



Stage 1 Business Analysis

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

1.1 General Information

1. Agency or State entity Name: XXXX - Other

If Agency/State entity is not in the list, enter here with the [organization code](#).

1115 - Department of Cannabis Control

2. Proposal Name and Acronym: Cannabis Law Enforcement Activity Tracking System (CLEATS)

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

The Department of Cannabis Control (Department) seeks to transition to a more robust law enforcement activity tracking system. Currently, the Department must utilize a legacy law enforcement tracking system that is maintained and designed for the use of the Department of Consumer Affairs (DCA), which does not conduct law enforcement activity for the cannabis industry. The current system is utilized primarily for billing purposes, which is not the core business need of the Department. Additionally, the current DCA system used is based on older technology that presents maintenance and operations challenges.

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

5. S1BA Version Number: Version 1

1.2 Submittal Information

1. Contact Information

Contact Name: Sean O'Connor

Contact Email: Sean.O'Connor@cannabis.ca.gov

Contact Phone: 916-282-0384

2. Submission Type: New Submission

If Withdraw, select Reason: [Choose an item.](#)

If Other, specify reason here:

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

[Click or tap here to enter text.](#)

Summary of Changes: (Summarize updates made.)

[Click or tap here to enter text.](#)

3. Attach [Project Approval Executive Transmittal](#) to your email submission.

4. Attach [Stage 1 Project Reportability Assessment](#) to your email submission.

1.3 Business Sponsorship

1. Executive Champion (Sponsor)

Title: [Chief Deputy Director](#)

Name: [Rasha Salama](#)

Business Program Area: [Executive Office](#)

2. Business Owner

Title: [Deputy Director of Enforcement](#)

Name: [Bill Jones](#)

Business Program Area: [Enforcement](#)

3. Product Owner

Title: [Commander](#)

Name: [Charles Smith](#)

Business Program Area: [Enforcement](#)

TIP: Copy and paste or click the + button in the lower right corner on any section to add additional Executive Champions, Business Owners, or Product Owners with their related Business Program Areas as needed.

1.4 Stakeholder Assessment

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

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

State Entity Only: No

Other Departments/State Entities: Yes

Public: Yes

Federal Entities: Yes

Governor's Office: Yes

Legislature: Yes

Media: Yes

Local Entities: Yes

Special Interest Groups: No

Other: No

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

Other Departments/State Entities - Many other State departments partner with the Department of Cannabis Control for enforcement related activities. These agencies include the California Department of Fish and Wildlife, the California Department of Tax and Fee Administration, the Department of Water Resources, the Employment Development Department, the Department of Justice, the Department of Industrial Relations, CalFIRE, and the California Highway Patrol. The activities the Department conducts with these organizations can be better tracked and categorized in a new enforcement database. These organizations will not be involved in the planning process, but the Department's experience in working with these organizations has directly influenced the functionality targeted for the new system.

Public – The public submits complaints and Public Record Requests pertaining to enforcement actions. . While, the public will not be directly involved in the planning process, they will indirectly benefit from the implementation of a more modernized system as enhanced data collection will drive better reporting, policy and business process decisions.

Federal Entities – Several federal entities partner with or support the Department in enforcement actions and activities. These groups include the Drug Enforcement Agency, the Department of Homeland Security, and the Federal Bureau of Investigation. These organizations will not be involved in the planning process, but the Department's experience in working with these organizations will directly influence the development of functionality for the new system.

Governor's Office, Legislature, and Media - These three groups frequently request enforcement related data for both the legal and illegal cannabis market. Enhanced data collection on enforcement cases and better ability to access the data will improve the ability to provide detailed and aggregated data to these three groups. These organizations will not be involved in the planning process, but the Department's experience in working with these organizations has directly influenced the functionality targeted for the new system.

Local Entities – Much like Federal Entities, these groups partner with or support the Department in enforcement activities. These organizations will not be involved in the planning process, but the Department’s experience in working with these organizations will directly influence the development of functionality for the new system.

1.5 Business Program

1. **Business Program Name:** Enforcement Division
2. **Program Background and Context:** (Provide a brief overview of the entity’s business program(s) current operations.)

The Department of Cannabis Control’s Law Enforcement Division (LED) is the law enforcement arm of the Department. LED conducts criminal investigations into illegal commercial cannabis activity and works with local, state, and federal partners in combatting the unlicensed cannabis market in California. These efforts protect public safety and the environment while mitigating the illegal cannabis market. LED focuses its criminal investigations on large-scale operators and criminal enterprises engaging in unlicensed distribution, manufacturing, retail, and indoor cultivation while supporting local and state law enforcement partners with outdoor unlicensed cultivations and other illegal commercial cannabis operators in their respective jurisdictions. The objectives of LED’s work are to protect public safety, address environmental harm, and make it more expensive to operate in the illegal cannabis market.

LED’s investigations are extremely complex because of the widespread and sophisticated nature of crimes associated with unlicensed cannabis businesses. Many of these cases involve unlicensed individuals who have ties to organized crime. Unlicensed operators are discreet and anonymous, familiar with traditional law enforcement techniques, and are known to use counter surveillance tactics to ensure they are not being monitored by law enforcement. Investigations conducted by LED involve surveillance, undercover operations, and the service of search warrants.

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

A new law enforcement tracking database will enable LED to capture and track the workload associated with the activities it conducts, consumer complaints, investigative activities, reporting, as well as other oversight and administrative tasks more accurately. Statistical reporting will be improved as currently the system LED currently uses is designed for DCA programs, and as such does not provide adequate reporting capabilities for the Department. Due to current limitations, statistical reporting on enforcement activities must be conducted outside of the legacy system in workaround spreadsheets. Furthermore, the new system will be able to be maintained by the Department without the reliance on a partner agency (i.e. DCA) for maintenance and operations.

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

1.6 Project Justification

1. Strategic Business Alignment

Enterprise Architect

Title: [Chief Infrastructure and Enterprise Services](#)

Name: [Donovan Dutt](#)

Strategic Plan Last Updated? [N/A – Initial Strategic Plan in Progress](#)

Strategic Business Goal: [N/A](#)

Alignment: [N/A](#)

TIP: Copy and paste or click the + button in the lower right corner to add Strategic Business Goals and Alignments as needed.

Mandate(s): [None](#)

Bill Number/Code, if applicable: [Click or tap here to enter text.](#)

Add the Bill language that includes system-relevant requirements:

[Click or tap here to enter text.](#)

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

2. Business Driver(s)

Financial Benefit: [No](#)

Increased Revenue: [No](#)

Cost Savings: [No](#)

Cost Avoidance: [Yes](#)

Cost Recovery: [No](#)

Will the state incur a financial penalty or sanction if this proposal is not implemented? [No](#)

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

[Click or tap here to enter text.](#)

Improvement

Better Services to the People of California: [Yes](#)

Efficiencies to Program Operations: **Yes**
Improved Equity, Diversity, and/or Inclusivity: **No**
Improved Health and/or Human Safety: **Yes**
Improved Information Security: **Yes**
Improved Business Continuity: **Yes**
Improved Technology Recovery: **Yes**
Technology Refresh: **Yes**
Technology End of Life: **Yes**

1.7 Business Outcomes Desired

Executive Summary of the Business Problem or Opportunity:

Currently, the Department must utilize a legacy law enforcement tracking system that is maintained and designed for the use of DCA, which does not conduct law enforcement activity for cannabis enforcement. The current system utilized primarily for billing purposes, which is not the core business need of the Department. Additionally, the current DCA system used is based on older technology that presents maintenance and operations challenges.

Objective ID: 1

Objective: The current DCA-designed system does not have the ability to collect additional data elements required in the cannabis enforcement process. As a result, staff are required to create additional data sources outside of an enforcement system of record to collect this data. A new system would reduce duplicative manual data entry required of staff to produce statistical metrics.

Metric: Percentage of statistical metrics derived outside of source database.

Baseline: 100%

Target Result: 10%

Objective ID: 2

Objective: The current DCA-designed system does not have the ability to track information related to search warrants. The new system will have the ability to track search warrant activities and data elements such as date obtained, date served/executed, detailed list of property obtained from the warrant, and the date the search warrant return was submitted.

Metric: Operationalized system functionality to track search warrant activities.

Baseline: 0 – Not able to track this data in the system currently.

Target Result: Search warrant tracking activities are functional in the system.

Objective ID: 3

Objective: The current enforcement process is extremely paper-heavy. There are many opportunities for some of the paper workflows to be replaced by an electronic paperless process, including a paperless workflow for investigative report writing and review.

Metric: Operationalized system functionality to facilitate a paperless workflow for initial writing and review.

Baseline: 0 – Not able to conduct this activity electronically currently.

Target Result: Electronic workflow for investigative report writing and review.

Objective ID: 4

Objective: The current DCA-designed system does not have the ability to track evidence chain-of-custody data as its primary purpose is a time-tracking system. The new system will implement functionality to track chain of custody for evidence.

Metric: Operationalized system functionality to facilitate chain of custody evidence tracking.

Baseline: 0 – Not able to conduct this activity within a standard system currently.

Target Result: Chain of custody tracking functionality is operational in the system.

TIP: Copy and paste or click the + button in the lower right corner to add Objectives as needed. Please number for reference.

TIP: Objectives should identify WHAT needs to be achieved or solved. Each objective should identify HOW the problem statement can be solved and must have a target result that is specific, measurable, attainable, realistic, and time-bound. Objective must cover the specific. Metric and Baseline must detail how the objective is measurable. Target Result needs to support the attainable, realistic, and time-bound requirements.

1.8 Project Management

1. Project Management Risk Score: 0.5

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

2. Project Approval Lifecycle Completion and Project Execution Capacity Assessment

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

Answer: Yes

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

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

1.9 Initial Complexity Assessment

1. Business Complexity Score: 0.9

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

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

Programmatic regulations: **No**

HIPAA/CIIS/FTI/PII/PCI: **No**

Security: **No**

ADA: **No**

Other: **No**

Not Applicable: **No**

Noncompliance Description:

[Click or tap here to enter text.](#)

3. Additional Assessment Criteria

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

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

Number of locations: **Five separate office locations.**

Estimated Number of Transactions/Business Events (per cycle): **500 new cases each year.**
Existing caseload is approximately 2,000 cases.

Approximate number of internal end-users: **100 users**

Approximate number of external end-users: **None**

1.10 Funding

Planning

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

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

[Click or tap to enter a date.](#)

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

Funds for planning will be redirected from other operations funds.

Project Implementation Funding

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

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

[Funds are available currently within the approved budget of the Department. This project will utilize redirected funds from other operational cost centers.](#)

Will a budget action be submitted to your Agency/DOF? [No](#)

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

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

End of agency/state entity document.

Please ensure ADA compliance before submitting this document to CDT.

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

Department of Technology Use Only

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If Other, specify: [Click or tap here to enter text.](#)

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