

# Project Initiation & Approval

Department of Information  
Technology

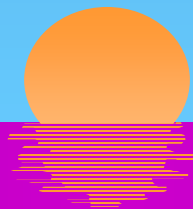


# Opening Remarks



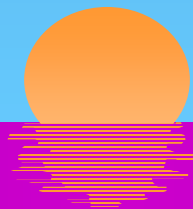
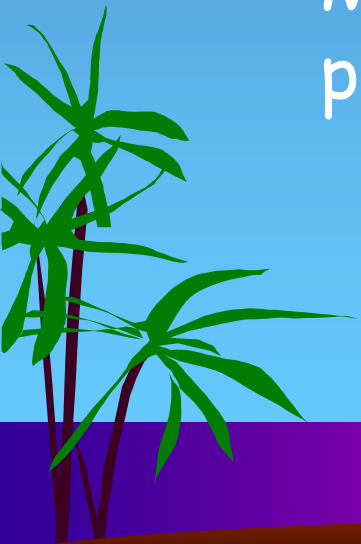
# Initiation & Approval Process

- New process
- New roles & responsibilities
- New or enhanced requirements
  - Preliminary Feasibility Study Report
  - Feasibility Study Report
  - Feasibility Study Report Exemption Request
  - Project Change Request
  - Special Project Report



# New Process Features:

- Sequential review
- DOIT's new review timeframes
- Prioritization by funding source
- Earlier control agency involvement
- More opportunity for control agencies to provide direction and guidance





# Roles & Responsibilities

# Departmental Responsibilities:

- Compliance with state policies and reporting requirements
- Determining resource augmentation needs
- Prioritizing IT proposals & funding requests from a departmental & fund source perspective



# Departmental Responsibilities:

- Submitting prioritized IT proposals & funding requests to agency
- Responding to control agency questions in a timely manner
- Notifying DOIT of the project's funding level as specified in the Budget Act



# Agency Responsibilities:

- Ensuring department proposals comply with agency strategies, goals, and policies
- Prioritizing IT proposals & funding requests from an agency-wide & fund source perspective
- Submitting prioritized proposals & funding requests to the DOIT



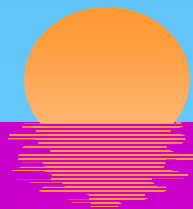


# DOIT's Roles & Responsibilities:



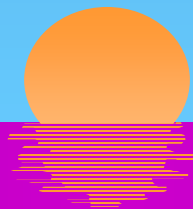
# Advocate

- Advancing the use of technology in making government more efficient
- Working with departments, agencies, and DOF in resolving fiscal issues concerning the deployment of IT
- Representing the Administration in legislative hearings and other events as they relate to IT activities



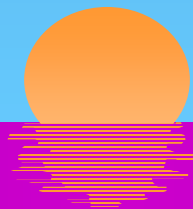
# Gatekeeper

- Ensuring efforts and resources are expended only on proposals that are properly aligned with the state's overall IT strategies, infrastructure, and policies
- Conferring with the DOF to determine whether proposals are consistent with statewide budget priorities



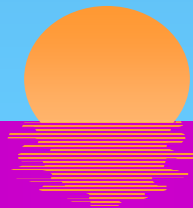
# Control Agency

- Providing guidance to departments and agencies on IT proposals
- Reviewing IT proposals
- Denying IT proposals that are not aligned with state policies and strategies
- Granting final IT project approval (after the project has been funded at the level necessary for project success)
- Overseeing issues and concerns that are unique or special to IT projects

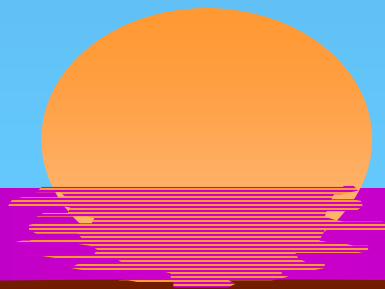


# DOF Responsibilities:

- Reviewing proposals and funding requests
- Communicating with the DOIT and/or the department to clarify and resolve issues
- Incorporating supported proposals and funding requests into overall statewide funding priorities
- Notifying the DOIT and the department of its decision



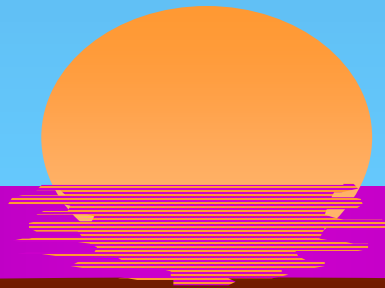
Questions?



# New & Enhanced Requirements



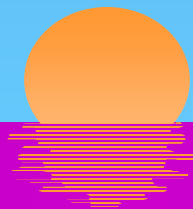
# Preliminary Feasibility Study Report (Pre-FSR)





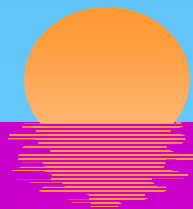
# What is a Pre-FSR?

- A brief, conceptual project description:
  - proposal concept
  - justification
  - high-level implementation plans
  - anticipated funding source(s)



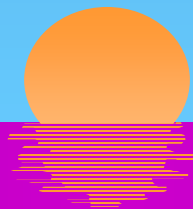
# Pre-FSR Objectives

- Minimize investment in the development of a reportable FSR that has little chance of being approved
- Ensure focus is on technology initiatives to most effectively support mission critical programs
- Ensure consistency of IT projects with departmental and statewide strategies, policies, and standards



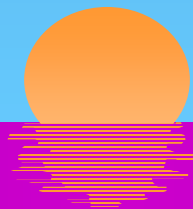
# Pre-FSR Reporting Criteria

- A Pre-FSR is not required if:
  - the proposed project is mandated by legislation, or
  - the proposed project will be entirely funded through a grant specific to the proposed activity
- A Pre-FSR is required for proposed IT projects that meet one or more of the following criteria. . .



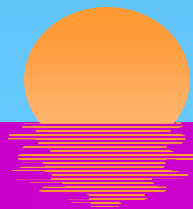
# Pre-FSR Reporting Criteria

- ❑ The estimated development schedule exceeds one year
- ❑ The estimated total project costs exceed \$1,000,000
- ❑ Involves Wide Area Network (WAN) facilities or services other than those acquired through Department of General Services or a State Consolidated Data Center (SCDC) and is over the department's cost threshold



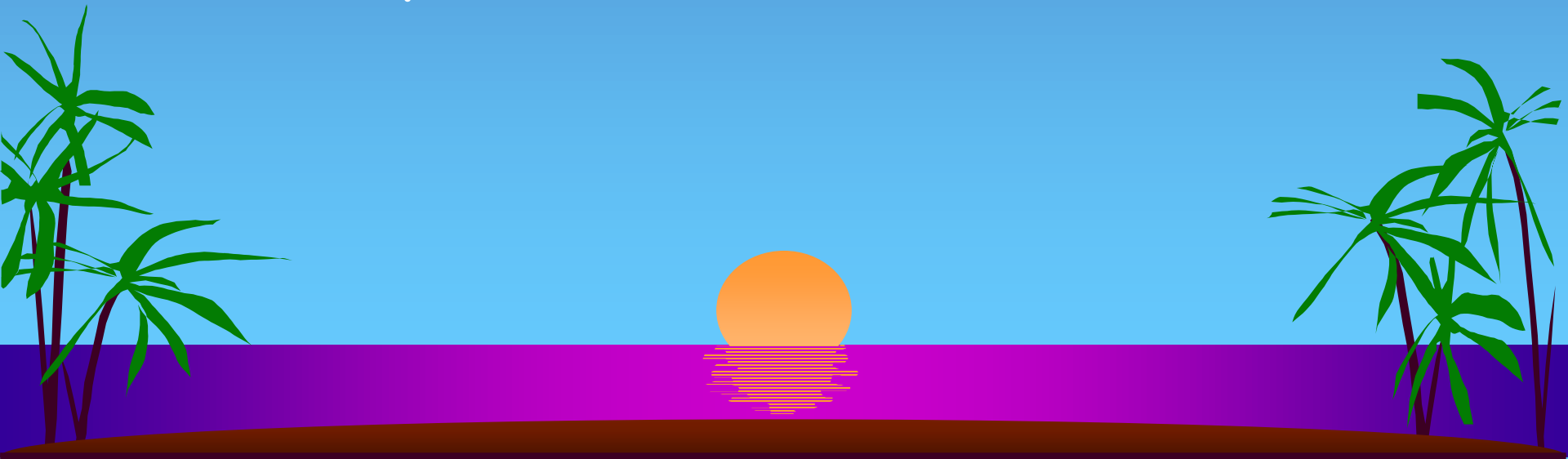
# Pre-FSR Reporting Criteria

- Includes the use of new technologies not currently supported by the department or a SCDS and is over the department's cost threshold
- Conflicts with the state's enterprise systems strategy solution

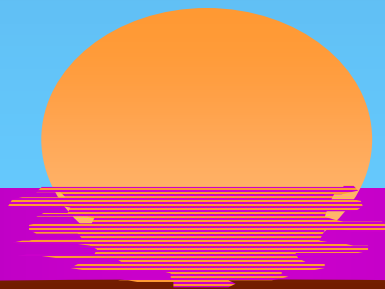
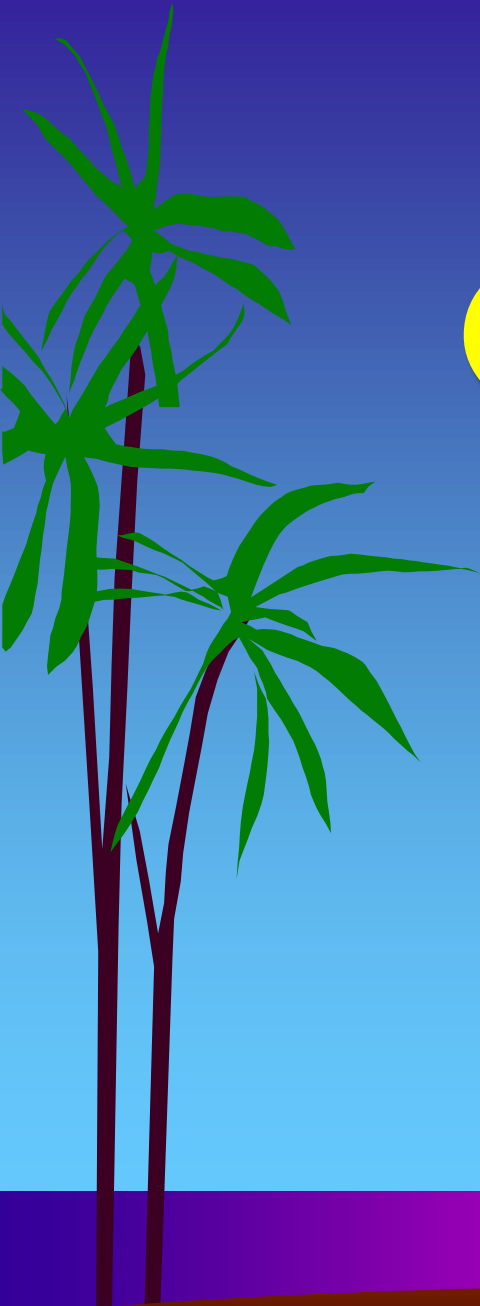


# Pre-FSR Documentation

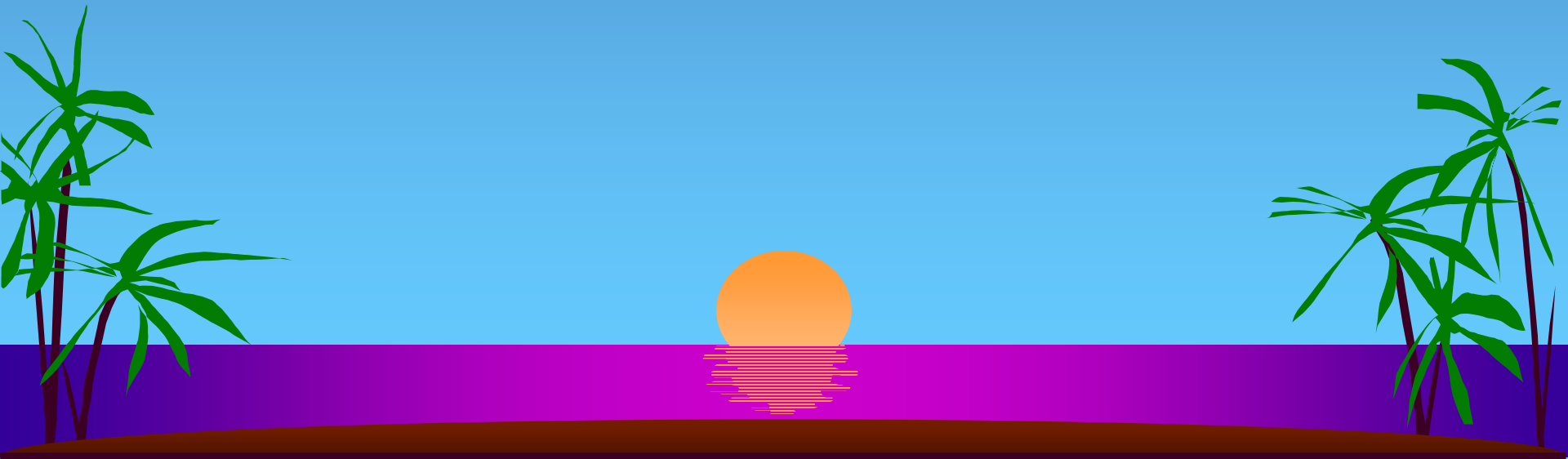
- Pre-FSR Executive Approval Transmittal
- Pre-FSR Form
  - Sample Form Handout



Questions?



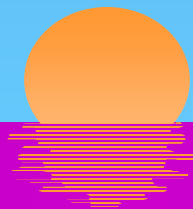
# Feasibility Study Report (FSR)





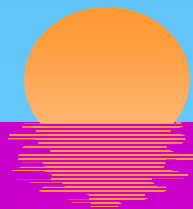
# What is an FSR?

- Complete summary of the results of a feasibility study conducted to address a problem or opportunity
- Establishes the business case for the investment of state resources
- A formal request to initiate a project
- The contract between the department, agency, the DOIT and DOF



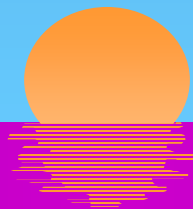
# FSR Objectives

- Provide justification and priority of the project
- Demonstrate a viable and cost-effective solution consistent with statewide policies has been selected
- Demonstrate capability to ensure project success



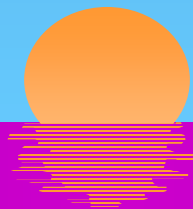
# FSR Reporting Criteria

- Estimated total development and acquisition costs exceed the department's cost threshold
- Required by mandate or subject to legislative review
- Involves a budget action



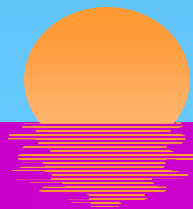
# FSR Reporting Criteria

- Involves acquisition of microcomputer commodities and the department does not have an approved Workgroup Computing Policy (WCP)
- Involves electronic access to private information by entities that do not "own" the data or whose access is not specifically authorized by law
- Involves WAN facilities or services other than those acquired through Department of General Services or a SCDC



# FSR Reporting Criteria

- Involves technologies not currently supported by the department or a SCDC
- Involves activities defined in the DOIT's Enterprise Systems Report
- Involves the acquisition or upgrade of a multi-user CPU (except for previously approved projects or office automation)



# FSR Documentation

- FSR Executive Approval Transmittal
- Y2K Exemption Request
- Project Summary Package
- FSR, including EAWs
- RAM

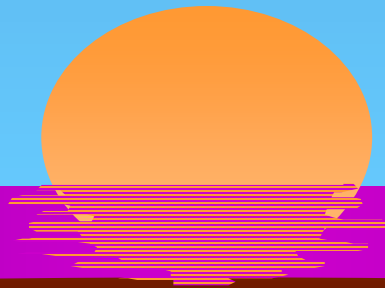
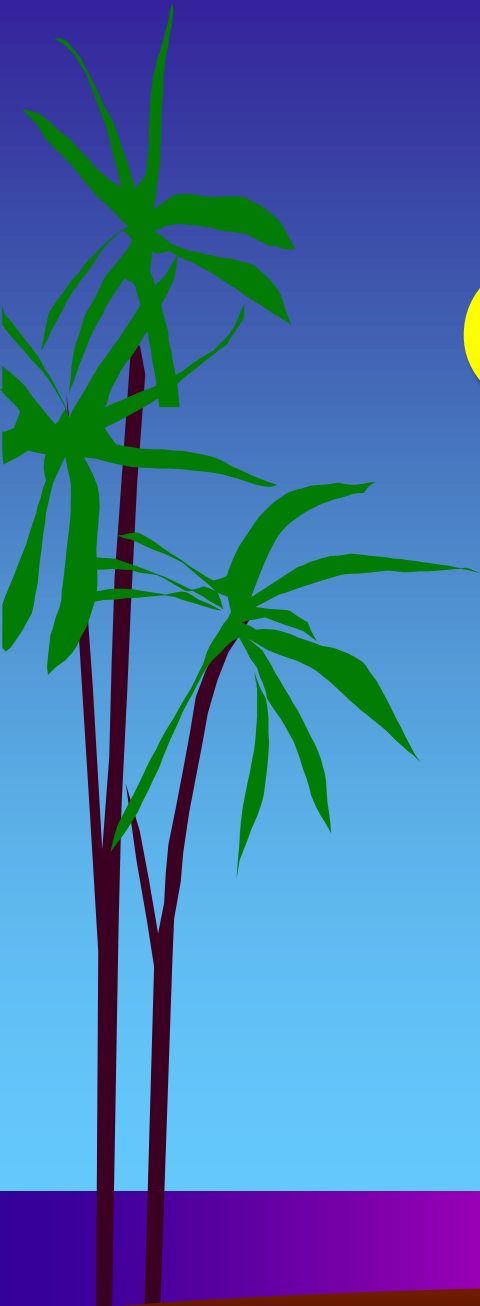


# FSR Contents

- Business Case
- Baseline Analysis
- Proposed Solution
- Project Management Plan
- Risk Management Plan
- EAWs

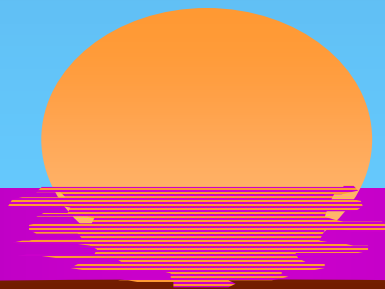


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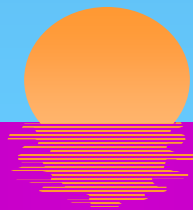




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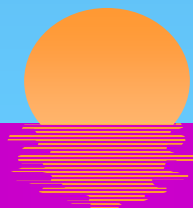


# FSR Reporting Exemption Request



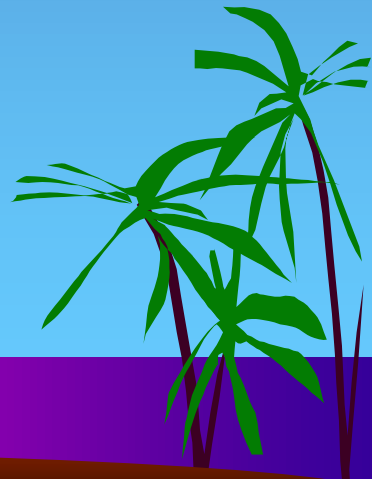
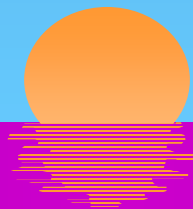
# What is an FSR Reporting Exemption Request?

- A request for an exemption from control agency reporting on a specific IT activity



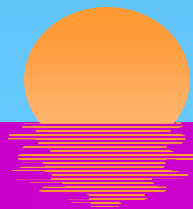
# FSR Reporting Exemption Request Objectives

- Allows appropriate approval oversight authority to be determined
- Allows appropriate documentation requirements to be determined



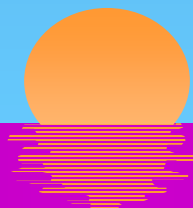
# Reporting Criteria for FSR Reporting Exemption Request

- ❑ Estimated total development and acquisition costs exceed the department's cost threshold
- ❑ Required by mandate or subject to legislative review
- ❑ Involves a budget action



# Reporting Criteria for FSR Reporting Exemption Request

- Involves acquisition of microcomputer commodities and the department does not have an approved WCP
- Involves electronic access to private information by entities that do not "own" the data or whose access is not specifically authorized by law
- Involves WAN facilities or services other than those acquired through Department of General Services or a SCDC



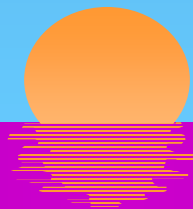
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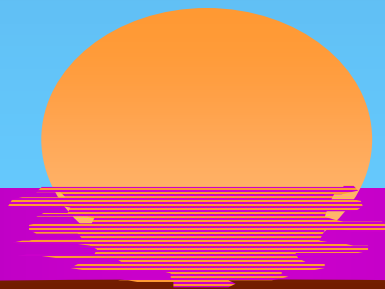
# FSR Reporting Exemption Request Documentation

- FSR Reporting Exemption Request Executive Approval Transmittal
- FSR Reporting Exemption Request Form
  - Sample Form Handout

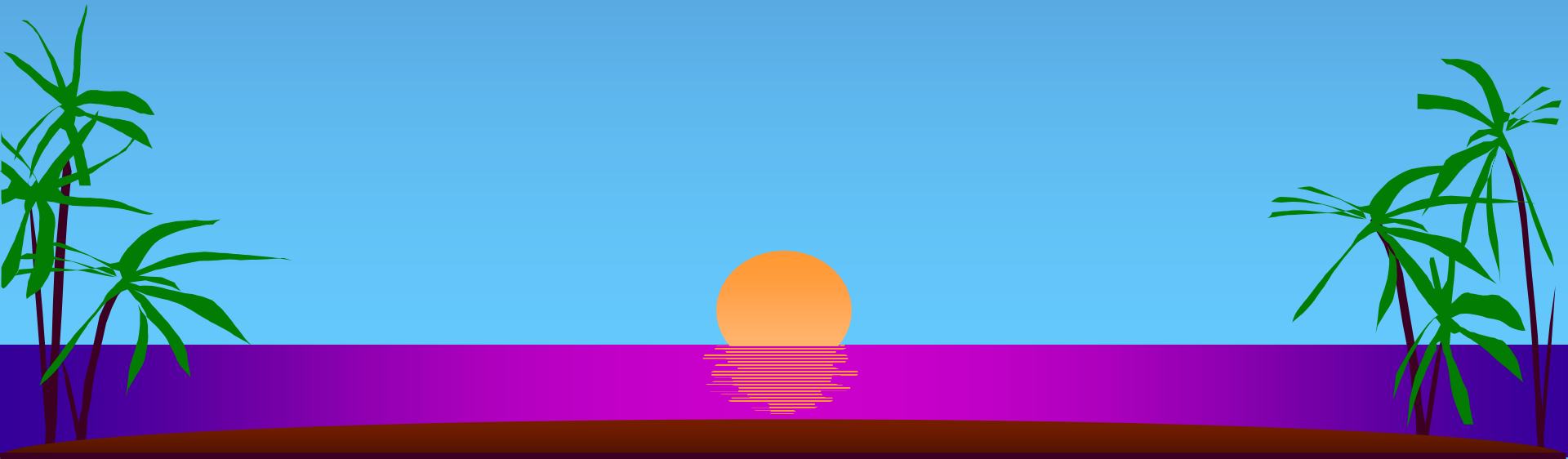




# Questions?

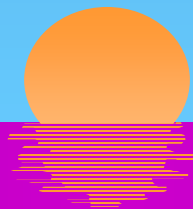


# Project Change Request (PCR)



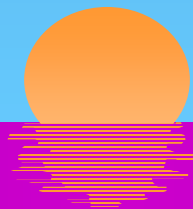
# What is a PCR?

- A formal request to proceed with the development of a Special Project Report that answer the following:
  - What change is being proposed?
  - Why is the change needed?
  - How will the change impact the project?
  - How will the change be incorporated?



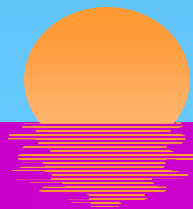
# PCR Objectives

- Provides the department and the DOIT with preliminary information needed to assess the merits of a proposed change before:
  - the change is implemented, and
  - resources are spent on the development of a Special Project Report that may not be accepted or approved



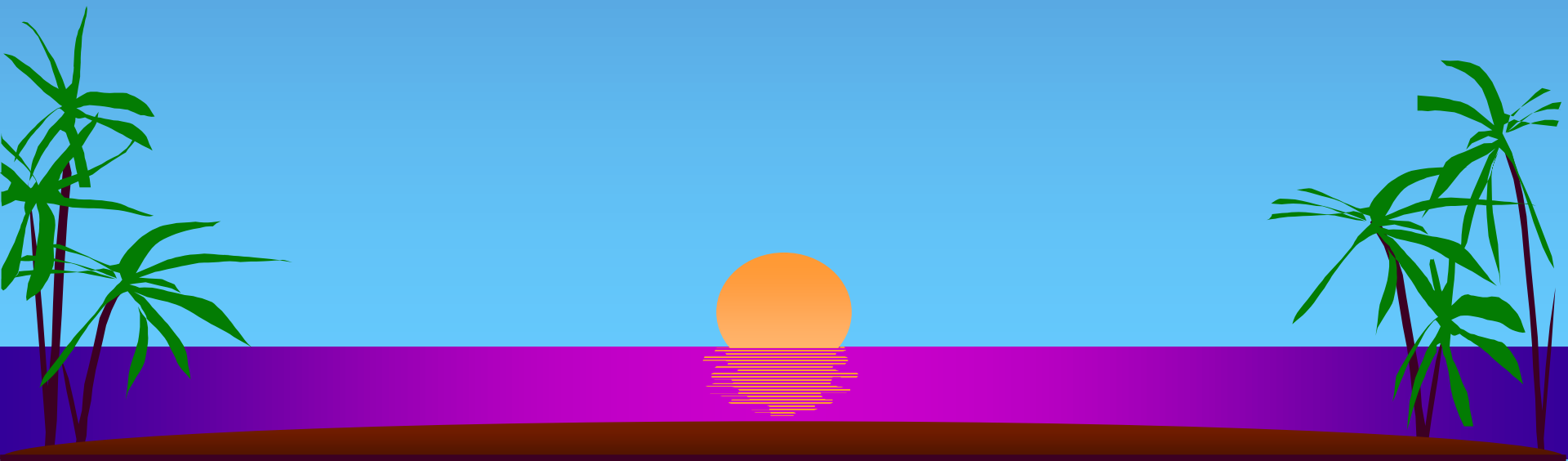
# PCR Objectives

- Provides an early opportunity for the DOIT to become involved in the decision making process
- Provides an opportunity for the department to receive DOIT direction and guidance when it will be most beneficial



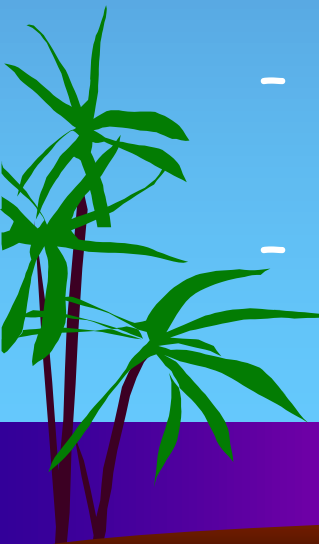
# PCR Reporting Criteria

- If the project was not initially reportable and a proposed change would make the project reportable under the FSR Reporting Criteria, the department must follow the PCR process



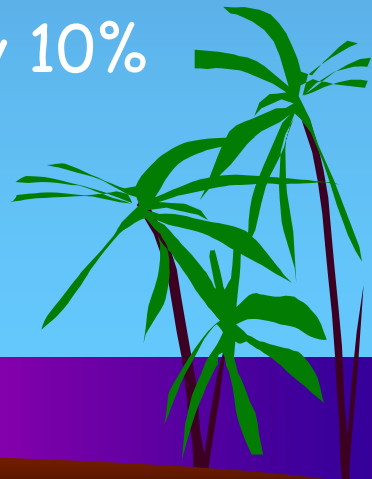
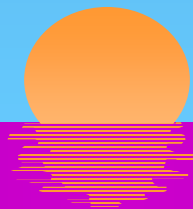
# PCR Reporting Criteria

- If a project is reportable and the proposed change meets one or more of the following:
  - The project's business objectives or requirements are no longer valid because of a new mandate
  - The project's scope needs to be changed
  - Budget augmentation is needed to continue the project
  - Total project costs are anticipated to increase by 10% or more



# PCR Reporting Criteria

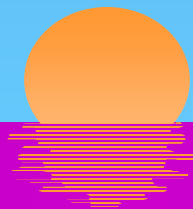
- The program benefits are anticipated to change by 10% or more
- The project schedule is expected to fall behind by 10% or more
- The project has been segmented into deliverable phases, and the implementation date of a phase changes by 10% or more, or deliverables are shifted among phases by 10% or more





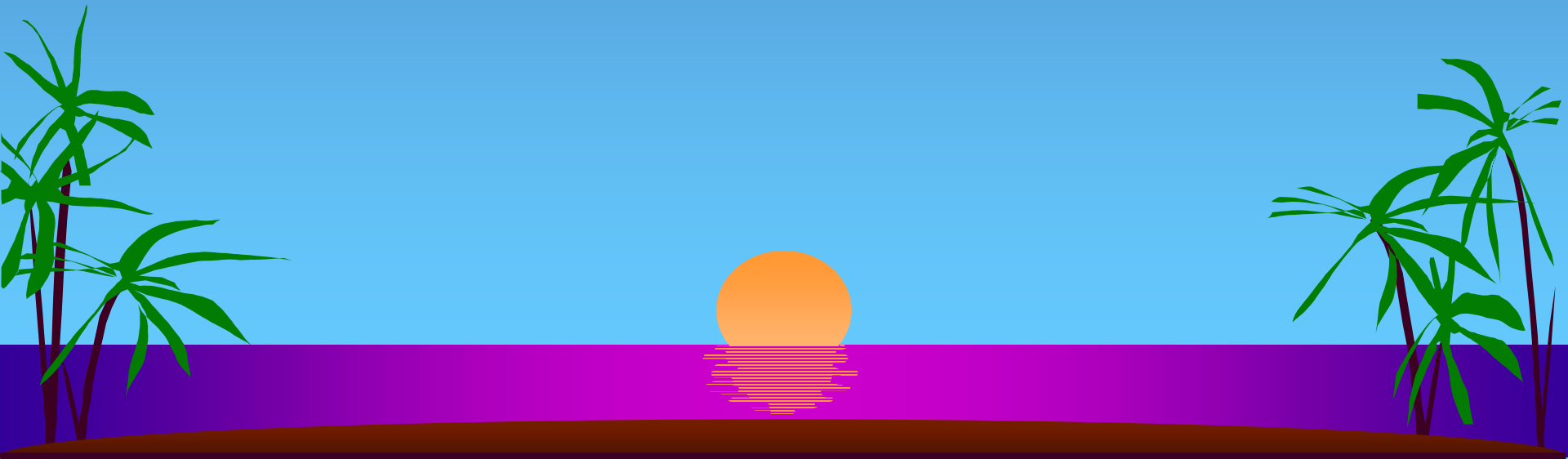
# PCR Reporting Criteria

- The change involves the provision of electronic access to private information by entities that do not "own" the data or whose access is not mandated
- Involves WAN facilities or services other than those acquired through Department of General Services or a SCDC



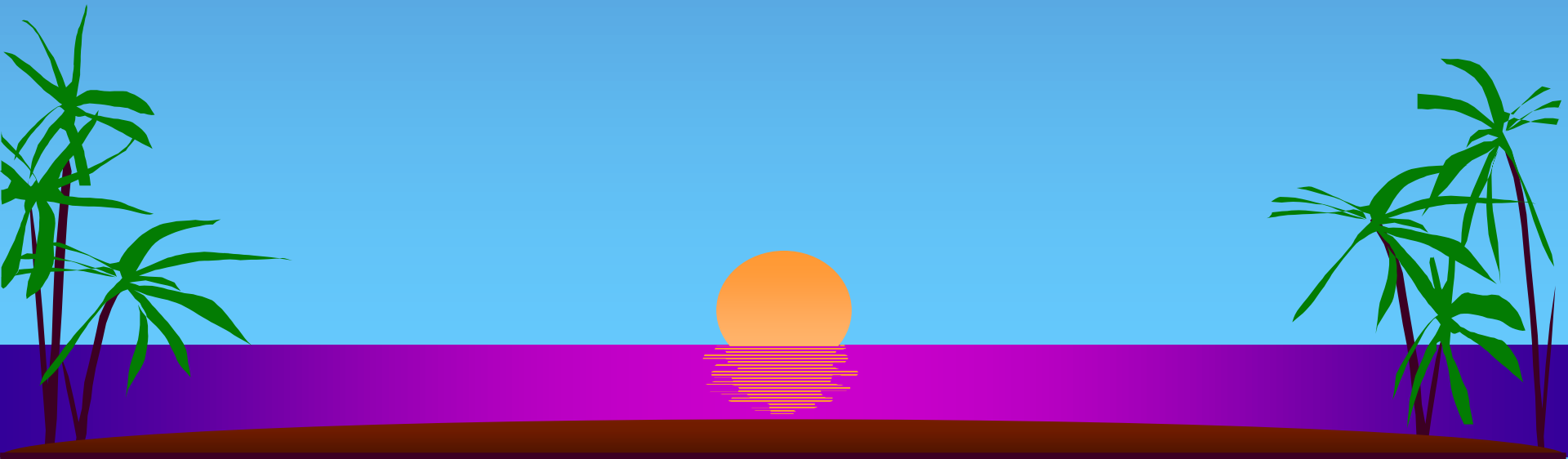
# PCR Reporting Criteria

- The change involves new technology not currently supported by the department or a SCDC
- The change involves a change in the technology (e.g., DBMS, OS) of the proposed solution

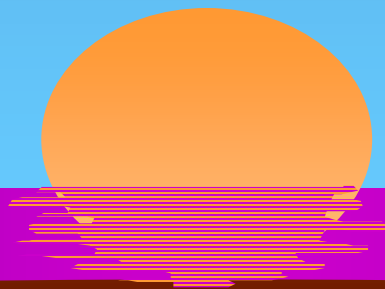


# PCR Documentation

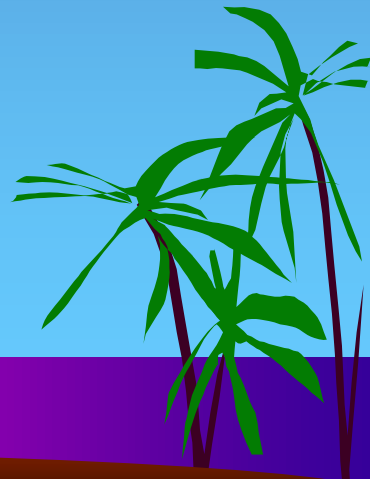
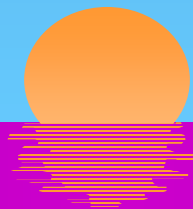
- PCR Executive Approval Transmittal
- PCR Form
  - Sample Form Handout



Questions?

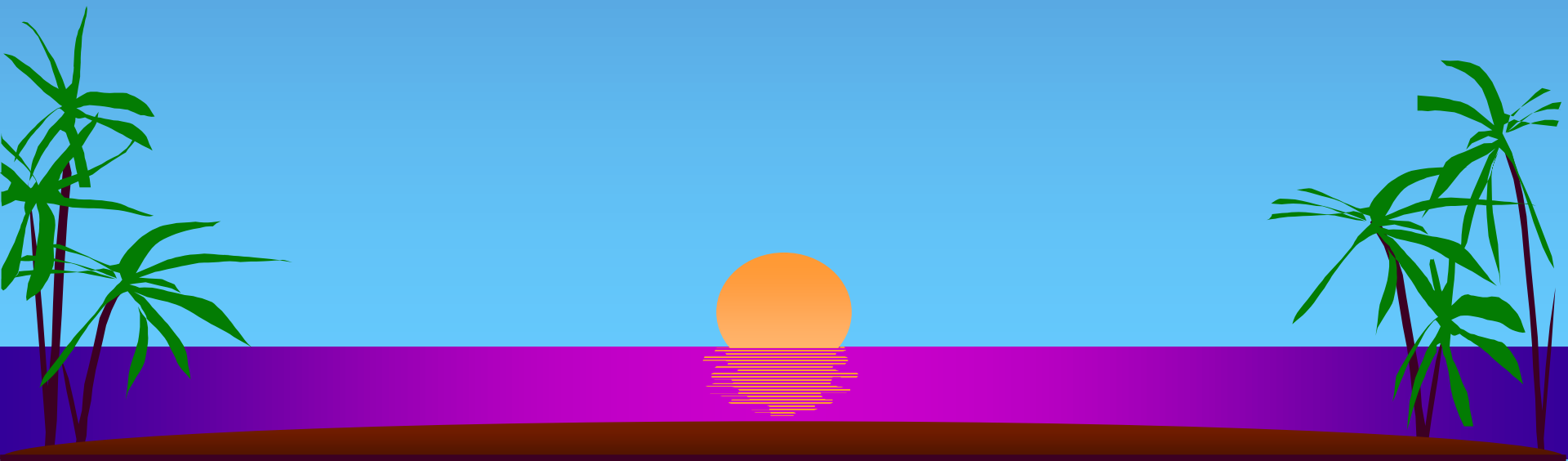


# Special Project Report (SPR)



# What is an SPR?

- The mechanism used to submit detailed project change proposals to the DOIT for approval



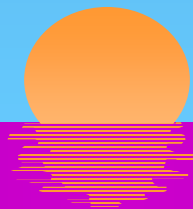
# SPR Objectives

- Allows the department, the DOIT, and the DOF to assess the merits of a proposed change
- Helps to ensure state IT projects are being rigorously controlled in a manner to ensure taxpayer dollars are being spent in a cost effective and efficient manner
- Allows the department, the DOIT, and the DOF to determine the continued viability of the project



# SPR Reporting Criteria

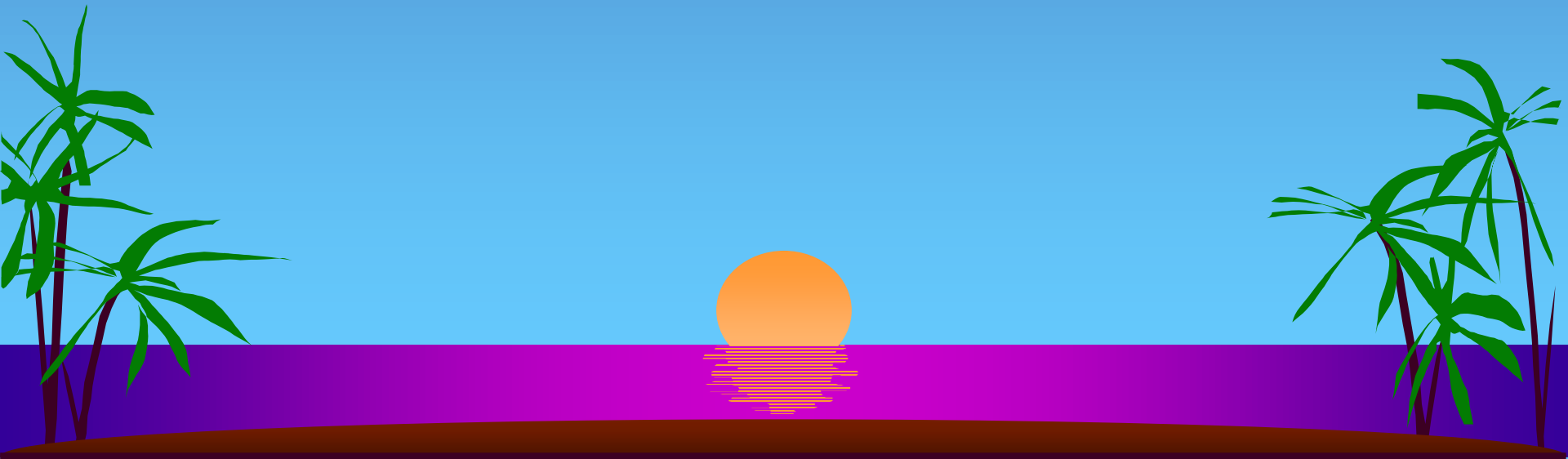
- If an approved project is funded at a different level than anticipated at approval, the department must consult with the DOIT to determine whether an SPR is required
- If a PCR for the proposed change has been approved





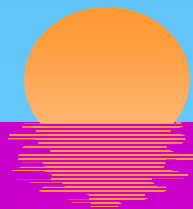
# SPR Documentation

- SPR Executive Approval Transmittal
- Updated Project Summary Package
- SPR, including updated EAWs
- RAM

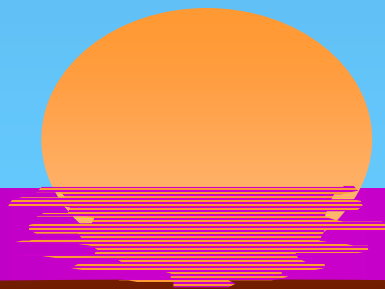


# SPR Contents

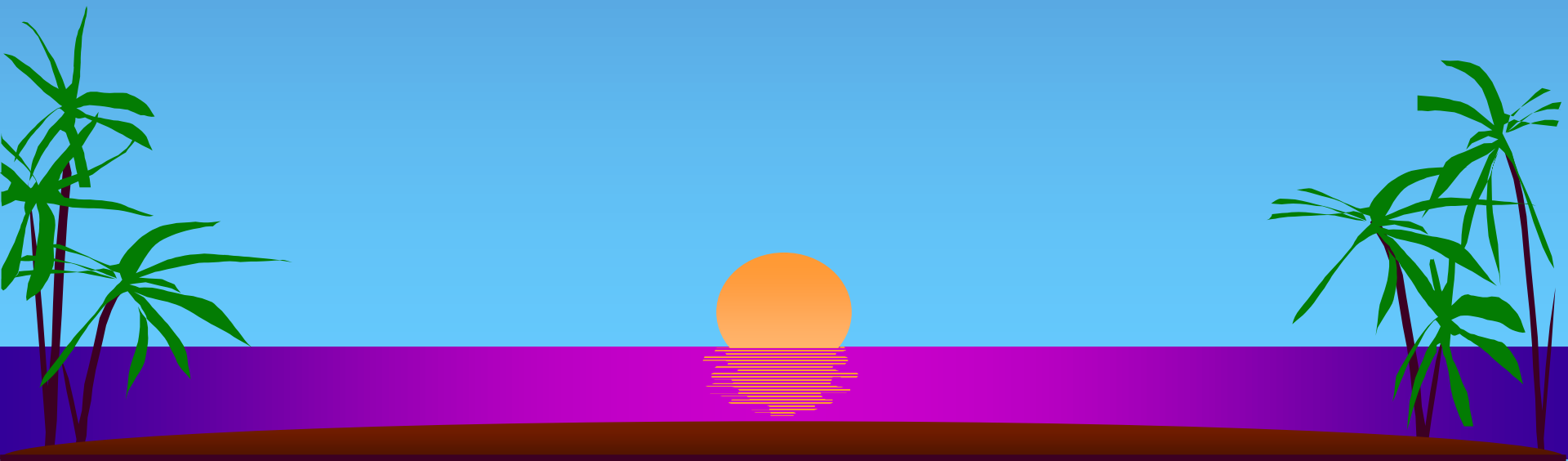
- Proposed Project Change
- Updated Project Management Plan (if needed)
- Updated Risk Management Plan (if needed)
- Updated EAWs



Questions?

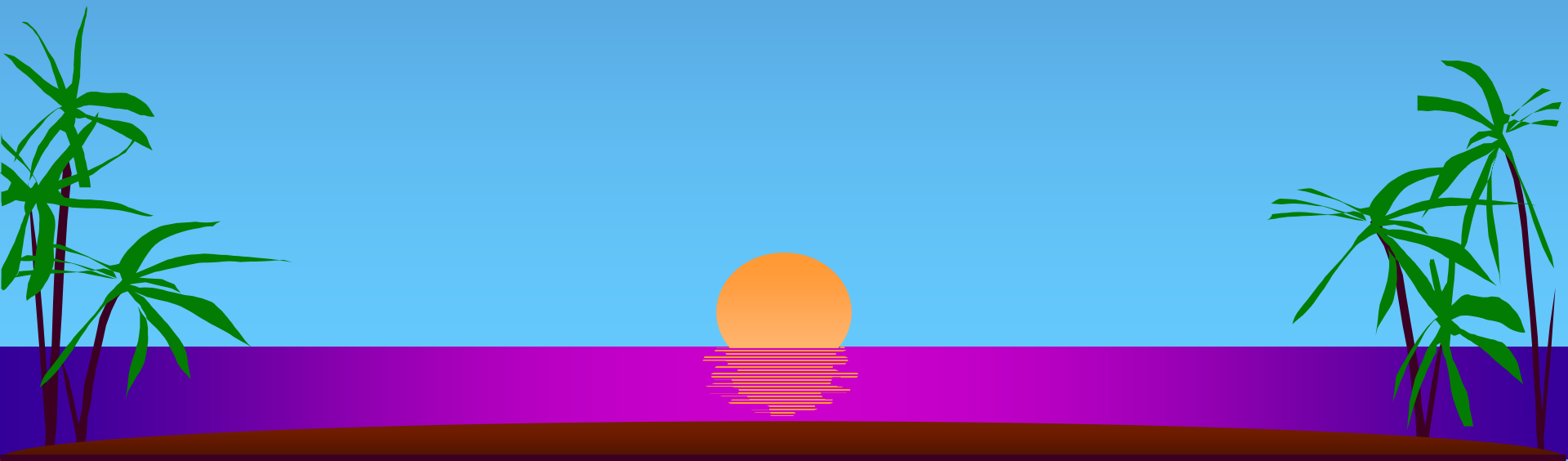


# Wrap Up



# Project Initiation & Approval Process

- Effective 5/1/98 and for the FY 99/00 Budget Cycle



# Features of the new PIA Process

- Sequential
- DOIT review timeframes
- Prioritization
- Control agency involvement earlier in the process
- More opportunities for the control agency to provide direction and guidance
- New roles & responsibilities
- New or enhanced documentation requirements
- New or revised reporting criteria



# THE END

THANK YOU!

