PROJECT SUBMISSION FORM
For Central Management Information Systems Projects

***Instructions:** Complete this form and e-mail it, and any other requested documents, to the chair of the CMIS Advisory Committee: Diana Blake (dkblake@ksu.edu).*

Project Name:	Controllers - CY03 Revisions to Educational Tax Credit Reporting (TRA 97)	**Date:**	December 9, 2003
Submitted By:	Jim Bach		

1. Points of Contact

Indicate the individuals responsible for sponsoring, planning, and implementing this project.

Position	Name and Department	Phone	E-mail
Project Sponsor	Keith Ratzloff – Controllers Office	2 –6210	klr@ksu.edu
Project Manager	Jim Bach – Controllers Office	2 -1820	jbach@ksu.edu
Functional Lead	Jim Badders – Controllers Office	2 -1828	jbadders@ksu.edu
Technical Lead	Maggie McGurk-Kramer	2-4787	mmk@ksu.edu

2. Business Problem

Provide a brief description of the business problem.

In order to comply with the federal Tax Payer Relief Act of 1997 (TRA 97) and report educational tax credits to KSU students and to the Internal Revenue Service, annual software updates must be received from the IRS and implemented in BRS and our local print jobs. These updates are required to be implemented within a short period of time during the December/January timeframe in order to provide recipients of 1098T's with accurate data in a regulated format. An inability to complete this project within this timeframe would result in non-compliance with the IRS and in the loss of goodwill with affected students and parents.

3. Statement of Work

Describe the overall goal of the project. The statement should be short, precise, and clear.

The Controller's Office must distribute accurate 1098T's forms to eligible KSU students and to the IRS within federally mandated reporting deadlines.

4. Project Objectives

Provide a brief list of what the project is to accomplish (maximum of 5 objectives). Along with the statement of work, the objectives define the boundaries (scope) of the project. Objectives may be both short and long term.

1) Successfully receive the TRA 97 revisions from SCT at the end of the calendar year and install them in BRS.
2) Test the accuracy of summary financial data on the 1098T and the detail transactional data provided in KATS.
3) Revise the form template as necessary to ensure that financial and student profile data is reported accurately.
4) Mail 1098T forms to recipients no later than January 31, 2004.
5) Ensure that an electronic file of data is successfully transmitted to the IRS no later than March 31, 2004.

5. Regulatory or Policy Mandate

If this project is a result of a regulatory or policy change, place an "x" in the appropriate column below. Attach a separate document (e.g., Federal or State statute, university policy, etc.), or provide a URL to a website that can provide detailed information about the regulatory or policy change.

	Federal	State	University
Regulatory - http://www.irs.gov/individuals/article/0,,id=96341,00.html	X		N/A
Policy			

6. Institutional and Information Technology Strategies

Briefly describe how this project relates to K-State's institutional and IT strategic direction. Refer to the CMIS website (www.ksu.edu/infotech/cmis) for information on K-State's institutional and IT strategies.

Alignment with institutional strategies:

Completion of project will ensure regulatory compliance while successfully addressing the student service objectives of the university.

Alignment with IT strategies:

Project will leverage information assets to serve students and staff (Item #1 on IT Strategy)

7. Estimated Project Schedule

Provide estimated start and end dates for each major phase of the project. See definitions of project phases below.

Project Phases	Est. Start Date (Mo./Yr)	Est. End Date (Mo./Yr)
Concept	Nov 3, 2003	Nov 17, 2003
Planning	Nov 18, 2003	Nov 30, 2003
Implementation	Dec 1, 2003	Apr 30, 2004

<u>Definition of Project Phases</u>
Concept: Establishes the conceptual view and general definition of the project and includes the CMIS Advisory Committee submission, review, and approval process. Estimate the time required to prepare and submit the Project Submission form to CMIS, plus two weeks for CMIS to review and render a decision.

Planning: Activities include developing a detailed Project Plan/Work Breakdown Structure (WBS). The Project Plan/WBS should define the tasks and estimate the time, cost, and resource requirements for the project.

Implementation: Includes project start-up, execution, and close-out activities described below.

*During project **start-up** the Project Team is formed, a kick-off meeting is conducted, and requirements are reviewed. The Project Plan/WBS should be finalized and approved by the Project Sponsor, Steering Committee, and Executive Computing Committee as appropriate.*

*Upon receipt of necessary approvals, the Project Team **executes** the Project Plan/WBS. Project activities are tracked, monitored, and communicated. The Project Plan/WBS is reviewed and updated on a regular basis. Activities also include change control, risk management, and issue identification.*

Close-out *activities include user acceptance of project deliverables, conducting a lessons learned session, completion of project documentation, and celebration of project completion.*

8. Functional and Technical Resources

Indicate all functional and technical resources and estimated person hours required for this project. List the type and number of resources (e.g., functional expert, application programmer, database administrator, system administrator, etc.). Include new positions if needed and place an "x" in the "New Resource" column. For assistance with technical resource estimates contact the appropriate IT unit. See the CMIS website (www.ksu.edu/infotech/cmis) for a list of current IT contacts. Add additional lines if needed.

Type of Resource	Number of Resources	New Resource	Estimated Person Hours
Project Manager – Jim Bach	1		10
Functional Team Lead – Jim Badders	1		30
Functional Team Member - Theresa McCarthy	1		284
Functional Team Member – Jan Michaelis	1		10
Functional Team Member – Ron Semarge	1		30
Technical Team Lead – Shirly Unekis	1		24
Technical Team Member – Maggie Kramer-McGurk	1		64
IDMS DBA Team Lead – Karen Noffsinger	1		32
IDMS DBA Team Member – Judith Gordon	1		32
Functional Team Member – Bryan Boutz	1		20
Grand Total – Estimated Hours			536

9. Out-of-Pocket Costs

Provide estimated out-of-pocket costs by fiscal year and indicate types of expenditures (e.g., hardware, software licensing, consulting services, etc.). Add additional lines if needed.

Fiscal Year	Type of Expenditures	Est. Low	Est. High
FY	Not Applicable	$	$
FY		$	$
FY		$	$
Grand Total – Estimated Costs		**$**	**$**

10. Project Funding

If this project has out-of-pocket costs indicate source(s) and amount of funding.

Source of Funds	Amount
Administrative Department or College	$ Not Applicable
IT Department	$
Central IT (VPAST)	$
Separate Project Funds	$
Other: (Describe)	$
Don't Know	$
Grand Total	$

11. Project Dependencies and Relationships

List other major projects that must either precede or follow this project. Also list other projects, if done concurrently, which could result in an over-commitment of resources.

Other major projects that must precede this project:

Project is not dependent on the outcome of other projects.

Other major projects that must follow this project:

Other projects are not dependent upon the outcome of this project

Other major projects, if done concurrently, could result in an over-commitment of resources: Not a significant conflict at this time.

12. Risks and/or Consequences

Briefly describe the risks and/or consequences of not doing this project, or if the project cannot be completed within the estimated timeframe indicated in Section 7. Include impact on operations, students, staff, other systems, etc.

An inability to complete this project within this timeframe would result in non-compliance with the IRS and in the loss of goodwill with affected students and parents.

13. Planned System Retirement

If this project will have a major impact on a system that is planned for retirement within the next two years, explain why this change must be completed prior to system retirement.

The IRS may issue revisions to the reporting of student educational tax credits on an annual basis. KSU must be in compliance with these revisions in our active system at the end of the calendar year. BRS will be the active system at the end of this reporting period.

14. Other Information

Provide any other information you feel is important about this project.

Not applicable.