TEXAS PROJECT DELIVERY FRAMEWORK

PROJECT PLAN

Department of Administration

Portfolio Management System

VERSION: 1.3 REVISION DATE: 06/30/2010

Approval of the Project Plan indicates an understanding of the purpose and content described in this deliverable. Approval of the Project Plan constitutes approval of the project planning results and hereby certifies the overall accuracy, viability, and defensibility of the content and estimates. By signing this deliverable, each individual agrees the project has been planned effectively as described herein.

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Contents

Section 1. Project Overview

1.1 Project Description

Describe the approach the project will use to address the business problem, including summarizing how the project will deliver the expected business outcomes and performance objectives.

A commercial-off-the-shelf (COTS) project portfolio management system will be acquired by the Project Management Office (PMO). Refer to the Acquisition Plan for information resources regarding procurement activities. The PMO will procure a COTS project portfolio management system for the purpose of:

- consolidating project data for all projects with a status of “open”
- standardizing data collection for all projects
- providing consistent project status visibility for all projects
- providing project-level analytics for all projects
- providing capability of dynamic manipulation of portfolio project data, such as sorting, grouping, and ability to create "what-if” scenarios by adding, modifying, and removing projects from the portfolio
- enhancing the agency’s investment in information technology by enabling informed decision making.

A work group of subject matter experts (SMEs) will be appointed to analyze and evaluate project portfolio management system tools for the management of the agency’s project portfolio. After analysis and evaluation, the SME work group will recommend one tool that best meets specified requirements. The recommended tool and vendor services for implementation will be procured. In addition, associated business processes will be developed in order to integrate use of the tool into the organization. The tool will be deployed and data associated with the PMO’s open projects will be loaded into the tool, beginning with a pilot. The pilot includes load and test iterations for creation of a five-project portfolio. Objectives for the pilot are to determine if requirements for the tool are met and validate business processes. Once the pilot concludes, additional load and test iterations will be executed in order to load the remainder of data associated with open projects within the agency’s portfolio.

1.2 Project Scope

Describe the project scope by defining what the project will and will not accomplish. Provide a narrative or bulleted list of deliverables, services, and/or solutions expected as outcomes of the project.

Project Includes
Analysis and evaluation of project portfolio management system tools for the management of the project portfolio
Recommendation of one project portfolio management system tool that best meets specified requirements for the management of the project portfolio

Project Includes
Procurement of the recommended tool and vendor services for implementation
Deployment of the recommended tool
Execution of a pilot consisting of use of the tool on a five-project portfolio
Execution of multiple load and test iterations to: • load the remainder of data associated with open projects within the agency's portfolio • verify that requirements for the tool are met • validate business processes.
Development, documentation, and implementation of business processes associated with use of the tool
Interface with Department of Administration (DOA) timekeeping system to obtain personnel costs expended by project staff
User and administrator training
Execution of a warranty period during which the vendor will operate and support the tool in a production environment containing data associated with all projects in the portfolio, as specified in service level agreements
Transition of operational tool to Technical Service Delivery (TSD) staff

Project Excludes
Customization/modification of the recommended COTS project portfolio management system tool
Migration of project data for projects with a status of "closed"

1.3 Assumptions

Describe any project assumptions related to business, technology, resources, scope, expectations, or schedules.

Assumptions
Members of the SME work group will be appointed prior to the first SME work group meeting
Members of the SME work group will remain members until the project portfolio management system tool recommendation is complete
TSD will provide project staff who will participate in all aspects of the project
TSD will provide technical support for the project portfolio management system tool during all aspects of the project
Required stakeholders are committed to fulfilling roles documented in the approved Project Plan
Vendor is available to support project effort for duration of the project until end of warranty period
Necessary infrastructure for hosting the selected tool will be made available

1.4 Constraints

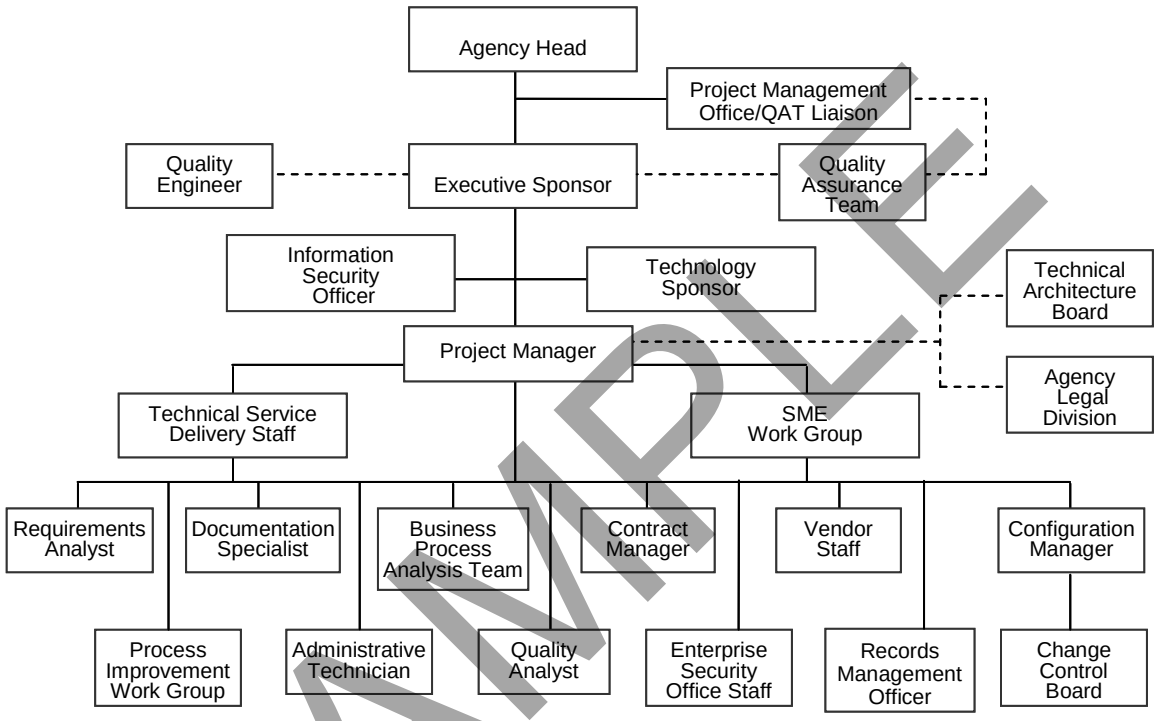
Describe the limiting factors, or constraints, that restrict the project team's options regarding scope, staffing, scheduling, and management of the project.

Constraints
Final recommendation and procurement of project portfolio management system tool by 8/31/2009 required
Internal resources may be assigned to other projects and operational tasks. These resource limitations may adversely affect the schedule.
Operating environment uncertainties based on interoperability between the recommended project portfolio management system tool and infrastructure for hosting the tool

Section 2. Project Organization

2.1 Project Structure

Specify the organizational structure of the project team and stakeholders by providing a graphical depiction as shown in the example project organization chart in the instructions.



2.2 External Stakeholders

Specifically describe external project stakeholders by identifying the stakeholder's function and interest. A Project Contact Register or its equivalent is developed as part of this section.

Function Stakeholder Represents	Stakeholder Interest
Agency Legal Division	• Legislation and policy • Best practices in relation to law, risk management, compliance and other areas of common interest • Solicitation development and contract execution
Quality Assurance Team (QAT)	Delivery of a quality solution based on the schedule, budget, and scope commitments made to state leadership
Quality Engineer	Assuring stated business goals and objectives are satisfied
Technical Architecture Board (TAB)	Architecture compliance to ensure alignment with organization strategy and business needs

2.3 Roles and Responsibilities

Describe roles and responsibilities for the project structure and external stakeholders as identified above. A Project Contact Register or its equivalent is developed as part of this section.

Role	Responsibility
Agency Head	• Accountable for agency operations • Approves the Project Plan • Approves contract amendment and change orders if the amendment or change order changes the contract amount above 10 percent or significantly changes the contract completion date as determined by the QAT
Executive Sponsor	• Oversees development of specific Framework deliverables from a business perspective • Certifies the accuracy, viability, and defensibility of the business-related content of specific Framework deliverables • Disposes of high-risk project issues
Technology Sponsor	• Oversees development of specific Framework deliverables from a technology perspective • Certifies the accuracy, viability, and defensibility of the technology-related content of those deliverables. • Functions as the IRM • Disposes of high-risk project issues
Records Management Officer	Advises project team to ensure project is planned and executed in accordance with state and agency records management mandates, policies, and procedures
Information Security Officer	• Oversees development of specific Framework deliverables from an enterprise security perspective • Certifies the accuracy, viability, and defensibility of the enterprise security-related content of those deliverables • Disposes of high-risk project issues
Project Manager	• Directs the project team and manages project activities from both a business and/or technical perspective • Serves as primary contact with the agency head, executive sponsor, technology sponsor, and information security officer • With the contract manager and project team works to determine if the deliverables satisfy the contract stipulations and whether specific deliverables should be approved or rejected • Performs processes required to help ensure project will satisfy stated business goals and objectives

Role	Responsibility
Technical Service Delivery (TSD) Staff	• Provides technical solutions, support and services that meet the project's requirements while adhering to agency standards and policy • With the vendor, implements recommended tool, as specified in the Project Plan • Determines if additional infrastructure items are to be acquired for hosting the recommended tool • Acquires additional infrastructure items • Operates and supports the recommended tool in a production environment, as specified in service delivery agreements • Participates in Process Improvement work group meetings • Participates in the Change Control Board (CCB) (one member)
SME Work Group Member	• Participates in project requirements gathering • Analyzes and evaluates tools for the management of the agency's project portfolio
Requirements Analyst	• Facilitates requirements gathering • Documents project requirements • Participates in the CCB • Participates in Process Improvement work group meetings
Documentation Specialist	• Supports project manager and requirements analyst • Scribes SME work group meetings • Drafts project deliverables • Routes project deliverables for approval • Commits project deliverables to repository
Administrative Technician	Performs clerical tasks, as delegated by the project manager and documentation specialist
Business Process Analysis Team Member	• Re-engineers business processes in order to integrate the project portfolio management system tool into the organization • Guides implementation of re-engineered business processes • Provides training on re-engineered business processes • Consults with project manager regarding business process analysis team activities • May participate in Process Improvement work group meetings • May participate in CCB
Contract Manager	• Provides guidance on how the procurement effort should be planned and managed • With the project manager and project team, works to determine if the deliverables satisfy the contract stipulations and whether specific deliverables should be approved or rejected • Amends contract for change orders that require a contract amendment including changes to project scope, contract dates, contract costs, or contract terms • Audits the contract files to ensure all deliverables and services have been received and that all work has been approved prior to authorizing payment for invoices • Participates in Process Improvement work group meetings • Participates in CCB

Role	Responsibility
Enterprise Security Office Staff	• Supports project manager and Requirements Analyst in aligning and coordinating project deliverables with policies and requirements specified in the Enterprise Security Plan • Participates in Process Improvement work group meetings • Participates in CCB (one member)
Vendor Staff	As stipulated by the contract: • Provides technical solutions, support and services that meet the project's requirements while adhering to agency standards and policy • With TSD staff, implements recommended tool, as specified in the Project Plan • Operates and supports the recommended tool in a production environment, as specified in service delivery agreements, for the warranty period • Performs full transition of tool to TSD staff, as specified in the project work plan • Participates in Process Improvement work group meetings (lead) • Participates in CCB (lead)
Process Improvement Work Group Member	• Reviews process-related measurements that aid in gauging a project's performance • Recommends improvements to project specific processes and/or project-specific tailoring of Standard Operating Procedures (SOPs) • Consults with project manager regarding implementation of process improvements
Change Control Board (CCB) Member	• Reviews change requests for this project only • Recommends/rejects project change requests
Quality Analyst	• Performs project assessments at various points within the project to ensure project will satisfy stated business goals and objectives • Monitors tool implementation • Reports findings to technology sponsor and project manager • Conducts quality reviews
Configuration Manager	• Ensures that security requirements and management strategy and requirements for configuration items (CIs) are implemented • Collaborates with CI owners in designating, documenting, and communicating processes for requesting, evaluating, approving or disapproving, and implementing changes to baselined CIs • Performs configuration control • Conducts scheduled and unscheduled audits and reviews of the project's CIs and provides reports on CI content • Schedules CCB meetings • Prepares CCB meeting agendas • Maintains CCB meeting progress in line with the agenda • Consults with project manager regarding configuration management activities • Participates as a CCB member

Role	Responsibility
Quality Engineer	• Independently performs project assessments at various points within the project to ensure project will satisfy stated business goals and objectives • Independently monitors tool implementation • Reports findings to technology sponsor and project manager • Participates in certain quality reviews
PMO/QAT Liaison	• Submits Monitoring Report provided by the project manager to the QAT • Forwards all correspondence received from the QAT to appropriate stakeholders • Facilitates dialogue between QAT and appropriate stakeholders
Agency Legal Division	• Provides a forum for practical and business focused input on key areas of the project in relation to legislation and policy • Enables project team to share best practice in relation to law, risk management, compliance and other areas of common interest • Develops solicitations • Executes contracts
Technical Architecture Board (TAB)	Assesses projects to ensure architecture is aligned with organization strategy and business needs
Quality Assurance Team (QAT)	Performs quality assurance (QA) review, as described in the QAT Policy and Procedures Manual

Section 3. Project Start-Up

3.1 Project Life Cycle

Specify and describe life cycle model(s) that will be used for the project. If formal standards have been established at the organization or agency level, refer to the agency and/or organizational practices. In the description, include tailoring of any practices to accommodate specific project needs if applicable.

SOP PMO-1-010-01, the formal standard for project management methodologies at the agency level, is based upon principles espoused in the Project Management Body of Knowledge (PMBOK) published by the Project Management Institute (PMI). Therefore, PMI's project management life cycle (PMLC) framework which includes initiate, plan, execute, control, and close processes will be used for this project. No tailoring to accommodate specific project needs for PMLC applies.

SOP PMO-1-010-01 addresses alignment and use of the Texas Project Delivery Framework. Therefore, the Framework's life cycle which includes the business justification, planning, solicitation/contracting, implementation, and benefits realization review gates will be used for this project. All tailoring practices defined in SOP PMO-1-010-01 to accommodate specific project needs for the Framework life cycle will be followed.

The project life cycle includes the following phases

- Recommend – Recommendation of one tool will be based on formal requirements definition and management. During requirements definition, a work group of subject matter experts (SMEs) will be appointed to develop a Project Portfolio Management System Tool Requirements Specification. The SME work group will analyze and evaluate project portfolio management system tools based on the approved requirements. After analysis and evaluation, the SME work group will recommend a tool that best meets specified requirements.
- Procure – The recommended tool and vendor services for implementation will be procured based on agency solicitation and contracting practices.
- Deploy – The COTS solution will be installed and configured, including definition of business processes in order to integrate use of the tool into the organization.
- Train – Training sessions will be held to educate designated stakeholders in use of the tool.
- Pilot – Data associated with the PMO's open projects will be loaded into the tool and tested for creation of a five-project portfolio.
- Release – Once the pilot concludes, additional iterations to load and test the remainder of data associated with open projects within the agency's portfolio will be executed. The warranty period during which the vendor will operate and support the tool in the production environment containing data associated with all projects in the portfolio will be monitored and managed as specified in the service level agreements.

Following the warranty period, the tool will be transitioned to TSD staff for maintenance and operations.

Relevant aspects of SOP SDLC-1-025-01, the formal standard for system development life cycle (SDLC) methodologies at the agency level, will be used for this project. For example, since this project involves implementation of a COTS solution, the Project Portfolio Management System Tool Requirements Specification will be developed using a revised version of the System Requirements Specification tool.

3.2 Methods, Tools, and Techniques

Identify the method(s), standards, policies, procedures, programming language(s), reusable code repositories, and other notations, tools, and techniques that may be used to develop and/or deploy the products and/or services for the project.

Methods for the project will be influenced by the formal standard for project management, SOP PMO-1-010-01, the Department of Information Resources' Texas Project Delivery Framework toolset, and SOP PMO-1-022-01 for portfolio management.

Technology tools and repositories for the project are dependent upon the project portfolio management system tool selected. All technology tools and repositories used will conform to the Technical Architecture Board's SOPs.

A project-specific SharePoint site will be used to provide:

- project information to stakeholders
- visibility into the evolution of project deliverables
- educational instruction on the use of products delivered
- the ability to request and receive, from stakeholders, feedback on the products delivered.

Texas Department of Administration Repository Tool (TDART) will be used to store non-software/hardware deliverables, such as status reports, plans, and issue logs.

The Microsoft (MS) Office suite, MS Project, and MS Visio will be utilized for the development and maintenance of non-software/hardware deliverables, such as status reports, plans, and issue logs.

3.3 Estimation Methods and Estimates

Describe the methods used to estimate the project level of effort, schedule, and budget. Include tools and techniques used to obtain the estimates in the description. Provide estimates for the project dimensions (effort, schedule, and budget), and identify the source or basis of the estimates and the level of uncertainty and risk associated with the estimates.

Estimation Methods and Estimates	
Description	• Combination of analogy and expert judgment was used for estimates • Level of effort estimate is based on past experience in similar projects acquiring COTS solutions that require business process re-engineering • Software cost estimate is based on cost of five fest-selling project portfolio management tools • Hosting expense estimate is based on the agency's recorded 2008 cost to host similar tools
Effort in person-months or person-hours	153 person-months
Schedule in calendar months	13 months
Budget in dollars	$2,250,000
Source/Basis of Estimates	• Project Portfolio Management System project scope • File Tracking System Project Plan v. 1.6 • HIPAA Compliance Project Plan v. 1.2 • DOA 2008 Annual Budget
Level of Uncertainty	35%

3.4 Work Activities

Provide a reference to the location of the work breakdown structure (WBS) and work packages within the WBS.

WBS Location	TDART – Texas Department of Administration Repository Tool

3.5 Schedule Allocation

Provide a reference to the location of the project schedule.

Project Schedule Location	TDART – Texas Department of Administration Repository Tool

To highlight major accomplishments as initially planned in the project schedule, identify major project milestones and planned completion dates for delivery. This list should reflect products and/or services delivered to the end user as well as the delivery of key project management or other project-related work products.

Major Milestone/Deliverable	Planned Completion Date
Approved Project Plan	May 13, 2009
Approved Project Portfolio Management System tool recommendation	July 1, 2009
Approved solicitation	July 31, 2009

Major Milestone/Deliverable	Planned Completion Date
Completed procurement	September 18, 2009
Completed full implementation	March 1, 2010
Approved vendor transfer of full responsibility for tool to TSD	March 26, 2010
Closed Project	March 31, 2010

3.6 Resource Allocation

Provide a reference to the location of the resource schedule.

Resource Schedule Location	TDART – Texas Department of Administration Repository Tool

Identify the total number of resources (e.g., personnel, equipment, facilities) that will be needed for the project. For personnel, include each of the defined project organizational roles in the resources and describe skill set requirements when appropriate. Identify the estimated timeframe (start to finish) for project commitment.

Resource	Total	Skill Set Requirements	Timeframe
Project Manager	1	IT project management experience	March 2009 - March 2010
TSD Staff	2 - 3	Agency infrastructure knowledge	March 2009 - March 2010
SME Work Group	6	Agency IT project management expertise	March 2009 - July 2009
Configuration Manager	1	• Configuration/release management expertise • TDART expertise	March 2009 - March 2010
Requirements Analyst	1	IT requirements elicitation, analysis, and documentation	March 2009 - May 2009
Administrative Technician	1	Clerical skills	March 2009 - March 2010
Documentation Specialist	1	Technical writing for previous agency projects	March 2009 - March 2010
Business Process Analyst	6	• Business processes re-engineering expertise • Business processes implementation expertise • Business processes training delivery experience	March 2009 - December 2009
Contract Manager	1	IT procurement expertise	May 2009 - March 2010
Records Management Officer	1	Agency records management expertise	March 2009 - March 2010
Enterprise	1	Agency security expertise	March 2009 - March 2010

Resource	Total	Skill Set Requirements	Timeframe
Security Office Staff			
Quality Analyst	1	• IT verification and validation expertise • Agency Quality Management Procedures expertise • IT project management expertise	March 2009 - March 2010
Quality Engineer	1	• IT Independent verification and validation expertise • Agency Quality Management Procedures expertise • IT project management expertise	March 2009 - March 2010
Executive Sponsor	1	• Agency IT project management expertise • IT procurement expertise	May 2009 - March 2010
Technology Sponsor	1	Agency infrastructure knowledge	March 2009 - March 2010

3.7 Budget Allocation

Provide a reference to the location of the budget schedule.

Budget Schedule Location	Secured in Accounting department repository. Available upon request.

Identify the budget amount allocated by key budget category (e.g., project milestone or standard cost categories such as personnel, travel), including the time period that may constrain use of the budget.

Key Budget Category	Budget Amount	Time Period
Personnel Costs	$1,375,000	March 1, 2009 - March 31, 2010
Software Cost	$700,000	September 18, 2009 - March 31, 2010
Hosting Expense	$175,000	September 18, 2009 - March 31, 2010

Section 4. Monitoring and Control

4.1 Change Management

Describe the process for managing all proposed changes, including how change requests are initiated, logged and tracked, and assigned for analysis and recommendation. Include the change request review process and any additional processes. If formal change management policies and procedures have been established at the organization or agency level, refer to the agency and/or organizational practices. In the description, include tailoring of any practices to accommodate specific project needs if applicable.

Formal change management procedures have been established at an agency level and are specified in SOP PMO-1-010-01. For this project, tailoring of SOP PMO-1-010-01 does not apply.

4.2 Issue Management

Describe the process for managing project issues, including the resources, methods, and tools to be used to report, analyze, prioritize, and resolve project issues. Include how the issues will be tracked and managed to closure. If formal issue management policies and procedures have been established at the organization or agency level, refer to the agency and/or organizational practices. In the description, include tailoring of any practices to accommodate specific project needs if applicable.

Formal issue management procedures have not been established at an agency level. For this project, issues will be managed as specified below.

Project issues are documented by project stakeholders, as they are identified. To avoid documentation of duplicate issues, prior to reporting an issue, stakeholders are instructed to review the Issues Tracking Log to determine if the issue has been reported previously.

To report a new issue, project stakeholders will complete page 1 of the Issues Tracking form and submit the entire form to p013issue@doa.state.tx.us.

The documentation specialist ensures that submitted Issues Tracking forms are collected. In addition, the documentation specialist or an administrative technician logs the issue in the project issues tracking log and assigns a numeric sequential identifier. Once issues are logged, the documentation specialist or administrative technician forwards an acknowledgement, including the numeric sequential identifier, to the submitter. After the acknowledgement is forwarded, the documentation specialist or administrative technician provides submitted Issue Tracking forms and issue status reports to the project manager on a weekly basis and upon request.

The project manager is responsible for ensuring issues are assessed, prioritized, tracked and managed to closure. To accomplish this, the project manager will delegate issues to appropriate project team members, monitor progress of issues, and schedule issue status meetings. Project team members will perform analysis and document on the Issue Tracking form cost/schedule,

management action, and final recommendation and rationale information. Once analysis and documentation are complete, the project manager will delegate issues to appropriate project team members for resolution.

The project manager will escalate complex or high-risk issues to the executive sponsor, technology sponsor, and information security officer, as appropriate, in order to reduce risk and dispose of the issue.

4.3 Status Reporting

Describe how project status reporting information will be used to monitor and control the project, including escalation procedures and thresholds that may be used in response to corrective actions identified as part of the reporting process. If formal status reporting policies and procedures for monitoring and controlling projects have been established at the organization or agency level, refer to the agency and/or organizational practices. In the description, include tailoring of any practices to accommodate specific project needs if applicable.

Formal procedures for using status reporting information to monitor and control projects have not been established at an agency level. For this project, status reporting information will be used to monitor and control the project as specified below.

All project status information will be evaluated to provide insight into the health of the project. This insight may indicate that adjustments, corrective actions, or preventative actions are necessary. The need for adjustments, corrective actions, or preventative actions will be reflected in updates to project planning deliverables, such as the Project Plan, and in change requests, issues, or risks.

Formal status reports will provide information to executive management in order that they may make informed decisions about providing direction for the project. The project manager will ensure that the formal status reports are compiled accurately, as required. Once the formal status reports are compiled, the project manager, vendor staff and documentation specialist will review the reports for accuracy and approve. Once verified and approved the project manager files and submits the formal status reports.

Status reports submitted by project team members, financial and timekeeping data relating to the project, and project performance data will be used in developing formal status reports required for the project. When this collective information indicates a negative variance on the critical path of the project schedule, and/or a cost overrun of 10%, corrective action by the project manager is mandated. If a variance is not corrected within 30 days from the date of report, the project is escalated to a status of “PMO Review Required.” See SOP, PMO-1-010-10, for the PMO Project Review Procedures.

In addition to status reports submitted by project team members and formal project status reports, the project team is required to submit the Monitoring Report, based on the reporting frequency

communicated by the QAT. The documentation specialist will ensure that Monitoring Reports are compiled accurately, as required. Once a Monitoring Report is compiled, the project manager, executive sponsor, technology sponsor, and PMO director review the report for accuracy and approve. Once verified and approved, the project manager will forward the Monitoring Report to the PMO/QAT liaison. The PMO/QAT liaison will file and submit the report.

The QAT reviews project information and takes action on projects, based on information provided in the Monitoring Report. QAT notifies the agency via email or letter of QAT Actions when necessary. The PMO/QAT liaison will forward all correspondence from the QAT regarding the project to the project manager, executive sponsor, technology sponsor, and PMO director. All responses to QAT correspondence will be routed through the PMO/QAT liaison.

Section 5. Quality Management

5.1 Quality Management Approach

Describe the overall, high-level approach to quality management based on project performance. Summarize how quality management activities will be accomplished collectively. If formal quality management policies and procedures have been established at the organization or agency level, refer to the agency and/or organizational practices. In the description, include tailoring of any practices to accommodate specific project needs if applicable.

Formal quality management procedures have been established at an agency level and are specified in SOP PMO-1-010-01. For this project, SOP PMO-1-010-01 will be tailored in the following manner.

A Quality Engineer from the Quality Management Services (QMS) group will participate in the Pilot Completion and Transition to TSD Readiness Reviews.

5.2 Quality Objectives and Standards Identification

Based on project-specific methods, describe how quality objectives and standards are identified and organized in preparation for executing quality management. A Quality Register or its equivalent is developed as part of this section. Note that an agency-equivalent Quality Register must include, at a minimum, the information identified in the Quality Register Framework supplemental tool.

No project-specific methods apply for identifying and organizing quality objectives and standards specified in the Quality Register.

5.3 Project Reviews and Assessments

Specify the types of project reviews that are directly related to project quality, including frequency, tools used, reviewer(s), and the report(s) that will be generated as a result of the review.

Review Type	Frequency	Tools	Reviewer	Reports
Independent Project Review	As indicated in approved schedule, or unscheduled ad hoc	All project resources and deliverables	Quality Engineer	Independent Project Review Report
Project Planning Deliverables Review	As needed to approve, baseline, revise, and rebaseline	All project resources and deliverables	Project Team	Variances to Acceptable Criteria

Review Type	Frequency	Tools	Reviewer	Reports
Requirements Review	As needed to approve, baseline, revise, and rebaseline	All project resources and deliverables	SME work group	Requirements Specification
Pilot Phase Readiness Review	Once, prior to start of Pilot Phase	• Project Plan/Schedule • Phase Readiness Checklist	Project Team	• Completed Pilot Phase Readiness Checklist • Risks • Issues
Acceptance to Deploy Review	Once, prior to deployment	• Project Plan/Schedule • Acceptance to Deploy	Project Team	• Completed Acceptance to Deploy • Risks • Issues
Pilot Phase Completion Review	Once, at the end of pilot	• Project Plan/Schedule • Test Plans • Requirements Traceability Matrix • Pilot Phase Completion Checklist	Project Team	• Test Results • Requirements Traceability Matrix • Completed Pilot Phase Completion Checklist
Load and Test Iteration Completion Review	Once, at the end of each load and test iteration	• Project Plan/Schedule • Test Plans • Requirements Traceability Matrix • Load and Test Iteration Completion Checklist	Project Team	• Test Results • Requirements Traceability Matrix • Completed Load and Test Iteration Completion Checklist
Transition to TSD Readiness Review	Once, prior to transition to TSD	• Project Plan/Schedule • Transition to TSD Readiness Checklist	• Project Team • TSD Staff • Vendor Staff	• Completed Transition to TSD Readiness Checklist • Risks • Issues
Project Closeout Review	Once, after transition to TSD	• Project Plan/Schedule • All Project Deliverables • Project Closeout		Project Closeout Report

Based on project-specific methods, describe how the results of project reviews will be monitored, evaluated, and how variance to acceptable criteria will be reported and resolved.

Project reviews are planned and conducted in conjunction with each major deliverable of the project. Reviews cover draft and/or final versions of deliverables and determine readiness and completion of milestones based on criteria. Consideration is given to including review participants with a variety of skills and perspectives.

Variances to acceptable criteria identified during reviews are documented and classified. Documentation of critical variances indicates that a follow-up review is necessary. All critical variances must be resolved in order for a deliverable to be accepted.

The documentation specialist is responsible for documenting and filing the review results for all reviews with the exception of the Independent Project Review.

Independent Project Review results will be documented by the Quality Engineer, and reported to the executive sponsor with a copy being forwarded to the project manager.

The project manager is responsible for communicating status regarding and resolving variances to acceptable criteria for all reviews.

All review results will be stored in TDART.

5.4 Deliverables Acceptance Criteria

For each project deliverable, describe the final approval process for acceptance from an overall quality perspective and the objective criteria to be used for stakeholder acceptance.

Deliverable	Final Approval Process	Stakeholder Acceptance Criteria
Project Plan/Schedule	Project Plan/Schedule Review	Resolution of all critical variances documented during reviews
Security Risk Assessment	ISO Approval	• Risk Item Report exists for each open risk • All open risks are ranked • Risk watch list is compiled appropriately • Risk Register is updated, if necessary
Project Portfolio Management System Tool Requirements Specification	Requirements Review	• Consensus of SME work group • Resolution of all critical variances documented during reviews
Project Portfolio Management System Tool Recommendation	Recommendation Review	• Approval of evaluation method • Approval of evaluation worksheet/scores for each tool

Deliverable	Final Approval Process	Stakeholder Acceptance Criteria
		• Consensus of SME work group
Acquisition Plan	Acquisition Plan Review	Resolution of all critical variances documented during reviews
Solicitation	Solicitation Review	Review and approval of solicitation by project team and agency legal division
Review Gate Approvals	Completion of Review Gate Approvals	• Response to all review gate checklist questions is “yes.” • Evidence supporting responses to key questions • Review and approval by required stakeholders
Business Processes Documentation	Testing/execution of business processes during pilot and additional load and test iterations	• Approval by Business Process Analysis team • Resolution of all critical variances documented during testing/execution of business processes during pilot and additional load and test iterations
Deployment Plan	Deployment Plan Review	• Approval by TSD and TAB • Resolution of all critical variances documented during reviews
Acceptance to Deploy	Acceptance to Deploy Review	• Documented open issue in the Open Issues section of the Acceptance to Deploy deliverable for each “no” response on the Acceptance to Deploy Checklist • Approval of Acceptance to Deploy
Deployed/Operational Tool executing on five-project portfolio	Pilot Phase Results Assessment	• Resolution of all critical variances documented during assessment • Approval of Pilot Phase Completion Checklist
Operational Tool executing on all planned project information within the portfolio	Load and Test Iteration Results Assessment	• Resolution of all critical variances documented during assessment • Approval of Load and Test Iteration Completion Checklist
Transition of Deployed/Operational Tool to TSD	Transition to TSD Readiness Review	• Approval of transition readiness by TSD • License for tool transferred to DOA • All vendor access revoked

Deliverable	Final Approval Process	Stakeholder Acceptance Criteria
Project Closeout Report	Project Closeout Review	Approval of Project Closeout Report
Post-Implementation Review of Business Outcomes	Post-Implementation Review of Business Outcomes	Approval of Post-Implementation Review of Business Outcomes

5.5 Process Improvement Activities

Describe the activities that will be performed periodically to assess the project's processes, identify areas for improvement, and implement improvement plans.

Two sets of process improvement activities will be performed within the scope of this project. These sets of activities will address improvement of:

- processes controlled within the project, such as project specific processes and project specific tailoring of standard operating procedures
- processes not controlled within the project, such as agency standard operating procedures.

The project team utilizes project-specific processes and the agency's standard operating procedures in delivering project outcomes. Process-related measurements are made throughout the course of the project, as processes are executed. These process-related measurements aid in gauging the project's performance and are used to manage the project and improve project-specific processes and/or project-specific tailoring of standard operating procedures.

Additionally, measures accumulated from many projects can help characterize the capability of standard operating procedures.

Activities for Improvement of Project-Specific Processes and/or Project-Specific Tailoring of SOPs

A Project Process Improvement Work Group will be established. The Project Process Improvement Work Group will include:

- the project manager
- the requirements analyst
- one TSD staff member
- one Business Process Analysis team member
- the contract manager
- the vendor staff member
- one Enterprise Security Office staff member.

The work group will meet every two weeks during the project or on an ad hoc basis, as specified by the project manager. The work group will review all process-related measurements that aid in gauging a project's performance and recommend improvements to project-specific processes

and/or project-specific tailoring of standard operating procedures, based on the reviewed measurements. The project manager is responsible for implementing selected recommendations. The project manager will select recommendations to be implemented, based on effort to manage risk and improve project performance. Implementation of process improvements includes:

- determining and obtaining appropriate approvals for process improvements
- modifying and baselining appropriate project deliverables to reflect implementation of process improvements
- communication to the project team regarding implementation of process improvements
- benchmarking project performance based on implementation of process improvements
- reporting measurements to the work group that indicate affect of implemented process improvements
- reporting status of all process improvement recommendations to work group.

Activities for Improvement of Standard Operating Procedures

SOP PMO-1-010-03 will be used for addressing process improvement for Standard Operating Procedures. SOP PMO-1-010-03 will be tailored in the following manner. The project manager is responsible for implementing SOP improvements that are released during project execution. The project manager will implement SOP improvements, based on effort to manage risk and improve project performance. Implementation of SOP improvements includes:

- determining and obtaining appropriate approvals for implementation of SOP improvements
- modifying and baselining appropriate project deliverables to reflect implementation of SOP improvements
- communication to the project team regarding implementation of SOP improvements
- benchmarking project performance based on implementation of SOP improvements
- reporting measurements to the work group that indicate affect of implemented SOP improvements.

Section 6. Communication Management

6.1 Communication Management Approach

Describe the overall, high-level approach to communication management for the project. Summarize how communication management activities will be accomplished collectively. If formal communication management policies and procedures have been established at the organization or agency level, refer to the agency and/or organizational practices. In the description, include tailoring of any practices to accommodate specific project needs if applicable.

Formal communication management procedures have been established at an agency level and are specified in SOP PMO-1-010-01. For this project, SOP PMO-1-010-01 will be tailored in the following manner.

The project manager will facilitate all project communication, with the exception of the independent project assessment results. Independent project assessment results will be reported to the executive sponsor with a copy being forwarded to the project manager. The project manager is responsible for addressing all independent project assessment results.

In addition, the QAT mandate to submit the Monitoring Report quarterly will be overridden. The QAT Monitoring Report will be submitted monthly.

6.2 Communication Stakeholders and Information Identification

Based on project-specific methods, describe how project stakeholders and information requirements are identified and organized in order to ensure timely and appropriate collection, generation, dissemination, storage, and ultimate disposition of project information among project stakeholders. A Communication Register or its equivalent is developed as part of this section. Note that an agency-equivalent Communication Register must include, at a minimum, the information identified in the Communication Register Framework supplemental tool.

Communication management guidance in SOP PMO-1-010-01 and project information, such as organization, deliverable, and milestone information, were analyzed to determine stakeholder and information requirements for project communication specified in the Communication Register.

6.3 Distribution Groups

Provide a reference to the location of the project distribution list information, or identify and describe distribution groups that will be used to distribute project information, including name and owner.

Project Distribution List Information	TDART – Texas Department of Administration Repository Tool

Distribution Group Name	Distribution Group Description	Owner

Section 7. Configuration Management

7.1 Configuration Management Approach

Describe the overall, high-level approach to configuration management (CM) for the project. Summarize how configuration management activities will be accomplished collectively. If formal configuration management policies and procedures have been established at the organization or agency level, refer to the agency and/or organizational practices. In the description, include tailoring of any practices to accommodate specific project needs if applicable.

Formal configuration management procedures have been established at an agency level and are specified in SOP PMO-1-010-01. For this project, SOP PMO-1-010-01 will be tailored as described in this section.

The acquired COTS tool and its attributes will be added to the DOA Technology Catalog.

7.2 Configuration Management Tools, Environment, and Infrastructure

Describe the tools, environment, and infrastructure required for the execution of the project CM activities.

The TDART will be used to store non-software items such as plans, schedules, requirements specifications, and correspondence.

TSD will specify the repository for the acquired software, based on the COTS tool that is recommended.

All acquired assets will be added to the Texas Comptroller of Public Accounts State Property Accounting (SPA) system.

7.3 Configuration Identification

Based on project-specific methods, describe the methods for identifying project configuration items (CI) and for placing CIs of the identified baselines under control. A Configuration Items Register or its equivalent is developed as part of this section. Note that an agency-equivalent Configuration Items Register must include, at a minimum, the information identified in the Configuration Items Register Framework supplemental tool.

CI work sessions were conducted to populate the Configuration Items Register. Within the work sessions, the CI Type Table and the CI Selection Questionnaire were used as an aid in identifying project CIs and determining their attributes.

In addition, project planning deliverables and requirements were reviewed to determine baselining requirements of CIs. CIs will be baselined in order to establish them with a certain status, at a particular time to interested parties. For this project, preliminary baselines for all project planning deliverables (identified as 0.x) may be designated to establish them with a

certain status at a particular time during development. The initial formal baseline (1.0) for project planning deliverables will occur when the deliverable is approved by all individuals required on the cover page of the deliverable. Revision baselines (1.x, 2.x, etc.) for project planning deliverables will be established, as required to establish them with a particular status at a particular time after the initial baseline.

The Configuration Items Register will be updated with the project portfolio management system tool attributes, once the recommended tool is acquired.

7.4 Configuration Control

Based on project-specific methods, describe how configuration control is imposed on the baselined configuration items.

The configuration manager will be granted TDART administrator privileges and will implement specified security requirements/considerations for all CIs stored in TDART. CI owners have full discretion for controlling the configuration of the CIs that they own. The configuration manager will develop checklists based on CI attributes, such as Unique Management Requirements and Management Strategy for use in performing periodic audits.

7.5 Status Accounting and Reporting

Describe the configuration status accounting and reporting activities.

The configuration manager will monitor TDART and provide reports on the project-specific content, including tracking releases of deliverables from preliminary baselines to initial baseline to revision baselines. For CI types of “plan”, the release of the initial formal baseline (1.0) and each release following will be announced on the project’s SharePoint site.

TSD will specify the status accounting and reporting activities for the software/hardware deliverables.

7.6 Audits and Reviews

Describe the configuration audits and reviews to be held for the project’s CIs.

The configuration manager will conduct scheduled and unscheduled audits and reviews of the project’s CIs placed in TDART. Audits will be based on the checklists developed from CI attributes. Reports will detail any discrepancies found and be directed to CI owners. CI owners will have seven business days to address discrepancies. In addition, CI owners must provide the configuration manager with a description of the discrepancy resolution. Discrepancies that are not addressed within seven business days will be escalated to the project manager.

TSD will specify the audit and review activities for the software/hardware deliverables.

7.7 Interface Control

Describe the interface control activities required to coordinate changes among the project's CIs and interfacing items outside the scope of the project. Include the external items to which the project's CIs interface.

The DOA timekeeping system will provide, on a monthly basis, a text file containing the employee number of each employee who charged time to the project and the number of hours charged by the employee.

TSD or the Budget department will provide notification of one month prior the implementation changes that impact the specification or availability of the DOA timekeeping interface file. TSD or the Budget department will forward documentation of the changes to the project manager and the project's CCB.

If project requirements for the DOA timekeeping interface file specification or availability change, the project manager or technical sponsor will complete an Enterprise Change Request (ECR). The ECR will be forwarded to the Enterprise CCB.

7.8 Vendor Control

Describe the activities required to incorporate, into the controlled environment, CIs for which a vendor has responsibility.

For the duration of the project, the CM requirements specified in the Configuration Management section of this Project Plan are imposed on all vendor staff. Vendor access to pilot and production environments will be granted and monitored using SOP ESO-110-10, the Enterprise Security Office Standard Operating Procedure. The recommended tool will be tested and verified during pilot and other additional load and test iterations to ensure that it performs as specified in the Project Portfolio Management System Tool Requirements Specification. Acceptance will occur once transition to TSD is complete and evidence exists that the tool meets all requirements specified in the Project Portfolio Management System Tool Requirements Specification. At the conclusion of transition to TSD, the license for the recommended tool will be transferred to the DOA and all vendor access will be revoked.

Section 8. Performance Management

8.1 Performance Management Approach

Describe the overall, high-level approach to product and/or service performance management. Summarize how performance management activities will be accomplished collectively. If formal performance management policies and procedures have been established at the organization or agency level, refer to the agency and/or organizational practices. In the description, include tailoring of any practices to accommodate specific project needs if applicable.

Agency level formal performance management procedures that work in conjunction with SOP PMO-1-010-01 have been established and are specified in SOP PMO-1-010-05. For this project, tailoring of SOP PMO-1-010-05 does not apply.

Describe the scope of the performance management effort in relation to the project. The performance scope defines limits in terms of managing the performance of the goods and/or services.

The scope of the performance management effort is to ensure that products and services delivered within the project meet requirements specified in the Project Portfolio Management System Tool Requirements Specification.

Performance of the DOA timekeeping system to which the Project Portfolio Management System interfaces is not within the scope of the performance management effort.

8.2 Performance Objectives and Standards Identification

Based on project-specific methods, describe how performance objectives and standards are identified and organized in preparation for executing performance management. A Performance Register or its equivalent is developed as part of this section. Note that an agency-equivalent Performance Register must include, at a minimum, the information identified in the Performance Register Framework supplemental tool.

No project-specific methods apply for identifying and organizing performance objectives and standard specified in the Performance Register.

Section 9. Risk Management

9.1 Risk Management Approach

Describe the overall, high-level approach to risk management for the project. Summarize how risk management activities will be accomplished collectively. If formal risk management policies and procedures have been established at the organization or agency level, refer to the agency and/or organizational practices. In the description, include tailoring of any practices to accommodate specific project needs if applicable.

Formal risk management procedures have been established at an agency level and are specified in SOP PMO-1-010-01. For this project, SOP PMO-1-010-01 will be tailored as described in this section.

9.2 Risk Assessment

9.2.1 Risk Identification

Based on project-specific methods, describe how risks are identified and organized in preparation for performing risk analysis, such as use of methods and techniques like brainstorming, interviews, and risk factor tables. A Risk Register or its equivalent is developed as part of this section. Note that an agency-equivalent Risk Register must include, at a minimum, the information identified in the Risk Register Framework supplemental tool.

Risks will be identified and updated throughout the life of the project in a Risk Register. Identified risks will be organized by category. SOP PMO-1-010-01 states that risks will be organized by the following categories:

- operational
- technology
- assets
- market
- strategic
- regulatory/legal

For this project, categories have been developed to support the analysis of impact and the development of mitigation activities for project risks. Risks may be assigned one or more of the following categories:

- project management – risks associated with actions such as planning, budgeting, staffing, tracking, monitoring and controlling, quality assurance and configuration management
- technical – risks associated with technical requirements for deployment and operation of the tool
- business process – risks associated with processes required for use of the tool to benefit the agency.

9.2.2 Risk Analysis

Based on project-specific methods, describe how risks will be analyzed to establish the project exposure for each risk and to determine which risks are the most important ones to address. Describe scales for rating risks and risk threshold values.

Risk Analysis Description	No project-specific methods exist
Scales Description	This project will use the scales defined in SOP PMO-1-010-01, which are: • Impact (Low=1, Medium=2, High=3) • Probability (Low=1, Medium=2, High=3) • Level of control (Low=1, Medium=2, High=3)
Risk Threshold Values Description	Risks with an assessment total of 4 or less will not be managed, unless the value of one of the three assessment areas (impact, probability, or level of control) is 3 or greater

9.2.3 Risk Response Strategies

Based on project-specific methods, describe how risk response strategies are assigned for each risk.

No project-specific methods apply for assigning risk response strategies for each risk.

9.3. Risk Monitoring and Control

9.3.1 Risk Tracking

Based on project-specific methods, describe how risks will be continually tracked to ensure that effective risk management is performed, such as use of methods and techniques like risk checklists and watch lists.

Although SOP PMO-1-010-01 states that risks ranked from one to twenty will be placed on a risk watch list, for this project, risks ranked from one to ten will be placed on a risk watch list.

9.3.2 Risk Reporting

Based on project-specific methods, describe techniques to review and present the status of project risks, such as use of reports for examination of risk response strategies in a summarized (collection or risk items) or detailed (single risk item) manner.

A Risk Item Report will be maintained for each open risk. The project manager will distribute the risk watch list and new Risk Items reported in preparation for weekly risk meetings. Weekly risk meetings will be held to review progress of risks on the watch list, analyze new risks and incorporate new risks into the existing ranked risks.

A Risk Status report will be completed for all risks on the risk watch list.

Section 10. Project Transition

10.1 Closeout Plan

Summarize the plan for closing the project from an administrative, financial, and logistical perspective.

In preparation for the Project Closeout Review, a final evaluation of how well the project performed in terms of project quality, product and/or service performance, scope, cost, schedule, and other aspects of project delivery will be conducted. The Project Closeout Review will be conducted between 10 and 30 days after transition to TSD is complete. At this time, the Project Closeout Report will be approved.

10.2 Phase Closeout

Describe phase closeout plans if applicable.

At the conclusion of Pilot and each load and test iteration, a Completion Review will be held. Artifacts from these Completion Reviews will be used in the Project Closeout Review.

The Pilot Phase Completion Review will ensure that expected results were achieved while executing the tool and documented business processes using the five-project portfolio. Completion Reviews for the remaining load and test iterations will ensure that expected results were achieved while executing the tool and documented business processes using additional project data loaded within the iteration.

Section 11. References

Provide a list of all documents and other sources of information referenced in the Plan and utilized in the project. Include for each the document number, title, date, and author.

Document No.	Document Title	Date	Author
ESO-110-10	Enterprise Security Office Standard Operating Procedure	05/15/2007	DOA ESO
PMO-1-010-01	Project Management Standard Operating Procedure	11/20/2007	DOA PMO
SDLC-1-025-01	System Development Life Cycle Standard Operating Procedure	11/20/2007	DOA PMO
PMO-1-010-10	Project Review Standard Operating Procedure	05/15/2007	DOA PMO
PMO-1-010-03	Process Improvement Standard Operating Procedure	05/15/2007	DOA PMO
PMO-1-010-05	Performance Management Standard Operating Procedure	11/20/2007	DOA PMO
PMO-1-022-01	Project Portfolio Management Standard Operating Procedure	11/20/2007	DOA PMO
N/A	A Guide to the Project Management Body of Knowledge (***PMBOK® Guide)***—Fourth Edition	2008	PMI

Section 12. Glossary

Define all terms and acronyms required to interpret the Project Plan properly.

Abbreviation/Term	Definition
CCB	Change Control Board
CI	Configuration Item
CM	Configuration Management
COTS	Commercial Off-the-Shelf
DIR	Department of Information Resources
DOA	Department of Administration
ECR	Enterprise Change Request
ESO	Enterprise Security Office
PMBOK	Project Management Body of Knowledge
PMI	Project Management Institute
PMO	Project Management Office
QA	Quality Assurance
QAT	Quality Assurance Team
QMS	Quality Management Services
SME	Subject matter expert
SOP	Standard Operating Procedure
TAB	Technical Architecture Board
TDART	Texas Department of Administration Repository Tool
TSD	Technical Service Delivery Team

Section 13. Revision History

Identify changes to the Project Plan.

Version	Date	Name	Description
1.3	06/30/2010	Jim Mills	Modified Sections 5.2, 5.3, 6.2, 7.3, 7.8, 8.2, and 9.2.1 instructions to maintain consistency with Project Plan Instructions and Template.
1.2	12/11/2009	Jim Mills	Modified Section 2.1 instructions to maintain consistency with Project Plan Instructions and Template.
1.1	10/30/2008	Jim Mills	Modified Section 9.1 instructions to maintain consistency with Project Plan Instructions and Template.
1.0	08/28/2008	Jim Mills	Published example of Submission File

Section 14. Appendices

Attach the required deliverables and any other relevant information.

Appendix A: Quality Register

Quality Register			
Agency/Organization Name	Department of Administration	Version Number	1.1
Project Name	Portfolio Management System	Revision Date	08/05/2009

No.	Quality Objective	Quality Standard	Tracking Tool or Measure
1	Project phases completed on time	Project phases completed by planned completion date	• Project Schedule • Project Status • Project Assessment Reports
2	Project reviews indicate critical path is on schedule	Project monitored and controlled to maintain planned critical path	• Project Plan (major project milestones and planned completion dates)
3	Project reviews indicate acceptable actual costs to date	Project monitored and controlled to prohibit actual costs to date from exceeding planned costs to date by more than 10%	• Earned Value Management • Project Budget Schedule • Project Status • Project Assessment Reports
4	Critical path managed by risk assessment and response	Go/No Go meetings are held to verify and validate project risks are being managed in accordance with the risk response strategies	• Project Schedule • Meeting Minutes • Acceptance to Deploy • Project Closeout Report • Project Assessment Reports
5	Issues documented and managed to enhance project success	Issues documented within 3 days and either closed or escalated within 15 days	• Issues Management
6	Vendor delivers requirements specified in contract on time	Planned milestone reviews indicate vendor delivers requirements specified in contract by due dates or pays penalties	• Contract • Final Acceptance
7	Project completed on time	Project completed by planned completion date	• Project Plan • Project Schedule • Project Status • Project Assessment Reports
8	Project is completed within budget	Project completed within planned budget	• Project Charter • Project Budget Schedule • Project Status • Project Assessment Reports

No.	Quality Objective	Quality Standard	Tracking Tool or Measure
9	Project deliverables meet expectations	Stakeholder acceptance meetings are held to verify and validate that project deliverables are within expectations	• Requirements Specifications • Requirements Traceability Matrices • Test Results • Project Status • Project Assessment Reports
10	Project deliverables meet planned scope and specified requirements	Project completed based on the original project scope and approved scope changes	• Project Charter • Project Plan • Change Control Requests • Requirements Traceability Matrices • Test Results • Project Status • Project Assessment Reports
11	Project Close-Out is completed, as planned	A Project Close-Out Report is completed within 30 days after the project deployment	• Close-Out Plan • Close-Out Report

Appendix B: Communication Register

Communication Register			
Agency/Organization Name	Department of Administration	Version Number	1.1
Project Name	Portfolio Management System	Revision Date	08/05/2009

What?	**Who?**		**When?**	**How?**		
Information Requirement Description/Title	Provider/ Stakeholder	Recipient/ Stakeholder	Timeframe/ Frequency/Trigger	Format	Medium/Distribution Method	Storage/Disposition Method
QAT Monitoring Report	• Project Manager • PMO Director • PMO/QAT Liaison	QAT	Monthly, although the reporting frequency communicated by the QAT is quarterly	Texas Project Delivery Framework – Monitoring Report Template	Email	• Stored in TDART • Disposed per Agency Records Management Standards
Project Exception Status Report	Project Manager	PMO Director, Executive Sponsor, Technical Sponsor	When there is a negative variance on the critical path of the project schedule, and/or a cost overrun of 10%	PMO Project Exception Status Report Template	TDART	• Stored in TDART • Disposed per Agency Records Management Standards
Project Monthly Status Report	Project Manager	PMO Director, Executive Sponsor, Technical Sponsor	By close of business on the last business day of each month	PMO Project Monthly Status Report Template	TDART	• Stored in TDART • Disposed per Agency Records Management Standards
Project Team Member Status Report	Project Team Members	Project Manager	Bi-weekly or as communicated by Project Manager	PMO Project Team Member Status Report Template	TDART	• Stored in TDART • Disposed per Agency Records Management Standards
Texas Project Delivery Framework Deliverables	• Documentation Specialist • Project Manager	Based on Texas Project Delivery Framework Submission Requirements	Based on Texas Project Delivery Framework Submission Requirements	Texas Project Delivery Framework – Tool Templates	Email	• Stored in TDART • Disposed per Agency Records Management Standards
Project Status Meeting Summary/Minutes	Project Manager	All Stakeholders	Bi-weekly or as communicated by Project Manager	PMO Meeting Summary/Minutes Template	Email	• Stored in TDART • Disposed per Agency Records Management Standards
SME Work Group Meeting Summary/Minutes	SME Work Group	• SME Work Group • Project Manager	2 business days after meeting	PMO Meeting Summary/Minutes Template	Email	• Stored in TDART • Disposed per Agency Records Management Standards

What?	Who?		When?	How?		
Information Requirement Description/Title	Provider/ Stakeholder	Recipient/ Stakeholder	Timeframe/ Frequency/Trigger	Format	Medium/Distribution Method	Storage/Disposition Method
Business Process Analysis Team Meeting Summary/Minutes	Business Process Analysis Team	• Business Process Analysis Team • Project Manager	2 business days after meeting	PMO Meeting Summary/Minutes Template	Email	• Stored in TDART • Disposed per Agency Records Management Standards
Issues Tracking Log	• Documentation Specialist • Project Manager	All Stakeholders	Entire project duration	PMO Issues Tracking Log	Project SharePoint site	• Disposed per Agency Records Management Standards
Risk Status Reports	Project Manager	All Stakeholders	Weekly	Texas Project Delivery Framework – Risk Status Report Template	TDART	• Stored in TDART • Disposed per Agency Records Management Standards
TDART Configuration Management Reports	Configuration Manager	All Stakeholders	Monthly	PMO TDART Configuration Management Report Template	TDART	• Stored in TDART • Disposed per Agency Records Management Standards
Process Improvement Status Report	Project Manager	All Stakeholders	Monthly	PMO Process Improvement Status Report Template	TDART	• Stored in TDART • Disposed per Agency Records Management Standards
Independent Project Review Results/Report	Quality Engineer	• Executive Sponsor • Project Manager	At scheduled milestones and ad hoc	Word	Email	• Stored in TDART • Disposed per Agency Records Management Standards
QAT Correspondence	• PMO/QAT Liaison • QAT	• QAT • PMO Director • Project Manager • Executive Sponsor • Technology Sponsor	As required	Hardcopy	• Email • Mail	• Stored PMO/QAT Liaison File Cabinet • Disposed per Agency Records Management Standards
DOA timekeeping Interface File Information	• TSD • Budget Department	• Project Manager • Portfolio Management System Project CCB	one month prior the implementation changes that impact the specification or availability of the DOA timekeeping interface file	• Word • Text	Email	• Stored in TDART • Disposed per Agency Records Management Standards

What?	Who?		When?	How?		
Information Requirement Description/Title	Provider/ Stakeholder	Recipient/ Stakeholder	Timeframe/ Frequency/Trigger	Format	Medium/Distribution Method	Storage/Disposition Method
Portfolio Management System project requirements for the DOA timekeeping interface file specification or availability	• Project Manager • Technical sponsor	Enterprise CCB	When Portfolio Management System project requirements for the DOA timekeeping interface file specification or availability change during the project	Enterprise CCB Change Request form template	Email	• Copy stored in TDART • Disposed per Agency Records Management Standards
Deliverables Acceptance Status/Discrepancies	• Documentation Specialist • Project Manager	All Stakeholders	As necessary	• Word • Text	• Email • Mail	• Stored in TDART • Disposed per Agency Records Management Standards
Issues Tracking forms	• All Stakeholders	• Documentation Specialist • Administrative Technician	As necessary	Issues Tracking form template	Email	• Stored in TDART • Disposed per Agency Records Management Standards
Issues Submission Acknowledgement	• Documentation Specialist • Administrative Technician	• Submitter	Upon receipt of submitted Issues Tracking form	Text	Email	• Stored in Outlook Project Issues Tracking Acknowledgement folder
Complex/High-Risk Issues	Project Manager	• Executive sponsor • Technology Sponsor • Information Security Officer	As appropriate, in order to reduce risk and dispose of the issue	Issues Tracking form	As appropriate	At the discretion of the Project Manager

Appendix C: Configuration Items Register

Configuration Items Register			
Agency/Organization Name	Department of Administration	Version Number	1.1
Project Name	Portfolio Management System	Revision Date	08/05/2009

Name	Description	Item Naming Convention	Version Numbering Convention	Type/ Classification	Controlled Library/ Repository	Owner	Relationship with Other CIs	Unique Management Requirements	Management Strategy	Security Requirements/ Considerations
Business Case	Deliverable that provides comparative information between business solution costs and project benefits based on a business case analysis process	*Project name* + Business Case + v*x.y*, where *x.y* is the version of the item Example: PMS Business Casev1.0	• *x* indicates the (major) release number • *y* indicates the (minor) revision number	Project Delivery Framework Deliverable	TDART	• Project Manager • Documentation Specialist	Must be consistent with all Project Delivery Framework Deliverables	Align with QAT requirements	Align with Enterprise Records Management SOPs	• View - All • Add - Owner
Statewide Impact Analysis (SIA)	Deliverable that contains a questionnaire that measures collaboration, business process, and technical reuse across state agencies for major information resources projects	*Project name* + SIA + v*x.y*, where *x.y* is the version of the item Example: PMS SIAv1.0	• *x* indicates the (major) release number • *y* indicates the (minor) revision number	Project Delivery Framework Deliverable	TDART	• Project Manager • Documentation Specialist	Must be consistent with all Project Delivery Framework Deliverables	Align with QAT requirements	Align with Enterprise Records Management SOPs	• View - All • Add - Owner

Name	Description	Item Naming Convention	Version Numbering Convention	Type/ Classification	Controlled Library/ Repository	Owner	Relationship with Other CIs	Unique Management Requirements	Management Strategy	Security Requirements/ Considerations
Project Charter	Deliverable that formally authorizes work to begin on a project	*Project name* + Project Charter + v*x.y*, where *x.y* is the version of the item Example: PMS Project Charterv1.0	• *x* indicates the (major) release number • *y* indicates the (minor) revision number	Project Delivery Framework Deliverable	TDART	• Project Manager • Documentation Specialist	Must be consistent with all Project Delivery Framework Deliverables	Align with QAT requirements	Align with Enterprise Records Management SOPs	• View - All • Add - Owner
Business Justification Review Gate Approval	Deliverable that facilitates agency head assessment and approval of whether a project is ready to proceed to the next review gate	*Project name* + Review Gate Approval - BJ + v*x.y*, where *x.y* is the version of the item Example: PMS Review Gate Approval - BJv1.0	• *x* indicates the (major) release number • *y* indicates the (minor) revision number	Project Delivery Framework Deliverable	TDART	• Project Manager • Documentation Specialist	Must be consistent with all Project Delivery Framework Deliverables	Align with QAT requirements	Align with Enterprise Records Management SOPs	• View - All • Add - Owner
Project Plan	Deliverable that defines activities and resources needed to deliver the project's product and/or service	*Project name* + Project Plan + v*x.y*, where *x.y* is the version of the item Example: PMS Project Planv1.0	• *x* indicates the (major) release number • *y* indicates the (minor) revision number	Project Delivery Framework Deliverable	TDART	• Project Manager • Documentation Specialist	Must be consistent with all Project Delivery Framework Deliverables	Align with QAT requirements	Align with Enterprise Records Management SOPs	• View - All • Add - Owner
Monitoring Report	Deliverable that presents project status information to the Quality Assurance Team	*Project name* + Monitoring Report for *reporting period* + v*x.y*, where *x.y* is the version of the item Example: PMS Monitoring Report for Q1v1.0	• *x* indicates the (major) release number • *y* indicates the (minor) revision number	Project Delivery Framework Deliverable	TDART	• Project Manager • Documentation Specialist	Must be consistent with all Project Delivery Framework Deliverables	Align with QAT requirements	Align with Enterprise Records Management SOPs	• View - All • Add - Owner

Name	Description	Item Naming Convention	Version Numbering Convention	Type/ Classification	Controlled Library/ Repository	Owner	Relationship with Other CIs	Unique Management Requirements	Management Strategy	Security Requirements/ Considerations
Project Planning Review Gate Approval	Deliverable that facilitates agency head assessment and approval of whether a project is ready to proceed to the next review gate	*Project name* + Review Gate Approval - PP + v*x.y*, where *x.y* is the version of the item Example: PMS Review Gate Approval - PPv1.0	• *x* indicates the (major) release number • *y* indicates the (minor) revision number	Project Delivery Framework Deliverable	TDART	• Project Manager • Documentation Specialist	Must be consistent with all Project Delivery Framework Deliverables	Align with QAT requirements	Align with Enterprise Records Management SOPs	• View - All • Add - Owner
Acquisition Plan	Deliverable that facilitates planning and management of technology procurement projects	*Project name* + Acquisition Plan + v*x.y*, where *x.y* is the version of the item Example: PMS Acquisition Planv1.0	• *x* indicates the (major) release number • *y* indicates the (minor) revision number	Project Delivery Framework Deliverable	TDART	• Project Manager • Documentation Specialist	Must be consistent with all Project Delivery Framework Deliverables	Align with QAT requirements	Align with Enterprise Records Management SOPs	• View - All • Add - Owner
Contract Amendment and Change Order Approval	Deliverable that facilitates analysis and justification of project changes that impact a technology contract before funds can be expended for those changes	*Project name* + Contract Amend and Change Order Approval + v*x.y*, where *x.y* is the version of the item Example: PMS Contract Amend and Change Order Approvalv1.0	• *x* indicates the (major) release number • *y* indicates the (minor) revision number	Project Delivery Framework Deliverable	TDART	• Project Manager • Documentation Specialist	Must be consistent with all Project Delivery Framework Deliverables	Align with QAT requirements	Align with Enterprise Records Management SOPs	• View - All • Add - Owner

Name	Description	Item Naming Convention	Version Numbering Convention	Type/ Classification	Controlled Library/ Repository	Owner	Relationship with Other CIs	Unique Management Requirements	Management Strategy	Security Requirements/ Considerations
Solicitation and Contracting Review Gate Approval	Deliverable that facilitates agency head assessment and approval of whether a project is ready to proceed to the next review gate	*Project name* + Review Gate Approval – SC + v*x.y*, where *x.y* is the version of the item Example: PMS Review Gate Approval - PPv1.0	• *x* indicates the (major) release number • *y* indicates the (minor) revision number	Project Delivery Framework Deliverable	TDART	• Project Manager • Documentation Specialist	Must be consistent with all Project Delivery Framework Deliverables	Align with QAT requirements	Align with Enterprise Records Management SOPs	• View - All • Add - Owner
Acceptance to Deploy	Deliverable that facilitates formal product and/or service acceptance before a product and/or service becomes operational.	*Project name* + Accept to Deploy + v*x.y*, where *x.y* is the version of the item Example: PMS Accept to Deployv1.0	• *x* indicates the (major) release number • *y* indicates the (minor) revision number	Project Delivery Framework Deliverable	TDART	• Project Manager • Documentation Specialist	Must be consistent with all Project Delivery Framework Deliverables	Align with QAT requirements	Align with Enterprise Records Management SOPs	• View - All • Add - Owner
Project Closeout Report	Deliverable that facilitates formal closure of a project	*Project name* + Project Closeout Report + v*x.y*, where *x.y* is the version of the item Example: PMS Accept to Deployv1.0	• *x* indicates the (major) release number • *y* indicates the (minor) revision number	Project Delivery Framework Deliverable	TDART	• Project Manager • Documentation Specialist	Must be consistent with all Project Delivery Framework Deliverables	Align with QAT requirements	Align with Enterprise Records Management SOPs	• View - All • Add - Owner
Project Implementation Review Gate Approval	Deliverable that facilitates agency head assessment and approval of whether a project is ready to proceed to the next review gate	*Project name* + Review Gate Approval – Imp + v*x.y*, where *x.y* is the version of the item Example: PMS Review Gate Approval - Impv1.0	• *x* indicates the (major) release number • *y* indicates the (minor) revision number	Project Delivery Framework Deliverable	TDART	• Project Manager • Documentation Specialist	Must be consistent with all Project Delivery Framework Deliverables	Align with QAT requirements	Align with Enterprise Records Management SOPs	• View - All • Add - Owner

Name	Description	Item Naming Convention	Version Numbering Convention	Type/ Classification	Controlled Library/ Repository	Owner	Relationship with Other CIs	Unique Management Requirements	Management Strategy	Security Requirements/ Considerations
Post-Implementation Review of Business Outcomes	Deliverable that facilitates evaluation of project business outcomes	*Project name* + Post-Imp Rev of Bus Outcomes + v*x.y*, where *x.y* is the version of the item Example: PMS Post-Imp Review of Bus Outcomesv1.0	• *x* indicates the (major) release number • *y* indicates the (minor) revision number	Project Delivery Framework Deliverable	TDART	• Project Manager • Documentation Specialist	Must be consistent with all Project Delivery Framework Deliverables	Align with QAT requirements	Align with Enterprise Records Management SOPs	• View - All • Add - Owner
Benefits Realization Review Gate Approval	Deliverable that facilitates agency head assessment and approval of whether a project is ready to proceed to the next review gate	*Project name* + Review Gate Approval – BR + v*x.y*, where *x.y* is the version of the item Example: PMS Review Gate Approval - BRv1.0	• *x* indicates the (major) release number • *y* indicates the (minor) revision number	Project Delivery Framework Deliverable	TDART	• Project Manager • Documentation Specialist	Must be consistent with all Project Delivery Framework Deliverables	Align with QAT requirements	Align with Enterprise Records Management SOPs	• View - All • Add - Owner
Project Monthly Status Report	Status Report submitted to PMO Director by Project Manager	*Project name* + Project Status + *yyyy mm dd* + v*x.y*, where *yyyy mm dd* is the date status report is due, and *x.y* is the version of the item Example: PMS Project Status 2009 09 25v1.0	• *x* indicates the (major) release number • *y* indicates the (minor) revision number	Report	TDART	• Project Manger • Documentation Specialist			Align with Enterprise Records Management SOPs	• View - All • Add/Update - Owner

Name	Description	Item Naming Convention	Version Numbering Convention	Type/ Classification	Controlled Library/ Repository	Owner	Relationship with Other CIs	Unique Management Requirements	Management Strategy	Security Requirements/ Considerations
Project Exception Status Report	Status Report submitted to PMO Director by Project Manager when there is a negative variance on the critical path of the project schedule, and/or a cost overrun of 10%	*Project name* + Project Exception Status + *yyyy mm dd* + v*x.y,* where *yyyy mm dd* is the date status report is due, and *x.y* is the version of the item Example: PMS Project Exception Status 2009 09 25v1.0	• *x* indicates the (major) release number • *y* indicates the (minor) revision number	Report	TDART	• Project Manger • Documentation Specialist			Align with Enterprise Records Management SOPs	• View - All • Add/Update - Owner
Project Team Member Status Report	Status Report submitted to Project Manager by each Project Team Member	*Project name* + *Team Member Name* + Project Status + *yyyy mm* dd + vx.*y,* where *yyyy mm dd* is the date status report is due and *x.y* is the version of the item Example: PMS John Smith Project Status 2009 09 25v1.0		Report	TDART	• Project Team Member • Project Manger • Documentation Specialist			Align with Enterprise Records Management SOPs	• View - All • Add/Update - owner

Name	Description	Item Naming Convention	Version Numbering Convention	Type/ Classification	Controlled Library/ Repository	Owner	Relationship with Other CIs	Unique Management Requirements	Management Strategy	Security Requirements/ Considerations
Risk Status Reports	Report that contains status of “top 10” risks	*Project name* + Risk Status + *yyyy mm dd* + v *x.y*, where *yyyy mm dd* is the date of status report and *x.y* is the version of the item Example: PMS Project Risk Status 2009 09 25v1.0	• *x* indicates the (major) release number • *y* indicates the (minor) revision number	Report	TDART	• Project Manger • Documentation Specialist			Align with Enterprise Records Management SOPs	• View - All • Add/Update - owner
Process Improvement Status Reports	Report that contains status of project process improvement efforts	*Project name* + PI Status + *yyyy mm dd* + v *x.y*, where *yyyy mm dd* is the date of status report and *x.y* is the version of the item Example: PMS PI Status 2009 09 25v1.0	• *x* indicates the (major) release number • *y* indicates the (minor) revision number	Report	TDART	Process Improvement Work Group Chairperson			Align with Enterprise Records Management SOPs	• View - All • Add/Update - owner
TDART Configuration Management Reports	Report that contains TDART Configuration Audit Results	*Project name* + Config Audit + *yyyy mm dd* + v *x.y*, where *yyyy mm dd* is the date of the audit and *x.y* is the version of the item Example: PMS Config Audit 2009 09 25v1.0	• *x* indicates the (major) release number • *y* indicates the (minor) revision number	Report	TDART	Configuration Manager			Align with Enterprise Records Management SOPs	• View - All • Add/Update - owner

Name	Description	Item Naming Convention	Version Numbering Convention	Type/ Classification	Controlled Library/ Repository	Owner	Relationship with Other CIs	Unique Management Requirements	Management Strategy	Security Requirements/ Considerations
SME Work Group Meeting Summary/Minutes	Summary/Minutes of SME Work Group Meetings	*Project name* + SME WG Meeting + *yyyy mm dd* + v*x.y,* where *yyyy mm dd* is the meeting date, and *x.y* is the version of the item Example: PMS SME WG Meeting 2009 09 25v1.0	• *x* indicates the (major) release number • *y* indicates the (minor) revision number	Minutes	TDART	SME Work Group Lead		Read-Only after tool requirements approval	Align with Enterprise Records Management SOPs	• View - All • Add/Update - owner
Business Process Analysis Team Meeting Summary/Minutes	Summary/Minutes of Business Process Analysis Team Meeting	*Project name* + BPA Meeting + *yyyy mm dd* + v*x.y,* where *yyyy mm dd* is the meeting date, and *x.y* is the version of the item Example: PMS BPA Meeting 2009 09 25v1.0	• *x* indicates the (major) release number • *y* indicates the (minor) revision number	Minutes	TDART	Business Process Analysis Team Lead			Align with Enterprise Records Management SOPs	• View - All • Add/Update - owner
Business Process Documentation	Artifacts produced by Business Process Analysis Team	*Project name* + Business Processes + v*x.y*, where *x.y* is the version of the item Example: PMS Business Processesv1.0	• *x* indicates the (major) release number • *y* indicates the (minor) revision number	Documentation	TDART	• Documentation Specialist • Business Process Analysis Team Lead		Locked-down after Pilot	Align with Enterprise Records Management SOPs	• View - All • Add/Update - owner

Name	Description	Item Naming Convention	Version Numbering Convention	Type/ Classification	Controlled Library/ Repository	Owner	Relationship with Other CIs	Unique Management Requirements	Management Strategy	Security Requirements/ Considerations
Business Process Training and Reference Guide	Business Process Training materials and Reference Guide	*Project name* + Business Processes + v*x.y*, where *x.y* is the version of the item Example: PMS Business Processesv1.0	• *x* indicates the (major) release number • *y* indicates the (minor) revision number	Documentation	TDART	• Documentation Specialist • Business Process Analysis Team Lead	Must be consistent with Business Process Documentation		Align with Enterprise Records Management SOPs	• View - All • Add/Update - owner
Independent Project Review Results/Report	Copy of original report received from Quality Analyst placed in repository by Documentation Specialist	*Project name* + QC report + *yyyy mm dd* + v *x.y,* where *yyyy mm dd* is the report date, and *x.y* is the version of the item Example: PMS QC Report 2009 09 25v1.0	• *x* indicates the (major) release number • *y* indicates the (minor) revision number	Report	TDART	• Project Manger • Documentation Specialist			Align with Enterprise Records Management SOPs	• View - All • Add/Update - owner

Name	Description	Item Naming Convention	Version Numbering Convention	Type/ Classification	Controlled Library/ Repository	Owner	Relationship with Other CIs	Unique Management Requirements	Management Strategy	Security Requirements/ Considerations
Project Correspondence	Copy of original correspondence received from source placed in repository by Documentation Specialist	*Project name* + *Correspondence Name* + *yyyy mm dd* + v*x.y*, where *Correspondence Name* is a brief descriptive name of the correspondence, *yyyy mm dd* is the correspondence date, and *x.y* is the version of the item Example: PMS Tool Recommendation 2009 09 25v1.0	• *x* indicates the (major) release number • *y* indicates the (minor) revision number	Correspondence	TDART	• Project Manger • Documentation Specialist		Owner may restrict access	Align with Enterprise Records Management SOPs	• View - All • Add/Update - owner

Name	Description	Item Naming Convention	Version Numbering Convention	Type/ Classification	Controlled Library/ Repository	Owner	Relationship with Other CIs	Unique Management Requirements	Management Strategy	Security Requirements/ Considerations
Other Project Deliverables/Artifacts	Project Deliverables/Artifacts not described above	*Project name* + *Deliverable Name* + *yyyy mm dd* + v*x.y,* where *Deliverable Name* is a brief descriptive name of the deliverable/ artifact, *yyyy mm dd* is the deliverable/ artifact date, and *x.y* is the version of the item Example: PMS Tool Criteria 2009 09 25v1.0	• *x* indicates the (major) release number • *y* indicates the (minor) revision number	Word, Excel, PDF, etc.	TDART	Variable			Align with ERM SOPs	Variable
DOA Timekeeping System Interface File Specification	Specification of file containing employees and number of hours charged to Portfolio Management System project	*Project name* + Timekeeping Interface Spec v*x.y*, where *x.y* is the version of the item Example: PMS Timekeeping Interface Spec v1.0	• *x* indicates the (major) release number • *y* indicates the (minor) revision number	Specification	TDART	• Documentation Specialist				• View - All • Add/Update - owner
Software (COTS) Tool	Software tool acquired by vendor	Provided by vendor	Provided by vendor	Software	TBD	TSD	TBD	CI information must be entered in DOA COTS Catalog	Align with TSD SOPs	TBD

Appendix D: Performance Register

Performance Register			
Agency/Organization Name	Department of Administration	Version Number	1.1
Project Name	Portfolio Management System	Revision Date	08/05/2009

No.	Project Business Goal and Objective	Product and/or Service Performance Objective	Performance Standard	Performance Measurement	Performance Monitoring and Evaluation					
					Collection Method	Collection Schedule	Review Method	Frequency	Assigned To	Reports
1	Pilot installation and use of tool successful	Tool installation and use completed as planned and as specified in criteria	• 100% of tool requirements executed during pilot phase • 100% of critical requirements met • 85% of all requirements met • No open critical Incident Reports (IR)	• % of critical criteria met • % of all criteria met • # of critical IRs logged/resolved	• Requirements traceability matrix • IR logs	Continual	• Requirements traceability matrix review • IR assessments • Pilot Phase Completion Review	• As required • As required • Once	• Requirements analyst • QA Analyst • Quality Engineer	• Requirements traceability matrix summary • IR summaries • Pilot Phase Completion Review Report
2	Pilot business processes successful	Business processes associated with use of tool are “tested and refined” during pilot	Performance of pilot project is not degraded	• Current pilot project performance is not less than PMO portfolio performance average • Tool stakeholder satisfaction not less than 75%	• Pilot project status reports • Stakeholder surveys	Monthly	Portfolio Management System Project Status Meetings	Monthly	Business Process Analyst	• Pilot project status report • Stakeholder survey summary
3	Other implementation phases installation and use of tool successful	Tool installation and use completed as planned and as specified in criteria	• 100% of tool requirements executed during each implementation phase • 100% of critical requirements met • 100% of all requirements met • No open critical Incident Reports (IR)	• % of critical criteria met • % of all criteria met • # of critical IRs logged/resolved	• Requirements traceability matrix • IR logs	Continual	• Requirements traceability matrix review • IR assessments • Phase Completion Review	• As required • As required • Once	• Requirements analyst • QA Analyst • Quality Engineer	Individual projects’ status reports will be consolidated and summarized

No.	Project Business Goal and Objective	Product and/or Service Performance Objective	Performance Standard	Performance Measurement	Performance Monitoring and Evaluation					
					Collection Method	Collection Schedule	Review Method	Frequency	Assigned To	Reports
4	Other implementation phases business processes successful	Business processes associated with use of tool are “tested and refined” during phase	Performance of phase portfolio (projects included in phase) is not degraded	• Current phase portfolio performance average is not less than PMO portfolio performance average • Stakeholder satisfaction not less than 75%	• Individual projects’ status reports will be consolidated and summarized • Stakeholder surveys	Monthly	Portfolio Management System Project Status Meetings	Weekly	Business Process Analyst	• Individual projects’ status reports will be consolidated and summarized • Stakeholder survey summary
5	Warranty Period Successful	Tool operation in production and vendor services for operation of tool is as planned and as specified in SLAs	• 95% planned tool availability • No fatal errors logged • Response time < 2 seconds in 95% of transactions	• Tool availability • Error logs • Transaction logs	Request reports from TSD	As requested	Transition to TSD Review	Once	Project Manager	Transition Readiness Review Report

Appendix E: Risk Register

Risk Register			
Agency/Organization Name	Department of Administration	Version Number	1.1
Project Name	Portfolio Management System	Revision Date	8/5/2009

Risk #	RISK STATEMENT		Risk Trigger / Causes	ASSESSMENT (Low=1, Medium=2, High=3)				Risk Response Strategy	Actions Required To Implement Response Strategy	Risk Owner	Completion Date
	Risk (Event) Description	Impact (Consequence) Description		Impact	Probability	Level of Control	Total				
1	Incomplete Tool Criteria	Incorrect Tool Recommendation	Problem/scope instability	3	1	1	5	Mitigate	* Clearly define problem to be solved by tool * Appoint diverse SME Work Group	Project Manager Executive Sponsor	
2	Unable to recommend and/or procure tool by 8/30/2009	Inability to purchase tool	* Late project start * Unable to reach consensus on tool requirements * Unable to reach agreement with vendor	3	1	2	6	Mitigate	* Clearly define problem to be solved by tool * Appoint diverse SME Work Group * Determine candidate tools and pricing. Use information in budget planning	Project Manager Executive Sponsor	
3	Recommended tool requires additional infrastructure for installation	Inability to install/execute recommended tool	* Incorrect/unclear tool criteria * Unclear information regarding current infrastructure environment	3	2	2	7	Mitigate	* Clearly define infrastructure requirements for tools being evaluated * Clearly define information regarding current infrastructure environment * Appoint TSD as major stakeholder for project * Obtain funding for reasonable amount of additional infrastructure	Project Manager Technical Sponsor	
4	TSD will be unable to support tool at transition	Inability to ensure stability of production tool environment	* Vendor unable to meet criteria for transition during warranty period	3	1	1	5	Transfer	*Specify vendor responsibity in contract	Project Manager Technical Sponsor Contract Manager	
5	Incomplete/Inaccurate Business Processes	Inefficient/Inaccurate Use of Tool	Business processes instability	3	1	1	5	Mitigate	* Clearly define problem to be solved by tool * Appoint diverse group of business process analysts * Test/refine business processes during pilot * Control changes to business processes	Project Manager	
6	Internal resources may be assigned to other projects and operational tasks.	Project resource availability may adversely affect the schedule.	* Project schedule slipage may cause conflicts * Unscheduled resource demands	3	2	1	6	Mitigate	* Monitor and control schedule * Communicate modifications in resources requirements and schedule	Project Manager	
7							0				
8							0				
9							0				
10							0				
11							0				
12							0				
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