Department of Veterans Affairs

Memorandum

Date: SEP 17 2010

From: Assistant Secretary for Information and Technology (005)

Subj.: Project Management Accountability System (PMAS) Guide v2.0 (VAIQ 7023849)

To: See List Below

1. Effective immediately, the PMAS Guide v2.0 is official OI&T policy and must be followed by all qualifying projects. The PMAS Guide v2.0 provides guidance for planning, management control, processes and roles and responsibilities of VA IT projects under PMAS.

2. This Guide in concert with ProPath, which contains artifact formats and procedures, provides the direction and procedures that must be adhered to for successful IT project management within the VA.

3. In the event there is any conflict with previously issued policy, guidance or publications, the PMAS Guide v2.0 will take precedence.

4. As we continually strive to improve project management effectiveness, users are invited to provide their operational insights by sending comments and suggested improvements regarding the PMAS Guide. Please forward your input and questions to the Program Management Policy, Assessment, and Reporting Office (005E6) via the VA PMAS Policy, Assessment & Reporting email at: vapmaspar@va.gov.

Roger W. Baker

Attachment:
Project Management Accountability System (PMAS) Guide v2.0

Addressees:
Principal Deputy Assistant Secretary for Information and Technology (005A)
Deputy Assistant Secretary for IT Resource Management (005F)
Deputy Assistant Secretary for Information Protection & Risk Management (005R)
Acting Deputy CIO for Enterprise Development (005Q)
Deputy CIO for Enterprise Operations and Field Development (005OP)
Deputy CIO for Architecture, Strategy, and Design (005E)
Executive Director for Quality, Performance, and Oversight (005X)

Department of Veterans Affairs
Office of Information and Technology

Project Management Accountability System (PMAS) Guide

Approval for Project Management Accountability System (PMAS) Guide
The PMAS Guide will be followed by all OI&T qualifying projects that deliver new functionality or enhance existing systems. In the event there is a conflict with previously issued VA or OI&T guidance or publications, the PMAS Guide will take precedence.

The PMAS Guide provides guidance for planning, management control, processes, roles and responsibilities for VA IT projects under PMAS. This Guide in concert with ProPath, which contains artifact formats and procedures, provides the direction and procedures that must be adhered to for successful IT project management within VA.

As we continually strive to improve project management effectiveness, users are invited to provide their operational insights by sending comments and suggested improvements regarding the PMAS Guide. Please forward your input and questions to the Program Management Policy, Assessment, and Reporting Office (005E6) via the VA PMAS Policy, Assessment & Reporting email at: vapmaspar@va.gov.

Approved by:

Roger A. Baker SEP 17 2010

Roger W. Baker Date
Assistant Secretary for Information and Technology
Department of Veterans Affairs

RECORD OF CHANGES

Version	Date	Comments
1.0		Initial Release
2.0		Update to improve policies and processes associated with PMAS

1. REASON FOR ISSUE. To revise Department of Veterans Affairs policy issued March 29, 2010.

2. SUMMARY OF CONTENTS/MAJOR CHANGES. This guide sets forth revised policies and responsibilities for managing VA Information and Technology projects under PMAS. The changes include:

a. Clarification of the difference between an increment and a milestone.
b. Addition of a PMAS state prior to Planning.
c. Addition of policies and organizational groups around Integrated Project Team (IPT) creation and management.
d. Addition of a process for obtaining IPT team membership.
e. Addition of exception process.
f. Designation of required signatures for PMAS artifacts.
g. Clarification of PMAS required artifacts to include the Outcome Statement and the Enterprise Project Structure (with use of Universal Project Indicators).

3. RESPONSIBLE OFFICE. Assistant Secretary for Information & Technology (005), Architecture, Strategy, and Design (005E), Program Management Policy, Assessment, and Reporting (005E6).

RECISSION

Project Management Accountability System (PMAS) Guide v1.0, dated March 29, 2010, is rescinded.

CONTENTS

1.0 Purpose

Secretary Shinseki has identified Information Technology (IT) as a critical capability and resource for achieving the President's vision of a 21st Century Department of Veterans Affairs (VA). Improving management of development projects and the delivery of critical functionality to customers is an important step in the efforts to transform the VA IT organization into one of the best in the federal government.

Prior to 2009, VA experienced significant IT development and delivery difficulties. In response, VA reviewed over 280 projects. Approximately 20% of these projects exhibited serious problems including schedule slippage greater than 13 months, with cost exceeding 50% of initial estimates. Many projects also exhibited insufficient available resources needed to complete the project.

On June 19, 2009, the Assistant Secretary for Information and Technology (AS/IT) announced a substantial change in the way IT projects are planned and managed at VA. This new process, the Project Management Accountability System (PMAS), is designed to reduce risks; institute monitoring, controlling and reporting discipline; and establish accountability. PMAS requires that all IT projects use incremental product build methods to focus on near-term, assured delivery of new capabilities to customers. PMAS is intended to create an environment that guarantees the customer, project team, vendors and all stakeholders working on a project are aligned by a single compelling measure – achieving the next increment deliverable, and thus increasing the success rate of IT project at VA.

This document provides guidance for planning, management control, processes, and roles and responsibilities of IT projects with respect to the conduct of PMAS.

2.0 PMAS Overview

2.1 PMAS Description

PMAS is a performance-based project management discipline which is mandated by the Assistant Secretary, Office of Information & Technology (AS/IT) for all product delivery projects. All VA IT projects that introduce new functionality or enhance existing capabilities within current systems in VA are considered to be delivering products. All development projects and those infrastructure projects that provide new capability fall under the management discipline of PMAS. Those IT projects that are managing the sustainment of existing systems are not identified as product delivery projects, and therefore, are not governed through PMAS.

The intent of PMAS is to improve the rate of success of VA's IT projects. PMAS uses incremental product build techniques for IT projects, with delivery of new functionality (tested and accepted by the customer) in cycles of six months or less. Projects managed under PMAS are tightly monitored and are subject to being halted when significant deviations to plans occur and insufficient remediation plans are presented. PMAS requires that a project be paused and re-evaluated at the point where it has demonstrated trouble, but no later than after missing three consecutive increment deliverables.

2.2 PMAS Benefits

The principal benefit of PMAS is to improve the results of investments in IT at VA. Additional benefits of PMAS are substantial and include the following:

- Eliminates of "big bang" project failures
- Reduces project management and technical risks through incremental functional delivery
- Enhances business effectiveness through frequent delivery of functionality
- Re-balances requirements with available staffing
- Focuses the project management efforts by reducing projects with inadequate resources
- Enables VA to focus on troubled projects early and implement corrective actions quickly through Real-time performance indicators
- Ensures achievement of project goals and objectives through active participation of all project stakeholders in the integrated project teams (IPTs) throughout the System Development Life-Cycle (SDLC)

2.3 PMAS Principles

2.3.1 PMAS is a Performance Based Management Discipline

PMAS will provide frequent delivery of deployable IT system functionality – tested and accepted by customers – within established schedule and cost criteria. This is a direct approach for obtaining continuous value for VA business lines. Successful delivery of frequent and deployable products will

enable successful projects that deliver ongoing business value to continue with the necessary resources for future success. Unsuccessful delivery of frequent and deployable products will lead to timely re-evaluation of project execution, leadership and business need.

2.3.2 PMAS Relies on Integrated Teamwork across VA

Each project under PMAS will have a specified project or program level IPT (see section 2.8.1) that is comprised of representatives from the business sponsor, Office of Information & Technology (OI&T), and other supporting staffs such as the Office of General Counsel (OGC), the Office of Acquisition and Logistics (OAL), as well as significant project stakeholders. The IPT will be the governing mechanism for the project. The broad representation on the IPT will ensure all stakeholders are aware of, and committed to meet key project elements such as schedule and cost. This cross-organizational awareness and joint responsibility will enable teamwork across the various project stakeholders within VA.

2.3.3 PMAS Emphasizes Resource Management

PMAS recognizes that it may not be possible to deliver all desired projects with available resources. It is preferable to have one fully and properly resourced project as opposed to multiple partially resourced projects. Accomplishing this will be done through establishing project priorities, providing adequate resources to meet planned deliverables, ensuring that the required skills are available and scheduling the right resources across VA.

2.3.4 PMAS Enforces Accountability

The frequent delivery of a product requires focused accountability directly on the Project Manager (PM), supporting contractors, and members of the IPT. The PM will manage the project and deliver expected outcomes within cost, schedule, and scope. Fiscal accountability will flow from the CIO through the Deputy Assistant Secretary (DAS)/Deputy CIO (DCIO) to the PM, with each IPT member accountable to the PM for his/her particular functional area. PMs are expected to raise any risks and issues (i.e., “red flags”) that could impede product delivery in a timely manner to enable the IT Program Manager (IT PgM) and Office of Responsibility (OOR) the opportunity to provide assistance. Throughout project execution, product delivery will be certified at delivery windows, which will occur at intervals of six (6) months or less. Three consecutive failures (“3 strikes”) to meet a product delivery within the established schedule will result in a project being “paused.” When the project is “paused,” no further development activity will occur until it is evaluated for cause, re-planned and approved to restart, or closed.

2.3.5 PMAS Enables Transparency

All PMAS processes are designed to enable leadership and project management to clearly see cost, schedule, quality, scope, and resource status. In the event there is a variance, it can be addressed quickly.

Performance measures are maintained on a real time basis and are reported weekly and monthly as a part of the OI&T Monthly Performance Review (MPR) and on the Office of Management and Budget (OMB) IT Dashboard (http://it.usaspending.gov/).

2.4 Definitions

2.4.1 Office of Responsibility (OOR)

The OOR is the office of the OI&T Deputy Assistant Secretary (DAS)/Deputy CIO (DCIO), which has principal responsibility for executing the project.

2.4.2 Program

A program is a group of related projects planned, managed, and coordinated together to maximize benefits that would otherwise not be available from managing the projects individually. A program may include overarching capabilities and services that are necessary but not within the scope of the individual projects. A program is mission aligned and ongoing for an extended period of time. It is managed by an IT PgM who is accountable to OI&T Senior Leadership, the Business Sponsor, and Governance Boards.

2.4.3 Project

A project is any effort whose principle intent is to enhance business capabilities (application or infrastructure) to the existing IT environment within VA. This includes new capability or significant enhancements to existing systems or infrastructure. A project under the purview of PMAS may have the following characteristics:

- A defined start and end date
- Complex (impacts or interacts with two or more other systems or interfaces)
- Mission impact if not accomplished correctly or on time
- Cost greater than $250K in aggregate, in one fiscal year
- Supporting a mission critical business process
- Requiring the development or deployment of a new skill-set to operate the resulting product
- Requiring customer approval and sign-off prior to implementation

2.4.4 Increment

An increment is the segment of the project that produces an agreed to deliverable portion of the product being developed by the project that delivers functional business capability in a cycle of six (6) month or less. A project increment has the following characteristics:

- Is a body of work that delivers business capability directly related to a project
- Has a defined start and end date
- Has a specified budget

- Requires business sponsor acceptance of delivered product(s) referred to as the incremental deliverable
- Level where “3 strikes” rule will be applied

2.4.5 Red Flags

Anyone associated with the project such as PMs, IT PgMs, or IPTs are expected to raise any risks and issues impacting the project or timely product delivery (i.e., “red flags”). This provides management visibility and the opportunity for timely resolution. These red flags will be listed in the appropriate Risk Log as well as raised to the next level supervisor via email.

If the red flag is not addressed in an effective time frame, the red flag needs to be raised to the next level of management in a timely manner to enable the opportunity to resolve the risk or issue. This process of raising to the next level of management will continue until the red flag is addressed or the Chief Information Officer (CIO) has accepted the risk associated with the red flag.

2.4.6 Business Sponsor / Customer

The Business Sponsor or the Customer is the business unit executive requesting / needing certain functionalities or IT services. Business sponsor identifies the high-level requirement, makes the business case for the project to exist, and defines the acceptance criteria of the product in broad terms. As a key member of the IPT, business sponsor directly shapes the overall direction and governance of a project. Business Sponsor may or may not be the end user.

2.4.7 Deliverable

A deliverable is an item (agreed to portion of the product) that is being delivered at the end of the increment.

2.4.8 Milestones

Milestones are sections of an increment defined by the Project Team/PM as an internal checkpoint to ensure on-time delivery.

2.5 PMAS States

The level of monitoring and reporting on a project is determined by the position it currently holds in the project management life-cycle. These positions are referred to as “states” in PMAS. PMAS projects are considered to be in only one of four states at a time:

2.5.1 New Start

In the new start state, the project is still a conceptual project but has not been approved to spend any money. The work associated with a project in a new start state has to be done at a program level under the program budget. Projects in a new start state can remain in the new start state as long as necessary to be either approved to be included in the OI&T Operating Plan

and have planning funds released by Information Technology Resource Management (ITRM), or closed.

2.5.2 Planning

To be approved for the planning state, a project must be on the OI&T Operating Plan and have the planning funds released by the ITRM. In the planning state, the project develops required plans and obtains approvals to enter project increment(s) into an active state. Projects in the planning state must be evaluated every 60 calendar days for admittance into the active state or re-evaluation for being closed.

2.5.3 Active

To be approved for the active state, projects must meet the criteria of Section 2.7 and be approved by the CIO. Projects in the active state are executing the processes to build and deliver increments according to committed increment deliverables. Projects may remain in the active state until they are complete or are directed to be paused/closed.

2.5.4 Paused

A project may be placed in the paused state by the CIO or designee. A project in a paused state is no longer executing the processes to build and deliver increments. The project is conducting planning activities in preparation for a restart decision. The PM must submit the plan for restart within 60 calendar days of the project pause decision. Failure to submit the plan for restart within 60 calendar days will cause the project to be closed.

2.5.5 Closed

A project may be placed in the closed state for many reasons to include, but not limited to: project objectives have been met, business priorities have changed, or poor performance. A project in a closed state may only perform project closeout activities.

2.6 Establishing a Project

2.6.1 Establishing IT Priorities

Programs and projects are initially established during the annual multi-year programming and budget formulation processes. To prepare for the work that is to be executed in the coming fiscal year, OI&T creates its Operating Plan (OI&T OP a.k.a. “the priority list”) by working closely with the administrations and staff offices to establish the business and subsequent IT priorities. Once approved by the Strategic Management Group/Strategic Management Counsel, the OI&T OP is baselined and is required to undergo change management.

Resources (i.e., funding, and staff) are applied to the projects from the highest to the lowest priority in the OI&T OP. In general, when all resources

are applied, those projects below the available resource line (i.e., “the cut line”) will not be resourced nor have delivery expectations in the fiscal year unless priorities are shifted and official approval is obtained through the OI&T OP Change Management Process. This process is described in Section 2.9 and documented in ProPath. PMAS applies only to projects with funded resources

2.6.2 Traceability within the OI&T Operating Plan

To effectively optimize the benefits of PMAS, the program and budget relationships within the OI&T OP must be understood. The OI&T OP links to VA strategic initiatives. There will be a clearly established and understandable line of sight from the Exhibit 300 (E300) to program to project to increment. This will ensure decision makers have full budget traceability and sufficient information to understand the potential impact of decisions with regards to any PMAS actions taken and decisions made on a project.

2.7 PMAS Project Requirements

To be approved for the planning state, a project must be on the OI&T Operating Plan.

To be approved for the active state, a project must have:

- An identified business sponsor
- A plan that incrementally delivers a functional product to the intended customer at least every six months
- Documented and agreed to requirements for initial increment deliverables
- A clear plan for necessary projects disciplines
- Clear access to necessary project resources
- Business sponsor, project, and vendor acceptance of PMAS management requirements
- Success criteria established and accepted jointly between Business sponsor, OI&T, and vendors
- An established IPT made up of all stakeholders and service providers involved with a project
- Documents required in Section 3.1

PMAS lays out clear expectations for PMs with regard to product delivery in increments of six months or less, as well as compliance with cost and schedule milestones. Projects will be paused after missing three consecutive customer increment deliverables. Once paused, senior review will occur and will result in substantial changes before the project can restart. These substantial changes may include:

- Re-assessment of the need for the project
- Re-assessment of the project approach
- Re-assessment of the project design
- A new PM
- Substantial changes in the assigned government staff

- Re-assessment of all project contracts
- Approval of a new project plan by the AS/IT or his/her designee

2.8 Managing a Project under PMAS

2.8.1 Integrated Project Team (IPT)

The IPT is the core management group for each project, and as such will function as the project Change Control Board (CCB) for change requests that do not affect project budget or customer facing deliverable timeframes. A critical element of a successful project under PMAS is a complete and active IPT. An IPT is a team of people with complementary skills and expertise who collaborate and commit to the timely delivery of specified work products. The IPT should have the Customer/Business Sponsor as a Co-Chair with the IT PgM (if a program level IPT) or PM (if a project level IPT) as the other Co-Chair. IPT members provide skills and advocacy appropriate to all phases of the project life cycle and are collectively responsible for delivery of work products as specified. The IPT will include empowered representatives from organizations, disciplines, and functions that have a stake and/or responsibility for the success of the project. The ability to stand up an effective IPT will be a critical success factor in the implementation of PMAS.

The IPT will act as the primary medium for timely and effective communication between the delivery team and the business sponsor. The IPT will be maintained at either the program or project level as deemed necessary by level of complexity and acceptable risk. The IPT may be responsible for more than one project if it is established at the program level.

The IPT will consist of a comprehensive team of required personnel from appropriate organizations to reduce risk to an acceptable level. At a minimum, the PM and the Business sponsor will be on the IPT.

IPT members should, if necessary, consult with their competency management on issues where additional competency review and/or guidance are required.

2.8.1.1 Obtaining IPT Membership

It is important that the IPT have appropriate membership from within OI&T and other stakeholders. The IT PgM/PM and the Business Sponsor are the initial members of the IPT for all projects. To obtain IPT membership, the PM will follow the Integrated Project Team (IPT) Guide, which is available on ProPath in the Project Planning process map.

The OI&T competency management must respond to the request within 3 business days and either provide the necessary resource, indicate that the resource is not available, or indicate that they don’t think this kind of resource is needed on the IPT.

If the IT PgM or PM does not believe their request for IPT membership has been adequately addressed/resolved, they will follow the Obtaining IPT Membership Process in Appendix B.9.

2.8.2 IPT Matrix Management

In order to manage the matrices associated with each IPT, three organizational groups have been established. These groups will assist in providing required IPT membership and addressing Red Flags.

2.8.2.1 IPT Matrix Management Groups

2.8.2.1.1 DAS/DCIO Leadership Group

The DAS/DCIO Leadership Group consists of all of the DAS/DCIOs within VA OI&T. This group coordinates mitigation of Red Flags that have not been mitigated at lower levels.

2.8.2.1.2 ADCIO Leadership Group

The Assistant Deputy CIO (ADCIO) Leadership Group consists of all of the ADCIOs within VA OI&T. This group coordinates mitigation of Red Flags that have not been mitigated at lower levels. This group also ensures coordination of IPT membership in a timely manner.

2.8.2.1.3 Project Lifecycle Quality Team

The Project Lifecycle Quality Team (PLQT) facilitates activities between PMs/IPT Members and the ADCIOs, ADCIO Leadership Group, and DAS/DCIO Leadership Group in regards to both Red Flags and IPT membership issues.

2.8.2.2 IPT Matrix Management Processes

The IPT Matrix Management groups coordinate the establishment of IPTs. See the Obtaining IPT Membership Process, Appendix B.9.

2.8.3 Resource Management

Government staff and non-pay funding will be provided on a per increment basis. PMs will plan the total cost of ownership for each increment, including application development, infrastructure necessary to support new/enhanced applications, training, and recurring operating costs.

A project/increment may not proceed unless the proper resources are in place. The following are required:

- IT PgM must ensure the PM is provided required resources to accomplish the project
- If a PM does not have all required resources or needs additional resources, the PM must raise a red flag in a timely manner to enable the IT PgM and OOR the opportunity to provide assistance

- IT PgM must address red flags raised by the PM and document the response to the red flag – including elevating within the OI&T management structure
- The project increment will not begin until resources are available and ITRM provides an assigned increment funding number, increment funding level, and date of approval of funding for increment execution
- PMAS projects will be planned, authorized, and tracked (cost execution) at the increment level

Release of funds for following increments may be considered at the prior increment's halfway point.

Resources will only be applied to the highest priority projects that are funded in the annual VA IT appropriation and of sufficient priority in the OI&T OP. There are four categories of resources that may be provided: planning execution staff, planning non-pay funding, project execution staff and project execution non-pay funding.

2.8.3.1 Planning Execution Staff

OI&T Government Staff will be applied by the OOR in accordance with established priorities in the OI&T OP. The OOR is responsible for applying sufficient staff to create the project and increment plans.

2.8.3.2 Planning Non-pay Funding

This will consist of non-pay funding needed to plan for a project or a subsequent increment. If planning is required, non-pay funding is limited to 10% of total fiscal year project funding.

When non-pay planning funding is needed, the request should be submitted through the OOR Business Office to ITRM.

2.8.3.3 Project Execution Staff

OI&T Government Staff will be applied by the OOR in accordance with established priorities in the OI&T OP. The OOR is responsible for applying sufficient staff as identified in the project and increment plans, with the appropriate skills, to enable successful execution of the project or increment.

To obtain government staff, documentation must be provided as follows:

- The PM must develop a specific resource list of government staff by competency needed for desktop to data center including management, development, testing, operations, security, development, and sustainment.
- The PM must advise IPT members of needed staff by competency. Project IPT members are then responsible for coordinating with the leadership within their competency office for required personnel.

2.8.3.4 Project Execution Non-pay Funding

Non-pay funding will be allocated by project in accordance with established priorities in the annual OI&T OP. ITRM will release funding on an increment basis when a specific increment meets all PMAS criteria to commence work.

When non-pay funding requests are required, they will include the total cost of ownership including development, infrastructure enhancements and recurring sustainment.

When non-pay execution funding is needed, the request should be submitted through the OOR Business Office to ITRM.

2.8.4 Acquisition Management

IT PgMs and VA Contract Managers must align contracts with incremental deliveries including: contract type, period of performance, deliverable structure, and funding ceilings. The IT PgM, PM, CO, and GC must work together throughout contract life from inception to completion.

PMAS enforces more contractor accountability. This will be done through:

- A policy of three consecutive failures to meet expectations that may result in the vendor losing the contract
- Increments will not be developed by a blended team. This means there will be a single contractor team or an all government team for each development increment. There will not be a mixture of government staff and contractors
- Task orders for each increment will be six months or less
- Increment requirements must be set prior to contract issuance
- If a single contract is used, the contract must separate increments by Task Order or Contract Line Item Number (CLIN)

PMs must monitor contractor actions and raise risks, issues, and red flags in a timely manner to enable senior leadership the opportunity to assist in correcting the risks, issues, and red flag problems.

2.8.5 Incremental Deliverables

PMAS projects will provide required deliverables in one or more increments of six months or less in duration. The purpose of six month deliverables is to reduce the level of risk associated with each deliverable and the overall project. The delivery length is from increment execution start authorization to completion of the increment deliverable as defined and approved by the customer/business sponsor in advance of the increment.

As much as the specific project permits, deliverables should be functional parts of the system that can be released to the end user. The end user can determine if the delivery is sufficient alone or if it needs to be bundled with another increment prior to full release. The end user will also provide prompt

feedback for systems functionality through completion of a Customer Acceptance Form. The template is included in the Acceptance Criteria Plan.

2.8.5.1 Types of Incremental Deliverables

- **Deployable System Application or Products**
  Software products, applications, systems (or subsystems) for the purpose of providing benefits or capability to the sponsor or user, even if not easily measurable to the end user. Actual deployment, implementation, or transition by the customer may occur at a later date.
- **Deployable Infrastructure**
  Enhancements or expansions of existing infrastructure

Documents artifacts alone do not satisfy the requirements of the incremental deliverables. Necessary PMAS documents are created during the "planning" state prior to a project proceeding to an "active" state. Necessary project documents are updated as required during each increment.

2.8.6 Increment Acceptance

Increment acceptance is critical to PMAS success and each increment must provide deployable system functionality. To ensure each increment meets these criteria, the customer acceptance form must be signed by three key stakeholders: the PM, who validates that increment requirements have been met; the Release Manager, who will indicate that infrastructure exists or is funded to support deployment; and the customer, who attests that the deliverable met the increment business requirement. The template for increment acceptance can be obtained through ProPath from the Acceptance Criteria Plan.

2.9 Managing Change under PMAS

A project will manage its project changes in accordance with the Change Management Processes in ProPath. A project may also effect or be effected by business priority changes resulting in a realignment in the OI&T OP.

2.9.1 OI&T Operating Plan Change Management

This section is under development within ITRM and will be added to the PMAS Guide and ProPath when completed.

2.10 Closing a Project under PMAS

Projects under PMAS may be placed into the closed state multiple ways.

2.10.1 Stopped

A project may be stopped by the CIO. Projects that are stopped will not be restarted again. The Business Sponsor may indicate that the need still exists and may request that a new project be started to accomplish the business need that the stopped project was intended to accomplish.

Stopped projects may only spend money toward the closing out of the project to include: contract termination, lessons learned, re-assignment of personnel, and other closeout actions.

2.10.2 Completed

A project which successfully meets its intended scope. Projects that have successfully completed their intended scope may continue to obligate funds and close out actions as planned.

2.10.3 Unfunded

Unfunded projects will be prioritized in the OI&T OP. A list of unfunded projects will be maintained by ITRM.

2.11 Exceptions

All exceptions to PMAS must be approved by the CIO or designee. Exceptions can range from individual PMAS requirements on a project to the inclusion or exclusion of a project under PMAS. The DAS/DCIO of the OOR must present the request for an exception to the CIO or designee for approval.

3.0 Project Artifacts

Key document artifacts used to demonstrate and monitor the readiness and performance of a project under PMAS.

Corporate level artifacts that are applicable to all program and projects may be developed at the DAS/DCIO level. Standard artifacts promote consistency, save planning time, and improve quality through reuse. Potential examples include a Test and Evaluation Master Plan, a National Release Management Process, and a Continuous Integration Methodology. Where applicable, these corporate level documents can be cited by a specific PM to meet the artifact requirements below.

Artifacts are used for many purposes in a project such as planning, communication, audit, and documentation of key information. Corporate and/or program level documents that meet the need of a project can be cited and will meet the requirements of this section. When these are used, the following will be considered:

- Pre-existence of artifacts
- Consistency of the processes at all levels
- Level of standardization
- Level of complexity

3.1 Artifacts Required to Attain the Active State

For a project to attain an active state, the following artifacts are required. The artifact templates and additional instructions are defined in ProPath.

Approval for the artifacts can be attained via email or though a signature.

3.1.1 Requirements Specification Document (RSD)

Interpretation and comprehension of business sponsor requirements that trigger program, system, or project development are captured and clarified within the RSD. The requirements for each increment must be specified, either within a single RSD for all increments or in a separate RSD for each increment. Requirements include functional, and/or system needs and provide the guidelines for the design and implementation of a project.

3.1.1.1 Approved/Signed By

The Business Sponsor, the IT PgM, the PM, and the IPT chair.

3.1.2 Project Charter

The Project Charter is an artifact issued by senior management that formally authorizes the existence of a project. It provides the PM with the authority to apply organizational resources to project activities.

3.1.2.1 Approved/Signed By

The Business Sponsor, the IT PgM, the PM, and the IPT chair.

3.1.3 IPT Charter

Integrated Project Team Charter provides a comprehensive list of all members of the IPT, their roles within the IPT, and the purpose of the IPT.

3.1.3.1 Approved/Signed By

All members of the IPT and the CIO or designee.

3.1.4 Acceptance Criteria Plan

The artifact that provides the decision rules used to determine when an increment can be considered completed.

3.1.4.1 Approved/Signed By

The PM, the Business Sponsor, and Enterprise Operations and Field Development (EOFD) or its IPT designee.

3.1.5 Quad Chart (Process Only)

The Quad Chart is a process that must be followed and the artifact generated maintained with the project artifacts. It provides a high level summary of the proposed Business Requirements along with the initial proposed schedule, deliverables, and initial funding. The document includes mandates, dependencies, and risks. Completion of the Quad Chart is a joint effort between the Business group and the OOR that summarizes what each project entails.

3.1.6 System Design Document (SDD)

The initial chapters of the SDD document consist of the conceptual design; identify the top-level system architecture; and identify hardware, software, communication, and interface components. The subsequent chapters describe in extensive detail how the proposed system is to be constructed. These chapters translate the requirement specifications into a document from which the developers can create the actual system. To obtain an active state the SDD is completed up to the conceptual solution architecture of the project. The SDD is later updated as necessary to address the technical requirements of each increment. The Technical Analysis Request/Technical Analysis Summary (TAR/TAS) process is considered an equivalent to the SDD as long as the same approval participants are involved.

3.1.6.1 Approved/Signed By

The Business Sponsor, the IT PgM, the PM, the IPT chair, and Technical and Enterprise Architectural Review Team.

3.1.7 Project Management Plan (PMP)

The PMP is a strategic and tactical artifact for describing the plan and approach to executing the project. The PMP defines the technical and

managerial approach, project functions, and deliverables necessary to satisfy the requirements of a project, such as agreement on scope and priorities.

3.1.7.1 Approved/Signed By

The DAS/DCIO within the OOR, the Business Sponsor, PM, and IPT Chair.

3.1.8 Acquisition Strategy

The Acquisition Strategy is a program level artifact that contains a long-range plan for ensuring timely supply of goods and/or services that are critical to a program's ability to meet its core business objectives. This artifact discusses the acquisition approach to be used in the program and will identify related projects.

3.1.8.1 Approved/Signed By

The IT PgM, Business Sponsor, IPT Chair, General Counsel, and CO.

3.1.9 Project Schedule

This artifact provides the planned dates for performing activities and meeting project milestones.

3.1.9.1 Approved/Signed By

The IT PgM, Business Sponsor, IPT Chair, General Counsel, and CO.

3.1.10 Risk Log

The Risk Log is an ongoing tool for the purpose of identifying, triaging and managing risks and issues. While is does not contain an approved signature, it does need to be available, visible, and monitored at least weekly by the IPT.

3.1.11 Enterprise Project Structure (EPS) (Process Only)

Each project is required to be registered/listed in the EPS with a corresponding Unique Project Identifier (UPI). In addition, the project names and an Enterprise Project Indicator (EPI) as recorded in the EPS will serve as the VA recognized official name and will be used for identification, synchronization, and reconciliation of project artifacts throughout the projects lifecycle, budget formulation and expenditure tracking, and program/project management processes. EPS will also provide the link down to the increment level for increment level budget formulation and expenditure tracking.

3.1.12 Contract Information

This artifact will contain the contract recommendations to (1) proceed with a contracting action, (2) terminate any current or planned contracting actions, or (3) present a business case to apply for an appeal against a paused/stopped decision.

3.1.12.1 Approved/Signed By

The IT PgM, Business Sponsor, the CO, IPT Chair, and General Counsel.

3.1.13 Product Evaluation and Decision Analysis (Buy Only)

The Product Evaluation and Decision Analysis is only required for projects with buy decisions. When a buy decision is made, the Product Evaluation and Decision Analysis document is created to record the evaluation and decision made.

3.1.13.1 Approved/Signed By

The IT PgM, Business Sponsor, IPT Chair, General Counsel, and CO.

3.1.14 Outcome Statement

The Outcome Statement identifies planned Fiscal Year (FY) accomplishments or achievements for each project and the FY budget identified for those accomplishments. This document should include anything that will be bought or produced for the project with current FY budget.

3.1.14.1 Approved/Signed By

The PM, Business Sponsor, and IPT Chair.

3.1.15 PMAS Readiness Checklist

This checklist will be created as the IPT plans the project and creates artifacts. This checklist will be presented at time of request for action status to provide indication that all required preparations have been made.

3.2 Artifacts Required for Increment Completion

For each project increment to establish approved completion, the following artifacts will be required:

3.2.1 Customer Acceptance Form

The Customer Acceptance Form is the artifact by which key stakeholders acknowledge formal acceptance of the increment deliverable. The template is included in the Acceptance Criteria Plan.

3.2.1.1 Approved/Signed By

The PM, Release Manager, and Customer.

3.3 ProPath

The PMAS Guide provides high-level guidance and process information. The mandatory artifacts referenced in PMAS are defined in ProPath. ProPath supports PMAS implementation by providing the detailed processes and instructions, including detailed descriptions, roles, responsibilities, and templates.

PMAS/ProPath alignment is evidenced in the following required ProPath processes:

- Project Planning
- Project Monitoring and Control

- Release Management
- Project Shutdown
- Paused Projects Restart
- Subsequent Start Increment

ProPath is accessed through the following link:
http://vaww.oed.oit.va.gov/process/propath/

3.4 Artifact Central Repository

All projects are required to maintain a project artifact repository that contains all required artifacts as defined in ProPath. The PMAS Artifact Central Repository (ACRe) will be a Microsoft Office SharePoint Server (MOSS) site created for all OI&T projects. The process for establishing a project artifact repository is in ProPath. PMAS projects will keep using their current organizational repositories until the new PMAS Artifact Central Repository is available.

4.0 Management Control

This section describes the methods by which project performance will be monitored and controlled under PMAS.

The purpose of PMAS Management Control is to provide an understanding of the project's progress so that appropriate corrective actions can be taken when the project's performance deviates significantly from plan.

The project's plans are the basis for monitoring activities, communicating status, and taking corrective action. Progress is primarily determined by comparing actual project performance data against the project's baseline. Appropriate visibility to management enables timely corrective action to be taken when performance deviates significantly from the plan. A deviation is significant if, when left unresolved, it precludes the project from meeting its objectives.

When this occurs, the project will be moved to the PMAS pause state.

Regular and consistent reporting and assessment of project progress against established baselines is a mandatory aspect of PMAS. Performance monitoring involves but is not limited to monthly reporting and both internal and independent review and assessment.

Performance metrics are a byproduct of the data used to manage the project. This data will be captured and maintained in an OI&T level project performance database. All PMAS performance reports will be derived from this database.

4.1 Performance Monitoring

Project performance data will be maintained in a database which is under development. Notification of database location will be provided when the database becomes available.

Until this database is stood up, PMs will continue to provide data in an excel file to PD on a monthly basis.

Performance data will be maintained in real time. PMs are required to continuously monitor projects, record any changes, and raise red flags immediately.

Some of the key performance indicators required under PMAS are:

- Schedule adherence
- Cost adherence
- Scope drift
- Spend plan execution
- Product quality
- Number of Red Flags

4.2 Reporting

PMAS status reports will be generated from the PMAS performance database. The product delivery section of the OI&T Monthly Progress Review (MPR) will be

derived from this database. A weekly project status dashboard is also derived from this database. This data can also be used to create ad-hoc reports at the request of OI&T senior management.

4.3 Review and Assessment

The intent of these reviews and assessments are not to impede project or increment performance. Focus will be on required artifacts and/or process compliance.

PMAS includes three forms of review and assessment in order to support management control: CIO review, independent review, and internal review. The type, focus and level of detail of these reviews and assessments will vary according to the nature of the review requested or required. Review and assessment guides and methodologies, including checklists, will be made available to PMs within ProPath or other official artifact repositories.

4.3.1 CIO Reviews

The CIO may require a briefing or independent review on a project's status at any time.

4.3.2 Internal Reviews

Internal reviews may be conducted by any involved competency organization, including the IPT, and/or the OOR.
In addition, to facilitate internal reviews, based on project risk and available staffing, an independent reviewer can be made a member of the project IPT to routinely monitor project execution on an ongoing basis.

4.3.3 Independent Reviews

Independent reviews are conducted by a review team that is organizationally separate from the product delivery team. There are three types of Independent Reviews: PMAS Start/Restart Reviews, PMAS Compliance Reviews, and PMAS Outcome Reviews.

4.3.3.1 PMAS Start/Restart Reviews

PMAS Start/Restart Reviews are intended to verify that a project is ready to enter the Active state of PMAS per the requirements of Section 2.7.

PMAS Start/Restart Reviews are the responsibility of the OOR. The Program Management Policy, Assessment, and Reporting (PAR) team may provide assistance to the OOR upon request.

4.3.3.2 PMAS Compliance Reviews

PMAS Compliance Reviews are periodical reviews intended to ensure projects are compliant with PMAS.

PMAS Compliance Reviews are the responsibility of IT Oversight & Compliance (ITOC).

4.3.3.3 PMAS Outcome Reviews

PMAS Outcome Reviews are reviews intended to accomplish two purposes:

- Ensure that delivered increments were what the customer expected
- Ensure that projects are working toward effectively delivering what is expected in the timeframe, quality and budget that are expected.

5.0 PMAS Processes

There are key processes that provide guidance for PMAS projects and increments. These processes can be found in APPENDIX B. In addition, there are numerous PMAS related processes in ProPath with which PMs must comply.

6.0 PMAS Stakeholders and Responsibilities

Roles and responsibilities are identified throughout the PMAS Guide. This section synopsizes key roles and responsibilities; however, all participants must understand all requirements for PMAS and their respective roles and responsibilities specified throughout the PMAS Guide.

6.1 Chief Information Officer (CIO)

The Chief Information Officer (CIO) or Designee is responsible for:

1) Authorizing new projects and increments in PMAS	2.6.1
2) Approving funding needed for projects and increments via the OI&T Operating Plan	2.6.1, 2.6.2, 2.9.1
3) Authorizing changes to a project status: Planning, Active, Paused, Closed	2.5
4) Monitoring PMAS project and increment progress via reporting and review and assessment	4.1
5) Approving and signing the IPT Charter	3.1.3.1
6) Ensures Certification and Accreditation	
7) Addressing Red Flags	2.4.5

6.2 Business Sponsor

The Business Sponsor (Customer/End User) is responsible for:

1) Being a key member of the IPT by setting requirements, monitoring and approving changes and accepting project increment deliverables	2.8.1
2) Determining overall project and increment requirements	2.6, 3.1.1
3) Signing off on all project requirements	3.1.1
4) Monitoring and approving project changes such as scope, cost and schedule	4.1
5) Approving and signing off on increment deliverables	2.4.3, 3.2.1.1
6) Providing prompt feedback for post implementation operations of the system	2.8.5
7) Signing as approval of Customer Acceptance Form	3.2.1.1

6.3 Office of Responsibility (OOR)

The OOR is responsible for:

1) Work with the Business Sponsor to develop project and increment scope	3.0
2) Ensuring all resources are available for project success	2.8.3
3) Conducting internal reviews as necessary	4.3.2
4) Monitoring and approving project changes such as red flags, scope, cost and schedule	2.3.5, 4.1

5) Making recommendations to the CIO regarding project status: Planning, Active, Paused, Stopped	2.4.5, 2.5
6) Addressing Red Flags	2.4.5

6.4 Information Technology Program Manager (IT PgM)

The IT PgM is responsible for:

1) Being a key member of the IPT for planning, reporting and change control processes	2.8.1
2) Ensuring all PMs within their program have the necessary resources for project successes	2.1
3) Ensuring all PMs within the program have the resources necessary to fulfill the requirements of their individual projects	2.8.3
4) Monitoring project performance regarding cost, schedule, and scope	4.1
5) Ensuring necessary contracts and contract vehicles are in place to support incremental deliveries – including: contract type, period of performance, deliverable structure, and funding ceilings	2.8.4
6) Maintaining a prioritized list of PMAS projects and increments which constitute the program	2.7
7) Recommending an independent review or pause of project activities as necessary	4.3.3
8) Addressing Red Flags	2.4.5
9) Identifying the project alignment from increment through project, program, and OMB Exhibit 300 investment according to established standards	2.6.2, 3.1.5

6.5 Project Manager (PM)

The PM is responsible for:

1) Managing the project and delivering expected outcomes on time and within budget	2.3.4
2) Being a key member of the IPT	2.4.3, 2.8.1
3) Ensuring all requirements and resources necessary to deliver a project are available	2.8.3
4) Raising Red Flags	2.4.5,
5) Raising risks and issues that could impact project success or that require management intervention	2.8.4
6) Providing project level metrics as required by the PMAS reporting structure	2.4.3, 4.1
7) Signing the Customer Acceptance Form	3.2.1.1
8) Determining when the subsequent increment will be ready to be started	2.8.5
9) Preparing the Customer Acceptance Form indicating how the delivery adequately fulfils the increments requirements	2.8.6
10) Shutting down or re-planning the project as directed	2.10.1

6.6 Enterprise Operations Field Development (EOFD)

EOFD is responsible for:

1) Being a key member of IPT by ensuring that project requirements can be supported by VA IT infrastructure	2.8.1
2) Providing support with infrastructure, security, testing and training	2.8.3
3) Providing a Release Manager to serve as a member of the IPT responsible for project and increment release management processes	2.8.1

6.7 Process Management Services

Process Management Services is responsible for:

1) Ensuring that all PMAS processes, documentation and templates are in ProPath	3.3
2) Administering and maintaining the ProPath process library system	3.3

6.8 Information Technology Resource Management (ITRM)

ITRM is responsible for:

1) Providing an increment funding number, the increment funding level, and the date of approval for funding for increment execution	2.8.3
2) Coordinating project and increment funding changes	2.9.1
3) Performing reallocation of funds activities if the project is stopped	2.10.1

6.9 Architecture, Strategy and Design (ASD)

ASD is responsible for:

1) Coordinating project and increment reports	4.2
2) Performing independent project reviews and assessments	4.3.3

6.10 Information Protection and Risk Management (IPRM)

IPRM is responsible for:

1) Being a key member of the IPT by providing information on security, privacy and information protection	2.8.1

6.11 Integrated Project Team (IPT)

The IPT is responsible for:

1) Ensuring all project and increment requirements are in place, including contracts and resources necessary to have a reasonable expectation for project success	2.8.1
2) Serving as the governing and management mechanism for the project	2.8.1

3) Implementing internal review and control processes as needed to ensure the effective delivery of project and increment deliverables for which they are responsible	4.3.2
4) Monitoring current status of project based upon the reports provided by the PM and identifying and addressing critical issues	4.1
5) Determining when a Red Flag can be addressed within the program and providing the response directly back to the PM	2.4.5
6) Signing as approval for any relevant project artifacts	3.1

6.12 Independent Review Team

The Independent Review Team provided by ASD is responsible for:

1) Performing PMAS Outcome Reviews	4.3.3.3
2) Providing findings and recommendations regarding project performance as requested	4.3.3.3
3) Providing assistance in PMAS Start/Restart Reviews when the OOR needs assistance	

6.13 General Counsel

The General Counsel is responsible for:

1) Being a key member of the IPT by reviewing and coordinating all legal and contractual actions	2.8.1

6.14 Contract Officer (CO)

The Contract Officer (CO) is responsible for:

1) Being a key member of the IPT team and coordinating all contract related actions	2.8.1
2) Committing and modifying Government funds throughout contract life from inception to completion	2.8.4
3) Responsible for all contract awards and actions	

6.15 Release Manager

The Release Manager is responsible for:

1) Participating as an active and engaged IPT member representing the EOFD release processes and serves as the EOFD release management subject matter expert and primary release management decision maker	2.8.1
2) Coordinates all elements of deployment including infrastructure enhancements, security and sustainment	2.8.3.2
3) Verifies that infrastructure for the deliverable are in place or are funded	3.2.1

APPENDIX A. Acronym Listing

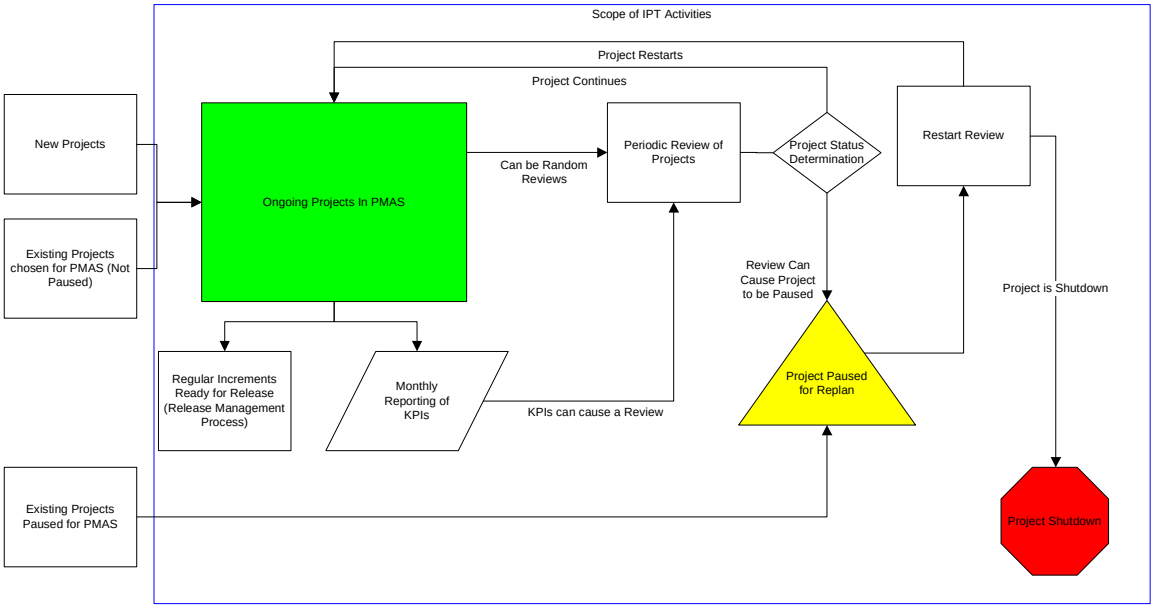
Acronym	Definition
ACRe	Artifact Central Repository
ADCIO	Assistant Deputy CIO
AS/I&T	Assistant Secretary for Information and Technology
ASD	Architecture, Strategy and Design
C&A	Certification & Accreditations
CCB	Change Control Board
CIO	Chief Information Officer
CLIN	Contract Line Item Number
CO	Contract Officer
CONOPs	Concept of Operations
COTS	Commercial Off-the-Shelf
DAS	Deputy Assistant Secretary
DCIO	Deputy Chief Information Officer
E300	Exhibit 300
EOFD	Enterprise Operations and Field Development
FTE	Full-Time Employees
FY	Fiscal Year
IMS	Integrated Master Schedule
IPRM	Information Protection and Risk Management
IPT	Integrated Project Team
IT	Information Technology
IT PgM	Information Technology Program Manager
ITRM	Information Technology Resource Management
MPR	Monthly Performance Review
MOSS	Microsoft Office SharePoint Server
OAL	Office of Acquisition and Logistics
OBS	Organizational Breakdown Structure
OGC	Office of General Counsel
OI&T	Office of Information and Technology
OMB	Office of Management and Budget
OOR	Office of Responsibility
OI&T OP	OI&T Operating Plan a.k.a. Priority List
PD	Product Development
PM	Project Manager
PMAS	Project Management Accountability System
PMP	Project Management Plan
RSD	Requirements Specification Document
SDD	System Design Document
SDLC	System Development Life Cycle
TAC	Technology Acquisition Center
VA	Department of Veterans Affairs

APPENDIX B. PMAS Processes

Appendix B Table of Contents

B.1 PMAS Flow of Projects

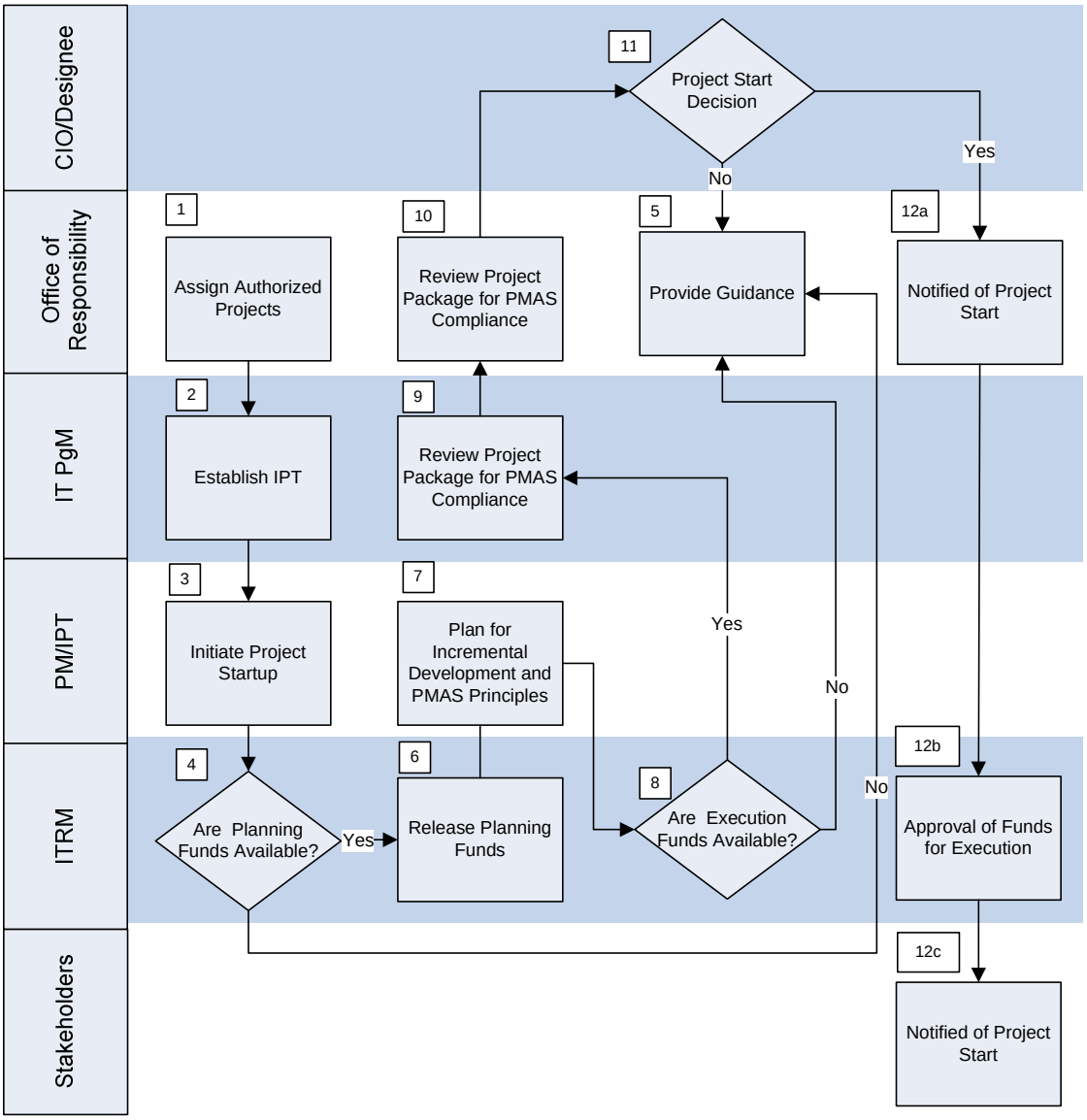
PMAS Project Flow Diagram



B.2 New Project Process

The new project process applies to all funded VA IT projects. Projects in a paused state must follow the Restart Process for Paused Projects (B.7).

For all projects entering PMAS, the project planning phase must be completed. The project planning phase must produce the minimum required artifacts outlined in Section 3.1.



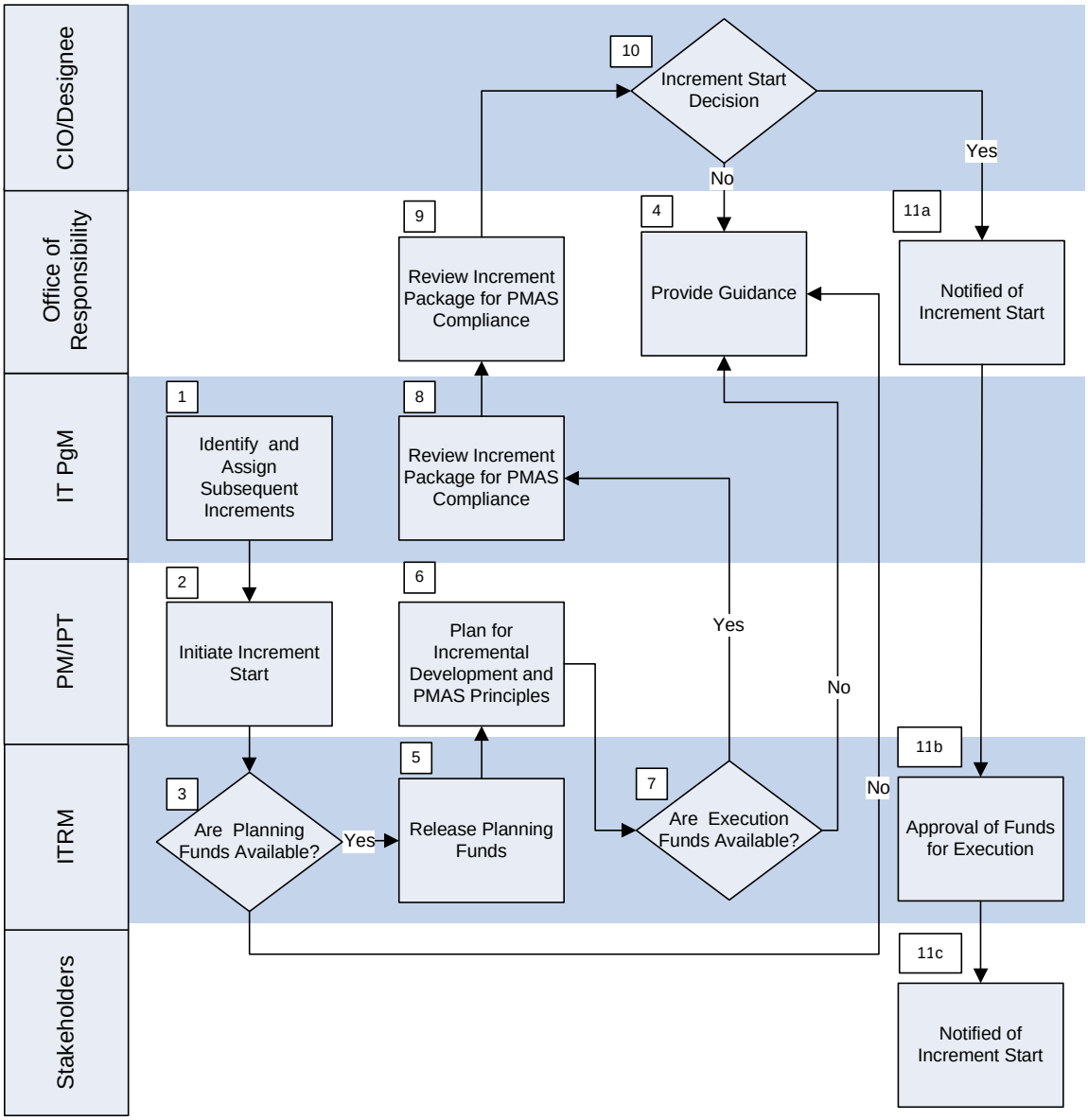
New Project Process Flow Diagram

1) **Office of Responsibility Assigns Authorized Project**
   The OOR reviews and assigns which projects are authorized in the annual OI&T Operating Plan or by the CIO. OORs will maintain a prioritized list of sanctioned projects to enter PMAS.
2) **IT PgM Establishes IPT**
   IT PgM is notified by the OOR when a project has been authorized for entry into PMAS. They will establish the IPT.

3) **PM/IPT Initiates Project Startup**
   PM/IPT will initiate project startup process.
4) **ITRM Determines if Planning Funds are Available**
   The IT PgM verifies with ITRM that planning funds are available for the project in the OI&T OP. If funds are not available, proceed to Step 5. If funds are available, proceed to Step 6.
5) **OOR Provides Guidance**
   OOR provides guidance to the project that has been put on hold because project planning funding is not available, funds are unable to be executed, or the CIO states the project is not ready.
6) **ITRM Releases Planning Funds for Project**
   ITRM will release planning funds if project planning is approved for funding.
7) **PM/IPT Plans for Incremental Development and PMAS Principles**
   PM/IPT ensure all PMAS required project documentation has been completed and approved (where required).
8) **ITRM Determines if Execution Funds are Available**
   The PM/IPT verifies with ITRM that execution funds are available for the project in the OI&T OP. If funds are not available, proceed to Step 5. If funds are available, proceed to Step 9.
9) **IT PgM Reviews Project Package for PMAS Compliance**
   IT PgM reviews project package documentation to determine if the project is ready to present to the CIO.
10) **OOR Reviews Project Package for PMAS Compliance**
    OOR reviews project package documentation to determine if the project is ready to present to the CIO. The OOR will provide a recommendation to the CIO about the project's readiness to execute. ASD Independent Review Team can provide assistance with this task when the OOR requests assistance.
11) **CIO or Designee Makes a Project Start Decision with PMAS**
    The CIO or Designee will determine if the project is ready for execution. If the project is not ready, proceed to Step 5 in this process. If the project is ready, proceed to Step 12.
12) **Notification of Project Start**
    OOR will inform key stakeholders of project start including the IT PgM, the Business Sponsor and ASD.
    The PM/IPT will submit the completed PMAS Readiness Checklist (in ProPath) to the Business Office of their OOR. Business Office, in turn, will communication with ITRM.
    ITRM will approve funding for execution for the project increment and assign a project increment funding number for financial management control. ITRM will return the PMAS Readiness Checklist to the PM with the increment number, the increment funding level, and the date of approval of funding for increment execution.
    The project may begin working. The increment six month clock will begin.
    ITRM will prepare a certification letter to Congress as to the readiness of releasing increment execution funds.

B.3 Authorization to Start Subsequent Increment Process

For subsequent increments, follow this process.



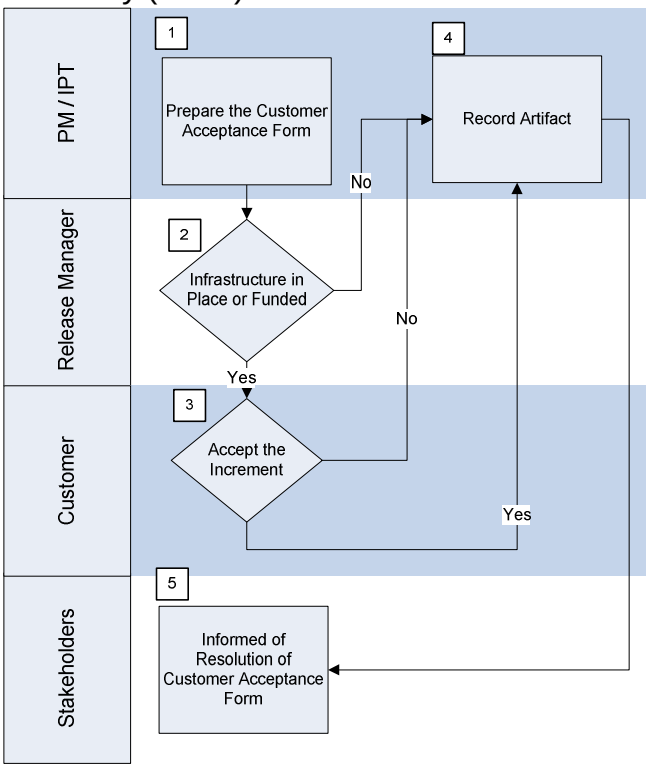
Authorization to Start Subsequent Increment Process Flow Diagram

1) **IT PgM Identify and Assign Subsequent Increments**
   IT PgM identifies and assigns subsequent increment.
2) **PM/IPT Initiate Increment Start**
   PM/IPT initiates increment start.
3) **ITRM Determines if Planning Funds are Available**
   The IT PgM verifies with ITRM that planning funds are available for the increment in the OI&T OP. If funds are not available, proceed to Step 4. If funds are available, proceed to Step 5.

4) **OOR Provides Guidance**
   OOR provides guidance to the project that has been put on hold because increment planning funding is not available, funds are unable to be executed, or the CIO states the increment is not ready.
5) **ITRM Releases Funds for Project**
   ITRM will release funds if increment planning is approved for funding.
6) **PM/IPT Plans for Incremental Development and PMAS Principles**
   PM/IPT ensure all PMAS required increment documentation have been completed and approved (where required).
7) **ITRM Determines if Execution Funds are Available**
   The PM/IPT verifies with ITRM that execution funds are available for the increment in the OI&T OP. If funds are unavailable, proceed to Step 4. If funds are available, proceed to Step 8.
8) **IT PgM Reviews Increment Package for PMAS Compliance**
   IT PgM reviews increment package documentation to determine if the increment is ready to present information to the CIO.
9) **OOR Reviews Increment Package for PMAS Compliance**
   OOR reviews increment package documentation to determine if the project is ready to present information to the CIO. The OOR will provide a recommendation to the CIO about the projects' readiness to enter PMAS. . ASD Independent Review Team can provide assistance with this task when the OOR requests assistance.
10) **CIO or Designee Makes a Increment Start Decision with PMAS**
    The CIO or Designee will determine if the increment is ready or not to enter PMAS. If the increment is not approved to start, proceed to Step 4 in this process. If the increment is approved to start, proceed to Step 11.
11) **Notification of Increment Start in PMAS**
    OOR will inform key stakeholders of increment start including the IT PgM, the Business Sponsor and ASD.
    The PM/IPT will submit the completed PMAS Readiness Checklist (in ProPath) to the Business Office of their OOR. Business Office, in turn, will communication with ITRM.
    ITRM will approve funding for execution for the increment and assign an increment funding number for financial management control. ITRM will return the PMAS Readiness Checklist to the PM with the increment number, the increment funding level, and the date of approval of funding for increment execution.
    The project may begin working. The increment six month clock will begin.
    ITRM will prepare a certification letter to Congress as to the readiness of releasing increment execution funds.

B.4 Increment Acceptance Process

Each PMAS delivery will be accepted and documented by the customer. Approvals for the Customer Acceptance Form can be via signature or electronically (email).

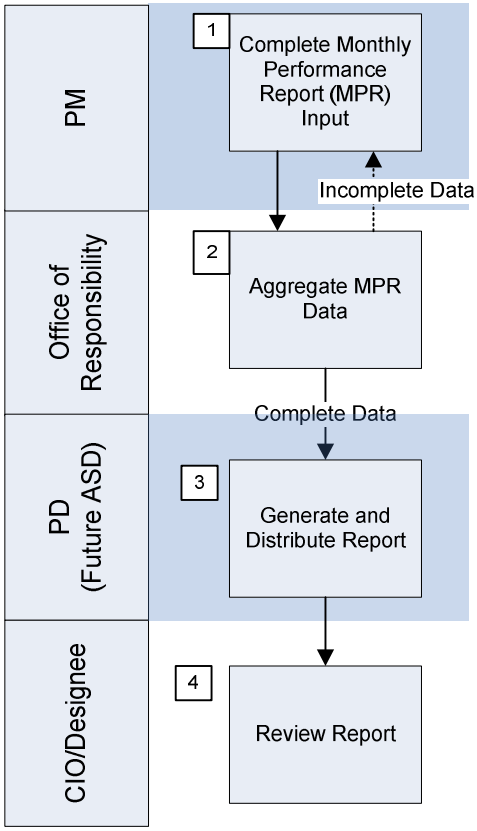


Increment Acceptance Process Flow Diagram

1) **PM/IPT Prepares the Customer Acceptance Form**
   PM/IPT prepares the Customer Acceptance Form. The PM approves this form indicating that all increment requirements have been met. The template is included in the Acceptance Criteria Plan.
2) **Release Manager Validates Infrastructure in Place or Funded**
   The Release Manager approves the Customer Acceptance form indicating the IT infrastructure is in place or funded to deploy the increment. If the Release Manager agrees that the IT infrastructure is in place or funded to deploy the increment proceed to Step 3, otherwise proceed to Step 4.
3) **Customer Accepts the Increment**
   The Customer approves the Customer Acceptance Form indicating acceptance or rejection of the increment.
4) **PM/IPT Records the Artifact**
   PM/IPT stores the completed Customer Acceptance Form in the project repository.
5) **Stakeholders Receive Notification**
   PM/IPT notifies stakeholders of acceptance or rejection of the increment. The stakeholders include but are not limited too; OOR, ITRM, ASD, and the Business Sponsor. If the Release Manager and/or Customer do not accept the delivery of the increment, the project has missed the increment deliverable and receives a “strike” (“3 strikes rule”).

B.5 Monthly Project Reporting Process

This process is in support of Section 4.2. The current reporting process focuses on monthly information. All OORs that oversee PMAS projects are responsible for ensuring that PMs deliver project data in a timely manner. All projects under the purview of PMAS are subject to the monthly project reporting process.

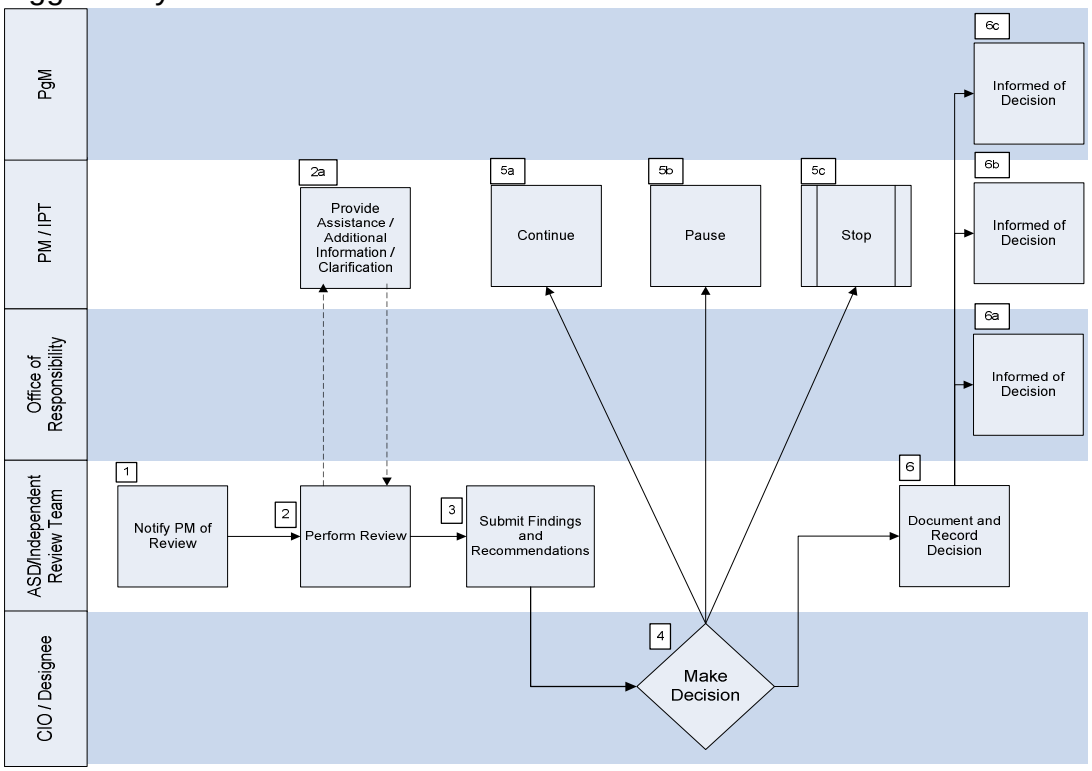


Monthly Project Reporting Process Flow Diagram

1) **PM Completes Monthly Performance Report Input**
   Each OOR provides a Data Call template to their PMs. Each PM completes the monthly report and returns it to the OOR.
2) **Office of Responsibility Aggregates Monthly Report**
   OOR collects and validates that all projects have reported. The OOR works with PMs to obtain any missing data. When all data is available, the OOR submits the data for its office to PD (ASD in future). Note: The OOR is responsible for collecting all required data from its PMs – not PD/ASD.
3) **PD/ASD Generate and Distribute Monthly Report**
   PD (future ASD) generates the dashboard and distributes the report to OOR and Quality, Performance & Oversight (QP&O). QP&O prepares the reports for CIO monthly binder.
4) **CIO Conducts MPR**
   CIO conducts the MPR meeting with the OORs. Projects with a missed deadline, cumulative three missed deadlines, multiple Red Flags, or open issues from independent reviews may be called to meet with the CIO or designee.

B.6 Independent Review Process

Independent reviews will be coordinated by ASD. This process starts when triggered by one of the events in Section 4.3.3.

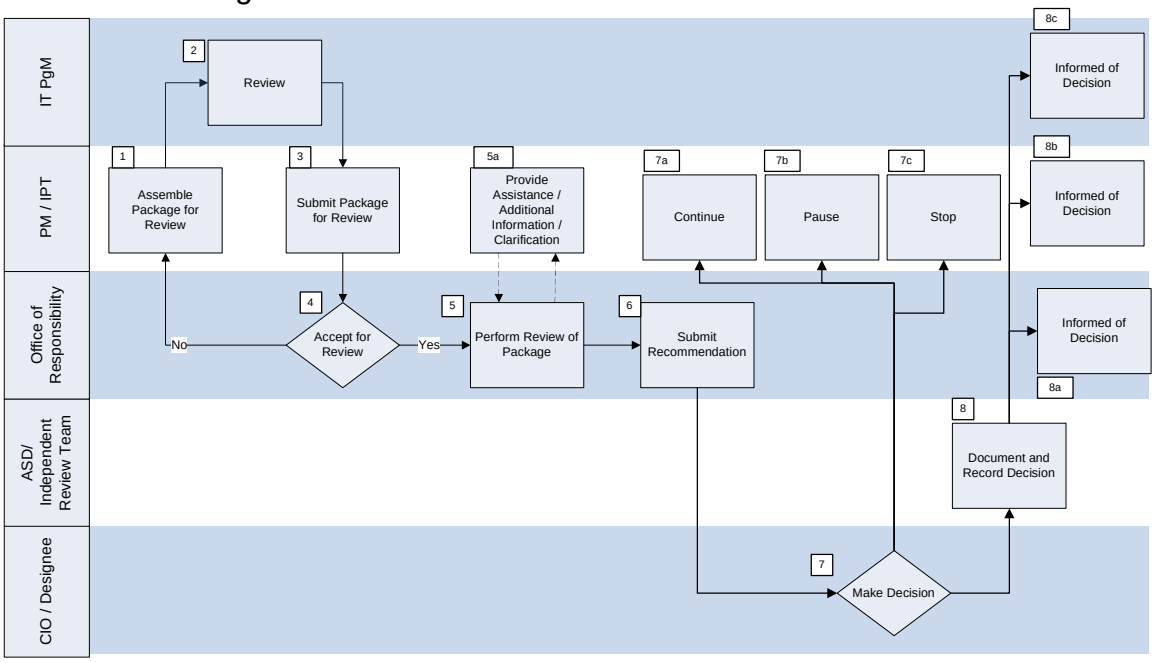


Independent Review Process Flow Diagram

1) **Independent Review Team Notifies PM**
   Independent Review Team notifies PM of review occurring.
2) **Independent Review Team Performs Review**
   Independent Review Team conducts the review by accessing project-specific documents in the project repository. The Independent Review Team coordinates with the PM for any assistance, additional information, or clarification needed during the review.
3) **Independent Review Team Submits Findings/Recommendations**
   Independent Review Team prepares and submits findings and recommendations.
4) **CIO or Designee Makes Decision to Continue, Pause, or Stop Project**
   The CIO or Designee can direct the project to continue, pause or stop. If the project is to be stopped, proceed to B.8 Shutdown Process.
5) **PM/IPT Implements CIO/Designee Decision**
   The PM/IPT takes the action necessitated by the decision.
6) **Independent Review Team Documents Decision**
   The Independent Review Team records the decision of the CIO or Designee and informs the OOR, the IT PgM, the PM and the Business Sponsor (not shown on process flow). The independent review team provides a soft copy of the documented decision to the PM to be stored in the project repository.

B.7 Restart Process for Paused Projects

Projects will be considered for restart if in a paused state. Senior review will occur to determine if necessary changes have been made for the project to become active again.



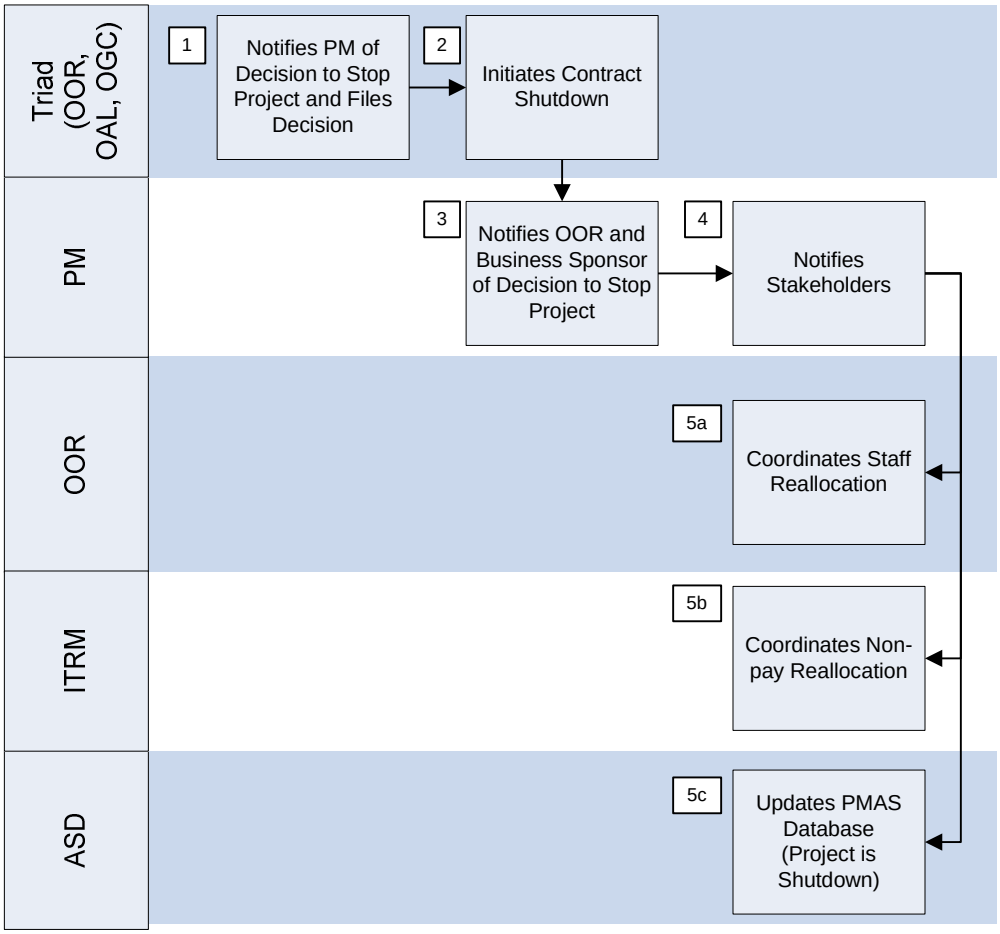
Restart Process for Paused Projects Flow Diagram

1) **PM/IPT Assembles Package for Review**
   PM/IPT creates/updates the required artifacts to provide evidence of revised project planning.
2) **IT PgM Reviews Project Package for Compliance**
   The IT PgM performs a review of the package created. The IT PgM provides feedback to the PM regarding the project's revised plan.
3) **PM/IPT Submits Package for Review**
   PM/IPT updates package per IT PgM's comments then submits the package to OOR for review. PM must submit the plan for restart within 60 days of the project pause decision. Failure to submit plan for restart within 60 days will cause project to be stopped.
4) **Office of Responsibility Accepts for Review**
   OOR DAS/DCIO, or designee, reviews the package submitted by the PM. If the DAS/DCIO determines the package is not ready for review, then return to Step 1. If the DAS/DCIO determines the package is ready for review, then proceed to Step 5.
5) **OOR Performs Review of Package**
   OOR reviews the revised plan. The OOR coordinates with the PM for any assistance, additional information, or clarification needed during the review.
6) **OOR Submits Recommendation**
   OOR prepares and submits findings and recommendations.

7) **CIO or Designee Makes Project Status Decision**
   The CIO or designee determines whether the project can be restarted, needs further planning or is to be stopped. If the project is to be stopped, proceed to B.8 Shutdown Process.
8) **ASD Records Decision**
   ASD records the decision of the CIO or designee and informs the OOR, the IT PgM, the PM and the Business Sponsor (not shown on process flow).

B.8 Shutdown Process

Projects in a “stop” state will initiate the Shutdown Process. During the process, projects can only obligate funds for shutting down. Starting point is that a project has been stopped.

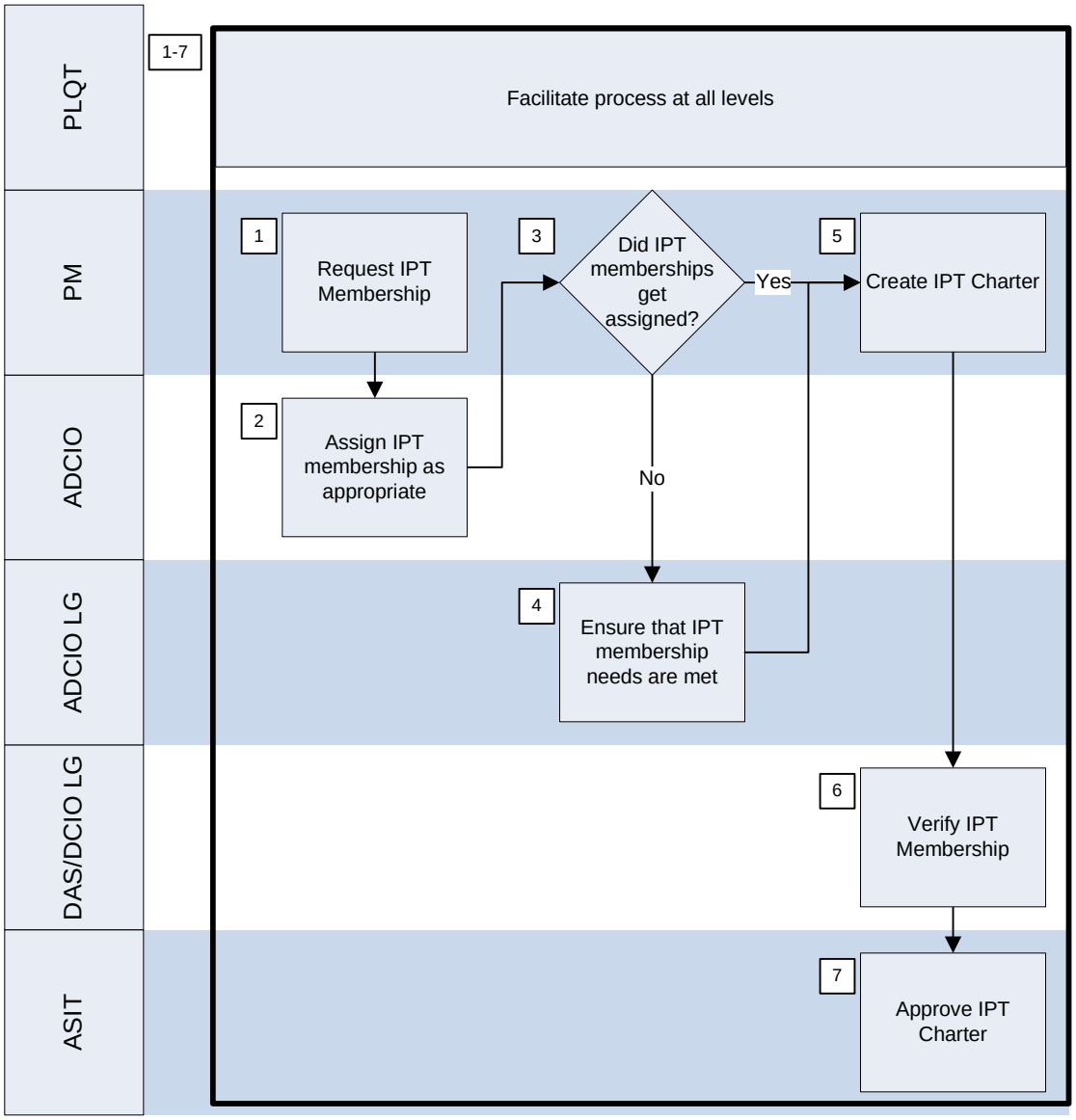


Shutdown Process Flow Diagram

1) **Triad Notifies PM of Decision to Stop Project and Files Decision**
   Triad Notifies PM of decision to stop project and files decision.
2) **PM Initiates Contract Shutdown**
   PM initiates contract shutdown.
3) **PM Notifies OOR and Business Sponsor of Decision to Stop Project**
   PM notifies OOR and Business Sponsor of decision to stop project.
4) **PM Notifies Stakeholders**
   PM notifies stakeholders of decision to stop project. Stakeholders include but are not limited to the Contractor, the IPT, and the project staff.
5) **Responsible Offices Coordinate Closeout Activities**
   OOR coordinates staff reallocation.
   ITRM coordinates non-pay reallocation.
   ASD updates PMAS Database (project is shutdown).

B.9 Obtaining IPT Membership Process

When establishing an IPT per Section 2.8.1, the PM will initiate this process to obtain IPT membership.



Obtaining IPT Membership Process Flow Diagram

1-7) Project Lifecycle Quality Team facilitates this process at all levels

The Project Lifecycle Quality Team (PLQT) assists in facilitation of this process during each step of the process as needed.

1) PM Requests IPT Membership

The PM requests membership for the IPT by placing a request on the IPT membership coordination website.

2) ADCIO(s) Assign IPT membership as appropriate

Each ADCIO from the relevant competency areas assign a member from their organization to participate in the IPT as appropriate.

3) **PM determines if IPT membership was assigned in a timely manner**
   If the PM determines that all necessary IPT members were assigned in a timely manner, proceed to Step 5. If not, proceed to Step 4.
4) **ADCIO Leadership Group ensures IPT membership needs are met**
   When the PM determines that IPT members were not provided in a timely manner, the ADCIO Leadership Group addresses the need for membership and ensures that appropriate ADCIOs provide members to the IPT.
5) **PM Creates IPT Charter**
   Once IPT membership has been determined, the PM creates an IPT charter and has each member of the IPT sign the charter.
6) **DAS/DCIO verifies the IPT membership**
   The DAS/DCIO reviews the IPT charter and verifies that the IPT has been created at the right level and appropriate IPT membership has been provided.
7) **ASIT approves the IPT Charter**
   The ASIT (or designee) approves the IPT Charter.