

	<p align="center"><b>PMO PROCEDURE</b></p> <p align="center"><b>Control Number: OSI-AP-08-12</b></p>
<p align="center"><b>Project Planning Procedure</b></p>	<p align="center"><b>Effective Date: August 28, 2008</b></p>

### 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

[http://www.cio.ca.gov/Government/IT\\_Policy/pdf/IT\\_OvrsghtFrmwrkR2-25-04s.pdf](http://www.cio.ca.gov/Government/IT_Policy/pdf/IT_OvrsghtFrmwrkR2-25-04s.pdf)

### 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.

## **ACTIVITY**

## **DESCRIPTION**

### **1. Conduct Project Readiness**

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

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.

<b>Date</b>	<b>Revision Number</b>	<b>Change</b>
	1.0	New Procedure