**PROJECT MANAGEMENT PROCESS**

1. **SCOPE**

This Process defines the Enterprise Project Management Office (EPMO) minimum requirements to effectively manage Information Technology (IT) projects. The guiding principles are found [in 0100-0100-005-QMS EPMO QUALITY MANUAL](https://it.nc.gov/document/epmo-quality-manual) and PMBOK - A GUIDE TO THE PROJECT MANAGEMENT BODY OF KNOWLEDGE - 5TH ED.

1. **OWNER**
   1. The Enterprise Project Management Office (EPMO) Director owns this procedure. No changes, additions or alterations may be made without the owner’s written approval.

1. **REFERENCE DOCUMENTS**

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| --- | --- |
| **DOCUMENT IDENTIFICATION** | **DOCUMENT TITLE** |
| 0100-0100-005-QMS | [EPMO QUALITY MANUAL](https://it.nc.gov/document/epmo-quality-manual) |
| PMBOK | A GUIDE TO THE PROJECT MANAGEMENT BODY OF KNOWLEDGE - 5TH ED |
| 0100-0800-010-B | **FORMS AND RECORDS CONTROL** |
| 0300-0310-005-C | [PROJECT INITIATION](https://it.nc.gov/document/project-initiation) |
| 0300-0310-010-C | [PROJECT CHARTER](https://it.nc.gov/document/project-charter) |
| 0300-0310-015-C | [PROJECT FINANCIAL ASSESSMENT](https://it.nc.gov/document/project-financial-assessment) |
| 0300-0310-020-C | [PROJECT ASSESSMENT TYPE](https://it.nc.gov/document/project-assessment-type) |
| 0300-0310-025-C | [PROJECT MANAGER ASSESSMENT](https://it.nc.gov/document/project-manager-assessment) |
| 0300-0310-030-C | [COST ESTIMATION](https://it.nc.gov/document/cost-estimation) |
| 0300-0310-035-C | [BENEFITS ESTIMATION](https://it.nc.gov/document/benefits-estimation) |
| 0300-0320-005-C | [PROJECT PLANNING AND DESIGN](https://it.nc.gov/document/project-planning-and-design) |
| 0300-0320-010-C | [PROJECT RFP REVIEW](ttps://it.nc.gov/project-rfp-review) |
| 0300-0320-015-C | [PROJECT CONTRACT AWARD RECOMMENDATION](https://it.nc.gov/project-contract-award-recommendation) |
| 0300-0330-005-C | [PROJECT EXECUTION AND BUILD](https://it.nc.gov/document/project-execution-and-build) |
| 0300-0330-010-C | [PROJECT GO-LIVE READINESS ASSESSMENT](https://it.nc.gov/document/project-go-live-readiness-assessment) |
| 0300-0340-005-C | [PROJECT IMPLEMENTATION](https://it.nc.gov/document/project-implementation) |
| 0300-0350-005-C | [PROJECT CLOSEOUT](https://it.nc.gov/document/project-closeout) |
| 0300-0360-005-C | [PROJECT CHANGE REQUEST](https://it.nc.gov/document/project-change-request) |
| 0300-0370-005-C | [PROJECT WEEKLY STATUS REPORT](https://it.nc.gov/document/project-weekly-status-report) |
| 0300-0375-005-C | [PROGRAM/PROJECT REVIEW](https://it.nc.gov/document/programproject-review) |
| 0300-0380-005-C | [PROJECT ARCHITECTURE REVIEW](https://it.nc.gov/project-architecture-review) |
| 0300-0381-005-C | [PROJECT SECURITY REVIEW](https://it.nc.gov/project-security-review) |
| 0300-0382-005-C | [PROJECT PEER REVIEW](https://it.nc.gov/document/project-peer-review) |
| 0300-0390-005-C | [LESSONS LEARNED](https://it.nc.gov/document/lessons-learned) |
| 0300-0395-005-C | [CUSTOMER FEEDBACK](https://it.nc.gov/document/customer-feedback) |
| 0600-0600-005-B | **CORRECTIVE ACTION PROCESS** |
| 0700-0700-005-B | **PREVENTIVE ACTION PROCESS** |
| 0800-0800-005-B | [QUALITY ASSURANCE PROCESS](https://it.nc.gov/quality-assurance-process) |
| 0810-0810-005-B | [QUALITY CONTROL PROCESS](https://it.nc.gov/quality-control-process) |

1. **ASSOCIATED FORMS**

|  |  |
| --- | --- |
| **FORMS IDENTIFICATION** | **FORM TITLE** |
| 0300-0310-010-D | [PROJECT CHARTER FORM](https://it.nc.gov/document/project-charter-form) |
| 0300-0310-015-D | [PROJECT FINANCIAL ASSESSMENT FORM](https://it.nc.gov/document/project-financial-assessment-form) |
| 0300-0310-020-D | [PROJECT ASSESSMENT TYPE FORM](https://it.nc.gov/document/project-assessment-type-form) |
| 0300-0310-025-D | [PROJECT MANAGER ASSESSMENT FORM](https://it.nc.gov/document/project-manager-assessment-form) |
| 0300-0320-010-D | [PROJECT RFP REVIEW FORM](https://it.nc.gov/project-rfp-review-form) |
| 0300-0320-015-D | [PROJECT CONTRACT AWARD RECOMMENDATION FORM](https://it.nc.gov/project-contract-award-recommendation-form) |
| 0300-0330-010-D | [PROJECT GO-LIVE READINESS ASSESSMENT FORM](https://it.nc.gov/document/project-go-live-readiness-assessment-form) |
| 0300-0350-005-D | [PROJECT CLOSEOUT REPORT](https://it.nc.gov/document/project-closeout-report) |
| 0300-0360-005-D | [PROJECT CHANGE REQUEST FORM](https://it.nc.gov/project-change-request-form) |
| 0300-0370-005-D | [PROJECT WEEKLY STATUS REPORT](https://it.nc.gov/project-weekly-status-report-form) |
| 0300-0375-005-D | [PROGRAM/PROJECT REVIEW FORM](https://it.nc.gov/document/programproject-review-form) |
| 0300-0380-005-D | [PROJECT ARCHITECTURE REVIEW FORM](https://it.nc.gov/project-architecture-review-form) |
| 0300-0381-005-D | [PROJECT SECURITY REVIEW FORM](https://it.nc.gov/project-security-review-form) |
| 0300-0382-005-D | [PROJECT PEER REVIEW FORM](https://it.nc.gov/document/project-peer-review-form) |
| 0300-0390-005-D | [LESSONS LEARNED FORM](https://it.nc.gov/document/lessons-learned-form) |
| 0300-0395-005-D | [CUSTOMER FEEDBACK FORM](https://it.nc.gov/document/customer-feedback-form) |
| 0810-0810-005-D | [QUALITY CONTROL DECISION POINTS](https://it.nc.gov/quality-control-decision-points) |

**5.0 DEFINITIONS**

* **IT PROJECT:**  ***see Glossary of Terms and Definitions***
* **AGILE PROJECT:**  ***see Glossary of Terms and Definitions***

1. **PROCEDURE**
   1. The EPMO Project Management Process defines the minimum standards and requirements for IT projects to include: Project Types, Project Information, Project Phases, Basic Project Schedule, Decision Points, Weekly Status Reports, Change Requests, Corrective Action, Preventive Action, Quality Control measures, Lessons Learned and Customer Feedback. These requirements and procedures work to ensure that IT projects are planned, managed and delivered on schedule and within budget in a continually improving Quality Management System (QMS) environment.
   2. **Project Types.** There are two project types, ‘Lite’ and ‘Enterprise’. The ‘Lite’ project must be $250,000 or less for the project cost excluding agency internal personnel, must have operations and maintenance cost over 5 years of $500,000 or less and must be a ‘Low’ risk project. All other projects under State Chief Information Officer (SCIO) review will be ‘Enterprise’ projects. The ‘Lite’ project type has fewer EPMO requirements (details can be found in each process and their Quality Work Instruction). If during management of a ‘Lite’ project, the criteria for project cost, operations and maintenance cost or risk has changed such that it exceeds the threshold, the ‘Lite’ project will be changed to an ‘Enterprise’ project.
   3. **Project Information.** This is the Project Charter ([0300-0310-010-C-PROJECT-CHARTER](https://it.nc.gov/document/project-charter-form)),

Project Financial Assessment ([0300-0310-015-C-PROJECT-FINANCIAL-ASSESSMENT](https://it.nc.gov/document/project-financial-assessment-form)), and Project Assessment Type ([0300-0310-020-C-PROJECT-ASSESSMENT-TYPE](https://it.nc.gov/document/project-assessment-type-form)) as defined in the Quality Work Instructions for these processes.

* 1. **Project Phases**. The EPMO Project Management Process leverages the overarching processes outlined in the PMBOK - A GUIDE TO THE PROJECT MANAGEMENT BODY OF KNOWLEDGE - 5TH ED that are typical of most “waterfall” IT projects. Agile projects may result in repetitive and parallel execution of multiple Project Phases as required by their specific execution model (SCRUM, DAD, etc.)

**‘Enterprise’ Project Type Phases**

**‘Lite’ Project Type Phases**

**6.4.1** Agency Project Managers (PMs) shall execute the Project Phases in accordance with the procedures referenced above and identified in the table below. As an IT project progresses through the project life-cycle, the PM will refine and develop tasks and project work information in increasing detail.

| **Phase** | **Document/Title** |
| --- | --- |
| **Initiation** | [0300-0310-005-C PROJECT INITIATION](https://it.nc.gov/document/project-initiation) |
| **Planning and Design** | [0300-0320-005-C PROJECT PLANNING AND DESIGN](https://it.nc.gov/document/project-planning-and-design) |
| **Execution and Build** | [0300-0330-005-C PROJECT EXECUTION AND BUILD](https://it.nc.gov/document/project-execution-and-build) |
| **Implementation** | [0300-0340-005-C PROJECT IMPLEMENTATION](https://it.nc.gov/document/project-implementation) |
| **Closeout** | [0300-0350-005-C PROJECT CLOSEOUT](https://it.nc.gov/document/project-closeout-report) |

* 1. **Basic Project Schedule.** At a minimum, the project schedule must include project manager resource hours and a labor rate. This provides a cost and actual cost to the schedule so the Cost Performance Index (CPI) and Schedule Performance Index (SPI) can be calculated. If the project manager is a contractor, then other team resources or a generic resource may have to be added to the schedule for the CPI and SPI calculation. Please check with your agency for the proper internal agency process.
  2. **Decision Points.** TheProject Management Advisor (PMA) determines Decision Points (DPs) typically during [0300-0310-005-C PROJECT INITIATION](https://it.nc.gov/document/project-initiation), but may be added as required throughout the project life-cycle. DPs are documented in the work instructions for each Project Phase and further defined by [0810-0810-005-D QUALITY CONTROL DECISION POINTS](https://it.nc.gov/quality-control-decision-points).
     1. Project DPs may be added as required throughout the project life-cycle. The PM, Business Owner or Agency Project Management Office (PMO) may insert agency DPs at any time. The following DPs may be established at any point in the project life-cycle.

|  |  |  |
| --- | --- | --- |
| **Decision Point** | **Basis** | **Document/Title** |
| **Business Case** | Initially performed during [0300-0310-005-C PROJECT INITIATION](https://it.nc.gov/document/project-initiation). The Business Case will be reviewed and updated throughout the project life-cycle. [0300-0310-025-C PROJECT MANAGER ASSESSMENT](https://it.nc.gov/document/project-manager-assessment-form) will also be completed during [0300-0310-005-C PROJECT INITIATION](https://it.nc.gov/document/project-initiation) and updated upon assignment of a new PM. | [0300-0310-010-C PROJECT CHARTER](https://it.nc.gov/document/project-charter-form)  [0300-0310-015-C PROJECT FINANCIAL ASSESSMENT](https://it.nc.gov/document/project-financial-assessment-form) (include Project Benefits)  [0300-0310-020-C PROJECT ASSESSMENT TYPE](https://it.nc.gov/document/project-assessment-type-form)  Basic Project Schedule (in Touchdown System) |
| **Request for Proposal (RFP) Review** | Generally performed during [0300-0320-005-C PROJECT PLANNING AND DESIGN](https://it.nc.gov/document/project-planning-and-design). A project may have multiple procurements throughout the project life-cycle. | [0300-0320-010-C PROJECT RFP REVIEW](https://it.nc.gov/project-rfp-review-form) |
| **Contract Award** | Generally accomplished during [0300-0320-005-C PROJECT PLANNING AND DESIGN](https://it.nc.gov/document/project-planning-and-design). A project may have multiple procurements throughout the project life-cycle. | [0300-0320-015-C PROJECT CONTRACT AWARD RECOMMENDATION](https://it.nc.gov/project-contract-award-recommendation-form) |
| **Go-Live Readiness** | Typically accomplished during [0300-0330-005-C PROJECT EXECUTION AND BUILD](https://it.nc.gov/document/project-execution-and-build). May be performed and updated at earlier points in the project life-cycle. | [0300-0330-010-C PROJECT GO-LIVE READINESS ASSESSMENT](https://it.nc.gov/document/project-go-live-readiness-assessment-form) |
| **Project Architecture Review** | Determined at Project Initiation. Identifies requirements for project review by the Enterprise Architect. Generally accomplished during [0300-0320-005-C PROJECT PLANNING AND DESIGN](https://it.nc.gov/document/project-planning-and-design), but can be reviewed and updated at any point during the project life-cycle. | 0300-0380-005-C PROJECT ARCHITECTURE [REVIEW](https://it.nc.gov/project-architecture-review-form) |
| **Project Security Review** | Determined at Project Initiation. Identifies requirements for project review by the Information Security Officer. Generally accomplished during [0300-0320-005-C PROJECT PLANNING AND DESIGN](https://it.nc.gov/document/project-planning-and-design), but can be reviewed and updated at any point during the project life-cycle. | [0300-0381-005-C PROJECT SECURITY REVIEW](https://it.nc.gov/project-security-review-form) |
| **Change Request** | Dynamic and may be initiated throughout the project life-cycle when the project has met a threshold for cost, schedule, performance or scope variances. | [0300-0360-005-C PROJECT CHANGE REQUEST](https://it.nc.gov/document/project-change-request) |
| **Program/Project Review** | Determined at Project Initiation based on the IT project being ‘High’ risk. May result due to a [0300-0360-005-C PROJECT CHANGE REQUEST](https://it.nc.gov/document/project-change-request). Occurs as required during the project / program life-cycle. | [0300-0375-005-C PROGRAM/PROJECT REVIEW](https://it.nc.gov/document/programproject-review-form) |
| **Agency Peer Review** | Typically determined during [0300-0310-005-C PROJECT INITIATION](https://it.nc.gov/document/project-initiation). May be required by the PMA or Agency key stakeholder at any point during the project life-cycle. | [0300-0382-005-C PROJECT PEER REVIEW](https://it.nc.gov/document/project-peer-review-form) |

* 1. **Project Weekly Status Report.** The PM will complete and PMAs will review a Project Weekly Status Report as described in [0300-0370-005-C PROJECT WEEKLY STATUS REPORT](https://it.nc.gov/document/project-weekly-status-report).
  2. **Corrective Action.** Anyone may request Corrective Action to address a non-conforming condition associated with an IT project in accordance with the **0600-0600-005-B CORRECTIVE ACTION PROCESS**.
  3. **Preventive Action.** Project conditions may dictate Preventive Action to mitigate risk in accordance with the **0700-0700-005-B PREVENTIVE ACTION PROCESS**.
  4. **Quality Control.** The EPMO conducts Quality Control in accordance with [0810-0810-005-B QUALITY CONTROL PROCESS](https://it.nc.gov/quality-control-process) to monitor IT project performance, address budget and schedule variances, monitor DP turn-back and Service Level Commitment (SLC) turnaround time, and determine if Corrective Action is required per **0600-0600-005-B CORRECTIVE ACTION PROCESS**.
  5. **Lessons Learned.** The PM may conduct Lessons Learned sessions throughout the project life-cycle as described in [0300-0390-005-C LESSONS LEARNED](https://it.nc.gov/document/lessons-learned-form). At a minimum, PMs will conduct a Lessons Learned session during [0300-0350-005-C PROJECT CLOSEOUT](https://it.nc.gov/document/project-closeout-report).
  6. **Customer Feedback.** The EPMO will collect Customer Feedback throughout the project life-cycle as described in [0300-0395-005-C CUSTOMER FEEDBACK](https://it.nc.gov/document/customer-feedback). At a minimum, PMAs will solicit Customer Feedback during [0300-0350-005-C PROJECT CLOSEOUT](https://it.nc.gov/document/project-closeout-report).

1. **RECORDS**
   1. Unless otherwise specified in this Procedure, Records shall be maintained in accordance with **0100-0800-010-B FORMS AND RECORDS CONTROL** procedure.
2. **REASON FOR CHANGE**
   1. Updated section 3.0 REFERENCE DOCUMENTS, section 4.0 ASSOCIATED FORMS and section 6.0 PROCEDURE to correct cross reference errors.
   2. Updated section 3.0 REFERENCE DOCUMENTS and section 4.0 ASSOCIATED FORMS. Updated paragraph 6.3 Decision Points and corrected cross reference errors throughout document.
   3. Removed references to Project Decision Memo in section 3.0 REFERENCE DOCUMENTS, section 4.0 ASSOCIATED FORMS and section 6.0 PROCEDURE. Updated paragraph 6.3 Decision Points to include Basic Project Schedule as part of Business Case Decision Point.
   4. Change EPMO Manager to EPMO Director.
   5. Added Project Type paragraph to include ‘Lite’ and ‘Enterprise’ projects.
   6. Added Project Information paragraph.
   7. Added Basic Project Schedule paragraph.