ATTACHMENT F

Project Management Field Guide

Contractor Edition 2.0

Processes, Tools and Templates for Project Managers and Team Members

"A Prescription for a Healthy Project"

New York State Department of Health
Project Management Office

Version History

EDITION#	AUTHOR(S)	REVISION DATE	NOTES
1.0	Line of Sight, LLC	July, 2008	• Initial Release
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2.0	Line of Sight, LLC	July 2010	• Final Revisions incorporating PMO Advisory Group comments for Version 2.0

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SECTION I – FIELD GUIDE OVERVIEW

I.1. Introduction to the Department of Health Project Management Methodology

A project is a temporary effort to create a unique product or service. Projects have constraints and risks regarding cost, schedule, scope and performance outcome. Projects are undertaken to change things, based on recognized needs for new or improved programs, processes, organizations, or technology. Project management is a set of principles, practices, and techniques applied to lead project teams and control project schedule, cost, and performance risks that result in satisfied customers.

- A project management methodology provides a standard approach to planning and executing projects through a consistent, repeatable process. A methodology is an important guide in standardizing and improving the timeliness and quality of delivery while decreasing the costs associated with managing projects.

- The Project Management Field Guide (Field Guide) has been developed to assist Project Managers navigate the Department of Health's (DOH) Project Management Methodology. The Field Guide provides processes and templates to ensure successful project execution within the DOH's distinct business environment. The Field Guide should not be used as a replacement for Project Management training and research, rather it is designed to provide guidance and standards to Project Management practice at the DOH.

The DOH's Project Management Office adopted six design principles in the development effort of the Field Guide. The intention of these design principles is to help deliver a methodology that is pragmatic and based upon existing project management standards and principles.

Design Principle #1 – The DOH Project Management Field Guide is a self-contained document. The Field Guide aims to contain all relevant information independent of other guides and reference materials.

Design Principle #2 – The DOH Project Management Field Guide references other relevant sources where appropriate. For example, where the New York State Project Management Guidebook (Guidebook) and the PMI Guide to the Project Management Body of Knowledge (PMBOK) provide detailed descriptions of processes or deliverables, the DOH Project Management Field Guide may take one of several actions: a) cite the information; b) quote the information directly in accordance with Design Principle #1; or, c) assume that the knowledge is readily accessible and not repeat it.

Design Principle #3 - The DOH Project Management Field Guide is grounded in best practices from the project management field, relevant industries, and other New York State agencies.

Design Principle #4 - The DOH Project Management Field Guide is designed for the DOH environment. Where possible, DOH specific processes and terminology are used so that the audience can readily understand the context of a particular point.

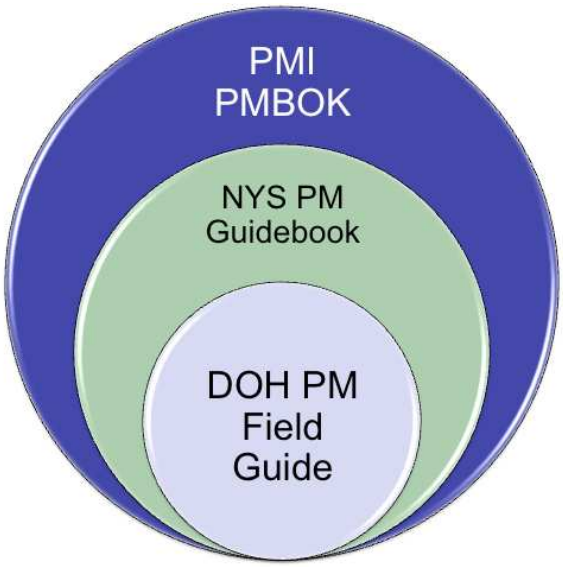
Design Principle #5 - The DOH Project Management Field Guide addresses both Information Technology (IT) and business-oriented projects. In order to be most useful, the Field Guide addresses both project types. Many DOH projects involve the development and implementation of a public health program or initiative. This doesn't fall neatly into the IT or business-oriented project category, so some interpretation may be necessary for particular projects.

Design Principle #6 – The audience for the DOH Project Management Field Guide is intended to include both experienced Project Managers and those who are new to the practice. Experienced Project Managers can use the Field Guide "as is," while those with less familiarity with the processes and tools may benefit by using information from the sources referenced in the Field Guide.

The design principles above provide a balance between global best practices and local policies, and between the NYS Project Management Guidebook concepts and content and the DOH Field Guide. These principles are not absolutes, but rather are meant to provide a useful, relevant, and accessible methodology.

I.2. DOH Project Management Field Guide Context

In keeping with Design Principle #2, the DOH Project Management Field Guide highlights and supplements the existing methodologies and best practices available to Project Managers. The graphic below depicts the context for the Field Guide.



- **Project Management Institute Guide to the Project Management Body of Knowledge (PMBOK)** - documents the key processes for this arena and is recognized as the standard and source for best practices. The Guide to the PMBOK provides a recognized source of knowledge about standard project management processes that organizations can adapt to their specific environment. The Guide to the PMBOK enables the development of a common project management methodology and language for its Project Managers and team members.
- **New York State Project Management Guidebook** - developed and maintained by the Office for Technology and is the State's recommended project management methodology.
- **Department of Health Project Management Field Guide** - the refinement and application of the above two publications to the DOH's project environment. In addition to these seminal works, the DOH considered a variety of other sources including the project management methodologies and templates used by other states and NYS agencies.

The DOH Project Management Field Guide neither restates the NYS Project Management Guidebook (Guidebook) nor ignores it. The Guidebook provides the de facto New York State standard for project management which DOH should adopt. The Field Guide, then, is an extension of the Guidebook – a localized instance of the basic processes and principles, created to ensure that projects are successfully executed within DOH.

I.3. What Are the Characteristics of DOH Projects?

The DOH, with multiple organizational units, varied missions, different resources, and various funding sources is distinct from other New York State agencies. This environment adds complexity to the effective management of projects. The following characteristics describe the DOH environment:

- Project funding comes from a number of sources: state funding, federal funding through CDC contracts and grants, Health and Human Services grants, and others;
- Project staff may include a combination of state staff, consultants, and contract staff;
- State staff may be committed across multiple projects which are driven by grant award requirements, legislative mandates, and other sometimes unpredictable requests;
- The DOH has multiple organizational components with unique cultures and missions;
- DOH Offices are located throughout the State.

This Field Guide has been developed to provide guidance and standards to Project Managers who work within the context of the DOH environment.

I.4. How to Use the DOH Project Management Field Guide

The Guide presents the project management lifecycle, roles and responsibilities, tools and key deliverables related to projects. The information is presented in a phase-by-phase manner. The project management deliverables that are discussed in each phase are often developed through ***"progressive elaboration."*** This approach refers to the process of drafting a project management deliverable such as the Project Scope Statement in one phase, refining it in the next, and completing or formalizing it in another phase. Other deliverables such as a Project Schedule may be defined in the Initiation Phase and elaborated upon throughout the project management lifecycle.

The discipline imposed by project management manifests itself through document templates that address specific aspects of the project, like a budget or a communications plan. These templates are the deliverables of project management. The point of these deliverables is not to complete them for the sake of completion. The point is to create and execute plans that fulfill the goals of the project. *The templates provide a discussion point, a framework for engaging the team and key stakeholders, and also for observing the results.*

The size and/or complexity of a project will determine the project deliverables a Project Manager utilizes during the execution of the project. The size of the project will be determined by the Department of Health program area initiating the project and be communicated in the procurement document.

The following table presents the recommended templates a Project Manager will utilize by project size, Small (S), Medium (M), Large (L). A check mark in a column indicates a deliverable is highly recommended for the size of the project, a blank indicates an optional deliverable.

Although some templates are not suggested for all sizes of projects, a successfully managed project always includes effective communication, consideration of risks, and thoughtful resource (human and fiscal) planning.

Please Note: The list below, while extensive, includes many deliverables that are repeated in different phases. The deliverables in bold text are "progressively elaborated" throughout the life of the project and do not represent separate and distinct documents.

Phase	Deliverable	S	M	L
Origination	Project Kick-off Meeting Agenda	✔	✔	✔
	Business Case*	✔	✔	✔
	Project Management Framework	✔	✔	✔
	Phase Completion Form		✔	✔
Initiation	Project Charter	✔	✔	✔
	Project Scope Statement	✔	✔	✔
	Project Schedule	✔	✔	✔
	Project Budget		✔	✔
	Risk Management Worksheet		✔	✔

Phase	Deliverable	S	M	L
	Communication Plan		✔	✔
	Resource Acquisition Worksheet			✔
	Project Status Reports	✔	✔	✔
	Project Plan		✔	✔
	Phase Completion Form		✔	✔
Planning	**Project Scope Statement**	✔	✔	✔
	Project Schedule	✔	✔	✔
	Project Budget		✔	✔
	Risk Management Worksheet		✔	✔
	Communication Plan		✔	✔
	Project Roster		✔	✔
	Quality Management Plan		✔	✔
	Change Control Process		✔	✔
	Change Request Form		✔	✔
	Change Control Log		✔	✔
	Acceptance Management Process	✔	✔	✔
	Organizational Change Management Process			✔
	Issue Management and Escalation Process	✔	✔	✔
	Project Team Development Plan			✔
	Project Implementation and Transition Plan		✔	✔
	Project Status Reports	✔	✔	✔
	Project Plan		✔	✔
	Phase Completion Form		✔	✔
Execution and Control	**Project Schedule**	✔	✔	✔
	Project Budget		✔	✔
	Risk Management Worksheet		✔	✔
	Communication Plan		✔	✔
	Project Roster		✔	✔
	Quality Management Plan		✔	✔
	Change Control Process		✔	✔
	Change Request Form		✔	✔
	Change Control Log		✔	✔
	Acceptance Management Process	✔	✔	✔
	Organizational Change Management Process			✔
	Issue Management and Escalation Process	✔	✔	✔
	Project Implementation and Transition Plan		✔	✔
	Project Status Reports	✔	✔	✔
	Phase Completion Form		✔	✔
Closeout	Lessons Learned	✔	✔	✔
	Project Repository		✔	✔
	Post Implementation Report	✔	✔	✔

Phase	Deliverable	S	M	L
	Performance Appraisals or Personnel Evaluations			✔

*May not be required if already developed by DOH program area.

Project Managers can use the Field Guide to:

- Address common project problems;
- Reduce the learning curve for project personnel from different DOH organizations;
- Document project deliverables using standardized templates;
- Apply lessons learned and best practices from projects across the DOH;
- Clearly establish roles and expectations for all stakeholders;
- Communicate consistent information about deliverables and project activities to all stakeholders;
- Streamline project execution.

The icons shown below will be used throughout the DOH Project Management Field Guide to highlight items of interest to Project Managers. The icons will appear in “call out” boxes in the Field Guide and are used to indicate:

An area or topic of more detail or focus.

A “prescription” for project success; a tip from the specialist.

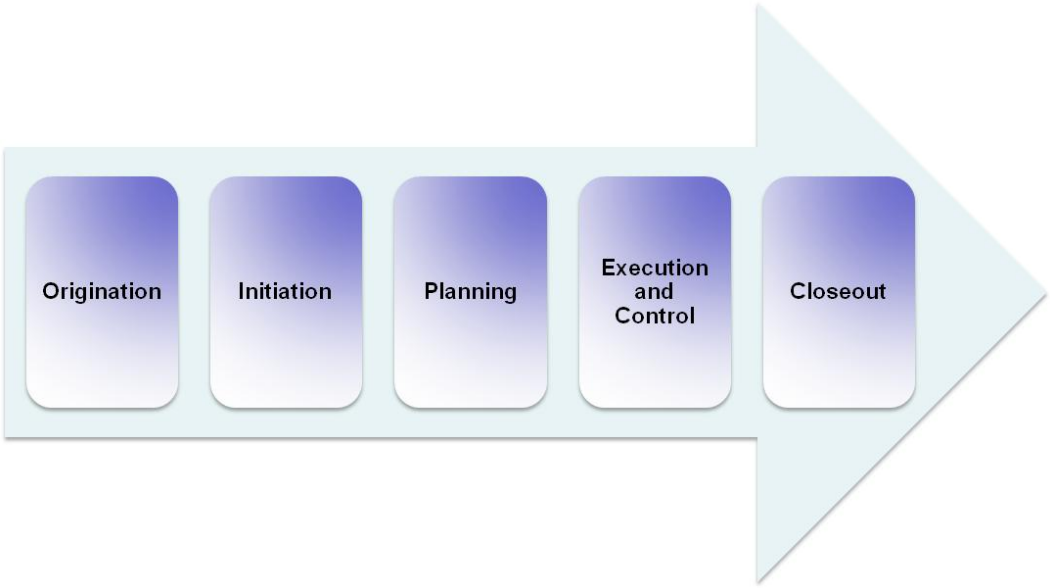
A service available from the DOH PMO or a reference to another guide (i.e., NYS Project Management Guidebook or PMI Guide to the PMBOK).

SECTION II – PROJECT MANAGEMENT MECHANICS

II.1. What is the Project Management Lifecycle?

Many projects at DOH have characteristics that are specific to the DOH's environment. A Project Manager can greatly affect the likelihood of success of projects at DOH by customizing the information and processes in the Field Guide to the specific stakeholders involved. To do this, a Project Manager should first understand the full project management lifecycle and how it informs the development of a project.

The Project Management Lifecycle is a series of five project phases. The following is a brief synopsis of the project management lifecycle.



Project Origination: An individual proposes an idea to create a product or develop a service that can solve a problem or address a need in the Performing Organization. The Performing Organization typically provides the resources for developing the idea via a business case. In many cases the Performing Organization is a DOH program area. A Sponsor, who is a senior level individual in the Performing Organization, is identified. In many cases, the Project Sponsor is the original champion of the idea. At the conclusion of Origination, the idea may or may not become a defined project.

Project Initiation: The Project Manager works with the Project Sponsor to identify the necessary resources and team members to develop the initial key project parameters – Cost, Scope, Schedule and Quality (CSSQ, see description in Section II.2).

Project Planning: The Project Manager and Project Team collaborate further in the development of the details of the CSSQ and in adding management plans and processes.

Project Execution and Control: The Project Manager uses the processes and plans prepared during the Initiation and Planning Phases to manage the project. The Project Manager also prepares the organization for the implementation of the project outcomes and for plans the transition of responsibility for the project outcomes from the Project Team to the Performing Organization.

Project Closeout: The Project Team assesses the outcome of the project, as well as the performance of the Project Team and the Performing Organization. The purpose is to capture lessons learned and best practices to be applied to future projects.

Within each project phase, this Field Guide focuses on the activities required to successfully manage a project. Even though the Project Team may not be involved in all stages of the project, it's important to understand the project management lifecycle and the impact that earlier activities have on later phases.

II.2. The Quadruple Constraints

Quadruple Constraints: Cost, Scope, Schedule, and Quality

Throughout a project, the Project Team must contend with the primary constraints on a project – cost, scope, schedule, and quality. These four basic conditions are considered constraints because they set the limits or boundaries on any project. These constraints limit the options of the Project Team to achieve success. "CSSQ" is the acronym derived from a project's quadruple constraints: Cost, Scope, Schedule, and Quality. CSSQ considerations pose four basic questions that one would ask of any initiative:

- What are we doing and not doing? (Scope)
- When will it be accomplished? (Schedule)
- How will we know we've done a good job? (Quality)
- How much will it take to complete? (Cost)

Since the constraints are interdependent, they are defined, and managed together. The CSSQ concept is addressed throughout all project management lifecycle phases and is, therefore, documented throughout the DOH Project Management Field Guide. The basic CSSQ work products are first created during Project Initiation, and then progressively elaborated throughout the Planning Phase of a project. As a project progresses and additional information is known about each of the four constraints, the documents are revised. Initially, CSSQ includes:

Scope - A written Project Scope Statement to define the project. The Project Scope Statement will be used as the foundation for scope and project schedule refinement during Project Planning.

Schedule - A preliminary Project Schedule to define, at a very high level, the activities that must be accomplished at certain points in the project in order to deliver the product described in the project scope statement.

Quality - The quality evaluation processes and standards that will be used throughout the project.

Cost - The appropriate approaches for staff and materials acquisition, and a preliminary budget for the project.

While this Field Guide will discuss each of the constraints in terms of specific deliverables at given points in the project lifecycle, the following section describes the development process of the quadruple constraints. The constraints may be defined in any logical sequence appropriate

to the project. Typically "Cost" or the project budget will be defined after Scope, Schedule, and Quality, although the acronym "CSSQ" suggests differently.

Scope

The written Project Scope Statement serves as input for future project planning efforts. Scope describes what is going to get done – the deliverables, and to some degree the work that must be done to achieve the deliverables. The Project Scope Statement documents the objectives and outcomes of the project and project deliverables, including acceptance criteria for those deliverables. The Project Scope Statement also defines what the project will not deliver. The project scope should follow a product or service lifecycle. If we are writing a software application, we should follow the Software Development Lifecycle. If we are building a bridge, the project scope should follow a standard construction lifecycle. A complete set of deliverables should be included in the project scope document because it illustrates how we propose to get from Point A to Point B. The following are important issues to address when identifying the scope of a project:

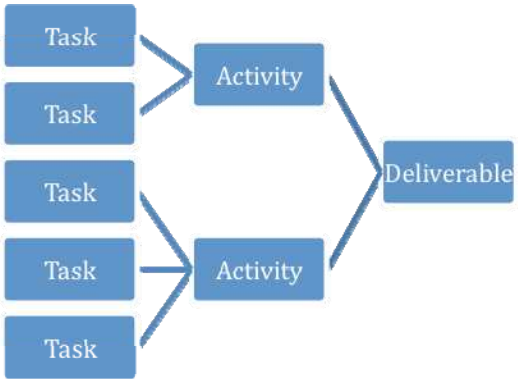
- **Historical data** about previous projects with similar objectives can be reviewed to determine potential scope for the current project. Information on errors, issues, or risks related to earlier projects can be useful in understanding the full breadth of new projects. Historical data should also include looking at the schedule from similar projects. What did they produce? For example, most training projects will have the same types of deliverables, such as requirements, content development, materials development, and production. There is no need for you to reinvent the wheel with each new project.
- **Estimates** based on the major work components that are like for the new project (e.g., effort to design and write code, evaluate and procure software or systems).
- **Communicate** with the people to whom the project scope matters most. This does not mean go to everyone remotely connected with the project, just those who have a real claim on the deliverables of the project.

Schedule

Prior to creating a formal Project Schedule, it is helpful to develop a Work Breakdown Structure, or WBS. The WBS organizes the work around the project deliverables. A WBS is a deliverable-oriented grouping of "work" or "tasks" that defines the total scope of the project. Each descending level of the WBS represents an increasingly detailed definition of the project's work. The lowest level of the WBS is a quantifiable unit of work, e.g. one week of a worker's time, that relates to completing a specific deliverable. The project scope is the foundation for the WBS, which breaks the work into structured outcomes or deliverables that when put together becomes the resulting product of the project. Typically the WBS is not used in managing the project, only in planning the project, because the WBS does not have time or resources defined.

A Project Schedule is a calendar-based representation of the work that will be accomplished during a project. Developing a Project Schedule means determining the start and end dates for tasks required to deliver the project's product, and the project management deliverables. Consider the following components of a Project Schedule:

- **Activities** – Activities describe the actions to be taken to accomplish the work planned. A collection of tasks make an activity, which in turn, assemble into a deliverable.



The Project Schedule describes HOW and WHEN the activities occur. Activities form the body of the Project Schedule and start with action verbs, e.g., "Attend meeting," "Draft recommendations," "Update specifications."

- **Sequence –** How should the tasks be sequenced so that each task is built upon the last and supports the next? Often, sequencing is common sense. You can't build the second floor until the first floor is built. However, there will be activities and even deliverables that you are not sure whether they belong prior to or after the surrounding work. This is where the Project Team members can help.

- **Dependencies** –Activities are related to each other, and those relationships must be documented. For example, you cannot build the frame of a house until the foundation has been set. The foundation must be finished before the framing can start. This is called a finish to start relationship.

- **Duration/Effort** – How long will this activity take? Duration is the overall length of time that an activity will take, usually measured in days or weeks. Effort is the actual amount of work applied to the task, usually measured in hours or days. For example, 6 weeks of effort could require 12 or more weeks of duration. Duration tends to be longer because resources are not assigned full time to one project, or because dependent tasks slow down progress.

- **Resources** – What are the appropriate resources required to accomplish each task? Resources should be specific and skills based – Do you need Cobol or Java skills, business analyst or training development skills? Consider the appropriate level of skills also. Do you need a junior, a journeyman or a master to complete the task? How many of a particular resource are required, based on the needs of the project?

There is no prescribed order to develop the components of a project schedule. Obviously, some components will need to be accomplished before others; for example, dependencies cannot be defined before activities. The order presented above is a recommended order. Project Teams develop their schedule using the most logical order for the project. *(*Please see *Special Topic IV.1. Developing a Project Schedule* for more information*.)*

Quality

Have you ever heard the adage "We never have time to do it right, but we always have time to do it over?" The Project Manager should to be concerned with quality standards from two

perspectives. First, what are the standards internal to the DOH? Are they well documented or do they need to be developed as part of the project? Second, what are the quality standards or expectations of the customer? The purpose of Quality Management is to ensure that the customer understands what they are getting from the project, and that it meets their needs.

A project Quality Management Plan will help to ensure that the project is actually useful to the customers. Project quality is defined as conformance to requirements or standards and fitness of use. In other words, the project must produce what it said it would produce, and what it produces must satisfy real needs. Quality standards and policies should be identified or developed in the Project Initiation or Planning phases. Any type of structure tool or checklist can be used to ensure that all quality measures have been considered. Sources of quality standards include:

- Existing DOH standards and policies;
- Historical data from past DOH projects that are similar to the current project;
- NYS standards and regulations;
- Federal standards and regulations;
- Standards applicable to a particular type of project or industry.

Myths and Truths about Quality:

Myth: *Quality is hard to define.*
Truth: Quality standards and measures exist all around us, and are often documented.

Myth: *Quality is hard to measure.*
Truth: Quality may be hard to measure on your project; however, an imperfect quality measure is better than statements like “I know it when I see it,” which holds little meaning for the project.

Myth: *Quality is usually not as urgent as achieving an on-time delivery.*
Truth: Often, quality is perceived as less important than an on-time delivery. But this situation exists when quality was not built into the product in the first place. Quality and timeliness can co-exist for the same deliverable.

Myth: *Not having quality standards allows the Project Team more latitude than having them, so the Project Team is reluctant to bring it up.*
Truth: A lack of quality standards can work for you or against you. If you are unlucky and the customer’s expectations were not met, then the cost of rework will usually far outweigh the investment in building in quality.

Myth: *We can never have too much quality!*
Truth: There is the opposite problem of a lack of quality: when quality trumps everything else. Time and effort can be mismanaged overanalyzing and perfecting products and deliverables. Quality is part of Quadruple Constraint, and must be managed and negotiated along with Scope, Schedule, and Cost. Quality levels can be deliberately adjusted to accommodate revised budgets. The project team may need to reduce quality to get the Scope done on Schedule and within Cost.

Examples of quality measures include:

- Production code will be 100% free of critical defects.
- We will respond to 90% of customer inquiries in 30 minutes or less.

- Applications will be processed within one day of receipt.

Cost

The "C" in "CSSQ" refers to project *cost* though the acronym should really refer to the budget. Budget is more than a set of costs. In addition to the straight costs, the project budget documents the underlying estimates that drive the costs required to complete a project. For example, the budget should illustrate how much time, by role, will be spent on the project. Hardware/ equipment assumptions can be detailed too, as in the amount of data storage needed, the per-student cost of training, number of new uniforms needed, etc. These assumptions require investigation, and when complete, provide a clear picture of what went into the cost profile for the project. In the Project Initiation Phase, the Project Manager should also define the method by which human resources and equipment, materials and supplies will be acquired. The Project Manager should take into account the following:

- Financial, political, and organizational constraints;
- Time constraints;
- Individual skills needed for the project;
- Availability of resources, including whether in-house staff or contractors will be used.

The Project Manager will need to continually refine and detail the budget throughout the development of the project plan. Early in the project, most of the budget information will still be at the summary level. The Project Manager needs to be sure to document all budget and resource allocation decisions and maintain that documentation in the project repository, which will serve as the central location for all the project artifacts.

Tangible and Intangible Factors

The gears of CSSQ are influenced by a variety of factors, both tangible and intangible. The Field Guide will focus on providing tools for managing the tangible and advise on addressing the intangibles.

TANGIBLE FACTORS

- Project Management Tools and Processes
- Human Resources
- Information Systems
- Communication
- Contracts/Service Level Agreements
- Organizational Policies and Standards

INTANGIBLE FACTORS

- Leadership Environment
- Fiscal and Budgetary Context
- Organizational Culture and History
- Past Performance

*Extend **Project Management** principles beyond project delivery. Project Management can be used in multiple aspects of your every day work. To learn more about **Project Management** and how Project Management principles can support your work, contact the Bureau of Employee Relations and Staff Development for training opportunities.*

II.3. Who is Involved in Projects in DOH?

A stakeholder is a person that is actively involved in the project or whose interest may be positively or negatively affected by execution or completion of the project. A stakeholder may also exert influence over the project or its deliverables.

The roles and responsibilities described below are common to projects in many environments across all phases of the Project Management Lifecycle. The size, complexity, and significance or outcomes of a project are among the factors that determine the appropriate roles and who should fulfill each role. Each project role should be filled by a named person, not by a title. The Project Roster should be used to assign people to roles. In some projects one person may fill multiple roles; while on complex projects, roles may be filled with more than one person. These roles include a project's **stakeholders**, e.g. the individuals or groups with a vested interest in the outcome. Various organizations within the Department of Health may have a different name or find they do not have a need for a particular role. The intent of the roles and responsibilities described below is to provide a common project management language for the DOH and to assist Project Managers in identifying the stakeholders that can contribute to the project's success. The phase-specific responsibilities for each role are documented in tables included in each Field Guide phase section.

Role	Description/Responsibilities
Project Sponsor	The most senior level individual in the organization responsible for the overall success of the project. In many cases, this person was the original champion of the idea that became the project. Their key responsibilities across the project management lifecycle include: • Provide high-level, strategic direction; • Secure funding and long-term support for implementation; • Champion the project with the organization's executives; • Get key players to the table; • Build organizational support for the project; • Educate other executives on the benefits of the project; • Review project progress; • Participate in status meetings, as appropriate; • Sign-off on the Business Case, Project Scope, Budget, and Schedule. • Sign-off on the Phase Completion Form, as appropriate. • Note that the Project Sponsor role for grant-funded projects might be someone outside of DOH. For HRI projects, typically it's a representative from the organization funding the project.
Project Director	In some organizations, an individual is designated as the Project Director to serve as the primary intermediary between the project's Sponsor or organization's executives and the Project Manager. Often, the same individual performs the Project Sponsor and Project Director

Role	Description/Responsibilities
	roles. In this case, the Project Director holds some of the authority of the Project Sponsor, and they are able to direct work accordingly. The key responsibilities across the project management lifecycle include: • Support communication across organization; • Facilitate executive access, as required; • Serve as the primary intermediary between the Project Manager and the organization's executives; • Champion the project within the organization; • Enable the Project Manager to keep the project within scope, on schedule, and on budget; • Review project progress; • Participate in status meetings, as appropriate; • Sign-off on key deliverables and Phase Completion Form.
Project Manager	The individual with the primary responsibility for the planning, execution and control of the project using DOH project management standards. Their key responsibilities across the project management lifecycle include: • Follow the DOH Project Management standards documented in this Field Guide; • Track and report progress to project stakeholders; • Develop, monitor, and maintain CSSQ and necessary project management documentation; • Facilitate effective project meetings and communication; • Coordinate project resources; • Elicit and facilitate critical information; • Validate and approve vendor invoices, as appropriate; • Sign-off on key deliverables and Phase Completion Form.
Business Project Lead	The individual who represents the "business side" of a project. They may be supported by a team, as necessitated by the scale and complexity of the project. Their key responsibilities across the project management lifecycle include: • Assist in high-level inter-agency and/or cross-departmental issue resolution; • Manage business team resources and facilitate business task completion (e.g. business and process analyses); • Provide information regarding user requirements from the business perspective.
Business Analyst(s)	The individual who bridges the gap between the end users and the technical team members. The business analyst collects business requirements from the customer area (or end users) and translates these requirements into system and data requirements. In the case of a

Role	Description/Responsibilities
	non-IT project, business requirements are simply documented. Key responsibilities, depending on the type of project (IT or non-IT) may include: • Facilitate and elicit critical business requirement information; • Develop Business Process Models; • Transform user requirements into data and system requirements; • Prepare technical and user documentation.
Technical Lead	The individual who represents the "technical side" of a project. They may be supported by a team, as necessitated by the scale and complexity of the project. All relevant technical disciplines are represented, either in the individual lead or by inclusion of additional team members. Key responsibilities include: • Manage or coordinate technical resources assigned to the project; • Assist in high-level technical issue resolution as needed; • Define or apply technology standards, enforcing DOH, NYS and federal standards; • Ensure consistency and leverage similarities of technologies across projects; • Act as primary IT point of contact; • Determine requirements for technical team representation and participation; • Leverage core DOH technology and infrastructure wherever possible to avoid redundant or inconsistent development of given functionality.
Finance Representative	The individual from within the project organization or representing the finance unit (i.e., budget analyst) within the DOH. Their key responsibilities across the project management lifecycle include: • Identify funding sources and timeframes; • Apply costing information to project scope data to develop and monitor the project budget; • Verify funds availability; • Provide finance approval process guidance.
Customer or Program Area Representative(s) (or End User)	Individual(s) identified by the Project Manager or designated by functional managers as key stakeholders. Their key responsibilities across the project management lifecycle include: • Monitor project delivery and lend assistance as needed; • Assess and provide feedback on the acceptability of proposed solutions or interim project deliverables.
Vendor Project	The individual identified as the vendor's Project Manager for projects

Role	Description/Responsibilities
Manager	with vendor support. Their key responsibilities across the project management lifecycle include: • Contribute to identifying resources and timeframes and confirms vendor's ability to support or deliver solution; • Satisfy communication requirements; providing effective and timely project communication; • Develop project plan and necessary project management documentation; • Lead vendor's project delivery; • Ensure vendor understanding of and adherence to DOH business and technical processes and standards as they pertain to or are impacted by their product deliverables; • Manage and coordinate vendor resources; • Act as vendor primary point of contact.
Advisory Group or Steering Committee	A group of individuals assembled to support the Project Manager and team in the planning, execution, and control of the project. The Advisory Group is often referred to as a "Steering Committee". Though the roles may be the same, a Steering Committee may consist of Project Sponsors from multiple projects that span multiple organizations. Their key responsibilities across the project management lifecycle include: • Provide subject matter expertise, or general guidance and support to the Project Manager; • Identify and address organizational constraints or obstacles facing the project; • Assist in issue resolution; • Communicate project goals across the organization.
Change Control Group	A group of individuals assembled during the Execution and Control Phase of a project. The group consists of the Project Manager, executives, project team members, and customers. The responsibilities of the group include: • Review, approve and monitor implementation of changes to the project.

Other possible stakeholders include representatives from Security, Human Resources, Records Management, and other supporting functions. These stakeholders provide distinct services, and sometimes are a part of the team.

Projects often extend beyond organizational boundaries. As such, Project Managers are faced with managing resources that do not report to them. When requesting resources outside of the sphere of a Project Manager's control, Project Managers should use standard request protocols and go through the traditional reporting structure to obtain a particular resource. For example, the Project Manager should request the resource through his/her Project Sponsor, who will forward the request to the appropriate manager. This is an appropriate role for the Project Sponsor - to obtain resources for the project. Short cutting these procedures will invariably cost the Project Manager credibility and time.

Project Roles and Responsibilities Increase as the Project Progresses

The project team grows as the project becomes more defined. Not all project roles are necessary in the early phases of the project.

II.4. The Role of the DOH Project Management Office

The Project Management Office (PMO) delivers advice and practical support to all Department of Health Project Sponsors, Managers, and Teams. The PMO provides:

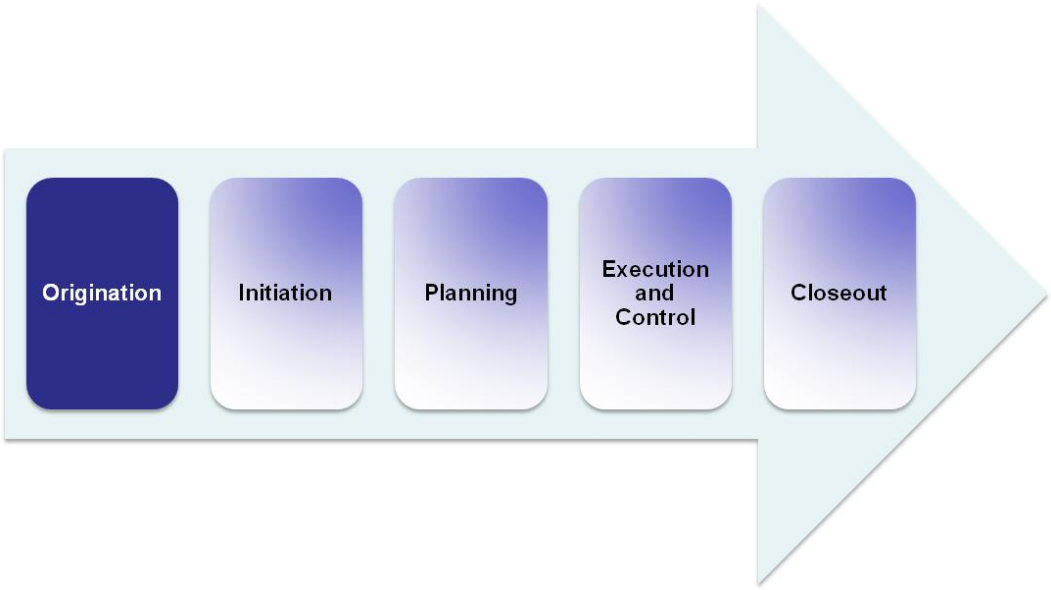
- Expert consultation and technical assistance to help Project Managers successfully meet the objectives of the project.
- Practical guidance on completing all of the project management tasks and deliverables found in this Field Guide.
- Forums for building project management expertise including the DOH PM Community of Practice (PMCOP), and the PMCOP Listserv.
- Assistance to Project Managers in archiving project artifacts into a Project Repository.

The PMO encourages every Project Manager to share and learn from others. Archived Project Repositories can then be accessed by other Project Managers to gain knowledge in the best practices and lessons learned from other DOH projects.

Contact the PMO at pmo@health.state.ny.us.

SECTION III – PROJECT MANAGEMENT LIFECYCLE PHASES

III.1. Origination – "Solidifying the Idea"



III.1.a. The Origination Phase

The focus of the Origination Phase is to create and define the idea for the project. This idea is encapsulated in the Business Case that provides compelling rationale for the project. The Origination Phase is a brief staging point in the project management lifecycle. The content of this phase is more about **conceptualizing** the costs and benefits of the idea, than about **managing** the project. A well-executed Origination Phase will establish a strong project management framework and ensure successful project kick-off. The Origination Phase is necessary to integrate the business case into the portfolio of the agency, and also to ensure that a project funding strategy can be aligned with the budget cycle.

The Business Case is the focus of this phase. This deliverable sets the stage for executive approval and support, and provides the foundation for all other Project Management deliverables.

In most cases, the Project Manager is assigned to the project after the Origination Phase. The primary decisions about the business case development are made by a senior manager or executive. Sometimes, the idea is driven by external forces like a procurement or grant. In these situations, a Business Case might be overlooked; however, the Project Manager should not move forward without a documented Business Case. The time taken to properly define the drivers for the project and obtain appropriate approvals or agreement early in the lifecycle will pay dividend in future phases by limiting confusion about project goals and deliverables.

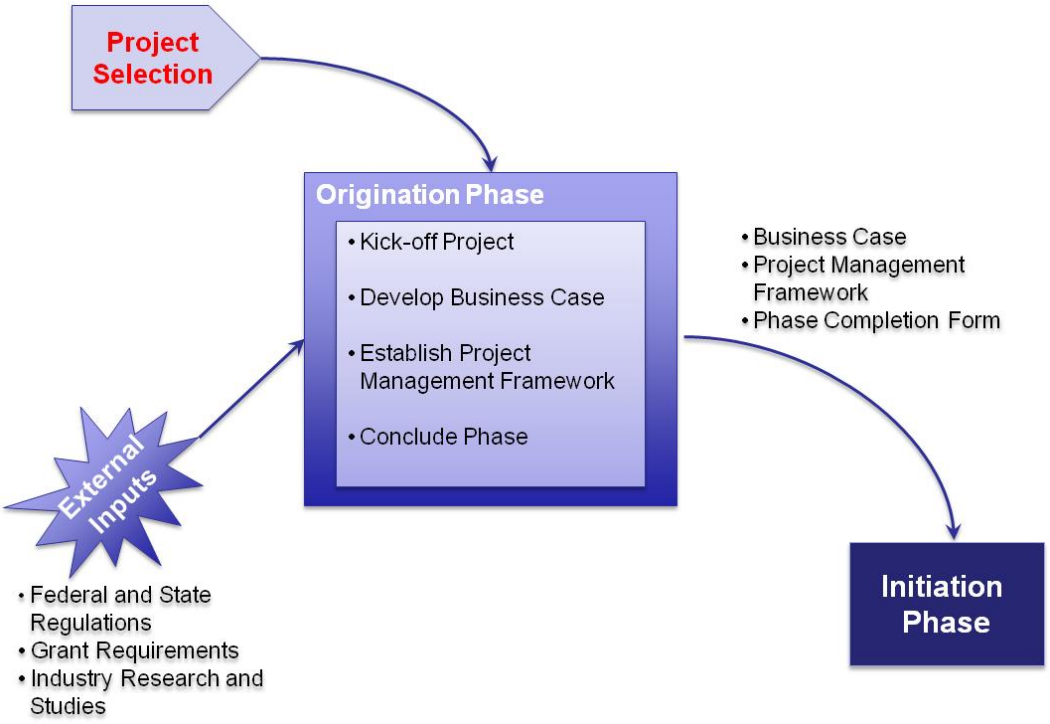
III.1.b. Inputs to the Origination Phase

The "triggers" listed below may be part of a formal "Project Selection" process, where an organization reviews and prioritizes proposed initiatives to identify those that will become formal projects. Catalysts for projects across the Department of Health could result from one of several events:

- Strategic initiative;
- Business need or idea;
- Legislative Mandate (State or Federal);
- Grant Award, requirements, and goals;
- Technology update/enhancement;
- New policy or business process;
- Industry research results;
- Court-Ordered Mandates;
- Commissioner/Governor initiatives.

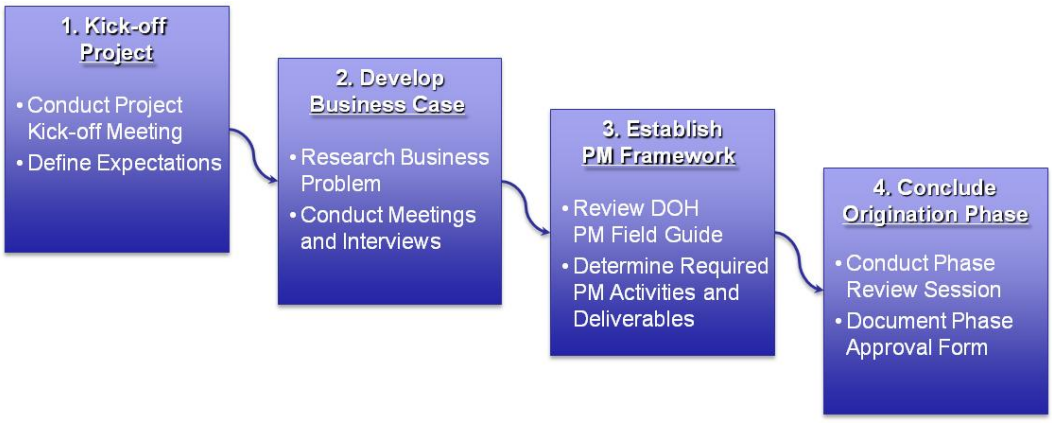
The inputs to the Origination Phase that contribute to the formulation of the Business Case include:

- Historical Data/Lessons Learned from similar projects;
- Existing or new legislation, policies, or practices;
- Available resources;
- Executive guidance;
- Signed Contract with approved Statement of Work (for development of the business case).



III.1.c. Origination Phase Activities and Deliverables

The four steps in this phase are executed in fairly rapid succession. Though durations vary based on several factors – project size, complexity, and scope – the Origination Phase can be measured in days or weeks, but not months. This phase is marked by the transition of an idea into a functioning project with a finite lifetime that produces a specific change to an organization.



Task #1 Kick-off Project

The purpose of the Project Kick-off is to meet with key stakeholders responsible for or involved in the selection of the project.

Activity/Event
- Conduct a Project Kick-off meeting.

Output (Deliverables)
- Documented project expectations from Project Sponsor and other key stakeholders.

(Project Kick-off Meeting Agenda, Project Management Framework)

Task #2 Develop Business Case

The Business Case must provide compelling rationale for the project, e.g. the high cost of not executing the project. The Business Case documents how the project will meet the legislative mandate, improve efficiency, address a significant public health or other DOH priority, or improve efficiency/lower cost. The Business Case is reviewed and revised in each project phase (except Closeout).

See Section 1.1.1, pp. 24-25 in the NY State Project Management Guidebook for more about the Business Case.

The business case should discuss the cost of not doing the project. For example, lost revenue by missing contractual deadlines, Continuing to grow the backlog of work without implementing efficiencies, ongoing manual process without automating, political fallout, failure to comply with laws, failure to comply with control agencies (CIO/OFT, CSCIC, OSC, etc.) guidelines.

The business case defines an investment opportunity. Like any investment, the business case should discuss the full cost of development and ownership, as well as the tangible and intangible benefits accrued from the project. Therefore, the business case will need to be revisited at the end of each phase to ensure that the costs/benefit calculations are still valid. The business case review gives the project sponsor and other executives an opportunity to continue, delay, or stop the project altogether if the costs far outweigh the benefits.

Activity/Event An appropriate mix of:
- Research into best practices, trends, similar projects, etc.;
- Meetings and interviews with Customers and other key stakeholders.

Output (Deliverables)
- Defined business problem to be addressed by project and project approach;
- Proposed solution(s) to address business problem and initial cost/benefit analysis.

(Business Case)

Task #3 Establish Project Management Framework

The Project Manager assesses projects against established guidelines to determine required project management activities and deliverables. The framework provides the context for the performance of project management activities across the lifecycle. The Project Management framework includes creation of a Project Management Repository that is the central location (physical or electronic, though electronic is strongly suggested) for all project files.

Reuse, Recycle and Repurpose
Often tools and templates require the same or similar information. Reuse, recycle and repurpose whenever possible to increase efficiencies, maintain the message and support project document standardization.

For instance, if high-level project scope is defined in a contract, start there when developing a project scope statement.

Activity/Event
- Review DOH Project Management Field Guide;
- Implement appropriate structures and processes.

Output (Deliverables)
- Established Project Management Framework.

(Project Management Framework)

Task #4 Conclude Origination Phase

Phase completion provides clarity on project status and plans for next phase and formalizes project progress through the end of the phase. Phase completion elicits input and starting point of Planning Phase.

Activity/Event
- Review core project management deliverables;
- Conduct Phase Review Session.

Output (Deliverables)
- Phase Completion form completed and signed.

(Phase Completion Form)

The table below outlines the key phase deliverables and their primary purpose:

DELIVERABLE	PURPOSE	S	M	L
Project Kick-off Meeting Agenda	The purpose of the Project Kick-off meeting is to meet with key stakeholders responsible for or involved in the selection of the project, and to document project expectations from Project Sponsor and other key stakeholders. The Project Kick-off is complete once the project deliverables have been decided upon and documented in the Project Management Framework.	✔	✔	✔
Business Case	Provides a compelling case for the project. Defines the business need for the project with objective analysis of the costs and benefits of executing the proposed project. The target audience for this deliverable includes the Project Sponsor and other individual(s) responsible for making the decision to approve the project proceeding to the Initiation Phase.	✔	✔	✔
Project	Establishes the foundation for performing all project management	✔	✔	✔

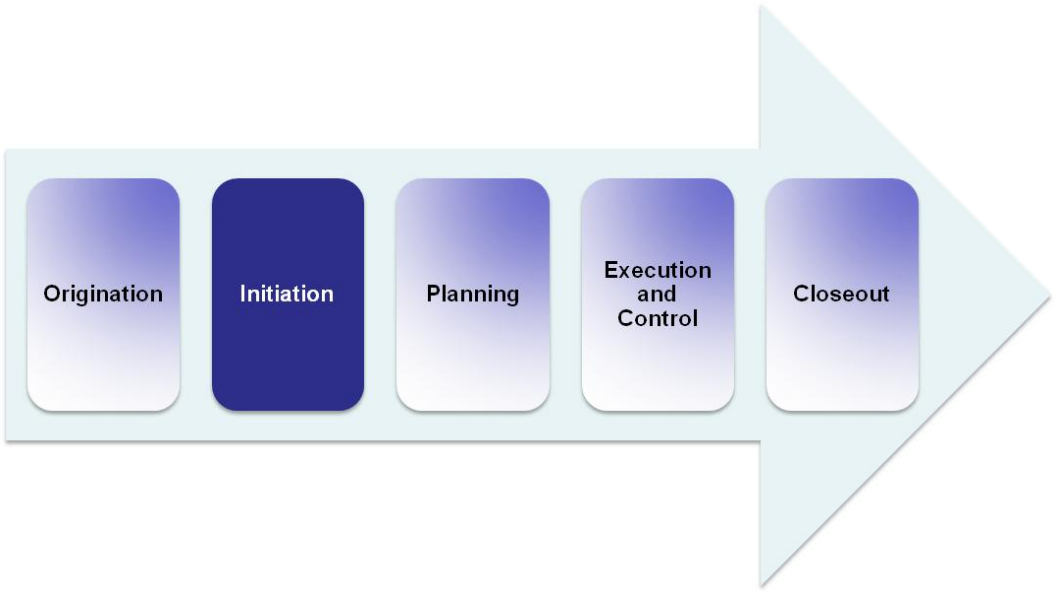
DELIVERABLE	PURPOSE	S	M	L
Management Framework	functions and producing critical deliverables. Facilitates effective project communication and increase potential for delivering a project on-time, on-budget, and with the highest quality.			
Phase Completion Form	Documents the formal completion of the project phase. The target audience is the Project Sponsor, Project Director and Project Manager.		✔	✔

III.1.d. Roles and Responsibilities During Origination

The table below describes the key roles and responsibilities during the Origination Phase in addition to those described in Section II.3. While each role is important, their level of involvement varies from phase to phase.

ROLE	PARTICIPATES IN…	RESPONSIBILITIES SPECIFIC TO ORIGINATION
Sponsor	2. Develop Business Case 4. Conclude Phase	• Provide the Project Manager with the context for the project's selection; • Secures funding and long-term support for implementation;* • Describe expectations for the project, including goals and success factors;* • Endorse communication of origination of the project to the organization.
Business Stakeholder	If a person has been identified: 1. Kick-off Project 2. Develop Business Case	• Support development of the Business Case by providing insight from the business side of the project.
Technical Support	If a person has been identified: 1. Develop Business Case	• Support development of the Business Case by providing insight from the technical side of the project.
Finance Representative	1. Develop Business Case	• Support development of the Business Case by assisting with the financial issues of the project.
Business Analyst(s)	1. Kick-off Project 2. Develop Business Case	• Assist with business case development; • Define business processes and requirements; • Facilitate requirements gathering sessions.

III.2. Initiation – "Getting Started"



III.2.a. The Initiation Phase

The primary function of the Initiation Phase in the project management lifecycle is to refine the project from its original concept. The purpose of the project is more clearly elaborated from the initial information that originated the effort. The requirements of the project's "customers" or "end users" are further researched and reviewed and used to refine the Business Case. The stakeholders are identified and a plan to communicate effectively with them is drafted. The boundaries of the project are defined and described in detail in the key deliverable of this phase, the **Project Scope**. Expert judgments are made about critical success factors, project goals, and success measurements. The project's impact on the organization and dependencies are identified and assessed. Ultimately, a high-level project milestone schedule is developed and the initial Cost, Scope, Schedule, and Quality (CSSQ) elements are compiled.

By developing a realistic and comprehensive project scope and supporting documentation, the Project Team lays the foundation for a well-defined and initiated project. The information identified in the scoping process encompasses the core of the activities in the Initiation Phase and provides key inputs to the Planning Phase used throughout the life of the project. A well-scoped project has definite boundaries; the scope is clear to all stakeholders, defining what is included in the project and what is not. Further, a clear and documented scope is critical to combating scope creep; an all too common event where additional requirements are added after a project has started, without considering and addressing the impact on the project resources or project schedule.

The Business Analyst

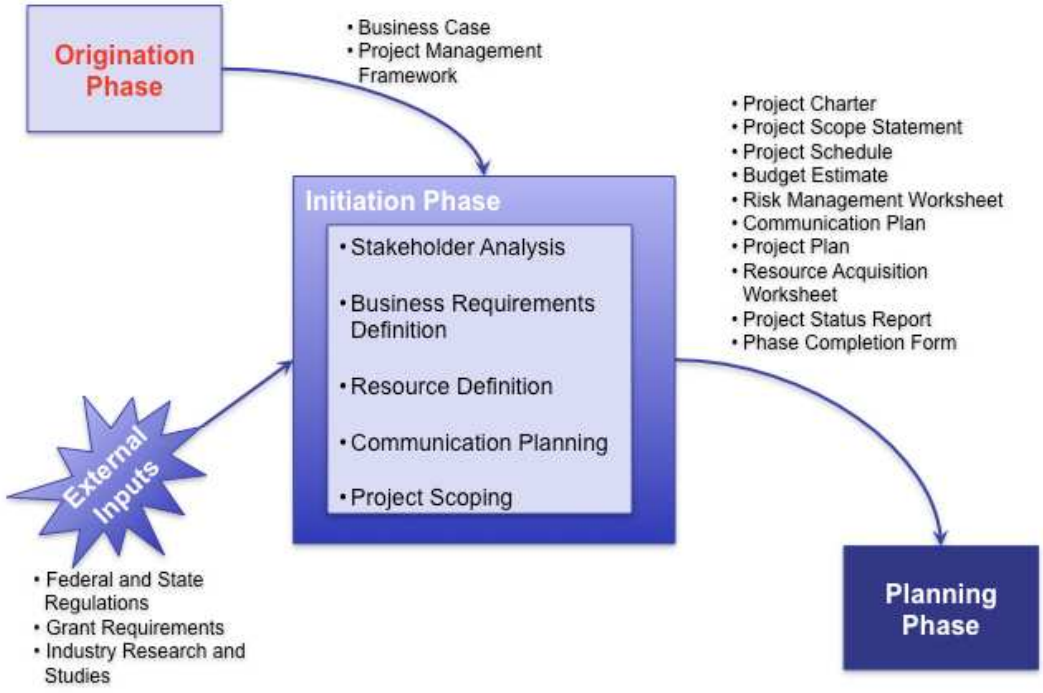
Effective requirements gathering in the early phases of a project will help ensure the success of your project. Consult a ***Business Analyst*** *(BA) during the early phases of your project. The International Institute of Business Analysis (IIBA®) describes the* ***Business Analyst*** *role as follows: "A business analyst works as a liaison among stakeholders in order to elicit, analyze, communicate, and validate requirements for changes to business processes, policies, and information systems."*

Project Management + Business Analysis = A Powerful Combination!

III.2.b. Inputs to the Initiation Phase

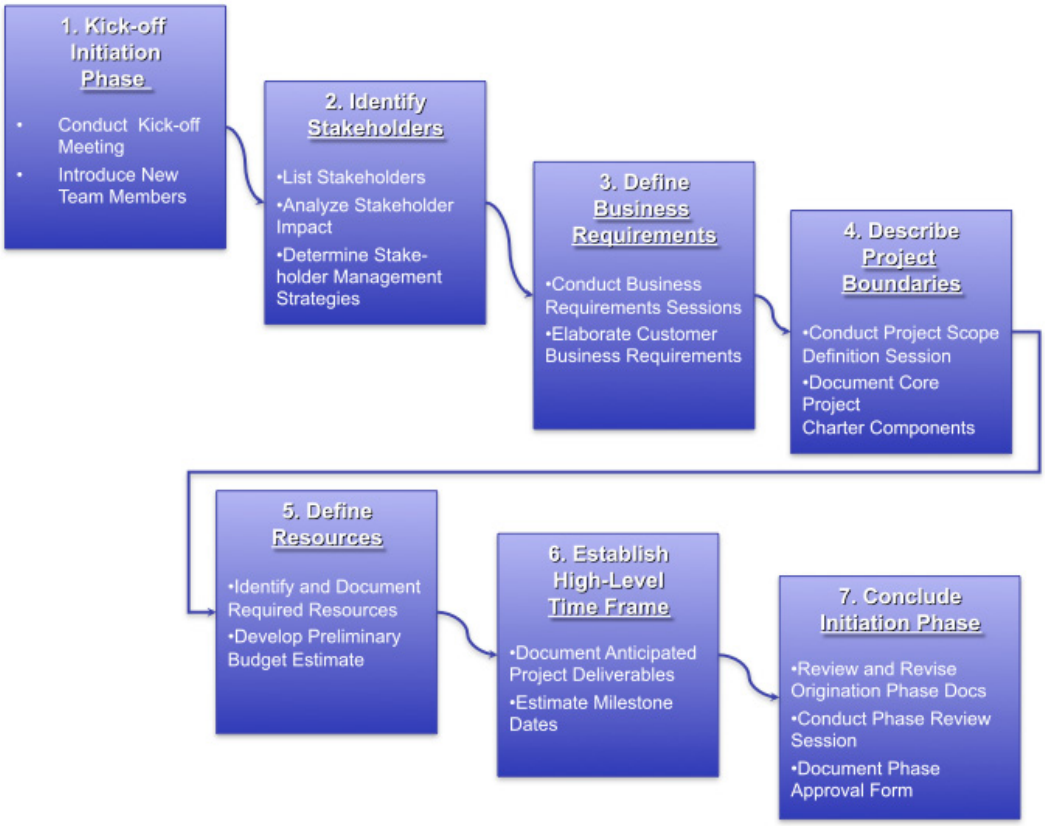
The Business Case and Project Management Framework are the primary deliverables from the Origination Phase that become the inputs to the Initiation Phase. In addition, there are other key inputs to the Initiation Phase. In the DOH environment, other inputs to this phase may include:

- Executive guidance from a presentation of the Business Case;
- Federal requirements for executing, monitoring, or reporting a project (e.g. Earned Value Management Reporting);
- Grant-specific requirements or conditions;
- Industry research, studies or best practices that are specific to a given Department of Health functional or program area;
- Budget or funding changes affecting the project.



III.2.c. Initiation Phase Activities and Deliverables

Like the project management deliverables, the activities conducted during the Initiation Phase are determined, in part by various factors including project size, complexity, visibility, and project schedule. The graphic below outlines “best practice” activities to be performed during the Initiation Phase.



This section of the Field Guide outlines the activities and events that are likely to occur during the Project Initiation Phase. The information below is organized by the tasks depicted in the diagram above. Although the steps are numbered sequentially, this is not intended to indicate that each step must be conducted in this order. The execution of the activities or events described below should be performed in a manner dictated by the available information and resources, as well as the scale and scope of the project.

Furthermore, the duration of these activities will be based primarily on the complexity of the project. Larger and more complex projects may require several separate sessions, varying in length from hours to days, to properly gather, analyze, and document the information that will comprise the key deliverables of this phase. These sessions may be scheduled over a period of weeks or longer for more complex projects. Project Managers should use this table as a guide for the types of events or activities they should conduct in order to properly initiate and scope a project and produce the deliverables (shown in parentheses in the “Output” column below) required to complete the Initiation Phase.

Task #1 Kick-off Initiation Phase

The purpose of the Initiation Phase is to refine the project from its original concept. The purpose of the project is more clearly elaborated from the initial information that originated the effort. The Initiation Phase Kick-off should begin to build the Project Team and set the expectations of the roles and responsibilities to develop deliverables produced in this phase.

Activity/Event

Develop a Project Charter to establish authority for project execution, resource allocation, and the authority level of the Project Manager;

Conduct an Initiation Phase Kick-off meeting to:

- Review project objectives;
- Review project history and previous phase deliverables;
- Discuss Initiation Phase.

Output (Deliverables)

- Meeting documentation;
- Proposed changes to project documents.

(Project Charter)

Task #2 Identify Stakeholders

The purpose of this task is to identify the participants in the project, determine their requirements, and expectations of the project and its outcomes.

Communication planning during this phase is essential to successful kick-off of the project. Early planning enables effective and timely communication with stakeholders at critical stages in the project. The Communication Plan is iterative in nature, and updated throughout the project as more complete and accurate information becomes available.

Activity/Event

- Conduct Stakeholder Analysis Session.*

**Project size, scale or complexity will define the extent to which this analysis is performed. The Project Manager should involve team members or project owners.*

Output (Deliverables)

- Defined stakeholder list;
- Documented communication data: information needed by stakeholder and method of message delivery.

(Communication Plan)

Communication and Stakeholder Management

Early involvement by the key stakeholders – the "customers" or "end users" contributes to lower risk, increased communication, and greater acceptance of a project's products. An analysis of key stakeholders will ensure that individuals/groups who can directly impact the success/failure of a project are queried about their needs. Knowing this, a Project Manager can work to address needs and mitigate concerns, thereby reducing the risk of later rework or project failure.

Development and execution of an initial Communication Plan during the Initiation Phase will establish the project in the minds of key stakeholders early and provide them with accurate (even if it is "draft") information about the project. In the absence of information, people will create their own. This will save time, energy and effort having to dispel rumors or inaccurate information later in the project.

Task #3 Define Business Requirements

Business requirements definition provides focus to customers and other project stakeholders on existing capabilities and potential solutions to address business requirements or problems.

The task begins to define a solution or deliverables by soliciting, researching, and reviewing customers' requirements. The requirements can be categorized, as appropriate, into groups such as "must have" and "nice to have" for further analysis in the Planning Phase. Defining customer requirements can be used to support a variety of project types.

Activity/Event

- Conduct Business Requirements Definition Session.*

**The level of effort for this activity is based on the project scope and complexity of the project, ranging from one meeting of the users to a series of meetings.*

Output (Deliverables)

- Elaborated business requirements;
- List of project objectives and outcomes;
- List of project deliverables and acceptance criteria;
- An idea of what the project will not deliver.

(Project Scope Statement)

Task #4 Describe Project Boundaries

Boundaries are established around the project to help identify and manage proposed changes throughout the project. This task defines the project's "completed state" which includes methods for measuring success from a cost, schedule, technical, and quality standpoint. This task may also include documentation of initial risks identified.

Activity/Event
- Conduct project scope meeting.

Output (Deliverables)
- Defined project scope, including a list of project deliverables, and list of items or activities specifically excluded from the project.

(Project Scope Statement, Risk Management Worksheet)

Task #5 Define Resources

This task will refine the resource needs and types of roles for the project and identify required external resources. This task provides additional information for budgeting and scheduling.

Activity/Event
- Conduct Resource Identification Session.*

**Can be incorporated into the Business Case session.*

Output (Deliverables)
- Estimated resources;
- Estimated cost matrix.

(Project Schedule, Budget Estimate, Resource Acquisition Worksheet)

Task #6 Establish High-Level Project Schedule

The first iteration of the project schedule, a High-Level Project Schedule, provides information on the amount of time the project will take, based on analysis of known factors. This helps reduce guessing on time frames in the Project Planning Phase.

Activity/Event
- Produce high-level milestone schedule.

Output (Deliverables)
- List of anticipated project deliverables;
- Estimated, high-level milestone timeline.

(Project Schedule)

Task #7 Conclude Initiation Phase

Conclusion of the Initiation Phase provides clarity on project status and plans for next phase. This task formalizes project progress through end of phase.

Activity/Event
- Review core project management deliverables (including initial CSSQ elements);
- Assemble Initial Project Plan comprised of the CSSQ elements;.
- Conduct Phase Review Session.

Output (Deliverables)
- Revised project management documents from previous phase;
- Phase Completion form completed and signed.

(*Project Plan, Phase Completion Form*)

Note: The Project Manager should consider sending a memo to key stakeholders requesting they sign off on the project scope and other approvals. The act of signing off on a document is a powerful way to reinforce the understanding and agreements made by the stakeholders.

The table below outlines the key phase deliverables and their primary purpose:

DELIVERABLE	PURPOSE	S	M	L
Project Charter	Provides authority to establish the project and secures commitment for the resources required to complete the initiation of the project. The Project Charter specifically names the Project Manager and establishes the level of authority of the Project Manager during the project. The target audience for this deliverable is the Project Sponsor and Project Director. He/she should indicate acceptance of the Project Charter by signing the document.	✔	✔	✔
Project Scope Statement	Documents and describes the project's deliverables as well as those that are not part of the effort. The target audience for this deliverable is the Project Team, Project Sponsor, Project Director and appropriate stakeholders (e.g., customers).	✔	✔	✔
Project Schedule	During the Initiation Phase of the project, the Project Schedule depicts a high level representation of work that will be accomplished during a project. This information can be entered into a project scheduling tool like MS Project, MS Excel or MS Word. The high level activities should be those required to complete the deliverables described in the Project Scope Statement. This schedule is often included in the Project Status Reports. These activities will be further detailed during the Project Planning phase. The target audience for this deliverable is the Project Team, Project Sponsor, Project Director, and appropriate stakeholders (e.g. customers).	✔	✔	✔
Project Budget	A preliminary budget that outlines the known and estimated costs of the project from initiation to project completion should be completed during the Initiation Phase. Typically this does not include costs beyond the completion of the project, but may identify any maintenance or transition costs associated with the project that would be incurred after the Closeout Phase. The budget will be further developed during the project Planning Phase. The target audience is the Project Sponsor, Project Director, and appropriate financial personnel in the organization.		✔	✔
Risk Management Worksheet	Briefly identifies known risks to the project at this early phase. Further analysis of the project is typically performed in the Planning Phase, including "quantification" of project risks. The target audience for this deliverable is the Project Sponsor, Project Director, Project Manager, and Project Team.		✔	✔
Communication Plan	Defines the type of project information that will be disseminated and how often, including the format and media to be used to reach the desired audiences. An analysis of project stakeholders is performed during Communication Plan development. Stakeholder analysis determines why a person/role is considered a project stakeholder and the communication requirements of the stakeholder. A more detailed Communication Plan outlining the messages and frequency of delivery is commonly developed in the Planning Phase. The target audience for this deliverable is the Project Sponsor, Project Director, Project Manager, Project Team, and other stakeholders where applicable.		✔	✔

DELIVERABLE	PURPOSE	S	M	L
Resource Acquisition Worksheet	This document outlines the anticipated resource requirements including human and material resources for the project. The Project Manager in cooperation with the Project Director and other team members will develop suggested resources. The target audience for this deliverable is the Project Sponsor and Project Director.			✔
Project Status Reports	Provides a brief snapshot of the project's progress, accomplishments, next steps, and any outstanding issues or actions. In later phases, the report will log any accepted changes to the project scope. The target audience for this deliverable is the Project Sponsor, Project Director, and designated key stakeholders identified in the Communications Plan. Project Status Reports are project deliverables. The schedule for status reporting is defined in the Communications Plan and is not tied to a specific phase or task.	✔	✔	✔
Project Plan	During the Initiation Phase of a project the Project Plan is comprised of the Project Charter and initial versions of the Project Scope Statement, Project Schedule, Project Budget, Risk Management Worksheet, and Communication Plan. The Project Plan is a "living" document which will be updated as the project progresses. Additional project management deliverables may be added depending on the complexity of the project. The Project Plan is constantly updated throughout the project with progressively elaborated project management deliverables.		✔	✔
Phase Completion Form	Documents the formal completion of the project phase. The target audience is the Project Sponsor, Project Director, and Project Manager.		✔	✔

The "To Do" List

A project manager negotiates, organizes, mentors, mediates, educates, learns, resolves conflicts, communicates, communicates, communicates, makes decisions, generates reports, creates and follows schedules, plans resources, estimates time and activities, follows a budget, deals with issues, develops teams, ensures quality control, keeps track of scope, delivers deliverables, keeps the customer happy, documents, documents, documents…it is quite a list.

There is far more to being a project manager than having great project management skills. Be sure to add "soft skills" training courses to your "to do" list!

Contact the PMO for more information on "soft skills" training.

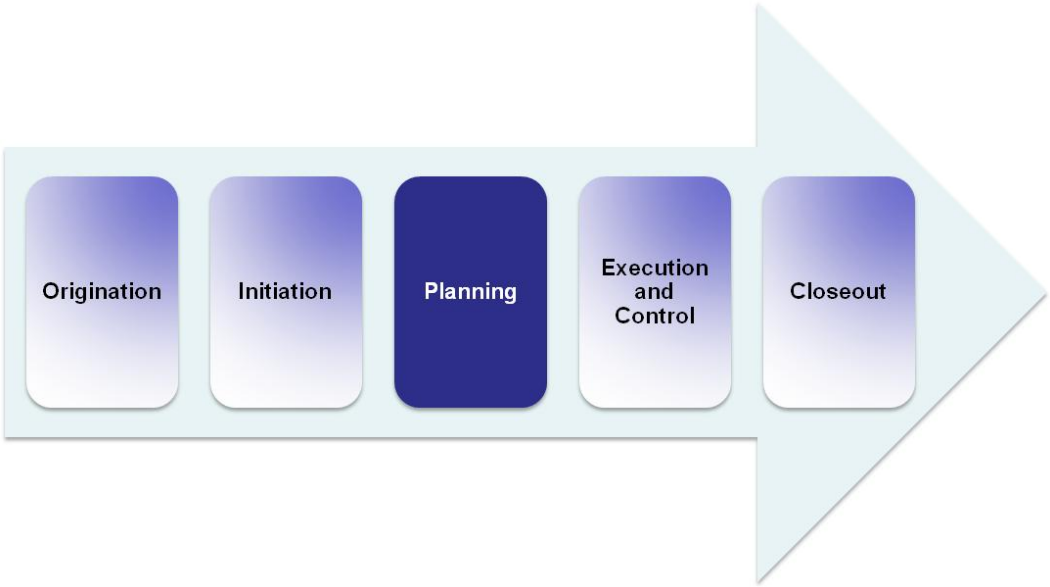
III.2.d. Roles and Responsibilities During Initiation

The table below describes the key roles and responsibilities during the Initiation Phase in addition to those described in Section II.3. While each role is important, their level of involvement varies from phase to phase. These roles and responsibilities are clarified in the Communication Plan that is reflective of the specific needs of each project.

ROLE	PARTICIPATES IN…	RESPONSIBILITIES SPECIFIC TO INITIATION
Project Sponsor	3.Define Business Requirements 7.Conclude Phase	• Educate other executives on the benefits of the project. • Support timely resolution of escalated inter-agency and inter-business unit issues.
Project Director	3.Define Business Requirements 4.Describe Project Boundaries 5.Define Resources 7.Conclude Phase	• Ensure that policy, procedures, and business process changes are aligned with DOH Administrative Policy and Procedures Manual (APPM). • Participate in definition of key project management deliverables. • Participate in issue resolution process.
Project Manager	All Tasks	• Develop Project Schedule and necessary project management documentation. • Report progress to Executive(s). • Coordinate Subject Matter Experts. • Act as liaison to Advisory Group. • Facilitate communication to organization about initiation of the project.
Business Project Lead	All Tasks	• Assist in developing initial project management deliverables by representing “business” perspective.
Business Analyst(s)	All Tasks	• Assist the Project Manager in developing initial project management deliverables through facilitation sessions with Business Project Lead and Technical Lead.
Technical Lead	All Tasks	• Identify proposed Information Technology (IT) solution(s). • Determine requirements for technical team representation and participation. • Identify operational impacts. • Assist in developing initial project management deliverables by representing “technical” perspective.
Finance Representative	5.Define Resources	• Support development of initial cost and resource estimate(s).

ROLE	PARTICIPATES IN…	RESPONSIBILITIES SPECIFIC TO INITIATION
Customer or End User Representative(s)	3.Define Business Requirements 4.Describe Project Boundaries	• Assist in setting project goals and objectives. • Participate in requirements definition activities.
Vendor Project Manager	As contracted: 3.Define Business Requirements 5.Define Resources 6.Establish High-level Timeframe	• Responsibilities as assigned.
Advisory Group or Steering Committee	Tasks 1 thru 6, as needed	• Support communication to organization about initiation of the project.

III.3. Planning – "Refining the Details"



III.3.a. The Planning Phase

The purpose of Project Planning is to define the exact parameters of the project. Where Project Initiation focused on establishing the basic dimensions of the project, this phase is about refining the project purpose and deliverables into a clear set of documents that will support Project Execution.

Cost (i.e. budget) scope, schedule, and quality are the focus early in this phase. These deliverables form the project baseline from which project changes can be managed though the Change Control Process.

The Planning Phase essentially "ramps-up" a project, involving more staff and other resources. During this phase, any remaining issues or questions that may undermine the goals of the project or threaten its success are resolved. The output of this phase is a project baseline, which establishes the cost and schedule parameters. The project baseline can only be modified through formal changes made via the Change Control Process.

The key difference between Project Initiation and Project Planning is the level of knowledge and understanding about the deliverables and the resources required to execute the project. In Project Initiation you establish the basic parameters at a high level. Time may have elapsed since Project Initiation was completed. Project Planning, however, provides the opportunity to complete a more detailed exploration of how the project is going to accomplish what is stated in the Project Scope. As new team members bring their expertise to bear on the project, more detailed information will become available.

As the Project Team grows, more information will come to light about the Cost, Scope, Schedule, and Quality (referred to as "CSSQ") parameters of the project. The CSSQ documents should be updated accordingly.

In the Project Initiation phase, risks that might have an impact on the project were identified in the Risk Management Worksheet. Now, the Project Manager and the Project Team must assess these risks and any new risks. Risk assessment includes anticipating and evaluating risks based on what is known about the specific project and its environment, as well as the Project Manager's and team members' experiences on similar projects. Risks have measurable impact, and each impact must be defined and documented during Risk Assessment. Risks should also be evaluated on the likelihood of occurrence. There are four ways to approach project risks – **mitigate, avoid, transfer, and accept.** As you make an assessment, you may know already which ones require which approach.

Example Risk: Backup data storage may not be ready in time for the kickoff.

Response	Definition	Example
Mitigate	Take actions to lessen the probability and/or impact of a risk event.	Purchase a low-end solution until the full-scale backup is ready.
Avoid	Take actions to ensure the circumstances that precipitate the risk event do not occur.	Delay the kickoff so that the backup is not needed.
Transfer	Take actions to reassign the ownership of the risk event to an external entity.	Require the prime vendor to provide backup data storage.
Accept	Take no action on the risk event.	Do nothing to mitigate, avoid or transfer the risk event.

In Project Planning, a number of tools will be developed by the Project Team and included in the Project Plan assembled in this phase. These tools directly support Project Execution and Control with processes for change control, acceptance management, issue management, and other key aspects of project management across organizations. Schedule and budget "baselines" are established at this point. A baseline is an initial measurement that serves as a basis for comparison in later phases of the project. The baseline allows Project Managers to quantifiably assess and measure the project's progress at any given point in time based on the project schedule and budget established during the Planning Phase.

New documents created in Project Planning include:

- *Change Control;*
- *Acceptance Management;*
- *Issue Management;*
- Organizational Change Management;
- Time and Cost Baseline;
- Team Development Plan;
- Transition Plan.

The clarity that is achieved through documenting detailed plans in this phase will pay dividends in Project Execution and Control. We will see in the Execution and Control Phase how these tools are employed. Each tool is used to steer a critical aspect of the project that must be managed by the Project Manager and the team.

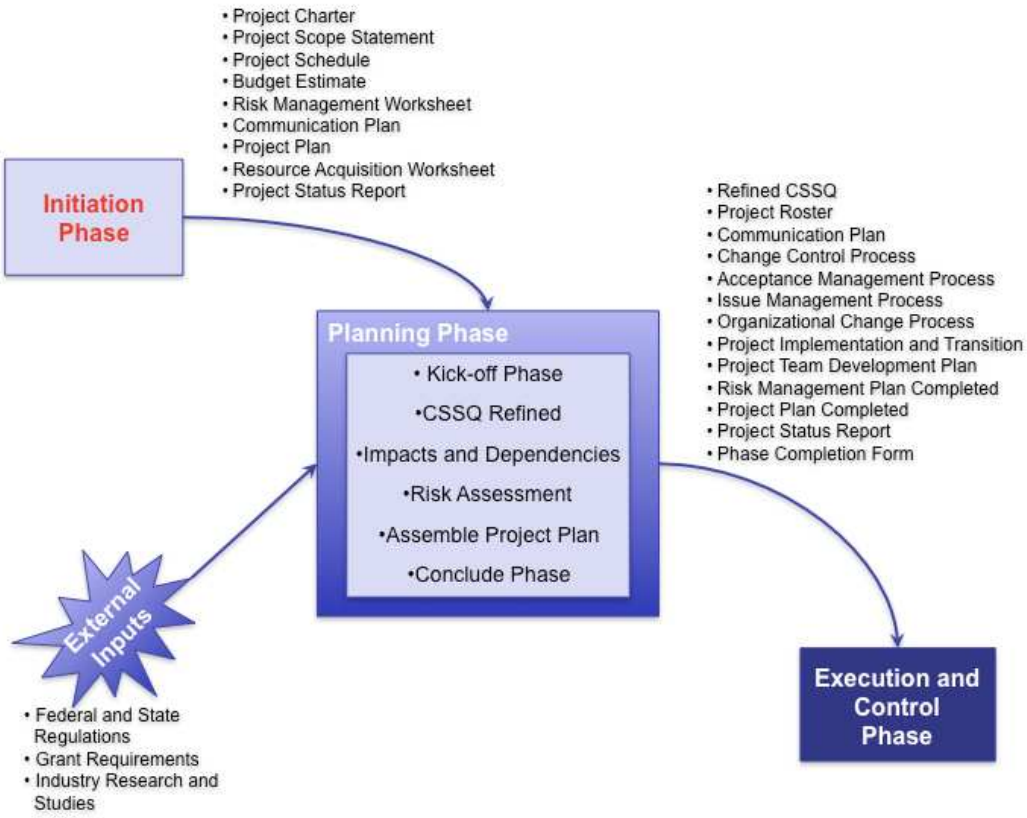
III.3.b. Inputs to the Planning Phase

The Initial Project Plan is the primary deliverable from the Initiation Phase that becomes the inputs to the Planning Phase. Specifically, the Planning Phase is triggered by the successful completion of the Initiation Phase and "acceptance" of that phase deliverables by appropriate stakeholders (documented on the Phase Completion Form). The Planning Phase begins with a high-level project schedule, a preliminary budget estimate, a resource acquisition worksheet, a risk management worksheet, and a communication plan.

The Project Manager should begin gathering information supporting the primary deliverables of the project. For example, if the project will result in new software, the Project Manager may want to understand all of the deliverables that are associated with an application. These may include requirements documentation, coding, user specifications, quality standards, and information about similar applications (to aid in estimating), etc. This information will help the team refine their knowledge of the size and scale of the final deliverables.

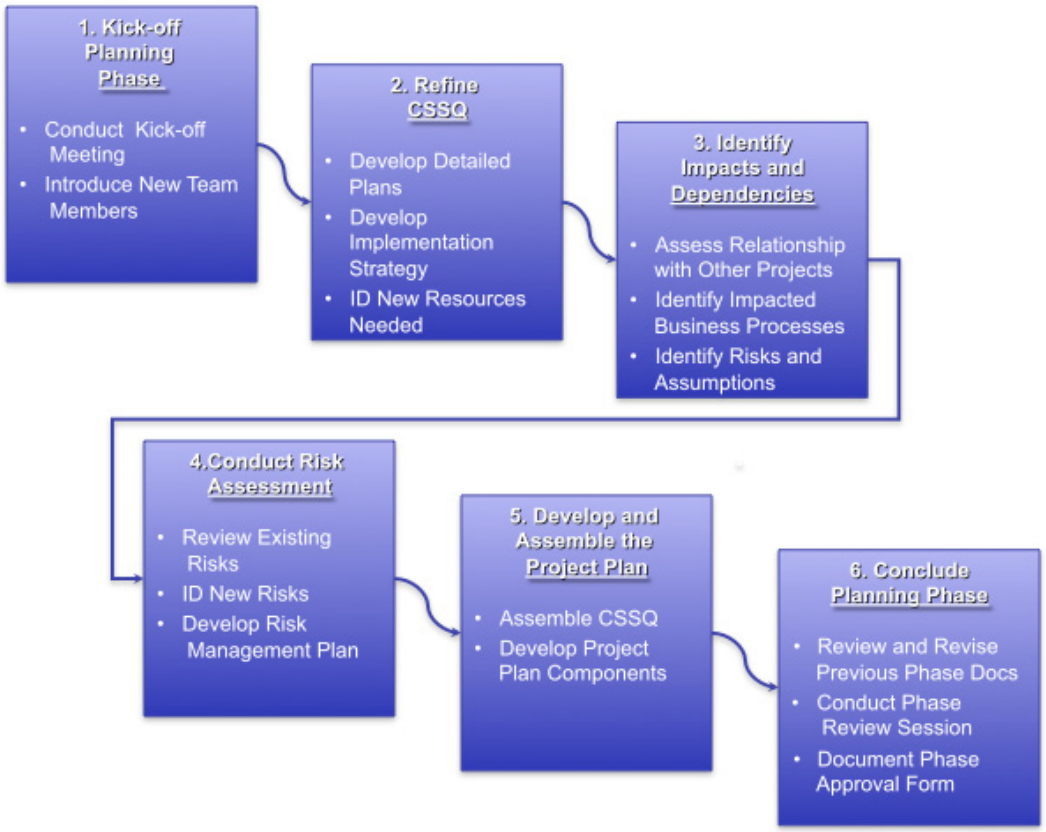
In addition, there are other key inputs to the Planning Phase. In the DOH environment, other inputs to this phase may include:

- Executive guidance from the Project Sponsor;
- Federal requirements for executing, monitoring, or reporting a project;
- Grant-specific requirements or conditions;
- Industry research, studies or best practices that are specific to a given Department of Health functional or program area;
- Budget or funding changes affecting the project.



III.3.c.Planning Phase Activities and Deliverables

The activities conducted during the Planning Phase are determined, in part by various factors including project size, complexity, visibility, and schedule. The graphic below outlines “best practice” activities to be performed during the Planning Phase. Although the steps are numbered sequentially, this is not intended to indicate that each step must be conducted in this order. The execution of the activities or events shown in the graphic below should be performed in a manner dictated by the available information and resources, as well as the scale and scope of the project.



Task #1 Kick-off Planning Phase

The purpose of the Planning Phase Kick-off is to review the project charter, affirm the project vision and objectives, acclimate and inspire the Project Team, and answer open questions. The Planning Phase Kick-off should make clear the role of the Project Manager, while helping to define the roles of the Project Team.

Activity/Event

Conduct a Planning Phase Kick-off meeting to:

- Review project charter;
- Review project history and previous phase deliverables;
- Discuss Planning Phase.

Output (Deliverables)

- Meeting documentation;
- Proposed changes to project documents;
- Revised list of project participants.

(*Project Roster*)

Task #2 Refine CSSQ

Refining Scope, Schedule, Quality, and Cost will help the team define what will be produced and what will not be produced. This task also results in overall length of the project as well as the implementation strategy. This task defines standards used to measure acceptance of major deliverables and establishes a baseline cost for the project based on the deliverables, staffing, and implementation approach.

Activity/Event

Scope – Complete the detailed scope of the project.

Schedule – Define ALL activities, durations, dependencies, resources, and milestones, including quality assurance activities. ***Save a baseline.***

Quality – Articulate specific quality assurance activities. Review completeness and correctness of plans; ensure requirements traceability; help define standards; prepare for testing and evaluation.

Cost – Complete the detailed budget including all contractor costs, hardware, software, as well as state staff time. ***Save a baseline.***

Output (Deliverables)

Scope - Detailed project scope statement.

Schedule - Detailed project schedule in MS Project or another scheduling tool.

Quality - Quality management plan.

Cost - Detailed project budget.

(Project Scope Statement, Project Schedule, Quality Management Plan, Project Budget)

Task #3 Identify Impacts and Dependencies

The purpose of identifying the impacts and dependencies on the project is to promote an understanding of the project within the larger context of the organization. This task will identify areas of overlap between the project and other projects/activities in the organization, highlight competition for resources, and identify possible impacts on cost, schedule or technical aspects of the project. An outcome of this task is more accurate funding and schedule estimates. This task will help identify risks to enable mitigation strategies and identify internal and external constraints to draw a more accurate picture of project feasibility.

Activity/Event

Conduct Project Context Session to:

- Assess impact of project on other projects and the organization as a whole;
- Determine project dependencies;
- Assess and document risks, constraints, and assumptions.

Output (Deliverables)

- List of project dependencies and list of assumptions;
- Risk/Constraints matrix.

(Risk Management Worksheet)

Task #4 Conduct Risk Assessment

A risk assessment is conducted to identify areas where the project can get off track. The risk assessment provides an opportunity to develop action/mitigation strategies for each risk.

Activity/Event

- Evaluate existing risks;
- Identify new risks that have emerged since the plan was last reviewed;
- Define response actions for high priority risks.

Output (Deliverables)

- Communication to the team, Project Sponsors, and stakeholders about the risks.

(Risk Management Worksheet, Communication Plan)

Task #5 Develop and Assemble Project Plan

The Project Plan creates the structure for the Execution and Control Phase. This task ensures management is participating in definition and review of the Project Plan.

Activity/Event

- Develop clear criteria for acceptance;
- Create process to manage changes;
- Define issue escalation policy;
- Conduct organizational impact assessment;
- Define transition plan;
- Validate change control process;
- Establish project baseline.

Output (Deliverables)

- Assemble Project Plan to include any new or updated project management deliverables.

(Project Plan, Change Control Process)

Task #6 Conclude Planning Phase

Conclusion of the Planning Phase ensures a timely review and approval cycle.

Activity/Event

- Obtain deliverable sign off;
- Review and revise previous phase documents;
- Conduct Phase Review Session - Lessons Learned may be collected at the end of this Phase to be used during Project Closeout;
- Document Phase Approval Form;
- File copy of plan in the project repository.

Output (Deliverables)

- Project ready for execution and control.

(Phase Completion Form)

Note: The Project Manager should consider sending a memo to key stakeholders requesting they sign off on the project scope and other approvals. The act of signing off on a document is a powerful way to reinforce the understanding and agreements made by the stakeholders.

It is important to note that the Planning Phase and the Execution and Control Phase often overlap. The team may begin developing project deliverables while planning activities are still ongoing. This is normal on most projects, and should be managed carefully. As implementation begins, the project management and team should be vigilant to ensure that project scope changes do not occur as a result of the remaining planning tasks.

The table below outlines the deliverables developed in the Planning Phase that form the management controls for execution. These controls are the core processes that the Project Manager and team will perform throughout the project's Execution and Control Phase. Effective controls limit project risk, facilitate communication, and improve the chances for project success. The size and scope of the project will determine which controls are required and the complexity of the related processes.

DELIVERABLE	PURPOSE	S	M	L
Project Scope Statement	The Project Scope Statement is refined during the Planning Phase. This refined project scope can also include "line of business" documents like schematics and blueprints, program materials, requirements definition, and design documents. "Line of Business" refers to the specific functional area(s) addressed by a project (e.g., technology, awareness program, organizational change, and process improvement).	✔	✔	✔
Project Schedule	More detailed activities and dates are added to the high-level Project Schedule. Activities are itemized with durations and dependencies. Milestones are broken down into greater detail. Project Managers may employ the "8/80 hour rule". Using this rule, if an activity is less than 8 hours, the activity is combined with another. If an activity is more than 80 hours, it is broken down into shorter duration activities if possible. The Project Schedule should include the deliverables, as	✔	✔	✔

DELIVERABLE	PURPOSE	S	M	L
	well as time for meetings and project management. The initial Project Schedule is saved as a baseline to use to compare against the current schedule as the project progresses.			
Project Budget	More costs are defined during this phase. Consider the following aspects in more detail – schedule, staffing, resources (includes outsourcing), materials, and preliminary budget estimate. Basic research about project costs has been conducted, with more accurate numbers being used in the budget. Remember to justify your numbers using the new data. Articulate clearly why the numbers have changed The initial project budget is saved to use to compare against the current budget as the project progresses.		✔	✔
Risk Management Worksheet	Risk assessment includes anticipating and evaluating risks based on what you know about the project and its environment. Risks have measurable impact. Each impact must be defined and documented during the Risk Assessment. The Risk Management Worksheet includes response actions for high priority risks including a responsible party for taking the action.		✔	✔
Communications Management Plan	Provides a process to review and refine the Communication Plan, to ensure its viability throughout the project. The Communications Process should consider the most appropriate means of communication. For instance, are people reading their e-mail? If the answer is no, the communications management process should consider alternative means.		✔	✔
Project Roster	The Project Roster contains the name, organization, and contact information of the members of the Project Team.		✔	✔
Quality Management Plan	Specific quality assurance activities are defined and documented. These activities might include collection and verification of documentation, relevant standards, audits, and testing procedures.		✔	✔
Change Control Process	Change is ANY adjustment to ANY aspect of the “baselined” Project Plan or to ANY already approved deliverables. A plan in place will minimize the negative effects of change on the project outcomes. The Project Manager should review and gain agreement on this process with key stakeholders such as the lead Customer/Program Area Representative, Project Director, or Business/Technical Lead(s).		✔	✔
Acceptance Management Process	Provides a process for the acceptance of **project** deliverables (e.g., software, health program materials). This process is not necessary for project **management** deliverables, such as those described in the table above. The key project deliverables must meet pre-determined acceptance criteria defined during the Planning Phase.	✔	✔	✔
Organizational Change Management Process	Goal of this plan is to manage the impact the project outcomes have on the organization. Addresses impact on the organization’s: • Staff (e.g., changes in duties, reductions or increases in staff, changes to organizational structures); • Processes (e.g., streamlining workflows, automation); • Culture (e.g., establishing norms for performance, affecting leadership styles, changing decision-making criteria).			✔

DELIVERABLE	PURPOSE	S	M	L
Issue Management and Escalation Process	Provides a process to capture, report, escalate, track, and resolve problems that occur as a project progresses. Issues can become major problems if not addressed or if they are "lost". Often issues are tracked and managed in Project Status Reports.	✔	✔	✔
Project Team Development Plan	Provides a process to ensure that Project Team members have the appropriate levels of skill and knowledge to perform their assigned project tasks and activities.			✔
Project Implementation and Transition Plan	The plan to implement the product. Ensures a smooth and satisfactory "hand off". Plan should include: • Space, furniture and equipment needs; • Customer testing and acceptance; • Customer training and orientation; • Rollout strategy (e.g., by location, function, or all-at-once); • Appropriate internal controls identified and documented if applicable; • Transition to on-going support.			✔
Project Status Reports	Provide a brief snapshot of the project's progress, accomplishments, next steps, and any outstanding issues or actions. In later phases, the report will log any accepted changes to the project scope. The target audience for this deliverable is the Project Sponsor, Project Director, and designated key stakeholders identified in the Communications Plan. Project Status Reports are project deliverables. The schedule for status reporting is defined in the Communications Plan and is not tied to a specific phase or task.	✔	✔	✔
Project Plan	The Project Plan is a compilation of the following deliverables, depending on project complexity: Project Charter; Project Roster; Project Scope Statement; Project Schedule; Project Budget; Quality Management Plan; Risk Management Plan; Change Control Process; Acceptance Management Process; Issue Management and Escalation Process; Communications Management Process; Organizational Change Management Process; Project Team Development Plan; and the Project Implementation and Transition Plan. The Project Plan is updated as the products and processes listed above are refined throughout the Planning Phase.		✔	✔
Phase Completion Form	Documents the formal completion of the project phase. The target audience is the Project Sponsor, Project Director, and Project Manager.		✔	✔

Project Management vs Product Management Lifecycles

Project Managers need to understand the relationship between the project management lifecycle and the lifecycle of the product the project is commissioned to create. The Project Manager should maintain equal emphasis on both sides.

Customers and stakeholders will naturally focus on the product, not on the project management phases. The Project Manager should include all information in developing estimates and managing the project.

III.3.d.Roles and Responsibilities During Planning

The table below describes the key roles and responsibilities during the Planning Phase in addition to those described in Section II.3. While each role is important, their level of involvement varies from phase to phase.

ROLE	PARTICIPATES IN…	RESPONSIBILITIES SPECIFIC TO PLANNING
Project Sponsor	1. Kick-off Planning Phase 5. Develop and Assemble Project Plan	• Review key project planning documents (CSSQ). • Support timely resolution of escalated inter-agency and inter-business unit issues.
Project Director	1. Kick-off Planning Phase 2. Refine CSSQ 4. Conduct Risk Assessment 6. Conclude Planning Phase	• Ensure that policy, procedures, and business process changes are aligned with DOH APPM. • Participate in development or refinement of key project management deliverables, particularly CSSQ documents and risk assessment.
Project Manager	All Tasks	• Develop detailed project management and CSSQ documentation. • Coordinates Subject Matter Experts. • Perform risk analysis. • Orient and integrate new team members. • Report progress to Executive(s).
Business Project Lead	1. Kick-off Planning Phase 2. Refine CSSQ 3. Identify Impacts and Dependencies 4. Conduct Risk Assessment	• Assist in defining or refining CSSQ documents. • Identify and solicit support from appropriate Subject Matter Experts. • Foster communication between project and business area or Performing Organization. • Assist in articulating the impacts and dependencies, risks, and associated action plans.
Business Analyst(s)	1. Kick-off Planning Phase 2. Refine CSSQ 3. Identify Impacts and Dependencies 4. Conduct Risk Assessment	• Facilitate sessions to define and refine CSSQ documents. • Solicit information from appropriate Subject Matter Experts. • Foster communication between project and business area and technical team. • Assist in collection of the impacts and dependencies, risks, and help develop associated action plans.
Technical Lead	1. Kick-off Planning Phase	• Ensure project compliance with organizational technical and security standards.

ROLE	PARTICIPATES IN…	RESPONSIBILITIES SPECIFIC TO PLANNING
	2. Refine CSSQ 3. Identify Impacts and Dependencies 4. Conduct Risk Assessment	• Identify proposed solution(s). • Determine requirements for technical team representation and participation. • Identify operational impacts. • Foster communication between project and technical organization.
Finance Representative	1. Kick-off Planning Phase 2. Refine CSSQ	• Assist in defining or refining the cost elements of CSSQ documents. • Assist in processing changes to the project cost and budget.
Customer or End User Representative(s)	2. Refine CSSQ (as needed)	• Contributes to defining or refining CSSQ documents. • Participates in project delivery and implementation.
Vendor Project Manager	As contracted: 2. Refine CSSQ 3. Identify Impacts and Dependencies 4. Conduct Risk Assessment	• Responsibilities as contracted.
Advisory Group or Steering Committee	As needed	• Participate in planning meetings, as appropriate. • Review and provide feedback on project management deliverables. • Provide project guidance and assist in issue resolution.

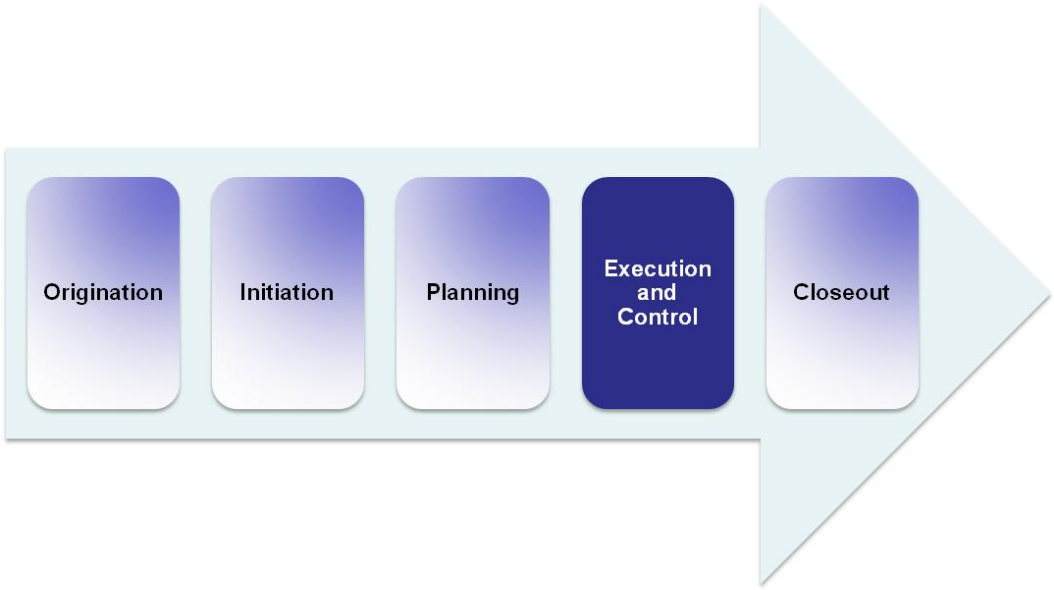
Implementation and Transition

Your project deliverables meet the requirements defined by the users, you delivered on time and within budget. Your project is considered a success but the final product has not been fully embraced by your customers.

*A project has a defined end, but the products delivered do not. Have you fully considered the **implementation and transition** of your projects products?*

***Implementation and transition** includes preparing your customers for the changes your project may initiate, training of your customers and ongoing maintenance and support.*

III.4. Execution and Control – "Making it Happen"



III.4.a. The Execution and Control Phase

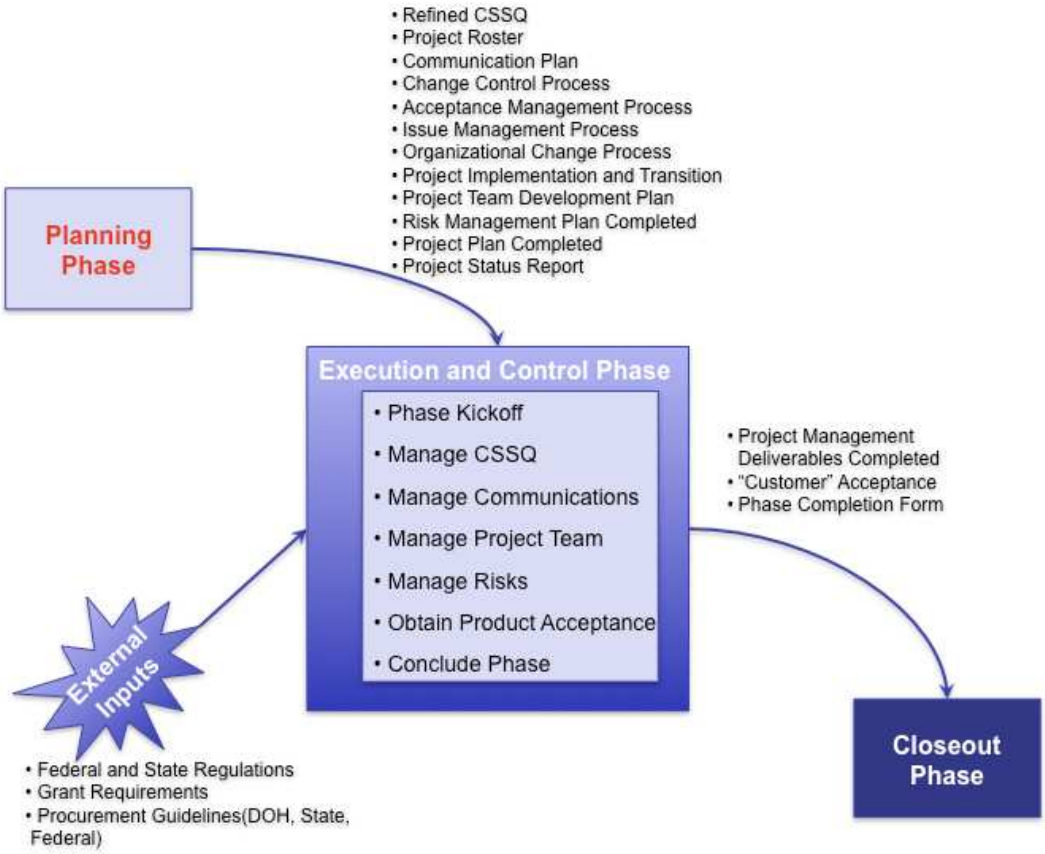
Execution and Control Phase is intense and demanding on Project Managers and team members. At this point in the project, all the pieces begin to move forward together. The effective Project Manager is able to rely on the planning that they completed during the prior phases.

*The focus of the Execution and Control Phase is on **managing** the project and **developing** the intended "product" of the effort.*

The purpose of Project Execution and Control is to develop the product or service that the project was undertaken to deliver. Execution and Control can be the longest phase of the project, where most resources are applied and expended. This phase utilizes all the plans, schedules, procedures, and templates that were prepared in prior phases. Anticipated risks, as well as unanticipated events or circumstances will inevitably arise during execution. The Project Manager and Project Team will be challenged to implement the mitigation plans in their Risk Management Plan and to deal with these risks and issues while minimizing impact on the project's CSSQ.

III.4.b. Inputs to the Execution and Control Phase

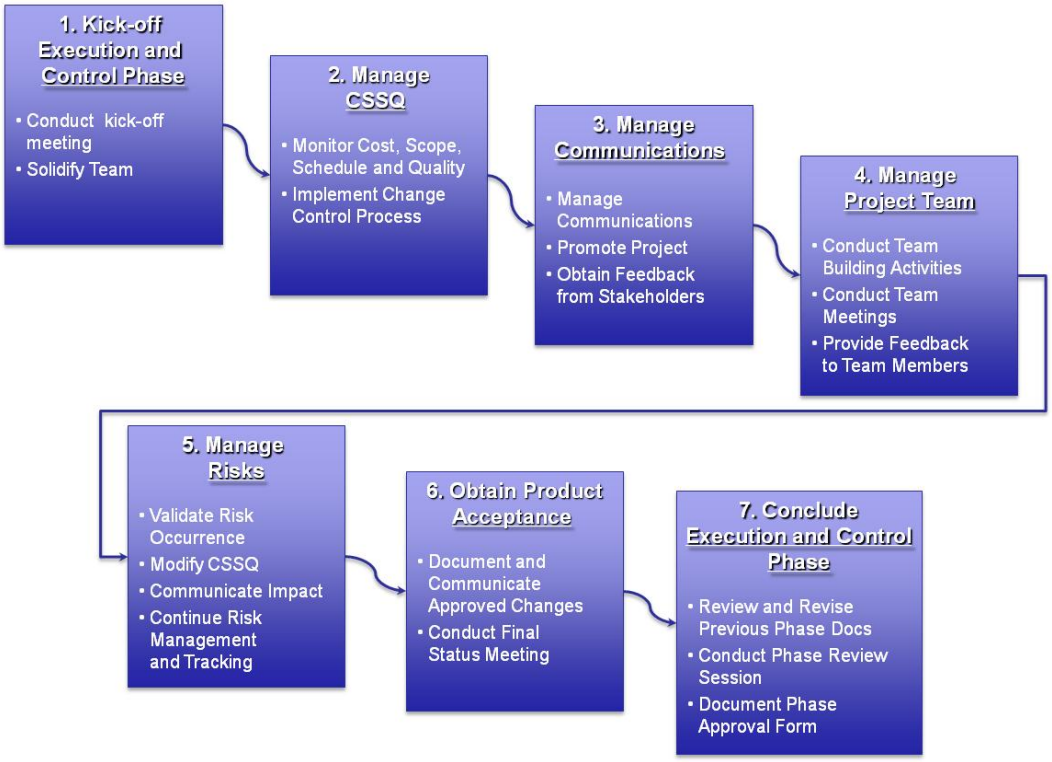
As project-specific tasks are performed during Project Execution and Control, CSSQ will need to be managed according to the plans and processes established during the Project Planning Phase. CSSQ is not static – although the formal Project Planning phase is complete and the plan has been approved, some components of CSSQ that are inputs to the Execution and Control Phase will continue to evolve as a result of the performance of project tasks. At any point in time, the Project Manager should be able to report to the Project Sponsor the details of changes to the CSSQ "baseline" established at the conclusion of the Planning Phase.



III.4.c. Execution and Control Phase Activities and Deliverables

Project Execution and Control differs from all other phases. During the other phases, project management processes and tasks have a fairly distinct start and finish. During Execution and Control, all project management processes and tasks occur concurrently and iteratively, between Phase Kick-off and Product Acceptance. This phase concludes with the completion of the ultimate phase deliverable(s). In other words, the product(s) of the project is fully developed, tested, accepted, implemented, and transitioned to the Performing Organization. The key to a Project Manager's success in this phase is to balance the competing pressures of developing work product and managing the project's execution.

Every step in this phase calls for both "hard" project management skills, as well as "softer" people management and communication skills. Monitoring the project schedule, maintaining the project scope, delivering the right resources at the right time, as well as others are the responsibility of the Project Manager during the Execution and Control Phase. Further, the Project Manager must be sure the project's stakeholders – Project Sponsor, team members, and customers – are kept in the loop, aware of the progress, challenges, and possible changes to the project. The activities associated with these skills are identified later in this section.



Although the steps depicted in the graphic are numbered sequentially, this is not intended to indicate that each step must be conducted in this order. The execution of the activities or events shown in the graphic below should be performed in a manner dictated by the available information and resources, as well as the scale and scope of the project.

Task #1 Kick-off Execution and Control Phase

The purpose of the Execution and Control Phase Kick-off is to set the stage for the effective development and completion of the product(s) of the project. New team members are added during this phase. A key element of the kick-off is to firmly establish the team(s) responsible for the project, including assigning tasks and confirming their understanding of the project's scope, schedule, quality, and budget.

Activity/Event Conduct an Execution and Control Phase Kick-off meeting to:

- Review project charter, history and previous phase deliverables, focusing on the Project Plan and core project processes such as issue escalation and change management (see the deliverable table in Section III.3 of the Field Guide);
- Discuss Execution and Control Phase activities.

Output (Deliverables)

- Meeting documentation;
- Proposed changes to project documents.

(*Project Roster*)

Task #2 Manage CSSQ

Delivering a project according to the "baseline" documents established in the Planning Phase will significantly increase the likelihood of delivering what the "customer" wants or needs. However, few projects, particularly larger, more complex efforts, are rarely delivered exactly as planned. As a result, a large part of the Project Manager's time will be spent monitoring and managing the project's CSSQ components. Implementing the processes, such as Issue Escalation and Change Control during the Execution and Control Phase provide the mechanism for the Project Manager to ensure the project's product is effectively completed.

Activity/Event

Scope – One of the Project Manager's functions is to ensure that the project produces all the work defined in the Project Scope Statement. It is the Project Manager's responsibility to make sure ONLY the work documented in the Project Scope Statement is completed.

- Verify project products are developed within the project scope and according to the requirements defined in previous phases;
- Introduce any changes to the Change Control process.

- *See Section 4.2, pp. 209-224 in the NY State Project Management Guidebook for more details on each element of CSSQ.*
- ***Procurement Management**, while not addressed in this Field Guide, may be a key part of executing a project. This area requires special skills not always familiar to the PM. Seek assistance from contracting and procurement experts in the DOH. For more information see the Government Extension of the PMBOK Guide (Chapter 12 – Project Procurement Management).*

Schedule – Small slippages on individual tasks may combine to create significant issues with other, dependent tasks. Regularly solicit input from task leads or project team members to determine:

- Status of their tasks;
- Level of "completeness" of their deliverables;
- Solicit information regarding the status of scheduled tasks from members of project team and reconcile any differences;
- Compare status and completeness against the baseline schedule established during the Planning Phase.

Quality – Quality is often hard to define and even harder to manage. The Project Manager must be cognizant of the level of quality of the final output. Quality is the project parameter that continues to be important to the Customer. The Project Team is the front line on quality and should:

- Maintain quality checklists;
- Conduct peer reviews of interim and final project deliverables;
- Perform project evaluations or assessments (internal or external) to confirm status and quality of the project's products.

Budget - The Project Manager must know the extent of their authority to make

budget decisions and exercise that authority appropriately. Project managers will have difficulty justifying requests for increases on projects if they have not accounted for current expenditures.

- Compare current expenditures against the baseline budget established during the Planning Phase.

Change Control – The Project Manager is responsible for the change control process outlined and approved in the Planning Phase.

- Convene a "Change Control" group comprised of project team members, executives, and customers;
- Obtain approvals (or rejections) on proposed changes to CSSQ components; communicate results to project stakeholders.

Change control will differ based on the type of project, and is often defined in the contract with the vendor. The PM needs to review the contract while developing a Change Control process.

Output (Deliverables)

- Change Control Log;
- Updated Project Scope, Schedule, or Budget, as approved.

(Change Control Requests, Change Control Log, Updated and Completed Project Management Deliverables)

Document Unanticipated Schedule Changes

Unanticipated schedule changes happen regardless of your tireless planning. Health emergencies may require project team members to be reassigned halting your project for a period. Or a budget crisis results in loss of funding for your project and you have to stop work.

The unexpected can be expected, and should be documented.

*Use your project schedule in conjunction with other documentation to enter "**Unanticipated Milestone**" with the date that work stopped as the **Start** date – and the date that work began again as the **Stop** date.*

If you need help at any time, be sure to contact the PMO!

Task #3 Manage Communications

Communications are challenging and can be very intense during Execution and Control. Some say that if the Project Manager isn't tired of talking at the end of the day, he or she hasn't

communicated enough. The Project Manager is expected to maintain communications with key stakeholders, most notably – executives, customers, team members, and Project Managers of other projects with a relationship to their project. The execution of the Communication Plan, developed during the Planning Phase, is the purpose of this task. The Project Managers should seek feedback from communication audiences to confirm the message has been received and the intent understood. Be prepared to add to or adjust the plan based on their feedback. Clear communication is a critical factor in project success.

Activity/Event

- Implement the Communication Plan;
- Promote project awareness through appropriate events per the plan.
- Deliver relevant and targeted messages to stakeholders. Examples include:
    - **Executives** (including Project Sponsor) – Progress toward objectives, anticipated change to CSSQ components, and issues requiring their intervention (e.g., additional resources);
    - **Customers** – Progress toward objectives, plans for interim or final project product(s), or changes to the final product;
    - **Team Members** – Upcoming tasks or milestones, outstanding risks, issues, or actions and their impact, and overall project status;
    - **Performing Organization** – Planned or possible changes to the organization resulting from the project or its deliverables;
    - **Other Project Managers** – For projects where a dependency with this effort exists, provide or request status on tasks or deliverables that are the source of the dependency;
    - **Other Stakeholders** – Overall project status and information specific to their interests.

Output (Deliverables)

- Communication vehicles and methods are documented in the Communication Plan developed during the Planning Phase, and may include: meetings, presentations, brown bag lunches, newsletters, websites, email blasts, bulletin boards, posters, etc.

(Project Status Reports)

Project Status Reporting

Frequent communication about project status and issues is a vital part of effective project management. Regular project ***status reports*** *ensure that both the project team and management have the same understanding about project progress, difficulties, and issues. Status reports let all stakeholders know if the project is on track to deliver its outcome as planned, and highlight any place where direct help is needed.*

It is important to communicate issues in order to solve them. Avoiding issues with "Sunny Sky" status reporting can harm your project!

Task #4 Manage Project Team

Project Managers that effectively engage and empower their teams exponentially increase the likelihood of project success. Not only does the Project Manager have to work effectively with each team member, they are responsible for developing the team's ability to work together. Employing the communication tools related to the Project Team outlined in Task #3 is just one small part of managing the team. This is where the effort expended in the Planning Phase pays off. The Project Manager implements and manages the relevant processes defined in the Planning Phase to support the team's work in the Execution and Control Phase – Issue Escalation, Change Control, Status Reporting, Risk Management, etc…

Activity/Event	• Conduct team meetings, facilitate review and resolution of outstanding risks, issues, and action items; • Provide one-on-one feedback to key project personnel (e.g., Task Leads) on their performance.
Output (Deliverables)	• Team meeting documentation.

Task #5 Manage Risks

Risk management is a continuous process throughout the Execution and Control Phase and only stops when the project is closed. In the event that a risk has occurred, the mitigation strategy for that risk should be executed. In some cases, a risk may not have been identified and planned for. If such a risk occurs, it may be necessary for the Project Manager and the Project Team to implement a "temporary solution" or workaround while a more complete risk

analysis is completed. Similarly, the initial mitigation strategy developed in the Planning Phase may no longer be valid and the team may be forced to implement a workaround.

When a previously identified risk event occurs, the Project Manager or risk "owner" of that event can consult the Risk Management Worksheet to determine the appropriate mitigation strategy to implement. Implementing mitigation strategies may not require additional meetings or consultation with the team, Project Director or Project Sponsor if the action was previously identified, documented, and approved in the Risk Management Worksheet. The occurrence of a risk may have a ripple effect across the project management deliverables and project products. Relevant deliverables and products are revised accordingly and the changes are communicated to appropriate project stakeholders.

Activity/Event

- Continue to identify new risks
- Validate risk occurrence and impact on cost, scope, schedule, quality, resources, or other project areas;
- Modify appropriate elements of the CSSQ;
- Communicate impact and changes to project stakeholders;
- Continue risk management and tracking.

Output (Deliverables)

- Risk Management Log;
- Revised CSSQ components, as necessary.

(Risk Management Worksheet)

Task #6 Obtain "Product" Acceptance

Of course, this is the ultimate purpose of this phase – the acceptance of the product(s) of the project, and it is formally recognized via the signed Deliverable Acceptance Form. The purpose of this activity is to formally acknowledge that all deliverables produced during Project Execution and Control Phase have been completed, tested, accepted, and approved to the satisfaction of the project's "customers" via selected representative(s) and the Project Sponsor. This task may be iterated throughout the project as the project's "products" are completed. This activity may also be used to indicate that the product or service resulting from the project was successfully transitioned from the Project Team to the Performing Organization. Formal acceptance and approval of all products signifies that the project is essentially over, and is ready to move to Project Closeout.

Not all projects deliver what they originally intended to. The Product Acceptance process documents the agreement to changes in the deliverables that were accepted or rejected throughout this Phase. In order to document acceptance of the project's primary deliverable(s), the Project Manager should use a formal vehicle such as the Deliverable Acceptance. This is the key activity signaling the transition from Project Execution and Control to Project Closeout.

Activity/Event

- Document and communicate approved changes. This is a function of the Change Control activity described in Task #2 above as related to managing any changes to the final product, typically associated with changes in scope;
- Conduct Final Status Meeting.

Output

- Project product(s) reviewed and accepted by ultimate "customers".

(Deliverables) *(Deliverable Acceptance Form)*

Task #7 Conclude Execution and Control Phase

Conclusion of the Execution and Control Phase signifies the delivery of the project's product(s).

Activity/Event

- Review and revise previous phase documents.
- Conduct Phase Review Session – Lessons Learned may be collected at the end of this Phase to be used during Project Closeout. For smaller projects, this may be combined with the Lessons Learned session conducted during the Project Closeout Phase.
- Document Phase Approval Form.
- File copy of final project management deliverables in the project repository.

Output (Deliverables)

- Project ready for closeout.

(Phase Completion Form)

Note: The Project Manager should consider sending a memo to key stakeholders requesting they sign off on the final deliverables of the project. The act of signing off on a document is a powerful way to reinforce the understanding and agreements made by the stakeholders.

The table below outlines the project management deliverables that are maintained or revised during the Execution and Control Phase. These controls are the deliverables and core processes that the Project Manager and team developed in the Planning Phase. While many of the items in this table are the same as those appearing in the table depicted in the Planning Section III.3.c of this Field Guide, the related descriptions reflect the deliverable's purpose in the Execution and Control Phase.

DELIVERABLE	PURPOSE	S	M	L
Project Schedule	Changes to the Project Schedule are likely, almost inevitable. The Project Manager maintains the Project Schedule, making approved changes as necessary. Significant changes may require a new schedule "baseline" to be established. The new baseline will be the measure by which future progress will be assessed.	✔	✔	✔
Project Budget	The Project Manager maintains the Project Budget. Based on the Project Manager's authority they will make or seek approval to make changes, as necessary. Significant changes may require a new budget "baseline" to be established. The new baseline will be the measure by which future expenditures will be assessed.		✔	✔
Risk Management Worksheet	The only likely changes to the Risk Management Worksheet are the addition of new project risks identified or realized during the Execution and Control Phase. A complete analysis, following the process used during the Planning Phase, should be performed for any new risk identified during this phase. Unexpected risks that are realized and mitigated in the		✔	✔

DELIVERABLE	PURPOSE	S	M	L
	Execution and Control Phase should be documented, even after the fact, in order to inform future projects.			
Communication Plan	Execute the plan and add to or adjust the plan based on feedback from the various stakeholders.		✔	✔
Project Roster	The Project Roster is updated with any changes or additions to the Project Team.		✔	✔
Quality Management Plan	The only likely changes to the Quality Management Plan are the addition of new standards for existing deliverables or new measures for project products added to the project during the Execution and Control Phase.		✔	✔
Change Control Process	Any changes made to the CSSQ components follow the process defined in the Planning Phase and are documented in a "Change Control Log" during this phase.		✔	✔
Acceptance Management Process	Provides a process for the acceptance of **project** deliverables (e.g., a software application, initiation of a health program). Acceptance Management is not necessary for **project management** deliverables, such as those described in this table. The key **project** deliverables must meet pre-determined acceptance criteria defined during the Planning Phase. The "collection" of accepted project deliverables is an input to *Task #6 Obtain Product Acceptance*.	✔	✔	✔
Organizational Change Management Process	Refine the plan developed during the Planning Phase to address new information obtained during the Execution and Control Phase. In addition, changes made to the project's products that were not previously identified may have an impact on the organization not previously identified. For instance, a change in the initiation of a health program may affect a different customer or program area. Effective Organizational Change Management will address the expectations of change to the newly defined stakeholders.			✔
Issue Management and Escalation	The results of this process capture, report, escalate, track, and resolve problems that occur during the Execution and Control Phase. Issues are often documented in a log used to manage issue resolution and communicate to relevant stakeholders.	✔	✔	✔
Project Implementation and Transition Plan	Refine the plan developed during the Planning Phase to address new information obtained during the Execution and Control Phase. In addition, changes to the project's products that were not previously identified may have an impact on the Implementation and Transition Plan, in areas such as: • Space, furniture, and equipment needs; • Customer testing and acceptance; • Customer training and orientation; • Rollout strategy (e.g., by location, function, or all-at-once);		✔	✔

DELIVERABLE	PURPOSE	S	M	L
	• Transition to on-going support.			
Project Status Reports	Provide a brief snapshot of the project's progress, accomplishments, next steps, and any outstanding issues or actions, and document accepted changes to the project scope. The target audience for this deliverable is the Project Sponsor, Project Director, and designated key stakeholders identified in the Communications Plan. Project Status Reports are project deliverables. The schedule for status reporting is defined in the Communications Plan and is not tied to a specific phase or task.	✔	✔	✔
Phase Completion Form	Documents the formal completion of the project phase. The target audience is the Project Sponsor, Project Director, and Project Manager.		✔	✔

Accurate records must be kept throughout this phase. Not only do they serve as input to the final phase, Project Closeout, but these project documents also serve as historical record for future projects to use.

III.4.d. Roles and Responsibilities During Execution and Control

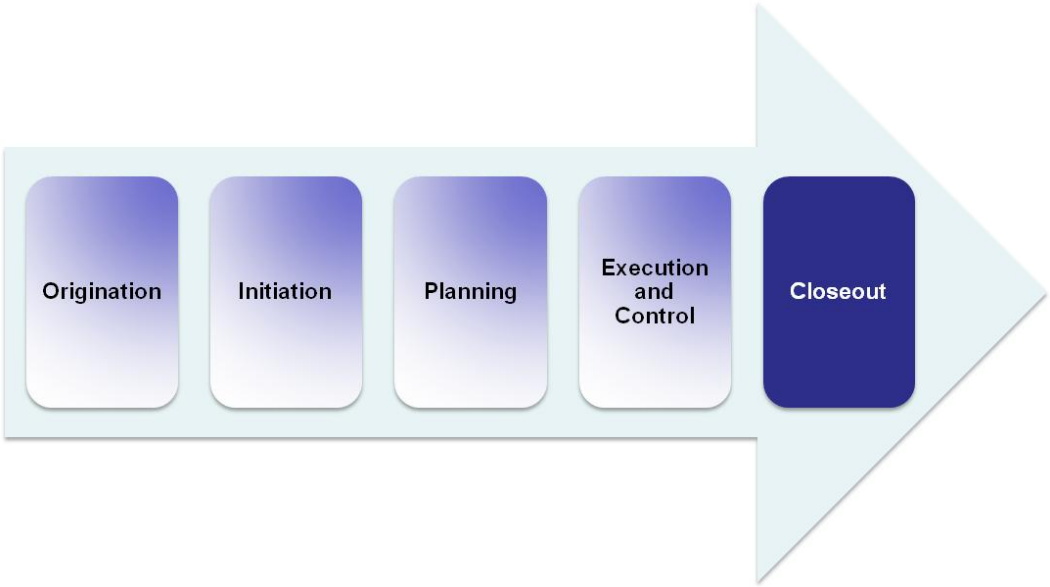
The table below describes the key roles and responsibilities during the Execution and Control Phase in addition to those described in Section II.3. While each role is important, their level of involvement varies from phase to phase.

ROLE	PARTICIPATES IN…	RESPONSIBILITIES SPECIFIC TO EXECUTION AND CONTROL
Project Sponsor	1. Kick-off Phase 6. Obtain Product Acceptance 7. Conclude Phase	• Support timely resolution of escalated inter-agency and inter-business unit issues. • Support approval process for project deliverables. • Supports the Project Manager with resources and guidance. • Provide permission to implement, as needed.
Project Director	1. Kick-off Phase 6. Obtain Product Acceptance 7. Conclude Phase	• Ensure that policy, procedures, and business process changes are aligned with DOH APPM. • Adjudicate change requests not handled by the Project Manager. • Participate in deliverable approval process.
Project Manager	All Tasks	• Implement and monitor plans and processes. • Document and communicate changes to the

ROLE	PARTICIPATES IN…	RESPONSIBILITIES SPECIFIC TO EXECUTION AND CONTROL
		project. • Report progress to Executive(s). • Coordinate Subject Matter Experts. • Orient and integrate new team members. • Coordinate project logistics.
Business Project Lead	1. Kick-off Phase 2. Manage CSSQ 3. Manage Communications 6. Obtain Product Acceptance	• Assist in identifying impacts of changes on CSSQ. • Foster communication between project and business area or Performing Organization. • Facilitate product acceptance.
Business Analyst	1. Kick-off Phase 2. Manage CSSQ 3. Manage Communications 6. Obtain Product Acceptance	• Assist in identifying impacts of changes on CSSQ through facilitation with project team members. • Foster communication between project and business area and technical team. • Perform project evaluations or assessments (internal or external) to confirm status and quality of the project's products • Facilitate product acceptance.
Technical Lead	1. Kick-off Phase 2. Manage CSSQ 3. Manage Communications 6. Obtain Product Acceptance	• Assist in identifying impacts of changes on CSSQ. • Foster communication between project and technical organization. • Facilitate product acceptance.
Finance Representative	2. Manage CSSQ	• Assist in processing changes to the project cost and budget
Customer or End User Representative(s)	1. Kick-off Phase 2. Manage CSSQ 3. Manage Communications 6. Obtain Product Acceptance	• Assist in identifying impacts of changes on CSSQ. • Foster communication between project and Performing Organization. • Facilitate product acceptance.
Vendor Project Manager	As contracted: ALL if contracted to manage the project for DOH	• Responsibilities as contracted.
Advisory Group or Steering Committee	As needed	• Communicate project progress to their constituencies. • Provide project guidance and assist in issue resolution.

ROLE	PARTICIPATES IN…	RESPONSIBILITIES SPECIFIC TO EXECUTION AND CONTROL
Change Control Group	As needed	• Review, approve or reject, and monitor implementation of changes to the project.

III.5. Closeout – "Finishing the Job"



III.5.a. The Closeout Phase

Project Closeout marks the end of the project. The project management deliverables have been produced and products delivered and approved by the appropriate stakeholders, typically the Performing Organization and the Project Sponsor. In addition, **all** Closeout activities have occurred. The project products have been transitioned to the Performing Organization and integrated into the regular business operations.

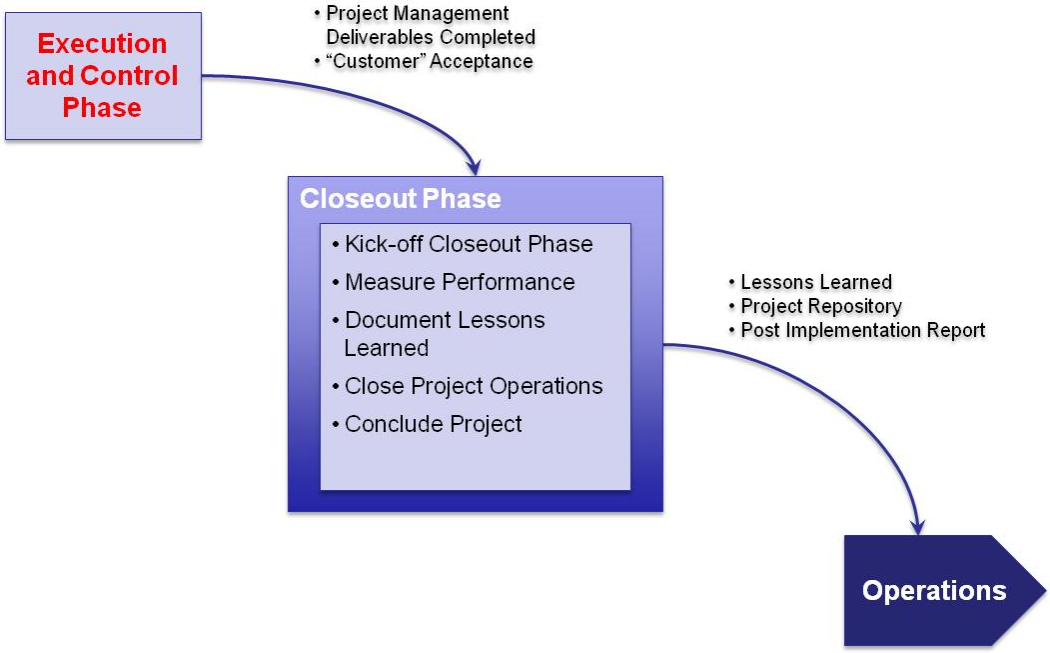
The focus of the Closeout Phase is on formalizing the end of the project and codifying the results in the Lessons Learned documentation.

The tasks performed in the Closeout Phase are often overlooked, yet proper project closeout is a vital tool in Project Management. A formal closeout process provides a mechanism for assessing the project and deriving any lessons learned and best practices. Closeout also supports future projects. Safely archiving the information ensures that future projects will have access to it. The Project Manager, having delivered the project products to the Performing Organization, must now evaluate the project for how well it was performed. Project Closeout should be performed at the end of any project, regardless of the terms of completion (e.g. if the project was cancelled before project products are delivered).

III.5.b. Inputs to the Closeout Phase

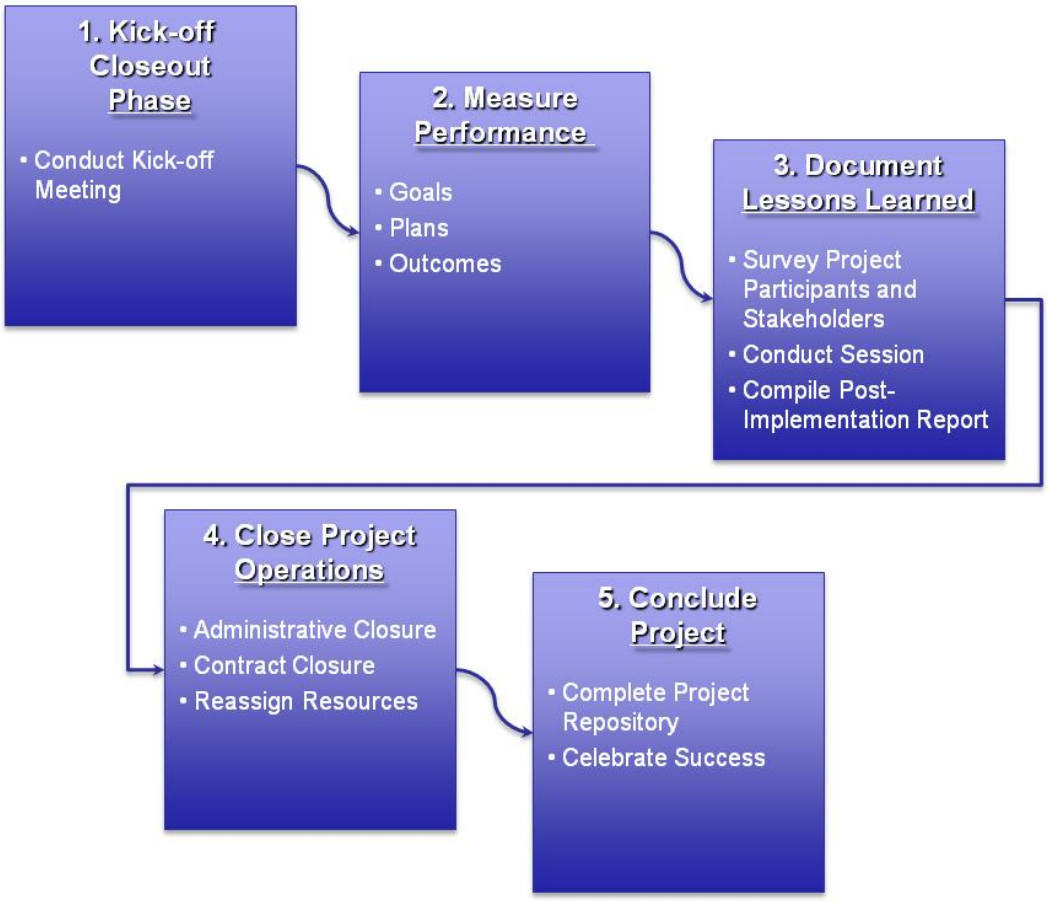
All project management documentation, compiled reports and communications, and the ultimate products of the project serve as input to the Closeout Phase. These inputs are used in conjunction with the feedback solicited from project stakeholders during this phase to assess

the performance of the project and document critical lessons learned. The following graphic depicts the key inputs and outputs from the Project Closeout Phase.



III.5.c. Closeout Phase Activities and Deliverables

The context of the Closeout Phase is focused on the finalization of the project management aspects of the project. Project documentation must be completed and reconciled against the actual outcomes of the project; particularly the CSSQ elements that were defined in the Planning Phase and managed in the Execution and Control Phase. High-level metrics must be gathered to conduct an objective assessment of the effectiveness of the project and its performance against documented goals and standards. The graphic below outlines "best practice" activities to be performed during the Closeout Phase.



Task #1 Kick-off Closeout Phase

The purpose of the Closeout Phase Kick-off is to set the stage for the effective and complete conclusion of the project.

Activity/Event

- Conduct a Closeout Phase Kick-off meeting to:
  - Review final project products and deliverables;
  - Discuss Closeout Phase activities.

Output (Deliverables)

- Meeting documentation.

Task #2 Measure Performance

The final results for Cost, Scope, Schedule, and Quality provide the basis for measuring the project performance. Knowing whether the project delivered the required results on time, on budget, and with the desired quality is essential to declaring the effort a success. The result of this fundamental analysis is important for other Project Managers. With this information they can base their plans for a similar project on the outcomes of this project.

Beyond the quantitative measures, it is important for the Project Manager and Project Team to evaluate how well the project delivered. A few questions to consider:

- Did the project deliver what the customers defined at the outset (through documented requirements or business needs)?
- Does the project product(s) support improvements to our business, operations, processes, technology, service delivery, or personnel?
- Was the Performing Organization actively engaged throughout the project and were they prepared to receive the project's product(s)?
- Were risks and issues effectively addressed and resolved (measured by time, quality, and acceptance of the solution)?

Activity/Event

- Assess project performance against:
  - Goals;
  - Baseline plans – scope, schedule, and cost;
  - Customer expectations and requirements.

Output (Deliverables)

- Document performance analysis. *(Post-Implementation Report)*

Task #3 Document Lessons Learned

The purpose of Project Closeout is to assess the project and derive any lessons learned and best practices to be applied to future projects. The Project Manager will facilitate the collection of lessons learned and development of a Post-Implementation Report. Information for the lessons and report may be gathered via surveys distributed to the various stakeholder groups, interviews of project participants and team members, or in a facilitated session with representation from all stakeholders. This information should be collected as early in the Closeout Phase while team members are still available and the information is fresh.

Key stakeholders and team members will meet to summarize this information, and identify and agree on the lessons learned. In the report, the Project Manager distills and organizes information from various sources – performance analysis, surveys, interviews, lessons learned, project management deliverables, facilitated review sessions. The report is organized according to the categories described in the deliverable table following the discussion of the Closeout Phase tasks below.

Activity/Event

- Survey project participants and stakeholders regarding performance on

all aspects of the project;

- Conduct Lessons Learned session(s), addressing performance in producing the product(s) as well as in project management and general management processes;
- Compile Post-Implementation Report.

Output (Deliverables) *(Project Lessons Learned, Post-Implementation Report)*

Task #4 Close Project Operations

Finalizing a project involves more than delivering the product to the customer. The team that was assembled to do the work must be evaluated and reassigned. Any facilities, systems, materials, or other remnants from the project need to be released to appropriate people or organizations. Vendors who provided products or services in support of the project need to be paid and the contracts concluded.

Activity/Event

- Perform administrative closure;
- Evaluate and reassign resources – Skills gained during the project can be documented and reported to the individual's supervisor;
- Perform contract closure, if applicable.

See Section I:5.2, pp. 285 in the NY State Project Management Guidebook for more on Administrative Closeout.

Output (Deliverables)

- The primary output of this phase describes the effectiveness of all facets of the project management – CSSQ, risk, communications, organizational change, the Project Team, just to name a few.

(Performance Appraisals or Personnel Evaluations)

Task #5 Conclude Project

Archiving the project information will provide a mechanism to ensure that the information, best practices, and lessons learned will be available for future projects. Also, as part of formally concluding the project, don't forget to celebrate success. Ending on a high note will motivate team members to continue their excellent work and want them to be part of other projects you manage!

Activity/Event

- Complete Project Repository;
- Celebrate Success.

Output (Deliverables) *(Project Repository)*

The table below outlines the key Closeout Phase deliverables and their primary purpose:

DELIVERABLE	PURPOSE	S	M	L
Lessons Learned	Documenting the results of the project in order to provide a thorough review of the lessons and a resource for future projects.	✔	✔	✔
Project Repository	Central location for all project artifacts – plans, reports, deliverables, products, etc… This can be an electronic file storage location, physical filing cabinet or a combination. It should be easily accessible to those who are likely to need to reference the project in the future, e.g., members of the Performing Organization, Project Managers on similar future efforts. It is strongly suggested that all files are stored in an electronic project repository. A backup of all project artifacts should also be created and stored for purposes of disaster recovery. Project artifacts should also be sent to or shared with the PMO.		✔	✔
Post-Implementation Report	The purpose of the Post-Implementation Report is to compile and summarize the results of various analyses and performance reviews into a single document. The report documents the following: • Effectiveness of the product in meeting the needs of the Customer; • Effectiveness of project management and the Project Team; • How well the Performing Organization supported the project; • Lessons learned and best practices to be used in future projects; • Key project metrics that will enable the Performing Organization to compare success measures across projects; • Recommendations for improvement to be used by other projects of similar size and scope.	✔	✔	✔
Performance Appraisals or Personnel Evaluations	Formal or informal appraisals of team member performance can provide an opportunity for professional growth. Project Managers can share their assessments with team members' direct supervisors to support promotion or learning opportunities. Project Managers should use Department of Health, HRI, NY State Civil Service or other appropriate standards to conduct and document performance evaluations.			✔

III.5.d. Roles and Responsibilities During Closeout

The table below describes the key roles and responsibilities during the Closeout Phase in addition to those described in Section II.3. While each role is important, their level of involvement varies from phase to phase.

ROLE	PARTICIPATES IN…	RESPONSIBILITIES SPECIFIC TO CLOSEOUT
Project Sponsor	1. Kick-off Phase 3. Document Lessons Learned 4. Close Project Operations 5. Conclude Project	• Contribute to Lessons Learned activities.* • Endorse the project's transition to the performing organization. • Evaluate Project Manager's performance.*
Project Director	1. Kick-off Phase 3. Document Lessons Learned 4. Close Project Operations 5. Conclude Project	• Contribute to Lessons Learned activities.* • Support the project's transition to the performing organization. • Evaluate Project Manager's performance.*
Project Manager	All Tasks	• Facilitate and documents Lessons Learned activities. • Assess project performance against the project goals, baseline CSSQ plans, and customer expectations and requirements. • Evaluate Project Team member performance. • Complete the project repository. • Facilitate the project's transition to the performing organization.
Business Project Lead	1. Kick-off Phase 2. Measure Performance 3. Document Lessons Learned 5. Conclude Project	• Assess project performance against the project goals, baseline CSSQ plans, and customer expectations and requirements. • Contribute to Lessons Learned activities.
Business Analyst	1. Kick-off Phase 2. Measure Performance 3. Document Lessons Learned 5. Conclude Project	• Assess project performance against the project goals, baseline CSSQ plans, and customer expectations and requirements. • Contribute to Lessons Learned activities.
Technical Lead	1. Kick-off Phase 2. Measure	• Assess project performance against the project goals, baseline CSSQ plans, and customer expectations and requirements.

ROLE	PARTICIPATES IN…	RESPONSIBILITIES SPECIFIC TO CLOSEOUT
	Performance 3. Document Lessons Learned 5. Conclude Project	• Contribute to Lessons Learned activities.
Finance Representative	2. Measure Performance 3. Document Lessons Learned 5. Conclude Project	• Assess project performance against the project goals, baseline CSSQ plans, and customer expectations and requirements. • Contribute to Lessons Learned activities.
Customer or End User Representative(s)	1. Kick-off Phase 2. Measure Performance 3. Document Lessons Learned 5. Conclude Project	• Assess project performance against the project goals, baseline CSSQ plans, and customer expectations and requirements. • Contribute to Lessons Learned activities.
Vendor Project Manager	As contracted	• Deliver final project and product documentation. • Contribute to Lessons Learned activities, as required.
Advisory Group or Steering Committee	3. Document Lessons Learned 5. Conclude Project	• Contribute to Lessons Learned activities, as appropriate. • Communicate project benefits and outcomes across the organization.

**The roles of Project Sponsor and Project Director are not mutually exclusive; often the two roles will share responsibilities.*

SECTION IV REFERENCE GUIDES

IV.1. Project Phases and Objectives

PHASE	OBJECTIVES

Origination	The focus of the Origination Phase is to create and define the idea for the project. The Origination Phase is necessary to integrate the business case into the portfolio of the agency, and also to ensure that a project funding strategy can be aligned with the budget cycle. Keep in mind that the idea behind this phase is more about conceptualizing than managing the project.
	• Develop the Business Case.
	  ○ Research the business problem.
	  ○ Conduct meetings and interviews.
	• Establish a PM Framework
	  ○ Review DOH Field Guide
	  ○ Determine required PM activities and deliverables

Initiation	The primary function of the Initiation Phase in the project management lifecycle is to refine the project from its original concept. Ultimately, a high-level project milestone schedule is developed and the initial Cost, Scope, Schedule, and Quality (CSSQ) elements are compiled.
	• Identify stakeholders
	  ○ List stakeholders
	  ○ Analyze stakeholder impact
	  ○ Determine stakeholder management strategies
	• Define business requirements
	  ○ Conduct business requirement sessions
	  ○ Elaborate business customer requirements
	• Describe project boundaries
	  ○ Conduct project scope definition session
	  ○ Document core project charter components
	• Define resources
	  ○ Identify and document required resources
	  ○ Develop preliminary budget estimate
	• Establish a high level time frame
	  ○ Document anticipated project deliverables,
	  ○ Estimate milestone dates

Planning	The purpose of Project Planning is to define the exact parameters of the project, refining the project purpose and deliverables into a clear set of documents that will support Project Execution. During this phase, any remaining issues or questions that may undermine the goals of the project or threaten its success are resolved.
	• Refine CSSQ
	  ○ Develop detailed plans
	  ○ Develop implementation strategy
	  ○ ID new resources needed
	• Identify impacts and dependencies
	  ○ Assess relationship with other projects
	  ○ Identify impacted business processes
	  ○ Identify risks and assumptions
	• Conduct risk assessment

PHASE	OBJECTIVES
	○ Review existing risks ○ ID new risks ○ Develop risk management plan • Develop and assemble the project plan ○ Assemble CSSQ ○ Develop project plan components
Execution and Control	The purpose of Project Execution and Control is to develop the product or service that the project was undertaken to deliver. Execution and Control can be the longest phase of the project, where most resources are applied and expended. This phase utilizes all the plans, schedules, procedures, and templates that were prepared in prior phases. Anticipated risks, as well as unanticipated events or circumstances will inevitably arise during execution. • Manage CSSQ ○ Monitor cost, scope, schedule, and quality ○ Implement change control process • Manage communications ○ Promote project ○ Obtain feedback from stakeholders • Manage project team ○ Conduct team building activities ○ Conduct team meetings ○ Provide feedback to team members • Manage risks ○ Validate risk occurrence ○ Modify CSSQ ○ Communicate impact ○ Continue risk management and tracking • Obtain product acceptance ○ Document and communicate approved changes, ○ Conduct final status meeting
Closeout	A formal closeout process provides a mechanism for assessing the project and deriving any lessons learned and best practices. Closeout also supports future projects by safely archiving the information. Project Closeout should be performed at the end of any project, regardless of the terms of completion (e.g. if the project was cancelled before project products are delivered). • Measure performance ○ Goals, plans, outcomes • Document lessons learned ○ Survey project participants and stakeholders ○ Conduct session ○ Compile post-implementation report • Close project operations ○ Administrative closure ○ Contract closure ○ Reassign resources

IV.2. Project Roles and Responsibilities by Phase

ROLE	ORIGINATION	INITIATION	PLANNING	EXECUTION AND CONTROL	CLOSEOUT
Project Sponsor	• Provide the Project Manager with the context for the project's selection • Secures funding and long-term support for implementation • Describe expectations for the project, including goals and success factors • Endorse communication of origination of the project to the organization	• Educate other executives on the benefits of the project. • Support timely resolution of escalated inter-agency and inter-business unit issues.	• Review key project planning documents (CSSQ). • Support timely resolution of escalated inter-agency and inter-business unit issues.	• Support timely resolution of escalated inter-agency and inter-business unit issues. • Support approval process for project deliverables. • Supports the Project Manager with resources and guidance.	• Contribute to Lessons Learned activities • Endorse the project's transition to the performing organization • Evaluate Project Manager's performance
Project Director	• Provides high-level, strategic direction • Secures funding and long-term support for implementation • Facilitate transition of project from concept and selection to kick-off • Describe expectations for the	• Ensure that policy, procedures, and business process changes are aligned with DOH Administrative Policy and Procedures Manual (APPM). • Participate in definition of key project management	• Ensure that policy, procedures, and business process changes are aligned with DOH APPM. • Participate in development or refinement of key project management deliverables, particularly CSSQ	• Ensure that policy, procedures, and business process changes are aligned with DOH APPM. • Adjudicate change requests not handled by the Project Manager. • Participate in deliverable	• Contribute to Lessons Learned activities. • Support the project's transition to the performing organization. • Evaluate Project Manager's performance.

ROLE	ORIGINATION	INITIATION	PLANNING	EXECUTION AND CONTROL	CLOSEOUT
	project, including goals and success factors • Promote adherence to the requirements defined in the DOH Project Management Field Guide.	deliverables. • Participate in issue resolution process.	documents and risk assessment.	approval process.	
Project Manager	• Establish a Project Management Framework commensurate with the scale and scope of the project • Adhere to the guidelines, tasks, and deliverables documented in the DOH Project Management Field Guide • Facilitate successful project kick-off • Communicate project kick-off to key stakeholders	• Develop Project Schedule and necessary project management documentation. • Report progress to Executive(s). • Coordinate Subject Matter Experts. • Act as liaison to Advisory Group. • Facilitate communication to organization about initiation of the project.	• Develop detailed project management and CSSQ documentation. • Coordinates Subject Matter Experts. • Perform risk analysis. • Orient and integrate new team members. • Report progress to Executive(s).	• Implement and monitor plans and processes. • Document and communicate changes to the project. • Report progress to Executive(s). • Coordinate Subject Matter Experts. • Orient and integrate new team members. • Coordinate project logistics.	• Facilitate and documents Lessons Learned activities. • Assess project performance against the project goals, baseline CSSQ plans, and customer expectations and requirements. • Evaluate Project Team member performance. • Complete the project repository. • Facilitate the project's transition to the performing organization.
Business Project Lead	• Support development of the Business Case by providing insight from the business	• Assist in developing initial project management deliverables by	• Assist in defining or refining CSSQ documents. • Identify and solicit support from	• Assist in identifying impacts of changes on CSSQ. • Foster communication	• Assess project performance against the project goals, baseline CSSQ plans, and

ROLE	ORIGINATION	INITIATION	PLANNING	EXECUTION AND CONTROL	CLOSEOUT
	side of the project.	representing "business" perspective.	appropriate Subject Matter Experts. • Foster communication between project and business area or Performing Organization. • Assist in articulating the impacts and dependencies, risks, and associated action plans.	between project and business area or Performing Organization. • Facilitate product acceptance.	customer expectations and requirements. • Contribute to Lessons Learned activities.
Business Analyst	• Assist with business case development. • Define business processes and requirements. • Facilitate requirements gathering sessions.	• Assist the Project Manager in developing initial project management deliverables through facilitation sessions with Business Project Lead and Technical Lead.	• Facilitate sessions to define and refine CSSQ documents. • Solicit information from appropriate Subject Matter Experts. • Foster communication between project and business area and technical team. • Assist in collection of the impacts and dependencies, risks, and help develop associated action plans.	• Assist in identifying impacts of changes on CSSQ through facilitation with project team members. • Foster communication between project and business area and technical team. • Perform project evaluations or assessments (internal or external) to confirm status and quality of the project's products	• Assess project performance against the project goals, baseline CSSQ plans, and customer expectations and requirements. • Contribute to Lessons Learned activities.

ROLE	ORIGINATION	INITIATION	PLANNING	EXECUTION AND CONTROL	CLOSEOUT
				• Facilitate product acceptance.	
Technical Lead	• Support development of the Business Case by providing insight from the technical side of the project.	• Identify proposed Information Technology (IT) solution(s). • Determine requirements for technical team representation and participation. • Identify operational impacts. • Assist in developing initial project management deliverables by representing "technical" perspective.	• Ensure project compliance with organizational technical and security standards. • Identify proposed solution(s). • Determine requirements for technical team representation and participation. • Identify operational impacts. • Foster communication between project and technical organization.	• Assist in identifying impacts of changes on CSSQ. • Foster communication between project and technical organization. • Facilitate product acceptance.	• Assess project performance against the project goals, baseline CSSQ plans, and customer expectations and requirements. • Contribute to Lessons Learned activities.
Finance Representative	• Support development of the Business Case by providing insight from the technical side of the project.	• Support development of initial cost and resource estimate(s).	• Assist in defining or refining the cost elements of CSSQ documents. • Assist in processing changes to the project cost and budget.	• Assist in processing changes to the project cost and budget	• Assess project performance against the project goals, baseline CSSQ plans, and customer expectations and requirements. • Contribute to Lessons Learned activities.

ROLE	ORIGINATION	INITIATION	PLANNING	EXECUTION AND CONTROL	CLOSEOUT
Customer or End User Representative(s)	• Support development of the Business Case by providing information regarding the business need the project will fulfill.	• Assist in setting project goals and objectives. • Participate in requirements definition activities.	• Contributes to defining or refining CSSQ documents. • Participates in project delivery and implementation.	• Assist in identifying impacts of changes on CSSQ. • Foster communication between project and Performing Organization. • Facilitate product acceptance.	• Assess project performance against the project goals, baseline CSSQ plans, and customer expectations and requirements. • Contribute to Lessons Learned activities.
Vendor Project Manager	*No specific role in this phase.*	• Responsibilities as assigned.	• Responsibilities as contracted.	• Responsibilities as contracted.	• Deliver final project and product documentation. • Contribute to Lessons Learned activities, as required.
Advisory Group or Steering Committee	*No specific role in this phase.*	• Support communication to organization about initiation of the project.	• Participate in planning meetings, as appropriate. • Review and provide feedback on project management deliverables. • Provide project guidance and assist in issue resolution.	• Communicate project progress to their constituencies. • Provide project guidance and assist in issue resolution.	• Contribute to Lessons Learned activities, as appropriate. • Communicate project benefits and outcomes across the organization.
Change Control Group	*No specific role in this phase.*	*No specific role in this phase.*	*No specific role in this phase.*	• Review, approve or reject, and monitor implementation of changes to the project.	*No specific role in this phase.*

ROLE	ORIGINATION	INITIATION	PLANNING	EXECUTION AND CONTROL	CLOSEOUT

IV.3. Project Quick Start

DOH PMO PROJECT QUICK START

SUCCESS FACTORS	TIPS TO GET THERE
1. Defined Scope	•Perform project scoping sessions with key stakeholders to define exactly what the project will deliver as well as what it will not deliver. The outcome is a defined statement that defines the business problem, outlines the project objectives, and provides high level project deliverables.
2. Schedule	•Perform a project schedule development session with key project team members. Using the deliverables defined in the Scope Statement, determine the amount of effort and the critical dependencies for each. A high level work breakdown structure (WBS) is a great tool for this!
3. Budget	•Estimate the resources required to successfully complete the project within the defined scope and schedule. The budget includes human resources (especially contractor personnel), materials or equipment (e.g., hardware, software), and support (e.g., security). A project budget may include an estimate of the resources for maintaining deliverables after project completion.
4. Stakeholders	•Analyze Stakeholders' interests. Remember, stakeholders include more than the project team and the "obvious" customers. Stakeholders include anyone who can influence a project or will be impacted by the results – executives, team members' managers, county governments, etc... Don't forget to think outside the team structure or you own organization!
5. Executive Support	•Engage the Project Sponsor and key executives in the early stages of the project. Understand their communication needs and review important project documentation to confirm their understanding. Obtaining their "sign off" on key items like the Project Scope, Budget, and Schedule. Ask for input on the stakeholders, are there any you have missed?

FIELD GUIDE TOOLS TO USE

Success Factor					Tool
1	2	3	4	5	Color Key
					Project Kick-off Meeting
					Business Case
					Project Management Framework
					Project Charter
					Project Scope Statement
					Project Schedule
					Project Budget
					Risk Management Worksheet
					Communication Plan
					Resource Acquisition Worksheet
					Project Status Reports
					Project Plan

NYS Department of Health, Project Management Office
Delivering your prescription for a healthy project.

IV.3. Department of Health Project Management Field Guide Road Map

Origination

Kick-Off
Origination Phase
- Kick-off Meeting Agenda

Develop
Business Case
- Business Case

Establish
Project Management Framework
- PM Framework

Conclude
Phase
- Phase Completion Form

Initiation

Kick-Off
Initiation Phase
- Kick-off Meeting Agenda
- Project Charter

Identify
Stakeholders
- Initial Communications Plan

Define
Business Needs and Resources
- Project Scope Statement
- Project Budget (Preliminary)
- Resource Acquisition

Describe
Project Boundaries
- Risk Management Worksheet

Establish
High Level Timeframe
- Project Schedule

Manage
Communications
- Project Status Reports

Develop
Initial Project Plan
- Project Plan

Conclude
Phase
- Phase Completion Form

Planning

Kick-Off
Planning Phase
- Kick-off Meeting Agenda
- Project Roster

Refine
CSSQ
- Project Scope Statement
- Project Schedule
- Quality Management Plan
- Project Budget

Identify
Impacts & Dependencies
- Updated Risk Management Worksheet

Conduct
Risk Assessment
- Updated Risk Management Worksheet

Manage
Communications
- Project Status Reports
- Updated Communications Plan

Develop and Create
Project Plan
- Change Control Process
- Acceptance Management Process
- Organization Change Management Process
- Issue Management and Escalation Process
- Project Team Development Plan
- Project Implementation and Transition Plan

Conclude
Phase
- Phase Completion Form

Execution and Control

Kick-Off
Execution and Control Phase
- Kick-off Meeting Agenda
- Updated Project Roster

Manage
CSSQ
- Updated Project Schedule
- Updated Project Budget
- Updated Quality Management Plan
- Change Control Process
- Acceptance Management Process
- Organization Change Management Process
- Issue Management and Escalation Process
- Project Implementation and Transition Plan

Manage
Communications
- Project Status Reports
- Updated Communications Plan

Manage
Risks
- Updated Risk Management Worksheet

Obtain
Project Acceptance
- Acceptance Form

Conclude
Phase
- Phase Completion Form

Closeout

Kick-Off
Closeout Phase
- Kick-off Meeting Agenda

Measure
Performance
- Post-Implementation Report

Document
Lessons Learned
- Lessons Learned

Close
Project Operations
- Performance Appraisals or Personnel Evaluations

Conclude
Project
- Project Repository

Celebrate Success!

APPENDIX A – TEMPLATES AND TOOLS

The templates and tools listed in the table below are provided in this section, organized by Project Management phase.

PROJECT MANAGEMENT PHASE	TEMPLATES	TOOLS
Origination	• Business Case • Project Management Framework • Phase Completion Form	• Project Kick-off Meeting Agenda
Initiation	• Project Charter • Project Scope Statement • Project Schedule • Project Budget • Risk Management Worksheet • Communication Plan • Resource Acquisition Worksheet • Project Status Reports • Project Plan • Phase Completion Form	• Phase Kick-off Meeting Agenda • Stakeholder Management Analysis

Planning	• Refine Initiation Phase Deliverables
	  ○ Project Scope Statement
	  ○ Project Schedule (Baseline)
	  ○ Project Budget (Baseline)
	  ○ Risk Management Worksheet (Complete)
	  ○ Communication Plan
	• Project Roster
	• Quality Management Plan
	• Change Control Process
	• Change Control Log
	• Change Request Form
		• Phase Kick-off Meeting Agenda
		• Risk Analysis
		• Issue Management and Escalation Process
		• Project Team Development Planning

PROJECT MANAGEMENT PHASE	TEMPLATES	TOOLS
	• Issues Log • Acceptance Management Process – Deliverable Acceptance Form • Organizational Change Process – Organizational Change Plan • Project Implementation and Transition Plan • Project Plan (Complete) • Project Status Report • Phase Completion Form	

Execution and Control	• Maintain Planning Phase Deliverables
	  ○ Project Schedule
	  ○ Project Budget
	  ○ Risk Management Worksheet
	  ○ Communication Plan
	  ○ Project Roster
	  ○ Quality Management Plan
	  ○ Change Control Process
	  ○ Change Control Log
	  ○ Change Request
	  ○ Issues Log
	  ○ Acceptance Management Process – Deliverable Acceptance Form
	• Project Status Report
	• Phase Completion Form
		• Phase Kick-off Meeting Agenda
		• Issue Management and Escalation Process

Closeout	• Lessons Learned Meeting Agenda • Lessons Learned Survey • Post-Implementation Report	• Closeout Meeting Agenda • Performance Appraisals or Personnel Evaluations • Administrative Closeout

APPENDIX B – GLOSSARY[1]

Acceptance Management – A process used throughout the project to obtain approval from an authorized project participant for work done on the project to date. This process is defined and included in the Project Plan. The approval at each stage means that the deliverable(s) for that stage are completed to the satisfaction of the Customer or Program Area Representative(s) (or End User). In order for a deliverable to be considered "complete" and "acceptable", it is measured against pre-determined acceptance criteria.

Activity – Equivalent to a process, an activity is a piece of work accomplished during a project that can be broken down into tasks.

Baseline – An initial measurement that serves as the basis for comparison in later phases of a project.

Best Practices – Certain optimum procedures recognized during the course of the project that, when exercised, made the project more efficient or effective (e.g., improved the production of a deliverable, streamlined a process, or utilized standardized templates, etc.). Best practices should be documented and shared with other Project Managers so that they can be repeated.

Bottom Up Estimating: Approximating the size (duration and cost) and risk of a project (or phase) by breaking it down into its smallest work components; estimating the effort, duration, and cost of each; and aggregating them into a full estimate

Change Control – A plan for handling changes to a project aimed at minimizing the negative effect on a projects outcome. Change is ANY adjustment to ANY aspect of the "baselined" Project Plan or to ANY already approved deliverables.

Constraint – Constraints establish boundaries, restricts, limits or obstructs any aspect of the project.

CSSQ – The interdependent quadruple constraints of the project (cost, scope, schedule, and quality), represented by, project budget, project scope, project schedule, and quality management plan.

Cost/Benefit Analysis – A comparison of the cost of the project to the benefits it would realize, used to determine whether the project or portion of the project should be undertaken.

Customer – Individual(s) identified by the Project Manager or designated by functional managers as key stakeholders. Typically are the receivers of the project deliverables. (also known as Program Area Representative(s) or End User**)**

Deliverable(s) – A tangible product or service satisfying one or more objectives of the project.

Earned Value Management – Earned Value Management (EVM) is a project management concept to measure the progress and value of a project through the dollar value the project

[1] Adapted from the New York State Project Management Guidebook Release 2

delivers. EVM combines schedule performance and cost performance to answer the question, "What did we get for the money we spent?" * With EVM, all project tasks are assigned a value, and "earn" the value when work is completed. The Earned Value (EV) is compared to actual costs and planned costs to determine project performance and predict future performance trends.

Flowchart – A graphical representation of the flow and interaction of a process or system.

Gantt Chart – A Gantt chart is a commonly used type of bar chart used to illustrate a project schedule, depicting the durations and dependencies between key project tasks and activities.

Issue Management and Escalation – A process for capturing, reporting, escalating, tracking, and resolving problems that occur as a project progresses.

Lessons Learned – Information resulting from feedback on the project, and based on the assessment of project performance, that may benefit the Project Manager as well as managers and team members of similar projects.

Performing Organization – The organization that provides the resources for the project. In many cases, the Performing Organization is a DOH Program Area.

Phase – A series of processes organized into a distinct stage of project development.

Post-Implementation Report –The report compiles and summarizes the results of various analyses and lessons learned into a single document.

Process – A series of tasks performed to bring about a result.

Project – A temporary endeavor undertaken to create a unique product or service.

Project Audit – A process designed to ensure that the Quality Assurance activities defined in Project Planning are being implemented and to determine whether quality standards are being met.

Project Charter – Provides authority to establish the project and secures commitment for the resources required to complete the initiation of the project. The Project Charter specifically names the Project Manager and establishes the level of authority of the Project Manager during the project.

Project Lifecycle – A collection of phases whose number and names are determined by the control needs of the Performing Organization.

Project Management – The discipline of planning, organizing, and managing resources to bring about the successful completion of specific project goals and objectives.

Project Manager – Individual with the primary responsibility for the planning, execution and control of the project using DOH project management standards.

Project Repository (aka Project Management Repository)– A central location for all the project artifacts (physical or electronic, though electronic is strongly suggested).

Project Sponsor – The most senior level individual in the organization responsible for the overall success of the project. In many cases, this person was the original champion of the idea that became the project.

Project Team – The Project Team consists of resources (full or part time) assigned to work on the deliverables of the project or will help achieve the project objectives. A Project Team can consist of resources within one program area or many program areas.

Quality Assurance – Evaluation of project performance on a regular basis to ensure that the project will satisfy the established quality standards.

Quality Control – Monitoring of project results to ensure compliance with the appropriate established quality standards and to eliminate causes of non-compliance.

Quality Standards – Criteria established to ensure that each deliverable created meets a certain level of quality agreed to by the Customer and Project Manager.

Risk – An anticipated event with the potential to positively or negatively affect the project.

Risk Assessment – A process to identify which risks are likely to affect a project, document the risk, and determining which require a mitigation plan.

Skills Inventory – A record of the skills learned and used on the project by the Project Team.

Stakeholders – A person actively involved in the project or whose interest may be positively or negatively affected by execution or completion of the project. A stakeholder may also exert influence over the project or its deliverables. Stakeholders can be internal or external to the project.

Task – A single piece of work itemized in the Project Schedule to which effort and resources must be applied.

Top Down Estimating - Looking at the project as a whole and comparing it to previously performed similar projects to approximate the size or risk of a project (or project phase).

Work Breakdown Structure (WBS) – A deliverable-oriented grouping of “work” or “tasks” that defines the total scope of the project. Each descending level of the WBS represents an increasingly detailed definition of the project’s work.

Work Flow Diagram – A graphical representation of the organization’s workflow. Diagrams are helpful when documenting the current working model and when looking for opportunities to improve a process.

APPENDIX C – SELECTED REFERENCES

The following references are provided for additional reading and resources on project management and related topics.

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APPENDIX D – COMMENT AND CHANGE REQUEST FORM

Submitter Name: _____ Division/Bureau:_____
Address:_____
E-mail Address: _____ Phone: _____

Please check one of the following:		
CHANGE	COMMENT	OTHER
◯	◯	◯
Briefly Explain:		

Field Guide Section	Page Number	Paragraph/Sentence

Original Text (Please attach a copy of the original text here):

Recommended Text (Please attach a copy of the original text here):

Provide a detailed reason for requested change:

Please complete this form and return it to:
NYS Department of Health
Project Management Office
Corning Tower, ESP, Room 1221
Albany, NY 12237
Or e-mail to pmo@health.state.ny.us

FOR PROJECT TEAM USE ONLY (Record of Decision and Response Form to Submitter)

ACCEPTED: _____ INITIAL: _____ DATE: _____

NOT ACCEPTED:
_____ Out of project scope
_____ Level inappropriate for this document
_____ Conflicts with material in Guidebook
_____ Not generally accepted
_____ Other (Reason: _____)

NEED MORE INFORMATION:

CONTACT SUBMITTER:
_____
Date: _____ INITIAL: _____ NOTES: _____
Date: _____ INITIAL: _____ NOTES: _____

ADDITIONAL INFORMATION RECEIVED: _____
RECOMMENDED DISPOSITION: _____
COMMENT CLOSE DATE: _____ INITIAL: _____