BACKGROUND

In September 2013, the California Department of Technology (Department of Technology) released Technology Letter (TL) 13-02 which announced the restructuring of the Information Technology (IT) project approval process and introduced a Stage/Gate model and new SIMM Sections 19 and 19A.

SIMM Section 19A contains the Stage 1 Business Analysis, which is the first stage of the Project Approval Lifecycle process. The Stage 1 Business Analysis provides a basis for project management, program management, executive management, and state-level control agencies to understand and agree on business problems or opportunities, and the objectives to address them. The Stage 1 Business Analysis replaces Section 3 of the Feasibility Study Report (FSR).

The Department of Technology utilizes the FSR as the proposal mechanism to approve IT projects. The FSR establishes the business case for investing state resources in a proposed project and provides an analysis of its costs and benefits. By replacing Section 3 of the FSR with the Stage 1 Business Analysis, more emphasis will be placed on building a strong business case including the business drivers, business problems or opportunities, business objectives, business owners, key stakeholders, and executive sponsors. The FSR format and preparation instructions are in the SIMM Section 20.

The Department of Technology utilizes the FSR-Reporting Exemption Request (FSR-RER) as the proposal mechanism to exempt an Agency/state entity\(^1\) from reporting an approved project’s progress to the Department of Technology. The FSR-RER does not eliminate the requirement for preparing an FSR. The FSR-RER format and preparation instructions are in the SIMM Section 40.

In both the FSR and the FSR-RER, approvals are required from the state entity’s information security officer, enterprise architect, chief information officer, budget officer, and the director, along with the governing Agency Information Officer (if applicable) prior to submission to the Department of Technology for review and disposition. Proposal documentation should be commensurate with the nature, scope, complexity, risk, and expected cost of the project.

\(^1\)State entity: Includes every state office, officer, department, division, bureau, board, and commission, including Constitutional Officers. "State entity" does not include the University of California, California State University, the State Compensation Insurance Fund, the Legislature, or the Legislative Data Center in the Legislative Counsel Bureau.
PURPOSE

The purpose of this Technology Letter (TL) is to announce:

- SIMM Section 10 has been updated to include the Stage 1 Business Analysis in the project approval lifecycle and SIMM Section 10A has been eliminated.
- The Stage 1 Business Analysis\(^2\) replaces Section 3 of the FSR.
- If an IT Concept Statement was approved prior to the release of TL 13-02 on September 11, 2013 and has not had an FSR submitted to the Department of Technology by July 21, 2014, Agencies/state entities must use the revised FSR and FSR-RER instructions. Please see SIMM Sections 20 and 40.
- The addition of a required signature by the state entity’s Enterprise Architect (EA) and the Information Security Officer (ISO) on the FSR State Entity Executive Approval Transmittal.
- The addition of a required signature by the state entity’s EA, ISO, and the governing Agency Information Officer (if applicable) on the FSR-RER Executive Approval Transmittal.
- An FSR-specific Project Summary Package (PSP) template is available in SIMM Section 20B to collect the contact information for the EA and ISO identified above.
- This TL supersedes TL 12-17, 12-9, and 12-1.

The link to SIMM sections is as follows: http://www.cio.ca.gov/Government/IT_Policy/SIMM.html.

FSR or FSR-RER submissions to the Department of Technology need to be completed per the instructions in SIMM Sections 20 and 40 or they will be returned. FSR or FSRs-RERs are to be submitted electronically as specified in SIMM Section 05A.

QUESTIONS

Questions should be directed to your Department of Technology, Information Technology Project Oversight and Consulting (ITPOC) Manager; assignments can be found at: http://www.cio.ca.gov/Contact_Us/staff_assignments.html

SIGNATURE

/s/
Carlos Ramos, Director
California Department of Technology

\(^2\) The Stage 1 Business Analysis was introduced as SIMM Section 19A in TL 13-02.