



**STATE OF CALIFORNIA**  
**PUBLIC UTILITIES COMMISSION**

**CONSUMER INFORMATION MANAGEMENT SYSTEM  
PROJECT CHARTER**



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Project  
Charter -  
Summary

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## 1. Summary

<b>Project Sponsor:</b>	<b>Jack Leutza</b>
<b>Project Director:</b>	<b>Karen Davis (ret.) / Paul King</b>
<b>Project Manager:</b>	<b>Marty Barry</b>
<b>Project Start Date:</b>	<b>July 31, 2006</b>
<b>Estimated Project End Date:</b>	<b>August 31, 2007 (from FSR)</b>
<b>Project Budget:</b>	<b>\$2,570,927 (from FSR)</b>

Project  
Charter –  
Purpose

## 2. Purpose

The purpose of this project charter is to authorize the project and formalize the Commission's understanding of the:

- Business problems, opportunities and assumptions
- Project goals and objectives
- Concept of the system to be produced by the project
- Boundaries of the project in terms of scope, resources, budget, and schedule
- High-level project approach and strategy
- Project organization including roles and responsibilities
- Project success factors and risk management

All subsequent project activities and decisions will be consistent with the Charter. The Charter is a living document that will be updated as needed

Project  
Charter –  
Background  
and Problem  
Statement

## 3. Background and Problem Statement

The Consumer Information Management System (CIMS) is being deployed to enable the California Public Utilities Commission (CPUC) to better serve consumers who are seeking assistance in resolving complaints or answering questions about the utilities that CPUC regulates. The Consumer Complaint Tracking (CCT) system that staff currently uses is merely a data repository rather than a system that facilitates complaint resolution.

Project  
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Customer

## 4. Customer

The primary customers of the CIMS are staff in the Consumer Services Information Division, Consumer Affairs Branch (CAB) who handle inquiries and informal complaint resolution daily. Within the CPUC, the CAB is responsible for assisting consumers by answering inquiries and resolving specific types of consumer complaints. CAB staff had previously been organized into groups of either telecommunications or energy response handling; however, each CAB representative is now handling Energy, Telecommunications, and Water inquiries and complaints.

Additionally, there are personnel throughout the CPUC who are tasked with investigating, analyzing, and monitoring utility compliance, performance, and activities.

These CPUC units that are consumers of CAB data, and therefore, additional customers of the CIMS, include:

- ✦ The Telecommunications, Water and Energy Divisions need access to the complaint database to assess current or existing tariff rules and policies
- ✦ The Division of Ratepayer Advocates, who needs this complaint data to identify potentially harmful industry trends to determine whether the Commission needs to take any actions on behalf of consumers.
- ✦ The Consumer Protection and Safety Division, which needs complaint data to identify potential trends in the industries (for example, the practice of placing unauthorized, misleading, or deceptive charges on a telephone bill—known as cramming—or switching long-distance carriers without authorization—known as slamming) so that CPUC can investigate further and potentially take action against these utilities on behalf of the consumers collectively. The Division also needs data as the complainant provided it, to be able to develop the case issue that may have been filed up to a year before enforcement action was initiated.
- ✦ The Administrative Law Judge Division will primarily rely on other divisions to perform initial review, evaluation, and assessment of the information collected in the complaint database. ALJ Division expects that the results of these reviews may be used as evidence in formal Commission proceedings. The ALJ Division currently has an electronic intake process for formal proceedings, where consumers may file formal complaints against utilities we regulate. It would be ideal if the ALJ Division could refer informal complaints that are improperly filed in the formal docket to CIMS for handling through some sort of interface between the two systems.

Project  
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Customer  
Benefits

## 5. Customer Benefits

A well-defined and successfully implemented Consumer Information Management System solution will benefit the CPUC by enabling all impacted divisions to:

- ✦ Increase the effectiveness of complaint resolution
- ✦ Increase the efficiency of the complaint resolution process
- ✦ Improve the quality of service
- ✦ Enhance data quality

The enhanced volume and integrity of data captured and retained by CIMS will increase CPUC's ability to evaluate Commission programs that affect and are impacted by consumer complaints.

Additionally, the implementation of a CIMS solution is likely to bring improvements to the quality and accessibility of information externally, thus leading to a better consumer experience.

Project  
Charter –  
Project  
Goals

## 6. Project Goals

Project goals are focused on the successful selection, customization, and implementation of a Consumer Information Management System solution that will directly support the business requirements of CPUC's Consumer Affairs Branch; as well as enhancing business process and capability within CPUC's Telecommunications, Water and Energy, Ratepayer Advocates, and Consumer Safety and Protection Divisions.

This project's goals will be achieved by a system that provides:

- ✦ Effective resolution of consumer complaints in a manner that assures informed and accurate resolution;
- ✦ Efficient processing of complaints that enables Consumer Affairs Branch (CAB) Representatives to focus on those complaints that require intervention rather than performing data entry and manual processes that consume valuable time;
- ✦ Improved quality of service for consumers including faster complaint resolution;
- ✦ Improved timely access to accurate and complete data for use throughout the CPUC to enable staff to more easily identify trends in the utility industry and conduct education and programs enforcement.

Project  
Charter –  
Project  
Objectives

## 7. Project Objectives

During the Feasibility Study, market research and a demonstration of the top viable and developed solutions led to the conclusion that the most value-effective solution is a modified-off-the-shelf (MOTS) solution that can be deployed in less than eight months.

As a result of these and other Feasibility Study outcomes, the following project objectives are targeted:

- ✦ Successful generation of a Request for Proposal (RFP) within an acceptable, although fast-tracked timeframe
- ✦ Effective and timely management of the procurement cycle, utilizing the services of DGS to evaluate and select the integrator/vendor who will provide the CIMS solution
- ✦ Successful implementation of a comprehensive Consumer Information Management System (CIMS) solution that will more effectively facilitate complaint resolution across multiple departments within the CPUC by:
  - Automatically processing routine complaints through auto workflow thereby enabling CAB staff to resolve more complex complaints.
  - Allowing the attachment of supplemental documents to a record so that all staff can access the entire record electronically.
  - Forcing data edits to ensure accurate and complete data in the complaints records.

- Allowing consumers electronic access to the status of their complaint.
- Having current business rules coded in the system thereby ensuring accurate resolution of complaints.
- Providing electronic guidance to staff on how to resolve difficult complaints.
- ✦ Successful implementation closure to put in place an acceptable period of warranty for the newly installed CIMS solution
- ✦ Completion of this project will be marked by the successful implementation of the Consumer Information Management System.

Project  
Charter –  
Project  
Scope

## 8. Project Scope

**The Consumer Information Management System (CIMS) Project** is a mission-critical project that is estimated to cost approximately \$3 million including all services associated with complete deployment. Upon completion of evaluation of responses to the request for proposal, it is anticipated that a modified-off-the-shelf (MOTS) solution will be selected for implementation. The hardware will be sited at the Department of Technology Services while CPUC staff will maintain the application software.

- ✦ **Services associated** with complete deployment of the solution implemented by this project include:
  - Generation of the Request for Proposal (RFP)
  - Procurement of a technology solution that best meets the requirements housed within the RFP.
  - Provision of the technology solution by an integrator, who is selected following the evaluation of responses to the RFP.
  - Independent validation and verification of project artifacts and activities.
  - Management of the project processes in accordance with best practices as outlined within the Project Management Body of Knowledge (PMBOK) published by the PMI and the State DOF Information Technology Oversight Framework
  - Information Technology Project Oversight assessment and completion of Department of Finance (DOF) required Independent Project Oversight Reports
- ✦ The **Request for Proposal (RFP)** will be the vehicle for selection and procurement of a technology solution that will be:
  - Capable of responding to recurrent and customized queries, both to determine the sources of complaints and the need for education and enforcement;
  - A resource for CAB Representatives by providing concurrent online access to rules, statutes, policies, and similar informal complaints, increasing responsiveness to consumers;

- Flexible in design to meet existing needs and to respond to future needs resulting from regulatory changes.
- ★ The **technology solution** selected and implemented will, at a minimum:
  - Automatically process routine complaints through auto workflow, enabling CPUC staff to resolve more complex complaints.
  - Allow the attachment of supplemental documents to a record so that all staff can access the entire record electronically.
  - Force data edits to ensure accurate and complete data in the complaints records.
  - Allow consumers electronic access to the status of their complaint.
  - Have current business rules coded in the system thereby ensuring accurate resolution of complaints.
  - Provide electronic guidance to staff on how to resolve difficult complaints.

**The CPUC has undertaken additional projects** during this timeframe that should be considered in any discussion of the scope of the CIMS project. These initiatives include:

- ★ ISB Data Center Analysis & Information Technology Strategic Plan (Sponsored by Paul Clanon and Karen Davis; document delivered 8/28/2006 by TechProse)
- ★ The Process Enhancement Project (“PEP”) – resulting in a report titled “SOLUTIONS FOR CHANGE - Process Improvement Recommendations to the Consumer Affairs Branch”, published in July of 2006.

While it is important to note that the goals and objectives of these projects are NOT within the scope of the CIMS project, it is also acknowledged there may be some points of impact between these projects and CIMS. These points of impact could result in task dependencies between and/or across projects. (i.e. the ability to begin a task in CIMS could be dependent upon the completion of an activity in an external project or vice-versa...) Significant measures are being taken during requirements collection to ensure that these touch points have been adequately identified.

Impact of projects external to CIMS is generally assumed to be outside the scope of the CIMS project, except where the CIMS requirements have incorporated their inclusion.

Project  
Charter –  
Project  
Approach

## 9. Project Approach

The conceptual segment of the CIMS project, in which the Feasibility Study Report was published, funding for the project obtained, and the project "core" team established, took place between February and August of 2006.

**The project's “core” team** was structured to include a total of four vendor teams reporting in some way to the Project Sponsor and Director. Each of the vendor teams committed to a scope of work particular to its role on the project.



Functions provided by these first four vendor teams include

- Requirements and Procurement Management
- Independent Validation and Verification
- Project Management
- Independent Project Oversight

***To prepare for the implementation phase, the core team will be split into a management-level “status” team and a staff-level “working” team. For more information on this, please see the Stakeholder Plan.***

The project will adopt an approach to decision making that is dependent upon the involvement of a **steering committee**, which will provide reinforcement to project sponsorship, especially in the areas of risk management, change management, and the escalation of issues.

#### Executive Steering Committee

<p><b>Jack Leutza</b> Director, COMM</p>
<p><b>Jeff Kasmar</b> Performance Excellence</p>
<p><b>Linda Serizawa</b> Director, CPSD</p>
<p><b>Rich Clark</b> Director CPSD</p>
<p><b>Phil Enis</b> CAB</p>
<p><b>Jeanette Lo</b> Enforcement</p>
<p><b>Norman Low</b> Program Management</p>
<p><b>Juanita Hill</b> CAB Manager (LA)</p>
<p><b>Karen Dowd</b> CAB Manager (SF)</p>
<p><b>Karen Davis</b> ISB Chief/CIO</p>

There will be meetings conducted at regularly scheduled intervals to discuss project status and resolve issues. These meetings will convene at the Working Team, Management Team (Core) and Executive Steering Committee levels. Recommended communication and escalation techniques and tools, as well as the content and schedule for periodic meetings and status reports, will be addressed within the CIMS Project Communication Plan Document.

The current progression from concept to definition for the CIMS project is marked by a sharp focus on the generation of the Request for Proposal (RFP), as well as the management of the procurement cycle, including:

- ✦ Release and Distribution of the RFP
- ✦ Evaluation of Responses to the RFP
- ✦ Bidders' Conferences as determined
- ✦ Demonstrations by participating vendors as requested
- ✦ Selection of the System Integrator / Vendor

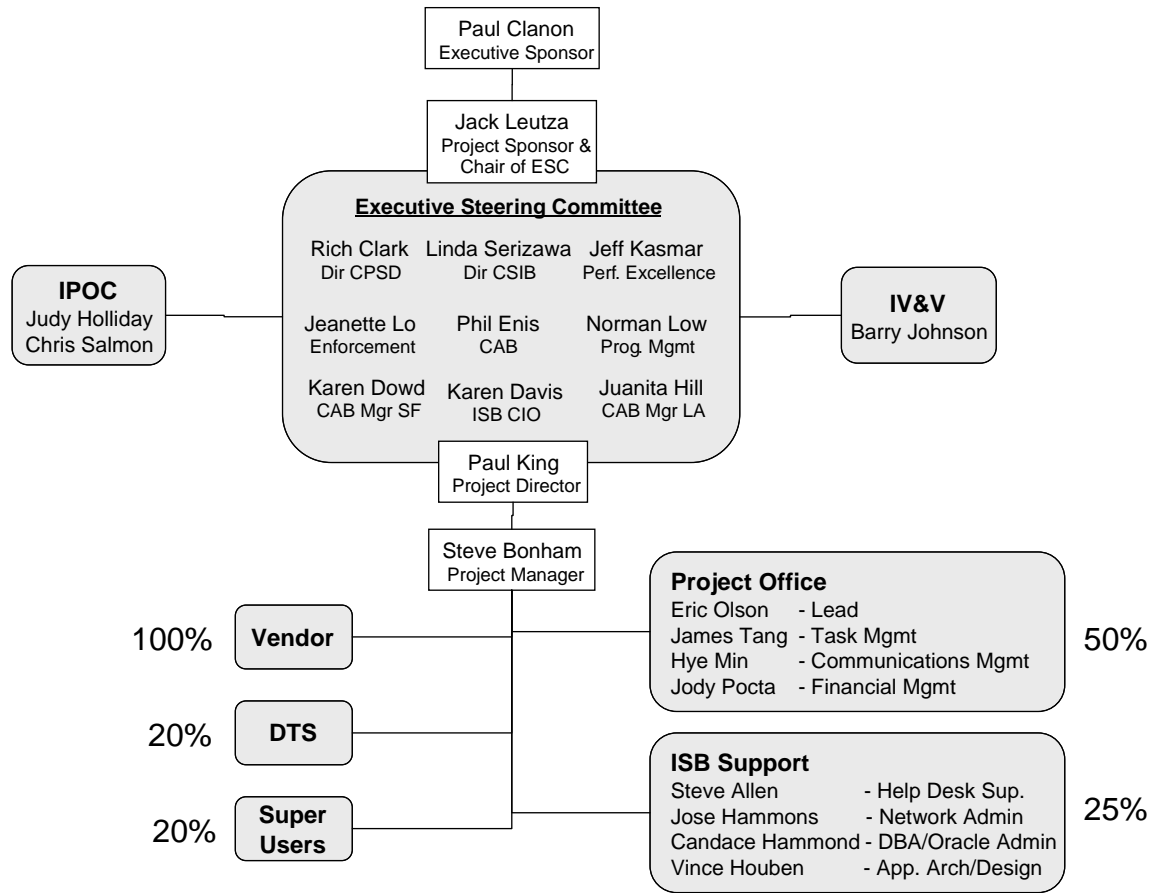
Project Management, Independent Project Oversight and Independent Validation and Verification activities have been initiated for the CIMS Project. These services will be provided throughout the project, will continue after the selection of a system integrator and solution provider, and will remain until the successful implementation of CIMS.

The approach to project management is based on a strong foundation that follows Project Management Institute (PMI) guidelines. PMI developed the Project Management Body of Knowledge (PMBOK®), and these principles are embedded in the project management, quality management, and risk management methodologies that will be utilized for CIMS. This approach is flexible enough to incorporate modifications that may be required to comply with California, such as the Department of Finance's (DOF's) Project Management Methodology as articulated in Statewide Information Management Manual (SIMM) Section 200. All steps necessary will be taken to ensure the project is managed in a manner consistent with statewide policy defined by DOF, DGS, and CPUC.

Project  
Charter –  
Project  
Organization

## **10. Project Organization**

The Project Team organizational structure is depicted on the following page.



Project Charter – Project Roles

## 11. Project Roles

A formal project structure provides the Project Team with a clear understanding of the authority and responsibility necessary for successful accomplishment of project activities, and enables Project Team members to be held accountable for effective performance of their assignments. The following will be the roles and responsibilities for each of the Project Team members.

### Executive Sponsor

- ✦ The Executive Sponsor provides project ownership at the highest possible level within the CPUC.

### Project Sponsor

- ✦ The Project Sponsor provides guidance and direction to project management to ensure that deliverables and functionality are achieved as defined in the project plans.

### Project Director

- ✦ The Project Director is a key player in the delegation of decision authority to the Project Manager, and is accountable to CPUC and project sponsorship in

matters related to the management of the project. The Project Director will also provide guidance and direction to the Project Manager to ensure that deliverables and functionality are achieved as defined in the project plans.

### Project Manager

- ✦ The Project Manager is responsible for the day-to-day decision-making and management of project implementation to ensure the project meets its scope, schedule, and budget. The Project Manager is accountable to the Project Sponsor and the Project Director for project outcomes. This person is the primary contact with the system deployment vendor, manages the state's team, coordinates overall project activities, and ensures adherence to the agreed upon Project Management Methodology.

### Project Office

- ✦ The CIMS project will benefit with the implementation of a project office approach to roles and responsibilities. The project office team for CIMS will be comprised of the (vendor) Project Management personnel, as well as participants from CPUC.
- ✦ The CIMS project office provides the structure in which the project work is accomplished, and will incorporate the following functions:
  - Communications Management
  - Financial Tracking and Control (including contract and subcontract administration)
  - Issues Tracking and Control
  - Risk Management
  - Documentation Management
  - Project Scheduling and Control
  - Coordination of Training, Testing, Requirements and Rollout

### Super Users

- ✦ This team is comprised of Subject Matter Experts (SMEs) and end users from the affected divisions (Consumer Service and Information, Telecommunications, Consumer Protection and Safety, Ratepayer Advocates, Energy and Water) with the necessary knowledge to communicate needs and assist with analysis, testing, and deployment. Their participation will promote ownership of the solution with those most affected. This team will also provide day-to-day guidance and representation for user needs.
- ✦ The Project Team also includes the Information Services programming, database, and network administration staff who are responsible for working with the system vendor to the degree identified by project management.
- ✦ The MOTS vendor will ensure successful end-to-end processing of customer complaints activity and all associated functions and will be ultimately responsible for delivering an integrated, functional solution to support CIMS requirements

within the required time frame...

**Independent Project Oversight Contractor**

- ✦ The Independent Project Oversight Contractor will report directly to the Project Sponsor as chair of the Executive Steering Committee. An Oversight Report will be produced by the consultant and made available to the DOF and the CPUC concurrently. The oversight consultant follows the guidelines in the SIMM section 200, and the DOF IT IPO Framework.

**Independent Verification and Validation Vendor**

- ✦ The IV&V also reports directly to the Project Sponsor as chair of the Executive Steering Committee. IV&V reviews project requirements with respect to the project’s goals, performs independent testing or testing review, and audits project deliverable progress against defined requirements.

Project Charter – Project Success Factors

**12. Project Success Factors**

The CIMS project has been initiated with an aggressive timeline in mind. It is critical to the perceived success of the project that CIMS be implemented on a timely basis.

Multiple stakeholders within the CPUC organizations will be impacted by the implementation of the CIMS solution. It is critical to the perceived success of the project that a high degree of effective communication be maintained throughout the project so that these stakeholders are regularly ensured that their needs are being met.

Initiatives outside the scope of the CIMS project have been launched that could impact the deliverables of the project. It is critical to the success of the project to maintain a high degree of awareness concerning other important initiatives that exist within the CPUC. It will be important to continue reinforcing the scope of the CIMS project relative to its own goals and objectives.

The CIMS project is a highly visible and important initiative. The external consumer of CPUC’s products and services is likely to experience benefit as a result of this project, as well as CPUC’s internal audience. It is critical to the overall perceived success of this project that the external consumer is satisfied with their enhanced experience.

Project Charter – Project Assumptions

**13. Project Assumptions**

Major project assumptions include:

- ✦ CPUC program and technical experts will be available to participate in the project as required and will provide information on a timely basis to the consultant.
- ✦ CPUC staff will participate fully during the testing phase of project development, and will help coordinate the necessary outreach and training prior to system deployment.
- ✦ The Project Sponsor fully supports this project and, if needed, will resolve issues that cannot be handled by the Project Manager.
- ✦ The CPUC’s business requirements and their priority will not change during the

project. They are, in order, to increase effectiveness in answering consumer inquiries and resolving consumer complaints, increase efficiency of carrying out the processes, improve quality of service to consumers, and provide timely access to accurate and complete data.

## Appendix A. Project Plan Document Overview

Among the plans / sections addressed within the project plan document are the following:

- Project Objectives
- Project Scope
- Work Breakdown Structure
- Project Milestones/Schedule
- Roles and Responsibilities
- Risk Management Plan
- Issue Management Plan
- Quality Plan
- Acceptance plan
- Communication Plan
- Change Management Plan
- Configuration Management Plan
- Contract & Procurement Plan
- Warranty and Support Plans
- Project tracking and control
- Testing Strategy / Test Plan
- Release Strategy / Release Management Plan
- Project Schedule

For CIMS, certain of these documents will be produced and delivered, or at least influenced, by the Independent Validation and Verification Vendor and/or the System Integrator/Deployment Vendor that is selected following the RFP and Procurement process.