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# Stage 4 Project Readiness and Approval

California Department of Technology, SIMM 19 D.2 (Rev. 3.0.9, 2/28/2022)

## 4.1 General Information

1. **Agency or State Entity Name:** 3970 - Resources Recycling and Recovery, Department of  
If Agency/State entity not in the list, enter here with the [organization code](#).

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

2. **Proposal Name:** CalRecycle Integrated Information System (CRIIS)
3. **Department of Technology Project Number (0000-000):** 3970-021
4. **S4PRA Version Number:** Version 1
5. **CDT Billing Case Number:** CS0060856

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

## 4.2 Submittal Information

### 1. Contact Information

Contact Name: Anamika Singh

Contact Email: [Anamika.singh@calrecycle.ca.gov](mailto:Anamika.singh@calrecycle.ca.gov)

Contact Phone: 916.327.3044

### 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):

No conditions

## 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: [plan complete](#)

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

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 \(Draft\):](#) [Yes](#)

Status:

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:

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

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:

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

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:** [Hybrid](#)

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

The hybrid approach is a blend of waterfall and agile methodologies. CalRecycle has previous experience using the hybrid approach for various-size projects. The planning and documentation for non-delegated projects are created in a waterfall manner and the design, development, and testing phases utilize the agile approach. By integrating both waterfall and agile methodologies, the CRIIS project aims to balance a well-planned and controlled project execution with the ability to respond to changes and stakeholder feedback in a dynamic environment. This hybrid approach is intended to deliver a robust and flexible solution that aligns with CalRecycle's strategic objectives and operational needs.

2. **Has the Agency/state entity engaged the Office of Technology Services (OTech) for capacity planning and the development of the solution delivery timeline?** [No](#)

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:

[The selected solution will be cloud-based SaaS.](#)

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. The total of all scores should be 100%.**

Objective ID: 1

Objective: Multiple applications with similar functionality - Consolidate the number of applications used to manage recyclable material programs within CalRecycle into an enterprise-wide application.

Change and Reason for Change from Stage 1: No changes

Metric: Reduce number of applications used to manage recyclable material programs by 50% within 5 years of implementation start date (completion of PAL Stage 4).

Baseline: 31 Applications

Target Result: 15 applications or less

Valuation: Number of applications used to manage recyclable material programs divided by 31 applications previously used to manage recyclable material programs.

Objective ID: 2

Objective: Manual accounting for multiple programs - Increase the number of CalRecycle programs that use automated processes to get financial data to Accounting (AR/AP) and into FI\$Cal.

Change and Reason for Change from Stage 1: No changes

Metric: Increase the number of CalRecycle programs that use automated processes to get financial data to Accounting (AR/AP) and into FI\$Cal to 50% within 5 years of implementation start date.

Baseline: 1 program (DORIIS) of 15

Target Result: 8 programs of 15

Valuation: At 5 years, compare the number of automated programs as a percentage of total programs that report financial data

Objective ID: 3

Objective: Limited data sharing between systems with limited accessibility for non-IT staff - Improve accessibility to data for reporting and responding to data requests.

Change and Reason for Change from Stage 1: Was 'Data Information Sharing'. Changed due to being too specific. This will be a natural positive aspect to bringing all applications into a single solution.

Metric: The CRIIS application should offer/support PowerBI or another reporting/data extraction tool at go-live.

Baseline: No (there is currently no enterprise-wide PowerBI or reporting/data extraction tool)

Target Result: Yes (there will be an enterprise-wide PowerBI and/or reporting/data extraction tool)

Valuation: Determine whether PowerBI or similar reporting/data extraction tool is available and functional in CRIIS? (Y/N)

Objective ID: 4 – **objective was deleted in stage 1**

Objective: Increase Online Payment - Increase the number of online payment options to reduce the need for paper check processing.

Change and Reason for Change from Stage 1: This objective was deleted because it was a requirement, not an objective.

Metric: Increase the percentage of electronic payments to 75% within 5 years of implementation start date.

Baseline: 25% of payments are electronic (confirm with Accounting ARU)

Target Result: 75% of payments should be electronic (FY 5)

Valuation: Number of electronic payments received in FY 5 divided by the total number of payments received in FY 5.

Objective ID: 5

Objective: Increase the number of programs that allow electronic self-reporting

Change and Reason for Change from Stage 1: Was 'Material Tracking'. Changed due to being too specific. This will be a natural positive aspect to bringing all applications into a single solution.

Metric: Increase the number of programs that allow electronic self-reporting to 85% within 5 years of implementation start date

Baseline: 16/23 programs that allow at least partial electronic self-reporting

Target Result: 20/23 programs that allow at least partial electronic self-reporting

Valuation: Comparison of the number of programs that allow electronic reporting vs. programs that have self-reporting (23 count)

Objective ID: 6

Objective: Reduce the number of external-facing applications external users must use to report to CalRecycle.

Change and Reason for Change from Stage 1: Was 'Material Tracking'. Changed due to being too specific. This will be a natural positive aspect to bringing all applications into a single solution.

Metric: Reduce the number of external-facing applications external users must use to report to CalRecycle by 50% within 5 years of the implementation start date.

Baseline: 23

Target Result: 11 or less applications

Valuation: Comparison of current number of systems where entities must report (23) to number at 5 years.

Objective ID: **7 – Objective was deleted in Stage 2**

Objective: Loans and Grants – Interested parties may apply for grants online and grantees may submit payment requests and required reports. Zone administrators can log into the system to develop and submit their annual progress reports. The system also includes information about zones, participating business, and loans.

Change and Reason for Change from Stage 1: Objective deleted in Stage 2. Too narrow of scope. Became one of the 11 desired functionalities.

Metric: Loans and Grants automation processing

Baseline: 100%

Target Result: 100%

Valuation: The analyst will track the time it takes to process loans and grants after automation.

Objective ID: **8 – Objective was deleted in Stage 2**

Objective: Claims Processing – Approved collectors and recyclers in the Covered Electronic Waste Payment System can submit their annual net costs reports via this system. This application is used to manage used oil collection center registration and incentive claim payments. It also manages oil manufacturer fee return payments and refund claims.

Change and Reason for Change from Stage 1: Objective was deleted in Stage 2. Too narrow of scope. Reason for more general objective of automated accounting.

Metric: Claims Processing automation processing

Baseline: 100%

Target Result: 100%

Valuation: Analysts will track the time it takes to process claims after automation.

Objective ID: **9 – Objective was deleted in Stage 2**

Objective: Enforcement/Compliance – shared Extended Producer Responsibility (EPR) Database. Tracks inspections for EPR programs such as carpet, paint, and mattress which will account for upwards of 1,500 inspections annually for about 10,000 regulated entities

statewide. System of record for all CalRecycle waste tire activities including tire hauler registration, hauler manifests, and facility inspection reports. Local enforcement entities may use the system to submit their data and research-regulated facility information. This system supports AB 901, which requires waste, recycling, and compost facilities, as well as exporters, brokers, and transporters of recyclables or compost to submit information directly to CalRecycle on the types, quantities, and desitations of materials that are disposed of, sold or transferred inside or outside of the state.

Change and Reason for Change from Stage 1: Objective was deleted in Stage 2. Became one of the 11 desired functionalities

Metric: Enforcement/Compliance automation processing

Baseline: 100%

Target Result: 100%

Valuation: Analysts will track the time it takes to process after automation.

Objective ID: **10 – Objective was deleted in Stage 2**

Objective: Inspection Tracking – System of record for all CalRecycle waste tire activities and all other recyclable material and waste including tire hauler registration, hauler manifests, and facility inspection reports, recycling center, processor, and dealer inspections. Local enforcement entities may use the system to submit their data and research-regulated facility information.

Change and Reason for Change from Stage 1: Objective was deleted in Stage 2. Too narrow of scope. Became one of the 11 desired functionalities.

Metric: Inspection Tracking automation process

Baseline: 100%

Target Result: 100%

Valuation: Analysts will track the time it takes to process after automation.

Objective ID: **11 – Objective was deleted in Stage 2**

Objective: Payment Programs

Change and Reason for Change from Stage 1: Objective was deleted in Stage 2. Too narrow of scope. Became one of the 11 desired functionalities and combined as Grants, Loans, and Payment Programs.

Metric: Payment Program automation process

Baseline: 100%

Target Result: 100%

Valuation: Analysts will track the time it takes to process after automation.

Objective ID: **12 – Objective was deleted in Stage 2**



Objective: Penalty Tracking

Change and Reason for Change from Stage 1: Objective was deleted in Stage 2. Too narrow of scope. Became an aspect of the 11 desired functionalities: Enforcement and Compliance and also part of Accounting functionality.

Metric: Penalty Tracking automation process

Baseline: 100%

Target Result: 100%

Valuation: Analysts will track the time it takes to process after automation.

Objective ID: **13 – Objective was deleted in Stage 2**

Objective: Product Determination

Change and Reason for Change from Stage 1: Objective was deleted in Stage 2. Too narrow of scope. Became one of the 11 desired functionalities.

Metric: Product Determination automation process

Baseline: 100%

Target Result: 100%

Valuation: Analysts will track the time it takes to process after automation.

Objective ID: **14 – Objective was deleted in Stage 2**

Objective: Stakeholder Registration

Change and Reason for Change from Stage 1: Objective was deleted in Stage 2. Too narrow of scope. Became one of the 11 desired functionalities: Entity Management

Metric: Stakeholder Registration automation process.

Baseline: 100%

Target Result: 100%

Valuation: Analysts will track the time it takes to process after automation.

Objective ID: **15 – Objective was deleted in Stage 2**

Objective: Vendor-Seller with FISCAL ID Management

Change and Reason for Change from Stage 1: Objective was deleted in Stage 2. Too narrow of scope. Became part of the 11 desired functionalities: Entity Management and Accounting

Metric: Vendor-Seller Tracking automation process

Baseline: 100%

Target Result: 100%

Valuation: Analysts will track the time it takes to process after automation.

Objective ID: **16 – Objective was deleted in Stage 2**

Objective: DORIIS Functionality – DORIIS is used to carry out all needs of the Beverage Container Recycling Program (BCRP) and process revenue and disbursement of \$1.5 billion for that program. Any successor system must have currently utilized functionality or better to ensure the program needs of CalRecycle’s largest most critical program continue without interruption or lessening of service or capability.

Change and Reason for Change from Stage 1: Objective was deleted in Stage 2. Too narrow of scope. DORIIS is only one of 31 program applications that is targeted for integration into the enterprise-wide solution.

Metric: End-to-end revenue, disbursement, convenience zone, reporting and payment, and other functional processes.

Baseline: 100%

Target Result: 100%

Valuation: Analysts will track the time it takes to process in the successor system.

## 4.7 Schedule Baseline

4. Project Roadmap (High-Level) Attach a high-level Project Roadmap showing remainder of planning phase and transition into execution phase to the email submission. a) *Planning Start Date: 1/29/2021* b) *Estimated Planning End Date: 6/24/2024* c) *Estimated Project Start Date: 6/27/2024* d) *Estimated Project End Date: 6/17/2027*

### 1. Schedule Summary

#### Project Execution Start Dates

Proposed Project Start Date (from most recently approved schedule/roadmap):  
1/31/2024

Baseline Project Start Date: 6/28/2024

Variance: 148 days

#### Project End Dates

Proposed Project Finish Date (from most recently approved schedule/roadmap):  
1/31/2027

Baseline Project Finish Date: 6/27/2027

Variance: 147 days

### 2. Reason(s) for Variances

Provide reasons for any date variances: Stage 3 & 4 required more time than anticipated

### 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: Completed

#### 2. Cost Summary

##### Total Planning Cost (One-Time)

Estimated Proposed Cost (from most recently approved FAW) (AL13): \$3,562,250

Baseline Cost: \$3,497,006

Variance: -\$65,244

##### Total Project Cost (One-Time)

Estimated Proposed Cost (from most recently approved FAW) (AL14): \$59,119,206

Baseline Cost: \$85,836,727

Variance: \$26,717,521

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

Estimated Proposed Cost (from most recently approved FAW) (AL15): \$18,847,067

Baseline Cost: \$11,263,286

Variance: -\$7,583,781

##### Total Cost

Estimated Proposed Cost (from most recently approved FAW) (AL16): \$81,528,523

Baseline Cost: \$100,597,018

Variance: \$19,068,495

##### Annual Future Operations IT Costs (Annual M&O)

Estimated Proposed Cost (from most recently approved FAW) (AL17): \$12,687,681

Baseline Cost: \$10,733,871

Variance: -\$1,953,810

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

### 3. Reason(s) for Variances

Provide reasons for any cost variances:

- Legislative bills AB2440, SB1215, SB1013, SB1383, SB54 passed between RFI and final proposal added 200 CalRecycle program staff, thousands of participants and more complexity and IT requirements,
- Added 200 more requirements RFI had 300 midlevel requirements and a year later the solicitation was released with 500 detailed requirements. This is a 66% increase.
- SI Vendor Services (One-Time): \$20Million more than anticipated due to Vendor reassessment of complexity for integrating 31 applications. Not having option for offshore development resources.
- vendor assessment of complexity for 31 applications.
- Solution Licensing (One-Time): \$4.8Million more than anticipated.
- Solution Licensing (Ongoing): \$1Million more than anticipated per year.
- SI Vendor M&O (two years): \$1Million more than anticipated per year.
- Personnel Services and associated OE&E General Expenses: \$534,687 increase (due in part to 4 resources extending almost half year with planning and higher wage rates overall with shift (e.g., salaries increase each year)
- CDT support: \$289,568 increase (PAL Stage 3-4 support charges were higher than budget, updated annual CDT implementation support from \$170k to \$180k)
- OCM contract: \$348,705 reduction (actual contract amount)
- Licensing: \$54,786 reduction (reduced needed licensing for a portion of FY23/24)
- IV&V: No Variance
- Enterprise PM/BA: No Variance

### 4. Budget Change Proposal (BCP) Summary

CalRecycle seeks continued project funding of \$13.1 million in 2024-25 from the California Beverage Container Recycling Fund (CBCRF) for the CalRecycle Integrated Information System (CRIIS). CRIIS is an extensive ongoing initiative to migrate the California Beverage Container Recycling Program's (BCRP) current application called the Division of Recycling Integrated Information System (DORIIS) into a modern, stable, cloud-based platform. The new solution will achieve the goal of consolidating all CalRecycle program applications into an enterprise solution.

Budget Request ID: [3970-022-BCP-2022-GB](#)

Budget Request Year (0000-00): [2022-23](#)

Requested Amount (specific to the project): [\\$1,606,000](#)

Status: [Supported](#)

Budget Bill Language (if supported): [N/A](#)

Budget Request ID: [3970-016-BCP-2023-GB](#)

Budget Request Year (0000-00): [2023-24](#)

Requested Amount (specific to the project): [\\$2.3 Million](#)

Status: [Supported](#)

Budget Bill Language (if supported): N/A

Budget Request ID: 3970-076-BCP-2023-A1

Budget Request Year (0000-00): 2023-24

Requested Amount (specific to the project): \$6,185,000

Status: [Supported](#)

Budget Bill Language (if supported): N/A

Budget Request ID: 3970-116-BCP-2023-MR

Budget Request Year (0000-00): 2023-24

Requested Amount (specific to the project): \$220,000

Status: [Supported](#)

Budget Bill Language (if supported): N/A

Budget Request ID: 3970-027-BCP-2024-GB

Budget Request Year (0000-00): 2024-25

Requested Amount (specific to the project): \$13.1 Million

Status: [Supported](#)

Budget Bill Language (if supported): N/A

*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:** [ITS23-009](#)
  - a. Contract Start Date: [6/28/2024](#)
  - b. Contract End Date: [6/27/2027](#)
6. **Total Contract Cost (without optional years):** [\\$50,944,450 SI Vendor Contract](#) – Does not include licensing. Licensing to be purchased by CalRecycle.
  - a. Optional Years (Number of Months): 36 months - Includes 1 optional additional implementation year (time only) and 2 optional M&O years
7. **Total Cost of Optional Years:** [\\$8,865,160](#) Cost of M&O for 2 years without licensing
8. **Total Contract Cost (with optional years):** [\\$59,809,610](#)

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:
2. [Data Management Plan \(Draft\)](#): Yes  
Status:
3. [Maintenance and Operations Transition Management Plan \(Draft\)](#): Yes  
Status:

## 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](mailto: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:** [6/21/2024](#)

**Form Received Date:** [6/21/2024](#)

**Form Accepted Date:** [6/21/2024](#)

**Form Status:** [In Analysis](#)

**Form Status Date:** [6/21/2024](#)

**Form Disposition:** [Choose an item.](#)

**Form Disposition Date:** [Click or tap to enter a date.](#)