Stage 1 Business Analysis

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

1.1   General Information

Agency or State Entity Name: Department of Industrial Relations

Organization Code: 7350

Proposal Name Cal/OSHA Data Management System

Proposal Description: DIR proposes to acquire an integrated online system for its Division of Occupational Safety and Health (DOSH), better known as "Cal/OSHA". The new system will support customizable workflow and reporting, more readily adapt to business needs and provide better management of the data flowing between Cal/OSHA and the Federal OSHA Information System (OIS).

When do you want to start the project? 7/3/2023

Department of Technology Project Number (0000-000): 7350-094

1.2   Submittal Information

Contact Information

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Contact Phone Number: 510-286-0945

Submission Date: 4/6/2022

Version Number: 1.0

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

1.3   Business Sponsorship

Executive Sponsors

Title: Chief Deputy Director

First Name: Deanna

Last Name: Ping

Executive Sponsors

Title: Chief of Cal/OSHA

First Name: Jeff

Last Name: Killip

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

Cal/OSHA

Business Owners

Title: Cal/OSHA Deputy Chief, Safety

First Name: Debra

Last Name: Lee

Business Program Area: Cal/OSHA

Business Owners

Title: Regional Manager Region 6

First Name: Ayman

Last Name: Shiblak

Business Program Area: Cal/OSHA

Program Background and Context

The Department of Industrial Relations (DIR)'s Division of Occupational Safety and Health (DOSH), commonly known as Cal/OSHA, is responsible for the enforcement of regulations protecting workers from health and safety hazards in California's workplaces. Cal/OSHA has the responsibility to inspect employers who do not comply with the law through targeted enforcement efforts. To this end, Cal/OSHA enforces occupational safety and health standards by issuing citations, orders, and notices; proposing civil penalties and specifying abatement requirements and dates to correct unsafe conditions. Receivables from penalties assessed by Cal/OSHA are collected by DIR's Accounting Unit. Appeals of the citations issued by Cal/OSHA are handled by the Occupational Safety and Health Appeals Board (OSHAB), which is an independent board within DIR. Cal/OSHA

also provides targeted outreach, education, and training, including free onsite consultations to employers and advice to employers and employee groups regarding occupational safety and health.

Cal/OSHA has 28 enforcement offices (known as district offices), with 17 of these offices separated into four geographical regions, each headed by a regional manager. Additionally, there are two High Hazard offices (HHUs), one located in Oakland (HHU North) and another in Santa Ana (HHU South), which conducts programmed inspections of employers in high hazard industries. Process Safety Management (PSM) has four offices, two located in Concord (PSM North) and two located in Santa Ana (PSM South). There are also three Mining and Tunneling Unit offices in California whose mandate is to inspect tunnels under construction. There are also two Labor Enforcement Task Force (LETF) unit offices, one located in Oakland (LETF North) and another in Santa Ana (LETF South), which targets employers in the underground economy in partnership with other state agencies. The Crane Unit and the Pressure Vessel Unit assist compliance safety and health officers (CSHOs) by providing technical expertise for cranes, hoisting equipment, and pressure vessels.

Cal/OSHA is monitored by the federal Occupational Safety and Health (OSHA) agency (Federal OSHA), which assesses Cal/OSHA performance every federal fiscal year, beginning October 1 and ending September 30. Evaluations of Cal/OSHA are issued with findings in the Federal Annual Monitoring Evaluation (FAME) Report. Each year, Cal/OSHA must correct deficiencies identified in the previous year's FAME findings. One of the key monitoring sources for Cal/OSHA is through the analysis and conclusions from data obtained in the Federal OSHA Information System (Federal OIS).

Cal/OSHA currently uses and enters data in Federal OIS since Cal/OSHA does not have its own system. As a result, Cal/OSHA is currently dependent on a system geared towards supporting federally-mandated requirements but not focused on capturing California requirements. No fields in Federal OIS capture the data for additional California requirements, which result in Cal/OSHA using paper case files outside of Federal OIS.

For California's specific monitoring and reporting needs, a new system is required to integrate information and automate Cal/OSHA's current manual processes. The new system will help Cal/OSHA improve its performance with more reliable and more efficiently entered data, better reporting for improved decision-making, and real-time dashboards to track key performance indicators for both federal and state reporting. In order for Cal/OSHA to better fulfill its mission to enforce regulations protecting workers from health and safety hazards in California workplaces, the new system must also combine both federal- and state-mandated requirements in a central repository and database.

1.4   Stakeholders

Key Stakeholders

(Stakeholder" are individuals or groups impacted by the business processes addressed by the proposed project)
Organization Name: DIR Cal/OSHA

Stakeholder Name: Cal/OSHA Staff

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)

They are the primary users of the data in the new system. They will use the new system to perform their daily activities and tasks for Cal/OSHA.

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

Designated internal users will participate in requirements gathering, user training, and user acceptance testing of the new system.

Organization Name: Public

Stakeholder Name: External users: Employers, Employer Representatives, Union Representatives, Advocacy Groups, General Public, Workers/Employees.

Stakeholder Internal or External? External

When is the Stakeholder Impacted?

> Input to Business Process: Yes

> During Business Process: No

> Output of Business Process: Yes

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

They are the external online users of the public DIR/Cal/OSHA site for general information. Envisioned benefits for these users to be provided by the new system include online self-service processing, such as for permit applications, public records request processing, discovery requests, complaints, and accident reporting.

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

External users will be given access to the public portal for the new Cal/OSHA OIS

Organization Name: DIR: Office of Information Systems

Stakeholder Name: IT Staff

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)

They will support and maintain the new system for Cal/OSHA.

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

They will participate in technical analysis and feasibility of alternatives, provide technical requirements, input on infrastructure and database needs. They will also be administrators of the new system and will be relied upon for system configuration changes, necessary development, unit testing, system testing, integration testing, QA, and other maintenance activities.

1.5   Business Program

Organization Name: Department of Industrial Relations

Business Program Name: Cal/OSHA

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? (Describe how the business program unit will be involved in the project)

One major goal of the CAL/OSHA program is to reduce the threat of occupational injury and illness to California workers by promoting a culture in which knowledgeable employees and management work together to systematically identify and control workplace hazards. CAL/OSHA seeks to achieve this goal through an interdependent mix of program elements. Foremost among these elements is the effective enforcement of standards with an emphasis on the rapid abatement of hazards. The enforcement effort is complemented by incentive and education programs that encourage voluntary compliance with Cal/OSHA standards, and by penalty-free workplace assistance programs. The new system will serve as a useful basis for this goal to be achieved, as it will better quantify workplace hazards and enable more integrated reporting on the history of health and safety violations in the California workplace.

Cal/OSHA currently does not have its own enforcement data collection and management system. Cal/OSHA staff currently uses the Federal OSHA Information System (OIS) for data collection and case management and must meet the mandated data entry and management for OIS. The cumbersome, time-consuming, and labor-intensive use of OIS increases lapse times between

inspections and citations, and impacts the number of inspections due to the time required for data input per inspection. The new system will make the work of Cal/OSHA staff more efficient and cost-effective, providing a means for faster data collection and integration. It will allow for targeted inspections by holding an online history of violations and complaints by organization, location, and industry.

The new system will enable automatic data upload from different DIR systems and Federal OIS, data validation before data enters the system, and automated workflow that can be customized and changed as business needs change. It will be accessible by Cal/OSHA program staff on mobile technology platforms using a variety of devices, which will be a valuable asset during field work.

How will the business program unit participate in the project?

Designated Cal/OSHA staff will serve as subject matter experts (SMEs) for this project. They will participate in requirements gathering and validation, user training, and user acceptance testing for this project.

Organization Name: Department of Industrial Relations

Business Program Name: Division of Occupational Safety and Health (DOSH) Legal

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? (Describe how the business program unit will be involved in the project)

Cal/OSHA refers cases to DOSH Legal to handle for cases that are contested and appealed. With the new system, there will be an automatic referral to the DOSH Legal system along with the electronic case file that goes with the case referral. Cal/OSHA staff will no longer complete a paper referral form and copy/scan multiple documents from paper case files to send to DOSH Legal.

How will the business program unit participate in the project?

Designated DOSH Legal staff will serve as subject matter experts (SMEs) for this project. They will participate in requirements gathering and validation, user training, and user acceptance testing for this project.

Organization Name: Department of Industrial Relations

Business Program Name: Occupational Safety and Health Appeals Board (OSHAB)

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? (Describe how the business program unit will be involved in the project)

Cal/OSHA issues citations to employers after investigation of violations of a workplace safety, health laws, regulations, and hazards in a workplace. These citations can be contested and appealed within 15 days by employers. The appeal process is handled by the Occupational Safety and Heath Appeals Board (OSHAB). The case information and documents get entered into OSHAB's Appeals Scheduling and Information System (OASIS) by Cal/OSHA staff for cases the Cal/OSHA managers will represent before the judges. With the new system, there will be an automatic upload of documents into OASIS and notifications on the case statuses and outcomes along with appeal dates will be available in the new system from OASIS. Cal/OSHA staff will be able to send and upload case files electronically to OASIS and better monitor their cases under appeal.

How will the business program unit participate in the project?
Designated OSHAB staff will serve as subject matter experts (SMEs) for this project. They will participate in requirements gathering and validation, user training, and user acceptance testing for this project.

Organization Name: Department of Industrial Relations

Business Program Name: DIR Accounting

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? (Describe how the business program unit will be involved in the project)

DIR Accounting handles the penalty payments received from citations. They run penalty reports and sends them to the program office and district offices. District office staff have to manually enter paid in full payments into Federal OIS. There is no current mechanism or access for DIR accounting to update this information in Federal OIS and therefore, rely on district office staff to do so. Only can a case be closed when the payment has been paid in full. DIR Accounting currently use Federal OIS to view citations which have penalty amounts. They have view-only access and rely on it for research and verification purposes. In the future, they will receive an interface/data from the new system daily and will have access to update penalty information in the new system as a user and not rely on district office staff to do this task.

How will the business program unit participate in the project?

Designated DIR Accounting staff will serve as subject matter experts (SMEs) for this project. They will participate in requirements gathering and validation, user training, and user acceptance testing for this project.

Organization Name: Department of Industrial Relations

Business Program Name: Labor Commissioner's Office (LCO)

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? (Describe how the business program unit will be involved in the project)

Cal/OSHA refers retaliation cases to LCO for handling and processing in their CalAtlas/Salesforce system. With the new system, there will be an automatic referral to the LCO along with the electronic case file that goes with the case referral. Cal/OSHA staff will no longer complete a paper referral form and copy/scan multiple documents from paper case files to send to LCO.

How will the business program unit participate in the project?

Designated LCO staff will serve as subject matter experts (SMEs) for this project. They will participate in requirements gathering and validation, user training, and user acceptance testing for this project.

1.6   Business Alignment

Business Driver(s)

Financial Benefit: No

    Increased Revenue: No

    Cost Savings: No

    Cost Avoidance: No

    Cost Recovery: No

Mandate(s): Choose an item.

Improvement

    Better Services to Citizens: Yes

    Efficiencies to Program Operations: Yes

    Improved Health and/or Human Safety: Yes

    Technology Refresh: No

Security

    Improved Information Security: No

    Improved Business Continuity: Yes

    Improved Technology Recovery: Yes

    Technology End of Life: No

Strategic Business Alignment

Strategic Plan Last Updated? 1/4/2021

Strategic Business Goal: Goal 1: Ensure Workers Health, Safety, and Rights are Safeguarded

Alignment: This project will help enforce laws to promote occupational safety and health and prevent workplace injuries and illnesses for workers

Alignment #2: This project will help provide focused education and resources to workers to promote awareness of labor law requirements.

Strategic Business Goal: Goal 2: Support Employer Education and Ensure Equitable Enforcement.

Alignment #1: This project will help provide focused education to employers to promote awareness and compliance with labor law requirements.

Alignment #2: This project will help provide services via culturally competent mediums to be responsive to employers' diverse needs.

Strategic Business Goal: Goal 3: Continue Improving Access and Efficiency of Services

Alignment #1: This project will help expand online services for employers and workers to minimize administrative burdens, improve access to services, streamline online tools, and increase compliance.

Alignment #2: This project will help create a culture of continuous, data-driven improvements with proper controls and improved access to information for all.

Alignment #3: This project will help identify opportunities for increased collaboration inside the Department, with community partners, stakeholders and other state and federal agencies.

Executive Summary of the Business Problem or Opportunity:

Cal/OSHA does not have its own enforcement data collection and management system. Cal/OSHA staff currently use and rely on the Federal OSHA's Information System (OIS) for data collection and case management to meet the mandated data entry and management of OSHA. The Federal OIS system does not adequately meet the current and future business needs of Cal/OSHA. Therefore, Cal/OSHA requires a new system that can be more readily adapted to their business needs and provide better management of the data flow to and from Federal OIS that will be more cost effective and efficient.

Cal/OSHA has over 300+ users of Federal OIS. It currently costs $1,040 per user annually and once the new system is implemented for Cal/OSHA, those users will no longer have to pay to use Federal OIS. It will reduce the cost and reliance on Federal OIS.

The Change Order process for Federal OSHA takes years to implement changes to its system. Federal OSHA's limitations in implementing changes that meet its own needs and the needs of the 28 different State Plans render the process ineffective for Cal/OSHA's changing business needs. Any changes to perform a new function requested by Cal/OSHA requires a change order. Therefore, the

requirements specific to a new Cal/OSHA system are beyond what the current Federal OIS could provide now and in the future.

Many Cal/OSHA staff find the use of the Federal OIS as cumbersome, time consuming, and labor intensive which increases inspection lapse time and delays in issuing timely citations. It impacts the number of inspections due to more time required per inspection, paper forms used, and manual data input into Federal OIS. In addition, information captured for California OSHA activities are half entered in Federal OIS and other half in paper case files at the district offices.

As a result, data needed for operational and management reporting, data analytics, penalty calculations, and document management is not supported adequately by the features of Federal OIS. Differences in data confidentiality requirements are also at issue because Federal OSHA makes data public that Cal/OSHA considers protected by California law. Cal/OSHA needs to restrict and protect data in the system to be compliant with state laws.

The new system for Cal/OSHA will be adapted to Cal/OSHA's current business needs and provide better management of the data flow to and from Federal OIS in an efficient manner. The new system will provide Cal/OSHA with the functionality and features needed to meet their business requirements including:

1. Enhancement of case management lifecycle requirements of Cal/OSHA that will include data intake, case assignments, management review and approvals; meeting data collection, document and media file storage, and reporting requirements, including standard and ad hoc reports and data extracts.
2. Improved workflow capability that allows various internal units/managers to review investigations and make decisions timely.
3. Capability to work effectively in the office and in the field (from various devices – laptops, tablets, and cellphones) and ensure reliable access to needed information.
4. Scheduled interface activities to provide a daily flow of information to Federal OIS from the new Cal/OSHA system.
5. Support for additional interfaces to other systems that impact Cal/OSHA.
6. Improved ability to hold and to issue correspondence templates for investigations, situations, report templates, etc.
7. Support for one-time migration of data from OIS to the new Cal/OSHA system for all active cases, and appropriate historical cases from September 2014 necessary to support data analytics and reporting needs.
8. Enhancement to automate upload intake capability (via email or online reporting) of accident reports and complaints by external users.
9. Implemented survey features for stakeholders engaged in investigation process.
10. Automation of manual processes, implement electronic document management and storage of forms and letters used by Cal/OSHA.

The new Cal/OSHA OIS will provide program benefits in the following areas:

1. Improved citations – citations will be more comprehensive improving the quantity and quality of critical evidence to support the violations such as information that the standard was applied and violated, evidence of employee exposure, and evidence of employer knowledge.

2. Reduced Cal/OSHA's citation timelines for safety and health inspections.

3. Improved communication flow with DIR's Division of Labor Standards Enforcement (DLSE) on referred health and safety related retaliation cases.

4. Improved overall case management will ensure proper documentation is sent, collected, and tracked. Case status, hearings status, and inspection status will be kept current.

By implementing a new system that meets Cal/OSHA's current and future needs, Cal/OSHA will be in a better position to measure the effectiveness of its program, providing key indicators to Cal/OSHA on how well they are performing and which areas need improvement. For example, tracking of enforcement and consultation activities will provide indicators of how effective Cal/OSHA is in identifying and responding to high hazard establishments.

Where possible, individual establishment injury and illness data will be tracked over time to determine whether those Cal/OSHA interventions had an effect on the safety and health of those workers. In some programs like the Consultation Unit, surveys may be used to receive feedback on the effectiveness of the intervention, and ideas for improvement. Long term tracking of industry injury and illness data will continue to be performed by Cal/OSHA. Therefore, the new system will be a major tool used by Cal/OSHA to maximize its effectiveness and enhance public confidence in its programs.

Business Problem/Opportunities and Objectives List

Business Problem/Opportunity ID: 1. Improve efficiency and reduce new paper case files

Business Problem/Opportunity Description:

The use of the Federal OIS is cumbersome, time-consuming, labor-intensive, and thus increases lapse time between inspections and issuance of timely citations. The new Cal/OSHA system will increase the number of inspections by eliminating the use of manual forms, paper case files, and manual data input into Federal OIS.

>Objective ID: 1.1

>Objective:

>Increase Cal/OSHA efficiency by eliminating paper case files and manual workflow.

>Metric: # of Cal/OSHA new paper case files created

>Baseline: 100% of Cal/OSHA case files are currently paper-based

>Target: Reduce the # of new paper case files by 90% within the first year following Cal/OSHA OIS implementation with the necessary equipment purchased.

>Measurement Method: Count the # of new paper case files created after the first year of implementation.

Business Problem/Opportunity ID: 2. Increase the number and efficiency of coding from UPAs to corresponding inspections

The district offices receive Unprogrammed Activities Reports (UPAs) such as complaints, accidents, and referrals from many sources via various routes (telephone, email, fax, web complaints, etc.) Those UPAs are coded with a specific code depending on the hazard or activity. For example,

a complaint that alleges that employees are exposed to wildfire smoke is coded in OIS with the code "S-04-Wildfire Smoke." Next, once an inspection is opened, that same code must be manually entered into the inspection in OIS. However, more often than not, enforcement staff fail to do so and that becomes an issue when running inspection reports to look for data specific to the hazard or the activity. In the new system, the UPA code will automatically populate on the inspection. This data will provide better analysis and reporting for enforcement, outreach, and targeting activities. This data will be also used to track Cal/OSHA activities to help keep most of the special funding received from the federal government e.g., Covid-19 funding.

Objective ID: 2.1

Objective:

Increase the number and efficiency of coding from UPAs to corresponding inspections and consequently generate more accurate reports to better aid in the enforcement and the outreach targeting activities.

Metric: % of coded UPAs transferred to corresponding inspections in the system.

Baseline: 70% of coded UPAs are reflected on corresponding inspections with manual input.

Target: 100% of coded UPAs are reflected on the corresponding inspections in the new system after first year of implementation.

Measurement Method: Run one report for coded UPAs and another report for coded inspections. Compare the two counts and verify they are the same count.

Business Problem/Opportunity ID: 3. Improve reporting

Business Problem/Opportunity Description:

Cal/OSHA's needs for data for operational and management reporting, data analytics, penalty calculations, and document management are not supported adequately by Federal OIS. Its report data is not in the format needed or needs to be combined to be recreated into useable reports for Cal/OSHA. Statistics on cases in the Federal OIS may not be complete or current, which requires more time to research and update reports by managers.

Objective ID: 3.1

Objective:

Improve reports without additional analysis and reformatting after system extract.

Metric: # of useable reports

Baseline: 90% of reports currently require additional analysis and reformatting after system extract

Target: 30% of reports requiring additional analysis and reformatting after system extract

Measurement Method: List of reports requested versus list of reports available in the system not requiring additional analysis and reformatting.

Business Problem/Opportunity ID: 4. Access to online reporting of complaints and accidents

Business Problem/Opportunity Description:

Cal/OSHA seeks to improve access and efficiency of online services for employers and workers to minimize administrative burdens, improve access to services, streamline online tools, and increase compliance services. Also to improve collaboration inside the Department, with community partners, stakeholders and other state and federal agencies.

Objective ID: 4.1

Objective: Enable external users to access online reporting of complaints and accidents (injuries/illness) online.

Metric: # of complaints and accidents (injuries/illness) reported online.

Baseline: 0% of services are accessible online by external stakeholders.

Target: 5% of complaints and accidents reported online after first year of implementation.

Measurement Method: Count of # of complaints and accidents (injuries/illness) reported online.

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): No

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: 0.6

(Attach a completed Statewide Information Management Manual (SIMM) Section 45 Appendix A to the 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?

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

Note: DIR has identified a Governance Board and Data Stewardship Council and plans to convene in 2022.

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): No

Note: Data dictionaries are maintained for all large systems and several data cleansing efforts are underway. A full data management policy will be created by the Governance Board and Data Stewardship Council once it is established.

If Yes, 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?

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

Note: Data security policies and procedures are monitored by a dedicated staff and an outside audit is conducted biannually. The Privacy Officer has conducted a data classification audit and given training to those who work with protected information.

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

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

Note: State law requires that all state agencies ensure their websites comply with specified accessibility standards per California Government Code sections 7405, 11135 and 11546.7. All updates to DIR's websites must conform to state accessibility requirements and follow the department's style guide.

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

Note: Data migration plan will be developed as project is planned.

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

5. If data migration is required, please rate the quality of the data.
    Select data quality rating: Some issues identified with the existing data.

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.

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

   Business Complexity Score: 2.1

   (Attach a completed <u>SIMM</u> 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: Choose an item.

   HIPAA/CIIS/FTI/PII/PCI: Choose an item.

   Security: Choose an item.

   ADA: Choose an item.

   Other: Choose an item.

   N/A: Choose an item.

   Noncompliance Description: Click or tap here to enter text.

Additional Assessment Criteria

1. What is the proposed project Implementation start date? 7/3/2023

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

    Cal/OSHA programs have had high public visibility in recent years. Because of this, we anticipate this project may have public visibility.

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

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.

   City Multiple Locations   State: California

   Number of locations: 28

   Approximate number of Staff: 300+

   Cal/OSHA has 28 enforcement offices (known as district offices), with 17 of these offices separated into four geographical regions and headed by a regional manager. Additionally, there are two High Hazard offices (HHUs), one located in Oakland (HHU North) and another in Santa Ana (HHU South), which conducts programmed inspections of employers in high hazard industries. The Process Safety Management (PSM) team has four offices, located in Concord (PSM North) and two located in Santa Ana (PSM South). There are also three Mining and Tunneling Unit offices in California whose mandate is to inspect tunnels under construction. There are also two Labor Enforcement Task Force (LETF) unit offices, one located in Oakland (LETF North) and another in Santa Ana (LETF South), which targets employers in the underground economy in partnership with other state agencies. The Crane Unit and the Pressure Vessel Unit assist compliance safety and health officers (CSHOs) by providing technical expertise for cranes, hoisting equipment, pressure vessels, and are co-located in the district offices.

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): No

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: Choose an item.	Click or tap to enter a date.
Special Fund: Yes	7/3/2023
Federal Fund: Choose an item.	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: Choose an item.   Click or tap to enter a date.

If "Other Fund" is selected, specify the funding source: Click or tap here to enter text.

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:

   Click or tap here to enter text.

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: Click or tap here to enter text.

10. Is the system specifically mandated by legislation?

    Answer (Yes, No, Clear): No

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Original "New Submission" Date: 4/6/2022

Form Received Date: 4/6/2022

Form Accepted Date: 4/6/2022

Form Status: Completed

Form Status Date: 4/6/2022

Form Disposition: Approved

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

Form Disposition Date: 4/6/2022