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October 15, 2018

The Honorable Holly Mitchell, Chair
Joint Legislative Budget Committee
1020 N Street, Room 553
Sacramento, CA 95814

The Honorable Anthony Portantino, Chair
Senate Appropriations Committee
State Capitol, Room 2206
Sacramento, CA 95814

The Honorable Lorena Gonzalez Fletcher, Chair
Assembly Appropriations Committee
State Capitol, Room 2114
Sacramento, California 95814

Dear Chairpersons Mitchell, Portantino, and Gonzalez Fletcher:

Attached is my office's quarterly report on the progress of the CAL-ACCESS Replacement System Project, in accordance with Government Code section 84602(c). Previous reports are posted on the Secretary of State's office website at www.sos.ca.gov/administration/agency-reports/cal-access-replacement-project-cars-agency-reports. If you have any questions about this report, please feel free to contact me at (916) 653-7244, or have your staff contact my Chief of Legislative Affairs, Tiffany Mok, at (916) 695-1686.

Sincerely,

Alex Padilla
Secretary of State

Attachment

Introduction

In September of 2016, the Governor signed into law Senate Bill (SB) 1349, the Political Reform Act of 1974: Secretary of State: online filing and disclosure system. The bill requires the Secretary of State, in consultation with the Fair Political Practices Commission (FPPC), to develop and certify for public use an online filing and disclosure system for campaign statements and reports that provides public disclosure of campaign finance and lobbying information in a user-friendly, easily understandable format.

The law calls for the Secretary of State to submit a report to the chairs of the Joint Legislative Budget Committee and the fiscal committees of the Legislature on or before December 31, 2017, and on or before every April 15, July 15, October 15, and January 15 thereafter, that certifies whether changes are anticipated to the project's scope, schedule, or budget and any problem that is considered a risk to the project's completion according to the approved project schedule and budget.

Background

The California Automated Lobbyist and Campaign Contribution and Expenditure Search System (CAL-ACCESS) was developed to provide greater public access to campaign contribution and expenditure data, and state lobbying financial activity. CAL-ACCESS was developed to respond to the objectives of the Online Disclosure Act, added to the Political Reform Act of 1974 (PRA) by Ch 866, Stats of 1997. CAL-ACCESS is the public's window into California's campaign disclosure and lobbying financial activity, providing financial information supplied by state candidates, donors, lobbyists, lobbyist employers, and others.

CAL-ACCESS was deployed in June 2000, and, since that time, nearly two (2) million filings have been submitted by filers. However, CAL-ACCESS is an old and fragile system that is at the end of life and operating on an unsupported information technology platform. The current system design has technological restrictions that prevent it from being modified or updated. It lacks data display and reporting features that are commonly used for data analytics.

CAL-ACCESS users and stakeholder groups have identified the following business problems:

- Program business operations are negatively affected by the current system design.
- Program business operations are at risk due to an old, unsupported information technology platform.
- The Secretary of State's Political Reform Division (PRD) and stakeholders have limited information access and reporting capabilities.

SB 1349 requires the Secretary of State to implement a CAL-ACEESS Replacement System to address the shortcomings and vulnerabilities of the current system.

CAL-ACCESS Replacement System Project Status – October 2018

Below is a summary of the Secretary of State's efforts on the CAL-ACCESS Replacement System project to date.

New System Design and Development

The CAL-ACCESS Replacement System project conducted a formal Kick-Off with the internal stakeholders including the Secretary of State (SOS) Administration, SOS Senior Management Staff, SOS staff, Senator Hertzberg, FPPC staff, the System Integrator (SI) team and all other contract teams.

The Project Team continued Phase I Project Initiation and Planning and Phase II System Requirement Confirmation, Architecture and Design tasks and activities. The Project team completed developing its Integrated Project Schedule for Phase I and Phase II activities.

Working collaboratively with the SOS Subject Matter Experts (SMEs) and other SOS Project Team members, the SI Team has completed requirements confirmation sessions for the new system. The SI completed development of Phase 0 Ongoing Process Tasks and Deliverables, Deliverable Expectation Document (DED), Integrated Project Schedule DED, Quality Management Plan DED, Master Test Plan DED, System Configuration Management Plan DED, Training Plan DED and Requirements Traceability Matrix Plan DED. The SI Team has completed the Project Management Plan Deliverable and continued working on other Phase I and Phase II DEDs.

The Organizational Change Management Team has completed development of its Organizational Change Management Plan and begun working on developing a Business Process Transition and Communication Approach for internal and external project stakeholders. The Data Migration Team began profiling legacy CAL-ACCESS data for any perceived issues and continued planning for extract, transfer, and load of the legacy CAL-ACCESS data into the new system. The Functional Testing Team has begun identifying functional test scenarios for the new system.

Utilizing the Department of General Services' competitive California Multiple Award Scheme (CMAS) procurement for Information Technology (IT) consulting services, the Project Team selected i-Cubed Associates to perform Independent Project Oversight (IPOC) consulting services on the project. The IPOC team is now on board and began reviewing the most current project documentation.

The CAL-ACCESS Replacement System Enterprise Architect and Business Rules consultants completed their respective scope of work for the project.

Legislative Updates

The Secretary of State, in consultation with the FPPC, continued to support Senate Bill (SB) 1239 (Hertzberg) to promote the legislative changes required for the new system implementation. SB 1239 was signed by the Governor on September 21, 2018.

Currently Perceived Challenges

At this time, the Secretary of State CARS project team does not anticipate any changes to the scope of the project.

Implementation Plan

Below is the currently anticipated high level schedule for the CAL-ACCESS Replacement System design, development and implementation activities.

Project Stages	Milestone	Dates	Status
Alternatives Analysis	Complete Alternatives Analysis	11/2016	Complete
Solution Development	Refine Business Requirements and initiate project management and procurement plans (data governance; communications; issue/risk management; project; and contract management.)	12/2016 – 07/2017	Complete
	Release Request for Solicitation	08/2017	Complete
Project Readiness and Approval	Evaluate final Vendor responses	2/2018 - 4/2018	Complete
	Award Contract	5/2018	Complete
Initialization and Planning	Develop project plans and Integrated Project Schedule	6/2018 – 1/2019	In progress
Design Development & Implementation	Requirements Validation	8/2018 – 12/2018	In progress
	Design and Development	11/2018 – 7/2019	
	Training and Testing	6/2019 – 11/2019	
	Implementation	11/2019 - 12/2019	
Maintenance and Operations	First Year Operation and Closeout	1/2020 - 12/2020	