Project Plan Review
Standard Operating Procedure

Department of Information Resources (DIR)

Procedure Number: [Number]

VERSION: 1.0 AUTHORED BY: Heather Hardy

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Contents

1. Purpose

Texas Government Code, Section 2054.304(b), requires state agencies to submit a Project Plan and Registers for all Major Information Resources Projects (MIRPs) to QAT before the agency awards a contract or spends more than 10 percent of allocated funds for the project. In addition, for each contract for the development or implementation of a MIRP with a value of at least $10 million or involving an agency designated for "additional monitoring" by the SAO (Texas Government Code, Section 2261.258), agencies are required to provide QAT with a Project Plan prior to awarding that contract.

The purpose of this standard operating procedure (SOP) is to help DIR staff review the Project Plans and Registers submitted to QAT by state agencies. This SOP details the following required steps for DIR:

- Review the Project Plan and Registers using the Procedure described in this SOP.
- Document review results.
- Communicate the review results to the QAT and the submitting agency.
- Complete the review process.

2. Background

The Project Plan builds on the general planning information contained in an agency's Business Case, including more detail and specifics on monitoring and control methods, quality, communication, configuration, performance, and risk management. The Project Plan should demonstrate how the agency considered incorporating into the project the applicable best practices recommended in the QAT Annual Report (Texas Government Code, Section 2054.304(d)). Additionally, a state agency contract for a MIRP must comply with the requirements in the Comptroller's *Texas Procurement and Contract Management Guide* (Texas Government Code, Section 2054.304(e)). The purpose of the Project Plan is for the agency to provide additional detail to support successful execution of its Major Information Resources Project, and to provide a baseline approach for the project team to follow during execution.

3. Scope

This SOP applies to the Texas Project Delivery Framework Project Plan and Registers that must be submitted to QAT for state agencies' MIRPs, as required by Texas Government Code, Section 2054.304, and Texas Administrative Code, Chapter 216.

4. Requirements

DIR staff will only review Project Plans for MIRPs that have been **approved** by the QAT. The Project Plan should be reviewed together with the required Acquisition Plan (covered in a separate SOP) to verify that the information reported is consistent in the two documents. A DIR review of the Project Plan is targeted for a two-week turnaround.

5. Procedure

Review Steps

Agencies submit their approved Project Plan and Registers through the QAT@dir.texas.gov and projectdelivery@dir.texas.gov mailboxes and upload to the existing associated project in DIR's Statewide Project Automated Reporting (SPAR) system. The DIR Statewide Project Delivery Project Manager will have created an associated project entry in DIR's Statewide Project Automated Reporting (SPAR) system for the agency to enter project details and upload project documents during the Business Case review and approval step prior to Project Plan creation. If the agency does not have an existing SPAR license, the Project Manager creates a SPAR account for the agency representative/liaison and informs that person on how to access their projects in the system.

DIR's Strategic Sourcing Director tracks project review statuses in a Project Spreadsheet.

While the QAT has at least **30 days** to review, the DIR review completion is targeted for two weeks (14 business days) from receipt of the Project Plan and Registers using the following procedures:

*Review both the Project Plan and associated Registers using the following checklists to track any missing or incorrect information. Based on the content of the documents under review, answer the questions accurately. Respond "Yes", "No", or "NA". **Responses of "No" and "NA" may require further examination.***

The checklists ask general questions related to format and approval requirements for the deliverable and sections that are titled to correspond to the Template sections. The Project Plan Template line-item indicator appears in parenthesis just after the question, if applicable.

Project Plan Template Checklist

General Information	**Yes/No/NA**
Was the Project Plan submitted as a searchable PDF file?	
Was the Project Plan completed using the currently published template?	
Are all template fields filled out completely and as instructed?	
Are the required Project Plan Registers (Quality, Communication, Configuration, Performance, and Risk) attached and completed?	
Project Overview	**Yes/No/NA**

Are the business problem and how the project will deliver the expected business outcomes and performance objectives adequately described and aligned with the Business Case? (1.1)	
Are the product methodology and type selected and in alignment with the Business Case? (1.2)	
Is there a narrative description of the project approach/methodology, and does it align with the Business Case? (1.2)	
Are QAT Best Practices selected for consideration and implementation, and do they align with selections in the Business Case? (1.3)	
Are the planned accomplishments/outcomes **included** in the project scope described in a narrative or bulleted list of deliverables, services, and/or solutions? (1.4)	
Are accomplishments/outcomes that are **excluded** from the project scope described in a narrative or bulleted list of deliverables, services, and/or solutions? (1.4)	
Are project assumptions related to business, technology, resources, scope, expectations, or schedules described and aligned with the Business Case? (1.3)	
Are the limiting factors, or constraints, that restrict the project team's options regarding scope, staffing, scheduling, and management of the project described and aligned with the Business Case? (1.4)	
Project Organization	**Yes/No/NA**
Is the organizational structure of the project team and stakeholders provided in a graphical depiction? (2.1)	
Does the organizational structure contain typical and applicable IT project stakeholders and roles? (2.1)	
Are external project stakeholders [examples: federal, legislative, judicial, oversight (QAT)] identified and described, along with their function and interest in the project? (2.2)	
Are project structure and external stakeholder roles and responsibilities listed, including total number of resources, skill set requirements, and time dedicated to project for each? (2.3)	
Are all roles listed included in either 2.1 Project Structure or 2.2 External Stakeholders, as applicable? (2.3)	
Project Start-Up	**Yes/No/NA**
Is the life cycle model(s) that will be used for the project specified and described, including any organization/agency established standards and any tailoring of practices to accommodate specific project needs, if applicable? (3.1)	
Is there a description of how data produced from or used in the project will be classified, and how appropriate data security and retention requirements will be determined, as described under Texas Government Code, Section 441.185? (3.1)	

Are the Data Center Services and/or Shared Technology Services under consideration for the project selected and aligned with the Business Case selections? (3.2.3)	
Are the methods used to estimate the project level of effort, schedule, and budget, including tools and techniques used to obtain the estimates, described? (3.3)	
Are the actual estimates for the project dimensions (effort, schedule, and budget) provided, along with the estimate source/basis (e.g., DIR's Not-to-Exceed rates) the level of uncertainty and risk associated? (3.3)	
Is the reference to the location of the work breakdown structure (WBS) and associated work packages stated? (3.4)	
Is the reference to the location of the project schedule stated? (3.5)	
Are major milestones/deliverables, along with their planned completion dates, listed and aligned with the initial milestones in the Business Case Section 1.6? (3.5)	
Do milestones listed appropriately reflect products and/or services delivered to the end user, as well as the delivery of key project management or other project-related work products (e.g., requirements, design, implementation, iterations, sprints, epics, testing, go live)? (3.5)	
Is the reference to the location of the budget schedule stated? (3.6)	
Are the budget amounts allocated listed by key budget category (e.g., project milestone or standard cost categories such as personnel, travel), amount, and time period, and do the time periods listed correlate to the Business Case Workbook Cost Analysis tab fiscal years? (3.6)	
Monitoring and Control	**Yes/No/NA**
Is the process for managing all proposed changes, including how change requests are initiated, logged, and tracked and assigned for analysis and recommendation, described? (4.1)	
Are the change request review process and any additional change processes, including any at the organization or agency level, described and appropriate? (4.1)	
Is the process for managing project issues, including the resources, methods, and tools used to report, analyze, prioritize, and resolve project issues, described? Does the description include issue management policies and procedures established at the organization or agency level, if known/applicable, and how the issues will be tracked and managed to closure? (4.2)	
Is the process for how project status reporting information will be used to monitor and control the project described, including escalation procedures and thresholds that may be used in response to corrective actions identified as part of the reporting process? Does the description include status reporting policies and procedures established at the organization or agency level for project monitoring and controlling, if known/applicable? (4.3)	
Quality Management	**Yes/No/NA**

Is the high-level approach to quality management based on project performance described? Does the description summarize how quality management activities will be accomplished collectively, including any established organization/agency-level quality management policies and procedures if applicable? (5.1)	
Are project-specific methods for identifying and organizing quality objectives and standards in preparation for executing quality management described? (5.2)	
Are the types of project reviews that are directly related to project quality, including frequency, tools used, reviewer(s), and the report(s) that will be generated as a result of the reviews, described? (5.3)	
Is the description for how the results of project reviews will be monitored and evaluated, and how variance to acceptable criteria will be reported and resolved, appropriate based on project-specific methods? (5.3)	
Is the description of the final approval process for acceptance from an overall quality perspective and the objective criteria for stakeholder acceptance listed and appropriate based on each deliverable listed? (5.4)	
Are the activities that will be performed periodically to assess the project's processes, identify areas for improvement, and implement improvement plans described, and are they appropriate to identify process gaps? (5.5)	
Is the high-level approach to communication management based on project performance described? Does the description summarize how quality management activities will be accomplished collectively, including any established organization/agency-level quality management policies and procedures if applicable? (6.1)	
Is the description of how project stakeholders and information requirements are identified and organized to ensure timely and appropriate collection, generation, dissemination, storage, and ultimate disposition of project information among project stakeholders appropriate based on project-specific methods? (6.2)	
Is the reference to the location of the project distribution list stated? (3.6)	
Are distribution groups for disseminating project information identified and described, including name and owner. (3.7)	
Configuration Management	**Yes/No/NA**
Is the high-level approach to configuration management based on project performance described? Does the description summarize how quality management activities will be accomplished collectively, including any established organization/agency-level quality management policies and procedures if applicable? (7.1)	
Are the tools, environment, and infrastructure required for the execution of the project configuration management activities described? (7.2)	
Is the description of the methods for identifying project configuration items (CI) and controlling CIs for identified baselines appropriate and based on project-specific methods? (7.3)	

Is the description for how configuration control is imposed on the baselined configuration items appropriate and based on project-specific methods. (7.4)	
Are configuration status accounting and reporting activities described? (7.5)	
Are configuration audits and reviews to be held for the project's CI described? (7.6)	
Are the interface control activities required to coordinate changes among the project's CIs and interfacing items outside the project scope, including the external items to which the project's CIs interface, described? (7.7)	
Is there a description of the activities required to incorporate into the controlled environment CIs for which a vendor has responsibility? (7.8)	
Are the activities for general vendor management (e.g., vendor onboarding, vendor status reporting) described? (7.9)	
Performance Management	**Yes/No/NA**
Is the high-level approach to product and/or service performance management described? Does the description summarize how quality management activities will be accomplished collectively, including any established organization/agency-level quality management policies and procedures if applicable? (8.1)	
Does the performance management approach align with Section 1.6 Business Case for the project? (8.1)	
Is the scope of the performance management effort in relation to the project described?	
Are limits in terms of managing the performance of the goods and/or services defined in the performance scope description? (8.1)	
Is there an appropriate description of methods for performance objectives and standards identification and organization in preparation for executing performance management? (8.2)	
Risk Management	**Yes/No/NA**
Is the high-level approach to risk management described? Does the description summarize how quality management activities will be accomplished collectively, including any established organization/agency-level quality management policies and procedures if applicable? (9.1)	
Is there an appropriate description of risk identification and organization methods, such as brainstorming, interviews, and risk factor tables, to be used in preparation for performing risk analysis. (9.2)	
Is risk analysis method to establish the project exposure level for each risk and determine which risks are important to address described? Does the description include scales for rating risks and risk threshold values? (9.2.2)	
Is the description of risk response strategy assignment appropriate and based on project-specific methods? (9.2.3)	

Is there an appropriate description of methods, such as use of risk checklists and/or watchlists, for continually tracking risks to ensure that effective risk management is performed? (9.3.1)	
Is there an appropriate description of techniques, such as the use of reports for examination of risk response strategies in a summarized (collection or risk items) or detailed (single risk item) manner, to review and present the status of project risks? (9.3.2)	
Project Transition	**Yes/No/NA**
In the event a vendor is replaced, does the vendor replacement description summarize the plan for transferring the project from an administrative, financial, and logistical perspective? (10.1)	
Does the closeout plan summarize project closure the administrative, financial, and logistical perspectives? (10.2)	
Are phased closeout plans described if applicable? If not applicable, is that stated along with an explanation? (10.3)	
References	**Yes/No/NA**
Do all documents and other sources of information referenced in the Plan and utilized in the project listed include the document number, title, date (mm/dd/yy), and author, if applicable? (11)	
References	**Yes/No/NA**
Are all terms and acronyms required to interpret the Project Plan defined? (12)	
Revision History	**Yes/No/NA**
Are all changes to the Project Plan listed, including version number, date, author name(s), and description of version changes? Does the current version listed match the document header? (13)	
Appendices	**Yes/No/NA**
SEE APPENDICES CHECKLIST BELOW FOR REQUIRED REGISTER APPENDICES.	

Project Plan Register Templates Checklist

General Information	**Yes/No/NA**
Were the Registers submitted as searchable PDF files?	
Were the Registers completed using the currently published templates?	
Are all 5 of the required Project Plan Registers (Quality, Communication, Configuration, Performance, and Risk) attached and completed? **NOTE:** If the Quality Register is not submitted, the Quality indicator for required Monitoring Reports will default to Red until submitted.	

Are all template fields filled out completely and as instructed?	
Quality Register	**Yes/No/NA**
Does the Register align with the information in Section 5 Quality Management in the Project Plan Template?	
Are project phase, quality objective, quality standard, tracking tool/measure, and result (including Green, Yellow, and Red indicators that align with the Legislative Budget Board's (LBB) project health indicators on their public QAT Dashboard) elements listed appropriate/attainable based on Section 5 Quality Management in the Project Plan Template? Are the measures listed a good measure of actual project quality health?	
Communication Register	**Yes/No/NA**
Does the Register align with the information in Section 2 Project Organization in the Project Plan Template?	
Does the Register align with Section 6.2 Communication Stakeholders and Information Identification in the Project Plan Template?	
Are all of the following elements present and appropriate? : o Information Requirement Description/Title (What is being communicated?) o Provider/Stakeholder (Who is communicating?) o Recipient/Stakeholder (Who is receiving the communication?) o Timeframe/Frequency/Trigger (When will the communication occur?) o Format (What is the type of communication?) o Medium/Distribution Method (How will the communication be distributed?) o Storage/Disposition Method (How will the communication be stored/disposed of?)	
Configuration Register	**Yes/No/NA**
Does the Register align with the information in Section 7 Configuration Management in the Project Plan Template?	
Are all of the following elements present and appropriate? : o Name o Description o Item naming convention o Version numbering convention o Type/classification o Controlled library/repository o Owner o Relationship with other configuration items (CIs) o Unique management requirements o Management strategy o Security requirements/considerations	
Performance Register	**Yes/No/NA**

Does the Register align with the information in Section 8 Performance Management in the Project Plan Template?	

Are all of the following elements present and appropriate? :
• Number/No.
• Project Business Goal and Objective
• Product and/or Service Performance Objective
• Performance Standard
• Performance Measurement
• Performance Monitoring and Evaluation
  o Collection Method
  o Collection Schedule
  o Review Method
  o Frequency
  o Assigned To
  o Reports	

Risk Register	**Yes/No/NA**
Does the Register align with the information in Section 9 Risk Management in the Project Plan Template?	

Are all of the following elements present and appropriate? :
• Risk Statement: a clear and concise explanation of the context of the risk. The risk statement includes the:
  o Risk (Event) Description: explanation of the risk event or the occurrence that has caused the risk (e.g., customer submits changes to requirements after requirements are baselined).
  o Risk Consequence: potential effect or outcome of the risk (e.g., changes could extend project delivery completion date).
• Risk Trigger/Causes: acts or events that serve as a stimulus and initiate or precipitate the risk.
• Assessment: a value (e.g., Low=1, Medium=2, High=3) that represents the result of identifying, classifying, analyzing, and prioritizing risk
  o Impact: result of determining the nature of possible effects of the risk
  o Probability: degree of likelihood or chance that the risk will occur.
  o Level of Control: extent to which the project team lacks control over the risk being realized.
  o Total: sum of the Impact, Probability, and Level of Control values; the cell contains a formula that will calculate the sum automatically.
• Risk Response Strategy: one or more options to address the risk.
• Actions Required to Implement Response Strategy: activities that will be carried out to accomplish the risk response strategy (e.g., revising the Project Plan to include additional activities, defining various alternatives to address the risk).
• Risk Owner: name of the individual(s) or party(s) responsible for managing the risk.
• Completion Date: date mm/dd/yy the risk response actions will be completed.	

Post-Checklist Steps

After completing the Review Steps, the assigned reviewer will do the following to complete the Review Procedure:

a. The reviewer sends DIR's Strategic Sourcing Director an email summary of any comments and any "No"/"NA" checklist responses that may need revision.

b. The director reviews edits/comments from the reviewer and submits them to QAT via email or discussion at a scheduled QAT meeting.

c. At QAT direction, the director may send project comments directly to agency.

Optional Steps

The comment period may include meeting with agencies to discuss issues or concerns.

If QAT has recommendations, then the agency is required to comply with the recommendations or submit a written explanation to QAT@dir.texas.gov stating their rationale for why the recommendations are not applicable to the project under review.

The agency may resubmit the Project Plan addressing the comments made by QAT.

Approval and Notification Steps

QAT votes on whether to approve the submitted Project Plan and Registers. If the business case and workbook are approved, the LBB will notify the agency through an approval email.

As a courtesy, DIR's Strategic Sourcing Director will forward a copy of the approval letter to the agency's project liaison and copy the QAT.

The DIR Statewide Project Delivery Project Manager ensures the LBB-approved Business Case and Business Case Workbook are uploaded in SPAR.

6. Revision History

Version	Date	Name	Description
1.0	06/21/2023	Jenn Norman/Heather Hardy	V1.0

7. Acronyms

BC – Business Case

BCW – Business Case Workbook
BOP – Biennial Operating Plan
DIR – Department of Information Resources
MIRP – Major Information Resources Project
QAT – Quality Assurance Team
SOP - Standard Operating Procedure
SPAR – Statewide Project Automated Reporting