Project Approval Lifecycle Training –
Stage 1
Office of Statewide Project Delivery

CA Department of Technology

Create Your Own Job Aid

Capture ideas for follow-up. Use a bright sheet of paper to jot down key information.

I will use this:	Look this up later:	My reference list:
Tools and information I can use right away.	Concepts I want to explore later on my own.	References I want to keep for future use.

What Will Be Covered Today

- This training covers
  - PAL's role in IT Project Delivery
  - Role of "Critical Partners" and "Core Team" in PAL
  - Stage 1 Business Analysis

- This training will not address
  - General Business Analysis Techniques
  - Procurement Training
  - Analysis of your specific project

Additional Training

- Business Analysis
  - Business Analysis Body of Knowledge (BABOK)-based training programs
    - https://cdt.ca.gov/workforce-development/course-schedule/
- Procurement
  - Department of General Services, California Procurement & Contracting Academy (Cal-PCA)
- Project Management
  - California Project Management Framework (CA-PMF)
  - Project Management Body of Knowledge (PMBOK)

Up First…

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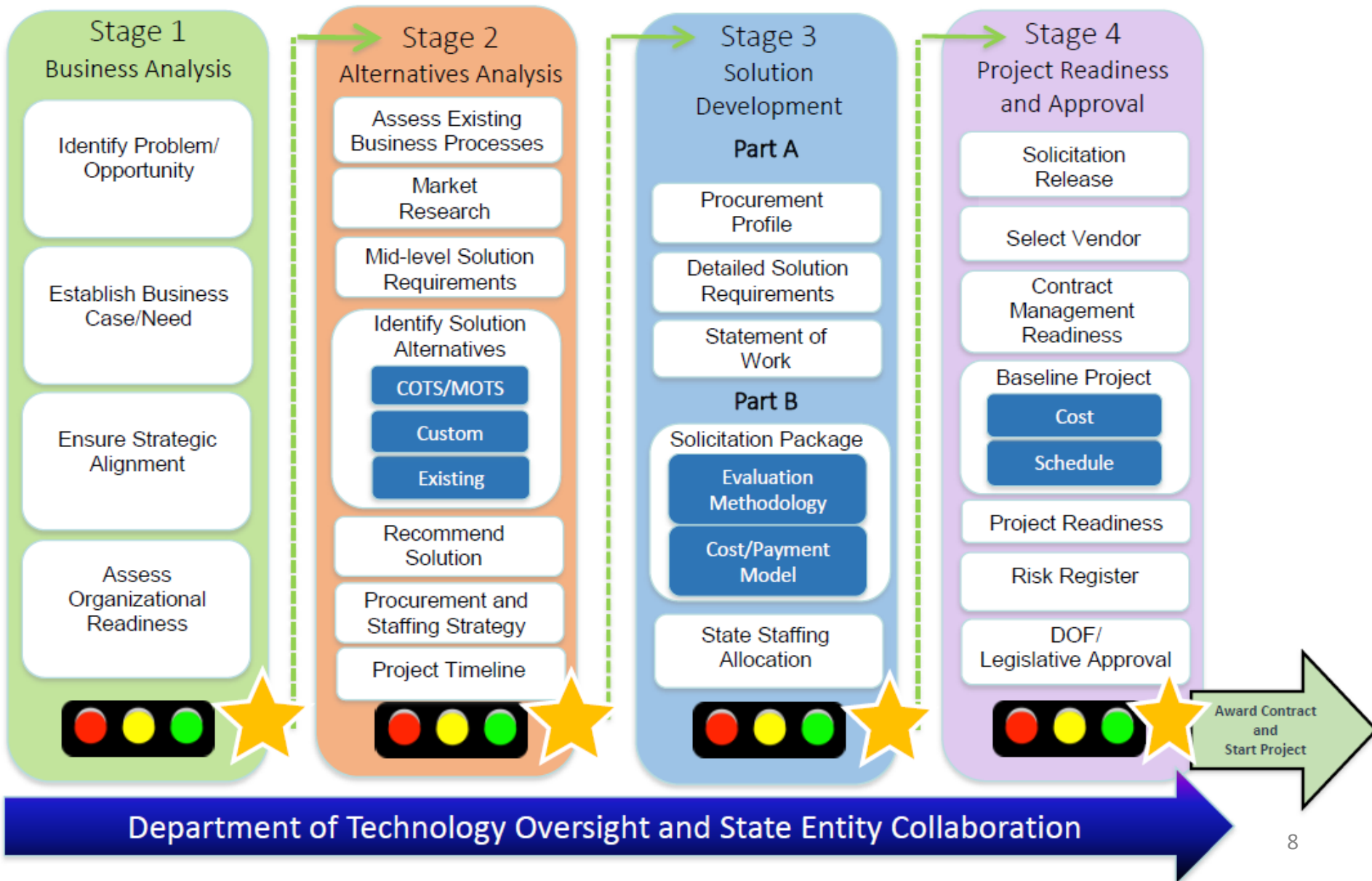 - Project Management

Top Issues Departments Face

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

CA Statewide IT Project Delivery

- Stage 1 – Business Analysis (Project Concept)

  For Departments reporting to an Agency, approval is delegated to AIOs (TL 16-08)

  Others need CDT approval (30 Day target)

- Stage 2 – Alternatives Analysis (Project Alternatives)

- Stage 3 – Solution Development (Procurement Planning)

- Stage 4 – Project Readiness & Approval (Project Readiness)

  – Recently released (TL 16-07)

Project Approval Lifecycle

Stage 1
Business Analysis

- Identify Problem/Opportunity
- Establish Business Case/Need
- Ensure Strategic Alignment
- Assess Organizational Readiness

Stage 2
Alternatives Analysis

- Assess Existing Business Processes
- Market Research
- Mid-level Solution Requirements
- Identify Solution Alternatives
  - COTS/MOTS
  - Custom
  - Existing
- Recommend Solution
- Procurement and Staffing Strategy
- Project Timeline

Stage 3
Solution Development

Part A

- Procurement Profile
- Detailed Solution Requirements
- Statement of Work

Part B

- Solicitation Package
  - Evaluation Methodology
  - Cost/Payment Model
- State Staffing Allocation

Stage 4
Project Readiness and Approval

- Solicitation Release
- Select Vendor
- Contract Management Readiness
- Baseline Project
  - Cost
  - Schedule
- Project Readiness
- Risk Register
- DOF/Legislative Approval

Award Contract and Start Project

**Department of Technology Oversight and State Entity Collaboration**

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# PAL is Flexible

The Project Approval Lifecycle is flexible.

- PAL is an iterative process that allows for progressive elaboration as the project team learns more in future stages.
- When appropriate, conditional approval may be granted.

Stage/Gate Model Transition

Previous FSR Process

Concept Statement

FSR

RFP

SPR

Project Oversight
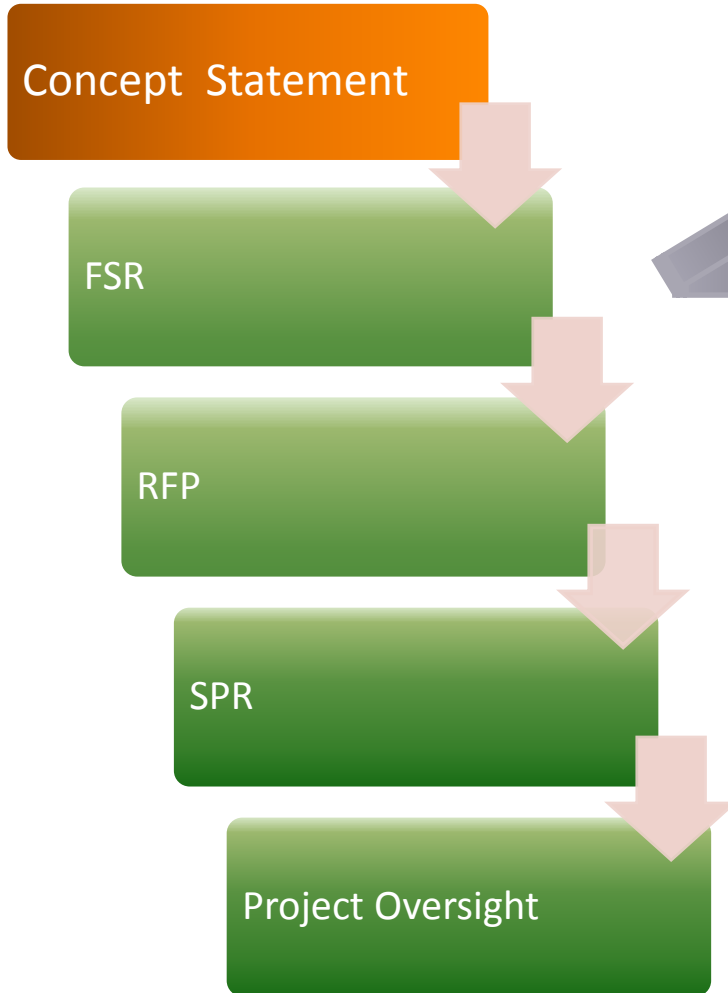
Current Stage Gate Process

Stage 1 Business Analysis

Stage 2 Alternatives Analysis

Stage 3 Solution Development

Stage 4 Project Readiness & Approval

Project Oversight
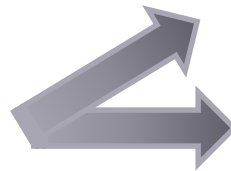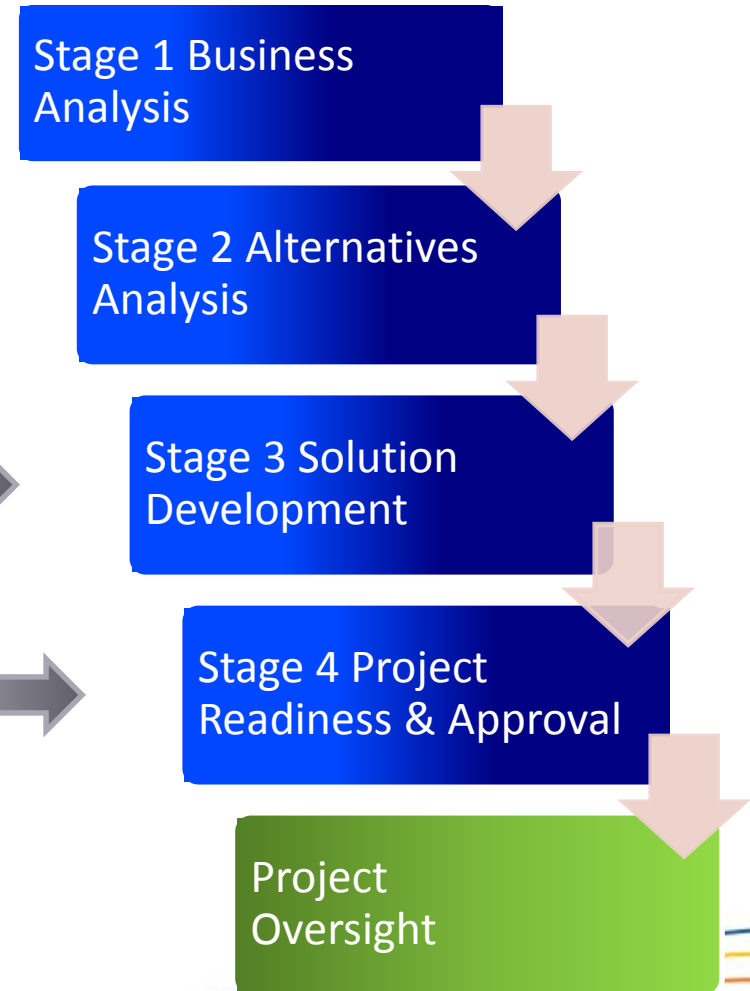
Feasibility Study Report versus Stage/Gate Model Crosswalk

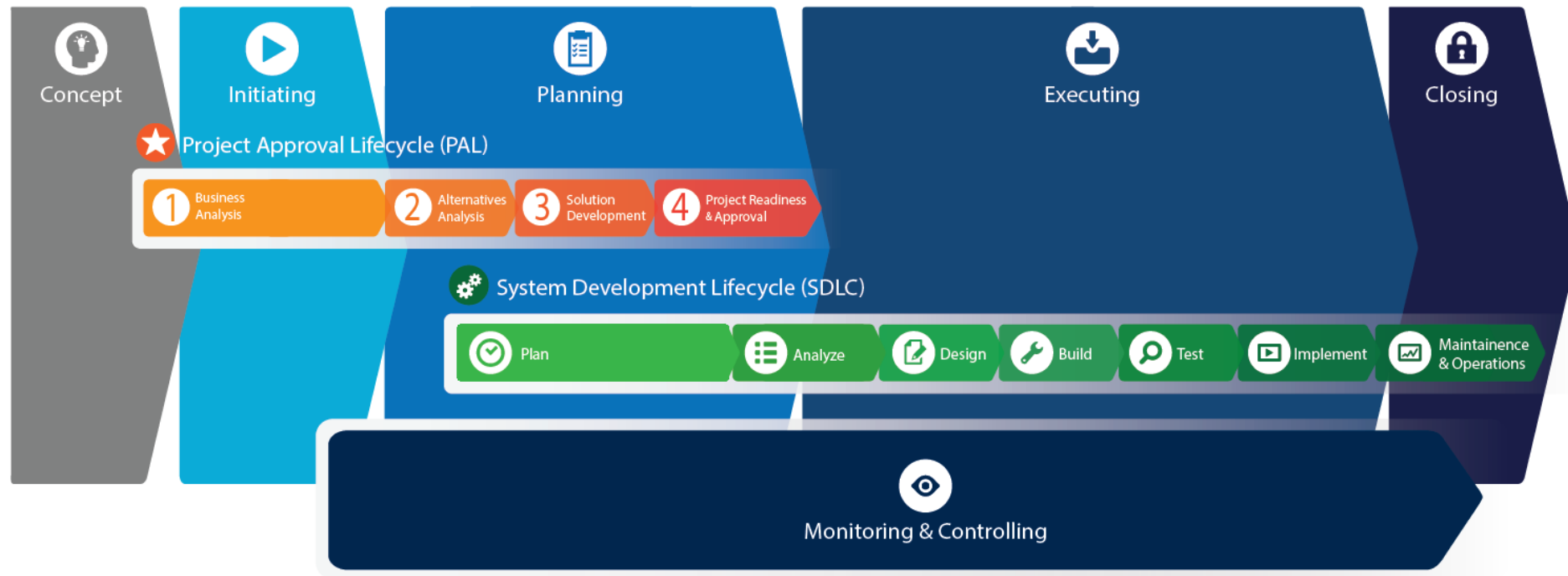| Feasibility Study Report	Stage/Gate Model	New Elements
1.0 Executive Approval Transmittal	**Stage 1** **Business Analysis**	1.3 Preliminary Assessment
2.0 Information Technology Project Summery Package		1.3.2 Impact Assessment
3.0 Business Analysis		1.11 Business and Stakeholder Capacity
4.0 Baseline Analysis	**Stage 2** **Alternatives Analysis**	1.12 Organizational Readiness 1.12.1 Governance Structure 1.12.2 Leadership Participation 1.12.3 Resource Capacity/Skills/Knowledge 1.12.4 Training and Organizational Change Management 1.12.5 Enterprise Architecture 1.12.6 Project Management
5.0 Proposed Solution		
6.0 Project Plan (initial)	**Stage 3** **Procurement Analysis**	
7.0 Risk Register		
8.0 Economic Analysis Worksheets	**Stage 4** **Solution Analysis**	Economic Analysis Worksheets
9.0 Business Functional Requirements		Requirement Guidelines

Relationship Between Lifecycles

Project Determination Scenarios

	Scenario A	Scenario B1	Scenario B2	Scenario C	Scenario D	Scenario E
Examples	New system or Legacy system replacement	Adding new functionality on existing system (i.e. accounting function)	Extending, removing or replacing existing functionality on existing system (i.e. new license type)	Mobile App or internal software asset tracking system	Nominal enhancements to existing functionality (i.e. Change Request)	Infrastructure Upgrade not related to a business solution project
IT Project vs. M&O	IT Project	IT Project	M&O	IT Project	M&O	M&O
Reportability Criteria: - **Legislation** - **BCP** - **Above Delegation**	Any of the three	Any of the three	Any of the three	None of the three	None of the three	Any or None of the three
Type	Reportable	Reportable	M&O	Non-reportable	Non-reportable	Non-reportable
Visibility / Notification to CDT	PAL (S1 to S4) with CDT/DOF	PAL (S1 to S4) with CDT/DOF	No PAL – CDT will need info from the Department Portfolio Report to support a BCP or NCB	No PAL – see TL 15-01:COTS/SAAS PROJECT APPROVAL DELEGATION	No PAL	No PAL – CDT will need info from the Department Portfolio Report to support a BCP or NCB
Project Approval Lifecycle (PAL) – Stage Gate						
PAL	Agency Portfolio, report to CDT/DOF on monthly basis				N/A	Agency

This is a tool for Departments to use to identify what constitutes a reportable project.

https://cdt.ca.gov/wp-content/uploads/2017/02/IT_Project_Determination_Scenarios.pdf

PAL Policies and Forms

- PAL guidelines and forms are located in the Statewide Information Management Manual (SIMM):

  – SIMM 19 Project Approval Lifecycle

  ** Find a **PAL Training Library** here with the slide deck from today's presentation, along with PAL samples, examples, and other resources.

  https://cdt.ca.gov/policy/simm-19/

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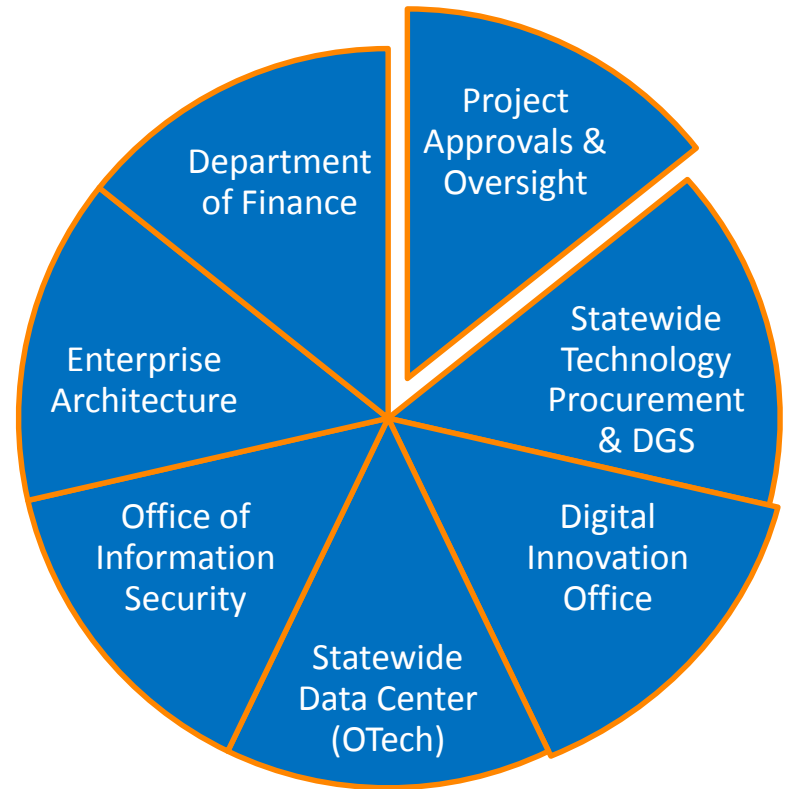 - Analysis of your specific project situation
  - Project Management

Stakeholder Involvement is Key

An important part of the PAL process is ensuring that all the right stakeholders are involved in the planning of your project.

CDT Critical Partners

California Department of Technology (CDT) will involve Critical Partners from across the organization as well as other state control agencies for example, Department of Finance (DOF) and Department of General Services (DGS), in the review of PAL documents.
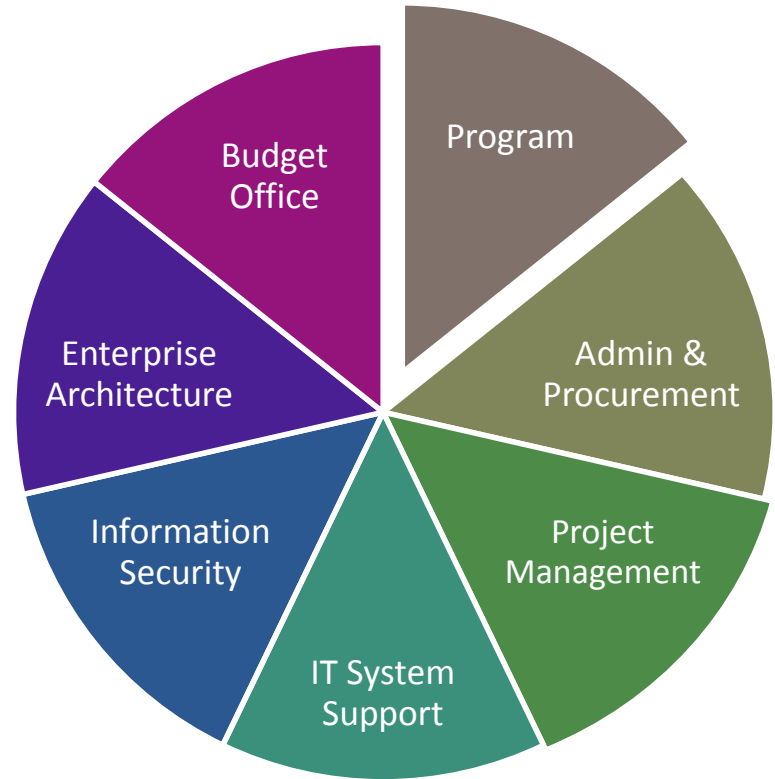

Pie chart segments:
- Project Approvals & Oversight
- Statewide Technology Procurement & DGS
- Digital Innovation Office
- Statewide Data Center (OTech)
- Office of Information Security
- Enterprise Architecture
- Department of Finance

CDT Critical Partners

Your PAL Development Team

The PAL Development Team should include the necessary resources to address all aspects of project planning.
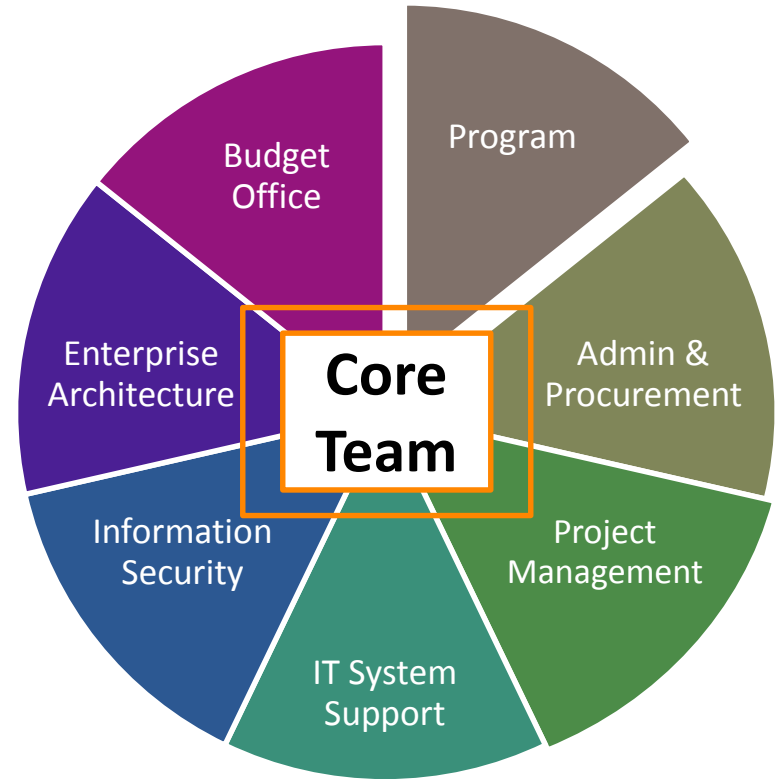
* May also involve Legal, as needed

Department's PAL Development Team

Pie chart segments: Program, Admin & Procurement, Project Management, IT System Support, Information Security, Enterprise Architecture, Budget Office

PAL Core Team Concept

The Core Team is a sub-team of the PAL Development Team that will drive the gathering and reporting of PAL information and analysis.

* May also involve Legal, as needed

Budget Office

Program

Enterprise Architecture

Core Team

Admin & Procurement

Information Security

Project Management

IT System Support

Department's PAL Development Team

Essential Practices

PAL Core Team Concept

Identify key team members and prepare them for project planning. As you identify team members, assess their skills, and plan your training approach to fill any gaps.

It is important to have the right level of engagement from the PAL Core Team members. This means having dedicated resources committed to the PAL project planning effort. The lack of active team engagement is a project risk.

PAL Development Team

Program

- Also known as "the business"— is the driver of the business need.
- Responsible for ensuring that business process needs are met.
- Develops a program-appropriate strategy for stakeholder involvement.
- Responsible for data classification.

Admin & Procurement

- Keeps track of time and resources.
- Will be leveraged for understanding department resources.
- Leads or assists with the development of solicitations for IT goods and/or services, and managing support contracts.

Which Team members are involved?*

Program → Admin & Procurement

PAL Development Team

Project Management

- An office specializing in running projects and monitoring the department's IT portfolio.

IT System Support

- The Data custodian organization for the existing or proposed solution.

Information Security

- Oversees and validates the security and privacy handling of information by the state entity.
- Ensures security controls are suitable for the information classification.

Which Team members are involved?*

Project Management → IT System Support → Information Security

PAL Development Team

Enterprise Architecture

- Ensures alignment of business requirements to the proposed solution development and alignment of solution development to the architecture and vision of the Enterprise.

Budget Office

- Provides financial information regarding the existing operations
- Leads the development of the Financial Analysis Worksheets.

* If Legal is also involved, they provide consultation and review of solicitations and contracts.

Which Team members are involved?*

Enterprise Architecture → Budget

PAL Stage 1 Process

- Stage 1 Preparation
- AIO/CDT Engagement Approach
  - Guided
  - Self-directed
- Stage 1 Submission
- Stage 1 Collaborative Review & Stage 2 Kick-Off Meeting
  - Project planning funding discussion

Collaborative Review Objectives

- Review and discuss business problems and opportunities to be addressed.

- Assess suitability of the proposal and ensure the stakeholders and business sponsors are identified and committed to all phases of the project.

- Identify risks and risk mitigation strategies.

- Identify whether additional Stage 1 planning is needed.

- Communicate conditions of approval, if approved

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1.1 & 1.2 General Submittal Info

Stage 1 Business Analysis

Department of Technology, SIMM 19A, Revision 7/1/2015

1.1 General Information ▲

Agency or State Entity Name:

Technology, Department of ▼

Organization Code:

7502

Proposal Name:

Case Management System (CMS)

Proposal Description:

CDT proposes to replace an existing Case Management System to investigate discrimination complaints, thus carrying out a statutory mandate to prevent employment, housing and public accommodation discrimination, and hate violence in the department.

Proposed Start Date: July, 2016 📅

Delegated Cost Threshold (Optional):   ⦿ Over   ◯ Under

Department of Technology Project Number:

7502-999

1.2 Submittal Information

Contact Information:

Contact First Name:

Andy

Contact Email:

Andy.nelson@CDT.CA.GOV

Submission Date:

8/17/2015 📅

Submission Type:

⦿ New Submission   ◯ Updated Submission (Pre-Approval)

◯ Updated Submission (Post-Approval)   ◯ Withdraw Submission

Project Approval Executive Transmittal: 📎 Click here to attach a file *

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Preliminary Assessment

The purpose of the Project Approval Lifecycle Stage 1 Preliminary Assessment is to:

- Help mitigate project risks during the first stage of PAL
- Assist Agencies/state entities determine readiness to proceed
- Ensure any remaining project management planning needs are identified
- Ensure project has an adequate funding strategy identified

1.3 Preliminary Assessment

Intent: Assess whether the project is anticipated to be reportable to CDT.

Outcome: Determine anticipated reportability of the project.

1.3 Preliminary Assessment

1.3 Preliminary Assessment

1.3.1 Reportability Assessment

	Yes	No
1. Does the Agency/state entity anticipate requesting a budget action to support this proposal?	●	○

2. Does the Agency/state entity anticipate the estimated total development and acquisition cost to exceed the Department of Technology's established Agency/state entity delegated cost threshold **and** the proposal does not meet the criteria of a desktop and mobile computing commodity expenditure?

3. Does this proposal involve a new system development or acquisition specifically required by legislative mandate **or** is subject to special legislative reporting or review as specified in budget control language or other legislation?

Anticipated Reportability

Is this proposal anticipated to be reportable?

Planned Reporting Exemption

Does the Agency/state entity anticipate seeking an exemption from project reporting? (Answer only if Anticipated Reportability above is "Yes.")

The Reportability Assessment questions help identify the sections of the proposal that are anticipated to be reportable to the Department of Technology or delegated to the Agency/state entity for approval.

Per SAM 4819.37 for project reporting criteria

Instructions for the Stage 1 Preliminary Assessment are located in SIMM Section 19A.1 – Preparation Instructions.

Essential Practices
Preliminary Assessment

Determination of reportability. As you arrive at a decision of anticipated reportability keep in mind your project could change and require you to re-evaluate the initial decision.

Use the policies and tools provided to understand reportability.
-Project Determination Scenario
-Project Reporting Criteria (SAM 4819.37)

1.4 Business Sponsor & Key Stakeholders

Intent: Identify the internal and external project champions by name. Include the Executive Sponsor(s), Business Owners, and Key Stakeholders for each business program area.

Outcome: Establish mutual understanding and ownership between Executive Sponsor(s), Business Owners, and Key Stakeholders.

1.4 Business Sponsor & Key Stakeholders

1.4 Business Sponsor and Key Stakeholders ▲

Executive Sponsors

Title	First Name	Last Name	Business Program Area
Director	Wilma	Kent	CDT
Chief Deputy Director	Dennis	Mulligan	CDT
*	*	*	*

▼ Insert Executive Sponsor

Business Owners

Title	First Name	Last Name	Business Program Area
Chief	Michelle	Smith	Enforcement
Chief	Phillip	Bolls	Dispute Resolution Division
Chief	Mark	Williamson	Legal Division

▼ Insert Business Owner

Key Stakeholders

Title	First Name	Last Name	Business Program Area/Group	External
Chief	Fred	Lowe	Policy and Education	☐
Chief	Maximus	Joham	Communications	☐
Chief	Jessica	Pieri	Administration	☐
Chief	Andy	Nelson	Information Technology Services	☐
Chairperson	Tatiana	Thorn	Equal Employment Opportunity Council	☐
Chair	Chuck	Yazi	Equal Employment Opportunity Commission	☑
Secretary	Brenda	Colleti	Housing and Urban Development	☑
			Public	☑

▼ Insert Key Stakeholder

The form allows for entry of multiple sponsors however best practice is to have 1 Executive Sponsor identified.

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Essential Practices
Business Sponsor & Key Stakeholders

Sponsors, Business Owners, and key Stakeholders have roles to play in project planning and approval:

- Sponsors champion cross agency and departmental communications at the executive level, ensure adequate resources and smooth the way for project success.
- Business Owners provide expertise to the project in regard to their business area.
- Stakeholders have a vested interest in the outcomes of the project, and have a great influence on its success or failure.

As appropriate, Sponsors, Business Owners, and Key Stakeholders should be engaged. Make sure they are aware they are being committed as a resource.

1.5 Business Driver(s)

Intent: Identify benefits associated with the project. These are the project's business drivers.

Outcome: Establish the rationale for why the project has been proposed.

1.5 Business Driver(s)

1.5 Business Driver(s)   Mark all that apply ▲

Financial Benefit:
- ☐ Increased Revenues
- ☐ Cost Savings
- ☑ Cost Avoidance
- ☐ Cost Recovery

Mandate(s):
- ☐ State
- ☐ Federal

Improvement:
- ☑ Better Services to Citizens
- ☑ Efficiencies to Program Operations
- ☐ Improved Health and/or Human Safety
- ☑ Technology Refresh

Security:
- ☑ Improved Information Security
- ☑ Improved Business Continuity
- ☑ Improved Technology Recovery

Refer to SAM Section 6602 for definition of financial benefit terms

Essential Practices
Business Drivers

Be ready to support the selection of business drivers identified. For each business driver selected, be sure you have information to substantiate your choice.

Consider this. Complete section 1.5 (Business Driver(s))after completing the analysis of sections 1.8 (Strategic Business Alignment) through 1.10 (Business Problem or Opportunity and Objectives Table).

1.6 Statutes and Legislation

Intent: Identify the specific statues and legislation that impact current and future business needs that the project must consider.

Outcome: Aligns the project goals and ensure compliance to the statue or legislation in subsequent Stages.

1.6 Statutes and Legislation

1.6 Statutes or Legislation

Statutes or Legislation:
- ○ New Statutes
- ○ Potential Legislation
- ○ Changes to Existing Legislation
- ◉ Not Applicable

Bill Number:

Legal Reference:

Additional Information:

▼ Insert Statutes or Legislation

Legal Reference:

Example 1:
"Chapter 404, Statutes of 2010 (AB 2408)"

Example 2:
"SB 1592, 2012 (if not chaptered)"

Additional Information: Identify the date the legislation was passed.

- **Is there a date with funding attached to it?**
- **When does the funding expire?**

Essential Practices
Statutes & Legislation

Understand the intent of the Statues or Legislation. Ensure that the legislation's intent is thoroughly understood by those who are responsible for adherence to it.

Consider alternative methods to satisfy the legislation. Not every statute and legislation requires the implementing of an IT system.

Consider the appropriation language and bill analysis to scope the effort of the project. Best practice is to involve Legal counsel.

1.7 Program Background & Context

Intent: Describe the background and context of each impacted business area and explain how the proposal fits within each area.

Outcome: Create a viewpoint of the existing business program and the various events that led to the need for the proposal.

1.7 Program Background & Context

1.7 Program Background and Context

The scope of the analysis includes the major program activities covered by the CDT's statutory mandate to protect the department from discrimination in employment, housing and public accommodations, and hate violence. The CDT receives, investigates, conciliates, and prosecutes complaints of alleged violations of the Equal Employment Opportunity Act, the Unruh Civil Rights Act, Disabled Persons Act, and Ralph Civil Rights Act. Violations of these statutes generally involve discrimination in employment, housing, public accommodations, and hate violence.

The CDT receives approximately 10,000 discrimination complaints per year. Employees generally initiate complaints in three ways: 1) The CDT Web site, 2) Phone calls to the CDT Communication Center, and 3) Submitting a written complaint. This proposal affects the processes for all three intake methods and the subsequent handling of all complaints. Half of all complainants immediately request the Right to Sue letter from CDT to seek redress in court. CDT investigates the remaining 10,000 complaints.

Within CDT there are three major business programs, and they are the subject of this business case analysis:
1. Enforcement Division
2. Dispute Resolution Division, and

Narrative guidelines:
- The program background and context should set the scope of the study.
- List each business program if they have distinct problems, opportunities or objectives. Include a description of impacted business program activities and services.

1.4 Business Sponsor & Key Stakeholders

1.4 Business Sponsor and Key Stakeholders ▲

Executive Sponsors

Title	First Name	Last Name	Business Program Area
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Secretary	Brenda	Colleti	Housing and Urban Development	☑
			Public	☑

▼ Insert Key Stakeholder

Narrative guidelines:
- The business program(s) identified should align with the Business Owner(s) and Key Stakeholder(s) identified in the Business Sponsor and Key Stakeholders section.

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Essential Practices
Program Background & Context

Limit the program background and context to the program areas affected by the proposal. When writing the program and context validate all stakeholders and business areas have been represented.

Provide a narrative of the business drivers. This is where you tell the story to provide enough content about the business so the reader can later understand the business problem or opportunity.

Identify Impacts to Other Departments. If a project impacts multiple state entities, make sure that all entities are named in the narrative.

Review Criteria: Section 1.7 Program Background & Context

- Have you explained how business programs will be impacted?

- Have you ensured the narrative aligns to problems and opportunities identified in section 1.9?

- Have you explained how the business problem fits within the program?

- Does the narrative accurately frame the scope of the proposed project?

1.8-1.10 Best Practices
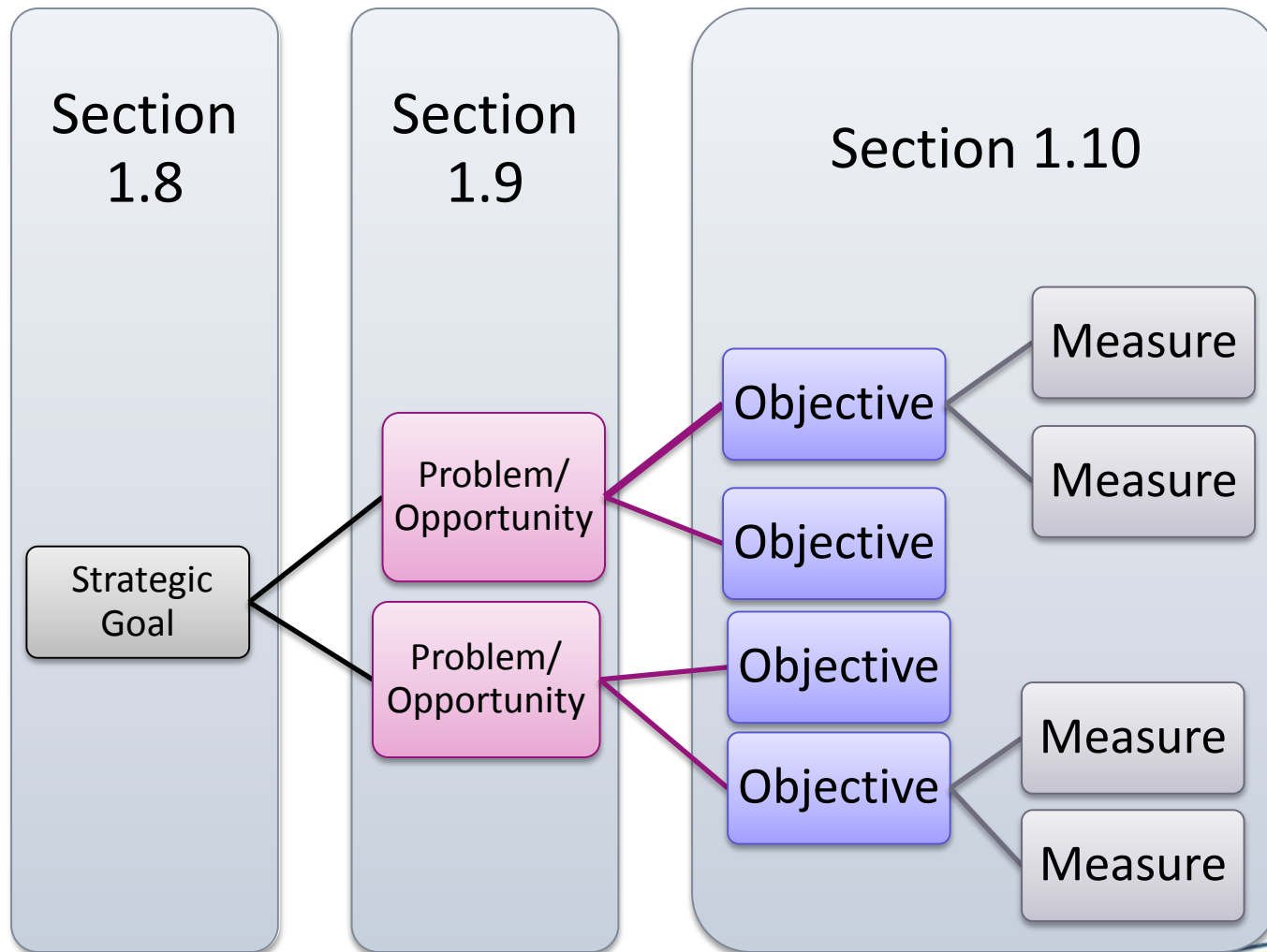
1.8 Strategic Business Alignment

Intent: Ensure the proposal aligns with specific goals outlined in your organization's strategic plan.

Outcome: Clear alignment between the proposal and organization's goals.

1.8 Strategic Business Alignment

1.8 Strategic Business Alignment

Strategic Business Goals	Alignment
Provide fair, accurate, and timely resolution of complaints filed with CDT	The CMS will help achieve CDT's goal to provide fair and accurate resolution, and will analyze methods and options to reduce the timeframe for underlying processes. Business problems/opportunities number 1, 2, 3, 4, 5, and 8 align well with this business goal.
Create a positive and productive work environment for our employees.	Addressing problems/opportunities 1, 2, 3, 4, 5, and 7 will contribute in achieving this goal of maintaining employees' high morale, positive attitude, and increased work productivity.
Increase public's awareness of their rights and responsibilities under the law.	The CMS will provide public with the online access to the case related statistics, laws and regulations, and disseminates information on public's rights and responsibilities. CMS would address problems/opportunities 2,3, 5, 7, and 8 which is in alignment with this business goal.
Help foster an environment in California that is free of discrimination.	The CMS System would be able to help foster an environment free of discrimination by addressing 1,2, 3, 5, 6, and 7 business problems/opportunities, thus supporting CDT achieve its mission.
Manage our programs in an efficient and effective manner.	With effective communication, keeping employees engaged, and providing them with an efficient system, CMS will address all the problems and opportunities in this proposal.

▼ Insert Strategic Business Goal and Alignment

Strategic Plan Last Updated   7/1/2015

Essential Practices
Strategic Business Alignment

Make sure you are leveraging your most recent strategic plan. If you don't have a strategic plan, then tie your project to your Agency's strategic plan.

Review Criteria: Section 1.8 Strategic Business Alignment

- Will the proposal help achieve the Agency/state entity strategic goals?

- Does the proposal section 1.9 Business Problem or Opportunity Summary align with your strategic business goals?

1.9 Business Problem or Opportunity Summary

Intent: Describe the primary business problem or opportunity the proposed project will address.

Outcome: A clearly articulated business problem/opportunity which aligns with specific goals outlined in your organization's strategic plan.

1.9 Business Problem or Opportunity Summary

1.9 Business Problem or Opportunity Summary

The vendor for the current Case Management System (Destiny) has notified CDT that his company will not renew the contract or provide support at the conclusion of the existing contract, which expires December 2017. The current contract was initially scheduled to expire in June 2016; however, the CDT negotiated with the vendor to extend the support for another year and half so the Department has sufficient time to request funds and procure a new solution. While the vendor agreed to the extension, he has informed us that services may be extended no more than 12 months beyond the December 2017 date.

The CMS is a mission critical application for the Department, and losing it will be catastrophic without a replacement system. Lack of a system would require the CDT to revert to an untenable paper-based process, which would be extremely time consuming, laborious, and ineffective in meeting the needs of CDT constituents and fulfilling the Department's statutory mandate. CDT utilizes Destiny to manage the complaints through its lifecycle of investigation, mediation, litigation, and closure.

CDT implemented Destiny in May 2012 and began to allow online complaint filing by public complainants or their representatives, along with the ability to submit Public Records Act and Right-to-Sue requests. Since its implementation in 2012, CDT has experienced multiple issues with the system including insufficient business functionality, performance, data integrity, vendor support, and reporting. Current vendor is unable to incorporate CDT's critical business functions to make the system efficient and reliable for CDT's business use.

After the conclusion of current contract, continuing without a system would cause tremendous unsound, manual work processing resulting in frustration, inadequate staff performance, low employee morale, and very poor customer service. Lack of system will impact CDT's critical business of enforcing California's civil right laws. By not pursuing this proposal, the Department would need to revert to manual and paper intensive processes which would require significant hiring of more staff. Without an efficient and streamlined automated CMS, CDT will be unable to carry out its statutory mandates in a timely and effective manner.

Security - The current system's interface is not encrypted to ensure that public and internal CDT staff data is

This should be a brief description of the overall problem or opportunity. Individual problems or opportunities are listed in the following section.

Essential Practices
Business Problem or Opportunity Summary

Why now? Why is this proposal important to consider at this time? What is the risk for not doing it at this time?

Hint. Treat section 1.9 (Business Problem or Opportunity Summary) as the executive summary for 1.10 (Business Problem or Opportunity and Objectives Table).

It is common for proposals to contain both problems and opportunities. Don't focus on just one.

Root cause. In the summary, be sure to discuss how the problem or opportunity was identified. Also, include the high level magnitude.

Review Criteria: 1.9 Business Problem or Opportunity Summary

- Does the proposal describe the origin and/or the magnitude of the problem?

- Is the impact of the problem or opportunity to the business clearly described?

- Is it clear how addressing the problem or opportunity will result in the business drivers selected in section 1.5 (Business Drivers)?

1.10 Business Problem or Opportunity & Objectives Table

Intent: Provide a breakdown of the business problems/opportunities into a set of measurable business objectives.

Outcome: The collection of clearly stated measureable objectives describes the business outcomes the proposal is seeking to achieve.

1.10 Business Problem or Opportunity & Objectives Table

1.10 Business Problem or Opportunity and Objectives Table ▲

ID   Problems or Opportunities

1   Manual processes and Inefficiencies

Manual workflow will require extensive turnaround times for the enforcement, mediation, and legal activities in order to enter, prepare, track and report complaint information. This would lead to an increased chance of errors and longer complaint processing times and inability to electronically track and report on all complaint lifecycle information such as Right-to-Sue letters, communication center calls, events tracking, document management, templates, and appointments. Other business functions that will be impacted include, but are not limited to CDT's ability to:
- Manage cases and compile information across all five CDT offices
- Determine status of complaints and communications between staff, complainants, respondents, and attorneys
- Electronically determine when staff attorneys are available during particular timeframes, in specific locations and/or with specific expertise
- Conduct conflict checks on complaint cases if Complainants and Respondents are being represented by the same attorney(s)
- Run reports
- Electronically associate all pertinent case documents within case files
- Prevent duplication of effort and minimize potential errors
- Provide custom alerts or events for case assignment, attached documents, or status changes
- Create automated notification letters for correspondence to Complainants and Respondents
- Filter and search for cases
- Balance case workload

Obj #   Objective

1.1   By June 2017, implement new CMS with 95% system uptime.

Metric	Baseline	Target	Measurement Method
System uptime	70%	95%	System performance reports from internal and external users of the Case Management System.

An ideal objective statement is "SMART"

S – Specific
M – Measurable
A – Achievable
R – Realistic
T – Time bound

Essential Practices
Business Problem or Opportunity & Objectives Table

Unit of Measurement. It should be consistent from project planning to post implementation.

Be Realistic. Add in time for learning curves.

Write objectives that are relevant to the proposal. Once you identify relevant objectives include associated metrics, and other information to measure the current and future status.

Stakeholder Involvement. Ensure stakeholder participation when developing metric targets if they are going to be measured by them.

Review Criteria: Section 1.10 Business Problem or Opportunity & Objectives Table

- Are your objectives vague? Objectives should be written in a SMART format. Specific, Measurable, Achievable, Realistic, and Time bound.

- Make sure to identify one business driver from section 1.5 (Business Drivers) for each problem or opportunity listed.

- Make sure Business Drivers map to problem or opportunity.

1.11 Business and Stakeholder Capacity

Intent: Identify the impact of project activities on shared resources as well as changes to existing business processes.

Outcome: Determine resource availability and identify gaps in business processes and resources.

1.11 Business and Stakeholder Capacity

1.11 Business and Stakeholder Capacity

1.11.1 Business Program Priorities

	Yes	No
Does this proposal share resources (state staff, vendors, consultants or financial) with other business program priorities within the Agency/state entity?	○	●

*

1.11.2 External Stakeholder Involvement

Advocates for complainants and respondents use the CDT online system to file complaints, check the status of the complaints, and file PRA requests. CDT has been working with external stakeholders to ensure requirements are clearly articulated to incorporate into the proposed solution. The CDT is required to enter complaint information into U.S. Housing and Urban Development's TEAPOTS system. CDT will work with the federal government to allow importing of data from the proposed solution into the HUD system. CDT will also work with EEOC in determining their interface requirements.

1.11.3 New or Changes to Business Processes

	Yes	No
Does the Agency/state anticipate this proposal will result in the creation of new business processes?	○	●
Does the Agency/state entity anticipate changes to existing business process?	○	●

The high level business processes will not change.

Essential Practices
Business and Stakeholder Capacity

Don't spread yourself thin. Consider the impact of the shared resource across the organization. Understand your organization's capacity to support multiple projects.

Be realistic about:
(1) business program priorities that may compete for the same internal resources, and
(2) the extent of external partner involvement, and an assessment of the overall impact of the business process change.

Review Criteria: 1.11 Business & Stakeholder Capacity

- Have you addressed resource and business program priorities?

- If you have identified external stakeholders be sure to clearly detail how project interactions and shared resources will be managed?

- Is the development of new business processes required?

  - If yes, identify the work required and the impact for staff to shift to new processes.

1.12 Organizational Readiness

Intent: Assess the organization's readiness to successfully complete project planning.

- Governance
- Leadership
- Resource Capability
- Training
- Procurement

- OCM
- Enterprise Architecture
- Project Management
- Data Management
- Security

Outcome: Identify and mitigate the risks associated with organizational maturity gaps.

1.12 Organizational Readiness

1.12 Organizational Readiness

1.12.1 Governance Structure

Yes **No**

Does the Agency/state entity have an established governance structure for combined business and IT decision making, including information security and privacy? ⦿ ○

CDT has an established governing process comprised of CDT program area executives as steering committee members. The steering committee has an overall responsibility for the business and IT governance. The roles, responsibilities, and performance criteria for the project governance are clearly defined. To attain a specific decision for a project, subject matter experts are assigned to assess and review the issue, and to make a timely decision. Governance decisions are made, recorded, and communicated to all stakeholders. The project will have clearly defined criteria for project status reporting, and for the escalation of risks and issues to the levels required by the Department. The CDT fosters a culture of improvement and of a frank internal disclosure of project information along with the stakeholders who are engaged at a level that is commensurate with their importance to the CDT. CDT ISO is actively involved, and has extensive experience to ensure that the project adheres to security and privacy guidelines, and compliance.

1.12.2 Leadership Participation

Identify the levels of leadership that are aware of and engaged in addressing the business problem(s)/ opportunity(ies) identified in this proposal (check all that apply):

- ☑ Executive
- ☑ Senior Management Business/Program
- ☑ Mid-level Management Business/Program
- ☑ Senior Management IT
- ☑ Mid-level Management IT
- ☐ Enterprise Architect

CDT executive team, also a steering committee is comprised of Director, Chief Deputy Director, and Deputy Directors from all business program areas along with the Chief of Information Technology Services Division. Each of the program area Chiefs have identified a key subject matter expert from his or her Division who are the key members of a project team. All levels of management in business program areas and IT are aware of this effort, and are fully engaged to address any concerns or provide any assistance. In addition to management, CDT key staff is also involved and participates fully in providing input to the project.

The narrative should be a concise description of the organization's processes and ability to successfully implement initiatives.

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Essential Practices
Organizational Readiness

Conduct your readiness assessment. Use the "Concept Development and Readiness Assessment Template" located in the Library of the CA-PMF.

Be honest about your organization's maturity and resource capacity. Share with PAL Development Team and Critical Partners the areas where you need help.

Market your proposal. Start your change communications early so people know that change is coming.

Core Team Concept skill set. The team should possess the skills and knowledge required in Stage 2 Alternatives Analysis.

Review Criteria: Section 1.12 Organizational Readiness

- Does the governance structure represent all interested/responsible groups of the proposed project?

- Are the business leaders identified able and willing to fully support the work needed for successful organizational change?

- Does your proposal include a summary of the resources, processes and methodologies in place to provide both training and organizational change management?

What We Covered Today…

- This training covered
  - PAL's role in IT Project Delivery
  - Role of "Critical Partners" and "Core Team" in PAL
  - Stage 1 Business Analysis

Questions?

Ask The Experts

Contact Us @
projectoversight@state.ca.gov

Appendix 1

Tools & Resources

Tools & Resources 1

Tool Name	References Form Section	Note or Links
Project Approval Lifecycle forms and instructions (SIMM 19)	All	https://cdt.ca.gov/policy/simm-19/
IT Project Reporting Process Flow (SIMM 10)	All	https://cdt.ca.gov/wp-content/uploads/2017/03/SIMM_10_Document_Description_and_Process_Flow.pdf
Gate 1 Collaborative Review Guidelines (SIMM 19A.4)	All	https://cdt.ca.gov/wp-content/uploads/2019/07/A.4-Gate-1-Collaborative-Review-Guidelines.pdf
CDT Technology Letters (Policy)	All	https://cdt.ca.gov/policy/technology-letters/

Tools & Resources 2

Tool Name	References Form Section	Note or Links
Stage 1 Business Analysis – Preparation Instructions SIMM 19A	All	https://cdt.ca.gov/wp-content/uploads/2017/02/A_1_Preparation_Instructions.pdf
Stage 1 Evaluation Scorecard	All	https://cdt.ca.gov/policy/simm-19/
Understanding Agile	All	http://projectresources.cio.ca.gov/Agile/index.html
CA-PMF Sample Library	All	Link to California Project Management Framework Templates page (including DED & DAD Templates) http://capmf.cio.ca.gov/Templates.html

Tools & Resources 3

Tool Name	References Form Section	Note or Links
Project Determination Scenario	All	https://cdt.ca.gov/wp-content/uploads/2017/02/IT_Project_Determination_Scenarios.pdf
Reportability: Project Decision Tree	All	https://cdt.ca.gov/wp-content/uploads/2019/07/Reportable_Project_Decision_Tree.pdf
Project Reporting Criteria SAM 4819.37	1.3	https://www.documents.dgs.ca.gov/sam/samprint/new/SAM_Master/SAM_Master_File/Entire_SAM/EntireSAM.pdf
Financial Benefit Terms SAM 6602	1.5	https://www.documents.dgs.ca.gov/sam/samprint/new/SAM_Master/SAM_Master_File/Entire_SAM/EntireSAM.pdf