



# 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:** Telecommunications & User Fees Filing System (TUFFS)

**3. Department of Technology Project Number (0000-000):** 8660-094

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

**5. CDT Billing Case Number:** 2223039

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

## 4.2 Submittal Information

**1. Contact Information**

Contact Name: **Geoffrey Mack**

Contact Email: [Geoffrey.Mack@cpuc.ca.gov](mailto:Geoffrey.Mack@cpuc.ca.gov)

Contact Phone: (415) 260-3141

**2. Submission Type:** Updated Submission (Pre-Approval)

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.)

[Update to Section 4.1 CDT Billing Case # 2223039](#)

[Update to Section 4.6 Formatting in template format, not using tables](#)

[Update to section 4.8 Estimate \(Stage2 approval\) and baseline Cost \(Most current\)](#)

**Summary of Changes** (Summarize updates made.)

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: Draft approved

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):** No

Status: [Draft approved](#)

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)? **No**

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:

[The project will be released on 2 Phases, PH1 the design, build, test, implementation of the TUFF new streamlined solution while the current legacy billing is being maintained. PH2 the training and implementation of the new TUFFS solution online while removing access to the “old” system and creating a “archive”.](#)

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:

[Risks and tasks assigned in SharePoint](#)

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:

[Discussing and building plan with Bill Harrigan](#)

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:

Resources listed on Project Org Chart v3 as SMEs as well as training provided to external providers by the vendor

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:** **Adaptive**

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

The system streamline has predictive development mythology but the design to incorporate the old system while new is running simultaneously and ability to archive both is Agile.

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?** **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:

Will be using Salesforce in cloud services OTech is not needed

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:

Aware adjustments to staff, one member is retiring during project but has backfill slotted to shadow and be in project prior to departure.

**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:

[All resources are committed to the completion of the project](#)

**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: 1.1

Objective: [Replace the Oracle Technology with a technology that will continue to be supported following August 2025.](#)

Change and Reason for Change from Stage 1: [Phrasing clarification specific to application](#)

Metric: [Support Availability](#)

Baseline: [End of support 8/2025](#)

Target Result: [Support to at least 2031](#)

Valuation: [10%](#)

Objective ID: 2.1

Objective: [Change to User Fee legislation enabling monthly assessment.](#)

Change and Reason for Change from Stage 1: [Phrasing clarification specific to application](#)

Metric: [Time to implement business rule changes.](#)

Baseline: [Current TUFFs business rule changes average ticket resolution time = 16 weeks](#)

Target Result: [50% reduction, target business rule changes average ticket resolution time = 8 weeks](#)

Valuation: [3%](#)

Objective ID: 2.2

Objective: Allow program staff to be able to post updated data (e.g., adjustments related to audit findings) and change carrier names, change their password, etc., without requiring ITSD support tickets.

Change and Reason for Change from Stage 1: Phrasing clarification specific to application

Metric: Number of support tickets.

Baseline: Current number of annual Tuff's data support tickets = 80

Target Result: 50% reduction – target # of annual TUFFs support tickets = 40

Valuation: 15%

Objective ID: 3.1

Objective: Reduce the number of “buckets” into which carriers report. The existing metric requires prepaid providers to remit payment in 14 buckets via First Data and into seven “buckets” for postpaid providers. (The number of “buckets” are reduced in TUFFs. Carriers can report surcharges into TUFFS and TUFFS allocates the funds to programs automatically, Salesforce needs to mirror the functionality).

Change and Reason for Change from Stage 1: Phrasing clarification specific to application

Metric: Carrier monthly reporting buckets

Baseline: 7 Carrier monthly reporting buckets

Target Result: 1 Carrier monthly reporting buckets

Valuation: 15%

Objective ID: 3.2

Objective: Maintain pre-surcharge methodology transition carrier account transaction/payment data going back seven years as required by the CPUC retention policy.

Change and Reason for Change from Stage 1: Phrasing clarification specific to application

Metric: Carrier reporting history records

Baseline: 100% or historic data in current Oracle based Tuff's system

Target Result: 100% of data for seven years in the new TUFFs system on launch

Valuation: 5%

Objective ID: 3.3

Objective: Maintain audit required adjustments and billing recalculations for seven years of historical data utilizing business rules in place at the time revenue was originally reported.  
Metric Adjustment billing statement accuracy.

Change and Reason for Change from Stage 1: Phrasing clarification specific to application

Metric: Adjustment billing statement accuracy

Baseline: 0%

Target Result: 100% of historic data is adjustable during the seven-year retention period and calculates adjustment billing amounts, penalties, and interest based on historical business rules applicable during the reporting adjustment period.

Valuation: 5%

Objective ID: 4.1

Objective: Support the re-allocation of revenues accordingly when an adjustment is submitted/made.

Change and Reason for Change from Stage 1: Phrasing clarification specific to application

Metric: Revenue and adjustments match PPP fund allocations monthly.

Baseline: 0%

Target Result: 100% revenue and adjustments match to PPP fund allocation every month.

Valuation: 8%

Objective ID: 5.1

Objective: Reduce the staff time spent researching and reporting status of Payments and Refunds to fee filers locate, modify, closing compliance.

Change and Reason for Change from Stage 1: Phrasing clarification specific to application

Metric: Fiscal Services and CD Staff contacts from carriers spent on refunds and adjustment requests.

Baseline: 360 contacts annually.

Target Result: 50% reduction to 180 contacts annually within one year of system implementation.

Valuation: 10%

Objective ID: 6.1

Objective: Reduce the number of errors made by carriers that could lead to Tuff's adjustments requests.

Change and Reason for Change from Stage 1: Phrasing clarification specific to application

Metric: Annual count of adjustments.

Baseline: 240 annual adjustments.

Target Result: 60 annual adjustments within one year of system implementation.

Valuation: 10%

Objective ID: 6.2

Objective: Maintain an audit log for all changes and adjustments for both carrier and staff entries as well as business rules updates.

Change and Reason for Change from Stage 1: Phrasing clarification specific to application

Metric: Audit log coverage.

Baseline: 0%

Target Result: 100% coverage

Valuation: 9%

Objective ID: 7.1

Objective: Enable system reporting capability to generate reports showing nonreporting/nonpaying carriers, resulting in a direct primary contact notification from that report.

Change and Reason for Change from Stage 1: None

Metric: Measure the reduction in nonreporting carrier's month over month over one year.

Baseline: Currently approximately 80 monthly no reporters.

Target Result: 50% reduction to 40 or less monthly no reporters within one year of system implementation.

Valuation: 17%

*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):  
6/1/2022

Baseline Project Start Date: 6/1/2022

Variance: None

#### Project End Dates

Proposed Project Finish Date (from most recently approved schedule/roadmap):  
9/21/2023

Baseline Project Finish Date: 9/21/2023

Variance: None

### 2. Reason(s) for Variances



Provide reasons for any date variances: [None](#)

### 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: [Draft Approved](#)

### 2. Cost Summary

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

Estimated Proposed Cost (from most recently approved FAW): **\$923,629**

Baseline Cost: **\$673,669**

Variance: [From Stage 2 Approval to BAFO](#)

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

Estimated Proposed Cost (from most recently approved FAW): **\$3,905,624**

Baseline Cost: **\$3,664,228**

Variance: [From Stage 2 Approval to BAFO](#)

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

Estimated Proposed Cost (from most recently approved FAW): **\$1,682,807**

Baseline Cost: **\$1,585,823**

Variance: [From Stage 2 Approval to BAFO](#)

#### Total Cost

Estimated Proposed Cost (from most recently approved FAW): **\$6,512,061**

Baseline Cost: **\$5,923,720**

Variance: [From Stage 2 Approval to BAFO](#)

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

Estimated Proposed Cost (from most recently approved FAW): **\$604,858**

Baseline Cost: **\$507,874**

Variance: [From Stage 2 Approval to BAFO](#)

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

### 3. Reason(s) for Variances

Provide reasons for any cost variances: [Requested Vendor to reduce overall bid to allow CPUC affordable options for additional services within assigned project budget.](#)

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

Budget Request ID: [8660-081-BCP-2022-GB](#)

Budget Request Year (0000-00): [FY22-23](#)

Requested Amount (specific to the project): [TUFFS portion of AB14 BCP is \\$1.95 million](#)

Status: [Pending](#)

Budget Bill Language (if supported): [Click or tap here to enter text.](#)

*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:** [Global Touch Points Inc.](#)

5. **Contract Number:** [79928](#)

a. Contract Start Date: [6/1/2022](#)

b. Contract End Date: [9/21/2024](#)

6. **Total Contract Cost (without optional years):** [\\$1,302,741.00](#)

a. Optional Years (Number of Months): [24](#)

7. **Total Cost of Optional Years:** [TBD](#)

8. **Total Contract Cost (with optional years):** [TBD](#)

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: Draft Approved

2. **Data Management Plan (Draft)**: Yes

Status: Draft Approved

3. **Maintenance and Operations Transition Management Plan (Draft)**: Yes

Status: Draft Approved

## 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:** [6/9/2022](#)

**Form Received Date:** [6/9/2022](#)

**Form Accepted Date:** [6/9/2022](#)

**Form Status:** [Completed](#)

**Form Status Date:** [6/20/2022](#)

**Form Disposition:** [Approved with Conditions](#)

**Form Disposition Date:** [6/20/2022](#)