



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: 8570 - Food and Agriculture, Department of

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

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

2. Proposal Name and Acronym: CDFA Licensing and Payment Portal (LPP)

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

CDFA is proposing to create a Licensing and Payment Portal to provide 1) the public and businesses information on all CDFA issued licenses, permits, registrations, and certifications ("Licenses"), in a centralized internet accessible location and 2) create a technology solution framework where the public and businesses can apply and pay for CDFA issued "Licenses" through a single sign-on online solution and 3) implement ~40 low risk low integration complexity "Licenses" within the framework.

4. Proposed Project Execution Start Date: 2/3/2025

5. S1BA Version Number: Version 3

1.2 Submittal Information

1. Contact Information

Contact Name: Robert Peterson

Contact Email: Robert.peterson@cdfa.ca.gov

Contact Phone: 916-710-1983

2. Submission Type: New Submission

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

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

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

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

Summary of Changes: (Summarize updates made.)

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

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

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

1.3 Business Sponsorship

1. Executive Champion (Sponsor)

Title: [Deputy Secretary, CDFA](#)

Name: [Kevin Masuhara](#)

Business Program Area: [Deputy Secretary, Administration and Finance](#)

2. Business Owner

Title: [Director, Administrative Services Division](#)

Name: [Jody Lusby](#)

Business Program Area: [Administrative Services/Finance](#)

Title: [Director, Plant Health and Pest Prevention Services Division](#)

Name: [Mark McLoughlin](#)

Business Program Area: [Plant Health and Pest Prevention Services](#)

Title: [Director, Animal Health and Food Safety Services Division](#)

Name: [Annette Jones](#)

Business Program Area: [Animal Health and Food Safety Services](#)

Title: [Director, Inspection Services Division](#)

Name: [Natalie Krout-Greenberg](#)

Business Program Area: [Inspection Services](#)

Title: [Director, Division of Measurement Standards](#)

Name: [Kristin Macey](#)

Business Program Area: [Measurement Standards](#)

3. Product Owner

Title: CIO

Name: Chris Cox

Business Program Area: Information Technology

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: Yes

Other Departments/State Entities: No

Public: Yes

Federal Entities: No

Governor's Office: Yes

Legislature: No

Media: No

Local Entities: No

Special Interest Groups: No

Other: No

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

Primarily, only CDFA will be involved in the planning process. The Public will be represented by the individual "Licensing" programs within CDFA. This proposed project was started as a Governor's Office initiative and an assessment of the feasibility of a CDFA Licensing and Payment Portal was funded in FY 2021/22. The Governor's Office will not be directly involved in the planning but the Cabinet may receive updates from the CDFA Secretary.

1.5 Business Program

1. Business Program Name: CDFA Licensing and Payments

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

CDFA issues ~170 different licenses, permits, certifications, and registrations ("Licenses") across multiple Divisions and Programs. The information about each "License", such as what the "License" is, the requirements to obtain a "License", fees, application process, etc., are distributed across 2,000+ web pages and difficult to find. Industry feedback on this problem to the Governor's Office is what prompted the initiation, funded a feasibility assessment, and identified the need for this Project. Additionally, each "License" type either has its own software application/solution to apply for the "License", with unique username and password requirements, or the "License" application is submitted through a manual paper process via US mail. Further, most of the existing software applications used for "Licensing" do not accept online payments for "Licensing" fees, and those that do only accept credit cards, no e-check capabilities exist; "Licensees" must mail in their fees to CDFA.

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

The intent of this Project is to make it easier for the public and businesses to find information on all CDFAs issued "License" types and apply and pay for the "License" online, through a single online portal, using only one username and password despite the type or number of "Licenses" they apply for. This will also improve the CDFA "Licensing" programs ability to receive and process "Licenses" and CDFA Financial Services will be able to leverage the solution to review, process, and reconcile payments through a single portal. Long-term, all CDFA "Licenses" will be migrated into the Licensing and Payment Portal as well as the business and publics ability to make all CDFA payments online, through the Portal.

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 Enterprise Architect

Name: Jerry Sami

Strategic Plan Last Updated? 11/22/2019

Strategic Business Goal: Promote and Protect

Alignment: Strengthen CDFA's public outreach and awareness efforts for programs and activities that assist in the creation of new and the promotion of existing markets. (Supported by consolidation of all licensing information in a single location; improves awareness and general accessibility to information promoting new and existing markets. Promotes new

business development, reduces barriers to entry from a complexity standpoint in understanding licensing requirements and applying for/obtaining licenses).

Strategic Business Goal: [Education and Engagement](#)

Alignment: [Provide outreach and education to industry, stakeholders, academia, and the general public to discuss issues, build partnerships, and take action. \(Supported through the consolidation of CDFA “Licensing” information into a single information portal to educate all stakeholders and the public.\)](#)

Strategic Business Goal: [Maximize Resources](#)

Alignment: [Strengthen effectiveness of CDFA's information systems' capabilities and databases. \(Supported by improving services to constituents \(one login for all licenses, etc.\), migrate current strictly-paper licensing processes to a technology solution, and improve CDFA capability to support licensing information systems long-term by reducing technical debt in alignment with Technology Roadmap.\)](#)

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: [No](#)

Cost Recovery: [No](#)

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

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

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

Improvement

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

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

1.7 Business Outcomes Desired

Executive Summary of the Business Problem or Opportunity:

Currently, CDFA issues ~170 licenses, permits, certifications, and registrations (collectively termed “Licenses”) and the information about each “License”, requirements, application process, fees, etc., is distributed across ~2,000 Web pages and difficult for the public and businesses to find. Though many of the “Licenses” can be applied for online, through numerous individual software applications, others require a paper “License” application submittal.

Based on public and business complaints on not being able to find information on CDFA issued “Licenses”, CDFA has an opportunity to improve our services to businesses and individuals by 1) consolidate the information for all CDFA issued “Licenses” into one web-accessible location, 2) create a unified framework (standardized process and templates) to apply and process “Licenses”, 3) migrate/implement low risk and low back-office integration complexity “Licenses” into this framework, ~40, and 4) provide a standardized mechanism to pay associated fees via credit card and e-check.

The “Licensing” framework will provide the architectural foundation for migrating and/or implementing additional existing or new “Licenses” that are beyond the scope of this Project into a common enterprise solution. (The Project scope is intentionally being bound to ~40 “Licenses” to ensure the “Licensing” framework is architecturally sound and to keep the Project relatively small to help ensure its success within CDFA.) Additionally, the standardized mechanism to pay via credit card and e-check will provide the architectural structure to expand to other payments that are not directly associated with “License” fees and renewals, such as penalties, mil assessments, etc.; the payment component will leverage CDFA’s existing payment solution, the DGS ePay provider First Data.

Objective ID: 1

Objective: To enhance the public and businesses ability to find information on the “Licenses” that CDFA issues, such as what “Licenses”, the requirements for each, required fees, and how “Licenses” are processed and issued, all CDFA “License” information shall be consolidated into a single internet accessible web site.

Metric: The number of entry points to find information on CDFA “Licenses”.

Baseline: Approximately 170 entry points exist, one for each “License” type distributed across 2,000+ web pages or only through printed media.

Target Result: One single entry point that can be further accessed to find specific “License” types and its related information.

Objective ID: 2

Objective: Build a unified standardized “Licensing” framework that CDFA can leverage to implement current and future online “Licensing” needs, such as to accept, process, and issue “Licenses”. The framework will also support the Department goals to look across all programs to assess progress for equity, diversity, and inclusion using a common master database.

Metric: The time required to create a new “License” type.

Baseline: Currently, the time required to create a new “License” type, not counting the back-office functionality, is on average approximately 9-months even through the top-level “License” requirements are similar between “Licenses”, no reuse.

Target Result: Using a small set of common “Licensing” frameworks patterns, goal of one pattern each for Licenses, Permits, Certifications, and Registrations, the time to create a new “License” using the framework patterns will be reduced by at least 50%, to 4 to 5-months.

Objective ID: 3

Objective: To include in the “Licensing” framework the ability to pay associated fees for “License” and renewals, and allow for growth to pay other CDFA fees, penalties, etc. online by using credit cards and e-check.

Metric: The number of “Licenses” and other fees and penalties paid online.

Baseline: Currently, only approximately 30 “Licenses” accept online payments and only by credit card, there is no e-check capability, and no other payments can be paid online through a common portal.

Target Result: The framework will accept online credit card and e-check payments for all migrated “Licenses” and the usage of the common payment portal will grow by ~10% to ~20% every year over the next 5-years.

Objective ID: 4

Objective: Migrate ~40 low risk and low integration complexity “Licenses”, including “License” payments, into the Licensing and Payment Portal framework to address the public and business needs and the ability of the Portal to integrate with legacy back-office applications.

Metric: Number of “Licenses” that can be accessed through a common Licensing and Payment Portal, using a single sign-on for the public and businesses.

Baseline: All existing software applications are stand alone and build into siloed back-office application, requiring a unique username and password for the public and businesses.

Target Result: The target is to implement 40 “Licenses” into the Licensing and Payment Portal and integrate with back-office applications.

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: 0.9

(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): Both New and Existing Processes

1.9 Initial Complexity Assessment

1. Business Complexity Score: 1.1

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

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

Programmatic regulations: No

HIPAA/CIIS/FTI/PII/PCI: No

Security: Yes

ADA: No

Other: No

Not Applicable: No

Noncompliance Description:

Many legacy “Licensing” software applications are out of date from a technology perspective and software components are no longer supported by Microsoft or other manufacturers. There are significant security issues that CDFA has identified that need to be remediated.

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: [State staff primarily the Sacramento area but may be accessed statewide via the internet.](#)

Estimated Number of Transactions/Business Events (per cycle): [10,000 per year](#)

Approximate number of internal end-users: [120](#)

Approximate number of external end-users: [10,000](#)

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? [Yes](#)

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

[9/1/2022](#)

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

[General Funds being requested for FY 2023/24 and 2024/25 to complete PAL Stage Gates 2 through 4.](#)

Project Implementation Funding

1. Has the funding source(s) been identified for **project implementation**? [No](#)

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

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

Will a budget action be submitted to your Agency/DOF? [Yes](#)

If “Yes” is selected, specify when this BCP will be submitted: [Fall 2023 for FY 2024/25 funds.](#)

2. Please provide a rough order of magnitude (ROM) estimate as to the total cost of the project:
Between \$10 Million and \$50 Million

End of agency/state entity document.

Please ensure ADA compliance before submitting this document to CDT.

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

Department of Technology Use Only

Original "New Submission" Date: [6/15/2022](#)

Form Received Date: [6/15/2022](#)

Form Accepted Date: [6/15/2022](#)

Form Status: [Completed](#)

Form Status Date: [10/18/2022](#)

Form Disposition: [Approved](#)

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

Form Disposition Date: [10/18/2022](#)

Department of Technology Project Number (0000-000): [8570-095](#)