



# Performance Budgeting

## Scope and Change Management Plan

**Version 1.0**  
**October 9, 2009**

Prepared for:  
Commonwealth of Virginia  
VA-090724-PPC

Prepared by:



## Record of Changes/Version History

Change/Version Number	Date of Change	Impacted Section/Description of Change	Person Entering Change
0.3 – Draft	09/28/2009	Draft Submission	Faye Anson
0.11 - Final	10/06/2009	Final Submission	Faye Anson
1.0 – Final	10/09/2009	Approved Final	Lee Hodges

### Scope and Change Management Plan

The Performance Budgeting (PB) Scope and Change Management Plan documents the processes necessary to manage the project scope, control changes to project scope, control changes to the project Work Breakdown Structure (WBS), and formally accept project deliverables.

#### A. General Information

<i>Project Title:</i> <u>Performance Budgeting</u>	<i>Project Working Title:</i> <u>Performance Budgeting</u>
<i>Proponent Secretary:</i> <u>Ric Brown, Secretary of Finance</u>	<i>Proponent Agency:</i> <u>Department of Planning &amp; Budget</u>
<i>Prepared by:</i> <u>Faye Anson</u>	<i>Date:</i> <u>10/06/2009</u>

#### B. Scope Description

The initial scope of work for the Performance Budgeting Project is defined by COVA’s technical and contractual requirements as defined in the Request for Proposal (RFP). The initial high-level Work Breakdown Structure (WBS) that Project Performance Corporation (PPC) submitted with its proposal was developed to address the scope as defined in the RFP. During the Initiation phase of the Project, PPC will decompose the WBS down to the work package level and work collaboratively with COVA to finalize and baseline the scope and the various planning documents that comprise the Project Management Plan for the Project. These documents, along with other foundation documents, including the Project Charter, requirements-related documentation (discussed below), contract terms and conditions, and assumptions will form the scope baseline against which all future changes affecting the scope of work are made.

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The scope/capability statements identified in the PB RFP and Proposal Appendices A and B are the basis for creating the detailed Requirements. The process in which capability statements are transformed into requirements is outlined below.

1. The capability statements are extracted from Appendices A and B. The capability statements that are marked “Y” are then evaluated to make detailed requirements.
2. The capability statements are loaded in PB Project Repository for tracking and reporting.
3. Fit/Gap Analysis is conducted that identifies each of the capability statements that are identified as “Y” and whether the core system capabilities are a “Fit” or a “Gap”.
4. The capability statements are then created as detailed requirements that are single verifiable statement that can be used for acceptance of the system.
5. These requirements are documented in a Requirements Traceability Matrix (RTM). The RTM should contain a requirement number, description, category, approval date, reference (for example the Capability Statement # of Appendix A), design element, and test case name.

After the RTM is created, that is the basis of the scope for the project. Therefore, after the RTM is created and baselined, any changes to the requirements in the RTM are scope changes. The PB Project is governed by a fixed price contract and as such, scope must be strictly monitored and controlled for the benefit of both PPC and COVA.

The actual processes for baselining the Project scope are addressed in the Performance Budgeting Configuration Management Plan.

The list below summarizes the general scope of the PB project as defined in the Statement of Work (including Appendix A and Appendix B).

- Develop the full complement of plans necessary to successfully manage and control the Performance Budgeting Project
- Maintain a Requirements Traceability Matrix to trace requirements to the work products (e.g., code component or test case) that satisfy them.
- Design, develop and implement an application with Web Interface, using the BIDS software package, for the following functional areas:
  - Operating Budget Development
  - Six Year Financial Plan
  - Capital Budget Development
  - Budget Execution
  - Agency Spend Plan
  - Strategic Planning
- Provide Data Interfaces to existing COVA systems
- Provide Data Conversion for legacy systems that will no longer be used
- Develop 35 Reports using Logi Info and Logi Ad hoc
- Maintain a PB Project repository

- Prepare System Support Documentation
- Host a development Sandbox environment
- Provide Business Process Reengineering Plans and Support
- Provide Organizational Change Management Planning and Support
- Conduct testing of the System, including Performance and User Acceptance Testing
- Train users on the new PB system prior to deployment
- Provide system stabilization and operational support during the contract period.

### **C. WBS Control Process**

The Project WBS is one of the key Configuration Items of the Project and is subject to the maintenance controls defined in the Configuration Management Plan for the Project. The WBS would be baselined after the initial planning effort is completed and COVA accepts the resulting plans, and the Functional (requirements) Baseline is established.

After the WBS is baselined, subsequent changes to the WBS would occur either as a result of a formal Change Request that alters some aspect of the work to be done or as part of the normal dynamics of a system development effort.

- If a WBS change is the result of an approved Change Request, the PPC Project Manager will first confirm the required WBS changes with the PPC Project Team and then discuss the proposed WBS changes with the COVA Project Manager for their concurrence.
- A WBS change also may occur as part of the normal project dynamics. The PPC Project Management Team is continuously on the alert for things that might affect the PPC Team's ability to perform their tasks as planned. In addition, as part of the internal weekly status meetings the PPC Project Manager will review the WBS with the PPC Team. Normal changes that might arise from management oversight and/or project team review of the WBS would include the need to decompose/track lower-level activities, revise dependencies, or adjust activity dates. The PPC Project Manager would then present the proposed changes to the COVA Project Manager for concurrence.

In either case, PPC would change the PB Project WBS only after the PPC Project Manager discusses the changes with the COVA Project Manager and gets their approval. For audit trail purposes, PPC would summarize changes made to the WBS in the Comments field when checking the updated WBS back into the PB Project Repository.

### **D. Change Management Process**

The Change Management process for the PB Project is designed to manage both scope and technical changes. These changes include planned, ad hoc and emergency changes, as well changes to baselined operational assets, configuration items, processes, and documentation across the entire life cycle of the project. Changes also can relate to changes in the COVA architecture that affect some aspect of the PB System.

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The PB Project Change Management process will be based on the use of two proven concepts for controlling change: Change Request (CR) and Change Control Board (CCB). The sections below discuss these topics related to CRs and CCBs:

- CR Content
- PB Project CCB Structure
- CR Review Process
- CCB Charter Components.

### ***1. CR Content***

A CR can arise from a change in an organization's business needs, user request, an issue (including a Problem Report on the operational system), or risk. A Change Request would contain the information necessary to adequately review and approve a proposed change, including:

- Basic Information
  - Change Request ID
  - Name of Configuration Item (with Version # if appropriate)
  - Title of Change
  - Description of Change
  - Category (Major, Significant, Standard, Minor)
  - Priority (Low, Routine, Urgent, Emergency)
  - Name of Requestor
  - Requestor Telephone #
  - Requestor Email Address
  - Request Date
  - Functional Area Affected
  - Target Implementation Date
  - Reason for Change
  - Assumptions
- Impacts
  - Benefit to COVA
  - Impact Assessment (Cost, Schedule, Scope and Complexity factors)
  - Impact of Not Implementing Proposed Change
- Change Requirements (completed if the initial screening suggests the CR be formally reviewed by a CCB)
  - Requirements for System Enhancement (Functional Requirements and Acceptance Criteria)
  - Detailed Resource Requirements (for Planning, Design, Development, Test/QA, Documentation)
- Status and Decision
  - Status (Initial, Approved, Disapproved, Deferred)
  - Decision (Approved, Disapproved, Deferred)

- Decision By
- Decision Date
- Deferred Until Date
- Date Complete
- Additional Notes and Comments

To ensure traceability and visibility of changes, information on outstanding and closed CRs will be maintained in a CR Log. The following information will be displayed in the CR Log:

- Change Request ID
- Name of Configuration Item (include Version # if appropriate)
- Title of Change
- Priority (Low, Routine, Urgent, Emergency)
- Name of Requestor
- Request Date
- Decision (Approved, Disapproved, Deferred)
- Decision By
- Decision Date
- Target Implementation Date
- Date Complete
- Additional Notes and Comments.

The CR Log can be found at

<http://vitapb.cova.ppc.com:8080/logiinfo/rdPage.aspx?rdreport=TFSCChangeRequests>

## ***2. PB Project Change Control Board (CCB) Structure***

A CCB is responsible for approving, monitoring, and controlling changes to projects or applications, and expediting worthwhile changes while dismissing unnecessary or marginal changes.

It is also important to be clear on what is not within the scope of the CCB. For example, developing technical solutions is not within the scope of the CCB. Development of solutions is the responsibility of the technical team and is accomplished outside CCB meetings.

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The top three levels of the PB Project organization<sup>1</sup> will be involved in approving changes:

- **Level 1 – PB Project CCB**

The PB Project CCB is comprised of all members of the PB Project Management Team plus two additional agency representatives. The CCB will act in accordance with the PB Project Scope and Change Management Plan and the Commonwealth Project Management Standard.

- **Level 2 – PB Steering Committee Chairman**

The PB Project Steering Committee Chairman forms the second level of change review. Change requests reaching this level will be presented to the PB Steering Committee for review and recommendation to the PB Steering Committee Chairman who will make the final decision on the approval of the CR.

- **Level 3 – Secretariat Oversight Committee**

The Secretariat Oversight Committee forms the third level of change review.

### **3. CR Review Process**

Review of a CR may involve one or more of the following steps:

- **Initial Review**

When a CR is initially submitted for approval, the COVA Project Manager, COVA Functional Manager, and PPC Management Team will screen the CR to determine whether it is worthy of consideration.

- **Completion of Detail Impact Information**

If the initial screening of the CR determines the proposed change is potentially worthwhile, the CR will be sent back to the requestor to add the detailed Requirements information (e.g., Functional Requirements and Acceptance Criteria, and Detailed Resource Requirements (for Planning, Design, Development, Test/QA, and Documentation)).

- **Review for Completeness**

When the CR is returned with the detailed information, the COVA Project Manager reviews the CR to confirm that it contains all the information necessary for a CCB to properly analyze the potential impact the change would have to the Project. The CR is rejected if incomplete; otherwise it is formally submitted to the PB Project Management CCB for review and approval.

- **Review by PB Project CCB**

If this first level CCB reviews and approves the CR it would either be:

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<sup>1</sup> The Organization chart for the PB Project can be found in the PB Resource Management Plan.

- Escalated upward to the Steering Committee level if the proposed change has an estimated cost greater than \$50,000 or results in a schedule delay to a major milestone of more than two weeks.
- Considered approved and ready for implementation if the CR's impact was below the specified threshold.

A CCB can make one of three decisions about a CR: Approve, Disapprove, or Defer.

● **Review by Steering Committee Chairman**

After review, the PB Steering Committee makes a recommendation on the CR to the PB Steering Committee Chairman who will make the final approval decision. If the Steering Committee Chairman approves the CR it would either be:

- Escalated upward to VITA PMD if the proposed change would have a 10% or greater impact on the project budget or schedule.
- Considered approved and ready for implementation if the CR's impact was below the specified threshold.

● **Review by VITA PMD, Secretariat Oversight Committee, and Commonwealth CIO**

This is the third and final level of the CR review. The CR is submitted to VITA PMD who performs an initial review of the CR for completeness and coordinates a meeting of the Secretariat Oversight Committee. If approved by the Committee, the CR is forwarded with a recommendation to the Commonwealth Chief Information Officer (CIO) for final approval.

**4. PB Project CCB Roles and Responsibilities**

Role	Responsibilities
<b>CCB Chairperson</b>	<ul style="list-style-type: none"> <li>● Be objective.</li> <li>● Conduct/facilitate CCB meetings expeditiously.</li> <li>● Ensure the agenda is compiled and distributed in a timely fashion.</li> <li>● Provide the CCB with the information needed to make the right decisions proactively and in a timely fashion.</li> <li>● Call emergency meetings as necessary.</li> <li>● Manage the action item list.</li> <li>● Ensure the necessary signoff and closure of items.</li> </ul>
<b>CCB Coordinator</b>	<ul style="list-style-type: none"> <li>● Take and distribute the minutes of the CCB meeting.</li> <li>● Compile and distribute the agenda.</li> <li>● Be the point of contact for information on change requests, defect reports, etc.</li> <li>● Monitor and report progress on change requests, defect reports, etc.</li> </ul>

Role	Responsibilities
<b>CCB Members</b>	<ul style="list-style-type: none"> <li>● Review items on the agenda and conduct any necessary research prior to the CCB meeting.</li> <li>● Prepare for all regular CCB meetings.</li> <li>● Make decisions expeditiously.</li> <li>● Attend all regularly scheduled CCB meetings.</li> <li>● Complete any specifically assigned action items.</li> <li>● Follow the processes and procedures of the CCB.</li> <li>● Be proactive in alerting the CCB of any potential problem areas, bottlenecks, impacts to the schedule, etc.</li> </ul>

### 5. PB Project CCB Procedures

There are two types of CCB meetings: regular and emergency. Regular meetings are intended for a normal work effort, flow, and volume, and are scheduled accordingly. Emergency meetings are convened as necessary to deal with a specific emergency.

#### For Regular Meetings:

- **Schedule:** There should be a regularly scheduled date, time, and location for regular meetings. If no changes are pending for a scheduled meeting, that meeting can be canceled with the chairperson's approval.
- **Duration:** Set the duration of the meetings to cover the normal volume of items and adjourn early otherwise.
- **Alternates:** Address the issue of designated alternates, especially for the chairperson.
- **Frequency:** The frequency of meetings might vary during the span of development. The CCB may only meet monthly during the initial development then weekly during the later stages such as integration and test.
- **Logistics:** If some CCB members will attend via phone conference, the conference room will have to have a phone bridge or speakerphone.

#### For Emergency Meetings:

- Establish who is authorized to convene an emergency meeting.
- Establish a minimum subset of members who can authorize an emergency change request and define designated alternates for each member of the minimum subset to accommodate vacations, off-site training, etc.

Generally, the minimum subset of decisions makers is:

- CCB Chairperson
- Technical representative on the CCB
- Financial/Business representative on the CCB

- Cite the emergency meeting in the next regular CCB meeting and record it in the minutes.
- Establish and enforce the follow up responsibilities. Typically the regular processes, procedures, and paperwork are to be completed within two working days of the emergency request. This provision is to ensure that “emergencies” are not an escape hatch from proper planning and procedures.
- Track and report the frequency of emergency meetings called, by whom, and why.
- Set a threshold for when the frequency of emergency meetings becomes unreasonable or unproductive, and initiate corrective action.

The following are guidelines for conducting CCB meetings:

- Establish rules for conducting the meetings. This facilitates expediting the meetings, efficiently conducting business, and adjourning meetings on time.
- Determine how decisions are to be made and consensus is to be reached:
  - Determine what constitutes a quorum for conducting meetings and voting.
  - Determine what constitutes a majority vote, e.g., two-thirds of the members or three-fourths of the members.
- Adhere to the agenda. Establish an order in which items appear on the agenda and stick to it. Members will generally become familiar with the flow of the meetings and develop a businesslike and decisive response to the agenda items.
- Adhere to a policy of courtesy and cooperation.
- Determine how disagreements or deadlocks over issues will be resolved.

## **E. Deliverable Acceptance**

Acceptance Criteria for the PB system will be based on a User Acceptance Test (UAT) plan developed by COVA and will be based on the agreed upon requirements specified in Exhibit A within the PB RFP and Proposal Appendix A. All general, functional, and technical requirements in Exhibit A will be loaded into a requirements traceability matrix (RTM) for further refinement and elaboration throughout the PB project. The RTM will serve as the document of record for User Acceptance Testing. The Test Strategy developed as part of the detailed project planning will define the testing paths, gates, and acceptance tolerances for the PB System functionality and performance in accordance with the requirements defined in the RTM.

Each deliverable will be delivered to COVA Project Manager with a Deliverable Acceptance Receipt, which is shown below. This receipt will describe the deliverable and provide the COVA Project Manager with space to indicate if the deliverable is accepted, rejected, or conditionally accepted. Conditionally accepted deliverables will contain a list of deficiencies that need to be corrected in order for the deliverable to be accepted by the COVA Project Manager. The COVA Project Manager will have five (5) days from receipt of the deliverable to provide

PPC with the signed Acceptance Receipt unless an alternative schedule is mutually agreed to between the PPC Project Manager and the COVA Project Manager in advance. The signed Deliverable Acceptance Forms will be maintained in the PB Project Repository.

**F. Project Deliverable Acceptance Form**

Project Information			
<b>Project Name</b>	Performance Budgeting System	<b>Delivery Date</b>	
<b>PB Project Manager</b>	Jo Jo Martin	<b>PPC Project Manager</b>	Faye Anson
<b>Contract Number</b>	A-090724-PPC		

<b>Deliverable Name</b>	
<b>Deliverable Description</b>	
<b>Acceptance Criteria</b>	

This document certifies that the above Project Deliverables comply with the Project Requirements as identified in the Statement of Work.

Acceptance Information			
Acceptance		No Acceptance	
Acceptance Date			
<b>Comments</b>			