Project Planning and Project Implementation Processes

The ITPR has two separate and distinct steps:

1. Project Planning Request (PPR)

2. Project Implementation Request (PIR).

This two-step process is required per a change in the statute governing Major IT Development Projects (MITDPs), adopted during the 2011 legislative session; specifically, Maryland Code, State Finance and Procurement Article 3A-308.

The first step is to request approval to pursue a project – the (PPR) will be used to request authority to begin preliminary planning and requirements development. The second step (PIR) will be used to request approval to continue forward to design and implementation of the project, based on the information developed during the PPR process.

The two-step process will reduce overall project risks by:

*   Mandating that sufficient time and resources be expended on the completion of project planning and requirements development

*   Elaborating on essential planning information for development of reliable cost and scheduling estimates

*   Ensuring that the project team is using appropriate project control tools based on best practices, e.g. change management, risk management, communications management, etc.

*   Allowing the Department of Budget and Management (DBM) to forecast and better allocate for current and out year project appropriations

*   Building stage gates for the go/no-go decisions between the PPR and the PIR, thus saving the State unnecessary sunk cost

The PPR and the PIR will follow the same basic processes as the old ITPR, in that each will be submitted during the standard annual budget process. While the agency is in SDLC Phases 1-4, it will submit a PPR annually. Once an agency has completed all of the requirements through Phase 4, it will submit a PIR requesting approval to proceed to Phase 5. Once an agency is given approval to proceed with SDLC 5-9, it will submit a PIR annually, until the project has completed one full fiscal year in Phase 9 – Operations and Maintenance.

The PPR and PIR processes apply to all potential MITDPs, regardless of their current approval status or known or anticipated funding source(s).

DoIT oversight will be performed throughout all phases of each MITDP.

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PPR PROCESS

The scope of the PPR is limited to the first four phases of the SDLC:

1. Initiation
2. System Concept Development
3. Planning
4. Requirements Analysis

An agency requesting authorization to spend funds to pursue a new project will begin by submitting a PPR. The PPR must be approved via the annual budget process before the agency may begin expending funds to initiate these first four SDLC phases for the intended project, regardless of funding source. Costs in the PPR will include only those necessary to complete SDLC Phases 1-4, **not the cost of the entire project**. * Agencies must budget oversight as 5% of the total estimated annual project cost, with a minimum of $50K per year. The oversight budget must be included in the PPR.

The initial PPR must include the information necessary for DoIT, DBM and the Department of Legislative Services (DLS) to make a determination about whether or not the initial planning effort should be undertaken. In addition to completing (for SDLC Phases 1-4 only) Sections 1A General Information, 1B Project Information, 1C Schedule, and 1D Financial Data of the PPR, the agency will submit for review the following SDLC artifacts: **

1. Project Charter
2. Concept Proposal

The Project Charter identifies the stakeholders and represents the agency's internal formal authorization to proceed with the initiative. The Concept Proposal outlines the need or opportunity to improve existing agency business functions and identifies unmet strategic goals or mission performance improvements. These artifacts, submitted with the PPR, will support the decision whether or not to move forward with the completion of SDLC Phases 1-4.

An updated PPR documenting the current status of project planning must be submitted during each annual budget cycle until the SDLC Phase 4 - Requirements Analysis Phase is complete. (See SDLC Phase 4 Completion Validation)

NOTE: Agencies intending to complete SDLC Phases 1-4 by using internal, non-contracted resources are not required to submit a PPR annually. However, these agencies will be required to submit their SDLC 1-4 artifacts to DoIT for review and approval, with a PIR, prior to proceeding to SDLC Phase 5 - Design.

* It is NOT necessary that a project cost more than $1M to qualify as an MITDP (see statute reference above). The $1M financial threshold includes the total estimated cost for SDLC Phases 1-9, with one full fiscal year of O&M following the year in which implementation is complete, plus all over sight costs.

** Agencies must often hire consultants or other outside resources to help develop the earliest of SDLC artifacts. Agencies must have a fully vetted and approved PPR prior to expending funds for this purpose.

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SDLC Phase 4 Completion Validation

Once Phase 4 - Requirements Analysis is complete; the agency will notify their DoIT Oversight Project Manager (OPM). DoIT will confirm that all SDLC Phase 1-4 requirements have been adequately completed by validating the following:

1. The project artifacts from each of the first four SDLC phases have been created;

2. Those artifacts are effectively documented and adhere to the SDLC, which is based on the Project Management Institute's (PMI) Project Management Body of Knowledge (PMBOK) principles.

3. An appropriate cost development methodology has been used and correctly applied to develop and support a sound project cost estimate.

4. The team has developed a project task schedule through implementation that shows tasks with durations of no greater than 80 hours and includes resource names for each task.

Once these conditions have been met, DoIT will provide the agency a *PIR Submission Authorization* document signifying that the agency may proceed with the PIR process.

PIR PROCESS

Prior to submitting a PIR, the agency must have completed all of the first four phases of the SDLC. (See the **SDLC Phase 4 Completion Validation** process above.)

The scope of the PIR focuses on the last six phases of the SDLC:

5. Design

6. Development

7. Integration and Testing

8. Implementation

9. Operations and Maintenance

10. Disposition (optional)

An agency requesting approval to proceed from the SDLC Phase 4 – Requirements Analysis to Phase 5 - Design is required to submit a PIR for review and approval before proceeding, regardless of project funding source. Also, agencies already in SDLC Phases 5-9 must submit a PIR annually, regardless of funding source.

Although the PIR focuses on Phases 5-9, it must include all costs and schedules from the PPR, including annual oversight cost in the amount of 5% of total estimated annual project value, with a minimum of $50K per year.

An updated PIR documenting the current status of the project must be submitted during each annual budget cycle until the project has completed the first full fiscal year of Operations and Maintenance.

The PIR must include the information necessary for DoIT, DBM and the DLS to make a determination about whether or not the full project design and implementation should be undertaken. This information will have been developed through the completion of the planning processes in SDLC

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Phases 1-4. Further, the subsequent PIR submissions will provide DoIT, DBM and DLS with information necessary to make a determination about whether or not a project already in SDLC Phases 5-9 should continue.

See the FY14 ITPR Guidelines & Instructions document for assistance in completing the PPR and PIR form.