

RFQ 1702

ENTERPRISE CLIENT INFORMATION AND

REGISTRATION TRACKING SYSTEM

(ECIRTS) ANALYSIS

PROJECT MANAGEMENT PLAN

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SECTION 1 EXECUTIVE SUMMARY

1.1 DOEA BACKGROUND

Florida has more than 5.2 million elders age 60 and above which ranks first in the nation in the percentage of its citizens who are elders and will continue to do so for the near future. Currently, elders make up 24% of the state's population, and this is expected to grow to 35% by 2030. There are more than 1.7 million Floridians age 75 and older, and the population group 100 and older is Florida's fastest growing age group by percentage. Florida has more elders living within its borders than the populations of 17 other states and the District of Columbia combined. Florida's future is linked to the financial, health, and physical security of its elder population.

The Department provides most services through its Division of Statewide Community-Based Services, which works through the state's eleven Area Agencies on Aging and local service providers to deliver essential services to a vital segment of the population. The Department also directly administers a wide range of programs, ranging from the Long-Term Care Ombudsman Program, Office of Public and Professional Guardians, Communities for a Lifetime to SHINE (Serving Health Insurance Needs of Elders), and CARES (Comprehensive Assessment and Review for Long-Term Care Services).

The Department recognizes individuals age differently, and therefore the state's residents do not each need the same kind of care or services as others the same age. Some individuals may suffer from chronic conditions that began long before they reached age 60, while others may be able to live their entire lives without ever needing long-term medical or social services. One of the Department's highest priorities is reducing the need for many elders to be placed in nursing homes and other long-term care facilities.

Ultimately, the goal is to efficiently use resources to ensure that the greatest number of elders possible get to spend their golden years living healthy, active, and fulfilling lives in their communities.

1.2 PROJECT OVERVIEW

The current technology used by DOEA to provide services, including determining medical eligibility of the State's elderly population for cost effective home and community-based services, is the antiquated legacy Client Information and Registration Tracking System (CIRTS). CIRTS is a 25+ year old system using an obsolete and no longer supported technology. This impact of continuing to utilize older technology is reduced stability, dependability, extensibility, and supportability of DOEA's most critical application. Additionally, years of extensive programmatic changes have resulted in conflicting modifications and workarounds in code, creation of additional external databases, and paper-based processes severely convoluting the work flow, data management, and security processes. This has resulted in significant inefficiencies in the system and thereby reduces employee efficiency and productivity.

The overall purpose of the eCIRTS project is to optimize business processes and align the optimized process with the best value technology solution available in the market to support DOEA's drive for increased efficiency.

SECTION 2 ABOUT THIS DOCUMENT

The Project Management Plan describes the Background, Objectives, Scope, Project Management Approach, Key Deliverables, Assumptions, Governance Structure, and a framework for Risk Management associated with the project. This document has been tailored for this project using standards from “A Guide to the Project Management Body of Knowledge (PMBOK® Guide)” published by the Project Management Institute (PMI).

2.1 WHO SHOULD USE THIS DOCUMENT?

The Enterprise Client Information and Registration Tracking System (eCIRTS) project teams and project stakeholders involved in the project should use this document for guidance on project procedures and processes.

2.2 RELATED DOCUMENTS

This document should be used in conjunction with the following Project Documents:

- Project Charter
- Project Contract
- Project Statement of Work (SOW)
- Microsoft Project Schedule/Timeline

2.3 DISTRIBUTION

This document shall be distributed to all project staff (including Vendor Team members) and any other personnel and stakeholders as required. Notifications of changes to this document will be circulated per the current project management process.

2.4 ASSUMPTIONS

The following assumptions are identified:

- There is executive sponsorship and business functional sponsorship as well as commitment from DOEA to apply department resources to meet the goals and objectives of the project;
- The project is the top Information Technology initiative for DOEA;
- The project team members and all Stakeholders recognize time is of the essence and will prioritize their participation accordingly;
- The project stakeholders will coordinate the availability of appropriate staff for consultation during the project, as required;
- The project stakeholders will ensure staff participating in meetings on the divisions and business units' behalf have the requisite knowledge and will be given the authority to make decisions;
- The DOEA Project Manager will coordinate the availability of external stakeholders (other Agencies, oversight groups, etc.) for consultation during the project, as required;
- The DOEA Project Manager will coordinate all meetings with internal and external stakeholders and the Vendor Project Manager as requested and as deemed necessary during the project;
- The DOEA Project Manager will coordinate with the Vendor Project Manager to ensure project goals, deliverables, and requirements are met within timelines established for this project;

- The DOEA Project Manager will inform the Vendor Project Manager in a timely manner of critical linked and adjacent systems and activities that may impact the SOW, project plan, and deliverables;
- The DOEA Project Manager will provide access to all relevant information, documentation, and reports within the scope of analysis;
- The DOEA Project Manager will help facilitate timely access to data and resources as appropriate; and
- The DOEA Project Manager will review project progress reports and deliverables to provide feedback and final approval/disapproval to the vendor per a mutually agreed document review process.

2.5 CONSTRAINTS

- There is limited budget for this project; and
- There is limited staff availability for this project as the project is cross matrixed;

2.6 TERMS AND ACRONYMS

A list of acronyms and terms referenced throughout the document can be found in the *Project Glossary of Terms and Abbreviations* document, attached as Appendix A.

SECTION 3 PROJECT GOVERNANCE AND ORGANIZATION

The following table is a description of the project roles and responsibilities:

Role Name	Description	Participant(s)
Project Champion	<ul style="list-style-type: none"> Champions the Project; Provides guidance on overall scope and project direction; Assures adequate business resources for project work activities; Is the ultimate decision maker for those items brought before the steering committee; and Facilitates communications with the other Agency management. 	Richard Prudom, Deputy Secretary and Chief of Staff
Project Sponsor	<ul style="list-style-type: none"> Provides guidance on overall scope and project direction; Assures adequate business resources for project work activities; Acts as a member of the Project Steering Committee; Has ultimate responsibility for successful completion of the Project; and Facilitates communications with the other Agency management. 	Jon Manalo, Chief Financial Officer
Business Functional Sponsor	<ul style="list-style-type: none"> Has responsibility for the successful completion of the Project; Has project-related decision-making authority; Oversees the execution of the Project; Acts as a member of the Project Steering Committee; Acts as a point of escalation for project-related issues; Provides adequate business resources for project work activities; and Reports status and issues to the Project Sponsor. 	Madeleine Nobles, Division Director of Statewide Community-Based Services
Business Functional SMEs	<ul style="list-style-type: none"> Reports to the Business Functional Sponsor; and Provides subject matter expertise in support of the execution of the project. 	CARES Staff ADRC Staff
Contract Manager	<ul style="list-style-type: none"> Controls project budget; Acts as a member of the Project Steering Committee; Acts as the primary point of contact for contractual issues with the Vendor; Enforces the performance of the contract; and Mediates contract disputes. 	Shandra McGlohon
eCIRTS DOEA Project Manager	<ul style="list-style-type: none"> Reports to the Project Sponsor; Has day-to-day responsibility for the successful completion of the Project; Oversees the work of the Project Teams; Oversees the work of the Vendor; Acts as a member of the Project Steering Committee; Acts as a liaison with the Project Director; and Acts as a point of escalation for project-related issues. 	TBD
Project Management Office Team	<ul style="list-style-type: none"> Report to the DOEA PMO; and Provide subject matter expertise in support of the execution of the project. 	TBD

Chief Information Officer	<ul style="list-style-type: none"> ▪ Reports to the Project Sponsor; ▪ Has day-to-day responsibility provide the technical support for the successful completion of the Project; ▪ Acts as a member of the Project Steering Committee; and ▪ Acts as a point of escalation for project-related issues. 	Steve Grantham
Information Technology Team	<ul style="list-style-type: none"> ▪ Report to the DOEA Project Manager; and ▪ Provides subject matter expertise in support of the execution of the project. 	Ken Roberts – Application Development Manager Kun Chen – Database Administrator
Vendor Project Manager	<ul style="list-style-type: none"> ▪ Has day-to-day responsibility for the successful completion of the Project; ▪ Oversees the work of the Project Teams; ▪ Acts as a point of escalation for project-related issues for the vendor. 	TBD
Vendor Project Team	<ul style="list-style-type: none"> ▪ Responsible for the development of the deliverable(s) in collaboration with the DOEA staff and other key stakeholders. 	TBD
Agency for State Technology (AST)/IV&V	<ul style="list-style-type: none"> ▪ Responsible for setting standards for management of the eCIRTS project and for providing oversight of the project. 	TBD
External Stakeholders	<ul style="list-style-type: none"> ▪ Provides subject matter expertise in support of the execution of the project. 	TBD
Legislature	<ul style="list-style-type: none"> ▪ Provides oversight and budget approval in support of the Project 	TBD

Table 1: Project Governance – Roles and Responsibilities

The Exhibit below represents the eCIRTS Project Organization Chart:

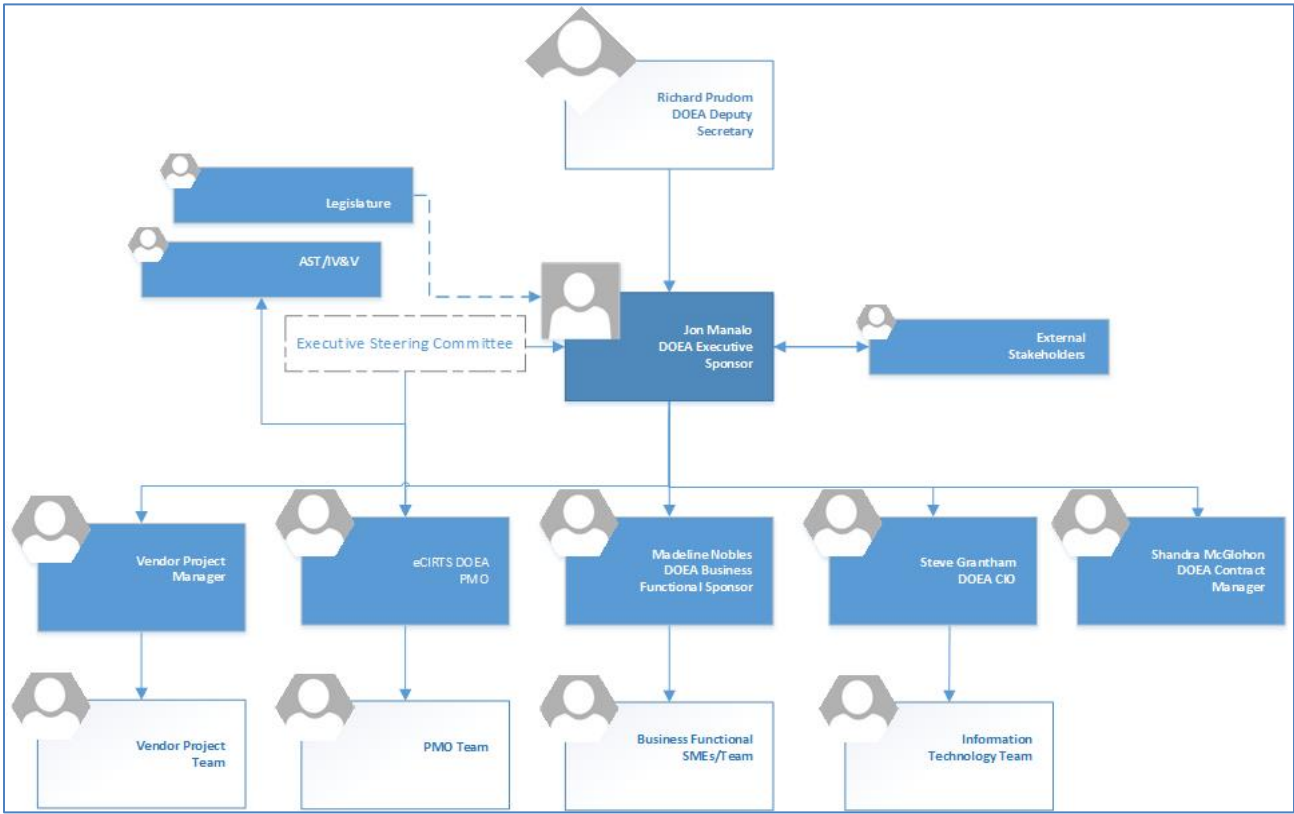


Exhibit 1: eCIRTS Project Organization Chart

SECTION 4 STAFFING PLAN

4.1 HUMAN RESOURCE/STAFF MANAGEMENT

The Human Resource Management Plan defines how the PMO will plan, develop, and manage the resources staffed to support the Project. The Human Resource Management Plan is used in conjunction with the On-boarding Process).

The eCIRTS Human Resource (HR) Management Plan describes the staffing processes and procedures to be followed during the Project to plan for and control project staffing for the remaining effort of the eCIRTS Project including procurement, planning, design, development, implementation and ongoing operations and maintenance.

Each section below provides managers with key information to make informed staffing decisions.

The HR Management Plan (as part of the PMP) is reviewed and updated prior to the beginning of each release as scheduled in the Master Project Schedule (MPS) during the execution of this project.

4.2 ROLES AND RESPONSIBILITIES

The table below describes the resource management roles and associated responsibilities.

ROLE	RESPONSIBILITIES
DOEA Project Manager	<ul style="list-style-type: none">▪ Manages the staffing process as defined in this document;▪ Defines and request staffing budget;▪ Directs the Project Managers to perform the individual tasks necessary to manage the project staff successfully; and▪ Reviews and approves/rejects staffing requests.
Project Managers (Department and Vendors)	<ul style="list-style-type: none">▪ Identifies resource needs;▪ Identifies resource training needs;▪ Obtains resources;▪ Allocates and releases resources; and▪ Complies with laws and department HR policies.
IT Governance Team	<ul style="list-style-type: none">▪ Ensures major staffing issues are resolved and major staffing risks are mitigated in a timely fashion.
eCIRTS PMO	<ul style="list-style-type: none">▪ On-boards and trains DOEA and vendor project staff;▪ De-commits DOEA and vendor staff;▪ Provides project communications for project staff (department and vendor);▪ Assists in identifying project resource needs;▪ Conducts workshops to assist work stream Leads in assigning resource allocation for schedule tasks, as needed;▪ Provides mentoring and technical support to the Vendor Schedule Coordinators;▪ Reviews Vendor Staffing Reports against resource assignments in Master Project Schedule; and▪ Analyzes resource allocations and identify assignment over-allocations.

Table 2: Human Resource Management Roles and Responsibilities

4.3 HUMAN RESOURCE MANAGEMENT PROCESS

The Human Resource Management process provides the direction to coordinate and manage the personnel assigned to perform the work for the Project. Managing Project staff entails Project leadership providing human resources with direction, guidance, and support while the team performs their work with a clear goal of meeting the Project's objectives. Following a defined human resources management strategy provides more effective communications, improved staff performance, increased quality levels in work products, and increased control of schedule and budget performance. This section addresses the components of the Human Resource Management Lifecycle as depicted in the exhibit below including:

- Determining how the team allocates human resources to the project;
- Defining the procedures for on-boarding and de-committing human resources; and
- Providing support for handling resource-related issues, such as team development.



Exhibit 1: Human Resource Management Lifecycle

4.3.1 PLAN HUMAN RESOURCES

Planning for human resources is performed by considering the roles and skill sets needed to complete work packages. DOEA, eCIRTS PMO, and Vendor Project Managers use the Work Breakdown Structure (WBS), the Staffing Report (i.e., personnel roster) and the resource requirements to identify the resources and roles required during the project initiation phase as defined during the finalize schedule development process (see Schedule Management Plan for more details).

Each vendor on the Project will provide initial project schedules to perform their scope of work that will be incorporated into the Master Project Schedule. In addition, the vendors and DOEA will provide a Staffing Report that will include personnel assigned to the Project that will serve as the roster for onboarding and roll-off of Project personnel throughout the life of the Project.

The Schedule Management Plan defines the process for creating and updating the MPS for the eCIRTS Project. To create the schedule, the Project Management Team started by creating a detailed WBS. The staffing reports use the WBS and schedule as a foundation to determine the types and parameters of resources needed to complete the Project. Resource requirements were determined from an analysis of project activities and the assumptions made when estimating activity definitions, duration, and cost. The resource requirements include DOEA staff, consulting services, vendors, and any other personnel.

Each task contained in the MPS must have resources assigned. Each task can have multiple resources assigned, depending on the requirements needed to complete the task. Task resource needs are defined in the work streams through the rolling wave process and recorded in the MPS. Additionally, as new tasks are identified, they require resource assignments before being recorded into the MPS.

4.3.2 ACQUIRE HUMAN RESOURCES

It is the responsibility of DOEA and vendors to acquire the appropriate staff to perform the scope of services outlined in the contract(s) to meet the project objectives. The vendors are responsible for hiring and training staff for the project to meet the contractual obligations for all staff to complete the work outlined in their contract scope of services.

The eCIRTS PMO and the Project Managers will work together to identify and acquire an appropriate mix of human resources for the project using the Human Resources Management process; organizational charts; resource availability, experience, and skill level; and job descriptions.

Human resource acquisition will occur throughout the project's lifecycle, with human resources onboarding at various times. A core team will start at the beginning of the project while others will be brought on just prior to the start of work. Additionally, new resources may be brought in to replace existing human resources. Vendor Project Managers must provide resumes and obtain approval for human resource changes with both the eCIRTS PMO and DOEA.

The Staffing Reports submitted monthly to the DOEA eCIRTS Project Manager will contain project resources including staff role, and planned start and roll-off dates. Additional details and a sample Staffing Report can be found in the Schedule Management Plan. The Staffing Report will be maintained on the Project SharePoint site.

Due to the nature of long projects, not all resources will be known, named individuals at the start of the project. A rolling wave process will be used to identify named resources within the six-month period for team or role placeholders that are provided in the MPS. The initial Staffing Report may include roles without named individuals for downstream phases of the Project. Monitoring of the Staffing Report will be conducted monthly to identify any resource issues or risks raised because of variances in the staffing actuals versus forecast for staff.

Each week, the Schedule Coordinators will be providing their status updates to their team's tasks (current and future tasks). The status updates include any resource assignment or utilization changes to be reflected in the MPS. The MPS will be the single repository for all project tasks and assignments containing planned (forecast) and actual information for tasks and resource assignments.

4.3.3 MANAGE HUMAN RESOURCES

The transition of team members from one role to another, into operational and maintenance activities, or out of the Project, may take place throughout the duration of the Project. Team members will work closely with experienced DOEA staff and vendor staff to gain as much practical knowledge as possible. The eCIRTS Project Team must manage transition activities to ensure the proper transfer of responsibility and knowledge.

The appropriate DOEA, or vendor, project manager is responsible for ensuring any pending work from a departing resource is transferred to a remaining staff member to ensure timely transition and completion of the work. If appropriate, the receiving staff may request additional training to support the new responsibilities. An appropriate transition period must be developed for the departing resource.

The Project Schedule Manager will be notified of upcoming departures or arrivals of new resources through the Staffing Report identifying resources (at least by roles) for the Project. Each new resource will be on-boarded and oriented to the Project by the eCIRTS PMO as described in the on-boarding documentation located in the Project SharePoint site. This documentation includes the on-boarding for Vendor Key Named Staff.

SECTION 5 ORGANIZATIONAL CHANGE MANAGEMENT PLAN

Effective Organizational Change Management (OCM) will be integral to the success of this project, and will be a critical success factor for ensuring staff participation in business process improvement, implementation, and user acceptance. Significant organizational change is expected as a result of automating existing manual processes. Throughout the DOEA eCIRTS Implementation Phase, OCM will be effectively implemented through communication, awareness, and training.

DOEA will adhere to the standards of the PMO for Organizational Change Management. An OCM strategy will be identified as detailed Organizational Change Management and Workforce Transition Plans are developed as a part of the FY 17-18 Pre-DDI project.

At a minimum, the following will be included in the final Organizational Change Management Plan:

- Description of roles, responsibilities, and communication between vendor and customer;
- To-be process maps including a role-oriented flowchart (swim lane view) of the organization;
- Skill/Role gap analysis between the existing system and the proposed system;
- Training plan including platform (classroom, CBT, etc.), schedule, and curriculum; and
- OCM Communication Plan.

The following key roles will have varying degrees of responsibility for executing the change management plan and delivering a consistent, positive message about change throughout the life of the project:

- Organizational Change Manager (a member of the project management team dedicated to OCM)
- DOEA and Vendor Project Manager
- DOEA Project Sponsor
- DOEA Executive Management

SECTION 6 RISK MANAGEMENT PLAN

6.1 RISK OVERVIEW

A project risk is defined by PMI as an uncertain event or condition that, if it occurs, may have a positive or negative effect on a project's objectives. Risk management is an ongoing process that is conducted throughout the life of the project. The process begins with identifying, assessing, and developing response plans for significant risks. It continues with regular risk monitoring, ongoing identification of new risks, and timely implementation of mitigation plans.

This Risk Management Process addresses identified risks that require visibility at the highest levels of the project and will be managed by the combined Project Management teams of the Vendor and DOEA.

The project team is using a straightforward method that includes the following process steps:

- Identify: Identifying and categorizing project risks;
- Analyze: Assessing and prioritizing the risks;
- Plan: Developing a response strategy and assigning responsibility, so they are manageable;
- Track: Tracking the risks by reviewing them at key project milestones;
- Control: Implementing the defined response strategies as required; and
- Communication: Communicating the risks and strategies on an ongoing basis throughout the life of the project.

Risk management processes address internal risks (those under the control or influence of the project team, such as quality of deliverables, cost, schedule, or technical risks) as well as external risks (those outside the control of the project team such as governmental legislation, weather events, etc.).

6.2 ROLES AND RESPONSIBILITIES

The roles and responsibilities relating to Risk Management are presented in the table below:

Team Role	Team Responsibilities
Risk Originator (anyone)	Identifies risk
Risk Coordinator (PMO)	Validates and registers risk in Risk Log, closes risk
Risk Management Team (RMT) (The DOE and Vendor Project Management teams or designees)	Performs risk analysis, approves risk response plans, monitors risk and approves closure of risk
Risk Owner (Assigned by Risk Management Team)	Formulates and executes risk response plan

Table 3: Risk Management Roles and Responsibilities

6.3 RISK PROCESS

The Exhibit below is a graphical representation of the risk management workflow. The exhibit depicts the various processes a risk will proceed through during risk management as well as the identification of the individual or team responsible for the process step.

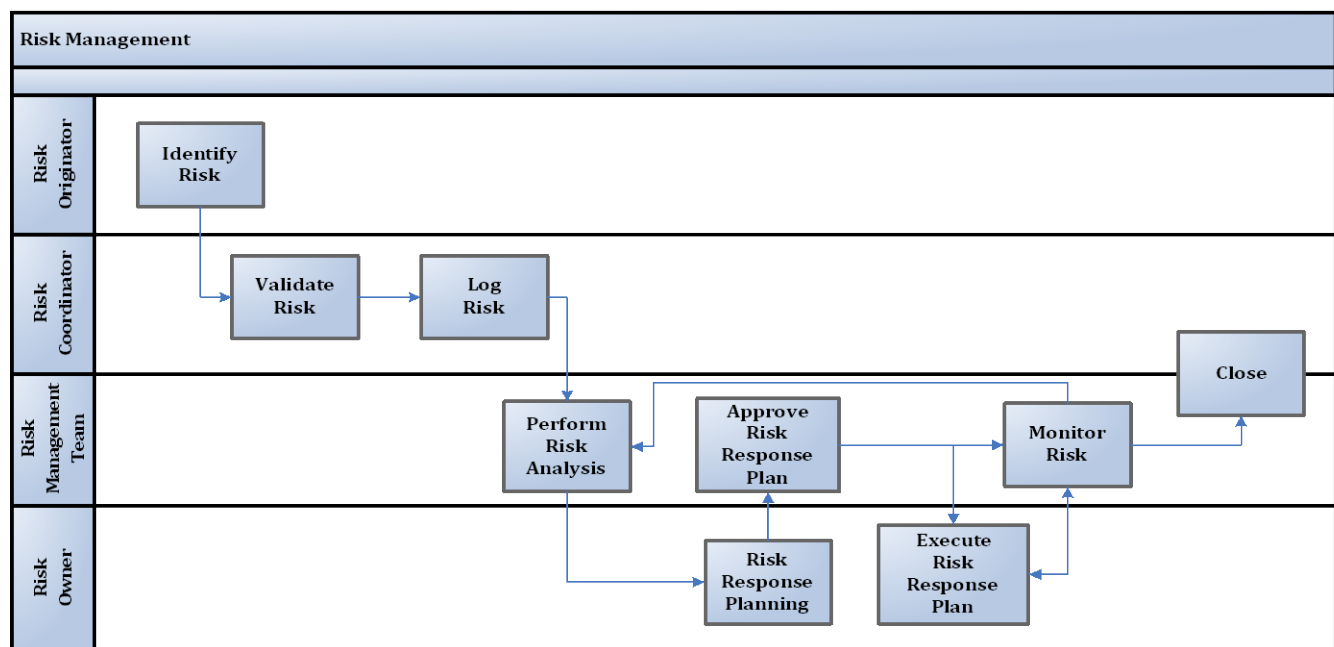


Exhibit 3: Risk Management High-Level Workflow

As depicted above, the Risk Coordinator first validates an identified risk to make sure the information is complete and that the risk is not a duplicate. Once verified the risk information is logged into the Risk Log and given a unique identifier. The RMT conducts the risk qualitative analysis to determine the risk probability and impact.

Next the risk tolerance ranking is determined based on probability and impact. An appropriate level of response planning will be defined by the RMT and the assigned Risk Owner will develop the risk response plan.

Approved response/mitigation plans will be put into execution and monitored to completion. Risks will eventually be closed, either because they have passed their triggering event and no longer pose a threat to the project or the risk has occurred causing the risk contingency plan to be triggered, resulting in the mitigation of the risk or the risk being moved to any issue.

The project risk management process will consist of the following key activities:

Activity	Approach	Purpose
Identify risks	Create a list of project risks; gather risks from stakeholders using brainstorming, predefined lists, and/or completion of risk identification questionnaires.	Makes known project risks explicit before they become problems; helps to set expectations and provide a vehicle for reaching consensus – unknown risks cannot be managed.
Analyze risks	Determine the consequence of risks listed and calculate the risk tolerance.	Transforms the risk data into decision making information.
Plan	Determine desired risk strategies and actions, and assign responsibility.	Translates the risk information into strategies and mitigation actions.
Track	Review and re-examine risks when project situation changes or key milestones are achieved.	Monitors risk indicators and mitigation actions.
Control	Implement planned actions when risk indicators manifest; determine mitigation effectiveness for continuous improvement.	Corrects and ensures implementation of mitigation actions as required.
Communicate	Discuss and review project risks and plans in project status, or other scheduled meetings, when the project situation changes or key milestones are achieved.	Enables sharing of critical information throughout the project.

Table 4: Risk Management Activities

6.4 RISK IDENTIFICATION

The risk identification process involves determining which risks might affect the project and documenting their characteristics. The following sections detail the approach used for risk identification. It includes:

- Techniques for Risk Identification
- Categorizing Risks
- Capturing Identified Risks

6.4.1 TECHNIQUES FOR RISK IDENTIFICATION

There are several techniques used to identify project risks. Risk identification is the process by which the perception of a potential problem is translated into recorded information containing sufficient detail to enable effective assessment of the risk and to support subsequent management decisions.

Risks can be identified at every level of the organization. All team members and stakeholders should be able to recognize risks during their daily work and should bring potential risks to the attention of their team leaders or managers as they identify them. Risks may also gain visibility in project reviews with managers or executives, at meetings held with co-workers, or during interactions with stakeholders.

The techniques used to identify risks using the approaches defined above include:

- **Information Gathering** - Both structured and unstructured approaches are used to gather project risks and a Risk Identification Form will be completed if it is determined a risk should be logged.
 - **Structured** - The Risk Log is reviewed during the project status meetings to assess project risks. Members will consider risks identified. Monthly, the RAIDL Log is reviewed to ascertain whether any existing risks should be revised or new risks identified because of changes in the project or related events.
 - **Unstructured** - Project risks are solicited during project meetings, interviews, and workgroups. Identified risks will be brought to the attention of the RMT for consideration.
- **Documentation Reviews** - Individual RMT members gather project information from other relevant project documents and artifacts as well as other internal and external risk assessments to help identify risks.
- **Assumption Analysis** - Risks are identified as the RMT members assess the validity of assumptions made in project deliverables and other project documentation, from an accuracy, consistency, or completeness perspective.

6.4.2 CATEGORIZING RISKS

Project risks are grouped into categories, assigned ownership, and analyzed for implementation of common mitigation approaches across the project risks, as appropriate. If a risk spans multiple categories, it is categorized based on the area of primary impact.

6.4.3 RISK ANALYSIS

Once project risks and opportunities have been identified, an analysis will be performed to determine relative priorities and to develop a prioritized risk list for planning the appropriate level of response to the risks.

A qualitative analysis will be performed on each risk. After an initial prioritization, a decision will be made by DOE and vendor PMO teams on whether the risk warrants more detailed analysis using quantitative techniques to further assess the probability and potential impact of the risk event on the project objectives.

A probability value is determined using the likelihood of occurrence, based on analysis by the project management team (PMT). The following table describes the Risk Probability Values.

PROBABILITY	LIKELIHOOD OF OCCURRING
1- Low	Unlikely
3- Medium	Likely
5- High	Very Likely

Table 5: Risk Probability Values

An impact value is determined using the guidelines below, based on analysis by the PMT. The table below provides an overview of the Risk Impact Values.

IMPACT	DIMENSIONS TO CONSIDER			
	COST	SCHEDULE	SCOPE	QUALITY
1- Low	Little (<10%) to no impact on Project cost	No or little impact to project schedule	Minor clarification to existing scope	Project quality is not jeopardized
3- Medium	Impact to project costs is less than 20%	Schedule impact is possible	Scope change is noticeable, but not deemed significant	Impact to project quality possible
5- High	Impact to project costs is greater than 20%	Schedule and deliverable due dates will be impacted	Scope change is deemed significant	Impact to project quality very likely

Table 6: Risk Impact Values

A Risk Rating is determined by multiplying the probability score by the impact score. The table below provides the products of this exercise for each probability/impact combination:

RISK SCORE		PROBABILITY		
		1- LOW	3- MEDIUM	5- HIGH
IMPACT	1- Low	1	3	5
	3- Medium	3	9	15
	5- High	5	15	25

Table 7: Risk Rating Scores (Probability x Impact)

6.4.4 RISK LOG

Project risks are captured using the Risk Log (a component of the RAIDL log) as a collaborative effort between the DOEA and Vendor Project Management teams. The electronic version of this document is maintained by the PMO/Risk Coordinator and is stored in the DOEA SharePoint site. Once the risk is entered into the Log, a unique identifier (Risk item #) is assigned. The Risk Coordinator is responsible for maintaining the Risk Log. Below is a sample of the Risk Log Tab from the Risk, Action Items, Issues, Decisions and Lessons Learned (RAIDL) Log showing the various data elements involved in the process.

RISK LOG									Legend: New: ■ Decreasing: ■ Increasing: ■ Closed: ■		
Definition: A RISK is a potential issue that MAY negatively impact the project timeliness, quality, resources or budget at some point in the future.									Link To Other Project Logs		
Item#	Risk Description	Category	Probability	Impacted Area(s)	Identified By	Status	Owner	Risk Response/Mitigation Plan	Issue Log #	Action Log #	Decision Log #
1											
2											
3											
4											
5											
6											
7											
8											
9											
10											
11											

Exhibit 4: RAIDL - Risk Log Tab

Legend:

- **Item #** - unique sequence number assigned to each risk identified.
- **Risk Description** – narrative of the nature of the risk and potential negative impacts.
- **Category** - used for any other type of categorization, such as internal vs. external, or confidential vs. non-confidential; provides a way to logically group certain risks.
- **Probability** – assessment of the likelihood of the risk to happen.
- **Potential Impact** – assessment of the extent of negative impacts.
- **Impacted Area** – the project aspects that will suffer the negative impacts of the occurrence of the risk, e.g., Schedule, Cost, Quality.
- **Status** – an indicator of the stage at which the risk is being addressed.
- **Identified by** – name of team member that identified the risk.
- **Owner** – name of the team member that is responsible for planning and implementing responses to the risk.
- **Risk Response/Mitigation Plan** – a narrative of the strategies identified to address the risk.
- **Linkage to Other Logs** – traceability references to related items in the Issue, Action, and Decision Logs.

The Risk Log is stored in the eCIRTS SharePoint project repository and access can be made available upon authorized request.

SECTION 7 ISSUE/ACTION ITEM/DECISION MANAGEMENT PLAN

7.1 ISSUE OVERVIEW

Disciplined management of Issues enables a project team to effectively resolve the issues in a timely manner to keep the project on track. A formal Issue Management process provide the mechanism throughout the life cycle of the project to bring issues, action items, and decisions to timely resolution.

Issue - An ISSUE is an existing constraint that is negatively impacting project timeliness, quality, resources, or budget at some point in the future. Issues requiring attention from another level or area within the project governance structure will be subject to the formal issue escalation process.

7.1.1 ISSUE MANAGEMENT ROLES AND RESPONSIBILITIES

The roles and responsibilities relating to Issues/Action Items Management are presented in the table below:

Team Role	Issue and Action Item Responsibilities
Business Functional Sponsor	<p>The Project Business Functional Sponsor has overall responsibility for all the project areas including the management of issues and action items.</p> <ul style="list-style-type: none">▪ Make decisions to resolve issues or escalate to the Project Sponsor
Project Manager	<p>The Project Manager responsibilities include:</p> <ul style="list-style-type: none">▪ Ownership of Issue Tracking Logs in the RAIDL;▪ Monitoring and management of open issues;▪ Chairing Issue Coordination Meetings updating status as required;▪ Including issues status within the Project Status Report; and▪ Reviewing issues to prevent duplication.
Issue Originator	<p>Anyone can originate an issue. Responsibilities include:</p> <ul style="list-style-type: none">▪ Identifying an issue requiring resolution;▪ Logging issues identified during the project;▪ Defining the issue further as required; and▪ Reviewing and approving action plan/resolution to ensure issue as originally defined will be resolved.
Issue/Action Item Assignee	<p>The Assignee's responsibilities include:</p> <ul style="list-style-type: none">▪ Participating in discussions with the Issue Originator to fully understand the issue or action item;▪ Researching and drafting the Action plan/resolution; and▪ Driving the issue to resolution and closure.

Table 8: Issue Roles and Responsibilities

7.1.2 ISSUES/ACTION ITEM PROCESS

The first step in creating an effective Issue Management process is defining how the process should work. The Issue high-level workflow process depicted in the Exhibit below shows the various stages of the Issue management process:

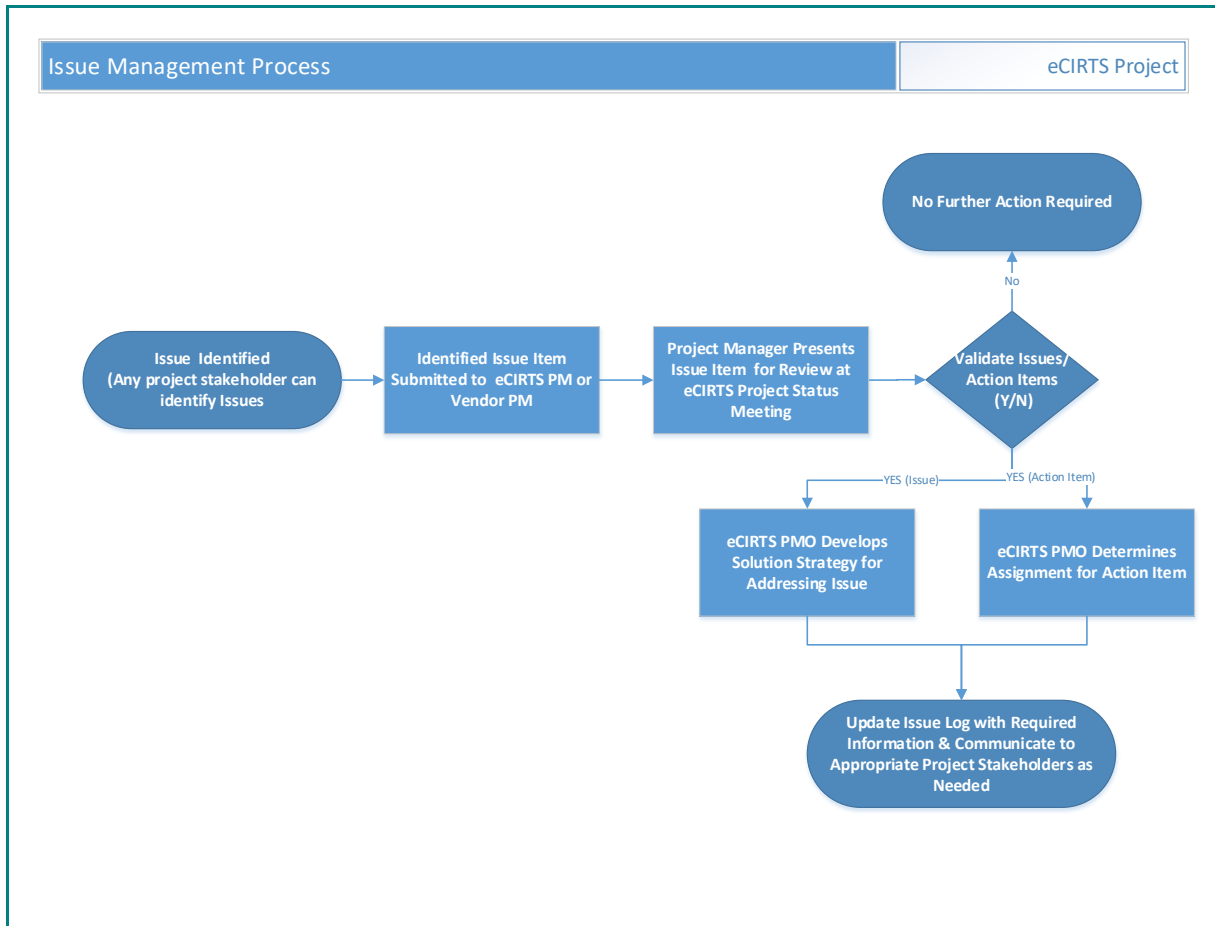


Exhibit 5: Issue Item Management Process

7.1.3 ISSUE ESCALATION PROCESS

Project issues unable to be resolved within a reasonable timeframe or deemed to cause project delay will need to be escalated to the next level in the governance structure. Exhausting all options for resolution at the current level can also be considered a reason to escalate. DOEA and Vendor staff responsible for escalation will agree to escalate the given issue or issues at each level prior to escalation. Escalated issues are to be documented in the Issue Log, should indicate “Escalated” under the Status column, and the appropriate name of the assigned new owner is entered under the Assigned to column.

The five issue escalation levels are shown in the following table:

Level	DOEA Role	Vendor Role
1	Issue Originator	Issue Originator
2	Business Functional Team Lead	Deliverable Team Lead

Level	DOEA Role	Vendor Role
3	Project Manager	Project Manager
4	Project Business Functional Sponsor	Vendor QA
5	Project Sponsor	Vendor Account Manager

Table 9: Issue Escalation Levels

7.1.4 IDENTIFY ISSUE

Issue submission provides the first step in the Identify Issue process and starts with the Issue Originator who identifies a project issue. The Issue Coordinator reviews the issues in the tracking log to make sure the issue has not already been reported and possibly resolved.

The Originator must describe the issue and include any other information that could be helpful to whoever is assigned the issue to resolve. An issue may be identified in any number of ways for example:

- A problem for which there is no apparent answer;
- A current situation or event that cannot be answered immediately but requires some research and analysis to provide insight into actions that should be taken;
- An inability of two project entities or functional groups to come to an agreement on an item or process; or
- The need for information external to the project inhibits or stops the development of the project solution until resolved.

The Issue Originator enters the pertinent information about the issue into the issue tracking log. The information will include but not be limited to:

- Detailed description of the issue;
- Assessment of the potential impact to the project if the issue is not resolved;
- Resolution due date; and
- Information identifying the Originator of the issue.

7.1.5 PLAN ISSUE

Once the issue has been documented the Issue will review the Issue and assign responsibility for developing and implementing an Action plan/resolution to an Issue owner. The Issue owner will analyze the Issue and develop an Issue Action plan/resolution describing the activities that must be completed to address the Issue.

7.1.6 MONITORING AND CONTROLLING ISSUES

This task completes the process and involves implementing the Issue Action plan/resolution, tracking their progress, identifying new Issues, and evaluating the Issue Management process throughout the project life cycle.

From time to time issues must be resolved by escalating them to a more senior level. Criteria for escalating issues include:

- An issue resolution is more than 7 calendar days past due;
- An issue has reached an impasse and cannot be resolved within the current level;
- An agreement cannot be reached on the severity of an issue; and
- An issue is not making adequate progress toward resolution.

If an issue is significant, but an impact analysis reveals that the resolution would be costly to the project in terms of resource drain or potential impact to other components of the project, then the issue should be escalated to determine the next steps. The PMO may agree that a given issue must be addressed at a higher level of management. In that case, it would immediately be escalated to the appropriate level.

7.1.7 ISSUE LOG

The project team utilizes an Issue Log to capture, document and track issues. In all cases, the focus is on speedy resolution of issues to maintain the project schedule and quality of deliverables. The Issue Log sample below will be part of the RAIDL Log and will serve as a template for identifying and managing issues for this project:

ISSUE LOG									Legend: ■ New Item ■ Closed Item ■ Increasing Item		
Definition: An ISSUE is an existing constraint that is currently or may in the future negatively impact the project timeliness, quality, resources or budget.											
Item#	Issue Description	Priority	Identified By	Date Received	Assigned To	Status	Date Closed	Resolution	Link To Other Project Logs		
									Risk Log #	Action Log #	Decision Log #
1											
2											
3											
4											
5											
6											
7											
8											
9											
10											
11											

Exhibit 6: RAIDL - Sample Issue Log Tab

Legend:

- **Item Number** – Issue number
- **Issue Description** - What is the issue?
- **Priority** – High, Medium, Low
- **Identified By** – Who identified the issue?
- **Date Received** – Date issue was entered the register
- **Assigned To** – Who manages this issue?
- **Status** – Open or Closed
- **Date Closed** – Date issue was resolved
- **Resolution** – How do you intend to deal with this issue?

- **Risk Log Number** – Number assigned in Risk Log
- **Action Log Number** – Number assigned in Action Log
- **Decision Log Number** – Number assigned in Decision Log

The Issue Log is stored in the eCIRTS SharePoint project repository and access can be made available upon authorized request.

7.2 ACTION ITEM MANAGEMENT

Disciplined management of Action Items enables a project team to effectively complete Action Items in a timely manner to keep the project on track. A formal Action Item Management process provide the mechanism throughout the life cycle of the project to complete action items in line with project expectations and needs.

Action Item - An ACTION ITEM is a proactive task identified by the project team to address a known problem or situation. Action items may also come from a risk or issue item. Incomplete or overdue action items may create issues.

7.2.1 ACTION ITEM LOG

An action log is utilized to document and track action items. The Action Log sample below is part of the RAIDL Log and will serve as a template for identifying and managing action items for this project:

ACTION LOG							Legend: New Item: ■ Pending Item: ■ Closed Item: ■				
Definition: An ACTION is a proactive task identified by the project team to address a known problem or situation.							RAIC Resource Assignments				
Item#	Action Description	Priority	Date Assigned	Date Due	Assigned By	Status	Responsible	Accountable	Consult	Inform	Status Notes
1											
2											
3											
4											
5											
6											
7											
8											
9											
10											
11											

Exhibit 7: RAIDL - Sample Action Log Tab

Legend:

- **Item Number** – Action Item number
- **Action Description** – What is the action item?
- **Priority** – High, Medium, Low
- **Risk Issue Log Number** – Number assigned in Risk Log
- **Date Assigned** – Date Action Item issue was assigned
- **Due date** – Action Item due date
- **Assigned By** – Who is assigning action item?
- **Status** – Open or closed
- **Responsible** – Who is responsible for this Action Item?
- **Accountable** – Who is accountable for this Action Item?
- **Consult** – Who should be consulted with for this Action item?

- **Inform** – Who should be informed of the Action Item?
- **Status Notes** – Comments on Action Item

The Action Item Log is stored in the eCIRTS SharePoint project repository and access can be made available upon authorized request.

7.3 DECISION MANAGEMENT

In accordance with PMBOK general project management methodology, a Decision Item is a formal project decision impacting scope, schedule, quality, budget, functionality, policy, etc., and should be documented, addressed in a timely manner, and communicated to impacted stakeholders as appropriate.

The eCIRTS Project Manager will capture those decisions identified by the project team and stakeholders needed project progressing without delay utilizing the Decision log below. In the event a decision must be escalated the project manager will follow the Escalation path identified for Issue tracking above.

7.3.1 DECISION LOG

A decision log is utilized to document and track decisions made regarding the project. The Decision Log sample below is part of the RAIDL Log and will serve as a template for identifying and managing decisions made concerning this project:

[illegible]

Exhibit 8: RAIDL - Sample Decision Log Tab

Legend:

- **Decision ID#** – Decision Item number
- **Proposed Decision Description** – What is the decision to be made?
- **Decision date** – Date the decision was made
- **Decision Rationale** – What was the rationale behind the decision?
- **Decision Maker** – Who had authority to make the decision?
- **Present** – Who else was present when the decision was made?
- **Decision Status** – What is the status of this decision?
- **Risk Log #** – Related Risk Log number
- **Action Item Log #** – Related Action Item Log number
- **Issue Log #** – Related Issue Log number

The Decision Log is stored in the eCIRTS SharePoint project repository and access can be made available upon authorized request.

SECTION 8 SCOPE MANAGEMENT PLAN

8.1 SCOPE MANAGEMENT OVERVIEW

The Scope Management Plan describes how project scope changes are defined, documented, verified, managed, and controlled. During the eCIRTS Project, the scope may change for a variety of reasons. As needs change and as work progresses, additional requirements may emerge such as legislative mandates or changes in rules. It is essential to control and manage these additions and changes effectively and efficiently.

The Scope Management Plan identifies the process used to manage and control the project's scope. The processes needed to manage and control project scope are defined, documented, and communicated to the Project Team so they understand their role in the change control process.

Due to the nature of this project this plan recognizes the need to accommodate maximum flexibility while controlling scope. The DOEA Project Manager will be responsible for notifying the Project Business Functional Sponsor when an assigned task falls outside of the scope defined in the Statement of Work. The DOEA Project Manager will then document the task in the Change Log for historical purposes. The scope of the project will be managed through regular discussions between the management team, the Steering Team Committee, the Change Control Board (CCB) and through the Deliverable Acceptance Criteria (DAC) process. In scope (scope that is considered part of the statement of work) and out of scope (i.e., increase or decrease in the scope of work that is considered outside the statement of work on which a contract is based) will be noted.

8.2 SCOPE CHANGE PROCESS

The project team must follow a structured process for requesting a change to the scope of the project. The Change Control Board processes used to identify, document, analyze/evaluate, approve/reject, implement, and migrate changes are outlined in the Exhibit below. This process will confirm that changes are appropriately authorized and performed in an orderly and appropriate sequence.

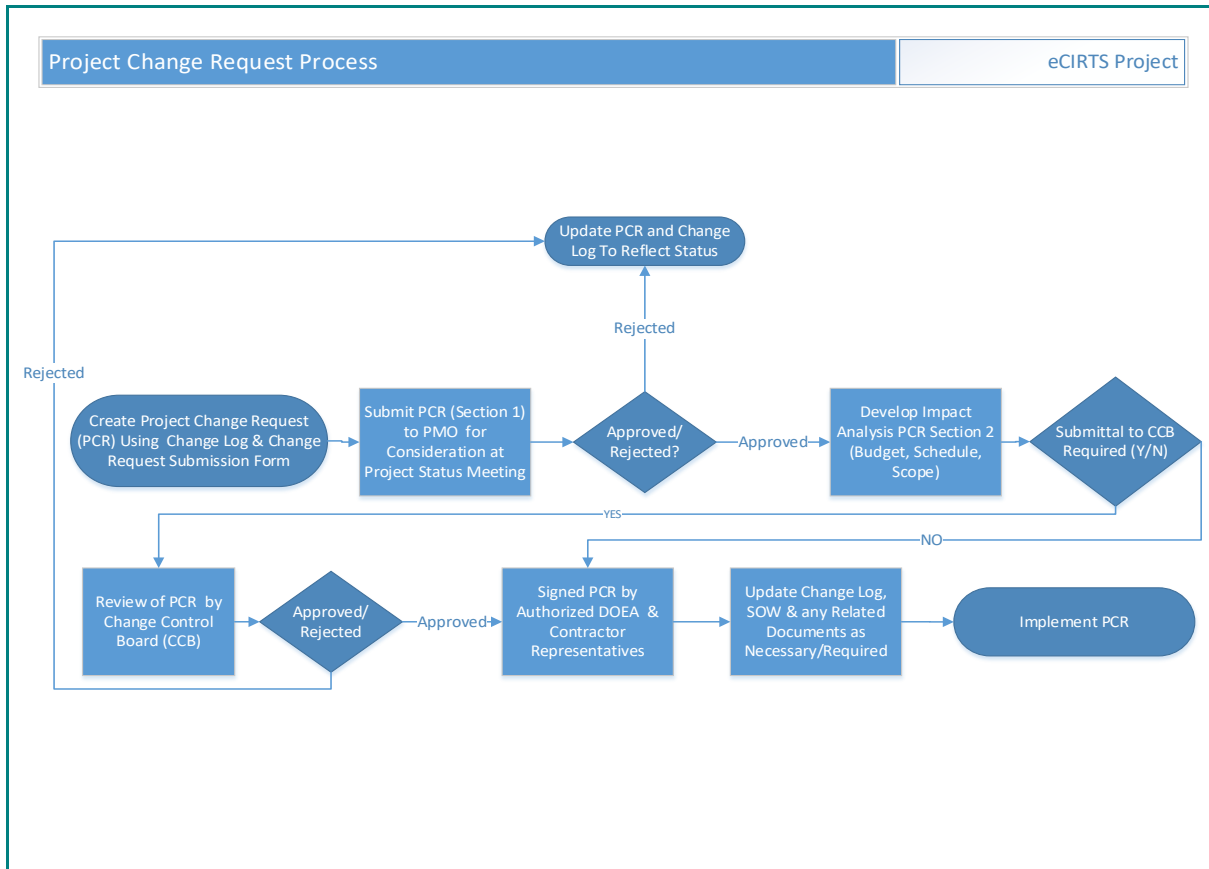


Exhibit 9: Schedule Management Planning Framework

8.3 CHANGE CONTROL BOARD

The Change Control Board (CCB) refers to the group of individuals within the eCIRTS project team who are responsible for making the ultimate decision as to when and if any changes are to be made regarding work products or schedule events. The process in which the CCB determines when and if a series of changes should be made is twofold. First, the CCB must review and study the impact of the proposed changes on the items in question, and then, after making that evaluation, the CCB can then either approve the changes, reject the changes, or, in some cases, request more information or postpone the decision pending some other occurrences to take place that would factor into their ultimate choice. Significant changes that will in fact affect baselines (Budget, Schedule, Objectives) will go through the CCB for approval.

8.3.1 CCB COMPOSITION

The CCB will be convened as needed to address pending requests. The CCB is comprised of the project team members responsible for reviewing and providing final decisions on submitted change requests. The CCB will consist of the following eCIRTS project team roles.

- Project Sponsor;
- Business Functional Sponsor;
- DOEA Chief Information Officer;
- DOEA Contract Manager;

- DOEA Project Manager;
- Vendor Project Manager;
- Vendor Account Manager and Quality Analyst; and
- Other relevant project team members as needed for subject matter expertise.

8.3.2 CCB RESPONSIBILITIES

The CCB responsibilities include:

- Documenting the source of each change and associated requirement as well as the rationale for any change;
- Documenting the requirements in sufficient detail to allow for a clear understanding of the need;
- Maintaining the requirements change history with the rationale for the changes;
- Assigning change requests for further analysis;
- Evaluating the impact of requirements changes from the standpoint of relevant stakeholders;
- Reviewing change requests outcomes and recommendations and providing final decisions on submitted change requests;
- Making the requirements and change data available to the project; and
- Prioritizing submitted change requests.

8.4 SCOPE CHANGE LOG

eCIRTS Project Scope changes require a formal change request and all formal change requests must be tracked (see Exhibit below) using the eCIRTS Project Scope Log. Once a change request is identified, it is entered into the Scope Change Log in the eCIRTS project library. Change requests are reviewed as part of the project status report meeting. Minor changes (i.e., no negative impact on cost, critical path, or final quality of solution) can be approved by the PMO and Contract Manager while major changes must be referred to the Executive Sponsor and/or the IT Governance Team. The Scope Change Log is stored in the eCIRTS SharePoint project repository and access can be made upon authorized request.

CHANGE LOG

Definition: A Change item is a request to modify scope in the form of an addition, modification, or deletion of an established or previously agreed upon requirement (s).

Legend: New Item:
Pending Item:
Closed Item:

								Link To Other Project Logs		
Item#	Change Description	Date Identified	Identified By	Priority	Identified By	Status	Impacts	Issue Log #	Action Log #	Decision Log #
1										
2										
3										
4										
5										
6										
7										
8										
9										
10										
11										

Exhibit 10: Change Order Log

Legend:

- **Item #** – a unique sequence number assigned to each Change Item.
- **Change Description** – a narrative of the nature of the request and intended results.
- **Date Identified** – date the change request was submitted to the PM team.
- **Identified by** – name of the team member that originated the request.

- **Priority** – an assessment of the importance or urgency of the change request.
- **Impacts** – a description of all potential and realized impacts of the requested change, including but not limited to schedule impact, cost, resources, contract terms and conditions, and so forth.
- **Status** – an indicator of the stage at which the change request is being handled through the process.

SECTION 9 PROJECT IMPLEMENTATION PLAN

9.1 PROJECT LIFE CYCLE OVERVIEW

The following describes in detail each of the five project management processes – *Initiation, Planning, Execution, Monitoring & Controlling, and Closing* – as they relate to the eCIRTS Project.

9.1.1 INITIATION

The PMO team has developed a project management structure and supporting processes that best fit the goals of the project and aligns with DOEA's culture and practices.

The eCIRTS PMO developed the eCIRTS Project Charter, which was approved by the eCIRTS Executive Project Sponsor. The Project Charter authorizes the project and provides a statement of the project's intended scope, goals, objectives, outcomes, and participants. It provides a preliminary delineation of roles and responsibilities, outlines the project objectives, identifies the main stakeholders, and defines the authority of the project manager.

9.1.2 PLANNING

The Project Management Plan (PMP) and supporting Management Plans add the detail necessary for day-to-day task execution and management efficiency. The eCIRTS PMP was completed by the eCIRTS PMO with input and collaboration from key stakeholders. The team approach helps to ensure a further alignment to the project objectives and buy-in from management and stakeholders. The PMP will be reviewed with the selected DDI vendor at the inception of Phase III and will be updated as necessary.

The following summarizes the detailed activities of Project Planning that will assist in the effective management of the project:

- Project Management Plan and Supporting Management Plans (e.g., Communications Plan)
- Schedule and Resource Planning
- Scope Planning
- Stakeholder Analysis
- Project Governance

9.1.3 PROJECT EXECUTION

Using the approved PMP, the PMO Team will begin execution and management of the project. The Project Execution process and the Project Monitoring and Control process work together iteratively and perpetually until Project Closure. The execution process deals with implementing and managing the project based on the PMP.

Successful project management through execution is a function of a good plan that has been thoroughly developed and vetted and the time-tested experience of the team on similar projects. The experience and

expert judgment of the team, combined with effective project governance, will help ensure the project stays on track and delivers value to the organization.

Effective communication is a key critical success factor for any project. Upward communications from the eCIRTS PMO to key stakeholders and the governance organization are essential for providing up-to-date and accurate project status reports, providing accurate and best-judgment risk and issue assessments, and actively managing expectations. Effective downward communications to the team are essential in building a teamwork culture, communicating expectations, and supporting personnel development.

9.1.4 MONITORING AND CONTROLLING

Project Monitoring and Controlling includes managing, tracking, and reporting all elements built into the PMP. This process ensures the appropriate consumption of resources (people, costs, and materials) in accordance with the plan. The Project Monitoring and Controlling processes are performed throughout the project until the project is complete and ready to close. Elements of Monitoring and Controlling include:

- Schedule Management
- Variance Analysis
- Schedule Control
- Scope Change Control
- Cost Control
- Resource Management
- Risk Monitoring and Control
- Integrated Change Control
- Status Reporting

9.1.5 CLOSING

Project Closing includes several important activities to bring the project to an orderly conclusion. This includes reviewing the key deliverables, gaining stakeholder agreement that planned objectives have been met, archiving project documentation and artifacts and conducting a review of the lessons learned (i.e., any useful information or experience gained through the course of the project that can be applied to a later phase or project activity).

Project Closing includes an overall assessment of project performance to evaluate the success of the Project against original objectives and scope including approved change requests. This also includes an assessment of team member performance and the development observed during the project. Finally, since the Project involves change to the organization including business process, technology and people, this final assessment will identify any outstanding issues to ensure total organizational transition to the change.

9.2 SYSTEM DEVELOPMENT LIFECYCLE OVERVIEW

An industry standard system development lifecycle (SDLC) is defined in the following sections and includes, Plan and Assess, Design, Develop, Test, Implement and Post-Implementation phases. Each of these phases are broken down into domains, which define the key activities and project team responsibilities.

Note: The final implementation approach will be defined during the procurement process and to a large degree on the chosen solution. The Department will ensure whatever solution is chosen that the system integrator follows an industry standard best practices for implementation.

There are five implementation phases performed for each release lifecycle:

- *Plan and Assess* – planning and preparation to ease design ramp-up;
- *Design* – validate requirements, identify gaps, design processes, and solidify scope;
- *Develop* – build/configure the designed solution;
- *Test* – test the designed solution;
- *Implementation* – end-user education, user acceptance, and migration activities; and
- *Post-Implementation* – transition from project mode into a live, supported production operation.

The tasks in these phases are assigned to five basic domains (project teams).

- *Project Management* – address return on sponsor investment for the project;
- *People* – facilitate effective and efficient transition to the new business model;
- *Process* – address business requirements and benefits;
- *Information* – facilitate data strategy, data governance, and migration strategy; and
- *Technology* – facilitate information quality and integrity, integrate task and solution dependencies; across domains and project phases, and deliver objects that address specifications and coding quality standards and management of appropriate application architecture and technical infrastructure.

9.2.1 PLAN AND ASSESS

The Plan and Assess Phase will consist of learning new information and developing a common understanding of DOEA dynamic business environment. Additionally, it is anticipated that scope refinement and consequent recalibration will be required once the process tasks are concluded in the Plan and Assess Phase. This will allow for more informed and effective planning of the work effort required to execute the Develop Phase. Any material change affecting scope, critical milestones, and/or resources will be assessed, documented, and agreed upon using the Change Control Process and will be incorporated into the relevant phase-based detailed plans once agreed by both the vendor and DOEA.

The objective of the Plan and Assess Phase is to provide detailed initial project planning and preparation for the implementation of the eCIRTS project. It is during this phase that detailed planning and scoping is conducted, strategies are defined, and resources are on-boarded. The detailed project schedule will define and clarify vendor and DOEA activities, dependencies, responsibilities, estimated effort.

The table below lists examples of activities and responsibilities for the Plan and Assess Phase. At the beginning of each release, the eCIRTS PMO team (DOEA and vendors) will determine the milestones, deliverables and activities needed – and update the Master Project Schedule accordingly.

CATEGORY	ACTIVITIES	DELIVERABLES
Project Management	<ul style="list-style-type: none"> Finalize Project Milestone Plan for upcoming release Confirm baseline scope from the Statement of Work (SOW) for design (Gap/Fit) Finalize extended project team roles and responsibilities Define project management procedures Resource and operationalize governance for project management procedures Confirm Project Tools Strategy Finalize detailed plan for Design Phase Review Project Charter Update Project Management Plan Update Communication Plan Update project Schedule Update OCM Plan Conduct Project Kickoff Define structures to communicate, manage and escalate issues Risk, mitigation, containment, and contingency planning 	<ul style="list-style-type: none"> High-Level Project Milestone Schedule Scope Baseline Document Project Team Organization Structure Project Management Plan Project Schedule Project Management Governance Structure Tools Strategy Design Phase Project Plan Project Kickoff Presentation Issue Log Risk Log
People	<ul style="list-style-type: none"> Determine Project Team Training Plan Confirm Organizational Change Strategy Confirm Communication Strategy Confirm End-User Education Strategy including technology requirements Conduct Initial Stakeholder Assessment to confirm Project objectives 	<ul style="list-style-type: none"> Project Team Training Plan Organizational Change Strategy Communication Strategy End-User Education Strategy Stakeholder Assessment (Initial)
Process	<ul style="list-style-type: none"> Collect and review existing project-related materials 	<ul style="list-style-type: none"> Project Input Documentation
Information	<ul style="list-style-type: none"> Confirm Data Security and Privacy Plan Confirm Reporting Strategy Confirm Data Migration Strategy 	<ul style="list-style-type: none"> Data Security and Privacy Plan Reporting Strategy Data Migration Strategy
Technology	<ul style="list-style-type: none"> Confirm Project Documentation Standards and Templates Confirm Development Standards and Procedures Confirm Configuration Strategy Confirm Testing Strategy Confirm Technical Infrastructure Strategy (If applicable) Define Legacy System Change Strategy Install Enterprise System Sandbox System (Dev/Test environments) Conduct Plan and Assess Phase Gate Review 	<ul style="list-style-type: none"> Project Documentation Standards and Templates Development Standards and Procedures Configuration Strategy Testing Strategy System Landscape Strategy Legacy System Change Strategy Sandbox System Project Preparation Gate Review Package

Table 10: Plan and Assess Phase Activities and Deliverables

9.2.2 DESIGN

The objective of the Design Phase is to create a detailed description of DOEA's business requirements, to define the technical requirements to enable those business functions within the eCIRTS, and to develop and begin implementing an approach to manage the impacts to the organization. This phase also covers the creation of the system technical design, definition of required development work, and the establishment of a system that is ready for configuration and application development.

The table below includes examples of activities and responsibilities for the Design Phase. The eCIRTS PMO team (DOEA and Vendor) will determine the milestones, deliverables and activities needed – and update the Master Project Schedule accordingly.

CATEGORY	ACTIVITIES	DELIVERABLES
Project Management	<ul style="list-style-type: none"> Finalize scope for realization Manage and escalate issues Define Risks, Mitigations, Containment, or Contingency Plans as each Issue is identified Finalize detailed Project Plan for Implementation 	<ul style="list-style-type: none"> Finalized Scope document Issue Log Risk Log Develop Phase Project Plan
People	<ul style="list-style-type: none"> Conduct Stakeholder Analysis Define Organizational Design Develop Value Realization Action Plan Define Knowledge Transfer Monitoring Plan Determine user roles Determine jobs Conduct end-user education needs assessment 	<ul style="list-style-type: none"> Stakeholder Analysis Communication Plan Organizational Change Management Plan and Risk/Impact Assessment Value Realization Action Plan Knowledge Transfer Monitoring Plan User Roles Definition Job Definition Documents End-User Education Needs Assessment
Process	<ul style="list-style-type: none"> Create Business Process Master List Prepare design workshop materials Conduct design workshops and gather requirements Develop enterprise system organizational structures Design automated and manual controls Identify functionality gaps Define processes Initialize custom development object definitions 	<ul style="list-style-type: none"> Business Process Hierarchy (BPH) Design Workshop Presentation Materials Requirements Traceability Matrix Configuration Rationale Specification for Enterprise System Organizational Structures Business Controls Document Prioritized Gap Analysis Process Definition Documents Custom Development Definition Documents (Initial)
Information	<ul style="list-style-type: none"> Document master data requirements 	<ul style="list-style-type: none"> Master Data Requirements

CATEGORY	ACTIVITIES	DELIVERABLES
Technology	<ul style="list-style-type: none"> Conduct enterprise system hierarchy workshops Document general settings requirements (number ranges, etc.) Oversee project tools installation and training of project team users Install development environment(s) Perform gap analysis Define disaster recovery and high availability requirements 	<ul style="list-style-type: none"> Hierarchy Workshop Presentation Materials Configuration Rationale; Specification for General Settings, such as Number Ranges Installed Tools Ready for Trained Users Development System Gap Analysis Technical Design Document Design Gate Review Package

Table 11: Design Phase Activities and Deliverables

9.2.3 DEVELOP

The objectives of the Develop Phase are to build/configure the system, conduct data migrations, and start preparing the organization for the impact of the changes. Building is comprised of configuring the system and creating development objects to address the specifications documented in the Design Phase. In parallel, data conversion cycles are practiced with incremental target increases in volume and accuracy.

Following wave schedule update, the eCIRTS PMO team (DOEA and vendors) will determine the milestones, deliverables and activities needed and update the Master Project Schedule accordingly. The plans for most of the key Develop Phase activities are driven from the strategies that are agreed upon in the Design Phase.

The table below lists examples of activities and responsibilities for the Develop Phase:

CATEGORY	ACTIVITIES	DELIVERABLES
Project Management	<ul style="list-style-type: none"> Define short-term production support strategy Manage and escalate issues Define risks, mitigations, containment, or contingency plans as issues are identified Finalize detailed project plans for final Preparation Phase 	<ul style="list-style-type: none"> Short-Term Production Support Strategy Issue Log Risk Log Final Preparation Phase Project Plan
People	<ul style="list-style-type: none"> Consolidate user roles Develop end-user education content Define post go-live, ongoing education strategy Update Company Policies and Procedures and create a gap analysis Transfer knowledge 	<ul style="list-style-type: none"> User Role Matrix End-User Education Content Ongoing Education Strategy Updated Company Policies and Procedures Executed Knowledge Transfer Plan

CATEGORY	ACTIVITIES	DELIVERABLES
Process	<ul style="list-style-type: none"> Finalize detailed custom development definitions Confirm baseline configuration Confirm final configuration Cleanse and prepare legacy data Unit test custom development functionality Create functional unit test plans Document business process procedures Conduct functional unit tests Design automated and manual controls Create user acceptance test plans 	<ul style="list-style-type: none"> Detailed Custom Development Definitions (Final) Configuration Rationale Specification for Baseline Configuration Scope Configuration Rationale Specification for Final Configuration Scope Clean Data Functionally Tested Custom Development Objects Functional Unit Test Plan Business Process Procedures Tested Development System Control Requirements Form User Acceptance Test Plan
Information	<ul style="list-style-type: none"> Create Data Migration Plans including data cleansing and data validation oversight Execute dry run data migration including data cleansing and data validation oversight 	<ul style="list-style-type: none"> Initial Data Migration Plan Data Migration Plan
Technology	<ul style="list-style-type: none"> Create custom development Technical Specifications Develop and technically unit test custom development objects Define Authorization Management Procedures and define organizational values and restrictions Create Integration Test Plan Integration test scripting Install quality assurance environment(s) Create Performance Test Plan Conduct Test Readiness Gate Review Install training-related systems including learning management system, training sandbox and document repository Create batch jobs Create Batch Schedule Master Compile the Cutover Plan Conduct systems integration test Install mock cutover environments Deploy site infrastructure Conduct Development Phase gate review 	<ul style="list-style-type: none"> Custom Development Technical Specifications Custom Development Code Authorization Management Procedure Integration Test Plan Integration Test Scripts Quality Assurance System Performance Test Plan Test Readiness Gate Review Package Training-Related Systems Batch Job Form Batch Schedule Cutover Manual Including Cutover Plan Tested Quality Assurance System Production System Site Infrastructure Deployment Develop Phase Gate Review Package

Table 12: Develop Phase Activities and Deliverables

9.2.4 TEST

The objective of the Test Phase is to evaluate the system's technical and functional compliance with specified requirements. The System Integrator will be responsible for developing and executing a Test

Management Plan appropriate for the solution and testing the system per the approved Test Management Plan.

Testing comprises the following general types:

- Unit – Self-contained, component-level functional testing of configuration and development
- Integration – Process oriented testing of end-to-end business functions
- User Acceptance – Process-oriented testing of end-to-end business functions performed by client end users
- User Experience – Non-technical testing designed to assess the system’s usability for client end-users
- System – Technical production system readiness testing
- Security – Security access testing, including negative testing
- Regression – testing to uncover new defects that may be generated due to changes or updates to the system

The testing will include the evaluation of the system and system data to ensure the availability and quality of required functionality and information and to detect any system defects.

The following defines the severity level categorization for testing defects:

SEVERITY LEVEL	DESCRIPTION	EXAMPLE
1	System Failure. No further processing is possible	Complete lack of system availability, results, functionality, performance, or usability
2	Unable to proceed with selected functionality or dependents	System unavailable, key component unavailable, or functionality incorrect and workarounds are not available
3	Restricted functional capability; however, processing can continue	Non-critical component unavailable or functionally incorrect and workaround is available
4	Minor cosmetic change	Usability errors where screen or report errors do not materially affect quality and correctness of function, intended use, or results

Table 13: Defect Severity Levels

Once defects are remediated and re-tested, the test is considered complete when no Severity 1 or 2 defects remain and a disposition plan is in place for Severity 3 and 4 defects.

9.2.5 IMPLEMENTATION

The objective of the Implementation Phase is to prepare systems, processes, and people for the rollout and subsequent operationalization of the new system. The implementation will include the activities supporting the Go/No-Go decision around system Go-Live as well as operational readiness preparation such as internal and external communications, and training. The overall purpose of implementation is to successfully move the system to production while ensuring that the department and its stakeholders receive the maximum benefits from the eCIRTS Project.

Implementation has been broken into two basic sub-phases: the steps needed to prepare for implementation and the steps needed to perform the implementation (often referred to as Go-Live).

9.2.6 IMPLEMENTATION - PREPARATION

The objective of Preparation is to verify readiness for production (Go-Live), including user acceptance, end-user training, site preparation, system project management, and cutover activities. Preparation serves as a last opportunity to address crucial open issues before Go-Live is reached.

The table below lists examples of activities and responsibilities needed to prepare for implementation. At the beginning of each release, the eCIRTS PMO team (DOEA and vendors) will determine the milestones, deliverables and activities needed and update the Master Project Schedule accordingly.

CATEGORY	ACTIVITIES	DELIVERABLES
Project Management	<ul style="list-style-type: none"> Manage and escalate issues Define Risks, Mitigations, Containment, or Contingency Plans Define help desk procedures Create detailed plan for Go-Live and Post-Implementation Phase 	<ul style="list-style-type: none"> Issue Log Risk Log Action Items Log Implementation Checklist for Go-Live Help Desk Procedures Go-Live and Post-Implementation Phase Project Plan
People	<ul style="list-style-type: none"> Update Value Realization Action Plan Deliver End-User Education Conduct End-User Education Assessments Define Business Continuity Plan Define Go-Live Criteria Obtain approval for cutover 	<ul style="list-style-type: none"> Updated Value Realization Action Plan End-User Training Assessments Business Continuity Plan Go-Live Checklist Approved Go-Live Checklist
Process	<ul style="list-style-type: none"> Perform data reconciliations and obtain signoffs Conduct user acceptance testing 	<ul style="list-style-type: none"> Data Validation Signoff User Acceptance Signoff
Information	<ul style="list-style-type: none"> Execute and refine data migration plan including data cleansing and data validation oversight 	<ul style="list-style-type: none"> Finalized Data Migration Plan Finalized Go-Live Playbook, documenting a detailed step-by-step process to complete production implementation and the party responsible for each step
Technology	<ul style="list-style-type: none"> Conduct performance test Tune Enterprise System System(s) Conduct Systems Management tests Execute and refine the Cutover Plan Assess archiving needs Build live production System Rehabilitate or retire Legacy Systems 	<ul style="list-style-type: none"> Performance Tested Systems Tuned Enterprise System System(s) Technical System Test Results Final Frozen Cutover Manual and Cutover Plan Archiving Needs Assessment Production System Modified Legacy Systems

Table 14: Implementation - Preparation Activities and Deliverables

9.2.7 IMPLEMENTATION - GO-LIVE

After all the necessary implementation preparation steps have been completed (e.g., user training, data cleansing, etc.), implementation Go-Live tasks are used to transition the user community from the legacy applications to the new enterprise solution. Go-Live is the process of moving from a pre-production environment to a live-production environment, and the beginning of transition of the production application to the support organization.

The table below lists examples of activities and responsibilities for Implementation Go-Live. At the beginning of each release, the eCIRTS PMO team (DOEA and vendors) will determine the milestones, deliverables and activities needed and update the Master Project Schedule accordingly.

CATEGORY	ACTIVITIES	DELIVERABLES
Project Management	<ul style="list-style-type: none">▪ Provide short-term production support▪ Manage and escalate issues▪ Define Risks, Mitigations, Containment, or Contingency Plans▪ Stabilize the Go-Live and verify live business process results▪ Document Project signoff and closure	<ul style="list-style-type: none">▪ Executed Center of Excellence Knowledge Transfer Checklist▪ Issue Log▪ Risk Log▪ Stabilized System▪ Project Closeout Report
People	<ul style="list-style-type: none">▪ Develop and track Value Realization Measures▪ Evaluate effectiveness of End-User Education▪ Create ongoing education plan from ongoing education strategy	<ul style="list-style-type: none">▪ Value Realization Analysis▪ End-User Education Effectiveness Report▪ Ongoing Training Plan
Process	<ul style="list-style-type: none">▪ Execute the Go-Live Playbook	<ul style="list-style-type: none">▪ Go-Live Playbook Status Report
Information	<ul style="list-style-type: none">▪ Document implementation progress, problems, corrective actions, etc.	<ul style="list-style-type: none">▪ Post-Implementation Status Report documenting the success of the implementation activities
Technology	<ul style="list-style-type: none">▪ Cutover to Production System▪ Perform a controls and security post implementation assessment▪ Create Upgrade / Enhancement Strategy	<ul style="list-style-type: none">▪ Executed Cutover Plan▪ Controls and Security Post Implementation Assessment▪ Upgrade / Enhancement Strategy

Table 15: Implementation - Go-Live Activities and Deliverables

The Systems Integrator will provide production support assistance during Go-Live and sustainment to help facilitate an effective and orderly transition for ongoing production support to the long-term support organization.

The table below lists Systems Integrator activities that will occur in addition to the activities and responsibilities managed under Project Management, People, Process, Information, and Technology during the Implementation Phase.

CATEGORY	ACTIVITIES
Systems Integration	<ul style="list-style-type: none"> ▪ Provide heightened production support assistance during the Go-Live support for one month after Go-Live ▪ Participate in preparing daily reports on incidents and resolution progress on high-priority issues ▪ Transfer incremental knowledge related to the eCIRTS Project to the support organization ▪ Act as issue support group for DOEA Support Desk with respect to implementation issues and problems ▪ Provide a period of post-implementation support

Table 16: Systems Integrator Activities

9.2.8 POST-IMPLEMENTATION

Post-Implementation efforts are necessary to ensure that gains are maintained and adoption is confirmed. Ongoing performance of actions in keeping with the direction agreed to at the end of each event is necessary to form a foundation for future improvements. The Post-Implementation initiative will involve the routine completion of simple audit checklists based on a systematic review of actions completed and a regular walk-through of the processes completed every other month to confirm adherence to the guidelines and goals that govern the project. Activities may include:

- Maintain audit calendar
- Conduct audits
- Prescribe corrective actions

As the system is implemented, the organization will see opportunities for optimizing the implementation of the new system. To take advantage of these process improvements the eCIRTS PMO will develop a plan to implement the following:

- Creating formal documentation
- Training of staff on revised process
- Revising procedures and creating
- Communicating results and benefits to employees in the affected area
- Engaging the Finance function to calculate benefits
- Monitoring gains on local Key Performance Indicators (KPIs)
- Developing audit criteria for future use

9.2.9 OVERALL PROJECT ACTIVITIES

Supplementary to the defined release phases and activities, there are additional, overall tasks. These tasks have shared responsibility between the vendor and DOEA that continue throughout the lifecycle of the project. At the beginning of each release, the eCIRTS PMO team (DOEA and vendors) will determine the milestones, deliverables and activities needed and update the Master Project Schedule accordingly. Examples are described in the table below:

CATEGORY	ACTIVITIES
Project Management	<ul style="list-style-type: none"> Overall execution of project Perform project tracking and reporting Secure and manage project resources including extended project resources, stakeholders, impacted and third parties Oversee contractual responsibilities Administer project change control procedures Govern project standards and procedures
Process	<ul style="list-style-type: none"> Oversee business analysis activities
People	<ul style="list-style-type: none"> Maintain both internal and external project communications Monitor end-user learning and adoption
Technology	<ul style="list-style-type: none"> Manage technology and information strategy, analysis, and quality
Information	<ul style="list-style-type: none"> Monitor and ensure data security, quality, integrity, and availability

Table 17: Overall Project Activities

SECTION 10 SCHEDULE MANAGEMENT PLAN

10.1 SCHEDULE MANAGEMENT OVERVIEW

Schedule management encompasses the policies, procedures, and documentation for planning, developing, managing, executing, and controlling the timely completion of the project.

The Schedule Management Plan:

- Describes the eCIRTS Project's process for preparation and maintenance of the comprehensive Master Project Schedule;
- Incorporates any subordinate or lower-level schedules as required;
- Includes activities performed by the eCIRTS Project personnel team and vendor;
- Identifies processes to monitor actual project progress against the baseline Master Project Schedule; and
- Tracks the schedule against any formal changes to the plan.

The eCIRTS Master Project Schedule (MPS) integrates all tasks and their required attributes from each project team (Department and Vendor). Each project work stream will appoint a schedule coordinator whose schedule management responsibility is to work directly with the PMO (PMO Schedule Manager) to facilitate the bidirectional communications and any collaboration required for maintaining the MPS and keeping the project completion on time.

The following section outlines the high-level critical tasks of the Project's schedule management approach and the key metrics that will be used to measure the Project's schedule performance.

The exhibit below lists the Schedule Management Processes as defined in PMBOK®:



Exhibit 11: Schedule Management Processes

10.2 WORK BREAKDOWN STRUCTURE

Project schedule development begins with the definition of the products and services, or “deliverables” that make up the project. This is accomplished through a Work Breakdown Structure (WBS). The WBS is a hierarchical view of the products and services (including Project Management and oversight work) that are included in the Project. The WBS allows for the accumulation and summarization of schedule data necessary to track project progress and provides a view into the project showing what work the project encompasses which helps to communicate the work and processes simply and straightforwardly required to successfully execute the project.

The WBS currently reflects work products/deliverables slated for development through June 30, 2018 as this represents the second phase of a multi-phased project and the Project Management Office will use the rolling wave planning concept throughout the course of the project. With rolling wave planning, the WBS will be iteratively developed and further extended as key milestones are reached and phases are completed.

10.3 MASTER PROJECT SCHEDULE DEVELOPMENT

The project schedule decomposes the project’s WBS into distinct activities. These activities are sequenced and assigned resources, durations, and dependencies to reflect known constraints as of the issue date of this document. The schedule will be progressively elaborated, refining, and expanding as appropriate as future priorities and dependencies become clear.

Schedule development for a longer-term effort such as the eCIRTS Project can be complex as there are many unknowns when working within an extended time horizon. Therefore, the schedule will be iteratively developed leveraging rolling wave planning techniques in managing the schedule throughout the project’s lifecycle. Specifically, we will progressively elaborate the schedule, refining, and expanding as appropriate when future priorities and dependencies become clear. The schedule’s progressive elaboration is dependent on the refinement and expansion of the WBS discussed above.

To manage both the initial and future schedule iterations, the PMO will continuously monitor and track any changes to the schedule. Should any variances be identified, a root cause analysis will be performed to determine the reason for the variance and corrective actions developed to increase the likelihood that the project remains on track.

A detailed project schedule has been developed using Microsoft Project that defines all the major activities, milestones, resources and resulting work products associated with the project. The initial schedule takes into consideration business drivers, priorities and dependencies that impact milestone dates. The baselined master project schedule is included as an attachment to this document (see eCIRTS Master Project Schedule). The master project schedule will be used to report on project progress and prioritize efforts. Should there be any changes to scope, or significant changes to planned dates, The PMO will coordinate with the DOEA Contract Manager to determine root cause and perform a schedule re-baseline as appropriate.

10.4 SCHEDULE MANAGEMENT

Project Schedule Management for the eCIRTS project involves identifying the work stream activities to be included in the Project. The products and services to be provided by work stream leads are:

- Developing activity schedules;
- Assigning resources for these projects;
- Integrating the schedules into the RMPS; and
- Executing and managing these work streams per the Schedule Management Plan.

This plan identifies the approach and guidelines for defining work breakdown structures, activities, and resource requirements that are common among all eCIRTS work streams. By sharing the same approach and, tools, the ability to coordinate and exchange information between work streams is greatly improved.

The sub-sections below review the key scheduling components and how they are being implemented on the eCIRTS Project. They establish a framework for how eCIRTS Schedule Coordinators will interact with each other and the eCIRTS Schedule Coordinator/eCIRTS PMO to ensure schedules are developed and maintained as consistently as possible.

The schedule management approach is based on the PMBOK® project planning framework. The following exhibit provides an overview of the Schedule Management Planning processes:



Exhibit 12: Schedule Management Planning Framework

10.5 KEY ACTIVITIES

The following table lists the activities required as part of Schedule Management Plan. To achieve the results expected from this plan, the project team must implement each of these activities into their regular (daily, weekly, monthly, etc.) processes. Each process will be evaluated at regular intervals for compliance.

RECURRING SCHEDULE ACTIVITIES	FREQUENCY	ROLE RESPONSIBLE
Schedule updates for project status meetings	Weekly	Schedule Coordinators and/or Work Stream Leads
Task status reporting	Weekly	Schedule Coordinators and/or Work Stream Leads
Project Schedule updates	Weekly	Schedule Coordinator/PMO
Generate schedule related reports for input to project status report	Weekly	Schedule Coordinator/PMO

RECURRING SCHEDULE ACTIVITIES	FREQUENCY	ROLE RESPONSIBLE
Schedule updates for IT Governance Team meetings	Monthly (3 rd week of each month)	<ul style="list-style-type: none"> Project Managers IT Governance Team
Rolling wave schedule planning	Quarterly	<ul style="list-style-type: none"> Project Managers Schedule Coordinator PMO Work Stream Leads
Evaluate the effectiveness of the Schedule Management Plan	Ongoing	<ul style="list-style-type: none"> Schedule Management Plan Owner

Table 18: Recurring Schedule Activities

10.6 ROLES AND RESPONSIBILITIES

The eCIRTS Project uses Microsoft Project version 2010 or higher to provide the integrated eCIRTS Master Project Schedule (MPS) as its primary schedule planning tool. The roles and responsibilities of the key players are addressed in the table below:

ROLE	RESPONSIBILITY
Schedule Coordinator	<ul style="list-style-type: none"> This role is assigned by the DOEA Project Manager and will be the responsibility of the DOEA PMO. Coordinate the consolidation of work stream activities into the MPS. Coordinate with the Work stream Schedule Coordinators on tasks, resources, and dates as needed. Manage and oversee resource assignments and allocations. Escalate issues with incomplete schedule activities. Manage the baseline schedule. Monitor schedule against schedule evaluation metrics. Review updates from work stream activities in the Master Project Schedule and update the MPS weekly. Coordinate resolution of problems and schedule conflicts across sections. Generate status reports: Critical Path, Late Tasks, Detail Summary Status Report, and Resource Allocation.
Work stream Schedule Coordinators	<ul style="list-style-type: none"> These roles are assigned by the Project Managers and will be the responsibility of the work stream leads unless otherwise designated. Determine the status of assigned activities for their section(s) and provide updates on a weekly basis. Track their assigned activities to completion. Work with other Schedule Coordinators to identify and negotiate inter-project dependencies. Analyze impacts of schedule and resource changes, document any risks. Manage and/or complete tasks as assigned in the project schedules.

ROLE	RESPONSIBILITY
Project Managers	<ul style="list-style-type: none"> Allocate resources. Ensure that eCIRTS team members comply with the schedule management processes.
Work stream Leads	<ul style="list-style-type: none"> Ensure team members comply with the schedule management processes.
IT Governance Team	<ul style="list-style-type: none"> Review schedule status and major schedule risks and issues monthly. Ensure major schedule issues are resolved and major schedule risks are mitigated in a timely fashion. Review and approve any material changes to project schedule.
Project Management Office (PMO)	<ul style="list-style-type: none"> Conduct schedule reviews to ensure the Schedule Management Plan is being followed. Provide mentoring and technical support to the eCIRTS Project Manager. Responsible for developing quarterly rolling wave reports.

Table 19: Schedule Management Roles and Responsibilities

SECTION 11 DELIVERABLE MANAGEMENT PLAN

11.1 DELIVERABLE MANAGEMENT OVERVIEW

The Deliverables Management Plan outlines the procedures for managing the planning, development, submission, review and acceptance of project deliverables, work products and artifacts, hereto referred to as deliverables. These procedures provide a comprehensive picture of the way in which deliverables will be planned for, developed, delivered, and tracked from inception through acceptance.

The eCIRTS Project contracts and statements of work identify the deliverables to be completed. The way in which each deliverable is to be developed will vary depending on the type of deliverable to be completed. Deliverables will be developed using the tools and techniques appropriate to their form. This will include the use of Microsoft Office software (for written or other hard-copy deliverables), COTS, framework, or custom software (for application software deliverables), or other tools. Each deliverable will be created using a standard template including agreed upon acceptance criteria that is approved during the Deliverable Expectations process.

11.2 ROLES AND RESPONSIBILITIES

The table below describes the deliverable submission and review roles and responsibilities for implementing the Deliverable Management Plan.

Role	Responsibility
Work stream Lead	<ul style="list-style-type: none"> Creates and submits the Deliverable Expectations Document. Updates deliverable if comments are returned as a result of the review process. Creates meeting minutes from Deliverable Expectations meeting(s).

Role	Responsibility
	<ul style="list-style-type: none"> ▪ Develops the Deliverable Expectations Document (DED) based on the discussions in the Deliverable Expectations meeting(s). ▪ Submits plan for logical break up of large deliverables in the DED (if needed) ▪ Develops Deliverable. ▪ Submits deliverable for review and acceptance. ▪ Submits deliverable sections for acceptance per the agreed upon plan, if the deliverable has been identified as a large deliverable. ▪ Conducts walkthrough (if requested by Deliverable Lead). ▪ Publishes walkthrough minutes. ▪ Works with Deliverable Lead to resolve issues. ▪ Incorporates review changes to the deliverables. ▪ Submits revised deliverable for acceptance. ▪ Participates in presentation to IT Governance Team (if requested).
eCIRTS DOEA Project Manager	<ul style="list-style-type: none"> ▪ Record deliverables in the Deliverables Log. ▪ Update the Deliverables Log on a continual basis to accurately track deliverables. ▪ Perform preliminary review of deliverables to ensure they meet contract requirements and basic quality standards. ▪ Facilitate the review process. ▪ Distribute deliverable feedback forms as necessary. ▪ Provide written deliverable comments from reviewers as received to the Deliverable Developer. ▪ Send comments and a deliverable recommendation to the Contract Manager. ▪ Store final deliverable and comment review sheets and other related documentation in the eCIRTS Project document repository. ▪ Select Deliverable Review Team with the Contract Manager and review team assigned roles. ▪ Identify Deliverable stakeholders. ▪ Facilitate Deliverable Expectations meeting. ▪ Review and approve the Deliverable Expectations and Deliverable Acceptance Criteria documents. ▪ Identify large deliverables which may need to be broken up into manageable sections. ▪ Distribute deliverable to Deliverable Review Team (and Deliverable Review Workstream Leads for larger deliverables) ▪ Manage the Deliverable Review and Acceptance Process with the Deliverable Review Team. ▪ Synthesize deliverable review comments to ensure consistency, completeness, quality, and accuracy of comments. ▪ Act as Point of Contact (POC) for the Deliverable Owner/Developer. ▪ Facilitate communication among Deliverable stakeholders. ▪ Participate in comment resolution process. ▪ Escalate irresolvable issues to the Contract Manager ▪ Manage presentation of deliverable to the IT Governance Team (if required). ▪ Request deliverable walk-through from Deliverable Owner/Developer. ▪ Make a formal recommendation to the Contract Manager on acceptance or rejection of the deliverable.

Role	Responsibility
	<ul style="list-style-type: none"> Facilitates the payment and invoicing for approved deliverable with the Contract Management.
Deliverable Review Team (or Sub-Teams for larger deliverables)	<ul style="list-style-type: none"> Participate in Deliverable Expectations Meeting(s). Participate in deliverable development as a source of information for the Developer. Review Team members are not permitted to perform any formal development. If they do, they must not review any of their own work. Review deliverable per assigned role. Identify and record revision comments in required format and within the established review period. Participate in comment resolution. Review updates after the Developer has made changes to the draft deliverable ensuring the final deliverable is a quality product meeting the requirements defined in the Deliverable Expectations Document.
Deliverable Review Sub-Team Lead	<ul style="list-style-type: none"> This role exists for deliverables of large size. The larger deliverable is split into smaller portions and a Review Sub-Team is created for each portion. The Deliverable Review Sub-Team Lead reports to the Deliverable Lead, but manages the sub-team with the following responsibilities: <ul style="list-style-type: none"> Serve as part of a Deliverable Review Team. Select a Sub-Team of Reviewers with the Deliverable Lead with approval from the DOEA Project Manager. Assist in the review team responsibilities. Distribute Deliverable to Deliverable Review Sub-Team Members. Manage the review and acceptance process within the Deliverable Review Sub-Team. Consolidate Comments for the Deliverable Review Sub-Team. Participate in comment resolution. Manage communications between the Review Sub-Team, the Deliverable Review Team, and the Deliverable Lead. Escalate unresolved issues to the Deliverable Lead
Contracts Manager	<ul style="list-style-type: none"> Review comments and recommendations for the deliverables from the Deliverable Lead. Coordinates with Executive Sponsor on formal acceptance of deliverable when needed. Use appropriate escalation processes as needed for deliverable content issues Final signoff on all deliverables. Accept or Reject the deliverable and communicate the disposition to the Vendor Project Manager and Deliverable Developer. Notify appropriate parties of acceptance/rejection of deliverable Submit status reports in accordance with eCIRTS Project Status and Schedule Management processes. Prepare Deliverable Review and Acceptance documentation for submission of payment invoice. Coordinate with the department Contract Management Office and Department of Financial Services to facilitate the payment of the Vendor invoice in compliance with Florida Statutes.

Table 20: Deliverable Management Roles and Responsibilities

11.3 DELIVERABLE REVIEW TEAM SELECTION

The Deliverable Review Team consists of individuals assigned to reviewer roles. Role assignment guidelines are provided in the Deliverable Review Team Assignment Definitions table below. The Deliverable Lead may be assigned to one of these roles. The PMO will have the authority to adjust these guidelines based on the size, type, and complexity of the deliverable.

Once the members of the Deliverable Review Team have been approved, the Deliverable Lead reviews responsibilities for the planned activities for the Deliverable planning, development, review, and acceptance activities with each member. This will include a discussion of the role and responsibilities for each member. The following table describes the roles and responsibilities of the Deliverable Review Team.

Role	Responsibility
Technical Expert	<ul style="list-style-type: none">▪ The individual in this role must have knowledge of the technical requirements of the deliverable and be qualified to review the deliverable for correctness, completeness, and appropriate level of detail.
Deliverable Expectations Reviewer	<ul style="list-style-type: none">▪ The individual in this role must be qualified to determine if the deliverable meets its contractual requirements, including the expectations, acceptance criteria, and scope set forth by the Deliverable Stakeholders. This individual will work with the other reviewers to ensure the details of the requirements are correct.
Subject Matter Experts	<ul style="list-style-type: none">▪ The individuals in this role must be qualified to review the deliverable based on their subject matter expertise in the business area to which the deliverable pertains.
Administrative Reviewer	<ul style="list-style-type: none">▪ The individual in this role must be qualified to review the deliverable for spelling, grammar, and compliance with the DOEA Project Document Management Plan (if applicable).

Table 21: Deliverable Review Team Assignment Definitions

11.4 DELIVERABLE REVIEW AND ACCEPTANCE PROCESS

This section provides an overview of the deliverable submission and review process to include a definition for each of the deliverable review and acceptance sub-processes illustrated in the exhibit below and described in further detail in the following sub-sections of this document. The term deliverable includes a variety of project work product types (e.g., software resolution, any QA results, and reports, etc.).

The Deliverable Review and Acceptance process is made up of five major sub-processes or phases as shown below.

Deliverable Review and Acceptance Process



Exhibit 13: Deliverable Review and Acceptance Process

11.5 DELIVERABLE EXPECTATION PROCESS

The Deliverable Expectations Process defines the following:

- Tasks, responsible actors, and outputs for establishing the contractual acceptance, format, and content expectations for project deliverables.
- Tasks, responsible actors, and outputs for the submission, receipt, and the review and comment feedback of draft deliverables, and the resolution of review feedback for acceptance of a final deliverable draft.
- Tasks, responsible actors, and outputs for the approval and invoice payment of a final deliverable.

The Deliverable Expectations process includes the steps involved in the documentation of expectations and acceptance criteria for a deliverable prior to its development. The process includes holding expectations meetings, documenting expectations, and acceptance criteria, and resolving any issues between the Deliverable Review Team and the Deliverable Developer prior to beginning development. The output of the process is an approved Deliverable Expectations Document (DED). The diagram below outlines the deliverable expectations development and approval process:

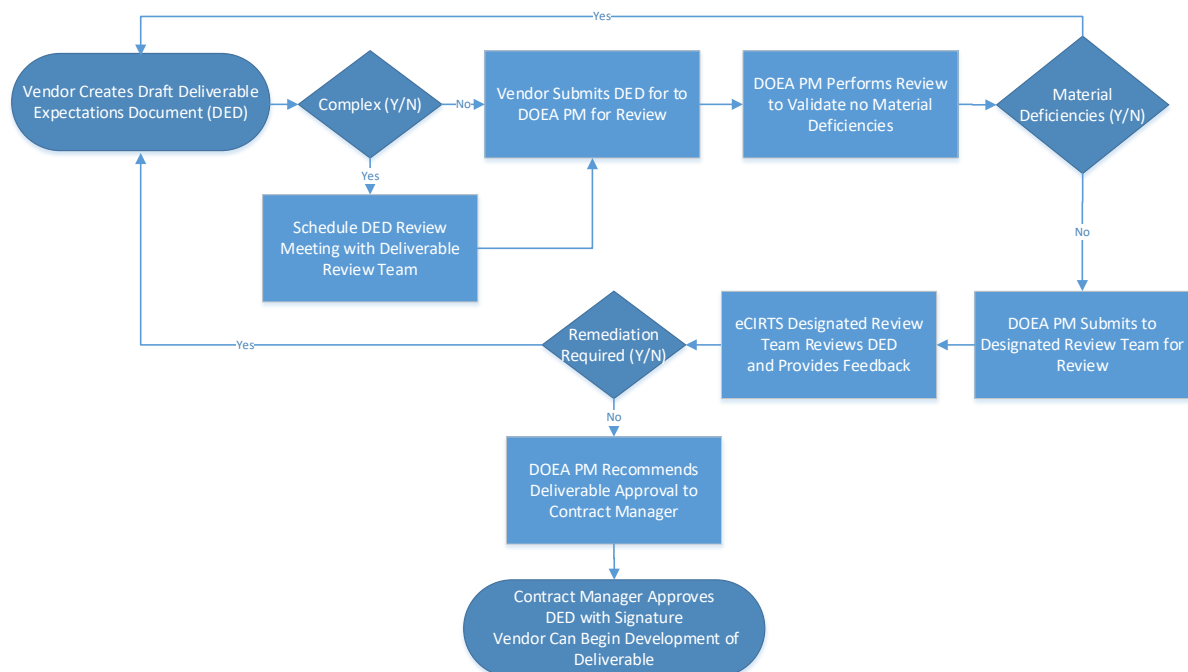


Exhibit 14: Deliverable Expectations Document (DED) Process

11.5.1.1 DELIVERABLE EXPECTATIONS DOCUMENT

The Deliverable Expectations Document (DED) is used to define deliverable requirements and the developer’s approach to meeting the deliverable requirements through the development of the deliverable.

In addition, the Deliverable Acceptance Criteria is recorded in the DED and includes all applicable acceptance criteria for each of the deliverable expectations. Each of the requirements defined must have corresponding criteria defining how that expectation will be measured. Since these acceptance criteria will be the definition of what is required for a deliverable to be considered complete and approved, it is critical to remove as much subjectivity and ambiguity as possible. The acceptance criteria must be clearly defined, quantifiable and measurable. Recorded in the document are the specifics of how the criteria will be measured, and any comments pertinent to further clarifying the criteria or assessment.

The DOE eCIRTS Project Manager will schedule one or more expectations meetings with the Vendor Project Manager, Workstream Lead, key eCIRTS Project personnel and the Deliverable Review Team members as part of the DED development process. The expectations meeting(s) are intended to formally establish expectations for the development of the deliverable. Expectations will focus on identifying and agreeing upon the “who”, “what”, “why”, “where”, “when”, and “how” for the development of the deliverable, and must include the acceptance criteria for the deliverable under development. It is important the Deliverable Lead schedule the expectations meetings allowing for the appropriate time to define, draft,

approve and baseline the Deliverable Expectations Document in advance of the date development is scheduled to begin on the deliverable. If a due date has not been set for a deliverable (either contractually or in the eCIRTS Project master project schedule) a date will be established during the DED development process and agreed to Deliverable Stakeholders.

The DOEA eCIRTS Project Manager will work with the Vendor Project Manager and the Workstream Lead to schedule the Deliverable Expectations meetings. The DOEA Project Manager is responsible for ensuring key stakeholders are invited to the expectations meeting and remain involved throughout the deliverable development process. All Deliverable Developers and Deliverable Review Team members must be adequately prepared for the Expectations meeting(s) by completing the following:

- Review any background information distributed by the DOEA eCIRTS Project Manager,
- In the case of vendor deliverables, study the procurement document giving special attention to the deliverable expectations, acceptance criteria, and the vendor proposal; discuss expectations with the vendor and key staff knowledgeable of issues inhibiting mutual understanding of the expectations of the deliverable, and
- Review of the Draft DED, developed by the Deliverable Developer, informed by preliminary meetings in the identification of the deliverable based on the final version of the vendor's contract and any subsequent amendments or modifications.

Following the Expectations meeting(s), the DOEA eCIRTS Project Manager will:

- Review and approve remediation required;
- Distribute the remediation required to the Deliverable Lead and Vendor Project Manager;
- Coordinate any updates to the Deliverable Expectations Document; and
- Schedule follow-up expectations meetings if applicable (resolve issues/action items, finalize deliverable expectations and acceptance criteria)

Once agreement is reached on the expectations and acceptance criteria, the Deliverable Developer updates the draft based on the outcomes of the Deliverable Expectations meeting(s) and submits the DED to the DOEA Project Manager who then distributes it to the Deliverable Lead for approval. The Deliverable Lead reviews and approves the document, or if at that time, agreement cannot be reached, escalates the concerns as project issues. Once finalized and approved, the Deliverable Lead sends it to all stakeholders who attended the expectations meeting to ensure understanding of the document by key deliverable stakeholders. Additionally, the expectations meeting minutes and the deliverable expectations and acceptance criteria document are entered into the eCIRTS Project document repository by the DOEA Project Manager.

All Vendors with contracted eCIRTS project deliverables are required to use the DOEA eCIRTS DED template. The DED Template can be found on the eCIRTS Project SharePoint Site.

The table below outlines the Deliverable Expectations Document process:

TASK	DESCRIPTION	ROLES
Develop Draft DED and Meeting Materials	<ul style="list-style-type: none"> The Workstream Lead develops the initial draft of the DED, the meeting agenda, and any supporting materials for the Deliverable Expectations meeting The Vendor Project Manager sends the DOEA eCIRTS Project Manager the draft DED for distribution to the key Deliverable Stakeholders 	DOEA eCIRTS Project Manager, Vendor Project Manager, Workstream Lead, Key Deliverable Stakeholders
Schedule Deliverable Expectations Meeting	<ul style="list-style-type: none"> The DOEA eCIRTS Project Manager schedules the Deliverable Expectations meeting to include all Deliverable Stakeholders (including deliverable developers) Distribute vendor solicitation document and proposal (if applicable) and related information about the deliverable for review prior to the meeting 	DOEA eCIRTS Project Manager
Prepare for Deliverable Expectations Meeting	<ul style="list-style-type: none"> Review information distributed by the Deliverable Lead Review vendor solicitation document and proposal requirements (if applicable) Identify deliverable expectations and prepare to review them with team Identify acceptance criteria and prepare to review them with team Review draft DED and any supporting materials 	DOEA eCIRTS Project Manager, Key Deliverable Stakeholders
Conduct Deliverable Expectations Meeting	<ul style="list-style-type: none"> The DOEA eCIRTS Project Manager will schedule the meeting and distribute meeting artifacts If necessary, the Deliverable Lead will guide participants in establishing the deliverable due date This meeting will include the Vendor Project Manager, Workstream Lead, and representatives of the Deliverable Review Team (at the Vendor Project Manager's discretion) Make initial determination of whether a Deliverable walk-through will be required Schedule and facilitate internal follow up meetings for clarification and consensus of acceptance criteria 	DOEA eCIRTS Project Manager

TASK	DESCRIPTION	ROLES
Document Remediation Required	<ul style="list-style-type: none"> DOEA eCIRTS Project Manager will document any remediation required and insert comments and/or edits into the DED through use of the collaboration tools on the eCIRTS SharePoint site 	DOEA eCIRTS Project Manager
Submit Final Draft DED for Approval	<ul style="list-style-type: none"> The Vendor Project Manager and Workstream Lead document the deliverable expectations and acceptance criteria in the agreed upon format and submits the document to the DOEA eCIRTS Project Manager for review and approval based on the planned date for submission documented in the eCIRTS Project Master Project Schedule Deliverable submission is based upon the planned submission date documented in the eCIRTS Project Master Project Schedule 	Vendor Project Manager, Workstream Leads, DOEA eCIRTS Project Manager
Distribute DED for Review and Approval	<ul style="list-style-type: none"> Vendor PM posts the DED submission to the eCIRTS Project SharePoint site as record of the DED submission DOEA eCIRTS Project Manager distributes the draft DED for Review and Approval 	Vendor Project Manager, DOEA eCIRTS Project Manager
Approve DED	<ul style="list-style-type: none"> Sign off DED and post to SharePoint 	Deliverable Lead

Table 22: Deliverable Expectations Process Description

11.5.1.2 DED FOR LARGE DELIVERABLES

Many deliverables are too large for one individual to read in its entirety within the review period. If it is determined at the Deliverable Expectations meeting that this is the case, the Deliverable Developer must identify section breaks or component parts to logically divide a review between several individuals or in the case of very large deliverables, review sub-teams. Deliverable expectations and acceptance criteria will be created, documented, and agreed upon to define the logical section breaks or component parts. During development, the Developer will ensure the deliverable is created to support the division of the document to meet the agreed upon expectations. Upon delivery, the Deliverable Lead will coordinate review effort by assigning the logical smaller sections or component parts to appropriate reviewers or review sub-teams based on expertise in the subject matter. Any deliverables of this nature will require a deliverable walkthrough upon delivery.

If it is determined at the Deliverable Expectations meeting a deliverable is likely to be so large or complex that a single review period is impractical steps will be taken at the meeting to establish a phased delivery plan.

The Deliverable Stakeholders shall review the requirements and expectations established for the deliverable and organize them into logical, manageable sections for submission at established intervals prior to the final deliverable due date. Each section shall include a detailed scope statement in a completed and approved DED that informs reviewers of which requirements and acceptance criteria are addressed in that section. In addition to individual reviews of each section, the Deliverable Lead will manage a review of the deliverable prior to the final deliverable due date. This process will ensure there will be no gaps when the Deliverable Developer combines the parts into a contiguous deliverable.

The phased delivery plan for the large deliverable may include a process for informal reviews, or development reviews of the sections prior to the formal submission of the consolidated deliverable. The goal of an informal review process is to facilitate collaborative development and to ensure expectations are met for detailed deliverable content between the Deliverable Lead and the Deliverable Developer before the formal and final review of the deliverable. The same guidelines and processes defined for the formal review of a deliverable will be employed for the informal review of a deliverable. Variations to the formal review guidelines contained within this document may be examined and considered for an informal review where appropriate and to enable a more streamlined and accurate approach to the informal and collaborative development of the deliverable. An informal review of a deliverable will be conducted with the understanding that approval of the deliverable can only be accomplished after the formal review of the deliverable has been completed.

The informal review process will be documented in the DED. Based on the deliverable development approach defined in the DED, supporting procedures will be developed and distributed to the Deliverable Development and Review Teams to ensure a standardized process for the development and documentation of the deliverable across all Project Stakeholders.

11.6 DELIVERABLE DEVELOPMENT

The key to the Deliverable Review Process performing at a high level is the involvement of the Deliverable Review Team in the Deliverable Development process. One of the criteria for the selection of the Deliverable Review Team is the opportunity for the individuals to be involved in the development of the deliverable. A Reviewer is not permitted to perform any actual development, but is expected to interact with the Developer by providing input, expertise, decision making, and ongoing review of the deliverable. Following this involvement, the Review Team will be prepared with sufficient background on the deliverable to perform an educated, timely, and thorough review of the deliverable.

During the Deliverable Development process decisions may be agreed upon by the eCIRTS Project Manager and the Vendor Project Manager that impact the DED. When this occurs the Vendor Project Manager is responsible for making the updates to the baselined version of the DED and submitting the revised document to the DOEA eCIRTS Project Manager. The DOEA eCIRTS Project Manager is responsible for managing the DOEA review and approval process for the updated DED.

11.6.1 DELIVERABLE FORMAT AND CONTENT

All deliverables, word processing documents, spreadsheets, presentations, charts, databases, or other project artifacts will be provided in a format approved by and currently supported by the DOEA eCIRTS Project Team. These formats include:

- Microsoft Office 2013 or higher (Word, Excel, PowerPoint, etc.)

- Microsoft Visio Professional 2013 or higher
- Microsoft Project 2013 or higher

The content and format of the deliverables will be documented in the Deliverable Expectations Document (DED) in accordance with relevant industry standards “best practices” and where appropriate, must follow the DOE A PMO Document Management templates and Standards.

The DOE A eCIRTS Project Manager may reject a deliverable (draft or final) as materially deficient that is missing agreed upon content or has significant spelling, grammatical, punctuation, format, and/or pagination errors. If the deliverable is rejected on this basis, all grammatical, spelling, punctuation, format, and/or pagination errors will be corrected, and another quality control review will be conducted before the deliverable is resubmitted. The DOE A eCIRTS Project review team deliverable review cycle will begin based on the re-submission date and not on the original submission date.

11.6.2 INITIAL QUALITY REVIEW

All deliverables, upon submission to the PMO will undergo an initial quality review for completeness and for compliance with the project document management standards and the deliverable management processes. The Initial Quality Review will examine the following items:

- Compliance with the DED;
- Compliance with project DOE A Document Management standards and use of approved project templates (where applicable);
- Deliverable review is in-sync with review cycle (e.g., Submission, Draft, Final, etc.);
- All sections in the document appear to contain agreed upon content;
- Formatting complies with contract requirements and appears reasonable;
- The deliverable review schedule is consistent with/matches the review schedule documented in the DED;
- The vendor has performed spelling and grammar quality assurance; and
- Quality checklist accompanies the deliverable document.

If the submitted deliverable is found to be materially deficient, it will be returned to the vendor for corrective action prior to entering the formal review process. If the submitted deliverables pass the initial quality review, the deliverables are then distributed to the eCIRTS Project deliverable review team for deliverable review, comment feedback and or approval. If the submitted deliverables do not pass the initial quality review the eCIRTS Project manager will work with the Review Team, the Vendor Project Manager and the Workstream Lead to document and communicate the remediation requirements of the deliverable submission.

11.7 DELIVERABLE SUBMISSION

Each deliverable will be submitted in accordance with the approved PMP and Project Schedule for review and acceptance by the DOE A Project Manager and Deliverable Review Team.

When submitting deliverables to DOEA, the deliverable developers will ensure submissions are communicated at a minimum to the following individuals.

- The Business Functional Sponsor;
- CIO;
- The DOEA Project Manager/PMO;
- The eCIRTS Project Deliverable Lead/PMO; and
- IV&V.

For eCIRTS Project deliverables, the complete list of responsible parties receiving the submission emails can be found in the deliverable's corresponding DED.

For deliverables consisting of multiple components, files, documents, etc., the number and type of products to be submitted must be identified in the DED. Additionally, the deliverable will only be considered submitted and the review cycle will only start when all components have been submitted.

Drafts of deliverables may be submitted for DOEA's preliminary review. Depending upon the complexity of the deliverable and at DOEAs discretion, the Workstream Lead submitting the deliverable may conduct a walk-through of the draft content upon submission to assist the review process. The requirement for a Deliverable Walkthrough must be agreed upon in the DED.

The final deliverable review is intended to be a confirmation that any minor corrections required because of the preceding draft reviews have been made and a cursory review or "spot check" of the overall deliverable. As such, to manage expectations and expedite the final deliverable review and approval process, the final deliverable will not differ materially from the preceding draft deliverable submitted for DOEA's review.

As part of this submission, the deliverable owner will submit an email referencing the completed Deliverable Transmittal Form (listed in the exhibit below) upon submission. These documents serve to provide a summary of the deliverable, identify its content, its owner, and to initiate feedback from the reviewers within the agreed upon review period. The deliverable owner and the reviewers will use the eCIRTS SharePoint Project Library for all collaboration related to the storage and review of all document deliverables.

Deliverable DXX	
Deliverable	Acceptance Criteria
<ul style="list-style-type: none"> Name of Deliverable 	<ul style="list-style-type: none"> Reference the Deliverable Expectation Document Name of Deliverable, v1.00, Date

The undersigned acknowledge and accept delivery of the work completed for this deliverable on behalf of the Department of Elder Affairs. The signatures attest to our agreement that this deliverable has been completed. No further work is required on this deliverable.

DOEA Project
Manager:

Name	Date

Vendor Project
Manager:

Name	Date

Exhibit 15: Sample Deliverable Transmittal Form

11.7.1 DELIVERABLE ACCEPTANCE OR REJECTION

The key to the Deliverable Review Process performing at a high level is the involvement of the Deliverable Review Team in the Deliverable Development process. One of the criteria for the selection of the Deliverable Review Team is the opportunity for the individuals to be involved in the development of the deliverable. A Reviewer is not permitted to perform any actual development, but is expected to interact with the Developer by providing input, expertise, decision making, and ongoing review of the deliverable. Following this involvement, the Review Team will be prepared with sufficient background on the deliverable to perform an educated, timely, and thorough review of the deliverable.

During the Deliverable Development process decisions may be agreed upon by the eCIRTS Project Manager and the Vendor Project Manager that impact the DED. When this occurs the Vendor Project Manager is responsible for making the updates to the baselined version of the DED and submitting the revised document to the DOEA eCIRTS Project Manager. The DOEA eCIRTS Project Manager is responsible for managing the DOEA review and approval process for the updated DED.

11.8 DELIVERABLE REVIEW PROCESS

All CIRTS Project deliverables must be reviewed to confirm the acceptance criteria has been met as outlined in the DED. The Deliverable Review process is initiated when the Vendor Project Manager submits a deliverable for acceptance. The deliverable must be 100% complete and in final format prior to submission. In the case of a phased deliverable, each of the sections will be managed as an individual deliverable. Once the review of each of the sections is complete, a final review will be conducted over the deliverable to ensure there are no gaps between the sections.

The following exhibit is the diagram of the eCIRTS Deliverable Review Process:

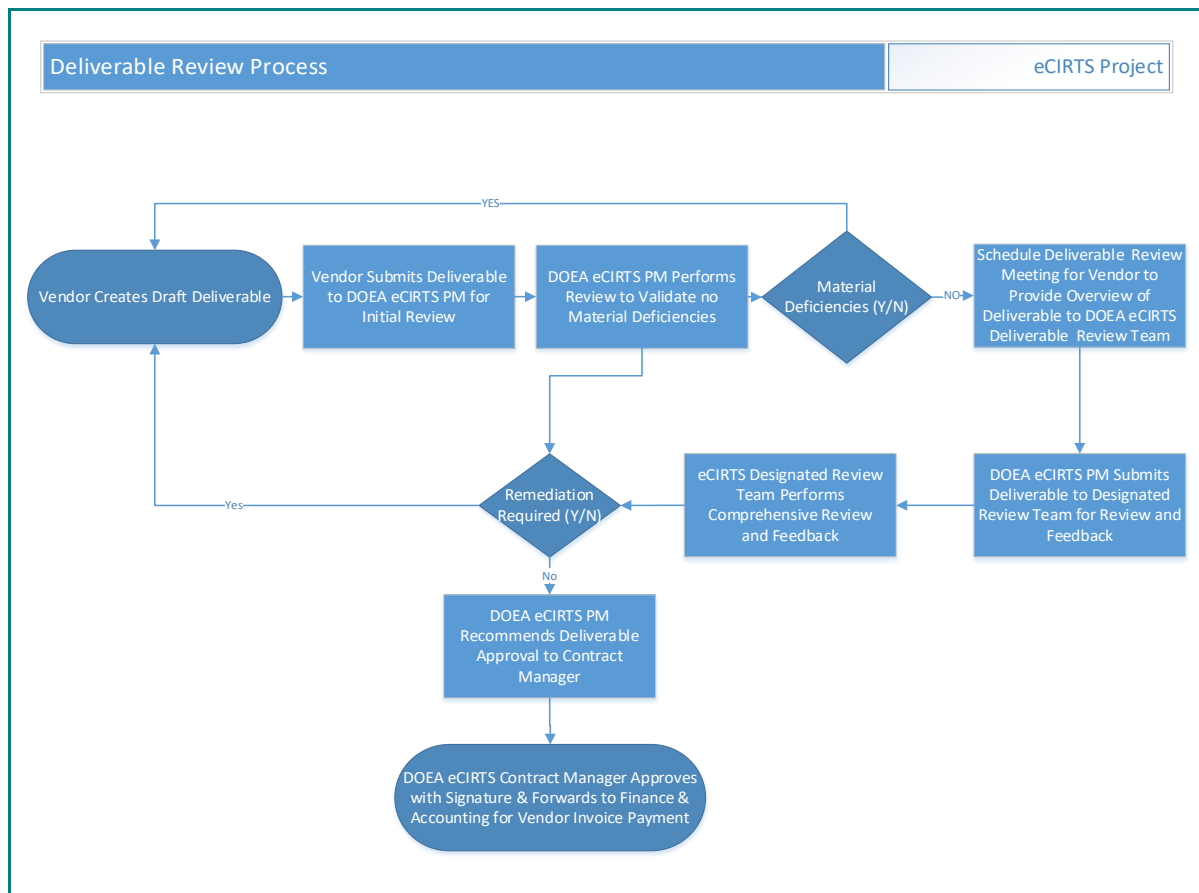


Exhibit 16: Deliverable Review Process

The table below provides a detailed description of the Deliverable Review Process shown in the previous exhibit:

TASK	DESCRIPTION	RESPONSIBLE ACTOR(S)
Vendor Creates Deliverable	Vendor Creates Draft deliverable.	Vendor Workstream Lead or Project Manager
Vendor Submits Deliverable	Vendor Project Manager submits the deliverable to the DOEA Project Manager for Initial Review.	Vendor Project Manager
DOEA Project Manager (PM) Performs Review to Validate no Material Deficiencies	The DOEA PM performs the initial quality review of the deliverable to validate there are no Material Deficiencies present. If Material Deficiencies are found, the deliverable is returned to the vendor for remediation.	DOEA Project Manager

DOEA eCIRTS PM Schedules Overview of Deliverable by Vendor for DOEA Review Team	The DOEA PM schedules an Overview of the deliverable by the vendor for the DOEA Review Team. These sessions are to allow the DOEA Review Team to ask questions and receive any clarification or additional information needed prior to initiating the review of the deliverable.	DOEA Project Manager Review Team Workstream Lead Vendor Project Manager
Deliverable Review Team performs review and provides feedback / comments via Online Collaboration or Comment Spreadsheet (where Online not feasible)	<ul style="list-style-type: none"> ▪ Deliverable Review Team members review the deliverable in accordance with their assigned role. ▪ Deliverable Team will enter comments into deliverable using online collaboration tool or Deliverable Comments Review Sheet (where Online not feasible). 	DOEA Project Manager Review Team
Vendor Conducts Remediation (if required)	<ul style="list-style-type: none"> ▪ Deliverable Review Team comment / feedback is reviewed and all comments given a disposition. ▪ The deliverable is modified to reflect the review team's consolidated comments. ▪ Deliverable revision history and version number are updated. ▪ Questions/Issues/clarification regarding the comments are discussed with the Deliverable Lead and resolved. ▪ Return Updated Deliverable, Updated comment spreadsheet (when utilized) and Deliverable Transmittal Form to DOEA Project Manager. ▪ Whenever possible, the deliverable will be returned with track changes turned on. This will help clarify what changes were made and speed up the final review process. 	Vendor Project Manager Workstream Lead DOEA Project Manager
Complete DOEA Project Manager Review	Once the Review Team activities and any necessary vendor remediation have been completed, the DOEA Project Manager will review the deliverable and provide any necessary comments or feedback using the online collaboration tool or comment spreadsheet.	DOEA Project Manager
Remediate Issues (if required)	<ul style="list-style-type: none"> ▪ DOEA Project Manager comments/feedback is reviewed and all comments given a disposition. ▪ The deliverable is modified to reflect the DOEA Project Manager's comments. 	DOEA Project Manager Workstream Lead

	<ul style="list-style-type: none"> ▪ Deliverable revision history and version number are updated. ▪ Questions/Issues/Clarification regarding the comments are discussed with the Deliverable Lead and resolved. 	
Start the Approval Process	Once the Deliverable Review Process has been completed, the Deliverable will be submitted for Approval to the Contract Manager.	DOEA Project Manager

Table 23: Deliverable Review Process Description

11.8.1 REVIEW CYCLE OBJECTIVE

The eCIRTS Project Plan Deliverable Review and Acceptance Process will utilize the shortest review cycle possible that ensures a quality deliverable outcome. This ensures deliverables are reviewed and accepted without unnecessary delay. This concept requires commitment from the Deliverable Review Team as well as a robust quality commitment from the vendor to conduct a thorough and informed review of the deliverable at the time of submission. Subsequent reviews will be focused on ensuring comments documented in the previous reviews were addressed to the team's satisfaction. The success of this review concept also depends on deliverables being 100% complete prior to submission.

11.8.2 DELIVERABLE REVIEW COMMENTS

Each Deliverable Review Team member will clearly understand the role they have been assigned in the deliverable review process prior to providing comments. Reviewers will be expected to apply their business, technical, or subject matter expertise to identify and suggest constructive solutions to any problems found with the deliverable's content related to their role and within the specified timeframe. Reviewers will be expected to provide their comments to the Workstream Lead using track changes in the draft deliverable via eCIRTS SharePoint and meet collaboratively to review comments prior to resubmitting to vendor. For Microsoft Word documents where collaboration is available, reviews will use online tracking. Other deliverables, e.g., Microsoft Excel spreadsheets, do not have tracking capabilities; therefore, Deliverable Comment Spreadsheets may be used). Guidelines based on the size of the document and review team are detailed in the table below. Comments must be actionable and not just statements or questions. Comments must reference the appropriate sections of the Deliverable to the greatest extent possible. If there is a global comment that applies to different sections across the deliverable document, the appropriate references will be included across the document for all necessary changes to be made and tracked as opposed to documenting a single global comment.

When the Deliverable Review Team has completed their review, the DOEA eCIRTS Project Manager is responsible for clarifying discrepancies in comment feedback across the deliverable review team. If necessary, the DOEA eCIRTS Project Manager will conduct a comment review meeting during which the Team will discuss their findings. The vendor may be asked to have resources available to answer questions in a "green room" scenario to assist with expediting this process. Where inline comments and track changes are used to provide deliverable review feedback, the DOEA eCIRTS Project Manager is responsible to ensure that the updated deliverable is legible, content insertions are clear and organized, and comments are actionable. Where the comment review spreadsheet is used to provide deliverable review feedback, the DOEA eCIRTS Project Manager will consolidate all comments into one spreadsheet, removing duplicates and clarifying vague language. The DOEA eCIRTS Project Manager will also post the comment spreadsheet in a location where the Deliverable Review Team can view the contents prior to submission. If additional comments are received after the initial submission to the DOEA eCIRTS Project Manager, the Deliverable

Review Team Lead will submit a revised complete set of comments to the Deliverable Lead to alleviate any confusion.

The Deliverable Comment Spreadsheet and or Updated Deliverable Document(s) are then provided to the Deliverable Developer. If at any time during the Deliverable Review Process the Deliverable Lead requires clarification to provide a more actionable comment, then the Deliverable Lead will contact the Deliverable Developer for clarification. If a Deliverable Review Team member requires clarification she or he will notify the Deliverable Lead who in turn will coordinate with the Deliverable Developer for the information. If the Deliverable Lead or a Deliverable Review Team member encounters a critical issue while reviewing a deliverable, that issue must be raised immediately to the PMO and not held for a deliverable review comment.

The DOEA eCIRTS Project Manager will schedule a meeting with the Vendor Project Manager and Workstream Lead on or about the date which the comments are expected to be returned to the Workstream Lead. The DOEA eCIRTS Project Manager, the Deliverable Review Team, the Vendor Project Manager, and the Workstream Lead will review the comments at that time to seek clarification and/or resolution to the deliverable review comments.

For larger deliverables where the comment volume is expected to be high, it is very important to build time into the deliverable review process for deliverable sub-team and review team to perform comment QA and consolidation. The approach to both developing and reviewing a large deliverable will be defined and agreed upon during the Expectations and Acceptance Criteria process and documented in the DED to include examining and modifying the Deliverable Review Comment spreadsheet/template to accommodate the format and vocabulary of the deliverable.

11.8.3 DELIVERABLE REVIEW PERIOD GUIDELINES

The standard deliverable review period is a guideline and will be evaluated for each deliverable based on type, size, and complexity. In the absence of a contractual obligation, a reasonable review period for a deliverable must be agreed upon by the DOEA eCIRTS Project Manager, and the Vendor Project Manager prior to beginning the review process. When developing the schedule, the Vendor has leeway to determine the length of its internal review if it does not impact the deliverable due date.

The table below summarizes the standard deliverable review period.

DELIVERABLE SUBMISSION PROCESS	TASK DURATION
Conduct DOEA Review	2 days per 50 pages
Remediate Issues from DOEA Review	5 days
DOEA Review of Vendor Remediation	1 day per 50 pages
Final Delivery and Signoff	1 day

Table 24: Deliverable Review and Approval Timeline

The table below outlines recommended deliverable review guidelines.

DELIVERABLE TYPE	SIZE	DELIVERABLE REVIEW FORM
Microsoft Word	1-150 pages	SharePoint Collaboration
	150-500 pages	SharePoint Collaboration
	500+	SharePoint Collaboration
Others (Microsoft Project, Microsoft Visio, Microsoft Excel, etc.)	All	SharePoint Collaboration

Table 25: Sample Deliverable Review Guidelines

11.8.4 DELIVERABLE REVIEW ISSUE RESOLUTION

Throughout this process, the DOEA Project Manager will work with the Workstream Lead, the Vendor Project Manager, and the Deliverable Stakeholders to resolve issues as they arise. For example, after the compliance acceptance, if at any time during the deliverable review process, the Deliverable Review Team determines the deliverable does not meet minimum expectations to a level where the deliverable must be rejected, they will communicate their objections to the Deliverable Lead. If the DOEA eCIRTS Project Manager and Vendor Project Manager are unable to come to an agreement, an issue must be created and escalated to the PMO using the PMP Issue Item management process, who may resolve the issue or solicit executive input. For details, refer to the Issue Item Management Process in this document. The DOEA Project Manager is responsible to ensure that the resolution to an issue is communicated to all Deliverable Stakeholders.

If it is determined a deliverable is materially insufficient and is rejected, the review cycle will end immediately. The DOEA eCIRTS Project Manager will manage a high-level review of the deliverable to find any other fatal flaws then begin the issue process. Part of the issue resolution process will be to determine how to move forward with the deliverable and the effects on the project schedule.

11.9 DELIVERABLE ACCEPTANCE PROCESS

The Deliverable Acceptance Process outlines the steps taken to officially accept a deliverable, and if applicable, approve it for payment. Once the deliverable review process is complete, the Deliverable Lead will provide his or her accept/reject recommendation to the Project Manager.

The DOEA eCIRTS Project Manager notifies the Project Manager of acceptance or rejection of the Deliverable. If the DOEA eCIRTS Project Manager recommends acceptance, the Contract Manager approves with signature and forwards the final deliverable with an updated DED indicating department approval to Contract Management for invoice payment. If the DOEA eCIRTS Project Manager does not recommend approval, meetings are conducted with the DOEA Project Manager, the Vendor Project Manager, and where necessary, the Executive Sponsor to remediate any discrepancies. Once the identified discrepancies are corrected and the final deliverable is approved, the DOEA Project Manager forwards the final deliverable with an updated DED indicating department approval for invoice payment. This ends the Deliverable Acceptance process.

The following exhibit is a high-level diagram of the Deliverable Acceptance Process:

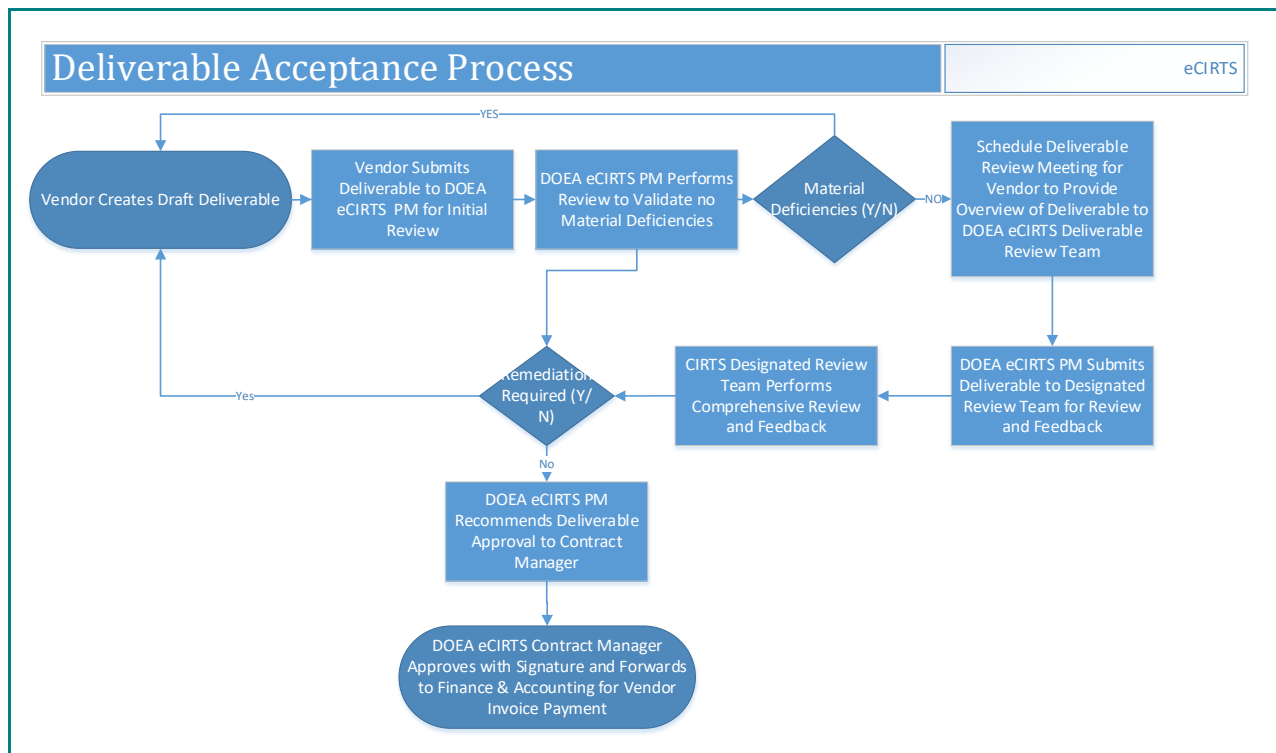


Exhibit 17: Deliverable Acceptance Process

The table below provides detail about the tasks associated with the Deliverable Acceptance Process.

TASK	DESCRIPTION	RESPONSIBLE ACTOR(S)
Send Deliverable Comments, Approval Recommendation and Completed DED	The DOEA Project Manager sends the completed Deliverable Review Feedback Form, a completed DED and recommendations for approval to the Contract Manager.	DOEA Project Manager
Review Final Deliverable Materials and Recommendations	The DOEA Project Manager reviews the materials and makes an approval determination.	DOEA Project Manager
Determine if a Meeting is Required	The DOEA Project Manager determines if there are any outstanding or unresolved action items or criteria for approval and if so, requires a Deliverable Acceptance Meeting be scheduled. If Yes, advance to "Coordinate Deliverable Acceptance Meeting." If No, advance to "Approve Final Deliverable."	DOEA Project Manager
Coordinate Deliverable Acceptance Meeting	The DOEA Project Manager schedules the Deliverable Acceptance Meeting with the Contract Manager and Vendor Project Manager and any other relevant project stakeholders required to address and resolve outstanding action items.	DOEA Project Manager Contract Manager Vendor Project Manager
Conduct Deliverable Acceptance Meeting	The DOEA Project Manager facilitates the Deliverable Acceptance Meeting to ensure all outstanding action items are addressed.	DOEA Project Manager PMO Manager Vendor Project Manager
Remediate Acceptance Criteria Gaps and Resubmit Final Deliverable	The Workstream Lead updates the Final Deliverable Draft based on the outstanding acceptance criteria and resubmits an updated version of the Final Deliverable.	Workstream Lead
Distribute Resubmission of Final Draft	The DOEA Project Manager PMO Manager Vendor Project Manager redistributes the updated final Deliverable to the designated Deliverable Review Team members.	DOEA Project Manager Contract Manager Vendor Project Manager

TASK	DESCRIPTION	RESPONSIBLE ACTOR(S)
Review Resubmission of Final Draft	The DOEA Project Manager works with the Review Team to facilitate the review the Final Deliverable to ensure that the outstanding acceptance criteria have been addressed.	DOEA Project Manager Deliverable Review Team
Determine if Acceptance Criteria are Met	If Yes, the DOEA Project Manager documents the resolution of the outstanding acceptance criteria and gives recommendation to approve the final deliverable. If No, the DOEA Project Manager works with the Vendor Project Manager to remediate acceptance criteria.	DOEA Project Manager
Determine if Issues Exist	If Yes, and there are issues that prevent the acceptance of the Final Deliverable, go to the Issue Item Management Process to resolve the outstanding issues.	DOEA Project Manager
Send Resubmission Documentation and Approval Recommendation	The DOEA Project Manager sends the updated Deliverable Review Feedback Form, Final Deliverable and DED for approval to the DOEA PMO Manager.	DOEA Project Manager
Approve Final Deliverable	The DOEA PMO Manager approves the Final Deliverable and signs the DED indicating the Acceptance criteria have been met and the Deliverable has been approved. The DOEA PMO Manager sends an email notification to the Deliverable Stakeholders informing them of the approval.	DOEA Contract Manager
Submit Baselined Deliverable for Payment	The Deliverable Developer baselines the approved Final Deliverable based on the Document Management Process and submits the Baselined Deliverable to the DOEA Project Manager.	Vendor Project Manager

TASK	DESCRIPTION	RESPONSIBLE ACTOR(S)
Send Baselined Deliverable, DED to Contract Manager and Archive on eCIRTS SharePoint Site	The DOE Project Manager conducts a quality review check to make sure the Baselined Deliverable complies with the Project Document Management standards. If Yes, the DOE Project Manager sends the Baselined Deliverable and updated and completed DED to the Contract Manager. The DOE Project Manager archives the Baselined Deliverable on the Project SharePoint Electronic Repository.	Vendor Project Manager
Submit Baselined Deliverable and DED to the department's Finance and Accounting office for Payment	The DOE Contract Manager submits the Baselined Deliverable, the signed DED and the Invoice for Payment to the department's Finance and Accounting office.	DOEA Contract Manager

Table 26: Deliverable Acceptance Process Description

For larger deliverables, the additional signoff and control forms may be required to track approval of iterative and incremental reviews of smaller components of the deliverable across the Deliverable Review Teams and Sub-Teams. If the Deliverable Reviewers are satisfied the vendor deliverable has met all contractual obligations, the DOE Contract Manager finishes the acceptance process by notifying the Deliverable Developer of deliverable acceptance and beginning the invoicing process.

Should the DOE Contract Manager have questions regarding the recommendation and supporting documentation provided to substantiate the acceptance of the deliverable, a contract review meeting will be held to address any outstanding concerns. The DOE Contract Manager is responsible for notifying the Vendor Project Manager and the DOE Project Manager of the concern. The DOE Project Manager is responsible for coordinating the Contract Review Meeting with the DOE PMO Manager, the Vendor Project Manager, the Workstream Lead, and the Executive Sponsor as appropriate. The DOE Contract Manager and DOE Project Manager are responsible for working with the Vendor Project Manager and the Workstream Lead to resolve any concerns as well as provide the necessary documentation to demonstrate contractual compliance for acceptance and payment of the deliverable.

11.9.1 TRACKING CHANGES AND/OR UPDATES TO APPROVED DELIVERABLES

For those deliverables requiring scheduled updates as part of their standard lifecycle as well as for those deliverables requiring changes based on upstream or downstream modifications to other integrated deliverables in the schedule, it is necessary to track interim changes as they occur in between the scheduled updates to the approved deliverables. How interim changes are tracked will be defined and agreed upon prior to the approval and baselining of a deliverable. Once a deliverable has been approved and baselined, the deliverable is submitted to the DOE Project Manager, posted, and stored in the eCIRTS

Project SharePoint site. The Requirements for subsequent updates and changes to approved and baselined project deliverables as well the responsible party for the change should be defined the DED.

11.10 eCIRTS PROJECT DELIVERABLE TABLE

The eCIRTS Project Deliverables listed below are those project deliverables that will likely be used as a starting point in the Invitation to Negotiate (ITN). As more definitive information becomes available during the procurement process the final deliverables will be refined and included as component of the contract.

#	Phase	Deliverables	Contractor/ Subcontractor	Deliverable Cost
1.	Plan Phase	Project Management Plan The Project Management Plan includes the PM Plan and sub-plans such as the scope management and resource management plans. The contractor shall leverage the enterprise Project Management Plan developed by the eCIRTS Pre-DDI Project's planning vendor in developing their Project Management Plan. Additional plans of the Project Management Plan that shall be updated by the contractor include: <ul style="list-style-type: none"> ▪ Project Plan Summary; ▪ Project Scope Management Plan; ▪ Resource Management Plan; ▪ Risk Management Plan; ▪ Communication Plan; ▪ Organizational Change Management (OCM) Plan; ▪ Workforce Transition (WFT) Plan; and ▪ Project Change Management Plan. 		
2.	Plan Phase	eCIRTS Project Schedule and Work Breakdown Structure (WBS) The eCIRTS Project Schedule and WBS deliverable defines the detailed task, milestone, and resource list for the delivery of the project.		
3.	Plan Phase	Quality Management Plan The Quality Management Plan deliverable defines the approach for the review and assurance of quality delivery of the overall solution.		

#	Phase	Deliverables	Contractor/ Subcontractor	Deliverable Cost
4.	Plan Phase	Security Management Plan The Security Management Plan deliverable defines the security protocols, controls, approaches and verifications that will be implemented during the delivery of the project.		
5.	Define Phase	Benefits Realization Plan The Benefit Realization Plan documents the quantifiable metrics that are developed and tracked to measure the benefits of the new solution.		
6.	Define Phase	Fit Gap Analysis and Requirements Validation The Fit Gap Analysis and Requirements Validation deliverable identifies the gaps between the current and future state requirements of the Department, and then provides a list of the prioritized, validated and approved requirements. Supporting components to the Fit Gap Analysis and Requirements Validation that shall be provided by the contractor include: <ul style="list-style-type: none"> ▪ Process Models. 		
7.	Define Phase	Requirements Traceability Matrix (RTM) The RTM deliverable defines the system requirements that must be met by the delivered solution. The RTM shall correspond with Use Cases developed by the contractor and provide full traceability of the requirements.		

#	Phase	Deliverables	Contractor/ Subcontractor	Deliverable Cost
8.	Design Phase	<p>Systems Design Document</p> <p>The Systems Design Document deliverable describes, conceptually in business language the approach for tailoring the system to meet the requirements as defined in the RTM.</p> <p>Supporting documents to the Systems Design Document that shall be provided by the contractor include:</p> <ul style="list-style-type: none"> ▪ Business Design Document; ▪ User Interface Control Document; ▪ Systems Integration Document; ▪ ER Diagram; ▪ Data Dictionary; ▪ Infrastructure Requirements; ▪ Security Requirements; ▪ ADA Compliance Requirements; ▪ Maintenance Requirements; ▪ User Documentation Requirements. 		
9.	Design Phase	<p>Report Development Inventory</p> <p>The Reports Development Inventory deliverable contains the confirmed list of reports that will be delivered as part of the solution.</p>		
10.	Design Phase	<p>Correspondence Development Inventory</p> <p>The Correspondence Inventory deliverable will contain the confirmed list of correspondence that will be delivered as part of the solution.</p>		
11.	Design Phase	<p>Interface Development Inventory</p> <p>The Interface Development Inventory deliverable contains the confirmed list of interfaces that will be delivered as part of the solution.</p>		

#	Phase	Deliverables	Contractor/ Subcontractor	Deliverable Cost
12.	Design Phase	Architectural Design Document The contractor shall develop an Architectural Design Document that will include the infrastructure and application topology for the system. This should include network topology, subnets and network inventory, machine interconnects, compute, and storage resources, backup, and Disaster Recovery environment specifications, physical and logical diagrams, and complete bill of materials for the hardware and software to support the complete solution.		
13.	Design Phase	Interface Specification Design Document The Interface Specification Design Document deliverable will define for each interface the target system, transformation required, coordination, schedule, etc.		
14.	Develop Phase	Development and Unit Test Standards The Development Code and Unit Test Standards deliverable defines the process to which modules will be developed, presented and unit tested prior to release to the testing work stream.		
15.	Develop Phase	Module Completion Report The Module Completion Report deliverable is a milestone document that identifies enhancements made and items to be completed (bugs, fixes, etc.) and indicates a defined module or configured component is ready for promotion to the testing work stream. The Module Completion Report is to be completed at the end of: <ul style="list-style-type: none"> ▪ Code Unit Testing; ▪ Reports Development; ▪ Forms and Correspondence Development. 		

#	Phase	Deliverables	Contractor/ Subcontractor	Deliverable Cost
16.	Develop Phase	Data Conversion Plan The Data Conversion Plan deliverable details the methods and processes to execute the required data conversions from the legacy systems to the eCIRTS system. This should also include: <ul style="list-style-type: none"> ▪ Identification of all legacy applications for a Release; ▪ Master data elements; ▪ Data Element Mapping Crosswalk; ▪ Data governance approach; and ▪ Iterative Data Conversion Results (per cycle). 		
17.	Develop Phase	Final Conversion Report The Final Conversion Report deliverable provides the detailed metrics and disposition of data elements from the legacy system to the eCIRTS solution.		
18.	Develop Phase	Master Test Plan The Master Test Plan deliverable defines the process and approach for all comprehensive levels of testing and the testing work streams, such as system integration, performance, unit, accessibility, regression, and security testing. Supporting plans to the Master Test Plan that shall be provided by the contractor include: <ul style="list-style-type: none"> ▪ Unit Test Plan ▪ System Test Plan ▪ User Acceptance Plan ▪ Final Back Out Plan for Controlled Test Environment; ▪ Final Test and Validation Plan; ▪ Performance Test Plan; ▪ Security Test Plan; ▪ UAT Training and Support Plan; ▪ System Investigation Request Log; and ▪ Key Performance Measures Criteria Report. 		

#	Phase	Deliverables	Contractor/ Subcontractor	Deliverable Cost
19.	Test Phase	System Integration Test Scripts The System Integration Test deliverable defines the scripts aligned to use cases to systematically verify the solution operations.		
20.	Test Phase	Develop UAT Scripts The UAT Scripts deliverable defines the scripts that will be used to execute UAT.		
21.	Test Phase	Infrastructure Management Plan The Infrastructure Management Plan deliverable defines the process and approach to tracking and managing infrastructure resources and their support plans and the licensing management. Supporting plans to the Infrastructure Management Plan that shall be provided by the contractor include: <ul style="list-style-type: none"> ▪ System Management Plan. 		
22.	Test Phase	Security Verification The Security Verification deliverable documents the results and successful execution of the security testing procedures documented in the Security Testing Plan.		
23.	Test Phase	Test/Analysis Problem Report The Test/Analysis Problem Report deliverable defines the outcome of the systems integrations testing.		
24.	Test Phase	Application Owner User Acceptance (UAT Completion) The UAT Completion deliverable provides the detailed results of the UAT execution and sign-off.		

#	Phase	Deliverables	Contractor/ Subcontractor	Deliverable Cost
25.	Implement Phase	<p>Detailed Implementation Plan</p> <p>The Detailed Implementation Plan deliverable outlines the detailed processes and approach to the implementation of the eCIRTS solution. This shall include a Master Training Plan.</p> <p>Supporting plans to the Detailed Implementation Plan that shall be provided by the contractor include:</p> <ul style="list-style-type: none"> ▪ Updated Enterprise Schedule; ▪ Administrator Training Plan; ▪ User Training Plan; ▪ Tester Training Plan; ▪ Back Out Plan for Production; ▪ Final Back Out Plan for Production Environment. 		
26.	Implement Phase	<p>Final Training Materials</p> <p>The Final Training Materials deliverable consists of the procedures, interactive courses, schedule, support, curriculum, sample data, etc. needed to train the users of the eCIRTS.</p>		
27.	Implement Phase	<p>Final System and User Documentation Document</p> <p>The Final System and User Documentation Document deliverable consolidates the system and user documentation to the Department required for the operation of the overall solution.</p> <p>Supporting documents to the System and User Documentation Document that shall be provided by the contractor include:</p> <ul style="list-style-type: none"> ▪ System Administration Manual; ▪ User Manual; ▪ Final System Administration Manual. 		
28.	Implement Phase	<p>Delivered System</p> <p>The Delivered System deliverable defines the completion of the implementation of the system.</p>		

#	Phase	Deliverables	Contractor/ Subcontractor	Deliverable Cost
29.	Implement Phase	Post Implementation Security Verification The Post Implementation Security Verification deliverable defines the results set from all security testing after the system has been implemented in production.		
30.	Implement Phase	Final Disaster Recovery Plan The Final Disaster Recovery Plan deliverable defines the approach for the recovery of the solution in the event of a disaster event. It details the roles, responsibilities, recovery point objectives, recovery time objectives and processes to be executed by the recovery team. Supporting plans to the Disaster Recovery Plan that shall be provided by the contractor include: <ul style="list-style-type: none"> ▪ Initial Application Restoration Plan. 		
31.	Implement Phase	Vendor Triage Daily Report The Triage Daily Report deliverable contains the open and resolved defects triaged by the implementation team and their status.		
32.	Implement Phase	Vendor Triage Weekly Summary Report The Triage Weekly Summary Report deliverable contains the metric summary of defects reported throughout the week on the Triage Daily Report.		
33.	Implement Phase	Post Implementation Warranty Evaluation Report The Post Implementation Evaluation Report deliverable details the lessons learned from the activities related to the implementation of the eCIRTS solution.		
34.	Implement Phase	Deployment Checklist The Deployment Checklist deliverable defines the systematic processes and timing that must be adhered to for the successful pre-implementation, implementation, and post-implementation of the eCIRTS solution.		

#	Phase	Deliverables	Contractor/ Subcontractor	Deliverable Cost
35.	Operations and Maintenance	Operations and Maintenance (O&M) Plan The Operations and Maintenance Plan describes resource organization, responsibilities, policies, and general procedures.		
36.	Operations and Maintenance	Quality Assurance Procedures and Standards Manual The Quality Assurance Procedures and Standards Manual deliverable defines the thresholds and required testing procedures to maintain the quality of subsequent defect releases.		
37.	Operations and Maintenance	Vendor Weekly Status Reporting The Vendor Weekly Status Report provides an executive overview of the system execution and detail of items to be released in the Monthly Performance Report.		
38.	Operations and Maintenance	Vendor Monthly Performance Report The Vendor Monthly Performance Report deliverable includes the details of defects, enhancements and resolutions released in the solution for the month delivered. Supporting reports to the Monthly Performance Report that shall be provided by the contractor include: <ul style="list-style-type: none"> ▪ Key Performance Measures Evaluation Report; ▪ Change Log (if applicable). 		
39.	Operations and Maintenance	Warranty Completion Report The Warranty Completion Report deliverable provides a summary of the warranty items resolved during the Warranty period.		

#	Phase	Deliverables	Contractor/ Subcontractor	Deliverable Cost
40.	Operations Transition	Operations Transition Plan The Operations Transition Plan deliverable defines the processes and procedures and knowledge transfer to successfully transition the operation of the solution to another party. A supporting plan to the Operations Transition Plan that shall be provided by the contractor is the Turnover Plan.		
41.	Operations Transition	Transition Completion Report The Transition Completion Report deliverable summarizes the milestone of the transition of system operations to another party. Supporting documents to the Transition Completion Report that shall be provided by the contractor include: <ul style="list-style-type: none"> ▪ Team Performance Evaluation Document; and ▪ Turnover Completion Report. 		
42.	Project Closure	Project Closure Report The Project Closure Report deliverable details the activities needed to close out all Project activities, tasks, and reports. Supporting reports to the Project Closure Report that shall be provided by the contractor include: <ul style="list-style-type: none"> ▪ Project Lessons Learned Project Report; ▪ Project Release Document (Signed); ▪ Post Implementation Review Report; ▪ Post Implementation Evaluation Report; ▪ Change Log (Closed Out); ▪ Contract(s) Closure. 		
43.	Project Closure	Annual Update of Disaster Recovery Plan The Annual Update of Disaster Recovery Plan deliverable tracks the annual updates of the Disaster Recovery Plan as required.		

Table 27: eCIRTS Project Deliverables

SECTION 12 QUALITY MANAGEMENT PLAN

The quality and process performance objectives for this Project are to deliver value to the department and the State of Florida by completing the project on time, on budget, within scope, and with a high-quality solution as follows:

Objective	Description
On Time	Project outcomes, are delivered to DOEA on the dates agreed in the schedule and contracts.
On Budget	Overall project costs will not exceed the agreed budget in the contracts.
Within Scope	Agreed requirements are delivered.
High Quality	Solutions delivered will meet the agreed upon requirements and will have the necessary quality to provide value to DOEA.

Table 28: Project Quality and Performance Objectives

The Quality Management Plan identifies the processes, procedures, standards, and tools to monitor the quality of work delivered and to communicate these concepts across the eCIRTS Project Team. It outlines quality activities promoting adherence to the standards and processes defined for eCIRTS so the Project meets its objectives and expectations throughout its life cycle. This plan also describes the responsibilities and authority for accomplishing quality activities and identifies the required coordination of quality management with other areas of the Project.

12.1 QUALITY MANAGEMENT

This section identifies the performance metrics used to measure and manage the Project's performance and process improvement approach.

The eCIRTS Project uses performance measures to examine the progress team members are making toward the completion of their work and to assess how efficiently and effectively the work effort meets the project objectives. Project quality, risks and the overall status of the project are continuously assessed. This section identifies the metrics used to measure and manage the Project's performance. It also details the process and tools to collect the necessary base measures, how to calculate the metrics, analyze the results (including quantitative analysis) and report performance results.

Collection and analysis of performance measures is applied to individual project's management, development and maintenance processes including: Plan, Define, Design, Develop, Test, Implement and Post-Implementation. It also applies to workstreams within the Project that do not create development products, but set architectural and business directions used by development activities in designing solutions. Because the Project has multiple development or major enhancement efforts, the measurement process must be performed for each separate effort or release.

The Project Managers will capture and report performance metric information for management purposes. The selected performance data will be reported in the Key Metrics section of Status reports.

The eCIRTS Project Team will review the performance metrics reported and assess their usefulness for project management activities. Over time, DOE A may determine to stop reporting certain metrics, refine others, and make requests for additional metrics. The Executive Sponsor and the DOE A Project Manager will review targets for the metrics reported and make recommendations on targets that have not yet been set within this document and/or adjustments to target values. The Project Manager(s) will work together to determine if requested metrics can be reliably captured and reported before implementation.

12.2 PROJECT METRICS

The following table lists the “library” of measures collected, analyzed, and reported by the eCIRTS PMO. These metrics are used together with target and tolerance ranges as a management tool. Metrics will be reported as appropriate for the phase and type of work underway. Target and range values for the listed metrics are either based on industry data (e.g., defect containment model information) or the basic characteristic of the measurement (e.g., SPI being on schedule is a value 1.0 so a target near this value is set).

Metric / Model Name	Goal	Question	Description	Formula	Analysis Level, Frequency	Target Values	Analysis Reporting
Average Risk Exposure	All	Are risks and issues managed appropriately?	Risk Exposure is a relative weight of a risk, based on the probability the risk will be realized and the impact of the risk if it is realized. Average Risk Exposure measures the average level of Risk Exposure for all the Project's active risks. Determines the Project's effectiveness at mitigating risks.	Total Risk Exposure (summed products of probability and impact for all risks) / Number of Active Risks	Project Level; Weekly	< 3 (that is, average risk exposure is "Low," based on 3-point scales – High=3; Medium=2; and Low=1 – for both probability and impact.)	Project Status Report and/or Meeting
Contractual Deliverable Timeliness	On Time	Are deliverables completed on time?	The Contractual Deliverable Timeliness measure indicates whether the Project can complete and submit deliverables by the projected due date.	Number of Deliverables Submitted on Time / Total Number of Deliverables	Project Level; Monthly	.9 to 1, with 1 as target (all deliverables on time)	Project Status Report and/or Meeting
Schedule Performance Index	On Time	Are we meeting our schedule?	Schedule Performance Index (SPI) measures whether the Project is earning value at the scheduled rate. This metric can be used to assist managers in determining if a Project will be completed on time, if the current trends continue.	Budgeted Cost of the Work Performed (BCWP) / Budgeted Cost of the Work Scheduled (BCWS)	Team and Project Levels; Weekly Monthly	Between .84 and 1.09 with 1 as the primary target. Above 1 is better than below.	Project Status Report and/or Meeting

Metric / Model Name	Goal	Question	Description	Formula	Analysis Level, Frequency	Target Values	Analysis Reporting
Cost Performance Index	On Budget	Are actual costs on task with forecasted costs?	The Cost Performance Index (CPI) gives a measure of efficiency. It shows how efficiently the Project is spending budget dollars compared to how efficiently Project Management planned to spend them.	It is calculated by dividing Earned Value by the Actual Cost.	Team and Project Levels; Weekly Monthly	Between .84 and 1.09 with 1 as the primary target. Above 1 is better than below.	Project Status Report and/or Meeting
Contractual Deliverable Acceptance	High Quality	Are we meeting the department quality requirements?	Measures the percentage of submitted deliverables that the department has fully accepted.	Number of Deliverables (Fully Accepted, Conditionally Accepted, Rejected, Pending) by the Department / Number of Deliverables Submitted to the Dept. to date * 100%	Project Level Weekly; Program Level Weekly; Monthly	100% Accepted - Fully or Conditional	Project Status Report, Program Status Report, and/or Meeting

Metric / Model Name	Goal	Question	Description	Formula	Analysis Level, Frequency	Target Values	Analysis Reporting
Contractual Deliverables Average Days Late	On Time	Are deliverables completed on time?	This metric is used to determine the timeliness of contractual deliverable submissions to the department. This metric also may indicate if the project is meeting their planned schedule.	Contractual Deliverable Timeliness: Average Days Late = Sum of number of days late for all contractual deliverables that were late or are outstanding / number of contractual deliverables late or outstanding	Project Level; Weekly	< 1	Project Status Report and/or Meeting
Schedule Variance	On Time	Are we meeting our schedule?	Schedule Variance (SV) determines whether the project team is on, ahead, or behind schedule by calculating whether the team has completed (BCWP) work than scheduled (BCWS) for a given period.	Budgeted Cost of the Work Performed (BCWP) - Budgeted Cost of the Work Scheduled (BCWS)	Project Level; Weekly Monthly	Within 10% of schedule	Project Status Report and/or Meeting
Cost Variance	On Budget	Are actual costs on task with forecasted costs?	Cost Variance (CV) is the measure of cost performance on the Project. It is equal to earned value (EV) minus actual costs (AC). Any negative CV is often non-recoverable to the project.	$CV = EV - AC$	Project Level; Weekly Monthly	Within 10% of schedule	Project Status Report and/or Meeting

Table 29: Project Metrics

12.3 ROLES AND RESPONSIBILITIES

The various roles involved in the performance management process for the eCIRTS Project are briefly described below. Further details on the responsibilities are elaborated in the subsequent sections.

Role	Responsibility
Project Manager(s)	The Project Manager is responsible for identifying, referring, and providing recommended information/data regarding performance metrics.
Workstream Leads	The Workstream Leads are responsible for the planning, analysis, development, implementation, execution, and maintenance of process quality activities as required.
Schedule Coordinator(s)	<ul style="list-style-type: none">▪ Establish and socialize schedule management standards and best practices; Recommend exceptions to standards on a case-by-case basis▪ Coordinate the continuous, recurring process that represents the appropriate rigor for schedule management based on the phase or stage of the Project including<ul style="list-style-type: none">○ Collect team schedules from vendor teams to incorporate in the Master Project Schedule.○ Collect progress updates from all the project workstreams○ Incorporate the updates and changes into the Master Project Schedule○ Facilitate analysis of progress updates and changes○ Provide the schedule and related analysis to the whole project team and identified stakeholders○ Facilitate time management discussions to resolve any schedule conflicts and issues○ Maintain the schedule management process documentation in the Schedule Management Plan as needed▪ Maintain the Project Work Breakdown Structure chart
Budget Coordinator	<ul style="list-style-type: none">▪ The planning, analysis, development, implementation, execution, and maintenance of cost activities as required.

Table 30: Project Roles and Responsibilities

12.4 DATA INTEGRITY AND VALIDATION

The data submitted to support the Performance Measurement process must be of high integrity. The quality of the analysis and the ability for decision makers to trust the analysis is dependent on the quality of the data. It is important that the data collected, analyzed, reported, and submitted is accurate. The analysis of the data on the project level can only be beneficial if the data are “clean.”

The Project PMO Team will review the information being submitted to verify there is no missing data. The DOE Project Manager will review data submitted per the following guidelines:

- No missing data;
- Accurate data;
- Use of correct units of measure;
- Includes correct categories and types of data; and

- Consistently applies definitions of requested data.

12.5 ANALYSIS AND CORRECTIVE ACTION

Corrective actions are used to identify how the project will remedy a problem in the performance of a project process. Corrective actions are required for key project processes associated to project metrics with organizational baseline limits. The following rules are used to determine if the process is not performing within acceptable tolerances and requires further analysis.

The first rule applies to all metrics.

- Beyond Limits – The current metric result is outside expected variance (from baselines, specifications, or thresholds), going by whichever set of limits is most strict.

The following rule applies only to time-based data (such as SPI), not to event-based data (such as peer reviews).

- Trending in One Direction – The metric result has been trending in one direction for at least five times in a row for weekly items (with lower tolerance employed for longer reporting periods).

If any metric results break of the applicable rules, they are analyzed to determine the root cause and, where appropriate, documented in the project's Status Report.

The Project PMO will analyze and determine root causes for those metrics with results Beyond Limits or those with results trending in One Direction. The eCIRTS Project PM Team will discuss and develop an action plan to address those root causes and report that plan to the Project Manager and during the status meeting. Any identified corrective actions will be logged and tracked to completion. Possible corrective actions include:

- Schedule, Budget, or Work Plan rework – Reassess estimates and approximations, prioritize, rework sequences, and add experienced personnel or additional resources.
- Process Change or Review – The creation or modification of the process, or retraining process users to address results.
- Renegotiate service delivery targets or service level agreements – Reassess service targets if they are not realistic given project budget, schedule, or other external constraints.

The Project PMO will complete a Change Request for those corrective actions that will affect project scope, budget, or schedule.

SECTION 13 DOCUMENT MANAGEMENT PLAN

13.1 OVERVIEW

This document describes the document management practices for this Project. Document management includes Document Creation, Document Revision, Delivery Approach, and Version Control. A standard process will be used for all project related documents and applies to the creation and management of documentation including minutes, notes, deliverables, and other outputs for this phase of the project.

13.2 DOCUMENT CREATION AND DELIVERY APPROACH OBJECTIVES

This approach is designed to ensure:

- Defined objectives are met;
- Expectations of the major stakeholders of the project are fulfilled;
- Approved principles, measures, standards, and methods are applied uniformly; and
- Consistency and continuity is maintained for all project artifacts.

13.3 PURPOSE OF DOCUMENT MANAGEMENT PLAN

The purpose of the Document Management Plan is to define the process for how documents developed by the vendor will be managed and submitted to the DOEA Project Manager for approval.

This document identifies the steps in the document creation and update processes, from the initial creation of a document through approval by the DOEA Project Manager (if applicable), including any revisions or updates necessary throughout the document's useful life.

13.4 SCOPE OF DOCUMENT CREATION AND DELIVERY APPROACH

This document covers project documentation related activities including:

- Document Management Process
- Roles and Responsibilities
- Version Control

13.5 DOCUMENT MANAGEMENT STRATEGY

The project team (DOEA and Vendor) must work together to ensure quality in the documents submitted to the DOEA for review and approval. To support this goal, several tactical actions are planned or have already been performed:

- The project uses Microsoft SharePoint to organize large, complex information sources and manage documents with multiple authors and approvers. SharePoint provides for version tracking, check-in, and check-out to ensure that only one person works on a document at a time, controlled document access based on user roles, and automated routing of documents to reviewers.

- DOE has created a eCIRTS Project SharePoint document repository to manage documents.
- The approach and the document naming standards defined in this plan will be adhered to for all documents submitted to the DOE.
- Backup and retention of documents will be managed by established SharePoint vendor procedures.
- As relevant project documentation, including hard copy documents (i.e., charts, graphs, and other supporting documents) are gathered, to the extent practicable and as determined appropriate, documents will be scanned and stored in SharePoint following standards and processes defined in this plan.
- Each project document should have an owner who is responsible for the creation of and updates to the document throughout its useful life.

13.6 DELIVERY DOCUMENT LIFECYCLE MANAGEMENT

13.6.1 DOCUMENT NAMING STANDARDS

All artifacts use a standard naming convention to provide consistency in the way all project related artifacts are named. The file naming conventions used on this project include:

- yyyyymmdd-Artifact-Name-v#.## (Example: 20160721-Document-Management-Plan-v0.01) where:
 - yyyyymmdd – Replace this value with the 4-digit year, 2-digit month, 2-digit day;
 - Artifact Name – Replace this value with the deliverable name and always use hyphens instead of spaces. Additional text or details to the name of the file (No initials, change details, etc.) will not be added. The Revision History table included in each document template will be used to include the details of what was changed in each version; and
 - V#.## is the version tracking.

13.6.2 DOCUMENT REPOSITORY AND VERSION CONTROL

The Document Repository is established in Microsoft SharePoint and contains all current and previous versions of deliverable and work product documents. The project team will use Microsoft's SharePoint software as the collaboration tool. This tool provides version control and many additional features that may be implemented to maximize project communications.

13.6.3 VERSION CONTROL

The project will standardize version control for all project artifacts. This will provide consistent document version control. The following steps will be followed for each project artifact:

- Each new document will start at version 0.01;
- Increment the version number by .01 until the DOE has approved the document;
- Use 1.00 for deliverable submission; and
- If revisions are made, increment by .01 until another approval, which would be 2.00. Continue this pattern as necessary.

13.6.4 DELIVERABLE ACCEPTANCE FORM

The Deliverable Acceptance Form is to be used to accompany each deliverable during submittal. This form captures the signatures that signify acceptance of the deliverable document.

SECTION 14 PROJECT COMMUNICATION

14.1 OVERVIEW

Communications management is a broad area comprised of the processes necessary to ensure effective communication among project team members and project stakeholders. It includes the generation, collection, storage, dissemination, and disposition of project information.

14.2 PURPOSE

The purpose of this section is to document the formal communication process developed for the Project. This plan defines:

- What should be communicated on the project;
- Who is responsible for communicating with what audience;
- When the communication should take place; and
- How information will be communicated.

The communication process was developed to ensure project stakeholders and team members stay informed concerning the status of project initiatives. However, the existence of a defined process does not confirm effective communications. The project team's execution of the communication processes is the driver for the successful communication.

This plan provides a framework for project informational exchange within and outside the project. This plan focuses on formal communication elements, though other channels exist on informal levels, and enhance those discussed within this plan. This plan does not limit, but rather enhances communication practices. Open, honest, ongoing communication between stakeholders and team members is vital to the success of the project.

This communication plan is a key tool for promoting and enhancing organizational transformations toward new business processes. The plan will be updated as necessary throughout the project to reflect new or evolving communication needs (e.g., changes to stakeholders, scheduled meetings, or communication tools). Changes to this plan will be coordinated by the DOEA Project Manager and approved by the Project Sponsor.

14.3 SCOPE

This Project communication plan is for internal stakeholders. The scope of this plan includes identifying the stakeholder requirements for each communication type, the frequency of communication, the medium of communication, and the team member or members responsible for the communication.

The target audience for this plan includes:

- Project team members
- All project participants
- Project internal stakeholders

All other contractors and departmental staff are excluded. The communications strategies and procedures for external stakeholder communications are outside of the scope of this document.

14.4 ROLES AND RESPONSIBILITIES

Communication is an ongoing function within the project and are directed toward internal DOEA stakeholder groups and the project team. The project team will work closely with stakeholder groups to ensure communication needs are met and will adjust per feedback received. Roles and responsibilities for project communications are listed below.

Role	Communication Responsibilities
DOEA Project Sponsor	Provide input and guidance about stakeholder communications to the Deputy Secretary <ul style="list-style-type: none"> ▪ Champion project within the Department
Business Functional Sponsor	Provide issue resolution and communications input and guidance to the Project Manager
DOEA Project Manager and Vendor Project Manager	Member of the project team, providing input and guidance to the team about project stakeholder communication needs and strategies <ul style="list-style-type: none"> ▪ Provide official communication to Team Leads for dissemination to the stakeholders
DOEA Project Team	Provide input to the Project Manager about project stakeholder communication needs and strategies
Vendor Project Team	Members of the project team, providing input and guidance to the team about stakeholder communications needs, strategies, and events <ul style="list-style-type: none"> ▪ Coordinate the collection and dissemination of project information to stakeholder audiences ▪ Create status report ▪ Provide written status report to status meeting attendees ▪ Deliver verbal report during status meetings

Table 31: Project Communication Roles and Responsibilities

14.5 STAKEHOLDER CONTEXT

The successful outcome of any Project relies on effective communications to the broad stakeholder population. Elements of effective communication for the project are stakeholder-driven; therefore, the planning process must include identifying all stakeholders. The stakeholder identification and analysis determines the most effective types and frequency of information stakeholders require to perform their role and to meet their responsibilities within the project.

14.5.1 STAKEHOLDER ANALYSIS

The stakeholder analysis consists of a systematic assessment of each of the stakeholder groups to determine:

- Entities and individual participants;
- Contact information;
- Role in the project;
- Project communication needs;
- Project impact assessment; and
- Special considerations.

Stakeholder involvement throughout the project will provide greater assurance of project success. Effective and timely involvement enables people to understand and take part in change rather than feel it is being imposed on them. This increases speed to adoption of change.

Stakeholders of change, especially large-scale, systemic change, have a need for information about the change. They generally ask the following questions:

- Why is this change necessary?
- Why is this change happening now?
- What is wrong with what we are doing today?
- What will happen if we don't change?

DOEA will identify stakeholders and conduct a stakeholder analysis to determine communications needs and preferences for each stakeholder group. We will then engage stakeholders in a variety of ways, providing opportunities for them to express their ideas, opinions, and concerns.

Stakeholder	Internal/ External	Stakeholder Description
DOEA Staff	Internal	Employees or subcontractors within DOEA
Providers	External	Individuals or organizations which provide home and community-based programs and services.
Clients	External	Florida citizens who receive DOEA services.
Advocacy Groups	External	Those groups who advocates on behalf of DOEA clients and providers.
Agency for State Technology	External	State of Florida technology agency responsible for setting standards and providing oversight for IT projects.
Legislature and Governor's Office	External	State of Florida governing body who approves funding for IT initiatives

Stakeholder	Internal/ External	Stakeholder Description
Impacted Agencies	External	External Agencies impacted by the eCIRTS project.

Table 32: Stakeholder Management Matrix

14.6 REQUIRED COMMUNICATIONS

14.6.1 STATUS REPORTS

As part of the status meeting the Vendor will provide a published status report distributed to the project team members and stakeholders. The Vendor PM will create and DOEA Project Managers will review and distribute the Status Report. The frequency of status submission agreed to between the DOEA and Vendor PMs during project initiation meetings is.

14.6.2 STATUS MEETINGS

The status meetings will be held between the DOEA and Vendor Project Managers. The result of these meetings is a published Status Report distributed to the project team members and stakeholders. Meeting attendees will be notified of changes to the time or location of these meetings via email and/or phone as far in advance as possible.

14.6.3 MEETING AGENDAS

No less than 24-hours prior to a scheduled workshop or meeting, the facilitator of that meeting will provide the meeting agenda to the scheduled attendees. Circumstances will arise where a meeting is scheduled and held in less than 24-hours. In this case, the meeting facilitator is expected to distribute an agenda when practicably feasible. It is expected the attendees of the meeting will review the agenda and any other documentation distributed prior to the meeting. Each agenda will include an action item section that will be reviewed during the meeting. Action items assigned during the meeting will be documented and distributed to the team in the meeting minutes.

14.6.4 ADDITIONAL COMMUNICATION

In addition to the regularly scheduled meetings noted above, occasionally written communication will be sent out by the project management team on an as-needed basis. This communication will be specific in nature and may be broadcast to the general project population or to target audiences depending upon the circumstances involved.

14.7 COMMUNICATION DISTRIBUTION

The subject matter of this plan is primarily internal (DOEA, Vendor and oversight entities) communication. The general flow of the documents will be out-going from the Project Management Team to the target audience.

Communication Type	Stakeholders	Medium	Frequency	Reporting Member
ESC Status Meeting and Report	Executive Steering Committee	In-Person	Monthly	DOEA Director and DOEA Project Manager
Project Status Report	Project Sponsor, Business Sponsor, DOEA, Project Manager, Project Team	Email	Bi-Weekly	DOEA, Project Manager, Vendor Project Manager
Project Status Meeting	Project Director, Identified Project Team Members	In-Person/ Skype	Bi-Weekly	DOEA Project Manager, Vendor Project Manager, and IV&V
Meeting Agendas and Minutes	As needed	Email	As needed	Project Team

Table 33: Project Communication Roles and Responsibilities