



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:** **2660 - Transportation, Department of**

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

2. **Proposal Name and Acronym:** **Local Assistance Project Management System (LAPMS)**

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

California Department of Transportation (Caltrans) proposes to replace the existing Local Programs 2000 (LP2000) system with a new outward-facing web-accessible system or service that integrates Local Assistance Program (LAP) data currently housed in separate systems and spreadsheets. The new system would support electronic form submission and electronic signatures. Current manual business steps would be replaced with automated workflows, send configurable notifications and alerts, and store all project communications. The system would enforce data entry validation and configurable business rules; errors would result in a meaningful message to the user. Information about a project or agency would be viewed and accessible from a single source.

4. **Proposed Project Execution Start Date:** **10/12/2027**

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

1.2 Submittal Information

1. **Contact Information**

Contact Name: **Mary Johnson**

Contact Email: **mary.johnson@dot.ca.gov**

Contact Phone: **(916) 827-7458**

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 Director](#)

Name: [Marlon Flournoy](#)

Business Program Area: [Planning & Modal Programs](#)

2. Business Owner

Title: [Division Chief](#)

Name: [Dee Lam](#)

Business Program Area: [Local Assistance Program](#)

3. Product Owner

Title: [Staff Services Manager I](#)

Name: [Mary Johnson](#)

Business Program Area: [Data & Digital Services Division](#)

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

1.4 Stakeholder Assessment

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

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

State Entity Only: No

Other Departments/State Entities: Yes

Public: No

Federal Entities: Yes

Governor's Office: No

Legislature: No

Media: No

Local Entities: Yes

Special Interest Groups: No

Other: No

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

Other Departments/State Entities:

- California State Transportation Agency (CalSTA) is the oversight agency responsible for all transportation projects in the State of California. The California Legislature has authorized funding that are not part of an established state program or under the authority of the California Transportation Commission (CTC). CalSTA and CTC will be informed of the progress of this project through regular project updates that are part of the California Department of Technology (CDT) Project Approval Lifecycle (PAL) process.

Federal Entities: Under the United States Department of Transportation, the Federal Highway Administration (FHWA) delegates responsibility for stewardship and oversight to Caltrans regarding administration of the Federal Highway Aid program. The FHWA authorizes all requests for project federal funding from local entities but does not directly use LP2000. FHWA will be informed of the progress of this project at standing quarterly meetings between DLA and FHWA. In addition, the Federal Transit Administration (FTA) and Federal Railroad Administration (FRA) do not directly use LP2000 but will be informed if there are any impacts on their interests.

Local entities: Cities, Counties, and other local public agencies deliver local transportation projects in California using federal and state funds. Regional Transportation Planning Organizations (RTPA) and Metropolitan Planning Organizations (MPO) identify local transportation needs, conduct planning, assist local governments, and support the statewide transportation planning process. RTPAs, MPOs, and Local Agencies do not use LP2000. RTPA's, MPO's, and local agencies will be informed of the progress of this project at the existing quarterly meetings between DLA and their external partners. Caltrans may consult with local transportation agencies in planning the project and include them in testing and training.

1.5 Business Program

1. Business Program Name: Local Assistance Program

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

The LAP oversees over four \$4 billion annually made available to over 600 local agencies, including cities, counties, and regional agencies. Local agencies use these funds to improve their transportation infrastructure and provide other transportation services. The funds are distributed among approximately 60 federal and state programs and support more than 4,400 active and 1,400 new projects annually.

The LAP consists of the Division of Local Assistance (DLA) at Caltrans Headquarters and twelve District Local Assistance Offices. Each district has a District Local Assistance Engineer (DLAE) who, with their staff, assists local and regional agencies by processing project applications to ensure agencies meet specific program requirements and deliver projects in accordance with federal and state requirements. The responsibility for administering projects on local streets, roads, and other transportation systems resides with the local agencies. Together, DLA and district staff help local agencies through the entire project lifecycle, providing project oversight, guidance, training, and project delivery assistance.

DLA is responsible for tracking and managing the various federal and state transportation funding programs and more than 4,400 active projects. Each local assistance project requires programming, funding authorization, management, and oversight to ensure that the funds are spent in accordance with program requirements without exceeding allocation or budget authority. Some funding programs may require annual or periodic project application and selection to establish project eligibility lists. Once funding has been authorized, the DLA guides local agencies and monitors project implementation to ensure that the projects are implemented in a timely manner to achieve program goals.

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

This project will have a positive impact on improving customer service to our local partners and oversight agencies. The project will improve business operations and increase transparency, efficiency, timeliness, and data reliability. This will allow Caltrans to operate the business and manage the business more efficiently, improve quality and availability of data, including for better decision making, and provide system extensibility and scalability to meet future programmatic needs.

The replacement system will mitigate the Department's current risks and issues in the areas of LP2000 data reliability, supporting business needs and decision making, scalability, and accessibility. Stakeholders will benefit from a modernized, secure, and reliable application that will lend to the Department's partnership, credibility, and accuracy. Specifically, the proposed project will generate efficiencies through reducing staff hours required to manually collect, validate, and correct data and to provide authoritative and trusted reports. Additional gains for the Department

include dependable automated data transfers between related applications, minimized reliance on IT Staff and consultant support, and system accessibility to all users.

The vision for the LAP “To Be” is to replace the existing LP2000 with a new outward-facing web-accessible system or service (“System”) that integrates all LAP data. The System would support electronic form submission that would significantly reduce the need of over 100 LAP paper forms and move the LAP progressively toward a paperless file system. System and data access would be role-based to ensure local agencies only have access to update or view specific data.

Current manual business steps would be replaced with automated workflows to capture activities and dates, send notifications, alerts, and store all project communications. All information about a project would be viewed from a single source without the need to export data from multiple systems and manually combine them. Agency certification would be achieved using electronic signature rather than wet signature.

The System would enforce data validation at the point of data entry to prevent erroneous data from entering the System (i.e., a non-date value entered into a date field). The System would also enforce configurable business rules, such as the funds requested for an authorization may not exceed the programmed funds and prevent incomplete forms from being submitted. Errors during data entry would result in a meaningful message to the user so that the user would know what needs correction. The System would include a robust reporting tool that allows for reporting by DLA Headquarters (HQ) staff, district staff, and external partners.

Once realized, this vision would allow Caltrans district and DLA HQ staff to spend less time on paperwork, data entry, reconciling data, and responding to external partner requests for information, and more time on value-added activities that support the LAP mission and goals to facilitate project delivery and strengthen customer service.

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 Technology Officer

Name: Mike Nguyen

Strategic Plan Last Updated? 7/1/2020

Strategic Business Goal: Strengthen Stewardship and Drive Efficiency.

Alignment: Caltrans and its partners would be provided accurate and real-time information to manage their overall business, assess program or project performance, and predict workload.

Users will have access to a portfolio view that would provide a variety of management information, such as the types of projects being funded; projects that are at risk or have missed deadlines; districts, or agencies with backlog; the length of time a project has been in a phase; and the funding source and flow by month, to name just a few.

The new information would allow LAP staff to report to their executive management regarding the health of their program, with accurate statistics to support their assessment. Similarly, district staff could provide the same to their district managers regarding the status of the projects in their districts. Local agencies would be able to view and report on their projects, and regional agencies would be able to have a similar view of all agencies in their region. Users would benefit from data governance and policies that ensure consistent data definitions across LAP systems and support the Caltrans efforts to implement clear, consistent data governance.

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](#)

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: [No](#)

Cost Avoidance: [Yes](#)

Cost Recovery: [No](#)

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

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

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

Improvement

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

Efficiencies to Program Operations: [Yes](#)

Improved Equity, Diversity, and/or Inclusivity: No

Improved Health and/or Human Safety: No

Improved Information Security: Yes

Improved Business Continuity: Yes

Improved Technology Recovery: Yes

Technology Refresh: Yes

Technology End of Life: Yes

1.7 Business Outcomes Desired

Executive Summary of the Business Problem or Opportunity:

The current LP2000 system does not adequately support the Local Assistance business and it does not provide a viable foundation for enhancement. LP2000 is based on a 25-year-old architecture, is extremely difficult to maintain, and some of its software components are at or nearing end of life.

Local agencies have critical project information that is provided to Local Assistance district staff who manually enter the data into LP2000. There is significant back-and-forth between local agencies and district to resolve inaccurate or incomplete forms. While local agencies are not currently LP2000 users, the replacement system will give them direct access to attach documents and submit data directly in the system.

1. The legacy LP2000 application architecture no longer meets Program needs and lacks system quality assurance checks and measures, making the system susceptible to data quality issues. Caltrans staff manually reviews thousands of forms submitted by Local Assistance fund recipients for accuracy and completeness. The number of forms and project information that gets reviewed for accuracy and completeness has drastically increased over the years due to legislation such as the Road Repair and Accountability Act of 2017 (SB 1). As a result, Caltrans staff continue to utilize resources on manually validating and correcting project data and documentation which can often lead to project delays.

2. Lack of an electronic and or digitized form(s) and review approval workflows lead to submitting project information via paper or email in PDF forms that are then manually entered into the legacy LP2000 system. This results in Caltrans staff spending a significant amount of time manually entering and correcting data from thousands of forms and attached documents. Project submitted forms are not saved within the LP2000 system, instead they are uploaded to shared drives. In addition, when large volumes of data are being entered manually, the likelihood of errors increases significantly. This results in data quality issues which in turn causes reporting problems.

3. Local agencies are unable to get timely status or progress information for their projects.

District LAP staff spend a significant amount of time fielding information requests from local agencies who seek information about the status of their requests for authorization/allocation, environmental and other reviews, and invoices. To respond to these requests, LAP staff must consult multiple systems and communicate with other LAP staff. The time LAP staff spends on these tasks prevents them from training local agencies to help reduce errors, increase transparency, and improve local agency understanding of the process.

Objectives below and the baseline and target numbers are based primarily on project delivery activities of the Local Assistance Program.

1. Automate the review of data submitted by local agencies.

Objective ID: 1.1

Objective: Reduce staff time spent on reviewing forms submitted by local agencies for accuracy and completeness.

Metric: Staff time spent on manually performing forms review.

Baseline: 52,000 hours or 32% of annualized staff time is spent on forms review.

Target Result: Target is 36,000 hours or 22% of annualized staff time spent on forms review one year after the new system implementation.

2. Automate manual data entry processes.

Objective ID: 2.1

Objective: Reduce staff time spent manually entering data from forms submitted by local agencies by allowing them to electronically upload and submit their own data/forms.

Metric: Staff time spent on manually recreating data that was supplied by local agencies via paper forms.

Baseline: 15,000 hours or 9% of annualized staff time is spent on manually entering data.

Target Result: Target is 3,000 hours or only 2% of annualized staff time spent on manual data entry one year after new system implementation.

3. Facilitate access to project information online.

Objective ID: 3.1

Objective: Reduce in half the time staff spends on responding to project specific related questions from local agencies.

Metric: Staff time spent on responding to inquiries made by local agencies and partners requesting project information.

Baseline: 33,000 hours or 20% of annualized staff time is spent on responding to inquiries made by local agencies.

Target Result: Target is 16,000 hours or only 10% of annualized staff time spent on responding to enquires made by local agencies one year after the new system implementation.

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

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

1.8 Project Management

1. Project Management Risk Score: 0.5

(Attach a completed 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: [Current system is not publicly accessible. New system will be required to be ADA compliant upon implementation of public facing portal.](#)

[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: [1000](#)

Estimated Number of Transactions/Business Events (per cycle): [700 transactions per day](#)

Approximate number of internal end-users: [450](#)

Approximate number of external end-users: [2500](#)

1.10 Funding

Planning

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

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

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

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

[Existing Planning & Modal Program Operating Expense](#)

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:

[BCP July 1st, 2027](#)

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

If "Yes" is selected, specify when this BCP will be submitted: [2026](#)

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: [2/19/2025](#)

Form Received Date: [2/19/2025](#)

Form Accepted Date: [2/19/2025](#)

Form Status: [Completed](#)

Form Status Date: [2/19/2025](#)

Form Disposition: [Approved](#)

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

Form Disposition Date: [2/19/2025](#)

Department of Technology Project Number (0000-000): [2660-552](#)