



Stage 1 Business Analysis

California Department of Technology, SIMM 19A.2 (Rev. 2.5, July/2021)

1.1 General Information

Agency or State Entity Name: Secretary of State

If agency/state entity not in list, then enter here. [Click or tap here to enter text.](#)

Organization Code: 0890

Proposal Name: Notary Automation Project

Proposal Description: Replacement of the SOS Notary Automation Program

When do you want to start the project? 10/16/2024

Department of Technology Project Number (0000-000): [0890-053](#)

1.2 Submittal Information

Contact Information

Contact First Name: Betsy

Contact Last Name: Bogart

Contact Email: bbogart@sos.ca.gov

Contact Phone Number: (916) 695-1197

Submission Date: 7/19/2022

Version Number: 1.0

Project Approval Executive Transmittal – (Attach Transmittal to the email submission.)

1.3 Business Sponsorship

Add additional Executive Sponsors or Business Owners as needed.

Executive Sponsors

Title: Deputy Secretary of State, Operations

First Name: Reggie

Last Name: Fair

Title: Business Programs Division Chief

First Name: Betsy

Last Name: Bogart

Business Program Area: (Name of the business program area represented by the Executive Sponsor(s))

Secretary of State Executive Office, Business Programs Division

Business Owners

Title: Assistance Division Chief, Business Programs Division

First Name: Shannon

Last Name: Delgado

Business Program Area: Business Programs Division

Title: Automation & Support Manager

First Name: Alex

Last Name: Ting

Business Program Area: Business Programs Division

Title: Notary Public Section Manager

First Name: Lee

Last Name: Garvey

Business Program Area: Business Programs Division

Title: Notary Public Unit Manager

First Name: Sean

Last Name: Iwata

Business Program Area: Business Programs Division

Program Background and Context

The Secretary of State's Office (SOS) comprises the following divisions and programs: State Archives, Elections, Political Reforms, Business Programs, Notaries Public & Authentication, Safe at Home Registry, Advance Health Care Directive Registry, Domestic Partners Registry, and Administration.

The Secretary of State is responsible for the appointment of California notaries public and utilizes a legacy Notary Automation Program (NAP) to appoint, store, and maintain notary public commission data. In addition, NAP is used to process apostille requests (authentication of public officials' signatures for use outside the United States) in the Sacramento and Los Angeles offices. NAP is approximately 30 years old and needs updating. NAP is written in PowerBuilder which makes it very difficult to update and to find qualified IT staff or vendors to support the application. Current technology has evolved and is not the same as when NAP was initially created, thus integration of the current NAP system with current and future technology, and possibly third-party systems, will be challenging. Creating a new system will allow the Secretary of State to streamline business processes and provide better services to customers.

1.4 Stakeholders

Key Stakeholders

(Stakeholder" are individuals or groups impacted by the business processes addressed by the proposed project)

Organization Name: [Secretary of State](#)

Stakeholder Name: [Business Programs Division staff](#)

Stakeholder Internal or External? Internal

When is the Stakeholder Impacted?

Input to Business Process: Yes

During Business Process: Yes

Output of Business Process: Yes

How are Stakeholders impacted? (Describe how the stakeholder is involved in the process)

[All levels of staff in the Business Programs Division's Notary Public Section are responsible for providing services to California notaries public and members of the public who interact with notaries public. Staff process notary public applications, appoint notaries public, investigate complaints received against notaries public, enforce notarial law, and issue authentications of public officials' signatures on documents to be used outside the United States. This proposal will allow the Secretary of State to streamline operations across all functions within the Notary Public Section.](#)

How will the Stakeholder participate in the project? (Describe how the stakeholder will be involved in the project)

[The stakeholders have participated in defining business needs and priority issues. The stakeholders will continue to participate throughout the effort as subject matter experts \(SMEs\) and to review,](#)

validate, test and provide feedback to ensure the implemented solution meets the business needs prior to public launch.

Organization Name: CPS HR Consulting

Stakeholder Name: CPS HR

Stakeholder Internal or External? External

When is the Stakeholder Impacted?

Input to Business Process: Yes

During Business Process: Yes

Output of Business Process: No

How are Stakeholders impacted? (Describe how the stakeholder is involved in the process)

CPS HR is contracted with the SOS to administer the prerequisite notary public state examination for all those wishing to be commissioned as a notary public. The notary public application and payment are collected at the examination site. Once completed, CPS HR currently enters the candidate's name, address and examination results into an electronic file and forwards the electronic file and the notary public application and payment to the SOS. Once received, the electronic file is uploaded into the current NAP system.

How will the Stakeholder participate in the project? (Describe how the stakeholder will be involved in the project)

CPS HR will work cohesively with the SOS in developing a new process that will provide the ability for notary public applicants to apply for a notary public commission online, as well as administer an online examination similar to the Law School Admission Test (LSAT). CPS HR will need to provide input on how testing data (those applicants passing the CPS HR test and those not passing) can be transmitted to the Secretary of State's new Notary Automation Program and will need to help test the new system.

Organization Name: Government Entities & the General Public

Stakeholder Name: SOS Customers

Stakeholder Internal or External? External

When is the Stakeholder Impacted?

Input to Business Process: No

During Business Process: No

Output of Business Process: Yes

How are Stakeholders impacted? (Describe how the stakeholder is involved in the process)

Government entities and Californians will have access to improved online functionality including, but not limited to, a searchable notary public database that will provide contact information and the statuses of notary commissions.

How will the Stakeholder participate in the project? (Describe how the stakeholder will be involved in the project)

The external stakeholders will consume the output of the business process.

Organization Name: California Department of Justice

Stakeholder Name: DOJ

Stakeholder Internal or External? External

When is the Stakeholder Impacted?

Input to Business Process: Yes

During Business Process: Yes

Output of Business Process: No

How are Stakeholders impacted? (Describe how the stakeholder is involved in the process)

The California Department of Justice (DOJ) provides confidential notary public applicant background information, and subsequent arrest and conviction information electronically to the Secretary of State. The initial background information received from the DOJ is currently received in an electronic file and uploaded into the current NAP system. The subsequent arrest and conviction information is manually obtained from the DOJ Web Portal and manually entered in NAP. The SOS will receive this information through an Application Programming Interface (API) which will require development by the DOJ.

How will the Stakeholder participate in the project? (Describe how the stakeholder will be involved in the project)

The DOJ will work cohesively with the SOS in the development of an API to securely transmit the background data and all subsequent arrest and conviction information into the new SOS Notary Automation Program.

Organization Name: Department of Child Support Services

Stakeholder Name: DCSS

Stakeholder Internal or External? External

When is the Stakeholder Impacted?

Input to Business Process: Yes

During Business Process: Yes

Output of Business Process: No

How are Stakeholders impacted? (Describe how the stakeholder is involved in the process)

The Department of Child Support Services (DCSS) provides information on notaries and notary applicants who are delinquent on child support payments. The current method of notification of delinquent child support payments is through email. The SOS would like to move toward an API to receive this information.

How will the Stakeholder participate in the project? (Describe how the stakeholder will be involved in the project)

The DCSS will work cohesively with the SOS in the development of an API to securely transmit the delinquent payment data into the new SOS Notary Automation Program.

1.5 Business Program

Organization Name: Secretary of State

Business Program Name: Notary Public & Special Filings Section

When is the unit impacted?

Input to the Business Process: Yes

During the Business Process: Yes

Output of the Business Process: Yes

How is the business program unit impacted? (Describe how the business program unit will be involved in the project)

The Notary Public Section appoints notaries public for the Secretary of State's office and maintains both electronic and hard copy records for over 145,000 active notaries public as well as the oaths of office and all historical data for past notaries public. In addition, more than 330,000 apostille (authentication of public officials' signatures) requests are received and processed each year through the NAP system. Many of the current processes are manual requiring staff to be onsite (in Sacramento and Los Angeles offices) to pull and make copies of records in response to inquiries and responding to customer inquiries regarding the status of notaries public. This proposal will implement a new solution that will provide the public and government agencies the information needed to conduct business in California. This workload is steady throughout the year and fluctuates depending on the economy.

How will the business program unit participate in the project?

The Business Programs Division will be responsible for overseeing and participating in the implementation of the new system. Staff will serve as SMEs to define business requirements, review deliverables as part of the planning, implementation, and roll out of the new solution. The management team also will support organizational change management efforts similar to the OCM work performed with the recently implemented California Business Connect project.

1.6 Business Alignment

Business Driver(s)

Financial Benefit: Yes

Increased Revenue: No

Cost Savings: Yes

Cost Avoidance: Yes

Cost Recovery: No

Mandate(s): State

Improvement

Better Services to Citizens: Yes

Efficiencies to Program Operations: Yes

Improved Health and/or Human Safety: No

Technology Refresh: Yes

Security

Improved Information Security: Yes

Improved Business Continuity: Yes

Improved Technology Recovery: Yes

Technology End of Life: Yes

Strategic Business Alignment

Strategic Plan Last Updated? 10/1/2021

Strategic Business Goal: [To improve the ability of the SOS to appoint notaries public by leveraging technology.](#)

Alignment: [Develop and implement an updated Notary Automation Program](#)

Strategic Business Goal: [To provide government entities and Californians the information needed to conduct business in California.](#)

Alignment: [Develop and implement a new Notary Automation Program](#)

Executive Summary of the Business Problem or Opportunity:

[The Secretary of State is responsible for the appointment of California notaries public. Prior to appointment, a notary public applicant must complete an education course, take and pass a notary](#)

public examination, and pass a background investigation from both the California Department of Justice and the Federal Bureau of Investigation.

The Secretary of State currently utilizes a legacy Notary Automation Program (NAP) to store and maintain notary public commission data. In addition, NAP is used to process apostille requests (authentication of public officials' signatures for use outside the United States) in the Sacramento and Los Angeles offices. NAP is approximately 30 years old and needs updating. NAP is written in PowerBuilder language that makes it very difficult to update and to find qualified IT staff or vendors to support the application. Current technology has evolved and is not the same as when NAP was initially created, thus integration of the current NAP system with current and future technology, and possibly third-party systems, will be challenging. Creating a new system will allow the Secretary of State to streamline business processes and provide better services to Californians.

This proposal will, in addition to supporting all the functionalities of the current NAP, digitize the notary public application, appointment, and tracking processes. Leveraging online technologies to modernize these functions will provide significant improvements in efficiency and convenience to the public, government partners and the notaries public.

Business Problem/Opportunities and Objectives List

Business Problem/Opportunity ID: 1.0

Business Problem/Opportunity Description:

Provide the ability to digitally appoint and track notaries public.

Objective ID: 1.1,

Objective:

Provide the ability to search for active notaries on the SOS website.

Metric: Automatically updated list of active notaries including commission information, location and contact information.

Baseline: Downloadable .txt file of active notaries with business name and address.

Target: Searchable database made available to the public.

Measurement Method: Working online search tool located on the SOS website.

Objective ID: 1.2,

Objective:

Provide the ability for notary public applicants to apply for appointment online.

Metric: Proportion of online applications received

Baseline: 0 online applications received

Target: 80% of notary public applications received online by end of first year in production.

Measurement Method: Verify the ability to apply online once the solution is launched.

Objective ID: 1.3,

Objective:

Provide the ability for notaries public to manage their commissions online.

Metric: Proportion of online amendment filings received

Baseline: 0 online filings received

Target: 80% of notary public filings received online by end of first year in production.

Measurement Method: Verify the ability to manage notary commissions online once the solution is launched.

Business Problem/Opportunity ID: 2.0

Business Problem/Opportunity Description:

Provide the ability to receive DOJ background information through an API.

Objective ID: 2.1,

Objective:

Create an API that provides the ability for the DOJ to transmit background information to the SOS.

Metric: Successful receipt of background information from the DOJ using an API

Baseline: 0 records received via an API

Target: All records received from DOJ through an API and successfully inserted into the new solution.

Measurement Method: Successful records insertion and electronically associated with the correct notary public.

Business Problem/Opportunity ID: 3.0

Business Problem/Opportunity Description:

Provide the ability to receive DCSS payment information through an API.

Objective ID: 3.1,

Objective:

Create an API that provides the ability for the DCSS to transmit payment information to the SOS.

Metric: Successful receipt of payment information using an API

Baseline: 0 records received via an API

Target: The successful receipt of all records transmitted from DCSS through an API and successfully inserted into the new solution.

Measurement Method: Successful records insertion and electronically associated with the correct notary public.

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)?

Answer (yes or no): Yes

2. 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

1.7 Project Management

Project Management Risk Score: The Project Management Risk Score is 1.0.

(Attach a completed [Statewide Information Management Manual \(SIMM\)](#) Section 45 Appendix A to the 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?

Answer (Unknown, Yes, No, Clear): Yes

If Yes, include the data governance organization chart as an attachment to your email submission.

[See attached SOS - Data Governance Committee Charter](#)

2. Does the agency/state entity have data governance policies (data policies, data standards, etc.) formally defined, documented, and implemented?

Answer (Unknown, Yes, No, Clear): No

If Yes, include the data governance policies as an attachment to your email submission.

SOS follows data governance guidelines in accordance with SAM Sections 5300-5365.3. SOS is currently working on creating/updating data governance policies and documenting the existing plan.

3. Does the agency/state entity have data security policies, standards, controls, and procedures formally defined, documented, and implemented?

Answer (Unknown, Yes, No, Clear): Yes

If Yes, attach the existing documented security policies, standards, and controls used to your email submission.

The Agency goes through a 3rd party security assessment biannually. SOS follows data security guidelines in accordance with SAM Sections 5300-5365.3. SOS is working on updating security policies and documenting existing procedures.

4. Does the agency/state entity have user accessibility policies, standards, controls, and procedures formally defined, documented, and implemented?

Answer (Unknown, Yes, No, Clear): Yes

If Yes, attach the existing documented policies, accessibility governance plan, and standards used to the email submission. Do you have existing data that you are going to want to access in your new solution?

SOS systems go through a review process using a variety of tools to ensure compliance with Government Code § 11546.7 SOS is working on creating and/or updating user accessibility policies, standards, controls, and documenting existing procedures.

5. Do you have existing data that you are going to want to access in your new solution?

Answer (Unknown, Yes, No, Clear): Yes

If Yes, include the data migration plan as an attachment to your email submission.

Existing data will be migrated to a new structure that includes the addition of new information and functionality. The existing platform will be utilized allowing for minimal to no transformation of data in the extract, transform, and load process of data migration.

See attached Data Migration Plan.

6. If data migration is required, please rate the quality of the data.
Select data quality rating: Few issues identified with the existing data.

1.8 Criticality Assessment

Business Criticality

Legislative Mandates: n/a

Bill Number(s)/Code(s):

Business Complexity Score: Business Complexity Score is 2.6

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

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

N/A: [Choose an item.](#)

Noncompliance Description: N/A

Additional Assessment Criteria

1. What is the proposed project Implementation start date? [ASAP](#)
2. Is this proposal anticipated to have high public visibility? [Yes](#)
If "Yes", then please identify the dynamics of the anticipated high visibility below:

The Notary Public Section appoints notaries public for the Secretary of State's office and maintains both electronic and hard copy records for approximately 150,000 active notaries public as well as the oaths of office and all historical data for past notaries public and many State public officials. In addition, more than 330,000 apostille (authentication of public officials' signatures on documents used outside the United States) requests are received and processed each year through the NAP system. Most of the current business processes are manual requiring staff to be in the office to process the paper documents, such as opening and sorting mail, keying data from paper notary applications, physically attaching apostilles to documents, and compiling a check deposit for hundreds of filings every day. This proposal will implement a new solution that will provide the public and government agencies faster and easier ways to get documents processed and access information needed to conduct business efficiently for customers in California.

3. If there is an existing Privacy Threshold Assessment/Privacy Information Assessment, then include as an attachment to your email submission.
4. Does this proposal affect business program staff located in multiple geographic locations? Yes

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

The Secretary of State has two offices, one in Sacramento, California and one in Los Angeles, California. The Sacramento office has approximately 61 staff which support the Notary business function including appointments of notaries public and the issuance of apostilles. The Los Angeles office has approximately 9 staff which support the Notary business function, mainly including the issuance of apostilles.

City Sacramento State: California

Number of locations: 1

Approximate number of Staff: 61

City: Los Angeles State: California

Number of locations: 1

Approximate number of Staff: 9

1.9 Funding

1. Does the agency/state entity anticipate requesting additional resources through a budget action to complete the project approval lifecycle?

Answer (Yes, No, Clear): Yes

2. Will the state possibly incur a financial sanction or penalty if this proposal is not implemented?

Answer (Yes, No, Clear): No

If yes, please identify the financial impact to the state:

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

FUNDING SOURCE

FUND AVAILABILTY DATE

General Fund: No

N/A

Special Fund: Yes

7/1/2023

Federal Fund: No

N/A

Reimbursement: Choose an item. N/A

Bond Fund: Choose an item. N/A

Other Fund: Choose an item. N/A

The Special Funds used would come from the Business Fees Fund.

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?

Answer (Yes, No, Clear): Yes

If No" this initiative is not an IT project and is not required to complete the Project Approval Lifecycle. ([Reportable Project Decision Tree \(RPDT\) Reference Guide](#), Reference R1.)

2. Does the activity meet the definition of Maintenance or Operations found in [SAM](#) Section 4819.2?

Answer (Yes, No, Clear): No

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:

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

3. Has the project/effort been previously approved and considered an ongoing IT activity identified in [SAM](#) Section 4819.2, 4819.40? **NOTE:** Requires a Post Implementation Evaluation Report (PIER) submitted to the CDT.

Answer (Yes, No, Clear): No

If Yes, this initiative is not required to complete the Project Approval Lifecycle. Please report this workload on the Agency Portfolio Report.

4. Is the project directly associated with any of the following as defined by [SAM](#) Section 4812.32? Includes single-function process-control systems; analog data collection devices, or telemetry systems; telecommunications equipment used exclusively for voice communications; Voice Over Internal Protocol (VOIP) phone systems; acquisition of printers, scanners and copiers.

Answer (Yes, No, Clear): No

If Yes, this initiative is not required to complete the Project Approval Lifecycle. Please report this workload on the Agency Portfolio Report.

5. Is the primary objective of the project to acquire desktop and mobile computing commodities as defined by [SAM](#) Section 4819.34, 4989 ([RPDT Reference Guide](#), References R8)?

Answer (Yes, No, Clear): [No](#)

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.

6. Does the Project meet all of the criteria for Commercial-off-the-Shelf (COTS) Software and Cloud Software-as-a-Service (SaaS) delegation as defined in [SAM](#) Section 4819.34, 4989.2, and [SIMM](#) Section 22? ([RPDT Reference Guide](#), Reference R9.)

Answer (Yes, No, Clear): [No](#)

If Yes, this initiative is a non-reportable project. Approval of the Project Approval Lifecycle is delegated to the head of the state entity; however, submit an approved [SIMM](#) Section 22 COTS/SaaS Acquisition Information Form to the CDT.

7. Will the project require a Budget Action to be completed?

Answer (Yes, No, Clear): [Yes](#)

8. Is it anticipated that the project will exceed the delegated cost threshold assigned by CDT as identified in [SIMM](#) Section 15 Departmental Project Cost Delegation?

Answer (Yes, No, Clear): [Yes](#)

9. Are there any previously imposed conditions place on the state entity or this project by the CDT (e.g. Corrective Action Plan)?

Answer (Yes, No, Clear): [No](#)

If Yes, provide the details regarding the conditions below: [Click or tap here to enter text.](#)

10. Is the system specifically mandated by legislation?

Answer (Yes, No, Clear): [No](#)

Department of Technology Use Only

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Form Status: Completed

Form Status Date: [8/1/2022](#)

Form Disposition: Approved

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

Form Disposition Date: 8/1/2022