USAID
Program Management Office Guidebook

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INTRODUCTION

I Program Management Guidebook Background & Purpose

In February 2002, Andrew Natsios, USAID Administrator, announced the creation of a Business Transformation Executive Committee (BTEC) responsible for identifying and carrying out business transformation (BT) initiatives within USAID. In May of 2002, John Marshall, Management Bureau Assistant Administrator, announced the creation of the Program Management Office (PMO) within the Office of the CIO to support the BTEC in its efforts to carry out the Business Transformation. The PMO mission was thus established to support the BTEC in helping to align business transformation projects with agency priorities and in instituting an effective commonly accepted, and practiced methodology for managing and implementing these projects.

The USAID Program Management Office (PMO) Guidebook was developed to document this common project management methodology in terms of the business process activities and accompanying tools to effectively manage the selection, planning, execution, and implementation of projects supporting USAID's business transformation objectives. The primary audience is thus the PMO as the organization charted to introduce, operationalize, and continue to evolve the project management methods and tools provided in the Guidebook. The PMO will in turn have as its audience the various groups and individuals who will become a part of the process and / or need to apply the methodology for specific project purposes.

II Program Management Guidebook Overview

The PMO Guidebook (hereafter referred to as the Guidebook) covers the full project life cycle defined in terms of the five processes listed below. These processes are designed to align with the Select, Control and Evaluate phases of capital investment management within USAID. The further process granularity defined in the Guidebook is to provide more in-depth focus on the planning, execution, and implementation functions that are critical to effective project and program management. The five Guidebook process areas are:

- Process 1: Define & Select
- Process 2: Initiate & Plan
- Process 3: Execute & Control
- Process 4: Implement & Close
- Process 5: Evaluate

For each of the five process areas the Guidebook provides the following:

- Purpose Description
- Assumptions
- Core business process activities and activity descriptions
- Templates that serve as the tools for process activity execution
- Proposed functional roles that align resources to operationalize the processes

The process activities, templates and proposed functional roles defined in the Guidebook provide a best practice approach for an effective program management methodology. Instituting this methodology to the degree needed for business transformation will require a steady but gradual introduction of the processes, methods, and tools as well as the continuous refinement of definitions in this Guidebook to reflect learning from real practices.

III PMO Guidebook Version History

The PMO will be the organization responsible for maintaining and continuously refining the PMO Guidebook and the associated templates and tools. The PMO will appoint a primary and a secondary (back-up) resource to hold this responsibility and to ensure that users of the Guidebook as well as the associated tools have access to and can validate which is the most current version of each. The PMO will also manage review and approval of the changes.

The table below is the initial mechanism for documenting changes to the PMO Guidebook. It includes any changes, additions, or deletions to process descriptions, steps, activities, templates to be used, assumptions, or functional roles contained in the Guidebook. It also applies to changes to the Guidebook templates themselves which are referenced with the process activities and provided in the Guidebook appendices.

The PMO will further define and evolve the means for tracking Guidebook versions as it establishes and formalizes its document management and control infrastructure.

Document Version	**Version Effective Date**	**Section(s) Updated** (Reference templates as well as Guidebook.)	**Update Description**	**Update Source or Reason**	**Date Approved**

IV Acronym Definitions

Acronym	Definition
BT	Business Transformation
BRM	Business Reference Model
BTEC	Business Transformation Executive Committee
CPIC	Capital Planning Investment Control
CIWG	Capital Investment Working Group
EA	Enterprise Architecture
EVA	Earned Value Analysis
KM	Knowledge Management
MPM	Management, Policy & Metrics Staff
PERT	Program Evaluation and Review Technique
PFM	Portfolio Manager
PIR	Post Implementation Review
PM	Project Manager
PMO	Project Management Office
ROI	Return on Investment
ROM	Rough Order of Magnitude
WBS	Work Breakdown Structure

1. DEFINE & SELECT

1.1 Define & Select Purpose

The Define & Select process provides a structured approach for choosing the most appropriate mix of projects (in terms of type, scope, cost, risk, and timeframe) to support USAID's goals and objectives. It is designed to allow project ideas from across the agency to be filtered with careful consideration of return, cost, and risk as well as fit with other projects within and across lines of business. The Define & Select process involves the activities in which project concepts are defined, evaluated, and prioritized against selection and risk analysis criteria, and approved by an Executive Committee authorized to make investment planning decisions. The goal is to ensure only sound and viable initiatives that are aligned with investment portfolio and Agency objectives are approved. The Define & Select process may be applied to several conditions of new and existing projects, including:

- Acceptance of new initiatives into the budget planning process
- Continuation phases of existing initiatives that have shown to be good investments
- Evaluation of existing initiatives that were never subject to a formal select process

1.2 Define & Select Assumptions

In the context of this Guidebook, the Define & Select process assumptions are as follows:

- The process activities, functional roles, and tools proposed provide a best practice approach for Define & Select activities based on an understanding of USAID's needs to support the purpose and goals stated above.
- The Define & Select process matrix defines a core set of process activities that can be used for definition and selection of projects of any type, provided appropriate criteria are defined and resources, with defined roles and responsibilities, are in place. USAID will determine the project types to which this process is to be applied.
- The Define & Select process role matrix identifies the functional groups proposed to be involved and describes their respective roles. The PMO will use the proposed Define & Select role alignment as the basis for further discussion with the groups to be involved. Decisions to solidify the roles and align resources accordingly will be a prerequisite to operationalizing the Define & Select process.
- USAID will determine the group to be responsible for developing the Define & Select process selection and prioritization criteria and to what project types and scope these criteria are to apply.

1.3 Define & Select Process

The Define and Select process is outlined in the Process Activity Matrix shown in ***Diagram 1.1***. This matrix defines the core process activities from identifying and defining a project concept through Executive Committee approval. The activities occurring in between provide the structure for progressive evaluation of a project, first on its own merit, then in comparison to other projects, and finally in consideration of its value to the overall agency goals, objectives, and external pressures. The purpose of this progressive evaluation is first to ensure resources are wisely invested in efforts to define and justify a project and second to provide a framework that promotes integrated rather than silo project decisions and solutions.

In the Define & Select Process Activity Matrix, the core process activities are listed in the left-hand column. The "Activity Description" column in the middle defines what each activity is intended to accomplish. The "Templates Used" right-hand column lists the "tools" that are to enable each activity to be carried out. The templates in blue, underlined type are in *Appendix I* of this Guidebook. Templates identified in black italics are additional tools that need to be developed in conjunction with solidifying ownership of the Define & Select process activities.

1.4 Define & Select Process Roles

The proposed alignment of functional roles within the Define & Select process is provided in ***Diagram 1.2***. The roles of the primary functions to be involved in this process are as follows:

- **PMO:** Provides project review coordination and status tracking support to the Capital Investment Work Group (CIWG). Also provides project Business Reference Model (BRM) impact and portfolio fit assessment input to the Mini Business case development activity for project requests that align with the Portfolio areas supported by the PMO.

- **Requestor:** The Requestor, who can be anyone in the Agency, finds an Executive Sponsor, then submits initial project concept request to the appropriate BTEC Work Group through the Executive Sponsor. For projects given a "go" for further definition, Requestor develops the formal Project Request and associated business case justifications (with assistance of the Sponsor & PMO).

- **Sponsor:** The Sponsor is intended to be a division head or higher level and is proposed to be the overall owner and champion of the project request. If a Sponsor conceives of the idea, he or she may designate a "Requestor" to prepare the project definition and business justification (who may or may not become the Project Manager if the project is approved).

- **Management, Policy and Metrics (MPM) Staff:** Defines the project types that will need to be selected through the CPIC process. Defines the ROI standards for business case justifications and the dollar thresholds for which an OMB 300 will be required. Also develops the standards for selection evaluation rating and ranking criteria to be associated with each project threshold.

- **BTEC Working Groups:** Provide the first line of review for new project concept "go / no go" decisions and input to 2nd level of review conducted by the CIWG. The initial "go / no go" decision will determine if further resources should be invested in developing the Project Request and Mini Business Case. Suggested process for how projects will get to the Work Groups described above under Requestor role.

- **Capital Investment Working Group (CIWG):** Manages the capital investment selection process and develops selection recommendations for the BTEC to make approval decisions.

- **BTEC**: Provides project approvals for Business Transformation projects. USAID needs to further define this approval authority relative to prioritizing existing projects and associated funds as well as providing project request input to the Budget Planning Process. For Business Transformation projects, BTEC approval is needed before resources are committed to developing an OMB 300.

Diagram 1.1 – ***PROCESS 1: DEFINE & SELECT PROCESS ACTIVITY MATRIX***

Process 1: Define & Select Process Activities and Templates			
P #	**Process Activity**	**Activity Description**	**Templates Used**
1.1	**Identify & define idea or need**	Requestor defines business need, notional solution & benefits with roughly estimated timeline & costs and submits to Executive Sponsor to submit to BTEC working group	▪ ***Project Concept Template***
1.2	**Conduct initial concept go/no go review**	Working Group determines Go / No Go for further resources to be invested in developing formal Project Request and business case justification. Go / No Go acceptance criteria based on: - Valid need & expected benefit - Aligned with objectives, acceptable costs & risks - If Project should go through the PMO	▪ ***"Go/No Go" Acceptance Criteria***
1.3	**Develop & submit formal Project Request**	Requestor develops & Sponsor signs off on Project Request which is submitted to the PMO	▪ **Project Request Template**
1.4	**Categorize & assign Project Request**	PMO assigns a project type, portfolio category, and a Portfolio Manager (PFM). PFM adds initiative to track in their Portfolio Project Pipeline & becomes PMO point of contact for Sponsor & Requestor	▪ **PMO Project Tracker Template**
1.5	**Develop Mini Business Case and Assessment within Portfolio**	PMO, Requestor & Sponsor jointly complete Mini Business Case Template & Assessment to include more in-depth definition of approach, cost / benefit, risk analysis & fit with Portfolio strategy and EA to present to CIWG & CIO	▪ **Mini Business Case Template** ▪ **PMO Project Tracker Template** ▪ **Existing Portfolio Criteria** ▪ ***Other "Portfolio Assessment Criteria"***
1.6	**Evaluate & prioritize Mini Business Cases & Assessments across Portfolios**	CIWG, CIO & / or other Working Groups rate and rank mini business cases / assessments to produce list of accepted and prioritized initiatives and list of rejected initiatives. Selection & Prioritization criteria based on: - Portfolio strategy fit, EA fit, feasibility, risks - Costs (ROM), benefit (ROI), timeframe - Resource capacity to support	▪ **PMO Project Tracker Template** ▪ ***"Selection & Prioritization Criteria" Template***
1.7	**Develop Initiative Selection Recommendation Package**	CIWG (with support of PMO) develops Initiative Selection Recommendation Package for presentation to the BTEC	▪ **PMO Project Tracker Template** ▪ ***Selection recommendation package Template***
1.8	**Conduct Initiative Selection Recommendation review for Executive approval**	BTEC decides on initiatives approved to be included in budget plans and / or allocated existing funds. "Initiative Approval Criteria" based on: - Understanding of criteria for recommendations - Agency strategic objectives, needs to be met - Availability or expected availability of funds	▪ **PMO Project Tracker Template** ▪ ***"Initiative Approval Criteria" Template***
1.9	**Hand-off Approved initiatives to budget & implementation processes**	CIWG communicates project approval decisions and hands-off appropriate documentation to budget planning and PMO implementation processes	▪ **PMO Project Tracker Template**

Diagram 1.2 – **PROCESS 1: DEFINE & SELECT PROCESS ROLES**

Process 1: Define and Select Process Activity Roles

P #	Process Activity	PMO	Requestor / Sponsor	MPM	BTEC Working Groups	CIWG/ CIO	BTEC
1.1	Identify & define idea or need		Defines project concept & submits to BTEC Working Group				
1.2	Conduct initial concept go/no go review			Defines go / no go criteria	Decides go / no go to pursue further		
1.3	Develop & submit formal Project Request		Develops & submits formal Project Request				
1.4	Categorize & Assign Project Request	Assigns project type, portfolio & PFM contact					
1.5	Develop Mini Business Case and Assessment within Portfolio	Provides assessment inputs	Develops Mini Business case	Defines ROI & related standards for business case			
1.6	Evaluate & prioritize Mini Business Cases & Assessments across Portfolios	Supports CIWG to conduct evaluation	Presents Project Request & Business Case	Defines evaluation criteria & scoring standards	Scores & prioritizes initiative	Scores & prioritizes initiative	
1.7	Develop Initiative Selection Recommendation Package	Supports CIWG in preparing selection package			Supports CIWG to prepare selection package	Prepares selection package for BTEC review	
1.8	Conduct Initiative Selection Recommendation review for Executive approval	Supports CIWG in conducting review		Provides standards inputs to approval criteria	Provides back up details on initiatives as needed	Presents initiative selections to BTEC	Approves or Rejects each Initiative
1.9	Hand-off Approved initiatives to budget & implementation processes	Receives hand-off of approved projects for PMO		Ensures integration of approved projects to budget process		Communi cates approval decisions	Updates project status tracking list

2. INITIATE & PLAN

2.1 Initiate & Plan Purpose

The Initiate & Plan process occurs after a project is approved, funded, and assigned to the PMO. Its purpose is to ensure the resources to carry out the project are in place and that a well-defined Project Plan is developed and agreed to by the key stakeholders. This includes ensuring there is a designated Project Manager and Executive-level Sponsor who will assume ultimate responsibility for the success of the project.

The Initiate & Plan process outcomes provide the project definition, structure, and performance measurement foundation for managing the project through the subsequent processes of the project life cycle - Execute & Control, Implement & Close, and Evaluate. This foundation includes the definition of what's "planned" to carry out the project and what's "expected" in terms of results. These definitions provide the baseline for measuring performance variances against the project plan, for defining the value proposition when rolling out the project to customers and stakeholders, and for evaluating post implementation results. A project that goes forward without a plan that clearly defines objectives, scope, schedule, deliverables and expected results is bound to be problematic to execute and to measure.

2.2 Initiate & Plan Assumptions

In the context of this Guidebook, the Initiate & Plan assumptions are as follows:

- The PMO will initiate the start of a project with a Project Orientation, which is Part 1 of the multi-part Project Plan document, outlined in ***Diagram 2.1***. The participants in this Project Orientation are to include the PMO, the Sponsor or a Project Executive designate of the Sponsor, and the Project Manager.

- The Project Orientation session will serve to introduce the PMO Project Management methodology to the participants (named above) and to establish project specific expectations and guidelines for using the methods and tools.

- The remaining parts of the Project Plan, summarized in ***Diagram 2.1,*** will be the responsibility of the Sponsor and Project Manager, in conjunction with the PMO, to complete.

- The Sponsor (or Project Executive designate), the Project Manager, and PMO will sign-off on all parts of the Project Plan. The need for other groups (e.g. BTEC Working Group, the CIO, MPM and/or other Stakeholders) to sign-off will be determined based on the type, size, complexity and visibility of the project.

2.3 Initiate & Plan Process

The Initiate & Plan process activities are outlined in the Process Activity Matrix shown in ***Diagram 2.2.*** The matrix defines the core process activities from PMO orientation to completion and approval of the multi-part Project Plan. The core process activities are listed in the left-hand column. The "Activity Description" column in the middle defines what each activity is intended to accomplish. The "Templates Used" right-hand column lists the "tools" that support each activity. The templates in blue, underlined type are in *Appendix II* of this Guidebook. The templates list also includes the PMO Project Tracker Template which was used in a previous process (Process 1). This is indicated by blue type (no underline).

The multi-part Project Plan, as summarized in Diagram 2.1 below is the primary Initiate & Plan template.

Diagram 2.1 PROJECT PLAN BY DOCUMENT PART SUMMARY

- **Part 1: Project Orientation:** The PMO completes this section as part of the orientation and hand-off to the Project Manager. It provides an introduction to the Project Plan document purpose and background on the specific project being handed off to the Project Manager.

- **Part 2: Project Initiation Document (PID):** The Project Managers develops this section for formal sign-off with the PMO, the Project Sponsor, Team Members and any key stakeholders. It defines the project and the ground rules for carrying it out.

- **Part 3: Project Management Plan**: This part is developed by the Project Manager with, guidance from the PMO as needed, to establish the Project Management approach for Project Execution and Control phase of the life cycle.

- **Part 4: Project Implementation Plan**: The Implementation Plan is to ensure there is a formal checkpoint on project readiness for implementation and a well thought through plan for carrying out the project implementation.

- **Part 5: Project Detailed Work Plan**: The Project Work Plan is completed by the Project Manager with input from the Project Team and other impacted parties as appropriate. It includes the detailed work breakdown structure (WBS) with associated milestones, dates, resources, & costs. The Project Work Plan tool to be used will be established during the Project Orientation.

2.4 Initiate & Plan Process Roles

The proposed alignment of functional roles with the Initiate & Plan process activities is provided in ***Diagram 2.3.*** The primary functions to be involved in this process include:

- **PMO:** Provides the structure, tools, and coaching to enable the Project Manager to develop a Project Plan and use the Project Management tools available to support management of the project through the life cycle processes. Assists in identifying resource and training needs. Updates project status in PMO Project Tracker as appropriate.

- **Project Manager & Sponsor:** Jointly develop the content of the plan and ensure it is understood and accepted by key stakeholders as well as the project team. Also identify and acquire the specific human and physical resources needed to support the project.

- **Project Team:** Contributes subject matter knowledge and expertise to assist in developing the details of the project plan, identifying the potential risks and verifying the project approach. For example, project team members may provide input on how much time is needed for a certain activity or what the activity steps need to be.

- **Management, Policy and Metrics (MPM) Group:** Defines project category standards and threshold guidelines for the extent of detail needed in a Project Plan and the level of review and sign-off required for the plan. Develops standards for key performance indicators to be used in developing project specific Performance Management and Quality Assurance Plans.

Diagram 2.2 – ***PROCESS 2: INITIATE & PLAN PROCESS ACTIVITY MATRIX***

Process 2: Initiate and Plan Process Activities			
P #	**Process Activity**	**Activity Descriptions**	**Templates Used**
2.1	**Conduct PMO Project Orientation, Complete & Approve Project Plan Part 1– Project Orientation Document**	Orients PM & Sponsor covering: ▪ Hand-off background documents from Select process ▪ Determine resource & training needs, including the PMO resources to support project ▪ Establish expectations for project management and roles for PM / others on project	▪ **Project Plan Template Part 1 - Project Orientation Document:** **- Project Orientation Checklist** **- Project Plan coversheet** **- Resource Requirement Checklist** ▪ **PMO Resource Utilization Template** ▪ **PMO Project Manager Tracker Template** **PMO PROJECT TRACKER**
2.2	**Develop & Approve the Project Plan Part 2 - Project Initiation Document (PID)**	Develops Project Initiation Document to define & ensure agreement between Sponsor, PM, and PMO on project scope, objectives deliverables, resource needs & target milestones / dates	▪ **Project Plan Template Part 2 – Project Initiation Document (PID)** ▪ **Sign-off form**
2.3	**Provide training for PM & acquire project resources**	Ensures PM has necessary resources and training in PMO methods and tools	▪ **Project Plan Template Part 1 – Project Orientation**
2.4	**Develop & Approve Project Plan Part 3 – Project Management Plan**	Defines Project Management Approach; develops baseline Project Scorecard	▪ **Project Plan Template Part 3 – Project Management Approach** ▪ **Sign-off form**
2.5	**Conduct Project Team Kick-off**	Initiates project team to roles, project objectives, approach, expectations and milestones	▪ **Project Plan Template Parts 1- 3** **-Project Orientation** **-Project Initiation Document** **- Project Management Plan**
2.6	**Develop Project Plan Parts 4 & 5 with input of Project Team and PMO (4- Project Implementation Plan; 5- Project Work Plan)**	Defines Project Implementation Plan & Detailed Project Work Plan with input from PM, PMO, Sponsor, and Project Team	▪ **Project Plan Template Part 4: Project Implementation Plan** **Part 5: Project Detailed Work Plan** ▪ **Sign-off form**
2.7	**Complete & Approve Project Plan ensuring all parts are in synch ; update status in PMO Project Tracker Template**	Finalized Project Plan to provide: ▪ Project "planned" baseline ▪ Project team assignments ▪ Plans for managing status & performance reporting, quality, risk, issues, change control, & communications	▪ **Project Plan Template Parts 1-5** **-Project Orientation Document** **-Project Initiation Document** **-Project Management Plan** **-Project Implementation Plan** **-Project Detailed Work Plan** ▪ **Sign-off form** ▪ **PMO PROJECT TRACKER**
2.8	**Obtain other approvals for Project Plan as needed**	Ensures key oversight groups and stakeholder understanding of & agreement with Project Plan	▪ **Project Plan Parts as needed (TBD)** ▪ **Sign-off Form**

Diagram 2.3 – PROCESS 2: INITIATE & PLAN PROCESS ROLES

Process 2: Initiate & Plan Process Activity Roles						
P #	**Process Activity**	**PMO**	**Sponsor**	**PM**	**Project Team**	**MPM**
2.1	**Conduct PMO Project Orientation, Complete & Approve Project Plan Part 1**	Conducts PMO Orientation; completes Project Plan Part ; helps identify resource & training needs; sets expectations; signs-off	Receives PMO orientation; provides background input; signs-off	Receives PMO orientation; identifies training & resource needs; learns project background; signs-off		Defines guidelines for project management rigors needed
2.2	**Develop & Approve Project Plan Part 2 (PID)**	Assists PM to complete PID; applies MPM standards; signs-off on PID	Assists PM to complete PID; signs off on PID	Develops Part 1 - PID with PMO & Sponsor input Signs off on PID		Defines threshold-based performance measurement standards
2.3	**Provide training for PM & acquire project resources**	Provides & / or arranges training; assists PM to identify resources; sets up access for PMO tools	Identifies resource needs to BTEC Work Groups to ensure needed commitments	Tracks resource needs as met Participates in training		
2.4	**Develop & Approve Project Plan Part 3**	Assists PM to develop Project Management Plan; applies MPM standards; signs-off on Project Management Plan	Provides input as needed to Project Management Plan	Develops Project Management Plan with PMO & Sponsor input		Defines any other standards related to PM
2.5	**Conduct Project Team Kick-off**	Assists PM to conduct Kick-off	Provides management support visibility & support	Conducts Kick-off; orients team; makes resource assignments	Participates in Kick-off; verifies time commitment for role & tasks	
2.6	**Develop Project Plan Parts 4 & 5**	Assists PM & Project Team to create Project Implementation & Work Plans	Provides input as needed	Develops Implementation& Work Plans with input	Provides input to Project Plan parts 4 & 5	
2.7	**Complete & Approve Project Plan ensure all parts in synch**	Reviews & signs-off on Project Plan	Reviews & signs-off on Project Plan	Finalizes baseline Project Plan; obtains sign-offs	Reviews & signs-off on Project Plan	
2.8	**Obtain other approvals for Project Plan as needed**	Identifies other sign-offs needed	Takes Plan for BTEC signs-offs, if needed		Reviews & signs-off on Project Plan	Provides guidelines on sign-offs needed

3. EXECUTE & CONTROL

3.1 Execute & Control Purpose

The Execute & Control process ensures the project is carried out according to expectations with regards to schedule, cost, quality, and desired results in supporting goals and objectives. To this end, the Project Plan developed in *Process 2: Initiate & Plan* becomes the roadmap for guiding and the baseline measuring the project's progress and outcomes quality. The activities involved in the Execute & Control process include: monitoring progress against the Project Plan baseline; identifying problems early on so corrective actions can be quickly taken, and establishing effective communication mediums and activities within the project team and with oversight and stakeholder groups so they are kept well-informed as appropriate to the project. This includes any change management activities that need to occur during the course of the project.

3.2 Execute & Control Assumptions

In the context of this Guidebook, the Execute & Control assumptions are as follows:

- The Execute & Control process will happen at two levels, the oversight level supported by the PMO and the day-to-day project management and monitoring level supported by the Project Manager and Sponsor. The extent of the PMO's role in specific project management activities will depend on the size and complexity of the project as well as the experience and support needs of the PM.

- The Project Manager will generally have a formal reporting relationship to the PMO for the duration of the project (with a designated PMO contact to be identified for each project). This is to establish the PM's accountability to the PMO for status reporting and for following the project management methodology as established in the project orientation.

- The Execute & Control process is designed to be applicable for IT and non-IT projects. The documentation standards to be used for the development life cycle in either case (e.g. requirements, analysis, design, and test) are not in the scope of this Guidebook.

3.3 Execute & Control Process

The Execute & Control process activities are outlined in the Process Activity Matrix shown in ***Diagram 3.1.*** The core process activities are listed in the left-hand column. These are the fundamental project development life cycle steps and Project Management activities intended to be applicable for IT and non IT projects. The "Activity Description" column in the middle defines what each activity is intended to accomplish; these descriptions are likewise intended to apply for both IT and non IT projects.

The "Templates Used" right-hand column identifies the templates to be used to carry out the Execute & Control process activities. The templates in blue, underlined type are in *Appendix III* of this Guidebook The templates listed include the Project Plan and associated templates developed in Process 2 (to serve as the baseline) along with the templates used to manage the Execute & Control activities of Process 3. The "plan" templates from Process 2 are printed in blue without an underline. In addition, the Earned Value Analysis (EVA) reports that need to be defined based on the Project Management tool used and the requirements of senior management are denoted in dark grey italics. Guidelines for developing EVA metrics are provided in both Appendix II under Part 5 of the Project Plan Template and in Appendix III containing the Execute & Control Process Templates.

This Execute & Control Process matrix shows the two levels at which activities occur, the Project level and the PMO level. The primary focus of activities at these respective levels is described below:

- The project level "project management" focus is on execution as well as control. This includes establishing accountability for project tasks with project team members and continually measuring and managing performance in the completion of these tasks against the baseline project scope, costs, schedule, and quality objectives. This also includes identifying, assessing, and responding to project issues and risks to ensure timely, high quality deliverable outcomes as well as developing project level status and metrics for the PMO, Sponsor, and other key stakeholders.

- The PMO level "oversight" focus is on monitoring and support related to the overall health of the projects in the portfolio of initiatives assigned to be managed under the PMO. This includes: monitoring performance against baseline expectations for cost, schedule, risk, and return in the context of the overall investment portfolio, identifying projects that are performing below expectations; recommending corrective actions; and defining recommendations for reprogramming actions to appropriate review committees. The PMO activities also include coaching and assistance for Project Managers in using the project management tools, developing the project solution and mitigating project issues. The goal is for the PMO to be a coach and a partner to the PM and the Sponsor in making the project a success.

3.4 Execute & Control Process Roles

The proposed alignment of functional roles with the Execute & Control process activities is provided in ***Diagram 3.2.*** As the roles of the PMO and the Project Manager are further solidified, the role definitions and matrix will be modified or used to create multiple versions for different project types accordingly. In the context of this Guidebook, the organizational functions and associated roles proposed to support the Execute & Control process include:

- **PMO:** Serves in a project oversight role to gauge and report on the overall health of portfolio of projects. Includes conducting project reviews and compiling project level status data and metrics to monitor projects in the PMO investment portfolio. Uses status information to notify project sponsors and appropriate review committees of projects hitting early warning problem signs and/or requiring Executive attention for resolution. Also provides project management/tools coaching and solution design support to the PM.

- **Project Manager (PM):** Provides day-to-day project management and project level status and metrics reporting to the PMO and other groups as appropriate for the project. This includes facilitating the team through the project development life cycle steps, coordinating with the PMO for technical direction on the solution design and architecture and implementing corrective actions or risk mitigation strategies to avoid, alleviate, or minimize the impact of problems identified. The PM will formally report to the PMO for their role in and their time committed to carrying out the project.

- **Project Team:** Project Team composition will depend on the project. At a minimum it should include the appropriate cross-functional representation to define the project requirements and the skills/capabilities needed to design and implement the solutions. The team should also include a representative from the PMO Planning & Integration Team. The respective project team members' role is to carry out the project activities and action items as defined in the project plan and to provide input for status reporting as requested.

- **Sponsor:** Assumes ultimate responsibility and accountability for the health and success of the project. This involves overseeing project performance through Project Reviews and reporting provided by the PM and the PMO, providing leadership support to the PM and team as issues arise and keeping appropriate senior management and stakeholders informed.

- **BTEC, CIO & Work Groups (including CIWG):** Make recommendations and decisions on how a project should be handled based on the status and risk assessment information provided by the PMO and the PM/Project team. The type of project and the conditions of the issue or risk will determine the level of management needed to make decisions.

- **Customers & Stakeholders:** The role of customers and stakeholders will also vary based on the project. Activities in which one or the other of these groups may have a role include: input to business requirements, user acceptance testing and/or scope change requests.

Diagram 3.1 – PROCESS 3: EXECUTE & CONTROL PROCESS ACTIVITY MATRIX

Process 3: Execute & Control Activities and Templates

P #	Process Activity	Activity Description	Templates Used
3.1	Develop detailed business & systems requirements	**Project Level**: Defines features / characteristics, functionality, business rules and / or process requirements for project solution	▪ *IT Methodology &/outline defined appropriate to project* ▪ *PMO BRM model guidelines*
3.2	Conduct RFP procurement (if relevant)	**Project Level**: Carries out procumbent process to acquire outsourced resources or project solutions per project approach and plan	▪ *IT Methodology &/or procurement guidelines or templates that exist*
3.3	Execute Solution Analysis, Design & Build	**Project Level**: Carries out solution analysis, design and build per project plan and requirements **PMO Level:** Advises on technical solution design & fit with BRM & EA models	▪ *IT Methodology &/or WBS activities in Project Plan.* ▪ *BRM & EA guidelines* ▪ **PMO PROJECT TRACKER**
3.4	Perform Testing	**Project Level**: Ensures testing is carried out and results support desired outcomes. If problems are found monitors corrective actions, raises warnings	▪ *IT Methodology &/or test plan appropriate to project type*
3.5	Manage Scope & Change Control	**Project Level:** Monitors activities to stay within the boundaries of the project scope. Manages process for requests to change the scope to gain agreement, determine impacts, and oversee change integration	▪ **Project Change Control Log** ▪ **PROJECT WORK PLAN** ▪ *Change request guidelines*
3.6	Manage Project Performance & Quality Assurance	**Project Level:** Monitors project progress and quality against the Project Work Plan and the Project Measurement & Quality Assurance Plan developed in Process 2. Provides reporting on status to PMO per reporting standards established during the project initiation	▪ **Project Status Report** ▪ **Project EVA Guidelines** ▪ **Issue/Risk Management & Tracking Log Templates** ▪ **PROJECT BT SCORECARD** ▪ **PROJECT WORK PLAN** ▪ **PERFORMANCE & QUALITY ASSURANCE PLAN** ▪ *Project EVA Reports*
		PMO Level: Collects & compiles project level milestone status, issues, EVA and end goal objectives for Executive reports & presentations. Conducts Project Reviews to monitor & assist team with quality and performance concerns	▪ **PMO Executive Status** ▪ **PMO Executive BT Scorecard** ▪ **PMO Issue/Risk Log** ▪ **PMO PROJECT TRACKER** ▪ *PMO Executive EVA Summary*
3.7	Manage Issues & Risks	**Project Level**: Applies risk mitigation for known risks in Project Plan. Monitors for new risks. Coordinates risk analysis and communications	▪ **Issue/Risk Tracking Log** ▪ **Risk Analysis Guidelines** ▪ **RISK MANAGEMENT PLAN**
		PMO Level: Monitors & reports on issues & risks to oversight groups. Provides analysis of "at risk" projects to management for decisions on course of action to be taken	▪ **PMO Executive Status** ▪ **PMO PROJECT TRACKER**
3.8	Manage Communications & Knowledge Capture	**Project & PMO Levels**: Applies project management communication & KM plans as well as project communication & change management plans defined in Process 2 throughout the duration of the Project	▪ **COMMUNICATIONS & KM PLAN** ▪ **COMMUNICATIONS & CHANGE MANAGEMENT PLAN**

***Diagram 3.2* – PROCESS 3: EXECUTE & CONTROL PROCESS ROLES**

Process 3: Execute & Control Process Activity Roles

P #	Process Activity	PMO	PM	Project Team Members	Sponsor	BTEC, CIO Work Groups	Customers &/or Stakeholders
3.1	Develop Business & Systems Requirements	Provides oversight & coaching	Ensures requirements are defined for all impacted areas	Defines or manages contractors to define requirements	Signs-off on require-ments as summary		Provide input to business requirements
3.2	Conduct RFP Procurement (if relevant)	Provides oversight & coaching	Monitors procurement activities to Project Plan	Manages procurement activities			
3.3	Execute Solution Analysis, Design & Build	Advises on technical solution	Monitors against project work plan schedule	Carries out or manages contractors to carry out development life cycle activities	Signs-off on solution approach	Approves solution approach in some cases	Provides feedback on solution in some cases
3.4	Perform Testing	Provides oversight & coaching	Ensures testing is conducted & issues are corrected or mitigated	Performs &/or manages testing			Performs user testing; Sign-off on results
3.5	Manage Scope & Change Control	Approves change requests at some thresholds	Coordinates & tracks decision making on change requests	Identifies & defines scope change conditions & requests	Approves change requests at for some thresholds	Approves change requests at some thresholds	Submits Change Requests in some cases
3.6	Manage Project Performance & Quality Assurance	Collects project status/metrics for Executive Reporting; Conducts Project Reviews	Conducts team meetings & checkpoints. Provides Project Status Reports & Metrics to PMO	Applies quality criteria. Provides status updates to PM	Reviews status and quality to determine warnings	Reviews Executive Reports; decides on actions needed	
3.7	Manage Issues & Risks	Monitors, analyzes impacts of & reports on issues & risks; assists PM with mitigation	Applies risk mitigation plan. Monitors & manages mitigation for new issues & risks.	Identifies new issues/risks; applies risk mitigation approach for known risks	Presents key issues & risks for corrective actions to Executives	Reviews PMO Executive Reports & decides on actions needed	
3.8	Manage Communications & Knowledge Capture	Provides PM coaching & collects data for PMO KM	Ensures KM capture & communications per Project Plan	Provides documents & deliverables to KM	Reviews Sponsor Project information	Reviews Executive project information	Reviews customer project information

4. IMPLEMENT & CLOSE

4.1 Implement & Close Purpose

The Implement & Close process occurs when project deliverables are nearing completion. It marks the coming together of all the activities defined in the Process 2, Project Plan Implementation Plan. The Implement & Close process serves as a checkpoint for project "roll-out" readiness and a hand-off of the project deliverables or services to the customer users and the operational owners. This includes addressing contingency planning for any known issues and/or conditions of the project's outcomes that will not be met. In addition, the Implement & Close process involves following standard procedures for closing out projects and documenting lessons learned.

Implement & Close activities, while often overlooked, are critical to the success of a project. Even if a project is delivered on time and within budget, it can end up falling short of desired results or failing altogether if it is not rolled out with a well thought through implementation plan that considers the customers, users and stakeholders. The types of activities defined in the Implementation Plan may include: verifying the project solution meets requirements; conducting a pilot test; and ensuring all plans for training, communications, and any associated change management for customers, stakeholders, and operations liaison are in order and ready to roll. Most, if not all, of these activities have lead time so for this reason as well, it is important that these activities not be addressed last minute.

4.2 Implement & Close Assumptions

In the context of this Guidebook, the Implementation & Close assumptions are as follows:

- The Implementation Plan developed in Process 2: Initiate & Plan should be continuously refined as the project proceeds through the Execute & Control process. The implementation approach is to be shared and validated with appropriate customers and stakeholders as well as the team, the Sponsor, and the PMO.

- Roles and responsibilities for the Sponsor, PMO PFM, Customers and Stakeholders are proposed in the Implement & Close Process Role matrix shown in ***Diagram 4-2.***

- The PMO, in conjunction with the PM and Sponsor, will ensure an implementation plan is developed in the project planning phase (Process 2), even if it is preliminary at that point. This is so there will be an understanding of the implementation and change management activities to occur during the course of the project as well as to plan the lead times needed for the actual implementation hand-offs (be it a system or recommendations contained in a report) that mark the completion of interim or project-end milestones.

4.3 Implement & Close Process

The Implement & Close activities are outlined in the Activity Process Matrix shown in ***Diagram 4.1***. The core process activities are listed in the left-hand column. The "Activity Description" column in the middle defines what each activity is intended to accomplish. The "Templates Used" right-hand column identifies the templates to be used to carry out the Implement & Close process activities. The templates in blue bold, underlined type are in *Appendix IV* of this Guidebook. The templates listed include those that were assumed to be developed in the Project Planning phase (Process 2) such as the Implementation Plan and the related Communications and Change Management Plan. These are identified in blue type (no underline).

The Implement & Close process activity matrix defines the core process steps for finalizing and executing the Implementation Plan. An initial version of the Project Implementation Plan is defined in *Process 2: Initiate and Plan.* The Plan will contain any implementation and change communication activities to occur during the course of the project as well as those that mark the completion and hand-off of the outcomes for appropriate operational integration. The Implementation Plan should be continuously refined and updated through the course of the Execute & Control Process as specific activities and dates are set and dependencies are brought into alignment with the plan milestones.

The primary activities of the Initiate & Plan process include:

- Conducting a project implementation readiness check point with the PMO and other review committees and / or stakeholders as appropriate to the project

- Finalizing the project implementation plan with input as needed from project team members as well as the stakeholders and customers who will be recipients of the implementation outcomes (e.g. availability for training prior to project roll-out)

- Carrying out the implementation plan (e.g. execution of training, distribution of communication materials, etc.)

- Handing off appropriate documentation to groups responsible for operations and for post implementation review measurements (e.g. Project Scorecard)

- Conducting a project post mortem evaluation and documenting lessons learned as input

4.4 Implement & Close Process Roles

The proposed alignment of functional roles with the Implement & Close process activities is provided in ***Diagram 4.2***. The primary functions involved in this process include:

- **PMO:** Provides coaching and assistance to ensure the Implement & Close process is carried out. This includes assisting to conduct the implementation readiness review, ensuring contingency planning is done where needed, reviewing communications related to PMO portfolio investments, and capturing project documents for inclusion in the PMO Knowledge Management repository.

- **Project Manager (PM):** Orchestrates implementation planning and execution. This includes ensuring the plans are complete and all actions are assigned, overseeing the satisfactory completion of activities (as determined by the recipients) and ensuring the documentation and other hand-offs to roll-out the project have taken place. This also includes overseeing any implementation and change management activities to occur during the course of the project.

- **Project Team:** Carries the Implement & Close process activity tasks as assigned. Supports Implementation Readiness Review with presentation of deliverable status and readiness.

- **Sponsor:** Provides approval or at least agreement with implementation and change management plan approach, and timing. Depending on project size and scope makes go/no go recommendation or decision on project readiness to roll-out. Reviews & signs off on key communications and related implementation materials. Ensures the hand-off to operations is successful from the recipient's point of view.

- **BTEC, CIO, Work Groups:** Provides approval for implementation plans and approach for large and highly visible projects. Depending on project size and scope makes go/no go recommendation or decision on project readiness to roll-out. Work Groups may review and sign-off on key communications and related implementation materials for large projects as well.

- **Operations, Customers, Stakeholders:** Verifies availability for training and appropriateness of timing/approach for roll-out. May provide input on implementation readiness. Provides feedback on effectiveness of training and communications. Identifies issues/concerns if problems occur during implementation execution.

Diagram 4.1 – PROCESS 4: IMPLEMENT & CLOSE PROCESS ACTIVITY MATRIX

Process 4: Implement & Close Process Activities & Templates			
P #	**Process Activity**	**Activity Description**	**Templates Used**
4.1	**Finalize project implementation plan & schedule**	Refines & finalizes preliminary Implementation Plan developed in Process 2: Initiate & Plan	▪ **IMPLEMENTATION PLAN & ASSOCIATED TEMPLATES (preliminary from Process 2)**
4.2	**Hold implementation readiness review**	Conducts implementation readiness review to assess go / no go readiness & develop contingency plans for any conditions agreed will not be met	▪ **Project Implementation Readiness Checklist**
4.3	**Schedule and carry out all required training**	Ensures all training is successfully conducted in manner & timeframe needed for implementation. Defines contingency plan for any unmet training needs	▪ **IMPLEMENTATION TRAINING PLAN (Preliminary from Process 2)**
4.4	**Finalize & execute communications & change management plans**	Verifies or updates all activities and dates for communication & change management plans. Ensures content is complete & consistent in all materials	▪ **IMPLEMENTATION COMMUNICATIONS & CHANGE MANAGEMENT PLAN (from process 2)**
4.5	**Finalize & execute operations hand-off plans**	Ensures all key operations contacts, customers and / or stakeholders are informed of implementation dates and impacts to them related to the project roll-out & operationalization. Hand-off Project Scorecard & Executive Scorecard to appropriate group to monitor & measure post implementation results	▪ **Implementation Communications & Change Management Plan (final with updates)** ▪ **PROJECT BT SCORECARD (baseline from process 3)** ▪ **PMO EXECUTIVE BT SCORECARD (with interim results from Process 3)**
4.6	**Document project delivery lessons learned**	Conduct "Lessons Learned" review with project team & other parties closely involved. Solicit customer on project implementation experience	▪ **Lessons Learned Checklist**
4.7	**Close out project**	Hand-off documentation to the PMO per expectations established in the Project Plan. Follow standard agency procedures for project close out	▪ **PROJECT COMMUNICATIONS & KM MANAGEMENT PLAN** ▪ ***Agency standard Project Close out guidelines***

Diagram 4.2 – PROCESS 4: IMPLEMENT & CLOSE PROCESS ROLES

Process 4: Implement & Close Process Activity Roles							
P #	**Process Activity**	**PMO**	**PM**	**Project Team Members**	**Sponsors**	**BTEC, CIO, Work Groups**	**Operations, Customers &/or Stakeholders**
4.1	**Finalize project implementation plan & schedule**	Provides oversight & coaching	Ensures requirements are defined & all impacted areas are covered	Approves or at least agrees with activities & approach	Validates assigned activities		Validates dates where involved
4.2	**Hold implementation readiness review**	Assists PM in conducting Readiness review	Conducts implementation readiness review	Presents project deliverable outcomes for review	Participates in Review & gives go / no decision	Participates in review on some projects for go / no go	Provides input on readiness for some projects
4.3	**Schedule and carry out all required training**	Provides oversight & coaching	Monitors training against schedule & verifies trainee satisfaction	Supports or oversees training			Validates dates to receive training
4.4	**Finalize & execute communications & change management plans**	Reviews materials for some projects; integrates to PMO communications	Ensures plan is complete & ensures materials are developed & reviewed as planned	Provides input to plans as assigned	Reviews & signs-off on materials as needed	Receives COM & CM information Socializes from executive level	Receives materials related to roll-out, etc. Provides feedback on effectiveness
4.5	**Finalize & execute operations hand-off plans**	Provides coaching & assistance	Ensure hand-off plan & materials are in order. Hand-off scorecard for PIR evaluation	Develops hand-off materials as assigned	Reviews & approves hand-off plan	Ensures manage-ment level hand-offs are socialized	Receives hand-offs Provides feedback on effectiveness
4.6	**Document project delivery lessons learned**	Provides input & receives results	Facilitates & compiles input to document lessons learned	Provides input to lessons learned	Reviews lessons learned	Reviews lessons learned	Provides feedback on roll-out experience
4.7	**Close out project**	Updates PMO Project Tracker	Follows PMO KMM & agency procedures	Hands-off project documents	Updates project status	Updates project status	Takes Ops ownership

5. EVALUATE

5.1 Evaluate Purpose

The Evaluate Process has two primary purposes. First to determine whether the investment/asset is performing as planned and second, to complete the project cycle with the identification of new needs or requirements to address continuous improvement related to the project completed or tangential impacts of this project.

To accomplish this, the Evaluate process involves conducting a Post Implementation Review (PIR) for each completed project. The goal of the PIR is to assess project performance by comparing actual results to expected benefit and improvement results to determine if the investment has delivered as planned. These results and benefits could include lowered cost, reduced cycle time, increased quality and/or additional quantity of services, or increased speed of delivery. The PIR will also consider how the project performance benefits support the accomplishment of overall agency goals (e.g. Business Transformation and PMA goals as well as broader agency mission goals and objectives).

5.2 Evaluate Assumptions

In the context of this Guidebook, the Evaluate process assumptions are as follows:

- The ability to conduct a meaningful PIR is dependent on the existence of project plan and baseline data as well as expected results for the project to be evaluated.
- The PMO will have a role in overseeing that a PIR is conducted for all projects delivered under the PMO; however, the PMO will not be the group responsible for conducting the PIR or compiling and reporting the results.
- The results of all project PIR's will be shared with the PMO as well as other appropriate stakeholders to ensure this is incorporated into the PMO's Knowledge Management repository for the benefit of other existing and future projects.

5.3 Evaluate Process

The Evaluate process activities are outlined in the Process Activity Matrix shown in ***Diagram 5.1.*** The matrix defines the core process steps for carrying out the Evaluate activities for a Post Implementation Review (PIR). In addition to the actual results gathered in the PIR, the basis for conducting the evaluation will be the Project Score Card developed in the Initiate & Plan Process (process 2). This Project Score Card will provide the desired or expected results and the measurements of success associated with each.

In the Evaluate Process Activity Matrix, the core process activities are listed in the left-hand column. The "Activity Description" column in the middle defines what each activity is intended to accomplish. The "Templates Used" right-hand column lists the "tools" that enable each activity to be carried out. The templates in blue, underlined type are in *Appendix V* of this Guidebook. This version of the Guidebook identifies only the templates that the PMO and Project Manager will be responsible for handing off as input to the Evaluate Process, including the Project Scorecard and the Executive Scorecard. These scorecards provide "planned" results and success measures against which actual results can be measured.

5.4 Evaluate Process Roles

The proposed alignment of functional roles with Evaluate process activities is provided in ***Diagram 5.2***. The primary functions proposed to be involved in this process include:

- **PMO:** Assists to conduct and tracks outcomes of post-implementation reviews to update/adjust portfolio objectives, incorporate lessons learned to PMO Knowledge Management repository and develop PMO benchmarks for future projects.

- **Sponsor:** Participates in PIR as the Sponsor. Assists to identify key groups and stakeholders to participate in the PIR. Packages results to present to management and stakeholders

- **Project Manager:** Assists Sponsor to identify key groups impacted by the project and to package results for communications.

- **Operations, Customers, Stakeholders:** Provides feedback on satisfaction and degree to which objectives have been met from their perspective.

- **Management, Policy and Metrics (MPM) Office:** Provides standards for evaluation measurements. Serves as a third party to oversee conduct of PIR. Collects project outcome data to establish bench marks for future initiatives and adjust standards if appropriate.

- **BTEC, CIO, BTEC Work Groups:** Review results to support continuous improvement or make adjustments to investments and to the processes for managing investments.

Diagram 5.1 – PROCESS 5: EVALUATE PROCESS ACTIVITY MATRIX

Process 5: Evaluate Activities & Templates			
P #	**Process Activity**	**Activity Description**	**Templates Used**
5.1	**Conduct Post Implementation Reviews**	Collect PIR data to compare actual to projected qualitative and quantitative results (e.g. objectives for improving customer satisfaction as well as operational efficiency improvements)	**PROJECT BT SCORECARD (baseline - planned results from Project Plan with space to record actual result)**
5.2	**Evaluate Initiative & Portfolio PIR results**	Analyze PIR results with respect to: - Technical & functional performance - Process improvements - Cost effectiveness / ROI - Contribution to mission - Investment delivery (time / cost to deliver actual vs. planned) - Customer, stakeholder satisfaction - Effectiveness meeting other objectives	**Project BT Scorecard (with actual results recorded)** **PMO EXECUTIVE BT SCORECARDS (with interim results from Process 3 as reference)** **PMO Executive BT Scorecard (for actual results)**
5.3	**Communicate PIR results**	Document and present PIR results & recommended changes / improvements to appropriate investment review board & Portfolio Manager	***PIR results presentation summary (To be defined by MPM)***

Diagram 5.2 – *PROCESS 5: EVALUATE PROCESS ROLES*

Process 5: Evaluate Activity Roles							
P #	**Process Activity**	**PMO**	**PM**	**MPM**	**Sponsors**	**BTEC, CIO, Work Groups**	**Operations Customers &/or Stakeholders**
5.1	**Conduct Post Implementation Reviews**	Assist to conduct & track outcomes of PIR for PMO projects	Identifies key groups to participate and participates in the role of PM for the project	Serves as 3rd party to oversee PIR	Participates in PIR in role of Sponsor		Provides feedback
5.2	**Evaluate Initiative & Portfolio PIR results**	Provides input on project execution if needed	Provides input on project background if needed	Provides standards for evaluation	Reviews & signs-off on results		Provides feedback
5.3	**Communicate PIR results**	Incorporates results to PMO KM, portfolio strategy & benchmarking	Collects & compiles outcome data to support Sponsor with project communications	Collects & compiles outcome data for bench-marking	Communicates PIR outcomes to Executive Management & stakeholders	Reviews results to support ongoing improve-ments or adjust-ments	Receives results to know what actions will be taken if there are issues

PMO GUIDE BOOK APPENDIX SUMMARY