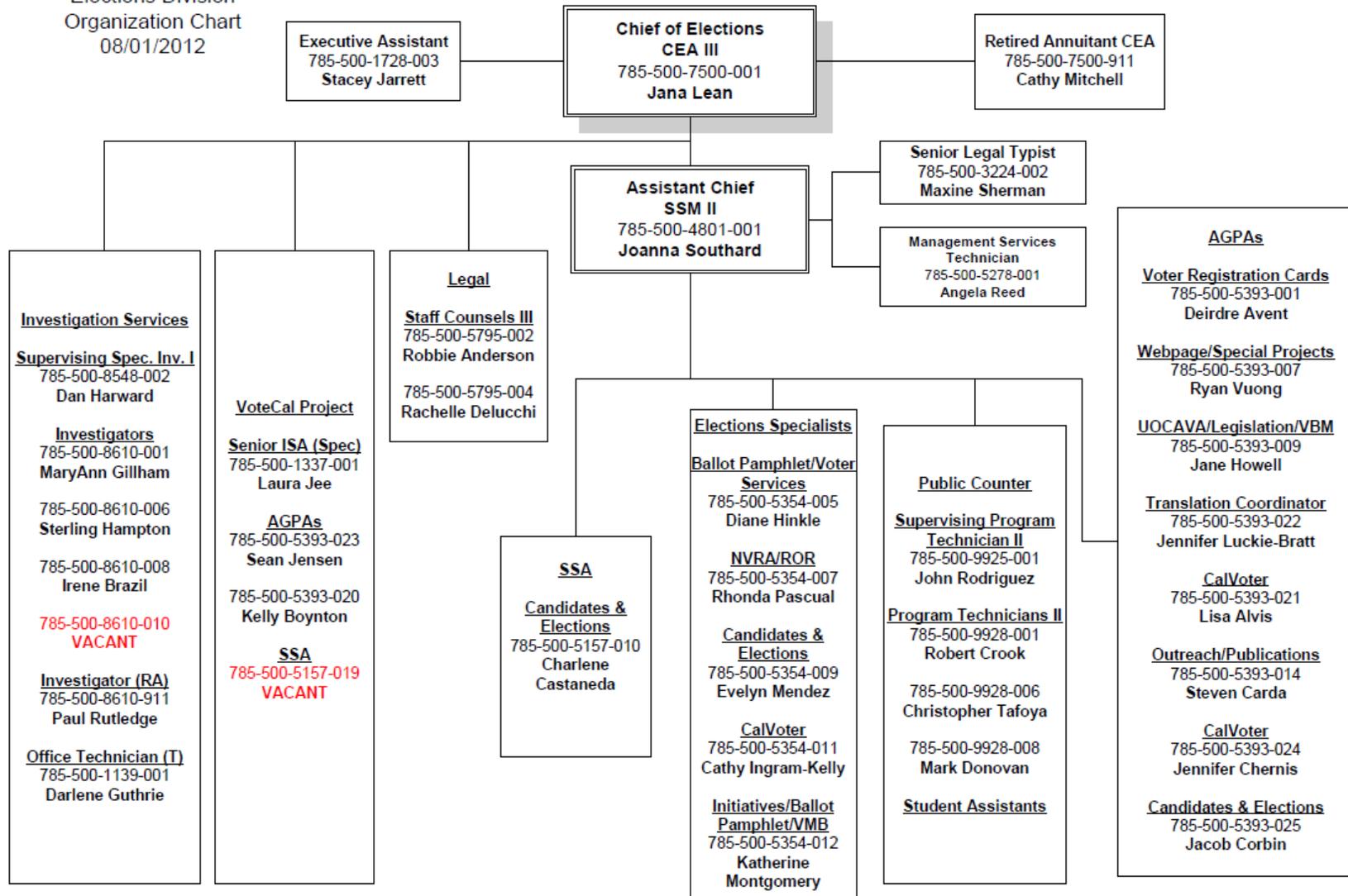


REVIEWED and APPROVED BY: _____
Chris Maio, Division Chief

APPROVAL DATE: _____

Exhibit 4-4: Elections Division Organization Chart

Elections Division
Organization Chart
08/01/2012



Jana M. Lean
Chief, Elections Division

Date

4.4 Project Priorities

No changes from the approved SPR #3.

4.5 Project Plan

4.5.1 Project Scope

VoteCal's scope, as defined in the approved FSR, is the development, testing, and implementation of a statewide voter registration database that meets federal HAVA mandates and functionality requirements defined in the RFP. The major components comprising VoteCal project scope are listed below. Refer to section 3.4 of this proposal for more details.

- Acquire the SI contractor to develop, integrate, deploy, and support the proposed solution.
- Acquire BRDR, project expertise and oversight services (e.g., project management, project assistance, IPOC, IV&V, technical architect, test lead and security auditor).
- Develop the VoteCal application in coordination with county elections officials and their EMS vendors.
- Develop interfaces to other state agencies (DMV, CDPH, CDCR, and EDD) to collect data that supports registration identification (ID) verification, online voter registration and list maintenance requirements.
- Establish EMS remediating contracts to acquire EMS vendor services to enable EMSs' to interface with VoteCal and operate as VoteCal's front-end.
- Migrate county elections offices that use EMSs to a VoteCal-compliant EMS.
- Deploy VoteCal to county elections offices.
- Provide VoteCal user training.
- Provide Help Desk services to users.
- Secure one year of maintenance and operations from the SI vendor.
- Prepare a Post Implementation Evaluation Report (PIER).

4.5.2 Project Assumptions

The following are the most current assumptions for the VoteCal Project:

- Control agencies will conduct timely review and approval of VoteCal project approval documents (e.g., SPRs, Control Section 11.00, contract amendments).
- The SI contractor contract will be awarded by December 28, 2012.
- By the time of SI contract award, the project will have received DGS approval on the NCBs for exclusive EMS remediation services.
- The SI contractor must meet the needs established in the RFP.
- The functionality of the proposed system must meet HAVA mandates.
- Sufficient SOS resources (whether staff or contractors) must be made available to support both one-time and ongoing activities.

- Although the VoteCal solution will be housed at the SOS data center, backup and disaster recovery will be at a location proposed by a backup recovery and disaster recovery vendor.
- Deployment of VoteCal cannot interfere with local and statewide elections.
- The proposed VoteCal solution will replace at least all existing Calvoter I functionality.
- To support the proposed project implementation schedule, separate solicitations for VoteCal BRDR, technical architect, test lead, and security auditor are successful and timely.
- The current desktop hardware and software environments in both SOS and counties are adequate to support VoteCal system requirements.
- All partner agencies (state departments and county elections offices) will accomplish planned activities within the established timeframes.

4.5.3 Project Phasing

The following table reflects the updated deliverables for each project phase:

Exhibit 4-5: Project Phases and Deliverables

Phases	Deliverables
Phase I	Project Planning <ul style="list-style-type: none"> ▪ Project Management Plan ▪ Integrated Project Schedule ▪ Quality Management Plan ▪ Software Version Control and System Configuration Management Plan ▪ Organizational Change Management Plan ▪ Requirements Traceability Matrix Plan
Phase II	Design <ul style="list-style-type: none"> ▪ System Requirements Specifications ▪ System Functional Specifications ▪ Detailed System Design Specifications ▪ EMS Integration and Data Exchange Specifications Document ▪ Detailed Requirements Traceability Matrix ▪ Technical Architecture Documentation ▪ Data Model and Data Dictionary ▪ Data Integration Plan ▪ Training Plan
Phase III	Development <ul style="list-style-type: none"> ▪ System Development, Test & Training Environments Certification Report ▪ System Test Plan ▪ Acceptance Test Plan for Certification of EMS Data Integration and

Phases	Deliverables
	Compliance <ul style="list-style-type: none"> ▪ Organizational Change Management Plan Updated ▪ System Implementation and Deployment Plan ▪ System Source Code and Documentation
Phase IV	Testing <ul style="list-style-type: none"> ▪ Pilot County Data Integration Completion and Report ▪ System Acceptance Test Completion, Results and Defect Resolution Report ▪ System Documentation and Updated System Source Code ▪ System Pilot and Production Environments Certification Report
Phase V	Pilot Deployment <ul style="list-style-type: none"> ▪ Develop System Training Materials and Complete Training Before the Pilot ▪ Conduct Pilot Testing and Provide Pilot Results Report ▪ Updated System, Documentation and Training Materials including System Source Code ▪ Revised/Updated System Deployment Plan
Phase VI	Full Deployment and Cutover <ul style="list-style-type: none"> ▪ County Elections Staff Training Completed ▪ Updated Training of SOS Staff ▪ Help Desk Implementation and Support ▪ Remaining County Data Integration Completed and Tested for Compliance and Successful Integration ▪ Final Deployment Report including Delivery of Updated System Source Code and Documentation
Phase VII	First-year Operations and Close-out <ul style="list-style-type: none"> ▪ Monthly Operations Support and Performance Reports ▪ Final System Documentation and Current System Source Code

4.5.4 Roles and Responsibilities

No changes from the approved SPR #3.

4.5.5 Project Schedule

The updated project schedule, based on the SI's proposed solution and schedule, is presented below.

Exhibit 4-6: Project Milestones with Completion Dates

Major Milestones	SPR #4 October 2012
Award Contract	12/28/12
Complete Planning	12/27/13
Complete Design	05/29/14
Complete Development	03/31/15
Complete Testing	07/31/15
Complete Pilot Deployment	09/30/15
Complete Deployment to all County Elections Offices	06/30/16
Complete one year Maintenance and Operations	06/30/17
Complete PIER	10/31/17

4.6 Project Monitoring and Oversight

As described in the last approved SPR, the VoteCal IPOC consultant continues to provide independent and objective inputs to the SOS's Executive Steering Committee (ESC) and the California Technology Agency.

4.7 Project Quality

Quality Management will continue as described in the last approved SPR. The SOS Project Team will monitor the overall quality of the project processes and deliverables. The VoteCal Project Management Team will perform or facilitate VoteCal Project QA activities. In addition, as mentioned previously, the QA/quality control (QC) activities of the VoteCal project team will be planned and coordinated with the SI Quality Group Lead, VoteCal Test Lead contractor, IV&V contractor, and IPOC contractor.

4.8 Change Management

Due to the business critical nature of the project, SOS will work closely with the SI Change Management Lead to manage and control transition of SOS and county elections office staff from the current environment to a future state in which VoteCal and the county EMS systems are fully integrated to meet HAVA requirements. The Organizational Change Management (OCM) approach encompasses the following four stages:

- Analyze and Assess
- Communicate
- Train
- Support

In all stages the SI will identify lessons learned and implement process improvements to the OCM approach. The SI will use a Pre-Implementation Readiness Assessment (PIRA) that tracks implementation readiness of the organization components in transition.

4.9 Authorization Required

Outside the regular SPR approval process, a Control Section 11.00 will also need to be approved by Department of Finance and the Legislature.

5.0 UPDATED RISK MANAGEMENT PLAN

The VoteCal Project will continue to employ a systematic approach to risk and issue (collectively referred to as risk in this section) identification, management, escalation, and closure.

5.1 Risk Management Log

Exhibit 5-1 lists the highest-severity risks identified for the VoteCal project at this time.

Exhibit 5-1: VoteCal Risk Register

Item #	Name	Description	Owner	Severity	Response Plan	Status Update
137	Procurement-related coordination with control agencies	If resolving procurement-related decisions requires protracted negotiation with control agencies and/or if approval of the critical the SI contractor, EMS remediation services and BRDR services procurements not timely, the project will experience significant schedule delays and increased risk.	Hall	High	<p>1. Expedite process of establishing NCBs for EMS remediation services. Leverage existing VoteCal knowledge and reduce time required to bring a new DGS resource up to speed by requesting DGS to assign the PD analyst currently supporting the SI contractor procurement to this EMS procurement task. Focus in near-term on securing DGS approval for individual NCB contractual agreements for EMS remediation services. Pursue following tasks/timeline:</p> <ul style="list-style-type: none"> • Submit individual NCB justifications for EMS remediation services for DGS preliminary review/approval by October 25, 2012. • Target securing DGS final approval for the all NCBs by December 28, 2012 (to align with award of SI contract). 	10/15/2012: In progress. SOS requested that DGS assign Procurement Division analyst Rhonda Smith to EMS remediation services NCBs. Draft of NCBs for EMS remediation services under development. By securing DGS approval for the NCBs at approximately the same time the SI contract is signed, the VoteCal project will be able to establish an essential core agreement for EMS remediation services in the near-term that mitigates the risk of moving forward with the SI contract without having the NCBs established with the individual EMS vendors

Item #	Name	Description	Owner	Severity	Response Plan	Status Update
					<p>2. Communicate to control agencies the importance of SOS establishing NCB contractual agreements for EMS remediation services and explain why it would represent excessive risk to the state if SOS executed the contract with the SI contractor without having some assurance that these NCBs would be approved. If SOS executed the contract with the SI contractor but the EMS vendors were not available to participate in establishing the VoteCal data integration and exchange specifications with the SI contractor or to apply those specifications to remediate their respective systems, not only would the VoteCal project incur significant extensions to its implementation timeline but SOS could incur contractual penalties.</p>	<p>9/28/2012: Completed. Project director (PD) coordinated with California Technology Agency oversight manager (Glenn Stephens) and DGS Procurement Division analyst (Rhonda Smith) to explain how EMS remediation fits within the total VoteCal solution and describe the risks associated with SOS executing the SI contract if control agency approval of the EMS remediation NCBs is delayed. PD solicited and was assured of DGS and California Technology Agency support in prioritizing and expediting these NCBs.</p>
					<p>3. Plan in advance for collaboration with control agencies regarding all items which require their participation and/or review.</p>	<p>8/31/2012: Completed. Advance collaboration has been put in place for RFP Addenda (as of January 2013). SOS has initiated advance planning and scheduling with DOF and the Technology Agency for SPR#4.</p>

Item #	Name	Description	Owner	Severity	Response Plan	Status Update
					4. Continue to resolve procurement issues at the staff level where possible.	8/31/2012: Completed. Implemented successfully in January 2012 and ongoing.
					5. Schedule "Just in case" meetings between DGS and SOS in advance of review periods so that participants have time blocked out for resolving any pending items.	8/31/2012: Completed. Implemented in January 2012, successfully, and ongoing.
					6. Expedite the completion of the VoteCal SPR by ensuring that the request for information (RFI) on BRDR vendor services is completed in time to include related cost information into the VoteCal SPR.	8/31/2012: Completed in August 2012.
152	Conflicting priorities of Interface partners.	If interface owners priorities or mandates conflict with VoteCal needs then the project may not be able to reach agreements with interface partners and subsequently may not be able to build the interfaces VoteCal requires on schedule.	Jensen	Medium	1. Establish a communication structure such that we keep our interface partners updated and they keep us updated regarding anything that could impact VoteCal.	8/31/2012: In progress: Have established monthly communication with CDCR staff (regarding SOMS implementation). To be completed for all interfaces during project phase I - Planning

Item #	Name	Description	Owner	Severity	Response Plan	Status Update
					2. Establish relationships and set expectations with interface partners regarding their involvement and timelines associated with their required involvement.	8/31/2012: In progress: Have worked with interface partners to consolidated current and updated contact information. The Updated contact information has been shared with the VoteCal PMO and Core teams. Expectation to be set with interface partners during project phase I – Planning.
					3. Identify funding sources, where required, for interface partner support.	8/31/2012: Contracts with all interface partners are in place for the current legacy Cal voter system. According to current volume assumptions no additional funds will be needed. Team will re-assess the assumptions during the planning phase.
					4. Provide the SI contractor, following contract award, with points of contacts and introductions with all interface partners.	8/31/2012: To be completed during project phase I - Planning
					5. Schedule VoteCal interface partner kickoff meetings as needed to define frequency/mode of data transfer required, scope of data transfer, and VoteCal's preliminary schedule. Leverage any previous SOS-Interface meetings.	8/31/2012: To be initiated during project phase I - Planning and II - Design

6.0 ECONOMIC ANALYSIS WORKSHEETS

The economic worksheets (EAW) referenced in this SPR are included as attachments to this SPR. Each attachment is briefly described below

6.1 Attachment 1: Economic Analysis Worksheet, Approved VoteCal FSR

This attachment includes the Economic Analysis Worksheet for the proposed alternative that was included in the VoteCal FSR approved April 2006.

6.2 Attachment 2: Economic Analysis Worksheet, Last Approved (SPR # 3)

This attachment includes the Economic Analysis Worksheet for the proposed alternative that was included in the last approved VoteCal SPR, which was approved August 2010.

6.3 Attachment 3: Economic Analysis Worksheet, Current Proposed (SPR #4)

This attachment includes the Economic Analysis Worksheet and supporting detail sheets for the proposed alternative that supports the current SPR #4.

ECONOMIC ANALYSIS WORKSHEET – APPROVED FSR

PROPOSED ALTERNATIVE Hybrid Voter Registration System

Date Prepared: 03/20/06

Department: Secretary of State
Project: VoteCal

All Costs Should be shown in whole (unrounded) dollars.

	Procurement		Procurement & Impl.		Implementation		Implementation		M & O		TOTAL	
	FY 2006/07		FY 2007/08		FY 2008/09		FY 2009/10		FY 2010/11		TOTAL	
	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts
One-Time IT Project Costs												
Staff (Salaries & Benefits)	2.5	248,975	14.3	879,492	17.5	1,045,271	8.8	522,635	0.0	0	43.0	2,696,373
Hardware Purchase	0	0		1,479,537		1,972,716		986,358		0		4,438,610
Software Purchase/License	0	0		538,013		717,351		358,676		0		1,614,040
Telecommunications	0	0		0		0		0		0		0
Contract Services												
Software Customization		0		700,000		28,714,997		5,369,313		0		34,784,310
Project Management		306,000		306,000		306,000		153,000		0		1,071,000
Project Oversight		206,250		225,000		225,000		112,500		0		768,750
IV&V Services		912,950		995,945		995,945		497,973		0		3,402,813
Other Contract Services		716,848		1,005,504		1,080,000		778,500		0		3,580,852
TOTAL Contract Services		2,142,048		3,232,449		31,321,942		6,911,286		0		43,607,725
Data Center Services		0		547,013		729,351		364,676		0		1,641,040
Agency Facilities - Location for Project Team		0		196,425		261,900		130,950		0		589,275
Other - Training and Travel		0		42,330		86,330		82,430		0		211,090
Total One-time IT Costs	2.5	2,391,022	14.3	6,915,259	17.5	36,134,861	8.8	9,357,010	0.0	0	43.0	54,798,153
Continuing IT Project Costs												
Staff (Salaries & Benefits)	0.0	0	0.0	0	0.0	0	9.7	613,432	19.4	1,226,863	29.1	1,840,295
Hardware Lease/Maintenance		0		0		0		488,600		977,200		1,465,800
Software Maintenance/Licenses		0		0		0		209,400		418,800		628,200
Telecommunications		0		0		0		488,600		977,200		1,465,800
Contract Services		0		0		0		1,465,039		2,930,077		4,395,116
Data Center Services		0		0		0		843,600		1,687,200		2,530,800
Agency Facilities		0		0		0		85,050		170,100		255,150
Other - Training		0		0		0		30,750		61,500		92,250
Other - External Agency Interface Maintenance		0		0		0		569,138		1,138,275		1,707,413
Total Continuing IT Costs	0.0	0	0.0	0	0.0	0	9.7	4,793,608	19.4	9,587,215	29.1	14,380,823
Total Project Costs	2.5	2,391,022	14.3	6,915,259	17.5	36,134,861	18.5	14,150,618	19.4	9,587,215	72.1	69,178,975
Continuing Existing Costs												
Information Technology Staff	1.6	136,937	1.6	136,937	1.6	136,937	1.6	136,937	0.3	22,823	6.7	570,570
Other IT Costs		927,118		927,118		927,118		927,118		154,520		3,862,992
Total Continuing Existing IT Costs	1.6	1,064,055	1.6	1,064,055	1.6	1,064,055	1.6	1,064,055	0.3	177,342	6.7	4,433,562
Program Staff	29.0	2,603,000	29.0	2,603,000	29.0	2,603,000	29.0	2,603,000	29.0	2,603,000	145.0	13,015,000
Other Program Costs		9,330,000		9,330,000		9,330,000		9,330,000		9,330,000		46,650,000
Total Continuing Existing Program Costs	29.0	11,933,000	29.0	11,933,000	29.0	11,933,000	29.0	11,933,000	29.0	11,933,000	145.0	59,665,000
Total Continuing Existing Costs	30.6	12,997,055	30.6	12,997,055	30.6	12,997,055	30.6	12,997,055	29.3	12,110,342	151.7	64,098,562
TOTAL ALTERNATIVE COSTS	33.1	15,388,077	44.9	19,912,314	48.1	49,131,916	49.1	27,147,672	48.7	21,697,557	223.8	133,277,537
INCREASED REVENUES		0		0		0		0		0		0

ECONOMIC ANALYSIS WORKSHEETS – PREVIOUS SPR (# 3)

PROPOSED ALTERNATIVE: Hybrid Voter Registration System

Date Prepared: 08/02/10

Department: Secretary of State
Project: VoteCal

All Costs Should be shown in whole (unrounded) dollars.

	FY 2006/07		FY 2007/08		FY 2008/09		FY 2009/10		FY 2010/11		FY 2011/12		FY 2012/13		FY 13/14		FY 14/15		TOTAL		
	PYs	Amts	PYs	Amts																	
One-Time IT Project Costs¹																					
Staff (Salaries & Benefits) ²	0.9	67,890	2.2	223,187	2.6	351,638	6.3	710,718	9.9	1,059,264	9.9	1,059,264	13.9	1,332,568	13.9	1,332,568	0.0	0	59.6	6,137,097	
Hardware Purchase		0		0		0		18,796		0		0		0		0		0		18,796	
Software Purchase/License		0		0		0		0		0		0		0		0		0		0	
Telecommunications		0		0		0		2,525		0		0		0		0		0		2,525	
Contract Services																					
Software Customization		0		0		0		1,869,666		0		6,566,440		7,020,867		3,680,842		454,426		19,592,241	
Project Management		172,040		305,880		302,370		221,720		697,620		700,000		750,000		750,000		0		3,899,630	
Project Oversight		108,806		224,624		188,755		144,104		38,700		50,000		50,000		50,000		0		854,989	
IV&V Services		15,626		118,379		105,429		353,300		120,000		200,000		200,000		100,000		0		1,212,734	
Other Contract Services		0		196,580		293,097		505,530		1,562,096		2,084,998		2,892,500		1,417,500		0		8,952,301	
TOTAL Contract Services		296,472		845,463		889,651		3,094,320		2,418,416		9,601,438		10,913,367		5,998,342		454,426		34,511,895	
Data Center Services		0		0		0		0		0		0		0		0		0		0	
Agency Facilities		0		0		0		0		0		0		0		0		0		0	
Other		\$0		\$0		\$4,400		\$127,048		\$133,700		\$253,660		\$1,105,229		\$2,894,288		\$0		4,518,325	
Total One-time IT Costs	0.9	364,362	2.2	1,068,650	2.6	1,245,689	6.3	3,953,407	9.9	3,611,380	9.9	10,914,362	13.9	13,351,164	13.9	10,225,198	0.0	454,426	59.6	45,188,638	
Continuing IT Project Costs																					
Staff (Salaries & Benefits)	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0	0	12.0	1,015,156	12.0	1,015,156	
Hardware Lease/Maintenance		0		0		0		0		0		0		0		0		0		0	
Software Maintenance/Licenses		0		0		0		708		808		808		808		808		465,028		468,968	
Telecommunications		0		0		0		0		0		0		143,653		574,610		574,610		1,292,873	
Contract Services		0		0		0		0		0		0		26,384		26,384		146,384		199,152	
Data Center Services		0		0		0		0		0		0		0		0		0		0	
Agency Facilities		0		0		0		0		0		0		0		0		0		0	
OE&E		0		0		0		0		0		0		0		0		0		0	
ICRP & SWCAP		0		0		0		483,288		720,300		720,300		906,146		906,146		690,306		4,426,486	
Other - Training		0		0		0		0		0		0		0		0		0		0	
Other - External Interface		0		0		0		0		0		0		0		0		0		0	
Maintenance		0		0		0		0		238,500		0		0		238,500		238,500		715,500	
Total Continuing IT Costs	0.0	0	0.0	0	0.0	0	0.0	483,996	0.0	959,608	0.0	721,108	0.0	1,076,991	0.0	1,746,448	12.0	3,290,984	12.0	8,279,135	
Total Project Costs	0.9	364,362	2.2	1,068,650	2.6	1,245,689	6.3	4,437,403	9.9	4,570,988	9.9	11,635,470	13.9	14,428,155	13.9	11,971,646	12.0	3,745,410	71.6	53,467,773	
Continuing Existing Costs																					
Information Technology Staff	1.6	136,937	1.6	136,937	1.6	136,937	1.6	136,937	1.6	136,937	1.6	136,937	1.6	136,937	1.6	136,937	1.6	136,937	14.4	1,232,433	
Other IT Costs		927,118		927,118		927,118		927,118		927,118		927,118		927,118		927,118		927,118		8,344,062	
Total Continuing Existing IT Costs	1.6	1,064,055	14.4	9,576,495																	
Program Staff	29.0	2,603,000	29.0	2,603,000	29.0	2,603,000	29.0	2,603,000	29.0	2,603,000	29.0	2,603,000	29.0	2,603,000	29.0	2,603,000	29.0	2,603,000	261.0	23,427,000	
Other Program Costs		9,330,000		9,330,000		9,330,000		9,330,000		9,330,000		9,330,000		9,330,000		9,330,000		9,330,000		83,970,000	
Total Continuing Existing Program Costs	29.0	11,933,000	261.0	107,397,000																	
Total Continuing Existing Costs	30.6	12,997,055	275.4	116,973,495																	
TOTAL ALTERNATIVE COSTS	31.5	13,361,417	32.8	14,065,705	33.2	14,242,744	36.9	17,434,458	40.5	17,568,043	40.5	24,632,525	44.5	27,425,210	44.5	24,968,701	42.6	16,742,465	347.0	170,441,268	
INCREASED REVENUES		0		0		0		0		0		0		0		0		0		0	

Attachment 2

VoteCal Project SPR# 4, October 19, 2012
From SPR #3 EAWs

Item	FY 06/07	FY 07/08	FY 08/09	FY 09/10	FY 10/11	FY 11/12	FY 12/13	FY 13/14	FY 14/15	Total
ONE-TIME IT PROJECT COSTS	\$296,472	\$845,463	\$894,051	\$3,242,689	\$2,552,116	\$9,855,098	\$12,018,596	\$8,892,630	\$454,426	\$39,051,541
Hardware Purchase	\$0	\$0	\$0	\$18,796	\$0	\$0	\$0	\$0	\$0	\$18,796
Developer workstations ¹				\$18,796						\$18,796
Software Purchase/License	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Telecommunications	\$0	\$0	\$0	\$2,525	\$0	\$0	\$0	\$0	\$0	\$2,525
Contract Services	\$0	\$0	\$0	\$1,869,666	\$0	\$6,566,440	\$7,020,867	\$3,680,842	\$454,426	\$19,592,241
Software Customization	\$0	\$0	\$0	\$1,869,666	\$0	\$6,566,440	\$7,020,867	\$3,680,842	\$454,426	\$19,592,241
SI Vendor				\$1,869,666	\$0	\$6,566,440	\$7,020,867	\$3,680,842	\$454,426	\$19,592,241
Project Management	\$172,040	\$305,880	\$302,370	\$221,720	\$697,620	\$700,000	\$750,000	\$750,000	\$0	\$3,899,630
Project Oversight	\$108,806	\$224,624	\$188,755	\$144,104	\$38,700	\$50,000	\$50,000	\$50,000	\$0	\$854,989
IV&V	\$15,626	\$118,379	\$105,429	\$353,300	\$120,000	\$200,000	\$200,000	\$100,000	\$0	\$1,212,734
Other Contract Services	\$0	\$196,580	\$293,097	\$505,530	\$1,562,096	\$2,084,998	\$2,892,500	\$1,417,500	\$0	\$8,952,301
EMS Remediation and County Migration	\$0	\$0	\$0	\$38,041	\$768,321	\$1,693,638	\$2,592,500	\$1,207,500	\$0	\$6,300,000
Procurement Support	\$0	\$16,200	\$121,635	\$159,165	\$0	\$0	\$0	\$0	\$0	\$297,000
DGS	\$0	\$93,442	\$68,680	\$12,000	\$150,000	\$12,000	\$5,000	\$5,000	\$0	\$346,122
Project Assistant	\$0	\$86,938	\$102,782	\$100,824	\$108,360	\$108,360	\$100,000	\$100,000	\$0	\$707,264
QA Manager	\$0	\$0	\$0	\$75,460	\$312,000	\$156,000	\$50,000	\$50,000	\$0	\$643,460
Technical Architect	\$0	\$0	\$0	\$120,040	\$208,415	\$100,000	\$100,000	\$50,000	\$0	\$578,455
Independent Security Audit	\$0	\$0	\$0	\$0	\$0	\$0	\$40,000	\$0	\$0	\$40,000
Legal Services ²	\$0	\$0	\$0	\$0	\$15,000	\$15,000	\$5,000	\$5,000	\$0	\$40,000
Agency Facilities	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Other	\$0	\$0	\$4,400	\$127,048	\$133,700	\$253,660	\$1,105,229	\$2,894,288	\$0	\$4,518,325
County Participation - JAD sessions				\$91,048		\$124,960			\$0	\$216,008
County Participation - VoteCal and EMS data conv. & Imp							\$674,730	\$2,024,190	\$0	\$2,698,920
County Participation - VoteCal and EMS training							\$226,007	\$678,021	\$0	\$904,028
SOS - County Training							\$3,792	\$11,377	\$0	\$15,169
OE&E ³		\$0	\$4,400	\$36,000	\$133,700	\$128,700	\$200,700	\$180,700	\$0	\$684,200
CONTINUING IT PROJECT COSTS	\$0	\$0	\$0	\$483,996	\$959,608	\$721,108	\$1,076,991	\$1,746,448	\$2,275,828	\$7,263,979
Hardware Lease/Maintenance ⁴	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Software Maintenance/Licenses	\$0	\$0	\$0	\$708	\$808	\$808	\$808	\$808	\$465,028	\$468,968
VoteCal Application									\$454,425	\$454,425
CASS-Certified Address Correction Software ⁵									\$9,795	\$9,795
WebEx Meeting Center and Support Center ⁶				\$708	\$808	\$808	\$808	\$808	\$808	\$4,748
Telecommunications	\$0	\$0	\$0	\$0	\$0	\$0	\$143,653	\$574,610	\$574,610	\$1,292,873
Contract Services	\$0	\$0	\$0	\$0	\$0	\$0	\$26,384	\$26,384	\$146,384	\$199,152
Web-page language translation							\$26,384	\$26,384	\$26,384	\$79,152
Cold Backup ⁷									\$120,000	\$120,000
Data Center Services	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
DTS Data Center Floor Costs COEMS ⁸							\$0	\$0	\$0	\$0
Agency Facilities	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
SOS Costs - County Training	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Other - Indirect Cost Rate Proposal (ICRP) ⁹	\$0	\$0	\$0	\$440,645	\$656,744	\$656,744	\$826,192	\$826,192	\$629,397	\$4,035,914
Other - Statewide Cost Allocation Plan (SWCAP) ¹⁰	\$0	\$0	\$0	\$42,643	\$63,556	\$63,556	\$79,954	\$79,954	\$60,909	\$390,572
Other - OE&E	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$161,000	\$161,000
Other - External Agency Interface Maintenance	\$0	\$0	\$0	\$0	\$238,500	\$0	\$0	\$238,500	\$238,500	\$715,500

- 1 - Six developer workstations. One-time purchase for SI vendor developers.
- 2 - May need expert legal advice throughout SI contract period.
- 3 - OE&E calculations in worksheet "Alt P - staff detail"
- 4 - First year hardware maintenance cost from system integrator proposal is lumped with VoteCal application cost for first year.
- 5 - Assumes unlimited hits and LAN server license for AccuMail Gold
- 6 - Based on 1 license for WebEx Meeting Center and Support Center
- 7 - Cold back up services for application and data to reduce costs.
- 8 - No longer going to require secondary site.
- 9 - Travel previously included as separate line item will be paid for by OE&E
- 10 - ICRP costs based on SOS formula
- 11 - SWCAP costs based on Department of Finance formula. These payments end when federal funds end.

ECONOMIC ANALYSIS WORKSHEETS – CURRENT PROPOSED (SPR #4)

EXISTING SYSTEM/BASELINE COST WORKSHEET
 All costs to be shown in whole (unrounded) dollars.

Date Prepared: 10/18/2012

	FY 2006/07		FY 2007/08		FY 2008/09		FY 2009/10		FY 2010/11		FY 2011/12		FY 2012/13		FY 2013/14		FY 2014/15		FY 2015/16		FY 2016/17		TOTAL					
	PYs	Amts																										
Continuing Information Technology Costs																												
Staff (salaries & benefits)	1.6	136,937	1.6	136,937	1.6	136,937	1.6	136,937	1.6	136,937	1.6	136,937	1.6	136,937	1.6	136,937	1.6	136,937	1.6	136,937	1.6	136,937	1.6	136,937	17.6	1,506,305		
Hardware Lease/Maintenance		161,157		161,157		161,157		161,157		161,157		161,157		161,157		161,157		161,157		161,157		161,157		161,157		1,772,727		
Software Maintenance/Licenses		250,459		250,459		250,459		250,459		250,459		250,459		250,459		250,459		250,459		250,459		250,459		250,459		2,755,049		
Contract Services		32,391		32,391		32,391		32,391		32,391		32,391		32,391		32,391		32,391		32,391		32,391		32,391		356,301		
Data Center Services		466,000		466,000		466,000		466,000		466,000		466,000		466,000		466,000		466,000		466,000		466,000		466,000		5,126,000		
Agency Facilities		0		0		0		0		0		0		0		0		0		0		0		0		0		
Other - Fixed Costs		17,111		17,111		17,111		17,111		17,111		17,111		17,111		17,111		17,111		17,111		17,111		17,111		188,221		
Total IT Costs	1.6	1,064,055	17.6	11,704,603																								
Continuing Program Costs:																												
Personal Services	29.0	2,603,000	29.0	2,603,000	29.0	2,603,000	29.0	2,603,000	29.0	2,603,000	29.0	2,603,000	29.0	2,603,000	29.0	2,603,000	29.0	2,603,000	29.0	2,603,000	29.0	2,603,000	29.0	2,603,000	29.0	2,603,000	319.0	28,633,000
Other - OE&E		371,000		371,000		371,000		371,000		371,000		371,000		371,000		371,000		371,000		371,000		371,000		371,000		371,000		4,081,000
Other - SIE		8,959,000		8,959,000		8,959,000		8,959,000		8,959,000		8,959,000		8,959,000		8,959,000		8,959,000		8,959,000		8,959,000		8,959,000		8,959,000		98,549,000
Total Program Costs	29.0	11,933,000	319.0	131,263,000																								
TOTAL EXISTING SYSTEM COST	30.6	12,997,055	336.6	142,967,603																								

Assumptions:
 Baseline Costs only include those related to Calvoter, not to the County Voter Registration/Election Management Systems
 Staffing and associated salaries are assumed to remain constant.
 Continuing Information Technology Costs are assumed to remain constant until VoteCal deployment.

Department: Secretary of State
Project: VoteCal

All Costs Should be shown in whole (unrounded) dollars.

	FY 2006/07		FY 2007/08		FY 2008/09		FY 2009/10		FY 2010/11		FY 2011/12		FY 2012/13		FY 13/14		FY 14/15		FY 15/16		FY 16/17		TOTAL			
	PYs	Amts	PYs	Amts																						
One-Time IT Project Costs¹																										
Staff (Salaries & Benefits) ²	0.9	67,890	2.2	223,187	2.6	351,638	6.3	702,640	3.6	400,484	3.4	380,109	9.5	1,064,710	10.0	1,109,017	10.0	1,109,017	10.0	1,109,017	0.0	0	0	0	58.5	6,517,710
Hardware Purchase		0		0		0		18,796		0		0		39,293		0		0		0		0		0		58,089
Software Purchase/License		0		0		0		708		708		708		808		808		808		808		808		808		5,356
Telecommunications		0		0		0		240,053		0		0		32,590		102,252		220,872		566,010		0		0		1,161,777
Contract Services																										
Software Customization		0		0		0		1,869,666		0		0		0		13,511,748		7,402,673		17,837,508		0		0		40,621,595
Project Management		172,040		178,430		302,370		229,412		672,866		798,210		1,165,000		1,165,000		1,165,000		1,165,000		0		0		7,013,328
Project Oversight		108,806		131,031		188,755		141,554		21,750		30,675		100,000		100,000		100,000		100,000		0		0		1,022,571
IV&V Services		15,626		69,054		105,429		353,300		86,608		236,910		291,409		582,816		582,816		582,816		0		0		2,906,784
Other Contract Services		0		50,714		102,782		246,682		340,174		105,770		784,597		4,820,123		1,647,907		4,396,907		0		0		12,495,656
TOTAL Contract Services		296,472		429,229		699,336		2,840,614		1,121,398		1,171,565		2,341,006		20,179,687		10,898,396		24,082,231		0		0		64,059,934
Data Center Services		0		0		0		0		0		0		0		0		0		0		0		0		0
Agency Facilities		0		0		0		0		0		0		0		0		0		0		0		0		0
Other ³		0		0		0		0		0		0		0		0		0		0		0		0		0
Total One-time IT Costs	0.9	364,362	2.2	777,878	2.6	1,283,219	6.3	4,439,857	3.6	2,064,883	3.4	2,042,909	9.5	4,448,750	10.0	22,427,932	10.0	13,717,941	10.0	30,214,511	0.0	0	0.0	0	58.5	81,782,241
Continuing IT Project Costs																										
Staff (Salaries & Benefits)	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	10.0	1,109,017	10.0	1,109,017	10.0	1,109,017
Hardware Lease/Maintenance		0		0		0		0		0		0		0		0		0		0		549,933		549,933		549,933
Software Maintenance/Licenses		0		0		0		0		0		0		0		0		0		0		1,246,739		1,246,739		1,246,739
Telecommunications		0		0		0		0		0		0		0		0		0		0		690,804		690,804		690,804
Contract Services		0		0		0		0		0		0		0		0		0		0		307,047		307,047		307,047
Data Center Services		0		0		0		0		0		0		0		0		0		0		0		0		0
Agency Facilities		0		0		0		0		0		0		0		0		0		0		0		0		0
Other ³		0		0		0		0		0		0		0		0		0		0		1,260,589		1,260,589		1,260,589
Total Continuing IT Costs	0.0	0	10.0	5,164,129	10.0	5,164,129	10.0	5,164,129																		
Total Project Costs	0.9	364,362	2.2	777,878	2.6	1,283,219	6.3	4,439,857	3.6	2,064,883	3.4	2,042,909	9.5	4,448,750	10.0	22,427,932	10.0	13,717,941	10.0	30,214,511	10.0	5,164,129	10.0	5,164,129	68.5	86,946,371
Continuing Existing Costs																										
Information Technology Staff	1.6	136,937	1.6	136,937	1.6	136,937	1.6	136,937	1.6	136,937	1.6	136,937	1.6	136,937	1.6	136,937	1.6	136,937	1.6	136,937	1.6	136,937	1.6	136,937	1.6	136,937
Other IT Costs		927,118		927,118		927,118		927,118		927,118		927,118		927,118		927,118		927,118		927,118		927,118		927,118		927,118
Total Continuing Existing IT Costs	1.6	1,064,055	1.6	1,064,055	1.6	1,064,055																				
Program Staff	29.0	2,603,000	29.0	2,603,000	29.0	2,603,000																				
Other Program Costs		9,330,000		9,330,000		9,330,000																				
Total Continuing Existing Program Costs	29.0	11,933,000	29.0	11,933,000	29.0	11,933,000																				
Total Continuing Existing Costs	30.6	12,997,055	30.6	12,997,055	30.6	12,997,055																				
TOTAL ALTERNATIVE COSTS	31.5	13,361,417	32.8	13,774,932	33.2	14,280,274	36.9	17,436,912	34.2	15,061,938	34.0	15,039,964	40.1	17,445,805	40.6	35,424,986	40.6	26,714,996	40.6	43,211,566	40.6	18,161,184	405.1	216,552,557	405.1	216,552,557
INCREASED REVENUES		0		0		0		0		0		0		0		0		0		0		0		0		0

1 - See Alt P - cost detail worksheet
 2 - See Alt P - staff detail worksheet
 3 - Includes external interface maintenance contracts, ICRP, SWCAP, and OE&E costs
 Note: FY 2006/07 through 20011/12 show actual expenses for these FYs

ALTERNATIVE #1: NA

Department: Secretary of State
Project: VoteCal

All Costs Should be shown in whole (unrounded) dollars.

	FY 2007/08		FY 2008/09		FY 2009/10		FY 2010/11		FY 2011/12		FY 2012/13		FY 2013/14		FY 2014/15		FY 2016/17		FY 2017/18		TOTAL			
	PYs	Amts	PYs	Amts																				
One-Time IT Project Costs																						0.0	0	
Staff (Salaries & Benefits)																							0	
Hardware Purchase																							0	
Software Purchase/License																							0	
Telecommunications																							0	
Contract Services																							0	
Software Customization																							0	
Project Management																							0	
Project Oversight																							0	
IV&V Services																							0	
Other Contract Services																							0	
TOTAL Contract Services																							0	
TOTAL Contract Services																							0	
Data Center Services																							0	
Agency Facilities																							0	
Other - Training and Advisory Committee Travel Costs																							0	
Total One-time IT Costs	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0	
Continuing IT Project Costs																							0.0	0
Staff (Salaries & Benefits)																							0	
Hardware Lease/Maintenance																							0	
Software Maintenance/Licenses																							0	
Telecommunications																							0	
Contract Services																							0	
Data Center Services																							0	
Agency Facilities																							0	
Other - Training																							0	
Other - External Agency Interface Maintenance																							0	
Total Continuing IT Costs	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0	
Total Project Costs	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0	
Continuing Existing Costs																							0.0	0
Information Technology Staff																							0	
Other IT Costs																							0	
Total Continuing Existing IT Costs	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0	
Program Staff																							0.0	0
Other Program Costs																							0	
Total Continuing Existing Program Costs	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0	
Total Continuing Existing Costs	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0	
TOTAL ALTERNATIVE COSTS	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0	
INCREASED REVENUES		0		0		0		0		1		0		0		0		0		0		0	0	

ECONOMIC ANALYSIS SUMMARY

All costs to be shown in whole (unrounded) dollars.

Date Prepared: 10/18/2012

	FY 2007/08		FY 2007/08		FY 2008/09		FY 2009/10		FY 2010/11		FY 2011/12		FY 2012/13		FY 2013/14		FY 2014/15		FY 2015/16		FY 2016/17		TOTAL		
	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts	
EXISTING SYSTEM																									
Total IT Costs	1.6	1,064,055	1.6	1,064,055	1.6	1,064,055	1.6	1,064,055	1.6	1,064,055	1.6	1,064,055	1.6	1,064,055	1.6	1,064,055	1.6	1,064,055	1.6	1,064,055	1.6	1,064,055	17.6	11,704,603	
Total Program Costs	29.0	11,933,000	29.0	11,933,000	29.0	11,933,000	29.0	11,933,000	29.0	11,933,000	29.0	11,933,000	29.0	11,933,000	29.0	11,933,000	29.0	11,933,000	29.0	11,933,000	29.0	11,933,000	319.0	131,263,000	
Total Existing System Costs	30.6	12,997,055	30.6	12,997,055	30.6	12,997,055	30.6	12,997,055	30.6	12,997,055	30.6	12,997,055	30.6	12,997,055	30.6	12,997,055	30.6	12,997,055	30.6	12,997,055	30.6	12,997,055	336.6	142,967,603	
PROPOSED ALTERNATIVE																									
Total Project Costs	0.9	364,362	2.2	777,878	2.6	1,283,219	6.3	4,439,857	3.6	2,064,883	3.4	2,042,909	9.5	4,448,750	10.0	22,427,932	10.0	13,717,941	10.0	30,214,511	10.0	5,164,129	68.5	86,946,371	
Total Cont. Exist. Costs	30.6	12,997,055	30.6	12,997,055	30.6	12,997,055	30.6	12,997,055	30.6	12,997,055	30.6	12,997,055	30.6	12,997,055	30.6	12,997,055	30.6	12,997,055	30.6	12,997,055	30.6	12,997,055	336.6	129,970,548	
Total Alternative Costs	31.5	13,361,417	32.8	13,774,932	33.2	14,280,274	36.9	17,436,912	34.2	15,061,938	34.0	15,039,964	40.1	17,445,805	40.6	35,424,986	40.6	26,714,996	40.6	43,211,566	40.6	18,161,184	405.1	216,916,919	
COST SAVINGS/AVOIDANCES	(0.9)	(364,362)	(2.2)	(777,878)	(2.6)	(1,283,219)	(6.3)	(4,439,857)	(3.6)	(2,064,883)	(3.4)	(2,042,909)	(9.5)	(4,448,750)	(10.0)	(22,427,932)	(10.0)	(13,717,941)	(10.0)	(30,214,511)	(10.0)	(5,164,129)	(68.5)	(73,949,316)	
Increased Revenues	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	
Net (Cost) or Benefit	(0.9)	(364,362)	(2.2)	(777,878)	(2.6)	(1,283,219)	(6.3)	(4,439,857)	(3.6)	(2,064,883)	(3.4)	(2,042,909)	(9.5)	(4,448,750)	(10.0)	(22,427,932)	(10.0)	(13,717,941)	(10.0)	(30,214,511)	(10.0)	(5,164,129)	(68.5)	(73,949,316)	
Cum. Net (Cost) or Benefit	(0.9)	(364,362)	(2.2)	(1,142,240)	(4.8)	(2,425,459)	(11.1)	(6,865,315)	(14.6)	(8,930,199)	(18.1)	(10,973,108)	(27.6)	(15,421,857)	(37.6)	(37,849,789)	(47.6)	(51,567,730)	(57.6)	(81,782,241)	(67.6)	(86,946,371)			
ALTERNATIVE #1																									
Total Project Costs	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	
Total Cont. Exist. Costs	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	
Total Alternative Costs	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	
COST SAVINGS/AVOIDANCES	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	
Increased Revenues	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	
Net (Cost) or Benefit	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	
Cum. Net (Cost) or Benefit	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	

PROJECT FUNDING PLAN

All Costs to be in whole (unrounded) dollars

Date Prepared: 10/18/2012

	FY 2006/07		FY 2007/08		FY 2008/09		FY 2009/10		FY 2010/11		FY 2011/12		FY 2012/13		FY 2013/14		FY 2014/15		FY 2015/16		FY 2016/17		TOTALS	
	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts
TOTAL PROJECT COSTS	0.9	364,362	2.2	777,878	2.6	1,283,219	6.3	4,439,857	3.6	2,064,883	3.4	2,042,909	9.5	4,448,750	10.0	22,427,932	10.0	13,717,941	10.0	30,214,511	10.0	5,164,129	68.5	86,946,371
RESOURCES TO BE REDIRECTED																								
Staff (Refer to Note 1)	0.9	67,890	1.2	122,977	1.3	188,012	2.9	360,581	2.3	255,235	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	8.0	854,807	16.6	1,849,502
Funds:																								
Existing System		0		0		0		0		0		0		0		0		0		0		0		0
Other Fund Sources		0		0		0		0		0		0		0		0		0		0		0		0
TOTAL REDIRECTED RESOURCES	0.9	67,890	1.2	122,977	1.3	188,012	2.9	360,581	2.3	255,235	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	8.0	854,807	16.6	1,849,502
ADDITIONAL PROJECT FUNDING NEEDED																								
One-Time Project Costs	0.0	296,472	1.0	654,901	1.3	1,095,207	3.4	4,079,276	1.3	1,809,648	3.4	2,042,909	9.5	4,448,750	10.0	22,427,932	10.0	13,717,941	10.0	30,214,511	0.0	0	49.9	80,787,546
Continuing Project Costs	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	2.0	4,309,322	2.0	4,309,322
TOTAL ADDITIONAL PROJECT FUNDS NEEDED BY FISCAL YEAR (Refer to Note 2)	0.0	296,472	1.0	654,901	1.3	1,095,207	3.4	4,079,276	1.3	1,809,648	3.4	2,042,909	9.5	4,448,750	10.0	22,427,932	10.0	13,717,941	10.0	30,214,511	2.0	4,309,322	51.9	85,096,869
TOTAL PROJECT FUNDING	0.9	364,362	2.2	777,878	2.6	1,283,219	6.3	4,439,857	3.6	2,064,883	3.4	2,042,909	9.5	4,448,750	10.0	22,427,932	10.0	13,717,941	10.0	30,214,511	10.0	5,164,129	68.5	86,946,371
Difference: Funding - Costs	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0
Total Estimated Cost Savings	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0
FUNDING SOURCE*																								
General Fund	0%	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%	0
Federal Fund	100%	\$364,362	100%	\$777,878	100%	\$1,283,219	100%	\$4,439,857	100%	\$2,064,883	100%	\$2,042,909	100%	\$4,448,750	100%	\$22,427,932	100%	\$13,717,941	100%	\$30,214,511	100%	\$5,164,129	100%	\$86,946,371
Special Fund	0%	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%	0
Reimbursement	0%	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%	0
TOTAL FUNDING	100%	\$364,362	100%	\$777,878	100%	\$1,283,219	100%	\$4,439,857	100%	\$2,064,883	100%	\$2,042,909	100%	\$4,448,750	100%	\$22,427,932	100%	\$13,717,941	100%	\$30,214,511	100%	\$5,164,129	100%	\$86,946,371

*Funding Source: source of funds is Federal Trust Fund established under the 2002 HAVA Act. Includes local assistance funding for county reimbursements.

Note 1: Although the Staff is being redirected, Federal dollars will be used to fund these staff costs.

Note 2: This line calculates the amount of Federal Funds required less the costs associated with redirected staff.

The total amount of Federal Funds required will exactly match the "Total Project Funding" line.

**ADJUSTMENTS, SAVINGS AND REVENUES WORKSHEET
(DOF Use Only)**

Annual Project Adjustments	FY 2006/07		FY 2007/08		FY 2008/09		FY 2009/10		FY 2010/11		FY 2011/12		FY 2012/13		FY 2013/14		FY 2014/15		FY 2015/16		FY 2016/17		Net Adjustments	
	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts
One-time Costs																								
Previous Year's Baseline	0.0	0	0.0	0	1.0	358,429	1.3	798,735	3.4	3,782,804	1.3	1,513,176	3.4	1,746,437	9.5	4,152,278	10.0	22,131,460	10.0	13,421,469	10.0	29,918,039		
(A) Annual Augmentation /(Reduction)	0.0	296,472	1.0	358,429	0.3	440,307	2.1	2,984,069	(2.1)	(2,269,627)	2.2	233,261	6.1	2,405,841	0.5	17,979,182	0.0	(8,709,990)	0.0	16,496,570	(10.0)	(30,214,511)		
(B) Total One-Time Budget Actions	0.0	296,472	1.0	358,429	1.3	798,735	3.4	3,782,804	1.3	1,513,176	3.4	1,746,437	9.5	4,152,278	10.0	22,131,460	10.0	13,421,469	10.0	29,918,039	0.0	(296,472)	49.9	77,822,826
Continuing Costs																								
Previous Year's Baseline	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0		
(C) Annual Augmentation /(Reduction)	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	2.0	4,309,322		
(D) Total Continuing Budget Actions	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	2.0	4,309,322	2.0	4,309,322
Total Annual Project Budget Augmentation /(Reduction) [A + C]	0.0	296,472	1.0	358,429	0.3	440,307	2.1	2,984,069	(2.1)	(2,269,627)	2.2	233,261	6.1	2,405,841	0.5	17,979,182	0.0	(8,709,990)	0.0	16,496,570	(8.0)	(25,905,189)		

[A, C] Excludes Redirected Resources

Total Additional Project Funds Needed [B + D]
Annual Savings/Revenue Adjustments

51.9	82,132,149
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Cost Savings	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0		
Increased Program Revenues		0		0		0		0		0		0		0		0		0		0		0		

ATTACHMENT 4: IT COMPLEXITY ASSESSMENT

Project Name: VoteCal
 OCIO Project #: 0890-46
 Department: Secretary of State
 Revision Date: 10/16/12

Complexity Assessment

Business Complexity

Instructions: On a scale of .5 - low to 4-high (0 = N/A), rate each applicable attribute and compute the Business Complexity by dividing the total by the number of items rated above zero. [Notes: Business and technical complexity will be computed automatically in this worksheet, using the ratings you enter. Move your pointer over each attribute cell, marked with a red triangle, to see a definition of the attribute.]

Low Complexity	Business Attribute	High Complexity	Rating
0	1	2	3
1	2	3	4
Static	Business rules	Changing	1
Static	Current Business Systems	Changing	1
Known and Followed	Decision Making Process	Not Known	0.5
Low	Financial Risk to State	High	0.5
Local	Geography	State Wide	4
Clear and Stable	High Level Requirements	Vague	1
Few & Routine	Interaction with Other Departments and Entities	Many and New	3
None	Impact to Business Process	High	3
Few & Straight Forward	Issues	Multiple & Contentious	1
High	Level of Authority	Low	2
Clear	Objectives	Vague	2
Established	Policies	Non-existent	1
Minimal	Politics	High	4
Familiar	Target Users	Unfamiliar	0.5
Experienced	Project Manager's Experience	Inexperienced	3
Experienced	Team	Inexperienced	3
Loose	Time Scale	Tight	2.5
Low	Visibility	High	3
Total:			36
Complexity:			2.0

Project Name: VoteCal
 OCIO Project #: 0890-46
 Department: Secretary of State
 Revision Date: 10/16/12

Complexity Assessment

Technical Complexity

Instructions: On a scale of 0-low to 4-high, rate each applicable attribute and compute the Technical Complexity by dividing the total by the number of items rated above zero. Use the definitions in the student notebook for clarity.

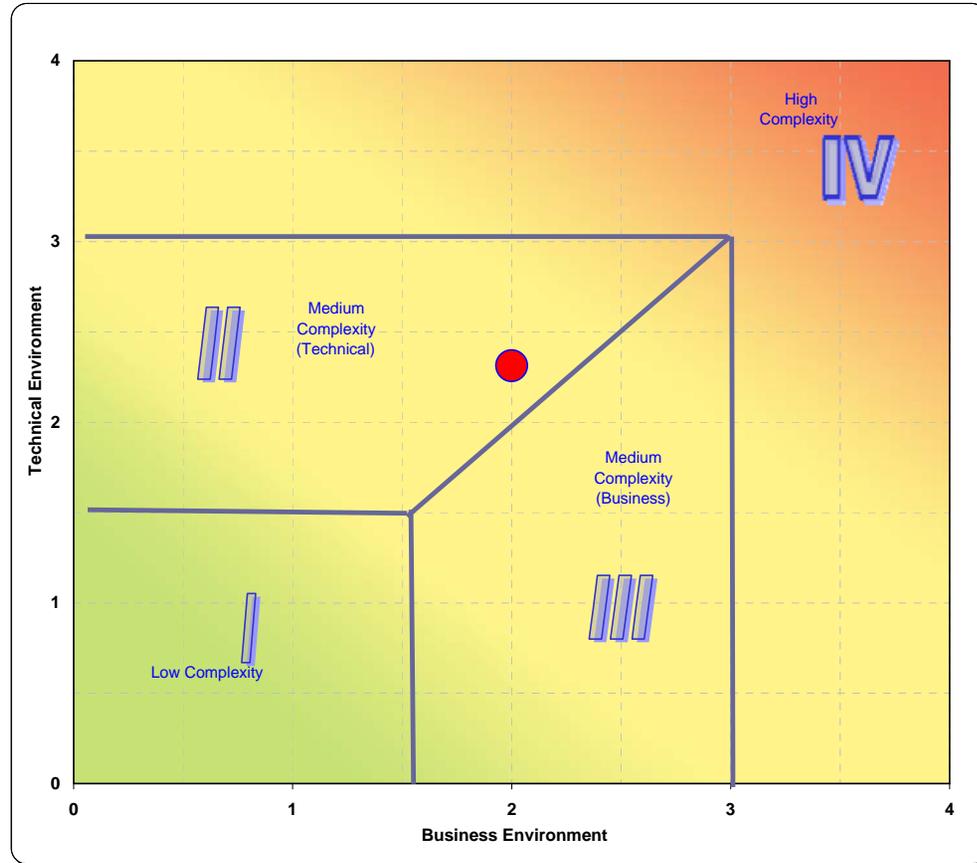
Low Complexity		Technical Attribute		High Complexity		Rating
0	1	2	3	4		
Local		Communications		State wide		4
Established		Delivery Mechanism		New		0.5
Local		Geography		State wide		4
Proven		Hardware		New		2
Stand-alone		Level Of Integration		Tightly Integrated		2
Proven/Stable		Networks (L/W)		New		2
In place		New Technology Architecture		Not in place		2
9-5, Mon-Fri		Operations		24-hour, 7-day		4
Expert		PM Technical Experience		Novice		2
Established and in use		Scope Management Process		None		1
Light		Security		Tight		4
Proven		Software		New		3
Established and In Use		Standards And Methods		None		1
Experienced		Team		Inexperienced		1
High		Tolerance To Fault		Low		2.5
Low		Transaction Volume		High		2
					Total:	37
					Complexity:	2.3

Project Name: VoteCal
 OCIO Project #: 0890-46
 Department: Secretary of State
 Revision Date: 10/16/12

Complexity Assessment

Complexity Diagram

Instructions: Plot your project in the appropriate complexity zone.
 [Note: Your project will be plotted automatically in this worksheet, using the values computed in the previous tables.]



Scores	Business Complexity	2.0
	Technical Complexity	2.3

Project Name: VoteCal
 OCIO Project #: 0890-46
 Department: Secretary of State
 Revision Date: 10/16/12

Complexity Assessment

Suggested Project Manager Skill Set Guidelines

Complexity		Duration		Budget		Resources	
<input type="checkbox"/>	Zone 1	<input type="checkbox"/>	< 6 months	<input type="checkbox"/>	<\$500K	<input type="checkbox"/>	< 5
<input checked="" type="checkbox"/>	Zone II, Medium Zone III, Medium	<input type="checkbox"/>	< 1 year	<input type="checkbox"/>	<\$1M	<input type="checkbox"/>	<10
<input type="checkbox"/>	Zone II, High Zone III, High	<input type="checkbox"/>	>1 year; < 3 years	<input type="checkbox"/>	>\$1M; <\$5M	<input type="checkbox"/>	11 – 20
<input type="checkbox"/>	Zone IV	<input checked="" type="checkbox"/>	>3 years; <10 years	<input checked="" type="checkbox"/>	>\$5M; <\$100M	<input checked="" type="checkbox"/>	21 – 40
		<input type="checkbox"/>	>10 years	<input type="checkbox"/>	>\$100M	<input type="checkbox"/>	40+

PM Level: 2

Experience: 3 – 5 years as a key team member on a medium or large IT project or as a Project Manager on small or medium IT project. Technical experience commensurate with the proposed technology.

Professional Knowledge: Strong working knowledge of the CA-PMM, department's methodology, Software Development Life Cycle. Familiar with CA Budgeting, Procurement and Contracting processes.

For Oversight Purposes:
Zone I = Low Criticality/Risk
Zones II and III = Medium Criticality/Risk
Zone IV = High Criticality/Risk

Assess the complexity of the project periodically: every two - three months and/or at the conclusion of each phase