

CA - PMM

Project Name: Enforcement Online Complaint System

OCIO Project #:

Department: Real Estate

Revision Date:

Concept Statement

Description

Brief description of the proposed project:

The DRE proposes to implement a web-based system to enable the online filing of complaints against salesperson and broker licensees, as well as subdividers. Currently, complaints are submitted in paper form and manually processed prior to issuance of the final decision, which can include a formal Administrative Hearing. Implementation of this proposed system will streamline the complaint process; address customer dissatisfaction with the duration of the current process; and improve service to the public.

Need Statement

High Level Functional Requirements:

This proposed system will address the needs to: Streamline complaint process; create an electronic repository of case files and decisions; enable electronic interchange of data with other State agencies; reduce key data entry; reduce physical storage of paper documents; reduce costs related to scanning of documents; reduce costs related to corresponding with complainants; reduce printing costs; support Governor's Transparency in Government initiative; use technology to enhance productivity and services to the public.

What is Driving This Need?

When the housing bubble burst in 2007, the Department witnessed a marked increase in the number of complaints filed against licensees and subdividers due to scams, fraud, and mismanagement. By automating the complaint process, the Department will shorten the overall timeframe it takes to act on such complaints.

Risk to the Organization if This Work is Not Done:

It is the Department's mission to protect and serve the interests of the public in real estate transactions. By not streamlining the complaint process, DRE runs the risk of not disciplining licensees and subdividers timely, thereby exposing the public at large to possible financial losses.

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Benefit Statement

Intangible Benefits

Process Improvements (describe the nature of the process improvement):

The proposed system will enhance efficiency of complaint process by enabling public to initiate complaints online, thereby reducing DRE's need to manually process them. It will support online interaction between DRE and public. It will enable information to automatically overlay into the Department's Enterprise Information System (EIS), which includes the initiation of a complaint case file. It will enable the Department to expand its online repository of information to its employees and the public in general. It will improve community outreach.

Other Intangible Benefits:

This project will enable the Department to further its realization of the Governor's Transparency in Government initiative. It will also foster good will by creating a system that is available 24x7, thus allowing the public to more easily interact with the Department with regards to the complaint process, and offer information on active cases to the complainants.

Tangible Benefits

Revenue Generation (describe how revenue will be generated):

No revenue will be generated by this system.

Cost Savings (describe how cost will be reduced):

Cost savings will be realized in the following areas: Reduce man-hours required for the complaint process; reduce key data entry needs; reduce scanning and physical storage of paper documents; reduce cost of corresponding with complainants; reduce man-hours required to respond to inquiries by phone; reduce duplication and mailing costs of sharing information with other State agencies; and reduce printing costs.

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Cost Avoidance (describe the cost and how avoided):
 Once the proposed system is fully realized, the Department will be able to avoid the following costs: Storage of hard copy documents; man-hours to perform key data entry, manually respond to phone requests for status of complaints; costs of printing supplies, such as paper, toner, and envelopes; costs of postage.

Risk Avoidance (describe the risk and how avoided):
 By creating an online complaint system, the DRE reduces financial risks to the public.

Improved Services:
 Once implemented, it is estimated that the following service improvements will be realized: Reduction in processing of public report applications from XX days to YY days; reduction in the time to respond to status requests from XX hours manually to 24x7 access online; ability to search decisions online; increase electronic data interchange between State agencies; reduce the time it takes to receive a copy of a final decision from XX days manually to 24x7 access online; improve community outreach.

Consistency

"No" Responses 		Rationale	Action Required
Enterprise Architecture	Yes		
Business Plan	Yes		
Strategic Plan	Yes		

Impact to Other Entities

Nature of Impact to Other Entities

Entity: DRE Information Technology Services (ITS) Section
Describe the nature of the impact:
 This project will require creation of a new online system; revisions to existing EIS and Imaging systems; and revisions to DRE Website; as well as ongoing support, management, and maintenance of new hardware and software.

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support, management, and maintenance of new hardware and software.

Entity: DRE Licensing Support Section

Describe the nature of the impact:

This project will require the expansion of the support offered to the existing Licensing Document Imaging System to include other Program Areas.

Entity: Other State Agencies

Describe the nature of the impact:

This project will require creation of a new system or enhancement to existing system, should other State agencies wish to electronically receive information from the DRE.

Entity:

Describe the nature of the impact:

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Solution Alternatives

Alternative 1:

Do nothing.

Technical Considerations for Alternative 1:

While this solution avoids the cost of designing, developing, and maintaining a new system, it fails to address the ongoing backlog of complaints filed with the Department. It does not address the adverse impact to the public of the current complaint processing limitations. It does not provide the means to incorporate strategic planning objectives, nor does it meet business requirements.

ROM Cost: \$0 to \$0

Note: high end of range must not exceed 200% of low end of range

Alternative 2:

This solution involves the addition of employees in the five DRE District Offices and/or the creation of additional District Offices to handle the complaint workload.

Technical Considerations for Alternative 2:

All DRE office facilities are at maximum occupancy and cannot house the additional staff required to support this solution. Relocation to larger facilities would be required. Furthermore, the increase in staff and the expansion in the number of District Offices within the State would dramatically increase the Department's operating costs. It addresses the backlog of complaints filed with the Department, as well as the adverse impact to the public. It incorporates DRE's strategic planning objectives, as well as meets its business requirements.

ROM Cost: \$1,000,000 to \$2,000,000

Note: high end of range must not exceed 200% of low end of range

Alternative 3:

In-house ITS resources will be used to design, develop, implement, and maintain a new web-based complaint system, as well as make enhancements to the

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Department's EIS and Document Imaging Systems. DRE will pursue the electronic interchange of data with other State agencies.

Technical Considerations for Alternative 3:

This option will require the purchase of additional hardware and software. Licensing Support Section would expect an increase in verification workload and minimal increase in indexing additional paper. This solution addresses the backlog of complaints filed with the Department, as well as the adverse impact to the public. It incorporates DRE's strategic planning objectives, as well as meets its business requirements.

ROM Cost: \$1,085,000 to \$2,170,000

Note: high end of range must not exceed 200% of low end of range

Recommendation

Comparison:

Alternative 1	ROM Cost			Risk
Do Nothing	\$0	-	\$0	<i>Not addressed: complaint backlog/adverse impact on public</i>
Alternative 2	ROM Cost			Risk
Add Staff and/or District Offices	\$1,000,000	-	\$2,000,000	<i>Lengthy training of new employees; process not automated</i>
Alternative 3	ROM Cost			Risk
Automate Complaint Process	\$1,085,000	-	\$2,170,000	<i>Fewer man-hours to process complaints</i>

Conclusions:

1	Best to automate the complaint process, thereby improving service to the public.
2	Best to utilize existing ITS knowledge of web-based systems, as well as in-house enhancements to existing EIS and Imaging Systems.
3	Best to avoid costs associated with additional staff and/or District Offices.
4	

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Recommendation:

Recommend the system described under Alternative 3 be approved for design, development, and implementation.

Project Approach *(if known)*

System Complexity:		System Business Hours: <i>(e.g., 24x7, 9am-5pm)</i> : 24x7	
Architecture	<input type="checkbox"/> Mainframe <input type="checkbox"/> Client Server <input checked="" type="checkbox"/> Web Based	Num. of New Databases:	1
Technology	<input type="checkbox"/> New <input type="checkbox"/> New to Staff <input checked="" type="checkbox"/> In-House Experience	Interfaces:	Internal
Implementation	<input type="checkbox"/> Central Site <input checked="" type="checkbox"/> Phased Roll-out	Num. of Sites:	1
M & O Support	<input type="checkbox"/> Contractor <input type="checkbox"/> Data Center <input type="checkbox"/> Project <input checked="" type="checkbox"/> In House		
Procurement Approach: Procurements of hardware and software will be done from available DGS eProcurement vehicles and/or open market, whichever if applicable.			Number of Procurements: Up to 10
Open Procurement?	Yes	Delegated Procurement?	Yes
Scope of Contract	<input type="checkbox"/> Development <input type="checkbox"/> Implementation <input type="checkbox"/> M & O <input checked="" type="checkbox"/> Other: Goods only		
Anticipated Length of Contract:	0 Years /	0 extensions for	0 years