
State of California
Department of Technology
Special Project Report
Preparation Instructions

June 2014

INTRODUCTION TO THE SPECIAL PROJECT REPORT

Overview

The Special Project Report (SPR) instructions have been prepared to assist State of California Agencies/state entities in meeting the California Department of Technology (Department of Technology) requirements for documentation of changes to information technology projects which have approved feasibility study reports (FSRs). The requirements for SPRs, including the circumstances in which SPRs must be approved by the Department of Technology, are described in policy statements contained in State Administrative Manual (SAM) Sections 4920 through 4945.2.

The SPR provides a basis for understanding and agreement among project management, program management, and executive management, as well as state-level control agencies. The SPR provides a summary of the results of the original feasibility study, and the justification for any changes. It should be prepared at a level of detail commensurate with the scope and complexity of the proposed technical solution. Sufficient technical detail should be included in the SPR to demonstrate that the proposed changes to the project cost, schedule, and/or scope are workable and realistic. Agencies/state entities are required to complete all sections and subsections of the SPR, including the Information Technology Project Summary Package (SIMM Section 30 B).

Approved Efforts Still Under Development – Special Project Reports

A proposal modification must be submitted for an approved IT proposal (investment) still under development if either of the following occurs (See SAM Section 4819.36):

- 1) The total information technology project costs deviate or are anticipated to deviate by ten percent (higher or lower) or more, or by more than a specifically designated amount as determined by the Department of Technology, from the last approved estimated information technology project budget (to be measured against the combined total of each fiscal year's One-time Project Costs plus Continuing Project Costs);
- 2) The last approved overall project development schedule falls behind or is anticipated to fall behind by ten percent or more;
- 3) The total program benefits deviate or are anticipated to deviate by ten percent (higher or lower) or more from the last approved estimated total program benefits (to be measured against the combined total of each fiscal year's Cost Savings and Cost Avoidances);
- 4) A major change occurs in project requirements or methodology;
- 5) Any conditions occur that require reporting to the Department of Technology as previously imposed by the Department of Technology; or
- 6) A significant change in state policy draws into question the assumptions underlying the project; or

- 7) A project not previously subject to reporting now meets one of the following reporting criteria:
- a budget action is required to fund all or part of the IT expenditure;
 - the total development cost is above the cost threshold established by the Department of Technology;
 - the new system development or acquisition is specifically required by legislative mandate or is subject to specific legislative review, as specified in Budget Act control language or other legislation; or
 - any conditions occur that require reporting to the Department of Technology, as previously imposed by the Department of Technology.

Each proposal to modify an IT investment must be reported to the Department of Technology using the SPR. The Department of Technology will issue its decisions on the project proposal in writing to the Agency/state entity.

The Department of Technology will review each SPR placing emphasis on the following elements of the proposal:

- 1) the summary of the project's current status;
- 2) the description of the problem prompting this request for change;
- 3) the description of the proposed modifications to solve the problem;
- 4) the description of the impact to **all** benefits including programmatic benefits (tangible and intangible) to be achieved by meeting any new objectives, revenue generation, savings, and cost avoidances;
- 5) any **feasible** alternatives considered;
- 6) the description of the changes to the previously approved solution which includes the analytical basis as to why the selected solution best meets the problem/opportunity and the associated assumptions/constraints;
- 7) the description, or visual representation with appropriate narrative, of the business process upon implementation of the revised solution;
- 8) the detailed description of the current cost of any existing system that this proposal will be replacing or modifying to support programmatic functions;
- 9) the revised detailed description of the proposed costs and financial benefits by fiscal year for each year of the project;
- 10) the appropriateness/accuracy of revised proposed funding by fiscal year for each year of the project;
- 11) the revised project schedule including the schedule for realization of benefits; and
- 12) the revised project phase plan if appropriate; and
- 13) per Information Technology Policy Letter 10-05, the revised Criticality/Risk rating based upon the California Project Management Methodology (CA-PMM) Complexity Assessment (see SIMM Section 17 D).

Investment Analysis

Department of Technology approval of IT projects, including those previously approved that have changes reported in an SPR, will be based on an evaluation of overall costs, benefits, competing statewide needs, and investment risks to the State over the life of the IT proposal. To determine whether these investments should be approved, the Department of Technology will:

- 1) evaluate each SPR and related budget request, and any supporting documentation, to determine the proposal's ongoing consistency with the State's IT policies and standards;
- 2) evaluate the SPR and related budget request, and any supporting documentation, for business and fiscal factors that establish the merits of the proposed investment; and
- 3) consider the Agency/state entity's assessment of the potential business risks that impact the expected benefits to be derived from the proposed IT expenditures.

In order for the Department of Technology to evaluate the business and fiscal factors associated with the proposed IT project, Agencies/state entities must provide sufficient information in the SPR and any necessary supporting documentation. The documentation provided must enable the Department of Technology to understand and concur with the relative need for, cost of, and benefits to be derived from the changes to the proposed IT investment. Specifically, the information must establish that the organization still has a solid **business case** for, and will receive meaningful **business value** from the proposed IT expenditure.

In an environment of competing needs, an acceptable business case is a compelling justification for the expenditure of public resources on IT to address an Agency/state entity's business needs. The business case is centered on (1) business problems that substantially and adversely impact operations and/or the delivery of services, (2) business opportunities that may substantially improve operations and/or the delivery of services, (3) revenue generation, or (4) a legislative mandate.

Acceptable business value is substantial and sustainable increases in *operational efficiency* (ability to produce desired effect with minimum expenditure of time, effort, personnel, or money as manifested in cost savings and/or cost avoidances) and/or *service effectiveness* (type, quantity, or quality of services delivered in response to, and aligned with, statutory and policy requirements).

Information Technology Proposal Transmittal Requirements

All IT proposals **must be**:

- 1) Approved and transmitted under the signatures of the:
 - State entity's Chief Information Officer,
 - State entity's Director or designee,
 - State entity's Budget Officer,
 - Agency Chief Information Officer, and
 - Agency Secretary, if the state entity reports to an Agency Secretary.

The "Information Technology Project Request Executive Approval Transmittal" will be used to satisfy this transmittal requirement. (SIMM Section 30A).

- 2) Submitted in searchable PDF format via e-mail per the instructions in SIMM Section 05A including cc to the Office of the Legislative Analyst.

Business-Based Procurement IT Proposals

For those proposals that initially recommend a business-based procurement and the proposed technical solution is not determined in the FSR, the Agency/state entity must submit an SPR to the Department of Technology for review and approval prior to contract award. Conditions for proceeding with the procurement process and for initiating any other project activities will be fully outlined in the FSR decision letter. The FSR will be focused on (1) the various alternatives considered to derive the conclusion that a business-based procurement is the best solution; (2) a project cost and schedule that details the planning and procurement resources, milestones, and timelines; and (3) provides a more general estimate of the development, implementation, and maintenance/operations resources, costs, milestones, and timelines for the expected duration of the project. The SPR will be focused on the proposed solution selected following the procurement process, updated project cost and schedule estimates, and any other changes to the project.

Evaluation Planning

The Department of Technology may require submission of a Project Evaluation Plan prior to SPR approval. The need for a Project Evaluation Plan will be identified to the Agency/state entity during review of the SPR or in the Department of Technology's written approval of the SPR. The purpose of the plan is to ensure that the anticipated project objectives and benefits can be confirmed and realized as a result of completing the project proposal. If the plan is requested in the approval letter, the Department of Technology will issue its comments/approval of the plan in writing to the Agency/state entity. (Even if not required by the Department of Technology, the Project Evaluation Plan may be useful for Agencies/state entities in planning and developing the Post Implementation Evaluation Report.) The plan must contain the following elements:

- 1) the identification of specific project objectives and benefits to be achieved by the project;
- 2) the methodology and schedule for measuring the current business and IT areas that are being addressed by the new IT proposal to establish the pre-project measurements;
- 3) the methodology and schedule for measuring the business areas that after project implementation will quantify the degree the business objectives and benefits have been achieved;
- 4) a discussion on how conditions/factors external to the project that may also impact the business area measurements will be handled in order to gather valid and comparable pre- and post-project measurements of business objectives and benefits; and
- 5) the methodology and schedule for preparation of the Post Implementation Evaluation Report.

Special Project Report Preparation Instructions

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SPR PREPARATION INSTRUCTIONS

1.0 Executive Project Approval Transmittal

A formal signature page will accompany each SPR submitted to the Department of Technology identifying specific information relating to the proposed IT project and containing the signatures of the approving Agency/state entity executives. The following are the components of the Transmittal.

1. **Agency/State entity Name:** Enter the name of the Agency/state entity that prepared the SPR and is responsible for the proposed project. If an SPR represents a proposed project in which multiple Agencies/state entities will have a role, one Agency/state entity should be designated as owner.
2. **Project Title:** Enter the official name of the project as determined by the Agency/state entity.
3. **Project Acronym:** Enter the official abbreviation for the proposed project that will be used as a common reference to the project. Projects are often more commonly known by their acronym, e.g., the Statewide Automated Welfare System (SAWS).
4. **State entity Priority:** Enter the state entity-wide priority assigned to the project. The priority assignment is a sequential number where "1" is the highest priority. Only one project per funding source in a given fiscal year may be assigned a priority of "1". For example, if a state entity submits three FSRs and/or SPRs for review, the priority assignments would be "1", "2", and "3". In the case of multiple funding sources, the priority assignment should be based on the primary State funding source.
5. **Agency Priority:** Enter the Agency-wide priority assigned to the project. If the state entity does not report through an Agency, this priority would match the state entity priority. The priority assignment is a sequential number, where "1" is the highest priority. Only one project per funding source in a given fiscal year can be assigned a priority of "1". For example, if an Agency represents state entities submitting five FSRs and/or for review, the priority assignments would be "1", "2", "3", "4", and "5". In the case of multiple funding sources, the priority assignment should be based on the primary State funding source.
6. **Approval Signatures:** The signatures of executives within the Agency are required, documenting commitment and appropriate involvement at the Agency/state entity level. The required signatures include those of the Chief Information Officer, Budget Officer, State Entity Director (or Chief Deputy Director), Agency Chief Information Officer, and Agency Secretary (or Agency Undersecretary).

1.1 IT Accessibility Certification

Following the Transmittal signature page, the IT Accessibility Certification section must be completed to certify that the project meets Government Code 11135 (Federal Section 508 of the Rehabilitation Act of 1973), or that the project meets one or more of the exceptions.

2.0 Information Technology: Project Summary Package

An Information Technology Project Summary Package (SIMM 30B) must be prepared and attached to each SPR. Instructions for completing the Project Summary Package follow.

2.1 Section A: Executive Summary

1. **Submittal Date:** The date the SPR is submitted to the Department of Technology.
2. **Type of Document:** Indicate the type of document being submitted: Special Project Report (SPR).
 - **Project Number:** Enter the Project Number if previously assigned by a control agency
3. **Project Title:** Enter the official name of the project as determined by the Agency/state entity.
 - **Project Acronym:** Enter the official abbreviation for the proposed project that will be used as a common reference to the project.
 - **Estimated Project Start Date:** Enter the most accurate projection available for the estimated start date (MM/DD/YYYY).
 - **Estimated Project End Date:** Enter the most accurate projection available for the estimated completion date (MM/DD/YYYY).
4. **Submitting Agency/state entity:** Enter the name of the Agency/state entity that prepared the SPR and is responsible for the proposed project described in the SPR. If an SPR represents a proposed project in which multiple Agencies/state entities will have a role, one Agency/state entity should be designated as owner.
5. **Reporting Agency/state entity:** Enter the name of the reporting Agency/state entity for the Agency/state entity, if any.
6. **Project Objective:** Provide a brief statement of the project's primary objective in terms of the programmatic problem or opportunity to be addressed.
7. **Proposed Solution:** Provide a brief statement summarizing the proposed solution as documented in the FSR. This item should consist of a concise, non-technical, management-oriented description of the project.
8. **Major Milestones:** Identify the major milestones for project procurement, development, and implementation related to project deliverables and for which project metrics can be applied, and the estimated completion date for each milestone. Milestones typically represent measurable events, such as delivery of a product. Targeted events that should be included are requirements definition, design completion, development completion, testing, production, and post-implementation evaluation. Any other key management checkpoints critical to project success, such as procurement dates or partial implementation dates, should also be included. Include the date the PIER will be completed.
 - **Key Deliverables:** Identify the key deliverables associated with the major milestones and their estimated completion dates.

2.2 Section B: Project Contacts

Contact Information: Supply the names, phone numbers, fax numbers, and e-mail addresses of the principals involved in the project:

- Executive Contacts: Agency Secretary (if any), State Entity Director, Budget Officer, Chief Information Officer (CIO), and the Project Sponsor.
- Direct Contacts: Document Preparer; Primary Contact; Contract Manager; and Project Manager.

2.3 Section C: Project Relevance to State and/or Agency/state entity Plans

1. **What is the date of your current Technology Recovery Plan (TRP)?** Enter the date the TRP was last approved.
2. **What is the date of your current Agency Information Management Strategy (AIMS)?** Enter the date the AIMS was last approved.
3. **For the proposed project, provide the page reference in your current AIMS and/or strategic business plan.** Indicate whether the proposed project is identified in the Agency/state entity's AIMS and/or strategic business plan, and enter the corresponding page number in that document.
4. **Is the project reportable to control agencies? If YES, check all that apply:**
 - a. The project involves a budget action.
 - b. The new system development or acquisition is specifically required by legislative mandate or is subject to special legislative review as specified in budget control language or other legislation.
 - c. The estimated total development and acquisition costs exceed the Department of Technology's established Agency/state entity delegated cost threshold and the project does not meet the criteria of a desktop and mobile computing commodity expenditure (see SAM 4989 – 4989.3). This information and your assigned IT Project Oversight Consulting Manager can be found on the Department of Technology's website.
http://www.cio.ca.gov/Contact_Us/staff_assignments.html
 - d. The project meets a condition previously imposed by the Department of Technology.

2.4 Section D: Budget Information

The data from the Economic Analysis Worksheets (EAW) for each fiscal year should be summarized in this section. If the proposal modifies or replaces an existing operation, savings and cost avoidances should be based upon comparison with the current method of program operation. If the FSR addressed a new program operation, estimated costs associated with the proposed information technology capability should be updated, as appropriate. If the proposed solution will increase program income (i.e., tax revenues, collectible audit exceptions, accounts receivable, etc.), the increased income should be reflected on the Economic Analysis Summary.

1. **Budget Augmentation Required?** Check whether or not a budget augmentation will be required to complete the proposed project (Y/N). Identify the requested dollars by fiscal year throughout the project from the Project Funding Plan.
2. **Project Costs:** Summarize IT project costs from the Proposed Alternative Worksheet.
3. **Project Financial Benefits:** Indicate the amount of cost savings to be realized each fiscal year from the Project Funding Plan Worksheet in the EAW. Also enter

the Revenue Increase amounts by fiscal year from the Proposed Alternative Worksheet in the EAW.

2.5 Section E: Vendor Project Budget

- **Vendor Cost for Special Project Report (SPR) Development.** If a vendor assisted the Agency/state entity conducting the SPR and documenting the results in the SPR, identify the cost of these resources.
- **Vendor Name:** If a vendor assisted the Agency/state entity in conducting the SPR and documenting the results in the SPR, identify the name of the individual or company.

Vendor Project Budget

1. **Fiscal Year.** Enter the fiscal years from beginning through completion of the proposed project.
2. **Primary Vendor Budget:** Enter the estimated costs for the primary vendor by fiscal year.
3. **Independent Oversight Budget:** Enter the estimated costs for independent project oversight and project management contract costs by fiscal year.
4. **IV&V Budget:** Enter the estimated costs for independent verification and validation contract costs by fiscal year.
5. **Other Budget:** Total other vendor budgets.
6. **Total Vendor Budget:** Total of the estimated contract costs by fiscal year.

2.6 Section F: Risk Assessment Information

1. **Risk Management Plan:** Indicate whether the Agency/state entity has prepared a Risk Management Plan for the proposed project (Y/N).
2. **The General Comments area** is used to provide a high-level summary of the Agency/state entity's Risk Management Plan.

3.0 Proposed Project Change

3.1 Project Background/Summary

This section should include the following:

1. A description of the business program to be supported by the information technology proposal.
2. A description of the current business process that is the subject of the proposal (this may include narrative and/or visual representation).
3. The impact of the proposal on the business program/process.
4. The customers and users of the business program/process. Customers will typically include the subset of the public served by the business program, while users will include Agency/state entity staff involved in the program and State organizations requiring information from the program.

The program background should contain a brief summary of:

1. The relevant features of the Agency/state entity program experiencing the problem or opportunity (including the manner and extent to which information technology is currently applied); and
2. The conditions which created, or significantly contributed to, the problem or opportunity being addressed by the IT proposal. Examples include workload increases, staff reductions, additional requirements mandated by law or Federal regulations, and limitations in the capacity or capability of the information technology resources currently used in the Agency/state entity.

The background summary should provide the facts necessary to understand the problem or opportunity and the defined objectives within their business context. If possible, this summary should contain a definition of the affected units of work and estimates of the quantity of work processed; for example, number of cases decided, licenses issued, or loans processed during the month, quarter, or year. Estimates should address historic workload growth, seasonal variations, and future projections. Finally, business assumptions the Agency/state entity has made that will impact the proposed project should be documented: e.g., caseload growth, etc.

3.2 Project Status

Provide a brief description of the project status; i.e., project phases and milestones completed and in process, expenditures to date, benefits achieved, and work in progress.

3.3 Reason for Proposed Change

Provide a description of the problem or opportunity prompting this request for change to the last approved IT proposal for this project.

3.4 Proposed Project Change

Describe the proposed modifications to solve the problem or take advantage of the opportunity, including the analytical basis as to why the selected solution best meets the problem/opportunity and the associated assumptions and constraints.

3.4.1 Accessibility

If Accessibility was not addressed in the FSR (or last approved project document), please describe the accessibility requirements of the proposed system (Government Code 11135 and Section 508), and how were they determined? What measures will the Agency/state entity use to meet these accessibility requirements?

3.4.2 Impact of Proposed Change on the Project

Provide a description of the impact to all programmatic benefits (tangible and intangible) to be achieved by meeting any new objectives, revenue generation, savings, and cost avoidances. Describe all changes to project scope, schedule and cost. Include a description or visual representation with the appropriate narrative of the business process upon implementation of the revised solution.

3.4.3 Feasible Alternatives Considered

Describe all feasible alternatives considered and the reasons the alternatives were not selected. (A feasible alternative is one that meets the project objectives and requirements.)

3.4.4 Implementation Plan

Describe how the proposed change will be implemented.

4.0 Updated Project Management Plan

Provide updates to the project management plan, as appropriate.

These guidelines show suggested formats for some subsections. Unless a specific form name is identified, these are only suggestions; the information may be presented in any appropriate format as long as the required elements are included. Note: Although project planning includes risk management, this topic is covered separately in Section 5.

4.1 Project Manager Qualifications

The successful completion of an IT project requires that qualified project managers will be managing state IT projects. To undertake an IT project, the Agency/state entity must match the manager's experience and training to the complexity and risk level of the project. Include in the SPR a summary of the skills and level of project management experience required to successfully manage this particular project and any changes since approval of the last project document (i.e., FSR or previous SPR or equivalent documents). These qualifications should be based on the unique characteristics of the project, and previous IT project management experiences (see SIMM 17D.1, Complexity Assessment for guidelines.) This section will demonstrate the Agency/state entity's commitment to assign a project manager with the appropriate skills, education and experience.

4.2 Project Management Methodology

The CA-PMM (see SIMM Section 17) identifies the essential components of IT project management state agencies are expected to follow. Please confirm in this section that the CA-PMM is the methodology that is being followed and/or if there are any exceptions to be used for your specific IT project. If the SPR is for a project approved prior to January 1, 2009, please describe briefly the methodology selected for the IT project described in the last approved

project document. If the methodology has changed from that in the last approved project document, please describe briefly the methodology selected and the reason for the change.

4.3 Project Organization

To better assess this project's impact on your Agency/state entity, the Department of Technology needs current organization charts for the following:

1. The project team, including number and classification of team members
2. The impacted program organization(s)
3. The Information Systems organization
4. The Agency/state entity

4.4 Project Priorities

As announced in ITPL 10-05, managing a project requires the balancing of four factors: schedule, scope, resources, and quality (See the CA-PMM Reference Manual, Section 2.3.10). These factors are interrelated; a change in one of them causes change in one or more of the others. Project stakeholders need to agree on the importance of each of these factors before the project begins, as future project management decisions will be guided by these priorities.

Use a project trade-off matrix to show the relative importance of each factor using priority of 1 (highest) to 4 (lowest) for each of the factors. For example:

If these have changed since the last IT proposal for this project was approved, indicate the reason.

Schedule	Scope	Resources	Quality
2	3	1	4

4.5 Project Plan

4.5.1 Project Scope

Provide a concise statement of what this project will accomplish, and what it will not try to accomplish. This scope of work statement is the foundation of your project plan and must be consistent with the project objectives and requirements. If the scope has changed significantly since the last IT proposal for this project was approved, discuss the change and the reason the change is being made.

4.5.2 Project Assumptions

For the purposes of project planning, certain circumstances or conditions are assumed to be true. Please briefly describe the major assumptions under which this project will be executed. If

the assumptions have changed since the last IT proposal for this project was approved, indicate the change and the reason for the change.

4.5.3 Project Phasing

Agencies/state entities should plan information technology projects to be implemented in independent phases, especially those that are expected to take longer than one year to develop and implement. Phases should consist of the smallest set of tasks, resources and risks, and utilize the shortest implementation schedules that will deliver **useful and measurable business results**. Whenever possible, the initial project phase shall be confined to delivering the essential core functionality that will provide the greatest portion of the benefits of the proposed system.

When planning for phased project implementation, specific phases should meet the following criteria:

1. A phase is an economically and programmatically separable segment and should have an independent and substantial programmatic use even if no additional components are acquired.
2. Funding may be identified and/or approved separately for each phase or for the entire project.
3. Each phase, being separate and distinct, should provide value as a standalone project so that if a supplier relationship is terminated after a phase, the work completed is still of value.
4. A supplier will be paid when, and if, the deliverable is completed, tested and accepted.
5. Subsequent phases may be redesigned depending on the results of early phases.

In this section of the SPR, describe the phases planned for this project and what each phase will deliver; or justify why phasing is not appropriate. If the phases or deliverables have changed since the last IT proposal for this project was approved, indicate the change and the reason for the change.

Project Phase	Phase Deliverables

4.5.4 Project Roles and Responsibilities

A formal project structure provides participants 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.

Per Roles and Responsibilities as described in the CA-PMM Reference Manual (SIMM Section 17A), briefly describe the roles and responsibilities of the major participants in the project. These will probably include, at a minimum, the project manager, executive management, program management and staff, and project team members. In particular, if outside vendor resources will be used to assist with the project, clearly differentiate between the roles and responsibilities of State staff versus those of the vendor. Include tasks such as data conversion, training, project management and oversight, and ongoing maintenance, as appropriate. If the roles and responsibilities have changed since the last IT proposal for this project was approved, indicate the change and the reason for the change.

4.5.5 Project Schedule

Based on the project's updated work breakdown structure (e.g., Gantt Chart or similar display) identify high-level tasks for the project. Each project is different and requires a unique set of tasks. As appropriate, indicate that you have planned for tasks such as procurement, design, development/ programming and/or software modification, data conversion, installation, training for end users, training for technical staff, etc.

For the tasks identified, also provide a summary schedule for status reporting against which completion of tasks during the course of the project will be monitored. The schedule should focus on the duration of critical tasks, major management decision points, and progress reporting milestones. The milestones should reflect products and major events that may be readily identified as completed or not completed on the specified due date. Milestones should be spaced at reasonable intervals which allow management or control agency monitoring of project progress. If the schedule has changed since the last IT proposal for this project was approved, indicate the change and the reason for the change.

4.6 Project Monitoring and Oversight

- Describe the process for tracking and reporting on the status of project deliverables, project schedule and project budget, or identify your standard procedure that will be followed.
- Complete the Complexity Assessment (see SIMM Section 17D) for the project and identify the outcome for the Criticality/Risk Rating (e.g., High, Medium, Low).
- Include a description of any changes in independent project oversight (see IT Project Oversight Framework, SIMM Section 45), such as the source of Independent Project Oversight resources, Independent Verification and Validation resources, and/or the level of Department of Technology oversight to be provided.

- Please note that the Department of Technology will review the Criticality/Risk rating identified by the Agency/state entity and may revise the Criticality/Risk level as appropriate.

4.7 Project Quality

Briefly summarize your plan for assuring that the project's results will meet the business and technical objectives and requirements, as well as applicable Federal, State and/or Agency/state entity standards. Describe your quality assurance and/or quality control processes, and/or identify your standard procedure that will be followed. Include any independent verification and validation planned for this project. If the plan has changed since the last IT proposal for this project was approved, indicate the change and the reason for the change.

4.8 Change Management

Every project experiences changes from the original plan, whether minor or major, as well as creating change as a direct result of the project. Establishing the change management approach in advance helps keep the project in control and prepares the impacted end users for changes in their work environment and processes. Summarize your change management plan to describe your process to track and manage changes over the life of the project, including following initial implementation. If the plan has changed since the last IT proposal for this project was approved, indicate the change and the reason for the change.

4.9 Authorization Required

Identify any special authorization that must be obtained for the proposed alternative; e.g., Federal agency funding approval or State legislative review. Explain the steps that have been taken to obtain the required authorization and the results of those steps. If the plan has changed since the last IT proposal for this project was approved, indicate the change and the reason for the change.

5.0 Updated Risk Management Plan

The Risk Management Plan documents the process and procedures that will be used to manage project risks: identifies the persons responsible for managing various areas of risk, how risks will be tracked throughout the life cycle, how contingency plans will be implemented, and how reserves will be allocated to handle risks.

5.1 Risk Register

Using the Risk Management Plan contained in the CA-PMM Toolkit (see SIMM Section 17C) complete the template and paste into this section or attach it the SPR. If using another tool that has equivalent or more detail, print or copy from the tool in use and paste into this section or attach to the SPR. The Risk Register must be included in the pdf SPR format for submission to the Department of Technology

6.0 Updated Economic Analysis Worksheets (EAWs)

The economic analysis should document the cost and resource assumptions the Agency/state entity made during the feasibility study process. Examples include the amount allocated for ongoing maintenance and projected workload growth. This section should also document any special conditions or issues related to the source(s) of funding for the proposed project. (The special conditions may be documented as footnotes on the EAWs.)

The proposed project should be estimated for at least one full year beyond implementation in order to reflect estimated ongoing maintenance and operations costs and establish the ongoing baseline support costs of the new system. If the program supported by the proposed project is cyclical in nature, the economic analysis should reflect the system in operation for one complete cycle.

The Economic Analysis Worksheets (EAWs) provided in the attachments provide a standard format for documenting the projected costs and financial benefits of the current method of operation and the proposed alternative. The worksheets are used to perform cost analyses of the full range of alternatives under consideration. The following Economic Analysis Worksheets **must** be included in the SPR:

1. **EAWs from the Original FSR**
2. **EAWs from the Most Recent SPR (if any)**
3. **EAWs for the Proposed Change**
 - a. **Existing System Cost Worksheet:** documenting the current and projected operations/maintenance costs of the current method of operation (baseline). This worksheet reflects the cost of maintaining the existing systems and program process if the proposed solution is not implemented;
 - b. **Proposed Alternative Worksheet:** documenting the actual one-time costs (development/acquisition costs) to date and the projected one-time costs continuing costs (operations/maintenance costs) from the date of the SPR forward, and any impacted program costs of the *proposed* alternative;
 - c. **Alternative System Worksheet(s):** documenting the projected one-time costs (development/acquisition costs), continuing costs (operations/maintenance costs), and impacted program costs of other alternatives that satisfactorily meet the objectives and functional requirements;
 - d. **Economic Analysis Summary:** comparing the estimated costs of the proposed alternative, other alternatives meeting the objectives and functional requirements, and the existing system; and,
 - e. **Project Funding Plan:** documenting the actual resources needed to date (per the Proposed Alternative Worksheet) and the estimated resources needed from the date of the SPR forward for implementing the proposed system, including the necessary budget actions anticipated.

EAW Instructions and the EAW templates are available in SIMM Section 30, Item C.