Stage 1 Business Analysis

California Department of Technology, SIMM 19A.2 (Rev. 2.4), Revised 4/2/2018

1.1 General Information

Agency or State Entity Name:	Department of Resources Recycling and Recovery (CalRecycle)
Organization Code:	3970
Proposal Name:	CalRecycle Integrated Information System (CRIIS)
Proposal Description:	A single enterprise solution to consolidate and manage CalRecycle's 37 recyclable material and waste management systems that is scalable for future materials and program growth.
When do you want to start this project?:	8/1/2021
Department of Technology Project Number:	3970-021

1.2 Submittal Information

Contact Information:

Contact First Name	Contact Last Name
Kori	Arbis

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Submission Date:	TBD
Version Number:	**1.0**

Project Approval Executive Transmittal

Attachment:	Include the Project Approval Executive Transmittal as an attachment to your email submission.

1.3 Business Sponsorship

Executive Sponsors

Title	First Name	Last Name	Business Program Area
Director	**Rachel**	**Machi Wagoner**	**CalRecycle Executive**
Chief Deputy Director	Ken	DaRosa	CalRecycle Executive
Deputy Director	Sarah	Keck	Administrative, Financial & IT Services Division (AFITS)
Deputy Director	Matt	Henigan	Materials Management Local Assistance Division (MMLA)
Deputy Director	Mark	de Bie	Waste Permitting, Compliance, and Mitigation Division (WPCMD)

Business Owners

Title	First Name	Last Name	Business Program Area
Branch Chief	**Jennifer**	**Akins**	**Division of Recycling (DOR): Recycling Program Certification & Registration Branch**
Deputy Director	Tina	Walker	Office of Debris Recovery

Branch Chief	Ben	Shelton	DOR: Recycling Program Enforcement
Branch Chief	Hieu	Le	DOR: Recycling Program Operations
Branch Manager	Olga	Garti	AFITS: Fiscal Services
Branch Chief	Josephine	Urban	Audits Office
Branch Manager	**Ana-Maria**	**Stoian-Chu**	**MMLA: E-Waste**
Branch Chief	Clark	Williams	MMLA: Statewide Technical & Analytical Resources
Branch Chief	Michelle	Martin	MMLA: Financial Resources Management
Branch Chief	Cara	Morgan	MMLA: Local Assistance & Market Development
Branch Chief	Paulina	Lawrence	MMLA: Permitting and Assistance Branch
Branch Chief	Kim	Sellards	WPCMD: Waste Evaluation and Enforcement

Select + to add additional Business Owners

Program Background and Context

The Department of Resources Recycling and Recovery (DRRR) also known as CalRecycle was formed by legislative mandate in 2010 with the merger of California's Integrated Waste Management Board (CIWMB) and the Division of Recycling (DOR) from the Department of Conservation.

As CIWMB administered recycling and waste management programs for E-Waste, Used Oil, Used Tires, and other such programs, and DOR administered the Beverage Container Recycling Program (BCRP), the legislature intended for these two entities to realize the benefits of similar business practices growing more efficient and effective together. However, without targeted analysis and comparison of business processes, or a common system to manage them, DOR maintained its siloed program within the Division of Recycling Integrated Information System (DORIIS) and CIWMB has maintained its silos in each of its multiple program areas.

Eleven years after the merge, CalRecycle has been at the forefront of inevitable trending toward increased regulation of waste management, diversion, and disposal practices as well as increasing numbers of Extended Producer Responsibility (EPR) programs, holding more of the State's businesses and jurisdictions responsible for what is sold, distributed, and moving through the waste stream. As a result, CalRecycle has seen a sharp and ever-increasing growth of its responsibilities around materials, businesses, and consumers. Mattresses, product packaging, and pharmaceuticals are just a few of the additions to CalRecycle's purview. The material list grows each year.

Over the years, as legislation added new programs, CalRecycle developed unique software solutions for each. As a result, each program area has its own Information Technology (IT) applications. Most of these applications have overlapping and often duplicate functions, each with its own interface and unique outputs. This approach of developing a one-off solution for every program presents a unique challenge. It is fast becoming impractical for the Department's IT staff to maintain 37 separate program systems without constantly increasing positions necessary to manage them. Additionally, external stakeholders such as recycling centers and jurisdictions, who interact with CalRecycle in multiple ways, experience varying media, systems, and levels of automation.

The DORIIS application, in which the Beverage Container Recycling Program (a $1.5 billion program) is largely

maintained, is up for contract renewal in May 2023. As the largest system, an Oracle-based application utilizing E-Business Suite, it is complex and costly ($36 million since its inception in 2009 with total maintenance & operation costs averaging $2 million per year) and is only used to manage 1 of 6 major recyclable material programs in CalRecycle.

The renewal consideration of the DORIIS contract is the impetus for CalRecycle leadership to take stock of all materials and programs within the Department and begin the wide turn away from the less beneficial siloed approach and move CalRecycle as an enterprise, toward a more uniform, holistic software solution.

The current CalRecycle Covered Electronic Waste Information System (CEWIS) is a good example of one of CalRecycle's siloed systems. It handles the receipt, review, approval, and tracking of claims totaling more than $50 million each year. The CEWIS application is about 18 years old and needs a technology upgrade and development of new functionality, including online claim creation. The current hard copy-based claim process requires 40% of staff time spent on data entry, error correction, and document preparation. After a general technology upgrade, enabling electronic claim submission is the highest priority for this program.

The E-Waste program's technology upgrades and automation needs are shared by far too many of CalRecycle's programs. Therefore, CalRecycle would like to examine options for the development of a single enterprise solution for all recyclable materials that will provide greater uniformity for users and stakeholders, as well as provide an infrastructure for growth and inclusion of more materials and mandated programs.

Anticipated benefits realized from merging programs and processes into a single enterprise system include standardization of invoicing, claims, and collection activities. Having all data housed in a single location would provide major benefits for management reporting and fraud prevention across the department. Information Technology Services would also realize the benefit of reducing its support of 37 separate custom applications to a more manageable and practical number, thereby maximizing support to California's critical programs and stakeholders.

After more than 10 years since the merging of the DOR with the CIWMB, CalRecycle seeks to reimagine its program operations to finally leverage the benefits foreseen by the legislature.

The CRIIS enterprise solution will set the stage to increase automation for all CalRecycle's programs and increase data sharing to help with compliance and fraud prevention, while enabling greater reporting visibility for leadership to steer California toward achieving its 75% statewide recycling goal (currently at 35%).

1.4 Stakeholders

Key Stakeholders	
Org. Name	Name
Recycling industries	Recycling Centers, Processors, Curbside Operators, Collection Programs, Special Programs
Internal or External?	☐ Internal ☒ External
When is the Stakeholder impacted?	

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Input to Business Process	During the Business Process	Output of the Business Process
☒	☒	☒

How are Stakeholders impacted?

While all components of the material collection and recycling industry are non-State entities, all aspects of their operation are subject to CalRecycle oversight. Stakeholders will use the system to report all material shipped or claimed for payment or reimbursement from the State.

How will the Stakeholders participate in the project?

Any change to the existing legislation, regulations, or mandatory reporting will be implemented with the full involvement of the industry. CalRecycle will seek input and partnerships from the industry and other key stakeholders.

Org. Name	Name
Beverage Industry	Beverage Manufacturers and Distributors

Internal or External?	☐ Internal ☒ External

When is the Stakeholder impacted?

Input to Business Process	During the Business Process	Output of the Business Process
☒	☒	☒

How are Stakeholders impacted?

While all components of the beverage bottling and distribution industry are non-State entities, aspects of their operation are subject to CalRecycle oversight. Every covered beverage sold in California is subject to CRV and Processing Fee payment by this industry.

How will the Stakeholders participate in the project?

Any change to the existing legislation, regulations, or mandatory reporting will be implemented with the full involvement of the industry. CalRecycle will seek input and partnerships from the industry and other key stakeholders.

Org. Name	Name
Retailers, Distributors, and Manufacturers	Dealers (retailers), importers, wholesalers

Internal or External?	☐ Internal ☒ External

When is the Stakeholder impacted?

Input to Business Process	During the Business Process	Output of the Business Process
☒	☒	☒

How are Stakeholders impacted?

All activities related to the sale of covered materials in California are expressed to the public at the retailer selling the product. Retailers must properly label materials, charge the relevant fee to the customer, display signage if necessary related to the nearest recycling center, on some occasions be responsible for redeeming returned materials in-store or pay fees if they choose not to do so.

How will the Stakeholders participate in the project?

Any change to the existing legislation, regulations, or mandatory reporting will be implemented with the full involvement of the industry. CalRecycle will seek input and partnerships from the industry and other key stakeholders.

Org. Name	Name
Local governments	Cities, counties and other governmental entities and municipalities

Internal or External?	☐ Internal ☒ External

When is the Stakeholder impacted?

Input to Business Process	During the Business Process	Output of the Business Process
☒	☒	☒

How are Stakeholders impacted?		
Local governments must meet numerous goals related to waste disposal reduction usually via curbside collection programs, diversion programs, organics programs and the like and to ensure that there are adequate convenient opportunities for citizens to recycle and in some cases redeem materials. Additionally, many local governmental entities receive funding from CalRecycle in the form of grants, loans and other payment programs to promote waste reduction. Local governments will be impacted by any changes in the process through which recyclable materials are collected or redeemed, or the administration of assistance programs.		

How will the Stakeholders participate in the project?		
Any change to the existing legislation, regulations, or mandatory reporting will be implemented with the full involvement of the industry. CalRecycle will seek input and partnerships from the industry and other key stakeholders.		

Org. Name	Name	
Container manufacturing industry	PET, HDPE, glass, and aluminum container makers.	

Internal or External?	☐ Internal ☒ External	

When is the Stakeholder impacted?		
Input to Business Process	During the Business Process	Output of the Business Process
☒	☒	☒

How are Stakeholders impacted?		
Implementation of proposed new minimum content requirements will be carried out through the new system. Requirements for minimum recycled content often circle back to the method of collection and contamination of the post-consumer feedstock.		

How will the Stakeholders participate in the project?		
Any change to the existing legislation, regulations, or mandatory reporting will be implemented with the full involvement of the industry. CalRecycle will seek input and partnerships from the industry and other key stakeholders.		

Org. Name	Name	
Citizens	Consumers and redeemers of beverage containers	

Internal or External?	☐ Internal ☒ External	

When is the Stakeholder impacted?		
Input to Business Process	During the Business Process	Output of the Business Process
☒	☒	☒

How are Stakeholders impacted?		
CRV fees are paid at retail Dealers by consumers and redeemed by citizens at redemption centers.		

How will the Stakeholders participate in the project?		
While they will not directly be involved, any effects on Dealers, Recycling Centers, and Beverage Manufacturers may impact these stakeholders.		

Org. Name	Name	
Other industries where similar systems of upfront fees are charged to encourage proper disposal & recycling of materials.	Makers, and recyclers of automotive oil, tires, electronic display devices, etc.	

Internal or External?	☐ Internal ☒ External	

When is the Stakeholder impacted?		
Input to Business Process	During the Business Process	Output of the Business Process
☒	☒	☒

How are Stakeholders impacted?

Each of the industries above has its own separate legislatively defined and regulated method for ensuring that materials put into the marketplace are properly disposed. Members of the recycling community may deal with the collection of materials from multiple CalRecycle regulated programs, each with its own set of rules and regulations. CalRecycle wishes to investigate housing the technical workings of each of these individual programs under a single master framework to achieve efficiencies in operations.

How will the Stakeholders participate in the project?

Any change to the existing legislation, regulations, or mandatory reporting will be implemented with the full involvement of the industry. CalRecycle will seek input and partnerships from the industry and other key stakeholders.

Select + to add additional Stakeholders

1.5 Business Program

Org. Name	Name

CalRecycle Beverage Container Recycling Program (BCRP), Compliance, Used Oil, Used Tires, E-Waste, and all other programs	Internal Business Users
	    Division of Recycling (DOR)
	    Administration, Finance & Information Technology Services (AFITS)
	    Materials Management & Local Assistance Division (MMLAD)
	    Waste Permitting Compliance & Mitigation Division (WPCMD)
	    Policy Office
	    Legal Office
	    Audits Office

When is the unit impacted?

Input to the Business Process	During the Business Process	Output of the Business Process
☒	☒	☒

How is the business program unit impacted?

The BCRP has been around since 1986 and considerable State infrastructure has been built to implement and oversee the program. With more than $1.5Billion flowing through the BCRP annually, large investments have been made in certification of participants, inspections, investigations, enforcement, and audits related to the program, and in ensuring proper accounting and financial practices are in place. All practices related to the operation of the BCRP are implemented via DORIIS and any change to DORIIS or successor systems will impact how staff carries out day-to-day BCRP work. Other programs such as E-Waste, Used Oil, Used Tires, and the like in addition to areas of compliance (audits, inspections, investigations) and accounting work in multiple systems each day to carry out their mandated duties. Moving to a single system will require training but ideally one uniform method rather than several.

How will the business program participate in the project?

Staff and management from all current programs will need to be involved in the development of any successor system. Business processes for BCRP were mapped and updated when DORIIS was implemented and mapping of non-BCRP processes will need to be performed for most programs.

Org. Name	Name
CalRecycle Accounting	AFITS: Fiscal Services Branch

When is the unit impacted?

Input to the Business Process	During the Business Process	Output of the Business Process
☒	☒	☒

How is the business program unit impacted?

The most significant CalRecycle non-program-related users are AFITS: Accounting staff. Most notably, the Cash Management Unit was formed to focus on intake and creation of receivables, payments, applying credits and write-offs, performing collections activities, and reconciling the system to FI$CAL. The General Ledger unit is where paper forms

from participants not able to use an electronic system are entered directly into the current system and where payment receipt batches are created. The Accounts Payable unit ensures daily claims are managed, processed, and paid to CalRecycle's disbursement participants via the current system and FI$CAL. It is the hope that MMLA might also benefit from the inclusion of its Covered E-Waste Recycling, Used Oil Recycling, and other programs into a new system that will ultimately have positive downstream effects for Accounting. Currently, all other programs are carried out via separate systems that do not have standardized electronic invoicing or payment systems where accounting processes can be easily managed.

How will the business program participate in the project?

Staff and management from Accounting will need to be involved in the development of any successor system. Several business processes for Accounting have been mapped and were designed around standard practices and tools. Any modification of the existing system would involve participation from Accounting staff from day one.

1.6 Business Alignment

Business Driver(s)

Financial Benefit

Increased Revenue	Cost Savings	Cost Avoidance	Cost Recovery
☐	☒	☐	☐

Mandate(s)

State	Federal
☒	☐

Improvement

Better Services to Citizens	Efficiencies to Program Operations	Improved Health and/or Human Safety	Technology Refresh
☒	☒	☒	☒

Security

Improved Information Security	Improved Business Continuity	Improved Technology Recovery	Technology End of Life
☒	☒	☒	☐

Strategic Business Alignment

Strategic Plan Last Updated?	CalRecycle Core Values: 10/18/2018
Strategic Business Goal	**Alignment**
We conduct our business activities in an open, transparent manner and engage stakeholders and the public in the development of policies and regulations.	CalRecycle's commitment to integrity.
Strategic Business Goal	**Alignment**
We value proactive communication and are accountable to each other and our stakeholders.	CalRecycle's commitment to integrity.
Strategic Business Goal	**Alignment**
We use web-based technology to achieve maximum outreach efficiently.	CalRecycle's commitment to leadership and service.
Strategic Business Goal	**Alignment**
We research and share model programs and approaches for diversion and environmental stewardship.	CalRecycle's commitment to leadership.

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Strategic Business Goal	Alignment
We value innovative policies and practices that promote sustainable communities.	CalRecycle's commitment to leadership and service.

Select + to add additional Business Goals and Alignment

Executive Summary of the Business Problem or Opportunity

To better position CalRecycle to reach mandated goals, the Department would like to consolidate and streamline its program software applications, thereby laying the foundation for a single enterprise solution.

Currently, CalRecycle's 4 of 5 Divisions directly oversee recycling, EPR, and waste management programs. Over the years, as new programs are added in fulfillment of legislative and regulatory requirements, new IT applications are individually developed for each program. This has resulted in 37 unique IT applications with overlapping and sometimes duplicate functions. These new applications have been built without building on prior successes because the Department lacks a central framework that can be easily adapted or scaled to accommodate new materials and programs. This directly impacts our internal and external stakeholders or end-users who are, at times, the same users across these many applications, yet are required to learn and use these different systems and their respective processes. Additionally, depending on the material or program, external stakeholders may be required to enter duplicate information into multiple applications to report compliance. The siloed applications make it difficult to share, extract or analyze meaningful data without extensive, complicated querying and manipulation.

The issues experienced from a lack of data sharing require a single enterprise CRIIS solution. This is evidenced by the ongoing IT requests from program staff to build links between systems. When each new program arises, either during design or soon after, staff realize some aspect of their program or stakeholders is maintained in another place. More often than not, this is discovered after the system has been deployed because they had no idea the data existed.

As an example, currently linked CR systems include Recycling and Disposal Reporting System (RDRS) to Local Government Information Center (LoGIC) to fulfill reporting requirements, Facility Information Toolbox (FacIT) to LoGIC, Landfill Tipping Fee Tracker (LTFT) to Solid Waste Information System (SWIS), Budget Management System (BMS) to Contracts Management Systems (CMS), and among requested and upcoming links are SB1383 reporting and enforcement to LoGIC, and State Agency Reporting Center (SARC) to State Agency Buy Recycled Campaign (SABRC). When information is not linked, staff must first research what and where data is available, ascertain the different methods of data retrieval from each system, then relate it for analysis. With critical data stored across different systems, data gathering and reporting requires complex querying, data cleansing, and analysis.

Further, when critical participant data exists in these multiple systems, it presents compliance visibility challenges. When DORIIS was launched, the Division experienced a 20% increase in its capacity to identify and prevent fraud. Consolidating violation, audit, investigation, and inspection history provided more visibility into past audits or investigations. This allowed a visiting inspector to target problem areas or flag fraudulent persons for awareness.

This type of visibility would greatly benefit CalRecycle as a whole because it enables the program units that permit, certify, and license to immediately identify a fraudulent application and prevent the granting of a loan, grant, or entrance into a program. Moreover, compliance staff in varied units could manage and standardize their casework in a single system, consequently maximizing the effectiveness of the approach.

CRIIS would also provide an opportunity for centralized GIS (Geographic Information System) and mapping capability. With data all in one place, more programs could utilize and view the GIS and mapping functions to quickly visualize and

identify data correlations and aid in more complex analysis.

Below are common features shared between the various CalRecycle applications. These are the initial opportunities to have a centralized system to process these applications. There may be as many as 37 applications that could benefit from an enterprise system.

The similar features are as follows:

1. Claims-Driven Processes
2. Loans and Grants
3. Inspection Tracking
4. Material Tracking
5. Payment Processing
6. Claim Processing
7. Penalty Tracking
8. Permitted Facility Tracking
9. Product Determination
10. Stakeholder Registration
11. Vendor-Seller Tracking

There are opportunities to unite these similar programs through common services such as a master facility database, a standardized claim module, or a penalty tracking module. In a survey of current and anticipated IT applications, we found many have or will have common broad processes that may be considered for alignment and inclusion in a single enterprise system.

The matrix provides a visual representations of IT program applications that have commonality in 11 different areas:

Column1	DORIIS	RDRS	ORCA	CAPRS	CEWIS	WTMS	BCIMP	LoGOPP	1383 SUPER POLLUTANT	SWIS	RMDZ	BMDS	ShEPRD	RGBRS	SABRC	SARC	RPPC	Grant Management System	LoGIC	1335 SUSTAINABLE FOOD	212 SHARPS	MRRP	LTFT	HHW	LMS	WASTE	EDRO	Client Services Interface	BevCon	Recycled Conent Newsprint	Recycler Education &	Facility Information Toolbox	Unserved Zone Database	Financials of IT Services	Contract Management	*Budget Management	*DocDepot
Claims-driven programs	✓	✓	✓	✓	✓		✓	✓							✓	✓					✓						✓										
Grant or Loan Tracking			✓				✓				✓							✓																			
Inspection Tracking	✓				✓	✓		✓	✓				✓									✓					✓										
Material tracking programs	✓	✓	✓			✓	✓		✓	✓		✓	✓	✓	✓	✓			✓				✓	✓	✓		✓	✓			✓	✓					
Payment programs	✓	✓	✓	✓	✓		✓																									✓					
Pays Claims	✓	✓	✓	✓	✓		✓																✓														
Penalty Tracking	✓	✓	✓			✓		✓	✓										✓																		
Permitted Facility Tracking	✓			✓	✓	✓			✓			✓															✓							✓	✓	✓	
Product Determination	✓							✓			✓					✓			✓	✓																	
Stakeholder Registration	✓	✓	✓	✓	✓	✓		✓	✓	✓	✓	✓	✓	✓	✓	✓	✓		✓	✓		✓				✓											
Vendor-Seller Tracking	✓	✓	✓	✓	✓		✓			✓	✓	✓	✓	✓	✓	✓	✓		✓	✓							✓								✓	✓	
Total features	10	7	7	6	6	5	5	5	5	4	4	4	4	4	4	4	3	3	3	3	3	2	2	1	1	1	5	2	1	1	1	1	1	1	1	0	0

*May also see benefits

CalRecycle's benefits from a centralized system are undeniable due to the overlap of its stakeholders and business practices. We want to align these systems to streamline and standardize processes, maximize compliance, increase fraud prevention, provide visibility for management, and increase automation, functionality, and the ability to collect

revenue while serving California. We hope to accomplish this using a uniform system that is easier to use, less effort to maintain, provides a cohesive, consistent, updated look and feel, and that sets a framework for future growth in the Department as well as helping us achieve our legislative 75% statewide recycling goal.

Problem ID	Problems/Opportunities
1 – Loans and Grants	Provide functionality for Loans and Grants processing
Objective ID	1
Objectives	**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 businesses, and loans. Common theme current applications: Grants, CAPRS, LoGOPP, and RMDZ
Metric	Loans and Grants automation processing
Baseline	100%
Target	100%
Measurement Method	The analyst will track the time it takes to process loans and grants after automation.

Select + to add additional Objectives

Problem ID	Problems/Opportunities
2 - Claims Processing	**Provide functionality for Claims Processing**
Objective ID	2
Objectives	**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. Common theme current applications: DORIIS, CEWIS, DORIIS, RDRS, ORCA, CAPRS, BCIMP, SABRC, SARC, SHARPS
Metric	Claims Processing automation processing
Baseline	100%
Target	100%
Measurement Method	**Analysts will track the time it takes to process claims after automation.**
Problem ID	Problems/Opportunities
3 - Enforcement and Compliance	Provide functionality for enforcement and compliance
Objective ID	3
Objectives	**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 destinations of materials that are disposed of, sold or transferred inside or outside of the state.

	Common theme current applications: DORIIS, WTMS, RDRS, ShEPRD
Metric	Enforcement/Compliance automation processing
Baseline	100%
Target	100%
Measurement Method	Analysts will track the time it takes to process after automation.
Problem ID	**Problems/Opportunities**
4 - Data Information Sharing	Provide functionality for data information sharing process
Objective ID	**4**
Objectives	**Data Information Sharing -** General application for archival/miscellaneous document management as well as other miscellaneous data management and reporting features. List Management System enables staff to establish and manage one-way listservs. This system is used by the program area to track press releases and news to show on the Internet home page. Common theme current applications: DORIIS, BEVCON, LMS, NewsRoom
Metric	Data Sharing automation process
Baseline	100%
Target	100%
Measurement Method	Analysts will track the time it takes to process after automation.
Problem ID	**Problems/Opportunities**
5 - Material Tracking	Provide functionality for data material tracking process
Objective ID	**5**
Objectives	**Material Tracking -** This system allows staff to manage local jurisdictions' annual reports (Form 303). 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 destinations of materials that are disposed of, sold or transferred inside or outside of the state. LoGIC is designed to help California cities and counties easily submit, find, and manage their solid waste disposal and diversion data. An application that collects information from the Imported Material Report (IMR) form from both an online web-based form used by external users as well as a web-based application used by CalRecycle's Recycling Program Enforcement Branch (RPEB). This system allows mattress program participants to submit their annual reports and allows SuMR and the Mattress Recycling Council (MRC) to access the data for reporting purposes. Staff use this system to manage Rigid Plastic Packaging Container (RPPC) manufacturer information, as well as pre-certification and certification cycles for selected container manufacturers. Common theme current applications: DORIIS, HHW, WTMS, RDRS, LoGIC, BCIMP, MRRP, RPPC
Metric	Material tracking automation process
Baseline	100%

Target	100%
Measurement Method	Analysts will track the time it takes to process after automation.
Problem ID	**Problems/Opportunities**
6 - Inspection Tracking	Provide functionality for inspection tracking processing
Objective ID	**6**
Objectives	**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.
Metric	Inspection Tracking automation process
Baseline	100%
Target	100%
Measurement Method	Analysts will track the time it takes to process after automation.
Problem ID	**Problems/Opportunities**
7 - Payment programs	Provide functionality for payment programs processing
Objective ID	**7**
Objectives	**Payment Programs**
Metric	Payment Program automation process
Baseline	100%
Target	100%
Measurement Method	Analysts will track the time it takes to process after automation.
Problem ID	**Problems/Opportunities**
8 – Claims Payment	Provide functionality for claims payment processing
Objective ID	**8**
Objectives	**Claims payment**
Metric	Claims payment automation process
Baseline	100%
Target	100%
Measurement Method	Analysts will track the time it takes to process after automation.
Problem ID	**Problems/Opportunities**
9 Penalty Tracking	Provide functionality for penality tracking processing
Objective ID	**9**
Objectives	**Penalty Tracking**
Metric	Penalty Tracking automation process
Baseline	100%
Target	100%
Measurement Method	Analysts will track the time it takes to process after automation.
Problem ID	**Problems/Opportunities**
10 - Product Determination	Provide functionality for Product Determination processing
Objective ID	**10**

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Objectives	Product Determination
Metric	Product Determination automation process
Baseline	100%
Target	100%
Measurement Method	Analysts will track the time it takes to process after automation.
Problem ID	Problems/Opportunities
11 - Stakeholder Registration	Provide functionality for Stakeholder Registration processing
Objective ID	11
Objectives	Stakeholder Registration
Metric	Stakeholder Registration automation process
Baseline	100%
Target	100%
Measurement Method	Analysts will track the time it takes to process after automation.
Problem ID	Problems/Opportunities
12- Vendor-Seller Tracking	Vendor-Seller Tracking
Objective ID	12
Objectives	Vendor-Seller with FISCAL ID Management
Metric	Vendor-Seller Tracking automatioin process
Baseline	100%
Target	100%
Measurement Method	Analysts will track the time it takes to process after automation.
Problem ID	Problems/Opportunities
13- DORIIS Functionality	The functionality that is currently available in the Division of Recycling Integrated Information System (DORIIS).
Objective ID	13
Objectives	DORIIS is used to carry out all needs of the 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.
Metric	End-to-end revenue, disbursement, convenience zone, reporting and payment, and other functional processes.
Baseline	100%
Target	100%
Measurement Method	Analysts will track the time it takes to process in the successor system.
Select + to add additional Objectives	
Select + to add additional Problems	

Project Approval Lifecycle Completion and Project Execution Capacity Assessment

Stage 1 Business Analysis

1. Does the proposed development or project execution anticipate sharing resources (state staff, vendors, consultants, or financial) with other priorities within the Agency/state entity (projects, PALs, or programmatic/technology workload)?

○ Yes   ◉ No   ○ Clear

2. Does the Agency/ state entity anticipate this proposal will result in the creation of new business processes or changes to existing business processes?

○ No   ○ New Processes   ○ Existing Processes   ◉ Both New and Existing   ○ Clear

1.7 Project Management

Project Management Risk Score:	Stage 1: 110.5, Stage 2: 39
Attach completed Statewide Information Management Manual (SIMM) Section 45 Appendix A:	Include the completed SIMM 45 Appendix A as an attachment to your email submission.

Existing Data Governance and Data

1. Does the Agency/state entity have an established data governance body with well-defined roles and responsibilities to support data governance activities? If an existing data governance org chart is used, please attach it.	○ Unknown ○ Yes ◉ No ○ Clear	If applicable, include the data governance org chart as an attachment to your email submission.
2. Does the Agency/state entity have data governance policies (data policies, data standards, etc.) formally defined, documented, and implemented? If yes, please attach the existing data governance plan, policies, or IT standards used.	○ Unknown ○ Yes ◉ No ○ Clear	If applicable, include the data governance policies as an attachment to your email submission.
3. Does the Agency/state entity have data security policies, standards, controls, and procedures formally defined, documented, and implemented? If yes, please attach the existing documented security policies, standards, and controls used.	○ Unknown ○ Yes ◉ No ○ Clear	If applicable, include the documented security policies, standards, and controls as an attachment to your email submission.
4. Does the Agency/state entity have user accessibility policies, standards, controls, and procedures formally defined, documented, and implemented? If yes, please attach the existing documented policies, accessibility governance plan, and standards used, or provide additional information below.	○ Unknown ◉ Yes ○ No ○ Clear	If applicable, include the documented accessibility policies, standards, and controls as an attachment to your email submission.

California Department of Technology, SIMM 19A.2 (Rev. 2.4), Revised 4/2/2018

5. Do you have existing data that you are going to want to access in your new solution?	○ Unknown ◉ Yes ○ No ○ Clear	If applicable, include the data migration plan as an attachment to your email submission.
6. If data migration is required, please rate the quality of the data.		Some issues identified with the existing data

1.8 Criticality Assessment

Business Criticality

Legislative Mandates:	N/A ☒	
Bill Number(s)/Code(s):		Beverage Container Recycling and Litter Reduction Act
The language that includes system relevant requirements:		
Business Complexity Score	3.6	Include the completed SIMM 45 Appendix C as an attachment to your email submission.

Noncompliance Issues

Indicate if your current operations include noncompliance issues and provide a narrative explaining how the business process is noncompliant.

Programmatic Regulations	HIPPA/CJIS/FTI/PII/PCI	Security	ADA	Other	N/A
☐	☐	☐	☐	☐	☒

1. What is the proposed project start date?	8/1/2021
2. Is this proposal anticipated to have high public visibility?	◉ Yes ○ No ○ Clear

If "Yes," please identify the dynamics of the anticipated high visibility below:

The current DORIIS system is utilized by 4,000+ internal and external statewide users, including Recycling Centers, Processors, Curbside Operators, Collection Programs, Special Programs, Beverage Manufacturers, Distributors, Dealers (Retailers & Supermarkets), Material Recovery Facilities (MRF), in addition to the high dollar volume and impact on the regulated industry.

3. If there is an existing Privacy Information Assessment, include it as an attachment to your email submission.

4. Does this proposal affect business program staff located in multiple geographic locations?	◉ Yes ○ No ○ Clear

If "Yes," provide an overview of the geographic dynamics below and enter the specific information in the space provided.

Statewide stakeholders of multiple regulated industries, as well as internal State staff. (4,000+ users)

City	State	Number of Locations	Approximate Number of Staff

Select + to add Locations

1.9 Funding

1. Does the Agency/state entity anticipate requesting additional resources through a budget action to complete the project approval lifecycle?	◉ Yes ○ No ○ Clear

Stage 1 Business Analysis

2. Will the state possibly incur a financial sanction or penalty if this proposal is not implemented? If yes, please identify the financial impact to the state below:	○ Yes ◉ No ○ Clear
3. Has the funding source(s) been identified for this proposal?	○ Yes ◉ No ○ Clear

FUNDING SOURCE		FUND AVAILABILITY DATE
General Fund	☐	Date Picker
Special Fund	☐	
Federal Fund	☐	Date Picker
Reimbursement	☐	Date Picker
Bond Fund	☐	Date Picker
Other Fund	☒	Date Picker
If "Other Fund" is checked, specify the funding:	DSP-ITS-1 FY21-22, followed by a Budget Change Proposal (BCP)	

1.10 Reportability Assessment

1. Does the Agency/state entity's IT activity meets the definition of an IT Project found in the State Administrative Manual (SAM) Section 4819.2? If "No," this initiative is not an IT project and is not required to complete the Project Approval Lifecycle.	◉ Yes ○ No ○ Clear
2. Does the activity meet the definition of Maintenance or Operations found in SAM Section 4819.2? If "Yes," this initiative is not required to complete the Project Approval Lifecycle. Please report this workload on the Agency Portfolio Report. And explain below.	○ Yes ◉ No ○ Clear
3. Has the project/effort been previously approved and considered an ongoing IT activity identified in SAM Section 4819.2, 4819.40? If "Yes," this initiative is not required to complete the Project Approval Lifecycle. Please report this workload on the Agency Portfolio Report.	○ Yes ◉ No ○ Clear

4.	Is the project directly associated with any of the following as defined by SAM Section 4812.32? Single-function process-control systems; analog data collection devices, or telemetry systems; telecommunications equipment used exclusively for voice communications; Voice Over Internet Protocol (VOIP) phone systems; acquisition of printers, scanners, and copiers. If "Yes," this initiative is not required to complete the Project Approval Lifecycle. Please report this workload on the Agency Portfolio Report.	○ Yes ◉ No ○ Clear
5.	Is the primary objective of the project to acquire desktop and mobile computing commodities as defined by SAM Section 4819.34, 4989? If "Yes," this initiative is a non-reportable project. Approval of the Project Approval Lifecycle is delegated to the head of the state entity. Submit a copy of the completed, approved Stage 1 Business Analysis to the CDT and track the initiative on the Agency Portfolio Report.	○ Yes ◉ No ○ Clear
6.	Does the project meet all of the criteria for Commercial-off-the-Shelf (COTS) Software and Cloud Software-as-a-Services (SaaS) delegation as defined in SAM 4819.34, 4989.2, and SIMM 22 If "Yes," this initiative is a non-reportable project. Approval of the Project Approval Lifecycle is delegated to the head of the state entity; however, submit an approved SIMM Section 22 form to CDT.	○ Yes ◉ No ○ Clear
7.	Will the project require a Budget Action to be completed?	◉ Yes ○ No ○ Clear
8.	Is it anticipated that the project will exceed the delegated cost threshold assigned by CDT as identified in SIMM 10?	◉ Yes ○ No ○ Clear
9.	Are there any previously imposed conditions place on the state entity or this project by the CDT (e.g., Corrective Action Plan)? If "Yes," provide the details regarding the conditions below.	○ Yes ◉ No ○ Clear
10.	Is the system specifically mandated by legislation?	○ Yes ◉ No ○ Clear

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Original "New Submission" Date	7/15/2021
Form Received Date	7/15/2021
Form Accepted Date	7/15/2021
Form Status	Completed
Form Status Date	7/15/2021
Form Disposition	Approved If "Other," specify:
Form Disposition Date	7/15/2021