



# Stage 1 Business Analysis

Department of Technology, SIMM 19A, Revision 7/1/2015

## 1.1 General Information

Agency or State Entity Name:

Technology, Department of

Organization Code:

7502

Proposal Name:

Implementation Modernization

Proposal Description:

CDT proposes to replace their 16-year old Law Implementation Database Application with a cloud-based case management solution that integrates a web-based complaint form, workflows, enhanced security, business continuity, and disaster recovery protection.

Proposed Start Date:

July, 2016

Delegated Cost Threshold (Optional):

Over  Under

Department of Technology Project Number:

9999-999

## 1.2 Submittal Information

Contact Information:

Contact First Name:

John

Contact Last Name:

Fun

Contact Email:

jfun@anydept.ca.gov

Contact Phone Number:

(916) 999-9999

Submission Date:

8/7/2015

Submission Type:

New Submission

Updated Submission (Pre-Approval)

Updated Submission (Post-Approval)

Withdraw Submission

Project Approval Executive Transmittal:

File Attachment

## 1.3 Preliminary Assessment

**1.3.1 Reportability Assessment**

**Yes No**

- 1. Does the Agency/state entity anticipate requesting a budget action to support this proposal?  Yes  No
- 2. Does the Agency/state entity anticipate the estimated total development and acquisition cost to exceed the Department of Technology's established Agency/state entity delegated cost threshold **and** the proposal does not meet the criteria of a desktop and mobile computing commodity expenditure?  Yes  No
- 3. Does this proposal involve a new system development or acquisition specifically required by legislative mandate **or** is subject to special legislative reporting or review as specified in budget control language or other legislation?  Yes  No

**Anticipated Reportability**

Is this proposal anticipated to be reportable?  Yes  No

**Planned Reporting Exemption**

Does the Agency/state entity anticipate seeking an exemption from project reporting?  Yes  No  
 (Answer only if Anticipated Reportability above is "Yes.")

**1.3.2 Impact Assessment**

**Yes No**

1. Has the funding source(s) been identified for this proposal?  Yes  No

If "Yes," select applicable funding source(s) and enter the fund availability date. If funding source is "Other Funds," specify below:

**FUND SOURCE**  
Mark all that apply

- General Fund
- Special Fund
- Federal Fund
- Reimbursements
- Bond Fund
- Other Funds

**FUND AVAILABILITY DATE**

FY 2015-16

- 2. Will the State possibly incur a financial sanction or penalty if this proposal is not implemented? If "Yes," provide details in Section 1.9 Business Problem or Opportunity Summary.  Yes  No
- 3. Is this proposal anticipated to have high public visibility? If "Yes," provide details in Section 1.9 Business Problem or Opportunity Summary.  Yes  No
- 4. On a scale of 1 to 3 (1 = None, 2 = Partially, 3 = Fully), indicate how well the current business processes are documented, communicated and available for review. 3

**1.4 Business Sponsor and Key Stakeholders**

**Executive Sponsors**

Title	First Name	Last Name	Business Program Area
Chair	Melinda	Barnes	Commission Chair
Chief of Law Implementation	Jessica	Fields	Law Implementation Division
Chief of Administration	Mark	Golden	Administration & Technology Division

### Business Owners

Title	First Name	Last Name	Business Program Area
Chief of Law Implementation	Jessica	Fields	Law Implementation Division

### Key Stakeholders

Title	First Name	Last Name	Business Program Area/Group	External
Chief of Law Implementation	Jessica	Fields	Law Implementation Division	<input type="checkbox"/>
Chief Information Officer	Glenn	Riley	Administration & Technology Division	<input type="checkbox"/>

## 1.5 Business Driver(s)

Mark all that apply

- Financial Benefit:**
- Increased Revenues
  - Cost Savings
  - Cost Avoidance
  - Cost Recovery
- Mandate(s):**
- State
  - Federal
- Improvement:**
- Better Services to Citizens
  - Efficiencies to Program Operations
  - Improved Health and/or Human Safety
  - Technology Refresh
- Security:**
- Improved Information Security
  - Improved Business Continuity
  - Improved Technology Recovery

## 1.6 Statutes or Legislation

- Statutes or Legislation:**
- New Statutes
  - Potential Legislation
  - Changes to Existing Legislation

Not Applicable

Bill Number:

Legal Reference:

Additional Information:

## 1.7 Program Background and Context

### **Structure of the Department (DEPT):**

The DEPT has four (4) Divisions - Mechanical Assistance Division (TAD), Law Implementation Division, Legal Division, and Administration & Technology Division. This section provides an overview of the Law Implementation Division and its unique business activities, problems, and opportunities.

### **Mission of the Law Implementation Division:**

The mission of the DEPT Law Implementation Division is to fairly, effectively and efficiently enforce the provisions of the Political Reform Act.

### **Violations of the Act include:**

- Financial Conflicts of Interest
- Campaign money laundering
- Gift limit violations
- Campaign mass mailing at public expense
- Failure to file or report all interests on required Statements of Economic Interest
- Inadequate, untimely, or no filing of required campaign statements and reports
- Improper campaign reporting
- Improper receipt of campaign funds, including receiving funds from anonymous sources and contributions in excess of limits
- Improper expenditures of campaign funds, including using campaign funds for personal use

### **Law Implementation Division Activities:**

The Act gives the Division the authority to investigate and administratively prosecute violations of the Political Reform Act. A violation of the Act may be prosecuted for a penalty fine of up to \$5,000 for each violation, or up to three (3) times the amount of the benefit or unreported amount. The team of Law Implementation Division special investigators, attorneys, program specialists, political reform consultants and support staff works vigorously to ensure that cases are handled swiftly, effectively and fairly.

### **Business Program Owners:**

The highest level of Executive Leadership of the Commission is provided by the Commission Chair, Melinda Barnes.

Overall Executive Leadership of the Divisions, Programs, and Operations is provided by the Executive Director. Executive Leadership of the Law Implementation Division, including Operations is provided by the Chief of Law Implementation, Jessica Fields.

### **Key Stakeholders:**

In addition to the Business Program Owners listed above, the Law Implementation Division personnel are important stakeholders for this project.

### **Law Implementation Process:**

A matter will be fully investigated when there is sufficient information to believe that a violation of the Act has occurred. Information regarding potential violations of the Act comes from citizen complaints, referrals from other governmental agencies, media reports, audit findings or may be identified internally.

When sufficient evidence exists to prove a violation of the Act, the Law Implementation Division will bring a prosecution action to the Commission, or may issue a Warning Letter, depending upon the facts of the case and the public harm caused. If the evidence is insufficient to warrant prosecution, a case may be closed with an Advisory Letter or No Violation Letter.

The Law Implementation Division also operates a campaign audit program of both mandatory and discretionary audits.

**Sources of Complaints - Internal and External Business Partners:**

Anyone who suspects a violation of the Act can file a sworn or unsworn complaint with the Law Implementation Division. Complaints may be received in a variety of forms, including in-person complaints, anonymous tips, phone calls, emails, or letters. Internal referrals can originate in the Technical Advice Division (TAD) based on questionable filing information or missing filings. In addition, the DEPT receives Audit Reports from the Franchise Tax Board's Political Reform Audit bureau to review. None of the internal or external sources described in this section would ever need to access the Law Implementation Database application.

**Overview of the Law Implementation Workload:**

In an average year the DEPT receives 1,500 to 1,800 complaints. The vast majority of these complaints are resolved without ever becoming an investigation case. At any given time, DEPT has several hundred open or unresolved complaints and cases in various stages of completion. Each new incoming complaint is tracked in the Law Implementation Database application.

In 2015, a new workload related to Government Code 84101.5 has increased the number of referrals from the Secretary of State to DEPT by an additional 2,200 items over the Law Implementation Division's normal workload. Approximately 50% of these items will become a complaint tracked in the Law Implementation Database application.

**Manual Tracking Process:**

Complaints and cases are currently maintained 100% on paper using traditional manual processes and physical filing cabinet systems. The current Law Implementation Database application is limited to tracking meta data about each complaint and case, but it does not store any electronic documents, files, or evidence about a complaint or case. Progress updates to the Law Implementation Database application are often made after the fact -- so there can be substantial latency between an event and the recording of it in the tracking database.

**Time Management Functions:**

Currently all investigation work is planned and executed manually with no tracking of upcoming tasks or activities in the Law Implementation application. Appointments are not scheduled, logged, or tracked by the Law Implementation application, and there is no capability to keep a calendar or set up reminders. The current Law Implementation application is not integrated with Outlook email or calendar functionality.

**Inventory Management and Production Reports:**

Currently the Law Implementation application lacks the capability to provide basic inventory management and production reports because the reporting capabilities require third party products which are no longer supported.

**Impacted Business Programs and Scope of Proposal:**

This proposal will only impact DEPT's Law Implementation Division. The scope of work is limited to replacement and modernization of the current Law Implementation Database application for the reasons cited in the following sections.

**Data Management:**

The Law Implementation database has less than 25,000 records. Law Implementation Division is working to identify criteria for the migration of data to the new system. Only a subset of the existing data will need to

be migrated to the new system, including all Open complaints and cases, and a subset of the Closed complaints and cases.

**Data Security and Privacy:**

Data encryption in the solution must meet FIPS 140-2. In addition, the solution must support all DGS SaaS requirements and all security and privacy requirements mandated by SAM and SIMM.

Privacy protections in the solution must conform to the Federal Department of Homeland Security requirements and California CISO requirements. The project must include the completion of a Privacy Assessment.

**Business Problem:**

As stated above, DEPT proposes to replace their 16-year old Law Implementation Database application with a modern, cloud-based solution that integrates with an online complaint form, automated workflows, enhanced data security, business continuity, and disaster recovery protection. Business problems and opportunities are described in following sections.

## 1.8 Strategic Business Alignment

Strategic Business Goals	Alignment
The mission of the Fair Political Practices Law Implementation Division is to fairly, effectively and efficiently enforce the provisions of the Political Reform Act.	This proposal will enhance the efficiency and effectiveness of the DEPT's Law Implementation Division programs and processes by leveraging technology and implementing modern workflows.
The team of Law Implementation Division investigators, attorneys, auditors, political reform consultants and support staff works vigorously to ensure that cases are handled swiftly, effectively and fairly.	This proposal will enhance the efficiency and effectiveness of the DEPT's Law Implementation Division programs and processes by leveraging technology to improve oversight and management of staff and investigation results through real-time production case review and approval, reporting, and tracking of complaints and cases statistics.
<b>Strategic Plan Last Updated</b>	

## 1.9 Business Problem or Opportunity Summary

**Business Problem Summary:**

The DEPT Law Implementation Database application currently does not meet DEPT business needs. The Law Implementation Database application was placed into production in 1999 and can no longer be maintained by DEPT staff. The system is used by approximately 40 Law Implementation staff members.

The current system has the following problems:

- (1) the current system is extremely slow and does not provide adequate information for managing and tracking cases, scheduling appointments and important dates, and
- (2) it does not support basic business process workflows
- (3) cases in "Closed" status have never been archived so the system is burdened with managing, sorting, and searching through very old cases for almost every task

**Data Management:**

The current database has less than 25,000 records. Law Implementation Division is working to identify criteria for the migration of data to the new system. Only a subset of the existing data will need to be migrated to the new system, including all Open complaints and cases, and a subset of the Closed complaints and cases.

**Business Opportunity Summary:**

The DEPT intends to replace the existing obsolete system with a secure, cloud-based COTS solution, as follows:

- (1) avoid the expense of designing and developing a new customized system with a limited useful life
- (2) avoid the expense of maintaining and upgrading hardware and software on an ongoing basis
- (3) adopt OTECH approved CalCloud solutions such as Salesforce or Force.Com to expedite the procurement process

**Improved Operations:**

In addition to cost avoidance, the security, efficiency, and effectiveness of the Law Implementation Division's operations can be significantly improved through the use of modern technology to manage day to day activities:

- (1) to secure and safeguard data using role-based access privileges and data encryption
- (2) to streamline business processes and manage workflows with real-time inventory aging and reports
- (3) to manage due dates and appointments with email and case notifications and reminders for all users
- (4) to provide for real-time production statistics and aging of complaints and cases
- (5) to provide data and metrics for measuring staff effort and results
- (6) to leverage form templates and letters and utilize pre-populated forms for standard communications
- (7) to reduce the time required for the Intake process
- (8) to provide much better information to the public and media on pending complaints

## 1.10 Business Problem or Opportunity and Objectives

### Table

#### ID Problems or Opportunities

1	The current Law Implementation Database application has not functioned properly for several years. It currently takes more than 3 minutes to load each display form or to save a record in the database. This is a huge waste of staff time and resources.
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**Obj # Objective**

1.1	Eliminate lost staff time by replacing the obsolete system with a properly functioning application.
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Metric	Baseline	Target	Measurement Method
Time to load a display form	3 minutes	20 seconds or less	Observation and testing

#### ID Problems or Opportunities

2	The current Law Implementation Database application has about 30 tables and 290 fields. It is useful for tracking the status of a case file but the database does not contain evidence or store the case information and files electronically. The current Law Implementation Database application does not provide the capability to save electronic documents as part of the investigation record. The investigation process is still a 100% paper-based process with manual review, processing, and storage of hardcopy case files. There is no capability to attach documents, audio files, or other documents to the electronic case records.
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**Obj # Objective**

2.1	Implement a new case management solution that provides the capability to save electronic documents and files.
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Metric	Baseline	Target	Measurement Method
Electronic document storage	Current system does not provide capability to attach electronic	Provide ability to attach electronic documents to case records	Reviewing product features during solution selection and verification of functionality as part of testing the solution.

**ID Problems or Opportunities**

- 3 The Law Implementation Database application was written and implemented in 1999 using Visual Basic 6.0, a software development language which is now obsolete and no longer supported by Microsoft. In addition, special software files called Run Time libraries, frameworks, adaptors, and drivers must be continuously updated to maintain the existing functionality of the program. For example, with each successive upgrade of the IT environment at DEPT (i.e., desktop OS upgrades, server OS upgrades, database system upgrades, and PC and Server hardware refreshes) it gets harder to ensure the existing program can continue to run properly. At some point, backward compatibility for Visual Basic 6.0 will end completely and the Law Implementation Database application will no longer run on any platform.

**Obj # Objective**

- 3.1 Ensure the new solution is running on an robust database platform and application framework that offers a long-term future roadmap.

<b>Metric</b>	<b>Baseline</b>	<b>Target</b>	<b>Measurement Method</b>
Solution platform and application framework should be fully supported and not End of Life	Visual Basic 6.0 has been Unsupported since April 2008	Implement a replacement application on a fully supported product	Verification of application product and support roadmap

**ID Problems or Opportunities**

- 4 The Law Implementation Database application does not provide role-based user security. The problem with this approach is that once a user has access to the database they can view any case record and make updates to any case record, even those to which they have not been assigned.

**Obj # Objective**

- 4.1 The new solution should provide enhanced security by implementing role-based security to limit access to data based on the User's role.

<b>Metric</b>	<b>Baseline</b>	<b>Target</b>	<b>Measurement Method</b>
Role-based security	Current solution does not provide appropriate data security and access privileges	System should provide role-based access	Reviewing product features during solution selection and verification of functionality as part of testing the solution

**ID Problems or Opportunities**

- 5 The Law Implementation Database is not secure and does not provide the needed confidentiality and privacy protections. The technology implemented to permit and limit secure access to the Law Implementation Database application is rudimentary. User ID and passwords are stored, unencrypted, in the database itself, and there is no mandatory password expiration procedure -- passwords never expire.

**Obj # Objective**

- 5.1 The new solution should provide for secure password generation and maintenance, including secure storage of passwords, requirements for strong or complex passwords, and passwords should expire within 30, 60, or 90 days.

<b>Metric</b>	<b>Baseline</b>	<b>Target</b>	<b>Measurement Method</b>
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Password system	Custom identity solution that is not secure	Industry standard identity solution that meets California's security standards / guidelines	Reviewing product features during solution selection and verification of functionality as part of testing the solution
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**ID Problems or Opportunities**

6 There is no audit trail or logging of a user’s activities while working in the current Law Implementation Database application. Users can make edits and updates to case records with no log or audit trail to hold them accountable.

**Obj # Objective**

6.1 The new solution should provide an audit trail that logs every user's logins, including which accounts they access and view, and all data modifications.

Metric	Baseline	Target	Measurement Method
Audit trail to log all activities	No audit trail in current application	Audit trail to log all users, tracking their activities and updates	Verification of new solution's audit trail features

**ID Problems or Opportunities**

7 The current Law Implementation Database application can no longer provide usable management reports such as “Aging of Case Inventory” or “Case Assignments by Staff Member”. This is true for several reasons including the excessive number of old cases that have been Closed but have not been archived to remove them from the tables used by the application. As a result, some drop-down list boxes used on various forms take over 3 minutes to load because the application is attempting to select, sort, and load over 2,000 records.

**Obj # Objective**

7.1 The new solution should provide case management reports and dashboards that provide case Inventory Aging reports, Staff Productivity reports, Periodic Production reports (monthly, quarterly, yearly)

Metric	Baseline	Target	Measurement Method
Management reports	No working case management reports	A complete set of case management reports	Verification of product features

**ID Problems or Opportunities**

8 The current Law Implementation Database application is not integrated with DEPT's web-based complaint form.

**Obj # Objective**

8.1 The new solution should provide integration with the DEPT's web-based complaint form so that a submitted complaint is received, logged, numbered, and queued for review in the Intake workflow.

Metric	Baseline	Target	Measurement Method

Complaint Intake workflow	No integration with web-based complaint form	Web-based complaint submissions become part of Intake workflow	Verification of integration functionality for receiving web-based forms and workflows
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## ID Problems or Opportunities

9 The current Law Implementation Database application is used by approximately 40 users made up of Special Investigators, Political Reform Consultants, Program Specialists, AGPAs, Staff Services Analysts, Managers, Attorneys, and Interns. The system is extremely slow and does not provide adequate case information for managing and tracking cases, scheduling appointments and important dates, and it does not support basic business process workflows.

### Obj # Objective

9.1 The new solution should provide time-based case management functions such as tickler-notifications, appointment calendaring, meeting coordination, appointment and event notifications and reminders. These functions should be integrated with the case management and document management capabilities.

Metric	Baseline	Target	Measurement Method
Appointment Calendars and Notifications	No calendar and appointment notifications	Calendar and event functions, including reminder notifications	Verification of product features

## ID Problems or Opportunities

10 The current Law Implementation Database application does not provide any email integration or email services. The current Law Implementation Database application, written in Visual Basic 6, cannot be upgraded to work with Microsoft Exchange services.

### Obj # Objective

10.1 The new solution should provide email integration that must include the capability for end-to-end email encryption. From the Microsoft Outlook client, the product should allow the user to mark an email message as being related to a complaint or a case, and then a copy of the email should be logged to the new case management system. Conversely, emails generated from within the new solution should be logged in the case management system and attached to the appropriate case record, while also be routed to the user's Exchange mail box.

Metric	Baseline	Target	Measurement Method
Email integration	No email integration	Email integration	Verification of product features

## ID Problems or Opportunities

11 When complaints are received and processed extra staff work is required to ensure a duplicate or redundant record is not created in error. The current Law Implementation Database application does not perform any type of check or validation to ensure that new a record is not a duplicate of an existing record, instead a manual check of the Law Implementation Database application must be performed manually by a staff member.

### Obj # Objective

11.1 The new solution should provide automatic search and validation capabilities as part of the Intake

process to prevent creation of duplicate records, and to alert the user when a record already exists.

Metric	Baseline	Target	Measurement Method
Automatic search and validation before creation of new record	No search and validation	Automatic search and validation before creation of new record	Verification of product features and product configuration; workflow testing

## ID Problems or Opportunities

12 When a committee, city, or county has been selected for audit, that information is posted to the DEPT website, but the information is not integrated into the Law Implementation Database application, resulting in extra staff work and effort to manually check and update the Law Implementation Database application.

### Obj # Objective

12.1 The new solution should integrate information from the website with information in the new solution.

Metric	Baseline	Target	Measurement Method
Integration of audit information from DEPT website with new solution	No integration	Integration of audit data from DEPT website	Verification of product features and configuration of data integration from solution to DEPT website

## 1.11 Business and Stakeholder Capacity

**1.11.1 Business Program Priorities** Yes No

Does this proposal share resources (state staff, vendors, consultants or financial) with other business program priorities within the Agency/state entity?

### 1.11.2 External Stakeholder Involvement

**1.11.3 New or Changes to Business Processes** Yes No

Does the Agency/state anticipate this proposal will result in the creation of new business processes?

Does the Agency/state entity anticipate changes to existing business process?

#### Web-based Complaint Submission:

There is a great opportunity to implement a web-based complaint form to allow the Public to submit sworn and unsworn complaints directly to a new electronic system. The system would manage and route incoming complaints using workflows to apply business rules throughout the business process.

#### Multi-Factor Authentication:

The new solution will provide enhanced access security by implementing multi-factor authentication. This capability is built-in to Force.com and Salesforce.

#### Business Process Workflows:

Business process workflows will be modernized to improve Intake, Review, and Reporting processes. The new system would provide for role-based access to manage assignment and review processes through the business

process.

## 1.12 Organizational Readiness

### 1.12.1 Governance Structure

Yes No

Does the Agency/state entity have an established governance structure for combined business and IT decision making, including information security and privacy?

#### **Governance Structure:**

Due to DEPT's small size (75 employees), the governance structure is very straightforward. On a weekly basis, Program and business decisions are identified by the Commission Chair in consultation with the Executive Director, Division Chiefs, and specific meetings are called to discuss issues, determine options, and select the appropriate course of action.

#### **IT Decision Making Process:**

Issues that involve Information Security and Privacy are reviewed by the CIO, ISO, and Legal teams to ensure that all recommendations comply with State SAM and SIMM policies related to Information Security and Privacy.

Recommendations for IT upgrades or program changes that involve IT are developed by the CIO in consultation with the Chief of Administration & Technology and the impacted Division Chief(s). Next, the recommendations are reviewed and approved by the Executive Director, Division Chief(s), and the Commission Chair.

### 1.12.2 Leadership Participation

Identify the levels of leadership that are aware of and engaged in addressing the business problem(s)/ opportunity(ies) identified in this proposal (check all that apply):

- Executive
- Senior Management Business/Program
- Mid-level Management Business/Program
- Senior Management IT
- Mid-level Management IT
- Enterprise Architect

#### **Leadership Levels:**

The following levels of leadership are aware of the need to replace the Law Implementation Database application and have been actively participating in the decision making process every step of the way:

#### **Commission Chair:**

Commission Chair, Jodi Remke has been the leader in setting the Commission's overall IT vision and objectives, prioritizing the Commission's IT projects and implementation timeframes, and has been involved in reviewing alternative case management solutions. Jodi will make the final selection of the new solution in consultation with the leadership team.

#### **Executive Director:**

Executive Director, William Knowledge has been leading the Commission's IT vision, prioritizing the Commission's IT projects and needs, and reviewing alternative case management solutions.

#### **General Counsel:**

General Counsel, Justice Fowler, has responsibility for review and advice relating to legal aspects of Information Security and Privacy policies and any other legal issues related to the project.

#### **Law Implementation Chief:**

Chief of Law Implementation, Jessica Fields has been the leader in identifying the Law Implementation Program's needs, reviewing alternative case management solutions, identifying business and functional

requirements for a new solution. Galena and her staff will be working with the CIO and Enterprise Architect to document the current business processes and designing new workflows and policies to improve efficiency of the Law Implementation Division.

**Administration & Technology Chief:**

Chief of Administration, Valerie Hinds has been the leader in implementing the Commission's Budgetary vision and spending priorities, identifying available funding sources for IT projects, and reviewing alternative case management solutions for this project. Valerie will be providing oversight and approval of budgetary and procurement functions performed by the Dan Villa and the rest of the Administration & Technology Division.

**Budget/Procurement/Contracting Officer:**

Budget Officer and Procurement and Contracting Officer, Dan Villa will be responsible for overseeing the CMAS Procurement and Contracting efforts.

**Chief Information Officer:**

Chief Information Officer, Glenn Riley has been involved in implementing the Commission's IT vision and objectives, helping to prioritize the Commission's IT projects and delivery schedules, and reviewing alternative case management solutions. Glenn will act as the Project Manager for this effort and he will also be leading the Requirements gathering and business analysis, writing the Statement of Work and RFO for the configuration efforts, as well as ensuring the overall solution and CMAS implementation effort are successful.

**Enterprise Architect:**

Enterprise Architect, August Jensen has been involved in working to stabilize the existing Law Implementation Database application. He has over 30 years experience with leading and implementing IT technology projects including Requirements development, application and system programming, database design and administration, and solution architecture. August will act as the key technical SME and will assist with architecting the solution, requirements development, and evaluation of CMAS vendor proposals.

**Information Security Officer:**

Information Security Officer, Doug Safe, is responsible for Network and Systems Security. He will be called upon to address issues related to Information Security and Privacy.

**1.12.3 Resource Capability/Skills/Knowledge for Stage 2 Alternatives Analysis    Yes    No**

Does the Agency/state entity anticipate requesting additional resources, through a budget request, to further study this proposal and/or perform procurement analysis?         

Of the Agency/state entity resources identified to perform Stage 2 Alternatives Analysis for this proposal, enter the number of staff who have had experience with planning projects of a similar nature.     

**Capacity, Skills, and Knowledge:**

**Project Manager:**

Glenn Riley, CIO, will act as the Project Manager for this effort and he will also be leading the Requirements gathering and business analysis, and the Solution procurement and CMAS implementation effort. Glenn has over 20 years of IT experience including software development, testing, and implementation of client-server applications and distributed database solutions.

**Database Administrator:**

The current DBA for the Law Implementation Database application is August Jensen and he has been involved in

working to stabilize the existing Law Implementation Database application. He has over 30 years experience with leading and implementing IT technology projects including Requirements development, application and system programming, database design and administration, and solution architecture. August will act as the key technical SME and solution architect.

**Business Subject Matter Experts (SME):**

At least 3 Law Implementation Division staff have been involved in the business analysis and requirements gathering for over 3 months. They have been very diligent about documenting the new workflows, gathering report requirements, and thinking about how the new solution needs to work. They will be responsible for reviewing the CMAS RFO, Statement of Work (SOW), and requirements. They will be responsible for user testing the implementation and reports, and providing detailed feedback to the CMAS vendor.

**1.12.4 Training and Organizational Change Management**

**Yes No**

With respect to the magnitude of this proposal, does the Agency/state entity have resources, processes, and methodologies in place to provide training and organizational change management services?

Does this proposal affect business program staff located in multiple geographical locations?    
 If "Yes," specify the city, state, number of locations and approximate staff in each location:

City	State	Number of Locations	Approximate Number of Staff
Any City	CA	1	40

**Resources, Processes, and Methodologies:**

Change Management and Training activities will be managed by the DEPT project team. This is a relatively small project, impacting about 40 users in a single unit. Key aspects to our approach will be a strong emphasis on business analysis, business process reengineering, and involvement of the users to make sure the case management workflows to be implemented in the solution have been properly reviewed and vetted by the eventual users. As discussed below, successful implementation will be dependent on user involvement, including getting the Law Implementation staff involved in design, testing and training activities.

**User Base Impacted:**

The current user base of the Law Implementation Database application is 40 users, with most users performing basic data entry and updates of complaint and case information. Since the Law Implementation Database application has only 290 fields and the information is limited to basic contact information and case status updates there would be minimal loss of productivity.

**Change Management:**

Change Management activities will initially be focused on identifying and documenting the Law Implementation Division's current business processes and workflows related to complaints and cases, and working with the Law Implementation Division staff to identify and reengineer their workflows to leverage the features of the proposed new solution. Additional activities will address management reports and dashboards and how those will be incorporated into workflows and staff management. When moving from paper-based, manual workflows to automated workflow processes Users are often challenged on many levels including planning, organizing, collaborating, and reporting their work.

The approach to Change Management will be developed by the Chief of Law Implementation, Jessica Fields, and the Chief Information Officer, Glenn Riley.

**Training Needs:**

A minimum of 8 hours of hands-on classroom training for each new user of the new solution will be required for all 40 users. Depending on Role, some users may require additional hands-on training such as for members of the IT Helpdesk who will be the System Administrators and tasked with User administration, first level User and

Application support, and configuration and support of dashboards and reports.

**Training Approach:**

Training needs for Law Implementation Users will be centered on Role-based activities, with initial training focused on familiarity of the product features, and then drilling down into step-by-step procedures for the new business processes. Law Implementation Users will need to understand the implementation of the Intake process, case management workflows (success and failure paths), navigation in the new product, and involvement in User Acceptance Testing of the new system to (1) test the product features and reports, (2) gain familiarity with navigation, (3) managing solo and team assignments, (4) printing and producing production reports and dashboards, (5) learning how to use case reminders and notifications, (6) using data and document management functions, (7) practicing and testing solo and team workflows, and (8) reporting system and user problems and requesting IT Helpdesk support. To the extent that the new solution provides an intuitive user interface the training needs can be reduced but not eliminated. Ongoing training for future new hires will be conducted by the Law Implementation Division. Formal Training and User Documentation will be critical deliverables for the CMAS vendor to provide during solution implementation.

**1.12.5 Enterprise Architecture**

**Yes No**

Does the Agency/state entity have a documented target (or future state) enterprise architecture that provides the overall business and IT context for this proposal?

**Roadmap and Vision:**

DEPT does not have a documented EA target or future state at this time, however the CIO and Enterprise Architect fully support adoption of cloud-based services that offer enhanced disaster recovery and business continuity protection. CALTECH approved solutions such as the CalCloud Salesforce or CalCloud Force.Com Enterprise Edition solutions are strongly preferred.

DEPT has identified three mission critical applications that directly support the mission and objectives of the Commission. These applications are: (1) the Public website, (2) the Statement of Economic Interests (SEI) database, and (3) the Law Implementation database. All of these applications are currently hosted at the DEPT Headquarters.

**Overall Impact on the Enterprise:**

The proposed solution would modernize the business processes of the 40-employee Law Implementation Division by allowing them to move to a system that integrates an online complaint system with a managed workflow application allowing DEPT to move toward a paperless case management system.

**Integration:**

Integration with other systems would be straight forward, relying on Application Programmatic Interfaces (API) that are built-in to almost all of the industry leading solutions.

The following integrations would rely on APIs (interfaces) to exchange data:

- 1) DEPT's Public Website web-complaint submission form
- 2) Microsoft Exchange email server (to coordinate calendars and email)
- 3) Third party electronic signatures such as DocuSign

Future integration with the Form 700 online filing solution would allow direct data feeds of as-filed data to complaint and case records, but this would be a later phase since the Form 700 project is not yet in the Procurement stage.

**1.12.6 Project Management**

Project Management Risk Score:

39.5

### 1.12.7 Data Management

Yes No

- |  |                          |                          |
|--|--------------------------|--------------------------|
| 1. Does the Agency/state entity have an established data governance body with well-defined roles and responsibilities to support data governance activities? | <input type="checkbox"/> | <input type="checkbox"/> |
| 2. Does the Agency/state entity have data governance policies (e.g., data policies, data standards, etc.) formally defined, documented and implemented?      | <input type="checkbox"/> | <input type="checkbox"/> |
| 3. Does the Agency/state entity have data security policies, standards, controls, and procedures formally defined, documented and implemented?               | <input type="checkbox"/> | <input type="checkbox"/> |

DEPT has identified three mission critical applications that directly support the mission and objectives of the Commission. These applications are: (1) the Public website, (2) the Statement of Economic Interests (SEI) Database application, and (3) the Law Implementation Database application. The SEI Database and Law Implementation Database are running on Microsoft SQL Server 2008. There is very little data in common.

Data governance is managed by DEPT's Database Administrator (DBA) who is responsible for documenting and implementing data governance, data security, security policies and standards.

As part of the Law Implementation Database Application Modernization project, outdated documentation of the data governance and data security policies, standards, and controls will be produced to align the existing systems with the new solution.

### Department of Technology Use Only

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<b>Form Disposition Date</b>	10/16/2015