


PROJECT MANAGEMENT ACCOUNTABILITY SYSTEM (PMAS)

PMAS Guide 5.0



VA | U.S. Department of Veterans Affairs
Office of Information and Technology
Project Management Accountability System

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 practitioners must follow for successful IT project management within VA. PMAS is supplemented by ProPath, a repository that contains artifacts, processes and procedures.

Consistent with the PMAS Directive, VA Directive 6071, all VA IT projects must follow the PMAS Guide whether the project will create new functionality, or enhance existing capabilities within VA's current systems or infrastructure. Use of the PMAS Guide is mandated for all VA IT development projects, whether funded by the IT Appropriation or any other appropriation, and that are resourced at a value greater than $250,000 total life cycle cost. In the event there is a conflict with previously issued VA or OI&T guidance or publications, the current version of the PMAS Guide 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 for the Guide. Please forward your comments, improvements and questions to the PMAS Business Office (005Q) through the VA PMAS Business Office email at: VAPMAS@va.gov.

Approved by:

JUN 1 1 2014

Stephen W. Warren Date

Executive in Charge and Chief Information Officer, Office of Information and Technology

Department of Veterans Affairs

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
5.0	6/11/2014	Update to improve policies and processes associated with PMAS

1. REASON FOR ISSUE: To revise Department of Veterans Affairs policy issued November 7, 2012.

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. Aligned content with VA Directive 6071, PMAS
b. Updated the PMAS States Lifecycle graphics
c. Added and clarified definitions
d. Added and clarified PMAS Reviews
e. Emphasized the use of ProPath for process and artifact information
f. Emphasized increasing use of the Agile development methodology
g. Clarified the differences between Delivery Increments, IOC Increments and Deployment Increments
h. Changed monthly reviews of data in the PMAS Dashboard by the PM or designee to the PM or designee will continuously monitor data in the PMAS Dashboard
i. Emphasized increasing frequency of delivery
j. Eliminated Strikes and Missed Milestones and based the determination of a project's continuation on three missed increment delivery dates
k. Mandated that projects should not be in the Active state for longer than 24 months
l. Mandated SES attendance at Red Flag meetings
m. Stated that paused projects original and new commitment dates will be maintained

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 4.0, dated November 7, 2012, is rescinded.

Table of Contents

This page left blank intentionally

1.0 Purpose

The Project Management Accountability System (PMAS) establishes a discipline, which ensures the customer, the IT project team, Integrated Project Team (IPT), vendors, and all stakeholders invested in an IT project focus on a single compelling mission – achieving on-time project delivery. The purpose of PMAS is to improve VA's IT on-time 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 followed by all applicable IT projects in VA.

Use of this Guide is the first step for the IT Program Manager (ITPROG), the IT Project Manager (PM) and his or her IPT in improving VA's IT project delivery success rate. It provides a PMAS overview, defines its states, describes PMAS project management, addresses the project artifacts, assigns stakeholder responsibilities and concludes with a list of definitions. This Guide provides the knowledge, framework, processes and artifacts, which not only allow a PM to exercise effective and efficient project management skills, but also improves the likelihood that VA IT projects will be delivered on time.

1.1 PMAS Applicability

The Assistant Secretary for Information Technology (AS/IT) has directed that all product delivery projects use PMAS. 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. VA IT projects, whether funded by the IT Appropriation or any other appropriation, and that are resourced at a value greater than $250,000 (which includes both contract and full time equivalent) 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 (OI&T) became the federal government's most empowered IT organization.

Faced with the challenge of servicing more than 22 million veterans and their families, VA IT leadership recognized the need for internal controls to manage an estimated $3 billion appropriation. However, 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 the Project Management Accountability System (PMAS). PMAS establishes a discipline, which ensures the customer, the IT project team, vendors, and all stakeholders invested in an IT project focus on a single compelling mission – achieving on-time project delivery. 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 near 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.

VA created PMAS to improve its on-time delivery rate significantly and to strengthen accountability in its IT development efforts. By implementing PMAS, VA saw a dramatic improvement in on-time delivery. Prior to PMAS, VA's on-time project delivery rate was in the mid-30% range. In fiscal year 2011, the on-time delivery rate jumped to 89%. This success continued in the following years, with an on-time rate of 80% in fiscal year 2012 and 82% for delivery increments in fiscal year 2013. PMAS has also delivered 97.3% of all IT commitments to its customers since its inception. Reinforced by other tools, PMAS has greatly increased the efficiency of IT projects across VA.

2.1 PMAS Principles

In an effort to make 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 an emphasis on Agile practices. These principles are the fundamental truths of PMAS and taken together they comprise its framework.

2.1.1 PMAS Projects are Built on Incremental Development

PMAS requires delivery of new capability or capabilities in increments of six months or less. Breaking a project into manageable segments of delivery called increments reduces delivery risk. Reducing delivery risk increases the potential for a successful delivery. This approach provides the PM an advantage in achieving ultimate success. OI&T is on a glide path to increase frequency of delivery, which can be accomplished through shorter increments or an increase in releases within a given increment. For FY14 and FY15, the steady reduction in increment length will be emphasized to Project Managers.

2.1.2 PMAS Relies on Integrated Teamwork Across VA

An IPT is a multidisciplinary team of experts that is committed to the common purpose of delivering specified work products and IT solutions on time and within budget, and that each product or solution meets the business requirements of the stakeholders. 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 OI&T, 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 completing 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 PM, members of the IPT and vendor staff are held accountable throughout the project's schedule to promote prompt delivery of IT products. 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 missed IT project deadlines. Senior leaders are accountable for providing risk resolution, timely intervention, identifying process improvements and, ultimately, ensuring on-time 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 all of the required resources. Projects are provided resources by increment, based on established OI&T 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 see cost, schedule, quality, scope, and resource status throughout the project's lifecycle clearly. Green Flags provide senior leaders information regarding significant achievements whereas Red Flags and Yellow Flags provide senior leaders warnings of increased risk and issues that require management intervention. In addition, the data collected in the PMAS Dashboard is used for a myriad of other

reporting both internal and external to VA—most notably to the Federal IT Dashboard and to Congress. Finally, TechStats provide the opportunity for PMs to present to senior leaders, for guidance and/or resolution, the root causes of failures to meet an increment delivery date.

2.1.6 PMAS Directly Engages Senior Leadership

Through PMAS, IT PMs have channels to communicate with senior leaders at various stages of the project's lifecycle. PMAS projects are reviewed by senior leaders during initial planning, at the commitment of resources, entering national deployment or enterprise-wide production and upon completion of deployment. In addition, IT PMs can engage senior leaders when needed to solve problems. When projects miss increment delivery dates, 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 must serve 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, and participates in user testing and must make the final decision to accept the delivery of capabilities.

2.1.8 PMAS Emphasizes Agile Practices

Each project must declare the development methodology it uses and the Agile development methodology is the method of choice for projects following PMAS. Agile practices highlight close collaboration with the customer, iterative small-chunk development, repetitive testing and frequent release of functionality, continuous integration and quality improvement and on-going process improvement. PMAS strongly encourages adoption of Agile practices during project development.

2.2 Establishing a Project

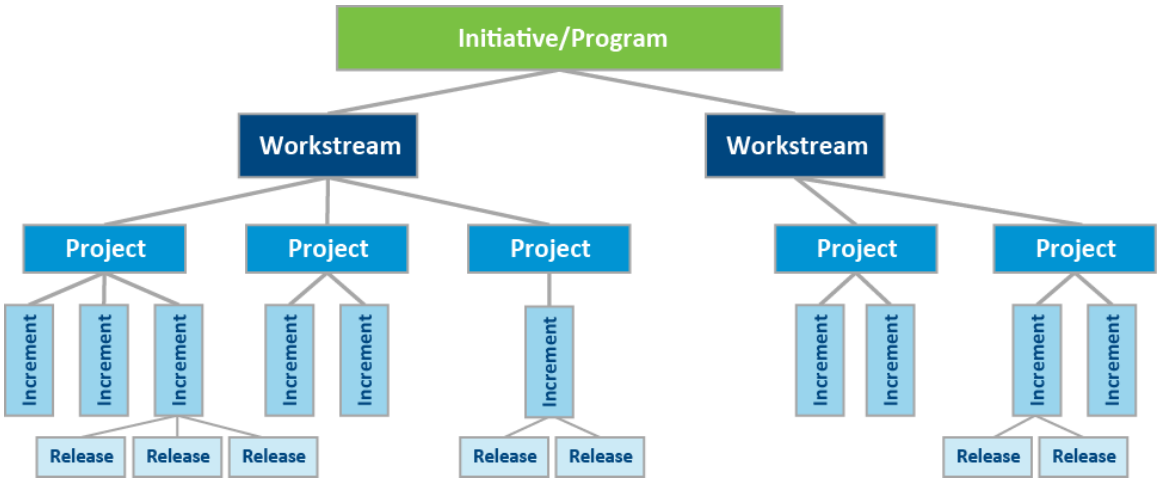

Figure 1: PMAS Management and Execution

Although this Guide focuses on delivering an IT project by using PMAS, PMAS fits into a larger VA planning, programming, budgeting and execution structure as shown in Figure 1. VA manages its IT efforts as Initiatives or Programs, which are large collections of related work, and represent VA's multi-year plans. A work stream represents the budget request, which identifies the specific goals within the Program or Initiative that VA will be achieving for the two-year budget cycle. The Projects are the tangible reflection of those goals, as organized by the Budget Operating Plan requests/projects. Projects are representative of larger VA multi-year goals. Each project executes by Increment, which are manageable subsets of project work delivered every six months or less. Each IT PM must be able to document his or her increment based-budget, detail the specific requirements being implemented in each increment and know the staffing requirements by increment. In addition, all acquisitions are now required to be increment-based. Each Increment can then have releases, which are even smaller subsets of usable functionality put into production within each Increment.

For example, looking at Figure 1, a hypothetical *Initiative/Program* could be "VA's Healthcare Delivery System," the *Work Stream* could be "Standardization," the *Project* "Gold Disk" and the *Increment* "Gold Disk 1.0". The accompanying *Release* would be an important subsystem of "Gold Disk 1.0". It is important to note that PMAS execution starts after the *Initiative/Program* and *Work Stream* levels and begins at the *Project* level, which is also when the PMAS project officially commences.

2.3 PMAS Project Schedules

It is essential that PMAS projects have schedules and the PM make every effort to meet those committed schedule dates. For its IT projects, VA is moving to a standard schedule approach. PMAS requires certain mandatory core schedule elements and the PM is responsible to record these elements in the PMAS Dashboard. The schedule should also include the acquisition elements listed in the table below.

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

2.4 PMAS Dashboard

The PMAS Dashboard is the authoritative source for all PMAS data. It captures not only project-level data, but also increment data. The PMAS Dashboard is also used to submit data to the Federal IT Dashboard via the OMB 300B process. The PMAS Dashboard provides senior leaders visibility into the current status of the projects. It also enables OI&T to meet OMB reporting requirements. Moreover, analysis of the PMAS data allows senior leaders to forecast future year projections of resources and project information, as well as to analyze progress of existing projects. The PMAS Dashboard not only

provides performance data on individual projects, but also provides recurring reporting of Enterprise-wide performance in meeting its goals.

Timely reporting in the PMAS Dashboard is mandatory for all PMAS projects. PMs are responsible for making updates to the Dashboard within three business days of their occurrence.

All development projects must be included in the VA OMB Exhibit 300B "IT Capital Asset Summary and Performance Measurement Report", submitted to OMB via the IT Federal Dashboard at https://www.itdashboard.gov/. The VA PMAS Dashboard is the authoritative source used to submit the annual OMB Exhibit 300B data and recurring updates of project and increment data to OMB in accordance with guidance provided in OMB Circular A-11, Part 7, Section 300.

2.5 PMAS States Life Cycle

Figure 2 shows the relationship between the PMAS States and the required Milestone Reviews. As a project progresses through its development activities, the level of monitoring and reporting is determined by its position in the PMAS States Life Cycle. 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.

Figure 2 displays the four standard states and the required Milestone Reviews for Delivery Increments, but does not show the two conditional states. Advancement through the states is made by successful completion of the requirements for each state and through approval at the required 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.

Figure 2: PMAS Standard States for Delivery Increments that Deploy within the Delivery Increment

Figure 3 displays the four standard states and the required Milestone Reviews for Delivery and Deployment Increments, but does not show the two conditional states. As above, advancement hinges on successful completion of the requirements and approval at the associated Milestone Review.

Figure 3: PMAS Standard States for Delivery and Deployment Increments

Figure 4 shows the four standard states and the required Milestone Reviews for Initial Operating Capability (IOC) Increments. IOC Increments will require a Milestone 1 Review to start and a Milestone 2 Review to advance to Deployment.

Figure 4: PMAS Standard States for all PMAS Increments

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 schedules until the scope of the project is accomplished. The Active state has three types of increments, Delivery, Initial Operating Capability (IOC), and Deployment. They are defined as follows:
  - Delivery: A cycle of less than six months within the project schedule in which a project develops and deploys customer accepted functionality into production within the committed increment timeline. A Delivery increment may end at IOC Entry or Deployment and with the signatures of the project manager, release manager and customer on the Customer Acceptance Form.
  - IOC: A cycle within the project schedule for large or complex projects whose increments need to be placed into limited production environments of varying size and complexity. This is done to test the new functionality and determine if the features and functionality perform as expected, and do not adversely affect the existing functionality of the product/system. While achieving IOC, no additional delivery work is done except that specifically required by the production environments being used. Within PMAS, an increment achieves IOC when it delivers a capability into production, where it can be used by the customer for the purpose it was built.
  - Deployment: A cycle within the project schedule dedicated to deploying usable functionality to a system, data center, site and/or product. Because of the nature of the functionality being deployed, the project may need to roll out its functionality in a deliberate area-by-area or site-by-site manner. While deploying, no additional delivery work is done, except for emergency patches and releases as issues encountered at sites are identified. There may be multiple Deployment increments delivered throughout the project life cycle.
- Closed State: Projects that are performing post development closeout activities, or that have been closed out.

2.5.2 Conditional PMAS States

There are two conditional PMAS States. They are:

- 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 in between increments or for the purpose of replanning the project are put into the Paused-Planning State. Unfunded projects are put into the Paused-Unfunded State.

3.0 PMAS States Life Cycle

Collective Organizational Commitment

The following sections detail the specific rules and conditions by which a PMAS project progresses as it matures and delivers IT capabilities. However, before discussing these specifics, it is important to note the meaning and larger role played by the PMAS States Lifecycle.

By shepherding a project through the PMAS States Lifecycle, the larger IT organization is collectively making the commitment to do everything possible to ensure each IT project delivers on-time. PMAS provides a framework for each pillar within OI&T (Information Security (IS); IT Resource Management (ITRM); Architecture, Strategy and Design (ASD); Service Delivery and Engineering (SDE) and Product Development (PD)) to evaluate each project and to ensure their organization's requirements are being met by the project, which in turn allows their organization to commit to the project's success. When DAS/DCIO attendance from each IT organization votes at a Milestone Review to approve a milestone in the PMAS States Lifecycle, a collective VA commitment is made. While DAS/DCIO representation at Milestone Reviews is desirable, it is not mandatory, and the DAS/DCIO may delegate as necessary. If delegated, the representative needs to be an empowered member of the organization whom can make commitments on behalf of his/her organization. As one of the leading IT delivery organizations within the Federal Government, each organization must fulfill the commitment they make at each Milestone Review to do everything possible to ensure the project's success.

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 and funded at the program or Office of Responsibility (OOR) level.

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 OOR). Artifacts that are required prior to entry into the Planning State are listed in ProPath.

A project in the New Start State remains in this state until approval is received through a Milestone 0 Review and it is included in the Budget Operating Plan (BOP), or until the project is Closed. (Non-OI&T projects are not included in the BOP).

To pass a Milestone 0 Review, all PMAS projects must:

- Have completed the approved/signed artifacts listed in ProPath
- Be funded – for OI&T projects, this means being included in the BOP

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 PMAS Dashboard User's Guide. The PM

or designee must review the information in the PMAS Dashboard continuously. Whenever there is a change in the required reportable data, update the Dashboard within three business days.

3.1.5 Required Reviews

A 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. Projects in the New Start State must be evaluated every 90 calendar days by the OOR to ensure the business requirements are still needed and the project is 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. The OOR, AS/IT, and Principal Deputy Assistant Secretary (PDAS) all have the authority to close the project based on this review. If the OOR closes the project, OOR staff has three business days to close the project in the PMAS Dashboard. The project then moves to the Closed-Stopped State and does not require further milestone reviews.

A Milestone 0 Review is conducted by a Milestone Review Board, with DAS/DCIO representation of all OI&T pillars. Although DAS/DCIO representation at Milestone Reviews is desirable, it is not mandatory, and the DAS/DCIO may delegate as necessary. If delegated, the representative needs to be an empowered member of the organization whom can make commitments on behalf of his/her organization. Although the OOR DAS/DCIO or designee is technically charged with approving a project to move to the next PMAS Lifecycle State, the Milestone Review Board acts as the consultative body to the OOR. By voting at the Milestone Review, all members of the Board are accepting the responsibility to ensure the project is successful and are committing their organization to doing everything possible to enable the project to deliver on-time.

For projects that will be technically complex, early engagement with the Architecture and Engineering Review Board (AERB) is highly recommended. By collaborating early and frequently with the AERB, the project has a greater likelihood of success.

3.2 Planning State

3.2.1 Entering the Planning State

A project must receive approval during a Milestone 0 Review to advance to the Planning State. The Milestone 0 Review verifies that the 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 at VAPMASReviews@va.gov. The OOR's DAS/DCIO, or designee, must approve the Milestone Review with consensus from the remainder of the Milestone Review voting board.

Milestone Reviews reflect the VA's collective determination and commitment that the project should continue through the PMAS States Lifecycle. Attendees at the Milestone Reviews include the DAS/DCIO or designee representatives from all applicable IT pillars and offices. This may include but is not limited to the OOR, ASD, IS, OOR Budget Office, PD, and SDE. Although DAS/DCIO representation at Milestone Reviews is desirable, it is not mandatory, and the DAS/DCIO may delegate as necessary. If delegated, the representative needs to be an empowered member of the organization whom can make commitments on behalf of his/her organization.

3.2.2 Funding

Projects may not spend more than 10% of its FY budget for any given fiscal year on 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. For the most part, planning should not be done on the same contract as the development work, unless it is merely refining or fine tuning the requirements, as OI&T has moved to increment-based acquisitions. If the planning effort is minimal and is combined with actual development, it could be the base, an option, or a separate Contract Line Item Number (CLIN). Planning activities need to be separated from actual development work, if combined in one contract. Whenever Development, Maintenance, and Enhancement (DME) funds are used, the award of any contract is conditional on CIO certification.

All PMAS OI&T projects must have an OI&T Enterprise Project Structure (EPS) number. To obtain an EPS number, contact your respective OOR, or the PMAS Business Office.

3.2.3 Activities

Artifacts that must be completed during the Planning State, prior to entry into the Active State, are listed in ProPath. If the specifics of the project do not require the use of all of these documents, then provide justification at the Milestone 1 Review. The Milestone 1 Review Board grants waivers for artifacts or ancillary processes.

Projects in the Planning State must receive approval for entry into the Active State through a Milestone 1 Review. 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 does not affect 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. Also, the 30-day warranty period should be planned to ensure coverage after deployment. The Transition Plan for Product Support must be made available and sent to the Product Support team in draft form during this stage.

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 continuously. Whenever there is a change in the required reportable data, update the Dashboard within three business days. The reporting requirements for the PMAS Dashboard are described in the PMAS Dashboard User's Guide.

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 Provisioning or Active State, be re-evaluated, 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 the 60-day reviews are the responsibility of the OOR. The OOR, AS/IT, and PDAS all have the authority to close the project based on this review. If the OOR closes the project, OOR staff has three business days to close the project in the PMAS Dashboard. The project then moves to the Closed-Stopped State and does not require further Milestone Reviews. A Milestone 1 Review to enter the Active State occurs at the end of the Planning State. The project must have all of its resources and be ready to commit to its increment delivery dates and enter the Active State. This review is required for all Active increments, prior to starting work on the increment.

A Milestone 1 Review is conducted by a Milestone Review Board, which has DAS/DCIO representation of all IT pillars. Although DAS/DCIO representation at Milestone Reviews is desirable, it is not mandatory, and the DAS/DCIO may delegate as necessary. If delegated, the representative needs to be an empowered member of the organization whom can make commitments on behalf of his/her organization.

Although the OOR DAS/DCIO, or designee is technically charged with approving a project to move to the next PMAS state, the Milestone Review Board acts as the consultative body to the OOR. By voting at the Milestone Review, all members of the Board are accepting the responsibility to ensure the project is successful and are committing their organization to doing everything possible to enable the project to deliver on-time.

For projects that will be technically complex, early engagement with the AERB is highly recommended. By collaborating early and frequently with the AERB, the project has a greater likelihood of success.

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 to advance to the Active State and to begin work on an active increment. This review ensures the project is ready to enter the Active State. Projects must obtain Milestone 1 Review approval for every Active Delivery increment to establish delivery date commitments for the increments and to validate any design or technical environment changes. If a project submits multiple increments for approval at a Milestone 1 Review, dates must be committed, at a minimum, for the first increment. Projects must also obtain Milestone 1 Review approval for every IOC increment to establish scheduled delivery dates for the increment.

Projects may remain in the PMAS Active State for no more than 24 total months. Throughout this period, the emphasis is on the continued delivery of new capability to the customer. If valid business requirements remain at the end of 24 months, the project must be closed utilizing the project closure process, and the OOR must initiate a new project to deliver those requirements. However, if a project has less than two (2) additional months of work left to complete in the Active State, or there is a valid cost savings for VA related to extending the project's time in the Active State, then the OOR DAS/DCIO may approve the additional time.

The Active State has three PMAS applicable increment types: Delivery, Initial Operational Capability (IOC) and Deployment, and one non-applicable increment type: Visibility and Monitoring. The core business of PMAS is projects that develop *and* deliver functionality within their increments. These are known as "Delivery" increments.

Delivery increments include development and deployment of new capability, or development and entry into IOC. IOC increments, if required, are placed into limited production environments to test the new functionality and to determine if the features and functionality perform as expected, and do not adversely affect the existing functionality of the product/system. IOC increments must be six months or shorter in duration. Deployment increments focus on the national release or deployment of the product that requires a scheduled rollout to sites.

However, there are some projects, which, because of the nature of the functionality they are deploying, need to deploy it in a deliberate site-by-site manner. While deploying, there is no additional development work done, except for that which might be specifically required by each

site. These are known as “Deployment increments.” Each increment’s duration must be less than six months.

Approval for each increment is required through a Milestone 1 Review for all Delivery Increments and a Milestone 2 Review for all Deployment Increments. IOC Increments will require a Milestone 1 Review to start. For those projects that are Deployment only, a joint Milestone 1 and 2 Review is required to enter the Active State and all subsequent Deployment Increments require a Milestone 2 Review approval.

The PM is responsible for scheduling all Milestone Reviews with the PMAS Business Office through an email sent to the PMAS Reviews mailbox at VAPMASReviews@va.gov. Attendees at the Milestone Reviews include DAS/DCIO representatives from ASD, IS, OOR, OOR Budget Office, PD, and SDE. While DAS/DCIO representation at Milestone Reviews is desirable, it is not mandatory and the DAS/DCIO may delegate as necessary. If delegated, the representative needs to be an empowered member of the organization whom can make commitments on behalf of his/her organization. The OOR’s DAS/DCIO, or designee, must approve the Milestone 1 or 2 Review with consensus from the remainder of the Milestone Review voting board.

Milestone 1 Reviews to enter the Active State are documented by meeting minutes. If the project has already received a Milestone 1 to enter the Provisioning State, this review is less robust. The Milestone 1 Review verifies that the project is ready to enter the Active State and is ready to commit to increment delivery dates for at least its first increment.

During the Milestone 1 Review increment delivery dates will be established for at least the first increment. These are the “locked-in” dates the project is accountable for meeting. If more than one increment is presented at the Milestone 1 Review, subsequent increments can be approved to start upon successful on-time completion of the previous increment. The project must update the PMAS Dashboard and initiate a Milestone Review for subsequent increments.

3.3.2 Funding

A PMAS project is funded through the IT Appropriation or any other appropriation and may not enter the Active State until it has acquired all resources, including funding. Whenever DME funds are used, the award of any contract is conditional on CIO certification.

3.3.3 Activities

The Active State is for the delivery and deployment of capabilities. The team produces the technical solution from the agreed upon business requirements. Multiple Active increments may overlap, but each individual increment must not be longer than six months. An IT PM must be able to document his or her increment based-budget, detail the specific requirements being implemented in each increment and know the staffing requirements by increment. In addition, all acquisitions are now required to use increment-based acquisition approaches.

The first type of increment in the Active State is the Delivery Increment. The PM and IPT develop and deploy the required capability; or develop the required capability and then enter it into IOC. The following requirements must be met in order to complete a Delivery Increment:

- Be defined in the Acceptance Criteria Plan
- Be agreed to by the Customer, PM, and IPT
- Be a new or enhanced IT functionality or capability
- Successfully complete user acceptance testing

- Be delivered to a production environment and be usable by a customer, or be entered into IOC, if full deployment cannot be achieved within a Delivery Increment, as is the case with Veterans Health Information System and Technologies Architecture (VistA) projects
- Be accepted as documented by signatures on the Customer Acceptance Form

For PMAS, an increment that requires extensive IOC field testing will enter an IOC Increment through a Milestone 1 Review in order to track the time between completing the Delivery Increment and entering the Deployment Increment.

For PMAS, an increment that is ready to exit an IOC increment and move into deployment will do so through a Milestone 2 Review. The two PMAS criteria for exiting an IOC increment are (1) that customer facing functionality was put into limited production environments, tested for defects, and the defects were repaired and retested, and (2) the customer acceptance forms have been signed for each test site.

Outside of PMAS, there are other criteria that need to be met to enter and exit IOC increments, based on the type of product or project being delivered. The PM should take these additional criteria into consideration when developing the budget and timelines for the IOC increment(s). The following guidance is provided as a high level review of different IOC criteria, but each PM needs to contact the appropriate offices early in the lifecycle of the project to determine the exact processes and documentation that will be required.

The following information is provided for any application or product that affects the Veterans Health Administration (VHA). When determining dates for the project, PMs should factor these steps into the increment's timeline. For products destined to be delivered to both field stations and Enterprise Operations (EO), please note the additional sections below for 'Non-Vista products'. Before scheduling the Milestone 1 Review for VHA products, assure the following has been accomplished:

- If there is an active IPT, the number of test sites is set early in the project. The required minimum number of test sites is three. Otherwise, the minimum of three sites (one integrated, one large, one small) must install the build in production for a minimum of two weeks. Signed/approved Memorandums of Understanding are required of all test sites.
- All Release for IOC Entry (i.e., field testing) or IOC Exit (i.e., National Deployment) including support documentation are to be sent to *VA OIT OED VHA Release Approval* mailgroup. This is the OI&T PD mailgroup through which all requests are routed. They will perform a cursory review to increase their awareness and visibility of the Release. OI&T PD will then forward the request to the VHA Release Management Team for action.
- The VHA Release Management Team must approve the increment before it enters IOC field testing. Approval is obtained by submitting the IOC Entry Request and Exit Summary Document and required supporting documentation to the OED VHA Release Approval group via email. A large number of artifacts will need to be attached. This group will review and then prepare an Issue Brief for approval from the stakeholders/business owners. The capability should not be installed or released into production until VHA provides the approved Issue Brief by email.

After a successful IOC Entry (i.e., field testing), either in the Delivery or IOC Increment, depending on the length of the testing, the project proceeds to a Milestone 2 Review to enter the Deployment Increment. Before scheduling the Milestone 2 Review for VHA products, assure the following have occurred:

- Successful testing of new customer facing functionality in production environments as verified by the signed Customer Acceptance Form is required from all test sites.

- After field testing is complete, all builds and associated documentation should be forwarded to Health Product Support (HPS) for their approval. This is done prior to request for IOC Exit and Milestone 2 approval but after a successful field test. Ten (10) business days should be planned for the HPS review and approval.
- VHA Release Management Team approval to release nationally. Approval is obtained by submitting an updated IOC Entry Request and Exit Summary Document and supporting documentation (must contain HPS approval, as well as concurrence from all test sites) VA OIT OED VHA Release Approval mailgroup. This is the OI&T PD mailgroup through which all requests are routed. This is to increase their awareness and visibility of the Release; they will also do a cursory review. OIT PD will then forward the request to the VHA Release Management Team for action.

All non-VistA products (to include non-VistA VHA) have certain requirements guided by Enterprise Operations (EO).There is great emphasis on the operational and performance aspects of the application, as well as assurance the certification is acceptable per the test plan. The PM should contact EO early in the project lifecycle to determine the artifacts needed and the requisite dates and processes to follow. EO will expect documents such as:

- Approved Business Requirements Document
- System Design Document updated to current design iteration
- Full Authority To Operate (ATO) (not a Temporary ATO)
- Operations and Maintenance Plan
- Productions Operations Plan
- SDE approved Operational Acceptance Plan
- Test Plan - Master test plan, fully executed with approved/accepted results.

EO's emphasis for non-VistA projects will be upon results for capacity and performance elements. There are several sub-elements to the master test plan. Documented verification that capacity and performance expectations, as detailed in the above documents, have been satisfied is necessary as well as a Testing Intake Assessment (TIA) and an Operational Readiness Review (ORR). The following links are very good sources to view EO requirements: the EO Expectations document and the EO Hosting Services document.

Each Deployment Increment must receive approval through a Milestone 2 Review, although multiple increments can be approved at a single Milestone 2 Review. The Deployment Increment leads to full delivery of the capability to all production environments or FOC, including a national rollout. If a national rollout cannot be achieved in a single Deployment Increment, then multiple Deployment increments should be planned and executed. Each Deployment Increment must clearly state how many sites will be receiving the developed product during that increment. No further development work can occur during execution of the Deployment Increment.

Projects that deploy to the entire user community at once, rather than phased in across groupings of field stations, are sometimes referred to as "big bang" deployments or enterprise-wide deployments. If the increment includes both delivery and deployment, it is a Delivery Increment and a Milestone 1 and 2 Review are required. The Milestone 1 Review is required before the start of the increment, while the Milestone 2 Review is required before the start of the Deployment activities.

Project staff may want to enter projects in the PMAS Dashboard and use PMAS as their delivery framework that do not meet the definition of PMAS projects or increments. While these projects/activities are not official PMAS activities, they can be added and tracked in the PMAS

Dashboard. These will be classified as Visibility and Monitoring Projects/Increments. Projects may not remain in the Active State for more than 60 calendar days without an increment type other than Visibility and Monitoring. There are no associated Milestone Reviews for this increment type.

A Milestone 2 Review is scheduled with the PMAS Business Office through an email sent to the PMAS Reviews mailbox at VAPMASReviews@va.gov . Attendees at the Milestone 2 Review include DAS/DCIO representatives from ASD, IS, OOR, OOR Budget Office, PD, and SDE. While DAS/DCIO representation at Milestone Reviews is desirable, it is not mandatory, and the DAS/DCIO may delegate as necessary. If delegated, the representative needs to be an empowered member of the organization whom can make commitments on behalf of his/her organization. The OOR's DAS/DCIO or designee must approve the Milestone Review with consensus from the remainder of the Milestone Review voting board. At the Milestone 2 Review committed deployment dates will be set and the project will be held accountable for meeting those dates. Milestone 2 Reviews are documented by meeting minutes. Completion of the Milestone 2 Review leads to the start of a Deployment Increment.

A project may not 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 and enter either the Paused-Planning State or the Provisioning State, as approved by the OOR, and then have a Milestone 1 Review to reenter the Active State. Projects may remain in the PMAS Active State for no more than 24 total months. If valid business requirements remain at the end of 24 months, the project must be closed utilizing the project closure process, and the OOR must initiate a new project to deliver those requirements. However, if a project has less than two (2) additional months of work left to complete in the Active State, or there is a valid cost savings for VA related to extending the project in the Active State, then the OOR DAS/DCIO may approve the additional time.

Failure to execute the project schedule leads to one of the following results:

- If the increment has started, and has not or will not deliver on time, a TechStat must be scheduled
- If the increment has started, but requires senior leadership intervention to deliver on time, then a Red Flag must be raised and resolved in a timely fashion
- If the project misses a schedule date within an increment but it does not prevent delivery of the increment on time, then a Yellow Flag must be raised

Projects in the Active State must have the staff in place to perform activities associated with successfully delivering the increment capability. It is the responsibility of the PM and the customer to define the needed staff based upon the work to be completed.

All delivery increments beyond the first increment require a Milestone 1 Review approval. A project's second Milestone 1 Review will be aimed at ensuring the technical baseline established at the first review remains unchanged. If there has been no change to a project's technical baseline established at the first Milestone 1 Review, than the subsequent Milestone 1 Reviews will be abbreviated, with an emphasis on establishing the committed dates for the next increment. If there has been a change to the technical baseline, then project must have a complete Milestone 1 Review that clearly states the changes.

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 achieved when the project team has completed all Delivery, IOC and Deployment increments associated with this project.

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 PMAS Dashboard User's Guide. The PM, or designee, must review the information in the PMAS Dashboard continuously. Any reportable change must be entered into the PMAS Dashboard no later than three business days after the change has occurred. There are activities required by some projects that must be visible to senior leaders. Visibility and Monitoring activities can be added and tracked in the PMAS Dashboard as increments.

3.3.5 Required 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 OI&T leadership, as described in Sections 6.3.1.3, 6.3.1.5, or 6.3.1.6. Projects with increments in the Active State will require a TechStat Meeting if an increment delivery date is missed. Active State projects must successfully complete a Milestone 3 Review prior to entry to the Closed State. Milestone 3 Reviews are conducted through the Milestone Review Electronic Voting Site. The project's OOR must approve the Milestone Review along with consensus from the remainder of the Milestone Review voting board.

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. They are:

- Closed-Stopped: A project that has been stopped by the AS/IT, OOR, or designee. A project that is closed-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 delivered all capabilities and has been approved to be closed-completed.

Projects that completed the delivery of business 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. Each OOR is responsible for monitoring all projects in the Closed State to ensure they are on track to complete closing activities on time.

A Closed-Stopped project that is closed prior to its Milestone 0 Review requires only a Milestone 4 Review to close. For Closed-Stopped projects that have performed any development work (i.e. have completed Milestone 0 and Milestone 1 Reviews), and are closed prior to the completion of the project, a joint Milestone 3 and Milestone 4 Review is needed. The Milestone 3 and 4 Reviews are conducted on the Milestone Review Electronic Voting site and the project's OOR DAS/DCIO or designee must approve the Milestone Review with consensus from the remainder of the Milestone Review voting board.

3.4.2 Funding

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

3.4.3 Activities

A project in the Closed State may perform only post-delivery closeout activities.

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

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 PMAS Dashboard User's Guide. The PM, or designee, must review the information in the PMAS Dashboard continuously. Whenever there is a change in the required reportable data, then update the Dashboard within three business days.

3.4.5 Required Reviews

The final activity of the Closed State is a Milestone 4 Review. The review ensures that the project has completed all of the activities of the Closed State. It also ensures that all business requirements have been met. At this review, the project is closed and all capabilities are in use. Projects are expected to spend no more than 30 calendar days between a Milestone 3 Review and a Milestone 4 Review. These Milestone Reviews are done electronically and the project's OOR DAS/DCIO, or designee, must approve the Milestone Review with consensus from the remainder of the Milestone Review voting board. If delegated, the representative needs to be an empowered member of the organization whom can make commitments on behalf of his/her organization. While DAS/DCIO representation at Milestone Reviews is desirable, it is not mandatory, and the DAS/DCIO may delegate as necessary. If delegated, the representative needs to be an empowered member of the organization whom can make commitments on behalf of his/her organization.

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 were present, but then resources for additional increments were reallocated or are delayed.

PMAS projects that are in the Planning State, which do not have the required resources to complete the increment, will enter the Provisioning State until all resources are acquired before entering the Active State.

All projects must use Increment-based acquisitions. These acquisitions allow the VA to more easily end the contractual aspects of project work if the VA determines that project is no longer prioritized or if the project encounters significant challenges and must be replanned. If an acquisition is required, it must follow an increment-based approach, unless there is a compelling reason it cannot.

Projects that would receive a Milestone 1 Review should meet at least one of 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 requirements and content, with the exception of the commitment to meet increment delivery dates. 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. 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 an abbreviated Milestone 1 Review.

Once projects in the Provisioning State have acquired the necessary resources, a Milestone 1 Review must be scheduled to allow the project to enter the Active State.

The PM is responsible for scheduling a Milestone 1 Review with the PMAS Business Office through an email sent to the PMAS Reviews mailbox at VAPMASReviews@va.gov. Attendees at the Milestone 1 Review include empowered representatives from ASD, IS, OOR, OOR Budget Office, PD, and SDE.

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

3.5.2 Funding

Projects that are in the Provisioning State, solely because they need to award an acquisition contract to have all required resources can spend up to 100% of funding related to the first approved Active increment. Whenever DME funds are used, the award of any contract is conditional on CIO certification.

Projects that are in the Provisioning State because necessary resources, such as equipment or staff, for the next increment were reallocated or delayed, may not spend more than 10% of the project's FY budget for any given fiscal year on planning activities without seeking approval of the DAS/DCIO. Whenever DME funds are used, the award of any contract is conditional on CIO certification.

3.5.3 Activities

A project in the Provisioning State may not perform development activities. Projects in the Provisioning State may perform only 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 are described in the PMAS Dashboard User's Guide. The PM, or designee, must review the information in the PMAS Dashboard continuously. Whenever there is a change in the required reportable data, then update the Dashboard within three business days.

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 the 60-day reviews are the responsibility of the OOR. The OOR, AS/IT and PDAS, all have the authority to close the project based on this review. If the OOR closes the project, the project manager or OOR staff has three business days to close the project in the PMAS Dashboard. The project moves to the Closed-Stopped State and does not require further Milestone Reviews.

3.6 Paused State

3.6.1 Entering the Paused State

Projects enter the Paused-Planning State when it is determined that the project needs to perform additional planning activities before continuing in the Active State. This decision is made by the OOR, or through a TechStat meeting. In addition, a project may be placed into the Paused State if the project loses funding, but still has a valid business needs. There are two types of Paused State projects:

- Paused-Planning: Projects that are placed in the Paused State to complete additional planning activities. A project may enter the Paused-Planning State only from the Active State or from the Paused-Unfunded State when its funding is reestablished.
- 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

Projects may not spend more than 10% of the project's FY budget on planning activities. Any spending beyond 10% of the projects FY budget must be approved by the OOR DAS/DCIO. Whenever DME funds are used, the award of any contract is conditional on CIO certification. Paused-Unfunded projects no longer have a project budget and must use Program or OOR resources to continue conducting any approved planning activities.

3.6.3 Activities

Paused State activities are dependent on the type of Paused State:

- Paused-Planning: Perform planning activities as needed to reenter the Active state.
- Paused-Unfunded: No work is to be performed until funding is reestablished.

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 PMAS Dashboard User's Guide. The PM,

or designee, must review the information in the PMAS Dashboard continuously. Whenever there is a change in the required reportable data, then update the Dashboard within three business days.

3.6.5 Required Reviews

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

3.6.5.1 Paused-Planning Projects

Paused-Planning projects must be evaluated every 30 calendar days by the OOR for progress toward moving to the Active State, or they will be subject to closure. The OOR, in addition to the AS/IT or PDAS, have the authority to close the project based on this review. The intent of this requirement is to ensure that senior leaders within the OOR are aware of and are evaluating these projects. If the project is closed by the OOR, the PM or OOR staff have three business days to close the project in the PMAS Dashboard. The project moves to the Closed-Stopped State and does not require further Milestone Reviews. Guidance and processes for conducting the 30-day reviews are the responsibility of the OOR. Paused-Planning 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 Paused-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 delivering on time. 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 on time.

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 decision making and project execution for the success of the project and increment deliverables. It is essential to have representation from all members listed in the IPT 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 PM. As mentioned already, IPT members should be empowered to make organizational commitments, which further the success of the project.

Senior OI&T leaders want to ensure that the PM and the IPT members maintain a constant focus to meet the on-time delivery of IT capabilities. To achieve this goal, the PM must review the current increment schedule at each IPT meeting. All IPT members shall commit to achieving that schedule. Any reservations about achieving the schedule should be raised, discussed and resolved. Any unresolved reservations should be documented as Yellow Flags or Red Flags.

The IPT will be maintained at either the program or the project level as determined by program/project leadership. The IPT may be responsible for more than one project if it is established at the program level. A program level IPT would be chaired or co-chaired by the IT Program Manager, while the IT Project Manager is the chair or co-chair for a project level IPT. The primary customer or Business Sponsor must serve as a member of the IPT and is frequently the co-chair with the IT PM.

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 IPT Reference Guide.

4.2 Resource Management

Resource Management includes the management of staffing resources and funding resources.

4.2.1 Obtaining 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. PMs must also know the marginal and mandatory sustainment costs by increment for their projects.

Since VA is now using increment-based acquisition, funds can be obligated only for items that have received PMAS approval to proceed. So, each time a PM needs a new CLIN or option exercised, he or she

must first ensure that they have received approval to proceed with that work. Budget reviews are necessary each time to generate a new funding document to award additional CLINs or options. Whenever DME funds are used, the award of any contract is conditional on CIO certification.

4.2.2 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.

4.3 Acquisition Management

OI&T has adopted increment-based acquisition. This type of acquisition is aligned with delivering IT capabilities through PMAS. VA Contracting Officers and IT PMs must align the contract type, period of performance, deliverable structure, and funding ceilings with the incremental delivery schedule. Whenever DME funds are used, the award of any contract is conditional on CIO certification. Contracts should be structured with a base for the initial work and then options for each subsequent increment. Follow-on options will be awarded only when sufficient progress is made and the project has completed milestone reviews.

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 Flags and Red Flags in a timely manner to provide senior leaders the opportunity to make timely interventions.

4.4 Increment Deliverables

The purpose of an increment is to reduce the risk associated with each deliverable and the overall project. The increment 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 as possible that delivers usable functionality to our customers. OI&T is on a glide path to increase the frequency of delivery, which can be accomplished through shorter increments or an increase in releases within a given increment. For FY14 and FY15, the steady reduction in increment length will be emphasized to PMs.

An increment deliverable is 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 for which 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 Business Owner will provide prompt feedback for system functionality through completion of user acceptance testing (UAT) and signing of a Customer Acceptance Form.

4.5 Delivery Increment Acceptance

On-time delivery of increments defines PMAS success. To ensure each increment delivers required capabilities, the Customer Acceptance Form must be signed by the PM, who validates that increment requirements are met on-time. In addition, the customer must also sign the Customer Acceptance Form documenting that the deliverable met the increment's requirements.

The end of a PMAS Delivery Increment must meet the following requirements:

- Be defined in the Acceptance Criteria Plan
- Be agreed to by the Customer, PM, and IPT
- Be a new or enhanced IT functionality or capability
- Successfully complete UAT
- Be delivered to a production environment and be usable by a customer, or be entered into IOC testing if full deployment cannot be achieved within a Delivery Increment, as is the case with Veterans Health Information System Technologies Architecture (VistA) projects
- Be accepted as documented by signatures on the Customer Acceptance Form

4.6 Identifying Significant Accomplishments

PMAS provides opportunities for gathering lessons learned by PMs and for acknowledging a project team's 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 the VA PMAS Flag distribution list at VAPMASFlags@va.gov. Lessons learned are typically gathered as a routine part of the Milestone 4 Reviews.

4.7 Managing Project Risk

In the course of normal project execution, projects can encounter obstacles that PMs are unable to overcome. 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 an increment delivery date 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. There are eleven Yellow Flag categories and Yellow Flags are submitted by category, rather than by specific issue. The categories and their definitions can be found on the PBO SharePoint site under PBO Yellow Flag Instructions.

4.7.2 Red Flags

Red Flags are raised to resolve issues or risks that prevent projects from progressing through the PMAS States Lifecycle, or which could result in a failure to deliver on time. They require senior leadership intervention to resolve. For Red Flag meetings to be effective, an SES from each OI&T pillar is required to attend and participate in every Red Flag meeting to provide timely intervention. Red Flags should be raised as soon as any major issue(s) is identified. Red Flags are viewed as a positive risk management tool and are designed to help Project Managers achieve on-time delivery. Red Flags may be raised by anyone in any PMAS state. These include any risks that have the potential of causing a missed increment delivery date. Completed templates must be submitted by email to VAPMASFlags@va.gov. Only the AS/IT, or designee, may accept the unresolved risk associated with the Red Flag.

4.7.3 TechStats

When an increment deliverable date is missed, or will be missed, a TechStat meeting is required. There are no exceptions. A TechStat Meeting is a forum at which senior leaders are presented the root cause for a project's missed committed increment deliverable date. With PMAS Guide 5.0, PMAS returns to the basic concept that a missed increment is a missed increment. Consequently, TechStats will no longer characterize missed increments as Strikes or Missed Milestones. TechStats only apply to Active State projects. The PM, ITPROG, and OOR DAS/DCIO will present the facts of the missed increment deliverable date to the AS/IT or PDAS at a TechStat Meeting.

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

Through identification of the root cause for the missed increment, PMs will attempt to attribute it to people, processes or organizations as the first step in the lessons learned effort. If an increment is granted a new set of committed dates, then the PBO staff will track the original and new committed dates. Upon the occurrence of the third (or fourth, if the project pre-declares their imminent missed date prior to the date occurring) missed increment, the project must have a Closure Review with the AS/IT or PDAS to determine whether to close the project. The outcome of a closure review will either be a determination to close the project; or a request by the AS/IT or PDAS for a reconstitution plan for the project. The request for the reconstitution plan must be based on valid business reasons to continue the project.

To schedule a TechStat Meeting, send an email with the completed TechStat synopsis to the VA PMAS TechStat Meeting mailbox at VAPMASTechStat@va.gov. Once the Front Office has scheduled the TechStat, a change to that schedule may only be granted by the AS/IT, PDAS, or designee.

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. Original increment committed dates are not changed. However, once the project misses its original committed delivery date, a TechStat can approve a new set of committed dates for the increment. These new dates are entered separately in the PMAS Dashboard and have no effect on the original dates. 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. If a PM needs to request an exception to some aspect of project execution, and the OOR approves 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 that must be completed during each PMAS state are listed in ProPath. While ProPath lists the current PMAS required artifacts, PMs should use their good judgment to determine which of those are applicable to their particular project and be prepared to explain their reasoning at Milestone Reviews.

Program-level artifacts applicable to all programs and projects may be developed at the DAS/DCIO level. Projects are welcome to use program level artifacts, if applicable. Program-level artifacts promote consistency, save planning time, and improve quality through reuse. If a program-level artifact is being used for a project artifact requirement, the information must be clearly stated at the Milestone Review.

5.1 Repositories

All projects must have an electronic repository, which serves as the archive for their project's documentation. At the Milestone Reviews, links to documentation must be provided.

- 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 Program Administration Office (PAO) Record Center for SDE project documentation: (http://vaww.project.portal.va.gov/sites/Records/Records/Forms/AllItems.aspx)

Other OOR PMAS projects may continue using their current organizational repositories.

5.2 ProPath

The standard artifacts referenced in this guide are also defined in ProPath. ProPath is an innovative, front-end tool for a Process Asset Library containing information regarding standard processes. It is a one-stop shop providing critical links to the formal approved processes, artifacts, and templates to assist project teams. ProPath supports PMAS execution by providing the detailed processes and instructions, descriptions, roles, responsibilities, and templates required by PMAS policy and practice.

ProPath is the companion to PMAS as it maps directly to the requirements outlined within the guide. Just as following the PMAS Guide is mandatory, using ProPath is mandatory as required by the memorandum sent by the Chief Information Officer on December 12, 2011.

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

- IPO Acquisition Framework (IPO IAF-1.5.3 starts the PMAS Milestone document reviews)
- Project Closure
- Project Initiation
- Project Monitoring and Control
- Project Planning
- Project Shutdown
- Release Management
- Restart Paused Project
- Start Subsequent Increment

ProPath is accessed at: http://vaww.oed.oit.va.gov/process/propath/.

6.0 PMAS Performance Monitoring and Reporting

One of the principles of PMAS is enabling transparency and that applies to the extensive project data collected within PMAS and entered in the PMAS Dashboard. This data is primarily used to monitor a project's performance throughout the PMAS States Lifecycle. Through careful monitoring and analysis of this data, VA is able to determine each project's performance. Most importantly, VA is able to have a near-real time awareness of the status of each project within PMAS and when a project encounters risk. Through PMAS, comprehensive risk mitigation opportunities are available.

Beyond basic performance monitoring, PMAS data also is used extensively in other forums with a great deal of visibility. Figure 5 illustrates the structure and frequency of reporting PMAS data. PD delivers Secretary-level PMAS data status reports on a daily, weekly, and monthly basis to OI&T and VA senior leadership. These reports reach the highest levels of OI&T, VA, and the legislative and executive branches. From a daily report of PMAS delivery performance submitted to the Secretary of Veterans Affairs to PMAS data provided to the Office of Management and Budget and then made publicly available, PMAS data is used and reused extensively.

PMAS data also affects project funding. As part of the 2010 Consolidated Appropriations Act, the VA Secretary or CIO is required to submit a certification of the amounts, in part or in full, to be obligated and expended for each development project to the Committees on Appropriations of both Houses of Congress, before funds may be obligated or expended. Whenever DME funds are used, the award of any contract is conditional on CIO certification.

PMAS data is used as the basis for this certification. Because of the extensive nature of performance monitoring and reporting, each PM must ensure his or her project's data in the PMAS Dashboard is continuously current, accurate, and complete. The credibility of PD, OI&T, VA, and senior leadership relies on the accountability of our project staff in maintaining their project data in the PMAS Dashboard.

Since VA's first submission in FY10, the ongoing collaborative oversight of IT project spending and PMAS rigor for IT development processes have led to a dramatic decrease of dollars expended on failed projects, while the promised functionality of funded projects continues to be delivered on time.

The following table shows some of the reports that utilize PMAS data and the frequency by which it is reported.

PMAS BUSINESS OFFICE REPORTING	PMAS DATA ELEMENTS	VA Secretary VA Deputy Secretary	Chief Information Officer (CIO) Principal Deputy Assistant Secretary	Deputy CIOs	Offices of Responsibility (OORs) Line Directors	Competency Managers (PD) Program Administrative Office (SDE PAO)	Project Managers and Staff	OMB Fed Gov. Tax Payers
Daily OI&T Daily Brief	Daily and weekly on-time commitment data	●	●	●	●	●	●	
Weekly Green/Yellow/Red Flag Project Report	Project status, flag issue, and intervention requested		●	●	●	●	●	
Weekly & Monthly to Monthly Performance Review (MPR) PMAS Metrics Snapshot	PMAS YTD performance data, Red Flag and TechStat data	●	●	●	●	●	●	
Bi-Weekly Project Management Metrics (PM^2) Report	PMAS data anomalies			●	●	●	●	
Monthly MPR Reports	PMAS YTD performance data, Red Flag and TechStat data	●	●	●	●	●	●	●
Monthly/ Annually OMB Exhibit 300B	FYTD project status, data, and costs				●		●	●

6.1 Office of Management and Budget (OMB) Reporting

The OMB requires agencies to report their planning, budgeting, acquisition and management activities for all major IT capital investments. OMB requires agencies to report capital asset and performance data using a two-part Exhibit 300. The Exhibit 300A provides OMB with detailed budget and investment planning justifications of major IT Investments, including projects for the development, modernization, enhancement (DME) or maintenance of IT resources. Per OMB, "maintenance activities that follow agency defined project management methodologies should be managed and reported as projects and reported in Section B of the Exhibit 300." Thus, both DME and maintenance projects must report their

cost, schedule and performance data to OMB. Examples of maintenance activities that must be reported in the OMB Exhibit 300B include operating system upgrades, technology refreshes, and security patch implementations.

To comply fully with reporting requirements outlined in OMB Circular A-11, Part 7, Section 300, all VA OI&T major investments must report their activities on a monthly basis to OMB's Federal IT Dashboard through the OMB Exhibit 300B process. This reporting is done through the PMAS Dashboard. All VA IT projects that are aligned to an OMB Exhibit 300 major IT investment must report cost, schedule and performance data to OMB:

- If a project is aligned to an Exhibit 300, the project data is OMB reportable
- If a project is OMB reportable, then all increments (activities) of that project are OMB reportable
- In addition to schedule information, all project and increment projected and actual costs must be entered into the PMAS Dashboard

6.2 PMAS Dashboard Data

The PMAS Dashboard is the source for all data used in PMAS performance monitoring and reporting. Timely entry of project data in the PMAS Dashboard is mandatory for all PMAS projects. PMs are required to monitor their projects and record changes in the Dashboard as soon as possible, but no later than three business days after they occur.

6.3 OI&T Other 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, including Milestone Reviews.

6.3.1 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. It is desirable for an SES from each IT pillar to attend each PMAS Milestone Review, as they are the critical checkpoints in the PMAS States Lifecycle. While SES representation at Milestone Reviews is desirable, it is not mandatory. (See Sections 3.1 – 3.6 for a complete description of the PMAS States Lifecycle).

The following table provides a review of the types of Milestone Review required for entry into each of the PMAS States and the required approver for that review.

PMAS State	Type of Milestone Review Required for Entry	Required Approver
New Start	No Milestone Reviews required to begin work in the New Start State	N/A
Planning	Milestone 0 approval required to begin work in the Planning State	The OOR's DAS/DCIO or designee must approve the Milestone Review with the consensus from the remainder of the Milestone Review voting board.

PMAS State	Type of Milestone Review Required for Entry	Required Approver
Active	Milestone 1 approval required to move into the Active State and begin work on the first increment. For those projects that are Deployment only, a joint Milestone 1 and 2 Review is required for entry into the Active State (use the joint MS 1 and 2 Review template)	The OOR's DAS/DCIO or designee must approve the Milestone Review with the consensus from the remainder of the Milestone Review voting board.
Paused	No Milestone Reviews required to enter the Paused State	N/A
Closed	Milestone 3 approval is required to enter the Closed State and begin work on closeout activities. Completion of the Closed State is marked by the successful approval of a Milestone 4 Review.	The OOR must approve the Milestone Review with the consensus from the remainder of the Milestone Review voting board.

The following table provides the type of Milestone Review required prior to beginning each type of increment and the required approver for that review.

PMAS State	Increment Type	Type of Milestone Review Required Prior to Beginning Increment	Required Approver
Active	Delivery	Milestone 1 Review	The OOR's DAS/DCIO or designee must approve the Milestone Review with the consensus from the remainder of the Milestone Review voting board
	IOC	Milestone 1 Review	The OOR's DAS/DCIO or designee must approve the Milestone Review with the consensus from the remainder of the Milestone Review voting board
	Deployment (Development Projects)	Milestone 2 Review	The OOR's DAS/DCIO or designee must approve the Milestone Review with the consensus from the remainder of the Milestone Review voting board
	Deployment (Deployment only Projects)	Joint Milestone 1 and 2 Review for initial increment. Milestone 2 Review for all subsequent Deployment increments.	The OOR's DAS/DCIO or designee must approve the Milestone Review with the consensus from the remainder of the Milestone Review voting board

6.3.2 Additional Reviews and Assessments

In addition to the PMAS Milestone Reviews, PMAS includes six other types of reviews and assessments that support management control: AS/IT Reviews, In-Process Reviews (IPRs), internal reviews, PMAS Compliance Reviews, and Systems Engineering and Design Reviews. The type, focus, and level of detail of these reviews and assessments vary with the nature of the review requested or required. These reviews are not mandatory for every project, nor are all of these reviews mandatory for any one project. Review and assessment guides and methodologies, including checklists, are available in ProPath or other official artifact repositories.

6.3.2.1 AS/IT Reviews

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

6.3.2.2 In-Process Reviews (IPRs)

In-Process Reviews (IPRs) are senior leader reviews of VA IT investment in projects, programs, and/or portfolios. IPRs provide OI&T leaders a recurring opportunity to ensure that major information systems proceed in a timely fashion towards agreed-upon milestones through the PMAS States Lifecycle.

IPRs are conducted for the following groups monthly:

- Benefits Transformation
- Health Initiatives
- Corporate

Contact the PBO with any questions about IPRs at VAPMASIPR@va.gov.

6.3.2.3 Internal Reviews

Internal reviews of any project may be conducted at any time by any involved competency organization, including the IPT, and/or the OOR.

6.3.2.4 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.

6.3.2.5 Systems Engineering and Design Review (SEDR)

Through the SEDR process, engineers provide direction, changes, and review of infrastructure and platform technologies and solution designs of those technologies in VA. A SEDR is required for projects that meet any of the following criteria:

- Implementation of new hardware infrastructure. (This may be hosted within the VA or externally.)
- Replacement of hardware, e.g., end of life.
- An application/solution change that may affect the current capacity or performance requirements for existing servers, storage, network (LAN/WAN).

To initiate the SEDR process, or for further assistance, contact the ESE SDE PAO SEDR Manager.

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
- Monitor PMAS project and increment progress through reporting, review, and assessment
- Address Red Flags
- Conduct TechStat Meetings
- Approve exceptions to PMAS (AS/IT only, no designee)
- Approve funding needed for projects through the Budget Operating Plan (BOP) (Original approval by AS/IT only, changes may only be made by the DCIO for ITRM)

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 for increment deliverables
- Provide prompt feedback for post deployment operation of the system
- Participate in the overall prioritization of projects, advocating for their specific projects as necessary
- Participate in User Acceptance Testing (UAT)
- Identify and provide an appropriate Privacy Officer (PO)
- Participate as appropriate in Milestone Review Boards

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 to 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
- Participate as appropriate in Milestone Review Boards

7.7 Office of Information Security (OIS)

OIS 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
- Participate as appropriate in Milestone Review Boards

7.8 Information Technology Program Manager (ITPROG)

The ITPROG will:

- Participate as a key member of the IPT
- Ensure all 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
- 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, 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 create the environment 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
- Approve and sign the IPT Charter
- 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 start
- 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 within three business days of its occurrence
- 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 deployment 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

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 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.

8.3 Deliverable

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

8.4 Full Operational Capability (FOC)

Within PMAS, an increment achieves FOC when it completes delivery of its capability.

8.5 Green Flags

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

8.6 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

There are three types of PMAS increments, defined as follows:

8.6.1 Delivery Increment

A cycle of less than six months within the project schedule in which a project develops and deploys customer accepted functionality into production within the committed increment timeline. A Delivery increment may end at IOC Entry or Deployment and with the signatures of the project manager, release manager and customer on the Customer Acceptance Form.

8.6.2 IOC Increment

A cycle within the project schedule for large or complex projects whose increments need to be placed into limited production environments of varying size and complexity. This is done to test the new

functionality and determine if the features and functionality perform as expected and do not adversely affect the existing functionality of the product/system. While achieving IOC, no additional delivery work is done except that specifically required by the production environments being used. Within PMAS, an increment achieves IOC when it delivers a capability into production, where it can be used by the customer for the purpose it was built.

8.6.3 Deployment Increment

A cycle within the project schedule dedicated to deploying usable functionality to a system, data center, site and/or product. Because of the nature of the functionality being deployed, the project may need to rollout their functionality in a deliberate area-by-area or site-by-site manner. While deploying, no additional delivery work is done, except for emergency patches and releases as issues encountered at sites are identified. There may be multiple Deployment increments applied throughout the project life cycle.

8.7 Integrated Project Team (IPT)

An IPT is a team of people with complementary skills and expertise, who collaborate and commit to delivering IT capabilities on time.

8.8 Major Investment (MI) or Program

An MI or program is a group of related projects that are planned, managed, and coordinated to maximize benefits that would otherwise not be available by managing projects individually. A program is mission-aligned and ongoing for an extended period of time.

8.9 Milestone Reviews

A Milestone Review is a gateway review at which senior leaders determine whether a project is ready to move forward from one PMAS State to the next.

8.10 Missed Increment

A Missed Increment results when the project team fails to deliver the increment on time.

8.11 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 adoption, success, and execution within their organization.

8.12 Project

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

8.13 Red Flags

A Red Flag is an opportunity for senior leaders to resolve any significant issue or risk that jeopardizes an increment delivery date and/or the progression of a project from state to state.

8.14 Release

Releases have the same definition as increments, see Section 8.6, but the project staff delivers these IT capabilities within the duration of the increment, rather than at its end. To be counted as a release there must be more than one delivered capability in the increment.

8.15 TechStat Meeting

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

8.16 Yellow Flags

Yellow Flags are risk categories that are identified to 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
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
EPS	Enterprise Project Structure
FMIC	Financial Management and Internal Controls Guide
FOC	Full Operational Capability
FY	Fiscal Year
IOC	Initial Operational Capability
IPR	In Process Review
IPRM	Information Protection and Risk Management
IPT	Integrated Project Team
IT	Information Technology
ITPROG	Information Technology Program Manager
ITRM	Information Technology Resource Management
MPR	Monthly Performance Review
OAL	Office of Acquisition and Logistics
OAP	Operational Acceptance Plan
OGC	Office of General Counsel
OI&T	Office of Information and Technology
OMB	Office of Management and Budget
OOR	Office of Responsibility
ORR	Operational Readiness Review
PBO	PMAS Business Office
PD	Product Development
PDAS	Principal Deputy Assistant Secretary
PM	Project Manager
PMAS	Project Management Accountability System
PMP	Project Management Plan
PWS	Performance Work Statement
RSD	Requirements Specification Document
SDD	System Design Document
SDE	Service Delivery and Engineering
SEDR	Systems Engineering and Design Review
SOW	Statement of Work
TAR	Technical Analysis Review
TIA	Testing Intake assessment
TSPR	Technical Services Project Repository
UAT	User Acceptance Testing
VA	Department of Veterans Affairs
WITS	Work Information Tracking System

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 in the PBO SharePoint site at: http://vaww.oed.portal.va.gov/pmas_bus_ofc/Policy%20%20Guidance/PMAS%20Guide%205.0%20Best%20Practices.docx

APPENDIX C. PMAS Delegations of Authority

	PMAS Event	Description	PMAS 5.0 Section	Authority	Able to Delegate	If so, to whom?
Major PMAS Activities	Authorizing projects	Authorize new projects and increments in PMAS	7.2	AS/IT	✓	PD Delegation of Authority (DOA) Memo SDE DOA Memo ASD DOA Memo ITRM DOA Memo IS DOA Memo
	Milestone 0, 1 & 2 Reviews	Approve a project to move forward in the PMAS Lifecycle	3.2.1, 3.3.1, 3.3.3	OOR's DAS/DCIO	✓	
	Milestone 3 & 4 Reviews	Approve a project to close in the PMAS Lifecycle	3.3.5, 3.4.1, 3.4.5	OOR's DAS/DCIO	✓	
	Accepting Red Flag risk	Accept the risk of a Red Flag	4.7.2, 7.2	AS/IT	✓	
	Chairing the TechStat	Chair the TechStat	4.7.3, 7.2	AS/IT	✓	
AS/IT or PDAS Activities	Authorizing budget	Approve funding needed for projects through the Budget Operating Plan (BOP)	7.2	AS/IT	No	Not Applicable (NA)
	Approving Exceptions	Approve Exceptions to PMAS Policy	4.9, 7.2	AS/IT or PDAS	No	NA
OOR Activities	Stopping a project	Decide to close a project before a MS 3 or MS 4 Review	3.4.1	AS/IT or OOR	✓	See DOA Memo links above
	Approving additional spending for planning activities	Approve funding beyond 10% of the FY budget for planning activities outside of the Active State.	3.2.2, 3.5.2, 3.6.2	OOR's DAS/DCIO	No	NA
	30/60/90-day OOR Reviews	Perform 30/60/90-day reviews to determine progress of projects not in Active State.	3.1.5, 3.2.5,3.5.5, 3.6.5.1	OOR, AS/IT or PDAS	No	NA
	Approving projects to exceed 24 month Active State	Review and approving projects that need more than 24 months in the Active State to successfully complete project scope.	3.3.1	OOR DAS/DCIO	No	NA
	Additional Reviews in Active State	Review projects in the Active State for any additional reasons at the discretion of the OOR or OI&T leadership	3.3.5	OOR or OI&T Leadership	No	NA