

THE UNIVERSITY OF TEXAS-PAN AMERICAN

# Project Management Standard

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for The University of Texas-Pan American Information  
Resource Projects

Project Management Office

12/2/2011



<b>1.0</b>	<b>PURPOSE</b>	<b>2</b>
<b>2.0</b>	<b>PROJECT MANAGEMENT PROCESS STANDARDS</b>	<b>2</b>
2.01	General	2
2.02	Project Management Activity Flow	3
2.03	Project Classification	4
2.04	Project Approval Processes and Deliverables	5
2.05	Roles & Responsibilities	7
2.06	Reporting	7
2.07	Project Manager Proficiency	8
<b>3.0</b>	<b>STANDARDS COMPLIANCE AND MONITORING</b>	<b>8</b>
<b>4.0</b>	<b>GLOSSARY</b>	<b>9</b>
<b>5.0</b>	<b>VERSION CONTROL</b>	<b>14</b>
5.01	Authority	14
5.02	Revision History	14
<b>6.0</b>	<b>REFERENCES</b>	<b>14</b>

## 1.0 Purpose

This Project Management Standard for IR Projects supports *Handbook of Operating Procedures (HOP)* Section 8.1.2, Information Technology Project Management, by defining the minimum expected level of performance and associated quality measures required to achieve policy compliance. This standard is based on the standards and best practices of The Project Management Institute (PMI), Guide to the Project Management Body of Knowledge (PMBOK™), requirements of [Texas Government Code Chapter 2054](#) and associated [Texas Administrative Code \(TAC\) 216](#). UTPA departmental units may impose further standards/requirements for IR projects in their domain.

## 2.0 Project Management Process Standards

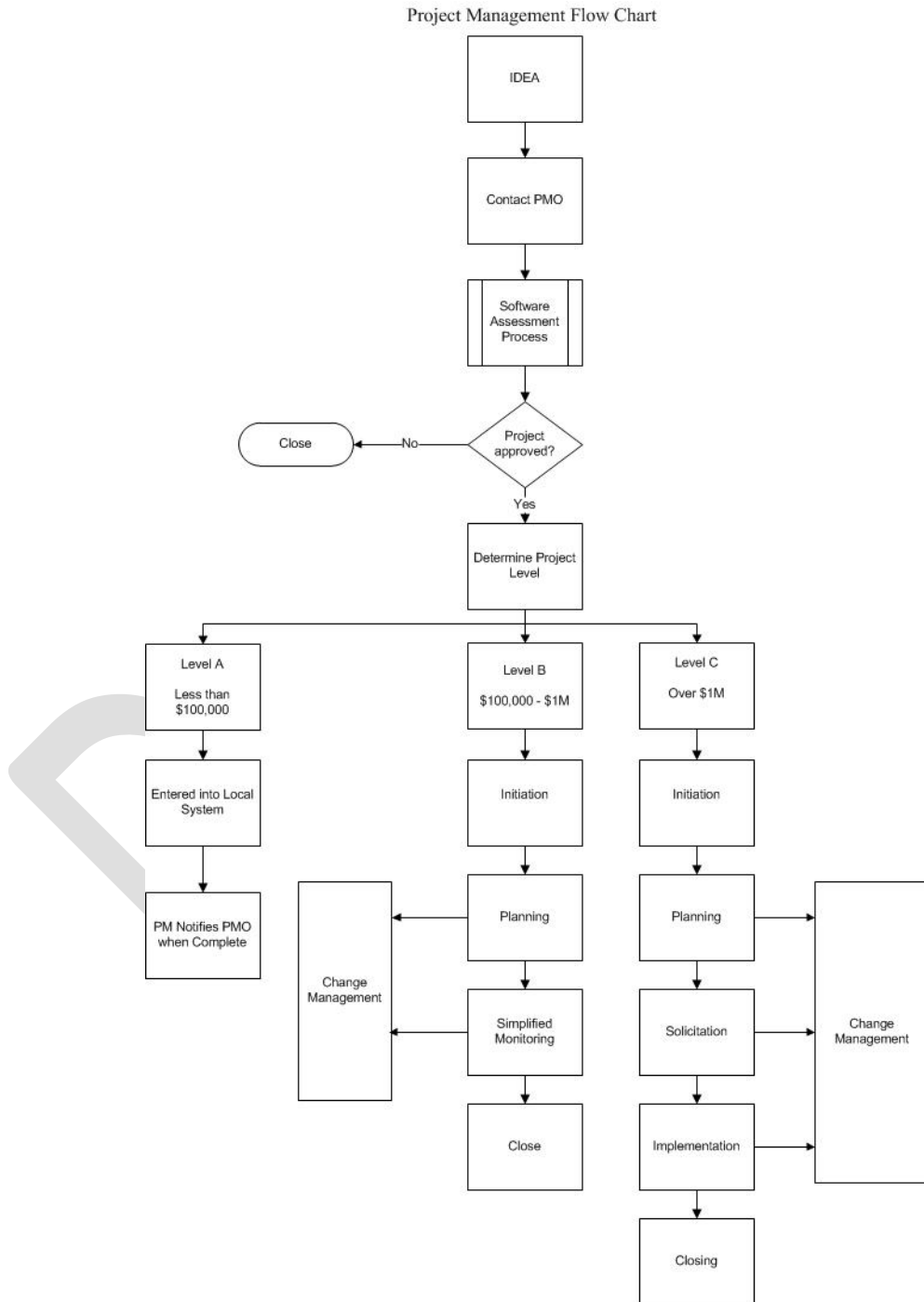
### 2.01 General

Applicable Information Resource (IR) projects should be conducted in a manner consistent with best practices and this standard to:

1. Perform project management processes within Process Groups, as defined in the (PMBOK™) and described in the UTPA IR Project Management Process Guide. The five process groups include: Initiating, Planning, Executing, Monitoring & Controlling, and Closing. Collectively, these are referred to as the Project Management Life Cycle (PMLC).
  - The Initiation processes commit the organization to begin a project phase.
  - The Planning processes are for the development and maintenance of the project plan. While initial plans are built during these processes, planning should occur throughout the lifecycle.
  - The Executing processes exist for implementing the project plan.
  - The Monitoring & Controlling processes compare the project's actual performance with planned performance, analyzing variances, evaluating possible alternatives, and taking appropriate corrective action as needed.
  - The Closing processes complete the project plan activities (i.e., contract closeout, closeout reports, lessons learned, evaluations, etc.).
2. Produce project management process deliverables as described in the Project Management Deliverables section of this document.
3. Assign an Executive Sponsor at the Director level or higher.
4. Assign a Technology Sponsor at the Director level or higher before a Business Case is developed, if applicable.
5. Assign a Project Manager with the appropriate knowledge and skills, as described in the Project Manager Proficiency section of this document, by the time a Charter is approved.
6. Promote the use of this standard and its related processes to the project team, including contractors who are also required to comply.
7. Meet the requirements and standards specified in Texas Administrative Code (TAC) 216 (Project Management Practices).

## 2.02 Project Management Activity Flow

All UTPA IR projects must comply with the standard and processes referenced in *HOP 8.1.2 Information Technology Project Management*. The following diagram broadly depicts the project management activity flow:



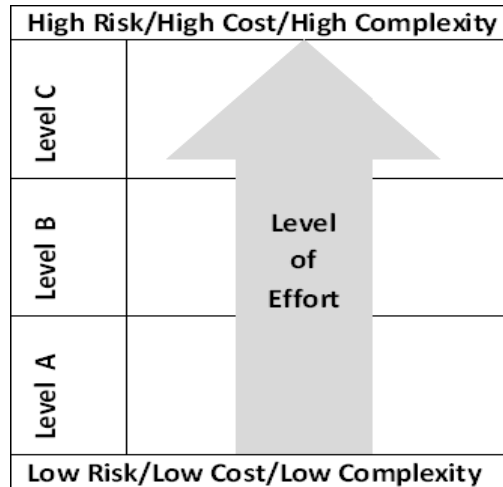
## 2.03 Project Classification

Project classification is based on project costs, scope of the project, time to deliver, organizations involved (departments & individuals), number of systems to be integrated, number of customers impacted by the project, current knowledge skill set and mandated deadlines. The following matrix presents the values assigned to these characteristics.

Project Sizing Tool - Planning Phase <i>Enter name of project here</i>		What PM path should I follow for my project (recommended tools and processes)?			
<input type="button" value="Reset Form"/>		<b>SMALL PROJECT PM Recommended</b>			
		A	B	C	Select A, B, or C for your project
<b>Cost</b>					
1	Cost	<\$100,000	\$100 - 1M	> \$1M	A
<b>Time</b>					
2	Time	weeks	months	year	A
<b>People</b>					
3	Number People	1-3	3-10	>10	B
4	Staff skill set	Experienced	Trained, no experience	No experience	B
<b>Scope</b>					
5	Clarity of scope	Clearly defined	Some gray areas	Undefined, vague scope	B
<b>Risk</b>					
6	End User Buy-in	Committed end user support	Varying degrees of end user support	End user does not support	A
7	Management Buy-in	Committed management support	Varying degrees of management support	Management does not support	A
8	Deadline	No mandated deadline	Internally mandated deadline	Externally mandated, critical deadline	B
9	New Technology vs. Proven, existing Technology	Proven, existing tech in-house	Proven technology but not in house / Not proven but in house expertise	Unproven, new technology that we don't have	B
10	Assumptions	Verified, conservative assumptions	Some gray areas surrounding assumptions	Unverified, aggressive assumptions	B
11	Other Project Specific Risk	Low Risk	Medium Risk	High Risk	A
<b>Communication</b>					
<i>Project</i>					
12	Number of work units involved	1	2-10	> 10	B
<b>End User</b>					
13	Number of end users	< 1000	1,000-15,000	>15,000	A
14	Change to current work environment, tools and/or process	Minimal change	New technology or new process	New technology and new process	A
<b>Integration</b>					
15	Number of systems to be integrated	0-1	2-4	> 4	A
16	Number of external project dependencies	Few	Several	Large Number	A
17	Level of complexity of the integration	Simple	Medium level of complexity	High level of complexity	A
<b>Vendor</b>					
18	Number of vendors	1	2-3	> 3	A
19	UTPA's Confidence in Vendor	High	Medium	Low	A

An online tool is provided at [http://portal.utpa.edu/utpa\\_main/dit\\_home/pmo\\_home](http://portal.utpa.edu/utpa_main/dit_home/pmo_home) to compute a project's complexity and risk level.

Project management processes form an approach for the initiation and management of IR projects, as well as the completion and collection of project management deliverables. In some cases, processes will be used more informally (less rigor) than in others which will need more detail (more rigor). To determine the appropriate process effort, projects can be divided into three levels of effort as shown in below.



## 2.04 Project Approval Processes and Deliverables

Approval processes and deliverables are determined by the level of effort of a project.

### Review Gate Approval Requirements:

- Level A: Obtained from the sponsoring department head.
- Level B: Obtained from the UTPA Chief Information Officer.
- Level C: Obtained from UTPA President. Only applies to projects with a cost of over \$1,000,000.00.

**Project Management Deliverables:**

UTPA template scores are the same as those required by the Texas Project Delivery Framework for major information resource (IR) projects. Scaled down templates or an appropriate subset may be used for projects not classified as major projects.

- Level A: Departmental project management practices apply.
- Level B: Project templates as recommended below.
- Level C: Project templates as recommended below.

PROJECT MANAGEMENT DELIVERABLES																			
INITIATE <i>Business Justification</i>				PLAN				Solicitation & Contracting (if applicable)				IMPLEMENT				CLOSE <i>Benefits Realization</i>			
Classification Level	A	B	C	Classification Level	A	B	C	Classification Level	A	B	C	Classification Level	A	B	C	Classification Level	A	B	C
Project Proposal Form	R	R	R	Project Plan	O	R	R	Acquisition Plan	O	O	R	Acceptance to Deploy	O	R	R	Post Implementation Review of Business Outcome	O	R	R
Business Case	O	R	R	Project Schedule	O	R	R	Contract Amendment & Change Order	O	O	R	Project Closeout Report	O	X	R	Benefits Realization Review Gate Approval	O	X	R
Statewide Impact Analysis	O	O	R	Monitoring Report	O	X	R	CATRAD*, if Major IR Project	O	O	R	Project Implementation Review Gate Approval	O	X	R				
Project Charter	O	R	R	Project Planning Review Gate Approval	O	X	R	Technology Addendum	O	O	R								
Business Justification Review Gate Approval	O	X	R					Solicitation & Contracting Review Gate Approval	O	O	R								

An "R" in the column indicates that a completed template is required.

An "X" in the column indicates that a completed template is recommended but not required.

An "O" in the column indicates that project managers may elect to use any template deemed necessary for the success of the project.

\*CATRAD – Contract Advising Team Review and Delegation

## 2.05 Roles & Responsibilities

Major Information Resource Projects' roles and responsibilities are defined by the Department of Information Resources (DIR) as part of the Texas Project Delivery Framework and are located at [www.dir.state.tx.us](http://www.dir.state.tx.us).

Roles and responsibilities for UTPA IR projects are defined below and may be assigned based on the needs of the individual project and departmental practices.

**Project Sponsor** – The generic term, project sponsor, refers to an individual in the performing organization who is responsible for authorizing and initiating a project. A project sponsor can be a non-IT or IT senior-level manager who assumes the responsibilities associated with the oversight of the project from a business perspective. Oversight responsibilities can include but are not limited to the development, verification, and validation of specific required deliverables. The sponsor certifies the accuracy, viability, and defensibility of the content of project deliverables. See specifically:

**Executive Sponsor** – Non-IT senior-level manager who assumes the responsibilities associated with the oversight of the project from a business perspective and is an individual in the performing organization who is responsible for authorizing and initiating a project. Oversight responsibilities can include but are not limited to the development, verification, and validation of specific required deliverables. The Executive Sponsor certifies the accuracy, viability, and defensibility of the business-related content of project deliverables.

**Technology Sponsor** – An IT senior-level manager who oversees development of specific Framework deliverables from a technology perspective, who certifies the accuracy, viability, and defensibility of the technology-related content of those deliverables, and who is designated by the Chief Information Officer. This definition is closely related to the UTPA Institution use of “Project Sponsor”.

**Project Manager** – The person assigned by the performing organization to achieve project objectives.

## 2.06 Reporting

The project manager, or designee, reports the project status, progress, issues, and risks of the project following the guidelines found in the IR Project Management Process Guide.

## 2.07 Project Manager Proficiency

Project sponsors consider a project's risks and complexity when selecting a project manager. Project managers should be selected based on their prior experience and their level of project management skills.

The following matrix provides suggested levels of project manager experience, skills, and qualifications in relation to individual project characteristics:

Project Characteristic	Example Experience/Knowledge	Skill Level
Planned cost is less than \$1M	<ul style="list-style-type: none"><li>• Prior experience as project lead</li><li>• Familiar with basic business practices</li><li>• Team player</li><li>• System development knowledge</li></ul>	<ul style="list-style-type: none"><li>• Participated in complete IT project lifecycle.</li></ul>
Planned cost is \$1M to \$4.99M or duration is greater than 12 months	<ul style="list-style-type: none"><li>• All above</li><li>• 3+ years of experience</li><li>• Some formal PM training</li><li>• Understands business area goals</li><li>• Problem solving skills</li><li>• Requirements gathering and inspections</li></ul>	<ul style="list-style-type: none"><li>• All above, plus</li><li>• Able to perform project management duties to deliver all best practice project management and product management deliverables</li></ul>
Planned cost is \$5M or more	<ul style="list-style-type: none"><li>• All above</li><li>• 5+ years PM experience</li><li>• PMP® certification</li><li>• Commitment to Business Area outcomes</li><li>• Negotiation &amp; contract management experience</li><li>• Complex infrastructure and architecture concepts</li><li>• All above</li></ul>	<ul style="list-style-type: none"><li>• Manage all processes and provide all deliverables for project management and product delivery, including sub-projects and/or outsourced acquisitions</li></ul>

## 3.0 Standards Compliance and Monitoring

The project managers, project sponsors and external liaisons are responsible to establish appropriate compliance and monitoring mechanisms to meet University and state deliverables requirements.

## 4.0 Glossary

1. **Acceptance to Deploy** - The Acceptance to Deploy provides a consistent method for formal product and/or service acceptance before a product and/or service becomes operational. Various stakeholders are responsible for deployment acceptance and must agree the product and/or service can transition to operational status.
2. **Acquisition Plan** - The Acquisition Management Plan describes how the procurement processes will be managed from developing procurement documentation through contract closure. The plan may be formal or informal and detailed or broadly framed. The plan is based upon the needs of the project.
3. **Business Case** - The Business Case provides comparative information between business solution costs and proposed project benefits. As a detailed investment proposal, the Business Case considers quantitative and qualitative evaluation factors and provides the baseline information to make an informed decision and whether to recommend proceeding further.
4. **Change Request** - The measure should include the number of suggested changes, as well as an indication of the level of importance to the project team, any indication of when each change is needed, and suggestions for the content of the change.
5. **Close Out Report** – A project management best practice. This deliverable summarizes the efficiencies associated with key deliverables (planned vs. actual). It also includes any outstanding issues and project lessons learned. This report is filed within thirty (30) days of product or system deployment.
6. **Contract Amendment and Change Order** - The Contract Amendment and Change Order ensures project changes that impact a technology contract are analyzed and justified before funds can be expended for those changes. The impact to the project, whether to the contract completion date, contract scope, or some other change, is identified as part of the Contract Amendment and Change Order process.
7. **DIR** – Texas Department of Information Resources
8. **Executive Sponsor** – Non-IT senior-level manager who assumes the responsibilities associated with the oversight of the project from a business perspective. An individual in the performing organization who is responsible for authorizing and initiating a project. Oversight responsibilities can include but are not limited to the development, verification, and validation of specific required deliverables. The Executive Sponsor certifies the accuracy, viability, and defensibility of the business-related content of project deliverables.

9. **UTPA** – The University of Texas-Pan American
10. **Information Resources** – Any and all computer printouts, online display devices, mass storage media, and all computer-related activities involving any device capable of receiving email, browsing Web sites, or otherwise capable of receiving, storing, managing, or transmitting data including, but not limited to, mainframes, servers, personal computers, notebook computers, hand-held computers, personal digital assistant (PDA), pagers, distributed processing systems, network attached and computer controlled medical and laboratory equipment (i.e. embedded technology), telecommunication resources, network environments, telephones, fax machines, printers and service bureaus. Additionally, it is the procedures, equipment, facilities, software, and data that are designed, built, operated, and maintained to create, collect, record, process, store, retrieve, display, and transmit information.
11. **IT** - Information Technology – See Information Resources.
12. **IR Project** – A project is considered an IR project if it meets criteria set forth in *HOP* Section 8.1.2, Information Technology Project Management.
13. **Major Information Resources Project** - As defined by [§2054.003 \(10\), Texas Government Code](#), is: any information resources project identified in a state agency's biennial operating plan whose development costs exceed \$1 million and that
- requires one year or longer to reach operations status;
  - involves more than one state agency; or
  - substantially alters work methods of state agency personnel or the delivery of services to clients; and,

Any information resources technology project designated by the legislature in the General Appropriations Act as a major information resources project.

14. **Major Software** – As defined by [UTS140, Enhancing Major Software Projects](#), major software is the following categories of software when initially acquired, developed, and/ or outsourced as well as any subsequent significant upgrades. It may also include at the Institution’s discretion any substantial enterprise mission critical software typically identified as major through the use of a project sizing tool which is customized for each campus. The categories of major software include, but are not limited to:
- Student Information Systems
  - Financial ERP including Budgeting, Planning, and Procurement

- Human Resources
- ERP Development
- Library
- Course Management
- Grants Management
- Building Security/Access
- Housing/Dormitory
- Imaging
- Medical Records
- Clinical tracking
- Billing
- Research Administration (e.g., time and effort, IACUC, IRB, Research Conflict of Interest, etc)

15. **Monitoring Report** - The Monitoring Report provides a consistent method for presenting project status information to the Quality Assurance Team. The purpose of the state-level monitoring process is to help ensure projects have the means to achieve stated objectives.
16. **PMP®** – Project Management Professional. A certification granted by the Project Management Institute (PMI). PMPs ® must meet specific educational and project management experience requirements and agree to adhere to a code of professional conduct. Candidates must pass a rigorous examination designed to objectively assess and measure their ability to apply project management knowledge in the following six domains: initiating the project, planning the project, executing the project, monitoring and controlling the project, closing the project, and professional and social responsibility.
17. **PMBOK™** – Guide to The Project Management Body of Knowledge. A set of project management standards and best practices published by the Project Management Institute (PMI). The American National Standards Institute (ANSI) has recognized the PMBOK™ as a project management standard.
18. **Post-Implementation Review of Business Outcomes** - The Post-Implementation Review of Business Outcomes establishes a consistent method for evaluation of business outcomes. The post-implementation review process establishes conclusions about whether the project solved the business problem by achieving the stated business goals and objectives.
19. **Project** –An initiative that provides information resources technologies and creates products, services, or results within or among elements of the University; builds or buys a new software application and/or interfaces; enhances or maintains an existing software application; conducts IT research, discovery, feasibility, or proof of concept as part of the project’s scope; provides

technology solutions to support business innovation, optimization, or consolidation; performs systems or data optimization; or buys new or enhances existing IT infrastructure; and, is characterized by well-defined parameters, specific objectives, common benefits, planned activities, a scheduled completion date, and an established budget with a specified source of funding.

20. **Project Charter** – The Project charter provides a consistent method to formally authorize work to begin on a project. The intent is that an agreement among stakeholders is established before significant resources are committed and expenses are incurred. The Project Charter is the tool that gives the named Project Manager authority to carry out the project business. Approval of the Project Charter provides the go-ahead for an officially recognized project to begin when business considerations, such as, resources, budget, and timing allow. The Project Charter provides information used to formally approve and initiate activities for delivery of the project. The charter document typically includes a project description, statement of purpose, business objective(s), scope, major milestones, key assumptions, delineation of authority and responsibility, project organization, source(s) of funding, and key points of contact.
21. **Project Management** – Application of knowledge, skills, tools, and techniques to project activities to meet the project requirements.
22. **Project Manager** – The person assigned by the performing organization to achieve project objectives.
23. **Project Plan** – The Project Plan describes the approach that will be taken for a project; typically describes the work to be done, resources required, methods to be used, configuration management and quality assurance procedures to be followed, schedules to be met, and the project organization.
24. **Project Schedule** – The planned dates for performing schedule activities and the planned dates for meeting schedule milestones.
25. **Project Sponsor** – The generic term, project sponsor, refers to an individual in the performing organization who is responsible for authorizing and initiating a project. A project sponsor can be a non-IT or IT senior-level manager who assumes the responsibilities associated with the oversight of the project from a business perspective. Oversight responsibilities can include but are not limited to the development, verification, and validation of specific required deliverables. The sponsor certifies the accuracy, viability, and defensibility of the content of project deliverables. See specifically, “Executive Sponsor” and “Technology Sponsor”.

26. **Project Status Report** – Status reporting for the different needs of stakeholders and the project team as well as overall status on the project.
27. **Project Work Plan** – Also known as Project Schedule.
28. **Review Gate** - A distinct division of project effort that involves successful completion of specific deliverables in order to obtain agency head approval before proceeding with project activities. Each review gate is intended to synchronize the state’s investment in a project based on approval of business outcomes at a specific point during project delivery. DIR has identified the following review gates that are required for Major IR projects:
  - Business Justification
  - Project Planning
  - Solicitation and Contracting
  - Project Implementation
  - Benefits Realization.
29. **Stage Gate** - A Go / No-go point of determination based on an assessment of the current/previous stage work and the desired/planned forthcoming stage(s) proposed. Stage gates are critical checkpoints planned by the project manager during the project lifecycle.
30. **Technology Sponsor** – An IT senior-level manager who oversees development of specific Framework deliverables from a technology perspective, who certifies the accuracy, viability, and defensibility of the technology-related content of those deliverables, and who is designated by the IRM. This definition is closely related to UPTA’s use of “Project Sponsor”.
31. **Vendor Performance Review** – The Vendor Performance Review defines the procurement in terms of what goods or services were acquired, what performance measures were applied to the acceptance goods and services, when the goods or services were required by the project, and who was responsible for each task.
32. **WBS - Work Breakdown Structure** – A deliverable-driven grouping of project activities that organizes and defines the total scope of work for the project. Each descending level represents an increasingly detailed definition of the project work. (PMBOK™)

## 5.0 Version Control

### 5.01 Authority

The UTPA Chief Information Officer has approval authority and the authority to maintain this standard.

### 5.02 Revision History

Date	Version	Action/Section	Name
December 2, 2011	1.00	Final Version 1.0 Release	Cathy Vale

## 6.0 References

1. HB 1516, Sub-chapter J, 79th Texas Legislature, Regular Session
2. HB 1789, 80th Texas Legislature, Regular Session
3. Project Management Practices, Texas Administrative Code (TAC) 216, Subchapters A, B
4. *HOP 8.1.2 Information Technology Project Management*
5. UTPA Information Technology Project Management Process Guide
6. Guide To the Project Management Body of Knowledge (PMBOK™)
7. Texas Project Delivery Framework, Department of Information Resources (DIR)
8. UTPA IT Project Management website
9. UTPA IT Policies
10. UTS140, Enhancing Major Software Projects