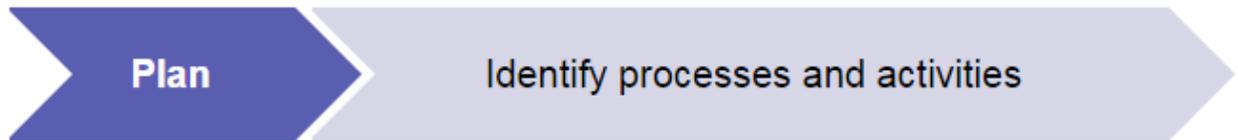




Phase 2: PLAN



The PLAN phase helps your team design the project.

This phase:

- Becomes the foundation for implementation and post implementation management.
- Guides successful completion of essential project work.
- Estimates and Establishes the scope of work, and defining and refining the project objectives.
- Is influenced by the type and construct of the project:
 - For less complex projects, planning activities may require a modest amount of time.
 - For very large and complex projects, the PLAN phase can span multiple years.

This phase of the project develops the course of actions to attain those objectives, and establishes methods for managing and controlling the project.

If your project continues to appear viable and likely to achieve desired results once you finish the PLAN phase, move on to the EXECUTE and BUILD phase.

Key Participants: Sponsor, Project Manager, Organizational Change Manager, Steering Team. Stakeholder(s), Technical Unit, Business Unit, Procurement, and Subject Matter Experts and Consultants (as needed).

Plan Resources

- [1 Sponsor Checklist PLAN](#)
- [2 Phase 2 PLAN General Guidance](#)
- [3 Lessons Learned Recording Tool](#)
- [3 Lessons Learned Tool \(AEC\)](#)
- [4 Market Research - 1. Defined](#)
- [4 Market Research - 2. Fundamental Practices](#)
- [4 Market Research - 3. Checklists and Sample Questions](#)
- [5 Acquisition Plan Template](#)
- [6 Implementation and Transition Plan Template](#)
- [7 Quality Management Plan Template](#)
- [Acceptance Criteria Toolkit](#)
- [Benefits Dependency Network Diagram Guidance](#)



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- [Benefits Dependency Network Diagram Tool](#) 
 - [Benefits Register Toolkit](#) 
 - [Benefits Workbook Guidance](#) 
 - [Change Control Management Plan](#) 
 - [Change Request Form](#) 
 - [Change Request Log Template](#) 
 - [Communication Matrix \(AEC\)](#) 
 - [CommunicationDraftingTemplate \(AEC\)](#) 
 - [Conducting an Analysis of Alternatives](#) 
 - [Contractor Nonemployee Onboarding Checklist](#) 
 - [Defining Deliverables](#) 
 - [Determining Your Procurement Method-Guidance](#) 
 - [Developing and Using Acceptance Criteria Guidance](#) 
 - [Developing Process Maps Guidance](#) 
 - [Evaluating RFP Responses, Recommended Practices for Maximizing Value, Part 1](#) 
 - [Evaluating RFP Responses, Recommended Practices for Maximizing Value, Part 2](#) 
 - [Key Message Worksheet \(AEC\)](#) 
 - [Market Research and Alternatives Analysis Tips \(NEW\)](#) 
 - [OCM Metrics \(AEC\)](#) 
 - [Quality Plan Guidance and Sample Questions](#) 
 - [Readiness Progression Tool \(AEC\)](#) 
 - [Requirements 10 Best Practices](#) 
 - [Resistance Management Worksheet \(AEC\)](#) 
 - [Sample Deliverable Review Process 2017](#) 
 - [Sample Readiness Survey Questions \(AEC\)](#) 
 - [Training Needs Analysis Tool \(AEC\)](#) 
 - [Training Needs AssessmentTemplate \(AEC\)](#) 
 - [Training Plan Instructions \(AEC\)](#) 
 - [Training Plan Template \(AEC\)](#) 
 - [Writing Clear and Effective Statements of Work](#) 

PLAN STEPS:

1. Review the [Sponsor Checklist PLAN](#).
2. Review the [Phase 2 PLAN General Guidance](#) to ensure familiarity with the process.
3. [On-board](#) the project team.

A formal kickoff for stakeholders and non-project team participants may be needed if the project is large and/or complex. The on-boarding is performed by the project manager.



4. Define the current state and "to be" future state using the Developing Process Maps guidance.

Map the current state to help support design of the desired future state. Use a business process reengineering (BPR) evaluation, which documents the current processes and business needs, and identifies where waste, redundancy, and inefficiency may exist.

Then, the focus shifts to identifying the desired future state and analyzing the gaps between the "as is" and "to be" states. BPR does not eliminate all manual processes and some new processes may be a combination of manual and automated activities.

The sponsor and project manager, with assistance from other key participants, diagram the current state and the desired future state. These diagrams are used to help define the depth and breadth of organizational change that will likely need to occur. In projects involving end user organizational change in multiple agencies, each agency should conduct its own development of process maps upon commencement of its portion of the project.

Participants from the diagramming event should also develop an outline of key process changes and other factors that will need to occur during implementation and document them in the project plan for later reference. Dependencies should be highlighted to ensure that critical steps are not overlooked. Similarly, stakeholders not immediately involved in the process should be considered, in the event that a process change in one function has a significant impact on another.

5. Complete the Benefits Dependency Network Diagram tool using the Benefits Dependency Network guidance. Use the information to update the Business Case.

Use the benefits dependency network diagram to illustrate the logical relationship between and among desired outcomes and other tasks that have a direct or indirect relationship to a project benefit and which must occur in order for the benefit or outcome to be achieved.

6. Outline the project deliverables and document them in the project plan.

A deliverable is a unique and verifiable product, result, or capability to perform a service that is required to be produced to complete a process, phase, or project. A deliverable is a work product produced by a project team, team member, contractor, or consultant in accordance with the terms of their requirements or contract. This is performed by the project manager, sponsor and project team.

7. Define Business Requirements. Also, review Contracting for Value guidance.



A business requirement can be a condition or capability that is required to be present in a product, service, or result to satisfy a contract or other formally imposed specification. These may be used to evaluate to what extent a solution offered addresses the problem. Business requirements grow out of the project vision, which in turn, is driven by mission, or business goals and objectives.

8. Identify measurable benefits/key performance indicators (KPIs) and document them in the [Benefits Register](#) toolkit.

Benefits are measures of success that may be defined by lower level metrics. They will be used to ascertain if the solution is performing as desired. This is performed by the project team, in consultation with the sponsor and key participants and business/process representatives. See also the [Benefits Workbook Guidance](#).

9. Begin documenting lessons learned using the [Lessons Learned](#) tool.

Lessons learned may be collected throughout the project at various, different types of meetings and events, or at separately scheduled sessions at the conclusion of each phase. Maintaining lessons learned throughout the project allows the team to recalibrate future phases to address issues that may have arisen and ensure that lessons learned will not be forgotten. This is performed by the organizational change manager.

10. Evaluate OCM progress using the [Readiness Progression](#) tool.

11. Document relevant organizational change management (OCM) metrics in the [OCM Metrics](#) tool.

The organizational change manager begins to identify and document relevant OCM metrics to ensure that the leading indicators for people readiness and organizational adoption are achieved.

12. Complete the OCM [Communication Matrix](#) and project plan communication matrix. Use the [Key Messages](#) worksheet to outline critical messaging and apply the [Communication Drafting Template](#) to stage external communications.

These are revisited at each project phase. The OCM communications matrix uses the communications drafting tool to begin pre-positioning communications. It defines and documents the business-side communication requirements and the approach for how information will be distributed. It describes the communication needs and expectations for the people side of change; how and in what format information will be communicated; when and where each communication will be made; and who is responsible for providing each type of communication.

The project manager creates a separate, parallel communications plan specific to project status and activities. These communications are generally targeted to



technical or project team audiences and address things like schedule, scope, and technical issues.

13. Begin the [Resistance Management Worksheet](#).

The organizational change manager begins work on resistance management techniques, with the involvement of the sponsor.

14. Begin the [Training Needs Analysis](#).

The organizational change manager begins work on the training needs analysis which will be updated, finalized and used as the basis for training development during the EXECUTE and BUILD phase. Additional tools include the [Training Needs Assessment Template](#), [Training Plan Template](#) and [Training Plan Instructions](#).

15. Conduct additional, more targeted Market Research. See [Market Research Defined, Fundamentals, Checklists and Sample Questions](#), and [Market Research and Alternatives Analysis Tips](#).

Market research is a key factor in maintaining competitiveness. Market research provides important information to identify and analyze the market competition. Project teams should document the market research in a manner consistent with the market research guide.

16. Conduct an [Analysis of Alternatives](#) and document the results of the analysis.

This entails breaking down a complex situation to generate different solutions and approaches in order to evaluate the impact of trade-offs. Various alternatives are often based on the results of the market research. The team should document the alternatives analysis in a manner consistent with the alternatives analysis guide and attach the results to the task in your project management software and submit it with the phase review information.

17. Complete the [Acquisition Plan/ Sourcing Strategy](#) and write your [statement of work](#).

This documents cost, schedule, technical, business, management, and other considerations that will govern an acquisition program. It summarizes the acquisition planning discussions and identifies milestones in the acquisition process. A successful acquisition is based on a sound sourcing strategy and the development of the sourcing strategy requires a thorough understanding of the project, a conceptual understanding of the resources required to deliver that strategy and the market forces that the sourcing strategy will use. This is completed after project team, sponsor and steering committee have studied and selected a preferred approach.



Once the acquisition plan is complete, the team begins to develop the procurement documents (RFx) in accordance with state and agency policy. See also [Determine Your Procurement Method](#).

18. Develop and document deliverable acceptance criteria using the [Acceptance Criteria Toolkit](#) and [Developing and Using Acceptance Criteria](#) guidance.

These are the performance requirements and essential conditions that must be achieved before acceptance of project deliverables. See also [Sample Deliverable Review Process](#).

19. Begin work on the [Implementation and Transition Plan](#).

This is updated post-sourcing and during EXECUTE and BUILD.

20. Develop the [Quality Management Plan](#) using the [Quality Plan Guidance and Sample Questions](#).

This describes how an organization's quality policies will be implemented and defines how quality will be managed throughout the project lifecycle to meet the stated quality definition, and the committed intent and requirements from a sponsor, stakeholder and or customer point of view. This is completed by the project manager.

21. Complete the PLAN phase review.

The PLAN phase review is a formal examination of planning deliverables to ensure the project is well planned and basic project management principles have been applied before advancing to the next phase of the project.

The sponsor approves the required PLAN deliverables and the project manager submits the materials to agency governance for review.

At the completion of the PLAN phase, approval to proceed by agency governance releases funding for the EXECUTE and BUILD phase.

22. Release a request for services to the market.

The RFx may be developed during the sourcing strategy and acquisition plan development and should accompany the PLAN phase deliverables for review by governance before being released to the market.

Prior to writing your RFx, review the guidance on Writing Clear Statements of Work, RFP Basics, and Performance Contracting.

Prior to the RFx response review, sponsors may find it advantageous to supply evaluators with [Evaluating RFP Responses Part 1](#) and [Part 2](#).