Stage 1 Business Analysis

California Department of Technology, SIMM 19A.2 (Rev. 2.5, July/2021)

1.1   General Information

Agency or State Entity Name: State Controller's Office (SCO)

   If agency/state entity not in list, then enter here. N/A

Organization Code: 0840

Proposal Name: **Unclaimed Property Management System Replacement (UPMSR)**

Proposal Description:

The mission of the State Controller's Office (SCO's) Unclaimed Property Division (UPD) is to reunite lost and abandoned property with their rightful owners and to safeguard these properties from being used by private interests for personal gain. UPD safeguards lost and forgotten property turned over to the state (e.g., bank accounts, uncashed checks, insurance benefits, wages, stocks, bonds, and safe deposit box contents) until claimed by the rightful owners. Currently, UPD operates an online search tool and toll-free telephone service, processes claims, and provides written notices to property owners and property holders.

According to a report published by the Federal Trade Commission (https://www.ftc.gov/news-events/press-releases/2021/02/new-data-shows-ftc-received-2-2-million-fraud-reports-consumers), identity theft and fraud reports in 2020 were up 45 percent from 2019. The sophistication and determination of fraudulent actors is increasing each year. The current system used by UPD does not include tools that will allow UPD to detect fraudulent documents, verify geolocation of claimants, or check submissions against known fraud databases. A system with advanced, automated fraud detection and prevention tools to avoid paying fraudulent claims is an urgent need for UPD.

The SCO proposes to replace UPD's current business software applications to provide essential upgrades and improvements to its fraud detection and prevention capabilities. In addition, the new system will automate the manual and paper-based processes at UPD with a single, secure, integrated system. The software under consideration for replacement includes Clearview Connect (UPS2000) and all its related programs and executables, HRS Pro, MyClaims Report, the online "shopping cart" system, and UPD Report Manager. Additionally, there are numerous legacy and Access databases, SharePoint Lists, and spreadsheets used to perform key tasks, including the ARU (Additional Research Unit) Assignment Tracking Log, the Claims Requirement Checklist (CRL), the Fraud Database, and the local area network (LAN) Accountability database.

The new system will promote greater financial integrity through the new system's enhanced accounting, improved fraud detection and prevention, better tools for verification of rightful owner

claims, and increased capabilities for management of securities and reconciliation of settlements. Currently, several of UPD's key business processes are managed using separate software applications that have limited or no integration. UPD staff perform other critical processes manually and in hardcopy. The replacement system will integrate the existing applications' functionality under one system, automate current manual and hardcopy processes, and provide an end-to-end workflow for UPD's key business processes. The new fully integrated system will improve processing times that will allow UPD to deliver its services more efficiently and effectively to holders, claimants, and external agencies.

When do you want to start the project? 3/1/2023

Department of Technology Project Number (0000-000): 0840-091

1.2   Submittal Information

Contact Information

Contact First Name: Todd

Contact Last Name: Boltjes

Contact Email: tboltjes@sco.ca.gov

Contact Phone Number: (916) 445-8245

Submission Date: 1/5/2022

Version Number: V1.0

Project Approval Executive Transmittal – (Attach Transmittal to the email submission.)

1.3 Business Sponsorship

Executive Sponsors

Title: Chief Administrative Officer

First Name: Russell

Last Name: Fong

Business Program Area: (Name of the business program area represented by the Executive Sponsor(s))

SCO, Executive Office

Executive Sponsors

Title: Chief Operating Officer

First Name: Kathleen

Last Name: Webb

Business Program Area: (Name of the business program area represented by the Executive Sponsor(s))

UPD, Executive Office

Business Owners

Title: Division Chief

First Name: Margit

Last Name: Miller

Business Program Area: Unclaimed Property Division

Title: Bureau Chief

First Name: Ted

Last Name: Rozalski

Business Program Area: Holder Operations Bureau (HOB)

Title: Bureau Chief

First Name: Jessica

Last Name: Stinson

Business Program Area: Special Operations Bureau (SOB)

Title: Bureau Chief

First Name: Coleen

Last Name: Kimler

Business Program Area: Consumer Services Bureau (CSB)

Title: Bureau Chief

First Name: Simona

Last Name: Dreve

Business Program Area: Accounting Bureau (AB)

Title: Manager, Property Owner Advocate Unit

First Name: Gina

Last Name: Hernandez

Business Program Area: Property Owner Advocate Unit (POA)

Title: Manager, Business Analysis Unit

First Name: Julie

Last Name: Asbury

Business Program Area: Business Analysis Unit (BAU)

Program Background and Context

Business Programs

There are four Bureaus within the UPD: the Holder Operations Bureau (HOB), the Special Operations Bureau (SOB), the Consumer Services Bureau (CSB), and the Accounting Bureau (AB). In addition, there are Units/Offices that will be impacted by a new system: the Property Owner Advocate's Office (POA), the Business Analysis Unit (BAU).

Holder Operations Bureau (HOB)

HOB has two sections: (1) the Reporting Section, which is responsible for receiving, reviewing and processing semi-annual unclaimed property reports from businesses (called "holders" within the division), and (2) the Holder Operations and Outreach Section, which provides education and

outreach to holders of unclaimed property, and manages the receipt, verification, storage, and return of tangible unclaimed property.

HOB uses the existing system, Clearview Connect, to perform many of its daily tasks. HOB has direct workflow coordination with all other bureaus within UPD. In addition, HOB coordinates with external parties including the Franchise Tax Board (FTB) for updated contact data for businesses and claimants, and the State Controller's Office Disbursements Unit to mail notices and letters, businesses for the reporting and transfer of unclaimed property, and banks and financial institutions for the reporting and transfer of safe deposit box contents.

Special Operations Bureau (SOB)

SOB consists of five units: (1) the Research & Public Response Unit, (2) the Mailroom/Intake Unit, (3) the Locator Unit, (4) the Quality Assurance Review (QAR) Unit, and (5) the Settlement Unit. The Research & Public Response Unit is responsible for handling general public inquiries regarding the Unclaimed Property program via the Call Center phone line, emails from the public and physical mail from the public. The Mailroom & Intake Units perform functions related to the collecting, sorting, and distributing of all incoming and outgoing mail throughout the Division. The Locator Unit locates potential property owners, sends the appropriate notices, and performs functions related to the Government Auto-pay Program (GAP). The QAR Unit provides the second review and approval of all claims submitted to UPD to assure all standards and requirements are met before the claim is paid. The Settlement Unit performs a variety of tasks related to payment batch verifications, audit report reviews, interagency intercepts, collections, and eClaim system functionality reviews.

SOB uses the existing system, Clearview Connect, to perform many of its daily tasks. SOB has direct workflow coordination with all other bureaus within UPD and had direct contact with the public through the Call Center, Mail/Intake Unit, and Locator Unit. In addition, SOB has contracts with CenturyLink for an Automatic Call Distribution (ACD) service and with AT&T for and Interactive Voice Response (IVR) system.

Consumer Services Bureau (CSB)

CSB is the claims processing arm of the Unclaimed Property Division and has three sections: Owner Claims Section (Section I), Heir and Special Claims Section (Section II), and Business Unit, Investigator Unit, and Claims Support Section (Section III). Section I is responsible for fast-track claims, owner claims, friends and family claims, and Accounting fix-it desk claims. This section also manages claimants who come to the public counter at the White Rock Road office in Rancho Cordova. Section II is responsible for processing heirship claims within the Heir Unit and specializes in addressing foreign, original instrument, bonds, safe deposit, and military claims within the Special Claims Unit. Section III includes three units: (1) The Business (2) Unit, the Investigator Unit, and (3) the Claims Support Unit. The Business Unit processes business, government, and holder claims for reimbursement. The Investigator Unit processes claims submitted by Investigators and claims for County Probated Estates. The Claims Support Unit acts as liaison between CSB and the SCO Legal Office, performs additional research on claims, monitors claim related contracts, responds to CSB budget related inquiries, and other bureau support tasks.

CSB uses the existing system, Clearview Connect, to perform most of its daily tasks. CSB uses a number of external tools to verify claims information including Accurint, CLEAR, Ancestry, the California Department of Motor Vehicles online database, the Secretary of State website, county probated websites, Passport Checker, the US Postal Service website, data provided by the FTB, and legacy systems that were not integrated into the Clearview Connect system.

Accounting Bureau (AB)

AB maintains, disburses and reports all cash, securities and related financial activity for the Unclaimed Property Division and includes three sections. Section 1 includes the Financial Accounting & Reporting Unit and the Financial Assessment Unit. Section II is responsible for Securities Management and Reconciliation, and Section III includes the Securities Analysis Unit, the Securities Claims Analysis Unit, and the Securities Payment and Transfer Unit.

AB uses the existing system, Clearview Connect, to perform many of its daily tasks, however, many of the executables within the Clearview Connect system are not fully integrated with the AB workflow and require staff to manually upload data and reconcile financials. AB frequently uses reference five legacy unclaimed property database systems that were not integrated into the Clearview Connect system. AB also uses the FI$Cal system to create deposit slips and retrieve deposit reports.

Property Owner Advocate (POA)

POA is a unit within the Unclaimed Property Division that handles specialty claims for owner, heir, and business claims as well hardship claims, Legal referrals, and report inquiries from businesses.

Like CSB, POA uses the existing system, Clearview Connect, to perform most of its daily tasks.

Business Analysis Unit (BAU)

BAU serves as a bridge between the four UPD bureaus and the service desk team to facilitate systems issue troubleshooting, document, and escalate systems issues for resolution, and oversee and coordinate all testing of system fixes and enhancements.

Administrative Support Section

The Administrative Support Section provides support by coordinating facility needs, managing the reception window, planning and providing training, working as a liaison between UPD Bureaus and contractors, managing the Division's budget, procuring equipment and supplies, and overseeing all vendor contracts within the department. In addition, the Administrative Support Section includes the Personnel Liaison Office for UPD.

Internal Business Sponsors
The UPMSR internal Business Sponsors are Russell Fong, the SCO Chief Administrative Officer and Kathleen Webb, the SCO Chief Operating Officer. As Executive Sponsors, they will facilitate open communication regarding the project and communicate progress on the project to other State entities (e.g., legislators, Control Agencies, etc.) and report the progress to SCO executive staff. Russell and Kathleen will chair the Executive Steering Committee and ensure decisions are made by the

Executive Steering Committee within the defined UPMSR project timeline. UPMSR will have no external Business Sponsors.

Key Stakeholders
The UPMSR stakeholders are identified below in section 1.4 and each have varying degrees of vested interest in the outcome of the UPMSR project.

1.4   Stakeholders

Key Stakeholders

(Stakeholder" are individuals or groups impacted by the business processes addressed by the proposed project)

Organization Name: **SCO, Executive Office, Chief Administration Officer (CAO)**

Stakeholder Name: **Russell Fong**

Stakeholder Internal or External? Internal

When is the Stakeholder Impacted?

Input to Business Process: Yes

During Business Process: Yes

Output of Business Process: Yes

How are Stakeholders impacted? (Describe how the stakeholder is involved in the process)

The CAO holds joint responsibility with the COO for the successful governance of the UPMSR project.

How will the Stakeholder participate in the project? (Describe how the stakeholder will be involved in the project)

The CAO will facilitate open communication regarding UPMSR and communicate progress on the project to other State entities (e.g., legislators, Control Agencies, etc.) along with report the progress to SCO executive staff. The CAO is part of the Executive Steering Committee and ensure decisions are made by Executive Steering Committee within the defined project time constraints. The Executive Sponsor will serve in an advisory role and decision-making role on the UPMSR project.

Organization Name: **SCO, Executive Office, Chief Operating Officer (COO)**

Stakeholder Name: **Kathleen Webb**

Stakeholder Internal or External? Internal

When is the Stakeholder Impacted?

Input to Business Process: Yes

During Business Process: Yes

Output of Business Process: Yes

How are Stakeholders impacted? (Describe how the stakeholder is involved in the process)

The COO holds joint responsibility with the CAO for the successful governance of the UPMSR project.

How will the Stakeholder participate in the project? (Describe how the stakeholder will be involved in the project)

The Executive Sponsor will facilitate open communication regarding UPMSR and communicate progress on the project to other State entities (e.g., legislators, Control Agencies, etc.) along with report the progress to SCO executive staff. The COO is part of the Executive Steering Committee and ensure decisions are made by Executive Steering Committee within the defined project time constraints. The Executive Sponsor will serve in an advisory role and decision-making role on the UPMSR project.

Organization Name: **SCO, Information Systems Division (ISD), Chief Information Officer (CIO)**

Stakeholder Name: **Todd Boltjes**

Stakeholder Internal or External? Internal

When is the Stakeholder Impacted?

Input to Business Process: Yes

During Business Process: Yes

Output of Business Process: Yes

How are Stakeholders impacted? (Describe how the stakeholder is involved in the process)

The CIO is charged with ensuring all ISD solutions are in alignment with the SCO's strategic plans. As one of the key stakeholders with a vested interest in the outcome and success of this project, the CIO has a clear understanding of UPMSR and UPD's business needs and collaborates with them to ensure that improved business value is provided to SCO.

How will the Stakeholder participate in the project? (Describe how the stakeholder will be involved in the project)

The CIO within SCO will work to remove obstacles within span of control that could impede success. The CIO communicates with the Project Sponsor regarding project status and escalated Project Sponsor issues. The CIO will serve in an advisory role and decision-making role on the UPMSR project, and is on the Executive Steering Committee.

Organization Name: **SCO, Unclaimed Property Division, Section Chief**

Stakeholder Name: **Margit Miller**

Stakeholder Internal or External? Internal

When is the Stakeholder Impacted?

Input to Business Process: Yes

During Business Process: Yes

Output of Business Process: Yes

How are Stakeholders impacted? (Describe how the stakeholder is involved in the process)

SCO Unclaimed Property Section Chief will provide Analysts and Subject Matter Experts (SME's) as Business Leads to participate in project meetings, actively participate in review and use of the UPMSR application. In addition, SCO Unclaimed Property Section Chief will provide management oversite of UPMSR.

How will the Stakeholder participate in the project? (Describe how the stakeholder will be involved in the project)

SCO Unclaimed Property Section Chief will provide strategic, tactical direction and guidance to the UPMSR project team. Will serve on the Executive Steering Committee and will help manage escalations and communicate to each of the four UPD Bureaus (HOB, SOB, AB and CSB).

Organization Name: **SCO, ISD, Project Management Office (PMO)**

Stakeholder Name: **Julie Aguiar**

Stakeholder Internal or External? Internal

When is the Stakeholder Impacted?

Input to Business Process: Yes

During Business Process: Yes

Output of Business Process: Yes

How are Stakeholders impacted? (Describe how the stakeholder is involved in the process)

The ISD PMO is impacted by providing project a management resource to facilitate and deliver the UPMSR project to its successful conclusion.

How will the Stakeholder participate in the project? (Describe how the stakeholder will be involved in the project)

The ISD PMO will provide a Project Manager (PM). The PM will define and maintain standards for project management. ISD's PMO provides templates, PM tools, support and training for SCO projects. MERIT is a project scheduling tool used by SCO and the project scheduling tool of choice for UPMSR. The PM will develop, implement, maintain and ensure execution of project management plans and supporting processes and procedures. Also, the PMO will provide guidance and assistance as needed. In addition to providing a repository of knowledge on best practices, the PMO provides governance, peer reviews, traceability, project history, organizational knowledge, transparency, facilitates delivery support by reducing bureaucracy, and provides training, coaching, mentoring and quality assurance. Utilizing standards found in the Project Management Body of Knowledge Guide (PMBOK®), the CA (Project Management Framework) PMF and other SCO or State guidelines for the UPMSR project with adhering to the CA Project Approval Lifecycle (PAL) level requirements. ISD PMO will serve in an advisory role but have no decision-making role on the UPMSR project.

Organization Name: **SCO, ISD, Business Integration Unit (BIU)**

Stakeholder Name: **Richard Soto**

Stakeholder Internal or External? Internal

When is the Stakeholder Impacted?

Input to Business Process: Yes

During Business Process: Yes

Output of Business Process: Yes

How are Stakeholders impacted? (Describe how the stakeholder is involved in the process)

The ISD BIU is impacted by providing an Analyst to collaborate with ISD and PPSD concerning business and technical requirements content. BIU will also collaborate and contribute concerning required PAL documentation.

How will the Stakeholder participate in the project? (Describe how the stakeholder will be involved in the project)

The ISD BIU Analysts will work independently and in collaboration with UPD and the ISD Technology team to identify and document business and technical requirements for the UPMSR application. The ISD BIU Analyst will utilize standards found in the Business Analysis Body of Knowledge Guide (BABOK®), the CA-PMF and other SCO or State guidelines for the UPMSR project with adhering to the CA PAL level requirements. SCO BIU will have serve in an advisory role but have no decision-making role on the UPMSR project.

Organization Name: **SCO, ISD, Enterprise Architecture (EA)**

Stakeholder Name: **Paulette Childs**

Stakeholder Internal or External? Internal

When is the Stakeholder Impacted?

Input to Business Process: Yes

During Business Process: Yes

Output of Business Process: Yes

How are Stakeholders impacted? (Describe how the stakeholder is involved in the process)

The ISD EA Office is required to have an EA Office member available as a SME to advise and consult UPMSR Project team.

How will the Stakeholder participate in the project? (Describe how the stakeholder will be involved in the project)

The SCO EA Office will work independently and in collaboration with UPMSR Project team to identify IT technical standards and patterns as needed and provide any applicable Reference Architectures documented by the CDT EA Office and by the CEC ISD Technology Team. SCO EA will serve in an advisory role but have no decision-making role on the UPMSR project.

Organization Name: **SCO, Administration and Disbursements Division, Division Chief**

Stakeholder Name: **Jennifer Chavez**

Stakeholder Internal or External? Internal

When is the Stakeholder Impacted?

Input to Business Process: Yes

During Business Process: No

Output of Business Process: No

How are Stakeholders impacted? (Describe how the stakeholder is involved in the process)

The SCO, Administration and Disbursements Division will provide Budget and Contract officers who will support the UPMSR Contract and UPMSR Budget Change Proposal (BCP).

How will the Stakeholder participate in the project? (Describe how the stakeholder will be involved in the project)

The SCO Administration and Disbursements Division will participate in advising and/or completing a contract for UPMSR. The SCO Administration and Disbursements Division will serve in an advisory role but have no decision-making role on the UPMSR project.

Organization Name: **SCO, UPD Business Analysis Unit, Manager**

Stakeholder Name: **Julie Asbury**

Stakeholder Internal or External? Internal

When is the Stakeholder Impacted?

Input to Business Process: Yes

During Business Process: Yes

Output of Business Process: Yes

How are Stakeholders impacted? (Describe how the stakeholder is involved in the process)

The SCO UPD Manager is impacted by providing an Analyst to collaborate with ISD concerning business and technical requirements content. BAU will also collaborate and contribute concerning required PAL documentation.

How will the Stakeholder participate in the project? (Describe how the stakeholder will be involved in the project)

The UPD BAU Analysts will work independently and in collaboration with the ISD Technology team to identify and document business and technical requirements for the UPMSR application. The UPD BAU Analysts will utilize standards found in the Business Analysis Body of Knowledge Guide (BABOK®), the CA-PMF and other SCO or State guidelines for the UPMSR project with adhering to the CA PAL level requirements. SCO UPD BAU will have serve in an advisory role but have no decision-making role on the UPMSR project.

Organization Name: **SCO, Executive Office, Public Affairs Office, Manager**

Stakeholder Name: **Debbie O'Donoghue**

Stakeholder Internal or External? Internal

When is the Stakeholder Impacted?

Input to Business Process: Yes

During Business Process: Yes

Output of Business Process: Yes

How are Stakeholders impacted? (Describe how the stakeholder is involved in the process)

The SCO, Manager, Public Affairs Office

How will the Stakeholder participate in the project? (Describe how the stakeholder will be involved in the project)

PAO reviews all public facing documentation, websites, and production roll out plans.

Organization Name: **SCO, ISD UPD Service Desk, Supervisor**

Stakeholder Name: **Ravi Varasala**

Stakeholder Internal or External? Internal

When is the Stakeholder Impacted?

Input to Business Process: Yes

During Business Process: Yes

Output of Business Process: Yes

How are Stakeholders impacted? (Describe how the stakeholder is involved in the process)

ISD UPD SD is responsible for coordinating with the current system provider and other cross-functional teams on implementation of system fixes and enhancements, schedule management, and oversight of contract hours.

How will the Stakeholder participate in the project? (Describe how the stakeholder will be involved in the project)

During implementation, ISD UPD SD will be responsible for coordinating efforts between the current vendor and the new vendor for data migration and system conversion. Following the rollout, ISD UPD SD will coordinate with the new vendor and other cross-functional teams on the implementation of system fixes and enhancements and coordinate the vendor's schedule with UPD.

Organization Name: **SCO, Information Systems Division (ISD)**

Stakeholder Name: **Information Systems Division (ISD)**

Stakeholder Internal or External? Internal

When is the Stakeholder Impacted?

Input to Business Process: Yes

During Business Process: Yes

Output of Business Process: Yes

How are Stakeholders impacted? (Describe how the stakeholder is involved in the process)

ISD serves the SCO through technology solutions and services, and ensures the integrity and security of the SCO technology, employees and facilities.

How will the Stakeholder participate in the project? (Describe how the stakeholder will be involved in the project)

ISD will be responsible for database application, web services development, maintenance and infrastructure support of the UPMSR project, and project management oversight.

1.5   Business Program

Organization Name: **Unclaimed Property Division**

Business Program Name: **Holder Operations Bureau (HOB)**

When is the unit impacted?

> Input to the Business Process: Yes
>
> During the Business Process: Yes
>
> Output of the Business Process: Yes

How is the business program unit impacted?

HOB is responsible for receiving, reviewing and processing semi-annual unclaimed property reports from holders (businesses). Holders may send paper reports for nine or fewer properties and for ten or more properties, send an electronic report vie email, File Transfer Protocol (FTP), or physical media such as CDs or flash drives. There is no online option for Holders to submit their reports, and considerable manual processing of hardcopies and files to load them into the current system, Clearview Connect.

How will the business program unit participate in the project?

HOB will consult with internal and external stakeholders on project implementation plans and inform the project management team of system requirements, business rules, and workflows. The bureau will also participate in testing the new system as part of the implementation phase and be the primary source for education and training materials for the business community during the solution rollout.

Business Program Name: **Special Operations Bureau (SOB)**

When is the unit impacted?

Input to the Business Process: Yes

During the Business Process: Yes

Output of the Business Process: Yes

How is the business program unit impacted?

SOB is responsible for the intake and quality assurance review of claims submitted to UPD. The current system does not allow a seamless process for claims to be electronically received, evaluated, and approved or returned for correction. In addition, the lack of a digital workflow means that paper claims must be physically stored, placing demands on physical office space and costs to maintain paper archives. The current system negatively impacts the evaluation and quality review process for claims, as the current system workflow requires that even simple edits undergo a lengthy external process that often involve several staff to complete.

How will the business program unit participate in the project?

SOB will consult with internal and external stakeholders on project implementation plans and inform the project management team of system requirements, business rules, and workflows. During the implementation phase, the bureau will participate in testing the new system and will be responsible for the digital conversion of physical claims. In addition, as the UPD bureau responsible for the UPD Call Center, SOB will be the public-facing team during the system rollout.

Organization Name: **Unclaimed Property Division**

Business Program Name: **Consumer Operations Bureau (CSB)**

When is the unit impacted?

Input to the Business Process: Yes

During the Business Process: Yes

Output of the Business Process: Yes

How is the business program unit impacted?

CBS is responsible for evaluating and processing claims received by the Unclaimed Property Division. The current system does not allow the user to verify if their claim package is complete at the time of submission; claimants must wait until their claim is triaged or evaluated to be notified if additional documentation is needed for payment. Additionally, claimants who do not meet the criteria for electronic claim submission must submit a paper claim and hard copies of claims documentation, as the current system does not have an electronic document submission option for paper claims. In addition, paper claims must be physically routed and stored as hardcopies, as the current system does not allow for scanning physical documents into digital documents.

How will the business program unit participate in the project?

CSB will consult with internal and external stakeholders on project implementation plans and inform the project management team of system requirements, business rules, and workflows. The bureau will also participate in testing the new system as part of the implementation phase.

Organization Name: **Unclaimed Property Division**

Business Program Name: **Accounting Bureau (AB)**

When is the unit impacted?

      Input to the Business Process: Yes

      During the Business Process: Yes

      Output of the Business Process: Yes

How is the business program unit impacted?

AB is responsible for disbursements and reports of all cash, securities, and related financial activity for UPD. However, the current system was not developed to incorporate the workflow of AB and therefore all interactions with the current system require manual data uploads by staff, including manual linking of receipts within the system, manual posting and allocation proceeds from security sales, manual posting of corporate action transactions, and manual generation and processing of the Letter of Authorization (LOA) for the stock transfer process. Additionally, any claims batches exceeding 500 lines must be manually split before upload or they will not be eligible for batch verification within the current system. Because the legacy systems for AB were not converted during the implementation of the current system, staff must search legacy systems and records to determine what was not converted and then manually update the current system. In addition, when any billing corrections are made within the current system, prior billing information is lost, as the system cannot produce second or third billing calculation details. The current system also lacks sufficient features for tracking legal decisions, write-offs, or other AB notes.

How will the business program unit participate in the project?

AB will consult with internal and external stakeholders on project implementation plans and inform the project management team of system requirements, business rules, and workflows. The bureau will also participate in testing the new system as part of the implementation phase.

Organization Name: **Unclaimed Property Division**

Business Program Name: **Property Owner Advocate (POA)**

When is the unit impacted?

      Input to the Business Process: Yes

      During the Business Process: Yes

      Output of the Business Process: Yes

How is the business program unit impacted?

POA serves as an ombudsman office with UPD and handles specialty claims, hardship claims, Legal referrals, and report inquiries from businesses. As a specialty claims processing unit, POA shares the same impacts defined for CSB above,

How will the business program unit participate in the project?

POA will consult with internal and external stakeholders on project implementation plans and inform the project management team of system requirements, business rules, and workflows. The bureau will also participate in testing the new system as part of the implementation phase.

Organization Name: **Unclaimed Property Division**

Business Program Name: **Business Analysis Unit (BAU)**

When is the unit impacted?

     Input to the Business Process: Yes

     During the Business Process: Yes

     Output of the Business Process: Yes

How is the business program unit impacted?

BAU currently facilitates and oversees troubleshooting issues with the current system, documenting defects and enhancements for the current system and escalate issues for resolution to UPDSD to coordinate with the vendor. BAU is also responsible for regression testing and user acceptance testing of all new builds and fixes delivered from the current vendor.

How will the business program unit participate in the project?

BAU will consult with internal and external stakeholders on project implementation plans and inform the project management team of system requirements, business rules, and workflows. During the project, BAU will serve as the primary coordinating team for UPD during all phases of the implementation process to oversee the efforts of UPD for testing, training, and rollout. Following the rollout, BAU will serve as a bridge between the four UPD bureaus and the service desk team to facilitate systems issue troubleshooting, document and escalate systems issues for resolution, and oversee and coordinate all testing of system fixes and enhancements.

Organization Name: **Unclaimed Property Division**

Business Program Name: **Administrative Support Section**

When is the unit impacted?

     Input to the Business Process: Yes

During the Business Process: Yes

Output of the Business Process: Yes

How is the business program unit impacted?

Although much of the workload within the Administrative Support Section could be completed remotely, the current system does not allow a large number of UPD staff to work remotely which necessitates onsite staff to support their administrative needs. In addition, the Administrative Support Section oversees all vendor contracts for UPD.

How will the business program unit participate in the project?

The Administrative Support Section will oversee the contracts for the new system vendor.

1.6 Business Alignment

Business Driver(s)

Financial Benefit: Yes

    Increased Revenue: Yes

    Cost Savings: Yes

    Cost Avoidance: Yes

    Cost Recovery: No

Mandate(s): None Choose an item.

Improvement

    Better Services to Citizens: Yes

    Efficiencies to Program Operations: Yes

    Improved Health and/or Human Safety: Yes

    Technology Refresh: Yes

Security

    Improved Information Security: Yes

    Improved Business Continuity: No

    Improved Technology Recovery: No

    Technology End of Life: Yes

Strategic Business Alignment

    Strategic Plan Last Updated 7/30/2020

Strategic Business Goal: Provide excellent customer service.

Alignment: The new system will provide Holders the ability to submit required documents electronically, rather than through paper, email, FTP, or physical media, making it easier for them to comply with their mandated responsibilities to report unclaimed property. Claimants will be able to submit their claims through a portal that allows them to electronically submit all of the documentation and information needed to process their claim, and they will be able to use the portal to check the status of their claim. The new system will reduce the time to process claims, which will return property more expeditiously to the rightful owners.

Strategic Business Goal: Deliver core services and products more effectively through innovative business processes and technology solutions.

Alignment: The new fully integrated system will improve end-to-end processing times that will allow UPD to deliver its services more efficiently and effectively to Holders, Claimants, and external agencies. With an integrated system, staff from all UPD bureaus will see an elimination of manual processing and have an increased ability to work remotely. The new system will provide end-to-end integration of workflows that will span UPD's processing, from the identification of unclaimed property from Holders, to the submission and verification of claims by Claimants, and the reconciliation of payments to Claimants. In addition, the new system will streamline and automate UPD's critical support activities, such as report generation, fraud detection and prevention, appraisal and auctions of property, management of securities, and reconciliation of settlements.

Strategic Business Goal: Enhance communication, transparency, and information sharing.

Alignment: The new system will give Holders better visibility into the documentation requirements for them to report properties to SCO and to see the status of those submissions. The system will provide Claimants a step-by-step process customized for their type of claim, and a portal to see the status of their claim submissions. Claimants will be able to work directly with UPD staff using a chat functionality, and UPD's customer service will have an integrated Interactive Voice Response (IVR) functionality and better access to Claim information that will allow them to quickly resolve customer issues. The new system will improve data sharing with better capability to produce reports to external agencies, such as UPD's annual financial and statistical reports.

Strategic Business Goal: Actively promote financial integrity and accountability for state and local governments.

Alignment: The new system will promote greater financial integrity through the new system's enhanced accounting functions, such as a better process for managing Electronic Funds Transfer (EFT) files, greater ability to upload data from spreadsheets and the Fi$Cal system, and the capacity to reconcile securities between system and brokerage accounts. In addition, there will be improved fraud detection and prevention, better tools for verification of rightful owner claims, and increased capabilities for management of securities and reconciliation of settlements.

Executive Summary of the Business Problem or Opportunity:

This project will address needs the following problems/opportunities:

- Inability of claimants to submit required claim documents electronically
- Inability of holders and claimants to submit documents electronically
- Lack of holder compliance with the Unclaimed Property Law
- Lack of adequate fraud detection and prevention tools
- Workflow management tools needed to improve the efficiency and timeliness of customer services provided by UPD
- Lack of integration between business processes and workflows
- Overreliance on manual processing
- Lack of ability to support remote work
- Lack of auction functionality
- Slow development process to address system limitations
- Lack of financial controls over remitted funds and linking those funds to the appropriate holder reports or billings
- Poor securities portfolio management functionality

Business Problem/Opportunities and Objectives List

Business Problem/Opportunity ID: 1 - Inability of claimants to submit required claim documents electronically

Business Problem/Opportunity Description: Currently, claimants submitting claims valued over $999.99 must complete hardcopy claim forms and submit the forms along with any verification documents such as proof of identity and residency via postal mail. This is a heavy burden for claimants and requires a great deal of manual processing by UPD to meet the mandated 180 days to resolve claims.

Objective ID: 4

Objective: Within the first year after implementation, increase the number of documents submitted electronically by claimants to 30% of total submitted claimant documents.

Metric: 30% increase of baseline number Claimant documents submitted electronically within the first year

Baseline: Number of Claimant documents submitted electronically in the year prior to implementation

Target: 30% of all documents submitted by Claimants

Measurement Method: Using data provided by HOB, tally the number of total documents submitted (manual submissions via postal mail and digital submissions via online portal) to determine the percentage of total documents that were submitted electronically.

Objective ID: 6

Objective: Reduce manual claim processing time to 125 days within the first two years after implementation.

Metric: Reduce the average processing time for UPD to manually process claims within the first two years.

Baseline: Average number of days to manually process claims for the year prior to implementation.

Target: Average number of days to proves a claim to be 125 days or less.

Measurement Method: Using data provided by CBS, who captures data on processing times for each claim and reports on the average number of days to process manual claims, determine if the average number of days to manually process claims is at 125 or less two years following implementation.

Objective ID: 3

Objective: Increase the number of UPD staff who can work remotely by 20% within the first year after implementation.

Metric: Increase the number of UPD staff who can work remotely within the first year.

Baseline: Number of employees working at least part time remotely in the year prior to implementation.

Target: Increase of 20% in the number of employees working at least part time remotely by one year following implementation.

Measurement Method: Using data provided by the Personnel Liaison Office for the total number of remote employees (including part time remote employees) in the year prior to implementation, compare to the total number of remote employees (including part time remote employees) one year following implementation.

Business Problem/Opportunity ID: 2 - Inability of holders to submit required claim documents electronically

Business Problem/Opportunity Description: Currently, holders send Notice Reports and Remit Reports and remittances bi-annually by an external physical media device or a file attached in an email. There are several issues with the current report submittal process, such as a manual processing, low security, different received report formats, and email constraints.

Objective ID: 2

Objective: Within the first year after implementation, increase the number of documents submitted electronically by holders to 75% of total submitted holder documents.

Metric: Increase of the number Claimant documents submitted electronically within the first year to 75% of total submitted holder documents.

Baseline: Number of Holder documents submitted electronically in the year prior to implementation.

Target: 75% of all documents submitted by Holders

Measurement Method: Using data provided by HOB, compare the total the number of total documents submitted electronically (via email) one year prior to implementation to the total the number of total documents submitted electronically (via online portal and/or email) to determine the percentage increase of total documents submitted electronically one year following implementation.

Objective ID: 3

Objective: Increase the number of UPD staff who can work remotely by 20% within the first year after implementation.

Metric: Increase the number of UPD staff who can work remotely within the first year.

Baseline: Number of employees working at least part time remotely in the year prior to implementation.

Target: Increase of 20% in the number of employees working at least part time remotely by one year following implementation.

Measurement Method: Using data provided by the Personnel Liaison Office for the total number of remote employees (including part time remote employees) in the year prior to implementation, compare to the total number of remote employees (including part time remote employees) one year following implementation.

Business Problem/Opportunity ID: 3 – Lack of holder compliance with the Unclaimed Property Law

Business Problem/Opportunity Description: Date from UPD and FTB show that roughly 2% of California businesses are compliant with the Unclaimed Property Law, which limits UPD's ability to meet its mission to safeguard and return of property to the rightful owners.

Objective ID: 5

Objective: Increase holder reporting compliance by 20% within the first three years after implementation.

Metric: Increase the number of California businesses who submit unclaimed property reports to UPD within three years of implementation.

Baseline: Number of California businesses who submit unclaimed property reports to UPD in the year prior to implementation (currently at 2% of CA businesses).

Target: Increase the number of California businesses who submit unclaimed property reports to UPD by 20% within three years of implementation.

Measurement Method: Using data provided by the HOB and FTB, determine the total number of businesses who have come into compliance with the Unclaimed Property Law three years after implementation to determine if compliance has increased by 20% over the baseline.

Objective ID: 1

Objective: Increase the return of properties to the rightful owners by 15% within the first two years after implementation.

Metric: Increase the number of properties to the rightful owners within two years of implementation.

Baseline: Number of properties returned to rightful owners by UPD in the year prior to implementation.

Target: Increase the return of properties to the rightful owners by 15% within the first two years after implementation.

Measurement Method: Using data provided by CSB, calculate the total number of properties returned to rightful owners in the year prior to implementation and compare to the total number of properties returned to rightful owners two years after implementation to determine the percentage increase.

Business Problem/Opportunity ID: 4 – Lack of adequate fraud detection and prevention tools to ensure UPD is returning property to the rightful owner

Business Problem/Opportunity Description: According to a report published by the Federal Trade Commission (https://www.ftc.gov/news-events/press-releases/2021/02/new-data-shows-ftc-received-2-2-million-fraud-reports-consumers), identity theft and fraud reports in 2020 were up 45 percent from 2019. The sophistication and determination of fraudulent actors is increasing each year. The current system used by UPD does not include tools that will allow UPD to detect fraudulent documents, verify geolocation of claimants, or check submissions against known fraud databases. A system with advanced, automated fraud detection and prevention tools to avoid paying fraudulent claims is a pressing and urgent need for UPD.

Objective ID: 8

Objective: Launch a minimum of three automated fraud prevention tools within the first year after implementation.

Metric: Increase the number of automated fraud prevention tools available to UPD.

Baseline: Number of automated fraud prevention tools available to UPD in the year prior to implementation.

Target: Launch a minimum of three automated fraud prevention tools within the first year after implementation.

Measurement Method: Using information provided by UPDSD/ISD, tally the number of automated fraud prevention tools on the UPD system launched within the first year after implementation.

Objective ID: 1

Objective: Increase the return of properties to the rightful owners by 15% within the first two years after implementation.

Metric: Increase the number of properties to the rightful owners within two years of implementation.

Baseline: Number of properties returned to rightful owners by UPD in the year prior to implementation.

Target: Increase the return of properties to the rightful owners by 15% within the first two years after implementation.

Measurement Method: Using data provided by CSB, calculate the total number of properties returned to rightful owners in the year prior to implementation and compare to the total number of properties returned to rightful owners two years after implementation to determine the percentage increase.

Business Problem/Opportunity ID: 5 – Workflow management tools needed to improve the efficiency and timeliness of customer services provided by UPD

Business Problem/Opportunity Description: UPD staff currently perform many critical processes manually and often using hardcopy forms and documents. An integrated system with secure online document submission capabilities and digital workflow will improve processing times so UPD can deliver its services more efficiently and effectively to holders, claimants, and external agencies.

Objective ID: 11

Objective: Upon full system implementation, integrate business process workflows between all UPD bureaus.

Metric: Increase the number of integrated systems servicing all four bureaus within UPD.

Baseline: Number of integrated systems servicing all four bureaus within UPD in the year prior to implementation.

Target: Upon full system implementation, integrate business process workflows between all UPD bureaus.

Measurement Method: Using information provided by UPDSD/ISD as well as all four UPD bureaus, compare the number of integrated systems servicing all four bureaus within UPD in the year prior to implementation to the number of integrated systems servicing all four bureaus within UPD upon full system implementation.

Objective ID: 7

Objective: Within one year of implementation, increase the number of customer questions handled by automated systems by 10%.

Metric: Increase the percentage of customer questions handled by automated response systems.

Baseline: Percentage of customer questions handled by UPD automated response systems in the year prior to implementation.

Target: Within one year of implementation, increase the percentage of customer questions handled by automated response systems to 50% of total serviced.

Measurement Method: Using information provided by SOB, compare the percentage of total customer questions handled by automated response systems in the year prior to implementation to the

percentage of total customer questions handled by automated response systems one year after implementation.

Business Problem/Opportunity Description: Currently, several of UPD's key business processes are managed using separate software applications that have limited or no integration. The replacement system will integrate the existing applications' functionality under one system, automate current manual and hardcopy processes, and provide an end-to end workflow for UPD's key business processes.

Objective ID: 11

Objective: Upon full system implementation, integrate business process workflows between, and within, all UPD bureaus.

Metric: Increase the number of integrated systems servicing all four bureaus within UPD.

Baseline: Number of integrated systems servicing all four bureaus within UPD in the year prior to implementation.

Target: Upon full system implementation, integrate business process workflows between, and within, all UPD bureaus.

Measurement Method: Using information provided by UPDSD/ISD as well as all four UPD bureaus, compare the number of integrated systems servicing all four bureaus within UPD in the year prior to implementation to the number of integrated systems servicing all four bureaus within UPD upon full system implementation.

Objective ID: 12

Objective: Upon full system implementation, eliminate stand-alone databases and spreadsheets required for essential business functions and replace with a secure, integrated system.

Metric: Number of stand-alone databases and spreadsheets required for essential business functions

Baseline: Number of existing stand-alone databases and spreadsheets required for essential business functions

Target: Upon full system implementation, eliminate stand-alone databases and spreadsheets required for essential business functions and replace with a secure, integrated system.

Measurement Method: Calculate the total number of stand-alone databases and spreadsheets required for essential business functions and ensure they are integrated into the new system during the data migration and implementation phases.

Objective ID: 13

Objective: Upon implementation, launch integrated and automated systems to ensure financial integrity and accurate reconciliation of funds

Metric: Integrated and automated systems to ensure financial integrity and accurate reconciliation of funds

Baseline: Number of integrated and automated systems to ensure financial integrity and accurate reconciliation of funds in the year prior to implementation

Target: Upon implementation, launch integrated and automated systems to ensure financial integrity and accurate reconciliation of funds

Measurement Method: Based on information provided by AB and UPSDS/ISD, determine the number of integrated and automated systems to ensure financial integrity and accurate reconciliation of funds and compare to the number after implementation.

Business Problem/Opportunity ID: 7 – Overreliance on manual processing

Business Problem/Opportunity Description: Many of the current systems used by UPD are manual, paper-based processes that are inefficient and lead to slow processing times for reports and claims. This overreliance on manual processing impedes UPD's ability to deliver services to its constituents.

Objective ID: 2

Objective: Within the first year after implementation, increase the number of documents submitted electronically by holders to 75% of total submitted holder documents.

Metric: Increase of the number Claimant documents submitted electronically within the first year to 75% of total submitted holder documents.

Baseline: Number of Holder documents submitted electronically in the year prior to implementation.

Target: 75% of all documents submitted by Holders

Measurement Method: Using data provided by HOB, compare the total the number of total documents submitted electronically (via email) one year prior to implementation to the total the number of total documents submitted electronically (via online portal and/or email) to determine the percentage increase of total documents submitted electronically one year following implementation.

Objective ID: 6

Objective: Reduce manual claim processing time to 125 days within the first two years after implementation.

Metric: Reduce the average processing time for UPD to manually process claims within the first two years.

Baseline: Average number of days to manually process claims for the year prior to implementation.

Target: Average number of days to proves a claim to be 125 days or less.

Measurement Method: Using data provided by CBS, who captures data on processing times for each claim and reports on the average number of days to process manual claims, determine if the average number of days to manually process claims is at 125 or less two years following implementation.

Objective ID: 11

Objective: Upon full system implementation, integrate business process workflows between all UPD bureaus.

Metric: Increase the number of integrated systems servicing all four bureaus within UPD.

Baseline: Number of integrated systems servicing all four bureaus within UPD in the year prior to implementation.

Target: Upon full system implementation, integrate business process workflows between all UPD bureaus.

Measurement Method: Using information provided by UPDSD/ISD as well as all four UPD bureaus, compare the number of integrated systems servicing all four bureaus within UPD in the year prior to implementation to the number of integrated systems servicing all four bureaus within UPD upon full system implementation.

Business Problem/Opportunity ID: 8 – Lack of ability to support remote work

Business Problem/Opportunity Description: The current system does not function over VPN and does not include the proper security protocols and audit trails needed to allow reporting and claims staff to work remotely. This has a knock-on effect to administrative and support staff who could work remotely but must remain on-site to attend to the needs of the in-house staff.

Objective ID: 3

Objective: Increase the number of UPD staff who can work remotely by 20% within the first year after implementation.

Metric: Increase the number of UPD staff who can work remotely within the first year.

Baseline: Number of employees working at least part time remotely in the year prior to implementation.

Target: Increase of 20% in the number of employees working at least part time remotely by one year following implementation.

Measurement Method: Using data provided by the Personnel Liaison Office for the total number of remote employees (including part time remote employees) in the year prior to implementation, compare to the total number of remote employees (including part time remote employees) one year following implementation.

Business Problem/Opportunity ID: 9 – Lack of auction functionality

Business Problem/Opportunity Description: Since its launch in 2004, the current system has not included a functional tool that would allow UPD to auction properties if directed to do so by The Controller.

Objective ID: 9

Objective: Within one year of the implementation of the project, launch a system that will allow UPD to auction properties.

Metric: A system that will allow UPD to auction properties.

Baseline: No system that will allow UPD to auction properties currently exists

Target: Within one year of the implementation of the project, launch a system that will allow UPD to auction properties.

Measurement Method: Based on information provided by CSB and UPDSD/ISD, determine if a system that will allow UPD to auction properties has been launched within one year of implementation

Business Problem/Opportunity ID: 10 – Slow development process to address system limitations

Business Problem/Opportunity Description: The current process to address defects, updates, and enhancements with the current system is inefficient and ineffective. The development resources for the current contractor are shared between multiple states making it challenging to address multiple projects concurrently. Once issues are identified and documented by UPD staff, the timeline for resolution is slow and often unknown.

Objective ID: 10

Objective: Reduce the timeline for system fixes, updates and enhancements by 50% within the first year of implementation

Metric: Time devoted to implementation of system fixes, updates, and enhancements

Baseline: Time from issue initiation to approved development solution for system fixes, updates, and enhancements on the current system.

Target: Reduce the timeline for system fixes and updates by 50% within the first year of implementation

Measurement Method: Based on information provided by BAU and UPDSD/ISD, compare the time from issue initiation to approved development solution for system fixes, updates, and enhancements on the current system to the new system to determine the percentage change.

Business Problem/Opportunity ID: 11 – Lack of financial controls over remitted funds and linking those funds to the appropriate holder reports or billings

Business Problem/Opportunity Description: The current system was not designed to integrate accounting functions with the reporting and claims functions. This means there are no automated tools to link remitted funds to holder reports, a basic function needed by UPD to improve the delivery of its services.

Objective ID: 13

Objective: Upon implementation, launch integrated and automated systems to ensure financial integrity and accurate reconciliation of funds

Metric: Integrated and automated systems to ensure financial integrity and accurate reconciliation of funds

Baseline: Number of integrated and automated systems to ensure financial integrity and accurate reconciliation of funds in the year prior to implementation

Target: Upon implementation, launch integrated and automated systems to ensure financial integrity and accurate reconciliation of funds

Measurement Method: Based on information provided by AB and UPSDS/ISD, determine the number of integrated and automated systems to ensure financial integrity and accurate reconciliation of funds and compare to the number after implementation.

Objective ID: 11

Objective: Upon full system implementation, integrate business process workflows between all UPD bureaus.

Metric: Increase the number of integrated systems servicing all four bureaus within UPD.

Baseline: Number of integrated systems servicing all four bureaus within UPD in the year prior to implementation.

Target: Upon full system implementation, integrate business process workflows between all UPD bureaus.

Measurement Method: Using information provided by UPDSD/ISD as well as all four UPD bureaus, compare the number of integrated systems servicing all four bureaus within UPD in the year prior to implementation to the number of integrated systems servicing all four bureaus within UPD upon full system implementation.

Business Problem/Opportunity ID: 12 – Poor securities portfolio management functionality

Business Problem/Opportunity Description: The current system lacks the tools needed to efficiently manage securities and reconciliation of settlements. UPD needs a system that includes the capacity to reconcile securities between system and brokerage accounts, including automated posting of corporate actions, dividends, and sales along with automated linking of receipts to posted transactions. In addition, when UPD receives additional dividends on securities that were recently

transferred, the current system limitations require that staff recreate the entire claims process again, as there is no existing automated system to send out the additional dividends received.

Objective ID: 13

Objective: Upon implementation, launch integrated and automated systems to ensure financial integrity and accurate reconciliation of funds

Metric: Integrated and automated systems to ensure financial integrity and accurate reconciliation of funds

Baseline: Number of integrated and automated systems to ensure financial integrity and accurate reconciliation of funds in the year prior to implementation

Target: Upon implementation, launch integrated and automated systems to ensure financial integrity and accurate reconciliation of funds

Measurement Method: Based on information provided by AB and UPSDS/ISD, determine the number of integrated and automated systems to ensure financial integrity and accurate reconciliation of funds and compare to the number after implementation.

Objective ID: 11

Objective: Upon full system implementation, integrate business process workflows between all UPD bureaus.

Metric: Increase the number of integrated systems servicing all four bureaus within UPD.

Baseline: Number of integrated systems servicing all four bureaus within UPD in the year prior to implementation.

Target: Upon full system implementation, integrate business process workflows between all UPD bureaus.

Measurement Method: Using information provided by UPDSD/ISD as well as all four UPD bureaus, compare the number of integrated systems servicing all four bureaus within UPD in the year prior to implementation to the number of integrated systems servicing all four bureaus within UPD upon full system implementation.

Project Approval Lifecycle Completion and Project Execution Capacity Assessment

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)?

   Answer (yes or no): Yes

2. 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):   Both New and Existing Processes

1.7   Project Management

Project Management Risk Score: 0.5

(Attach a completed [Statewide Information Management Manual (SIMM)](#) Section 45 Appendix A to the email submission.)

Included completed S1BA_2021-11_SIMM_45_UPMSR_PM Risk Assessment_V1.0 as an attachment

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?

    Answer (Unknown, Yes, No, Clear): Yes

    If Yes, include the data governance organization 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?

    Answer (Unknown, Yes, No, Clear): Yes

    If Yes, include the data governance policies as an attachment to your email submission.

    The SCO Database Management Unit (DMU) maintains data governance policies and these documented policies reside in a SCO internal SharePoint repository, which includes database best practices, data availability, data integrity, data security and data independence. In addition, DMU documented database standards, change management, segregation of duties and internal controls. Also, other SCO's systems and applications use the Integrated Data Dictionary (IDD), which requires the use of defined, documented policies and standards for the SCO's data.

3. Does the agency/state entity have data security policies, standards, controls, and procedures formally defined, documented, and implemented?

    Answer (Unknown, Yes, No, Clear): Yes

    If Yes, attach the existing documented security policies, standards, and controls used to your email submission.

Established in 2008, the SCO Information Security Program was constructed to align the intent and spirit of the following information security public and private sector best practices for information security controls and management:

• International Organization for Standardization and International Electro technical Commission (ISO/IEC®) 27002: International Standards for Information Technology – Security Techniques – Code of practice for Information Security Management.

• Federal Information Processing Standards (FIPS) and National Institute of Standards and Technology (NIST) Special Publications.

The SCO Information Security Program includes fully defined information asset security categorization, planning; and, certification assessment and accreditation processes. If you have any questions concerning the SCO's Information Security Program's information asset security management activities please contact the SCO's Chief Information Security Officer, Adam German, at agerman@sco.ca.gov or 916-324-9472

4. Does the agency/state entity have user accessibility policies, standards, controls, and procedures formally defined, documented, and implemented?

   Answer (Unknown, Yes, No, Clear): Yes

   If Yes, attach the existing documented policies, accessibility governance plan, and standards used to the email submission. Do you have existing data that you are going to want to access in your new solution?

   Answer (Unknown, Yes, No, Clear): Yes

   If Yes, include the data migration plan as an attachment to your email submission.

   *Data Migration/Management Plan deferred to Stage 3, per communication from CDT.

5. If data migration is required, please rate the quality of the data.
   Select data quality rating: No information available

1.8   Criticality Assessment

Business Criticality

Legislative Mandates: No

Bill Number(s)/Code(s): Click or tap here to enter text.

Language that includes system relevant requirements: Click or tap here to enter text.

TIP: Copy and paste to add Bill Numbers/Codes and relevant language.

Business Complexity Score: 2.2

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

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: No

N/A: No

Noncompliance Description: N/A

Additional Assessment Criteria

1. What is the proposed project Implementation start date? 3/1/2023

   Implementation of new system will take approximately 12 – 14 months following approval of Stage 4 by CDT.

2. Is this proposal anticipated to have high public visibility?   Yes
   If "Yes", then please identify the dynamics of the anticipated high visibility below:

   The new system will replace the unclaimed property search database and claims portal on the UPD public website. In addition, the new system will include a reporting and documentation portal for businesses.

3. If there is an existing Privacy Threshold Assessment/Privacy Information Assessment, then include as an attachment to your email submission. ==PIA & PTA to be submitted with S2AA, per communication from CDT.==

4. Does this proposal affect business program staff located in multiple geographic locations? Yes

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

   In addition, between 100 and 125 remote staff working in various locations throughout the greater Sacramento region.

   City Rancho Cordova   State: CA

   Number of locations: 1

   Approximate number of Staff: 150

City Downtown Sacramento   State: CA

Number of locations: 1

Approximate number of Staff: 10

City East Sacramento   State: CA

Number of locations: 1

Approximate number of Staff: 15

1.9   Funding

1. Does the agency/state entity anticipate requesting additional resources through a budget action to complete the project approval lifecycle?

   Answer (Yes, No, Clear): Yes

2. Will the state possibly incur a financial sanction or penalty if this proposal is not implemented?

   Answer (Yes, No, Clear): No

   If yes, please identify the financial impact to the state:

   Click or tap here to enter text.

FUNDING SOURCE	FUND AVAILABILTY DATE
General Fund: No	Click or tap to enter a date.
Special Fund: No	Click or tap to enter a date.
Federal Fund: No	Click or tap to enter a date.
Reimbursement: Choose an item.	Click or tap to enter a date.
Bond Fund: Choose an item.	Click or tap to enter a date.
Other Fund: Yes	3/1/2023

   If "Other Fund" is selected, specify the funding source: Unclaimed Property Continuous Appropriation Fund

1.10 Reportability Assessment

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?

   Answer (Yes, No, Clear): Yes

   If No" this initiative is not an IT project and is not required to complete the Project Approval Lifecycle. (Reportable Project Decision Tree (RPDT) Reference Guide, Reference R1.)

2. Does the activity meet the definition of Maintenance or Operations found in SAM Section 4819.2?

   Answer (Yes, No, Clear): No

   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:

3. Has the project/effort been previously approved and considered an ongoing IT activity identified in SAM Section 4819.2, 4819.40?   **NOTE**: Requires a Post Implementation Evaluation Report (PIER) submitted to the CDT.

   Answer (Yes, No, Clear): No

   If Yes, this initiative is not required to complete the Project Approval Lifecycle. Please report this workload on the Agency Portfolio Report.

4. Is the project directly associated with any of the following as defined by SAM Section 4812.32? Includes single-function process-control systems; analog data collection devices, or telemetry systems; telecommunications equipment used exclusively for voice communications; Voice Over Internal Protocol (VOIP) phone systems; acquisition of printers, scanners and copiers.

   Answer (Yes, No, Clear): No

   If Yes, this initiative is not required to complete the Project Approval Lifecycle. Please report this workload on the Agency Portfolio Report.

5. Is the primary objective of the project to acquire desktop and mobile computing commodities as defined by SAM Section 4819.34, 4989 (RPDT Reference Guide, References R8)?

   Answer (Yes, No, Clear): No

   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.

6. Does the Project meet all of the criteria for Commercial-off-the-Shelf (COTS) Software and Cloud Software-as-a-Service (SaaS) delegation as defined in SAM Section 4819.34, 4989.2, and SIMM Section 22? (RPDT Reference Guide, Reference R9.)

   Answer (Yes, No, Clear): No

   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 COTS/SaaS Acquisition Information Form to the CDT.

7. Will the project require a Budget Action to be completed?

   Answer (Yes, No, Clear): Yes

8. Is it anticipated that the project will exceed the delegated cost threshold assigned by CDT as identified in SIMM Section 15 Departmental Project Cost Delegation?

   Answer (Yes, No, Clear): Yes

9. Are there any previously imposed conditions place on the state entity or this project by the CDT (e.g. Corrective Action Plan)?

   Answer (Yes, No, Clear): No

   If Yes, provide the details regarding the conditions below:

10. Is the system specifically mandated by legislation?

    Answer (Yes, No, Clear): No

Department of Technology Use Only

Original "New Submission" Date: 1/4/2022

Form Received Date: 1/4/2022

Form Accepted Date: 1/4/2022

Form Status: Completed

Form Status Date: 4/20/2022

Form Disposition: Approved

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

Form Disposition Date: 4/20/2022