

CA - PMM

Project Name: Enforcement Case Tracking System (ECTS) Enhancement

OCIO Project #: _____

Department: Air Resources Board

Revision Date: 10/14/10

Concept Statement

Description

Brief description of the proposed project:

The ARB proposes to implement enhancements to the Enforcement Case Tracking System (ECTS) to accommodate the increased work load and process inefficiencies associated with enforcement of Consumer Products and Heavy-Duty Diesel regulations. The system will be flexible and scalable to accommodate future workloads, Regulations, and facilitate enterprise-wide data sharing.

Need Statement

High Level Functional Requirements:

The developed tool will 1) Automate and compile consistent annual reporting metrics; 2) Improve efficiency to allow the redirection of staff time to on-the-ground enforcement activities; and 3) Provide consistent transfer of historical actions and knowledge to new employees and managers, addressing identified succession planning issues over time. The tool will allow investigators to effectively and efficiently sample and test evidence, create cases based on test results from evidence as well as other investigatory information and manage the cases from creation to closure.

What is Driving This Need?

1. Current sampling management process is insufficient to meet needs of the ARB Investigators, 2 Requirements to enforce, monitor and track Consumer Products and Heavy Diesel regulations 3. Requirements to enforce, monitor and track other newly adopted regulations, 4. Collection of statistical data for periodic reporting is cumbersome and inefficient, 5. Current functionality is not agile and does not enable consistent and comprehensive knowledge transfer.

Risk to the Organization if This Work is Not Done:

1. ARB processes will become increasingly manual and require inordinate amounts of staff time.
2. ARB may not be able to identify and enforce regulatory non-compliance.
3. ARB may not be able to share critical data with internal and external stakeholders.

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Benefit Statement

Intangible Benefits

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

The processes required for the tracking and reporting of compliance will be automated, requiring less staff time and thereby freeing up personnel to evaluate and enforce compliance issues with regulatory requirements in a timely manner. This will result in fewer instances of entity non-compliance. Centralized and shared data between ARB divisions and stakeholders minimizing data redundancy and inaccuracies.

Other Intangible Benefits:

Ease and convenience of use, using a web-based system.

Tangible Benefits

Revenue Generation (describe how revenue will be generated):

N/A

Cost Savings (describe how cost will be reduced):

ARB's costs would be lower with the proposed system than if it had to manually conduct the processes. The details will be determined in the FSR.

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Cost Avoidance (describe the cost and how avoided):
 N/A

Risk Avoidance (describe the risk and how avoided):
 Reduce risk and avoid associated costs with:
 1. ARB processes becoming increasingly manual and requiring inordinate amounts of staff time.
 2. Identifying and enforcing regulatory non-compliance.
 3. Share critical data with internal and external stakeholders.

Improved Services:
 Regulators (e.g. ARB, Local Air Districts, Local District Attorneys, CA Attorney General, etc) will be provided greater convenience, ease of use, improved data reporting to the public and general improved ability to process and enforce ARB regulatory requirements.

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: California Environmental Protection Agency
Describe the nature of the impact:
 The project will support Cal/EPA's efforts to improve the environment generally and specifically to improve air quality and to reduce global climate change.

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Entity: Local District Attorneys/CA Attorney General

Describe the nature of the impact:

Concise and timely data sharing for enforcement of CA air quality laws.

Entity: Local Air Districts

Describe the nature of the impact:

Concise and timely data sharing for enforcement of CA air quality laws.

Entity: California Resources Agency

Describe the nature of the impact:

The project will improve air quality and reduce global climate change which negatively impacts animals, plants and other organisms found in the natural environment for which the Resources Agency and its constituent departments have responsibility.

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Solution Alternatives

Alternative 1:	
Purchase of Commercial-Off-The-Shelf (COTS) Software	

Technical Considerations for Alternative 1:	
After careful review and consideration, the ARB has concluded that there are no known commercial packages that would meet the needs and requirements of the State of California and the ARB without extensive, and expensive, modifications and enhancements.	
ROM Cost:	\$1,500,000 to \$2,500,000
Note: high end of range must not exceed 200% of low end of range	

Alternative 2:	
Acquire and modify a solution from another state	

Technical Considerations for Alternative 2:	
California and the ARB has long been a world leader in combating air pollution emitted from motor vehicles, mobile sources, fuels, chemically formulated consumer products and other high global warming potential pollutants. Because of the state's severe air quality problems, California is the only state authorized under the Federal Clean Air Act to set its own motor source emissions and fuels standards. Additionally, California enforces unique regulatory procedures for consumer products and other pollutants. As a result, the ARB has concluded that no other states have implemented a solution that could meet CA requirements for this project without extensive modifications and enhancements.	
ROM Cost:	N/A to N/A
Note: high end of range must not exceed 200% of low end of range	

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Alternative 3:

The enhancement of the existing Enforcement Case Tracking System.

Technical Considerations for Alternative 3:

A contractor will further develop the Enforcement Case Tracking System. The application will be implemented using technology consistent with ARB's current web application and development platforms.

ROM Cost:	\$1,200,000	to	\$2,000,000	Note: high end of range must not exceed 200% of low end of range
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Recommendation

Comparison:

Alternative 1	ROM Cost			Risk
Purchase of COTS Software	\$1,500,000	-	\$2,500,000	<i>Risk of cost and schedule overruns</i>
Alternative 2	ROM Cost			Risk
Acquire/modify another State's solution	N/A	-	N/A	<i>N/A</i>
Alternative 3	ROM Cost			Risk
Develop out ECTS	\$1,200,000	-	\$2,000,000	<i>Some risk that developer be unable to develop/deliver timely</i>

Conclusions:

1	No known commercial packages that would meet the needs and requirements of the project
2	No other states have implemented a solution that could meet the requirements of the project
3	Contractor developed tool would provided the most cost effective and timely response to the project needs
4	

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Recommendation:

Enhancing the ECTS system most fully meets the needs and objectives of the ARB. The evaluation criteria used in assessing this and other solution alternatives are: 1. Cost Effectiveness - the proposed solution is the least costly solution that meets the needs and objectives available to the ARB and can be feasibly implemented; and 2. Timeliness - the ARB considered the length of time it would take to implement the proposed solution and the other alternative considered. Under this criterion, the proposed solution is deemed most likely to be successfully developed and implemented in the required timeframe.

Project Approach *(if known)*

System Complexity:		System Business Hours: <i>(e.g., 24x7, 9am-5pm)</i> :		
Architecture	<input type="checkbox"/> Mainframe <input type="checkbox"/> Client Server <input checked="" type="checkbox"/> Web Based			Num. of New Databases:
Technology	<input type="checkbox"/> New <input type="checkbox"/> New to Staff <input type="checkbox"/> In-House Experience			Interfaces:
Implementation	<input type="checkbox"/> Central Site <input type="checkbox"/> Phased Roll-out			Num. of Sites:
M & O Support	<input type="checkbox"/> Contractor <input type="checkbox"/> Data Center <input type="checkbox"/> Project <input type="checkbox"/> In House			
Procurement Approach: The ARB anticipates contracting with entities for the procurement, oversight/IV&V, development, testing, and implementation and training assistance with the ECTS.				Number of Procurements:
Open Procurement?		Delegated Procurement?		
Scope of Contract	<input checked="" type="checkbox"/> Development <input checked="" type="checkbox"/> Implementation <input type="checkbox"/> M & O <input type="checkbox"/> Other:			
Anticipated Length of Contract:	24 mos	Years /	extensions for	years