# Management's Guide to Project Success

**OFT**

NEW YORK STATE

OFFICE FOR TECHNOLOGY

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# PREFACE

The ***New York State Project Management Guidebook (the Guidebook)*** was developed to document a methodology standard for managing projects in all New York State government organizations and to provide guidance and advice to Project Managers throughout the life of a project. Shortly after its publication in September of 2001, Project Managers throughout the state began asking for more – not for themselves, but for all of the other staff members and managers who play a role in the successful execution of projects. Project Managers familiar with good project management practices were feeling the burden of having to perform their own roles while also having to explain to other key Stakeholders the roles they would assume in the project. Thus, the ***Management's Guide to Project Success (Management's Guide)*** was born – to provide the management in the Performing Organization (the organization performing the work of the project) a guide to their roles in the project management process; to enable Project Sponsors to have a meaningful dialog with Project Managers regarding their respective contributions to a project.

The ***Management's Guide*** was developed as a companion guide to the ***New York State Project Management Guidebook***. The ***Management's Guide*** presents the methodology from the perspective of the management team, who play key roles in the project, focusing on their responsibilities in the production and review of project management and project deliverables.

Management support is a key factor necessary for project success. The ***Management's Guide*** identifies practical activities, incisive questions and objective measurements with which management can support and evaluate any project within their sphere of responsibility; roles and expectations defined here for Project Team members, Project Sponsors, Customers, etc., apply regard-

less of the type of project undertaken (IT projects, software development projects, engineering projects, business process improvement projects, or any other).

The content and presentation of the **Management's Guide** were informed by the collective experience and insight of IT Directors, Project Officers, and Project Managers comprising the Guidebook Guidance Committee, who participated in the guidance, review, and critique of all aspects of the **Management's Guide**.

A full-color printed copy of the complete **Management's Guide** is being presented to each New York State agency, board and commission. As changes are made to the **Management's Guide**, notification of updates will be distributed to registered holders of these published documents. Please link to http://www.oft.state.ny.us/ to complete the registration form to receive future updates. Additional copies of the **Management's Guide** may be produced by downloading the files from the New York State Office for Technology PMO website http://www.oft.state.ny.us/.

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Under the direction of the New York State Project Management Office, a team made up of state Project Managers and Project Managers from Keane, Inc., developed the **New York State Management's Guide to Project Success** collaboratively.

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# 1    INTRODUCTION

The **Management's Guide** describes the responsibilities of the various project participants in a project - from the first formal documentation of the project's concept to its termination. The phases of the project management lifecycle are defined, emphasizing deliverables and outcomes on which the Performing Organization Management should focus its efforts. Techniques for evaluating the performance of the Project Team and judging the quality of its deliverables are offered, as well as guidelines for effort and time required for management participation. Throughout the text, common pitfalls faced by managers are offered, with solutions that can be used to deal with those challenges successfully.

Section I, **Introduction**, provides a narrative overview of the **Management's Guide** and a visual roadmap to its contents.

Section II, **Roles and Responsibilities**, identifies all the groups of people involved in a project management lifecycle. (These group labels are referenced throughout the rest of the **Management's Guide**.) A brief description of the composition and roles of each group is provided. This section also identifies management's responsibilities in preventing, identifying and correcting common problems on a project.

Section III, **Project Management Lifecycle**, consists of five chapters, corresponding to the five phases of the project management lifecycle. Each chapter summarizes Performing Organization Management's participation in, and expectations of, the project management process.

Each chapter has the following components:

◆ **Phase Roadmap** provides a visual guide to the phase; an accompanying narrative provides a brief phase overview.

◆ **Major Deliverables and Outcomes** describes project management deliverables (or outcomes) that Performing Organization Management should expect from the Project Team in each phase. It focuses on "What you should look for" in each deliverable, and "How you should be involved" in producing it, as it provides criteria for judging whether those deliverables fulfill the needs of the project. The roles members of the management team play in the project management process, and the commitments (by role) they should be prepared to provide to ensure project success are identified. Additional notes of interest provide down-to-earth advice on how to avoid some of the more common pitfalls associated with managing the project management efforts.

◆ **Measurements of Success Checklist** asks a series of questions designed to help a manager determine how successfully the project is proceeding through each phase.

**Please note:** *A more detailed treatment of every project management topic, process and deliverable mentioned or referred to in the* **Management's Guide** *is provided in the* **NYS Project Management Guidebook***, which follows the same lifecycle-based structure. The Guidebook* also *contains detailed descriptions of all Project Management templates discussed in the* **Management's Guide***.*

## 2   PROJECT ROLES AND RESPONSIBILITIES

Project roles in the **Management's Guide to Project Success** are defined by the specific activities that individuals in that role perform during the course of a project, and the extent of their project involvement and responsibilities. Some roles are filled by staff of the Performing Organization; some are filled by outside entities – other state agencies, commercial vendors, or members of the general public, for example.

### 2.1   MAPPING ROLES TO POSITIONS

Understanding the expectations and responsibilities of each role in the project will greatly help in mapping the project roles to actual organizational titles. Agencies of different sizes with projects of varying scope and importance may have the same project roles filled by individuals at different levels in the organization with vastly different sets of responsibilities.

For example, a mission-critical project for a small or medium-size agency or organization will probably be sponsored by a Commissioner or Executive Deputy Commissioner or someone at a comparable level, and managed by a high-ranking Project Manager or executive. A small-scale project in a large, sprawling department, on the other hand, will most likely be sponsored by a lower-level member of the Performing Organization Management.

The following glossary of roles provides descriptions of responsibilities as they are defined for this Guide. It is important to understand these roles and how they may map to actual project duties in order to properly apply the contents of the Guide to your specific organizational structure.

## 2.2  GLOSSARY OF ROLES

The **Performing Organization Management (POM)**, the primary audience for this Guide, includes all members of the Performing Organization's management team who may exert influence on Project Team members or be affected by and involved in the development and implementation of the product of the project. Members of the POM form the committees that evaluate and select projects for initiation; they share their knowledge with the Project Team as either Subject Matter Experts in a particular functional area, or as repositories of organizational knowledge and experience. They help steer and guide the project in various capacities (most importantly, in the role of Project Sponsor); they provide the resources that make up the Project Team; and finally, they make decisions to proceed with the project from one phase to the next, and to accept the project and project management deliverables.

The **Project Proposal Team** is a group responsible for preparing the Project Proposal in the Origination phase. It is organized by the Project Sponsor.

The **Project Selection Committee** comprises members of the Performing Organization Management team who meet on a regular basis to evaluate Project Proposals and select projects for initiation. They maintain the Project Proposal rating models and project selection criteria.

The **Project Sponsor** is a manager with demonstrable interest in the outcome of the project, who is responsible for securing spending authority and resources for the project. Ideally, the Project Sponsor should be the highest-ranking manager possible, appropriate for the project size and scope. The Project Sponsor initiates the Project Proposal process, champions the project in the Performing Organization, and is the ultimate decision-maker for the project. The Project Sponsor provides support for the Project Manager, approves major deliverables, and signs off on approvals to proceed to each succeeding project phase. He or she

may elect to delegate any of the above responsibilities to other personnel either on or outside the Project Team.

The **Project Team** is a group responsible for planning and executing the project. It consists of a Project Manager and a variable number of Project Team members who are brought in to accomplish their tasks according to the Project Schedule.

◆ The **Project Manager** is the person who is responsible for ensuring that the Project Team completes the project. The Project Manager develops the Project Plan with the team and manages the team's performance of project tasks. It is also the responsibility of the Project Manager to secure acceptance and approval of deliverables from the Project Sponsor and Stakeholders.

◆ **Project Team Members** are responsible for executing tasks and producing deliverables, as outlined in the Project Plan and directed by the Project Manager, at whatever level of effort or participation has been defined for them. On larger projects, some Project Team members may serve as Team Leaders, providing task and technical leadership.

**Customers** comprise the business units that identified the need for the product or service the project will develop. Customers can be at all levels of an organization, from Commissioner to entry-level clerk. Since it is frequently not feasible for all of the Customers to be directly involved in the project, the following Customer roles are defined:

◆ **Customer Representatives** are members of the Customer community who are identified and made available to the project for their subject matter expertise. Their responsibility is to accurately represent their business units' needs to the Project Team, and to validate that the deliverables describe the product or service they want the project to produce. Customer Representatives are also expected to bring information about the project back to the Customer community. Towards the end of the project, Customer Representatives will test the product or service the project

is developing, using and evaluating it while providing feedback to the Project Team.

◆ **Customer Decision-Makers** are those members of the Customer community who have been designated to make project decisions on behalf of major business units that will use, or will be affected by, the product or service the project will deliver. Customer Decision-Makers are members of the POM who are responsible for obtaining consensus from their business unit on project issues and outputs, and communicating it to the Project Manager.  They attend project meetings as requested by the Project Manager, review and approve process deliverables, and provide subject matter expertise to the Project Team. On some projects, they may also serve as Customer Representatives.

**Consumers** include all the people that will use the product or service that the project is developing. Consumers internal to the Performing Organization may also be Customers.

**Internal Stakeholders** include all the people within the Performing Organization who are in any way affected by the new product or service. This would include the Project Team, the Performing Organization Management, Customers, as well as Customer co-workers who will be affected by the change in Customer work practices due to the new product or service, Customer managers affected by modified workflows or logistics, Customer correspondents affected by the quantity or quality of newly available information, and other similarly affected groups.

**External Stakeholders** include all the people outside of the Performing Organization who are in any way affected by the new product or service. Within the context of New York State Government, this group may include the Legislature, the Executive Chamber, other agencies, the media, and the general public. Consumers may also be External Stakeholders.

**Vendors** are contracted to provide additional products or services the project requires.

**2.3**  KEY RESPONSIBILITIES

On any project, a situation can arise where one or more of the four main project constraints (Cost, Scope, Schedule and Quality) are exceeding established parameters: the costs balloon out of control, the scope expands beyond reason, the project slips behind schedule, or the deliverables do not possess expected value.

It is the responsibility of Performing Organization Management to assist the Project Manager in correcting such situations, as follows:

◆ **Problem Prevention** – the most desirable alternative, before problems occur;

◆ **Problem Analysis** – correctly identifying root causes of incipient problems;

◆ **Problem Resolution** – taking action to minimize impact on the project

### 2.3.1  Problem Prevention

The first line of defense against problems is prevention – taking action to minimize the chances of the problem occurring, or to diminish its impact.  Some of the actions to prevent problems, or to correct them before they impact the project, are:

◆ **Set expectations.**  The Performing Organization Management needs to set an expectation that all projects should be run as projects - performed by Project Teams led by Project Managers, following a documented methodology, obtaining Customer sign-offs, etc.

◆ **Stay involved.**  Reading the status reports, attending status meetings, reviewing deliverables (early and often!), and talking to the Customers are all actions designed to make sure the Project Team is fulfilling the expectations that were set, and to produce an early warning if it is not.

◆ **Trust but verify.**  Talking to the Project Team, talking to the Stakeholders, getting an independent Subject

Matter Expert opinion, and personally examining the product are all actions designed to verify plans and schedules, challenge glowing reviews and optimistic assumptions, and clarify vague or evasive statements.

◆ **Re-evaluate the Business Case.** At the end of every phase of the project, making sure that the team is taking a critical look at the continuing business need and the current cost/benefit ratio will help stop run-away projects and build stronger support for worthy projects.

◆ **Manage risk.** Making sure that the Project Manager follows the progression of risk management steps described in the ***NYS Project Management Guidebook*** will prevent, or at least mitigate, many problem scenarios.

◆ **Remember the lessons.** Making sure the Project Manager applies lessons learned from other projects will prevent many problems on a current one.

◆ **Think long term.** Projecting impact of current decisions, and anticipating long-term effects of the project will decrease the possibility of future problems (such as unexpected recurring costs).

◆ **Take action.** Taking decisive action as soon as a problem is identified will minimize its impact and establish a higher measure of trust and a greater level of comfort with the project.

## 2.3.2  Problem Analysis

When a problem occurs, it is imperative to correctly identify its root cause so that quick action can be taken to resolve it. Common problem areas include:

◆ **Understanding** – Does the Project Team share a common understanding of the project?

◆ **Resources** – Are adequate resources being applied, and are the resources being applied adequate?

◆ **Methodology** – Is the team following the right processes in the right sequence?

◆ **Support** – Is the Performing Organization providing the necessary support structure for the project?

There are key factors to consider when analyzing potential problems.

**Understanding:**
Determine if the whole team, starting with the Project Manager, shares a common and accurate understanding of the following four project concepts:

◆ **Reason** for the project – why the project is being undertaken;

◆ Project **Objectives** – what the project is supposed to accomplish;

◆ Project **Timeframe** – when the product is expected to be available, and when the next process is expected to be completed; and finally,

◆ Project **Constituency** – who requested the project, and who has decision-making authority.

**Resources:**
Verify project resources. The project may lack adequate resources in the following areas:

◆ **Incorrectly estimated** resources – the initial assessment of the number of resources required to perform project tasks may be too high (creating confusion and duplication) or too low (putting an impossible burden on assigned team members);

◆ **Unavailable** resources – the right resources may have been identified, but they may not be available to the extent necessary to complete assigned tasks; or

◆ **Distracted** resources – the resources are ostensibly assigned to the project, but have conflicting priorities that make it difficult to complete assigned tasks.

Verify that the resources assigned to the project are adequate to the task; they must be:

◆ **Willing** to do the work – have the right motivation to fully participate in project activities and contribute to production deliverables;

◆ **Able** to do the work – have the aptitude for the work being performed, and be able to dedicate their full attention to the task at hand;

◆ **Skilled** for the work – have the right combination of knowledge and skills to perform the assigned tasks.

**Methodology:**

Work with the Project Manager to verify that the team is following the right methodology. Based on status reports and the Project Schedule developed to date, determine if the team is:

◆ Performing the **right tasks** – for the project management lifecycle, the team should follow the project management phases, processes and tasks outlined in the *NYS Project Management Guidebook;* for the project lifecycle, the team should follow the correct line of business lifecycle.

◆ Performing the tasks in the **right sequence** – avoiding situations where the Project Budget is finalized before the Scope and Schedule are approved, where the work to produce the product starts before the Project Plan is in place, etc.

◆ Producing the **expected deliverables** – the team should have a good understanding of both the format and the content of all deliverables before the work begins, and should have gotten Customer validation of that understanding.

**Support:**

Finally, verify that the Performing Organization is adequately supporting the project. Based on reported issues, personal

observations, and knowledge of the organization, determine if the project has the requisite support elements:

◆ Executive **commitment** – the agency executives must believe that the project is worthwhile, and is aligned with the organization's mission;

◆ Management **sponsorship** – dedicated efforts of a manager who is vitally interested in the outcome of the project and is in a position to facilitate that outcome.

◆ Performing Organization Management **cooperation** – willingness and ability on the part of all involved managers to honor their commitments to the project.

### 2.3.3  Problem Resolution

Once the cause of a problem has been determined, quick and decisive action by the POM is necessary to limit further impact to the project and to prevent other, similar problems from occurring again. Some of the actions to resolve problems identified above are presented in the following table.

**Figure 2-1  Problem Resolution Actions**

| Problem Category | Problem | Corrective Actions |
|---|---|---|
| Understanding | Lack of shared understanding of the project's Reason, Objectives, Constituency | **Review** project management deliverables produced to date with the team: Business Case, Proposed Solution (Project Origination); Project Charter, project's CSSQ documents, Communications Plan and Description of Stakeholder Involvement (Project Initiation); Project Plan (Project Planning and later phases). |

| Problem Category | Problem | Corrective Actions |
|---|---|---|
| Understanding (continued) | | **Hold** another kick-off meeting with all Stakeholders. |
| Resources | Resources incorrectly estimated | **Verify** Project Scope and Schedule, have the Project Manager **re-estimate** the effort involved and resources required, and **re-establish** resource expectations with the Performing Organization Management. |
| | Resources unavailable | **Re-affirm** commitment expressed by Performing Organization Management to provide resources to the project (as reflected in the Project Charter and subsequent documents); **provide** needed resources; have the Project Manager **adjust** schedule as required. |
| | Resources distracted | **Re-affirm** management commitment; **re-focus** affected resources or have the Project Manager **reschedule** tasks to better take advantage of resource availability. |
| | Resources not willing to do the work | **Re-affirm** executive commitment to the project; guide the Project Manager in **working through** the resource's management to address motivation or **replace** resource. |
| | Resources not able to perform the type of work required. | **Guide** the Project Manager to identify the required skill set, replace the resource with a better fit, and adjust Project Schedule for turnover. |
| | Resources not skilled for the work | **Guide** the Project Manager to identify skills required, schedule necessary training, and adjust project schedule to accommodate learning curve. |

| Problem Category | Problem | Corrective Actions |
|---|---|---|
| Methodology | Team not performing the right tasks, or performing tasks in the wrong sequence | **Guide** the Project Manager to train Project Team in NYS project management methodology and line of business (project) lifecycle, set up quality control procedures to ensure methodology compliance, and adjust Project Schedule to accommodate both activities. |
| | Team not producing deliverables as expected | **Guide** the Project Manager to obtain or create samples of deliverables, review with all stakeholders, and update Quality Management Plan. |
| Support | Lack of executive commitment | **Review** Business Case with executive management; **re-confirm** executive commitment to the project. If not sufficient, **take** necessary action to terminate the project. |
| | Lack of management sponsorship | **Identify** Project Sponsor who is vitally interested in the project, and is in a position to facilitate its outcome. If none available, **propose** ending the project. |
| ` | Lack of management cooperation | **Re-affirm** project's desirability and Business Case with an executive; **share** the vision with other managers and **enlist** their support. |

Figure 3-1 Project Management Lifecycle
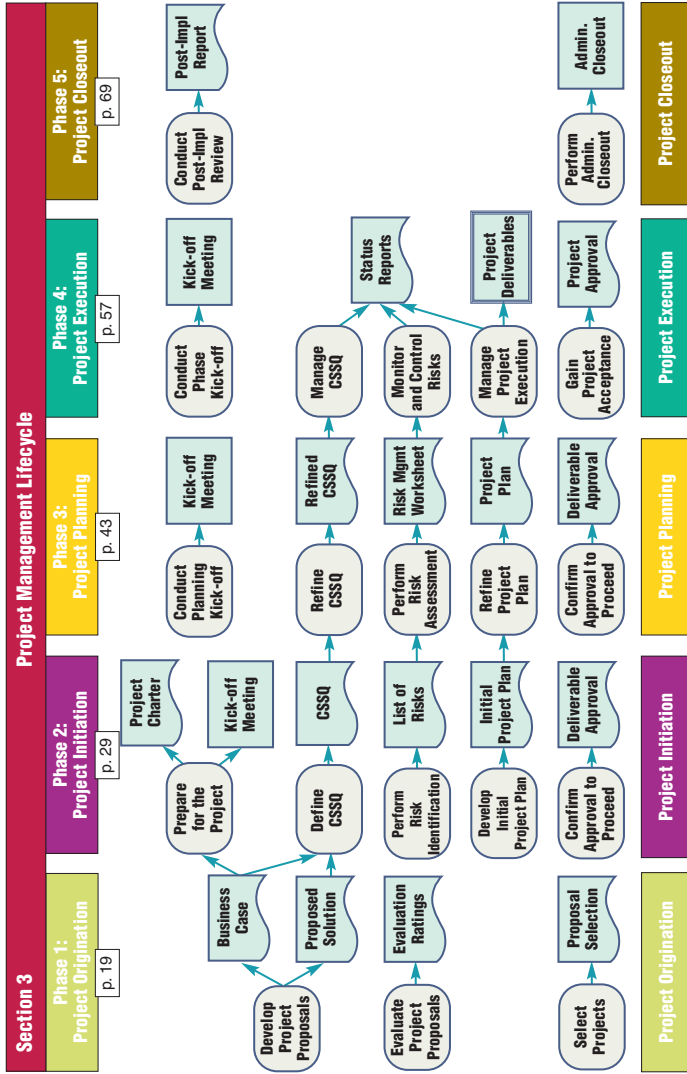
## 3  PROJECT MANAGEMENT LIFECYCLE

There are two distinct efforts going on during the course of a project: an effort to build the product (or service) requested, and an effort to manage that construction. Each has its own deliverables, and each follows its own lifecycle.

The **project (product or service) lifecycle** varies depending on the type of product being produced. For example, IT application developers use a Software Development Lifecycle, while a highway or bridge construction crew may use a Design and Construction Lifecycle. The product lifecycle is the subject of Section III – Line of Business Examples of the *NYS Project Management Guidebook*.

The **project management lifecycle**, on the other hand, *is the same for every line of business,* and can be used to manage the creation of a consolidated data center as well as an effort to update an organization's policy and procedures manual. While no two projects are alike, all projects should progress through the same five phases:

1. **Project Origination.** A Project Proposal is developed to create a product or develop a service that can solve a problem or address a need in the Performing Organization. It is submitted to an evaluation and selection process. If selected, a budget and/or further management commitment is required to progress to Project Initiation.

2. **Project Initiation.** The Project Manager, assigned by the beginning of this phase, works with the Project Sponsor to identify the resources and team members

needed to develop the Project Charter and to define key project parameters – Cost, Scope, Schedule, and Quality (CSSQ). The initial Project Plan is produced at a level of detail sufficient to identify any additional resources needed to progress to the next phase. At the conclusion of Project Initiation, a decision is made either to halt the project or to proceed to Project Planning.

**3. Project Planning.** Project Planning builds on the work done in Project Initiation, refining CSSQ and adding to Project Plan deliverables such project-specific items as change control, acceptance management and issue management, and such externally-focused items as organizational change management and project transition. The initial list of project risks is augmented, and detailed risk mitigation plans are developed. The completed Project Plan covers all work to be done, and again a decision is made to either halt the project, or to commit the resources necessary for Project Execution.

**4. Project Execution and Control.** Most of the resources are applied or expended in this phase, as most team members join the project at this juncture. The primary task of the Project Manager during Project Execution and Control is to enable the Project Team to execute the tasks detailed on the Project Schedule and develop the product or service the project is expected to deliver. The Project Manager uses the Project Plan components to manage the project, while preparing the Performing Organization for the implementation of the product or service and for acceptance of support responsibilities.

**5. Project Closeout.** In Project Closeout, the Project Team assesses the outcome of the project by soliciting and evaluating feedback from Customers, Project Team members, Consumers and other Stakeholders, and documenting best practices and lessons learned for use on future projects. Key project metrics are captured to enable the Performing Organization to compare and evaluate success measures across projects.

## Figure 3-2 **Project Origination Roadmap**

| Section 3 | Project Management Lifecycle | | | |
|---|---|---|---|---|
| **Phase 1: Project Origination** p. 19 | **Phase 2: Project Initiation** | **Phase 3: Project Planning** | **Phase 4: Project Execution** | **Phase 5: Project Closeout** |

| | What should you look for? | How should you be involved? |
|---|---|---|
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| **Proposed Solution** | Rational approach Fit into Organization's infrastructure — p. 22 | Guide Proposal Team Review Proposed Solution — p. 22 |
| **Evaluation Ratings** | Is evaluation process uniformly applied? Are the proposals matched against existing standards and plans? — p. 24 | Create evaluation criteria Present Project Proposal Rate proposals — p. 24 |
| **Proposal Decision Notice** | Clear reasons for decision Decision communication to all parties — p. 25 | Prioritize and select projects Provide explanation for decision — p. 25 |

| Origination p. 26 | Initiation | Planning | Execution | Closeout |
|---|---|---|---|---|
| **Measurements of Success Checklists** | | | | |

## 3.1 ▸ Project Origination

Project Origination is the one phase in the Project Management Lifecycle for which the Performing Organization Management is solely responsible: the Project Manager is not assigned to the project until the next phase. The purpose of Project Origination is to provide a formal mechanism for recognizing and identifying potential projects within the organization, to evaluate projects proposed for the next planning cycle, and to reach a consensus on projects to be selected. During this phase, the strength of a project's Business Case is tested, and the viability of the proposed solution is explored. A determination is made as to whether the proposed project is consistent with the agency's strategic plan and affordable within budget guidelines.

The Project Proposal process may actually be part of the budget cycle, serving as the justification for budget requests. In this case, it may be necessary for Project Proposals to be created a full budget cycle prior to the project's anticipated initiation. Other factors that impact Project Origination include statutory requirements, regulations, legislative restrictions, and civil service rules.

A formal Project Origination process is important because it creates a forum for discussion of all proposed initiatives, helps to avoid wasting time and resources on the wrong projects, and focuses the organization's resources on projects that will deliver the greatest value. Each organization has its own approach to "green-lighting" desired projects.  The approach outlined below is only one of many possible variations on the approval process. There are some general principles, however, that apply to any effective evaluation and selection method:

◆ The deciding body must have sufficient information about the merits of the project's Business Case and the viability of its proposed solution to make a meaningful evaluation;

◆ The competing projects' merits must be evaluated and compared using a consistently applied methodology;

◆ The selection process must take into consideration the project's fit with the organizational mission and strategic plan.

This methodology offers three major processes to apply the above principles in this phase of the project management lifecycle:

◆ **Develop Project Proposal**, where the initial Business Case is made, and initial project parameters are defined;

◆ **Evaluate Project Proposals**, where cost/benefit analysis is performed, and proposed projects are evaluated against a set of specific business criteria; and

◆ **Select Projects**, where a consensus is reached on the project's feasibility and relative importance in comparison to other proposed projects, and a decision is formally made regarding the Project Proposal.

*A detailed treatment of the Proposal Selection process including all associated deliverable templates is provided in the **NYS Project Management Guidebook**.*

## MAJOR DELIVERABLES AND OUTCOMES

Since a Project Manager is not usually assigned to the project at this time, members of the POM prepare and review Project Origination deliverables.

### PROJECT PROPOSAL (BUSINESS CASE AND PROPOSED SOLUTION)

A proposal for a project may come from anywhere in the Performing Organization, but someone from the POM must serve as

Project Sponsor to steer the project through evaluation and selection. A Proposal Team is often established to develop a document describing the product of the project, the benefit to the agency, alignment with the organization's strategic plan, and a high-level estimate of the required resources and costs. On smaller projects, the Project Sponsor may perform this task without the assistance of a team.

*The bulleted comments under each deliverable correspond to key fields on the deliverable templates provided in the **Project Management Guidebook**.*

# *What should you look for?*

**Business Case:**

◆ The **Business Problem** should offer a thorough and objective discussion of a business issue that requires a prompt remedy.

◆ **Fit with Organization's Mission** should explain how the expected outcome of the project supports the organization's mission.

◆ **Anticipated Benefits** should estimate (qualitatively as well as quantitatively, to the extent possible) the expected benefits to the organization, and include an indication that they have been reviewed and accepted by the Customer. Anticipated benefits should also be qualified in terms of how they can positively impact an organization's Performance Measures (see *NYS Project Management Guidebook*, Section II).

◆ **Cost/Benefit Analysis** should provide a thorough and honest appraisal of both expected benefits and anticipated costs, and should define criteria for deciding whether the project is going to be successful from a cost/benefit perspective.

◆ **Special Fund Sources** should identify all available funding alternatives.

**Proposed Solution:**

◆ The **Proposed Solution** should offer an approach to solving the problem, make clear how various solutions were considered and evaluated, and provide high-level milestones and dates. The solution should address only the agenda described by the business problem, and the approach narrative should tie the solution to the existing business problem in cost/benefit terms.

◆ **Project Objectives** should be explicitly enumerated, clearly differentiated and positively aligned with the agency's strategic plans and infrastructure.

◆ **Budget/Resources** should consider, and estimate (to the extent possible) all cost components of the project, including future maintenance and other recurring costs.

◆ **Organizational Impact** should describe the anticipated impact of the project on the organization's people, processes and technology.

## *How should you be involved?*

| PROJECT PROPOSAL | |
|---|---|
| **Role** | **Performing Organization Management Commitment** |
| Proposal Team | **Develop** Business Case and proposed solution |
| Project Sponsor | **Guide** Proposal Team; <br> **Review** Business Case and proposed solution |

## PITFALL – Losing the long-range view

Every year, an initiative comes along that is all the rage. It captures everyone's imagination, has good "buzz" around it, and seems to be the next great/sure thing.

It's easy to get caught up in the excitement of the moment and approve and initiate new projects based on the new idea. But consider – is it still going to be "hot" a year from now? Is it still going to attract funding three years from now, when the projects it inspires are nearing completion? Is it the right thing to do?

That's where going back to the basics really pays off. Ask simple but tough questions:

◆ "Is this project aligned with our strategic plan?"

◆ "Is this solution feasible given our infrastructure/logistical/architecture constraints?"

◆ "Is the cost/benefit analysis for this project more attractive than for others?"

◆ "Will it still make sense next year, and the year after that?"

And don't let today's flash in the pan become your ball and chain for years to come.

## EVALUATION RATING

The Project Sponsor should gain an understanding of the organization's formal and informal project selection processes. Being knowledgeable about these processes, providing all pertinent project information to the organization's Project Selection Committee, and introducing the proposal to the Committee at the appropriate time will improve the project's chances of being selected.

A set of specific business criteria against which all projects can be evaluated should already exist, or should be created. The Committee must ensure that the project:

◆ Fits in with the organization's strategic plans;

◆ Fits into the existing (or projected) technical architecture;

◆ Follows the organization's technical standards; and

◆ Conforms to available funding limits.

Additionally, the committee must rate the proposal on such areas as approach, impact on the organization, and cost/benefit ratio.

## *What should you look for?*

The rating criteria and the characteristics differentiating the ratings should be clearly defined.

## *How should you be involved?*

| EVALUATION RATING | |
|---|---|
| **Role** | **Performing Organization Management Commitment** |
| Proposal Team | **Submit** Project Proposal for evaluation; <br> **Present** Project Proposal <br> **Answer** Project Selection Committee questions |
| Project Selection Committee | **Create** evaluation criteria; <br> **Screen** proposals to eliminate from further consideration; <br> **Rate** remaining Project Proposals |

## PROJECT SELECTION AND PROPOSAL DECISION NOTICE

A set of criteria determining which projects get a green light and which projects are dropped should already exist, or should be created by the Performing Organization.

The Project Sponsor follows the selection process, attending the deliberations of the Project Selection Committee as required. The committee must determine whether some projects should be removed from further consideration, which Project Proposals require more work, and which projects can proceed to Project Initiation.

Committee decisions are documented and communicated to the Project Sponsor via the Proposal Decision Notice.

## *What should you look for?*

**Proposal Decision Notice:**

◆ **Permission to Proceed** should document why the project was selected to enter Project Initiation;

◆ **Declination of Project** should identify and explain criteria not met and why the project was not selected;

◆ **Request for Additional Information** should list specific data required to make a decision on the project.

## *How should you be involved?*

| PROJECT SELECTION AND PROPOSAL DECISION NOTICE | |
|---|---|
| **Role** | **Performing Organization Management Commitment** |
| Project Sponsor | **Answer** any additional questions about the proposal; <br> **Review** Project Selection Committee decision; <br> **Act** on the decision |
| Project Selection Committee | **Review** evaluation ratings; <br> **Prioritize** and **Select** projects; <br> **Prepare** Proposal Decision Notice; <br> **Provide** explanation for decisions |

## PITFALL – Taking on too many projects

Most Project Sponsors naturally think that their projects are the most worthy. The trouble starts when their arguments convince the Project Selection Committee, resulting in most – if not all – projects getting the green light.

"Organizational thrashing" is a likely result, as projects cannibalize each other for resources and funds, and priorities (and progress) shift from one project to the next in rapid succession.

In addition to evaluating each project on its own merits, the Performing Organization Management should be attentive to how many projects the organization can support, and how much change it can absorb, at one time.

## MEASUREMENTS OF SUCCESS CHECKLIST

The main measurement of success for Project Origination is the consensus of the Performing Organization Management that the proposed projects were weighed fairly, and that the ones with a compelling Business Case received a green light.

Before the final project selection, the Performing Organization Management can assess how successfully the evaluation process is proceeding by utilizing the Measurements of Success Checklist provided below. More than one "No" answer indicates a serious risk to the desired consensus described above.

## Figure 3-3 Project Origination Measurements of Success Checklist

| Measurements of Success | Yes | No |
|---|---|---|
| Have any projects been initiated outside of (or despite) a formal selection process because the selection cycle is too infrequent, or the selection process ineffective? | | |
| Does the selection process verify that an independent party assessed the estimated costs and resources in each Project Proposal? | | |
| Is there a shared understanding among Project Selection Committee members of the evaluation criteria used to compare project ratings? | | |
| Is every project rated (at minimum) on all of the following: ◆ Strategic alignment? ◆ Risk? ◆ Technical Approach? ◆ Cost? ◆ Benefit? ◆ Funding? | | |
| Are the evaluation criteria applied equally to all projects under consideration? | | |
| Is there verification that the Proposal Teams understand the reasons for the project's approval or declination, or for additional information that is required? | | |
| Is there a consensus among the Performing Organization Management that the selection process is objective and fair? | | |

## Figure 3-4 **Project Initiation Roadmap**

| Section 3 | Project Management Lifecycle | | | |
|---|---|---|---|---|
| Phase 1: Project Origination | Phase 2: Project Initiation | Phase 3: Project Planning | Phase 4: Project Execution | Phase 5: Project Closeout |

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**What should you look for?**   **How should you be involved?**

| **Project Charter** | Accurate reflection of executive management's vision Project accountability to steering committee or similar governing body | p. 31 | Explain vision and objectives Review and approve Charter | p. 32 |
|---|---|---|---|---|
| **Kick-off Meeting** | Informative, inspiring event Shared understanding of Project Charter | p. 32 | Deliver kick-off presentation Answer questions | p. 33 |
| **CSSQ** | Scope complete and consistent with Charter High-level schedule logical and realistic Quality standards indentified Budget consistent with schedule and funds | p. 33 | Provide organizational perspective Review and approve CSSQ documents | p. 35 |
| **List of Risks** | Sourced of risk identified Potential risk events listed | p. 35 | Assist with risk identification | p. 35 |
| **Initial Project Plan** | Communications Plan addressing needs of all parties Project Plan containing all required components | p. 36 | Review and approve Project Plan | p. 37 |
| **Deliverable Approval** | Signed off by all interested parties | p. 38 | Ensure timely review cycle | p.39 |

| Origination | Initiation | Planning | Execution | Closeout |
|---|---|---|---|---|

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**Measurements of Success Checklists**

## 3.2 Project Initiation

The purpose of Project Initiation is to verify the assumptions and projections made in Project Origination that led to project selection and approval. During this phase of the project, the overall project parameters are defined and some basic documents are developed.

Performing Organization Management (POM) plays a vital role during Project Initiation. The project cannot begin until it has a Project Sponsor, who is the champion of the project, the link between the Project Team and the POM, and the ultimate decision-maker for the project. The Project Sponsor, a member of the management team, guides the project and the Project Team through Project Planning, Execution, and Closeout.

*Before Project Initiation gets under way, it is imperative that the Project Sponsor and the Project Manager share a single vision for the project, for they will need to tirelessly communicate it to new Project Team members as well as to all Stakeholders involved in the project throughout its lifecycle.*

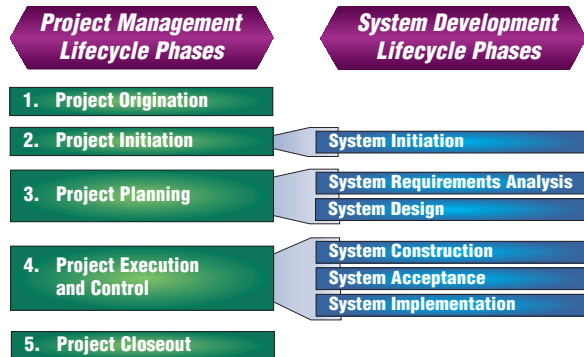### MAJOR DELIVERABLES AND OUTCOMES

Through the roles they play on the project, members of the Performing Organization Management have an explicit responsibility to review and either approve or reject each of the major deliverables that will be produced during the lifecycle of the project. It is good practice to review drafts or portions of major deliverables as they are developed, prior to final approval.

*One of the key Project Management deliverables prepared by the Project Manager throughout the course of the project is the Project Status Report. It is discussed in more detail in the Execution and Control phase.*

There will be two types of deliverables produced during the course of the project – project management deliverables, which are the primary concern of the ***Management's Guide***, and project (or product) deliverables, which are discrete portions, or milestones, of the effort to build the product (or service) of the project. To illustrate this concept, consider a typical System Development project. It starts with system initiation and requirements analysis activities, progresses through design to actual system construction, and culminates with user acceptance and implementation. The following chart illustrates how these six phases of the System Development Lifecycle map to the five phases of the Project Management Lifecycle.

**Figure 3-5**

## Lifecycle Comparisons
### Project Management vs. SDLC

| Project Management Lifecycle Phases | System Development Lifecycle Phases |
|---|---|
| 1.  Project Origination | |
| 2.  Project Initiation | System Initiation |
| 3.  Project Planning | System Requirements Analysis |
| | System Design |
| 4.  Project Execution and Control | System Construction |
| | System Acceptance |
| | System Implementation |
| 5.  Project Closeout | |

## PROJECT CHARTER

The Performing Organization Management plays an active role in developing the Project Charter, which serves as a contract between the Project Sponsor and the Project Team. Customer Decision-Makers must be identified so that they can participate in team interviews and document reviews. The POM imparts the project history and background to the Project Manager and the team, helps define the business origin of the project and its critical success factors and constraints, and commits resources to the project.

## *W̶hat should you look for?*

◆ The **Project Charter** should accurately reflect the vision of the executive management.

◆ The **Project Objective** should be explicit as to how the expected outcome of the project will benefit the organization and help it achieve its business goals.

◆ **Critical Success Factors** (CSF's) should identify the project outcomes that will define the project as a success.

◆ **Required Resources** should name individuals committed by their management to the Project Team in order to complete Project Initiation, and the level of their commitment.

◆ **Project Authority** should identify any governing body or steering committee to which the project is accountable, and how the Project Team members are accountable.

# How should you be involved?

| PROJECT CHARTER | |
| --- | --- |
| **Role** | **Performing Organization Management Commitment** |
| Project Sponsor | **Identify** and ensure cooperation of Customer Decision-Makers;<br>**Review** draft and **Approve** final Project Charter |
| Performing Organization Management | **Attend** one or more information gathering session(s) with the Project Manager and the team;<br>**Understand** project objectives, CSF's and your role, and that of your staff, on the project. |

## INITIATION KICK-OFF MEETING

The kick-off meeting is the first opportunity for the Project Sponsor to discuss his/her vision for the project, an opportunity for Performing Organization Management to demonstrate support and commitment to the project (in terms of allocated resources and their own involvement), and advocate project success.

# What should you look for?

All parties that will be involved in Project Initiation should attend the kick-off meeting (if practical and possible). The kick-off meeting should be an informative and inspiring event, imparting the same vision to all players and placing them on the same page. It is also an opportunity for members of the POM not already participating in the project to sign up and become formally involved.

# How should you be involved?

| INITIATION KICK-OFF MEETING | |
| --- | --- |
| **Role** | **Performing Organization Management Commitment** |
| Project Sponsor | **Prepare** and **Deliver** a 5- or 10-minute statement to start the kick-off meeting, clearly identifying roles and responsibilities and empowering the Project Manager. |
| Performing Organization Management | **Answer (and Ask)** project-related questions;<br>**Provide** connection between the Project Team and various organizational entities |

## CSSQ (COST, SCOPE, SCHEDULE, QUALITY)

Management must be prepared to answer specific questions about Project Scope, and to guide the Project Manager in understanding the project's organizational impact. Members of the POM can also help the Project Team gain access to quality standards documentation, or to personnel possessing such knowledge.

The Project Sponsor must verify that the proposed project timeline will satisfy business needs, and that the Preliminary Budget Estimate is consistent with the Performing Organization's budget projections and fund availability.

# What should you look for?

**Project Scope Statement:**

◆ **The Business Need** should be consistent with the Project Charter, and should paint a complete picture of the Business Case for the project, including its relationship to the agency's overall strategic plan.

◆ **Project Content** should tie business needs to specific deliverables produced as a result of the project. The specific benefits the project deliverables will bring to the Customer should be consistent with the Customer's expectations.

◆ **Project Results** should define criteria (verified by Customer Decision-Makers) for deciding whether the project was successful from a cost, schedule and quality standpoint.

### Project Schedule Worksheet:

◆ The **Project Schedule Worksheet** represents the initial high-level work breakdown structure for the project. Project phases and activities should be defined in enough detail to determine the kinds of resources required for each, and to broadly estimate the effort involved.

### Project Quality Management Plan:

◆ **Quality Standards** should be provided for each phase of the project.

### Preliminary Budget Estimate:

◆ **Budget Information** - the activities for which the costs are estimated should correspond to the lowest-level work breakdown units on the Project Schedule Worksheet. The budget estimates should be reviewed with the program area or other executive(s) who will be controlling project funding.

◆ **Comments** - cost assumptions (expected grade levels of Project Team members, source of material or contractor cost estimates, etc.) should be documented for every cost element shown.

## *H*ow should you be involved?

| CSSQ | |
|------|--|
| **Role** | **Performing Organization Management Commitment** |
| Project Sponsor | **Provide direction** for research;<br>**Review** CSSQ documents |
| Performing Organization Management | **Provide** input;<br>**Identify** quality standard repositories the Project Team may not be aware of |

## LIST OF PROJECT RISKS

Risk management starts at the very beginning of the project. To avoid nasty "surprises" that can be avoided, management of the Performing Organization should provide an agency-wide risk perspective to the Project Team.

## *W*hat should you look for?

◆ The **List of Risks** should identify sources of risk and potential risk events.

## *H*ow should you be involved?

| LIST OF RISKS | |
|------|--|
| **Role** | **Performing Organization Management Commitment** |
| Project Sponsor | **Assist** the Project Team with identifying risks they may not be aware of, such as those associated with external Stakeholders and political situations;<br>**Review** List of Risks |

## INITIAL PROJECT PLAN

The Initial Project Plan contains all the key project management deliverables produced during Project Initiation. It will be refined iteratively throughout the remainder of the project management lifecycle.

One of the greatest challenges faced by the Project Manager is getting cooperation from individuals who do not report within his chain of command. It is the Project Sponsor's responsibility to use his/her contacts and influence to obtain commitment from all involved business units to participate in the development of the Initial Project Plan as required by the Project Manager.

## *What should you look for?*

The Initial Project Plan package should contain:

◆ Project Charter

◆ Project Scope Statement

◆ High-Level Schedule

◆ Quality Management Plan

◆ Preliminary Budget Estimate

◆ List of Risks

◆ Description of Stakeholder Involvement

◆ Communications Plan

◆ Revised Business Case

**Communications Plan:**

◆ Frequent and comprehensive communication is a key project success factor. The Communications Plan must show how the information needs of all Project Team members and other Stakeholders will be satisfied and verified with a feedback loop.

◆ The list of Stakeholders should not be limited to the staff of the Performing Organization. For example, frequency and content of communications with the Division of the Budget (DoB) should be defined by the agency fiscal officer, who will receive initial and refined Project Budget estimates and potentially apprise the Budget Examiner of project status updates and any deviations from planned expenditures.

## *How should you be involved?*

| INITIAL PROJECT PLAN | |
|---|---|
| **Role** | **Performing Organization Management Commitment** |
| **Project Sponsor** | **Ensure** Stakeholder participation; **Review** Communications Plan |
| **Customer Decision-Makers and other Stakeholders** | **Review** Communication Plan drafts |

## PITFALL  – Sitting in the Ivory Tower

An activity that costs very little, but can provide enormous benefits, is communication. In fact, one of the success factors consistently cited by the majority of New York State agencies in analyzing successful projects was frequent and comprehensive communication.

Communication keeps all the players in the loop, avoids unpleasant surprises, and builds confidence in project progress and success. Nobody ever complains that they are being told too much, but they usually resent being told too little. That's why the Communications Plan is such a vital deliverable of Project Initiation.

The Project Sponsor is the link between the Project Manager and the executive management of the organization. Since the Project Status Report hardly ever reaches that level, it is up to the Project Sponsor to set the executives' expectations, alert them to any major bumps in the road, and be an active advocate for both the project and the Project Team.

The Project Sponsor must also ensure that lateral communications are reaching the right audiences. Don't assume that the Project Manager knows all the business units (and personalities) that need to be kept in the loop, or can divine what type of communication is most effective with those particular personalities. The Project Sponsor should reach out regularly to all key players and verify that they are happy with the content and frequency of communications they are receiving

## PROJECT DELIVERABLE APPROVAL FORM

The Project Sponsor must thoroughly review the final Project Initiation deliverable – the Initial Project Plan – and help the Project Manager to obtain all necessary sign-offs within the scheduled timeframe. If the Initial Project Plan is not approved, the reasons for rejecting the plan must be specifically identified.

## *W*hat should you look for?

◆ **Deliverable Information** should list all major deliverables in the package (see above).

◆ **Acceptance Criteria** should describe criteria that must be met in order for the deliverable to be considered acceptable.

◆ **Reviewer Information** should list all individuals who are experts in the subject matter contained in each deliverable, and have been assigned to review the deliverable.

◆ **Approver Information** should list all project Stakeholders who were identified as having signature authority in the Project Scope Statement. Based on the recommendation of the reviewers, the approvers will either accept or reject the deliverable.

## *H*ow should you be involved?

| DELIVERABLE APPROVAL FORM | |
|---|---|
| **Role** | **Performing Organization Management Commitment** |
| Project Sponsor | **Sign** approval form or indicate reasons for rejection |

## PITFALL – Forgetting to verify

Trust is a wonderful thing. It enhances our relationships, and streamlines our communications. But if misplaced, trust can also lead to a disaster.

As a Project Sponsor, even though you may have developed a great relationship with your Project Manager, and you feel you can trust the Project Team with your life, you still must make sure that they do what they're supposed to do. In the immortal words of Ronald Reagan, "Trust, but verify." No matter how pretty the packaging, no matter how many assurances are made that the contents are exactly as you expect them, you must personally review each major deliverable. And not only that, but you must make sure that the other key players (you know who they are) review them personally as well.

Another way to verify your impression of how the project is doing and your opinion of the Project Manager, is to drop in on Project Team meetings, walk-throughs, reviews, etc., and observe the team member reactions and interactions.  Do they show respect for the Project Manager?  Do they work well together?  Do they seem to know what they are doing?  Are they enthusiastic – or at least mildly optimistic –about the project, or are they critical of the process and cynical about the outcome?  The attitudes of the folks doing the work can often tell you far more about the shape of the project than a pretty status report, or a convincing demo.

Don't put your signature on that approval form until you are certain that it's the right thing to do – for the Customer, for the organization, and for yourself.

## MEASUREMENTS OF SUCCESS CHECKLIST

During Project Initiation, assumptions and projections made in Project Origination regarding the main project parameters - cost, benefit, scope, and schedule - are verified.  It is very likely that at least some, if not all, of those parameters will change, and the main measurement of success for Project Initiation is the comfort level of the Performing Organization Management with the project parameters as they stand at the end of this phase.
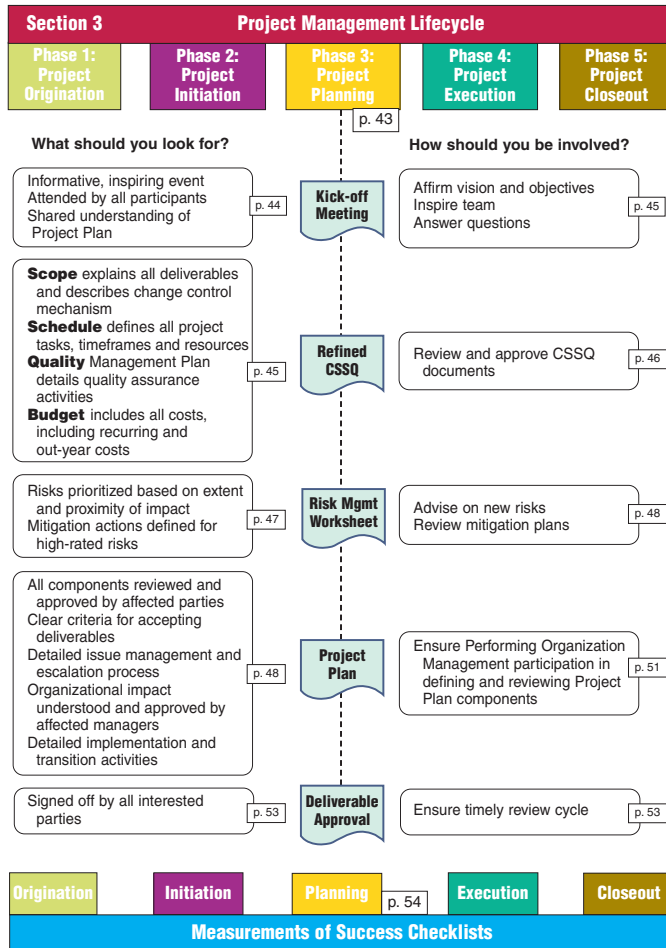
That comfort level will lead to the decision to proceed with – or to halt – the project.  While in the majority of cases a well-executed Project Initiation leads to Project Planning, in some cases the organization is best served by deciding that the project should **not** continue.

Before the final sign-off, however, the Performing Organization Management can assess how successfully the project is proceeding by utilizing the Measurements of Success Checklist provided below.  More than one "No" answer indicates a serious risk to the continued success of the project.

**Figure 3-6 Project Initiation Measurements of Success Checklist**

| Measurements of Success | Yes | No |
|---|---|---|
| Is the Project Team refraining from product development activities before the project plans have been approved? | | |
| Are the schedules and plans being produced in Project Initiation at the right level of detail (avoiding premature precision)? | | |
| Has the finance office verified required fund availability? | | |
| Are the key Stakeholders fully satisfied with the content and frequency of communications provided by the project? | | |
| Does the Business Case for the project still make sense, given the latest project parameters? | | |
| Has the Project Sponsor, or another member of the POM, had a chance to review every interim deliverable that makes up the Project Plan as it was produced? | | |
| Have all key players reviewed and accepted all major project management deliverables? | | |
| Is the agency executive management on board with the project Business Case, budget and timeframe? | | |

## Figure 3-7  Project Planning Roadmap

| Section 3 | Project Management Lifecycle | | | |
|---|---|---|---|---|
| Phase 1: Project Origination | Phase 2: Project Initiation | Phase 3: Project Planning | Phase 4: Project Execution | Phase 5: Project Closeout |

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**What should you look for?**

**How should you be involved?**

| Informative, inspiring event / Attended by all participants / Shared understanding of Project Plan | p. 44 | Kick-off Meeting | Affirm vision and objectives / Inspire team / Answer questions | p. 45 |

| **Scope** explains all deliverables and describes change control mechanism / **Schedule** defines all project tasks, timeframes and resources / **Quality** Management Plan details quality assurance activities / **Budget** includes all costs, including recurring and out-year costs | p. 45 | Refined CSSQ | Review and approve CSSQ documents | p. 46 |

| Risks prioritized based on extent and proximity of impact / Mitigation actions defined for high-rated risks | p. 47 | Risk Mgmt Worksheet | Advise on new risks / Review mitigation plans | p. 48 |

| All components reviewed and approved by affected parties / Clear criteria for accepting deliverables / Detailed issue management and escalation process / Organizational impact understood and approved by affected managers / Detailed implementation and transition activities | p. 48 | Project Plan | Ensure Performing Organization Management participation in defining and reviewing Project Plan components | p. 51 |

| Signed off by all interested parties | p. 53 | Deliverable Approval | Ensure timely review cycle | p. 53 |

| Origination | Initiation | Planning | Execution | Closeout |
|---|---|---|---|---|

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**Measurements of Success Checklists**

## 3.3  Project Planning

The purpose of this phase is to refine and augment the Project Plan developed in Project Initiation, providing a definitive and detailed blueprint for Project Execution and Control.

During Project Planning, members of the POM meet with other project Stakeholders to validate the project definition and scope. The Project Sponsor must ensure that the parameters defined in the Project Plan have been confirmed, and that risk assessment activities have advanced sufficiently to produce a Risk Management Plan.

At the point that the Project Budget is refined, the latest budget should be forwarded to the agency fiscal officer for approval and potential review with DoB.

Project Planning is also an opportunity for all involved in the project to identify and resolve remaining issues and to answer outstanding questions that, if unresolved, may undermine the goals of the project or threaten its success.

Management's commitment to the project is re-confirmed at the end of this phase, when approval authorizes the Project Team to proceed to, and the Performing Organization to commit funds and resources for, Project Execution and Control.

> *It is natural to question why it is necessary to have both Initiation and Planning. Isn't it a bit of planning overkill? The simple answer is, do you want to pay a lot for planning now – or pay much more for rework later? Many organizations find it "impossible" to plan adequately even once, but find it possible to execute over and over again - because of poor planning. In most projects, product definition activities are performed during the planning phases, resulting in a finer design for execution.*

## MAJOR DELIVERABLES AND OUTCOMES

During Project Planning, key project management deliverables, such as CSSQ and the Communications Plan, are revised and expanded. Many other crucial project management deliverables – the Transition Plan, change control and issue management, etc. – are defined and developed. Members of the POM, especially the Project Sponsor, have responsibility for reviewing and either approving or rejecting each of these major deliverables.

*The Project Team will develop a multitude of project management and project (product) deliverables during Project Planning that will determine the success of Project Execution and Control. Members of the Performing Organization Management must remain closely involved in both definition and review of all Project Planning deliverables.*

### KICK-OFF MEETING

The Project Sponsor should reinforce his/her support for the project and re-emphasize the project's value to the organization. Ideally, a high-ranking executive will start the meeting by tying the project vision to the organization's strategic plan.

### *What should you look for?*

◆ As in Initiation, broad participation and shared understanding of project objectives should be the goal of the kick-off meeting.

### *How should you be involved?*

| Role | Performing Organization Management Commitment |
|---|---|
| **PLANNING KICK-OFF MEETING** | |
| Project Sponsor | **Affirm** project value and importance to the organization; **Inspire** the Project Team; **Empower** the Project Manager |
| Performing Organization Management | **Answer** project-related questions |

### REFINED CSSQ (COST, SCOPE, SCHEDULE, QUALITY)

To limit future "surprises," members of the POM should verify the refined project parameters. The Project Sponsor and Customer Decision-Makers must review and agree on deliverable descriptions and timetables.

### *What should you look for?*

**Project Scope:**

◆ As refined in Project Planning, the Project Scope should clearly define each deliverable, including exactly what will be produced and what will not be produced.

**Project Schedule:**

◆ At the end of Project Planning, the Project Schedule should define ALL project activities, their durations, dependencies, required resources and milestones.

◆ The schedule will serve as a baseline for reporting status during Project Execution and Control, and as a useful management communication tool by which results can be compared with expectations.

**Quality Management Plan:**

◆ The plan should articulate quality assurance activities to be implemented during the course of the project.

**Budget:**

◆ The cost of all required human resources, equipment, travel, and supplies should be included; the anticipated timing of all expenditures should track to the Project Schedule.

◆ Special care should be taken to estimate recurring costs in the out-years, after the implementation of the product of the project.

# How should you be involved?

| REFINED CSSQ | |
| --- | --- |
| **Role** | **Performing Organization Management Commitment** |
| Project Sponsor | **Review** all CSSQ deliverables;<br>**Verify** cost expectations for all parameters (staff, resources, materials, recurring costs) |
| Customer Decision-Makers | **Attend** meetings with the Project Manager;<br>**Review** Project Scope and Project Schedule deliverables |

## PITFALL – You forget about what happens after the project is over

It is likely that while estimating and preparing the Project Budget, the Project Manager will concentrate exclusively on immediate project costs and forget about service, maintenance and other recurring costs that occur after the project is over.

For the sake of the agency's budget in the years to come – and to fulfill your fiduciary responsibilities – you need to be cognizant of the increased ongoing obligations the project will eventually incur.

Will the Performing Organization need to acquire new equipment with attendant maintenance, depreciation and eventual replacement costs? Will your training portfolio increase permanently to educate successive waves of Consumers, necessitating training staff additions or vendor contract expenses forever more?  Will part of the operation need to move to a new office space, necessitating immediate moving expenses and continuing rental arrangements? Will the new product require additional staff to maintain it in perpetuity?

Any of those scenarios – and plenty of others – can easily double or triple the initial outlays, and leave nasty surprises for your upcoming fiscal plans.

## RISK MANAGEMENT WORKSHEET

The Risk Management Worksheet is an updated record of anticipated risks and their impacts on the project.  While reviewing and refining project parameters (Cost, Scope, Schedule and Quality), the Project Sponsor may identify additional risk variables for the project.

A factor to be considered when quantifying risks is stakeholder risk tolerance, the threshold to which the Performing Organization will assume risk. For example, an agency may view a 15% chance of a project overrun as acceptable if the benefit for the organization from the project far outweighs this factor. The Performing Organization Management can help the Project Manager to understand the perspectives of key Stakeholders.

# What should you look for?

◆ The worksheet should prioritize risks based on the probability of occurrence and the magnitude of impact.

◆ The worksheet should contain risk mitigation and response actions at least for higher-rated risks.

# How should you be involved?

| RISK MANAGEMENT WORKSHEET | |
|---|---|
| **Role** | **Performing Organization Management Commitment** |
| Project Sponsor | **Advise** the Project Team of any new risks; **Participate** in evaluation of risk factors in terms of likelihood of occurrence and magnitude of impact. |
| Customer Decision-Makers | **Advise** the Project Team of any new risks; **Participate** in evaluation of risk factors in terms of likelihood of occurrence and magnitude of impact. |

## PROJECT PLAN

The Project Plan is a compilation of all the phase deliverables resulting in a comprehensive plan for the remainder of the project. It is a refinement of the Initial Project Plan produced for Project Initiation.

# What should you look for?

Each plan component should have been created to deal with the specific aspects of this particular project. The Project Plan should contain the following:

1. Project Charter (from Initiation)
2. Refined CSSQ (Cost, Scope, Schedule, Quality) documents
3. Staff and Materials Acquisition Plans
4. Risk Management Worksheet
5. Description of Stakeholder Involvement (from Initiation)
6. Refined Communications Plan
7. Change Control Process
8. Acceptance Management Process
9. Issue Escalation and Management Process

10. Training Plan
11. Organizational Change Management Plan
12. Project Implementation and Transition Plan

**CSSQ documents:**

◆ The scope should have been reviewed and accepted by Customer Decision-Makers.

◆ The assumptions used in creating the Project Schedule should be well documented, reasonable, defensible and rational. The schedule should be detailed enough to allow measurable progress to be reported on a regular basis once the project starts.

◆ The expectations for resource availability should be reasonable.

◆ The quality standards that the Project Team will follow should be clear.

◆ The quality assurance activities should be reflected in the Project Schedule.

◆ The project costs should be in line with the agency budget.

◆ The funds should be available to be encumbered in line with the project's fund disbursement schedule.

**Risk Management Worksheet:**

◆ All Decision-Makers should agree with the risk assessment.

◆ Risk mitigation and response actions should be pro-active, realistic, and assigned to specific Project Team members.

**Change Control Process:**

◆ The change control process that will be used to deal with any adjustments to the main project parameters (CSSQ) or to any already approved deliverables should be documented.

◆ The change control process should include an escalation procedure in case there is a disagreement about the nature or extent of a change

**Acceptance Management Process:**

◆ Customer Decision-Makers should agree, in advance, on acceptance criteria and an acceptance process (including timeframes) for all expected deliverables.

**Issue Management and Escalation Process:**

◆ Issue management should include procedures for capturing, reporting, escalating, tracking and resolving problems that occur as a project progresses.

◆ The Project Sponsor should define, in advance, the escalation procedure to follow for unresolved problems.

**Communications Plan:**

◆ The Communications Plan should define how project information will be collected and stored, how and with what frequency information will flow to internal and external Stakeholders, and how information will be accessed between regularly scheduled meetings, whenever necessary.

**Organizational Change Management Plan:**

◆ The Organizational Change Management Plan must consider the impact the project will have on the Performing Organization, so that the organization is prepared to accept and use the product or service of the project once it has been developed and implemented. (A more extensive treatment of this topic is presented in the ***NYS Project Management Guidebook***, Section I, Project Planning chapter.)

◆ Are expected changes to people, processes and technology adequately addressed?

**Project Implementation and Transition Plan:**

◆ The Transition Plan must be coordinated with the organizational change management process to ensure consistency in the steps to be taken so that Customers and Consumers will be ready to use the product or service once it has been transitioned.

◆ The Implementation Plan must define an appropriate strategy for testing, accepting and implementing the product of the project and must include involvement of Customers and key Stakeholders.

# *H*ow should you be involved?

| PROJECT PLAN | |
| --- | --- |
| **Role** | **Performing Organization Management Commitment** |
| Project Sponsor | **Ensure** POM participation in deliverable definition; **Define** escalation procedures; **Review** all deliverables. |
| Customer Decision-Makers and other Stakeholders | **Participate** in definition of acceptance process and criteria; **Advise** the Project Manager on the project's expected impact on people, process and culture; **Participate** in defining how Customers and Consumers must be prepared to use the product, and how the Performing Organization must be prepared to support it |

## PITFALL – You fall off the tightrope

As a manager, you constantly walk the tightrope between over-delegating and micromanaging. Too little control – and you are being blindsided by problems no one warned you about. Too much meddling – and you paralyze your subordinates while taking on way too much work.

The difficulty of this balancing act grows exponentially in the project environment. The Project Manager is a professional trained and experienced in leading complex efforts independently; however, most projects necessitate exerting influence outside the Project Manager's direct sphere of influence, and this is one of the primary areas where the Performing Organization Management can help.

On the other hand, a manager should NOT take on the responsibilities duly assigned to the Project Manager:

| Project Sponsor or other Manager | Project Manager |
|---|---|
| Makes decisions on Project Scope and Budget | Makes decisions on Project Schedule and team member assignments |
| Sets the vision for the project, and links it to the organizational mission | Sets the objectives for the project and links them to the vision for the project |
| Has an obligation to enable the Project Manager to keep the project within scope, on schedule and on budget (for example, by making sure the Project Manager has enough resources when needed, or by negotiating with other managers regarding project parameters or needs) | Has the responsibility to keep the project within scope, on schedule and on budget |
| Provides advice and assistance in response to the Project Manager's requests, and in accordance with judgment and understanding of the project's status and condition | Asks for advice and assistance whenever project circumstances demand outside assistance; accepts advice and assistance when offered |
| Keeps an eye on deliverables in progress; reviews and approves final deliverables | Prepares project management deliverables and pursues the Project Sponsor and other Decision-Makers for review and approval |
| Oversees project progress | Is intimately involved in every aspect of Project Planning and Execution and Control |

## PROJECT DELIVERABLE APPROVAL FORM

Early iterative review of all deliverables by the key players facilitates eventual approval and sign-off.

## *What should you look for?*

◆ All the Project Plan deliverables should have been reviewed and recommended for approval by Subject Matter Experts. All key decision-makers on the project should approve major deliverables.

◆ For a project MANAGEMENT deliverable, the reviewer is most likely a member of the Performing Organization Management who is agreeing to secure required resources for the next project management phase. For a PROJECT (product) deliverable, the reviewer is most likely a Subject Matter Expert who is recommending the deliverable to be either approved or rejected.

## *How should you be involved?*

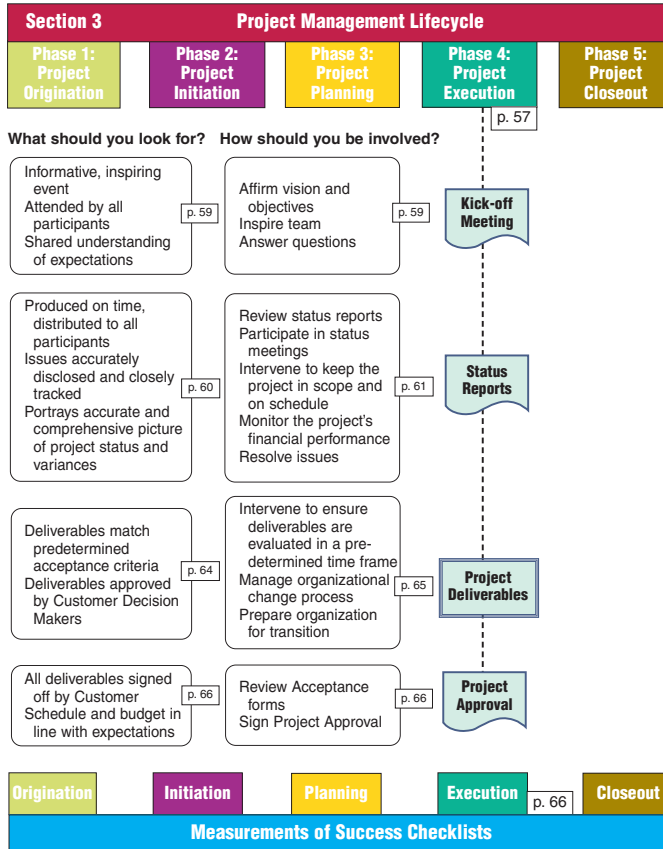| PROJECT DELIVERABLE APPROVAL FORM | |
|---|---|
| Role | Performing Organization Management Commitment |
| Project Sponsor | **Review** deliverable; **Verify** other parties' approval; **Sign** approval form or indicate reasons for rejection |

## MEASUREMENTS OF SUCCESS CHECKLIST

The ultimate measurement of success for Project Planning is the successful Project Execution that follows, or a decision to stop the project as, once again, the Performing Organization may decide it is best served if the project does not continue.

Before the final sign-off, however, the Performing Organization Management can assess how successfully the project is proceeding by utilizing the Measurements of Success Checklist provided below. More than one "No" answer indicates a serious risk to the continued success of the project.

### Figure 3-8 Project Planning Measurements of Success Checklist

| Measurements of Success | Yes | No |
|---|---|---|
| Is there a shared correct understanding of the project's purpose, approach, impact and timeframes among the Project Team, the Customer community, and the Project Sponsors (including executive management)? | | |
| Have proper preliminary activities specific to the line of business (product) lifecycle been done? (e.g., reviewing the blueprints for a construction project, or technical specifications for a system development project) | | |
| Has the Project Team refrained from doing any product development for which formal planning activities have not taken place? | | |
| Has an assessment been made of the impact on the organization from any accepted changes to the scope? | | |
| Are the Customer Decision-Makers, the Project Sponsor, and any other affected parties reviewing and commenting on the interim and draft versions of the deliverables – before final deliverables are presented? | | |
| By the end of the phase, have all key players reviewed and accepted all major project management deliverables? | | |

## Figure 3-9  **Project Execution and Control Roadmap**

| Section 3 | Project Management Lifecycle | | | |
|---|---|---|---|---|
| **Phase 1: Project Origination** | **Phase 2: Project Initiation** | **Phase 3: Project Planning** | **Phase 4: Project Execution** | **Phase 5: Project Closeout** |

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**What should you look for?    How should you be involved?**

| Informative, inspiring event<br>Attended by all participants<br>Shared understanding of expectations  *p. 59* | Affirm vision and objectives<br>Inspire team<br>Answer questions  *p. 59* | **Kick-off Meeting** |
|---|---|---|
| Produced on time, distributed to all participants<br>Issues accurately disclosed and closely tracked<br>Portrays accurate and comprehensive picture of project status and variances  *p. 60* | Review status reports<br>Participate in status meetings<br>Intervene to keep the project in scope and on schedule<br>Monitor the project's financial performance<br>Resolve issues  *p. 61* | **Status Reports** |
| Deliverables match predetermined acceptance criteria<br>Deliverables approved by Customer Decision Makers  *p. 64* | Intervene to ensure deliverables are evaluated in a pre-determined time frame<br>Manage organizational change process<br>Prepare organization for transition  *p. 65* | **Project Deliverables** |
| All deliverables signed off by Customer<br>Schedule and budget in line with expectations  *p. 66* | Review Acceptance forms<br>Sign Project Approval  *p. 66* | **Project Approval** |

| Origination | Initiation | Planning | Execution  *p. 66* | Closeout |
|---|---|---|---|---|
| **Measurements of Success Checklists** | | | | |

## 3.4  Project Execution and Control

The purpose of Project Execution and Control is to develop the product or service that the project was commissioned to deliver, utilizing all the plans, schedules, procedures and templates prepared during prior phases. Unanticipated events and situations will inevitably be encountered, and the Project Team and Performing Organization Management will have to deal with them while minimizing any impact on the project's CSSQ.

At the end of this phase the product of the project is fully developed, tested, accepted, implemented and transitioned to the Performing Organization.

*If any of the following (or similar) situations occur during the course of the project, you should consider whether it is advisable to consult with either the agency fiscal officer or the Division of the Budget:*

◆ *The budget is expected to deviate from the estimate by a substantial percentage*

◆ *The ongoing and recurring post-implementation costs become apparent (or change from what was expected)*

◆ *Significant changes occur to procurement or staffing decisions made at the project outset.*

### MAJOR DELIVERABLES AND OUTCOMES

Two kinds of deliverables will be produced throughout this phase: project management deliverables (status reports) and project deliverables (concrete portions of the final product of the project). While only project (product) deliverables require formal approval in this phase, members of the POM should pay just as

much attention to status reports, for they can signal, far ahead of time, how timely – and even how good – the project deliverables are likely to be.

Execution and Control processes such as change control, deliverable acceptance, organizational change management, issue escalation, risk management, and transition demand the Performing Organization Management's support on many levels:

◆ **Enabling** – creating conditions conducive to the efficient and uninterrupted completion of project work by the Project Manager and the Project Team;

◆ **Advising** – imparting additional knowledge to the Project Manager and the Project Team;

◆ **Intervening** – assisting the Project Manager in exerting control and influence over other functional units within and outside of the Performing Organization;

◆ **Resolving** – making decisions on changes to project parameters, or choosing a course of action for the Project Team to pursue;

◆ **Controlling** – checking the timeliness, quality, content and cost of work being produced, and taking corrective action as necessary;

◆ **Approving** – reviewing and approving project management deliverables;

◆ **Accepting** – reviewing, verifying and accepting project deliverables (product or service).

## KICK-OFF MEETING

The Project Sponsor and any other Stakeholders among the Performing Organization Management with a vested interest in the outcome of the project should take advantage of this opportunity to reinforce the importance of the project and how it supports the business needs and organizational goals.

## *What should you look for?*

◆ As before, broad participation and shared enthusiasm for project objectives should be the goal of the kick-off meeting.

## *How should you be involved?*

| EXECUTION KICK-OFF MEETING | |
|---|---|
| **Role** | **Performing Organization Management Commitment** |
| Project Sponsor | **Affirm** project value and importance to the organization; **Clarify** the project's priority vis-à-vis competing demands for team members' time; **Inspire** the Project Team. |
| Performing Organization Management | **Answer** project-related questions |

## STATUS REPORTS

The Project Status Report, which should have been produced regularly since Project Initiation, is the primary vehicle used by members of the POM to gain insight into the project. In Project Execution and Control, when prompted by information in the status report, it becomes paramount for members of the POM to take the following necessary actions:

◆ The Project Manager should be preparing an updated **Project Schedule** for every Project Status Meeting. When significant variations from the baseline occur, the members of the Performing Organization Management must take appropriate action to get the project back on track.

◆ When the financial performance of the project deviates from expectations, the Project Sponsor must understand the reason for the **Project Budget** variance, and decide on

an appropriate response (scope decrease, productivity enhancements, budget increase, etc.)

◆ The **Risk Management Worksheet** – a tool for anticipating, assessing and mitigating risk factors – should be integrated into the status reporting process. The Project Sponsor, as well as other members of the POM who receive the status report, should review the risk ratings and advise the Project Manager on additional risk factors.

◆ While implementing **Quality Control** processes is the job of the Project Manager, the Project Sponsor should also monitor quality control activities and verify that they are being carried out with sufficient vigor.

# *W*hat should you look for?

◆ The status report should be produced on time, and disseminated as indicated in the Communications Plan

◆ The status report should open with a brief **Summary** of major accomplishments and/or critical issues on the project.

◆ The most important part of the status report, **Issues and Action Items**, should highlight all items requiring management attention and offer an action plan for their resolution. The progress on each issue should correspond to the action plan developed for that issue.

◆ The **Schedule** section of the report should enumerate all project milestones, and provide planned and actual start and end dates for each. The status column should indicate whether the milestones to be completed are likely to be delivered on schedule. The schedule should allow the Customer enough time to review and accept each deliverable with enough attention and deliberation.

◆ The **Deliverable Acceptance Log** should indicate whether the acceptance procedures are being followed correctly, in the same way that the **Change Control Log** indicates the application of the change control process. All discrepancies between the milestone schedule and original Project Schedule should be explained in the Change Control Log.

◆ Other documents should be attached to the status report as appropriate:

■ Change Control Requests

■ Deliverable Acceptance Forms

■ Meeting Notes

■ Organizational Change Management Plan

■ Project Team Training Plan

■ Implementation and Transition Plan

# *H*ow should you be involved?

| STATUS REPORTS | |
|---|---|
| **Role** | **Performing Organization Management Commitment** |
| Project Sponsor | **Review** all status reports;<br>**Participate** in all status meetings;<br>**Intervene** as necessary to keep the project in scope and on schedule;<br>**Verify** that quality control procedures are being executed;<br>**Monitor** project's financial performance and projections;<br>**Resolve** escalated issues.<br>**Review** and **Adjudicate** change control requests;<br>**Determine** response to budget variances;<br>**Support** and **Empower** the Project Manager. |
| Customer Decision-Makers; Stakeholders | **Review** status reports;<br>**Attend** status meetings;<br>**Provide** feedback to Project Manager. |

## PITFALL – You mistake confidence for competence

You get an advance copy of the status report, and it looks good.  The agency's seal is on the cover – in full color! Inside, the sections and headings have all the bells and whistles – emblems, dates, page numbers, fancy lines. The content looks good too – a myriad of activities reported, each with a dense description and a due date, followed by a very impressive-looking Gantt chart of the Project Schedule.  You get a good feeling about the project.

The feeling intensifies as you go into the status meeting. The Project Manager strides in confidently, hair flying, leading a whole host of team members and consultants, all neatly groomed and well dressed. Lights dim, and the Project Manager proceeds rapidly through a colorful presentation full of charts, graphs and amusing cartoons, introducing two new consultants to the project along the way – specialists in the new technology direction the project is heading in.  Heads nod, murmurs of assent are heard. There is a spirited discussion on the merits of the new technology, but you are far too removed from that end of things to understand what everyone's excited about. The Project Manager, though, quickly brings things to heel, and you marvel at how astute she must be. The Customer manager is there, too, and remarkably has nothing to say despite his reputation as a complainer, and that allows you to dismiss the Customer grumblings you heard through the grapevine.

After a few more meetings like that, you decide that you have more urgent things to worry about – the impending reorganization, for example; so, other than updating your budget request to take care of those extra consultants everyone was so impressed with, you pretty much leave well enough alone.

It probably comes as a bit of a shock when the project turns into a major disaster. When the dust settles, the scope change bucket is exhausted, the consultants are nowhere in sight, and the amount of output is a fraction of what was promised. Whatever got done is declared unusable by the irate Customers, and the Project Manager announces her early retirement.

What happened? You were impressed with the style and volume of the reports, and did not question their content and accuracy. You let the technical jargon obscure a lack of business understanding. And most importantly, you got taken in by the apparent confidence of the players, and did not dig deeper to determine their true competence.

Avoiding such a scenario is not too hard. You need to: (1) pay attention, (2) secure an objective opinion and (3) listen to your gut. Paying attention means just that: going to the meetings; reading the deliverables; talking to participants; and questioning any ambiguities or apparent misstatements. Securing an objective opinion can be done by drafting other members of the POM or otherwise uninvolved Subject Matter Experts to give you an honest appraisal of a deliverable, a situation, or a team member. You can also use consultants creatively for that purpose: for example, if you already contracted with a consulting firm to perform a part of the project, you should use another, preferably competing, firm to perform an audit, serve in a QA function, or just serve as your advisor. Finally, you are an experienced manager. You've been around the block once or twice.  You ought to have developed a 'gut feel' for trouble. So if your heart skips when you read a change control request, or your stomach churns when you hear a justification for a new approach – listen to your gut, and take control of a bad situation about to get worse.

## PROJECT DELIVERABLES
## (PROJECT DELIVERABLE APPROVAL FORMS)

During Project Planning, the Project Manager, Project Sponsor and Customer Decision-Makers agreed on a process to accept project deliverables. Customer Decision-Makers take on the responsibility to review and approve or reject deliverables within a certain period of time.

The acceptance management process must be followed through-out the lifecycle of the project. The sooner the process begins, the sooner everyone will understand how it works and what to expect.

> *The key to project acceptance is understanding and managing Customer expectations.*

## What should you look for?

◆ The **Acceptance Criteria** section of the Project Deliverable Approval Form should explicitly state the criteria that must be met in order for the deliverable to be considered accept-able; those criteria should have been identified before the deliverable was developed.

◆ The **Approver Information** section of the form should list ALL Customer Decision-Makers from business units that required the particular deliverable to be developed, and should bear their signatures.

## How should you be involved?

### PROJECT DELIVERABLE APPROVAL FORM

| Role | Performing Organization Management Commitment |
|---|---|
| Project Sponsor | **Intervene** as necessary to make sure all deliverables are thoroughly reviewed in a reasonable time frame. |
| Customer Decision-Makers; | **Review** project deliverables; **Accept** or **Provide explanation** for non-acceptance; **Prepare** business units to utilize the product. |
| Performing Organization Management | **Manage** organizational change process; **Accept responsibility** for the product. |

**PITFALL** – You forget the difference between status and progress, and between being busy and being productive

In the thick of Project Execution, and especially when things are not going exactly as planned, the team members can appear – and indeed are! – extremely busy. There is an awful lot of activity going on, and as it is being reported, in breathless prose and at great length, it's easy to mistake the status of everyone being busy for genuine progress derived from everyone being productive.

Stand back from the fray, and ask critically: What is actually being accomplished? What is the status of the deliverables that are actually in the Project Plan? Are they perpetually "90% complete" or did someone actually accept them? Are a great many people working on "making something happen" or did it actually happen? Can anyone tell if the project is still on schedule?

In other words, if all you hear from the busy bees is buzz, tell them to "show me the honey."

## PROJECT APPROVAL FORM

As the project deliverables are produced and accepted by the Customer, approval signatures are obtained from the Project Sponsor and Customer Decision-Makers. At the end of Project Execution and Control, following the final status meeting, the Project Manager will request the Project Sponsor's signature one final time, indicating acceptance of the project to date and approval to proceed to Project Closeout.

### *What should you look for?*

◆ The Project Manager should be able to produce signed **Project Deliverable Approval** forms for all project (product) deliverables.

◆ The **Final Status Report** and the accompanying final Project Schedule should be in line with your expectations.

### *How should you be involved?*

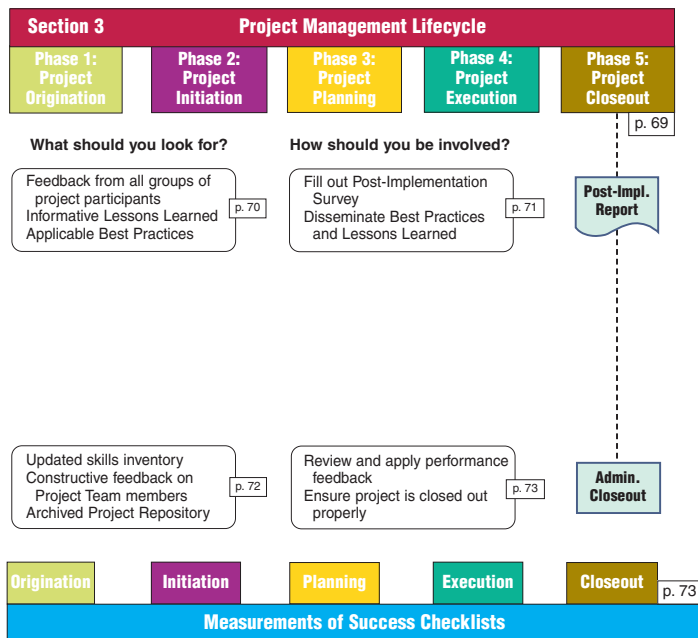| PROJECT APPROVAL FORM | |
|---|---|
| **Role** | **Performing Organization Management Commitment** |
| Project Sponsor | **Review** final status report and all Project Deliverable Approval forms;<br>**Sign** Project Approval Form. |

## MEASUREMENTS OF SUCCESS CHECKLIST

While the ultimate measurement of success for Project Execution and Control is product acceptance by the Customer (as well as project acceptance by the Project Sponsor), the Performing Organization Management can assess how successfully the project is proceeding through Execution and Control by utilizing the

Measurements of Success Checklist provided below.  More than one "No" answer indicates a serious risk to the continued success of the project.

### Figure 3-10 Project Execution and Control Measurements of Success Checklist

| Measurements of Success | Yes | No |
|---|---|---|
| Are Customer Decision-Makers formally approving all project (product) deliverables? | | |
| Are ALL changes to Scope, Schedule, Quality and Cost being implemented via a formal change control process? | | |
| Does the management (including Customer management) have a clear understanding of where the project is? | | |
| Does the management have confidence that the project will deliver its product when promised? | | |
| Does the management have an objective basis for judging whether the project will deliver the product as promised? | | |
| Is the functional area that will support the product once it is developed performing the actions necessary for a successful transition? | | |

## Figure 3-11  Project Closeout Roadmap

| Section 3 | Project Management Lifecycle |
|---|---|

| Phase 1: Project Origination | Phase 2: Project Initiation | Phase 3: Project Planning | Phase 4: Project Execution | Phase 5: Project Closeout |
|---|---|---|---|---|

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**What should you look for?**

Feedback from all groups of project participants
Informative Lessons Learned
Applicable Best Practices          p. 70

**How should you be involved?**

Fill out Post-Implementation Survey
Disseminate Best Practices and Lessons Learned          p. 71

Post-Impl. Report

Updated skills inventory
Constructive feedback on Project Team members
Archived Project Repository          p. 72

Review and apply performance feedback
Ensure project is closed out properly          p. 73

Admin. Closeout

| Origination | Initiation | Planning | Execution | Closeout |
|---|---|---|---|---|

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**Measurements of Success Checklists**

## 3.5 Project Closeout

The purpose of Project Closeout is to assess the project and derive any lessons learned and best practices that may be applied to future projects.

Project Closeout starts with a Post-Implementation Review, in which feedback is solicited from all parties involved in the project. The phase ends with administrative closeout – where feedback is provided to Project Team members, the skills inventory is updated, key project metrics are captured, and all pertinent project materials are filed into the project repository.

One of the key elements in Project Closeout, of great importance to the Performing Organization, is the collection of best practices and lessons learned. Its dissemination can be instrumental in improving the success rate of subsequent projects. One of the key responsibilities of the Project Sponsor is to support the Project Manager in performing a complete and productive Project Closeout.

### MAJOR DELIVERABLES AND OUTCOMES

The Performing Organization Management has a great deal to gain by staying closely involved in Project Closeout activities and reviewing Project Closeout deliverables, because feedback from the project can provide useful, immediately applicable information:

◆ Feedback for Project Team members who may be from different functional units, information such as new skills learned, existing skills mastered, and performance, can provide management with a solid base for personnel and career path development.

◆ Reasons for the success of particular methods, systems and procedures can lead to implementation of similar practices across the Performing Organization.

◆ Analysis of the failure of various approaches, techniques and methodologies on the project can help the Performing Organization avoid similar mistakes in the future, and improve the organization's overall project success rate.

## POST-IMPLEMENTATION REPORT

The Post-Implementation report provides lessons learned and best practices as experienced and recommended by the Project Manager and the Project Team.

Managers who have been involved with the project and/or the Project Team should participate in the Post-Implementation Survey because they can provide an invaluable perspective on the project and on skills and abilities of the team members (including the Project Manager).

The results from the Post-Implementation Survey are discussed and verified at the Project Assessment Meeting, attended by key Customers, Consumers and Stakeholders. Broad patterns of lessons learned and best practices are derived.

## *W*hat should you look for?

The Post-Implementation Report should contain:

◆ Distillation of feedback from the Post-Implementation Survey and Project Assessment Meeting;

◆ Derived lessons learned, specifically identifying practices that should be changed;

◆ Derived best practices, specifically identifying practices that should be followed by other projects.

To ensure accurate and in-depth assessment, the feedback should be solicited from a broad range of involved parties, including Stakeholders outside the Performing Organization. The report should contain a statistical summary of all responses in each category and cogent analysis of the feedback.

## *H*ow should you be involved?

### POST-IMPLEMENTATION REPORT

| Role | Performing Organization Management Commitment |
|---|---|
| Project Sponsor | **Ensure** Post-Implementation Survey goes to all target recipients. |
| Performing Organization Management | **Fill out** the Post-Implementation Survey; **Identify** best practices and lessons learned; **Disseminate** best practices and lessons learned. |

### PITFALL – You think it's over

It is tempting to forget about the project once its product has been implemented and the afterglow of the associated celebratory activities has faded. And yet, for other projects going on in your organization, and indeed for all your future projects, the most important phase of the project management lifecycle has yet to begin.

Only by learning the lessons of each project – both positive and negative – can you hope to improve on your project management methodology, product lifecycle methodology, budget process, inter-departmental communications, and all other aspects of your organization that have a bearing on future projects' success.

The processes and tasks of Project Closeout are rungs on a continuous improvement ladder leading to prospective project success. The Post-Implementation Survey collects information necessary to hold an informed Post-Implementation Review that validates and organizes raw data, identifying best practices and lessons learned. All that valuable information is codified in the Post-Implementation Report that is stored in the project

repository and disseminated across the entire organization.

Leaving the Closeout activities out of the project management lifecycle makes it impossible to learn the lessons from the past so that you can avoid making the same mistakes in the future

## ADMINISTRATIVE CLOSEOUT

As part of Administrative Closeout, the Project Manager and/or Team Leaders update the team members' skill inventory, and document their feedback on the accomplishments and performance of each Project Team member. The feedback is submitted to each Project Team member's supervisor.

The final action of the Project Manager is to archive all information associated with the project.

## *What should you look for?*

**Updated Skills Inventory:**

◆ Should contain updated record of skills and skill levels for all Project Team members.

**Performance Feedback:**

◆ Should be a written summary of accomplishments and performance of each Project Team member. The performance feedback should cover the entire duration of the project and accurately portray involvement of the team member on the project, providing a factual, role-based assessment of each team member's contributions.

**Archived Project Repository**

◆ An archive of all information associated with the project. It should include the original as well as the latest iterations of the project's defining documents (CSSQ, Project Plan), project change history (change request logs, issues logs) and all project correspondence (status reports, meeting minutes).

## *How should you be involved?*

| ADMINISTRATIVE CLOSEOUT | |
|---|---|
| **Role** | **Performing Organization Management Commitment** |
| Project Sponsor | **Ensure** project is closed out properly; **Recognize** the team for extraordinary performance. |
| Performing Organization Management | **Review** performance feedback and apply as appropriate. |

## MEASUREMENTS OF SUCCESS CHECKLIST

The ultimate measurement of success for Project Closeout will probably never be known. That's because it is impossible to assess now how much future projects will benefit from best practices and lessons learned from this project. The only thing certain is that no one will benefit at all if the best practices and lessons learned are not communicated and disseminated across the organization.

The Performing Organization Management can assess how successfully the project is proceeding through Closeout by utilizing the measurement criteria outlined below. More than one "No" answer indicates a lesser probability that this project's experiences will help with the eventual success of other projects.

**Figure 3-12 Project Closeout Measurements of Success Checklist**

| Measurements of Success | Yes | No |
|---|---|---|
| Does the skill inventory accurately reflect the skills and proficiency levels of all team members? | | |
| Have the lessons learned on this project been disseminated across the organization? | | |
| Is anybody utilizing the best practices discovered on this project? | | |
| Has there been an increase in understanding of team member abilities and performance record? | | |

Notes

Notes

Notes