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State of Louisiana
Office of Information Technology

IT Consolidation

Project and Portfolio Management Strategy

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1.0 Purpose

The Project and Portfolio Management Strategy documents the structure, processes, and resources that will be used to manage portfolios, execute projects and create deliverables that meet project delivery requirements. This document provides a framework for State of Louisiana Central IT and Agency Program and Project Managers to use to help deliver projects with a consistent set of tools and processes. Through the use of these tools and templates the State of Louisiana can improve the quality of the delivery of projects and have a framework for evaluating portfolios to make prioritization decisions.

The Project and Portfolio Management Strategy should be considered the primary source of guidelines, tools and templates that Program and Project Managers should use to manage portfolios and projects. This document includes guidelines to make portfolio decisions, help prioritize projects and make spending decisions. It also includes a framework to structure project organizations, develop Work Plans, manage project deliverables, and develop project controls for action items, decision making and change control. It also contains a framework to manage project documents, track financials and communicate status and responsibilities of a project. The State of Louisiana's Central IT Organization and Agency project managers will utilize the Project and Portfolio Management Strategy for each project managed within the scope and control of Central IT as well as other projects within the State agencies.

2.0 IT Project and Portfolio Management Framework and Process

2.1 Project/Investment Portfolio Management for IT at the State of Louisiana

Portfolio management can help the State of Louisiana make more effective strategic investment decisions and assign project priorities in a holistic manner across a spectrum of IT initiatives that support a mixed set of objectives.

2.1.1 Figure 1. Portfolio, Program, and Project Management Illustration

2.2 IT Project/Investment Classification and Prioritization Framework

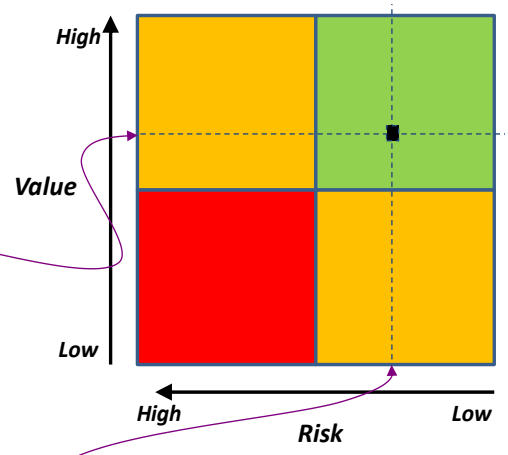
The following framework illustrates the structure and attributes of a project/investment scoring and prioritization system, organized around the two dimensions of “value” and “risk”. A number of criteria have been defined under each dimension, and a weighted scoring system is provided to arrive at a composite score for relative ranking of an investment or project within the portfolio. This framework has been adapted to

a state government context and can serve as a starting point for developing a definitive framework for the State of Louisiana's Central IT Organization. The implementation of such a framework may be facilitated by following a phased approach, whereby a simpler evaluation is implemented initially, while Project Portfolio Management (PPM) processes and tools are matured, and subsequently evolved into a more comprehensive system such as the one illustrated below.

2.2.1 Figure 2. Preliminary IT Project/Investment Scoring and Prioritization Framework

Value Scoring Model			
Criteria	**Weight**	**Score [1 –> 5]**	**Weighted Score**
Economics - ROI	___%		
Economics - Payback period	___%		
Fit with State Goals	___%		
Foundation-builder	___%		
Number of affected agencies	___%		
Totals	100%		V

Risk Scoring Model			
Criteria	**Weight**	**Score [5 –> 1]**	**Weighted Score**
Complexity	___%		
Capability (resource and skill set availability)	___%		
Project Interdependence	___%		
Executive sponsorship	___%		
Totals	100%		R



Each new project is placed on the grid containing the full portfolio of requested and active projects, to assist with comparative evaluation and prioritization

2.2.2 Figure 3. Definition and Description of "Value" Criteria

Criteria	Definition	Scoring	Weight
1) Economics – ROI	Evaluation of the projected ROI of projects	5 = ROI forecasted is higher than 15% 3 = ROI forecasted is between 10% and 15% 1 = ROI forecasted is less than 10% (negative NPV) OR no financial benefits information estimated yet	30%
2) Economics – Payback period	Time to benefits realization	5 = Payback period is less than 3 years 3 = Payback period is between 3 and 5 years 1 = Payback period is more than 5 years	20%
3) Fit with State Goals	Assessment of the strategic alignment of the project on the State's FY14 strategic goals	5 = Project directly allows the State of Louisiana to reach its (2 highest priority) goals 3 = Project directly allows the State of Louisiana to reach (1 or more of its remaining) goals 1 = Project does not directly support any of the FY14 strategic goals	20%
4) Foundation-builder	Assessment of the ability of a project to support the accomplishment of another project or investment	5 = Project will enable the accomplishment of another critical project 3 = Project enables another investment to some degree but it is not critical 1 = Project does not support the objectives of any other investments	10%
5) Number of affected agencies	Assessment of the number of agencies to benefit from the project	5 = Project will enable the accomplishment of another critical project 3 = Project enables another investment to some degree but it is not critical 1 = Project does not support the objectives of any other investments	20%

Value Criteria: *5 is the best i.e. highest value provided by doing the project (weights are illustrative only)*

2.2.3 Figure 4. Definition and Description of "Risk" Criteria

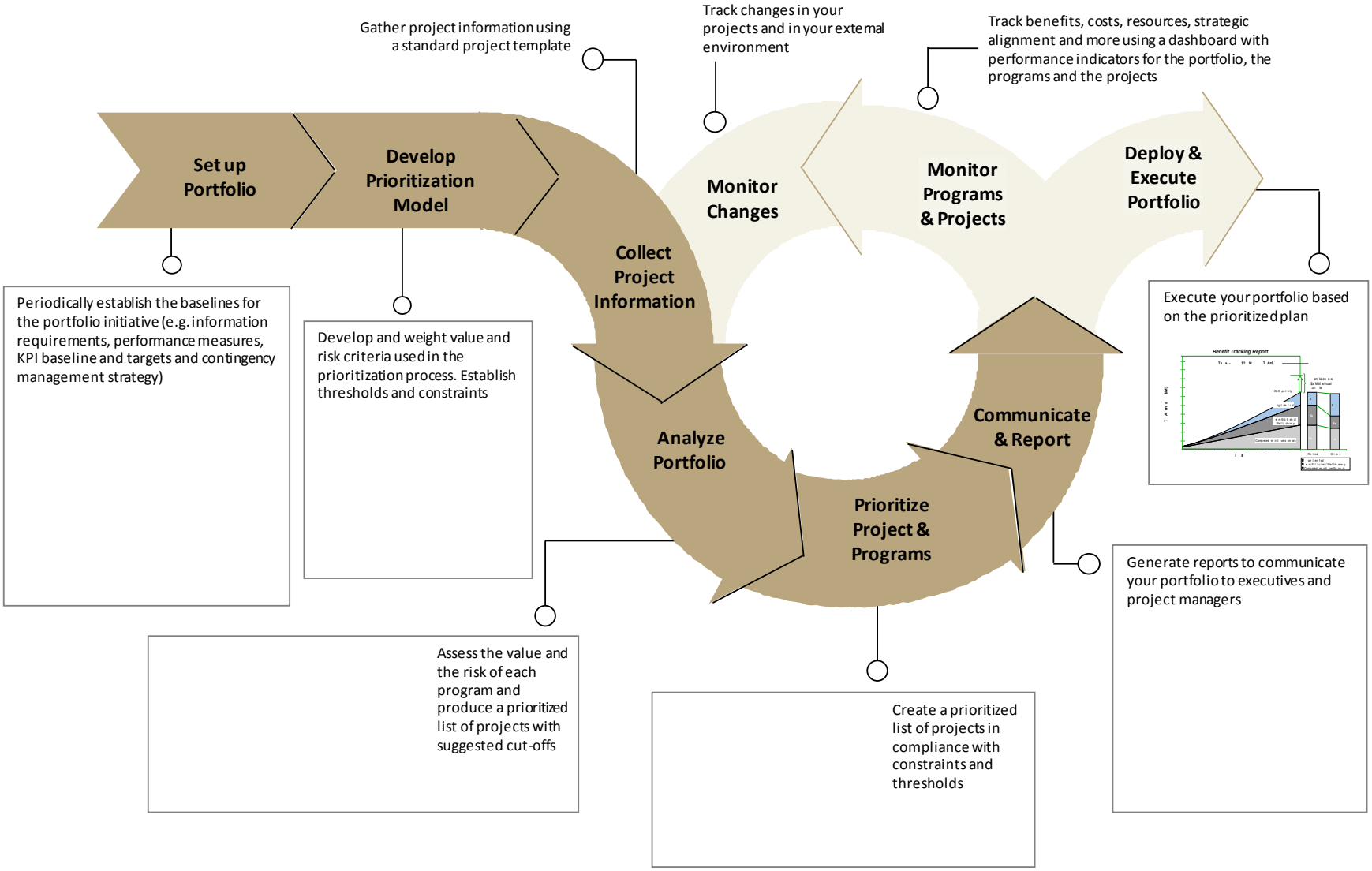
Criteria	Definition	Scoring	Weight
1) Complexity	Evaluates the complexity of the project in terms of project management (planning, execution and control) as well as its technical complexity.	1 = Project planning and execution and technical implications are straightforward. 3 = Project planning and execution and technical implications are moderately difficult. 5 = Project planning and execution and technical implications are complicated.	20%
2) Capability (Resource and Skill Set Availability)	Evaluates the risk associated with the competence, experience or availability of the resources required by the project. Currently available includes internal and the known contract pool.	1 = Resources demand can be fully met by currently available resource supply. 3 = Resource demand can be met >50% by currently availably resource supply AND external resources are available. 5 = Resource demand can NOT be met >50% by currently available resource supply AND external resources are scarce.	40%
3) Project Interdependence	Evaluates the risk associated with the interdependencies with other projects and/or external parties (e.g., other department, other organization). For example, a project may see its success being dependent on the success of another project.	1 = There is no external dependency for the project. 3 = There are weak dependencies or other projects are dependent on the successful realization of this project. 5 = Depends on the successful realization of other external projects.	20%
4) Executive sponsorship	Evaluates the risk associated with the absence of visibility from an executive level sponsor.	1 = Project executive sponsor is identified and engaged. 3 = Executive sponsor is not identified or engaged but business sponsor is identified and engaged. 5 = No project sponsor has been identified.	20%

Risk Criteria: *1 is the best i.e. lowest risk of doing the project (weights are illustrative only)*

2.3 Illustrative IT PPM Lifecycle

The following diagram depicts a leading-practices based full lifecycle for Project Portfolio Management, including sample tools and templates for each phase. A similar lifecycle process should be established for enterprise and cross-agency IT projects for the State of Louisiana, to enable on-going adjustments to the portfolio to maximize the benefits to the State while controlling risk to acceptable thresholds. Consistent with the objective of maximizing the State's return on budget-constrained IT funding, continual review of project performance should be conducted and decisions made about the priority of individual projects and programs. This will result in changes to the composition, priorities, and timing of elements of the portfolio.

2.3.1 Figure 5. Illustrative IT PPM Lifecycle Diagram

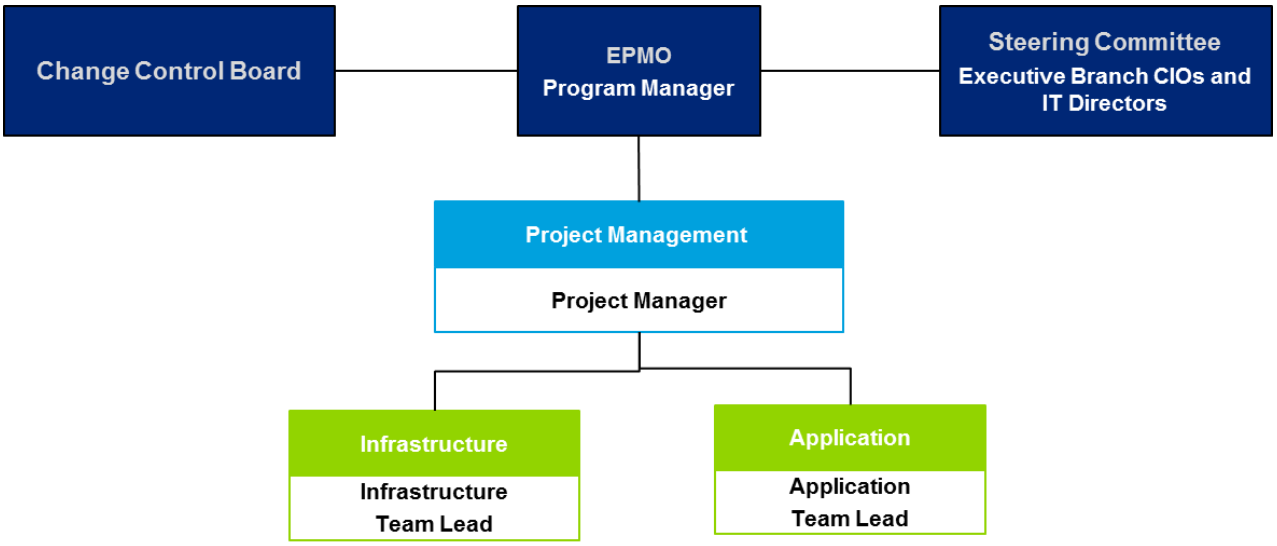


3.0 Project Organization

3.1 Project Organization and Governance

A project organization chart should be created for all projects that shows the reporting relationships of the project team members and their areas of responsibilities. A sample project organization chart is shown below. Project escalation procedures are directly aligned with the project governance hierarchy.

3.1.1 Figure 6. Sample Project Organization Chart



The subsequent sections describe the key roles and project groups presented above in more detail, using the following table structure:

Members	Specific project individual(s) serving in the role or group.
Accountabilities	Duties and responsibilities of the role or group, i.e., what the role or group is accountable for on the project.
Relationships	Description of the relationships the role or group has with the project, as well as how interactions and/or communications between roles/groups will be handled.

3.1.2 Project Sponsor and Governance Bodies

3.1.2.1 Central IT and Department Executives

Member(s)	• State of Louisiana Chief Information Officer (Office of the Commissioner, Division of Administration) and/or Department CIOs and IT Directors
Accountabilities	• Fund the project • Sponsor the project • Provide strategic direction for the project • Promote the long-term vision for the project solution in the client organization • Realize and sustain the project business case benefits • Resolve escalated project issues in a timely manner
Relationships	• Highest level of authority for the project • Provide guidance and/or decision-making for high-impact project issues and escalated project requests • Joint leadership guidance and decision-making if participating in project governance bodies like the steering committee and/or Change Control Board (CCB) • Communicate directly to the project through face-to-face meetings or webcasts; also through the project manager and Enterprise Program Management Office (EPMO) communications channels • Confirm and validate appropriate participation by State of Louisiana/Central IT resources not assigned to the project full-time

3.1.2.2 Project Change Control Board (CCB)

Members	• State of Louisiana project sponsor (chair) • State of Louisiana/Central IT project manager • State of Louisiana/Central IT functional lead • State of Louisiana/Central IT technical lead • State of Louisiana/Central IT organizational change management (OCM) team lead • Any necessary contract resources, including program manager(s), project manager(s), and subject matter expert(s)
Accountabilities	• Review project change requests in terms of their impact to the baseline schedule, cost, scope, and quality versus their expected benefits or necessity to stay aligned with the project's business objectives • Recommend disposition of change requests to the project sponsor
Relationships	• Change control authority for the project • Communicate to the project through the project manager and EPMO • Meets monthly (or ad-hoc for urgent change requests)

3.1.3 Project Management Office (EPMO)

3.1.3.1 Program Manager

Members	• State of Louisiana/Central IT program manager
Accountabilities	• Promote and maintain project method(s), tools and standards • Manage project policies and compliance • Maintain and deliver project onboarding and offboarding • Maintain and deliver project training • Define and execute project quality procedures and measures • Produce and distribute project reporting and communications
Relationships	• Provide project status reports and communications • Support project manager and team leads • Respond to project governance body information requests • Meets weekly to report project progress and identify corrective actions

3.1.3.2 Project Manager

Members	• State of Louisiana/Central IT project manager • Any necessary contract project management resources
Accountabilities	• Direct overall project success • Deliver a high-quality project solution • Direct project efforts to realize the business case for the project • Manage the project schedule, scope, budget, and quality so they align with leadership expectations • Manage project team performance, training, mentoring and reputation • Coordinate project team interaction with non-project team stakeholders when necessary
Relationships	• Supervise project team • Report to Program Manager • Report to governance bodies and project sponsor • Client liaison and relationship manager

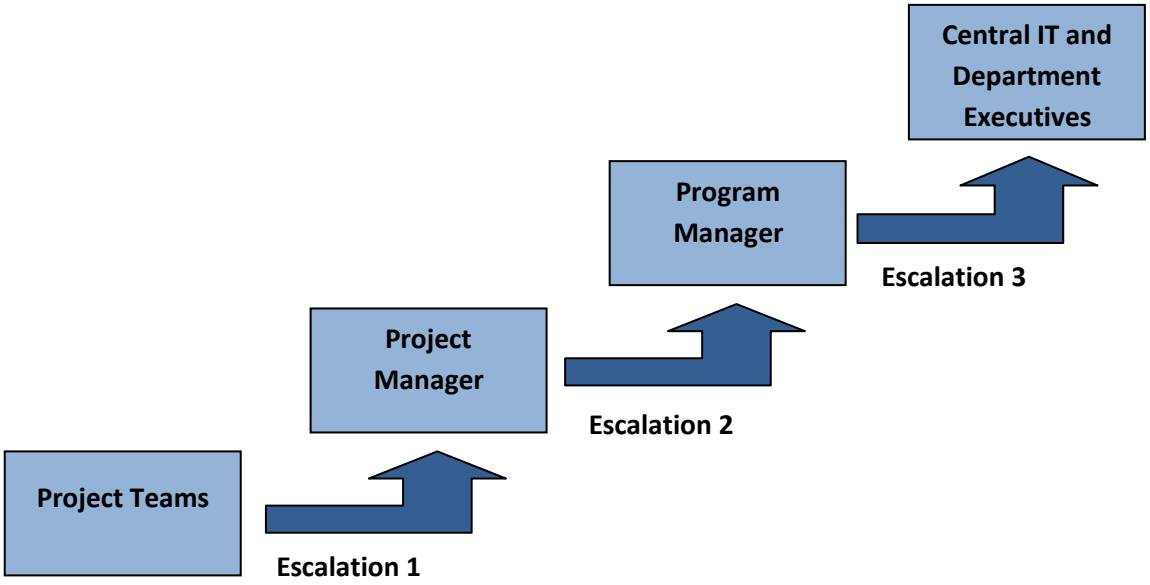
3.1.3.3 Other Project Teams

3.1.4 Team Leads and Project Teams

Members	• Team Leads as necessary (i.e. Technical, IT Process, Change Management)
Accountabilities	• Complete assigned project work and deliverables, following project standards and processes • Understand, accept, and consistently follow project procedures and protocol when performing daily project work, particularly regarding project controls (i.e., risks, issues, action items, decisions, and change requests) and developing project deliverables • Address assigned risks, issues, action items, decisions, and approved change requests • Identify new project control requests when necessary • Suggest project process improvements when appropriate
Relationships	• Provide weekly status to the project manager • Project team members report to their team leads; team leads report to the project manager

3.2 Project Escalation

Proper, timely escalation of project risks, issues, decisions, and change requests is critical for keeping a project on track. The project escalation levels are described below.



The table below describes the overall project escalation levels by process and threshold/criteria. A "control" is an item identified and monitored per the Project Controls Plan (see Section 6).

Level	Escalation Process	Thresholds / Criteria
Project Teams to Project Manager	**Escalation 1:** Team leads escalate controls to the project manager	Project controls will be escalated to the project manager when: • The control impacts scope, schedule, budget or quality of the activity or deliverable
Project Manager to Program Manager	**Escalation 2:** Project manager escalates controls to the program manager	Controls will be escalated to the EPMO when: • The control cannot be resolved by the team or project manager, and the control priority/criticality is not "low."

Level	Escalation Process	Thresholds / Criteria
		• The control priority is critical.
Program Manager to Central IT and Executive Leadership	**Escalation 3:** The program manager will determine when controls need to be escalated to Central IT and Executive Leadership. To escalate a control to the executive leadership, the program manager will: 1. Confirm that the control documentation is complete. 2. Present the control, alternatives and recommendation to the executive leadership or project sponsor.	Controls will be escalated to Central IT and Executive Leadership when: • The issue cannot be resolved at lower levels and the priority is not low.

4.0 Project Work Plan Approach

4.1 Project Escalation

4.1.1 Standard Project Work Breakdown Structure (WBS)

The project's Work Plan will be deliverable-based. The standard work breakdown structure (WBS) is illustrated below:

Level	Definition	WBS Format
0	Project/Release	<Name>
1	Phase	X
2	Discipline	X.XX
3	Sub-discipline	X.XX.XX
4	Task	X.XX.XX.11111
5	Deliverable / Work Product / Activity	X.XX.XX.11111.1111
6	Step	X.XX.XX.11111.1111.111

4.1.2 Master Plan

The project manager will develop a Master Plan (a Gantt chart in MS-Project) that reflects the schedule for the phases, major activities, and deployments. The Master Plan will contain key project milestones and summarize the critical path schedule for the project.

The Master Plan will be reviewed, approved, and archived. On an ongoing basis, the Master Plan will be maintained to reflect changes to the underlying schedule that may result from the approved Work Plans.

4.1.3 Work Plan(s)

The project manager will develop a single end-to-end Work Plan (in MS-Project) during startup. This Work Plan will adhere to the standard WBS format and contain phases, major activities (as documented in the Master Plan), deliverables, and major milestones for planned project phases. Each task will include work (effort), high-level dependencies, and responsible team (individual, resource assignments will be added in the next step).

The end-to-end Work Plan will be refined to include additional detail (including work products and resource assignments) prior to the start of each phase. This refined Work Plan will be deliverable-based and will guide the day-to-day execution of the project. The additional details will be created by augmenting the end-to-end Work Plan, such that current phase tasks have more granularity than later phase tasks. As tasks are refined and additional detail added, the effort estimates for each task will be confirmed and adjustments made to the work, resources, or schedule if preliminary effort estimates are changed.

The following table notes the timing and scope to be planned during these refinement activities:

Work Plan Refinement Timing	Work Plan Refinement Scope	Notes
Prior to start of Requirements Phase	Requirements Phase	Some activities for the phase might be initiated prior to work plan refinement

Work Plan Refinement Timing	Work Plan Refinement Scope	Notes
Prior to start of Design Phase	Design Phase	Details of the Design Phase will be developed and the Build, Test and Deployment phases will be reviewed for accuracy
Prior to start of Build Phase	Build Phase	Details of the Build Phase will be developed and the Test and Deployment phases will be reviewed for accuracy
Prior to start of Test Phase	Test Phase	Details of the Test Phase will be developed and phase will be reviewed for accuracy
Prior to start of Deployments (Final Prep / Go-Live & Support phases)	Final Prep / Go-Live & Support for Deployments	Details of the Deployment Phase will be developed

The project manager will develop a work plan (in MS-Project) for each project phase prior to the beginning of the phase (except for the Requirements phase which will be completed during the first part of the Requirements phase). Each phase of the work plans will align with the Master Plan and adhere to the standard WBS guidelines. These plans will direct the day-to-day execution of the project. The work plan for each project phase will be deliverables-based and include project team deliverables, as well as tasks (or milestones) for external dependencies (e.g., the date by which a non-project team entity must complete an essential activity). As phase-level work plans are created, the effort estimates for each task will be confirmed and adjustments made to the work, resources, or schedule if preliminary effort estimates are changed.

Work plans will contain:

- Tasks
- Milestones – zero effort/zero duration tasks that identify:
  - Project Start and Project Finish
  - Phase completions
  - Deliverable or event-based payments
  - Other key events (e.g., Go-Lives, Kick-Offs)
- Work (the total effort in hours for each task or task instance)
- Duration (the span in days between the Start and Finish date of each task)
- Dependencies (a set of predecessors and successors that define the critical path of the project)
- Responsible resources (the responsible resource for each task or task deliverable)

Each Work Plan will be reviewed by the EPMO and the project managers and revised based upon feedback while maintaining the overall signed-off schedule.

4.2 Project Work Plan Management

Each week, the current task assignments will be published to the designated responsible individuals, progress will be tracked in the Work Plan, schedule performance will be analyzed, and the Work Plan will be revised (if necessary) to reflect current conditions. The table below highlights each of these steps, the responsible individual for each, and the timing.

4.2.1 Weekly Work Plan Management Process

Manage Work Plan Step	Description	Responsible	Timing
Publish Assignments	The tasks scheduled to be performed during the next two weeks are disseminated to the project team.	Project Manager(s)	Tuesday morning
Track Progress	Planned responsible individuals update Team Leads on the progress of assigned tasks. Updates will forecast status as of the end of the work week.	Planned Responsible Individuals	Friday by Noon
Weekly Work Plan Reviews	Team Leads review and QA progress tracking updates.	Team Leads	Friday by COB
Analyze Progress and Performance	The integrated progress tracking is reviewed to determine the impact upon the project schedule.	State of Louisiana/Central IT Project Manager	Monday by Noon
Re-plan	Project leadership adjusts the Work Plan (if necessary) in light of changing circumstances.	State of Louisiana/Central IT Project Manager Team Leads	Monday afternoon

To accomplish the above activities, the following will be performed:

- Publish Assignments – the Work Plan for each phase will be distributed to the project team at the start of the project phase.
- Track Progress – each responsible individual will be responsible for updating Team Leads on the status of his/her assigned tasks:
  - Update Percent Complete – indicate the percentage of work that is complete for the designated task.
  - Document Estimated Finish Date (if required) – this field should only be populated if the task being updated is projected to be finished on a date that is after the currently planned finish date.
- Analyze Performance – the project manager will leverage existing dashboards and MS-Project capabilities to review the Work Plan after the track progress activity is complete. This analysis will consider:
  - Critical Path
  - Late/slipping Tasks
  - Deliverable Completion Rate
  - Earned vs. Planned work
- Re-plan – the project manager will review the latest Work Plan in MS-Project after incorporating progress tracking updates (including adjusting planned durations of tasks that have a revised estimated finish date). This review will evaluate currently planned vs. baseline dates for milestones to determine if actual progress is impacting critical dates. If issues are identified, the project manager will revise the phase Work Plan (e.g., add lag, adjust assignments, augment resources, etc.) to bring the schedule back in line.

- The project manager also needs to adjust the Work Plan during re-planning to implement any approved change requests for the project received that week.

Upon completion of the re-plan activity, the State of Louisiana/Central IT project manager will review any work plan changes. During this review, any concerns or issues about late/slipping tasks will be discussed, and corresponding corrective actions will be identified. The revised Work Plan will be re-baselined and archived with documentation of State of Louisiana project manager approval. The Master Plan will be adjusted, if required, in order to stay aligned with the Work Plan. [Note: The Work Plan will be archived weekly regardless of whether or not any re-planning was required.]

5.0 Project Deliverable Management Plan

This section describes the processes, assets, and protocols to develop and manage project deliverables through acceptance.

The outcome of each project task is categorized as one of the following:

- Deliverable: A document which requires formal sign-off
- Work Product: A document which does not require formal sign-off. Work products will still be reviewed with State of Louisiana/Central IT leadership to confirm alignment.
- Activity: May or may not result in a document generated. Does not require formal sign-off.

Deliverable Management is a four-step process:

5.1 Define Deliverable Expectations

The project team collaborates to complete the Deliverables Log at the beginning of each phase. The Deliverables Log will include the project deliverables that require sign-off.

The Deliverables Log documents deliverable expectations, including:

- Deliverable templates – links to the deliverable templates created for the project by tailoring the standard method templates to meet project-specific needs, such as the document standard templates.
- Named State of Louisiana/Central IT resources responsible for participating in deliverable reviews.
  - Every deliverable requires at least one deliverable review.
- Named State of Louisiana/Central IT resources accountable for deliverable sign-off.

In cases where the deliverable template and/or acceptance criteria for a deliverable are not available at the time the Deliverables Log is being signed-off, the project manager will:

- Update the status to “Pending” in the deliverable link column for the deferred templates.
- Include a step in the Work Plan deliverable task to “prepare for <deliverable name>” to address the deliverable template and deliverable review/acceptance criteria requirements before work on the deliverable begins.
- In addition to defining templates and review criteria, the prepare deliverable step in the Work Plan will also be used to schedule the effort to:
- Document the deliverable creation and review process (if required).
- Confirm tools are ready (if required).
- Plan and document how status reporting will be performed.
- Deliver any required project team training on the processes, templates, and/or tools.

- Document the template (and review criteria, where applicable) in the Deliverables Log record for the deliverable when they become available.
- Document State of Louisiana/Central IT sign-off of the updated Deliverables Log.

The completed Deliverables Log for each project phase is itself a deliverable. The Deliverables Log will be reviewed and signed off by the State of Louisiana/Central IT project manager. The project manager will then archive the approved Deliverables Log (along with the corresponding Deliverable Sign-off Form or other documented evidence of sign-off for the Deliverables Log) in the appropriate project document repository.

5.1.1 Figure 7. Deliverables Log

Project Deliverables	Internal First Draft Review (Project Team Member Responsible)	Internal First Draft Review (Target Date)	Internal First Draft Review (Actual Date)	Internal Final Draft Review (Project Team Member Responsible)	Internal Final Draft Review (Target Date)	Internal Final Draft Review (Actual Date)	OIT Project Manager Review (Target Date)	OIT Project Manager Review (Actual Date)	OIT Project Manager Sign-off (Target Date)	OIT Project Manager Sign-off (Actual Date)
Sample Deliverable A										
Sample Deliverable B										
Sample Deliverable C										
Sample Deliverable A										
Sample Deliverable B										
Sample Deliverable C										
Sample Deliverable A										
Sample Deliverable B										
Sample Deliverable C										
Sample Deliverable A										
Sample Deliverable B										
Sample Deliverable C										
Sample Deliverable A										
Sample Deliverable B										
Sample Deliverable C										
Sample Deliverable A										
Sample Deliverable B										
Sample Deliverable C										
Sample Deliverable A										
Sample Deliverable B										

5.2 Draft Deliverable

The project team member(s) assigned to the deliverable create(s) the draft deliverable using the appropriate template. This deliverable development step will not start until the template (and any applicable review criteria) has been signed-off, and the reviewers for the deliverable review(s) have been defined.

5.3 Review Deliverable

Once drafted, the deliverable review(s) planned for the deliverable will be performed. The Deliverable Feedback Log will be used to plan the deliverable reviews, as well as document the feedback gathered and track the follow-up required to resolve any defects. The table below outlines instructions for utilizing the Deliverable Feedback Log.

Step	Activity	Owner
1	Submit Deliverable to Reviewer	Project Team
2	Distribute deliverable and tracker to reviewers as appropriate	Project Manager
3	Provide feedback by writing comments into tracker	Reviewers
4	Consolidate review feedback into single version of the tracker	Project Manager
5	Provide feedback by writing comments into in tracker	Project Manager
6	Host meeting to discuss feedback	Project Manager/Project Team
7	Update deliverables in response to feedback	Project Team

In cases where different reviewers have contradictory or mutually exclusive feedback, the project team will work with them to reconcile their feedback. If disagreements remain, an issue will be documented and escalated. Deliverable reviews will be completed in a timely manner, consistent with the durations documented in the table below (Section 5.6).

Once the planned deliverable reviews are complete and the documented feedback has been adequately addressed, the deliverable is ready to be shared with the appropriate State of Louisiana stakeholder(s) for sign-off.

5.3.1 Figure 8. Deliverable Feedback Log

Project Name

CR #	Date Submitted	Submitted by	Deliverable Name	Deliverable Section	Slide or Page No.	Feedback/Change Request Description	Justification for Change	Complete Date	Owner	Status	Priority	Notes
1												
2												
3												
4												
5												
6												
7												
8												
9												
10												
11												
12												
13												
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23												
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25												
26												
27												
28												
29												
30												

Notes

5.4 Sign-off/Accept Deliverable

The State of Louisiana/Central IT resource(s) identified in the Deliverables Log will review the completed deliverable and the documentation supporting the review activities. During the sign-off process, the reviewer may provide additional feedback which will be documented and addressed. The reviewer will sign-off or provide feedback on the deliverable within the time period documented in the table in Section 5.6. Upon completion, the reviewer will document deliverable sign-off by completing the Deliverable Sign-off Form (see attachment).

Once a deliverable is signed off, the project manager will archive the approved deliverable (along with the completed Deliverable Sign-off Form) in the appropriate repository, and any additional changes to the deliverable will need an approved change request.

The State of Louisiana/Central IT project manager is responsible for formal acceptance of deliverables. Deliverables requiring formal acceptance will be presented to the project manager once they have been completed, reviewed, and signed-off, per the preceding steps of the deliverable management process. The project manager will review deliverables submitted for acceptance in a timely manner, and either document formal acceptance or provide specific feedback on what needs to change to make the deliverable acceptable within the time period documented in the table in Section 5.6. The focus of subsequent reviews will be limited to those items changed as a result of the non-acceptance feedback.

5.5 Deliverable % Complete (optional)

As team members draft their work products, they will input the applicable percent complete into the Deliverables Log each week according to the following standards:

% Complete	Deliverable	Major Activity
10%	Started	Started
20%	In Process	Activity Preparations Complete
30%	Drafted	Activity Performed
50%	Team Review Complete	Activity Documented
75%	Team lead sign-off	Activity Follow-Up Complete
90%	Project Manager sign-off	N/A
100%	Completed and stored in document repository	Activity Complete

5.6 Deliverable Process Timing

The following table describes the timing commitments for the review, sign-off, and accept steps in the Deliverable Management process. The time periods in this table begin upon receipt of the deliverable for the designated step. The project manager will construct the work plan dependencies such that successor deliverables can be started once the predecessor deliverable has begun the review process. Changes to the predecessor deliverable that occur as a result of the review and sign-off processes will be incorporated into the development of successor deliverables upon client sign-off.

Deliverable	Deliverable Review	State of Louisiana/OIT Project Manager Sign-off	Project Team Addresses Feedback	State of Louisiana/OIT Project Manager Acceptance or Feedback	Project Team Addresses Feedback
All	5 days	5 days	3 days	5 days	2 days

6.0 Project Controls Plan

6.1 Risk Management

6.1.1 Overview

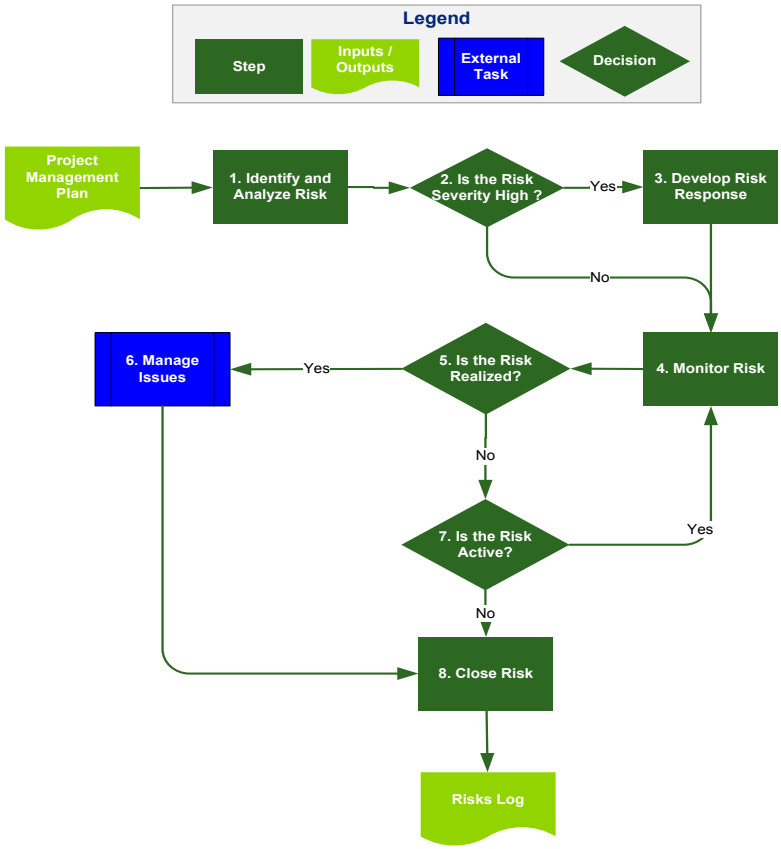
Risks require continual review and assessment throughout the project management lifecycle. As risks are identified and documented, an approach for risk management must be developed with actions determined to avoid, mitigate, or accept each risk depending upon the probability of its occurrence and the magnitude of its impact on the project. Risks that are realized must be addressed via a defined issues management process and in accordance with capturing, reporting, escalating, tracking and resolving realized problems that occur as a project progresses. This process must be in place to manage risks, since they can potentially result in the need for change control and can become major problems if not addressed.

6.1.2 Risk Management

This section documents the process, templates, and tools that the project will use to identify, evaluate, and manage risks throughout the life of projects. A risk is an event that has not occurred that will, if it does occur, impact the project schedule, scope, budget, or quality.

6.1.2.1 Process Summary

The flow-chart below summarizes a project's risk management process:



6.1.3 Identify and Analyze Risk

At the beginning of a project and then weekly during project team meetings, project leadership (i.e., project managers and team leads) will identify risks that can negatively impact project outcomes. The Risks Log is used to document the risks for a project and will include the following:

- Risks are identified during the week and discussed during the weekly project team meetings organized by the project manager.
- Initial project risks that were identified as part of upfront project planning and documented in the Project Charter are reviewed during the initial project team meeting.
- As risks are identified, the following information will be captured:
  - Project Name
  - Assigned To ("risk owner") – the project team member responsible to develop and implement the risk response plan
  - Status – the status of the risk as it flows through the process
  - Priority – a subjective assignment of the significance of the risk used by the project manager for prioritization and status reporting. The priority risk ratings for the project are as follows:
    - **Critical**— the risk response plan must be defined and executed immediately
    - **High**— the risk response plan must be defined and executed as soon as possible
    - **Medium**— the risk response plan can be developed any time before the next risk review meeting
    - **Low**— a risk response plan is not required
  - Type – a means for categorizing risks (see subsequent section)
  - Probability – the likelihood of the risk occurring
  - Impact – the overall impact if the risk does occur
  - Severity – probability times impact (calculate for level of impact)
  - Description – a brief description of the risk

6.1.4 Figure 9. Risk Log

Project Name	State of Louisiana IT Consolidation	**Program Manager (PM)**	Manager from PMO who has oversight
Project Manager			
Project Sponsor			Person PM reports to; may be the same as PMO Manager

RISK LOG

ID	Priority	Type	Probability	Impact	Severity	Risk Owner	Description of Risk/Impact	Submitted By	Date Opened	Target Completion Date	Comments/Resolution	Status	Date Closed
2	High	Design	The likelihood of the risk occurring.	The overall impact if the risk does occur.	Probability x Impact	Person assigned to address the item.	Detailed description of the open item.	Person who originated the item.	1/12/14	1/13/14	Track progress, feedback and status information until closed.	Open	
3	Medium	Testing											
4	Low	Process											
5													
6													
7													
8													

6.1.4.1 Develop Risk Response

For "High" severity risks, the assigned team member(s) (i.e., risk owner(s)) will analyze the risk in more detail, determine the appropriate risk response strategy and develop the risk response plan:

- Risk response – Proposed risk response strategy
  - **Accept**— accept the risk, but monitor it
  - **Avoid**— devise a strategy to avoid the risk
  - **Mitigate**— determine actions to eliminate or reduce the risk
  - **Transfer**— transfer the risk responsibility to another group
- Response plan – Details for the risk response strategy selected
- Contingency Plan – Identify actions to take as a backup plan if the initial risk response plan does not work

Once the risk owner completes his/her risk assessment and proposed risk response strategy and response plan, the project team will review and approve the plan in the following project team meeting. If the risk's priority is "Critical" or "High," a special risk meeting may be organized to review and finalize the risk strategy, response plan, and contingency plan for the risk.

New risks documented in the Risks Log, will have "In Progress" status while the risk is proceeding through the normal process steps. Where needed, the risk will be escalated to the appropriate project level for review and analysis. Escalated risks will require immediate attention or the risk will continue to escalate to higher levels in the organization.

6.1.4.2 Monitor Risk

The project manager monitors the risk throughout the life of the project, for as long as the risk remains in active (i.e., "In Progress") status. The following are the steps the project manager will follow:

- Determine the appropriate new risk owner(s) if the risk assignment needs to change
- Where necessary, update the risk assessment, response, or other details
- Determine if or when a risk needs to be escalated to the next level

6.1.4.3 Determine if Risk is Realized

As part of risk monitoring, the project manager determines whether the risk has been realized on the project.

- For realized risks, follow the risk realization steps included in the approved risk response plan (where applicable), and log a new issue in the project's Issues Log for the realized risk.
- Once the issue record is created, cross-reference the new Issue number in the Risks Log before closing the risk record.
- If the risk has not been realized, continue monitoring the risk throughout the project, for as long as the risk is active or "In Progress."

6.1.4.4 Manage Issues

For a realized risk that converts to a project issue, address it using the project's standard issue management process.

- Enter the issue cross-reference number in the risk record before closing it in the Risks Log.

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6.1.4.5 Determine if Risk is Still Active

Determine the status of the risk:

- If the risk is no longer active, proceed to closing the risk
- If the risk is still active, continue monitoring the risk, escalating when necessary

6.1.4.6 Close Risk

Set the risk record status to "Closed" in the Risks Log with documentation of the reason(s) why the risk is being closed.

6.1.5 Risk Types

The following risk types will be used to categorize identified risks in the Risk Log.

Risk Type	Risk Type Description
Contract	Any risk related to the contracts of the project (such as a signed agreement between vendors and the State of Louisiana or subcontractors).
External	Any risk related to environmental factors largely outside the control of the project (such as cultural, legal, political, or regulatory).
Financial	Any risk related to the budget or cost structure of the project (such as increase or decrease in the project-related budget).
Functional	Any risk related to the overall function of the product (such as requirements or design) being developed by the project.
Quality	Any risk related to the quality requirements of the project.
Organization	Any issue related to internal, State of Louisiana, or third-party organizational or business changes (such as leadership role changes).
Performance	Any risk associated with the performance of the application (such as response time, stress testing, and development environments).
Project Management	Any risk related to the management of the project (such as communications, status reporting, and issues management).
Resource	Any risk related to project resources (such as the addition or removal of resources).
Schedule	Any risk related to the work plan and related tasks (such as extensions or reductions of the project timeline).
Scope	Any risk related to project scope (such as process, module, and development objects).
Technical	Any risk related to software or hardware, including infrastructure related to the project.
General	Any risk that cannot be categorized into one of the above categories.

6.1.6 Risk Severity Scoring Matrix

When risks are identified, they will be qualitatively analyzed in terms of impact and probability. Impact and probability will both be assessed on a range of 1 – 5, with 1 being Low and 5 being High. The two values will then be multiplied to compute an overall risk severity. The table below outlines the complete set of values and the severity level for each combination.

The determination of severity will be completed collaboratively during the weekly project team meetings (see subsequent section for risk planning during project team meetings). The project team will create a formal risk response plan for risks that are determined to be High severity. Other risks will be monitored and reviewed, but will not have formal risk response plans. Risk response planning will be the joint responsibility between the State of Louisiana Central IT team and the Departments.

Impact	Probability				
	1-Low	2-Low/Medium	3-Medium	4-Medium/High	5-High
5-High	Low (5)	Medium (10)	High (15)	High (20)	High (25)
4-Medium/High	Low (4)	Medium (8)	Medium (12)	High (16)	High (20)
3-Medium	Low (3)	Medium (6)	Medium (9)	Medium (12)	High (15)
2-Low/Medium	Low (2)	Low (4)	Medium (6)	Medium (8)	Medium (10)
1-Low	Low (1)	Low (2)	Low (3)	Low (4)	Low (5)

For the purposes of scoring, the following definitions of Impact and Probability will be used:

Impact:

1. Minor – Consequences can be readily absorbed but management effort is still required to minimize their impact. < $100,000
2. Serious – Event which can be managed under normal operations conditions and requires moderate levels of resources and management input. $100,000-$500,000
3. Severe – Event with significant additional management attention required. $500,000-$1M
4. Major – Critical event affecting the achievement of the objective. Requires significant senior management attention. $1M-$3M
5. Catastrophic – Disaster with potential to end the objective. No achievements satisfied. >$3M

Probability

1. Remote – Remote chance of happening (Prob <20%)
2. Unlikely – Might occur at some time (Prob 20%-40%)
3. Possible – May occur once during/following project (Prob 40% - 60%)
4. Probable – Expected to occur during/following project (Prob 60% - 80%)
5. Likely – Will occur during/following project (Prob > 80%)

Score	Severity
1-5	Low
6-12	Medium
13-25	High

6.1.7 Risk Monitoring

Active risks will be tracked and published in the Project Dashboard Report and the executive steering committee report. A risk that is realized will either: (1) Initiate the approved response plan defined for the risk; or (2) Be logged as a new issue to be addressed by the project's defined issue management process.

The following risk measurements are trackable via the Risks Log and are used to monitor and control project risks:

- Risks by status
- Risks by priority and status
- Active risks by priority
- Active risk aging by priority

6.1.8 Risk Meetings

Project leadership (i.e., project managers and team leads) will hold weekly project team meetings, during which the team will review and add/update risks as a meeting agenda item. This meeting will be scheduled by the project manager. The table below describes additional details regarding the risk review portion of the weekly project team meeting.

Meeting Logistics	Project Plan
Meeting frequency and schedule	Weekly
Participants	Project managers, team leads, and ePMO staff
Meeting agenda	Review active risks to determine if probability or impact has changed, or whether any risks can be closed • Identify new risks (and determine probability and impact) • Assign responsibility for creating formal risk response plans for any "High" severity risks that don't currently have plans (could be an existing risk with a changed assessment and severity score or a new risk) • Review drafts of any new risk response plans • Determine if any risks need to be escalated

After each project team meeting, the project manager has the following responsibilities relative to risk management:

- Update the Risks Log to record risk changes and additions
- Archive any approved risk response plans
- Communicate the updated risk records

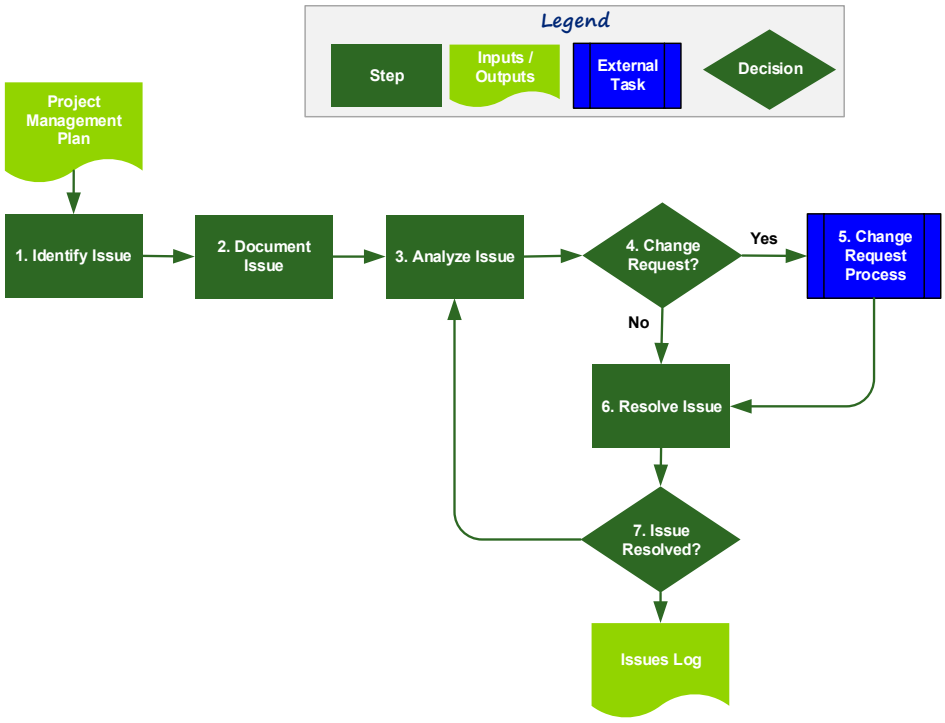
6.2 Issue Management

6.2.1 Overview

This section documents the process, templates, and tools that the project will use to identify, evaluate, and manage issues throughout the life of the project. An issue is an event that has occurred that will impact the project schedule, scope, budget, or quality.

6.2.2 Process Summary

The flow-chart below summarizes the issue management process:



6.2.2.1 Identify Issue

Project team members identify issues impacting the project and document them in the project's issue log, which is described below.

- Any project team member can identify a project issue at any point in the project lifecycle.
- The person identifying and logging the issue needs to provide as much information as possible on the new issue. Required fields include:
  - Project
  - Assigned To
  - Priority
  - Type
  - Description

- The issue status tracks the status of an issue as it flows through the process.
- The project manager will review and validate "New" issues from the project team, canceling issue entries that are not valid.
- The project manager will then confirm or re-assign valid issues to the appropriate project team member(s) (issue owners) for detailed analysis and resolution planning.

The assigned team member(s) will confirm or define the following fields for an issue record after completing the necessary due diligence and analysis on the issue:

- Priority – the priority issue ratings for the project are as follows:
  - **Critical**— the issue is jeopardizing overall project objectives and must be addressed immediately
  - **High**— the issue is negatively impacting the project significantly (for example, cost overruns or milestone delays) and must be addressed as soon as possible
  - **Medium**— the issue is negatively impacting the project and should be addressed, monitored, and controlled using regular project issue management processes
  - **Low**— the issue has minimal impact and should be addressed as cost and schedule permits
- Type – Issue types are defined in Section 1.2.1.5
- Project areas and stakeholders impacted: Release, Team, Phase, Thread, Stakeholder(s)
- Resolution plans, including:
  - Escalation Level
  - Resolution
  - Whether a change request (CR) needs to be created to close the issue
  - Other closure criteria
- Where appropriate (e.g., for "Critical" or "High" priority issues), the project manager should review and approve the proposed issue resolution.

6.2.3 Figure 10. Issues Log

Project Name	State of Louisiana IT Consolidation	**Program Manager (PM)**	Manager from PMO who has oversight
Project Manager			Person PM reports to; may be the same as PMO

ISSUE LOG

ID	Priority	Type	Project Thread	Stakeholder(s) Impacted	Assigned To	Description of Issue	Submitted By	Date Opened	Target Completion Date	Resolution Plan	Issue Status	Date Closed
2	High	Contract	Area of project being impacted.	Stakeholders or stakeholder groups that are impacted by the issue.	Person assigned to address the issue.	Detailed description of the open item.	Person who originated the item.	1/12/14	1/13/14	Provide details on issue resolution plan, including escalation level, type of resolution, whether a change request needs to be created to close the issue, or other criteria.	Open	
3	Medium	External										
4	Low	Financial										
5												
6												
7												
8												

6.2.3.1 Document Issue

The issue owner documents the issue in the project issue log in accordance with the criteria identified in Figure 2.

6.2.3.2 Analyze Issue

The issue owner develops an issue resolution plan and all resources required to resolve the issue without requiring a change request (CR). Issue resolution plans should be tracked and monitored via the project issue log.

6.2.3.3 Change Request Required to Resolve Issue?

The issue owner determines whether a change request is required to perform the issue resolution steps.

- If an issue's resolution actions require work outside the defined scope for the project or changes to signed-off project documents, the issue owner needs to create a change request to resolve the issue.

6.2.3.4 Manage Change Requests

Perform the Manage Change Requests task to see if the change request to resolve the issue is approved.

- No work on the issue resolution steps can be performed until the associated CR for the issue is approved by the project's Change Control Board (CCB).
- Issue CRs that are not approved will need to be set to "Closed" or "Cancelled" status, as appropriate.

6.2.3.5 Resolve Issue

The issue owner works to manage the issue to a successful close and confirms that the resolution steps completed resolved the issue successfully.

- Implement the resolution actions to close the issue.
- Document the resolution results.
- The appropriate stakeholder(s) identified for the issue should help confirm the issue resolution.
- Issues where the resolution results were not confirmed will remain in "In Progress" status until they can be successfully confirmed.
- If the issue cannot be resolved, escalate the issue.

6.2.3.6 Close Issue via Issues Log

For issues where resolution is confirmed, mark "Resolved" in the Issues Log.

6.2.4 Issue Types

The following issue types will be used when logging issues.

Issue Type	Issue Type Description
Contract	Any issue related to the contracts of the project (such as a signed agreement between vendors and the State of Louisiana or subcontractors).

Issue Type	Issue Type Description
External	Any issue related to environmental factors largely outside the control of the project (such as cultural, legal, political, or regulatory).
Financial	Any issue related to the budget or cost structure of the project (such as increase or decrease in the project-related budget).
Functional	Any issue related to the overall function of the product (such as requirements or design) being developed by the project.
Quality	Any issue related to the quality requirements of the project.
Organization	Any issue related to internal, State of Louisiana, or third-party organizational or business changes (such as executive leadership role changes).
Performance	Any issue associated with the performance of the application (such as response time, stress testing, and development environments).
Project Management	Any issue related to the management of the project (such as communications, status reporting, and issues management).
Resource	Any issue related to project resources (such as the addition or removal of resources).
Schedule	Any issue related to the Work Plan and related tasks (such as extensions or reductions of the project timeline).
Scope	Any issue related to project scope (such as process, module, and development objects).
Technical	Any issue related to software or hardware, including infrastructure related to the project.
General	Any issue that cannot be categorized into one of the above categories.

6.2.5 Issue Monitoring

Unresolved Critical and High priority issues will be reported in the weekly Project Status Report; medium issues greater than 1 week past due will also be reported. Unresolved Critical and High priority issues will be reported in the monthly Executive Steering Committee Report.

The following issue measurements are trackable via the Issues Log and are used to monitor and control project issues:

- Issues by status
- Issues by priority and status
- Active issues by priority
- Active issue aging by priority

6.2.6 Issue Meetings

Issue identification and resolution is an ongoing process. Identifying and resolving issues in a timely manner is a critical success factor for the project, and the State of Louisiana/Central IT staff need to commit to supporting timely issue resolution through dedicated attention to the issue management process in each weekly project team meeting.

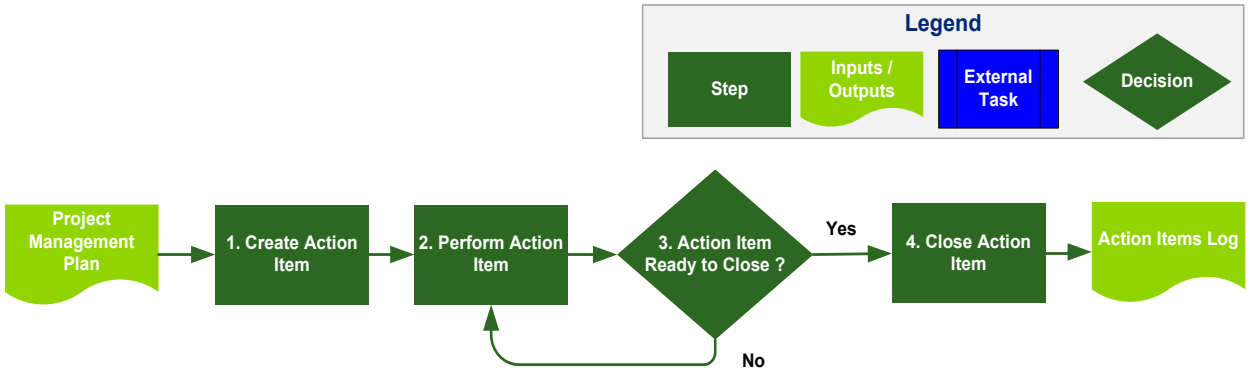
The issue meeting plan described in the table below will address project issues:

Meeting Logistics	Project Plan
Meeting frequency and schedule	Weekly
Participants	Project managers, team leads, and PMO staff OR reference Appendix (Section 10.1) for the specific names
Meeting agenda	• Announcements • Review "New" issues • Review any "In Progress" issues that need attention • Determine if any issues need to be escalated

6.3 Action Items

This section documents the process and tools the project will use to log action items and manage them to closure throughout the life of the project.

6.3.1 Figure 11. Process Summary



6.3.2 Action Item Priorities

The following are the recommended action item priorities and descriptions:

- **Critical** - the action item must be addressed immediately in order to protect the project's objectives
- **High** - the action item must be addressed as soon as possible in order to prevent significant negative impacts to the project (for example, cost overruns or milestone delays)
- **Medium** - the action item will be addressed, monitored, and controlled following regular project action item management processes
- **Low** - the action item will be addressed as cost and schedule permits

6.3.3 Action Item Meetings

Action items will be reviewed by the project team as part of the weekly project team meeting. The following is an agenda for the action items portion of this weekly meeting.

- Announcements
- Review “New” action items
- Review any “In Progress” or “On Hold” action items that need attention
- Determine if any action items have become project issues

6.3.4 Figure 12. Action Item Log

Project Name	State of Louisiana IT Consolidation	Program Manager	Manager from PMO who has oversight responsibility for the project.
Project Manager			

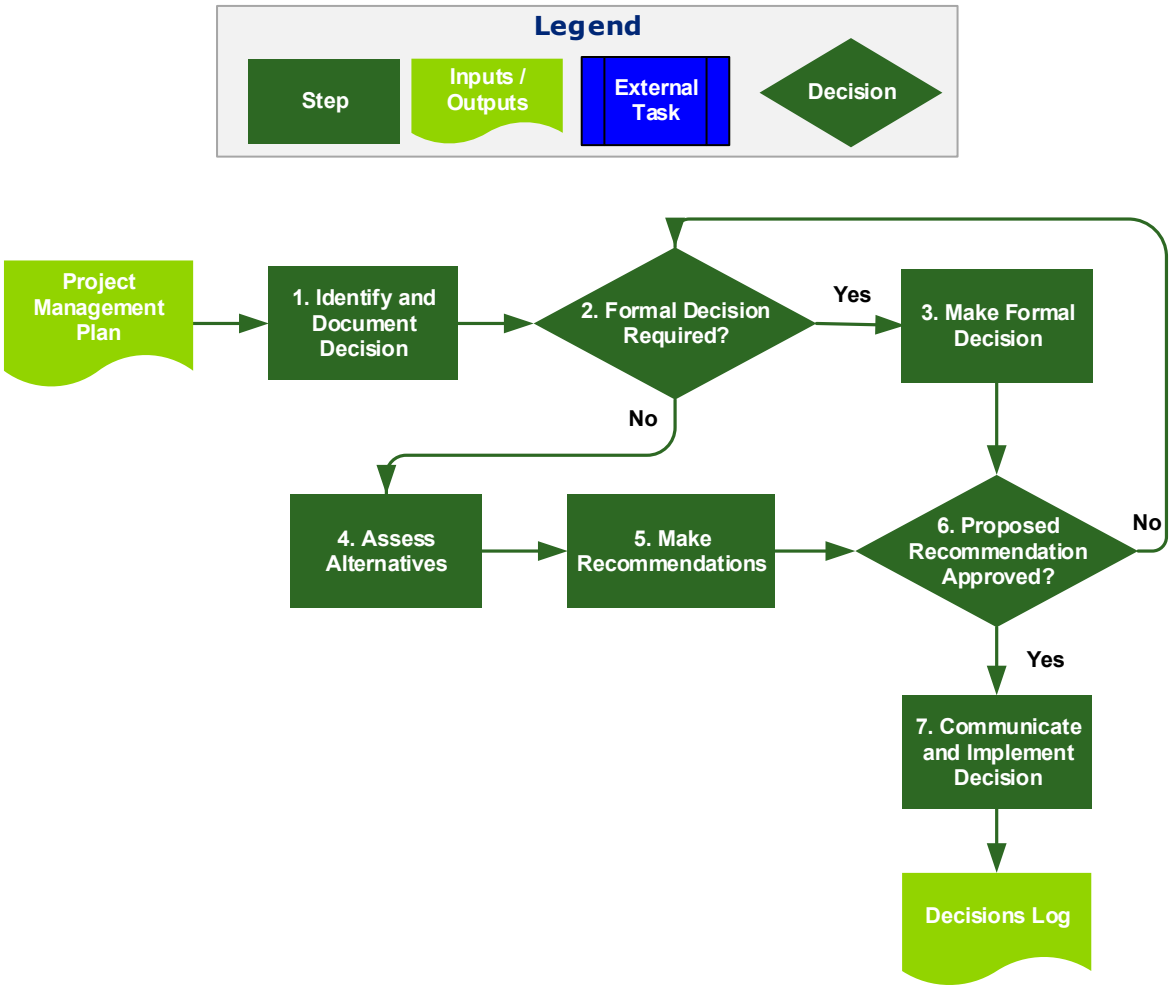
ACTION ITEM LOG

ID	Submitted by	Action Item Description	Dependent On (Person or Team Name)	Possible Resolution	Owner	Last Possible Resolution Date	Progress/Status	Priority
1								
2								
3								
4								
5								
6								
7								
8								
9								
10								
11								
12								
13								
14								
15								
16								
17								
18								
19								
20								

6.4 Project Decisions

Managing decisions includes identifying, documenting, prioritizing, assigning, and tracking the results of decisions throughout the phases of the project. This section documents the process and tools the project will use to log and manage day-to-day decisions as well as formal project decisions. Day-to-day decisions are decisions that project management deems necessary to document and track for future reference. Formal decisions are decisions that meet the criteria defined in Section 6.2.5, and require a more structured process for analyzing alternatives for potential solutions. The decision criteria for making a formal decision versus a day-to-day decision must be fully understood by team members.

6.4.1 Figure 13. Process Summary



6.4.2 Decision Priorities

The following are the recommended decision priorities and descriptions:

- **Critical** - the decision must be addressed immediately in order to protect the project's objectives
- **High** - the decision must be addressed as soon as possible in order to prevent significant negative impacts to the project (for example, cost overruns or milestone delays)

- **Medium** - the decision will be addressed, monitored, and controlled following regular project decisions management processes
- **Low** - the decision will be addressed as cost and schedule permits

6.4.3 Day-to-Day Decision-making Process

Although most project decisions do not require a formal decision process using a detailed qualitative and quantitative analysis of alternatives, important decisions will be logged in a Decisions Log and managed to closure, similar to risks, issues, and action items.

The objectives of the day-to-day decision-making process include:

- Documenting and communicating day-to-day decisions made
- Confirming that day-to-day decisions are made in a timely manner
- Preventing decisions made from being revisited

Day-to-day decisions should be documented in the project's Decisions Log with typically two alternative options to consider for the solution.

6.4.4 Figure 14. Decisions Log

Project Name	State of Louisiana IT Consolidation	**Program Manager (PM)**	Manager from PMO who has oversight
Project Manager			Person PM reports to; may be the same as PMO

DECISIONS LOG

ID	Priority	Type	Decision Location/Meeting	Description	Made By	Date Decided	Comments/Resolution	Additional Action Required	Notes
1	High	Contract					Track progress, feedback and status		Specify the date the item is complete.
2	Medium	External							
3	Low	Financial							
4									
5									
6									
7									
8									
9									
10									
11									
12									
13									
14									
15									

6.4.5 Formal Decision-making Process

Decisions that meet the formal decision criteria defined in the following section are decisions that may impact project outcomes regarding the solution schedule, cost, or quality. It is critical that formal decisions be made once, by the correct level of authority, and in a timely manner.

The formal decision-making process allows the project team to analyze possible critical decisions using a formal evaluation process that evaluates identified alternatives against established criteria. The formal decision process results in a recommended solution and rationale that are provided to key stakeholders for review and approval before it is considered final.

The objectives of the formal decision-making process include:

- Making decisions using qualitative and quantitative feedback based on established solution criteria at the appropriate level of authority
- Driving timely decision-making
- Documenting and communicating formal decisions made
- Preventing formal decisions from being revisited

The table below lists the types of project decisions where the formal decision-making process should be used, and includes the approval authorities for each decision type. In addition to decisions of these types, the project should consider using the formal decision process in scenarios where the outcome may significantly impact the ability of the project to meet its commitments or established objectives.

*6.4.5.1 Decisions Requiring a Formal Decision-making Process**

#	Formal Decision Scenario	Approval Authorities
1	Solution selection	State of Louisiana/Central IT project manager, EPMO Program Manager
2	Vendor selection	State of Louisiana/Central IT project manager, EPMO Program Manager, Office of State Purchasing, Office of the Attorney General
3	Make vs. Buy vs. Reuse	State of Louisiana/Central IT project manager, EPMO Program Manager, Central IT CIO and Executives, Office of State Purchasing
4	Tool selection	State of Louisiana/Central IT project manager, EPMO Program Manager, Central IT CIO and Executives, Office of State Purchasing, Office of the Attorney General
5	Key architectural decisions with multiple options	State of Louisiana/Central IT project manager, EPMO Program Manager, Central IT CIO and Executives

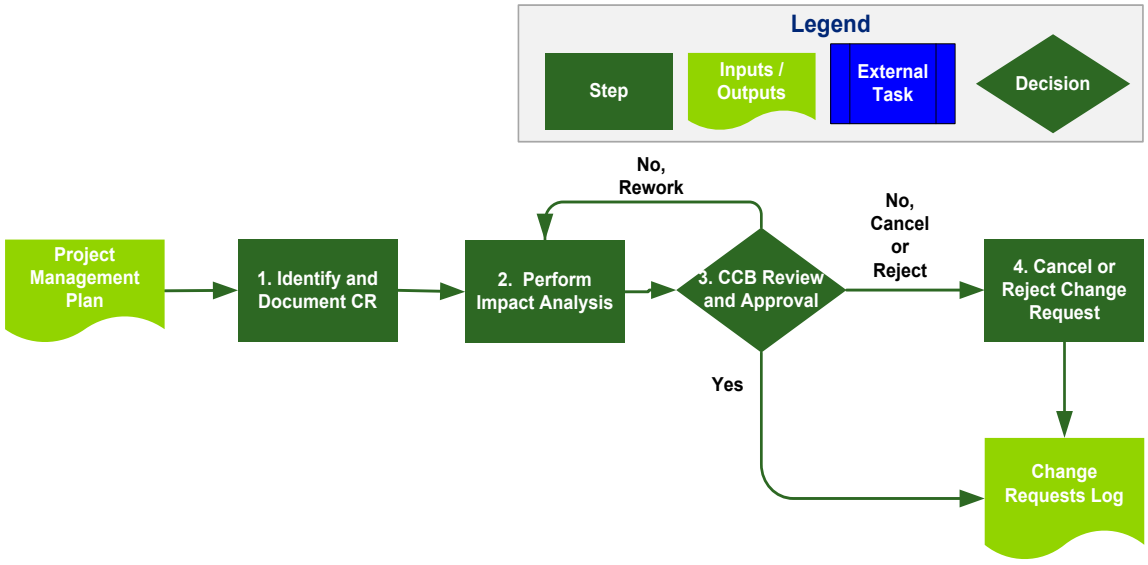
* Approval authorities may change based on project needs

6.5 Change Control

This section documents the change control process, tasks, and tools the project will use to identify, analyze, prioritize and implement change requests that can impact the project scope, budget, quality, or schedule.

6.5.1 Figure 15. Process Summary

The flow-chart below summarizes the change control process.



6.5.1.1 Identify and Document Change Request

Change requests can be identified throughout the life of the project. Changes that affect the scope, budget, schedule, and/or effort or requested changes to signed-off deliverables of the project are formally documented, prioritized, analyzed, reviewed, and approved before implementation.

Identification is the first step of the change control process, and project stakeholders are encouraged to identify and log change requests (CRs). Any project stakeholder can create a “New” change request.

Minor revisions to the management plans (project and quality management) that address usability or personnel changes (e.g., a new team lead) will not require a change request. For these minor revisions, the change will be documented as part of the Change Requests Log. The State of Louisiana project manager will review and approve minor revisions made in this manner. Any disagreement about the need for or nature of a minor revision will be addressed using the change control process.

The priority level assigned to a CR reflects the criticality and urgency of the CR:

- **Critical**— the change request is addressing a problem that can negatively impact overall project outcomes, timeline or objectives and will be addressed immediately
- **High**— the change request is addressing a problem that can negatively impact the project significantly (for example, cost overruns or milestone delays) and will be addressed as soon as possible
- **Medium**— the change request is addressing a problem that can negatively impact the project or parts of the project. The change request should be addressed, monitored, and controlled using regular project change control processes

- **Low**— the change request is addressing a problem with minimal negative impact and will be completed as cost and schedule permits

The project manager will validate each "New" change request, and prioritize and assign each valid CR to the appropriate team member for impact analysis on scope, budget, quality and schedule, information that will be presented to the Change Control Board (CCB) for their review and approval for implementation. Each valid CR will have a status of "In Analysis." If project leadership collaboratively determines that a change request at this stage should be "Cancelled," the status of the CR record will be updated accordingly, and the CR will not be assigned for impact analysis.

A summary of the Change Requests Log that will be used by the project manager to document change requests can be found below.

6.5.2 Figure 16. Change Requests Log

Change Requests Log

Summary								
Change #*	Status*	Created By*	Created On*	Assigned To*	Priority*	Type*	Sub-Type	Description*
1	New	Joe Doe	21-May-2013	Jane Doe	Medium	Contract	Sub-Type	Need to include resident alien verbiage in contract
2	Pending Approval	Joe Doe	22-May-2013		Medium	Financial	Sub-Type	Need to adjust project budget for new labor
3	Pending Implementation	Joe Doe	23-May-2013		High	Functional	Sub-Type	Additional Finance resource needed
4	Cancelled	Joe Doe	24-May-2013		Critical	Quality	Sub-Type	Need to extend 2nd milestone date
5	Deferred	Joe Doe	25-May-2013		Medium	Resource	Sub-Type	Additional module requested
6	Closed	Joe Doe	26-May-2013		Low	Schedule	Sub-Type	Implement latest service pack
7	Rejected	Joe Doe	27-May-2013		Medium	Scope	Sub-Type	Implement change control process

6.5.2.1 Perform Impact Analysis

All change requests need to be analyzed for impact to project scope, budget, quality and schedule, as well as for clarity, accuracy, and relevance. All impacts of the change request are documented in the Change Requests Log. Feasible options to address the change request should be summarized in the Detailed Description and Justification fields of the CR record. This can also include a description of the impact when the change request is not implemented.

The impact analysis should be reviewed and incorporate the input of each of the primary teams on the project (e.g., the application team lead determines the application impact; the infrastructure team lead determines the server and storage change impact, etc.).

When determining impact, both the estimated effort and the overall schedule impact will be evaluated. If a change request will impact the critical path of the project, then the cost of that change request will include both the incremental effort plus the cost impact of maintaining other essential resources through the extended duration. The project manager is responsible for determining the cost of any change requests, based upon the impact determined by the various team members.

Each impact analysis includes:

- The project work products affected by the proposed change
- The impact of the proposed change on project size, deliverables, and requirements
- The impact of the proposed change on existing assumptions and constraints
- The impact of the proposed change on schedule, including milestones and dependencies
- The impact of the proposed change in terms of effort and cost

The result of this impact analysis is a recommendation on disposition of the change request. Because changes made earlier in the project lifecycle typically have less impact than changes that occur later, each change request impact analysis will be assigned an expiration date (i.e., the “Due Date” field in the Change Request Log). This is the date by which the CR must be approved. If a CR is not approved by this date, it will either be “Cancelled,” or a new impact analysis will be required.

Once the assigned team member(s) complete their analysis and submit it to the Change Control Board (CCB) for review and approval, the change request status will move to “Pending Approval.”

6.5.2.2 Approve Change Requests

The information collected for a change request (CR) is reviewed for approval for implementation. The information should be captured in the respective CR record in the Change Request Log

Prior to bringing a completed CR to the CCB, the project manager should review the completed documentation. Any questions or issues regarding the CR should be addressed, so that the documentation is complete, clear, and accurate. Once the CR documentation is complete, the project manager will schedule the CR for the next CCB meeting. The CCB is the formal committee that evaluates change requests impacting the project.

The project’s CCB was previously defined in Section 3.1.1.2 of the Project and Portfolio Management Strategy.

The CCB will review “Pending Approval” CRs with complete analysis and justification, and determine the appropriate change control decision:

- Approve the CR, changing its status to “Pending Implementation”
- Defer the CR, marking its status as “Deferred”
- Reject the CR, marking its status as “Rejected”

- Request more analysis, changing status of the CR back to "In Analysis"

A change request is not approved until it has been printed and signed by the designated State of Louisiana/Central IT representative.

6.5.2.3 Implement Approved Change Requests

The final CR documentation, including formal approval, will be retained. No CR will be worked on beyond the impact assessment without first obtaining formal approval in this manner, and the CR record status has been moved to "Pending Implementation."

Once a CR is approved by the CCB, the project manager is responsible for adjusting the Work Plan to incorporate the tasks required to implement the approved change request. For smaller CRs, the project manager can choose to implement the CR using the action item process defined previously. Regardless, the project manager is responsible for implementing the approved change by the due date specified, including changing the Project Charter if an approved CR impacts end-product scope.

The project manager communicates the status of the change requests being implemented on a regular basis. The status of every valid change request identified for a project is maintained in the Change Request Log. Once an approved CR is implemented, the CCB reviews the updates to confirm that the approved change was successfully implemented, and the CR can be "Closed" with no further action required, or "sent back" for further modifications to successfully implement the change.

6.5.2.4 Close Change Requests

Once the approved CR implementation updates have been reviewed and approved by the CCB, the status of the CR can be set to "Closed."

The project manager is responsible for communicating the results of implemented (i.e., "Closed") or "Rejected" change requests to the project team and stakeholders, as well as updating the project's change requests accordingly in the Change Request Log.

6.5.3 Change Request Meetings

Change control is an ongoing process. Identifying and qualifying changes in a timely manner is a critical success factor for a project, and the entire Central IT organization must apply the appropriate effort to support timely change request processing. To support this process, the following meeting plan will be used to address change requests and change control.

Meeting Logistics	Project Plan
Meeting Frequency and Schedule	Bi-weekly
Participants	Project managers, EPMO staff, Central IT CIO and Department Executives
Meeting Agenda	• Announcements • Review "New" and "In Analysis" CRs and determine which ones are ready to be submitted to the CCB for approval • Review CRs that have been successfully implemented to verify that the updates are satisfactory • Review any "Deferred" CRs that should be re-considered • Determine if any CRs need to be escalated

7.0 Project Document Management Plan

7.1 Document Management Overview

7.1.1 Purpose

The purpose of project document management is to establish and maintain control over a project's documents.

7.1.2 Document Management Roles and Responsibilities

The table below lists the roles and responsibilities involved in the project's document management activities. Most projects are not big enough for a full-time Project Document Manager. If that is the case, a person should be identified to fill this role in a part-time capacity along with another role on the project.

Role	Responsibility
Project Document Manager	• Establishes and maintains the project document management plans • Establishes and manages the project document management system • Coordinates project document management activities • Manages, maintains, and controls project documents
Change Control Board (CCB)	• Review, approve, and prioritize change requests to approved deliverables, which frequently includes documents

The project's CCB is defined in Section 3. Project Organization.

7.2 Document Management System

7.2.1 Document Management Tool

The Project will use SharePoint for managing documents. This tool will be administered by the State of Louisiana/Central IT project document manager and will be accessible by all project team members. The document repository will retain version history of all documents automatically for archival purposes.

7.2.2 Directory Structure

The project document repository will contain the following folders initially. Additional folders and sub-folders will be created as appropriate to support document management needs of the project team.

- Project Information – Used to store general project data
- Final – Used to store final versions of work products and signed-off deliverables under change control.
- Document Storage Library – Used to store work-in-progress documents; organized by the standard WBS structure (see Section 4.1.1)
- Project Teams – Used to store specific project team information and/or working documents

- Project Calendar – Standard project calendar to post relevant project events by date
- Team Announcements (Optional)– Used to post news, status, and other relevant project information
- Team Contact List – Common project contact list with information about project team members
- Useful Links (Optional) – Offers a list of links to other relevant, helpful sites and resources
- Discussion Board (Optional) – Provides a forum for project team members to discuss important topics together and share knowledge

7.2.3 Document Naming Conventions

The following table describes the document naming conventions to be followed. Software naming conventions are not included here.

Controlled Documents		
#	**Description**	**Naming Convention**
1	File naming	CentralIT_ProjectName_DeliverableName_MM-DD-YY_vX

7.2.4 Document Management Process

7.2.4.1 Pre Sign-off (deliverables) or finalization (work products)

Documents that are in development will be managed by individual team members under the guidance of their team leads. These documents will be stored in the appropriate section of the Document Storage Library folder. All team members will have access to the documents in the Document Storage Library folder.

7.2.4.2 Post Sign-off

As documents are finalized they will be reviewed and, if the document is a deliverable or part of a signed-off deliverable, they will be reviewed through the Project Deliverable Management Plan (see Section 5). The final version of documents will be archived in the Final folder by EPMO staff. The EPMO will manage the deliverable sign-off process and will archive documents that are part of a deliverable. It is the responsibility of the Team Leads to communicate the document name and version of work products (no formal sign-off) that are final to the EPMO so that those documents can also be archived.

Once a document is archived in the Final folder, it will not be updated without an approved change request (see Section 6.3). The EPMO will notify Team Leads when change requests requiring document updates are approved so that the approved change can be implemented.

8.0 Project Financial Management Plan

The purpose of the Project Financial Management Plan is to manage the available budget for a project and report financial discrepancies from the planned budget if they arise.

8.1 Financial Management of Labor Resources

Tracking of labor resources against a financial plan starts with the development of a resource plan at the beginning of the project. Labor resources include Central IT staff, agency staff, contractors and vendors and any other human resources that work on a project.

The financial plan of labor resources will include the expected roles and the cost per hour of the role. It will also include the expected number of hours the resource is estimated to work for each measurable work period (i.e. weekly or bi-weekly).

Once the project begins the Project Manager will capture the actual hours worked by each resource on the project and compare the actuals to the budgeted hours on a regular interval (i.e. weekly or bi-weekly). The finances should be reported on the weekly status report and major discrepancies escalated according to the Issue Management process.

8.2 Financial Management of Non-Labor Resources

Tracking of non-labor resources against a financial plan starts with the development of an expenditure plan based upon the planned budget at the start of the project. Non-labor resources include hardware, and software needed to develop project deliverables as well as run the systems once the project is completed. If there are multiple environments needed for development, quality assurance, production and disaster recovery, all of the purchases would be tracked by the project manager.

The financial plan for non-labor resources will include the timeframes when the non-labor resources are expected to be needed by the project team in order to deliver the project. The Project Manager will track the actual purchases and compare the purchases to the planned budget. The non-labor resource finances should be reported on the weekly status and any major discrepancies escalated according to the Issue Management process.

8.3 Financial Management of All Resources

The ongoing management and tracking of actual expenditures relative to planned expenditures identified in the project resource and expenditure plans is critical to ensuring a project is completed within budget. Once the project begins the Project Manager will establish a tracking worksheet for management of both labor and non-labor resources. As both labor and non-labor resources are tracked (i.e. weekly or bi-weekly), the Project Manager will compare actual versus planned expenditures at defined milestone intervals for both resource categories to ensure the project remains on track relative to the approved project budget.

9.0 Project Status and Stakeholder Communications Plan

The Project Status and Stakeholder Communications Plan addresses three areas:

1. Project Communications Plan, including types of communications, audiences, frequency, and party(ies) responsible
2. Project Meeting and Communications Schedule, including planned status meetings and other important project events (e.g., kickoff meetings)
3. Stakeholder Engagement

Sharing the project status communication plans is critical to managing expectations across the project and client organization regarding what information individuals should expect to receive, and when they should expect to receive it.

9.1 Project Status Communications

9.1.1 Project Communications Plan

The table below defines the plan for project status reporting, addressing the needs of identified stakeholders.

#	Communication	Description	Audience	Frequency	Chairperson/ Responsibility of
1	Project Status Meeting	Regularly scheduled meeting to update the project sponsor and key leaders on project progress and status. Information presented: • Schedule and budget performance • Milestone progress • Deliverable status • Risks, issues, action items, or decisions that need attention • Change request updates	• Sponsor • State of Louisiana business leads • State of Louisiana project manager • Project Team • EPMO	Weekly, through project closure	State of Louisiana/ Central IT project manager
2	Project Status Distributions	Distribute standard status report after the weekly status meeting, and/or post in the appropriate project community site	• Project Manager • Team leads • EPMO	Weekly	Project Manager

#	Communication	Description	Audience	Frequency	Chairperson/ Responsibility of
3	Project Phase Kickoff Meetings	The first project meeting with the project sponsor and the team members to review scope, schedule and budget.	• Project Manager • EPMO • Central IT CIO and Department Sponsor • Team leads	One time	Project Manager
4	Program Leadership Meetings	Regularly scheduled meetings to review high, critical, and escalated issues and risks, and other items at a core leadership level	• EPMO • Central IT CIO and Executives and Department Leadership • Project Manager	Monthly	State of Louisiana/ Central IT project manager
5	Team meetings	Regularly scheduled meeting for each team to review project progress and status. Information presented: • Schedule performance • Milestone progress • Deliverable status • Risks, issues, action items, and decisions • Change request updates	• Team leads • Project Manager	Weekly	Team leads

9.2 Resource Assignments

The following documents the resources assigned to the roles and boards / committees contained herein.

Role / Committee	Resource(s)	Organization	Comments
Project Sponsor			
Project Manager(s)			
Change Control Board			
Steering Committee			
Enterprise Project Management Office			
Team Leads			

Resource Assignments as of mm/dd/yyyy

9.3 RACI Matrix

This section describes the participation by role or team for deliverables or major work products. These terms are used in the subsequent sub-sections:

- **Responsible** – the role or team that is primarily responsible for performing or overseeing the creation of the deliverable or work product
- **Accountable** – the role or team that is answerable for the content of the deliverable or work product (only one per row below)
- **Consulted** – the role(s) or team(s) that participate in creation of the deliverable or work product (frequently knowledge leaders)
- **Informed** – the role(s) or team(s) to whom the deliverable or work product will be communicated

9.3.1 RACI Matrix for <enter phase name or entire project name>

The following describes the participation by role or team for deliverables or major work products. These terms are used in this table:

Deliverable / Work Product	Responsible	Accountable	Consulted	Informed
Test	Testing Team Lead	Technology Project Manager Infrastructure Manager	Infrastructure Team Lead Application Team Lead	Systems Architect End-user testers

Example