

ATTACHMENT 5

RFR # W00B340009

CAD/RMS PROJECT FUNCTIONAL PROJECT MANAGER (FPM) DUTIES & RESPONSIBILITIES

1. ROLE DEFINITIONS

The purpose of this section is to distinguish among the roles interacting with the FPM obtained through this RFR.

- A) Task Order (TO) Procurement Officer – Agency staff person responsible for managing the RFR process up to the point of TO award;
- B) TO Manager – Agency staff person who oversees the FPM’s work performance and administers the TO once it is awarded;
- C) TO Contractor – The CATS II Master Contractor awarded a TO as a result of this RFR. The TO Contractor shall provide the FPM resource and be accountable for FPM work performance under the TO.
- D) Senior Project Manager (SPM) – The person provided by the TO Contractor as a result of this RFR. The SPM is responsible for overall project planning and execution. The SPM is responsible for performing the duties and responsibilities described in Attachment 3, and for completing all requirements and deliverables under the TO. The SPM reports directly to the TO Manager and shall oversee and direct the Project Team made up of State and contractual personnel including the Technical Project Manager and Functional Project Manager. The Senior Project Manager is responsible for oversight of the Technical and Functional Project Manager’s activities and deliverables. The Senior Project Manager will provide direction and guidance to the Technical and Functional Project Manager in performing the duties and responsibilities under this SOW;
- E) Technical Project Manager (TPM) – The person provided by the TO Contractor as a result of this RFR. The TPM is responsible for overall technical project planning and execution. The TPM is responsible for performing the duties and responsibilities described in Attachment 4, and for completing all requirements and deliverables under the TO. The TPM reports to the Senior Project Manager and shall oversee and direct the Technical Project Teams members made up of State and contractual personnel;
- F) Functional Project Manager (FPM) - The person provided by the TO Contractor as a result of this RFR. The FPM is responsible for overall functional project planning and execution. The FPM is responsible for performing the duties and responsibilities described in Attachment 5, and for completing all requirements and deliverables under the TO. The FPM reports to the Senior Project Manager and shall oversee and direct the Functional Project Teams members made up of State and contractual personnel;
- G) Development Contractor – The Development Contractor responsible for COTS integration, including their PM and other personnel assigned to the project. The Development Contractor reports to the PM for project purposes with oversight by the Senior Project Manager.

2. FUNCTIONAL PROJECT MANAGER DUTIES AND RESPONSIBILITIES

The FPM shall oversee and direct the technical project teams comprised of current State and contractual personnel. Responsibilities include project governance and direction, technical architecture, and implementing course corrections as needed. Duties shall focus on technical project monitoring, project execution, project control, team integration, change integration, and corrective action as needed. The position shall ensure the application of PMI's PMBOK as well as the State of Maryland's Information Technology Security Policy and Standards, Enterprise Architecture, and SDLC standards in managing the project.

The FPM shall report to the Senior Project Manager and perform the tasks described in the table below. The FPM shall be capable of performing all assigned tasks with self-sufficiency and minimal guidance from the Senior Project Manager. FPM performance shall be rated each month based on performance in the nine PMBOK knowledge areas as applied to the CAD/RMS project, and the quality of the written deliverables described in Section 7 below (See Exhibit 1 below – Deliverable Product Acceptance Form for performance rating criteria).

An asterisk (*) by the section number below and bold italics identifies a deliverable associated with the duty / responsibility. Refer to Section 7 for full descriptions of all deliverables and time of performance. The FPM is expected to ensure and oversee the creation of any and all written deliverables that do not exist for the project, and review and oversee updating of those that do exist. The FPM will ensure that all deliverables are consistent with standards in the PMI's PMBOK and State's System Development Life Cycle (SDLC) (see Section 3 below).

Functional Project Management Duties	
2.1	Become thoroughly knowledgeable on all aspects of the CAD/RMS project including technical knowledge of software applications being utilize by the project.
2.2	Provide guidance and oversight on all aspects of Functional Project Teams (Business Analyst, Requirements, Design, Testing, and others). Provide guidance on functional and business aspects of project to include: <ul style="list-style-type: none"> • Functional requirements analysis and management • Business process documentation and business process re-engineering • Test coverage and test management • Quality review and walkthroughs
2.3*	Perform <i>CAD/RMS Functional Management (Deliverable 7.1)</i> consistent with PMI and PMBOK principles of project management and the State of Maryland SDLC. Manage and integrate project resources including oversight of the technical project team. Exercise PM best practices for the project and oversee project activities consistent with the nine knowledge areas including: <ul style="list-style-type: none"> • Procurement Management - consisting of procurement planning, contracts planning, authoring solicitations, evaluation, requesting solicitation responses, selecting contractor(s), administering contract(s), and contract(s) closing activities. • Schedule Management - consisting of activity definition and sequencing, resource estimating, duration estimating, schedule development, and schedule control activities. • Integration Management - consisting of project plan development, project plan execution, and integrated change control activities. • Scope Management - consisting of project initiation, scope planning, scope definition and scope change control activities. • Cost Management - consisting of resource planning, cost estimating, budgeting and cost control activities.

	<ul style="list-style-type: none"> • Human Resources Management - consisting of organizational planning, technical project team acquisition and staff development activities. • Risk Management - consisting of risk management planning, risk identification, risk quantitative and qualitative analysis, response planning, monitoring, and control activities. • Quality Management - consisting of quality planning, quality assurance and quality control activities. • Communications Management - consisting of communications planning, information distribution, progress and performance reporting, and stakeholder communications management activities.
2.4*	Review and provide input and updates to the Master Project Plan (Deliverable 7.2) . Ensure that plan components adequately document how the project will be executed, monitored and controlled. Ensure that the plan adequately defines the managerial, functional, and supporting processes and activities necessary for sound project development. Ensure that the plan adequately covers topics such as Scope Management, Schedule Management, Quality Management, Resource Management, Communications Management, Project Change Management, Risk Management, Procurement Management and others as deemed necessary to manage the project.
2.5*	Review and provide input and updates to the Work Breakdown Structure (WBS) (Deliverable 7.3) consistent with PMBOK standards for all project work.
2.6*	Review and provide input and updates to the Integrated Master Schedule (Deliverable 7.4) based on the WBS (see 2.5 above) and usable for tracking project activities. This schedule shall include all project management, agency and contractor activities in sufficient detail to manage the project. The schedule shall include milestones, deliverables, periods of performance, degrees of completion, and assigned resources for all project activities. The activities duration in the master schedule shall be at appropriate level of granularity to manage and track project progress.
2.7	Provide input and updates to the integration of the Development Contractor's plan and methodology into the Integrated Master Schedule (see 2.6 above) to track all project progress. Ensure appropriate updates to the Project Management Plan (see 2.4 above) and related project components as outlined in the SDLC.
2.8*	Review and provide input and updates to the Communications Plan (Deliverable 7.5) for all project stakeholders including stakeholder contact list, distribution structure, description of information to be disseminated, schedule listing when information will be produced and method for updating the communications plan. Ensure all appropriate stakeholders have been identified and their requirements and expectations have been documented and managed within the scope of the project.
2.9*	Review and provide input and updates to the Risk Management Plan (RMP) and Risk Registry (Deliverable 7.6) . The RMP shall identify and prioritize potential risks to successful completion of the CAD/RMS SDLC Phases. The RMP shall incorporate pertinent risk information found in the Master Project Status Report (see 2.15 below). The RMP will include a Risk Registry of all project risks that will be updated throughout the project.
2.10	Implement and adhere to issue escalation and resolution processes for the project and communicate the process to all stakeholders.
2.11*	Ensure the Functional Project Teams has created and is updating a Deliverable Comments Matrix (DCM) (Deliverable 7.7) for each deliverable or SDLC product provided by the Development Contractor. Ensure that the Functional Project Teams reviews, and coordinates the review among appropriate stakeholders, of CAD/RMS project deliverables for completeness and conformance to requirements. Ensure the Functional Project Team documents resulting issues and questions in the DCM to be

	<p>resolved by the Development Contractor prior to deliverable acceptance. Ensure the Functional Project Team reviews subsequent updated versions of deliverables to confirm all issues and questions have been resolved satisfactorily.</p> <p>The DCM process is part of the Quality Assurance Plan (see 2.14 below).</p>
2.12*	<p>Review and provide input and updates to the Change Management Plan (Deliverable 7.8) that describes the process for making changes to project scope, requirements, or cost as necessary. At a minimum, the Change Management Plan shall describe the change management and approval processes, and the tools used (i.e. change request form, change order). Processes shall include:</p> <ul style="list-style-type: none"> • Coordination with the TO Manager for review and approval of proposed changes to the project; • Coordination with Development Contractor for review and agreement on proposed changes; and • For approved changes, project integration management consistent with the PMBOK. <p>The FPM shall ensure that the Functional Project Team reviews the existing change management logs and determine which items will be taken forward for further analysis.</p>
2.13*	<p>Create (if not available), review and provide input and updates of the Requirements Traceability Matrix (RTM) (Deliverable 7.9) that describes and provides a numbering system for all project requirements for traceability through testing. The RTM shall include test scenarios and acceptance criteria for all technical and functional requirements.</p> <p>Ensure that the Functional Project Team participates in requirements process as needed and traces requirements through testing and implementation via updates to the RTM. RTM updates will be in conjunction with weekly requirements / design reviews (see 2.15 below). The RTM process is part of the Quality Assurance Plan (see 2.14 below).</p>
2.14*	<p>Review and provide input and updates to the Quality Assurance (QA) Plan (Deliverable 7.10) that includes the following components at a minimum:</p> <ul style="list-style-type: none"> • Description of the process for QA on project deliverables via the DCM process (see 2.11 above). • Description of the process for QA on requirements using the RTM (see 2.13 above).
2.15*	<p>Ensure input and ongoing updating to the Master Status Report (Deliverable 7.11). Oversee weekly Technical Project Team meetings, to include the Development Contractor when appropriate, in which design / requirements reviews and discussions on project status, risk and issues occur. Require the Technical Project Team to record project status, risk and issue dispositions for the past week, and planned activities for the week upcoming, in the Status Report. The Status Report shall have sections describing PM activities and needed updates to the Integrated Master Schedule (see 2.6 above), Master RMP (see 2.9 above), and RTM (see 2.13 above). The Master Status Report shall contain a section for lessons learned from the project and any other pertinent status information.</p>
2.16	<p>Coordinate with the Technical Project Teams and Development Contractor's technical resources to control the project to the Project Management Plan (see 2.4 above). Work with the Technical Project Teams and Development Contractor's technical resources to address schedule variances. Ensure the documentation of schedule variances in the Integrated Master Schedule (see 2.6 above) and Master Status Report (see 2.15 above).</p>
2.17	<p>Ensure that the Technical Project Teams will collect, organize, store, and manage</p>

	project documents in a central repository. This includes maintaining current and archival files (electronic and paper), collecting and distributing information to and from stakeholders, and entering updates into Agency internal weekly status reports and project tracking systems.
2.18	Function as a liaison between Agency personnel, project stakeholders, the Development Contractor's technical resources, and Technical Project Teams.
2.19	Assign other minor duties related to project management support to the Technical Project Team. Minor duties may include responding to phone calls and email, making photo copies, scheduling and attending ad hoc meetings, engaging in TO performance discussions, coordinating Development Contractor invoicing, and participating in Independent Verification & Validation (IV&V) assessments.
2.20*	Ensure the input/updates to other management plans as deemed necessary by the Senior Project Manager. For example, a <i>Human Resource Management Plan, Cost Management Plan, and Procurement Management Plan (Deliverable 7.12)</i> .
2.21	Ensure change orders are managed in accordance with the Change Management Plan (see 2.12 above). Work with the TO Procurement Officer to define change order scope, cost, and project impact. Perform cost-benefit analyses, and provide valid justifications for change orders. Document and coordinate the implementation of change orders with the Senior Project Manager and Development Contractor.
2.22	Develop and execute a plan for requirements elicitation and manage requirements activities along all phases of the CAD/RMS project and programs, potentially following the TO process for creating subsequent statements of work for individual Agency implementation activities.
2.23	Ensure that all necessary business needs and requirements are elicited, validated, analyzed, prioritized, and documented. Translate business needs into clear, concise, and unambiguous requirements.
2.24	Identify project tasks and assignments and work with Agency, Development Contractor's Technical resources, and Project Technical Teams to resolve workload conflicts.
2.25	Coordinate the Functional Project Teams' interaction with IV&V contractors and ensure the availability of all project artifacts for IV&V assessments.
2.26	Lead the requirements elicitation, using best practices and techniques such as: brainstorming, document analysis, interface analysis, interviews, questionnaires, observations, reverse engineering, JAD sessions, use cases, etc.
2.27*	Use the captured requirements to document business models for enterprise analysis and model the "As-Is" and "To-Be" business processes using techniques such as: SIPOC (Suppliers, Inputs, Process, Outputs, Customers) analysis, use case diagrams, process flowcharts, swim lane diagrams, activity diagrams, data flow diagrams (DFD), entity-relationship diagram (ERD), etc. Provide complete documentation of business process in a <i>Business Process Document (Deliverable 7.13)</i> .
2.28	Facilitate quality review walkthroughs and obtain stakeholder buy-in and sign-off on requirements, requirements traceability matrix, and other relevant project artifacts.
2.29	Have primary responsibility for traceability, ensuring all requirements are linked to project artifacts downstream: test cases, use cases, defects, and other items within the project to understand what is impacted when change occurs.
2.30*	Shall ensure comprehensive test management and test coverage occurs. Lead the development of the <i>Test Master Plan (TMP) (Deliverable 7.14)</i> and collaborate with the Development Contractor to integrate their testing, review

	Development Contractor test cases and ensure execution.
2.31	Coordinate testing efforts including UAT testing by business users.
2.32	Control the scope of the project leveraging tools such as the RTM (see 2.13 above) and change management activities.
2.33	Be responsible for managing the project cost and keeping the project expenditures and cost updated on a regular basis (minimum of monthly updates). The FPM shall gather, collect, store and report to the Senior Project Manager on all project costs and cost variances.
2.34	Other project-related duties as assigned by Senior Project Manager.

3. REQUIRED PROJECT POLICIES, GUIDELINES AND METHODOLOGIES

The FPM shall keep informed of and comply with all applicable laws, regulations, policies, standards and guidelines affecting information technology projects applicable to activities and obligations under the TO Agreement, as those laws, policies, standards and guidelines may be amended from time to time. The FPM shall adhere to and remain abreast of current, new, and revised laws, regulations, policies, standards and guidelines affecting project execution and it shall obtain and maintain, at its expense, all licenses, permits, insurance, and governmental approvals, if any, necessary to the performance of its obligations under the TO Agreement. These may include, but are not limited to:

- A) The nine project management knowledge areas in the PMI's PMBOK.
- B) The State's SDLC methodology at: www.doit.maryland.gov - keyword: SDLC.
- C) The State's IT Security Policy and Standards at: www.DoIT.maryland.gov - keyword: Security Policy.
- D) The State's IT Project Oversight at: www.DoIT.maryland.gov - keyword: IT Project Oversight.
- E) The State's of Maryland Enterprise Architecture at www.DoIT.maryland.gov - keyword: MTAF (Maryland Technical Architecture Framework).

4. MONTHLY FPM PERFORMANCE RATINGS

Each month the TO Contractor shall submit a Deliverable Project Acceptance Form (DPAF) (Exhibit 1 below) to the Senior Project Manager for approval of the deliverable *CAD/RMS Technical Management* (Deliverable 7.1). The CAD/RMS Project Manager will rate the FPM's performance based on the criteria described in the DPAF. In the event of poor or non-performance by the FPM resulting in a rating of "unacceptable," payment shall be withheld pending the outcome of the procedures described in Section 5.

5. MITIGATION PROCEDURES FOR POOR OR NON-PERFORMANCE

As warranted by poor or non-performance by the FPM, the Agency shall pursue the following mitigation procedures prior to requesting a replacement FPM:

- A) The TO Manager shall document performance issues and give written notice to the TO Contractor clearly describing problems and delineating remediation requirement(s).
- B) The TO Contractor shall respond with a written remediation plan within three business days and implement the plan immediately upon written acceptance by the TO Manager.

- C) Should performance issues persist, the TO Manager may give written notice or request the immediate removal of the FPM and determine whether a substitution is required.

6. WORK HOURS

Standard State office hours 8:00 AM to 5:00 PM, Monday through Friday, except for State holidays, unless the State office adheres to a compressed work week schedule. The FPM may work from the State offices at any time during these standard hours. Arrangements may be made to work from State offices during non-standard work hours, at the discretion of the CAD/RMS Project Manager and the State.

Duties of the FPM may require working hours not contained to these standard hours, including evenings and/or weekends as the requirements of the position warrant.

7. DELIVERABLES AND TIME OF PERFORMANCE

The table below describes the deliverables required under the TO and corresponding Time of Performance based on Notice To Proceed (NTP).

ID #	Deliverable Description	Time of Performance
7.1	<p>CAD/RMS Technical Management – Encompasses the duties and responsibilities in Section 2 above and culminates in the overall effective oversight and control of the technical management components of the CAD/RMS project. This is a single continuous deliverable encompassing all other deliverables described in this section.</p> <p>Note - The quality of this deliverable is based on performance in the nine PMBOK knowledge areas as applied to the technical management components of the CAD/RMS project, and the quality of the written deliverables in this section.</p> <p>The CAD/RMS Technical Management deliverable shall be assessed by the Senior Project Manager via the process described in Section 4 above.</p>	Throughout the duration of the TO
<p><i>Note – for each of the written deliverables below, ongoing quality will be a factor in the Monthly Performance Rating described in Section 4 above.</i></p>		
7.2	<p>Master Project Plan – Defines how the project will be executed, monitored and controlled. The document will be developed with input from the project team and key stakeholders. The plan shall address topics including Scope Management, Schedule Management, Financial Management, Quality Management, Resource Management, Communications Management, Project Change Management, Risk Management, and Procurement Management as defined in the PMBOK.</p>	Updated quarterly or as directed by the Senior Project Manager
7.3	<p>Work Breakdown Structure (WBS) – Contains tiers showing project milestones or phases in the top level with a breakdown of major project tasks into manageable “work packages” underneath. Work packages at the bottom level shall have no smaller than two-week durations and have measurable, testable, or observable outputs suitable for tracking project progress.</p>	Updated quarterly or as directed by the Senior Project Manager
7.4	<p>Integrated Master Schedule – Based on the WBS (see 7.3 above) and suitable for tracking project activities. At a minimum, the Master Schedule shall show milestones, deliverables, times of performance,</p>	Update bi-weekly or as directed by the Senior Project

	degrees of completion and resources for all project activities during the SDLC. The activities durations in the master schedule shall have the appropriate degree of granularity to manage and track project progress. This is a single, base-lined and periodically updated deliverable encompassing all project activities.	Manager
7.5	Communications Plan – Captures the stakeholder contact list, the types of information to be disseminated, the format for each type, a schedule of when information will be produced and disseminated, and the method for updating the communications plan. This is a single deliverable maintained throughout the life of project.	Updated quarterly or as directed by the Senior Project Manager
7.6	Risk Management Plan (RMP) and Risk Registry – Describes the risk management procedures for the project. The RMP will include a table of potential risks and recommended risk responses, and will incorporate risk information found in deliverables provided by the Development Contractor. This is a single, periodically updated deliverable encompassing all project risks. A Risk Registry will be created for logging all project risk using MS Excel or other appropriate table format.	Update bi-weekly or as directed by the Senior Project Manager
7.7	Deliverable Comments Matrix (DCM) – Used to capture comments and recommended changes to each CAD/RMS Project technical deliverable prior to acceptance. A separate DCM is required for each deliverable or SDLC product.	Project deliverable due date + 5 working days
7.8	Change Management Plan – Describes the procedure for proposing, evaluating, approving, and documenting changes to project scope, schedule, and cost. This Plan shall include any tools or templates used for change management, for example, change request form.	Updated quarterly or as directed by the Senior Project Manager
7.9	Requirements Traceability Matrix (RTM) – Describes technical and functional requirements. At a minimum, requirements shall be numbered for traceability, testable and the descriptions unambiguous. The RTM shall contain acceptance criteria for each requirement and a test method for verifying completion based on the criteria.	Updated bi-weekly or as directed by the Senior Project Manager
7.10	Quality Assurance (QA) Plan – Describes how quality, meaning conformance to project requirements, will be monitored throughout the project life cycle. The QA Plan shall describe the steps for deliverable review and updating via the DCM process (see 7.7 above). The QA Plan shall describe the requirements tracking process via the requirements traceability process (see 7.9 above). The QA plan shall define signoff procedures for project milestones and deliverables.	Updated quarterly or as directed by the Senior Project Manager
7.11	Conversion Plan (Data and System) - describes the strategies involved in converting data from an existing system to another hardware or software environment.	To be determined by the Senior Project Manager
7.12	Master Status Report – Captures and tracks ongoing project activities and status. The report will capture activities completed in the past week, activities planned for the following week, and the completion status of project deliverables. The report will describe issues identified on the project and the status of efforts to resolve issues. The report will have sections describing necessary updates to the Integrated Master Schedule (Deliverable 7.4) and Master RMP (Deliverable 7.6). The report will document lessons learned from the project and any other pertinent status information.	At least bi-weekly or as directed by the Senior Project Manager
7.13	Business Process Document – Captures the business process	To be determined

	requirements for enterprise analysis. The Business Process Document shall contain sections that model the “As-Is” and “To-Be” business processes using techniques such as: SIPOC (Suppliers, Inputs, Process, Outputs, Customers) analysis, use case diagrams, process flowcharts, swim lane diagrams, activity diagrams, data flow diagrams (DFD), entity-relationship diagram (ERD), etc. The Business Process Document shall identify areas for business process re-engineering and document the To-Be processes after Implementation which may require organization change management activities.	by the Senior Project Manager
7.14	<i>Test Master Plan (TMP)</i> – Documents the scope, content, methodology, sequence, management of, and responsibilities for test activities. The plan shall communicate tasks and activities needed to ensure that the CAD/RMS system is adequately tested and can be successfully implemented	To be determined by the Senior Project Manager
7.15	Other management plans, such as <i>Human Resource Management</i> , <i>Cost Management</i> , and <i>Procurement Management</i> as deemed necessary by the TO Manager.	To be determined by the Senior Project Manager

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EXHIBT 1

DELIVERABLE PRODUCT ACCEPTANCE FORM (DPAF)

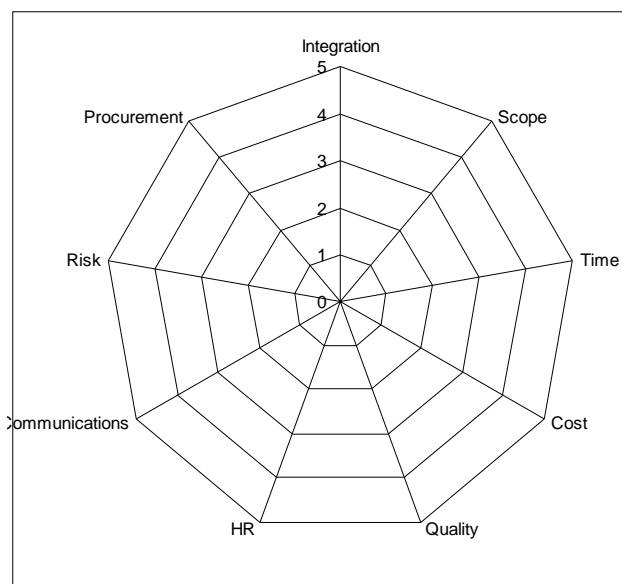
CAD/RMS Project Oversight (Deliverable # 7.1)

(Submitted monthly by the TO Contractor)

TO Contractor:
Date Submitted:
Performance Period (Month / Year):
Agency Name:
TO Manager / Agency Contact:
Reference BPO #

The Information Below Shall Be Filled-In by the Agency

CAD/RMS PROJECT OVERSIGHT PERFORMANCE RATING DISPOSITION:



PM Processes	Rating**
Integration Management	
Scope Management	
Schedule Management	
Cost Management	
Quality Management	
Human Resources Management	
Communications Management	
Risk Management	
Procurement Management	
Total Average Score	

**Rating is based on *CAD/RMS Project Oversight Performance Rating Criteria Sheet*. The Project Team shall maintain score of 3 or higher for each process area and/or average score of 3. Scores below 3 may trigger the Mitigation Procedures defined in Section 5 above.

Deliverable # 7.1 is acceptable.

Deliverable # 7.1 is rejected
(for reasons indicated below).

REASON(S) FOR UNACCEPTABLE FPM PERFORMANCE RATING (List Deliverables or PM Process Areas):

TO Manager Signature

Date Signed

CAD/RMS Project Oversight Performance Rating Criteria

The TO Manager will evaluate and rate the FPM's oversight performance based on the overall Project Team's performance in each of the nine Knowledge Areas below. Applicable processes shall score at 3 or higher.

Rating

Project Integration Management		Indicators of Process
0	Not applicable for project.	
1	Project Team has not established practices, standards, or processes for project. Work performed in ad hoc fashion and does not include integration management.	1. Project Charter
2	Project Team has established basic, documented processes for project planning and reporting exist. Management only involved on high-visibility projects.	2. Project Management Plan (PMP)
3	Project Team has institutionalized the Project integration efforts with documented procedures and standards. PM is beginning to integrate all project data.	3. Integrated Project Plan
4	Project Team utilizes processes/standards for project on a regular basis and integrated with other processes/systems. Decisions on project based on performance metrics.	4. Updated Project Schedule
5	Project Team has established best practices including project integration improvement procedures utilized. Lessons learned are regularly examined and used to improve documented processes.	
Project Scope Management		Indicators of Process
0	Not applicable for project.	
1	Project has general statement of functional requirements. Little or no scope management or documentation for project. Management and stakeholders are aware of key milestones only.	1. Project Scope Statement
2	Project Team has put basic scope management process in place. Scope management is meeting techniques irregularly.	2. Change Request and Approval Process
3	Project Team has implemented full project management process documented and is actively utilizing process on regular basis. Stakeholders are engaged and actively participating in scope decisions.	3. Requirements Traceability Matrix (RTM)
4	Project Team is utilizing full project management processes for the project. Projects managed and evaluated in light of other competing requirements.	4. Change Control Board
5	Project Team's effectiveness and efficiency metrics drive project scope decisions by appropriate levels of management.	
Project Time/Schedule Management		Indicators of Process
0	Not applicable for project.	
1	Project Team has not established planning or scheduling standards. Lack of documentation makes it difficult to achieve repeatable project success.	1. WBS
2	Project Team has established basic processes, but is not performing planning and scheduling on a regular basis.	2. Schedule Management Plan
3	Project Team has established document time management processes and utilizes on a regular basis. Project-wide integration includes project dependencies.	3. Activities duration based on historic data
4	Project Team has established good practices in time management including utilization of historical data to forecast future performance. Project management decisions based on efficiency and effectiveness metrics.	
5	Project Team has additionally incorporated improvement procedures utilized for time management processes. Lessons learned are examined and used to improve documented processes.	
Project Cost Management		Indicators of Process
0	Not applicable for project.	
1	Project Team has not established practices or standards. Cost process documentation is ad hoc and individual project members follow informal practices.	1. Cost Estimates Activity
2	Project Team has established processes exist for cost estimating, reporting, and performance measurement. Cost management processes are used for the project.	2. Project Cost Baseline
3	Project Team has standardized cost management practices for project team. Costs are fully integrated and reflect the true cost of the project.	3. Cost Management Plan
4	Project Team has integrated cost planning and tracking with Project Office, financial, and human resources systems. Standards tied to agency processes.	4. Cost Control
5	Project Team leverages lessons learned to improve documented processes. Project Team and management are actively using efficiency and effectiveness	

	metrics for decision making.	
Project Quality Management		
0	Not applicable for project.	Indicators of Process
1	Project Team has not established project quality practices or standards. Management is considering how they should define “quality”.	1. Quality Assurance Plan
2	Project Team has established basic organizational project quality policy has been adopted. Project Management and Team encourage quality processes and policy for project.	2. Deliverables Acceptance Criteria defined
3	Project Team has established well documented quality management process and instituted standards for the project. Regular quality management activities are being executed including deliverables acceptance.	3. User Acceptance Criteria (UAC) per SDLC phases
4	Project Team has best practices for standard quality management processes. Management is actively involved in coordinating quality standards and assurance. Some metrics are developed.	4. Formal Deliverable Acceptance Process
5	Project Team has implemented guidelines for implementing improvements back into the process. Metrics are key to product quality decisions throughout the SDLC.	
Project Human Resource Management		
0	Not applicable for project.	Indicators of Process
1	Project Team has not performed planning and staffing activities for project. Project teams are ad hoc. Human resource time and cost is not measured.	1. Organization Chart
2	Project Team has put processes in place that defines how to plan and manage human resources. Resource tracking is loosely performed for project.	2. Roles and responsibilities matrix
3	Project Team has established a regularly resource management process. Professional development program activities for team and organization have been established for successful implementation of project.	3. Staffing Management Plan
4	Project Team has implemented resource management best practices including resource forecasts used for project planning and prioritization. Project team performance measured and integrated with team development.	4. Team Training Plan
5	Project Team includes HR processes which engage teams to document project lessons learned. Improvements are incorporated into human resources management process.	5. Team performance assessment
Project Communication Management		
0	Not applicable for project.	Indicators of Process
1	Project Team performing communications management on an ad hoc basis with informal status reports to management.	1. Communication Management Plan
2	Project Team has established basic communications process including Communications Management Plan. Project progress reporting is occurring on a more regular basis.	2. Project Performance Reports
3	Project Team has active involvement by executing a formal project communications plan. All stakeholders and project team members are aware of communications process.	3. Stakeholder Contact
4	Project Team has implemented best practices for communications management plan for the project.	4. Processes for communication of Risk, Issues and Decisions
5	Project Team has put additional improvement process in place to continuously improve project communications management. Lessons learned are captured and incorporated.	
Project Risk Management		
0	Not applicable for project.	Indicators of Process
1	Project Team has not established any risk management practices or standards for project. Documentation is minimal and results are not shared. Risk response is reactive.	1. Risk Management Plan
2	Project Team has established basic risk management processes and have documented for the project. Team members are involved with risks process and risks are shared for project.	2. Risk Register
3	Project Team has established regular risk management processes and risk activities, including identification and mitigation planning, are actively utilized for project.	3. Process for Risk Register updates and communication of risk
4	Project Team has integrated risk processes with all aspect of project reporting including time, cost, and resource systems. Metrics are used to support risk decisions for the project.	4. Contingency plans for risk

5	Project Team has established best practices in risk management including continuous improvement processes to ensure project is continually measured and managed against performance metrics.	
Project Procurement Management		
0	Not applicable for project.	Indicators of Process
1	Project Team has not established procurement process for project. Processes are ad hoc at best with no clear plan defined.	1. Procurement Management Plan
2	Project Team has established basic process for procurement of goods and services for project. Procurement Management Plan has been developed for procurement of all project goods and services.	2. Contract Statement Of Work
3	Project Team has established standards for procurement management on project and integrated with Agency processes.	3. Evaluation Criteria
4	Project Team has leverage procurement management best practices such as make/buy decisions for the agency and project. Project procurement practices are integrated with project management mechanisms.	4. Cost Benefit Analysis
5	Project Team has instituted on-going process improvements focus on procurement efficiency and effective metrics.	5. Make/Buy Decisions

ATTACHMENT 3

RFR # W00B3400009

CAD/RMS PROJECT SENIOR PROJECT MANAGER (SPM) DUTIES & RESPONSIBILITIES

1. ROLE DEFINITIONS

The purpose of this section is to distinguish among the roles interacting with the SPM obtained through this RFR.

- A) Task Order (TO) Procurement Officer – Agency staff person responsible for managing the RFR process up to the point of TO award;
- B) TO Manager – Agency staff person who oversees the SPM’s work performance and administers the TO once it is awarded;
- C) TO Contractor – The CATS II Master Contractor awarded a TO as a result of this RFR. The TO Contractor shall provide the SPM resource and be accountable for SPM work performance under the TO.
- D) Senior Project Manager (SPM) – The person provided by the TO Contractor as a result of this RFR. The SPM is responsible for overall project planning and execution. The SPM is responsible for performing the duties and responsibilities described in Attachment 3, and for completing all requirements and deliverables under the TO. The SPM reports directly to the TO Manager and shall oversee and direct the Project Team made up of State and contractual personnel including the Technical Project Manager and Functional Project Manager. The Senior Project Manager is responsible for oversight of the Technical and Functional Project Manager’s activities and deliverables. The Senior Project Manager will provide direction and guidance to the Technical and Functional Project Manager in performing the duties and responsibilities under this SOW;
- E) Technical Project Manager (TPM) – The person provided by the TO Contractor as a result of this RFR. The TPM is responsible for overall technical project planning and execution. The TPM is responsible for performing the duties and responsibilities described in Attachment 4, and for completing all requirements and deliverables under the TO. The TPM reports to the Senior Project Manager and shall oversee and direct the Technical Project Teams members made up of State and contractual personnel;
- F) Functional Project Manager (FPM) - The person provided by the TO Contractor as a result of this RFR. The TPM is responsible for overall functional project planning and execution. The FPM is responsible for performing the duties and responsibilities described in Attachment 5, and for completing all requirements and deliverables under the TO. The FPM reports to the Senior Project Manager and shall oversee and direct the Functional Project Teams members made up of State and contractual personnel;
- G) Development Contractor – The Contractor responsible for COTS implementation, including their PM and other personnel assigned to the project. The Development Contractor reports to the PM for project purposes with oversight by the TO Manager.

2. SENIOR PROJECT MANAGER DUTIES AND RESPONSIBILITIES

The SPM shall oversee and direct the project team comprised of current State and contractual personnel. Responsibilities include overall project governance and direction, and implementing course corrections as needed. Duties shall focus on project monitoring, control, team integration,

change integration, and corrective action as needed. The position shall ensure the application of PMI and State SDLC standards in managing the project.

The SPM shall report to the TO Manager and perform the tasks described in the table below. The SPM shall be capable of performing all assigned tasks with self-sufficiency and minimal guidance from the TO Manager. SPM performance shall be rated each month based on performance in the nine PMBOK knowledge areas as applied to the CAD/RMS project, and the quality of the written deliverables described in Section 7 below. (see Exhibit 1 – Deliverable Product Acceptance Form for performance rating criteria).

An asterisk (*) by the section number below and bold italics identifies a deliverable associated with the duty / responsibility. Refer to Section 7 for full descriptions of all deliverables and time of performance. The SPM is expected to ensure and oversee the creation of any and all written deliverables that do not exist for the project, and review and oversee updating of those that do exist. The SPM will ensure that all deliverables are consistent with standards in the Project Management Institute (PMI) Project Management Body of Knowledge (PMBOK) and State of Maryland System Development Life Cycle (SDLC) (see Section 3 below).

SPM Project Management Duties	
2.1	Become thoroughly knowledgeable on all aspects of the CAD/RMS project.
2.2*	Provide <i>CAD/RMS Program Management (Deliverable 7.1)</i> consistent with PMI and PMBOK principles of project management and the State of Maryland SDLC. Manage and integrate project resources including oversight of the project team. Exercise PM best practices for the project and oversee project activities consistent with the nine knowledge areas including: <ul style="list-style-type: none"> • Procurement Management - consisting of procurement planning, contracts planning, authoring solicitations, evaluation, requesting solicitation responses, selecting contractor(s), administering contract(s), and contract(s) closing activities. • Schedule Management - consisting of activity definition and sequencing, resource estimating, duration estimating, schedule development, and schedule control activities. • Integration Management - consisting of project plan development, project plan execution, and integrated change control activities. • Scope Management - consisting of project initiation, scope planning, scope definition and scope change control activities. • Cost Management - consisting of resource planning, cost estimating, budgeting and cost control activities. • Human Resources Management - consisting of organizational planning, project team acquisition and staff development activities. • Risk Management - consisting of risk management planning, risk identification, risk quantitative and qualitative analysis, response planning, monitoring, and control activities. • Quality Management - consisting of quality planning, quality assurance and quality control activities. • Communications Management - consisting of communications planning, information distribution, progress and performance reporting, and stakeholder communications management activities.
2.3*	Create (if not available), review and oversee updating of the <i>Master Project Plan (Deliverable 7.2)</i> . Ensure that plan components adequately document how the project will be executed, monitored and controlled. Ensure that the plan adequately defines the managerial, technical, and supporting processes and activities necessary for sound project development. Ensure that the plan adequately covers topics such as Scope

	Management, Schedule Management, Quality Management, Resource Management, Communications Management, Project Change Management, Risk Management, Procurement Management and others as deemed necessary to manage the project.
2.4*	Create (if not available), review and oversee updating of the Work Breakdown Structure (WBS) (Deliverable 7.3) consistent with PMBOK standards for all project work.
2.5*	Create (if not available), review and oversee updating of the Integrated Master Schedule (Deliverable 7.4) based on the WBS (see 2.4 above) and usable for tracking project activities. This schedule should include all project management, agency and contractor activities in sufficient detail to manage the project. The schedule should include milestones, deliverables, periods of performance, degrees of completion, and assigned resources for all project activities. The activities duration in the master schedule should be at appropriate level of granularity to manage and track project progress. Oversee appropriate updates to the Project Management Plan (see 2.3 above) and related project components as outlined in the SDLC.
2.6	Oversee integration of the Development Contractor's plan and methodology into the Integrated Master Schedule (see 2.5 above) to track all project progress. Ensure appropriate updates to the Project Management Plan (see 2.3 above) and related project components as outlined in the SDLC.
2.7*	Create (if not available), review and oversee updating of the Communications Plan (Deliverable 7.5) for all project stakeholders including stakeholder contact list, distribution structure, description of information to be disseminated, schedule listing when information will be produced and method for updating the communications plan. Ensure all appropriate stakeholders have been identified and their requirements and expectations have been documented and managed within the scope of the project.
2.8*	Create (if not available), review and oversee updating of the Risk Management Plan (RMP) and Risk Registry (Deliverable 7.6) . The RMP shall identify and prioritize potential risks to successful completion of the CAD/RMS SDLC Phases. The RMP shall incorporate pertinent risk information found in the Master Project Status Report (see 2.14 below). The RMP will include a Risk Registry of all project risks that will be updated throughout the project.
2.9	Develop, document, implement and issue escalation and resolution processes for the project and communicate the process to all stakeholders.
2.10*	Ensure the Project Team has created and is updating a Deliverable Comments Matrix (DCM) (Deliverable 7.7) for each deliverable or SDLC product provided by the Development Contractor. Ensure that the Project Team reviews, and coordinates the review among appropriate stakeholders, of CAD/RMS project deliverables for completeness and conformance to requirements. Ensure the Project Team documents resulting issues and questions in the DCM to be resolved by the Development Contractor prior to deliverable acceptance. Ensure the Project Team reviews subsequent updated versions of deliverables to confirm all issues and questions have been resolved satisfactorily. The DCM process is part of the Quality Assurance Plan (see 2.13 below).
2.11*	Create (if not available), review and oversee updating of the Change Management Plan (Deliverable 7.8) that describes the process for making changes to project scope, requirements, or cost as necessary. At a minimum, the Change Management Plan should describe the change management and approval processes, and the tools used (i.e. change request form, change order). Processes should include:

	<ul style="list-style-type: none"> • Coordination with the TO Manager for review and approval of proposed changes to the project; • Coordination with Development Contractor for review and agreement on proposed changes; and • For approved changes, project integration management consistent with the PMBOK. <p>The SPM should ensure that the Project Team reviews the existing change management logs and determine which items will be taken forward for further analysis.</p>
2.12*	<p>Create (if not available), review and oversee updating of the Requirements Traceability Matrix (RTM) (Deliverable 7.9) that describes and provides a numbering system for all project requirements for traceability through testing. The RTM should include test scenarios and acceptance criteria for all technical and functional requirements.</p> <p>Ensure that the Project Team participates in requirements development as needed (see 2.29 below) and traces requirements through testing and implementation via updates to the RTM. RTM updates will be in conjunction with weekly requirements / design reviews (see 2.14 below). The RTM process is part of the Quality Assurance Plan (see 2.13 below).</p>
2.13*	<p>Create (if not available), review and oversee updating of the Quality Assurance (QA) Plan (Deliverable 7.10) that includes the following components at a minimum:</p> <ul style="list-style-type: none"> • Description of the process for QA on project deliverables via the DCM process (see 2.10 above). • Description of the process for QA on requirements using the RTM (see 2.12 above).
2.14*	<p>Ensure creation and ongoing updating of the Master Status Report (Deliverable 7.11). Oversee weekly Project Team meetings, to include the Development Contractor when appropriate, in which design / requirements reviews and discussions on project status, risk and issues occur. Require the Project Team to record project status, risk and issue dispositions for the past week, and planned activities for the week upcoming, in the Status Report. The Status Report should have sections describing PM activities and needed updates to the Integrated Master Schedule (see 2.5 above), Master RMP (see 2.8 above), and RTM (see 2.12 above). The Master Status Report shall contain a section for lessons learned from the project and any other pertinent status information.</p>
2.15	<p>Coordinate with the Project Team and Development Contractor to control the project to the Project Management Plan (see 2.3 above). Work with the Project Team and Development Contractor to address schedule variances. Ensure the documentation of schedule variances in the Integrated Master Schedule (see 2.5 above) and Master Status Report (see 2.14 above).</p>
2.16	<p>Ensure that the Project Team will collect, organize, store, and manage project documents in a central repository. This includes maintaining current and archival files (electronic and paper), collecting and distributing information to and from stakeholders, and entering updates into Agency internal weekly status reports and project tracking systems.</p>
2.17	<p>Function as a liaison between Agency personnel, project stakeholders and the Development Contractor.</p>
2.18	<p>Assign other minor duties related to project management support to the Project Team. Minor duties may include responding to phone calls and email, making photo copies, scheduling and attending ad hoc meetings, engaging in TO performance discussions, coordinating Development Contractor invoicing, and participating in Independent</p>

	Verification & Validation (IV&V) assessments.
2.19*	Ensure the creation/updating of other management plans as deemed necessary by the TO Manager. For example, a <i>Human Resource Management Plan, Cost Management Plan, and Procurement Management Plan (Deliverable 7.12)</i> .
2.20	Ensure change orders are managed in accordance with the Change Management Plan (see 2.11 above). Work with the TO Procurement Officer to define change order scope, cost, and project impact. Perform cost-benefit analyses, and provide valid justifications for change orders. Document and coordinate the implementation of change orders with the TO Manager and Development Contractor.
2.21	Ensure project governance processes are documented and practiced.
2.22	Ensure development of a written procedure for configuration control for application code promotion.
2.23	Identify project tasks and assignments and work with agency and Development Contractor to resolve workload conflicts.
2.24	Coordinate the Project Team’s interaction with IV&V contractors and ensure the availability of all project artifacts for IV&V assessments.
2.25	Work closely with the Project Team and Development Contractor to develop or review and update detailed project requirements. Requirements activities may include: <ul style="list-style-type: none"> • Stakeholder interviews; • Documenting before and after business processes; • Review of existing requirements documentation; • Joint Application Development (JAD) sessions; • COTS software “gap fit analysis”; • Demonstrations of existing similar systems (benchmarking); and • Requirements walkthroughs
2.26	Control the scope of the project leveraging tools such as the RTM (see 2.12 above) and change management activities.
2.27	Other project-related duties as assigned by TO Manager.

3. REQUIRED PROJECT POLICIES, GUIDELINES AND METHODOLOGIES

The SPM shall keep informed of and comply with all applicable laws, regulations, policies, standards and guidelines affecting information technology projects applicable to activities and obligations under the TO Agreement, as those laws, policies, standards and guidelines may be amended from time to time. The SPM shall adhere to and remain abreast of current, new, and revised laws, regulations, policies, standards and guidelines affecting project execution and it shall obtain and maintain, at its expense, all licenses, permits, insurance, and governmental approvals, if any, necessary to the performance of its obligations under the TO Agreement. These may include, but are not limited to:

- A) The nine project management knowledge areas in the PMI’s PMBOK.
- B) The State’s SDLC methodology at: www.doit.maryland.gov - keyword: SDLC.
- C) The State’s IT Security Policy and Standards at: www.DoIT.maryland.gov - keyword: Security Policy.
- D) The State’s IT Project Oversight at: www.DoIT.maryland.gov - keyword: IT Project Oversight.
- E) The State’s of Maryland Enterprise Architecture at www.DoIT.maryland.gov - keyword: MTAF (Maryland Technical Architecture Framework).

4. MONTHLY SPM PROJECT OVERSIGHT PERFORMANCE RATINGS

Each month the TO Contractor shall submit a Deliverable Project Acceptance Form (DPAF) to the TO Manager for the deliverable CAD/RMS Program Management (Deliverable 7.1). The TO Manager will rate the SPM's performance based on the criteria described in the DPAF. In the event of poor or non-performance by the SPM resulting in a rating of "unacceptable," payment shall be withheld pending the outcome of the procedures described in Section 5.

5. MITIGATION PROCEDURES FOR POOR OR NON-PERFORMANCE

As warranted by poor or non-performance by the SPM, the Agency shall pursue the following mitigation procedures prior to requesting a replacement SPM:

- A) The TO Manager shall document performance issues and give written notice to the TO Contractor clearly describing problems and delineating remediation requirement(s).
- B) The TO Contractor shall respond with a written remediation plan within three business days and implement the plan immediately upon written acceptance by the TO Manager.
- C) Should performance issues persist, the TO Manager may give written notice or request the immediate removal of the SPM and determine whether a substitution is required.

6. WORK HOURS

The SPM will work an eight-hour day between the hours of 7:00 AM and 6:00 PM, Monday through Friday except for State holidays. Alternatively, at the sole discretion of the TO Manger, the SPM may follow DoIT's compressed work week schedule. Duties also may require some evening and/or weekend hours billed on actual time worked at the proposed hourly rate.

7. SENIOR PROJECT MANAGER DELIVERABLES AND TIME OF PERFORMANCE

The table below describes the deliverables required under the TO and corresponding Time of Performance based on Notice To Proceed (NTP).

ID #	Deliverable Description	Time of Performance
7.1	<p>CAD/RMS Program Management – Encompasses the duties and responsibilities in Section 2 above and culminates in the overall effective oversight and control of the CAD/RMS project. This is a single continuous deliverable encompassing all other deliverables described in this section.</p> <p>Note - The quality of this deliverable is based on performance in the nine PMBOK knowledge areas as applied to the CAD/RMS project, and the quality of the written deliverables in this section.</p> <p>The CAD/RMS Project Oversight deliverable shall be assessed by the TO Manager via the process described in Section 4 above.</p>	Throughout the duration of the TO
<p><i>Note – for each of the written deliverables below, ongoing quality will be a factor in the Monthly Performance Rating described in Section 4 above.</i></p>		
7.2	<p>Master Project Plan – Defines how the project will be executed, monitored and controlled. The document will be developed with input</p>	Updated quarterly or as directed by

	from the project team and key stakeholders. The plan should address topics including Scope Management, Schedule Management, Financial Management, Quality Management, Resource Management, Communications Management, Project Change Management, Risk Management, and Procurement Management as defined in the PMBOK.	the TO Manager
7.3	Work Breakdown Structure (WBS) – Contains tiers showing project milestones or phases in the top level with a breakdown of major project tasks into manageable “work packages” underneath. Work packages at the bottom level should have no smaller than two-week durations and have measurable, testable, or observable outputs suitable for tracking project progress.	Updated quarterly or as directed by the TO Manager
7.4	Integrated Master Schedule – Based on the WBS (see 7.3 above) and suitable for tracking project activities. At a minimum, the Master Schedule shall show milestones, deliverables, times of performance, degrees of completion and resources for all project activities during the SDLC. The activities durations in the master schedule should have the appropriate degree of granularity to manage and track project progress. This is a single, base-lined and periodically updated deliverable encompassing all project activities.	Update bi-weekly or as directed by the TO Manager
7.5	Communications Plan – Captures the stakeholder contact list, the types of information to be disseminated, the format for each type, a schedule of when information will be produced and disseminated, and the method for updating the communications plan. This is a single deliverable maintained throughout the life of project.	Updated quarterly or as directed by the TO Manager
7.6	Risk Management Plan (RMP) and Risk Registry – Describes the risk management procedures for the project. The RMP will include a table of potential risks and recommended risk responses, and will incorporate risk information found in deliverables provided by the Development Contractor. This is a single, periodically updated deliverable encompassing all project risks. A Risk Registry will be created for logging all project risk using MS Excel or other appropriate table format.	Update bi-weekly or as directed by the TO Manager
7.7	Deliverable Comments Matrix (DCM) – Used to capture comments and recommended changes to each CAD/RMS Project deliverable prior to acceptance. A separate DCM is required for each deliverable or SDLC product.	Project deliverable due date + 5 working days
7.8	Change Management Plan – Describes the procedure for proposing, evaluating, approving, and documenting changes to project scope, schedule, and cost. This Plan should include any tools or templates used for change management, for example, change request form.	Updated quarterly or as directed by the TO Manager
7.9	Requirements Traceability Matrix (RTM) – Describes technical and functional requirements. At a minimum, requirements should be numbered for traceability, testable and the descriptions unambiguous. The RTM should contain acceptance criteria for each requirement and a test method for verifying completion based on the criteria.	Updated bi-weekly or as directed by the TO Manager
7.10	Quality Assurance (QA) Plan – Describes how quality, meaning conformance to project requirements, will be monitored throughout the project life cycle. The QA Plan should describe the steps for deliverable review and updating via the DCM process (see 7.7 above). The QA Plan should describe the requirements tracking process via the requirements traceability process (see 7.9 above). The QA plan should define signoff procedures for project milestones and deliverables.	Updated quarterly or as directed by the TO Manager

7.11	<p>Master Status Report – Captures and tracks ongoing project activities and status. The report will capture activities completed in the past week, activities planned for the following week, and the completion status of project deliverables. The report will describe issues identified on the project and the status of efforts to resolve issues.</p> <p>The report will have sections describing necessary updates to the Integrated Master Schedule (Deliverable 7.4) and Master RMP (Deliverable 7.6). The report will document lessons learned from the project and any other pertinent status information.</p>	At least bi-weekly or as directed by the TO Manager
7.12	Other management plans, such as <i>Human Resource Management</i> , <i>Cost Management</i> , and <i>Procurement Management</i> as deemed necessary by the TO Manager.	To be determined by the TO Manager

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EXHIBIT 1

DELIVERABLE PRODUCT ACCEPTANCE FORM (DPAF)

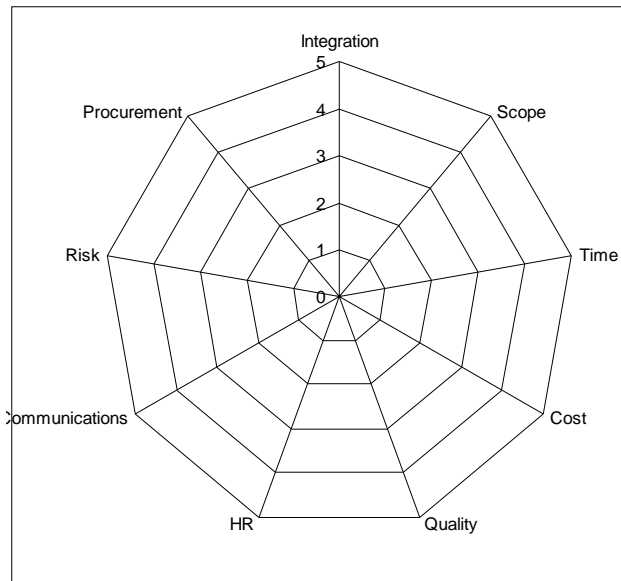
CAD/RMS Project Oversight (Deliverable # 7.1)

(Submitted monthly by the TO Contractor)

TO Contractor:
Date Submitted:
Performance Period (Month / Year):
Agency Name:
TO Manager / Agency Contact:
Reference BPO #

The Information Below Shall Be Filled-In by the Agency

CAD/RMS PROJECT OVERSIGHT PERFORMANCE RATING DISPOSITION:



PM Processes	Rating**
Procurement Management	
Schedule Management	
Scope Management	
Cost Management	
Risk Management	
Human Resources Management	
Quality Management	
Communications Management	
Integration Management	
Total Average Score	

**Rating is based on *CAD/RMS Project Oversight Performance Rating Criteria Sheet*. The Project Team should maintain score of 3 or higher for each process area and/or average score of 3. Scores below 3 may trigger the Mitigation Procedures defined in Section 5 above.

Deliverable # 7.1 is acceptable.

Deliverable # 7.1 is rejected (for reasons indicated below).

REASON(S) FOR UNACCEPTABLE SPM PERFORMANCE RATING (List Deliverables or PM Process Areas):

 TO Manager Signature

 Date Signed

CAD/RMS Project Oversight Performance Rating Criteria

The TO Manager will evaluate and rate the SPM's oversight performance based on the overall Project Team's performance in each of the nine Knowledge Areas below. Applicable processes should score at 3 or higher.

Rating

Project Integration Management		Indicators of Process
0	Not applicable for project.	
1	Project Team has not established practices, standards, or processes for project. Work performed in ad hoc fashion and does not include integration management.	1. Project Charter
2	Project Team has established basic, documented processes for project planning and reporting exist. Management only involved on high-visibility projects.	2. Project Management Plan (PMP)
3	Project Team has institutionalized the Project integration efforts with documented procedures and standards. PM is beginning to integrate all project data.	3. Integrated Project Plan
4	Project Team utilizes processes/standards for project on a regular basis and integrated with other processes/systems. Decisions on project based on performance metrics.	4. Updated Project Schedule
5	Project Team has established best practices including project integration improvement procedures utilized. Lessons learned are regularly examined and used to improve documented processes.	
Project Scope Management		Indicators of Process
0	Not applicable for project.	
1	Project has general statement of functional requirements. Little or no scope management or documentation for project. Management and stakeholders are aware of key milestones only.	1. Project Scope Statement
2	Project Team has put basic scope management process in place. Scope management is meeting techniques irregularly.	2. Change Request and Approval Process
3	Project Team has implemented full project management process documented and is actively utilizing process on regular basis. Stakeholders are engaged and actively participating in scope decisions.	3. Requirements Traceability Matrix (RTM)
4	Project Team is utilizing full project management processes for the project. Projects managed and evaluated in light of other competing requirements.	4. Change Control Board
5	Project Team's effectiveness and efficiency metrics drive project scope decisions by appropriate levels of management.	
Project Time/Schedule Management		Indicators of Process
0	Not applicable for project.	
1	Project Team has not established planning or scheduling standards. Lack of documentation makes it difficult to achieve repeatable project success.	1. WBS
2	Project Team has established basic processes, but is not performing planning and scheduling on a regular basis.	2. Schedule Management Plan
3	Project Team has established document time management processes and utilizes on a regular basis. Project-wide integration includes project dependencies.	3. Activities duration based on historic data
4	Project Team has established good practices in time management including utilization of historical data to forecast future performance. Project management decisions based on efficiency and effectiveness metrics.	
5	Project Team has additionally incorporated improvement procedures utilized for time management processes. Lessons learned are examined and used to improve documented processes.	
Project Cost Management		Indicators of Process
0	Not applicable for project.	
1	Project Team has not established practices or standards. Cost process documentation is ad hoc and individual project members follow informal practices.	1. Cost Estimates Activity
2	Project Team has established processes exist for cost estimating, reporting, and performance measurement. Cost management processes are used for the project.	2. Project Cost Baseline
3	Project Team has standardized cost management practices for project team. Costs are fully integrated and reflect the true cost of the project.	3. Cost Management Plan
4	Project Team has integrated cost planning and tracking with Project Office, financial, and human resources systems. Standards tied to agency processes.	4. Cost Control
5	Project Team leverages lessons learned to improve documented processes. Project Team and management are actively using efficiency and effectiveness	

	metrics for decision making.	
Project Quality Management		
0	Not applicable for project.	Indicators of Process
1	Project Team has not established project quality practices or standards. Management is considering how they should define “quality”.	1. Quality Assurance Plan
2	Project Team has established basic organizational project quality policy has been adopted. Project Management and Team encourage quality processes and policy for project.	2. Deliverables Acceptance Criteria defined
3	Project Team has established well documented quality management process and instituted standards for the project. Regular quality management activities are being executed including deliverables acceptance.	3. User Acceptance Criteria (UAC) per SDLC phases
4	Project Team has best practices for standard quality management processes. Management is actively involved in coordinating quality standards and assurance. Some metrics are developed.	4. Formal Deliverable Acceptance Process
5	Project Team has implemented guidelines for implementing improvements back into the process. Metrics are key to product quality decisions throughout the SDLC.	
Project Human Resource Management		
0	Not applicable for project.	Indicators of Process
1	Project Team has not performed planning and staffing activities for project. Project teams are ad hoc. Human resource time and cost is not measured.	1. Organization Chart
2	Project Team has put processes in place that defines how to plan and manage human resources. Resource tracking is loosely performed for project.	2. Roles and responsibilities matrix
3	Project Team has established a regularly resource management process. Professional development program activities for team and organization have been established for successful implementation of project.	3. Staffing Management Plan
4	Project Team has implemented resource management best practices including resource forecasts used for project planning and prioritization. Project team performance measured and integrated with team development.	4. Team Training Plan
5	Project Team includes HR processes which engage teams to document project lessons learned. Improvements are incorporated into human resources management process.	5. Team performance assessment
Project Communication Management		
0	Not applicable for project.	Indicators of Process
1	Project Team performing communications management on an ad hoc basis with informal status reports to management.	1. Communication Management Plan
2	Project Team has established basic communications process including Communications Management Plan. Project progress reporting is occurring on a more regular basis.	2. Project Performance Reports
3	Project Team has active involvement by executing a formal project communications plan. All stakeholders and project team members are aware of communications process.	3. Stakeholder Contact
4	Project Team has implemented best practices for communications management plan for the project.	4. Processes for communication of Risk, Issues and Decisions
5	Project Team has put additional improvement process in place to continuously improve project communications management. Lessons learned are captured and incorporated.	
Project Risk Management		
0	Not applicable for project.	Indicators of Process
1	Project Team has not established any risk management practices or standards for project. Documentation is minimal and results are not shared. Risk response is reactive.	1. Risk Management Plan
2	Project Team has established basic risk management processes and have documented for the project. Team members are involved with risks process and risks are shared for project.	2. Risk Register
3	Project Team has established regular risk management processes and risk activities, including identification and mitigation planning, are actively utilized for project.	3. Process for Risk Register updates and communication of risk
4	Project Team has integrated risk processes with all aspect of project reporting including time, cost, and resource systems. Metrics are used to support risk decisions for the project.	4. Contingency plans for risk

5	Project Team has established best practices in risk management including continuous improvement processes to ensure project is continually measured and managed against performance metrics.	
Project Procurement Management		
0	Not applicable for project.	Indicators of Process
1	Project Team has not established procurement process for project. Processes are ad hoc at best with no clear plan defined.	1. Procurement Management Plan
2	Project Team has established basic process for procurement of goods and services for project. Procurement Management Plan has been developed for procurement of all project goods and services.	2. Contract Statement Of Work
3	Project Team has established standards for procurement management on project and integrated with Agency processes.	3. Evaluation Criteria
4	Project Team has leverage procurement management best practices such as make/buy decisions for the agency and project. Project procurement practices are integrated with project management mechanisms.	4. Cost Benefit Analysis
5	Project Team has instituted on-going process improvements focus on procurement efficiency and effective metrics.	5. Make/Buy Decisions

ATTACHMENT 4

RFR # W00B340009

CAD/RMS PROJECT TECHNICAL PROJECT MANAGER (TPM) DUTIES & RESPONSIBILITIES

1. ROLE DEFINITIONS

The purpose of this section is to distinguish among the roles interacting with the TPM obtained through this RFR.

- A) Task Order (TO) Procurement Officer – Agency staff person responsible for managing the RFR process up to the point of TO award;
- B) TO Manager – Agency staff person who oversees the TPM’s work performance and administers the TO once it is awarded;
- C) TO Contractor – The CATS II Master Contractor awarded a TO as a result of this RFR. The TO Contractor shall provide the TPM resource and be accountable for TPM work performance under the TO.
- D) Senior Project Manager (SPM) – The person provided by the TO Contractor as a result of this RFR. The SPM is responsible for overall project planning and execution. The SPM is responsible for performing the duties and responsibilities described in Attachment 3, and for completing all requirements and deliverables under the TO. The SPM reports directly to the TO Manager and shall oversee and direct the Project Team made up of State and contractual personnel including the Technical Project Manager and Functional Project Manager. The Senior Project Manager is responsible for oversight of the Technical and Functional Project Manager’s activities and deliverables. The Senior Project Manager will provide direction and guidance to the Technical and Functional Project Manager in performing the duties and responsibilities under this SOW;
- E) Technical Project Manager (TPM) – The person provided by the TO Contractor as a result of this RFR. The TPM is responsible for overall technical project planning and execution. The TPM is responsible for performing the duties and responsibilities described in Attachment 4, and for completing all requirements and deliverables under the TO. The TPM reports to the Senior Project Manager and shall oversee and direct the Technical Project Teams members made up of State and contractual personnel;
- F) Functional Project Manager (FPM) - The person provided by the TO Contractor as a result of this RFR. The TPM is responsible for overall functional project planning and execution. The FPM is responsible for performing the duties and responsibilities described in Attachment 5, and for completing all requirements and deliverables under the TO. The FPM reports to the Senior Project Manager and shall oversee and direct the Functional Project Teams members made up of State and contractual personnel;
- G) Development Contractor – The Development Contractor responsible for COTS integration, including their PM and other personnel assigned to the project. The Development Contractor reports to the PM for project purposes with oversight by the Senior Project Manager.

2. TECHNICAL PROJECT MANAGER DUTIES AND RESPONSIBILITIES

The TPM shall oversee and direct the technical project teams comprised of current State and contractual personnel. Responsibilities include project governance and direction, technical architecture, and implementing course corrections as needed. Duties shall focus on technical project monitoring, project execution, project control, team integration, change integration, and corrective action as needed. The position shall ensure the application of PMI's PMBOK as well as the State of Maryland's Information Technology Security Policy and Standards, Enterprise Architecture, and SDLC standards in managing the project.

The TPM shall report to the Senior Project Manager and perform the tasks described in the table below. The TPM shall be capable of performing all assigned tasks with self-sufficiency and minimal guidance from the Senior Project Manager. TPM performance shall be rated each month based on performance in the nine PMBOK knowledge areas as applied to the CAD/RMS project, and the quality of the written deliverables described in Section 7 below (See Exhibit 1 below – Deliverable Product Acceptance Form for performance rating criteria).

An asterisk (*) by the section number below and bold italics identifies a deliverable associated with the duty / responsibility. Refer to Section 7 for full descriptions of all deliverables and time of performance. The TPM is expected to ensure and oversee the creation of any and all written deliverables that do not exist for the project, and review and oversee updating of those that do exist. The TPM will ensure that all deliverables are consistent with standards in the PMI's PMBOK and State's System Development Life Cycle (SDLC) (see Section 3 below).

Technical Project Management Duties	
2.1	Become thoroughly knowledgeable on all aspects of the CAD/RMS project including technical knowledge of software applications being utilize by the project.
2.2	Provide guidance and oversight on all aspects of Technical Project Teams (Data warehouse, Portal, Integration, Development, Conversion, Configuration Management and others). Provide guidance on technical aspects of project to include: <ul style="list-style-type: none"> • Technical Architecture (Hardware, System Security, Data Warehouse, Portal, Network and etc.) • Programming Standards and Guidelines in compliance with State of Maryland • Development methodology, frameworks and project tools • Technical and Non-functional requirements analysis and management
2.3*	Perform <i>CAD/RMS Technical Management (Deliverable 7.1)</i> consistent with PMI and PMBOK principles of project management and the State of Maryland SDLC. Manage and integrate project resources including oversight of the technical project team. Exercise PM best practices for the project and oversee project activities consistent with the nine knowledge areas including: <ul style="list-style-type: none"> • Procurement Management - consisting of procurement planning, contracts planning, authoring solicitations, evaluation, requesting solicitation responses, selecting contractor(s), administering contract(s), and contract(s) closing activities. • Schedule Management - consisting of activity definition and sequencing, resource estimating, duration estimating, schedule development, and schedule control activities. • Integration Management - consisting of project plan development, project plan execution, and integrated change control activities. • Scope Management - consisting of project initiation, scope planning, scope definition and scope change control activities. • Cost Management - consisting of resource planning, cost estimating, budgeting and

	<p>cost control activities.</p> <ul style="list-style-type: none"> • Human Resources Management - consisting of organizational planning, technical project team acquisition and staff development activities. • Risk Management - consisting of risk management planning, risk identification, risk quantitative and qualitative analysis, response planning, monitoring, and control activities. • Quality Management - consisting of quality planning, quality assurance and quality control activities. • Communications Management - consisting of communications planning, information distribution, progress and performance reporting, and stakeholder communications management activities.
2.4*	Review and provide input and updates to the Master Project Plan (Deliverable 7.2) . Ensure that plan components adequately document how the project will be executed, monitored and controlled. Ensure that the plan adequately defines the managerial, technical, and supporting processes and activities necessary for sound project development. Ensure that the plan adequately covers topics such as Scope Management, Schedule Management, Quality Management, Resource Management, Communications Management, Project Change Management, Risk Management, Procurement Management and others as deemed necessary to manage the project.
2.5*	Review and provide input and updates to the Work Breakdown Structure (WBS) (Deliverable 7.3) consistent with PMBOK standards for all project work.
2.6*	Review and provide input and updates to the Integrated Master Schedule (Deliverable 7.4) based on the WBS (see 2.5 above) and usable for tracking project activities. This schedule shall include all project management, agency and contractor activities in sufficient detail to manage the project. The schedule shall include milestones, deliverables, periods of performance, degrees of completion, and assigned resources for all project activities. The activities duration in the master schedule shall be at appropriate level of granularity to manage and track project progress.
2.7	Provide input and updates to the integration of the Development Contractor's plan and methodology into the Integrated Master Schedule (see 2.6 above) to track all project progress. Ensure appropriate updates to the Project Management Plan (see 2.4 above) and related project components as outlined in the SDLC.
2.8*	Review and provide input and updates to the Communications Plan (Deliverable 7.5) for all project stakeholders including stakeholder contact list, distribution structure, description of information to be disseminated, schedule listing when information will be produced and method for updating the communications plan. Ensure all appropriate stakeholders have been identified and their requirements and expectations have been documented and managed within the scope of the project.
2.9*	Review and provide input and updates to the Risk Management Plan (RMP) and Risk Registry (Deliverable 7.6) . The RMP shall identify and prioritize potential risks to successful completion of the CAD/RMS SDLC Phases. The RMP shall incorporate pertinent risk information found in the Master Project Status Report (see 2.15 below). The RMP will include a Risk Registry of all project risks that will be updated throughout the project.
2.10	Implement and adhere to issue escalation and resolution processes for the project and communicate the process to all stakeholders.
2.11*	Ensure the Technical Project Teams has created and is updating a Deliverable Comments Matrix (DCM) (Deliverable 7.7) for each deliverable or SDLC product provided by the Development Contractor. Ensure that the Technical Project Teams reviews, and coordinates the review among appropriate stakeholders, of CAD/RMS project deliverables for completeness and conformance to requirements. Ensure the

	<p>Technical Project Team documents resulting issues and questions in the DCM to be resolved by the Development Contractor prior to deliverable acceptance. Ensure the Technical Project Team reviews subsequent updated versions of deliverables to confirm all issues and questions have been resolved satisfactorily.</p> <p>The DCM process is part of the Quality Assurance Plan (see 2.14 below).</p>
2.12*	<p>Review and provide input and updates to the <i>Change Management Plan (Deliverable 7.8)</i> that describes the process for making changes to project scope, requirements, or cost as necessary. At a minimum, the Change Management Plan shall describe the change management and approval processes, and the tools used (i.e. change request form, change order). Processes shall include:</p> <ul style="list-style-type: none"> • Coordination with the TO Manager for review and approval of proposed changes to the project; • Coordination with Development Contractor for review and agreement on proposed changes; and • For approved changes, project integration management consistent with the PMBOK. <p>The TPM shall ensure that the Technical Project Team reviews the existing change management logs and determine which items will be taken forward for further analysis.</p>
2.13*	<p>Review and provide input and updates of the <i>Requirements Traceability Matrix (RTM) (Deliverable 7.9)</i> that describes and provides a numbering system for all project requirements for traceability through testing. The RTM shall include test scenarios and acceptance criteria for all technical and functional requirements.</p> <p>Ensure that the Technical Project Team participates in requirements process as needed and traces requirements through testing and implementation via updates to the RTM. RTM updates will be in conjunction with weekly requirements / design reviews (see 2.15 below). The RTM process is part of the Quality Assurance Plan (see 2.14 below).</p>
2.14*	<p>Review and provide input and updates to the <i>Quality Assurance (QA) Plan (Deliverable 7.10)</i> that includes the following components at a minimum:</p> <ul style="list-style-type: none"> • Description of the process for QA on project deliverables via the DCM process (see 2.11 above). • Description of the process for QA on requirements using the RTM (see 2.13 above).
2.15*	<p>Ensure input and ongoing updating to the <i>Master Status Report (Deliverable 7.11)</i>. Oversee weekly Technical Project Team meetings, to include the Development Contractor when appropriate, in which design / requirements reviews and discussions on project status, risk and issues occur. Require the Technical Project Team to record project status, risk and issue dispositions for the past week, and planned activities for the week upcoming, in the Status Report. The Status Report shall have sections describing PM activities and needed updates to the Integrated Master Schedule (see 2.6 above), Master RMP (see 2.9 above), and RTM (see 2.13 above). The Master Status Report shall contain a section for lessons learned from the project and any other pertinent status information.</p>
2.16	<p>Coordinate with the Technical Project Teams and Development Contractor's technical resources to control the project to the Project Management Plan (see 2.4 above). Work with the Technical Project Teams and Development Contractor's technical resources to address schedule variances. Ensure the documentation of schedule variances in the Integrated Master Schedule (see 2.6 above) and Master Status Report (see 2.15 above).</p>
2.17	<p>Ensure that the Technical Project Teams will collect, organize, store, and manage project documents in a central repository. This includes maintaining current and</p>

	archival files (electronic and paper), collecting and distributing information to and from stakeholders, and entering updates into Agency internal weekly status reports and project tracking systems.
2.18	Function as a liaison between Agency personnel, project stakeholders, the Development Contractor's technical resources, and Technical Project Teams.
2.19	Assign other minor duties related to project management support to the Technical Project Team. Minor duties may include responding to phone calls and email, making photo copies, scheduling and attending ad hoc meetings, engaging in TO performance discussions, coordinating Development Contractor invoicing, and participating in Independent Verification & Validation (IV&V) assessments.
2.20*	Ensure the input/updates to other management plans as deemed necessary by the Senior Project Manager. For example, a <i>Human Resource Management Plan, Cost Management Plan, and Procurement Management Plan (Deliverable 7.12)</i> .
2.21	Ensure change orders are managed in accordance with the Change Management Plan (see 2.12 above). Work with the TO Procurement Officer to define change order scope, cost, and project impact. Perform cost-benefit analyses, and provide valid justifications for change orders. Document and coordinate the implementation of change orders with the Senior Project Manager and Development Contractor.
2.22	Ensuring secure data capture, transfer and storage for the CAD/RMS system.
2.23	Ensure development of a written procedure for configuration control for application code promotion.
2.24	Coordinate, setup and support configuration of multiple system environments (Production, Staging/Test, DR)
2.25	Identify project tasks and assignments and work with Agency, Development Contractor's Technical resources, and Project Technical Teams to resolve workload conflicts.
2.26	Coordinate the Technical Project Teams' interaction with IV&V contractors and ensure the availability of all project artifacts for IV&V assessments.
2.27	<p>Work closely with the Technical Project Teams and Development Contractor's Technical resources to develop or review and update detailed project documents.</p> <p>Documents may include:</p> <ul style="list-style-type: none"> • Hardware Evaluation; • Architecture and Technical Strategy Documents; • Design Specification Documents; • Detail Design Documents; • Software Development Document; • Joint Application Development (JAD) Document; • Technical Process Definition and Requirements • Security Plan; • Data Conversion Strategy and Plan • Technical Process Definition and Requirements • Data Retention Plan; • Disaster Recovery Plan; • Integration Document; • Implementation Plan; • Operations or System Administration Manual; • Maintenance Manual; and • Release Notes
2.28	Control the scope of the project leveraging tools such as the RTM (see 2.13 above) and

	change management activities.
2.29	Be responsible for managing the integrated project schedule and keeping the project schedule updated on a weekly basis. The TPM shall gather updates to the task activities and report to the Senior Project Manager on all schedule variances.
2.30	Other project-related duties as assigned by Senior Project Manager.

3. REQUIRED PROJECT POLICIES, GUIDELINES AND METHODOLOGIES

The TPM shall keep informed of and comply with all applicable laws, regulations, policies, standards and guidelines affecting information technology projects applicable to activities and obligations under the TO Agreement, as those laws, policies, standards and guidelines may be amended from time to time. The TPM shall adhere to and remain abreast of current, new, and revised laws, regulations, policies, standards and guidelines affecting project execution and it shall obtain and maintain, at its expense, all licenses, permits, insurance, and governmental approvals, if any, necessary to the performance of its obligations under the TO Agreement. These may include, but are not limited to:

- A) The nine project management knowledge areas in the PMI’s PMBOK.
- B) The State’s SDLC methodology at: www.doit.maryland.gov - keyword: SDLC.
- C) The State’s IT Security Policy and Standards at: www.DoIT.maryland.gov - keyword: Security Policy.
- D) The State’s IT Project Oversight at: www.DoIT.maryland.gov - keyword: IT Project Oversight.
- E) The State’s of Maryland Enterprise Architecture at www.DoIT.maryland.gov - keyword: MTAF (Maryland Technical Architecture Framework).

4. MONTHLY TPM PERFORMANCE RATINGS

Each month the TO Contractor shall submit a Deliverable Project Acceptance Form (DPAF) (Exhibit 1 below) to the Senior Project Manager for approval of the deliverable *CAD/RMS Technical Management* (Deliverable 7.1). The CAD/RMS Project Manager will rate the TPM’s performance based on the criteria described in the DPAF. In the event of poor or non-performance by the TPM resulting in a rating of “unacceptable,” payment shall be withheld pending the outcome of the procedures described in Section 5.

5. MITIGATION PROCEDURES FOR POOR OR NON-PERFORMANCE

As warranted by poor or non-performance by the TPM, the Agency shall pursue the following mitigation procedures prior to requesting a replacement TPM:

- A) The TO Manager shall document performance issues and give written notice to the TO Contractor clearly describing problems and delineating remediation requirement(s).
- B) The TO Contractor shall respond with a written remediation plan within three business days and implement the plan immediately upon written acceptance by the TO Manager.
- C) Should performance issues persist, the TO Manager may give written notice or request the immediate removal of the TPM and determine whether a substitution is required.

6. WORK HOURS

Standard State office hours 8:00 AM to 5:00 PM, Monday through Friday, except for State holidays, unless the State office adheres to a compressed work week schedule. The TPM may work from the State offices at any time during these standard hours. Arrangements may be made to work from State offices during non-standard work hours, at the discretion of the CAD/RMS Project Manager and the State.

Duties of the TPM may require working hours not contained to these standard hours, including evenings and/or weekends as the requirements of the position warrant.

7. DELIVERABLES AND TIME OF PERFORMANCE

The table below describes the deliverables required under the TO and corresponding Time of Performance based on Notice To Proceed (NTP).

ID #	Deliverable Description	Time of Performance
7.1	<p>CAD/RMS Technical Management – Encompasses the duties and responsibilities in Section 2 above and culminates in the overall effective oversight and control of the technical management components of the CAD/RMS project. This is a single continuous deliverable encompassing all other deliverables described in this section.</p> <p>Note - The quality of this deliverable is based on performance in the nine PMBOK knowledge areas as applied to the technical management components of the CAD/RMS project, and the quality of the written deliverables in this section.</p> <p>The CAD/RMS Technical Management deliverable shall be assessed by the Senior Project Manager via the process described in Section 4 above.</p>	Throughout the duration of the TO
<p><i>Note – for each of the written deliverables below, ongoing quality will be a factor in the Monthly Performance Rating described in Section 4 above.</i></p>		
7.2	<p>Master Project Plan – Defines how the project will be executed, monitored and controlled. The document will be developed with input from the project team and key stakeholders. The plan shall address topics including Scope Management, Schedule Management, Financial Management, Quality Management, Resource Management, Communications Management, Project Change Management, Risk Management, and Procurement Management as defined in the PMBOK.</p>	Updated quarterly or as directed by the Senior Project Manager
7.3	<p>Work Breakdown Structure (WBS) – Contains tiers showing project milestones or phases in the top level with a breakdown of major project tasks into manageable “work packages” underneath. Work packages at the bottom level shall have no smaller than two-week durations and have measurable, testable, or observable outputs suitable for tracking project progress.</p>	Updated quarterly or as directed by the Senior Project Manager
7.4	<p>Integrated Master Schedule – Based on the WBS (see 7.3 above) and suitable for tracking project activities. At a minimum, the Master Schedule shall show milestones, deliverables, times of performance, degrees of completion and resources for all project activities during the SDLC. The activities durations in the master schedule shall have the appropriate degree of granularity to manage and track project progress.</p>	Update bi-weekly or as directed by the Senior Project Manager

	This is a single, base-lined and periodically updated deliverable encompassing all project activities.	
7.5	Communications Plan – Captures the stakeholder contact list, the types of information to be disseminated, the format for each type, a schedule of when information will be produced and disseminated, and the method for updating the communications plan. This is a single deliverable maintained throughout the life of project.	Updated quarterly or as directed by the Senior Project Manager
7.6	Risk Management Plan (RMP) and Risk Registry – Describes the risk management procedures for the project. The RMP will include a table of potential risks and recommended risk responses, and will incorporate risk information found in deliverables provided by the Development Contractor. This is a single, periodically updated deliverable encompassing all project risks. A Risk Registry will be created for logging all project risk using MS Excel or other appropriate table format.	Update bi-weekly or as directed by the Senior Project Manager
7.7	Deliverable Comments Matrix (DCM) – Used to capture comments and recommended changes to each CAD/RMS Project technical deliverable prior to acceptance. A separate DCM is required for each deliverable or SDLC product.	Project deliverable due date + 5 working days
7.8	Change Management Plan – Describes the procedure for proposing, evaluating, approving, and documenting changes to project scope, schedule, and cost. This Plan shall include any tools or templates used for change management, for example, change request form.	Updated quarterly or as directed by the Senior Project Manager
7.9	Requirements Traceability Matrix (RTM) – Describes technical and functional requirements. At a minimum, requirements shall be numbered for traceability, testable and the descriptions unambiguous. The RTM shall contain acceptance criteria for each requirement and a test method for verifying completion based on the criteria.	Updated bi-weekly or as directed by the Senior Project Manager
7.10	Quality Assurance (QA) Plan – Describes how quality, meaning conformance to project requirements, will be monitored throughout the project life cycle. The QA Plan shall describe the steps for deliverable review and updating via the DCM process (see 7.7 above). The QA Plan shall describe the requirements tracking process via the requirements traceability process (see 7.9 above). The QA plan shall define signoff procedures for project milestones and deliverables.	Updated quarterly or as directed by the Senior Project Manager
7.11	Conversion Plan (Data and System) - describes the strategies involved in converting data from an existing system to another hardware or software environment.	To be determined by the Senior Project Manager
7.12	Master Status Report – Captures and tracks ongoing project activities and status. The report will capture activities completed in the past week, activities planned for the following week, and the completion status of project deliverables. The report will describe issues identified on the project and the status of efforts to resolve issues. The report will have sections describing necessary updates to the Integrated Master Schedule (Deliverable 7.4) and Master RMP (Deliverable 7.6). The report will document lessons learned from the project and any other pertinent status information.	At least bi-weekly or as directed by the Senior Project Manager
7.13	Other management plans, such as <i>Human Resource Management</i> , <i>Cost Management</i> , and <i>Procurement Management</i> as deemed necessary by the TO Manager.	To be determined by the Senior Project Manager

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EXHIBT 1

DELIVERABLE PRODUCT ACCEPTANCE FORM (DPAF)

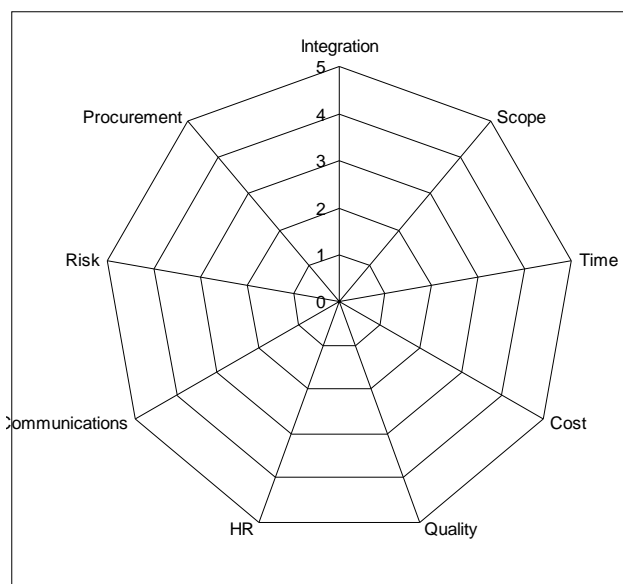
CAD/RMS Project Oversight (Deliverable # 7.1)

(Submitted monthly by the TO Contractor)

TO Contractor:
Date Submitted:
Performance Period (Month / Year):
Agency Name:
TO Manager / Agency Contact:
Reference BPO #

The Information Below Shall Be Filled-In by the Agency

CAD/RMS PROJECT OVERSIGHT PERFORMANCE RATING DISPOSITION:



PM Processes	Rating**
Integration Management	
Scope Management	
Schedule Management	
Cost Management	
Quality Management	
Human Resources Management	
Communications Management	
Risk Management	
Procurement Management	
Total Average Score	

**Rating is based on *CAD/RMS Project Oversight Performance Rating Criteria Sheet*. The Project Team shall maintain score of 3 or higher for each process area and/or average score of 3. Scores below 3 may trigger the Mitigation Procedures defined in Section 5 above.

Deliverable # 7.1 is acceptable.

Deliverable # 7.1 is rejected (for reasons indicated below).

REASON(S) FOR UNACCEPTABLE TPM PERFORMANCE RATING (List Deliverables or PM Process Areas):

TO Manager Signature

Date Signed

CAD/RMS Project Oversight Performance Rating Criteria

The TO Manager will evaluate and rate the TPM's oversight performance based on the overall Project Team's performance in each of the nine Knowledge Areas below. Applicable processes shall score at 3 or higher.

Rating

Project Integration Management		Indicators of Process
0	Not applicable for project.	
1	Project Team has not established practices, standards, or processes for project. Work performed in ad hoc fashion and does not include integration management.	1. Project Charter
2	Project Team has established basic, documented processes for project planning and reporting exist. Management only involved on high-visibility projects.	2. Project Management Plan (PMP)
3	Project Team has institutionalized the Project integration efforts with documented procedures and standards. PM is beginning to integrate all project data.	3. Integrated Project Plan
4	Project Team utilizes processes/standards for project on a regular basis and integrated with other processes/systems. Decisions on project based on performance metrics.	4. Updated Project Schedule
5	Project Team has established best practices including project integration improvement procedures utilized. Lessons learned are regularly examined and used to improve documented processes.	
Project Scope Management		Indicators of Process
0	Not applicable for project.	
1	Project has general statement of functional requirements. Little or no scope management or documentation for project. Management and stakeholders are aware of key milestones only.	1. Project Scope Statement
2	Project Team has put basic scope management process in place. Scope management is meeting techniques irregularly.	2. Change Request and Approval Process
3	Project Team has implemented full project management process documented and is actively utilizing process on regular basis. Stakeholders are engaged and actively participating in scope decisions.	3. Requirements Traceability Matrix (RTM)
4	Project Team is utilizing full project management processes for the project. Projects managed and evaluated in light of other competing requirements.	4. Change Control Board
5	Project Team's effectiveness and efficiency metrics drive project scope decisions by appropriate levels of management.	
Project Time/Schedule Management		Indicators of Process
0	Not applicable for project.	
1	Project Team has not established planning or scheduling standards. Lack of documentation makes it difficult to achieve repeatable project success.	1. WBS
2	Project Team has established basic processes, but is not performing planning and scheduling on a regular basis.	2. Schedule Management Plan
3	Project Team has established document time management processes and utilizes on a regular basis. Project-wide integration includes project dependencies.	3. Activities duration based on historic data
4	Project Team has established good practices in time management including utilization of historical data to forecast future performance. Project management decisions based on efficiency and effectiveness metrics.	
5	Project Team has additionally incorporated improvement procedures utilized for time management processes. Lessons learned are examined and used to improve documented processes.	
Project Cost Management		Indicators of Process
0	Not applicable for project.	
1	Project Team has not established practices or standards. Cost process documentation is ad hoc and individual project members follow informal practices.	1. Cost Estimates Activity
2	Project Team has established processes exist for cost estimating, reporting, and performance measurement. Cost management processes are used for the project.	2. Project Cost Baseline
3	Project Team has standardized cost management practices for project team. Costs are fully integrated and reflect the true cost of the project.	3. Cost Management Plan
4	Project Team has integrated cost planning and tracking with Project Office, financial, and human resources systems. Standards tied to agency processes.	4. Cost Control
5	Project Team leverages lessons learned to improve documented processes. Project Team and management are actively using efficiency and effectiveness	

	metrics for decision making.	
Project Quality Management		
0	Not applicable for project.	Indicators of Process
1	Project Team has not established project quality practices or standards. Management is considering how they should define “quality”.	1. Quality Assurance Plan
2	Project Team has established basic organizational project quality policy has been adopted. Project Management and Team encourage quality processes and policy for project.	2. Deliverables Acceptance Criteria defined
3	Project Team has established well documented quality management process and instituted standards for the project. Regular quality management activities are being executed including deliverables acceptance.	3. User Acceptance Criteria (UAC) per SDLC phases
4	Project Team has best practices for standard quality management processes. Management is actively involved in coordinating quality standards and assurance. Some metrics are developed.	4. Formal Deliverable Acceptance Process
5	Project Team has implemented guidelines for implementing improvements back into the process. Metrics are key to product quality decisions throughout the SDLC.	
Project Human Resource Management		
0	Not applicable for project.	Indicators of Process
1	Project Team has not performed planning and staffing activities for project. Project teams are ad hoc. Human resource time and cost is not measured.	1. Organization Chart
2	Project Team has put processes in place that defines how to plan and manage human resources. Resource tracking is loosely performed for project.	2. Roles and responsibilities matrix
3	Project Team has established a regularly resource management process. Professional development program activities for team and organization have been established for successful implementation of project.	3. Staffing Management Plan
4	Project Team has implemented resource management best practices including resource forecasts used for project planning and prioritization. Project team performance measured and integrated with team development.	4. Team Training Plan
5	Project Team includes HR processes which engage teams to document project lessons learned. Improvements are incorporated into human resources management process.	5. Team performance assessment
Project Communication Management		
0	Not applicable for project.	Indicators of Process
1	Project Team performing communications management on an ad hoc basis with informal status reports to management.	1. Communication Management Plan
2	Project Team has established basic communications process including Communications Management Plan. Project progress reporting is occurring on a more regular basis.	2. Project Performance Reports
3	Project Team has active involvement by executing a formal project communications plan. All stakeholders and project team members are aware of communications process.	3. Stakeholder Contact
4	Project Team has implemented best practices for communications management plan for the project.	4. Processes for communication of Risk, Issues and Decisions
5	Project Team has put additional improvement process in place to continuously improve project communications management. Lessons learned are captured and incorporated.	
Project Risk Management		
0	Not applicable for project.	Indicators of Process
1	Project Team has not established any risk management practices or standards for project. Documentation is minimal and results are not shared. Risk response is reactive.	1. Risk Management Plan
2	Project Team has established basic risk management processes and have documented for the project. Team members are involved with risks process and risks are shared for project.	2. Risk Register
3	Project Team has established regular risk management processes and risk activities, including identification and mitigation planning, are actively utilized for project.	3. Process for Risk Register updates and communication of risk
4	Project Team has integrated risk processes with all aspect of project reporting including time, cost, and resource systems. Metrics are used to support risk decisions for the project.	4. Contingency plans for risk

5	Project Team has established best practices in risk management including continuous improvement processes to ensure project is continually measured and managed against performance metrics.	
Project Procurement Management		
0	Not applicable for project.	Indicators of Process
1	Project Team has not established procurement process for project. Processes are ad hoc at best with no clear plan defined.	1. Procurement Management Plan
2	Project Team has established basic process for procurement of goods and services for project. Procurement Management Plan has been developed for procurement of all project goods and services.	2. Contract Statement Of Work
3	Project Team has established standards for procurement management on project and integrated with Agency processes.	3. Evaluation Criteria
4	Project Team has leverage procurement management best practices such as make/buy decisions for the agency and project. Project procurement practices are integrated with project management mechanisms.	4. Cost Benefit Analysis
5	Project Team has instituted on-going process improvements focus on procurement efficiency and effective metrics.	5. Make/Buy Decisions