ENTERPRISE PROJECT MANAGEMENT OFFICE

Hybrid Project Management Process Detail

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1 Exploration

1.1 Business Notifies IT Director/Manager of requested IT Project

The Business should reach out to their assigned IT Director/Manager when thinking about a new IT Project.

- **<u>Who</u>**: Agency/Department Business Unit requesting the project
- **<u>How</u>**: Communicates (standing meeting, phone, e-mail) to IT Director/Manager assigned to their Agency/Department
- **<u>When</u>**: As soon as you know you might want to take on an IT project.

1.2 IT Director/Manager Notifies IT Portfolio Manager of Requested IT Project

The ADS IT Director/Manager will notify the IT Portfolio Manager of the requested IT Project.

- **<u>Who</u>**: IT Director/Manager submits IT Project Request to IT Portfolio Manager
- **<u>How</u>**: Communicates (standing meeting, phone, e-mail) to the IT Portfolio Manager
- **<u>When</u>**: As soon as the business notifies the IT Director of business need for an IT Project.

1.3 IT Portfolio Manager enters request in the EPMO Portfolio Management Tool

Once the IT Portfolio Manager is aware of the requested project, the information is entered in the portfolio management tool for project status tracking and reporting.

- **<u>Who</u>**: IT Portfolio Manager
- **<u>How</u>**: Enters project data into the portfolio management tool
- **<u>When</u>**: As soon as the IT Director notifies the IT Portfolio Manager of the requested project.

1.4 Start drafting IT ABC Form with Business

The IT ABC form serves as a record of the business case for the project, its estimated implementation cost and ongoing operations costs. The IT ABC form also provides the baseline for legislative reporting.

- **<u>Who</u>**: IT Director/Manager
- **<u>How</u>**: Using the IT ABC form instructions and template, the IT Director, or their designee, takes the lead in drafting the document with support from the Business Lead and IT Portfolio Manager
- **<u>When</u>**: Prior to beginning any project work the IT ABC Form must be created and approved

Note: The IT ABC should be approved by the sponsoring Agency regardless of project cost and must be approved by CIO if the implementation and operational costs exceed $25K.

1.5 ADS Resources needed for Exploration <decision Point>

An assessment is done on the initial request to determine if ADS IT resources are needed to support the work done in exploration to fully complete the IT ABC and provide the requesting Agency or Department with the appropriate resources to successfully start a project. These resources could include, but are not limited to:

- Project Manager
- Enterprise Architect
- Business Analyst
- Security Analyst
- Data Analyst

- **Who**: IT Portfolio Manager, IT Director, and Project Sponsor
- **How**: Have a discussion to understand the needs of the requested project and business resource capabilities and come to an agreement what ADS resources are needed during the exploration phase, if it's necessary.
- **When**: Upon starting the draft of the IT ABC Form, prior to gathering high level features and Functions

1.6 Gather high level features and functions (EPICS) (IT DIRECTOR/MANAGER)

Dependency: 1.5 Decision Point is NO

If a Business Analyst is not determined unnecessary in step 1.4, the IT Director (or delegated IT Manager) will work with the business lead on gathering and documenting high-level features & functions that are desired.

- **Who**: IT Director (or delegated IT Manager) documents needs w/ the input of the Business Lead
- **How**: Solicits desired high-level features and functionality from the business and documents it
- **When**: After the IT ABC form is in draft and before an RFI (if one is being completed)

1.7 Complete ADS IT Service Request Form

Dependency: 1.5 Decision Point is YES

If it is deemed necessary to assign ADS resources, regardless of specific roles, to help during the exploration phase to define the project in more detail prior to, or concurrent to drafting the IT ABC Form, this step must be completed. The approval of this request form allows the IT Portfolio Manager to assign resources earlier in the process and obtain approval from the business unit that is requesting the services.

- **Who**: IT Portfolio Manager

- **How**: IT Portfolio Manager will provide cost estimates of resources needed to do exploration work (help identify high-level feature and functions desired and other work as necessary) and complete the EPMO services request form and get approval from business unit requesting work to approve costs. This form will then be used as approval to request VTHR Codes from the ADS Business Office for time tracking.
- **When**: This should be done as soon as it is identified ADS resources are needed to help define the project prior to an IT ABC Form is drafted.

1.8 Request VTHR Project/Exploration Code from ADS Business Office

Dependency: 1.5 Decision Point is YES

Billing codes are required regardless of IT project implementation cost. Without billing codes, the IT project can't accurately capture spend and can't manage cost allocation opportunities or requirements.

- **Who**: IT Portfolio Manager
- **How**: IT Portfolio Manager submits an Ivanti Ticket requesting a Task Profile ID (TPID) and attaches the approved **ADS IT** service request to the ticket.
- **When**: After the Agency/Department has approved the **ADS IT** Service Request Form and associated costs.

1.9 Assign Initial Team Resources (BA, EA, Security, CDO)

Dependency: 1.5 Decision Point is YES

During the Exploration Phase, the Business may need support from ADS IT staff in order to create the RFI, IT ABC Form, and Project Estimates. The IT Portfolio Manager will work with the ADS Department Leads and Project Sponsor to assign the appropriate initial project team resources during the Exploration Phase.

- **Who**: IT Portfolio Manager
- **How**: Coordinate with Department Leads and Project Sponsor to secure assignment of available ADS IT staff (or recruitment of a staff augmentation resource if needed)
- **When**: After approval of the **ADS IT** service request form

1.10 Gather high level features and functions (EPICS) Business Analyst

Dependency: 1.5 Decision Point is YES

The IT Business Analyst will work with the business lead on gathering and documenting high-level features & functions that are desired. Other resources, such as an Enterprise Architect, may be assigned during this time period as well to create an architectural vision for the project.

- **Who**: IT Business Analyst documents needs w/ the input of the Business Lead
- **How**: IT Business Analyst solicits desired high-level features and functionality from the business and documents it
- **When**: Promptly after an IT Business Analyst is assigned and before RFI

1.11 Research and assist in completing 'Other Solutions' section on IT ABC Form

The CTO's office will assist in completing the 'Other Solutions' section on the IT ABC Form. This will provide information about technologies that other State Agencies and Departments are using to meet a similar business need that could be utilized.

- **Who**: CTO's Office (Enterprise Architect)
- **How**: Researching the enterprise application portfolio for potential technology solutions that are currently being used that would meet the need.
- **When**: After high level features and functions have been defined and documented for the project

1.12 Facilitate decision if RFI is needed <decision point>

A Request for Information (RFI) helps the Business Lead refine the product vision and requirements and provide cost estimates to inform the IT ABC form. Not all IT projects require an RFI; some IT projects may use information already available.

- **Who**: Business Lead
- **How**: Business Lead should meet with the IT Portfolio Manager, IT Lead, and other key project sponsors to determine if an RFI is needed.
- **When**: Promptly after the Initial Product Backlog is established (this is needed to provide in the RFI)

1.13 Write RFI

Dependency: 1.12 Decision Point = YES

A Request for Information (RFI) helps the Business Lead refine the product vision and provide cost estimates to inform the IT ABC form.

- **Who**: the Business Lead and/or IT Director/Manager, supported by the IT Business Analyst
- **How**: Using templates provided by BGS and information from product backlog
- **When**: During Exploration Phase before, or in parallel with, the creation of the IT ABC Form

1.14 Submit RFI to BGS for posting

Dependency: 1.12 Decision Point = YES

A Request for Information (RFI) is released to the public through the BGS office. Responses to the RFI are returned to the Business Lead.

- **Who**: Business Lead (Submits) and BGS (Posts)
- **How**: BGS Website and BGS Procurement Office
- **When**: Once RFI is provided to BGS

1.15 Receive RFI Responses

Dependency: 1.12 Decision Point = YES

Responses to the RFI are returned to the Business Lead.

- **Who**: BGS, Business Lead
- **How**: BGS provides the RFI responses to the Business Lead
- **When**: Once responses are received from vendors

1.16 Review RFI Responses

Dependency: 1.12 Decision Point = YES

Responses to the RFI are reviewed by the business lead and other team members assigned to the effort at the time. That information is used to help understand the size and complexity of the project. The information from the RFI will also be used to populate the IT ABC Form with a recommended approach and estimated costs.

- **Who**: Business Lead
- **How**: Business Lead along with other business and ADS team members will review the responses to the RFI
- **When**: Once responses are received from BGS

1.17 Work with appropriate resources to complete cost estimates on IT ABC

The IT ABC Form will need to include the IT project cost estimates.

- **Who**: IT Portfolio Manager
- **How**: IT Portfolio Manager will prepare a cost estimate for labor resources (i.e. IT Project Manager, IT Business Analysts, Enterprise Architect, IT Lead, etc.). The IT Portfolio Manager will work closely with each ADS Department Lead to estimate hours needed for each resource. IT Portfolio Manager will work with Business Lead and IT Leads to gather estimates for hardware

and software costs as well as operating costs and enter all estimates in Clarity for budget tracking purposes.

- **When**: Before the IT ABC Form is submitted for review within the Sponsoring Agency/Department.

1.18 Facilitate updates and completion of IT ABC Form Draft

The IT Portfolio Manager will review the IT ABC Form and make sure that all sections are complete and the information provided is adequate prior to having necessary parties review and approve.

- **Who**: IT Portfolio Manager
- **How**: Review the IT ABC Form draft for completeness. The IT Portfolio Manager will work with individuals on sections of the form if updates or more information is needed to get the draft complete.
- **When**: After all sections of the form have been drafted

1.19 Review IT ABC Form (IT Lead)

The IT Lead will review the IT ABC Form from their perspective to ensure the information provided is complete and accurate and they agree to the information.

- **Who**: IT Lead assigned to Agency or Department
- **How**: Reviews the draft of the IT ABC Form
- **When**: Upon the IT Portfolio Manager's review and request for the IT Lead to review (can happen concurrently with other business reviews)

1.20 Review IT ABC Form (including Business Office)

The IT ABC Form must be reviewed with the Sponsoring Agency/Department, this includes the Finance Department for the sponsoring Agency as they will have to certify the funds have been identified and are available.

- **Who**: Project Sponsor / Business Lead and Agency Finance Director
- **How**: Conduct a review with the appropriate parties from the sponsoring Agency/Department. This review/approval should follow the Agency's project approval process if one is defined, or include review and approval by the Agency Sponsor, Finance Lead, and perhaps other impacted parties.
- **When**: After IT Portfolio Manager has reviewed and requested Agency review, before CTO and CIO Review.

1.21 Send to CTO for review

Once the IT Lead and the Sponsoring Agency or Department has reviewed and have provided initial approval of the form, the IT Portfolio Manager will send the draft IT ABC Form to the CTO for review and approval.

- **Who**: IT Portfolio Manager
- **How**: IT Portfolio Manager sends draft IT ABC Form to CTO for review,
- **When**: After the sponsoring Agency or Department has reviewed and approved the form

1.22 Review IT ABC Form (CTO)

All IT ABC Forms, regardless of project size and cost, must be reviewed by the Chief Technology Officer (CTO) prior to CIO review.

- **Who**: CTO
- **How**: CTO will review IT ABC form and provide feedback or verbal approval to move forward with IT ABC form review process (depending if additional feedback is provided and what the nature of that feedback is, the form may need to be updated and reviewed again by the Agency or Department).
- **When**: After the IT ABC Form has been reviewed by the sponsoring Agency/Department, prior to CIO Review.

1.23 Route IT ABC Form for formal signatures (except CIO)

IT Portfolio Manager will route IT ABC Form for formal signature of all parties listed on the document via electronic signature.

- **Who**: IT Portfolio Manager
- **How**: IT Portfolio Manager routes IT ABC Form for signature electronically.
- **When**: After the IT ABC Form has been reviewed and approved to proceed by all key stakeholders

1.24 Schedule IT ABC Form Review meeting with CIO

The IT Portfolio Manager will submit the signed IT ABC Form and request a meeting with the CIO through the CIO's office by uploading the signed IT ABC Form to SharePoint. The upload triggers a notification to the CIOs office that the IT ABC Form is complete and is ready for a review meeting. The SharePoint Folder location can be found using this link.

- **Who**: IT Portfolio Manager

- **How**: IT Portfolio Manager will upload the signed IT ABC Form to IT ABC Forms in routing folder (found here) on SharePoint. This triggers a notification to the CIOs office that a new IT ABC Form is ready for CIO Review. The CIOs office will schedule a meeting which will include all signers on the IT ABC Form.
- **When**: After all parties, except the CIO, have electronically signed the IT ABC Form

1.25 IT ABC Form Review Meeting

A brief meeting is held with the CIO, IT Portfolio Manager, IT Lead, and Project Sponsor to review the IT ABC From. The CIO may have questions about the project that will be asked during this meeting. The IT ABC Form may require updates to questions, though a decision is typically made during this meeting.

- **Who**: CIO, IT Portfolio Manager, IT Lead, and Project Sponsor
- **How**: Typically, a brief 15-minute phone call to review the request with the CIO
- **When**: After the IT ABC Form has been reviewed and approved by the IT Portfolio Manager, IT Lead, CTO, and Sponsoring Agency or Department

1.26 Obtain CIO signature on IT ABC Form

Assuming the IT ABC Form was be approved by the CIO (ADS Secretary) in the IT ABC Form review meeting, official signature needs to be obtained on the IT ABC Form.

- **Who**: CIO
- **How**: IT Portfolio Manager routes IT ABC Form for signature of CIO
- **When**: After the IT ABC Form has been reviewed and approved to proceed by all key stakeholders

1.27 Request or validate VTHR Project Code

If a TPID had previously been created earlier in exploration due to ADS resource assignments, the IT Portfolio Manager will validate with the business that the customer codes used for exploration will be the same funds used for the duration of the project. If there were no resources previously assigned or the customer code/funding source is changing, the IT Portfolio Manager will request a new TPID with the correct billing information associated.

- **Who**: IT Portfolio Manager
- **How**: Validate the funding source or request a TPID by attaching the approved IT ABC Form to an Ivanti Ticket.
- **When**: After the IT ABC Form is approved by the CIO

1.28 Assign/Confirm ADS Project Team Resources

The IT Portfolio Manager will work with the ADS Department Leads to assign project team resources for the remainder of the IT Project.

- **Who**: IT Portfolio Manager
- **How**: Coordinate assignment of available ADS staff or recruitment of a staff augmentation resource if needed.
- **When**: As soon as possible following approval of requested IT project

2 Initiation

2.1 Internal Project Kick-off Meeting

An Internal Project Kick-off signals to the Team that the IT Project has officially begun. The Kick-off should ensure that the Team understands the purpose and constraints of the Project, the Project-Lifecycle Process & Governance, Roles & Responsibilities and escalation points.

- **Who:** IT Project Manager
- **How:** The IT Project Manager schedules the Internal Project Kick-off Meeting. The PM is responsible for the majority of the meeting agenda with support from the Business Lead, IT Business Analyst, Agency IT Lead, BGS Office Contracting & Procurement, Enterprise Architect and Security Analyst. Content to be covered includes discussing the following:
  - Project overview/review of ITABC
  - Review alternative analysis conducted to date
  - Roles and Responsibilities
  - Upcoming activities
  - Very high-level schedule
- **When:** This should be done as soon as formal approval (Approved IT ABC Form) for the project to proceed has been given and resources have been assigned.

2.2 Identify Key Stakeholders

Stakeholders are people, roles and groups that are impacted, or perceived to be impacted, by the Project or its outcomes.

- **Who**: IT Project Manager
- **How**: Using knowledge of current organizational structure and processes; Federal and State requirements; and external parties. Identification of one stakeholder may lead to identification of additional stakeholders through consultation with the stakeholder. IT Project Manager,

Business, and IT Managers will all provide input on who key stakeholders for the project are. The IT PM will take the lead to capture all contact information and include it in the Project Charter.

- **When**: Upon the assignment of the IT Project Manager, they should start identifying Key Stakeholders.

2.3 Draft Project Charter

A Project Charter is the consolidated document that outlines key project components. It is an agreement between the Project Sponsor, IT Project Manager, Agency governance and the Project Team on how the project will be managed. Projects under the oversight of the State of Vermont EPMO shall adhere to standards approved by the EPMO. Any exceptions to these standards will be documented in the Project Charter. For example, the State will provide a Communications Plan as a standard, any exceptions to that standard will be documented in the Project Charter.

- **Who**: IT Project Manager & Business Lead
- **How**: The IT Project Manager and Business Lead will work together to create and draft the Project Charter. The Project Charter should contain, but is not limited to, the following elements:
    - Project vision statement
    - Key stakeholders & contact information
    - High level scope, schedule and budget
    - High level RACI matrix
    - High level communications plan
    - Reference to the applicable EPMO standards for the project and any deviations from those standards needed for the specific project
- **When**: Drafting the Project Charter should start as soon as the project has received formal approval and an IT Project Manager has been assigned.

2.4 Groom Epics

An Epic is a large, unrefined user story that is typically too big to complete in a single sprint. Epics generally include high level functionality or descriptions of the product based on the Project Vision. Epics can include change requests, laws and regulations, contractual requirements in addition to descriptive aspects of the product, all which deliver business value.

- **Who**: IT Business Analyst leads this effort with input from various project team members
- **How**: The IT Business Analyst sets up a meeting / series of meetings with the IT Project Manager, Business Lead, IT Lead, and Project Team to update the Product Backlog to begin capturing the requirements at a high level (Epics). Enterprise Architecture & Security general

requirements can be added prior to the meeting and may need to be revised to fit the Epic / user story model.

- **When**: Grooming should take place upon formal approval of the Project via the IT ABC Form and the assignment of a business analyst.

2.5 Prioritize Epics

The Product Backlog items are prioritized according to their business value, with the first item carrying the largest business value. This is an on-going exercise throughout the project lifecycle that is typically done before each Sprint.

- **Who**: IT Project Manager, IT Business Analyst, Business Lead, and Project Team

- **How**: The Team will get the Product Backlog fleshed out enough and prioritized so that a vendor will have a strong understanding of what is desired. The team may not have enough knowledge to break down all epics and should consider expanding opportunities for vendor engagement during the procurement process to discuss the backlog together.

- **When**: After the Epics have been groomed

Roles & Responsibilities:

- IT Business Analyst co-facilitates the meeting with the IT PM.
- IT Project Manager co-facilitates and records meeting outcome.
- Business Lead prioritizes the Product Backlog based on which ones offer the highest ROI or are the most important pieces of functionality to release first.
- Project Team provides insight to the prioritization process by identifying technical dependencies and/or risks, which will help inform the overall prioritization of the product backlog.

2.6 Identify User Stories

A User Story is a compact description of business functionality from the user's point of view. User stories are written in business domain language. Good user stories are: valuable, negotiable, testable, independent of each other, and small enough to estimate.

- **Who**: IT Business Analyst

- **How**: The IT Business Analyst will coordinate meetings to collaborate the writing of user stories, leveraging the Team's input. User stories should be written in the following format: "As a (*user/persona*), I want (*functionality*), so that (*business benefit*)." This is an opportunity to break down the Epics previously created into work packages.

- **When**: After epics have been prioritized

2.7 Prioritize User Stories

The Product Backlog items are prioritized according to their identified business value, with the first item carrying the greatest business value. At this stage a large amount of the Epics have been broken down into User Stories level (more granular detail of the feature functionality).

- **Who**: IT Business Analyst and Business Lead
- **How**: The IT Business Analyst will coordinate a meeting to prioritize User Stories and any re-prioritization needed for Epics in the backlog.
- **When**: Upon completion of user stories

2.8 Develop Initial Roadmap

The Release Plan defines which deliverables will be released to customers on defined intervals. From this, the business can expect continuous delivery of value at a predictable cadence.

- **Who**: IT Project Manager
- **How**: The IT Project Manager, working with the Business Lead, IT Business Analyst, IT Lead, and Project Team review the prioritized Product Backlog (Epics and User Stories) to estimate a high-level initial release roadmap. The release roadmap may include an estimated number of sprints per release and how many releases would be needed to implement the product. *Note: Considering many technology projects involve procurement, this may require revision once a vendor is secured.*
- **When**: Upon completion of prioritization of user stories

3 Planning

3.1 Write RFP

A Request for Proposal (RFP) describes the State's needs and requirements, as well as solicits responses from the vendor field. *NOTE: If the project is utilizing internal development staff and will not need a contractor for project work, RFP and Contract steps will not be utilized.*

- **Who**: Business Lead
- **How**: Referencing Bulletin 3.5, in collaboration with their Procurement Team, Enterprise Architect, Security Analyst, IT Leader and IT Project Manager, and using the most current RFP template, the Business Lead writes the RFP document.
- **When**: After user stories have been completed and initial roadmap is done

3.2 Review & Approve RFP

After the RFP is written by the Business Lead and prior to submitting it to the Procurement Advisory Team (PAT), the RFP must be reviewed by the Project Sponsor and ADS IT Lead.

- **Who**: IT Project Manager
- **How**: The IT Project Manager facilitates the review and approval process of the RFP to be submitted to the PAT.
- **When**: After RFP draft is complete, before PAT

3.3 PAT Review of RFP

The Procurement Advisory Team (PAT) reviews the form on behalf of the CIO and provides their recommendation to the CIO to approve (or not).

- **Who**: IT Project Manager & IT Portfolio Manager
- **How**: The IT PM submits the drafted RFP to the IT Portfolio Manager who reviews for applicable high-level content and submits to PAT for final review and recommendation for CIO to approve. The IT PM will coordinate business resources to attend PAT at the direction of the IT Portfolio Manager.
- **When**: After the RFP has been reviewed by Project Sponsor and IT Lead

3.4 PAT recommended CIO approval RFP? <decision point>

Did the Procurement Advisory Team (PAT) recommend CIO approval of the RFP as written? If yes, move on to step 3.5. If no, go back to step 3.1 in the process to update the RFP as needed.

- **Who**: PAT
- **How**: Reviews the RFP submitted and makes a decision on whether the RFP can be posted as is or needs edits
- **When**: After RFP has been drafted and submitted to PAT for review

3.5 Prepare PAT Memo

After review & recommendation of approval of the RFP by PAT, the PAT facilitator will draft a recommendation for CIO approval of the RFP to be posted and receive response.

- **Who**: PAT Facilitator
- **How**: PAT Facilitator will draft a memo to be submitted with the RFP draft to the CIO for review and consideration of approval for the RFP.
- **When**: After PAT has reviewed and recommended approval of the RFP

3.6 CIO Approves RFP

The CIO reviews the RFP & PAT memo and approves the RFP to be posted.

- **Who**: CIO, PAT Facilitator, IT Portfolio Manager, IT Project Manager
- **How**: When the CIO approves the RFP they will notify the PAT Facilitator the document is ready for posting, who will then notify the IT Portfolio Manager and IT Project Manager.
- **When**: After PAT has reviewed and made a recommendation to approve

3.7 Submit RFP to BGS OPC

Following approval of the RFP the IT Project Manager submits the RFP to the BGS Office of Procurement and Contracting for posting.

- **Who**: IT Project Manager
- **How**: After the necessary signatures have been obtained, the IT Project Manager updates the high-level schedule dates included in the RFP and submits the RFP to BGS Purchasing and Contracting for public posting & potential bidder notification.
- **When**: After **CIO** approval

3.8 Post RFP

Following Bulletin 3.5 posting guidelines, the RFP shall be publicly posted and proposal review and scoring will be carried out as documented in the RFP.

- **Who**: BGS Office of Procurement and Contracting
- **How**: BGS will follow their process for posting procurement documents for bidders
- **When**: Upon necessary approvals and request to post

3.9 Receive Bidder Questions

Following Bulletin 3.5 vendor engagement guidelines, the communications between the vendor community and the State shall be conducted through the BGS Office of Procurement and Contracting.

- **Who**: BGS Office of Procurement and Contracting
- **How**: The vendors reviewing the posted RFP may have questions needing to be answered prior to being able to submit a response with sufficient detail and accuracy. Those questions will be submitted to the BGS OPC and forwarded to the IT Project Manager for facilitation of response.
- **When**: Per the date identified in the RFP for bidder questions

3.10 Answer Bidder Questions

Based on the questions submitted to the BGS OPC the Business Lead and IT Project Manager will need to review and compile answers. Subject matter experts may need to be engaged to properly response.

- **Who**: Business Lead & IT Project Manager
- **How**: The IT Project Manager will be the point of contact for BGS OPC to submit questions to. Within the identified plan of how responses will be conducted, the IT Project Manager will facilitate the timely response to each question and provide a written response back to BGS OPC.
- **When**: After the questions have been received

3.11 Send Answers to Bidder Questions

BGS OPC will compile the responses from the State and provide to the vendor requesting more information.

- **Who:** BGS Office of Procurement and Contracting
- **How**: Once questions are answered BGS OPC will identify the appropriate response to the question asked and provide the additional detail requested.
- **When**: Per the date in the RFP to respond to bidder questions

3.12 Receive RFP Responses

Following the high-level schedule dates included in the RFP, responses will be submitted by vendors who wish to provide a service.

- **Who**: BGS Office of Procurement and Contracting & IT Project Manager
- **How**: According to the engagement process outlined by the BGS OPC within the RFP, vendors will submit responses to the RFP to BGS OPC. They will then catalog the responses and coordinate pick-up/drop-off with the IT Project Manager.
- **When**: Per the date in the RFP for bidder response due date

3.13 Facilitate RFP Evaluation

All responses will go through an evaluation by the identified team members to identify which candidates will go on to provide a demo and which will not.

- **Who**: IT Project Manager
- **How**: Following the Procurement Management Plan documented by the Project Charter, the IT Project Manager will facilitate a series of meetings to identify top candidates. This Procurement Team will review responses to the RFP against established evaluation criteria. Review may include vendor demos and question & answer sessions.
- **When**: After bids have been received

Additional Procurement Activities may include, but are not limited to:

- Best and Final Offer (BAFO)
- Reference Check
- Site Visits

3.14 Facilitate ADS Review and Scoring of Proposals

The IT Project Manager will facilitate an ADS group review and single scoring of proposals as part of the review process. This should include where applicable, IT Business Analyst, Enterprise Architects, Security Analysts, IT Leads and/or IT Managers, Data Analysts and other ADS resources as needed. ADS will provide one score as part of the RFP scoring process. Through this process ADS will come to agreement on one Solution/Vendor Proposal that will then move forward as a recommendation to the CTIO and CIO and further along to the Business.

- **Who**: IT Project Manager and ADS Project Resources
- **How**: IT Project Manager will facilitate review and scoring sessions specifically for the ADS Project Team members to come up with a cumulative combined score as input to the RFP scoring process. Out of this process, an ADS recommendation will be made on the solution/vendor.
- **When**: After the proposals have been received and concurrently with other RFP evaluation activities

3.15 Draft ADS Memo to CIO and CTO on ADS Solution/Vendor Recommendation

The IT Lead (or delegated IT Manager) will draft a memo of justification to the CTO and CIO on the solution/vendor that ADS is recommending as the best solution. This will then get routed for consideration and approval.

- **Who**: IT Lead (or delegated IT Manager)
- **How**: Draft a Memo of justification as to why ADS is recommending the specific solution/vendor
- **When**: After ADS has reviewed all proposals and have scored them, before the recommendation is made to the business and also prior to vendor selection

3.16 Route ADS Solution/Vendor Recommendation

The IT Project Manager will route the prepared recommendation memo through e-sign. There should be a workflow set up in e-sign so that the memo will first go to the CTO for consideration and approval and then to the CIO.

- **Who**: IT Project Manager
- **How**: Route the memo in e-sign. First to the CTO, upon CTO approval it will then go to the CIO
- **When**: After the recommendation memo is drafted, prior ADS recommendation presented to the business and vendor selection

3.17 CTO Reviews/Approves ADS Recommendation <decision point>

The CTO will first review the recommendation memo and will check in with Chief Financial Officer, Chief Data Officer, and Chief Security Information Officer to make sure they are supportive of the recommendation as well. The CTO will either approve of the recommendation, which will move to the next step in the process, CIO consideration/approval or the CTO will ask the team for more information or reconsideration of proposals.

- **Who**: CTO
- **How**: Review the memo, check in with ADS Executive Leadership on recommendation and will either approve or ask the team for more information or reconsideration of other proposals.
- **When**: After the memo has been drafted and routed for consideration and approval, prior to CIO review of memo and vendor selection.

3.18 CIO Reviews/Approves ADS Recommendation <decision point>

Dependency: Decision point 3.17 = YES

After the CTO has approved the recommendation, the CIO will review the recommendation memo. The CIO will either approve the recommendation or ask the team for more information and/or consideration of other proposals.

- **Who**: CIO
- **How**: Review the recommendation memo that has been submitted and will either approve or ask the team for more information or reconsideration of other proposals.
- **When**: After the CTO has approved the recommendation, prior to recommendation being made to the business and vendor selection.

3.19 Present ADS Recommendation to Business

Dependency: Decision point 3.18 = YES

Once the CTO and CIO have approved the ADS recommendation for solution/vendor, the IT Lead (or delegated IT Manager) will present the ADS recommendation to the Business.

- **Who**: IT Lead (or delegated IT Manager)
- **How**: Presents the approved ADS recommendation to the business on which solution ADS feels best meets the business need as well being in line with ADS IT Strategic goals.
- **When**: After the CTO and CIO have approved the recommendation and prior to vendor selection

NOTE: If the Agency/Department is not in agreement with the ADS recommendation, it needs to be escalated to the IT Lead who will bring the concern to the CTO and CIO for further discussion.

3.20 Select Vendor

RFP proposal scoring and ADS recommendation results in a preferred vendor. Before notification to the preferred vendor can occur, Agency / Department leadership should be informed and approval to proceed is obtained.

- **Who**: Procurement Team, Project Sponsor, Business Lead and IT Project Manager
- **How**: The Procurement Team makes a recommendation indicating the preferred vendor to the Project Sponsor. The IT Project Manager secures funding approval based on preferred vendor cost proposal and Best and Final Offer (BAFO). The IT Project Manager coordinates with the Business Lead to secure approval from Agency leadership (Commissioner or Secretary) to move forward.
- **When**: After evaluation activities are complete

3.21 Are project lifecycle costs >$1M? <decision point>

If the project lifecycle costs exceed $1M, lifecycle costs are project implementation and the anticipated ongoing operational costs for the life expectancy of the system, the project is required by State statute to undergo an Independent Review. The costs estimate on the IT ABC Form will determine if an IR is needed. Reference (statute) for further details on the Independent Review requirements.

- **Who**: IT Portfolio Manager
- **How**: Facilitates the Independent Review process
- **When**: Project lifecycle costs exceed $1M, after a vendor has been selected but prior to contract execution.

3.21.1 Create SOW RFP

Dependency: Decision point 3.21 is YES

The IT Portfolio Manager will fill in the IR RFP SOW template with the project scope information and anticipated dates to define the timeline for the Independent Review.

- **Who**: IT Portfolio Manager
- **How**: Fills in the IR **RFP** SOW template with the scope of the project that needs to be reviewed along with anticipated dates defining the timeline for the IR to take place.
- **When**: As soon as a vendor has been selected by the team, in parallel to contract development

3.21.2 Submit SOW RFP to SOV IT Contracting and Procurement

Dependency: Decision point 3.21 is YES

Once the IR RFP SOW draft is complete, the IT Portfolio Manager will send the draft to SOV IT Contracting and Procurement with a copy of the approved IT ABC Form. The ADS CFO verifies that the sponsoring Agency or Department has authorized spend for an Independent Review. Upon verification from ADS CFO, the SOV IT Contracting and Procurement team will add the review of the RFP SOW to the next PAT agenda.

- **Who**: IT Portfolio Manager and SOV IT Contracting and Procurement
- **How**: IT Portfolio Manager sends draft RFP SOW with IT ABC Form via e-mail to SOV IT Contracting and Procurement and requests approval by CFO and to be placed on PAT agenda
- **When**: Upon completion of the IR RFP SOW Draft

3.21.3 SOV IT Contracting and Procurement Reviews RFP SOW, submits to PAT

Dependency: Decision point 3.21 is YES

The SOV IT Contracting and Procurement team, including the ADS CFO, will review the request to post an IR RFP SOW, while also validating the costs for the IR are on the approved IT ABC Form that is included in the submission. After they've reviewed and validated approval from the sponsoring Agency or Department via the IT ABC Form, they will put the RFP SOW on the upcoming PAT agenda for review by PAT.

- **Who**: SOV IT Contracting and Procurement and ADS CFO
- **How**: Reviews the approved IT ABC Form and the drafted RFP SOW, after it has all been reviewed and approved, the RFP SOW is added to the upcoming PAT agenda
- **When**: Upon receiving the request from the IT Portfolio Manager

3.21.4 Approve IR RFP SOW <decision point>

Dependency: Decision point 3.21 is YES

As part of the procurement approval process, PAT must review and provide a recommendation for approval to the CIO on all IT Procurement Documents. PAT will review and recommend approval for the IR RFP SOW posting. Submissions to PAT must be received by 12:00PM on Tuesday to be put on the Agenda for that Thursday's meeting.

- **Who**: Procurement Advisory Team (PAT)
- **How**: Review the IR RFP SOW
- **When**: After it's been submitted to PAT

3.21.5 Review & Update SOW RFP

Dependency: Decision point 3.21 is YES
Dependency: Decision point 3.21.4 is NO

If the RFP SOW needs updates and is not approved by PAT, the IT Portfolio Manager will make changes as applicable and resubmit to SOV IT Contracting and Procurement.

- **Who**: IT Portfolio Manager
- **How**: Reviews documentation and makes edits as necessary, advise by PAT
- **When**: after (if) PAT does not approve the RFP SOW

3.21.6 Post SOW RFP

Dependency: Decision point 3.21 is YES

Upon the appropriate reviews and approval of the IR RFP SOW, SOV IT Contracting and Procurement will post the RFP against the IT Retainer list for solicitations.

- **Who**: SOV IT Contracting and Procurement
- **How**: Following ADS posting process
- **When**: After PAT approves IR RFP SOW

3.21.7 Receive & Respond to SOW RFP questions

Dependency: Decision point 3.21 is YES

Bidder questions will be sent to the contacts listed in the IR RFP SOW, which is typically the SOV IT Contracting and Procurement team and the IT Portfolio Manager listed in the RFP SOW. Depending on the content of the question, the IT Portfolio Manager and SOV IT Contracting and Procurement Representative will coordinate to provide responses.

- **Who**: IT Portfolio Manager and/or SOV IT Contracting and Procurement
- **How**: Typically questions are sent in and responded to via e-mail
- **When**: During the Q&A period identified on the IR RFP SOW

3.21.8 Receive Proposals

Dependency: Decision point 3.21 is YES

Bidders will provide their proposals to the contacts listed in the IR RFP SOW, which is typically the SOV IT Contracting and Procurement team and the IT Portfolio Manager.

- **Who**: Bidders send to SOV IT Contracting and Procurement & IT Portfolio Manager
- **How**: via submission instructions in the RFP SOW, typically via e-mail
- **When**: By the due date for proposals identified in the RFP SOW

3.21.9 Review & Score Proposals, Select Vendor

Dependency: Decision point 3.21 is YES

The IT Portfolio Manager and a representative from SOV IT Contracting and Procurement team will review and score the proposals based on predefined scoring criteria that was identified in the RFP SOW.

- **Who**: IT Portfolio Manager & SOV IT Contracting and Procurement
- **How:** Using a scoring sheet template and predefined scoring criteria as listed in the RFP SOW
- **When**: Upon receipt of the proposals.

3.21.10 Get Signatures for SOW from IR Vendor & ADS CIO

Dependency: Decision point 3.21 is YES

Once a vendor has been selected, ADS Purchasing and Contracting would notify the vendor of award and put the document through eSign to obtain signatures from the IR vendor and the State CIO.

- **Who**: ADS Purchasing & Contracting
- **How**: obtain signatures using eSign
- **When**: after the vendor has been notified of award

3.21.11 Facilitate IR Kickoff meeting

Dependency: Decision point 3.21 is YES

The IT Portfolio Manager will coordinate a meeting with the appropriate State Resources and the IR Vendor to have an IR Kickoff meeting. During this meeting, the IR Vendor introduces themselves and will detail the process they will go through to complete the Independent Review.

- **Who**: IT Portfolio Manager/IR Vendor
- **How**: IT Portfolio Manager coordinates a meeting and introduces IR Vendor to the team

- **When**: Shortly after the IR RFP SOW has been executed

3.21.12 Gather Information for IR

Dependency: Decision point 3.21 is YES

The IR Vendor will ask for project documentation completed to date. This typically consist of the IT ABC Form that was approved for the project, project charter, the RFP and any addendums, and the proposal of the vendor/solution that has been selected. Other applicable documentation such as an architecture assessment and documented business requirements should be provided to the IR Vendor to review. The IR vendor will also hold individual and group interviews with project team members to gain a better understanding of the project and it's goals it is set out to achieve. The IR vendor is also required to do alternatives analysis and investigate and report on what other State's are doing to meet the business need.

- **Who**: IR Vendor, supported by the IT Portfolio Manager to schedule meetings and help ensure the IR vendor has all of the documentation needed to complete the review
- **How**: review of documentation and interviewed with project team members
- **When**: after the IR kick off meeting

3.21.13 Participate in Independent Review Interviews with IR Vendor

Dependency: Decision point 3.21 is YES

The Project team is expected to participate in the Independent Review process. The IR vendor will conduct interviews with project team and applicable State resources to learn about the project. This will also include a risk review and mitigation response to the risk that the IR vendor has identified throughout the process.

- **Who**: Project Team Members (this is likely to include, but not limited to: IR Project Manager, IT Business Analyst, Security Analyst, Data Analyst, Enterprise Architect, IT Director/Manager, ADS Technical resources that support current business process (if applicable), Project Sponsor(s), Business Lead, and any Business SMEs that have awareness of the project to date.
- **How**: In person/phone interviews with the IR vendor
- **When**: After the IR kickoff meeting

3.21.14 Complete and send draft IR to IT Portfolio Manager

Dependency: Decision point 3.21 is YES

The IR Vendor will prepare a draft IR Report that will be sent to the IT Portfolio Manager for review.

- **Who**: IR Vendor and IT Portfolio Manager
- **How**: IR Vendor will e-mail a draft of the IR Report
- **When**: after all information has been gathered and the draft report is complete

3.21.15 Review IR Draft & send feedback

Dependency: Decision point 3.21 is YES

While the IT Portfolio Manager is reviewing the report to ensure it satisfies the SOW that was outlined in the executed RFP SOW, they will also send the draft report to the team that participated in the IR and ask them to check the report for factual accuracy. The team is able to provide inputs on facts but cannot dispute the opinion of the IR Vendor.

- **Who**: IT Portfolio Manager and other State resources that participated in the IR will need to review the IR report
- **How**: Review the draft report
- **When**: this will be sent to the team as soon as the IT Portfolio Manager receives a draft from the IR vendor, concurrently with the IT Portfolio Manager's review

3.21.16 Receive feedback & complete IR

Dependency: Decision point 3.21 is YES

The IT Portfolio Manager will gather and compile feedback from the team that reviewed the IR Draft report, typically in the form of comments on the word doc. This feedback is sent back to the IR Vendor, they will then review the comments and incorporate any applicable feedback into a final draft report.

- **Who**: IT Portfolio Manager & IR Vendor
- **How**: IT Portfolio Manager collects feedback/comments and sends to the IR Vendor who will incorporate feedback as appropriate into the final draft of the report
- **When**: After the team has reviewed and provided comments and the IT Portfolio Manager sends to IR Vendor

3.21.17 Submit final IR draft to Portfolio Mgr.

Dependency: Decision point 3.21 is YES

After all the applicable comments have been incorporated by the IR Vendor, the IR Vendor will send a final draft of the report to the IT Portfolio Manager.

- **Who**: IR Vendor
- **How**: submits final draft of report to IT Portfolio Manager via e-mail
- **When**: after all the applicable comments have been incorporated and the draft is ready to be sent to CIO.

3.21.18 Send Final IR Draft to CIO, CSIO and CTO & schedule review meeting

Dependency: Decision point 3.21 is YES

Upon receiving the final draft of the IR Report from the IR vendor, the IT Portfolio Manager will send a copy to the CIO Office (CIO Admin Assistant) and request a meeting with the CIO to review the report. The report must concurrently be sent to the CISO and CTO. The IT Portfolio Manager should include attendees for the IR meeting in the e-mail which should include the Project Sponsor, the IT Lead assigned to that Agency/Department, the IT Portfolio Manager, and the IR Vendor. In some cases, the attendees may vary on a case by case basis. The CIO's Admin Assistant will schedule the meeting on behalf of the CIO. It usually takes at least a week to get a meeting scheduled.

- **Who**: IT Portfolio Manager
- **How**: Sends the final draft of the report and a list of the attendees that need to participate in the IR Review meeting to the CIO's Administrative Assistant. The CIO Admin Assistant will schedule the meeting. Copy CTO and CISO on the submission of report to the CIO's office.
- **When**: Upon receiving the final draft of the IR report

3.21.19 Present IR to CIO

Dependency: Decision point 3.21 is YES

At the meeting, the IR Vendor will present the findings of the IR to the CIO and provide a recommendation on how the State should proceed with the requested project. During this presentation, if the IR is recommending proceed with the IT Project, the CIO will either give verbal consent for the project to move forward or sometimes asks for additional information to be added to the report so that there is more evidence to support the recommendation to move forward. If the recommendation of the IR is to not proceed with the project, additional conversation will need to be had to determine how the State will proceed.

- **Who**: IR Vendor presents to CIO
- **How**: Typically done by creating a presentation and overview of the IR Report
- **When**: at scheduled meeting with CIO

3.21.20 CIO Approve Report <decision point>

Dependency: Decision point 3.21 is YES

If the IR vendor is recommending to procced and the CIO is happy with the information provided in the report, approval is usually granted within in the IR meeting to proceed with project work.

- **Who**: CIO approves project based on IR recommendation to continue
- **How**: verbal approval in the IR Meeting
- **When**: During the IR meeting

NOTE: if the CIO does not approve report, they are usually looking for more information which circles back to step 3.23.16.

3.21.21 Send to IR Vendor & CIO for Signature

Dependency: Decision point 3.21 is YES
Dependency: Decision point 3.21.20 is YES

Upon completion and acceptance of the IR report and the associated recommendation, the IT Portfolio Manager will send the IR Report to the IR Vendor and the CIO for formal signatures.

- **Who**: IT Portfolio Manager
- **How**: Sends report to the IR Vendor and the CIO for formal signature on the report via eSign
- **When**: After the IR review meeting and the CIO has verbally accepted the report

3.21.22 Add IR Risk to Project Risk Log for tracking

Dependency: Decision point 3.21 is YES

The IT Portfolio Manager will add, or delegate to the IT Project Manager, to add the risks that were identified during the IR to the project risk log for tracking throughout the life of the project. The team will be aware of most of the risks identified by the IR throughout the process, in some cases those risks may be appropriate to log immediately and start working on mitigation plans right away. This could happen earlier in the process.

- **Who**: IT Portfolio Manager (or IT PM if delegated to)
- **How**: Enter the risks that were identified during the IR to the project risk log
- **When**: After the IR draft report is complete and accepted

3.21.23 Retain Signed IR in SharePoint & EPMO Website

Dependency: Decision point 3.21 is YES

Once the draft is complete and signed, the IT Portfolio Manager needs to ensure that the signed IR Report is stored in the appropriate places. This IR report needs to be posted to the Project SharePoint site for the project team, the EPMO Leadership Site where all completed IRs are to be stored, and on the EPMO Website. Please keep in mind that if a contract has not yet been executed and the procurement is still active, the IR report should not be posted publicly until the contract with the solution/implementation vendor has been executed.

- **Who**: IT Portfolio Manager
- **How**: Loads to the Project SharePoint site, EPMO Leadership site, and sends to the web content manager for the EPMO Website to load there
- **When**: After signatures have been obtained on the IR Report

3.21.24 Update IT Procurement Log

Dependency: Decision point 3.21 is YES

SOV IT Contracting and Procurement needs to update the procurement log once the contract with the IR vendor has been completed.

- **Who:** ADS Purchasing & Contracting
- **How**: Updates the procurement log
- **When**: After the IR RFP SOW has been satisfied.

3.22 Draft Contract

Following the Bulletin 3.5 requirements to contract drafting, the Business Lead is responsible for drafting the contract.

- **Who**: Business Lead & IT Project Manager
- **How**: The IT Project Manager facilitates meetings to support the Business Lead in drafting the contract with the desired vendor. Using the BGS template for technology contracting the Business Lead drafts the contract, in collaboration with the Procurement Team, Business Analyst, Agency IT Lead, Enterprise Architect, and Security Analyst, as well as with input from the Agency/Department Business Office.
- **When**: After the vendor has been notified the intent to contract

3.23 Review /Approve Contract

A contract commits the State and Vendor to an agreed upon scope of work and obligates the State to payment terms therein. There are several reviews required before the contract can be submitted for final CIO approval.

- **Who**: Business Lead & IT Project Manager
- **How**: The IT Project Manager facilitates the meeting for the final review and approval of the contract draft within the business. The meeting will review the contract with the Project Sponsor, Agency Chief Financial Officer, Agency IT Lead, and any other desired business representative. *NOTE: If the activity requires an independent review (if project lifecycle costs exceed $1M), the contract cannot be executed until the independent review is approved by the CIO and may need to be updated prior it being able to go through this final step.*
- **When:** After draft is complete and necessary parties have provided input

3.24 Complete AA-14

The AA-14 is a form that needs to be completed and routed with the contract package that will collect prior approval signatures on the package before it can be executed.

- **Who**: Business Lead
- **How**: Completes the Form AA-14 obtained from the BGS OPC website
- **When**: After the contract has been drafted, reviewed, and ready for final approval (AA-14 must be submitted with the contract package when it goes PAT for review)

3.25 Update IT ABC

The IT ABC Form is a required artifact for projects with implementation and operation costs greater than $500k. It serves as a record of the business case for the project, its estimated implementation cost and ongoing operations costs. The IT ABC Form also provides an updated estimate for legislative reporting. The IT ABC Form should be updated regularly throughout the project when changes to scope, schedule, and/or budget occur. At the time of contract execution, the project costs become more defined and the IT ABC Form needs to be updated and signed at this point.

- **Who**: IT Project Manager
- **How**: Using the previously approved IT ABC Form, the IT Project Manager takes the lead in updating the document with support from the Business Lead and Project Team. This update is expected, at a minimum to update the cost section, however applies to all sections of the document.
- **When**: Once contract costs are known and final

3.26 PAT Review/Approve Contract

The Contract must be approved by the State CIO (ADS Secretary) before it can be executed. The Procurement Advisory Team (PAT) reviews the contract on behalf of the CIO and provides their recommendation before his review.

- **Who**: IT Project Manager
- **How**: The IT Project Manager submits the contract to PAT, with the IT Portfolio Manager on copy of the e-mail. The IT Project Manager will then need to coordinate business and IT Lead resources to attend PAT at the scheduled time/date. During the PAT meeting all representatives will provide feedback for changes or their approval as written, including CIO. If the contract is verbally approved by all, a memo will be drafted by the PAT Facilitator to the CIO.
- **When**: After the contract has been drafted, reviewed, and approved to go through the routing process by all parties.

NOTE: PAT is held every week on Thursday. A procurement document must be submitted by Noon on the Tuesday prior to the meeting to make it on the agenda for that week. Documents submitted after noon on Tuesday will be put on the agenda for the following week. PAT will make exceptions in emergency situations.

3.27 PAT recommends approval for contract? <decision point>

PAT must approve the contract to move forward in the process. If PAT does not approve, go back to 'draft contract' to make the necessary changes requested by PAT to the document. If the PAT approves, procced to the next step, PAT to prepare PAT Memo.

- **Who**: Procurement Advisory Team (PAT)
- **How**: Reviews contract package that is submitted, asks questions and determines whether the contract package can move through the approval process.
- **When**: After the contract package has been prepared and submitted to PAT

3.28 Prepare PAT Memo

The Contract must be approved by the State CIO (ADS Secretary) before it can be executed. The Procurement Advisory Team (PAT) reviews the contract on behalf of the CIO and provides their recommendation via a memo.

- **Who**: Procurement Advisory Team (PAT)
- **How**: After the PAT meeting to discuss the contract, based on consensus, the PAT facilitator prepares an approval memo to be submitted to the CIO recommending they approve the contract as written.
- **When**: After PAT has reviewed and approved the procurement package

3.29 Route Contract for Signature

Once PAT approval has been obtained, the contract must be routed for formal signature from all necessary parties via electronic signature. All approvals required must be obtained sequentially, in the order shown on Form AA-14.

- **Who**: Business Lead
- **How**: using the State's electronic signature software
- **When**: Upon PAT approval

3.30 CIO Approve Contract

The CIO receives the contract package that includes the PAT memo recommending approval.

- **Who**: Contract package is routed by the Business Lead
- **How**: CIO will receive the package for electronic signature in the signing order defined by the AA-14
- **When**: After PAT approval and Business Lead initiate the electronic signature process

3.31 Contract Executed

After all prior approvals are obtained on the AA-14, the contract is sent to the vendor for signature and then the signing authority for the Agency/Department (typically an Agency Secretary or Department Commissioner) will sign the contract. At signing the contract is officially executed)

- **Who**: Business Lead
- **How**: Route contract (using electronic signature process) to vendor for signature and then to the signing authority for the State (typically an Agency Secretary or Department Commissioner)
- **When**: After all prior approvals have been obtained on the AA-14

4 Execution

4.1 Conduct Implementation Team Kick-Off Meeting

The implementation team are the resources that will be working on the design, development and implementation of the product. The implementation team may consist of state project team resources and vendor resources if the State is contracting for the work or it may be all State resources if the development team assigned are ADS resources.

- **Who**: Business resources, ADS resources and vendor resources (if applicable)

- **How**: IT Project Manager (scrum master) schedules and facilitates kick-off meeting, in conjunction with vendor PM if working with a vendor
- **When**: After the contract has been executed or internal development resources have been assigned

NOTE: Agency and Departments most likely to utilize internal ADS development resources for project work are, but are not limited to, the Agency of Natural Resources, Department for Children and Families, and the Vermont Department of Health as they all have established development resources that support current systems.

4.2 Confirm Project Roadmap

Earlier in the process, an initial roadmap was developed with the knowledge at that time. Additional discovery is likely to have taken place and now more resources (either vendor or internal development staff) are assigned, so the roadmap needs to be revisited and adjustments made as necessary.

- **Who**: IT Project Manager (scrum master), Product Owner/Business Lead, Business Analyst, Project Team (scrum team)
- **How**: IT Project Manager (scrum master) schedules and facilitate sessions necessary to review and update the roadmap
- **When**: After the complete project team has been assigned and assembled

4.3 Identify anticipated releases for product

Once the roadmap is established, the team will identify potential releases based on chunks of functionality. Functionality that will deliver the most business value should be prioritized first. The release plan may include releases for the entire product, some of which may be out of scope for the current project.

- **Who**: IT Project Manager (scrum master), Product Owner/Business Lead, Business Analyst, Project Team (scrum team)
- **How**: IT Project Manager (scrum master) schedules and facilitates sessions to do release planning with the team
- **When**: After the roadmap is complete

NOTE: There is likely the need for foundational work (technical components) that need to be completed first that aren't necessarily a business priority that will help drive the release schedule.

4.4 Groom upcoming release backlog

When grooming the release backlog, the team will focus on the upcoming release. When grooming the release backlog, the team will focus on priority, relative estimation of effort, and breaking larger items into independent, sprint sized stories. *This step, and following steps, will be repeated for every release that is identified as 'in scope' for the project.*

- **Who**: Product Owner with input from the project team (scrum team)
- **How**: IT Project Manager (scrum master) schedules and facilitates working sessions to prioritize functionality based on business need and break the larger items into smaller, consumable, sprint sized stories
- **When**: After the release plan in complete

4.5 Plan upcoming release

When planning the upcoming release, the team is estimating a time block and focusing on initial sprints needed to complete the functionality in the specific release.

- **Who**: Product Owner with input from the project team (scrum team)
- **How**: IT Project Manager (scrum master) schedules and facilitates working sessions
- **When**: After the upcoming release backlog has been groomed

NOTES: It's important to think about what constraints the team is working within when planning.

- *If the team is working with a 'function driven' release, the time block will be derived from estimation of effort for required stories.*
- *If the team is working with a 'date drive' release, the scope will need to be trimmed to fit based on estimation of effort and priority of stories.*

4.6 Groom release backlog for sprint planning

Grooming the release backlog for sprint planning is the activity of focusing on the priority of items anticipated for the upcoming sprint. This activity will include adding and/or removing items based on things learned and completed in previous sprints. *This step, and following steps, will be repeated for each sprint within the release that is being executed*.

- **Who**: Product Owner with input from the project team (scrum team)
- **How**: IT Project Manager (scrum master) schedules and facilitates working sessions to
- **When**: After you've planned the upcoming sprint.

4.7 Plan Sprint

Sprint planning consist of the team identifying which user stories will be completed in the spring. User stories must be verified (meaning they are complete and accurate). All the tasks to implement the user stories must be identified, estimated, and committed to within the sprint. The team will also determine the duration of sprints. Sprints are typically between 2 and 4 weeks, but should never be longer than 4 weeks.

- **Who**: Project Team (scrum team)
- **How**: IT Project Manager (scrum master), schedules and facilitates the sprint planning meeting
- **When**: After the backlog has been groomed for the upcoming sprint and all user stories have been verified and are broken down to a consumable and able to be estimated

4.8 Daily Scrum

The Daily Scrum is held daily, as it suggest, with the entire scrum team. It is typically held at the same time each day and should be timeboxed to 15 minutes (can be longer if the team is larger, best practice is 15 minutes). In the daily scrum, each team member will answer the following three items:

1. What did you do yesterday
2. What will you do today
3. Are there any impediments in your way

It is the IT Project Manager's (scrum master) responsibility to document the impediments that were identified in the daily scrum and work to remove those for the team members.

- **Who**: Project Team (scrum team)
- **How**: The IT Project Manager (scrum master) will schedule the daily scrum for a repeatable meeting for the entire length of the sprint and will facilitate the daily scrum. It is imperative that each team member focus on the 3 questions and any side bar conversation happen outside of the daily scrum so the team remain focused on the work.
- **When**: Daily, for each sprint

4.9 Sprint review/demo of completed features

The sprint review is held at the end of each sprint, where the team demo's completed features that were accomplished in the sprint to the Product Owner (potentially other business users may be present for the demo).

- **Who**: Product Owner & Project Team
- **How**: The team will demo the features that were completed during the sprint
- **When**: At the end of each sprint

4.10 Sprint retrospective

The sprint retrospective is a session that is held at the end of each sprint where the team discusses what went well in the last sprint and what could the team improve on in the next sprint and discusses how those improvements will be implemented going forward.

- **Who**: IT Project Manager (scrum master) & Project Team (scrum team)
- **How**: IT Project Manager (scrum master) schedules and facilitates a session with the team to review what went well for the team and what they can do to improve in the upcoming sprint(s)

- **When**: At the end of each sprint, prior to starting the next sprint

4.11 Final sprint in release? <decision point>

If yes, the team will move onto the next step which is releasing to production. If no, the team will go back to step 4.6 and groom release backlog for sprint planning.

- **Who**: IT Project Manager (scrum master)
- **How**: Reviews the release plan, determines if additional sprints are needed for the release
- **When**: At the end of each sprint

4.12 Release to production

The team will prep and release the functionality to the production environment.

- **Who**: Project Team (scrum team)
- **How**: Follow processes to stage and release functionality to the production environment
- **When**: Once a release is determined to be complete and no additional sprints are needed

4.13 Additional releases in project? <decision point>

If yes, the team will go back to step 4.4, and groom the upcoming release backlog and repeat the following steps. If no, the project execution phase is now complete and will move into closing activities.

- **Who**: IT Project Manager (scrum master)
- **How**: The IT Project Manager (scrum master) will review the release backlog to determine if there are additional releases that are in scope for the current project.
- **When**: After a release to production has taken place

5 Closing

5.1 Conduct Lessons Learned

A Project Lessons Learned documents areas of success and improvement opportunities that should be carried forward to future projects. When using the scrum methodology, a form of 'lessons learned' is completed at the end of each sprint in the retrospective meeting, however that is focused specifically on the sprints. Conducting lessons learned at the end of the project is a wholistic view of the entire project.

- **Who**: IT Project Manager (scrum master)

- **How**: The IT Project Manager (scrum master) schedules and/or facilitates the event. The entire Project Team (scrum team) is expected to participate. The IT Project Manager (scrum master) documents the lessons learned and delivers them to the Project Sponsor and Stakeholders.

- **When**: At the end of the project, prior to completing a close out report

NOTE: This should build on the lessons learned that are conducted in each sprint retrospective. It may benefit the project to conduct lessons learned at the close of every project phase.

5.2 Closeout Report

The Project Closeout Report contains the vision statement, project objectives and the financial data from the IT ABC Form. It also includes how the project met the objectives, the final project budget, and identification of variances in scope, schedule or budget, and lessons learned summary.

- **Who**: IT Project Manager

- **How**: Using the EPMO template. The contracted deliverables need validation of delivery including;

    - Deliverable Acceptance Form's: The IT Project Manager coordinates reviews and provides deliverable acceptance documents to the Agency Procurement Lead

    - Final Budget Log: The Project Manager coordinates reviews and provides deliverable acceptance documents to the Agency Procurement Lead.

    - Change Requests: The Project Manager coordinates reviews and provides deliverable acceptance documents to the Agency Procurement Lead.

    - Any outstanding deliverables that will be completed during M&O

- **When**: Can be worked on concurrently with the lessons learned, but cannot be completed until lessons learned is done as there is a lessons learned component in the close out report.

5.3 Approve/Signoff Project Closeout Report

The Closeout Report must be signed off to formalize the completion of the solution implementation.

- **Who**: IT Project Manager

- **How**: The IT Project Manager routes to the Closeout Report to the Project Sponsor, IT Portfolio Manager, and Agency IT Lead. Once signed the final copy is stored with the other project artifacts as agreed upon.

- **When**: After the close out report is complete

5.4 Hand off to Business

As the Product was released into production throughout the Execution phase, adoption of organizational responsibilities occurred in parallel as part of the project tasks. Hand off to M&O represents a formal transition from project state to ongoing operations.

- **Who**: IT Project Manager, Business Lead and/or Project Sponsor
- **How**: Formal agreement on transition from project to operations
- **When**: Upon formal signoff on project completion via the closeout report

5.5 Release Project Team

Following acceptance of all project deliverables and a lessons learned activity, the Project Team is released and is no longer committed to work attached to this project.

- **Who**: IT Project Manager
- **How**: Thanks the Project Team and confirms to their Resource Managers that all work is complete and no more work will be requested of the team members. The Project Manager may or may not coordinate a celebration as part of the team closeout.
- **When**: Upon approval of the closeout repot

5.6 Close Contract

Once all contract deliverables have been accepted and the Vendor has participated (if requested) in a lessons learned activity, the contract may be closed out if there is a separate M&O contract. If the Implementation and M&O Services are provided in the same contract, the contract management responsibility should be included in the contract.

- **Who**: IT Project Manager
- **How**: The IT Project Manager confirms the work product and payments associated with the Execution Phase and transitions the contract management to the Business Operations / IT Manager.
- **When**: Upon official closeout of project and transition to operations

5.7 Close Project Codes

Billing codes are required regardless of project implementation cost. Without billing codes, the project can't accurately capture spend and can't manage cost allocation opportunities or requirements. This applies to both staff time keeping codes (VTHR) and contract invoice payments. Once the Project is no longer active, these codes must be closed to prevent further charges against them.

- **Who**: IT Portfolio Manager

- **How**: The IT Portfolio Manager conveys closure of the project to Agency/Dept and ADS Finance via a ticket with the signed Closeout Report attached. Agency/Dept Finance closes codes for Agency/Dept and communicates as such to ADS Finance and the IT Portfolio Manager. The Portfolio Manager communicates to ADS personnel working on the project.
- **When**: After the closeout report is complete and not further work is being done on the project

6 Glossary of Roles

Resource	Definition
SOV IT Contracting and Procurement	SOV IT Contracting and Procurement is a unit within the ADS Business Office and reports into the ADS CFO. They support and lead IT Contracting and Procurement processes for ADS.
ADS Secretary	The Agency of Digital Services appointed authority to oversee all ADS operations. Also the State CIO.
BGS Office of Purchasing & Contracting (OPC)	The office which oversees purchasing and contracting for the State of Vermont via the management of policies and compliance requirements of status and applicable administrative bulletins.
Business Lead	The Agency, Department, or Office person who has the most vested interest in the product or service being sought after. This role will fulfill the Product Owner role through an agile implementation and will lean on the IT Business Analyst for assistance.
Chief Data Officer (CDO)	
Chief Financial Officer (CFO)	The person with the primary responsibility and authority for managing the organization budget.
Chief Information Officer (CIO)	The appointed authority responsible for overseeing all technology activities for the enterprise/State of Vermont. Also the ADS Secretary.
Chief Information Security Officer (CISO)	The appointed authority responsible for establishing and maintaining the operational security of the State of Vermont's data and systems.
Chief Technology Officer (CTO)	The appointed authority responsible to review and approve technologies being used in the State.
Development Team	The team of individuals working together on technology projects requiring in-house development who will deliver the functionality outlined within the requirements.
Independent Review Vendor	The vendor chosen to conduct a review of any technology project with a total cost of $1m or greater. The review will include acquisition costs assessment, technology architecture and standards review, implementation plan assessment, cost analysis & model for benefit analysis, alternatives analysis, impact analysis, and security assessment.
IT Business Analyst	The assigned resource to analyze an organizations operation to identify areas of improvement and/or develop material to be used for the identification of improving process, services and/or technology services used to customers.
IT Director/Manager – Agency IT Lead	The agency's representative who reports to the CIO regarding any technology activities underway or desired for the assigned agency.
IT Portfolio Manager	The EPMO representative assigned to the Agency/Department with a technology project whose responsibility is to oversee planned initiatives, active projects and ongoing maintenance activities.
IT Project Manager	The EPMO representative assigned by the IT Portfolio Manager to ensure the technology project is successfully managed throughout its lifecycle. During the execution phase the IT Project Manager will fulfill the role of 'scrum master'.

Procurement Advisory Team (PAT) Facilitator	The individual coordinating the PAT meetings and documenting the CIO required needs. (PAT Memo, etc.)
Procurement Advisory Team (PAT)	A group of appointed authorities representing the State of VT by the approval and denial of requested projects and activities.
Project Sponsor	An Agency/Department representative with authority to approve/deny scope, schedule, and budget, as well as has the responsibility of owing the outcome of the project.
Project Team	The identified members of the organization, and required State of VT representatives, which will participate in the activities required to ensure the projects successful completion.
Procurement Team	The identified members of the organization, and required State of VT representatives, which will participate in the review and choosing of a vendor to implement the desire solution.
Scrum Team	The team of individuals working together to deliver incremental functionality based on the project's prioritized product back-log.
Chief Data Officer (CDO)	The appointed authority responsible for the State of Vermont's governance and use of information as assets.