



Stage 4 Project Readiness and Approval

California Department of Technology, SIMM 19 D.2 (Rev. 3.0.8, 2/28/2022)

4.1 General Information

1. **Agency or State Entity Name:** 8660 - Public Utilities Commission

If Agency/State entity not in the list, enter here with the [organization code](#).

[Click or tap here to enter text.](#)

2. **Proposal Name:** Human Capital Management Systems (HCMS)

3. **Department of Technology Project Number (0000-000):** 8660-093

4. **S4PRA Version Number:** Version 2

5. **CDT Billing Case Number:** CS0055697

Don't have a Case Number? [Click here to get one.](#)

4.2 Submittal Information

1. **Contact Information**

Contact Name: Fedra Ghavami

Contact Email: fedra.ghavami@cpuc.ca.gov

Contact Phone: 213-444-8884

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 an updated or resubmission (List all the sections that have 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 Final [Procurement Assessment Form](#) to your email submission.
5. **Conditions from Stage 3 Approval** (Enter any conditions from the Stage 3 Solution Analysis approval letter issued by CDT):
[Click or tap here to enter text.](#)

4.3 Contract Management

The Contract Manager must be a State Employee and should not be the Project Manager. Please complete the questions below in reference to the **primary solicitation**.

Is the Contract Management Plan complete, approved by the designated Agency/state entity authority, and available for the Department of Technology to review? **Choose:** 'Yes,' 'No,' or 'Not Applicable.' If 'No' or 'Not Applicable,' provide the artifact status in the space provided.

1. [Contract Management Plan \(Approved\)](#): Yes
Status: [Click or tap here to enter text.](#)
2. **Has the role of Contract Manager been assigned, and has the Contract Manager reviewed and gained an understanding of the scope, activities, tasks, and deliverables of the contract?** Yes
If "No," briefly explain below why both have not been accomplished:
[Click or tap here to enter text.](#)
3. **Does the assigned Contract Manager understand the processes for post-award contract activities, including contract amendments, contract work authorizations, terms and conditions, and contract escalation/resolution?** Yes
If "No," briefly explain below why this has not been accomplished:
[Click or tap here to enter text.](#)
4. **Has a post-award kickoff meeting between the Contract Manager and state project team members been scheduled to align state and contractor expectations related to contract, budget, invoicing, requirements review, and contractor incentives?** Yes (6/2/23)
If "No," briefly explain below why this has not been accomplished:
[Click or tap here to enter text.](#)
5. **Does the Contract Manager understand the Agency/state entity and federal processes, policy, and applicable procedures?** Yes
If "No," briefly explain below why this has not been accomplished:
[Click or tap here to enter text.](#)

6. **Does the Contract Manager have a plan to collect and assess contractor and project performance information on a regular basis (e.g., establish meetings with Project Managers, communication techniques)?** [Yes](#)

If “No,” briefly explain below why this has not been accomplished:

[Click or tap here to enter text.](#)

4.4 Organizational Readiness

Is the Implementation Management Plan draft complete, approved by the designated Agency/state entity authority, and available for the Department of Technology to review? **Choose:** ‘Yes,’ ‘No,’ or ‘Not Applicable.’ If ‘No’ or ‘Not Applicable,’ provide the artifact status in the space provided.

1. **[Implementation Management Plan \(Draft\):](#)** No

Pending information from Implementation vendor. Started the draft plan and it is pending on vendor on boarding and providing the Implementation Management plan. It is expected to have this plan completed when the vendor is on boarding within 2 months.

2. **Does the Agency/state entity currently have a mature release management process with a repeatable and scalable testing methodology that supports all stages of testing (system, integration, security, performance, interfaces, regression, user acceptance, and accessibility)?** [Yes](#)

If “No,” briefly describe below the release management process that will be used to manage, plan, schedule, and control a software release through the different phases and environments, including testing and deploying software releases:

[Click or tap here to enter text.](#)

3. **Does the project team have a clear understanding of the areas of business (identified in Stage 1) that will be impacted by the project?** [Yes](#)

If “No,” briefly explain below how the Agency/state entity plans to educate the project team to ensure all members have a clear understanding of the impacted business areas by the project:

[Click or tap here to enter text.](#)

4. **Does the Agency/state entity have processes and methodologies in place to support Organizational Change Management (OCM) activities identified in Stage 2, Section 2.9 Organizational Change Management?** [Yes](#)

If “No,” briefly describe below how the Agency/state entity will perform OCM activities for this proposal:

[Click or tap here to enter text.](#)

5. **Does the Agency/state entity have dedicated knowledge transfer resources assigned to business process improvement or business process reengineering activities resulting from the new solution?** [Yes](#)

If “Yes,” specify the areas of business process improvement:

CPUC has an IT Specialist II, William Harrigan, trained in Organizational Change Management (OCM) assigned to this project.

If “No,” briefly explain below how the Agency/state entity will perform business process improvement or business process reengineering activities resulting from the new solution:

6. **Attach** Updated Project Organization Chart to your email submission.

4.5 Project Readiness

1. **Select the system development methodology you plan to use to design and develop the new system:** [Adaptive](#)

Provide a brief description of your methodology and reason for selecting it below:

The system will use a commercial product from Oracle for Human Resource Management system and will customize the product to suit CPUC requirements (business rules, configurations, workflows, and State compliance requirements). The customization process will follow agile methodology where contractor will implement the required features in manageable groups called sprints. Each sprint will cover a few requirements from requirement validation, design, testing, and verification, within specified and limited timeframe usually less than two (2) months each per sprint.

Describe below the Agency/state entity’s past project experience using the system development methodology selected. If this methodology has never been used before, describe the training and staff development that will be provided to prepare staff to utilize this methodology.

Previous Project design and implementation aligns with Rail Safety and Security Information Management System (RSSIMS) Bulk Record Update CDT Project # 08660-073

2. **Has the Agency/state entity engaged the Office of Technology Services (OTech) for capacity planning and the development of the solution delivery timeline?** [Not applicable](#)

If “No,” and data center capacity planning and alignment services are needed, explain below the reason OTech has not been engaged and what is the alternative plan:

3. **Have resource commitments been obtained for all those identified in the Resource Management Plan?** [Yes](#)

If “No,” explain below why commitments have not been obtained and the plan to mitigate this risk:

[Click or tap here to enter text.](#)

4. Does the Resource Management Plan ensure resources are sufficiently committed to perform project activities if they are also committed to other responsibilities? [Yes](#)

If “No,” explain below how sufficient resource levels will be maintained for all project activities:

[Click or tap here to enter text.](#)

5. Have all identified project leads received at a minimum basic project management training? [Yes](#)

If “No,” explain how the Agency/state entity will educate the project team leads on project management basics:

[Click or tap here to enter text.](#)

4.6 Business Objective Valuation

- 1. Attach** the Requirements/Backlog Baseline and/or Deliverables Baseline to your email submission.
- 2. Insert your Objectives (ID, Objective, Metric, Baseline, and Target Result) from Stage 1 Section 1.7, along with changes and reason for changes, and assign a percent score value to each.**

Objective ID: 1.1

Objective: [Reduce the time from the initiating Request for Personnel Action \(RPA\) to the hiring of an employee](#) by a minimum of 40 percent within 6 months of project completion. 15 Points

Change and Reason for Change from Stage 1: [Click or tap here to enter text.](#)

Metric: [Average time reported from Authorization-to-Hire to the actual hire.](#)

Baseline: [77 business days](#)

Target Result: [45 days](#)

Valuation: [15 Points](#)

Objective ID: 1.2

Objective: [Improve hiring/onboarding processing with automated](#) workflow including task assignments, status tracking, electronic reminders, electronic document attachment, and reporting.

Change and Reason for Change from Stage 1: [Click or tap here to enter text.](#)

Metric: [Average time of position post-to-fill](#)

Baseline: [One week using spreadsheets \(no module exists for this\)](#)

Target Result: [5-10 minutes](#)

Valuation: [10 Points](#)

Objective ID: 1.3

Objective: [Improve off-boarding/separation process with automated workflow](#) including task assignments, status tracking, electronic reminders, electronic document attachment, and reporting. Related tasks and documentation include outstanding pay, owed payments, return of IT/Office and Ergonomic equipment, return of employee access badge, and revocation of access to electronic email and information systems. Reporting includes: task assignments, status tracking, electronic reminders, electronic document attachment submission/processing. 10 Points

Change and Reason for Change from Stage 1: [Click or tap here to enter text.](#)

Metric: [Average time of off-boarding/separation](#)

Baseline: [1.5 to 2 weeks.](#)

Target Result: [5-10 minutes](#)

Valuation: [10 Points](#)

Objective ID: 1.4

Objective: [All employee hiring documents in electronic format and available on-line, providing efficient electronic retrieval.](#)

Change and Reason for Change from Stage 1: [Click or tap here to enter text.](#)

Metric: [Percentage of HRD employee records in electronic format.](#)

Baseline: [< 20%](#)

Target Result: [100%](#)

Valuation: [5 Points](#)

[Click or tap here to enter text.](#)

Objective ID: 2.1

Objective: [Eliminate duplicative and incorrect data through single-points-of-data-entry to sole data records within trusted data sources.](#)

Change and Reason for Change from Stage 1: [Click or tap here to enter text.](#)

Metric: [Number of redundant or inaccurate entries of employee information](#)

Baseline: [Sixty-six percent of employee information is redundant or inaccurate.](#)

Target Result: [95% accurate employee data/information system-wide.](#)

Valuation: [15 Points](#)

Objective ID: 2.2

Objective: Accurate reporting (template-based and ad-hoc) for HRD staff and CPUC management of position budgets, forecasting, and vacancy salary savings, in real-time, within six months of project completion.

Change and Reason for Change from Stage 1: [Click or tap here to enter text.](#)

Metric: Average time to collect data and produce report of real-time position budgets, forecasting, and vacancy salary savings.

Baseline: 7-14 day

Target Result: < 5-10 minutes

Valuation: 8 Points

Objective ID: 2.3

Objective: Centralized data store with reporting capability. Data access and research is easier, efficient, and effective through improved reporting and data analysis.

Change and Reason for Change from Stage 1: [Click or tap here to enter text.](#)

Metric: Improved timeliness of HRD data access

Baseline: 30 minutes per transaction to access and review information stored in various systems/spreadsheets which contain data that may not be accurate.

Target Result: Less than 1 minute to retrieve the requested data.

Valuation: 7 Points

Objective ID: 3.1

Objective: Provide metrics on the hiring and on-boarding process to comply with SLAs; include internal vs. external hiring. Track SLA compliance to make sure we are meeting it. Improve data input and data reporting with visibility to HRD management and division liaisons. Track each step in the process and provide visibility to Division Liaisons on status.

Change and Reason for Change from Stage 1: [Click or tap here to enter text.](#)

Metric: Average time to gather documents and reconcile assignment statuses with due dates.

Baseline: Zero percent.

Target Result: Automated metrics and reporting to 100% for SLA metrics.

Valuation: 7.5 Points

Objective ID: 3.2

Objective: Automate the measurement, reporting, and tracking of real-time position budgets, forecasting, and vacancy salary savings within six months of project completion.

Examples are: PCS reports and collecting data and producing reports of position fund codes and associated legislative actions.

Change and Reason for Change from Stage 1: [Click or tap here to enter text.](#)

Metric: Average time to collect data and produce PCS and other reports.

Baseline: Depending on the report, anywhere from 5-14 days

Target Result: <5-10 minutes, and less than one day with limited or no resource allocation for vacancy and vacancy salary savings reports.

Valuation: 7.5 Points

Objective ID: 4.1

Objective: Automate the generation of reports showing the data of Annual Development Plan (ADP) and Probation Reports (PR) compliance performance within 12 months of project completion. This is an item noted in a recent State Personnel Board Audit.

Change and Reason for Change from Stage 1: [Click or tap here to enter text.](#)

Metric: Time to calculate ADP and PR compliance performance.

Baseline: Rate of compliance is not known. 4 hours to 2 days to combine the two reports that will not achieve accurate results. Staff must resort to viewing personnel files and manually reviewing paper files to verify compliance for a single employee.

Target Result: <5 minutes for running a report to show percentage compliance across the CPUC.

Valuation: 6 Points

Objective ID: 4.2

Objective: Improve compliance of Notice of Personnel Action (NOPA) forms received, signed, and returned to CPUC Human Resources by implementing a method to track the form through an automated process.

Change and Reason for Change from Stage 1: [Click or tap here to enter text.](#)

Metric: Average percentage of returned NOPA compliance.

Baseline: 50%

Target Result: 100%

Valuation: 4 Points

Objective ID: 5.1

Objective: Provide notifications, assignments, and upcoming due dates of Annual Development Plans (i.e. IDP) and Probation Reports (PR). (Requesting this occur with project completion or in an earlier phase before project completion.)

Change and Reason for Change from Stage 1: Duplicative objective. It is removed.

Metric: Average time to track and manage ADP and PR assignments.

Baseline: 4 hours

Target Result: Less than 5 minutes

Valuation: 0 Points

Objective ID: 5.2

Objective: Provide a single location (i.e. dashboard) for authorized users to search for, locate, and view HR-related data, current tasks and assignments, the status and aging of assignments, reminders, and items requiring approval.

Change and Reason for Change from Stage 1: Click or tap here to enter text.

Metric: All user assignments, tasks, reminders, and reports visible online.

Baseline: It currently takes staff an average of 30 minutes per transaction to access and view information stored in various systems/spreadsheets which contain data which may or may not be accurate.

Target Result: Less than 5 seconds to generate the requested data (refreshed in real-time)

Valuation: 5 Points

TIP: Copy and paste or click the + in the lower right corner of the above seven fields to add multiple objectives.

4.7 Schedule Baseline

1. Schedule Summary

Project Execution Start Dates

Proposed Project Start Date (from most recently approved schedule/roadmap):
7/1/2022

Baseline Project Start Date: 6/2/2023

Variance: 11 months

Project End Dates

Proposed Project Finish Date (from most recently approved schedule/roadmap):
12/29/2023

Baseline Project Finish Date: 6/19/2024

Variance: 6 months

2. Reason(s) for Variances

Provide reasons for any date variances: In an abundance of caution, the original RFO included work efforts exceeding what vendors were willing or able to provide for the total project budget. There were no bids submitted. Subsequently, CPUC created a new RFO with requirements better aligned with project budget. This revision required additional time and date extensions for revision, reposting, review, and vendor selection. Subsequently, the planning phase was extended for 6 months.

3. Master Schedule and Key Milestones

Attach Master Schedule with highlighted Key Milestones to your email submission.

4.8 Cost Baseline

Is the Cost Management Plan complete, approved by the designated Agency/state entity authority, and available for the Department of Technology to review? **Choose:** 'Yes,' 'No,' or 'Not Applicable.' If 'No' or 'Not Applicable,' provide the artifact status in the space provided.

1. Cost Management Plan (Approved): Yes

Status: It is included into the PMP document

2. Cost Summary

Total Planning Cost (One-Time)

Estimated Proposed Cost (from most recently approved FAW): \$1,546,275

Baseline Cost: \$1,656,630

Variance: \$110,355 7.13% increased

Total Project Cost (One-Time)

Estimated Proposed Cost (from most recently approved FAW): \$5,698,900

Baseline Cost: \$3,543,869

Variance: \$-2,155,031 -37.78% decreased

Total Future Operations IT Staff and OE&E Cost (Continuing)

Estimated Proposed Cost (from most recently approved FAW): \$721,794

Baseline Cost: \$427,058

Variance: \$-294,736 -40.83% decreased

Total Cost

Estimated Proposed Cost (from most recently approved FAW): \$7,966,970

Baseline Cost: \$5,627,557

Variance: \$-2,339,413 -29.36% decreased

Annual Future Operations IT Costs (Annual M&O)

Estimated Proposed Cost (from most recently approved FAW): \$428,320

Baseline Cost: \$227,058

Variance: \$-201,262 -47% decreased

TIP: Baseline costs should match the submitted Financial Analysis Worksheet for Stage 4.

3. Reason(s) for Variances

Provide reasons for any cost variances: The earlier version of the FAW included an estimation of staff time, with current understanding at that time, requiring greater staff participation in the Planning Phase. CPUC project management time tracking and project time reporting provided revised calculations based on actual production hours of the Planning Phase. As a result of this analysis, the total time cost was reduced.

The estimated PY for planning purposes did not differ much between S2AA FAW and S4PRA FAW. In S2AA FAW, we showed a PY of 11.1 for FY 2021/22 whereas in S4PRA FAW we show the PY for FY 2021/22 as 6.3 PY and for FY 2022/23 as 4.7 PY. This is because we used actual reported hours in our Electronic Time Reporting System for FY 2021/22 when revising the FAW for S4PRA. The planning got extended due to the need for a revised RFO process on account of an initial unsuccessful solicitation.

OE&E removed because those costs were determined to be no longer applicable. More accurate cost estimation based on more accurate actual current understanding.

4. Budget Change Proposal (BCP) Summary

Budget Request ID: 5765; 8660-093-BCP-2022-A1

Budget Request Year (0000-00): 2022-2023

Requested Amount (specific to the project): 1,960,000

Status: Supported

Budget Bill Language (if supported): There is no bill language for this BCP

TIP: Copy and paste or click the + button in the lower right corner to add BCPs as needed (e.g., Planning and Project related).

5. Financial Analysis Worksheets (Baseline)

Attach Final FAWs to your email submission.

4.9 Primary Solicitation Results

1. **Attach** the approved Evaluation and Selection Report for the primary solicitation to your email submission.
2. **Attach** the proposed contract resulting from the primary solicitation to your email submission.
3. **Was one of the viable solutions in Stage 2 selected for final contract award?** [Yes](#)
If “No”, please describe:
[Click or tap here to enter text.](#)
4. **Selected Vendor Name:** [Accenture LLP](#)
5. **Contract Number:** [91529](#)
 - a. Contract Start Date: [6/1/2023](#), or upon final approval
 - b. Contract End Date: [5/31/2024](#)
6. **Total Contract Cost (without optional years):** [\\$1,430,000.00](#)
 - a. Optional Years (Number of Months): One (1) additional twelve (12) month extension
7. **Total Cost of Optional Years:** [At the originally agreed-upon hourly rates specified in Contract.](#)
8. **Total Contract Cost (with optional years):** [\\$1,430,000.00 + optional year would be invoiced at the agreed upon hourly rates as specified in the Contract/Cost Worksheet.](#)

Are the following Project Management Plan Drafts approved by the designated Agency/state entity authority and available for the Department of Technology to review? **Choose:** ‘Yes,’ ‘No,’ or ‘Not Applicable.’ If ‘No’ or ‘Not Applicable,’ provide the artifact status in the space provided. These plans may be completed with the selected primary vendor.

1. **[Configuration Management Plan \(Draft\)](#):** Yes
Status: [Click or tap here to enter text.](#)
2. **[Data Management Plan \(Draft\)](#):** Yes
Status: [Click or tap here to enter text.](#)
3. **[Maintenance and Operations Transition Management Plan \(Draft\)](#):** Yes
Status: CPUC has a rough draft and we are planning to work on this plan 4 months after the vendor is on board.

4.10 Risk Register

Attach [Risk Register](#) to your email submission.

End of Stage 4 Project Readiness and Approval Document.

Please ensure ADA compliance before submitting this document to CDT.

When ready, submit Stage 4 and all attachments in an email to ProjectOversight@state.ca.gov.

TIP: Use the Gate 4 Project Readiness and Approval Evaluation Scorecard ([SIMM Section 19-D](#)) as an internal tool to ensure a quality submission.

Department of Technology Use Only

Original "New Submission" Date: 5/11/2023

Form Received Date: 5/31/2023

Form Accepted Date: 5/31/2023

Form Status: Completed

Form Status Date: 5/31/2023

Form Disposition: Approved with Conditions

Form Disposition Date: 5/31/2023