BUSINESS MODERNIZATION
2023
ANNUAL REPORT

Developed By:

STATE OF CALIFORNIA
Department of Consumer Affairs
1625 North Market Blvd.
Sacramento, CA 95834-1924

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1. Message from the Director

The Department of Consumer Affairs’ (DCA or Department) Business Modernization 2023 Annual Report is an opportunity for all DCA boards, bureaus, committees, and commission (programs) engaged in the Business Modernization Initiative to showcase progress in improving services to 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, financial readiness, and thorough project planning.

During the last year DCA continued to expand upon information technology portfolio by planning and implementing several new technology solutions. Many programs have achieved great success in attaining modernization goals.

Among the achievements to report since last year is the successful implementation of DCA’s Business Modernization Cohort 2 (Cohort 2) MVP. The project implemented its first wave of online functionality and back office streamlined workflows with Product Increment 1 in May. The BMC 2 project continues to develop functionality and is on target to release Product Increment 2 in November 2023. Further details on this Cohort’s accomplishments are available later in this report.

The Speech-Language Pathology and Audiology and Hearing Aid Dispensers Board (SLPAHADB) implemented a modernization solution with the funding through the Technology Modernization Fund (TMF) and now have online applications with credit card payments.

The California Board of Accountancy (CBA) successfully launched and completed a formal modernization project upon receiving success from the Board’s pilot project. CBA now accepts license renewals and consumer complaints online.

Additional information on the continued Business Modernizations efforts for SLPAHADB and CBA can be found later in this report.

Thank you for your interest in DCA’s continued efforts to improve services for its constituents. These technology investments 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, 2022 – October 31, 2023). 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 (OCM) 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.

The DCA is in the final wave of Business Modernization efforts for the remaining programs and will continue to assess the opportunities to improve services via implementation of low-risk, high-reward complementary technology solutions. The Department will continue to investigate and implement these solutions for programs when prudent. Examples of these low risk targeted solutions include the in-house DCA online renewal payment solution and an online payment portal for the Board of Pharmacy to allow applicants (Pharmacy Technicians, Registered Pharmacists, Advanced Practice Pharmacists, and Designated Representatives) who passed their exam to pay their initial licensing fee. Between efforts associated with business modernization and the BreEZe system, 34 out of 36 DCA programs now are able to accept online submission and payment for renewal applications.

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 laws and regulations. This annual report provides each participating program’s major business modernization accomplishments over the past 12 months (as of October 31, 2023).

Below is an overview of the information included:

- Program background and context.
- Summary of business activities.
- Summary of project approval lifecycle (PAL) activities and timelines.
- Summary of system development and implementation.
**Business Activities Methodology**

DCA’s Organizational Improvement Office (OIO) 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 (IT) 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.

Implementing IT solutions through remote environments resulting from the pandemic continues to be business as usual. OIO plans to continue implementation activities via remote working tools for ongoing and upcoming projects.

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 a list of all the business processes a program has that will potentially be incorporated into an IT solution. DCA’s OIO staff works with the program to help curate this list for business modernization efforts. With a completed inventory and assuming no budget constraints, the OIO staff can establish estimated project due dates and phase milestones.

**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:

- Provide a blueprint to the developer detailing the desired 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.
- Identify automation and process improvement opportunities.

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

**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 clarifies 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 the development of functional IT system requirements, 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.

**California 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:
1. **Stage 1—Business Analysis** offers the program an opportunity to state its high-level business objectives.
2. **Stage 2 (Alternatives Analysis)** includes market research and initial cost analysis for a proposed IT solution.
3. **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.
4. **Stage 4 (Project Readiness and Approval)** finalizes all the key project documents and sets the cost and schedule baselines to support project initiation.

**System Development and Implementation**

Upon project approval, execution of project activities with an incremental and agile approach will begin. During this phase, the following high-level activities are executed:

- Engagement of stakeholders.
- Management and monitoring of project work activities and communications.
• Procurement activity (if any).
• Testing to ensure the product meets functional requirements.
• Organizational change management to ensure the business is ready for the new system.
• Training to ensure users know how to use the new system.
• Go-live support to provide a smooth transition.

4. Business Modernization Cohort 1 (Cohort 1)

1. **Cohort 1 Project**

Cohort 1 is comprised of the Board of Professional Engineers, Land Surveyors and Geologists (BPELSG), the Bureau of Private Postsecondary Education (BPPE), the Board of Chiropractic Examiners (BCE), and the California Acupuncture Board (CAB). Collectively, all four programs identified a ‘software-as-a-service’ technology solution capable of integrating into the existing DCA technology ecosystem in an incremental manner as the best path forward.

2. **Programs’ Background and Context**

**Board of Professional Engineers, Land Surveyors and Geologists (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 of Private Postsecondary Education (BPPE)**

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.

**Board of Chiropractic Examiners (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.

**California Acupuncture Board (CAB)**

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.

**3. Summary of Business Activities**

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

DCA and program staff updated and utilized business activity artifacts while completing PAL-related activities. These process flows and requirements were foundational as Cohort 1 transitioned into project implementation activities upon project and budgetary approval.
4. **Summary of PAL Activities and Timelines**

In 2020, DCA’s Office of Information Services (OIS) and CDT staff worked collaboratively with the four programs’ SMEs and leadership to complete the required Stage 4 solicitation, contract management, project plans, project baselines, and organizational change management activities. These efforts resulted in CDT’s approval of Cohort 1’s PAL Stage 4 in January 2020 and a contract with a qualified system integrator who can successfully implement the software solution that best fits Cohort 1’s business needs.

As part of the 2019 Budget Act, the Legislature approved Cohort 1’s project implementation Budget Change Proposal (BCP) requesting funds to begin project activities in fiscal year 2019-20 as well as five positions. Recruitment was completed for:

- Two Information Technology Specialist (ITS) I positions.
- One Information Technology Associate (ITA) position (re-classed from an ITS I to facilitate a larger quality candidate pool).
- One Acupuncture Associate Governmental Program Analyst (AGPA) position.

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<td>Project Completion</td>
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5. **Summary of System Development and Implementation**

Cohort 1’s Phase 1 was implemented in September 2020. Following Phase 1 were major software releases, dozens of stabilizations with minor software releases to implement enhancements and system refinements. Phase 4, the last significant release was deployed June 2022. Project phase officially concluded June 8, 2022.
with a minor release to address a few minimal outstanding defects. To date, the project team has implemented the following functionality for Cohort 1 programs:

- Online application and license maintenance services (e.g., address changes) for 35 license types across the four Cohort 1 programs. This includes exam, initial license, and renewal application types.
- An online consumer complaint form and back-office investigation process for three of the four Cohort 1 programs.
- School inspection functionality for BPPE.
- Conversion of all enforcement and inspection data for BPPE.
- Student Tuition Recovery Fund (STRF) online application for BPPE.
- Continuing Education module for CAB.

Applicants and licensees have heavily utilized these online services. As of June 8, 2022, end of project phase, the system had already accepted over 79,000 online applications and processed over $17.4 million in revenue. As of October 31, 2023, the volume increased to 173,284 online applications processed over $42,715,000 in revenue.

Leading the success of Cohort 1’s completion was its Executive Steering Committee (ESC) that met throughout the project for status updates, significant oversight, and decision-making authority for major project decisions. Project staff provided commendable levels of guidance and support to the programs throughout the software releases, including requirements and design documentation, facilitation and execution of user acceptance testing, and direct end user support. The project completed the development phase of its last major software release in April 2022 and in June 2022 transitioned into a maintenance and operations phase. The project has delivered within its approved budget.

DCA’s OIO provided change management assistance by reviewing and approving the training materials, assisting with user acceptance testing, collaborating with the boards on design changes, assisting with the delivery of virtual training, and planning for the provision of on-site support. Throughout the project, OIO has supported the emotional connection developed by the programs during previous re-engineering activities.

5. Business Modernization Cohort 2 (Cohort 2)

1. Cohort 2 Project

Cohort 2 is comprised of Bureau of Household Goods and Services (BHGS), Cemetery and Funeral Bureau (CFB), California Architects Board (CAB) / Landscape Architects Technical Committee (LATC) and Structural Pest Control Board (SPCB). Collectively, all five programs identified a ‘software-as-a-service’ technology solution capable of integrating into the existing DCA technology ecosystem in an incremental manner as the best path forward. This is the same technology path as Cohort 1 and the Board of Accountancy.
2. Programs’ Background and Context

Bureau of Household Goods and Services (BHGS)
BHGS protects consumer safety by developing standards in various industries that include the following: 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.

Cemetery and Funeral Bureau (CFB)
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.

California Architects Board (CAB) and Landscape Architects Technical Committee (LATC)
CAB protects the health, safety, and welfare of the public through the regulation of the practice of architecture in California. 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.

Structural Pest Control Board (SPCB)
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.

3. Summary of Business Activities


DCA and program staff are utilizing business activity artifacts as a foundation to complete project related activities. These process flows and requirements help drive the functionality which will be developed in the new system.

In March 2022, SPCB requested their Wood Destroying Organism (WDO) processes be added to the scope of the project. OIO mapped the WDO As-Is processes, the Could-Be processes, and the functional requirements to support this addition. OIO also updated the overall functional requirements list to include changes made as a result of this addition.

4. Summary of PAL Activities and Timelines

Before the four programs formed a cohort, each program separately completed the first stage of PAL. CDT approved individual PAL Stage 1 for all four programs. Stage 2 was the first stage completed as Cohort 2. During Stage 4 of the PAL, Cohort 2 evaluated responses to the solicitation for system implementation services and negotiated with the highest scoring bidder. As a result, the Cohort selected the bidder with the highest score and best value interest to the State and its stakeholders.

Cohort 2 was approved for its fourth and final stage of the PAL in May of 2022. The following ancillary contracts were awarded to support the projects and are instrumental to the project’s success.

- Project Management Consulting Services
- Independent Verification and Validation Services
- Data Conversion Services

As part of the 2023 Budget Act, the Legislature approved Cohort 2's project implementation Budget Change Proposal (BCP) requesting funds to continue project activities in fiscal year 2023-24.
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<td>Project Completion</td>
<td>Targeted for Completion – November 2024</td>
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5. **Summary of System Development and Implementation**

Cohort 2’s phase 1 was implemented in May 2023. Target implementation of phase 2 is November 2023.

To date, the project team has implemented the following functionality for Cohort 2 programs:

- Eight online applications including exam requests and initial license for four license types across the five Cohort 2 programs
- Credit Card functionality
- Multiple back-office workflows
  - Cashiering
  - Application intake, review, deficiency, and approval
  - Enforcement complaint review
- Interface with external partners
  - Department of Justice
  - Exam partners
- Real-time email and text message functionality

Since the release of phase 1, between May 2023 through October 2023, BMC 2 applicants and licensees have heavily utilized the online services. The system has already accepted over 1590 online applications and processed over $392,478 in revenue.
The phase 1 implementation did not come without its challenges. The project has experienced delays to critical milestones such as the delay in product increment one launch due to several factors, including:

- Key resource Technical Lead on emergency family leave at the onset of the project
- Quality of development led to increase of test failures
- Low sprint velocity
- Primary vendor resources challenge
- Security issues identified with Cohort 1 and need to resolve same issues for Cohort 2

There was a five-month delay for product increment one, which launched in May 2023. The delay resulted in more than 10% of the original baselined schedule; therefore, the project was required to submit a Special Project Report to CDT for rebaselining of the project schedule. The rebased date for completion is November 2024.

DCA’s OIO provided change management assistance by reviewing and approving the training materials, assisting with phase 1 user acceptance testing, collaborating with the programs on design changes, assisting with the delivery of virtual training, and planning for the provision of online support. Throughout the project, OIO continues to support the emotional connection developed by the programs during previous re-engineering activities.

### 6. 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.
2. **Summary of Business Activities**


DCA and program staff utilized business activity artifacts while completing PAL-related activities. These process flows and requirements were foundational as CRB transitioned into project implementation activities upon project approval.

In August 2022, CRB requested that OIO capture a new license type for Firm Registration. OIO mapped the new process in October, including Could-Be maps and updated functional requirements.

3. **Summary of Delegated PAL Activities and Timelines**

In 2020, CRB reviewed and evaluated market research data with other programs at a similar point in their business modernization planning activities. During CRB’s evaluation, it was determined that their limited fund condition was more suitable with a business modernization effort that can be met through technology solutions that are currently available within the DCA portfolio and will utilize existing redirected resources for implementation.

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<td>Completed – February 2021</td>
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4. System Development and Implementation

Phase I of CRB’s Online Renewal Payment system was implemented by CRB and DCA’s remote workforce in August 2020 during the COVID-19 pandemic. The scope of this effort was to provide licensees with the capability to renew and submit licensing fees online.

This business modernization effort was managed and executed with existing redirected staff and resources to:

- Review and update CRB functional requirements
- Leverage existing technologies within DCA’s portfolio to implement the online renewal system
- Perform test activities
- Provide organizational change management and training
- Provide post Go-Live support activities.

Upon system implementation, CRB licensees began using the system immediately. Since implementation in August 2020 – October 2023, there have been almost 8,000 online renewal transactions.

The second phase of CRB’s business modernization effort was implemented January 2021. This phase included the development of a monthly report that displays the number of online renewals processed and the number of licenses pending. Formal business modernization activities were completed in February 2021.

7. CA State Board of Pharmacy (CSBP)

1. Program Background and Context

CSBP 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. CSBP oversees those who dispense, store, ship, and handle prescription drugs and devices to patients and practitioners in California. CSBP 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


DCA and program staff will utilize business activity artifacts while completing PAL-related activities. These process flows and requirements were foundational as CSBP transitioned into project implementation activities upon project approval.
DCA and program staff will be utilizing business activity artifacts while completing PAL-related activities. These process flows and requirements will be foundational as CSBP plans and transitions into project implementation activities upon project and budgetary approval.

3. **Summary of PAL Activities and Timelines**

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<td>Project Completion*</td>
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</table>

*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.

CSBP’s resource availability is recovering from the COVID-19 pandemic impacts and project planning activities are expected to begin in 2024. Business process analysis and documentation was completed in October 2023.

8. **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 107,000 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**

As of August 2021, CBA and OIO resources have completed 89 As-Is process maps, 90 Could-Be process maps, and 341 functional requirements.


3. **Summary of PAL Activities and Timeline**

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<td>Stage 4—Project Execution</td>
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<tr>
<td>Phase 1 Implementation*</td>
<td>Completed - March 2023</td>
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<tr>
<td>Project Completion*</td>
<td>Targeted for November 2023</td>
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</table>

Project completion is expected to complete in November 2023.

4. **System Development and Implementation**

CBA launched a pilot project in April 2022 that was part of its Stage 2 market research activities. The pilot delivered functionality for online renewals and an online
complaint form. The successful pilot paved the path for CBA’s formal delegated business modernization project. The project is expected to complete in November 2023 implementing the following deliverables:

- Public facing functionality that Serves 18,000 Certified Public Accountants
- Online renewals with electronic payments
- Online complaint form - 201 complaints received from stakeholders to date

9. 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 and home improvement salespersons.

2. Summary of Business Activities


DCA and program staff utilized business activity artifacts while completing PAL-related activities. These process flows and requirements were foundational as CSLB transitioned into project implementation activities upon project approval.

3. Summary of Delegated PAL Activities and Timeline

In 2020, CSLB determined that their business modernization effort can be met through technology solutions that are currently available within DCA’s and CSLB’s portfolio. In addition, CSLB utilized existing redirected resources for implementation.

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</table>
### 4. System Development and Implementation

CSLB’s business modernization scope was to allow CSLB to accept online application renewals and payments for Original Sole Owners and Home Improvement Salespersons. The implementation activities included the following:

- Business and IT staff reviewed and updated requirements.
- Mainframe updates and web server moves were performed.
- Applications were established and developed.
- System testing was performed and approved.
- User Acceptance Testing was successfully approved.
- Business Training sessions were held.
- Phase 1 implementation for online sole owner applications renewal.
- Phase 2 implementation for home improvement salesperson application renewals.
- Post Go-Live support activities.

The project was completed July 2020 and between the July implementation and October 2020, the volume of online renewals was:

- Original Sole Owners: Over 19,270 (April 2020-October 2020)
- Home Improvement Salesperson: Over 1,130 (July 2020-October 2020)

CSLB expanded the renewal policy for Sole Owners (sole proprietors), and it now includes corporations with one qualifier. The license name was updated to Single Qualifier and this change was implemented into the online renewals system. This change has contributed to an increase in renewals as noted below:

- 2021 Single Qualifier Renewals - 40,757
- 2022 Single Qualifier Renewals - 62,570
- 2023 (Through Oct 2023) Single Qualifier Renewals – 55,260

The online renewal process for Home Improvement Salesperson (HIS) remains the same as when implemented, however, the volume continues to increase. Please see below:
• 2021 HIS Renewals – 4,657
• 2022 HIS Renewals – 4,666
• 2023 (Through Oct 2023) HIS Renewals – 5,013

The DCA and CSLB continue to improve business process and stakeholder needs as they arise.

10. 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**


During the 2020 reporting period, BAR worked diligently to refine 730 functional requirements into a format more suited to support an agile development methodology. The functional requirements have been distilled into 19 epics and 142 associated user stories.

In June 2022, BAR requested OIO’s services to conduct an OCM workshop in November to ensure change readiness in preparation for system implementation. To assist OIO in tailoring the workshop to better suit BAR’s needs, BAR developed a survey, which they provided to OIO for review. BAR plans to provide OIO with the survey results to help guide the OCM discussion in November.

3. **Summary of PAL Activities and Timeline**

BAR has worked diligently with DCA to leverage strategic investments made by DCA Cohort 1 and incorporate lessons learned. BAR received the approval of the Stage 2 Alternatives Analysis on May 25, 2021, and approval of Stage 3 Solution Development on December 23, 2021. Because the BAR project team has experienced resources, conducted extensive planning, and has a track record of successful projects, CDT approved State 4 Project readiness and a Project Delegation Request on April 25, 2022.
After selecting the platform, BAR worked extensively with an approved DGS Software Licensing Program partner to implement the solution. On May 1, 2023, BAR ceased implementation efforts on the platform and pivoted to another solution already successfully implemented within the DCA community. BAR submitted a Special Project Report (SPR) for schedule variance, which was approved on August 30, 2023. BAR is working with DCA to finalize the procurement of the software and implementation services. The scope of the project remains unchanged, and BAR will be actively working with the selected contractor to implement a Minimum Viable Product (MVP) focused on licensing and external facing functionality. The project delegation from CDT remains in place, and BAR plans to utilize a highly incremental approach leveraging successes from other DCA implementations. BAR programs remain actively engaged and committed to supporting the MVP goal.

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<td>Project Completion*</td>
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</table>

*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.

11. **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 regulations, issues and renews licenses, and imposes disciplinary actions, when necessary.

2. **Summary of Business Activities**

SLPAHADB completed all business activities in December 2020. For a listing of SLPAHADB’s program business activity deliverables, refer to the 2020 DCA Business Modernization Plan Annual Report at [https://www.dca.ca.gov/publications/business_modernization_plan2020.pdf](https://www.dca.ca.gov/publications/business_modernization_plan2020.pdf). DCA and program staff will be utilizing business activity artifacts while completing PAL-related activities. These process flows and requirements will be foundational as SLPAHADB plans and transitions into project implementation activities.

3. **Summary of Delegated PAL Activities and Timeline**

In July 2021, during SLPAHADB’s evaluation of their fund condition, it was determined that their business modernization would be best met through technology solutions that are currently available within the DCA portfolio. SLPAHADB was also selected to participate in CDT’s Technology Modernization Fund (TMF) program, which funded vendor resources for the project. Delegated PAL activities were modified and approved on August 26, 2022.

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<td>MVP February 2023</td>
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4. **System Development and Implementation**

The SLPAHADB project was completed and was executed within the planned schedule and budget and the scope was enhanced to exceed the Board’s expectations. The application process went from 100% paper application, with
checks/money orders, mail submission and duplicative data entry to a 100% paperless process. The project delivered 29 online applications, with credit card payments, electronic signatures, email notification of deficiencies, and an online display of application statuses. The applicant process timeline is faster and more efficient for both the constituents and staff as it now eliminates the need for staff data entry, manual check payment processing, waiting on the mail to communicate and fulfill deficiencies, and transferring application status inquiries from phone calls to a self-serve online look up.

This project was a crucial success for the SLPAHADB by delivering a solution that modernizes the application process for constituents and delivering many process improvements and standardizations that will significantly increase staff efficiencies and timeframes for issuing licenses.

SLPAHADB project achievements to date include the following:
- 29 online applications with credit card payments, electronic signatures, email notification of deficiencies, and an online display of application statuses
- Applicant adoption rate of 86% (as of October 2023)
- 5628 online initial and examination applications in process
- 2775 licensed professionals from application through completion (between February – October 2023)
- 75% reduction in manual cashier processing

SLPAHADB transitioned to maintenance and operations, and they will continue outreach to constituents and stakeholder of the modernized application process. As the adoption rate increases, SLPAHADB expects to achieve a 30% reduction in the application processing timeframe and a 50% reduction in staff time in application processing.

12. 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

DCA and program staff will utilize business activity artifacts while completing PAL-related activities. These process flows and requirements were foundational as CSAC transitioned into project implementation activities upon project approval.

DCA and program staff will be utilizing business activity artifacts while completing PAL-related activities. These process flows and requirements will be foundational as CSAC plans and transitions.

### 3. Summary of Delegated PAL Activities and Timeline

During the COVID-19 pandemic, CSAC recognized a decrease in revenue of approximately 85 percent. The reassignment of CSAC staff to other state-programs during the pandemic left the commission without staff and fiscal resources to continue planning and project activities. As CSAC begins their recovery and their fund trends up, business activities and project planning have commenced. CSAC’s PAL Stage 1 was approved as a delegated project in September 2023. CSAC plans to complete project planning and project implementation during 2024.

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*Per summary above, these dates will be re-evaluated.

13. **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.

2. Summary of Business Activities


DCA and program staff will be utilizing business activity artifacts while completing PAL-related activities. These process flows and requirements will be foundational as PFB transitions into project implementation activities.

3. Summary of Delegated PAL Activities and Timeline

PFB’s business modernization effort can be met through technology solutions that are currently available within the DCA portfolio. Due to variables that are outside the Bureau’s control, which may increase the Bureau’s cost and affect its ability to maintain solvency, the timing of implementing a new IT system has been modified.

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<tr>
<td>Internal software applications are being extended and there are no new major procurements.</td>
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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.
Narrative Description of Business Process

Trigger: Section Chief receives word from Exec. that B/B is ready to begin Business Modernization.

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.

End points and duration: (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.

Associated Documents and Artifacts
- Process maps for all processes that were requested by client B/B.
- Functional Requirements

Critical Information Inputs
- Data inputs from Subject Matter Experts. (SMEs)

Process Improvement Opportunities (including applicable automation recommendations)
- 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.

Authority Cited
- 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.

Contributor
- OIO Staff
Narrative Description of Business Process

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

1. Review appeal
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
5. Forward to Enforcement Analyst for AG referral. Case is referred to Hearing Process.
6. Generate Decline letter
7. Send Decline letter to respondent
8. Update CAS with decline
9. Hold case for 30 days
10. Send case to File360. End process #1
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
13. Is citation related to ECARF? 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
17. Generate and send Scheduling letter to the respondent
18. Research citation history
19. Generate Respondent History Summary memo
20. Hold conference
21. Send file to Audit Supervisor
22. Review citation
23. Type Decision memo and return to Enforcement Analyst
24. Review Decision memo
25. Type Decision letter

Narrative Description of Business Process Continued

26. Update CAS with decision information
27. Return Decision to Audit Supervisor for review and approval
28. Review Decision letter
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
31. Update required changes. Return to step 27
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
35. Generate Respondent History Summary memo. Return to step 21
36. Schedule conference
37. Generate Scheduling Letter to respondent
38. Send Scheduling Letter to respondent
39. Research citation history
40. Generate Respondent History Summary memo
41. Send citation history to Lead Field Representative
42. Hold conference
43. Review documents received from respondent
44. Research citation history
45. Generate Respondent History Summary memo
46. Send citation history to Lead Field Representative
47. Type Decision memo and return to Enforcement Analyst
48. Review Decision memo
49. Type Decision letter
50. Update CAS with decision information
51. Return Decision to Lead Field Representative for review and approval
52. Review Decision letter
53. Changes needed? If yes, proceed to step 54. If no, proceed to step 55
54. Update required changes. Return to step 52
55. Approve, initial, and return to Enforcement Analyst
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
58. Send to Field Operations Supervisor for review and initial
59. Review Decision
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

End points:

End Process #1: File Decline Letter in File360 after being mailed to correspondent and updated in CAS (process ends at step 10)
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)
End Process #3: Send file to File360 and close case when fine is not included with citation (process ends at step 83)
End Process #4: Fine was received with citation, fine was entered in CAS, and file was sent to File360 (process ends at step 88)

Frequency: As Needed
Volume: Approximately 10-15 per year

Annual Statistics
- Average for one completed process (in minutes): 1232
- Annual Volume: 13
- Total Annual Workload in Minutes: 16016
- Total Annual Workload in Hours (Minutes/60): 267
- Total Annual Workload in PY (Hours/1776): 0.15
- Average Wait Time (In days): 58

Methodology
Annual Statistics are based on the average time documented on each step in the process being completed one time, irrespective of deficiencies or no deficiencies. Additional loops and scenarios are not included in the calculations. Variability in Annual Volume for process sub-categories are not included. This calculation assumes all duties are performed by the same classification.

Associated Documents and Artifacts
- Citation Letters
- Decline Letter
- Decision Letter
- Memo's
- Scheduling Letter
- Cover Letter

Critical Information Inputs
- Licensee numbers
- Hearing Dates
- Decisions
Attachment 2 - As-Is Process Map Example

Process Improvement Opportunities (including applicable automation recommendations)
- 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

Authority Cited
- CCR § XXXX-XXXX
- Business & Professions Code § XXXX.XX

Contributor
- SME Number One
- SME Number Two
System will alert Lead Field Representative to review citation related documents prior to conference.

System shall provide:
- Selection of three types of decisions (affirm, modify, or withdraw the citation)
- Fields for entering comments

Upon hitting "submit" the system shall forward decision to either the Program Operations Supervisor or Field Operations Supervisor queue for review and approval.

If decision requires edits, Supervisor can reassign decision to Enforcement Analyst.

Upon hitting "submit" the system shall forward decision to Bureau Chief's queue for review and approval.

If decision requires edits, Supervisor can reassign decision to Enforcement Analyst.
Could-Be Cite and Fine Appeal

System shall alert Enforcement Analyst and Bureau Chief when 15 day deadline is approaching to issue decision

From PP. 1 & 2

Decision

If Enforcement Analyst makes changes to decision, system shall notify the Bureau staff who created the decision

If decision is necessary, Bureau Chief can reassign decision to Enforcement Analyst

System shall allow Bureau Chief to electronically affix signature

Office signed, decision is sent to nightly batch. An alert is sent to Enforcement Analyst stating that the decision was approved and sent

System shall allow the option to select if mail is sent regular or certified

System shall send nightly batch of letters from the Bureau to external print vendor at 11:59pm and letters shall be mailed out the next business day

- System shall allow Bureau staff the option to edit letters
- System shall allow Bureau staff the ability to suspend letters if needed
- System shall track date decision was sent

Approved on: _______________ By: _______________________________________(Bureau Chief)
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 19, 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
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.

**Frequency:** As Needed

**Volume:** Approximately 10-15 per year
### Associated Documents and Artifacts
- Citation letters
- Decline letter
- Decision letter
- Memo’s
- Scheduling letter
- Cover letter
- Appeal
- Waiver of fine
- Citation file/related documents

### Critical Information Inputs
- 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

### Improvements from the As-Is
- System shall allow respondent to go online and select the following appeal:
  - 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:
  - 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

### Authority Cited
- CCR § XXXX-XXXX
- CCR § XXXX-XXXX
- CCR § XXXX
- Business & Professions Code § XXXX.XX

### Contributor
- SME Number One
- SME Number Two
California Architect Board

The California Architects Board and the Landscape Architects Technical Committee (LATC) are in the process of implementing the new Connect system as part of Business Modernization Cohort 2. We believe this system will provide greater service to our candidates, licensees, and consumers, and will improve operations for staff. We are grateful for the leadership of the Department of Consumer Affairs’ Office of Information Services in directing this project. We are thankful for the additional support from the Organizational Improvement Office at the Department of Consumer Affairs.

Laura Zuniga, Executive Officer
California Architect Board

The Speech Language Pathology and Audiology and Hearing Aid Disperser Board

The Speech Language Pathology and Audiology and Hearing Aid Disperser Board (SLPAHADB) in partnership with the Department of Consumer Affairs (DCA), Office of Information Services (OIS), the vendor JBS Associates using the SimpliGov platform, and with funding from the Department of Technology’s Technology Modernization Fund completed their Apply Simply Business Modernization solution in May 2023. This 100% paperless application system includes all of SLPAHADB’s applications that includes credit card payments, electronic signatures, automated notifications and emails, uploads and interfacing for exams, fingerprinting, transcript uploads, work experience validation, supervisor notifications and licensure verification.

This new system successfully replaced SLPAHADB’s 100% paper application process, and it has improved overall efficiencies including improved customer service, improved staff efficiencies, with the Board achieving an 80% adoption rate for online applications resulting in a 75% reduction in manual cashiering processing and an expected overall 30% reduction in the application processing timeframes. Since implementation, the system has received over 5,600 initial applications and has issued approximately 2,800 licenses. SLPAHADB will continue to explore additional opportunities to improve their business modernization for end users and the Board.

Paul Sanchez, Executive Officer
Speech-Language Pathology, Audiology and Hearing Aid Dispensers Board

Cherise Burns
Assistant Executive Officer
Speech-Language Pathology & Audiology & Hearing Aid Dispensers Board

Bureau of Household Goods and Services

The Bureau of Household Goods and Services (BHGS) in partnership with the Department of Consumer Affairs (DCA), Office of Information Services (OIS), and software vendor, InLumen, launched the Household Mover online application in June of
2023. The Bureau has completed several application processes and issued mover permits. This is why it is now heavily promoting use of the system with all household moving applicants.

This winter, BHGS expects to have all data successfully transferred from the Public Utilities Commission’s legacy system to the BHGS system and begin processing movers’ quarterly reports. Historically, quarterly reports necessitated a heavy and time-consuming paper-driven process. BHGS is excited its moving to an easier automated online reporting tool. By the completion of the Business Modernization Cohort 2 project, BHGS expects all transactions will be completed online, including applying, renewing, reporting changes in business information or insurance, and paying for enforcement-related costs. BHGS looks forward to this transition, which would not be possible without considerable time and effort from the DCA, OIS, and InLumon with a focus on making transactions easy and clear to end users.

Justin Paddock, Bureau Chief
Bureau of Household Goods and Services

California Board of Accountancy

The California Board of Accountancy (CBA) continues to actively work in collaboration with the Department of Consumer Affairs (DCA), Office of Information Services (OIS, and software vendor, InLumon) on our business modernization activities. The CBA has successfully completed multiple production releases adding enhancements to the online system that offers online license renewal for Certified Public Accountants (CPA) and online complaint submissions that benefits both internal and external stakeholders. The online system currently supports a little over 61,000 California CPAs renewing their license. OIS continues to provide project management support to ensure the vendor stays on task and provides the proper development based on the business requirements defined for the project. Using the inLumon software, the CBA is exploring additional opportunities in its journey to transition from a legacy system to a paper-less online platform.

Dominic Franzella, Executive Officer
California Board of Accountancy

CA Cemetery and Funeral Bureau

The Cemetery and Funeral Bureau (Bureau) continues to successfully collaborate with the Department of Consumer Affairs’ Office of Information Services (OIS) and vendors in assisting the Bureau with our Business Modernization Planning efforts and activities. The Bureau successfully launched its first application in May of 2023 and is on track to release a second application in the Winter of 2023. At the conclusion of the project the Bureau will be able to provide improved services to our applicants, licensees, and stakeholders, and fulfilling a goal of the Bureau. We deeply appreciate the leadership, oversight, and
dedication provided by the Department, the OIS team and the support of the Department of Technology throughout this process.

Gina Sanchez, Bureau Chief
Cemetery and Funeral Bureau
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Comments
## Professional Fiduciaries Bureau

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### Comments
Speech-Language Pathology and Audiology and Hearing Aid Dispensers Board

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California Architects Board/LATC

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### Comments
California State Athletic Commission

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<tr>
<th>DCA Program</th>
<th>Complete Business Activities</th>
<th>Complete PAL Stage 1</th>
<th>Complete PAL Stage 2</th>
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Comments: The CSAC fund is trending up as they recover from an 85% decrease in revenue due to the COVID-19 pandemic and project activities are underway.
## DCA Program

<table>
<thead>
<tr>
<th>DCA Program</th>
<th>Complete Business Activities</th>
<th>PAL Stage 1</th>
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Footnote: 1. Timeline estimates may extend if Programs must request funding through the annual budgeting process or are denied requested funds.