



# 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:

Case Management System (CMS)

Proposal Description:

CDT proposes to replace an existing Case Management System to investigate discrimination complaints, thus carrying out a statutory mandate to prevent employment, housing and public accommodation discrimination, and hate violence in the department.

Proposed Start Date:

July, 2016

Delegated Cost Threshold (Optional):

Over  Under

Department of Technology Project Number:

7502-999

## 1.2 Submittal Information

Contact Information:

Contact First Name:

Andy

Contact Last Name:

Nelson

Contact Email:

Andy.nelson@CDT.CA.GOV

Contact Phone Number:

(916) 999-0001

Submission Date:

8/17/2015

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. Does the Agency/state entity anticipate requesting a budget action to support this proposal?
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?
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?

**Anticipated Reportability**

Is this proposal anticipated to be reportable?

**Planned Reporting Exemption**

Does the Agency/state entity anticipate seeking an exemption from project reporting?    
 (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?

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

**FUND AVAILABILITY DATE**

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

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.
3. Is this proposal anticipated to have high public visibility? If "Yes," provide details in Section 1.9 Business Problem or Opportunity Summary.
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

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**1.4 Business Sponsor and Key Stakeholders**

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**Executive Sponsors**

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Title	First Name	Last Name	Business Program Area
Director	Wilma	Kent	CDT
Chief Deputy Director	Dennis	Mulligan	CDT

### Business Owners

Title	First Name	Last Name	Business Program Area
Chief	Michelle	Smith	Enforcement
Chief	Phillip	Bolls	Dispute Resolution Division
Chief	Mark	Williamson	Legal Division

### Key Stakeholders

Title	First Name	Last Name	Business Program Area/Group	External
Chief	Fred	Lowe	Policy and Education	<input type="checkbox"/>
Chief	Maximus	Joham	Communications	<input type="checkbox"/>
Chief	Jessica	Pieri	Administration	<input type="checkbox"/>
Chief	Andy	Nelson	Information Technology Services	<input type="checkbox"/>
Chairperson	Tatiana	Thorn	Equal Employment Opportunity Council	<input type="checkbox"/>
Chair	Chuck	Yazi	Equal Employment Opportunity Commission	<input type="checkbox"/>
Secretary	Brenda	Colleti	Housing and Urban Development	<input type="checkbox"/>
			Public	<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

The scope of the analysis includes the major program activities covered by the CDT's statutory mandate to protect the department from discrimination in employment, housing and public accommodations, and hate violence. The CDT receives, investigates, conciliates, and prosecutes complaints of alleged violations of the Equal Employment Opportunity Act, the Unruh Civil Rights Act, Disabled Persons Act, and Ralph Civil Rights Act. Violations of these statutes generally involve discrimination in employment, housing, public accommodations, and hate violence.

The CDT receives approximately 10,000 discrimination complaints per year. Employees generally initiate complaints in three ways: 1) The CDT Web site, 2) Phone calls to the CDT Communication Center, and 3) Submitting a written complaint. This proposal affects the processes for all three intake methods and the subsequent handling of all complaints. Half of all complainants immediately request the Right to Sue letter from CDT to seek redress in court. CDT investigates the remaining 10,000 complaints.

Within CDT there are three major business programs, and they are the subject of this business case analysis:

1. Enforcement Division
2. Dispute Resolution Division, and
3. Legal Division

The Enforcement Division is the investigatory arm of the Department. This division receives, investigates, conciliates and recommends for prosecution cases of employment and housing violations under the Equal Employment Opportunity Act (EEOA), housing and public accommodation violations under the Unruh Civil Rights Act (Unruh), denial of accessibility issues under the Disable Persons Act (DPA) and complaints alleging threats or acts of violence under the Ralph Civil Rights Act (Ralph). The complaint process allows for early resolution of matters through voluntary mediation. Should the investigation find sufficient evidence that a violation occurred, the matter is referred to the CDT Legal Division to explore mandatory mediation or, if applicable, issue civil action. The Enforcement Division is housed in all five CDT district offices (Sacramento, Rancho Cordova, and Vacaville). The division is managed by the Chief of Enforcement.

The Dispute Resolution Division (DRD) of the CDT provides confidential voluntary mediation services to parties whose complaints of discrimination are referred for mediation by the Enforcement Division. The DRD also mediates complaints of discrimination referred by the Legal Division for mandatory dispute resolution prior to filing a civil action in court. In all mediated cases, the DRD assists the parties to define issues of mutual concern, develop options, and find a mutually agreeable solution, which leads to closure of the CDT complaint. The DRD has staff in the Sacramento, Vacaville, and Rancho Cordova offices, and is managed by the Chief of Dispute Resolution.

The Legal Division advises the Enforcement Division staff, including reviewing cases for possible prosecution. In addition, the Legal Division engages in mediations and other forms of alternative dispute resolution, files and

prosecutes lawsuits, prepares and files legal briefs, and advises all other divisions of the Department on legal issues that arise in the day-to-day operation of the Department. Additionally, the Legal Division acts as in-house counsel representing the Department in administrative and civil complaints filed by employees and third parties against the Department. Finally, the Legal Division is responsible for the Compliance program and responds to Public Record Act (PRA) requests. The Legal Division staff is housed at Rancho Cordova and Sacramento offices. The division is managed by the Chief Counsel and an Assistant Chief Counsel in each office.

The Information Technology Services Division is responsible for supporting technology to run the CDT business operations.

The CDT complaint process includes basic jurisdictional screening before the complainant submits an inquiry, and the inquiry is submitted in accordance with what type of violation complainant is alleging (employment, housing, RALPH, UNRUH or Disabled Persons Act). The CDT investigator conducts an interview with each complainant, based on the information in the inquiry, and decides whether to proceed forward with accepting a complaint for investigation. Cases that are not in the Department's scope or jurisdiction are rejected; on rejected employment cases, the complainants are offered a complaint for filing purposes only. For accepted complaints, the investigator prepares a complaint for complainant's signature. Once a signed complaint is received, it establishes a filing date for the complaint. The complaint is then served on Respondent(s) via certified mail.

Before obtaining a formal response to the complaint from the Respondent, the investigator can refer the case to DRD for mediation or attempt a "Pre-Determination Settlement". If settled by DRD or an investigator, the case is closed.

If the case does not settle, an investigator investigates the alleged acts of discrimination, harassment, and/or retaliation to determine if the case has merit (i.e. a violation occurred). The investigator does so by obtaining and reviewing documents, interviewing witnesses, and potentially going on-site to review the location where the alleged act(s) occurred. If the investigator determines there is insufficient evidence or no probable cause to prove a violation of the law, the case is closed. The complainant can also elect to withdraw the case at any point in the investigation. Cases with merit are reviewed by an assigned staff counsel from the Legal Division who determines if the case should be referred to the Legal Division for possible filing of a civil complaint. Before filing the complaint, the Legal Division must refer the matter to the DRD for mediation. The DRD then assigns a mediator to conduct the mandatory mediation. If the mediation is successful, the Legal Division will monitor the terms of the settlement agreement, including payment of any monies owed and affirmative relief, and then will close the case once all terms of the settlement agreement have been satisfied. If the mediation is unsuccessful, the Legal Division will file a civil complaint in Superior or Federal Court. If the Legal Division does not file a civil complaint, the case will be closed. The litigation process continues until a judgment is issued or the case settles. Approximately 80% of cases are settled during the litigation process. If a settlement is not reached, the case goes to trial and a final judgment is made in civil court.

CDT utilizes current case management system (Destiny) to electronically track and manage complaints through a lifecycle of filing, investigation, mediation, litigation, and closure. Business program areas use Destiny functions for determining case status, assign cases through workflows and triggers, track events and notes, generate documents and letters, upload documents, create alerts, search cases, and run reports.

## 1.8 Strategic Business Alignment

Strategic Business Goals	Alignment
Provide fair, accurate, and timely resolution of complaints filed with CDT	The CMS will help achieve CDT's goal to provide fair and accurate resolution, and will analyze methods and options to reduce the timeframe for underlying processes. Business problems/opportunities number 1, 2, 3, 4, 5, and 8 align well

	with this business goal.
Create a positive and productive work environment for our employees.	Addressing problems/opportunities 1, 2, 3, 4, 5, and 7 will contribute in achieving this goal of maintaining employees' high morale, positive attitude, and increased work productivity.
Increase public's awareness of their rights and responsibilities under the law.	The CMS will provide public with the online access to the case related statistics, laws and regulations, and disseminates information on public's rights and responsibilities. CMS would address problems/opportunities 2,3, 5, 7, and 8 which is in alignment with this business goal.
Help foster an environment in California that is free of discrimination.	The CMS System would be able to help foster an environment free of discrimination by addressing 1,2, 3, 5, 6, and 7 business problems/opportunities, thus supporting CDT achieve its mission.
Manage our programs in an efficient and effective manner.	With effective communication, keeping employees engaged, and providing them with an efficient system, CMS will address all the problems and opportunities in this proposal.
<b>Strategic Plan Last Updated</b>	7/1/2015

## 1.9 Business Problem or Opportunity Summary

The vendor for the current Case Management System (Destiny) has notified CDT that his company will not renew the contract or provide support at the conclusion of the existing contract, which expires December 2017. The current contract was initially scheduled to expire in June 2016; however, the CDT negotiated with the vendor to extend the support for another year and half so the Department has sufficient time to request funds and procure a new solution. While the vendor agreed to the extension, he has informed us that services may be extended no more than 12 months beyond the December 2017 date.

The CMS is a mission critical application for the Department, and losing it will be catastrophic without a replacement system. Lack of a system would require the CDT to revert to an untenable paper-based process, which would be extremely time consuming, laborious, and ineffective in meeting the needs of CDT constituents and fulfilling the Department's statutory mandate. CDT utilizes Destiny to manage the complaints through its lifecycle of investigation, mediation, litigation, and closure.

CDT implemented Destiny in May 2012 and began to allow online complaint filing by public complainants or their representatives, along with the ability to submit Public Records Act and Right-to-Sue requests. Since its implementation in 2012, CDT has experienced multiple issues with the system including insufficient business functionality, performance, data integrity, vendor support, and reporting. Current vendor is unable to incorporate CDT's critical business functions to make the system efficient and reliable for CDT's business use.

After the conclusion of current contract, continuing without a system would cause tremendous unsound, manual work processing resulting in frustration, inadequate staff performance, low employee morale, and very poor customer service. Lack of system will impact CDT's critical business of enforcing California's civil right laws. By not pursuing this proposal, the Department would need to revert to manual and paper intensive processes which would require significant hiring of more staff. Without an efficient and streamlined automated CMS, CDT will be unable to carry out its statutory mandates in a timely and effective manner.

Security - The current system's interface is not encrypted to ensure that public and internal CDT staff data is being transmitted through a secure encrypted communication channel. There is an opportunity with a new system to implement an end-to-end encryption or approved compensating security control(s) used to protect confidential, sensitive, or personal information that is transmitted or accessed outside the secure internal network (e.g., email, remote access, file transfer, Internet/website communication tools) of the state entity.

Americans with Disabilities Act (ADA) compliance – website accessibility

The ADA (and analogous state law) requires that CDT provide individuals with disabilities equal access to programs, services, and activities. These requirements would be built into the new CMS at the out-set to ensure compliance with the ADA. In the new system, individuals with disabilities would be able to navigate through the interface and file their complaint effortlessly.

## 1.10 Business Problem or Opportunity and Objectives Table

### ID Problems or Opportunities

1	<p><u>Manual processes and Inefficiencies</u></p> <p>Manual workflow will require extensive turnaround times for the enforcement, mediation, and legal activities in order to enter, prepare, track and report complaint information. This would lead to an increased chance of errors and longer complaint processing times and inability to electronically track and report on all complaint lifecycle information such as Right-to-Sue letters, communication center calls, events tracking, document management, templates, and appointments. Other business functions that will be impacted include, but are not limited to CDT's ability to:</p> <ul style="list-style-type: none"> <li>- Manage cases and compile information across all five CDT offices</li> <li>- Determine status of complaints and communications between staff, complainants, respondents, and attorneys</li> <li>- Electronically determine when staff attorneys are available during particular timeframes, in specific locations and/or with specific expertise</li> <li>- Conduct conflict checks on complaint cases if Complainants and Respondents are being represented by the same attorney(s)</li> <li>- Run reports</li> <li>- Electronically associate all pertinent case documents within case files</li> <li>- Prevent duplication of effort and minimize potential errors</li> <li>- Provide custom alerts or events for case assignment, attached documents, or status changes</li> <li>- Create automated notification letters for correspondence to Complainants and Respondents</li> <li>- Filter and search for cases</li> <li>- Balance case workload</li> </ul>
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### Obj # Objective

1.1	By June 2017, implement new CMS with 95% system uptime.
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Metric	Baseline	Target	Measurement Method
System uptime	70%	95%	System performance reports from internal and external users of the Case Management System.

### Obj # Objective

1.2	By December 2017, enable 100% of auditing and versioning of case matters to ensure all the work and changes are tracked and documented so timely support is provided to complainants.
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Metric	Baseline	Target	Measurement Method
Case audit trail data and versioning	20%	100%	Audit and statistical reports.

## ID Problems or Opportunities

2	<p><u>Reporting/Data Analysis</u></p> <p>CDT is legally required to complete cases within specified time periods. The U.S. Equal Employment Opportunity Commission (EEOC) requires CDT to complete all cases within a one year statute of limitations (SOL) and the U.S. Housing and Urban Development (HUD) requires CDT to file a civil action within 100 days from the case filing date. With manual registers and files, it would be enormously difficult to track cases and report on which ones are approaching the SOL by location, case type, or any other basis. Without such reporting capability, investigators would have to manually review each case to determine the SOL.</p> <p>CDT would be unable to respond quickly to control agency and legislative requests for information. Manually collecting such information would require inordinate staff time. The requested data would have to be manually extracted from logs and other records in multiple offices.</p> <p>Further, it would be difficult to collect and analyze data on the cases for purposes of improving our internal policies and processes. It would also be difficult to respond to the 300-400 PRA requests the CDT receives each month. CDT would have to manually collect and tediously assemble such data. Staff would also have difficulty retrieving limited data to provide accurate information to meet the mandated reporting requirements of the Equal Employment Opportunity Commission (EEOC), Housing and Urban Development (HUD), and others.</p>
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### Obj # Objective

2.1	By June 2017, provide 90% of data analysis and reporting capabilities to run complaint, employment, housing, and litigation statistical data reports.
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Metric	Baseline	Target	Measurement Method
Number and type of reports	20%	90%	Ad-hoc reporting capability and number of reports.

### Obj # Objective

2.2	By December 2017, reduce the time to provide requested data to media requests by 75% for the cases against a particular company, a public official, or a public case.
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Metric	Baseline	Target	Measurement Method
Number of hours	300hrs/report	75hrs/report	PRA records reports.

## ID Problems or Opportunities

3	<p><u>Public Records Act (PRA)</u></p> <p>CDT receives approximately 350-400 Public Records Act requests per month. Without a CMS, it would require an enormous amount of resources and staff time for file retrieval, copying, billing, redacting, mailing correspondence, etc., and thus adding huge program costs to process the requests.</p> <p><u>Litigation</u></p> <p>Without a CMS, the CDT Legal division would not be able to efficiently track litigation expenses and the attorneys' activities for attorney fees purposes. This is important because CDT collects legal fees as part of a settlement or judgment in some cases. CDT staff would be using manual logs to calculate attorneys' fees, litigation expenses, and to monitor settlement agreements.</p>
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**Obj # Objective**

3.1	By December 2017, implement a system so Legal Division can continue to respond to PRA requests within the timeframe as stated by public records act law.
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Metric	Baseline	Target	Measurement Method
Number of days	10 days	10 days	PRA requests report

**Obj # Objective**

3.2	By December 2017, implement Legal billing functionality so the Legal Division can keep track of all litigation expenses and attorneys' billing hours.
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Metric	Baseline	Target	Measurement Method
Billing hours	0%	100%	Billing and Invoicing reports

**ID Problems or Opportunities****4 Data Migration**

CDT must have a system in place prior to completion of existing vendor's contract so all of the Department's existing data and documents can be correctly optimized and moved over to a new system. This is of paramount importance since there are always 3,400 active cases in the system. Losing the ability to access CDT's data would be catastrophic as staff would not be able to access case documents, events, or meeting notes.

**Obj # Objective**

4.1	Within a month of the CMS implementation date of June 2017, ensure 100% of the current case data is migrated into the new CMS.
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Metric	Baseline	Target	Measurement Method
Case data	0%	100%	Case statistical Reports

**ID Problems or Opportunities****5 Limited business functionality**

The current Destiny system does not meet all of the CDT business requirements in several areas. Implementation of the new system will offer the opportunity to fully meet business requirements, including:

**Appointment System:**

There is an opportunity to add an Appointment system so filers can schedule their appointments based on the available times. An Appointment system would prioritize appointments based on language, disability, or statute of limitations needs. Currently there are nearly 900 cases in the holding queue to be assigned in the current system.

**Language Support:**

CDT regulations call for multiple language support for filing discrimination complaints. Currently, complainants do not have an option to select their preferred choice of language when filing a complaint during the intake process. This causes frustration and delay in assigning an investigator who speaks the

same language as the complainant, further delaying the investigation.

**Document Uploading:**

The current system lacks the functionality for the public to upload their case documents directly through the portal. Documents must be sent to the assigned consultant a few at a time and then saved into the system causing unnecessary, time consuming work.

**External Interfaces:**

CDT staff must enter complaint information into Destiny and then cut and paste the same information into HUD's federal system. For the other federal partner, the EEOC, CDT staff must input information from scratch. Redundant data entry results in longer processing time and introduce a greater chance of errors and omissions.

**Obj # Objective**

5.1 Within six months after CMS implementation, implement an Appointment system as part of the CMS to schedule 90% of the appointments for the complainants.

Metric	Baseline	Target	Measurement Method
Number of filings or appointments in the queue	900	100	Case Filing reports

**Obj # Objective**

5.2 Implement a functionality to select a preferred choice of language so complainant can be assigned to the appropriate investigator.

Metric	Baseline	Target	Measurement Method
Number of cases with special language needs	0%	100%	Case Filing reports

**Obj # Objective**

5.3 Implement a functionality for the public to upload their case documents directly through online portal.

Metric	Baseline	Target	Measurement Method
Number of uploaded documents per case	0%	100%	Case Status Reports

**Obj # Objective**

5.4 By December 2017, implement interfaces to export complaint information data into federal HUD and EEOC systems.

Metric	Baseline	Target	Measurement Method
Number of cases uploaded into federal systems	0%	100%	Federal compliance reports

**ID Problems or Opportunities**

6 Security  
 The current Destiny system interface does not have a secure encrypted communication channel from the web browser to vendor's website. There is an opportunity with a new system to implement an end-to-end

encryption or approved compensating security control(s) used to protect confidential, sensitive, or personal information that is transmitted or accessed outside the secure internal network (e.g., email, remote access, file transfer, Internet/website communication tools) of the state entity.

**Obj # Objective**

6.1 By June 2017, implement a 100% secured encrypted communication channel to protect confidential, sensitive, and personal data transmission between users and the CMS.

Metric	Baseline	Target	Measurement Method
Secured connections	0%	100%	Compliance reports

**ID Problems or Opportunities**

7 508 Americans with Disabilities Act (ADA) compliance – website accessibility  
 The ADA requires that CDT provide individuals with disabilities equal access to programs, services, and activities. These requirements would be built into the new CMS at the on-set to ensure compliance with the ADA.

**Obj # Objective**

7.1 By June 2017, ensure the new CMS system is at least 95% compliant with the 508 ADA regulations.

Metric	Baseline	Target	Measurement Method
Number of compliant findings on the website	50%	95%	Website accessibility 508 compliance report.

**ID Problems or Opportunities**

8 Compliance program  
 CDT requires an interface for contractors to submit to Office of Compliance Program a copy of their most recent Non-Discrimination Program. The information submitted by State agencies regarding contracts awarded over \$5,000 should be stored in a searchable database, serving as an invaluable resource to CDT in its investigation for contractor's compliance. There is an opportunity to add this functionality into the new system to provide document management system and searchable database to fulfill CDT's business need.

**Obj # Objective**

8.1 By December 2017, implement a function that provides searchable database and reporting of State contracts and a user-friendly external interface for contractors who are under review.

Metric	Baseline	Target	Measurement Method
Number of Functions and reports	0%	100%	Features and functions in the system.

**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

Advocates for complainants and respondents use the CDT online system to file complaints, check the status of the complaints, and file PRA requests. CDT has been working with external stakeholders to ensure requirements are clearly articulated to incorporate into the proposed solution. The CDT is required to enter complaint information into U.S. Housing and Urban Development's TEAPOTS system. CDT will work with the federal government to allow importing of data from the proposed solution into the HUD system. CDT will also work with EEOC in determining their interface requirements.

### 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?

The high level business processes will not change.

## 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?

CDT has an established governing process comprised of CDT program area executives as steering committee members. The steering committee has an overall responsibility for the business and IT governance. The roles, responsibilities, and performance criteria for the project governance are clearly defined. To attain a specific decision for a project, subject matter experts are assigned to assess and review the issue, and to make a timely decision. Governance decisions are made, recorded, and communicated to all stakeholders. The project will have clearly defined criteria for project status reporting, and for the escalation of risks and issues to the levels required by the Department. The CDT fosters a culture of improvement and of a frank internal disclosure of project information along with the stakeholders who are engaged at a level that is commensurate with their importance to the CDT. CDT ISO is actively involved, and has extensive experience to ensure that the project adheres to security and privacy guidelines, and compliance.

### 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

CDT executive team, also a steering committee is comprised of Director, Chief Deputy Director, and Deputy Directors from all business program areas along with the Chief of Information Technology Services Division. Each of the program area Chiefs have identified a key subject matter expert from his or her Division who are the key

members of a project team. All levels of management in business program areas and IT are aware of this effort, and are fully engaged to address any concerns or provide any assistance. In addition to management, CDT key staff is also involved and participates fully in providing input to the project.

**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.     

The Department's CIO is involved in the alternative analysis who has more than 20 years experience in IT Operations, managing projects, and oversight of IT projects. Department's CIO is also PMP certified professional.

The Business Analyst/Project Manager has more than 30 years of experience in managing business programs, team facilitation, leadership, project execution, organizational development, and customer service.

**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
<input type="text" value="Rancho Cordova"/>	<input type="text" value="CA"/>	<input type="text" value="1"/>	<input type="text" value="77"/>
<input type="text" value="Sacramento"/>	<input type="text" value="CA"/>	<input type="text" value="1"/>	<input type="text" value="65"/>
<input type="text" value="Vacaville"/>	<input type="text" value="CA"/>	<input type="text" value="1"/>	<input type="text" value="26"/>

The CDT will be building an extensive training plan with the vendor to ensure staff is aware of the changes and how their process and procedures may get impacted. CDT plans to have multiple sessions via onsite and web based training, provide before and after process gap documentation, and conduct evaluation criteria to ensure staff is adequately trained. The CDT plans to implement a comprehensive strategy for change readiness assessment utilizing success factors as below:

- Strong and visible executive sponsor support.
- A professional and capable project team.
- A project team with staff dedicated to the project supported by subject matter experts who understand and represent the organization.
- A general understanding of the need for, and the goals of the project among its stakeholders

**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?

The CDT IT Division is currently in the process of building the IT portfolio. To support our business programs areas, CDT will ensure business and IT are working in conjunction to get ready for future growth. The CDT will ensure IT is properly equipped to support growing business needs.

### 1.12.6 Project Management

Project Management Risk Score: 0.8

### 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"/>

The CDT has completed data governance plan and is now in the process of building a detailed data classification table with its respective owners for each data type. This will assist in making decisions on data governance activities. CDT is working on building a complete portfolio of data assets and data strategy. The CDT Information Security Office is in the process of building Data Quality Management components and related artifacts. The CDT implemented security policies and procedures that provide for proper authentication, authorization, and access to data and information. By defining policies, processes, and standards necessary to support the CMS project, the decision framework will be established to drive data management decisions. Department assumes complete responsibility of expanding the data management decision rights, updated policies, processes, and standards department wide.

## Department of Technology Use Only

<b>Original "New Submission" Date</b>	8/27/2015
<b>Form Received Date</b>	11/10/2015
<b>Form Accepted Date</b>	11/12/2015
<b>Form Status</b>	<u>Management Review</u>
<b>Form Status Date</b>	11/20/2015
<b>Form Disposition</b>	Approved with Conditions
<b>Form Disposition Date</b>	12/1/2015