Wave 1 CDT External Training

Adopting PLAN-IT for Project Planning and Approval Needs
Objectives

• Executive Overview
  • PAL Policy and How We Get Here
  • What’s New in PAL and What’s Not
  • Creating a Winning Team
  • Getting Help with PLAN-IT

• PAL Content and Functionality
  • Demonstration
  • Stage 1 Business Analysis
  • Stage 2 Alternative Analysis
  • Stage 3 Procurement Analysis
  • Stage 4 Contract Execution and Project Readiness
  • Engaging with CDT using PLAN-IT
  • Project Delegation Request

• Break
PAL Policy and How We Got To Now
PAL Objectives

PAL is designed to improve the planning, quality, value, and likelihood of IT Project Success.
Top Issues Departments Face

- Contract management and vendor negotiations – Stage 2-4
- Data conversion and migration – Stage 2-4
- Governance and sponsorship – ALL
- Interface planning and implementation – Stage 2-4
- Organizational change management – ALL
- Quality assurance and quality control – ALL
- Release management – Stage 4
- Requirements definition and management – ALL
- Risks and issues – ALL
- Schedule – ALL
- Testing – Stage 4
- Architecture planning – ALL

Plus….
Alignment with Budget Cycle
Why does CDT require formal planning?

• GC 11546
• https://leginfo.legislature.ca.gov/faces/codes_displaySection.xhtml?lawCode=GOV&sectionNum=11546.
• We want to improve the likelihood of project success!!
PAL SAM and SIMM

• SAM 4900 – Management Policy
  • [http://sam.dgs.ca.gov/TOC/4900.aspx](http://sam.dgs.ca.gov/TOC/4900.aspx)

• SIMM 19 – Guidelines and Standards
  • [https://cdt.ca.gov/policy/simm-19/](https://cdt.ca.gov/policy/simm-19/)
PAL SAM Use

• SAM 4800/4900
  • 4819.2 IT Project Definition
    • Over 500 Hours
  • 4819.37 Project Reporting Criteria
    • Budget Change Proposal (BCP)
    • Legislative Action
    • Over Department’s Delegated Cost Threshold
      • https://cdt.ca.gov/project-approvals-and-oversight-contact/
    • Some other direction by CDT
### Job Aide - IT Project Oversight Sample Scenarios

<table>
<thead>
<tr>
<th>Scenario</th>
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<tbody>
<tr>
<td>A</td>
<td>B1</td>
<td>B2</td>
<td>B3</td>
<td>B4</td>
<td>C1</td>
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<tr>
<td>Examples</td>
<td>New system or existing legacy system replacement</td>
<td>Adding new functionality on existing system (i.e. accounting function)</td>
<td>Extending, removing or replacing existing functionality (i.e. new license type)</td>
<td>External testing system using IaaS (i.e. case management)</td>
<td>Internal testing system using IaaS (i.e. external asset tracking)</td>
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<td>IT Project vs. Non-IT Project</td>
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<td>IT Project</td>
<td>IT Project</td>
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<td>Non-Delegated - Legislation - BCP - Above Delegation Per AIO request</td>
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<td>Visibility / Notification to (C1)</td>
<td>PAL (51 to 54) with CDT and DOF</td>
<td>PAL (51 to 54) with CDT and DOF</td>
<td>PAL (51), then seek project delegation via PAL or Project Delegation Request (PDR)</td>
<td>PAL (51 to 52), then seek project delegation via PAL</td>
<td>No PAL – see TL 23-01 COTS/SS Project Approval Delegation</td>
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<td>PAL coordination between CDT and Agency</td>
<td>Agency Portfolio - Agency manages portfolio and reports to CDT/DOF on a monthly basis</td>
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<td>BCP (if any)</td>
<td>S2 to 54, BCP w/CDT/DOF</td>
<td>S2 to 54, BCP w/CDT/DOF</td>
<td>PDR and BCP w/CDT/DOF</td>
<td>S2 and BCP w/CDT/DOF</td>
<td>BCP (if any) w/CDT/DOF</td>
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<td>Independent Project Oversight (IPO)</td>
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<td>Independent project Oversight (IPO)</td>
<td>CDT, in consultation</td>
<td>CDT, in consultation</td>
<td>CDT/DOF ITCU, if Non-Delegated</td>
<td>CDT/DOF ITCU, if Non-Delegated</td>
<td>Agency project health monitoring</td>
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</tbody>
</table>
Job Aide - IT Project Oversight Sample Scenarios

Definitions SAM Section 4819.2

Information Technology Project: A unique endeavor involving activities required to plan, design, develop, implement, operate and maintain an Information Technology (IT) solution that meets a specific and measurable policy or programmatic objective. IT projects include the entire systems development lifecycle from project initiation through the normalized operational cycle. IT activities related to the refresh of non-data center hardware required to operate an IT project shall not be considered an IT project. See SAM Section 4819.37 for Project Delegation Criteria.
Relationship Between Lifecycles
When can I request resources?

- **Planning Funding for PAL Stages 2, 3, and 4** can be requested with approved S1BA.
- **Project Funding (Executing Process Phase activities)** can be requested in a separate BCP with an approved S2AA.
Overall Structure of PAL

STAGE 1  BUSINESS ANALYSIS
Proposal
Business Need & Objectives
AIO/Strategic Alignment
Stakeholder Management
Risk Assessment and Funding

STAGE 2  ALTERNATIVES ANALYSIS
Discovery/Exploration & Market Research
Recommended Solution
Project Management/ Org. Readiness
Costs, Financial Analysis Workbook

STAGE 3  PROCUREMENT ANALYSIS
Procurement and Solicitation Readiness
Build and Conduct Solicitation
Solicitation Conclusion
Evaluation Summary Report & Notice of Intent to Award

STAGE 4  CONTRACT EXECUTION & READINESS
PART A
Cost Baseline
Contract Management, Execution
Vendor Onboard

PART B
Governance
Management Plan Updates & Readiness
Baselines

PLAN-IT also includes the IT Determination and the Project Delegation Request

California Department of Technology
When can I request resources?

On cycle vs off cycle
Let’s Review – What is PAL?

• Now I know that PAL fits into the PM lifecycle during the ______, ______, and ______ phases.
• PAL is designed to ________ the planning, quality, value, and likelihood of IT Project Success.
• The PAL Framework has _____ stage/gates.
• If I want my new product/service delivered January 1, 2020 – when should I have started planning?
Creating the Winning Team
Leadership is Critical

- Senior Leadership
  - Facilitate alignment around business drivers
- Executive sponsors
  - Set a clear strategy and direction
- Program Managers
  - Establish attainable priorities
- Project Directors
  - Create an environment of trust and accountability
- Project Managers
  - Make difficult decisions in a timely manner
- Team Leads
  - Drive results
Core Team Concept

Your Core Team is a sub-team of the PAL Development Team that will drive the gathering and reporting of PAL information and analysis.
California Department of Technology (CDT) will involve Critical Partners from across the organization as well as other state coaching agencies (DOF) in the review of PAL documents. We can pull from anywhere in CDT for expertise!
Roles & Responsibilities of the PAL Manager

• The CDT PAL Manager ensures that the State entity is:
  • Developing a reasonable and defensible approach to achieving project objectives
  • Identifying and mitigating risk
  • Addressing all planning needs consistent with statewide strategies, policies, and procedures
  • Progressing through the project approval process on a schedule appropriate to the project’s objectives

• The CDT PAL Manager:
  • Primary analysis & recommend approval through PAL stages
  • Facilitates the collaboration of the CDT critical partners
  • Communicates lessons learned and provides examples that may impact the project
  • Provide guidance, recommendations and coaching in performing project planning activities
  • Identify needs related to resources, templates, and policies relative to project delivery
  • Advises control agencies on project proposals
What’s New in PAL, What’s Not, and What’s Coming Soon...
PAL Product Roadmap

generation: PAL 1.0
purpose: Replace FSR
birthday: September 2013
goals:
• Improve the quality, value, and likelihood of success for IT projects undertaken by the State of California. (TL 14-07)
• Divide the Project Approval Lifecycle into four stages (Stage 1 Business Analysis, Stage 2 Alternatives Analysis, Stage 3 Procurement Analysis and Stage 4 Solution Analysis) each separated by gates of approval.

generation: PAL 2.0
purpose: Add Microsoft Word Forms
launch: October 2017
goals:
• Alleviate a major “pain point” for departments by eliminating InfoPath.
• Re-format Stage 1 and 2 into Microsoft Word based on user feedback.
• Streamline Stage 1 questions.
• Integrate questions to evaluate reportability.
• Eliminates the Stage 2 Preliminary Assessment.

generation: PAL 3.0
purpose: Improve user experience for the Project Planning and PAL process
launch: Fall 2018
goals:
• Support bi-directional data exchange between department and CDT.
• Promote project information sharing.
• Provide tools to support meaningful planning for all projects.
Summary of Stage Changes

• Stage 1:
  • Emphasis on a long term vision of the project, including a roadmap
  • Connecting Stakeholders to business needs or objectives

• Stage 2
  • Greater flexibility on formats of attachments
  • Questions specific to project approach (Agile, Waterfall)

• Stage 3
  • Focuses on the procurement exclusively
  • Removed content related to Stage 2 and/or 4 deliverables

• Stage 4
  • Vendor onboarding
## Stage 1 Paper versus PLAN-IT

<table>
<thead>
<tr>
<th>PAL 2.0 - Paper</th>
<th>Included</th>
<th>PAL 3.0 - PLAN-IT Tabs</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.1 - General Information</td>
<td>✓</td>
<td>Contacts, Sponsor, Proposal</td>
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<tr>
<td>1.2 - Submittal Information</td>
<td>✓</td>
<td>Executive Transmittal, Assignments</td>
</tr>
<tr>
<td>1.3 - Business Sponsorship</td>
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<td>Sponsors Proposal</td>
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<td></td>
<td></td>
<td>Business Need Stakeholder Management</td>
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<td>1.4 - Stakeholders</td>
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<td>Proposal</td>
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<td>1.5 - Business Program</td>
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<td>AIO Supplement</td>
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<td>1.6 - Business Alignment</td>
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<td>Readiness</td>
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<td>1.7 - Project Management</td>
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<td>Risk Assessment</td>
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<td>1.8 - Critical Assessment</td>
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<td>Funding</td>
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<td>1.9 - Funding</td>
<td>✓</td>
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<td>1.10 - Reportability Assessment</td>
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**New**

*Project Approach*
## Stage 2 Paper versus PLAN-IT

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<tr>
<td>2.1 - General Information</td>
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<td>Carried Forward from Stage 1 – General Information</td>
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<tr>
<td>2.2 - Preliminary Submittal Information</td>
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<td>Moved to Stage 1 – Readiness</td>
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<tr>
<td>2.3 - Stage 2 Preliminary Assessments</td>
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<td>Moved to Stage 1 - Risk Assessment</td>
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<td>2.4 - Submittal Information</td>
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<td>Executive Transmittal, Assignments</td>
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<tr>
<td>2.5 - Baseline Processes and Systems</td>
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<td>Discovery, Discovery Continued</td>
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<td>2.6 - Mid-Level Solution Requirements</td>
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<td>Exploration of Existing Options, Updates Required</td>
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<tr>
<td>2.7 - Assumptions and Constraints</td>
<td>✔</td>
<td>Recommended Alternative Information</td>
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<tr>
<td>2.8 - Dependencies</td>
<td>✔</td>
<td>Alternative Comparison</td>
</tr>
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<td>2.9 - Market Research</td>
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<td>Exploration of Existing Options, Market Research Summary, Alternative identification, Alternative Comparison</td>
</tr>
<tr>
<td>2.10 - Alternative Solutions</td>
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<td>Exploration of Existing Options, Market Research Summary Alternative Identification, Alternative Comparison, Recommended Alternative Solution</td>
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<td>2.11 - Recommended Solution</td>
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<td>Implementation Methodology</td>
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<td>2.12 - Staffing Plan</td>
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<td>Project Management and Organization Readiness, Procurement Readiness</td>
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<td>2.13 - Data Conversion/Migration</td>
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<td>Alternative Comparison, Data Conversion/Migration</td>
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<tr>
<td>2.14 - Financial Analysis Worksheets</td>
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<td>Cost Summary</td>
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**New** | Risk Assessment |
## Stage 3 Paper versus PLAN-IT

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<td>Executive Transmittal, Assignments</td>
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<td>3.6 - Procurement Profile</td>
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<td>3.7 - Stage 3 Solution Requirements</td>
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<td>Technical Discovery Update (if applicable)</td>
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<td>3.8 - Statement of Work (SOW)</td>
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<td>Procurement and Solicitation Readiness Part A (1)</td>
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<td>3.9 - Proposed Procurement Planning and Development Dates</td>
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<td>Procurement and Solicitation Readiness Part A (1)</td>
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<td>3.10 - Procurement Risk Assessments and Dependencies</td>
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<td>3.13 - General Information</td>
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<td>3.14 - Part B Submittal Information</td>
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<td>3.15 - Solicitation Package and Evaluation Readiness</td>
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<td>3.17 - Protest Processes</td>
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## Stage 4 Paper versus PLAN-IT

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<td>4.6 - Primary Solicitation Results</td>
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<td>4.8 - Contract Management</td>
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<td>4.11 - Requirements Baseline</td>
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<td>4.12 - Schedule</td>
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<td>4.13 - Public Contract Code (PCC) 6611 Readiness</td>
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## Reporting Exemption Request (RER) versus Project Delegation Request (PDR)

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<td>Cost Information</td>
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<td></td>
<td>New</td>
<td>New Implementation Approach</td>
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What will Not be Changing in PAL

• CDT will continue to support departments through guided development using critical partner representatives

• Resources for completing analysis of PAL are available in the Project Management Framework

• Stages will still require approval from CDT in numeric order

• CDT continues to recommend the use of a “core team” to jointly conduct and document the analysis

• CDT will provide approval letters for each completed Stage and for the Project Delegation Requests

• The A.5 Agency/State Entity Portfolio Report remains in Excel tool
A Look at PAL 3.0 – Objectives

• Focus departments on **effectively planning projects**

• **Improve the user experience**-
  • A “guided” experience to plan projects
  • Interactive and intuitive experience
  • Online development, tracking, and submission of reportable IT projects online.

• **Promote real time collaboration between department and CDT**

• **Embed guidance and direction for convenient access**

• **Streamline to highest value data**

• **The right information at the right time**
Getting help with PLAN-IT

• In-Person Training Offered Just-in-Time
• Each project will still have a dedicated PAL Manager
• Website Resources
  • Artifact Examples
  • Reference materials

System Assistance: PlanITHelp@state.ca.gov

• Subscribe to PAL notifications to keep up with everything PLAN-IT!
  • https://cdt.ca.gov/subscribe-to-notifications/
End of Executive Overview of PLAN-IT

• Questions?
• Thank you for Coming!
• 10 Minute Break
PLAN-IT Demonstration!

Let’s Get Down to Work
Terminology

• **Workflow** – refers to the series of questions that have a distinct beginning and a submission that encompass one of the 4 PAL stages, IT determination or the Project Delegation Request

• **Collaborative Pane** – refers to the right hand information pane in each workflow that allows users to invite additional users to work in a workflow or to document communication

• **Dashboard** – refers to the main site of the solution which allows users to see, access, filter existing workflows or to create new workflows

• **View** – refers to the customized filtering/choice of columns to display on the Dashboard

• **Tab** – refers to the top list of sections associated to each workflow

• **Hover Tip** – refers to the floating information blurb that displays with additional information on the fields in each workflow

• **Action Menu** – (…) – menus that appears before each workflow line item on the dashboard
DEMO
Department of Drone Oversight

Premise: The state legislature is concerned regarding the use of drone aircraft in California and has established the Department of Drone Oversight within the California Transportation Agency. This was signed into law by the Governor. Within this legislation, the department is mandated to maintain a system of records of drone ownership, permits and licenses.

Reportability Factors: New department will need funding for the project and the system is mandated by legislature.

Delegated Cost Threshold: $100,000

Scenario A
Each row is a Stage identified in the system as Workflow Name.

Columns are fields from the workflows:
- Customizable by filter
- Other Columns available
- Filtered views can be saved
- Pre-set views are available

Drop down to select the stage workflow.
General Structure of the Workflow

Stage 1

Welcome to the Stage 1 Business Analysis (Stage 1, S1BA) stage of the Project Approval Lifecycle (PAL) process.

Stage 1 is intended to facilitate planning activities related to understanding and agreeing on business needs, opportunities, and measurable business objectives.

The basis for Stage 1 is user research and the outputs include a high level business roadmap that details large groups of work (Epics) necessary to satisfy objectives. Stage 1 also identifies key project roles including users, stakeholders, sponsors, and product owners. Last, Stage 1 facilitates organizational readiness for continued planning activities.

Information gathered during Stage 1 may be derived from a project charter or form the basis of a project charter. Stage 1 information will also form the basis for all other planning stages.

* Denotes a required field

Application Control Menus

Navigation Tabs

Collaboration Pane Tabs

Action Buttons
Functionality: Starting to Collaborate

• To begin collaboration, push “Save Progress”
• Go to the Collaboration Pane “Settings”
• Type in the user name to share the workflow
  • NOTE: The intended collaborator must be registered with PLAN-IT
• Setup the privileges for the collaboration
  • Member: Can read only completed fields and make comments (Use this to collaborate with CDT)
  • Editor: Able to update fields/add content (CDT should not be an editor)
  • Admin: Able to delete the workflow (Department only)
• Subscription to comments gives you various options
  • How many notifications do you want to receive?
Action Menu Functions (... Menu)

- **Cancel Request**: Maintains the record but changes the status to cancelled
- **Documents**: Pulls up all attachments to the workflow
- **Edit**: Select fields are opened for immediate edit – where you left off
- **Edit Request**: Opens selected Workflow/Stage
- **Reassign**: Feature at the System Admin level
- **Remove**: Deletes the Workflow. Only available to Workflow Admins
- **View History**: Pulls up list of when it was updated and by whom
Starting a Workflow

• Use the “Workflow” dropdown to choose: the IT Determination, the Stage, or the Project Delegation Request (PDR) – click “Create”

• Every stage has an introduction with general instructions about the content and features of the workflow

• Navigate using either the Tabs at the top or the Next button at the bottom

• The right hand side is the “Collaboration Pane”

• Save Progress is important! It not only saves but makes the work available in the Collaboration pane
  • Makes the Collaboration pane available for all invited people
  • Assigns unique Workflow #, i.e., “Stage 1 – 00021” – you will need this # later
Starting Up with Stage 1

• Prior Stage Review tab
  • This allows you to connect to the Stage 1 Preliminary Assessment or to record changes made. This is more likely a feature you will need to take advantage of in Stages 2 through 4

• Navigate as needed using the tabs or the “next” action button on the bottom.

• Begin filling in the form!
Stage 1 Business Analysis
S1 Content Expectations: Contacts

• Identify the individual who can easily access knowledgeable people regarding the project.
  • Best Practice: Use a PMO/Project Manager resource

• Project Manager:
  • If the contact is not the assigned Project Manager, the contact information for the Project Manager is also requested – not mandatory in S1

• Why Is CDT asking for a Project Manager in Stage 1?
  • Lessons learned from PAL to-date have found that treating the development of the proposal as a project leads to faster successful completion of the process
S1 Content Expectations: Proposal

• **Highlights**
  - Project Name
  - Summary of why the project is needed
  - Identifies High level timeline goals
  - Identifies Mandates
  - Details the Program Context

• **CDT is looking for:**
  - Succinct summary that answers the question: Why Now?
  - Realistic planning timelines
  - Sufficient context regarding the program to identify the business functions of the organization, general size and the benefit the organization have towards meeting the mission of the department.

• **NOTE:** Use the internal prompts and tool tips for guidance!
S1 Content Expectations: Sponsorship

• Executive Sponsor
  • The main individual whose in charge of ensuring the project will be a success and the business needs are met
    • Recommend this be an impacted business area executive or higher to make decisions

• IT Sponsor
  • The main individual able to coordinate resources to support IT analysis, data management, and technology leadership for the project
    • Recommend this be the Chief Information Officer

• Business Sponsor
  • These are the internal state government leaders of the business areas impacted by the business need who will help coordinate resources for business analysis and serve as experts in the business during the project
    • Recommend these include business area executives such as deputies
S1 Content Expectations: Business Need

• Identify the Business Need (Problem or Opportunity)
  • Highlight the magnitude of the issue; what cannot be done in the mission as a result of the problem
    • NOTE: Lack of a system is not considered a business problem
    • Each Business Need (Problem/Opportunity) needs at least 1 Objective

• Associate a Product Owner that will monitor the Business Need/Objectives to make sure the business need is addressed by the solution
  • Why just one? Although many projects will have multiple functions impacted by a problem, identifying a single owner to monitor each Business Need creates accountability
S1 Content Expectations: Business Need

• Specify **Objectives** using SMART features
  • Identify stakeholders that would be impacted by the outcome of the objective
  • Why do we want stakeholders here?
    • This ensures alignment of the objectives to real needs of impacted groups/individuals
  • Why do we need to associate this to a milestone/Epic?
    • This ensures that the objective is directly tied to work products that are time-bound and achieved by the project itself
    • NOTE: This is directly tied to the Project Approach Tab!

• Legislation
  • Associate legislation to objectives
  • If there is legislation tied to the project, one of the obvious goals of the project is to make sure the intent of the legislation is met
S1 Content Expectations: Visibility

• Identify organizations that will likely follow the project as it progresses
  • Specify the dynamics that may occur such as special hearings, public requests for information, etc.
  • Why are we asking this?
    • A major piece of planning the project is managing the communication and stakeholders who will be involved or will monitor the project

• Identify if there are penalties/consequences if the project cannot be completed
S1 Content Expectations: AIO Supplement

• If Agency affiliated:
  • Intent
    • This captures strategic alignment information
      • Ensures that the project is aligned with the priorities of the organization
      • Identifies a clear benefit to the state

• Review of the Section
  • The review of this section will fall on the AIO when there is one in the organization.
    • Agencies are more closely in tune with enterprise priorities
  • Non-affiliated organizations information will be reviewed by CDT Project Approval management
S1 Content Expectations: Project Approach

• Intent
  • Identifies a High-level Roadmap of specific steps to get the organization from having a business need to having a solution to that need

• History
  • As project approaches have evolved the value of having a roadmap has proven successful for all types of Waterfall, Hybrid and Agile project
  • CDT now requires this level of planning

• Best Practices
  • Answer the question as this section is developed: At the end of the project, what will the organization be able to accomplish?
S1 Content Expectations: Stakeholder Management

• Intent
  • Identifies high level steps to ensure that business owners, sponsors and end users are taken into consideration as part of the planning of the project
  • This reduces the risk that a solution is chosen and/or implemented that does not address the business needs of the users or business area

• Best Practices
  • These steps are initial steps in understanding project governance needs and staff planning
  • Review resources available in the Project Management Framework and proactively engage leadership to gain their insights into what the project will accomplish and how the organization should be involved.
S1 Content Expectations: Risk Assessment

• Intent
  • Mitigate Project risks
  • Understand business complexity factors

• Why are we asking for this in Stage 1?
  • Whether it is budget availability, legislation, or resources, Project risks can occur from the beginning. By proactively evaluating risks early, the project will be better prepared to address these risks and move forward faster

• Best Practices
  • Evaluate and document risks that impact the planning first. Consider funding, resource availability, timing, and external factors such as lawsuits or legislation which may occur during the planning process.
S1 Content Expectations: Readiness

• Intent
  • Identifies the resource readiness for completing the remainder of the Project Planning Process

• Use the check boxes to identify the resources already identified and to assess which resources are still required

• Note: The roles identified as check boxes are the recommended roles CDT has identified as being most useful for completing the planning process/
S1 Content Expectations: Funding

• Intent
  • This tab articulates the funding sources available to the project and assists in aligning the project timeline to funding availability

• NOTE: It is highly encouraged to engage the budget office in the identification of the potential funds and timelines for availability
Sign-Offs and Transmission

• The PLAN-IT application offers 2 approaches for executive approvals for submitting completed Stages to CDT
  • Use existing manual/paper process to Upload a scanned, signed SIMM 19 G.1 Executive Transmittal with the appropriate signatures
  • Use the built in routing and approval process that identifies the required approvers, allows for the review of work, and transmission of the completed information to CDT

• Intent: The 2 operations provide greater flexibility to departments
S1 Demonstrations

• How to initiate collaboration
• Re-opening a workflow
• Routing for Approval
Stage 2 Alternative Analysis
Functionality: Connecting Stages Together

• As a means to identify related workflows, it is important to connect them together

• This is accomplished by entering the workflow number (Stage x - 00001) from the first workflow for the project to future workflows.

• The advantage of this: it allows you to sort and filter projects using the dashboard.
S2 Expectations: Discovery

• Intent
  • Captures user documentation used to identify the business requirements for the system.
  • This is divided into User and Technical components
  • Identifies & analyzes internal systems for usability

• Highlights
  • Provides ideas and captures user research on existing processes and needs
  • Identifies data information, security and existing system information that should also be considered for the new solution
  • Captures the initial version of requirements to be used for researching alternatives
S2 Expectations: Exploration

• Intent
  • This is an initial form of alternative research that focuses on solution alternatives that are already in the Public sector in house, other state or other types of governments such as local or federal agencies

• Why are we asking this?
  • If a government agency already owns a potential solution, it may reduce costs, provides valuable lessons learned on how to complete similar projects or procurements

• NOTE: Potentially a government owned solution may be the right solution to meet the business needs
S2 Expectations: Market Research Summary

• Intent:
  • Market research is the alternative solution research specifically for solutions that can be purchased in the open market.

• Highlights
  • Provides a high level summary of the type of research completed
  • Captures research documentation

• NOTE: There are substantial online resources linked within the Market research section to assist you in the analysis
S2 Expectations: Updates Required?

• Intent
  • During the initial stages of solution alternative analysis, it is likely that additional requirements or revised requirements will be identified.

• Why are we asking this question?
  • The analysis leading to choosing a solution is an iterative process. The PLAN-IT application is designed to guide departments through planning. By including these update points, “true up” of information becomes part of the progress of moving the project forward.
S2 Expectations: Alternatives Identification

• Intent:
  • Identifies the alternatives that will be explored further
  • Establishes the comparison criterion and gaps between the criterion and how each alternative compares to the business need

• Highlights
  • Identifies the names of the alternatives
  • Specifies 4 department-determined criterion that will be used to equally compare alternatives
  • Identifies the “gap” of how the alternative meets the business needs
S2 Expectations: Alternatives Comparison

• Intent
  • Dynamically facilitate the comparison of the top 3 alternatives in order to assist in making a well informed decision on a recommended solution

• Highlights
  • This is a comparison table that prompts for solution type
  • Describes the components of the solution
  • Describes the required resources
  • Describes the implementation approach needed
  • Captures the Rough Order of Magnitude (ROM) $ for the solution
S2 Expectations: Recommended Alternative Information

• Intent:
  • Captures the rationale for the selected alternative, as well as specifics to how the project will be organized, and the type of technology

• Highlights
  • Rationale for selection
  • Technology Type
  • Implementation Approach
S2 Expectations: Roadmap Updates

• Intent
  • The roadmap is a visual tool that ties the business needs to how the technology will meet those business needs over time. This ensures that the IT solution is a sound investment for the State

• Highlights
  • Updated start and end dates
  • Provides the opportunity to update the roadmap – features and timeline
  • High level project schedule for implementing the solution
S2 Expectations: Implementation Methodology

• Intent:
  • Articulates how the recommended solution will be implemented in the project.

• Highlights:
  • Captures a high level narrative on the approach to be taken
  • Aligns the approach to a defined project organization method to Waterfall, Agile or a Hybrid.
  • Captures organizational readiness assessment information if Agile or Hybrid approaches are chosen
S2 Expectations: Professional Services & Acquisition Approach

- **Intent**
  - Outlines the procurement needs of the project and how those needs will be met

- **Highlights**
  - Contains a matrix that identifies different responsibilities or needs in a project and aligns those needs to resources within the state or to be acquired through a procurement
  
  - **NOTE:** Soft copy versions of the matrix tool is available in PLAN-IT to assist in gathering this information.
Nearly everything that is done during the planning phase impacts the project’s procurement.
S2 Expectations: Professional Services & Acquisition Approach

Procurement types:
• Formal – RFP, IFB
• Informal – RFQ, Fair & Reasonable
• Leveraged Procurement Agreements – RFO
• Non-Competitive Bid – NCB
• Service Requests
S2 Expectations: Project Management & Organization Readiness

• **Intent**
  • Captures the initial governance and project planning information needed to make the project a success

• **Highlights**
  • Captures statuses of various project plans
  • Captures the Project Charter
  • Captures the Project Organization chart
  • Allows for the upload of plans and other planning artifacts

• **NOTE:** Embedded into the tab are links to the Project Management framework and other resources that can assist in tailoring project management to the needs of the project
S2 Expectations: Data Conversion/Migration

• Intent
  • Captures the plan for integrating existing data is planning for migration and conversion activities

• Highlights
  • Identifies the plans needed for major data governance activities
    • Data Cleanup + Data Conversion + Data Migration

• Why is this important?
  • Data governance, cleanup and migration are risks that can delay projects or reduce the quality of the solution if not properly planned for in the execution.
S2 Expectations: Risk Assessment

• Intent
  • Captures the planning necessary to mitigate risks that could derail the project

• Highlights
  • Captures the Project’s Project Management Risk
  • Captures Project Complexity
  • Captures the Risk Management Strategy
  • Captures the initial risk Registry
S2 Expectations: Recommended Alternative

• Intent
  • Aligns the business functions to specific technology components in order to validate that the solution will meet the business needs

• Highlights
  • Identifies the technology
  • Identifies business functions embedded
  • Identifies the types of data to be stored and security measures to be used
  • Identifies the data management strategy including ownership/custodianship
S2 Expectations: Cost Summary

• Intent
  • Captures the rough order of magnitude $ amount for the recommended solution in order to assess the monitory value of the proposed IT investment

• Highlights
  • Captures project costs for planning, implementation, and continuing costs
  • Captures the Financial Analysis Worksheets associated with the top three alternatives explored in the alternatives analysis
S2 Expectations: Procurement Readiness

• **Intent:** Assess the readiness of the organization to begin work on the activities of the Stage 3 Procurement Development

• **Highlights**
  - Contains questions on resources
  - Organization experience with Procurement vehicles to be used
  - Organization experience with Procurement types

• **Why is this needed?**
  - This assists CDT and the submitting organization to identify areas where CDT can be of help, establish timelines and to mitigate risks associated with procurements.
Stage 3 Procurement Analysis
S3 Expectations: Procurement and Solicitation, Part A (1)

• Intent
  • Ensures alignment of the procurement activities with best practices including identification of primary and ancillary solicitation components such as method of solicitation, length of contract, anticipated $ amount, and the SOW.

• Highlights
  • Solicitation Identifier
  • Solicitation Contact Person
  • Procurement Scope statement
  • Anticipated Length of Contract
  • Planned Payment Milestones/Activities
  • Identify whether the procurement is a Primary or Ancillary (Support)
  • Provide cost information

• Why is this important?
  • These steps will ensure that the procurement is appropriate for the project.
S3 Expectations: Procurement and Solicitation, Part A (2)

• Intent
  • Identify and plan for potential procurement risks including internal and external, as well as financial protection measures

• Highlights

• Things to Consider:
  • Project complexity rating
  • Financial protections to the state (i.e., progress payments, performance bonds, letter of credit).
S3 Expectations: Procurement and Alignment to Planning

• Procurement
  • Statement of Work – Are business requirements aligned to the SOW
  • Payment Model/Milestones – Are milestones in the SOW aligned to Project Milestones in the Schedule
  • Progress metrics – Do they align with Stage 1 Objectives
  • Supplier Onboarding – Are Onboarding Needs Addressed in Project Management Plans
  • Evaluation Criteria – Are the priorities of the project aligned to the rating criterion?
  • Acquisition Vehicle – Is the Vehicle aligned to the Procurement Availabilities in Stage 2
S3 Expectations: Build and Conduct Solicitation, Part B

• Intent
  • Ensures readiness to proceed with the release of the solicitation

• Highlights
  • Contains a checklist of items that need to be reviewed with your STP Official and PAL Manager prior to finalizing the Solicitation Package

• Things to Consider
  • Depending on the method of procurement, validate there are potential bidders.
  • Does the solicitation package include all the information necessary to complete the procurement? Consult with the procurement official if the department has questions.
  • Has the evaluation methodology been determined?
  • Is the bidder’s library complete, if applicable?
S3 Expectations: Solicitation Conclusion, Part C

• Intent
  • This assists in telling the story of the procurement and the award process of the contract. Please note that this overlaps with Stage 4.

• Highlights
  • Final CDT-approved Evaluation and Selection Report (ESR) and Notice of Intent to Award (NOI)
  • Technical Discovery Update
  • Contract Management Readiness
  • Updated Procurement Documentation

• Things to Consider
  • Documenting the steps to move through the procurement process
  • Outcome of procurement (i.e., evaluation report, selected contractor)
S3 Expectations: Technical Discovery Updates

• Intent
  • In the event that more detailed user stories or solution level requirements are needed to complete the development of the procurement vehicles, this documents the changes to the requirements.

• Highlights
  • Checklist of technical areas that may need updates
  • Upload opportunity for additional technical requirement specifications

• Items to Consider when updating Technical Discovery
  • Environment
  • Data Specifications
  • Security
S3 Expectations: Contract Management Readiness

• Intent
  • Validates the availability and capability of identified contract manager resources.

• Highlights
  • Identifies contract managers for each contract
  • Identifies availability of the resources
  • Identifies experience/growth areas related to managing the contracts

• Things to Consider
  • Has a Contract Manager been identified and trained on responsibilities?
  • Has a date been scheduled for the post-award and kickoff meeting?
  • Has a plan been created and put in place to collect and assess contractor and project performance on a regular basis?
Stage 4 Contract Execution and Readiness
• Intent
  • Finalizes the results of the solicitation

• Highlights:
  • Captures the statuses of any protests received

• Things to Consider:
  • Timeline changes
  • Causes of the Protests
  • Requires the S1BA submittal to CDT
S4 Expectations: Primary/Ancillary Solicitation Results

• Intent
  • Documents the results of the solicitations

• Highlights
  • Captures Contract Dates
  • Awardees
  • Contract Values

• Things to Consider
  • Remember to include all contract costs in the amounts provided
  • If there are ancillary contracts remember to include the type of goods/services to be provided
S4 Expectations: Cost Baseline

• Intent
  • Captures the final cost information for the IT solution

• Highlights
  • Planning costs versus Stage 2 estimates
  • Project costs versus Stage 2 estimates
  • M&O and Continuing Costs versus Stage 2 estimates
  • Finalized Financial Analysis Worksheets

• Things to Consider
  • Remember to align the FAWs to the financial numbers included in PLAN-IT
S4 Expectations: Contract Management

• Intent
  • Validates that contract management resources and needs are prepared

• Highlights
  • Checklist of items to be considered for the approval

• Things to Consider
  • Align the responses to the Contract Management plan
S4 Expectations: Vendor Onboarding

• Intent
  • Validates readiness for vendors to begin the work on the project

• Highlights
  • Provides a checklist of steps to consider in onboarding
  • Identifies the planned activities

• Things to Consider
  • Remember to keep the timeline of the project in mind
  • Remember to engage the vendors to ensure vendor representatives have the devices and resources needed to begin work
S4 Expectations: Part B: Baselines and Readiness

• Intent
  • Finalizes project management artifacts to launch the project successfully

• Highlights
  • Check list of likely plans needed
  • Opportunity to upload updated plans

• Things to Consider
  • Remember to align the plans to the project organization methodology (i.e. Waterfall, Agile, or Hybrid)
  • Remember to include escalations, resource locations and review resources linked on the tab to validate best practices are being used
S4 Expectations: Governance and Funding

• Intent
  • Validates readiness for project decision making and funding availability

• Highlights
  • Check list of governance components
  • High level narratives specific to governance
  • High level status information regarding Funding

• Things to Consider
  • Work with your budget office to validate funding statuses
  • Align the project management plans to the narratives identified for governance
  • Align the governance to the project organization approach
S4 Expectations: Conditions

• Intent
  • Validates that conditions identified in the planning process placed on the project have been completed

• Highlights
  • Reviews all conditions
  • Provide statuses on meeting these conditions

• Things to Consider
  • Remember to identify when the condition was met
  • Identify how condition was satisfied
S4 Expectations: Organization and Project Readiness

• Intent:
  • Organization Readiness is a key to project success, this assists the organizations in finding resources to be leveraged for governing changes to systems and to making the changes for business.

• Highlights:
  • Identification or articulation of existing processes that can be leveraged for IT governance
  • Identification of processes to be leveraged for understanding business
  • Identification of processes to be leveraged for organization change management

• Things to Consider:
  • Speak with Enterprise governance groups to see what is available
  • Check out IT support documents for existing systems to see if this can be updated for the current initiative
  • Involve internal training and policy to make sure everyone is aware of the plans
S4 Expectations: Project Approach Readiness

• Intent
  • Validates the readiness to pursue the project strategy chosen

• Highlights
  • Questions regarding staff preparation
  • Questions on changes to the organization to support the strategy

• Things to Consider
  • Consider the alignment of the approach to the Project Plans and governance
  • Consider the roles of the project team members
  • Consider agreed upon timeframes
S4 Expectations: Requirements Baseline

• Intent
  • Identifies the scope for the approval of the project

• Highlights
  • Upload the final set of business requirements that will be used to trace the functionality of the system to meeting business needs

• Things to Consider
  • Remember: This is the baseline scope for the project and will be used for the comparison by CDT Oversight during project execution
  • This should reflect the changes to the requirements that may have occurred during the solicitation preparation and negotiation processes
S4 Expectations: Schedule Baseline

• Intent
  • Identifies the final project schedule that will be used as the approval baseline for the project

• Highlights
  • Captures estimated and final dates for Planning, Project and the start of Maintenance and Operations as well as differences
  • Captures a summary of factors leading to the differences
  • Captures the final Microsoft Project master schedule

• Things to Consider
  • The final schedule should be integrated with loaded resources
  • The schedule should identify milestones and deliverables
  • The schedule should align to roadmaps and to the project organization strategy
Engaging CDT Using PLAN-IT

• Guided Development
  • CDT will assign a Project Approval Manager and Critical Partner team with the submission of a Stage 1 Business Analysis
  • Engage CDT using the Collaboration Pane to share progress and gain in time guidance on developed content and suggestions

• Once Formally Submitted
  • CDT received the output document of the completed stage
  • CDT will formally complete and document the Scorecard
    • NOTE: this is a tool that will be used throughout to provide ongoing guidance)
Project Delegation Request
PDR: What is this used for?

• Intent
  • The PDR is a means to request delegated status for low complexity projects that meet one of the criterion for non-delegated status

• Highlights
  • The online workflow mirrors the paper version of the form
  • The instructions for the paper form supplement the guidance in PLAN-IT
Project Delegation Request

• Highlights
  • Justification
  • Procurement Strategy
  • Workplan
  • Implementation Strategy
  • Organizational readiness
  • Costs

• Things to Consider
  • Provide information regarding the Organization’s capacity and competency in delivering the project
  • Focus on planning the project….not getting out of planning of the project
Next Up: Hands on Workshop

• Please return from lunch in 60 minutes
• We will be moving into our Hands On Workshop
  • First we will use the workbook to do some hands on learning in the TRAINING ENVIRONMENT
  • We will close out the training with a one on one collaboration with your Project Approval Manager to give you hands on experience with your existing project - in the PRODUCTION ENVIRONMENT.
• Questions before lunch?
Thank You for Participating!
Reference Links:

- SIMM 19: [https://cdt.ca.gov/policy/simm-19/](https://cdt.ca.gov/policy/simm-19/)
- Delegated Cost Threshold (IT) (DCT): [https://cdt.ca.gov/project-approvals-and-oversight-contact/](https://cdt.ca.gov/project-approvals-and-oversight-contact/)
- DGS – California Procurement & Contracting Academy: [http://www.dgs.ca.gov/pd/Programs/CalPCA.aspx](http://www.dgs.ca.gov/pd/Programs/CalPCA.aspx)
- CDT IT Training Courses: [https://cdt.ca.gov/workforce-development/course-schedule/](https://cdt.ca.gov/workforce-development/course-schedule/)
- CDT IT Academies: [https://cdt.ca.gov/workforce-development/project_academy/](https://cdt.ca.gov/workforce-development/project_academy/)
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