



# 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:** 0555 - Secretary for Environmental Protection

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

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

2. **Proposal Name:** CERS NextGen

3. **Department of Technology Project Number (0000-000):** 0555-018

4. **S4PRA Version Number:** Version 1

5. **CDT Billing Case Number:** [Click or tap here to enter text.](#)

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

## 4.2 Submittal Information

1. **Contact Information**

Contact Name: Nick Kuka

Contact Email: [nick.kuka@calepa.ca.gov](mailto:nick.kuka@calepa.ca.gov)

Contact Phone: 916-566-5054

2. **Submission Type:** New Submission

If Withdraw, select Reason: [Choose an item.](#)

If Other, specify reason here: N/A

**Sections Changed if an updated or resubmission** (List all the sections that have changed.)

N/A

**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:

[The scope of the existing contract will not be changing.](#)

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:

[These components of the existing contract will not be changing.](#)

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:

[This meeting occurred in August 2024.](#)

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):** Not applicable

Status: The scope of work requires the primary contractor to provide an updated Project Work Plan. Since CalEPA has already been developing the solution with the contractor during the proof of concept phase, CalEPA needs to work with the contractor, once the project is initiated, to update the work plan.

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 has accomplished one production release as part of the initial proof of concept phase. The project planned for all stages of testing in Phase 1 as outlined in an approved Test Management Plan provided by the Contractor. The Project will require release management to be incorporated into the updated work plan and the updated test plan.

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?** No

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:

CalEPA has several existing OCM channels they will leverage to ensure business processes are updated where necessary. We have multiple stakeholder committees, including the Data Steering Committee, and other CUPA and industry representative committees. The program’s culture and practices already include CalEPA training on how to use CERS, with CUPAs providing additional training and OCM resources to businesses. We have also retained OCM consulting services for the project.

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:** Predictive

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

Predictive is often chosen for configuration projects. The platform provides many of the basic input, output, and communication features necessary for most organizational systems. Our functional scope is known, and it closely follows the business rules used by the legacy solution.

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.

The agency provides oversight to other Boards, Departments, and Offices using the predictive methodology.

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:

This project does not include OTech services.

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: 1.1

Objective: [Ensure only validated EPA ID numbers are entered into CERS to allow for successful reporting to RCRA Info.](#)

Change and Reason for Change from Stage 1: [N/A](#)

Metric: [Percentage of EPA IDs that are identified as valid during the RCRA Info data transfer process.](#)

Baseline: [70% valid IDs](#)

Target Result: [100% for all new records by time of implementation.  
100% for all records within 3 years of implementation.](#)

Valuation: [5%](#)

Objective ID: 1.2

Objective: [Ensure all Minimum Required Fields \(MRF\) are populated and valid.](#)

Change and Reason for Change from Stage 1: N/A

Metric: Percentage of MRF identified as valid entries

Baseline: Not in place – MRF have not been identified

Target Result: 100% for all new records at time of implementation. 100% for all records within 3 years of implementation.

Valuation: 5%

Objective ID: 2.1

Objective: Reduce the number of submittals that would be considered “duplicates.”

Change and Reason for Change from Stage 1: N/A

Metric: Number of submittals received compared to the number of submittals expected.

Baseline: Not in place

Target Result: Less than 10% of new submittals would be considered “duplicate” within 3 years of implementation.

Valuation: 50%

Objective ID: 2.2

Objective: Reduce the review cycle time from submittal to acceptance/non-acceptance.

Change and Reason for Change from Stage 1: N/A

Metric: Number of submittal reviews outstanding after the agreed-upon review timeframe by submittal element (for example, after 15 business days after submission).

Baseline: Not in place – standard review times have not been established for all submittal elements.

Target Result: 95% of submittals reviewed within agreed upon timeframe within 3 years of implementation.

Valuation: 25%

Objective ID: 3.1

Objective: Improve number of on-time facility inspected

Change and Reason for Change from Stage 1: N/A

Metric: Number of Facilities inspected within the appropriate timeframe.

Baseline: 85%

Target Result: 95% of facilities are inspected within the appropriate timeframe (within 3 years of implementation)

Valuation: 5%

Objective ID: 3.2

Objective: Improve number of on-time submittals.

Change and Reason for Change from Stage 1: N/A

Metric: Number of submittals received within the appropriate timeframe.

Baseline: 73%

Target Result: 95% of submittals are received within the appropriate timeframe within 3 years of implementation.

Valuation: 10%

*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, most likely Stage 2): 1/19/2026

Baseline Project Start Date (Stage 4): 2/17/2026

Variance between most recently approved schedule most likely Stage 2), and Baseline Cost (Stage 4): 14 business days.

#### Project End Dates

Proposed Project Finish Date (from most recently approved schedule/roadmap, most likely Stage 2): 1/4/2027

Baseline Project Finish Date: 5/3/2027

Variance between most recently approved schedule (most likely Stage 2), and Baseline Cost Finish Date (Stage 4): 4 Months

## 2. Reason(s) for Variances Provide reasons for any date variances:

The proposed start date aligns with the end of Phase 1. 14 business days have been added to the end of Phase 1 to allow processing of the mandatory contract amendment and the start of Phase 2. The current SI contract includes work on a Phase 1 proof of concept using Technology Modernization Funds. Phase 1 was heavily constrained by contract language required by the Technology Modernization Fund managers. The constraints prevented CalEPA from conducting earlier or more comprehensive planning for Phase 2. In October 2025, CalEPA appealed to CDT PAO leadership and received authorization to conduct basic planning activities for Phase 2 of the project with the SI Contractor. The variance in the project end date is based on initial estimates provided by our SI Contractor during this Phase 2 planning activity. The Contractor incorporated lessons learned from Phase 1, the known solution requirements, a statistical analysis of the development team's average velocity, and the expert knowledge of the Contractor's solution architect to produce a proposed Phase 2 development schedule. The CalEPA PMO has received the proposed Phase 2 schedule and incorporated it into the proposed master schedule.

## 3. Master Schedule and Key Milestones

**Attach** the 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: [Click or tap here to enter text.](#)

### 2. Cost Summary

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

Estimated Proposed Cost (from most recently approved FAW, most likely Stage 2):  
\$14,859,069

Baseline Cost (Stage 4 FAW): \$18,254,814

Variance between most recently approved FAW (most likely Stage 2), and Baseline Cost (Stage 4): \$3,395,745

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

Estimated Proposed Cost (from most recently approved FAW, most likely Stage 2): \$  
\$7,262,533

Baseline Cost (Stage 4 FAW): \$11,365,659

Variance between most recently approved FAW (most likely Stage 2), and Baseline Cost (Stage 4): \$4,103,126

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

Estimated Proposed Cost (from most recently approved FAW, most likely Stage 2): \$  
\$3,725,090

Baseline Cost (Stage 4 FAW): \$4,797,694

Variance between most recently approved FAW (most likely Stage 2), and Baseline  
Cost (Stage 4): \$1,072,604

### **Total Cost**

Estimated Proposed Cost (from most recently approved FAW, most likely Stage 2): \$  
\$25,846,693

Baseline Cost (Stage 4 FAW): \$34,418,167

Variance between most recently approved FAW (most likely Stage 2), and Baseline  
Cost (Stage 4): \$8,571,474

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

Estimated Proposed Cost (from most recently approved FAW, most likely Stage 2): \$  
\$2,322,648

Baseline Cost (Stage 4 FAW): \$3,488,829

Variance between most recently approved FAW (most likely Stage 2), and Baseline  
Cost (Stage 4): \$1,166,181

*TIP: Baseline costs match the Stage 4 Financial Analysis Worksheet (FAW).*

Reason(s) for Variances

**Provide reasons for any cost variances:** The variances are primarily due to greater-than-anticipated software costs and a significant increase in the project's total duration. Prior to our Stage 2 analysis, the PMO and CalEPA's chief technical officer collaborated with Salesforce representatives (including engineers) to analyze our project's software needs based on our mid-level and solution requirements. Our Stage 2 FAW estimates for software were based on our work with Salesforce. Shortly after the second approval of our Stage 2 analysis, we began work with the developer team. As part of their SOW, the SI recommended additional software licenses for development and M&O. These included additional Salesforce sandboxes to support the development pipeline, Salesforce Data Cloud, MuleSoft, Tableau, the Google Maps API, and Azure cloud storage. Additionally, the SI advised CalEPA to procure additional data backup services once the solution was deployed to production. These recommendations could not be anticipated. CalEPA's initial analysis with Salesforce, including Salesforce engineers with access to our requirements, did not identify the need for these additional licenses and services. Since the Stage 2 analysis, the PMO has tracked a \$4 million increase in software costs for the project and an additional \$1.2 million in software costs for Future Operations. This is partially due to the causes above. The proof-of-concept solution described in the Stage 2 analysis (which included roughly 50% of the project's functional requirements) required an unanticipated five-month extension (from 8/12/2025 to 1/15/2026), which increased the number of software renewals included in the project's planning costs. Additionally, the project is extending beyond the initially planned end date, which adds software renewals to the overall project costs, as well as the costs of software renewals in the year of M&O that occurs after the project is completed. The extension of the project's planned end date has also significantly impacted other planned project costs. In addition to software costs, consulting services (internal and external) and salaries and benefits are higher than initially planned due to the longer project timeline. While the Technology Modernization Fund offset some of these costs for Phase 1, the additional time required during Phase 1 increases salaries for resources throughout the project. The PMO has tracked a \$2.5 million increase in Civil Service staff salaries and benefits. The additional months increase OE&E for civil service positions by \$100,000. The PMO is also adding funds to cover CDT oversight, OCM, and IV&V services for additional months, which causes a variance in consulting and professional services of about \$840,000

Budget Change Proposal (BCP) Summary

### **3. Budget Request ID: 0555-004-BCP-2025-GB**

Budget Request Year (0000-00): 2025-26

Requested Amount (specific to the project): \$6.6 Million

Status: Supported

Budget Bill Language (if supported): The California Environmental Protection Agency requests \$6.6 million in spending authority from the Unified Program Account in the Fiscal Year 2025-26 to implement a technology refresh project on the California Environmental Reporting System (CERS) known as CERS NextGen. CERS Nextgen is an ongoing information technology project. This request includes continued funding for the five (5.0) permanent positions approved in the 2022 Budget Act. The project will update the technical platform, improve data quality and the processes supporting data quality, and modernize a critical public-facing

system that enables more than 160,000 businesses and 104 local regulators to meet their legal reporting obligations.

**4. Budget Request ID: 0555-004-BCP-...**

Budget Request Year (0000-00): 2026-27

requested Amount (specific to the project): \$7.99 Million

Status: Future

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

**5. Budget Request ID: 0555-004-BCP-...**

Budget Request Year (0000-00): 2027-28

Requested Amount (specific to the project): \$4.05 Million

Status: Future

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).*

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 Touchpoints Inc.**
5. **Contract Number:** **24IT-EPA001**
  - a. Contract Start Date: 8/12/2024
  - b. Contract End Date: 11/15/2027
6. **Total Contract Cost (without optional years):** **\$7.9 million**
  - a. Optional Years (Number of Months): 12 months

7. **Total Cost of Optional Years:** The current contract has a not-to-exceed of \$7.9 million. However, the additional project duration discussed in section 4.8 will require an augmentation of this contract, or a comparable augmentation of SI services of about \$1 million.
8. **Total Contract Cost (with optional years):** The total cost of SI services with optional years is likely 8.9 million.

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):** No

Status: The elements of this plan are covered by contractor work products in the SOW (Work Plan and Test Plan)

2. **Data Management Plan (Draft):** No

Status: the elements of this plan will be covered by contractor updates to the "Data Migration Plan"

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

Status: Click or tap here to enter text.

## 6.10 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:** 2/2/2026

**Form Received Date:** 2/2/2026

**Form Accepted Date:** 2/2/2026

**Form Status:** Completed

**Form Status Date:** 2/17/2026

**Form Disposition:** Approved

**Form Disposition Date:** 2/17/2026