



Deliverable 1.10: VoteCal System Project Kickoff Meeting

VoteCal Statewide Voter Registration System

State of California, Secretary of State (SOS)



November 2, 2009

Version: 2.1

Work Product Acceptance

Catalyst Consulting Group is pleased to present the following VoteCal Project work product/deliverable. This work product is now complete and is ready for the Secretary of State to review and approve.

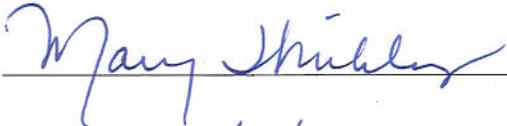
Work Product: Deliverable 1.10 VoteCal System Project Kickoff Meeting

SOW Reference #: Attachment 1 Statement of Work
Exhibit 2: VoteCal System Tasks and Deliverables

Delivery Date: November 2, 2009

Secretary of State

By:



Date:

11/2/09

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1 Introduction

1.1 Purpose and Objectives

The purpose of this document is to describe the assistance provided by Catalyst in support of VoteCal Project kickoff meetings in terms of planning, development of materials, and participation.

1.2 Scope

This deliverable will describe Catalyst's assistance to SOS in the following kick-off meetings:

- The VoteCal Kickoff Presentation to the California Association of County Election Officials (CACEO) Annual Conference in July 2009
- Five VoteCal Kickoff County Regional Meetings conducted in August 2009 with two makeup sessions
- The VoteCal Presentation to the Department of Finance, Legislative Analyst's Office, Office of the Chief Information Officer, and Joint Legislative Budget Committee
- The VoteCal Kickoff session for the SOS staff, control agencies, and contractors conducted on September 8, 2009
- Teleconference information technology (IT) presentation with EMS Vendors held on October 1, 2009
- Five VoteCal Regional Presentations to County Information Technology Representatives held in October 2009
- Monthly project status presentations to the CACEO HAVA Subcommittee

1.3 Standards

Catalyst has adopted The Project Management Body of Knowledge (PMBOK), 4th Edition, published by the Project Management Institute as the standard for management of the VoteCal Project.

The SOS has adopted the state's (previously Department of Finance's) Project Management Methodology as its standard, as was described in Section 200 of the Statewide Information Management Manual in March 2006 when the project was approved. The methodology also reflects industry-standard processes described in the Project Management Body of Knowledge.

1.4 Assumptions, Dependencies, and Constraints

The VoteCal System Project Kickoff Meeting deliverable is based on the following assumptions, dependencies, or constraints.

- SOS conducted one round of kickoff meetings prior to the execution of the Catalyst contract. While Catalyst individuals participated to a limited extent, they did not assist in the planning or preparation of materials.
- SOS and Catalyst agreed that VoteCal project communications would be primarily an SOS responsibility.

1.5 Document Control

This document contains a revision history log. When changes occur, the version number will be incremented and the date, name of the person authoring the change, and a description of the change will be recorded in the revision history log of the document.

As with other work products of the VoteCal project, the approved VoteCal Project Kickoff will be placed under configuration management in accordance with the Document Management Plan (a subset of the Project Management Plan). Also, in accordance with the Document Management Plan, the VoteCal Project Kickoff Deliverable will be stored on the VoteCal Project SharePoint repository maintained by Catalyst and available to the SOS Project Team, the IPOC, IV&V vendor, and SOS senior management.

2 Roles and Responsibilities

This is a one-time deliverable rather than a Project Management Plan. As there are no ongoing processes, there are also no ongoing corresponding responsibilities

3 Kickoff Meetings

As mentioned previously, there were seven activities that were included as part of the VoteCal Project Kickoff Meetings:

- The VoteCal Kickoff Presentation to the California Association of County Election Officials (CACEO) Annual Conference in July 2009
- Five VoteCal Kickoff County Regional Meetings conducted in August 2009 with two makeup sessions
- The VoteCal Presentation to the Department of Finance, Legislative Analyst's Office, Office of the Chief Information Officer, and Joint Legislative Budget Committee
- The VoteCal Kickoff session for the SOS staff, control agencies, and contractors conducted on September 8, 2009
- Teleconference information technology (IT) presentation with EMS Vendors held on October 1, 2009
- Five VoteCal Regional Presentations to County Information Technology Representatives held in October 2009
- Monthly project status presentations to the CACEO HAVA Subcommittee

Each of these meetings is described in the following sections.

3.1 CACEO Annual Conference Kick-off Presentation

SOS made a presentation on the VoteCal Project to the Annual Conference of the California Association of Clerks and Election Officials in July 2009. This presentation served as the Project Kickoff meeting for the county election officials who represent an important stakeholder group for the VoteCal Project.

This presentation was made prior to the execution of the Catalyst contract, so Catalyst was unable to assist in the planning or in the preparation of materials for this presentation. Further, Catalyst did not directly participate in the presentation.

The following paragraphs describe the presentation for this meeting.

3.1.1 Help America Vote Act (HAVA) Mandate

The presentation described the HAVA mandate, including the requirements for:

- A single state-wide voter registration system
- The use of this system as the official voter list for Federal elections
- Uniformity and standards for accuracy and list maintenance practices

The presentation addressed the issue that CalVoter is not HAVA-compliant. SOS reached an agreement with the US Department of Justice to get an interim solution as compliant as possible through limited modifications to CalVoter and adoption of regulations for HAVA enforcement. SOS also committed to proceed with the VoteCal system as a truly HAVA-compliance system as rapidly as possible.

3.1.2 VoteCal History

This portion of the presentation presented the history of the procurement for a VoteCal contractor. Although SOS identified Catalyst Consulting Group as the successful vendor, the information provided was limited as the contract had not been signed at that point.

3.1.3 VoteCal Solution

The presentation identified the VoteCal approach as a ‘bottom-up’ strategy. Under this strategy, the counties would continue to use their existing Election Management Systems (EMS) to process registration and manage elections. The EMS systems would be modified to work directly with VoteCal. This is known as *remediation*.

The VoteCal approach would allow some county elections officials to migrate to a new EMS if the EMS vendor cannot or will not remediate or if all counties with a particular EMS want to move to a new system.

The presentation discussed the VoteCal EMS and identified it as an option in the VoteCal Request for Proposals (RFP). The presentation indicated that SOS had decided not to implement the VoteCal EMS.

The presentation provided some of the details of the VoteCal solution, including:

- Real-time integration with VoteCal for voter registration processing.
- Single complete record for a voter, including affidavit and signature records and update/merge for cross-county moves.
- List maintenance with Department of Motor Vehicles, Change of Address, death notices, etc.

- Public Web site for on-line voter registration and query on registration status, provisional ballot status, and vote-by-mail status.

3.1.4 Tentative Project Schedule

The presentation presented a high-level view of the project schedule starting with the execution of the contract with Catalyst in September 2009 and ending with the implementation of VoteCal in December 2011.

3.1.5 Proposed Budget

This section of the presentation provided an overview of the budget for the VoteCal project, including the contractor development costs, reimbursement to counties for participation in specified VoteCal activities, other contracted costs and costs for EMS vendor remediation and county migration.

3.1.6 Expectations of County Election Staff

This section of the presentation identified SOS expectations of county elections staff for the project. The expectations include participation in discovery sessions and in periodic regional meetings. The presentation expressed the suggestion that county staff stay informed by visiting the VoteCal Web site.

3.2 VoteCal Kick-off Regional Meetings

During August 2009, SOS conducted several regional meetings for County elections staff. The kick-off sessions were held by region. The following table presents the dates for each regional meeting and the county attendance. The numbers in parentheses represent the number of attendees for each county.

Region	Date	County Attendees
Central	August 5, 2009	<ul style="list-style-type: none"> Fresno (2) Kings (0) Madera (0) Mariposa (2) Merced (2) San Joaquin (1) San Luis Obispo (1) Stanislaus (8) Tulare (1)

Region	Date	County Attendees
Bay Area	August 6, 2009	<ul style="list-style-type: none"> • Alameda (1) • Contra Costa (2) • Marin (1) • Monterey (2) • Napa (0) • San Benito (0) • San Francisco (6) • San Mateo (1) • Santa Clara (1) • Santa Cruz (1) • Solano (5) • Sonoma (2)
Southern	August 10, 2009	<ul style="list-style-type: none"> • Imperial (2) • Inyo (0) • Kern (0) • Los Angeles (1) • Orange (2) • Riverside (3) • San Bernardino (0) • San Diego (4) • Santa Barbara (0) • Ventura (0)
Northern	August 13, 2009	<ul style="list-style-type: none"> • Colusa (2) • Del Norte (1) • Glenn (2) • Humboldt (0) • Lake (2) • Lassen (1) • Mendocino (2) • Modoc (0) • Plumas (2) • Shasta (4) • Siskiyou (2) • Tehama (2) • Trinity (0)

Region	Date	County Attendees
Mother Lode	August 27, 2009	<ul style="list-style-type: none"> • Alpine (0) • Amador (3) • Butte (2) • Calaveras (0) • El Dorado (4) • Mono (1) • Nevada (4) • Placer (1) • Sacramento (9) • Sierra (0) • Sutter (2) • Tuolumne (0) • Yolo (0) • Yuba (2)
Make-up Kickoff Meeting (Region and number of attendees in parentheses)	August 28, 2009	<ul style="list-style-type: none"> • Napa (Bay Area) (1) • Trinity (Northern) (1) • Madera (Central) (4)
Teleconference Make-up Kick-off Meeting (Region in parentheses)	September 29, 2009	<ul style="list-style-type: none"> • Alpine (Mother Lode) • Calaveras (Mother Lode) • Tuolumne (Mother Lode) • Humboldt (Northern) • Modoc (Northern) • Kings (Central) • Inyo (Southern) • Kern (Southern) • San Bernardino (Southern) • Santa Barbara (Southern) • Ventura (Southern)

Most of the counties were able to attend either their own regional meeting or were able to participate in the make-up meeting or the make-up teleconference call. The counties that did not attend any of the kick-off meeting sessions were:

- San Benito (Bay Area)
- Sierra (Mother Lode)
- Yolo (Mother Lode)

The following sections describe the presentation material for each of these kick-off meetings.

3.2.1 HAVA Mandate

The presentation described the HAVA mandate, including the requirements for:

- A single state-wide voter registration system
- The use of this system as the official voter list for Federal elections
- Uniformity and standards for accuracy and list maintenance practices

The presentation addressed the issue that CalVoter is not HAVA-compliant. SOS reached an agreement with the US Department of Justice to get an interim solution as compliant as possible through limited modifications to CalVoter and adoption of regulations for HAVA enforcement. SOS also committed to proceed with the VoteCal system as a truly HAVA-compliance system as rapidly as possible.

3.2.2 Current Status

This section of the presentation described the current status of the VoteCal project as Procurement Phase. It described that the requirements in the RFP were based on county input and lessons learned from other states.

The presentation indicated that the Special Project Report (SPR) had been submitted to the state control agencies. SOS was waiting for approval by these agencies to sign the contract.

3.2.3 The Selected Solution

This section of the presentation identified Catalyst Consulting Group as the selected vendor and described the overall solution.

The presentation identified the VoteCal approach as a ‘bottom-up’ strategy. Under this strategy, the counties would continue to use their existing Election Management Systems (EMS) to process registration and manage elections. The EMS systems would be modified to work directly with VoteCal (remediation).

The presentation discussed the VoteCal EMS and identified it as an option in the VoteCal Request for Proposals (RFP). The presentation indicated that SOS had decided not to implement the VoteCal EMS.

The presentation identified the options that counties have to remediate or migrate. The VoteCal approach would allow some county elections departments to migrate to a new EMS if the EMS vendor cannot or will not remediate or if all counties with a particular EMS want to move to a new system.

The presentation identified the number of counties for each EMS vendor, as shown in the following table.

EMS System	Counties
Crest	1
DFM	32
ES&S	3

EMS System	Counties
Premier	19
Votec	2
In-House	1

3.2.4 Proposed Budget

This section of the presentation provided an overview of the budget for the VoteCal project, including the contractor development costs, other contracted costs and costs for EMS vendor remediation and county migration.

3.2.5 Tentative Schedule

The presentation presented a high-level view of the project schedule starting with the execution of the contract with Catalyst in September 2009 and ending with the implementation of VoteCal in December 2011.

3.2.6 VoteCal Solution

The presentation provided some of the details of the VoteCal solution as “Register in California”, which includes:

- Single complete record for each voter in the State, including historical changes
- County elections departments still “own” and manage the voter records
- Cross-county moves become an update of the existing record
- Counties have the ability to view the complete voter record, including affidavits and signature images.

The solution provides for real-time integration with VoteCal during registration entry, including

- Identification verification
- Search for existing voter records
- Update of existing record
- Confirmation and assignment of state ID number
- Determination if “first-time voter” needs to present identification at the polling place

The presentation described the list maintenance capabilities of the VoteCal system, including:

- Flexible matching system that allows high-confidence matches to be applied automatically, allows county staff to resolve probably matches, and allows county staff to “undo” invalid matches.
- “Motor Voter” which allows for the capability of more complete registration through the Department of Motor Vehicles.

- Felon and Death record matching allowing matching to existing voter records when new felon or death records received, and allowing new voter registrations to be matched to existing felon and death records.
- National change of address standardization

The presentation emphasized that VoteCal would be the official list of registered voters from which rosters and supplemental rosters would be generated.

The presentation described the public Web site for on-line voter registration and query on registration status, provisional ballot status, and vote-by-mail status.

The regional presentation emphasized data security, including the following elements:

- All data would be communicated between VoteCal and the counties would be encrypted and be on a private Wide Area Network (WAN).
- Firewalls and intrusion prevention capabilities would be in place to prevent access to county systems by SOS or other counties.
- Most user access would be through the county EMS. Direct user access to VoteCal would require two-factor authentication and would be managed through a role-based security approach. The authentication credentials and roles would be assigned by local administrators. There will be a complete audit trail of all changes.

The presentation described the approach to VoteCal reliability, including system performance requirements, failover protection, and standards for operation without maintenance during peak election time.

3.2.7 County Role

This section of the presentation identified SOS expectations of county elections staff for the project. The expectations identified in the presentation included:

- Keep informed: visit the VoteCal Web site and review key project information
- Actively Participate: attend periodic regional meetings, participate in the discovery session, provide feedback, and consider participating in the pilot implementation.

3.2.8 Results of the Kickoff Regional Meetings

The counties participating raised a number of questions about the VoteCal project. SOS is in the process of going through those questions and creating a set of Frequently Asked Questions (FAQs) that will be posted to the SOS VoteCal web site at http://www.sos.ca.gov/elections/votecal_home.htm

3.3 Presentation to the State Control Agencies

SOS made two presentations each to the Joint Legislative Budget Committee and to the State Control Agencies: Department of Finance, Legislative Analyst's Office, and Office of the Chief Information Officer. The following sections summarize the information presented.

3.3.1 Presentations to the Joint Legislative Budget Committee

The presentations to the Joint Legislative Budget Committee were made on August 4 and August 17, 2009. The content of the two presentations were very similar. The August 17 presentation had all of the material of the August 4 presentation plus some additional material in response to questions received on August 4, 2009. The following paragraphs describe the content of the presentation based on the August 17 material.

3.3.1.1 HAVA Requirements

The presentation described the HAVA mandate, including the requirements for:

- A single state-wide voter registration system
- The use of this system as the official voter list for Federal elections
- Uniformity and standards for accuracy and list maintenance practices

The presentation identified SOS responsibility for the currency, completeness and accuracy of the voter data by:

- Providing counties immediate access to official data
- Enforcement of uniform list maintenance practices
- Ensuring all legally registered voters are on the list and only ineligible voters are removed
- Application of death record, felony conviction, and driver's license information

The presentation addressed the issue that CalVoter is not HAVA-compliant. SOS reached an agreement with the US Department of Justice to get an interim solution as compliant as possible through limited modifications to CalVoter and adoption of regulations for HAVA enforcement. SOS also committed to proceed with the VoteCal system as a truly HAVA-compliance system as rapidly as possible.

3.3.1.2 Status

The presentation identified the current status of the VoteCal project. The presentation pointed out that SOS was conducting a solutions-based procurement and that the selected vendor had proposed a HAVA-compliant system. The procurement had no protests.

The presentation indicated that SOS had submitted a Special Project Report (SPR) that provides a project baseline. The presentation indicated that the contract would be signed in early fall with project initiation immediately on contract signing.

3.3.1.3 Scope

The presentation provided a summary of the scope of the VoteCal project. This scope included a statewide voter registration database with a complete historic record for each voter.

The presentation provided assurance that there would be no VoteCal election management system. Rather, there would be remediation of county EMS (or migration of a county to a compliant EMS) to minimize changes to county business processes.

Voter registration could be processed in real-time. There would be comparison of voter data to other sources to ensure accuracy of voter rolls, including:

- Identity authentication from Department of Motor Vehicles (DMV)
- Death data from the California Department of Public Health (CDPH)
- Felon status from California Department of Corrections and Rehabilitation (CDCR)

Public access would be available via the web for on-line voter registration and query on registration status, provisional ballot status, and vote-by-mail status.

Included in the contract are:

- 1st year operation and support included in the base contract
- Software support for 5 additional years at the State's option; the system would be maintained by SOS after the vendor's maintenance contract expires
- SOS would be the primary site with a redundant back-up at Department of Technology Services (DTS)
- SOS has a perpetual license to use and modify the code
- The contract requires system documentation before maintenance period and final payment

3.3.1.4 Stakeholder Participation

The presentation identified all of the stakeholders who had or will participate in the project:

- County election officials' staff participated in review of requirements resulting in the addition or change of some requirements
- Community groups such as the League of Women Voters and the NAACP are members of the Stakeholder Advisory Committee
- County elections staff will participate in determining how the system will function
- EMS vendors will work with Catalyst to define specifications for EMS remediation
- SOS will reimburse county elections officials for actual expenses associated with staff time on the project

3.3.1.5 Project Management

The presentation pointed out that SOS would use an industry-standard project management methodology. The selected system integrator was experienced as they developed the Illinois HAVA-compliant system. Priorities

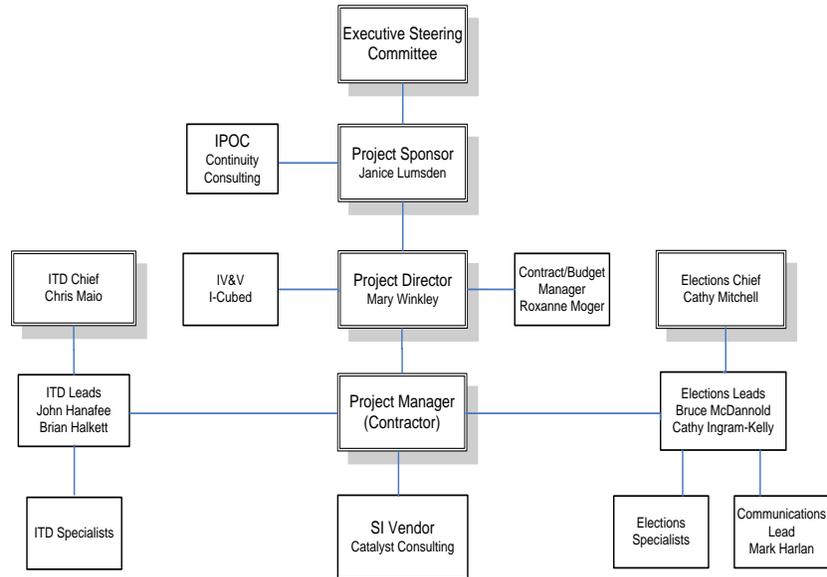
The presentation identified the priorities for the VoteCal project in the following order:

- Scope
- Budget

- Schedule

3.3.1.6 Organization

The presentation provided the following organization chart for the project:



3.3.1.7 Schedule

The presentation presented a high-level view of the project schedule starting with the execution of the contract with Catalyst in October 2009 and ending with the implementation of VoteCal in December 2011.

3.3.1.8 Proposed Budget

The presentation provided the budget from three reports: the Feasibility Study Report in March 2006, the Special Project Report in August 2007, and the Special Project Report of June 2009. The overall budget had declined between 2006 and 2009.

3.3.2 First Presentations to the Control Agencies

SOS made several presentations to the following agencies:

- Office of the Chief Information Officer (OCIO) on April 28, 2009
- Legislative Analyst's Office on April 24, 2009
- Department of Finance on May 4, 2009

The following sections provide the details of the presentation.

3.3.2.1 HAVA

The presentation described the HAVA mandate pointing out that the legislation was a response to the 2000 Florida elections. HAVA requires a statewide computerized voter registration system, including the requirements for:

- A single state-wide voter registration system
- The use of this system as the official voter list for Federal elections
- Uniformity and standards for accuracy and list maintenance practices

The presentation identified SOS responsibility for the currency, completeness and accuracy of the voter data by:

- Providing counties immediate access to official data
- Enforcement of uniform list maintenance practices
- Ensuring all legally registered voters are on the list and only ineligible voters are removed
- Application of death record, felony conviction, and driver's license information

3.3.2.2 Current System

The presentation addressed the issue that CalVoter is not HAVA-compliant. CalVoter is not compliant with HAVA because the system:

- Cannot validate only legally registered voters on the list
- Does not enforce data integrity
- Overwrites data rather than updating data
- Loses voter history when a voter re-registers
- Data timeliness and accuracy is questionable
- Does not determine voter eligibility
- Does not require county compliance with voter registration rules
- Is proprietary and is no longer supported by the vendor
- Is based on an obsolete platform

SOS reached an agreement with the US Department of Justice to get an interim solution as compliant as possible through limited modifications to CalVoter and adoption of regulations for HAVA enforcement. SOS also committed to proceed with the VoteCal system as a truly HAVA-compliant system as rapidly as possible.

3.3.2.3 Interim Solution

The modifications to CalVoter as the interim solution included:

- Requiring counties to send additional data
- Pre-processing validation of county data for conformity to standards
- Remediation of EMS systems
- Interfaces with state agencies, including identity verification with DMV, death record from CDPH, and felon data with CDCR

3.3.2.4 Goal

The stated goal of the VoteCal system is to achieve HAVA compliance in accordance with US Department of Justice requirements.

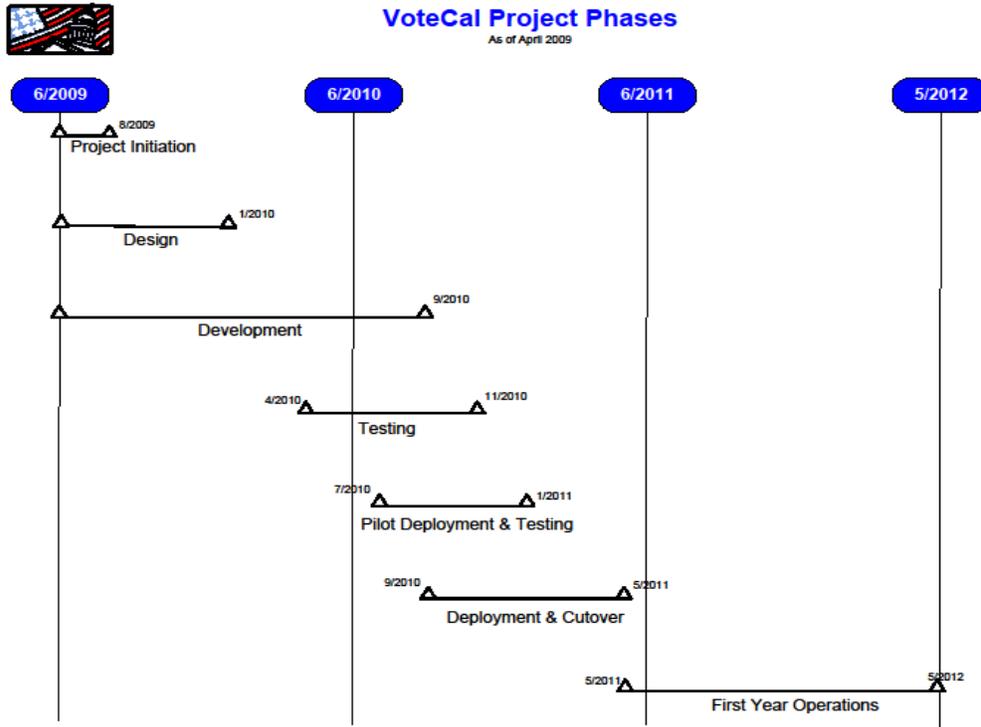
3.3.2.5 VoteCal System

The VoteCal system will have the following characteristics:

- A single record per voter
- Interfaces with other state agencies (identity verification with DMV, death record from CDPH, and felon data with CDCR)
- Immediate access to data by counties
- Only eligible voters on the list
- Complete historical record of voters
- Public access via the web
- Counties will use existing election management systems to register voters

3.3.2.6 Project Phases

The presentation provided the following chart of project phases and timeline:



3.3.2.7 Proposed Budget

The presentation provided the budget estimates from the Feasibility Study Report published in March 2006 and the Special Project Report published in August 2007. The overall budget declined in the two reports.

3.3.2.8 VoteCal Assets

The presentation identified the following assets in support of the project:

- Executive Sponsorship
- Engaged Executive Steering Committee
- A solutions-based procurement
- Receipt of viable bids
- Access to Federal funds

3.3.3 Second Presentation to the Control Agencies

SOS made a second round of presentations to the following agencies:

- Office of the Chief Information Officer (OCIO) on May 26, 2009

- Legislative Analyst's Office on August 4, 2009
- Department of Finance on May 21, 2009

The following sections provide the details of the presentation.

3.3.3.1 HAVA Requirements

The presentation described the HAVA mandate, including the requirements for:

- A single state-wide voter registration system
- The use of this system as the official voter list for Federal elections
- Uniformity and standards for accuracy and list maintenance practices

The presentation identified SOS responsibility for the currency, completeness and accuracy of the voter data by:

- Providing counties immediate access to official data
- Enforcement of uniform list maintenance practices
- Ensuring all legally registered voters are on the list and only ineligible voters are removed

Application of death record, felony conviction, and driver's license information

3.3.3.2 Project Status

The presentation identified the current status of the VoteCal project. The presentation pointed out that SOS was conducting a solutions-based procurement and that the selected vendor had proposed a HAVA-compliant system. The procurement had no protests.

The presentation indicated that SOS had submitted a Special Project Report (SPR) that provides a project baseline. The presentation indicated that the contract would be signed in late summer with project initiation immediately on contract signing

3.3.3.3 Scope

The presentation provided a summary of the scope of the VoteCal project. This scope included a statewide voter registration database with a complete historic record for each voter.

The presentation provided assurance that there would be no VoteCal election management system. Rather, there would be remediation of county EMS (or migration of a county to a compliant EMS) to minimize changes to county business processes.

Voter registration could be processed in real-time. There would be comparison of voter data to other sources to ensure accuracy of voter rolls, including:

- Identity authentication from Department of Motor Vehicles (DMV)
- Death data from the California Department of Public Health (CDPH)
- Felon status from California Department of Corrections and Rehabilitation (CDCR)

Public access would be available via the web for on-line voter registration and query on registration status, provisional ballot status, and vote-by-mail status.

Included in the contract are:

- Software support for 5 additional years at the State's option; the system would be maintained by SOS after the vendor's maintenance contract expires
- SOS would be the primary site with a redundant back-up at Department of Technology Services (DTS).
- Web-based .NET environment
- SOS has a perpetual license to use and modify the code
- The contract requires system documentation before maintenance period and final payment

3.3.3.4 Project Management

The presentation pointed out that SOS would use an industry-standard project management methodology. To that end the Communication Plan is being updated as county involvement is critical. Similarly, the Risks and Issues Plans are being updated to provide identification of risks and issues, development of mitigation plans and provide a risk and issue tracking database.

In addition, the other project management plans are being updated, including:

- Project Management Plan
- Quality Assurance Plan
- Change Request Management Plan
- Contract Management Plan

The Project Manager, IPOC, IV&V, architect, and security auditors are contracted services.

The selected system integrator was experienced as they developed the Illinois HAVA-compliant system. The system integrator is using a local partner that developed and operates EMSs for 31 California counties.

3.3.3.5 Priorities

The presentation identified the priorities for the VoteCal project in the following order:

- Scope
- Budget
- Schedule

3.3.3.6 Phases, Deliverables, and Schedule

The presentation provided the following table of phases, deliverables and tentative schedule.

Phase	Deliverables	Proposed Completion (preliminary)
Phase I: Initiation and Planning	<ul style="list-style-type: none"> ● Project Management Plans 	01/19/10
Phase II: Design	<ul style="list-style-type: none"> ● Requirements validated ● Specifications developed ● Data Conversion Plan ● Training approach 	08/20/10
Phase III: Development	<ul style="list-style-type: none"> ● Establish infrastructure ● Development ● Unit testing 	04/21/11
Phase IV: Testing	<ul style="list-style-type: none"> ● Integration testing ● Acceptance testing 	07/11/11
Phase V: Pilot Deployment	<ul style="list-style-type: none"> ● Training ● Testing ● Pilot deployment 	09/06/11
Phase VI: Deployment and Cutover	<ul style="list-style-type: none"> ● Deployment ● Training ● Update documentation 	01/31/12
Phase VII: Operations	<ul style="list-style-type: none"> ● Maintenance and operations 	12/27/12

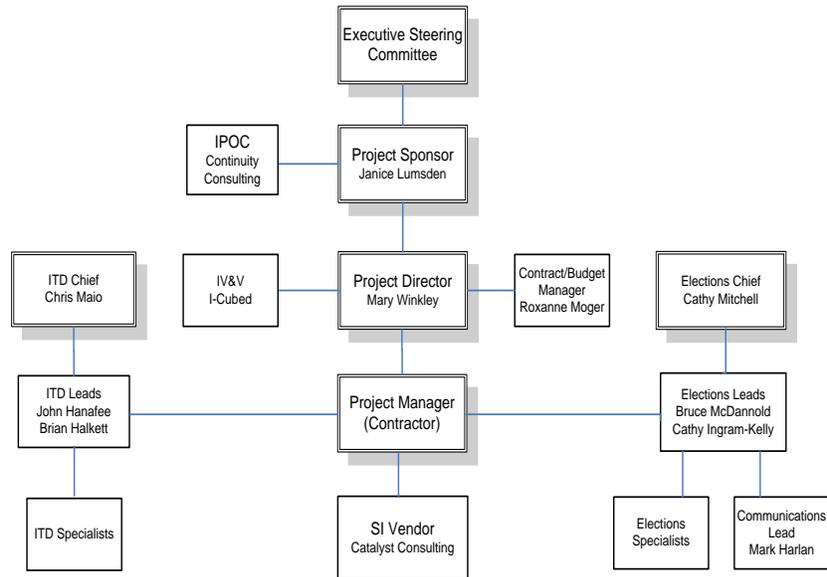
3.3.3.7 Project Assumptions

The presentation identified the following assumptions for the VoteCal project:

- VoteCal will meet USDOJ requirements
- HAVA funding to be exhausted before general grant fund is needed
- Deployment cannot interfere with elections
- VoteCal functionality will replace CalVoter functionality
- Technical staff and end users will receive training to support the VoteCal system
- Timely review and feedback on all project deliverables by reviewers
- Problem and issue resolution will be handled on a timely basis through established processes
- Partnering state agencies will provide timely review and input

3.3.3.8 Project Organization

The presentation provided the following organization chart for the project:



3.3.3.9 Risk and Issue Management

The presentation discussed the risk and issue tracking for the project and identified two issues.

3.3.3.10 Schedule

The presentation provided the following schedules based on the Feasibility Study Report (FSR) and the two Special Project Reports (SPRs):

	FSR 03/06	SPR 08/07	SPR 06/09 (preliminary)	Reason for Variance
Feasibility Study Report Approval	04/04/06	04/14/06	04/14/06	
Phase I: Request for Proposal Completion	11/16/06	09/26/07	12/31/08	<ul style="list-style-type: none"> ● Change in Secretaries of State necessitated reaffirmation of direction ● VoteCal EMS separated to be optional ● DGS review time longer than anticipated ● Needed 2nd round of confidential discussions with vendors after Request for Information
Phase II: Vendor Selection and Project Planning	09/12/07	09/15/08	01/19/10	
Phase III: HAVA Compliant Database	05/13/09	11/19/09	09/06/11	<ul style="list-style-type: none"> ● Aligned schedule with vendor's proposal
Phase IV: Deployment and Training	12/31/09	12/31/09	01/13/12	<ul style="list-style-type: none"> ● Aligned schedule with vendor's proposal
Phase V: PIER Completion	12/31/10	12/31/10	01/30/13	

3.3.3.11 Proposed Budget

The presentation provided the budget estimates from the Feasibility Study Report published in March 2006 and the Special Project Report published in August 2007. The overall budget declined in the two reports.

The presentation also provided the estimates of the system integrator costs from the FSR published in March 2006, the SPR published in August 2007 and the SPR published in June 2009. This slide also showed a decline in system integrator costs for the three reports.

3.3.4 Results of Presentations

The presentations made to the Joint Legislative Budget Committee and to the State Control Agencies resulted in quick approval of the Special Project Report submitted on August 21, 2009.

3.4 VoteCal Project Kickoff

The Catalyst contract was signed on September 8, 2009 and a kickoff meeting was held at the SOS offices. Attendance at this meeting included SOS staff, key members of the Catalyst project team, members of the IPOC contractor, IV&V vendor, and the VoteCal Project Manager vendor.

The Chief Deputy Secretary of State provided the keynote address. In his discussion he congratulated the SOS team for their persistence and diligence during a very long procurement process. He also thanked Catalyst Consulting Group for their persistence and flexibility during that procurement process.

The attendees were allowed to mingle and meet. The Catalyst team members were introduced to the IPOC vendor, the IV&V vendor, and to the Project Manager Vendor team.

3.5 EMS Vendor Conference Call

SOS hosted a conference call with the Election Management System (EMS) vendors on October 1, 2009. The same presentation that was used with the regional presentations to the county information technology representatives (see the next section) was sent to the EMS vendor representatives prior to the conference call. The following vendors had representation on the call:

- DFM Associates (3 attendees)
- ES&S/Premier (4 attendees) – Note that after the kick-off of the VoteCal project, ES&S announced its acquisition of Premier.
- Votec (2 attendees)
- Crest (1 attendees)
- Del Norte County (1 attendee) – Note that Del Norte County has an in-house system.

The presentation made to the EMS vendors was the same as the presentation made to the county information technology representatives as described in the next section. Catalyst participated in the development of the materials for this meeting and Catalyst representatives attended the conference call.

3.6 Regional IT Meetings

In addition to the regional meetings conducted in August 2009, SOS conducted regional meetings with the county information technology (IT) representatives. The following table presents the meeting dates by region and the counties who were represented.

Region	Date	County Attendees
Northern	October 5, 2009	<ul style="list-style-type: none"> • Colusa (2) • Del Norte (0) • Glenn (2) • Humboldt (0) • Lake (3) • Lassen (1) • Mendocino (0) • Modoc (2) • Plumas (1) • Shasta (5) • Siskiyou (2) • Tehama (1) • Trinity (0)
Bay Area	October 7, 2009	<ul style="list-style-type: none"> • Alameda (4) • Contra Costa (3) • Marin (3) • Monterey (2) • Napa (0) • San Benito (0) • San Francisco (3) • San Mateo (1) • Santa Clara (1) • Santa Cruz (0) • Solano (5) • Sonoma (2)
Southern	October 8, 2009	<ul style="list-style-type: none"> • Imperial (3) • Inyo (0) • Kern (0) • Los Angeles (0) • Orange (0) • Riverside (2) • San Bernardino (0) • San Diego (4) • Santa Barbara (0) • Ventura (0)

Region	Date	County Attendees
Mother Lode	October 14, 2009	<ul style="list-style-type: none"> • Alpine (0) • Amador (3) • Butte (0) • Calaveras (0) • El Dorado (2) • Mono (0) • Nevada (0) • Placer (1) • Sacramento (4) • Sierra (0) • Sutter (0) • Tuolumne (0) • Yolo (0) • Yuba (0)
Teleconference Make-up Meeting (Region in parentheses)	October 14,, 2009	<ul style="list-style-type: none"> • Napa (Bay Area) (3) • Santa Cruz (Bay Area) (2) • Sonoma (Bay Area) (2) • Alpine (Mother Lode) (1) • Butte (Mother Lode) (3) • Nevada (Mother Lode) (1) • Sierra (Mother Lode) (1) • Sutter (Mother Lode) (2) • Tuolumne (Mother Lode) (2) • Yolo (Mother Lode) (2) • Yuba (Mother Lode) (3) • Humboldt (Northern) (3) • Fresno (Central) (2) • San Joaquin (Central) (2) • San Luis Obispo (Central) (2) • Inyo (Southern) (1) • Kern (Southern) (3) • Riverside (Southern) (1) • San Bernardino (Southern) (1) • Santa Barbara (Southern) (3) • Ventura (Southern) (2)

Region	Date	County Attendees
Central	October 15, 2009	<ul style="list-style-type: none"> • Fresno (0) • Kings (2) • Madera (3) • Mariposa (0) • Merced (4) • San Joaquin (2) • San Luis Obispo (0) • Stanislaus (3) • Tulare (0)

Many of the counties who were unable to send representatives to the meeting for their region were able to attend the make-up meeting which was provided by conference call. Although SOS intends to present a make-up session, to date, the counties who have not been represented at any of the IT Kick-off meetings are:

- San Benito (Bay Area)
- Calaveras (Mother Lode)
- Mono (Mother Lode)
- Del Norte (Northern)
- Mendocino (Northern)
- Trinity (Northern)
- Mariposa (Central)
- Tulare (Central)
- Los Angeles (Southern)
- Orange (Southern)

The following sections describe the presentation material used in these IT regional meetings. Catalyst participated in the development of the presentation materials. In addition, Catalyst representatives attended the regional meetings and participated in the presentation.

3.6.1 Background

The Background section of the presentation described the following elements:

- HAVA Mandate
- Bottom-up Strategy
- System Integrator

- Funding and Costs
- Project Schedule

3.6.1.1 HAVA Mandate

The presentation described the HAVA mandate, including the requirements for:

- A single state-wide voter registration system
- The use of this system as the official voter list for Federal elections
- Uniformity and standards for accuracy and list maintenance practices

The presentation addressed the issue that CalVoter is not HAVA-compliant. SOS reached an agreement with the US Department of Justice to get an interim solution as compliant as possible through limited modifications to CalVoter and adoption of regulations for HAVA enforcement. SOS also committed to proceed with the VoteCal system as a truly HAVA-compliant system as rapidly as possible.

3.6.1.2 Bottom-up Strategy

The presentation described the over-all strategy as a “Bottom-up” approach to VoteCal in which VoteCal will be the official database, but county elections staff will continue to use their EMS to process registrations and manage elections. This allows minimal changes to existing business processes as well as lower overall project risk. The EMSs will be remediated to work directly with VoteCal.

3.6.1.3 System Integrator

Catalyst Consulting Group was introduced as the system integrator for the VoteCal System.

3.6.1.4 Funding and Costs

The project is scoped to minimize the impact on current county elections environment.

HAVA funding is available for necessary upgrades to county infrastructure. In that regard, SOS will contract directly with the EMS vendors for remediation. HAVA funding is also available for counties to migrate to compliant EMS systems in some cases.

3.6.1.5 Project Schedule

The presentation presented a high-level view of the project schedule starting with the execution of the contract with Catalyst in September 2009 and ending with the implementation of VoteCal in December 2011.

3.6.2 System Overview

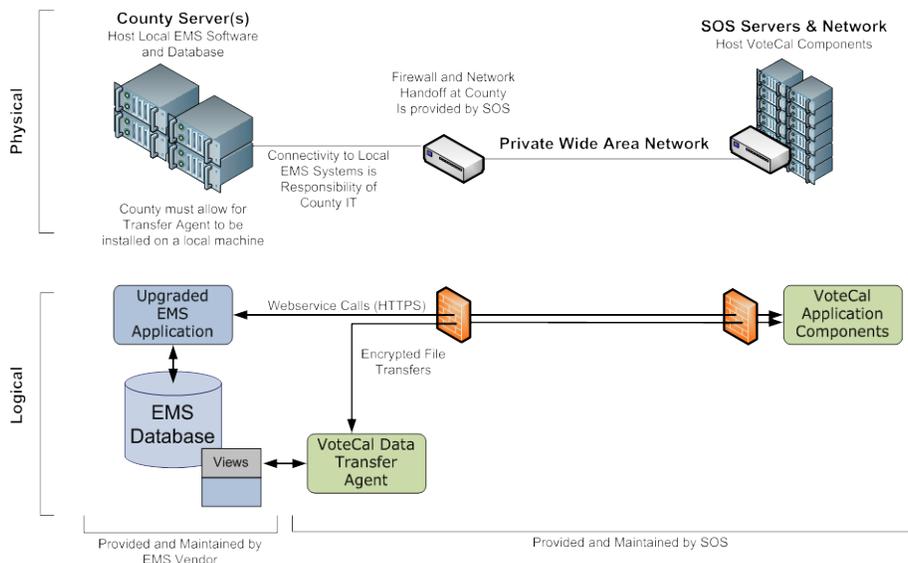
The system overview section of the presentation discussed some of the more technical details of the VoteCal system.

3.6.2.1 Components

The presentation described the VoteCal application and database and the Wide Area Network and the data transfer agent. The presentation also identified the “Remediated EMS” as a component of the VoteCal system.

3.6.2.2 State-Local System Interaction

The presentation described the interaction between the VoteCal system and the counties using the following diagram:



3.6.2.3 Performance and Availability

The presentation stated that the WAN would be scaled for peak user load. On the VoteCal side, there would be replicated servers running in parallel for load balancing. There will also be a replicated off-site location for automatic failover. There would be uninterrupted power supply at both data centers.

The bulk data exchange would occur during off hours to minimize impact on county workload.

Routine system maintenance would be performed without interruption of services.

3.6.2.4 Security Provisions

Access to the VoteCal system will require 2-factor authentication. Data traffic is located on a private WAN and is encrypted.

The VoteCal application will have a firewall to protect against external connections. There will also be firewalls at each county end-point to protect counties from compromise to their system.

The VoteCal public website will run on independent, replicated database servers, not on the VoteCal production system.

3.6.3 Coming Modifications

The presentation addressed some of the modifications at the county end that will be needed.

3.6.3.1 SOS/County WAN Upgrades

SOS will install a new WAN for connectivity with the counties. The new WAN will have increased bandwidth to handle the anticipated traffic. SOS will assume operational management of the new network.

The EMS upgrade features and VoteCal interactive registration will require direct connectivity between the county EMS and the VoteCal system.

Circuit update scheduled for the January 2010 through March 2010 timeframe.

3.6.3.2 Remediation of EMS

The details of the remediation and deployment of the EMS modifications will be defined in the discovery sessions. Technical specification documentation will emerge from these sessions.

SOS will contract directly with the EMS vendors to accomplish the remediation based on specifications defined in the discovery sessions. The contract will include testing, training, data conversion and deployment.

3.6.3.3 Post-Implementation Operation and Maintenance

SOS will maintain a help desk for VoteCal. This help desk will be the starting point for all support issues.

SOS and Catalyst will provide support for the WAN and for the VoteCal application, including the data transfer agent.

The EMS vendors will continue to support their own products. This support will include upgrades for VoteCal.

County IT staff will provide support for connectivity between the county EMS and the WAN end-point.

3.6.4 County Role

This section of the presentation identified SOS expectations of county elections staff for the project. The expectations identified in the presentation included:

- Keep informed: visit the VoteCal Web site and review key project information
- Actively Participate: attend periodic regional meetings, participate in the discovery session, provide feedback, and consider participating in the pilot implementation.

3.6.5 Results of Regional IT Meetings

The regional meetings with county IT representatives resulted in a number of questions and concerns. The following is a list of the top 10 concerns expressed by the county representatives:

1. Can the project push beyond the existing timeline to accommodate the UDEL in many counties? In addition, the timeline is perceived to be very tight with the federal elections in 2012 and many jurisdictions would prefer to wait.
2. Is the Secretary of State working with ES&S and Premier to ensure a smooth transition? If ES&S does not cooperate, is there a backup plan to accommodate the counties and schedule.
3. During deployment, will State and EMS vendor personnel be assisting with the transition?
4. How confident are we that there will be enough capacity to accommodate statewide registrations with the new system. What data is SOS working from to calculate throughput needs?
5. Will VoteCal provide the ability for Counties to provide statewide voter data outside of their own jurisdiction?
6. Will VoteCal data be pushed or pulled in conjunction with our local database?
7. When can we expect additional technical details?
8. What is the proper procedure for volunteering to participate in the Discovery sessions and becoming a Pilot site? What are the specifics around the time commitment necessary for the Discovery sessions?
9. Is there a plan for business continuity and disaster recovery?
10. Who is responsible for the connection and maintenance between the State-provided firewall our EMS?

3.7 Discussions with the CACEO HAVA Subcommittee

The CACEO has a HAVA subcommittee that meets regularly in conjunction with the regular CACEO Legislative Committee meetings. The meeting is generally held monthly during months when there are no large scale elections. Membership in the HAVA subcommittee is informal, consisting of those counties that choose to attend that meeting. During these meetings, SOS staff members attend and provide updates on the various efforts related to the Help America Vote Act, including the progress of the VoteCal Project.