King County
# Information
TECHNOLOGY

# Project Manager Guide
# To
# PRB Reviews

# Table of Contents

# Change Log

Version 4.0 – Feb 2023 – Jennifer Hsu – updating to current process. Added $100K-$250K
project requirements, removed project self rating oversight

Version 3.1 – Feb 2019 – Jennifer Hsu – updated QA section to indicate WA state roster is used
for QA vendor selection, update on PRB review.

Version 3.0 – Jan 2016 – Gary Tripp – Remove IT Considerations form.

Version 2.9 – Nov 2014 – Gary Tripp – Modified comments on Resource-Loaded Schedule in
Microsoft Project.

Version 2.8/2.7 – June 2014 – Gary Tripp – Updated for new Project Complexity Matrix and
Project Management Policy Compliance forms.

Version 2.6 – October 2013 – Gary Tripp – Updated for BAP and other PRB deliverables.

Version 2.5 – August 2011 – Gary Tripp – Updated per new phases.

Version 2.4 – January 2011 – Gary Tripp – Updated per new PRB Process.

Version 2.3 – November 2010 – Gary Tripp – Updated per new PRB Process.

Version 2.2 – April 2010 – Gary Tripp – Updated PRB Meeting Schedule link.

Version 2.1 – October 2008 – Gary Tripp – Changed monthly report example.

Version 2.0 – June 2008 – Gary Tripp - Added several standard operating procedures and
included revised business case template.

# Overview

### *Purpose*

This guide lays out the Project Review Board (PRB) process and the requirements of a project for each PRB review. Project managers are expected to determine the actual phases, sub-phases, and deliverables necessary for project success.

This guide also identifies the requirements of a project for reporting monthly status to enable project monitoring by the Project Review Board.

**This is <u>not</u> a project management methodology, a software development lifecycle methodology, or a training guide for project managers.** For information on the Project Management methodology approved by the PRB for countywide use on IT projects, see Project Management Methodology, Tools & Templates.

### *Background*

The King County Council created the Office of Information Resource Management (OIRM) with a central Project Management Office (PMO) to oversee projects.  OIRM and the Chief Information Officer position were established in December, 2000 with the adoption by King County Council Ordinance # 14005.  A key role and responsibility of OIRM (now KCIT) is to develop guidelines for the management of information technology projects and to monitor project implementation to assure projects stay on track.

# Project Review Board Process

A Governance Structure was later adopted with a Project Review Board to review projects at phases and release funds for the next phase.   Figure 1 is a diagram of the overall PRB process.  Figure 1 provides an suggestion of when a project may request funding release. *Please note that the project may choose to request funding release outside of the phases, or combine phases included in the funding releases depicted in the Figure 1. The project review process begins after budgets have been appropriated by the County Council and continues through project close-out and benefits measurement.

## *Project Threshold Level Oversight*

In October, 2010, the Project Review Board approved establishment of the project threshold level oversight. Projects under the threshold level do not need to come to PRB for funding releases and briefings. This threshold is defined as:
   1. Project budget is less than or equal to $250K, including all capital, grant and operating costs;
   2. Project duration is up to one year; and
   3. Total cost of ownership over 5 years is up to $1M.

For projects under threshold, agencies can assume review and approval of funding release requests in accordance with the Agency IT Investment and Oversight Board Charter when the Charter is enacted. An agency will use the Agency IT Investment and Oversight Board Charter – *Template* to develop their own charter retaining the sections on *Purpose, Role, and Oversight of project documents for Project Review Board* unchanged, and customizing the sections on *Membership, Leadership, Investment and Oversight Meetings* according to agency needs. In order for the charter to be enacted, the signed agency charter needs to be provided for PRB review and approved by PRB.

In December 2018, reporting requirements for projects within $100K - $250K range, funded from Operations, was added. These projects do not need to to though full budget proposal and Executive and Council Approval. These projects are not in full PRB oversight, however, are required to provide monthly updates in the County Portfolio Management System.

## Project Review Board (PRB) Process

King County

**PRB Review**

PRB Deliverables

**Planning**
Project Management Policy
Compliance
Project Complexity Matrix
Project Charter
-------------------------------------
Funding Release Request Form
MP Resource-Loaded Schedule
-------------------------------------
Updated Project Status in Innotas
Benefit Achievement Plan
Business Case
Cost Benefit Analysis Spreadsheets

**PRB Review**

PRB Deliverables

**Preliminary Design**
-------------------------------------
Funding Release Request Form
MP Resource-Loaded Schedule
-------------------------------------
Updated Project Status in Innotas
Benefit Achievement Plan
Business Case
Cost Benefit Analysis Spreadsheets

**PRB Review**

PRB Deliverables

**Design**
-------------------------------------
Funding Release Request Form
MP Resource-Loaded Schedule
-------------------------------------
Updated Project Status in Innotas
Benefit Achievement Plan
Business Case
Cost Benefit Analysis Spreadsheets

**PRB Review**

PRB Deliverables

**Close-Out**
-------------------------------------
Project Close Out Report

**Council, PSB,
PRB Review**

PRB Deliverables

**Value Measurement**
-------------------------------------
Benefit Achievement Plan

Planning

Preliminary Design

Funding Release

Funding Release

Design and Implementation

| Design | | Implementation | |
|---|---|---|---|
| Implementation Planning | Solution Design | Solution Development | Solution Implementation |

Funding Release

Phase 4 - Production
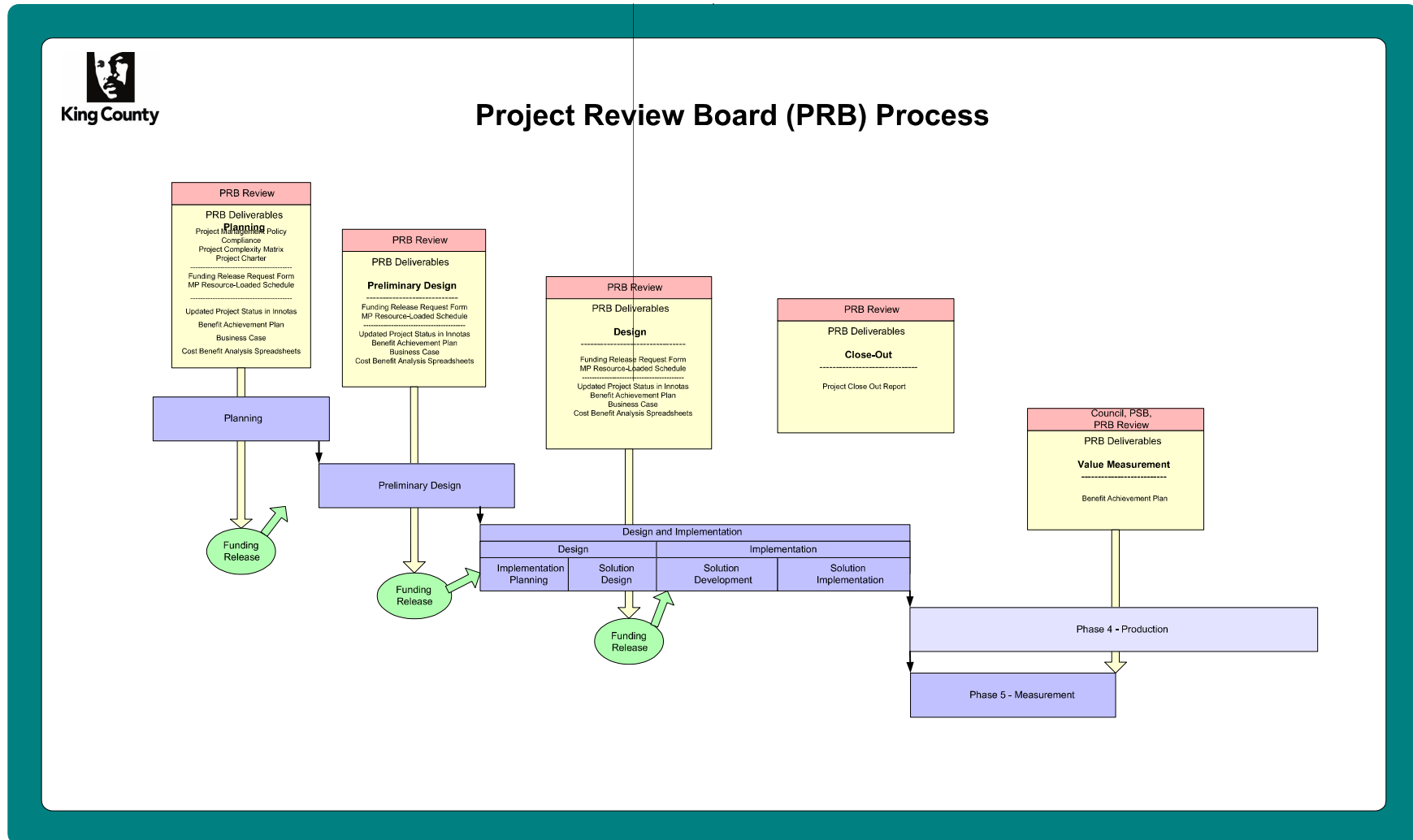
Phase 5 - Measurement

Figure 1 - Project Review Board (PRB) Process   *funding release suggestions, however, project may make funding request at any time.

All projects under threshold provide required documents to PRB listed under PRB Threshold Oversight in the PRB Process Change Chart.

Projects over threshold continue to submit to the PRB funding releases and have full PRB oversight for funding releases and briefings. All projects over threshold provide required documents to PRB listed under PRB Full Oversight in the PRB Process Change Chart.

# For Projects Coming to PRB - Projects Over Threshold

### Triggers for calling for a Project Review Board meeting

Milestones of the project will generally be used to set the schedule for the Project Review Board meetings, keying off the project's progress for each phase and when the deliverables will be ready for review as well as the project's budget and when the project will need to have the next release of funds approved.

The process for reviewing and providing oversight of information technology projects through the Project Review Board can be triggered by several different events:
- A request by a Business Management Council / Technology Management Board member, Project Sponsor, or a Project Manager.
- Project milestones including the need for a funding release or a briefing.
- Concerns or issues with PRB monthly monitoring reports.
- A request by PRB members.

### Scheduling with the Project Review Board

Each technology project over threshold, regardless of funding source (including grant and operations funded projects), and project costs, is required to follow the PRB Process for Funding Releases and project monthly status reports. This means that all funds including capital, grant and operating funds need to be requested for release by the PRB.

Contingency release approvals for projects over threshold will be determined by the CIO on behalf of the Project Review Board. If the CIO determines that a project has exceptions to releasing funds for contingency, it will be scheduled for a review by the Project Review Board. Otherwise the CIO will approve on behalf of the PRB and the project is not required to attend a PRB meeting.

The Project Review Board meetings are scheduled on an as-needed basis. Project Review Board meeting may include full PRB or PRB chair only, as per the Risk Based Oversight diagram.

## PRB Review Process Description

A typical IT project is a major one-time effort to plan, develop, and/or implement a data processing, telecommunications, or other technology related operation with the intent to improve the efficiency of the requesting department or to provide new or enhanced services to the public and are required to adhere to the five IT project phases.

There are five standard phases in a typical project:

Project Inception
**Planning**
**Preliminary Design**
**Final Design**
**Implementation**
**Close-out**
Project Success Evaluation

The exact phases of a project will depend on the nature of the problem the project is addressing, but the project is expected to align its process with the standard PRB phases (in bold).

## Funding Release Request

As technology projects follow the Project Review Board Process of five distinct phases, there are three points where a Release of Funds decision is recommended (as shown in Figure 1). Each technology project over threshold, regardless of funding source is required to follow the PRB Process for Funding Releases. This means that all funds including capital, grant and operating funds need to be requested for release by the PRB.

The project manager prepares the documents required for the PRB review which are submitted electronically through the portfolio management system to the PRB staff. These documents are reviewed by the PRB staff for completeness and the project summaries distributed to PRB Chair. (The project should go through a departmental or project steering committee review process before submitting to the PRB.)

The following documents are required for Project Requesting Funding Releases from PRB, which are to be requested through submissions through the PPM Pro Portfolio Management System:

| Funding Release Request Documents |
|---|
| These three documents are required for the project's first Funding Release Request. | **Project Charter** |
| | **Resource-Loaded Schedule in Microsoft Project (Template)** |
| | **Risk Register** |
| | |
| | |
| Documents from the previous Funding Release Request may be resubmitted if no changes are needed, or updated. | **Updated Project Status in the PPM Pro Portfolio Management System** |
| | **Benefit Achievement Plan** |
| | **Spend Plan** |
| | **Sponsor Approval** |

The Project Review Board will make a decision on whether to release funds requested.

# Project Review Board Deliverable Requirements

## *Project Inception – Appropriations for New Projects: Biennial Budget Process and Mid-year IT Project Requests*

Typically, new projects are requested by King County agencies during the biennial budget proposal process, as explained on the PSB web site. **All the information you may need for your IT Project requests**.

When projects are requested at times other than during the biennial budget, a similar process is followed on a project-by-project basis, typically through mid year omnibus requests.

The PRB Process depicted below starts after appropriation authority has been granted through the Executive and King County Council.

## *Project Close-Out*

When an information technology project is completed, the project manager notifies the board by noting the project is completed with completion date in the County Portfolio Management System.  At this point, no further reporting is required.

The Project close-out report is submitted to the PRB within one month of the final monthly status report. The PRB will review the report.

The required deliverable for the Project Close-out is:

☑  Project Close-out Report

### **Project Close-out Report**

Documentation of the project description, results, variance and a summary explanation of what the project accomplished – highlighting relevant project scope, schedule, and budget information from the close-out documentation.  Also includes benefits measurements, lessons learned, records retention, and deliverables turnover.

## Project Success Evaluation

This Review is when the value received from implementing the project's product or service is evaluated and compared to the value projected in the business case. The Project Review Board will conduct this review with measurements identified and reported by the project manager or agency representative.

# Project Quality Assurance

The Project Review Board decided, in its February 19, 2003 meeting, that it would "direct Quality Assurance Reviews and Project Audits on information technology projects on an as-needed basis. Funding for this activity will come from project contingency budgets." IT Project Quality Management is composed of 1) Project Oversight and 2) Quality Assurance. The Project Oversight assesses project management practices and the Quality Assurance assesses the quality of deliverables and quality specifics of the current project phase.

**Triggers for PRB to Initiate a QA Review**

- The project has greater than $10 million in appropriations
- High county visibility
- The project exhibits one or more of the following project warning signs:
  - Lack of evidence of good project management
  - Critical milestone is missed, or is going to be missed
  - Budget is being spent faster than projected
  - Project scope is changing
  - High priority, critical issues are not being resolved
  - Project has no risks identified

King County agencies may select a vendor from the State of Washington IT Professional Services Roster. King County Procurement will assist with RFP and contracting. All costs for external consultants are paid by the requesting agency.

Further information on Project Quality Assurance can be found on the Quality Assurance/Oversight page.