



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: **3940 - Water Resources Control Board, State**

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: **SB 3 Water Protection Shut Off Act (SB 3)**

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

Creation of a database to fulfill the requirements of SB 3 to track drinking water system compliance with water shut-off provisions of the new statute.

4. Proposed Project Execution Start Date: **7/1/2024**

5. S1BA Version Number: **Version 1**

1.2 Submittal Information

1. Contact Information

Contact Name: **Cheryl Holden**

Contact Email: **Cheryl.Holden@waterboards.ca.gov**

Contact Phone: **916-327-0003**

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 Deputy Director](#)

Name: [Andrew Altevogt](#)

Business Program Area: [Division of Drinking Water](#)

2. Business Owner

Title: [Quality Assurance Section Chief](#)

Name: [Andrew Altevogt](#)

Business Program Area: [Division of Drinking Water](#)

3. Product Owner

Title: [Quality Assurance Section Chief](#)

Name: [Karen Nishimoto](#)

Business Program Area: [Division of Drinking Water](#)

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

1.4 Stakeholder Assessment

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

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

State Entity Only: [No](#)

Other Departments/State Entities: [No](#)

Public: [Yes](#)

Federal Entities: [No](#)

Governor's Office: [No](#)

Legislature: [Yes](#)

Media: [No](#)

Local Entities: [No](#)

Special Interest Groups: [Yes](#)

Other: [No](#)

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

The scope and content of the proposed system will be vetted through a public process that will include drinking water non-governmental organizations (NGOs) and the general public. We will keep the Legislature updated on the system development progress.

1.5 Business Program

1. Business Program Name: [Division of Drinking Water](#).

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

The Division of Drinking Water regulates all public drinking water systems in California. SB 3 requires the Division to expand its regulatory oversight to water systems shut-off policies for small water systems.

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

The proposed project will allow the Division to track water system compliance with the statutory requirements.

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: [Information Technology Specialist III](#)

Name: [TBD](#)

Strategic Plan Last Updated? [7/1/2022](#)

Strategic Business Goal: [Goal #1:](#)

Alignment: [Protect public health by ensuring reliable access to safe, affordable drinking water and sanitation.](#)

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

Mandate(s): [State](#)

Bill Number/Code, if applicable: [SB 3 \(2023\)](#)

Add the Bill language that includes system-relevant requirements:

This bill would expand the scope of the Water Shutoff Protection Act by requiring that it instead apply to a covered water system, defined to include specified water systems and suppliers, including a community water system. The bill would require a community water system, that is not otherwise required to comply, to comply with the act's provisions on and after August 1, 2024. The bill would instead apply the above-described language requirements for the written policy of discontinuation of residential service for nonpayment to a covered water system that serves 200 or more service connections. The bill would require a covered water system that serves fewer than 200 service connections to have a written policy on disconnection of residential service for nonpayment available in English, any language spoken by at least 10% of the people residing in its service area, and, upon request of a customer, other designated languages.

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: **Yes**

Improved Information Security: **No**

Improved Business Continuity: **Yes**

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:

With the passage of SB 3, all community water systems are required to have water shut-off procedures in place. The addition of small systems (between 15 and 200 service connections) to these requirements adds approximately 1500 systems that must be tracked for their compliance. This additional compliance requirement increases the data and tracking burdens on the Division of Drinking Water. In order to appropriately assess and regulate compliance, the Division needs a database that can more adequately handle this type of data.

Objective ID: Objective 1

Objective: Collect and catalogue water system compliance with shut-off requirements

Metric: Number of water systems submitting compliance data

Baseline: Currently no systems under 200 connections submit this data (~1500 systems)

Target Result: All community drinking water systems submitting this data

Objective ID: Objective 2

Objective: Collection of consumer complaints

Metric: Number of total complaints per year

Baseline: Not currently collected

Target Result: All complaints submitted to the Water Board entered in the database and associated with the appropriate water system

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

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

1.8 Project Management

1. Project Management Risk Score: .7

(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: 1.6

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

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

Programmatic regulations: No

HIPAA/CIIS/FTI/PII/PCI: No

Security: No

ADA: No

Other: No

Not Applicable: No

Noncompliance Description:

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

3. Additional Assessment Criteria

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

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

Number of locations: [Statewide](#)

Estimated Number of Transactions/Business Events (per cycle): [2000/year](#)

Approximate number of internal end-users: [10](#)

Approximate number of external end-users: [3000](#)

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?

[10/23/2023](#)

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

[Safe Drinking Water Fund](#)

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:

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

If "Yes" is selected, specify when this BCP will be submitted: Fall 2024

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

End of agency/state entity document.

Please ensure ADA compliance before submitting this document to CDT.

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

Department of Technology Use Only

Original "New Submission" Date: [11/2/2023](#)

Form Received Date: [11/2/2023](#)

Form Accepted Date: [11/2/2023](#)

Form Status: [In Analysis](#)

Form Status Date: [11/2/2023](#)

Form Disposition: [Approved](#)

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

Form Disposition Date: [11/2/2023](#)

Department of Technology Project Number (0000-000): [3940-112](#)