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## **Project Business Alignment**

Hint: a red “squiggle” underline under an item means that field must be filled out or completed. The red underline disappears after the field is filled out or completed. An error message will appear when the submit button is clicked if a mandatory field has not been completed. Look for the red underline and complete the missing data.

\*\*\*GENERAL INFORMATION TAB\*\*\* – Basic information that identifies the project.

Title – The proper name used to identify this project.

Home Portfolio - The Portfolio where the Project information will be stored.

Description – An initial, high-level statement describing the purpose, benefits, customer(s), general approach to development and characteristics of a product or service required by the organization.

Project Status Form Description (for active projects): updated (locked) description from the latest approved baseline; taken from the project status form for active projects.

Item Type (Project) - Indicates whether the investment is a project or procurement.

Item Classification (Major or Non-Major) – Indicates whether the investment is Major or Non-Major based on the following definitions:

A Major IT Project is defined in the Code of Virginia as: “... any state agency information technology project that (i) is mission-critical, (ii) has statewide application, or (iii) has a total estimated cost of more than \$1 million.”

Non-Major IT Projects are those technology projects with an estimated total project cost of less than or equal to \$1 million and not deemed mission critical or designated as having statewide application by the Commonwealth CIO.

Working Title – The working name or acronym used to identify the project. If an acronym is used, define the specific meaning for each letter.

Proponent Secretariat – The Secretariat to whom the proponent agency is assigned or the Secretariat that is sponsoring a particular enterprise project.

Proponent Agency – The agency that will be responsible for the management of the project.

Prepared by – The person(s) preparing this form.

Planned Start Date – Select from the calendar the date when project planning activities are expected to begin. For continuing projects identify the actual project start date.

Planned Completion Date – Select from the calendar the date when the project is expected to be closed out.

Date Verification Indicator – An edit check to indicate when Completion Date is earlier than Start Date. The dates are tested when the Submit button is pressed.

Project Status – Select Status from the value list based on the following definitions:

Proposed – Project is new.

Continuing – Project is on-going.

Completed - Project is completed.

Cancelled – Project has been cancelled by the Agency

Terminated - The CIO, with approval of the ITIB, has terminated the project.

Suspended - The CIO has directed the suspension of an IT project that has not met the performance measures agreed to by the CIO and the sponsoring agency or public institution of higher education or if such action is appropriate and consistent with the terms of any affected contracts.

Reclassified – Project has been reclassified. Projects can be reclassified as procurements and vice versa. Projects can be reclassified from major to non-major and vice versa.

Project Cost (Estimate at Completion) – Estimate the total cost to provide the business driven, technology-based product, or service. The costs include the hardware, software, services, installation, management, maintenance, support, training, and internal staffing costs planned for the project. Internal staffing costs are the apportioned salaries and benefits of the project team members.

Project Status Form Cost (for active projects):: updated (locked) description from the latest approved baseline; taken from the project status form for active projects.

Total General Fund Project Cost – Enter the portion of Total Project Cost (Estimate at Completion) to be expended from general funds.

**\*\* BIENNIUM FUNDING TABS\*\***

Choose the correct Biennium for funding data:

06-08 Biennium (FY07,08)

08 -10 Biennium (FY09,10)

10 -12 Biennium (FY11,12)

12-14 Biennium (FY13, 14)

Fill out the following information for the appropriate Biennium

\*\*\*\*\*

First Year of Biennium

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Total Project Expenditure – 1st Year – The portion of Project Cost (Estimate at Completion) to be expended for the first fiscal year. This is calculated by the system as the sum of Estimated Project Expenditures for General and Non-General Funds.

Funding Risk– 1st Year – Select the appropriate value to indicate whether the project funding risk level is low (i.e. allocated federal funds), medium (i.e. grant approved but not allocated), or high (i.e. unappropriated general funds).

Funding Source – Select the appropriate value to indicate whether the project funding source is General funds, Non-general funds (including grants), or Mixed (a combination of general and non-general funds).

Non-General Funding Source – The default value is “Not Applicable” which is appropriate if the project funding source is General Funds. Otherwise, select the appropriate value to indicate whether the non-general funding source is Federal, State, Mixed or Other.

Estimated Project Expenditures - General Fund – Enter the portion of Total Project Expenditures to be expended for the first fiscal year using general funds.

Estimated Project Expenditures - Non-General Fund – Enter the portion of Total Project Expenditures to be expended for the first fiscal year using non-general funds.

Funding Needed - General Fund – Enter the portion of Estimated Project Expenditures (General Funds) that is needed or required for the first fiscal year.

Funding Needed - Non-General Fund – Enter the portion of Estimated Project Expenditures (Non-general Funds) that is needed or required for the first fiscal year.

Total Funding Needed – 1st Year – This is calculated by the system as the sum of Funding Needed for General and Non-General Funds.

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Second Year of Biennium

\*\*\*\*\*

Total Project Expenditure – 2nd Year – The portion of Project Cost (Estimate at Completion) to be expended for the second fiscal year. This is calculated by the system as the sum of Estimated Project Expenditures for General and Non-General Funds.

Funding Risk– 2nd Year – Select the appropriate value to indicate whether the project funding risk level is low (i.e. allocated federal funds), medium (i.e. grant approved but not allocated), or high (i.e. unappropriated general funds).

Funding Source – Select the appropriate value to indicate whether the project funding

source is General funds, Non-general funds (including grants), or Mixed (a combination of general and non-general funds).

Non-General Funding Source – The default value is “Not Applicable” which is appropriate if the project funding source is General Funds. Otherwise, select the appropriate value to indicate whether the non-general funding source is Federal, State, Mixed or Other.

Estimated Project Expenditures - General Fund – Enter the portion of Total Project Expenditures to be expended for the second fiscal year using general funds.

Estimated Project Expenditures - Non-General Fund – Enter the portion of Total Project Expenditures to be expended for the second fiscal year using non-general funds.

Funding Needed - General Fund – Enter the portion of Estimated Project Expenditures (General Funds) that is needed or required for the second fiscal year.

Funding Needed - Non-General Fund – Enter the portion of Estimated Project Expenditures (Non-general Funds) that is needed or required for the second fiscal year.

Total Funding Needed – 2nd Year – This is calculated by the system as the sum of Funding Needed for General and Non-General Funds.

### **\*\*\*BUSINESS PROBLEM/OUTCOME TAB\*\*\***

Business Problem - A question, issue, or situation, pertaining to the business, which needs to be answered or resolved. State in specific terms the problem or issue this project will resolve. Often, the Business Problem is reflected as a Critical Business Issue or Initiative in the Agency’s Strategic Plan or Information Technology Strategic Plan.

Desired Outcomes - State the beneficial outcomes to be achieved as a result of this investment.

### **\*\*\*ALIGNMENT TO GOALS TAB\*\*\***

Define how the project aligns with the Council on Virginia's Future 7 long term objectives and the Commonwealth Strategic Plan for Information Technology. The tab is available in the Project Business Alignment and Investment Business Case forms. The data is bidirectional; i.e. any input or change updates both forms..

When answering the questions, “Yes” will be represented as a green star and “No” as a red square. “No value” is the default. A selection must be made for each objective.

If a long term objective has been selected and flagged as “Yes”, indicate which of the corresponding Commonwealth Strategic Plan for Technology Initiatives, listed directly below, is supported by this project.

1. Be recognized as the best-managed state in the nation.  
Indicate whether the project contributes to this long-term goal.

1. Be recognized as the best-managed state in the nation. (Government and Citizens)

If yes, indicate which of the following Commonwealth Strategic Plan for Technology Initiatives this project supports.

Increase accessibility to government.

Create a reputation of performance for technology.

Facilitate IT collaboration and partnerships.

Ensure a trusted and reliable technical environment

2. Be a national leader in the preservation and enhancement of our economy.  
Indicate whether the project contributes to this long-term goal.

\*2. Be a national leader in the preservation and enhancement of our economy. (Economy)

If yes, indicate which of the following Commonwealth Strategic Plan for Technology Initiatives this project supports.

Increase accessibility to government.

Facilitate IT collaboration and partnerships.

Ensure a trusted and reliable technical environment:

3. Elevate the levels of educational preparedness and attainment of our citizens.  
Indicate whether the project contributes to this long-term goal. (Education)

\*3. Elevate the levels of educational preparedness and attainment of our citizens.

If yes, indicate which of the following Commonwealth Strategic Plan for Technology Initiatives this project supports.

Increase accessibility to government.

Increase workforce productivity through the use of technology:

4. Inspire and support Virginians toward healthy lives and strong and resilient families.  
(Health and Family)

Indicate whether the project contributes to this long-term goal.

\*4. Inspire and support Virginians toward healthy lives and strong and resilient families.

If yes, indicate which of the following Commonwealth Strategic Plan for Technology Initiatives this project supports.

Increase accessibility to government.

Facilitate IT collaboration and partnerships.

Ensure a trusted and reliable technical environment:

Increase workforce productivity through the use of technology:

5. Protect, conserve and wisely develop our natural, historical and cultural resources. Indicate whether the project contributes to this long-term goal.

\*5. Protect, conserve and wisely develop our natural, historical and cultural resources. (Natural, Historic and Cultural Resources)

If yes, indicate which of the following Commonwealth Strategic Plan for Technology Initiatives this project supports.

Increase accessibility to government.

Facilitate IT collaboration and partnerships.

Ensure a trusted and reliable technical environment:

6 Protect the public's safety and security, ensuring a fair and effective system of justice and providing a prepared response to emergencies and disasters of all kinds. (Public Safety)

Indicate whether the project contributes to this long-term goal.

\*6. Protect the public's safety and security, ensuring a fair and effective system of justice and providing a prepared response to emergencies and disasters of all kinds.

If yes, indicate which of the following Commonwealth Strategic Plan for Technology Initiatives this project supports.

Increase accessibility to government.

Ensure a trusted and reliable technical environment:

7. Ensure that Virginia has a transportation system that is safe, easy, enhances economy and improves quality of life. (Transportation)

Indicate whether the project contributes to this long-term goal.

\*7. Ensure that Virginia has a transportation system that is safe, enables easy movement of people and enhances the economy and improves our quality of life.

If yes, indicate which of the following Commonwealth Strategic Plan for Technology Initiatives this project supports.

Increase accessibility to government.

Facilitate IT collaboration and partnerships.

Increase workforce productivity through the use of technology

A web portlet is available as a reference tool. The portlet links to the Commonwealth IT Strategic Plan 2007-2011 web page.

**\*\*\*SERVICE AREA TAB\*\*\***

Use this dependency table to assign service areas to the project. These Service Areas are available from your portfolio of Service Areas.

Select the Service Areas this investment supports by clicking on the "Add" button (below right). After the Service Areas have been added, indicate the Primary Service Area by double clicking on the cell in the "Weight" column. Describe how the investment supports the Service Area by clicking on the Service Area name and then press the "Edit" button; enter the description in the "Annotation" box. If the service area is identified in the Governor's Performance Goals, type "Govenor's Performance Goals" in the annotation box also. The Manager, Start date, End date and Phase are not used and should not be filled in.

**\*\*\*EXTERNAL FACTORS TAB\*\*\***

Describe any external factors impacting the investment.

**\*\*\*ENTERPRISE BUSINESS ARCHITECTURE (EBA) TAB\*\*\***

Indicate which Lines of Business (LOBs) this investment supports by selecting "Yes" for all that apply.

A portlet to the VITA Enterprise Business Architecture Website is available for researching LOBs.

**\*\*\*COLLABORATION TAB\*\*\***

Indicate whether there is another agency that performs this line of business or business function (yes/no): If yes is selected, then up to ten (10) agencies can be selected.

## **Project Business Alignment**

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*Knowledge Base*

Indicate whether the Commonwealth has an existing Enterprise Solution (yes/no): If yes is selected, provide Application Name, Owner (Agency), Contact Name, Contact Phone # information.

## **Investment Business Case**

Hint: a red “squiggle” underline under an item means that field must be filled out or completed. The red underline disappears after the field is filled out or completed. An error message will appear when the submit button is clicked if a mandatory field has not been completed. Look for the red underline and complete the missing data.

The “Investment Business Case” questions have been revised for the upcoming budget biennium. The information within this Investment Business Case and the Project Business Alignment form (Enterprise Business Architecture and Collaboration data) will be used to score and assign an initial 1 – n rank among all major IT projects. A project must receive a grade of 70 or above to be included in the Recommended Technology Investment Projects (RTIP) Report due to the Governor and General Assembly on September 1st of each year. Questions that are not answered will receive 0 points. The IT Investment Board (ITIB) has placed emphasis in the scoring and ranking process to enterprise projects which are strategically aligned to the Commonwealth’s goals and objectives by weighting these categories more heavily than the other categories.

\*\*\*Questions 1 – 4 TAB\*\*\*

1. Will the project solve a business need identified in your current Agency Strategic Plan? (Yes/No)
2. Define the scope of the project.

Scope is defined as the sum of the products and services to be provided as a project.

3. Is this project mission critical? (Yes/No) If "Yes", explain why.
4. Is this project mandatory? (Yes/No)

If "Federal Mandate", identify the legal or regulatory requirements, including federal code citations.

If "State Mandate", identify the legal or regulatory requirements, including the Code of Virginia citations.

If "Other", describe legal or regulatory requirements to include the source. (Identify the legal or regulatory requirements, including Code of Virginia citations.)

\*\*\*Questions 5 – 8 TAB\*\*\*

5. Define the specific business objectives of the project—the expected beneficial outcomes to be achieved as a result of this project. (Project performance measures will be developed from these project business objectives.)

(Project Business Objective - A desired result produced by a project that answers or resolves a business problem.)

6. Has the business owner(s) been identified? (Yes/No)

(Business Owner – the primary functional stakeholder whose responsibilities are to identify and communicate business needs and knowledge for the project, and insure the business needs are appropriately addressed by the project.)

If "Yes", list title(s) and name(s):

7. Has the project sponsor(s) been identified? (Yes/No)

Project Sponsor - An individual, usually part of the organization management team, who makes the business case for the project. This individual usually has the authority to define project goals, secure resources, and resolve organizational and priority conflicts.)

If "Yes", list title(s) and name(s):

8. Does this project benefit or have the potential to benefit one or more of the following?  
Yes -Green, No - Red

- Other Agencies within your Secretariat
- Other Agencies outside your Secretariat
- All Agencies
- Local Governments

Can this project be provided by other service? Yes -Green, No - Red  
If no, why?

\*\*\*Question 9 TAB\*\*\*

9. Define how the project aligns with the Council on Virginia's Future 7 long term objectives and the Commonwealth Strategic Plan for Information Technology. The tab is available in the Project Business Alignment and Investment Business Case forms. The data is bidirectional; i.e. any input or change updates both forms..  
When answering the questions, “Yes” will be represented as a green star and “No” as a red square. “No value” is the default. A selection must be made for each objective.

If a long term objective has been selected and flagged as “Yes”, indicate which of the corresponding Commonwealth Strategic Plan for Technology Initiatives, listed directly below, is supported by this project.

1. Be recognized as the best-managed state in the nation.  
Indicate whether the project contributes to this long-term goal.

1. Be recognized as the best-managed state in the nation. (Government and Citizens)

If yes, indicate which of the following Commonwealth Strategic Plan for Technology Initiatives this project supports.

Increase accessibility to government.

Create a reputation of performance for technology.

Facilitate IT collaboration and partnerships.

Ensure a trusted and reliable technical environment

2. Be a national leader in the preservation and enhancement of our economy.

Indicate whether the project contributes to this long-term goal.

\*2. Be a national leader in the preservation and enhancement of our economy. (Economy)

If yes, indicate which of the following Commonwealth Strategic Plan for Technology Initiatives this project supports.

Increase accessibility to government.

Facilitate IT collaboration and partnerships.

Ensure a trusted and reliable technical environment:

3. Elevate the levels of educational preparedness and attainment of our citizens.

Indicate whether the project contributes to this long-term goal. (Education)

\*3. Elevate the levels of educational preparedness and attainment of our citizens.

If yes, indicate which of the following Commonwealth Strategic Plan for Technology Initiatives this project supports.

Increase accessibility to government.

Increase workforce productivity through the use of technology:

4. Inspire and support Virginians toward healthy lives and strong and resilient families. (Health and Family)

Indicate whether the project contributes to this long-term goal.

\*4. Inspire and support Virginians toward healthy lives and strong and resilient families.

If yes, indicate which of the following Commonwealth Strategic Plan for Technology

Initiatives this project supports.

Increase accessibility to government.

Facilitate IT collaboration and partnerships.

Ensure a trusted and reliable technical environment:

Increase workforce productivity through the use of technology:

5. Protect, conserve and wisely develop our natural, historical and cultural resources. Indicate whether the project contributes to this long-term goal.

\*5. Protect, conserve and wisely develop our natural, historical and cultural resources. (Natural, Historic and Cultural Resources)  
If yes, indicate which of the following Commonwealth Strategic Plan for Technology Initiatives this project supports.

Increase accessibility to government.

Facilitate IT collaboration and partnerships.

Ensure a trusted and reliable technical environment:

6 Protect the public's safety and security, ensuring a fair and effective system of justice and providing a prepared response to emergencies and disasters of all kinds. (Public Safety)

Indicate whether the project contributes to this long-term goal.

\*6. Protect the public's safety and security, ensuring a fair and effective system of justice and providing a prepared response to emergencies and disasters of all kinds.

If yes, indicate which of the following Commonwealth Strategic Plan for Technology Initiatives this project supports.

Increase accessibility to government.

Ensure a trusted and reliable technical environment:

7. Ensure that Virginia has a transportation system that is safe, easy, enhances economy and improves quality of life. (Transportation)  
Indicate whether the project contributes to this long-term goal.

\*7. Ensure that Virginia has a transportation system that is safe, enables easy movement of people and enhances the economy and improves our quality of life.

If yes, indicate which of the following Commonwealth Strategic Plan for Technology Initiatives this project supports.

Increase accessibility to government.

Facilitate IT collaboration and partnerships.

Increase workforce productivity through the use of technology

A web portlet is available as a reference tool. The portlet links to the Commonwealth IT Strategic Plan 2007-2011 web page.

\*\*\*Questions 10 – 12 TAB\*\*\*

10a. Which of the Governor's IT Improvement Initiatives does this project support?

Core business systems and process improvement: The Business Architecture project is an Enterprise-wide effort to re-engineer core business applications.

Lower operating costs: Does the project support means to offset rapidly rising costs such as those driven by increasing personnel costs, especially health care expenses, entitlement spending, and mandated expenditures? Will it aid in reducing the cost of government and a growing population demanding improved services? Does the project help improve the way the Commonwealth manages its productivity improvement efforts?

Lower constituent transaction time with special emphasis on business and veterans:  
Reducing transaction times for business: Building on Virginia's ranking by Forbes.com as the best place to do business we must do even better in reducing the overhead for businesses operating in Virginia. A one-stop portal will be created for businesses to reduce the time and complexity involved in getting licenses, filing for permits, paying bills, etc. Reducing transaction times for Veterans: Although not as widespread through the enterprise, we must do a better job of supporting those who have served our defense of freedom. A second project will develop an approach for the coordinated presentation of benefits and programs for veterans.

Electronic Health Records: A number of health-related service organizations are coming together to develop a coordinated approach for new electronic health care systems in order to improve services to joint clients and to reduce overall development costs.

Enterprise wide document handling and workflow management and processes: While strides have been made in reducing the amount of paper involved with the process of governing, much remains to be done. This initiative would look at uniform and efficient use of document imaging, storage and retrieval.

10b. Which of the Governor's Priorities does this project support?

Addressing critical transportation projects:

Access to quality health care:

Expanding access to pre-K and meeting the state's commitment to quality K-12 education:

Safeguarding our environment and natural resources:

11. Are those who will benefit from this project currently underserved by technology? If "Yes", list beneficiaries: (organizations and stakeholders)

12. Will this project increase or improve any of the following priorities? If "Yes", explain how.

Public Protection

Health

Education

Environment

Safety

Customer Service

Citizen Access to Services

Other

\*\*\*Questions 13 – 16 TAB\*\*\*

13. How will this project affect the way you do business? Select from the value list:

Run the Business - Supporting the current ongoing business activities

Improve the Business - Supporting basic business change

Transform the Business – Supporting massive innovation to reengineer the way an organization does business

If "Transform the Business", does your agency plan to conduct a Business Process Re-Engineering (BPR) study first?

Why or why not?

If your agency is planning a BPR study, identify the approach. Select from the value list:

Organizational Restructuring - Includes but is not limited to, reducing organizational layers, realigning functions or work groups, and/or driving accountability to the source.

Work Redesigning - Includes but is not limited to expanding job scope and ownership, evaluating value added tasks, and establishing cross-functional relationships.

Technology Retooling - Includes but is not limited to expediting access to information and gathering and communicating data.

Other

If "Other", describe the approach.

If "Improve the Business", how will this project modify or enhance an existing operational process?

If "Run the Business", what will happen if this project is not implemented? (Risk Avoidance)

Complete a Pre-Select Investment Analysis form to determine the investment complexity and risk ratings in questions 14 & 15. The Pre-Select Investment Analysis form will automatically score the complexity and risk ratings.

14. How would you rate the project's complexity? (Low/Med/High) (Use the Pre-Select Investment Analysis form found in the Pre-Select Section of the ProSight Tool.)

15. What is your preliminary risk assessment for this project? (Low/Med/High) (Use the Pre-Select Investment Analysis form found in the Pre-Select Section of the ProSight Tool.)

Green = Low Risk and Complexity; Yellow = Medium Risk and Complexity; Red = High Risk and Complexity

Which component of this project is considered to be the highest risk? Select from the value list:

- Budget
- External Dependencies
- Management
- Mission Critical
- Failure
- Complexity

16. What is your confidence level in the accuracy of the initial project estimated cost at completion? (An explanation of High/Medium/Low can be found in IT Investment Planning Guidance.)

Describe the method used to determine the estimated cost at completion.

\*\*\*Questions 17 – 18 TAB\*\*\*

17. Will Tangible Benefits result from the project? (Yes/No)

Tangible Benefits - Benefits that can be measured and quantified. They include savings that result from improved performance and efficiency

If "Yes", what type of tangible benefits do you expect? Choose all that apply.

If "Cost Savings", enter amount.

If "Cost Savings", describe the tangible benefits.

If "Cost Avoidance", enter amount.

If "Cost Avoidance", describe the tangible benefits.

If "Additional Revenue", enter amount.

If "Additional Revenue", describe the tangible benefits.

If "Other", enter amount.

If "Other", enter description.

18. Will Intangible Benefits result from the project? (Yes/No)

Intangible Benefits - Benefits that are difficult to measure and quantify. They include, but are not limited to customer retention, employee retention, improved customer service, improved quality of life, public health and public safety.

If "Yes", what type of Intangible benefits do you expect? Choose all that apply.

Choices are: Service, Improve Efficiency, Other.

If "Service", select from the value list:

Implement a New Service

Expand or Modify an Existing Service

Re-engineer an Existing Service

If "Improve Efficiency", choose all that apply.

Automating a Manual Process

Expand Agency Collaboration

Streamline work processes

Other

If "Improve Efficiency" is "Other", provide a description.

If "Intangible Benefits" are "Other", provide a description.

\*\*\*Question 19 TAB\*\*\*

19. Have you identified a technical approach for your project? (Yes/No)

If "Yes", describe the approach.

Does the proposed approach comply with the Commonwealth enterprise technical architecture?

If yes, explain how. If no, explain reasons for non-compliance.

**\*\*\*APPROVALS TAB\*\*\***

The investment Strategic Planning information- Investment Business Case, associated Project Business Alignment form, Procurement Business Alignment- Procurement Initiation (APR) form must be approved by the agency head prior to submittal to PMD evaluation and CIO review/approval.

The AITR or authorized user clicks "Yes" in the Submit to Review Body entry box to commence the Investment Business Case Approval process.  
Notify the agency head by email that the Investment Business Case is ready for review.

The Agency Head will see the pending Investment Business Case approval in the Agency Head Approval Scorecard. The Agency Head can approve the Investment Business Case by clicking on "Yes" in the entry box: Indicate approval for new project or change to existing project. A date time stamp is automatically generated for the approval. A comments box is available to enter text comments. The agency head or designated representative can notify PMD the investment is ready for evaluation.

## **Procurement Business Alignment and Initiation (APR)**

Hint: a red “squiggle” underline under an item means that field must be filled out or completed. The red underline disappears after the field is filled out or completed. An error message will appear when the submit button is clicked if a mandatory field has not been completed. Look for the red underline and complete the missing data.

\*\*\*PROCUREMENT ALIGNMENT TAB\*\*\* – Basic information that identifies the investment.

Procurement Title – The proper name used to identify this procurement.

Home Portfolio - The Portfolio where the procurement information will be stored.

Description – An initial, high-level statement describing the purpose, benefits, customer(s), general approach to development, and characteristics of a product or service required by the organization.

Reason - Indicates why the investment is necessary.

Item Type (Procurement) - Indicates whether the investment is a project or procurement.

Proponent Secretariat – The Secretariat to whom the proponent agency is assigned or the Secretariat that is sponsoring a particular enterprise investment.

Proponent Agency – The agency that will be responsible for the investment.

Procurement Infrastructure Type – Select Infrastructure Type from a value list with the following options:

- Application – Agency
- Application – Enterprise
- Infrastructure – Specialized, Agency
- Infrastructure – VITA
- Instructional/Research
- Dept. of Rehabilitative Services Fees
- VITA Service Fees

Item Classification (Major or Non-Major) – Indicates whether the investment is Major or Non-Major based on the following definitions:

A Major IT Procurement is a purchase of goods or services with a total estimated cost of more than \$1 million.

A Non-Major IT Procurement is a purchase of goods or services with a total estimated

cost between \$50,000 and \$1 million.

Procurement Initiation (APR) Tabs completed? – (Yes/No) Indicate whether or not the Procurement Initiation - Agency Procurement Request (APR) tabs have been completed.

Planned Initiation Date – Select from the calendar the date when the procured item(s) should be delivered to the Agency. If the procurement is a service, select the date the service will begin.

Planned Completion Date – This date may be left blank or may equal Planned Start Date if the procurement is an item. If the procurement is a service, select the date the service will be complete, or the last day of coverage.

Date Verification Indicator – An edit check to indicate when Completion Date is earlier than Start Date. The dates are tested when the Submit button is pressed.

Procurement Status – Select Status from the value list based on the following definitions:

Proposed – Procurement is new.

Continuing – Procurement is on-going.

Completed - Procurement is completed.

Cancelled – Procurement has been cancelled by the Agency

Terminated - The CIO has terminated the Procurement.

Suspended - The CIO has directed the suspension of an IT Procurement if such action is appropriate and consistent with the terms of any affected contracts.

Reclassified – Procurement has been reclassified. Procurements can be reclassified as projects and vice versa. Procurements can be reclassified from major to non-major and vice versa.

Estimated Procurement Cost – Enter the estimated total dollar cost of the procurement.

Link to Project(s)

Select project(s) this procurement supports by clicking on the "Add" button, highlighting the appropriate project from the drop down list, and clicking OK. If this procurement supports more than one project, indicate the Primary Project by double clicking on the cell in the "Weight" column. (Disregard the Cost, Manager, Start date, end date and phase fields located on the same line. They are unused hard-coded fields at this time.)

Describe how the procurement supports the Project by clicking on the Project Name and

then press the "Edit" button, or double clicking on the project name. A window called 'Dependency Properties' will open and you will enter the description in the "Annotation" box.

Hint: Always click on "Submit" at completion of each tab. Think of "Submit" as "Save"! Clicking on "Reset" clears all fields initially entered or updated since the last "Submit". If "Reset" is clicked after initial entry in a form before clicking on "Submit", all fields (except for pre-populated fields) are cleared!

### **\*\*\*SERVICE AREA TAB\*\*\***

Use this dependency table to assign service areas to the project. These Service Areas are available from your portfolio of Service Areas.

Select the Service Areas this investment supports by clicking on the "Add" button (below right). After the Service Areas have been added, indicate the Primary Service Area by double clicking on the cell in the "Weight" column. Describe how the investment supports the Service Area by clicking on the Service Area name and then press the "Edit" button; enter the description in the "Annotation" box. The Manager, Start date, End date and Phase are not used and should not be filled in.

**\*\*\*PROCUREMENT INITIATION - AGENCY PROCUREMENT REQUEST\*\*\*** – Basic information that identifies the procurement, the procurement method, and justification.

#### Agency Information Block

Procurement Title – Drawn from the Procurement Business Alignment tab for the Item selected.

Procurement Infrastructure Type – Drawn from the Procurement Business Alignment tab for the Item selected.

Agency Name - Drawn from the Procurement Business Alignment tab for the Item selected.

Control Number - The tool automatically provides a configuration control number for the procurement request.

Date submitted for CIO Approval – The date the APR information is completed and submitted for PMD review along with the (updated if necessary) Procurement Business Alignment tabs. Select the date from the drop-down calendar.

Estimated Procurement Cost – Drawn from the Procurement Business Alignment tab for the Item selected.

Planned Completion Date - Drawn from the Procurement Business Alignment tab for the

Item selected.

**Procurement Contact Information Block**

Requestor name, phone number, email address - provide the contact information for the agency person requesting the procurement.

**Method/Type Block**

APR Procurement Method - Choose the type of procurement. For Sole Source procurements, submit the VITA Sole Source Procurement Documentation Worksheet with this APR. The Worksheet can be found at:

<http://www.vita.virginia.gov/procurement/documents/SoleSource.pdf>. The Sole Source request will be reviewed and approved with the APR.

If method is through a contract - Enter the contract number.

If the procurement is a renewal - Select the type of renewal or 'not applicable' if appropriate.

**Support Block**

Indicate whether the procurement supports ongoing operations and/or a new operational activity. Check all that apply. No value is the default. Indicator status: Yes=green, No=red.

**Upload Documentation**

This section provides the ability to upload documentation. Follow the instruction on the form and use the Upload Wizard to upload procurement documentation.

Hint: Always click on "Submit" at completion of each tab. Think of "Submit" as "Save"! Clicking on "Reset" clears all fields initially entered or updated since the last "Submit". If "Reset" is clicked after initial entry in a form before clicking on "Submit", all fields (except for pre-populated fields) are cleared!

**\*\*\*APR DESCRIPTION/JUSTIFICATION TAB\*\*\***

This section includes the description and justification of the product or service to be procured.

**Description Block**

Information in the "description" and "reason for Procurement" blocks is drawn from the Procurement Business Alignment tab for the Item selected. This information can be edited.

**Justification Block**

Fill out the text boxes as described. There is an unlimited character entry.

**\*\*\*APR -ESTIMATED COST TAB\*\*\***

This section includes the estimated cost and proposed funding source for the procurement.

**Estimated Procurement Cost Block**

Enter the estimated cost for each applicable cost category by double clicking on the entry box. If necessary, add unique cost categories under “Other”. If the item is to be rented or leased, state the cost per period and number of rental or lease periods. If the procurement is for an initial investment in IT infrastructure item(s) that are in-scope to VITA, then record the expected monthly charge for the new service in the “Rent or Lease Cost per Period” column and enter the total number of months for the expected refresh of the item/equipment in the “Term of Lease (No. of Periods)” column. The tool computes and enters total rent or lease cost and total category costs after the Submit button is clicked. Caution: clicking the Reset button clears ALL entry fields on the tab.

**Procurement Funding Source Block**

Identify the funding source(s) and amount(s) for the procurement. If the funding source is not listed, describe under “Other”. Double-click on an entry box to enter data. The tool computes total and percent data automatically after the Submit button is clicked. The comments boxes are available to enter text. If “Other” is used, enter identifying information in the comment box.

**\*\*\*APPROVALS TAB\*\*\***

Note: This tab is used for approvals of Procurement Business Alignment and Procurement initiation APR actions. Approvals can be accomplished simultaneously for both actions , or as separate approval actions at different times. The investment Strategic Planning information- Investment Business Case, associated Project Business Alignment form, Procurement Business Alignment- Procurement Initiation (APR) form must be approved by the agency head prior to submittal to PMD evaluation and CIO review/approval.

The AITR or authorized user clicks "Yes" in the Submit to Review Body entry box to commence either the Procurement Business Alignment and/or Procurement Initiation - APR process.

Notify the agency head by email that the Procurement Business Alignment and/or Procurement Initiation - APR is ready for review.

The Agency Head will see the pending Procurement Business Alignment and/or Procurement Initiation - APR approval in the Agency Head Approval Scorecard. The Agency Head can approve the Procurement Business Alignment and/or Procurement Initiation - APR by clicking on "Yes" in the entry box: Indicate approval for new project or change to existing project. A date time stamp is automatically generated for the approval. A comments box is available to enter text comments. The agency head or designated representative can notify PMD the Procurement Business Alignment and/or Procurement Initiation - APR is ready for review.

## **Pre-Select Investment Analysis**

Hint: a red “squiggle” underline under an item means that field must be filled out or completed. The red underline disappears after the field is filled out or completed. An error message will appear when the submit button is clicked if a mandatory field has not been completed. Look for the red underline and complete the missing data.

\*\*\*GENERAL INFORMATION\*\*\* – Basic information that identifies the project.

Project Name – The proper name used to identify this project.

Home Portfolio - The Portfolio where the project information will be stored.

Manager – The User ID of the project owner.

Proponent Secretariat – The Secretariat to whom the proponent agency is assigned or the Secretariat that is sponsoring a particular enterprise project.

Proponent Agency – The agency that will be responsible for the management of the project.

\*\*\*INVESTMENT ASSESSMENT WORKSHEET TAB\*\*\*

This worksheet provides a preliminary risk and complexity assessment of the project.

Project Name – The proper name used to identify this project.

Total Score – The score computed by the system based on answers to the Assessment questions below.

Green = Low Risk and Complexity

Yellow = Medium Risk and Complexity

Red = High Risk and Complexity

Assessment Questions – For the ten questions below, select the most appropriate answer from the value list. The Total Score will be calculated when the Submit button is pressed.

What is the estimated total investment cost? Select from one of the following:

< \$100,000

\$100,000 - \$500,000

\$500,000 - \$1,000,000

> \$1,000,000

What is the estimated investment implementation duration? Select from one of the following:

- < 3 months
- 3 – 6 months
- 6 – 12 months
- 1 – 2 years
- > 2 years

How much confidence is there in the cost and duration estimate? Select from one of the following:

- < 50%
- 50% - 75%
- > 75%

Do the possible solutions use proven technology? Select from one of the following:

- Yes
- No
- Partial

Has the agency and/or vendor executed similar projects? Select from one of the following:

- Yes
- No

Does this investment implement new business functionality? Select from one of the following:

- Adds functionality
- Replaces existing system
- Both – adds functionality and replaces an existing system

Does this investment require resources from other organizations? Select from one of the following:

- Yes
- No

What is the level of management commitment? Select from one of the following:

- Low – Management is not committed or Management has demonstrated interest
- Medium – Management is committed to the project
- High – Management has made the project a priority

How important is the investment for meeting externally generated mandates?

(Legislative, Executive or Judicial)? Select from one of the following:

Little or none - The project has little or no direct impact on accomplishment of external mandates, or the project enhances accomplishment of external mandates.

Important - The project is important to the accomplishment of external mandates.

Critical - The project is critical to accomplishment of external mandates.

Do the possible solutions cross organizational boundaries? (business unit, agency or Secretariat)?

No

Yes, within agency

Yes, within Secretariat (agency is implied)

Yes, other Secretariats (agency and agency's Secretariat is implied)

Yes, local governments (agency is implied)

Yes, Federal government (agency is implied)

Yes, within Secretariat and local governments (agency is implied)

Yes, within Secretariat, local governments, and Federal government (agency is implied)

Yes, other Secretariats, local governments, and Federal government (agency and agency's Secretariat is implied)

## **Certification**

Note: This form is used to certify an entire portfolio. In the "Item" drop-down (above right), select the Agency Portfolio you wish to certify.

Each year Agency Heads or their designated representative **MUST** certify Major IT Project Information for their Agency within the Commonwealth Technology Portfolio. The Certification is done at the portfolio level. As AITR, review the list of major projects and inform the Agency Head (or designee) to proceed with the certification.

I certify that the Major Project information entered is correct: Select from (Yes/No)

Date Certified: System Date/Time stamp when certification was submitted.

Each year Agency Heads or their designated representative **MUST** certify IT Strategic Planning Information for their Agency within the Commonwealth Technology Portfolio. The Certification is done at the portfolio level. As AITR, review IT Strategic Plan (all projects and procurements listed in Appendix A) and inform the Agency Head (or designee) to proceed with the certification.

I certify that the Strategic Plan information entered is correct: Select from (Yes/No)

Date Certified: System Date/Time stamp when certification was submitted.

## **Project Proposal**

Hint: a red “squiggle” underline under an item means that field must be filled out or completed. The red underline disappears after the field is filled out or completed. An error message will appear when the submit button is clicked if a mandatory field has not been completed. Look for the red underline and complete the missing data.

**\*\*\*GENERAL INFORMATION\*\*\*** – Basic information that identifies the project.

Title – The proper name used to identify this project.

Working Title – The working name or acronym used to identify the project. If an acronym is used, define the specific meaning of each letter.

Proponent Secretary – The Secretariat to whom the proponent agency is assigned or the Secretariat that is sponsoring a particular enterprise project.

Proponent Agency – The agency that will be responsible for the management of the project.

Prepared By – The person(s) preparing this document.

Date Finalized – The date this document is completed.

Control Number - This number is automatically assigned by the tool when the submit button is clicked.

Hint: Always click on "Submit" at completion of each tab. Think of "Submit" as Save! Clicking on "Reset" clears all fields initially entered or updated since the last "Submit". If "Reset" is clicked after initial entry in a form before clicking on "Submit", all fields (except for pre-populated fields) are cleared!

**\*\*\*QUESTIONS/POCS TAB\*\*\***

Points Of Contact (POC)

Answer the displayed questions with a Yes or No from the drop down box or provide a brief text response as appropriate.

Question-1 Is this an updated Project Proposal Document? If yes, what is the reason for this update?

Question-2 Is this a follow-on to a previous project? If yes, what is the project name and date of completion?

Question-3 Will the project deliverable(s) replace a current asset or group of assets? If yes, what is being replaced?

Question-4 Is the Project Initiation Phase efforts funded? If yes, what is the amount of funding?

Question-5 Is the Project Planning Phase efforts funded? If yes, what is the amount of funding?

Points of Contact – List those principal individuals that may be contacted for information regarding this project in the initiation phase. Provide the title, name, organization, phone number, and email address of the following individuals:

Project Sponsor - An individual, usually part of the organization management team, who makes the business case for the project. This individual usually has the authority to define project goals, secure resources, and resolve organizational and priority conflicts.

Program Manager – The individual responsible for the management and coordination of a group of related projects that will include the project being proposed.

Project Manager - The individual appointed and given responsibility for management of the project.

Proponent Cabinet Secretariat - The appointed Secretariat to whom the agency responsible for the project is assigned.

Proponent Agency Head – The appointed head of the agency responsible for the project.

Customer (User) Representative(s) – Someone designated to represent the ultimate users of a product or service.

Other – Any person, not listed above, who may be contacted about this project.

**\*\*\*BUSINESS PROBLEM TAB\*\*\***

The Business Problem is a question, issue, or situation, pertaining to the business, which needs to be answered or resolved. State in specific terms the problem or issue this project will resolve. Often, the Business Problem is reflected as a critical business issue or initiative in the Agency’s Strategic Plan or Information Technology Strategic Plan.

**\*\*\*PROJECT PURPOSE TAB\*\*\***

The purpose of the project is to solve a business problem. Explain the business reason(s) for doing this project. This section describes the business problem, business impacts, business objectives, and the constraints associated with the proposed project. If the

Project Analysis Worksheet was completed for this project, the Project Purpose from the worksheet provides information to support completion of this section.

Commonwealth Strategic Plan – Double Click or hit Enter on the fields provided to bring up a selection box. Refer to the Agency’s Strategic Plan and make selections in the spaces provided that the objectives this project will address.

Project Business Objectives – A desired result produced by a project that answers or resolves the business problem. Define the specific business objectives of the project that correlate to the strategic initiatives or issues identified in the Commonwealth or Agency Strategic Plan. The project business objectives should reflect the desired result(s) produced by the project that answers or resolves the stated business problem. Every business objective must relate to at least one initiative or issue and every initiative or issue cited must relate to at least one project business objective. During the planning phase, the objectives serve as a foundation for development of project performance measures known as measures of success. Double Click or hit Enter on the fields provided to allow text to be entered.

Core Business Activity Impacted – Core Business Activities are agency defined cross-functional processes that produce the agency's primary products and services, or support the production of the products or services. List the Core Business Activities impacted by the project and identify the impact. Double Click or hit Enter on the fields provided to allow text to be entered.

Constraints - Constraints are those things that by their nature restrict choice. Identify constraints that will influence the selection of a solution to resolve the stated business problem. Constraints can include but are not limited to: time, funding, personnel, facilities, and management limitations.

### \*\*\*PROJECT DESCRIPTION TAB\*\*\*

Describe the project approach, the specific solution, customer(s) served, and expected benefits. The approach is the overall strategy for solving the business problem. The solution should identify in specific terms how the project is accomplished and include information about the general timing and cost of major procurements or purchases. If the Project Analysis Worksheet was completed, the Preliminary Project Description and the Recommendation on the worksheet provide information to support development of the project description.

Strategic Justification - Identify how the project is consistent with the Commonwealth and Agency Strategic Plan or IT Strategic Plan. If the project is not consistent, explain why the project is being proposed. Answer the questions displayed in the space provided on the form.

Question-1 Briefly, describe how this project supports or is consistent with the Commonwealth of Virginia Strategic Plan for Technology. Cite the specific initiative in the plan supported by the project. If it does not support the Commonwealth of Virginia

Strategic Plan for Technology, explain why this project proposal is being submitted.

Question-2 Explain where and how this project is identified in the Agency IT Strategic Plan most recently approved by The Chief Information Officer. Cite the specific reference in the plan where the project is identified. If it is not identified, explain why this project proposal is being submitted.

Question-3 Briefly, describe how the planned solution complies with Commonwealth Enterprise Architecture Standards. If it does not comply with the Commonwealth Enterprise Architecture Standards, explain why this project proposal is being submitted. If it does not comply with the Commonwealth Enterprise Architecture Standards, explain why this project proposal is being submitted, and identify which Commonwealth Enterprise Architecture Standard(s) are not being met.

\*\*\*MAJOR MILESTONES TAB\*\*\*

Estimated Project Development Schedule (Major Milestones) - Identify the estimated start date and duration of major project activities or milestones such as when the project will be chartered, when the detailed project plan will be completed, when the project will be started, when the project will be completed, and when the project is expected to be closed out.

\*\*\*CBA TAB\*\*\*

Cost Benefit Analysis

Financial Estimate – The cost of resources used or consumed during the execution of the project are identified in this section. Resources include personnel, facilities, software tools, hardware, services, and customer support. This section provides the economic justification (CBA and ROI) and tables that provide estimated funding and cost associated with this project as well as the estimated funding required to operate and maintain the asset(s) developed by the project.

Cost Benefit Analysis Summary - Answer the displayed questions in the spaces provided.

a) Summarize the results of the Cost Benefit Analysis (Upload the Cost Benefit Analysis to the project document repository). Explain how the monetary and non-monetary benefits validate the expenditure of resources for this project. Describe saving achieved and separate true savings from cost avoidance savings.

b) Summarize the results of the Return on Investment Analysis. (Upload the detailed Return on Investment Analysis to the project document repository)

Upload CBA and ROI Documents – This is where you upload the Cost Benefit Analysis and Return on Investment worksheets that you should have already prepared. This will attach them to the project for future reference.

**\*\*\*EXECUTION ESTIMATE TAB\*\*\***

Estimate of Execution Expenditures and Funding - Provide an estimate of project expenditures and funding for each fiscal year in the tables provided. An additional field is available for totaling fiscal years costs prior to 2006. The categories provided include internal staff labor costs and an allocation for contingencies (specifically risk mitigation). Internal staff labor costs include the salaries and benefits of employees assigned at least part time to the project. The Comments column is provided for additional explanation or clarification of estimated values.

**\*\*\*O&M ESTIMATE TAB\*\*\***

Estimate of Operations Expenditures and Funding

Provide an estimate of expenditures and funding for operations and maintenance of the asset(s) delivered upon project completion. The estimate should span the anticipated life of the asset. The categories provided include internal staff labor cost and an allocation for contingencies (specifically risk mitigation). Internal staff labor costs include the salaries and benefits of employees assigned at least part time to the project. The explanation field is provided for additional explanation or clarification of estimated values.

**\*\*\*PROJECT RISK TAB\*\*\***

Use the preliminary risk analysis worksheet to develop this information. Circle the appropriate risk level and record the risk score for each risk item. At the bottom, provide the Total Risk Score. The preliminary risk analysis worksheet identifies the specific numerical score for each category with a risk level.

## **Project Charter**

Hint: a red “squiggle” underline under an item means that field must be filled out or completed. The red underline disappears after the field is filled out or completed. An error message will appear when the submit button is clicked if a mandatory field has not been completed. Look for the red underline and complete the missing data.

**\*\*\*GENERAL INFORMATION\*\*\*** – Basic information that identifies the project.

Title – The proper name used to identify this project.

Working Title – The working name or acronym used to identify the project. If an acronym is used, define the specific meaning of each letter.

Proponent Secretariat – The Secretariat to whom the proponent agency is assigned or the Secretariat that is sponsoring a particular enterprise project.

Proponent Agency – The agency that will be responsible for the management of the project.

Prepared by – The person(s) preparing this form.

Date Finalized - Select the date the charter was finalized from the calendar.

Control Number - This number is automatically assigned by the tool when the submit button is clicked.

Hint: Always click on "Submit" at completion of each tab. Think of "Submit" as Save! Clicking on "Reset" clears all fields initially entered or updated since the last "Submit". If "Reset" is clicked after initial entry in a form before clicking on "Submit", all fields (except for pre-populated fields) are cleared!

**\*\*\*POINTS OF CONTACT TAB\*\*\***

List those individuals who may be contacted for information regarding the project.

Provide the title/name/organization, phone number, and email address of the following individuals in the table:

Project Sponsor - An individual, usually part of the organization management team, who makes the business case for the project. This individual usually has the authority to define project goals, secure resources, and resolve organizational and priority conflicts.

Program Manager – The individual responsible for the management and coordination of a group of related projects that will include the project being chartered.

**Project Manager** - The individual appointed and given responsibility for management of the project.

**Proponent Cabinet Secretariat** - The appointed Secretariat to whom the agency responsible for the project is assigned.

**Proponent Agency Head** – The appointed head of the agency responsible for the project.

**Customer (User) Representative(s)** – Someone designated to represent the ultimate users of a product or service.

**Other** – Any person, not listed above, who may be contacted about this project.

### \*\*\*EXECUTIVE SUMMARY TAB\*\*\*

In two or three paragraphs, provide a brief overview of this project and the contents of this document. An Executive Summary is necessary if Project Purpose through Project Authority tab information is excessively long.

### \*\*\*PROJECT PURPOSE TAB\*\*\*

The purpose of the project is to solve a business problem. Explain the business reason(s) for doing this project.

The Project Purpose (the Business Problem and Project Business Objectives) is also in the Project Proposal.

**Business Problem** - A question, issue, or situation, pertaining to the business, which needs to be answered or resolved. State in specific terms what problem or issue this project addresses. The business problem is often reflected as a critical business issue or initiative in the Agency's Strategic Plan or Information Technology Strategic Plan.

### \*\*\*PROJECT BUSINESS OBJECTIVES TAB\*\*\*

A Business Objective is a desired result produced by a project that answers or resolves a business problem.

Define the specific business objectives of the project that correlate to the strategic initiatives or issues identified. Every business objective must relate to at least one strategic initiative or issue and every initiative or issue cited must relate to one project business objective. The project charter communicates this information to ensure that all stakeholders understand the relationship of the project to the Strategic Plans of the organization. During the planning phase, the objectives serve as a foundation for development of project performance measures known as measures of success.

**Commonwealth Strategic Plan – Critical Issues** – List what issues listed in the Agency's strategic plan will be aided or resolve.

**Project Business Objectives** – List what business objectives the project will aid or improve.

Assumptions - Assumptions are statements taken for granted or accepted as true without proof. Assumptions are made in the absence of fact. List and describe the assumptions made in the decision to charter this project.

### \*\*\*PROJECT DESCRIPTION & SCOPE TAB\*\*\*

This section defines the project and sets management expectations through a description of the project solution and a defined scope for the project.

Project Description - Describe the project approach, specific solution, customer(s), and benefits. The Project Description is also located in the Project Proposal.

Scope - The Project Charter documents the project scope. Project Scope defines all of the products and services delivered by a project, and identifies the limits of the project. In other words, the scope establishes the boundaries of a project. The Project Scope addresses the who, what, where, when, and why of a project. Describe the sum of the products and services provided and identify the limits of the project.

### \*\*\*MAJOR MILESTONES TAB\*\*\*

This section helps to establish management expectations through definition of the project management milestones and deliverables.

Estimated Project Development Schedule (Major Milestones) - Provide a list of project management milestones and deliverables (see Project Proposal). This list of deliverables is not the same as the products and services provided, but is specific to management of the project. An example of a project management milestone is the Project Plan Completed.

### \*\*\*MEASURES OF SUCCESS TAB\*\*\*

This section describes how performance for the project will be measured.

Provide a summary of the Measures of Success. List the Project Objectives, Performance Goal for each objective, and briefly describe the Methodology for how the Performance Goal is measured.

Project Objectives – The Project Objectives are found in the Project Charter Business Objectives tab. List each of the Project Objectives as a separate objective.

Performance Goal – Define success in relation to the Project Objective. Relate how the objective is met. The goal should not be an ambiguous statement, but be clearly defined in terms of accomplishment. For example: 99% of users can log on to the site without error.

Methodology – Describe how to measure the performance goal. This field should present the method used to measure success. Testing, surveys, and automated system measurements are just a few examples of the methodologies that can be used. The methodology must be specific and practical.

### \*\*\*PROJECT AUTHORITY TAB\*\*\*

Describe the authority of the individual or organization initiating the project,

management constraints, management oversight of the project, and the authority granted to the Project Manager.

Authorization – Name the project approval authority that is committing organization resources to the project. Identify the source of this authority. The source of the approval authority often resides in code or policy and is related to the authority of the individual's position or title.

Project Manager Appointment– Provide the name the project manager and define his or her role and responsibilities in the project. The Project Charter explicitly identifies the project manager and gives him the authority to plan, execute, and control the project.

Oversight - The Project Charter establishes a relationship between the project manager and senior management to ensure support mechanisms exist to resolve issues outside the authority of the project manager. Describe the Commonwealth or agency oversight controls over the project.

Project Organization Chart – A graphical representation of how the project is organized depicting the hierarchal organizational structure of the project team that begins with the project sponsor and includes the project team and other stakeholders. It provides a graphic and text description of the project team and other stakeholders. Provide an organizational diagram, a brief description of the type of project organization that is being implemented, and a description of the roles and responsibilities of all stakeholders. Some stakeholders may exist who do not have a formal organizational relationship with the project team but who have roles and responsibilities related to the project. The roles and responsibilities of these stakeholders should also be addressed in the roles and responsibilities paragraph. Note: The chart is typically created in a separate program like Visio, Word or PowerPoint and then uploaded into ProSight at this point.

Organization Description - Provide a text description of the type of project organization used for the project team, its makeup, and the lines of authority.

Roles and Responsibilities – Describe, at a minimum, the roles and responsibilities of all the stakeholders identified in the organizational diagram uploaded in the previous section. List any stakeholder not in the organizational diagram that has a significant role or responsibility related to the project. Include these stakeholders' roles and responsibilities also.

### \*\*\*PROJECT RESOURCES TAB\*\*\*

The Project Charter will indicate the resources that the project sponsor and management will commit to the project. This includes people, facilities, equipment, and funding. The full scope of resources required to execute a project is usually unknown when the Project Charter is developed but becomes clear during project planning. Additional resources may be allocated, if available, when the project plan is approved. In the space provided identify funding source(s) and amount(s). Identify savings achieved by the project and cost avoidance savings that are expected to result from the project. Identify the General

Fund, Non-General Fund, Federal and Other funding for the project. Total automatically calculates the sum for funding. Break-out the funding by people, customer support, facilities, equipment, software tools, or other resources. The Notes column allows for amplification (text) of the funding values.

### \*\*\*APPROVALS TAB\*\*\*

The Project Charter and Proposal must be approved by the approving authorities: agency head, project sponsor, and project manager. The approval tab on the Charter is for approval of the Charter and Proposal. Cabinet Secretaries and other key stakeholders as appropriate will approve the Project Charter. The approvals formally empower the project manager to expend resources on the project and conclude the initiation phase of the project.

The project manager or authorized user clicks "Yes" in the Submit to Review Body entry box to commence the Charter Approval process.

Notify the project sponsor (if required) by email that the charter is ready for review.

The project sponsor can approve the Charter by clicking on "Yes" in the entry box: Indicate approval for new project or change to existing project.

A date time stamp is automatically generated for the approval. A comments box is available to enter text comments. You may notify the Agency Head that the Charter is ready for review.

The Agency Head will see the pending Charter and proposal approval in the Agency Head Approval Scorecard. The Agency Head can approve the Charter by clicking on "Yes" in the entry box: Indicate approval for new project or change to existing project.

A date time stamp is automatically generated for the approval. A comments box is available to enter text comments. You may notify the Secretariat reviewer that the Charter is ready for review.

The Secretariat reviewer sees the pending Charter and Proposal approval in the scorecard called Investments Requiring Secretariat Approval. The Secretariat reviewer can approve the Charter and Proposal by clicking on "Yes" in the entry box: Indicate approval for new project or change to existing project.

A date time stamp is automatically generated for the approval. A comments box is available to enter text comments.

A summary of the balanced scorecard completed by PMD is viewable in the tab.

### \*\*\*PMD RELATED APPROVAL ACTIVITY TAB\*\*\*

This section is for PMD/CIO use only.

## **Project Analysis Worksheet**

Hint: a red “squiggle” underline under an item means that field must be filled out or completed. The red underline disappears after the field is filled out or completed. An error message will appear when the submit button is clicked if a mandatory field has not been completed. Look for the red underline and complete the missing data.

**\*\*\*GENERAL INFORMATION\*\*\*** – Basic information that identifies the project.

Title – The proper name used to identify this project.

Working Title – The working name or acronym used to identify the project. If an acronym is used, define the specific meaning of each letter.

Proponent Secretary – The Secretary to whom the proponent agency is assigned or the Secretary that is sponsoring a particular enterprise project.

Proponent Agency – The agency that will be responsible for the management of the project.

Prepared by – The person(s) preparing this document.

Date Finalized – The date this document is completed.

Control Number - This number is automatically assigned by the tool when the submit button is clicked.

**\*\*\*BUSINESS PROBLEM TAB\*\*\***

The Business Problem is a question, issue, or situation, pertaining to the business, which needs to be answered or resolved. State in specific terms the problem or issue this project will resolve. Often, the Business Problem is reflected as a critical business issue or initiative in the Agency’s Strategic Plan or Information Technology Strategic Plan.

**\*\*\*SCOPE TAB\*\*\***

Project Scope Statement - The Project Scope defines all of the products and services, provided by a project, and identifies the limits of the project. The Project Scope establishes the boundaries of a project and addresses who, what, where, when, and why of a project. This project scope statement will automatically populate the Charter form.

Business Objectives (Reference only) - The objectives outlined in the Pre-Select and Select Phases are listed.

Commonwealth Strategic Plan – Critical Issues to the agency as outlined in its Strategic

**Plan**

**Project Business Objectives** - A desired result produced by a project that answers or resolves the business problem. Define the specific business objectives of the project that correlate to the strategic initiatives or issues identified in the Commonwealth or Agency's Strategic Plan. Every business objective must relate to at least one strategic initiative or issue and every initiative or issue cited must relate to one project business objective. The project charter communicates this information to ensure that all stakeholders understand the relationship of the project to the Strategic Plans of the organization. During the planning phase, the objectives serve as a foundation for development of project performance measures known as measures of success.

**Anticipated (proposed) Funding** – Indicate amount and describe sources of funding from General, Non-General, Federal, and Other sources.

**\*\*\*SOLUTION – 1, 2, 3 TABS\*\*\***

Complete the items below for each tab labeled solution 1, 2, or 3.

**Description of Solution** - Provide an identifier and a brief title of the potential solution. The description should include enough detail to provide a clear understanding of the solution and should differentiate it from the other potential solutions. Also, describe how the solution will resolve the Business Problem.

**Intangible Benefits**– Refer to the CBA tool and list the same intangible benefits here. Intangible Benefits are those benefits that are difficult to measure and quantify. Intangible benefits include such things as customer retention, employee retention, and improved customer service.

**Project Description** – Provide a description of the project approach, the customer(s) served, and expected benefits. The approach is the overall strategy for solving the business problem. (This description establishes the framework for identifying potential solutions.)

**Business Process Impact** – Describe how the potential solution will impact the current business processes and what degree of organizational change and stakeholder resistance is anticipated.

**Technical Feasibility** – Describe any special considerations such as technical experience required for project team members. Also, describe the level of technical complexity associated with the solution.

**Maturity of Solution** – Describe the level of technical maturity for the potential solution. The description should address how technically proven the potential solution is, for example: Is the solution a recent innovation? Has it fully matured? Is it nearing obsolescence? Are service and expertise readily available to support the potential

technical solution?

Resource Estimate – Estimate all the resources required to implement the solution. Resources include personnel, facilities, customer support, equipment, and any other resources needed to implement the solution.

Constraints – Constraints are items that by their nature restrict choice. Identify constraints that will influence the selection

Constraints Impact – Describe how well the solution fits within the identified constraints in Section B. Specifically address any time or schedule constraints

Cost Benefit Analysis Summary – Summarize the results of the Cost Benefit Analysis for this solution. Use the Cost Benefit Analysis tool to derive the information.

Return on Investment (ROI) Summary - Summarize the estimated return achieved as a result of the investment made and explain the ROI method used. There are several ways to calculate ROI. Any method is acceptable but the same method must be used for each solution analyzed. See Project Initiation (Section 2) of the Commonwealth Project Management Guideline for instructions on Return on Investment Calculations.

**\*\*\*SOLUTION COMPARISON TAB\*\*\***

Comparison of Solutions - Based on the analysis performed, rate how each solution measured up against each decision criterion. It should be emphasized that this is not where solutions are ranked against each other. Here you are ranking the solutions against decision criteria. A recommended Rating Scale is: 1 = Very Poor, 2 = Poor, 3 = Fair, 4 = Good, 5 = Very Good. After each solution is scored compare the rating results to determine which solution to recommend. Enter in the Solution Identifier in Boxes that are shaded. You must double-click or hit Enter on the respective boxes in order to bring up the selection box, at which point you can make your selection.

**\*\*\*APPROVAL TAB\*\*\***

Decision criteria including the project sponsor's decision is depicted.

## **Preliminary Risk Assessment**

Hint: a red “squiggle” underline under an item means that field must be filled out or completed. The red underline disappears after the field is filled out or completed. An error message will appear when the submit button is clicked if a mandatory field has not been completed. Look for the red underline and complete the missing data.

**\*\*\*GENERAL INFORMATION\*\*\*** – Basic information that identifies the project.

Project Name – The proper name used to identify this project.

Home Portfolio - The Portfolio where the project information will be stored.

Proponent Secretariat – The Secretariat to whom the proponent agency is assigned or the Secretariat that is sponsoring a particular enterprise project.

Proponent Agency – The agency that will be responsible for the management of the project.

**\*\*\*PRELIMINARY RISK WORKSHEET TAB\*\*\***

The IT Project Risk Model Template provides a scoring mechanism to determine the level of risk associated with a project. The scoring relates to the Budget Risk, External Dependencies Risk, Management Risk, Mission Critical Risk, Failure Risk, and Complexity Risk. Each question has four responses each carrying a numerical score relating to a level of risk. For each question you will be choosing the most appropriate response from the selection pull-down box.

Project Name – The proper name used to identify this project.

Total Risk Score - This is a calculated field that summarizes the risk from the six respective risk areas.

There are three overall levels of Project Risk and the score is based on:

Low Risk 1 - 36 Green

Medium Risk 36 - 72 Yellow

High Risk > 72 Red

**\*\*\*RISK ASSESSMENT SUMMARY TAB\*\*\***

Project Name – The proper name used to identify this project. Note: This information is carried forward from the General Information tab.

## **Project Complexity Form**

Hint: a red “squiggle” underline under an item means that field must be filled out or completed. The red underline disappears after the field is filled out or completed. An error message will appear when the submit button is clicked if a mandatory field has not been completed. Look for the red underline and complete the missing data.

### **\*\*\*Project Complexity Model\*\*\***

The IT Project Complexity Model Template provides a scoring mechanism to determine the level of complexity associated with a project. The scoring relates to the level or degree of risk, the technical requirements, the number of members on the project team, total project cost, and the percent of the agency IT budget the project represents.

Project Name – The proper name used to identify this project.

Interim Score – This is a read-only field that displays the aggregate information that you will enter below as you answer 25 specific questions designed to accurately assess the complexity of your project. The levels of complexity are determined by the following scale:

Low Complexity 55-124 Range  
Med Complexity 125-210 Range  
High Complexity 211-338 Range

Required Documentation – Lists the required name of the document templates and the corresponding phase in the lifecycle for which they apply.

Complexity Questions - Each question has four responses provided in the model. Select from the drop down the most appropriate response. Each response has a numerical value. The sum of the numerical values, from the responses selected, results in a numerical score that identifies the level of project complexity and corresponding documentation required.

## **Project Manager Qualification Form**

Hint: a red “squiggle” underline under an item means that field must be filled out or completed. The red underline disappears after the field is filled out or completed. An error message will appear when the submit button is clicked if a mandatory field has not been completed. Look for the red underline and complete the missing data.

### **\*\*\*PROJECT MANAGER QUALIFICATION\*\*\***

Project Manager Name – Enter the full name of the potential project manager as it would appear on all respective project documentation. Be consistent.

Project Manager Qualifications - Choose the correct answer from the pull down selection boxes by each question. Once you’ve made your selection, the system will display a graphical character beside each binary question (Yes/No) to indicate the status for each answer.

Core Processes

Advanced Project Management Training

Commonwealth Overview Training

Project Manager Hours Experience

Prior Project Experience

Positions Held by the PM

Team Building and Leadership Potential

Special Qualifications

Education level

Project Manager Rating – This read-only field is populated automatically by the system based on the scoring of the questions answered as displayed above.

Hint: Always click on "Submit" at completion of each tab. Think of "Submit" as Save! Clicking on "Reset" clears all fields initially entered or updated since the last "Submit". If "Reset" is clicked after initial entry in a form before clicking on "Submit", all fields (except for pre-populated fields) are cleared!

## **Project Initiation Transition Checklist**

Hint: a red “squiggle” underline under an item means that field must be filled out or completed. The red underline disappears after the field is filled out or completed. An error message will appear when the submit button is clicked if a mandatory field has not been completed. Look for the red underline and complete the missing data.

The project transition checklist provides a vehicle to verify completion of a project phase before beginning the next phase. The Project Initiation Transition Checklist is a tool to verify that necessary steps have been completed and establishes the exit criteria from the initiation phase. It is important to make sure that all the necessary plans and supporting documents pertinent to the project are completed and approved by management as specified in the Project Charter.

**\*\*\*GENERAL INFORMATION\*\*\*** – Basic information that identifies the project.

\* This information is entered into the Portfolio Tool in a previous step and cannot be changed once the Project Charter is approved and locked. \*

Title – The proper name used to identify this project.

Working Title – The working name or acronym used to identify the project.

Proponent Secretary – The Secretary to whom the proponent agency is assigned to or the Secretary that is sponsoring an enterprise project.

Proponent Agency – The agency that will be responsible for the management of the project.

Prepared by – The person(s) preparing this document.

Date Finalized/Control Number – The date the plan is finalized and the change or configuration item control number assigned.

**\*\*\*CHECKLIST TAB\*\*\***

DETAIL - Enter a Status and Comment for each question. In the Status column indicate: Yes, if the item has been addressed and completed; No, if item has not been addressed or completed; N/A, if the item has not been addressed and is not related to this project. Provide comments or a plan to resolve a “No” item.

Summary of Yes / No Status – This will show a green star when all of the Status Answers are “Yes”.

**\*\*\*APPROVAL TAB\*\*\***

APPROVAL - This table displays the approvers signifying an understanding that the key elements within the Initiation Phase section are complete and the project team is ready to transition to the Planning Phase.

## **Budget Plan**

Hint: a red “squiggle” underline under an item means that field must be filled out or completed. The red underline disappears after the field is filled out or completed. An error message will appear when the submit button is clicked if a mandatory field has not been completed. Look for the red underline and complete the missing data.

Budget planning is the determination of available funding and costs associated with a defined set of activities during a specified time period. The steps associated with budget planning are highly dependent on both the estimated duration of tasks and the resources assigned to the project. The budget plan is dependant upon the project schedule, the resource plan, the quality management plan and the independent validation and verification plan, and the risk management plan.

**\*\*\*GENERAL INFORMATION\*\*\*** – Basic information that identifies the project.

Title – The proper name used to identify this project.

Working Title – The working name or acronym used to identify the project. If an acronym is used, define the specific meaning of each letter.

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Proponent Agency – The agency that will be responsible for the management of the project.

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Control Number - This number is automatically assigned by the tool when the submit button is clicked.

**\*\*\*RISK COSTS TAB\*\*\***

This information is entered into the “RISK COSTS” tab of the Risk Management Plan; enter and maintain this information in the Risk Management Plan.

Estimated Cost of Risks

Detail the estimated cost for each identified risk. Based on the Risk Response Summary, identify the cost of responding to a particular risk, should that risk occur. Use the most likely mitigation strategy and the planned expenditure categories provided in the table to determine the contingency (risk) budget.

Risk Number – Arbitrary, sequential number to identify the risk.

Risk Name – Short name for risk, such as “Late delivery of hardware”

Internal Staff Labor – The labor cost of reacting to a risk event, should it occur.

Services - The cost of services when reacting to a risk event, should it occur.

Development Tools – The development tools cost of reacting to a risk event, should it occur.

Software – The software cost of reacting to a risk event, should it occur.

Hardware – The hardware cost of reacting to a risk event, should it occur.

Materials & Supplies – The materials & supplies cost of reacting to a risk event, should it occur.

Facilities – The facilities cost of reacting to a risk event, should it occur.

Telecommunications – The telecommunications cost of reacting to a risk event, should it occur.

Training – The training cost of reacting to a risk event, should it occur.

Total Cost – Calculated total cost of risk event, should it occur.

Contingency (Risk) Budget FY06, FY07, etc...

Enter the contingency (risk) budget for each fiscal year by listing the risks for that year and multiplying the Mitigation Cost of the Risk by the Probability of Occurrence to obtain the Planned Contingency Cost for each risk. The sum of the expected values is the Contingency (Risk) Budget for that fiscal year.

Risk Number – Arbitrary, sequential number to identify the risk.

Risk Name – Short name for risk, such as “Late delivery of hardware”

Probability of Occurrence - The percentage of likelihood that the risk will occur (0 – 100).

Mitigation Cost - Calculated total cost of risk event, should it occur.

Planned Contingency Cost – The Mitigation Cost multiplied by the Probability of Occurrence; this is the expected value of the risk event.

**\*\*\*QUARTERLY SPEND PLAN TAB\*\*\***

Enter quarterly estimate of execution expenditures. Currently limited to four year duration project. For each year that the project is active, add quarterly detail to each budget category. The four quarters will add up to the fiscal year total by budget category and overall fiscal year total when the “Submit” button is clicked.

Internal Staff Labor, Services, Software Tools, Hardware, Maintenance, (active project maintenance expenses – not product lifecycle operations and maintenance expenses) Facilities, Telecommunications, Training, IV&V - Identify the funds that are scheduled to be expended for the specified fiscal year and quarter for each listed category

The Contingency (Risk) category value is obtained from the RISK COSTS tab Planned Contingency Cost column for that fiscal year.

**\*\*\*YEARLY SPEND PLAN TAB\*\*\***

This tab provides a summary of the expenditures and source of funding for the project during the life of the project. This budget does not include expenditures and funding for the life of the asset produced. Lifecycle cost for the asset is addressed in Project Initiation.

This form contains non-editable summaries of:

- The current Estimate of Execution Expenditures
- Last Approved Baseline (CIO)
- The Original Approved Execution Expenditures

Additionally, the Yearly Funding Source and Explanations are editable.

Original Charter Approved Total – This is the CIO-approved Project Charter estimate to completion for the project. This value remains the same throughout the project lifecycle, regardless of baseline changes.

Estimate of Execution Expenditures - Scheduled expenses, categorized by budget category and fiscal year when funds are scheduled to be expended. (Any changes must be entered in through the QUARTERLY SPEND PLAN tab.)

Explanation - Supporting detail, if appropriate. Provide comments where necessary to clarify expenditures. Identify and explain deviations from the approved budget outlined in the Project Charter.

Funding Source - Provide the amount of project funding for each fiscal year by fund source category identified in the Project Charter. The form will add up the fiscal year and funding source totals when the “Submit” button is clicked.

Explanation - As appropriate, provide the specific reference for the source of funding

within each category. Identify and explain deviations from the approved funding outlined in the Project Charter.

Last Approved Baseline (CIO) - Scheduled expenses, categorized by budget category and fiscal year when funds are scheduled to be expended. (This information is carried over from the approved Last Approved Baseline Change and cannot be changed.)

Original Approved Execution Expenditures - Scheduled expenses, categorized by budget category and fiscal year when funds are scheduled to be expended. (This information is carried over from the approved Project Charter and cannot be changed.)

## **Change and Configuration Management Plan**

Hint: a red “squiggle” underline under an item means that field must be filled out or completed. The red underline disappears after the field is filled out or completed. An error message will appear when the submit button is clicked if a mandatory field has not been completed. Look for the red underline and complete the missing data.

Change control describes the management of change to the project baseline and includes project scope, cost, and schedule. Change management provides the means to control and manage change during the execution of the project plan.

**\*\*\*GENERAL INFORMATION\*\*\*** – Basic information that identifies the project.

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Title – The proper name used to identify this project.

Working Title – The working name or acronym used to identify the project.

Proponent Secretary – The Secretary to whom the proponent agency is assigned to or the Secretary that is sponsoring an enterprise project.

Proponent Agency – The agency that will be responsible for the management of the project.

Prepared by – The person(s) preparing this document.

Date Finalized – The date this document is completed.

Control Number - This number is automatically assigned by the tool when the submit button is clicked.

**\*\*\*CHANGE AND CONFIGURATION MANAGEMENT TAB\*\*\***

Change Control Items – List those components of the project plan governed by this change control process. Change control items include the scope, schedule, budget, and performance Plans.

Change Control Process – Describe or upload a diagram for the flow of a change request through the change process. Provide a “step-by-step” guide on how changes to the change control items are made.

Configuration Management Control Items – Describe the method of selecting each configuration management control items and list the configuration management control

items for the project.

Configuration Management Control Process – Describe or upload a diagram for the process for making configuration changes to configuration management controlled items. Provide a “step-by-step” process on how changes to a configuration management control item are made.

Naming and Marking Methods – Describe how documents, components, revisions, and releases are consistently named and marked.

Submission and Retrieval of Control Items – Describe the process for submission and retrieval of a controlled item from the Project Repository to prevent the unauthorized modification of the controlled item.

Version Control – Define the document version control and release approval procedure. (Version control is not the same as naming and marking methods). Address the release and approval procedures for any new version of a document, software, database, or other similar item under configuration control.

Storage, Handling, and Disposition of Project Media - Describe storage, handling, and disposition requirements for project media (both automated and paper). The information in this paragraph is included in the communications plan. Verify there is no conflict in the plans for storage, handling, and disposition of project documentation.

Documentation Upload -Use the document upload feature to provide diagrams or flow chart information. Ensure you name the diagram as part of the Change and Configuration Plan. Example: Project Name CCM Plan Configuration Flow Chart"

\*\*\*CHANGE MANAGEMENT RESPONSIBILITIES TAB\*\*\*

Identify project stakeholders with specific change management responsibilities.

\*\*\*CONFIGURATION MANAGEMENT RESPONSIBILITIES TAB\*\*\*

Identify project and configuration team members with configuration management responsibilities.

## **Communications Plan**

Hint: a red “squiggle” underline under an item means that field must be filled out or completed. The red underline disappears after the field is filled out or completed. An error message will appear when the submit button is clicked if a mandatory field has not been completed. Look for the red underline and complete the missing data.

**\*\*\*GENERAL INFORMATION\*\*\*** – Basic information that identifies the project.

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Proponent Agency – The agency that will be responsible for the management of the project.

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Date Finalized – The date this document is completed.

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**\*\*\*COMMUNICATION PLAN TAB\*\*\***

Information Requirements - List each stakeholder and their project information needs. Identify the specific time frame that the stakeholder needs to view this information.

Stakeholder Name – Name of Stakeholder

Stakeholder Position – The role of the Stakeholder

Information Needs – Describe the information needs of the stakeholder, i.e., Project Status, Project End-User Communications, Risk Reporting, Issue Management, etc.

Review Time Frame – Daily, Weekly, Monthly, Quarterly, Annually, As-Needed, etc.

Information Description, Collection, and Reporting - List each Information Need and

provide the following:

Information Need - Copy over unique Information Needs from “Information Requirements” section, Information Needs column.

Description of Information – Provide more detail on specific communication items, if available.

Provider of Information – List the position or the person who will provide this information.

Information Collection Schedule - Daily, Weekly, Monthly, Quarterly, Annually, As-Needed, etc.

Information Reporting Method – Describe the media for communication: Telephone, email, website, newsletter, etc.

Distribution Methods - List each report or document needed to communicate the information identified in the “Information Reporting Method” column in the previous table. Identify the primary and secondary distribution methods for each report or document (e.g., voice, electronic mail, spreadsheet, formal presentation). Specify the frequency or distribution for each report or document.

Report or Document – Unique document identified in the “Information Reporting Method” column in the previous table.

Primary Distribution Method - Identify the primary distribution methods for each report or document (e.g., voice, electronic mail, spreadsheet, formal presentation).

Secondary Distribution Method - Identify the secondary distribution methods for each report or document (e.g., voice, electronic mail, spreadsheet, formal presentation).

Distribution Frequency - Specify the frequency or distribution for each report or document.

Distribution Groups - Organize the stakeholders into logical groups who have common information needs. Specify the common needs for each group.

Organize stakeholders identified in Information Requirements section who have common information needs into logical groups (Group A, Group B, etc.). Example: Oversight Committee, Project Team, End Users, Developers, Testers, Vendors, etc. List the stakeholder(s) for each group in the columns provided.

In the next section, (CC Group A Information Needs, CC Group B Information Needs, etc.) specify the common information needs for each group.

Communications Management Plan Summary - Based on information from the previous

tables, summarize the Communications Management Plan. Specify how and where documents and reports are to be stored. Describe when and how to dispose of documents and reports.

Report or Document – Unique document identified in the Distribution Methods table. (Automatically populated.)

Prepared By - Person responsible for preparing the report.

Information Provider - Identify the person(s) providing the information for the report or document.

Distribution Group(s) - Identify the distribution group(s) that will receive the report or document.

Primary Distribution Method - Primary distribution methods for report or document. (Automatically populated from the Distribution Methods table.)

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Secondary Distribution Method - Secondary distribution methods for report or document. (Automatically populated from the Distribution Methods table.)

Distribution Frequency - How often the reports or documents will be distributed. (Automatically populated from the Distribution Methods table.)

Storage and Disposition - Explain how the reports or documents are stored (filed) and how the reports or documents will be disposed of when no longer needed.

Method for Updating the Communication Plan - Describe how the Communication Plan will be kept current. This section must identify who is responsible for maintaining the plan, who should make recommendations for changes to the plan, how frequently the plan is reviewed and changed, who has the authority to make changes to the plan, and how the changes are approved.

## **Performance Plan**

Hint: a red “squiggle” underline under an item means that field must be filled out or completed. The red underline disappears after the field is filled out or completed. An error message will appear when the submit button is clicked if a mandatory field has not been completed. Look for the red underline and complete the missing data.

The project performance plan defines how project success or failure is measured. Project success is achieved by meeting the stated business objectives for the project and by satisfying customer needs. The performance plan identifies the relationship of the agency’s business objectives to performance goals and specifies: who will measure the performance; how and when performance is measured; and, how performance is reported.

**\*\*\*GENERAL INFORMATION\*\*\*** – Basic information that identifies the project.

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Title – The proper name used to identify this project.

Working Title – The working name or acronym used to identify the project.

Proponent Secretary – The Secretary to whom the proponent agency is assigned to or the Secretary that is sponsoring an enterprise project.

Proponent Agency – The agency that will be responsible for the management of the project.

Prepared by – The person(s) preparing this document.

Date Finalized – The date this document is completed.

Control Number - This number is automatically assigned by the tool when the submit button is clicked.

**\*\*\*PROJECT PERFORMANCE TAB\*\*\***

Project Performance Plan Table - List the Project Business Objectives (from the Project Charter) in the first column. Identify the Performance Goal for each objective, the method of measuring the goal, when the measurement is taken, who is responsible for making the measurement, and how the progress toward the goal is reported.

Project Business Objectives – The Project Business Objectives are found in the Project Charter and in the Scope and Business Objective Worksheet. List each of the Project Business Objectives in this column.

**Performance Goal** – Define success in relation to the Project Objective. Relate how the objective in the previous column is met. The goal should not be an ambiguous statement, but be clearly defined in terms of accomplishment. For example: 99% of users can log on to the site without error.

**Methodology** – Describe how to measure the performance goal. This column should present the method used to measure success. Testing, surveys, and automated system measurements are just a few examples of the methodologies that can be used. The methodology must be specific and practical.

**Schedule** – Define how often progress toward achieving the goal will be measured by the methodology described in the previous column.

**Responsibility** – Assign responsibility for monitoring progress, making the measurements as scheduled and reporting to a specific group or individual.

**Reports** – Identify how progress or lack of progress toward achieving the goals will be reported. Information provided in this column should be consistent with the Project Communications Plan.

**Note:** Click "Submit" after filling out the previous table. The first column, "Project Business Objectives" will populate the table from the previous table.

**Deliverable** - A deliverable is any measurable, tangible, verifiable outcome, result, or item that must be produced to complete a project or part of a project. The term is often used more narrowly in reference to an external deliverable. A deliverable is subject to approval by the project sponsor or customer.

**Description** – Describe the Project Deliverable associated with the Project Objective identified in the first column.

**Acceptance Criteria** – Describe acceptance criteria for each deliverable. Acceptance criteria are the agreed upon standards of acceptable performance and functionality for a deliverable. A deliverable is required to meet the established acceptance criteria before it is delivered to the end user.

Link reference documents as necessary using the Upload Wizard.

\*\*\*MEASURES OF SUCCESS TAB\*\*\*

**Performance Plan Summary** – Measures of success are metrics that measure the success or failure of a project. The measures of success are based on the project Scope and Objectives in the Project Charter and the Measures of Success tab in the Charter. Provide a summary of the Measures of Success: List the Business Objectives from the Project Charter, the Performance Goal for each objective, and briefly describe the Methodology

for how the Performance Goal is measured.

**Objective** – The Project Business Objectives are found in the Project Charter Business Objectives tab. List each of the Project Business Objectives as a separate objective.

**Performance Goal** – Define success in relation to the Project Objective. Relate how the objective is met. The goal should not be an ambiguous statement, but be clearly defined in terms of accomplishment. For example: 99% of users can log on to the site without error.

**Methodology** – Describe how to measure the performance goal. This field should present the method used to measure success. Testing, surveys, and automated system measurements are just a few examples of the methodologies that can be used. The methodology must be specific and practical.

**\*\* PERFORMANCE MEASURES- EDITABLE\*\***

Provides a summary of the Performance Measures. List the Project Objectives, Performance Goal for each objective, and briefly describe the Methodology for how the Performance Goal is measured. Performance measures apply to execution and closeout of the project. These are metrics that measure performance.

**\*\* PERFORMANCE MEASURES- ORIGINAL APPROVED -LOCKED\*\***

Provides a summary of the non editable (locked) Performance Measures originally approved for the project plan. After approval, this tab will list the Project Objectives, Performance Goal for each objective, and briefly describe the Methodology for how the Performance Goal is measured.

**\*\* PERFORMANCE MEASURES- LATEST APPROVED -LOCKED\*\***

Provides a summary of the non editable (locked) Performance Measures last approved for the project plan. After approval, this tab will list the Project Objectives, Performance Goal for each objective, and briefly describe the Methodology for how the Performance Goal is measured.

## **Procurement Plan**

Hint: a red “squiggle” underline under an item means that field must be filled out or completed. The red underline disappears after the field is filled out or completed. An error message will appear when the submit button is clicked if a mandatory field has not been completed. Look for the red underline and complete the missing data.

**\*\*\*GENERAL INFORMATION\*\*\*** – Basic information that identifies the project.

\* This information is entered into the Portfolio Tool in a previous step and cannot be changed once the Project Charter is approved and locked. \*

Title – The proper name used to identify this project.

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Proponent Secretary – The Secretary to whom the proponent agency is assigned to or the Secretary that is sponsoring an enterprise project.

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**\*\*\*PROCUREMENT SUMMARY TAB\*\*\***

Document all products, goods, or services that must be procured in the course of the project. Identify the Responsible Person for the procurement and indicate the Procurement Method selected for each item. The procurement methods are:

- Emergency Procedures –
- Sole Source –
- Small Purchase –
- Competitive Negotiation –
- Competitive Sealed Bid Procedures –

(See DGS, Vendors Manual December 1998 Edition for detailed descriptions.) Using the WBS and Project Schedule, identify Quantity or Man-Hours Required, Required Delivery Date, and Delivery Location.

Product, Good, or Service - Identify the specific Product, Good or Service to be procured.

Responsible Person - Identify the person responsible for the procurement.

Procurement Method Selected - Indicate the procurement method planned for each Product, Good or Service. The procurement methods are:

- Emergency Procedures –
- Sole Source –
- Small Purchase –
- Competitive Negotiation –
- Competitive Sealed Bid Procedures –

Quantity/Man-hours Required - Identify the quantity being procured and the unit of measure (each, hour).

Required Delivery Date - Using the WBS and Project Schedule, identify the planned Delivery Date for delivery of the Product, Good, or Service.

Delivery Location - Using the WBS and Project Schedule, identify the planned Delivery Location for delivery of the Product, Good, or Service.

**PROCUREMENT SCHEDULE:**

- EMERGENCY PROCEDURES PROCUREMENT SCHEDULE TAB**
- SOLE SOURCE PROCUREMENT SCHEDULE TAB**
- SMALL PURCHASE PROCUREMENT SCHEDULE TAB**
- COMPETITIVE NEGOTIATION PROCUREMENT SCHEDULE TAB**
- COMPETITIVE SEALED BID PROCEDURES PROCUREMENT SCHEDULE TAB**

For every procured Product, Good or Service identified in the **PROCUREMENT SUMMARY** tab, create an entry in the appropriate Procurement Method tab and table.

The procurement method is identified on the tab (EMERGENCY PROCEDURES, SOLE SOURCE, etc.) For each procurement, describe in the first column the Product, Good, or Service to be procured; in subsequent columns, (Step 1, Step 2, etc.) enter the milestone date for each step in the procurement method procedure, ultimately leading up to Required Delivery Date. Do this for each product, good, or service, and for each procurement method utilized.

Product, Good, or Service - List individually the products, goods, or services procured with the procurement method identified in the first column.

Step 1, Step 2, etc. - Enter the milestone date for each procurement action in the

procurement method procedure, ultimately leading up to the last step: Required Delivery Date.

## **Project Plan**

Hint: a red “squiggle” underline under an item means that field must be filled out or completed. The red underline disappears after the field is filled out or completed. An error message will appear when the submit button is clicked if a mandatory field has not been completed. Look for the red underline and complete the missing data.

Project planning is the process of defining an orderly arrangement of activities and resources to deliver a unique product or service. The project plan is the primary document developed during the planning phase and communicates project activities in terms of: what tasks will be performed; who will perform the tasks; when will the tasks be performed; what resources will be applied to accomplish the tasks; and how the tasks will be sequenced. Time spent developing the appropriate structure for organizing and managing project activities improves performance in the Execution and Control Phase.

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Date Finalized – The date this document is completed.

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**\*\*\*CONTACTS TAB\*\*\***

Points of Contact – List those individuals that may be contacted about this project. Provide the title, name, organization, phone number, and email address of the following individuals:

\* This information is entered into the Portfolio Tool in a previous step and cannot be changed once the Project Charter is approved and locked. \*

Project Sponsor - An individual, usually part of the organization management team, who makes the business case for the project. This individual has or should have the authority

to define project goals, secure resources, and resolve organizational and priority conflicts.

Program Manager – The individual responsible for the management and coordination of a group of related projects that will include the project being planned.

Project Manager - The individual appointed and given responsibility for management of the project.

Proponent Cabinet Secretariat - The Secretary to whom the proponent agency is assigned or the Secretary that is sponsoring a particular enterprise project.

Proponent Agency Head – The head of the agency that will be responsible for the management of the project.

Customer (User) Representative - The individual appointed and given responsibility to represent the customers' or users' perspective, relative to the project.

Other - Any person, not listed above, who may be contacted about this project.

Contractor Information – Identify each company contracted to work on this project and list the names, telephone numbers, and email addresses for the representatives of each company. Positions that should be addressed are the Senior Manager, Account Manager, Project Manager, and Technical Lead.

\*\*\*SUMMARY A TAB\*\*\*

This tab lists the Business Problem and the Project Assumptions.

\* This information is entered into the Portfolio Tool in a previous step. \*

Business Problem – The Business Problem is a question, issue, or situation, pertaining to the business, which needs to be answered or resolved. Often, the Business Problem is reflected as a critical business issue or initiative in the Agency's Strategic Plan or Information Technology Strategic Plan.

Assumptions - Assumptions listed about the project in the Project Charter. List and identify any changes to the original assumptions or additional assumptions made during project planning.

\*\*\*SUMMARY B TAB\*\*\*

This tab lists the Project Description and the Project Scope.

\* This information is entered into the Portfolio Tool in a previous step. \*

Project Description - The project approach, specific solution, customer(s), and benefits.

The Project Description is entered in the Project Charter. If there are changes to the description because of project planning, clearly identify the changes or additions made to the project description.

Project Scope – The Project Scope is entered in the Project Charter. Identify any additions or changes resulting from detailed project planning.

### \*\*\*PERFORMANCE TAB\*\*\*

This information is automatically updated from the Latest Approved Measures of Success.

Performance Plan Summary – Measures of success are metrics that measure the success or failure of a project. The measures of success are based on the project Scope and Objectives in the Project Charter. The Measures of Success from the Performance Plan form will carry over to the Project Plan: List the Project Objectives from the Project Charter, the Performance Goal for each objective, and briefly describe the Methodology for how the Performance Goal is measured.

### \*\*\*CRITICAL PATH TAB\*\*\*

Critical Path Milestone Summary – Summarize the Project Schedule by listing the Milestones or Events on the critical path of the Project Schedule. The critical path is: a series of activities which determine the earliest completion time for the project. For each event, provide the Projected Date of Completion and a brief description of the Significance of the Milestone or Event listed. These milestones are listed in the Project Schedule form, Schedule tab.

### \*\*\*BUDGET PLAN SUMMARY TAB\*\*\*

This tab provides a summary of the expenditures and source of funding for the project during the life of the project. This budget does not include expenditures and funding for the life of the asset produced. Lifecycle cost for the asset is addressed in Project Initiation.

This form contains non-editable summaries of:

- The current Estimate of Execution Expenditures
- Last Approved Baseline (CIO)
- The Original Approved Execution Expenditures

Additionally, the Yearly Funding Source and Explanations are editable.

Original Charter Approved Total – This is the CIO-approved Project Charter estimate to completion for the project. This value remains the same throughout the project lifecycle, regardless of baseline changes.

Estimate of Execution Expenditures - Scheduled expenses, categorized by budget category and fiscal year when funds are scheduled to be expended. (Any changes must be

entered in through the Budget Plan form, QUARTERLY SPEND PLAN tab.)

Explanation - Supporting detail, if appropriate. Provide comments where necessary to clarify expenditures. Identify and explain deviations from the approved budget outlined in the Project Charter.

Funding Source - Provide the amount of project funding for each fiscal year by fund source category identified in the Project Charter. The form will add up the fiscal year and funding source totals when the “Submit” button is clicked.

Explanation - As appropriate, provide the specific reference for the source of funding within each category. Identify and explain deviations from the approved funding outlined in the Project Charter.

Last Approved Baseline (CIO) - Scheduled expenses, categorized by budget category and fiscal year when funds are scheduled to be expended. (This information is carried over from the approved Last Approved Baseline Change and cannot be changed.)

Original Approved Execution Expenditures - Scheduled expenses, categorized by budget category and fiscal year when funds are scheduled to be expended. (This information is carried over from the approved Project Charter and cannot be changed.)

**\*\*\*PROCUREMENT PLAN & RISK PLAN SUMMARY TAB\*\*\***

Procurement Plan Summary – Summary of the Procurement Plan for this project. Include information about major procurements, procurement strategies, and projected dates for critical procurement activities. Detailed procurement information is found in the Procurement Plan form.

This table is automatically updated from the risk management plan.

Risk Number – Arbitrary, sequential number to identify the risk.

Risk Name – Short name for risk, such as “Late delivery of hardware”

Probability of Occurrence - The percentage of likelihood that the risk will occur (0 – 100).

Impact Level - A score of one to five. One is the least impact and five is the highest impact.

Impact Description – Details regarding impact if risk is realized.

Time Frames - Provide time frames when the risk is active in fiscal years and quarters, if known.

Risk Priority – High, Medium, or Low

Responsible Person – “Owner” of risk: monitoring, evaluation and response strategy.

Mitigation Action(s) – Describe the mitigation action(s) that are taken if the anticipated risk occurs.

Response Trigger – An event or condition, established beforehand, that will be the undisputable evidence that a particular risk has actually occurred.

\*\*\*PROJECT PLAN APPROVAL TAB\*\*\*

Project Plan approval requirements are derived from organization and Commonwealth Policies and Standards as well as Commonwealth of Virginia Code.

## **Project Planning Transition Checklist**

Hint: a red “squiggle” underline under an item means that field must be filled out or completed. The red underline disappears after the field is filled out or completed. An error message will appear when the submit button is clicked if a mandatory field has not been completed. Look for the red underline and complete the missing data.

The project transition checklist provides a vehicle to verify completion of a project phase before beginning the next phase. The Project Planning Transition Checklist is a tool to verify that necessary steps have been completed and establishes the exit criteria from the planning phase. The transition checklist focuses on completion of project plans and plan approval. It is important to make sure that all the necessary plans and supporting documents pertinent to the project are completed and approved by management as specified in the Project Charter.

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**\*\*\*CHECKLIST TAB\*\*\***

DETAIL - Enter a Status and Comment for each question. In the Status column indicate: Yes, if the item has been addressed and completed; No, if item has not been addressed or completed; N/A, if the item has not been addressed and is not related to this project. Provide comments or a plan to resolve a “No” item.

Summary of Yes / No Status – This will show a green star when all of the Status Answers

are “Yes”.

\*\*\*APPROVAL TAB\*\*\*

APPROVAL - This table displays the approvers signifying an understanding that the key elements within the Planning Phase section are complete and the project team is ready to transition to the Execution and Control Phase.

## **Project Schedule**

Hint: a red “squiggle” underline under an item means that field must be filled out or completed. The red underline disappears after the field is filled out or completed. An error message will appear when the submit button is clicked if a mandatory field has not been completed. Look for the red underline and complete the missing data.

The project schedule is based upon information in the WBS, OBS, Activity Definition and Sequencing Worksheet, and Resource Plan. The schedule should address at least three levels of WBS Elements. The schedule may be prepared using an automated scheduling tool like Microsoft Project. In any file format, upload the project schedule into the Commonwealth IT Portfolio tool.

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**\*\*\*SCHEDULE TAB\*\*\***

Schedule Documentation Upload – Follow the instruction on the form and use the Upload Wizard to upload project schedule documentation, i.e., Microsoft Project, Excel, etc.

Regardless of format, the project schedule should consist of:

...

- element number – Insert the assigned Work Breakdown Structure Element Number (for example: 1.1.1) for the activity, task, or subtask listed on the Activity Definition and Sequencing Worksheet.

- WBS elements, activity, task, or sub-task names – Insert the activities, tasks, and sub-tasks from the Activity Definition and Sequencing Worksheet for the corresponding

Element Number inserted in the first column. Indent Subordinate elements in the WBS element column. For example indent all tasks for an Activity and then indent the Sub-Task(s) for the Task.

- estimated duration – Insert the estimated length of time required to perform the WBS element from the Activity Definition and Sequencing Worksheet for the corresponding Element Number inserted in the first column. Duration is defined as the number of work periods (not including holidays or non-working periods) required to complete an activity or other project element.

- start date - Point in time when an activity can start, based on sequence, resource availability, and any other specific schedule constraints.

- finish date - Point in time when the uncompleted portions of an activity can finish based on the network logic, resource availability, and any other schedule constraints.

- resources required - Identify what physical resources are needed to accomplish this WBS element. This column refers to personnel, facilities, equipment, and software (see Resource Plan).

- task predecessor element number – Insert the Task Predecessor Element Number from the Activity Definition and Sequencing Worksheet for the corresponding Element Number inserted in the first column.

...

Project Start / Project Completion – The Project Planned Start and Completion dates are from the Strategic Plan, Project Alignment form. Changing these dates requires updating the Strategic Plan.

Agency Planned Milestones

Major Milestones - These fields are editable (open version) Insert the Major Milestones, Planned Start Date and Planned Completion Date from the project schedule.

**\*\*\*MAJOR MILESTONES (APPROVED) TAB\*\*\***

Last Approved Project Start / Project Completion Dates – The Project Planned Start and Completion dates are from the Strategic Plan, Project Alignment form. These dates cannot be changed.

Last Approved Milestones - from the latest approved project schedule – these cannot be changed.

Original Approved Project Start / Project Completion Dates – The Project Planned Start and Completion dates are from the Strategic Plan, Project Alignment form. These dates

cannot be changed.

Original Approved Milestones - from the original approved project schedule – these cannot be changed.

## **Project Scope and Business Objective Worksheet**

Hint: a red “squiggle” underline under an item means that field must be filled out or completed. The red underline disappears after the field is filled out or completed. An error message will appear when the submit button is clicked if a mandatory field has not been completed. Look for the red underline and complete the missing data.

The Project Scope and Business Objective Worksheet is not intended to be a project deliverable or an appendix to the project plan. The worksheet is provided to assist the project manager and project team in preparing the project plan. Additional information or modifications to the project scope and objectives should be included in the Project Summary Section of the Project Plan. Project managers, appointed at the time a project is chartered, will conduct a review and analysis of the project scope and objectives as part of the project plan development.

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**\*\*\*PROJECT SCOPE TAB\*\*\***

Analyze the project scope and objectives outlined in the Project Proposal and Charter to understand the Project Deliverables. Answer these questions:

Deliverables – A deliverable is any measurable, tangible, verifiable outcome, result, or item that is required to complete a project or part of a project. The term is often used more narrowly in reference to an external deliverable (i.e. This deliverable is subject to

approval by the project sponsor or customer). Analyze the project scope and objectives outlined in the Project Proposal and Charter to develop a list of:

- a) What are the project deliverables?
- b) Where, when, and to whom are the deliverables provided?

Technology, Who and Where - Project Approach and Solution: Describe the approach that will be used and whether the project will be done internally or require outside assistance. Analyze the project description and scope to understand the solution and approach to the project to answer the following questions:

- a) What is the process or technology solution proposed? - Describe the type of process or technology that is to be used.
- b) Who will perform the work? - Describe who will perform the work.
- c) When and where is the project executed? - Describe when and where the project work will be done.

**\*\*\*PROJECT BUSINESS OBJECTIVES TAB\*\*\***

**PROJECT BUSINESS OBJECTIVES** – Desired result(s) produced by a project that answers or resolves the stated business problem. Using the objectives outlined in the Project Charter, list the objectives and any additional detail necessary to clarify what results the project is intended to attain.

## **Quality Management and IVV Plan**

Hint: a red “squiggle” underline under an item means that field must be filled out or completed. The red underline disappears after the field is filled out or completed. An error message will appear when the submit button is clicked if a mandatory field has not been completed. Look for the red underline and complete the missing data.

The objective of quality management planning is the successful delivery of products, goods, or services that meet organization needs and satisfy user expectations. Techniques for achieving quality management objectives are product testing, project audits, and independent verification and validation (IV&V).

In addition to the performance plan, the quality plan must be synchronized with the resource, schedule, budget, risk management, and procurement plans.

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\*\*\*PRODUCT TESTING TAB\*\*\*

Describe the Product Testing activities for the project including Testing Overview, Testing Schedule, Team Responsibilities, and Resource Requirements.

Product Testing Overview - Provide a general description of the plans for testing the product(s) developed by the project.

Product Testing Schedule - Define the specific schedule for testing activities and identify the person responsible for the activity. Integrate the Product Test schedule with the Project Schedule.

Project Team Responsibilities - Describe the Product Testing Responsibilities of the Project Team in general and the specific team member assignments such as acceptance test and audit. Cross-reference this information with the organizational breakdown structure, resource plan, and schedule.

Testing Resource Requirements - Describe the resources needed to execute the scheduled testing activities. Cross-reference this information with project resource plan and schedule.

### \*\*\*PROJECT AUDIT TAB\*\*\*

Describe the Project Audit activities for the project including Audit Overview, Audit Schedule, Team Responsibilities, and Resource Requirements.

Project Audit Overview - Provide a general description of the plans for auditing the project. Identify what is audited, who conducts the audits, and when the audit is conducted.

Project Audit Schedule - Define the specific schedule for project audits and identify the person responsible for the activity. Integrate the project audit schedule with the project schedule.

Project Team Responsibilities - Describe the project audit responsibilities of the project team in general and the specific team member assignments for project audits. Cross-reference this information with the organizational breakdown structure, resource plan, and schedule.

Project Audit Resource Requirements - Describe the resources needed to execute the scheduled audit activities. Cross-reference this information with project resource plan and schedule.

### \*\*\*IV & V (Independent Verification and Validation) TAB\*\*\*

Describe the Independent Verification and Validation activities for the project including Independent Verification and Validation Overview, Schedule, Team Responsibilities and Resource Requirements.

Independent Verification and Validation Overview – Provide a description of the plans for Independent Verification and Validation of the project.

Independent Verification and Validation Schedule – Define the specific schedule for

independent Verification and Validation of the project and identify the person responsible for the activity. Integrate the Independent Verification and Validation Schedule with the Project Schedule.

Project Team Responsibilities - Describe the Independent Verification and Validation responsibilities of the Project Team in general and the specific team member assignments. Cross-reference this information with the organizational breakdown structure, resource plan, and schedule.

Independent Verification and Validation Resource Requirements - Describe the resources needed to execute the scheduled Independent Verification and Validation activities. Cross-reference this information with project resource plan and schedule

**Resource Plan**

Hint: a red “squiggle” underline under an item means that field must be filled out or completed. The red underline disappears after the field is filled out or completed. An error message will appear when the submit button is clicked if a mandatory field has not been completed. Look for the red underline and complete the missing data.

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**\*\*\*RESOURCES ALLOCATED TAB\*\*\***

Resources Allocated - When the project was chartered a set of resources was identified and committed to the project. Identify the resources, other than funding, allocated in the Project Charter by inserting the allocation and source in the table provided. The resources allocated to the project are found in the Project Charter, Project Resources tab. Resources include people, facilities, equipment, and funding. The resource categories provided are Project Team (people), Customer Support (people or man hours) Facilities, Equipment, Software Tools, and Other. The full scope of resources required to execute a project are usually unknown when the Project Charter is developed but are detailed in this plan.

Project Team – Skill types and number of each skill type allocated to the project.

Customer Support – Skill types and number of each skill type allocated for implementation and operation customer support.

Facilities – Any special facilities allocated in support of the project.

Equipment – Any special equipment allocated in support of the project.

Software Tools – Any special software tools allocated in support of the project.

Other – Anything else that is allocated in support of the project.

**\*\*\*DETAILED RESOURCE REQUIREMENTS TAB\*\*\***

Detailed Resource Requirements - Using the Work Breakdown Structure and the Organizational Breakdown Structure, develop and provide a detailed breakdown of resources, other than funds, required to execute the project. Identify the cost and time constraints for each resource as well as the level of risk (high, medium or low) associated with that resource. Add as many rows as necessary for each resource category.

Resource Name – Identify the resources required in each category. Be as specific as possible when identifying resources.

Skill Level or Material Quality – Identify the experience or skill level of people or the acceptable condition level of other resources. An example skill level is Level 1. An example of Material Quality is New.

Associated Task(s) (to Perform) – Identify the specific task or tasks that rely on the resource requirement.

Duration Required – Identify the duration of time (days, weeks, hours) that the resource is needed.

Available Start Date / Available End Date – Identify when (dates) the required resource is available to the project. This column is essential because of the impact on the Project Schedule.

Cost – Identify what the resource will cost for the required period.

Unit of Cost – Identify the basis of cost. Cost may be based on an hourly, daily, weekly, or monthly calculation. Cost may also be fixed or a one time expenditure.

Level of Risk – There is risk associated with attaining and maintaining resources. Provide a subjective indication of the level of risk associated with each resource. The levels of risks are High, Medium, and Low.

**\*\*\*SUMMARY OF RESOURCES REQUIRED TAB\*\*\***

Summary of Resources Required - SUMMARIZE the resources identified in the Detailed

Resource Requirements tab by the categories used in the RESOURCES ALLOCATED tab.

Funding – Funding amount and funding sources.

Project Team – Skill types and number of each skill type required for the project.

Customer Support – Skill types and number of each skill type required for implementation and operation customer support.

Facilities – Any special facilities required for support of the project.

Equipment – Any special equipment required for support of the project.

Software Tools – Any special software tools required for support of the project.

Other – Anything else that is required for support of the project.

Resources Net Change - Compare the RESOURCES ALLOCATED Tab and the SUMMARY OF RESOURCES REQUIRED tab and identify the difference in resources. Provide an explanation for the variance in resources between what is allocated by the Project Charter and required resources. A variance in the resources required and those allocated pose risk to the plan. The variance may be accommodated through risk mitigation or through reallocation of budgeted funds. The project sponsor should be consulted, if the change is not within the tolerance established by the Project Charter or Policy. The project sponsor or chartering authority will need to review and agree to a change in resource allocation.

For:

Project Team

Customer Support

Facilities

Equipment

Software Tools

Other

Summarize Resources Allocated / Resources Required / Net Change (this is the difference between Allocated and Required) / Explanation (describe impact and mitigation).

## **Risk Management Plan**

Hint: a red “squiggle” underline under an item means that field must be filled out or completed. The red underline disappears after the field is filled out or completed. An error message will appear when the submit button is clicked if a mandatory field has not been completed. Look for the red underline and complete the missing data.

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\*\*\*RISK MANAGEMENT STRATEGY TAB\*\*\*

Risk Management includes the processes involved with performing risk planning. This includes risk identification, analysis, responses, and monitoring risk on a project. The objective is to identify the potential risks and increase the probability of positive events and decrease the probability of adverse events. (reference PMBOK v3)

When filling out this form, consider the effect on project objectives, positive or adverse, and the impact. Risks may be environmental, organizational, scope, technical, etc. Think of risk as it affects project success. Risk may impact schedules, budget, personnel, and technical factors.

Risk Identification Process – The processes for risk identification. You may want to refer to the Preliminary Risk Assessment form you completed in the Initiation Phase.

Risk Evaluation and Prioritization – How risks are evaluated and prioritized.

Risk Mitigation Options – Describe the risk mitigation options. They must be realistic and available to the project team.

Risk Plan Maintenance – Describe how the risk plan is maintained during the project lifecycle.

Risk Management Responsibilities - Identify all project team members with specific risk management responsibilities. (e.g., an individual responsible for updating the plan or an individual assigned as a manager).

### \*\*\*RISK ANALYSIS SUMMARY TAB\*\*\*

Risk Number – Arbitrary, sequential number to identify the risk.

Risk Name – Short name for risk, such as “Late delivery of hardware”

Probability of Occurrence - The percentage of likelihood that the risk will occur (0 – 100).

Impact Level - A score of one to five. One is the least impact and five is the highest impact.

Impact Description – Details regarding impact if risk is realized.

Time Frames - Provide time frames when the risk is active in fiscal years and quarters, if known.

Responsible Person – “Owner” of risk: monitoring, evaluation and response strategy.

Mitigation Action(s) – Describe the mitigation action(s) that are taken if the anticipated risk occurs.

Response Trigger – An event or condition, established beforehand, that will be the undisputable evidence that a particular risk has actually occurred.

### \*\*\*RISK COSTS TAB\*\*\*

#### Estimated Cost of Risks

Detail the estimated cost for each identified risk. Based on the Risk Response Summary, identify the cost of responding to a particular risk, should that risk occur. Use the most likely mitigation strategy and the planned expenditure categories provided in the table to determine the contingency (risk) budget.

Risk Number – Arbitrary, sequential number to identify the risk.

Risk Name – Short name for risk, such as “Late delivery of hardware”

Internal Staff Labor – The labor cost of reacting to a risk event, should it occur.

Services - The cost of services when reacting to a risk event, should it occur.

Development Tools – The development tools cost of reacting to a risk event, should it occur.

Software – The software cost of reacting to a risk event, should it occur.

Hardware – The hardware cost of reacting to a risk event, should it occur.

Materials & Supplies – The materials & supplies cost of reacting to a risk event, should it occur.

Facilities – The facilities cost of reacting to a risk event, should it occur.

Telecommunications – The telecommunications cost of reacting to a risk event, should it occur.

Training – The training cost of reacting to a risk event, should it occur.

Total Cost – Calculated total cost of risk event, should it occur.

Contingency (Risk) Budget FY06, FY07, etc...

Enter the contingency (risk) budget for each fiscal year by listing the risks for that year and multiplying the Mitigation Cost of the Risk by the Probability of Occurrence to obtain the Planned Contingency Cost for each risk. The sum of the expected values is the Contingency (Risk) Budget for that fiscal year.

Risk Number – Arbitrary, sequential number to identify the risk.

Risk Name – Short name for risk, such as “Late delivery of hardware”

Probability of Occurrence - The percentage of likelihood that the risk will occur (0 – 100).

Mitigation Cost - Calculated total cost of risk event, should it occur.

Planned Contingency Cost – The Mitigation Cost multiplied by the Probability of Occurrence; this is the expected value of the risk event.

**\*\*\*CURRENT TOP FIVE (5) RISK SUMMARY\*\*\***

Lists the top 5 current risks from the risk analysis summary. Hint: use copy - CNTRL C and paste - CNTRL V to move data from one tab to the next. This information updates the current risk data within the Project Status form.

## **Change Control Request < 10%**

Hint: a red “squiggle” underline under an item means that field must be filled out or completed. The red underline disappears after the field is filled out or completed. An error message will appear when the submit button is clicked if a mandatory field has not been completed. Look for the red underline and complete the missing data.

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Date Finalized – The initiation date for this change control request.

Control Number – The unique identifier for this change/configuration item.

### **\*\*\*CHANGE CONTROL REQUEST\*\*\***

Proposed Change Description – Textual description of the proposed change.

Justification for Proposed Change – Explanation for why the proposed change is being undertaken.

Impact of not Implementing Proposed Change – Explain the impact of not implementing the proposed change.

Alternatives - Identify other actions that may be taken as an alternative to making the proposed change.

### **\*\*\*ANALYSIS OF CHANGE REQUEST\*\*\***

Describe the Impact of Change or Configuration Item – Explain the impact that this change request or change to a configuration item will have on the project.

Impact on the Budget – Explain the impact that this change request or change to a

configuration item will have on the project budget.

Impact on Schedule – Explain the impact that this change request or change to a configuration item will have on the project schedule.

Impact on Other Project Resources - Explain the impact that this change request or change to a configuration item will have on other resources committed to the project.

\*\*\*CHANGE REQUEST INITIAL REVIEW\*\*\*

Review Date: - Enter the change request review date.

Reviewer Name: - Enter the name of the person who conducted the change request review.

Reviewer Title (Relationship to Project): - Title of the individual who completed the initial review.

Approve of Implementation: - Indicate whether the change request is approved.

Reject: Indicate whether the change request is rejected.

Defer: - Indicate whether the change request is deferred for implementation for a later time.

Rationale for Recommendation: - Describe the rationale used for the approval recommendation decision.

Approval or Disapproval Special Instructions: - Document any contingencies or recommendations required to be fulfilled as part of this change request.

Review Body Name: - Review Body participant Name

Review Body Position: - Review Body participant Title

Review Body Date: - Review Body date of participation

## **Change Control Request > 10%**

Hint: a red “squiggle” underline under an item means that field must be filled out or completed. The red underline disappears after the field is filled out or completed. An error message will appear when the submit button is clicked if a mandatory field has not been completed. Look for the red underline and complete the missing data.

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### **\*\*\*REQUEST INFORMATION TAB\*\*\***

#### **Change Request Information**

Proposed Change Description – Textual description of the proposed change.

Justification for Proposed Change – Explanation for why the proposed change is being undertaken.

Impact of not Implementing Proposed Change – Explain the impact of not implementing the proposed change.

Alternatives Description - Identify other actions that may be taken as an alternative to making the proposed change.

#### **Analysis of Change Request**

Describe the Impact of Change or Configuration Item – Explain the impact that this change request or change to a configuration item will have on the project.

Impact on the Budget – Explain the impact that this change request or change to a

configuration item will have on the project budget.

Impact on Schedule – Explain the impact that this change request or change to a configuration item will have on the project schedule.

Impact on Other Project Resources - Explain the impact that this change request or change to a configuration item will have on other resources committed to the project.

**\*\*\*INITIAL REVIEW TAB\*\*\***

Initial Review

Date of Review: - Date the initial review was conducted.

Reviewer: - Name of the individual who completed the initial review.

Reviewer Title (Relationship to Project): - Title of the individual who completed the initial review.

Internal Approval: - Indicate whether the change request is approved internally.

Management Decision

Description of Decision and Special Instructions: - Document any contingencies or recommendations required to be fulfilled as part of this change request.

Change/Configuration Management Reviewers

Approval/Disapproval/Special Instructions: - Document any contingencies or recommendations required to be fulfilled as part of this change request.

Management Reviewer

CR Management Reviewers: - Displays information about the Change Request Management Review Team and their reviewer's response to the change request.

**\*\*\*COST TAB\*\*\***

Cost: - For cost change requests, please submit the proposed changes to the Commonwealth Technology Portfolio (CTP) Administrator.

**\*\*\*PERFORMANCE TAB\*\*\***

Performance Plan Summary

Objective: - Indicate the performance objective (outcome) for the measure of success.

Performance Goal: - Indicate the goal for the measure of success.

Methodology: - Indicate the methodology used to calculate the outcome measure.

\*\*\*SCOPE TAB\*\*\*

Project Scope Statement

Scope: - Document the project scope statement which serves as the boundary for the project.

Business Objectives

Commonwealth Strategic Plan – Critical Issues: - Displays critical issues identified in the Strategic Plan.

Project Business Objectives: - Displays the business objectives to be achieved through the project.

Anticipated (Proposed) Funding: - Identifies the funding source and amount of funding to be obtained from each source. Funding sources are General, Non-General, Federal, and Other.

\*\*\*MAJOR MILESTONES TAB\*\*\*

For milestone change requests, please submit the proposed changes to the Commonwealth Technology Portfolio (CTP) Administrator.

\*\*\*APPROVAL TAB\*\*\*

User

Submit to Review Body for Approval: Displays the review that the change request will be submitted to for review.

Business Sponsor

Indicate approval for new project or change to existing project: - Displays whether the business sponsor approves the change request as a new project or change to an existing project.

Date and Time Stamp of Entry: - Displays the date timestamp for when the Business Sponsor approved the change request.

Comment(s): - Displays any comments entered by the Business Sponsor regarding the change request approval.

#### Agency Head Approval

Indicate approval for new project or change to existing project: - Displays whether the Agency Head approves the change request as a new project or change to an existing project.

Date and Time Stamp of Entry: - Displays the date timestamp for when the Agency Head approved the change request.

Comment(s): - Displays any comments entered by the Agency Head regarding the change request approval.

#### Secretariat Approval

Indicate approval for new project or change to existing project: - Displays whether the Proponent Secretariat approves the change request as a new project or change to an existing project.

Date and Time Stamp of Entry: - Displays the date timestamp for when the Proponent Secretariat approved the change request.

Comment(s): - Displays any comments entered by the Proponent Secretariat regarding the change request approval.

#### Balanced Scorecard Summary

Stakeholder Perspective: - Indicate the stakeholder evaluation score.

Business Process: - Indicate the business process evaluation score.

Project Management Perspective: - Indicate the project management perspective evaluation score.

Financial and Economic: - Indicate the financial and economic evaluation score.

Enterprise (Commonwealth) Portfolio: - Indicate the enterprise portfolio evaluation score.

\*\*\*PMD RELATED APPROVAL ACTIVITY TAB\*\*\*

#### PMD Recommendation / Approval

Approval: - Indicates PMD approval recommendation for the change request.

Indicate approval for new project or change to existing project: - Indicates whether PMD approves the change request as a new project or change to an existing project.

Date and Time Stamp for Most Recent Entry: - Displays the timestamp for the most recent PMD approval activity.

Comments (if any): - Displays any comments entered by the PMD Project Management Analyst regarding the change request.

CIO Portfolio Queue: - Displays the CIO Portfolio queue that the change request is queued for processing.

#### Balanced Scorecard Summary

Stakeholder Perspective: - Indicate the stakeholder evaluation score.

Business Process: - Indicate the business process evaluation score.

Project Management Perspective: - Indicate the project management perspective evaluation score.

Financial and Economic: - Indicate the financial and economic evaluation score.

Enterprise (Commonwealth) Portfolio: - Indicate the enterprise portfolio evaluation score.

#### CIO Approval

Indicate approval for new project or change to existing project: - Indicates whether the CIO approves the change request as a new project or change to an existing project.

Date and Time Stamp for Most Recent Entry: - Displays the timestamp for the most recent CIO approval activity.

Comments (if any): - Displays any comments entered by the CIO regarding the change request.

#### ITIB Approval

Indicate approval for new project or change to existing project: - Indicates whether the ITIB approves the change request as a new project or change to an existing project.

Date and Time Stamp for Most Recent Entry: - Displays the timestamp for the most recent ITIB approval activity.

Comments (if any): - Displays any comments entered by the ITIB regarding the change request.

Oversight Director

Investment Status: - Displays the categorization of the investment by PMD Oversight Director.

Approval Triggers

Submission to Business Sponsor for Approval: - Unlocks the change request item for submission to Business Sponsor for approval.

Business Sponsor Approval: - Displays the approval recommendation entered by the Business Sponsor.

Comments: - Displays any comments entered by the Business Sponsor regarding the change request.

Agency Head Approval: - Displays the approval recommendation entered by the Agency Head.

Comments (if any): - Displays any comments entered by the Agency Head regarding the change request.

Secretariat Approval: - Displays the approval recommendation entered by the Secretariat.

Comments (if any): - Displays any comments entered by the Secretariat regarding the change request.

## **Issue Management Log**

Hint: a red “squiggle” underline under an item means that field must be filled out or completed. The red underline disappears after the field is filled out or completed. An error message will appear when the submit button is clicked if a mandatory field has not been completed. Look for the red underline and complete the missing data.

The Issue Management Log records and tracks issues identified during project execution. The Issue Log and Issue Management document do not replace Change Control Request. Issue resolution may lead to a project or configuration change; however, resolution of many issues will not involve changes to the Project Plan.

### **\*\*\*GENERAL INFORMATION\*\*\***

#### **General Information**

**Project Name** – The proper name used to identify this project.

**Home Portfolio** – Identifies the location (folder) where this item is stored within the Commonwealth Technology Portfolio.

**Project Working Title** – The working name or acronym used to identify the project. If an acronym is used, define the specific meaning of each letter.

**Proponent Secretary** – The Secretary to whom the proponent agency is assigned or the Secretary that is sponsoring an enterprise project.

**Proponent Agency** – The agency that will be responsible for the management of the project.

### **\*\*\*UPLOAD ISSUE MANAGEMENT DOCUMENTS (WORD TEMPLATES) TAB\*\*\***

#### **Upload Issue Management Document (Word Template)**

The Project Manager records the issue by completing the Issue Management Document Word Template. Save the document using the name of the issues as the filename. It is important that the project manager names the word template the same name as the issue.

#### **Description**

Type a short description that describes the issue.

### **\*\*\*ISSUE MANAGEMENT LOG TAB\*\*\***

For each issue, add the issue to the issue log. NOTE: If the number of issues exceeds the

number that can be stored on this form, please contact the Commonwealth Technology Portfolio Administrator for assistance

Issue Name – Enter the name of the issue.

Issue Description – Provide a brief but specific description of the issue.

Date Identified – Record the date the issue was identified.

Assigned To – Record who is assigned to manage resolution of the issue identified.

Date Resolution Required – Record when resolution of the issue must be completed.

Is Issue Resolved? Indicate if the issue has been resolved.

Issue Resolution – When resolved, record the actual resolution for the issue.

Date Resolved – Record the actual date the issue is resolved.

## **Project Execution and Control Transition Checklist**

Hint: a red “squiggle” underline under an item means that field must be filled out or completed. The red underline disappears after the field is filled out or completed. An error message will appear when the submit button is clicked if a mandatory field has not been completed. Look for the red underline and complete the missing data.

**\*\*\*GENERAL INFORMATION\*\*\*** – Basic information that identifies the project.

\* This information is entered into the Portfolio Tool in a previous step and cannot be changed once the Project Charter is approved and locked. \*

Title – The proper name used to identify this project.

Working Title – The working name or acronym used to identify the project.

Proponent Secretary – The Secretary to whom the proponent agency is assigned to or the Secretary that is sponsoring an enterprise project.

Proponent Agency – The agency that will be responsible for the management of the project.

Prepared by – The person(s) preparing this document.

Date Finalized/Control Number – The date the plan is finalized and the change or configuration item control number assigned.

**\*\*\*CHECKLIST TAB\*\*\***

DETAIL - Enter a Status and Comment for each question. In the Status column indicate: Yes, if the item has been addressed and completed; No, if item has not been addressed or completed; N/A, if the item has not been addressed and is not related to this project. Provide comments or a plan to resolve a “No” item.

Summary of Yes / No Status – This will show a green star when all of the Status Answers are “Yes”.

**\*\*\*APPROVAL TAB\*\*\***

APPROVAL – This table displays the approvers signifying an understanding that the key elements within the Execution and Control Phase section are complete and the project team is ready to transition to the Closeout Phase.

## **Project Status**

Hint: a red “squiggle” underline under an item means that field must be filled out or completed. The red underline disappears after the field is filled out or completed. An error message will appear when the submit button is clicked if a mandatory field has not been completed. Look for the red underline and complete the missing data.

Purpose of the Project Status form:

The Project Status form presents the IT Investment Board, Commonwealth CIO, sponsoring Secretariats, and proponent state agencies with a succinct and timely summary of the status of their major information technology projects. In the Commonwealth of Virginia, major IT projects are those projects exceeding \$1 million in estimated total project cost and deemed mission critical, or having enterprise significance. This form provides decision makers with a visual status indicator, or scorecard, (see scorecards) for each major project, along with links to detailed information. The form establishes a common framework for agency staff, Secretariats, and oversight committees to periodically update project activity, monitor progress, and assess risks.

Project Status Reporting Cycle

By the 1st Business Day:

Project Status form is ready for data entry for Project Status Report.

By the 5th Business Day:

Project Manager creates Project Status Report.

By the 8th Business Day:

Agency Representative approves Project Status Report.

By the 10th Business Day:

Secretariat evaluates Project Status Report.

By the 15th Business Day:

PMD conducts review of Project Status Reports.

By the 17th Business Day:

CIO evaluates Project Status Reports. PMD finalizes Project Status Reports; data is frozen for final Monthly Project Status Report. The new Report will take a snapshot of the Project Status form.

\*\*\*SUMMARY TAB\*\*\*

This section contains the Project status report summary, including basic project information, Key Status Indicators, Project Status Assessment, Earned Value Measurement, and status report approval with comments.

**Project Information Block**

Working title – The working name or acronym used to identify the investment. Drawn from the Project Plan (can be edited).

Item classification – Item Classification (Major or Non-Major), drawn from the Project Plan (can be edited).

Proponent Agency – The number and name of the agency that is responsible for the management of the investment. Drawn from the Project Plan (can be edited).

Proponent Secretary – The Secretariat to whom the proponent agency is assigned or the Secretariat that is sponsoring a particular enterprise investment. Drawn from the Project Plan (can be edited).

Category – Project category (Un-assigned, Identified for Preliminary Planning, Approved for Planning, Approved for Development, PPEA), drawn from the Project Plan. (Can be edited)

Planned Start Date – Drawn from the Project Plan. (non-editable)

Planned Completion Date – Drawn from the Project Plan. (non-editable)

Budget at Completion (BAC) – The sum of all the budget values established for the work to be performed on a project. Drawn from the Latest Approved Expenditures (Updated Baseline) block in the Yearly Spend Plan Tab of the Budget Plan. Also displayed in the Planned Expenses - Last Approved Change to Baseline block in the Planned and Actual Costs Tab. (non-editable)

Project Manager – Name of assigned PM, drawn from the Project Charter (can be edited).

Project manager Phone – PM contact phone number, drawn from the Project Charter (can be edited).

Project Manager Email - PM contact email address, drawn from the Project Charter (can be edited).

**Key Status Indicators (KSI) Block**

Data drawn from the Review/Approvals tab. The date this Status Report is effective: - Displays the date (mm/dd/yyyy) for which the status is being reported, typically for the month preceding the month in which the form is completed. Select the date from the drop-down calendar. Always choose the last day of the month. For example in April, you would be completing the March report. Choose March 31, YYYY for the report date. (non-editable)

Drawn from the Review/Approvals tab. (non-editable) Is the project on track to meet

planned business goals and the associated measures of success? – KSI reflecting current project status with respect to the performance baseline. Indicators and associated colors are:

- On Track (Green)
- Warning (Yellow) at least one measure of success may not be achieved.
- Problem (Red) at least one measure of success will likely not be achieved.

Click on the Performance Tab for details. Select the appropriate indicator from the drop-down list.

Data is drawn from the Review/Approvals tab. (non-editable) Are the costs within planned budget? – KSI reflecting current project status with respect to the budget baseline. Indicators and associated colors are:

- On Track (Green)
- Warning (Yellow) actual project-to-date cost is less than or equal to 10% over planned project to-date cost.
- Problem (Red) actual project-to-date cost is greater than 10% over planned project to-date cost.

Click on the Planned & Actual Costs Tab for details. Select the appropriate indicator from the drop-down list.

Data is drawn from the Review/Approvals tab. (non-editable) Is the project on schedule? - KSI reflecting current project status with respect to the schedule baseline. Indicators and associated colors are:

- On Track (Green)
- Warning (Yellow) the project is 10% or less behind schedule.
- Problem (Red) the project is greater than 10% behind schedule.

Click on the Baseline & Milestones Tab for details. Select the appropriate indicator from the drop-down list.

Data is drawn from the Review/Approvals tab. (non-editable) Does the project remain within the approved scope? - KSI reflecting current project status with respect to the scope baseline. Indicators and associated colors are:

- On Track (Green)
- Warning (Yellow) the scope has changed, but the change does not alter the cost or schedule baselines.
- Problem (Red) the scope has changed and the change impacts the cost or schedule baselines.

Click on the Scope Tab for details. Select the appropriate indicator from the drop-down list.

Data is drawn from the Review/Approvals tab. (non-editable) Is the project being managed to minimize or mitigate the identified risks? - KSI reflecting current project status with respect to the current risks facing the project. Indicators and associated colors are:

- On Track (Green)
- Warning (Yellow) the mitigating strategy for at least one risk has yet to effectively

manage the risk.

- Problem (Red) the mitigating strategy for at least one risk has failed to manage the risk. Click on the Risk Assessment Tab for details. Select the appropriate indicator from the drop-down list.

#### Project Status Assessment Block

Summarizes the reviewer status assessments, as entered in the Review/ Approval Tab. (non-editable) Indicators and associated colors are:

- On Track (Green)
- Warning (Yellow) consider corrective action or monitor previous corrective action.
- Problem (Red) immediate corrective action required.

#### Earned Value Measurement Block

Earned value (EV) analysis is the preferred method of performance measurement, or control, and is employed during the project execution and control phase of the project lifecycle. Earned value analysis integrates scope, cost, and schedule measures to assess project performance. The EV technique compares the cumulative value of the budgeted cost of work performed (earned) at the original allocated budget amount to both the budgeted cost of work scheduled (planned) and to the actual cost of work performed (actual). EV figures reported in this block are computed by the tool from information drawn from the project plan and current data provided elsewhere in this form.

**Earned Value** – The earned value is calculated by the tool, based on multiplying the Budget at Completion (BAC) by the Total Percent Complete (the percent of planned work), entered in the Baseline & Milestones Tab of this form. (non-editable)

**Cost Variance** – The Cost Variance (CV) is the difference between the Earned Value and the Actual Cost to Date (AC) for the reporting period, as entered in the Planned & Actual Costs Tab of this form. The CV is calculated by the tool using the formula  $CV=EV-AC$ . (non-editable)

**Schedule Variance** – The Schedule Variance (SV) is the difference between the Earned Value (EV) and the Planned Cost to Date (PV) for the reporting period, as entered in the Planned & Actual Costs Tab of this form. The SV is calculated by the tool using the formula is  $SV=EV-PV$ . (non-editable)

**Earned Value - Planned Value -Actual Costs Graph** - The chart displays the Actual cost (AC), Planned Value (PV), and Earned Value (EV) figures. If the project life cycle phases (i.e., Execution and Control) are defined in the Workbook Life Cycle Tab, then the phases will be displayed vertically on the graphs, according to phase date.

**CPI** – The Cost Performance Index (CPI) is the ratio of the Earned Value (EV) to the Actual Cost to Date (AC) for the reporting period. The formula is  $CPI=EV/AC$ . The CPI measures the work accomplished per dollar of actual cost spent. A CPI value less than 1.0 indicates the Actual Cost exceeds the Earned Value (a cost overrun), while a value greater than 1.0 indicates the Actual Cost is less than the Earned Value (a cost under run).

The indicator status is calculated as follows: Green – 1.0 or greater value, Red – less than .9 value.

SPI – The Schedule Performance Index (SPI) is the ratio of the Earned Value (EV) to the Planned Cost to Date (PV) for the reporting period. The formula is  $SPI = EV/PV$ . The SPI indicates The SPI measures the amount of work accomplished per dollar of budgeted cost expected to be spent. A SPI values less than 1.0 indicates the Planned Value is greater than the Earned Value (behind schedule), while a SPI value greater than 1.0 indicates the Earned Value is greater than the Planned Value (ahead of schedule). The indicator status is calculated as follows: The indicator status is calculated as follows Green – 1.0 or greater value, Red – less than .9 value.

### Project Forecast Block

Presents the forecasted Estimated Cost at Completion and Estimated time at Completion.

Estimated Cost at Completion – The Estimated Cost at Completion is the Budget at Completion (BAC) divided by the Cost Performance Index (CPI). The formula is  $Estimated\ Cost\ at\ Completion = BAC/CPI$ . The Estimated Cost at Completion is the BAC adjusted for actual performance as calculated by the CPI. The indicator status is calculated as follows Green -  $\pm 10\%$  of the BAC value; Yellow – between  $\pm 10\%$  and  $\pm 30\%$  of the BAC; and Red – greater than  $\pm 30\%$  of the BAC value. (non-editable)

(This feature is currently removed) Estimated Time at Completion – The Estimated Time at Completion is the Planned Duration (in days) divided by the Schedule Performance Index (SPI). The Planned duration is the difference between Planned Start Date and Planned Completion Date, as reported in the Project Information Block. The formula is  $Estimated\ Time\ at\ Completion = (Planned\ Completion\ Date - Planned\ Start\ Date)/SPI$ . The Estimated Time at Completion is the Planned Duration adjusted for planned performance as calculated by the SPI. . The Estimated Cost at Completion is the BAC adjusted for actual performance as calculated by the CPI. The indicator status is calculated as follows Green -  $\pm 10\%$  of the Original project duration – calculated from the Planned Start and Completion dates; Yellow – between  $\pm 10\%$  and  $\pm 30\%$  of the Original project duration; and Red – greater than  $\pm 30\%$  of the Original project duration. (non-editable)

### \*\*\*PROJECT BACKGROUND TAB\*\*\*

This section includes the latest approved project description and record of project approval actions.

### Project Description Block

The project description, drawn from the Project Plan.

### Approval Information Block

Date the indicated approval was granted. Dates for Development Approval, Internal

Agency Oversight Committee approval of the Project Plan (Original baseline), and CIO approval (Last approved >10% baseline change) are entered by PMD. Enter dates for the remaining approvals by selecting the date from the drop-down calendar.

**\*\*\*MEASURES OF SUCCESS TAB\*\*\***

This section includes a summary of performance objectives, related goals, and measurement methodologies drawn from the latest approved Performance Plan.

This form tab contains the LATEST APPROVED Project Baseline information. To update the Measures of Success, use the Change Control Request > 10% form and submit for approval. The "Comments" text box is editable; provide monthly status updates on the project's Measures of Success.

**Performance Plan Summary Block**

Objective – Project objective as stated in the Project Charter

Performance Goal – Performance goal for the objective

Methodology – Method for measuring the Performance Goal.

**\*\*\*PLANNED & ACTUAL COSTS TAB\*\*\***

This section includes Planned and Actual costs to date, along with original approved and last approved Planned Expenditures.

**Actual Expenses Block**

Planned and Actual Cost to Date – Enter the planned and actual costs for the relevant cost categories. In the block provided, describe the nature and amount of significant unplanned expenditures during the reporting period.

Planned Expenses-Last Approved Change to Baseline – The most recent approved baseline of project expenditures, drawn from the Yearly Spend Plan (Approved) section of the Budget Plan. An additional field shows total fiscal years costs prior to 2006.

Planned Expenses–Original Approved – The originally approved baseline of project expenditures, drawn from the Yearly Spend Plan (Approved) section of the Budget Plan. An additional field shows total fiscal years costs prior to 2006.

**\*\*\*BASELINE & MILESTONES TAB\*\*\***

This section includes the total percent of project completed, major milestones, and planned and actual completion dates.

**Total Percent Complete Block**

Percent of Planned Work– The percent of ALL planned project activity completed as of

the reporting period. This percentage is the percentage of planned work to date that is completed, Example: if you have finished 80% of ALL the planned work in the project, enter 80%. Enter in the form XX.XX. Used to compute the Earned Value (EV).

### Planned Last Approval Block

If a schedule baseline change has been approved, this block displays the most recent approved baseline milestones and planned start and completion dates, as stated in the revised Project and Schedule Plans.

### Actual Block

This block is used to enter and display the actual start and completion dates and the percent completion for the reporting period.

Milestone – Drawn from the most recent approved Project and Schedule Plans.

Actual Start Date – Date the milestone activity was actually started. Select the date from the drop down calendar.

Actual Completion Date – Date the milestone activity was actually completed. Select the date from the drop down calendar.

Percent complete – Percent of the milestone activity completed as of the reporting period. Enter in the form XX.XX.

### Planned Original Approval Block

The original baseline milestones and planned start and completion dates, as stated in the original Project and Schedule Plans.

### \*\*\*SCOPE TAB\*\*\*

This section includes the latest approved project scope statement and business objectives.

### Project Scope Statement Block

Presents the project scope, drawn from the most recently approved Charter. Risk assessment is bi-directional editable with the Risk Management plan.

### Business Objectives Block

Defines the specific business objectives of the project that correlate to the strategic initiatives or issues. Every business objective must relate to at least one strategic initiative or issue and every initiative or issue cited must relate to one project business objective. This information is drawn from the Project Charter.

### \*\*\*RISK ASSESSMENT TAB\*\*\*

This section includes the top 5 risks facing the project during the reporting period.

Risk Number – Arbitrary, sequential number to identify the risk.

Risk Name – Short name for risk, such as “Late delivery of hardware”

Probability of Occurrence - The percentage of likelihood that the risk will occur (0 – 100).

Impact Level - A score of one to five. One is the least impact and five is the highest impact.

Impact Description – Details regarding impact if risk is realized.

Time Frames - Provide time frames when the risk is active in fiscal years and quarters, if known.

Risk Priority – High, Medium, or Low

Responsible Person – “Owner” of risk: monitoring, evaluation and response strategy.

Mitigation Action(s) – Describe the mitigation action(s) that are taken if the anticipated risk occurs.

Response Trigger – An event or condition, established beforehand, that will be the undisputable evidence that a particular risk has actually occurred.

Dropped Risks - Note any risks that dropped off the top 5 list since the last reporting period and the reason why.

Risk Management Plan review dates – Select the date the Risk Management Plan was last reviewed by Agency Management and the Internal Agency Oversight Committee.

\*\*\*CHANGE CONTROL DESCRIPTION TAB\*\*\*

This section includes changes to the project baselines since the last reporting period

Fill out the three text boxes. There is an unlimited character entry.

Description of the change – briefly describe the change to the project baselines.

Reason for the change – summarize the reason(s) for the change to the baselines.

Impact of the change – indicate the impact of the change on the project baselines and project as a whole.

\*\*\*REVIEW/APPROVAL TAB\*\*\*

Review/Approval Trigger -set to Yes by the project manager when the report is ready to begin the monthly review/approval process. No or no value means the report is not ready for review.

Contact Information

Project Manager – Name of assigned PM, drawn from the Project Charter (can be edited).

Project manager Phone – PM contact phone number, drawn from the Project Charter (can be edited).

Project Manager Email - PM contact email address, drawn from the Project Charter (can be edited).

### Key Status Indicators (KSI) Block

The date this Status Report is effective: - Displays the date (mm/dd/yyyy) for which the status is being reported, typically for the month preceding the month in which the form is completed. Select the date from the drop-down calendar. Always choose the last day of the month. For example in April, you would be completing the March report. Choose March 31, YYYY for the report date. (Can be edited)

Is the project on track to meet planned business goals and the associated measures of success? (Can be edited)

– KSI reflecting current project status with respect to the performance baseline.

Indicators and associated colors are:

- On Track (Green)
- Warning (Yellow) at least one measure of success may not be achieved.
- Problem (Red) at least one measure of success will likely not be achieved.

Click on the Performance Tab for details. Select the appropriate indicator from the drop-down list.

Are the costs within planned budget? (Can be edited)

– KSI reflecting current project status with respect to the budget baseline. Indicators and associated colors are:

- On Track (Green)
- Warning (Yellow) actual project-to-date cost is less than or equal to 10% over planned project to-date cost.
- Problem (Red) actual project-to-date cost is greater than 10% over planned project to-date cost.

Click on the Planned & Actual Costs Tab for details. Select the appropriate indicator from the drop-down list.

Is the project on schedule? (Can be edited)

- KSI reflecting current project status with respect to the schedule baseline. Indicators and associated colors are:

- On Track (Green)
- Warning (Yellow) the project is 10% or less behind schedule.
- Problem (Red) the project is greater than 10% behind schedule.

Click on the Baseline & Milestones Tab for details. Select the appropriate indicator from the drop-down list.

Drawn from the Review/Approvals tab. (can be edited)

Does the project remain within the approved scope? - KSI reflecting current project status with respect to the scope baseline. Indicators and associated colors are:

- On Track (Green)
- Warning (Yellow) the scope has changed, but the change does not alter the cost or schedule baselines.
- Problem (Red) the scope has changed and the change impacts the cost or schedule baselines.

Click on the Scope Tab for details. Select the appropriate indicator from the drop-down list.

Is the project being managed to minimize or mitigate the identified risks? (Can be edited) - KSI reflecting current project status with respect to the current risks facing the project. Indicators and associated colors are:

- On Track (Green)
- Warning (Yellow) the mitigating strategy for at least one risk has yet to effectively manage the risk.
- Problem (Red) the mitigating strategy for at least one risk has failed to manage the risk.

Click on the Risk Assessment Tab for details. Select the appropriate indicator from the drop-down list.

PM Submission of Project Status Report: Selecting 'Yes' indicates PM is ready to submit Status Report to Agency Sponsor for Approval.

Date and Time Stamp of Entry: ProSight automatically generates a date time stamp for the submission of the Project Status Report when the 'Submit' button is clicked.

Comments - Enter any additional information for the Project Status Report in this free-text box.

Contact Information - Enter contact information for the Agency Sponsor (can be edited)

Agency Sponsor Approval- Only the Agency Sponsor (Agency Head role) can enter approval in this block. Enter 'Yes' for approval.

Date and Time Stamp of Entry: ProSight automatically generates a date time stamp for the Agency Sponsor approval of the Project Status Report when the 'Submit' button is clicked.

Approval indicator – Approval indicators and associated colors are: On track (green), Problem (Yellow), and Problem (Red). Select the appropriate indicator from the drop-down value list. Only the Agency Sponsor (Agency Head role) can select the status from the value list.

Comments – Displays the Agency Sponsor comments. Only the Agency Sponsor (Agency Head role) can enter text into the Comments box.

### Secretariat Representative

Contact Information - Enter contact information for the Secretariat Representative (Can be edited)

Secretariat Representative Concur - Only the Secretariat role can enter concurrence in this block. Enter 'Yes' for concurrence.

Date and Time Stamp of Entry: ProSight automatically generates a date time stamp for the Secretariat Representative concurrence of the Project Status Report when the 'Submit' button is clicked.

Approval indicator – Approval indicators and associated colors are: On track (green), Problem (Yellow), and Problem (Red). Select the appropriate indicator from the drop-down value list. Only the Secretariat Representative (Secretariat role) can select the status from the value list.

Secretariat Comments – Displays the Secretariat Representative comments. Only the Secretariat Representative (Secretariat role) can enter text into the Comments box.

### Project Management Division (PMD)

Contact Information - Enter contact information for the PMD Representative (Can be edited)

PMD Review - Only the PMD role can enter review information in this block. Indicates Review is complete for the Project Status Report by selecting 'Yes'.

Date and Time Stamp of Entry: ProSight automatically generates a date time stamp for the PMD review of the Project Status Report when the 'Submit' button is clicked

Approval indicator – Approval indicators and associated colors are: On track (green), Problem (Yellow), and Problem (Red). Select the appropriate indicator from the drop-down value list. Only the PMD Representative (PMD role) can select the status from the value list.

PMD Comments – Displays the PMD comments. Only the PMD Representative (PMD role) can enter text into the Comments box.

### CIO

Contact Information - Enter contact information for the CIO. (Can be edited)

CIO Assessment - Only the CIO role can enter assessment information in this block. Indicates Assessment is complete for the Project Status Report by selecting 'Yes'.

Date and Time Stamp of Entry: ProSight automatically generates a date time stamp for the CIO assessment of the Project Status Report when the 'Submit' button is clicked

Approval indicator – Approval indicators and associated colors are: On track (green), Problem (Yellow), and Problem (Red). Select the appropriate indicator from the drop-down value list. Only the CIO (CIO role) can select the status from the value list.

CIO Comments – Displays the CIO comments. Only the CIO (CIO role) can enter text into the Comments box.

## **Project Closeout Report**

Hint: a red “squiggle” underline under an item means that field must be filled out or completed. The red underline disappears after the field is filled out or completed. An error message will appear when the submit button is clicked if a mandatory field has not been completed. Look for the red underline and complete the missing data.

### **\*\*\*GENERAL INFORMATION\*\*\***

#### **General Information**

**Title:** – The proper name used to identify this project.

**Working Title:** – The working name or acronym used to identify the project. If an acronym is used, define the specific meaning of each letter.

**Proponent Secretary:** – The Secretariat to whom the proponent agency is assigned or the Secretariat that is sponsoring a particular enterprise project.

**Proponent Agency:** – The agency that will be responsible for the management of the project.

**Prepared By:** – The person(s) preparing this document.

**Date Finalized:** – The date this document is completed.

**Control Number:** - This number is automatically assigned by the tool when the submit button is clicked.

### **\*\*\*EXPENDITURES AND PERFORMANCE TAB\*\*\***

#### **Project Deliverables**

**Deliverable Name:** - Identifies an artifact delivered as a result of project execution.

**Date Accepted:** - Date which the artifact was formally accepted as completed.

**Contingencies or Conditions:** - Identify if the acceptance is conditionally approved or based on the satisfying a condition or a contingency. Enter the condition or the contingency that is required to be satisfied prior to final acceptance.

### **\*\*\*SCHEDULE TAB\*\*\***

**WBS Element Name:** - Identifies the work package/project task.

Planned Start Date: - Enter the date the work package/project task was scheduled to begin.

Actual Start Date: - Enter the date the work package/project task was started.

Planned Finish Date: - Enter the date the work package/project task was scheduled to be completed.

Actual Finish Date: - Enter the date the work package/project task was completed.

Variance\* (days): - Enter the difference in days between the Planned Finish Date and Actual Finish Date.

Explanation of variance: - Explain why there is Variance between the Planned and Actual Finish Dates.

\*\*\*SCOPE TAB\*\*\*

Original Approved Charter Scope Statement: - Displays the project scope as identified in the original approved Project Charter.

#### Scope

Scope Change (1..N): - Document any changes to that original project scope that occurred after Project Initiation.

Scope Change Impact (1..N): - Document the impact of the scope change in terms of the impact on Performance, Cost, or Schedule Baselines.

\*\*\*O & M TAB\*\*\*

Operations & Maintenance Plan: - Describe the plan for how the product, goods, or service delivered by the project will be operated and maintained in production.

#### Operation & Maintenance Cost

Expenditures: - Expense categories for Operations & Maintenance of the delivered product, goods, or service.

Planned: - Enter the amount budgeted for the expense category.

Actual: - Enter the amount actual expenditure for the expense category.

Variance: - Enter the difference in dollars between the Planned and Actual Expenditures for the expense category.

Explanation: - If a variance exists, explain why there was a difference between the Planned and Actual expenditures.

**Funding**

Planned: - Enter the amount budgeted for the funding source.

Actual: - Enter the amount actual expenditure for the funding source.

Variance: - Enter the difference in dollars between the Planned and Actual Expenditures for the funding source.

Explanation: - If a variance exists, explain why there was a difference between the Planned and Actual funding.

**Project Documentation**

Reports: - Identifies the project documentation artifact.

Media: - Identifies the media that the artifact is stored in.

Storage Location: - Identifies the location where the artifact is stored.

Disposition: - Identifies the archival disposition for the artifact.

**Lessons Learned & Best Practices**

Using the link provided, enter Lessons Learned and Best Practices into the Project Management Information Clearinghouse.

**Dates for Post Implementation Review and Report**

Action: - Defines a Post Implementation Deliverable required to be submitted to PMD.

Date: - Enter the anticipated date for when the required report deliverable will be submitted to PMD.

Responsible Person: - Enter the name of the person responsible for submitting the required deliverable to PMD.

**Upload Project Resources Document (Word Template)**

\*\*\*APPROVAL TAB\*\*\*

Name: - Enter the name of the person who approved the content of the Project Closeout Report.

Date: - Enter the date the Project Closeout report was approved.

IAOC Review: - Indicate whether the content of the Project Closeout Report was approved by the Internal Agency Oversight Committee.

## **Project Closeout Transition Checklist**

Hint: a red “squiggle” underline under an item means that field must be filled out or completed. The red underline disappears after the field is filled out or completed. An error message will appear when the submit button is clicked if a mandatory field has not been completed. Look for the red underline and complete the missing data.

### **\*\*\*GENERAL INFORMATION\*\*\***

#### **General Information**

Title: – The proper name used to identify this project.

Working Title: – The working name or acronym used to identify the project. If an acronym is used, define the specific meaning of each letter.

Proponent Secretary: – The Secretariat to whom the proponent agency is assigned or the Secretariat that is sponsoring a particular enterprise project.

Proponent Agency: – The agency that will be responsible for the management of the project.

Prepared By: – The person(s) preparing this document.

Date Finalized: – The date this document is completed.

Control Number: - This number is automatically assigned by the tool when the submit button is clicked.

### **\*\*\*DETAIL TAB\*\*\***

Summary of Yes / No Status – This will show a green star when all of the Status Answers are “Yes”.

User Comment: - Enter a Status and Comment for each question.

Status: - In the Status column indicate: Yes, if the item has been addressed and completed; No, if item has not been addressed or completed; N/A, if the item has not been addressed and is not related to this project. Provide comments or a plan to resolve each “No” item.

### **\*\*\*APPROVAL TAB\*\*\***

Position/Title: - Enter the Position or Title for the person certifying that the Closeout Phase is completed.

## **Project Closeout Transition Checklist**

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*Knowledge Base*

Name: - Enter the Name of the person certifying that the Closeout Phase is completed.

Date: - Enter the date of the Closeout Phase was certified as being completed.

Phone Number: - enter the Telephone Number for the person who certified that the Closeout Phase is completed.

## **Procurement Business Alignment and Initiation (APR)**

Hint: a red “squiggle” underline under an item means that field must be filled out or completed. The red underline disappears after the field is filled out or completed. An error message will appear when the submit button is clicked if a mandatory field has not been completed. Look for the red underline and complete the missing data.

\*\*\*PROCUREMENT ALIGNMENT TAB\*\*\* – Basic information that identifies the investment.

Procurement Title – The proper name used to identify this procurement.

Home Portfolio - The Portfolio where the procurement information will be stored.

Description – An initial, high-level statement describing the purpose, benefits, customer(s), general approach to development, and characteristics of a product or service required by the organization.

Reason - Indicates why the investment is necessary.

Item Type (Procurement) - Indicates whether the investment is a project or procurement.

Proponent Secretariat – The Secretariat to whom the proponent agency is assigned or the Secretariat that is sponsoring a particular enterprise investment.

Proponent Agency – The agency that will be responsible for the investment.

Procurement Infrastructure Type – Select Infrastructure Type from a value list with the following options:

Application – Agency  
Application – Enterprise  
Infrastructure – Specialized, Agency  
Infrastructure – VITA  
Instructional/Research  
Dept. of Rehabilitative Services Fees  
VITA Service Fees

Item Classification (Major or Non-Major) – Indicates whether the investment is Major or Non-Major based on the following definitions:

A Major IT Procurement is a purchase of goods or services with a total estimated cost of more than \$1 million.

A Non-Major IT Procurement is a purchase of goods or services with a total estimated cost between \$50,000 and \$1 million.

Procurement Initiation (APR) Tabs completed? – (Yes/No) Indicate whether or not the Procurement Initiation - Agency Procurement Request (APR) tabs have been completed.

Planned Initiation Date – Select from the calendar the date when the procured item(s) should be delivered to the Agency. If the procurement is a service, select the date the service will begin.

Planned Completion Date – This date may be left blank or may equal Planned Start Date if the procurement is an item. If the procurement is a service, select the date the service will be complete, or the last day of coverage.

Date Verification Indicator – An edit check to indicate when Completion Date is earlier than Start Date. The dates are tested when the Submit button is pressed.

Estimated Procurement Cost – Enter the estimated total dollar cost of the procurement.

Link to Project(s)

Select project(s) this procurement supports by clicking on the "Add" button, highlighting the appropriate project from the drop down list, and clicking OK. If this procurement supports more than one project, indicate the Primary Project by double clicking on the cell in the "Weight" column. (Disregard the Cost, Manager, Start date, end date and phase fields located on the same line. They are unused hard-coded fields at this time.)

Describe how the procurement supports the Project by clicking on the Project Name and then press the "Edit" button, or double clicking on the project name. A window called 'Dependency Properties' will open and you will enter the description in the "Annotation" box.

Hint: Always click on "Submit" at completion of each tab. Think of "Submit" as "Save"! Clicking on "Reset" clears all fields initially entered or updated since the last "Submit". If "Reset" is clicked after initial entry in a form before clicking on "Submit", all fields (except for pre-populated fields) are cleared!

\*\*\*SERVICE AREA TAB\*\*\*

Use this dependency table to assign service areas to the project. These Service Areas are available from your portfolio of Service Areas.

Select the Service Areas this investment supports by clicking on the "Add" button (below right). After the Service Areas have been added, indicate the Primary Service Area by double clicking on the cell in the "Weight" column. Describe how the investment supports the Service Area by clicking on the Service Area name and then press the "Edit"

button; enter the description in the "Annotation" box. The Manager, Start date, End date and Phase are not used and should not be filled in.

**\*\*\*PROCUREMENT INITIATION - AGENCY PROCUREMENT REQUEST\*\*\*** – Basic information that identifies the procurement, the procurement method, and justification.

### Agency Information Block

Procurement Title – Drawn from the Procurement Business Alignment tab for the Item selected.

Procurement Infrastructure Type – Drawn from the Procurement Business Alignment tab for the Item selected.

Agency Name - Drawn from the Procurement Business Alignment tab for the Item selected.

Control Number - The tool automatically provides a configuration control number for the procurement request.

Date submitted for CIO Approval – The date the APR information is completed and submitted for PMD review along with the (updated if necessary) Procurement Business Alignment tabs. Select the date from the drop-down calendar.

Estimated Procurement Cost – Drawn from the Procurement Business Alignment tab for the Item selected.

Planned Completion Date - Drawn from the Procurement Business Alignment tab for the Item selected.

### Procurement Contact Information Block

Requestor name, phone number, email address - provide the contact information for the agency person requesting the procurement.

### Method/Type Block

APR Procurement Method - Choose the type of procurement. For Sole Source procurements, submit the VITA Sole Source Procurement Documentation Worksheet with this APR. The Worksheet can be found at:

<http://www.vita.virginia.gov/procurement/documents/SoleSource.pdf>. The Sole Source request will be reviewed and approved with the APR.

If method is through a contract - Enter the contract number.

If the procurement is a renewal - Select the type of renewal or 'not applicable' if appropriate.

**Support Block**

Indicate whether the procurement supports ongoing operations and/or a new operational activity. Check all that apply. No value is the default. Indicator status: Yes=green, No=red.

**Upload Documentation**

This section provides the ability to upload documentation. Follow the instruction on the form and use the Upload Wizard to upload procurement documentation.

Hint: Always click on "Submit" at completion of each tab. Think of "Submit" as "Save"! Clicking on "Reset" clears all fields initially entered or updated since the last "Submit". If "Reset" is clicked after initial entry in a form before clicking on "Submit", all fields (except for pre-populated fields) are cleared!

**\*\*\*APR DESCRIPTION/JUSTIFICATION TAB\*\*\***

This section includes the description and justification of the product or service to be procured.

**Description Block**

Information in the "description" and "reason for Procurement" blocks is drawn from the Procurement Business Alignment tab for the Item selected. This information can be edited.

**Justification Block**

Fill out the text boxes as described. There is an unlimited character entry.

**\*\*\*APR -ESTIMATED COST TAB\*\*\***

This section includes the estimated cost and proposed funding source for the procurement.

**Estimated Procurement Cost Block**

Enter the estimated cost for each applicable cost category by double clicking on the entry box. If necessary, add unique cost categories under "Other". If the item is to be rented or leased, state the cost per period and number of rental or lease periods. If the procurement is for an initial investment in IT infrastructure item(s) that are in-scope to VITA, then record the expected monthly charge for the new service in the "Rent or Lease Cost per Period" column and enter the total number of months for the expected refresh of the item/equipment in the "Term of Lease (No. of Periods)" column. The tool computes and enters total rent or lease cost and total category costs after the Submit button is clicked. Caution: clicking the Reset button clears ALL entry fields on the tab.

**Procurement Funding Source Block**

Identify the funding source(s) and amount(s) for the procurement. If the funding source is not listed, describe under "Other". Double-click on an entry box to enter data.

The tool computes total and percent data automatically after the Submit button is clicked. The comments boxes are available to enter text. If "Other" is used, enter identifying information in the comment box.

### **\*\*\*APPROVALS TAB\*\*\***

Note: This tab is used for approvals of Procurement Business Alignment and Procurement initiation APR actions. Approvals can be accomplished simultaneously for both actions, or as separate approval actions at different times. The investment Strategic Planning information- Investment Business Case, associated Project Business Alignment form, Procurement Business Alignment- Procurement Initiation (APR) form must be approved by the agency head prior to submittal to PMD evaluation and CIO review/approval.

The AITR or authorized user clicks "Yes" in the Submit to Review Body entry box to commence either the Procurement Business Alignment and/or Procurement Initiation - APR process.

Notify the agency head by email that the Procurement Business Alignment and/or Procurement Initiation - APR is ready for review.

The Agency Head will see the pending Procurement Business Alignment and/or Procurement Initiation - APR approval in the Agency Head Approval Scorecard. The Agency Head can approve the Procurement Business Alignment and/or Procurement Initiation - APR by clicking on "Yes" in the entry box: Indicate approval for new project or change to existing project. A date time stamp is automatically generated for the approval. A comments box is available to enter text comments. The agency head or designated representative can notify PMD the Procurement Business Alignment and/or Procurement Initiation - APR is ready for review.