



Stage 1 Business Analysis

California Department of Technology, SIMM 19A.2 (Rev. 2.4), Revised 4/2/2018

1.1 General Information

Agency or State Entity Name:	California Public Utilities Commission (CPUC)
Organization Code:	8660
Proposal Name:	Position & Employee Lifecycle Integration (PELI) 2.0
Proposal Description:	The CPUC's Human Resources Division (HRD) proposes to re-engineer the current position and employee lifecycle process by integrating current Human Resources applications to create streamlined workflows, notifications, tracking, dashboards, and a metrics platform. This requires updating existing modules as necessary, and possibly creating new modules for processes that are currently being tracked manually. HRD also requests a clean and reliable data source.
When do you want to start this project?	3/1/2022
Department of Technology Project Number:	8660-093

1.2 Submittal Information

Contact Information:	
Contact First Name	Contact Last Name
Jennifer	Crockett
Contact Email	Contact Phone Number
Jennifer.crockett@cpuc.ca.gov	(415) 703-5134
Submission Date:	4/23/2021
Version Number:	2.0
Project Approval Executive Transmittal	
Attachment:	Include the Project Approval Executive Transmittal as an attachment to your email submission.

1.3 Business Sponsorship

Executive Sponsors			
Title	First Name	Last Name	Business Program Area
Deputy Executive Director	Cris	Rojas	Human Resources Division
<i>Select + to add additional Executive Sponsors</i>			
Business Owners			
Title	First Name	Last Name	Business Program Area
SSM III	Jennifer	Crockett	Talent Management Team
Training Officer III	Art	Sederquist	Talent Management Team
<i>Select + to add additional Business Owners</i>			

Program Background and Context

Human Resources Division (HRD) is comprised of two branches: Employee Operations Office and Talent Management Office. The Employee Operations Office is responsible for hiring, pay and benefits, labor relations, classification, performance management, Worker's Compensation, and position control for the CPUC. The Talent Management Office is responsible for recruitment, selection, on-boarding and offboarding, Employee Health & Safety, training and development, workforce and succession plans of employees of the CPUC.

Until June 2014, HRD utilized the Human Resource Information System (HRIS) which performed centralized HRD functions. HRIS processed time sheets, leave accruals and usage, position control, and other HR functions for the CPUC and other service-contracting state agencies. The State Controller's Office of California (SCO) decommissioned HRIS



Stage 1 Business Analysis

California Department of Technology, SIMM 19A.2 (Rev. 2.4), Revised 4/2/2018

after 20 years of use presenting a number of the state departments, including the CPUC, with the challenges of performing the multitude of tasks previously accomplished through HRIS.

The CPUC met its needs at the time in 2014 by integrating the Work Tracking System (WTS) with the Employee Timesheet System (ETS), an application developed by the CPUC’s Application Development team. By integrating the State Controller’s Office (SCO) California Leave Accounting System (CLAS), ETS has become a vital and accurate solution in which to track and maintain Employee timesheets and leave, while following the various rules of the State for the bargaining units present within the Commission. ETS was recognized as one of the Top-5 applications at the 2015 Government Transformation Forum.

In conjunction with ETS, Human Resources System (HRS) was developed as a suite of modules to manage the employee and position information. HRS provides the employee and position information that ETS utilizes. HRS and SCO exchange basic employee information for comparison and reconciliation.

In 2015, the Position Control System (PCS) was developed and deployed to fulfill position control duties. This system tracks all positions budgeted within the Commission. Positions include authorized, limited term, and blanket positions, and allows HRD to track the history of a position and employees’ position histories within the CPUC.

The CPUC has developed its Travel and Training Authorization (TTA) application. This application provides workflows for employee travel and training processing employees wish to attend. Additionally, an Equipment, Supply, & Services Request (ESSR) application supports goods and services purchase requests of employees. Business workflows of these applications are dependent on unit and branch information stored within HRS.

With the Covid-19 pandemic and into the future, the current teleworking and future CPUC workforce requires more streamlined and automated processes, including information related to tracking a variety of documents related to hiring, onboarding, employee health & safety, training, and offboarding. While many of the forms have been converted to fillable pdf, there is a greater need for the information to be collected through automated data workflow processes.

1.4 Stakeholders

Key Stakeholders

Org. Name	Name
Human Resources Division	Jennifer Crockett (Talent Mangement), Liza Dougherty (Employee Operations)
Internal or External?	<input checked="" type="checkbox"/> Internal <input type="checkbox"/> External
When is the Stakeholder impacted?	



Stage 1 Business Analysis

California Department of Technology, SIMM 19A.2 (Rev. 2.4), Revised 4/2/2018

Input to Business Process	During the Business Process	Output of the Business Process
<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
How are Stakeholders impacted?		
HRD staff are unable to effectively perform their required duties in a timely efficient manner since much of the data and information for achieving their work tasks must be obtained from several discrete sources and cross-compared and combined manually. Additionally, manual data entry by HRD staff results in duplicate information, errors, and requires valuable staff time in preparing management reports in support of decision-making. As a result, HRD's positive impact in the organization is slowed, less informative, and negatively impacted.		
How will the Stakeholders participate in the project?		
HRD staff will participate in Requirements gathering sessions, and will be asked to provide feedback and suggestions on design including workflows and UI screen design. Staff members will also participate in User Acceptance Testing, will develop training materials, and provide training to Division liaisons and managers and supervisors.		
Org. Name	Name	
CPUC	HRD Division Liaisons	
Internal or External?	<input checked="" type="checkbox"/> Internal <input type="checkbox"/> External	
When is the Stakeholder impacted?		
Input to Business Process	During the Business Process	Output of the Business Process
<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
How are Stakeholders impacted?		
The Division Liaison or Hiring Manager (divisional hiring personnel) starts the hiring process by completing the Request for Personnel Action (RPA) form which must sent for approvals via email (manual process). Divisional hiring personnel must track vacancies and compare with HRD records. There is no single source or application divisional hiring personnel access to determine the status of a hiring request within the process; they request and receive via email notification of the status from the HR analyst. Division Liaisons manually track when Annual Appraisals and Probation Reports are due, without reliable monitoring. Reconciliation of hiring requests between divisions and HR is a manual, often inaccurate, and inefficient process.		
How will the Stakeholders participate in the project?		
HRD Liaisons will be asked to provide feedback and suggestions on design including workflows and UI screen design, and will also participate in User Acceptance Testing.		
Org. Name	Name	
CPUC	All Managers and Supervisors	
Internal or External?	<input checked="" type="checkbox"/> Internal <input type="checkbox"/> External	
When is the Stakeholder impacted?		
Input to Business Process	During the Business Process	Output of the Business Process
<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
How are Stakeholders impacted?		
Managers and supervisors rely on data and reports of employees, positions, and hiring from HRD. The current process does not have up-to-date, integrated data, or notifications causing reports from HRD to be unreliable due to manual data entry required by HRD staff. Management visibility into HRD processes for their respective divisions' employees (vacancies, duty statements, staff evaluation and reports, etc.) is minimal at best. Providing real-time reports supporting management's hiring activities will provide greater visibility and capabilities for divisions to manage their workforce.		
How will the Stakeholders participate in the project?		
Managers and supervisors and will be asked to provide feedback and suggestions on design including workflow, user experience, and participate in User Acceptance Testing.		
Org. Name	Name	
CPUC Administration Division	Budget Office	



Stage 1 Business Analysis

California Department of Technology, SIMM 19A.2 (Rev. 2.4), Revised 4/2/2018

Internal or External?	<input checked="" type="checkbox"/> Internal <input type="checkbox"/> External
------------------------------	--

When is the Stakeholder impacted?		
Input to Business Process	During the Business Process	Output of the Business Process
<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>

How are Stakeholders impacted?
 The Budget Office determines if adequate funding is available for positions and must approve funding for all positions. HRD works with the Budget Office to reconcile the budget/funding for positions (7A/Schedule 8). The Budget Office tracks overall Personnel Services' budget (overtime, lump sum payouts, temporary funded positions.). There is no system connecting HRD position control with the Budget Office. In the initial hiring process, budget analysts and hiring managers are included in the review and approval of the Request for Personnel Action (RPA) and related workflow.

How will the Stakeholders participate in the project?
 Budget Office staff and will be asked to provide feedback and suggestions on design including workflow, user experience, and participate in User Acceptance Testing.

Org. Name	Name
State Controller's Office (SCO)	Personnel/Payroll Services Division

Internal or External?	<input type="checkbox"/> Internal <input checked="" type="checkbox"/> External
------------------------------	--

When is the Stakeholder impacted?		
Input to Business Process	During the Business Process	Output of the Business Process
<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>

How are Stakeholders impacted?
 Data/information from the Electronic Timesheet (ETS) is exchanged with the SCO California Leave Accounting System (CLAS). In addition, CPUC regularly exchanges position and fiscal reports with SCO in which HRD is responsible for the auditing and reconciliation of those reports.

How will the Stakeholders participate in the project?
 The SCO will be asked to investigate, implement, and validate system and process changes in regards to reporting frequency, volume, data formats, compliance requirements, and system compatibility.

Select + to add additional Stakeholders

1.5 Business Program

Org. Name	Name
CPUC	Human Resources Division

When is the unit impacted?		
Input to the Business Process	During the Business Process	Output of the Business Process
<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>

How is the business program unit impacted?
 The HRD staff often have difficulty collecting information through current processes because staff are decentralized across three regions of California, head-quartered in San Francisco, making critical business functions difficult to perform effectively. In addition, HRD staff must manually enter data, often resulting in errors, duplicate entries, lost time, and related inefficiencies. HRD's ability to be compliant with the State Personnel Board (SPB) and State rules and regulations is negatively affected by not having a central and relational data system-of-record.

How will the business program participate in the project?
 The HRD staff are crucial in documenting the current processes and indicating where there may be gaps and issues with the current processes. HRD staff will participate in requirements gathering and review, design, system testing, User Acceptance Testing (UAT), organizational change management, and documenting and providing training to HRD staff, Division liaisons, and managers and supervisors.

Select + to add additional Business Programs

1.6 Business Alignment



Stage 1 Business Analysis

California Department of Technology, SIMM 19A.2 (Rev. 2.4), Revised 4/2/2018

Business Driver(s)			
Financial Benefit			
Increased Revenue	Cost Savings	Cost Avoidance	Cost Recovery
<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Mandate(s)			
State		Federal	
<input type="checkbox"/>		<input type="checkbox"/>	
Improvement			
Better Services to Citizens	Efficiencies to Program Operations	Improved Health and/or Human Safety	Technology Refresh
<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Security			
Improved Information Security	Improved Business Continuity	Improved Technology Recovery	Technology End of Life
<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Strategic Business Alignment			
Strategic Plan Last Updated?		Date Picker 02/20/2019	
Strategic Business Goal		Alignment	
CPUC Strategic Directive SD-08 Item 1. Perform comprehensive workforce and succession planning.		Generating metrics on vacancies, hiring, and employee turnover to allow divisions to review and determine current and future staffing needs. Tracking and measuring workforce related data and improve workforce and succession planning by automating time consuming manual processes including creating audit and compliance reports.	
Strategic Business Goal		Alignment	
CPUC Strategic Directive SD-08, Item 2. Advance agency-wide recruiting, hiring, and performance management in an efficient and timely manner.		Providing a refined hiring process workflow and integrating functions between Division Liaisons, Facilities, IT, Budgets, and Human Resources.	
Strategic Business Goal		Alignment	
CPUC Strategic Directive SD-08 Item 2: Advance agency-wide recruiting, hiring, and performance management in an efficient and timely manner. Item 6: Use modern technology to help CPUC employees to perform their jobs effectively.		Providing supervisors and managers dashboard capability to access information that is needed to manage their employees and positions, such as duty statements, performance review due dates, and vacancies in their unit. This increases transparency and access to information, which supports CPUC values of open communications and excellence.	
Strategic Business Goal		Alignment	
CPUC Strategic Directive SD-08 Item 4: Maximize efficiency and effectiveness of the agency where possible. Item 6: Use modern technology to help CPUC employees to perform their jobs effectively.		Automating manual processes and allowing for employee and position information to be entered only once, HRD staff are able to perform their jobs effectively, thus minimizing errors and maximizing efficiency.	



Stage 1 Business Analysis

California Department of Technology, SIMM 19A.2 (Rev. 2.4), Revised 4/2/2018

Strategic Business Goal	Alignment
-------------------------	-----------

Select + to add additional Business Goals and Alignment

Executive Summary of the Business Problem or Opportunity

The current business process requires use of several disconnected spreadsheets, modules, and manual tracking of positions and employees. These discrete applications are inherently difficult for HRD staff to locate and gather needed information from them. Additionally, report insight is nonexistent for Supervisors, HR Staff, Division Liaisons, and Employees to see their current tasks, statuses, assignments, reminders, and items for approval for personnel related activities. Many HRD-related modules/applications lack integration causing duplicate entries, errors, and necessary correction. Further, the current business processes do not reconcile and require manual processing, often creating inaccuracies or lost information. These current processes lack maintenance, integration, notification, and automated workflow inhibiting business efficiency and accurate reporting. Through this effort, CPUC will reduce data redundancies and errors, decrease response times while accurately reporting status and outcomes, and increase remote working and future capabilities.

The CPUC has several critical HRD processes that are not automated and are paper-based. These processes, often having multiple dependences, are manually tracked through spreadsheets. The current approach is difficult to track, creates data-entry errors, and reporting is inefficient nor timely. These critical HRD processes include:

- **Hiring/Onboarding.** Tracking of hiring and onboarding tasks and completions is currently done via spreadsheet. This makes it difficult and time consuming to accurately measure each step and time it takes to hire a new employee. Measuring internal vs. external hires, is time consuming and may have inherent errors due to manual spreadsheet tracking.
- **Position Control.** Tracking of all changes to established positions via spreadsheets and MIRS reports that are often full of errors only found during reconciliation months after the fact due to delays in keying appointments, transfers from other Depts and timing of other position related information.
- **Off-boarding/Separations.** Currently there is no system to track tasks, owners, and steps of the separation and off-boarding process. The process is manual, and paper based with the possibility of missed steps and compliance lapses.
- **Support of Position budgeting and forecasting.** Tracking, forecasting, and reporting position budgets and vacancy salary savings is a manual, time-consuming task, dependent upon an MS Excel spreadsheet.
- **Notice of Personnel Actions (NOPA).** The tracking of these is currently paper based.
- **Probationary Reports and Individual Development Plans.** The tracking mechanism in Oracle Apps needs improvement on the method the information is tracked and reported on. This was a key finding in the recent SPB Audit that must be addressed.

The current CPUC process to gather data is critical to the development of workforce and succession planning and dependent upon discrete applications, decentralized data, and spreadsheets. Implementing an integrated system to track and measure workforce related data will aid HRD strategic objectives to develop succession and workforce plans. In addition, with the ongoing pandemic the need for teleworking staff to perform their work (non-paper based) and have access to accurate electronic records is crucial to ongoing business operations.

Business Problem or Opportunity and Objectives Table

Problem ID	Problems/Opportunities
Problem 1	The HRD has inconsistent and inefficient paper-based processes which are complex and require additional time and effort for analysis and reporting. The connections between sub-processes are manual, and only two modules related to the hiring process currently exist.



Stage 1 Business Analysis

California Department of Technology, SIMM 19A.2 (Rev. 2.4), Revised 4/2/2018

Objective ID	1.1
Objectives	Reduce the time from the initiating Request for Personnel Action (RPA) to the hiring of an employee by a minimum of 40 percent within 6 months of project completion.
Metric	Average time reported from Authorization-to-Hire to the actual hire.
Baseline	77 business days
Target	45 days
Measurement Method	Time reporting collected using process audits and surveys of CPUC headquarters and field offices.
Objective ID	1.2
Objectives	Improve hiring/onboarding processing with automated workflow including task assignments, status tracking, electronic reminders, electronic document attachment, and reporting.
Metric	Average time of position post-to-fill
Baseline	One week using spreadsheets (no module existis for this)
Target	5-10 minutes
Measurement Method	Time studies conducted via desk audits and online surveys: 1) application module used by staff; 2) staff tracking, status, and attaching necessary documents; 3) reporting of assignments; 4) time required for each process step, and; 5) sum of time to complete
Objective ID	1.3
Objectives	Improve off-boarding/separation process with automated workflow including task assignments, status tracking, electronic reminders, electronic document attachment, and reporting. Related tasks and documentation includes outstanding pay, owed payments, return of IT/Office and Ergonomic equipment, return of employee access badge, and revocation of access to electronic email and information systems. Reporting includes: task assignments, status tracking, electronic reminders, electronic document attachment submission/processing.
Metric	Average time of off-boarding/separation
Baseline	1.5 to 2 weeks.
Target	5-10 minutes
Measurement Method	Time studies conducted via desk audits and online surveys
<i>Select + to add additional Objectives</i>	
Objective ID	1.4
Objectives	All employee HRD records in electronic format and available on-line, providing efficient electronic retrieval.
Metric	Percentage of HRD employee records in electronic format.
Baseline	< 20%
Target	100%
Measurement Method	Archived physical paper-based employee records (#) : in-use paper-based record (#)
<i>Select + to add additional Objectives</i>	
Problem 2	Current data is inconsistent and inaccurate due to multiple systems-of-record and multiple points-of-data-entry.
Objective ID	2.1
Objectives	Eliminate duplicative and incorrect data through single-points-of-data-entry to sole data records within trusted data sources.
Metric	Number of redundant or inaccurate entries of employee information.
Baseline	Sixty-six percent of employee information is redundant or inaccurate.
Target	95% accurate employee data/information system-wide.



Stage 1 Business Analysis

California Department of Technology, SIMM 19A.2 (Rev. 2.4), Revised 4/2/2018

Measurement Method	Surveys of authorized CPUC users and system audits. System generated reports (random search) for inaccuracies and duplication.
Objective ID	2.2
Objectives	Accurate reporting (template-based and ad-hoc) for HRD staff and CPUC management of position budgets, forecasting, and vacancy salary savings, in real-time, within six months of project completion.
Metric	Average time to collect data and produce report of real-time position budgets, forecasting, and vacancy salary savings.
Baseline	7-14 day
Target	< 5-10 minutes
Measurement Method	Time audits and surveys of average time to generate newly created system generated PCS reports.
Objective ID	2.3
Objectives	Centralized data store with reporting capability. Data access and research is easier, efficient, and effective through improved reporting and data analysis.
Metric	Improved timeliness of HRD data access
Baseline	30 minutes per transaction to access and review information stored in various systems/spreadsheets which contain data that may not be accurate.
Target	Less than 1 minute to retrieve the requested data.
Measurement Method	Users will verify that the portal provides a single point of access to all application data
<i>Select + to add additional Objectives</i>	
Problem 3	Hiring and on-boarding required information must be identified and gathered from multiple sources. Manual tracking and reporting of various statuses is difficult .
Objective ID	3.1
Objectives	Provide metrics on the hiring and on-boarding process to comply with SLAs; include internal vs. external hiring. Track SLA compliance to make sure we are meeting it. Improve data input and data reporting with visibility to HRD management and division liaisons. Track each step in the process and provide visibility to Division Liaisons on status.
Metric	Average time to gather documents and reconcile assignment statuses with due dates.
Baseline	Zero percent.
Target	Automated metrics and reporting to 100% for SLA metrics.
Measurement Method	Time studies conducted via desk audits and online surveys. 1) Module in use by authorized staff. 2) Automated workflow in place. 3) Staff can track status and attach appropriate documents. 4) Reports developed measure assignments, time for each process step, and a time measurement of the complete process.
Objective ID	3.2
Objectives	Automate the measurement, reporting, and tracking of real-time position budgets, forecasting, and vacancy salary savings within six months of project completion. Examples are: PCS reports and collecting data and producing reports of position fund codes and associated legislative actions.
Metric	Average time to collect data and produce PCS and other reports.
Baseline	Depending on the report, anywhere from 5-14 days
Target	<5-10 minutes, and less than one day with limited or no resource allocation for vacancy and vacancy salary savings reports.
Measurement Method	Time audits and surveys, and the time to run newly created reports.
<i>Select + to add additional Objectives</i>	



Stage 1 Business Analysis

California Department of Technology, SIMM 19A.2 (Rev. 2.4), Revised 4/2/2018

Problem 4	Ensuring compliance with State Regulations.
Objective ID	4.1
Objectives	Automate the generation of reports showing the data of Annual Development Plan (ADP) and Probation Reports (PR) compliance performance within 12 months of project completion. This is an item noted in a recent State Personnel Board Audit.
Metric	Time to calculate ADP and PR compliance performance.
Baseline	Rate of compliance is not known. 4 hours to 2 days to combine the two reports that will not achieve accurate results. Staff must resort to viewing personnel files and manually reviewing paper files to verify compliance for a single employee.
Target	<5 minutes for running a report to show percentage compliance across the CPUC.
Measurement Method	System generated compliance reporting and survey data from authorized CPUC staff.
<i>Select + to add additional Objectives</i>	
Objective ID	4.2
Objectives	Improve compliance of Notice of Personnel Action (NOPA) forms received, signed, and returned to CPUC Human Resources by implementing a method to track the form through an automated process.
Metric	Average percentage of returned NOPA compliance.
Baseline	50%
Target	100%
Measurement Method	Tracking and status reports, and time study audits.
<i>Select + to add additional Objectives</i>	
Problem 5	Allow for more effective remote work capabilities. HRD staff require online access to electronic records due to the increased number of staff teleworking, which is crucial to ongoing business operations.
Objective ID	5.1
Objectives	Provide notifications, assignments, and upcoming due dates of Annual Development Plans (i.e. IDP) and Probation Reports (PR). (Requesting this occur with project completion or in an earlier phase before project completion.)
Metric	Average time to track and manage ADP and PR assignments.
Baseline	4 hours
Target	<5 minutes
Measurement Method	Generation of IDP/PR report with compliance information.
Objective ID	5.2
Objectives	Provide a single location(i.e. dashboard) for authorized users to search for, locate, and view HR-related data, current tasks and assignments, the status and aging of assignments, reminders, and items requiring approval.
Metric	All user assignments, tasks, reminders, and reports visible online.
Baseline	It currently takes staff an average of 30 minutes per transaction to access and view information stored in various systems/spreadsheets which contain data which may or may not be accurate.
Target	Less than 5 seconds to generate the requested data (refreshed in real-time)
Measurement Method	Surveys and information from CPUC authorized users who will verify with their use. Workload measurements will be readily available from the dashboard including "aging" of assignments (i.e. past due).
<i>Select + to add additional Objectives</i>	
<i>Select + to add additional Problems</i>	
Project Approval Lifecycle Completion and Project Execution Capacity Assessment	



Stage 1 Business Analysis

California Department of Technology, SIMM 19A.2 (Rev. 2.4), Revised 4/2/2018

1. 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)?
<input checked="" type="radio"/> Yes <input type="radio"/> No <input type="radio"/> Clear
2. Does the Agency/ state entity anticipate this proposal will result in the creation of new business processes or changes to existing business processes?
<input type="radio"/> No <input type="radio"/> New Processes <input type="radio"/> Existing Processes <input checked="" type="radio"/> Both New and Existing <input type="radio"/> Clear

1.7 Project Management

Project Management Risk Score:	1.7
Attach completed Statewide Information Management Manual (SIMM) Section 45 Appendix A:	Include the completed SIMM 45 Appendix A as an attachment to your email submission.

Existing Data Governance and Data

1. Does the Agency/state entity have an established data governance body with well-defined roles and responsibilities to support data governance activities? If an existing data governance org chart is used, please attach.	<input type="radio"/> Unknown <input type="radio"/> Yes <input checked="" type="radio"/> No <input type="radio"/> Clear	If applicable, include the data governance org chart as an attachment to your email submission.
2. Does the Agency/state entity have data governance policies (data policies, data standards, etc.) formally defined, documented, and implemented? If yes, please attach the existing data governance plan, policies or IT standards used.	<input type="radio"/> Unknown <input type="radio"/> Yes <input checked="" type="radio"/> No <input type="radio"/> Clear	If applicable, include the data governance policies as an attachment to your email submission.
3. Does the Agency/state entity have data security policies, standards, controls, and procedures formally defined, documented, and implemented? If yes, please attach the existing documented security policies, standards, and controls used.	<input type="radio"/> Unknown <input type="radio"/> Yes <input checked="" type="radio"/> No <input type="radio"/> Clear	If applicable, include the documented security policies, standards, and controls as an attachment to your email submission.
4. Does the Agency/state entity have user accessibility policies, standards, controls, and procedures formally defined, documented, and implemented? If yes, please attach the existing documented policies, accessibility governance plan, and standards used, or provide additional information below.	<input type="radio"/> Unknown <input type="radio"/> Yes <input checked="" type="radio"/> No <input type="radio"/> Clear	If applicable, include the documented accessibility policies, standards, and controls as an attachment to your email submission.



Stage 1 Business Analysis

California Department of Technology, SIMM 19A.2 (Rev. 2.4), Revised 4/2/2018

5. Do you have existing data that you are going to want to access in your new solution?	<input type="radio"/> Unknown <input checked="" type="radio"/> Yes <input type="radio"/> No <input type="radio"/> Clear	If applicable, include the data migration plan as an attachment to your email submission.
6. If data migration is required, please rate the quality of the data.	Some issues identified with the existing data	

1.8 Criticality Assessment

Business Criticality		
Legislative Mandates:	N/A <input checked="" type="checkbox"/>	
Bill Number(s)/Code(s):		
Language that includes system relevant requirements:		
Business Complexity Score	2.1	Include the completed SIMM 45 Appendix C as an attachment to your email submission.

Noncompliance Issues

Current probation and performance processes are out of compliance with several California Government Codes (List attached). These codes dictate that frequency and intervals probation reports and annual performance evaluations (IDP) are to be completed. These reports are required to be submitted to both the employee and the department. The process for tracking probation and IDP due dates is reliant on antiquated Oracle Forms technology which has incurred unaddressed errors that created delays in processing times.

Probation Related Government Codes – Out of Compliance

1. Gov. Code, § 19171
2. Gov. Code, § 19171, Gov. Code, § 19172.
3. Cal. Code Regs., tit. 2, § 599.795.
4. Cal. Code Regs., tit. 2, § 26, subd. (a)(3).
5. Gov. Code, § 19995.4, subds. (b) and (c).

Performance Related Government Codes – Out of Compliance

1. Gov. Code section 19992.2, subdivision (a).
2. Gov. Code, § 19992.2, subd. (a).
3. Cal. Code Regs., tit. 2, § 599.798.

CPUC Internal Audit: “Internal Controls over the Employee Separation Process.” - 1/27/20

- SAM 8580.4 – Checkout list acknowledging return of state-owned items.
- SAM 20060 – Indication of one or more situations are usually indicative of a poorly maintained or vulnerable control system.
- GC 13403(b) – Satisfactory system of internal control

CPUC 2019 Strategic Planning Directives

SD-05 Compliance and Enforcement – Compliance, Enforcement, and Accountability to applicable laws, rules, and regulations.

SD-08 Administration – CPUC responsibly administers the human, financial, and information resources entrusted to it. Item #6 – Use modern technology to help CPUC employees perform their job effectively.

20-21 HRD Risk Assessment Matrix

Item #4 Operations – Internal – Oracle Apps need updates, maintenance, etc. Particularly ETS, PCS, Probation and IDP Tracking.



Stage 1 Business Analysis

California Department of Technology, SIMM 19A.2 (Rev. 2.4), Revised 4/2/2018

Programmatic Regulations	HIPPA/CJIS/FTI/PII/PCI	Security	ADA	Other	N/A
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

1. What is the proposed project start date? 3/1/2022
2. Is this proposal anticipated to have high public visibility? Yes No Clear

If "Yes," please identify the dynamics of the anticipated high visibility below:

3. If there is an existing Privacy Information Assessment, include as an attachment to your email submission.
4. Does this proposal affect business program staff located in multiple geographic locations? Yes No Clear

If "Yes," provide an overview of the geographic dynamics below and enter the specific information in the space provided.

These are the same geographic locations HR had for the HRIS Replacement project. Call-in's, Webex, and remote subject matter experts were used. Heavy involvement of key end-users in requirements, design, system testing, and User Acceptance Testing will assist with organizational change. In addition, we are looking to support teleworking staff. (Add statewide and add 100).

City	State	Number of Locations	Approximate Number of Staff
San Francisco	CA	2	880
Los Angeles	CA	1	120
Sacramento	CA	4	200

Select + to add Locations

1.9 Funding

1. Does the Agency/state entity anticipate requesting additional resources through a budget action to complete the project approval lifecycle? Yes No Clear
2. Will the state possibly incur a financial sanction or penalty if this proposal is not implemented? If yes, please identify the financial impact to the state below: Yes No Clear

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

FUNDING SOURCE		FUND AVAILABILITY DATE
General Fund	<input type="checkbox"/>	Date Picker
Special Fund	<input type="checkbox"/>	Date Picker
Federal Fund	<input type="checkbox"/>	Date Picker
Reimbursement	<input type="checkbox"/>	Date Picker
Bond Fund	<input type="checkbox"/>	Date Picker
Other Fund	<input checked="" type="checkbox"/>	Date Picker

If "Other Fund" is checked, specify the funding: 0462-PUC Universal Recovery Account (PUCURA)

1.10 Reportability Assessment



Stage 1 Business Analysis

California Department of Technology, SIMM 19A.2 (Rev. 2.4), Revised 4/2/2018

<p>1. Does the Agency/state entity's IT activity meet the definition of an IT Project found in the State administrative Manual (SAM) Section 4819.2? If "No," this initiative is not an IT project and is not required to complete the Project Approval Lifecycle.</p>	<p><input checked="" type="radio"/> Yes <input type="radio"/> No <input type="radio"/> Clear</p>
<p>2. Does the activity meet the definition of Maintenance or Operations found in SAM Section 4819.2? If "Yes," this initiative is not required to complete the Project Approval Lifecycle. Please report this workload on the Agency Portfolio Report. And provide an explanation below.</p>	<p><input type="radio"/> Yes <input checked="" type="radio"/> No <input type="radio"/> Clear</p>
<p>3. Has the project/effort been previously approved and considered an ongoing IT activity identified in SAM Section 4819.2, 4819.40? If "Yes," this initiative is not required to complete the Project Approval Lifecycle. Please report this workload on the Agency Portfolio Report.</p>	<p><input type="radio"/> Yes <input checked="" type="radio"/> No <input type="radio"/> Clear</p>
<p>4. Is the project directly associated with any of the following as defined by SAM Section 4812.32? Single-function process-control systems; analog data collection devices, or telemetry systems; telecommunications equipment used exclusively for voice communications; Voice Over Internet Protocol (VOIP) phone systems; acquisition of printers, scanners and copiers. If "Yes," this initiative is not required to complete the Project Approval Lifecycle. Please report this workload on the Agency Portfolio Report.</p>	<p><input type="radio"/> Yes <input checked="" type="radio"/> No <input type="radio"/> Clear</p>
<p>5. Is the primary objective of the project to acquire desktop and mobile computing commodities as defined by SAM Section 4819.34, 4989? If "Yes," this initiative is a non-reportable project. Approval of the Project Approval Lifecycle is delegated to the head of the state entity. Submit a copy of the completed, approved Stage 1 Business Analysis to the CDT and track the initiative on the Agency Portfolio Report.</p>	<p><input type="radio"/> Yes <input checked="" type="radio"/> No <input type="radio"/> Clear</p>
<p>6. Does the project meet all of the criteria for Commercial-off-the-Shelf (COTS) Software and Cloud Software-as-a-Services (SaaS) delegation as defined in SAM 4819.34, 4989.2 and SIMM 22? If "Yes," this initiative is a non-reportable project. Approval of the Project Approval Lifecycle is delegated to the head of the state entity; however, submit an approved SIMM Section 22 form to CDT.</p>	<p><input type="radio"/> Yes <input checked="" type="radio"/> No <input type="radio"/> Clear</p>
<p>7. Will the project require a Budget Action to be completed?</p>	<p><input type="radio"/> Yes <input checked="" type="radio"/> No <input type="radio"/> Clear</p>
<p>8. Is it anticipated that the project will exceed the delegated cost threshold assigned by CDT as identified in SIMM 10?</p>	<p><input type="radio"/> Yes <input checked="" type="radio"/> No <input type="radio"/> Clear</p>
<p>9. Are there any previously imposed conditions place on the state entity or this project by the CDT (e.g., Corrective Action Plan)?</p>	<p><input type="radio"/> Yes <input checked="" type="radio"/> No <input type="radio"/> Clear</p>



Stage 1 Business Analysis

California Department of Technology, SIMM 19A.2 (Rev. 2.4), Revised 4/2/2018

If "Yes," provide the details regarding the conditions below.	
10. Is the system specifically mandated by legislation?	<input type="radio"/> Yes <input checked="" type="radio"/> No <input type="radio"/> Clear

Department of Technology Use Only

Original "New Submission" Date	12/18/2020
Form Received Date	4/23/2021
Form Accepted Date	4/23/2021
Form Status	Completed
Form Status Date	6/08/2021
Form Disposition	Approved with Conditions If "Other," specify:
Form Disposition Date	6/08/2021