PROJECT MANAGEMENT PLAN

This plan is a document that describes how the Project will be

executed, monitored, controlled, and closed.

Version History

|  |  |  |  |
| --- | --- | --- | --- |
| **Version** | **Date** | **Author** | **Key Differences** |
| 1.0 | 12/19/2024 | Deborah Chu | Initial draft of the new comprehensive plan. |
|  |  |  |  |
|  |  |  |  |

Table of Contents

[1. Introduction 8](#_Toc185505440)

[1.1 Project Overview 8](#_Toc185505441)

[2. Project Governance 8](#_Toc185505442)

[2.1 Governing Bodies 9](#_Toc185505443)

[2.2 Project Governance Structure 9](#_Toc185505444)

[2.3 Roles and Responsibilities 9](#_Toc185505445)

[3. Requirements Management 11](#_Toc185505446)

[3.1 Roles and Responsibilities 11](#_Toc185505447)

[3.2 Requirements Management Approach 12](#_Toc185505448)

[3.3 Requirements Development 13](#_Toc185505449)

[3.3.1 Requirements Elicitation 13](#_Toc185505450)

[3.3.2 Requirements Analysis 13](#_Toc185505451)

[3.4 Requirements Specification 14](#_Toc185505452)

[3.5 Requirements Validation through Traceability 15](#_Toc185505453)

[3.6 Requirements Change Management 16](#_Toc185505454)

[4. Scope Management 16](#_Toc185505455)

[4.1 Scope Development 17](#_Toc185505456)

[4.2 Roles and Responsibilities 17](#_Toc185505457)

[4.3 Scope Definition 18](#_Toc185505458)

[4.4 Work Breakdown Structure (WBS) 19](#_Toc185505459)

[4.5 Scope Validation 19](#_Toc185505460)

[4.5.1 Tracking Deliverables 20](#_Toc185505461)

[4.5.2 Receiving Deliverables 20](#_Toc185505462)

[4.5.3 Preparing and Routing Deliverables 21](#_Toc185505463)

[4.5.4 Reviewing Deliverables 21](#_Toc185505464)

[4.5.5 Closing Deliverables 22](#_Toc185505465)

[4.6 Scope Control 22](#_Toc185505466)

[5. Quality Management 23](#_Toc185505467)

[5.1 Roles and Responsibilities 23](#_Toc185505468)

[5.2 Quality Management Approach 24](#_Toc185505469)

[5.3 Process Quality 25](#_Toc185505470)

[5.3.1 Process Definition 25](#_Toc185505471)

[5.3.2 Process Measurement 26](#_Toc185505472)

[5.3.3 Process Improvement 26](#_Toc185505473)

[5.4 Product Quality 26](#_Toc185505474)

[5.4.1 Product Definition 26](#_Toc185505475)

[5.4.2 Product Measurement 27](#_Toc185505476)

[5.4.3 Product Improvement 28](#_Toc185505477)

[6. Resource Management 28](#_Toc185505478)

[6.1 Roles and Responsibilities 28](#_Toc185505479)

[6.2 Project Organizational Chart 29](#_Toc185505480)

[6.3 Project Staffing Estimates 29](#_Toc185505481)

[6.4 Staffing Acquisition Strategy 29](#_Toc185505482)

[6.5 Staff/Team Development 29](#_Toc185505483)

[6.6 Project Orientation 30](#_Toc185505484)

[6.7 Staff Transition and Replacement 30](#_Toc185505485)

[6.8 Transition at Project Completion 31](#_Toc185505486)

[7. Schedule Management 31](#_Toc185505487)

[7.1 Schedule Development 31](#_Toc185505488)

[7.2 Roles and Responsibilities 32](#_Toc185505489)

[7.3 Schedule Control 32](#_Toc185505490)

[7.4 Schedule Changes and Thresholds 34](#_Toc185505491)

[8. Cost Management 34](#_Toc185505492)

[8.1 Roles and Responsibilities 35](#_Toc185505493)

[8.2 Cost Management Approach 36](#_Toc185505494)

[8.3 Cost Monitoring 36](#_Toc185505495)

[8.4 Reporting Format 36](#_Toc185505496)

[8.5 Cost Change Control Process 37](#_Toc185505497)

[9. Contract & Procurement Management 37](#_Toc185505498)

[9.1 Roles and Responsibilities 37](#_Toc185505499)

[9.2 Vendor Management 38](#_Toc185505500)

[10. Stakeholder Management 39](#_Toc185505501)

[10.1 Roles and Responsibilities 39](#_Toc185505502)

[10.2 Stakeholder Identification 40](#_Toc185505503)

[10.3 Stakeholder Analysis 40](#_Toc185505504)

[10.3.1 Stakeholder Engagement Assessment Matrix 41](#_Toc185505505)

[10.4 Stakeholder Management Strategies 41](#_Toc185505506)

[11. Communications Management 42](#_Toc185505507)

[11.1 Roles and Responsibilities 42](#_Toc185505508)

[11.2 Communication Management Process 42](#_Toc185505509)

[11.2.1 Written Communication Requirements 42](#_Toc185505510)

[11.2.2 Communication Collection Sources 43](#_Toc185505511)

[11.2.3 Acceptable Communication Tools 44](#_Toc185505512)

[11.2.4 Communication Storage, Retrieval, and Disposal 44](#_Toc185505513)

[11.3 Project Communication Meetings 44](#_Toc185505514)

[11.3.1 Project Communication Meeting Guidelines 44](#_Toc185505515)

[11.3.2 Project Communication Meeting Schedules 44](#_Toc185505516)

[12. Risk & Issue Management 44](#_Toc185505517)

[12.1 Roles and Responsibilities 44](#_Toc185505518)

[12.2 Risk Management Processes 45](#_Toc185505519)

[12.2.1 Risk Identification 46](#_Toc185505520)

[12.2.2 Risk Analysis 46](#_Toc185505521)

[12.2.3 Risk Response Planning 47](#_Toc185505522)

[12.2.4 Risk Monitoring and Control Activities 47](#_Toc185505523)

[12.3 Issue Management Processes 48](#_Toc185505524)

[12.3.1 Issue Identification 48](#_Toc185505525)

[12.3.2 Issue Analysis 48](#_Toc185505526)

[12.3.3 Issue Resolution and Escalation 49](#_Toc185505527)

[12.3.4 Issue Control, Tracking, and Reporting Activities 49](#_Toc185505528)

[13. Release & Iteration Management 49](#_Toc185505529)

[13.1 Organizational Change Management 50](#_Toc185505530)

[13.2 Transition & Closeout Management 51](#_Toc185505531)

[14. Change Control Management 51](#_Toc185505532)

[14.1 Roles and Responsibilities 51](#_Toc185505533)

[14.2 Change Control Management Process 52](#_Toc185505534)

[14.2.1 Change Request Identification 52](#_Toc185505535)

[14.2.2 Change Request Analysis 52](#_Toc185505536)

[14.2.3 Change Request Approval 53](#_Toc185505537)

[14.2.4 Change Request Implementation 53](#_Toc185505538)

[14.3 Change Request Tracking and Reporting 53](#_Toc185505539)

[15. Test Management 54](#_Toc185505540)

[16. Appendix A 55](#_Toc185505541)

[16.1 Other Documents 55](#_Toc185505542)

[16.1.1 Baselines 55](#_Toc185505543)

[Budget Baseline 55](#_Toc185505544)

[Performance Measurement Baseline 55](#_Toc185505545)

[Project & Milestone Schedule Baseline 55](#_Toc185505546)

[Scope Baseline 55](#_Toc185505547)

[16.1.2 Charts 55](#_Toc185505548)

[Organizational & Resource Breakdown Structure (Organizational Charts) 55](#_Toc185505549)

[Product Breakdown Structure (Architectural Diagram) 55](#_Toc185505550)

[Work Breakdown Structure 55](#_Toc185505551)

[16.1.3 Logs & Registers 55](#_Toc185505552)

[Assumptions & Constraints Log 55](#_Toc185505553)

[Backlog or Risk-Adjusted Backlog 55](#_Toc185505554)

[Change & Decision Log 55](#_Toc185505555)

[Issue Log & Risk Register 55](#_Toc185505556)

[Lessons Learned Register 55](#_Toc185505557)

[Stakeholder Register 55](#_Toc185505558)

[16.1.4 Project Charter 55](#_Toc185505559)

[16.1.5 Requirement Traceability Matrix 55](#_Toc185505560)

[16.1.6 User Stories, Features, & Epics 55](#_Toc185505561)

[16.1.7 Visual Data & Information 55](#_Toc185505562)

[As-Is (Current State) Process Flows 55](#_Toc185505563)

[Project & Procurement Roadmap 55](#_Toc185505564)

[Responsibility Assignment Matrix (RACI Chart) 55](#_Toc185505565)

[Storyboards 56](#_Toc185505566)

[To-Be (Future State) Process Flows 56](#_Toc185505567)

[16.2 Other Project Management Plans (Placeholders) 56](#_Toc185505568)

[16.2.1 Configuration & Test Management 56](#_Toc185505569)

[16.2.2 Data Management 56](#_Toc185505570)

[16.2.3 Organizational Change Management 56](#_Toc185505571)

[16.2.4 Transition & Closeout Management 56](#_Toc185505572)

# Introduction

The comprehensive Project Management Plan (PM Plan) defines how the State will execute, monitor, control, and close out this Project.

The PM Plan’s elements include:

* Project Governance
* Requirements Management
* Scope Management
* Quality Management
* Resource Management
* Schedule Management
* Cost Management
* Contract & Procurement Management
* Stakeholder Management
* Communications Management
* Risk & Issue Management
* Release & Iteration Management
* Change Control Management
* Test Management

## Project Overview

[Insert an overview of the Project here]

# Project Governance

Project governance is an oversight function aligned with the State’s governance model, encompassing the Project Delivery Lifecycle (PDL). The project governance framework provides the Project’s team with structure, processes, decision-making models, and tools for managing the Project while supporting and controlling the Project for successful delivery.

The governance process benefits the Project by achieving the following objectives:

* Ensuring timely decisions are made at the appropriate level
* Ensuring the Project maintains sponsorship and funding
* Providing strategic leadership and direction
* Fostering a culture of accountability and transparency
* Providing oversight and guidance to improve the potential for success
* Promoting efficient and effective teams, reduced risks, and effective use of resources
* Ensuring needed resources are available
* Ensuring that business impacts are regularly identified, communicated, and understood by stakeholders and business partners

## Governing Bodies

The following governing bodies have a role in governing the Project: An Executive Steering Committee (ESC), a Project Advisory Committee (PAC), and a Change Control Board (CCB). The ESC represents impacted stakeholders and business partners and provides strategic direction to ensure the Project fulfills its goals and objectives.

Table 1: Project Governing Bodies

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Committee Name** | **Responsibilities** | **Committee Type** | **Meeting Frequency** | **Comments and Assignments** |
| Executive Steering Committee | Project Oversight | Decision-Making | Monthly | * Governance of the Project representing the interest of all stakeholders * Resolve Issues Escalated by the Project Sponsor |
| Project Advisory Committee | Assist in the direction of the Project | Advisory | Monthly | * Advise the Project Sponsor on project requirements, scope, and progress. |
| Change Control Board | Review and analyze change requests and ensure that scope, schedule, and cost impacts are identified and acceptable. | Decision-Making | Weekly | * Approve or reject change requests. * The CCB may escalate some change requests to the Project Sponsor and/or Executive Steering Committee. |

## Project Governance Structure

The State is utilizing a functional organization for this Project, as shown in the following diagram.

[Insert Project Governance Structure diagram]

## Roles and Responsibilities

The table of Roles and Responsibilities describes the duties of project roles that govern the Project.

Table 2: Project Roles and Responsibilities

|  |  |
| --- | --- |
| **Role** | **Responsibilities** |
| Executive Sponsor | * Provides le3adershi on culture and values * Owns the business case * Keeps the Project aligned with the organization’s strategy and portfolio direction * Governs project risk * Works with other sponsors * Focuses on the realization of benefits * Recommends opportunities to optimize cost/benefits * Ensures continuity of sponsorship * Provides feedback and lessons learned |
| Project Sponsor | * Oversee project governance and serve as the final arbiter on disputes among stakeholders * Approve any changes in scope, schedule, or cost when these change beyond the percentages specified in their sections of this document * Ensure that external governing entities are appropriately consulted and engaged to approve changes where required. * Ensure that stakeholders who must provide advice about decisions have the opportunity for meaningful input. * Maintain a shared vision among ESC members inside and outside of meetings * Monitor risks and issues to make sure that matters are appropriately referred for prompt decisions * Remove obstacles * Chair the ESC |
| Executive Steering Committee | * Recommend to the Project Sponsor any changes in scope, schedule, or cost when these changes are beyond the percentages specified in the sections of this document * Simultaneously provide global governance of the Project and represent the interest of internal and external stakeholders. * Review and address project audits, quality assurance, and risk assessment findings. * Actively review project status to control scope, schedule, and cost. * Identify and resolve conflicts between project objectives/activities and other factors, such as organizational policies, business practices, standards, or relevant requirements. * Ensure compliance with relevant regulatory and contractual requirements and organizational policies. |
| Project Manager | * Make daily decisions based on direction provided by the Project Sponsor or when changes are within the agreed-upon delegated authority. * Ensure other stakeholders have the opportunities and information necessary to advise on pending decisions. * Communicate with the Project Sponsor regarding decisions made * Escalate issues for resolutions to the Project Sponsor when they are outside the Project Manager’s span of control * Ensure that decision items are properly analyzed before presenting them for decision * Compile and track requested changes to scope, requirements, or design details |
| Assistant Project Manager | * Make recommendations based on direction provided by the Project Manager or when changes are within the agreed-upon delegated authority. * Ensure other stakeholders have the opportunities and information necessary to advise on pending decisions. * Escalate issues for resolution to the Project Manager * Ensure that decision items are properly analyzed before presenting them for recommendation * Assist in compiling and tracking requested changes to scope, requirements, or design details |
| Project Advisory Committee | * Advise the Project Sponsor, Project Manager, and Assistant Project Manager on project requirements, scope, and progress. |
| Change Control Board | * Analyze the requested changes * Approve or reject requested changes * Final approval may also need ratification by the Project Sponsor and the ESC. |

# Requirements Management

The Requirements Management Plan describes how requirements will be defined, documented, prioritized, and managed to meet stakeholder needs and project objectives.

## Roles and Responsibilities

Table 14: Requirements Management Roles and Responsibilities

|  |  |
| --- | --- |
| **Role** | **Responsibilities** |
| Project Sponsor | * Approve the Requirements Management Plan * Assure Business Owners and SMEs are available for requirements development review and approval of requirements documentation. * Provide overall business leadership to ensure the requirements baseline is maintained. |
| Executive Steering Committee | * Review requirements documentation and plans |
| Project Manager | * Lead a team in the development of the Requirements Management Plan * Provide regular status on requirements efforts * Ensure the overall requirements management effort is being executed following this Plan * Ensure there are sufficient resources to execute this Plan and that requirements management activities are being performed within the assigned timeframe * Ensure requests for requirements changes have followed the approved Change Management Plan and that approved changes to the baseline have been promptly incorporated into the requirements baseline. |
| Requirements Lead | * Along with the Project Manager and Business Analyst(s), develop the Requirements Management Plan * Execute processes and activities outlined in the Requirements Management Plan * Oversee and manage the overall requirements management effort and the requirements repository containing the requirements baseline. * Ensure requirements are organized, managed, and controlled, as well as issues are identified and resolved within the assigned timeframe to minimize rework * Contribute to the development of requirements documentation and the Requirements Traceability Matrix. |
| Business Owner(s) | * Review and recommend approval of the requirements documentation and the Requirements Traceability Matrix. * Participate in the requirements status reviews. * Review requirements management reports to ensure the requirements baseline is complete, that all approved changes are incorporated, and that impacts caused by changes are identified within the repository. |
| Business SME(s) | * Participate in the process of identifying and documenting requirements * Attend the requirements status reviews |
| Business Analyst(s) | * Analyze, document, and catalog the business processes for the related business unit. * Define data elements * Document the relationships between business units, roles, capabilities, data elements, processes, systems, and technology. * Recommend changes in business processes. * Conduct interviews to gather and document user requirements via workshops, questionnaires, surveys, site visits, workflows, storyboards, use cases, scenarios, and other methods. * Communicate business requirements changes to the Project Manager * Work with the Enterprise Architecture (EA) team to apply a structured business capabilities architecture approach and methodology for capturing the key views of the business and IT |
| Vendor Project Manager(s) | * Ensure the Vendor team complies with the requirements management processes and procedures within this Plan and follows requirements in the Vendor’s contract. * Perform reviews of the requirements management work performed by the Vendor team and verify that work complies with the requirements management processes described in this Plan and the requirements in the Vendor’s contract * Identify issues with the project manager within the assigned timeframe to minimize the amount of rework necessary for the state and vendor teams. |

## Requirements Management Approach

The requirements management approach for the Project specifies the development and change management processes. The development process includes elicitation, analysis, specification, and validation. Once validated and baselined, the change management section describes how requirement updates are managed.

Table 15: Requirement Types

|  |  |
| --- | --- |
| **Requirement Type** | **Definition** |
| Business Requirements | A business requirement is something that the business needs to do. Your business requirements change less than your functional requirements, and they are typically more objective. The Business Requirement would read something like: “We need to contact the customer with XYZ information,” not “the system will…” Examples include:   * A process they must complete * A piece of data they need to use for that process * A California policy that governs that process or data |
| Functional Requirements | Functional Requirements define a system’s function or components (what the system should do). Examples include:   * Authentication * Authorization Levels * Audit Tracking * Business Rules * Calculations * External Interfaces * Historical Data * Reporting Requirements * Technical Details * Data Manipulation and Processing |
| Non-Functional Requirements | Non-functional requirements specify criteria that can be used to judge the operation of a system (describe how a system should behave and what limits there are on its functionality). Examples include:   * Accessibility * Availability * Backup * Data Retention * Disaster Recovery * Platform Compatibility * Reporting * Security * Supportability * Testability * Usability |

## Requirements Development

### Requirements Elicitation

The project team will facilitate various methods to collect requirements, including interviews, focus groups, facilitated workshops, group creativity techniques, questionnaires and surveys, or product prototypes.

The project team will facilitate requirements elicitation with all stakeholder groups to ensure they capture all requirements. The As-Is (Current State) Process Flows will be captured and documented in various forms and formats. In early iterations, requirements may be created primarily as graphics, such as flow charts and pictures, and captured in the form they were initially developed (e.g., Visio, PowerPoint, JPEG). However, as the requirements are further refined (e.g., high-level to mid-level), they must be broken down and captured in the Requirements Traceability Matrix to allow for later analysis. Many sessions may be required to elicit all requirements.

### Requirements Analysis

Once the requirements have been elicited and defined, the project team will analyze and group requirements into subsets around a familiar context. The project team will identify problems in the form of requirement gaps in completeness, conflicts or inconsistency, affordability, and scope. The project team will address these problems with the stakeholder group that provided the requirement. Stakeholders will review and validate each requirement set once the larger group resolves the conflict. Additionally, this analysis will determine where the requirements will fall in the WBS or what work activities correspond to requirements.

The Project Manager will facilitate stakeholder meetings to establish priorities for all project requirements. This Project will use a three-level scale to prioritize requirements.

* Mandatory ― Indicates that the requirement is of the highest importance and critical to the success of the Project.
* Highly Desirable― Indicates requirements to make the final product more appealing to end users and meet practical but not mission-critical business requests.
* Desirable ― Indicates the requirement will add significant value to the Project. However, if meeting the proposed requirement adds considerable cost or duration to the Project, it may be disregarded.

As the Project moves forward and additional constraints are identified or there are resource issues, it may be necessary for the project team and stakeholders to meet to determine what requirements must be achieved, which can be re-baselined, or which can be omitted. These determinations will be made in a collaborative effort based on the priorities of the requirements and which level they are assigned. As any changes in requirements are made, all project documentation must be updated, and changes communicated to all project stakeholders.

## Requirements Specification

Reviewing and approving requirements will include the following steps:

1. Determine distribution list of Reviewers, Approvers, and Project Team
2. Distribute the Requirements document to the distribution list
3. Solicit feedback and document responses
4. Incorporate specific responses that do not impact other Stakeholders
5. Plan and schedule Requirements Approving Workshop
6. Conduct Requirements Approving Workshop
7. Address all responses received from Step 3 above

Once all the requirements have been reviewed and signed off, they will be “base-lined” and become the first official version of the project requirements. Any change to the requirements will require a change request. The baseline requirements will be the approved plan that maps out the development that will take place leading to the delivery of the product.

The following documentation will be included in the baseline documentation:

* Use Cases― Individual scenarios that describe the user’s requirements
* Data Dictionary― The definition of all data items and structures so that all Stakeholders consistently use the same terminology and understand it
* Analysis Models― Graphical analysis models such as class diagrams, entity-relationship diagrams, state-transition diagrams, object diagrams, domain models, and/or data flow diagrams

Once approved, the baseline document will be the foundation of the requirements management process and the agreement between the project team and the business. The documentation will have

rigorous version control to ensure that all Stakeholders are working on the same version of the document.

## Requirements Validation through Traceability

The Requirements Traceability Matrix is a tool to ensure that the State does not expand the scope of the Project by adding design elements, code, and tests. Thus, it traces the deliverables by establishing a thread for each requirement- from the Project’s initiation to the final implementation. This matrix is bi-directional. It tracks the requirement forward by examining the output of the deliverables and backward by looking at the business requirement specified for a particular product feature. The Requirements Traceability Matrix is also used to verify that all requirements are met and to identify changes to the scope when they occur. The Requirements Traceability Matrix can be used during all phases of a project to:

* Track all requirements and determine whether the current process and design meet them.
* Assist in creating the RFP, Project Plan Tasks, Deliverable Documents, and Test Scripts.
* Help ensure that all system requirements have been met during the Verification process.

The Requirements Traceability Matrix will ensure that the project team verifies that all requirements are completed following the Project Charter. The Requirements Traceability Matrix provides a thread from all requirements through design, testing, and user acceptance. Any approved changes in project scope or requirements will result in changes to the traceability matrix. Based on the impacts of the approved changes, the Project Manager will make the necessary changes to the matrix and communicate those changes to all project stakeholders.

## Requirements Change Management

The Project Sponsor must carefully consider any proposed changes in the Project’s requirements before approval and implementation. Requirements may change for the following reasons:

* A missed requirement
* An identified defect
* The business did not understand the actual need
* Political priorities
* Legislative changes

Such changes will likely significantly impact project scope, time, and cost. The CCB will review any proposed changes to project requirements, as the role of the CCB is to review and determine the impact of the proposed change on the Project and seek clarification on the proposed change. The Project Sponsor is responsible for approving any project scope, time, or cost changes and is an integral part of the change review and approval process.

# Scope Management

The Scope Management Plan provides a framework for defining, developing, monitoring, controlling, and validating what is. The Project does not include it to prevent scope creep and align with its objectives.

Scope Management is the collection of processes to ensure that the Project includes all the work required to complete it while excluding all work that is not necessary. Scope Management describes how the Project will control the activities, deliverables, and the roles and responsibilities of all those involved.

Scope Management addresses the following:

* Who has the authority and responsibility for scope management
* How the scope is defined (e.g., Requirements, Scope Statement, Work Breakdown Structure (WBS), WBS Dictionary, Statement of Work (SOW))
* How the scope is measured and verified (e.g., Quality Checklists, Scope Baseline, Performance Measurement Baseline)
* Who is responsible for the final acceptance of the Project’s scope

## Scope Development

The Project’s Scope Management will follow a five (5) step process: Collect Requirements, Define Scope, Create WBS, Verify Scope, and Control Scope.

1. Collect Requirements – The project team will define and document the requirements to meet all project objectives. After the requirements have been identified and documented, the team will collectively discuss details associated with meeting each requirement, conduct interviews and follow-up discussions to clarify the requirements, and report them in sufficient detail in a Requirements Traceability Matrix to measure them once the Project begins the execution phase. This documentation also serves as input to the next step, defining scope.
2. Define Scope – The project team will develop a project scope statement that includes deliverables, assumptions, and constraints and establishes the framework for the project work.
3. Create WBS – The project team will create a WBS by breaking project deliverables into work packages.
4. Verify Scope – The project team will follow the documented deliverable acceptance process to review and accept all deliverables.
5. Control Scope – The project team will follow the Change Control Management Plan if there are any changes to the scope baseline.

Scope Management will be the Project Manager’s sole responsibility for this Project. The Project Manager, the Project Sponsor, and the stakeholders will establish and approve documentation for defining and measuring the Project’s scope, which includes Quality Checklists and the Performance Measurement Baseline. Scope Verification happens at the end of each project phase or iteration. Scope Verification ensures that the Project’s deliverables align with the Project’s scope. The Quality Checklists will be developed for each deliverable. Based on feedback and input from the Project Manager and stakeholders, the Project Sponsor is responsible for accepting the final project scope and its deliverables.

Any member of the project team may initiate proposed scope changes. The Change Control Management process will manage all change requests.

## Roles and Responsibilities

This section defines the roles and responsibilities of key persons involved in managing the Project’s scope.

Table 3: Scope Management Roles and Responsibilities

|  |  |
| --- | --- |
| **Role** | **Responsibilities** |
| Project Sponsor | * Approve the Scope Management Plan * Provide and approve a high-level scope definition (found in the Project Charter) * Review escalated scope issues and provide direction for resolution * Approve major Scope Change Requests * Confirm all Scope Management decisions * Approve or deny Scope Change Requests as appropriate * Evaluate the need for Scope Change Requests * Accept Project deliverables |
| Executive Steering Committee | * Participate in Scope definition activities. * Review major Scope Change Requests and make the final decision or recommendations to the Project Sponsor. |
| Project Manager | * Oversee the development of the Scope Management Plan * Assume overall responsibility for Scope Management * Manage deliverable verification and acceptance * Measure and verify project scope * Facilitate Scope Change Requests * Facilitate impact assessments of Scope Change Requests * Approve Scope Change Requests within their authority * Escalate scope and change issues as necessary * Organize and facilitate Scope Change Control meetings * Communicate outcomes of Scope Change Requests * Update project documents upon approval of all scope changes |
| Deliverable Lead | * Review deliverables for alignment with requirements in the Requirements Traceability Matrix. * Forward deliverables for review to appropriate groups * Track deliverables in the Status Log * Compile written feedback from reviewers * Work with the Project Manager to determine if a deliverable should be accepted or rejected. |
| Subject Matter Experts | * Help develop the Project Scope Statement * Submit Scope Change Requests * Review Scope Change Requests when assigned * Provide feedback as and when required * Participate in team-level Scope Change Reviews * Participate in defining change resolutions * Evaluate the need for scope changes and communicate them to the Project Manager as necessary. |

## Scope Definition

The project team defined this Project’s scope through a comprehensive requirements collection process. The project team thoroughly analyzed the Agency’s needs based on employee and user feedback. From this information, the project team developed the requirements documentation, the Requirements Management Plan, and the Requirements Traceability Matrix.

The project team based the project description and deliverables on the requirements collection process and input from Subject Matter Experts (SMEs) in software design, technical support, programming, and business applications. The approved scope statement baselines the scope and is in the project repository [provide repository link].

## Work Breakdown Structure (WBS)

Creating a WBS subdivides project deliverables and work into smaller, more manageable components. The key benefit of this process is that it provides a structured vision of what must be delivered.

First, all project deliverables/milestones were identified and then decomposed individually into a detailed and sequential list of activities required to complete the deliverable or milestone.

It will be subdivided into individual work packages to manage the work required to complete this Project effectively. These work packages allow the Project Manager to manage the Project’s scope more effectively as the project team works on the tasks necessary for completion. Once all the work packages and tasks are defined, the Project Manager will document the task durations, resources, and dependencies in the Project Schedule.

## Scope Validation

The project team will review the Project’s deliverables and accept them through the Project’s formal acceptance process. The Project Manager and Contract and Procurement Manager will communicate any comments or revisions directly to the Vendor, and the Vendor’s response will be managed against the project timeline identified in the SOW. A “user acceptance” form will verify the project team and Vendor’s deliverable acceptance. Any disputes will be resolved according to the stated contract. All deliverables will only be accepted if they meet the respective acceptance criteria identified in the contract.

Table 4: Deliverable Review Process Details

|  |  |  |  |
| --- | --- | --- | --- |
| **Process Step** | **Description** | **Primary Responsible Party** | **Available Tool(s)** |
| 1 | Deliverable is submitted. Submissions must be clearly labeled according to the approved Deliverable Formatting Guidelines. | Vendor | Vendor Contract |
| 2 | Acknowledge receipt of deliverable (to the Vendor) and forward to the Deliverable Lead for review. | Project Manager |  |
| 3 | Review deliverables. | Deliverable Lead |  |
| 4 | Forward to other reviewers, as applicable, for feedback with a Comment Log. | Deliverable Lead |  |
| 5 | Review deliverables, record feedback in the Comment Log, and return to the Deliverable Lead. | Reviewers | Comment Log |
| 6 | Compile all feedback in the Comment Log and make appropriate recommendations with compiled written input to the Project Manager. | Deliverable Lead | Comment Log |
| 7 | If the deliverable is rejected, proceed to Step 8. If approved, proceed to Step 10. | Project Manager |  |
| 8 | Prepare a Deliverable Rejection Letter and send it to the Vendor with the Deliverable Lead’s compiled written input. | Project Manager | Deliverable Rejection Letter, Comment Log |
| 9 | Address feedback and return to Step 1. | Vendor |  |
| 10 | Prepare a Deliverable Approval Letter, obtain the signature of the appropriate level of authority, and send it to the Vendor along with the Deliverable Lead’s compiled written input. | Project Manager | Deliverable Approval Letter, Comment Log |
| 11 | File all submissions of the deliverable, feedback, recommendations, and all approval and rejection letters. | Project Manager |  |

### Tracking Deliverables

The deliverable schedule tracks deliverable due dates, the receipt date of deliverables, their associated invoices, and both due dates and receipt dates for agency feedback. The schedule also identifies who the Deliverable Lead is as well as additional reviewers. The Project Manager will create a task for each deliverable in the schedule to track the entire review process. The Deliverable Lead will update the task at each process step to ensure the review is on schedule.

The Project Sponsor and Project Manager will assist the Deliverable Lead in identifying other reviewers for deliverables. Additional reviewers review the deliverable based on their expertise and provide feedback to the Deliverable Lead.

The Project Manager maintains the schedule of deliverables, which is located here: [provide repository link].

### Receiving Deliverables

The Vendor will submit deliverables electronically to [provide repository link] and notify the Deliverable Lead of submission. When the notification is received, the Deliverable Lead will log the receipt of all deliverables in the Deliverable Tracking Spreadsheet. The Deliverable Lead will assign users access to this spreadsheet as appropriate.

### Preparing and Routing Deliverables

Once a deliverable is received, the Deliverable Lead notifies the identified reviewers by email with their assignment and due date when their feedback and recommendation are due. Refer to the Deliverable Tracking Spreadsheet for the names of Deliverable Leads and reviewers. A Deliverable Checklist may also be in the same repository as the Deliverable Tracking Spreadsheet to assist reviewers in validating the thoroughness of the deliverable.

### Reviewing Deliverables

Any submitted deliverable will first be reviewed by the Deliverable Lead and measured against the Deliverable Checklist, applicable contract requirements, industry standards, and adherence to mandated templates or formats. All pre-defined acceptance criteria will be referenced and used in the review. This preliminary review will be supplemented as necessary by involved stakeholders.

While performing a review, feedback is recorded on the Feedback Log in the project repository. Writing feedback is a critical and mandatory part of the deliverable management process. Feedback provides a written record of the review and establishes due diligence by project staff.

When rejecting a deliverable, the State provides the feedback recorded in the feedback log to the Vendor, who must modify the deliverable based on feedback before resubmitting. Examples of feedback are corrections of information within the deliverable, disagreement on items within the deliverable, needed clarification on items, or missing items that the state thinks should be included in

the deliverable.

The Deliverable Lead will conduct a group walkthrough with all reviewers to discuss their feedback as a group after doing the initial individual review.

The Deliverable Lead will:

* Determine what feedback needs to be included with the recommendation for approval or
* rejection of the deliverable.
* Consolidate and compile all the feedback from the Feedback Log.
* Upload the final input and recommendation to the Control Deliverables file share location.
* Makes the final recommendation on whether to approve or reject the deliverable.

A group walkthrough may also include the Vendor to discuss the feedback or the basis for rejecting a deliverable. If the deliverable is denied, the Deliverable Lead will:

* Prepare the rejection letter using the Deliverable Rejection Letter Template.
* Obtain the appropriate signature for the rejection letter.
* Email the rejection letter to the Vendor along with the feedback outlining the basis for the rejection.

The Vendor will modify the deliverable based on the feedback and resubmit it to [provide repository link] for another review. In all cases, the Deliverable Lead will expeditiously (within 24 hours) email the identified reviewers. This process must be repeated until the deliverable meets the criteria for approval.

The Deliverable Lead may choose to approve a deliverable to move forward conditionally. Conditional acceptance is only used for minor corrections. The Vendor will have TBD days to make the needed changes or provide additional materials before resubmitting the deliverable. The deliverable may not need to go through a full review again.

The Deliverable Lead may only need to review the corrections and spot-check the rest of the deliverable to ensure no other errors are introduced. The deliverable is not considered closed until all the corrections are made. A letter is sent to the Vendor with the conditional approval terms using the Deliverable Conditional Approval Letter Template.

### Closing Deliverables

When a deliverable is approved, it can be closed. The PM will prepare the approval letter using the Deliverable Approval Letter Template, get the appropriate signature on the approval letter, and email the signed letter to the Vendor.

The Deliverable Lead will upload the final approved deliverable and approval letter to the project repository under [provide repository link] and record the approval date in the corresponding tracking tool.

## Scope Control

The Project Manager and team will work together to control the Project’s scope. The project team will ensure that they perform only the work described in the WBS and scope. The Project Manager will oversee the project team and the Project’s progression to ensure that the scope control process is followed.

Any request for change in project scope will be processed through the Project’s Change Control Management process. Proposed scope changes will be reviewed. If the Project Manager and Project Sponsor determine that the request has merit, it will be analyzed for its impact on project time and project costs, and a risk assessment of the scope change will be conducted. If the change is approved, the Project’s WBS and WBS Dictionary will be updated and re-baselined, the project schedule will be updated and may be re-baselined, and the Project’s requirements set will be updated.

# Quality Management

The Quality Management Plan describes how deliverables meet defined quality standards through continuous monitoring and improvement. The Plan defines the applicable policies, procedures, and guidelines that will be implemented to achieve the quality objectives.

Quality management includes the processes required for the State to review key product documents and deliverables, assess quality, the timing of quality reviews, what resources are needed, and how to design review procedures.

The State requires the Vendor to deliver a functional product that meets all functional requirements listed in the solicitation and resulting contract. Unless otherwise stated in the Vendor’s agreement, the State’s core project team reviews all deliverables against the functional requirements within two (2) weeks of delivery. The Vendor will remedy any deliverable not meeting the functional requirement within two weeks of the finding.

User Acceptance Testing (UAT) will start when the Vendor delivers a working solution. Unless otherwise specified in the Vendor’s agreement, the State and stakeholders will perform the UAT within four (4) weeks of delivery. Any finding from the UAT will need to be remedied by the Vendor within four (4) weeks of the finding.

## Roles and Responsibilities

Table 23: Quality Management Roles and Responsibilities

|  |  |
| --- | --- |
| **Role** | **Responsibilities** |
| Project Sponsor | * Set the tone and expectation for Project and Product quality * Review and approve the Quality Management Plan * Oversee quality management activities |
| Executive Steering Committee | * Review Quality Management Plan |
| Project Manager | * Develop and maintain the overall PM Plan * Create, along with the Product and Quality Managers, the Quality Management Plan * Oversee overall Project quality and deliverables * Ensure quality management activities are conducted per this Plan * Develop and track Project metrics * Oversee Vendor activities as related to quality * Promote a quality culture within the Project |
| Product Manager | * Create, along with the Project and Quality Managers, the Quality Management Plan * Oversee overall Product quality and deliverables * Ensure quality management activities are conducted per this Plan * Develop and track Product metrics * Oversee Vendor activities as related to quality * Promote a quality culture within the Project |
| Quality Manager | * Create, along with the Project and Project Managers, the Quality Management Plan * Maintain the Quality Management Plan * Identify Project and Product quality standards and metrics * Manage day-to-day quality management activities * Provide oversight and audits of Project processes, including, but not limited to, Project Office processes, business processes, and procedures * Identify and escalate any critical quality issues to the Project Manager, ESC, and the Project Sponsor * Collect and analyze Project and Product metrics * Establish reporting standards that provide findings from quality measurements periodically; these findings identify areas where business, technical, and management quality objectives are or are not met or where trends in quality are moving in or out of control limits * Establish and maintain a repository for quality measurement and tracking |
| Project Core Team | * Participate in quality definition activities. * Review significant quality issues and approve or make recommendations to the Project Manager, ESC, and Project Sponsor as needed * Participate in quality review meetings * Monitor and resolve quality issues that are raised with them * Ensure adherence to processes and standards * Ensure deliverables meet quality standards * Flag quality issues to the Quality Manager * Promote a quality culture within the Project |

## Quality Management Approach

The scope of this Quality Management Plan includes the following steps, which relate to both Process and Product Quality:

* Quality Definition ― Quality definition is specific to a project process or a product. It sets the standard for acceptability
* Quality Measurement ― Quality measurement combines processes and tools that compare project processes and products to their quality definitions.
* Quality Improvement ― Quality improvement is the steps a project takes to increase the quality of processes employed during the project and products resulting from the Project.

Process Quality focuses on the processes used to create the project deliverables. In this project, Process Quality also includes the project management plans. Process Quality ensures the project’s policies and procedures are being adhered to by project participants. For each process, there is a plan. After the plan has been approved and implemented, the corresponding process is reviewed on a predetermined frequency, depending on its complexity and criticality, to ensure it is consistently followed. If the process is not being followed, a quality improvement corrective action plan is developed and implemented to realign the process with its quality definition.

Product Quality focuses on the project deliverables. Product Quality ensures that the deliverables are acceptable, meet their stated deliverable acceptance criteria, and are complete and correct. Each work product is reviewed against the standard governing its production as well as against any applicable project practices. If the product does not meet its acceptance criteria, a quality improvement corrective action plan is developed and implemented to realign the product with its quality definition.

## Process Quality

Process quality ensures project participants follow applicable standards, processes, policies, procedures, and checks as they create project deliverables. During this process, audits are conducted against stated quality requirements. Audit results are presented to the Project Sponsor, the ESC, and other committees. Deficiencies in quality are flagged, and corrective actions are put in place. This audit ensures that the processes employed to produce project deliverables are sound and will improve the chances of project success. For example, projects may have Independent Quality Assurance to perform the quality processes mentioned earlier.

### Process Definition

The following table shows the project management process-related items that will be measured for quality throughout the project, the criteria by which they will be measured, and the metrics used.

Table 24: Process Quality Metrics

|  |  |  |
| --- | --- | --- |
| **Phase** | **Process** | **Metrics** |
| Initiating | Project Charter Development | * The Project Charter's scope and contents are compliant with the State’s standards * The Project Charter is formally signed by the Project Sponsor and the ESC |
| Planning | Project Planning | * The PM Plan meets applicable standards and is approved by the appropriate stakeholders |
| Executing | Change Control Management | * Number of pending Change Requests * Time to complete Change Request analysis * Time to finalize a decision on a Change Request * Time to implement a Change Request |

### Process Measurement

The following is a list of Process Quality reviews:

* Documentation Review ― Review the PM Plans and other project documentation to determine if documentation and PMBOK standards are being followed.
* Project Process Review ― Review the PM Plan’s processes to determine if they are being followed or if there is a need for improvement.
* Post-Implementation Review ― Review project efforts and outcomes to capture lessons learned from the project. The information captured can be used by other projects to learn from the successes and avoid any pitfalls the project may have experienced. This review is held after the project.

### Process Improvement

To respond to defect reports, the Project Manager will process approved improvements through the Project’s formal Change Control process. See the project’s Change Management Plan for additional details.

## Product Quality

Product quality assessments ensure deliverables meet quality standards defined in the Quality Management Plan. The assessments also ensure that deliverables are complete and correct. Quality standards include such items as documentation standards, design and coding standards, testing standards, and test coverage requirements.

### Product Definition

The following table shows the product and product-related items that will be measured for quality throughout the project, the criteria by which they will be measured, and the metrics used.

Table 25: Product Quality Metrics

|  |  |  |
| --- | --- | --- |
| **Product** | **Criteria** | **Metrics** |
| Requirements Specification | Lists all business, functional, and non-functional requirements; lists all business rules for functional requirements; use cases support requirements. | * Requirements specification adheres to IEEE standards * Reviews have been conducted, and the specification is deemed to be complete |
| Detailed Design Specification | Detailed to the module level; follows enterprise architecture standards | * Design specification adheres to the State’s standards * Reviews have been conducted, and the specification is deemed complete * The Requirements Traceability Matrix mapping from the requirements to the design components is complete and addresses all requirements |
| System Configuration | Unit, integration, system, and acceptance testing | * Critical test cases passed, achieving complete functional coverage, fixing all high-priority or critical defects, and regression testing is complete. |

### Product Measurement

The following is a list of Product Quality reviews:

* System Requirements Specifications Review ― Check the adequacy of the requirements stated in the System Requirements Specifications (SRS). This review may not be necessary if the system requirements do not change significantly.
* Architecture Design Review ― Evaluate the technical adequacy of the preliminary design (top-level design) for the project’s components, sub-components, software, and services depicted in the contractor’s preliminary design description.
* Detailed Design Review ― Determine the acceptability of the detailed designs, as depicted in the contractor’s Detailed Design Document, to satisfy the requirements specified in the SRS.
* Functional Audit ― Verify that all requirements specified in the SRS document have been met. Functional Audits also include successful testing of the requirements.
* Physical Audit ― Verifies internal consistency of the software and its documentation, as well as readiness for release.
* In-Process Audit ― Validate the consistency of the design, including code versus design documentation, interface specifications (hardware and software), design implementations versus functional requirements, and functional requirements versus test descriptions. The project will employ in—process audits on an as-needed basis.
* Configuration Management Plan Review ― Evaluate the adequacy and completeness of the configuration management methods defined in the projects and the contractor’s Configuration Management Plan.

### Product Improvement

To respond to defect reports, the Project Manager will process approved improvements through the project’s formal Change Control process. See the Project’s Change Management Plan for additional details.

# Resource Management

The Resource Management Plan provides a strategy for acquiring, allocating, managing, and optimizing human, financial, and physical resources to achieve project goals efficiently.

## Roles and Responsibilities

Table 11: Resource Management Roles and Responsibilities

|  |  |
| --- | --- |
| **Role** | **Responsibilities** |
| Project Sponsor | * Provide overall guidance and direction to the project team * Provide final approval on project milestones and deliverables * Direct the acquisition of resources or funding for resources |
| IT Sponsor | * Provide overall guidance and direction for technical staff * Provide final approval for commitment of technical resources |
| Executive Steering Committee | * Ensure participation, collaboration, and commitment from all impacted organizational units. |
| Project Manager | * Develop the plan or lead the project team in the development of the Resource Management Plan (depending on the complexity of this plan) * Escalate staffing-related issues to the Project Sponsor or the Executive Steering Committee * Present the final plan to the Project Sponsor for approval * Attend oversight review and approval sessions and support the Project Sponsor in addressing oversight questions |
| Human Resources Lead | * Assist the Project Manager in identifying HR-related policies, constraints, and processes for hiring required staff * Support the Project Manager in developing job descriptions and navigating the State’s hiring process |
| Business Transition Lead | * Assist the Project Manager in identifying training and organizational change management resources and associated costs. |
| Project Team and Business Owner(s) | * Provide input on the staff estimating process * Provide input on the staff skill requirements * Provide requirements for staff availability and agreements (MOUs) |

## Project Organizational Chart

The Project Organizational Chart below provides a high-level graphical representation of the Project’s hierarchical reporting relationships. For a more detailed chart, please see this PM Plan’s appendix [enter link or document reference number].

Figure 1: Project Organizational Chart

[insert chart of the executive level of the Project]

## Project Staffing Estimates

Staffing estimates below are from an analysis of the WBS and the Project Schedule, considering the roles and skill sets needed to complete tasks.

Table 12: Project Staffing Estimates

|  |  |  |  |
| --- | --- | --- | --- |
| **Role/Responsibility** | **Number of Staff Required** | **Timeframe Needed** | **% of Time Needed** |
| Project Manager | 1 | Project Duration | 50% |
| Assistant Project Manager | 1 | Project Duration | 50% |
| Business Analyst | 1 | Project Duration | 25% |
| Policy SME | 4 | Project Duration | 25% |

## Staffing Acquisition Strategy

Project staff will consist entirely of internal resources. With support from the Project Sponsor, the Project Manager will negotiate with department managers to identify and assign resources. The appropriate manager must approve all resources before they begin any project work. Staff will be requested using a staff resource request form that includes:

* Objective of the activity
* Knowledge, skills, and abilities
* Duties
* Number of staff needed
* Specific named staff as appropriate
* Number of hours per week required
* Duration
* Start date

## Staff/Team Development

The Project Manager should allocate adequate time for team development activities. A high-performing project team can be formed by:

* Using open and effective communication
* Creating team-building opportunities
* Developing trust among team members
* Establishing team norms, values, and guiding principles
* Establishing recognition for positive contribution
* Managing conflicts in a constructive manner
* Encouraging collaborative problem-solving and decision-making

The following are the project team’s guiding principles:

* Collaboration: Be adaptive and open-minded.
* Growth: Learn from our mistakes and forgive others for their mistakes. Take chances even though we might fail.
* Respect: Assume good intent and deal with disagreements compassionately, immediately, and directly.
* Leadership: Lead by example, model best practices, work closely with team members, and partner with authentic, transparent relationships.
* Spirited: Create fun and very little weirdness.

## Project Orientation

The Project Manager will provide project orientation to all new project staff related to the following topics:

* Background of the Project
* Status of the Project
* Review of the project organization chart
* Specific job duties and expectations
* Introduction to the project team (management, staff, and consultants)
* Review project policies, standards, and tools
* Review approaches to Governance, Communication, and Change Control management
* Review the project calendar, including status meetings and team meetings
* Overview of the facility, amenities, nearby restaurants, parking, and transportation

## Staff Transition and Replacement

The Project Manager will manage and document all staff transitions in the Resource Management Plan. The Project Manager will notify all stakeholders and project staff of staffing changes as needed. The Project Manager will work with Vendors and State’s Contract & Procurement Manager to review and process resumes for key person replacements.

The Project Manager will document any vacancy which cannot be filled as a risk or issue.

## Transition at Project Completion

Per normal processes, project staff not associated with the transition to maintenance and operations (M&O) will be reassigned to other projects or positions within their department. The transition will include the communication and closeout (transfer) of any remaining tasks.

# Schedule Management

The Schedule Management Plan establishes the criteria and activities for developing, monitoring, and controlling timelines to ensure project activities are completed on time.

The State will use Microsoft Project to create and maintain the project schedule. Any change will be discussed at the weekly status update meeting.

It is important to note that this Project requires approval from the California Department of Technology (CDT) utilizing the PDL project approval process. The State will endeavor to meet every CDT request with quality submissions to maintain momentum for this Project. The project schedule contemplates CDT involvement, and the project team should maintain adherence to the schedule for project integrity.

## Schedule Development

Project schedules will be created and managed using MS Project, starting with the deliverables identified in the Project’s Work Breakdown Structure (WBS). Activity definition will specify the specific work packages that must be performed to complete each deliverable. Activity sequencing will determine the order of work packages and assign relationships between project activities. Activity duration estimating will calculate the number of work periods required to complete work packages. Resource estimating will allocate resources to work packages to complete schedule development.

Once a preliminary schedule has been developed, it will be reviewed by the project team and any resources assigned to project tasks. The project team and resources must agree to the proposed work package assignments, durations, and schedule. Once this is achieved, the project sponsor will review and approve the schedule, which will be baselined.

The following will be designated milestones for the project schedule:

* + Completion of scope statement and WBS/WBS Dictionary
  + Baseline project schedule
  + Approval of the final project budget
  + Project kick-off
  + Approval of roles and responsibilities
  + Requirements approval
  + Completion of data mapping/inventory
  + Project implementation
  + Acceptance of final deliverables

## Roles and Responsibilities

The following table describes the Roles and Responsibilities of team members involved in the Schedule Management process.

Table 5: Schedule Management Roles and Responsibilities

|  |  |
| --- | --- |
| **Role** | **Responsibilities** |
| Project Sponsor | * Review the proposed schedule * Approve the final schedule before it is baselined |
| Executive Steering Committee | * Review the schedule |
| Project Manager | * Facilitate work package definition, sequencing, and estimating durations and resources with the project team. * Create project schedule * Validate schedule with the project team, stakeholders, and Project Sponsor * Obtain approval from the Project Sponsor for the proposed schedule and the Schedule Baseline * Lead the project team in Schedule Management activities * Review, evaluate, and provide feedback on the schedule’s progress reports and time-risk recommendations from the Project Coordinator * Provide Regular status information in meetings with the Project Sponsor and ESC |
| Functional Managers | * Review and approve the time estimates for staff reporting to them * Notify the Project Manager and Project Coordinator of workload changes that may affect the schedule * Work with the Project Manager and Project Coordinator on resource schedule-related items for risks, issues, and possible changes |
| Project Coordinator | * Assist in the development of the Schedule Management Plan * Perform daily schedule-relat3ed analysis and updated activities accordingly * Lead Schedule Management activities, communicate schedule status, maintain the Project Schedule, and provide updates * Make schedule risks, issues, and change recommendations to the Project Manager |
| Subject Matter Experts | * Participate in work package definition, sequencing, and duration and resource estimating. * Review and validate the proposed schedule. * Notify the Project Manager and Project Coordinator about possible schedule risks and issues. * Provide accurate progress reporting during the Project. |

## Schedule Control

The Project Schedule will be reviewed and updated bi-weekly with actual start, actual finish, and completion percentages provided by task owners.

The Project Manager is responsible for holding bi-weekly schedule updates/reviews, determining the impacts of schedule variances, submitting schedule change requests, and reporting schedule status following the Project’s Communication Plan.

The project team is responsible for bi-weekly schedule updates/reviews, communicating any changes to actual start/finish dates to the Project Manager, and participating in schedule variance resolution activities as needed.

The Project Sponsor will maintain awareness of the project schedule status and review/approve any schedule change requests submitted by the project manager.

A consistent performance assessment methodology determines activity percent complete to ensure the objectivity of status reporting. For activities with planned durations of ten (10) working days or less, Milestones always use a 0/100 methodology. The performance measurement methodology must be documented in the task Notes field for tasks with more than ten (10) working days of planned duration.

As part of the status cycle, the Project Manager will conduct a health assessment and address any red flags violating the guidelines in the schedule management standard. The health assessment also indicates the Project’s Baseline Execution Index (BEI), which is the total number of tasks completed divided by the total number of expected tasks. The BEI is calculated weekly.

The following scheduled reports will be available at the specified time intervals during the Project:

Table 6: Schedule Reports

|  |  |  |  |
| --- | --- | --- | --- |
| **Report** | **Frequency** | **Author** | **Reporting Responsibility** |
| Resource Task Lists and Work Packages | Weekly on Mondays | Project Coordinator | Generate individual Resource Task Lists and Work Packages from the scheduling tool and make them available to project team members. |
| Project Schedule Report | Monthly on the 6th of each month | Project Coordinator | Generate the Project Schedule Report for use in the project status meeting |
| Project Master Schedule (Gantt Chart) | Monthly | Project Coordinator | Generate the updated Project Master Schedule (chart) for the project status meeting. |
| Executive Steering Project Report | Three (3) before each Executive Steering Committee Meeting | Project Manager | Generating the Executive Steering Committee Project Report for presentation |

## Schedule Changes and Thresholds

If any project team member determines that a schedule change is necessary, the Project Manager and team will meet to review and evaluate the change. The Project Manager and project team must decide which tasks will be impacted, the variance resulting from the potential change, and any alternatives or variance resolution activities they may employ to see how they would affect the scope, schedule, and resources. If the Project Manager determines that any change will exceed the established boundary conditions after completing this evaluation, a schedule change request must be submitted.

Suppose the change is estimated to reduce the duration of the overall baseline schedule by 10% or more or increase the duration of the overall baseline schedule by 10% or more. In that case, a schedule change request must be submitted to CDT via the Special Project Report (SPR) process for approval.

If the Project’s BEI dips below 0.85 or a deliverable forecast beyond its contractual due date, the Project Manager will develop a corrective action plan. The schedule status is yellow with a BEI of 0.90 and red at 0.85.

The Project Sponsor may approve any change requests that do not meet these thresholds after vetting by the CCB.

Once the change request has been reviewed and approved, the Project Manager is responsible for adjusting the schedule and communicating all changes and impacts to the Project Sponsor, project team, and stakeholders.

# Cost Management

The Cost Management Plan provides processes for planning, estimating, budgeting, funding, managing, and controlling project costs to ensure completion within approved financial constraints.

The Cost Management Plan includes lifecycle costs, value analysis, and risk. The following project cost estimates establish the budget for this Project. As previously mentioned, members’ time spent on the Project will be tracked in MS Project, and the cost will be at the fully loaded rate.

Spending for the Project will be reported to and approved by the Project Manager.

The Project Manager is responsible for delivering the Project on time and budget. Budget or timeline changes/concerns are first discussed with the Project Manager when they occur. The Project Manager will notify agency leadership of any change in budget or timeline that affects.

Additional information on the status of the Project’s budget can be found in the Project’s Financial Analysis Worksheet (FAW), located at [insert repository link].

## Roles and Responsibilities

Table 7: Cost Management Roles and Responsibilities:

|  |  |
| --- | --- |
| **Role** | **Responsibilities** |
| Project Sponsor | * Provide overall business leadership to ensure that cost and funding requirements are met. * Ensure requests for cost and funding changes have followed the approved Change Control Process and that approved changes have been incorporated into cost and funding documents within the assigned timeframe. * Review and approve cost and funding documents before sending them to control agencies. * Manage project budget to avoid cost overruns. |
| Executive Steering Committee | * Actively engage in project status reviews to ensure the control of the budget. |
| Project Manager | * Lead team in the development of the Cost Management Plan * Provide regular status information and make approval recommendations * Ensure the overall cost management effort is being executed per the plan * Ensure the entire project team, State, and Vendor (if applicable) are following this plan * Ensure adherence to all the other project processes that interact with or provide input into the management of cost * Ensure there are sufficient resources to execute this plan * Ensure cost management activities are being performed within the assigned timeframes * Manage and report on the Project’s costs * Present and lead the review of the Project’s cost performance for the preceding month at the monthly project status meetings * Account for cost deviation and present the Project Sponsor with options for getting the Project back on budget |
| Financial/Budget Manager (or Financial Lead) | * Work with the Project Manager and Financial/Budget Analyst(s) to develop the Cost Management Plan. * Manage processes and activities outlined in the Cost Management Plan * Lead the overall cost management effort and cost repository containing the cost and funding documents * Ensure cost processes are organized, managed, and controlled and that all issues are identified and resolved promptly to minimize rework * Contribute to the development of cost and funding documents |
| Financial/Budget Analyst(s) | * Assist in the development of the Cost Management Plan * Serve as an SME for cost management processes * Assist the Project Manager and Financial/Budget Manager in capturing, verifying, and communicating Project cost and funding requirements. |
| Funding Partners (e.g., state, local, or federal government) | * Approve significant cost variances via Budget Change Proposal and/or SPR in cases where reporting is necessary |

## Cost Management Approach

The Project Manager will be responsible for managing and reporting on the Project’s cost throughout the duration of the Project. During the monthly project status meeting, the Project Manager will meet with management to present and review the Project’s cost performance for the preceding month. The Project Manager is responsible for accounting for cost deviations and presenting the Project Sponsor with options for getting the Project back on budget. The Project Sponsor can change the Project to bring it back within budget.

## Cost Monitoring

A variance of up to 5% of the original or re-baselined cost will change the cost status to cautionary, and the value will be changed to yellow in the project status report. A more than 10% variance of the original or re-baselined cost will adjust the cost status to alert, and the value will be changed to red in the project status report. Corrective actions will require a project change request and must be approved by the Project Sponsor.

Managing the total cost of ownership for the Project will include building a total cost of ownership model for the Project’s life. It will establish the total project baseline budget and a time-phased baseline budget by month and fiscal year for all phases. Inputs are vendor software and implementation costs, contract deliverable payments, project team staffing costs, budgeted amounts for infrastructure costs, and all other anticipated costs to the Project.

The activities in the table below will be used to manage project costs:

Table 8: Cost Monitoring Activities

|  |  |  |
| --- | --- | --- |
| **Cost Management Activity** | **Date(s) Administered** | **Participant Roles** |
| Monthly Project Budget Review | First Week of Every Month | Project Manager  Financial/Budget Manager |
| Quarterly Project Cost Forecast | Third Week of Every Quarter | Project Sponsor  Project Manager  Financial/Budget Manager |
| Change Request(s) and Budget Impact Analysis | As Required | Financial/Budget Manager  Change Request Analyst |

## Reporting Format

The monthly status report will report cost management measures. It will identify all cost variances outside the thresholds identified in this Cost Management Plan and any planned corrective actions. The monthly status report will also identify and track change requests triggered by project cost overruns.

Table 9: Cost Management Reporting Format

|  |  |
| --- | --- |
|  | Under 5% of the Original or Re-baseline Cost |
|  | Within 5 – 10% of the Original or Re-baseline Cost |
|  | More than 10% of the Original or Re-baseline Cost |

The Project Manager will be responsible for managing and reporting on the project costs throughout the Project. During the monthly project status meeting, the Project Manager will present and review the Project’s cost performance for the preceding month.

## Cost Change Control Process

The Project Manager will present the Project Sponsor with options for corrective actions within five business days from when the cost variance is first reported. Within three business days of the Project Sponsor selecting a corrective action option, the Project Manager will present the Project Sponsor with a formal Cost Variance Corrective Action Plan. The Cost Variance Corrective Action Plan will detail the actions necessary to bring the Project back within budget and how the effectiveness of the actions in the plan will be measured. If the corrective actions result in a change, the Project’s overall Change Control Process must also be followed. Upon acceptance, the Project will be updated to reflect the corrective actions.

# Contract & Procurement Management

The Contract & Procurement Management Plan describes how the project team will monitor and control its contracts and acquire goods and services from outside the organization. Additionally, this Plan will provide a structured framework for how the project team will monitor and manage Vendor relationships to ensure quality, compliance, and value alignment.

## Roles and Responsibilities

Table 13: Contract and Procurement Management Roles and Responsibilities

|  |  |
| --- | --- |
| **Role** | **Responsibilities** |
| Project Sponsor | * Provide overall business leadership to ensure the procurement requirements are defined * Review and approve procurement documents * Coordinate the encumbrance of funds for the contract(s) |
| Executive Steering Committee | * Provide SME expertise for proposal evaluation * Review high-level purposes for solicitations and contracts |
| Project Manager | * Create the Contract and Procurement Management Plan * Ensure that contracts and procurement activities follow the Contract and Procurement Management Plan * Oversee that overall contract and procurement activities are on task and completed on time |
| Contract and Procurement Manager | * Assist the Project Manager in creating the Contract and Procurement Management Plan * Manage processes and activities outlined in the Contract and Procurement Management Plan * Coordinate with Procurement Officials/Officers conducting the procurements to initiate any changes to contracts * Recognize, investigate, document, and act on emerging disputes or other risks, unique requirements, unusual situations, or other issues that arise in managing any contract or procurement * Ensure the procurement process is organized, managed, and controlled and that any issues are identified and resolved within the assigned timeframe to minimize rework * Contribute to the development of procurement-related documents |
| Budget Manager (or Officer) | * Receive and coordinate approvals of invoices and resolve invoice disputes * Verify the encumbrance funds versus the fund availability and the project cost account codes used |

## Vendor Management

Unless otherwise specified here, the Contract and Procurement Manager is responsible for vendor management and will oversee vendor performance for the Project. The Contract and Procurement Manager will measure the ongoing performance of the Vendor as it applies to the requirements and deliverables.

The Contract and Procurement Manager must manage Service Level Agreements (SLAs) to ensure optimal vendor performance. SLAs are incorporated in the final contract and often include:

* Delivery of item(s) on or before the date as agreed upon in the contract
* Delivery of item(s) at or below cost as agreed upon in the contract
* Acceptable performance/quality of the item as agreed upon in the contract

Failure of a vendor to adhere to these SLAs will result in the Agency submitting a formal dispute as appropriate.

The project team will monitor vendor performance and output daily by communicating approvals, disapprovals, changes, feedback, and whatever else is necessary to deepen the relationship. Things managed outside of contract deliverables include:

* Vendor Responsiveness – Responsiveness to general questions and follow-up
* Training Quality – Quality of training material
* Vendor Innovation – Knowledge and adaptability of its services. Is the Vendor knowledgeable regarding their service and how it relates to agency business
* Key Personnel – Changes to key personnel will be approved by the Project Manager

The project team is committed to resolving any issues with open communication, personally interfacing with vendors, making mutually beneficial decisions, sharing critical information, solving problems jointly, collaborating with the project team and with others as needed to complete the Project, and collaboratively educating each other on aspects of the Project and product.

# Stakeholder Management

The Stakeholder Management Plan identifies the strategies for how the project team will engage and communicate with stakeholders to align their expectations and promote their productive involvement in project decision-making and execution.

Stakeholder Management includes the processes required to identify the people, groups, and organizations that could impact or be impacted by the Project, to analyze stakeholder expectations and their impact on the Project, and to develop appropriate management strategies for effectively engaging stakeholders in project decisions and execution.

## Roles and Responsibilities

Table 10: Stakeholder Management Roles and Responsibilities

|  |  |
| --- | --- |
| **Role** | **Responsibilities** |
| Project Sponsor | * Identify Stakeholders * Provide input into the categorization of Stakeholders * Provide advice in preparation strategies to be included in the Stakeholder Management Plan * Approve the Stakeholder Management Plan * Play a lead role in representing the Project to external Stakeholders |
| Executive Steering Committee | * Provide advice and review the Stakeholder Management Plan * Assist in the identification and classification of Stakeholders * Assist in the development of management strategies * Act as a critical point of contact with other program representatives regarding business aspects of the Project |
| Project Manager | * Initiate efforts to develop the Stakeholder Management Plan * Guide Stakeholder analysis * Complete the Stakeholder Management Plan * Manage the schedule and activities related to Stakeholder communication and engagement. |
| Stakeholder Manager | * Undertake the Stakeholder analysis in consultation with the Project Manager, project team, and the sponsoring organization’s staff. * Write the Stakeholder Management Plan * Review the plan with the Project Manager, project team, and sponsoring organization’s staff. * Lead the effort to complete the approach identified in the Stakeholder Management Plan. |
| Business and Technical Leads | * Provide advice on and review of the Stakeholder Management Plan * Assist in the identification and classification of Stakeholders * Assist in the development of management strategies * Provide information to support Stakeholder communication |

## Stakeholder Identification

The project team will conduct a brainstorming session to identify stakeholders for the Project. The brainstorming session will include the primary project team and project sponsor. The session will be broken down into two parts. The first part will focus on internal stakeholders. The second part of the session will focus on external stakeholders.

The following criteria will be used to determine if an individual will be included as a stakeholder:

* Will this Project directly or indirectly affect the person or their organization?
* Does the person or their organization hold a position from which they can influence the Project?
* Does the person impact the Project’s resources (material, personnel, funding)?
* Does the person or organization have any special skills or capabilities the Project will require?
* Does the person potentially benefit from the Project, or can they resist this change?

Any individual who meets one or more of the above criteria will be identified as a stakeholder. Stakeholders from the same organization will be grouped to simplify communication and stakeholder management. As stakeholders are identified, the stakeholders’ information will be recorded in the Stakeholder Register [insert repository link].

As a follow-up to identifying stakeholders, the project team will identify key stakeholders with the most influence on the Project or who may be impacted the most. These key stakeholders also require the most communication and management, which will be determined as stakeholders are analyzed. Once identified, the Project Manager will develop a plan to obtain their feedback on the level of participation they desire, frequency and type of communication, and any concerns or conflicting interests.

Based on the feedback gathered by the project manager, the determination may be made to involve key stakeholders on steering committees, focus groups, gate reviews, or other project meetings or milestones. Thorough communication with key stakeholders is necessary to ensure all concerns are identified and addressed and that resources for the Project remain available.

## Stakeholder Analysis

Once all project stakeholders have been identified, the project team will categorize and analyze each stakeholder. This analysis aims to determine the stakeholders’ engagement level, plan the management approach for each stakeholder, and determine the appropriate levels of communication and participation each stakeholder will have on the Project.

The project team will categorize stakeholders based on their organization or department. Once all stakeholders have been categorized, the project team will utilize a Stakeholder Analysis Register to document the current stakeholder engagement level.

### Stakeholder Engagement Assessment Matrix

The project team will use information from the Stakeholder Register to document the “current” stakeholder engagement level with a “C” and “desired” stakeholder engagement with a “D.” The following stakeholder participation descriptions will be used:

* Unaware ― Unaware of the Project and its potential impacts.
* Resistant ― Be aware of the Project and its potential effects and resist change.
* Neutral ― Aware of the Project yet neither supportive nor resistant.
* Supportive ― Aware of the Project and potential impacts and supportive of change.
* Leading ― Be aware of the Project and its potential effects and ensure its success.

## Stakeholder Management Strategies

To effectively manage stakeholder engagement, the Project will communicate project-related information to key stakeholders in a proactive and timely manner. In line with the matrix above, the project team will also actively listen and solicit input and feedback to ensure communications are received and understood and capture vital information to help adjust and respond to problem areas.

Other project artifacts will also factor into Stakeholder Management, including Business Process Changes and the Change Control process, which consider the impact on stakeholders. The project issue log will collect, document, and address concerns raised by stakeholders and stakeholder management risks that have materialized into issues that must be managed.

The Stakeholder Management Plan will be reviewed and assessed regularly to determine the following:

* If the project team is effectively engaging Stakeholders.
* If the Stakeholder levels of engagement have changed.
* If additional stakeholders have been identified.
* Does more need to be done to obtain stakeholder engagement or support?

# Communications Management

The Communications Management Plan provides a strategy for managing and disseminating information to ensure timely, accurate, and effective communications across all stakeholders.

## Roles and Responsibilities

The following table describes the roles and responsibilities of those involved in the communications management process.

Table 16: Communications Management Roles and Responsibilities

|  |  |
| --- | --- |
| **Role** | **Responsibilities** |
| Project Sponsor | * Communicate Project status with the executives and stakeholders outside the sponsoring organization * Provide feedback to the Project Manager relative to communications issues * Communicate vision and direction to the project team |
| Executive Steering Committee | * Review the Communication Management Plan |
| Project Manager | * Lead a team in the development of the Communications Management Plan * Provide regular status on communication * Ensure the overall communication management effort is being executed following this Plan * Ensure there are sufficient resources to execute this Plan and that communications management activities are being performed within the assigned timeframe |
| Communications Lead | * Along with the Project Manager and project team, develop the Communications Management Plan * Assist the Project Manager in ensuring all communications are sent, received, and understood based on stakeholder needs and requirements. * Distribute information using methods that reach stakeholders most effectively |
| Core Project Team Members | * Participate in defining communication needs and requirements * Participate in the dissemination of project information as needed * Communicate progress and issues to the Project Manager |
| Key Stakeholders | * Participate in defining communication needs and requirements * Provide feedback on all communications |
| Contract and Procurement Manager(s) | * Communicate contract status to the project management team * Communicate status and issues to Vendors |

## Communication Management Process

### Written Communication Requirements

Table 17: Stakeholder Written Communication Requirements

|  |  |  |
| --- | --- | --- |
| **Communication Item** | **Target Audience** | **Purpose** |
| Monthly Project Status Report | Project Sponsor,  Executive Steering Committee, Project Team | * Update management on project status, risks, and issues * Provide project performance information (e.g., cost, schedule, and quality) * Support decision-making * Provide summary information regarding proposed project changes |
| Quarterly Project Status Report | Key Internal and External Stakeholders | * Provide information such as project health, cost, schedule, scope, and risk; this report will be emailed and uploaded to the Project’s dashboard or repository |
| Project Announcements | Project Sponsor,  Executive Steering Committee, Project Team,  Key Internal and External Stakeholders | * Communicate new information about project status, activities, and risks/issues. |

### Communication Collection Sources

Table 18: Communication Collection Sources

|  |  |  |  |
| --- | --- | --- | --- |
| **Communication Item** | **Data Source(s)** | **Author** | **Distribution Channel** |
| Monthly Project Status Report | * Project team individual status reports * Project schedule updates * Verbal progress reports * Change Control Requests | Project Manager | * Email * Project’s Collaboration Site (or Repository) * Project Status Meetings |
| Quarterly Project Status Reports | * Project team individual status reports * Project schedule updates * Verbal progress reports * Change Control Requests | Project Manager | * Email * Project’s Collaboration Site (or Repository) |
| Project Announcements | * Project team individual status reports * Project schedule updates * Verbal progress reports * Change Control Requests | Communications Lead | * Email * Project’s Collaboration Site (or Repository) * Project’s Internet Site (if applicable) * Project’s Social Media Site (if applicable) |

### Acceptable Communication Tools

Table 19: Acceptable Communication Tools

|  |  |
| --- | --- |
| **Communication Tool** | **Description** |
| State-issued Cell Phones |  |
| Instant Messaging |  |
| Email |  |
| Project Collaboration Site (or Repository) |  |
| Project Internet Site (if applicable) |  |
| Project Social Media Site (if applicable) |  |

### Communication Storage, Retrieval, and Disposal

Please refer to the department’s rules on storage, retrieval, and disposal of information [insert link here].

## Project Communication Meetings

### Project Communication Meeting Guidelines

At a minimum, all project meetings shall include the following facilitation activities to ensure consistency and transparency of project communication:

* A facilitator will be identified before each meeting.
* The meeting facilitator will distribute the agenda at least 24 hours before the meeting.
* All inputs and pre-read information will be distributed well in advance with the agenda.
* The agenda will describe the meeting’s purpose, topics for discussion, and expected outcomes.
* Minutes, including action items, will be delivered to team members within three (3) business days after the meeting*.*

### Project Communication Meeting Schedules

# Risk & Issue Management

The Risk & Issue Management Plan outlines a proactive approach to identifying, assessing, mitigating risks, and resolving issues to minimize project disruption.

## Roles and Responsibilities

Table 20: Risk & Issue Management Roles and Responsibilities

|  |  |
| --- | --- |
| **Role** | **Responsibilities** |
| Project Sponsor | * Support the Project Manager in ensuring State and Vendor resources are available to support the execution of this Plan. * Provide necessary support to ensure that State and Vendor resources commit to the risk management efforts. * Monitor efforts to address risks and provide leadership support to focus resources on resolving open, unplanned risk events. * Guide escalated risk events and assist in their resolution. |
| Executive Steering Committee | * Review the Risk & Issue Management Plan * Review the Risk Register and other risk reports provided to the ESC following this Plan. * Understand and evaluate the possible effects and impact of identified risks. * Ensure the Project Manager has a sound plan for mitigating the impacts of risks escalated to the ESC. |
| Project Manager | * Lead a team in the development of the Risk & Issue Management Plan * Track the progress of the risk management effort by reviewing the Risk Register and other risk reports * Escalate mitigation approaches for identified high-severity risks that are beyond the Project Manager’s span of control and decision authority * Ensure the entire project team, State, and Vendor(s) are following this Plan * Ensure all other project processes that interact or provide input to the risk management effort are being adhered to * Ensure there are sufficient resources to execute this Plan and that the risk management activities are being performed promptly * Assign individual risks to owners |
| Vendor Project Manager | * Perform reviews of the risk management work being performed by the Vendor’s team * Verify that the work complies with the risk management approach described in this Plan and the requirements in the Vendor’s contract * Share responsibility for identifying risks and issues promptly to mitigate them and minimize their impact on the Project |
| Risk & Issue Manager | * Maintain the overall risk management process, Risk Register, and other risk reports * Ensure risks managed by this Plan are organized, managed, communicated, and controlled * Ensure that project-related risks and issues are identified and mitigated promptly to minimize impact * Obtain status from the Risk Owner on mitigation progress periodically |
| Risk and Issue Owners | * Managed assigned risks, including updating the Risk Register with the mitigation and contingency plans for each risk and issue in the Risk Register * Ensure (in combination with the Risk & Issue Manager and Project Manager) risks are organized, managed, and controlled, and risks are identified and mitigated promptly to minimize their impact on the Project * Provide status updates to the Risk Manager |

## Risk Management Processes

The Project Manager, working with the project team and Project Sponsor, will ensure that risks and issues are actively identified, analyzed, and managed throughout the Project’s life. Risks and issues will be identified as early as possible in the Project to minimize their impact.

### Risk Identification

Risk identification was part of the initial project risk assessment meeting with the project team and stakeholders. Initial identification included evaluating environmental factors, organizational culture, and the overall PM Plan, including the Project’s scope. The team focused on the project deliverables, assumptions, constraints, WBS, cost/effort estimates, the Resource Management Plan, and other key project documents.

During the life of the Project, the project team should continuously monitor, identify, and evaluate risks and issues and apply appropriate mitigation and contingency strategies to minimize their impact on the Project.

### Risk Analysis

*Qualitative Risk Analysis*

All risks will be assessed to identify the range of possible project outcomes. Qualification will be used to determine which risks are the top risks to pursue and respond to and which risks are less concerning.

The probability and impact of occurrence for each identified risk will be assessed by the project manager, with input from the project team using the following approach:

*Probability*

* High― Greater than <70%> probability of occurrence
* Medium― Between <30%> and <70%> probability of occurrence
* Low― Below <30%> probability of occurrence

*Impact*

* High – Risk that has the potential to impact significantly project cost, project schedule, or performance
* Medium― Risk that has the potential to impact project cost, project schedule, or performance slightly
* Low― Risk that has relatively little impact on cost, schedule, or performance

Risks within the red and yellow zones will have risk response planning.

*Quantitative Risk Analysis*

Analysis of risk events prioritized using the qualitative risk analysis process and their effect on project activities will be estimated, a numerical rating applied to each risk based on this analysis, and then documented in this section of the Risk & Issue Management Plan. The results of this analysis will be reviewed monthly to confirm the current state.

### Risk Response Planning

Each significant risk or issue (those falling in the red and yellow zones) will be assigned to an individual project team member for monitoring. Each risk or issue will be assigned one of the following strategies:

* Avoid― Eliminate the threat by eliminating the cause
* Mitigate― Identify ways to reduce the probability or the impact of the risk
* Transfer― Make another party responsible for the risk (e.g., buy insurance, outsourcing)
* Accept― Do nothing

For each “mitigated” risk, the project team will identify ways to prevent it from occurring or reduce its impact or probability. This mitigation may include prototyping, adding tasks to the project schedule, or adding resources.

For each “mitigated” or “accepted” risk, the project team will identify a course of action to minimize its impact on the Project should the risk become an issue.

### Risk Monitoring and Control Activities

Risks will be assigned a Risk Owner who will track, monitor, control, control, and report on the status and

The effectiveness of each risk response action is reported weekly to the Project Manager and project team. The level of risk on a project will be tracked, monitored, and reported throughout the project lifecycle. All project change requests will be analyzed for their possible impact on the project risks. The top 10 risks will be reported as a component of the project status report. Management will be notified of substantial changes to risk status as a component. Risk activities will be recorded in the Risk Register on the shared drive [insert link here].

The Project Manager will:

* Review, reevaluate, and modify the probability and impact for each risk item every two
* weeks
* Analyze any new risks that are identified and add these items to the risk register
* Monitor and control risks that have been identified
* Review and update the top ten risk list weekly
* Escalate issues and problems to management

The Risk Owner will:

* Help develop the risk response and risk trigger and carry out the execution of the risk response if a risk event occurs
* Participate in the review, re-evaluation, and modification of the probability and impact for each risk item every week
* Identify and participate in the analysis of any new risks that occur
* Escalate issues/problems to the Project Manager that:
* Significantly impact the Project’s triple constraint or trigger another risk event to occur
* Require action before the following weekly review
* Has failed to respond to the planned risk strategy, causing the need to execute the contingency plan

## Issue Management Processes

### Issue Identification

It is the responsibility of each team member and stakeholder to be vigilant in identifying and assessing Issues so decisions can be made promptly to reduce potentially negative impacts on project completion and program objectives. Issues can be created whenever a question, problem, or condition needing to be tracked to resolution is identified.

The originator will provide pertinent information to the project manager when an issue is identified. The Project Manager documents the problem in the log and assigns an issue owner.

### Issue Analysis

The issue owner will analyze the issue and develop an action plan that describes the activities that need to be completed to address the issue. The analysis includes the following activities:

* Assess the consequences of a delayed issue resolution on quality, cost, technical success, and schedule
* Evaluate the impact of outstanding issues on the overall Project, not just the discrete issue
* Identify potential risks associated with the issue

The initial assessment will include a recommendation on the decision or action that needs to be taken, the due date by which the decision or action is necessary, and the impact of the decision or action that is not completed by the due date. The due date should be determined based on tasks or milestone dates in the schedule affected by the decision/action requested. As defined by a scheduled event, the unique ID associated with that milestone task should be entered in the “Impact” field, which applies to the relevant schedule.

The issue owner will collaborate with the issue originator to obtain a mutually satisfactory description of the issue, priority, resolution plan, and due date and update the issue log.

### Issue Resolution and Escalation

The Issue Owner will draft the Issue Resolution Plan by the 10th business day of the Issue entry into the system. Once the resolution plan is completed, the issue is returned to ESC for approval. If by the 10th business day, no resolution plan is documented with assigned target dates, the ESC reviews the problem to determine the delay.

If an issue remains unresolved, an escalation process will be used. Project issues that cannot be resolved that may cause project delays need to be escalated to the next level in the governance structure. Exhausting all options for resolution at the current level is also a reason to escalate. Escalated issues will be documented in the issue log, which is indicated as escalated. The issue escalation levels are as follows:

* Level 1― Project Manager
* Level 2― Executive Steering Committee (brief Project Sponsor on escalation before ESC meeting)
* Level 3― Project Sponsor

### Issue Control, Tracking, and Reporting Activities

The Issue Owner is responsible for actively managing and controlling the execution of the Issue Resolution Plan and taking the steps necessary to achieve the due date.

The Project Manager will have a weekly review with issue owners to determine whether a specific direction, decision, or action is required from the ESC to complete the Resolution Plan steps.

# Release & Iteration Management

The Release & Iteration Management Plan describes how the project team will manage the deployment of features or deliverables in alignment with the project schedule and objectives. Additionally, the Plan sets expectations for the delivery of features and outcomes over multiple iterations during the project’s lifecycle.

## Organizational Change Management

Organizational Change Management (OCM) is structured to prepare, support, and guide individuals and teams through changes to achieve desired outcomes while minimizing resistance and disruption. OCM activities are typically completed at the organizational level, not individual projects. However, OCM may inherently impact a particular project.

The project must align its project management practices with the department's overarching OCM effort to ensure successful change. The Project can align itself with the OCM effort by employing the following strategies:

* Integration of OCM in Project Planning ― Incorporate OCM deliverables (e.g., change impact assessments, training plans) into the PM Plan to align timelines, resources, and milestones with change management activities.
* Stakeholder Engagement ― Collaborate with stakeholders to understand the organizational context, align project objectives with strategic goals, and ensure buy-in for the change.
* Communication Strategy Alignment ― Develop consistent messaging across project and OCM communication plans to address concerns, explain benefits, and reinforce the vision for change.
* Training and Capability Building ― Include OCM-driven training programs as part of the resource or deliverables planning to equip teams with the skills needed for transition.
* Risk and Issue Management Integration ― Include organizational readiness and resistance risks in the Project’s Risk Register, with mitigation strategies guided by OCM principles.
* Feedback Loops ― Establish mechanisms for gathering feedback from impacted teams during the project lifecycle, allowing adjustments that support smoother adoption.
* Monitor Adoption Metrics ― Include OCM success metrics (e.g., adoption rates, employee satisfaction) alongside traditional project key performance indicators to ensure the change is embraced and sustained.

For further information and guidance on the department’s OCM effort, refer to the department’s Organizational Change Management Plan [insert link here].

## Transition & Closeout Management

This section identifies the strategies and actions required to transition the system to the State after the State grants final system acceptance and closes the Project.

# Change Control Management

The Change Management Plan describes a process for evaluating, approving, and implementing changes to ensure they align with project goals and constraints. This Plan also establishes the CCB, documents the extent of its authority, and describes how the change control system will be implemented and managed.

The following changes may be requested and considered for the Project:

* Scheduling Changes― Changes that will impact the approved project schedule. These changes may require fast-tracking, crashing, or re-baselining the schedule, depending on the significance of the impact.
* Budget Changes― Changes that will impact the approved project budget. These changes may require requesting additional funding, releasing funding that would no longer be required, or adding to project or management reserves. Such changes may require modifications to the cost baseline.
* Scope Changes― Changes that are necessary and impact the project’s scope, which may result from unforeseen requirements that were not initially planned. These changes may also affect the budget and schedule. These changes may require revision to WBS, project scope statement, and other project documentation as necessary.

## Roles and Responsibilities

Table 21: Change Control Management Roles and Responsibilities

|  |  |
| --- | --- |
| **Role** | **Responsibilities** |
| Project Sponsor | * Review and approve the Change Control Management Plan * Make decisions on Change Requests escalated by the CCB |
| Change Control Board | * Primary decision-making body for Change Requests * Meet regularly to address outstanding Change Requests and escalate to the Project Sponsor or ESC as necessary. * Act on Change Requests by the Project Sponsor or the ESC. |
| Project Manager | * Create the Change Control Management Plan * Sponsor of approved changes * Oversee the implementation of approved changes * Approves Change Requests for analysis * Assign a Change Request Owner * Review the scope, budget, and schedule impacts * Assign project resources to a Change Request analysis and, if approved, assign resources for its implementation. * Review the Change Request implementation after it is deployed * Communicate Change Request status and decisions back to stakeholders * Vote as a member of the CCB (however, you may not be the CCB chairperson, depending on the Project’s size and complexity) * Initiate the escalation process to the ESC as needed |
| Change Request Owner | * Identify possible solutions and their impact on the Project and its stakeholders. * Work with the project team to analyze, evaluate, and, if approved, implement the Change Request. * Prepare supporting documentation for the Change Request * Verify that the Change Request is correctly implemented |
| Change Request Coordinator (or Project Coordinator) | * Serve as the single point of contact for all Change Requests * Receive Change Requests and record them in the tracking tool * Perform initial Change Request assessment and follow-ups with the Risk and Issue Manager |

## Change Control Management Process

The project manager will ensure that any approved changes are communicated to stakeholders. Additionally, as changes are approved, the project manager will ensure that the changes are captured in the project documentation where necessary. These document updates will be communicated to the project team and stakeholders. All stakeholders will be expected to submit or request changes to the Project following this Change Management Plan, and all requests and submissions will follow the process detailed below.

### Change Request Identification

Any project team member or stakeholder can submit a change request to the project manager using the change request form.

* The requestor completes the change request form and submits it to the project manager for review.
* The Project Manager records the request in the change log and assigns a change request number.
* The Project Manager reviews the change request form to confirm understanding and determines if:
* Further analysis is needed
* The Change Request should be rejected
* The Change Request should be deferred for further investigation later

### Change Request Analysis

If the request is approved for analysis, the Project Manager assigns a Change Request Owner. The Change Request Owner is responsible for completing the investigation analysis and updating the Change Request Log.

The Change Request Owner will develop a written response, including whether the change has any associated cost or schedule impact. It will consist of all project team entities, so they are included in the analysis and sizing effort. The study's objective is to make sure that the change is clearly understood to identify the total impact of the change, including rough order of magnitude costs, resources, schedule, performance, and risk impacts.

If the change request includes modification to the system, the analysis will specify which release the change could be scheduled into, along with any other project impacts. If approval of a change request results in a change to the contract Maximum Payment Amount, that will be included in the investigation analysis results.

The Change Request Owner will present the analysis results at a subsequent Weekly Project Meeting.

### Change Request Approval

The CCB or Project Sponsor may decide to defer the change request, reject the change request, or approve the change request for implementation. Decision criteria that will be considered include the impact on cost, schedule, operational benefits, system quality, performance, end-user satisfaction with the system, and policies.

The Change Log is updated by the Change Request Coordinator or Project Coordinator with the decision and uploaded to the shared drive [insert link here].

Change requests that alter the contract require an amendment and cannot be implemented until the amendment process is completed. The Contract & Procurement Management Plan further discusses the Contract Change Management process.

### Change Request Implementation

After the change request is approved for implementation, the Project Manager will instruct the project team and Vendor to implement the change. Each change component will be addressed, and all project baselines will be updated. Once all change elements areimplemented, the Change Request will be closed within the Log.

## Change Request Tracking and Reporting

Table 22: Change Request Tracking and Reporting Schedules

|  |  |  |  |
| --- | --- | --- | --- |
| **Tracking Item** | **Frequency** | **Content** | **Usage** |
| Intake, Review, and Approvals | * Weekly * Presented at the CCB Meeting | Review the analysis and determine if the change should be approved, deferred, escalated, or rejected. | Determine the following steps on Change Requests. |
| Open, Pending, and Approved Change Requests | * Weekly * Presented the Weekly Project Meeting | Summary of the Change Requests that have been opened are still pending and have been approved since the last report. | Keeps the project team and stakeholders informed about the Changes being proposed and made |
| Change Request Implementation Status | * As Completed, or at a minimum, weekly * Presented at the Weekly Project and CCB Meetings | Lists all Change Requests approved for implementation, activities to implement, estimated completion date, and status | Used by management, the Change Request Coordinator, and the Change Owners to track Change Request implementation. |
| Change Request Metrics | * Monthly * Presented at the ESC Meetings | Identifies the total number of Change Requests opened, approved, and pending. It includes aging statistics that show how long it takes to approve a Change Request, the duration at each phase of the change process, the number of Change Requests referred to the CCB and ESC, and the number of rejected Change Requests. | Used for quality reporting |

# Test Management

The Test Management Plan provides a strategy for planning, executing, and monitoring testing activities to ensure deliverables meet requirements and quality standards. Additionally, the Plan describes the deliverables that the State and Vendor (s) will test, the tests they will use, and the processes used in testing. It forms the basis of formal testing of the components and deliverables of the project.

# Appendix A

## Other Documents

### Baselines

#### Budget Baseline

#### Performance Measurement Baseline

#### Project & Milestone Schedule Baseline

#### Scope Baseline

### Charts

#### Organizational & Resource Breakdown Structure (Organizational Charts)

A hierarchical representation of the Project’s organization illustrates the relationship between project activities and the administrative units performing those activities. This chart should also contain a hierarchical representation of resources by category and type

#### Product Breakdown Structure (Architectural Diagram)

A hierarchical structure that reflects a product’s components and deliverables

#### Work Breakdown Structure

A hierarchical decomposition of the total scope of work to be carried out by the project team to accomplish the Project’s objectives and create the required deliverables

### Logs & Registers

#### Assumptions & Constraints Log

#### Backlog or Risk-Adjusted Backlog

#### Change & Decision Log

#### Issue Log & Risk Register

#### Lessons Learned Register

#### Stakeholder Register

### Project Charter

### Requirement Traceability Matrix

### User Stories, Features, & Epics

### Visual Data & Information

#### As-Is (Current State) Process Flows

#### Project & Procurement Roadmap

#### Responsibility Assignment Matrix (RACI Chart)

This grid matrix shows the project resources assigned to each work package. A RACI chart is a common way of showing stakeholders who are responsible, accountable, consulted, or informed and are associated with project activities, decisions, and deliverables.

#### Storyboards

A storyboard is a visual model of all the features and functionality desired for a given product, created to provide the project team with a holistic view of what they are building and why.

#### To-Be (Future State) Process Flows

## Other Project Management Plans (Placeholders?)

### Configuration & Test Management

### Data Management

### Organizational Change Management

### Transition & Closeout Management