1.0 Purpose:

In support of OSI Policy on Project Management #OSI-AP-08-03, this procedure establishes the process by which projects are planned. The process begins with project readiness and ends with planning phase review. The purpose of the Project Planning Phase is to identify and document scope, business requirements, tasks, schedules, costs, risk, quality, and staffing needs.

2.0 Definitions and References:

2.1 Acquisition Life Cycle: The Acquisition Life Cycle begins with the decision to acquire a product/service. It includes all the activities necessary for the Project to solicit, evaluate, and award a contract to a vendor for a new/revised system after obtaining approvals and funding for development, implementation, and ongoing operations of the system.

2.2 Budget Change Proposal (BCP): A proposal to change the spending authority for project activities authorized by the DOF. A BCP is also required for any current year changes in spending authority. The DOF annually issues a Budget Letter with specific instructions for preparing BCPs. The term BCP can be used in a generic sense to refer to both the fall and spring process documents, or to specifically refer to the fall process document (the spring process document is referred to as a spring finance letter).

2.3 Feasibility Study Report (FSR): The state approval document required for initial project approval that contains analyses of options, cost estimates and other project information. The format of the FSR is dictated by the OCIO.

2.4 Implementation Advance Planning Document (IAPD): The IAPD is used as a project approval. If the federal government decides to fund the project in phases, the IAPD Update is then used as funding document for the Development and Implementation, and Maintenance and Operations
phases. The IAPD, customized to meet state requirements, is sometimes accepted in lieu of the FSR.

2.5 Information Technology Capital Plan (ITCP): the ITCP is a plan that identifies departments’ proposed IT investments, their business goals and objectives, infrastructure replacement plans, and summary information concerning existing approved reportable projects.

2.6 Information Technology Procurement Plan (ITPP): The ITPP is a mandated document that describes the strategy the project will use in procuring good and services from a vendor.

2.7 Master Project Management Plan: A formal document that defines how the project is Executed, Monitored and Controlled, and Closed. The Master Project Plan includes or references other detailed plans including:

2.7.1 Cost Management
2.7.2 Quality Management
2.7.3 Staff Management
2.7.4 Communication Management
2.7.5 Risk Management
2.7.6 Procurement Management
2.7.7 Contract Management
2.7.8 Governance with Issue Escalation and Resolution Process
2.7.9 Configuration Management
2.7.10 Change Management

2.8 Office of Systems Integration: The Office of Systems Integration (OSI) provides project management services for the California Health and Human Services Agency. The OSI also provides standards, guidelines, policies and procedures for the efficient, effective and successful initiation, planning, execution and closure of these projects.

2.9 Planning Advance Planning Document (PAPD): A PAPD is used for reimbursement for planning phase costs for the Initiation, Planning and Procurement phases of a project. The federal government requires the State obtain prior written approval prior to conducting a procurement. Upon selection of a vendor and agreement on project costs, the project submits an Implementation Advance Planning Document (IAPD).

2.10 Project Funding Approval Life Cycle: The Project Funding Approval Lifecycle describes the process by which departments receive authorization to undertake an Information Technology Project. The purpose of this process is to establish the business case for the investment of resources in the project and to analyze and justify its costs and benefits. The approach will vary depending upon whether state or federal funding will be requested, both of which require the creation of specific project and funding approval documents. Control agency project
and funding approval must be received before beginning work on the project or expending any funds.

2.11 Other References:

2.11.1 Information Technology (IT) Oversight Framework

2.11.2 Project Management Body of Knowledge (PMBOK) Third Edition, Project Management Institute (PMI)

2.11.3 Office of Systems Integration, Best Practices Website (BPWeb)
http://www.bestpractices.osi.ca.gov

3.0 Roles and Responsibilities:

3.1 Project Manager: The Project Manager is responsible for developing the Master Project Plan along with the Project Sponsor. The Project Manager will also manage both the Project Funding and Acquisition life cycles.

3.2 Project Sponsor: The Project Sponsor is responsible for advocating for the project at the executive level and with control agencies and stakeholders.

3.3 Project Team: The Project Team is responsible for performing the tasks defined for them in the staff management portion of the Master Project Management Plan.

3.4 California Department of Finance (DOF): Budget Unit– Analysts from the Department of Finance will participate in an oversight capacity during development of the initial project funding approval requests.

3.5 Office of the California Information Officer (OCIO): Analysts from the OCIO will participate in an oversight capacity during development of an information systems project to ensure that it meets State requirements and is consistent with the Information Technology Capital Plan.

4.0 Procedure:
Note: Not all project activities are sequential and many are iterative based on the project needs.

<table>
<thead>
<tr>
<th>ACTIVITY</th>
<th>DESCRIPTION</th>
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<tbody>
<tr>
<td>1. Conduct Project Readiness</td>
<td>The Project Manager uses the authority of the Project Charter to officially begin the process of shaping the project. The Project Manager will begin to organize the Project Office infrastructure, environment, tools and</td>
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</tbody>
</table>
assemble the project team in preparation of
the project beginning with awarded
contractor.

2. Develop Master Project
Management Plan

The Project Manager begins development of
the Master Project Management Plan. The
Master Project Management Plan is a formal,
consolidation of project planning documents
that is used to manage and guide both
project execution and project control. It forms
the basis for all project management efforts
associated with the project. The Master
Project Management Plan integrates and
coordinates each of the project management
plans to create a consistent, coherent
document.

3. Approve the Master
Project Management Plan

The Project Manager will present the Master
Project Management Plan to executive
management for review, buy-in and approval
of the plan.

4. Manage the Project
Funding Approval Process

The Project Manager will manage the project
funding approval process.

State Funding: Developing the Feasibility
Study Report (FSR), and Budget Change
Proposal (BCP).

Federal Funding: If this is federally funded
project, begin development of the Planning
Advance Planning Document (PAPD) or
Implementation Advance Planning
Documents (IAPD).

Refer to the Project Funding Approval Life
Cycle for further details.

The project is not official until both the
Feasibility Study Report AND the Project
Funding documentation has been approved.

5. Manage the Acquisition
Process

The Project Manager will manage the project
acquisition process. This begins with the
drafting of the Information Technology
Procurement Plan. Refer to the Acquisition
Life Cycle for further details.
6. Complete Planning Phase Review and Lessons Learned

The Project Manager contacts all participating stakeholders to review and document lessons learned in the planning phase.

5.0 Revision History

History of document changes, whether they are minor typographical errors, major improvements, or re-engineering efforts.

<table>
<thead>
<tr>
<th>Date</th>
<th>Revision Number</th>
<th>Change</th>
</tr>
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<tbody>
<tr>
<td></td>
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