

# Florida Health Care Connection (FX)

## Strategic Enterprise Advisory Services (SEAS)

### P-2: FX Project Management Standards

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## Revision History

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Modifications made to the approved baseline version (100) of this artifact are in accordance with the Change Control process that is part of the Scope Management Plan.

## Quality Review History

DATE	REVIEWER	COMMENTS
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## SECTION 1 INTRODUCTION

### 1.1 BACKGROUND

The Florida Agency for Health Care Administration (AHCA or Agency) is preparing for the changing landscape of health care administration and increased use of the Centers for Medicare and Medicaid Services (CMS) Medicaid Information Technology Architecture (MITA) to improve the administration and operation of the Florida Medicaid Enterprise. The current Florida Medicaid Enterprise includes services, business processes, data management and processes, technical processes within the Agency, and interconnections and touch points with systems that reside outside the Agency necessary for administration of the Florida Medicaid program. The current Florida Medicaid Enterprise System (MES) includes the Florida Medicaid Management Information System (FMMIS), Decision Support System (DSS), and other systems operated by different vendors. These systems in the MES, interface primarily through the exchange of data files, via Secured File Transfer Protocol. These point-to-point interfaces become more complex and costlier as the number of systems and applications increase. The future of the Florida Medicaid Enterprise integration is to allow Florida Medicaid to secure services that can interoperate and communicate without relying on a common platform or technology.

AHCA contracted with the Strategic Enterprise Advisory Services (SEAS) Vendor, in September 2017 to develop the technical standards and propose solutions for the Florida Health Care Connections (FX) <sup>1</sup>in accordance with the CMS Conditions and Standards, including MITA 3.0, and to provide strategic, programmatic, and technical advisory services for the Agency. The Agency accepted the 17 initial deliverables in FY 2017-18. The SEAS Vendor is now executing those plans and performing the annual refresh as required by the SEAS Contract, MED-191.

### 1.2 PURPOSE

The purpose of the FX Project Management Standards (hereafter The Standards) is to establish standardization in project management processes executed by FX Project Teams and to facilitate the integrated processes essential to the FX EPMO.

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<sup>1</sup> During the strategic visioning session held on December 13, 2017, the executive team determined that this project should be focused much more broadly than just a Florida Medicaid Management Information System (FMMIS) replacement, indicating that the project should “Transform the Medicaid Enterprise to provide the greatest quality, the best experience, and the highest value in healthcare.”

To articulate this far-reaching scope, the Medicaid Enterprise System (MES) Procurement Project was re-named Florida Health Care Connections (FX).

The Standards provide the approach, standards, and processes for integrated plans (such as Risk Management) required to manage all current and future FX Projects, meet customer expectations, and keep appropriate stakeholders involved and informed of project progress.

The Standards and key integrated processes support the following:

- Effective communication of project and program information across the various FX stakeholders, including FX Governance, SEAS Vendor, FX Project Vendors, AHCA organization, Independent Verification and Validation (IV&V) Vendor, and other state and federal oversight organizations
- Effective management of the complex risks and issues which will arise because of the various requirements and priorities of the various stakeholders
- Effective engagement of the individual stakeholders and FX Project Teams to gain the necessary decisions on expected outcomes, project plans, and key deliverables
- Coordination of the numerous FX Projects through the FX Project Lifecycle – and work with the various stakeholders and team members to gain support, resolve conflicts, and direct the various teams
- Assess whether the outputs or outcomes of the program components contribute to the overall FX Program benefits
- Promote continuous alignment of the various FX Project Teams and the Agency team members with the FX Strategic Plan

### 1.3 SCOPE STATEMENT

The Standards apply to all FX Projects authorized by the FX Portfolio.

The Standards explain the following:

- Roles and Responsibilities of FX Project Teams and FX Project Stakeholders
- Background and basis for how The Standards are developed and documented
- FX Project processes required across project stages
- Decision tree for advising project teams which FX Project artifacts are required based on project type, risk, and complexity
- FX Compliance to The Standards

### 1.4 REFERENCED DOCUMENTS

The following documents are inputs to The Standards:

- Project Management Institute, Project Management Body of Knowledge (PMBOK®) 6th Edition
- Project Management Institute, The Standard for Program Management, Fourth Edition



- Project Management Institute, The Standard for Portfolio Management, Fourth Edition
- Project Management Institute, Practice Standard for Scheduling, Second Edition
- Project Management Institute, Practice Standard for Work Breakdown Structures, Second Edition
- Project Management Institute, Benefits Realization Management Framework (2016)
- The Agency for State Technology (AST) Florida Information Technology Project Management and Oversight Standards described in Florida Administrative Rule 74-1.001 through 74-1.009, Florida Administrative Code (F.A.C.), also available in the Reference Materials folder of the FX Projects Repository
- The AST [Florida Cybersecurity Standards](#) described in Florida Administrative Rule 74-2.001 through 74-2.006, F.A.C., as listed in the [Technology Standards Reference Guide](#)
- The AST Information Technology Architecture Standards for Identity Management described in Florida Administrative Rule 74-5.001 through 74-5.003, F.A.C., as listed in the [Technology Standards Reference Guide](#)
- AST's "Tips for Effective Schedule Development and Maintenance"
- CMS MITA Framework
- SEAS Contract MED-191 including all amendments to the Contract, and subsequent SEAS Task Orders
- The Invitation to Negotiate (ITN) 001-16/157, Strategic Enterprise Advisory Services (SEAS)
- FX Project Management Standards: SEAS Contract Deliverable No. P-2 version 100<sup>2</sup>, available on the FX Projects Repository
- FX Design and Implementation Management Standards No. T-7 version 100 available on the FX Projects Repository
- Medicaid Enterprise Certification Management Plan: SEAS Contract Deliverable No. P-4 version 100, available on the FX Projects Repository
- FX Strategic Project Portfolio Management Plan: SEAS Contract Deliverable No. S-4 version 100, available on the FX Projects Repository
- FX Governance Plan: SEAS Contract Deliverable No. S-1 version 200, available on the FX Projects Repository
- The draft FX Enterprise Project Management Office (EPMO) Charter and Program Management Plan, available on the FX Projects Repository
- The draft FX Organizational Change Management (OCM) Plan, available on the FX Projects Repository

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<sup>2</sup> All initial Agency approved documents are stored and archived in the FX Projects Repository as final drafts with a version 100 according to the Document Management processes documented later in this version or in the Project Management Plan template.

- FX EPMO Task Estimation Guidance, available on the FX Projects Repository

## SECTION 2 ROLES AND RESPONSIBILITIES

**Exhibit 2-1: FX Project Management Organization Roles and Responsibilities** shows the roles and responsibilities for all the stakeholders involved with FX Project Management according to these standards.

ROLE	RESPONSIBILITY
FX Governance	<ul style="list-style-type: none"> <li>Provides leadership and guidance on the overall strategic direction of the program</li> <li>Authorizes FX Portfolio components to become active project engagements</li> <li>Additional responsibilities defined in the FX Governance Plan</li> </ul>
FX Project Sponsor	<ul style="list-style-type: none"> <li>Provides leadership and guidance on the overall strategic direction of the project</li> <li>Has project ownership and overall responsibility for the successful development and implementation of the project</li> </ul>
FX Project Director <sup>3</sup>	<ul style="list-style-type: none"> <li>Accountable for confirming processes are in place for the execution of The Standards</li> <li>Accountable for confirming expectations (contracts) are in place for FX Project Teams to develop their Project Management Plan (PMP), adhering to The Standards and FX EPMO requirements</li> <li>Accountable for confirming AST Risk &amp; Complexity Assessment processes are provided to FX Project Teams as applicable</li> <li>Accountable for confirming training is provided to FX Project Teams on The Standards</li> <li>Accountable for confirming processes are in place for the coordination of shared AHCA resources</li> <li>Accountable for confirming tools and processes are in place for the centralized support of managing changes and tracking risks, issues, decisions, and lessons learned</li> </ul>

<sup>3</sup> This could also be the Project Manager depending on the category and type of project, but either will require a Project Management Professional (PMP) Certification sanctioned by PMI.

ROLE	RESPONSIBILITY
FX EPMO	<ul style="list-style-type: none"> <li>Responsible for developing and maintaining Project Management Standards</li> <li>Responsible for confirming tools and processes are in place for the adhering to the Project Management Standards</li> <li>Responsible for developing and maintaining the Program Management Plan</li> <li>Responsible for coordinating integrated processes</li> <li>Responsible for assessing FX Project Team's compliance with The Standards, at the direction of the Agency</li> <li>Responsible for developing training for FX Project Teams on The Standards to facilitate successful project delivery</li> <li>Responsible for coordination of tools and processes for managing changes and tracking risks, issues, decisions, and lessons learned</li> <li>Responsible for producing timely and accurate program-level status reporting</li> <li>Responsible for facilitating program-level meetings (e.g. program-focused risk meetings, resource coordination, schedule reviews)</li> </ul>
FX Project Teams	<ul style="list-style-type: none"> <li>Deliver approved scope and requirements as defined in the approved project charter</li> <li>Responsible for completing and executing a Project Management Plan that adheres to The Standards</li> <li>Executing defined processes in alignment with the FX EPMO integrated processes</li> <li>Adhere to compliance requirements detailed in The Standards</li> <li>Responsible for communicating and executing changes and tracking risks, issues, decisions, and lessons learned according to The Standards and integrated processes.</li> <li>Responsible for FX Project meeting (i.e. status, risk) facilitation</li> </ul>
IV&V Vendor	<ul style="list-style-type: none"> <li>Provide independent, objective assessments of project processes and report observations to the AHCA FX Project Management Team to facilitate informed decision-making regarding system development and deployment</li> <li>Monitor Certification status of applicable projects and report certification progress to CMS</li> <li>Verify FX Projects have the strategy, management backing, resources, skills, and abilities to successfully execute the project</li> <li>Evaluate project progress, resources, cost, schedules, work flow, and reporting; evaluate project reporting process and actual project reports to verify project status is accurate using project metrics</li> <li>Verify the project's organizational structure supports training, process definition, independent Quality Assurance, Configuration Management, product evaluation, and any other functions critical for the project's success</li> </ul>

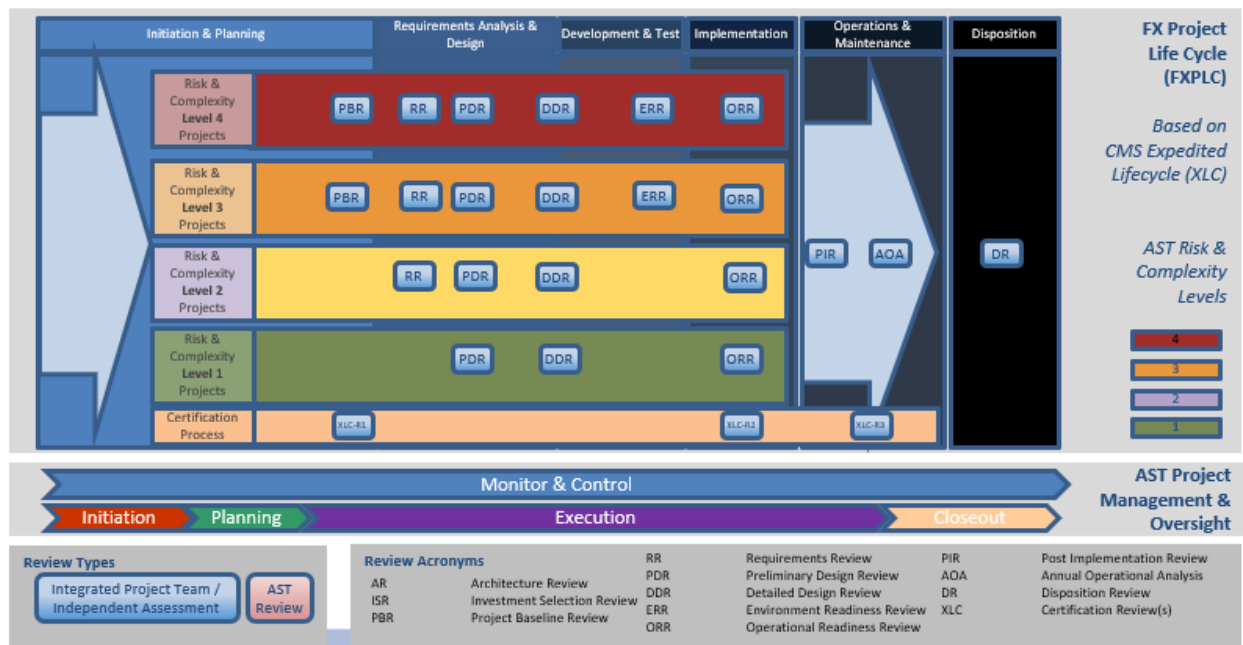
ROLE	RESPONSIBILITY
Agency for State Technology (AST)	<ul style="list-style-type: none"> <li>Establishes IT standards and policy for the State of Florida</li> <li>Provides independent oversight of FX IT Projects pursuant to Chapter 282.0051(4), Florida Statutes</li> <li>Performs annual assessments of state agency's compliance with AST's published standards and guidelines, pursuant to Chapter 282.0051(10), Florida Statutes</li> <li>Reviews legislative budget requests that have IT components</li> </ul>
Centers for Medicare and Medicaid Services (CMS)	<ul style="list-style-type: none"> <li>Provides guidance, federal funding, and oversight of the project</li> </ul>
Florida Legislature	<ul style="list-style-type: none"> <li>Appropriates funding for FX Projects</li> </ul>
Executive Office of the Governor	<ul style="list-style-type: none"> <li>Makes budget recommendations to the FL Legislature</li> </ul>

### Exhibit 2-1: FX Project Management Organization Roles and Responsibilities

## SECTION 3 FX PROJECT MANAGEMENT STANDARD OVERVIEW

### 3.1 FX PROJECT LIFE CYCLE

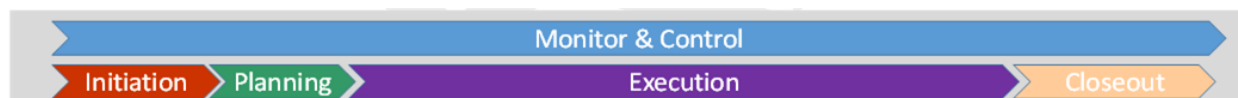
FX Project Life Cycle (FXPLC) is a system development life cycle based on the CMS eXpedited Life Cycle (XLC), scaled according to AST Risk and Complexity, and customized for use with Florida Health Care Connections (FX) Projects. The SEAS Vendor in collaboration with the Agency tailored the FXPLC to serve the needs of Business Process Modeling Projects; Procurement Projects; Design, Development, and Implementation (DDI) Projects, and other generic projects. The FXPLC provides standards FX Projects shall follow, activities to perform, and deliverables and documentation to produce during each life cycle phase.



**Exhibit 3-1: FX Project Life Cycle (FXPLC)**

### 3.2 FX PROJECTS AND PROJECT MANAGEMENT

All FX Projects authorized by the Portfolio and directed by the FX EP MO will follow uniform project management practices established to facilitate successful outcomes and valued benefits. Each FX Project will vary in scope of services, resource requirements, or duration.



**Exhibit 3-2: Standard FX Project Stages**

Regardless of the project type, risk, and complexity, each FX Project shall:

- Initiate project activity demonstrating project knowledge necessary to each specific objective
- Plan how to execute, monitor, communicate, and control work
- Break down scope into actionable, sequenced tasks
- Perform analysis and design the solution to meet the business needs and required project outcomes
- Execute to outcome
- Monitor team, tasks, and progress toward outcomes
- Report performance
- Document and archive for future reference

### **3.3 BASIS FOR FX PROJECT MANAGEMENT STANDARDS**

#### **3.3.1 PROJECT MANAGEMENT INSTITUTE (PMI)**

The FX EPMO has developed project management standards, templates, tools, and processes based on PMI publications. The Standards use a subset of PMBOK's forty-nine identified processes across the FX Projects Life Cycle, to address the varied project types required to transform the Agency in a project environment that also includes portfolio and program management.

#### **3.3.2 CENTERS FOR MEDICARE AND MEDICAID SERVICES (CMS)**

The Agency works directly with CMS to deliver Medicaid services to the State of Florida. CMS may fund up to 90% of an implementation project's budget and has administered and implemented many systems throughout the United States. CMS has identified several practices and system standards all projects should follow. The FXPLC is an adaptation of CMS' XLC—and associated templates—tailored to meet the needs of FX.

As specified in the MED-191, the SEAS Vendor's Programmatic Team shall help FX Projects comply with CMS requirements for module certification (reference section for Alignment with Medicaid Enterprise System Certification Standards). The FX EPMO shall validate that projects are meeting all CMS project management standards and processes. The Technical team shall ensure projects meet the CMS technical standards (reference section for Alignment with Technical Design and Implementation Standards). Portfolio Management shall validate that projects and programs meet CMS objectives, strategies, and goals.

#### **3.3.3 THE AGENCY FOR STATE TECHNOLOGY (AST)**

Established in 2014, the Florida Agency for State Technology (AST) oversees the state's essential technology projects. In this capacity, AST routinely reviews IT projects at State

Agencies and offers agencies guidance for effective project management practices. As part of their role, they have issued a series of administrative rules IT projects must follow:

Chapter 74-1, F.A.C. Florida Information Technology Project Management and Oversight Standards is the prime focus of the FX EPMO as it pertains to project management activities. Administrative rules 74-2 through 74-5 are the focus of the Technical Domain. The FX EPMO will assist the Agency in confirming compliance to AST's standards by reviewing projects against AST's standards.

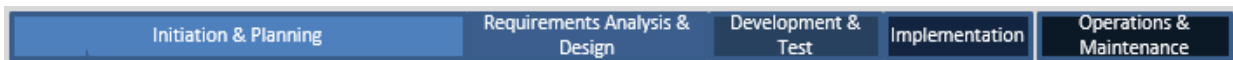
Note: AST's IT Project Management and Oversight Standards only apply to IT projects.

### 3.3.4 CURRENT AGENCY STANDARDS

AHCA's Division of Information Technology uses its Information Systems Development Methodology (ISDM) for managing the System Development Life Cycle (SDLC) for IT projects.

For Medicaid-specific perspective, Medicaid Fiscal Agent Operations (MFAO), the current Medicaid fiscal agent contract management bureau, has a Project Management Office Operational Procedures Manual that outlines the process and templates required for the current fiscal agent.

### 3.3.5 ALIGNMENT WITH TECHNICAL DESIGN AND IMPLEMENTATION MANAGEMENT STANDARDS



**Exhibit 3-3: CMS XLC Project Phases**

[The Design and Implementation Management Standards](#) establish the more detailed, technical standards for FX Project Teams to follow when implementing or modifying systems, applications, or data changes in the integrated environment. Design and Implementation Management Standards provides structure and guidance to help FX Project Teams complete system development artifacts that follow FXPLC phase specific standards. An example of a Design and Implementation Management Template is the FX Testing Management Plan Template.

### 3.3.6 ALIGNMENT WITH MEDICAID ENTERPRISE SYSTEM CERTIFICATION STANDARDS

The Medicaid Management Information Systems (MMIS) Certification process is the prescribed validation process from CMS for states to request and obtain enhanced Federal Financial Participation (FFP) to develop, implement, operate, and maintain their MMIS.

The Medicaid Enterprise Certification standards for this project are in the [Medicaid Enterprise Certification Management Plan](#), which is available on the FX Projects Repository. Referred to as the MEC Management Plan, its purpose is to provide the plan to manage the Certification



milestone reviews throughout the Medicaid Enterprise Certification Life Cycle (MECL). Each FX Project Vendor is responsible for supporting the Certification process for the associated business component(s).

The MEC Management Plan specifically requires each FX Project Vendor to be responsible for the following:

- Provide applicable documentation of requirements as included in the Certification process for each applicable FX Project
- Provide a Certification Lead who will coordinate with the AHCA, SEAS, and IV&V Certification counterparts on all activities related to Certification including understanding the MEC Management Plan
- Support the MECL process for all components which are certified, as described in the current version of the MECT
- Work with AHCA's IV&V Vendor to confirm IV&V Vendor has required access to project artifacts
- Participate and provide support as needed to other FX Project Vendors for module Certification activities including participating in planning activities, meetings, and other activities as required by CMS
- Assist the Agency in completing the state section of the MECT checklist, as required by the most current version of MECT
- Produce Certification artifacts, evidence, and presentation materials
- Perform all the required remediation activities, based on the Certification findings after each milestone review, with approval by CMS and Agency on a specified schedule
- Update the documentation as necessary to support the Certification process and to reflect changes that have been made to the solution during the Certification process
- Adhere to MEC Management Plan

The MECL Phases align with the XLC Phases the FXPLC is based on. With the development of Design and Implementation Management Plans and artifacts, each FX Project Vendor and the SEAS Certification team will compile the evidence to support the required system functionality as listed on the MEC Checklists in preparation for IV&V assessments and the CMS Milestone reviews. The Milestone Reviews in relation to the MECL phases are:

CERTIFICATION MILESTONE REVIEWS	FXPLC PHASES	CMS XLC PHASES
<ul style="list-style-type: none"> <li>▪ Project Initiation Milestone Review (R-1) (prior to issuing procurement, so may occur during Execution Phase)</li> </ul>	<ul style="list-style-type: none"> <li>▪ Initiation Phase</li> <li>▪ Planning Phase</li> </ul>	<ul style="list-style-type: none"> <li>▪ Initiation, Concept, and Planning Phase</li> </ul>

	<ul style="list-style-type: none"> <li>Execution Phase</li> <li>Requirements Analysis Stage</li> </ul>	<ul style="list-style-type: none"> <li>Requirements, Analysis and Design Phase</li> </ul>
<ul style="list-style-type: none"> <li>Operational Milestone Review (R-2)</li> </ul>	<ul style="list-style-type: none"> <li>Design Stage</li> <li>Development Stage</li> <li>Test Stage</li> </ul>	<ul style="list-style-type: none"> <li>Design and Development Phase</li> </ul>
	<ul style="list-style-type: none"> <li>Implementation Stage</li> </ul>	<ul style="list-style-type: none"> <li>Implementation Phase</li> </ul>
<ul style="list-style-type: none"> <li>Certification Request (once module has been operational for 6 months)</li> <li>MMIS Certification Final Review (R-3)</li> </ul>	<ul style="list-style-type: none"> <li>Project Close Out Phase</li> <li>Transition to Operations and Maintenance</li> </ul>	<ul style="list-style-type: none"> <li>Operations and Maintenance Phase</li> </ul>

#### Exhibit 3-4: FXPLC Phases to MECL Phases Alignment Table

During the FXPLC's equivalent of the Initiation, Concept, and Planning Phase, the Certification team (made up of Agency staff, SEAS Programmatic SMEs, and appropriate project staff) will work with FX Project Teams (as scope requires) to identify the applicable MEC Checklists, artifacts, and supporting documentation necessary to comply with a Milestone Review and build those items into the individual project work plan and timeline for the FX module.

### 3.3.7 COMPLIANCE TO STANDARDS AND PROCESSES

As developed by the SEAS Vendor and approved by the Agency, the standards, processes, procedures, and templates are designed to follow industry standards (e.g. PMI, Prosci, NIST), and address the requirements of applicable standards- such as CMS and AST. Thus, all FX Projects must comply with applicable FX standards.

#### 3.3.7.1 THE FX EPMO

The FX EPMO strives to serve the Agency and FX Project Teams as a Center of Project and Program Management Excellence, guiding and monitoring the project management operations of all FX Projects assigned to it. The FX EPMO developed standards, processes, procedures, template, and tools to facilitate accountability and successful project delivery. The FX EPMO may use the life cycle reviews scheduled periodically throughout the FX PLC to assess FX Projects' compliance with The Standards<sup>4</sup> (other teams/entities will similarly assess compliance with their standards). The FX EPMO shall use the FX Project's approved PPA to confirm required artifacts have been prepared. The FX EPMO will use the AST Compliance Assessment Tool to confirm content required by AST's IT Project Management and Oversight Standards is included.

<sup>4</sup> Upon request by the Agency, the FX EPMO will assess FX Projects' compliance to The Standards.

Note: The AST Project Management and Oversight Standards apply only to IT Projects.

### **3.3.7.2 AST COMPLIANCE**

The AST was established in 2014 to set policy for the management of the state's IT resources and to operate the state data center. Florida Statute empowered AST to establish standards with which state agencies must comply when implementing IT projects. The statutes further empower the AST to perform oversight on IT projects with implementation costs of \$10 million and more, and assess agencies' compliance with all applicable, published standards—irrespective of project cost.

AST has been overseeing FX Projects on a monthly basis since September 2017. In addition, some FX Projects are reported to the AST via the AHCA's annual inventory of IT projects; thus, subject to assessments of compliance with standards.

While the Agency (AHCA) is ultimately accountable for complying with the AST's rules, responsibility for complying with the AST's rules has been delegated to all FX Vendors via contract terms. AST's IT Project Management and Oversight Standards, as enumerated in Chapter 74-1, Florida Administrative Code (F.A.C.), are embraced in these FX Project Management Standards and accompanying templates; however, this does not relieve FX Vendors from their respective contractual obligations to be familiar with and comply with the rules.

## SECTION 4 FX PROJECTS LIFE CYCLE (FXPLC)

The FX Projects Life Cycle is built upon the concept of integration. The standards defined herein reflect how FX Projects identify, define, combine, and coordinate various processes and activities across knowledge areas, functional areas, and organizations. FX Projects have many inputs for information as well as many requirements from stakeholders, including compliance mandates from CMS and AST.

The FXPLC is accomplished through executing a series of processes and activities using standard tools and templates that drive outputs from those inputs. Whether it is a business process identification project that yields a procurement, or a procurement development project that yields a System Implementation project, there are consistent groups of processes that are required to generate standard outputs that allow stakeholders to make strategic decisions, define goals, and achieve objectives.

The FX EPMO developed a standard set of processes based on the standard PMI process groups to facilitate the delivery of FX Projects, independent of project type and including integration with other functional areas. These processes are also based on industry standard project management methodologies, AST and CMS requirements, and Agency-defined processes for deliverable development and IT implementations.

### 4.1 FX PROJECT PROCESS GROUPS TABLE

**Exhibit 4-1: FX Project Process Groups Table** details the FX Processes required by all FX Projects adhering to the FX EPMO standards.

FOCUS AREA	INITIATING PROCESS GROUP	PLANNING PROCESS GROUP	EXECUTING PROCESS GROUP	MONITOR AND CONTROLLING PROCESS GROUP	CLOSING PROCESS GROUP
<b>Project Management</b>	<ul style="list-style-type: none"> <li>Project Site</li> <li>Project Process Agreements (PPA)</li> <li>Project Charter</li> </ul>	<ul style="list-style-type: none"> <li>Project Management Plan</li> </ul>	<ul style="list-style-type: none"> <li>Manage Project</li> </ul>		<ul style="list-style-type: none"> <li>Project Close Out Report</li> </ul>
<b>Scope Management</b>		<ul style="list-style-type: none"> <li>Plan Scope Management</li> <li>WBS Breakdown</li> </ul>		<ul style="list-style-type: none"> <li>Control Scope</li> </ul>	
<b>Schedule Management</b>		<ul style="list-style-type: none"> <li>Plan Schedule Management</li> <li>Develop Schedule</li> </ul>		<ul style="list-style-type: none"> <li>Control Schedule</li> </ul>	

FOCUS AREA	INITIATING PROCESS GROUP	PLANNING PROCESS GROUP	EXECUTING PROCESS GROUP	MONITOR AND CONTROLLING PROCESS GROUP	CLOSING PROCESS GROUP
<b>CRAIDL (Change, Risk, Action Items, Issues, Decisions, Lessons Learned) Management</b>		<ul style="list-style-type: none"> <li>Plan Change Management</li> <li>Plan Risk Management</li> <li>Plan Action Item Management</li> <li>Plan Issue Management</li> <li>Plan Decision Management</li> <li>Plan Lessons Learned Management</li> <li>Identify Risk</li> <li>Validate and Assess Risk</li> </ul>		<ul style="list-style-type: none"> <li>Control Change</li> <li>Control Risk</li> <li>Control Action Items</li> <li>Control Issues</li> <li>Control Decisions</li> <li>Control Lessons Learned</li> </ul>	<ul style="list-style-type: none"> <li>Disposition remaining Items</li> <li>Lessons Learned Summary</li> </ul>
<b>Communication Management</b>		<ul style="list-style-type: none"> <li>Plan Communication Management</li> </ul>	<ul style="list-style-type: none"> <li>Manage organizational engagement communications</li> </ul>	<ul style="list-style-type: none"> <li>Weekly Status Reporting</li> <li>Monthly Status Reporting</li> </ul>	
<b>Stakeholder Management</b>	<ul style="list-style-type: none"> <li>Preliminary Stakeholder Assessment (Charter)</li> </ul>	<ul style="list-style-type: none"> <li>Plan Stakeholder Management</li> </ul>	<ul style="list-style-type: none"> <li>Manage organizational changes impacting Stakeholders</li> </ul>		
<b>Performance Management</b>		<ul style="list-style-type: none"> <li>Plan Performance Management</li> </ul>		<ul style="list-style-type: none"> <li>Monitor Performance</li> <li>Report Performance</li> </ul>	
<b>Document Management</b>		<ul style="list-style-type: none"> <li>Plan Document Management</li> <li>Identify Deliverables and Milestones</li> </ul>	<ul style="list-style-type: none"> <li>Manage Artifacts</li> <li>Approve Artifacts</li> </ul>		<ul style="list-style-type: none"> <li>Archive Project Artifacts</li> </ul>
<b>Quality Management</b>		<ul style="list-style-type: none"> <li>Plan Quality Management</li> </ul>	<ul style="list-style-type: none"> <li>Review Deliverables/ Artifacts</li> <li>Manage Requirements</li> </ul>		
<b>Benefits Realization Management</b>		<ul style="list-style-type: none"> <li>Plan Benefits Realization Management</li> </ul>		<ul style="list-style-type: none"> <li>Monitor Benefits Realization</li> <li>Report Benefits Realization</li> </ul>	
<b>Cost Management</b>		<ul style="list-style-type: none"> <li>Plan Cost Management</li> <li>Estimate Cost and Confirm Budget</li> </ul>		<ul style="list-style-type: none"> <li>Monitor Actual vs Budgeted Cost (monthly)</li> </ul>	

FOCUS AREA	INITIATING PROCESS GROUP	PLANNING PROCESS GROUP	EXECUTING PROCESS GROUP	MONITOR AND CONTROLLING PROCESS GROUP	CLOSING PROCESS GROUP
Resource Management		<ul style="list-style-type: none"> <li>Plan Resource Management</li> </ul>	<ul style="list-style-type: none"> <li>Manage Team</li> </ul>		<ul style="list-style-type: none"> <li>Release Resources</li> </ul>

#### Exhibit 4-1: FX Project Process Groups Table

The following sections describe the processes detailed in **Exhibit 4-1: FX Project Process Groups Table**, organized by the distinct stages of FX Projects. The Design and Implementation Management Standards address the distinct processes and required artifacts for System Implementation project types, and although not referenced in the following sections, the FX Project Teams must understand and comply with the standards.

## SECTION 5      FX PROJECT INITIATION STAGE

The initiating of an FX Project consists of those processes performed to define a new project or new phase of an existing project by obtaining Governance authorization to start working on tasks to achieve the Agency's strategic outcomes. By completing the Initiation Stage, the FX Project Team will confirm stakeholders' expectations and objectives, demonstrate understanding of scope, size, and complexity of the endeavor required to complete the effort set forth in the FX Portfolio.

### 5.1    PROJECT SITE SET UP

When a project is authorized by the FX Portfolio, the FX EPMO will set up the project's infrastructure using Agency standards developed for FX Projects; specifically, create the project's SharePoint site and Project Artifact Directory, and add the project to the List of Projects<sup>5</sup> which allows a project to record and maintain changes, risks, action items, issues, decisions, and lessons learned (CRAIDL) in the integrated CRAIDL log.

The FX Project Team shall maintain project artifacts in the Artifact Directory, unless another location is more appropriate for the artifact. The Project Process Agreement (PPA) will provide guidance regarding proper storage. The Artifact Directory centralizes all project artifacts for access by project stakeholders. The IV&V Vendor and FX EPMO will use the Artifact Directory to access project artifacts to monitor project performance and to assess compliance with The Standards. Note: The Agency granted AST access to the FX Projects Repository to facilitate AST's oversight duties. AST may access Artifact Directories.

### 5.2    PROJECT RISK AND COMPLEXITY CATEGORIZATION

Upon project authorization, the assigned Project Manager will complete the Pre-Charter Risk and Complexity tabs of the AST Risk and Complexity (R&C) Assessment. This serves two purposes:

1. It contributes to the Agency's compliance with AST's IT Project Management and Oversight Standards (Chapter 74-1, F.A.C.)
2. The adoption of the AST R&C Assessment is for sizing all projects following the FXPLC methodology and used in the following PPA artifact determination.

#### Templates

- The AST Risk and Complexity Assessment template is available in the Templates folder of the FX Projects Repository

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<sup>5</sup> The List of Projects is essentially a look-up table of projects used to populate various drop-down menus.

### 5.3 PROJECT PROCESS AGREEMENT

Knowing both the project type<sup>6</sup> (determined during the FX Portfolio Management Process) and the project category, the next step of the initiation process is to complete and review the FXPLC PPA. Using the project type and project category as inputs, the PPA identifies the artifacts the project must complete to be compliant with The Standards, and required by CMS for certification reviews, if applicable. It further identifies applicable reviews. The Decision tree (found in [Attachment B](#)) shows how to determine categorization as a guide to the FX Project Teams applicable artifacts.

The FX Project Team will review the PPA results and assess the required artifacts for applicability to their effort. The FX Project Team can request a variance/waiver from the FX EPMO. The FX EPMO or FX Governance must respond with written approval *before* an FX Project may deviate from The Standards.

#### Templates

- The PPA template is available in the Templates folder of the FX Projects Repository
- The Variance Request template will be available in the Templates folder of the FX Projects Repository by May 1, 2019

### 5.4 IDENTIFY KEY FX PROJECT STAKEHOLDERS

The Agency and the FX OCM Services Team, in consultation with the FX EPMO, perform regular stakeholder analysis and maintains a stakeholder matrix on the FX Projects Repository. All newly authorized projects should review the Stakeholder Matrix for key stakeholder groups and their role and responsibilities to the specific project. This subset of stakeholders will be the basis for future communication plans, project activity resource management, and organizational change management activities.

Appropriate Stakeholder Groups should be identified in the Project Charter and this list should be maintained in the Project Artifact Directory. During the preliminary Stakeholder Assessment process, should the project team identify stakeholders or stakeholder groups not in the Stakeholder Matrix, the FX Project Team shall work with the FX OCM Services Team to address the gaps.

### 5.5 DEVELOP PROJECT CHARTER

With the list of required artifacts confirmed, the FX Project Manager guides the FX Project Team in drafting the Project Charter. Pre-project assets from the FX Portfolio as defined in the Strategic Project Portfolio Management Plan (e.g. business case, assessments) and other organizational assets assist the team in completing the Project Charter. The FX EPMO, with input from the SEAS Vendor's Strategic Domain, reviews and provides guidance towards

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<sup>6</sup> The four primary project types are: Business Process Modeling/Analysis; Procurement; System Implementation (IT Project per the AST standards); Other.



Charter completion. The FX EPMO then submits the Charter for final review and approval by Governance in accordance with the FX Governance Plan.

Upon approval of the Project Charter, the Project Manager completes the Initiation Gate Risk and Complexity tabs of the AST R&C Assessment. A change in categorization requires an update and review of the previously approved PPA.

**Templates:**

- The Project Charter template is available in the Templates folder of the FX Projects Repository

## SECTION 6      FX PROJECT PLANNING STAGE

### 6.1    COMPLETE PROJECT MANAGEMENT PLAN

Details of the project planning process are in the Project Management Plan (PMP). The PMP explains the planning, execution, monitoring, controlling, and close out of projects.

The PMP template details the subsidiary plans required for project execution, what processes to follow, and integration points with the FX EPMO, FX Governance, FX Portfolio, the OCM Services Team and other subject management experts.

Much of the content in the PMP template is boilerplate and FX Project Teams will follow the processes as detailed. FX Project Teams will complete certain sections (e.g. Project Scope, Communications Matrix), with the content specific to their project. The PMP template clearly identifies in blue font required, project-specific content and allows the Project Manager to review and request a variance from standard processes. Just like with the PPA, variances require written approval from the FX EPMO and/or FX Governance *before* deviating from The Standards.

Given the PMP template provides boilerplate content for much of the subsidiary plans, The Standards only summarize expected subsidiary plan content below:

- **Plan Scope Management** – The PMP describes how the project’s scope will be defined, confirmed, and controlled. The Project Scope in the approved Project Charter is the baseline scope and controlled by the Monitoring and Controlling processes defined in the PMP. Other inputs to the Scope Management section of the PMP may include:
  - › knowledge gleaned from discovery sessions with key stakeholders
  - › knowledge gleaned from document analysis
  - › the scope of work in the FX Vendor’s contract with the Agency
  - › the FX Project Vendor’s solicitation including all addenda, and the FX Vendor’s response to the Agency’s solicitation, including information provided through negotiations, if applicable
- **Plan Schedule Management** – The PMP defines the development and management of the project schedule for the duration of the project. It also identifies applicable schedule templates, the process of developing the schedule, submitting the schedule for review and baselining, progressively elaborating the schedule, processes for submitting and approving changes to the schedule and to the schedule baseline, and on-going updating and controlling requirements.

Schedule Management Plans must also describe how the project will address variance from baselined schedule parameters, including processes for triggering and implementing corrective actions to restore the schedule to its baseline performance targets and to increase the probability the project will successfully meet its objectives.

Inputs for each FX Project Team's Schedule Management Plan and project schedule will minimally include:

- › Project Charter
- › Project Scope Statement, elaborated in the Project Management Plan
- › Project Work Breakdown Structure (WBS)
- › Project Deliverable Lists
- › Project Deliverable Expectation Documents
- › Procurement documents (as applicable)
- › Resource Calendars
- › Shared / Enterprise Resource Pool

Processes and activities for each FX Project Team's project schedule, defined in the Schedule Management Plan, will minimally include:

- › Define Schedule Activities
  - › Sequence Schedule Activities
  - › Estimate Activity Durations
  - › Estimate Activity Resource Requirements
  - › Develop the Project Schedule
  - › Assign Resources to Schedule Subtasks
  - › Manage and Control Changes to the Project Schedule and Schedule Baseline
  - › Monitor and Control the Project Schedule (elaborated in Section 8.1 of The Standards)
- **Plan Resource Management** - The FX Portfolio Management Process and the approved Project Charter are inputs to the Resource Management Plan. The PMP outlines the processes an FX Project Manager will employ to acquire, manage, and release project resources. The PMP also explains how the project manager will work with the FX EPMO to identify and coordinate Agency and vendor resources as needed.
  - **Plan CRAIDL Management** – Created in the FX Projects Repository, are logs for the management of Change, Risk, Action Items, Issues, Decisions, and Lessons Learned referred to as the CRAIDL. The PMP defines the management of each of the logs, and the integration with the FX EPMO and other FX Projects. The plan further describes reporting requirements and the templates used, including on-going meetings, and how to meet compliance expectations.
    - › **Plan Risk Management** – The PMP outlines the steps FX Project Teams shall take to log and proactively manage risks using the FX Projects Repository.
  - 
  - › **Plan Action Item Management** – The PMP describes how FX Project Teams shall manage Action Items. Action Items differ from scheduled tasks in that they

represent unplanned work. The FX Project Team will record Action items in the FX Projects Repository.

- › **Plan Issue Management** – An issue is a problem affecting the project's scope, schedule, cost, and/or quality. Issues often spawn from risks. Sometimes issues are unanticipated. FX Project Teams shall log issues and track them through resolution using the Issue Log on the FX Projects Repository. The PMP shall outline the steps an FX Project Team will take to log, track, and resolve issues.
- › **Plan Decision Management** – The PMP shall explain how FX Project Teams will manage decisions impacting their projects. FX Project Teams shall use the Decision Log on the FX Projects Repository to record both decisions that have been made and decisions that are needed.
- › **Plan Lessons Learned Management** – The identification of lessons learned is not just a stage-gate or project close out activity. Lessons learned are recorded throughout the duration of an FX Project to promote the recurrence of positive outcomes and reduce the likelihood of undesirable outcomes. The PMP shall describe how the FX Project Team will identify lessons learned and record them in the FX Projects Repository. The PMP shall also outline how the FX Project Team will apply lessons learned from other projects.
- **Plan Quality Management** – The PMP shall describe the management and verification of quality throughout the project. It identifies quality requirements and documents how the FX Project Team will demonstrate compliance.
- **Plan Deliverable Management** – As an extension of quality management, the PMP details the Deliverable Management requirements and processes an FX project will perform to complete quality deliverables in a timely manner. The processes detailed in the PMP cover the Deliverable Expectation Process, the Deliverable Review Process, the Deliverable Acceptance Process, and the Deliverable Evolution Process (as applicable). It further defines the document storage, file naming conventions, versioning, and other records management requirements of the FX EPMO.
- **Plan Communications Management** – The Communication Management section of the PMP outlines all recommended communication to support the FX Projects. FX Project Teams through the PPA analysis identify the appropriate communication tools required based on size and scope and update the PMP accordingly. The teams will then update the communications table in the PMP with communication types, frequency, and recipients.
- **Plan Stakeholder Engagement** – Using the stakeholder analysis done to complete the Project Charter and the Agency wide Stakeholder Matrix, based on the PPA requirements, FX Project Teams will update the PMP describing on-going efforts to perform stakeholder engagement, stakeholder impact assessment, and key metrics for success with assistance from the FX OCM services Team.
- **Plan Benefits Realization Management** – As part of the FX Portfolio Management process, assessments are made to a project's outcome and benefits (both tangible and intangible) as aligned to the FX Strategic Plan. It is expected that an authorized project will deliver the outcomes and benefits identified in the benefits assessment. FX Project

Teams shall use the Benefits Realization Management section of the PMP to identify how the project will achieve planned benefits, and report progress toward benefit and outcome realization to identified stakeholders.

- **Plan Cost Management** – The PMP shall explain project cost management processes and succinctly describe the periodic requirements for each FX Project to support the Agency in their Cost Management requirements.
- **Project Close-Out** – The PMP shall define the activities each FX Project Team will perform to close the project, including acceptance of all deliverables and work products, disposition remaining CRAIDL entries, archiving project artifacts, and releasing project team members.

#### Templates:

- The PMP template is available in the Templates folder of the FX Projects Repository
- AST's Benefits Realization Tracking Workbook Template is available in the Templates folder of the FX Projects Repository

## 6.2 DEVELOP WORK BREAKDOWN STRUCTURE

Concurrent with the completion of the PMP template, the FX Project Team shall use the Work Breakdown Structure (WBS) to identify and decompose the project scope. This is to confirm 100% of the work defined in the project scope has been identified, including activities required to deliver the project scope (i.e. project management activities). Developing the WBS is the process of subdividing project deliverables and activities into smaller, more manageable components to the point where the project team can, with a high degree of accuracy, assess the requirements and effort to complete the project.

The Project Charter, draft PMP, and WBS sessions with project stakeholders will provide the information needed to identify and decompose the scope of work into discrete tasks requiring no more than 80 hours of effort. The WBS serves as the key input to the Project Schedule.

Each FX Project schedule shall incorporate all tasks required to complete the entire scope of work for the project according to the following general Work Breakdown Structure:

WBS LEVEL	WBS LEVEL NAME	WBS LEVEL EXPLAINED
1	▪ Project Level	▪ The Project Summary Task, which represents 100% of the project's scope of work.

WBS LEVEL	WBS LEVEL NAME	WBS LEVEL EXPLAINED
1.x	▪ Project Stages	<ul style="list-style-type: none"> <li>▪ Separates project work into distinct project management process groups, as follows: <ul style="list-style-type: none"> <li>› Project Management</li> <li>› Initiation</li> <li>› Planning</li> <li>› Execution</li> <li>› Close Out</li> </ul> </li> </ul>
1.x.x	▪ Work Package	<ul style="list-style-type: none"> <li>▪ Separates each phase (process group) into individual work packages work, e.g. Business Process Analysis, Development, etc.</li> </ul>
1.x.x.x	▪ Work Package Track	<ul style="list-style-type: none"> <li>▪ Further organizes work of individual work packages into separate tracks or workstreams.</li> </ul>
1.x.x.x.x	<ul style="list-style-type: none"> <li>▪ Deliverable</li> <li>▪ Release</li> </ul>	<ul style="list-style-type: none"> <li>▪ <u>Deliverable</u>: Identifies the discrete deliverables associated with each workstream track.</li> <li>▪ <u>Release</u>: Identifies releases within system development.</li> </ul>
1.x.x.x.x.x	▪ Subtask / Activity	<ul style="list-style-type: none"> <li>▪ <u>Task / Activity</u>: Identifies the tasks and activities required to plan and develop each deliverable.</li> </ul>

### Exhibit 6-1: Work Breakdown Structure

Development of a WBS can use the top-down or bottom-up approaches. It may require several working sessions to develop the WBS. Consider time spent developing a WBS an investment in achieving a shared understanding of the work to be done; thereby reducing uncertainty and time later.

FX Project Teams are encouraged to conduct additional WBS sessions to sequence the work packages, assign resources to the work packages, and then have resources estimate the work effort and duration to complete the work.

#### Templates:

- The WBS template will be available in the Templates folder of the FX Projects Repository by May 1, 2019

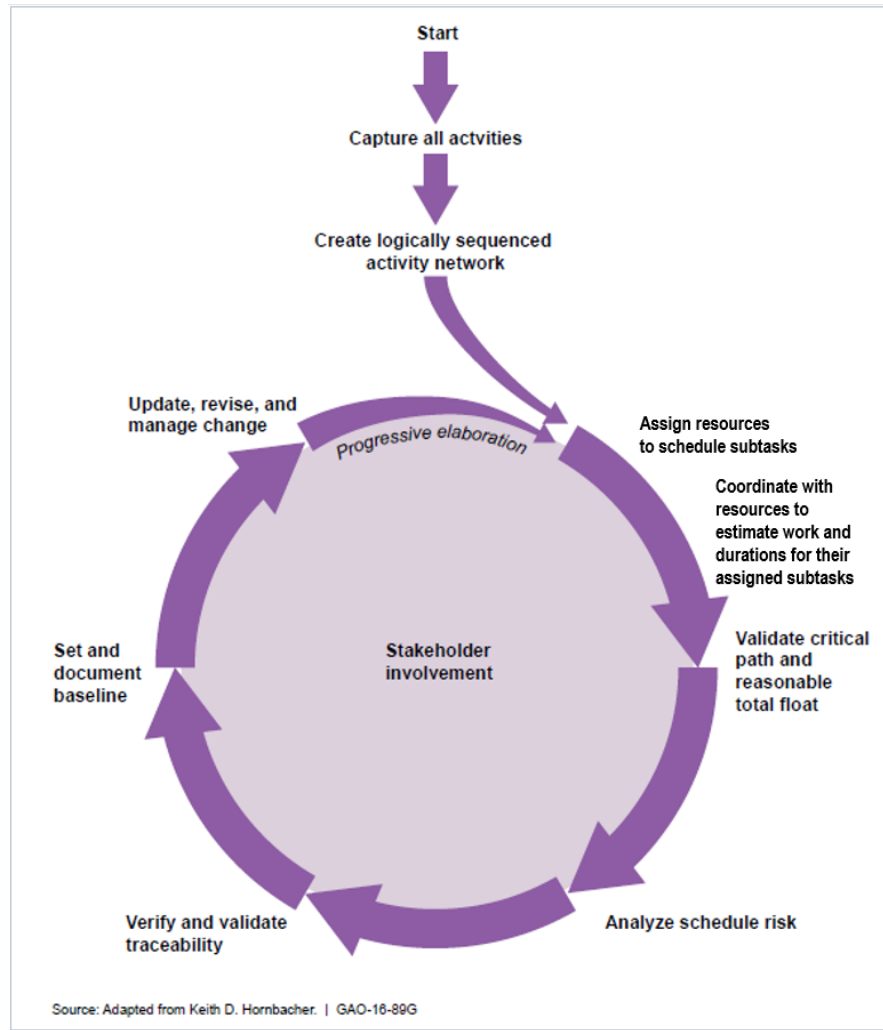
## 6.3 DEVELOP SCHEDULE

The FX Project Team uses the WBS to develop the project schedule. FX Project Teams shall use the Schedule template appropriate for their project based on the project type and risk and complexity category. The schedule templates are referenced in the P-3 Project Management Toolkit and are designed to cover AST and CMS requirements, as applicable. As such, variances from the standard must be authorized in advance and in writing by the FX EPMO. Each FX Project Team must ensure that the correct schedule template is used for their project,

verify the following schedule template attributes, and maintain these attributes in the schedule configuration throughout the entire project life cycle.

- The project calendar must be set to "AHCA (based on standard)" to ensure that the scheduling engine takes all state holidays into account when determining task dates.
  - The default Task Mode must be set to Auto-Scheduled. Avoid using manual task scheduling as the scheduling engine does not drive these variables.
  - Rolling Wave / Progressive Elaboration activities must be represented as discrete workstreams / work packages (please see Section 8.2.6 for more information on Rolling Wave Planning).
  - Do not manually enter Start and Finish dates, as doing so forces date constraints that prevent the scheduling engine from automatically calculating and dynamically updating the schedule according to its task relationships and task durations.
  - Do not delete in-progress schedule tasks or milestones from the schedule (schedule tasks or milestones that already have progress reported against them). Instead, inactivate tasks and milestones that are no longer valid. Note: this requires Microsoft Project Professional.
- › Exceptions would require documented and approved variance request.

When developing the project schedule, use the standard approach depicted in the graphic below and adhere to the schedule structure requirements summarized in **Exhibit 6-2: FX Project Schedule Development Approach** below.



**Exhibit 6-2: FX Project Schedule Development Approach**

The following table<sup>7</sup>, (**Exhibit 6-3: FX Project Schedule Development Approach**), details the expectations of each step in the FX Schedule Development Approach up to setting and documenting the baseline.

PROCESS STEP	REQUIREMENTS
Capture all activities	<ul style="list-style-type: none"> <li>Include all tasks necessary to accomplish 100% of the project's scope of work</li> </ul>

<sup>7</sup> Adapted from U.S. Government Accountability Office. (2015). GAO-16-89G, Schedule Assessment Guide, Best Practices for Project Schedules. Retrieved from <https://www.gao.gov/assets/680/674404.pdf>  
 Agency for Health Care Administration  
 Strategic Enterprise Advisory Services



PROCESS STEP	REQUIREMENTS
Create logically sequenced activity network	<ul style="list-style-type: none"> <li>List tasks in the order of performance</li> <li>Establish the logic relationships, i.e. link task with predecessors and successors</li> <li>Logic relationships should minimize date constraints and lags</li> <li>Logic relationships should not be overly complex, i.e. do not use Start-to-Finish relationships, and minimize one-to-many relationships, which can create bottlenecks in the schedule</li> </ul>
Assign resources to project subtasks  Coordinate with resources to estimate work, durations, and resource requirements	<ul style="list-style-type: none"> <li>Identify resources—even if just at a role level (e.g. business analyst, system architect). The resource—either the individual who will be assigned the work or someone who performs the role—estimates the work effort and duration</li> <li>Assign resources to subtasks only. Do not assign resources to summary tasks or milestones</li> <li>Cost load vendor resources at their hourly rate per the contract's rate card</li> <li>Cost load public sector resources at Agency established standard rate</li> <li>Assign budgets for direct labor, travel, equipment, material, software, hosted infrastructure, to both detail activities and planning packages identifying the total costs to complete the project</li> <li>Display Duration units in days. The minimum subtask duration is one day; the maximum subtask duration is 10 days (does not apply to administrative Level-of-Effort subtasks, Agency or CMS review cycles, or tasks denoted for future elaboration)</li> <li>All milestones must have a 0-day duration and have the milestone checkbox checked</li> </ul>
Validate critical path and reasonable total float	<ul style="list-style-type: none"> <li>Identify the critical and longest paths and validate with project managers, FX EPMO, and subject matter experts. Examine Finish Slack<sup>8</sup> values for reasonableness, Validate Finish Slack values, and confirm the overall structure and sequencing of activity relationships to ensure the schedule is executable</li> <li>Remove date constraints causing negative Finish Slack</li> </ul>
Analyze schedule risk	<ul style="list-style-type: none"> <li>Examine project schedule performance data from the schedule to establish a level of confidence in meeting the project completion date; determine any necessary contingencies</li> <li>Identify high-priority schedule risks and their associated mitigation plans</li> <li>Perform a risk analysis on the schedule before baselining and subsequently on a periodic basis through the CRAIDL Management process to reflect actual progress on activity durations and sequences</li> </ul>

<sup>8</sup> Finish Slack is the duration (in days) between a task's Early Finish Date (the earliest date that the task could possibly finish) and its Late Finish Date (the latest date the task can finish without delaying the completion of the project).

PROCESS STEP	REQUIREMENTS
Verify and validate traceability	<ul style="list-style-type: none"> <li>Verify the traceability of all schedule activities to associated project deliverables, products, and outcomes. Task and resource values (e.g. Duration, Work) are consistent between the different levels of the schedule</li> </ul>
Set and document the schedule baseline	<ul style="list-style-type: none"> <li>Complete the Schedule Quality Control (QC) checklist to confirm schedule quality requirements are met</li> <li>Set a trial baseline to ensure performance indices are within threshold at the initial baseline. Note: The Schedule Performance Index (SPI) and Cost Performance Index (CPI) do not have to equal 1 at the time of baselining if project work is progressing while the schedule is being developed. Adjust the schedule as appropriate</li> <li>Complete the corresponding Schedule Assumptions and Constraints document to outline the assumptions and constraints that were factored into schedule development</li> <li>Submit the draft schedule and Schedule Assumptions and Constraints document to the FX EPMO for review. The FX EPMO will complete the Schedule QC Checklist and review results with the FX Project Manager</li> <li>Update the draft schedule based on feedback from the FX EPMO</li> <li>Conduct a walk-through of the schedule (and its assumptions and constraints) with the Project Sponsors and key project stakeholders</li> <li>Update the draft schedule based on feedback from the FX EPMO</li> <li>For final Schedule Baseline approval process refer to Section 6.3.1. Obtain written client approval via email before baselining the schedule. Log as a decision</li> <li>Save the baselined schedule in the active Schedule folder in the FX Projects Repository, and email key project stakeholders to notify them the schedule has been baselined and resides in the active Schedule folder in the FX Projects Repository</li> </ul>
Update, revise, and managing change <ul style="list-style-type: none"> <li>Update the schedule using actual progress data.</li> </ul>	<ul style="list-style-type: none"> <li>Guidance for updating, revising, and managing change is in Section 8.1</li> </ul>

### Exhibit 6-3: FX Project Schedule Development Approach

The following table, (**Exhibit 6-4: Schedule Structure Requirements**), details schedule structure requirements for all FX project schedules.

SCHEDULE STRUCTURE COMPONENT	REQUIREMENT
Summary Tasks	<ul style="list-style-type: none"> <li>Summary tasks must not have resource or cost assignments. Assign resources and costs to subtasks only</li> <li>Summary tasks must not have predecessor or successor relationships. Assign predecessors and successors to subtasks and milestones only</li> <li>Tasks must logically represent the subtasks listed underneath them, such that summary task values for Start and Finish dates and Duration are aligned with the same values for the subtasks listed in the summary task group</li> </ul>
Subtasks	<ul style="list-style-type: none"> <li>Use subtask names that start with an action verb (e.g. review, configure, etc.)</li> <li>Do not mark subtasks as "Milestones" in the Task Information dialog box (Advanced tab)</li> <li>All subtasks must be "Auto-Scheduled." Do not use "Manual Tasks," as these are not driven by the scheduling engine and can cause schedule calculation errors</li> <li>The default setting for all subtasks must be "Fixed Duration"</li> <li>All subtasks must be marked as "Effort-Driven," except for level-of-effort subtasks such as Project Management activities, and certain Agency and CMS reviews</li> <li>All subtasks must have predecessor and successor relationships</li> <li>Limit the use of one-way date constraints (in lieu of predecessors and successors) only for situations where doing so would model the reality of the project more accurately. The use of such constraints should be documented in the Schedule Assumptions and Constraints document</li> </ul>
Milestones	<ul style="list-style-type: none"> <li>All milestones must have zero duration and be clearly identifiable as a milestone task type</li> <li>Do not assign resources or costs to milestones</li> <li>All milestones must have predecessor and successor relationships</li> <li>Limit the use of one-way date constraints (in lieu of predecessors and successors) only for situations in which doing so would model the reality of the project more accurately. The use of such constraints should be documented in the Schedule Assumptions and Constraints document</li> </ul>

SCHEDULE STRUCTURE COMPONENT	REQUIREMENT
Recurring Tasks	<ul style="list-style-type: none"> <li>Limit the use of Recurring Tasks in the project schedule. Recurring project meetings, e.g. status meetings, should be recorded in the Meeting Log on the FX Projects Repository</li> <li>All project management activities shall be captured in a single "Manage Project" level-of-effort task listed within the Project Management summary task of the schedule. (See the "Develop Work Breakdown Structure" section above, <b>Exhibit 6-1: Work Breakdown Structure</b>.)</li> </ul>
Subtask Durations	<ul style="list-style-type: none"> <li>Set subtask Duration units to "days"</li> <li>Follow the "1/10 Rule" for subtask durations, where detailed planning subtasks do not have durations less than 1 day or greater than 10 days</li> <li>Limit the use of subtask durations outside of the 1- to 10-day range to level of effort tasks and to rolling wave planning (progressive elaboration) sections of the schedule (see Section 8.2.6), or for situations where doing so would model the reality of the project more accurately, e.g. certain Agency and CMS reviews</li> <li>Use estimated durations (e.g. "10 days?") only for pre-baselined activities and for activities identified in rolling wave planning workstreams (work packages) (see Section 8.2.6)</li> </ul>
Project Work	<ul style="list-style-type: none"> <li>Set Work units to "hours"</li> <li>Work overallocations must be resolved such that no resource is overallocated by over 10% during any given time period</li> <li>All work units must have a corresponding cost allocation (Standard Rate)</li> </ul>
Schedule Resources	<ul style="list-style-type: none"> <li>Generic and named resources must refer to only one individual person (not a group of persons)</li> <li>Maximum Units must not exceed 100% for each full-time equivalent (FTE) resource. Resource availability must not be overstated by setting Maximum Units greater than 100% for each Resource</li> <li>Verify that all schedule resources have the correct Standard Rate according the contract's rate card</li> </ul>

SCHEDULE STRUCTURE COMPONENT	REQUIREMENT
Task Relationships and Constraints	<ul style="list-style-type: none"> <li>Task relationships (network logic) must be continuous and unbroken from the beginning to the end of the schedule</li> <li>Link all activities associated with the planning, development, creation, and implementation of the project's product or solution together to preserve the continuity of the schedule's overall network logic</li> <li>Do not use hard (two-way) date constraints, such as "Must Finish On", "Must Start On". If necessary, use MS Project's "Deadline" field to tag tasks with specific target dates. Such use should be documented in the Schedule Assumptions and Constraints document</li> <li>For subtasks and milestones, limit use of one-way date constraints, such as "Start No Earlier Than" or "Finish No Later Than" (in lieu of predecessors and successors) to situations where doing so would model the reality of the project more accurately</li> </ul>

#### Exhibit 6-4: Schedule Structure Requirements

### 6.3.1 SETTING THE INITIAL SCHEDULE BASELINE

All FX Project Teams shall adhere to the following requirements prior to setting the initial baseline for their project schedule.

- The FX Project Team must meet with all project stakeholders, including Agency sponsors and subject matter experts, to verify estimates for duration, work, and associated resource requirements and to conduct a schedule risk analysis.
- The Project Sponsor will make the initial authorization to set the initial schedule baseline. With the authorization obtained, the FX Project Team and the Agency will perform a walk-through of the schedule and its corresponding Assumptions and Constraints document. The project team must obtain the approval from the AHCA FX Project Management Team before setting the initial schedule baseline.

#### Templates:

- Project Schedule template selection is determined from the FX Portfolio Management Process and from completion of the FXPLC Project Process Agreement (PPA). Please see Section 5.3: Project Process Agreement for more details. Project Schedule templates are available in the Templates folder of the [FX Projects Repository](#).
- Schedule Assumptions and Constraints Template will be available in the Reference Materials folder of the FX Projects Repository by May 1, 2019
- Task Estimating Guidance is available in the Reference Materials folder of the FX Projects Repository

- A Schedule QC Checklist template is available in the Templates folder of the FX Projects Repository

## 6.4 IDENTIFY RISK

Identification of risk must occur at every level of the organization. All project team members should be able to recognize risks during their daily work and should bring potential risks to the attention of their team leaders or managers. FX Projects Teams shall identify and capture individual risks and sources of overall risk to facilitate the successful management of risks. Risk identification is an ongoing process throughout the life of the project.

Utilizing the Project Charter, draft schedule, other project documents, and the Risk Breakdown Structure guide as inputs, FX Project Teams shall conduct an initial risk identification session(s). FX Project Teams shall use these sessions to identify and evaluate potential events that could positively or negatively impact the project; then develop response plans; and manage accordingly. The Project Manager (or designee) shall add identified risks to the Risk Log located on the FX Projects Repository. Complete the following fields when identifying risks:

- Risk Title
- Risk Description
- Risk Originator
- Risk Trigger Description
- Project

The FX EPMO is alerted when the Risk Log is modified and shall verify and validate new risks. In the case of risks that specify impact or dependency on other FX Projects the FX EPMO shall work with both FX Project Teams to draft an appropriate risk response.

## 6.5 PERFORM RISK ASSESSMENT

FX Project Teams shall facilitate risk assessments with the intent of developing a risk response plan based on the risk's exposure to the project. FX Project Teams shall evaluate the risk's probability of occurring and the impact the risk would have, as well as what the triggering point could be.

### 6.5.1 EVALUATING PROBABILITY OF OCCURRENCE

FX Project Teams shall use the matrix in **Exhibit 6-5: Probability of Occurrence** to assess the Probability field of the risk form.

Probability	Likelihood of Occurring	Numeric Value
-------------	-------------------------	---------------

Low	Unlikely	1
Medium	Likely	3
High	Very Likely	5

**Exhibit 6-5: Probability of Occurrence**

FX Project Teams in the ongoing assessment of risks in relation to other project risks, events or activities should consider whether the associated triggering event is imminent (less than approximately eight weeks) when evaluating probability of the risk to be triggered.

### 6.5.2 ASSESSING RISK IMPACT

FX Project Teams shall use the matrix in **Exhibit 6-6: Impact on Project** to assess the impact to cost, schedule, scope, and quality of a potential risk event:

Impact	Dimensions to Consider				Numeric Value
	Cost	Schedule	Scope	Quality	
Low	Impact to cost is below appropriation	No or little impact to project schedule	Minor clarification to existing scope	Project quality is not in jeopardy	1
Medium	Impact to cost is above appropriation by less than 10%	Schedule impact is possible	Scope change is noticeable, but not deemed significant	Impact to quality possible	3
High	Impact to cost is above appropriation by greater than 10%	There is significant impact to Schedule and deliverable due dates	There is a significant change in Scope	Impact to quality is very likely	5

**Exhibit 6-6: Impact on Project**

The impact of a risk related to multiple factors will likely be the average of all relevant factors.

### 6.5.3 CALCULATING THE RISK EXPOSURE SCORE

The final step in the qualitative risk analysis process is to update the Risk Form with the probability and impact values captured in the previous two steps. Computation of the risk exposure value is automatic within the Risk Log based upon the probability and impact values entered. The formula used for the calculation is as follows:

Risk Exposure Score = Impact value x Probability value

The risk exposure score supports in making further decisions in the response planning processes. Risks with risk score values (15 or greater) found in the areas shaded blue in **Exhibit 6-7: Calculated Risk Exposure** are considered having high exposure.

Risk Score		Probability		
		1 - Low	3 - Medium	5 - High
Impact	1 - Low	1	3	5
	3 - Medium	3	9	15
	5 - High	5	15	25

### Exhibit 6-7: Calculated Risk Exposure

In addition to calculating the Risk Exposure score the FX Project Team shall assess the risk using the following fields (further descriptions found in Attachment A).

- Risk Owner
- Risk Tolerance
- Risk Priority
- Risk Status (defaults to new)

If a risk has a risk exposure score of 15 or higher, FX EPMO shall monitor the risk along with any risk that has potential for impact on another FX Project. The FX Project Team, FX EPMO, and the Agency will collaboratively monitor risks that fall into this category.

#### Template:

- Risk Form available on the FX Projects Repository Risk Log

## 6.6 PLAN RISK RESPONSES

The FX Project Team shall prioritize any risk identified as 'very likely' or with 'most significant impact' with imminent time lines. Responses shall be provided for all risks and then the project team shall then develop strategies (response plans and contingency plans) for those project prioritized risks. FX Project Teams shall determine the required activities and resources to address the risks.

#### Risk Responses:

- **Risk Acceptance** – Assumes the potential risk as unavoidable with acceptable impact given project contingencies in terms of budget or schedule that allow FX Project Teams to continue the project without further consideration
- **Risk Avoidance** – Avoid the risk by eliminating the cause of the risk, the consequence of the risk, or both (e.g. forego certain aspects of the project which are particularly risky)
- **Risk Mitigation** – Manage risk by developing a risk response plan which prioritizes, implements, and maintains controls by either reducing significantly the likelihood or impact of the triggering event



- **Risk Transference** – Transfer or share risk through options which compensate for the adverse impact, such as performance bonding and insurance

The risk response may require project documents (i.e. PMP, project schedule) be updated. If there is impact to schedule, scope, or cost the FX Project Team should assess the need for a project change request. The risk response and contingency planning will be updated in the FX Projects Repository with use of the following fields (further descriptions found in Attachment A).

- Risk Response
- Risk Response Plan
- Contingency Plan

**Template:**

- Risk Form available on the FX Projects Repository Risk Log
- Change request form available on the FX Projects Repository Change Log

## **6.7 ESTIMATE COSTS AND CONFIRM BUDGET**

The initial FX Project Charter may provide high level project cost estimates. After completing the PMP, schedule baseline, and risk response planning, the FX Project Team should re-evaluate the project's estimated cost based on resource and cost loaded schedule.

If after planning, there is a cost increase greater than 5%, the project shall submit a project change request. The FX EPMO will review the change request for review and consideration by the Agency and the Portfolio.

**Template:**

- The AST Risk and Complexity Assessment template is available in the Templates folder of the FX Projects Repository
- Change request form available on the FX Projects Repository Change Log

## SECTION 7 EXECUTION STAGE

The Execution Stage consists of the activities performed to complete the work defined in the project schedule and PMP. The focus of the FXPLC processes within this stage is to coordinate resources and stakeholder engagement necessary to satisfy project requirements.

### 7.1 MANAGE PROJECT

Manage Project is the process of leading and performing the FX Project work defined in the PMP. The key benefit of this stage is that it provides overall management of work and deliverables to achieve successful outcomes for the Agency.

Regardless of project type, size, or scope all FX Project Managers must direct and manage resources through the execution of planned project activities to complete the defined set of deliverables and achieve specific outcomes. FX Project Teams shall recognize the significance of the changes produced through these outcomes on the Agency and other stakeholder groups, requiring additional work be considered to properly communicate and support those changes. To that end, the FX EPMO has defined and documented the following five execution processes to consider:

- Quality Management
- Stakeholder Management
- Communications Management
- Team Management

#### 7.1.1 QUALITY MANAGEMENT

Quality Management standards have been established across the defined focus areas and triple constraints (cost, schedule, and scope).

The FX EPMO shall review project artifacts, risk logs, and reports to evaluate if the project remains in good health and will make recommendations for improvement where applicable. The collection of lessons learned by FX Project Teams shall occur over the life of the project and be reviewed at project close for needed updates to approved FX standards, templates, and tools. Additionally, at the request of the Agency, the FX EPMO shall assess compliance with The Standards.

As part of artifact review, FX Project Teams shall follow the predefined Deliverable Quality Standard to validate that project deliverables comply with Agency Standards

#### 7.1.2 STAKEHOLDER MANAGEMENT

The intent of Project Stakeholder Management is to identify individuals or groups who could impact the project or be impacted by the project, and to develop appropriate strategies for

effectively interacting with them. Stakeholder management in the Execution Stage of the project focuses on communication with stakeholders to manage their expectations, addressing issues as they occur, and fostering appropriate stakeholder awareness of project decisions and outcomes.

The FX Project Team shall work with the FX OCM Services Team, to identify, develop, and document needed Organizational Change Management (OCM) tools depending on the size, project type, and approved scope of the project.

#### **Templates:**

- The Detailed Impact Assessment tool will be available in the Templates folder of the FX Projects Repository upon approval of the tool
- The Training Needs Analysis tool will be available in the Templates folder of the FX Projects Repository upon approval of the tool
- The Training Approach and Plan template will be available in the Templates folder of the FX Projects Repository upon approval of the template
- The Business Readiness Assessment and Scorecard tool will be available in the Templates folder of the FX Projects Repository upon approval of the tool
- The Training Curriculum Template will be available in the Templates folder of the FX Projects Repository upon approval of the template
- The Sustainability Approach and Plan Template will be available in the Templates folder of the FX Projects Repository upon approval of the template

### **7.1.3 COMMUNICATIONS MANAGEMENT**

Communications Management entails all the recommended communications to support an FX Project. Communications Management Standards for FX Projects includes guidelines to support several different types of Project communications:

- **Daily Project-Related Communications** – This communication is necessary to support project progress and deliverable development. For the most part, as this communication supports current plans for the Project schedule, deliverables, and scope, it can occur with little governance. This type always falls into the category of general communications (as opposed to special or key messaging).
- **Meeting-Related Communications** – This communication type refers to all communication pieces specifically related to project meetings, especially reoccurring or regular meetings. Most meetings require a meeting invite, an agenda, some supporting documents or information submitted to attendees in advance, and a follow up distribution of the meeting minutes. Where possible, these meeting-related communications should follow standard project formats. When possible, indexing of Meeting-Related Communications, along with the attendees, is in the Communication Table. This type always falls into the category of general communications (as opposed

to special or key messaging). It is expected that agendas be distributed 24 hours prior to a meeting, and draft meeting minutes be posted within 48 hours.

- **Other Recurring Communications (not Meeting Related)** – Projects of this magnitude generally require other regular communication updates distributed to a range of stakeholder audiences. These communications could take the form of newsletters, summary reports on a regular cadence, in-person update briefings, or memos, etc. The Communication Table will index these communications. This type often falls into the category of special or key messaging.
- **Decisions Relating to Project Schedule, Deliverable, or Scope** – Due to the number of project contributors and stakeholders on this effort and the complexity of the subject matter, it is important to impose logical governance protocols (channel limitations) on all communications relating to changes or decision-making related to project schedule, deliverables, or scope.

The FX OCM Services Team directly supports communications management activities. These activities focus on distributing information to stakeholders including artifact templates and detailed guidelines for approach. The FX EPMO shall work with the FX Project Teams, OCM Services Team, and the AHCA FX Project Management to verify that appropriate communication channels are identified and coordinated to support the FX Program. FX Project Teams will

#### **Templates:**

- The Communications Toolkit Design and Rollout Template will be available in the Templates folder of the FX Projects Repository upon approval of the template

### **7.1.4 TEAM MANAGEMENT**

FX Project Managers must be diligent to achieve the outcome(s) established for the project. Manage Team is the process of assessing team performance and individual efforts, providing feedback, removing obstacles, minimizing change, and maintaining a cohesive team throughout the project.

It's important to be aware of resource workload, calendars, and competing demands outside of the project. FX Project Managers shall identify risk and issues as they relate to their team, if those resources may impact the project schedule, scope, or cost.

### **7.2 DEFINE AND IMPLEMENT REQUIREMENTS**

Depending on project size and type, FX Projects may include additional technical requirements as identified in the PPA. Refer to [The Design and Implementation Management Standards](#), on the FX Projects Repository for applicable standards and templates.

## SECTION 8 MONITORING AND CONTROLLING

The Monitoring and Controlling Process Group consists of actions by the FX Project Team to track, review, and control progress and the health of the project.

The Standards identify controls important to FX Projects achieving predefined outcomes.

### 8.1 MONITORING AND CONTROLLING SCOPE

Controlling scope by FX Project Teams, is the process of monitoring the status of the project and managing changes to the scope baseline. Like managing the project, controlling scope is performed continuously throughout the project.

Supporting processes (i.e. Quality Management and Monitoring and Controlling Changes) verify that FX Project Teams deliver approved scope and realize desired outcomes.

The FX EPMO shall on a periodic basis assess project artifacts for status and performance of FX Project Teams.

### 8.2 MONITORING AND CONTROLLING SCHEDULE

FX Project Teams will continuously monitor their project schedules and monitor performance as measured against the baseline schedule. Schedule monitoring and reporting activities must also accurately identify and report when forecasted completion dates differ from baseline dates and whether schedule variances will affect downstream work. In all cases where schedule variances impact downstream work, including the project completion date, FX Project Teams provide the FX EPMO with Corrective Action Plans and schedule recovery options.

All FX Project Teams shall adhere to the Agency for State Technology's ["Tips for Effective Schedule Development and Maintenance"](#) when maintaining their project schedules.

There are tools used to control schedule within defined ranges:

- Schedule baseline (i.e. SPI and CPI metrics)
- Schedule performance reporting, per Section 8.4 Monitoring Performance

FX Project Teams shall place active project schedules in the Schedule folder of the FX Repository. FX EPMO shall evaluate schedules—on an ongoing basis and as necessary to understand aggregated impacts to the program. Also, the FX EPMO shall perform periodic quality control reviews of all active project schedules to identify potential schedule risks, validate vertical and horizontal traceability, and look for trends that might require re-planning or change control.

FX Project Managers must keep original schedule template views, settings, and overall configuration intact when performing schedule updates and associated monitoring and

controlling activities. The FX EPMO must authorize any variances from the schedule template in advance and in writing.

For all active FX project schedules, FX Project Managers shall discuss and report the status of their schedule's development, progress, and performance during weekly schedule review meetings facilitated by the FX EPMO and attended by key stakeholders, including Agency project sponsors, members of the IV&V team, and FX EPMO support personnel. At each weekly schedule review meeting, FX Project Managers shall provide a 4-week look-ahead review of current and upcoming activities in their project schedule.

### 8.2.1 UPDATING THE SCHEDULE

Processes for updating project schedules include:

- Collecting weekly progress updates from project team members
- Generating and analyzing weekly schedule metrics
- Performing ongoing progressive elaboration of Rolling Wave activities into a level of detail sufficient for schedule executability, monitoring, and controlling (please see Section 8.2.6 for more information on Rolling Wave Planning).
- Performing ongoing schedule baseline variance analysis, control, and reporting, which includes any changes from current schedule assumptions and constraints.
- Providing schedule performance report descriptions and metrics for weekly and monthly status reports

The following table lists the key activities required as part of the Schedule Management Plan. To achieve the results expected from this plan, all FX Project Teams must implement each of these activities into their regular processes. The FX EPMO shall evaluate each of these processes on an ongoing, regular basis for quality assurance and continuous improvement.

RECURRING SCHEDULE ACTIVITIES	FREQUENCY	ROLE RESPONSIBLE
Schedule meetings for project status updates	Weekly	▪ FX Project Managers
Project-level task status reporting to the Agency	Weekly	▪ FX Project Managers
FX Project schedule updates	Weekly	▪ FX Project Managers
Generate schedule-related reports for input to the Weekly Project Status Report	Weekly	▪ FX Project Managers
Discuss and report project-level schedule status at weekly schedule review meetings	Weekly	▪ FX Project Managers
Facilitate weekly schedule review meetings	Weekly	▪ FX EPMO Schedule Manager

RECURRING SCHEDULE ACTIVITIES	FREQUENCY	ROLE RESPONSIBLE
Project-level rolling wave schedule planning (see Section 8.2.6)	Monthly	<ul style="list-style-type: none"> <li>FX Project Managers</li> </ul>
Program-level schedule monitoring and analysis	Ongoing	<ul style="list-style-type: none"> <li>FX EPMO Schedule Manager</li> </ul>
Evaluate the effectiveness of the project-level Schedule Management Plan	Ongoing	<ul style="list-style-type: none"> <li>FX Project Managers</li> <li>FX EPMO Schedule Manager</li> </ul>

### Exhibit 8-1: Key Activity List

## 8.2.2 SCHEDULE UPDATE REQUIREMENTS

FX Project Managers shall adhere to the “[Process Description for Weekly Schedule Updates on SharePoint](#)” for updating and posting their respective project schedules to the FX Projects Repository. For all FX Project schedules:

- Do not update tasks by manually entering Start and Finish dates, as doing so forces date constraints that prevent the scheduling engine from automatically calculating and dynamically updating the schedule according to its task relationships and task durations.
- Do not delete schedule tasks or milestones from the schedule. Instead, inactivate tasks and milestones that are no longer valid. Note: this requires Microsoft Project Professional.
  - › Exceptions would require documented and approved variance request.
- Updates to Percent Complete values on individual subtasks (i.e. for tasks that are NOT milestones) shall adhere to the following standards:
  - › 0% – Not Started
  - › 25% – Task has started and is less than 50% complete based on effort (per team lead's judgment)
  - › 50% – Task is equal to or greater than 50% complete but less than 75% complete (per team lead's judgment)
  - › 75% – Task is equal to or greater than 75% complete but less than 100% complete (per team lead's judgment)
  - › 100% – Task Complete
- Update progress on administrative Level-of-Effort subtasks only (e.g. “Manage Project”) as “Mark on Track”; all other subtasks shall update according to the Percent Complete value increments listed above.
- Report Milestone Progress (zero-day duration tasks) as follows:



- › 0% – Milestone not achieved
- › 100% – Milestone achieved

### 8.2.3 MONTHLY WORK PLAN

The global schedule template includes a Monthly Work Plan View, which captures all schedule activities that fall within a one-month date range that corresponds to the upcoming month. The Monthly Work Plan view identifies and describes schedule activities that will be worked on and/or completed by the FX Project Team during the upcoming month. The FX EPMO uses this view to facilitate Monthly Work Plan reviews with the Agency. In addition, the FX EPMO shall review Monthly Work Plan schedule information to evaluate requirements for current and future activities with respect to resource needs and constraints, potential risks and issues, and the potential necessity for schedule risk mitigation, recovery, and corrective action plans.

### 8.2.4 SCHEDULE CHANGE CONTROL

For any proposed changes to the project schedule, FX Project Teams shall perform an initial assessment to determine impacts, which includes and is not limited to the following considerations:

- The need, justification, and authorization for the new or revised work
- The resources required for the work
- Schedule activity development requirements (e.g. additional meetings with stakeholders and resources for input and estimates of activity durations and work)
- Revisions to predecessor and successor relationships between new and existing tasks
- Additions of (or revisions to) external dependencies with other projects
- New risks associated with scope, costs, resources, and milestone or deliverable completion that would be introduced into the project by the proposed change

### 8.2.5 SCHEDULE REVISION

All schedule revisions and any associated baseline revisions must follow the FX Project Change Control process (defined in Section 8.3.1) and be approved by the Agency. Schedule baseline revisions are identified below according to the extent and nature of the revision. Section 8.2.5.1 details change control requirements for re-baselining schedules, in which the entire baseline is reset. Section 8.2.5.2 details change control requirements for updating current schedule baselines when new tasks are added or when existing tasks are modified.

#### 8.2.5.1 SCHEDULE BASELINE REVISIONS (RE-BASELINING)

A revised schedule baseline, or re-baseline, may be established to capture a significant change, which is defined as a major change affecting the project scope or a major shift in the schedule (e.g. changing, adding, or eliminating a block of work, moving work to another phase of the project). The original schedule baseline may only be revised when, as a result of a



significant change, the original schedule baseline no longer provides a realistic means with which to measure and compare future schedule performance.

All FX Project Teams shall adhere to the following requirements for re-baselining their respective project schedules.

- Schedule re-baselining may occur during project stage gates, which are identified in the project schedule.
- Schedule re-baselining performed outside of the scheduled re-baseline opportunity will only be authorized through an approved Project Change Request.
- Prior to re-baselining the schedule, the FX Project Manager (and appropriate team members) shall meet with appropriate project stakeholders, including sponsors and subject matter experts, to verify estimates for duration, work, and associated resource requirements, and to conduct a schedule risk analysis (see **Exhibit 6-3: FX Project Schedule Development Approach** in Section 6.3).
- Prior to re-baselining the schedule, the FX Project Team and Agency will complete a walk-through of the revised schedule and its corresponding Assumptions and Constraints. The FX Project Manager must also submit a Project Change Request to the Change Control Board per the requirements set forth in section 8.3.1 of this document and in accordance with the severity of the impact as determined by the FX Project Manager's assessment.
- The current schedule baseline should always be "Baseline" in Microsoft Project. Prior to re-baselining the schedule, save the current baseline to into one of the Baseline 1 – 10 placeholders.

#### **8.2.5.2 SCHEDULE UPDATES TO THE CURRENT SCHEDULE BASELINE**

For baseline updates associated with rolling wave planning and progressive elaboration (see Section 8.2.6 below), the FX Project Manager shall conduct and document an impact assessment of the proposed changes that result from the progressive elaboration. If the proposed changes do not impact the project's scope, overall schedule, budget, or product quality, then the FX Project Manager must follow project-level change management processes (per the Change Management section of this document) and can proceed with updating the current schedule baseline only after receiving approval from the Agency project sponsor.

If the proposed changes impact the project's scope, overall schedule, budget, or product quality, then the FX Project Manager shall submit a Project Change Request to the Change Control Board per the requirements set forth in the Change Management section of this document and in accordance with the severity of the impact as determined by the FX Project Manager's assessment. In addition, FX Project Teams shall adhere to the following requirements:

- Add any newly detailed tasks to the current baseline by baselining only those new tasks. Do not update baseline data on any existing activities.

- Do not delete existing activities; instead, deactivate tasks that are no longer valid.
- The schedule detail must show the baseline established for all activities that fall within twelve months (minimum) of the current status date.
- The current schedule baseline should always be “Baseline.” Prior to performing updates to the current schedule baseline, save the current baseline to one of the Baseline 1 – 10 placeholders.

### 8.2.6 ROLLING WAVE PLANNING

This section defines the Rolling Wave approach for elaborating future planned tasks. Rolling Wave planning is not a substitute for thorough planning and effective schedule management. The outcome of this process is an updated schedule baseline that is applied only to the activities that are updated and/or added as a result of higher-level rolling wave plans being elaborated into further detail. The entire schedule must not re-baselined during this process.

The Rolling Wave process is based on the premise that work plans, and schedules become unrealistic due to increasing uncertainty as planning timeframes extend further into the future, which in turn reduces the feasibility of developing accurate projections and estimates that encompass the entire duration of long projects. In rolling wave planning, a top-down approach is used to assign WBS responsibility, cost, and duration to key stakeholders initially, and the detail is not created until the work is within a twelve-month time frame.

Rolling wave planning sessions shall occur at least monthly. For each iteration, perform detailed bottom-up planning to elaborate logical blocks of work to a twelve-month planning horizon (beyond the project’s current status date). Certain work blocks beyond this twelve-month horizon may be planned at a higher level, although such high-level planning is not necessarily required if detailed plans can be established for work beyond the twelve-month rolling wave planning window.

Coordinate rolling wave planning by scheduling the planning sessions and working with project team leaders, subject matter experts, and agency sponsors individually (or in groups, as necessary) to elaborate tasks, activities, and resources. Use these rolling wave planning sessions to coordinate, document, and communicate inter-project resource and activity dependencies.

Ensure that rolling wave planning is continuously based on a detailed planning horizon of the next twelve months from the project’s current status date, on a monthly basis.

Outputs from each monthly rolling wave planning session for all near-term schedule activities (within twelve months from the project’s current status date) must include:

- Detailed schedule activities with durations and dependencies defined for subtask and milestones according to the Schedule Development Requirements set forth in this document

- Resources (named individuals replacing any generic roles identified in high-level plans) assigned to each subtask
- Milestones used to report progress over the near term
- Updated task priorities
- Documentation of inter-task dependencies
- Documentation of any external dependencies
- New and/or updated detail-level activities added to the baseline

Outputs from each monthly rolling wave planning session for all long-term schedule activities (beyond twelve months from the project's current status date) must include, at minimum:

- Summary level activities for each defined work block, consistent with each work block's WBS levels and activities to preserve traceability throughout the entire schedule
- Estimated durations and predecessor / successor dependencies to detail level activities and to other summary level rolling wave planning activities
- Anticipated resources (or generic roles) and approximate Maximum Units (%) for each anticipate resource or role
- Anticipated external dependencies between projects
- Updated schedule baseline
- to include new and/or updated high-level activities

### 8.2.7 SCHEDULE ANALYSIS (CRITICAL PATH ANALYSIS)

All FX project schedules must use the Critical Path Method (CPM) to predict project duration by analyzing which sequence of activities has the least amount of scheduling flexibility. The critical path, as calculated by the schedule management software, is the longest continuous path of activities with zero or negative float through a project. The duration of the activities on the critical path controls the duration of the entire project. A delay to any of these activities will delay the finish date of the entire project.

Each FX Project Manager must employ CPM analysis methods to review proposed changes to the schedule to see if or how the critical path is changed at each point of schedule update (weekly) and to see if a change to one activity has impacted (either positively or negatively) a dependent activity or resource. The resulting analysis is meant to provide input either for a Project Change Request discussion or simply just for informational purposes.

### 8.2.8 SCHEDULE VARIANCE

This section includes a description of the project management process for monitoring and managing variance in schedules' baseline start and finish dates and actual start and finish dates. It includes comparing the baselined and actual dates in the schedule with the updated planned and actual start/finish dates.

Project managers must use schedule baselines both for analyzing project progress at a summarized level and for analyzing schedule variance for individual activities. FX Project Managers shall monitor and address with their project team any variances between baselined and actual start and finish dates during project team meetings. As part of this variance monitoring, each FX Project Manager must also review and discuss schedule milestones weekly with their project team during project team meetings. At a minimum, the included milestones are:

- Contract start and end dates
- Deliverable completions
- Procurement(s) development key events
- CMS review and approval dates

### **8.2.9 MITIGATING SCHEDULE DELAYS**

This section describes approaches used for addressing and mitigating schedule delays, which include recognized methods such for schedule compression. Both fast-tracking and crashing techniques attempt to reduce the remaining duration of the project schedule without changing or reducing the project scope in order to meet schedule deadlines and objectives.

Since each method has its advantages and disadvantages, the FX Project Manager shall communicate and collaborate with key project stakeholders to discuss schedule remediation and corrective action plans before employing schedule compression methods.

Schedule compression methods are briefly described as follows:

- When crashing the schedule, cost and schedule tradeoffs are analyzed to determine how, if at all, to obtain the greatest amount of schedule duration reduction for the least incremental cost. This is usually done by adding more resources, which often results in increased costs.
- When fast tracking, activities that would normally be completed in sequence are done in parallel (e.g. starting to write code on a software project before the design is complete). Fast tracking may result in rework, which may increase costs, and usually increases risk.

Other schedule compression methods typically include:

- Focusing on critical path tasks
- Adding resources to reduce durations
- Using task relationships to overlap work
- Re-evaluating task relationships
- Decomposing long-duration activities

- Applying/modifying constraints
- Modifying resource calendars
- Putting critical activities on a longer workweek
- Adding exceptions to non-work time

If the schedule delay mitigation methods described in this section result in any proposed changes that impact the project's scope, overall schedule, budget, or product quality, the FX Project Manager must submit a Project Change Request to the Change Control Board per the requirements set forth in the Change Management section of this document and in accordance with the severity of the impact as determined by the FX Project Manager's assessment.

### **8.3 MONITORING AND CONTROLLING CRAIDL**

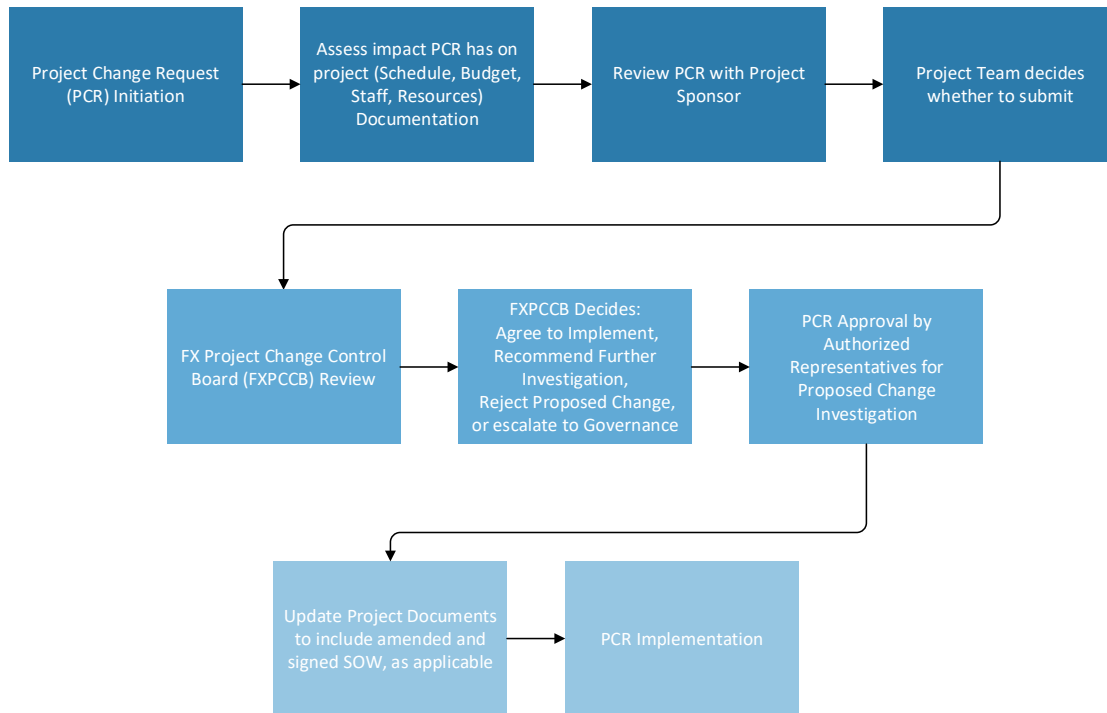
As described in Complete Project Management Plan section, there are logs on the FX Projects Repository where FX Project Teams track Changes, Risks, Action Items, Issues, Decisions, and Lessons Learned.

#### **8.3.1 MONITORING AND CONTROLLING CHANGE**

As part of the planning conducted by the FX Project Team, project documents should have been updated with the respective scope baseline, schedule baseline, and budgeted cost of the FX Project. It is expected that project managers make all efforts to control the project to achieve the approved baselines.

When it is determined that a project will not achieve expected results as defined in the project baselines, the FX Project Manager must assess the impact the change will have on the project and request a different path or outcome through the below Project Change Request (PCR) process:

## High Level Change Control Process



### Exhibit 8-2: High Level Change Process

Follow the process above when a executing a PCR.

- A Project Change Request (PCR) will be the vehicle for requesting and communicating change. The PCR form is available on the Change Log in the FX Projects Repository. The FX Project Team identifies the needed change and the Project Manager adds a new item to the Change Log by completing the following fields of the Change Form (field descriptions are available in Attachment A). The required fields are:
  - › Item #
  - › Change Title
  - › Change Description
  - › Requestor
  - › Change analysis performed by
  - › Impacts
  - › Explain the Impact(s)

- › Interdependencies
  - › Alternatives
  - › Impact if change not implemented:
  - › Status
  - › Update/Resolution
  - › Priority
  - › Disposition
  - › Final Disposition Date
  - › Dispositioned By
  - › Disposition Comments
- Having completed a thorough analysis of the requested change, the FX Project Manager must then describe the change, the impact of the change<sup>9</sup>, and the effect the change will have on the project (schedule, cost, staffing). The FX Project Manager shall also address the impact of not making the change.
  - The FX Project Manager shall review the proposed change with the Project Sponsor and determine whether to submit the request to the FX Project Change Control Board (FXPCCB)<sup>10</sup>.
  - The FX EP MO shall facilitate a meeting to review the change request with the FXPCCB. The FXPCCB will review the proposed change and impact analysis, agree to authorize it, recommend further investigation, reject it, or recommend as it is to the appropriate level of FX Governance depending on the impact analysis.
  - The FX Project Team shall continue to act in accordance with the latest agreed version of the SOW until a decision on the proposed change request is reached. Once a decision is reached, the Change Request Log is updated accordingly. Other documents impacted by the decision will also need to be amended accordingly. (i.e. Project Schedule, PMP, Scope Baseline, etc.)

### 8.3.2 MONITORING AND CONTROLLING RISK

FX Project Teams shall continually perform risk identification, risk response planning, and risk monitoring through the life of the project. FX Project Teams shall track and report on those risks that have been identified as high exposure (15+) or with imminent trigger dates (less than 8 weeks out). Risk owners are responsible to provide updates to the FX Project Manager in a timely manner for addressing responses and reporting to key stakeholders. In accordance with

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<sup>9</sup> FX Project Teams will assess change impact according to the impact analysis guidance provided in the Governance Plan, referenced in Section 1.4.

<sup>10</sup> Each project being a unique endeavor, project teams will document the participants of the Change Control Board in the project-specific PMP.

administrative rule, the FX EPMO shall compile and report high exposure risks to AST in the required Monthly Status Report.

FX Project Teams shall review new risks and risks with exposures of 15+ during project status meetings. FX Project Managers shall review all project risks monthly, and report risk information weekly and monthly as detailed in the communication plan. FX Project Teams may also discuss risks which require status updates, imminent risk triggering event dates, and those with upcoming response activity in regularly scheduled project risk meetings. FX Project Teams shall review and update at a minimum the following fields of the Risk Form as needed when monitoring and controlling risks (field descriptions are available in Attachment A).

- Risk Probability
- Risk Impact
- Trigger description
- Risk Response
- Risk Response Plan

FX Project Teams shall update the Status Update field whenever a risk is reviewed—even if no other fields are changed.

The FX EPMO shall monitor all project risks to assess overall riskiness of the program and collaboratively control risks that affect multiple projects. The FX EPMO facilitates program-level risk meetings and uses those meetings to discuss program-level risks, new project-level risks, and high probability/high impact project-level risks.

### **8.3.3 MONITORING AND CONTROLLING ACTION ITEMS**

An Action Item is unplanned work, often arising out of project meetings or conversations. As such, FX Project Teams shall focus on logging action items as they arise and working them to their timely completion.

Action items contribute to the completion of project deliverables and/or the resolution of project threats, opportunities, issues, and corrective action plans. Project level action items are typically the result of and tied to risk response plans, issue resolution plans, and project decisions and shall be tracked in the Action Item Log on the FX Projects Repository. The following fields should be completed when adding or updating an action item in the Action Item Log (field descriptions are available in Attachment A).

- Action Description
- Date Assigned
- Date Due
- Status



- Status Notes
- Named Owner
- Assigned by
- Linkage to Other Related Items (Risks, Issues, Decisions)
- Category

Corrective Action Plans are also tracked using the Action Item log. Corrective Action Plans are logged as an Action Item and the plan is attached to the entry. The Action Item is closed once the plan has been executed.

#### **8.3.4 MONITORING AND CONTROLLING ISSUES**

Issues often arise from risks that have reached their trigger event without successful mitigation or avoidance and are causing disruption to the project activity. The following fields should be completed when issues come up during the project (field descriptions are available in Attachment A).

- Issue Description
- Named Owner
- Date Identified
- Due Date
- Status
- Status description
- Update/Resolution
- Category
- Linkage to other CRAIDL Items

The FX Project Manager shall conduct a root cause analysis to determine cause, and work with the FX Project Team and Project Sponsor to identify and employ a reasonable resolution strategy. Any impact to scope, schedule, or cost should be assessed, and change managed accordingly.

The FX Project Manager is responsible for monitoring issues identified during the project and driving their resolution. Issue resolution activities are conveyed during project status meetings and program-level risk and issue meetings.

If the FX Project Team cannot resolve an issue in a timely manner, the FX Project Manager should consult with the Project Sponsor and subsequently the FX EPMO. The FX EPMO shall coordinate the issue escalation process with the SEAS Governance Team. The FX EPMO shall collaboratively address issues that impact multiple projects or components on the Portfolio Roadmap.

### 8.3.5 MONITORING AND CONTROLLING DECISIONS

A decision is the resolution reached after consideration by appropriate stakeholders (e.g. project leadership team, EP MO, Governance) to address a risk, issue, or another project concern. Controlling decisions entails capturing, resolving, and communicating the decisions made.

FX Project Teams shall use the Decision Log on the FX Projects Repository to record decisions needed or decisions made. Teams should also use the Decision Log as a central location of project knowledge for referencing previous project decisions. The following fields are required when recording a needed decision or updates to decisions in the Decision Log (field descriptions are available in Attachment A).

- Subject
- Date Opened
- Description of Decision Needed
- Assigned To
- Due Date
- Status
- Status Update Description
- Date Decision Made
- Outcome
- Directly Impacted
- Indirectly Impacted
- Requestor
- Decision Type
- Governance

FX Project Managers will monitor open decisions and communicate progress or decisions made via status meetings. The FX EP MO will monitor, verify, and validate decisions in the log, for completeness and adherence to standards.

### 8.3.6 MONITORING AND CONTROLLING LESSONS LEARNED

Lessons learned capture knowledge gained during the project. They often focus on failures, inefficiencies, and project issues to be considered when planning new projects. The FX Project Team should also document what went well to repeat the successful lessons in the future.

The FX EP MO strongly encourages all FX Projects to record Lessons Learned on an on-going basis using a Stop-Start-Continue approach:

- Stop actions that yield negative results
- Start actions expected to yield positive results
- Continue actions that yield position results

Lessons are best captured when they are learned. Doing so enables the FX Project Manager and Team to recall useful details. Lessons Learned may also be reviewed and captured at the end of a project stage. Capturing lessons learned throughout the project enables that project to apply those lessons in subsequent stages.

Lessons Learned shall be logged in the Lessons Learned Log of the FX Projects Repository. The following fields should be updated when recording a lesson learned (field descriptions are available in Attachment A).

- Lesson
- Identified by
- Reporting Period
- Date Logged
- Notes
- Topic

## 8.4 MONITORING AND CONTROLLING PERFORMANCE

The FX EPMO uses performance measures to monitor the progress FX Project Teams are making toward the completion of project milestones and assessing trends in project health. There is a continual assessment of project quality, risks, and the overall project status. The standard frequency for monitoring and reporting of project metrics along with performance management metrics, reporting mechanisms, and acceptable values is detailed below in **Exhibit 8-3: Project Management Performance Metrics**.

METRIC / MODEL NAME	GOAL	QUESTION	FORMULA	ANALYSIS LEVEL, FREQUENCY	TARGET VALUES	ANALYSIS REPORTING
<b>% Complete</b> (Percent Duration Complete)	Determine project status based on percentage of its completed duration.	How much time is needed to complete the project?	(Actual Duration / Total Planned Duration) x 100	Summary Task and Project Levels  Weekly Monthly	Actual Duration Complete % is aligned with Planned Duration Complete % (see also: Duration Variance metric below)	Project Status Report and/or Meeting

Percent Duration Complete expresses the current status of schedule activities as a percentage of the total scheduled duration that has been completed.

<b>Percent Work Complete</b> (% Work Complete)	Determine project status based on percentage of its completed work.	How much work is needed to complete the project?	(Actual Work / Total Planned Work) x 100	Summary Task and Project Levels Weekly Monthly	Actual Work Complete % is aligned with Planned Work Complete % (see also: Work Variance metric below).	Project Status Report and/or Meeting
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Percent Work Complete expresses the current status of schedule activities as a percentage of the total scheduled and assigned work (in resource hours) that has been completed.

METRIC / MODEL NAME	GOAL	QUESTION	FORMULA	ANALYSIS LEVEL, FREQUENCY	TARGET VALUES	ANALYSIS REPORTING
<b>Schedule Performance Index (SPI)</b>	On Target According to Scheduled Timeframe	Are we meeting our schedule?	Earned Value / Planned Value	Summary Task and Project Levels Weekly Monthly	Between 0.90 and 1.10 with 1.00 as the primary target. Above 1.00 is better than below 1.00.	Project Status Report and/or Meeting

Schedule Performance Index (SPI) is an Earned Value metric that measures whether the project is earning value at the scheduled rate. This metric can be used to assist Project Managers in determining if a project will be completed on time, assuming current trends continue.

<b>Cost Performance Index (CPI)</b>	On Target According to Resource- Allocation	Are we utilizing our scheduled resources efficiently?	Earned Value / Actual Cost	Project Level Weekly Monthly	Between 0.90 and 1.10 with 1.00 as the primary target. Above 1.00 is better than below 1.00.	Project Status Report and/or Meeting

Cost Performance Index (CPI) is an Earned Value metric that measures the cost-efficiency of work completed by scheduled resources. This metric can be used to assist Project Managers in determining if a project will be completed with its current level of resource allocation, assuming current trends continue.

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METRIC / MODEL NAME	GOAL	QUESTION	FORMULA	ANALYSIS LEVEL, FREQUENCY	TARGET VALUES	ANALYSIS REPORTING
<b>Start Variance</b>	On Target According to Scheduled Start Dates	Are scheduled tasks starting as planned?	Current Scheduled Start Date – Baseline Start Date	Project Level Weekly Monthly	0.00. Below 0.00 is better than above 0.00.	Project Status Report and/or Meeting

Start Variance determines the extent to which current scheduled Start Dates are aligned with Baseline Start Dates by measuring the time difference (in days) between an activity's Baseline Start Date and current scheduled Start Date.

<b>Finish Variance</b>	On Target According to Scheduled Finish Dates	Are scheduled tasks being completed as planned?	Current Scheduled Finish Date – Baseline Finish Date	Project Level Weekly Monthly	0.00. Below 0.00 is better than above 0.00.	Project Status Report and/or Meeting
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The Finish Variance represents the difference between the baseline **finish** date of a task or assignment and its current **finish** date.

<b>Number of Open Risks</b>	Ongoing Monitoring and Control of Project Risks	Are risks being identified and mitigated?	Count of Open Risk per Project	Project Level Weekly Monthly	Trend of total number on regular periodic basis	Project Status Report and/or Meeting
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Open risks are continuously monitored and addressed such that risks with high or increasing exposure values are stabilized, and the overall quantity of such risks is decreasing.

METRIC / MODEL NAME	GOAL	QUESTION	FORMULA	ANALYSIS LEVEL, FREQUENCY	TARGET VALUES	ANALYSIS REPORTING
<b>Overall Risk Exposure</b>	Mitigate and reduce overall project risk	Are risks being addressed and mitigated?	Sum of all Exposures (Probability x Impact) score for all open risks	Project Level Weekly Monthly	Trend of total exposure score on regular periodic basis	Project Status Report and/or Meeting

Overall risk exposure looks at the project's risk posture according to its average Probability x Impact score for all open risks.

### Exhibit 8-3: Project Management Performance Metrics

#### 8.5 MONITORING AND CONTROLLING OUTCOMES AND BENEFITS

FX Project Teams shall monitor and control outcomes and benefits by considering the impact a proposed change has on a project's ability to deliver planned outcomes and benefits. Changes that have a negative impact shall be escalated through the FX EPMO to the FX Portfolio Management Team.

FX Project Teams shall track benefits using the AST Benefits Realization Tracking workbook. The following questions will be answered during the project authorization through planning stages.

- Identify the approved benefit(s) and associated assumptions
- Describe how the project will achieve each benefit
- Provide metrics (including KPIs) and procedures to measure progress toward achieving benefits; a good time for capturing baseline metrics is during current-state (or as-is) analysis
- Identify the roles and responsibilities of those managing benefits
- How will the planned benefits and capabilities transition into an operational state, and to whom, to achieve benefits
- Prior to formal close out what is the process to assure the project has achieved benefits

FX Project Managers shall then monitor progress toward those planned outcomes and benefits during the execution of the project. FX Project Teams cannot wait until projects go-live to manage benefits; doing so increases the risk benefits will not be realized. Specific metrics will

vary by project; however, Project Managers may generally monitor and control progress toward benefits realization in terms of:

- Maintaining scope alignment to strategic objectives (functionality or services needed to achieve the planned outcome and benefit)
- Complying with federal regulations (which may impact certification and funding)
- Managing to schedule and cost baselines (both of which impact return on investment)
- When applicable assessing consumer satisfaction/public relations (reduction in complaint volume)

Quarterly, the Governor's Office of Policy and Budget and the Agency for State Technology requires the Agency to submit the AST Benefits Realization Tracking Workbook. Therefore, FX Projects shall provide quarterly updates to the FX EPMO on the status of achieving identified outcomes and benefits.

## 8.6 MONITORING AND CONTROLLING COST

There are tools used to control cost within defined ranges to achieve project desired outcomes within budget:

- Schedule baseline (i.e. SPI and CPI metrics)
- Monthly Spending Plan (budget vs actuals)

The Agency maintains the Monthly Spending Plan. The spending plan tracks the planned and actual cost for FX Vendors and other project- or contract-related costs, i.e. Outside Legal Counsel. The Agency makes the Spending Plan available to the FX EPMO by the 10<sup>th</sup> of each month for the purpose of completing the Monthly Status Report. The Monthly Spending Plan includes:

- The planned invoices from FX Vendors for work during the State Fiscal Year
- The actual amount invoiced for the month (usually received a month in arrears)
- Total Planned Costs, Total Actual Costs, and Variance

FX Project Teams are responsible for detailing reasons for any variance between actual and budgeted amounts.



## SECTION 9      CLOSE-OUT STAGE

The purpose of the project close-out stage is to formally finalize all project activity. This stage involves confirming all project work has been completed or otherwise dispositioned, documents have been properly approved, versioned, and archived, and resources are appropriately released from the project.

At this stage of the FX Project, the FX Project Manager works with the FX EPMO to review project documents for completeness and that these are properly archived according to the document management plan in Section 7; CRAIDL log items are properly updated and closed; benefits realization documents are updated for post implementation tracking and assessment; and the transition from implementation to maintenance and operations is successfully achieved.

The FX Project Team, with the help from key stakeholders, shall conduct a post implementation review. The FX Project Manager will conduct a Lessons Learned review session and complete a Lessons Learned summary. Finally, the project manager shall document and submit the Project Close Out Report to the FX EPMO.

### **Templates:**

- The Post Implementation Review template will be available in the Templates folder of the FX Projects Repository by December 31, 2019
- The Project Close-Out Report template will be available in the Templates folder of the FX Projects Repository by May 31, 2019



## ATTACHMENTS

ATTACHMENT A: [CRAIDL FIELDS](#)

ATTACHMENT B: [DECISION TREE](#)