Value Management Framework

Contents

Foreword: Purpose and Application of this Guide

This guide outlines 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 project managers, organizational change managers and sponsors 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

**Concept** — Define business drivers and opportunities

All projects require some level of CONCEPT definition to identify business drivers, problems, and opportunities for the project. Project objectives are aligned with the sponsoring organization's strategic direction. The sponsor, project manager and organizational change manager assess the readiness of the organization for the project. This process is critical to attaining the necessary executive buy-in to fund, launch, and support the project, and can take anywhere from a few days to several weeks or months. If the project is determined to be feasible and likely to achieve the results desired, the program passes through the CONCEPT Phase and moves into INITIATE.

**Initiate** — Define project parameters
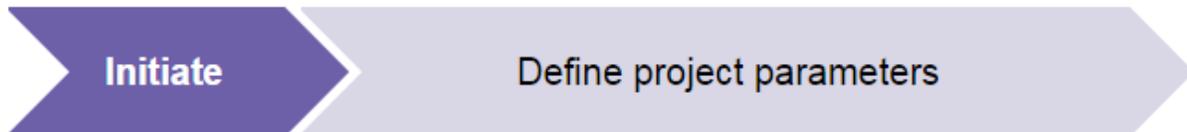
The INITIATE phase is the first formal project phase and is focused on defining the overall project parameters, such as identifying and aligning all key stakeholder expectations with the project's purpose, establishing project and change management, and creating a quality environment needed for a successful outcome. This work can be performed within the management structure of the sponsoring organization. If the program is determined to be feasible and likely to achieve the results desired, the program passes through the INITIATE Phase and moves to PLAN.

Plan — Identify processes and activities
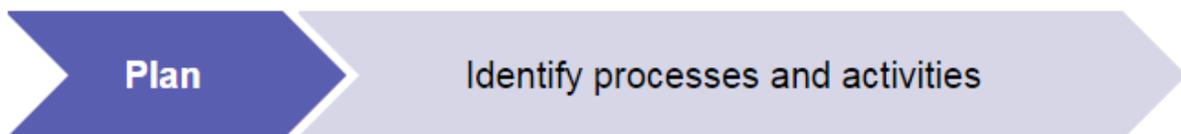
During PLAN, the project team identifies and documents all of the processes and activities necessary to successfully deliver the project outcomes. These include scope, duration, estimated cost, quality, communications, requirements, risks, business process reengineering, organizational change management, procurement, and stakeholder engagement. The type and construct of the project influences the planning techniques and/or the level of rigor required. 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. At the completion of the PLAN phase, if the project continues to appear viable, it moves into the EXECUTE and BUILD phase.

Execute — Execute and build project plan
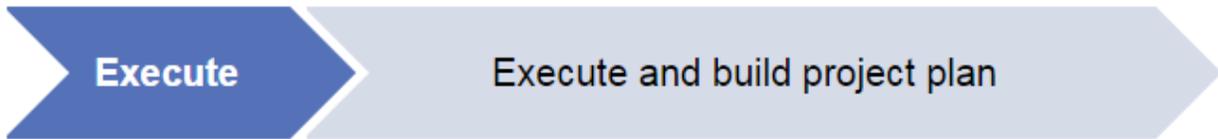
The EXECUTE and BUILD phase typically consumes the most energy and resources. During this phase, the project executes the tasks within the project plan, prioritized by the critical path. Particular attention is given to the production and quality of deliverables while balancing time, cost, scope, and quality of the project as a whole. Detailed analysis and decision making during the EXECUTE Phase requires the development of appropriate project management responses. This relies on consistent sponsor monitoring, supported by the project manager, of scope, schedule, costs, quality, risks and issues, and overall project performance. In parallel, the organizational change manager supports business unit and process owners in their preparations to implement process changes to harness the benefits of the project. Once the EXECUTE and BUILD portion of the project is complete and strategies for implementation deployed, the program passes through the EXECUTE and BUILD Phase and "goes live" or is "launched."

Monitor & Control — Ensure adoption of the change
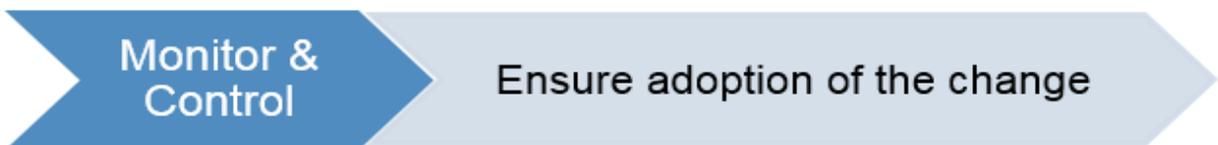
The MONITOR and CONTROL phase measures project performance at regular intervals to ensure adoption of the change occurs and the business ultimately reaches proficiency. The activities in this phase oversee the tasks and metrics needed to ensure that the project proceeds without unforeseen surprise. Key project management activities include: schedule, cost, scope, and requirements management, as well as change control, quality management, risk and issue reporting, contract management, and benefits management and realization. From a change management perspective, the organizational change manager monitors adoption by the people using the new process, using surveys and acceptance progression tools to measure progress. Once the project appears in control and on track to achieve the desired outcomes, it passes into the CLOSE and ACHIEVE phase.

Close & Achieve — Release resources and document results
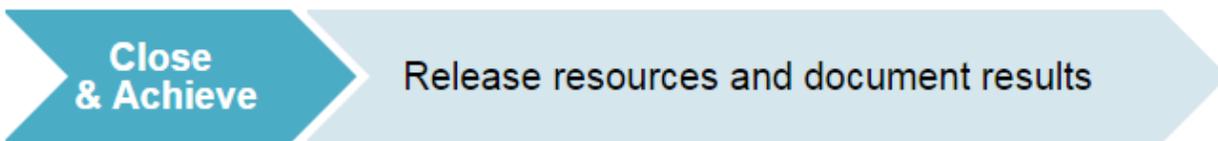
The CLOSE and ACHIEVE phase begins once the project's product is accepted and transferred to the support organization, or a decision is made to suspend or cancel the project. Closing activities confirm custody of the project's products, deliverables, and documentation, including lessons learned for future reference. Additionally, the organizational change manager confirms that the people impacted by the change are demonstrating new behaviors and habits associated with the new processes. In multi-phase projects, these activities may be applied at various project phases, such as upon

a deliverable or phase completion. During the CLOSE and ACHIEVE phase, the sponsor and project manager release the resources committed to the project (such as staff and contractors), address remaining open items (such as open issues and lessons learned), and wind down the project in a way that minimizes risk in this final process phase of the project.[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.

Role	General Expectations	Key Project Role
Sponsor Engaged at the beginning of the project. *See also Agency Engagement Center Sponsor Diagram and its accompanying Sponsor Definitions	Primary project representative Champions the project to the organization	• Defines the problem and proposed solution • Leads Steering Committee • Helps project overcome roadblocks • Supports implementation efforts through championing project outcomes and required business changes
Project Manager Engaged at the beginning of the project.	Manages the project from start to finish, delivering the desired project outcomes.	• Supports sponsor • Provides project management guidance and coordination • Drives project toward completion of desired outcome • Manages time, budget and quality • Raises critical issues for resolution
Organizational Change Manager Engaged at the beginning of the project.	Manages the people side of the project from start to finish, helps to deliver the desired business outcomes.	• Supports sponsor • Provides change management guidance and coordination • Prepares, equips and supports the impacted stakeholders for change • Coaches and supports leaders in preparing their people for change, including methods to manage resistance within their teams
Steering Committee Engaged during INITIATE	Ensures program alignment with strategic goals	• Participates in project lifecycle • Assists sponsor in resolving critical issues • Monitors outcomes to ensure full adoption • 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 • Apprises 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

Role	General Expectations	Key Project Role
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
Consultants and Private Sector Partners Engaged during CONCEPT, 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. In the remainder of this document, templates are indicated in **bold** text.

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. In the remainder of this document, tool kits and tools are indicated in normal text.

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). In the remainder of this document, guidance is indicated in *italicized* text.

Project Phases

Phase 0: CONCEPT

| Concept | Define business drivers and opportunities |
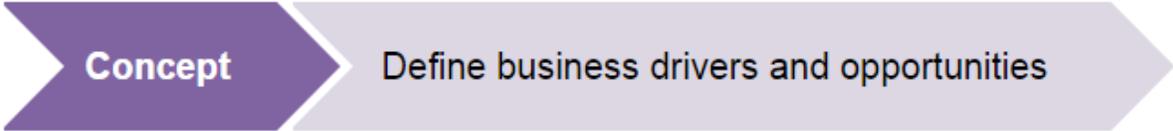
The CONCEPT phase encourages thoughtful work prior to formally initiating a project. This phase helps the sponsor, project manager, and organizational change manager determine the purpose of the project (business case), the scope boundaries, and the risk profile of the project. It also allows the project manager, organizational change manager and sponsor to review lessons learned to determine if the project should be undertaken. This phase identifies the business drivers, problems, opportunities, and objectives the project is intended to address, and shows how the project concept aligns with the strategic direction of the organization, or not. The CONCEPT phase also provides an opportunity to evaluate the sponsoring organization's readiness for undertaking and accepting the project results, and an analysis of possible organizational impacts.

Prior to the commencement of the CONCEPT Phase, potential sponsors, project managers, and organizational change manager are encouraged to review the *General Guidance* related to the Value Management Framework.

| CONCEPT Expectations	Templates, Tools and Guidance	Participants
Validate the concept for a strong foundation and develop a compelling business case. Ensure your organization is ready for change	General Guidance: *The Role of the Sponsor* *Summary Lessons Learned* Organizational Change Management (OCM) Overview: Agency Engagement Center OCM Toolkit Overview Agency Engagement Center Standard Tools Agency Engagement Center use of Prosci Tools CONCEPT Guidance: *Sponsor Checklist CONCEPT* CONCEPT Templates: **Business Case Template** **Project Plan Template** CONCEPT Tools: Project Classification Tool Scope Definition Tool	Sponsor Project Manager Organizational Change Manager

| | OCM Phase 1: Prepare for Change:
Agency Engagement Center Sponsor Diagram
Agency Engagement Center Sample Readiness
Survey Questions

CONCEPT Phase Review (Business Case,
Project Classification)

Note: Additional deliverables may be required by an
agency PMO | |

1. Prepare for initiation discussions regarding the potential project. Sponsors should review the Role of the Sponsor. This publication helps sponsors prepare for their role in a project. Additionally, the sponsor should read the Sponsor Checklist CONCEPT for an outline of activities for this phase.

2. Hold the initial sponsor and project manager/ organizational change manager meeting. During the meeting, the sponsor should discuss with the project manager and organizational change manager, the business objectives of the project and the vision for the project outcomes. With the project manager, discuss any constraints (time or budget) and quality expectations. The vision may be based on business drivers (external or internal) and the strategies that an organization uses in response to these forces. The vision embodies the long-term outcomes that the organization wishes to achieve, and is written to be inspirational and memorable.

3. The sponsor and project manager conduct high level research, generally through outreach to peer organizations, web and literature searches, and third-party research organizations to gain an understanding of how the business problem may have been addressed elsewhere. This research should include market opportunities, the scope and outcomes of like projects, and policy, rule and law review. This helps illustrate potential avenues for resolution and provide some context for the scope, scale, and potential complexity of the proposed project. This preliminary market research 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.

4. The sponsor and project manager complete the business case using the **business case** template and instructions. The business case is a structured proposal that justifies a project for decision makers. It includes an analysis of business process performance and requirements, assumptions, and issues, and presents the risks by explaining strengths, weaknesses, opportunities, and threats. It also may include some of the information from the preliminary market research. 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.

5. The sponsor and project manager discuss and document the project scope. This may be completed via the Scope Definition toolkit or in another format. The scope is used during initiation and planning 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.

6. The sponsor and organizational change manager complete the readiness assessment tool that helps identify and characterize the organizational complexities of the change associated with the proposed project. The results are used to help define the change strategy and plan the change management components of the project.

7. The sponsor and project manager complete the project classification template, which is a self-assessment tool that 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.

8. The sponsor, project manager and organizational change manager review lessons learned guidance for potential pitfalls and resolutions encountered in prior projects. Lessons learned are a repository of knowledge gained during similar projects, showing how project events were addressed or should be addressed in the future. Any identified pertinent lessons learned should be flagged for discussion during the development of risks.

9. 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.

Phase 1: INITIATE
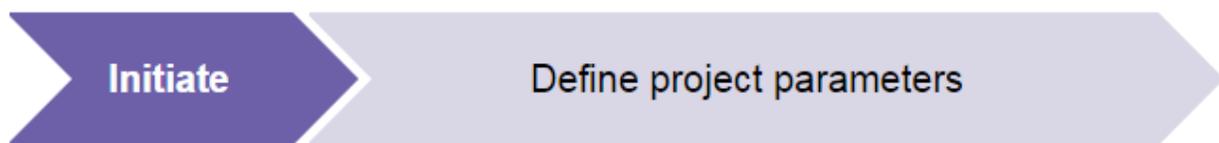
Initiate begins with the identification and establishment of expected project objectives, roles and outcomes. In the Initiate phase, creating a good foundation leads to project success. The project team, sponsor and business organization, and external stakeholders must agree upon a vision of what is being undertaken, and understand what to expect as the project takes shape; as well as achieve clarity on each group's roles and responsibilities. In this phase, the project is formally initiated through the completion of foundational deliverables.

INITIATE Expectations	Templates, Tools, and Guidance	Participants
Effective Sponsorship is the key to success The Business needs drive the projects Stakeholder engagement is a strategic matter	INITIATE Guidance: *Sponsor Checklist INITIATE* *Steering Committee Basics* *Steering Committee Purpose and Role* INITIATE Templates: **Charter Template** **Project Plan (Draft WBS)** **Steering Committee Reference Template (Operating Procedures)** INITIATE Tools: RACI Tool Resource Estimation Toolkit Risk Register Toolkit (including Dependencies and Constraints) Stakeholder Register Toolkit Steering Committee Agenda Toolkit OCM Phase 1: Prepare for Change: Agency Engagement Center Impact Gathering Tool Agency Engagement Center OCM RACI (ARCI) Matrix Agency Engagement Center Sponsor Roadmap Agency Engagement Center OCM Strategy Outline Agency Engagement Center OCM Work Plan Agency Engagement Center Stakeholder Analysis Tool OCM Phase 2: Manage Change: Agency Engagement Center ADKAR Progression **INITIATE Phase Review (Charter, Project Plan, OCM Work Plan)** *Note: Additional deliverables may be required by an agency PMO*	Sponsor Project Manager Organizational Change Manager Steering Team Stakeholder(s) Technical Unit Business Unit Procurement * (optional *)

1. The sponsor and organizational change manager work together to develop the Sponsor Roadmap to guide and plan sponsor actions over the life of the project.

2. The sponsor and project manager form a steering committee. Steering committees may serve as an advisor to the sponsor or serve as the final authority for significant project decisions. 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 and integrated in shaping the overall project approach, and the general size and complexity of the project. Guidance related to selecting and seating the steering committee, as well

as meetings and steering committee operating principles are included in the Steering Committee Guide and steering committee operating principles template. The steering committee operating principles, along with meeting agendas and minutes, should be maintained as part of the project documentation.

3. The project vision statement developed during CONCEPT should be reviewed and discussed with the steering committee to ensure broad acceptance of the project vision. This discussion, any amendments, and final acceptance should be documented and retained in the project repository.

4. The project manager, with the assistance of the sponsor, completes the project charter template which is then approved by the steering committee. 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 charter is maintained in the project documentation.

5. The project manager, with the assistance of the sponsor, creates the RACI matrix which is then reviewed with the steering committee. 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 RACI matrix tool or a similar template can be used to document the RACI.

6. In parallel with the RACI, the organizational change manager completes the OCM RACI (called the ARCI), which focuses on the roles and responsibilities of the change management resources.

7. The project manager and sponsor complete a risk register which is documented in the risk analysis toolkit. The risk register 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 also prepare the risk management plan and mitigation responses to help manage risks and prevent them from becoming issues and to project how the project team will respond if a risk becomes an issue.

   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. The risk register can be created in project management software or the risk register toolkit.

8. The project manager and sponsor also document known dependencies, constraints and assumptions and include these in the project repository. 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. Dependencies can be documented in the corresponding task in the project management software or may be included as added tabs or separate spreadsheets in a format like the risk register.

9. The sponsor and organizational change manager conduct a stakeholder analysis and document stakeholders in the stakeholder register.

10. Using the risk and stakeholder information, as well as other project related documents, the organizational change manager completes the OCM strategy outline and formalizes the OCM 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.

11. The project manager completes resource estimates using either an agency specific template or the resource estimating toolkit. The toolkit workbook contains 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 +-25% 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. The resource estimating toolkit or a similar template should be maintained in the project documentation.

12. 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. The WBS is a depiction of the logical relationship between and among tasks in a project. 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, please import the steps in the template in to the project management tool so that key steps associated with benefits realization are not omitted. Generate and understand the critical path and include a pdf of the plan and critical path in the phase review information.

13. The sponsor approves the required deliverables and the project manager submits the deliverables to agency governance for 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.

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

Phase 2: PLAN

Plan   Identify processes and activities
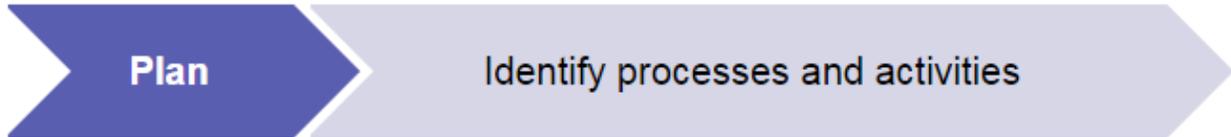
In the PLAN phase, the team designs the selected project. Most of the work performed in PLAN becomes the foundation for implementation and post implementation management and it helps guide successful completion of essential project work. Here, the project team estimates and establishes the scope of work, defines and refines the project objectives, develops the course of actions to attain those objectives, and establishes methods for managing and controlling the project.

PLAN Expectations	Templates, Tools and Guidance	Participants
No matter the size or scope of the project, the schedule is a key component Effective change management requires close attention to an organization's culture Early governance helps set stakeholder expectations Clear performance metrics benefit internal and external parties	PLAN Guidance: *Sponsor Checklist PLAN* *Benefits Dependency Network Diagram Guidance* *Benefits Workbook Guidance* *Determining Your Procurement Method Guidance* *Developing and Using Acceptance Criteria Guidance* *Developing Process Maps Guidance* ***Contracting for Benefits Realization Guidance (In Development)* PLAN Templates: **Implementation and Transition Plan** ****Acquisition Plan/Sourcing Strategy** *(In Development)* PLAN Tools: Acceptance Criteria Toolkit Benefits Dependency Network Tool Benefits Toolkit Business Process Evaluation http://lean.ohio.gov/Resources.aspx Risk Register Toolkit Stakeholder Register Toolkit **Quality Plan *(In Development)*	Sponsor Project Manager Organizational Change Manager Steering Team Stakeholder(s) Technical Unit Business Unit Process Owner(s) Subject Matter Experts* Consultants* optional *

	OCM Phase 1: Prepare for Change: Agency Engagement Center Resistance Management Worksheet Agency Engagement Center Stakeholder Analysis Tool Agency Engagement Center OCM Metrics Tool	
	OCM Phase 2: Manage Change: Agency Engagement Center Communications Matrix Agency Engagement Center Communication Drafting Tool Agency Engagement Center Training Needs Analysis Tool	
	OCM Phase 3: Reinforce Change: Agency Engagement Center Lessons Learned Tool	
	PLAN Phase Review (Acquisition Plan)	
	Note: Additional deliverables may be required by an agency's PMO	

1. During PLAN, the project manager on-boards the project team. A formal kickoff for stakeholders and non-project team participants may be needed if the project is large and/or complex.

2. The first formal step in planning is determining the current state, if it has not already been mapped, to help support design of the desired future state. This is accomplished through a business process reengineering (BPR) evaluation, which documents the current processes and business needs, and identifies where waste, redundancy, and inefficiency may exist. Thereafter, 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. The process diagrams can be attached to the task in the project management software

3. 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. This can be accomplished in tandem with process mapping. 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.

Participants are encouraged to use a benefits dependency network diagram or similar tool, 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. The benefits dependency network diagram is retained in the project repository.

4. The project manager, in consultation with the sponsor outlines the project deliverables and documents 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.

    As a component of deliverables, the project team documents business requirements. Business requirements grow out of the product vision, which in turn, are driven by mission, or business goals and objectives. A business requirement can also 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. Deliverables and requirements are maintained in the project documentation. Additional guidance on business requirements can be found in the Procurement – Contracting for Benefits Realization guidance.

5. The project team, in consultation with the sponsor and key participants and business/process representatives, identify measurable benefits/key performance indicators (KPIs). These are measures of success that may be defined by lower level metrics and are documented in the value register. They will be used to ascertain if the solution is performing as desired. The benefits toolkit or a similar template can be attached to the task in the project management software, or may be submitted with the phase review information.

6. The organizational change manager begins documenting lessons learned using the lessons learned template. 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.

7. The organizational change manager begins to identify and document relevant organizational change management (OCM) metrics to ensure that the leading indicators for people readiness and organizational adoption are achieved. These are documented in the Agency Engagement Center OCM Metrics tool.

8. The change manger also completes the communication matrix, which is revisited at each project phase, and uses the communications drafting tool to begin pre-

positioning communications. The communications matrix 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.

9. The organizational change manager also begins work on resistance management techniques, with the involvement of the sponsor, and documents these in the Resistance Management worksheet. Additionally, 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.

10. Using internal or external resources, the project team and sponsor conduct market research to gather information about potential solutions. 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 and attach the results to the task in the project management software and submit it with the phase review information

11. Once market research has been completed, the project team analyzes alternatives. 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.

12. After the project team, sponsor and steering committee have studied and selected a preferred approach, the project team completes the Acquisition Plan/ Sourcing Strategy, which 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 utilize.

Once the acquisition plan is complete, the team begins to develop the procurement documents (RFx) in accordance with state and agency policy.

13. In conjunction with developing the acquisition plan the project team develops and documents acceptance criteria which are the performance requirements and essential conditions that must be achieved before acceptance of project deliverables. Document the acceptance criteria in a manner consistent with the developing and using acceptance criteria guidance or agency practice.

14. The project team begins work on the Implementation and Transition plan which is updated post-sourcing and during EXECUTE and BUILD.

15. Finally, the project manager begins development of the quality plan which describes how an organization's quality policies will be implemented. The purpose of a quality plan is to define 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. Document the quality plan in a manner consistent with the quality plan guide or apply agency specific requirements if more rigorous.

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

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

17. After the PLAN phase has been reviewed and approved, the project team releases 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.

Phase 3: EXECUTE and BUILD
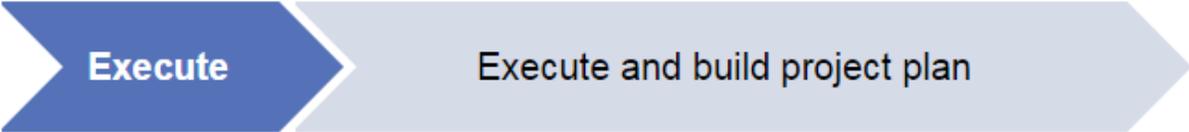
During EXECUTE and BUILD, the solution is designed and built, tested and staged for implementation. The project team executes tasks and generates deliverables described in the project documentation, paying particular attention to the production and quality of team deliverables and ensuring that work is completed with the right level of discipline and rigor to reduce project risk and meet quality standards. Throughout EXECUTE and BUILD the sponsor, business/process owner and project

manager work to ensure continued progress on the removal of barriers to implementation, particularly those related to code, rule, law, etc.

EXECUTE and BUILD Expectations	Templates, Tools and Guidance	Participants
Capture and act upon action items from team meetings Problems don't go away – they only get bigger overtime Testing and Training activities are NOT schedule buffers Communicate, Communicate, Communicate	EXECUTE and BUILD Guidance: *Sponsor Checklist EXECUTE and BUILD* EXECUTE and BUILD Templates: **Solution Go-Live Checklist** *(In Development)* EXECUTE and BUILD Tools: **Test Plan *(In Development)* OCM Phase 3: Reinforce Change: Agency Engagement Center OCM Go-Live Checklist **Execute and Build Phase Review (Go-Live Checklists)** *Note: Other specific deliverables may be required by an agency's PMO*	Sponsor Project Manager Organizational Change Manager Steering Team Stakeholder(s) Technical Unit Business Unit Process Owner(s) Transition Support Lead* Subject Matter Experts* Project Support Staff* Consultants* Solutions Contractors* optional *

1. During EXECUTE and BUILD, the project manager closely monitors the schedule and key milestones. The project schedule is a living document that presents linked activities with planned dates, durations and milestones. The schedule summarizes all the efforts required to implement the project. It includes (generally by reference) the milestones and key activities of the prime contractor and any consultants. The schedule should include dependencies, resources and ultimately a managed critical path. If there is a deviation from schedule performance, the project manager should discuss the reason for the deviation, potential impact and corrective actions with the sponsor and, depending on the severity of the deviation, the steering committee.

   The 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 for expected milestone performance, the project manager should discuss the reason for the deviation, 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.

2. The project manager also monitors 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 for the deviation, potential impact and corrective actions with the sponsor and, depending on the severity of the deviation, the steering committee.

3. The project manager also monitors project quality using the quality plan.

4. As this phase progresses, the project team reviews and updates the implementation plan which 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.

5. The project team develops the test plan. This may be completed in partnership with a contractor, if one has been retained for the project. 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. Document the test plan using the test plan 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.

6. The change management team updates 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. The change management team can document the training plan using the training plan tool or a similar agency template.

7. The project team creates a Solution go-live checklist which 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.

   The organizational change manager also completes the OCM go-live checklist to ensure that the people side of the project is ready for the go-live period.

8. The project team prepares to transition to operations and conducts a transition to operations review. The review provides and documents a comprehensive analysis of all facets 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. The project manager attaches it to the corresponding task in the project management software. 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.

9. The sponsor approves the required deliverables. 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.

10. The project manager submits the materials to agency governance for review. The EXECUTE and BUILD 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.

    At the completion of the EXECUTE and BUILD phase, approval to proceed by agency governance permits "go live" to occur and releases funding for the MONITOR and CONTROL phase.

Phase 4: MONITOR AND CONTROL
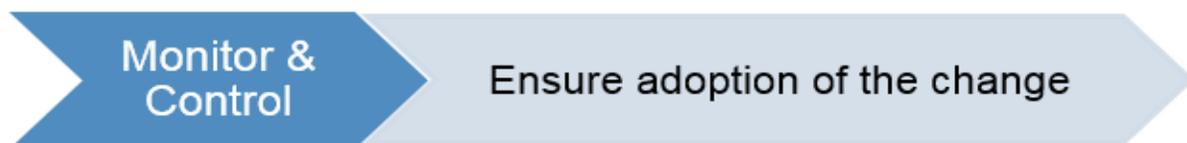
MONITOR and CONTROL tasks involve comparing actual performance with planned performance and applying corrective action to yield the desired outcome when significant differences exist. The solution is adopted by the organization, the process is allowed to stabilize or, if not achieving targets, is modified as needed. Day-to-day project focus transitions to the business and 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.

The implementation plan indicates the expected timing when the full value of the program is to be reached. Monitoring continues until this point and the performance level is stable. Intermediate outcomes may drop off during the process.

MONITOR and CONTROL Expectations	Templates, Tools, and Guidance	Participants
Don't fear change requests – but be prepared to manage them Major changes may also require external approval	MONITOR and CONTROL Guidance: *Sponsor Checklist _ MONITOR, CONTROL, CLOSE and ACHIEVE* MONITOR and CONTROL Templates: **Post Implementation Evaluation** *(In Development)* MONITOR and CONTROL Tools: ***Knowledge Transfer (In Development)* OCM Phase 3: Reinforce Change: Agency Engagement Center Lessons Learned Tool Agency Engagement Center Post Implementation Satisfaction Survey Agency Engagement Center Post Implementation Scorecard **MONITOR and CONTROL Phase Review (Post Implementation Evaluation)** *Note: Other specific deliverables may be required in an agency PMO*	Sponsor Project Manager Organizational Change Manager Steering Team Stakeholder(s) Technical Unit Business Unit Process Owner(s) Transition Support Lead* Subject Matter Experts* Project Support Staff* Consultants* Solutions Contractors* optional *

1. After "go live", the project team and steering committees continue to meet and perform their tasks and duties. The sponsor may need to call upon the steering committee or sponsor coalition to help achieve project objectives.

2. The project team, business unit and sponsor monitor the KPI scorecard from the Benefits Toolkit (planed vs. actual benefits). The original project benefits and desired targets are compared to actual performance. 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 sponsor should review performance on a regular basis with the steering committee so that, if needed, implementation plans can be adjusted to improve outcomes.

The scorecard is a tool used to measure and track success in achieving an organization's goals. Key performance indicator targets provide data to assist the organization 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 project manager reviews KPIs with the sponsor and submits KPI data on at least a quarterly basis to agency governance in the agreed-upon format.

3. The project manager schedules a walk-through/cleanup of all remaining issues and risks related to the EXECUTE and BUILD phase.

   During this step, 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 and retained in the project record. Document the walk-through/cleanup in a manner consistent with the walk-through/cleanup guidance.

4. The project team documents 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. Document the knowledge transfer in a manner consistent with the knowledge transfer guidance and save the results in the project documentation.

5. The organizational change manager conducts the post implementation satisfaction survey. 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.

6. The organizational change manager monitors and updates the post implementation OCM scorecard to track the effectiveness of OCM efforts and calibrate change management activities in the post-implementation period.

7. The project manager, organizational change manager and sponsor participate in a post implementation 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. Save the post implementation evaluation template in the project documentation.

8. The sponsor approves the post implementation evaluation and the project manager submits the materials to agency governance for 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.

   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

Close & Achieve → Release resources and document results
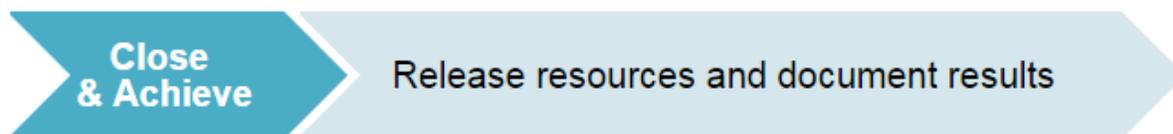
During CLOSE and ACHIEVE the product is accepted and transferred to the support organization, or a decision has been made to suspend or cancel the project. This phase also provides the opportunity to assess the project and develop lessons learned and recommended practices to be applied to future projects. 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. Key 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. The completion of CLOSE and ACHIEVE phase activities signifies the formal ending of all project work.

CLOSE and ACHIEVE Expectations	Templates, Tools, and Guidance	Participants
Team recognition is a must Take lessons learned seriously	<u>CLOSE and ACHIEVE Guidance:</u> *Sponsor Checklist _ MONITOR, CONTROL, CLOSE and ACHIEVE* **<u>Close Phase Review (Lessons Learned, most recent KPI report)</u>** *Note: Additional deliverables may be required by an agency's PMO*	Sponsor Project Manager Organizational Change Manager Steering Team Stakeholder(s) Process Owner(s) Transition Support Lead* optional*

1. The project manager, organizational change manager, and sponsor 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.

2. The project team also documents potential future enhancements, or changes made to bring expected future performance of the project in line with the project plan. Document potential future enhancements in a Word document and attach it to the project documentation.

3. The project manager archives all documentation in a secure, long-term repository of data, documents, configuration or other information. 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.

4. 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.