



Stage 1 Business Analysis

California Department of Technology, SIMM 19A.3 (Ver. 3.0.9, 02/01/2022)

1.1 General Information

1. Agency or State Entity Name: **2100 - Alcoholic Beverage Control, 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: **Legacy Systems Refresh**

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

Replace or upgrade the Alcoholic Beverage Information system (ABIS), which is ABC's enterprise licensing and enforcement application, and its related systems: the Licensing Service Portal (LSP), License Query System (LQS), and Reporting Query System (RQS). Evaluate the feasibility of also replacing the Responsible Beverage Services (RBS) Portal.

- Improve customer service:
 - Providing applicants functionality to apply online for all transactions related to the licensing and permits.
 - Supporting online payment for all ABC services.
 - Providing access to applicant and license data using GIS.
- Improve staff productivity by:
 - Providing workload assignment and tracking functionality.
 - Implementing data quality management functionality into the system.
 - Tracking key performance metrics to ensure program objectives are met.
 - Providing access to applicant and license data using GIS.
- Improve system performance and availability:
 - Leveraging cloud architecture with redundancy, scalability, and geo-redundant data centers.
 - Reducing the number of technologies supported.
 - Establishing a new data schema that allows for more efficient processes and queries.
 - Providing an architecture that prevents internal or external queries from negatively impacting online performance.

4. Project Planning Start Date: [7/1/2026](#)
5. Proposed Project Execution Start Date: [7/3/2028](#)
6. S1BA Version Number: [Version 1](#)

1.2 Submittal Information

1. Contact Information

Contact Name: [Jeff Obrecht](#)

Contact Email: jeff.obrecht@abc.ca.gov

Contact Phone: [916-206-4174](#)

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: [Assistant Director, Administration](#)

Name: [Randall Deems](#)

Business Program Area: [Administration](#)

2. Business Owner

Title: [Southern Enforcement Division Chief](#)

Name: [Armando Gonzalez Jr.](#)

Business Program Area: [Enforcement](#)

Title: [Licensing Division Chief](#)

Name: [Jaime Taylor](#)

Business Program Area: [Licensing](#)

Title: [Northern Enforcement Division Chief](#)

Name: [David Bailey](#)

Business Program Area: [Enforcement](#)

Title: [Office of Legal Services Division Chief](#)

Name: [Matthew Gaughan](#)

Business Program Area: [Office of Legal Services](#)

Title: [Chief Information Officer](#)

Name: [Jeff Obrecht](#)

Business Program Area: [Information Technology](#)

3. Product Owner

Title: [Division Chief](#)

Name: [Jaime Taylor](#)

Business Program Area: [Licensing](#)

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: No

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.

ABC

- Developing business requirements and prioritizing functionality
- Providing business knowledge, processes, and procedures
- Providing key performance metrics that need to be tracked
- Selecting software and/or vendors
- Standardizing and documenting to-be processes/procedures
- Organizational change management
- Providing guidance and resources as a Sponsors and Steering Committee Members

Public

- Provide input on business requirements related to online functionality
- Provide input into reporting and data access requirements

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1.5 Business Program

- 1. Business Program Name:** Alcoholic Beverage Licensing, Enforcement, and Administration.
- 2. Program Background and Context:** Provide a brief overview of the entity's business program(s) current operations.

The ABC was created by a constitutional amendment effective January 1, 1955, and charged with the regulation of alcoholic beverages. ABC has the exclusive power, in accordance with laws enacted, to license and regulate the manufacture, importation, and sale of alcoholic beverages in California. It also has the power for good cause to deny, suspend, or revoke any specific alcoholic beverage license.

- 3. How will this proposed project impact the product or services supported by the state entity?**
 - Improve customer experience by providing online application and payment functionality to licensees and applicants.
 - Provide access to applicant and licensee data using GIS.
 - Improve the availability of ABC systems by implementing fault tolerant and highly available access to systems.

- Improve productivity by providing workload and assignment tracking.
- Improve the ability to manage and measure ABC program objectives.
- Improve the quality of the data made available and the efficiency in retrieving it.

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: Enterprise Architect

Name: Bob Luo

Strategic Plan Last Updated? 1/1/2025

Strategic Business Goal: Goal 1 Enhance Effectiveness of Licensing Program by Improving Communication, Customer Service, and Efficiency

Alignment: ABIS does not have online functionality or built-in data quality validation. Further, it includes incomplete business processes resulting in a system that does not meet the operational needs of ABC's licensing program. In addition, the lack of confidence in the reliability of the data makes data driven decision making difficult. This impacts the ability to measure the performance of program initiatives. The lack of online functionality makes the public's interaction with ABC more challenging and time consuming.

Strategic Business Goal: Goal 2 Strengthen Public Safety and Compliance Objectives

Alignment: The enforcement functionality in ABIS is limited resulting in manual processes or tracking outside of the system. The lack of data collected means performance monitoring and determining program success is largely a manual process. The lack of integration with enforcement processes results in the use of paper forms and data entry into ABIS.

Strategic Business Goal: Goal 4 Optimize Administrative Support of Licensing and Compliance Programs.

Alignment: Switching to a cloud architecture will more easily allow for scalable infrastructure with redundant nodes eliminating single points of contention and failure improving up-time and performance. Utilizing geo-redundant data centers will enhance ABC's business continuity in the event of a disaster. The maintenance and operations costs of supporting of systems on various platforms, software technologies, back-ups, monitoring and security solutions can be reduced by utilizing the same technology stack.

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: [Yes](#)

Increased Revenue: [No](#)

Cost Savings: [Yes](#)

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: [Yes](#)

Improved Health and/or Human Safety: [Yes](#)

Improved Information Security: [Yes](#)

Improved Business Continuity: [Yes](#)

Improved Technology Recovery: [Yes](#)

Technology Refresh: [No](#)

Technology End of Life: [No](#)

1.7 Business Outcomes Desired

Executive Summary of the Business Problem or Opportunity:

The Alcoholic Beverage Information System (ABIS) was implemented in 2010. The primary function of ABIS is to register, manage, and maintain licenses for ABC. ABIS was developed by an external vendor (Computronix) using their company's proprietary commercial off-the-shelf (COTS) software platform POSSE. However, ABIS was heavily modified from the COTS to meet ABC's requirements. During the ABIS implementation project, ABC found that more work was needed to support core functionality than originally anticipated. As a result, not all functionality was taken beyond the MVP and some functionality including online applications and payments were removed from scope.

The Reporting Query System (internal user reports) and the License Query System (external user reports) were later developed to meet ABC's reporting needs. A copy of ABIS production is taken nightly which RQS and LQS run their queries against. The design problem was the database copy resides on the same production instance as the online system. Resulting in resource intense queries impacting the performance of all users.

In 2020, ABC launched the BizMod project which included the development of the Licensing Services Portal (LSP) providing online application and payment functionality that integrates with the ABIS database. LSP leverages cloud infrastructure components that require ongoing updates to address software version interoperability and security compliance.

In total ABC has multiple systems running on varied technology stacks increasing the cost of maintenance and operations tasks. The core system ABIS was implemented with incomplete functionality and inefficient data schema. The backend infrastructure does not cost-effectively provide redundancy at the application, database, or data center levels. The architecture of the reporting systems causes performance for online users and does not meet the needs of the public. LSP provides online functionality but the cost of making refinements and maintaining the system costly.

Objective ID: 1

Objective: Applicants can apply online for all transactions related to the issuance, transfer, or modification of alcohol licenses and permits.

Metric: Percentage of transaction types for which the public can apply online. License transaction types that can be applied for online (originals, non-retails, etc.)/All License transaction types.

Baseline: Applicants can apply for 10% of transactions online

Target Result: 100% of transactions ABC offers can be initiated through online services by project conclusion.

Objective ID: 2

Objective: The public can pay electronically for all services for which ABC charges a fee.

Metric: Percentage of fee transaction types for which an electronic payment can be made. Fee transaction types that can be received (renewal, original, etc.) electronically/All fee transaction types.

Baseline: The public can pay electronically for 10% of fee transactions.

Target Result: The public can pay electronically for 100% of fee transactions by project conclusion.

Objective ID: 3

Objective: Provide key applicant and licensee data for internal and external customers using GIS.

Metric: Percentage of licensed premises that can be located by internal and external users in the system or public facing portal.

Baseline: Neither the internal nor external GIS functionality in ABIS is operational.

Target Result: All licensed premises can be located by internal and external users. Data will be updated on the map automatically by linking the searchable GIS map to the database. Public search functions will include filters such as license status, license number, address, license type, licensee/applicant name, and business name.

Objective ID: 4

Objective: Track key program performance metrics electronically.

Metric: Solution allows ABC management to effectively manage staff performance and program effectiveness. Key program performance metrics provided by system without large manual manipulation/total number of ABC KPI's.

Baseline: The ability to measure key performance indicators (KPI), assess staff or program performance using ABIS data is largely manual, time-consuming, and prone to human error. ABC is unable to accurately track key program performance metrics electronically.

Target Result: At least 75% of key program performance metrics data or meta-data is captured or created during the licensing and enforcement processes that allows ABC to verify staff performance and program success or failure within one year of project conclusion.

Objective ID: 5

Objective: Provide workload assignment and tracking functionality for licensing and enforcement program.

Metric: Supervisors can monitor and manage staff caseload effectively in the system. Number of licensing and enforcement (including OLS) assignments tracked in the system/ number of licensing and enforcement made. The ABIS data schema is not suited for the queries that management needs to monitor staff performance and program success.

Baseline: Workload assignment functionality within ABIS is limited and cannot be monitored and managed by supervisors.

Target Result: At least 90% of assignment workflow functionality is built into the licensing and enforcement processes and can be monitored and managed by supervisors by project conclusion.

Objective ID: 6

Objective: Accessing data available to the public and internal users (running reports, use of API's, viewing published data) should not impact the performance of ABC systems for internal or external users.

Metric: Performance of systems while queries are being made, APIs are being used, and publicly available data is being viewed. Internal users: Reported incidents of slowdown due to standard queries being run. Public users: The average load time for the highest request and count of 'Failure rate increase' problems in monitoring tool.

Baseline: LQS and RQS access a copy of the ABIS production database. Large queries impact the performance of ABIS, LQS, and RQS. Internal users: ABC has no measurable baseline, queries can be ad hoc and run throughout the day. Anecdotally, staff have reported sluggish performance when large system queries are run. Public users (LQS): Average load time for highest request: 2382ms and count of 'Failure rate increase; problems = 227

Target Result: By year one of project conclusion: Internal users – no reported incidents of slowdown due to standard queries. Public users: Average load time for highest request – less than 1000ms and count of 'Failure rate increase' problems – reduced by 90%

Objective ID: 7

Objective: Improve data management, data quality, and query efficiency for the licensing and enforcement data and document storage

Metric: Data quality and data validation issues resolved/Count of data quality and data issues identified. ABC has created an epic in JIRA to track data quality and data validation issues.

Baseline: ABIS has not applied data validation and verification on fields that are used to ensure accuracy and track performance.

Target Result: 90% of data quality/data validation issues resolved by project conclusion.

Objective ID: 8

Objective: Reduce the technologies that ABC has to maintain to operate the identified systems. This reduces ABC's cost and risk.

Metric: Number of environments and technologies to be supported in order to host identified systems.

Baseline: ABIS is built on the POSSE platform. Licensing Query System (LQS) and Report Query System (RQS) point to a copy of the ABIS database. Licensing Services Portal (LSP) and Responsible Beverage Service (RBS) portal are built cloud infrastructure in Amazon Web Services. ABIS/LQS/RQS – approximately 15 servers that support ABIS would be retired. Oracle server admin support/patching/upgrades would be reduced to just support roles. Backups of servers and databases would be managed by vendor. LSP/RBS – currently 54 EC2 servers running across all the environments. These servers are EKS compute nodes, EKS master nodes, jump boxes, and application infrastructure including Jenkins, artifactory, and argo cd.

Target Result: Consolidate these existing systems into one platform. ABIS, LSP, LQS, RQS, and RBS. Solution will include non-production environments for easier trouble shooting, faster releases, and reduced operational costs.

Objective ID: 9

Objective: Improve system performance and availability. Provide a highly available, resource scalable, and fault tolerant solution.

Metric: Solution is architected with infrastructure that scales to resource utilization to meet demand. Percentage of availability. The solution is scalable and fault tolerant.

Baseline: ABIS, LQS, and RQS reside on the virtual infrastructure that is limited and cannot create additional instances at the database or application level. The solution is not scalable or fault tolerant. ABC assumes risks of single points of failure and non-redundancy. 1 database server, 1 application server, 7 to 5, Monday thru Friday monitoring and support. 99.99% availability not including disruptions to normal maintenance.

Target Result: Establish server and database redundancy that have automated resource scalability for improved uptime, cost reduction, and performance. 24/7 monitoring and support. By one year after the project conclusion, maintain 99.99% availability and eliminate disruptions during normal maintenance.

Objective ID: 10

Objective: Improve business continuity and technology recovery of critical and public facing systems.

Metric: Implement solution on geo-redundant datacenters.

Baseline: ABC, RQS, and LQS reside in one datacenter. LSP and RBS are AWS cloud applications hosted in multiple geographic zones.

Target Result: Solution resides in geo-redundant datacenters that supports an effective technology recovery plan that can meet ABC's RTO and RPO benchmarks.

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: 1.1

Follow the instructions in [Statewide Information Management Manual \(SIMM\) Section 45 Appendix B Project Management Risk Assessment Preparation Instructions.](#)

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. Complexity Assessment (Business Score): 1.9

Follow the instructions in the [Statewide Information Management Manual \(SIMM\) Section 45 Appendix D Complexity Assessment Instructions](#).

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

NOTE: Business complexity is initially completed in PAL Stage 1. Technical complexity is initially completed in PAL Stage 2.

2. Noncompliance Issues: Indicate if your current operations include noncompliance issues and provide a narrative explaining how the business process is non-compliant.

Programmatic regulations: [No](#)

HIPAA/CIIS/FTI/PII/PCI: [No](#)

Security: [No](#)

ADA: [No](#)

Other: [No](#)

Not Applicable: [Choose Yes or 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: 26

Estimated Number of Transactions/Business Events (per cycle): ABC receives approximately 10,000 applications annually, over 40,000 daily licenses issued annually, and 95,000 active licensees.

Approximate number of internal end-users: 500

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?

8/13/2025

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

Funding from budget proposal is from the Alcoholic Beverage Control Fund (3036) and would be available starting July 1, 2026.

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:

Alcoholic Beverage Control Fund (3036)

Will a budget action be submitted to your Agency/DOF? **Yes**

If "Yes" is selected, specify when this BCP will be submitted: 9/1/2027

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: [8/8/2025](#)

Form Received Date: [8/8/2025](#)

Form Accepted Date: [8/8/2025](#)

Form Status: [Completed](#)

Form Status Date: [8/8/2025](#)

Form Disposition: [Approved](#)

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

Form Disposition Date: [8/8/2025](#)

Department of Technology Project Number (0000-000): [2100-015](#)