Stage 1 Business Analysis

California Department of Technology, SIMM 19A.3 (Ver. 3.0.8, 02/01/2022)

1.1 General Information

1. **Agency or State entity Name: XXXX - Other**

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

   2670 - Board of Pilot Commissioners for the Bays of San Francisco, San Pablo, and Suisun (BOPC)

2. **Proposal Name and Acronym: BOPC Information Technology Modernization Project**

3. **Proposal Description: (Provide a brief description of your proposal in500 characters or less.)**

The Board of Pilot Commissioners (BOPC) proposes the implementation of an information technology solution to create a system to integrate various BOPC programs with each other and the web to enable efficiencies in managing and maintaining the pilot licensing, pilot training, and the pilot boat programs, manage maritime incident investigation reports and aid in the administration of the pilot retirement program. Another important goal of the system is to digitize the BOPC's records and store them in a database for research and report preparation purposes, and for disaster recovery purposes since the BOPC currently primarily utilizes paper files that are unwieldy when researching data and report preparation, and are subject to damage and loss from natural and other disasters.

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

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

1.2 Submittal Information

1. **Contact Information**

   Contact Name: Allen Garfinkle, Executive Director

   Contact Email: bopc@bopc.ca.gov

   Contact Phone: 415-397-2253

2. **Submission Type: New Submission**

If Withdraw, select Reason: Choose an item.

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

Sections Changed, if this is a Submission Update: (List all sections changed.)

Click or tap here to enter text.

Summary of Changes: (Summarize updates made.)

Click or tap here to enter text.

3. **Attach** Project Approval Executive Transmittal to your email submission.
4. **Attach** Stage 1 Project Reportability Assessment to your email submission.

1.3 Business Sponsorship

1. **Executive Champion (Sponsor)**

   Title: Executive Director

   Name: Allen Garfinkle

   Business Program Area: N/A

2. **Business Owner**

   Title: Executive Director

   Name: Allen Garfinkle

   Business Program Area:

3. **Product Owner**

   Title: Executive Director

   Name: Allen Garfinkle

   Business Program Area: N/A

1.4 Stakeholder Assessment

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

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

   State Entity Only: No

Other Departments/State Entities: Yes

Public: Yes

Federal Entities: No

Governor's Office: No

Legislature: No

Media: No

Local Entities: No

Special Interest Groups: Yes

Other: No

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

The BOPC: The BOPC is the state entity sponsoring the project and will commit business staff to the planning process to fulfill the sponsor, business owner, and subject matter expert roles.

Other State Departments will be involved with the Planning Process:

Caltrans IT Department: Caltrans IT will provide IT subject matter expertise in the planning phase. Caltrans IT will also provide IT project oversight and contract management support services.

California State Transportation Agency (CalSTA): The CalSTA will participate during the planning process by providing Executive oversight of planning and project implementation activities.

Public: The BOPC may select participants from the public as subject matter experts in order to document the process for applying and paying for pilot trainee selection exams.

Special Interest Groups: The BOPC may select individual pilot licensees and pilot/trainee medical providers in order to document business processes for licensing applications and pension management processes.

1.5 Business Program

1. **Business Program Name: Board of Pilot Commissioners for the Bays of San Francisco, San Pablo, and Suisun (BOPC)**

2. **Program Background and Context:**

   The BOPC is the state of California specially funded state entity, established in 1850, to license and regulate qualified mariners to exclusively pilot vessels into and out of the San Francisco Bays and its tributaries, including the Ports of Stockton and Sacramento, as well as Monterey Bay (BOPC pilotage grounds). The responsibilities of the BOPC are as follows:

   - Issue and renew up to 60 maritime pilot licenses (BOPC Licensees). These licenses are reviewed by the BOPC on an annual basis and include key components related to a pilot's

health, job performance, continuing education, federal Coast Guard license status, and good standing with the Department of Motor Vehicles (DMV).

- Administer a Pilot Continuing Education Program that provides periodic training to BOPC licensees in compliance with statutory and regulatory requirements. This training program is critical in supporting annual license renewals.
- Administer Pilot Trainee Training Program that trains maritime personnel to eventually become a BOPC-licensee, and includes the administration of a rigorous trainee selection exam.
- Administer a Pilot Boat Program that authorizes and funds the construction or capital improvements of boats owned and used by BOPC Licensees.
- Investigate ship accidents and incidents; investigate alleged misconduct by pilots; take actions against pilot licensees if causes arise. The BOPC is responsible for maintaining historical data related to maritime incidents and incident investigations.
- Administer the San Francisco Bar Pilot Pension Plan with approximately 85 former BOPC Licensees or spousal beneficiaries. The BOPC Executive Director is the primary fiduciary of the pension plan. The pension plan has been in existence since the mid-1980's and paper records of retirees and/or spouses are stored at the BOPC office for decades.
- Conduct pilotage rate hearings and set the rates that are charged by BOPC Licensees for their pilotage services.
- Set and charge various revenue-producing pilotage surcharges to fund the above-mentioned functions.

Most operations performed by the BOPC rely on paper-based processing including paper application forms and electronic excel sheets. The BOPC is also responsible for developing monthly pension allocation reports for all maritime pilots. These reports are excel-based and manually created every month.

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

The BOPC only has four full-time staff, and any effort to modernize and make processes more efficient is critically necessary to the effective function of the organization and administration of its programs, especially in light of state administrative and programmatic requirements required pursuant to new statutes and regulations. New services and products that are implemented through this project will have a significant impact on the BOPC's current business processes and allow the BOPC to more efficiently and effectively administer its various programs, and protect records from loss during disasters. Training courses that are administered by BOPC will remain largely the same; however, the ability to track and maintain employee history of training will be significantly improved. The BOPC will also see an impact on licensing maritime pilots, compliance reporting, training accessibility, and scalability for future pilot management needs. Change management will be required to take full advantage of any modernizations in the areas of collaboration, security, and scalability. Efficiencies will be gained by eliminating staff hours required to manually tabulate and correct pilot information, training histories, compliance reporting, and incident reports.

Digitizing the paper process will allow BOPC employees to telework more often, and assist with document recovery due to natural or other disasters.

1.6 Project Justification

1. **Strategic Business Alignment**

Enterprise Architect

Title: Chief, Technology Officer

Name: Mike Nguyen

Strategic Plan Last Updated? 1/1/2022

Strategic Business Goal: Cultivate Excellence

Alignment: The BOPC will benefit from the automated processing of maritime pilot licensing and training thereby facilitating career progression and professional aid for maritime pilots served by the BOPC. The BOPC will mature its business processes thereby increasing its level of service to the public, and the maritime pilot community.

Mandate(s): None

Bill Number/Code, if applicable: Click or tap here to enter text.

Add the Bill language that includes system-relevant requirements:

Click or tap here to enter text.

TIP: Copy and paste or click the + button in the lower right corner to add Bill Numbers/Codes and relevant language as needed.

2. **Business Driver(s)**

Financial Benefit: Yes

Increased Revenue: No

Cost Savings: No

Cost Avoidance: Yes

Cost Recovery: No

Will the state incur a financial penalty or sanction if this proposal is not implemented? No

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

Click or tap here to enter text.

Improvement

Better Services to the People of California: Yes

Efficiencies to Program Operations: Yes

Improved Equity, Diversity, and/or Inclusivity: No

Improved Health and/or Human Safety: Yes

Improved Information Security: Yes

Improved Business Continuity: Yes

Improved Technology Recovery: Yes

Technology Refresh: No

Technology End of Life: No

1.7 Business Outcomes Desired

Executive Summary of the Business Problem or Opportunity:

The BOPC depends on manual processes for the day-to-day operations and the limited staff work toward efficient and expedient processing of applications, initial licenses, and license renewals, training (for pilot continuing education and new pilot training), pension and incident investigation processes to ensure the effective management of its maritime business. BOPC staff are spending an inordinate amount of time when processing the needs of maritime pilots due to the manual nature of completing forms, transmitting paperwork through hardcopies, and manual lookups of paper files.

There are currently 50 active pilots, and to effectively manage the operations, the BOPC requires a solution capable of managing information related to pilot licensing, onboarding new pilot trainees, tracking training certifications, and interfacing with other systems. The BOPC has identified the need for a more robust solution to help reduce business inefficiencies, expand technology capabilities, provide business continuity, and improve the quality of public services. The current BOPC processes are time-consuming, and paper-driven, consisting of distributed spreadsheets, paper records, and manually prepared reports to manage most of the critical workload. As the majority of the BOPC's documentation is created manually, it is difficult to cross-reference even the simplest data sets, such as names and addresses between files or to share information, making incident investigations inefficient. The BOPC does not have a central repository to track critical information for each maritime pilot, and critical data is maintained on separate Excel spreadsheets. Pilot information is kept in a separate paper and some electronic files for each pilot trainee/pilot, pensioners, incidents, and trainee training performance records. The lack of a centralized data source is a key issue increasing the risk of errors when processing license renewals, training performance reports, pension reports, and completing incident investigations. Staff must manually gather and compile data from various locations (e.g., excel spreadsheets and paper records).

A new robust solution will produce several benefits for the maritime pilots, their families, key stakeholders, and BOPC staff. These benefits are realized through improved service delivery, pilot and pilot trainee satisfaction, ease of use for licensing and renewals, and overall process gain in performing the BOPC's functions. The solution will provide the functionality to:

- Streamline the workload for the BOPC staff including case management and document management.
- Improve customer service by providing pilots and external stakeholders with an online solution to submit applications, renew licenses and upload documents.
- Improve record keeping and tracking of licensure, renewals, training, and certifications.
- Reduce paper application processing time through digitization.
- Reduce the risk of errors associated with gathering, compiling, and keying in data from various sources.
- Improve customer service by providing members of the public and stakeholders the ability to upload documents and information to the BOPC.
- Improve record keeping, tracking, and management of training program.
- Improve record keeping, tracking, and management of an incident investigation process.
- Improve collaboration with contracted physicians to submit medical status determinations securely and electronically.
- Improve record keeping, tracking, and management of retirement and pension.
- Provide business continuity through case and document backup and restoration.

Objective ID: 1.1

Objective: Upon "go-live" of the solution, BOPC will replace the manual processing of maritime pilot business with automated workflow capabilities through a software solution.

Metric: Various types of data sources for maritime pilot information including paper applications and paper files, emails, excel spreadsheets, MS Access, and other data sources.

Baseline: Currently 4 major business processes (licensing, training, pension management, and incident & investigation management processes) are entirely paper-based.

Target Result: Automate maritime business processes by converting paper-based processes into the software-supported workflow.

Objective ID: 1.2

Objective: Upon "go-live" of the solution, BOPC will consolidate all data sources into a single data system.

Metric: Various types of data sources for maritime pilot information including paper applications and paper files, emails, excel spreadsheets, MS Access, and other data sources.

Baseline: Unable to quantify the number of data sources used for BOPC business data.

Target Result: Simplify the number of data sources for maritime pilot processing by storing and updating all pilot data into a single data system.

Objective ID: 2.

Objective: Within two years after implementation, expand online services to accept online payment.

Metric: Applications and payments received online.

Baseline: 0%; Currently the BOPC only accepts paper checks for the pilot training program exam application fee.

Target Result: 90% of payments will be processed online.

Objective ID: 2.1

Objective: Upon "go-live" of the solution, 25 percent of medical status determinations will be submitted securely and electronically

Metric: Medical status determinations received online.

Baseline: 0%; Currently medical status determinations are mailed or emailed to BOPC staff.

Target Result: 25 percent of medical status determination received electronically

Objective ID: 3

Objective: Within 6 months of implementation, reduce the time to process applications (training, renewals, and/or pension) by 40 percent.

Metric: Average time in hours to process an application.

Baseline: 40 hours

Target Result: 40 percent reduction on average in application processing

Objective ID: 3. 1

Objective: Within 6 months after implementation, reduce by 50% staff time spent developing reports that require pulling data from disparate sources.

Metric: Average time in hours to develop reports.

Baseline: 30 hours monthly

Target Result: 50% reduction in staff time

Objective ID: 3. 2

Objective: Within 6 months after implementation, the BOPC will have the ability to track incident investigations and provide real-time reports on the current status of compliance activities.

Metric: Number of available management reports.

Baseline: No ability to electronically track, retain incident investigation data/reports, and provide real time reports currently.

Target Result: 100% of all incident investigations and progress will be tracked and available for reporting.

1.8 Project Management

1. **Project Management Risk Score: 2.4**

   (Attach a completed Statewide Information Management Manual (SIMM) Section 45 Appendix A Project Management Risk Assessment Template to the email submission.)

2. **Project Approval Lifecycle Completion and Project Execution Capacity Assessment**

   Does the proposed development or project execution anticipate sharing resources (state staff, vendors, consultants, or financial) with other priorities within the Agency/state entity (projects, PALs, or programmatic/technology workload)?

   Answer: Yes

   Does the Agency/state entity anticipate this proposal will result in the creation of new business processes or changes to existing business processes?

   Answer (No, New, Existing, or Both)**:** Both New and Existing Processes

1.9 Initial Complexity Assessment

1. **Business Complexity Score:** 2.0

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

2. **Noncompliance Issues:** (Indicate if your current operations include noncompliance issues and provide a narrative explaining how the business process is noncompliant.)

   Programmatic regulations: No

   HIPAA/CIIS/FTI/PII/PCI: No

   Security: No

   ADA: No

   Other: No

   Not Applicable: Choose Yes or No.

   Noncompliance Description:

   Click or tap here to enter text.

3. **Additional Assessment Criteria**

   If there is an existing Privacy Threshold Assessment/Privacy Information Assessment, include it as an attachment to your email submission.

   How many locations and total users is the project anticipated to affect?

   Number of locations: 1

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

The approximate number of internal end-users: 4

The approximate number of external end-users: Unknown

1.10 Funding

Planning

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

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

   2/1/2023

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

   Planning BCP in development; Anticipate planning funds will be available on July 1, 2023.

Project Implementation Funding

1. Has the funding source(s) been identified for ***project implementation***? Yes

   If known, please provide the Funding Source(s) and dates funds for implementation will be made available:

   Board Operations Funds; Implementation BCP will be used for future funding.

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

   If "Yes" is selected, specify when this BCP will be submitted: Upon approval of Stage 2, date: TBD.

2. Please provide a rough order of magnitude (ROM) estimate as to the total cost of the project: Less than $10 Million

End of agency/state entity document.

Please ensure ADA compliance before submitting this document to CDT.

When ready, submit Stage 1 and all attachments in an email to ProjectOversight@state.ca.gov.

Department of Technology Use Only

Original "New Submission" Date: 03/09/2023

Form Received Date: 03/09/2023

Form Accepted Date: 03/09/2023

Form Status: Completed

Form Status Date: 03/09/2023

Form Disposition: Approved

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

Form Disposition Date: 03/09/2023

Department of Technology Project Number (0000-000): 2670-002