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BUSINESS, CONSUMER SERVICES, AND HOUSING AGENCY

BUSINESS MODERNIZATION 2019 ANNUAL REPORT

Developed By:

STATE OF CALIFORNIA
Department of Consumer Affairs
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1. Message from the Director

The Department of Consumer Affairs' (DCA) *Business Modernization 2019 Annual Report* is an opportunity for all DCA boards, bureaus, committees, and commission (programs) engaged in the Business Modernization Initiative to showcase their progress in improving services to their constituents. The Business Modernization Initiative began in 2017 to address the business needs of DCA programs to better serve consumers, applicants, and licensees. The foundational strategy for this initiative continues to be dedicated executive leadership, a focus on business process documentation, organizational staffing and financial readiness, and thorough project planning.

Any significant effort to modernize by an entity, especially one with many semi-autonomous partners, involving large scale, program-wide changes will take time. But as you will see reflected in the program updates to follow, DCA is implementing low-risk improvements to current technology services in parallel with the larger modernization efforts to bring improved services more quickly to market. For example, seven of the programs currently undergoing modernization activities can now accept online license renewal payments. Statistical and performance data is also available in an expanding Open Data Portal, which is accessible from the main DCA website. Finally, DCA Search, the mobile-friendly, easy-to-use website consumers can use to check the status of millions of California licensed professionals, eclipsed 200 million page views in 2019.

Thank you for your interest in DCA's commitment to improving services to its constituents. The investments in these efforts are paying dividends, and this trend will continue as DCA proceeds down the path of business modernization.

Sincerely,

Kimberly Kirchmeyer
Director
Department of Consumer Affairs

2. Executive Summary

The purpose of this annual report is to provide a summary of the progress of DCA's business modernization effort with an emphasis on progress in the current reporting period (November 1, 2018–October 31, 2019). This report meets the notification and reporting requirements of Assembly Bill (AB) 97 (Ting, Chapter 14, Statutes of 2017) and Senate Bill (SB) 547 (Hill, Chapter 429, Statutes of 2017).

The completion of business process documentation through organizational change management activities and project planning activities through the California Department of Technology's (CDT) Project Approval Lifecycle (PAL) will continue to be the preliminary activities that must be completed prior to beginning any major technology improvement project. Any technology implementations associated with business modernization efforts will favor an incremental and agile implementation approach to limit risk and deliver functionality to DCA program constituents more quickly. DCA successfully used this approach on the Bureau of Cannabis Control's licensing and enforcement system implementation to meet aggressive implementation deadlines and respond to the changing regulatory requirements of a new industry.

While each DCA program individually sets its high-level goals for business modernization, those programs with similar goals at the same stage in their modernization effort have an opportunity to combine their pursuit of a major technology solution should the individual DCA programs' leadership deem this the most effective way to move forward. For example, four programs opted to combine modernization efforts in 2019: the Board of Professional Engineers, Land Surveyors, and Geologists (BPELSG); the Board of Chiropractic Examiners (BCE); the Acupuncture Board (Acupuncture); and the Bureau for Private Postsecondary Education (BPPE). This is an approach that will be evaluated and considered as more programs continue business modernization as it presents potential benefits in cost and labor efficiencies in some areas if program goals, organizational readiness, and functionality needs are comparable.

Additionally, opportunities to improve services via implementation of low-risk, high-reward complementary technology solutions will continue to be investigated and implemented for programs when prudent. Examples of these low-risk targeted solutions include the in-house DCA online renewal payment solution and the BPPE online annual report submission tool, which allows BPPE-approved institutions to submit required data quickly and easily. This strategy is in alignment with DCA's objective of delivering beneficial functionality incrementally over time.

3. Overview of Information

DCA's programs protect the public by licensing, registering, certifying, and approving individuals and businesses in various professions. These programs also investigate complaints and discipline license holders who violate practice requirements. This annual report provides each participating program's major business modernization accomplishments over the past 12 months (as of October 31, 2019).

Here is an overview of the information included:

- Program background and context.
- Summary of business activities.
- Summary of project approval lifecycle (PAL) activities and timelines.

Business Activities Methodology

DCA's Organizational Improvement Office (OIO) (formerly known as Organizational Change Management or OCM) guides DCA programs through the prerequisite process mapping and functional requirement development activities (i.e., business activities) that must be completed prior to major project planning activities occurring. These business activities are intended to provide the programs an opportunity to clarify their business rules and processes, identify their needs for an information technology platform, and actively participate in the development of their functional requirements. During these activities, programs may also identify process improvements that can be implemented currently without any significant technological change. The opportunity to engage at the early stages of project analysis produces a stronger sense of organizational investment and results in a higher probability of successful cultural adoption of any resulting enforcement and licensing platform.

The methodology used for these business activities is informed and guided by the industry standards set forth in the *Business Analysts Body of Knowledge (BABOK) v3* and the *International Organization for Standardization/International Electrotechnical Commission/Institute of Electrical and Electronics Engineers (ISO/IEC/IEEE)—Standard 29148:2018* as well as the *CDT Statewide Information Management Manual—Section 19—Project Approval Lifecycle (SIMM—19)*.

See “**Attachment 1—Business Activities Process**” for a high-level overview of the business activities process.

Inventory

The program's inventories are simply a list of all the business processes a program has that will potentially be incorporated into an IT solution. The OIO staff works with the program to help curate this list for business modernization efforts. With a completed inventory, the OIO staff can establish estimated project due dates and phase milestones.

Business Activities Charter

Given the importance of business activities and resulting functional requirements, formally establishing expectations, commitments, and an understanding of scope is a necessity. The business activities charter serves this purpose and allows all stakeholders to understand the impact of any changes to scope or resource commitment.

Process Mapping

Process maps describe the sequential flow of work or activities. A business process map describes the sequential flow of work across defined tasks and activities through an enterprise or part of an enterprise. A system process map defines the sequential flow of control among programs or units within a computer system.

A process map can be constructed on multiple levels, each of which can be aligned to different stakeholder points of view. These levels exist to progressively deconstruct a complex process into component processes, with each level providing increasing detail and precision. At a high (enterprise or context) level, the map provides a general understanding of a process and its relationship to other processes. At lower (operational) levels, it can define more granular activities and identify all outcomes, including exceptions and alternative paths. For the purposes of business activities, process models are constructed at the operational level. In doing so, the business analysts are able to better understand the business rules of a given process and write comprehensive functional requirements.

Process maps can be used to:

- Describe the context of the solution or part of the solution.
- Describe what actually happens, or is desired to happen, during a process.
- Provide an understandable description of a sequence of activities to an external observer.
- Provide a visual to accompany a text description.
- Provide a basis for process analysis.
- Achieve consensus on how a process is to be completed.

A process map defines the current state of a process (also known as an “As-Is” map) or a potential future state (also known as a “Could-Be”/“To-Be” map). A map of the current state provides understanding and agreement as to what happens now. A map of the future state provides alignment with what is desired to happen in the future.¹

¹ *Business Analyst Body of Knowledge, v3: A guide to the Business Analysis Body of Knowledge®*. (2015). Toronto, Ontario: IIBA, International Institute of Business Analysis.

As-Is Phase

See **“Attachment 2—As-Is Process Map Example”** for an example of an As-Is process map.

During the As-Is phase, the OIO business analyst seeks to capture how existing business processes are performed and to clarify any business rules (e.g., rules, regulations, and policies) that govern those processes. The As-Is phase can be broken down to three sub-phases: discovery, review, and approval. The As-Is discovery elicitation/mapping workshops are carried out with a group (usually two to three) of subject matter experts (SME) guided by two OIO business analysts and are solely focused on information elicitation and the initial creation of a process map. After refining the initial As-Is discovery map, the OIO analysts confirm the accuracy of the process map with respective SMEs and submit to the program designee for final sign-off.

In addition to the necessity of these artifacts in functional requirements development, these As-Is process maps provide immediate value to the programs by serving as ready-to-use job aids for new staff, being a tool for management to better hold staff accountable to standard processes, and helping identify some inefficiencies in existing processes that can be corrected entirely without technology improvements.

Could-Be Phase

See **“Attachment 3—Could-Be Process Map Example”** for an example of a Could-Be process map.

Once program designees approve the As-Is process map, the OIO analysts can begin re-engineering the process. During the Could-Be phase, the analysts modernize (to varying degrees) the existing processes using appropriate levels of automation, online processing, and the elimination of nonvalue-added steps within the process. The resulting Could-Be process map is then reviewed with the respective SMEs for that process to ensure all critical business functions are met and provide further opportunity for the program to express its expectations/needs from a new IT solution. After reviewing the Could-Be process map with respective SMEs, the re-engineered process is submitted to the program designee for final sign-off.

Functional Requirements Phase

The functional requirements phase represents the final step for business activities. Using the knowledge gained and needs expressed during As-Is and Could-Be elicitation workshops, the OIO analysts develop functional requirements that conform to industry and state of California standards. The analysts undergo several iterations of review with program staff to capture any additional needs or requirements from their perspective and then submit to the program's project owner/sponsor for final approval.

Department of Technology PAL Process

The CDT PAL process is a project planning framework. State governmental entities partner with CDT staff to complete the necessary project planning activities that best prepare a given project for success. This process has been in place since 2016. Because of these rigorous planning activities, projects initiated through the PAL process are far less likely to have cost or schedule overruns when compared to the previous Feasibility Study Report model.

The PAL process is four stages. Stage 1—Business Analysis offers the program an opportunity to state its high-level business objectives. Stage 2 (Alternatives Analysis) includes market research and initial cost analysis for a proposed IT solution. Stage 3 (Solution Development) includes the refining of functional requirements and the development of any major solicitation activities that will be necessary to bring on qualified resources to support the project effort. Finally, Stage 4 (Project Readiness and Approval) finalizes all the key project documents and sets the cost and schedule baselines to support project initiation.

4. Business Modernization Cohort 1

1. Cohort Formation

BPELSG, BPPE, Acupuncture, and BCE have chosen to pursue their modernization goals together to realize implementation and process efficiencies. These four programs were separately conducting market research activities and found that there were enough overlapping core business requirements and comparable business processes to make this a viable alternative. Furthermore, all four programs have identified a 'platform-as-a-service' technology solution capable of integrating into the existing DCA technology ecosystem in an incremental manner as the best path forward. Collectively they are now identified as one project named Business Modernization Cohort 1 (Cohort 1).

2. Programs' Background and Context

Board of Professional Engineers, Land Surveyors, and Geologists

"The DCA's Office of Information Services' vision, leadership, and transparency was critical in the joint development of the Cohort 1 project governance structure. Looking forward to continuing our partnership." – Ric Moore, Executive Officer, BPELSG

BPELSG enforces professional standards and provides for the licensing and regulation of individuals in the practices of professional engineering, land surveying, geology, and geophysics within California. BPELSG must license and regulate such professionals to safeguard life, health, property, and to promote public welfare. This is achieved through the establishment and enforcement of regulations, licensing qualified individuals, enforcing laws, and providing information that allows consumers to make informed decisions.

Through the examination of prospective licensees and the implementation of strict licensing requirements, BPELSG seeks to ensure that such individuals can clearly demonstrate a minimum level of competency in their chosen field. For the most part, licensed individuals serve consumers in a safe and professional manner. However, when a licensee fails to uphold their professional or ethical responsibilities, a complaint is often filed that merits prompt enforcement. BPELSG has the responsibility to address consumer complaints and enforce the laws and regulations in a reasonable and timely manner.

Bureau for Private Postsecondary Education

“During PAL Stage 2, DCA’s Office of Information Services’ guidance, support, and expertise in evaluating technological alternatives continues to be vital to our business modernization efforts. Our success in planning collaboratively has resulted in a firm foundation for a united Cohort 1 implementation approach.” – Dr. Michael Marion, Chief, Bureau for Private Postsecondary Education

BPPE enforces minimum professional standards for ethical business practices, health and safety, and the fiscal integrity of postsecondary education institutions. BPPE ensures instructional quality and institutional stability for all students, and oversight of private postsecondary educational institutions operating with a physical presence in California. BPPE is also tasked with actively investigating and combatting unlicensed activity, administering the Student Tuition Recovery Fund (STRF), which serves to relieve or mitigate economic loss suffered by a student for various reasons such as institutional or programmatic closure, and conducting outreach and education activities for students and private postsecondary educational institutions within the state.

Acupuncture Board

“DCA provided excellent coordination, guidance, and explanation of technical terminology during our market research activities with the vendor community.” – Ben Bodea, Executive Officer, Acupuncture Board

The Acupuncture Board enforces professional standards and provides for the licensing and regulation of qualified individuals and businesses in the primary care practice of acupuncture in California. The Board licenses and regulates such professionals to safeguard life, health, and to promote public welfare. This is achieved through the establishment and enforcement of regulations, qualifying and licensing individuals, enforcing statutes (*Acupuncture Licensing Act*), and providing information about licensed individuals and businesses, including disciplinary actions, that assist consumers in making informed decisions. Through the examination of prospective licensees and the implementation of strict licensing requirements, the Board seeks to ensure that such individuals can clearly demonstrate a minimum level of competency in their chosen field. The Board has the responsibility to address consumer complaints and enforce the laws and regulations in a reasonable and timely manner.

Board of Chiropractic Examiners

"Kudos to DCA's Office of Information Services for their commitment to ensuring the best PAL Stage 3 solicitation documents for Cohort 1. I'm grateful for their outstanding dedication, attention to detail, and engagement of the Boards/Bureaus!" – Robert Puleo, Executive Officer, BCE

BCE protects California's consumers from fraudulent, negligent, or incompetent chiropractic care. BCE ensures that only those applicants with the necessary education, examination, and experience receive a California license to practice chiropractic care. Requirements for licensing include passing the California Law and Professional Practice Exam, completing 60 pre-chiropractic units of approved education courses, and graduation from a Council on Chiropractic Education-approved college or school. Licensees are required to complete 24 hours of continuing education credit each year for license renewal. BCE continually strives to fulfill its state mandate and mission in the most efficient manner, by exploring new policies and revising existing policies, programs, and processes. BCE issues regulations and licenses, investigates possible insurance fraud, and follows up on consumer complaints, not only in California, but also in other states. Additionally, BCE protects the public by ensuring that chiropractors meet all educational requirements for licensure and requiring all chiropractors be licensed and renew their licenses. BCE has the responsibility to address consumer complaints and enforce the laws and regulations in a reasonable and timely manner.

3. Summary of Business Activities

Cohort 1 programs have completed all business activities. DCA and program staff utilized business activity artifacts while completing PAL-related activities throughout the year. For example, functional requirements and process flows were key artifacts and references during the development of the system integration statement of work development. Small updates have been made to individual process flows as processes for the four programs have matured over time. These process flows and artifacts will continue to be foundational as Cohort 1 transitions into planned project implementation activities in the early part of January 2020.

For a listing of business activity deliverables for the individual programs included in BMC 1, refer to the 2018 DCA Business Modernization Plan Annual Report (www.dca.ca.gov/publications/business_modernization_plan2018.pdf).

4. Summary of PAL Activities and Timelines

Before the four programs formed a cohort, each program separately completed the first two PAL stages. CDT approved individual PAL Stage 2 for all four programs in early 2019. Stage 3 was the first stage completed as Cohort 1. DCA Office of Information Services (OIS) and CDT staff worked collaboratively with the four programs' subject matter experts and leadership to complete required Stage 3 project planning and governance documents, combine individual functional requirements into one

comprehensive set of requirements, and compose hundreds of pages of solicitation documents to contract with a qualified system integrator who can successfully implement the software solution that best fits Cohort 1's business needs.

The four programs also submitted a Budget Change Proposal (BCP) to request funds to begin project activities in fiscal year 2019–20. Five positions were requested to support project implementation activities:

- Three Information Technology Specialist (ITS) I positions.
- Two Acupuncture Associate Governmental Program Analyst (AGPA) positions.

The Legislature approved the Cohort 1 project implementation BCP as part of the 2019 Budget Act.

As of November 2019, recruitment is nearly complete for the three ITS I positions. Also, the Acupuncture Board has filled one of the two AGPA positions.

Cohort 1 also met formally as an Executive Steering Committee (ESC) regularly throughout the year to receive status updates and make key project planning decisions. This ESC will persist throughout the project's implementation and will provide significant oversight and be the decision-making authority for major project decisions.

Final project schedule and cost baselines will be set upon CDT approval of PAL Stage 4.

PAL Stage	Timeline
Stage 1—Business Analysis	CDT Approved
Stage 2—Project Alternatives	CDT Approved
Stage 3—Project Procurement	CDT Approved
Stage 4—Project Execution	Targeted for Completion January 2020
Phase 1 Implementation*	Targeted for Completion July 2020
Project Completion*	Targeted for Completion June 2021

PAL Stage	Timeline
*Phase 1 implementation and project completion will be formally baselined upon Stage 4 approval. Changes to these dates may occur depending on implementation considerations identified during final project planning activities in Stage 4.	

To improve services in parallel with larger modernization efforts, BCE has implemented an interim method to allow online renewal applications. Furthermore, BPPE implemented an online annual report submission.

5. Court Reporters Board (CRB)

1. Program Background and Context

CRB oversees the practice of court reporting through licensing and enforcement. Court reporters are highly trained professionals who stenographically preserve the words spoken in a wide variety of official legal settings such as court hearings, trials, and other pretrial litigation-related proceedings, namely depositions. Court reporters work either in courtrooms as official reporters or in the private sector as freelance reporters who provide deposition services. These court reporters are officers of the court, and their competence, impartiality, and professionalism must be beyond question. A complete and accurate transcript of the proceedings made by an impartial third party is the cornerstone for all appeal rights. It is relied upon by the consumer as an accurate source of information, which includes testimony given under oath.

CRB also has oversight of schools of court reporting. CRB recognizes schools rather than licenses them. Only court reporting schools recognized by CRB can certify students to qualify for the license examination.

Additionally, CRB administers the Transcript Reimbursement Fund (TRF) to aid qualified indigent litigants in civil cases by providing transcript reimbursement funds.

"It has been an absolute pleasure working with the OCM Team on the business process mapping. You were very accommodating of my staff's schedules in working with them to map out our processes. You make a painful process as easy as possible. Thanks again for all of your help!" – Yvonne Fenner, Executive Officer, Court Reporters Board of California

2. Summary of Business Activities

CRB completed all business activities in the 2019 reporting period, including all As-Is and Could-Be process maps and functional requirements. In total, DCA OIO resources assisted in documenting 35 As-Is process maps and 32 Could-Be process maps.

This is the completed inventory of CRB process maps:

As-Is Processes		Could-Be Processes	
1	Cashiering	1	Duplicate/Replacement License
2	Duplicate/Replacement License	2	License Certification Verification
3	License Certification Verification	3	Fingerprint Results
4	Fingerprint Results	4	Change of Name
5	Change of Name	5	Change of Address
6	Change of Address	6	Exam Application
7	Exam Application	7	Exam Site Setup/Exam Cycle Setup

	As-Is Processes		Could-Be Processes
8	Exam Site Setup/Exam Cycle Setup	8	Exam Eligibility and Scheduling
9	Refund	9	Manually Enter Dictation Results Post-Grading
10	Exam Eligibility and Scheduling	10	License Renewals
11	Manually Enter Dictation Results Post-Grading	11	Exam Appeals (with Transcript Request)
12	License Renewals	12	PSI Exam Cycles (PSI Vendor for Written Exams)
13	Exam Appeals (with Transcript Request)	13	Re-examination Application
14	PSI Exam Cycles (PSI Vendor for Written Exams)	14	Initial License Application
15	Military Fee Waiver	15	Franchise Tax Board—Offset Program
16	Re-examination Application	16	Canceled Status
17	Initial License Application	17	Complaint Intake
18	Franchise Tax Board—Offset Program	18	Desk Investigation
19	Canceled Status	19	Referral to Attorney General
20	Complaint Intake	20	Cite and Fine
21	Desk Investigation	21	Statement of Issues
22	Referral to Attorney General	22	Accusations
23	Cite and Fine	23	Petition to Revoke Probation
24	Statement of Issues	24	Probation Monitoring
25	Accusations	25	Petition for Reinstatement
26	Petition to Revoke Probation	26	Petition for Reconsideration of Board Decision
27	Probation Monitoring	27	Hold for Discussion
28	Petition for Reinstatement	28	ALJ Hearing
29	Petition for Reconsideration of Board Decision	29	Transcript Reimbursement (TRF) Pro Bono
30	Hold for Discussion	30	Transcript Reimbursement (TRF) Pro Per
31	ALJ Hearing	31	Non-Adopt
32	Transcript Reimbursement (TRF) Pro Bono	32	Mail Vote to Board
33	Transcript Reimbursement (TRF) Pro Per		
34	Non-Adopt		
35	Mail Vote to Board		

In addition to the process documentation noted above, the program and OIO identified 170 detailed functional requirements. These requirements may be revisited at later stages of the PAL process.

3. Summary of PAL Activities and Timelines

CRB completed PAL's first stage in 2019 and is currently finishing up PAL Stage 2. With the assistance of DCA OIS resources, CRB conducted market research activities in conjunction with four other programs at a similar point in their business modernization planning activities. This market research included numerous demonstrations of software products from DCA OIS staff and outside vendors, OIS-led strategy meetings to review software implementation options, and collection and review of implementation schedule and cost information.

PAL Stage	Timeline
Stage 1—Business Analysis	CDT Approved
Stage 2—Project Alternatives	Targeted for Completion January 2020
Stage 3—Project Procurement	Targeted for Completion May 2020
Stage 4—Project Execution	Targeted for Completion August 2020
Phase 1 Implementation*	Targeted for Completion April 2021
Project Completion*	Targeted for Completion February 2022
*Phase 1 implementation and project completion will be formally baselined upon Stage 4 approval. Changes to these dates may occur depending on implementation considerations identified during final project planning activities in Stage 4.	

6. Structural Pest Control Board (SPCB)

1. Program Background and Context

SPCB protects the general welfare of Californians and the environment by promoting outreach, education, and regulation of the structural pest management profession. Structural pest control is the control of household pests (such as rodents, vermin, insects, etc.) and wood-destroying pests and organisms or other pests that may invade households or structures, including railroad cars, ships, docks, trucks, airplanes, or the contents thereof.

The practice of structural pest control includes engaging in, offering to engage in, advertising for, soliciting, or the performance of any of the following: identification of infestations or infections; the making of an inspection for the purpose of identifying or attempting to identify infestations or infections of household or other structures by such pests or organisms; the making of inspection reports; recommendations, estimates, and bids, whether oral or written, with respect to such infestation or infections; and the making of contracts, or the submitting of bids for, or the performance of any work including the making of structural repairs or replacements, or the use of pesticides, insecticides, rodenticides, fumigants, or allied chemicals or substances, or mechanical devices for the purpose of eliminating, exterminating, controlling or preventing infestations, or infections of such pests, or organisms.

"For the Structural Pest Control Board, developing a business modernization plan with the Organizational Change Management team has been a collaborative and rewarding process. Taking on a project of this magnitude can seem overwhelming but the OCM team has successfully broken it into manageable segments that make the process seem a lot easier than it actually is. The Structural Pest Control Board has learned a lot about the efficiency of its internal processes and is very much looking forward to seeing this project through to its completion." – Susan Saylor, Executive Officer, Structural Pest Control Board

2. Summary of Business Activities

SPCB completed all business activities in 2019, including all As-Is and Could-Be process maps and functional requirements. In total, DCA OIO resources assisted in documenting 64 As-Is process maps and 63 Could-Be process maps.

This is the completed inventory of SPCB process maps:

	As-Is Processes		Could-Be Processes
1	Cashiering	1	Cashiering
2	Refunds	2	Refunds
3	Transfer of Revenue	3	Transfer of Revenue
4	Transfer Beneficiary	4	Transfer Beneficiary

	As-Is Processes		Could-Be Processes
5	Dishonored Checks	5	Dishonored Checks
6	WDO Cashiering	6	Initial Application Exam
7	Initial Application Exam	7	Re-exam
8	Re-exam	8	Continuing Education Exams
9	Continuing Education Exams	9	Initial Application RA-Registered Applicator (Entry Level)
10	Initial Application RA-Registered Applicator (Entry Level)	10	Initial Application FR—Field Representative
11	Initial Application FR—Field Representative	11	Initial Application, OPR
12	Initial Application, OPR	12	Fingerprint/Live Scan Results and Rejections
13	Fingerprint/Live Scan Results and Rejections	13	Name Approval Process for Company
14	Name Approval Process for Company	14	Initial Application Business Company
15	Initial Application Business Company	15	Initial Application Branch Office
16	Initial Application Branch Office	16	Denials
17	Denials	17	Change of Address Business
18	Change of Address Business	18	Change of Address Individual
19	Change of Address Individual	19	Change of Branch Office Supervisor BOS
20	Change of Branch Office Supervisor BOS	20	Change of Qualifying Manager
21	Change of Qualifying Manager	21	Change of Business Ownership
22	Change of Business Ownership	22	Change of Business Entity
23	Change of Business Entity	23	Change of Company Name
24	Change of Company Name	24	Change of Individual Name
25	Change of Individual Name	25	Change of Corporate Officer
26	Change of Corporate Officer	26	Fee Waiver for All License Upgrades
27	Fee Waiver for All License Upgrades	27	Individual Renewal
28	Individual Renewal	28	Set to Active/Set to Inactive
29	Set to Active/Set to Inactive	29	License/Registration Cancellations
30	License/Registration Cancellations	30	Upgrade License for Individual—Downgrade
31	Upgrade License for Individual—Downgrade	31	Upgrade License for Individual—Upgrade
32	Upgrade License for Individual—Upgrade	32	Upgrade License for Company—Upgrade
33	Upgrade License for Company—Upgrade	33	Upgrade License for Company—Downgrade

	As-Is Processes		Could-Be Processes
34	Upgrade License for Company— Downgrade	34	Duplicate license
35	Duplicate License	35	License History
36	License History	36	CE Course Approvals
37	CE Course Approvals	37	Transfer of Employment
38	Transfer of Employment	38	Insurance/Bond Info
39	Insurance/Bond Info	39	Dual Employment
40	Dual Employment	40	Office Records Check/Site Inspection
41	Office Records Check/Site Inspection	41	Complaint Intake
42	Complaint Intake	42	Complaint Referral to DOI Tracking
43	Complaint Referral to DOI Tracking	43	Investigation Desk
44	Investigation Desk	44	Formal Investigation Referred to Specialist
45	Formal Investigation Referred to Specialist	45	County Fine and Collections
46	County Fine and Collections	46	Cite and Fine—Informal Conference
47	Cite and Fine—Informal Conference	47	Cite and Fine—Administrative Hearing
48	Cite and Fine—Administrative Hearing	48	Insurance Reinstatements, Certificates and Cancellations
49	Insurance Reinstatements, Certificates, and Cancellations	49	DA Referrals
50	DA Referrals	50	Continuing Education Approval Provider and Instructor
51	Continuing Education Approval Provider and Instructor	51	Formal Discipline—Accusations
52	Formal Discipline—Accusations	52	Formal Discipline—Statement of issues
53	Formal Discipline—Statement of issues	53	Formal Discipline—Probationary License
54	Formal Discipline—Probationary License	54	Formal Discipline—Petition to Revoke Probation
55	Formal Discipline—Petition to Revoke Probation	55	Cite and Fine
56	Cite and Fine	56	Penal Code 23 Suspension
57	Penal Code 23 Suspension	57	Probation Monitoring
58	Probation Monitoring	58	Reinstatement from Suspension
59	Reinstatement from Suspension	59	Reinstatement from Surrender/Revocation of License

	As-Is Processes		Could-Be Processes
60	Reinstatement from Surrender/Revocation of License	60	Cost Recovery
61	Cost Recovery	61	Subpoena Tracking
62	Subpoena Tracking	62	Public Records Tracking
63	Public Records Tracking	63	Statistics: Quarterly, Yearly, Sunset
64	Statistics: Quarterly, Yearly, Sunset		

In addition to the process documentation noted above, the program and OIO identified 147 detailed functional requirements. These requirements may be revisited at later stages of the PAL process.

3. Summary of PAL Activities and Timelines

SPCB completed PAL's first stage in 2019 and is currently finishing up PAL Stage 2. With the assistance of DCA OIS resources, SPCB conducted market research activities in conjunction with four other programs at a similar point in their business modernization planning activities. This market research included numerous demonstrations of software products from DCA OIS staff and outside vendors, OIS-led strategy meetings to review software implementation options, and collection and review of implementation schedule and cost information.

PAL Stage	Timeline
Stage 1—Business Analysis	CDT Approved
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Stage 3—Project Procurement	Targeted for Completion May 2020
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Phase 1 Implementation*	Targeted for Completion April 2021
Project Completion*	Targeted for Completion February 2022

PAL Stage	Timeline
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7. Cemetery and Funeral Bureau (CFB)

1. Program Background and Context

CFB licenses, regulates, and investigates complaints against funeral establishments, funeral directors, embalmers, apprentice embalmers, cemetery brokers/branch, cemetery salespersons, cremated remains disposers, crematories, crematory managers, cemetery managers, and the nearly 200 licensed private cemeteries in the state. CFB protects consumers through proactive education and consistent interpretation and application of the laws governing the death care industry. CFB empowers California consumers to make informed end-of-life decisions in a fair and ethical marketplace. In 2019, CFB welcomed new Bureau Chief Gina Sanchez, who has fully embraced the business modernization effort there.

2. Summary of Business Activities

Business activities are currently underway and targeted to be completed by approximately January 2020. As of October 2019, there are a total of 57 As-Is processes and all have been mapped. As for Could-Be processes, there is a total of 56 processes and to date, 52 have been mapped.

	As-Is Processes		Could-Be Processes
1	Change of Address (Individual)	1	Change of Address (Individual)
2	Assignment of Funeral Establishment License	2	Assignment of Funeral Establishment License
3	Notification of Change	3	Notification of Change
4	Transfer/Reinstatement of CES License (Salesperson)	4	Transfer/Reinstatement of CES License (Salesperson)
5	Change of Name (FD, COA, CR)	5	Change of Name (FD, COA, CR)
6	Change of Name Person	6	Change of Name Person
7	Exam Results	7	Exam Results
8	Exam Retake	8	Exam Retake
9	Initial Application (Individual)	9	Initial Application (Individual)
10	Initial Application (FD, COA, CR)	10	Initial Application (FD, COA, CR)
11	Renewals (Individual)	11	Renewals (Individual)

	As-Is Processes		Could-Be Processes
12	Deceased	12	Deceased
13	Petition for Reinstatement	13	Petition for Reinstatement
14	Cite and Fine	14	Cite and Fine
15	Cite and Fine Appeal	15	Cite and Fine Appeal
16	Decisions	16	Decisions
17	ALJ Hearings	17	ALJ Hearings
18	Stipulated Settlements	18	Stipulated Settlements
19	Defaults	19	Defaults
20	Complaint Intake	20	Complaint Intake
21	Complaint Investigation for DOI (Request for Service)	21	Complaint Investigation for DOI (Request for Service)
22	Desk Investigation	22	Desk Investigation
23	Field Investigations	23	Field Investigations
24	Probation Monitoring	24	Probation Monitoring
25	Petition for Modification/Termination of Probation	25	Petition for Modification/Termination of Probation
26	Cost Recovery	26	Cost Recovery
27	Fingerprints	27	Fingerprints
28	Suspension	28	Suspension
29	Case Transmittal to AG office	29	Case Transmittal to AG office
30	Accusations	30	Accusations
31	Statement of Issues	31	Statement of Issues
32	Reporting Requirement Monitoring—Annual Funeral Reports/Quarterly Crematory and Cemetery Reports	32	Reporting Requirement Monitoring—Annual Funeral Reports/Quarterly Crematory and Cemetery Reports
33	Cemetery Annual Report Delinquency Monitoring	33	Cemetery Annual Report Delinquency Monitoring
34	Appeal Decisions	34	Appeal Decisions
35	Duplicate or Replacement License	35	Duplicate or Replacement License
36	License Certification or Verification	36	License Certification or Verification
37	Public Records Act Request	37	Public Records Act Request
38	Renewals (FD, COA, CR)	38	Renewals (FD, COA, CR)
39	Field Inspection	39	Field Inspection
40	Quarterly Reporting—Crematory and Cemetery	40	Quarterly Reporting—Crematory and Cemetery
41	Desk Reviews (Cemetery)	41	Desk Reviews (Cemetery)

	As-Is Processes		Could-Be Processes
42	Conversion to the Unitrust Distribution Method	42	Conversion to the Unitrust Distribution Method
43	Site Visit Examination (Cemetery)	43	Site Visit Examination (Cemetery)
44	Annual Reporting—Declaration of Nonreporting Status (Funeral)	44	Annual Reporting—Declaration of Nonreporting Status (Funeral)
45	Annual Reporting—Preneed Funeral Trust Fund (Funeral)	45	Annual Reporting—Preneed Funeral Trust Fund (Funeral)
46	PC 23—Subsequent Convictions	46	PC 23—Subsequent Convictions
47	Petition to Revoke of Probation	47	Petition to Revoke of Probation
48	Desk Examination (Cemetery)	48	Desk Examination (Cemetery)
49	Desk Reviews (Funeral)	49	Desk Reviews (Funeral)
50	Site Visit Examination (Funeral)	50	Site Visit Examination (Funeral)
51	Audits Annual Reporting—Endowment Care Fund (Cemetery)	51	Audits Annual Reporting—Endowment Care Fund (Cemetery)
52	Stipulated Surrender	52	Stipulated Surrender
53	Abandonment Process	53	Prior Disciplinary Review
54	Prior Disciplinary Review	54	Due Date Extension Request—Annual Report—Endowment Care Fund and Special Care Fund Report (Cemetery)
55	Due Date Extension Request—Annual Report—Endowment Care Fund and Special Care Fund Report (Cemetery)	55	Quarterly Reconciliation
56	Quarterly Reconciliation CAS to Excel	56	Change of Location or Preparation and Storage
57	Change of Location or Preparation and Storage		

Functional requirements sessions will commence once the Could-Be processes have been documented.

3. Summary of PAL Activities and Timeline

CFB conducted market research activities in conjunction with four other programs at a similar point in their business modernization planning activities. This market research included numerous demonstrations of software products from DCA OIS staff and outside vendors, OIS-led strategy meetings to review software implementation options, and collection and review of implementation schedule and cost information.

PAL Stage	Timeline
Stage 1—Business Analysis	Targeted for Completion December 2019
Stage 2—Project Alternatives	Targeted for Completion January 2020
Stage 3—Project Procurement	Targeted for Completion May 2020
Stage 4—Project Execution	Targeted for Completion August 2020
Phase 1 Implementation*	Targeted for Completion April 2021
Project Completion*	Targeted for Completion February 2022
*Phase 1 implementation and project completion will be formally baselined upon Stage 4 approval. Changes to these dates may occur depending on implementation considerations identified during final project planning activities in Stage 4.	

To improve services in parallel with larger modernization efforts, CFB has implemented an interim method to allow online renewal applications.

8. Board of Pharmacy (BOP)

1. Program Background and Context

BOP protects and promotes consumer health and safety by pursuing the highest quality of pharmacists' care and the appropriate use of pharmaceuticals through education, communication, licensing, legislation, regulation, and enforcement. BOP oversees those who dispense, store, ship, and handle prescription drugs and devices to patients and practitioners in California. BOP accomplishes its purpose by ensuring that pharmacists provide patients with pharmaceutical care by dispensing information; by protecting patients from drug-related accidents; and by taking responsibility for therapeutic outcomes resulting from their decisions.

2. Summary of Business Activities

Business activities for BOP commenced in 2019. As of October 2019, BOP, and OIO resources have identified 65 As-Is processes and mapped 23. Could-Be processes and functional requirements will be completed once As-Is documentation is complete.

BOP also submitted a BCP to request additional staffing to begin business process mapping, functional requirement development, and project planning activities in fiscal year 2019–20. This additional staffing included two Associate Governmental Program Analysts who would offset any productivity lost from other BOP staff who are participating in business activities and project planning. The positions granted in the 2019–20 BCP to support business process documentation and planning activities are targeted to be filled by December 2019.

	As-Is Processes	Could-Be Processes*
1	Initial Application—Individual	
2	Initial Application—Facility No Inspection	
3	Issue License—Individual	
4	Issue Facility License—Inspection Required	
5	Issue Facility License—Inspection Not Required	
6	Initial Temporary Facility License—Inspection Required	
7	Initial Temporary Facility License—Inspection Not Required	
8	Facility License Renewal—Inspection Required	
9	Facility License Renewal—Inspection Not Required	
10	License Renewal—Individual	
11	Change of Address—Individual	
12	Change of Officer/Permit	
13	Change of PIC/DRIC/RMG	
14	Change of Name—Individual	
15	Change of Ownership/Location—Facility	
16	Exam Eligibility	
17	Exam Results	

	As-Is Processes	Could-Be Processes*
18	Exam Scheduling	
19	Fee Waiver	
20	Set to Active	
21	Set to Inactive	
22	Set to Retire	
23	Create Relationship	
24	Query Principles	
25	Generate Correspondence	
26	Fingerprint Results	
27	Extend Expiration Date	
28	Cashiering—Individual	
29	Duplicate License	
30	License Certification	
31	Licensee Organizational Records	
32	Refunds	
33	Replacement License	
34	Routine Inspections	
35	Probation Monitoring	
36	Appeal Decision	
37	Cite and Fine	
38	Complaint Intake	
39	Complaint Investigation for DOI	
40	Compliance Investigation Non-DOI	
41	Investigation, Desk	
42	Investigation, Formal	
43	Set to Suspend	
44	Reinstatement	
45	Cost Recovery	
46	Formal Discipline	
47	Remove Suspension	
48	Reporting Requirement Monitoring	
49	Statement of Issues	
50	Letter of Admonishment	
51	Multiple Respondents to Multiple Outcomes	
52	Initial Application—Pharmacists Only	
53	Enforcement Review—Individual	

	As-Is Processes	Could-Be Processes*
54	Principle Review and Assessment	
55	Application Denial	
56	Initial Application—Facility Inspection	
57	Set to Cancel	
58	Initial Application—Facility Temporary to Full	
59	Cashiering—Facility	
60	Cashiering—Individual Renewals	
61	Cashiering—Facility Renewals Inspection Needed	
62	Cashiering—Facility Renewals No Inspection	
63	Petition to Compel	
64	Enforcement Review—Facility	
65	Criminal Investigations Inspections	
* Could-Be processes and functional requirements will be completed once As-Is documentation is complete.		

3. Summary of PAL Activities and Timelines

PAL Stage	Timeline
Stage 1—Business Analysis	CDT Approved
Stage 2—Project Alternatives	Targeted for Completion May 2022
Stage 3—Project Procurement	Targeted for Completion August 2022
Stage 4—Project Execution	Targeted for Completion November 2022
Phase 1 Implementation*	Targeted for Completion June 2024
Project Completion*	Targeted for Completion July 2025

PAL Stage	Timeline
*Phase 1 implementation and project completion will be formally baselined upon Stage 4 approval. Changes to these dates may occur depending on implementation considerations identified during final project planning activities in Stage 4.	

To improve services in parallel with larger modernization efforts, BOP has implemented an interim method to allow online renewal applications. BOP is undergoing the sunset review process during the 2020 legislative session; updates related to its Business Modernization process will be provided during its sunset hearings.

9. California Board of Accountancy (CBA)

1. Program Background and Context

CBA regulates the accounting profession for the public interest by establishing and maintaining entry standards of qualification and conduct within the accounting profession, primarily through its authority to license. CBA currently regulates over 97,000 licensees, the largest group of licensed accounting professionals in the nation, including individuals and firms. CBA certifies and licenses individual certified public accountants (CPAs). In addition, CBA enforces actions against licensees for violations of CBA laws and rules, and ensures compliance with continuing education requirements. CBA also monitors work products of accounting professionals to ensure adherence to professional standards.

2. Summary of Business Activities

Business activities for CBA commenced in 2019. As of October 2019, CBA and OIO resources have identified 109 As-Is processes and mapped 59. Could-Be processes and functional requirements will be completed once As-Is documentation is complete.

CBA also submitted a BCP to request additional staffing to begin business process mapping, functional requirement development, and project planning activities in fiscal year 2019–20. This additional staffing included two Associate Governmental Program Analysts who would offset any productivity lost from other CBA staff who are participating in business activities and project planning. The positions granted in the 2019–20 BCP to support business process documentation and planning activities are targeted to be filled by December 2019.

	As-Is Processes	Could-Be Processes*
1	U.S. Transcripts and Foreign Credential Evaluation Intake	
2	First-time Uniform CPA Exam Application	

	As-Is Processes	Could-Be Processes*
3	First-time Exam Application Review	
4	Repeat Uniform CPA Exam Application	
5	Change of Address (Exam Candidate)	
6	Name Change (Exam Candidate)	
7	Foreign Credential Evaluation Approval	
8	Score Transfers from Another State	
9	Uniform CPA Exam Pass Letters	
10	Section Change Requests	
11	Reasonable Accommodations	
12	Conditional Credit/Notice to Schedule Extensions	
13	Foreign Credential Evaluation Renewal	
14	CPA Application Review Process	
15	Expired Application—Exam Candidates	
16	CPA License Application—Intake Process	
17	Type F Application	
18	Firm License Applications	
19	Initial Out-of-State Firm Registration	
20	PETH Exam Processing	
21	Change of Address (Renewal Licensees)	
22	CORI Licensing	
23	In-House Renewal	
24	License Certification Verifications	
25	QC Deferral Process	
26	Name Change (Renewal Licensees)	
27	Change of Address (Licensing Candidate)	
28	Name Change (Licensing Candidate)	
29	CPA Application Status Letters	
30	Renewal Out-of-State Firm Registration	
31	License Number Issuance	
32	CPA License Wall Certificate	
33	Abandoned Application	
34	Renewal Application Form (CPA)	
35	Renewal Application Form (Firm)	
36	Deficiency Letters	

	As-Is Processes	Could-Be Processes*
37	Compliance Letters	
38	Enforcement Referrals	
39	License Status Conversion	
40	Change of Ownership (Firm)	
41	Retired Status Application	
42	Fee Waiver Military, Volunteer Disability	
43	Peer Review Exclusion Requests	
44	CE Extension/Exemption Requests	
45	Voluntary Surrender	
46	Reinstatement of Retired License	
47	Delinquency Fee Waivers	
48	Continuing Education Audit	
49	Family Support Temporary License	
50	Regulatory Review Course Providers License/Approval	
51	Regulatory Review Course Providers Renewal	
52	Duplicate License	
53	Replacement License	
54	Deficiencies/Compliances	
55	Reports	
56	Complaint Intake	
57	Investigative	
58	Filing an Accusation	
59	Stipulations	
60	Preparation for Board Meeting Process	
61	Payment Plan Process	
62	Default	
63	Out-of-State Firm Discipline Review	
64	Reportable Events	
65	Investigative Hearings (IH)	
66	CORI	
67	Bi-annual SEC/PCAOB Discipline Reviews	
68	Cite and Fine (C/F)	
69	Administrative Hearing	
70	Appeal of the Citation	

	As-Is Processes	Could-Be Processes*
71	Issuance of a Subpoena	
72	Suspension Orders (ISO/ASO)	
73	DOI Referral	
74	Retroactive Fingerprinting for Licensees	
75	Probation Monitoring	
76	CPA Office Visits (Practice Investigation)	
77	Petition to Revoke Probation	
78	Petition to Modify/Terminate Probation	
79	Post-Closed Session Board Meeting Process	
80	AG Referral Process	
81	DA Referral	
82	Web Change Request	
83	Non-Adopt Default	
84	Non-Adopt Stipulated Process	
85	Petition for Reinstatement	
86	DAN (Document Approval Needed)	
87	Mail Intake	
88	Logs and Tracking (Mailroom)	
89	Cashiering	
90	Logs and Tracking (Cashiering)	
91	Stamping (Cashier Number)	
92	Enter Into EAPS (Exams Only)	
93	Inquiries (All Programs)	
94	Wire Transfers	
95	Reports (i.e. Stats, Report of Collections)	
96	Revenue Transfers	
97	Revenue Refunds	
98	Returned Payments	
99	Issue Letters (Check Deficiency, Returned Payments, Dishonored Checks)	
100	Franchise Tax Board Intercept Program	
101	Collections	
102	Archiving (All Three Divisions)— Document Imaging	
103	Contracts/Requisitions	

	As-Is Processes	Could-Be Processes*
104	Expert Consultants	
105	Procurement	
106	Incoming Calls (Reception)	
107	Address Change Forms	
108	Transcripts	
109	CPA License Wall Certificates (Crossover with Licensing)	
* Could-Be processes and functional requirements will be completed once As-Is documentation is complete.		

3. Summary of PAL Activities and Timeline

PAL Stage	Timeline
Stage 1—Business Analysis	CDT Approved
Stage 2—Project Alternatives	Targeted for Completion March 2021
Stage 3—Project Procurement	Targeted for Completion June 2021
Stage 4—Project Execution	Targeted for Completion September 2021
Phase 1 Implementation*	Targeted for Completion September 2022
Project Completion*	Targeted for Completion September 2023
*Phase 1 implementation and project completion will be formally baselined upon Stage 4 approval. Changes to these dates may occur depending on implementation considerations identified during final project planning activities in Stage 4.	

To improve services in parallel with larger modernization efforts, CBA has implemented an interim method to allow online renewal applications.

10. Contractors State Licensing Board (CSLB)

1. Program Background and Context

CSLB protects consumers by regulating the construction industry through policies that promote the health, safety, and general welfare of the public in matters relating to construction. CSLB licenses and regulates contractors in 44 classifications that constitute the construction industry. There are approximately 300,000 licensed contractors in the state. CSLB also registers home improvement salespersons.

2. Summary of Business Activities

CSLB's business activities follow an agile methodology that supports the operational needs of its multifaceted consumer services. Their business activities first begin with identifying As-Is processes by functional and sub-functional areas (e.g., licensing— asbestos, workers' compensation, general liability, home improvement salesperson and enforcement—citations and investigations) that are ready (organizationally and fiscally) for business modernization activities. Those As-Is processes are then mapped with an overview and then use cases are developed. After that has been completed, a Could-Be process is developed and then implemented.

To date, CSLB has identified 69 As-Is business processes specific to licensing and enforcement revenue generating activities. Of those 69 As-Is business processes, 56 have been completed. Of those 56 completed As-Is processes, CSLB has identified 39 Could-Be Processes. Of those 39 Could-Be processes, 33 have been implemented.

In 2020, CSLB will conclude mapping remaining licensing related processes and some specific revenue generating enforcement process maps and requirements. As the review of licensing functions is projected to be completed in 2020, the full list of licensing processes with associated dates and activities is provided below.

	As-Is Processes	As-Is Completed	Could-Be Processes	Implemented
1	Enf.: Citation Enforcement Section (CES) Norwalk			
2	Enf.: Investigation Amended Citation			
3	Lic.: App.—Additional Classification (Add Class)	Y		
4	Lic.: App.—Asbestos Certification	Y	Submit Online Asbestos Open Book Exam	5/2019
5	Lic.: App.—Bond and Fee Process	Y	Bond and Fee Return for Correction Letter	10/2018
6	Lic.: App.—Exam LLC	Y		

	As-Is Processes	As-Is Completed	Could-Be Processes	Implemented
7	Lic.: App.—Exam Original	Y	Submit Online Original Application—Sole Owner	
8	Lic.: App.—Hazardous Substance Removal Certification	Y		
9	Lic.: App.—Home Improvement Salesperson Application	Y	HIS Return for Correction Letter	9/2018
10	Lic.: App.—Issuance	Y	1. Issuance/Waiver's Return for Correction Letter 2. Initial License Fee Return for Correction Letter	1. 9/2018 2. 1/2019
11	Lic.: App.—Reactivation (Renewal Unit)	Y	1. Renewal Reactivation Return for Correction Letter 2. Submit Online Renewal or Reactivation	1. 11/2018
12	Lic.: App.—Renewal Phase 1 (1, 2, 3) Lic.: App.—Renewal Phase 3 (4) Lic.: App.—Renewal Phase 4 (5)	Y	1. Renewal Return for Correction Letter 2. HIS Renewal Registration Return for Correction Letter 3. Renewal Not Printed Return for Correction Letter 4. Submit Online Renewal—Sole Owner 5. Submit Online Renewal or Reactivation	1. 9/2019 2. 9/2019 3. 9/2019
13	Lic.: App.—Replacing RME/RMO	Y		
14	Lic.: App.—Teale Entry Process	Y		
15	Lic.: App.—Waiver JV	Y	Issuance/Waiver's Return for Correction Letter	12/2018
16	Lic.: App.—Waiver LLC	Y	Issuance/Waiver's Return for Correction Letter	12/2018
17	Lic.: App.—Waiver Original	Y	Issuance/Waiver's Return for Correction Letter	12/2018
18	Lic.: Bond—Cancellation	Y		
19	Lic.: Bond—Cash Deposit in Lieu of Bond	Y		
20	Lic.: Bond—Contractors Bond (Includes BQI and LLC)	Y	Bond Return for Correction Letter	8/2018

	As-Is Processes	As-Is Completed	Could-Be Processes	Implemented
21	Lic.: Bond—Disciplinary Bond	Y		
22	Lic.: Bond—Reinstatement			
23	Lic.: Bond—Rider			
24	Lic.: CBU—Denials	Y		
25	Lic.: CBU—Error Report	Y		
26	Lic.: CBU—Probation	Y		
27	Lic.: CBU—Subsequent Arrest	Y		
28	Lic.: Experience Verification (EVU)	Y	1. Request Experience Documents Return for Correction Letter 2. Additional Experience Documents Return for Correction Letter	1. 1/2019 2. 1/2019
29	Lic.: Judgments	Y		
30	Lic.: Judgment-Family Support	Y		
31	Lic.: Judgment-Inquiry Process	Y		
32	Lic.: Judgment-Outstanding Liability	Y		
33	Lic.: Judgment-Payments of Claim	Y		
34	Lic.: Lic. Mod.—Death Notifications	Y	Death Notice Return for Correction Letter	8/2018
35	Lic.: Lic. Mod.—IFS Extensions	Y		
36	Lic.: Lic. Mod.—Qualifier Suspension	Y		
37	Lic.: Lic. Mod.—Application to Add Limited Partner to a Partnership	Y	New Limited Partner Return for Correction Letter	3/2019
38	Lic.: Lic. Mod.—Application to Add New Personnel—Corp or LLC	Y	Change of Personnel Return for Correction Letter	3/2019
39	Lic.: Lic. Mod.—Application to Change Business Name or Address Order Wall Certificate or Pocket License	Y	1. Business Name Return for Correction Letter 2. Business Name Limitation Return for Correction Letter	1. 8/2018 2. 8/2018
40	Lic.: Lic. Mod.—Application to Change HIS Address	Y		
41	Lic.: Lic. Mod.—Application to Inactivate Contractors License	Y	Inactivation Return for Correction Letter	11/2018

	As-Is Processes	As-Is Completed	Could-Be Processes	Implemented
42	Lic.: Lic. Mod.—Application to Remove Classification from License	Y		
43	Lic.: Lic. Mod.—Application to Report Change of Title for Current Personnel of a Corp or LLC	Y	Change of Title Return for Correction Letter	8/2018
44	Lic.: Lic. Mod.—Contractor Notification of HIS Cessation	Y	Notice of Cessation Return for Correction Letter	8/2018
45	Lic.: Lic. Mod.—Contractor Notification of HIS Employment (Fee)	Y	Notice of Employment Return for Correction Letter	8/2018
46	Lic.: Lic. Mod.—Disassociation Request (Contractor License)	Y	Disassociation Return for Correction Letter	9/2018
47	Lic.: Lic. Mod.—License Cancellation Request (Contractor License)	Y	1. License Cancellation Return for Correction Letter 2. Submit Online License Cancellation	1. 8/2018
48	Lic.: Lic. Mod.—License Continuance Request (Contractor License only)	Y		
49	Lic.: Lic. Mod.—Request for Voluntary Surrender and Cancellation of HIS	Y	HIS Vol Surrender/Cancel Return for Correction Letter	8/2018
50	Lic.: Posting List	Y		
51	Lic.: RCU—Certification of Non-Licensure and Non-Registration	Y		
52	Lic.: RCU—Certified and Uncertified Copies			
53	Lic.: RCU—Certified License Histories			
54	Lic.: RCU—Certified Registration Histories			
55	Lic.: RCU—General Status Letters	Y		
56	Lic.: RCU—Public Records Act (PRA)			
57	Lic.: RCU—Reciprocity	Y		
58	Lic.: RCU—Request for Current Bond Information			
59	Lic.: RCU—Response Letters	Y		

	As-Is Processes	As-Is Completed	Could-Be Processes	Implemented
60	Lic.: RCU—Subpoenas for Records	Y		
61	Lic.: RCU-Summons and Writs	Y		
62	Lic.: Request for Duplicate Renewal or Reactivation	Y	Submit Online Request for Duplicate Renewal or Reactivation	
63	Lic.: Request for Expedite	Y		
64	Lic.: Workers' Compensation—Addendum			
65	Lic.: Workers' Compensation—Cancelations			
66	Lic.: Workers' Compensation—General Liability		1. General Liability Insurance Return for Correction Letter 2. Submit Online General Liability Insurance	1. 11/2018 2. 2/2019
67	Lic.: Workers' Compensation—Reinstatement			
68	Lic.: Workers' Comp—Exemption	Y	1. Workers' Comp Exemption Return for Correction Letter 2. Submit Online Exemption from Workers' Compensation	1. 10/2018 2. 12/2018
69	Lic.: Workers' Compensation—Certificates	Y	1. Workers' Compensation Return for Correction Letter 2. Submit Online Workers' Compensation Certificate	1. 8/2018 2. 11/2018

3. Strategic Approach Update

In 2019, CSLB reassessed its organizational readiness to undertake large-scope business modernization efforts based on its changing fiscal outlook. Based on the current CSLB fiscal outlook, CSLB will pivot its modernization to a focus on adding functionality to complement the existing licensing and enforcement system of record within existing maintenance resources. Upcoming early-2020 activities will focus on small-scope implementations targeted at revenue generating transactions in a targeted pilot effort.

In summary, CSLB management and staff have concluded that the most cost effective and risk averse approach is to remain on the current CSLB mainframe system for core licensing and enforcement business needs and augment functionality where appropriate to improve services. This will enable CSLB to maintain, modernize, and enhance the appropriate services for the consumers and contractors of California.

CSLB will utilize an iterative approach and collaborate with business staff to develop the next cycle of improvements to business processes by working with CSLB and DCA software development teams. In addition, CSLB will continue to automate processes that can be implemented with existing resources. For example, the CSLB Online Sole Owner Renewal is estimated to be completed in February 2020. There are approximately 67,000 sole owner renewals received annually and it is estimated that 40,000 will renew online annually (60%) in the future. CSLB's Online Original Sole Owner Application Process is estimated to be completed in July 2020. Approximately 12,000 original sole owner applications are received yearly, and it is estimated that 6,000 (50%) will apply online annually in the future. These two application processes represent the pilot effort.

This approach, driven by budget constraints, has worked successfully on a small scale with three online forms and one online exam and represents a low-risk, high-value approach to deploy "maintenance-type" enhancements. Online utilization of the current four items available is identified in the table below.

	Total Received	Received Online	Percentage Online
Workers' Compensation Online*	117,214	45,474	39%
Exemption from Workers' Compensation Online*	11,073	7,891	71%
General Liability Online*	7,585	1,617	21%
Asbestos Open Book Exam Online**	2,487	2,487	100%

*Statistics from November 2018 - September 2019. The Workers' Compensation unit processes workers' compensation certificates, exemptions, and general liability policies. Prior to being automated, these were manual processes with a 10-week processing delay. Certificates and policies sent in manually are processed on a current basis within one week of receipt.

**Statistics from implementation June 2019 - September 2019.

Based on the CSLB reassessment and its current fiscal outlook, the CSLB Board authorized staff to conduct a fee study, and if appropriate, pursue a legislative proposal. The estimated timeline is as follows:

- 2020—Conduct a fee study
- 2021—Seek legislation consistent with the recommendations of the fee study
- 2021/22—Seek additional resources for necessary continued modernization efforts

The outcome of any fee-related actions will have an effect on the fiscal readiness of CSLB to undertake further business modernization activities.

4. Summary of PAL Activities and Timeline

The timelines below are associated with the pilot effort referenced earlier in the document.

PAL Stage	Timeline
Stage 1—Business Analysis	
Stage 2—Project Alternatives	Targeted for Completion December 2019
Stage 3—Project Procurement*	Targeted for Completion January 2020
Stage 4—Project Execution*	Targeted for Completion January 2020
Phase 1 Implementation**	Targeted for Completion February 2020
Project Completion**	Targeted for Completion July 2020
<p>*Internal software applications are being extended and there are no new major procurements.</p> <p>**Phase 1 implementation and project completion will be formally baselined upon Stage 4 approval. Changes to these dates may occur depending on implementation considerations identified during final project planning activities in Stage 4.</p>	

11. California Architects Board (CAB)/Landscape Architect Technical Committee (LATC)

1. Program Background and Context

CAB protects the health, safety, and welfare of the public through the regulation of the practice of architecture in California. The CAB establishes regulations for examination and licensing of the profession of architecture in California, which today numbers over 21,000 licensed architects and approximately 10,000 candidates who are in the process of meeting examination and licensure requirements.

LATC, under the purview of CAB, protects the health, safety, and welfare of the public by establishing standards for licensure and enforcing the laws and regulations that govern the practice of landscape architecture in California.

“CAB and LATC are in the middle of business modernization activities. As I was new to the Board and my position when we started, I was very grateful for the invaluable assistance of DCA’s OIS and OIO in this process. OIO’s staff worked so well with our staff in documenting our process and addressing the numerous questions we had throughout the process. OIS and OIO definitely made this process much more manageable. The whole process was a valuable learning experience for me.” – Laura Zuniga, Executive Officer, California Architects Board

2. Summary of Business Activities

CAB/LATC completed all business activities in 2019, including all As-Is and Could-Be process maps and functional requirements. In total, DCA OIO resources assisted in documenting 87 As-Is process maps and 44 Could-Be process maps.

This is the completed inventory of CAB/LATC process maps:

	As-Is Processes		Could-Be Processes
1	ATS Revenue Cashiering (CAB)	1	Initial License Request (CAB)
2	Revenue Transfers	2	Examination (ARE) Eligibility
3	Revenue Refund Request (CAB)	3	Examination (ARE) Results
4	Initial License Request (CAB)	4	Examination (LARE) Eligibility
5	Examination (ARE) Eligibility	5	Examination (LARE) Results
6	Examination (ARE) Results	6	CSE Eligibility (CAB)
7	Examination (LARE) Eligibility	7	CE Audit
8	Examination (LARE) Results	8	Sworn Investigation (CAB)
9	CSE Eligibility (CAB)	9	Complaint Closure (CAB)
10	License Renewal (CAB)	10	Cite and Fine (CAB)
11	Wall Certificates	11	Formal Administrative Hearing (CAB)
12	CE Audit	12	License Denial (CAB)
13	Complaint Intake (CAB)	13	Formal Discipline (CAB)
14	Desk Investigation—CE	14	Probation and Monitoring (CAB)
15	Desk Investigation—Analyst (CAB)	15	Petitions for Reinstatement, Termination or Modification of Probation or Penalty
16	Desk Investigation—Unlicensed Advertising (CAB)	16	Public Records Act Request
17	Sworn Investigation (CAB)	17	Subpoena Receiving
18	Complaint Closure (CAB)	18	Complaint Intake (LATC)

	As-Is Processes		Could-Be Processes
19	Cite and Fine (CAB)	19	Desk Investigation—Unlicensed Advertising (LATC)
20	Formal Administrative Hearing (CAB)	20	Reasonable Accommodation (CAB)
21	License Denial (CAB)	21	Default Decision (CAB)
22	Formal Discipline (CAB)	22	Stipulated Settlement (CAB)
23	Probation and Monitoring (CAB)	23	Surrender License (LATC)
24	Petitions for Reinstatement, Termination or Modification of Probation or Penalty	24	Non-Adopt for Proposed Decision
25	Public Records Act Request	25	Writ of Mandamus
26	Subpoena Receiving	26	Petition for Reconsideration
27	Complaint Intake (LATC)	27	Petition Hearing
28	Cashiering (LATC)	28	Formal Discipline (LATC)
29	Transferring Beneficiaries	29	Request for Vacate
30	Revenue Refund Request (LATC)	30	Franchise Tax Board Intercept Program
31	Complaint Closure (LATC)	31	Reasonable Accommodation (LATC)
32	Desk Investigation—Unlicensed Advertising (LATC)	32	CSE Eligibility (LATC)
33	Sworn Investigation (DOI) (LATC)	33	CSE Results (CAB)
34	Reasonable Accommodation (CAB)	34	Reciprocity (CAB)
35	Desk Investigation—Analyst (LATC)	35	Retired License (CAB Only)
36	Default Decision (CAB)	36	Duplicate License (CAB)
37	Stipulated Settlement (CAB)	37	Reciprocity (LATC)
38	Stipulated Settlement (LATC)	38	Exam Certification (LATC)
39	Surrender License (LATC)	39	Relicensure (CAB)
40	Surrender License (CAB)	40	Relicensure (LATC)
41	Non-Adopt for Proposed Decision	41	Change of Name (CAB)
42	Writ of Mandamus	42	Change of Address (CAB)
43	Petition for Reconsideration	43	In-House License Renewals
44	Petition Hearing	44	Change of Business Entity
45	Formal Discipline (LATC)		
46	Default Decision (LATC)		
47	Formal Administrative Hearing (LATC)		
48	Request for Vacate		
49	Probation and Monitoring (LATC)		
50	Cite and Fine (LATC)		

	As-Is Processes		Could-Be Processes
51	DCA Quarterly Enforcement Performance Measure Reports		
52	Franchise Tax Board Intercept Program		
53	Statistical Enforcement Monthly Data (CAB)		
54	License Denial (LATC)		
55	Statistical Enforcement Monthly Data (LATC)		
56	Initial License Request (LATC)		
57	Reasonable Accommodation (LATC)		
58	CSE Eligibility (LATC)		
59	CSE Results (CAB)		
60	CSE Results (LATC)		
61	CSE Data (CAB)		
62	CSE Data (LATC)		
63	LARE Data		
64	ARE Statistical Data		
65	License Verification		
66	License Renewal (LATC)		
67	Reciprocity (CAB)		
68	Retired License (CAB Only)		
69	Duplicate License (CAB)		
70	Duplicate License (LATC)		
71	Manual Refund		
72	Manual Revenue		
73	Reciprocity (LATC)		
74	Exam Certification (CAB)		
75	Exam Certification (LATC)		
76	Relicensure (CAB)		
77	Relicensure (LATC)		
78	Change of Name (CAB)		
79	Change of Name (LATC)		
80	Change of Address (CAB)		
81	Change of Address (LATC)		
82	In-House License Renewals		
83	Statistical Enforcement Quarterly Data (CAB)		

	As-Is Processes		Could-Be Processes
84	Statistical Enforcement Quarterly Data (LATC)		
85	Change of Business Entity		
86	Dishonored Checks (CAB)		
87	Dishonored Checks (LATC)		

In addition to the process documentation noted above, the program and OIO identified 217 detailed functional requirements. These requirements may be revisited at later stages of the PAL process.

3. Summary of PAL Activities and Timeline

CAB/LATC submitted PAL's first stage in 2019 and is currently finishing up PAL Stage Two. With the assistance of DCA OIS resources, CAB/LATC conducted market research activities in conjunction with four other programs at a similar point in their business modernization planning activities. This market research included numerous demonstrations of software products from DCA OIS staff and outside vendors, OIS-led strategy meetings to review software implementation options, and collection and review of implementation schedule and cost information.

PAL Stage	Timeline
Stage 1—Business Analysis	Targeted for Completion December 2019
Stage 2—Project Alternatives	Targeted for Completion January 2020
Stage 3—Project Procurement	Targeted for Completion May 2020
Stage 4—Project Execution	Targeted for Completion August 2020
Phase 1 Implementation*	Targeted for Completion April 2021
Project Completion*	Targeted for Completion February 2022

PAL Stage	Timeline
*Phase 1 implementation and project completion will be formally baselined upon Stage 4 approval. Changes to these dates may occur depending on implementation considerations identified during final project planning activities in Stage 4.	

To improve services in parallel with larger modernization efforts, CAB/LATC has implemented an interim method to allow online renewal applications.

12. Bureau of Automotive Repair (BAR)

1. Program Background and Context

BAR promotes and protects the interests of California automotive repair consumers through a wide range of services: registers and regulates approximately 36,000 California automotive repair dealers; administers licenses, and enforces the Smog Check program/stations, technicians, and inspectors; licenses brake and lamp stations and adjusters; mediates automotive repair complaints, saving California consumers millions of dollars each year in the form of direct refunds, rework, and bill adjustments; investigates and takes disciplinary action against licensees who violate the law; helps to keep California's air clean by reducing air pollution produced by motor vehicles.

2. Summary of Business Activities

BAR completed all business activities in 2019, including all As-Is and Could-Be process maps and functional requirements. In total, BAR documented 277 As-Is process maps, 804 licensing mid-level requirements, and 622 field office mid-level requirements. An estimated 800 enforcement mid-level requirements are planned for completion in November 2019 (next reporting period).

For a complete inventory of BAR licensing process maps, see the following attachments:

- 4a—BAR's Licensing Program's Business Functions.
- 4b—BAR's Field Offices' Business Functions.
- 4c—BAR's Enforcement Operations Branch's Business Functions.

3. Summary of PAL Activities and Timeline

PAL Stage	Timeline
Stage 1—Business Analysis	CDT Approved

PAL Stage	Timeline
Stage 2—Project Alternatives	Targeted for Completion July 2020
Stage 3—Project Procurement	Targeted for Completion September 2020
Stage 4—Project Execution	Targeted for Completion November 2020
Project Completion*	Targeted for Completion December 2022
*Project completion will be formally baselined upon Stage 4 approval. Changes to these dates may occur depending on implementation considerations identified during final project planning activities in Stage 4.	

13. Bureau of Household Goods and Services (BHGS)

1. Program Background and Context

BHGS protects consumer safety by developing standards in various industries that include: household movers, appliance service dealers, furniture and bedding (wholesalers, retailers, manufacturers and importers), bedding sanitizers, thermal insulation manufacturers, service contracts (administrators, sellers, and obligors), electronic service dealers, custom upholsterers, and supply dealers. BHGS ensures materials and craftsmanship of home furnishings, electronic equipment and thermal insulation meet quality standards. BHGS works with retailers, wholesalers, and importers to be able to trace the origin of a product to the source where products are deemed dangerous to remove those products from the market.

“OIO has been extremely helpful in assisting BHGS with Stage 1 of our Business Modernization project. The development of our as-is and could-be process maps went very smoothly thanks to the diligence and attention to detail provided by OIO. Their assistance in coordinating a comprehensive list of functional requirements in a very short period of time exceeded our expectations. It has truly been a collaborative and pleasing experience, and we here at BHGS feel much more prepared to take on a project of this magnitude.” - Rita Wong, Deputy Bureau Chief, Bureau of Household Goods and Services

2. Summary of Business Activities

BHGS completed all business activities in 2019, including all As-Is and Could-Be process maps and functional requirements. In total, DCA OIO resources assisted in documenting 70 As-Is process maps and 54 Could-Be process maps.

	As-Is Processes		Could-Be Processes
1	License Conversion	1	License Conversion
2	Household Movers Licensing Process (Initial Application)	2	Household Movers Licensing Process (Initial Application)
3	BEAR/BHFTI Demographic Change	3	BEAR/BHFTI Demographic Change
4	Household Movers Demographic Changes	4	Household Movers Demographic Changes
5	License Certification/Verification	5	License Certification/Verification
6	Cottage Industry Fee Waiver (No Employees, Manufacture Out of Home)	6	Cottage Industry Fee Waiver (No Employees, Manufacture Out of Home)
7	Duplicate and Replacement License	7	Duplicate and Replacement License
8	BEAR/BHFTI License Renewal	8	BEAR/BHFTI License Renewal
9	License Refunds	9	License Refunds
10	Annual Report Statistics	10	Annual Report Statistics
11	License Refund—Household Movers (Quarterly)	11	License Refund—Household Movers (Quarterly)
12	Change of License Status	12	Change of License Status
13	Performance Measures Report	13	Performance Measures Report
14	Household Movers Quarterly Revenue Reports	14	Household Movers Quarterly Revenue Reports
15	Household Movers Annual Workers' Comp. Reports (Over \$350K Revenue)	15	Household Movers Annual Workers' Comp. Reports (over \$350K revenue)
16	Citation Payments Received	16	Citation Payments Received
17	Household Movers Annual Financial Reports (\$500K Revenue or More)	17	Household Movers Annual Financial Reports (\$500K Revenue or More)
18	Household Movers Voluntary Suspension	18	Household Movers Voluntary Suspension
19	Household Movers Quarterly CHP Funds Transfer	19	Household Movers Quarterly CHP Funds Transfer
20	Document Scanning KOVIS	20	Document Scanning KOVIS
21	Processing Reimbursements for Samples That Have Passed Lab Testing	21	Processing Reimbursements for Samples That Have Passed Lab Testing
22	Document Scanning TMIS	22	Document Scanning TMIS
23	Management Statistics Reporting	23	Management Statistics Reporting

	As-Is Processes		Could-Be Processes
24	Ad Hoc Data Queries	24	Ad Hoc Data Queries
25	Work Assignment/Flow Tracking	25	Work Assignment/Flow Tracking
26	Formal Discipline and License Denial Appeals	26	Formal Discipline and License Denial Appeals
27	Cite and Fine	27	Cite and Fine
28	Complaint Intake	28	Complaint Intake
29	Complaint Investigation (Internal) Non-DOI	29	Complaint Investigation (Internal) Non-DOI
30	Desk Investigations	30	Desk Investigations
31	Set to Suspended/Remove Suspension	31	Set to Suspended/Remove Suspension
32	Probation Monitoring	32	Probation Monitoring
33	Reinstatement	33	Reinstatement
34	Cost Recovery	34	Cost Recovery
35	HHM Licensing Fee Refunds	35	Telephone Disconnects/Reconnects
36	Telephone Disconnects/Reconnects	36	Site Inspections
37	Site Inspections	37	Red Tag
38	Red Tag	38	Obtain Samples for Testing
39	Obtain Samples for Testing	39	Order Directed Inspections
40	Order Directed Inspections	40	Infractions
41	Infractions	41	Lab Failures: Access to Lab Reports and Results, Inspection Reports, etc.
42	Lab Failures: Access to Lab Reports and Results, Inspection Reports, etc.	42	Quarterly Citation Report for Website
43	Quarterly Citation Report for Website	43	Formal Hearing Request (Monitor, Schedule, Outcome, Response, Data)
44	Formal Hearing Request (Monitor, Schedule, Outcome, Response, Data)	44	Franchise Tax Board Offset
45	Franchise Tax Board Offset	45	Login Samples
46	Receiving Lab Supplies	46	Detailed Reports
47	Login Samples	47	Insulation Sample Request Letters
48	Breakdown Furniture and Bedding	48	Creation of Thermal Insulation Directory and Fee Processing
49	Furniture Testing	49	Business—Renewal, Delinquency and Penalty Payments
50	Mattress Testing	50	Chain—Renewal, Delinquency, and Penalty Payments
51	Bedding Testing	51	Citation Payments
52	Insulation Testing	52	Intake of Citations and Contact Reports

	As-Is Processes		Could-Be Processes
53	Chemistry	53	New Initial Application and Payments (BEAR/BFTI)
54	Flame Retardant Document Request	54	Incoming Payments Household Movers
55	DTSC Contract Samples		
56	Insulation Contract Testing		
57	Chemistry Breakdown and Test Summary (Furniture and Bedding)		
58	Insulation Test Summary		
59	Completing Out Samples		
60	Detailed Reports		
61	Nomex Testing		
62	Laboratory Purchasing and Supply Inventory		
63	Insulation Sample Request Letters		
64	Creation of Thermal Insulation Directory and Fee Processing		
65	Business—Renewal, Delinquency and Penalty Payments		
66	Chain—Renewal, Delinquency and Penalty Payments		
67	Citation Payments		
68	Intake of Citations and Contact Reports		
69	New Initial Application and Payments (BEAR/BFTI)		
70	Incoming Payments Household Movers		

In addition to the process documentation noted above, the program and OIO identified 181 detailed functional requirements. These requirements may be revisited at later stages of the PAL process.

3. Summary of PAL Activities and Timeline

BHGS conducted market research activities in conjunction with four other programs at a similar point in their business modernization planning activities. This market research included numerous demonstrations of software products from DCA OIS staff and outside vendors, OIS-led strategy meetings to review software implementation options, and collection and review of implementation schedule and cost information.

PAL Stage	Timeline
Stage 1—Business Analysis	Targeted for Completion December 2019
Stage 2—Project Alternatives	Targeted for Completion January 2020
Stage 3—Project Procurement	Targeted for Completion May 2020
Stage 4—Project Execution	Targeted for Completion August 2020
Phase 1 Implementation*	Targeted for Completion April 2021
Project Completion*	Targeted for Completion February 2022
*Phase 1 implementation and project completion will be formally baselined upon Stage 4 approval. Changes to these dates may occur depending on implementation considerations identified during final project planning activities in Stage 4.	

14. Speech-Language Pathology and Audiology and Hearing Aid Dispensers Board (SLPAHADB)

1. Program Background and Context

SLPAHADB protects California consumers by promoting standards and enforcing the laws and regulations that ensure the qualifications and competence of providers of speech-language pathology, audiology, and hearing aid dispensing services. SLPAHADB regulates the practices of speech-language pathology, audiology, and hearing aid dispensing in California by licensing those who meet minimum standards of competency. Among its functions, SLPAHADB promulgates laws and regulations, issues, renews, and imposes disciplinary actions, when necessary.

2. Summary of Business Activities

SLPAHADB business activities commenced in 2019. As of October 2019, SLPAHADB and OIO resources have identified 87 As-Is processes. Could-Be processes and functional requirements will be completed once As-Is documentation is complete.

	As-Is Processes	Could-Be Processes*
1	Incoming Payments	
2	Refunds	
3	Dishonored Checks	
4	Application Intake	
5	Citation Payments	
6	Annual Report Statistics	
7	Quarterly Reports	
8	Cost Recover	
9	Probation Monitoring Costs	
10	Quarterly Reports for Probationers	
11	Restitution	
12	Biological Testing (Drug Testing)	
13	Exams	
14	Exam Retake	
15	Exam Results	
16	Fingerprint/Live Scans	
17	Duplicate or Replacement License	
18	Fee Waiver	
19	Initial License Application (Professional)	
20	Denials	
21	Change of Address	
22	Out of State	
23	Transcripts	
24	Change of Company Name	
25	Probationary License	
26	Temporary License	
27	Renewal	
28	Set to Active/Inactive	
29	CE Course Approvals	
30	CE Provider/Instructor Application	
31	License History	
32	License Verification	
33	Reissuance of Temporary RPE License	
34	Fingerprint Hard Card	
35	Employment Verification	
36	Course Evaluation for Foreign Applications	

	As-Is Processes	Could-Be Processes*
37	Course Evaluation for Non-Approved SLPA Programs	
38	Complaint Intake	
39	Complaint Referral to DOI	
40	Referral to Expert Consult	
41	Investigation Desk	
42	Referral to DOI	
43	Franchise Tax Board Offset	
44	Informal Investigation	
45	Infraction	
46	Cite and Fine	
47	Set/Remove Suspension	
48	Cite and Fine Payment Collection	
49	Stipulated Settlements	
50	Informal Conference	
51	Stipulated Surrender	
52	Admin Hearing	
53	Appeal Decision	
54	Referral to District Attorney	
55	Referral to Attorney General's Office	
56	Cite and Fine Appeals	
57	Accusation	
58	Notice to Comply	
59	Statement of Issues	
60	Mandatory Settlement Conference	
61	Probationary License	
62	Reinstatement from Probation	
63	Probation Monitoring	
64	Reinstatement from Suspension	
65	Surrender/Revocation of License	
66	Cost Recovery	
67	Subpoena Tracking	
68	Decisions	
69	Formal Discipline	
70	Field Inspections	
71	Notice of Probable Violation	
72	Withdrawals	

	As-Is Processes	Could-Be Processes*
73	Educational Letter	
74	Conditional Licenses	
75	Office Mediation	
76	Citation Withdrawal	
77	Cite and Fine Tracking	
78	Notice of Probation Violation	
79	Expert Consult	
80	District Attorney Tracking	
81	CE Audit and Tracking	
82	Interim Suspension Ordered	
83	Petition for Reinstatement	
84	Penalty Reduction	
85	Public Letter of Reprimand	
86	Injunction Filing	
87	Inspecting Hearing Aid Dispensaries	
* Could-Be processes and functional requirements will be completed once As-Is documentation is complete.		

3. Summary of PAL Activities and Timeline

PAL Stage	Timeline
Stage 1—Business Analysis	Targeted for Completion July 2020
Stage 2—Project Alternatives	Targeted for Completion November 2020
Stage 3—Project Procurement	Targeted for Completion February 2021
Stage 4—Project Execution	Targeted for Completion June 2021
Phase 1 Implementation*	Targeted for Completion June 2022
Project Completion*	Targeted for Completion June 2023

PAL Stage	Timeline
*Phase 1 implementation and project completion will be formally baselined upon Stage 4 approval. Changes to these dates may occur depending on implementation considerations identified during final project planning activities in Stage 4.	

To improve services in parallel with larger modernization efforts, SLPAHADB has implemented an interim method to allow online renewal applications.

15. California State Athletic Commission (CSAC)

1. Program Background and Context

CSAC regulates professional and amateur boxing, kick boxing, and mixed martial arts throughout the state by licensing all participants and supervising the events. CSAC is dedicated to the health, safety, and welfare of the participants in regulated competitive sporting events, through ethical and professional service.

2. Summary of Business Activities

CSAC business activities commenced in 2019. As of October 2019, CSAC and OIO resources have identified 68 As-Is processes. Could-Be processes and functional requirements will be completed once As-Is documentation is complete.

	As-Is Processes	Could-Be Processes*
1	Upgrade License	
2	Change of Address	
3	Sole Proprietor	
4	Partnership	
5	LLC	
6	Corporation	
7	DBA (Doing Business As)	
8	Change of Name	
9	Track Exam Results	
10	Exam Retake	
11	Exam Scheduling	
12	Fee Waiver: Military, Disability, Volunteer	
13	Application for Professional License	
14	Application Business or Company License	

	As-Is Processes	Could-Be Processes*
15	Issue License (Boxing, MMA, or Kick Boxing)	
16	Promoter	
17	Manager	
18	Judges	
19	Referee	
20	Timekeeper	
21	Professional Trainer	
22	Seconds (Chief Seconds)	
23	Athlete Boxer	
24	Athlete MMA	
25	Athlete Kick Boxing	
26	Matchmaker	
27	Assistant Matchmaker	
28	Temp License	
29	License Renewal	
30	Set to Active	
31	Set to Inactive	
32	License Cancelled	
33	Set to Retired	
34	Medical Documentation Required for Licensure	
35	Advanced Medical Documentation Required for Licensure	
36	Global Identification Cards (Boxers)	
37	MMA Identification Cards	
38	Renewal of Global/MMA Identification Cards	
39	Fingerprints for Licensure (Promoters, Managers, and Matchmakers)	
40	Contract Tracking (Manager and Fighting Contract)	
41	Event Permits	
42	Event Tracking	
43	Appeal Decision	
44	Weight Cutting	
45	Cite and Fine	

	As-Is Processes	Could-Be Processes*
46	Complaint Investigation DOI	
47	Complaint Investigation Non-DOI	
48	Desk Investigations	
49	Formal Investigations	
50	Set to Suspended	
51	Reinstatement	
52	Cost Recovery	
53	Fingerprint Results	
54	Formal Discipline	
55	Inspection	
56	Remove Suspension	
57	Statement of Issues AG	
58	Subpoena Tracking	
59	Unlicensed Activity	
60	Arbitration Cases	
61	Cashiering	
62	Duplicate License	
63	License Certification or Verification	
64	Organizational Records	
65	Noncomplaints	
66	Replacement License	
67	Refunds	
68	Dishonored Checks	
* Could-Be processes and functional requirements will be completed once As-Is documentation is complete.		

3. Summary of PAL Activities and Timeline

PAL Stage	Timeline
Stage 1—Business Analysis	Targeted for Completion October 2020
Stage 2—Project Alternatives	Targeted for Completion January 2021
Stage 3—Project Procurement	Targeted for Completion May 2021

PAL Stage	Timeline
Stage 4—Project Execution	Targeted for Completion September 2021
Phase 1 Implementation*	Targeted for Completion September 2022
Project Completion*	Targeted for Completion October 2023
*Phase 1 implementation and project completion will be formally baselined upon Stage 4 approval. Changes to these dates may occur depending on implementation considerations identified during final project planning activities in Stage 4.	

16. Professional Fiduciaries Bureau (PFB)

1. Program Background and Context

PFB regulates nonfamily member professional fiduciaries, including conservators, guardians, trustees, and agents under durable power of attorney as defined by the Professional Fiduciaries Act. Professional fiduciaries provide critical services to seniors, persons with disabilities, and children. Professional fiduciaries manage matters for clients including daily care, housing, and medical needs, and offer financial management services ranging from basic bill paying to estate and investment management.

PFB's fund cannot support a large-scope information technology implementation at this time. However, PFB's immediate modernization need can be met via technology solutions currently available within the DCA portfolio. PFB will also utilize redirected staff for implementation.

2. Summary of Business Activities

PFB business activities continued in 2019. As of October 2019, PFB and OIO resources have mapped 21 As-Is processes and 20 Could-Be processes. Functional requirements are targeted for completion before the end of 2019.

	As-Is Processes		Could-Be Processes
1	Duplicate/Replace License	1	Duplicate/Replace License
2	License Certification or Verification	2	License Certification or Verification
3	Noncomplaint Inquiries	3	Noncomplaint Inquires
4	Cashiering	4	Course Review/Approval

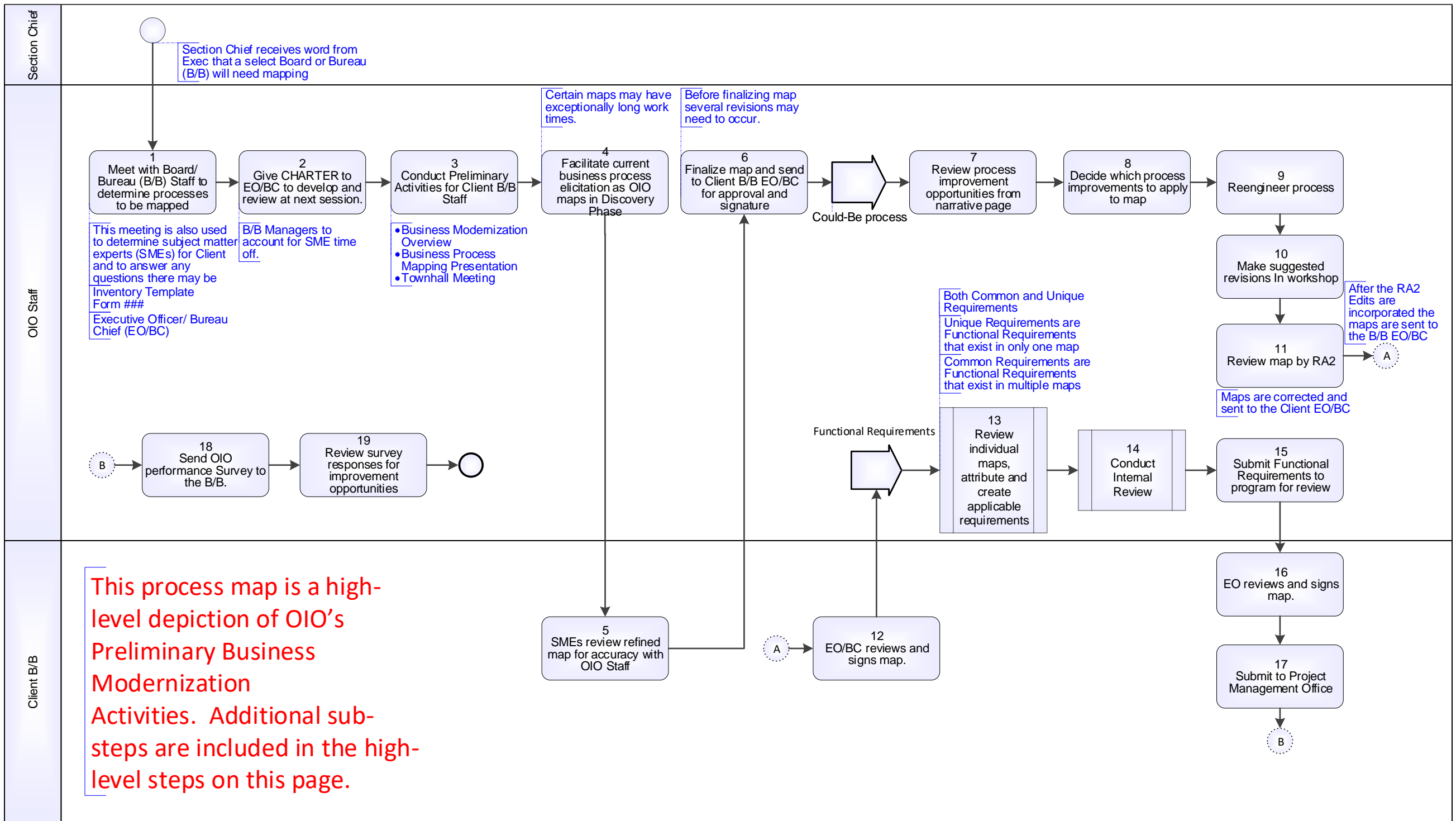
As-Is Processes		Could-Be Processes	
5	Refunds	5	Course Removal
6	Course Review/Approval	6	Initial Application
7	Course Removal	7	Issue License
8	Initial Application	8	Denial of Application
9	Issue License	9	Exam Process
10	Denial of Application	10	Exam Retake
11	Exam Process	11	License Renewal
12	Exam Retake	12	Set to Active
13	License Renewal	13	Change of Name/Address
14	Set to Active	14	Complaint Intake
15	Change of Name/Address	15	Investigation
16	Complaint Intake	16	Formal Discipline
17	Investigation	17	Cite and Fine
18	Formal Discipline	18	Appeal Decision
19	Cite and Fine	19	Probation Monitoring
20	Appeal Decision	20	Delinquent to Active
21	Probation Monitoring		

3. Summary of PAL Activities and Timeline

PAL Stage	Timeline
Stage 1—Business Analysis	CDT Approved
Stage 2—Project Alternatives	Targeted for Completion February 2020
Stage 3—Project Procurement*	Targeted for Completion April 2020
Stage 4—Project Execution*	Targeted for Completion May 2020
Phase 1 Implementation**	Targeted for Completion August 2021
Project Completion**	Targeted for Completion August 2022

PAL Stage	Timeline
	<p>*Internal software applications are being extended and there are no new major procurements.</p> <p>**Phase 1 implementation and project completion will be formally baselined upon Stage 4 approval. Changes to these dates may occur depending on implementation considerations identified during final project planning activities in Stage 4.</p>

Attachment 1 – Business Activities Process

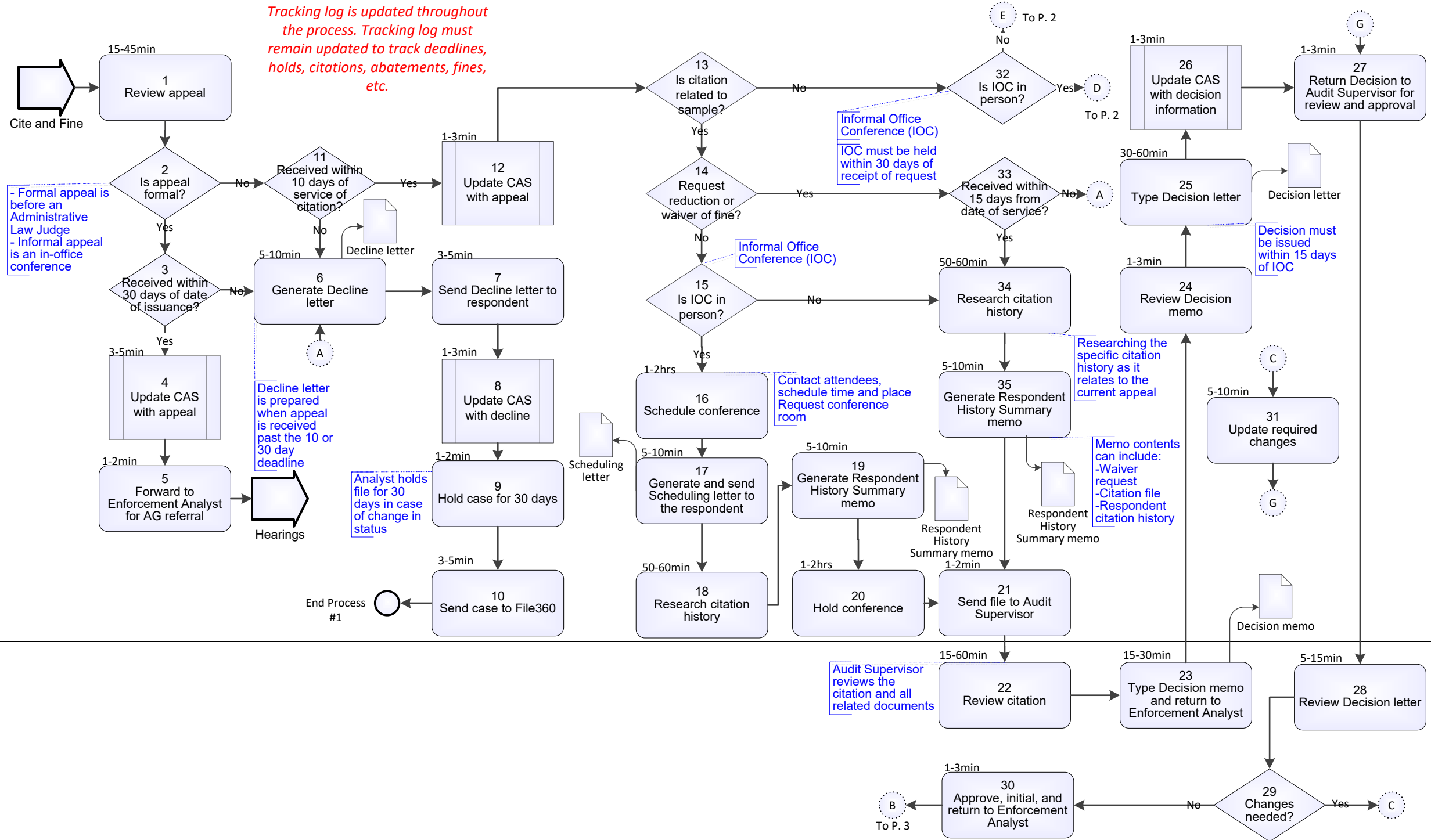


This process map is a high-level depiction of OIO's Preliminary Business Modernization Activities. Additional sub-steps are included in the high-level steps on this page.

Attachment 1 – Business Activities Process

<p>Narrative Description of Business Process</p> <p><u>Trigger:</u> Section Chief receives word from Exec. that B/B is ready to begin Business Modernization.</p> <ol style="list-style-type: none"> 1. Meet with Board/Bureau (B/B) Staff to determine processes to be mapped. 2. Give CHARTER to EO/BC to develop and review at next session. 3. Conduct Preliminary Activities for Client B/B Staff. 4. Facilitate current business process elicitation as OIO maps in Discovery Phase. 5. SMEs review refined map for accuracy with OIO Staff. 6. Finalize map and send to Client B/B EO/BC for approval and signature. 7. Review process improvement opportunities from narrative page. 8. Decide which process improvements to apply to map. 9. Reengineer process. 10. Make suggested revisions In workshop. 11. Review map by RA2. 12. EO reviews and signs map. 13. Review individual maps, attribute and create applicable requirements. 14. Conduct Internal Review. 15. Submit Functional Requirements to program for review. 16. EO reviews and signs map. 17. Submit to Project Management Office. 18. Send OIO performance Survey to the B/B. 19. Review survey responses for improvement opportunities. <p><u>End points and duration:</u> (Assume 65 maps for Functional Requirement and Total time Calculations) Preliminary activities/As-Is Duration ≈ 18 hrs 20 min/Map; with ≈ 23 days wait time. Could Be Duration: ≈ 7 hrs 40 min /Map; with ≈ 18 days wait time. Functional Requirements Duration: ≈ 63 hrs 20 mins; with ≈ 21 days wait time. Total Time: ≈ 1748 hrs 20 mins; with ≈ 60 days wait time. Completed Process maps and Functional Requirements Package submitted to Project Management Office.</p>	<p>Associated Documents and Artifacts</p> <ul style="list-style-type: none"> • Process maps for all processes that were requested by client B/B. • Functional Requirements
	<p>Critical Information Inputs</p> <ul style="list-style-type: none"> • Data inputs from Subject Matter Experts. (SMEs)
	<p>Process Improvement Opportunities <i>(including applicable automation recommendations)</i></p> <ul style="list-style-type: none"> • Require SME's and B/B Management to return reviewed maps 5 business days after receiving them in order for OIO staff to meet deadlines.
	<p>Authority Cited</p> <ul style="list-style-type: none"> • Request BMP specific Law & Regulation information from clients OR find Laws & Regulations on B/B's website (if applicable). Some processes will not have any Laws & Regulations associated with them.
<p>Contributor</p> <ul style="list-style-type: none"> • OIO Staff 	

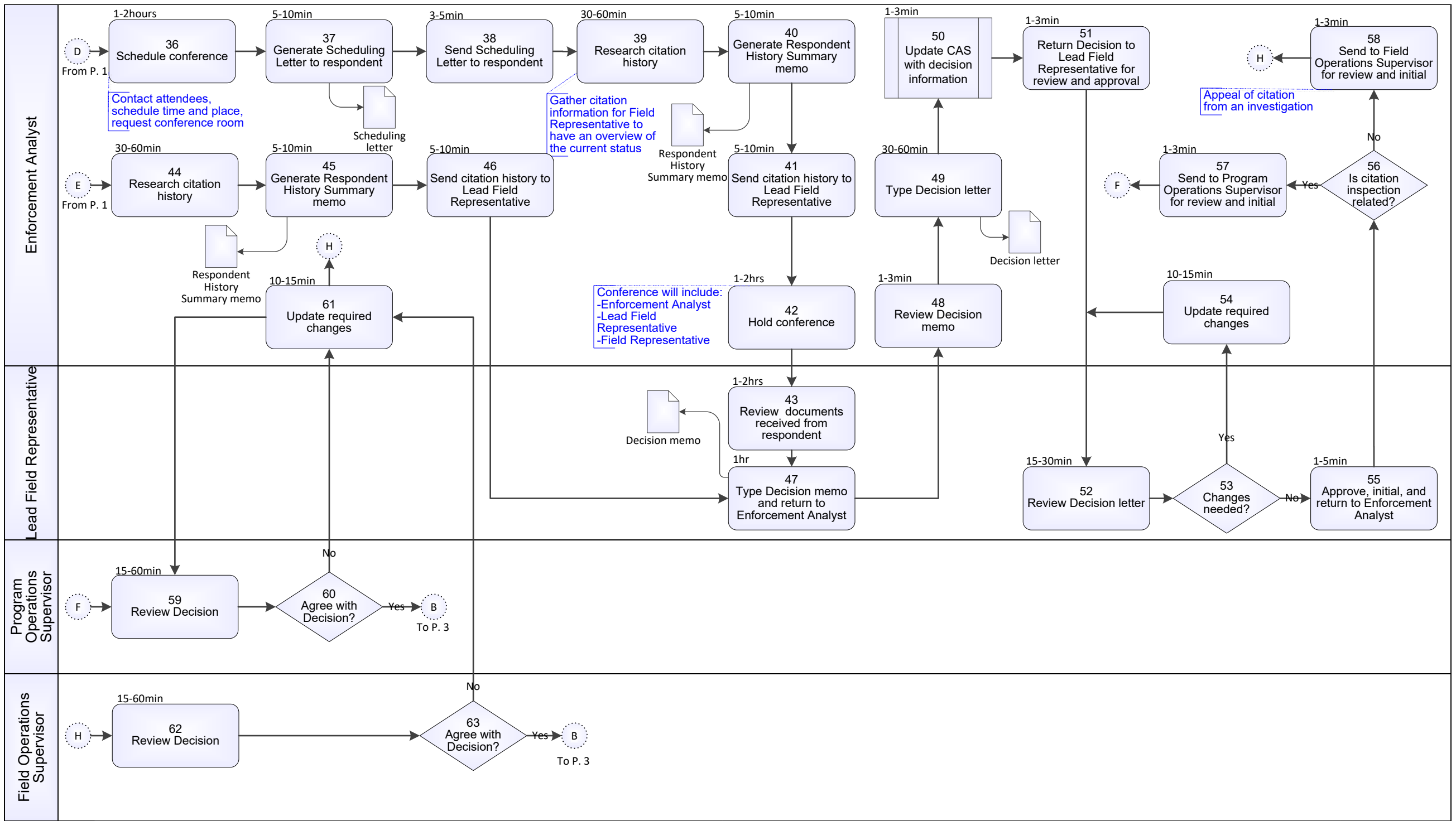
Tracking log is updated throughout the process. Tracking log must remain updated to track deadlines, holds, citations, abatements, fines, etc.

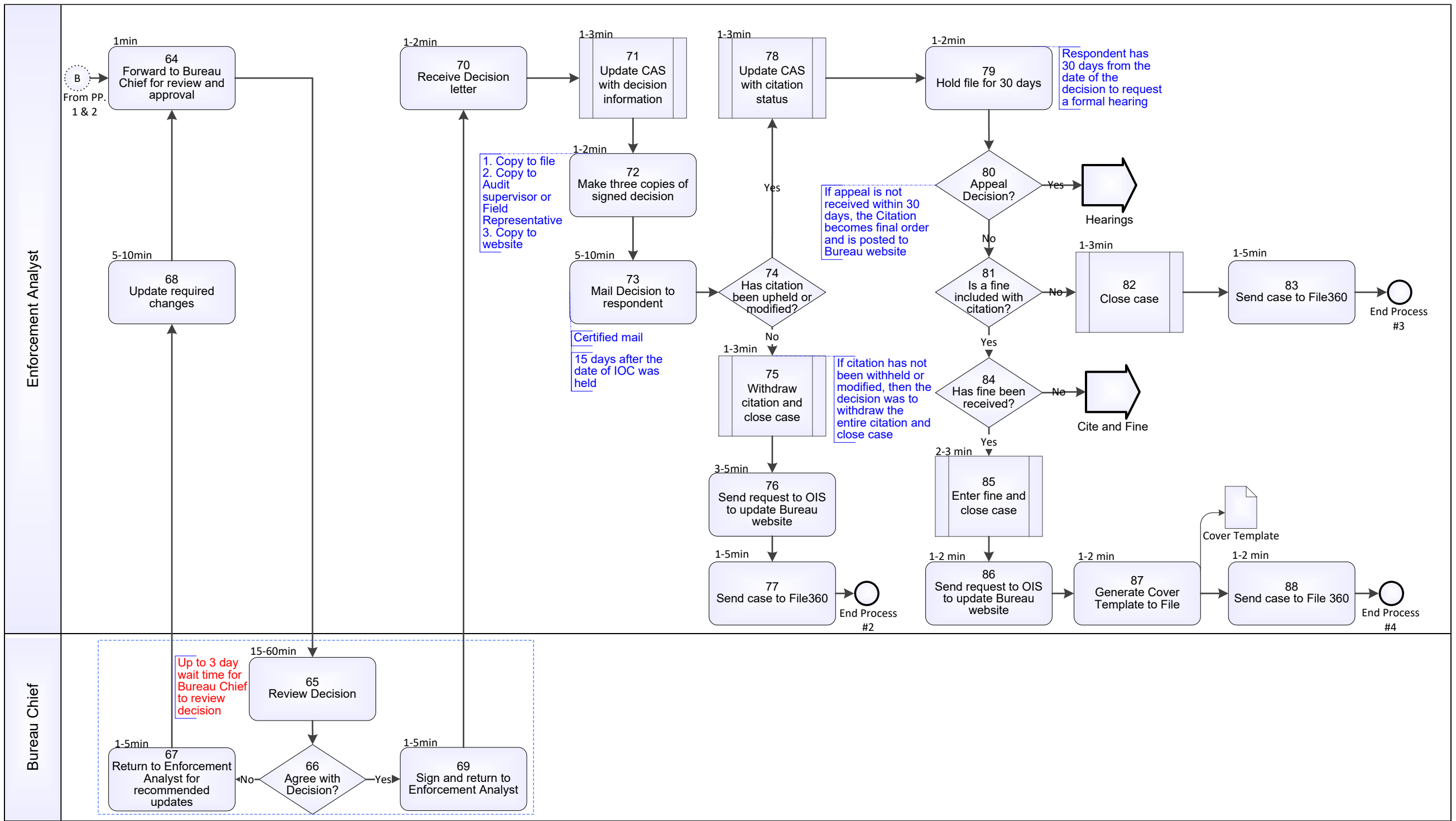


Enforcement Analyst

Audit Supervisor







Narrative Description of Business Process

Blue – task duration
 Red – wait time
 Green – external to Board

Trigger: Licensee or Cited person mails, emails, or faxes a citation appeal.

- 1. Review appeal (15-45min)
- 2. Is appeal formal? *If yes, proceed to step 3. If no, proceed to step 11*
- 3. Received within 30 days of date of issuance? *If yes, proceed to step 4*
If no, proceed to step 6
- 4. Update CAS with appeal (3-5min)
- 5. Forward to Enforcement Analyst for AG referral. **Case is referred to Hearing Process.** (1-2min)
- 6. Generate Decline letter (5-10min)
- 7. Send Decline letter to respondent (3-5min)
- 8. Update CAS with decline (1-3min)
- 9. Hold case for 30 days (1-2min)
- 10. Send case to File360. **End process #1** (3-5min)
- 11. Received within 10 days of service of citation? *If yes, proceed to step 12*
If no, proceed to step 6
- 12. Update CAS with appeal (1-3min)
- 13. Is citation related to sample? *If yes, proceed to step 14*
If no, proceed to step 32
- 14. Request reduction or waiver of fine? *If yes, proceed to step 33*
If no, proceed to step 15
- 15. Is IOC in person? *If yes, proceed to step 16*
If no, proceed to step 33
- 16. Schedule conference (1-2hrs)
- 17. Generate and send Scheduling letter to the respondent (5-10min)
- 18. Research citation history (50-60min)
- 19. Generate Respondent History Summary memo (5-10min)
- 20. Hold conference (1-2hrs)
- 21. Send file to Audit Supervisor (1-2min)
- 22. Review citation (15-60min)
- 23. Type Decision memo and return to Enforcement Analyst (15-30min)
- 24. Review Decision memo (1-3min)
- 25. Type Decision letter (30-60min)

Narrative Description of Business Process Continued

- 26. Update CAS with decision information (1-3min)
- 27. Return Decision to Audit Supervisor for review and approval (1-3min)
- 28. Review Decision letter (5-15min)
- 29. Changes needed? *If yes, proceed to step 31.*
If no, proceed to step 30
- 30. Approve, initial, and return to Enforcement Analyst. *Proceed to step 63* (1-3min)
- 31. Update required changes. *Return to step 27* (5-10min)
- 32. Is IOC in person? *If yes, proceed to step 36. If no, proceed to step 44*
- 33. Received within 15 days from date of service? *If yes, proceed to step 34.*
If no, return to step 6
- 34. Research citation history (50-60min)
- 35. Generate Respondent History Summary memo. *Return to step 21* (5-10min)
- 36. Schedule conference (1-2hrs)
- 37. Generate Scheduling Letter to respondent (5-10min)
- 38. Send Scheduling Letter to respondent (3-5min)
- 39. Research citation history (30-60min)
- 40. Generate Respondent History Summary memo (5-10min)
- 41. Send citation history to Lead Field Representative (5-10min)
- 42. Hold conference (1-2hrs)
- 43. Review documents received from respondent (1-2hrs)
- 44. Research citation history (30-60min)
- 45. Generate Respondent History Summary memo (5-10min)
- 46. Send citation history to Lead Field Representative (5-10min)
- 47. Type Decision memo and return to Enforcement Analyst (1hr)
- 48. Review Decision memo (1-3min)
- 49. Type Decision letter (30-60min)
- 50. Update CAS with decision information (1-3min)
- 51. Return Decision to Lead Field Representative for review and approval (1-3min)
- 52. Review Decision letter (15-30min)
- 53. Changes needed? *If yes, proceed to step 54. If no, proceed to step 55*
- 54. Update required changes. *Return to step 52* (10-15min)
- 55. Approve, initial, and return to Enforcement Analyst (1-5min)
- 56. Is citation inspection related? *If yes, proceed to step 57. If no, proceed to step 58*
- 57. Send to Program Operations Supervisor for review and initial (1-3min)
- 58. Send to Field Operations Supervisor for review and initial (1-3min)
- 59. Review Decision (15-60min)



As-Is Cite and Fine Appeal

Approved on: _____

By: _____ (Bureau Chief)

SBC – ENF 23 | Sample Bureau of California

Narrative Description of Business Process (Continued)

- 60. Agree with decision? *If yes, proceed to step 64. If no, proceed to step 61*
- 61. Update required changes
- 62. Review Decision
- 63. Agree with Decision? *If yes, proceed to step 64. If no, proceed to step 61*
- 64. Forward to Bureau Chief for review and approval
- 65. Review Decision
- 66. Agree with Decision? *If yes, proceed to step 31. If no, proceed to step 30*
- 67. Return to Enforcement Analyst for recommended updates
- 68. Update required changes
- 69. Sign and return to Enforcement Analyst
- 70. Receive Decision letter
- 71. Update CAS with decision information
- 72. Make three copies of signed decision
- 73. Mail Decision to respondent
- 74. Has citation been upheld or modified? *If yes, proceed to step 78.*
If no, proceed to step 75
- 75. Withdraw citation and close case
- 76. Send request to OIS to update Bureau website
- 77. Send case to File360. **End Process #2**
- 78. Update CAS with citation status
- 79. Hold file for 30 days
- 80. Appeal Decision? *If yes, case is referred to Hearing Process*
If no, proceed to step 81
- 81. Is a fine included with citation? *If yes, proceed to step 84*
If no, proceed to step 82
- 82. Close case
- 83. Send case to File360. **End Process #3**
- 84. Has fine been received? *If yes, proceed to step 85*
If no, case is referred to Cite and Fine
- 85. Enter fine and close case
- 86. Send request to OIS to update Bureau website
- 87. Generate Cover Template to File
- 88. Send case to File 360. **End Process #4**

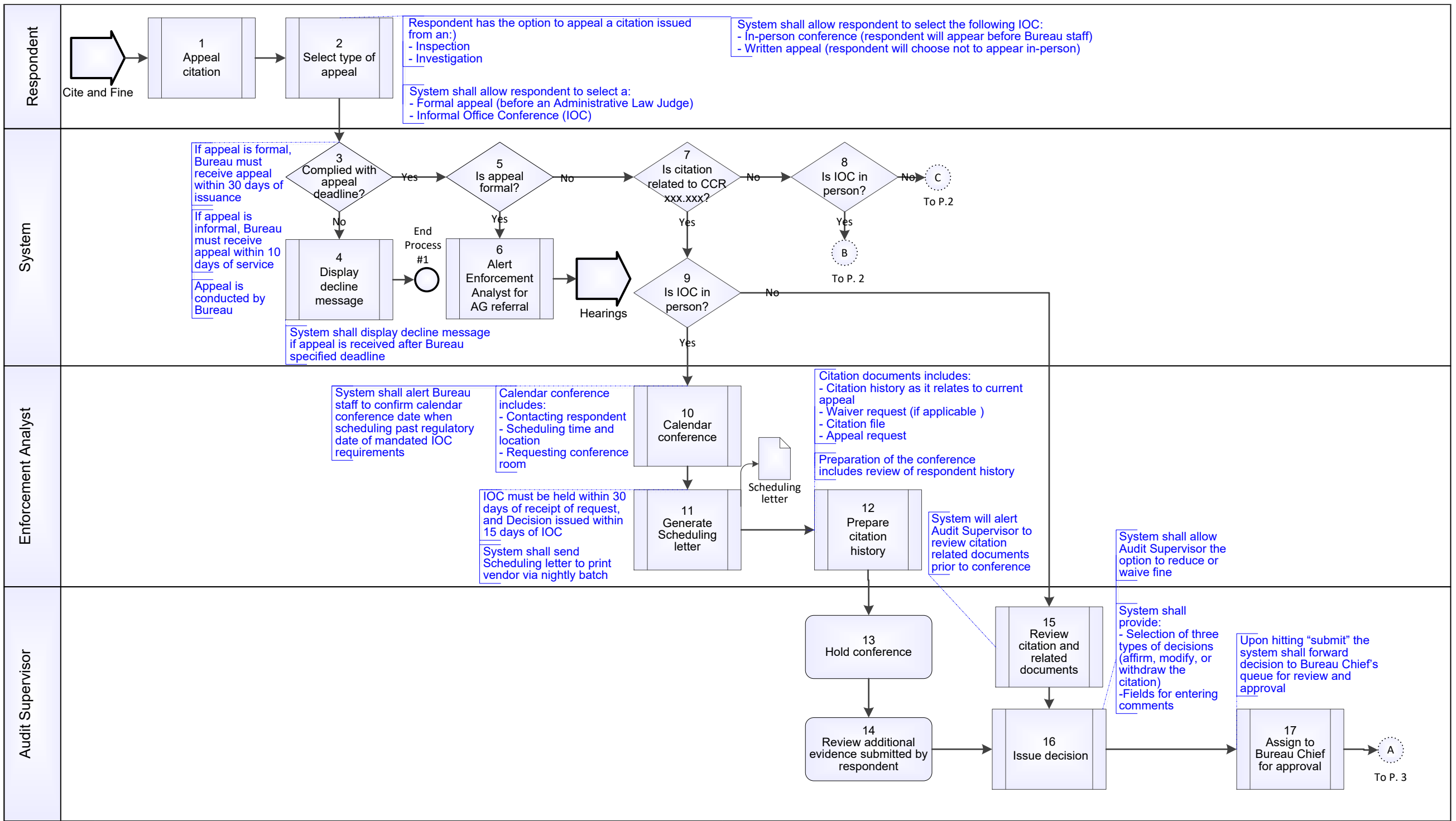
Narrative Description of Business Process (Continued)

- End points and duration:
- End Process #1: File Decline Letter in File360 after being mailed to correspondent and updated in CAS (process ends at step 10) (process time between 28min to 1hr10min)
 - End Process #2: Send file to File360 and withdraw citation in CAS if citation has not been upheld or modified (Process ends at step 77) (process time between 12hrs15min to 23hrs34min, **up to 3 days wait time**)
 - End Process #3: Send file to File360 and close case when fine is not included with citation (process ends at step 83) (process time between 12hrs14min to 23hrs34min, **up to 3 days wait time**)
 - End Process #4: Fine was received with citation, fine was entered in CAS, and file was sent to File360 (process ends at step 88) (process time between 12hrs15min to 23hrs27min, **up to 3 days wait time**)

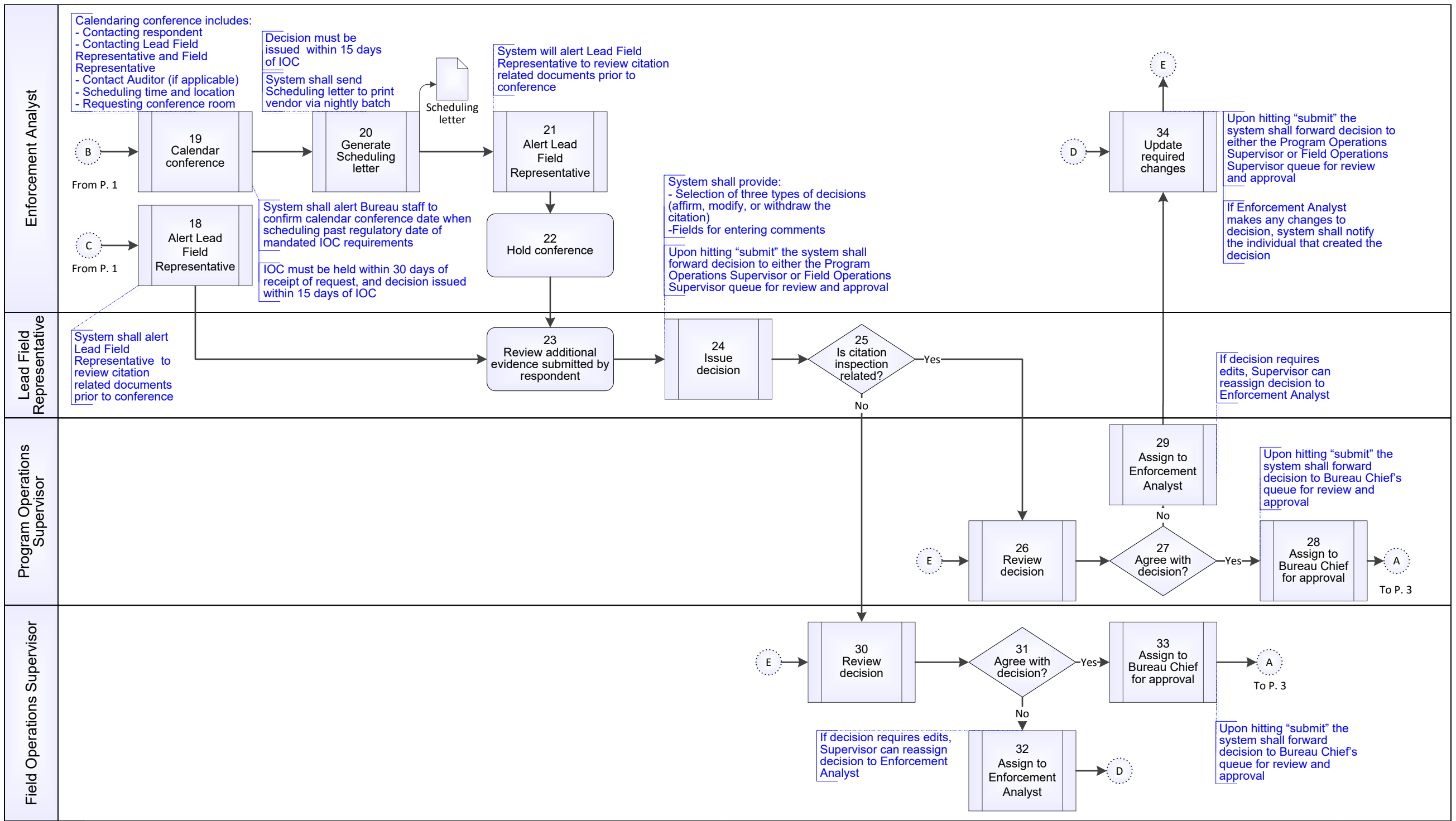


<p>Process Improvement Opportunities <i>(including applicable automation recommendations)</i></p> <ul style="list-style-type: none"> • Automation of letters • System can track due dates and deadlines • Ability to cross reference violation with appropriate Bureau codes • Ability to view status and pay fines online • Ability to appeal online (via Bureau website), along with track status of appeal
<p>Contributor</p> <ul style="list-style-type: none"> • SME Number One • SME Number Two

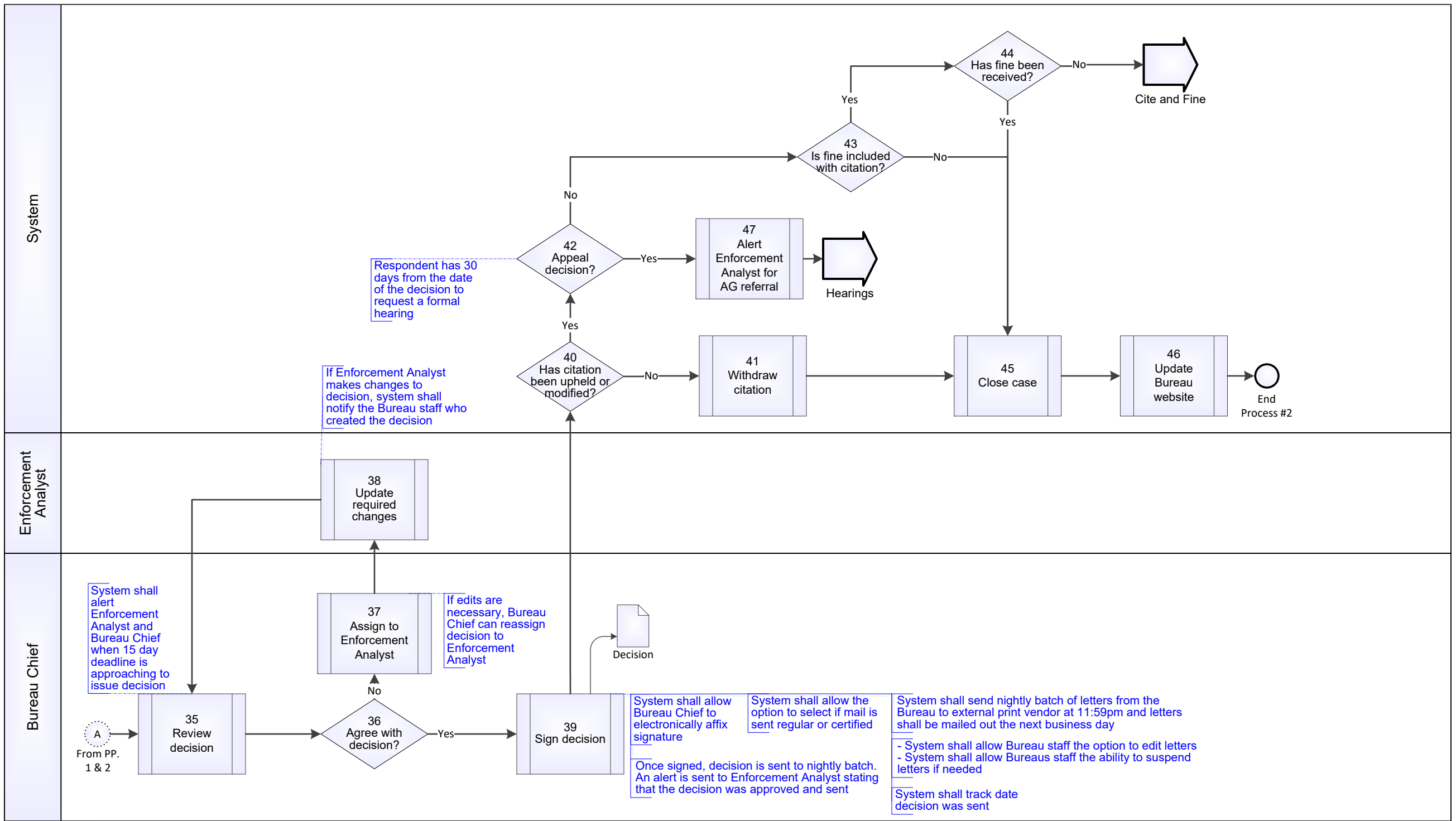
Attachment 3 - Could-Be Process Map Example



Attachment 3 - Could-Be Process Map Example



Attachment 3 - Could-Be Process Map Example



Attachment 3 - Could-Be Process Map Example

Narrative Description of Business Process

Trigger: Respondent appeals citation.

1. Appeal citation
2. Select type of appeal
3. Complied with appeal deadline? If Yes proceed to step 5, if No proceed to step 4
4. Display decline message **End Process #1**
5. Is appeal formal? If Yes proceed to step 6, if No proceed to step 7
6. Alert Enforcement Analyst for AG referral
7. Is citation related to CCR xxx.xxx? If Yes proceed to step 9, if No proceed to step 8
8. Is IOC in person? If Yes proceed to step 19, if No proceed to step 18
9. Is IOC in person? If Yes proceed to step 10, if No proceed to step 14
11. Generate Scheduling letter
12. Research citation history
13. Hold conference
14. Review additional evidence submitted by respondent
15. Review citation
16. Issue Decision
17. Assign to Bureau Chief for approval
18. Alert Lead Field Representative
19. Calendar conference
20. Generate Scheduling letter
21. Alert Lead Field Representative
22. Hold conference
23. Review additional evidence submitted by respondent
24. Issue Decision
25. Is citation inspection related? If Yes proceed to step 26, if No proceed to step 30
26. Review Decision
27. Agree with Decision? If Yes proceed to step 28, if No proceed to step 29
28. Assign to Bureau Chief for approval
29. Assign to Enforcement Analyst
30. Review Decision

Narrative Description of Business Process Continued

31. Agree with Decision? If Yes proceed to step 33, if No proceed to step 32
32. Assign to Enforcement Analyst
33. Assign to Bureau Chief for approval
34. Update required changes
35. Review Decision
36. Agree with Decision? If Yes proceed to step 39, if No proceed to step 37
37. Assign to Enforcement Analyst
38. Update required changes
39. Sign Decision
40. Has citation been upheld or modified? If Yes proceed to step 42, if No proceed to step 41
41. Withdraw citation
42. Appeal Decision? If Yes proceed to step 47, if No proceed to step 43
43. Is fine included with citation? If Yes proceed to step 44, if No proceed to step 45
44. Has fine been received? If Yes proceed to step 45, if No proceed to Cite and Fine
45. Close case
46. Update Bureau website **End Process #2**
47. Alert Enforcement Analyst for AG referral

End points:

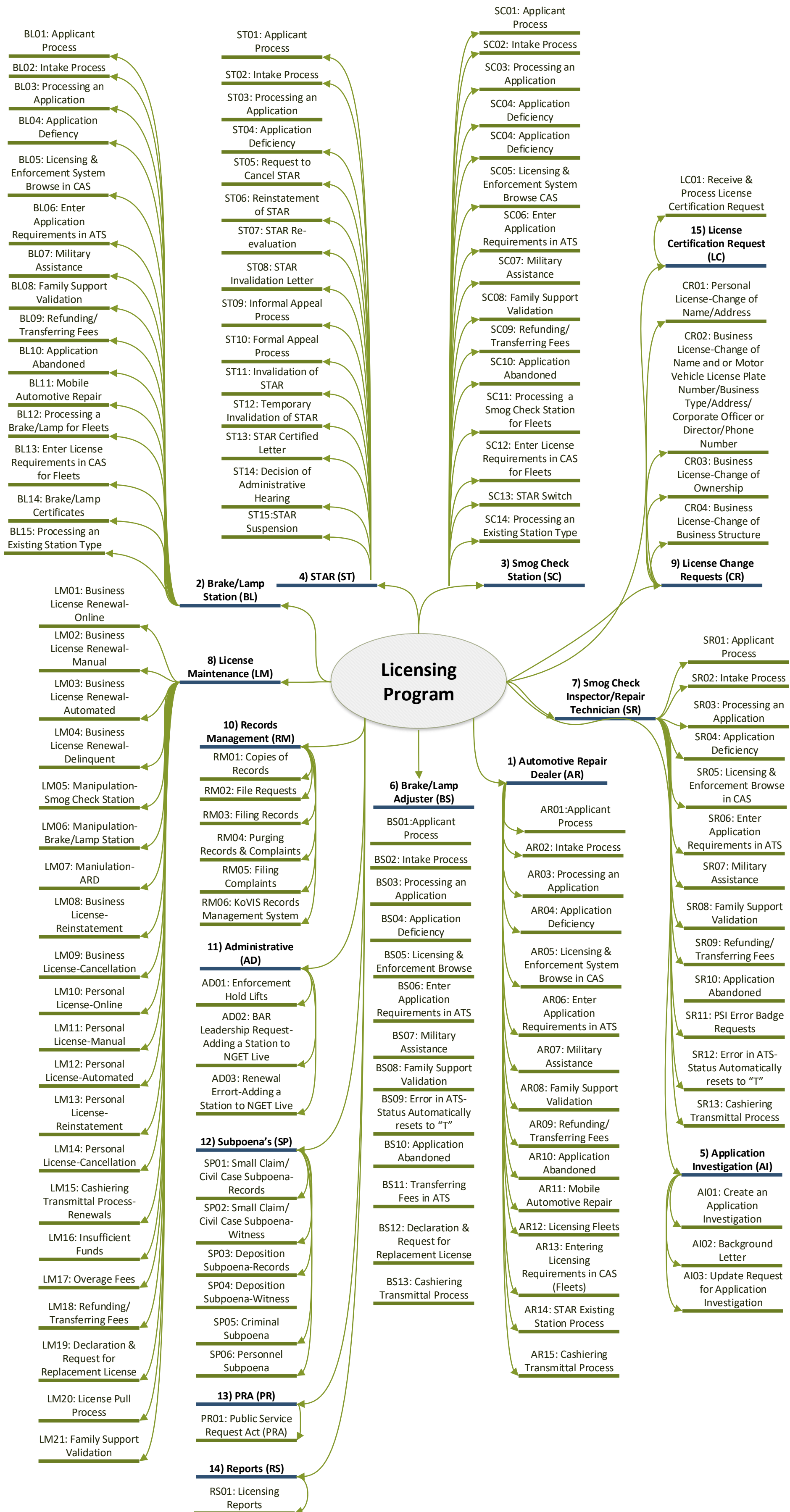
End Process #1: If respondent does not comply with appeal deadline, system shall display decline message.

End Process #2: Citation has been received and case has been closed.

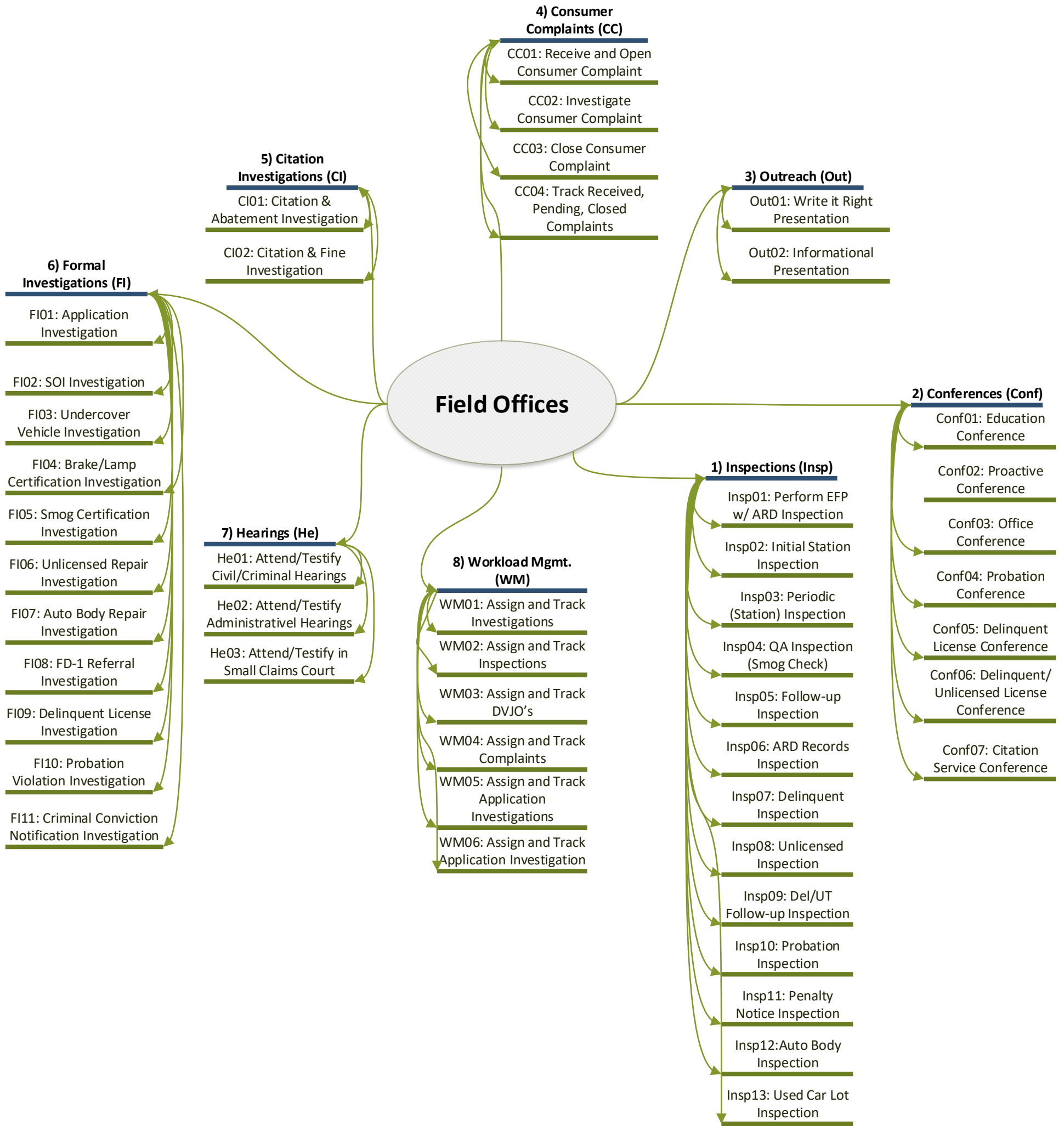


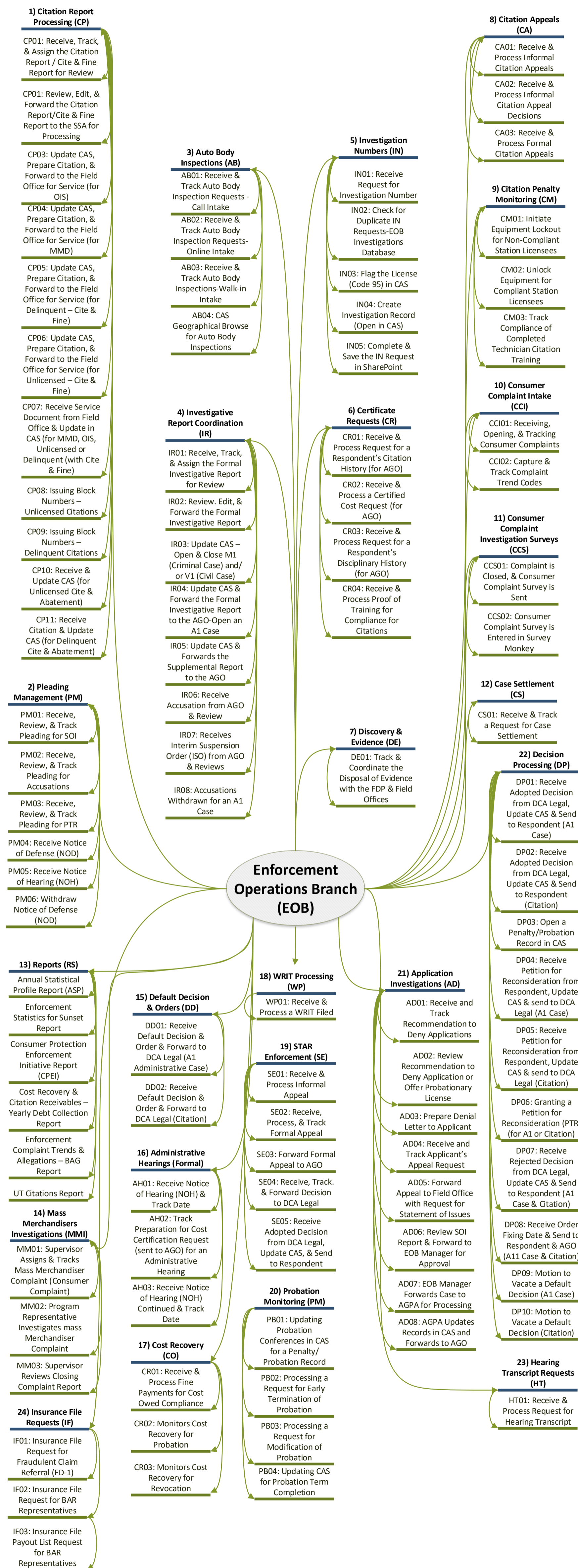
Attachment 3 - Could-Be Process Map Example

<p>Associated Documents and Artifacts</p> <ul style="list-style-type: none"> • Citation letters • Decline letter • Decision letter • Memo's • Scheduling letter • Cover letter • Appeal • Waiver of fine • Citation file/related documents 	<p>Improvements from the As-Is (continued):</p> <ul style="list-style-type: none"> • System shall have the ability to batch letters overnight • System shall allow Bureau staff the ability to suspend letters for editing
<p>Critical Information Inputs</p> <ul style="list-style-type: none"> • Licensee numbers • Informal Conference Dates • Decision (Affirm, Modify, Withdraw, Waive or Reduce Fine) • Type of appeal (Endowment Care, Inspection, Investigation) • Citation information (Reduction or waiver of fine); Citation; Citation with Fine; Citation with Abatement; Citation with Fine & Abatement) • Informal Office Conference or Formal Appeal • Date appeal was received • Date Informal Conference was held • Date decision was issued 	<p>Authority Cited</p> <ul style="list-style-type: none"> • CCR § XXXX-XXXX • CCR § XXXX-XXXX • CCR § XXXX • Business & Professions Code § XXXX.XX
<p>Improvements from the As-Is:</p> <ul style="list-style-type: none"> • System shall allow respondent to go online and select the following appeal: <ul style="list-style-type: none"> - Formal appeal (before an Administrative Law Judge) - Informal Office Conference (IOC) - (appeal is heard by Bureau staff) • System shall allow respondent to go online select the following IOC: <ul style="list-style-type: none"> - In-person conference (respondent will appear before Bureau staff) - Written appeal (respondent will chose not to appear in-person) • Ability to automatically generate letters • System can track due dates and deadlines • Ability to cross reference violation with appropriate Bureau codes • Ability to appeal online (via Bureau website) • Ability for respondent to track status of appeal and pay fines online • System can update Bureau website with citation status • Ability for Bureau Chief to affix signature • System shall display decline message if appeal is received after Bureau specified deadline • System shall allow Bureau staff to calendar conference dates and generate scheduling letter • System shall allow Bureau Chief to electronically affix signature 	<p>Contributor</p> <ul style="list-style-type: none"> • SME Number One • SME Number Two



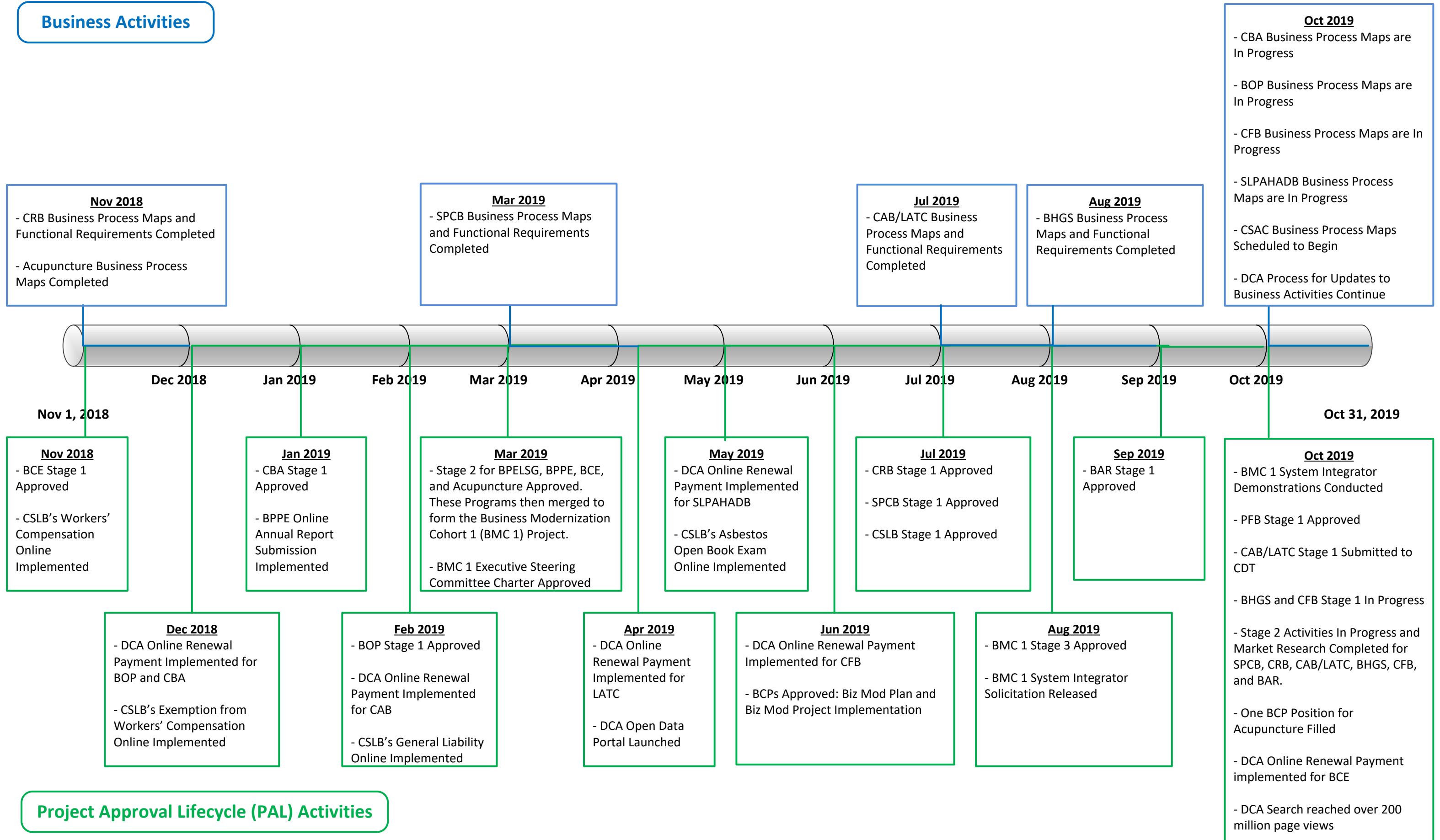
Attachment 4b – Bureau of Automotive Repair’s Field Offices’ Business Functions





Attachment 5 - BUSINESS MODERNIZATION 2019 ANNUAL REPORT TIMELINE

Business Activities



Attachment 6 - Business Modernization Summary Status

October 2019

DCA Program	Complete Business Activities	Complete PAL Stage 1	Complete PAL Stage 2	Complete PAL Stage 3	Complete PAL Stage 4	Phase I Implementation (i.e., MVP)	Project Completion
Acupuncture Board¹							
December 2017 Report	9/4/2018	3/15/2019	6/28/2019	9/24/2019	12/31/2019	1/7/2021	1/7/2022
December 2018 Update	11/9/2018	3/15/2019	6/28/2019	9/24/2019	12/31/2019	1/7/2021	1/7/2022
May 2019 Update	Complete	Complete	Complete	8/31/2019	10/31/2019	7/1/2020	12/31/2020
August 2019 Update	Complete	Complete	Complete	8/31/2019	12/2/2019	7/1/2020	6/30/2021
October 2019 Update	Complete	Complete	Complete	Complete	1/10/2020	7/1/2020	6/30/2021
Comments	Program has received additional expenditure authority in FY 2019/20 to begin project implementation.						
Board of Accountancy¹							
December 2017 Report	8/8/2019	12/31/2019	3/27/2020	6/23/2020	9/24/2020	9/1/2021	9/2/2022
December 2018 Update	8/8/2020	12/13/2020	3/27/2021	6/23/2021	9/24/2021	9/1/2022	9/2/2023
May 2019 Update	8/8/2020	Complete	3/27/2021	6/23/2021	9/24/2021	9/1/2022	9/2/2023
August 2019 Update	8/8/2020	Complete	3/27/2021	6/23/2021	9/24/2021	9/1/2022	9/2/2023
October 2019 Update	8/8/2020	Complete	3/27/2021	6/23/2021	9/24/2021	9/1/2022	9/2/2023
Comments	Board of Accountancy received funding in FY 2019/20 to augment resources to complete Business Activities. Business Activities began in July 2019.						
Bureau of Automotive Repair¹							
2017 Report	12/17/2019	4/24/2020	7/3/2020	9/11/2020	11/20/2020	N/A	12/30/2022
2018 Update	12/17/2019	4/24/2020	7/3/2020	9/11/2020	11/20/2020	N/A	12/30/2022
May 2019 Update	12/17/2019	4/24/2020	7/3/2020	9/11/2020	11/20/2020	N/A	12/30/2022
August 2019 Update	12/17/2019	4/24/2020	7/3/2020	9/11/2020	11/20/2020	N/A	12/30/2022
October 2019 Update	12/17/2019	Complete	7/3/2020	9/11/2020	11/20/2020	N/A	12/30/2022
Comments							
Board of Chiropractic Examiners¹							
December 2017 Report	2/6/2018	9/12/2018	12/26/2018	3/22/2019	6/21/2019	7/1/2020	7/1/2021
December 2018 Update	2/6/2018	9/12/2018	12/26/2018	3/22/2019	7/2/2019	7/14/2020	7/14/2021
May 2019 Update	Complete	Complete	Complete	8/31/2019	10/31/2019	7/1/2020	12/31/2020
August 2019 Update	Complete	Complete	Complete	8/31/2019	12/2/2019	7/1/2020	6/30/2021
October 2019 Update	Complete	Complete	Complete	Complete	1/10/2020	7/1/2020	6/30/2021
Comments	Program has received additional expenditure authority in FY 2019/20 to begin project implementation.						

Attachment 6 - Business Modernization Summary Status

October 2019

DCA Program	Complete Business Activities	Complete PAL Stage 1	Complete PAL Stage 2	Complete PAL Stage 3	Complete PAL Stage 4	Phase I Implementation (i.e., MVP)	Project Completion	
Bureau of Household Goods and Services¹								
	December 2017 Report	6/30/2020	9/11/2020	1/11/2021	4/7/2021	7/13/2021	3/29/2023	3/28/2024
	December 2018 Update	1/10/2020	4/13/2020	7/27/2020	10/21/2020	4/16/2021	1/2/2023	1/2/2024
	May 2019 Update	1/10/2020	4/13/2020	7/27/2020	10/21/2020	4/16/2021	1/2/2023	1/2/2024
	August 2019 Update	8/31/2019	12/1/2019	3/1/2020	7/1/2020	10/1/2020	10/1/2021	4/1/2022
	October 2019 Update	Complete	12/1/2019	1/15/2020	5/15/2020	8/1/2020	4/1/2021	2/1/2022
	Comments	Market Research is being conducted in parallel with four other programs to realize efficiency of planning activities. This effort resulted in shifting of some milestone dates.						
Board of Pharmacy¹								
	December 2017 Report	10/13/2021	1/12/2022	5/4/2022	8/16/2022	11/29/2022	6/28/2024	7/1/2025
	December 2018 Update	10/31/2021	1/12/2022	5/4/2022	8/16/2022	11/29/2022	6/28/2024	7/1/2025
	May 2019 Update	10/31/2021	Complete	5/4/2022	8/16/2022	11/29/2022	6/28/2024	7/1/2025
	August 2019 Update	10/31/2021	Complete	5/4/2022	8/16/2022	11/29/2022	6/28/2024	7/1/2025
	October 2019 Update	10/31/2021	Complete	5/4/2022	8/16/2022	11/29/2022	6/28/2024	7/1/2025
	Comments	Board of Pharmacy received funding in FY 2019/20 to augment resources to complete Business Activities. Business Activities began in July 2019.						
Board of Professional Engineers, Land Surveyors, and Geologists¹								
	December 2017 Report	12/29/2017	2/1/2018	5/11/2018	8/6/2018	10/30/2018	11/1/2019	11/3/2020
	December 2018 Update	12/29/2017	2/1/2018	5/11/2018	8/6/2018	11/12/2018	11/13/2019	11/13/2020
	May 2019 Update	Complete	Complete	Complete	8/31/2019	10/31/2019	7/1/2020	10/31/2020
	August 2019 Update	Complete	Complete	Complete	8/31/2019	12/2/2019	7/1/2020	6/30/2021
	October 2019 Update	Complete	Complete	Complete	Complete	1/10/2020	7/1/2020	6/30/2021
	Comments	Program has received additional expenditure authority in FY 2019/20 to begin project implementation.						

Attachment 6 - Business Modernization Summary Status

October 2019

DCA Program	Complete Business Activities	Complete PAL Stage 1	Complete PAL Stage 2	Complete PAL Stage 3	Complete PAL Stage 4	Phase I Implementation (i.e., MVP)	Project Completion	
Bureau of Private Postsecondary Education¹								
	December 2017 Report	1/10/2018	5/18/2018	9/18/2018	12/25/2018	7/2/2019	7/2/2020	7/5/2021
	December 2018 Update	1/10/2018	5/18/2018	9/18/2018	2/4/2019	7/2/2019	7/2/2020	7/5/2021
	May 2019 Update	Complete	Complete	Complete	8/31/2019	10/31/2019	7/1/2020	12/31/2020
	August 2019 Update	Complete	Complete	Complete	8/31/2019	12/2/2019	7/1/2020	6/30/2021
	October 2019 Update	Complete	Complete	Complete	Complete	1/10/2020	7/1/2020	6/30/2021
	Comments	Program has received additional expenditure authority in FY 2019/20 to begin project implementation.						
Professional Fiduciaries Bureau¹								
	December 2017 Report	6/13/2018	1/11/2019	4/26/2019	7/23/2019	12/26/2019	1/4/2021	1/4/2022
	December 2018 Update	6/13/2018	TBD	TBD	TBD	TBD	TBD	TBD
	May 2019 Update	7/1/2019	8/31/2019	11/30/2019	2/28/2020	7/28/2020	8/1/2021	8/1/2022
	August 2019 Update	8/31/2019	8/31/2019	11/30/2019	2/28/2020	7/28/2020	8/1/2021	8/1/2022
	October 2019 Update	12/31/2019	Complete	2/24/2020	4/1/2020	5/15/2020	8/1/2021	8/1/2022
	Comments	Program analyzed feasible business objectives and submitted a corresponding Stage 1 in light of fiscal readiness. Final business activities of completion of functional requirements is underway now that feasible business objective identification is complete.						
Speech-Language Pathology and Audiology and Hearing Aid Dispensers Board¹								
	December 2017 Report	11/1/2018	5/21/2019	9/3/2019	11/26/2019	3/9/2020	3/11/2021	3/14/2022
	December 2018 Update	9/28/2018	TBD	TBD	TBD	TBD	TBD	TBD
	May 2019 Update	6/1/2020	7/31/2020	11/30/2020	2/15/2021	6/15/2021	6/1/2022	6/1/2023
	August 2019 Update	6/1/2020	7/31/2020	11/30/2020	2/15/2021	6/15/2021	6/1/2022	6/1/2023
	October 2019 Update	6/1/2020	7/31/2020	11/30/2020	2/15/2021	6/15/2021	6/1/2022	6/1/2023
	Comments	Board leadership requested to postpone Business Activities until 10/1/2019. The Board will be evaluating the need to augment Program staff in order to support the pace and quality of this effort. If additional staff are needed for any phase of the initiative, the staff will be requested via the annual budget process.						

Attachment 6 - Business Modernization Summary Status

DCA Program	Complete Business Activities	Complete PAL Stage 1	Complete PAL Stage 2	Complete PAL Stage 3	Complete PAL Stage 4	Phase I Implementation (i.e., MVP)	Project Completion
California Architects Board/LATC¹							
December 2017 Report	6/30/2019	11/30/2018	10/21/2019	1/15/2020	4/6/2020	7/1/2021	7/1/2022
December 2018 Update	10/16/2019	1/17/2020	5/1/2020	8/11/2020	11/3/2020	11/1/2021	11/1/2022
May 2019 Update	10/16/2019	1/17/2020	5/1/2020	8/11/2020	11/3/2020	11/1/2021	11/1/2022
August 2019 Update	Complete	12/1/2019	3/1/2020	7/1/2020	10/1/2020	10/1/2021	4/1/2022
October 2019 Update	Complete	12/1/2019	1/15/2020	5/15/2020	8/1/2020	4/1/2021	2/1/2022
Comments	Market Research is being conducted in parallel with four other programs to realize efficiency of planning activities. This effort resulted in shifting of some milestone dates.						
California State Athletic Commission¹							
December 2017 Report	3/31/2020	10/13/2020	1/12/2021	5/31/2021	9/29/2021	9/30/2022	10/2/2023
December 2018 Update	3/31/2020	10/13/2020	1/12/2021	5/31/2021	9/29/2021	9/30/2022	10/2/2023
May 2019 Update	3/31/2020	10/13/2020	1/12/2021	5/31/2021	9/29/2021	9/30/2022	10/2/2023
August 2019 Update	3/31/2020	10/13/2020	1/12/2021	5/31/2021	9/29/2021	9/30/2022	10/2/2023
October 2019 Update	3/31/2020	10/13/2020	1/12/2021	5/31/2021	9/29/2021	9/30/2022	10/2/2023
Comments							
Cemetery Funeral Bureau¹							
December 2017 Report	8/28/2019	1/28/2020	5/12/2020	3/17/2021	8/30/2021	9/1/2022	9/1/2023
December 2018 Update	8/28/2019	1/28/2020	5/12/2020	9/7/2020	1/4/2021	1/6/2022	1/6/2023
May 2019 Update	8/28/2019	1/28/2020	5/12/2020	9/7/2020	1/4/2021	1/6/2022	1/6/2023
August 2019 Update	1/3/2020	5/1/2020	9/1/2020	1/2/2021	5/1/2021	5/1/2022	11/1/2022
October 2019 Update	1/3/2020	12/15/2019	1/15/2020	5/15/2020	8/1/2020	4/1/2021	2/1/2022
Comments	Business Activities start delayed due to Bureau Chief and SME retirements in 2018 and early 2019. Business Activities diligently underway under the new Chief with a committed and focused vision for completion. Market Research is being conducted in parallel with four other programs to realize efficiency of planning activities. This effort resulted in shifting of some milestone dates.						

Attachment 6 - Business Modernization Summary Status

October 2019

DCA Program	Complete Business Activities	Complete PAL Stage 1	Complete PAL Stage 2	Complete PAL Stage 3	Complete PAL Stage 4	Phase I Implementation (i.e., MVP)	Project Completion	
Court Reporters Board¹								
	December 2017 Report	11/6/2018	5/21/2019	8/30/2019	11/26/2019	2/28/2020	3/3/2021	3/4/2022
	December 2018 Update	2/26/2019	8/21/2019	11/29/2019	2/25/2020	6/1/2020	6/3/2021	6/6/2022
	May 2019 Update	Complete	8/21/2019	11/29/2019	2/25/2020	6/1/2020	6/3/2021	6/6/2022
	August 2019 Update	Complete	Complete	11/29/2019	2/25/2020	6/1/2020	6/3/2021	6/6/2022
	October 2019 Update	Complete	Complete	1/15/2020	5/15/2020	8/1/2020	4/1/2021	2/1/2022
	Comments	Market Research is being conducted in parallel with four other programs to realize efficiency of planning activities. This effort resulted in shifting of some milestone dates.						
Contractors State License Board¹								
	December 2017 Report	3/6/2020	9/11/2020	1/1/2021	4/19/2021	8/3/2021	1/20/2023	1/23/2024
	December 2018 Update	3/6/2020	9/11/2020	1/1/2021	4/19/2021	8/3/2021	1/20/2023	1/23/2024
	May 2019 Update	3/6/2020	9/11/2020	1/1/2021	4/19/2021	8/3/2021	1/20/2023	1/23/2024
	August 2019 Update	3/6/2020	9/11/2020	1/1/2021	4/19/2021	8/3/2021	1/20/2023	1/23/2024
	October 2019 Update	3/6/2020	Complete	12/23/2019	1/6/2020	1/13/2020	2/28/2020	7/31/2020
	Comments	Re-planning efforts based on evaluation of organization readiness has occurred. This has resulted in modified timeframes. Completion of CSLB business activities follow an agile-like approach that is further described in the Business Modernization 2019 Annual Report.						
Structural Pest Control Board¹								
	December 2017 Report	10/15/2018	5/24/2019	9/6/2019	12/3/2019	12/26/2019	1/4/2021	1/4/2022
	December 2018 Update	10/15/2018	5/24/2019	9/6/2019	12/3/2019	12/26/2019	1/4/2021	1/4/2022
	May 2019 Update	Complete	5/24/2019	9/6/2019	12/3/2019	12/26/2019	1/4/2021	1/4/2022
	August 2019 Update	Complete	Complete	11/29/2019	2/25/2020	6/1/2020	1/4/2021	1/4/2022
	October 2019 Update	Complete	Complete	1/15/2020	5/15/2020	8/1/2020	4/1/2021	2/1/2022
	Comments	Market Research is being conducted in parallel with four other programs to realize efficiency of planning activities. This effort resulted in shifting of some milestone dates.						
Footnote: 1. Timeline estimates may extend if Programs must request funding through the annual budgeting process or are denied requested funds.								