# Stage 1 Business Analysis

California Department of Technology, SIMM 19A.3 (Ver. 3.0.8, 02/01/2022)

## 1.1     General Information

1. **Agency or State entity Name: 3600 - Fish and Wildlife, Department of**

   If Agency/State entity is not in the list, enter here with the organization code.

   Click or tap here to enter text.

2. **Proposal Name and Acronym: Environmental Review and Permitting Project**

3. **Proposal Description: (Provide a brief description of your proposal in 500 characters or less.)**

   The California Department of Fish and Wildlife (CDFW) proposes to update the statewide online permitting systems, Environmental Permit Information Management System (EPIMS) and Scientific Collecting Permit Portal (SCPP). The scope will also include improving operational efficiency in management of environmental permits by supporting other critical Environmental Review processes including online application and tracking of California Endangered Species Act (CESA) Take Permits whose tracking platform known as Project Tracking is no longer supported. The goal of this project is to create one system that can incorporate these systems.

4. **Proposed Project Execution Start Date: 3/1/2023**

5. **S1BA Version Number: Version 1**

## 1.2     Submittal Information

1. **Contact Information**

   Contact Name: Beth Jackson

   Contact Email: beth.jackson@wildlife.ca.gov

   Contact Phone: (916) 995-2105

2. **Submission Type: New Submission**

   If Withdraw, select Reason: Choose an item.

If Other, specify reason here: Click or tap here to enter text.

**Sections Changed, if this is a Submission Update: (List all sections changed.)**

Click or tap here to enter text.

**Summary of Changes: (Summarize updates made.)**

Click or tap here to enter text.

3. Attach **Project Approval Executive Transmittal** to your email submission.

4. Attach **Stage 1 Project Reportability Assessment** to your email submission.

## 1.3    Business Sponsorship

1. **Executive Champion (Sponsor)**

   Title (program): Deputy Director (Acting)

   Name: Julie Vance

   Business Program Area: Ecosystem Conservation Division

   Title (IT): Deputy Director

   Name: Stephen Adams

   Business Program Area: Data and Technology Division

2. **Business Owner**

   Title: Chief

   Name: Jeff Drongesen

   Business Program Area: Habitat Conservation Planning Branch

   Title: Cannabis Program Manager

   Name: Jennifer Nguyen

   Business Program Area: Cannabis Program

   Title: Natural Resources Development Supervisor

   Name: Christian Lazo

   Business Program Area: IT Natural Resources Development Unit

3. **Product Owner**

Title: Environmental Program Manager

Name: Isabel Baer

Business Program Area: Habitat Conservation and Planning Branch

Title: IT Environmental Specialist

Name: Kristin Wenzel

Business Program Area: ITGSB, PM Unit

## 1.4 Stakeholder Assessment

The Stakeholder Assessment is designed to give the project team an overview of communication channels that the state entity needs to manage throughout the project. More stakeholders may result in increased complexity to a project.

1. **Indicate which of the following are interested in this proposal and/or the outcome of the project. (Select 'Yes' or 'No' for each.)**

   State Entity Only: Yes

   Other Departments/State Entities: No

   Public: Yes

   Federal Entities: No

   Governor's Office: No

   Legislature: No

   Media: No

   Local Entities: No

   Special Interest Groups: No

   Other: No

2. **Describe how each group marked 'Yes' will be involved in the planning process.**

   The stakeholders will consult, inform, and elicit information as part of the planning process. The stakeholders will assist with defining business requirements. The stakeholders will be required to make project decisions, attend project meetings throughout the project life cycle, and provide subject matter experts as needed. The stakeholders will also be consulted during the roll-out of a solution.

## 1.5 Business Program

1. Business Program Name: Lake and Streambed Alteration Program (EPIMS)

2. Program Background and Context: **(Provide a brief overview of the entity's business program(s) current operations.)**

EPIMS was developed to help automate the Lake and Streambed Alteration (LSA) Notifications (Applications) for Cannabis Cultivation Permitting and has since been expanded to automate and track most types of LSA Notifications received.  CDFW customized a grants-based system to fit the permitting process for LSA Notifications.  Because the grants-based system was not meant to be a solution for any permitting process, there were many issues implementing this new software solution.  The user interface is difficult for external and internal users to navigate. CDFW staff have found workarounds to be able to process and approve LSA Notifications within the statutory timeline and are limited in their ability to query data required in legislative reporting. Currently, staff must spend hours developing modules from other data management systems such as Power BI and RCode to pull data from EPIMS. The limitations of the grants-based software do not support the functional development of additional online permitting modules for other Environmental Review and Permitting processes or their internal tracking. To ensure operational changes are being met, a new software application is required.

3. How will this proposed project impact the product or services supported by the state entity?

The proposed solution will modernize the permitting process for lake and streambed alterations for both internal and external users by allowing them to utilize a more streamlined and user-friendly system.  With a new, updated software solution for EPIMS, the Department would be meeting our four strategic business goals published in CDFW's Strategic Plan.

4. **Business Program Name:** Scientific Collecting Permit Program

5. **Program Background and Context:** (Provide a brief overview of the entity's business program(s) current operations.)

Due to new regulatory and operational changes, effective October 1, 2018, a SharePoint-based software application was created and implemented to track and process Scientific Collecting Permit applications. Fish and Game Code (FGC) sections 1002, 1002.5, and 1003 authorized the California Department of Fish and Wildlife to issue permits for take or possession of various wildlife for scientific, educational, and/or propagation purposes.  The Department implements this authority through Section 650, Title 14, or the California Code of Regulations (CCR) by issuing Scientific Collecting Permits to take or possess wildlife for such purposes.  As such, a robust system is required to allow for permitholders to submit and track permit applications, Department scientists to review and process permit applications, and to allow for communication between permitholders and department staff all via automated workflows, notifications, and reporting.

As a result of the many documented issues in SCPP, department staff had to find workarounds to be able to process and approve permit applications within the regulated timeframe allotted.  Many times, these regulated processing time requirements have not been met due to system issues.  To ensure the new regulations and operational changes are being met, a new software application is required.

6. **How will this proposed project impact the product or services supported by the state entity?**

The proposed solution will modernize the permitting process for scientific collecting for both internal and external users by allowing them to utilize a more streamlined and user-friendly system. With a new, updated software solution for SCP, the Department would be meeting our four strategic business goals published in CDFW's Strategic Plan.

7. **Business Program Name:** Project Tracking

8. **Program Background and Context:** (Provide a brief overview of the entity's business program(s) current operations.)

Project Tracking is an in-house developed program designed to catalog and track Environmental Review and Permitting workload and projects including LSA, CESA, California Environmental Quality Act (CEQA) document comments, and Timber Harvesting Plans (THPs) under review. Project Tracking is no longer supported or compatible with current IT requirements. Project Tracking was supported by limited GIS/mapping compatibility and data queries from were supported by an internal Data Portal. Many efforts were made to update Project Tracking over time; however, it wasn't until the development of EPIMS that tracking of LSA Notifications migrated to a new system. Without Project Tracking there is no centralized database for internal tracking of CESA Take Permits, CEQA documents or THPs. The EPIMS platform is not flexible enough to meet the needs of the other Environmental Review and Permitting Programs, including external user compatibility for CESA take permit applications and external user tracking.

9. **How will this proposed project impact the product or services supported by the state entity?**

The proposed solution will modernize CDFW's tracking of environmental projects and workload for both internal and external users by allowing them to utilize a more streamlined and user-friendly system. With a new, updated software solution for SCP, the Department would be meeting our four strategic business goals published in CDFW's Strategic Plan.

*TIP: Copy and paste or click the + button in the lower right corner to add Business Programs, with background and context and impact descriptions as needed.*

# 1.6    Project Justification

1. **Strategic Business Alignment**

   **Enterprise Architect**

   Title: Enterprise Architect

   Name: Brian Leon


   Strategic Plan Last Updated? 4/15/2012

   Strategic Business Goal: Strong Relationships with Other Agencies, Governments, Organizations, and the Public

Alignment: The Environmental Permitting System project will provide an updated user interface to allow the public to submit and manage SCP applications and receive a CDFW response. An updated user interface will also allow CDFW staff to engage in timely and transparent responses and/or approvals of the public's EPIMS and/or SCP permit request. The current interface is prone to glitches and system slowdowns which can frustrate the users and discourage them from submitting applications.

Strategic Business Goal: Highly Valued Programs and Quality Services

Alignment: The Environmental Permitting System project will provide an updated, functionally integrated data management system to efficiently perform routine tasks associated with job duties; and help to improve the permitting process, consistent with code, regulations, and policy requirements, by gathering permit-related data into one location which will allow users to make more informed decisions regarding the issuance of EPIMS and SCP permits.

Strategic Business Goal: An Effective Organization

Alignment: Not only will an updated integrated Environmental Review and Permitting System allow CDFW to serve the public more effectively in managing SCP applications and permits, but the large amount of data collected by the system will increase CDFW's ability to monitor what and where wildlife is most impacted by EPIMS and SCP permits across California and will help mitigate any negative impact of wildlife species.

Strategic Business Goal: An Effective Organization

Alignment: An integrated data management system will streamline the both the EPIMS and SCP permitting process. Utilizing a data management system will allow for EPIMS and SCP applications to be routed and assigned to the appropriate CDFW program and allow the program to manage their workload effectively. An updated system will allow CDFW staff to provide accurate reporting of data to the Department and public as needed. Improvements to the database and search functions will also allow staff to respond to Public Record Act requests more efficiently.

**Mandate(s):** State

Bill Number/Code, if applicable: Fish and Game Code section 1602

Add the Bill language that includes system-relevant requirements:

Fish and Game Code section 1602 requires any person, state or local governmental agency, or public utility to notify CDFW prior to beginning any activity that may do one or more of the following: Divert or obstruct the natural flow of any river, stream, or lake; Change the bed, channel, or bank of any river, stream, or lake; Use material from any river, stream, or lake; or Deposit or dispose of material into any river, stream, or lake.

Bill Number/Code, if applicable: Title 14, CCR section 650

Add the Bill language that includes system-relevant requirements:

§ 650. Scientific Collecting Permits: Permits to Take or Possess Wildlife for Scientific, Educational, and/or Propagation Purposes.

(a) General Provisions. Except as otherwise authorized by the Fish and Game Code or regulations adopted pursuant thereto, it shall be unlawful for any person or entity to take and/or possess live or dead wildlife, or parts thereof in any part of the State of California, for scientific, educational, and/or propagation purposes except as authorized by a permit issued by the department pursuant to this Section. It shall be unlawful for any person operating under a permit issued pursuant to this Section to violate any authorizations, conditions, or terms of the permit, or otherwise fail to comply with, or violate, this Section.

Section 650(e)(1):

(e) Application and Review Procedures.

(1) Applicants for a permit shall utilize those forms listed in subsection 703(c) of these regulations. Application forms are available on the department's internet web site: www.wildlife.ca.gov. Applications shall be submitted in an electronic format when available; no handwritten applications shall be accepted. Name(s) of all persons listed on the permit application shall match those on government-issued identification.

Bill Number/Code, if applicable: Business and Professions Code, section 26050.2

Add the Bill language that includes system-relevant requirements:

SB-166 2021 mandated the department to track how many times a LSA notification is deemed incomplete. The mandate resides at Business and Professions Code section 26050.2.

*TIP:  Copy and paste or click the + button in the lower right corner to add Bill Numbers/Codes and relevant language as needed.*

2. **Business Driver(s)**

   **Financial Benefit:** Yes

   Increased Revenue: No

   Cost Savings: No

   Cost Avoidance: Yes

   Cost Recovery: No

   Will the state incur a financial penalty or sanction if this proposal is not implemented? No

      If the answer to the above question is "Yes," please explain:

      Click or tap here to enter text.

**Improvement**

Better Services to the People of California: Yes

Efficiencies to Program Operations: Yes

Improved Equity, Diversity, and/or Inclusivity: Yes

Improved Health and/or Human Safety: No

Improved Information Security: Yes

Improved Business Continuity: Yes

Improved Technology Recovery: No

Technology Refresh: Yes

Technology End of Life: Yes

# 1.7   Business Outcomes Desired

**Executive Summary of the Business Problem or Opportunity:**

Both EPIMS and SCPP are currently using software platforms that are not intended to accommodate these specific permitting processes, as such both internal and external users are seeing unintended consequences.  The following system issues have been reported for each software platform used: (1) outdated and hard-to-navigate user interface; (2) inefficient and nonflexible software workflows that require workaround processing; (3) lack of system reporting capabilities – other software is needed to analyze and evaluate data; (4) unable to easily update data on user profiles or permit information as some data points are fluid and need to be updated as personal user information or Department regulations are updated; (5) system slowness in sections of the SCP system where the user needs to select from a large list of items (approximately 9,700 choices for geographic locations list); (6) lack of GIS functionality or compatibility with other geographic mapping programs.

**Objective ID:** 1

**Objective:** Significantly reduce internal and external user frustration and loss of time by replacing EPIMS and SCP with an upgraded, ease-of-use User Interface.

**Metric:** Improve average amount of time to complete one permit in EPIMS and SCPP by 30%

**Baseline:** Average time to complete one EPIMS permit (107 days) and one SCPP permit (180 days)

**Target Result:** Average time to complete one EPIMS permit (75 days) and one SCPP permit (126 days)

**Objective ID:** 2

**Objective:** Implement a new software solution that allows for streamlined and efficient workflows that are flexible for each type of environmental permit submitted in EPIMS and SCP.

**Metric:** Allow users to submit multiple permit types in one software solution

**Baseline:** Two different software solutions are required to submit different permit types (e.g., SCP General Use, SCP Specific Use, LSA's, etc.)

**Target Result:** Ability to submit multiple permit types in one software solution

**Objective ID:** 3

**Objective:** Ensure the new software solution has robust reporting capabilities that allow for data searches for internal users (e.g., searches based of geographical location or wildlife species).

**Metric:** Allow users to run ad-hoc reports that are more accurate and inclusive than current reporting methods

**Baseline:**  Reporting for SCP and EPIMS is severely limited on the types of queries that can be run and, therefore, manual manipulation of data or use of other systems (PowerBI, RCode) is required to obtain and understand system data.

**Target Result:** Ability for users to have access to accurate and flexible statistical reporting tools in order to run ad hoc reports.

**Objective ID:** 4

**Objective:** Implement a new software solution that allows flexibility for data updates.  Example: Internal users may need to update permit information in the event regulations or department guidelines are updated.

**Metric:** Allow CDFW permit approvers to edit permit conditions and re-distribute to permitholders

**Baseline:** Permit approvers currently unable to edit permit conditions without backend data being manipulated

**Target Result:** Permit approvers will be able to update permit conditions without system administrator intervention

**Objective ID:** 5

**Objective: Objective:** Implement a new software solution that allows better customer management.  Example:  External users may need to update their individual and/or business information (in the event that contact information or employment changes or a business entity changes names or employees).

**Metric:** Allow external users to change individual and/or business contact information without affecting any permits or applications in flight

**Baseline:** Users currently unable to change personal information in SCPP

**Target Result:** Users are able to change individual and/or business information

**Objective ID:** 6

**Objective:** Ensure the new software solution provides faster times to return information when selecting data from a range of choices (e.g., geographical locations or wildlife species).

**Metric:** Improve average amount of time to select a record from drop-down selections by 95%

**Baseline:** Average time to find a location from geographic location table 2 minutes

**Target Result:** Average time – 5 seconds

**Objective ID:** 7

**Objective:** Improve GIS functionality and compatibility with other geographic mapping programs

**Metric:** Integrate GIS functionality or compatibility with other geographic mapping programs

**Baseline:** User unable to directly utilize GIS functionality within the systems – manual manipulation is needed.

**Target Result:** Users are able to utilize GIS functionality or access integrated data using geographic mapping programs directly from the system

## 1.8    Project Management

1. **Project Management Risk Score: .7**

   (Attach a completed Statewide Information Management Manual (SIMM) Section 45 Appendix A Project Management Risk Assessment Template to the email submission.)

2. **Project Approval Lifecycle Completion and Project Execution Capacity Assessment**

   Does the proposal development or project execution anticipate sharing resources (state staff, vendors, consultants, or financial) with other priorities within the Agency/state entity (projects, PALs, or programmatic/technology workload)?

   **Answer:** No

   Does the Agency/state entity anticipate this proposal will result in the creation of new business processes or changes to existing business processes?

   **Answer** (No, New, Existing, or Both)**:** Existing Processes

## 1.9    Initial Complexity Assessment

1. **Business Complexity Score:  2.1**

   (Attach a completed SIMM Section 45 Appendix C to the email submission.)

2. **Noncompliance Issues:** (Indicate if your current operations include noncompliance issues and provide a narrative explaining how the business process is noncompliant.)

   Programmatic regulations: No

   HIPAA/CIIS/FTI/PII/PCI: No

   Security: No

ADA: No

Other: Choose Yes or No.

Not Applicable: Choose Yes or No.

Noncompliance Description:

Click or tap here to enter text.

3. **Additional Assessment Criteria**

If there is an existing Privacy Threshold Assessment/Privacy Information Assessment, include it as an attachment to your email submission.

**SCP** - How many locations and total users is the project anticipated to affect?

Number of locations:

Total Number of Profiles as of April 20, 2022:

Individual Profiles = 6,212

Entity Profiles = 717

Estimated Number of Transactions/Business Events (per cycle):

Total SCPs processed in 2021 = ~637

Average processed/year = 623

Average Time to issue a SCP = 180 days

Approximate number of internal end-users: ~75 with reviewer access

Approximate number of external end-users: 6,212 individual SCP profiles

**LSA** - How many locations and total users is the project anticipated to affect?

Number of locations:

CDFW has staff in 6 Regions as well as Statewide functions that interact with EPIMS. In 2021 LSA Notifications were received from 57 of California Counties

Estimated Number of Transactions/Business Events (per cycle):

2021 LSA Notifications Received = 2,260

2021 LSA Notifications Issued = 1,401

Average Time to issue a LSA Agreement = 107 days

Approximate number of internal end-users: 356

Approximate number of external end-users: 9,431

**CESA Take Permits** - How many locations and total users is the project anticipated to affect?

Number of locations:

CDFW has staff in 7 Regions as well as Statewide functions that process and interact with CESA Take Permits.

Estimated Number of Transactions/Business Events (per cycle):

Unknown. There is no centralized statewide tracking of CESA Take Permits. Average time to process a CESA Take Permit can range between 3 years to 2 months depending on type and complexity.

Approximate number of internal and external end-users:

Unknown. There is no centralized statewide tracking of CESA Take Permits

# 1.10 Funding

**Planning**

1. Does the Agency/state entity anticipate requesting additional resources through a budget action to *complete planning* through the project approval lifecycle framework? No

   If Yes, when will a budget action be submitted to your Agency/DOF for planning dollars?

   Click or tap to enter a date.

2. Please provide the Funding Source(s) and dates funds for planning will be made available:

   Click or tap here to enter text.

**Project Implementation Funding**

1. Has the funding source(s) been identified for *project implementation*? Yes

   If known, please provide the Funding Source(s) and dates funds for implementation will be made available:

   Cannabis Control funds, General Fund and LSA Dedicated Fund

   Will a budget action be submitted to your Agency/DOF? No

   If "Yes" is selected, specify when this BCP will be submitted: Click or tap here to enter text.

2. Please provide a rough order of magnitude (ROM) estimate as to the total cost of the project: Less than $10 Million

**End of agency/state entity document.**

**Please ensure ADA compliance before submitting this document to CDT.**

**When ready, submit Stage 1 and all attachments in an email to** ProjectOversight@state.ca.gov.

## Department of Technology Use Only

Original "New Submission" Date: 10/21/2022

Form Received Date: 10/21/2022

Form Accepted Date: 10/21/2022

Form Status: Completed

Form Status Date: 10/21/2022

Form Disposition: Approved

    If Other, specify: Click or tap here to enter text.

Form Disposition Date: 10/21/2022

Department of Technology Project Number (0000-000): 3600-081