



DEBRA BOWEN | SECRETARY OF STATE
STATE OF CALIFORNIA | MANAGEMENT SERVICES
1500 11th Street, 4th Floor | Sacramento, CA 95814 | www.sos.ca.gov

December 13, 2011

Joint Legislative Budget Committee
1020 N Street, Room 553
Sacramento, CA 95814

Dear Members of the Joint Legislative Budget Committee:

The Secretary of State (SOS) is providing copies of reports requested by the Joint Legislative Budget Committee related to the voter registration database VoteCal.

Responsive to your request, we have enclosed the following reports for the period ending November 30, 2011:

1. HAVA Statewide Database Interim Solution Status Report
2. SOS VoteCal Independent Project Oversight Report

Should you have any questions, please contact Janice Lumsden, Deputy Secretary of State, Operations at (916) 653-7244.

Sincerely,

A handwritten signature in blue ink, appearing to read 'D. Mejia'.

Dora Mejia, Chief, Management Services Division
Secretary of State

Enclosures 2

cc: Members of the Joint Legislative Budget Committee
ecc: Mr. Nick Schroeder, Legislative Analyst's Office
Ms. Erika Li, Legislative Analyst's Office
Ms. Linda Leonard, California Technology Agency
Mr. John Fitzpatrick, Department of Finance, Principal Program
Budget Analyst
Mr. Chris Reynolds, Secretary of State, Deputy Secretary of State,
HAVA Activities
Mr. Jim Boyle, Secretary of State, Special Projects Manager
Ms. Linda Arviso-Hunt, Secretary of State, Fiscal Affairs Manager

**California Secretary of State
Status Report for November 2011
HAVA Statewide Voter Registration System Solution**

Pursuant to the Memorandum of Agreement (MOA) entered into between the United States Department of Justice and the California Secretary of State on November 2, 2005, the Secretary of State (SOS) provides the following monthly project status report. Please note that this report supplements the information provided in all previous SOS Database reports.

Current Status of Statewide Database and Interim Solution:

1. The statewide voter registration database was fully operational for the November 7, 2006, General Election and continues to be used as the "interim solution" to meet the requirements of HAVA Section 303.
2. The VoteCal RFP was issued to the vendor community by the state's procurement official, the Department of General Services, on October 29, 2010. The RFP included reduction in scope that was predominantly focused on technology changes. For example, the SOS is no longer requiring a mirrored site. The performance metrics for response time was made more meaningful. Allowable unplanned downtime was increased. Maintenance downtime was increased. Bidders were requested to submit a notice of intent to bid by November 12, 2010, which provided SOS with a sense of the pool of interested bidders.
3. In the month of November 2010, the SOS responded to questions from potential bidders to clarify process and project scope.
4. In December 2010, potential bidders had the opportunity to protest requirements and contract language. No vendors officially protested but several vendors submitted questions about requirements. Answers to the questions were provided to the vendor community in December.
5. Pre-qualification packages were due from bidders January 24, 2011. The Department of General Services (DGS) received two pre-qualification packages from bidders.
6. On February 8, 2011, without consultation with the Secretary of State's office, the state procurement department (DGS) returned the pre-qualification packages indicating that there may have been cost data in the pre-qualification packages. (DGS made this determination based on reading a requirement in the published RFP that it had previously approved.) The DGS indicated it would allow all vendors to respond to the next procurement round, not just those who had previously submitted pre-qualification packages.

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7. The Secretary of State's (SOS) office requested a meeting with DGS to discuss this action. That meeting was granted and scheduled for February 24 – over 2 ½ weeks after the decision to return the packages had been made and five weeks after the packages had been submitted. The SOS wanted to know whether the Request for Proposals (RFP) could be amended to clarify the single requirement for which the packages were returned and amended bids accepted only from those who previously bid. The DGS denied this request. The SOS is working with DGS to publish the addenda with the clarified requirement and to develop a schedule for the procurement. The SOS expects this to cause a three to five month delay in the procurement. (Five weeks were consumed from the submission of the bid packages to when DGS met with SOS to explain its actions. The SOS expects to restart the procurement since DGS is requiring that it be opened to all vendors once again, which will consume 11 weeks to get to the pre-qualification package submission date, assuming the process and approximate timeframes required by DGS initially will be followed again.)
8. During the month of March 2011, SOS continued to work with DGS to understand DGS' issues with the RFP. DGS provided SOS with a list of issues representing its complete review of the RFP on March 25 – five months after the RFP was published. Unfortunately, the list was written so cryptically that SOS could not understand what DGS' issues were in many cases. SOS has requested that DGS provide SOS with a clear understanding of the issues before the two parties can meet to resolve them. Once the issues are resolved, the RFP can be amended and the procurement restarted. As of March 31, 2011 that information had not been provided by DGS.
9. During the month of March 2011, SOS Chief Deputy met with DGS' Acting Director twice to discuss the process DGS is using to review the RFP and provide its input to SOS. The process has been time consuming and DGS staff continue to bring up issues it previously brought up and that SOS had decided in a manner with which DGS did not agree. The independent project oversight consultant has identified DGS' lack of progress as a project risk. At the very least, it has delayed the project at least five months.
10. SOS continued to work with DGS in April 2011 to resolve outstanding issues to be able to publish the addenda #4. In March, DGS sent SOS a list of 111 items it wanted changed in the RFP. Previously and in the interest of issuing the addendum in a timely fashion, DGS had agreed to limit its issues to those that were material items, with material being limited to procurement issues within DGS' purview (i.e., related to potential for abuse, fraud, or malfeasance in the procurement). After SOS received DGS' list on March 25, SOS asked DGS to identify those items on the list that were material so that SOS could focus on those items. Of the 111 originally identified, only 53 were identified by DGS as material. Upon review, not one of the 53 were related to abuse, fraud, or

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malfeasance of the procurement. A number of the larger issues that SOS believes are business driven (and therefore under SOS' purview to decide) have been escalated to DGS' Director for resolution. These include:

- SOS' ownership of source code to minimize risk of being dependent on a vendor that no longer supports its proprietary application as SOS is currently. (DGS' Procurement Division Director had previously indicated it was an SOS decision, but is now prohibiting SOS from including it in the RFP so it was appealed to DGS' Director.)
- Including indemnification of the state if the vendor harms intangible property (e.g., data or other software). On April 28, 2011, DGS sent an email to SOS indicating they now support including this language in the RFP.
- Limiting to non-payment of an approved invoice as the only reason a vendor can terminate the contract with the state so that a vendor cannot end the contract if it no longer is a venture in which the vendor wants to be engaged.

11. On May 18, SOS convened a meeting with DGS and the California Technology Agency (CTA) to discuss CTA's letter to DGS recommending DGS stop the procurement and issue a Request for Information (RFI). The CTA recommended issuing an RFI to solicit input from the vendor community on issues raised by Hewlett-Packard in its March letter to DGS. After it was explained that the current procurement process would achieve the same effect, CTA agreed that the RFI was not necessary. With regard to the specific issues Hewlett-Packard raised that CTA echoed, DGS explained that it supported the letter of credit at 25% of contract value and the 20% withhold on payments to the vendors. With regard to the lengthy and shifting procurement cycle, DGS indicated that SOS is accepting language that would allow the vendors to propose different staff at final proposal from those submitted at the pre-qualification stage as long as the proposed replacements met the minimum RFP requirements. The most significant issue still unresolved was SOS' desire to be able to have a third-party vendor support the application once deployed. DGS had in the past indicated that short of ownership, which DGS did not support, no licensing language could be written to allow a third-party vendor to support the application. In the May 18th meeting, however DGS volunteered to write language to accomplish this (and other) SOS goal. On May 20th, DGS sent four versions of language from other procurements that it invited SOS to edit to meet its needs. DGS accepted SOS' edits on May 25th. Since then, SOS has been working to ensure the remainder of the RFP conforms to the agreed-upon language. DGS has indicated that it needs four business days to review the RFP language before it can publish the RFP. Thus, SOS anticipates publication June 7, 2011.

12. The addenda #4 was published on June 10, 2011. DGS would not permit ownership of source code language and removed SOS' remedies to withhold payment on invoices if there is a material breach. Confidential discussions were held with three bidding teams at the end of June. The next procurement milestone is on July 12, 2011 when questions are due from the bidders.

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13. The DGS received 41 questions from two bidders on July 12, 2011 and provided these to SOS on July 13, 2011. The SOS submitted responses to DGS on July 20, 2011. The DGS returned a second set of edits to SOS on July 28, 2011. The next procurement milestone is the last day to protest the RFP requirements on August 26, 2011.
14. DGS published answers to bidders' questions on August 18, 2011.
15. DGS received requirements protests from two firms on August 26, 2011. DGS provided SOS with the protests on August 29, 2011 and SOS returned its responses to DGS on August 30, 2011. DGS is currently reviewing those protest responses.
16. On September 14, DGS sent responses to bidders' protests directly to protesting bidder.
17. On September 22, DGS published addenda #5, which made changes to the RFP to respond to bidders' questions, which had been answered on August 18, and the protests that were decided in favor of the bidders. Additionally, the addenda delayed pre-qualification package submission to September 30, 2011.
18. On September 30, 2011 DGS received pre-qualification packages for evaluation.
19. On October 3, 2011 DGS Procurement Official initiated the evaluation by evaluating the administrative requirements. On October 4, 2011, the SOS evaluation team began evaluating the pre-qualification packages. Evaluation of the pre-qualification packages was completed.
20. On October 25, 2011 the SOS team submitted the Evaluation and Selection (E&S) Report to DGS for review and approval.
21. On November 10, 2011, DGS approved the E&S Report.
22. Confidential discussions began on November 16, 2011 and continued throughout the month. Should there be a need, confidential discussions will continue through the first two weeks of December.

Independent Project Oversight Report

Project Name: Secretary of State VoteCal

Assessment Date: November 2011

Frequency: Monthly

Oversight Provider Information

Oversight Leader: Michelle Colodzin **Organization:** MetaVista Consulting Group
Phone Number: 530-798-1656 **Email:** mcolodzin@metavista.com

Project Information

Project Number: 0890-46 **Department:** Secretary of State
Criticality: High **Agency:** N/A
Last Approved Document/Date: SPR3-09/2010 **Total One-time IT Cost:** \$45,188,638
Start Date: December 2007 **End Date:** June 2014
Project Manager: Kerry Washburn **Organization:** VIP Consulting
Phone Number: (916) 653-3785 **Email:** Kerry.Washburn@sos.ca.gov

Summary: Current Status – If multiple current phases, use section at end to assess the status of additional phases.

Project Phase: Procurement
Planned Start Date (Based on last approved CTA Document): Sept 15, 2010 **Planned End Date (Based on last approved CTA Document):** Sept 30, 2011
Actual Start Date: Sept 15, 2010

Schedule

Select the statement that most closely applies, measured against the last Finance approved document.

Ahead-of-schedule:

One or more major tasks or milestones have been completed and approved early (> 5%). All other major tasks and milestones completed and approved according to plan.

On-schedule:

All major tasks and milestones have been completed and approved according to plan. (Within 5%)

Behind Schedule

Behind Schedule:

One or more major tasks or milestones are expected to be delayed. (> 5%)

Comments:

The pre-qualification decision was announced on time, on Nov. 10th. Confidential discussions began on Nov. 16th, two days after the scheduled date of Nov. 14th, due to bidders requiring time to make travel arrangements.

Confidential discussions are on track to finish by Dec. 9th, as scheduled. SOS is developing an addendum that will both clarify existing requirements and make changes based on information learned during the confidential discussions. This is very likely to result in a slip of the next Key Action Date (KAD), Dec. 23rd, as the last day for bidders to submit questions and to request a change to the RFP requirements.

Because of the normal slow-down in business activities for both the State and vendors, this slip is likely to push out the Feb. 8, 2012, deadline for submission of draft proposals, potentially pushing out the subsequent KADs as well.

The reason slippages is so likely is that, as stated in previous reports, DGS has committed to a ten-day turnaround for review and approval of SOS documentation. To allow DGS this ten-day window to review and approve the addendum in enough time to publish it by Dec. 16th, five business days before the Dec. 23rd, KAD, SOS would have to submit the addendum on Dec. 5th. This isn't possible because confidential discussions will be ongoing at that time.

The Key Action Dates (KADs,) beginning with the release of Addendum #4, are listed below. *Dates updated since the last report are italicized and in blue text*. The next milestone date is highlighted for easy reference:

- | | |
|--|---------------------|
| 1. Release of Addendum #4 | 06/10/11 |
| 2. Last day to submit Bidder's Intention to Submit a Proposal and signed Confidentiality Statement | 06/17/11 |
| 3. Confidential Discussions with Individual Bidders | 06/27/11 – 06/30/11 |
| 4. Last day to submit questions for clarification and to request a change to RFP requirements | 07/12/11 |
| 5. Last day to protest the RFP requirements prior to pre-qualification | 08/26/11 |
| 6. Bidder Pre – Qualification packages due | 09/30/11 |
| 7. Pre – Qualification Decision Announced | 11/10/11 |
| 8. Confidential Discussions with Individual Bidders | 11/14/11 – 12/09/11 |
| 9. Last Day to submit questions and to request a change to RFP requirements | 12/23/11 |

10. Last day to protest the RFP requirements	01/24/12
11. Submission of Draft Proposals due to DGS	02/08/12
12. Confidential Discussions	04/03/12 – 04/24/12
13. Submission of Final Proposals due to DGS	06/12/12
14. Cost Opening	07/31/12
15. Notification of Intent to Award	08/27/12
16. Last Day to Protest Selection	08/30/12
17. Contract Award and Execution	10/05/12

Resources (Level of Effort) Choose the statement that most closely applies.

Fewer Resources

Completion of one or more major tasks and/or acceptable products has required or is expected to require materially (>5%) fewer hours/staff than planned.

Within Resources

All major tasks have been completed and acceptable products created using the planned number of hours/staff (within 5%).

More Resources

Completion of major tasks and/or acceptable products has required or is expected to require materially (>5%) more hours/staff than planned.

Within Resources

Comments: No change since last month. VoteCal is in the Procurement phase and when the contract is awarded and a refined schedule established, an SPR will be submitted.

Resources (Budget/Cost) Choose the statement that most closely applies.

Less cost

The project is (>5%) under budget.

Within cost

The project is operating within budget.

Higher cost

Material budget increases (>5%) are likely.

Within Cost

Comments: No change since last month. At this time the project is operating within budget and is expected to stay at or below budget throughout this fiscal year. Future budget overruns are likely due to the lengthy procurement process.

Quality (Client Functionality) Choose the statement that most closely applies.

Adequately Defined

Required client functionality is adequately defined, and is being successfully built into the system, given the current project phase.

Adequately Defined

Inadequately Defined

One or more significant components of required client functionality are inadequately defined, or are not being successfully built into the system, given the current project phase.

Comments: No change from last month. Adequately defined for this phase of the project.

Quality (Architecture/System Performance) Choose the statement that most closely applies.

Adequately Defined

The system technical architecture is adequately defined, and modeling, benchmarking and testing are being conducted (or are planned) appropriate to the current project phase.

N/A

Inadequately Defined

The system technical architecture is not adequately defined, or modeling, benchmarking and testing are not being conducted (or are planned) appropriate to the current project phase.

Comments: Not applicable at this time.

New Project Risks

No new risks were opened during the reporting period.

Progress Toward Addressing Prior Risks

Identifier: Failed Procurement
140

Risk Statement: If SOS encounters either too-few Bidders for a "competitive" procurement or insufficiently qualified Bidders by the due date for Final Proposals or the contract award target date, the procurement effort will fail and will need to start anew, resulting in a delay in excess of a year.

Probability: H Impact: H Time Frame – M (Overall severity: H)

Status:

November 2011 – The procurement process continues to move forward with the pre-qualification decision announced on Nov. 10th, as scheduled, and confidential discussions on track to finish on time by Dec. 9th. However, the likely slippage of the next, and potentially subsequent, KADs (as described in the Schedule Section above) could further frustrate vendors, possibly causing one or more to drop out of the procurement.

October 2011 – No update since previous report. Information will be forthcoming after the pre-qualification decision announcement.

September 2011 – Addendum 5 was published on Sept. 22nd, resulting in a slip of one week in the dates for submission of the pre-qualification packages and the announcement of the pre-qualification decision. These dates were pushed out in order to provide vendors the required five business days after publication of the addendum to update their pre-qualification packages.

On September 30, 2011, DGS received pre-qualification materials for evaluation. SOS began the materials review process and is currently on track to meet the Nov. 10th pre-qualification decision announcement.

August 2011 – The overall severity of this risk continues to be very high due to potential delays in upcoming Key Action Dates. In addition, DGS received protests on the RFP requirements from two vendors by the August 26th deadline. DGS plans to release Addendum 5, although no estimated publication date has been determined. Based on information from DGS, SOS expects a second protest after publication of Addendum 5 related to the publication of Addendum 5 not occurring in time for bidders to respond by the August 26th Key Action Date. The time required to address the current and anticipated protests has the potential to push out the Sept. 23rd date for vendors to submit pre-qualification packages and potentially subsequent Key Action Dates as well.

July 2011 – After the completion of the initial confidential discussions, vendors submitted a total of 41 questions and requests for clarification regarding the RFP. SOS is preparing an addendum with responses intended to mitigate this risk based on several bidders' questions and requests for changes and clarifications. As of August 9th, these proposed changes were still under discussion. For reasons described in the Schedule Section of this IPOR, it is likely that the next Key Action Date, the last day to protest the RFP requirements prior to pre-qualification, scheduled for Aug. 26th will slip. This is very likely to frustrate vendors who have already expressed concern regarding the lengthy procurement and changing timeline, increasing the probability that this risk will be realized.

June 2011 – DGS and SOS conducted confidential discussions with 3 prospective vendors during the week of June 27, during which the vendors expressed concerns about some of the provisions in the RFP. SOS is waiting for vendors to submit their questions and requests for RFP changes and, based on these, will evaluate alternatives and reach decisions for moving forward. Vendor questions are due on July 12th.

May 2011 – DGS will conduct confidential discussions with interested bidders prior to the Question and Answer period. These sessions are intended to provide bidders the opportunity to express any concerns they may have with the RFP requirements and terms and conditions.

This will allow SOS and DGS to determine early in the procurement process if there are any critical issues with the RFP and provide an opportunity to address them. This should encourage qualified bidder participation and reduce the risk of a failed procurement.

April 2011 – This risk continues to be a high severity risk. The ongoing delay in releasing the addendum makes it increasingly likely that the procurement will fail. In this time of decreased budgets and limited resources, vendors may become impatient or find other, more promising opportunities and direct their resources to other bids.

March 2011 – The probability of this risk has increased from medium to high. A vendor with many successful HAVA implementations sent a letter to the State expressing its concerns with this procurement and notifying the State that it may withdraw from the bidding process. Per information received from DGS, SOS reported that the vendor cited three primary concerns:

1. A project budget it considers insufficient for the work requested
2. Terms and conditions it considers unreasonable, including payment terms and letter of credit requirements
3. A lengthy procurement process and schedule that keeps changing

The VoteCal Team previously opened an issue related to this risk:

Issue #139 (High priority): DGS has advised SOS that a previously accepted financial prequalification requirement must be revised, has returned pre-qualification packages to bidders, and instructed the vendor community that the procurement will be re-opened. Impacts: (1) Re-opening the procurement raises probability of the risk that one or both of the existing Bidders will decide to drop out. (Risk #140, which is also heightened in severity due to the bidder letter received by DGS); (2) Re-opening the procurement coupled with the delay in completion of DGS review of the RFP is delaying the reopening and therefore contract award by 5-6 months.

February 2011 – SOS met several times with DGS during March to try to keep the RFP review process moving forward. DGS required changes to at least two business requirements as well as administrative requirements related to financial viability. VoteCal disagrees with these changes and has escalated the issue to the Chief Deputy Secretary of State who will contact a DGS executive for further discussion.

Identifier
60:

Control Agency Coordination

Risk Statement: If resolving procurement- and project-related decisions entails more-than-planned coordination and consultation with control agencies, then the project will experience delays in review and approval of procurement-related documents and diversion of project resources from other project work, and as a result, the procurement schedule and entire project schedule will be delayed.

Probability: H (realized)

Impact: H

Timeframe: Short

Status:

November 2011 – Communications issues between SOS and DGS regarding the procurement process continued throughout the reporting period. As of the end of November DGS had not responded to SOS' requests to document a formal decision-making process.

October 2011 – No change since last month.

September 2011 - No change since last month.

August 2011 – DGS released the responses to vendor questions on August 18th. DGS is investigating how to define appropriate language that would enable SOS to reduce the burden on vendors related to two key areas of vendor concern; liquidated damages and letter of credit. DGS continues to work on this, but as of the end of August there was no estimated date of completion and release of Addendum 5. This coupled with the current and anticipated protests, is likely to push out upcoming Key Action Dates.

July 2011 – A retired annuitant is now working with SOS and DGS to evaluate the existing processes and make recommendations for expediting the procurement process.

June 2011 – Addendum #4 of the RFP was released on June 10th. At this time the procurement is progressing as shown in the KADs listed in the Schedule Section above. The next procurement milestone is on July 11, 2011 when questions are due from the bidders.

May 2011 – DGS and SOS executives worked together during May and addressed the remaining open issues with the RFP. SOS completed the necessary updates and DGS expects to complete its final review and release the RFP in early June.

April 2011 - SOS and DGS worked together in April to conduct a working session during which several items were resolved. Two key open issues remained unresolved at the end of the working session (see General Comments Section for details) These have been escalated to DGS' Director for resolution; until DGS and SOS can reach a mutually agreeable solution the schedule will continue to slip.

March 2011 – The ongoing DGS RFP review process is causing further project delays, and as of the end of March it remains uncertain when the review process will be completed. The project is now 6 to 7 months behind schedule based on the KADs in the RFP and the assumption that SOS will receive bid packages from four qualified vendors, and further delays will occur if the RFP review process is not completed quickly.

The VoteCal Team previously opened the following issue related to this realized risk:

Issue #135 (High priority): Unclear DGS process and multiple-month delay in DGS review of RFP have caused severe delays in the procurement phase and more-than-expected PMO effort to finalize content for RFP addenda and responses to Bidder communications.

February 2011 – Delays in DGS' review of the RFP and the return of the pre-qualification packages to vendors resulted in a significant delay in the project schedule. If additional delays occur in DGS' review and formal approval of the RFP, the schedule will be further impacted.

January 2011 – The team is working to understand more about the required interim procurement steps so that they may assess the impact of control-agency delays and refine the target procurement dates.

Identifier: **Changes in Regulatory Requirements**
59

Risk Statement: If the State or Federal governments mandate functionality not in the current requirements, the resulting scope change could threaten schedule and budget

Probability: M Impact: H Timeframe: Medium

Status:

November 2011 - No change from last month

October 2011 - No change from last month

September 2011 - No change from last month

August 2011 - No change from last month

July 2011 - No change from last month

June 2011 - No change from last month

May 2011 - No change from last month

April 2011 - No change from last month

March 2011 – No change from last month

February 2011 – No change from last month

January 2011 – No change from last month

December 2010 – No change from last month

November 2010 – No change from last month

October 2010 – No change from last month

September 2010 – No change. Project continues to monitor.

June 2010 – Timeframe changed to Medium in light of re-procurement effort currently underway. Project continues to monitor.

Closed Project Risks

No risks were closed during the reporting period.

General Comments

Since the publication of Addendum #4, which contained the new procurement timeline, IPOC and VoteCal leadership have been in agreement that the current procurement timeline is unrealistic. If the next, and potentially subsequent KADs slip, which is likely, it will be the realization of this concern. If this occurs, IPOC recommends that SOS and DGS work together to re-evaluate the KADs taking into consideration how likely they believe the need for additional addenda may be at various points in the procurement process and build a more realistic timeline that accounts for the time required to processes them.

There are currently two vacancies on the project team, the IT Lead and an Elections subject-matter expert, with a third vacancy beginning in December with the Project Director leaving SOS. One previously vacant position was filled in early November; the new staff member is coming up to speed quickly and seems to fit in well with the team. Because VoteCal is a small team, the project schedule could slip if the positions are not filled promptly with staff that will be able to ramp-up very quickly.

The departure of the Project Director will result in a shift of leadership responsibilities to the Project Sponsor, who will be taking this on in addition to her regular full-time responsibilities. At this time, IPOC does not see any problem with this transition and since SOS will be posting the opening in early December, there is a good chance that a new Project Director will be found quickly.

IPOC met with the VoteCal Project Scheduler in November and discussed schedule management practices and reviewed draft schedule management processes for VoteCal. The VoteCal Project Scheduler has continued to refine and document VoteCal schedule management processes and is currently working to finalize how the VoteCal Master Schedule will be organized, developed and maintained once the SI vendor comes on board. He has made significant improvements since IPOC's last review earlier in the year.

Executive Oversight Findings and Recommendations for the VoteCal Project as of November 30, 2011

Findings appearing in the table for the first time, and any changes to priority, findings, recommendations or status will be in **bold type**.

ID Number	Priority	Finding	Recommendations	Status
20110830.01	1	The procurement process is taking significantly longer than expected causing project delays and increased cost.	<p>IPOC has observed the following issues regarding the procurement process and makes the following recommendations to address them:</p> <ul style="list-style-type: none"> • DGS and SOS sometimes disagree about what has been decided and what is still open for discussion <ul style="list-style-type: none"> ○ IPOC recommends that DGS and SOS agree on a method of tracking and validating decisions and that the selected method be clearly documented; including specific due dates or turnaround times for any action items ○ Once both parties agree that a decision has been accurately documented and is valid, it should be considered closed and not re-opened at a later date ○ In the event that consensus about a decision is not reached, develop an escalation process within both SOS and DGS that clearly defines the final decision maker(s) and the criteria for escalation to this level. • DGS staff attending meetings with SOS is not always the same <ul style="list-style-type: none"> ○ DGS should assign specific staff members to work on the SOS procurement and avoid changing those assignments as much as possible ○ This may result in longer intervals between meetings to accommodate staff schedules, but in the long run it should minimize confusion and minimize or eliminate discussions on topics previously covered • At times, sections of addenda were reviewed 	<p>November 2011 – As stated in the General Comments Section, above, it is likely that the Dec. 23rd KAD will slip, which is very likely to push out the Feb. 8th deadline to submit draft proposals and potentially all subsequent KADs.</p> <p>If this occurs, IPOC recommends that SOS and DGS work together to re-evaluate the KADs taking into consideration how likely they believe the need for additional addenda may be and build a more realistic timeline that accounts for the time required to processes them.</p> <p>In doing so, DGS and SOS should apply the recommendations in this finding in order to avoid any delays in reaching a decision regarding how to adjust the KAD schedule.</p> <p>September 2011 – The Key Action Dates (KADs) for the submission of pre-qualification packages and the announcement of the pre-qualification decision have been pushed back one week due to the later than expected release of Addendum 5, which occurred on Sept. 22nd.</p> <p>At this time, no other Key Action Dates have slipped. The pre-qualification decision date is dependent upon SOS completing its review of the prequalification materials and submitting the Evaluation and Selection Report to DGS no later than Oct. 26th to allow DGS the ten-day turnaround time for review and approval it committed to SOS. If DGS takes longer than the agreed-upon ten days to review and approve the Evaluation and Selection Report, the pre-qualification announcement and potentially subsequent KADs will slip.</p> <p>August 2011- SOS produced meeting documentation that was shorter and remained at a high level for a meeting held in</p>

Priority 1 (Urgent – immediate action recommended) Priority 2 (Important – address within 1-3 months) Priority 3 (Necessary – address within 1-6 months)

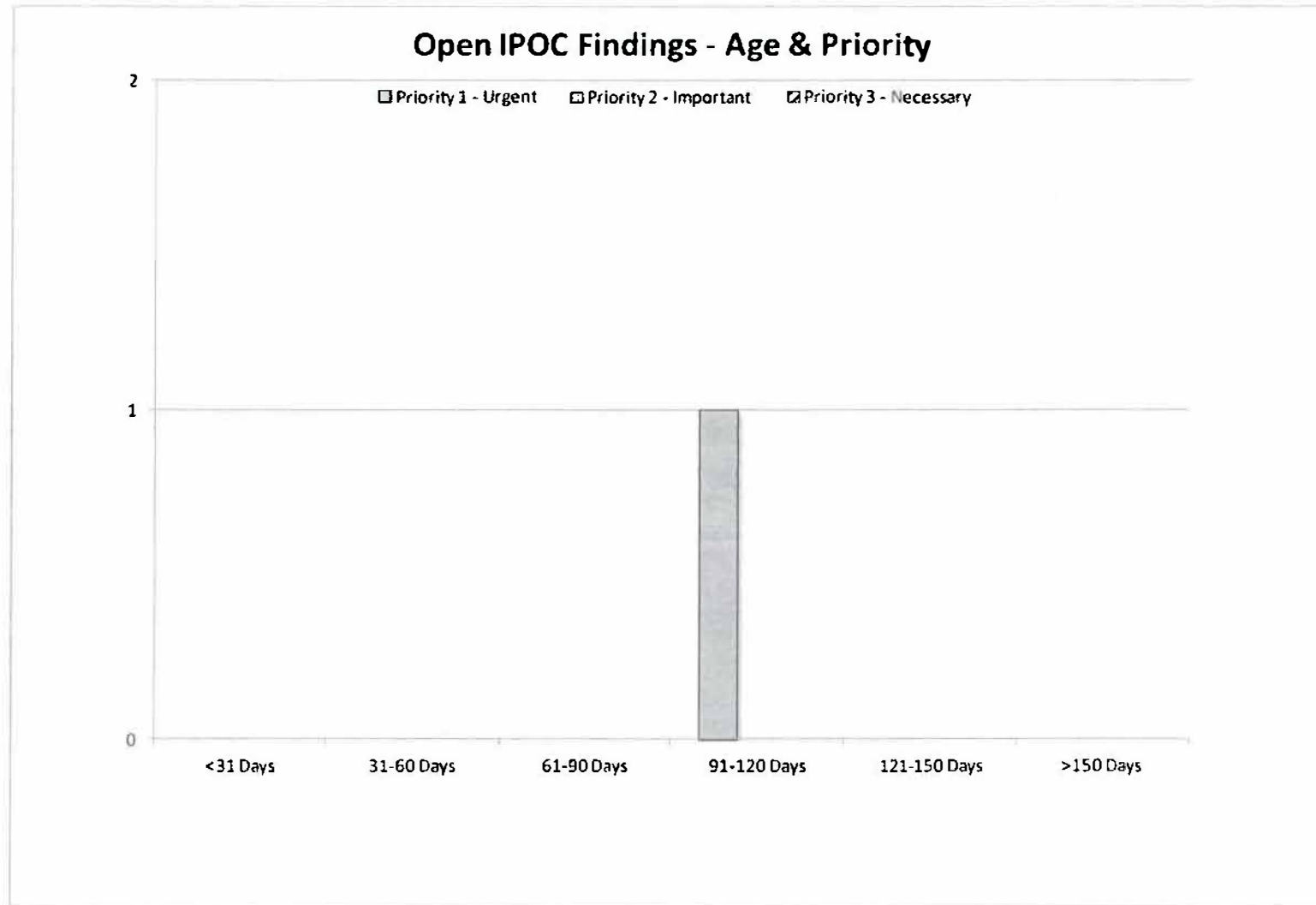
ID Number	Priority	Finding	Recommendations	Status
			<p>separately and feedback documented independently by different DGS groups (e.g., OLS and Procurement), sometimes resulting in apparently contradictory comments and revised recommendations once review of the remaining sections of the document are completed</p> <ul style="list-style-type: none"> ○ All appropriate DGS groups should review documentation in full and all comments should be consolidated into a single response document prior to sending comments and recommendations to SOS ○ This may increase the interval between receipt of documentation and response, but should minimize the need for rework and reduce potentially contradictory feedback ● SOS provides DGS with meeting documentation that may contain more detail than necessary to communicate SOS' understanding of decisions and discussions <ul style="list-style-type: none"> ○ SOS meeting documentation that is sent to DGS should be concise, summarize discussions at a high level and include specific decisions reached and action items ○ SOS should avoid using meeting minutes to capture entire discussions; SOS may continue to produce that documentation as project artifacts, if desired ○ DGS may choose to use SOS' meeting minutes as a record of the meeting or may create its own meeting record. In either case, both SOS and DGS should review all meeting documentation and agree that it is complete and correct 	<p>August. This is a step in the right direction and IPOC encourages SOS to continue this practice. IPOC recommends that DGS review this documentation and provide feedback to SOS that would help them to better meet DSG' needs in this area</p>

Findings Closed During Reporting Period

No findings were closed during the reporting period.

The following charts show:

- Progress toward addressing prior findings & their priority
- Current number of open findings by priority



Priority 1 (Urgent – immediate action recommended)
Priority 2 (Important – address within 1-3 months)
Priority 3 (Necessary – address within 1-6 months)

Total Open IPOC Findings



Priority 1 (Urgent – immediate action recommended)
Priority 2 (Important ~ address within 1-3 months)
Priority 3 (Necessary – address within 1-6 months)