



**e-Services Work Opportunity Tax Credit (eWOTC) Web
Application Deployment Project**

**Workforce Services Branch / Work Opportunity Tax Credit
(WOTC) Program**

**Information Technology Branch / Applications Development
Division**

Project Charter

Project Charter v.1.5 FINAL

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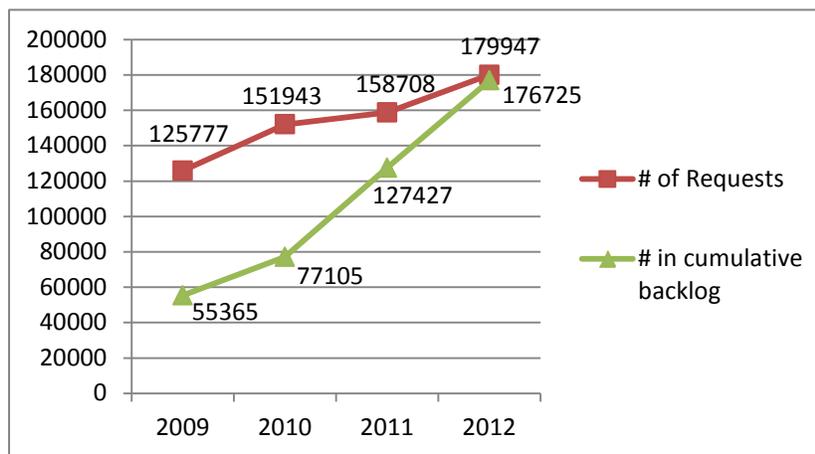
1 GENERAL INFORMATION

Project ID	Activity Name: EWOTC1. Project Code: 175. Activity Code: 150
Project Name	eWOTC Web Application Deployment Project http://ednet/projects/Portfolio/eWOTC/SitePages/Home.aspx
Division	Applications Development Division (ADD)
Customer	Workforce Services Branch (WSB) / Work Opportunity Tax Credit (WOTC) Program Debbie Smith, Shirley Pertle
Start and End Dates	8/21/2012 to TBD
Criticality Rating	High Criticality
Sponsor(s)	Pauline Sing , ADD Chief (Technical Sponsor) Diane Ferrari , WSB/NWSFD Chief (Business Sponsor)
Project Manager	Kathleen Twomey
Author	Pauline Sing, Steve Pieri, Kathleen Twomey, Romeo Blanco, Rollin Mazzera, Lance Williams

2 PROJECT BACKGROUND AND PURPOSE

The federal Small Business Job Protection Act established the Work Opportunity Tax Credit (WOTC) in 1996. Since then, the EDD's WOTC office has partnered with the Information Technology Branch's (ITB) Applications Development Division (ADD) team to upgrade and improve, on an ongoing basis, WOTC's IT processing capabilities.

In July 2011, the increasing demand for WOTC services necessitated the conversion of the WOTC database from MS Access to the EDD standard .NET platform (i.e., a Windows application). This provided many processing, security, file storage, and system integration improvements. But it did not address the still growing backlog of requests for the tax credit. The following graph shows how the numbers have increased since 2009.



As California employers have become more and more aware of the WOTC tax credit, the program has become more and more popular. The numbers would seem to be increasing now into the year 2013, too, even if no further legislation were to go in effect to increase the number of eligible target groups. If the WOTC office received no more requests for the tax credit, they estimate that it would take approximately two years to process the backlog using the current staffing levels and technology. Most of the State WOTC processing centers have significant backlogs due to the many changes that have taken place over the past three years. Employers have to wait for the credit and then file an amended tax return to receive the credit. As a result, veterans and other target groups are not being hired. Most of the employers have consultant representatives that are well aware of these issues. Filing an amended tax return is one option for an employer. An employer can also carry the tax credit forward

and this is written in the Department of Labor's *WOTC Handbook*, per the IRS, probably in anticipation of this particular problem. As of January 2013, the EDD's WOTC office is processing non-Veteran target groups for hire dates in November, 2011, and processing the *Vow to Hire Heroes Act* target groups for hire dates of September, 2012. For EDD, there is also the potential for media embarrassment because credits are not being processed in a timely manner.

The increasing backlog (due to increasing popularity and expanded eligibility) necessitated the request to enhance the system further. In September 2012, the ITB chiefs agreed to authorize this as an approved project and to provide the resources necessary to analyze and design a new system that could augment the current system and see it to completion.

While most of the new Web application has been analyzed, designed, programmed, and successfully tested with the WOTC office, there is still a need to design and build the infrastructure necessary to support the new system. The public-facing Web application, the backend database, and the internal WOTC .NET (Windows) application must all work together to help the WOTC office slow down, if not stop and reverse, the growing backlog of tax credit requests. Lastly, the identify management system must be implemented, too.

These are the goals of the project. The system may one day be the building block for enhancing the eligibility rules to the point of providing one-day turnaround response for incoming requests. This would dramatically lessen the staff time necessary to manually assess and process each request.

3 OBJECTIVES

The goal of this project is to put into production a solution that relies on the following objectives:

- Determine which ISO-approved identity management implementation to adopt.
- Determine who will host the various components of the new system.
- Determine which management/administration module to incorporate into the system.
- Adjust the new eWOTC web application to incorporate the chosen security model, hosting decision, and management/administration module.
- Ensure that the WOTC office is prepared for going live with the new system, i.e., system usage as well as the procedures necessary to accommodate credit requests coming from both the new Web application and the ongoing, current paper-based system.

4 SOLUTION

The chosen solutions, and their alternatives, to meeting the objectives are described here:

- **Determine which ISO-approved identity management implementation to adopt.**
The following alternatives were considered, with the third alternative being the chosen solution:
 1. The existing Windows-based identity management (IdM) solution is rejected for not complying with the ISO's enterprise standard.
 2. The Oracle IdM solution, which Deloitte is delivering for the CCR and DIA projects, is not ready for use by other systems, so that alternative is rejected.
 3. IBM's *Tivoli Access Manager for Enterprise Single Sign-on (TAMe)* has been successfully implemented for the Tax Branch's *ACES* system, and it meets the ISO standards, so it is ready to be consumed as a service by another system. It is the chosen solution.

- **Determine who will host the various components of the new system.**

The following alternatives were considered, with the third alternative being the chosen solution:

1. Host the Web application and SQL database at CO (database already at CO). This would require the EDD to build out the n-tier infrastructure security model that currently does not exist. Given existing resource availability, this solution is rejected.
2. Host the SQL database at CO (current state) and host the Web application at the Office of Technology Services (OTech). This would also require the EDD to build out the n-tier infrastructure security model that currently does not exist. Given existing resource availability, this solution is rejected.
3. Host both the SQL database and the Web application at OTech. This alternative was chosen as the solution because the EDD does not possess the resources necessary to build this n-tier architecture at this time. Subject to approval by WSB to cover the cost of the OTech hosting, this is the preferred solution.

- **Determine which management/administration module to incorporate into the system.**

The following alternatives were considered, with the second alternative being the chosen solution:

1. The decision to not use the Windows-based identity management solution renders its corresponding management/administration module obsolete as a solution alternative, therefore it is rejected.
2. The TAME alternative includes a management/administrative module, called IHelp, which has proven successful in other implementations, so it is the chosen solution for eWOTC.

5 SCOPE STATEMENT

5.1 Product Scope

- Create a public (internet) facing environment which provides employers and their consultants with an automated method for the filing and tracking of requests for Work Opportunity Tax Credit (WOTC) certificates or certification.
- Ensure that the new system meets all security and enterprise architecture standards.
- The web application, along with its business rules and corresponding changes to the backend, SQL 2008 database (two new tables), has for the most part already been developed and successfully tested. Any changes to the application coding resulting from the agreed upon hosting and security model will need to be made.

5.2 Project Scope

- Use the Service Delivery Discipline methods to manage the project.

5.3 Out-of-Scope

- Use of the imminent arrival of Oracle, for single sign-on functionality, is out of scope for this project.

6 SCHEDULE

The project schedule will be predicated by staff resource availability to implement the TAME IdM solution and the time necessary for both EDD and OTech staff to implement the architectural model at OTech and at EDD. The goal is to ideally finish before or after, and not during, the Tax Branch's peak filing period of March 23 to May 10, 2013. The estimated go-live date is May 2013; however, the detailed work breakdown structure and project schedule are currently in progress.

7 BUDGET

Funding Implications

WOTC has its own funding stream issued through the Department of Labor. Estimated staff costs for the project are as follows: ITB staff \$107,587.94 and Tax Branch staff \$18,880.12. The OTech costs are estimated at \$15,000 one-time and \$50,000 per year on-going.

WOTC funding from the Department of Labor is based on three criteria, one of which is within EDD's control, i.e., the number of certifications issued in the prior year. Therefore the higher volume of certifications issued to employers, the higher the funding is to EDD for the following fiscal year.

8 COMPLEXITY

Not applicable, as this project is not reportable to the California Technology Agency.

9 IMPACT ASSESSMENT

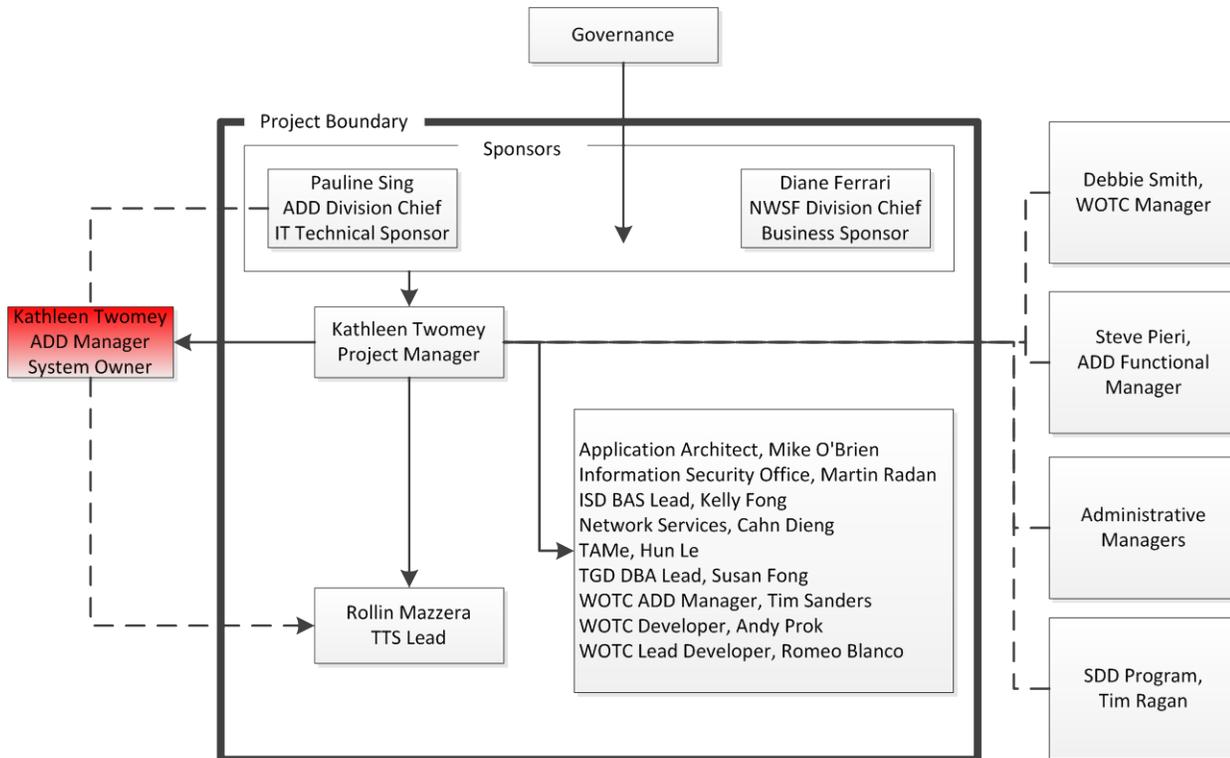
For **program-area impacts**, please refer to the WOTC organization's own "WOTC Automation Project: Team Charter," located at:

http://eddnet/teams/ASD/WOTC/WOTC%20Library/WOTC%20Automation%20Project%20-%20Team%20Charter_Nov%2017%202011.doc

Technical impacts include:

- The project team will have to redesign the login screen navigation, and corresponding back-end storage logic, from **landing page** to **EDD/TAMe enrollment** to **eWOTC registration** and finally to the **eWOTC Web application**.
- The project team will have to work with the Tax Branch to agree on making the language more generic than what is currently on the TAMe login screen. Tax Branch was the first EDD organization to use TAMe for identity management (for ACES) and inadvertently incorporated Tax-specific language onto the public-facing pages.
- The project team may decide to move the current existing SQL Server database from EDD to OTech's DMZ.
- The project team will have to ensure that both *SQL Server Reporting Services (SSRS)* and *SQL Server Integration Services (SSIS)* continue to work with the new architecture of components.
- The EDD will capitalize on its acquisition and implementation of IBM's Tivoli Access Manager (TAMe) by now reusing it for the first time, i.e., by being that service's second consumer (after ACES). TAMe will be taking on a more enterprise solution functionality.

10 PROJECT ORGANIZATION



11 PROJECT PRIORITIES

Flexibility	Least	Somewhat	Most
Resources	X		
Schedule			X
Scope		X	

12 ASSUMPTIONS AND CONSTRAINTS

12.1 Assumptions

1. WSB has its own funding through the federal Department of Labor and will pay for all project costs.
2. The **ADD development team** will conduct testing as the Web application, the database, and the internal Windows application are implemented.
3. The **WSB's WOTC team** will conduct acceptance testing once the Web application, the database, and the internal Windows application are implemented.
4. OTech will participate in the hosting of one or more components of the system architecture.
5. The *SQL Server 2008 R2* database (already built) will be moved from EDD to OTech.

6. The ISD team will design, build, and test the production and pre-production environments in a TMS (Premium) environment at OTech.
7. Identity authentication will be implemented by reusing IBM's *Tivoli Access Manager for Enterprise Single Sign-on (TAMe)*, which EDD is already licensed for. (The Oracle IdM solution is not expected to be ready for use during this project's duration.)
8. By moving components to OTech, any potential degradation of processing speed across the various "hops" between the nodes (i.e., CO, OTech, WOTC facility, CA employers) will be negligible at most.
9. ITB's new [Service Delivery Discipline](#) methods and tools will be adopted for managing this project.

12.2 Constraints

Although the ITB Deputy Director and Division Chiefs approved this project to move forward (August 2012), it was given an ITB Priority of **23** and no Executive Leadership Team (ELT) priority, therefore, resource availability may be quite limited and the schedule will need to remain flexible. Critical resources needed for the project may be unavailable due to higher priority projects such as CalHEERs.

13 RISKS

The longer it takes to deploy a system to production, the more the backlog of credit requests will continue to grow. This could lead to negative press time for the WOTC program and the Department.

14 RUNAWAY TRIGGERS

The following are runaway triggers that describe the conditions under which the project should automatically come under management scrutiny:

- If the TAMe screen updates are not delivered to the IdM group by March 15, 2013
- If the pre-production environment is not in place by March 18, 2013

15 SHUTDOWN CONDITIONS

The following are shutdown conditions under which the project should no longer be considered viable and further investment is no longer warranted:

- Change in the organization's strategic direction

16 STAKEHOLDERS

Application Architect	Mike	O'Brien	Core
Information Security Office	Martin	Radan	Core
ISD BAS Lead	Kelly	Fong	Core
Network Services	Cahn	Dieng	Core
TAMe	Hun	Le	Core
TGD DBA Lead	Susan	Fong	Core
WOTC ADD Manager	Tim	Sanders	Core
WOTC ADD Section Chief	Steve	Pieri	Core
WOTC Developer	Andy	Prok	Core
WOTC ITB Project Manager	Kathleen	Twomey	Core

WOTC Lead Developer	Romeo	Blanco	Core
WOTC System Owner (ITB)	Kathleen	Twomey	Core
WOTC TTS Lead	Rollin	Mazzera	Core
Application Architect	Peter	Leung	
Change and Release Management	Teresa	Fuller	
Change and Release Management	Malinda	Petersen	
Enterprise Architect	Ernest	Shih	
ISD Manager	Kin	Lam	
ISD Security: TAME Liaison to OTech, ISO	Michael	Thrall	
Network Services	Sutton	Fong	
Network Services	Patrick	Poon	
OTech: TAME	Kevin	Lao	
PSD Customer Service	Toua	Her	
Public Affairs Branch, WCUG	Jessyca	Crews	
Public Affairs Branch, WCUG	Danna	Stapleton	
Public Affairs Branch, WCUG	Mark	Wong	
Public Affairs Branch, WCUG Mgr	Sarah	Loui-Fong	
SDD Program	Tim	Ragan	
TAME	Lori	Chan	
Tax - TSD	Sue	Chinn	
Tax - TSD	Julia	Duran	
Tax - TSD	Robert	Green	
Tax - TSD	Leslie	Lai	
Tax - TSD	Jun	Marania	
WOTC Customer	Thomas	Livingston	
WOTC Customer	Martha	McWalters	
WOTC Customer	Shirley	Pertle	
WOTC Customer	Debbie	Smith	
WOTC Sponsor - Business	Diane	Ferrari	
WOTC Sponsor - Technical	Pauline	Sing	