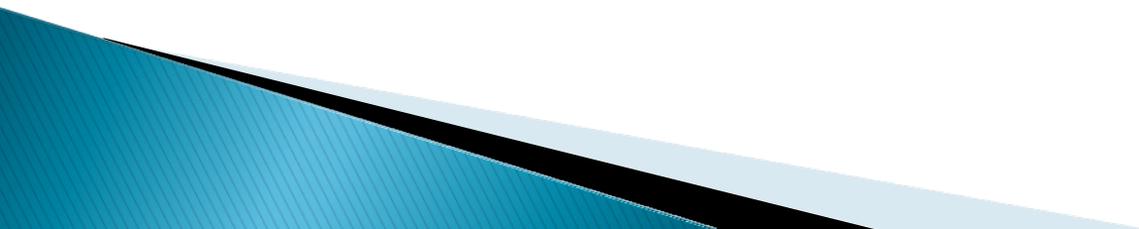
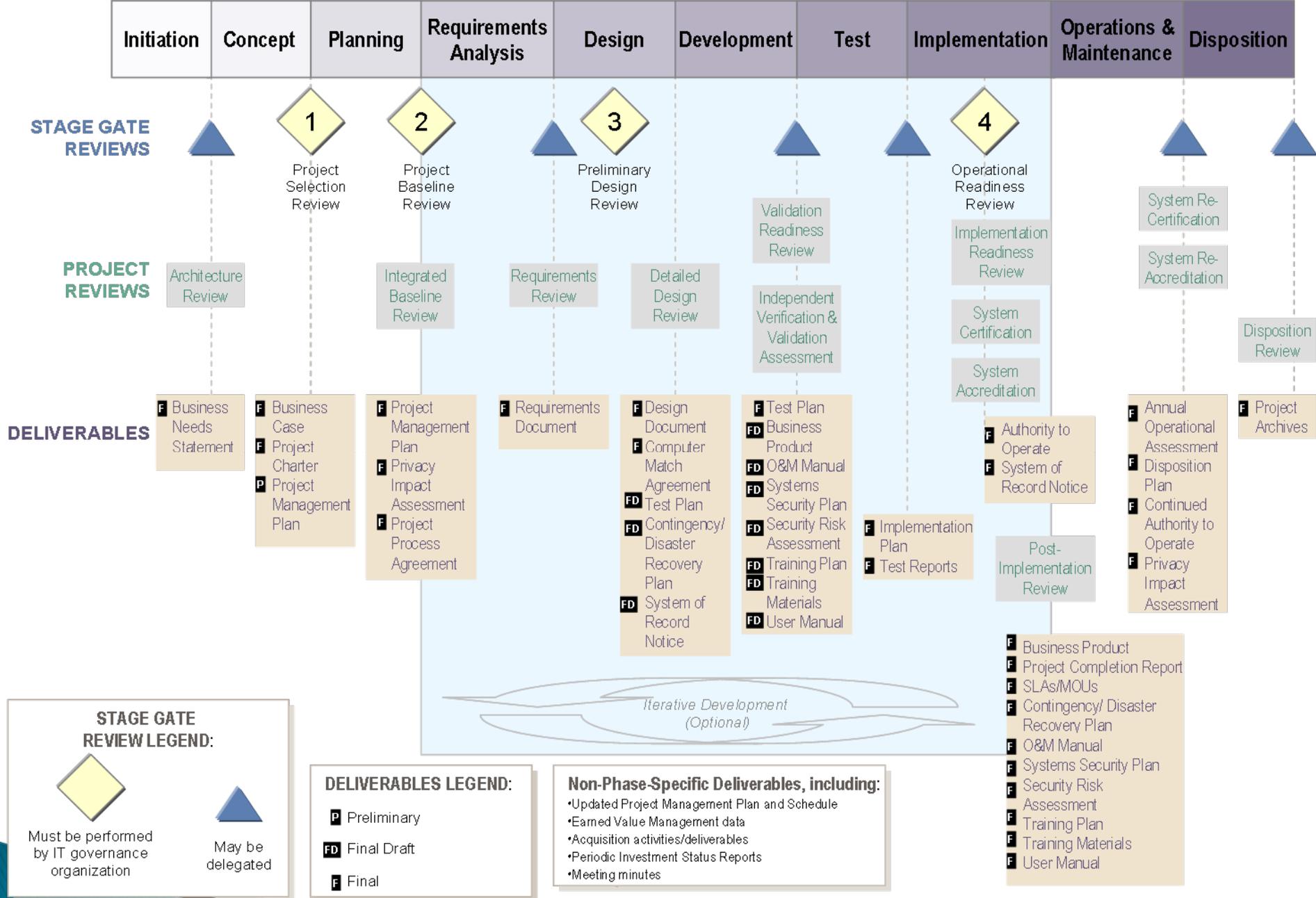


# EPLC for Non-Enterprise Projects

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# Objectives

- ▶ Review the EPLC phases
  - ▶ Discuss how each phase can be ‘tailored’ for the non-enterprise project
  - ▶ Identify potential document templates to help with the ‘tailoring’ process
- 



**DELIVERABLES**

- F Business Needs Statement

- F Business Case
- F Project Charter
- P Project Management Plan

- F Project Management Plan
- F Privacy Impact Assessment
- F Project Process Agreement

- F Requirements Document

- F Design Document
- F Computer Match Agreement
- FD Contingency/Disaster Recovery Plan
- FD System of Record Notice

- F Test Plan
- FD Business Product
- FD O&M Manual
- FD Systems Security Plan
- FD Security Risk Assessment
- FD Training Plan
- FD Training Materials
- FD User Manual

- F Implementation Plan
- F Test Reports

- F Authority to Operate
- F System of Record Notice

Post-Implementation Review

- F Business Product
- F Project Completion Report
- F SLAs/MOUs
- F Contingency/Disaster Recovery Plan
- F O&M Manual
- F Systems Security Plan
- F Security Risk Assessment
- F Training Plan
- F Training Materials
- F User Manual

- F Annual Operational Assessment
- F Disposition Plan
- F Continued Authority to Operate
- F Privacy Impact Assessment

- F Project Archives

*Iterative Development (Optional)*

# DCRI PMO

- ▶ Established 2005
- ▶ 4 Project Managers
- ▶ Standard PM methodology in use
- ▶ Types of Projects
  - Large – Pharmacy, Surgery
  - Medium – CRIS Secure Health Messaging
  - Custom – Dashboard, QI Database
  - Data Feeds/Interfaces – to and from CRIS
  - ‘O & M’ – system upgrades, primary provider update, CRIS training refresh

# Phase 1 – Initiation

Description – ID business need, estimated cost, schedule and high-level risks

Outcome – Decision to develop a business case and initial project management plan (PMP)

# Phase 1 – Initiation

## Tailor

- ▶ IT Project Request (template) – what information do you want to know at this point?
  - Define the need
  - Evaluation of current systems – can they do this
  - Define benefit
  - Estimated cost of project, and cost savings of outcome
  - Estimated schedule
  - Any initial risks

# Phase 1 – Initiation

## Process

- ▶ Define what to do with the requests
  - Who will they be submitted to
  - Who will review them
  - Do you need to prioritize
  - Communication back to requestor
  - Process for feeding information on to next phase

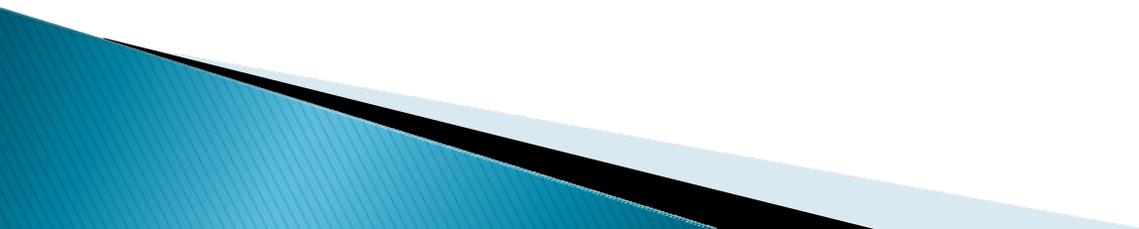
# Phase 2 Concept

Description – ID high-level requirements, develop business case, charter and PMP

Outcome – Project selection and approval of initial cost, schedule and performance baseline

# Phase 2 – Concept

## Tailor

- ▶ Business case (template)
  - ▶ Charter (template)
  - ▶ Combination document (template)
- 

# Phase 2 – Concept

## Process

- ▶ What documentation is necessary to Authorize the project
  - Could depend on size or complexity of project
  - Could depend on type of project
  - Is this a Change Request from another project
  - Has it already authorized

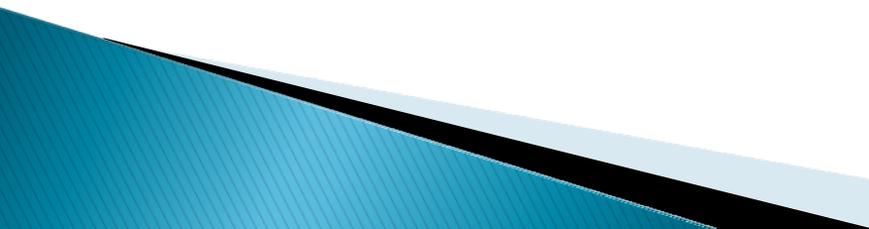
# Phase 3 – Planning

Description – Complete the PMP

Outcome – An approved project scope and associated planning documentation (PMP)

# Phase 3 – Planning

## Tailor

- ▶ Never tailor out Scope Document
  - ▶ Assessment from Security & Privacy team
  - ▶ Format for workplan (WBS)
  - ▶ Standard plans – consistent across all projects
  - ▶ Templates for project specific plans
  - ▶ Is project team training required
  - ▶ Project ‘Tailor’ checklist (template)
- 

# Phase 3 – Planning

## Process

- ▶ Often first phase project manager is involved in
  - ▶ Always do a scope document and have sponsors approve
  - ▶ Utilize standard plans
  - ▶ Utilize shorter templates for project specific plans
  - ▶ Define when IV&V will be involved
  - ▶ Software for tracking scope, risks, issues, etc.
- 

# Communication Plan

## Basic Communication Plan – Add rows as needed

NAME/AUDIENCE/ROLE	WHAT INFO IS NEEDED?	WHEN IS THE INFO NEEDED?	VEHICLE/METHOD FOR REPORTING	RESPONSIBLE PARTY
Project Sponsor	<ul style="list-style-type: none"> <li>Project Status</li> <li>Escalated Issues</li> <li>For decision-making</li> </ul>	<ul style="list-style-type: none"> <li>Weekly</li> <li>As needed</li> </ul>	<ul style="list-style-type: none"> <li>Weekly</li> <li>As needed</li> </ul>	<Project Manager>
Project Management Officer	<ul style="list-style-type: none"> <li>Project Status</li> </ul>	<ul style="list-style-type: none"> <li>Monthly</li> </ul>	<ul style="list-style-type: none"> <li>Project list</li> <li>Spreadsheet</li> </ul>	<Project Manager>
Project Manager	<ul style="list-style-type: none"> <li>Status on work accomplished</li> <li>Risks or issues as they arise</li> <li>Decisions affecting the project</li> </ul>	<ul style="list-style-type: none"> <li>Weekly</li> </ul>	<ul style="list-style-type: none"> <li>Verbal – recorded in minutes</li> <li>Email</li> </ul>	<Project Team Members>
Review Boards (Functional & Technical)	<ul style="list-style-type: none"> <li>Timing for upgrade relative to other initiatives</li> <li>Project Status</li> <li>Decisions effecting the project</li> </ul>	<ul style="list-style-type: none"> <li>As needed</li> </ul>	<ul style="list-style-type: none"> <li>Verbal – recorded in minutes</li> </ul>	<Project Manager>
Project Team	<ul style="list-style-type: none"> <li>Timing for upgrade relative to other initiatives</li> <li>Project Status</li> <li>Decisions effecting the project</li> </ul>	<ul style="list-style-type: none"> <li>As needed</li> </ul>	<ul style="list-style-type: none"> <li>Verbal – recorded in minutes</li> </ul>	<Project Manager>
PMT & SSP meetings	<ul style="list-style-type: none"> <li>Project Status</li> <li>Decisions affecting ancillary application owners and/or end users</li> </ul>	<ul style="list-style-type: none"> <li>Monthly or Bi-Monthly</li> </ul>	<ul style="list-style-type: none"> <li>Verbal – recorded in minutes</li> </ul>	<Project Manager>

# Project Checklist

Include?		EPLC Process	DCRI PMO Equivalent		
Yes	No	Deliverable	Deliverable	Source	Justification if Not Included in Project
		<b>Initiating</b>	<b>Initiating</b>		
		Business Needs Statement	New Project Request	Template	
		Architecture Review	Technical Review (completed in planning)	TIPs	
		Stage Gate Review	Stage Gate Review	Template	
		<b>Concept</b>	<b>Initiating</b>		
		Business Case		Document	
		Project Charter		Document	
		Project Selection Review	New Project Review	TIPs	
		<b>Planning</b>	<b>Planning</b>		
		Project Process Agreement	Project Planning Checklist	Template	
		Project Management Plan	Project Scope	TIPs	
			Roles & Contacts	SharePoint	
			Communication Plan	SharePoint	
			Risk ID & Analysis	TIPs	
			Project Workplan	MS Project	
		Security/Privacy Impact Assessment	Security Review	TIPs	
		Integrated Baseline Review	(Completed by team when defined)		
		Project Baseline Review	Scope Approval	TIPs	
		<b>Requirements Analysis</b>	<b>Planning</b>		
		Requirements Document	Business Requirement	Template	
		Requirements Review	(Reviewed by team when defined)		
		Stage Gate Review	Stage Gate Review	Template	
		<b>Design</b>	<b>Executing &amp; Controlling</b>		
		Design Document	Tech. Req or Mapping Document	Template	
		Computer Match Agreement		Document	
		Detailed Design Review	(Reviewed by team when defined)		
		Preliminary Design Review	Technical Req Approval	Signature on Document	
		<b>Development</b>	<b>Executing &amp; Controlling</b>		

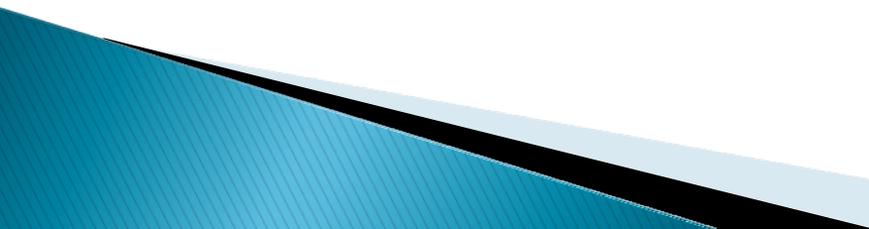
# Phase 4 – Requirements Analysis

Description – Develop detailed requirements and the workplan (WBS)

Outcome – An approved of the requirements

# Phase 4 – Requirements Analysis

## Tailor

- ▶ If the workplan (WBS) completed in planning, not needed here
  - ▶ If implementing a COTs product, are the requirements in the contract, not needed here
  - ▶ Required for custom development (application, reports, etc.)
  - ▶ Maybe required for some COTs projects – can be part of the scope (addendum)
- 

# Phase 4 – Requirements Analysis

## Process

- ▶ Define when and where requirements will be defined
    - In contract
    - In scope (addendum)
    - Separate document (template)
  - ▶ Define type of requirements documents
    - Business requirements
    - Technical requirements
    - Interface mapping documents
    - Report specifications
- 

# Stage Gate Review Template

## Stage Deliverables

Please rate the deliverables for this Stage from 1 (Poor) to 3 (Excellent)

Deliverable Name	Completeness	Accuracy	Adequacy	Comments

## Known Issues/Risks

Risk Description	Impact	Probability of Occurrence

## Recommendations

Approval Level (check one)	Explanations, Caveats or Conditions
Approve	
Approve with Conditions	
Discontinue Project	

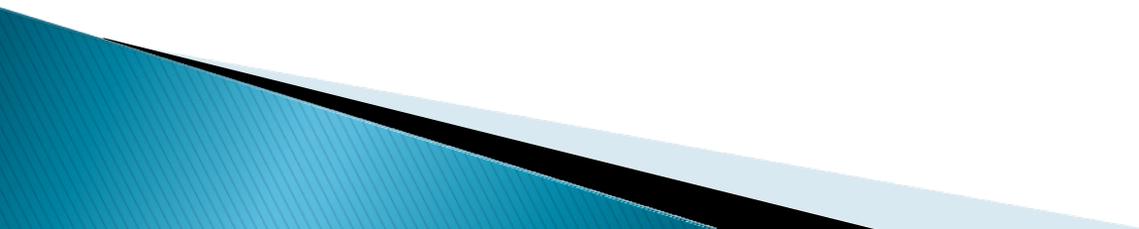
# Phase 5 – Design

Description – Develop Design document

Outcome – Completion of business product design

# Phase 5 – Design

## Tailor

- ▶ Required for custom application development
  - ▶ May want to specify number of reviews to keep project on schedule
  - ▶ May not be needed for COTs implementations
- 

# Phase 5 – Design

## Process

- ▶ Process for design reviews can be defined in a Standard plan that is referenced for each project
- ▶ A short template can be used to fill in the details unique to this project
  - Number of reviews
  - Reviewers
  - Schedule including design elements being reviewed at each

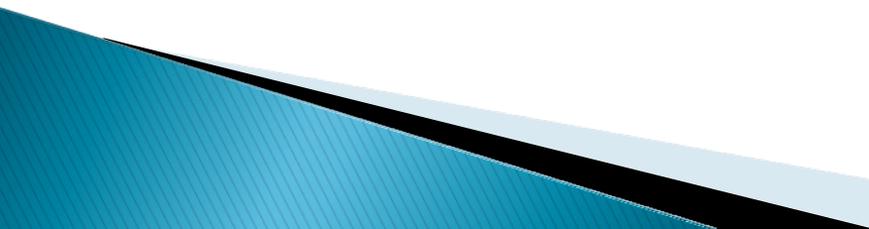
# Phase 6 – Development

Description – Develop code and other deliverables, conduct IV&V assessments

Outcome – Completion of all coding, documentation and test plans

# Phase 6 – Development

## Tailor

- ▶ Part of Execution & Control phases
  - ▶ Test plan
    - Developed earlier
    - Can be standard plan with shorter project specific documentation
  - ▶ Security and Privacy documentation based on assessment completed during planning
  - ▶ User manual, training materials, O&M manual dependent on unique project
  - ▶ IV&V needed
- 

# Phase 6 – Development

## Process

- ▶ The process should be the same
  - Status meetings
  - Management of issues, risks, constraints, budget
- ▶ Specific work to be done defined in planning
- ▶ Define when IV&V will be used – type, size or complexity of project...always (should be included in planning documentation)

# Phase 7 – Testing

Description – Thorough testing and documentation

Outcome – Completed testing, including user acceptance testing, readiness for training and implementation

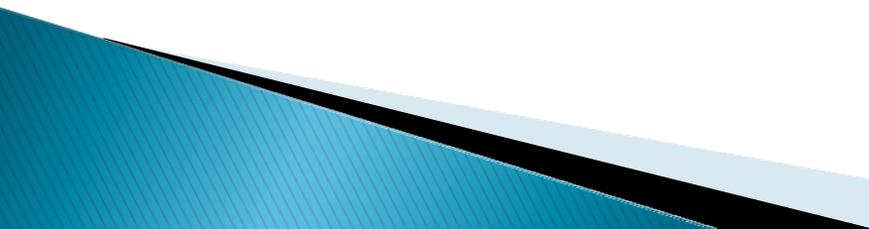
# Phase 7 – Testing

## Tailor

- ▶ Part of Execution & Control phases
- ▶ Should not be tailored out
- ▶ Testing phases can be tailored based on uniqueness of project
  - ▶ Unit
  - ▶ Functional
  - ▶ Integration
  - ▶ System
  - ▶ Performance
  - ▶ Parallel
  - ▶ Regression
  - ▶ User Acceptance

# Phase 7 – Testing

## Process

- ▶ Standard test plan
  - ▶ Template for defining specific testing for this project
    - Type of testing to be done
    - Who will do testing
    - Duration and volume of each phase
  - ▶ Test scripts
  - ▶ Test scenarios
- 

# Phase 8 – Implementation

Description – Conduct training, determine readiness, execute Implementation Plan

Outcome – Successful establishment of full production capability & completion of post-implementation review

# Phase 8 – Implementation

## Tailor

- ▶ Part of Execution & Control phases
  - ▶ Should not be tailored out
  - ▶ Training can be phased out if not necessary
  - ▶ Readiness criteria and assessment should begin in development
  - ▶ Should not tailor out the Implementation Plan – we call Activation Planning
  - ▶ Security and Privacy documentation based on assessment completed during planning
- 

# Phase 8 – Implementation

## Process

- ▶ Process and template for Readiness Review
  - Who decides criteria
  - Go/No-go meetings
- ▶ Activation planning process
  - Rehearsal & Checklist
- ▶ Post-Implementation review process
  - Project completion template
  - Approval is acceptance of project deliverables and project completion.
  - Lessons Learned Meeting

# Phase 9 – O & M

Description – Operate and maintain production system & conduct annual operational analyses

Outcome – Successful operation of the investment based on cost schedule and performance benchmarks

# Phase 9 – O & M

## Tailor

- ▶ Annual Operational Review
- ▶ Should track all changes to system
  - Configuration management
  - Project
- ▶ Updating all documentation as necessary

# Phase 9 – O & M

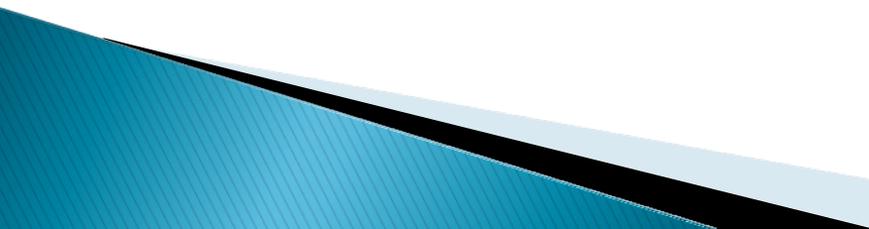
## Process

- ▶ Configuration management process
    - SOP
    - System to track Change Requests
  - ▶ Project management process
    - Larger Change Requests that should follow standard PM methodology, but fall in this phase
  - ▶ Annual operational review process
    - Define performance metrics
    - Define who will collect data
    - Include Security & Privacy staff
- 

# Phase 10 – Disposition

- ▶ Develop template for documentation
  - Define system
  - Define data in system
  - Define preservation/disposition of data
  - Define how system will be retired
  - Define disposition of hardware
  - Define archive of life cycle products

# Final Thoughts

- ▶ Define a standard process
  - ▶ Use templates – MS Word, Excel, etc.
  - ▶ What tools are available to you
  - ▶ Obtain approval of the ‘Tailoring’
  - ▶ Communicate the process to all, especially the sponsors
- 

# Questions?

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