State of California
Department of Technology

Stage 1 Business Analysis

Preparation Instructions

Statewide Information Management Manual – Section 19A

February 2020
INTRODUCTION TO
THE STAGE 1 BUSINESS ANALYSIS

Overview
Statewide Information Management Manual (SIMM) Section 19A, Stage 1 Business Analysis, is the first stage of the information technology (IT) Project Approval Lifecycle and 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. Additionally, the Stage 1 Business Analyses are used to generate the Conceptually Approved IT Project Proposals Report each quarter, which represents the Executive Branch's plan for IT investments in support of the California IT Strategic Plan.

The Stage 1 Business Analysis instructions are designed to help State of California Agencies/state entities1 meet the California Department of Technology (CDT) IT project proposal documentation requirements.

Clarifications
- Non-affiliated state entities (state entities not governed by agencies) are required to submit a Stage 1 Business Analysis for all proposals, regardless of delegated cost thresholds.
- Agency-affiliated state entities are not required to submit Stage 1 Business Analyses for Stage 1 Business Analyses that have been approved by the agency as delegated.
- Project approval reporting requirements are initially determined as part of the Stage 1 Business Analysis but may change as the proposal progresses through the Project Approval Lifecycle.
- Agency Chief Information Officers (AIOs) have been delegated CDT approval authority for Stage 1 Business Analyses prepared by agency-affiliated state entities.
- Stage 1 Business Analyses prepared by non-affiliated state entities must be approved by the CDT prior to conducting and submitting a Stage 2 Alternatives Analysis.
- Stage 1 Business Analyses prepared by agency-affiliated state entities must be approved by the AIO prior to conducting and submitting a Stage 2 Alternatives Analysis.

Stage 1 Business Analysis Reporting Requirements
AIOs, or the CDT (for non-affiliated state entities), require specific information from state entities to carry out its Stage 1 Business Analyses approval responsibilities. It is imperative that each Stage 1 Business Analysis clearly document and communicate the business investment justification. Therefore, each proposal must describe in detail the business driver(s), statutes or legislation, program background and context, business problems or opportunities, strategic business alignment, organizational readiness, and business and stakeholder impact.

1State 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.

California Department of Technology
SIMM Section 19A Stage 1 Business Analysis
A.1 Preparation Instructions

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State entity IT proposal submissions that meet one or more of the CDT reporting criteria must follow the documentation requirements defined in the State Administrative Manual (SAM Section 4819) and these instructions. Each state entity is responsible to ensure its Stage 1 Business Analyses meet CDT requirements. The Stage 1 Business Analysis must be comprehensive and cannot rely on verbal or subsequent written responses (e.g. emails) to provide needed justification for the submission. Incomplete Stage 1 Business Analysis submissions that fail to provide relevant information in written form may be returned without consideration at the discretion of the AIO or CDT (for non-affiliated state entities).
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STAGE 1 BUSINESS ANALYSIS PREPARATION INSTRUCTIONS

MS InfoPath, Word 2013 and Legacy Word Version Forms

The Stage 1 Business Analysis forms are available in three variations to accommodate the various Microsoft (MS) Office versions available within Agencies/state entities. The instructions align to MS Word 2013 form.

Differences between the MS InfoPath and MS Word 2013 versions

The MS InfoPath forms maintain the fields and content that align to Technology Letter 15-02. The instructions for the InfoPath version can be found in the SIMM Archive. The content of MS Word 2013 changes the order of the questions asked and includes questions on accessibility and reportability assessment. Either form may be submitted to the CDT. The MS Word 2013 mimics the form functionality of InfoPath, including date pickers, radio buttons, ability to add content groups, and check boxes.

**Note:** When using the insert functionality to add a content group, the entire section of rows and its content is duplicated; therefore, the user may need to manually remove unwanted text in the answer space. Additionally, if an inserted content group section is no longer needed, select one entire row in the content group to be deleted, right-click, and select “Delete Item.” If the “Delete Item” does not appear in the dropdown, make sure the entire row is selected.
Differences between the MS Word 2013 and the Legacy Word version
The MS Word 2013 and Legacy Word versions parallel in content; however, the functionality of the forms have slight differences. The Legacy Word version does not allow for automatic content group insertions or date pickers. If the Legacy Word version is used, the agency/state entity will be responsible for manually typing in the dates and manually adding in additional rows to accommodate multiple entries. The Legacy Word version will include Italic instructions within the form to indicate when additional rows should be added into the form.

Moving Between Versions
It is not recommended to “Save” the MS Word 2013 version to earlier versions of the MS Word software. Once a MS Word version 2013 is saved into a legacy format, the automated features (e.g., dropdowns, date pickers, and content controls) will no longer function and the radio buttons may also be impacted.

Stage 1 Transmittal Requirements
A formal and approved transmittal is required for each Stage/Gate document submitted to the CDT with the appropriate signatures (as applicable). Based on the State Entity’s governing body, approval of Stage 1 Business Analyses may depend on the following:

✓ Agency-affiliated state entities are required to sign and submit the Project Approval Executive Transmittal to their governing agency for approval. The CDT will not review and approve Stage 1 Business Analyses from agency-affiliated state entities.

✓ Agency-affiliated state entities are only required to submit S1BAs determined by the governing agency to be non-delegated pursuant to SAM 4819.37, 4819.37, or 4819.40 criteria. However, Agencies will include all approved Stage 1 Business Analyses in the Agency State Entity Portfolio Report as specified in SIMM Section 05A.

✓ Non-affiliated state entities (state entities not governed by Agencies) are required to sign and submit the Project Approval Executive Transmittal directly to the CDT for review.

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.

Submit required Stage 1 Business Analysis to the CDT through the CDT Project Oversight email address at:  (ProjectOversight@state.ca.gov).

Questions related to transmittal requirements should be directed to your agency/state entity’s CDT Office of Statewide Project Delivery (OSPD) Project Approval Manager; assignments can be found at:  https://cdt.ca.gov/project-approvals-and-oversight-contact/.

Project Approval Executive Transmittal
The transmittal template (available in SIMM Section 19G) contains the approving agency/state entity executive signatures, with the following components:

1. **State Entity Name:** Enter the state entity name that prepared the Stage 1 Business Analysis. Designate one state entity as owner if multiple state entities have a role in the proposal.

2. **Agency Name:** Enter the agency name that prepared the Stage 1 Business
Analysis. Designate one agency as owner if multiple Agencies have a role in the proposal. This field is not required for state entities not governed by an agency.

3. **Proposal Name**: Enter the proposal name as determined by the agency/state entity.

4. **Department of Technology Project Number**: If this is a new submission, this field should be left blank. The CDT Project Number will be assigned by the CDT after initial submission. If this is a resubmission, enter the number assigned by the CDT.

5. **Submission Deliverable**: Select the Stage/Gate deliverable(s), as applicable.

6. **Approval Signatures**: The agency/state entity executive approval signatures are required, documenting commitment and involvement at the agency/state entity level. The required signatures include those of the Information Security Officer, Enterprise Architect, Chief Information Officer, Budget Officer, Procurement and Contracting Officer, State Entity Director, AIO*, and the Agency Secretary (or designee)*.

*Exception – Non-affiliated state entities (state entities not governed by agencies) can sign and submit the Project Approval Executive Transmittal directly to the CDT, the AIO and Agency Secretary signatures are not required.

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**Stage 1 Business Analysis – General Instructions**

### 1.1 General Information

**Agency or State Entity Name**: Enter the agency/state entity name that prepared and is responsible for the Stage 1 Business Analysis proposal. Designate one agency or state entity as owner if multiple Agencies or state entities have a role in the proposal.

**Organization Code**: Enter the organization code.

**Proposal Name**: Enter the proposal name as determined by the agency/state entity. The name should not reflect a system or type of IT solution.

**Proposal Description**: Enter a brief description of the proposal. This description should be concise and focused on the business problems or opportunities as described in Section 1.6 Business Alignment. This description should be formatted as follows, “(agency/state entity) proposes to (brief description of the initiative) in order to (or similar verbiage).”

Example: The (agency/state entity), (Business Program), proposes to re-engineer the manual process used to publish the bi-annual publication list of the top 500 taxpayers with tax delinquency liens greater than $100,000, in order to meet the mandates of Assembly Bill XXXX. The publication process is labor intensive and produces many errors. The re-engineered process will reduce errors, improve accuracy, efficiency, quality, and time management. The list will include the delinquent business entity’s principal officers, titles, and names, number and status of any occupational/professional licenses held by the taxpayer, and lien amounts.
When do you want to start this project?: Select the proposed start date for the requested project proposal.

Department of Technology Project Number: If this is a new submission, this field should be left blank. The Project Number will be assigned by the CDT after initial submission. If this is a resubmission, enter the number assigned by the CDT (in “0000-000” format).

1.2 Submittal Information

Contact Information:
- **Contact First Name:** Enter the first name of the agency/state entity person who will be the primary point-of-contact for control agency questions and comments.
- **Contact Last Name:** Enter the last name of the agency/state entity person who will be the primary point-of-contact for control agency questions and comments.
- **Contact Email:** Enter the email address of the contact provided above.
- **Contact Phone Number:** Enter the ten-digit phone number of the contact provided above.

**Submission Date:** Select the date the Stage 1 Business Analysis is being submitted to the CDT.

**Version Number:** Enter the version number. The version number should reflect any revised submissions to CDT.

**Project Approval Executive Transmittal Attachment:** Scan and email a copy of the signed Project Approval Executive Transmittal for Stage 1 Business Analyses; use the transmittal form located in SIMM Section 19G.

1.3 Business Sponsorship

Executive Sponsors
An “Executive Sponsor” maintains a leading and very active role in championing the project by promoting and marketing the project to stakeholders. An executive sponsor:
- Provides vision, guidance, and direction to the project.
- Determines and advocates for suitable levels of funding and resources.
- Ensures multi-divisional or multi-agency participation on the project where appropriate.
- Acts as an advocate for the project throughout its lifecycle.
- Monitors project progress, intervenes as needed, and resolves escalated issues.
- Oversees project budget, schedule, and scope.
- Communicates project status to the executive stakeholders, as relevant, and ensures sustained buy-in at all levels.

**Title:** Enter the title of the Executive Sponsor(s).

**First Name:** Enter the first name of the Executive Sponsor(s).
Last Name: Enter the last name of the Executive Sponsor(s).

Business Program Area: Enter the name of the business program area represented by the Executive Sponsor(s).

Click the “+” at the bottom of any section to add a new section. **Note:** When using the insert functionality to add a content group, the entire section of rows and its content is duplicated; therefore, the user may need to manually remove unwanted text in the answer space. Additionally, if an inserted content group section is no longer needed, select one entire row in the content group to be deleted, right-click, and select “Delete Item.” If the “Delete Item” does not appear in the dropdown, make sure the entire row is selected.

Business Owners
A “Business Owner” maintains a leading and very active role from the perspective of the government program area that the project enables, supports, and/or enhances. Business owners “partner” with technology project leaders to lead projects that serve business needs and to meet objectives (see Section 1.6). A business owner:
- Champions the project.
- Defines the expected business objectives and outcomes.
- Develops the business strategy.
- Describes and clarifies business processes and terminology.
- Reviews and approves the business requirements.

Title: Enter the title of the Business Owner(s).

First Name: Enter the first name of the Business Owner(s).

Last Name: Enter the last name of the Business Owner(s).

Business Program Area: Enter the name of the business program area represented by the Business Owner(s).

Click the “+” at the bottom of any section to add a new section. **Note:** When using the insert functionality to add a content group, the entire section of rows and its content is duplicated; therefore, the user may need to manually remove unwanted text in the answer space. Additionally, if an inserted content group section is no longer needed, select one entire row in the content group to be deleted, right-click, and select “Delete Item.” If the “Delete Item” does not appear in the dropdown, make sure the entire row is selected.

Program Background and Context
Provide a brief overview of the business program(s) within the agency/state entity being impacted or that will be impacted by the problems or opportunities identified in Section 1.9. Briefly explain how this proposal fits within the programs. Explain how all internal and external Business Sponsors and Key Stakeholders participate in the business process.

Identify which specific part of the business was studied and will be affected by the proposal. The business description should be succinct and at the highest level possible to understand the business problem(s) and not contain any business terminology and acronyms unless previously defined.
Note: This section should not provide a description of the agency/state entity’s mission or background. Do not discuss business programs that are not affected by the proposal, how the work is performed, business problems, potential solutions, existing technology, etc.

This narrative should adhere to the following guidelines:

- The program background and context should set the scope of the study; everything that follows in the study must relate to and follow from the business description.
- List multiple business programs separately if they have distinct problems, opportunities, or objectives. Include a description of impacted business program activities and services.
- The business program(s) identified should align with the Business Owner(s) and Key Stakeholder(s) identified in sections 1.3 Business Sponsorship and 1.4 Stakeholders.

### 1.4 Stakeholders

**Key Stakeholders**

A “Key Stakeholder” are individuals or groups impacted by the business processes being addressed by the proposed project. The stakeholders have a vested interest in the outcome of the project and may have the ability to influence the project. Examples of key stakeholders include but are not limited to:

- Program executives and managers whose business area will be most affected by the project.
- Program constituents (e.g., county programs, advocacy groups).
- Legislators who may have supported legislation related to the project.
- Other individuals or groups that have a vested interest in the outcome of this proposal.

**Org. Name:** Enter the program name most affected by the project.

**Name:** Enter the name of the Key Stakeholder(s).

**Internal or External?:** Click the radio button to identify if the key stakeholder is internal or external to the agency/state entity.

Examples of external stakeholders include but are not limited to:

- Federal government
- County (e.g., Department of Health and Human Services – Sacramento County)
- Another Agency/state entity

Examples of internal stakeholders include but are not limited to:

- Administrative services of the agency/state entity.
- Information technology services of the agency/state entity.

**When is the Stakeholder impacted?:**

Select all that apply:

- Input to the Business Process
  For example, a program constituent submits a form to the agency/state entity.
• During the Business Process
  For example, the IT Office completes a batch application run.

• Output of the Business Process
  For example, a Federal government receives a report from agency/state entity.

**How are Stakeholders impacted?:**
Describe how the stakeholder is involved in the process.

**How will the Stakeholders participate in the project?:**
Describe how the stakeholders will be involved in the project. Depending on their involvement in the process, it may be important to consult, inform, or illicit information from the stakeholders as part of the planning, implementation, or roll-out of a solution.

Click the “+” at the bottom of any section to add a new section. **Note:** When using the insert functionality to add a content group, the entire section of rows and its content is duplicated; therefore, the user may need to manually remove unwanted text in the answer space. Additionally, if an inserted content group section is no longer needed, select one entire row in the content group to be deleted, right-click, and select “Delete Item.” If the “Delete Item” does not appear in the dropdown, make sure the entire row is selected.

### 1.5 Business Program

**Org. Name:** Enter the business name

**Name:** Enter the name of the business program(s).

**When is the unit impacted?:**
Select all that apply:

• Input to the Business Process
  For example, a program constituent submits a form to another program within the agency/state entity.

• During the Business Process
  For example, the program staff processes a licensing application.

• Output of the Business Process
  For example, a program staff sends a cost report to a stakeholder.

**How is the business program unit impacted?:**
Describe how the business program unit is involved in the process.

**How will the business program participate in the project?:**
Describe how the business program unit will be involved in the project. Depending on their involvement in the process, it may be important to consult, inform, or illicit information from the business program unit as part of the planning, implementation, or roll-out of a solution.
1.6 Business Alignment

Business Driver(s)
A “business driver” is a resource, process, or condition that is vital for the continued success and growth of the government program(s) that the proposal will enable, support, and/or enhance. Potential business drivers have been placed into four general categories (i.e., Financial Benefit, Mandate, Improvement, and Security). Check all items that are applicable as business drivers for this proposal:

- **Financial Benefit**
  - **Increased Revenues**: Any addition to cash or other current assets that does not increase any liability or reserve and does not represent the reduction or recovery of expenditure (e.g., reimbursements and/or abatements). Revenues are a type of receipt generally derived from taxes, licenses, fees, or investment earnings. Revenues are deposited into a fund for future appropriation and are not available for expenditure until appropriated (Uniform Codes Manual). SAM Section 6602 defines revenues as, “Any changes in the amounts of operating income received by state and local agencies as the result of an executive regulation...includes taxes, state and/or federal assistance, fees, licenses, and so forth.”

  Check this box if the proposal will result in additional income to the State in the form of increased federal funding, state taxes, licenses, fees, etc.

  - **Cost Savings**: As defined by SAM Section 6602, “Both actual budget reductions and the ‘freeing up’ of staff and/or resources for reassignment to other areas of legitimate concern of the agency.”

  Check this box if the proposal will result in reduced expenses for the program or IT budget (e.g., reduced program, IT staff, equipment, travel expenses, etc.).

  - **Cost Avoidance**: Benefits that occur when future program needs are met at less cost than would otherwise have been required. Such program needs can include new program services, increased program service levels, or replacement of current systems.

  Check this box if the proposal will result in the avoidance of a future planned increase in the program or IT budget.

  - **Cost Recovery**: The Federal government portion for their share of expenditures for providing Medicaid services, administering the Medicaid program, and certain other human service programs recovered by the State. This also includes costs recovered from the Federal government through the Federal Financial Participation (FFP) under U.S. Code, Title 42, Chapter 7, Subchapter XIX, Section 1396b, which allows states to receive partial reimbursement for activities that meet FFP objectives. The FPP objectives, among others, may include activities attributable to the design, development, modification, and installation of mechanized claims processes and information retrieval systems.
Check this box if the proposal will result in the agency/state entity’s ability to recover costs through the Federal government due to the type of service or program provided.

- **Mandate(s)**
  - **State:** State mandates may include Executive Orders or proclamations which impact the business program and will be further identified in Section 1.8. See SAM Section 4819.37 for additional information on project reporting requirements related to mandates.
    
     Check this box if the proposal is required to implement new State legislation or changes to existing State regulations.
  - **Federal:** Federal mandates may include new Federal legislation or changes to existing Federal regulations.
    
     Check this box if the proposal is required to implement new federal legislation or changes to existing federal regulations.

- **Improvement**
  - **Better Services to Citizens:** Better services to citizens may include improvements to quality of life, or improving the experience of people interacting with program operations (e.g., replacing paper forms with internet forms or replacing paper listings of information with searchable databases).
    
     Check this box if the proposal will result in better services to citizens.
  - **Efficiencies to Program Operations:** Efficiencies to program operations may include making improvements to an agency/state entity’s business processes used to run program operations (e.g., automating business processes, workflows, and reporting).
    
     Check this box if the proposal will result in efficiencies to program operations.
  - **Improved Health and/or Human Safety:** Health and human safety improvements may include upgrades to the physical and/or mental conditions of Californians, inpatients, employees and those in the community. Health improvements may include reducing the presence or negative impacts of illnesses, injuries, or impairments to Californians. Human safety improvements may include reducing exposure to or negative impacts from hazards, or reducing the risk of harm or injury.
    
     Check this box if the proposal will result in a health and/or human safety improvement to Californians, inpatients, employees, and those in the community.
  - **Technology Refresh:** Technology refresh may include the replacement of aging hardware or software that is unreliable or will no longer be supported by the manufacturer.
    
     Check this box if the proposal results in a technology refresh.

- **Security**
  - **Improved Information Security:** Improved information security protects the confidentiality, integrity, availability of business data from those with malicious intentions, and information compliance with state and federal standards.
    
     Check this box if the proposal will result in improved information security.
- **Improved Business Continuity**: Business continuity encompasses a defined set of planning, preparatory, and related activities intended to ensure that an organization's critical business functions will either continue to operate despite serious incidents or disasters that might otherwise have interrupted them, or will be recovered to an operational condition within a short period.

  Check this box if the proposal will result in improved business continuity.

- **Improved Technology Recovery**: Improved technology recovery involves a set of policies and procedures to enable the recovery or continuation of vital technology infrastructure and systems following a natural or human-induced disaster, which impedes the agency/state entity’s ability to provide business services. Technology recovery focuses on the IT or technology systems supporting critical business functions, as opposed to business continuity, which involves maintaining all essential aspects of a business functioning despite disruptive events.

  Check this box if the proposal will result in an improved technology recovery.

- **Technology End of Life**: The technology currently in use to support the agency/state is no longer supportable due to aging technology or the lack of skilled resources to support the technology.

  Check this box if the proposal will result in a technology end of life.

**Strategic Business Alignment**

- **Strategic Plan Last Updated**: Enter the date the agency/state entity’s Strategic Plan was last updated.

- **Strategic Business Goal**: Identify the agency/state entity’s strategic business goals associated with this proposal.

- **Alignment**: Briefly describe how this proposal helps to achieve the agency/state entity’s strategic goals. Describe how the proposal will address problems that impede or opportunities that enhance the achievement of the business goal as stated in the agency/state entity’s Strategic Plan.

**Select + to add additional Business Goals and Alignments.** Click the “+” at the bottom of any section to add a new section. **Note**: When using the insert functionality to add a content group, the entire section of rows and its content is duplicated; therefore, the user may need to manually remove unwanted text in the answer space. Additionally, if an inserted content group section is no longer needed, select one entire row in the content group to be deleted, right-click, and select “Delete Item.” If the “Delete Item” does not appear in the dropdown, make sure the entire row is selected.

**Executive Summary of the Business Problem or Opportunity**

Provide a brief narrative summary of the business problem or opportunity that is driving changes to the current state environment, processes, etc. This should be a brief description of the overall problem or opportunity. The individual problems or opportunities will be listed in below. This narrative summary should address the following questions:

- How was the problem or opportunity identified (e.g., log/report deficiencies, backorders, assessment of penalties, excessive overtime costs, statutes or legislation)?
- What created the problem?
- What is the magnitude of the problem or opportunity?
• How do the business drivers selected above relate to the business problem or opportunity?
• Why is this proposal important to consider at this time?
• Are there any security and/or privacy issues (e.g., confidentiality, integrity, and availability) that should be considered?
• What are the effects and/or impact of the statutes and/or mandates, if identified in Section 1.8?

Business Problem or Opportunity and Objectives Table

Problem ID: Identify each business problem or opportunity sequentially beginning with the number 1.

Problems/Opportunities: List each problem or opportunity in business terms, aligned with at least one of the business drivers identified above. The statements should not indicate that the completion of a new system will solve the problem or achieve the opportunity.

Objective ID: Identify the objective number using the corresponding “Problem ID” and the sequential objective number (e.g., 1.1, 2.1, 3.1). When multiple objectives exist for a specific business opportunity or problem, number the objectives using the corresponding “ID” and the sequential objective number (e.g., 2.1, 2.2, 2.3).

Objectives: List the business objective(s) associated with the problem or opportunity and identify expected short-term and long-term objectives that the proposal will address (e.g., what the proposal is seeking to achieve). Identify at least one objective for each individual business problem or opportunity. An ideal objective statement is “SMART” (i.e., “S” Specific, “M” Measurable, “A” Achievable, “R” Realistic, and “T” Time Bound). If an objective does not have measurable data, the agency/state entity should at a minimum provide the proposed data source, unit of measurement, and timeframe of when the data will be observable or verified. Identify the timeframe in which the objective will be achieved.

It is essential that each objective:
• Relates to a problem or opportunity specified in the problem/opportunity statement.
• Is business based.
• Is stated in quantifiable terms and at a level which decision makers can determine value versus investment.
• Is realistically achievable.
• Is not compounded (i.e., list one objective per line item). Do not combine more than one objective in an objective statement.

Metric: Describe the measurement(s) that will be used to confirm the attainment of the business objectives identified. Provide specific, measurable, and realistic means to measure the business problem or opportunity against the objectives. Measurements should be developed with stakeholder involvement. These measurements will be used to collect data before, during, and following an approved project to support the achievement of the objectives as described in the Post Implementation Evaluation Report (PIER).
**Baseline:** Provide the current magnitude or value for the metric (e.g., the current business program processing time: number of people served, forms processed). For example, if it currently takes 20 minutes to perform the business problem or opportunity, then 20 minutes would be entered. The metric used should align with the objective (e.g., loss of revenue should use money-based objective metrics).

**Target:** Provide the estimated target value that will result from the implementation of the proposal. This will be an increase or decrease from the baseline value. For example, if the current baseline value is 20 minutes to perform the function or task being measured, and the objective is to reduce that time by 5 minutes, then you would enter 15 minutes as your target.

**Measurement Method:** Provide the specific manner in which each metric will be measured. Describe how the metric will be tracked through the progression of the project. Examples include but are not limited to: existing data, relevant forms, surveys, focus groups, etc.

**Select + to add additional Objectives.** Click the “+” at the bottom of any section to add a new section. **Note:** When using the insert functionality to add a content group, the entire section of rows and its content is duplicated; therefore, the user may need to manually remove unwanted text in the answer space. Additionally, if an inserted content group section is no longer needed, select one entire row in the content group to be deleted, right-click, and select “Delete Item.” If the “Delete Item” does not appear in the dropdown, make sure the entire row is selected.

**Select + to add additional Problems.** Click the “+” at the bottom of any section to add a new section. **Note:** When using the insert functionality to add a content group, the entire section of rows and its content is duplicated; therefore, the user may need to manually remove unwanted text in the answer space. Additionally, if an inserted content group section is no longer needed, select one entire row in the content group to be deleted, right-click, and select “Delete Item.” If the “Delete Item” does not appear in the dropdown, make sure the entire row is selected.
**Good Example:**

<table>
<thead>
<tr>
<th>Pr ID</th>
<th>Problems/Opportunities</th>
<th>Objective ID</th>
<th>Objectives</th>
<th>Metric</th>
<th>Baseline</th>
<th>Target</th>
<th>Measurement Method</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Efficiencies to program operations (<em>business driver</em>): Administrative Services Division (<em>business program</em>) manually processes and matches approximately 2,500 Residential Housing Unit (RHU) purchase orders (POs) annually, which requires over 2,080 hours in overtime by staff (<em>impact</em>).</td>
<td>1.1</td>
<td>Reduce staff time necessary to reconcile the RHU Purchase Orders by 25 percent within 18 months of the completion of the Business Management Review (BMR).</td>
<td>Average time to reconcile a single PO in minutes.</td>
<td>20 min</td>
<td>15 min</td>
<td>Existing PO tracking report.</td>
</tr>
<tr>
<td>Pr ID</td>
<td>Problems/ Opportunities</td>
<td>Objective ID</td>
<td>Objectives</td>
<td>Metric</td>
<td>Baseline</td>
<td>Target</td>
<td>Measurement Method</td>
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</tr>
<tr>
<td>2</td>
<td>Efficiencies to program operations <em>(business driver)</em>: Customer Support Division (CSD) <em>(business program)</em>: Staff members manually transfer data from 200 Microsoft Excel (MS Excel) spreadsheets gathered from remote offices into Microsoft Access (MS Access) to develop reports for CSD. The current process relies on heavy manual interactions and duplicative efforts, resulting in excessive staff usage and incomplete and inaccurate data <em>(impact)</em>.</td>
<td>1.2</td>
<td>After implementation, eliminate the need to manually transfer data from MS Excel spreadsheets into MS Access.</td>
<td>Number of spreadsheets requiring staff to manually transfer data into a reporting system.</td>
<td>200</td>
<td>0</td>
<td>After system implementation, track the number of spreadsheets requiring manual conversion of data into the reporting system.</td>
</tr>
</tbody>
</table>

**Poor Example 1:**

<table>
<thead>
<tr>
<th>Pr ID</th>
<th>Problems/ Opportunities</th>
<th>Objective ID</th>
<th>Objectives</th>
<th>Metric</th>
<th>Baseline</th>
<th>Target</th>
<th>Measurement Method</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Excessive customer wait time at field offices.</td>
<td>1.1</td>
<td>Within 18 months of implementation of the system, reduce the field office wait time.</td>
<td>Time until customer is seen at a window.</td>
<td>30 min</td>
<td>Reduced 50%</td>
<td>Anecdotal information from field offices</td>
</tr>
</tbody>
</table>

The above example does not follow SMART objective format. It does not specify reliable data source (Measurement Method) or a frequency for the data to be captured and reviewed.
Poor Example 2:

<table>
<thead>
<tr>
<th>Pr ID</th>
<th>Problems/Opportunities</th>
<th>Objective ID</th>
<th>Objectives</th>
<th>Metric</th>
<th>Baseline</th>
<th>Target</th>
<th>Measurement Method</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Ensure effective and efficient management of the Program</td>
<td>1.1</td>
<td>Decrease data management maintenance costs by 50 percent within 12 months of completion of the replacement system.</td>
<td>Number and cost of system SDNs (invoices)</td>
<td>Maintenance support contract cost estimate is $1 million</td>
<td>Pay $0 for sub-contract s</td>
<td>Count the number of SDNs (invoices)</td>
</tr>
</tbody>
</table>

The problems/opportunities example stated does not identify a problem or an opportunity, this is a high level goal statement. Additionally, the Metric includes two different unit types for measurement. The target does not relate to the Baseline value, it relates to a subset of invoices. Further, the target is not equal the 50% as implied in the objective statement. Invoices are a good data source for measurement; however, the invoice count does not relate to a dollar value. Finally, the objective’s table does not address the frequency in which the information would be reviewed.

Project Approval Lifecycle Completion and Project Execution Capacity Assessment.

The workload required for this proposal may need to be accommodated within the priorities and capacity of the agency/state entity’s existing business programs.

This information identifies how this proposal will be supported and planning dynamics going forward.

1. Select “Yes” if this proposal will share resources including state staff, vendors, consultants or financial resources with other business program areas within the agency/state entity, thereby potentially shifting priorities.

2. Well-documented business processes, which are clearly understood by the program area, will assist the agency/state entity in identifying what process changes are needed to successfully achieve the proposal’s goals and objectives.

Identify if the proposal is anticipated to result in new or changes to existing business processes. This information will assist with the development of alternative analysis.

1.7 Project Management

The Project Management Risk Assessment aids in assessing the maturity of an organization as a whole and their ability to carry out projects. This model will evaluate such elements as:

- Organizational commitment to a well-defined, mature project management process
- Existence of predicated management commitment, functions, and systems
- Competence of participants in any project management endeavor
- Organizational project management environment (e.g., tools, infrastructure) and how well these are integrated
- Measurement metrics in the organization and how well they are used and any applicable past performance
- Organization’s continuous improvement process
Utilizing the instructions in SIMM Section 45 Appendix B, Project Management Risk Assessment Preparation Instructions, complete the Project Management Risk Assessment Template (SIMM Section 45 Appendix A). Only complete the questions identified as Stage 1 in the “Required Stage” column. This assessment is to be completed by the agency/state entity as part of the Stage 1 Business Analysis and verified by the CDT during the Gate 1 collaborative review meeting.

**Project Management Risk Score:** Enter numeric value identified after completed of the SIMM Section 45 Appendix A.

**Attachment completed SIMM Section 45 Appendix A:** Include the SIMM 45 Appendix A as an attachment to your email submission.

**Existing Data Governance:**
Data is a critical business asset and the foundation of valuable intellectual property. Unless valid, complete, accurate, and compatible data components are available, the maximum value of the proposed solution cannot be obtained. Therefore, it is crucial that an agency/state entity evaluate its readiness to undertake the initiative with a full understanding of the preparation and resources required. Data governance refers to the implementation of data management processes, policies, procedures, standards on how critical business data decisions are identified and made, and the availability, usability, integrity, and security of data. A data governance program should include a governing body (e.g., a steering committee or council) with well-defined roles and responsibilities, and established processes and procedures to carry out the governance program. The data governance body or program is responsible for:

- Defining business data owners and data custodians for data assets
- Developing policies that specify who is accountable for the data and its accuracy, accessibility, consistency, completeness, and timeliness
- Defining processes on how the data is to be stored, archived, backed up, and protected from mishaps, theft, or attack
- Developing standards and procedures to define how the data is to be used by authorized personnel
- Implementing a set of controls and audit procedures to ensure ongoing compliance with applicable laws, rules, and regulations
- Data governance related artifacts may include:
  - Data governance organizational chart
  - Data roles/responsibilities
  - Data policies, standards, procedures
  - Data strategy

1. Select “Yes” if the agency/state entity has a data governance body with well-defined roles/responsibilities to support data governance activities. Provide applicable attachment with your email submission.

2. Data governance refers to the implementation of data management processes, policies, procedures, standards on how critical business data decisions are identified and made, and the availability, usability, integrity, and security of data. The data governance policies and process may include:

   - Defining business data owners and data custodians for data assets
• Defining processes on how the data is to be stored, archived, backed up, and protected from mishaps, theft, or attack
• Developing standards and procedures to define how the data is to be used by authorized personnel
• Implementing a set of controls and audit procedures to ensure ongoing compliance with applicable laws, rules, and regulations

Select “Yes” if the agency/state entity has data governance artifacts and provide attachment with your email submission.

3. Data security management refers to the implementation of security policies and procedures that provide for the proper authentication, authorization, access, and auditing of data and information. The data security program objective is to:
• Properly manage and control access and changes to data assets
• Meet regulatory requirements for privacy and confidentiality
• Ensure that the privacy and confidentiality needs of all stakeholders are met

Data security management artifacts may include:
• Data security policies and standards
• Data security controls and procedures
• Data/information classifications
• Data security audits
• Data privacy and confidentiality standards
• User profiles, passwords and memberships

Select “Yes” if the agency/state entity has formally defined, documented, and implemented data security policies, standards, controls, and procedures.

4. User accessibility policies, standard, and controls ensure that users are able to interact with systems and conduct business transactions regardless of disability status. User accessibility artifacts may include:
• Web accessibility standards
• Americans with Disabilities Act (ADA) compliance review bodies

Select “Yes” if the agency/state entity has formally defined, documented, and implemented accessibility policies, standards, controls, and procedures and provide as an attachment to your email submission.

5. Do you have existing data that you are going to want to access in your new solution? Select “Yes” if the proposal will require data conversion/migration activities. If “Yes,” attach your data migration plan.

6. If data migration activities are required, use the dropdown to rate the data quality and provide a narrative to further explain the selection.
<table>
<thead>
<tr>
<th>Drop Down Value</th>
<th>When the Value Should Be Used</th>
</tr>
</thead>
<tbody>
<tr>
<td>Not applicable</td>
<td>The data is related to a new business process</td>
</tr>
<tr>
<td>No information available</td>
<td>The data is not owned by the agency/state entity and there is no foundation to assess the data quality</td>
</tr>
<tr>
<td>Significant Issues with the existing data</td>
<td>10% or more of the current business data is not complete, contains duplicate information, is out of date, cannot be validated, or lacks accuracy or consistency.</td>
</tr>
<tr>
<td>Some issues identified the existing data</td>
<td>10% to 3% of the current business data is not complete, contains duplicate information, is out of date, cannot be validated, or lacks accuracy or consistency.</td>
</tr>
<tr>
<td>Few issues identified with the existing data</td>
<td>Less than 3% of the current business data is not complete, contains duplicate information, is out of date, cannot be validated, or lacks accuracy or consistency.</td>
</tr>
</tbody>
</table>

1.8 Criticality Assessment

Business Criticality:

**Legislative Mandates:** Statutes or legislation could mandate new business solution(s) or changes to existing business solution(s). Select “N/A” if this section is not applicable.

If applicable, provide the following information:

**Bill Number(s)/Code(s):** Enter the Chapter and Statute information in the following format:

- **Examples:**
  - Chapter 404, Statutes of 2010 (AB 2408)
  - SB 1592, 2012 (if not chaptered)

**Language that includes system relevant requirements:** Provide the bill or code language that includes system relevant requirements related to this proposal.

Click the “+” at the bottom of any section to add a new section. **Note:** When using the insert functionality to add a content group, the entire section of rows and its content is duplicated; therefore, the user may need to manually remove unwanted text in the answer space. Additionally, if an inserted content group section is no longer needed, select one entire row in the content group to be deleted, right-click, and select “Delete Item.” If the “Delete Item” does not appear in the dropdown, make sure the entire row is selected.
**Business Complexity Score:** In many projects, complexities and unanticipated issues are discovered as work progresses, resulting in missed deadlines, budget overruns, and thwarted management expectations. Project complexity assessments completed at the beginning of a proposal help to minimize a last minute patchwork of Band-Aid solutions that most often result in scope creep, poor product quality, and cause the project team to become overwhelmed by problems and lose project control. Early identification of complexities can also assist in planning, estimating, and staffing decisions, including the level of project oversight required for the project.

Use the SIMM Section 45 Appendix C, Complexity Assessment Template self-assessment tool to complete the Business Complexity section based on the applicable information captured in the Stage 1 Business Analysis. Enter the Business Complexity score in the space provided and attach the completed Appendix C to your email submission.

**Note:** The Complexity Assessment will be used in the Stage 2 Alternatives Analysis Section 2.11.2 to determine the Technical Complexity and, combined with the Business Complexity, the proposal’s overall Complexity Zone. The overall Complexity Zone will determine the remaining Stage 2 Alternatives Analysis sections that require CDT’s review and approval.

**Noncompliance Issues:** Noncompliance issues are business problems that often effect the security, accessibility, and statutory requirements for implementation of a business program.

Select, using the checkboxes provided, any known noncompliance issues this proposal intends to address and provide a narrative on how the business process is currently noncompliant.

1. Enter the date the agency/state entity would like to begin the implementation phase of the project.

2. High visibility projects with higher complexity and risks are subject to additional public scrutiny and have the potential to impact public trust. Public visibility can come in many forms, such as special public interest in the implementation of the proposal or the likelihood of political sensitivity due to high public interest.

   Select “Yes” if the proposal is likely to have high public visibility (e.g., Governor’s Office interest, Legislative interest, media attention, and constituent attention) and provide a narrative of the visibility dynamics anticipated.

3. Attach the Privacy Information Assessment to your email submission. The agency/state entity’s Information Security Officer can provide additional information on Assessment standards.

4. Select “Yes” if the proposal impacts program staff in multiple geographic locations (e.g., field offices, county offices).

   If “Yes,” provide the location details and staffing. This information is necessary to plan organization change management activities.
1.9 Funding

This section will help identify and thereby mitigate potential financial risks related to this proposal. The proposal’s funding or possibility of financial sanctions or penalties if not implemented may contribute to a proposal’s success. Identifying and addressing these factors at the beginning of a proposal’s development allows an opportunity for focused planning and reduces uncertainty as the proposal moves forward.

1. Select “Yes” if you anticipate requesting additional resources through a budget action to complete planning.

2. The possibility of financial sanctions or penalties for not implementing a proposal is a fiscal impact to the State and adds potential risk. Select “Yes” if the State may possibly incur a financial sanction or penalty (e.g., federal fines or bond funds not granted if this proposal is not implemented) and provide details of the sanction or penalty. In the space provided include information that specifies the financial sanctions or penalties and the triggers for these penalties.

3. Availability of secure and reliable funding is essential to successful project planning and risk mitigation. Select “Yes” if the funding source(s) has/have been identified for this proposal.

If “Yes,” select applicable funding source(s), see definitions below. If funding source is “Other,” specify the funding source in the space provided.

**General Fund:** The state fund into which non-dedicated revenues are deposited and from which the majority of state expenditures are made. (SAM Section 6899)

**Special Fund:** For legal basis budgeting purposes, funds created by statute, or administratively per Government Code (GC) section 13306, used to budget and account for taxes, licenses, and fees that are restricted by law for particular activities of the government.

**Federal Fund:** For legal basis budgeting purposes, classification of funds into which money received in trust from the Federal Government will be deposited and expended by a state entity in accordance with State and/or Federal rules and regulations. Agency/state entity must deposit federal grant funds in the Federal Trust Fund or other federal fund in the State Treasury. (GC 13326 – Department of Finance approval, 13338 – Appropriation of federal funds, CS 8.50.)

**Reimbursement:** A reimbursement is cash or other assets received as repayment for the cost of work or services performed, or for other expenditures made for or on behalf and for the convenience of another governmental unit, fund, or department, or for an individual, firm, or corporation. (SAM Section 6463)

**Bond Fund:** For legal basis budgeting purposes, funds used to account for the receipt and disbursement of self-liquidating or non-self-liquidating general obligation bond proceeds. Depending on the provisions of the bond act, either the General Fund or a sinking fund pays the principal and interest on the general obligation bonds. (SAM 14400.)
**Other Fund:** Fund source not represented by the categories identified. If “Other Fund” selected, specify the funding source.

**Fund Availability Date:** In “Fund Availability Date,” enter the initial date when the corresponding fund source is first anticipated to be available for all fund types.

### 1.10 Reportability Assessment

The reportability assessment questions below follow the [Job Aid – Reportable Project Decision Tree](https://cdt.ca.gov/wp-content/uploads/2019/07/Reportable_Project_Decision_Tree.pdf) located in SIMM 19 and assist in determining if your proposal is non-delegated.

1. **IT Project** - A unique endeavor with a defined beginning and end, named deliverables and defined budget/resources that consumes at least 500 hours of effort. IT projects are undertaken to provide an IT solution for a business problem/opportunity in order to meet unique goals and defined objectives that encompasses computerized and auxiliary automated information handling that may include systems design and analysis, conversion of data, computer programming, information storage and retrieval, data transmission, requisite system controls, simulation, and related interactions between people and machines. Also see definition of IT Activity.

   Select “Yes” if the proposal meets the definition found in SAM Section 4819.2. If “No,” this initiative is not an IT project and is not required to complete the Project Approval Lifecycle.

2. **Select “Yes” if this proposal meets the definition found in SAM Section 4819.2. If “Yes,” this initiative is not required to complete the Project Approval Lifecycle. For validation purposes, provide an explanation in the space provided that describes the dynamics of the initiative and why it meets the criterion of Maintenance and Operations.**

3. **Previously Approved Project/Effort** - An IT activity or project previously approved by the California Department of Technology (CDT) or the agency/state entity’s executive officer in accordance with SAM Section 4819.3.

   Qualification of an activity as a previously approved effort requires an approved Feasibility Study Report or PAL Stage 4 Project Readiness and Approval AND an approved PIER. Effort/project must use substantially the same equipment, facilities, technical personnel, supplies and software to meet substantially the same requirements or to meet normal workload increases. “Substantially the same equipment” does not include the addition, upgrade, or replacement of a central processing unit or Mainframe. (Applicable activities include meeting modified needs, improving the effectiveness of the activity, program or system maintenance, or extension of existing services to new or additional users performing essentially the same functions as those that the project was designed to support). Minor changes in functionality and/or equipment will normally meet the definition of previously approved effort/project. Significant changes in functionality and/or equipment that require budget actions do not meet the definition of previously approved effort/project.

   Select “Yes” if this proposal meets the definition found in SAM Section 4819.3. If “Yes,” this initiative is not required to complete the Project Approval Lifecycle. Please report this workload on the Agency Portfolio Report.
4. Single Function Process Control Systems, Analog Data Collection Devices, or Telemetry Systems: Activities include automated processing systems that monitor and control the operation of a single function system and that can perform that control in isolation from other systems (such as components necessary to monitor and control the traffic signals at an intersection, the position of water restriction and diversion components in a water supply and distribution system, environmental systems for buildings or to adjust the behavior of a motorized conveyor in response to changes in load and demand). This includes sensors, telemetry devices, alarm and physical entry controls, functional components such as motors or traffic lights, electronic control processors, and the network system that connects those devices into a single-function process control system. This should not be interpreted to include information processing and network systems in which data is gathered, stored, transmitted, processed, analyzed, displayed, printed, or reported for purposes other than the direct, automatic monitoring and controlling of a single function system, or for the manual review of the performance and activities of that single system. **Note:** Any component that may be added to any process control system, such as additional sensors, processing capacity or network communications capability that is necessary for use in conjunction with a current or planned IT system must be included in all PAL Stage/Gate deliverables, plans, proposals and budget estimates for the IT system. See definitions below:

- **Telecommunications Equipment Used Exclusively for Voice Communications:** Projects, activities, or acquisitions where approval and initiation is within the jurisdiction of the Public Safety Communications Office, per California Government Code Section 15275-15277, such as public safety telecommunications including microwave, satellite, 911, telematics, and radio/rf.
- **Voice Over Internet Protocol (VOIP) Phone Systems:** Installations of VOIP systems that arrest alone and do not interface with other systems on the network.
- **Acquisition of Printers, Scanners, and Copiers:** If any of these components are part of a planned IT system they must be included in all PAL Stage/Gate deliverables, plans, proposals and budget estimates for the IT system.

Select “Yes” if this proposal meets the definition found in SAM Section 4812.32. If “Yes,” this initiative is not required to complete the Project Approval Lifecycle. Please report this workload on the Agency Portfolio Report.

5. Desktop and Mobile Computing Delegations: Agencies/state entities are delegated the authority to acquire desktop and mobile computing commodities to support increased staffing, as well as the ongoing replacement of obsolete or nonfunctioning desktop and mobile computing commodities. Delegation includes authority for the acquisition of equipment and software to support the agency/state entity’s desktop and mobile computing activities. Agencies/state entities must have submitted acceptable Technology Recovery Plans or Technology Recovery Plan certifications, maintain compliance with all applicable state IT security provisions (as defined in SAM Sections 5300-5399), and have appropriate plans for the use of desktop and mobile computing commodities. See SIMM 4989 for policy details, definitions and exclusions.

Select “Yes” if this proposal meets the definition found in SAM Section 4819.34 and 4989. If “Yes,” this initiative is not required to complete the Project Approval Lifecycle. Please report this workload on the Agency Portfolio Report.
6. COTS Software and Cloud SaaS Delegation: Agencies/state entities are delegated the authority for the approval and acquisition of COTS software and Cloud SaaS solutions which are not classified as non-delegated (see SAM Section 4819.37 for a list of non-delegated project criteria). The acquisition must meet “ALL” of the following conditions:

- Software licenses and consulting services will be acquired through a leveraged purchasing agreement managed by the Department of General Services (e.g. CMAS or MSA) or through one of the California Department of Technology’s master contracts.
- Does not require installation of new hardware on premises at the agency/state entity or its designated data center.
- Solution is single purpose use, not mission critical, and used for internal purposes only.
- Does not exchange confidential or sensitive data with other systems.
- Agency/state entities must notify the California Department of Technology (CDT) of all COTS and SaaS acquisitions prior to project initiation as defined in Statewide Information Management Manual (SIMM) Section 22.

Select “Yes” this proposal is a delegated 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.

7. Projects whose initiation depends upon decisions to be made during the development or enactment of the Governor's Budget, such as approval of a Budget Change Proposal or Budget Revision to increase the agency/state entity’s existing IT activities related to the project

- Projects that involve a new system development or acquisition that is specifically required by legislative mandate or is subject to special legislative review as specified in budget control language or other legislation
- Projects that have a cost that exceeds the level the agency/state entity’s delegated cost threshold assigned by the CDT and do not meet the criteria of a desktop and mobile computing commodity expenditure (see SAM Section 4989–4989.3)

Select “Yes” if the project requires a budget action to be completed.

8. Select “Yes” if the project cost exceeds your delegated cost threshold assigned by CDT as identified in SIMM Section 15 Departmental Delegated Cost Thresholds.

9. Select “Yes” if CDT has imposed conditions on the agency/state entity or project (e.g., Corrective Action Plan) and provide details regarding the conditions.

10. Projects that involve a new system development or acquisition that is specifically required by legislative mandate or is subject to special legislative review as specified in budget control language or other legislation.

Select “Yes” if the system is specifically mandated by legislation.
Scalability Table
Based on the initial Business Complexity, the Stage 2 Alternatives Analysis sections indicated by a circle in the Scalability Table below must be submitted to the CDT for review and approval. The remaining sections are delegated to the agency/state entity Director for review and approval.

<table>
<thead>
<tr>
<th>Stage 2 Alternatives Analysis Sections</th>
<th>Business Complexity</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Low</td>
</tr>
<tr>
<td>2.5 Baseline Processes and Systems</td>
<td>☐</td>
</tr>
<tr>
<td>2.5.1 Description</td>
<td>☐</td>
</tr>
<tr>
<td>2.5.2 Business Process Workflow</td>
<td>☐</td>
</tr>
<tr>
<td>2.5.3 Current Architecture Information</td>
<td>☐</td>
</tr>
<tr>
<td>2.5.4 Current Architecture Diagram</td>
<td>☐</td>
</tr>
<tr>
<td>2.5.5 Security Categorization Impact Table</td>
<td>☐</td>
</tr>
<tr>
<td>2.6 Mid-Level Solution Requirements</td>
<td>☐</td>
</tr>
<tr>
<td>2.7 Assumptions and Constraints</td>
<td>☐</td>
</tr>
<tr>
<td>2.8 Dependencies</td>
<td>☑</td>
</tr>
<tr>
<td>2.9 Market Research</td>
<td>☑</td>
</tr>
<tr>
<td>2.9.1 Market Research Methodologies/Timeframes</td>
<td>☑</td>
</tr>
<tr>
<td>2.9.2 Results of Market Research</td>
<td>☑</td>
</tr>
<tr>
<td>2.10 Alternative Solutions</td>
<td>☑</td>
</tr>
<tr>
<td>2.10.1 Solution Type</td>
<td>☑</td>
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<tr>
<td>2.10.2 Name</td>
<td>☑</td>
</tr>
<tr>
<td>2.10.3 Description</td>
<td>☑</td>
</tr>
<tr>
<td>2.10.4 Benefit Analysis</td>
<td>☑</td>
</tr>
<tr>
<td>2.10.5 Assumptions and Constraints</td>
<td>☑</td>
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<tr>
<td>2.10.6 Implementation Approach</td>
<td>☑</td>
</tr>
<tr>
<td>2.10.7 Architecture Information</td>
<td>☑</td>
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<tr>
<td>2.11 Recommended Solution</td>
<td>☑</td>
</tr>
<tr>
<td>2.11.1 Rationale for Selection</td>
<td>☑</td>
</tr>
<tr>
<td>2.11.2 Technical/Initial CA-PMM Complexity Assessment</td>
<td>☑</td>
</tr>
</tbody>
</table>

**Note:** The CDT reserves the right to request, at any time, a copy of the fully completed Stage 2 Alternatives Analysis.

**Planned Reporting Exemption (Question)**
For a proposal anticipated to be non-delegated, Agencies/state entities may request for a project to be delegated. Select “Yes” if you anticipate seeking a project delegation request. Each agency/state entity’s project delegation request will be evaluated on a case-by-case basis (as detailed in SIMM Section 19E). Only Agencies/state entities with an acceptable Technology Recovery Plan and an approved Agency Information Management Strategy may submit a Project Approval Lifecycle Project Delegation Request.