Project Management Accountability System Guide 4.0

U.S. Department of Veteran Affairs

Office of Information and Technology

Approval for the Project Management Accountability System (PMAS) Guide

The PMAS Guide provides guidance for planning, management control, processes, roles, and responsibilities for VA Information Technology (IT) projects conducted in accordance with PMAS. This Guide provides direction, procedures, and processes that must be adhered to for successful IT project management within VA. PMAS is supplemented by ProPath, a repository that contains artifacts, processes and procedures.

The PMAS Guide must be followed by all Office of Information and Technology (OIT) qualifying projects that deliver new functionality or enhance existing systems. In the event there is a conflict with previously issued VA or OIT guidance or publications, the PMAS Guide 4.0 will take precedence.

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 PMAS Business Office (005Q) by the VA PMAS Business Office email at: VAPMAS@va.gov.

Approved by:

NOV 07 2012

Stephen W. Warren Date

Principal Deputy Assistant Secretary for Information and Technology

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RECORD OF CHANGES

Version	Date	Comments
1.0	3/29/2010	Initial Release
2.0	9/17/2010	Update to improve policies and processes associated with PMAS
2.1	6/28/2011	Update to provide AS/IT direction and intent to improve policies and processes associated with PMAS
3.0	9/6/2011	Update to improve policies and processes associated with PMAS
4.0	11/7/2012	Update to improve policies and processes associated with PMAS

1. REASON FOR ISSUE. To revise Department of Veterans Affairs policy issued September 6, 2011.

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 all PMAS Principles
b. Creation of Milestone 0 and Milestone 1 Reviews
c. Creation of PMAS States Life Cycle
d. Creation of Milestone 2, 3 and 4 Reviews
e. Clarification of the Active state
f. Addition of reporting requirements by PMAS state
g. Addition of required reviews by PMAS state
h. Addition of Green Flags
i. Addition of Yellow Flags
j. Clarification of definitions: moved execution information out of the definitions section
k. Addition of tables for all Artifacts required by State

3. RESPONSIBLE OFFICE. Assistant Secretary for Information and Technology (005), Product Development (005Q), PMAS Business Office (005Q).

4. RECISSION. The Project Management Accountability System (PMAS) Guide 3.0, dated September 6, 2011, is rescinded.

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1.0 Purpose

PMAS establishes a discipline which ensures the customer, the IT project team, vendors, and all stakeholders invested in an IT project are aligned by a single compelling mission – achieving a project's stated incremental deliverable on-time. The purpose of PMAS is to improve the Department of Veterans Affairs (VA) IT project delivery success rate. 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 in accordance with PMAS are tightly monitored and are subject to review by senior leadership when significant deviations from plans occur.

As described in the PMAS Directive, which mandates the use of PMAS within VA, this Guide provides direction for the planning, execution, management control, procedures, definitions and roles and responsibilities for VA IT projects. This Guide must be adhered to for all applicable IT projects within VA.

Use of this Guide is the first step for the (IT) Program Manager (ITPROG), the Project Manager (PM) and his or her Integrated Project Team (IPT) in improving VA's IT project delivery rate success. Everything the ITPROG, PM and IPT members need to know to achieve that goal can be found in this Guide. It provides a PMAS overview, defines its states, describes PMAS project management, lists the project artifacts, assigns stakeholder responsibilities and concludes with a list of definitions. This Guide provides the knowledge, processes, and artifacts that are essential to achieving on-time increment delivery performance.

1.1 PMAS Applicability

The Assistant Secretary for Information Technology (AS/IT) has directed all product delivery projects to use PMAS, the performance-based project management discipline. All VA IT projects that introduce new functionality or enhance existing capabilities within current systems in VA are defined as 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 defined as product delivery projects and are not governed by PMAS.

PMAS is required for all development projects that create new functionality or enhance existing capabilities in the VA IT system or infrastructure. Projects in VA that are funded through the IT Appropriation and are resourced at a value greater than $250,000 total lifecycle cost must use PMAS.

2.0 PMAS Description

VA oversees the most comprehensive Veterans' assistance programs in the world. Services are managed by VA's three administrations: Veterans Health Administration (VHA), Veterans Benefits Administration (VBA), and the National Cemetery Administration (NCA). Prior to 2007, each administration maintained its own IT budget and portfolio. Subsequently, this led to the development of stove-piped applications and non-integrated, sub optimized IT solutions. In 2007, Congress created one budget authorization for all VA IT spending and gave VA's Chief Information Officer (CIO) sole budget authority. With that authority, the VA Office of Information and Technology (OIT) became the federal government's most empowered IT organization.

Faced with the challenge of servicing more than 22 million veterans and their families, VA leadership recognized the need for internal controls to manage an estimated $3 billion appropriation. By 2009, VA was struggling with IT project development and delivery delays. At the direction of Congress and the VA Office of Inspector General (OIG), VA conducted an internal review of more than 280 IT development projects. Analysis of these projects revealed that VA delivered only 30 percent of IT development projects on time. Further, late delivery, no delivery, or the delivery of inaccurate functionality resulted in millions of dollars being wasted or mismanaged with little or no accountability. The analysis concluded that VA IT was not providing value to taxpayers or Veterans and their families and, thus, neglecting to meet its core mission.

In June 2009, in addressing this challenge VA announced a change in the way it planned and managed IT projects. Every IT project would now be managed through PMAS. It establishes a robust data collecting, reporting and monitoring IT system, mirrored with strictly enforced IT development business rules to produce IT functionality that customers value and can use. PMAS facilitates relationships that ensure customer needs are met, minimizes waste in IT investments and reduces project management and technical risks. Additionally, PMAS rebalances IT requirements with available staffing, focuses IT efforts by funding only projects with adequate resources and enables VA to intervene in projects as soon as problems arise. Integral to PMAS, the PMAS Dashboard provides real-time status of every development project, enabling senior leaders to identify and escalate early-stage issues, mitigate risks and implement solutions in a timely manner.

In the first year of PMAS execution, VA increased its on-time milestone delivery rate from less than 30% to 89% for all IT project milestones. In FY 2009, VA avoided at least $200 million in cost by stopping 45 under-resourced projects. PMAS enables VA to manage IT program complexities, assess efficiency, and quickly address areas requiring improvement.

2.1 PMAS Principles

In an effort to make Project Managers (PMs) and projects more successful, PMAS adheres to eight major principles: incremental development, integrated teamwork across VA, accountability, resource management, transparency, senior leadership engagement, direct participation by the customer, and emphasis of Agile practices.

2.1.1 PMAS Projects are Built on Incremental Development

Breaking a project into increments reduces delivery risk. Reducing delivery risk increases the potential for a successful delivery. PMAS requires delivery of new capability or capabilities in increments of six months or less. This approach provides the PM an advantage in achieving ultimate success.

2.1.2 PMAS Relies on Integrated Teamwork Across VA

All PMAS projects must have a fully functioning project or program level IPT (see Section 4.1). IPT members are comprised of all applicable stakeholders from OIT, the Office of General Counsel (OGC), and the Office of Acquisition and Logistics (OAL), in addition to the Business Sponsor. The appropriate representation within the IPT ensures that all stakeholders are aware of and committed to meeting key project deliverables. This approach enables coordinated teamwork from multiple organizations to be a key driver of the project's daily performance.

2.1.3 PMAS Enforces Accountability

PMAS provides senior leadership increased visibility into project execution, which results in greater accountability. The Project Manager (PM), members of the IPT and vendor staff are held accountable throughout the project's schedule to ensure on-time product delivery. The PM will manage the project and deliver expected outcomes within cost, schedule, and scope. PMs are expected to raise any risks and issues (via the Yellow and Red Flag process)(see sections 4.7.1 and 4.7.2) in a timely manner to avoid any issues which could impede on-time product delivery.

2.1.4 PMAS Emphasizes Resource Management

PMAS recognizes that increment delivery success depends on ensuring resources are available before a project starts each increment. Increment resources include funding, contracts, people, and infrastructure. Increments will not start or maintain execution unless they have the required resources. Projects are provided resources by increment, based on established OIT project priorities. Resources are managed by increment, to include recording project time by increment and acquiring planning and execution contract resources by increment.

2.1.5 PMAS Enables Transparency

All PMAS processes are designed to enable leadership and project management to clearly see cost, schedule, quality, scope, and resource status through the project's lifecycle. Green Flags, Red Flags and Yellow Flags provide senior leaders significant information regarding best practices, warning of increased risk and issues that require management intervention. In addition, the data collection in the PMAS Dashboard enables PMs to provide senior leaders visibility into project status. Finally, TechStats provide the opportunity for PMs to present the root causes of failures to meet an increment deliverable date to senior leaders for guidance and/or resolution. TechStats also provide the AS/IT or the Principle Deputy Assistant Secretary (PDAS) the option to issue a Strike against the project (see section 8.13).

2.1.6 PMAS Directly Engages Senior Leadership

PMAS IT PMs have channels to communicate with senior leaders at various stages of the lifecycle. PMAS projects are reviewed by senior leaders at various stages, including initial planning, at the commitment of resources, entering national deployment or enterprise-wide production and upon completion of deployment . IT PMs can engage senior leaders when needed to solve problems. When projects miss deliverables, senior leaders conduct project specific reviews. When projects achieve significant results, the benefits are conveyed to VA IT senior leaders and the wider VA IT community.

2.1.7 PMAS Requires Direct and Continual Participation by the Customer Community

The customer community is involved in several ways throughout a PMAS project lifecycle. The Business Sponsor is a representative and advocate for the customer community. The Business Sponsor serves as member of the IPT and is a key participant in issue resolution. The customer community is involved from the New Start state until the beginning of the Closed state.

2.1.8 PMAS Emphasizes Agile Practices

Even though PMAS does not require implementation of Agile, PMAS strongly encourages adoption of Agile practices during project execution. Agile practices highlight close collaboration with the customer; iterative, small-chunk development; testing and release of functionality; continuous integration and quality improvement; and on-going process improvement. The PMAS Business Office (PBO) SharePoint site provides detail on some of these practices at: **http://go.va.gov/PBO**.

2.2 Establishing a Project

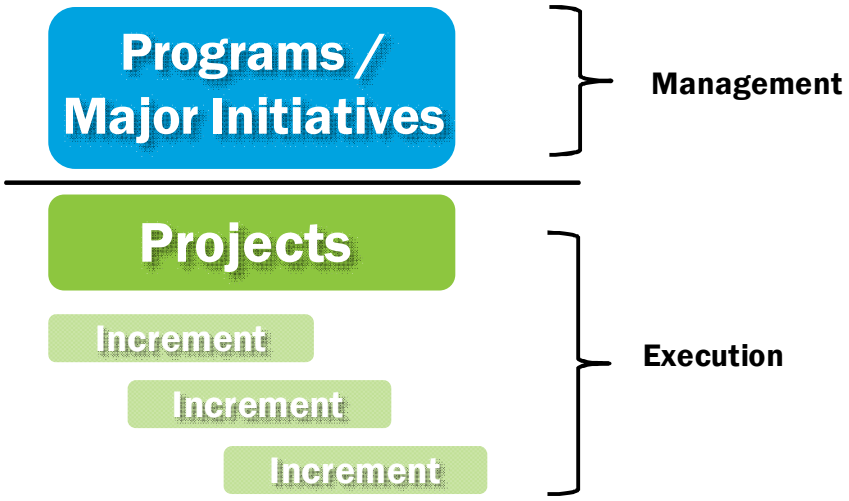

Figure 1 PMAS Management and Execution

VA manages its IT efforts as programs, or what are known as Major Initiatives (MIs). For execution, MIs define projects for delivering capabilities. These projects are then managed through PMAS. Increments within each project deliver the capabilities. Projects can have multiple increments and programs/MIs can have multiple projects. In summary, VA's approach is to organize as MIs or programs, manage by project and execute by increment The New Start state, Planning state, and Closed state are focused at the project level, while the focus of the Active state is on increments. An incremental-based focus needs to be adhered to for the execution of the project, which is what occurs at the Milestone One and Two reviews. An IT PM must be able to document their increment based-budget, detail the specific requirements being implemented in each increment and know their staffing requirements per increment. In addition, all acquisitions are now required to use increment-based acquisition approaches.

2.3 PMAS Project Schedules

It is essential that PMAS projects and increments have schedules and the project manager make every effort to achieve them. For its IT projects, VA is moving to a standard schedule approach. PMAS requires certain mandatory core schedule elements and the project manager is responsible to record these elements in the PMAS Dashboard. At a minimum, the schedules must contain certain core schedule elements. These core schedule elements are listed and described in the following table by PMAS state. (Please note that if a project is not doing an activity described in the Core Schedule Element, they do not have to include it). Additional information about the PMAS states can be found in sections 2.5 and 3.0.

Core Schedule Element	Description
Project Level: Events that occur throughout a project and are not bound to a state	
Acquisition Start	Acquisition Start - Acquisition activities begin to obtain resources for eventual project execution
Acquisition package submitted	Procurement package submitted (to Technology Acquisitions Center (TAC), or other agency, as applicable)
Acquisition package determined actionable	Procurement package determined to be actionable by TAC
Acquisition package publicly released	Solicitation package publicly released to potential suppliers (Request for Proposal, Request for Quote, Request for Bid, or other acquisition solicitation).
Acquisition Award	Contract(s) necessary for project execution finalized.
Development Environment Available	The environment required to enable development activities to begin is available for the developers to use and the developers have access to it.
Testing Environment Available	The environment required to enable testing activities to begin is available for the testers to use and the testers have access to it.
Pre-Production Environment Available	The environment required to enable pre-production activities to begin is available to use and the appropriate access to it has been provided.
Production Environment Available	The environment required to enable production activities to begin is available to use and the appropriate access to it has been provided
National Release Acceptance Completion Date	Final testing acceptance, certification and bundling of the software for full field deployment is performed, authorizing national rollout of the system. Deployment covers release/distribution of the software product and the Implementation Plan. .
Release Completion Date	Completion Date for a system release that is approved for National Rollout by SDE
NEW START state	
Start Date	Start date for the New Start state
Last New Start Review Date	Last review date by the OOR
Milestone 0 Review Date	Projected date for the Milestone 0 Review

Core Schedule Element	Description
End Date	End date for the New Start state
PLANNING state	
Planning Start Date	Start date for the Planning State
Last Planning Review Date	Last review date by the OOR
Milestone 1 Review for Active Date	Projected date for the Milestone 1 Review for Active
Planning End Date	End date for the Planning State
ACTIVE state	
Active Start Date	Start date for the Active State
Milestone 2 Review Date	Projected date for the Milestone 2 Review
Milestone 3 Review Date	Projected date for the Milestone 3 Review
Active Finish Date	End date for the Active State
Increment-Level	
Increment Start Date	Date on which a project increment starts
Milestone 1 Review Dates	Projected dates for the Milestone 1 Reviews for subsequent increment approval
Initial Operational Capability Start Date	Start date to begin release of the Project IOC
Initial Operational Capability Completion Date	Completion date for the release of the Project IOC
User Acceptance Testing Start Date	Start date for the final Increment-level UAT testing
User Acceptance Testing End Date	End date for the final Increment-level UAT testing
Increment Finish Date	Completion date for each increment
PROVISIONING state	
Provisioning Start Date	Start date for the Provisioning State
Provisioning Review Date	Last review date by the OOR
Provisioning End Date	End date for the Provisioning State
PAUSED state	
Paused Start Date	Start date for the Paused State
Paused Review Date	Last review date by the OOR
Paused End Date	End date for the Paused State
CLOSED state	
Milestone 4 Review Date	Projected date for the Milestone 4 Review date

The goal is for projects to remain in the Active state for no more than 24 months. Throughout this period, the emphasis is on the continued delivery of new capability to the customer. Projects that have been in the Active state for longer than 24 months must receive a Continuation Review. This review would determine whether the project remains in the Active state or transitions to the Closed state.

2.4 PMAS Dashboard

The PMAS Dashboard provides senior leaders visibility into the current status of the project. It also enables OIT to meet OMB reporting requirements. Moreover, analysis of the data allows senior

leaders to forecast future year projections of resources and project information, as well as analyze progress of existing projects.

Reporting in the PMAS Dashboard is required for all PMAS projects. Updates to the Dashboard must be made on a regular basis.

2.5 PMAS States

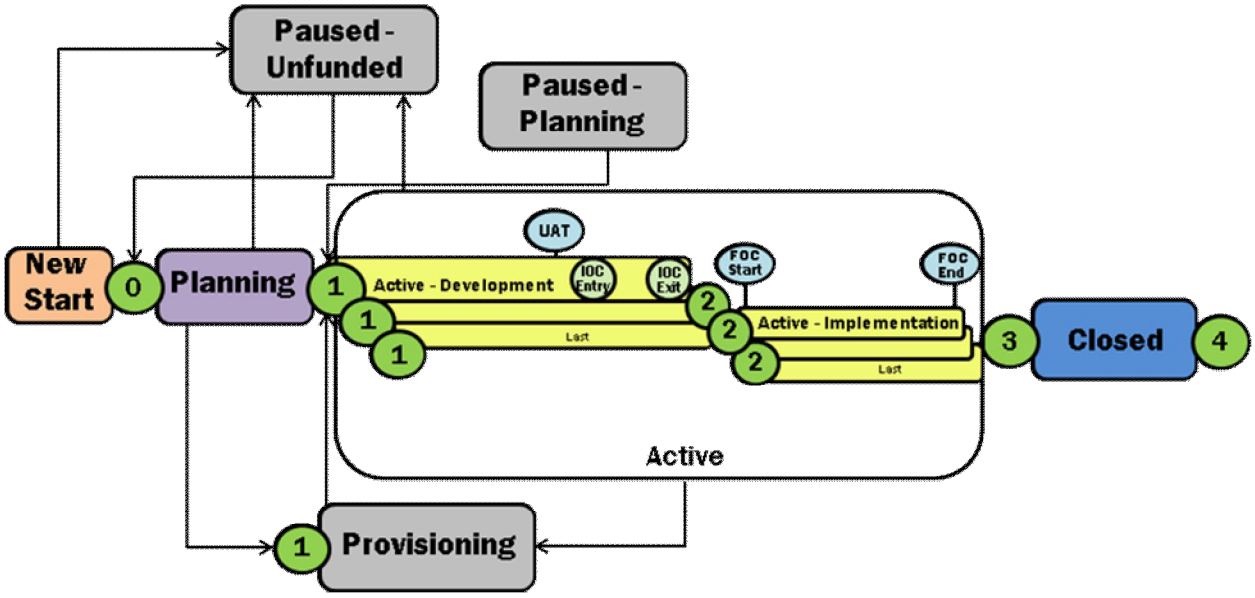

Figure 2: PMAS States

- Figure 2 above, shows the relationship between the PMAS States and the milestone reviews. As a project progresses through its development activities, the level of monitoring and reporting is determined by its position in the PMAS project management lifecycle. PMAS refers to these positions as states. PMAS projects may be in only one of six states at a time. There are four standard states: New Start, Planning, Active, and Closed, and two conditional states: Provisioning and Paused. Advancement through the states will only be approved upon successful completion of the requirements for each state as confirmed by completion of the associated by milestone review. The New Start state, Planning state, and Closed state are focused at the project level, while the focus of the Active state is on increments. An incremental-based focus needs to be adhered to for the execution of the project, which is what occurs at the Milestone One and Two reviews. An IT PM must be able to document their increment based-budget, detail the specific requirements being implemented in each increment and know their staffing requirements per increment. In addition, all acquisitions are now required to use increment-based acquisition approaches.

2.5.1 Standard PMAS States

- New Start state: Projects that have been identified to meet a business need in partnership with the customer, but that have not yet been approved to spend money.
- Planning state: Projects that are performing initial planning activities.

- Active state: Projects that have an approved schedule and funding, full resource commitments and that are executing the processes to build and deliver increments according to committed increment deliverables until the scope of the project is accomplished; the Active state has two types of increments, Active Development and Active Implementation.
- Closed state: Projects that are performing post development closeout activities or have been closed out.

2.5.2 Conditional PMAS States

- Provisioning state: Projects that have been successfully planned, but which require additional resources will enter this state from the Planning, Active, or Paused states.
- Paused state: Projects that are performing planning activities solely for the purpose of re-planning the project. Unfunded projects are put into the Paused-Unfunded.

3.0 PMAS States Life Cycle

3.1 New Start State

3.1.1 Entering the New Start State

All PMAS projects begin in the New Start state.

3.1.2 Funding

Work associated with a project in the New Start state is performed at the program level, under the program budget.

3.1.3 Activities

During the New Start state, the initial project scope and intent are defined by the Business Sponsor (who works with either the IT Program Manager (ITPROG) or PM within the Office of Responsibility (OOR)). Artifacts that must be completed in the New Start state, prior to entry into the Planning state, are listed in Section 5.3.

Projects in a New Start state remain in this state until approval is received through a Milestone 0 Review and is included in the Budget Operating Plan (BOP). , or until the project is Closed.

The Project must be on the BOP and have funding in addition to having the Approved/Signed artifacts in order to pass a Milestone 0 Review:

Document	Approved/Signed By
Business Requirements Document (BRD)	Business Sponsor PM Business Intake Review Board (BIRB)
Project Charter	Deputy Assistant Secretary/Deputy Chief Information Officer (DAS/DCIO) Business Sponsor ITPROG PM IPT Chair
IPT Charter	AS/IT or designee All members of the IPT
Quad Chart	Must be completed prior to entry into the Planning state. This artifact does not need to be approved or signed. Completion is a joint effort between the Business group and the OOR that summarizes what each project entails

3.1.4 Required Reporting

PMAS projects in the New Start state must report activities in the PMAS Dashboard. The reporting requirements for the PMAS Dashboard are described in the published documentation supporting data entry into the PMAS Dashboard. The PM or designee must review the information in the PMAS Dashboard at least monthly and update the information as needed.

3.1.5 Required Reviews

Projects in the New Start state must be evaluated every 90 calendar days by the OOR to ensure they are making sufficient progress. The intent of this requirement is to ensure that senior leaders within the OOR are evaluating and are aware of these projects. Processes for conducting 90-day reviews are the responsibility of the OOR.

3.2 Planning State

3.2.1 Entering the Planning State

A project must receive approval from the AS/IT, or designee, during a Milestone 0 Review to advance to the Planning state. The Milestone 0 Review verifies that the project is in the BOP and has a BRD, an IPT Charter, a Project Charter, and a Quad Chart. Milestone 0 Reviews are intended to verify that a project is ready to enter the Planning state. The review is documented by meeting minutes. The PM is responsible for requesting a Milestone 0 Review with the PMAS Business Office by sending an email to the PMAS Reviews mailbox (VAPMASReviews@va.gov). This email should include the name of the project, the type of review requested, the current PMAS state, and the name of the PM. The OOR's ADAS/ADCIO must participate in the Milestone 0 Review.

Milestone Reviews reflect the VA's collective determination and commitment that the project should continue in the development lifecycle. Attendees at the Milestone Reviews include empowered representatives from ASD, IS, OOR, OOR Budget Office, PD, and SDE.

3.2.2 Funding

Planning, Provisioning, and Paused projects may spend up to a total of 10% of the projects FY budget for planning activities without seeking approval from senior leaders. Any spending beyond 10% of the project's FY budget must be approved by the OOR DAS/DCIO. VA OIT is moving to increment based acquisitions. Planning should be a single option if a contract award is needed (see section 3.5).

All PMAS projects must have an Enterprise Project Structure (EPS) number.

3.2.3 Activities

Artifacts that must be completed during the Planning state, prior to entry into the Active state, are listed in Section 5.3 and in the following table. If the specifics of the project do not require the use of all of these documents, then provide justification for any exceptions at the Milestone 1 Review.

Document	Approved/Signed By
Requirements Specification Document (RSD)	Business Sponsor ITPROG PM IPT chair
Acceptance Criteria Plan	PM Business Sponsor SDE or its IPT designee
System Design Document (SDD) (Assumptions Verification Letter (AVL) may be used in lieu of the SDD)	Business Sponsor ITPROG PM IPT chair Engineering and Architecture Review Board Chair (Until the Engineering and Architecture Review Board is stood up, both the Engineering IPT member(s) and the Architecture IPT member(s) must approve/sign the SDD)
Project Management Plan (PMP)	Business Sponsor PM IPT Chair
Acquisition Strategy (if applicable)	ITPROG Business Sponsor IPT Chair Legal CO
Project Schedule	ITPROG Business Sponsor IPT Chair CO
Risk Log or Risk Register	This artifact does not need to be approved or signed. Document needs to be available, visible, and monitored
Enterprise Project Structure (EPS)	This artifact does not need to be approved or signed. Each project is required to be registered and listed in the EPS with a corresponding Unique Project Identifier (UPI).
Contract Information Sheet	ITPROG Business Sponsor CO IPT Chair
Product Evaluation and Decision Analysis (If Applicable)	ITPROG Business Sponsor IPT Chair CO
Outcome Statement	PM Business Sponsor IPT Chair

Document	Approved/Signed By
Operational Acceptance Plan (OAP)	IPT Chair SDE IPT member Business Sponsor

Projects in the Planning state must receive approval for entry into the Active state through a Milestone 1 Review for Active. If the project has completed planning activities, but is awaiting all required resources, it should move to the Provisioning state (see section 3.5.3). When planning Active increments, ensure that the contractor's period of performance of the procurement does not impact the increment schedule. All increments must be scheduled for delivery no later than 14 business days prior to the end of the period of performance.

3.2.4 Required Reporting

PMAS projects in the Planning state must be entered in the PMAS Dashboard. The PM or designee must review the information in the PMAS Dashboard at least monthly and update the information as often as there is a change in the required reportable data. The reporting requirements for the PMAS Dashboard are described in the published documentation supporting data entry in the PMAS Dashboard.

3.2.5 Required Reviews

Projects in the Planning state must be evaluated every 60 calendar days by the OOR to determine if the project will remain in Planning, move to the Active state, be reevaluated, or closed. The intent of this requirement is to ensure that senior leaders within the OOR are aware of and are evaluating these projects. Processes for conducting 60-day reviews are the responsibility of the OOR.

3.3 Active State

3.3.1 Entering the Active State

A project must receive approval from the OOR DAS/DCIO or designee during a Milestone 1 Review for Active to advance to the Active state and begin work on an active increment. In addition, for projects that received a Milestone 1 Review for Provisioning, they can enter the Active state by receiving a Milestone 1 Review for Active, see section 3.5.1. Projects must obtain Milestone 1 approval for every Active increment to establish schedule dates for the increments and to validate any design changes.

The Active state has two increment types: Active Development and Active Implementation. Each increment has a duration of six months or less. Entry to each type of increment is achieved by a milestone review. Active Development increments include both development work and the achievement of the initial operational capability (IOC) (if applicable).

The PM is responsible for scheduling a Milestone 1 Review for Active with the PMAS Business Office through an email sent to the PMAS Reviews mailbox (VAPMASReviews@va.gov). This email should include the name of the project, the type of review requested, the current PMAS state, and the name of the PM.

Milestone 1 Reviews for Active are documented by meeting minutes. If the project has already received a Milestone 1 for Provisioning Review, this review is less robust. The Milestone 1 for

Active Review verifies that the project is ready to enter the Active state and is ready to commit to increment delivery dates for its first increment.

During the Milestone 1 Reviews increment delivery dates will be established. These are the "locked-in" dates for which a project will be held accountable for meeting.

3.3.2 Funding

A PMAS project is funded through the IT Appropriation and documented on the BOP and may not enter the Active state until it has secured all resources, including funding.

3.3.3 Activities

The Active state is for the development and deployment of requirements. The team produces the technical solution from the agreed requirements. Multiple active increments may overlap, but each individual increment must not be longer than six months.

During Active Development, the increment(s) achieves IOC. Approval for IOC release is through SDE Release Management (see section 6.4.2). After a successful IOC, it receives a Milestone 2 Review to enter the Active Implementation increment. This increment type includes full delivery of the capability, including a national rollout.

The IOC Entry and Exit Reviews establish whether the increment is ready for IOC and is ready to exit IOC to a Milestone 2 Review. Some projects deploy all capabilities at once and are sometimes referred to as "big bang" or enterprise-wide deployments. For this type of project, IOC and the Full Operational Capability (FOC) occur at the same time and the Milestone 2 Review occurs after the IOC Reviews.

A Milestone 2 Review assesses the increment's readiness to make full delivery, or to execute a national rollout of a new capability.

The PM is responsible for scheduling a Milestone 2 Review with the PMAS Business Office through an email sent to the PMAS Reviews mailbox (VAPMASReviews@va.gov). This email should include the name of the project, the type of review requested, the current PMAS state, and the name of the PM.

Milestone 2 Reviews are documented by meeting minutes. The Milestone 2 Review verifies that the project is ready for full deployment or to execute a national rollout and has:

- Operational Acceptance Plan
- Operations and Maintenance Plan
- IOC/Pre-production Test Results (Defect Log)(if applicable)
- Release Checklist
- Budget artifacts
  - Budget Operating Plan (BOP)
  - Basis of Estimate for Sustainment cost
- Implementation Plan
- Business Customer Acceptance Form

- Assumptions Verification Letter (AVL)
- SLAs/Interagency MOUs
- Master Test Plan
- Risk plan
- Disaster Recovery Plan/COOP
- Back out Plan (or Rollback plan)(if applicable)
- Performance report (cost/schedule/scope)
- ATO
- Change control plan

Completion of the Milestone 2 Review leads to the Active Implementation increment. The beginning of this increment marks FOC Start and the end of this increment marks FOC End. Completion of this increment and of the Active state is achieved through a Milestone 3 Review.

A project cannot stay in the Active state without an active increment. A project may not perform development or have an active increment if it is not in the Active state. At least one customer accepted increment deliverable must be delivered within a period of six months or less. If a project needs time between increments, it must move out of the Active state to either the Paused-Planning state or the Provisioning state, through acceptance by the OOR.

If a schedule date within an increment is missed that prevents the increment deliverable date from being achieved, a TechStat must be scheduled. If a schedule date within an increment is missed that does not prevent the increment deliverable date from being achieved, a Yellow Flag must be raised.

PMAS core schedule elements are the activities that all projects must carry in their schedules and include for reporting purposes in the PMAS Dashboard.

Projects in the Active state must have the personnel in place to perform activities associated with successfully delivering the increment deliverable. It is the responsibility of the PM and the customer to define the needed personnel based upon the business need.

All subsequent increments require another Milestone 1 Review for Active approval. A project's second Milestone 1 Review for Active will be aimed at ensuring the technical baseline established at the first review remains unchanged. If there has been no change to a projects technical baseline established at the first Milestone 1 Review, than subsequent Milestone 1 Reviews will be abbreviated. If there has been a change, the project must have a complete Milestone 1 Review that clearly states the changes. Evidence of each increment approval must be entered in the PMAS Dashboard. Each individual increment requires its own approval scheduled through the PMAS Business Office.

If a contract is expiring, all Active increments and deliverables must be completed no later than 14 business days prior to the end of the contract. To ensure no lapse of service, any follow-on option or extension of performance must be awarded and in place at least 14 business days prior to expiration of the existing procurement.

The end of the Active state is the end of development and deployment.

3.3.4 Required Reporting

PMAS projects in the Active state must continue reporting in the PMAS Dashboard. The reporting requirements for the PMAS Dashboard are described in the published documentation supporting data entry in the PMAS Dashboard. The PM or designee must review the information in the PMAS Dashboard at least monthly and update the information as needed.

3.3.5 Required Reviews

Active Development increments receive IOC Entry Reviews prior to entering the Active IOC increment(s). These increments also receive IOC Exit Reviews before their Milestone 2 Reviews. In addition to these reviews, projects in the Active state may also be subject to additional reviews at the discretion of the OOR or OIT leadership. Projects in the Active state may be reviewed by the AS/IT or OOR as described in Sections 6.4.3.1, 6.4.3.3, or 6.4.3.4. Projects with increments in the Active state will require a TechStat Meeting if an increment deliverable date is missed. Active state projects must successfully complete a Milestone 3 Review prior to entry into the Closed state. Projects that have been in the Active state for 24 months must receive a Continuation Review by the OOR.

3.3.6 PMAS Project Categories

PMAS projects are divided into four categories based upon product type and deployment location type. Product types are new capability and feature enhancement. Deployment location types are field deployment and cloud/web deployment. This grid creates the four categories of: 1) new capability deployed to the field, 2) feature enhancement deployed to the field, 3) new capability deployed to the cloud or web, and 4) feature enhancement deployed to the cloud or web.

	New Capability	Features Enhancement
Field Deployment	Å Complex Å Development of larger field deployed products which could need multiple development increments to fully develop all requirements Å Each clinical site may need to have the product tailored due to inconsistent configuration across all clinical sites Å May utilize Deployment increments to enable greater flexibility in timing of sites based upon site availability and availability of resources Å First site deployed to within first six months	Å Although will still require potential tailoring at each site, the enhancement is a smaller piece of the product and should require less tailoring at each site Å Each clinical site may need to have the product tailored due to inconsistent configuration across all clinical sites Å May utilize Deployment increments to enable greater flexibility in timing of sites based upon site availability and availability of resources Å First site deployed to within first six months
Cloud/Web Deployment	Å Complexity increases Å IOC and MS 2 Reviews can be combined Å Expected to develop and deploy within six months or less Å Subsequent increments add business requirements but do not change technology	Å Least complicated Å IOC and MS 2 Reviews can be combined Å Expected to develop and deploy within six months or less Å Can bundle multiple product releases to an increment

These categories separate PMAS projects due to expected level of complexity associated with them.

- New capability – field deployment projects are the most difficult, because they establish new foundational products that need to be designed and built from beginning to end that are then deployed to multiple locations and each location may need tailoring.
- Feature enhancement – field deployment projects are fairly complicated because they enhance features of products that are then deployed to multiple locations and each location may need tailoring.
- New capability – cloud/web deployment projects are fairly complicated because they establish new foundational products that need to be designed and built from beginning to end that are then deployed to a single location.
- Feature enhancement – cloud/web deployment projects are the easiest because they enhance features of products that are then deployed to a single location.

3.4 Closed State

3.4.1 Entering the Closed State

A project enters or is placed in the Closed state for a variety of reasons. These reasons include, but are not limited to, the following:

- Project objectives have been met
- Business priorities have changed
- Project performance was poor

Projects placed in the Closed state have two types. Their types are determined by the manner in which the project was closed.

Closed State Project	Justification
Closed-Stopped	A project that has been stopped by the AS/IT or designee. A project that is stopped will not have the opportunity to restart. If the Business Sponsor indicates that the need for the project still exists, a new project may be initiated to accomplish the business need.
Closed-Completed	A project has successfully met its intended scope

Projects that have performed development activities and delivered capabilities must enter the Closed state through a Milestone 3 Review. The Milestone 3 Review will establish the plan and timeline for project closeout activities. The project has 30 days to complete closeout activities between the Milestone 3 and Milestone 4 Reviews. The 30 days for closeout is not considered an increment, it is an activity timeline. The Milestone 4 Review will occur 30 days after the Milestone 3 Review. Each OOR is responsible for reviewing all projects in the Closed state to ensure they are on track with Closing activities.

For those projects that are closed prior to the completion of development work, a Milestone 3 Review is not needed. The Closed-stopped project will complete project closure through the successful completion of a Milestone 4 Review.

3.4.2 Funding

Closed projects may only spend money required to close the project. These activities include terminating or closing out the contract, creating lessons learned, reassigning personnel, and all other closeout activities.

3.4.3 Activities

A project in a Closed state may only perform post-development closeout activities.

When a project is closed, the OOR coordinates staff reallocation and ITRM coordinates the reallocation of funds.

Projects that have passed a Milestone 3 Review may spend funds required to close the project by performing close out actions as planned and as required.

3.4.4 Required Reporting

PMAS projects in the Closed state must continue reporting in the PMAS Dashboard. The reporting requirements for the PMAS Dashboard are described in the published documentation supporting data entry in the PMAS Dashboard. The PM or designee must review the information in the PMAS Dashboard at least monthly and update the information as needed.

3.4.5 Required Reviews

The final activity of the Closed state is a Milestone 4 Review. The Milestone 4 Review will occur 30 days after the Milestone 3 Review. Exceptions to the 30-day rule may be made for projects that are large or complex.

3.5 Provisioning State

3.5.1 Entering the Provisioning State

Projects can enter this state from the Planning, Paused, or Active states.

A project may enter the Provisioning state from the Planning state or the Paused state when planning activities have been completed, but the project has not acquired all necessary resources. A project may enter the Provisioning state from the Active state when necessary resources for subsequent increments have not been acquired or are delayed.

PMAS projects that are in the Planning state that do not have the required resources to complete the project will enter the Provisioning state until all resources are acquired prior to entry into the Active state. The VA is moving to Increment-based acquisitions. If an acquisition is required, and all other planning is done, the PM may request a Milestone 1 Review for Provisioning.

Active projects that have begun work on an increment that do not have the required resources to complete the increment must have a TechStat. They will be moved into the Provisioning state following the TechStat meeting.

Projects that would receive a Milestone 1 Review for Provisioning should meet two pre-conditions:

- The project is not using increment-based acquisition (see section 4.3)

- The project needs to award an acquisition contract to have all required resources prior to entering the Active state

This review would include all Milestone 1 Review for Active requirements and content, with the exception of the commitment to increment delivery dates. Following the review's approval to acquire contract services, the project would enter the Provisioning state. The project would then acquire the required contract services and schedule a Milestone 1 Review for Active.

Once projects in the Provisioning state have acquired the necessary resources, a Milestone 1 Review for Active must be scheduled to move the project to (or back to) the Active state.

The PM is responsible for scheduling a Milestone 1 Review for Provisioning with the PMAS Business Office through an email sent to the PMAS Reviews mailbox (VAPMASReviews@va.gov). This email should include the name of the project, the type of review requested, the current PMAS state, and the name of the PM.

Milestone 1 Reviews for Provisioning are documented by meeting minutes. The Milestone 1 Review for Provisioning verifies that the project is ready to award its acquisition:

3.5.2 Funding

Planning, Provisioning, and Paused projects may spend up to a total of 10% of the projects FY budget for planning activities without seeking approval from senior leadership. Projects in the Provisioning state must have all spending approved by the OOR.

3.5.3 Activities

A project in the Provisioning state may not perform development activities. Projects in the Provisioning state may only perform activities to prepare the project to enter or return to the Active state. Examples of these activities are gathering required resources, acquisition of contract services and updating artifacts, such as, the project schedule.

3.5.4 Required Reporting

PMAS projects in the Provisioning state must continue reporting in the PMAS Dashboard. The reporting requirements for the PMAS Dashboard are described in the published documentation supporting data entry in the PMAS Dashboard. The PM or designee must review the information in the PMAS Dashboard at least monthly and update the information as needed.

3.5.5 Required Reviews

Projects in the Provisioning state must be evaluated every 60 calendar days by the OOR for progress in moving to the Active state. The intent of this requirement is to ensure that senior leaders within the OOR are aware of and are evaluating these projects. Processes for conducting 60-day reviews are the responsibility of the OOR.

3.6 Paused State

3.6.1 Entering the Paused State

Projects enter the Paused state when it is determined that the project needs to perform additional planning activities before continuing in the Active state. Projects only enter the Paused-Planning state from the Active state. A project may enter the Paused-Unfunded state from any PMAS state other than the Closed state. This decision is made by the OOR, or

through a TechStat meeting. A project will be Paused after missing three increment deliverables. In addition, a project may be placed into the Paused state if the project loses funding, but still has a valid business need.

There are two types of Paused state projects:

- Paused-Planning: Projects that are placed in the Paused state to complete additional planning activities after missing three increment deliverables. A project may enter the Paused-Planning state only from the Active state.
- Paused-Unfunded: Projects that have lost funding. A project may enter the Paused-Unfunded state from any PMAS state other than the Closed state.

3.6.2 Funding

Planning, Provisioning, and Paused projects may spend up to a total of 10% of the projects FY budget for planning activities without seeking approval from senior leadership. Any funding beyond 10% of the projects FY budget must be approved by the OOR DAS/DCIO. Paused-Unfunded projects no longer have a project budget and must use Program or MI resources to continue conducting any approved planning activities.

3.6.3 Activities

Projects in the Paused state must be evaluated every 60 calendar days by the OOR for progress toward moving to the Active state. Guidance and processes for conducting these 60-day reviews is the responsibility of the OOR. These reviews should evaluate root causes for being in the Paused state and should potentially include the following activities:

- Validating the need for the project
- Ensuring the viability of the project's approach
- Reviewing the project design
- Assessing the impact of the changing the PM
- Evaluating the impact of substantial changes in the assigned government staff
- Analyzing all project contracts
- Approving new project plan

A Paused state project does not conduct any activities that build and deliver increments.

3.6.4 Required Reporting

PMAS projects in the Paused state must continue reporting in the PMAS Dashboard. The reporting requirements for the PMAS Dashboard are described in the published documentation supporting data entry into the PMAS Dashboard. The PM or designee must review the information in the PMAS Dashboard monthly and update the information as needed.

3.6.5 Required Reviews

Required reviews depend on whether it is a Paused-Plan or Paused-Unfunded project.

3.6.5.1 Paused-Plan Projects

Paused-Plan projects must be evaluated every 30 calendar days by the OOR for their progress in returning to the Active state, or they will be subject to reevaluation. The intent of this requirement is to ensure that senior leaders within the OOR are aware of and are evaluating

these projects. Processes for conducting 30-day reviews are the responsibility of the OOR. Paused-Plan projects must have a Milestone 1 Review to return to the Active state.

3.6.5.2 Paused-Unfunded Projects

Paused-Unfunded projects must be evaluated every 60 calendar days by the OOR for eligibility for funding, or for determination of the continuing business need. The intent of this requirement is to ensure that senior leaders within the OOR are aware of and are evaluating these projects. Processes for conducting 60-day reviews are the responsibility of the OOR. Paused-Unfunded projects must have a Milestone 0 Review and move to the Planning state once they receive new funding.

4.0 Managing a Project under PMAS

4.1 Integrated Project Team (IPT)

One cornerstone of PMAS is to ensure alignment among the customer, project team, vendors and stakeholders regarding project success. This success cannot be achieved without an IPT comprised of empowered and capable members. The IPT is a team of multi-disciplinary experts committed to a common purpose: to deliver specified work products and IT solutions that meet business requirements on time and within budget. The IPT works collaboratively to plan, manage, and execute all activities required to deliver a project to the field.

Consequently, all PMAS projects must have a complete and active IPT. IPT members provide skills and advocacy appropriate to all phases of the project life cycle and are collectively responsible for the delivery of work products. The IPT must include empowered representatives from organizations, disciplines, and functions that have a stake and/or responsibility for the success of the project. The goal of IPT members is to enable routine decision making for the success of the project and increment deliverables. It is essential to have representation from all members listed in the Integrated Project Team Guide.

IPT members should have current technical or functional expertise and they should be knowledgeable in the mission and organizations they represent. They should be team players and have an open mind for working within the processes established by the project manager. As mentioned already, IPT members should be empowered to make organizational commitments which further the success of the project.

The IPT will be maintained at either the program or project level as determined by project/program leadership. The IPT may be responsible for more than one project if it is established at the program level. The IPT must have the Customer/Business Sponsor as a member and the ITPROG is the Chair or co-chair at a program level IPT. The IT PM is the Chair or co-chair for a project level IPT.

When assigning/accepting membership to an IPT, it is vital to ensure the member has enough professional capacity to successfully contribute to the IPT, while also managing their responsibilities to their other assigned duties.

For additional information about IPTs, refer to the Integrated Project Team Guide.

4.1.1 Obtaining IPT Membership

It is important that the IPTs have appropriate membership from across the VA. The ITPROG/PM and the Business Sponsor are the initial members of the IPT for all projects. To obtain IPT members, the PM must follow the Integrated Project Team Guide.

4.2 Resource Management

Resource Management includes the management of staffing resources and funding resources. PMs must plan and document the total cost of ownership for each increment, including application development, infrastructure necessary to support new/enhanced applications, training, and recurring operating costs. Total cost of ownership does not include costs of Government staff or program provided staff.

Resources will only be applied to the prioritized projects that are funded by the VA IT Appropriation and rated a sufficient priority in the BOP.

A request for the release of funds for subsequent increments may be initiated prior to the completion of current increments.

4.2.1 Obtaining Additional IT Staff

The OOR is responsible to assign staff as identified in the project and increment plans. The staff must provide the appropriate skills to enable successful execution of the project or increment.

To obtain government staff, the following documentation must be provided:

- The PM must develop a specific resource list of staff by competency needed including management, development, testing, operations, security, and sustainment.
- The PM must advise IPT members of required staff by competency. Project IPT members are responsible for coordinating with leadership in their respective offices for required personnel.

4.2.2 Non-pay Funding

Non-pay funding will be allocated by project in accordance with established priorities in the annual BOP. When non-pay funding is needed, the request should be submitted through the OOR budget staff to ITRM.

Required non-pay funding requests should provide the total cost of ownership including development, infrastructure enhancements, and sustainment.

4.3 Acquisition Management

VA OIT is adopting increment-based acquisition. This type of acquisition is aligned with delivering IT capabilities through PMAS. ITPROGs and VA Contract Managers must align the contract type, period of performance, deliverable structure, and funding ceilings with the incremental delivery schedule.

The Contract Line Item Numbers (CLINs), or contract options are tied to progress in PMAS. Typical CLINs should represent the Planning, Active, and Closing activities for each increment. Follow-on CLINs or contract options, are issued when sufficient progress is made and the project has completed a Milestone 1 Review.

PMAS enforces vendor accountability by providing:

- A policy that discourages poor performance and could result in a vendor losing the contract
- A structure for each task in an increment to be clearly assigned to responsible parties
- A structure that identifies deliverables in increments
- A Performance Work Statement (PWS) or Statement of Work (SOW) that must define the function, structure the work to be performed, and identify required deliverables linked to the PMAS increment as appropriate

PMs must monitor contractor actions and raise risks, issues, and Yellow/Red Flags in a timely manner to provide senior leaders the opportunity to make corrective actions.

4.4 Increment Deliverables

The purpose of no longer than a six-month increment is to reduce the risk associated with each deliverable and the overall project. The no longer than a six-month period is measured from increment execution start to completion of the increment deliverable, as defined by the IPT, and approved during the Milestone 1 Review. The desire is to reduce the increment period to as short a time period possible that delivers usable functionality to our customers.

Most of the time, an increment deliverable will be defined as a new or enhanced IT capability used by one or more customers in production. This is true for software/system increment deliverables and for infrastructure upgrades, enhancements, or expansions. For some high risk projects, delivery of a prototype or pilot may be an acceptable increment deliverable and would be approved as such during the Milestone 1 Review for that increment. For some complex systems where field deployment is resource intensive, the increment deliverable may be defined as the first production deployment (also known as the alpha site).

Deliverables should be functional parts of the system that can be released to the end user, as the project permits. The end user can determine if the delivery is sufficient alone, or if it needs to be included with another increment prior to full release. The end user will provide prompt feedback for system functionality through completion of a Customer Acceptance Form.

Examples of acceptable increment deliverables include: software products, applications, and systems (or subsystems) for the purpose of providing benefits or capability to the sponsor or user, even if not easily measurable by the end user. Actual deployment, implementation, or transition by the customer may occur at a later date. The second type of PMAS acceptable deliverable, deployable infrastructure, is the enhancement or expansion of existing infrastructure.

4.5 Increment Acceptance

On-time increment delivery defines PMAS success. Each increment must provide deployed system capability. To ensure each increment meets the criteria, the Customer Acceptance Form must be signed by the PM, who validates that increment requirements are met on-time. In addition, the customer signs the Customer Acceptance Form and attests that the deliverable met the increment's requirements.

4.6 Identifying Significant Accomplishments

Green Flags are raised to acknowledge the significant achievement of a milestone or increment delivery. Green Flags are shared in PMAS Reviews to promote communication of repeatable processes and best practices. Submissions must be sent by email to VA Green Flag PMAS distribution list (VAPMASFlags@va.gov).

4.7 Managing Project Risk

In the course of normal project execution, projects can face obstacles which PMs are unable to resolve. In addition, a project may encounter success that should be shared with all IT PMs.

ITPROGs, PMs, IPT, or anyone associated with the project should raise Yellow Flags and Red Flags early and often to provide management visibility and the opportunity for timely resolution before a milestone or increment is missed.

4.7.1 Yellow Flags

Yellow Flags are raised to identify changes in the project environment that have the potential to increase the level of acceptable risk. These environment changes have the potential to affect the project cost, schedule, quality, or scope significantly. Yellow Flags may be raised in any PMAS state.

If a project misses an inter-increment delivery date that does not threaten the on time completion of the increment, a Yellow Flag must be raised.

Submission must be sent to the Yellow Flag Mailbox (VAPMASFlags@va.gov).

4.7.2 Red Flags

Red Flags are raised to resolve issues or risks that prevent projects from moving forward and require senior leadership intervention. Red Flags may be raised in any PMAS state. Issues include any that have the potential of causing a missed increment deliverable. Submissions must be sent by email to the Red Flag Mailbox (VAPMASFlags@va.gov).

Only the AS/IT or designee may accept the risk associated with the Red Flag and prevent a Strike from being issued.

4.7.3 TechStats

A TechStat Meeting is a forum at which senior leaders are presented the root cause for a project's missed increment deliverable date or committed baseline date. When an increment deliverable date is missed, or will be missed, a TechStat meeting is required. There are no exceptions. TechStats only apply to Active state projects. The PM, ITPROG, and OOR DAS/DCIO will present the facts of the missed milestone or increment deliverable to the AS/IT or PDAS at a TechStat Meeting.

There are three possible outcomes of a TechStat: Determination of a missed milestone (no strike issued), issuance of a Strike, or project closure.

Issuance of a Strike is determined by the AS/IT or PDAS at the TechStat meeting. Upon issuance of three strikes, the AS/IT or PDAS will evaluate the project for entry into the Paused-Planning state or Closed state.

When a PM recognizes that an increment deliverable date will be missed, a TechStat Meeting must be scheduled. To schedule a TechStat Meeting, send an email identifying the missed product deliverable to the VA PMAS TechStat Meeting mailbox (VAPMASTechStat@va.gov). Approval for a schedule change can only be granted by the AS/IT or PDAS.

TechStat Meetings are held with the AS/IT or PDAS to present:

- Major challenges and causes of variance from the project schedule
- Summary of risks, mitigation strategies, and clear accountability
- Revised acquisition strategies for contracts, to include stronger controls for existing contracts
- Corrective actions to move forward with the project
- Impact on other dependent projects

4.8 Managing Change under PMAS

A project will manage project changes in accordance with the Change Management Processes in ProPath. Project-level Change Control Boards (CCB) can approve change requests that do not affect the project budget or committed milestone or increment deliverable dates. Change requests that affect the project budget must follow Financial Change Control, as outlined in the Financial Management and Internal Controls (FMIC) Guide.

A project may affect or be affected by business priority changes resulting in realignment in the BOP.

4.9 Exceptions

All exceptions to PMAS, not detailed in this guide, must be approved by the AS/IT or PDAS. Exceptions can range from individual PMAS project requirements to the inclusion or exclusion of a project from PMAS. Requests for PMAS exceptions are rarely granted. If a PM needs to requests a exception, and the OOR approves of the request, then send an email to the PMAS Business Office to schedule the exception review with the AS/IT or PDAS.

5.0 Project Artifacts

Project artifacts are used to demonstrate and monitor the readiness and performance of a PMAS project. The most current PMAS project artifact templates are in ProPath. Artifacts document key information.

Program level artifacts applicable to all programs and projects may be developed at the DAS/DCIO level. Mandatory artifacts promote consistency, save planning time, and improve quality through reuse. If using a program level artifact for a project artifact requirement, that must be clearly stated at the milestone reviews.

5.1 Repositories

All projects must have an electronic repository, which will serve as the archive for their project's documentation. At the milestone reviews, links to documentation must be provided.

- (http://vaww.oed.portal.va.gov/pmas/Project_Documentation/Forms/AllItems.aspx)
- Use the PD Technical Services Project Repository (TSPR) for web publication (http://tspr.vista.med.va.gov/tspr/index.asp)
- SDE PMAS projects will use the SDE PAO Record Center for SDE project documentation (http://vaww.projct.portal.va.gov/sites/Records/Records/Forms/AllItems.aspx)

Other OOR PMAS projects can keep using their current organizational repositories.

5.2 ProPath

The standard artifacts referenced in this guide 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 verified 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 at: http://vaww.oed.oit.va.gov/process/propath/.

5.3 Artifacts Required to Enter the Planning State (Must Be Completed in the New Start State)

Approval for the Planning state artifacts can be attained by email or with either a digital or wet signature.

Document	Approved/Signed By
Business Requirements Document (BRD)	Business Sponsor PM Business Intake Review Board (BIRB)
Project Charter	Deputy Assistant Secretary/Deputy Chief Information Officer (DAS/DCIO) Business Sponsor ITPROG PM IPT Chair
IPT Charter	AS/IT or designee All members of the IPT
Quad Chart	Must be completed prior to entry into the Planning state. This artifact does not need to be approved or signed. Completion is a joint effort between the Business group and the OOR that summarizes what each project entails

5.4 Artifacts Required to Enter the Active State (Must Be Completed in the Planning State)

Approval for the Active state artifacts can be attained by email or either a digital or wet a signature. The following table provides a list of documents and the required approver or signatory.

Document	Approved/Signed By
Requirements Specification Document (RSD)	Business Sponsor ITPROG PM IPT chair
Acceptance Criteria Plan	PM Business Sponsor SDE or its IPT designee
System Design Document (SDD) (Assumptions Verification Letter (AVL) may be used in lieu of the SDD)	Business Sponsor ITPROG PM IPT chair Engineering and Architecture Review Board Chair (Until the Engineering and Architecture Review Board is stood up, both the Engineering IPT member(s) and the Architecture IPT member(s) must approve/sign the SDD)
Project Management Plan (PMP)	Business Sponsor PM IPT Chair

Document	Approved/Signed By
Acquisition Strategy (if applicable)	ITPROG Business Sponsor IPT Chair Legal CO
Project Schedule	ITPROG Business Sponsor IPT Chair CO
Risk Log or Risk Register	This artifact does not need to be approved or signed. Document needs to be available, visible, and monitored
Enterprise Project Structure (EPS)	This artifact does not need to be approved or signed. Each project is required to be registered and listed in the EPS with a corresponding Unique Project Identifier (UPI).
Contract Information Sheet	ITPROG Business Sponsor CO IPT Chair
Product Evaluation and Decision Analysis (If Applicable)	ITPROG Business Sponsor IPT Chair CO
Outcome Statement	PM Business Sponsor IPT Chair
Operational Acceptance Plan (OAP)	IPT Chair SDE IPT member Business Sponsor

5.5 Artifacts Required for Increment Completion

Approval for Increment Completion artifacts can be attained by email or with a signature:

Document	Approved/Signed By
Customer Acceptance Form	PM Implementation Manager Business Sponsor/Customer

5.6 Artifacts Required for Closed State

Approval is not necessary for this informal artifact:

Document	Approved/Signed By
Lessons Learned	PM

6.0 Management Control

PMAS Management Control provides an understanding of progress so corrective actions can be taken when a project's performance deviates significantly from the plan. PMAS conducts management control through performance monitoring, reporting, the OMB 300B Performance Measurement Report and additional reviews and assessments.

6.1 Performance Monitoring

Project performance data will be maintained in the PMAS Dashboard (http://vaww.pmas.portal.va.gov/PWA/default.aspx).

PMs are required to continuously monitor their projects and record changes in project information in the Dashboard as they occur.

6.2 Reporting

The PMAS Dashboard generates PMAS status reports. The dashboard will provide all Active state project data, which will be reported in the OIT Monthly Progress Review (MPR). In addition, weekly project status and ad-hoc reports are derived from the PMAS Dashboard. This data will be used at the request of OIT senior management.

6.3 Investment Reporting

For those projects whose data is also reportable to OMB 300B, the PMAS Dashboard is used as the authoritative source for investement OMB data reporting.

6.4 PMAS Reviews

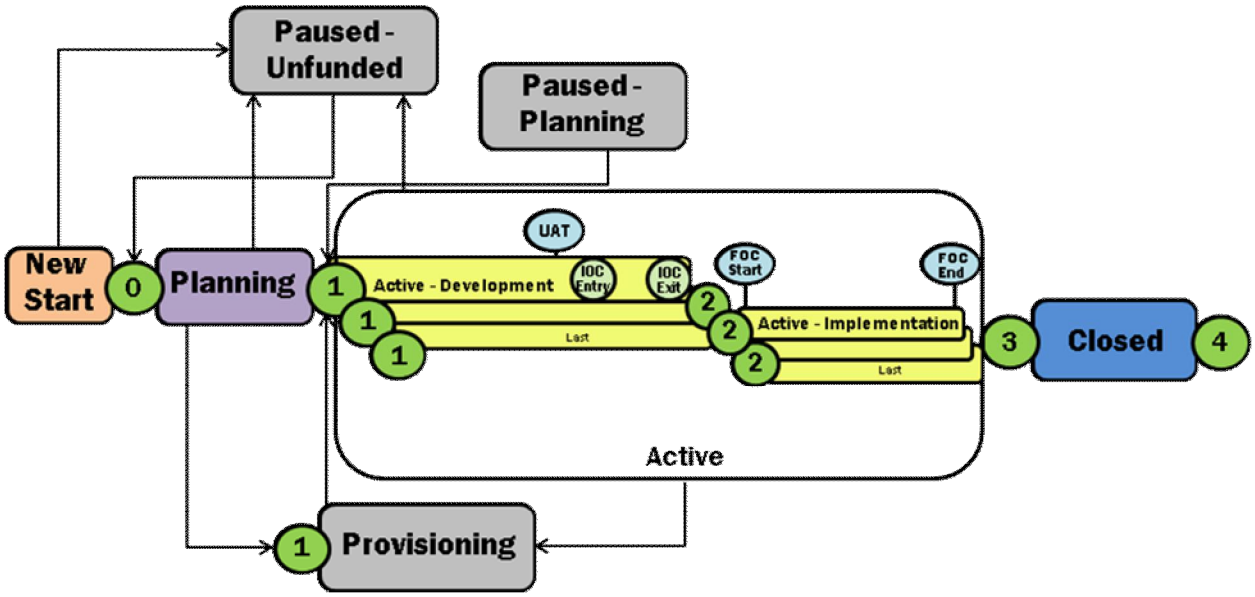

Figure 3: PMAS Reviews

To reduce or manage risk and to ensure projects and increments deliver required capabilities on time, PMAS has established several types of reviews. These reviews include milestone reviews, IOC reviews and additional reviews and assessments.

6.4.1 PMAS Milestone Reviews

PMAS Milestone Reviews are mandatory and ensure that the work required in the current state or increment is complete and the project or increment is ready to enter the next state or increment. PMAS milestone reviews are the critical checkpoints in the PMAS Life Cycle.

6.4.1.1 Milestone 0 Review

Milestone 0 Review occurs at the end of the New Start state and ensures all of the work required by this state is complete. The review also ensures the project is ready to enter the Planning state.

6.4.1.2 Milestone 1 Review for Provisioning

Milestone 1 Review for Provisioning occurs if a project is not using increment-based acquisition and requires approval to award an acquisition for contract services before entering the Active state. This is a robust review, which ensures the project is ready to enter the Active state, with the exception of the commitment to Active state increment delivery dates. Milestone 1 Reviews for Provisioning will be phased out as increment-based acquisitions are fully implemented.

6.4.1.3 Milestone 1 Review for Active

Milestone 1 Review for Active occurs when a project has all of its resources and is ready to commit to its increment delivery dates. This review ensures the project is ready to enter the Active state. This review is required for *all* Active increments, prior to starting work on the increment.

6.4.1.4 Milestone 2 Review

Milestone 2 Review occurs after the increment's IOC and confirms that IOC entry and exit have been achieved. The review also ensures the increment is ready to enter the Active Implementation increment. Projects can deliver multiple increments and each increment would receive a Milestone 2 Review.

6.4.1.5 Milestone 3 Review

Milestone 3 Review occurs at the end of the Active state and establishes that the project has completed all of the Active state activities. The review also ensures the project is ready to enter the Closed state.

6.4.1.6 Milestone 4 Review

Milestone 4 Review occurs at the end of the Closed state. The review ensures that the project has completed all of the activities in the Closed state. It also ensures that the project is ready to end all activities. At this review, the project is closed and the product is in use.

A Milestone 4 Review is also required if a project is Closed-Stopped, no other review is necessary.

6.4.2 IOC Reviews

IOC Entry and Exit reviews are conducted at the end of the Active Development increment. These reviews ensure the increment is ready to enter and exit IOC.

6.4.2.1 IOC Entry Review

IOC Entry Review ensures the increment is ready to make its initial delivery and to achieve its IOC.

6.4.2.2 IOC Exit Review

IOC Exit Review ensures the increment is ready for national deployment and to achieve its FOC.

6.4.3 Additional Reviews and Assessments

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

PMAS includes three types of reviews and assessments that support management control: AS/IT 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, are available in ProPath or other official artifact repositories.

6.4.3.1 AS/IT Reviews

The AS/IT may require a briefing or independent review of a project's status at any time.

6.4.3.2 Integrated Baseline Reviews (IBR)

The AS/IT or designee may request an IBR on any project at any time.

6.4.3.3 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.

6.4.3.4 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 Review, PMAS Compliance Review, and PMAS Outcome Review.

6.4.3.5 PMAS Compliance Reviews

PMAS Compliance Reviews are periodic reviews intended to ensure projects are PMAS compliant. PMAS Compliance Reviews are the responsibility of Enterprise Risk Management Office (ERMO) within Quality Performance and Oversight.

7.0 PMAS Stakeholders and Responsibilities

Roles and responsibilities are identified throughout the PMAS Guide. This section briefly outlines those key roles and responsibilities.

7.1 Architecture, Strategy and Design (ASD)

ASD will:

- Execute projects in accordance with PMAS
- Function as the OOR for PMAS projects within ASD
- Provide an organizational member as appropriate to serve as a key member of each IPT
- Participate as appropriate in Milestone Review Boards

7.2 Assistant Secretary for Information and Technology (AS/IT)

The AS/IT or Designee will:

- Authorize new projects and increments in PMAS
- Approve funding needed for projects through the Budget Operating Plan (BOP)
- Authorize changes to a project status: Planning, Active, Paused, Provisioning, or Closed
- Monitor PMAS project and increment progress through reporting, review, and assessment
- Approve and sign the IPT Charter
- Address Red Flags
- Conduct TechStat Meetings
- Approve exceptions to PMAS

7.3 Business Sponsor (Customer/End User)

The Business Sponsor (Customer/End User) will:

- Participate as a key member of the IPT by determining requirements, monitoring and approving changes to those requirements, and accepting project increment deliverables
- Determine overall project and increment requirements
- Validate and approve all project requirements
- Validate and sign off on increment deliverables
- Provide prompt feedback for post implementation operations of the system
- Participate in the overall prioritization of projects, advocating for their specific projects as necessary

7.4 Contract Officer (CO)

The CO will:

- Participate as a key member of the IPT team and coordinating all contract actions
- Commit and modify Government funds throughout contract life from inception to completion

7.5 Enterprise Risk Management Office (ERMO)

ERMO will:

- Conduct PMAS Compliance Reviews

- Organize and employ Independent Review Teams as follows
  - Independent Review Team perform PMAS reviews as appropriate
  - Provide findings and recommendations to the PMAS Business Office and OOR regarding project review results

7.6 Office of General Counsel (OGC)

OGC, when applicable, will:

- Participate as a key member of the IPT by reviewing and coordinating all legal and contractual actions

7.7 Information Security (IS)

IS will:

- Participate as a key member of the IPT by providing information on security, privacy and information protection
- Function as the OOR for PMAS projects within IS

7.8 Information Technology Program Manager (ITPROG)

The ITPROG (or MI Lead) will:

- Participate as a key member of the IPT
- Ensure all Project Managers (PMs) within their program have the necessary resources for project success
- Monitor project performance regarding cost, schedule, and scope
- Ensure necessary contracts and contract vehicles are in place to support incremental deliveries
- Maintain a status list of PMAS projects and increments which constitute the program
- Recommend an independent review or pause of project activities as necessary
- Raise and/or address Red Flags
- Identify the project alignment program, MI, and OMB Exhibit 300 investment according to established standards
- Report all required project data on a timely basis

7.9 Information Technology Resource Management (ITRM)

ITRM will:

- Execute projects in accordance with PMAS
- Function as the OOR for PMAS projects within ITRM
- Provide an organizational member as appropriate to serve as a key member of each IPT
- Participate as appropriate in Milestone Review Boards

7.10 Integrated Project Team (IPT)

The IPT will:

- Through active participation, serve as an oversight body for the project to ensure all business requirements are fully addressed and projects are successfully executed
- Communicate and coordinate project status and project needs with the sponsoring organizations of each IPT member

- Ensure all project and increment requirements are in place, including contracts and resources necessary to have a reasonable expectation for project success
- Implement internal review and control processes as needed to ensure the effective delivery of project and increment deliverables
- Maintain awareness of the current status of the project(s)
- Raise Red or Yellow Flags as necessary
- Approve and sign any relevant project artifacts

7.11 Office of Responsibility (OOR)

The OOR will:

- Work with the Business Sponsor to develop project and increment scope
- Ensure all resources are available for project success
- Conduct internal reviews as necessary
- Monitor project scope, cost, and schedule
- Make recommendations to the AS/IT regarding project status
- Address Red or Yellow Flags

7.12 PMAS Business Office (PBO)

The PBO will:

- Serve as the Business Owner for the PMAS database, dashboard, and other reporting tools
- Serve as stewards of PMAS data and dashboard reporting discipline
- Monitor the progress of all VA IT projects in PMAS
- Develop and maintain PMAS policy and guidance
- Develop tools and techniques to gather, analyze, and report on PMAS project data
- Provide guidance and training on PMAS policy
- Provide guidance and data quality analysis on PMAS status reporting and produce reports
- Provide support to the AS/IT (or designee), ITPROGs, MI Leads, and PMs in the area of management reviews, Green Flag, Red Flag, TechStat meetings, and Milestone Reviews. This support includes meeting facilitation, developing and/or consulting on materials, processes, and procedures
- Provide OMB 300B data gathering tools and tool support for PMs
- Coordinate independent assessments of PMAS projects
- Provide findings and recommendations regarding project performance as requested

7.13 Process Management Services

Process Management Services will:

- Ensure that all PMAS processes, documentation and templates are in ProPath, maintained and current.

7.14 Product Development

Product Development will:

- Execute projects in accordance with PMAS

- Function as the OOR for PMAS projects within PD
- Provide an organizational member as appropriate to serve as a key member of each IPT
- Participate as appropriate in Milestone Review Boards

7.15 Project Manager (PM)

The PM will:

- Manage the project and deliver expected outcomes on time and within budget
- Participate as a key member of the IPT
- Ensure all requirements and resources necessary to deliver a project are available
- Raise Red Flags and Yellow Flags
- Raise risks and issues that could impact project success or that require management intervention
- Provide project level metrics as required by the PMAS reporting structure
- Determine when the subsequent increment will be ready to be started
- Prepare,sign and ensure completion of the Customer Acceptance Form
- Terminate or replan the project as directed
- Track and report project data to the PMAS Dashboard as outlined in the PMAS Reporting Guide on a monthly basis
- Provide current fiscal year investment performance data in compliance with the OMB Exhibit 300B on a monthly basis
- Monitor project changes such as scope, cost, and schedule

7.16 Service Delivery and Engineering (SDE)

SDE will:

- Execute projects in accordance with PMAS
- Function as the OOR for PMAS projects within SDE
- Provide an organizational member as appropriate to serve as a key member of each IPT.
- Participate as appropriate in Milestone Review Boards
- Provide support with infrastructure engineering, capacity assessment, SEDR, infrastructure solution ratification, system testing and certification, training, release management, system deployment, operational planning and management, and help desk services
- As requested, provide implementation support personnel and processes responsible for project and increment release management, including all elements of deployment (e.g. Implementation Manager, ESM Release Management)

7.17 Privacy Officer

- The Privacy Officer must be a key member of the project IPT.

7.18 Information Security Officer

- The Information Security Officer must be a key member of the project IPT.

8.0 Definitions

8.1 Business Sponsor/Customer

The Business Sponsor or Customer is the business unit executive requesting specific IT capabilities or IT services. The Business Sponsor identifies the high-level requirements, makes the business case for the project, and broadly defines its acceptance criteria. As a key member of the IPT, the Business Sponsor directly shapes the overall direction and governance of a project. The Business Sponsor may or may not be the end user.

8.2 Deliverable

A deliverable is an agreed-to portion of the product that is being delivered to the customer at the end of an increment.

8.3 Green Flags

A Green Flag identifies that a significant achievement of a milestone or increment has been met.

8.4 Increment

An increment is the segment of the project that produces an agreed-to portion of a functional business capability.

A project increment has the following characteristics:

- Is a body of work that delivers capability directly related to a project
- Has a defined start and end date, which does not exceed six months
- Has a defined budget
- Requires Business Sponsor acceptance of the delivered capability or capabilities, also known as the incremental deliverable

8.5 Integrated Project Team (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.

8.6 Major Initiative (MI) or Program

An MI or program is a group of related projects that are planned, managed, and coordinated together to maximize benefits that would otherwise not be available by managing projects individually. A program may be comprised of overarching capabilities and services that are necessary, but not within the scope of individual projects. A program is mission-aligned and ongoing for an extended period of time.

8.7 Core Schedule Elements

Core schedule elements are events within an increment which must be included in a project schedule and serve as an internal checkpoint to ensure on-time delivery.

8.8 Milestone Reviews

Milestone 0, 1, 3 and 4 Reviews are the critical checkpoints that are required for a project to progress through PMAS states. Milestone 1 Reviews are required for approval to start every Active increment. The Milestone 2 Review is required for a project to enter the Active Implementation increment of the Active state.

8.9 Office of Responsibility (OOR)

The OOR is an organizational office whose senior leader reports directly to the AS/IT or PDAS which has principal responsibility for executing the project. The OOR is responsible for ensuring PMAS implementation with their organizations.

8.10 Project

A project is any effort which has definable start and end dates, defined goals, and whose principle intent is to enhance VA business capability or to improve, supplement, or replace parts of the IT infrastructure.

8.11 Red Flags

A Red Flag is an opportunity for senior leaders to resolve any significant issue or risk that jeopardizes a project from moving forward.

8.12 Strike

A Strike occurs at the increment level. It is caused by a missed increment deliverable date. Strikes are issued only to projects in the Active state.

8.13 TechStat Meeting

A TechStat Meeting is a forum at which senior leaders are presented the root cause for a project's missed increment deliverable date or committed baseline date. TechStats only apply to Active state projects.

8.14 Yellow Flags

Yellow Flags provide situational awareness to senior leadership of changes in the project environment that have the potential to increase the level of acceptable risk.

APPENDIX A. Acronym Listing

Acronym	Definition
ADCIO	Assistant Deputy CIO
AS/IT	Assistant Secretary for Information and Technology
ASD	Architecture, Strategy and Design
AVL	Assumptions Verification Letter
BIRB	Business Intake Review Board
BOP	Budget Operating Plan
BRD	Business Requirements Document
CCB	Change Control Board
CIO	Chief Information Officer
CLIN	Contract Line Item Number
CO	Contract Officer
DAS	Deputy Assistant Secretary
DCIO	Deputy Chief Information Officer
E300B	Exhibit 300B
EDM	Executive Decision Memorandum
EPI	Enterprise Project Indicator
EPS	Enterprise Project Structure
FMIC	Financial Management and Internal Controls Guide
FTE	Full-Time Employees
FOC	Final Operational Capability
FY	Fiscal Year
IBR	Integrated Baseline Review
IOC	Initial Operational Capability
IPRM	Information Protection and Risk Management
IPT	Integrated Project Team
IT	Information Technology
ITPROG	Information Technology Program Manager
ITRM	Information Technology Resource Management
MOSS	Microsoft Office SharePoint Server
MPR	Monthly Performance Review
OAL	Office of Acquisition and Logistics
OAP	Operational Acceptance Plan
OBS	Organizational Breakdown Structure
OGC	Office of General Counsel
OIT	Office of Information and Technology
OMB	Office of Management and Budget
OOR	Office of Responsibility
PD	Product Development
PDAS	Principal Deputy Assistant Secretary
PM	Project Manager
PMAS	Project Management Accountability System
PMP	Project Management Plan

Acronym	Definition
PMR	Program Management Review
PWS	Performance Work Statement
RSD	Requirements Specification Document
SDD	System Design Document
SDE	Service Delivery and Engineering
SDLC	System Development Life Cycle
SEDR	Systems Engineering and Design Review
SOW	Statement of Work
TAR	Technical Analysis Review
UFR	Unfunded Requirement
VA	Department of Veterans Affairs
VOA	Virtual Office of Acquisition

APPENDIX B. Best Practices

Extensive lessons learned and best practices material has been integrated into a set of PMAS Best Practices. The PMAS Best Practices are archived on the PBO SharePoint site at: http://vaww.oed.portal.va.gov/pmas_bus_ofc/default.aspx