**PROJECT PLANNING AND DESIGN**

1. **SCOPE**

This Quality Work Instruction (QWI) defines Project Planning and Design as the method to effectively document the steps to plan an Information Technology (IT) Project, finalize the design of the system or product, and establish the baseline budget and schedule within the [0300-0300-005-B PROJECT MANAGEMENT PROCESS](https://it.nc.gov/media/1002/open).

1. **OWNER**
   1. The Enterprise Project Management Office (EPMO) Director owns this QWI. No changes, additions or alterations may be made without the owner’s written approval.
2. **REFERENCE DOCUMENTS**

|  |  |
| --- | --- |
| **DOCUMENT IDENTIFICATION** | **DOCUMENT TITLE** |
| 0100-0800-010-B | **FORMS AND RECORDS CONTROL** |
| 0300-0300-005-B | [PROJECT MANAGEMENT PROCESS](https://it.nc.gov/media/1002/open) |
| 0300-0310-005-C | [PROJECT INITIATION](https://it.nc.gov/media/1003/open) |
| 0300-0310-015-C | [PROJECT FINANCIAL ASSESSMENT](https://it.nc.gov/media/1006/open) |
| 0300-0320-010-C | [PROJECT RFP REVIEW](https://it.nc.gov/media/1024/open) |
| 0300-0320-015-C | [PROJECT CONTRACT AWARD RECOMMENDATION](https://it.nc.gov/media/1026/open) |
| 0300-0360-005-C | [PROJECT CHANGE REQUEST](https://it.nc.gov/media/1120/open) |
| 0600-0600-005-B | **CORRECTIVE ACTION PROCESS** |
| 0810-0810-005-B | [QUALITY CONTROL PROCESS](https://it.nc.gov/media/308/open) |

1. **ASSOCIATED FORMS**

|  |  |
| --- | --- |
| **FORMS IDENTIFICATION** | **FORM TITLE** |
| 0300-0310-015-D | [PROJECT FINANCIAL ASSESSMENT FORM](https://it.nc.gov/media/1007/open) |
| 0300-0320-010-D | [PROJECT RFP REVIEW FORM](https://it.nc.gov/media/1025/open) |
| 0300-0320-015-D | [PROJECT CONTRACT AWARD RECOMMENDATION FORM](https://it.nc.gov/media/1027/open) |
| 0300-0360-005-D | [PROJECT CHANGE REQUEST FORM](https://it.nc.gov/media/1121/open) |
| 0810-0810-005-D | [QUALITY CONTROL DECISION POINTS](https://it.nc.gov/media/309/open) |

1. **DEFINITIONS**

* **NON-RECURRING COSTS:**  ***see Glossary of Terms and Definitions***
* **AGENCY THRESHOLD:** ***see Glossary of Terms and Definitions***
* **EPMO THRESHOLD:** ***see Glossary of Terms and Definitions***

1. **PROCEDURE**

The Project Planning and Design phase is where the Project Manager (PM) and project team organize and develop the plan to meet the project objectives, and revalidates the project scope. For many Information Technology (IT) Projects this will include the procurement strategy and contract award, detailed design plan, project baseline schedule and budget. Throughout this phase the project schedule and costs are monitored in accordance with [0810-0810-005-B QUALITY CONTROL PROCESS](https://it.nc.gov/media/308/open). Prior to the Planning and Design phase, the PM has received State Chief Information Officer (SCIO) “approval to proceed” during the [0300-0310-005-C PROJECT INITIATION](https://it.nc.gov/media/1003/open) procedure.

***NOTE:*** The Financial Assessment Form is completed as a project detail page and sharepoint list in the Touchdown System, but these forms can be used by Project Managers as a template.



* 1. The PM continually refines the initial project budget as the schedule is built and non-recurring costs are identified. The project budget is iterated throughout the Planning and Design phase until the baseline budget is finalized and approved as part of the update to [0300-0310-015-C PROJECT FINANCIAL ASSESSMENT](https://it.nc.gov/media/1006/open).
  2. If the IT Project requires a procurement the following procedure will be performed.
     1. The PM and the project team will gather requirements, write the Request for Proposal (RFP), and follow Agency and Statewide IT Procurement processes. An RFP Review Decision Point (DP), as defined in [0810-0810-005-D QUALITY CONTROL DECISION POINTS](https://it.nc.gov/media/309/open), will be established for review and approval in accordance with [0300-0320-010-C PROJECT RFP REVIEW](https://it.nc.gov/media/1024/open).
     2. For procurements planned during the Execution and Build phase, the PM should estimate the cost of these resources and include them as part of the refined budget.
     3. If refinement of the project budget or schedule results in an EPMO threshold being exceeded for schedule, cost or scope, the PM will follow the [0300-0360-005-C PROJECT CHANGE REQUEST PROCESS](https://it.nc.gov/media/1120/open).
     4. Prior to contract award, a Contract Award DP, as defined in [0810-0810-005-D QUALITY CONTROL DECISION POINTS](https://it.nc.gov/media/309/open), will be established for review and approval in accordance with [0300-0320-015-C PROJECT CONTRACT AWARD](https://it.nc.gov/media/1026/open).
     5. Upon approval of the Contract Award DP, a refined cost estimate and schedule will be established and approved to update the [0300-0310-015-D PROJECT FINANCIAL ASSESSMENT FORM](https://it.nc.gov/media/1007/open).
  3. The PM updates the project schedule outlining the project phases. The project schedule is iterated throughout the Planning and Design phase until the baseline project schedule is finalized and approved as part of the update to [0300-0310-015-C PROJECT FINANCIAL ASSESSMENT](https://it.nc.gov/media/1006/open).
     1. For Agile Development, the PM builds a project schedule that includes “product backlog”, “user stories” and executes the first “sprint” in Planning and Design. Subsequent “sprints” should be scheduled during the Execution and Build phase.
  4. If refinement of the project budget or schedule results in an EPMO threshold being exceeded for schedule, cost or scope, the PM will follow the [0300-0360-005-C PROJECT CHANGE REQUEST PROCESS](https://it.nc.gov/media/1120/open).
  5. The PM finalizes the baseline project schedule and budget in the Touchdown System, and updates the [0300-0310-015-D PROJECT FINANCIAL ASSESSMENT FORM](https://it.nc.gov/media/1007/open). The PM meets with the PMA to review the cost and schedule prior to baselining. If after the review, the project budget or schedule results in an EPMO threshold being exceeded for schedule, cost or scope, the PM will follow the [0300-0360-005-C PROJECT CHANGE REQUEST PROCESS](https://it.nc.gov/media/1120/open). This must be done prior to baselining of the project schedule and budget.
  6. If required, the EPMO provides Corrective Action requirements in accordance with **0600-0600-005-B CORRECTIVE ACTION PROCESS**.

1. **RECORDS**

**7.1** Unless otherwise specified in this Procedure/QWI, Records shall be maintained in accordance with

**0100-0800-010-B FORMS AND RECORDS CONTROL** procedure.

**8.0 REASON FOR CHANGE**

**8.1** Corrected errors in section 3.0 REFERENCE DOCUMENTS and section 4.0 ASSOCIATED FORMS.

**8.2** Updated section 6.0 PROCEDURE to provide clarification.

8.3 Changed EPMO Manager to EPMO Director.

8.4 Clarified when a Change Request is necessary.