
State of California
Department of Technology
Project Delegation Request
Preparation Instructions

Version 3.0

Statewide Information Management Manual – Section 19E

March 2023

INTRODUCTION TO THE PROJECT DELEGATION REQUEST

Overview

The Project Approval Lifecycle (PAL) is divided into four stages, with approval required for each stage. Each stage consists of a set of prescribed, cross-functional, and parallel activities to develop deliverables used as the inputs for the next stage. The gates provide a series of “go/no go” decision points that request only the necessary and known information needed to make sound decisions for that particular point in time. The four stages, which document the business analysis, alternatives analysis, procurement analysis and solution analysis, must be approved by the California Department of Technology (CDT) prior to the encumbrance or expenditure of funds, including the use of staff resources, on any IT project beyond the PAL.

These instructions describe how an Agency/state entity may request an exemption from reporting the results of up to three stages of the PAL (Stage 2 Alternatives Analysis, Stage 3 Solution Development and/or Stage 4 Project Readiness and Approval) to the CDT. Each Agency/state entity’s request for exemption will be evaluated on a case-by-case basis. Exempting an Agency/state entity from reporting to the CDT does not eliminate the requirement to prepare the Stage/Gate deliverables. The requirements for PAL Project Delegation Requests (PAL-PDRs), including the circumstances in which Stage/Gate deliverables must be approved by the CDT, are described in policy contained in State Administrative Manual (SAM) Sections 4819.37 and 4819.38.

A prerequisite to submitting a PAL-PDR is that the proposal must have an approved Stage 1 Business Analysis (S1BA) and the Agency/state entity must have an acceptable Technology Recovery Plan and an Agency Information Management Strategy approved by the CDT. Agencies/state entities must provide sufficient information in the PAL-PDR and any necessary supporting documentation for the CDT to evaluate the business and fiscal factors associated with the proposal. The documentation provided must enable the CDT to understand and concur with the relative need for, cost of, and benefits to be derived from the proposed IT investment. Specifically, the information must establish that the Agency/state entity has the capability and capacity to successfully approve, plan, and execute the project under its own authority.

Project Delegation Request Reporting Requirements

Projects that meet the following criteria are generally reportable to the CDT and require the approval of a PAL-PDR in order for approval authority to be delegated to the Agency/state entity:

- A budget action is required to fund all or part of the IT expenditure.
- The total development cost is above the Information Technology Project Cost Delegation (PCD) established by the CDT.
- 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.
- Any conditions occur that require reporting to the CDT, as previously imposed by the CDT.

If delegated, the following individuals must approve the Stage/Gate deliverables in lieu of the CDT’s approvals:

- Agency Secretary, if the state entity reports to an Agency Secretary

- Agency Information Officer (AIO)
- State Entity's Director or designee (other than the CIO or Budget Officer)
- State Entity's Budget Officer
- State Entity's Information Security Officer (ISO)
- State Entity's Chief Information Officer (CIO)
- State Entity's Enterprise Architect (EA)

The Agency/state entity is responsible for maintaining the PAL's Stage/Gate deliverables to support the Agency/state entity's decisions relative to the project initiative. Documentation in support of internally approved project initiatives should be commensurate with the nature, scope, complexity, risk, and expected cost of the project initiative.

Each request for reporting exemption must be documented using the PAL-PDR as defined in these instructions. Each Agency/state entity must transmit its PAL-PDR to the CDT, after its governing Agency's approval.

The CDT will review each request placing emphasis on the following elements of the project initiative:

- The current business process which is the subject of this project initiative.
- The problem or opportunity prompting this request.
- The business objectives which will solve the problem or realize the opportunity.
- The probable benefits including the programmatic benefits to be achieved by meeting the objectives (tangible and intangible), revenue generation, savings, and cost avoidances.
- The current operations cost of any existing system or program that this project initiative will replace or modify to support programmatic functions.
- The proposed total project cost (one-time costs) and what these costs represent (i.e., personnel, hardware, software, interagency agreements, contracts, etc.).
- The estimated time required to complete the development/implementation effort in days, months, or years.
- The estimated annual cost of operations as defined in the Financial Analysis Worksheet Preparation Instructions.
- Each funding source and the amount of funds anticipated to be allocated for this proposed project.

If the delegation request is not approved, the Agency/state entity must submit the S2AA and remaining Stage/Gate deliverables to the CDT for approval prior to initiating the project.

Each Agency/state entity must formally submit an electronic copy of its PAL-PDR to the CDT per the instructions in SIMM Section 05A.

Any submissions of Project Delegation Request must be checked with the Americans with Disabilities Act (ADA) Web Content Accessibility Guidelines (WCAG) 2.0 validation.

Table of Contents

| | |
|---|---|
| INTRODUCTION TO THE PROJECT DELEGATION REQUEST | 1 |
| Overview | 1 |
| Project Delegation Request Reporting Requirements | 1 |
| PROJECT DELEGATION REQUEST PREPARATION INSTRUCTIONS | 4 |
| MS Word Forms | 4 |
| Stage 1 Business Analysis Transmittal Requirements | 4 |
| Project Delegation Request – General Instructions..... | 5 |
| 1.1 General Information | 5 |
| 1.2 Contact Information | 6 |
| 1.3 Justification for Delegation..... | 6 |
| 1.4 Implementation Approach | 8 |
| 1.5 Governance | 8 |
| 1.6 Schedule | 9 |
| 1.7 Funding | 9 |
| Project Delegation Request Deliverables Summary..... | 9 |
| Project Management Plans by Stage..... | 9 |

PROJECT DELEGATION REQUEST PREPARATION INSTRUCTIONS

MS Word Forms

To ensure California's compliance with the Americans with Disabilities Act as Amended (ADA), the CDT will only support the Project Delegation Request version 3.0 (MS Word form) starting April 1, 2023.

Project Delegation Request version 3.0 Changes:

The Project Delegation Request version 3.0 contains the following changes:

- This form has been recreated in Word for ADA compliance.
- Check boxes are now drop-down fields and/or narrative areas.
- Revamped content to ensure sufficient information is gathered on the form.

Project Delegation Request Transmittal Requirements

All IT proposals for which a PAL-PDR is requested must be submitted using the "Project Approval Executive Transmittal" form as detailed in the following instructions. Based on the State Entity's governing body, approval of the PAL-PDR may depend on the following:

- ✓ State entities are required to sign and submit the Project Approval Executive Transmittal to their governing Agency for approval.
- ✓ Agencies are required to sign and submit the Project Approval Executive Transmittal to the CDT.
- ✓ 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.*

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 S1BA. 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 S1BA. 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 PAL-PDR submission with a Stage 1 Business Analysis, this field should be left blank. The CDT Project Number will be assigned by the CDT upon the Stage 1 Business Analysis receipt. If this is a post-Stage 1 submission, enter the project number issued by 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.

Project Delegation Request – General Instructions

1.1 General Information

1. **Agency or State Entity Name:** Select the agency/state entity name with organization code that prepared and is responsible for the PAL-PDR proposal. Designate one agency or state entity as owner if multiple agencies or state entities have a role in the proposal. The entity selected here or entered in the following question will be used to generate the project number.

If Agency/State entity is not in list, enter here with organization code: Enter the agency/state entity name, along with its [organization code](#), if not included in dropdown list above.

2. **Proposal Name and Acronym:** Enter the proposal name as determined by the agency/state entity. The name should not reflect a system or type of IT solution. If an acronym is not provided, the CDT will create one.
3. **Department of Technology Project Number:** Enter the project number assigned by the CDT during the Stage 1 Business Analysis (in “0000-000” format).
4. **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 Project Justification. This description should be formatted as follows, “(Agency/state entity) proposes to (brief description of the initiative) in order to (or similar verbiage).” This description is used on the CDT’s public website for the project.
 - a. 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 current 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.

5. **Proposed Project Execution Start Date:** Select the proposed **project execution** start date for the requested project proposal.
6. **PDR Submission Date:** Enter the PAL-PDR submission date.

1.2 Contact Information

1. Contact Information

- a. **Contact Name:** Enter the full name of the agency/state entity person who will be the primary point-of-contact for control agency questions and comments.
 - b. **Contact Email:** Enter the email address of the contact provided above.
 - c. **Contact Phone Number:** Enter the ten-digit phone number of the contact provided above.
 - d. **Contact Role:** Enter the role the contact provided above plays on the project.
2. **Project Approval Executive Transmittal:** Attach a copy of the signed Project Approval Executive Transmittal for S1BA to your email submission. Use the transmittal form located in SIMM 19 Section G.1.

1.3 Justification for Delegation

1. Project

- a. **Justification for Delegation:** Provide a concise statement explaining the reason an exemption from reporting is being requested. This justification should elaborate on the Agency/state entity's ability to successfully plan and execute this proposed project within the Agency/state entity's authority. Additional Justification documentation may be included as a submission attachment if needed. Use the drop down box to indicate whether additional justification documentation is attached.
- b. **CDT Project Cost Delegation:** Enter the [CDT Project Cost Delegation](#) dollar amount.

2. Market Research

Market Research ([CDT Market Research Guidelines](#)) determines whether products or services available in the marketplace can meet the business needs identified in this proposal. Market Research can also determine whether commercial practices regarding customizing/modifying products or tailoring services are available, or even necessary, to meet the business needs and objectives of the business.

- a. **Project Management Methodology:** Use the drop-down box to indicate the intended methodology for the effort. Options include:
- Predictive Approach (Waterfall)
 - Adaptive Approach (Agile)
 - Hybrid
 - To be determined
- b. **Market Research Approach (to date):** Provide a concise narrative description of the approach used to perform market research. Use the [CDT Market Research Guidelines](#) as reference material for your description.
- c. **Market Research Artifacts (to date):** Market Research Artifacts can include internet research, collaboration with other governmental entities, or other documentation. Attach Market Research artifacts to the email submission.

3. Procurement

- a. **What is your Department of General Services (DGS) Purchasing Authority?** Use the drop down menu to choose the Tier applicable to the agency/state entity - [List of State Departments with Approved Purchasing Authority \(ca.gov\)](#). Options include:
- Tier 1
 - Tier 2
 - Tier 3
 - Tier 4
- b. **Is this procurement anticipated to be over or under the agency/state entity's assigned Purchasing Authority as delegated by the Department of General Services?** Use the drop-down menu to choose Yes or No.

NOTE: Until this Project Delegation Request (PDR) is approved, all procurement related activities must be discussed with CDT Statewide Technology Procurement (STP), not DGS.

- c. **How many procurements are anticipated (primary and ancillary)?** Enter the number of procurements anticipated. The number of procurements entered here needs to be in alignment with the Financial Analysis Workbook (FAW).
- d. **Which procurement vehicle does the agency/state entity anticipate using for the primary procurement?** Use the drop-down menu to identify the procurement vehicle anticipated for the primary procurement. Options include:
- Request for proposal/Competitive
 - Leveraged Procurement Agreement (LPA)
 - Non-Competitive Bid (NCB)
 - None
- e. **Does the agency/state entity anticipate any procurement risks?** If the agency/state entity anticipates and procurement risks, enter the risks and a short description of the risks.

1.4 Implementation Approach

In the checkboxes provided, identify the approach(es) to be used to implement the alternative.

1. Identify the type of existing IT system enhancement or new system proposed (Select ‘Yes’ or ‘No’ for each).

- Enhance the current system
- Develop a new custom solution
- Purchase a Commercial-off-the-Shelf system (COTS)
- Purchase or obtain a system from another government agency (Transfer)
- Subscribe to a Software as a Service (SaaS) System
- Other, specify in the space provided

2. Identify cloud services to be leveraged (Select ‘Yes’ or ‘No’ for each).

- Software as a Service (SaaS) provided by CDT Office of Technology Services (OTech)
- Software as a Service (SaaS) provided by commercial vendor
- Platform as a Service (PaaS) provided by commercial vendor
- Platform as a Service (PaaS) provided by OTech
- Infrastructure as a Service (IaaS) provided by OTech
- Infrastructure as a Service (IaaS) provided by commercial vendor
- No cloud services will be leveraged by this alternative.
- If no cloud services, provide a description of why in the text box

3. Identify who will modify the existing system or create the new system (Select ‘Yes’ or ‘No’ for each).

- Agency/state entity IT staff
- A vendor will be contracted
- Inter-agency agreement will be established with another governmental agency.
 - Specify Agency name(s).
- Other – provide specifics in the text box

1.5 Governance

1. Attach the signed Project Charter for this effort.

2. Attach the draft Governance Plan for this effort.

1.6 Schedule

1. **Enter the estimated Project Start Date.** Same date as **1.1 General Information**, Question #5.
 - **Enter the estimated Project End Date.**
 - **Attach the high-level Project and Procurement Roadmap.**

1.7 Funding

1. **Estimated Costs – Attach Financial Analysis Workbook (FAW)**

Project Delegation Request Deliverables Summary

The following lists out the required deliverables for the PAL-PDR document to be submitted by the department. Please note that the CDT can receive emails containing a maximum of 25MB of attachments and 1000 files. If your email needs to be split, please let us know during the submission in case the emails are received out of order.

PAL-PDR Deliverable List:

- Project Delegation Request Document
- Project Executive Transmittal
- High-level Project and Procurement Roadmap
- Financial Analysis Workbook

Project Management Plans by Stage

The following plans are due during the PAL-PDR submission:

PAL-PDR:

- Project Charter (Approved)
- Governance Plan (Draft)