



California Department of Public Health

Enterprise-wide On-line Licensing System

Project Management Plan

June 2009

Version 2.0 Final

Document Control

CHANGE RECORD			
DATE	AUTHOR	VERSION	DESCRIPTION OF CHANGE
6/15/09	KPMG, LLP	1.0	Initial Deliverable
6/26/09	KPMG, LLP	2.0	Updated per PMO Project Director's edits
6/30/09	KPMG, LLP	Final	Updated per additional reviewers comments

TABLE OF CONTENTS

1. INTRODUCTION.....	5
1.1. PURPOSE.....	5
1.2. PMP AUDIENCE	6
1.3. APPLICABLE STANDARDS.....	6
1.4. RELATED PROJECT PLANNING DOCUMENTS.....	6
1.5. PMP REVIEW AND UPDATES	6
1.6. PROJECT BACKGROUND, OBJECTIVES, AND ROLES AND RESPONSIBILITIES (R&R).....	7
2. ORGANIZATIONAL CHANGE MANAGEMENT.....	7
2.1. PURPOSE.....	7
3. SCHEDULE MANAGEMENT.....	10
3.1. PURPOSE.....	10
3.2. SCOPE.....	10
3.3. PROJECT SCHEDULE BASELINE AND RE-BASELINE	10
3.4. WORK BREAKDOWN STRUCTURE.....	11
3.5. SCHEDULE MAINTENANCE AND CONTROL	14
4. COST MANAGEMENT.....	16
4.1. PURPOSE.....	16
4.2. PROJECT COST MANAGEMENT	16
4.3. COSTS TRACKING.....	17
4.4. COST VARIANCE RESPONSE PROCESS	17
4.5. COST MANAGEMENT ROLES AND RESPONSIBILITIES.....	18
5. RESOURCE MANAGEMENT	18
5.1. PURPOSE.....	18
5.2. SCOPE.....	18
5.3. PROJECT ORGANIZATION CHART	18
5.4. STAFFING MANAGEMENT PLAN	20
5.5. REQUIRED SKILLS AND SKILL GAP PLAN	21
5.6. RESOURCE TRANSITION PROCESS	21
6. COMMUNICATION MANAGEMENT.....	22
6.1. PURPOSE.....	22
6.2. SCOPE.....	22
6.3. PROJECT ORGANIZATION.....	22
6.4. COMMUNICATION ROLES AND RESPONSIBILITIES	22
6.5. AUDIENCE GROUP ANALYSIS	26
6.6. COMMUNICATION METHODS	27
6.7. COMMUNICATION EVALUATION.....	30
7. RISK & ISSUE MANAGEMENT	30
7.1. PURPOSE.....	30
7.2. SCOPE.....	31
7.3. RISK MANAGEMENT.....	31
7.4. ISSUE MANAGEMENT	35
7.5. RISK AND ISSUE TRACKING TOOL	39
7.6. DECISION TRACKING.....	39

8.	SCOPE MANAGEMENT AND CHANGE CONTROL	40
8.1.	PURPOSE.....	40
8.2.	SCOPE.....	42
8.3.	ASSUMPTIONS	42
8.4.	TOOLS	43
8.5.	CHANGE CONTROL PROCESS.....	43
8.6.	CHANGE AUTHORITY	47
8.7.	CHANGE CONTROL ROLES AND RESPONSIBILITIES.....	49
8.8.	CHANGE CONTROL MEETING SCHEDULES	49
9.	CONFIGURATION MANAGEMENT.....	51
9.1.	PURPOSE.....	51
9.2.	SCOPE.....	51
9.3.	ROLES AND RESPONSIBILITIES	51
9.4.	CONFIGURED ITEM CLASSES	53
9.5.	PROCESSES	53
9.6.	CONFIGURED ITEM LOG FORMAT	54
10.	10. QUALITY MANAGEMENT	55
10.1.	QUALITY CONTROL PROCESS	56
10.2.	DELIVERABLE EXPECTATION DOCUMENTS	56
10.3.	INTERNAL QUALITY REVIEW.....	56
10.4.	DELIVERABLE REVIEW CRITERIA.....	56
10.5.	DED WALKTHROUGH MEETINGS.....	56
10.6.	DELIVERABLE WALKTHROUGH MEETINGS	56
10.7.	COMMENT REVIEW LOGS.....	56
10.8.	DED AND DELIVERABLE UPDATES	58
10.9.	DELIVERABLE APPROVAL AND PAYMENT	58
10.10.	DELIVERABLE REVIEW AND APPROVAL MATRIX	58
10.11.	HARDWARE AND SOFTWARE DELIVERABLES	58
10.12.	QUALITY CONTROL ROLES AND RESPONSIBILITIES	59
11.	IMPLEMENTATION MANAGEMENT PLAN.....	60
12.	PROCUREMENT	60
12.1.	CONSULTANT SERVICES	60
12.2.	SYSTEMS INTEGRATION SERVICES	61
12.3.	CONTRACT MANAGEMENT.....	61
13.	REFERENCES	61

List of Tables

<i>Table 1: Preliminary Project Schedule as defined in the EOL SPR.....</i>	<i>11</i>
<i>Table 2: Schedule Maintenance Procedures</i>	<i>15</i>
<i>Table 3: Issue Management Roles and Responsibilities.....</i>	<i>18</i>
<i>Table 4: Communication Roles and Responsibilities</i>	<i>23</i>
<i>Table 5: Audience Group Communication Matrix</i>	<i>26</i>
<i>Table 6: Formal Project Report Matrix</i>	<i>27</i>
<i>Table 7: Formal Meetings</i>	<i>29</i>
<i>Table 8: Communications Evaluation</i>	<i>30</i>
<i>Table 9: Risk Management Roles and Responsibilities</i>	<i>32</i>
<i>Table 10: Issue Management Roles and Responsibilities.....</i>	<i>Error! Bookmark not defined.</i>

Table 11: Change Request Criteria.....45
Table 12: Change Request Status46
Table 13: Change Authority47
Table 14: Change Roles and Responsibilities50
Table 15: Configuration Management Roles and Responsibilities.....52
Table 16: Configured Item Classes53
Table 17: Configured Item Log Format55
Table 18: Deliverable Review Criteria.....58
Table 19: Quality Assurance Roles and Responsibilities59
Table 20: Quality Control Roles and Responsibilities.....59

1. INTRODUCTION

The CDPH has identified licensing processes and information technology (IT) systems in five programs that provide similar functions. Each is supported by a total of 38 aging and outdated IT systems, as well as manual processes, resulting in inefficiencies and risk to the programs' ability to function. It is costly to keep the IT systems running and difficult to find and keep qualified technical personnel trained on the various technologies. Some systems now have no skilled staff remaining to support them. In addition, numerous stand-alone Microsoft Access and Excel systems have been created as work-around, quick-fix solutions.

A challenge for the CDPH is that the existing technology cannot provide functionality that programs need to meet emerging threats. The lack of timely access to current data affects the programs operations and efficiency. This is seen in the systems' inability to receive real time online updates and distribute new information accordingly. As such, the systems are not in alignment with the State's strategic direction to communicate or provide timely information to interested parties and stakeholders. The risks in the current systems could adversely affect public health and safety.

To meet these needs and challenges, CDPH has undertaken the Enterprise-Wide On-Line Licensing (EOL) Project to design, develop and implement a solution that is a scalable, Web-based, off-the-shelf software product with a centralized database that will contain licensing, enforcement, and billing data for CDPH's applicable licensing programs with appropriate interfaces.

CDPH has retained KPMG, LLP to provide project management assistance services to this project. CDPH will be using the services of an Acquisition Specialist consultant to assist with the competitive procurement process and engaging a Systems Integrator to design, develop and implement the system. Stakeholders for the project will include multiple CDPH Programs including Food and Drug Program, Radiation Safety Program, Drinking Water Operator Certification Program, Safe Drinking Water Systems Program, Laboratory Field Services, Stop Tobacco Access to Kids Enforcement, and Medical Waste Management Program. The goal of the Project Management Team (PMT), which consists of KPMG project staff and the EOL PMO Project Director, is to facilitate the cooperation of the various stakeholders and enable successful completion of the EOL Project through the application of commonly accepted project management practices.

1.1. Purpose

This Project Management Plan (PMP) serves as the roadmap for the CDPH EOL Project, and sets forth the plans and processes that will be implemented to guide the execution, monitoring and control of the EOL Project. The Project Management Plan will cover the following management processes:

- Organizational Change Management
- Schedule Management
- Cost Management
- Resource Management
- Communication Management
- Risk & Issue Management

- Scope Management & Change Control
- Configuration Management
- Quality Management
- Procurement Management

1.2. PMP Audience

The audience for this PMP includes the EOL Steering Committee, CDPH Planning and Project Management Branch (PPMB) Project Director, EOL Project participants, stakeholders, and other parties as identified by the CDPH.

1.3. Applicable Standards

This PMP is derived from standards promoted by the Project Management Institute (PMI) as published in the Project Management Body of Knowledge. This standard is approved by the Office of the State Chief Information Officer, California Technology Evaluation and Consulting (OCIO CTEC) and accepted as a “leading practice” by the California Department of Technology Services (DTS). This PMP also follows the newly established OCIO California Project Management Methodology (CA-PMM). Although EOL is not required to apply all CA-PMM since it was approved prior to the release of the CA-PMM, the PMT wanted to utilize components of the CA-PMM to support the EOL project goals and objectives.

1.4. Related Project Planning Documents

The PMP is supported by other project foundational documents, such as the Feasibility Study Report (FSR) and Project Charter. The PMP is organized to prevent unnecessary duplicity of content between these documents.

The EOL Project Feasibility Study sets forth the CDPH business case, scope and objectives, and preliminary schedule and budget estimates for the EOL Project.

The Project Charter articulates the refined scope, goals and objectives of the project and establishes project governance roles and responsibilities. The Project Charter also documents project planning assumptions and constraints.

1.5. PMP Review and Updates

The PMP is a living document intended to guide the Project Team throughout the project lifecycle. As such, the PMT will periodically review the Plan to validate its effectiveness in guiding how the project will be planned, executed and controlled.

The PMT will conduct a review and update of the PMP per the scheduled reviews identified below. Additionally, the PMT understands that unforeseen changes will occur during this engagement and has identified a set of events that may trigger a plan review and/or update as identified in the unscheduled reviews described below.

1.5.1. Scheduled Reviews

The PMT will conduct a review and update of the PMP once the DD&I is onboard per our contract.

1.5.2. Unscheduled Reviews

Unforeseen changes/events that may trigger additional reviews and possible update of the PMP are listed below. The PMT will work with the CDPH to determine if an unscheduled review and PMP update is required, this may result in an approved change request and contract amendment.

- Change in project sponsorship
- Addition or loss of key project stakeholders
- Change in project communication objectives
- Change in project communication requirements
- Change in project management responsibilities or reporting requirements
- Other events as deemed appropriate by the PMT

1.6. Project Background, Objectives, and Roles and Responsibilities (R&R)

Please refer to the Project Charter for descriptions and definitions of the Project Background, Objectives, Scope, Organization Chart, and Roles and Responsibilities.

2. ORGANIZATIONAL CHANGE MANAGEMENT

2.1. Purpose

Organizational change management is a key element to the success of a large-scale business transformation project such as EOL. The purpose of organizational change management is to facilitate the transformation process by proactively developing, deploying, and aligning the organization toward the desired outcomes of the project. Industry best practices indicate that key success factors for information technology projects include¹:

- Effective and strong executive leadership
- Buy-in from front line managers and staff
- Planned and organized approach

In addition, industry data indicate that return on investment is much higher when a strong organizational change management program is part of the initiative.² This differential in return on investment demonstrates the magnitude of impact change management, or lack thereof, can have on technology projects. A well designed change management program can also help to mitigate some of the most significant obstacles to project success:

- Employee and middle-management resistance
- Poor executive sponsorship
- Corporate/organizational inertia and politics

¹ Prosci Research. (2003). "Best Practices in Change Management."

² "Change Management That Pays," McKinsey Quarterly, Number 4, 2002.

Effective change management should be fully integrated into the overall EOL project management approach, particularly in the areas of communications and stakeholder management (both internal and external). While project communications centered on schedule, scope, and cost are the responsibility of the project manager and project office, there are a much broader array of communications and stakeholder activities that are addressed by a change management program. These include tailored communications to help individual business units understand and prepare for the unique changes that the EOL project will bring to their strategic and tactical operations. Organizational change focused communication activities are also an important tool in mitigating staff and management resistance. Insufficient communication and lack of staff buy-in and understanding could lead to delays, additional cost, or even project failure. In addition, maintaining an active dialogue with external stakeholders will be critical to fostering the cooperation necessary to facilitate the EOL project's success. Proactive identification of how all stakeholders will be impacted by the changes being introduced can mitigate many risks before they manifest. Beyond communications and stakeholder management, an organizational change program addresses a wide array of important activities including skills analysis, change readiness assessments, training plans, and the planning and execution of the steps necessary to transition the organization to the operation of the new system.

There are two key roles relevant to the design and implementation of organizational change activities for the EOL project – Change Manager and Change Agent. The Change Manager is responsible for the overall direction of the organizational change program, and leads the team of Change Agents dedicated to the project. The number of Change Agents required to support organizational change activities is based on a number of factors including the number of staff and business units affected by the changes; the magnitude of the changes the Department will experience; the expected timeframes for adoption; and the degree of anticipated resistance throughout the organization. The table on the next page describes the roles and responsibilities for the Change Manager and Change Agents.

EOL project success depends upon implementing a technology solution that meets CDPH's technical needs but greatly depends on the stakeholder's ability to transition to a new system and adopt a new way of doing business. The project recognizes the opportunities and challenges of implementing an enterprise wide solution and will utilize the change management methodologies and processes described below to assist with the transition and adoption of a new system.

ROLE	ORGANIZATIONAL CHANGE RESPONSIBILITIES	ASSIGNED TEAM MEMBER
Change Manager	<ul style="list-style-type: none"> • Lead development and execution of change-related communications activities for all stakeholder groups • Lead development and execution of stakeholder analysis and engagement activities • Lead design and implementation of change readiness assessments on a quarterly basis • Lead development of briefing report for each change readiness assessment conducted • Develop skills analysis approach and direct data gathering activities • Support development of training plans • Design and lead implementation of business unit progress reporting approach • Develop template for business unit transition plans • Coordinate development of customized business unit transition plans • Develop and disseminate supporting tools and templates as necessary (e.g., transition management checklists, impact matrices) • Participate in planning for interim procedures necessary for system cutover • Provide monthly briefings to project manager and steering committee regarding status of change management activities 	To Be Assigned by EOL Steering Committee
Change Agents	<ul style="list-style-type: none"> • Support execution of communication and stakeholder engagement activities • Support design and execution of change readiness assessments • Support development of skills analysis approach and data collection efforts • Support development of training plans • Serve as liaison to business units for all organizational change activities (e.g., communications conduit, progress reporting, transition planning) • Support development and implementation of business unit transition plans • Disseminate supporting tools and templates to business units 	To Be Assigned by Change Manager

3. SCHEDULE MANAGEMENT

3.1. Purpose

EOL project success depends on the team's ability to plan what work needs to be done, when the work needs to be done and who will do the work. A project schedule brings together the three key elements of scope, schedule and resource in an ordered approach to achieving project objectives. However, a plan rarely survives execution and the project manager must have a formal and consistent way to manage the plan and respond appropriately to events that might change the schedule.

Schedule Management provides the processes to be used to manage the project schedule throughout the duration of the project in order to accomplish a timely completion. Schedule Management will include integrating schedules that are controlled by different parties at different phases of the project to ensure that there is one integrated view of project schedule throughout the project lifecycle.

Schedule Management focuses on the following objectives:

- Completing the project within the approved schedule
- Recognizing and managing project factors that could affect the project schedule
- Establishing control procedures for change issues that affect the project's approved schedule
- Establishing procedures to measure project performance with regard to schedule

3.2. Scope

The scope of Schedule Management includes all phases of the project. This section will address the processes required to control schedule variations in order to meet schedule objectives for the project.

The Detailed Project Schedule is not incorporated into this Project Management Plan but is maintained in a project work plan using Microsoft Project™. The Master Project Workplan can be found on the EOL SharePoint site.

3.3. Project Schedule Baseline and Re-Baseline

The initial schedule baseline will be based on high level milestones established in the approved SPR as noted in Table 1. These high level milestones will be used for reporting to management and executive level stakeholders, including control agencies, and will be maintained for historical reference. Significant changes to these milestones will require approval from the Steering Committee or development of another Special Project Report (SPR). A further detailed baseline will be established during the planning phase of the project. The PMT will work with project participants during the planning phase to define the activities to the appropriate WBS level. This further detailed schedule will be approved by the Project Director and baselined upon approval. This baseline will be used to measure, analyze, and report project accomplishment of schedule activities.

A schedule re-baseline may be necessary due to an approved Project Schedule Elaboration (PSE) cycle, approved change request, or other significant schedule change. Schedule re-baseline activity will be managed through the change control processes described in this PMP and approved by the Steering Committee.

Table 1: Preliminary Project Schedule as defined in the EOL SPR

Phase	Milestone	SPR Approved Completion Dates
1	Project Planning & Analysis	July 2008
2	Procurement Planning (Develop and release RFP for system vendor)	August 2009
4	DD&I – Radiation Safety and Food and Drug	September 2011
5	DD&I – Drinking Water and Medical Waste	May 2012
6	Post Implementation	October 2014

3.4. Work Breakdown Structure

The project will organize the scheduled activities in a detailed Work Breakdown Structure (WBS) as depicted on the next page. The WBS provides a hierarchical view of the major components of the project as well as how sub-components will be organized. The PMT will organize the master schedule per the WBS below and as each contract is executed, the Acquisition Support (AS) vendor and the Systems Integration(SI) vendor respectively will be responsible for organizing their individual schedules so it rolls up to the WBS shown below.

As each contract is executed, the Acquisition Support (AS) vendor and the Systems Integration (SI) vendor respectively will be responsible for elaborating the work breakdown structure in their area of primary responsibility.

The hierarchical components of the WBS are defined below:

- Level 1 – This level is defined as the overall project start and end dates for all activities included in the schedule.
- Level 2 – This level is defined as a project phase which is typically identified in approved procurement vehicles, such as an FSR or SPR, and vendor contracts. A project phase is a group of related project activities that come together with the completion of one or more deliverables or work packages.
- Level 3 – This level is defined as a project deliverable. Deliverables are typically defined in vendor contracts and work packages are typically identified in the vendor or master schedule. A deliverable is a unique and verifiable work product or result that must be completed and delivered to meet project goals and contractual requirements.
- Level 4 – This level is defined as a project work package. A work package has a similar definition of a deliverable in that it defines a work product to be achieved but typically is not identified as a contractual requirement.
- Level 5 – This level is defined as a project activity. An activity is defined as a work effort that contributes to Level 1 – 4 above. An Activity can be attached to any WBS Level as the WBS defines what is to be built and the Activity specifies how it is to be built.

3.4.1. Project Schedule Elaboration (PSE) Cycle

The PSE cycle should occur prior to the beginning of each phase and should follow the basic guidelines below:

- PSE Development – The PSE will be developed as a joint effort from project participants, including vendor staff that has involvement in the project activities that are included in the PSE cycle.
- PSE Content – Project activities that have been defined at a high-level (WBS Level 3 or above) require elaboration to WBS Level 3 or below prior to the beginning of each new project Phase. Additionally, any major changes to previously defined in progress or not started activities can also be included in the PSE.
- PSE Review – The PSE should follow the quality control processes identified in this document.
- PSE Approval – Each PSE cycle will follow the change control processes identified in this document.

1	CDPH Enterprise-Wide Online Licensing (EOL) Work Breakdown Structure (WBS)						
2	EOL DD&I Procurement Sub-Project	EOL System Implementation Sub-Project	EOL Data Conversion & Migration Sub-Project	EOL Infrastructure Sub-Project	Implementation Readiness Sub-Project	Maintenance & Operation Readiness Sub-Project	Overall Project Management & Oversight
3	Deliverables	Deliverables	Deliverables	Deliverables	Deliverables	Deliverables	Deliverables
	Procurement Work Plan	DD&I Work Plan	DC&M Workplan	Infrastructure Work Plan	Implementation Readiness Work Plan	M&O Readiness Work Plan	Project Work Plan (i.e. Schedule)
	Requirement Spec and JAD/ RW Session Documents	Requirements Validation Deliverables	DC&M Plan	Create Development Environment	Develop Organizational Change Management Plan	Define M&O Processes and Policies	Project Charter
	Procurement Strategy/Plan	Design Deliverables	DC&M Baseline	Create Test Environment	Develop People, Process, and Policy Baseline	Define M&O R&Rs	Project Management Plan
	Request For Information (RFI)	Develop Deliverables	DC&M To-Be Environment	Create Production Environment	Develop People, Process, and Policy To-Be Environment		IV&V Plan
	Request For Proposal (RFP) and Eval & Selection Plan	Test Deliverables	DC&M To-Be Mapping		Conduct Gap Analysis		IPOC Plan
	Evaluation and Selection	Implementation Deliverables	DC&M Cleansing		Create Implementation Plan		Monthly Status Reports
	DD&I Contract Package		DC&M Migration		Execute Implementation Plan		Monthly Oversight Reports
	Special Project Report				User Acceptance Testing		
4	Work Packages	Work Packages	Work Packages	Work Packages	Work Packages	Work Packages	Work Packages
	Deliverable Expectation Documents (DEDs)	TBD when DD&I vendor starts	TBD by DC&M Team	DTS Service Requests	TBD by Implementation Readiness Team	TBD by M&O Readiness Team	Deliverable Expectation Documents (DEDs)
	Requirement Sessions			CDPH/DHCS IT Change Requests			Project Kick-Off Meeting
	Procurement Process						Facilitate Project Meetings
	SPR Reviews						Execute PMP Sub-Plans (i.e. schedule, scope, budget, etc.)
5	Activities	Activities	Activities	Activities	Activities	Activities	Activities

3.4.2. Integrated Schedule

The PMT will assist with the development and integration of a comprehensive Project Work Plan; however, each vendor and/or State team will bear primary responsibility for developing and managing their own work plan, based on the standards set forth in this Schedule Management Plan. Each team will report schedule status to the PMT for inclusion in the Master Project Work Plan.

The PMT will not be responsible for assigning resources to project tasks, but will document in the Project Work Plan those resource assignments as made by the Project Director or others with resource assignment authority. In overseeing the aggregation of the schedule information from the project participants, the PMT will validate that task durations and dependencies are consistent with guidance provided in the Schedule Management Plan, and that all facets of the scope of work are accounted for in the work plan.

Links will be established between the Project Work Plan that is being maintained by the PMT and the Project Work Plan that is being updated by the AS and SI vendors. The PMT will not be updating progress against the AS or SI vendor's work plan, but will integrate that work plan with the master work plan.

3.5. Schedule Maintenance and Control

The PMT is responsible for updating the Master Project Work Plan weekly, including updating links to external work plans that are incorporated, documenting variances to the schedule, and reporting on such variances so that they can be acted upon immediately.

The PMT is responsible for overall schedule maintenance; however, the AS and SI vendors are individually responsible for creating, maintaining and updating their individual schedules. Using MS Project features that allow linking multiple work plans, PMT will maintain the Master Project Work Plan that incorporates the work of the other vendors, and includes appropriate links and dependencies between tasks.

The PMT will utilize the status date tool in MS Project for reporting the completion status. This tool calculates percent complete based on current percent complete and remaining duration.

Changes to the project schedule involving major milestones or deliverables require approval by the EOL Change Control Board and the Steering Committee. Other changes require approval by the PMT or the Project Director. If changes are significant enough to require re-baselining the project schedule, the PMT will obtain approval from the EOL Steering Committee prior to the change.

Key triggers that would raise the awareness of a potential schedule modification include changes or updates to:

- Project scope or objectives
- Task definitions, durations, and/or associated resources
- Key project management processes
- Issue/ Risk/ Change log
- Roles and responsibilities

The schedule maintenance procedures are provided in Table 2.

Table 2: Schedule Maintenance Procedures

#	Description	Timing	Who	Comments
1	Assemble an integrated project schedule based on work defined by project participants	Once at the beginning of PM engagement, and once when AS and SI vendors deliver their work plans.	PMT	The PMT will not define the work or make assignments, but will apply project management principles to document the tasks identified by project participants, identify dependencies, and integrate the various components into a master work plan for Project Director's approval.
2	Approve the project schedule to be base-lined	Once at the beginning of PM engagement, and once when SI vendor delivers their work plan.	Project Director	A re-baseline of the project schedule will require EOL Steering Committee approval.
3	Confirm baseline schedule to the detail level activity	Prior to the start of each phase	PMT AS Vendor SI Vendor	At the end of each phase, the next phase schedule will be reviewed in detail and updated to include information that was not previously known via the PSE cycle described above.
3	Report schedule status	Weekly	PMT AS Vendor SI Vendor	Provided in Weekly Status Report from vendors and/or State staff to PMT

#	Description	Timing	Who	Comments
4	Update task activity in MS Project	Bi-weekly	PMT AS Vendor SI Vendor IV&V vendor	Required schedule changes will be a standing item on the CCB Bi-weekly agenda. Work Plans will be updated with changes after approval by the CCB. If required, the requested change will be escalated to the Steering Committee.

4. COST MANAGEMENT

4.1. Purpose

As an OCIO CTEC reportable project, the EOL Project is expected to meet its financial estimates within very close tolerances. Tracking and monitoring costs associated with the project is fundamental to the project's success.

The project budget will be continually tracked during the life of the project. This budget will show the approved baseline cost estimates, approved revisions to the cost estimate, actual expenditures against the cost estimates and the remaining balance in each cost category.

The purpose of Cost Management is to monitor and track project expenditures against the approved budget and identify any actual cost variances or cost variance risks. This Plan describes how cost variances will be managed for this project.

4.2. Project Cost Management

The initial project budget was established based on the estimates from the EOL FSR. An SPR is planned to update the Department of Finance of revised scope, cost and schedule once the SI vendor procurement is complete and SI costs are understood.

The PMT monitors and tracks the project budget and expenditures, including State costs (i.e. interagency agreements, personnel years, backfills, and information technology costs), contractor/vendor resources (i.e. contracts or service level agreements), and hardware and software costs. The budget worksheets are maintained monthly and the variations to the budget are identified timely.

The PMT is responsible only for documenting planned versus actual project costs, but is not responsible for approving any project costs. All information about actual project expenditures will come from the entity within CDPH with authority to approve those expenditures.

Project expenditures cannot be allowed to exceed the approved cost estimates without approval from the Steering Committee, OCIO, and DOF (if expenditures exceed ten percent of the original estimate) or through the CDPH budgetary processes. The Project Director will act as an escalation point for cost

management issues and cost variance. If a budget re-baseline is needed during the project, the PMT will receive approval from the EOL Steering Committee prior to change.

4.3. Costs Tracking

The PMT will track the budget using Microsoft Excel and store the spreadsheet with associated cost information on the EOL PPMB drive. The PMT will track the cost categories as follows:

Cost Category	Tracking Method	Information Provider
State Labor Hours	Monthly Total Costs for PYs For Example – The project has 3.2 dedicated State PYs (1 SISA, 2 SPAs and .2 DPMI) = average of \$24,828/mo	CDPH via an agreed upon monthly amount
Contractor Labor Hours	Associated deliverable amount in the contract and/or hourly rate for discretionary hours	CDPH via approved invoices
DTS Service Cost	One-time costs and on-going costs defined in the approved service requests or other DTS billing document	CDPH via approved invoices
Hardware and Software Cost	One-time cost associated with contractor and/or DTS as specified in the contract and/or service request or other DTS billing document	CDPH via approved invoices
Other Costs	The PMT will work with the Project Director to identify any other category of project cost that should be tracked on the EOL project budget spreadsheet	TBD
Overall Project Costs	Baseline one-time and on-going costs compared to Actual one-time and on-going costs	PMT reports based on actuals provided per above

4.4. Cost Variance Response Process

On a regular basis (at least monthly), the PMT will produce a budget summary that presents agreed upon financial metrics for the project. Variances greater than + / - 5% of the total project budget, or + / - 20% for any single project activity or task, will be documented and analyzed to determine the root cause.

If a variance greater than + / - 5% of the total project budget is observed, the PMT will recommend to the Project Director a formal cost recovery approach and present recommendations to the Steering Committee. The Steering Committee will provide direction to the PMT and Project Director regarding what, if any, steps should be taken to respond to the cost variance. Variances in the total project budget of greater than + / - 10% may require that a SPR be developed for OCIO approval. If an SPR is approved, the PMT will re-baseline the project costs and track against the newly established baseline.

4.5. Cost Management Roles and Responsibilities

The following table describes the EOL Cost Management Roles and Responsibilities.

Table 3: Issue Management Roles and Responsibilities

ROLE	RESPONSIBILITIES
PMT	Establishes the initial cost worksheet based on baseline information from the appropriate approval document (i.e. FSR or SPR). Tracks the initial cost baseline against actuals received from the project and reports any variances above or below agreed upon thresholds. Escalates cost issues to the Project Director.
Project Director	Initially identifies the parties responsible for providing actual cost data for inclusion in the cost worksheet. Identifies appropriate action for cost issues raised by the PMT and escalates cost issues to the Project Sponsor and Project Steering Committee if cost variance requires approval.
Project Sponsor and Steering Committee	Responsible for obtaining sufficient funds and expenditure authority to meet the EOL project goals and objectives. Responsible for analyzing cost issues escalated by the Project Director and taking appropriate action to resolve.

5. RESOURCE MANAGEMENT

5.1. Purpose

Human Resource Management includes organizational planning and staff acquisition. This includes how the project will be staffed and developed, and identification of the qualifications needed of team members to successfully complete the project according to the project timeline and objectives.

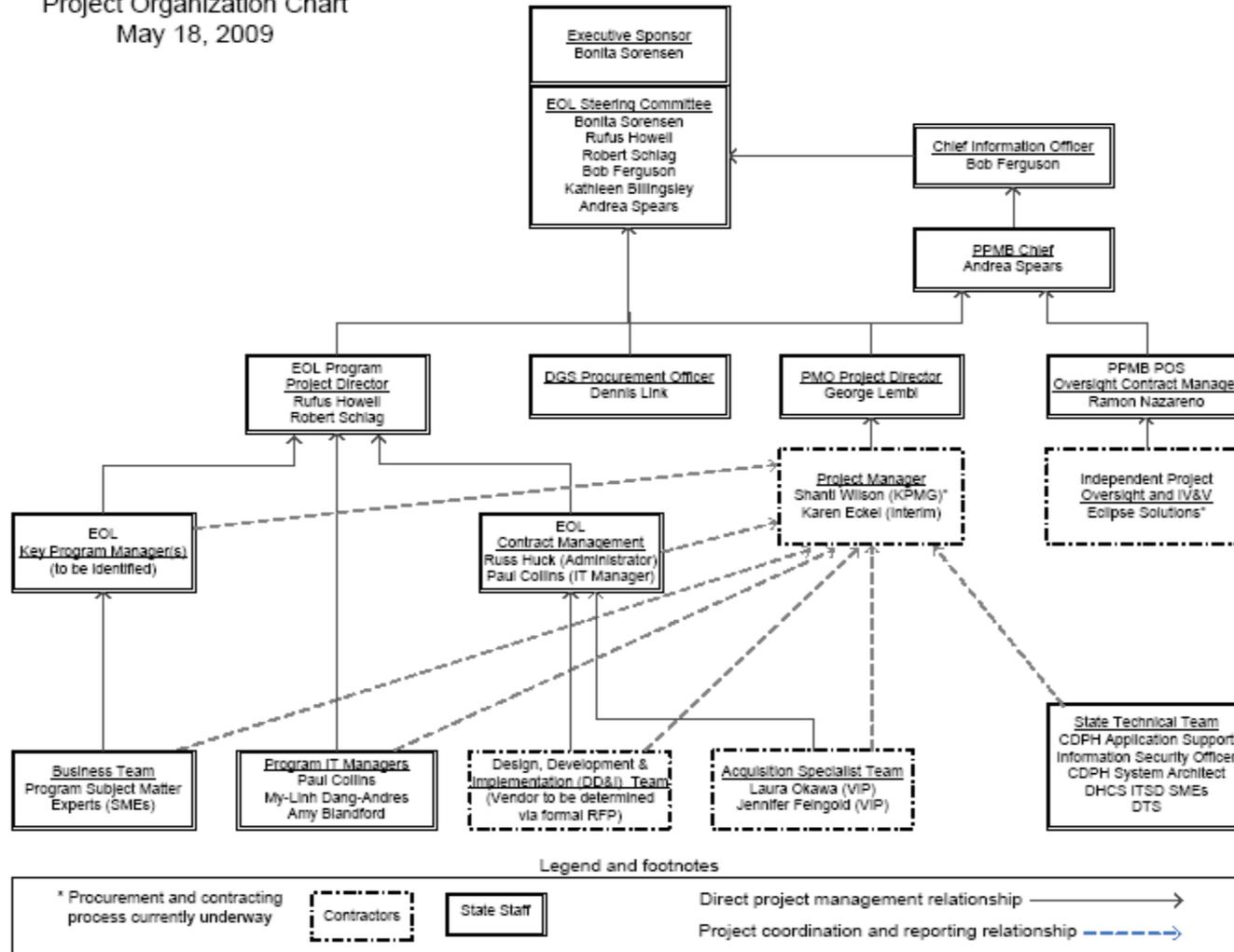
5.2. Scope

The Human Resource Management plan is not responsible for conducting supervisory activities, such as timekeeping, performance evaluations, resolving personnel issues, etc., but instead focuses on identifying the resource needs to meet project goals and objectives.

5.3. Project Organization Chart

The EOL Project Organization Chart is depicted below and the associated staffing management plan follows in Section 6.4. Changes to both the organization chart and staffing management plan may occur outside of the PMP but will be updated in the PMP per the PMP update process described in Section 1.4.

Enterprise Online Licensing (EOL) Project
Project Organization Chart
May 18, 2009



5.4. Staffing Management Plan

The Project Team will use the CA-PMM Staffing Management Plan to identify and document roles and responsibilities of the project team. The high level roles and responsibilities are outlined below and the detailed roles and responsibilities are described in the table below

- CDPH– Provide sufficient resources to support project goals and activities. Resources assigned to the project should have specific knowledge and skills to meet their identified responsibilities. Additionally, assigned resources should have sufficient time within their current workload to meet their due dates.
- Vendor Staff – Provide resources identified in the specific resource contracts and manage the day-to-day activities of vendor staff.

Detailed Staffing Management Plan

Role	Type	Internal	Location	Time Frame	Release Criteria
EOL Executive Sponsor	Executive	Yes	CDPH	Entire Project	Close of project
EOL Steering Committee	Executive	Yes	CDPH	Entire Project	Close of Project
EOL Program Project Directors	Management	Yes	CDPH	Entire Project	Close of Project
EOL PMO Project Director	Management	Yes	CDPH	Entire Project	Close of Project
EOL Project Manager	Management	Yes	CDPH	Length of Contract	Contract end date
EOL Oversight Contract Manager	Oversight	Yes	CDPH	Entire Project	Close of Project
EOL Key Program Managers	Management	Unknown	CDPH	TBD	TBD
EOL Contract Manager	Management	Yes	CDPH	Throughout Procurement & DD&I Phases	End of DD&I Phase
EOL IPOC/IV&V	Oversight	Yes	CDPH	Length of Contract	Contract end date
EOL Acquisition Specialist	Staff	Yes	CDPH	Procurement Phase	DD&I Contract Approval

EOL Business Team	Staff	Yes	CDPH	Entire Project	Close of Project
Program IT Managers	Management	Yes	CDPH	Entire Project	Close of Project
State Technical Team	Staff	Yes	DTS, CDPH, DHCS	Procurement & DD&I Phases	DD&I Completion
EOL SI Vendor	Staff	Yes	CDPH	DD&I Phases	DD&I Completion

5.5. Required Skills and Skill Gap Plan

The Implementation Readiness Team will use the CA-PMM Skill Assessment and Skill Gap Plan to ensure the project has the resources with the right set of skills and experience for EOL. The Implementation Readiness Team will be responsible for the development of the required skills and skill gap plan, following the format in the table below) for all State resources assigned to the project. The documents will follow the CA-PMM templates below. Vendor resource required skills are included in the released RFO or RFP and subsequent contract.

Required Skills and Skill Gap Plan

Required Skills	Skill Level				Actual Skill Level	Skill Gap Mitigation Plan
	Proficient	Competent	Learner	Novice		

5.6. Resource Transition Process

It is understood that project resources may change throughout the life of the project. To mitigate impacts to the project, the project will utilize the following resource transition process.

5.6.1. On-boarding

The purpose of on-boarding activities is to bring the new resource up to speed on project information required to complete their assigned tasks. This includes providing resources with a high-level project overview as well as providing information on their detailed roles and responsibilities on the project.

5.6.2. Off-boarding

The purpose of off-boarding is to transition tasks from the existing resource to a new resource in a fashion that minimizes impacts to the project schedule or quality. This includes developing and executing knowledge transfer and transition plans.

6. COMMUNICATION MANAGEMENT

6.1. Purpose

Communication is critical to the success of the project management effort, and the Communications Plan establishes a framework for communicating project information effectively and consistently throughout the life of the project

Communication processes, methods, information standards, roles and responsibilities are brought together under the Communication Plan framework to facilitate that the right information getting to the right people at the right time during project execution.

An effectively executed Communication Plan will meet the communication objectives for the project effort by:

- Providing timely, accurate and appropriate information to project participants, managers, sponsors, and stakeholders regarding project status and project management activities
- Establishing and implementing prescribed processes and methods for creating, storing, tracking, accessing, recalling, updating, and distributing project information consistently and effectively
- Increasing stakeholder awareness and understanding of project risks, issues, and concerns
- Facilitating better decision-making by providing needed information

6.2. Scope

This Communications Plan applies to the communication activities conducted throughout the EOL project effort. The plan does not address communication activities outside the project organization. The PMT does not intend to communicate directly with any other audiences regarding the project unless directed to and authorized by Project Director. However, the communication plan may assign communication responsibilities to others outside of the PMT.

With any project of this length, change is inevitable. As stakeholders are added the PMT, working with the Project Director, will review communications requirements and amend this Communications Plan accordingly. In addition, the communication strategies will also be periodically reviewed to determine their effectiveness and adjusted as appropriate throughout the life of the project.

6.3. Project Organization

The organization chart above depicts the major participants in the EOL Project and their general relationships for project communication and governance. This organization chart is solely for the purposes of this Project, and does not necessarily reflect organizational authority or formal supervisory relationships.

6.4. Communication Roles and Responsibilities

Table 4: Communication Roles and Responsibilities depicts the major roles and associated responsibilities that project team members assume in conducting project communications.

Table 4: Communication Roles and Responsibilities

ROLE	COMMUNICATION RESPONSIBILITIES	ASSIGNED TEAM MEMBER
Governance Sponsor	<ul style="list-style-type: none"> Makes final decisions if Project Steering Committee does not reach consensus. 	Chief Deputy Director, CDPH
EOL Program Project Directors	<ul style="list-style-type: none"> Chair Steering Committee Receive and review the Project Management Status Report (PMSR) Participate in project briefings Communicate needs and expectations of the EOL project Provide direction and guidance to project team regarding expectations Resolve significant issues that the EOL Project Steering Committee cannot resolve in a timely manner Communicate decisions to Program Chiefs if consensus is not reached Communicate with major stakeholders 	CDPH Deputy Director, Center for Environmental Health CDPH Assistant Deputy Director, Center for Environmental Health
EOL Steering Committee	<ul style="list-style-type: none"> Primary project decision-making body Provide vision, direction and guidance to project team regarding expectations Receive and review the Project Management Status Report (PMSR) Participate in project briefings Escalates issues to the Executive Sponsor Support provision of requested project information to PMT Communicates project status to external stakeholders as needed 	CDPH Chief Deputy Director, Policy and Programs CDPH Deputy Director, Center for Environmental Health CDPH Assistant Deputy Director, Center for Environmental Health CDPH Chief Information Officer PPMB Chief CDPH Deputy Director, Center for Health Care Quality
Program Chiefs	<ul style="list-style-type: none"> Review and provide input on project deliverables Act as a liaison between program staff and the Project Management, AS and SI vendors Participate in issue resolution process Keep program staff informed on status of project and when program staff need to perform project activities 	Chiefs of Participating Programs: FDB RHB DWOCP SDWS MWMP

ROLE	COMMUNICATION RESPONSIBILITIES	ASSIGNED TEAM MEMBER
PPMB/PMO Project Director	<ul style="list-style-type: none"> • Receive and review the Project Management Status Report (PMSR) • Participate in project briefings • Coordinate communications between CDPH and DOF and OCIO • Coordinate project briefings with the Steering Committee and various stakeholders • Monitor communication effectively and efficiently and provide feedback to PMT • Receive, review, request, and announce changes to the EOL communications plan, communication artifacts, or communication processes 	PPMB
EOL PMT (PM vendor)	<ul style="list-style-type: none"> • Prepare, publish and distribute the EOL Communications Plan • Facilitate Communications Plan implementation and application consistently during the project's life • Communicate, track and collect project status, issue and risk information • Prepare, publish and distribute status reporting documents as described in this plan • Prepare and present status updates to stakeholders as described in this plan • Collaborate with the Project Director, AS vendor, SI vendor, IV&V contractor and IPOC contractor to monitor and evaluate project communications 	KPMG
Business Team (Subject Matter Experts)	<ul style="list-style-type: none"> • Identify and communicate business needs and requirements • Communicate project status, issues and risks to appropriate project entity • Participate in project briefings 	Assigned by Program Chiefs of Participating Programs
Technical Team (Subject Matter Experts)	<ul style="list-style-type: none"> • Advise project on technical issues and department standards • Communicate risks and issues to the PMT • Provide the SI vendor with technical information regarding CDPH programs' existing systems, databases and infrastructure. 	DTS ITSD Program IT Subject Matter Experts (SMEs)

ROLE	COMMUNICATION RESPONSIBILITIES	ASSIGNED TEAM MEMBER
Acquisition Services vendor	<ul style="list-style-type: none"> • Communicate with Business Team, Program Chiefs, Project Management and other stakeholders as needed to collect and document requirements for the RFP • Communicate with DGS regarding procurement process • Communicate project status, issues and risks to Project Director and PMT • Prepare weekly status reports for the PMT • Communicate status and upcoming activities at regularly scheduled EOL meetings. • Participate in project briefings • Disseminate necessary information to vendor team members, including general status, schedule, decisions, and approved change requests. • Ensure that team members are actively participating in EOL project meetings as needed to gather or disseminate information. 	VIP
Systems Integration vendor	<ul style="list-style-type: none"> • Communicate project status, issues and risks to Project Director and PMT • Communicate status and upcoming activities at regularly scheduled EOL meetings. • Participate in project briefings • Prepare weekly status reports for the PMT • Disseminate necessary information to vendor team members, including general status, schedule, decisions, and approved change requests. • Ensure that team members are actively participating in EOL project meetings as needed to gather or disseminate information. 	Vendor To be determined
IV&V Contractor	<ul style="list-style-type: none"> • Prepare, publish and distribute IV&V report • Review project deliverables • Communicate IV&V status, issues and risks to Project Director and PMT 	Vendor To be determined
IPOC Contractor	<ul style="list-style-type: none"> • Prepare, publish and distribute the monthly IPOC report • Communicate with OCIO regarding project performance, issues and risks • Review project deliverables • Communicate IPOC status, issues and risks to Project Director and PMT 	Vendor To be determined
Office of the Chief Information Officer, California Technology Evaluation and Consulting	<ul style="list-style-type: none"> • Receive and review the Independent Project Oversight Report (IPOR) and provide feedback to the IPOC/IV&V Manager 	IPOC Vendor and/or IPOC State Staff

6.5. Audience Group Analysis

The PMT recognizes that various entities will have an interest in products generated by the EOL project. This section tabulates the various audiences identified by the PMT as potentially wanting or needing access to project work products. The complete audience list is provided in Table 5: Audience Group Communication Matrix. It should be noted, however, that the PMT would not formally communicate project information to any entities outside the CDPH unless directed by and authorized by the Project Director.

Table 5: Audience Group Communication Matrix

AUDIENCE GROUP	AUDIENCE GROUP DESCRIPTION	INFORMATION NEEDED
Executive Project Sponsor	Individual responsible for establishing the project vision and championing efforts to create a successful outcome. <ul style="list-style-type: none"> • Chief Deputy Director, Policy and Programs 	<ul style="list-style-type: none"> • High level status and condition of project • Observations / Issues / Risks / Changes and associated impact to the project • Identification of possible barriers to successful outcome of project
Control Agencies	This group is comprised of individuals and entities that are impacted by or have a vested interest in the outcome of the project. Control agencies include: <ul style="list-style-type: none"> • Office of the Chief Information Officer, California Technology Evaluation and Consulting • Department of General Services • Health and Human Services Agency • Department of Finance 	<ul style="list-style-type: none"> • High level status and condition of project • Observations / Issues / Risks / Changes and associated impact to the project • Progress towards mitigating reported risks
Managers	This group is comprised of individuals / entities that have responsibility, accountability and authority for some aspect of the EOL project. Individuals / entities include: <ul style="list-style-type: none"> • Project Director • Program Chiefs • IPOC/IV&V Manager • IPOC Consultant • IV&V Consultant • AS Engagement Manager and Project Manager • SI Engagement Manager and Project Manager • EOL PMT 	<ul style="list-style-type: none"> • Changes in Sponsor / Steering Committee expectations • Project progress against schedule • Verification of tasks completed • Validation that requirements and quality standards are being met • Summary level tasks and/or major milestones • Tasks going late, or not accomplished, with remediation plans • Summary of major or critical issues

AUDIENCE GROUP	AUDIENCE GROUP DESCRIPTION	INFORMATION NEED
Project Team Members	This group is comprised of individuals who have been assigned to work on some aspect of the EOL project, including: <ul style="list-style-type: none"> • Business Team Subject Matter Experts • Technical Team Subject Matter Experts • Program Leads 	<ul style="list-style-type: none"> • Project progress against schedule • Verification of tasks completed • Summary level tasks and/or major milestones • Tasks going late, or not accomplished, with remediation plans
Technical Stakeholders	This group is comprised of individuals that are responsible for ensuring the EOL system complies with State and department standards. Additionally, parts of this team will be responsible for managing the EOL Information Technology infrastructure that is used by CDPH <ul style="list-style-type: none"> • DTS • CDPH CIO • CDPH ISO 	<ul style="list-style-type: none"> • Project progress against schedule • Validation that departmental standards and procedures are being adhered to. • Upcoming project activities that may require ITSD participation or other resources.
EOL User Group	This group is comprised of individuals that will use the system once implemented.	<ul style="list-style-type: none"> • Project progress against schedule • Impact to existing business processes • Functionality of new system

6.6. Communication Methods

This section describes and summarizes the various types of communication methods that may be employed throughout the life of the project. The described methods address both formal and informal communication among project participants.

6.6.1. Formal Reports

Table 6 identifies the formal reports the project will produce and deliver. Each artifact is identified by name, description, purpose, participants, and planned timing.

Table 6: Formal Project Report Matrix

REPORT	REPORT DESCRIPTION AND PURPOSE	SENT FROM / RECEIVED BY	TIMING
Project Management Status Report (PMSR)	The monthly PMSRs are intended to provide EOL stakeholders with sufficiently detailed and timely information to make informed decisions regarding EOL Project tasks and activities, budget, risks and issues. The PMT may meet with various stakeholders as needed to discuss the reported information including project status, risks, issues, observations, and recommendations.	From the PMT to the Project Director, Steering Committee, and other stakeholders.	Monthly, on the first day of the month, reflects prior month status

REPORT	REPORT DESCRIPTION AND PURPOSE	SENT FROM / RECEIVED BY	TIMING
Bi-Weekly AS Status Reports	The Bi-weekly AS Status Report is intended for the PMT to provide detailed information about progress during the reporting period, activities planned in the next two weeks, milestone summaries, variances from plan, and issues and risks.	Presented by the AS Project Manager to the PMT and posted to SharePoint for any interested stakeholders	Bi-weekly
Weekly SI Status Reports	The weekly SI Status Report is intended for the PMT to provide detailed information about progress during the reporting period, activities planned in the next two weeks, milestone summaries, variances from plan, and issues and risks.	Presented by the SI Project Manager to the PMT and posted to SharePoint for any interested stakeholders	TBD
Independent Project Oversight Report (IPOR)	The IPOR satisfies the project reporting requirements set forth by the OCIO. The IPOR serves to communicate, at a summary level, the overall status of the project against defined metrics (e.g., schedule, resources, and cost) and identify the project risks of greatest criticality. It also provides a means of tracking and reporting the progress made by the project team towards mitigating previously identified risks.	From the IPOC contractor to the IPOC/IV&V Manager, Steering Committee, and OCIO	Monthly, reflecting observations from the previous month
Independent Verification and Validation Report (IV&VR)	The IV&VR satisfies reporting requirements as expressed in the contract for IV&V services. The IV&VR serves to communicate the contractor's observations regarding quality of project practices and deliverables, issues, risks and recommendations.	From the IV&V contractor to the IPOC/IV&V Manager, PMT, and Steering Committee	Monthly, reflecting observations from the previous month

Each of the formal reports, Independent Project Oversight Report (IPOR), Independent Verification and Validation Report (IV&VR) and Project Management Status Report (PMSR) is prepared from data collected during the project activities. The raw data is analyzed in order to provide a comprehensive and consistent baseline from which to determine project status and condition. This data is used to identify risks, consider trends, draw conclusions and make recommendations. Each artifact is prepared in accordance with PPMB quality expectations of accuracy and completeness.

Once complete, the IPOR is delivered to the OCIO with a courtesy copy to the IPOC/IV&V Manager who provides a copy to the Project Director and entire project team. The completed IV&VR is also provided to the IPOC/IV&V Manager who provides a copy to the Project Director. The PMT receives the completed copy of the PMSR, IV&VR and IPOR and then coordinates the relaying of project status information to the EOL Steering Committee.

6.6.2. Formal Meetings

The PMT will participate in regularly scheduled meetings with the EOL Steering Committee, Project Director, and Program Chiefs to provide briefings on the Project Management Status Report and to relate key observations and recommendations about the EOL Project.

All formal meetings will be documented with an agenda available in advance, and meeting minutes produced after the meeting with high level discussions, decisions, and action items.

The list of Formal Meetings below is based on the current project phase, and may change over time as the needs of the project evolve.

The formal meetings are listed in Table 7 below:

Table 7: Formal Meetings

Meeting	Attendees	Frequency
EOL Steering Committee	Steering Committee Members, PPMB, Program Chiefs, PMT, IV&V, IPOC	Monthly or as needed
EOL Management Meeting	PMO Project Director, PMT, AS PM, SI PM, Business Team Representative, Technical Team Representative, (IV&V and IPOC invited as optional attendees)	Weekly
EOL Data Conversion & Migration Team Meeting	TBD	TBD
EOL Implementation Readiness Team Meeting	TBD	TBD by team
EOL Infrastructure Team Meeting	TBD	TBD by team
EOL Maintenance & Operation Readiness Team Meeting	TBD	TBD by team
EOL Change Control	TBD	Biweekly, once baselines are established

6.6.3. Informal Communication

The PMT expects a certain amount of informal communication among EOL project participants. This can take the form of daily conversations, impromptu meetings, clarifications, questions/answers, and any communication during routine data collection activities.

This type of informal communication is necessary and beneficial for the project. However, this can also lead to confusion if important discussions and decisions are not well documented. Therefore, the PMT will encourage all team members to use the project tools, such as the Risk and Issue Management Process, the Change Control Process, and the Decision Tracking process so that important information is documented and available for project use.

6.6.4. Project Documentation

The master repository for all project documentation is in the EOL PPMB shared drive.

Since not all project participants have access to this repository, and there is a critical need to be sure that pertinent information is available to stakeholders in a timely way, the Project has also developed an EOL SharePoint site that will be used for storing project documentation that must be accessible to project stakeholders.

6.7. Communication Evaluation

The PMT will assist the Project Director to evaluate communications related to the EOL project effort to verify that communication goals are met consistently. If a deficiency is identified, PMT and Project Director will collaborate on determining a resolution and making changes as appropriate. The evaluation criteria and process is displayed in Table 8.

Table 8: Communications Evaluation

MEASUREMENT	PROCESS
Accuracy / completeness of reported status	The PMT and Project Director will monitor the information reported to the PMT by other project participants to verify that it is accurate and complete. Inaccurate / incomplete information could jeopardize the accuracy and value of the PMT's reporting and guidance.
Communication requests	The PMT and Project Director will monitor requests regarding project communications. Continual requests for clarification or additional information may indicate that the current content is not concise or clear or the method of delivery is ineffective. In that case, the PMT and Project Director will determine and apply the appropriate corrective action

7. RISK & ISSUE MANAGEMENT

7.1. Purpose

The purpose of this Risk and Issue Management Plan is to identify methodologies, processes, tools, and techniques that the project will employ to identify, analyze, mitigate and track project risks and issues.

A project risk is something that poses a potential threat to project cost, scope, schedule or resource loading. Risks differ from issues in that the project has the opportunity to mitigate the risk before it occurs whereas the project can only respond to issues. Risks will be resolved at the lowest level possible by an individual with the appropriate authority and ability.

A project issue is defined as the result of an event that has occurred and has a positive or negative impact on the project and should be analyzed and dealt with via actions. An issue can be a risk that has occurred and can also be a question that needs to be answered or a difference of opinion that needs to be resolved. Issues will be resolved at the lowest level possible by an individual with the appropriate authority and ability.

This section describes the approach for managing risks and issues within the EOL project. The process of risk and issue management includes the identification, analysis, planning, tracking, controlling, and communication of risks and issues.

7.2. Scope

This plan is the master Risk and Issue Management plan for the entire project. The PMT has overall responsibility for coordinating the management of all risks and issues in the project; however, all project stakeholders have a responsibility for actively participating in this process. In particular, the AS and SI vendors each have a direct responsibility for Risk and Issue Management for areas that are within their scope of work and control. It is expected that the AS and SI vendors will integrate their activities with the methodology outlined here so that all project risks and issues can be managed across the project.

IPOC and IV&V consultants are responsible for providing independent project oversight and independent verification and validation of the risk management process.

The processes described in this plan only apply to the risks and issues that affect the EOL work effort. It does not address risk and issue management outside the EOL scope.

7.3. Risk Management

For the EOL Project, a project risk is anything that poses a potential threat to project cost, scope, schedule and/or quality. Risk management is the practice of actively dealing with risks in such a way as to either reduce the probability of the risk occurring, or minimize the impact of the risk occurrence. A complete risk management program provides processes, methods, tools, and an infrastructure of resources and organizational responsibilities to identify and assess risks, determine what to do about the risks, and implement actions to address the risks. This section describes how the PMT intends to perform risk management within the EOL effort.

7.3.1. Risk Management Process Overview

Project risks are managed through a process of identification, qualitative analysis, action planning, tracking, escalating, and retiring. These steps are described below.

The PMT handles the day-to-day oversight of risks including updating the risk and issue log as events occur. Any EOL Project participant can identify risks. If an EOL team member identifies risks that could have an impact on the EOL Project, a team member will submit the risk through the processes documented in this Project Management Plan. The PMT will document the individual that has been assigned ownership and will track the progress of risk management and resolution. If needed, the PMT

will escalate risks that are not receiving adequate attention to the Project Director and Steering Committee. The core of this process is cyclical in that the PMT will be continuously identifying, assessing, and tracking risks. The results of the latter steps may lead to the identification of new risks and the cycle is repeated. The glue that ties all these steps together is communication. The PMT will use a Risk Tracking Log to capture and maintain all information pertaining to EOL risks. In addition, risk reviews will be held on a regular basis to verify that all risks have been identified and progress is being made on risk responses. In the case of high profile or sensitive risks, the PMT will seek guidance and assistance from the Project Director. The PMT will review the status of open risks regularly with the Project Director, management team and Steering Committee.

There will be a single risk/issue repository for the EOL Project that will be used by the PMT, AS vendor, SI vendor, IV&V, and IPOC.

7.3.2. Risk Management Roles and Responsibilities

The following roles and responsibilities in Table 9 support the defined risk management process.

Table 9: Risk Management Roles and Responsibilities

ROLE	RESPONSIBILITIES
Executive Project Sponsor	Final decision maker and approver for risk mitigation and/or contingency plans, as needed.
Project Steering Committee	Approve risk mitigation and/or contingency plans, as needed. Review escalated medium and high severity risks and provide direction as needed. Determine if risks have become unacceptable for the project to continue.
Project Director	Participate in risk mitigation and/or contingency plans and approves risk mitigation and/or contingency plans.
PMT	Oversees the risk management process from identification through retirement and facilitates appropriate risk management. This role serves as the single point of contact for communications on risk matters. Responsible for risk mitigation action plans and tracking risk mitigation activities. Escalates risks as needed.
AS and SI vendors	Responsible for overseeing all project risks for AS and SI tasks, especially those that may not be visible to the PMT, submitting them to the PMT, and managing the mitigation or contingency planning efforts.
Risk Originator	Initially identifies the risk and formally communicates the risk to the PMT
Risk Owner	Responsible for ensuring a risk is analyzed and appropriate action planning is performed on the risk
Project Team	Responsible for identifying risks, risk contingency planning and/or mitigation tasks as assigned.
IPOC/IV&V	Responsible for providing independent project oversight and independent verification and validation of the risk management process. IV&V is specifically responsible for identifying and analyzing technical risks. The IPOC and IV&V vendors are also responsible for performing independent risk identification, analysis and reporting.

7.3.3. Risk Identification

Risk identification is the process of identifying risk events that could negatively impact project schedule, cost, and/or quality if the event were to occur. It would be impossible to identify all possible risks to the project, therefore emphasis is on identifying risks that are at least somewhat likely to occur and that could have a significant impact on the project. All project team members are responsible for identifying potential risks to the project.

For each perceived risk, the PMT will develop a Risk Statement. The risk statement will clearly identify the potential event or condition causing the risk and the expected consequence or effect of the event or condition that may occur. Risk Statements will be added to the Risk and Issue Tracking Log.

Anytime during the project, the PMT may uncover additional risks to the EOL effort through the course of performing regular EOL tasks. Any additional risks uncovered at any time after initial risk identification efforts will also be added to the Risk and Issue Tracking Log. It is the responsibility of the PMT to report perceived risks to the Project Director at the time of their discovery.

7.3.4. Qualitative Risk Analysis

Risk analysis will assign values to a number of risk attributes. In performing risk analysis, the PMT will develop the risk attributes defined in the CA-PMM. Those attributes and their criteria are listed below. Some of these attributes are derived from others and will be assigned in a logical order.

- **Probability** – each risk is rated at a level between 1 and 5 based on the likelihood of occurrence. The rank determination is based on the probability scale below:

Rank	Probability
1	<20%
2	21% - 40%
3	41%-60%
4	61%-80%
5	> 80%

- **Impact** – each risk is rated at a level between 1 and 5 based on the impact (i.e. change) on project budget, schedule or quality. The rank determination is based on the impact scale below:

Rank	Impact
1	<5%
2	5% - 10%
3	11%-15%
4	16%-24%
5	> 25%

- **Timeframe** – this is the amount of time within which action must be taken in order to successfully mitigate the risk. The timeframes range from within the next six months, six months to a year, and over a year. The timeframe selected is assigned a value based on the project duration as depicted in the table below which assists in calculating the Risk Level defined below.

Project Duration	Timing Scale		
6 months	1 = immediately	.66 = within the next 3 months	.33 = more than 3 months from now
>6 months to < 1 year	1 = within the next 3 months	.66= 3 to 6 months from now	.33 = more than 6 months from now
1 year to < 3 years	1 = within the next 6 months	.66 = 6 months to a year from now	.33 = more than a year from now
3 years to < 5 years	1 = within the next year	.66 = more than a year from now	.33 = more than two years from now

- **Risk Level** – Risk Level is a function of Impact, Probability, and Timeframe and is a fundamental part of determining the relative priority of the risk. The risk level is assigned a value between 1 and 25 where 1 is the lowest risk level and 25 is the highest risk level.

Risk attribute information will be captured in the Risk Tracking Log for each risk. This will include the cause of the risk, consequence of the risk, and the risk owner. The cause of the risk is defined as the trigger that will cause the risk to occur. The consequence of the risk describes the impact to the project if the risk triggers. The Risk Owner will be responsible for completing the qualitative risk analysis. If additional expertise beyond the knowledge of the Risk Owner is required to complete the analysis, the EOL Project Manager will work with the Project Director to identify and assign appropriate resources to assist with the risk analysis.

7.3.5. Risk Action Planning

Once the risks have been analyzed, an action plan must be developed to address each risk. There are a number of viable actions, including acceptance, mitigation, avoidance, transference and contingency planning. If the PMT can continue and be successful with the anticipated impact of the risk, the risk may be accepted. If the risk is accepted, its acceptance will be documented.

If the risk cannot be accepted, a strategy must be developed for dealing with the risk. Most commonly, the PMT will develop mitigation and/or contingency plans to deal with the risk. Once approved by the Project Director, the Mitigation plans are actions that the team will take to reduce the probability of the risk occurring. Contingency plans are actions that the team will take if the risk event does occur. These plans will consist of a list of action items with responsibilities, triggers and due dates. The Risk Register will capture action planning data. If necessary, risk mitigation plans and contingency plans may be escalated by the Project Director to the Project Sponsor.

The Risk Owner will be responsible for developing an initial set of potential risk responses along with a recommendation. The Risk Manager, with input from the project team and Project Director, will review and select the most appropriate risk response. The Risk Manager will enter this information into the Risk Register.

7.3.6. Risk Tracking and Evaluation

The PMT will review risk data within the EOL Risk Register weekly during regularly scheduled EOL Management meetings. This review will include a reassessment of risk attributes; the status of current risk action plans; and identification of risks that require escalation, have become issues, or whose timeframe has passed and should be retired. At the conclusion of the review, the Risk Register will be updated by the Risk Manager with any new/updated information.

Risks that present an impact to the EOL Project will be escalated to the EOL Project risk management process. The Risk Manager will be responsible for submitting the appropriate information to the EOL Project's risk management process for all risks requiring escalation.

The PMT will continuously evaluate its own risk management activities. Through this evaluation, the PMT will seek to determine the effectiveness of the risk management activities and modify the process as required.

When a risk is no longer valid, or has become an issue, the risk will be retired. When a risk is retired, the reason for its retirement shall be captured in the Risk Register. If the risk becomes an issue, a reference to the corresponding issue shall be included.

The Risk Manager, with input from the Risk Owner, is responsible for retiring risks and updating the Risk and Issue Tracking Log.

7.3.7. Risk Communication and Documentation

Information about the risks identified (their causes, their mitigation, and the success of the mitigation), will be collected throughout the project for the purposes of improving the risk management process. This information will be drawn from the Risk Register.

EOL risks and their status will be communicated with the Project Director and within the EOL team via the Project Monthly Status Report (PMSR), regular project meetings, email, EOL Steering Committee meetings, and other informal communications. Every project participant will be encouraged to initiate and communicate risks, whenever they occur. The project team will have risk management as a standing agenda item for weekly status meeting. All EOL stakeholders will have access to the Risk Register to allow review, monitoring, and follow-up active risks.

7.4. Issue Management

A project issue is defined as the result of an event that has occurred and has a negative impact on the project and should be analyzed and dealt with via actions. An issue may be a risk that has occurred and may also be a question that needs to be answered or a difference of opinion that needs to be resolved. Issues will be resolved at the lowest level possible by an individual with the appropriate authority and ability. Issues differ from risks in that they involve current events, whereas risks involve potential future events. Issue Management is the practice of actively resolving issues to minimize their negative impact to the project. This section describes how the PMT intends to track and manage issues that arise within the EOL effort.

7.4.1. Issue Management Process Overview

Since issues are usually more urgent than risks, the EOL issue management process is more compact. The core of this process includes identification, assessing, tracking, and resolving issues. This process allows the project utmost flexibility to deal with issues. Once again, communication is an important component of the process and the Project Management Status Report (PMSR) will be a communication channel. An Issue Log will be kept to capture and maintain all information pertaining to EOL issues. In addition, open issues will be discussed at regularly held EOL meetings so that issues are addressed in a timely manner.

Unlike risk management, there are no established industry standards for issue management. The PMBOK makes some references to issue management and the establishment of an “issue log,” but does not describe a comprehensive process for issue management. The EOL project will utilize guidance from the CA-PMM, internal CDPH issue management processes, as well industry leading practices and KPMG’s experience managing issues on other projects.

Project issues will be managed through a process of identification, assessment, tracking, and resolution depicted and described in the diagram on the next page.

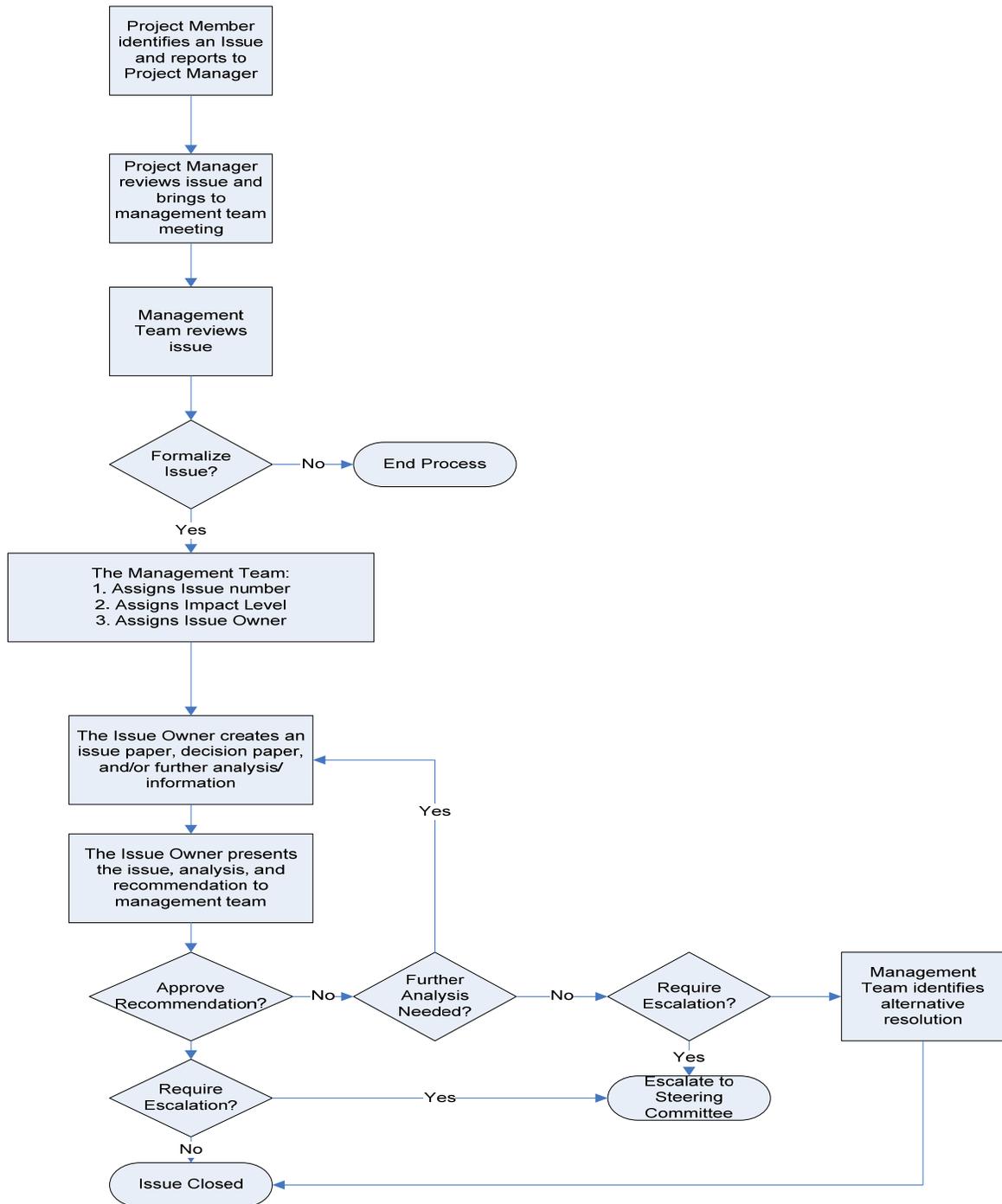
7.4.2. Issue Management Roles and Responsibilities

Table 10 **Error! Reference source not found.** identifies the roles and responsibilities for the defined issue management process.

Table 10: Issue Management Roles and Responsibilities

ROLE	RESPONSIBILITIES
PMT	Oversees the entire issue management process from reporting through resolution and verifies that project issues are managed appropriately. The PMT serves as the single point of contact for communications on issue matters. Assists in the development of issue action plans and tracking issue resolution activities. At the direction of the Project Director or EOL Management Team, assigns Issue Owners as required.
Issue Originator	Initially identifies the issue and formally communicates the issue to the EOL Project Manager
Issue Owner	Responsible for analyzing issues and taking appropriate action for resolution of the issue. Ownership will be assigned by the Project Director or the EOL Management Team at its direction by the PMT.

EOL Issue Management Process



7.4.3. Issue Identification

Issues may arise as the PMT conducts the activities of the EOL effort. It is the responsibility of all EOL stakeholders to report issues to the PMT at the time of their discovery. When an issue is identified, known information about the issue will be entered into the Issue Log. Issues will be classified as project issues, technical infrastructure issues and business program issues. The nature of the issue will help identify who the Issue Owner should be. The PMT will discuss new issues with the Management Team to identify the Issue Owner and an assessment due date will be assigned. The PMT will document the owner of each issue on the Issue Log. The Issue Owner conducts the assessment of the issue by the due date.

If the issue has a potential impact on the EOL Project, the PMT will report the issue to EOL Project Director through the EOL Project issue management process. If the issue requires DHCS infrastructure support, the project will follow the IT Shared Services Committee (ITSSC) issue submittal process³.

7.4.4. Issue Assessment

The individual with the knowledge and authority to best resolve the issue will typically become the Issue Owner. In conducting the issue assessment, the Issue Owner will further define and clarify the issue. If the issue is relatively simple with a clear-cut resolution, then the Issue Owner will document the resolution recommended and provide that information to the PMT and project team for approval. If however the resolution is not clear-cut or requires informed judgment and approval by CDPH management, the PMT will typically require the Issue Owner to perform a more formal analysis of the issue as described below.

In collaboration with other project team members, the Issue Owner will identify and assess the impact of the issue and potential courses of action. The owner will assess the advantages and disadvantages of available options and make a recommendation on the resolution of the issue. The owner will also provide information pertinent to understanding what is required to implement the recommendation such as resources or time needed. The results of the issue assessment will be documented in an issue or decision paper and entered into the Issue Log. The issue paper will be presented to and discussed among the management team and PMT. The PMT will identify the appropriate authorities to review and approve the issue paper. The approval authority will depend largely on whether the issue is a project, technical or business program issue. The Issue Owner and PMT will facilitate obtaining approval from the appropriate authority until a final decision on the issue is made. The PMT will track progress on issue assessment and resolution and escalate any concerns to the Project Director and/or Steering Committee if necessary.

7.4.5. Issue Tracking and Evaluation

The PMT will use the Issue Log to track EOL issues. As action items are completed, the results will be logged into the Issue Log so that it is kept current. Current project issues and the status of any assigned action items will be discussed at regularly scheduled EOL meetings. The Project Monthly Status Report will summarize the tracking information.

³ The ITSSC issue submittal process is managed by CDPH and DHCS.

The PMT will continuously evaluate project management activities. Through this evaluation, the PMT will seek to determine the effectiveness of the project's issue management activities and modify the process as required.

7.4.6. Issue Resolution

When an issue becomes fully resolved, the PMT will enter the final resolution into the Issue Log and update its status to Closed. It is possible that the resolution of an issue creates a change or risk item. In this case, the change or risk item will be created using the appropriate process and linked to the issue it spawned from in the Issue Log.

7.4.7. Issue Communication and Documentation

Information about EOL project issues, their causes, and actions required to resolve will be collected throughout the project for the purposes of improving the issue management process. This information will be drawn from the Issue Log.

EOL issues and their status will be communicated within the EOL team via regularly scheduled meetings, email, and telephone communications. All EOL stakeholders will have access to the Issue Log to allow review, monitoring, and follow-up of active issues. The PMSR will report on the issue status information at the appropriate level.

For regular EOL project team meetings, the PMT will use the Issue Log to produce an Issue Log of current issues for discussion, and will capture status update information during the meeting and update the Issue Log as required.

7.5. Risk and Issue Tracking Tool

The Risk Register and Issue Log acts as a central repository for information related to risks and issues associated with the EOL Project. Risk and issue tracking will be performed using Excel spreadsheets and will be made available to project stakeholders on the EOL Project SharePoint Site

The PMT is responsible for managing and keeping logs current. As noted above, project participants and stakeholders are responsible for bringing forward risks and issues through the agreed upon project management process. Roles and responsibilities associated with processes that impact the log are described in various sections throughout this project management plan.

7.6. Decision Tracking

During the course of the project questions will arise that require decisions to be made by various stakeholders, whether the Project Director, Program Chiefs, Subject Matter Experts or others. These decision items may be related to issues and risks, but may not themselves be categorized as issues or risks.

In order to manage, track, and document project decisions that are open or have been made, the PMT will use the EOL Project SharePoint site that allows a decision item to be tracked analyzed, resolved, and closed. The Decision Tracking tool will capture

- Title
- Assigned to

- Status (Active, Resolved, Closed)
- Priority (High, Medium, Low)
- Description
- Category (Business, Technical)
- Analysis/Information
- Resolution
- Due Date

Decision items may be added by any management level project participant. Any project participant may be assigned to analyze and make a recommendation on a decision item. Supporting documents can be added to the Decision Tracking item for analysis and historical purposes.

The PMT will monitor these items, facilitate timely resolution, and route the resolved items to the appropriate decision makers for sign off.

8. SCOPE MANAGEMENT AND CHANGE CONTROL

8.1. Purpose

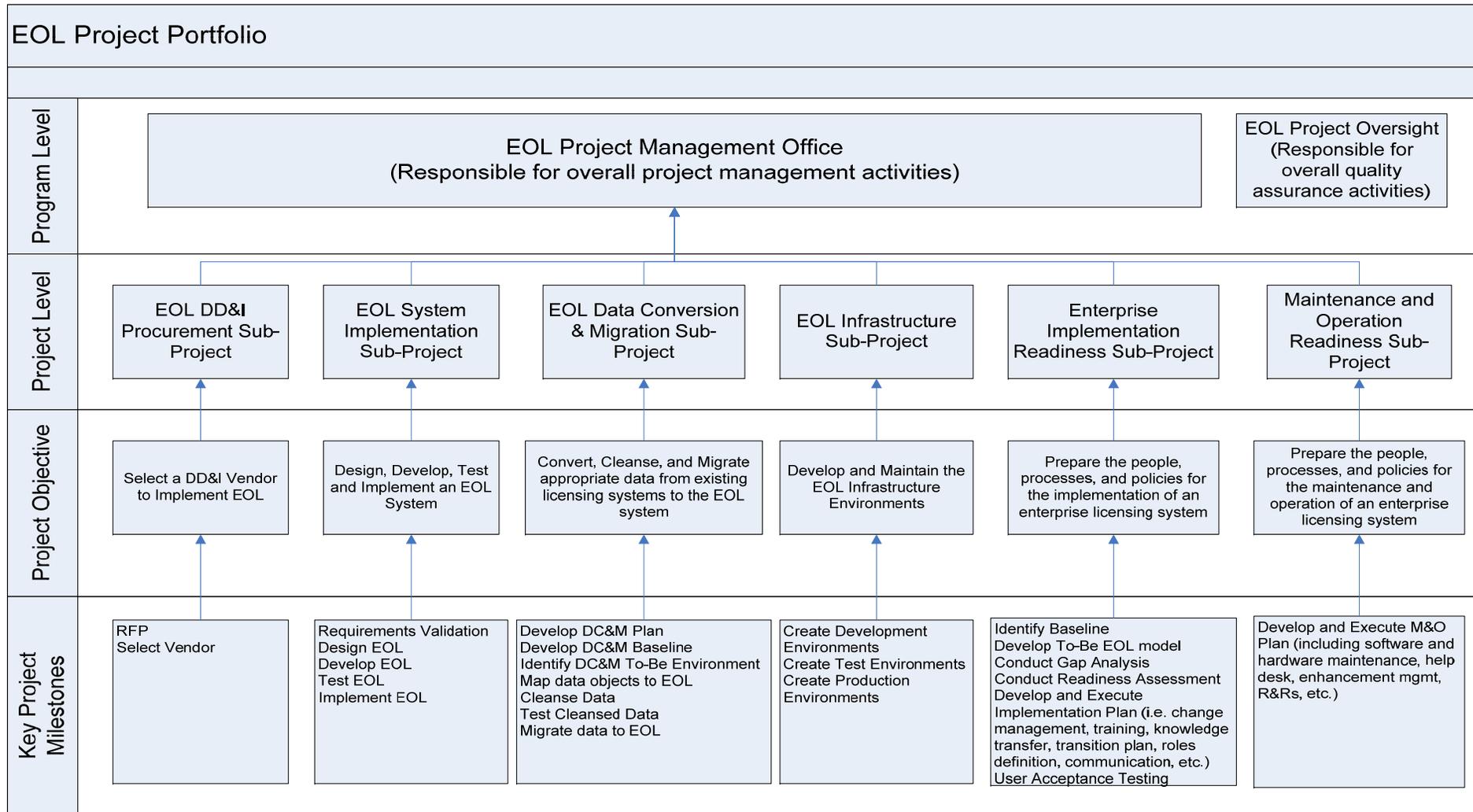
Scope management includes processes to ensure that the appropriate set of work and deliverables are defined and solution implemented that meets the project objectives.

The FSR Section 3.3, Business Objectives, defines the overall scope of the EOL project. The Project Charter defines the logical and technical scope, as well as the project parameters. The RFP defines the detailed technical and functional scope of the system. And the project portfolio on the following page depicts the overall project as well as EOL sub-projects that the EOL PMO will manage to monitor the adherence to meeting project goals and objectives. Scope changes will be controlled via a formal change control process, and may require control agency approval.

The following approach will be used to manage the scope of this project:

- The business objectives and functional requirements will be defined and validated at each phase of the project.
- Any proposed change to the project scope and objectives must be analyzed and approved through the change control process.

This Scope Management and Change Control Plan outlines the processes defined for maintaining control of configured items, managing requested changes, communicating changes, and tracking the resolution of change requests for the EOL project. The intent of Change Control for the EOL Project is to define the processes to request and track possible changes to the project scope and all related activities and deliverables.



Note: Each sub-project is responsible for coordinating with other sub-projects as needed, reporting to the project management office and conducting quality assurance activities

Change is defined as any activity that alters the baseline scope, schedule, cost, or quality of the project. A baseline is a work product that has been formally reviewed and agreed upon, and can be changed only through formal change control process. Baselines are usually deliverables and provide the basis for future work.

This plan establishes the EOL Change Control Board (CCB) to make decisions to approve or reject changes. The plan also defines a procedure by which project team members and stakeholders can request changes and identify how these requested changes will be managed.

8.2. Scope

The Change Control Process interacts with other project processes such as Cost Management, Schedule Management, Risk and Issue Management, and Quality Management.

Change Control Processes are created during the initial planning of a project and then updated as needed during subsequent planning for the project. Change Control addresses changes made to baseline documents as well as hardware and software, and applies to the following types of changes for the aforementioned:

- Scope
- Project Plans
- Processes
- Procedures
- Budget
- Schedule

The following work product classes are exempt from the Change Control Process:

- Work products that are still under development and have not established a baseline
- Work products intended for individual use only (e.g., spreadsheet created to track tasks, workstations, printers)
- Presentations that summarize concepts referenced in baseline artifacts
- Project support documentation (e.g., meeting minutes, internal working papers, status reports, etc.)

8.3. Assumptions

The following assumptions are the basis for the Change Control Plan:

- Processes and tools will be fully deployed and all relevant work products and artifacts will be versioned and a baseline created using the designated configuration management tool
- All baseline documents have gone through some type of formal review prior to establishing the baseline
- All hardware and software Configured Items that have been either developed (related to a requirement) or purchased (asset tag assigned) have passed through Configuration Inventory

- All artifacts are labeled with their appropriate status (e.g., a baseline is established) within the designated configuration management tool
- The Change Control Process will not be responsible for managing the activities to implement approved changes, but will be responsible for confirming the implementation of the changes
- The Change Control Process will not be responsible for identifying funding for approved changes, but will be responsible for identifying cost of proposed change requests.
- The implementation of changes will be tracked via the project schedule and reported on in status meetings

8.4. Tools

The EOL SharePoint site will be the primary tool used to capture requested changes, document analysis of the proposed change, and track Change Request Status.

8.5. Change Control Process

The Change Control Process is the structured and comprehensive approach to managing changes to the baseline scope, schedule, cost, and/or quality of the project. This process is the EOL Project standard to document, analyze, approve, and communicate all project Change Requests. Changes on a project may have a positive or negative impact in one or more areas of concern (scope, schedule, cost, and quality). This section describes general guidelines for determining when a change requires submission of a formal Change Request.

This Change Control Plan provides a process consistent with features of the OCIO *Information Technology Project Oversight Framework* and the *Guide to the Project Management Body of Knowledge (PMBOK)*™ and the CA-PMM. The key steps within this process are depicted in the figure on the next page.

8.5.1. Initiate Change Request

This section provides guidelines for determining the need for a requested change. Change Requests may be initiated due to changes to any Configuration Item in the areas of:

- Scope
- Schedule
- Budget/Cost; and
- Quality

The criteria for submitting requested changes are described in Table 11.

The purpose of the Change Request Form is to initiate a Change Request that will be managed by this Change Control Process. The form is designed to capture consistent and relevant information needed in making an informed decision on changes affecting baseline documentation, artifacts and policies. Each Change Request may potentially impact the project scope, schedule, budget/cost, and/or quality.

EOL Change Control Process

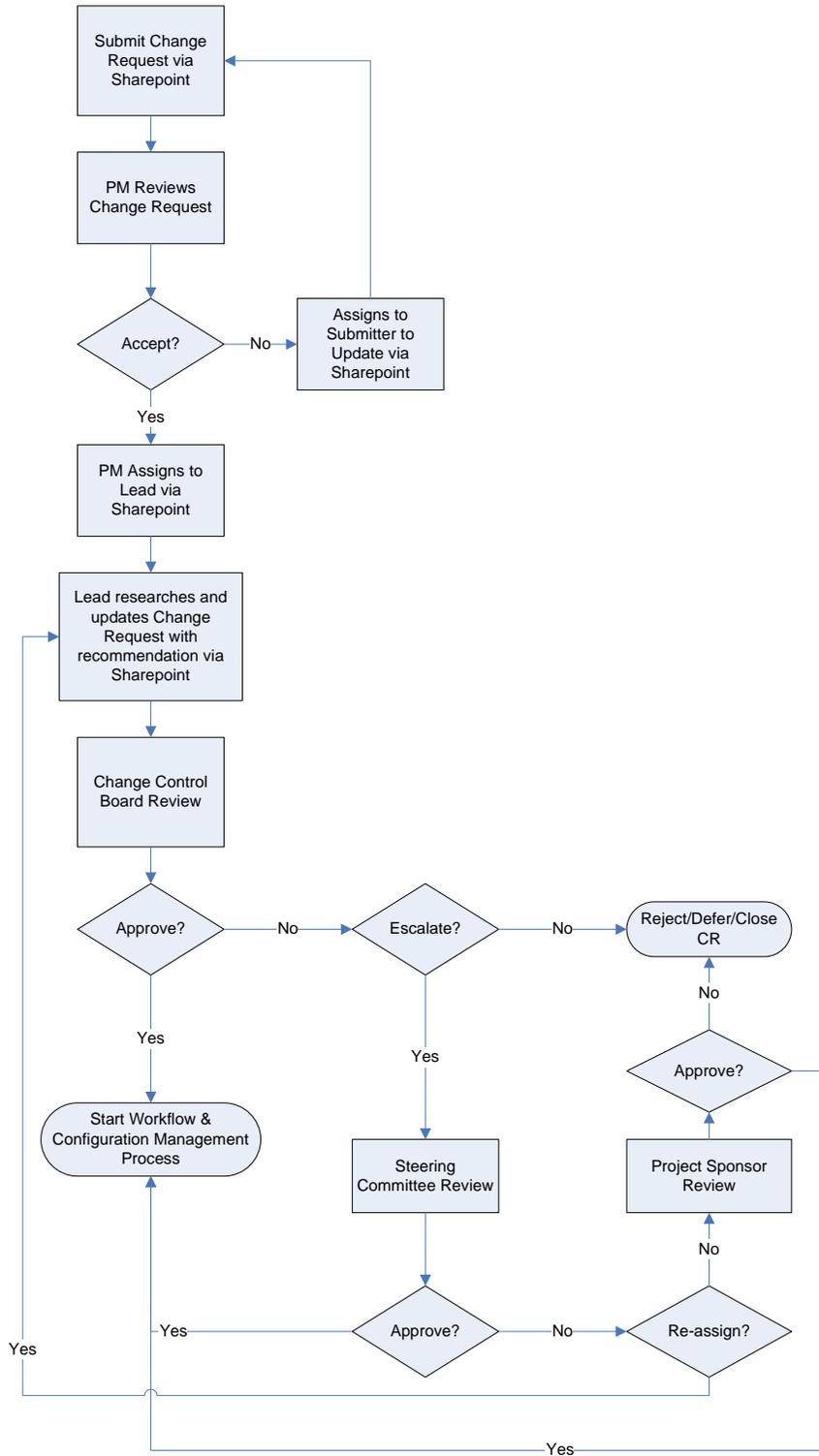


Table 11: Change Request Criteria

Area	CRITERIA
Scope	<ul style="list-style-type: none"> • Modification to project’s scope, goals, or objectives as defined in the Project Charter • Modification of any artifact with an established baseline. For example: <ul style="list-style-type: none"> • RFP and Addenda • Changes due to newly approved Enterprise Architecture standards • Changes to deliverable acceptance criteria • Changes or exceptions to the project processes
Schedule	<ul style="list-style-type: none"> • A task needs to be added that extends any milestone or project end dates • A planned deliverable, milestone, or project end date needs to be adjusted due to the following: <ul style="list-style-type: none"> • New estimates for activities • Lack of resources • A new constraint that impacts the delivery of the project • A resource is redirected to other enterprise activities and there is no one to fill-in • A different resource is used for a role and the schedule is impacted • Hours are applied from one task (past or future) to a different task
Budget/Cost	<ul style="list-style-type: none"> • There is zero tolerance for costs that exceed planned budgets at the project and phase levels. In other words, if a Project Director or EOL Project Manager knows that he or she can not meet project or phase budgets or end dates, he or she must submit a Change Request asking for additional funding and/or a schedule change • All requested changes that affect budget or cost shall be escalated to the Project Steering Committee for further action
Quality	<ul style="list-style-type: none"> • A request to change, tailor, or waive any CDPH-CHS policy or process • Work products that require additional non-planned rework to correct

When the need for a Change Request is identified, any one on the EOL Project Team may submit a Change Request, becoming the Originator, by completing a Change Request Form and introducing it to the Change Control Process.

The Change Request Form requires the following information:

- Change Title
- Requested By
- Assigned To
- Change Status
- Associated RFP Requirement Numbers
- Description
- Category (Must have, should have, nice to have)
- Quantifiable Benefits (i.e. cost savings, added revenue, reduced schedule, etc.)
- Impacted Areas (Scope, Schedule, Budget, Quality)
- Impact Analysis (i.e. detail impacted area)
- Resource Availability (Sufficient, Insufficient)

- Associated Risks & Mitigation Descriptions
- Recommendation
- Decision.

When creating a Change Request, it is important that the Originator provide a detailed description, keeping in mind the audience and reviewers of the requested change. All change requests are submitted via the EOL SharePoint site.

8.5.2. Review Change Request

The PMT reviews the Change Request (CR) to verify that all appropriate fields have been completed and that the form contains sufficient information to be brought to the EOL Change Control Board (CCB) If the Change Request requires additional information or analysis, the PMT may return the item to the Originator or assign the CR to an appropriate team member at the direction of the Project Director. The Assignee gathers additional information, performs analysis, and submits the findings via SharePoint. The PMT brings the Change Request Form to the CCB. The CCB reviews the requested change and assesses its impact on the project.

The PMT will maintain the schedule for Change Control Board meetings, and shall establish a cut off date for submittal of change requests to be considered in the next regularly scheduled meeting. The purpose is to allow the PMT enough time to prepare for the CCB meetings. The PMT may schedule additional meetings if the volume of Change Requests warrants it.

8.5.3. Determine Change Request Disposition

After the CR Assignee conducts an assessment of the requested change’s impact on scope, schedule, budget/cost, and/or quality, the CCB will then determine the disposition of the requested change. Table 12 below identifies requested change status values.

Table 12: Change Request Status

STATUS	DESCRIPTION
Assigned	The status of Assigned is used to indicate a requested change is in an analysis phase. This change occurs after a preliminary review by the CCB. The CCB Assignee(s) has the responsibility for conducting the analysis necessary to provide the CCB with sufficient information to determine the disposition of the requested change. This may include further definition of the change, further clarification of impact, or conducting alternative analysis.
Approved	The status of Approved is used to indicate a requested change has been reviewed by the CCB (or in the case of escalated changes, the Project Steering Committee or Project Sponsor) and has been approved.
Escalated	If a requested change must be escalated from the CCB to the Project Steering Committee or to the Project Sponsor, the requested change will be designated as Escalated.
Rejected	If review by the CCB or Project Steering Committee determines that the requested change is unnecessary, inappropriate, has unacceptable risk, or has too great an impact on the project scope, schedule, budget/cost, or quality, the change will be given a status of Rejected.
Withdrawn	If the Originator determines after submission of the requested change that it is no longer valid or necessary, the requested change status will be set to Withdrawn.
Deferred	The status of Deferred is used to indicate the request is valid, but the change can be deferred to the post implementation maintenance period.

The status values of Approved, Rejected, Deferred or Withdrawn are considered end stages. When requested changes is set to one of these values, sign off and implemented the request is considered closed.

Whenever an action occurs, the Change Request Status will be updated to reflect the action.

8.5.4. Escalate Change Request

If the CCB determines that a higher level of review is required, the EOL Project Manager will escalate the requested change to the Project Steering Committee. Likewise, if the Project Steering Committee cannot agree on the requested change, or the requested change is beyond the authority of the Steering Committee, the EOL Project Manager/Project Director will escalate the requested change to the Project Sponsor for review and resolution.

The Project Sponsor provides final guidance on requested changes. Once a requested change has been escalated to the Project Sponsor for decision, the decision is considered final. It is the EOL Project Manager’s responsibility to guide all requested changes through the escalation process and to support and implement the decisions of the Project Steering Committee and the Project Sponsor.

8.6. Change Authority

The EOL Change Control Board (CCB), Project Steering Committee, and the Project Sponsor represent the progressively authorized levels of Change Control. These levels guide the escalation process. Table 13 below summarizes the levels of authority for the Change Control entities:

Table 13: Change Authority

CHANGE CONTROL ENTITY	AUTHORITY
EOL Change Control Board (CCB)	<ul style="list-style-type: none"> Adjustments to schedule dates that do not affect milestone, phase end, or project end dates Changes within scope that do not affect schedule or cost (e.g. fine tuning requirements, resource changes) Changes to costs up to 5% of approved budget
Project Steering Committee	<ul style="list-style-type: none"> Adjustment to project or contract milestones, or phase end dates Changes to project scope Changes to costs over 5% of approved budget
Governance Sponsor	<ul style="list-style-type: none"> Significant changes to major project milestones or project end dates Changes in contract cost or scope that cannot be approved by the Project Steering Committee
Control Agencies	<ul style="list-style-type: none"> Changes to schedule, scope, or budget over 10% - OCIO Changes to budget over 10% - DOF

8.6.1. Change Control Board

The EOL Change Control Board (CCB) will track, review, and address requested changes. The members of the CCB are:

- EOL Project Director (Chair)
- EOL Project Manager

- EOL Management Team
- EOL Organization Change Manager
- AS Lead
- EOL Technical Lead
- SI Project Manager
- CCB Assignees

The CCB is the starting point for all requested changes potentially affecting the project. The CCB will meet at least every other week during the Design, Development and Implementation phase. Meetings will be held more frequently if needed in order to expedite critical decisions so they do not delay the project schedule.

As needed, the CCB will ask additional project team members, representatives from the SI vendor, DHCS ITSD, IV&V, or others to attend to provide information regarding specific changes.

Changes that are approved by the CCB, which do not require escalation to the Steering Committee, will be signed off by the EOL Project Director. Such changes are limited to

- Changes to Configured Items that do not entail a change in scope, deliverable or milestone dates or budget (e.g., changes to previously base-lined and approved documents)
- Changes to SI vendor resources
- Modifications to requirements that do not change the project scope (e.g. clarification of how a requirement will be implemented; adding detail to an existing requirement)
- Changes to project scope that do not result in an increase in contract cost. However, some changes to scope may require escalation to the Steering Committee as determined by the CCB.
- Schedule modifications that do not impact milestones, phase end dates, or the critical path.

Any changes beyond the scope detailed above, will be evaluated by the CCB and escalated to the Steering Committee with a CCB recommendation. The CCB shall have the authority to reject or defer changes that are beyond their scope of authority to approve; however, in some cases they may elect to escalate such Change Requests with a recommendation to defer or reject the change.

8.6.2. Escalation to Steering Committee

Any change requests that are beyond the authority of the CCB to act on, will be presented with a recommendation from the CCB at the Monthly Steering Committee meeting. The Project Manager will brief the committee on the escalated change requests. The Steering Committee will have the final authority to approve the following types of change requests:

- Adjustment to milestones, or deliverable dates that do not change the overall project end date
- Changes to overall project schedule, not to exceed 5% of the planned project completion date
- Changes to project scope that do result in an increase in project cost, not to exceed 10% of the last approved project budget.
- Changes to project cost, not to exceed 10% of last approved project budget

Changes approved by the Steering Committee will be signed off by the EOL Project Director and the EOL Steering Committee Chairperson. Any changes beyond the scope detailed above, will be evaluated by the Steering Committee and a determination will be made if it requires escalation to the Project Sponsor with a recommendation from the Steering Committee.

The Steering Committee shall have the authority to reject or defer changes that are beyond their scope of authority to approve; however, in some cases they may elect to escalate such Change Requests with a recommendation to reject or defer the change.

8.6.3. Escalation to Governance Sponsor

Change requests that are beyond the authority of the Steering Committee to approve will be presented to the Governance Sponsor for a final decision and signature. The Governance Sponsor will receive briefings from the EOL Project Director, Project Manager and/or Executive Project Sponsor on any changes being escalated to the Governance Sponsor.

The strategic nature of the Governance Sponsor makes them the decision point for the final disposition of requested changes with the potential to affect CDPH at an enterprise level. If there are changes to schedule, scope, or budget that is over 10%, approval will also be required by control agencies

8.7. Change Control Roles and Responsibilities

All Project stakeholders (e.g., the project team, subject matter experts, business partners, and anyone else with a stake in the project) are responsible for communicating identified requested changes to the CCB.

Table 14 on the next page identifies the roles and responsibilities for the individuals involved in the Change Control Process.

8.8. Change Control Meeting Schedules

The CCB meetings shall be regularly scheduled to occur bi-weekly. More frequent meetings may be called, if needed to mitigate any impact on the project schedule, depending on the number of outstanding Change Requests. The Change Manager will manage the meeting schedule based on the number and impact of outstanding requested changes.

The regularly scheduled Project Steering Committee meetings will be used to review escalated requested changes. The EOL Project Manager or Project Director may request additional Project Steering Committee meetings as needed to address escalated requested changes. These additional meetings may be scheduled as teleconferences if needed to expedite the process. In the event a critical decision is needed and it is not possible to schedule a meeting of the Steering Committee, the Project Director may use email to distribute Change Requests, and solicit input and recommendations from the Steering Committee. Based on the feedback received, the Project Director may make the final decision on the change request.

Requested changes are escalated to the Project Sponsor when the Steering Committee determines that level of approval is desired or required. A request for time on the calendar of the Project Sponsor will be submitted as soon as possible thereafter.

Table 14: Change Control Roles and Responsibilities

CHANGE CONTROL ROLE	RESPONSIBILITY
Originator	<ul style="list-style-type: none"> • Initiates Change Control process by submitting a Change Request in SharePoint • May present requested changes at CCB per Project Managers direction
PMT	<ul style="list-style-type: none"> • Provides briefing to Steering Committee on escalated Change Requests • Facilitates Change Control Board Meetings • Updates the Configuration Management Database • Generates Change Control reports • Reviews all requested changes prior to the Change Control Board meeting for completeness • Presents requested changes at CCB meeting • Coordinates with project team to implement approved changes and closes the Change Request once it is implemented and verified • Arranges participation of knowledgeable resources at CCB meetings as required to address requested changes • Maintains documentation related to requested changes
EOL Change Control Board (CCB)	<ul style="list-style-type: none"> • Reviews Change Requests to determine if sufficient information is available to make a decision • Assigns requested changes to the appropriate person to act as CCB Assignee if additional analysis is needed • Reviews requested changes and recommends whether to Approve, Reject, Defer or Escalate
EOL Project Director	<ul style="list-style-type: none"> • Member of the CCB • Escalates to Project Steering Committee as appropriate • Escalates to Project Sponsor as appropriate
CCB Assignee(s)	<ul style="list-style-type: none"> • Reviews the content of a Change Request and all attachments • Conducts Impact Analysis and updates Change Request • Provides recommendations at the CCB meetings
CCB Chair	<ul style="list-style-type: none"> • Approves, Defers or Rejects proposed changes • Manages scope and focus of the CCB meetings • Sign off on Change Requests approved by the CCB
Project Steering Committee	<ul style="list-style-type: none"> • Receives briefings on escalated requested changes • Approves, Defers or Rejects requested changes escalated to this level • Recommends escalation to the Project Sponsor as needed.
Project Sponsor	<ul style="list-style-type: none"> • Receives briefings on escalated requested changes • Approves, Defers or Rejects requested changes escalated to this level
IV&V and/or SI	<ul style="list-style-type: none"> • Updates the requirements traceability matrix with requirement additions or modifications as a result of approved change requests
Control Agencies	<ul style="list-style-type: none"> • Approve changes to schedule, scope, or budget above 10% that will be documented in an Special Project Report

9. CONFIGURATION MANAGEMENT

9.1. Purpose

This section of the Project Management Plan describes the approach to Configuration Management. Configuration Management is the discipline of managing and controlling change in the evolution of technology based systems and applies technical and administrative direction to:

- identify and document the functional and physical characteristics of a Configured Item (CI)
- control changes to those characteristics
- record and report change processing and implementation status
- verify compliance with specified requirements

The Configuration Management Process interacts with the Change Control Process; however, Configuration Management is broader and tracks Configuration Items throughout the design, development and implementation process, even before they are formally baselined and subject to formal Change Control.

The plan describes how Configuration Management activities will be performed in the EOL project. A sound Configuration Management plan enables the EOL project to establish baselines for all project components and work products, or items, and then track and assess changes against those baselines over time. The intended outcome of properly applying Configuration Management is to maintain the integrity of configured items specific to EOL throughout the plan, build, implement and operate phases of the project.

9.2. Scope

The scope of the Configuration Management plan covers the four key areas of Configuration Management: identification of configured items, configuration control, status accounting, and audit / verification. The plan defines Configuration Management processes for managing configured items through these key areas along with associated roles and responsibilities.

Additional detail about how technical artifacts and system components will be managed under configuration control will be detailed in a Technical Configuration Management Plan to be developed by the SI Vendor.

IV&V and IPOC deliverables are not considered EOL Project Configuration Items and are therefore not subject to the Configuration Management Process.

9.3. Roles and Responsibilities

The general roles and responsibilities for specific Configuration Management activities are defined in Table 15. Because of Configuration Management's dependence on Change Control processes for controlling change, roles and responsibilities for Change Control are incorporated by reference.

Table 15: Configuration Management Roles and Responsibilities

CONFIGURATION ROLE	RESPONSIBILITY
PMT	<ul style="list-style-type: none"> • Oversees the Configuration Management process by applying the defined methods consistently and effectively throughout the life of the project. • Employs Change Control processes to obtain approval for and document changes to Configured Item's (CI) • Documents CI's specific to the PMT scope of work • Facilitates changes to PMT-specific CI's through processes defined in the Configuration Management plan • Reports status of PMT-specific CI's • Participates in Audit and Review of PMT-specific CI's
AS Vendor	<ul style="list-style-type: none"> • Establishes and documents baselines for CI's specific to the procurement effort (i.e., RFP and related procurement documents) • Controls change to procurement specific CI's through processes defined in the Configuration Management plan
SI Vendor	<ul style="list-style-type: none"> • Develops and maintains a Configuration Management Plan that is compatible with the PMT's Configuration Management Plan for all SI specific Configured Items. • Identifies CI's specific to SI effort. SI CI's include documentation deliverables and all system components, including hardware and software that are delivered as part of the EOL system and installed at CDPH, DHCS or DTS. • Establishes and documents baselines for CI's specific to the SI effort. • Controls change to SI-specific CI's through processes defined in the Configuration Management plan • Reports status of SI-specific CI's • Participates in Audit and Review of SI-specific CI's
Project Director	<ul style="list-style-type: none"> • Receives status of CI's • Participates in Audit and Review of CI's
IPOC Consultant	<ul style="list-style-type: none"> • Assesses the overall effectiveness of Configuration Management for the project • Recommends modifications as necessary
IV&V Consultant	<ul style="list-style-type: none"> • Reviews all identified CI's • Validates baselines for all CI's • Recommends modifications / enhancements to all CI's as necessary • Participates in Audit and Review of all CI's
IT Subject Matter Experts and Project Team	<ul style="list-style-type: none"> • Works with the various contractors to identify and baseline Configured Items as appropriate • Analyzes proposed changes to CI's as appropriate • Advises the ITSS Chief on proposed changes to CI's • Participates in Audit and Review of CI's as appropriate

9.4. Configured Item Classes

This section identifies items whose configuration and evolution affects the outcome of the EOL project. The description for each class identifies the likely source / owner of the class.

Table 16: Configured Item Classes

CLASS ABBREVIATION	CONFIGURATION CLASS DESCRIPTION
DOC-PM	Project Management Document generated by the PMT or SI vendor
DOC-SYS	System Documentation generated by the SI vendor such as user documentation, training documentation, and maintenance guides.
DOC-TECH	Technical Deliverable documents generated by the SI vendor.
B-REQ	Business Requirement as identified in the Requirements Traceability Matrix
F-REQ	Functional Requirement as identified in the Requirements Traceability Matrix
T-REQ	Technical Requirement as identified in the Requirements Traceability Matrix
SPEC	Functional and Technical Design Specification as defined by the SI vendor.
COTS	Commercial-Off-the-Shelf (COTS) configured item as defined by the SI vendor.
HW	Hardware Configured Item as defined by the SI vendor and/or the Department of Technology Services.
SW	Software Configured Item as defined by the SI vendor and/or the Department of Technology Services. This class is for supporting software, and does not include the major COTS components of EOL
SP	Software patch item or Service Pack as defined by the SI vendor, DHCS and/or the Department of Technology Services.
SCRIPT	An interpretive command script file
TEST	Test Specifications as defined by the SI vendor

9.5. Processes

The general Configuration Management processes for identification, control, status accounting and audit/review of configured items are described in this section. Additional details will be included in the SI Vendor's Technical Configuration Management Plan.

9.5.1. Configuration Identification

Configuration Identification is comprised of the following activities:

- **Identification** – Once the team agrees that a work product should be a Configured Item (CI), it receives formal identification by defining specific characteristics and adding the item to the Configured Item Log in SharePoint (described below).
- **Baselining** – When each baseline is established, a copy of the baselined item will be made and stored in the project library. The Configured Item Log will contain a link to the baselined item, or a description of where the item exists.
- **Versioning** – When a change is approved for a CI, its CI version number will be incremented by 1.

9.5.2. Configuration Control

All approved deliverable documents will be base lined and subject to Change Control.

Other Configured Items, under the control of the SI vendor until System Acceptance, will be included in the Configuration Log, but will not be formally subject to Change Control until the point defined in the SI Vendor's Configuration Management Plan. Control of Configured Items prior to base line will be managed by the SI vendor's Configuration Manager, and a process of control will be implemented as described in their Configuration Management Plan.

9.5.3. Configuration Status Accounting

Configuration Status Accounting is comprised of logging and reporting the evolution of CI's. The log information will include change history for each individual CI and will be updated as changes are approved. An accounting of the CI log will be made for appropriate events throughout the project and as necessary to maintain the integrity of EOL CI's. The EOL CI log will be maintained by the PMT in a Microsoft Excel Workbook and made available to authorized project personnel.

9.5.4. Configuration Audit and Review

The purpose of Configuration Audit and Review is to verify that the physical configuration of a CI is complete from both a functional and technical perspective, and to provide assurance that defined Configuration Management processes are functioning as expected. An Audit and Review of a configured item will be included as part of the deliverable acceptance process for any identified CI. The producer of the CI, the PMT and the IV&V contractor will coordinate efforts on the Audit and Review process and jointly produce documentation relating the results of the audit, identified deficiencies, and proposed corrective actions.

9.6. Configured Item Log Format

The EOL Configured Item Log (CI Log) will be maintained in a SharePoint web part consisting of a CI Definition for each Configured Item.

At a minimum, each CI Definition worksheet will contain the information listed in Table 17 on the next page.

Table 17: Configured Item Log Format

FIELD	DESCRIPTION
CI Class identifier	As identified above
CI ID	This unique ID number for each CI.
CI Title/Name	Defined by the originator of the CI
CI Description	Defined by the originator of the CI
CI Date	Date that the CI was entered into the Configuration Management Process
CI Version Date	The date that the Current version of the CI was approved.
CI Current Version Number	Current Version number of the CI. This number will be assigned when the CI is first identified (beginning with 1) and then sequentially incremented for each approved change
CI Owner	The person that created the CI or is responsible for maintaining the Configured Item, this will generally be the Project Manager for PMT deliverables, the SI PM or the SI Configuration Manager. Only these individuals should update the CI Log
CI Location	A link to the CI if it is a document in SharePoint, or information about where the CI is located, or information about how to access the CI.
CI Revision History	Description for each change that includes Date of Change, Old Version Number, Text detailing the changes made, CCB CR Reference Number if applicable.

10. 10. QUALITY MANAGEMENT

The purpose of Quality Management is to provide a framework to measure and manage quality for the project, and to implement levels of Quality Assurance (QA) and Quality Control (QC).

Quality Assurance is the application of planned, systematic quality activities to ensure that the project will employ all processes needed to meet requirements. Quality Control entails monitoring specific project results to determine whether they conform with project quality standards.

Quality Management for the EOL Project includes aspects of Quality Assurance and Quality Control. Roles and responsibilities for these tasks are shared among the PMT, the AS vendor, the SI vendor, the IV&V vendor, and the IPOC vendor.

IV&V plays a significant role in project Quality Control. IV&V consultant executes Quality Control activities by monitoring specific project results to determine whether they comply with relevant quality standards and identifying ways to eliminate causes of unsatisfactory performance.

10.1. Quality Control Process

The Quality Control Process is the structured and comprehensive approach to managing quality for project deliverables, including documents, hardware, and software. This process is the EOL Project standard to develop, review, and approve all project deliverables. This Quality Control Plan provides a process consistent with features of the OCIO *Information Technology Project Oversight Framework* and the *Guide to the Project Management Body of Knowledge (PMBOK)*™. The key steps within this process are depicted in the figure on the next page and described in subsequent sections.

10.2. Deliverable Expectation Documents

For each required deliverable, the responsible vendor will submit a Deliverable Expectation Document (DED) to the project. The DED's purpose is to allow the parties to clearly define and agree to the expectations for each deliverable. The DED, which details the outline, format, description, and acceptance criteria for each project deliverable, will provide the basic standards of quality performance. The review of the DED will be based on accepted industry conventions, experience gained during previous projects, and the project's standard DED format and requirements.

10.3. Internal Quality Review

Each DED and deliverable should undergo a thorough quality review prior to submission to the project. The quality review should check for adherence to established quality standards and contract requirements.

10.4. Deliverable Review Criteria

As part of the Quality Control process, the PMT will review SI deliverables according to the criteria described in Table 18. These criteria will be incorporated as part of the Deliverable Acceptance Criteria described in the Deliverable Expectation Documents as appropriate. Each criterion is not applicable to every deliverable.

10.5. DED Walkthrough Meetings

The Project Manager will schedule a meeting with appropriate parties to walkthrough each submitted DED. The objective of this meeting is to review the DED with identified reviewers and approvers and to have a constructive conversation about the deliverable expectations prior to the development of the deliverable, which will aide in initial deliverable quality.

10.6. Deliverable Walkthrough Meetings

The Project Manager will schedule a meeting with appropriate parties to walkthrough each submitted Deliverable. The objective of this meeting is to review the Deliverable with identified reviewers and approvers and to have a constructive conversation about if the expectations captured in the DED were appropriately addressed in the submitted deliverable.

10.7. Comment Review Logs

The project will utilize a DED and Deliverable Comment Review log to capture comments during their reviews. The comment log will capture information identifying the specific DED or Deliverable, comment number, reviewer, page and section number of related to comment, comment, comment type, and comment resolution. The comment log will enable the project to capture DED and Deliverable comments and update the DED/Deliverable accordingly.

EOL Quality Control Process

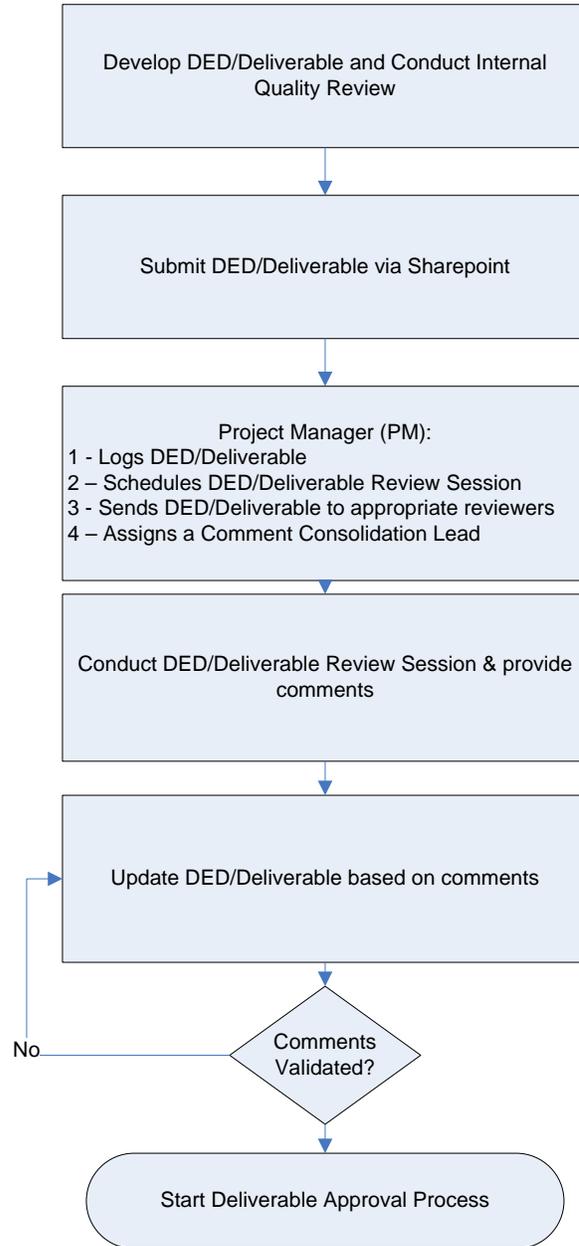


Table 18: Deliverable Review Criteria

Criteria	Definition
Accuracy	The content present is free from errors and faults
Completeness	Required content is present in the artifact, including needed references, clarifications and assumptions
Consistency	The content of the deliverable does not present variation or contradiction (from within and with other EOL-related deliverables)
Correctness	The content present in the deliverable is appropriate for this deliverable (ex. The procedures defined in deliverable may not be adequate to manage risks)
Compliance	The deliverable conforms to, or is guided by, an approved or conventional standard (i.e. IEEE, PMBOK)
Testability	The test cases are constructed to test specific aspects of the requirements; expected results are clearly identified
Integration	The deliverable works in conjunction with other project or EOL-Related artifacts to paint a cohesive picture with respect to the EOL strategic goals, schedule, scope, and activities

10.8. DED and Deliverable Updates

The DED or Deliverable author should utilize the comment log to update the DED or Deliverable to meet reviewer’s expectations. Additionally, the DED/Deliverable Author should input details of how each comment was addressed in the updated DED or Deliverable into the Comment Resolution column on the comment log. This will enable reviewers to easily validate their comments were appropriately addressed.

10.9. Deliverable Approval and Payment

Once reviewers validate their comments have been appropriately addressed, the deliverable should be approved for payment.

10.10. Deliverable Review and Approval Matrix

The project will utilize a Deliverable Review and Approval Matrix. This matrix will identify the appropriate reviewers and approvers within CDPH for all project deliverables. This will aide in deliverable quality by ensuring the appropriate parties review and approve each deliverable.

10.11. Hardware and Software Deliverables

Hardware and Software deliverables should follow a similar process as noted above by utilizing a checklist or other medium to validate the hardware and software meet quality standards. Additionally, hardware and software deliverables should follow meet applicable CDPH and Industry standards as identified in vendor contracts.

10.12. Quality Control Roles and Responsibilities

All Project stakeholders (e.g., the project team, subject matter experts, business partners, and anyone else with a stake in the project) are responsible for contributing to the quality of project.

Table 149 and 20 below identifies the roles and responsibilities for the individuals involved in the Quality Assurance and Control processes.

Table 19: Quality Assurance Roles and Responsibilities

QA	PMT	AS	SI	IPOC	IV&V	CDPH
Verify that Project Management industry standards, and PPMB PMO best practices are employed	X		X	X		X
Continuous improvement of processes to increase probability that project achieves its objectives	X	X	X			X
Internal Deliverable quality reviews	X		X		X	X
Requirements Evaluation – ensuring requirements are readable, complete, consistent, accurate and testable.		X			X	X
Go/No Go Decision Check Points	X		X		X	X

Table 20: Quality Control Roles and Responsibilities

QC	PMT	AS	SI	IPOC	IV&V	CDPH
Requirements Tracking		X	X		X	
Validation of Scope					X	
Error Testing and Correction (Development)			X		X	
System Testing (unit, system, integration, performance, etc.)			X			
Acceptance Testing						X
Testing Evaluation					X	
Deliverable Review	X			X	X	X
Deliverable Approval						X

Note: the tables above only address the Quality Management roles and responsibilities of the CDPH as an entity. However, various CDPH project participants have a role to play in ensuring the quality of the

EOL project. For example, the Project Director, Program Chiefs, and other stakeholders are closely involved in deliverable review and approval, acceptance testing, etc.

Additional details about the SI Vendor's internal Quality Assurance and Quality Control methodology will be defined in their associated contract deliverable (i.e. *SI Quality Assurance Plan*) specifically addressing system development and implementation quality management processes.

11. Implementation Management Plan

The implementation of the EOL system will be coordinated in two distinct phases. The first phase will include the Radiation Safety and Food and Drug Programs and the second phase will include Driving Water and Medical Waste Programs. Implementation dates for additional programs, including Laboratory Field Services and STAKE, will be determined by the Steering Committee. To aid in the implementation, a series of implementation readiness activities will occur. This will include readiness in the areas of people, processes, policies, and technologies. The EOL Implementation Readiness Team will be responsible for managing these implementation readiness activities.

12. Procurement

Procurement Management involves defining how the necessary goods and/or services will be acquired to accomplish the objectives of the project. Procurement Management includes procurement planning, solicitation and planning, source selection, contract administration, and contract closeout.

All procurements needed for the EOL Project will be conducted in accordance with State laws and DGS procurement methodologies.

CDPH will procure a variety of products and services as part of the EOL project. The project will use procurement methods approved by the Department of General Services (DGS), including the California Multiple Award Schedules (CMAS) or Master Services Agreement (MSA) for service less than \$1,500,000 and the traditional procurement (via RFP) process for services greater than \$1,500,000.

Additional information regarding the procurement approach is provided in EOL Project Information Technology Procurement Plan (ITPP) Section 3, Acquisition Methodology.

The following procurements are planned as part of the EOL Project.

- Acquisition Services
- Independent Project Oversight (IPO) and Independent Verification and Validation (IV&V) Services
- Project Management Services
- Systems Integration (SI) Services

12.1. Consultant Services

CDPH will conduct three separate and distinct procurement efforts for Acquisition Services, IPO and IV&V Services, and Project Management Services. Any vendors selected to perform these services cannot bid on any of the remaining procurements.

The approach to procuring consultant services includes:

- Each of these procurements will use one of the established DGS leveraged procurement vehicles, such as the MSA or CMAS.
- Planning and Project Management Branch (PPMB) Planning and Oversight Section (POS) will develop a solicitation document.
- PPMB will distribute the solicitation document to the required number of qualified vendors, including a minimum of two small and/or Disabled Veteran Business Enterprise (DVBE) businesses.
- Bidders will be required to submit a proposal and may be required to participate in an interview process.
- PPMB will work collaboratively with CDPH to establish an evaluation and selection team consisting of CDPH project management (program and technology services) and ITSD staff as appropriate.
- PPMB, in consultation with CDPH project management, will select the winning bidder and award the contract based on applicable rules.

As of July 7, 2009, the procurements for Project Management Services, Acquisition Services and IPO/IV&V Services have been completed.

12.2. Systems Integration Services

The System Integration (SI) vendor will provide both software and services. The SI procurement will require a single “prime” vendor with the potential for subcontracted vendors. The procurement of SI services will be separate and distinct from the other procurements.

Vendors selected to perform this service cannot bid on any of the other procurements. The approach for each of these procurements is documented in the Acquisition Services Procurement Strategy located on the EOL SharePoint site.

12.3. Contract Management

The EOL contracts for the Acquisition Services, Project Management Services, Oversight Services, and System Integration services will be managed by a designated CDPH contract manager. The contract manager will be responsible for validating all contract deliverables are provided in accordance with the vendors contract and applicable guidelines. In addition, the contract manager will be responsible for approving and processing vendor invoices for approved contract deliverables.

13. References

The following industry and project references were used in the preparation of this plan:

- OCIO CA-PMM Methodology, SIMM Section 17
- Project Management Institute, *A Guide to the Project Management Body of Knowledge, Third Edition (PMBOK)*
- Office of the State Chief Information Officer, *Information Technology Project Oversight Framework (ITPOF)*
- IEEE Std 1540-2001, *IEEE Standard for Software Life Cycle Processes – Risk Management*

- IEEE Std. 828-1998 IEEE Standard for Software Configuration Management Plans
- IEEE Std. 1042-1987 IEEE Guide to Software Configuration Management
- Software Engineering Institute, *Taxonomy-Based Risk Identification*
- KPMG, *Project Risk Management Methodology*
- KPMG Project Oversight and IV&V Checklist