Stage 1 Business Analysis

bv1.1 General Information

Agency or State Entity Name: Department of Consumer Affairs (DCA)

Organization Code: 1111

Proposal Name: Business Modernization – California State Board of Pharmacy (BOP)

When do you want to start this project? 12/28/2022

Department of Technology Project Number: 1111-006

1.2 Submittal Information

Contact Information

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Submission Date: Date Picker   **Version Number:**

Project Approval Executive Transmittal

Attachment: Include the Project Approval Executive Transmittal as an attachment to your email submission.

1.3 Business Sponsorship

Executive Sponsors

Title	First Name	Last Name	Business Program Area
Director	Dean	Grafilo	Department of Consumer Affairs
Executive Officer	Virginia	Herold	California State Board of Pharmacy
Assistant Executive Officer	Anne	Sodergren	California State Board of Pharmacy

Business Owners

Title	First Name	Last Name	Business Program Area
Chief	Debi	Mitchell	Licensing Division
Chief	MaryJo	Tobola	Enforcement Division
Chief	Anne	Sodergren	Administration Division
Chief	Victor	Perez	Information Technology Division

Program Background and Context

The California State Board of Pharmacy (BOP) is an active consumer protection agency responsible for regulating a dynamic pharmacy health care profession. BOP provides regulatory oversight to those who dispense, compound, store and transport prescription drugs and devices, as well as those who provide professional services that are focused on medication management and pharmaceutical care. As a national leader in consumer protection and pharmacy regulation, BOP has developed and implemented a number of policies to ensure the quality and safety of medications provided to California's consumers, in addition to monitoring the services provided by its licensees. Today, BOP oversees all aspects of the practice of pharmacy in California: the practitioner (the pharmacist), the practice premises (the pharmacy), and the product (prescription or compounded drugs and devices). Additionally, BOP regulates drug wholesalers, other

practitioners and specialized facilities that store and furnish prescription drugs or handle and remove outdated medication from the drug supply. With an annual budget exceeding $20 million and more than 100 staff, BOP issues licenses to approximately 140,000 individual and premises and enforces 25 distinct and varied regulatory programs.

BOP falls under a Board that is comprised of 13 members, seven of whom must be registered pharmacists who reside in different parts of the state and four of whom must be public members. The Senate Rules Committee and the Speaker of the Assembly each appoint one public member. Members of the board appoint the Executive Officer to oversee the daily operations and implement the various policy decisions. BOP has the authority to regulate the pharmacy practice of pharmacists, interns, pharmacy technicians, and designated representatives. BOP also has the authority to regulate all types of premises that distribute prescription drugs and devices in California, including community pharmacies and those located in hospitals, clinics, home and community support services facilities, and out-of-state mail order pharmacies that fill prescriptions and deliver them in California. BOP achieves its purpose by ensuring that pharmacists provide patients with pharmaceutical care by dispensing information; by protecting patients from drug misadventures; and by taking responsibility for therapeutic outcomes resulting from their decisions. The quality skills of those entering the practice of pharmacy are maintained by requiring candidates for BOP's licensing examination to have graduated from accredited pharmacy schools and have completed a minimum of 1,500 hours of an internship in both community and hospital pharmacies. Additionally, continuing education is required for a pharmacist and an advanced practice pharmacist license renewal.

The Board establishes its goals and organizes its activities through the following standing committees that develop recommended policies that advance mission-related goals in line with BOP's strategic plan. Committee's recommendations are then discussed, modified, or acted upon by BOP at public board meetings.

Enforcement and Compounding Committee
This committee exercises oversight of all drug distribution and dispensing activities including compounding sterile and other drug products, protecting the public by preventing violations and enforcing federal and state pharmacy laws when violations occur.

Communication and Public Education Committee
This committee ensures the constant publication of information to consumers, encourages the public to discuss their medications with their pharmacists, emphasizes the importance of patients complying with their prescription treatment regimens, and helps consumers become better informed on subjects of importance to their drug therapy and health. The committee also ensures the development of educational materials for licensees describing new laws, policies and emerging issues.

Licensing Committee
General items under the purview of this committee include ensuring the professional qualifications of licensees entering the practice of pharmacy and establishing the minimum standards for board-licensed facilities. This committee also ensures appropriate practice standards.

Legislation and Regulation Committee
This committee ensures that the board advocates legislation and promulgates regulations that advance the board's vision and mission.

Organizational Development Committee
This committee ensures the achievement of the board's mission and goals through organizational support and review. It performs strategic planning, budget management, and staff development activities.

BOP executes the will of the board through four divisions:

Licensing Division: The Licensing Division is responsible for reviewing and processing all individual and premises licensing applications received by BOP. As part of the review process, each application is evaluated to determine if the applicant meets the minimum qualifications as outlined in statute and regulation. If an application is deficient, BOP notifies the applicant in writing of all outstanding deficiencies. The applicant is required to provide the deficient items within a given period of time as determined by the license type. Failure to satisfy the deficiencies for the application may result in the application being considered abandoned. Once an application is considered abandoned, a new application, fee and supporting documentation are generally required. Once an applicant provides sufficient documentation demonstrating the applicant meets the minimum qualifications, the application is forwarded to a resource analyst for final review prior to the issuance of a license. When the license is issued, the license number is available from BOP's website the following day.

Enforcement Division: The Enforcement Division's primary responsibility is to oversee the enforcement of California laws and rules governing the practice of pharmacy in order to protect the public from the misuse and diversion of prescription drugs from pharmacies, minimize substandard practice, and rehabilitate and discipline licensees, as warranted. BOP advocates and enforces laws that protect the health and safety of patients and encourages the submission of complaints and inquiries from the public. Each complaint is evaluated to determine if the complaint involves a pharmacist, pharmacy, or premises regulated by BOP, and whether the complaint involves a violation of California Pharmacy Law. If the complaint is within BOP's jurisdiction, the complaint may be referred to an inspector who will contact the complainant for additional information. If the complaint is not within BOP's jurisdiction, it may be closed with no action taken or referred to another agency. Many complaints are closed with a verbal or written warning that becomes part of the licensee's record. However, a complaint could result in disciplinary action being taken against the licensee. BOP may reprimand, cancel, suspend, or revoke the license of a pharmacist or pharmacy that is found to have violated pharmacy or drug laws. BOP uses its authority to issue citations, citations with fines and letters of admonition to deal with important violations that warrant the licensee's attention, thought and correction, but do not rise to a level where license sanctions such as probation, suspension or revocation are appropriate. The Enforcement Division conducts inspections of licensees and premises. It also must inspect sterile compounding pharmacies before issuing a license or annual renewal. With the expansion of BOP's regulation of sterile compounding pharmacies, inspections of these facilities significantly increased. Such inspections are more resource intensive and complex, and are substantially longer to perform.

Information Technology Division: The internet is the primary means by which BOP educates and informs the public and licensees in general about board activities, and methods to participate in board activities. The Information Technology Division ensures that BOP's website is relevant to consumers, applicants, and licensees alike. Whereas letters, calls, emails, in-person discussions and public presentations do compose a proportion of staff workdays, BOP reaches more individuals through email blasts, and through online information than via any other method. BOP also uses press releases and DCA's social media sites to deliver information to consumers.

Administration Division: The Administration Division is responsible for all BOP day to day business operations and implementation of administrative actions to ensure BOP operates within legal and policy guidelines. The division is charged with ensuring the Board follows the respective personnel rules and financial guidelines. In addition, the division ensures that staff have the necessary workspace, tools, and resources to perform their duties and providing services to licensees and consumers.

1.4 Stakeholders

Key Stakeholders

Org. Name	Name
Department of Consumer Affairs	Jason Piccione – Chief Information Officer

Stage 1 Business Analysis

Internal or External?	☒ Internal ☐ External ☐ Clear	

When is the Stakeholder impacted?

Input to Business Process	During the Business Process	Output of the Business Process
☒	☒	☒

How are Stakeholders impacted?

The Chief Information Officer is charged with ensuring all Information Technology (IT) solutions are in alignment with the state and department's strategic plans. As one of the key stakeholder with a vested interest in the outcome and success of this project, the Chief Information Officer has a clear understanding of BOP's business needs and plays a fundamental part in ensuring that the project aligns with BOP's strategic plan as well as to ensure that business value is provided to the organization as a whole.

How will the Stakeholders participate in the project?

The Chief Information Officer partners directly with the Executive Sponsors to ensure all interests are addressed. The Chief Information Officer has been directly involved in the implementation of DCA's IT vision and objectives, and will continue to be an active participant in the decision-making process every step of the way and provide all the necessary support for the successful outcome of this project.

Org. Name	Name
California State Board of Pharmacy	Virginia Herold – Executive Officer

Internal or External?	☒ Internal ☐ External ☐ Clear	

When is the Stakeholder impacted?

Input to Business Process	During the Business Process	Output of the Business Process
☒	☒	☒

How are Stakeholders impacted?

This proposal is a high priority for BOP and all levels of Executives and Management are aware and engaged in the effort. This project has a direct impact on the Executive Officer's responsibilities. The Executive Officer has a deep understanding of the organizational culture and understands the importance of the vision and impact of this influence upon successful project outcome and achievement of BOP's strategic goals.

How will the Stakeholders participate in the project?

The Executive Officer oversees all aspects of this project, providing leadership and strategic direction to ensure organizational objectives are achieved and will continue to ensure that common business needs are addressed in a consistent and collaborative manner. The key to an effective project vision is to make objectives and purpose clearly understood, and to inspire motivation. The Executive Officer's active and constant involvement, support, communication, and maintenance of a strong project vision will be key to the successful completion of this project. The Executive Officer will resolve or escalate project risks and issues if needed, provide guidance and direction on the overall approach to ensure the project is in alignment with BOP's and DCA's strategic direction.

Org. Name	Name
California State Board of Pharmacy	Board – Victor Law, R. Ph., President

Internal or External?	☒ Internal ☐ External ☐ Clear	

When is the Stakeholder impacted?

Input to Business Process	During the Business Process	Output of the Business Process
☒	☒	☒

How are Stakeholders impacted?

All communication relating to any board action or policy to any individual or organization shall be made only by the President of the board (or his designee). Board members examine BOP's oversight functions and operational policies and

are strong advocates for an improved IT system. Board members will continue to be actively engaged, well-informed, and will provide assistance throughout this effort as needed.

How will the Stakeholders participate in the project?

BOP's Executive Officer will provide an ongoing status report to the board members throughout the project, and will solicit input at each step as appropriate.

Org. Name	Name
Enforcement and Compounding Committee	Allen Schaad, Chair

Internal or External?

☒ Internal ☐ External ☐ Clear

When is the Stakeholder impacted?

Input to Business Process	During the Business Process	Output of the Business Process
☐	☐	☒

How are Stakeholders impacted?

This proposal seeks to leverage technology to automate manual processes and greatly improve assurance with respect to enforcement and compliance as BOP and its advisory committees are asked to certify, report on, or oversee the effectiveness of the enforcement and compliance program. New technology tools can help provide a stronger foundation for these representations.

How will the Stakeholders participate in the project?

The Enforcement and Compounding Committee acts in a technical advisory capacity to BOP Executive Officer and the enforcement program. One of the committee's strategic goal is to evaluate the disciplinary process and initiate process improvements to enhance its efficiency and effectiveness.

Org. Name	Name
Communication and Public Education Committee	Richardo Sanchez, Chair

Internal or External?

☒ Internal ☐ External ☐ Clear

When is the Stakeholder impacted?

Input to Business Process	During the Business Process	Output of the Business Process
☐	☐	☒

How are Stakeholders impacted?

This proposal seeks to streamline business processes with a solution that provides increased automation, including new online functionalities for BOP to better communicate with the consumer, to publish enforcement-related materials, and to help consumers become better informed on subjects of importance to their drug therapy and health to name a few.

How will the Stakeholders participate in the project?

The Communication and Public Education Committee acts as an advisory committee and assists BOP in its oversight of public information to consumers.

Org. Name	Name
Licensing Committee	Deborah Veale, Chair

Internal or External?

☒ Internal ☐ External ☐ Clear

When is the Stakeholder impacted?

Input to Business Process	During the Business Process	Output of the Business Process
☐	☐	☒

How are Stakeholders impacted?

This proposal seeks to streamline business processes with a solution that automates the tasks, resources, and internal operations. Oversight and validation processes for qualifications and quality assurance will be improved with automation

of data collection and will potentially allow for a much more accurate and rapid evaluation of licensing-related information.

How will the Stakeholders participate in the project?

The Licensing Committee exists to assist BOP in an advisory capacity with its licensure activities by ensuring only those who meet the legally mandated requirements are approved for licensure.

Org. Name	Name
Organizational Development Committee	Victor Law, Chair
Internal or External?	☒ Internal ☐ External ☐ Clear

When is the Stakeholder impacted?

Input to Business Process	During the Business Process	Output of the Business Process
☐	☐	☒

How are Stakeholders impacted?

This proposal seeks to streamline business processes with a solution that provides increased automation, including online capabilities for staff to receive and process applications, monies, various documents, and enforcement-related materials, to name a few. Staff will be impacted by the automation of processes and must understand what is changing and be ready.

How will the Stakeholders participate in the project?

The Organizational Development Committee acts as an advisory committee and will continue to assist BOP with staff development activities throughout the lifecycle of this project.

Org. Name	Name
BOP Staff	
Internal or External?	☒ Internal ☐ External ☐ Clear

When is the Stakeholder impacted?

Input to Business Process	During the Business Process	Output of the Business Process
☒	☒	☒

How are Stakeholders impacted?

This proposal seeks to streamline business processes with a solution that provides increased automation, including online capabilities for staff to receive and process applications, monies, various documents, licensing and enforcement-related materials.

How will the Stakeholders participate in the project?

All staff will be kept apprised of the business modernization project and will be tasked with providing the designated subject matter experts with input, ideas, documentation, etc. regarding various business practices. BOP Staff will also test various automated practices once the business modernization project is in the development and/or implementation phase.

Stage 1 Business Analysis

1.5 Business Program

Org. Name	Name	
California State Board of Pharmacy	Licensing Division	

When is the unit impacted?

Input to the Business Process	During the Business Process	Output of the Business Process
☒	☒	☒

How is the business program unit impacted?

This project shall comply with mandated business processes and will allow BOP to move to a system that integrates an online system with a managed workflow application. This proposal will enhance the efficiency and effectiveness of the business processes by leveraging technology, and support and implement modern business process workflows. The Licensing Division will benefit from a new system to process applications and renewals faster, and will provide more online functions to update licenses as the application process progresses. The complexity of the licensing provisions necessitates a robust licensing system for filing, processing, searching, and archiving the collected data, and that also has search technology capability that will allow search across registration, and licensing databases.

How will the business program participate in the project?

Business process management and staff training are critical success factors for any project. Executives from the Licensing Division will work closely with management to develop and implement changes to processes, and any necessary training which will give BOP staff a clear understanding of the new processes and changes to the existing processes. BOP executives continually collaborate with leadership from the Licensing Division and various groups and individuals within BOP, and have identified the need for a streamlined, web-accessible, real-time licensing application as one of BOP's highest priorities. Their expertise and clear direction will be vital to the successful implementation of this business modernization effort.

Org. Name	Name	
California State Board of Pharmacy	Enforcement Division	

When is the unit impacted?

Input to the Business Process	During the Business Process	Output of the Business Process
☒	☒	☒

How is the business program unit impacted?

The Enforcement Division has primary responsibility for the impartial administration and compliance of mandates and reviews case closure recommendations and administrative citations and fines. This proposal will improve the timely detection and deterrence of non-compliant transactions, will allow enforcement staff to focus on analyzing results and identifying potential violations rather than performing labor intensive manual reviews, and will increase the accuracy and productivity of enforcement activities overall.

How will the business program participate in the project?

Business process management and staff training are critical success factors for any project. Executives from the Enforcement Division will work closely with management to develop and implement changes to processes, and any necessary training which will give BOP staff a clear understanding of the new processes and changes to the existing processes. BOP executives and leadership from the Enforcement Division will provide their support and expertise to efficiently implement a new system while focusing on program quality and efficiency that align key strategic goals with measurable benefits to California consumers and California educational institutions.

Org. Name	Name	
California State Board of Pharmacy	Administration Division	

When is the unit impacted?

Input to the Business Process	During the Business Process	Output of the Business Process
☒	☒	☒

How is the business program unit impacted?

Business process management and staff training are critical success factors for any project. Executives from the Administrative Division will work closely with management to develop and implement changes to processes, and any necessary training which will give BOP staff a clear understanding of the new processes and changes to the existing processes.

How will the business program participate in the project?

BOP executives and leadership from the Administrative Division will provide their support and expertise to efficiently implement a new system while focusing on program quality and efficiency that align key strategic goals with measurable benefits to California consumers and California educational institutions.

1.6 Business Alignment

Business Driver(s)

Financial Benefit

Increased Revenue	Cost Savings	Cost Avoidance	Cost Recovery
☐	☐	☐	☐

Mandate(s)

State		Federal	
☐		☐	

Improvement

Better Services to Citizens	Efficiencies to Program Operations	Improved Health and/or Human Safety	Technology Refresh
☒	☒	☐	☒

Security

Improved Information Security	Improved Business Continuity	Improved Technology Recovery	Technology End of Life
☒	☒	☒	☐

Strategic Business Alignment

Strategic Plan Last Updated?	09/17/2017

Strategic Business Goal	Alignment
Licensing: 1.2 – Implement online application, license renewal, and fee payment for applicants and licensees to improve licensing conveniences. 1.5 – Improve the application process for new licensees, including providing information resources directed toward applicants to offer more guidance about the application process. 1.7 - Identify opportunities to expand electronic interfaces with licensees to allow for online application and renewal.	The current system requires significant manual input, and frequently defeats the goal of collaboration. A replacement of the licensing system will allow streamlining of processes to cut down on processing time and reducing the amount of paperwork. A new centralized repository of all licensing activities and information will ensure streamlined processes that are completed in a timely manner, cutting down the amount of time staff spends processing applications. A new platform will accurately track and monitor progress of licensing activities, allowing BOP to properly license individuals, permit Online Payment Processing, provide immediate confirmation of submission, and facilitate overall faster application review processing. A new system will allow for initial applications/renewals to be automatically processed online, with all of the required information for validation and approval.
Strategic Business Goal	**Alignment**
Enforcement: 2.1 - Implement processes to shorten the cycle times from investigation to resolution of cases, with special focus on prioritized critical cases, to minimize patient harm and enhance consumer protection. 2.4 - Evaluate industry technology trends to develop future regulatory infrastructures that promote patient safety. 2.5 -Evaluate the disciplinary process and initiate process improvements for enhanced efficiency and effectiveness.	A modern IT solution will have the functionality to support the enforcement, case management, inventory management, workflow management, and compliance capabilities. A new automated system will allow BOP's Enforcement Division to centrally track cases from initial acceptance, through investigation and to resolution. This centralized automated system will allow cases to be prioritized and for those prioritizations to be communicated effectively to all staff involved in the case. This new functionality will better support the enforcement, case management, and compliance capabilities, allowing to more effectively track and monitor progress of enforcement activities. To resolve ongoing problems, it is essential to be able to report and monitor how well issues are being managed, track what types of complaints are being submitted, and evaluate the performance of teams. This proposal will allow new system functionality to search for critical licensing and enforcement information such as disciplinary actions, increasing awareness of unlicensed practice. Additionally, the streamlining of current business processes will allow for a more consistent policy execution, reducing the time to generate complex reports, and more effectively perform compliance audits.
Strategic Business Goal	**Alignment**
Legislation and Regulation:	BOP must cope with staying up-to-date with continuously updated statutes and regulations, time consumed by ongoing compliance monitoring and data gathering, and the risks of

3.4 - Establish a systemized, ongoing review process for board regulations to improve and maintain clear and relevant regulations.	potential errors or omissions. A new system with greater capabilities for proving workflow automation and customization, better tools for enforcing data rules and business rules, and that allows to quickly respond to future ordinance direction and business processes change, will improve compliance and help meet the mission and the mandates identified in BOP's statues and regulations.
Strategic Business Goal	**Alignment**
Communication and Public Education: 4.2 - Identify and use additional resources for public and licensee outreach services to implement the communication plan. 4.3 - Establish a process to collect email addresses and mobile numbers for text messaging from all licensees for better ability to improve communication. 4.4 - Provide implementation guidance on newly enacted changes to Pharmacy Law by publishing summaries and explaining implementation tactics. 4.6 -Communicate the availability of new or specified pharmacy services and locations so that the public is aware of pharmacies that can meet their needs. 4.8 - Promote board initiatives to improve patient knowledge, medication adherence, and medication safety.	BOP will continue to improve its capabilities to capture, manage, analyze, and retrieve vast amounts of information in order to build relationships, engage with our constituencies, achieve transparency, and continue to provide our consumers with the knowledge and information they need when they need it. A new system will improve the ability to recognize and respond to opportunities and issues and improve customer satisfaction by offering more online services, streamlining processes, and increasing transaction accuracy and security. In the event that new regulations require licensees to provide their current email address to BOP, a new automated system will have the capability to allow licensees to receive system generated email alerts, associated with processes, flows, workflow rules, or approval processes. A system replacement will offer a vast opportunity for collaboration, advancements in data quality and availability, self service offerings and functions, automated business processes, and efficient operations. Protecting the public interest is a primary reason for implementation of a fully integrated system that cuts down on processing time and current and future backlogs as well as accurately track and monitor progress of licensing activities.
Strategic Business Goal	**Alignment**
Organizational Development: 5.4 - Collaborate with the Department of Consumer Affairs to explore the feasibility of procuring electronic management tools to increase efficiencies and reduce reliance on paper. 5.6 - Evaluate options for improvement of licensing renewal processes to allow for online renewal.	The preliminary work involved as part of this proposal that involves business process review and definition prior to a new system implementation, will provide an opportunity to identify weak points in current processes and define process improvements that gain efficiency and effectiveness. An automated solution will enhance public facing services including expanding self-service capabilities and provide an up-to-date and informational software vehicle to consumers seeking professionally licensed services. A new system will allow licensees to acquire and/or maintain license compliance online, reducing the number of manual entries and the overall workload associated with processing applications. An automated solution will enhance public facing services including expanding self-service capabilities and provide

an up-to-date and informational software vehicle to consumers seeking professionally licensed services.

Executive Summary of the Business Problem or Opportunity

BOP currently depends upon the Department of Consumers Affairs' (DCA) legacy Applicant Tracking System (ATS), Consumer Affairs System (CAS), and numerous databases in Access for the day-to-day operations of processing applications, licensure, and enforcement efforts. ATS tracks and monitors activities for cashiering and initial license applications. CAS is a licensing and enforcement system that tracks license-related activities such as initial licenses, renewals, complaints, investigations, and enforcement.

Business Inefficiencies: BOP has identified the need for a more robust system to help reduce business inefficiencies, expand technology features, and improve the quality of public services. The current operation and maintenance of multiple systems requires additional time and staff to process the program workloads making it a very inefficient use of BOP's staff and technical resources. Supporting multiple IT systems on different technical platforms requires specific skill sets for each system and the complexity of the existing systems requires extensive resources to support and maintain them.

Manual Processes: BOP staff performs manually intensive and duplicative data entry tasks, manually gathers data from various locations, and certain workloads require staff to utilize multiple applications, enter data into multiple systems, and manually consolidate information for reporting purposes. Current business processes are time consuming, paper driven consisting of distributed spreadsheets, local databases, and paper records. This inefficient use of time and resources also creates a risk of staff erroneously entering information that may result in data integrity or data synchronization issues. Data synchronization/integrity issues require program staff to spend excess time auditing multiple systems to identify and correct errors. The lack of functionality and deficiencies in automation and configuration, and the deficiencies in the processing capacity to meet the growing needs of BOP as mandated by new laws and regulations, have created a need for an updated solution.

Several factors impact processing times for pharmacy applications, in part because the increasing complexity of ownership structures. Thorough investigations of the ownership structure are essential to ensure that the board does not issue a license to an entity that would otherwise be prohibited by law. Such reviews are resource intensive, especially when applicants attempt to thwart BOP's review by either providing false information, failing to timely provide information, or failing to provide all of the necessary information.
At this time, due to lack of automation and limited resources, BOP is not able to meet the target processing timeframe of 30 days.

Online Presence: Due to current system limitations, initial licensing and renewal applicants do not have the ability to apply or renew online. All applications and renewals must be mailed to the board with a check or money order. Licensees must either contact BOP via telephone or send hard copies and payments, requiring staff to manually process applications and enter information into one or multiple systems. The current system does not provide licensees with the capability to create/edit their account online, and lacks the capability to accept online payments.

Data Collection and Reporting Capabilities: Relying on manual processes for capturing all types of information such as citations, inspections, incident reports, and daily activities reports is extremely inefficient and increases chances of errors, longer complaint processing times, and inability to electronically track and report on all complaint lifecycle information. Because the majority of BOP's documentation is generated manually, or located in various databases, it is difficult to cross-reference even the simplest of data sets, such as names and addresses, between files or share information in diverse locations. This makes inspections and investigations inefficient. Since BOP does not have a central

repository to track critical information, and a comprehensive or consistent method for capturing information does not exist, information cannot be shared or submitted if required by statute or regulations.

Enforcement and Compliance: BOP responds to complaints received by external sources or generated from within another unit. The results of complaint investigations determine appropriate responses, which may include scheduling and conducting a compliance inspection, taking an administrative action, or simply closing the investigation with no further action. Currently, the control of enforcement documentation is neither standardized nor centralized, this lack of infrastructure places investigations at risk.

BOP is seeking an opportunity to implement a secure, web-based, central licensing system. Ideally, the system would be a repository containing licensing information, enforcement actions, and background data for every licensee. BOP operations can be significantly improved through the use of modern technology to manage day to day activities:

- Streamline business processes and manage work flows with real-time reports;
- Provide for real-time statistics and aging of complaints and cases;
- Provide data and metrics for measuring staff accomplishments;
- Provide much better information to the public regarding laws, regulations, and pending complaints;
- Improve record keeping and tracking of licensure, registration, complaint, and enforcement actions;
- Collect licensing fees at the time of application or renewal;
- Significantly reduce the average enforcement completion timeline;
- Reduce or eliminate time-consuming, paper based activities;
- Significantly reduce or eliminate manual errors and accidental deletion of pertinent data by reducing the need for multiple spreadsheets which typically track multiple processes and data sources;
- Instant access to customized reports;
- Electronically track certified premises that are mandated to register with BOP; and,
- Provide consumers with online self-service information to licensee status, and if any, disciplinary actions.

Business Problem or Opportunity and Objectives Table

Problem ID	Problems/Opportunities
1	Operating and maintaining multiple systems is not an efficient use of BOP program resources or IT resources.
Objective ID	1.1
Objectives	Integrate CAS, ATS, and various workaround databases into an enterprise wide licensing and enforcement eco-system that processes all BOP's applications, licenses, and license renewal applications within 12 months of implementation.
Metric	Consolidation of all BOP licensing and enforcement systems
Baseline	Multiple systems
Target	One system
Measurement Method	Architecture diagrams
Problem ID	**Problems/Opportunities**
2	Self-service options are restricted due to the current limited online functionality. The current system does not provide licensees with the capability to create/edit their account online and lacks the capability to accept online payments.
Objective ID	2.1
Objectives	Allow licensees to access online services using one profile, within one year of implementation.
Metric	Number of User Profile

California Department of Technology, SIMM 19A.2 (Rev. 2.3)

Baseline	Not in place
Target	Single User profile
Measurement Method	System reports. Ad-Hoc Report.

Objective ID	**2.2**
Objectives	Within six months of implementation, expand online services and introduce the functionality to accept and process renewals online, including online payment.
Metric	Number of Licensees
Baseline	0 percent
Target	60 percent
Measurement Method	System reports. Ratio of applicants submitting electronic applications to the total number of applications. Ad-hoc report/ Workload data tracking report.

Problem ID	**Problems/Opportunities**
3	Data is manually entered in a diverse set of paper records and electronic databases, causing data integrity issues. Manual data management requires extensive workload for staff to enter, prepare, review, track, and report activities. This inefficient use of staff time delays processing times. Business operations are negatively affected by the lack of data integrity resulting from the collection of data from various sources and the manual processing of licensing, renewal, and examination applications and fees.
Objective ID	**3.1**
Objectives	Within one year of implementation, automate the intake process, and case activity tracking log and reduce the time staff spend on manual processes, data collection, analysis, and reports.
Metric	Average time in hours spent on manual processes.
Baseline	210 hours per month
Target	105 hours per month
Measurement Method	Management reports. Various systems and ad-hoc reports.

Objective ID	**3.2**
Objectives	Within one year of implementation, reduce current processing timeframe for initial licensure.
Metric	Average processing timeframe in days.
Baseline	119 days
Target	72 days
Measurement Method	Management reports. Ad-hoc reports.

Objective ID	**3.3**
Objectives	Within one year of implementation, reduce current processing timeframe for first time examination applicants.
Metric	Average processing timeframe in days.
Baseline	49 days
Target	25 days
Measurement Method	Management Reports. Various systems and ad-hoc reports.

Objective ID	3.4
Objectives	Within one year of implementation, reduce customer's calls and emails by 50 percent and improve customer service by providing access to relevant information online and redirection of staff to focus on customer support.
Metric	Average number of calls and emails per month.
Baseline	4,500
Target	2,250
Measurement Method	Track and measure against current volume, ad-hoc reports.
Objective ID	3.6
Objectives	Within one year of implementation, reduce time to manually review license renewal forms for compliance by.
Metric	Average processing timeframe in days.
Baseline	20 days
Target	10 days
Measurement Method	Management Reports. Various systems and ad-hoc reports.

Problem ID	Problems/Opportunities
4	BOP ensures that statutes, regulations, policies, and procedures strengthen and support their mandate and mission and improve compliance. The current system is paper and labor intensive and relies on multiple databases that requires gathering data from disparate sources that must be constantly reanalyzed, to prepare multiple mandated reports. Additionally, the current system lacks the capability to electronically track, reconcile, or report cases that have been referred for formal disciplinary action, or regulations and enforcement lifecycle information. Current business processes to ensure that BOP tracks complaints and completes follow-ups in a timely period, lack automated information controls and are fragmented due to multiple disparate sources to support various business operations. A new system will streamline the accreditation and compliance process and improve the ability to faster collect, effectively analyze, and share information that supports decision making processes.
Objective ID	4.1
Objectives	Within one year of implementation, reduce the time staff spend developing reports that require pulling data from disparate sources and reallocate that time to developing more data-driven reports for BOP, policy makers, and the public, improving the accuracy of public information.
Metric	Average number of hours per month.
Baseline	105 hours
Target	53 hours
Measurement Method	Management and system reports. Staff workload.

Objective ID	4.2
Objectives	Within one year of implementation, reduce the time staff spend manually entering data into multiple systems.
Metric	Average number of hours per month.
Baseline	120 hours
Target	60 hours
Measurement Method	Management and system reports. Staff workload.

Objective ID	4.3

Objectives	Within one year of implementation, BOP will have the ability to track all disciplinary actions or complaints and provide customized reports.
Metric	Number of disciplinary actions and complaints.
Baseline	Currently, no disciplinary actions or complaints are attached to an electronic profile.
Target	100 percent of all disciplinary actions or complaints tracked and attached to an electronic profile.
Measurement Method	Various system reports.

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)?

⦿ Yes   ◯ No   ◯ Clear

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

◯ No   ◯ New Processes   ◯ Existing Processes   ⦿ Both New and Existing   ◯ Clear

1.7 Project Management

Project Management Risk Score:	1.2
Attach completed Statewide Information Management Manual (SIMM) Section 45 Appendix A:	Include the completed SIMM 45 Appendix A as an attachment to your email submission.

Existing Data Governance and Data

1. Does the Agency/state entity have an established data governance body with well-defined roles and responsibilities to support data governance activities? If an existing data governance org chart is used, please attach.	◯ Unknown ⦿ Yes ◯ No ◯ Clear	If applicable, include the data governance org chart as an attachment to your email submission.
2. Does the Agency/state entity have data governance policies (data policies, data standards, etc.) formally defined, documented, and implemented? If yes, please attach the existing data governance plan, policies or IT standards used.	◯ Unknown ◯ Yes ⦿ No ◯ Clear	If applicable, include the data governance policies as an attachment to your email submission.
3. Does the Agency/state entity have data security policies, standards, controls, and procedures formally defined, documented, and implemented? If yes, please attach the existing documented security policies, standards, and controls used.	◯ Unknown ⦿ Yes ◯ No ◯ Clear	If applicable, include the documented security policies, standards, and controls as an attachment to your email submission.

4. Does the Agency/state entity have user accessibility policies, standards, controls, and procedures formally defined, documented, and implemented? If yes, please attach the existing documented policies, accessibility governance plan, and standards used, or provide additional information below.	○ Unknown ● Yes ○ No ○ Clear	If applicable, include the documented accessibility policies, standards, and controls as an attachment to your email submission.
5. Do you have existing data that you are going to want to access in your new solution?	○ Unknown ● Yes ○ No ○ Clear	If applicable, include the data migration plan as an attachment to your email submission.
6. If data migration is required, please rate the quality of the data.	No information available	

1.8 Criticality Assessment

Business Criticality

Legislative Mandates:	N/A ☒	
Bill Number(s)/Code(s):		
Language that includes system relevant requirements:		

Business Complexity Score		Include the completed SIMM 45 Appendix C as an attachment to your email submission.

Non-compliance Issues

Please indicate if your current operations include non-compliance issues and provide a narrative explaining the how the business process is noncompliant.

Programmatic Regulations	HIPPA/CJIS/FTI/PII/PCI	Security	ADA	Other	N/A
☐	☐	☐	☐	☐	☐

1. What is the proposed project start date?	12/28/2022
2. Is this proposal anticipated to have high public visibility?	○ Yes ● No ○ Clear

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

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

4. Does this proposal affect business program staff located in multiple geographic locations?	● Yes ○ No ○ Clear

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

All field staff work out of home offices located throughout the state.

City	State	Number of Locations	Approximate Number of Staff
	CA	53	53

1. Does the Agency/state entity anticipate requesting additional resources through a budget action to complete the project approval lifecycle?	● Yes ○ No ○ Clear

2.	Will the state possibly incur a financial sanction or penalty if this proposal is not implemented? If yes, please identify the financial impact to the state below:	◌ Yes ● No ◌ Clear

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

FUNDING SOURCE		FUND AVAILABILITY DATE
General Fund	☐	Date Picker
Special Fund	☒	Date Picker
Federal Fund	☐	Date Picker
Reimbursement	☐	Date Picker
Bond Fund	☐	Date Picker
Other Funds	☐	Date Picker
If "Other Fund" is checked, specify the funding:		

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? If "No," this initiative is not an IT project and is not required to complete the Project Approval Lifecycle.	● Yes ◌ No ◌ Clear
2.	Does the activity meet the definition of Maintenance or Operations found in SAM Section 4819.2? If "Yes," this initiative is not required to complete the Project Approval Lifecycle. Please report this workload on the Agency Portfolio Report. And provide an explanation below.	◌ Yes ● No ◌ Clear
3.	Has the project/effort been previously approved and considered an ongoing IT activity identified in SAM Section 4819.2, 4819.40? If "Yes," this initiative is not required to complete the Project Approval Lifecycle. Please report this workload on the Agency Portfolio Report.	◌ Yes ● No ◌ Clear
4.	Is the project directly associated with any of the following as defined by SAM Section 4812.32? Single-function process-control systems; analog data collection devices, or telemetry systems; telecommunications equipment used exclusively for voice communications; Voice Over Internet Protocol (VOIP) phone systems; acquisition of printers, scanners and copiers. If "Yes," this initiative is not required to complete the Project Approval Lifecycle. Please report this workload on the Agency Portfolio Report.	◌ Yes ● No ◌ Clear

Stage 1 Business Analysis

#	Question	Answer
5.	Is the primary objective of the project to acquire desktop and mobile computing commodities as defined by SAM Section 4819.34, 4989? If "Yes," this initiative is a non-reportable project. Approval of the Project Approval Lifecycle is delegated to the head of the state entity. Submit a copy of the completed, approved Stage 1 Business Analysis to the CDT and track the initiative on the Agency Portfolio Report.	○ Yes ● No ○ Clear
6.	Does the project meet all of the criteria for Commercial-off-the-Shelf (COTS) Software and Cloud Software-as-a-Services (SaaS) delegation as defined in SAM x 4819.34, 4989.2 and SIMM 22? x If "Yes," this initiative is a non-reportable project. Approval of the Project x Approval Lifecycle is delegated to the head of the state entity; however, submit x an approved SIMM Section 22 form to CDT. x	○ Yes ● No ○ Clear
7.	Will the project require a Budget Action to be completed?	● Yes ○ No ○ Clear
8.	Is it anticipated that the project will exceed the delegated cost threshold assigned by CDT as identified in SIMM 10?	● Yes ○ No ○ Clear
9.	Are there any previously imposed conditions place on the state entity or this project by the CDT (e.g., Corrective Action Plan)? If "Yes," provide the details regarding the conditions below.	○ Yes ● No ○ Clear
10.	Is the system specifically mandated by legislation?	○ Yes ● No ○ Clear

Department of Technology Use Only
Original "New Submission" Date   1/4/2019
Form Received Date   1/4/2019
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Form Status   Completed
Form Status Date   1/4/2019
Form Disposition   Approved   If "Other,"
specify:
Form Disposition Date   1/4/2019