PROJECT APPROVAL ~~LIFECYCLE~~REQUIREMENTS – 4819.35

(Revised: ~~01/2016~~ 07/2026)

1. ~~The mechanism for approving IT projects is the Project Approval Lifecycle (PAL). The PAL~~ Information Technology (IT) projects require approval to ensure~~s~~ the projects ~~are~~ undertaken ~~with~~have ~~a~~ strong business case~~s~~, clear business objectives, accurate costs, and realistic schedules.

2. ~~PAL Stage/Gate~~Project approval deliverables~~,~~ for non-delegated and delegated projects must be prepared in accordance with SAM Sections 4922 through 4928, and ~~and~~ must be approved ~~for every IT project prior~~prior to the encumbrance or expenditure of funds ~~on~~for the project, including the use of staff resources~~,~~ beyond the project approval process. Agencies/state entities are ~~required to~~ to follow ~~the~~ SIMM Section 119 ~~instructions~~ for preparing ~~and submitting~~ the ~~PAL Stage/Gate~~project approval deliverables.

3. Project approval deliverables for non-delegated projects are to be approved by the Agency/state entity director (SAM Section 4921) prior to submission to the Department of Technology for approval.

4. For projects whose approval is delegated to the Agency/state entity's director, project approval deliverables will be prepared following SAM Sections 4922 to 4928, with the analyses, project approval deliverables, and signed documents indicating approval by the Agency/state entity director retained by the Agency/state entity.

5. For any project in the project approval process the Department of Technology:

- Will review the procurement planning information in the project approval deliverables, as applicable, to evaluate the proposed IT procurement strategy.
- Reserves the right to review specifications in the procurement documents before they are advertised to ensure that the specifications are consistent with the solution requirements and proposed architecture in the project approval deliverables or project variance deliverables. See SAM Section 5211.

6~~3~~. If~~,~~ during project development or implementation, the Agency/state entity finds that program requirements cannot be adequately satisfied by the course of action described in the ~~approved Stage 4 Project Readiness and Approval~~ project approval deliverables and that an alternative course of action is more appropriate, SAM Section 4819.36 requires a Special Project Report (SPR) be prepared. SAM Sections 4945 and 4945.2 provide SPR reporting and submission requirements, content, and format guidelines. SIMM Section 30 Special Project Report provides instructions for preparing the SPR.

NOTE: ~~(SAM Sections 4945-4945.2 and SIMM Section 30) shall be prepared.~~ No

encumbrance or expenditure of funds, including the use of staff resources, shall be made to implement such change or alternative course of action until the SPR is approvedal ~~has been received~~(SAM 4945).

~~from the Department of Technology, or from the Agency/state entity director if the Department of Technology has delegated approval of the project to the director and the project remains within the limitations of the Agency/state entity's delegated authority. SPRs that must be submitted to the Department of Technology must be transmitted within 30 days after recognition of the situation that necessitates preparation of the SPR.~~

~~Agencies are required to follow the instructions for preparing and submitting the SPR.~~

~~In the event an SPR approved by the Department of Technology results in a procurement that exceeds the Department of General Services Delegated Purchasing Authority, the procurement will be subject to the Department of Technology/~~CDT, ~~Office~~Statewide Technology Procurement Division (STPD) approval.

~~4. Projects subject to approval by the Department of Technology (non-delegated projects) require submission of PAL Stage/Gate deliverables (beginning at the Stage 2 Alternatives Analysis through the Stage 4 Project Readiness and Approval) to the Office of the Legislative Analyst. See~~

~~5. The Department of Technology will review the procurement planning information in the Stage 2 Alternatives Analysis, as applicable, to evaluate the proposed IT procurement strategy.~~

~~6. Projects whose approval has been delegated to the Agency/state entity's director normally require all PAL Stage/Gate deliverables to be prepared in accordance with SAM Section 4928 and approved by the Agency/state entity director (SAM Sections 4921 and 4927). A copy of the analysis, and a signed document indicating approval by the Agency/state entity director, must be on file in the Agency/state entity.~~

~~7. The Department of Technology may decide to review specifications in procurement documents before they are advertised to ensure that the specifications are consistent with the solution requirements and proposed architecture in the PAL Stage/Gate deliverables or SPR for the projects. See .~~