State of California
Franchise Tax Board

EDR Project Management Plan

08.23.11

Document Information

Revision History

Version No.	Date	Summary of Changes	Author
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Project Management Plan Review

This document has been reviewed by the following people:

Name	Date
EDR Deliverable Review Team	7/29/2011

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1. INTRODUCTION

The Enterprise Data to Revenue (EDR) Project Management Plan (PMP) is the highest-level plan for the EDR Project. It is intended to provide a common direction, an integrated framework, and a set of management processes for the project and any subsequent sub-projects (if required) within the project. It is not intended as a substitute for requirements, terms or conditions covered in the EDR contracts. The goal is to manage the EDR Project using a common set of processes as identified in this PMP and the supporting management plans.

The PMP, developed and maintained by the Solution Provider's Project Management Office (PMO), prescribes how the overall project vision will be achieved and defines the project structure and the roles and responsibilities within this structure. It provides the framework for the interaction of technical, administrative, and management functions within the EDR Project. The PMP serves as the overall project management plan facilitating communication and coordination between all areas of the project.

This document provides a high-level strategy for the management and oversight of the EDR Project. Specifically, this PMP describes the project management methodologies and supporting management plans that will be used by the State and the Solution Provider (SP) to manage the development, implementation, and maintenance of the EDR solution. The following sections provide a background of the project to provide context for the rest of the document.

1.1. Background of the Project

The Franchise Tax Board (FTB) serves the public by collecting income tax revenues and operating other non-tax programs at the least cost while continually improving the quality of its products and services, warranting the highest degree of public confidence in its integrity, efficiency and fairness. The department administers the Personal Income Tax Law and the Bank and Corporation Tax Law. FTB also performs audits pursuant to the Political Reform Act; collects vehicle registration fees and other debts as authorized or required by the Legislature; and settles civil tax disputes that are the subject of protest, appeals or refund claims.

Annually, FTB processes more than 17 million Personal Income Tax (PIT) returns and one million Business Entity (BE) returns, responds to more than three million phone calls, handles over seven million Internet contacts and collects about $60 billion, which represents more than sixty-five percent (65%) of the state's general fund revenue. FTB's workloads break down into seven key Systems of Work, which include Return Filing, Return Validation, Filing Enforcement (FE), Audit, Underpayment (future references also referred to as Collections), Payment, and Overpayment (Refunds).

FTB has undertaken an extensive effort to perform enterprise strategic planning for the FTB Tax Systems Information Technology Strategic Plan (ITSP). Through this planning effort, FTB identified significant opportunities to make fundamental changes to return processing and to improve utilization of data. These opportunities form the basis of the EDR Project. The EDR Project offers opportunities to change FTB's landscape through an enterprise approach of data sharing, documenting and monitoring business

processes and key performance indicators, and connecting IT systems through services resulting in significant revenue streams and cost savings.

In July 2011, FTB contracted with CGI Group, Inc. (CGI) to serve as the SP for the EDR Project. The SP and its subcontractors will deliver the EDR Project solution in a series of four stages over an approximately five year period.

1.1.1. Strategic Business Problem

The EDR Project is driven by the six FTB's Strategic Business Problems:

1. Data Availability - Returns are not corrected, payments and taxpayers are not properly identified, fraud goes undetected, and cases are not properly prioritized and assigned the most effective strategy and resources because data is unavailable, unshared and costly to maintain.
2. Business Processes - Returns take too long to process, there are too many fall-outs, changes take too long to implement or cannot be made, data is not captured, returns are not corrected and performance cannot be monitored because return filing processes are old, manual, redundant, inflexible and costly to maintain.
3. System Redundancy and Reuse - Systems and functionality are costly to develop and maintain because they are redundant, have different technologies and platforms, and are not integrated and re-useable.
4. Self-Services - Taxpayer self-services are limited due to outdated technologies and limited security.
5. Data Analysis - Noncompliance discovery and fraud detection, tracking and prevention are limited because taxpayer behavior analytical tools are unavailable.
6. Business Entities Tax System (BETS) - The BE tax accounting system is inflexible to evolving business needs, legislative mandates and poses significant risk to existing business processes due to outdated technologies, siloed data and proprietary software.

1.1.1.1 FTB Vision

The EDR Project is also driven by the FTB Vision:

- We promote, encourage, and acknowledge self-compliance as the most responsible, efficient, and effective way of conducting our business.
- We utilize the information and tools to identify and collect from taxpayers who do not file, file accurately, and pay their obligation, and we encourage them to modify their behavior and self-comply in the future.
- We interact with taxpayers and practitioners according to their preferences.
- We interact with taxpayers and practitioners in a coordinated way with complete information and data, and without regards to program, organization, or system.
- We offer, promote, and encourage the use of a complete, customized, and easy to use 24/7 array of Internet self-services.

- We recognize that third-parties are key customers and provide them with a selection of customized services.
- We partner externally with other governmental agencies to improve efficiency, increase revenue, and minimize taxpayer compliance burden.
- We utilize and integrate existing information and data throughout the enterprise to determine and collect the correct amount of tax.
- We recognize that our success depends largely on our employees and our ability to recruit, motivate, and retain them.
- We are able to conduct our business anytime and anyplace as necessary and appropriate.
- Our ability to collect revenue and manage costs is not limited by how we are organized or how our business processes and systems are designed.
- We have the business intelligence tools, solutions, and data necessary to improve business performance and support decision-making.
- We are no longer dependent on paper and batch processing, and our information, records and data are accessible and can be effectively viewed, searched, routed, secured, stored and purged.
- We have an enterprise IT environment that can make changes easily and timely, and provide services as needed. Information and data is complete, accessible, and useable without regards to business process, system, program or organization.

1.1.2. Goals and Objectives

The EDR Project goals include:

- Reengineer PIT and BE Return Filing and Return Validation including fraud detection; and implement a new integrated PIT and BE Return Processing System with reusable and manageable business processes and rules including Return Filing, Return Validation, cashiering, modeling and noticing processes integrated with Enterprise Common Services and required FTB legacy systems to make the processing of California income tax returns more agile, efficient and effective;
- Expand and integrate the improved modeling process with Accounts Receivable Collections System (ARCS) to make collection case scoring and prioritization more effective;
- Expand return and supporting document imaging, return data capture and retention to increase the utilization of data including taxpayer relationships to improve the efficiency and effectiveness of Return Filing, Return Validation, fraud detection, Filing Enforcement (FE), Audit and Collections activities;
- Implement a new Enterprise Data Warehouse (EDW) and Enterprise Operational Data (EOD) with centralized data processing, matching and delivery services, enterprise business intelligence and data mining tools to improve the efficiency and effectiveness of data management and analysis and to make all required third party and return data available enterprise-wide for Return Filing, Return Validation, FE, Audit and Collections activities;

- Expand Return Validation to take advantage of the expanded data capture and correct more taxpayer return errors;
- Improve and expand use of data matching especially with regards to return processing to improve data quality and make more efficient and effective;
- Improve the quality of the Filing and Return Validation notices to make them easier for taxpayers to understand and reduce the number of contacts;
- Implement Enterprise Common Services including Contact, Notification, Internal Authentication, and Single Sign-on services with service oriented infrastructure to reduce redundancy, leverage, improve and reuse system functionality and to improve Return Filing, Return Validation, FE, Audit and Collections efficiency and effectiveness;
- Establish a Taxpayer Folder that consolidates existing taxpayer information and self-services and provides new taxpayer Self-Services including return and notice view, address update, return and refund status, withhold at source waiver and protest Notice of Proposed Assessment (NPA) self-services, and increase communication channels and transparency to improve the efficiency and effectiveness of the Return Filing and Return Validation Systems of Work and Call Centers;
- Provide EDR Proposed Solution including legacy systems user training to maximize user productivity and Benefits;
- Provide Enterprise Common Service, Data and Filing Business Process Management Governance[1] to maximize enterprise decision making and EDR Project success;
- Modify Business Entities Tax System (BETS) to decouple proprietary INSTALL/1 and DESIGN/1 products, increase modularity and align system more closely with service oriented architecture consistent with EDR Requirements and provide training to reduce the cost of EDR Project required changes and the risk of maintainability and increase user productivity;
- Convert, load, or both, the Taxpayer Information (TI), BETS, Enterprise Customer Asset Income and Return (ECAIR), Business Intelligence and Data Services (BIDS) databases and data marts, Professional Audit Support System (PASS) modeling, State Business Return Database (SBRD), Fraud, Power of Attorney (POA), Integrated Non-Filer Compliance (INC), e-file and Withhold at Source System (WASS) data to the EDW and EOD as required;
- Make business required data available to the enterprise through the Taxpayer Folder;
- Transition ECAIR, Business Intelligence and Data Services (BIDS) databases and data marts, and MY FTB Account with minimal impact on customers;
- Retire Personal Income Tax Return Validation (PIT RV), ECAIR, Personal Audit Workstation System (PAWS), PASS modeling databases, SBRD, Image Delivery

[1] Governance, as it relates to the EDR solution ("big 'g' governance"), is defined by Gartner as "the processes which ensure the effective and efficient use of IT in enabling an organization to achieve its goals". In this document, the term "executive management governance" is used to describe the guidance and executive management of the EDR Project organization and efforts to implement the EDR solution ("little 'g' governance").

Application Expansion (IDAX), e-View, b-View, Mainframe File and Print and Business Intelligence and Data Services (BIDS) databases and data marts;

- Retire PIT and BE ARCS STRATA;
- Interface Head of Household (HOH), IRS Computer Paragraph #2000 (CP2000), Selection of Tax Returns for Automated Audit Review System (STARS), and Federal State Automated Report System II (FEDSTAR II) with the EDR Proposed Solution to issue automated PIT NPAs;
- Provide a PIT user interface to issue NPAs with the EDR Proposed Solution especially for PASS users;
- Modify PASS to use enterprise data, select PIT returns and create PIT cases for audit;
- Retain current capability to issue notices with BETS;
- Retain current capability to issue collections notices through ARCS;
- Retain current capability to issue FE NPAs through INC;
- Modify legacy systems including TI, BETS, PIT and BE ARCS, PASS and INC to meet EDR Requirements and support realization of Benefits;
- Leverage input systems and infrastructure and retain modified TI, BETS, INC, PASS and ARCS; and
- Provide Maintenance and Operations of the EDR Proposed Solution and acquire the knowledge, skills, abilities and Documentation to transition Maintenance and Operations to the State.

The primary objective of the EDR Project is to narrow the tax gap by addressing FTB's Strategic Business Problems as measured by the following EDR Project performance measures:

1. PIT Audit from New Data – 100 percent (100%) of PIT Audit revenue generated from new audit models with return data not previously captured or used
2. BE Audit from New Data – 100 percent (100%) of BE Audit revenue generated from new audit models with return data not previously captured or used
3. PIT Return Validation (RV) from New Data – 100 percent (100%) of PIT RV revenue generated from new workloads and data not previously captured or used and validated
4. BE RV from New Data – 100 percent (100%) of BE RV revenue generated from new workloads and data not previously captured or used and validated
5. PIT Underpayment Incremental – PIT underpayment revenue generated above established baseline
6. BE Underpayment Incremental – BE Underpayment revenue generated above established baseline
7. PIT Fraud Incremental – PIT Fraud refunds prevented and recovered over established baseline

8. PIT Filing Enforcement (FE) from New Data – 100 percent (100%) of PIT FE revenue generated from new income records from return data not previously captured or used
9. BE Fraud – 100 percent (100%) of BE Fraud refunds prevented or recovered
10. BE FE from New Data – 100 percent (100%) of BE FE revenue generated from new income records from return data not previously captured or used
11. PIT Audit Incremental – PIT Audit revenue generated above established baseline
12. BE Audit Incremental – BE Audit Revenue generated above established baseline
13. PIT FE Incremental – PIT FE revenue generated above established baseline
14. BE FE Incremental – BE FE Revenue generated above established baseline
15. PY Savings Redirected to Revenue Producing Activities –PIT or BE Revenue

1.1.3. Solution Overview

FTB has clearly articulated its complex business goals through the use of a graphical Tax Business Model with:

- A Blue Path – The processes used to manage taxpayer self-assessed, correct and timely tax obligations.
- A Red Path – The systems and programs engaged in processing tax obligations filed incorrectly or requiring intervention to collect taxes owed.

The proposed solution builds on this model, as illustrated in Figure 1. The ultimate goal of the solution is to help FTB close California's tax gap by improving the Blue Path systems and processes ('widening the pipe') and by identifying and correcting Red Path transactions more cost effectively using advanced EDR technology ('modernizing the pipe').

The Blue Path improvements are driven, in large part, by modernizing existing systems to encourage self service, improving data capture and analytics, and enhancing customer support processes. This enhanced Blue Path will make it easier for taxpayers to start and remain on the Blue Path, while also reducing costs and improving quality on what currently accounts for over 90% of revenue collections.

The Red Path improvements are designed to identify mistakes, reduce intentional fraud, and improve collections on those transactions which currently require intervention to collect taxes owed. By leveraging shared business functions and more accurate and timely data, state staff will improve their ability to collect these taxes owed.

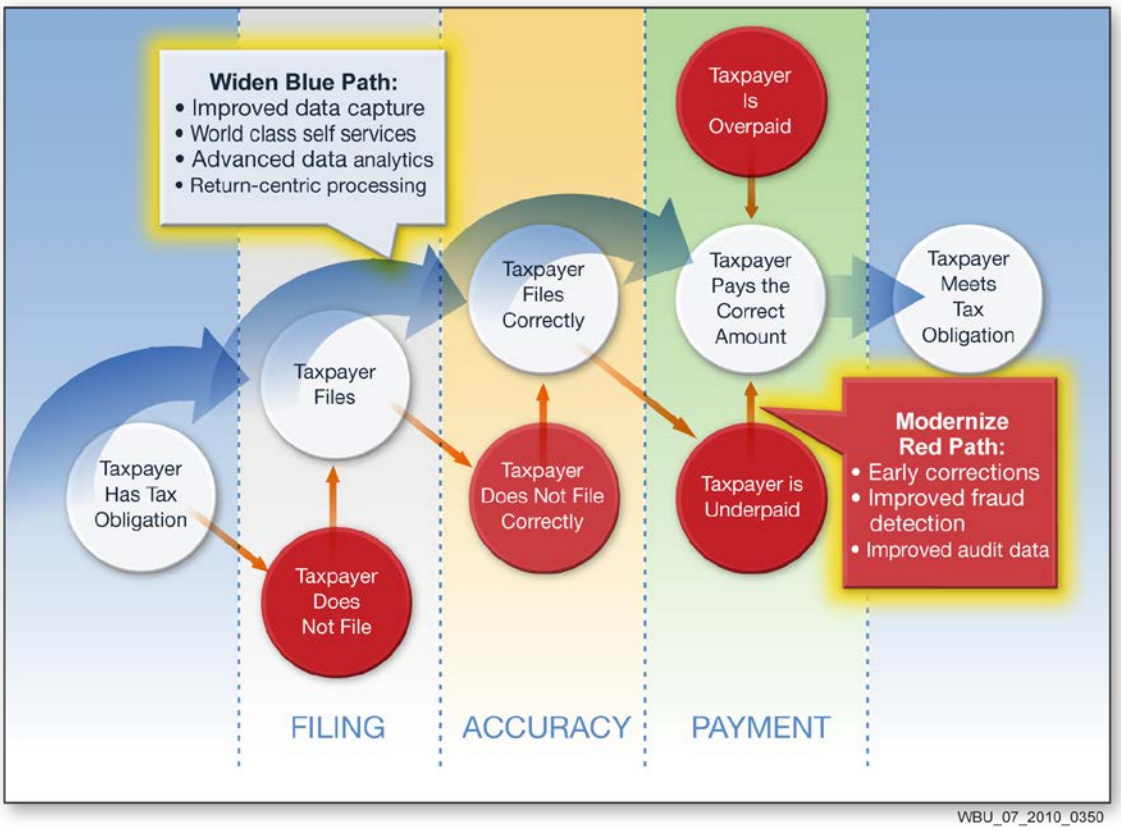

Figure 1. Blue Path-Red Path Diagram of Tax Processing

1.1.3.1 Functional Solution

The EDR functional requirements serve as individual building blocks that describe what must be done to solve FTB's Strategic Business Problems. The EDR Project will implement an integrated Functional Architecture that leverages better data and new capabilities to improve program performance across FTB's five key Systems of Work:

- Return Filing – New PIT and BE systems will capture significantly more high-value Priority 1 data that will be immediately shared across FTB and with external stakeholders. New data and image capture technology will be introduced along with re-engineered business processes to streamline returns processing, particularly during the peak tax season. Information collected by the new Return Filing system will drive higher collections, enable helpful self service features, and create opportunities for new tax initiatives.
- Return Validation – New PIT and BE systems will validate data in real time leading to earlier error identification across a broad array of tax forms. Validation rules will be externalized from the TI and BETS accounting systems making it easier for FTB to respond quickly to annual tax law changes. New Case Management capabilities will also be developed to help FTB staff efficiently work fall outs. In addition, sophisticated new modeling tools will identify fraudulent returns before refunds are issued saving FTB millions of dollars annually.

- Audit – Access to new data from returns and 3rd party data sources coupled with advanced data matching tools will result in better audit candidate selections. Audit staff (and users throughout FTB) will also have access to a new Taxpayer Folder that puts valuable enterprise data at their fingertips to speed the audit process. Better audit cases worked with greater efficiency will translate directly into more tax revenues for the State.
- Collections – New, highly intelligent predictive modeling tools will take advantage of a broader range of data to analyze taxpayer behavior and identify optimum treatment strategies for each outstanding debt owed. Also, new Contact and Locate automated processes will identify better address information for debtors resulting in better collections.
- Filing Enforcement – New Priority 1, 3rd party, and consolidated legacy data will be leveraged to identify more non-filer candidates for both PIT and BE tax types. Richer data sources combined with better data matching will surface new taxpayer assets, which in turn will lead to the identification of taxpayers who have an obligation to file.

While many of the new functional components introduced with EDR focus on collecting additional taxes due, the project also seeks to improve self service capabilities for the vast majority of Californians who do pay their taxes. These taxpayers, including those who make honest mistakes requiring direct interaction with FTB, will benefit from the EDR Solution to “Orchestrate the Taxpayer Experience." The goal is to identify, personalize, and optimize customer contacts and treat each taxpayer individually based on selected preferences and system suggested treatment strategies.

Key to achieving this vision is the Taxpayer Folder. Using this new web-based tool, taxpayers can interact with FTB using their preferred communication channel in a secure environment. Taxpayers will be able to set their contact and delivery preferences, check the current status of their submitted tax return and estimated completion timeframes, review notices sent from FTB, check on the status of their refund, and exercise a host of other self service capabilities. Contact with FTB can be via an enhanced Interactive Voice Response (IVR) system or through the Taxpayer Folder using email, chat, or text. As a result, FTB can offer its customers a dynamic customer support experience where taxpayers and tax preparers alike are empowered to manage their tax accounts if they choose.

Internally, the EDR solution provides FTB users with a portal that allows them to customize their views according to the roles and functions they perform. Similar to myYahoo and iGoogle, users can arrange portlets to create a view tailored to their unique preferences. Access to the portal is controlled by a new Single Sign On function that also grants users access to high-use legacy systems including TI, BETS, ARCS, INC, and PASS via their EDR password. As a result, traversing the FTB systems landscape will be greatly simplified and more secure with the implementation of the EDR Solution.

1.1.3.2 Technical Solution

The proposed technical solution includes the hardware, software, and services required to design, build, and successfully transition the EDR project to FTB. The selected

technology components align with FTB's strategic plan and adhere to the technology standards published by the California Technology Agency.

Wherever possible, the solution builds on FTB's existing technology direction. This allows FTB to enhance existing skills in areas such as server technologies, databases, and application development software. This mission critical, highly available technology is familiar to FTB's Information Technology staff and will be an industry leading platform for many years.

To supplement these existing technologies, the EDR Project also is introducing other modern, but proven, tools to meet FTB's new requirements. Three of the more salient components in the solution include the Service Oriented Architecture (SOA), Master Data Management (MDM), and Business Process Management (BPM).

SOA will allow FTB to re-use processes and technology components across systems of work. In addition, SOA enforces technology standards compliance which will protect the technology investment into the future and will allow seamless "plug in" of additional technologies to meet future business needs.

MDM will provide FTB with a single source of reliable data to leverage across all business processes. This central repository of reliable, timely data will improve almost every aspect of FTB's business.

BPM will allow FTB to rapidly build, test, deploy, and share business workflows. This will allow FTB to document and re-use business rules across business processes, as appropriate.

These technologies work together to allow FTB to quickly respond to annual tax law changes.

1.1.3.3 Implementation Approach

EDR is a multi-faceted project that will require careful planning and execution. Key to project success is a well-designed phasing strategy that targets the end-state solution but introduces functionality in discrete components rather than as a single implementation. Furthermore, a well planned implementation approach must look to minimize disruption to FTB's operations, implement functionality in concert with FTB's business cycles (e.g. at the start of a tax year), generate benefits early, and mitigate project risk.

The implementation approach, depicted in Figure 2, organizes FTB's Phase 1 (PIT) and Phase 2 (BE) into three Design Stages preceded by a new Early Wins phase. Each Design Stage is further divided into sub-phases that encompass specific functionality. Refer to Section 2.6 for more information.

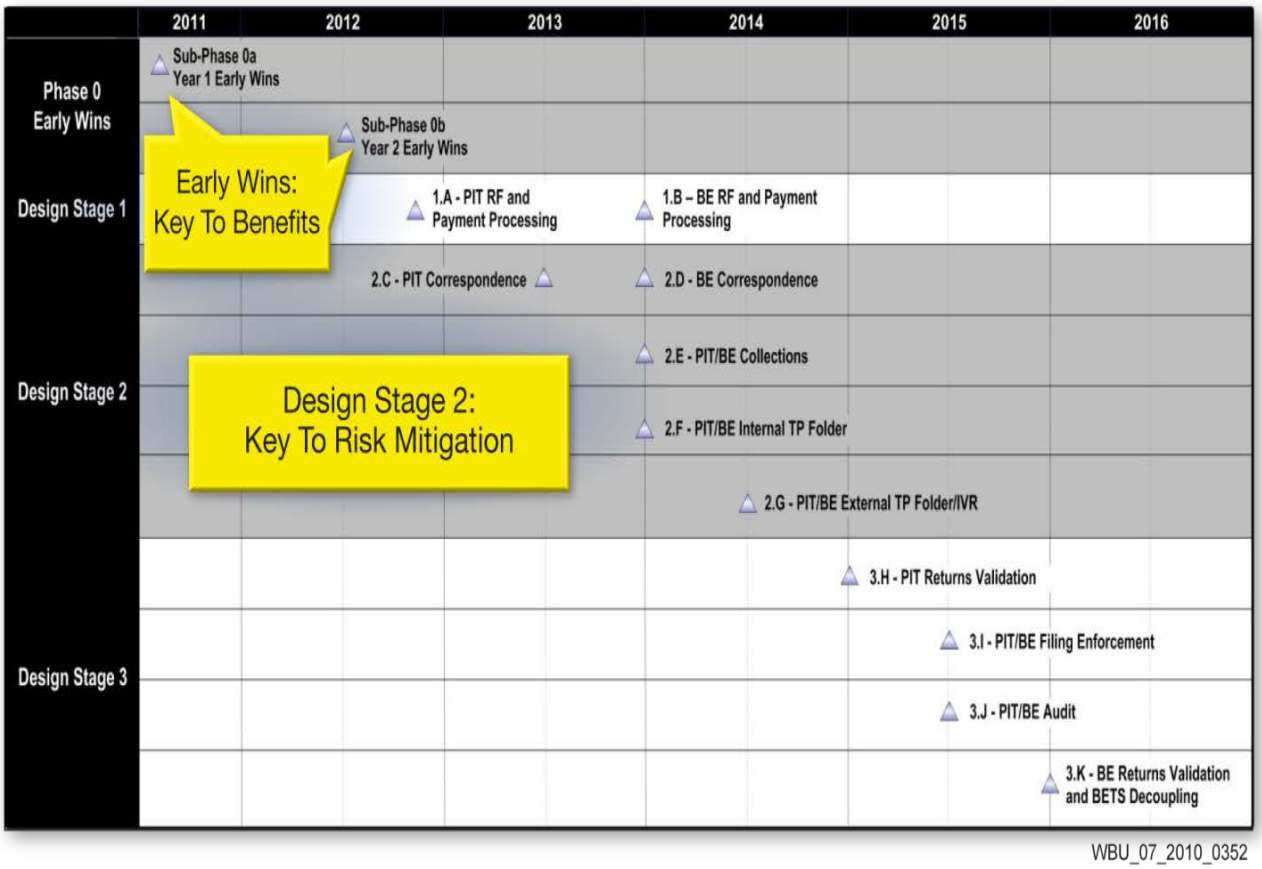

Figure 2: Design Stages

1.1.4. Budget and Schedule Summary

The State EDR PMO develops and maintains the total, multi-year project budget and the annual budget estimates based on the workload and resource requirements identified for the EDR Project using state budget processes and procedures.

State spending authority and funding are obtained through the state budget processes. The total EDR Project budget includes EDR Project one-time costs, program costs, SP contract costs, and other EDR related contracts. The *Financial and Contract Management Plan* provides an overview of the State budget processes for the EDR Project.

The SP Contract is a benefits-based contract, where the SP is paid a percentage of the benefits generated by the project, up to a maximum amount. As each component of the solution is put into production, the State begins tracking and measuring the benefits generated and then calculates the amount to be paid to the SP based on a series of formulas. Refer to the *Contractual Obligations Management Plan (COMP)* for information on the benefits and compensation stream calculations.

The EDR Project Schedule includes sections for both SP and State tasks. The Project Schedule is composed of several sub-plans that are integrated into a single master plan that is used to review progress and coordinate tasks and resource needs. The EDR Project is estimated to take approximately 54 months for implementation, followed by 12 months of warranty. At the completion of the warranty, the State may execute up to five

one-year options for maintenance and operations. Section 3 contains additional information on the project schedule. Refer to the *EDR Time and Schedule Management Plan (MRD001B)* for information on how the EDR Project Schedule is managed and updated.

1.2. Purpose of the Document

The purpose of the PMP is to provide processes and methodologies that align with FTB's and SP's best practices for project management as they pertain to a project of the size and complexity of the EDR Project. The goal of the PMP is to establish a vehicle that promotes full staff adherence to these best practices on a day-to-day basis.

The general project management approach establishes the governing principles and methodology that are carried forward into each managerial plan. The State and SP PMOs are responsible for managing the processes required by the project. Further, the SP's PMO assists with the processes for reporting and financial, and is responsible for tools management.

The PMP, with its supporting plans, guides the State and SP's management teams, the group managers, team leads and staff in meeting the requirements of the EDR Project.

1.3. Scope of the Document

This PMP summarizes the high level processes and the supporting project management plans and procedures that comprise the project management methodology for the EDR Project. The sum of all the integrated supporting management plans constitutes the total project management scope. The PMP is used to:

- Provide the framework for project planning, execution and evaluation
- Identify the approach to project management
- Identify the stakeholders, roles and responsibilities

On occasion, exceptions to the policies, processes and procedures documented in the PMP and supporting management plans, processes and procedures may be necessary. Such exceptions are subject to the approval of the State and SP EDR Project Directors. Approval of exceptions will be documented in appropriate meeting minutes or in a memorandum filed in the EDR Project Repository.

This document specifically describes the plans and processes to be used by the State and SP to manage the EDR Project, including consultants to the State such as the Project Management Support Consultants and Independent Verification and Validation (IV&V) vendors. Refer to Section 6 for information on the scope of each supporting plan and the applicability to the SP, State and consultants to the State.

1.4. Document Overview

This document is organized into the following sections:

- Section 1: Introduction – This section contains an overview of the Project Management Plan.
- Section 2: Scope - This section provides an overview of the project scope and the sources of project scope.

- Section 3: Project Schedule and Work Plan – This section summarizes the Project Schedule and work plans for the EDR Project.
- Section 4: Project Organization – This section provides an overview of the project organizations, the roles and responsibilities of the organizations, and a list of the project stakeholders.
- Section 5: Approach to Project Management – This section provides an overview of the approach to project management for the EDR Project.
- Section 6: Project Management Supporting Plans – This section summarizes the supporting plans and references each plan which is managed as separate documents.
- Section 7: Technical Management Plans – This section summarizes the technical management plans and references each plan which is managed as separate documents.
- Section 8: Project Management Tools – This section summarizes the tools used by the project management processes and references the applicable process and tools manual, as appropriate.
- Appendix A: Acronyms and Glossary – This appendix references the EDR Project acronyms library and glossary.
- Appendix B: Project Management Roles and Responsibilities – This appendix summarizes the roles and responsibilities for project management on the EDR Project.
- Appendix C: Mapping to IEEE 16326 – This appendix contains a mapping of the sections in this EDR Project Management Plan to the sections required by IEEE 16326:2009.

1.4.1. Security of the Document

The Project Management Plan is used by the EDR Project Team, which consists of the State and SP Teams. General security and privacy considerations are to be followed in the control and release of this document. Refer to the *EDR Document Management Plan* for more information on document security and handling.

1.4.2. Maintenance of the Document

This plan is reviewed semi-annually, in accordance with the SP Contract, and updated, if necessary, in cooperation with the State[2]. Unplanned updates may also occur to reflect changes in project direction or to incorporate critical change requests. Any necessary updates result in an updated version of the document and are made in accordance with the procedures described in the Deliverable Management Process (contained in the State's *Contractual Obligations Management Plan*). Approved updates are communicated to EDR Project team members via email, as needed, and posted to the EDR Project Repository and the EDR Project Website for access by project stakeholders.

[2] The SP is the owner of the PMP since the PMP is specified as a contract deliverable (MRD001). However, the State contributes to the PMP and is owner of some of the supporting management plans.

1.5. Reference Documents

The following documents are referenced in, or were used in the creation of, the Document Management Plan.

- IEEE 16326-2009 (ISO/IEC/IEEE (16326), Systems and Software Engineering – Life Cycle Processes – Project Management, Institute of Electrical and Electronics Engineers (IEEE), Dec 15 2009.
- IEEE 1058-1998 (Revision and re-designation of IEEE Std 1058.1-1987, incorporating IEEE Std 1058-1998 and IEEE Std 1058a-1998). IEEE Standard for Software Project Management Plans. Sponsor: Software Engineering Standards Committee of the IEEE Computer Society. Approved 8 December 1998. Superseded by IEEE 16326-2009.
- IEEE 1490-2003, Adoption of the PMI Standard A Guide to the Project Management Body of Knowledge – Description. Sponsor: Software Engineering Standards Committee of the IEEE Computer Society. Withdrawn Standard. Withdrawn Date: Jan 26, 2009.
- A Guide to the Project Management Body of Knowledge Fourth Edition (PMBOK Guide). An American National Standards ANSI/PMI 99-001-2008.
- Statewide Information Management Manual (SIMM), Section 17, California Project Management Methodology (CA-PMM), revised March 2011.
- State of California Department of General Services, State Contracting Manual (SCM), Volume I, October 2005.
- State of California Department of General Services, State Contracting Manual (SCM), Volume 3, Revision 1, July 2010.
- State of California Franchise Tax Board, Enterprise Data to Revenue (EDR) Project, Project Management Plan, FTB FSR 08-05, Version 1.4, December 27, 2010.
- State of California Franchise Tax Board, Enterprise Data to Revenue (EDR) Project, Franchise Tax Board Request for Proposal, RFP-FTB-0910-C001, September 29, 2010, Exhibit VI-B.1, Deliverable Item Description Project Management Plan.
- State of California Contracting Agreement #C1100017 between FTB and CGI, including all attachments, dated July 1, 2011.
- CGI Client Partnership Management Framework (CPMF), 2002 CGI Group Inc., Release no:11.0.
- CGI Project Implementation Management and Reporting Application (PIMRA) Manual, Updated TBD.
- EDR Project Schedule (MRD002), date August 5, 2011.
- EDR Risk Management Plan initially submitted with PMP (MRD001) followed by EDR Risk Management Plan (MRD070), date TBD.
- EDR Quality Management Plan initially submitted with PMP (MRD001) followed by EDR Quality Management Plan (MRD071), date TBD.

2. PROJECT SCOPE

This section summarizes the EDR Project scope. For more information on how scope is defined and managed, refer to Section 6.1 and the *Scope Management Plan*.

2.1. Scope Definition

The EDR Project scope was created by the FTB based on interviews and discussions with current business and technology customers to document the current business problems and the objectives to resolving the problems. The result was a series of requirements that were used by the SP to propose a solution to meeting the goals and objectives of the EDR Project.

2.1.1. Solution Requirements

The solution requirements contained in Section VI of the EDR Request for Proposal serve as the initial baseline for solution scope. The requirements include functional, technical and managerial requirements that will be refined and elaborated through the EDR Project. Any proposed modifications to the requirements are analyzed and reviewed according to the *Change Request Management Plan* (refer to Section 6.1). The requirements will be refined and elaborated as described by the *System Engineering Management Plan (MRD007)* (refer to Section 7.2) and the *Requirements Management Plan (MRD018)*.

2.1.2. Deliverable List

The contract deliverable list is contained in Exhibit XI-A of the SP Contract, Management Requirement Deliverable and Event Matrix. The deliverables include one-time and recurring deliverables, as well as technical reviews which must be held at key points in the System Development Life Cycle (SDLC). There are 71 Management Requirement Deliverables (MRDs) and 11 Management Requirement Events (MREs). The Deliverable Management Plan in the *COMP* describes how MRDs will be reviewed and approved. The *COMP* and *SEMP* describe how MREs will be conducted, including the Operational Readiness Assessment Review (ORAR) that is used to accept each system release.

2.2. Impacted Users and Client Areas

The EDR Project affects the following internal client or end users (internal stakeholders) and external clients:

- Return Filing
- Return Validation
- Filing Enforcement/Collections
- Audits
- EDR-related Legacy Systems
- Business Entities
- Taxpayers

- Tax Preparers
- Other Federal and State Government Entities

2.3. Critical Dependencies

The success of the EDR Project is dependent on the various legacy systems' ability to make the modifications necessary for EDR in a timely fashion. Because of this the EDR Project has included a team specifically to coordinate with the legacy systems and to closely monitor any need for additional legacy system support.

2.4. Assumptions

The following assumptions were made by FTB in planning the EDR Project activities.

1. The State of California's existing tax structure and tax policy will remain relatively constant.
2. The TI and BETS systems will remain stable
3. Taxpayer choice to file tax returns electronically or on paper will remain.
4. In general, all EDR Project tasks will be completed as planned.
5. Management will maintain the project as high priority throughout the SDLC.
6. The following FTB Projects will be completed as planned:
   - Enterprise Tape Library Project – 12/31/2011
   - Federal Treasury Offset Project – 01/31/2013
   - Withhold at Source System (WASS) – 08/29/2011
   - Mainframe Replacement for Workload Growth Project – 6/29/2012
7. The department is committed to acquiring and developing staff with the requisite skills to develop and deploy the EDR solution.
8. Substantial benefits will be derived from FTB's use of the EDR solution to offset the cost of all EDR activities.
9. There will be no legislative mandates that significantly impact the EDR Project, FTB technology or resources.
10. Executive orders issued to FTB from control agencies concerning budget and resource reductions can be managed without adverse impact on EDR. FTB remains concerned regarding ongoing and future restrictions on resources during the EDR Project development period, such as furloughs and hiring freezes, and the potential impacts those restrictions will have on the project, including project delays, reduced revenue collections, unnecessary cost increases, and potential breach of contract issues if adequate project resources are not provided.
11. Required Interagency Exchange Agreements can be negotiated and agreed to in a reasonable timeframe.

Where appropriate, risk mitigation strategies will be implemented to address the risk that these assumptions prove false. Refer to the *Risk Management Plan* (MRD070) for

information on how risks will be identified and managed, and for information on the risk repository.

2.5. Constraints

The following are the FTB constraints with which the EDR Project must comply:

1. Because BETS processes and maintains confidential taxpayer information, the system must continue to abide by FTB's security and disclosure policies.
2. The EDR Project must coordinate necessary changes to legacy systems through the respective legacy system change request management process, and the changes must be prioritized in relation to current operational needs and resource availability.
3. The State is providing eleven dedicated state resources to support the SP during the project. Other state resources are available on a part-time basis, as other operational work allows.

2.6. Project Phases and Lifecycle

The EDR Project will be implemented in four design stages. The design stages are:

- Phase 0 Early Wins – Includes new innovations to generate benefits early in the project's lifecycle. Each Early Win will continue to add value over the life of EDR, and when taken together, create a more robust solution for FTB.
- Design Stage 1 – Includes new Commercial Off The Shelf (COTS) based systems for both PIT and BE Returns Filing. The phasing strategy aligns COTS implementations into the same Design Stage to account for the distinction between COTS vs. custom system development lifecycles. Also, new Return Filing functionality was placed early in the implementation schedule because new data drives many aspects of the subsequent Design Stages.
- Design Stage 2 – Includes new functionality that allows the EDR Project to pilot the new technical architecture across multiple sub-phases rather than in a single release to mitigate implementation risk. The approach begins with a formal Proof of Concept and then builds on that base for each sub-phase within this Design Stage.
- Design Stage 3 – Includes full implementation of the EDR solution for Returns Validation, Audit, and Filing Enforcement for both PIT and BE. This Design Stage also implements the new decoupled version of BETS.

For each design stage, the EDR Project will utilize a hybrid SDLC based on a combined waterfall and incremental approach that is also tailored to address the incorporation of COTS products, and integration with legacy systems.

The system requirements and system architecture design are performed once at the start of the EDR Project. At the start of each design stage, the software requirements elaboration and general design activities will be performed. Within each design stage, system releases will be defined constituting a suite of components that will be implemented to production on the same date. Each release will include the following lifecycle activities:

- Detailed design
- Code and unit test
- Integration test (including SOA interaction)
- Performance testing
- System test
- Regression test
- User acceptance test
- Implementation to production

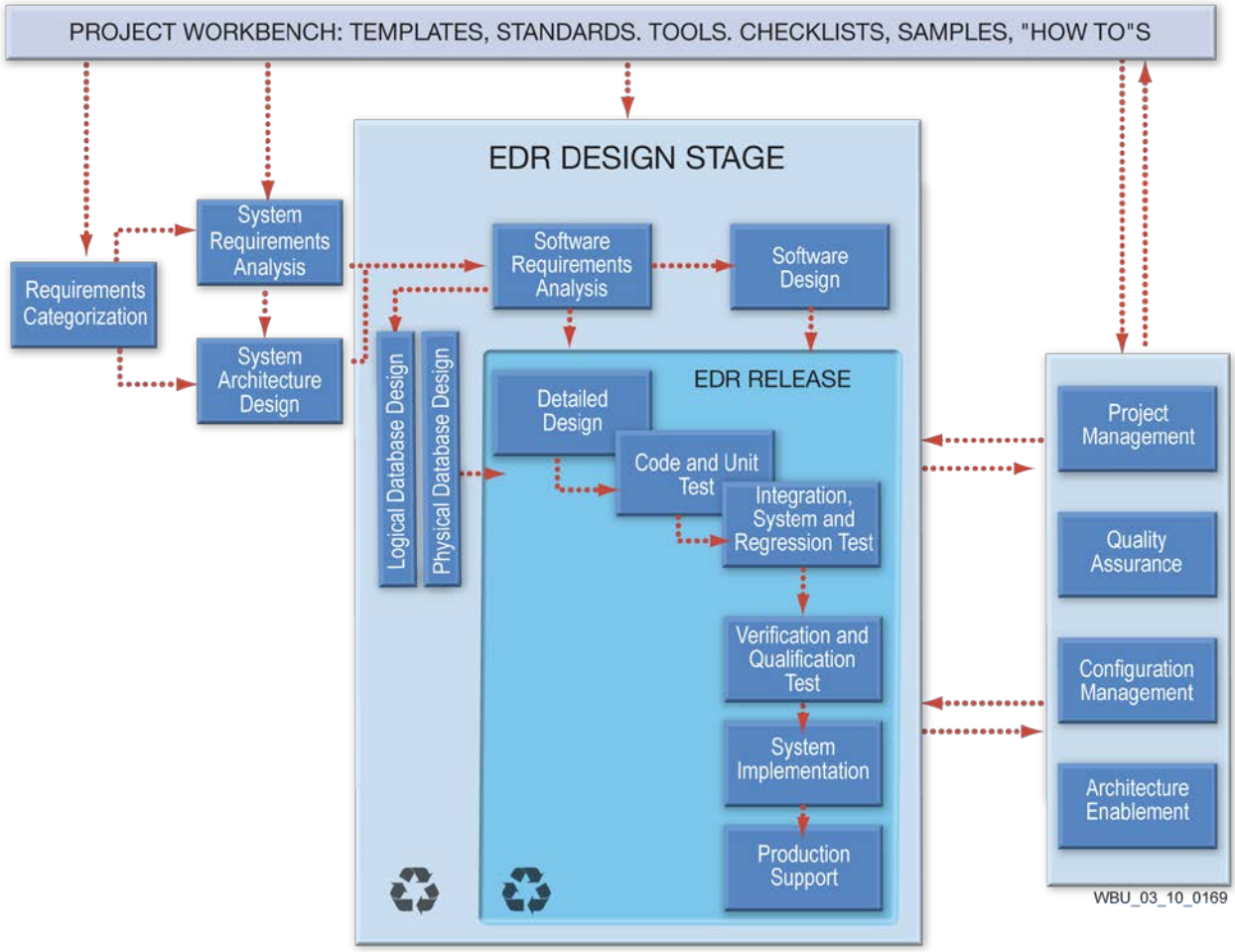

Figure 3. EDR Development Lifecycle

Each design stage will have multiple releases that implement distinct functional capabilities. Refer to Figure 2 in Section 1.1.3.3 for a pictorial of the planned design stages and releases. Refer to the *System Engineering Management Plan* (MRD007) and *Software Development Plan* (MRD008) for additional information on the SDLC and project phases.

3. PROJECT SCHEDULE AND WORK PLAN

The EDR Project Schedule is managed using MS Project Server. The Project Schedule consists of several individual MS Project plans which are roughly organized by discipline (for example, technical architecture, application development, governance, production operations). The Project Schedule includes both SP-controlled and State-controlled plans which are linked through a scheme of incoming and outgoing dependencies. The EDR Project Schedule is submitted as a separate deliverable (MRD002) from the Project Management Plan.

The Project Schedule is delivered using a rolling wave concept with detailed tasks provided on a six month basis, and detailed resource names provided every three months. Refer to the *Time and Schedule Management Plan* for additional information on the structure and management of the EDR Project Schedule.

3.1. Milestones

Table 1 lists the high-level milestones and the estimated dates listed in the current EDR Special Project Report (SPR). The milestone dates will be validated once the *EDR Project Schedule (MRD002)* has been delivered and integrated with the State portions of the Project Schedule.

Table 1. High-Level Project Milestones

Milestone Description	Estimated Date per the SPR
Project Start	07/01/2011
Implement First Year Early Wins	12/31/2012
Implement Second Year Early Wins	03/31/2014
Implement 1.A – PIT Return Filing and Payment Processing	10/31/2012
Implement 1.B – BE Return Filing and Payment Processing	01/14/2014
Implement 2.C – PIT Correspondence	07/31/2013
Implement 2.D – BE Correspondence	01/31/2014
Implement 2.E – PIT/BE Collections	01/31/2014
Implement 2.F – PIT/BE Internal Taxpayer Folder	01/31/2014
Implement 2.G – PIT/BE External Taxpayer Folder/IVR	07/31/2014
Implement 3.H – PIT Returns Validation	01/31/2015
Implement 3.I – PIT/BE Filing Enforcement	06/30/2015
Implement 3.J – PIT/BE Audit	06/30/2015
Implement 3.K – BE Returns Validation and BETS Decoupling	01/31/2016
State Acceptance of Final EDR Solution	12/31/2016

In addition to these high-level project milestone, the project also tracks compensation points and the MRDs and MREs as milestones to ensure submittal by contractual deadlines as described in the SP Contract, Exhibit XI-A. The *Time and Schedule Management Plan* defines the types of milestones tracked in the Project Schedule.

3.2. Status Reporting and Roadmaps

The EDR Project Schedule is updated every two weeks and formally submitted every four weeks. The SP and State review progress in biweekly meetings and discuss resource needs and areas of concern. A critical part of the status reporting process is the generation of schedule roadmaps, which provide a pictorial view of project activities. The roadmaps provide “Status at a Glance” as opposed to paging through voluminous MS Project tasks.

Each project discipline may have one or more roadmaps. Within each roadmap, key elements of work are depicted as swimlanes. Each swimlane contains several segments which correspond to the groups of tasks which must be accomplished. For instance, development of a deliverable might be a swimlane, with the segments corresponding to the SP and State activities required to agree on content, develop content, review, comment, update, and approve the deliverable (deliverables may also be segments instead of swimlanes). The roadmaps also summarize risks, decision points and watch points which are used to generate an overall red-yellow-green stoplight rating for the swimlane.

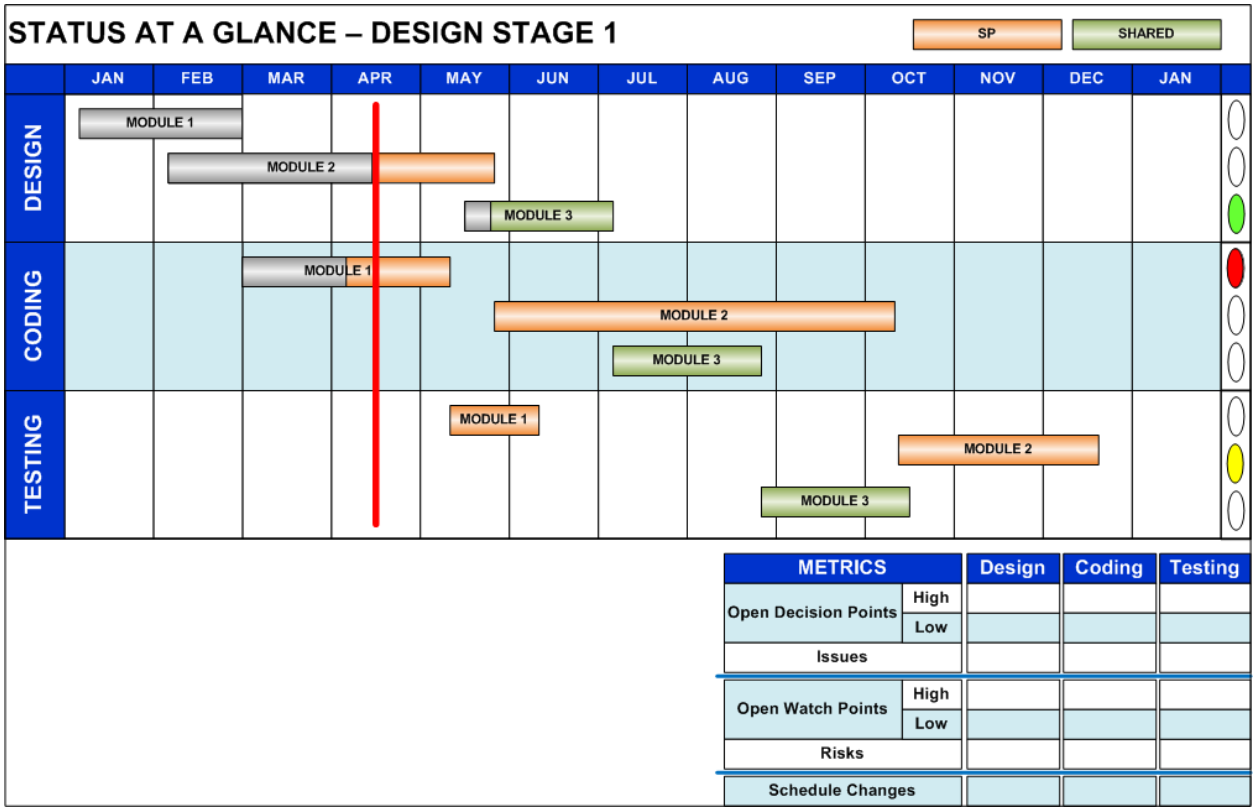

Figure 4. Sample Roadmap for Status Reporting

3.3. Key Project Metrics

The EDR Project will report earned value indicator metrics on a monthly basis. The indicators are:

- Schedule Performance Indicator (SPI) - Indicates if project is currently ahead or behind plan
- Cost Performance Indicator (CPI) - Indicates if project is under or over the expected budget. However, the EDR Project will track hours instead of dollars because the project is using a fixed price payment model based on benefits achieved.

The EV indicators are mathematically computed using data from the EDR Project Schedule and the indicators are interpreted as follows:

- Indicator = 1: as planned
- Indicator > 1: better than planned
- Indicator < 1: worst than planned

The EV indicators are computed for the SP Section level of the Project Schedule, and the trends are presented to EDR Management in a graphical representation as part of the *Time and Schedule Variance Report* (MRD003).

4. PROJECT ORGANIZATION

4.1. Project Participants

The EDR Project Team is comprised of two major organizations: the State EDR Project Organization and the SP Project Organization. When referring to the organizations, the term EDR Project encompasses both organizations. When referring to the organizations individually, the terms “State EDR Project” or “FTB EDR Project”, and “SP EDR Project” are used. If “State” and “SP” are omitted, it means the combined State and SP organizations.

- Franchise Tax Board (FTB) EDR Project Organization – This is the sponsoring organization for the FTB EDR Project. The FTB organization brings comprehensive understanding and functional expertise of the systems of work and associated business practices, existing IT policies, practices, functions, infrastructure and its future vision. At the project’s conclusion, FTB becomes responsible for the ongoing operation, support, and maintenance of the EDR system and application software.
- SP Project Organization – This is the contracted solution provider of the EDR Solution and includes the SP’s subcontractors. Working in close partnership with FTB, the SP is responsible for leading the design, development, test, implementation, and production and operational aspects of the project. Additionally, it is responsible for providing the information sharing and knowledge transfer necessary to prepare FTB for the ongoing operation, support, and maintenance of the EDR solution’s systems and application software.

4.1.1. State Organization

The State organization is under review and will be updated to better align with the SP organization as part of the next PMP update. The team is composed of managers who possess strong business skills and understanding of FTB’s operations, and is supplemented with project consultants who bring specialized project management skills.

Within the State EDR Project organization, the State EDR Project Director and State EDR Business Director serve as the primary decision makers and leaders. The State EDR Management Team consists of the following roles that participate in leading and supporting the State EDR Project Director:

- State Project Manager
- State Organizational Change Manager
- State Business Manager
- State Application Development Manager
- State Technical Operations Manager
- State Legacy Systems Manager
- State Infrastructure and Organizational Specialist

The State EDR Project organization is supported by project team members and FTB SMEs. In addition, there are a set of State team members referred to as “Dedicated State Resources”. These State team members are resources which have been identified as being so critical to the development and implementation of the EDR solution that they are included within the SP’s schedule. These dedicated state resources are integrated into the SP’s technical teams and receive assignments directly from the SP Leads and Managers, as approved by the State in the SP schedule.

4.1.1.1 State Consultants

The following consultants serve as advisors to the State EDR Project organization.

Project Management Support Consultant (PMSC)

Project Management Support consultant under a contract managed by FTB, develops and maintains the State’s portion of the EDR Project Schedule with milestones, dependencies, and resources for all components of the EDR Project. The consultant assists with time and schedule variance analysis and recommendations for schedule changes, risk management, and communication management including in-process reviews and reports. The PMSC for EDR is Visionary Integration Professionals, LLC (VIP).

Independent Project Oversight Consultant

Project Oversight is provided through an inter-agency agreement with the California Technology Agency. The objective for project oversight is to ensure project resources are managed and spent as State authorized; the project management activities are planned, executed and evaluated consistent with CA-PMM; and the EDR solution is consistent with CA State IT Strategic Goals.

Independent Verification and Validation (IV&V) Consultant

IV&V consultant services are provided under a contract managed by California Technology Agency to review, monitor and report on EDR Project deliverables. The IV&V consultant is responsible for ensuring that selected SP technical management project plans, products and other deliverables are designed, developed and implemented in accordance with State- accepted plans, quality standards and EDR requirements. All reports and assessments prepared by the IV&V consultant are submitted to the TA and the EDR Project Directors. The IV&V for EDR has not yet been selected.

Cost Analysis Consultant

The Cost Analysis consultant assists the EDR Project by analyzing the SP’s proposed estimates for change requests. The Cost Analysis consultant uses the Cost Xpert tool which has been configured to address the parameters and complexities of the EDR Project. The consultant serves on an on-call basis, and performs analysis of selected change requests as directed by the State EDR Project Director.

4.1.2. Solution Provider Organization

The SP EDR Project organization consists of CGI and its subcontractors. The SP EDR Project Organization chart is shown in Figure 6.

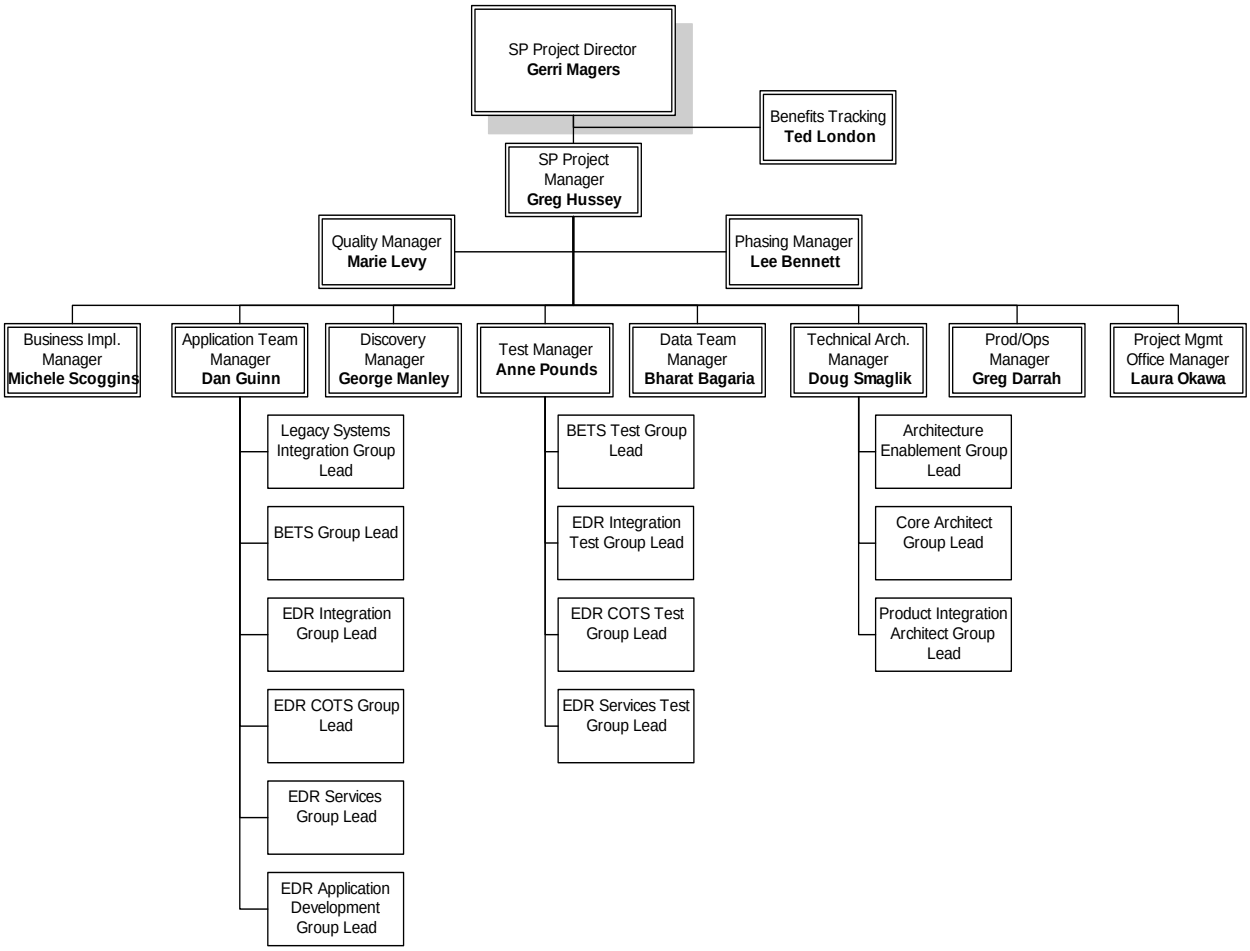

Figure 5. SP EDR Project Organization

The SP organization integrates the SP subcontractors into its organization and functions as a single entity. However for clarity, the SP's subcontractors and their areas of responsibility are listed in Table 2.

Table 2. SP Subcontractors and Project Responsibility

Subcontractor	Project Responsibility
Accenture	• Project Management • Infrastructure Support • Application Development and Testing • Technical Architecture • EDW and Reporting
Agile Path	• Governance
Apian Consulting Inc.	• Production Operations
Change and Innovation Agency	• Business Process Re-engineering for Return Filing (RF) and Return Validation (RV)

Subcontractor	Project Responsibility
Elite Analytics	• Early Wins • Collections Modeling • Training • RV Modeling
Impression Technologies	• Early Wins • PIT and BE Return Filing • Project Management • PIT and BE Correspondence • Deliverable Support
Infiniti Consulting Group	• Legacy Integration • End User Training
Oncore Consulting, LLC	• PIT and BE Correspondence • Internal Taxpayer Folder • PIT and BE Return Validation • Project Management
Performance Technology Partners	• Early Wins • Subject Matter Expert (SME) Support • Operations • IVR Enhancements • EASE Integration • Service Desk • External Taxpayer Folder User Interface
Revenue Solutions Inc.	• Data Conversion • EOD,EDW, Enterprise Content Management, Logical Data Modeling • Early Wins • 3rd Party Data Loads • Decision Modeling

Together, these companies work to execute the project activities necessary to implement the EDR Solution.

4.1.2.1 Functional Structure of the SP EDR Project Organization

The SP EDR Project Organization is organized into four levels: SP Executive Managers, SP Discipline Management, Group Management, and Team Management. The SP Executive Managers consist of:

- SP Project Director – Key Staff
- SP EDR Project Manager – Key Staff
- SP EDR Phasing Manager - Key Staff

The SP Discipline Managers are the SP managers from each of the project disciplines:

- SP EDR Business/Implementation Manager - Key Staff
- SP EDR Technical Architecture Team Manager – Key Staff
- SP EDR Application Team Manager
- SP EDR Discovery Manager
- SP EDR Data Team Manager
- SP EDR Test Manager
- SP EDR Quality Manager
- SP EDR Production Operations Manager
- SP EDR PMO Manager

The next level down is the Group Management level that includes managers who serve as leads of groups of Team Leads, due to the size of the discipline. Not every discipline has Group Leads. The SP Group Leads are:

- Legacy System Integration Group Lead
- EDR Application Development Group Lead
- EDR Integration Group Lead
- EDR BETS Group Lead
- EDR COTS Group Lead
- EDR Services Group Lead
- EDR Integration Test Group Lead
- EDR BETS Test Group Lead
- EDR COTS Test Group Lead
- EDR Services Test Group Lead
- Architecture Enablement Group Lead
- Core Architect Group Lead
- Product Integration Architecture Group Lead

The last level is the Team Management level that includes leads of functional components with a discipline or group. Not every discipline has Team Leads, and the teams may change over the life of the project, as needed. The SP Team Leads include, but are not limited to:

- BPR Team Lead
- Governance Team Lead
- Configuration Management Team Lead
- BPM Team Lead

- Contact Center Solution Team Lead
- Operations Team Lead (Services Manager)

The SP Discipline Managers meet on a biweekly basis for the SP EDR Project Manager Schedule Meeting. This is an internal management meeting to discuss project progress, prioritize risks and issues, review the Project Schedule and prepare for the Joint Project Schedule meetings.

The SP Discipline Managers meet with the Group Leads and Team Leads for their discipline on a biweekly basis to review the project status and review actions, issues and risks that can be managed and resolved at the Group Level and to prepare materials for the weekly project meeting with the SP Discipline Managers.

The Team Leads meet with their individual team members on a weekly basis to review the status of their project responsibilities and to review actions, issues and risks that can be managed at the Team level.

Due to the size and length of the EDR Project, the composition of the SP EDR Project organization will change over time to meet the needs of each design stage, and meetings may change to be consistent with the project pace. The Group Leads and Team Leads structure may change, but the Discipline Manager structure should remain substantially the same.

4.1.3. Mapping of State and SP Organizations

The State and SP EDR Project organizations work as an integrated set of teams working together to perform the necessary work, coordinate with SMEs and affected FTB organizational entities, and facilitate knowledge transfer.

Table 3 demonstrates the primary integration and alignment of the two teams. In some cases, the alignment of the teams is one-to-one, for example, the SP EDR Project Director is a one-to-one alignment to the State EDR Project Director. However in several cases, it is a one-to-many alignment as is seen in the alignment of the SP Business/Implementation Manager to the State EDR Business Director, State EDR Organizational Change Manager, and State EDR Business Manager.

Table 3. Mapping of State and SP Organizations

SP Role/Discipline	State Role/Discipline
• SP EDR Project Director	Executive Project Sponsor Business Sponsors State EDR Project Director State EDR Business Director
• SP EDR Project Manager	State EDR Project Director State EDR Business Director
• SP EDR Phasing Manager	State EDR Project Director State EDR Business Director

SP Role/Discipline	State Role/Discipline
• SP Quality Manager	State EDR Testing Manager Independent Project Oversight Consultant (IPOC) Independent Verification and Validation (IV&V) Consultant
• SP Business/Implementation Manager	State EDR Organizational Change Manager State EDR Business Manager
• SP Discovery Manager	State EDR Business Director State EDR Business Manager State Legacy Systems Manager
• SP Application Manager	State EDR Business Manager State EDR Application Development Manager State EDR Legacy Systems Manager
• SP Test Manager	State EDR Business Manager State EDR Testing Manager IV&V
• SP Data Manager	State EDR Architecture Manager
• SP Technical Architecture Manager	State EDR Architecture Manager State EDR Integration Manager FTB Enterprise Architecture Team
• SP Production Operations Manager	State EDR Technical Operations Manager
• SP PMO Manager	State EDR PMO Manager PMSC

4.1.4. Project Stakeholders

This section describes the stakeholders of the EDR Project. The PMBOK defines project stakeholders as “individuals and organizations that are actively involved in the project, or whose interests may be positively or negatively affected as a result of project execution or completion; they may also exert influence over the project and its results.” The Project Charter defines stakeholders as “individuals and organizations that are involved or may be affected by EDR Project activities”. In this sense, Stakeholders include a broader set of individuals and organizations, both those direct participants in the project as well as those external to the project who will be affected by the successful implementation of the project. Stakeholders provide funding, set project goals and objectives, perform requirements and design validation, and accept and use the system.

The organizations affected by the EDR Project were identified in Section 2.2, and include the State and SP EDR Project organizations. The external stakeholders include:

- California Department of Finance (DOF): The Department of Finance ensures appropriate funding for acquisition, development and implementation activities.
- California Department of General Services (DGS): The Department of General Services manages the procurement process. DGS' Office of Legal Services provides legal review throughout the procurement process, and reviews and processes contracts and contract amendments during the development, implementation, and maintenance and operations phases.
- California Technology Agency: The California Technology Agency is the primary State control organization that monitors and reviews the project's direction and progress. The California Technology Agency will perform the role of Project Oversight through an Interagency Agreement.

4.1.5. Project Sponsorship

In addition to the EDR Project Organization there are other entities and individuals that support the project. The project sponsors champion the project throughout the organization and provide guidance on the vision of the EDR Project.

The State sponsor team includes:

- EDR Executive Sponsor − This individual provides the leadership, vision and direction for the overall EDR Project, provides the necessary funding and resources, and serves as the project champion to provide exposure and buy-in. This individual supports the organizational change management initiative. This individual also is responsible for prioritizing and resolving escalated project-related issues with other enterprise efforts and participates as a member of the EDR State/SP Executive Management Team and EDR State/SP Executive Management Oversight Team. The Executive Project Sponsor is the FTB Chief Information Officer (CIO).
- EDR Business Sponsors − This group provides the leadership, vision and direction for the EDR Project especially as it pertains to each business sponsor's area of the business. This group provides the necessary funding and resources and serves as project champions to provide exposure and buy-in. It supports organizational change management initiatives. It is responsible for prioritizing and resolving escalated project-related issues with other enterprise efforts. The Business Sponsors consist of:
    - Chief of the Filing Division
    - Chief of the Accounts Receivable Management (ARM) Division
    - Chief of the Audit Division
    - Chief of the Finance and Executive Services Division

4.2. Executive Management Governance

Central to the project management approach is the system of executive management governance and coordination to be applied to the project. This type of governance focuses executive management's attention on critical issues, freeing them to set the overall project direction, while ensuring that lower level items are adequately managed. It also ensures timely flow of decisions and impacts to all aspects of the project. These

entities serve as the ultimate lines of authority and communication when decisions need to be made as defined in the *EDR Communication Management Plan (MDR001D)* or when issues or risks need to be escalated as defined in the *EDR Issue and Action Management Plan (MDR001E)* and *EDR Risk Management Plan (MRD070)*.

- EDR Steering Committee − This group provides strategic oversight for the project and maintains project focus and direction to make sure that the project stays on track, according to defined goals, business objectives, requirements and deliverables. It is responsible to resolve issues and conflict and make decisions regarding cost, schedule and quality of the project. It approves the EDR Project baselines and major changes to the scope, budget, and schedule, as well as approves go/no-go decisions on the project. It provides management support, direction and advice to the State EDR Project Director and State and SP EDR Management Teams. The EDR Steering Committee monitors progress and responds to issues, risks or conflicts that require escalation. It actively supports and champions communication across the enterprise as well as with external oversight, customers and other state agencies. It actively supports enterprise-wide organizational change management initiatives. It evaluates resource requirements of the project and authorizes additional resources, as needed. The EDR Change Control Board is a subset of the EDR Steering Committee members. The EDR Steering Committee consists of:
    - State EDR Project Director
    - State EDR Business Director
    - Representatives from the FTB Divisions
        - Accounts Receivable Management
        - Administrative Services
        - Audit
        - Filing
        - Financial and Executive Services
        - Legal
        - Technology Services Division
        - Chief Security Office
        - Tax Payer Advocate
    - SP EDR Project Director
    - SP EDR Project Manager
- EDR State/SP Executive Management Team – This team is responsible for management and guidance of the EDR Project team members. The Executive Management Team consists of:
    - EDR Executive Sponsor
    - State EDR Project Director

    - State EDR Business Director
    - SP Project Director
    - SP Project Manager
    - SP Phasing Manager
- EDR State/SP Executive Management Oversight Board – This board is a small decision-making body that meets at least quarterly or as required to address important, strategic and pressing project issues and the results of the balanced scorecard, MPRs and benefits achievement. The board consists of:
    - FTB Executive Officer
    - EDR Executive Sponsor
    - State EDR Project Director
    - State EDR Business Director
    - CGI West Business Unit Senior Vice President
    - CGI State of California Account Executive
    - SP EDR Project Director
    - SP EDR Project Manager (as needed)

    The executives from CGI include:

    - CGI West Business Unit Senior Vice President – Attends the EDR Executive Management Oversight meetings as CGI's authority. Attends other steering committee meetings, as requested.
    - CGI State of California Account Executive − Attends the EDR Executive Management Oversight Meeting and the EDR Steering Committee meeting as CGI's authority and is directly responsible for oversight of the executive management governance of the EDR Project.

- State Agency Portfolio Committee – This committee monitors the EDR Project from the FTB portfolio perspective. The committee receives status updates and monitors progress against project goals and coordinates interactions and priorities with other FTB projects and initiatives. The committee includes participants from external oversight agencies who participate to monitor the FTB projects as part of the overall State of California IT project portfolio. The committee consists of
    - EDR Executive Sponsor
    - State EDR Project Director
    - Director of the FTB Planning, Performance and Project Oversight Division
    - External Oversight Representatives
        - California Technology Agency
        - Department of General Services (DGS)
        - Department of Finance (DOF)

- CGI State of California Account Executive (as needed)
- SP EDR Project Director (as needed)

Figure 7 depicts the executive management governance teams for the EDR Project.

Figure 6. EDR Project Executive Management Governance Structure

There is a set of consistent ground rules for each of these governing bodies that are described as follows:

- Team Roles: Each Team consists of Decision Makers, Participants and Attendees. The distinctions between these roles are identified below:

    - Decision-Makers: Decision-makers within each team have decision making authority for the team. If a consensus cannot be reached between the decision-makers, the decision is escalated to the next higher coordination team.
    - Participants: Participants are individuals who are regular participants in the meetings. They typically take an active role – presenting, evaluating, analyzing, and accepting action items. They also have a key role in identifying cross-project impacts and in communicating and implementing team decisions within their organizations.
    - Attendees: Attendees are routine observers, who may also assist with agendas, facilitation and minutes. Others may be invited to attend the meetings as needed for subject matter expertise or interest.

- Values: Risks and issues should be resolved at the lowest levels by the empowered project team members. Those that cannot be resolved are escalated to the next level.
    - Speed of decision making is valued.
    - Broad communication and integration are vital.
    - Early identification of problems and development of corrective action plans are essential.

- Structured meetings: Each team uses a defined meeting process which includes a meeting agenda circulated prior to the meeting, assigned meeting roles, described inputs and outputs, published and retained meeting minutes.
- Procedures for Escalation (and Delegation): Supporting project management plans describe the procedures and processes for escalation, where appropriate.

4.3. Roles and Responsibilities for Project Management

The roles and responsibilities for the project management roles are contained in Appendix B. The executive management governance structure reflected in this document is the overarching model for the EDR Project and not meant to define the all inclusive roles and responsibilities for all project components. The extension of this executive management governance model and related roles and responsibilities will be incorporated into relevant supporting project management plans.

4.4. State and Contractor Working Relationship

The following sections describe how the State and SP organizations work together to plan, develop, implement, and maintain the EDR solution. The approach includes the integration of teams and schedules, structured decision-making, and key communications.

4.4.1. Integrated Teams

The EDR Project uses an integrated team approach that includes EDR Project management, Legacy System management, SP management, and supporting consultant management along with the staff from their organizations. This integrated approach provides the technical skills and program expertise needed to complete the full project life cycle activities. The approach also facilitates communication and understanding to create an environment that focuses on the successful completion of the project.

Integrated teams are used to coordinate key project disciplines with each team focusing on a specific discipline. Integrated Teams will be formed including, but not limited to, the following areas: Development, Testing, Business/Implementation, Organizational Change Management, and Maintenance and Operations disciplines, and some aspects of the PMO discipline[3].

Several key principles are followed to enhance the success of the integrated teams:

- An executive management structure with clear lines of authority and decision making. The executive management governance success factors that contribute to effective teamwork include:
    - Mutual commitment to remove barriers by working across traditional organizational boundaries and barriers
    - Willingness to delegate authority through an executive philosophy which embraces delegation of authority across the project (enterprise) to aid in making decisions at the lowest possible level in the organization;
    - Clear and consistent strategic goals, policies and standards
    - Authentic collaboration through the establishment of diverse stakeholders across and at all levels of the project (enterprise) who demonstrate a willingness to work together collaboratively to achieve the highest goals
    - Clearly defined roles delineating the scope of responsibilities of each stakeholder with executive management governance authority
    - Willingness for executive management governance bodies to be transparent having no agenda beyond accomplishment of the project (enterprise) strategic goals
    - Fair and consistent performance and outcome measures
    - Structures and mechanisms for accountability
- Good communications between dependent entities

[3] Contract management, human resources, and financial management notably need to be separate to maintain the integrity of the contractual relationship between the State and SP.

    - The *EDR Communication Plan (MRD001D)* outlines the processes and procedures that enable successful and effective communication and involvement of stakeholders
    - Integrated planning to identify interdependencies, avoid redundancies and support the State's responsibility for overall project coordination and integration
- Co-location of staff and mutually dependent teams
    - Establishment of an integrated EDR Management Team
    - Establishment of an integrated Project Management Team to the extent possible
    - Co-location of project staff at the FTB office and integrated work areas within the project location, depending on the working relationship
        - Teams that work closely together are integrated with team members from the State and SP sitting side-by-side each other to facilitate teamwork and knowledge transfer (for instance, State and SP development teams)
        - Teams working in related disciplines are located next to each other to promote close working relationship (for instance, application development and technical architecture disciplines)
        - Teams working in the same discipline but with distinct perspectives are located in the same area of the building, but along separate rows to encourage easy access while maintaining independence and contractual relationships (for instance, State and SP contract and financial team members)

In addition, the dedicated state resources (discussed in Section 4.1.1) serve as truly integrated resources who work side-by-side with the SP team on a daily basis to contribute to SP tasks.

State resources that are part of the integrated teams benefit from on the job knowledge transfer and hands-on understanding of the design, development and implementation of the solution. The result being highly skilled State team members who intimately understand the EDR solution and are equipped to manage and maintain the solution when the SP departs.

4.4.2. Integrated Schedules

The SP's approach to creation and management of the EDR Project Schedule results in an integrated Project Schedule that highlights dependencies between the State and SP, while allowing each organization to plan and manage its work independently. The EDR Project Schedule is composed of several independent State and SP work plans and are combined using Microsoft Project Server. Each plan contains a section listing the incoming and outgoing dependencies to other work plans whether State- or SP-owned. Together with the use of a single global resource pool in Microsoft Project Server, this schedule management approach allows the State and SP to monitor overall schedule progress with a strong focus on dependencies between the organizations. Refer to the *EDR Time and Schedule Management Plan (MRD001B)* for more information on the creation and management of the EDR Project Schedule.

4.4.3. Common Tools

The State and SP will use a common set of project management tools to manage and track progress on the project. The project management tools are described in Section 8. The SP provides and manages the project management tools. Each organization has a team member assigned to manage and report status on the items assigned to its organization and coordinates with his/her counterpart to generate a single integrated view of the project. For example, the State Risk Manager coordinates status updates and assignments to State team members and the SP Risk Manager coordinates status updates to SP team members. The State and SP Risk Managers work together to provide reports on the overall risk profile that support management reviews and status reports to project stakeholders.

4.4.4. Decision-making

The project organization model, in addition to promoting effective internal and external communications, also serves to support problem resolution and decisions that may affect contractual obligations. As displayed in Figure 7the SP has aligned itself with the State EDR Sponsor and Steering Committees as well as its project team.

Additionally, the establishment of an integrated EDR Project Team enables the ability to work collaboratively, make day-to-day decisions, and resolve conflicts as they happen on a regular basis for each of the individual teams.

4.4.4.1 Project Team Decision-making

The EDR Project's goal is to make decisions, resolve issues, and manage risks at the lowest level possible. SP Discipline Managers and Group Leads are encouraged to identify, document, analyze and manage these items in cooperation with their State counterparts to come to a mutually-agreeable resolution. Items can be managed at the team and group level until one or more of the following criteria occur:

- Exceeds the authority of Team Lead, Group Lead or Discipline Manager to address (for example, cross-process issues, cross-discipline issues, or issues requiring State resources)
- Has reached an impasse and cannot be resolved or completed within the current level
- If not resolved, may delay critical timelines, result in increased costs, or negatively impact quality or system performance (affects the project baselines)
- Resolution or completion is past due and cannot be managed at the lowest appropriate level
- Has been designated as a Critical priority (refer to the *EDR Issue and Action Item Management Plan (MRD001E)* and *EDR Risk Management Plan (MRD070)*)
- Is highly visible (for example, negative or positive in the media)
- Involves a contract change or has a potential impact on project benefits or the compensation model
- Involves a sensitive matter (for example, dispute between SP and State)

When any of these criteria occur, the decision or action must be elevated to the project-level for decision and tracking by the State and SP EDR PMOs. If necessary, the State and SP EDR Project Directors will escalate the item to the EDR State/SP Executive Management Oversight Team for decision.

4.4.4.2 Approach to State and SP EDR Project Organization Differences

As is inevitable over the course of time on large and complex engagements, disagreements may arise. Such disagreements that surface between members within an organization (e.g., FTB or SP) are dealt with according to each organization's policies and procedures. However, in the event of a disagreement between parties of different organizations that cannot be resolved at the working level, it is important that the disagreement is addressed at the next higher level in the executive management model to maintain the relationship, as well as to support open and honest communication between parties.

Should an unresolved disagreement arise between parties of differing organizations, it is the responsibility of each team member to escalate the conflict to their direct supervisor. For example, in the event of conflict between two Team Leads, each team member should discuss the problem with their respective Group Lead or Discipline Manager. The Lead/Manager, working with their team members, evaluates the conflict and seeks to reach a mutual settlement. Likewise, if there is a conflict between Discipline Managers, the issue is brought before their respective project management teams.

Adherence to this procedure is necessary to obtain objective opinions of the conflict before the conflict impacts project productivity. Communication is governed by the *EDR Communication Management Plan (MRD001D)*. Each of these supporting project management plans outlines the processes and procedures for effective cross-team interaction and accountability.

4.4.4.3 Approach to Resolve Contractual Differences

Should contractual differences and the need for decision-making on the contractual obligations occur, the State and SP use an escalated communication approach following the process described in Section 4.4.4.1 . The State and SP EDR Executive Management Team works collaboratively to attempt to resolve potential disagreements informally, prior to invoking the contractual Conflict Resolution Process[4] and Dispute Process[5].

If the disagreement is not disposed of within a reasonable period of time by the applicable State and SP team, it shall be referred to the Conflict Resolution Process for resolution with the following individuals in the order listed below:

1) The State EDR Project Director and the SP EDR Project Director shall each provide a Notice of Conflict to the other party. If within five (5) state business days the Notice of Conflict is not resolved, then it shall be referred to:

2) The State EDR Project Director, the Steering Committee Chair, the EDR Executive Sponsor, the SP EDR Project Director, and CGI's State of California Account Executive.

[4] SP Contract, Attachment 3: Statement of Work, Paragraph 6.3.
[5] SP Contract, Attachment 1: IT General Provisions for the EDR Project, Paragraph 41 – Disputes.

If within ten (10) state business days the Notice of Conflict is not resolved either party may invoke the formal Dispute Process as described in the SP Contract. The Dispute Process includes the following participants: the FTB Executive Officer (or designee), the Department of General Services, Deputy Director, Procurement Division, and CGI's West Business Unit Senior Vice President.

4.4.5. Communications between the State and SP Organizations

The State and SP EDR Project organizations work closely together to ensure team members from both organizations participate in appropriate meetings, decision-making, and status reporting. Each organization has designated team members responsible for promoting and coordinating communications between the organization, including:

- Communications Leads
- Issue and Action Item Managers
- Risk Managers
- Change Request Managers
- Organizational Change Management Leads

These team members are responsible for gathering information and status within their organization and working collaboratively with each other to coordinate updates to databases, external status reports, and management. Because common tools are used, the State and SP team members will be working from a common viewpoint of the data. For more information on planned communications, refer to the *EDR Communications Management Plan (MRD001D)*.

5. APPROACH TO PROJECT MANAGEMENT

The Project Management Plan methodology incorporates concepts and practices from the following documents:

- State Information Management Manual (SIMM), Section 17, California Project Management Methodology (CA-PMM)
- Institute of Electronic and Electronics Engineers (IEEE) 1058-1998 and 1490-2003
- Project Management Institute's (PMI) Project Management Body of Knowledge (PMBOK)
- Information Technology Infrastructure Library (ITIL)

The SP approach to project management also leverages the CGI Client Partnership Management Framework (CPMF) and customizes it to the specific needs of the EDR Project. This framework outlines the specific functions to be defined and processes to be followed to achieve a successful project. The CPMF can be tailored to specific client requirements and emphases, yet still meets overall project management standards such as ISO, CMMI, and PMBOK.

5.1. Project Management Framework for the PMP

The project management approach for the EDR Project is illustrated in Figure 8 which illustrates the relationship among the following:

- CGI CPMF – The overarching methodology for the SP, customized to meet the requirements of the EDR Project
- Quality Management – Quality management processes used throughout the project to support the quality of managerial processes, deliverables, and overall project success
- Project Governance – Executive management governance processes touching most aspects of the EDR Project that enable better oversight, decision making and communication
- EDR Project Management – The EDR Project's Project Management Plan and its associated supporting plans
- EDR Project Management Tools – The Microsoft Office suite of tools is expanded with MS Project Server, MS SharePoint, Rational ClearQuest, and CGI's PIMRA Tool.

Each of these layers is elaborated upon in the following paragraphs.

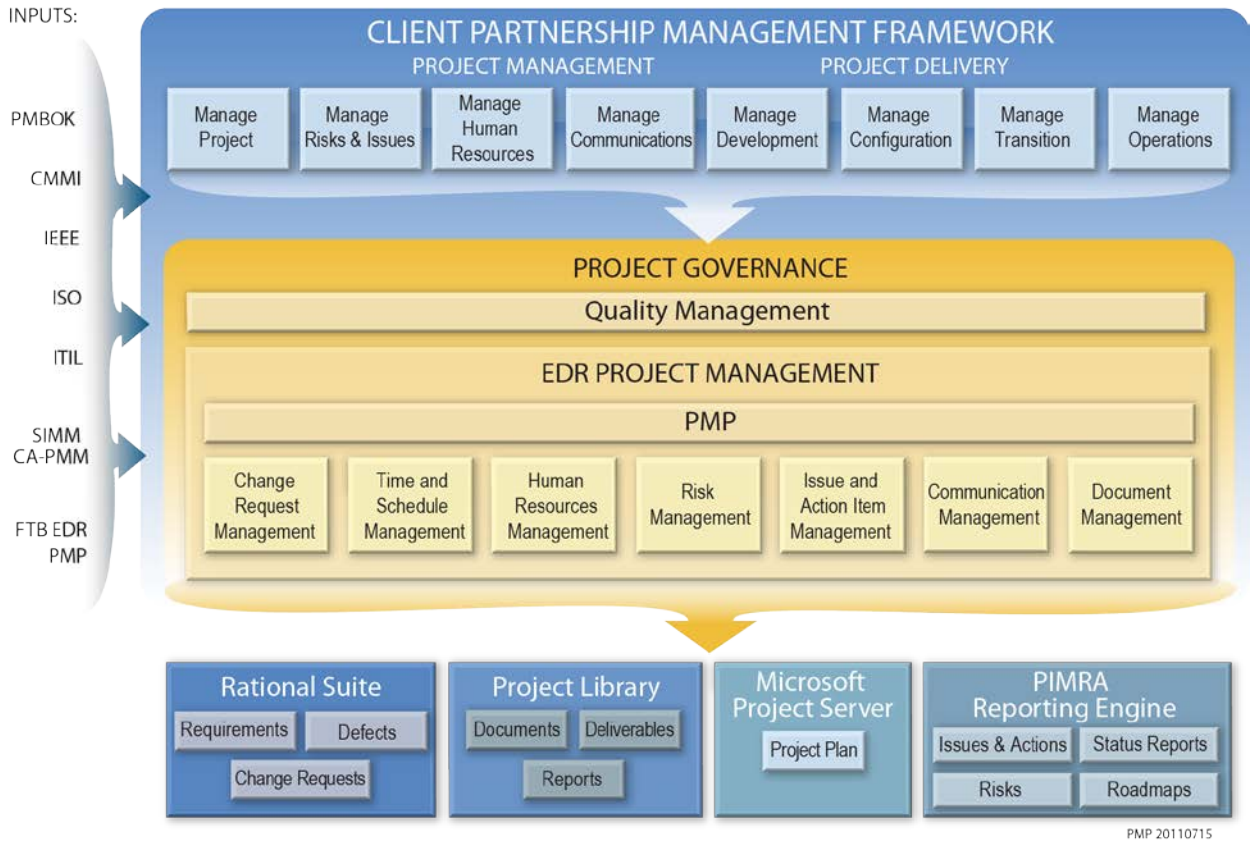

Figure 7. Project Management Framework

5.1.1. Client Partnership Management Framework (CPMF)

The CPMF is an ISO 9001-certified suite of tested methods and demonstrated processes covering the full spectrum of project management disciplines. By following the CPMF framework and implementing the associated processes, the EDR Project institutes project management processes capable of achieving CMMI Level 3 compliance. The elements of the CPMF are incorporated into the applicable MRDs submitted to the State.

The CPMF provides the SP project managers with a solid structure to facilitate the delivery of any engagement such that they are carried out according to a proven series of processes and with a uniform approach to quality. It provides the structure and executive management governance through each project phase.

The CPMF is a carefully managed blend of rigor and flexibility. The flexibility built into the Framework allows it to be adapted to the specific needs of each individual project, and provides for continuous process improvement.

5.1.2. Quality Management

The EDR Quality Management processes and procedures guide the SP EDR Project organization in meeting the objectives of the EDR Project. The Quality Management activities focus on improving project productivity, improving project quality, and measuring compliance with project quality objectives and progress toward them. The

Quality Management activities provide project teams with the standards, procedures, and infrastructure that maximize quality results. Refer to the EDR Quality Management Plan (MRD071) for more information on specific SP quality activities.

The State EDR Project organization also uses the IV&V and IPOC to assist with monitoring, respectively the SP's technical performance and overall project adherence (State and SP) to the state's CA-PMM.

5.1.3. EDR Project Management

EDR Project Management is facilitated by the SP EDR PMO partnered with the State EDR PMO. Together, the PMOs are responsible for developing and verifying adherence to the Project Management Plan and its associated supporting plans and processes, and supporting the State PMO-specific functions (for example, contract management and benefits management). Within each supporting plan, the integration between the project management processes is also described. Each of the supporting plans and associated processes are discussed in Section 6.

The supporting plans are consistent with PMBOK, CA-PMM, and CPMF guidance, and include:

- Scope Management Plan
- Change Request Management Plan
- Time and Schedule Management Plan
- Financial and Contract Management Plan
- Quality Management Plan
- Human Resources Management Plan
- Communications Management Plan
- Issue and Action Item Management Plan
- Document Management Plan
- Risk Management Plan
- Contractual Obligations Management Plan

5.1.4. EDR Project Management Tools

The SP provides the project management tools for the EDR Project to facilitate planning, communication, tracking and retention of important project decisions. Section 8 describes each of the tools listed below. Each supporting plan describes the specific use of the tool in the context of the process.

Table 4. EDR Project Management Tools

Project Management Function	Tool
Schedule Management	MS Project Server MS Project Web Access MS Project Professional PIMRA

Project Management Function	Tool
Change Requests	ClearQuest
Issue Management	PIMRA
Action Item Management	PIMRA
Document Management	SharePoint
Risk Management	PIMRA

5.2. Project Lifecycle

The lifecycle of the EDR Project follows the CA-PMM and PMBOK methodology which consists of the following stages: Concept, Initiating, Planning, Executing, and Closing. Monitoring and controlling occur throughout the project and Maintenance and Operations are included to round out the full lifecycle of the project.

Concept and Initiating facilitates the formal processes and authorization to identify and start a new project or project phase. The EDR Project has completed the Concept and Initiating phases through the successful submission, and subsequent approval, of its Concept Statement and Feasibility Study Report.

The following discusses the EDR Project within the context of the remaining lifecycle stages.

5.2.1. Planning Stage

The EDR Project conducted four major procurements for: a Solution Provider, a System Documentation Tool, an IV&V Consultant, and a PMSC. Planning efforts for these procurements and their subsequent project activities were closely coordinated to ensure timely and successful integration of the EDR Project. The planning efforts included active participation by FTB Division-wide management and staff to ensure that procurements meet programmatic needs, take into account existing operations, and meet the requirements of State oversight agencies.

Joint planning and coordination with contracted vendors and project stakeholders continue throughout the life of the project to ensure that changes in individual components do not disrupt existing EDR operations.

Integrated Planning describes the approach the PMP takes to plan for this large-scale initiative consisting of multiple, independently operated but interdependent activities. Integrated planning focuses on cross-project coordination and identifying and managing dependencies between related activities. For the EDR Project this means identifying, documenting and coordinating related dependent activities and shared resources between the various organizations and projects. Integrated planning also includes the coordination aspects such as the use of common processes and tools across the EDR Project as described in this PMP.

Project Planning consists of the activities necessary to develop, implement, and maintain the major project documents used to guide project execution and control. The key documents for Project Planning include the *EDR Project Charter, this EDR Project Management Plan (MRD001), the EDR Project Schedule (MRD002)*, and the supporting management plans and processes. These documents are developed with the purpose of establishing the project direction according to the program needs expressed by the EDR Project Sponsor and the EDR Business Sponsors.

The *EDR Project Charter* sets the initial scope of the project, establishes the executive management governance structure, and identifies the initial risks associated with the development and implementation of the project. The Project Management Plan provides the framework for the management and interaction of the management, technical, and administrative work of the project. The *EDR Project Schedule* provides the task structure and effort required to effectively manage and complete the project. Finally, the supporting management plans provide the framework for the methods of tracking and reporting, and continuous and effective communications among all levels of the project.

5.2.2. Execution Stage

Execution involves the analysis, design, development, testing, training and implementation of the system or services. The EDR Implementation activities will be divided into four stages that deliver specific discrete groups of functionality to support current business operations.

The work required to baseline functional, technical and management requirements is performed upon approval of the SP's first MRDs, which include this Project Management Plan and its supporting plans, and the *EDR Project Schedule (MRD002)*. State and SP team members work with other project stakeholders to jointly define, refine and clarify requirements. These baseline requirements serve as the foundation for subsequent design, development, and verification activities. Requirements are allocated to a specific design stage and verified to be satisfied as part of the applicable design stage release. Refer to Section 7 for a description of the plans that describe the management and execution of the development and implementation.

A formal process is used for the review and acceptance of all project deliverables, as outlined in the *Contractual Obligation Management Plan (COMP)* and its associated *Deliverable Management Plan,* to verify that the deliverables meet the business and contractual requirements for the EDR Project.

5.2.3. Monitoring and Controlling Stage

Monitoring and controlling occur throughout the lifecycle of the project. Monitoring is supported by the project performance reporting that is accomplished through status meetings, reports, internal project tracking systems and periodic performance reviews.

The *EDR Change Request Management Plan (MRD001A)* defines the change control process for the EDR Project that is used for controlling key factors, including scope and schedule, to make sure proposed changes are beneficial, to determine whether a change has occurred, and to manage the implementation of the approved changes.

The *EDR Communications Management Plan (MRD001D)* describes the status reports and meetings that will be used to monitor progress and report to appropriate stakeholders and control agencies.

5.2.4. Maintenance and Operations Stage

Maintenance and Operations covers the ongoing maintenance, enhancement, and operation of the system or service. Maintenance and operations of the EDR solution will be performed by the SP per the terms agreed upon in the SP Contract. State EDR Project team members will participate in EDR maintenance and operations activities to acquire the skills and knowledge necessary to assume responsibility for the ongoing maintenance and operation at contract end. The *EDR Service Transition Plan (MRD049)* and the *EDR Service Operations Plan (MRD059)* describe how the EDR solution will be put into production and managed once in production.

5.2.5. Closing Stage

Later in the project (at least six months prior to EDR Project completion) procedures will be developed within the *EDR Project Closeout Plan (MRD005)* to provide a step-by-step approach for project and administrative closure. It will address activities to confirm that the project has met all contractual requirements, verify that all deliverables have been accepted, validate that all completion and exit requirements have been met, identify the approach to transition EDR Project staff to new assignments, and identify other activities necessary to close the Project.

5.2.5.1 Contract Close-Out

Contract closure procedures, developed by the State Contract Manager and vetted with the State and SP project executives, will guide activities and responsibilities for contract closure, including:

- Ensuring all contract deliverables have been completed and accepted
- Ensuring system and software documentation reflects the “As Built” product
- Defining the process for formal acceptance and handover of the products to the State
- Defining the process for transferring project assets

5.2.5.2 Post-Implementation Evaluation Report (PIER)

The EDR Project will submit a PIER within 18 months of project end. The PIER consists of six sections:

- Background and Summary of Results
- Attainment of Objectives, tied to most recent FSR
- Lessons Learned
- Corrective Actions, if project determined to be limited success or failure)
- Project Management Schedule and milestone performance
- Economic Summary, including actual to proposed savings as well as costs

The PIER will be completed consistent with requirements stated in the Statewide Information Management Manual (SIMM50).

6. PROJECT MANAGEMENT SUPPORTING PLANS

The purpose of the Project Management Plan and its associated supporting plans is to establish a framework that promotes full staff adherence to project management best practices on a day-to-day basis.

The following sections present an overview of each of the project management supporting plans. The supporting plans are managed as stand-alone documents. Some of the supporting plans are specific to either the State or SP, while some are joint plans maintained by the SP. Table 5 summarizes the ownership of the supporting plans.

Table 5. Project Management Supporting Plans

Plan Title	Owned by	Used by
Scope Management Plan	State	State EDR Project organization
Change Request Management Plan (MRD001A)	SP	State and SP EDR Project organizations, PMSC, IPOC and IV&V
Time and Schedule Management Plan (MRD001B)	SP	State and SP EDR Project organizations, PMSC, IPOC and IV&V
Financial and Contract Management Plan	State	State and SP EDR Project organizations, PMSC, IPOC and IV&V
Quality Management Plan (MRD071)	SP	SP EDR Project organization
Human Resources Management Plan (MRD001C)	SP	SP EDR Project organization
Communications Management Plan (MRD001D)	SP	State and SP EDR Project organizations, PMSC, IPOC and IV&V
Issue and Action Item Management Plan (MRD001E)	SP	State and SP EDR Project organizations, PMSC, IPOC and IV&V
Document Management Plan (MRD001F)	SP	State and SP EDR Project organizations, PMSC, IPOC and IV&V
Risk Management Plan (MRD070)	SP	State and SP EDR Project organizations, PMSC, IPOC and IV&V
Contractual Obligations Management Plan	State	State and SP Project organizations

6.1. Scope Management Plan

The objective of Scope Management for the EDR Project is to ensure the project includes all the work required and only the work required to complete the project successfully.

The *Scope Management Plan* documents how the project scope will be defined, verified and controlled, and how the work breakdown structure will be created and defined. Scope changes affect other management processes as well, including cost, time, quality and risk.

The *Scope Management Plan* is owned by the State and is used to monitor and verify the EDR solution conforms to the agreed upon scope.

6.2. Change Request Management Plan (MRD001A)

The objective of Change Request Management is to manage EDR Project change requests through a coordinated, consistent approach throughout the project lifecycle.

The *Change Request Management Plan (MRD001A)* describes the processes and procedures for identifying, initiating, evaluating, approving, documenting and tracking changes to any project baseline deliverable or configuration item. The Plan also describes the approach to track and manage Development Change Requests (DCRs) that are needed to clarify the evolving design solution. Finally, the Plan discusses the process to create work authorizations to obtain formal approval to implement the changes.

The *Change Request Management Plan* is owned by the SP and is used by all EDR Project participants to request changes to the EDR solution and SP Contract. Changes to non-SP contracts are addressed through the *Financial and Contract Management Plan*.

6.3. Time and Schedule Management Plan (MRD001B)

The objective of Schedule Management is to develop and manage a project schedule that ensures timely completion of the project deliverables and the appropriate allocation of project resources.

The *Time and Schedule Management Plan (MRD001B)* establishes how the EDR Project Schedule will be managed and controlled. The Plan defines the approach and processes for creating, maintaining, and managing the schedule. It also provides guidance to team members associated with the EDR Project with regard to schedule structure, updates, and progress and variance reporting. Schedule Management provides a basis for measuring progress toward the goal of completing the EDR Project and communicating status to staff and management.

The *Time and Schedule Management Plan (MRD001B)* is owned by the SP and is used by the State, SP and PMSC to manage and update the EDR Project Schedule, and by the IPOC and IV&V to monitor schedule variance metrics.

6.4. Financial and Contract Management Plan

The processes and steps for cost, budget and benefits management on the EDR Project are detailed in the *Financial and Contract Management Plan*.

Financial and Contract Management includes the processes required to ensure that the project is completed within the approved budget and in accordance with contractual agreements. Financial and Contract Management consists of the activities necessary to request and justify project funding; to monitor expenditures and control expenses; and to prepare periodic financial and progress status reports to inform stakeholders as necessary. Financial management activities include budgeting, accounting and billing; maintaining records of all project funds, assets and expenditures; managing and documenting all resource utilization, purchases and services procured; and preparing all mandated and ad hoc State reports including requests for information from other interested external agencies. All project functions can potentially impact project costs.

The Financial and Contract Management Plan also describes how the non-SP Contracts are managed and controlled, including how invoices and payments are handled.

The Financial and Contract Management Plan is owned by the State and used primarily by the State team members. The SP and State consultants use the processes in this Plan primarily as it relates to invoicing and fiscal reporting.

6.5. Quality Management Plan (MRD071)

Quality Management describes the integration of quality activities throughout the project. Quality management activities focus on improving project productivity and product quality, as well as measuring compliance with project objectives and progress toward them.

The *Quality Management Plan (MRD071)* documents the SP's approach to ensure the project properly documents and follows good business and engineering practices including defining the review, assessment, evaluation and reporting methodology. This plan focuses on overall project quality through SP processes and methods. The SP's *Technical Quality Management Plan (MRD016)* and *Master Test Plan (MRD040)* describe the specific approaches to managing technical quality for the EDR solution.

The Quality Management Plan is owned by the SP and is specific to the SP's activities.

6.6. Human Resources Management Plan (MRD001C)

The objective of Human Resources Management is to make the most effective use of the people involved with the EDR Project. Human Resources Management includes the process of identifying, recruiting, training, assigning, managing, and retaining the appropriate blend of skills and experience of functional and technical resources throughout the project lifecycle. The plan also discusses day-to-day management of staff and assignments to staff, management of subcontractors, monitoring of staff and subcontractor performance, and identifies the SP key staff for the EDR Project.

The *Human Resources Management Plan (MRD001C)* is owned by the SP and is specific to the SP's organization, referencing corporate policies, where appropriate. Staffing management processes related to State personnel are governed by internal FTB policies and procedures.

6.7. Communication Management Plan (MRD001D)

The objective of Communication Management is to provide the critical links among people, ideas and information that are necessary for project success. Communication is a vital component of any project, and becomes progressively more difficult as the size of the project increases.

The *Communication Management Plan (MRD001D)* identifies the types of information to be distributed, the audience to which information is distributed, and the method and frequency of distribution of information to ensure timely and effective communication to all project team members and stakeholders. The plan focuses on planned meetings and communications. The *Organizational Change Management Plan (MRD013)* focuses on communications to prepare the FTB organization for the changes related to the EDR solution.

This plan is owned by the SP and used by all project participants.

6.8. Issue and Action Item Management Plan (MRD001E)

The purpose of the *Issue and Action Item Management Plan (MRD001E)* is to establish a process to identify, manage, and track EDR Project issues and action items in a timely manner to support the needs of the project. Issue and action item management emphasizes delegation of decision-making where appropriate, and escalation of decisions quickly when the level of authority for decision-making changes.

The plan is owned by the SP and used by all project participants.

6.9. Document Management Plan (MRD001F)

Document Management defines the systematic control of EDR Project documents throughout the project lifecycle. It provides standards and guidelines for how a project document is created, revised, and approved as a project record. It provides guidance for accepting, filing, archiving, and accessing records in the EDR Project Repository and Project Library. The records management processes for submitting, filing, archiving, and accessing project records in the physical and electronic libraries are based on State document management laws and policy.

The *Document Management Plan (MRD001F)* is owned by the SP and used by all project participants.

6.10. Risk Management Plan (MRD070)

The objective of Risk Management is to improve the chances for project success by anticipating uncertain events or situations and maximizing the probability and consequences of positive events and minimizing the probability and consequences of adverse events.

The *Risk Management Plan (MRD070)* provides a systematic process for identifying, analyzing and responding to project risk that continues throughout the life cycle of the project. The plan is owned by the SP and used by all project participants.

6.11. Contractual Obligations Management Plan (COMP)

Contractual Obligation Management supports the project management activities required to monitor and document the SP's compliance with the terms and conditions of the EDR SP Contract, facilitate timely and appropriate payment of SP invoices and maintain contract records to comply with government audit and reporting requirements. In addition, it identifies the process to propose and finalize interim contract changes and amendments.

Contract Obligation Management focuses on the processes used to manage the SP EDR Contract. The *Contractual Obligations Management Plan (COMP)* describes its purpose as specifying "the approach for monitoring and appraising the performance of the SP to ensure compliance with all aspects of their contractual obligations." This plan is owned by the State and used to manage the SP Contract.

7. TECHNICAL MANAGEMENT PLANS

The following sections summarize the technical management plans that will be used to manage and deliver the EDR solution. These plans describe the approach to management of the SDLC and the standards and processes that will be used. The technical management plans are maintained as stand-alone documents which are owned by the SP. The minimum content for the technical management plans was established in the SP Contract, Exhibit XI-B. Additional content will be determined through the DED process for each document.

7.1. Early Wins Development Plan (non-MRD)

The Early Wins Development Plan describes the methodology and approach to managing the Early Wins (Phase 0) activities. This non-MRD describes the SP's approach to managing the Early Wins development efforts beginning prior to the EDR Project's infrastructure and management plans being in place. The plan discusses the processes used in the interim and includes applicable interim project management processes used for the existing legacy systems as well as technical management processes. The plan's technical management processes are based on a lightweight methodology that leverages existing State resources, processes and systems to quickly deliver increased benefits and improvements.

7.2. System Engineering Management Plan (MRD007)

The System Engineering Management Plan describes the processes, activities, and tools that must be used by the project team to implement the system engineering activities of the EDR Project. The plan describes the overall project life cycle in the context of the engineering processes. The plan is one of the project-wide governing documents that reference other supporting documents, as necessary. The plan describes requirements management, knowledge management, technical quality, standards to be used, technical reviews to be conducted, and methods to design, build, test, implement and manage the EDR solution.

The System Engineering Management Plan is supported by the following technical management plans:

- Requirements Management Plan (MRD018)
- Technical Infrastructure Plan (MRD024)
- Asset and Configuration Management Plan (MRD010)
- Software Development Plan (MRD008)
- Knowledge Management Plan (MRD011)
- Master Test Plan (MRD040)
- Database Development Plan (MRD035)

7.3. Business Process Re-engineering (BPR) Plan (MRD031)

The Business Process Re-engineering Plan describes how the current business processes will be analyzed and redesigned to incorporate the use of the EDR solution.

The plan includes the methods to be used to gather, analyze, redesign, implement and evaluate the business processes. The plan discusses the scope of the re-engineering efforts, EDR solution governance considerations and activities, organizational design and outreach, and methods to evaluate the effectiveness of the new/modified business processes.

7.4. Legacy System Integration Plan (MRD038)

The Legacy System Integration Plan describes the approach to integrating the EDR solution with the applicable legacy systems and infrastructure, including call centers, IVR, input systems, and help desks. The plan describes the strategies to address system performance, security, integration with existing FTB technical management processes for the impacted systems, and risk mitigation and contingency strategies.

7.5. Service Transition Plan (MRD049)

The Service Transition Plan describes the necessary activities to transition each EDR release to the production environment and State management and control. The plan addresses the transition of the system release after each System Qualification Test acceptance. The plan addresses coordination with legacy systems and infrastructure, the processes necessary to integrate with FTB's production environments, and the approach to the operational readiness assessment for transition.

7.6. Service Operations Plan (MRD059)

The Service Operations Plan describes the approach to implementing ITIL standard service operations processes for management of the EDR solution in the production environment. The plan describes roles and responsibilities, maintenance schedules and activities, business continuity strategies, defect and incident processes, and security and access control processes.

8. PROJECT MANAGEMENT TOOLS

The following tools will be used to support project management functions. Use of the tools is described in the processes and procedures in the supporting plans. State IT resources manage the server hardware and software, while SP technical staff manage the application, user accounts and access levels, and data within the tool.

Table 6. Project Management Tools

Tool Name	Purpose	PM Process
MS Project/ MS Project Server	Creation and management of the EDR Project Schedule, WBS, and schedule metrics	• Time and Schedule • Communications (status reporting) Management
MS SharePoint	Management of EDR Project documents	• Document Management
PIMRA	Tracking and management of issues and risks, generation of Status-at-a-Glance Roadmaps	• Time and Schedule • Issue and Action Item • Communications (status reporting) Management • Risk Management
Rational ClearQuest	Tracking and management of change requests. Also used by the technical management processes	• Change Request Management

8.1. MS Project and MS Project Server

Microsoft Project and Microsoft Project Server are used to create and manage the EDR Project Schedule. The servers are hosted at the FTB data center and allow multiple users to update and access their portions of the schedule. Refer to the *EDR Time and Schedule Management Plan (MRD001B)* for additional information on the EDR Project Schedule and approach to using MS Project/MS Project Server.

8.2. MS SharePoint

Microsoft SharePoint is used to store and manage documents generated by the EDR Project. SharePoint is used for the EDR Project Repository as well as providing team worksites for collaboration. SharePoint provides a web accessible, collaborative workspace to manage and store project documents in a secure library with appropriate access control, and user and group level security.

The main SharePoint site also provides a central calendar for schedule dedicated conference rooms and project equipment such as projectors and conference phones, and a calendar for managing time off and vacations. Refer to the *EDR Document Management Plan (MRD001F)* for additional information on how SharePoint is used.

8.3. PIMRA

The SP's Project Implementation Management and Reporting Application (PIMRA) supports the day-to-day management of project issues and risks, and generate the Status-at-a-Glance Roadmaps that are used to monitor and report project progress according to the EDR Project Schedule, PIMRA is web-based and accessed by managers and leads during the execution of their planned activities.

PIMRA provides features to manage issues and risks at the team, group and project-level as well as allowing escalation to the next highest level. Issues and risks can be linked to WBS items for tracking purposes and the issues and risks are used to compute the stoplight indicators in the Status-at-a-Glance Roadmaps. Refer to the *EDR Time and Schedule Management Plan (MRD001B)*, *Issue and Action Item Management Plan (MRD001E)*, *Risk Management Plan (MRD070)*, and *PIMRA Tool Manual* for more information. The PIMRA tool is a custom developed tool managed by the SP staff.

8.4. ClearQuest

Rational ClearQuest is one component of the suite of tools used by the technical management processes. ClearQuest is used to manage, among other things, the change request process. As part of the Rational suite, ClearQuest is integrated with RequisitePro (requirements management) and ClearCase (configuration management and version control) to allow better management of changes and impact analyses. Refer to the *EDR Change Request Management Plan (MRD001A)*, the *System Engineering Management Plan (MRD007),* and other technical management plans for more information.

APPENDIX A – ACRONYMS AND GLOSSARY

Refer to “EDR Project Glossary.doc” at TBD and the acronyms list available from the EDR Project Repository.

APPENDIX B – PROJECT MANAGEMENT ROLES AND RESPONSIBILITIES

MANAGEMENT PROCESS	EDR EXECUTIVE SPONSOR
Project Governance	• Provide vision and direction for the project • Provide policy leadership • Provide necessary funding and resources • Serve as project champion to provide exposure and buy-in • Support organizational change management initiatives • Participate as a member of the EDR Executive Management Team, EDR State Sponsor Team, and EDR State/SP Executive Management Oversight Team • Prioritize and resolve escalated project related issues with other enterprise efforts

MANAGEMENT PROCESS	EDR PROJECT BUSINESS SPONSORS
Project Governance	• Provide vision and direction for the project • Provide policy leadership • Provide necessary funding and resources • Serve as project champion to provide exposure and buy-in • Support organizational change management initiatives • Prioritize and resolve escalated project related issues with other enterprise efforts

MANAGEMENT PROCESS	EDR PROJECT STEERING COMMITTEE
Project Governance	• Provide strategic oversight for the project and maintain project focus and direction to ensure that project stays on track, according to defined goals, business objectives, requirements and deliverables • Resolve issues and conflicts and make decisions regarding cost, schedule and quality of the

MANAGEMENT PROCESS	EDR PROJECT STEERING COMMITTEE
	project • Approves the EDR baseline and major changes to the scope, budget, and schedule, as well as approve go/no-go decisions on the project • Provide management support, direction and advice to the State EDR Project Director and EDR Management Team • Monitor progress and respond to issues, risks or conflicts that require escalation • Actively support and champion communication across the enterprise as well as with external oversight, customers and other state agencies • Actively support enterprise-wide organizational change management initiatives • Evaluate resource requirements of the project and authorize additional resources, as needed

MANAGEMENT PROCESS	EDR PROJECT CHANGE CONTROL BOARD
Project Governance	• Directs the EDR Project change request management activities and approves all change requests • Coordinates with Legacy System Change Control Boards as necessary to implement Requests for Change (RFCs) that are a result of EDR activities

The remaining State roles and responsibilities are currently under revision and will be added to this document at the next update of this document.

MANAGEMENT PROCESS	INDEPENDENT VERIFICATION AND VALIDATION (IV&V)
Project Management	• Reports to the State EDR Project Director
Contract Management	• Performs an independent review of the state-selected Solution Provider (SP) technical Management Requirements Deliverables (MRDs) per the IV&V contract based on the EDR requirements and applicable standards to recommend acceptance to the State EDR Project Director • Attends all SP Management Requirement Events (MRE) and recommends acceptance to the State EDR Project Director including readiness to proceed to the next phase (e.g., design, testing) based on the EDR requirements and applicable standards • Coordinates all IV&V MRD and MRE review activities with the Deliverable Coordinator especially all requests for SP information to minimize the impact of their activities on the SP • Performs selected quality assurance audits of project processes based on applicable State-accepted SP MRDs to identify the execution of process noncompliance with the State-accepted MRDs and to minimize quality issues • Develops and provides all IV&V checklists used to review the SP's MRDs and MREs for acceptance and all processes for assurance to the State EDR Project Director for final review and approval • Consistent with the timing of each IV&V MRE review and acceptance recommendation, performs a System Development Health Check Assessment and provides a report on the status and direction of the overall development effort of the EDR solution including high priority problems, issues, risks and trends with summary recommendations based on the EDR-required industry standards and best practices • Uses the State Deliverable Item Description (DID) template to develop all reports of findings
Technical Integration	• Coordinates all IV&V quality assurance activities with the State Technical Integration Manager • Works with the State Technical Integration Manager as the single point of contact for all IV&V activities and informs the State Technical Integration Manager of any IV&V needs, issues or problems

MANAGEMENT PROCESS	INDEPENDENT VERIFICATION AND VALIDATION (IV&V)
Testing	• Performs quality control by participating (e.g., observing, evaluating) in all phases of SP EDR solution testing of the Compensation Deliverables and other deliverables placed into production, as necessary and appropriate (e.g., defect fixes), based on the EDR requirements including the State-accepted Master Test Plan (MRD040) and other applicable test plans, as well as stakeholder expectations to identify defects and issues • Coordinates all IV&V quality control activities with the State Testing Manager
Project Oversight	• Prepares a regularly scheduled informal status report of tentative findings to the State EDR Project Director, and provides a copy to the FTB Director of Planning and Support Bureau, and the TA Independent Project Oversight Consultant • Prepares a Monthly Task Plan and Activity Report for the State EDR Project Director. (Executes all activities within the existing EDR Project processes, but their deficiencies and findings are documented in a separate report.

MANAGEMENT PROCESS	PROJECT MANAGEMENT SUPPORT CONSULTANT (PMSC)
Project Management	• Analyzes applicable State project schedules including the EDR Master Project Schedule and applicable Legacy Systems Project Schedules based on industry standards and best practices to recommend improvements and make updates • Develops a Master Integrated Project Schedule that incorporates the SP and State EDR Project milestones to manage the planning, execution and evaluation of all EDR Project activities • Supports State project management (e.g., prepares project status report) of the EDR Project and provides knowledge transfer to State PMO • Reports to the State EDR PMO Manager and performs all PMSC activities per the PMSC contract at the direction of the State EDR PMO Manager to minimize the impact of their activities on the SP • Provides a monthly task plan to the State EDR PMO Manager for review and approval of their planned activities for the month

MANAGEMENT PROCESS	PROJECT MANAGEMENT SUPPORT CONSULTANT (PMSC)
Contract Management	• Participates in the review of State-selected SP Project Management MRDs per the PMSC contract to provide input based on the EDR requirements and applicable standards to the State EDR PMO Manager for recommendation to the State EDR Project Director on acceptance • Provides input to the State EDR PMO Manager on SP project management performance based on the EDR requirements and applicable standards for the quarterly SP Management Performance Review • Develops and provides all PMSC checklists used to review the SP's MRDs for acceptance to the State EDR PMO Manager for final review and approval

MANAGEMENT PROCESS	CALIFORNIA TECHNOLOGY AGENCY INDEPENDENT PROJECT OVERSIGHT CONSULTANT
Project Management	• Identifies and quantifies issues and risks affecting project management practices and ensures the appropriate remediation plans are established by the State EDR PMO Manager and State EDR Project Director • Coordinates all IPOR review activities with the State EDR PMO Manager especially all requests for SP information to minimize the impact of their activities on the SP
Project Oversight	• Performs project oversight review of project management practices based on the IT Project Oversight Framework (SIMM Section 45) • Completes and maintains the monthly Independent Project Oversight Report (IPOR) based on the State-level IT Project Oversight Framework • Executes all oversight activities with the State EDR PMO Manager and within existing EDR Project processes and project management Deliverable Coordinator activities, as appropriate

MANAGEMENT PROCESS	DIRECTOR, FTB PLANNING, PERFORMANCE AND PROJECT OVERSIGHT BUREAU
Project Oversight	• Participates in project change request management activities as a voting member of the EDR Change Control Board

MANAGEMENT PROCESS	DIRECTOR, FTB PLANNING, PERFORMANCE AND PROJECT OVERSIGHT BUREAU
	• Manages FTB IT project oversight consulting services provided to the EDR Project

MANAGEMENT PROCESS	PROJECT OVERSIGHT AND GUIDANCE (POG) ANALYST
Project Management	• Works with the State EDR PMO Manager and the FTB Chief Financial Officer (CFO) to develop all project cost and benefits estimates consistent with State-level policies and guidelines • Works with the State EDR PMO Manager and the FTB CFO to develop all project requests for augmentations including Special Project Reports, Budget Change Proposals, and Finance Letters consistent with State-level policies and guidelines • Works with the State EDR Project Director and State EDR PMO Manager to respond to external stakeholder requests and inquiries in support of project approvals • Works with the State EDR PMO Manager to review the monthly IPOR and project status reports to external stakeholders for accuracy and finalization • Works with the State EDR PMO Manager and POG Controller to conduct monthly cost monitoring and revenue reporting
Project Oversight	• Provides IT project oversight consulting services to the State EDR Project Director to ensure compliance with all State IT Project Oversight Reporting requirements • Serves as the single point of contact for all communications between the EDR Project and the California Technology Agency • Facilitates monthly status reports to external stakeholders

MANAGEMENT PROCESS	PROJECT OVERSIGHT AND GUIDANCE (POG) CONTROLLER
Project Oversight	• Monitors the project's financial progress by tracking and reporting expenditures to ensure the project stays within budget

MANAGEMENT PROCESS	PROJECT OVERSIGHT AND GUIDANCE (POG) CONTROLLER
	• Documents cost data included in the Economic Analysis Worksheets (EAWs) and coordinates preparation of the EAWs with POG analyst • Develops and responds to cost related issues/requests from external agencies (such as, State & Consumers Services Agency (SCSA), Department of Finance (DOF), the Legislative Analysis Office (LAO) and California Technology Agency. When required, requests from the State EDR PMO Manager, project team, or SME assistance in responding to detailed workload indicators and/or other detailed type questions • Reviews purchase requests and invoices to ensure consistency with project objectives and costs • Performs monthly tracking of actual costs (both personal services and OE&E) through implementation and one full annual cost of ongoing maintenance for inclusion in the monthly Project Status Reports (PSR) • Assists in setting up time reporting processes. Works with the appropriate Divisional budget analyst and State EDR PMO Manager to determine the process for reporting time on a monthly basis. This includes identifying which activities/tasks to include when tracking project time and what tools they will use to track these costs • Assists in setting up OE&E Tracking processes. Works with the State EDR PMO Manager, appropriate Divisional, Central, Departmental Budget staff, Fiscal Account Analyst, Procurement Analyst, and IT Asset Management staff to determine how the OE&E, training & travel expenses are to be validated and tracked • Reviews the PIER narrative for consistency with the FSR and preparing the cost data for the PIER Economic Summary

MANAGEMENT PROCESS	SP EDR PROJECT DIRECTOR
Project Governance	• Provides direction and oversight of all SP EDR Project activities, including scope, budget, funding and risk strategies • Provides final signoff for SP MRDs before submission to the State EDR Project Director • Secures resources necessary to meet CGI contractual commitments

MANAGEMENT PROCESS	SP EDR PROJECT DIRECTOR
	• Oversees a portion of the subcontractors and subcontractor performance • Coordinates with the State EDR Project Director and State and SP EDR PMO Managers to manage project costs, benefits, schedule, risks, issues and communications • Coordinates with the State EDR Project Director and State and SP PMO Managers to deliver all contractual project management obligations, participates in the Implementation readiness reviews, and coordinates the preparation and delivery of all project deliverables • Participates in project change request management activities as a voting member of the EDR Project Change Control Board • Participates in the EDR Project Steering Committee • Coordinates CGI corporate reviews and Client Satisfaction Assessment Program reviews

MANAGEMENT PROCESS	SP EDR PROJECT MANAGER
Project Governance	• Provides strategic direction to the planning, coordination, communication, and evaluation of legacy system development consistent with EDR requirements especially for transition to and integration with State maintenance and operations • Oversees a portion of the subcontractors and subcontractor performance • Coordinates with the SP EDR Project Director to deliver contractual project management obligations, participates in the implementation readiness reviews, and coordinates the preparation and delivery of all project deliverables • Participates in project change request management activities as a voting member of the EDR Project Change Control Board • Participates in the EDR Project Steering Committee
Project Management	• Provides strategic direction and oversight of the SP Senior Management Team (Discipline Managers) • Interfaces on a weekly basis with the State EDR Project Director and State EDR Business Director

MANAGEMENT PROCESS	SP EDR PROJECT MANAGER
	• Coordinates with the SP EDR Project Director to support the management of project costs, benefits, schedule, risks, issues and communications • Reports to the SP EDR Project Director • Manages the subcontractors • Approves SP hiring and staff replacements • Coordinates with the State EDR Project Director, and State and SP EDR Discipline Managers to plan, coordinate, communicate, and evaluate legacy system development consistent with EDR requirements, especially for transition to and integration with State maintenance and operations

MANAGEMENT PROCESS	SP PHASING DIRECTOR
Project Governance	• Manages and coordinates all phases of design and development of the EDR application • Works in close collaboration with SP EDR Project Director and SP EDR Project Manager as well as with the SP Discipline Managers • Provides executive management focus for each EDR design stage and release throughout their individual lifecycles • Provides oversight of the SP portions of the EDR Master Project Schedule • Provides oversight of all SP readiness assessments and MREs, and Go/No-Go decisions • Reports to the SP Project Director

MANAGEMENT PROCESS	SP QUALITY MANAGER
Project Management	• Reports directly to the SP EDR Project Manager and is responsible for overall leadership of the SP Quality Management Team • Provides project quality oversight ensuring programmatic and contractual requirements are

MANAGEMENT PROCESS	SP QUALITY MANAGER
	met • Verifies compliance with the EDR Project Management Plan and managerial plans, and quality of project documents and communication ensuring timely, accurate and effective management practices • Oversees the SDLC processes and the quality of the EDR Project MRDs • Monitors and measures EDR project metrics and process compliance • Provides independent testing of the EDR Project by design stage and sub-phase • Coordinates CGI quality reviews and health check reviews • Verifies compliance with CGI quality methods and standards • Coordinates SP responses to IV&V and IPOC requests
Testing	• Oversees and manages the SP Test Management Office which includes the SP Test Manager and a team of testers

MANAGEMENT PROCESS	SP BUSINESS/IMPLEMENTATION MANAGER
Project Management	• Maintains a Project Schedule for all SP business/implementation activities and provides regular updates and status reports to the SP EDR Project Manager • Reports to the SP EDR Project Manager • Manages the SP Business/Implementation discipline, including managing subcontractors

Business/ Implementation	• Manages the planning, execution and delivery of all SP EDR Project business/implementation activities
	• Manages the development of all SP business/implementation MRDs
	• Coordinates with the State Business Director, State Business Manager, State OCM Manager, and State Legacy Systems Manager in the following areas
	  • Business Process Re-engineering
	  • Organizational Change Management
	  • Conversion

MANAGEMENT PROCESS	SP BUSINESS/IMPLEMENTATION MANAGER
	• Transition Management • Training and Knowledge Transfer • Governance • Verifies readiness of deployment of each phase of the EDR solution
Testing	• Provides input into test scenario development to reflect the "to be" processes
Application Development	• Participates in the Functional Requirements Analysis sessions to gain understanding of the EDR solution requirements in preparation for the BPR, change management, conversion, training, and knowledge transfer activities

MANAGEMENT PROCESS	SP TESTING MANAGER
Project Management	• Maintains a Project Schedule for all SP testing activities and provides regular updates and status reports to the SP EDR Project Manager • Reports to the SP EDR Project Manager • Works with State and SP executive management to provide guidance and staffing such that MRDs and system releases are put into production on-time with a high-level of quality and consistency • Manages the SP Testing discipline, including subcontractors, to perform system test, performance test and system verification test
Business/ Implementation	• Coordinates with State Business Director, State Business Manager, State Testing Manager, and State Legacy Systems Manager to develop realistic testing scenarios
Testing	• Manages the planning, execution and delivery of all SP EDR Project testing activities • Manages the development of all SP testing MRDs • Develops test scripts to validate that the system performs as designed, and meets the specified EDR requirements • Supports the State Business Director, State Business Manager, State Testing Manager, and

MANAGEMENT PROCESS	SP TESTING MANAGER
	State Legacy Systems Manager to perform SQT • Verifies readiness of deployment of each phase of the EDR solution • Generates the exit reports from each of the test activities and is responsible for coordinating and facilitating the associated readiness reviews
Application Development	• Participates in the Functional Requirements Analysis sessions to gain understanding of the EDR solution requirements in preparation for the testing activities • Coordinates with SP Application Development Manager to analyze and verify defects and defect corrections
Technical Architecture	• Coordinates with SP Technical Architecture Manager and SP Configuration Manager to manage the configuration of the test environments to support testing and release efforts
Data Management	• Coordinates with the SP Data Manager to obtain and manage test data to support realistic test scenarios

MANAGEMENT PROCESS	SP DISCOVERY MANAGER
Project Management	• Maintains a Project Schedule for all SP discovery activities and provides regular updates and status reports to the SP EDR Project Manager • Reports to the SP EDR Project Manager • Manages the SP Discovery discipline
Business/ Implementation	• Coordinates with State Business Director, State Business Manager, and State Legacy Systems Manager to identify and assess the impact of proposed business changes
Discovery	• Lead the effort to identify new methods of doing business to streamline operations, and improvements to existing systems and business processes to increase benefits to the State • Analyze, quantify, and validate the proposed benefits for each change and the impacts to business operations

MANAGEMENT PROCESS	SP DISCOVERY MANAGER
Application Development	• Coordinate with the SP Application Development and State Legacy Systems teams to assess the effort required to implement proposed changes and enhancements, potential impacts, and risk mitigation strategies
Technical Architecture	• Coordinate with the State and SP Technical Architecture teams to assess the effort required to implement proposed changes and enhancements, potential impacts, and risk mitigation strategies

MANAGEMENT PROCESS	SP APPLICATION DEVELOPMENT MANAGER
Project Management	• Maintains a Project Schedule for all SP application development and COTS integration activities and provides regular updates and status reports to the SP EDR Project Manager • Reports to the SP EDR Project Manager • Manages the SP Application Development discipline, including managing subcontractors
Testing	• Coordinates with SP Testing Manager to analyze and verify defects and defect corrections
Application Development	• Manages the planning, execution and delivery of all SP EDR application development activities • Manages the development of all SP development MRDs and establishes the SP SDLC and processes • Coordinates with state technical managers and legacy systems managers to plan and implement system releases • Establishes application development goals and priorities • Interfaces with State and SP executive management to provide application development metrics and status • Participates in MREs and technical review activities
Technical	• Coordinates with State and SP technical managers to manage the configuration of the

MANAGEMENT PROCESS	SP APPLICATION DEVELOPMENT MANAGER
Architecture	development environments

MANAGEMENT PROCESS	SP TECHNICAL ARCHITECTURE MANAGER
Project Management	• Maintains a Project Schedule for all SP technical architecture activities and provides regular updates and status reports to the SP EDR Project Manager • Reports to the SP EDR Project Manager • Manages the SP Technical Architecture discipline, including managing subcontractors
Testing	• Coordinates with the State and SP Testing Managers to manage the configuration of the testing environments
Application Development	• Participates in the Technical Requirements Analysis sessions to gain understanding of the EDR solution requirements to validate architecture assumptions and needs • Coordinates with SP Application Development Manager and State technical managers to manage the configuration of the development environments
Technical Architecture	• Manages the planning, execution and delivery of all SP EDR Project technical architecture activities • Manages the development of all SP technical architecture MRDs • Manages the development and propagation of the technology, architecture and data services throughout the EDR Solution • Interfaces with State and SP EDR Project executive management in regard to governance, planning and status of technical architecture and data development and improvement initiatives • Interfaces with executive management to provide technical architecture development metrics and status. • Participates in MREs and technical review activities • Establishes the EDR Project infrastructure to support the EDR Project technical and project

MANAGEMENT PROCESS	SP TECHNICAL ARCHITECTURE MANAGER
	management tool sets

MANAGEMENT PROCESS	SP DATA MANAGER
Project Management	• Maintains a Project Schedule for all SP data management activities and provides regular updates and status reports to the SP EDR Project Manager • Reports to the SP EDR Project Manager • Manages the SP data management discipline, including managing subcontractors
Testing	• Coordinates with the State and SP Testing Managers to obtain and manage test data to support realistic test scenarios
Data Management	• Manages the planning, execution and delivery of all SP EDR Project data management activities • Manages the development of all SP data management MRDs • Manages the Data Team Leads for the Data Analysis, Data Integration 3rd Party Interfaces, Master Data, and Application Development Data Support Teams • Coordinates with other group leads to facilitate consistency across project deliverables and application components • Identifies and analyzes the EDR data requirements, and implements the required structures and services for optimized access to that data, including BI, modeling and MDM data services

MANAGEMENT PROCESS	SP PRODUCTION OPERATIONS MANAGER
Project Management	• Maintains a Project Schedule for all SP production operations activities and provides regular updates and status reports to the SP EDR Project Manager • Reports to the SP EDR Project Manager

MANAGEMENT PROCESS	SP PRODUCTION OPERATIONS MANAGER
	• Manages the SP Production Operations discipline, including managing subcontractors

MANAGEMENT PROCESS	SP PROJECT MANAGEMENT OFFICE (PMO) MANAGER

Project Management	• Maintains a Project Schedule for all SP PMO activities and provides regular updates and status reports to the SP EDR Project Manager
	• Reports to the SP EDR Project Manager
	• Manages the SP PMO discipline and coordinates with the State EDR PMO Manager to minimize duplication of project management activities
	• Manages the development of all SP project management MRDs
	• Coordinates with the State EDR PMO Manager and State Business Manager in the following areas
	  • Schedule
	  • Risks
	  • Issues
	  • Change Requests
	  • Deliverables
	  • Benefits Tracking
	  • Administration
	  • Process Management
	• Responsible for the implementation of project management processes and adherence to those policies, processes and practices throughout the project
	• Facilitates SP participation in the quarterly State-conducted Management Performance Reviews concerning Project Management, Technical Management and Benefits Management performance consistent with EDR requirements and rules
	• Coordinates project orientations and project celebrations

MANAGEMENT PROCESS	SP PROJECT MANAGEMENT OFFICE (PMO) MANAGER
	• Coordinates internal corporate reviews and audits • Coordinates with State EDR PMO Manager and SP Quality Manager to provide project status reporting, metrics collection and reporting, and management of key project records • Facilitates SP participation in State-requested meetings, as necessary, to communicate information, resolve project issues, and support project goals and objectives as described in the EDR Project Management Plan • Monitor completion of EDR Contract requirements, terms, MRDS and MREs • Coordinate with State EDR PMO Manager and State Contract Manager to create work authorizations and contract amendments to the SP's contract to reflect approved change requests
Production Operations	• Coordinates with State Technical Operations Manager to ensure knowledge management and knowledge transfer activities are performed

APPENDIX C – MAPPING TO IEEE 16326

The following table shows the mapping of the sections of the EDR Project Management Plan to the elements required by IEEE 16326-2009. Note that a few of the items have been consciously omitted to remain compliant with FTB writing styles and guidelines.

IEEE 16326-2009	EDR Project Management Plan
Title Page	• Cover Page
Signature Page	• N/A – Addressed by Deliverable Notice (refer to the Deliverable Management Plan)
Change History	• Page ii
Preface	• N/A
Table of Contents	• Page iii
List of Figures	• N/A – Not required per FTB writing styles and guidelines
List of Tables	• N/A – Not required per FTB writing styles and guidelines
1. Project Overview	• 1.1 Background of the Project
1.1 Project Summary	• 1.1.3 Solution Overview
1.1.1 Purpose, Scope and Objectives	• 1.2 Purpose of the Document • 1.3 Scope of the Document • 2. Project Scope • 1.1.3 Solution Overview
1.1.2 Assumptions and Constraints	• 2.4 Assumptions • 2.5 Constraints
1.1.3 Project Deliverables	• 2.1.2 Deliverable List
1.1.4 Schedule and Budget Summary	• 1.1.4 Budget and Schedule Summary
1.2 Evolution of the Plan	• 1.4.2 Maintenance of the Document
2. References	• 1.5 Referenced Documents
3. Definitions	• Appendix A: Glossary and Acronyms
4. Project Context	• 2. Project Scope
4.1 Process Model	• 5. Approach to Project Management
4.2 Process Improvement Plan	• 6.5 Quality Management Plan • MRD071 Quality Management Plan
4.3 Infrastructure Plan	• N/A – Addressed by separate MRDs: • MRD017 Hardware and Software Installation Plan • MRD024 Technical Infrastructure Plan

IEEE 16326-2009	EDR Project Management Plan
4.4 Methods, Tools and Techniques	• 5. Approach to Project Management • 8. Project Management Tools
4.5 Product Acceptance Plan	• 6.11 Contractual Obligations Management Plan
4.6 Project Organization	• 4. Project Organization
4.6.1 External Interfaces	• 4.1.5 Project Stakeholders
4.6.2 Internal Interfaces	• 4.1.5 Project Stakeholders
4.6.3 Authorities and Responsibilities	• 4.2 Executive Management Governance
5. Project Planning	• 5.2.1 Planning Stage
5.1 Project Initiation	• 5.2.1 Planning Stage
5.1.1 Estimation Plan	• 6.3 Time and Schedule Management Plan • MRD001B Time and Schedule Management Plan
5.1.2 Staffing Plan	• 6.6 Human Resources Management Plan • MRD001C Human Resources Management Plan
5.1.3 Resource Acquisition Plan	• 6.6 Human Resources Management Plan • MRD001C Human Resources Management Plan
5.1.4 Project Staff Training Plan	• 6.6 Human Resources Management Plan • MRD001C Human Resources Management Plan
5.2 Project Work Plans	• 3. Project Schedule and Work Plan
5.2.1 Work Activities	• 3. Project Schedule and Work Plan
5.2.2 Schedule Allocation	• 3. Project Schedule and Work Plan
5.2.3 Resource Allocation	• 3. Project Schedule and Work Plan
5.2.4 Budget Allocation	• N/A – Benefits-based project, so budget is not allocated to work packages
5.2.5 Procurement Plan	• 6.4 Financial and Contract Management Plan
6. Project Assessment and Control	• 6. Project Management Supporting Plans • 7. Technical Management Plans
6.1 Requirements Management Plan	• 7. System Engineering Management Plan • MRD018 Requirements Management Plan
6.2 Scope Change Control Plan	• 6.2 Change Request Management Plan
6.3 Schedule Control Plan	• 6.2 Change Request Management Plan • 6.3 Time and Schedule Management Plan • MRD001B Time and Schedule Management Plan
6.4 Budget Control Plan	• 6.4 Financial and Contract Management Plan
6.5 Quality Assurance Plan	• 6.5 Quality Management Plan • MRD016 Technical Quality Plan • MRD071 Quality Management Plan

IEEE 16326-2009	EDR Project Management Plan
6.6 Subcontractor Management Plan	• 6.6 Human Resources Management Plan • MRD001C Human Resources Management Plan
6.7 Project Closeout Plan	• 5.2.5 Closing Stage
7. Product Delivery	• 7. Technical Management Plans
8. Supporting Process Plans	• 6. Project Management Supporting Plans • 7. Technical Management Plans
8.1 Project Supervision and Work Environment	• 6.6 Human Resources Management Plan • MRD001C Human Resources Management Plan
8.2 Decision Management	• 4.4.4 Decision-making
8.3 Risk Management	• 6.10 Risk Management Plan • MRD070 Risk Management Plan
8.4 Configuration Management	• 7.2 System Engineering Management Plan • MRD010 Asset and Configuration Management Plan
8.5 Information Management	• 6.7 Communication Management Plan • 6.9 Document Management Plan
8.5.1 Documentation	• 6.9 Document Management Plan
8.5.2 Communication and Publicity	• 6.7 Communication Management Plan
8.6 Quality Assurance	• 6.5 Quality Management Plan • MRD016 Technical Quality Plan • MRD071 Quality Management Plan
8.7 Measurement	• 6.5 Quality Management Plan • MRD016 Technical Quality Plan • MRD071 Quality Management Plan
8.8 Reviews and Audits	• 6.5 Quality Management Plan • MRD016 Technical Quality Plan • MRD071 Quality Management Plan
8.9 Verification and Validation	• 6.5 Quality Management Plan • MRD016 Technical Quality Plan • MRD071 Quality Management Plan
9. Additional Plans	• 6. Project Management Supporting Plans • 7. Technical Management Plans
Annexes	• Appendix C: Mapping to IEEE 16326
Index	• N/A – Not required per FTB writing styles and guidelines