



**City/State:**  
New York City/  
New York

**Client:**  
Office of the  
Attorney General

**Industry:**  
Legal

## The Client

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The Attorney General serves the public interest of all New Yorkers in matters affecting their daily lives, enforcing laws to protect consumers, tenants, patients, workers, investors, and charitable donors. The office coordinates statewide civil and criminal investigations, promoting economic and social justice, encouraging harm-reducing public health strategies, and preserving the state's environment. While the Attorney General acts independently of the Governor, the Governor or a state agency may request the Attorney General to undertake specific criminal investigations and prosecutions. The Attorney General's authority also includes the activities and investigations of the Organized Crime Task Force and Medicaid Fraud Control Unit.

## Problem

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The Office of the Attorney General (OAG) was looking to perform a work assessment and business process review to find strengths, weaknesses, risks and opportunities. The goal was to develop an implementation plan to improve and streamline processes to better meet the regulatory and compliance demands and external stakeholder needs.

The primary focus of the analysis was the registration and annual filing review functions for charitable organizations and fundraising professionals. Annually, charitable organizations holding assets and professional fundraisers must register and file financial reports and contract related information with the OAG Charities Bureau. The Charities Bureau receives over 100,000 filing related documents and collects \$6.5 million in fees each year. The documents are scanned and evaluated in a custom document management and workflow system. The business process analysis should highlight risks and opportunities for business process improvement and identify workflow efficiencies to improve the existing evaluation and review process. Further it should help lay the framework for a more comprehensive regulatory system.



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## The Solution

Capstone Strategy Group (CSG) performed a current state analysis, identified gaps/inefficiencies, and suggested future state improvements. Based on the analysis, CSG determined that the best overall approach to address identified shortcomings was for the Charities Bureau to:

- Re-engineer the current manual “analog” processes based on the suggested future state process flow.
- Develop an industry best practice digitization solution strategy based on the proposed customer journey.
- Implement the strategy via the use of current Agile development methodology.
- Use the web-based systems to make the solution accessible to internal users and external stakeholders.
- Implement business intelligence for reporting, decision support, and performance management.

Anticipated benefits based on the suggested recommendations

- Efficient and effective service delivery to charitable and professional fundraiser organizations.
- Improve the Bureau’s compliance and enforcement capabilities.
- Make the capture of and access to data more streamlined, prompt and accurate.
- Satisfy the needs from the external stakeholder community.
- Enable the Charities Bureau to take a leadership role in advancing a “single portal” thereby driving a revolution that is much needed in this industry sector.

### Snapshot of the proposed customer journey

