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: 6110 - Education, Department of**

If Agency/State entity is not in the list, enter here with the <u>organization code.</u>

2. **Proposal Name and Acronym: Site Plan Review Tracking System (SPRTS) Replacement Project**

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

The Site Plan Review Tracking (SPRT) system is used by CDE to review and approve plans for compliance with California Code of Regulations Title 5 (Title 5) Section 14030, and Site Acquisition (sites) for compliance with Title 5 sections 14001 – 14012, and store project data. The underlying software upon which SPRT was designed in 2004 is no longer supported by Microsoft or the CDE Technology Services Division (TSD). As a result, SPRT retains only partial functionality: 1) the existing system has no ability for LEAs to electronically provide project information; 2) CDE staff must manually track of the some data elements; 3) the final approval process—letter generation—no longer works, and, 4) SPRT cannot be updated to accommodate changes in the School Facilities Program (SFP).

The replacement of the SPRT is necessary for CDE to meet its statutory obligation to review, approval, of SFP projects. A new SPRT system will eliminate manual data entry, increase the quality of data received by having business rules and validation checks built in, and empower CDE to automatically generate the Letters of Approval LEAs are required to provide with their SFP applications.

Click or tap here to enter text.

4. **Project Planning Start Date: 12/19/2024**

5. **Proposed Project Execution Start Date: 7/1/2025**

6. **S1BA Version Number: Version 1**

1.2   Submittal Information

1. **Contact Information**

   Contact Name: John Borasi

   Contact Email: jborasi@cde.ca.gov

   Contact Phone: (916) 350-0545

   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 <u>Project Approval Executive Transmittal</u> to your email submission.**

   4. **Attach <u>Stage 1 Project Reportability Assessment</u> to your email submission.**

1.3   Business Sponsorship

1. **Executive Champion (Sponsor)**

   Title: Division Director

   Name: Juan Mireles

   Business Program Area: School Facilities and Transportation Services Division (SFTSD)

   2. **Business Owner**

   Title: Staff Services Manager I

   Name: Andrew Nave

   Business Program Area: Administration and Technical Services, SFTSD

   3. **Product Owner**

   Title: Information Technology Manager I

   Name: John Borasi / Julie Aguiar

   Business Program Area: Technology 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: Yes

    Other Departments/State Entities: Yes

    Public: Yes

    Federal Entities: No

    Governor's Office: No

    Legislature: Yes

    Media: No

    Local Entities: Yes

    Special Interest Groups: No

    Other: Yes

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

    State Entity Only: CDE SFTSD Office of Learning Environments Staff

    - Role: Involved in the design, testing, and implementation of the TBD solution

    - Responsibilities:
        o Participate in system design and end-user testing.

        o Develop business rules, validation checks, and system documentation.

        o Prepare staff and LEA training materials and ensure accessibility and compliance of all system documents with Federal Section 508 of the Rehabilitation Act of 1973 (as amended in 1989).

        o After system release, manage the data collection process, coordinate with local educational agencies (LEAs), and support users.

        o Create standardized internal administrative management reports and the framework for ad hoc reports as necessary.

State Entity Only: CDE Technology Service Division

- Role: Involved in the design, testing, and implementation of the data collection system for the SPSD (TBD-new SPRT) solution.

- Responsibilities:

    o Provide project management and procurement resources.

    o Manage requirements definition, system analysis and design, development, integration and system testing, and solution deployment.

    o Implement defined business rules, validation checks, and system documentation.

    o Support user acceptance testing, defect management, and production release.

    o Provide operational maintenance and support

Public: The public may be interested in the data but will not participate in the planning process.

Local Entities: LEAs (County Offices of Education, School Districts, and Charter Schools): LEAs will be both end-users of the system and end-users of the data collected. Selected LEA staff will also participate in pilot testing of the solution.

Legislature: May require reporting from the sponsoring business program regarding project status and compliance with the authorizing legislation.

1.5   Business Program

1. **Business Program Name:** Office of Learning Environments (OLE)

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

Within OLE, the Facilities Planning Field Operations unit and the Administrative and Technical Services unit collaborate in the collection of school district SFP applications for review and approval. As noted above, CDE approval of these plans is required for LEA applications for funding through the SFP, pursuant to Title 5, Section 14030 for school construction, and sections 14001 – 14012 for site acquisition.

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

This project will replace outdated, and only partially functional, software currently used to collect and review complex project applications submitted by LEAs. The project will simplify the submission of plans for LEAs and improve and streamline SFTSD staff efficiency and collaboration.

1.6   Project Justification

1. **Strategic Business Alignment**

   Enterprise Architect

   Title: Director, CDE Technology Services Division

   Name: Rodney Okamoto

   Strategic Plan Last Updated: 8/20/2004

   The alignment items are documented in the Agency Information Management Plan.

   Alignment:
   - *Section 1.3: Improve service to external customers* - to provide a consistently high level of IT services and support to the CDE's stakeholders, including other state departments, LEAs, teachers, students, parents, education researchers, advocacy bodies, and the general public.
   - **Goal 7.4:** Improve management and business systems, using technology whenever possible, to: (1) improve program and fiscal integrity; (2) provide timely, accurate, internal communication; (3) support day-to-day operations; and (4) increase efficiency.

   Mandate(s): State

   Bill Number/Code, if applicable: Title 5, Section 14030 and sections 14001 – 14012.

   Add the Bill language that includes system-relevant requirements:

   The above referenced CCRs specify the potential scope of data that may be included in LEA-submitted applications. These may include expansive details related to: educational specifications, site layout, playground and field areas, delivery and utility areas, placement of buildings, regular and specialized classrooms (e.g. Kindergarten / Transitional Kindergarten / Universal PreKindergarten, special education, and science / computer labs, or child care programs), gymnasiums and auxiliary areas including multipurpose/cafeteria areas or administrative offices, as well as lighting, plumbing, and acoustics.

   The CDE is required to assess the extent to which SFP applications meet the requirements in all of the domains noted above. To do so without an efficient and fully functional data system is slow, inefficient, uncoordinated, error-prone, and does not serve our LEAs well.

   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: **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:

Staff need to complete work (cost avoidance)

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: No

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:

California Code of Regulations Title 5 sections 14001 to 14012, and 14030 requires CDE to review and approve school site and construction plans that LEAs submit to the Office of Public School Construction (OPSC) for School Facility Program funding applications. SPRT was designed in 2004 to support the review and approval process when hard copy modernization and new construction plans were provided by LEAs. For several years, the process has been somewhat digitized; LEAs fill out MS Word templates and upload their documents to CDE Box. In the last 5.5 fiscal years, SFTSD has processed over 2,790 modernization, 1,100 new construction, and 80 site acquisition approvals. Across these project types, there are 413 unique data elements on existing SFP application forms and documents. The obsolete and partially functioning SPRT system was built on software that is no longer supported by Microsoft or CDE's TSD, so the system cannot be updated to accommodate new programs including CTE, Full Day Kindergarten, Universal Preschool/Transition Kindergarten, Support for Priority School Districts, or the federal SASI grant, nor can it be fixed to address several core challenges.

1. CDE staff must re-enter data into the SPRT system from data already entered into static forms by LEA staff. 2. Supporting documents provided by LEAs are housed separately from the system, increasing the number of internal steps by CDE staff to request, receive and review documents connected to each application. 3. The SPRT system has no built-in workflow notifications to facilitate the completion of sequentially dependent tasks of reviewing and approving plans. 4. The ability to automatically produce final approval letters has failed and must be done manually, and the system lacks the ability to produce any on-demand reports or billing requests.

To address these challenges, SFTSD proposes to utilize a web-based software application that would streamline data collection, connect all application documents, improve internal process management, and automate final approval letter production and on-demand reporting to support program administration.

Objective ID: 1

Objective: Reduce the number of hours per year for CDE to acquire LEA data necessary to begin SFP project review. Currently there are multiple manual steps involved in collecting the required project documentation from LEAs for a complete project submittal. Providing a new web-based system for SFP application submission that would allow LEAs to enter application data directly into the database would eliminate the number of required steps and duplicative data entry by CDE staff. Additionally, some data validation work would be eliminated or reduced by implementing quality control and efficiency features, such as pre-populating fields from existing CDE databases and in-form checks for incorrect characters and missing data in required fields

Metric: Average hours per year for CDE to acquire LEA data necessary to begin plan review

Baseline: 500

Target Result: 50

Objective ID: 2

Objective: Reduce the number of software systems CDE uses to fully process SFP project submissions. The data intake process currently requires the use of five separate software systems including CDE Snap Surveys, SPRT, CDEBox, and Microsoft Excel and Outlook. These systems are not integrated and require additional staff time to ensure application data integrity and consistency, coordinate internal procedures, and communicate project status to LEA applicants. This objective is relative to implementation of a comprehensive web-based system with the functionality required to: 1) initiate a new SFP project; 2) pre-populate project data into the system; 3) receive all project documentation that will be integrated into a single project record; 4) track and manage workflow processes, and 5) coordinate communication between applicant LEAs and CDE staff. This will simplify the process internally and better serve LEAs.

Metric: Number of systems required to support business operations.

Baseline: 5

Target Result: 1

Objective ID: 3

Objective: Automate workflow processes, including assigning, processing, and completing sequentially dependent tasks. Adding this functionality would: 1) improve staff coordination, collaboration and efficiency by providing automated notifications at the completion of each stage of the process; and 2) provide administrative-level dashboards for monitoring internal processes and program outcomes.

Metric: Number of automated workflow processes.

Baseline: N/A. No processes are currently automated.

Target Result: Workflow processes are automated.

Objective ID: 4

Objective: **Reduce the staff time required to generate billing requests and approval letters.** Adding the ability to automate the production of these products would increase internal efficiency by making it possible for multiple staff to produce the reports, eliminate the need to produce the reports manually, and improve the accuracy of the products by removing potential human error when transposing comments and project components. The system would also provide on-demand report at all levels of program administration on a range of process and outcome metrics.

Metric: Average annual hours for CDE staff to generate billing requests and approval letters.

Baseline: 600

Target Result: 60

1.8   Project Management

1. **Project Management Risk Score:** 0.4

   Follow the instructions in <u>Statewide Information Management Manual (SIMM) Section 45 Appendix B Project Management Risk Assessment Preparation Instructions.</u>

   Attach a completed <u>Statewide Information Management Manual (SIMM) Section 45 Appendix A Project Management Risk Assessment Template</u> 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: No

   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): 1.6**

   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: **Yes**

   Other: No

   Not Applicable: No

   Noncompliance Description: **ADA:** The current application technology is not compliant with Section 508 of the ADA legislation.

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: 2200

   Estimated Number of Transactions/Business Events (per cycle): 700

   Approximate number of internal end-users: 20

   Approximate number of external end-users: 7500

1.10 Funding

Planning

1. Does the Agency/state entity anticipate requesting additional resources through a budget action to **complete planning** through the project approval lifecycle framework? Yes

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

9/1/2024: BCP, Prop 2 bond, FY25/26

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:

    Assembly Bill (AB) 247 and approved Proposition 2 Bond funds; FY26/27 through FY29/30

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

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

    26/27 BCP cycle

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: 1/27/2025

Form Received Date: 1/27/2025

Form Accepted Date: 1/27/2025

Form Status: Completed

Form Status Date: 3/20/2025

Form Disposition: Approved

> If Other, specify: Click or tap here to enter text.

Form Disposition Date: 03/20/2025

Department of Technology Project Number (0000-000): 6100-113