Contents

I. Overview of Project Management .......................................................... 4
   1. Project Management Guide (PMG) ..................................................... 4
      1.1 Introduction ...................................................................................... 4
      1.2 Scope ............................................................................................... 6
      1.3 Project Types ................................................................................... 6
   2. Document Overview, Tailoring, and Guidance ...................................... 7
   3. The Project Life Cycle ........................................................................... 8

II. Roles and Responsibilities ........................................................................ 9
   1. Who Is Part of the Project Team? ......................................................... 9
   2. Importance of Stakeholders ............................................................... 10
   3. Project Manager .................................................................................. 10
      3.1 Project Manager Responsibilities ...................................................... 11
   4. Project Owner .................................................................................... 13
      4.1 Project Owner Responsibilities ......................................................... 13
   5. Governance ....................................................................................... 14
      5.1 Governance Responsibilities ............................................................ 14
   6. Project Implementation Team .............................................................. 15
      6.1 Implementation Team Responsibilities ............................................. 15
   7. End User ............................................................................................. 16
      7.1 End User Responsibilities ............................................................... 16

III. Five Stages of Project Management ...................................................... 18
   1. Idea Stage ............................................................................................ 18
      Gate 1 Control Framework .................................................................. 19
   2. Feasibility Stage .................................................................................. 21
      Gate 2 Control Framework .................................................................. 22
   3. Planning Stage .................................................................................... 24
      3.1 Developing Plans .......................................................................... 25
3.2 Defining Schedule and Costs ................................................................. 26
3.3 Identifying Resources and Obtaining Resource Commitments .................. 26
3.4 Refining the Statement of Risks ............................................................ 27

Communications Plan ................................................................................. 27

Gate 3 Control Framework ........................................................................... 29

4. Implementation Stage ............................................................................... 31
   4.1 Implementing the Plan ......................................................................... 32
   4.2 Selecting and Administering Procurements ......................................... 32
   4.3 Cultivating Teamwork ........................................................................ 32
   4.4 Monitoring .......................................................................................... 33
   4.5 Verifying Product Quality .................................................................... 33

Gate 4 Control Framework ........................................................................... 34

5. Closure Stage ......................................................................................... 35
   5.1 Closing the Project or Stage ................................................................. 35

Gate 5 Control Framework ........................................................................... 36
I. Overview of Project Management

1. Project Management Guide (PMG)

1.1 Introduction

The purpose of the Project Management Guide (PMG) is to provide a unified methodology standard for managing a project at the University of Alabama, specifically the Office of Information Technology (OIT). A methodology is a set of step-by-step instructions that outline and detail how to accomplish a desired goal.

The values of providing a unified methodology to the Project Management Office, Office of Information Technology, and the University as a whole are the following:

- Improved accuracy in estimating project costs and resource demands
- Better financial control of projects
- A structure for appropriate levels of management review and approval
- The ability to cancel unworthy projects early
- Deferring project expenditures until appropriate levels of planning, review, and approval are obtained
- Consistency and regularity in project status reporting
- Ensuring sufficient detail in planning and risk analysis
- Ensuring appropriate levels of stakeholder involvement
- Ensuring early detection of problems and issues.

The initial step in managing each project is following this guide, which explains the process complete with template links and examples.

A project is a temporary endeavor with a clearly defined beginning and end.

Movie analogy: In making a movie, the movie is the project. The movie has a scheduled begin filming date and end filming date among other factors.

A program is larger and often contains a series of related projects managed in a coordinated way to achieve the program’s strategic objectives.

Movie analogy: In a film series (Harry Potter, Star Wars, James Bond, Scream, Halloween), the series is the program, and each individual film is considered a project.

The Project Management Institute (PMI®) defines project management as “the application of knowledge, skills, tools, and techniques to project activities to meet project requirements.”

Movie analogy: The skill of “project managing” equates to the skill of “directing” a film.
The basic process flow of every project, small or standard, is graphically depicted in the chart below.
1.2 Scope

This guide applies to all University of Alabama projects that produce products or provide services. The following are examples of project types:

<table>
<thead>
<tr>
<th>Project</th>
<th>Product/Service</th>
</tr>
</thead>
<tbody>
<tr>
<td>System development</td>
<td>A system</td>
</tr>
<tr>
<td>Construction project</td>
<td>Construction</td>
</tr>
<tr>
<td>Software development</td>
<td>Software application</td>
</tr>
</tbody>
</table>

Both new projects and those that have been underway for some time will benefit from adoption of these guidelines.

When should work performed be considered a project?

If the answer to any of the below questions is “yes,” the work must be treated as a project.

If the answer to all of the below questions is “no,” the work may be done without formal project management.

1. Is there a direct expense for non-expendable materials, software, or services > $5,000?
   a. Expendable materials are things like tapes, paper, etc.
2. Is there an expected or potential impact to more than 20 people or to one or more VIPs?
3. Is there an expected or potential impact to any mission critical system?
4. Will the work require the expertise of more than three people?
5. Will the work require more than 80 hours of work?
6. Is the work something never done before or only done infrequently?

1.3 Project Types

In general, there are two types of projects: small and standard. The two types differ in terms of complexity, duration, scope, funding, deliverables, and risk.

Standard project:

- Is complex, requiring the collaboration of more than three different professional skill sets.
- Is long in duration, typically lasting more than four weeks.
- Is broad in scope, having multiple objectives that aren’t readily achievable.
- Is costly, requiring a direct expenditure of more than $20,000.
• May involve the introduction of new technologies for which there is little or no expertise.
• Produces deliverables with many interdependencies among skill areas.
• Is tied to an approved strategic initiative.
• Has a high level of potential risks.

Small project:
• Is straightforward, easily completed by a single team involving three or fewer professional skill sets.
• Is short in duration, typically lasting less than four weeks.

Is narrow in scope, having a few clearly defined objectives that are readily achievable.
• Is low in costs, not requiring a direct expenditure of more than $20,000.
• Does not require the introduction of new technologies for which there is little or no expertise.
• Produces deliverables with few interdependencies.
• Is not necessarily tied to an approved strategic initiative.
• Has a low level of potential risks.

The similarities and differences between the two project types are also shown in the table below:

<table>
<thead>
<tr>
<th>Common Characteristics</th>
<th>Standard Project</th>
<th>Small Project</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>An effort undertaken to meet specific objectives:</td>
<td></td>
</tr>
<tr>
<td></td>
<td>• It solves a technical problem, provides a service, builds a product, implements a plan of action, or involves other unique efforts.</td>
<td></td>
</tr>
<tr>
<td></td>
<td>• It has its own funding.</td>
<td></td>
</tr>
<tr>
<td></td>
<td>• It has a defined starting point, defined objectives, and defined delivery schedule.</td>
<td></td>
</tr>
<tr>
<td>Distinguishing Characteristics</td>
<td>• Complex • Long • Broad scope • Costs more than $20,000 • New or unknown technologies • Deliverables with multiple interdependencies • High level of potential risks.</td>
<td>• Straightforward • Short • Narrow scope • Costs less than $20,000 • No new or unknown technologies • Deliverables with few interdependencies • Low level of potential risks.</td>
</tr>
<tr>
<td>Best Practice Expectations</td>
<td>• Project follows basic best practices in this guide and tailors the Project Management Plan Template to fit needs.</td>
<td></td>
</tr>
</tbody>
</table>

2. Document Overview, Tailoring, and Guidance

The five project management functions and the respective activities and tasks included in this document are the basic set needed for managing a project. Descriptions of the functions and activities include a purpose, activity description, identification of inputs, itemization of activities to be performed, tailoring guidance, and outputs.
It is expected that the activities described in this guide will be tailored to suit the project’s needs. Tailoring is defined as the adjustment or modification of project activities and work products to reflect the uniqueness of a project’s requirements, while maintaining the goals of the project. In other words, tailoring is adjusting activities and best practices to cover differences across projects and environments. Tailoring starts with an evaluation of the project type and continues in a thoughtful and disciplined manner to preserve the integrity of the activity, best practices, or end goal objective.

3. The Project Life Cycle

Projects are divided into project stages--idea, feasibility, planning, implementation, and closure--to provide better management and control. Collectively, these project stages are known as the project life cycle. A typical project life cycle is depicted below.
II. Roles and Responsibilities

A successful project requires the project team to participate in the planning process, buy into the project plan, and accept responsibility for completion of assignments.

It is important to have a defined formal structure for the project and the project staff. This provides each individual with a clear understanding of the authority given and responsibility necessary for the successful completion of project activities. Project team members need to be accountable for effective performance of their assignments.

Project organizations come in many forms. On a large project, individual role assignments may require full-time attention to the function. On smaller projects, role assignments may be performed part-time, with staff sharing in the execution of multiple functions.

1. Who Is Part of the Project Team?

The required mix for any project team includes the following individuals:

- People specifically charged with execution of the project solution. Regardless of how a project is organized, there are roles and responsibilities that should be considered for every IT project. These include responsibilities like the following:
  - Data/database administration
  - Project management
  - Data communications
  - Coding, scripting, configuration
  - System testing
  - Conversion
  - Documentation (user and technical)
  - Training
  - System architecture
  - Help Desk
- Users who interface with the system, provide system input information, or depend on system outputs (either from within or outside of the organization).
- Project owner.
2. Importance of Stakeholders

Stakeholders are those with a vested interest in the success of the project. The identification and input of stakeholders help to define, clarify, change, and contribute to the scope and, ultimately, the success of the project.

To ensure project success, stakeholders should be identified early in the project. Their needs and expectations should be determined and those expectations managed over the course of the project.

Stakeholders on every project include the following individuals:

• The project manager, who has ultimate responsibility for ensuring project success;
• The project owner, who leads in getting the need for the project recognized and who has a professional stake in the project’s success;
• The user, who is the person or organization using the product of the project;
• Non-user constituents that may be significantly impacted by the project’s success;
• The project team members, who are responsible for performing the work on the project;
• Executive management and the funding organization.

Customers, both internal and external to the organization, are to be considered important stakeholders. Without input from the user community, projects are more likely to fail. Having user needs defined early as part of the stated project goals and directly traceable to the final solution increases the success factor for a given project.

The management of stakeholder expectations is potentially difficult because of conflicting goals and expectations. The expectations may require more resources than are currently available. Finding appropriate resolutions to these differences is a key to successful project management. A major project that does not have backing of senior management, for example, will have difficulty achieving success.

One common mistake organizations make is in not engaging all stakeholders early in the project life cycle. Early engagement is critical to determine project feasibility and properly set project scope.

3. Project Manager

The project manager has primary responsibility for the quality of a project’s deliverables and its successful completion. To succeed, the project manager must work closely with the project owner to ensure that adequate resources are applied. The project manager also has responsibility for planning and ensuring that the project is successfully completed on time and within budget. The project manager
should be assigned early in the idea and feasibility stages so the plan can be owned by the person responsible for its execution.

### 3.1 Project Manager Responsibilities

#### General Functions

- Implement project policies and procedures.
- Acquire resources through negotiation with project owners and resource managers.
- Ensure adequate technical proficiency to meet project requirements and arrange for training.
- Establish and maintain quality in project.
- Identify and procure tools to be used on the project.
- Monitor project progress against schedule and budget plans and raise concerns as appropriate.
- Ensure resources are focused on correct activities.
- Engage with management to ensure project awareness and prompt issue resolution.

#### Idea Stage

- Develop project statement including success criteria and constraints.
- Determine project classification (small vs. standard).
- Determine basic project drivers, benefits, and requirements.
- Prepare initial project cost projections and other Gate 1 deliverables.

#### Feasibility Stage

- Identify any major project feasibility issues and determine management recommendations regarding them.
- Prepare Gate 2 deliverables.

#### Planning Stage

- Develop detailed project plan, tailoring methodology to reflect project needs.
- Ensure that management, users, affected organizations, and contractors commit to project.
- Finalize project baseline plan.

#### Implementation Stage

- Assign resources to project and assign work packages.
- Regularly review project status, comparing budgeted to actual values.
- Ensure that project plan is updated and approved as needed.
- Review the results of Quality Assurance reviews.
- Participate in change control board to approve system changes.
- Update project risks and establish prevention and mitigation procedures as required.

#### Closure Stage

- Develop an action plan for any product that does not receive user sign-off.
- Obtain user and management approval of tested system and final deliverables.
- Close-out open action items.
- Decommission retired systems, equipment, and processes.
• Measure against project success criteria.
• Assist Division of Purchases in contract close-out.
• Develop and execute Post Implementation Survey.
4. Project Owner

One of the most important project stakeholders is the project owner. The project owner should have the
influence to ensure that the project has sufficient priority to enable success. The owner may also be
responsible for providing the funding and staffing resources to complete the project successfully.
The project owner usually represents the recipient of the project’s final deliverable. A good project
owner is a prerequisite for a great project manager. The owner is usually head of a program area and
not normally a day-to-day user. The project owner is typically part of the organization’s management
and should be a strong advocate for the project. The project owner normally has a professional stake in
the project’s success and is willing to dedicate the time needed to provide regular and detailed project
reviews and oversight.

4.1 Project Owner Responsibilities

**GENERAL FUNCTIONS**

- Articulate program or executive requirements.
- Ensure that requirements are met.
- Participate in project status reviews and provide general oversight.

**IDEA STAGE**

- Identify the problem to be solved or the improvement to be made by the project. Set overall
  project goals and success criteria.
- Define owner needs and objectives.
- Set scope and budgetary ranges for the project.
- Set schedule constraints for the project.
- Ensure user support of project.

**FEASIBILITY STAGE**

- Participate in planning activities.
- Review and approve feasibility assessments.
- Approve funding.

**PLANNING STAGE**

- Participate in planning activities.
- Review and approve project plan.
- Assign personnel through the project manager.

**IMPLEMENTATION STAGE**

- Monitor project activity.
- Attend project status and progress reviews.
- Help resolve project problems.

**CLOSURE STAGE**

- Attend lessons learned meeting.
5. Governance

Project governance may be performed by an assigned board, an executive committee, or specific executives. Governance provides organizational oversight to the portfolio of projects, identifies the need for projects, sets priorities among projects, assesses project risk, and approves project commitments. Governance is responsible for establishing the strategic information technology plans and for ensuring that projects are consistent with organizational and institutional strategies and objectives. Governance is also responsible for developing the procedures to ensure that IT policies are followed.

5.1 Governance Responsibilities

**General Functions**

- Prioritize IT needs and develop the overall strategic plan.
- Ensure that sufficient resources are available to conduct projects.
- Review/approve commitments to external entities (e.g., vendors, other agencies).
- Ensure that staff is properly trained.

**Idea Stage**

- Review/approve Project Initiation Form.
- Establish project priority relative to other projects.
- Defer projects that may fall below priority thresholds or which address immature or uncertain requirements.
- Cancel project initiatives that do not align well, are deemed unnecessary or of inadequate value.

**Feasibility Stage**

- Review/approve project plan.
- Review/validate and approve risk analysis.
- Budget and establish financial reserves based on risk analysis.
- Defer projects that may fall below priority thresholds or which address immature or uncertain requirements.
- Cancel project initiatives that do not align well, are deemed unnecessary or of inadequate value.
- Approve transition to planning stage.

**Planning Stage**

- Review project priority and approve start-up.
- Approve project schedules and budgets.
- Ensure that funding is available.
- Defer projects that may fall below priority thresholds or which address immature or uncertain requirements.
- Cancel project initiatives that do not align well, are deemed unnecessary or of inadequate value.
- Approve transition to implementation stage.

**Implementation Stage**

- Review project status as deemed appropriate.
• Approve significant changes to the project plan.
• Review risk mitigation plans and respond to project manager requests for direction.
• Review/approve changes in contract commitments.
• Review/approve project deliverables.
• Approve transition to closure stage.

**CLOSURE STAGE**

• Participate in lessons learned sessions.
• Accept and approve deliverables.
• Approve project/stage completion.

### 6. Project Implementation Team

The implementation team has responsibility for conducting project activities defined by the project plan. Resource managers assist the project manager in planning the implementation effort and make commitments to complete the project within established schedule and budget constraints. The implementation team includes technology and/or functional specialists responsible for implementing the project solution. Stakeholders should interact with the implementation team to ensure that requirements are correctly met.

#### 6.1 Implementation Team Responsibilities

**GENERAL FUNCTIONS**

• Identify technical solution alternatives and recommend solution approach.
• Implement according to project plan and within budgeted cost and schedule.
• Support project planning and tracking activities.

**IDEA STAGE**

• Develop project objectives and general requirements.
• Develop project concept and perform research.
• Provide first cut estimates.

**FEASIBILITY STAGE**

• Perform detailed requirements analysis.
• Conduct feasibility studies, if applicable.
• Identify tools, training, or other special requirements for the project.
• Identify project solution alternatives.
• Perform alternatives analysis and recommend solution approach.
• Refine project estimates and schedules.

**PLANNING STAGE**

• Provide detailed planning information to project manager and work collaboratively to detail project activities, schedules, milestones, resource requirements, and constraints.
• Refine project estimates and schedules.
• Help to identify specific resources for project implementation.

**IMPLEMENTATION STAGE**

• Ensure that all members of the implementation team understand the project requirements, the solution to be implemented, and the project plan.
• Coordinate staff training efforts.
• Establish the project's engineering facilities and environments.
• Help establish baseline documents.
• Perform project activities according to the project plan and complete project deliverables.
• Perform or support testing, documentation, user training, and other supporting activities as required by the project plan.
• Identify and report risks as they may be discovered.
• Participate in change reviews including performing cost and schedule impact analysis.

**CLOSURE STAGE**
• Perform measurement and monitoring needed to capture project success metrics.
• Assist with preparation of final project reports.
• Decommission processes, systems, and/or equipment that are no longer needed as required to realize full project benefit.
• Participate in lessons learned sessions.

7. End User

End users are responsible for ensuring that their needs are expressed and for verifying that a completed project meets those expressed needs. They also share in the implementation efforts, participate in training, and take responsibility for changes in processes or tools that are introduced by the project.

7.1 End User Responsibilities

**GENERAL FUNCTIONS**
• Articulate user requirements.
• Ensure that requirements are met.
• Ensure that staff are “ready to accept” the new system.
• Be proponents of the new system.

**IDEA STAGE**
• Describe the problem or opportunity to be addressed by the project.
• Describe the concept for the project.
• Define user needs.

**FEASIBILITY STAGE**
• Assist in detailing requirements.
• Review current practices and the impact the system will have on processes.
• Participate in the evaluation of solution alternatives for feasibility, goodness of fit, and impacts.
• Provide input on solution approach, impacts, risks, and constraints.
• Provide subject matter expertise in the analysis of solution alternatives and solution approaches.

**PLANNING STAGE**
• Participate in the design of new processes, procedures, and end-user activities.
• Review project plans and provide recommendations.

**IMPLEMENTATION STAGE**
• Learn and understand changes.
• Participate in required user training.
• Assist in user testing.
- Provide subject matter expertise in the identification and resolution of problems during implementation.

**CLOSURE STAGE**
- Assist with measurement of project success metrics.
- Provide input into lessons-learned analysis.
This section is organized according to the project management life cycle. While no two projects are exactly alike, all projects should progress through the same five project management stages.

### III. Five Stages of Project Management

#### 1. Idea Stage

The idea stage is the conceptual element of project management—the basic process that should be performed to get the project started. This starting point is critical because those who will deliver the project, those who will use the project, and those who have a stake in the project need to reach an agreement on its initiation. Stakeholders may exert influence that can positively or negatively affect the project team’s ability to successfully complete the project, so it is very important to involve and manage, to the extent possible, all stakeholders in the idea stage. Garnering the buy-in and shared ownership of the project by the stakeholders generally improves the probability of satisfying customer requirements.

Ideas can come from anyone. Not all ideas are good ones, and not all good ideas are right for every organization at every point in time. The idea stage must be executed and completed as described here before any further action is taken on an idea to prevent premature expenditures of dollars and resources. All ideas require documentation, governance review, prioritization, and approval before they move forward.

<table>
<thead>
<tr>
<th><strong>Inputs</strong></th>
<th><strong>Activities</strong></th>
<th><strong>Outputs</strong></th>
</tr>
</thead>
</table>
| • A formal statement of the problem or opportunity being addressed.  
• A description of the concept or idea for the project. | • Project is set up in OIT Central Repository.  
• PMO Director assigns PM.  
• Preliminary discussions, research, and analysis of project concept and approach are performed.  
• Initial (very rough) estimates of project cost and schedule are formulated.  
• Gate 1 checklist and other deliverables are prepared. | • Approved **Project request form**  
• **Project initiation**  
• Project manager assigned  
• Project estimates or constraints  
• Approved Gate 1 checklist  
• Cost and schedule estimates (+/- 100%) |

**Guidance**

Project managers of projects already underway should review activities listed above to ensure the project is following current best practices. Project managers and their teams should work together during project initiation to determine which additional efforts are appropriate for their projects. New ideas should be developed within the framework described above. Idea stage activities should be limited to preliminary discussion and analysis only and should involve minimal time and no dollar investments.
Gate 1 Control Framework

*Gate 1 Deliverables – Gate 1 Checklist*

- Summary of Gate 1 deliverables
- Project Initiation Form
- SharePoint project record completed as appropriate
- Preliminary statement of work
- First-cut project cost and schedule estimate (confidence to +/- 100%)
- Gate 1 checklist – see below

Attach completed form to project record in SharePoint Project Portfolio.
For questions regarding this form, contact the OIT Project Management Office.

Date:

Project:

☐ Project initiation form completed and attached to project record in SharePoint.

☐ A project owner (accountable manager) has been identified and agrees to sponsor the project.

☐ Project classification information is complete in SharePoint project record. Expected classification is
  ☐ Standard      ☐ Small.

☐ PMO has been contacted, and a project manager has been assigned.

☐ Project record created and all basic information completed in SharePoint project record.

☐ Gate 1 cost and schedule information completed in SharePoint project record.

☐ Requested project date specified in SharePoint project record.

☐ Communications about project concept have been provided to each of the following. Appropriate representatives of areas that may be affected by the project have met with project team to discuss potential impacts.

  ☐ HelpDesk
  ☐ Desktop support

Potential Impacts:

Potential impacts:
<table>
<thead>
<tr>
<th>Category</th>
<th>Potential Impacts</th>
</tr>
</thead>
<tbody>
<tr>
<td>Systems</td>
<td></td>
</tr>
<tr>
<td>Network</td>
<td></td>
</tr>
<tr>
<td>Other ______</td>
<td></td>
</tr>
<tr>
<td>EDAS</td>
<td></td>
</tr>
<tr>
<td>Infrastructure</td>
<td></td>
</tr>
<tr>
<td>Security</td>
<td></td>
</tr>
<tr>
<td>Customer Relations</td>
<td></td>
</tr>
</tbody>
</table>

- Project Statement of Work has been completed.
- Gate 1 Checklist (this form) completed and attached to project record in SharePoint.
2. Feasibility Stage

Once the project has passed Gate 1, it is approved for the feasibility stage. A limited allocation of resources and expense has been put forward for further analysis of the project concept. However, the project itself is not yet approved. The project manager may not proceed with any significant procurements, project development, or project implementation activities.

The aim of this stage is to formalize the investigation to determine whether the project should proceed further and how it should proceed. The relevance of this approach will vary with the nature of the project itself. The more concrete the project is, the more likely that there will be established procedures in relation to feasibility studies. Projects following the small project model may combine stage 2 and stage 3 activities if approved at Gate 1.

Guidance

Project managers of projects already underway should review activities listed above to ensure the project is following current best practices. Projects that have moved into the feasibility stage are ready for some deeper analysis with regard to requirements and solutions alternatives. Requirements should be detailed first. A full range of alternatives should be reviewed and a formal analysis of them undertaken for more complex decisions. Projects being managed under the small projects model may not need much work in this stage. As long as requirements are understood and the desired alternative has been identified, they may move directly into stage 3.
Gate 2 Control Framework

Gate 2 Deliverables – Gate 2 Checklist

- Summary of Gate 2 deliverables
- SharePoint project record completed as appropriate
- Strategic Initiative (optional for small projects based on direction of project owner)
- Statement of Requirements at a level of detail appropriate to project size and complexity
- Preliminary Security Impact Statement and Project Security Plan
- Alternatives analysis (optional for small projects based on direction of project owner)
- Decision tree (optional for small projects based on direction of project owner)
- Preliminary project plan with defined scope and deliverables (optional for small projects based on direction of project owner)
- Preliminary cost and schedule estimates (confidence level +/- 40%)
- Gate 2 checklist – see below

Attach completed form to project record in SharePoint Project Portfolio.
For questions regarding this form, contact the OIT Project Management Office.

Date:

Project:

☐ The project team has been defined/refined.

☐ Roles and responsibilities have been identified.

☐ The project owner has been refined (if applicable.)

☐ A Strategic Initiative has been completed (for standard model projects) and submitted to oit.pmo@ua.edu. This is optional for projects following the small project model.

☐ The Project Charter has been completed and approved by the project owner.
The project’s requirements have been gathered and documented in detail. For standard model projects, a formal Statement of Requirements should be reviewed and approved by the project owner.

An initial security plan has been drafted and approved by the OIT Security Director.

Solution alternatives have been identified. For standard model projects, this should include do-nothing (base case), build and buy alternatives where applicable, and minimal/maximal alternatives. Decision tree is prepared.

Alternatives analysis has been performed, and a recommendation has been formulated. For standard model projects, the decision criteria, process, and scoring must be thoroughly documented.

Project scope and deliverables have been defined/refined based on recommended solution alternative.

High-level project risks have been identified based on recommended solution alternative.

Preliminary project plan has been formulated based on recommended solution alternative.

Preliminary cost and schedule estimates have been prepared based on recommended solution alternative (confidence level should be +/- 40%).

Organizational groups have been updated on project status and direction. This should include Security, Help Desk, Systems and Network Engineering, Infrastructure Support, Desktop Support, Customer Relations, and Finance.

Gate 2 Checklist (this form) has been completed and attached to the project record in SharePoint.
3. Planning Stage

Once the project idea has been approved and validated as feasible, the set of reasonable solution alternatives analyzed, and the approach to be used for the project selected, the real work of project planning begins. The planning stage is considered the most important stage in project management. The purpose of the planning stage is to document a reasonable approach for performing the services or tasks and for managing the project. Proper planning is a key factor in a project’s ability to meet cost, schedule, and performance objectives. Lack of adequate planning often results in a project’s failure to meet these objectives. The quality of a product or service often reflects the quality of a project plan and its management. Time spent up front identifying the proper needs and structure for organizing and managing a project saves countless hours of confusion and rework during the implementation stage. Project planning defines project activities that will be performed, the products that will be produced, and how these activities will be accomplished and managed. Project planning defines each major task, estimates the time, resources, and cost required, and provides a framework for management review and control. Planning involves identifying and documenting scope, tasks, schedules, cost, risk, quality, and staffing needs.

These activities are almost always repeated several times throughout the project. For example, the initial versions of the plan may include generic resource requirements and an undated sequence of activities, while the subsequent versions of the plan will include specific resources and explicit dates. Defining the project scope of work is an iterative process that is generally conducted by the project team with the use of a Work Breakdown Structure (WBS) allowing the team to capture and then decompose all of the work of the project. All of the defined work must be planned, estimated and scheduled, and authorized with the use of detailed, integrated plans. The culmination of the planning function results in
a consistent, coherent project plan or series of sub-plans used to guide both project execution and project control.

3.1 Developing Plans

Plans establish the basis for guiding project execution, identifying planning assumptions and decisions, facilitating communication among stakeholders, defining key management reviews as to content, extent, and timing, and providing a baseline for progress measurement and control. The project plan should consider all stages of the project’s life cycle, and planning should ensure that subordinate plans are consistent with each other and with the overall project plan.

a. Using the requirements and selected alternatives documentation along with preliminary plans, the project manager should perform a detailed project planning activity to document the plans for the project in one or more documents, ensuring that the following subjects are considered:
   • Product scope, requirements, activities, work breakdown structure, and schedule
   • Cost estimates and budget; measurement collection and reporting
   • Organization, staffing, and training
   • Project risks and how to manage them
   • Project life cycle strategy
   • Technical and management processes and procedures to be used
   • Product integration strategy, environment, and procedures
   • Decision-making strategies and their criteria
   • Security plan
3.2 Defining Schedule and Costs

Project schedule and cost definition includes the steps required to ensure timely completion of the project within the approved budget. Estimates previously developed during the feasibility stage may be revised as more detailed task information is known. On some projects, especially smaller ones, cost estimation and schedule development are so tightly linked that they are viewed as a single process (e.g., they may be performed by a single individual over a relatively short period of time). They are presented here as distinct steps because the tools and techniques for each are different. The results of each step should be documented in sufficient detail in the project plan or other format appropriate for effective project execution and control. The following steps are important when defining schedules and costs in every project:

a. Estimating the appropriate quantifiable parameters of the product such as number of requirements, system and product size, cost, schedule, documentation pages, data volume, and/or critical computer resources;

b. Developing the project's overall schedule and schedules associated with each task including significant events (reviews, audits, and key meetings) related to the task and interdependencies with other tasks as well as determining the critical path among the project's tasks;

c. Defining the human resources, hardware and software resources, and any limiting factors associated with each resource (e.g., dates available, skill type, and sequences of events and dependencies).

3.3 Identifying Resources and Obtaining Resource Commitments

Organizational planning includes the steps required to make the most effective use of the people involved with the project. Timely collection and dissemination of project information provide the critical links among people, ideas, and information that are necessary for success. Acquiring goods and services from outside the organization requires procurement and solicitation planning. The following activities are essential components for a successful project:

a. Identifying staff roles, determining and documenting the major duties of each staff position;

b. Discussing the project requirements with work coordinators and managers to ensure that resources are not already committed elsewhere.
3.4 Refining the Statement of Risks

Risks are potential problems, hazards, vulnerabilities, or exposure to danger that may cause significant harm or loss to the project or project team. Risk management encompasses the actions necessary to identify, analyze, plan, track, control, and communicate risks, not just once, but as often as needed throughout the project’s life cycle. Developing and documenting risk strategies and action plans so that risk-handling activities may be invoked proactively will minimize the impact of risks on the project.

Communications Plan

The communications plan outlines the roles and responsibilities of project participants in the review, approval, and dissemination of information about key project processes, events, documents, and milestones.

The five basic components of the communications plan are what to communicate, who to communicate to, why communicate, when to communicate, and how to communicate.

Two Types

a) Internal (Project Manager)

The purpose of the internal communication plan is to mitigate communication breakdown among project participants and management by articulating how, what, when, and to whom individuals will communicate and where the information will be maintained. Effective communication allows managers to track milestones, action items, and issues to ensure the project stays on schedule.

How is this done? The project manager accomplishes effective internal communication by using meetings, meeting agendas, meeting minutes, periodical (weekly, bi-weekly, monthly, etc.) reports, issue resolution/question logs, e-mail, phone, etc.

A matrix should be created outlining the internal communications plan.

All written communications should utilize templates, be organized, and be stored in an accessible agreed upon location so that every team member may parse through the information he/she needs in a quick and efficient manner.

b) External (Public Relations Office)

Timely and meaningful exchange of information external to the project team is critical to secure a positive commitment from stakeholders and the general public.
Guidance

The size and scope of planning documents will vary greatly depending on the project or stage size, duration, project, or product characteristics, customer requirements, and number of participating agencies or contractors. For small projects, a single document may address all necessary topics. For standard projects, separate documents may be needed for specific topics such as QA, CM, risks, training, test plans and schedules, as appropriate for the project. Project managers should enter planning data into the OIT SharePoint database.

Project managers of projects already underway should review these tasks to ensure that needed efforts are correctly planned, that the project is following current best practices, and that key changes to requirements and plans are incorporated and tracked as appropriate.
Gate 3 Control Framework

*Gate 3 Deliverables – Gate 3 Checklist*

**Summary of Gate 3 deliverables**

- Project plan narrative report providing a textual description of how the project will be performed including roles and responsibilities, major activities, milestones, key dependencies, critical path items, known risk areas and their contingencies and mitigations, resource constraints, security implications, operational impacts, training requirements, general communications approach, and key cost/benefit. For projects following the small project model, this may be as brief as warranted by project size, scope, and complexity.
- Work breakdown structure and Gantt chart showing project tasks, sequence, dependencies, milestones, and proposed dates to a level of detail appropriate to the project’s size and complexity (optional for small projects based on direction of project owner)
- Detailed cost and schedule estimates (confidence to +/- 10%)
- Security plan
- Communications plan
- Support plan
- Gate 3 checklist (see below)

Attach completed form to project record in SharePoint Project Portfolio.
For questions regarding this form, contact the OIT Project Management Office.

Date:

Project:

☐ Project planning complete including but not limited to the following items (may be scaled back for small projects based on project owner direction):

☐ ☐ Project Plan Narrative Report
☐ Project plan Work Breakdown Structure and Gantt chart (MS Project)
☐ Risk Management Plan
☐ Training Plan
☐ Communications Plan
☐ Security Plan
☐ Testing Plan
☐ Transition to Support Plan
☐ Support Plan
☐ Detailed cost and schedule (confidence to +/- 10%)

☐ Project record information updated in SharePoint project record.
☐ Gate 3 cost and schedule information completed in SharePoint project record.
☐ Gate 3 Checklist (this form) completed and attached to project record in SharePoint.
4. Implementation Stage

If planning has been completed and plans have been approved, now the implementation begins. While planning is extremely important, the best plan in the world can fail if execution is poor. In the implementation stage, the project's key deliverables are created and assessed. In this stage, the implementation teams perform cross-functional work and thoroughly review all deliverables as they are developed. Project management monitors project progress; deals with issues; and communicates to team, management, and stakeholders. The project team reviews and tests deliverables and obtains customer feedback and approvals if needed.
4.1 Implementing the Plan
Implementation activities (e.g. product design, development/production, and verification and validation activities) should be conducted according to the project plan and the implementation of technical processes.

4.2 Selecting and Administering Procurements
Many projects need the support of outside contractors, packaged products, off-the-shelf equipment, or licenses to use specialized tools or products. The acquisition of products and services from suppliers external to the project must often be managed with formal agreements. Outside support should be acquired if using outside products, licenses, or contractor support. Also, the type of acquisition should be determined, suppliers selected, and supplier agreements established.

4.3 Cultivating Teamwork
The skills, training, leadership, ethics, and teamwork of the people on the project staff are essential factors for project success. Performing the following activities is important in order to ensure effective teamwork:

a. Acquiring staff members for the project team;
b. Ensuring that project knowledge and expectations are clearly communicated and understood;
c. Building teamwork among all team members;
d. Keeping communications among and between team members open;
e. Engaging team in responding to issues and mitigating risks.
4.4 Monitoring
The project manager is responsible for monitoring project task completion, expenditures, stakeholder concerns, project status, and conflict resolution to ensure project success. This is accomplished by performing the following activities:

a. Verifying project tasks are being completed on schedule;
b. Ensuring project expenditures are occurring on schedule and at expected levels;
c. Engaging with project team and stakeholders and noting concerns or issues;
d. Conducting project status meetings and ensuring sufficient cross-functional dialogue;
e. Escalating any issues as necessary to obtain management support for resolution.

4.5 Verifying Product Quality
The project manager is responsible for verifying product quality by performing the following activities:

a. Implementing QA methods;
b. Reporting work results.

Guidance
Project implementation activities vary greatly among projects depending on the project scope and the product or service being produced. Project managers must rely on experience, judgment, and tailoring guidance to adapt these activities to the specific project needs.

Project managers of projects already underway should review these activities to ensure that needed implementation activities are being performed and that the project is following current best practices.
Gate 4 Control Framework

Gate 4 Deliverables – Gate 4 Checklist

Summary of Gate 4 deliverables

- Implementation report
- Project actual cost and schedule summary
- Gate 4 checklist (see below)

Attach completed form to project record in SharePoint Project Portfolio.
For questions regarding this form, contact the OIT Project Management Office.

Date:

Project:

☐ Project implementation is complete.

☐ Were project status updates kept and documented weekly in OIT SharePoint repository?
  ☐ yes ☐ no

☐ Were the project’s scope, budget, and resource targets met?
  ☐ yes ☐ no

☐ Was change management used?
  ☐ yes ☐ no
  ☐ If yes, the proper documentation was captured and attached to the project record on SharePoint.

☐ Project implementation report has been completed.

☐ Project cost and schedule summary has been completed.

☐ Gate 4 cost and schedule information has been completed in SharePoint project record.
Gate 4 checklist (this form) has been completed and attached to the project record on SharePoint.

5. **Closure Stage**

The purpose of the closure stage is to measure and document project success, bring the project to an orderly end, transition ownership of the completed product to the users, retire any systems, processes, and/or equipment replaced by the project, and transition the solution to support mode for provision of ongoing maintenance, training, and operational support. The ultimate measure of any project is the successful use of the resulting product. Post-delivery support of the operation and usage of the product is often the longest and costliest portion of the product’s life.

### Inputs
- The completed system, product(s) or provided service
- Approved and appropriate product documentation
- Final product
- Documentation may include project build plans, description documents, and other final deliverables as per the Statement of Work (SOW).

### Activities
- Monitoring usage of the delivered solution and measuring against defined success criteria
- Identifying project lessons learned
- Transitioning solution to support
- Decommissioning retired systems, processes, and/or equipment
- Closing the project

### Outputs
- Product ownership transitioned
- Solution transitioned to support mode
- Closed contract files, project archives, project closure, lessons learned
- Project status documented in a final PDF, if applicable
- Customer feedback
- Project closed out in the OIT SharePoint Repository
- Gate 5 deliverables and other deliverables
- Gate 5 checklist

#### 5.1 Closing the Project or Stage

The close of the project involves transitioning product ownership and support, measuring project success, and ensuring that all administrative and contractual issues are properly concluded. The project manager performs the following actions:

- Transitioning ownership of the product or service and ensuring user support has transitioned to operational mode;
- Planning and tracking the decommissioning, turn-in, and accounting activities of owner-owned equipment, computers and recyclable/reusable products, as well as the release of facilities, and the appropriate disposal of hazardous materials; obtaining receipts from turn-in of equipment and hazardous materials from the proper owner/authority; decommissioning retired process documentation or other materials no longer required;
- Measuring the solution against defined project success criteria for a specified amount of time to determine whether expected value has been realized from the project; preparing a report on project value realization for Gate 5;
d. Conducting administrative closure; ensuring all documentation and efforts are complete to conclude the project or stage; documenting final project results, progress, and status; documenting lessons learned.

Gate 5 Control Framework

*Gate 5 Deliverables – Gate 5 Checklist*

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**Summary of Gate 5 deliverables**

- Customer post-project survey results
- Project Decommissioning Statement
- Project Lessons Learned Statement
- Project Value Realization Statement
- Gate 5 Checklist (see below)

Attach completed form to project record in SharePoint Project Portfolio. For questions regarding this form, contact the OIT Project Management Office.

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Date: 

Project: 

- [ ] The customer has signed off on the project.
- [ ] All equipment, software, processes, and documentation targeted for retirement as part of the project have been decommissioned according to the plan. The Project Decommissioning Statement has been prepared.
- [ ] Project success criteria have been monitored for the prescribed time period and project valuation has been measured. Project Valuation Statement has been prepared.
- [ ] The final budget has been closed and signed off by the OIT Business Office.
- [ ] The survey of the customer has been conducted through Survey Monkey and results documented.
- [ ] Gate 5 final cost information has been completed in the SharePoint project record.
- [ ] The project close out meeting has been conducted.
- [ ] The lessons learned have been documented in the project Lessons Learned Statement.
Final approval of project has been received.

Gate 5 Checklist (this form) has been completed and attached to the project record on SharePoint.

The project has been moved to the archive repository on SharePoint.