



Value Management Framework

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OBM

Value Management Office 

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Foreword: Purpose and Application of this Guide

This guide outlines business-oriented project management recommendations for projects classified as “major projects”, typically large scale, high risk, and or high impact initiatives. It is accompanied by **templates**, suggested **toolkit** items, and supplemental **guidance**. This process and set of tools ensures a disciplined approach, consistent with basic professional project management and change management standards, is used by executive sponsors, business sponsors, project managers, organizational change managers and project participants during the entire lifecycle of large scale initiatives. Project managers and sponsors may wish to use agency-specific processes when they are more rigorous than these suggested standards.

Overview

The first rule of any technology used in a business is that automation applied to an efficient operation will magnify the efficiency. The second is that automation applied to an inefficient operation will magnify the inefficiency. ~Bill Gates

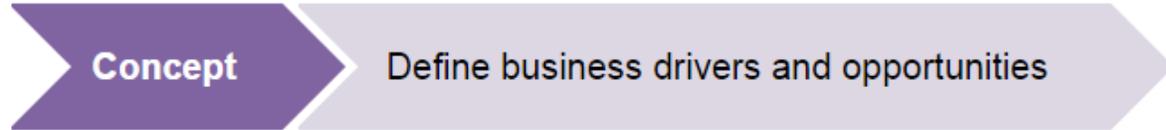
Monitoring and managing business change is a continuous process of envisioning results, planning and implementing business change, dynamically adjusting the path toward the results and measuring the results of programs.

Principles

One of the great mistakes is to judge policies and programs by their intentions rather than their results ~Milton Friedman

Guiding a large project to a successful conclusion hinges on a few key principles. First, it applies a minimum standard practice consistent with professional project and organizational change management. This encourages project managers, sponsors (representatives of the agency or business unit) and managers, as well as process owners, to begin with a focus on the end results. It also imposes discipline through structured governance, measurement, and accountability. Because achieving desired results is an ongoing, challenging process, managing a major project requires continual examination of project progress and results to date. Deviations from expected timelines, costs or performance should be addressed early in the project lifecycle to ensure a successful conclusion of the project.

Project Phases - High Level Overview

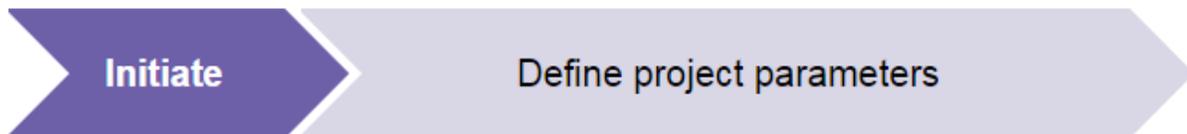


The CONCEPT phase encourages helps you take a mindful approach to your project before you formally start it.

This phase:

- Ensures the necessary executive buy-in to fund, launch, and support the project.
- Identifies the business drivers, problems, opportunities, scope and objectives.
- Shows how the project concept aligns with the strategic direction of the organization.
- Evaluates the organization's readiness for undertaking the project and understanding the organization impacts.
- Can take anywhere from a few days to several weeks or months, depending on the size and scope of the business problem.

If your project continues to appear viable and likely to achieve desired results once you've finish the CONCEPT phase, move on to the INITIATE phase.



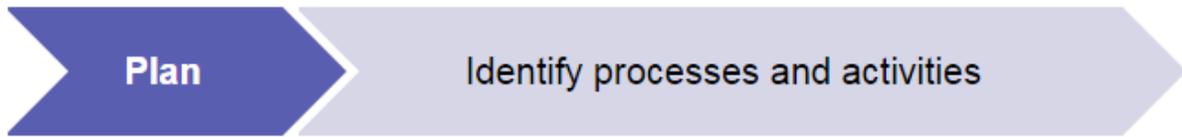
The INITIATE helps you start your project the right way. It's the first formal project phase.

This phase:

- Identifies and establishes project objectives, roles and outcomes.
- Creates a good foundation leads to project success.
- Generates agreement upon a vision of what is being undertaken.
- Ensures clarity on each group's roles and responsibilities.
- Establishes project and change management.
- Creates a quality environment for a successful outcome.

This phase formally defines foundational project deliverables. You can perform this work within the management structure of the sponsoring organization.

If your project continues to appear viable and likely to achieve the desired results once passes through the INITIATE Phase and moves to PLAN.



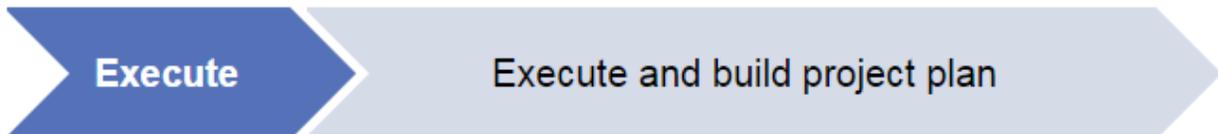
The PLAN phase helps your team design the project.

This phase:

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

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

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



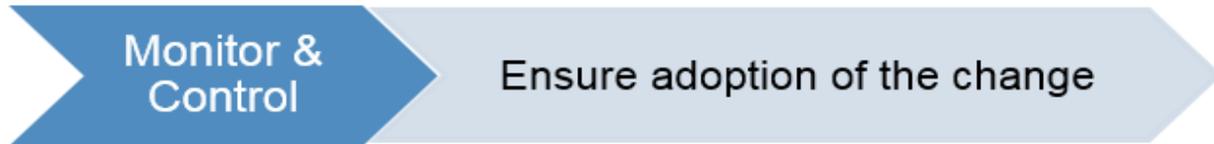
The EXECUTE phase helps you design, build, test and stage a solution for implementation.

This phase:

- Typically consumes the most energy and resources.
- Involves executing tasks and generating deliverables.
- Reduces project risk and meets quality standards through discipline and rigor.
- Produces quality deliverables while balancing time, cost, and scope.
- Relies on consistent monitoring of scope, schedule, costs, quality, risks and issues, and overall project performance.

Throughout EXECUTE the sponsor, business/process owner and project manager ensure continued progress and remove barriers to implementation, particularly those related to code, rule, law, etc.

Once the EXECUTE phase is complete and you've deployed strategies for implementation, you can "go live" or launch your project and move on to the MONITOR & CONTROL phase.

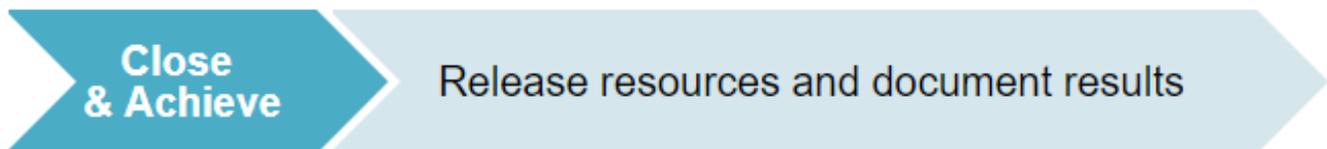


The MONITOR & CONTROL phase helps you measure project performance, ensure changes are adopted, and makes sure the business reaches proficiency.

During this phase:

- The solution is adopted by the organization.
- The process is allowed to stabilize or, if not achieving targets, is modified as needed and may require corrective action to yield desired outcomes when significant differences exist.
- Day-to-day project focus transitions to the business.
- The business owner reports progress against targets through the implementation period to ensure the attainment of results.
- The sponsor is still actively involved in the project.

Once your project is in control and on track to achieve desired outcomes, move on to the CLOSE & ACHIEVE phase.



The CLOSE & ACHIEVE phase helps you bring the project to a successful end. This phase starts once the project's product is accepted and transferred to the support organization, or a decision is made to suspend or cancel the project.

During this phase:

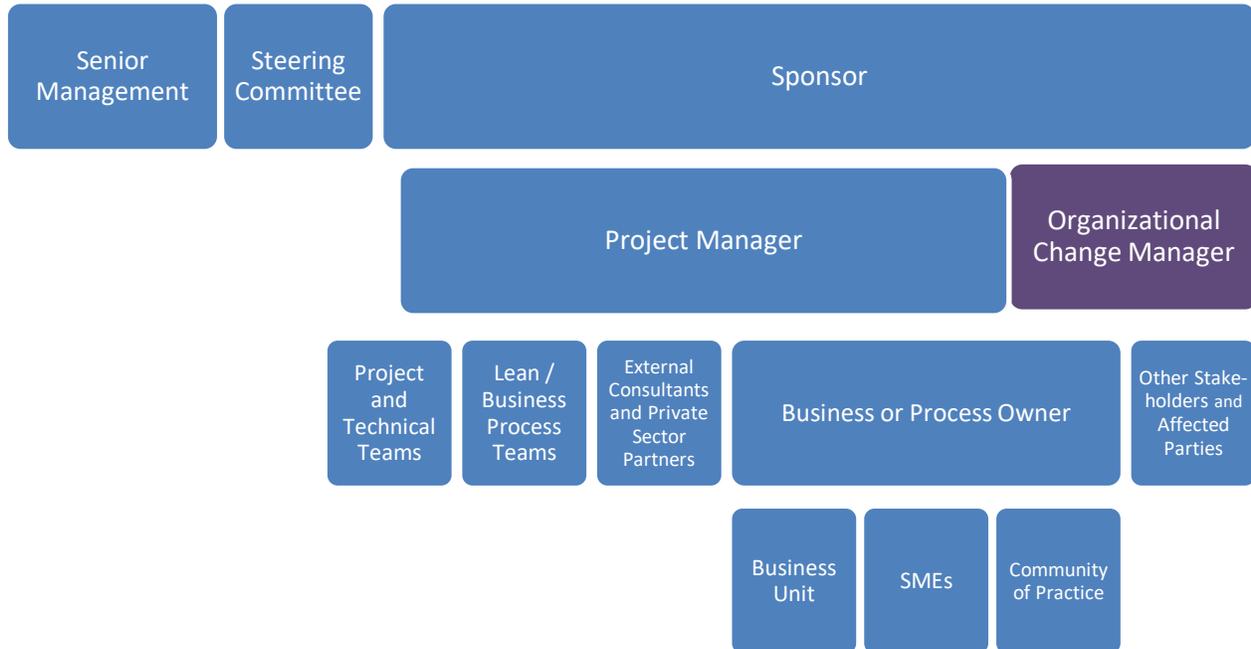
- Closing activities confirm custody of the project's products, deliverables, and documentation, including lessons learned for future reference.
- The organizational change manager confirms that the people impacted by the change are demonstrating new behaviors and habits associated with the new processes.

- The sponsor and project manager release the resources committed to the project, address remaining open items, and wind down the project in a way that minimizes risk in this final process phase of the project.
- It provides the opportunity to assess the project and develop lessons learned and recommended practices to be applied to future projects.

The completion of CLOSE & ACHIEVE phase activities signifies the formal ending of all project work.¹

Key Participants in the Project Management Process

There are several key participants in the project management and value achievement process. At the agency level, the relationship among roles is as depicted below. Additional description follows the diagram.



¹ It should be noted that this process phase is not just for projects that have made it to completion. Any project that completes the Initiate phase, and is subsequently halted for any reason, should also go through Close phase activities. This process presents growth opportunities for the project team and the sponsoring organization, and the lessons learned can significantly benefit future efforts.

Value Management Framework – Roles and Key Participants		
Role	General Expectations	Key Projects Role
<p>Sponsor</p> <p>Engaged at the beginning of the project.</p> <p>*See also Agency Engagement Center Sponsor Diagram and its accompanying Sponsor Definitions</p>	<p>Primary project representative</p> <p>Champions the project to the organization</p>	<p>Defines the problem and proposed solution</p> <p>Leads Steering Committee</p> <p>Helps project overcome roadblocks</p> <p>Supports implementation efforts through championing project outcomes and required business changes</p>
<p>Project Manager</p> <p>Engaged at the beginning of the project.</p>	<p>Manages the project from start to finish, delivering the desired outcomes.</p>	<p>Supports sponsor</p> <p>Provides project management guidance and coordination</p> <p>Drives project toward completion of desired outcome</p> <p>Manages time, budget and quality</p> <p>Raises critical issues for resolution</p>
<p>Organizational Change Manager</p> <p>Engaged at the beginning of the project.</p>	<p>Manages the people side of the project from start to finish, helps to deliver the desired business outcomes.</p>	<p>Supports sponsor</p> <p>Provides change management guidance and coordination</p> <p>Prepares, equips and supports the impacted stakeholders for change</p> <p>Coaches and supports leaders in preparing their people for change, including methods to manage resistance within their teams</p>
<p>Senior Management</p> <p>Engaged during CONCEPT</p>	<p>Provides vision or context for project related to strategic goals and agency mission.</p>	<p>Provides support to sponsor and feedback on mission and vision alignment. Advocates for project as a component of agency mission. Forms an important part of the sponsor coalition.</p>
<p>Steering Committee</p> <p>Engaged during INITIATE</p>	<p>Ensures program alignment with strategic goals</p>	<p>Participates in project lifecycle</p> <p>Assists sponsor in resolving critical issues</p> <p>Monitors outcomes to ensure full adoption</p>

Value Management Framework – Roles and Key Participants		
Role	General Expectations	Key Projects Role
		Determines if the project warrants continuation
Business or Process Owner Engaged during INITIATE	Understands business process and is able to communicate process steps and outcomes.	Provides critical input to project team on project lifecycle Carries forward changes in policy and procedure Apprizes internal and external stakeholders of upcoming changes and expectations Monitors achievement of desired outcomes Reports on progress and mitigation strategies
Project Team Technical Team Lean/BPR Team Engaged during PLAN	Completes key phases of work related to the project.	Performs project work appropriate to specialization Ensures that product or solution meets customer specifications and drives desired outcomes
Business Unit, Community of Practice, Subject Matter Experts (SME) Engaged during PLAN	Provides feedback and input on changes and impact.	Provides context and input as needed Helps project team relate to how the developed solution will apply to customers of the process Provides continuous feedback on the progress and effect of implemented changes
Other Stakeholders, Affected Parties and Customers Engaged during PLAN	Provide feedback and information to help guide the solution	May participate in feedback sessions throughout project lifecycle May receive updates about project plan and timelines May receive advance notice on design and planned implementation and outcomes May provide feedback on opportunities to improve implementation and achieve outcomes

Value Management Framework – Roles and Key Participants		
Role	General Expectations	Key Projects Role
Consultants and Private Sector Partners Engaged during PLAN or EXECUTE	May complete portions of the work	May provide options, cost and time information May develop plan for project May provide support activities and feedback May assist in implementation May provide perspective and feedback on implementation and achievement of desired outcomes

Tips for a Successful Project Experience

- Keep the end in mind.
- Focus on business results, not just activities and deliverables.
- Use standard processes to regulate the project process.
- Define intangible benefits.
- Engage all stakeholders in the process, particularly when a program crosses organizational boundaries.
- Integrate value achievement recommended practices with existing project management, performance and change management methods and tools.
- Monitor and review project schedule, budget, outcomes, quality, risks and issues throughout the project lifecycle and address deviations from expected performance promptly.
- Overcome systemic challenges by using project management and governance as strategic tools.

Templates, Toolkits and Guidance

Templates are formal project management records that are typically required for a project to pass a phase. They have imbedded instructions to help guide the project manager through completion of the activity. The required project records are considered key information that a project needs to be successful. This guide explains the why behind the template and activity.

Toolkit items (tools) help project managers, organizational change managers, sponsors, and project participants organize thoughts and information for use in a template. They are recommended, particularly for large/complex projects or for new

project managers or organizational change managers, but are not always required for a phase review. Tools may be modified by the project or change team to suit the needs of the project.

Guidance contains additional information, which may be helpful in understanding project roles or processes, or in completing a toolkit item or template. It may also include basic critical project management, organizational change management, and sponsorship information or instructions to project participants (e.g. steering committee members).

Project Phases

Project Phases Overview - Resources

Overview

[Major IT Project Oversight Policy](#) 

[Major Project Oversight - Introduction](#) 

[OCM Foundations](#) 

[Project Management Glossary](#) 

[100 Point Project Checklist](#) 

[100 Point Project Checklist](#) 

[Internal Logistics Checklist](#) 

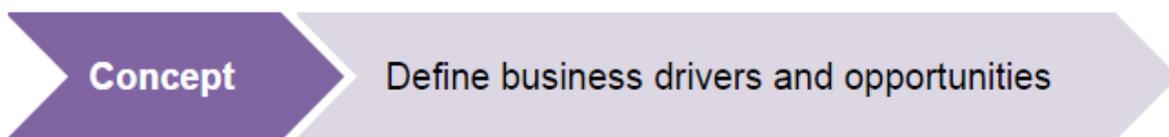
[Learning on Demand - Recommended Courses for Project Managers 2017](#) 

[Project Launch and Run Checklist 2016](#) 

[Troubled Project Identification Triage and Recovery](#) 

[Value Management Office Evaluation Periods](#) 

Phase 0: CONCEPT



The CONCEPT phase encourages helps you take a mindful approach to your project before you formally start it.

This phase:

- Ensures the necessary executive buy-in to fund, launch, and support the project.
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- Shows how the project concept aligns with the strategic direction of the organization.
- Evaluates the organization's readiness for undertaking the project and understanding the organization impacts.
- Can take anywhere from a few days to several weeks or months, depending on the size and scope of the business problem.

If your project continues to appear viable and likely to achieve desired results once you've finish the CONCEPT phase, move on to the INITIATE phase.

Key Participants: Sponsor, Project Manager, Organizational Change Manager

Concept Resources

- [1 The Role of the Sponsor \(New\)](#) 
- [2 Sponsor Checklist CONCEPT](#) 
- [3 Phase 0 CONCEPT General Guidance](#) 
- [4 Business Case Template](#) 
- [4. Business Plan Template](#) 
- [5 Project Classification Assessment Toolkit 2018](#) 
- [7 Summary Lessons Learned \(updated 12-19-17\)](#) 
- [8 Project Update Snapshot](#)
- [9. Market Research and Alternatives Analysis Tips \(NEW\)](#) 
- [Benefits Realization Readiness Assessment](#) 
- [Creating a One-page Business Strategy](#) 
- [Market Research - 1. Defined](#) 
- [Market Research - 2. Fundamental Practices](#) 
- [Market Research - 3. Checklists and Sample Questions](#) 
- [OCM Toolkit - List of Tools with Purpose and Benefits AEC](#) 
- [OCM Toolkit Overview AEC](#) 
- [Sample Readiness Survey Questions \(AEC\)](#) 
- [Sample Readiness Survey Questions \(AEC\)](#) 
- [Scope Definition Toolkit](#) 
- [Sponsor Diagram AEC](#) 

CONCEPT STEPS:

1. Review the [Role of the Sponsor](#) and [Sponsor Checklist CONCEPT](#).

These help sponsors prepare for their role in a project and prepare for initial discussions regarding the scope of the potential project. The [Sponsor Diagram](#) may also be of interest to new sponsors.

2. Review the [Value Management Framework](#) or [Phase 0 CONCEPT General Guidance](#) to ensure familiarity with the process.

The project manager reviews the framework and accompanying tools.

3. Review the [OCM Toolkit Overview](#) and [OCM Toolkit - List of Tools with Purpose and Benefits](#).

The organization change manager reviews the OCM tools.

4. Get a jump on tracking your progress by opening a project in WorkFront using the VMF Framework template or downloading the Excel-based [Project Plan template](#).

5. Consult the Internal Logistics Checklist to make sure your project is logistically prepared.

6. Discuss the business objectives, vision, and any constraints (time or budget) and quality expectations.

The vision embodies the long-term outcomes that the sponsor and organization wish to achieve. It is written to be inspirational and memorable. It may be based on business drivers (external or internal) and the strategies used in response to these forces. This discussion occurs among the sponsor, project manager and organizational change manager. Understanding your Business Model is helpful in defining the business objectives and vision.

7. Conduct high level research, including market opportunities (market research), the scope and outcomes of like projects, and policy, rule and law review.

Use external research to understand how others may have addressed the business problem. This helps provide context for the scope, scale, and potential complexity of the proposed project.

Research is usually conducted by the project manager or project team and consists of outreach to peer organizations, web and literature searches, and third-party research organizations. It provides context for future project decisions and supplies the sponsor and project manager with valuable intelligence about what options may be available to achieve the desired business objectives.

8. Discuss and document the project scope in the [Scope Definition toolkit](#).

The sponsor and project manager use the scope to help establish the boundaries of the project and what will and will not be included in it. It also contains information on proposed deliverables, assumptions and constraints.

9. Complete the [Business Case template](#). Developing a [one-page business strategy](#) may be helpful in framing your business case.

The business case is a proposal that justifies a project. It includes an analysis of business process performance and requirements, assumptions, and issues, and

risks by explaining strengths, weaknesses, opportunities, and threats. This is completed by the sponsor and project manager.

An agency-based business case may be significantly more complex than the summary version and, if that is the case, it should replace the simplified template.

If you are planning an internal service or a service that will be supported with chargebacks, use the Business Plan instead.

10. Complete the [Readiness Assessment survey](#).

The sponsor and organizational change manager identify and characterize the organizational complexities of the change associated with the proposed project and conduct the readiness survey. The results of the Readiness Assessment are used to help define the change strategy and plan the change management components of the project.

The [Benefits Realization Readiness Assessment](#) may also be helpful in establishing your organizations readiness to achieve project objectives.

11. Complete the [Project Classification Assessment tool](#).

The sponsor and project manager complete the self-assessment Project Classification tool. It helps reveal and characterize the business and technical complexities of the proposed project (the risk profile). The results help define the level of risk and visibility associated with the project and may drive decisions about how the project will be undertaken and managed.

12. Review [Summary Lessons Learned](#).

The sponsor, project manager and organizational change manager review lessons learned for potential pitfalls and resolutions encountered in prior projects. Any identified pertinent lessons learned should be flagged for discussion during the development of risks.

Lessons learned are a repository of knowledge gained during similar projects, showing how project events were addressed or should be addressed in the future.

13. Begin status reporting using the [Project Update Snapshot](#).

The project manager begins providing routine status updates to the sponsor. In later phases, status reporting may involve the Steering Committee and stakeholders. The snapshot provides an overview but the project manager may wish to include additional, more detailed materials.

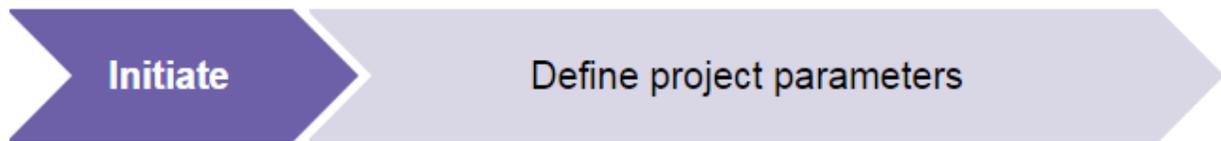
14. Complete CONCEPT phase review.

The sponsor approves the business case, readiness assessment and project classification. The project manager submits the materials, including those of the change manager, to agency project governance for review.

The CONCEPT phase review is a formal, examination of the above work products to ensure the foundation of the project has been established and the supporting information to promote advancement to the next phase is completed.

TIP #1: To monitor the progress of your project, use the 100 Point Project Checklist in [Word](#) or [Excel](#).

Phase 1: INITIATE



INITIATE helps you start your project the right way. It's the first formal project phase.

This phase:

- Identifies and establishes project objectives, roles and outcomes.
- Creates a good foundation leads to project success.
- Generates agreement upon a vision of what is being undertaken.
- Ensures clarity on each group's roles and responsibilities.
- Establishes project and change management.
- Creates a quality environment for a successful outcome.

This phase formally defines foundational project deliverables. You can perform this work within the management structure of the sponsoring organization.

If your project continues to appear viable and likely to achieve the desired results once passes through the INITIATE Phase and moves to PLAN.

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

Initiate Resources

[1 Sponsor Checklist INITIATE](#) 

[2 Phase 1 INITIATE General Guidance](#) 

[3 Steering Committee Agenda Toolkit](#) 

[4 Steering Committee Reference Template](#) 

[5 Project Charter Template](#) 

[6 Risk Issue Action Decision Tracker Toolkit](#) 

[7 Project Plan Template](#) 

[Impact Gathering Tool \(AEC\)](#) 

[OCM ARCI Matrix \(AEC\)](#) 

[OCM Metrics \(AEC\)](#) 

[OCM Strategy outline \(AEC\)](#) 

[OCM Workplan \(AEC\)](#) 

[RACI Tool](#) 

[Resistance Management Worksheet \(AEC\)](#) 

[Resource Estimation Toolkit](#) 

[Sponsor Action Plan \(AEC\)](#) 

[Sponsor Agreement \(AEC\)](#) 

[Stakeholder Analysis Tool \(AEC\)](#) 

[Stakeholder Register Toolkit](#) 

[Steering Committee Basics, Composition and Management - Guidance for Sponsors and PMs](#) 

[Steering Committee Purpose and Role - Guidance for Sponsors, PMs and Committee Members](#) 

[Tracking Decision Latency Guidance](#) 

INITIATE Steps:

1. Review the [Sponsor Checklist INITIATE](#).
2. Review the [Phase 1 INITIATE General Guidance](#) to ensure familiarity with the process.
3. Develop the [Sponsor Roadmap \(Sponsor Action Plan\)](#). Also complete the [Sponsor Agreement](#) and the [Sponsor Action Plan](#).

The sponsor and change manager develop the roadmap to guide and plan sponsor actions over the life of the project.

4. Form a steering committee. Review the [Steering Committee Purpose and Role](#) and [Steering Committee Basics](#), and complete the [Steering Committee Reference](#) template.

Steering committees serve as an advisor to the sponsor or and as the final authority for significant project decisions. The committee is selected by the sponsor and formed by the project manager.

Factors to be considered in forming the steering committee include the number of separate business entities or stakeholder groups, how the needs of the separate entities or groups are to be represented in the overall project approach, and the general size and complexity of the project.

The steering committee operating principles, along with meeting agendas and minutes, should be maintained as part of the project documentation. The [Steering Committee Agenda](#) toolkit may be useful in developing agendas.

5. Discuss the vision statement with the steering committee to ensure broad acceptance of the project vision. Also discuss the [Business Case](#).

This discussion, any amendments, and final acceptance should be documented and retained in the project repository.

Based on the discussion, update the [Business Case](#).

6. Complete the [Project Charter](#) template.

A charter is a formal document providing authority to the project manager to conduct a project within scope, quality, time, cost, and resource constraints as described in the document. The project manager, with the assistance of the sponsor, completes the charter, which is then approved by the steering committee.

7. Create the [RACI](#) matrix and the OCM RACI (called the [ARCI](#)).

The RACI matrix identifies the phases, lists the deliverables for each phase, and responsibilities (such as approver, signatory, responsible, or informed) of various stakeholders with respect to those deliverables. RACI is an acronym based on four key types of responsibilities that are described in the matrix: responsible, accountable, consulted, and informed.

The project manager, with the assistance of the sponsor, completes the RACI, which is then reviewed with the steering committee.

The [ARCI](#) is completed in parallel with the RACI by the organizational change manager. It focuses on the roles and responsibilities of the change management resources.

8. Complete the risk analysis in the [Risk Issue Action Decision Tracker](#) toolkit and the OCM [Impact Gathering](#) tool.

The risk tracker and associated analysis helps identify risks that are likely to affect the project and documents the characteristics of each risk. Risk analysis

addresses both internal and external risks. It also documents the potential impact or consequences (tangible or intangible), either positive or negative, should the risk occur. Risks are usually categorized as high, medium, or low likelihood and impact.

The project manager and sponsor complete the first pass of the analysis and prepare the risk management plan and mitigation responses, while the organizational change manager prepares the impact analysis. The impact analysis influences the risk assessment and serves as the basis for developing components of the OCM strategy.

As risks materialize, they may be classified as issues and worked as part of the project plan. Good risk identification and management helps projects be more successful in completing on time, on budget and with the desired outcomes.

9. Document known dependencies, constraints and assumptions.

Dependencies, constraints, and assumptions should be discussed with the project team. If material, they should also be discussed with the steering committee addressed in the project plan.

The project manager and sponsor document dependencies in the corresponding task in the project management software while constraints and assumptions may be included as added tabs or separate spreadsheets in a format like the risk register.

10. Discuss and review [Tracking Decision Latency](#) guidance.

Decision latency can have significant effect on project timelines. The sponsor, project manager and organizational change manager should review and discuss the guidance and the project manager should ensure that decision latency is tracked in the risk register.

11. Conduct a [Stakeholder Analysis](#) and document stakeholders in the [Stakeholder Register](#).

The sponsor and organizational change manager conduct the stakeholder analysis. This analysis is used to help identify and ensure the inclusion of key stakeholder groups.

12. Complete the [OCM Strategy](#) outline and formalize the [OCM Work Plan](#).

Using the risk and stakeholder information, as well as other project related documents, the organizational change manager completes the OCM strategy and Work Plan. These documents are reviewed with the sponsor and shared with the project manager.

Milestones from the OCM work plan are integrated into the overall project plan to ensure the project manager is aware of the major OCM deliverables and where they fall on the critical path.

13. Draft the initial [Project Plan](#), starting with creating (or updating) a work breakdown structure (WBS).

Using known factors about the project and the standard project plan template, the project manager drafts the initial project plan, creating a work breakdown structure (WBS) and critical path.

1. The WBS is a depiction of the logical relationship between and among tasks in a project.
2. The critical path sequences activities that have the least amount of schedule flexibility (showing the shortest time to completion).

The project manager and sponsor confer on the WBS and critical path and discuss it with the steering committee.

If the project team has been using Workfront, the Value Management Framework Project Plan may have been the template you used to create the project. If the team is using a different project management software, the project manager should import the steps in the template in to the project management tool so that key steps are not omitted.

14. Complete resource estimates using the [Resource Estimating](#) toolkit.

Resource estimating is performed by the project manager. The Resource Estimating toolkit includes estimated costs for everything necessary to complete a project: hardware, software, personnel, consultants, facilities, etc. The projection is performed early in the project to provide a reference point but is refined (and discussed with the sponsor and steering committee) throughout the project.

The initial projections should be a rough order of magnitude with an expected deviation of +/-50%. At the conclusion of PLAN, this deviation should drop to around +/-20% and, after sourcing, should be within +/-10% of final costs. At the conclusion of PLAN, change orders are used to manage changes to cost, scope, and/or schedule.

15. Calculate the critical path in the project plan and begin to exercise project change control using the [change control management plan](#), [change request form](#), and [change request log template](#). Refer to Managing Change Request Tips for additional guidance.

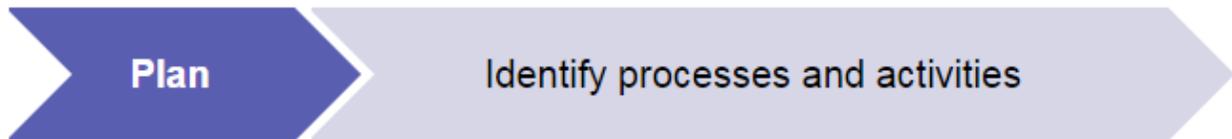
Generate and understand the critical path and include a pdf of the plan and critical path in the phase review information.

16. Complete the INITIATE phase review.

The Initiate phase review is a formal examination of the INITIATE deliverables to ensure the foundation of the project has been established and the supporting information to promote advancement to the next phase is completed. The sponsor approves the required deliverables and the project manager submits the deliverables to agency governance for review.

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

Phase 2: PLAN



The PLAN phase helps your team design the project.

This phase:

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

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

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

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

Plan Resources

- [1 Sponsor Checklist PLAN](#) 
- [2 Phase 2 PLAN General Guidance](#) 
- [3 Lessons Learned Recording Tool](#) 
- [3 Lessons Learned Tool \(AEC\)](#) 
- [4 Market Research - 1. Defined](#) 
- [4 Market Research - 2. Fundamental Practices](#) 
- [4 Market Research - 3. Checklists and Sample Questions](#) 
- [5 Acquisition Plan Template](#) 
- [6 Implementation and Transition Plan Template](#) 
- [7 Quality Management Plan Template](#) 
- [Acceptance Criteria Toolkit](#) 
- [Benefits Dependency Network Diagram Guidance](#) 
- [Benefits Dependency Network Diagram Tool](#) 
- [Benefits Register Toolkit](#) 
- [Benefits Workbook Guidance](#) 
- [Change Control Management Plan](#) 
- [Change Request Form](#) 
- [Change Request Log Template](#) 
- [Communication Matrix \(AEC\)](#) 
- [CommunicationDraftingTemplate \(AEC\)](#) 
- [Conducting an Analysis of Alternatives](#) 
- [Contractor Nonemployee Onboarding Checklist](#) 
- [Defining Deliverables](#) 
- [Determining Your Procurement Method-Guidance](#) 
- [Developing and Using Acceptance Criteria Guidance](#) 
- [Developing Process Maps Guidance](#) 
- [Evaluating RFP Responses, Recommended Practices for Maximizing Value, Part 1](#) 
- [Evaluating RFP Responses, Recommended Practices for Maximizing Value, Part 2](#) 
- [Key Message Worksheet \(AEC\)](#) 
- [Market Research and Alternatives Analysis Tips \(NEW\)](#) 
- [OCM Metrics \(AEC\)](#) 
- [Quality Plan Guidance and Sample Questions](#) 
- [Readiness Progression Tool \(AEC\)](#) 
- [Requirements 10 Best Practices](#) 
- [Resistance Management Worksheet \(AEC\)](#) 
- [Sample Deliverable Review Process 2017](#) 
- [Sample Readiness Survey Questions \(AEC\)](#) 
- [Training Needs Analysis Tool \(AEC\)](#) 
- [Training Needs AssessmentTemplate \(AEC\)](#) 
- [Training Plan Instructions \(AEC\)](#) 

PLAN STEPS:

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

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

4. Define the current state and "to be" future state using the [Developing Process Maps guidance](#).

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

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

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

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

5. Complete the [Benefits Dependency Network Diagram](#) tool using the [Benefits Dependency Network](#) guidance. Use the information to update the [Business Case](#).

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

6. Outline the project [deliverables](#) and document them in the project plan.

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

7. [Define Business Requirements](#). Also, review [Contracting for Value guidance](#).

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

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

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

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

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

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

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

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

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

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

The project manager creates a separate, parallel communications plan specific to project status and activities. These communications are generally targeted to technical or project team audiences and address things like schedule, scope, and technical issues.

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

This describes how an organization's quality policies will be implemented and defines how quality will be managed throughout the project lifecycle to meet the stated quality definition, and the committed intent and requirements from a

sponsor, stakeholder and or customer point of view. This is completed by the project manager.

21. Complete the PLAN phase review.

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

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

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

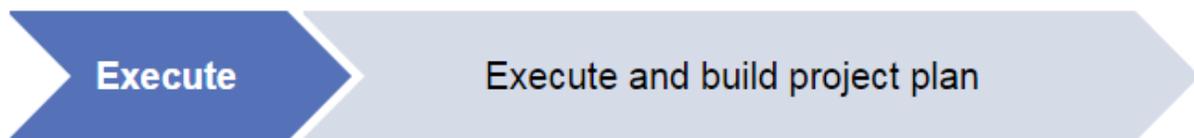
22. Release a request for services to the market.

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

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

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

Phase 3: EXECUTE and BUILD



The EXECUTE phase helps you design, build, test and stage a solution for implementation.

This phase:

- Typically consumes the most energy and resources.
- Involves executing tasks and generating deliverables.
- Reduces project risk and meets quality standards through discipline and rigor.
- Produces quality deliverables while balancing time, cost, and scope.

- Relies on consistent monitoring of scope, schedule, costs, quality, risks and issues, and overall project performance.

Throughout EXECUTE the sponsor, business/process owner and project manager ensure continued progress and remove barriers to implementation, particularly those related to code, rule, law, etc.

Once the EXECUTE phase is complete and you've deployed strategies for implementation, you can "go live" or launch your project and move on to the MONITOR & CONTROL phase.

Key Participants: Sponsor, Project Manager, Organizational Change Manager, Steering Team. Stakeholder(s), Technical Unit, Business Unit, and Process Owners, as well as Transition Support, Subject Matter Experts, Project Support Staff, Consultants and Solution Contractors (as needed).

Execute and Build Resources

[1 Sponsor Checklist EXECUTE and BUILD \(NEW\)](#) 

[2 Phase 3 EXECUTE and BUILD General Guidance](#) 

[3 Managing a Contract for Value](#) 

[Contractor Nonemployee Onboarding Guide Job Aid](#) 

[Lessons Learned Tool \(AEC\)](#) 

[OCM Go-Live Checklist \(AEC\)](#) 

[Sample Deliverable Review Process 2017](#) 

EXECUTE and BUILD Steps:

1. Review the [Sponsor Checklist EXECUTE and BUILD](#).
2. Review the [Phase 3 EXECUTE and BUILD General Guidance](#) to ensure familiarity with the process.
3. Onboard Contractor Resources.
4. Closely monitor the schedule and key milestones.

The project schedule is a living document that presents linked activities with planned dates, durations and milestones. The schedule should include dependencies, resources and a managed critical path.

Milestones typically include critical accomplishments planned at time intervals throughout the project. They are used to monitor overall project performance.

If there is a deviation from schedule or milestone performance, the project manager should discuss the reason, potential impact and corrective actions with

the sponsor and, depending on the severity of the deviation, the steering committee.

Agency governance should also monitor the schedule and milestones (as well as budget and scope) to ensure significant deviations are discussed before issues become insurmountable.

5. Monitor the project budget.

The budget can be changed only through formal change control procedures. If there is a deviation from budget performance, the project manager should discuss the reason, potential impact and corrective actions with the sponsor and, depending on the severity of the deviation, the steering committee.

6. Monitor project deliverables and project quality using the Quality Management Plan.

7. Continue to collect Lessons Learned.

8. Apply Managing a Contract for Value guidance. See also Managing Change Requests.

9. Review and update the Implementation Plan.

This defines how the system under development will be implemented in the target environment. In the event of statewide implementations, the plan addresses how the system will be implemented into each site and location.

Development of the implementation plan (started in PLAN) should be performed in conjunction with business unit representatives. Some components of this plan are developed in tandem with the project team (e.g. training materials, testing), while others (e.g. business process changes) are developed by the business unit and process owners. Executive-level support of process change at the agency is critical to ensuring follow through at the business unit level. The implementation plan should be coordinated with the technical unit's deployment checklist and testing plans and should include the expected timing for the full value of the change to be reached.

As a component of the implementation plan, the business unit updates its policies and procedures and other documentation for internal and external use.

10. Develop the Test Plan.

The test plan defines responsibilities, identifies test methodologies and phases, and identifies the test environment throughout the project lifecycle. Testing is often best performed by members of the business and/or stakeholders as they are most familiar with the work that needs to be accomplished within the new

system. This may be completed in partnership with a contractor, if one has been retained for the project.

11. Update the Training Plan.

The training plan describes how users will be trained including the targeted audience segments and the level and details of training for each, course materials and training media, measurement of training effectiveness, and plans for ongoing or remedial training. This is performed by the organizational change management team.

12. Create the Solution Go-live Checklist.

This identifies the key activities and milestones that must be complete in advance of go-live. Develop the go-live checklist using the go-live checklist tool or a similar agency template and attach the plan to the task in the project management software and submit it with the phase review information.

13. Complete the OCM Go-live Checklist.

This ensures that the people side of the project is ready for the go-live period. It is performed by the organizational change manager.

14. Conduct a transition to operations review.

The project team prepares to transition to operations. The review provides and documents a comprehensive analysis of all aspects of readiness, including organizational go-live readiness and contingency planning, prior to the implementation. The project team documents its preparedness to release its product or new process/system in the project repository.

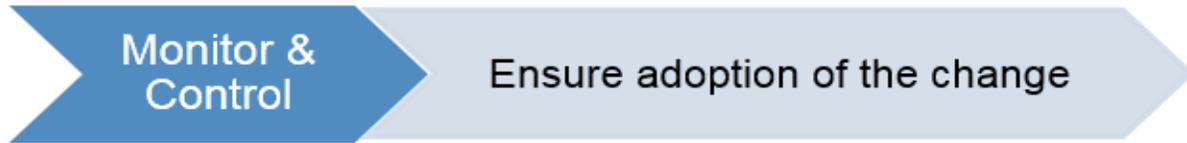
If the team finds that the project is not ready to transition to operations, the project manager should discuss options to remediate problem areas with the sponsor and steering committee.

15. Complete the Go/No Go decision point and document the decision.

Progress through the phase is contingent on sponsor and business owner approval. A "Go/No Go" meeting is convened and documented to ensure agency readiness and final business acceptance.

16. Complete the EXECUTE and BUILD phase review.

Phase 4: MONITOR AND CONTROL



The MONITOR & CONTROL phase helps you measure project performance, ensure changes are adopted, and makes sure the business reaches proficiency.

During this phase:

- The solution is adopted by the organization.
- The process is allowed to stabilize or, if not achieving targets, is modified as needed and may require corrective action to yield desired outcomes when significant differences exist.
- Day-to-day project focus transitions to the business.
- The business owner reports progress against targets through the implementation period to ensure the attainment of results.
- The sponsor is still actively involved in the project.

Once your project is in control and on track to achieve desired outcomes, move on to the CLOSE & ACHIEVE phase.

Key Participants: Sponsor, Project Manager, Organizational Change Manager, Steering Team. Stakeholder(s), Technical Unit, Business Unit, and Process Owners, as well as Transition Support, Subject Matter Experts, Project Support Staff, Consultants and Solution Contractors (as needed).

Monitor and Control Resources

[1 Sponsor Checklist MONITOR, CONTROL, CLOSE and ACHIEVE \(NEW\)](#)

[2 Phase 4 MONITOR and CONTROL General Guidance](#)

[3 VMO Post Implementation Project Evaluation](#)

[Lessons Learned Tool \(AEC\)](#)

[Post Implementation Satisfaction Survey \(AEC\)](#)

[Post Implementation Scorecard \(AEC\)](#)

[Value Management Office Evaluation Periods](#)

MONITOR and CONTROL Steps:

1. Review the [Sponsor Checklist MONITOR and CONTROL, CLOSE and ACHIEVE](#).
2. Review the [Phase 4 MONITOR and CONTROL General Guidance](#) to ensure familiarity with the process.

3. After "go live", the project team and steering committees continue to meet and perform their duties.

The sponsor may need to call upon the steering committee or sponsor coalition to help achieve project objectives.

4. Monitor the KPI scorecard from the [Benefits Toolkit](#) (planned vs. actual benefits).

The original project benefits and desired targets are compared to actual performance. The scorecard is used to measure and track success in achieving an organization's goals. Key performance indicator targets provide data to assist in determining when it has been successful in achieving the project goal. Analyzing the gaps between current performance levels and targets helps organizations identify priority areas needing improvement and develop strategies to close the gaps.

Through implementation, indicators may be publicized internally and externally so that agency personnel and stakeholders know and understand their role in contributing to the results. Honest and clear messages regarding positive and negative trends, corrective actions, and values realized help support the initiative and aid in fostering a commitment to the change.

For measures that have been achieved and are stable, the measure becomes new operating standard. Continued achievement of the new standard is managed through the agency's normal performance management process.

The sponsor should ensure that named individuals are assigned the role of data collections and reporting and should enlist the support of the project manager to ensure reporting is completed. The project manager reviews KPIs with the sponsor and submits KPI data on at least a quarterly basis to agency governance in an agreed-upon format. The sponsor should review performance on a regular basis with the steering committee so that, if needed, implementation plans can be adjusted to improve outcomes.

5. Conduct a walk-through/cleanup of all remaining issues and risks related to the EXECUTE and BUILD phase.

The sponsor ensures a peer review examination of the requirements, design, and implementation is conducted by qualified experts to ensure that the project objectives will be met. This review should be documented.

6. Document Knowledge Transfer.

This is the flow of knowledge, skills, information and competencies from one person to another. It can happen through any number of methods, including

coaching, mentoring, training courses and on-the-job experience. Knowledge transfer is vital at the end of a project when a contractor or development staff hand-off a new system to employees who will operate and maintain the system on a day-to-day basis.

7. Conduct the [Post Implementation Satisfaction Survey](#) and complete the [Post Implementation Scorecard](#). Continue to collect [Lessons Learned](#).

The project team, sponsor and organizational change manager meet to discuss the results and, if the results indicate problem areas, brainstorm approaches to resolve issues. The organizational change manager updates lessons learned based on feedback from survey participants.

The post implementation scorecard is to track the effectiveness of OCM efforts and calibrate change management activities in the post-implementation period.

8. Participate in the [VMO Post Implementation Project Evaluation](#).

This is a report prepared after project completion that summarizes project components including background and summary of results (including project history, objectives, and results), product/system use review, attainment of objectives, lessons learned (including corrective action(s), if appropriate), project management schedule and benefit summary. Depending on the duration of the project and expected time horizon to achieve benefits, more than one post implementation evaluation may be conducted and the recommendations then applied to course correct benefits achievement. Expected participants include the project manager, organizational change manager and sponsor.

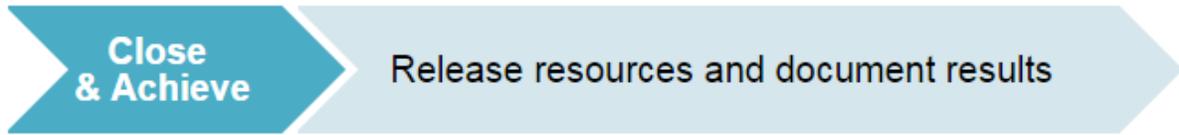
For more information on VMO evaluations, see [Value Management Office Evaluation Periods](#).

9. Complete the MONITOR and CONTROL phase review.

The MONITOR and CONTROL phase review is a formal examination of the primary project deliverables to ensure the project is likely to meet its objectives before releasing the solution and advancing to the next phase of the project. The sponsor approves the post implementation evaluation and the project manager submits the materials to agency governance for review.

At the completion of the MONITOR and CONTROL phase, approval to proceed is based on the results of the post implementation evaluation. If it indicates likely benefit achievement, final payments to contractors may be made and the project progresses into the CLOSE phase of the project.

Phase 5: CLOSE and ACHIEVE



The CLOSE & ACHIEVE phase helps you bring the project to a successful end. This phase starts once the project's product is accepted and transferred to the support organization, or a decision is made to suspend or cancel the project.

During this phase:

- Closing activities confirm custody of the project's products, deliverables, and documentation, including lessons learned for future reference.
- The organizational change manager confirms that the people impacted by the change are demonstrating new behaviors and habits associated with the new processes.
- The sponsor and project manager release the resources committed to the project, address remaining open items, and wind down the project in a way that minimizes risk in this final process phase of the project.
- It provides the opportunity to assess the project and develop lessons learned and recommended practices to be applied to future projects.

The completion of CLOSE & ACHIEVE phase activities signifies the formal ending of all project work.

Key Participants: Sponsor, Project Manager, Organizational Change Manager, Steering Team. Stakeholder(s), and Process Owners.

Close and Achieve Resources

[Project Closeout Documentation Tool](#) 

[Phase 5 CLOSE and ACHIEVE General Guidance](#) 

CLOSE and ACHIEVE Steps:

1. Review the [Sponsor Checklist MONITOR and CONTROL, CLOSE and ACHIEVE](#).
2. Review the [Phase 5 CLOSE and ACHIEVE General Guidance](#) to ensure familiarity with the process.
3. Complete the documentation of [Lessons Learned](#).

This activity may also include contractor personnel, stakeholders, steering committee members, and other project participants. Lessons learned are the knowledge gained during a project and show how project events were

addressed or should be addressed in the future for the purpose of improving future performance. They are documented experiences that can be used to improve the future management of projects.

During the project, lessons learned may be documented as part of issue resolution. During the CLOSE and ACHIEVE phase, a broader audience should be contacted for lessons learned and these (as well as those related to project issues) should be documented in a manner consistent with the lessons learned guidance.

- 4. Document potential future enhancements, or changes needed to bring expected future performance of the project.**
- 5. Archive all documentation in a secure, long-term repository of data, documents, configuration or other information. Follow the [Project Closeout Documentation](#) tool to ensure no key steps are omitted.**

Archives are typically stored on secure, long-term media in accordance with applicable document and media retention policies and rules. The project repository may be retained in Workfront or agency project management software. This is performed by the project manager.

- 6. Conduct CLOSE and ACHIEVE phase review.**

The sponsor and project manager submit the lessons learned and most recent KPI scorecard to agency governance for the final phase gate review. Assuming the project is still on target to achieve its objectives, the project can be formally moved to a “completed” status. At this point, the project manager should mark the project as complete.