



Centralized Revenue Opportunity System (CROS)

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Project Management Plan

Procurement Phase



May 2, 2014

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Date Submitted for Review: \_\_\_\_\_

**Formal Review**

My signature below indicates I have reviewed this document:

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## Summary of Changes

The project will manage document versions using SharePoint. Minor revisions will only affect the number right of decimal point. Major revisions are baselines and will be tracked by using 1.0 or 2.0 etc. and will affect the number left of the decimal point and reset the number right of the decimal point to zero. The log below provides a summary of the major changes made to the Project Management Plan and when the changes were made.

Revision Date	Revision Author	Summary of Major Changes Made
04/22/2011	Jennifer Chan	Initial document draft
04/28/2011	Jennifer Chan	Draft of Appendices
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1/19/12	Kim Brain	Revisions
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4/15/13	Kim Brain	Revisions from Resource Planning effort
3/25/14	Kim Brain	Revisions due to clarification of roles on Procurement team
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Draft

# 1 Purpose

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The purpose of the Project Management Plan (PMP) document is to provide the project stakeholders with an approved working guide for how the Centralize Revenue Opportunity System (CROS) Project will be managed, executed, monitored and controlled. The PMP describes how the Project will be organized, staffed and identifies the Project Stakeholders. The PMP provides a summarization of project specific details regarding the project management methodology to be used for each project management phase. The information captured in the PMP will serve as a method to communicate the project deliverables that will be created for this project and should be sufficient to manage this project successfully. The PMP should also support compliance with the Statewide Information Management Manual Section 45 (SIMM 45). The supporting documents, forms, instructions and procedures make up the "Project Management Plan" for each Project Management Area.

## 2 Project Overview

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### 2.1 Background

The Board of Equalization (BOE) is one of California's oldest administrative agencies. Established by a constitutional amendment in 1879, BOE's original responsibility was to ensure that county property tax assessment practices were equal and uniform throughout the state. Today, BOE administers 29 different tax/fee programs which provide nearly 35% of the annual revenue for the state government and \$8.5 billion in essential funding for counties, cities, and special districts. In 2008-09, BOE-administered taxes and fees produced \$48.4 billion to provide essential services for the people of California.

The BOE administers the state's sales and use, fuel, alcohol, tobacco, and other taxes and collects fees that fund specific state programs. More than one million businesses are registered with the agency. In addition to administering key revenue programs, the BOE plays a significant role in California property tax assessment and administration. It also acts as the appellate body for corporate franchise and personal income tax appeals.

### 2.2 Business Problem or Opportunity

In 2009, the BOE completed an evaluation of its current automation systems in response to a number of events such as recent statutory changes, legislatively mandated new tax/fee programs, a reduction in funding to implement program efficiency projects, and an increase in data center costs. The evaluation centered on the Integrated Revenue Information System (IRIS) and the Automated Compliance Management System (ACMS) which were developed in the 1990s and architected with 1980's technology. The hardware and software which supports these systems were determined to be more costly to maintain than new technologies. Over the last ten years, the systems have required continuous modifications and there has been a significant and steady increase to the costs, staffing resources and time required to make the changes, enhancements, or to maintain the systems.

The legacy systems are technologically unmanageable and cumbersome, significantly hindering the agency's ability to efficiently and effectively implement, administer and evaluate its tax and fee programs. The systems have become antiquated and are at the end of their useful lives; do not have the capability to easily adapt to new or expanding requirements; and cannot adapt or

take advantage of emerging technologies. For example, one of the two current automation systems, IRIS, does not allow for simultaneous system changes required to implement new tax and fee programs or to incorporate enhancements to existing programs or protocol which ultimately results in substantial revenue delay or loss for the state. Furthermore, the programming language required for the systems is outdated and it is becoming increasingly difficult to find staff or contractors to maintain the systems.

The inabilities of the current automation systems to allow BOE to effectively administer its tax and fee programs do not position the BOE for the future. As a revenue generating agency, the BOE is in a unique position to take advantage of a performance-based, benefits-funded procurement approach. Designed to help agencies reap the benefits of private sector innovation, performance-based contracting allows an agency to state what problem needs to be solved and allows the contractors to bid their proposed solutions. Performance-based contracting ensures that the state only pays for projects that are implemented successfully and show a proven return on investment. Use of the performance-based contracting model has a history of success – results have demonstrated that benefits have not only reached projected targets but that they have been able to the fund the project and increase revenue to the state after project completion. Several states, including California, have successfully used the performance-based procurement approach for IT projects.

## **2.3 Project Purpose**

The CROS Project will replace the IRIS and ACMS systems and develop an enterprise data warehouse. The proposed system will provide an integrated and automated solution that will use up-to-date tax collection, storage, account management, and data retrieval technologies to maximize the effectiveness of BOE's operations and staff. The proposed system will also provide efficiencies to businesses reducing the time and effort needed to interact with the BOE.

## **2.4 Project Objectives**

BOE's long range goal is to create an expanded and responsive tax infrastructure by moving to a functional organizational structure and creating a customer-centric automation system. CROS will decrease the tax gap through increasing voluntary compliance, improving customer online services, and improving audit, collection, and return processing activities.

The project objectives as identified in the Feasibility Study Report (FSR) are as follows:

- Develop and deploy an integrated an automated tax/fee system that increases revenue by \$40 million to \$190 million when the system is fully implemented.
- Improve service to customers by expanding online services beyond return filing, payments, registration, and request for extensions and relief of penalties. Develop customer centric records which will result in reducing the number of customer contacts to staff by no later than June 30, 2016.
- Reengineer and improve program processes by 25% by reducing paper, streamlining manual program processes, automating program processes, and developing an effective case management system by no later than June 30, 2016.
- Provide the ability to work securely anytime and from anywhere utilizing the latest mobile devices and allowing real-time information access to field staff and to pass a third party IT security audit by no later than June 30, 2016.

- Obtain an intuitive and easy to use system, as measured by reducing system training time from on average six months to three months, the ability to personalize user interfaces and screens and utilize the most current technology by no later than June 30, 2016.
- Improve access to data and data sharing to support real-time transaction updates, reduce the number of requests for system fixes by 90% (currently there are over 2,000 help desk tickets), support program generated reports, improve data matching capabilities and improve access to third party data by no later than June 30, 2016.
- Obtain flexible and sustainable technology to reduce the time needed to implement legislative changes, allow program to easily change system rules, accept concurrent system changes, reduce standalone support systems and use component architecture of re-useable shared components by no later than June 30, 2016.

The dates as provided in the Feasibility Study Report are subject to change. Please review the CROS Project Schedule for the most current information.

## 2.5 Scope

### 2.5.1 In Scope

CROS is an organizational transformation project that will leverage technology to change the way BOE does business in the future. The project scope will encompass BOE's Sales and Use Tax programs, Special Taxes and Fee programs, and the Timber Tax program. CROS will:

- Replace BOE's IRIS and ACMS legacy systems
- Add data warehousing, analysis, and enterprise reporting capabilities
- Provide expanded electronic services
- Reengineer BOE's program processes in the registration, return processing, cashiering, audits, collections, and appeals areas to improve efficiencies and services to customers
- Provide core processing needs of the tax/fee program functions
- Establish better capabilities to managing cases
- Provide better capabilities to manage customer relationships and contacts

The major business functions that will be supported by CROS are:

- Registration
- Return processing
- Cashiering
- Audits
- Collections
- Appeals
- Data Analysis
- Customer Service
- Refunds

The following systems are within the scope of the project and will be replaced or used in the CROS solution.

- eFile system
- eRegistration system (in development)
- Digital Audits (in development)
- Clementine software – identify potential audits and collection modeling
- START 21 – Audit program
- Current Call Center solution
- Elixir (document composition software for forms and publications)
- Xerox DocuSP (batch printers)

### **2.5.2 Out of Scope**

- Property Tax
- Board Roll
- Legal Entity Ownership Program (LEOP)
- Private Railroad Car system
- Voter Registration system
- Homeowners Exemption system

## **2.6 Project Assumptions, Constraints, and Critical Success Factors**

### **2.6.1 Assumptions**

Assumptions are factors that are considered to be true, real, or certain. The following assumptions have been made for this project.

- The department will utilize a solution-based, revenue funded procurement model. There will be sufficient interest from qualified vendors for CROS Project bidding.
- The State's existing tax/fee structures will most likely be modified during the life of the project.
- Customers will continue to be able to file electronically or by paper return.
- The project will adhere to a formal project management methodology and project schedule. Proactive risk, issue, and change management strategies will be employed.
- OTech will host the production environment for the CROS solution.

### **2.6.2 Constraints**

Constraints are restrictions that affect the performance of the project, and limit project scope, schedule, cost, or quality. The following known constraints are also considered risks:

- Project costs will be funded with increased revenues that result from the CROS solution. The CROS solution must meet statutory and regulatory requirements and must be flexible enough to introduce new tax law legislation with ease.
- DOF approval of compensation model
- Board Member and SPR approval and legislative notification before contract award
- SIMM 45
- State hosting – OTech hosting standards and platforms.
- Implementation must be scheduled around peak filing periods.
- The project must be completed by June 30, 2020.

### 2.6.3 Critical Success Factors

- Management will maintain the project as high priority throughout the System Development Life Cycle (SDLC).
- Higher priority projects will not impact the schedule or resource requirements.
- Project implementation and deployment activities will be managed to minimize impact to program activities.
- BOE project management will provide staff, with the required skills, and program resources as they are needed.
- BOE management will make decisions quickly and consistent with the project schedule.
- A rigorous change management program is developed and in place to manage resistance to change and to encourage BOE staff and other stakeholders to participate and 'adopt' the new system and processes.
- The solution vendor must provide the initial funding for hardware, software, and services prior to being paid through increased revenues that result from the CROS solution.
- Agencies will negotiate timely interagency exchange agreements as required to successfully develop, implement, and test system interfaces and data exchange processes.

## 3 Project Planning

The CROS Project will be developed in two major phases.

### **Phase I – Planning and Procurement**

This phase involves project planning and procurement of a prime contractor to meet the scope of the project. This phase consists of the following major activities:

- Development and approval of the FSR
- Development of a Request for Proposal (RFP)
- Procurement of a vendor contract
- Preparation for data conversion

- Development and approval of a Special Project Report (SPR)
- Legislative notification of estimated future revenues and potential contract amount
- Award of the vendor contract

### **Phase II – System Development and Implementation**

This phase involves the development and implementation of the proposed solution that will use current tax collection, storage, account management, and data retrieval technologies to maximize the effectiveness of BOE's operations and staff. This phase will consist of the following major activities:

- Replacement of IRIS and ACMS
- Implementation of an enterprise data warehouse
- Conversion of BOE's data to the replacement system
- Implementation of online customer services
- Network upgrade and/or modification

### **3.1 Schedule Management**

The Schedule Management Procedures addresses the standard BOE methodology for schedule development. The Schedule Management Procedures provide instructions on schedule development, schedule baselining, schedule updating, and schedule reporting. It is important that the schedule depict planned activities for the project and, as the project progresses, what actually occurred. The schedule displays project deliverables and milestones and planned start/finish dates for project activities that achieve the deliverables and milestones. Any proposed changes to the baseline project schedule will follow the formal change control process. The change control process for the project schedule is described later in this document.

#### **3.1.1 Schedule Approach and Constraints**

The project will use a bottom-up approach to develop the project work breakdown structure that will be used as the foundation for the development of the overall project schedule. Schedule development session(s) will be conducted as necessary and will include the appropriate team members and resources. During the session(s), assumptions and constraints associated with the project schedule will be documented. Schedule assumptions can include resource availability, skill sets needed, contractor availability, turnaround times for reviews, approvals, procurements, etc. Constraints limit schedule flexibility and should be avoided whenever possible. Schedule constraints can include mandatory completion dates for schedule milestones, resource limitations, mandatory dependencies, etc.

Tasks identified in the project schedule will be grouped and each of the Project Team members will be assigned specific areas to identify the activities and tasks in their respective areas. The bottom-up approach will be taken to establish the durations depending on the activity, task, or dependency.

Microsoft Project 2003 will be used as the scheduling tool to track the project's lifecycle phases. The Business and Technology Project Managers or designee will maintain the overall project schedule.

### 3.1.2 Schedule Baseline

The schedule baseline represents the approved project schedule and reference point for comparing schedule performance as the project progresses. The baseline provides a target against which the CROS Project Management Team can track schedule performance and take corrective action to ensure the project remains on track.

#### 3.1.2.1 Schedule Re-Base lining

The schedule should only be re-set or re-baselined if there is a major change to scope, cost, and/or time. Prior to re-base lining, the appropriate schedule activities, deliverables, and milestones are re-planned and the re-base lining of the schedule must be approved by the Project Sponsors.

### 3.1.3 Schedule Updates

Updating the schedule or recording progress is the process of gathering actual start and finish dates. Schedule updates will be recorded and tracked for progress bi-weekly.

## 3.2 Project Milestones and Deliverables

The high-level project schedule in the table below incorporates the major milestones, key deliverables and planned delivery dates.

The detailed CROS Project Schedule is located in the Project Management site on Sharepoint.

Project Milestones	Deliverables	Estimated Completion Date
<b>ITPP Approved</b>	IT Procurement Plan	12/16/11
<b>Release Draft RFP</b>	Final RFP Sections I, II, III, IV, V, VI, VII VIII, and IX - Appendix A, B, C, D Bidders Library	7/20/12
<b>RFP Released</b>	Evaluation Procedures, Evaluation Plan	7/1/13
<b>Bidder Selected</b>	Evaluation Report	12/16/14
<b>SPR Approved</b>	Special Project Report	2/27/15
<b>Contract Awarded</b>	Signed Contract with Vendor	3/5/14

### 3.3 Cost Management

The Cost Management Procedures addresses the standard BOE methodology for cost planning.

### 3.3.1 Cost Management

BOE will utilize an approach that assigns expenditures to an appropriate EAW cost category to effectively manage project costs and simplify reporting requirements. The project will track cost by accounting for all expenditures monthly and they will be reported through the SPR and CTA monthly status report. An excel spreadsheet will record the monthly and Fiscal Year-to-date totals.

#### 3.3.1.1 Cost Management Process

The BOE budget section will send the CROS project team a monthly expenditure report at the end of each month. The expenditure report received by the 15<sup>th</sup> of each month details the prior month's expenditures. For example, the report received by December 15<sup>th</sup> will contain the actual costs incurred during the month of November. These costs will be used to prepare the CTA Monthly Project Status report for December.

The CROS project team will

1. Reconcile all invoices, receipts or other costs recorded in its files against the monthly expenditure report received from budget section. All discrepancies will be resolved at this step.
2. Log the actual costs by current month and update Fiscal Year-to-date totals in an excel spreadsheet.
3. The reconciled costs will be mapped to the EAW costs.
4. Complete CROS project status report by entering costs according to the EAW categories

The following chart maps the budget categories defined in the EAWs to the BOE Monthly Expenditure Report which CROS will use to track actual project costs.

EAW (budgeted/planned costs)	BOE Monthly Expenditure Report (actual costs)
<b>One-Time IT Project Costs</b>	
<b>Staff (Salaries &amp; Benefits)</b>	Permanent staffing (CORE team); temp help; SMEs; overtime; salary benefits
<b>Hardware Purchase</b>	Hardware
<b>Software Purchase License</b>	Software/License
<b>Telecommunications</b>	Telecommunication
<b>Contracts</b>	
<b>Software Customization</b>	Software contracts
<b>Project Management (assumes \$17,000/mo)</b>	Project Management contracts
<b>Project Oversight</b>	Project Oversight Contracts
<b>IV&amp;V Services</b>	IV&V contracts
<b>Other Contract Services</b>	Consulting and professional services - external Total of Consultant & professional services ext minus Project Management
<b>Data Center Services</b>	IT costs
<b>Agency Facilities</b>	Agency Costs
<b>Other</b>	CORE team operating expenses: (equipment & supply order; printing; general expenses; in & out of state travel; training; communications devices (cell phones/blackberries); postage; insurance
<b>Continuing IT Project Costs</b>	
<b>Staff (Salaries &amp; Benefits)</b>	Staff
<b>Hardware Lease/Maintenance</b>	Hardware Lease/Maintenance
<b>Software Maintenance/Licenses</b>	Software Maintenance/Licenses
<b>Telecommunications</b>	Telecommunications
<b>Contract Services</b>	Contract Services
<b>Data Center Services</b>	Data Center Services
<b>Agency Facilities</b>	Agency Facilities
<b>Other</b>	Other

### **3.4 Contract Management**

The Contract Management describes the process for managing consultants and suppliers who provide essential goods and services to the project (hardware, software, unique knowledge or expertise, or support services). Due to the size and complexity of the CROS Project, it is anticipated that multiple contractors in addition to the selected prime contractor will be utilized during the life of the project. The Contract Management Plan addresses the standard BOE methodology for planning, procuring, managing and closing contracts. The CROS project has developed a Contract Management (for Consultants and non-Prime Contracts) for all services contracts that are not the System Integration contract that will be procured during the procurement phase. Some of these consultants may continue to provide services during the implementation of the CROS solution.

A Contract Performance Assessment Plan (CPAP) will be developed to define the processes, roles, procedures the project will follow to manage the System Integrator contract. This plan will be customized to align with the contract management terms/conditions/processes defined in Sections V, VI, VII, Appendix A, B, C, C-1 of the CROS RFP. The project plans to finalize this plan after the bidder has been selected as some of the terms may change as a result of the solicitation process.

Please refer to the CROS Contract Management Plan for Consultants and non-Prime Contracts on the PMO SharePoint site.

### **3.5 Human Resources Management**

The Human Resources Management Procedures addresses the standard BOE methodology for Human Resource Planning.

#### **3.5.1 Human Resource Estimating**

At the beginning of each phase, the CROS project management team will define the deliverables, tasks, and schedule for the work to be done. Once the project tasks and schedule have been defined, the CROS project management team will identify the skill sets needed to complete the work. Estimates defining how many will be based upon the effort identified.

The Project Director will work with the business and technical sponsors to define the approach for filling resource needs. In order to facilitate this effort, the CROS project management team will develop a resource matrix outlining the resource needs, description of the role, mapped to the timeframe when needed.

#### **3.5.2 Managing Resources**

The Business and Technical Project Managers will manage CROS team resources. They will ensure the resources know what their job/tasks are by defining their work. They will coach/mentor the resources through the process. When gaps in skill sets have been identified,

the Business and Technical Project Managers will define training that will enhance their skills and knowledge.

If any team member is not deemed fit for project work, they will be given a notification and the CROS Director will work with the Project Sponsors to replace the resource.

### **3.5.3 Project Team Roster**

The Project Team Roster is provided in Appendix A and contains the names of the project team members, their project role, their specific areas of responsibilities and detailed contact information. Staffing during each of the project phases will be planned for individually according to the technical, business, and legislative constraints in effect at the time. This approach will help to ensure that the technical and business requirements that may be unique to each phase will be staffed at the appropriate level with personnel that have the skills required to achieve the scheduled milestones. The Project Team Roster will be updated regularly by the Business and Technology Project Managers.

### **3.5.4 Project Organization**

The CROS management team will be structured with Project Director, Business Project Manager, Technical Project Manager and Project Management Support.

The Project Organizational Chart is provided in Appendix B and illustrates how the CROS Project team will be structured. The Project Organizational Chart will be updated regularly by the Business and Technology Project Managers.

### **3.5.5 Roles and Responsibilities**

Appendix C contains a high-level description of the roles and responsibilities for the CROS Project stakeholders. The Roles and Responsibilities will be updated regularly by the Business and Technology Project Managers.

### **3.5.6 Human Resource Assignment Matrix (HRAM)**

The Human Resource Assignment Matrix (HRAM) is provided in Appendix D and delineates the roles, responsibilities, and expectations with regard to project products and deliverables. The HRAM contains the organizational entities (people) from the Project Roster as well as the specific elements (project products and deliverables).

Based on the role each stakeholder plays in the project, an appropriate value is inserted in the spreadsheet at the junction of a project deliverable with the organization. The HRAM values include:

- P** – Primary Responsibility
- A** – Approval Responsibility
- S** – Supporting (Consulting) Responsibility
- I** – Information Only

The HRAM will be maintained and updated regularly by the Business and Technology Project Managers.

### **3.5.7 Staff Training**

When identified as appropriate, project staff will participate in training activities through the life of the project. BOE Supervisors will coordinate any staff training activities with the appropriate program and/or technical areas to minimize schedule conflicts. Supervisors will ensure that each member of the project staff is accommodated when training is scheduled.

Training provided by the contractor will be provided as outlined in the project contract. The Contractor shall coordinate any training activities with the Business and Technology Project Managers to ensure that training needs are accommodated for any scheduled training.

## **3.6 Organizational Change Management**

The purpose of Organizational Change Management is to actively design, develop, and execute a strategy for preparing all employees and stakeholders for the business, technical, and cultural changes will occur as the result of the CROS Project initiatives. Embracing and magnifying the positive aspects of changes will help employees and stakeholders align themselves with the long-term success in BOE's newly defined "desired future state" through CROS.

Due to its agency-wide impact, stakeholders of the CROS project include not only internal BOE staff but also external users.

Stakeholders of the CROS Project include:

- Application Developers
- Infrastructure staff
- Board Members
- IRIS and ACMS users
- Tax/Fee payers
- Tax/Fee partners (State and local jurisdictions, state agencies)
- BOE Executive Management
- Employee Union Representatives

Some key underlying organizational change management principles that will be applied to the CROS project are:

- Committed project sponsorship – organizational change management objectives have the support and resources of key decision-makers within the organization.
- Effective project planning – planning is structured and methodical and all plans are agreed to with regard to organizational change management objectives, roles, resources, and risks.
- Measurable objectives – organizational change management objectives are realistic and measurable and progress toward their achievement is shared with all major stakeholders.
- Engaged stakeholders – project stakeholders are encouraged to openly participate in dialogue, with mutual respect, regarding organizational changes and their impacts.

- Resources and support – organizational change management implementers and recipients receive the resources and support throughout the change process.

### **3.7 Communication Management**

The Communications Management Procedures address the standard BOE methodology for communication planning. Communication activities will be integrated into the CROS Project schedule to ensure that communication events remain a fundamental element of the process. The primary objectives of Communication Management are for communicating project related information to:

- Educate and inform stakeholders about the project and its progress
- Reinforce the commitment of BOE leadership to the project
- Foster involvement in the project by all project stakeholders

This communication strategy begins at the start of the CROS Project and is intended to address the different information needs of various stakeholders of the project. Regardless of the size of the project, effective communications is vital to project success. How communication (information) flows through the organization and to stakeholders is critical.

The Communications Management Matrix is provided in Appendix E and identifies all of the products and deliverables that will be communicated throughout the project and specifies which individuals will receive the identified items. The matrix identifies what information is being communicated, to whom, by whom, for what purpose, how often, by what method, and using what media. The originator of the communication product, any clearance process, and the ultimate physical storage location are also identified. The Communication Distribution List, within the matrix, groups the project management and project team members into specific distribution lists to streamline project communication.

The Communications Matrix will be maintained and updated regularly by the Business and Technology Project Managers.

#### **3.7.1 Communications Outreach**

The following groups have been identified as target users of CROS:

- BOE users – all levels
- Taxpayers and representatives
- Local and county jurisdictions and their representatives
- Partner state and federal agencies
- General public and media

Communication outreach efforts will be aimed internally at BOE staff and externally at non-BOE users including taxpayers and representatives, local and county jurisdictions and their representatives, partner state and federal agencies, and the general public and media. Communication outreach goals have been identified as follows:

Internal Outreach (BOE staff)	
<b>Awareness</b>	Ensure all BOE employees remain informed through transparent communication of the CROS project throughout the life of the project.
<b>Education</b>	Provide education to BOE staff regarding technology, reengineering business processes, and organizational change.
<b>Buy-in</b>	Obtain buy-in from BOE staff by soliciting input and continual promotion and education.
<b>Transition</b>	Develop methods to ensure a smooth transition as BOE moves to a new system and adopts new business practices.
<b>Evaluation</b>	Continually evaluate outreach efforts and adapt accordingly to optimize effectiveness.

External Outreach (BOE taxpayers and other outside user groups)	
<b>Outreach</b>	Provide and push out information to taxpayers and other interested parties regarding the CROS project through various methods.
<b>Input</b>	Solicit input from taxpayers and other interested parties to understand their needs to effectively do business with BOE.
<b>Transition</b>	Develop methods for outreach and education to ensure a smooth transition for taxpayers and other interested parties.
<b>Evaluation</b>	Continually evaluate outreach efforts and adapt accordingly to optimize effectiveness.

Throughout the life of the project, internal and external communication outreach efforts will be presented in various formats.

Internal Outreach	
<b>Presentations</b>	Presentations will be conducted to all BOE employees to provide an introduction to CROS and information about the project.
<b>BOE Intranet (eBOE)</b>	eBOE will be utilized to provide information about the project and to solicit information through the use of surveys on a page dedicated to the project.
<b>CROS Liaisons</b>	CROS Liaisons, a group of knowledgeable and trained BOE staff familiar with CROS, will be utilized to promote the project, provide information, solicit input, and engage and educate staff.
<b>Meetings</b>	Scheduled staff meetings, training sessions, etc... will be leveraged to provide continual updates to staff regarding the CROS project.

Internal Outreach	
<b>Email Communication</b>	A CROS email address will be maintained to solicit and answer questions from BOE staff.

External Outreach (BOE taxpayers and other outside user groups)	
<b>BOE Website</b>	The BOE website will be utilized to promote and provide information about the project and to solicit input through the use of surveys posted on the website.
<b>External Stakeholder meetings</b>	Interested parties meetings will be conducted with groups with similar interests to receive input relating to their needs in conducting business with the BOE.
<b>Education/Speaking Engagements</b>	A CROS component will be incorporated, when appropriate, into various BOE events and speaking engagements to venues such as Small Business Fairs, Chambers of Commerce, and Enrolled Agents.
<b>Partners</b>	When appropriate, BOE's relationship with business partners and associations will be utilized to promote the CROS project.

### 3.8 Configuration Management

The Configuration Management Procedures address the standard BOE methodology for configuration management. Configuration Management is the ongoing process of identifying and managing changes to deliverables and other work products as they evolve through system development and maintenance. The configuration management process consists of applying administrative and technical procedures through the software, hardware, and network life to:

- Establish and maintain consistency of a product's performance as well as its functional and physical attributes with respect to its requirements, design, and operational information.
- Provide a process of identifying, managing, controlling, and reporting changes.
- Controls the release of new configuration items into a controlled environment which consists of a process of planning, distributing and deploying software, hardware, and documentation.

In the process of performing Configuration Management, certain configuration items, or groups of configuration items, will be baselined to establish a control point for which subsequent work is verified. A configuration item is a project or product artifact that can be individually managed and versioned and has been placed under Configuration Management control.

### 3.9 Lessons Learned

At the end of the Planning phase, the CROS Project will conduct a lessons learned session.

The successful lessons learned process should be tailored around the project schedule (e.g. phase end, milestones, and major deliverables) and provide the opportunity to capture lessons learned. Lessons learned should be captured when project activities are fresh in the minds of

the project team, at a time that is conducive to free thinking and in an environment that encourages candid discussion.

## **4 Project Execution**

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The CROS Project Management Plan (PMP) is a dynamic and living document that will be revised throughout the project as appropriate. Unknown complexities, legislative changes, and other factors may require changes to be made to this plan throughout the project life cycle. The Business and Technology Project Managers will review the PMP as needed to assess impacts to schedule, resources, or project cost. When changes to the PMP are warranted, the plans will be updated, reviewed, and approved in the manner consistent with the Change Management Procedures.

### **4.1 Project Management Plan Execution**

The Project Management Plan execution will be initiated through a Project Kick-Off Meeting. The Kick-Off Meeting provides a forum to integrate all parties involved in the project and to focus all project members toward a common set of project objectives. The objectives of the Kick-Off Meeting are to provide background and an overview of the project and to establish a common set of management processes and procedures that the project stakeholders will use to execute the project through implementation.

The PMP will continue to be executed throughout the project using the established processes and procedures documented in this plan. The Business and Technology Project Managers are responsible for monitoring and executing the plan and will utilize status meetings, reports, and project metrics to ensure that the PMP is being executed. The various meetings and reports are described in Appendix E – Communications Matrix.

### **4.2 Information Distribution**

The project team is committed to comprehensive and timely communications with the project's internal and external stakeholders. All communication will be developed and delivered in a format that is efficient, understandable, and easily accessible to allow stakeholders the opportunity to process project-related information and to react to that information.

BOE's SharePoint site for the CROS Project will be one of several mediums used for information distribution.

The Communication Matrix provided in Appendix E describes how information will be distributed throughout the project.

### **4.3 Procurement Phase**

The Procurement phase of the CROS Project encompasses the following activities:

- Procurement Planning
- Requirements Analysis
- RFP development
- Evaluation Planning

- Solicitation
- Contract Award

In addition to these processes being performed over the course of the project, technical review meetings and work sessions will be conducted to review, assess and monitor the technical aspects of the project.

#### **4.4 Lessons Learned**

At the end of the Execution phase, the Quality Management (QM) Partner or other assigned designee will perform the role of the Lessons Learned Facilitator and formally document the lessons learned for the execution activities that worked well and those that did not.

### **5 Project Monitoring and Controlling**

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#### **5.1 Monitoring and Controlling**

During the Monitoring and Controlling phase, project progress and performance will be collected, measured, and disseminated. The purpose of the Monitoring and Controlling phase is to keep the team, management, and stakeholders current on the progress of the project so that, if needed, appropriate preventative and corrective actions can be taken when the project performance deviates from the plan.

#### **5.2 Scope Management**

The purpose of Scope Management is to ensure project scope is well defined, understood by stakeholders, and documented. Scope Management ensures that the project's scope is documented in tangible terms and that the project can be managed against that scope. Effective Scope Management is the key to successful project execution. Frequent contributors to project failure are unclear scope definition and scope creep.

During project execution, the Project Managers monitor work progress to ensure it supports the prioritized work products and deliverables documented in the Work Breakdown Structure (WBS). It is the responsibility of the Business and Technology Project Managers to ensure that work progresses only on items defined as "in scope." If work elements do not support prioritized work products and deliverables, this indicates that the project is functioning out-of-scope. The Project Managers must initiate corrective action if the project is functioning out-of-scope. If it is not within the scope of the project, then it may be considered a change that should be handled through the Change Management process.

Approved change requests may likely result in changes to the project scope. Each approved change must be incorporated into the appropriate area and associated project documentation updated to reflect the change.

#### **5.3 Schedule Management**

The CROS Project schedule will be monitored, tracked, and controlled by the Project Managers. The Project Managers will establish and maintain the overall project schedule using Microsoft Project. Once the final project schedule is established and approved, the baseline will be set. Progress and schedule changes will be tracked against the baseline to identify variances. The

Project Managers will assess schedule impacts on a weekly basis, monitor the progress, and identify areas where the schedule is or may fall behind. The Project Managers will identify any items that may potentially impact the schedule’s critical path.

The Project Managers will utilize Microsoft Project to continually re-assess the project’s critical path and recommend actions to avoid schedule slips or mitigate impacts. Weekly status meetings and regular communications will be utilized to monitor and track the project schedule. Project team members must report progress on tasks to the Project Managers on a weekly basis. All potential impacts to the project schedule should be reported as soon as they are identified.

Approved change requests may likely result in changes to the project schedule. Each approved change must be incorporated into the appropriate area and associated project documentation updated to reflect the change.

The following chart identifies the roles and activities for schedule maintenance.

Role	Task	Frequency
<b>Project Sponsor(s)</b>	<ul style="list-style-type: none"> <li>Approves the project schedule as the baseline and reviews and approves changes to the baseline schedule</li> </ul>	<ul style="list-style-type: none"> <li>Approves baseline once and reviews/approves changes to the baseline as necessary</li> </ul>
<b>Project Manager(s)</b>	<ul style="list-style-type: none"> <li>Creates baseline project schedule</li> </ul>	<ul style="list-style-type: none"> <li>Created once and updated as necessary</li> </ul>
	<ul style="list-style-type: none"> <li>Monitors and updates the Project Schedule</li> </ul>	<ul style="list-style-type: none"> <li>Weekly, as needed</li> </ul>
	<ul style="list-style-type: none"> <li>Audits and verifies activity completion</li> </ul>	<ul style="list-style-type: none"> <li>Weekly and Monthly</li> </ul>
<b>Project Team Members</b>	<ul style="list-style-type: none"> <li>Reports task progress on active tasks to Project Managers</li> </ul>	<ul style="list-style-type: none"> <li>Weekly</li> </ul>

## 5.4 Cost Management

The Cost Management Procedures address the standard BOE methodology for Cost Management. Cost Management provides a method for ensuring that projects are completed within budget. It identifies the process and procedures used to manage costs throughout the project’s life cycle in the areas of estimating, budgeting, tracking and reporting.

The Project Budget will be monitored by the Business and Technology Project Managers on a regular basis to ensure that the project will be completed within the allocated and approved budget. Information relating to the current budget, impact of changes, estimated budget necessary to complete the project and any variances must be tracked closely and communicated to the Project Sponsors. BOE’s Change Management process must be followed for any changes to the project budget.

Approved change requests may likely result in changes to the project budget. Each approved change must be incorporated into the appropriate area and associated project documentation updated to reflect the change.

## 5.5 Quality Management

The Quality Management Procedures address the standard BOE methodology for Quality Management. Quality Management specifies the mechanisms to be used to measure and control the quality of the work processes and the resulting work products.

Ensuring project quality is ultimately the responsibility of every member of the project team. The team should focus not only on the quality of the product/service, but also the means to achieve that quality.

Additionally, the oversight team of an Independent Project Oversight Consultant (IPOC) and an Independent Verification and Validation (IV&V) vendor will help ensure that the project stays on target and is managed in accordance to the approved contract. The QM Partner's responsibilities may vary with formal IV&V and/or IPOC participation on the project.

## **5.6 Risk Management**

The Risk Management Procedures address the standard BOE methodology for Risk Management. Risk Management addresses uncertainties, liabilities, or vulnerabilities that may cause the project to deviate from the defined plan. Through risk management, the impact of unplanned incidents is minimized by proactively managing potential risks before they occur.

Project risks are future uncertainties, liabilities, or vulnerabilities that may cause a negative impact to the project. Recognizing that every project carries some element of risk, it is important to manage risks proactively through an aggressive risk management process. The risk management process seeks to minimize the impact of unplanned incidents on the project by identifying and addressing potential risks before significant negative consequences occur.

Risk Management is a critical process to manage project activities or circumstances that may result in negative consequences to project or product performance. The project team develops plans to minimize the occurrence of risk and contingency plans if the risks occur.

### **5.6.1 Risk Management Process**

A risk identification session will be scheduled and conducted by the Risk Manager to identify and form a baseline of project risks. As additional risks are identified, they will be documented and tracked on the Risk Management Log. Meetings with project leads will be held weekly to review risks for status, identify any new risks, and review mitigation and contingency plans for risks that are being monitored. Once risks are mitigated or resolved, the risk status will be updated to "retired." Unresolved risks will be escalated per the Risk Management Procedures.

Risk Management is an ongoing process through the project's lifecycle. The Project Managers in conjunction with the Risk Manager should kick off the risk management process, identify new risks, analyze risks, plan accordingly, then monitor/control/report. In addition to the ongoing risk management process, the Project Managers and the Risk Manager should identify discrete checkpoints during the project where new risk identification should be given a high priority. For example, new risks are more likely to occur:

- Prior to project work starting
- When assuming responsibility for a project already in progress
- During major plan revisions
- When significant plan deviations happen
- At the beginning of phases

Refer to the Risk Management Plan.

## 5.7 Issue Management

An issue is a situation, action, problem, or question arising during the performance of the project, which cannot be efficiently or effectively resolved within a project team. Left unresolved, an issue will impede or prohibit project-related progress or development by delaying or suspending a task or project. Issue Management defines a process for issue resolution.

Issues can be technical, process, organizational, or operational. However, it is important to recognize that issues are distinct from system development, systems implementation, system operations, work defects, and project or product change requests that are both managed outside of the issue management process.

The issue management process provides a mechanism to organize, maintain, and track the resolution of issues. The Issue Log will be used to track issues and issue resolutions during the life of the project. Issues are identified and communicated to the project team and documented in the Issue Log. The Project Managers and project team leads will meet weekly for the project status meetings and will review the Issue Log and discuss possible solutions. Issues that cannot be resolved by their target resolution dates and at the team level will be escalated to the Project Director. Issues that cannot be resolved by the Project Director will be escalated to the Steering Committee. Escalated issues will be reviewed in the monthly Steering Committee Meeting.

Refer to the Risk Management Plan.

## 5.8 Performance Reporting

Performance reporting involves collecting and disseminating performance information in order to update stakeholders and management on the progress of project objectives. Performance reporting should provide information on scope, schedule, cost, risk, and quality.

The CROS Project Director will schedule recurring weekly status meetings to communicate:

- Task accomplished last month
- Tasks that missed scheduled completion dates and the related impacts
- Upcoming tasks planned
- Identification, progress, or outcomes of problems/issues
- Identification of new risks
- Occurrence of risks
- Risk mitigation
- Action items

The standard project requirement is to provide reports to executive management, the project team, and outside agencies (as necessary). The following table outlines the general reporting requirements for the CROS Project.

Report	Frequency	Due Date & To
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Report	Frequency	Due Date & To
<b>Status Report</b>	Weekly	Prior to the meeting To: Project Team/Manager(s)/Sponsors
<b>Executive Management Status Report</b>	Weekly	TBD To: Board Members
<b>Steering Committee Status Report</b>	Monthly	Prior to the meeting To: Steering Committee members
<b>Project Sponsor Status Report</b>	Bi-monthly	TBD To: Project Sponsors
<b>Team Status Report</b>	Weekly	Prior to the meeting To: Project Director
<b>Project Status Report</b>	Monthly  *Send an electronic copy of the Executive Status Report, Cost Tracking, and Milestone Tracking templates in Excel to the Technology Agency-PMO for all IT projects reportable to the Technology Agency	Fifth working day of the month To: Technology Agency-PMO
<b>Microsoft Project Schedule</b>	Monthly  *Send a copy of the project schedule in MS Project format with the Project Status Report	Fifth working day of the month To: Technology Agency-PMO
<b>Independent Project Oversight Report (IPOR)</b>	Monthly  *Send an electronic copy to the Technology Agency-PMO	Tenth working day of the month To: Technology Agency-PMO
<b>Independent Verification and Validation (IV&amp;V) Report</b>	Monthly	Due date TBD To: BOE CIO, Steering Committee
<b>Post Implementation Evaluation Report (PIER)</b>	Once  *Send an electronic copy to the Technology Agency-PMO and one hard copy to the LAO	Within 18 months of project completion To: Technology Agency-PMO, LAO

## 5.9 Change Management

Change Management defines the mechanisms to request and track changes to a project's scope and all related activities and deliverables. The primary purpose of the change control process is to maintain control while allowing flexibility. The Change Management process applies to the following types of changes:

- Any change to the scope of the current baseline project plan including plan components such as requirements, scope of work, quality, and contractual or baseline obligations, milestones, deliverables, cost, or services.
- Modifications to approved project deliverables except where:
  - The modification can be made with no impact to stakeholders and can be handled through the ongoing planning process;
  - The deliverable has a suspected fault (i.e. where factual errors are discovered in an approved document or where approved software apparently does not function to specification). These situations should first be handled through the project's defect reporting process used for testing or validating any deliverable. If upon investigation, it is found that the deliverable does function to specification yet requires enhancement, then a change request should be processed.

Any changes that impact the scope, schedule, cost, or resources of the CROS Project **must** be submitted on a Change Request and Impact Analysis form to the Business and Technology Project Managers. The Change Coordinator will log the request on the Change Request Log. Change Requests will be processed following the Change Management Procedures.

## 6 Project Closeout

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The project closing process is a critical component of the project lifecycle. An efficient and well-executed close ensures a smooth transition to the permanent support organization (as appropriate) plus minimizes resistance to changes. Project closing addresses the final elements in many project management processes, such as project reporting, resource management, and contractor management.

The objectives of project closeout are to:

- Maintain continuity in business operations
- Preserve project assets and information for historical records
- Release project resources

The Project Closeout process provides the overarching process for closing the project. Closeout covers three areas:

1. **Review of the Project:** The project team reviews the project to verify completion of the project and determines final performance data, ensures that the product/service of the project is completely transitioned to the users/maintainers (customer), and captures final lessons learned.
2. **Shutdown of the Project:** The Project Managers lead the project through a sequence of steps to close the project and return project resources to their permanent state.
3. **Final Closeout Reports:** The Project Managers review the final results of the project (product/service and project) to assess the realization of planned costs and benefits in order

to generate the Project Closeout Report and the Post Implementation Evaluation Report (PIER).

## **6.1 Review of the Project**

Before the project is closed, the Project Managers will oversee a review of the project to ensure that:

- BOE has ownership of the CROS solution
- All project deliverables have been reviewed and accepted
- All project deliverables, source code, licenses, etc... have been turned over
- The project's execution processes are ready to close
- The project's resources have completed their work

Based on this review, the Project Manager prepares the final reports and initiates the shutdown stage.

## **6.2 Shutdown of the Project**

The shutdown process addresses the final steps in the closeout process. Materials and documentation are formally archived in the project library. The shutdown process includes a final check to ensure that materials are properly archived when the project is closed. The shutdown process also includes:

- Complete the processes for closing out contracts
- Disband the project infrastructure
- Return resources to their permanent organizations

## **6.3 Final Closeout Reports**

The Project Closeout Report and the PIER will be prepared by the Project Managers as part of the final closeout reports.

### **6.3.1 Project Closeout Report**

The Project Closeout Report for the CROS Project will be prepared by the Business and Technology Project Managers at the end of the project. The report will document the completion of closeout tasks and project performance. The Project Closeout Report will provide a historical summary of the project's deliverables and baseline activities over the course of the project. Additionally, the Project Closeout Report will identify variances from the baseline plan, lessons learned, and a disposition of project resources.

### **6.3.2 Post Implementation Evaluation Report (PIER)**

A Post Implementation Evaluation Report (PIER) must be completed following the completion of the CROS Project. The optimum time to conduct the assessment depends upon the nature of the project. However, six months to one year after implementation is typical. The assessment must be completed within 18 months of implementation and documentation supporting the

project must be kept by the agency for a minimum of 18 months following approval of the post-implementation assessment.

## **6.4 Lessons Learned**

At the end of the Closing phase, the Quality Management (QM) Partner or other assigned designee will perform the role of the Lessons Learned Facilitator and formally document the lessons learned for the execution activities as well as lessons learned throughout the life of the project. These lessons learned will be included in the final closeout reports and will provide ways to improve processes and procedures for current and future projects.

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## 7 Reference Material

The following table lists the documents that are attached to the PMP. Documents are added to the table once they are completed.

Document	Attachment
Project Team Roster	Appendix A
Organizational Chart	Appendix B
Roles and Responsibilities	Appendix C
Human Resource Assignment Matrix (HRAM)	Appendix D
Communication Management Matrix	Appendix E

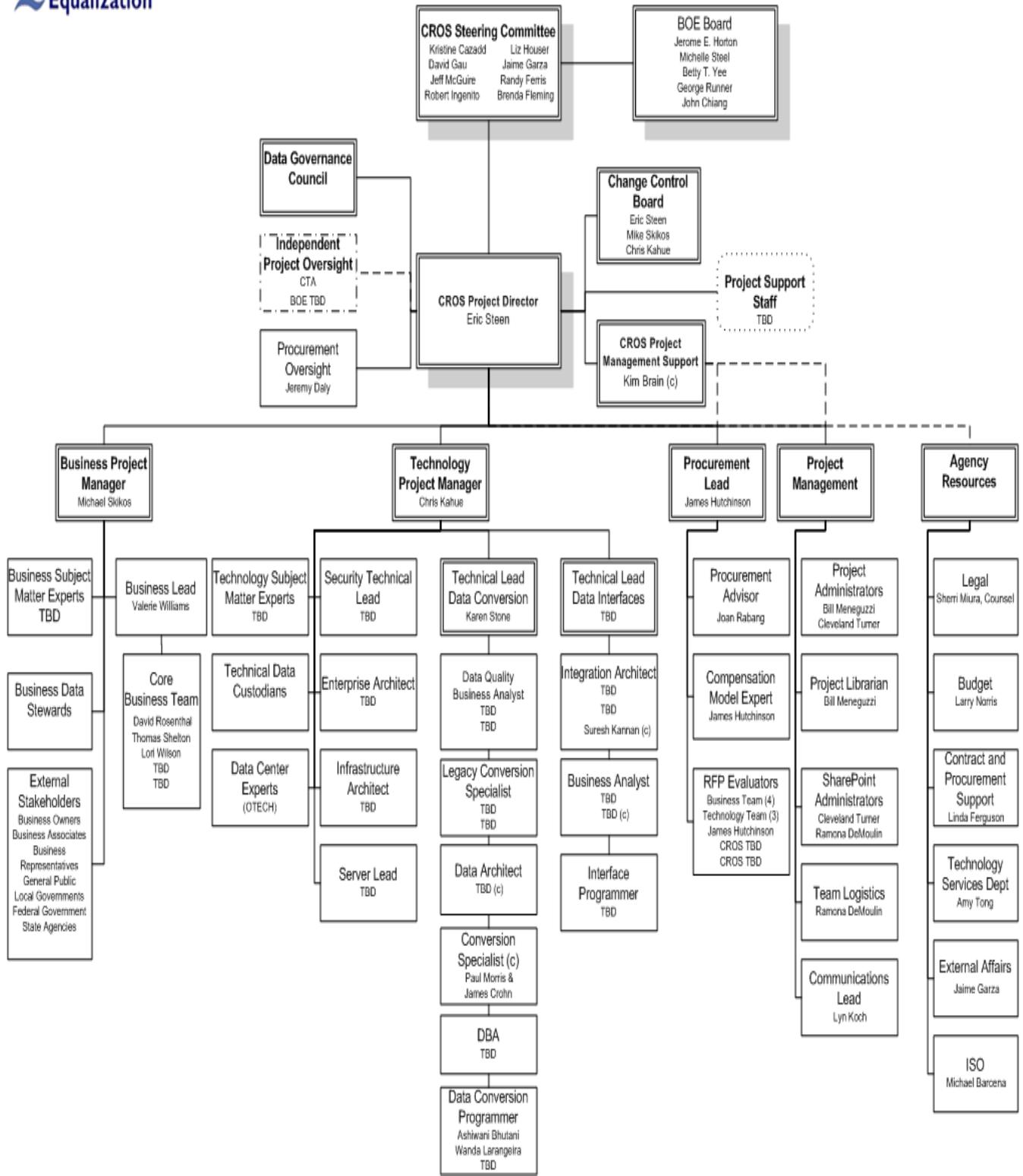
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## 8 Appendix A – Project Team Roster

Team Member Name		Role	Unit/Department Represented	Phone Number	Email Address
First	Last				
Eric	Steen	Project Director	Technology Services Division	(916) 322-9918	Eric.Steen@boe.ca.gov
Chris	Kahue	Technology Project Manager	Technology Services Division	(916) 323-4333	Chris.Kahue@boe.ca.gov
Mike	Skikos	Business Project Manager	Sales & Use Tax Department; Property and Special Taxes Department	(916) 322-5994	Mike.Skikos@boe.ca.gov
Ramona	DeMoulin	Facilities and Equipment	Special Taxes Division	(916) 445-1886	Ramona.DeMoulin@boe.ca.gov
Joan	Rabang	Procurement Advisor	RA	(916) 322-9919	JRabang@boe.ca.gov
Dave	Rosenthal	Business Analyst	Sales & Use Tax Department	(916) 322-9919	Dave.Rosenthal@boe.ca.gov
Thomas	Shelton	Communication	Property and Special Taxes Department	(916) 327-7223	Thomas.Shelton@boe.ca.gov
Karen	Stone	Data Conversion Lead	Technology Services Division	(916) 327-7317	Karen.Stone@boe.ca.gov
Cleveland	Turner	Project Mgmt & SharePoint	Technology Services Division	(916) 445-1869	Cleveland.Turner@boe.ca.gov
Valerie	Williams	Business Analyst Lead	Sales & Use Tax Department	(916) 323-6347	Valerie.Williams@boe.ca.gov
Lori	Wilson	Business Analyst	Sales & Use Tax Department	(916) 322-9930	Lori.Wilson@boe.ca.gov
Shari	Miura	Legal Counsel	Legal Department		Shari.Miura@boe.ca.gov
Linda	Ferguson	Procurement/Contract	Administration Department	(916) 445-3814	Linda.Ferguson@boe.ca.gov
Kim	Thomas	Procurement/Contracts	Administration Department	(916) 327-0060	Kim.Thomas@boe.ca.gov
Kim	Brain	Project Management Support	Consultant	(916) 322-9921	Kim.Brain@boe.ca.gov
James	Hutchinson	Procurement Lead		(916)322-9926	James.Hutchinson@boe.ca.gov
Bill	Meneguzzi	Project Administrator	Administration Department	(916)445-5799	Bill.Meneguzzi@boe.ca.gov
Suresh	Kannan	Integration Architect	Consultant		Suresh.Kannan@boe.ca.gov
Wanda	Larangeira	Data Conversion Programmer	Technology Services Division	(916)322-3389	Wanda.Larangeira@boe.ca.gov
Ashwani	Bhutani	Data Conversion Programmer	Technology Services Division		Ashwani.Bhutani@boe.ca.gov
Mark	Schmidt	Enterprise Architect	Technology Services Division	916-322-9927	Mark.Schmidt@boe.ca.gov

# 9 Appendix B – Project Organizational Chart

Org chart needs to be changed to reflect the above information and add Refunds to the business workgroups.



## 10 Appendix C – Roles and Responsibilities

Roles and Responsibilities for stakeholders on the CROS Project are presented in alphabetical order in the following table.

Roles	Responsibilities
<b>Board Members</b>	<ul style="list-style-type: none"> <li>▪ Decision-makers regarding BOE policies that are within the scope of the CROS project</li> <li>▪ Provides transparency and oversight to the project</li> <li>▪ Review and approve the FSR and solution provider contract</li> <li>▪ Approves the selected bidder or the CROS procurement</li> </ul>
<b>BOE Project Oversight</b>	<ul style="list-style-type: none"> <li>▪ Reports to the Executive Director</li> <li>▪ Provides updates on project status</li> <li>▪ Performs independent internal review and oversight to the project</li> </ul>
<b>Business Analyst</b>	<ul style="list-style-type: none"> <li>▪ Conduct analysis and provide written/verbal feedback on issues pertaining to the CROS project. Develop requirements or sections of the RFP. Support the business workgroups and business lead as appropriate.</li> </ul>
<b>Business Intelligence Team Lead</b>	<ul style="list-style-type: none"> <li>▪ Leads in the development of data warehouse architecture, data integration, and analytics solutions</li> <li>▪ Deliver a repeatable process for generating the 10 management performance reports within the scope of the CROS compensation model</li> <li>▪ Provide overall guidance for the Initiative</li> <li>▪ Create Charter and Schedule</li> <li>▪ Monitor and control execution and progress toward milestones</li> <li>▪ Identify issues and risks, and adjust plans accordingly</li> <li>▪ Identify and escalate risks and issues to the CROS Project Manager and Director</li> </ul>
<b>Business Project Manager</b>	<ul style="list-style-type: none"> <li>▪ Liaison to BOE business managers</li> <li>▪ Final review of all business deliverables and ensures development and quality of business project deliverables</li> <li>▪ Provides updates and escalates issues as needed to the Project Director</li> <li>▪ Works with project manager to update schedule and ensure business activities are executed and updated to reflect project needs</li> <li>▪ Reviews project risks; establishes and implements mitigation and contingency procedures</li> <li>▪ Fulfill business resource needs</li> <li>▪ Approves routine (office supplies, etc.) project expenditures</li> </ul>

Roles	Responsibilities
	<ul style="list-style-type: none"> <li>▪ Handles administrative needs of the business/program team members</li> </ul>
<b>Communications Lead</b>	<ul style="list-style-type: none"> <li>▪ Prepares and disseminates information about the CROS project to internal and external stakeholders</li> <li>▪ Update and maintain the CROS Project pages on CROS SharePoint public site, eBOE and the BOE websites</li> <li>▪ Performs outreach activities</li> <li>▪ Responds to general inquiries</li> <li>▪ CROS Project liaison to BOE Liaisons</li> <li>▪ Executes the Communication Plan</li> <li>▪ Oversees the creation and distribution of the Communication Plan products</li> <li>▪ Modify Communications Matrix as communications needs arise.</li> <li>▪ Provide status of communication activities to Project Management Team</li> </ul>
<b>Change Control Board (CCB)</b>	<ul style="list-style-type: none"> <li>▪ Makes decisions regarding whether proposed changes to the project should be implemented, including final decisions on RFP revisions</li> <li>▪ Reviews/Approves/Denies escalated requests</li> <li>▪ Resolves change conflicts</li> </ul>
<b>Contracts Analyst</b>	<ul style="list-style-type: none"> <li>▪ Facilitates the acquisition of CROS contract services</li> </ul>
<b>Contract Manager</b>	<ul style="list-style-type: none"> <li>▪ Plans, negotiates, evaluates and recommends contract terms and conditions to the CROS Project Director</li> <li>▪ Recommends approval of all contractor invoices to the CROS Project Director</li> <li>▪ Manages and tracks all contract budgets</li> <li>▪ Plans, executes, and evaluates all revenue benefits measurement activities for the CROS contract</li> <li>▪ Reports to the CROS Project Director</li> <li>▪ Ensures contractor performance objectives are measured/reviewed</li> <li>▪ Escalates contract issues to CROS Project Director</li> <li>▪ Monitors contract schedule and budget</li> <li>▪ Supports acceptance testing and inspection procedures</li> <li>▪ Assists in monitoring contractor performance</li> <li>▪ Measures actual performance against projected performance</li> </ul>
<b>Data Architect</b>	<ul style="list-style-type: none"> <li>▪ Ensures that the data assets are supported by the solution architecture</li> <li>▪ Develops data strategies and associated policies</li> <li>▪ Develops and maintains a formal description of the data and data</li> </ul>

Roles	Responsibilities
	structures (e.g. data definitions, data models, data flow diagrams, etc...)
<b>Data Conversion Expert</b>	<ul style="list-style-type: none"> <li>▪ Provides guidance on data conversion</li> <li>▪ Assesses data quality</li> </ul>
<b>Data Conversion Programmer</b>	<ul style="list-style-type: none"> <li>▪ Conducts analysis to understand data quality and data transformation rules.</li> <li>▪ Craft scripts that acquire data from external organizations and internal legacy assets, transform them, and apply them to internal data stores.</li> <li>▪ Assist with conversion to CROS and with business intelligence.</li> <li>▪ Documents data cleansing and interface processes; assist with data modeling activities.</li> </ul>
<b>Data Readiness Lead</b>	<ul style="list-style-type: none"> <li>▪ Ensure data across all legacy systems and subsystems are mapped, that data quality rules are well documented, that scripts to extract and transform data from legacy assets are developed</li> <li>▪ Monitor and control execution of planned Data Readiness tasks for all systems</li> <li>▪ Establish a process and the associated procedures that provides for a single point of authority for access to data environments</li> <li>▪ Identify and escalate issues</li> <li>▪ Maintain initiative schedule</li> <li>▪ Identify and escalate risk and issues to the Project Manager and Director</li> </ul>
<b>Data Readiness Programmer</b>	<ul style="list-style-type: none"> <li>▪ Identifies data quality rules and data anomalies</li> <li>▪ Develops data fix programs and the data dictionary</li> </ul>
<b>Enterprise Architect</b>	<ul style="list-style-type: none"> <li>▪ Oversees the implementation and management of environments to support data conversion and interfaces as well as the implementation.</li> <li>▪ Manages the software applications and tools used for these efforts.</li> <li>▪ Ensure that the RFP's technical requirements and the proposed solution meet or exceed the BOE's needs.</li> <li>▪ Interact with bidders during confidential discussions and evaluating vendor proposals.</li> </ul>
<b>Evaluator</b>	<ul style="list-style-type: none"> <li>▪ The Evaluation Team comprises Administrative, Functional, Technical, Management, and Financial Evaluators.</li> <li>▪ Reviews Conceptual, Detailed Technical, Draft, and Final Proposals</li> <li>▪ Participates in the solicitation process; scores and selects the CROS solution.</li> </ul>
<b>Executive Director</b>	<ul style="list-style-type: none"> <li>▪ CROS Project Owner</li> <li>▪ Visibly supports the project at the executive level</li> </ul>

Roles	Responsibilities
	<ul style="list-style-type: none"> <li>▪ Provides oversight and direction to the CROS Project Director on strategic issues that affect the CROS project.</li> <li>▪ Resolves issues the CROS Project Director is unable to resolve</li> </ul>
<b>Executive Steering Committee</b>	<ul style="list-style-type: none"> <li>▪ Provides guidance to project on strategic issues</li> <li>▪ Resolve issues that cannot be resolved at other levels of the governance structure</li> <li>▪ Approve policy changes</li> <li>▪ Elevates issues as necessary to the Executive Director</li> <li>▪ Identify funding or staff resources from within their organizations based on approved changes</li> <li>▪ Visibly supports the project at the Department level and keeps their staff informed</li> <li>▪ Follow the Governance and Vendor Partnership Principles</li> </ul>
<b>External Affairs</b>	<ul style="list-style-type: none"> <li>▪ Provides assistance with communication and outreach efforts</li> </ul>
<b>Facilities Coordinator</b>	<ul style="list-style-type: none"> <li>▪ Ensures facilities are adequate to meet the project's needs</li> <li>▪ Handles phone, workstation, room set-up, and other needs</li> </ul>
<b>Functional Workgroups</b>	<ul style="list-style-type: none"> <li>▪ Refines business problems and opportunities including confirming anticipated revenue benefits to ensure the right business problems are being solved and that the benefits are substantial enough</li> <li>▪ Defines current and future work processes</li> <li>▪ Participates in joint application design (JAD) sessions to better ensure the solution will meet BOE's needs</li> <li>▪ Participates in user acceptance testing to better ensure the solution is meeting BOE's needs</li> <li>▪ Assists in the review of user training deliverables to ensure BOE staff will be able to use the solution effectively and quickly</li> </ul>
<b>Human Resources Services Division</b>	<ul style="list-style-type: none"> <li>▪ Plans and implements activities related to CROS employee relations</li> </ul>
<b>Independent Project Oversight Consultant (IPOC)</b>	<ul style="list-style-type: none"> <li>▪ Performs project oversight review of Project Management practices based on the IT Project Oversight Framework per SIMM Section 45</li> <li>▪ Identifies and quantifies issues and risks affecting Project Management practices and ensures the appropriate remediation plans are established by the Project Managers and the CROS Project Director</li> <li>▪ Completes and maintains the monthly Independent Project Oversight Report (IPOR) based on the State level IT Project Oversight Framework</li> <li>▪ Executes all oversight activities with the Project Managers and within existing CROS Project processes and activities as appropriate</li> </ul>

Roles	Responsibilities
	<ul style="list-style-type: none"> <li>▪ Coordinates all IPOR development activities with the Project Managers especially all requests for information to minimize the impact of their activities on the project</li> </ul>
<b>Independent Verification and Validation</b>	<ul style="list-style-type: none"> <li>▪ Assess the correctness and quality of a project's products to ensure compliance with defined requirements</li> <li>▪ Review, analyze, evaluate, inspect and test the project's products and processes</li> <li>▪ Provides feedback on procurement and parallel deliverables</li> </ul>
<b>Infrastructure Support</b>	<ul style="list-style-type: none"> <li>▪ Constructs, deploys and maintains infrastructure systems.</li> <li>▪ Conducts technical research and performs special projects</li> <li>▪ Desktop computing inventory and deployment; TSD liaison</li> </ul>
<b>Integration Consultant</b>	<ul style="list-style-type: none"> <li>▪ ePI administrator and developer</li> <li>▪ Configures and maintains workflow, monitors event log, builds logic</li> </ul>
<b>Interface Programmer</b>	<ul style="list-style-type: none"> <li>▪ Timber Tax programming; identifying data quality rules; developing data fix programs; input into data dictionary</li> <li>▪ ePI administrator and developer</li> </ul>
<b>Interface Team Lead</b>	<ul style="list-style-type: none"> <li>▪ Deliver a catalogue of interfaces within the scope of CROS</li> <li>▪ Provide overall guidance for the initiative</li> <li>▪ Create Charter and schedule</li> <li>▪ Monitor and control execution</li> <li>▪ Identify and escalate risks and issues to the Project Manager and Director</li> </ul>
<b>Legacy Data Expert</b>	<ul style="list-style-type: none"> <li>▪ Analyzes data quality and performs data mining</li> <li>▪ Develops data fix programs</li> <li>▪ Reviews data dictionary</li> </ul>
<b>Legal</b>	<ul style="list-style-type: none"> <li>▪ Provides legal support and recommendations to the Project Director, CROS Procurement, and Evaluation Teams, in order to minimize risk exposure</li> </ul>
<b>Librarian</b>	<ul style="list-style-type: none"> <li>▪ Ensures that project documents are stored correctly in the project library</li> <li>▪ Receives and tracks contractor deliverables</li> <li>▪ Ensures other project documents are correctly stored in SharePoint</li> <li>▪ Ensures the SharePoint files are complete and consistent</li> <li>▪ Maintains responsibility for the project's records retention policies</li> <li>▪ Archives hardcopy documents, as appropriate</li> </ul>

Roles	Responsibilities
	<ul style="list-style-type: none"> <li>▪ Other duties as required (i.e. deleting documents)</li> </ul>
<b>Office Support</b>	<ul style="list-style-type: none"> <li>▪ Provides general office support</li> <li>▪ Orders and maintains supplies</li> <li>▪ Answers phones</li> <li>▪ Calendars meetings and meeting rooms</li> </ul>
<b>Procurement Advisor</b>	<ul style="list-style-type: none"> <li>▪ Ensures procurement satisfies legal and regulatory requirements</li> <li>▪ Assists Procurement Official with evaluation of risk</li> <li>▪ Minimizes risk and identify potential procurement hazards</li> <li>▪ Assists the Project Director</li> <li>▪ Provides guidance on procurement process</li> <li>▪ Reviews and comments on project planning and direction</li> <li>▪ Recommend tactics to develop the RFP</li> <li>▪ Mentor Procurement Lead</li> <li>▪ Provide confidentiality training</li> <li>▪ Coordinate, document, review, and assess procurement method and deliverables</li> <li>▪ Employ best practices and lessons learned from other complex IT projects.</li> </ul>
<b>Procurement Lead</b>	<ul style="list-style-type: none"> <li>▪ Coordinates with the procurement advisor to ensure procurement satisfies legal and regulatory requirements</li> <li>▪ Ensures contractor performance objectives are established</li> <li>▪ Conducts market research</li> <li>▪ Prepares specifications, statements of work, and procurement related technical material for incorporation in the RFP document</li> <li>▪ Deliver final draft of each RFP section including coordinating, tracking items needed to complete the section</li> <li>▪ Verifies that user-written statements of work and functional specifications are technically feasible and not unduly restrictive</li> <li>▪ Serves on evaluation panels</li> <li>▪ Liaison with DGS on all procurement matters</li> <li>▪ Sole communicator with vendors pertaining to the RFP</li> <li>▪ Provide support to the Project Director on interactions with BOE and DGS legal as needed</li> </ul>
<b>Procurement Official</b>	<ul style="list-style-type: none"> <li>▪ Oversees CROS procurement activities</li> <li>▪ Ensures Evaluation Process is conducted legally and consistent with State procurement policy</li> </ul>

Roles	Responsibilities
	<ul style="list-style-type: none"> <li>▪ Primary contact between bidders and the CROS Project</li> </ul>
<b>Procurement Support</b>	<ul style="list-style-type: none"> <li>▪ Provides administrative support services to the Evaluation Team, RFP Change Control Board, and the Procurement Official.</li> <li>▪ Assists with the development of the Requests for Information (RFI), Request for Proposals (RFP), and other procurement-related documents.</li> <li>▪ Assists with compensation model requirement issues and updates</li> <li>▪ Provides expertise in the development of the procurement and evaluation plans.</li> <li>▪ Documents existing systems data quality and RFP requirement business rules</li> </ul>
<b>Procurement Support Lead</b>	<ul style="list-style-type: none"> <li>▪ Supports the Procurement Official.</li> <li>▪ Maintains files and records associated with the different phases of the procurement process.</li> <li>▪ Receives, stores, distributes project artifacts –proposals, tools and questions.</li> <li>▪ Directs evaluation support team during evaluation activities.</li> <li>▪ Works on documents such as the evaluation and Selection Team Procedures, training aids, etc.</li> <li>▪ Compile project artifacts for the preparation of the Evaluation and Selection Report.</li> <li>▪ Under the direction of the PO, may serve as room monitor when necessary.</li> </ul>
<b>Program Area Readiness Team Lead</b>	<ul style="list-style-type: none"> <li>▪ Develop, train and implement the standards, procedures, communication channels, tools, repositories, reporting and tracking mechanisms, and key performance indicators to successfully deliver business rules and procedural data quality rules</li> <li>▪ Build relationships and inroad with BOE program stakeholders to ensure timely notification of changes in program area requirements within the scope of CROS</li> <li>▪ Provide overall guidance for the Initiative</li> <li>▪ Create Charter and Schedule</li> <li>▪ Monitor and control execution</li> <li>▪ Identify and escalate risks and issues to the Project Manager and Director as appropriate</li> </ul>
<b>Project Administrator</b>	<ul style="list-style-type: none"> <li>▪ Coordinates all administrative functions for the CROS project.</li> <li>▪ Ensures adequate facilities, equipment, provisioning new resources, and coordinating emergency evacuation plans.</li> <li>▪ Manages HR related activities, project budget, tracks all project costs</li> </ul>

Roles	Responsibilities
	<p>including OE&amp;E, travel, personnel, contracts, etc.</p> <ul style="list-style-type: none"> <li>▪ Liaison for CROS with administration departments – HR, Budgets, Facilities, Procurement &amp; Contracts, etc. – and TSD for IT administrative issues.</li> </ul>
<p><b>Project Administrative Analyst</b></p>	<ul style="list-style-type: none"> <li>▪ Assists with project management tasks</li> <li>▪ Provides support in budgeting, human resources, contracts, procurement and facilities</li> <li>▪ Prepares costs for Monthly Status Report; tracks projects budget and cost</li> </ul>
<p><b>Project Director</b></p>	<ul style="list-style-type: none"> <li>▪ Leads the Overall Project</li> <li>▪ Reports to the BOE Executive Director</li> <li>▪ Directs the planning, execution, and evaluation of all project activities, team, and resources toward project success</li> <li>▪ Decision maker regarding issues that affect minor milestones with the project including changes to scope, schedule, and budget</li> <li>▪ Resolve issues that cannot be resolved by the project team</li> <li>▪ Elevates issues as necessary to the Steering Committee as needed</li> <li>▪ Reports project status to the Board Members, Project Steering Committee, Department Head Committee, and all external stakeholders</li> <li>▪ Recommend policy changes affecting one or more program areas;</li> <li>▪ Project contact for vendor partner executive management team and external organizations</li> <li>▪ Accepts all project deliverables</li> <li>▪ Approves all project requirements, project schedule and cost changes</li> <li>▪ Final approval on all contractor invoices</li> <li>▪ Recommends project funding or staff resource augmentations</li> <li>▪ Public face of the project</li> <li>▪ Follow the Governance and Vendor Partnership Principles listed in the Project Compact</li> <li>▪ Responds to all oversight findings</li> <li>▪ Approves all major project acquisitions (i.e. procurements) and analyzes, negotiates and approves all project contract terms, conditions and changes</li> <li>▪ Directs the Business and Technical Project Managers and provides input on the management performance evaluation</li> <li>▪ Approves all outreach material</li> <li>▪ Provides oversight and direction to outreach activities</li> </ul>

Roles	Responsibilities
<b>Project Manager</b>	<ul style="list-style-type: none"> <li>▪ Plan, initiate, execute, control, close the CROS Project</li> <li>▪ Manage and direct procurement</li> <li>▪ Coordinate execution of business and technical deliverables with Business and Technical Project managers</li> <li>▪ Develops and implement project plans</li> <li>▪ Develop and implement plans, standards, processes for managing project schedules, risks, resources, costs</li> <li>▪ Tracks project risks/issues and costs</li> <li>▪ Prepares CTA monthly report and other project status reports as needed</li> <li>▪ Recommends responses to oversight findings</li> <li>▪ Provides status to project director</li> <li>▪ Prepares responses to CROS project inquiries/status reports as needed</li> </ul>
<b>Project Sponsors (Leadership Team)</b>	<ul style="list-style-type: none"> <li>▪ Decision-makers regarding issues that affect major phases within the project including changes to scope, schedule, and budget</li> <li>▪ Work with the Project Director to remove obstacles and resolve issues</li> <li>▪ Approve policy changes affecting their program/technology areas or elevate</li> <li>▪ Identify funding or staff resources from within their program areas based on approved changes</li> <li>▪ Visibly supports the project to their program areas and keeps them informed</li> <li>▪ Follow the Governance and Vendor Partnership Principles</li> </ul>
<b>Project Support Staff</b>	<ul style="list-style-type: none"> <li>▪ Provides support to the Project Director</li> <li>▪ Provides administrative support in facilities, human resources, equipment inventory, and purchasing supplies</li> </ul>
<b>SharePoint Administrator</b>	<ul style="list-style-type: none"> <li>▪ Administer and maintain individual sub-sites</li> <li>▪ Modify security for sub-sites when change in access has been approved by project managers</li> <li>▪ Produce content for project and sub-sites</li> <li>▪ Define storage requirements for sub-sites (allocate size limit for sub-groups)</li> <li>▪ Designate content approval process for sub-sites</li> <li>▪ Create/modify retention policies for sub-sites</li> <li>▪ Archive and destroy records, as appropriate</li> </ul>
<b>Technical Analyst</b>	<ul style="list-style-type: none"> <li>▪ Evaluates system specifications for business requirements</li> <li>▪ Provides technical subject matter expertise</li> </ul>

Roles	Responsibilities
<b>Technical Lead Analyst</b>	<ul style="list-style-type: none"> <li>▪ Leads the technical analysts</li> <li>▪ Provides technical subject matter expertise</li> </ul>
<b>Technical Workgroups</b>	<ul style="list-style-type: none"> <li>▪ Refines business problems and opportunities including confirming anticipated revenue benefits to ensure the right business problems are being solved and that the benefits are substantial enough</li> <li>▪ Defines current and future work processes</li> <li>▪ Participates in joint application design (JAD) sessions to better ensure the solution will meet BOE's needs</li> <li>▪ Participates in user acceptance testing to better ensure the solution is meeting BOE's needs</li> <li>▪ Assists in the review of user training deliverables to ensure BOE staff will be able to use the solution effectively and quickly</li> </ul>
<b>Technology Project Manager</b>	<ul style="list-style-type: none"> <li>▪ Liaison to BOE technical managers</li> <li>▪ Final review of all technical deliverables and ensures development and quality of business project deliverables</li> <li>▪ Provide updates and escalates issues as needed to the Project Director</li> <li>▪ Work with project manager to update schedule and ensure technical activities are executed and updated to reflect project needs</li> <li>▪ Review project risks; establishes and implements mitigation and contingency procedures</li> <li>▪ Fulfill technical resource needs</li> <li>▪ Handles administrative needs of the technical team members</li> </ul>

# 11 Appendix D – Human Resource Assignment Matrix

Human Resource Assignment Matrix P- Primary Responsibility A- Approval Responsibility S - Supporting (Consulting) Responsibility I - Information Only	Board Members	BOE Project Oversight	Business Project Manager	Communications Lead	Change Control Board	Contract Manager	Data Architect	Executive Advisor	Executive Director	Executive Steering Committee	External Affairs	Facilities Coordinator	Functional Workgroups	Human Resources Division	Independent Project Oversight Consultant (IPOC)	Legal	Librarian	Office Support	Procurement Lead	Procurement Support	Project Director	Project Management Support	Project Sponsors	SharePoint Administrator	Technical Analyst	Technical Lead Analyst	Technical Workgroups	Technology Project Manager
	Project Compact	I	I	P		I	I		S	A	A							I				A		A				
Project Setup Checklist		I	P		I	I				I							I				I		I					P
Project Management Plan		I	P		I	I		S	I	I				I	I		I				A		A		I	I		P
Work Breakdown Structure		I	P		I	I		S	A	A					I		I				A		A		I	I		P
Project Schedule		I	P		I	I		S	A	A					I		I				A		A		I	I		P
Kickoff Meeting		I	P	S						I							I				I		I					P
Risk Identification		I	P		I	I		I		I					I		I				I							P
Risk Log		I	I		I	I		I		I					I		I				I							I
Issue Log		I	I		I	I		I		I					I		I				I							I
Change Request		I	S		A	I		I		I					I		I				I							S
Change Log		I	I		I	I		I		I					I		I				I							I
Project Quality Reviews		S	S							I					P		I				I							S
Lessons Learned		I	S														I				I							S
Executive Management Status Report	I		I						I								I				P							P
Steering Committee Status Report			I							I							I				P		I					P
Project Sponsor Status Report			I														I				P		I					P

Human Resource Assignment Matrix P- Primary Responsibility A- Approval Responsibility S - Supporting (Consulting) Responsibility I - Information Only	Board Members	BOE Project Oversight	Business Project Manager	Communications Lead	Change Control Board	Contract Manager	Data Architect	Executive Advisor	Executive Director	Executive Steering Committee	External Affairs	Facilities Coordinator	Functional Workgroups	Human Resources Division	Independent Project Oversight Consultant (IPOC)	Legal	Librarian	Office Support	Procurement Lead	Procurement Support	Project Director	Project Management Support	Project Sponsors	SharePoint Administrator	Technical Analyst	Technical Lead Analyst	Technical Workgroups	Technology Project Manager
	Weekly Team Status Report		I	I					I									I				I						
Weekly Team Meeting		I	I					I									I				I							I
Steering Committee Meeting			I														I				P							P
SharePoint Library structure changes			S														P				I	S		S				
SharePoint access changes			S														P				I			S				
Document management			S														P				I			S				
eBoe website updates		I	S	P																	S	I						S
Marketing & Communications Strategy Plan		I	S	P																	S	I						S
Internal Marketing & Communications Materials		I	S	P																	S	I						S
External Marketing & Communications Materials		I	S	P																	I	S						S
Respond to General Vendor Requests			S	P		S															I							S
Inventory of physical data for cleansing/conversion		I	S				S														P	I						S
Data Cleansing/Conversion environment		I	S				S														I	I					P	S
Feasibility Study Report	A	I	P		I	I		S	I	A			I	I	I	I	I			I	A		A				I	P

Human Resource Assignment Matrix P- Primary Responsibility A- Approval Responsibility S - Supporting (Consulting) Responsibility I - Information Only	Board Members	BOE Project Oversight	Business Project Manager	Communications Lead	Change Control Board	Contract Manager	Data Architect	Executive Advisor	Executive Director	Executive Steering Committee	External Affairs	Facilities Coordinator	Functional Workgroups	Human Resources Division	Independent Project Oversight Consultant (IPOC)	Legal	Librarian	Office Support	Procurement Lead	Procurement Support	Project Director	Project Management Support	Project Sponsors	SharePoint Administrator	Technical Analyst	Technical Lead Analyst	Technical Workgroups	Technology Project Manager
	Special Project Report	A	I	P		I	I		S	I	A				I	I	I	I			I	A	P	I				
Pre-Qualified Vendor List		I	P			S		S									I			S	I	I						P
Bidders' Library		I	S														I			I	I							P
Compensation Model		I	P		I	S		S		I						S	I		S	S	A	I						P
Functional Workgroup Requirements		I	S		I	I		I					P				I			I	I	I						S
Technical Workgroup Requirements		I	S		I	I		I									I			I	I	I		S	S	P	S	
RFP Development		I	S			S		S		A			S			S	I		P	I	A	S					S	S
RFP Addendums		I	A			S		S								S	I		P	I	A	S						A
Confidential Discussions		I	S			S		S								S	I		P	S	I	S						S
RFP Evaluation Plan		I	S			S		S		A						S	I		P	S	A	S						S
RFP Vendor Selection		I	S			S		S								S	I		P	S	A	S						S
RFP Selection Report		I	S			S		S								S	I		P	P	A	S						S
Contract		I	S		I	P				A				S	I	S	I		P	S	A	S						S
Contract Amendments		I	S		I	P				A				S	I	S	I		P	S	A	S						S
Business Requirements JADs		I	S		I		I						P		I						I							S
Technical Requirements JADs		I	S		I		I								I						I			S	S	P	S	
Functional Requirements Document		I	S		I	S	I	I					S		I						A						S	S
System Design		I	S		I		I	I					S		I						A						S	S

	Board Members	BOE Project Oversight	Business Project Manager	Communications Lead	Change Control Board	Contract Manager	Data Architect	Executive Advisor	Executive Director	Executive Steering Committee	External Affairs	Facilities Coordinator	Functional Workgroups	Human Resources Division	Independent Project Oversight Consultant (IPOC)	Legal	Librarian	Office Support	Procurement Lead	Procurement Support	Project Director	Project Management Support	Project Sponsors	SharePoint Administrator	Technical Analyst	Technical Lead Analyst	Technical Workgroups	Technology Project Manager	
Human Resource Assignment Matrix P- Primary Responsibility A- Approval Responsibility S - Supporting (Consulting) Responsibility I - Information Only																													
Technical Architecture Document		I	S		I	S	I	I					S		I							A						S	S
Solution Design Document		I	S		I	S	I	I					S		I							A						S	S

## 12 Appendix E – Communications Matrix

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### 12.1 Purpose

Communication Management provides a framework for facilitating communication between all project participants throughout the duration of the Project. This document will address the communication management requirements for all project participants. It only describes the processes and participants involved in formal project communications. Informal communications between participants are not addressed.

### 12.2 Forms of Communication

The following forms (types) of communication vehicles are available as options to use for various project communication activities:

Delivery Method	Description
Email	Electronic communication
Hard Copy	Paper communication
Meetings	An important vehicle to communicate and receive feedback from stakeholders and team members which can be conducted in person or via conference calls.
SharePoint	Document management repository
Telephone	Device for one-on-one communication
Presentations	In person communication to share and obtain information
eBOE	Central electronic location to convey project information to internal stakeholders
BOE Website	Central electronic location to convey project information to external stakeholders
Electronic Post	BOE Website or DGS BidSync
Survey Monkey	Electronic survey tool used to collect and compile the information from stakeholders
WIKI	Electronic tool used for collaboration on a document
Liaisons	<u>BOE</u> CROS Liaisons will be a central point of contact between the CROS project team and BOE staff.

Delivery Method	Description
	<p><u>External Stakeholders</u></p> <p>When appropriate, BOE's relationship with business partners such as FTB, Spidell and CalTax will be utilized to promote the CROS project.</p>
Videos	Videos will be utilized to communicate project information to staff.
Printed Materials	Printed materials including status reports, posters, banners, information sheets, survey cards, newsletters will be used to promote awareness at stakeholder events and in BOE public areas such as field office lobbies.
ListServ/Bulletin	Existing communications to taxpayers will be leveraged to promote awareness and gather input. Examples of existing communications include BOE Updates Listserv, Tax Information Bulletins, eServices and email communications.
Social Networking	Popular social networking tools such as Facebook, Twitter, etc. will be used to promote the CROS project and gain input.
News Releases	News releases will be used to communicate information to the media and the general public, when appropriate.

### 12.3 File Naming Conventions

For the standardization and organizational purposes, the CROS Project will utilize a standard naming convention for all files as outlined below.

Documentname date (ex. CROS Project Management Plan 04282011)

### 12.4 Communication Distribution Lists

The table below identified the distribution lists used within the Project. Each distribution list is created and stored as an email group on the BOE's email system.

Distribution List	Member(s)	Distribution List Name
<b>Board Members</b>	BOE Board Members, Project Sponsors, Project Director	<b>CROS-Board Members (Sponsors and Director's local PC's only)</b>
<b>Executive Steering Committee</b>	Executive Director, BOE Deputy Directors, Research and Statistics Division Chief, Project Director	<b>CROS-Steering Committee</b>

Distribution List	Member(s)	Distribution List Name
<b>Project Sponsors</b>	Sales and Use Tax Deputy Director, Property and Special Taxes Deputy Director, Chief Information Officer, Project Director	<b>CROS-Project Sponsors</b>
<b>Project Managers</b>	Project Director, Business Project Manager, Technology Project Manager, Project Management Support	<b>CROS- Managers</b>
<b>Core Team</b>	CROS Project Team Members	<b>CROS Core Team</b>
<b>Extended Team</b>	CROS Project Members that contribute to the CROS Project deliverables but continue to report outside of the CROS Project	<b>CROS-Extended Team</b>
<b>Consultants</b>	Contractors (for example: Project Management Support, Compensation Model expert, Technology Advisor)	<b>CROS Consultants</b>

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### 12.4.1 Project Communication Matrix

Audience	Product	Purpose <sup>1</sup>	Frequency	Delivery Method	Responsible Party	Responsibility <sup>2</sup>
Board Members	Board Member Status Presentation	A, E	Monthly	Presentation	Project Director	C, D
	Confidentiality and Conflict of Interest Plan	A, E	One-Time	Various	Project Director	C, D
	Project Timeline	A, E, F	Monthly	eBOE	Project Director	C, M
	Project Compact	A, E	One-Time	eBOE	Project Director	C, M
	RFP (public)	A	One-Time	Electronic Post	Project Director	C, D
	Budget Change Proposal	D	As Needed	Hard Copy	Project Director	C, D
	Conceptual Contract Language	D	One-Time	Email	Project Director	C, D

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<sup>1</sup> A-Awareness; E-Education; P-Project Planning; S-Status; F-Feedback; D-Decision/Approval

<sup>2</sup> C-Responsible for Creation; D-Responsible for Dissemination; M-Responsible for Maintenance of the Information

Audience	Product	Purpose <sup>1</sup>	Frequency	Delivery Method	Responsible Party	Responsibility <sup>2</sup>
	Special Project Report	D	One-Time	Email	Project Director	C, D
	Vendor Contract	D	One-Time	Meeting	Project Director	C, D
	Stakeholder Meetings	A	As Needed	Meeting Presentation	Project Director	C, D
	Ad-hoc Communications	A, E, P, S, F, D	As Needed	Various	Project Director	C, D
Executive Steering Committee	Steering Committee Status Update	A, E, S, F	Monthly	Meeting	Project Director	C, D
	Confidentiality and Conflict of Interest Plan	A, E	One-Time	Various	Project Director	C, D
	Communications Matrix	F	One-Time	Meeting	Project Director	D, M
	Project Timeline	A, E, F	Monthly	Website Meeting	Project Director	C, M
	Project Compact	A, E	One-Time	Meeting	Project Director	C, M

Audience	Product	Purpose <sup>1</sup>	Frequency	Delivery Method	Responsible Party	Responsibility <sup>2</sup>
	RFP (public)	A	One-Time	Electronic Post	Project Director	C, D
	Budget Change Proposal	D	As Needed	Email	Project Director	C, D
	Special Project Report	A,E	One-Time	Email	Project Director	C, D
	Change Requests	D	As Needed	Meeting	Project Director	C, D
Project Sponsors	Ad-hoc Communications	S, F	As Needed	Various	Project Director	C, D
	Information Technology Procurement Plan (ITPP)	A, E	One-Time	Email	Project Director	C, D
	Project Oversight Report	F	Monthly	Email	CTA	C, D
Project Director	Project Director Update	S, F	Weekly	Meeting	Business and Technology Project Managers, Project Management Support	C, D
	Information Technology Procurement Plan (ITPP)	D	One-Time	SharePoint	Procurement Advisor	C, D

Audience	Product	Purpose <sup>1</sup>	Frequency	Delivery Method	Responsible Party	Responsibility <sup>2</sup>
	Confidentiality and Conflict of Interest Plan	D	One-Time	SharePoint	Business Project Manager	C, D
	Project Management Plan	D	One-Time	SharePoint	Technical Project Manager	C, M
	Risk Management Plan	D	One-Time	SharePoint	Project Management Support	C, M
	Communication Management Plan	D	One-Time	SharePoint	Communication Lead	C, M
	Document Management Plan	D	One-Time	SharePoint	Project Management Support	C, M
	RFP (final draft)	D	One-Time	SharePoint	Procurement Lead	C, D
	Budget Change Proposal	D	As Needed	Hard Copy	Business and Technical Project Managers, Project Management Support	C, D
	Evaluation Plan and Workbook	D	One-Time	SharePoint	Procurement Advisor	C, D

Audience	Product	Purpose <sup>1</sup>	Frequency	Delivery Method	Responsible Party	Responsibility <sup>2</sup>
	Conceptual Contract Language	F	One-Time	SharePoint	Procurement Lead	C, D
	Special Project Report(s)	D	As Needed	SharePoint	Project Management Support	C, D
	Vendor Contract	F	One-Time	SharePoint	Contract Analyst	C, D
	Protest	A	As Needed	Hard Copy	DGS	D
	Executed Contract	A	One-Time	Hard Copy	Selected Vendor	D
	Stakeholder Meetings	A	As Needed	Meeting Presentation	Communication Lead	C, D
	Project Oversight Report	P	Monthly	Email	CTA	C, D
	Lessons Learned	E	Conclusion of each phase	SharePoint	Project Management Support	C, D
Business and Technical	CROS Core Team Updates	S	Weekly	Various	CROS Core Team	C, D

Audience	Product	Purpose <sup>1</sup>	Frequency	Delivery Method	Responsible Party	Responsibility <sup>2</sup>
Project Managers	Confidentiality and Conflict of Interest Plan	A, E	One-Time	SharePoint	Project Advisor (Legal)	C, D
	Project Management Plan	P	One-Time	SharePoint	Project Director	C, M
	Risk Management Plan	P	One-Time	SharePoint	Project Management Support	C, M
	Communication Management Plan	P	One-Time	SharePoint	Communications Lead	C, M
	Document Management Plan	P	One-Time	SharePoint	Project Management Support	C, M
	Project Schedule	A, E, F, P	Monthly	SharePoint	Project Management Support	C, M
	Project Compact	A, E, F, P	One-Time	Meeting	Project Director	C, M
	RFP (Sections)	D	One-Time	SharePoint	CROS Core Team	C, M
	RFP (Final Draft)	F	One-Time	SharePoint	Procurement Lead	C, M

Audience	Product	Purpose <sup>1</sup>	Frequency	Delivery Method	Responsible Party	Responsibility <sup>2</sup>
	Stakeholder Meetings	A	As Needed	Meeting Presentation	Communication Lead	C, D
	Lessons Learned	E	Conclusion of each phase	SharePoint Meeting	Project Management Support	C, D
CROS Core Team	CROS Core Team Update Meetings	S	Weekly	Meeting	Project Director	C, M
	Confidentiality and Conflict of Interest Plan	A, E	One-Time	Meeting SharePoint	Project Director	C, D
	Project Plans	P	One-Time	SharePoint	Project Director	C, M
	Project Schedule	F	Weekly	Meeting/ SharePoint	Project Director	C, M
Partner Agency						
CTA	WAR Report	S	Weekly	Email	Project Director	C, D
	Monthly Status Report	S	Monthly	Email	Project Director	C, D

Audience	Product	Purpose <sup>1</sup>	Frequency	Delivery Method	Responsible Party	Responsibility <sup>2</sup>
	Service Requests	D	As Needed	Email	Technology Project Manager	C, D
	RFP (Final Draft)	D	One-Time	Email	Project Director	C, D
	RFP Section IV – CROS Proposed Solution	F	One-Time	Email	Project Director	C, D
	RFP Section VII - Cost					
	Special Project Report	D	As Needed	Email	Project Director	C, D
DGS	ITPP	D	One-Time	Email	Project Director	C, D
	RFP (Final Draft)	D	One-Time	Email	Project Director	C, D
	Evaluation Plan and Workbook	D	One-Time	Email	Project Director	C, D
	Compensation Model	D	As Needed	Various	Project Director	C, D
	Selection Report	D	One-Time	Email	Project Director	C, D

Audience	Product	Purpose <sup>1</sup>	Frequency	Delivery Method	Responsible Party	Responsibility <sup>2</sup>
	Statement of Work/Contract	D	One-Time	Email	Project Director	C, D
	Protest (if applicable)	D	As Needed	Hard Copy	Vendors	C, D
EDD, FTB, DMV	Ad-Hoc Communications	A, F	As Needed	Various	Project Director	C, D
	RFP Section IV – CROS Proposed Solution	F	One-Time	Email	Project Director	C,D
	RFP Section VI - Requirements					
DOF	Compensation Model	D	As Needed	Various	Project Director	C, D
	Budget Change Proposal	D	As Needed	Hard Copy	Project Director	C, D
	Special Project Report	D	As Needed	Email	Project Director	C, D
Various	Stakeholder Meetings	A, E, F	As Needed	Meeting Presentation	Communication Lead	C, D
Project Advisors	Requests for Opinions, Analysis, Research	F, P	As Needed	Email Meeting	Project Management Team	C, D

Audience	Product	Purpose <sup>1</sup>	Frequency	Delivery Method	Responsible Party	Responsibility <sup>2</sup>
CROS Workgroups	Confidentiality and Conflict of Interest Plan	A, E	One-Time	Email	Project Director	C, D
	RFP Section III – Current Environment RFP Section IV – CROS Proposed Solution RFP Section VI – Requirements Appendix B – Glossary	F	One-Time	Email/ Meeting	Business and Technology Project Managers	C, D
Management Quality Review Team	Confidentiality and Conflict of Interest Plan	A, E	One-Time	Email	Project Director	C, D
	RFP Section III – Current Environment RFP Section IV – CROS Proposed Solution RFP Section VI – Requirements Appendix B – Glossary	D	One-Time	Email/ Meetings	Business Project Manager	C, D
Evaluation Team	Confidentiality and Conflict of Interest Plan	A, E	One-Time	Email	Project Director	C, D

Audience	Product	Purpose <sup>1</sup>	Frequency	Delivery Method	Responsible Party	Responsibility <sup>2</sup>
	Evaluation Plan and Workbook	A, E, F	One-Time	Meeting	Procurement Advisor	C, D
	Evaluation Training	A, E	One-Time	Meeting	Procurement Advisor	C, D
	Conceptual Proposal	A, E	One-Time	Hard Copy	Vendor thru DGS	C, D
	Draft Proposal(s)	F	One-Time	Hard Copy	Vendor thru DGS	C, D
	Final Proposal	F	One-Time	Hard Copy	Vendor thru DGS	C, D
Vendors	RFP Final/Bidder's Library	F	One-Time	Electronic Post	Contract Analyst	D
	Non-confidential general clarification information (answers to questions)	E	Ongoing	Electronic Post	Procurement Lead	C, D
	Confidential Discussions to Specific Questions	F	As Needed	Meeting	Procurement Lead	C, D
	Bidder's Conference	A, E	One-Time	Meeting	DGS Procurement Analyst	C, D
	Addendum(s)	P	As Needed	Electronic Post	Procurement Lead	C, D

Audience	Product	Purpose <sup>1</sup>	Frequency	Delivery Method	Responsible Party	Responsibility <sup>2</sup>
	Notice of Intent to Award	A	One-Time	Electronic Post	DGS Procurement Analyst	C, D
Selected Vendor	Negotiations	D	As Needed	Meeting	DGS (Office of Legal Services)	C, D
	Contract	D	One-Time	Hard Copy	Project Director	C, D
BOE Staff	Project Status Updates	A, E	Quarterly	Meeting	CROS Liaisons	C, D
	Project Compact	A, E	One-Time	eBOE	Project Director	C, M
	Project Timeline	A, E	Monthly	BOE Website	Project Director	C, M
	CROS eBOE Page	A, E, F	Monthly	eBOE	Communication Lead	C, M
CROS Liaisons	Status Updates and Various	A, E, F	Quarterly	Meeting	Communication Lead	C, D
Supervisors	Status Updates and Various	A, E, F	Bi-Annual	Meeting	Communication Lead	C, D
Administrators	Status Updates and Various	A, E, F	Quarterly	Meeting	Communication Lead	C, D
Business Managers	Status Updates and Various	A, E, F	Bi-Weekly	Meeting	Business Project Manager	C, D

Audience	Product	Purpose <sup>1</sup>	Frequency	Delivery Method	Responsible Party	Responsibility <sup>2</sup>
Managers and Executives	Status Updates and Various	A, E, F	Quarterly	Meeting	Communication Lead	C, D
All External Stakeholders	BOE Website Project Information and Status	A, E, F	Monthly	BOE Website	Communication Lead	C, D
	Stakeholder Meetings	A, E, F	As Needed	Meeting Presentations	Communication Lead	C, D

Draft

### 12.4.1.1 External Stakeholders

Product	Purpose <sup>3</sup>	Audience	Frequency	Delivery Method	Storage Location	Responsible Party	Responsibility <sup>4</sup>
Stakeholder Meetings	A, F	Business Customers (Tax and fee payers, representatives, industry partners, etc.)	As needed	Face to face	CROS SharePoint site	CROS Business Manager	D
Stakeholder Meetings	A, F	Local Jurisdictions and their representatives	As needed	Face to face	CROS SharePoint site	CROS Business Manager	C, D, M
Stakeholder Meetings	A, F	Dependent Government Agencies (agencies that depend on BOE to administer their tax or fee programs)	As needed	Face to face	CROS SharePoint site	CROS Business Manager	D
???		Vendors					
FSR	A	Control Agencies	One time	Route for Approval Electronic and Hard copy	CROS SharePoint site	CROS Project Managers	
SPR	A	Control Agencies	One time	Route for Approval Electronic and Hard copy	CROS SharePoint site	CROS Project Managers	

<sup>3</sup> A-Awareness; E-Education; P-Project Planning; S-Status; F-Feedback

<sup>4</sup> C-Responsible for Creation; D-Responsible for Dissemination; M-Responsible for Maintenance of the Information

Product	Purpose <sup>3</sup>	Audience	Frequency	Delivery Method	Storage Location	Responsible Party	Responsibility <sup>4</sup>
<b>CROS Webpage on BOE's Website</b>	A	All External Stakeholders	Ongoing (update monthly)	Electronic	eBOE	CROS Business Team Lead	

### 12.4.1.2 Recurring Meetings

Meeting Name	Purpose <sup>5</sup>	Audience	Delivery Method	Frequency	Other	Responsible Party	Responsibility <sup>6</sup>
<b>Board Meeting</b>	A	Board Members		Monthly		CROS Lead Executive Sponsor	D
<b>Steering Committee Meeting</b>	A	CROS Steering Committee (DHC including Executive Director)		Monthly		CROS Project Director	D
<b>CROS Sponsors Meeting</b>	A	CROS Executive Sponsors (Deputy Directors for SUTD, PSTD and TSD)		Weekly		CROS Project Director	D
<b>Business Sponsor Meeting</b>	A	Business Sponsors	Face to face	Weekly		CROS Business Manager (Larry Bergkamp)	D

<sup>5</sup> A-Awareness; E-Education; P-Project Planning; S-Status; F-Feedback

<sup>6</sup> C-Responsible for Creation; D-Responsible for Dissemination; M-Responsible for Maintenance of the Information

Meeting Name	Purpose <sup>5</sup>	Audience	Delivery Method	Frequency	Other	Responsible Party	Responsibility <sup>6</sup>
<b>BOE Manager Meeting</b>	A	Managers from non-program areas (Administration, External Affairs, Legal, Executive Director Direct Reports)	Face to face	Monthly		CROS Business Manager	D
<b>Administrators Meetings</b>	A	Administrators from program areas at HQ and Field Offices	Face to face	Quarterly		CROS Business Manager	D
<b>CROS Project Team Meeting</b>	A	CROS Project Core Team members	Face to face	Weekly		Project Director	D
<b>Functional Workgroup Lead Meeting</b>	A	Functional Workgroup Leads	Face to face	Weekly	Through duration of workgroups	CROS Business Lead (Valerie Williams)	D