



King County Office of

INFORMATION RESOURCE
MANAGEMENT

Project Manager Guide To PRB Reviews

Developed by Office of Information Resource Management
Version 1.1 – January 2006

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Overview

Purpose

This guide lays out the Project Review Board (PRB) process and the requirements of a project for each PRB review. For each requirement, typical elements are identified. To assist project managers, guidelines for typical phases of a technology project and typical deliverables within each of these phases are included in the Appendix. Project managers are expected to determine the actual phases, sub-phases, and deliverables necessary for project success.*

This guide also identifies the requirements of a project for reporting monthly status to enable project monitoring by the central Project Management Office in the Office of Information Resource Management. This document provides descriptions outlining the PRB process for both IT projects and IT Equipment Replacement Plans/Projects. New and revised tools are incorporated into this guide including activity related to IT projects, IT procurement efforts, and quality assurance reviews.

This is not a project management methodology, a software development lifecycle methodology, or a training guide for project managers.

Background

The King County Council created the Office of Information Resource Management (OIRM) with a central Project Management Office (PMO) to oversee projects. The OIRM and the Chief Information Officer position were established in December, 2000 with the adoption by the King County Council Ordinance # 14005. A key role and responsibility of the OIRM is to develop guidelines for the management of information technology projects and to monitor project implementation to assure projects stay on track. A Governance Structure was later adopted with a Project Review Board to review projects at phases and release the funds for the next phase.

Project Review Board Process

The Project Review Board was established by Ordinance #14155 in July 2001. The PRB is required to review projects at key phases and release funds for the next phase. Figure 1 is a diagram of the overall PRB process. The project review process begins after budgets have been appropriated by the County Council and continues through project close-out and measurement. The Project Review Board Governance Guide (linked below) further describes the role and process of the PRB and includes a copy of the Ordinance. The Chief Information Officer, Assistant County Executive, Budget Director, Department of Executive Services Director are all permanent members of the PRB.

http://kcweb.metrokc.gov/oirm/tools_templates/PRBgovern.doc

* In addition to projects determining the actual phases that correspond with their project, the PRB has recently created a new process to help project managers determine the level of PRB oversight needed during the PRB review process.

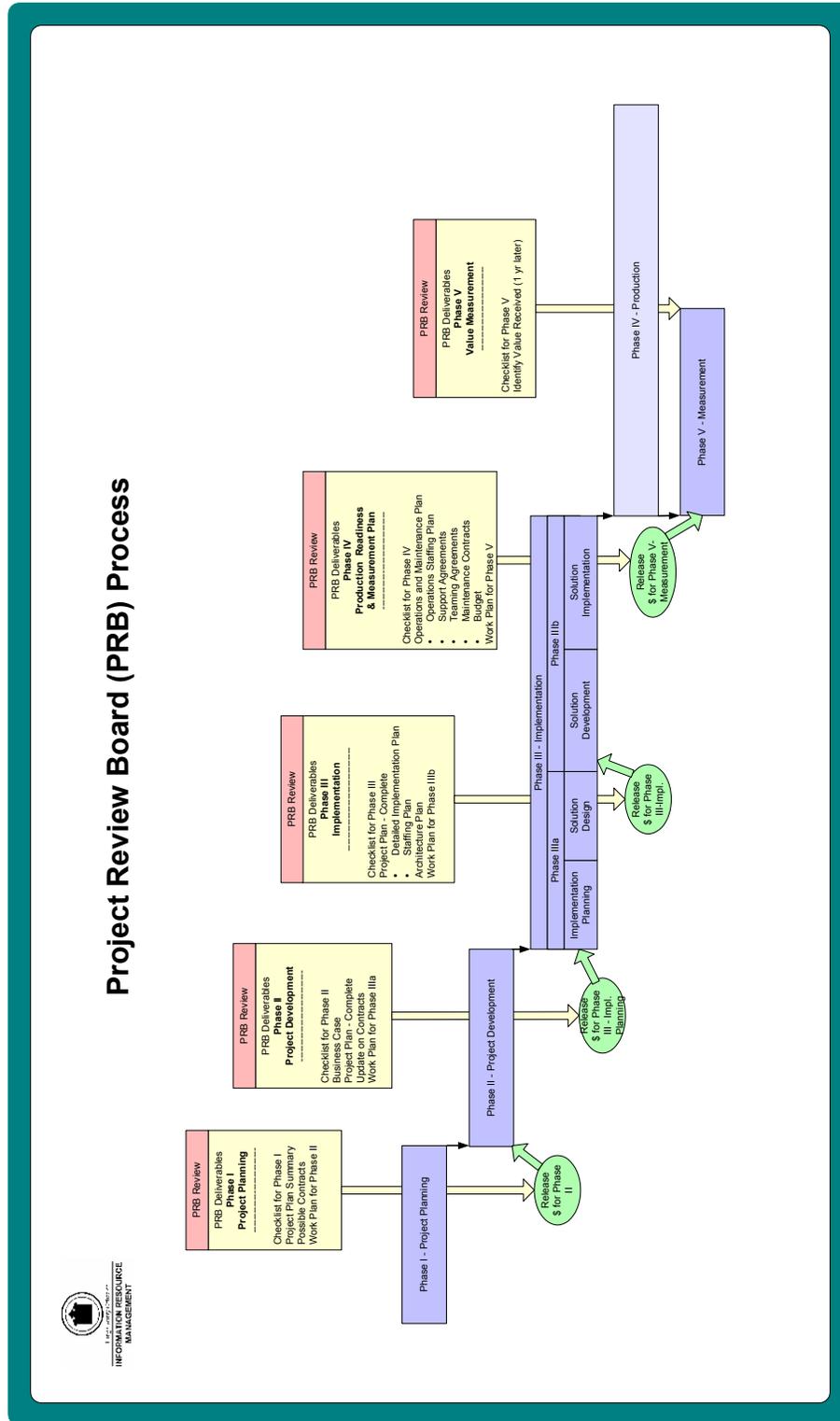


Figure 1 - Project Review Board (PRB) Process

PRB Review Process Description

The PRB requires project reviews at five standard points in a typical project* when a decision will be made on the release of funds for the next phase:

- Project Inception
- Phase 1 Review – Project Planning
- Phase 2 Review – Project Development
- Phase 3 Review – Implementation Plan
- Phase 4 Review – Production Readiness and Measurement Plan
- Project Close-out

The exact phases of a project will depend on the nature of the problem the project is addressing, but the project is expected to align its process with the standard PRB reviews. IT Equipment Replacement Plans/Projects and Low Oversight/Threshold projects have separate processes with different funding release and phase requirements further defined later in this document.

More detailed instructions for scheduling a request for funding release is located in Appendix A.

Funding Release Request

As technology projects follow the Project Review Board Process of five distinct phases, there are four points where a Release of Funds decision is required (as shown in Figure 1). Once the project manager and the OIRM-PMO have discussed the need for a funding release, the request for Release of Funds is scheduled as an agenda item for a future PRB meeting. The project manager then prepares the package of information required for the PRB meeting. The Project Review Board will move to make a decision on whether to release funds for the next phase of the project. The board members present will vote on approval/disapproval or conditional approval. The last review measures the value that the county has received during the first year of operation after completion of the project.

PRB Project Thresholds - PRB Oversight Rating for IT Projects

As stated above, a typical project is required to have five standard reviews with the Project Review Board. Occasionally, projects do not need a review as rigorous in nature due to size, budget, and/or project management experience. Therefore, the Project Review Board has developed and approved a method for agencies to complete a self-rating form (Appendix B) that identifies what level of oversight is recommended to the PRB. This form is completed by agencies for new and existing IT projects to determine their risk rating. This is reviewed by the board and an oversight level is assigned to the IT project.

* A typical IT project is a major one-time effort to plan, develop, and/or implement a data processing, telecommunications, or other technology related operation with the intent to improve the efficiency of the requesting department or to provide new or enhanced services to the public and are required to participate in the 5 phase PRB Review Process. IT Equipment Replacement Project and IT projects with a low project oversight threshold are considered different and undergo a less rigorous PRB review than a typical 5 phase IT project.

Submission of Documents for PRB Review

At each PRB review and funding release the PRB requires a set of deliverables. The reviews will normally be scheduled toward the end of a phase to give the project time to prepare all the PRB required deliverables. The project may still have other work to accomplish before completing the phase, but the deliverables required by the PRB must be complete and available prior to the project's PRB review meeting. It is assumed that the project has gone through a departmental or project steering committee review process before coming to the PRB.

At least nine work days prior to the scheduled PRB review, all required PRB documents and a signed checklist of these documents should be delivered by the project manager to the Office of Information Resource Management's central Project Management Office (PMO). These documents will be reviewed by the PMO for completeness and the project summaries distributed to members of the PRB prior to the scheduled PRB review. If required documents are missing, the PMO will cancel the PRB review and work with the project manager to obtain all the required documents and reschedule the review at a later time.

Project Review Board Deliverable Requirements

Project Inception – Appropriations for New Projects: Annual Budget Process and Mid-year IT Project Requests

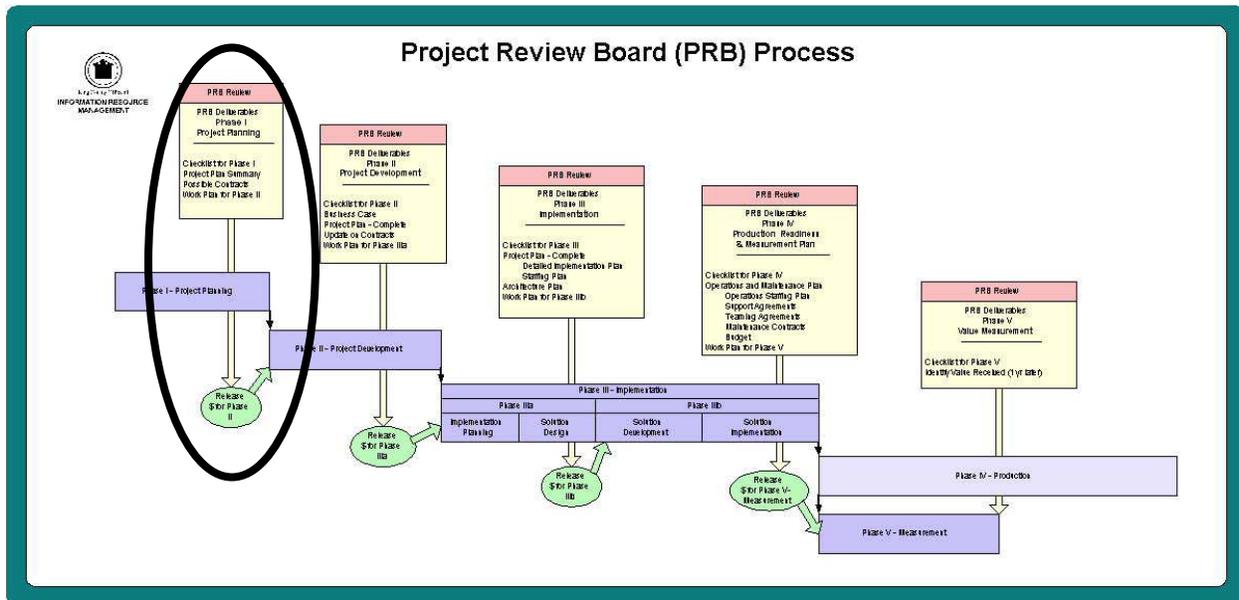
Typically, new projects are requested by King County agencies during the annual budget proposal process, which includes completion of a Preliminary Business Case and Cost Benefit Worksheet, Chief Information Officer Recommendations, and Office of Management and Budget approval between the months of June and October.

When projects are requested at times other than during the annual budget, a similar process is followed on a project-by-project basis. The agency completes a Preliminary Business Case and Cost Benefit Worksheet and then forwards it to the Office of Information Resource Management and Office of Management & Budget for review and recommendation prior to requesting supplemental appropriations. The Preliminary Business Case and Cost Benefit Worksheet are provided in Appendix C as a supplement to this guide.

The PRB Process depicted below starts after appropriation authority has been granted through the Executive and King County Council.

Phase 1 PRB Review Requirements – Project Planning

High-level initial planning of the project is done during Phase 1. It is typically conducted with non-project funds before the project team is formed and project activities begin.



There are four required deliverables for the Phase 1 PRB Review:

- Checklist of Phase 1 PRB Required Deliverables

- Project Plan Summary
- Possible Contract List
- Work Plan for Phase 2

Below, the requirements are identified for each Phase 1 required PRB deliverable.

1. Checklist of Phase 1 PRB Required Deliverables

Requirements:

- A. List of the deliverables required for this PRB review, with check marks identifying the ones being submitted for review [Appendix A]

2. Project Plan Summary

Requirements:

- A. Brief description of how the project will be managed
- B. High-level overview of the project scope
- C. Summary schedule for the entire project
- D. Summary-level budget for the entire project

3. Possible Contract List

Requirements:

- A. List of contracts the project may need to develop during the project

4. Work Plan for Phase 2 – Project Development

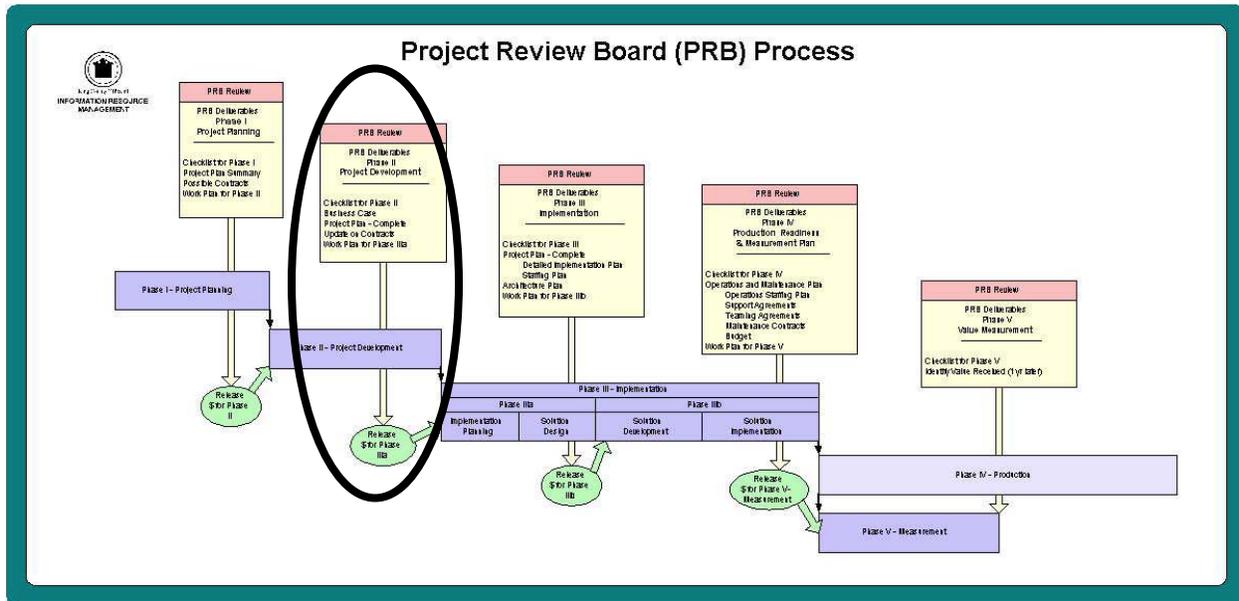
Requirements:

- A. One page summary describing the work of the next phase
- B. Detailed project schedule for the next phase
- C. Detailed budget for the next phase

Suggestions for typical information project managers may wish to cover under these requirements are included in Appendix D.

Phase 2 PRB Review Requirements – Project Development

Phase 2 is *project* development, **not** product development or system development. This is typically when business issues and requirements are documented, and alternative solutions are analyzed and selected. Phase 2 is funded with the funds released by the PRB after the Phase 1 review.



There are five required deliverables for the Phase 2 PRB Review:

- Checklist of Phase 2 PRB Required Deliverables
- Business Case
- Project Plan
- Updated Contract List
- Work Plan for Phase 3a – Implementation Planning and Solution Design

Below, the requirements are identified for each Phase 2 required PRB deliverable.

1. Checklist of Phase 2 PRB Required Deliverables

Requirements:

- A. List of the deliverables required for this PRB review, with check marks identifying the ones being submitted for review [Appendix A]

2. Business Case

Requirements

- A. One page summary describing the business reasons for this project and its anticipated costs and benefits
- B. Detailed information documenting the business needs driving this project
- C. Detailed description of the project's objectives
- D. Summarize alternative solutions, include reasons for recommending a preferred solution
- E. Detailed information documenting the quantifiable costs and benefits of the project and resulting product or service
- F. Detailed information documenting the quantifiable benefits to the public
- G. Detailed information documenting the non-quantifiable benefits of the product or service

3. Project Plan

Requirements:

- A. Detailed description of how the project will be managed
- B. Detailed description of the project scope
- C. Schedule for the entire project
- D. Budget for the entire project

4. Updated Contract List

Requirements:

- A. Updated list and description of contracts the project will need to develop and existing contracts being used or will be used for project implementation

5. Work Plan for Phase 3a - Implementation Planning & Solution Design

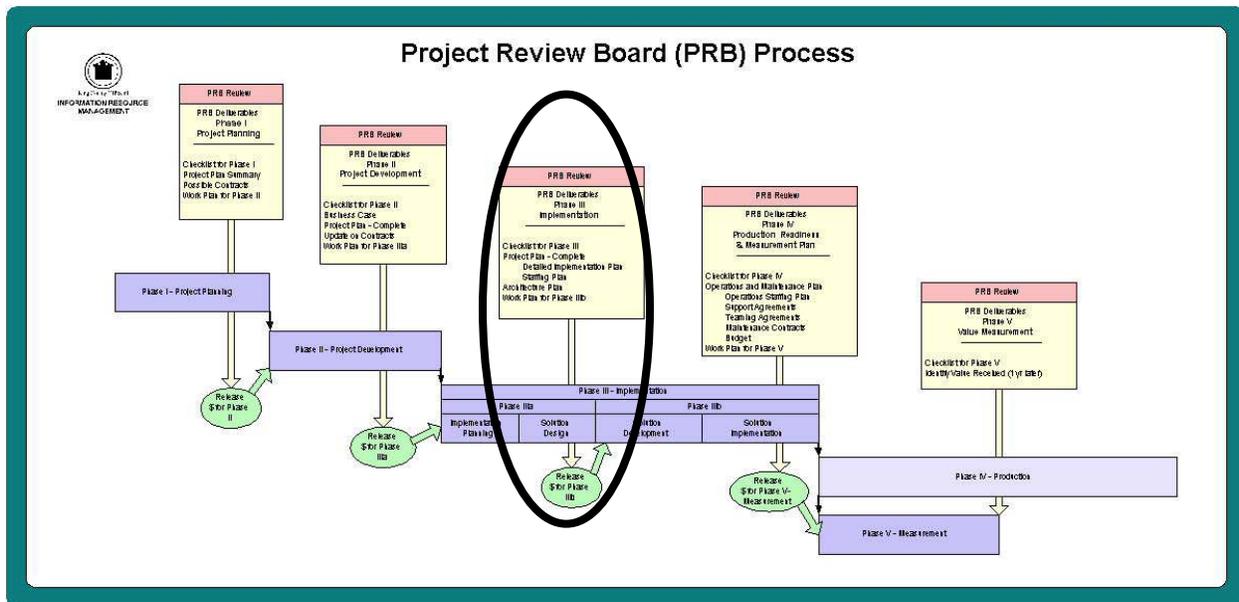
Requirements:

- A. One page summary describing the work of the next phase
- B. Detailed project schedule for the next phase
- C. Detailed budget for the next phase

Suggestions for typical information project managers may wish to cover under these requirements are included in Appendix D.

Phase 3 PRB Review Requirements – Implementation Plan

The PRB's Phase 3 review focuses on implementation planning which is done at the beginning of the project's third phase called Implementation (Phase 3a). Phase 3a is typically when the project's implementation is planned in detail and the solution's design is developed. The work for Phase 3a is funded with the funds released by the PRB after the Phase 2 review.



There are six required deliverables for the Phase 3 PRB Review:

- Checklist of Phase 3 PRB Required Deliverables
- Updated Project Plan
- Detailed Implementation Plan
- Staffing Plan
- Architecture Plan
- Work Plan for Phase 3b – Solution Development and Solution Implementation

Below, the requirements are identified for each Phase 3 required PRB deliverable.

1. Checklist of Phase 3 PRB Required Deliverables

Requirements:

- A. List of the deliverables required for this PRB review, with check marks identifying the ones being submitted for review [Appendix A]

2. Project Plan

Each of the following components of the project plan is a required PRB deliverable:

2.1. Updated Project Plan

2.2. Detailed Implementation Plan

2.3. Staffing Plan

Requirements:

- A. Detailed description of how the project will be managed
- B. Detailed description of the project scope
- C. Schedule for the entire project
- D. Budget for the entire project
- E. Detailed information documenting the project's implementation plan
- F. Detailed information documenting the project's staffing plan

3. Architecture Plan

Requirements:

- A. Detailed description of the applications architecture
- B. Detailed description of the database architecture
- C. Detailed description of the platform architecture
- D. Detailed description of the network architecture
- E. Detailed description of all new technologies the project will utilize

4. Work Plan for Phase 3b - Solution Development and Implementation

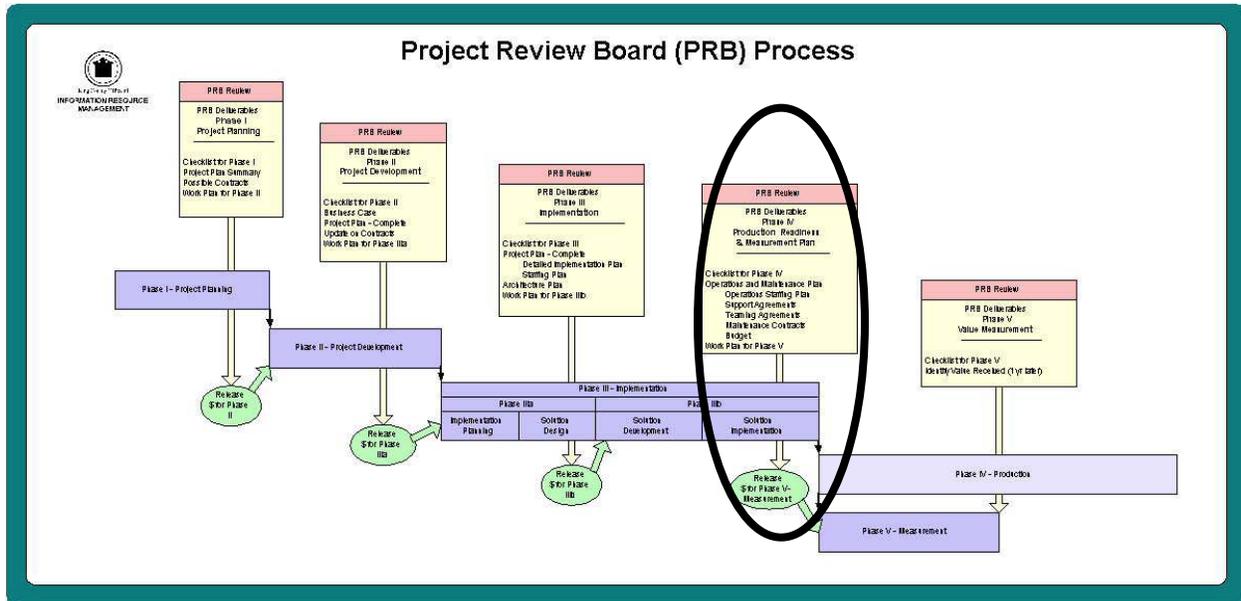
Requirements:

- A. One page summary describing the work of the next phase
- B. Detailed project schedule for the next phase
- C. Detailed budget for the next phase

Suggestions for typical information project managers may wish to cover under these requirements are included in Appendix D.

Phase 4 PRB Review Requirements – Production Readiness & Measurement Plan

The Phase 4 PRB Review covers work done in the second half of the project’s Implementation phase (Phase 3b). Phase 3b is when the solution is developed, tested, and implemented. Plans are developed for operations and maintenance of the production environment, and for how value derived from this project will be measured in the future. Phase 3b is funded with the funds released by the PRB after the Phase 3 PRB Review.



There are eight required deliverables for the Phase 4 PRB Review:

- Checklist of Phase 4 PRB Required Deliverables
- Operations and Maintenance Plan
- Operations Staffing Plan
- Support Agreements
- Teaming Agreements
- Maintenance Contracts
- Operations and Maintenance Budget
- Work Plan for Phase 5

Below, the requirements are identified for each Phase 4 required PRB deliverable.

1. Checklist of Phase 4 PRB Required Deliverables

Requirements:

- A. List of the deliverables required for this PRB review, with check marks identifying the ones being submitted for review [Appendix A]

2. Operations and Maintenance Plan

Each of the following components of the operations and maintenance plan is a required PRB deliverable:

- 2.1 Operations Staffing Plan**
- 2.2 Support Agreements**
- 2.3 Teaming Agreements**
- 2.4 Maintenance Contracts**
- 2.5 Budget**

Requirements:

- A. Detailed description of the operational environment
- B. Detailed information documenting the operations staffing plan
- C. Documentation of support agreements for business and systems support
- D. Documentation of teaming agreements for cross-agency business support
- E. Documentation of maintenance contracts with vendors
- F. Detailed operations and maintenance budget

3. Work Plan for Phase 5 - Measurement

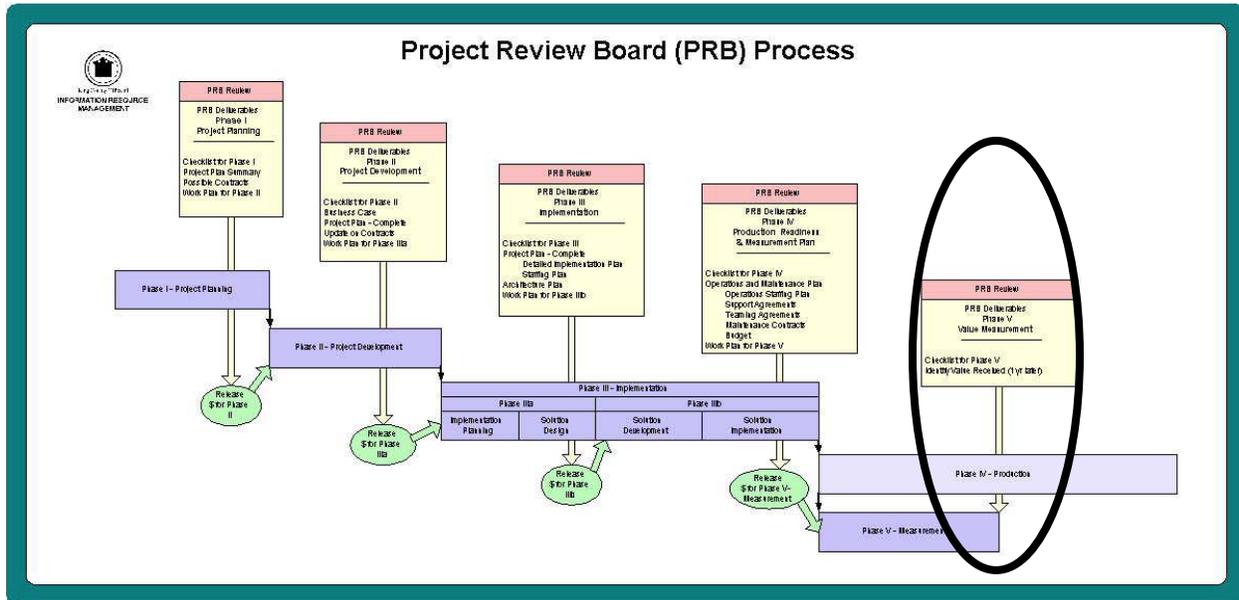
Requirements:

- A. One page summary describing the work of the next phase to develop quantitative measures and to measure value achieved by the project
- B. Detailed project schedule for the next phase
- C. Detailed budget for the next phase

Suggestions for typical information project managers may wish to cover under these requirements are included in Appendix D.

Phase 5 PRB Review Requirements – Value Measurement

The Phase 5 PRB Review is when the value received from implementing the project's product or service is evaluated and compared to the value projected in the business case.



There are two required deliverables for the Phase 5 PRB Review:

- Checklist of Phase 5 PRB Required Deliverables
- Value Received

Below, the requirements are identified for each Phase 5 required PRB deliverable.

1. Checklist of Phase 5 PRB Required Deliverables

Requirements:

- A. List of the deliverables required for this PRB review, with check marks identifying the ones being submitted for review [Appendix A]

2. Value Received

Requirements:

- A. Documentation of the value received after one year of operation from the product or service provided by the project as compared to the value projected in the business case

Suggestions for typical information project managers may wish to cover under these requirements are included in Appendix D.

Project Close-Out

When an information technology project is completed, the project manager notifies the board by noting the project is completed with completion date on the Project Monthly Monitoring Checklist. At this point, no further monthly monitoring is required.

The approved procedures and forms for Project Close-Out are located in Appendix E of this document.

There are two required deliverables for Project Close-out:

- Project Close-out Checklist of Activities and required deliverables for the PRB Review
- Project Close-out Summary Report

1. Project Close-out Checklist

Requirements:

- A. List of Activities and required deliverables for PRB Review that includes signatures of the project manager, project sponsor/steering committee and the department director.

2. Project Close-out Summary Report

Requirements:

- A. Documentation of the project description, results, variance and a summary explanation of what the project accomplished – highlighting relevant project scope, schedule, and budget information from the close-out documentation.

IT Equipment Replacement Plans/Projects

In December 2003, the Project Review Board agreed that each IT equipment replacement plan is required to follow the PRB Process for funding releases. However, due to the unique aspects of IT equipment plans/projects the PRB developed a separate funding release process for approving agency IT equipment spending. Each agency is expected to set up and maintain an IT equipment replacement plan. The plan provides support for managing assets and for planning to set aside funds to replace or procure IT equipment as part of the budget process.

The following is a list of the procedures used to complete the review and approval of agency IT equipment replacement funding release requests through the Project Review Board (PRB). IT Equipment Replacement funding release forms and procedures documentation are located in Appendix F of this document.

There are two required deliverables for IT Equipment Replacement Plans/Projects:

- IT Equipment Replacement Funding Release Form
- IT Equipment Replacement Plan

1. IT Equipment Replacement Funding Release Form

Requirements:

- A. A completed IT Equipment Replacement Funding Release Form to request a funding release from the Project Review Board with department director approval and signature.

2. IT Equipment Replacement Plan

Requirements:

- A. Each agency is expected to set up and maintain an IT equipment replacement plan. The plan provides support for managing assets and for planning to set aside funds to replace or procure IT equipment as part of the budget process.

The completed funding release form is reviewed and approved by the CIO on behalf of the PRB.

Project Monthly Monitoring

Projects will be monitored by the Office of Information Resource Management's Project Management Office. Project managers are required to complete a monthly monitoring checklist form with department director approval for each active information technology project. This is sent to the OIRM-Project Management Office the first working day of each month.

Project Status

Requirements:

- A. Documentation of project progress, including changes to scope, schedule and budget issues
- B. Documentation of changes in risk and issues impacting the project

Requirements For Completing the Monthly Monitoring Checklist	Suggested Information Project Managers May Wish to Cover under the Requirement
Scope, Schedule & Budget	<ul style="list-style-type: none"> ▪ Brief description of changes to scope of project if changes impact schedule or budget. ▪ Brief description of changes to schedule, if changes impact scope or budget. Provide new project end date, if changed. ▪ Brief description of changes to budget, if changes impact scope or schedule. If project contingency is needed, the PRB needs to approve. Explain if additional appropriation is needed. ▪ When project is complete, provide completion date on the schedule line.
Risks & Issues	<ul style="list-style-type: none"> ▪ Brief description of any priority outstanding issues or risks, if they have high likelihood of impacting the scope, schedule or budget of the project.
Financial Information	<ul style="list-style-type: none"> ▪ Life-to-Date Appropriated Budget - Including all appropriated funds (operating and capital and contingency) ▪ Life-to-Date Expenditures ▪ Amounts Committed/Obligated ▪ Budget Remaining on the Project - Appropriated Budget – Expenditures – Unused Contingency ▪ Estimated Amount to Complete Project
Schedule Information	<ul style="list-style-type: none"> ▪ Approved start and complete date ▪ Actual start and projected complete date

Appendix G. includes procedures and Project Monthly Monitoring Checklist form.

Project Quality Assurance

The Project Review Board decided, in its February 19, 2003 meeting, that it would “direct Quality Assurance Reviews and Project Audits on information technology projects on an as-needed basis. Funding for this activity will come from project contingency budgets.” IT Project Quality Management is composed of 1) Project Oversight and 2) Quality Assurance. The Project Oversight assesses project management practices and the Quality Assurance assesses the quality of deliverables and quality specifics of the current project phase.

Triggers for PRB to Initiate a QA Review

- The project has self-rated itself yellow, and is having trouble developing a suitable corrective action plan.
- The project has self-rated itself red.
- The project exhibits one or more of the following project warning signs
- Lack of evidence of good project management
- Critical milestone is missed, or is going to be missed
- Budget is being spent faster than projected
- Project scope is changing
- High priority, critical issues are not being resolved
- Project has no risks identified

Additionally, through a competitive bid process, OIRM has created a pool of external consultants with proven track records in the public and private sectors and has entered into master contracts with five (5) of these consultants for the purpose of assisting projects toward a successful completion. King County agencies may use these experts without going through a separate competitive procurement process, saving considerable time and money. All costs for external consultants are paid by the requesting agency.

The PRB developed Quality Assurance Methodologies overview is in Appendix H, along with a Project Warning Signs checklist tool.

Appendix A. Checklist of Required Deliverable for PRB Reviews

The following is a list of the procedures to use when requesting an information technology project Funding Release through the Project Review Board.

What triggers this process?

As technology projects follow the Project Review Board Process of five distinct phases, there are four points where a Release of Funds decision is required. Once the project manager and the OIRM-PMO have discussed the need for a funding release, the request for Release of Funds is scheduled as an agenda item for a future PRB meeting.

Steps to PRB Release of Funds Reviews

The project manager then prepares the package of information required for the PRB meeting. This includes the following:

- ✓ A completed form: Appendix A. Checklist of Required Deliverables for PRB Reviews that includes signatures of the project manager, project sponsor/steering committee and the department director.
- ✓ A draft of the Presentation Template for the project, at the following weblink: http://kcweb.metrokc.gov/oirm/tools_templates/FundingReleasePresentationTemplate.doc, including a brief summary with the project description, amount being requested, an explanation of what the requested amount will be used for - highlighting relevant project schedule information from the deliverables documents, and project status including what's been accomplished to date.
- ✓ One set of the required deliverables sent electronically to the OIRM-PMO. Schedule for this is on the PRB Schedule at the following weblink: <http://kcweb.metrokc.gov/oirm/PRB/PRB-Schedule.xls> (This is not part of the package for the board members.)
- ✓ OIRM staff will work with agency staff to complete the Presentation Template for PRB packets.
- ✓ The project manager and other pertinent staff are prepared to present their request to the PRB and answer questions for release of project funds at the board meeting.

The OIRM-PMO confirms the agenda items for the scheduled PRB meeting with all those who will be presenters at the meeting.

The Project Manager will have a copy of the required deliverables at the PRB meeting for reference only. The Project Manager will be prepared to answer questions from the PRB members.

The Project Review Board will move to make a decision on whether to release funds for the next phase of the project. The board members present will vote on approval/disapproval or conditional approval. There must be a quorum of two board members to vote.

Project Manager Guide to PRB Reviews Typical Elements of Phased PRB Deliverables

Checklist of Required Deliverables for PRB Reviews – Revised as of 05/29/03

This checklist is a table of contents for the deliverables required for the Project Review Board to approve a release of funds for this project. The signatures confirm the deliverables documentation has been reviewed and is complete.

Project Name	Agency
Project Manager Signature	Telephone
Project Sponsor/Steering Committee/Oversight Committee Signature	Date
Department Director Signature	Date

Phase	Deliverable	Complete and Reviewed <small>(please indicate yes or no)</small>	Amount Requested <small>(by Phase)</small>
Phase 1 - Project Planning Review			
	Project Plan Summary		
	Possible Contract List		
	Work Plan for Phase 2		\$
Phase 2 – Project Development Review			
	Business Case		
	Project Plan		
	Updated Contract List		
	Work Plan for Phase 3a		\$
Phase 3 – Implementation Planning Review			
	Updated Project Plan		
	Detailed Implementation Plan		
	Staffing Plan		
	Architecture Plan		
	Work Plan for Phase 3b		\$
Phase 4 – Production Readiness & Measurement Plan Review			
	Operations Staffing Plan		
	Support Agreements		
	Teaming Agreements		
	Maintenance Contracts		
	Operations and Maintenance Budget		
	Operations & Maintenance Plan (Phase 4)		\$
	Work Plan for Phase 5		
Phase 5 – Value Measurement Review			
	Value Received		

Appendix B. Project Oversight Rating Instructions

These are instructions for completing a rating form used to assess the risk of IT projects. The four factors used to determine project risk rating are:

- | | |
|--------------------------------------|---------------------------|
| 1) <i>Project size</i> | 3) <i>Team experience</i> |
| 2) <i>Project manager experience</i> | 4) <i>Project type</i> |

To complete the Self-Rating form, determine the rating for each project evaluation factor.

HIGH = 3

MEDIUM = 2

LOW = 1

Factor 1: Project Size

This factor rates the project on size, primarily based upon one time cost estimates and secondarily, upon project duration.

Step 1: Rate the project by estimated one-time costs as follows:

Estimated one-time Costs	Rating
Greater than \$500,000	High
\$50,000 to \$500,000	Medium
Under \$50,000	Low

Step 2: Adjust low and medium ratings in the above upward by one rating level if the estimated time period from project approval to “go live” is greater than twelve (12) months.

Factor 2: Project Manager Experience

This factor rates the risk based on the project manager’s experience on similar efforts.

Project Manager	Rating
Has not completed a like project in a project manager role.	High
Has successfully completed one like project in a project manager role.	Medium
Has successfully completed two or more like projects in a project manager role.	Low

Factor 3: Team Experience

This factor rates the risk based on the experience of the project team key staff. The project team consists of all project staff reporting to the project manager, including contractor staff, if applicable.

Step 1: Evaluate the experience of each key staff member, including contractor staff, for completion of like projects in key roles.

Like Projects Completed by at Least 75% of Key Staff	Rating
None	High
One	Medium
Two or more	Low

Factor 4: Project Type

This factor rates the technical complexity of the work being undertaken.

Technical complexity is only appropriate for projects that deliver a solution which impacts the current technical environment through new hardware and /or software. Solution Delivery projects should utilize the table below by performing steps 1 and 2 for table A.

For IT projects that don't impact the technical environment, please use the LOW or 1 rating factor. [Examples of projects that don't impact the technical environment include Plan/Document Delivery projects and Process Improvement projects]

Step 1: Using Table A below, "Elements of Project Type," circle the rating for each applicable element.

Step 2: Assign the rating for this factor based upon the highest rating from among all of the elements circled in Step 1.

Table A: Elements of Project Type

Component	Activity Category	Affected Element	Rating
Hardware	New Install	Local Desktop / Server	Low
		Distributed / Enterprise Server	Medium
	Update / Upgrade	Local Desktop / Server	Low
		Distributed / Enterprise Server	Low
	Infrastructure	Local Network / Cabling	Low
		Distributed Network	Medium
Data center / Network Operations Center/Wireless/Radio		High	
Software	Custom Development	Local Desktop / Server	Low
		Distributed / Enterprise Server	High
	COTS Installation (new)	Local Desktop / Server	Low
		Distributed / Enterprise Server	High
	Custom Update / Upgrade	Local Desktop / Server	Low
		Distributed / Enterprise Server	High
	COTS Update / Upgrade	Local Desktop / Server	Low
		Distributed / Enterprise Server	Medium
	Infrastructure	Middleware	Medium
		Layered Product	Medium
DBMS		Medium	
Non-technical	N/A	N/A	Low

Computation of the Overall Project Rating

After determining the rating for each evaluation factor, a single rating of high, medium, or low must be assigned to each project. Please use the self-rating form to compute.

Project Manager Guide to PRB Reviews Typical Elements of Phased PRB Deliverables

Project Oversight Rating Form

Project Name: _____
Brief Project Description: _____

Project Duration: _____

Department: _____ Director Signature: _____

1. Project Size:

Estimated one-time costs*	Rating	Score
\$ _____		

**Adjusted up a rating for projects longer than 12 months*

2. Project Manager Experience:

Project Manager	Rating	Score
Name: _____		

3. Project Type:

Key Project Staff	Rating	Score
Names: _____		

4. Type of Experience:

Component	Activity Category	Rating	Score
Hardware	New Install		
	Update/ Upgrade		
	Infrastructure		
Software	Custom Development		
	COTS Installation (new)		
	Custom Update/Upgrade		
	COTS Update/Upgrade		
	Infrastructure		
Non-technical	N/A		

Compute Project Score:

Total Rating	=	
<i>Add the total ratings for #1-4</i>		
FINAL Rating	=	

Divide Total Rating by four (4)

Assign Level to Final Rating:

Final Rating	Level
2.26 – 3.0	3 – phased funding releases
1.51 – 2.25	2 – single fund release
1.0 – 1.5	1 – project monthly monitoring

The project Review Board may raise the rating of project oversight based on additional factors such as past project performance by the sponsoring department or substantial risks identified with the project.

Appendix C. 2006 Budget - Preliminary Business Case and Cost Benefit Worksheet



Information Technology Business Case Cover Page

Project Title:	
Project Subtitle:	
Project Number: (If Existing Project)	
Date of Submittal: (Submission date will be used to identify the most current version)	
Agency/Department:	
Business Sponsor:	
Prepared By:	

Project Benefit Alignment: [\[Reference: KC IT Goal Definitions\]](#)

	Accountability/ Transparency	Customer Service/Access	Efficiency	Risk Management
P = Primary (only 1) S = Secondary (many)				

Change Summary:

	Conceptual Review	Budget Request	PRB Phase II	Other	Value Measure ment
Project Start Date					
Project Complete Date					
Proj Cost- Current Request					
Proj Cost – Prior Appro (If applicable)					
Total Project Costs					
Annual O & M					
Annual Cost Savings					

Executive Summary ©

A brief Executive Summary is required.

Executive summaries will form the basis for, and be included in, the county-wide proposed Technology Business Plan submitted with the Executive Proposed Budget.

The executive summary should briefly describe the essence of the problem statement, recommendations, expected outcomes, and risks. Also a very high level statement of project cost, financial benefits, and O&M costs should be included. (Do not cut and paste extensive cost detail from section 2.0 in the executive summary)

Problem Statement/Vision and Goals ©

A problem statement clearly defines the problem, need, or opportunity. A well-defined problem statement will define and shape the rest of your business case.

Vision statement: “How will things be different when this problem is solved?”

[Reference: [“Making Smart IT Choices”](#) – Page 36-7]

Overview / Background ©

Provide helpful background and historical information regarding the IT initiative.

Constraints, Criteria, Dependencies & Other Issues ©

List assumption concerning functionality or conditions of the IT project that are certain or fixed. Such as budget, schedule, quality, interface with existing technology, training, support levels, legal requirements.

Discuss major challenges and contingencies for implementing the IT initiative (i.e. staffing, training) and how to address them.

Specific Business Objectives ©

Correlate project goals to the Strategic Technology Goals, IT Guiding Principles, and your department Strategic Business Plan. Indicate if your department has a strategic technology plan and how this project correlates with it.

Express project goals in specific terms that people will understand.

Projects should tie to specific business objectives that the business case can support convincingly. The project should have a measurable positive impact on these stated objectives.

[Reference: [Strategic Technology Plan](#) – Page 38]

[Reference: [Strategic Technology Plan - IT Guiding Principles](#)]

Project Risks

©

Maintain a statement of risks associated to the implementation of the project. Include risk mitigation methods and plans, key dates, and responsibilities.

Important Note: Risks and other impacts to existing process, customers, employees, and technology infrastructure resulting from doing or NOT doing this project should be described in section 1.7.

[Reference: "[Making Smart IT Choices](#)" – Page 42]

[Reference: [TOR Guidelines – Risk Assessment](#) Page 5]

[Reference: [TOR Risks Checklist](#)]

Plan of Work, Approach, Timeline ©, Key Milestones ©

Discuss project approach and tasks that will be performed in order to accomplish stated goals. Timelines are an effective way to demonstrate an overview of project requirements and the associated time estimates for key project tasks and milestones. Ensure that workplans include tasks and milestones for technical components as well as business components.

[Reference: "[Making Smart IT Choices](#)" – Page 43]

Benefits and Other Impacts ©

The primary reason for a business case is to explain how your IT project will benefit and improve the organization. This section addresses the fundamental questions of what are the specific benefits of implementing the proposed IT action and how are they *related to the stated business objectives*. The supporting models, tables, graphs, expert statements, and analysis that are used should be developed based on the unique needs of your proposal. They must be factual and credible in order to be convincing. This section should also describe other impacts and potential consequences of implementing the IT initiative.

A centerpiece of the business case is the financial model. A summary of this analysis should be presented in the business case text. Supporting analysis spreadsheets should be provided as an appendix.

[Reference: "[Making Smart IT Choices](#)" – Page 40]

[Reference: [TOR Guidelines – Impact analysis and Cost/Benefit Analysis](#) – Page 11]

[Reference: [TOR Benefits Checklist](#)]

Customer Benefits and Other Impacts

Discuss the direct or indirect benefits and other impact the project will have on your existing customers or service levels. This section should address specific constituent issues such as greater transparency and accountability.

Employee Impacts

Describe the direct or indirect impact the project will have on your employees. Describe potential efficiencies, FTE changes, and productivity as well as training requirements and other impacts.

Business Process Benefits and Other Impacts

Describe the direct or indirect impact the project will have on the organizational process. Describe how the IT project will improve business processes and create efficiencies.

Technology Infrastructure Benefits and Other Impacts

Discuss the benefits and other impacts the initiative will have on existing technology infrastructure, including hardware, software, network, support staff and other areas.

Cost Benefit Analysis

Discuss costs and benefits associated with the project and the impacts of the project on the costs of on-going operations. Benefits that can be quantified should be so that cost/benefit numbers can be calculated and discussed. Supporting spreadsheets, calculations and assumptions should be included in section 2.

[Reference: [TQR CBA Worksheet](#)]

Project Governance ©

Describe the Governance Structure listing steering committees members and other oversight groups.

Project Management ©

Describe how the project will be managed.

[Reference: "[Making Smart IT Choices](#)" – Page 44]

Project Staffing

Conceptual Review – Summary: FTE, TLT and other staffing. ©

Budget Request – Staffing Plan

PRB Funding Release – Resource Loaded Staffing & Work Plan

[Reference: "[Making Smart IT Choices](#)" – Page 44]

Architecture and Interoperability ©

Explain how the new initiative will affect current IT environment/architecture and discuss any interoperability issues or concerns.

[Reference: [TQR Solution Outline Checklist](#)]

Hardware/Network

Discuss new hardware or network requirements. Will new servers be required? If so, where will they reside? Address any network issues such as increased bandwidth or connectivity issues, internal network concerns, or performance issues.

Software/Integration/Database

Determine if any new software or software upgrades are required. Is a new database needed? Will it function properly with existing software versions? Discuss any system interdependencies, and integration points that will need to be maintained or created.

Internet/Security

Describe how the project fits into the existing internet and security infrastructure. Will any changes be required?

Alternatives and Feasibility

Detail viable alternatives and other potential approaches to achieving the business objectives. For each technical solution identified, complete a brief feasibility analysis and add a column to the alternatives summary table.

[Reference: [“Making Smart IT Choices”](#) – Page 46]

[Reference: [TOR Guidelines – Alternatives Identification and Feasibility Analysis](#)– Pages 10&11]

[Reference: [TOR Alternatives Checklist](#)]

[Reference: [TOR template](#) – (alternatives summary table – page 5 and Feasibility table – Page 7)]

Preferred Approach

Describe the recommended solution.

[Reference: [“Making Smart IT Choices”](#) – Page 39]

[Reference: [TOR Completeness checklist](#)]

[Reference: [TOR sponsorship checklist](#)]

Key Success Factors ©

Identify the measurements techniques that will be used to determine success

Opposing Arguments and Responses ©

Provide any significant opposing views and discussions that have been raised to date.

[Reference: [“Making Smart IT Choices”](#) – Page 47]

Cost Estimates

For Conceptual Review Use Table: ©

Total Costs	% Vendor Costs to Total Costs	Number of FTE's/TLT's	Number of Months of Project
Under \$50,000			
\$50,000 - \$250,000			
\$250,000- \$500,000			
\$500,000 - \$1,000,000			
\$1,000,000 - \$3,000,000			
Over \$3 Million			

Also, describe funding sources for project.

For Budget Submittal Request and PRB Funding Release use the cost benefit worksheet Forms identified below and insert.

[Reference: [“Making Smart IT Choices”](#) – Page 45]

[Reference: [TOR CBA worksheet](#) – read instructions tab, show supporting calculations and assumptions]

Vendor Evaluation

Vendor Background

Provide any relevant background information.

Current Vendor (if applicable)

List and describe incumbent vendor

Selection Process Overview

Describe the selection process

Selection Criteria

Describe the criteria used to compare and evaluate potential vendors

Potential Vendors

List all considered Vendors. If any have been eliminated, list them separately and provide the reasons for their elimination.

Vendor Comparison

Include company history, experience, financial stability, reputation, and prior experience with the county along with RFP or RFI response comparisons.

Vendor Recommendation and Justification

Name the recommended Vendor and state the reasons for this selection over other potential choices.

Summary - Form 1																			
1	Project Name		Project X				Solution Alternative		1 - Recommended										
2	Submittal Date		Jun-05				Version		1 - Budget Submission										
3	<i>Input data in white cells only</i>																		
4	Year	2006	2007	2008	2009	2010	2011	2012	TOTAL										
5	Project Costs - Current Request	0	0	0	0	0	0	0	0										
6	Contingency % (See Tab A)	20%	20%	20%	20%	20%	20%	20%	20.00%										
7	Contingency \$	0	0	0	0	0	0	0	0										
8	Project Costs - Prior Appropriations	0	0	0	0	0	0	0	0										
9	Total Project Costs	0	0	0	0	0	0	0	0										
10	Operating Costs	0	0	0	0	0	0	0	0										
11	Total Cost Outflows	0	0	0	0	0	0	0	0										
12	Benefits	0	0	0	0	0	0	0	0										
13	Net Annual Cash Flow	0	0	0	0	0	0	0	0										
14	Cumulative Cash Flow	0	0	0	0	0	0	0	0										
15	Net Present Value	0	0	0	0	0	0	0	0										
16	Identify Revenue Sources																		
17	Project								0										
18	Project								0										
19	Project								0										
20	Total Project Revenue	0	0	0	0	0	0	0	0										
21	O&M								0										
22	<table border="1"> <thead> <tr> <th>Cost of Capital</th> <th>Breakeven Period Non-Discounted</th> <th>Breakeven Period Discounted</th> <th>NPV \$ (7 yr)</th> <th>IRR %</th> </tr> </thead> <tbody> <tr> <td>7.00%</td> <td>No Payback</td> <td>No Payback</td> <td>0</td> <td>NA</td> </tr> </tbody> </table>									Cost of Capital	Breakeven Period Non-Discounted	Breakeven Period Discounted	NPV \$ (7 yr)	IRR %	7.00%	No Payback	No Payback	0	NA
Cost of Capital	Breakeven Period Non-Discounted	Breakeven Period Discounted	NPV \$ (7 yr)	IRR %															
7.00%	No Payback	No Payback	0	NA															
23	<p>* - "Non-Discounted" represents breakeven period for cumulative cash flow (no consideration of time value of money) * - "Discounted" considers effect of time value of money through incremental Net Present Value.</p>																		
24	Summary Form 1 / Project Costs - Form 2 / Project Labor Costs - Form 2A / Ongoing O & M Costs- Form 3																		

Appendix D. Suggestions for PRB Deliverables

Typical Elements of Phase 1 PRB Deliverables

PRB Deliverables	Requirements for each Deliverable	Suggested Information Project Managers May Wish to Cover under each Requirement
Project Plan Summary	How the Project will be Managed	<ul style="list-style-type: none"> ▪ Brief description of the project's: <ul style="list-style-type: none"> ➤ Charter ➤ Organization and management plan ➤ Communication and project reporting plan ➤ Issue and action item plan ➤ Risk management plan ➤ Quality management plan ➤ Change management plan
	Project Scope	<ul style="list-style-type: none"> ▪ High level overview of: <ul style="list-style-type: none"> ➤ Project description ➤ What's in scope ➤ What's not in scope
	Summary Schedule	<ul style="list-style-type: none"> ▪ Gantt chart for the entire project with: <ul style="list-style-type: none"> ➤ Phases ➤ Major deliverables ➤ Major milestones ➤ Dates
	Summary-level Budget	<ul style="list-style-type: none"> ▪ Lifetime by year by account for the entire project with: <ul style="list-style-type: none"> ➤ Salaries and benefits ➤ Miscellaneous supplies ➤ Consulting ➤ Contract employees ➤ Travel ➤ Training ➤ Printing ➤ ITS support ➤ Hardware/software ➤ Contingency ➤ Other (specify) ▪ Budget assumptions
Possible Contract List	List of Possible Contracts	<ul style="list-style-type: none"> ▪ Brief description of each contract with: <ul style="list-style-type: none"> ➤ Estimated amount of each contract ➤ Estimated time period for each contract

Project Manager Guide to PRB Reviews Typical Elements of Phased PRB Deliverables

PRB Deliverables	Requirements for each Deliverable	Suggested Information Project Managers May Wish to Cover under each Requirement
Work Plan for Phase 2 – Project Development	One Page Summary Describing the Work of the Next Phase	<ul style="list-style-type: none"> ▪ High level overview of: <ul style="list-style-type: none"> ➤ Significant project activities ➤ Approach and techniques ➤ Major deliverables description ➤ Major milestones description ➤ Project dependencies ➤ Budget release request for next phase ➤ Begin and end schedule dates for next phase
	Detailed Schedule for Next Phase	<ul style="list-style-type: none"> ▪ Resource loaded Gantt chart with: <ul style="list-style-type: none"> ➤ Phases ➤ Tasks ➤ Resources (assigned to tasks) ➤ Deliverables ➤ Milestones ➤ Dates
	Detailed Budget for Next Phase	<ul style="list-style-type: none"> ▪ Budget detail (for each item of the budget) ▪ Spending plan ▪ Budget assumptions

Typical Elements of Phase 2 PRB Deliverables

PRB Deliverables	Requirements for each Deliverable	Suggested Information Project Managers May Wish to Cover under each Requirement
Business Case	One Page Summary	<ul style="list-style-type: none"> ▪ High level overview of: <ul style="list-style-type: none"> ➤ Project objectives ➤ Project description ➤ Significant business needs and requirements ➤ Solution recommendations ➤ Summary costs ➤ Significant quantifiable and non-quantifiable ➤ Financial payback ➤ Project schedule start and stop dates
	Typical Elements	See business case web page http://kcweb.metrokc.gov/oirm/tools_templates/business_case_tools.htm
	Business Needs Driving this Project	
	Project Objectives	<ul style="list-style-type: none"> ▪ Strategic goals and objectives ▪ Business goals and objectives ▪ System goals and objectives
	Quantifiable Costs and Benefits for the County	<ul style="list-style-type: none"> ▪ Total development costs by account and year ▪ Quantifiable benefits by year <ul style="list-style-type: none"> ➤ Hard dollar revenue ➤ Hard dollar reimbursements ➤ Hard dollar cost reductions ➤ Other hard dollar benefits ➤ Soft dollar cost avoidance ➤ Other soft dollar benefits ▪ Operating and maintenance costs by account and year ▪ Payback <ul style="list-style-type: none"> ➤ Break-even point in years ➤ Net present value ➤ Internal rate of return (IRR) ➤ Return on investment (ROI)
	Quantifiable Benefits for the Public	<ul style="list-style-type: none"> ▪ Hard dollar reimbursements ▪ Hard dollar cost reductions ▪ Other hard dollar benefits ▪ Soft dollar cost avoidance ▪ Other soft dollar benefits

Project Manager Guide to PRB Reviews

Typical Elements of Phase 2 PRB Deliverables

PRB Deliverables	Requirements for each Deliverable	Suggested Information Project Managers May Wish to Cover under each Requirement
	Non-Quantifiable Benefits	<ul style="list-style-type: none"> ▪ Project alignment with business strategy ▪ Competitive advantage provided by project for the county or the public ▪ Management information support provided by project ▪ Legislative directive or mandate ▪ Alignment with strategic IT architecture ▪ Other
Project Plan	How the Project will be Managed	<ul style="list-style-type: none"> ▪ Description of the project's: <ul style="list-style-type: none"> ➤ Charter ➤ Organization and management plan ➤ Communication and project reporting plan ➤ Issue and action item plan ➤ Risk management plan ➤ Quality management plan ➤ Change management plan
	Project Scope	<ul style="list-style-type: none"> ▪ Project description ▪ What's in scope ▪ What's not in scope ▪ Constraints and Assumptions
	Schedule	<ul style="list-style-type: none"> ▪ Gantt chart for the entire project with: <ul style="list-style-type: none"> ➤ Phases ➤ Tasks ➤ Resources ➤ Deliverables ➤ Milestones ➤ Dates
	Budget	<ul style="list-style-type: none"> ▪ Lifetime by year by account for the entire project with: <ul style="list-style-type: none"> ➤ Salaries and benefits ➤ Miscellaneous supplies ➤ Consulting ➤ Contract employees ➤ Travel ➤ Training ➤ Printing ➤ ITS support ➤ Hardware/software ➤ Contingency ➤ Other (specify) ▪ Annual by account ▪ Spending plan ▪ Budget assumptions

Project Manager Guide to PRB Reviews

Typical Elements of Phase 2 PRB Deliverables

PRB Deliverables	Requirements for each Deliverable	Suggested Information Project Managers May Wish to Cover under each Requirement
Updated Contract List	Updated List and Description of Contracts	<ul style="list-style-type: none"> ▪ Description of each contract with: <ul style="list-style-type: none"> ➤ Estimated amount of each contract ➤ Estimated time period for each contract ➤ Possible vendors for each contract
Work Plan for Phase 3a - Implementation Planning & Solution Design	One Page Summary Describing the Work of the Next Phase	<ul style="list-style-type: none"> ▪ High level overview of: <ul style="list-style-type: none"> ➤ Significant project activities ➤ Approach and techniques ➤ Major deliverables description ➤ Major milestones description ➤ Project dependencies ➤ Budget release request for next phase ➤ Begin and end schedule dates for next phase
	Detailed Schedule for Next Phase	<ul style="list-style-type: none"> ▪ Resource loaded Gantt chart with: <ul style="list-style-type: none"> ➤ Phases ➤ Tasks ➤ Resources (assigned to tasks) ➤ Deliverables ➤ Milestones ➤ Dates
	Detailed Budget for Next Phase	<ul style="list-style-type: none"> ▪ Budget detail (for each item of the budget) ▪ Spending plan ▪ Budget assumptions

Typical Elements of Phase 3 PRB Deliverables

PRB Deliverables	Requirements for each Deliverable	Suggested Information Project Managers May Wish to Cover under each Requirement
Project Plan ➤ Update Project Plan	How the Project will be Managed	<ul style="list-style-type: none"> ▪ Description of the project's: <ul style="list-style-type: none"> ➤ Charter ➤ Organization and management plan ➤ Communication and project reporting plan ➤ Issue and action item plan ➤ Risk management plan ➤ Quality management plan ➤ Change management plan
	Project Scope	<ul style="list-style-type: none"> ▪ Project description ▪ What's in scope ▪ What's not in scope ▪ Constraints and Assumptions
	Schedule	<ul style="list-style-type: none"> ▪ Gantt chart for the entire project with: <ul style="list-style-type: none"> ➤ Tasks ➤ Resources ➤ Deliverables ➤ Milestones ➤ Dates
	Budget	<ul style="list-style-type: none"> ▪ Lifetime by year by account for the entire project with: <ul style="list-style-type: none"> ➤ Salaries and benefits ➤ Miscellaneous supplies ➤ Consulting ➤ Contract employees ➤ Travel ➤ Training ➤ Printing ➤ ITS support ➤ Hardware/software ➤ Contingency ➤ Other (specify) ▪ Annual by account ▪ Spending plan ▪ Budget assumptions
➤ Detailed Implementation Plan	Project Implementation Plan	<ul style="list-style-type: none"> ▪ Testing plan ▪ Training plan (for end-users, operations, others) ▪ Documentation plan ▪ Transition to production plan ▪ Legacy system decommission plan
➤ Staffing Plan	Project Staffing Plan	<ul style="list-style-type: none"> ▪ Project staffing needs ▪ Required skill sets ▪ Approach to obtain required skill sets ▪ Resource assignments ▪ Team training plans

Project Manager Guide to PRB Reviews

Typical Elements of Phase 3 PRB Deliverables

PRB Deliverables	Requirements for each Deliverable	Suggested Information Project Managers May Wish to Cover under each Requirement
Architecture Plan	Applications Architecture	<ul style="list-style-type: none"> ▪ Major applications technology ▪ Integration of major applications technology approach ▪ Interface technology ▪ Conversion technology
	Database Architecture	<ul style="list-style-type: none"> ▪ Database product(s) ▪ Inter-relationship of existing and new databases ▪ Data conversion approach
	Platform Architecture	<ul style="list-style-type: none"> ▪ Hardware and operating system(s) of client applications ▪ File and print services ▪ Hardware and operating system(s) of application servers ▪ Hardware and operating system(s) of database servers
	Network Architecture	<ul style="list-style-type: none"> ▪ Network technologies ▪ Network concerns
	New Technologies	<ul style="list-style-type: none"> ▪ Description of new technologies
Work Plan for Phase 3b - Solution Development and Implementation	One Page Summary Describing the Work of the Next Phase	<ul style="list-style-type: none"> ▪ High level overview of: <ul style="list-style-type: none"> ➢ Significant project activities ➢ Approach and techniques ➢ Major deliverables description ➢ Major milestones description ➢ Project dependencies ➢ Budget release request for next phase ➢ Begin and end schedule dates for next phase
	Detailed Schedule for Next Phase	<ul style="list-style-type: none"> ▪ Resource loaded Gantt chart with: <ul style="list-style-type: none"> ➢ Phases ➢ Tasks ➢ Resources (assigned to tasks) ➢ Deliverables ➢ Milestones ➢ Dates
	Detailed Budget for Next Phase	<ul style="list-style-type: none"> ▪ Budget detail (for each item of the budget) ▪ Spending plan ▪ Budget assumptions

Typical Elements of Phase 4 PRB Deliverables

PRB Deliverables	Requirements for each Deliverable	Suggested Information Project Managers May Wish to Cover under each Requirement
Operations and Maintenance Plan	Operational Environment Description	<ul style="list-style-type: none"> ▪ Operational environment business work flow ▪ System work flow ▪ Legacy system shut-down
➤ Operations Staffing Plan	Staffing Plan	<ul style="list-style-type: none"> ▪ Computer room staff support ▪ Server staff support ▪ Network staff support ▪ Programming staff support ▪ User staff support
➤ Support Agreements	Business and System Support Agreements	<ul style="list-style-type: none"> ▪ Vendor agreements ▪ Agreements with agencies and groups within King County
➤ Teaming Agreements	Cross-Agency Teaming Agreements	<ul style="list-style-type: none"> ▪ Agreements with other agency staff available to support/operate the system
➤ Maintenance Contracts with Vendors	Maintenance Contracts	<ul style="list-style-type: none"> ▪ Vendor agreements
➤ Operations and Maintenance Budget	Budget	<ul style="list-style-type: none"> ▪ 1st year operations and maintenance budget ▪ Full year operations and maintenance budget ▪ Special budget considerations in future years
Work Plan for Phase 5 - Measurement	One Page Summary Describing the Work of the Next Phase to Develop Quantitative Measures and to Measure Value Achieved by the Project	<ul style="list-style-type: none"> ▪ High level overview of: <ul style="list-style-type: none"> ➤ Significant project activities ➤ Approach and techniques ➤ Major deliverables description ➤ Major milestones description ➤ Project dependencies ➤ Begin and end schedule dates for next phase
	Detailed Schedule for Next Phase	<ul style="list-style-type: none"> ▪ Resource loaded Gantt chart with: <ul style="list-style-type: none"> ➤ Phases ➤ Tasks ➤ Resources (assigned to tasks) ➤ Deliverables ➤ Milestones ➤ Dates
	Detailed Budget for Next Phase	<ul style="list-style-type: none"> ▪ Budget detail (for each item of the budget) ▪ Spending plan ▪ Budget assumptions

Typical Elements of Phase 5 PRB Deliverables

PRB Deliverables	Requirements for each Deliverable	Suggested Information Project Managers May Wish to Cover under each Requirement
Value Received	Value Received After One Year of Operation	<ul style="list-style-type: none"> ▪ Financial value <ul style="list-style-type: none"> ➤ Quantifiable value to the county ➤ Quantifiable value to the public ▪ Value from non-quantifiable benefits



Appendix E. Project Close-out

Procedures for PRB Project Close-Out
January 27, 2004 – Approved by the Project Review Board

Project Close-Out

The following is a list of the procedures to use when closing out an information technology project through the Project Review Board.

What triggers this process?

Technology projects follow the Project Review Board Process of five distinct phases. At the beginning of the 4th phase called the Production phase, the project team evaluates the project and closes it down by redeploying staff and archiving project documentation. The project manager notifies OIRM that the project has completed and when the final Project Review Board Close-Out Report will be provided to the OIRM-PMO.

Steps to PRB Project Close-Out Review

The project manager then prepares the package of information required, including the following:

- ✓ A completed form: Project Close-Out Checklist of Activities and Required Deliverables for PRB Review that includes signatures of the project manager, project sponsor/steering committee and the department director.
- ✓ A completed report: Project Close-Out Summary Report with the project description, results, variances and a summary explanation of what the project accomplished - highlighting relevant project scope, schedule and budget information from the close-out documentation.
- ✓ One set of the required deliverables sent electronically to the OIRM-PMO upon completion.
- ✓ The project manager and other pertinent staff are available upon request to answer questions or present their findings to the PRB at a future board meeting.

The OIRM-PMO confirms the agenda items for the next scheduled PRB meeting and notifies agencies if they are required to attend and present their project close-out report at the meeting.

If the agency is requested to attend the PRB meeting, the project manager will have a copy of the required deliverables at the PRB meeting for reference only. The project manager will be prepared to answer questions from the PRB members.

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The Project Review Board will request further study or actions if needed. If there are no further actions requested, the project is considered “closed-out” and no further project activity will be required by the board.



Project Manager Guide to PRB Reviews

King County

Technology
Governance

Project Close-out Checklist of Required Activities and Deliverables for PRB Review

This checklist is a table of contents for the close-out activities and deliverables required for the Project Review Board to review a project at closeout. The signatures confirm the documentation has been reviewed, is complete and the required information is attached.

_____	_____
Project Name	Agency
_____	_____
Project Manager Signature	Telephone
_____	_____
Project Sponsor/Steering Committee/Oversight Committee Signature	Date
_____	_____
Department Director Signature	Date

Completed Phases	Budget	Actual Costs (by Phase)	Variance (Budget – Actual)
Phase I - Project Planning	\$	\$	\$
Phase II – Project Development	\$	\$	\$
Phase III – Implementation	\$	\$	\$
Phase IV – Production	\$	\$	\$
<i>Total Project Amount</i>	\$	\$	\$

Phase	Project Closeout Activity	Complete and Reviewed (please indicate yes or no)
Phase IV – Production	Final Project Status Report	
	Final Project Budget	
	Lessons Learned Documentation	
	Project Archiving	

PRB Deliverable	Complete, Reviewed, Attached (please indicate yes or no)
Project Close-Out Summary Report	

Project Manager Guide to PRB Reviews

Project Close-Out Summary Report

(This is completed by the project manager immediately following implementation or project completion.)

Project Name:

Department:

Project Sponsor/Steering Committee:

Project Description:

List goals and objectives from project plan

Project Results:

Accomplishments – identify significant project accomplishments and deliverables; describe in bullet format

Lessons Learned – identify significant lessons learned during the project; list in bullet and narrative format

Transition Responsibilities – list significant responsibilities assigned to staff and organizations as a result of production transition process

Project Variances:

Scope – briefly explain differences between planned scope and accomplishments.

Schedule – list each major deliverable and project milestone scheduled from project plan and actual start and finish dates; briefly explain major differences and document status of those not completed.

Example:

	<u>Plan</u> <u>Start</u>	<u>Actual Plan</u> <u>Start</u>	<u>Actual</u> <u>Finish</u>	<u>Actual</u> <u>Finish</u>	<u>Status</u>
Major deliverables/date	date	date	date		complete
phase milestones	date	date	date	date	not undertaken

Budget – identify project costs by budget, actual and variance format from project plan; briefly explain major differences (if over-budget what was financing source, if under-budget what is planned for excess)

<u>Category</u>	<u>Budget</u>	<u>Actuals</u>	<u>Variance</u>
Labor	\$	\$	\$
Contract Services			
Software			
Hardware			
Contingency			
Total	\$	\$	\$

Project Summary:

Assess the overall outcome of this project. Summarize from all the project close-out activity.
Project Close-out Checklist of Required Activities and Deliverables for PRB Review

Appendix F. IT Equipment Replacement

IT Equipment Replacement – PRB Review Procedures March 11, 2004

The following is a list of the procedures used to complete the review and approval of agency IT equipment replacement funding release requests through the Project Review Board (PRB).

What triggers this process?

Each agency is expected to set up and maintain an IT equipment replacement plan. The plan provides support for managing assets and for planning to set aside funds to replace or procure IT equipment as part of the budget process.

Agencies are required to follow the PRB Process for requesting fund releases for IT equipment replacement outlined below.

Steps to PRB Release of Funds for IT Equipment Replacement Plans

1. The agency completes the IT Equipment Replacement Funding Release Form to request a funding release from the Project Review Board and the department director approves it.
2. The completed, approved form is forwarded to the Project Oversight Manager.
3. The form will be reviewed for completeness and additional research with agency will be done to ensure form is complete.
4. A list of IT equipment replacement funding releases, approved by the Chief Information Officer, will be provided to the board members at the next PRB meeting.

Important Note: The phased funding release request process and project monthly monitoring apply only to IT projects, not to equipment replacement funding release requests.

References:

[IT Equipment Replacement Web page \(Guidelines and Template\)](#)

[IT Equipment Replacement Funding Release Form](#)

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IT Equipment Replacement Funding Release Form

This form is used for requesting funding releases by the Project Review Board for IT Equipment Replacement.

Complete requested information below with signature:

Agency Department/Division/Section Name	
Agency Contact/Representative	
Contact Telephone No.	
Department Director Signature [This signature attests that the department director has reviewed and approved the agency equipment replacement plan, business case and amount requested for funding release.] Email approval is accepted.	
Signature Date	
Amount Requested	\$

Provide answers to the following questions:

Is there an equipment replacement plan and business case to support the replacement approach documented in the plan? If no, explain.
Is this funding release, and the equipment it replaces, addressed within your equipment replacement plan? If no, explain.
Is there any cross-agency impact related to the equipment being replaced? If yes, explain.
Does equipment meet countywide IT standards?
Does equipment align to agency technology plan?
Are your disposal plans for equipment being replaced detailed in the plan? If not, document separately.

Appendix G. Project Monthly Monitoring

OIRM – Project Review Board Project Monthly Monitoring Instructions – January 2006 Revision

Revisions to Form

The updated Monthly Monitoring Report includes:

- Project profile, indication of changes to scope, schedule and budget, overall self-rating and financial status, as requested in the previous version
- Additional information to provide more complete project status reporting:
 - Reason for change if there is scope, budget or schedule change
 - Description of impacts if there is scope, budget or schedule change, including assessment if the impact is low, medium, high
 - Corrective Action Plan information for red and yellow self-rating
 - Operations and Grant \$\$ the project is spending in addition to capital \$\$
 - Updated schedule information

Detailed information on completing the form and when it is due is provided in the paragraphs below.

Instructions for completing the revised "Project Monthly Monitoring Report"

- Detail description of required information on the form is available in the Example, pages D-1 and D-2.
- Complete the form.
- Please save the form under the following naming convention:
MM_YY_Department_ProjectName.doc (or pdf). For example:
[01_06_DNRP_ConstituentRelationshipMgmt.doc](#). MM is the month reporting on.
- Have the form approved via e-mail or signed by the Department Director. If not approved via e-mail, but signed, please scan the signed form (pdf format is preferred).
- E-mail the form and the approval (approval e-mail or scanned signed form) to the Project Oversight Manager.
- If scanning is not available, please inter-office the signed form.
- The form must be received **by the first working day of each month**. Late arrivals will not be recorded until the following month.
- The OIRM website is updated with the instructions, example and new form.

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King County
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Governance

Project Monthly Monitoring Report

Project Name: _____ **Project Manager:** _____ **Project PRB Phase:** _____
Month Reporting on*: _____ **Completed on (date):** _____
Information provided to Sponsor and Steering Committee on (date): _____
Department: _____ **Director Signature:** _____

Check box if email from Department Director is attached [in lieu of signature].

Change to Project Plan: Scope, Schedule or Budget? Yes No
Reason for Change:

Description of Change Impact	Scope Impact	Schedule Impact	Budget Impact
	<input type="checkbox"/> Increase <input type="checkbox"/> Decrease <input type="checkbox"/> No impact	<input type="checkbox"/> Increase <input type="checkbox"/> Decrease <input type="checkbox"/> No impact	<input checked="" type="checkbox"/> Increase <input type="checkbox"/> Decrease <input type="checkbox"/> No impact
Steering Committee Approved Change?	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Pending	

Overall Self-Rating (Please check one):
<input type="checkbox"/> Green – Project on track within scope, schedule, budget with risks and issues being managed.
<input type="checkbox"/> Yellow – Warning, consider corrective action or monitor previous corrective action = Project has significant risks/issues with scope, schedule, or budget – requiring significant mitigation activities
<input type="checkbox"/> Red - Problem, immediate corrective action required = Project has critical risks/issues with scope, schedule, or budget - likely to prevent the successful completion of project.
<input type="checkbox"/> Teal - Project has been placed on hold; project activity and spending are on hold.
<input type="checkbox"/> Lavender - Project completed, activity & spending have ended.
<input type="checkbox"/> Black - Project removed or canceled.

Description of Risks/ Issues:

For Yellow/Red Self-Rating:

Is Corrective Action Plan Activated? Yes No In Development Steering Committee Approved

Financial Status as of Date: _____				
Funding Source(s) for the Project	Capital	Grant	Operating	Total
Life-to-Date Appropriated Budget: \$				
Life-to-Date Expenditures: \$				
Amounts Committed /Obligated: \$				
Budget Remaining: \$ [LTD Appropriated Budget – LTD Expenditures – Unused Contingency]				
Estimated Amount to Complete: \$				
Schedule Status				
Approved Timeline: [From budget or mid-year approval request]	Start Date:		Complete Date:	
Actual Start Date: [Work start after project approval: Phase I Start]	Projected Complete Date: [Based on current status and prior to Phase V O&M/benefit measurement]			

*The month reporting on is the last complete month that has occurred. (i.e. For reports due on June 1, 2006, the month reporting on is May 2006.

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Definitions

General: This form defaults to having protection turned on. This enables you to tab to each data entry field and/or click on the check boxes to or to mark them. To unprotect the document, toggle the 'protect form' field on the 'forms' toolbar.

Heading Fields

Project PRB Phase: Include one of PRB Phases: I, II, IIIa, IIIb, IV, V

Month Reporting on*: The month reporting on should be the last complete month that has occurred. (i.e. For reports due on June 1, 2005, the month reporting on is May 2005.)

Change Information

Change to Project Plan: Scope, Schedule, Budget?

Reason for Change: Describe reasons for changing the project plan.

Description of Change Impact: Describe the impacts of the change including degree (low, medium, high) of impacts and check the appropriate column box as Increase, Decrease or No Impact

Steering Committee Approved Change? Y/N/Pending – if project does not have a steering committee, then sponsor approval should be indicated.

Overall Self-Rating: Check one.

Description of Risks/Issues: Describe risks, issues or other project relevant information you wish to communicate.

For Yellow/Red Self-Rating:

Is Corrective Action Plan Activated? If the project reports red status, a corrective action plan will be requested by PRB. If the project reports yellow status, a corrective action plan may be requested by PRB if the project remains in yellow status for over two months. If the project remains in yellow status for over two months, a more detailed update or briefing to PRB will be requested.

Financial Status – Financial status split by funding source (Capital, Operating or Grant) and totaled. Capital funds are those acquired through the annual capital budgeting process or through interim omnibus legislation. Operating funds are those project activities and/or acquisitions funded from operating budgets (such as employee's paid out of operating budgets but working on IT Projects). Grant funds are those approved by the appropriate granting body.

as-of Date:

Most recent month that Project's financial information is included in the county's financial systems

Life to Date Appropriated Budget – The total \$'s appropriated to-date for the project. This includes Capital funds (appropriated through the capital budgeting process), Grant Funds (approved through a sanctioned granting authority) and Operating Funds (approved as part of an annual operating fund and included in the performance expectations of the appropriate operating units).

Life to date Expenditures – Matches exactly to current amounts in King County's financial systems (either IBIS or ORACLE) for capital amounts, Portion of operating funds utilized by project, and the grant expenses accumulated for re-imbursement

Amounts Committed/Obligated – Budget dollars that have been committed/obligated through contracts (or other means) but have not yet been paid. It does not include regular salaries for employees.

Budget Remaining – LTD appropriated budget minus LTD expenditures minus unused contingency. Unused contingency are project funds designated as contingency funds and not yet released by the PRB. (It does not include amounts committed/obligated.)

Estimated Expenditures to Complete the Project - Estimated remaining project expenditures. This number anticipates all remaining project expenses, including contingency, which will be incurred to complete the project and are not included in life-to-date expenditures already. It represents the appropriated budget and any additional appropriations that would be required.

Schedule Status

Approved Timeline:

Start Date - This date is taken from the project's budget submittal or mid-year approval documentation (or grant request, or operating plan) and is not changed once in place – even if the project's baseline is updated. It does not include project justification.

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Complete Date - This date is taken from the project's budget submittal or mid-year approval documentation (or grant request, or operating plan) and is not changed once in place – even if the project's baseline is updated. It identifies the last planned day of work related to PRB phase 3b activities. It does not include O&M or Benefit Measurement activities, but identifies the first planned day of work following budget approval (PRB phase 1 activities).

Actual Start Date – This is the first date following budget approval that the project is worked on. This is the first PRB phase 1 activity. It does not include budget request preparation activities.

Projected Complete Date - This date identifies the last planned day of work related to PRB phase 3b activities based on current schedule projections. It does not include O&M o It does not include O&M or Benefit Measurement activities.

Appendix H. Quality Assurance

Quality Assurance Methodology Overview

Background

The Project Review Board decided, in its February 19, 2003 meeting, that it would “direct Quality Assurance Reviews and Project Audits on information technology projects on an as-needed basis. Funding for this activity will come from project contingency budgets.”

The Quality Assurance Methodology was developed to guide the Quality Assurance Reviews.

Triggers for PRB to Initiate a QA Review

- The project has self-rated itself yellow, and is having trouble developing a suitable corrective action plan.
- The project has self-rated itself red.
- The project exhibits one or more of the following project warning signs
 - Lack of evidence of good project management
 - Critical milestone is missed, or is going to be missed
 - Budget is being spent faster than projected
 - Project scope is changing
 - High priority, critical issues are not being resolved
 - Project has no risks identified

Elements of a QA Review

- Project deliverables reviewed for completeness and appropriate project management methods, processes and documentation
- Project governance reviewed for flaws in structure, membership, or processes
- Scope, schedule, and budget reviewed for flaws, such as:
 - Are changes documented,
 - Is there a budget contingency and is it being used
 - Are required dates being met
- Solution development process and products checked for flaws – Example:
 - End users are testing the software and determine it doesn’t meet the documented requirements. The project will need to go back and determine where it got off track and develop a corrective action plan to get it back on track to produce software that addresses the requirements.
- Strategy, approach, and plan reviewed for flaws – Example:
 - The project has selected a commercial software package to install and has contracted with the vendor to make 120 customizations to meet their current business practices. The vendor is three months late delivering the software and has no plan for when they will complete. It appears the strategy to use a commercial software package that needs 120 customizations was a fatal flaw.

QA Findings and Recommendations Report to PRB

- Findings of discrepancies in completeness, deliverables, project governance, scope, schedule, budget, solution development, strategy, approach, or plan that are causing the project problems.
- Recommendations for corrective action from the QA reviewer for the PRB’s consideration in directing the project’s course of action based on the findings.

Project Warning Signs

Project Warning Signs	Areas to Probe
Lack of evidence of good project management	<ul style="list-style-type: none"> • Has a project manager been assigned? Is the project manager scheduled and budgeted in the project? • Does the project manager have authority to support project responsibilities? • Does a realistic project plan exist? Are milestones clearly defined and tracked? Is there sponsor approval on the project plan and scope? • Is there an adequate communication plan and an issue and action item plan in place and are they effective? • Is there a quality assurance plan, risk management plan, and a change management plan in place? Are they kept updated? • Are staff and oversight roles and responsibilities clearly identified?
Critical milestone is missed, or is going to be missed	<ul style="list-style-type: none"> • What is the effect on later milestones, or other projects? Have these effects been communicated and incorporated into the dependent projects? • Are labor resources significantly over-allocated? How will this be resolved? Are additional staff resources needed for any schedule changes? • What are the political ramifications of missing critical milestones? • What is the cost to the project? • What caused this and what will be done to prevent recurrence?
Budget is being spent faster than projected	<ul style="list-style-type: none"> • Is the project tracking planned expenditures and obligations? Are accounting tools or methods adequate? • What percent of the project work has been completed? Is the project ahead or behind schedule? Are there adequate resources to complete the work? • What percent of the labor budget (operating and capital) has been spent? • Is the work completed aligned with the budget spent? • Why are expenditures greater than planned? • What must be done to the scope and/or schedule to balance the remaining work with the remaining budget?
Project scope is changing	<ul style="list-style-type: none"> • What impact does this have on upcoming critical milestones and the project's critical path? • How does this increase or decrease the project budget? • How does this change the agreed upon final deliverables? • How does this impact project staffing and task assignments? • Is the scope change documented and the approval of scope change documented and signed by the sponsor or steering committee? Is there documented assurance that funds are available for the scope change?

Project Warning Signs (continued)

High priority, critical issues are not being resolved

- What effect does this have on upcoming scheduled work?
- If this is causing or will cause schedule delays, what is the cost to the project?
- How is project staff productivity being affected?
- How is project scope being affected?
- Is there a deadline for when the critical issues must be resolved before they impact the project schedule or budget?
- What specifically needs to happen? Who needs to be involved in resolving the critical issue?

Project has no risks identified

- What could adversely impact the project's schedule so that it could not complete as planned?
- What could adversely impact the project's budget so that it is exhausted before the project has completed successfully?
- What could adversely impact the project's scope so that the final deliverables are not consistent with the agreed upon scope?