Project Assurance Case Study

Enterprise Project Management Office

Georgia Technology Authority

State of Georgia

www.gta.ga.gov

11/1/2011

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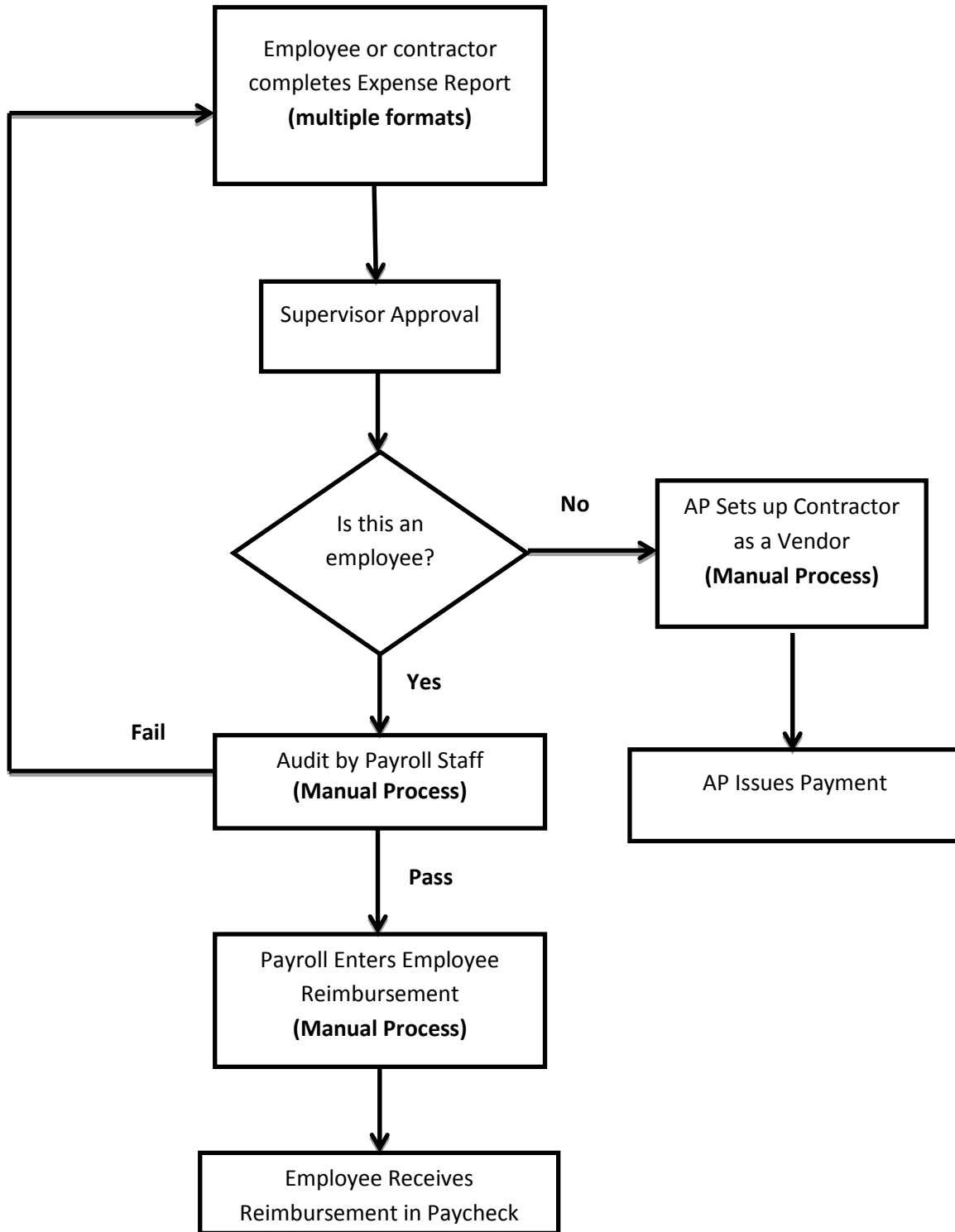# Fictional Case Study Introduction

Project Background

The State has initiated a project to implement an enterprise expense reimbursement system to automate the process for employee travel and expense reimbursements. The current process consists of a manual review of all expense reimbursements by the centralized payroll staff. Key executives believe implementing a web based system with automated approval reviews will improve the overall efficiency of the process and allow the payroll staff to focus on their core business operations.

The project is already underway and is currently in the **Design Phase**. Although all the project indicators are showing that the project is on track, the Steering Committee feels that something is not right and has asked you to conduct an assessment of the project and make recommendations for improvement. To start the process, you held a meeting of the key stakeholders to set expectation for the assessment.
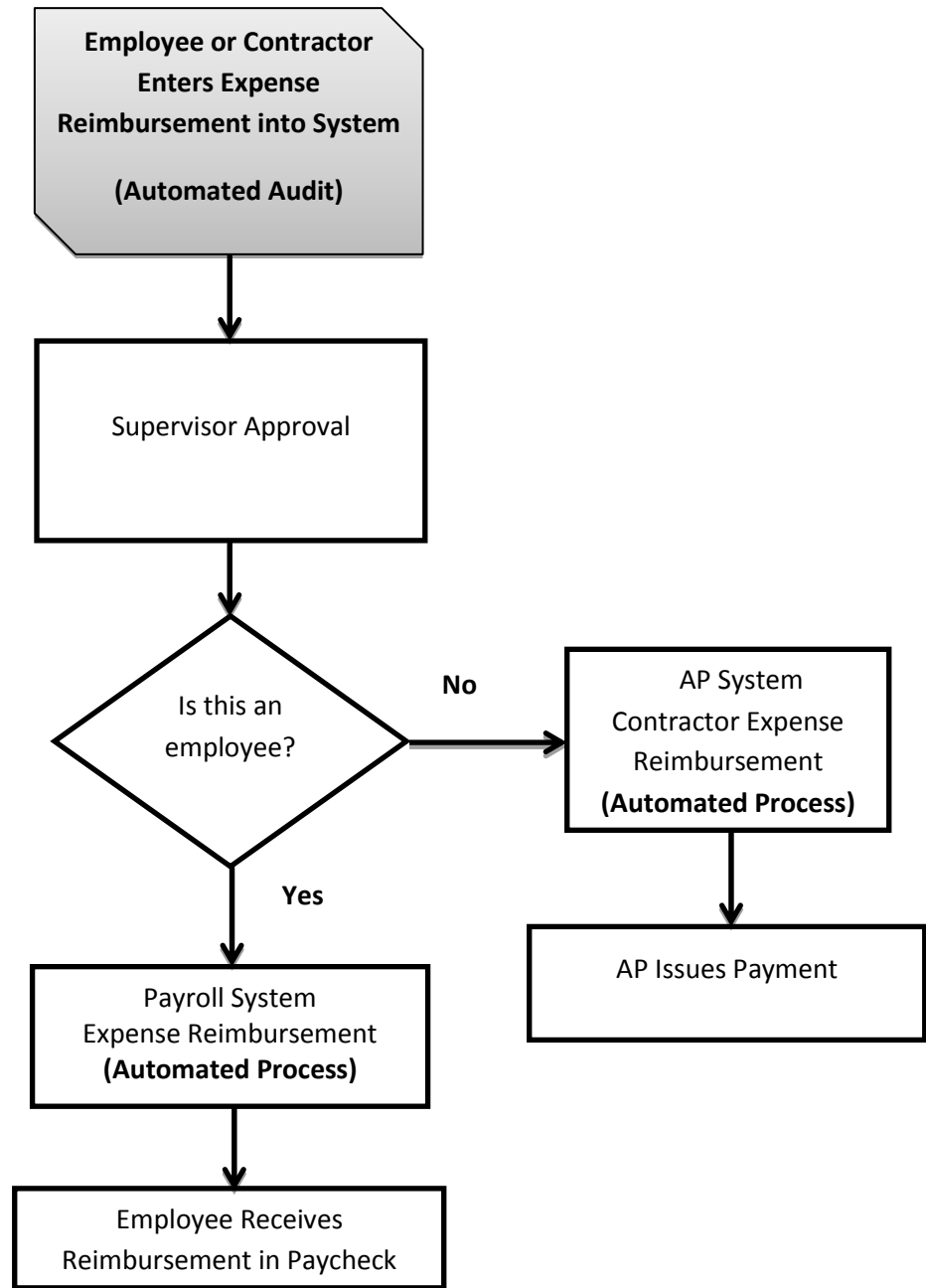
The following documents have been provided for your review:

1. Current and Future State Process Flows
2. Statement of Business Need
3. Request for Proposal
4. Project Plan

Current State Diagram

```
        ┌─────────────────────────┐
        │  Employee or contractor │
        │  completes Expense Report│
        │    (multiple formats)   │
        └─────────────────────────┘
                    │
                    ▼
        ┌─────────────────────────┐
        │   Supervisor Approval   │
        └─────────────────────────┘
                    │
                    ▼
              ╱─────────╲
             ╱  Is this an ╲        No      ┌─────────────────────┐
             ╲  employee?  ╱ ───────────────▶│ AP Sets up Contractor│
              ╲─────────╱                     │     as a Vendor      │
                    │                         │   (Manual Process)   │
                   Yes                        └─────────────────────┘
                    │                                    │
                    ▼                                    ▼
        ┌─────────────────────────┐          ┌─────────────────────┐
  Fail  │   Audit by Payroll Staff│          │   AP Issues Payment │
◀───────│     (Manual Process)    │          └─────────────────────┘
        └─────────────────────────┘
                    │
                   Pass
                    │
                    ▼
        ┌─────────────────────────┐
        │ Payroll Enters Employee │
        │     Reimbursement       │
        │    (Manual Process)     │
        └─────────────────────────┘
                    │
                    ▼
        ┌─────────────────────────┐
        │    Employee Receives    │
        │ Reimbursement in Paycheck│
        └─────────────────────────┘
```

Future State Diagram

Employee or Contractor
Enters Expense
Reimbursement into System

(Automated Audit)

Supervisor Approval

Is this an employee?

No → AP System
Contractor Expense
Reimbursement
(Automated Process)

AP Issues Payment

Yes

Payroll System
Expense Reimbursement
(Automated Process)

Employee Receives
Reimbursement in Paycheck

Exercise #1:

Business Needs Statement Review

Business Needs Statement

The State has developed and a comprehensive Needs Assessment based on the thorough analysis of its current business environment as it relates to expense reimbursement to develop and/or implement a web based expense reimbursement system.

Current State (As-Is Process)

Currently, expense reimbursements are made to state personnel and others doing business with the State. A current expense reimbursement or travel authorization form is completed and forwarded to the agency's approving superior. Once approved the reimbursement form is forwarded to one of two locations. Payroll generally processes employee reimbursements during the normal bi-weekly pay-cycle. Prior to entry into the State's Payroll system, payroll staff must audit 100% of the travel or expense reimbursements manually using the travel policy or other pre-defined rules. The rules and guidelines are fairly extensive when performing manual review. If reimbursements are complete, they are entered into the Payroll system for processing. However, if any discrepancies are noted, either due to incompleteness of the reimbursement form, missing receipts, reimbursements previously paid, etc., the reimbursement is returned to the sender.

Furthermore, the audit process occurs during the normal bi-weekly payroll processing along with the time entries for all employees of the state. This may result in payroll staff overtime in getting all the 'work' completed for the pay-cycle runs. Additionally noted was that some returned expense reimbursements that get audited by the payroll staff are never returned for entry into payroll as the sender(s) may choose to run the reimbursement through accounts payable instead. Accounts Payable does not review any reimbursements as long as the approvals are valid. The additional workload created on payroll during its peak payroll times could improve with automation and adjustments to the current business process.

Future State (To-Be Process)

The implementation of an automated Expense Reimbursement System will allow for more streamlined processing of expense reimbursements with automated rule sets. The future state flow will allow for more productive payroll time and reduce production costs along with real-time reporting and analysis of expense reimbursements. Managers and users can be notified by email of errors needing correction as well as the status of a reimbursement. Calculation of mileage and identification of duplicate expenses being submitted are flagged and reported for exception processing.

The payroll staff could utilize the exception reporting for their audit purposes. The intent is that less than 100% of the reimbursement requested being submitted need to be returned for further clarification. As well, integration of the Expense System directly into Payroll will allow for expenses to be reimbursed via the employees' payroll payments as required.

Requirements

1. Must be able to process Employee's Expenses into Payroll without re-entry
2. Support multiple levels of approvals and others in case of absences, etc.
3. Provide for rules based on travel policy & allowances
4. Provide for IRS mileage rates, reimbursements and calculations without having to check for those in years past or current.
5. Provide for overall electronic entry and computation of travel reimbursements
6. Allow for conditions that are currently being audited by the user manually
7. Ability to provide management reporting for travel by select criteria-- by position or program, etc.
8. Account for pre-travel authorization for out of state travel
9. Ability to provide management reporting for travel by select criteria-- by position or program, etc.
10. Ability to use existing pre-travel and travel authorization forms online for ease of user entry and approvals
11. Obtain a list of outstanding cash advances that are overdue within specified number of days from trip.
12. Ability to take or create entries into Payroll system for deductions of cash advances.
13. Ability to pay to account(s) other than current Payroll account-- (savings account deposits, checks, etc.)
14. Accommodate both expenses that are taxable and non-taxable reimbursements
15. Check Travel authorizations against budgets
16. Deny or reverse any travel denied after approval was done.
17. Ability to integrate credit card purchases into the travel forms
18. Create various travel reports at the program, project level details.
19. Run exception reporting prior to Payroll calculations
20. Reconciliation reports for reimbursement that are expensed but not paid (accruals)
21. Create a budget for travel or project expenses for review of expenses prior to actual expenses are incurred
22. Transfer Receivable and Billing needs from expenses to invoice customer, etc.

Summary & Key Findings

In order to evaluate the alternatives and make a decision, The State conducted requirements gathering and fit-gap analysis of the State's requirements for employee expense reimbursement against the Future State requirements.

The study concluded that a new Expense System would enable the automation of travel and expense reimbursements for more effective expense management and compliance with defined rules or policy. The reduction of paper-based entry and elimination of redundant processes (manual audit, entry, etc.) can result in productivity increases as well as cost savings. Additionally, the new system could provide more control over payment issuance by switching from paper checks to other electronic formats, resulting in savings in check production costs and reducing the need to reconcile financial instruments.

Benefits of Implementing Module

- Expense tracking will be in a central repository. Information such as the purpose of the trip, location, common dates, type of expense, etc. will be available for analysis and reporting.

- A data repository for government contractors will be created, to effectively manage time and expenses for contracts.

- The system will provide analytic reporting of expense transactions and cash advances providing more detailed analysis of the various expense transactions.

- Leveraging best practices for expense management provides more effective business processes that will translate to cost savings.

- The ability to track and execute necessary action items for follow up will be made available by delivered expense reports.

Barriers to Implementing Module

- State employees would need training on the new Expense system which could create problems for the assimilation of knowledge on the use of the module.

- Implementation requires Change Management and Training of the employees to become more knowledgeable of the module's capabilities.

- There is no direct benefit for Agencies to feel compelled to put in an expense reporting system.

- The key to successful development for the module would require more effort on defining workflow approvals and automation of rule sets to automate the 100% manual audit process performed by Payroll today.

- Identification of reporting requirements for all agencies would be required.

Alternative Solutions and Evaluation Criteria

Based upon the information gathered through interviewing members of The State, the following alternative solutions have been identified for the Expense reimbursement systems.

1. Continue to use the current process
2. Build a custom solution
3. Purchase an expense reimbursement system (on-premise)
4. Purchase an expense reimbursement system (Software as a Service)
5. Implement the expense modules of the State's Financial System

Each option was evaluated using the following criteria:

- The ability to meet the business requirements
- The technical requirements
- The time required for implementation
- Estimated project cost
- Overall risk

The following table summarizes the results of how each alternative solutions meets the evaluation criteria.

Option	Ability to meet the Business Requirements	Technical Requirements	Time to Implement	System Cost	Implementation Costs	Risk
Continue to use the current process	Low	Low	Low	$0	$0	Low
Build a Custom Solution	High	Moderate	High	$5,000	$60,000	Moderate
Purchase an expense reimbursement system (on-premise)	Moderate	Moderate	High	$50,000	$50,000	Moderate /High
Purchase an expense reimbursement system (SaaS)	Moderate	Low	Moderate	$50,000	$30,000	Moderate /High
Implement the expense modules of the State's Financial System	Moderate	Low	High	$0	$100,000	Moderate /High

Recommendation Approach - Purchase an expense reimbursement system (SaaS)

Case Study Exercise #1

Using the following scale, review the Business Needs Statement for the Project:

1=incomplete section or section does not exist

2=section needs to be more detailed

3= section is complete

Assessment #1 - Documentation Review		
What to look for	**Completeness**	**Comments**
1. Description of the current state or 'as-is' processes and systems		
2. Description of the challenges with the current processes and systems		
3. Gap analysis which validates the opportunity to improve a business process or correct a deficiency related to a business need		
4. Need for the acquisition of key items to include hardware, software and services		
5. Business and Technical Requirements of the proposed solution(s)		
6. Security and data privacy considerations		
7. Impact of the change the proposed solution(s) will have on the organization		
8. Analysis of alternatives with pros, cons and recommendations for moving forward		
9. Detailed Business Case for the Investment to include: • Project budget to include software, hardware, infrastructure, consultants, training and personnel. • Cost Justification and Return on Investment		

Category	Description	Total Score
Completeness	1=incomplete deliverable or deliverable does not exist 2=deliverable needs to be more detailed 3= deliverable is complete	
	Average Score	

Exercise #2:

RFP Review and Cross Reference

The State

REQUEST FOR PROPOSAL

Expense Reimbursement System

Expected RFP Schedule Summary:

DATE POSTED	August 1, 2011
BIDDERS CONFERENCE	August 14, 2011
QUESTIONS DUE	August 20, 2011 3:00 P.M. ET
PROPOSALS DUE	September 30, 2011 3:00 P.M. ET
FINALIST DEMONSTRATIONS	October 15-17, 211
PROJECT STARTS	November 15, 2011

LOCATION OF BID OPENING: The State, Atlanta, GA

Contact Information

PURCHASING AGENT: Bill Parker

TELEPHONE: (404) 656-0000

E-MAIL: Bill.Parker@ga.gov

FAX: (404) 656-1000

Project Assurance Case Study

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Overview

The State of Georgia seeks bids from vendors qualified to provide a web based Expense Reimbursement System delivered as a Software as a Service (SaaS).

If a suitable offer is made in response to this Request For Proposal (RFP), the State may enter into a contract (the Contract) with the selected offeror (the Contractor). This RFP provides details on what is required to submit a Proposal in response to this RFP, how the State will evaluate the Proposals, and what will be required of the Contractor in performing the work.

This RFP also gives the estimated dates for the various events in the submission process, selection process, and performance of the work. While these dates are subject to change, prospective offerors must be prepared to meet them as they currently stand. Once awarded, the term of the Contract will be two years with an option to renew all or part of this Contract subject to the satisfactory performance of the Contractor and the needs of the State.

Any failure to meet a deadline in the submission or evaluation phases and any objection to the dates for performance of the Project may result in the State refusing to consider the Proposal of the offeror.

Schedule of Events

The expected timetable, including the Proposal Due Date and other important dates, are set forth below. The name of any offeror submitting a proposal shall be a matter of public record on the Proposal Due Date.

DATE POSTED	August 1, 2011
Bidders Conference	August 14, 2011
Questions Due	August 20, 2011 3:00 P.M. ET
Proposals Due	September 30, 2011 3:00 P.M. ET
Finalist Demonstrations	October 15-17, 211
Notification of Award	November 3, 2011 2:00 p.m. ET
Contract Negotiation Period	November 3, 2011 – November 26 2011
Project Starts	December 1, 2011

Evaluation Criteria

A review team comprised of select individuals and staff from the State project team will be charged with evaluating proposals based on the criteria outlined in the RFP. During the evaluation process, bidders may be contacted for the purpose of obtaining clarification of their response. However, no clarification will be sought if a bidder completely fails to address any mandatory bid requirements contained in the RFP document. A committee will evaluate proposals against the criteria listed in Mandatory Bid Requirements and using the evaluation factors below.

As part of its evaluation, the Selection Committee may conduct interviews and possibly knowledge and product expertise demonstrations with one or more bidders. At such time bidders will be required to travel to Atlanta, GA at their own expense to participate in an on-site interview. Selected offerors will be prepared at this time to demonstrate Expense Reimbursement System and project approach.

The State will rescore related evaluation factors after any interviews, presentations, and/or demonstrations. **There will be no cost to the State for these presentations.** The Selection Committee will evaluate proposals based on the criteria listed below in approximate order of importance. The highest scoring, qualified proposal may be eligible to receive the award.

EVALUATION FACTORS
1. Ability of the Proposed Solution to meet the State's Requirements
2. Quality and presentation of response to RFP (including readability, completeness, understanding of project requirements, adherence to response format requirements, and presenting realistic timeline).
3. Quality of references given
4. Project approach, methodology and proposed project staff
5. Cost

Mandatory Bid Requirements

Only proposals meeting the following mandatory requirements will be eligible to participate in the procurement. The State reserves the right to reject any proposal that does not meet these requirements.

1. The proposed solution must be implemented in at least three government organizations.

Project Background

Currently, expense reimbursements are made to state personnel and others doing business with the State. A current expense reimbursement or travel authorization form is completed and forwarded to the agency's approving superior. Once approved the reimbursement form is forwarded to one of two locations. Payroll generally processes employee reimbursements during the normal bi-weekly pay-cycle. Prior to entry into the State's Payroll system, payroll staff must audit 100% of the travel or expense reimbursements manually using the travel policy or other pre-defined rules. The rules and guidelines are fairly extensive when performing manual review. If reimbursements are complete, they are entered into the Payroll system for processing. However, if any discrepancies are noted, either due to incompleteness of the reimbursement form, missing receipts, reimbursements previously paid, etc., the reimbursement is returned to the sender.

Furthermore, the audit process occurs during the normal bi-weekly payroll processing along with the time entries for all employees of the state. This may result in payroll staff overtime in getting all the 'work' completed for the pay-cycle runs. Additionally noted was that some returned expense reimbursements that get audited by the payroll staff is never returned for entry into payroll as the sender(s) may choose to run the reimbursement through accounts payable instead. Accounts Payable does not review any reimbursements as long as the approvals are valid. The additional workload created on payroll during its peak payroll times could improve with automation and some adjustments to the current business process.

In order to improve the expense reimbursement process and evaluate the alternatives available to the State, the project team conducted requirements gathering and fit-gap analysis of the State's requirements for employee expense reimbursement against the Future State requirements. The study concluded that a new Expense System would enable the automation of travel and expense reimbursements for more effective expense management and compliance with defined rules or policy. Based on an analysis of the alternative, the State has chosen to implement a new Expense Reimbursement using a Software as a Service Model (SaaS)

Requirements and Scope of Work

Product Requirements

1. Must be able to process Employee's Expenses into Payroll without re-entry
2. Support multiple levels of approvals and others in case of absences, etc.
3. Provide for rules based on travel policy & allowances
4. Provide for IRS mileage rates & reimbursements and it calculations without having to check for those in years past or current.
5. Provide for overall electronic entry and computation of travel reimbursements
6. Allow for conditions that are currently being audited by the user manually
7. Ability to provide management reporting for travel by select criteria-- by position or program, etc.
8. Account for pre-travel authorization for out of state travel
9. Ability to provide management reporting for travel by select criteria-- by position or program, etc.
10. Ability to use existing pre-travel and travel authorization forms online for ease of user entry and approvals
11. Obtain a list of outstanding cash advances that are overdue. (within specified number of days from trip)
12. Ability to take or create entries into Payroll system for deductions of cash advances.
13. Ability to pay to account(s) other than current Payroll account-- (savings account deposits, checks, etc.)
14. Accommodate both expenses that are taxable and non-taxable reimbursements
15. are incurred
16. Transfer Receivable and Billing needs from expenses to invoice customer, etc.

Service Requirements

The selected contractor will perform the following services related to the Expense Reimbursement System implementation.

1. Conduct design sessions for the Expense Reimbursement System.
2. Develop a comprehensive system design document to include both functional and technical specifications for any identified customizations, interfaces and reports.
3. Configure the Expense Reimbursement System according to the requirements identified in the System Design Document.
4. Develop any customizations, interfaces and reports identified in the System Design Document
5. Execute a thorough test plan to that includes unit testing, system testing, performance and load testing, integration testing and user acceptance testing.
6. Provide on-site post implementation support and system stabilization for a minimum period of 10 weeks after go-live and conduct knowledge transfer for ongoing support to applicable State staff.

Chapter 4: Bidder Response Content and Format

The instructions and format for the submission of proposal information are designed to ensure the provision of data considered essential to the understanding and comprehensive evaluation of the bidder's proposal. There is no intent to limit the content of the proposals, nor in any way to inhibit a presentation in other than the bidder's favor. The bidder may include such additional information or data as may be appropriate, or offer alternate solutions but shall not exclude any portion requested in this document. All proposals must contain the following information.

1. **LETTER OF TRANSMITTAL.** A statement identifying individuals who were involved in the preparation of the proposal as well as a single point of contact for clarification of bid information must be included.

2. **BACKGROUND AND EXPERIENCE.** Provide a full description of the experience you have providing the requested service. Provide resumes for all key staff and/or subcontractors proposed to work on this project.

3. **REFERENCES.** Provide the names, address and phone numbers of at least three companies with whom you have transacted similar business in the last 12 months. You must include contact names who can talk knowledgeably about performance.

4. **NARRATIVE:** Bidders must provide a point by point narrative that states how they will meet the requirements of this Request for Response.

5. **ACKNOWLEDGMENT OF TERMS:** A statement acknowledging all Customary State Contract Provisions and Purchasing and Contract Administration Terms and Conditions with any exceptions or additional provisions noted. (These will be considered when making an award)

6. **PRICING:** You must complete a separate PRICING RESPONSE and submit it with your bid.

Proposal Submission

CLOSING DATE: The closing date for the receipt of proposals is September 30, 2011 at **3:00 P.M.** Bid must be delivered to: Agency Address Atlanta, GA 30328 prior to that time. Proposals or unsolicited amendments submitted after that time will not be accepted and will be returned to the bidder.

The bid opening will be held at Agency Address Atlanta, GA 30328 and is open to the public. **Submit an unbound original (clearly marked as such) and ten (10) paper copies and one (1) CD-ROM copy.**

The bid should include a Technical Response and a separate Pricing Response.

The separate Pricing Response must include an original and ten (10) paper copies and one (1) CD-ROM copy. All proposals shall be submitted in a sealed package and must be clearly marked as follows:

<div align="center">

PROPOSAL FOR Expense Reimbursement System

</div>

If bids are being sent via an express delivery service, be certain that this designation is clearly shown on the outside of the delivery envelope or box.

Case Study Exercise #2

Using the following scale, review the Request for Proposal (RFP) for the Project:

- 1=incomplete section or section does not exist
- 2=section needs to be more detailed
- 3= section is complete

Be sure to cross reference the information in the RFP with the information in the Business Needs Statements and the results of your evaluation of the Business Needs Statement.

Assessment #2 - Documentation Review		
Document to Review: Request for Proposal		
What to look for:	**Completeness**	**Comments**
1. An overview of the procurement		
2. The point of contact and process for vendor questions		
3. The procurement timeframe		
4. Vendor qualifications (Mandatory, Minimal and Preferred)		
5. Project background, scope statement and anticipated timeframe		
6. Product requirements or product specifications		
7. Proposal response guidelines for technical and financial response		
8. Request for vendor references		
9. Additional project / product information to assist in vendor response		

Category	Description	Average Score
Completeness	1=incomplete deliverable or deliverable does not exist 2=deliverable needs to be more detailed 3= deliverable is complete	
	Total Score	

Exercise #3:

Project Plan Review and Cross Reference

Project Plan

Task Name	% Compl	# of Days	Start Date	End Date
State of Georgia - Expense Reimbursement System Implementation	23%	126 days	12/1/2011	5/23/2012
Phase I - Project Planning	100%	21 days	12/1/2011	12/29/2011
Identify Project Stakeholders	100%	10 days	12/1/2011	12/14/2011
Determine Project Team Members and Roles	100%	5 days	12/1/2011	12/7/2011
Develop Project Charter	100%	10 days	12/1/2011	12/14/2011
Develop Detailed Project Plan	100%	10 days	12/1/2011	12/14/2011
Develop Requirements Management Plan	100%	5 days	12/15/2011	12/21/2011
Develop Change Control Process/Plan	100%	5 days	12/15/2011	12/21/2011
Develop Risk Management Process/Plan	100%	5 days	12/1/2011	12/7/2011
Develop Issue Resolution Process/Plan	100%	5 days	12/15/2011	12/21/2011
Develop User Acceptance Test Plan	100%	5 days	12/15/2011	12/21/2011
Develop Project Weekly Status Template	100%	5 days	12/15/2011	12/21/2011
Deliverable: Project Charter	*100%*	*1 day*	*12/15/2011*	*12/15/2011*
Deliverable: Detailed Project Plan	*100%*	*1 day*	*12/15/2011*	*12/15/2011*
Phase II - System Design	94%	24 days	1/2/2012	2/2/2012
Preparation for Design Sessions (Session Content)	*100%*	*10 days*	*1/2/2012*	*1/13/2012*
Create session calendar (Days & Times)	100%	5 days	1/2/2012	1/6/2012
Access to Sandbox Environment	100%	0 days	1/2/2012	1/2/2012
Configure application to support design session facilitation	100%	10 days	1/2/2012	1/13/2012
Determine session content	100%	10 days	1/2/2012	1/13/2012
Create appropriate documentation to support design sessions	100%	10 days	1/2/2012	1/13/2012
Preparation for Design Sessions (Logistics & Communication)	*100%*	*10 days*	*1/2/2012*	*1/13/2012*
Determine attendees necessary for design sessions	100%	10 days	1/2/2012	1/13/2012
Communicate design session schedule and request attendees	100%	10 days	1/2/2012	1/13/2012
Secure conference room for design sessions	100%	10 days	1/2/2012	1/13/2012
Design Sessions	*33%*	*14 days*	*1/16/2012*	*2/2/2012*
Functional Design Session I	100%	1 day	1/16/2012	1/16/2012
Functional Design Session II	100%	1 day	1/19/2012	1/19/2012
Functional Design Session III	0%	1 day	1/24/2012	1/24/2012
Technical Design Session I (interfaces, conversions reports)	0%	1 day	1/27/2012	1/27/2012
Technical Design Session I (interfaces, conversions reports)	0%	1 day	2/1/2012	2/1/2012
Deliverable: System Design Document	0%	1 day	2/2/2012	2/2/2012

Project Plan

Phase III - Development	0%	30 days	2/6/2012	3/16/2012
System Development	*0%*	*10 days*	*2/6/2012*	*2/17/2012*
Develop & Unit Test Conversion Programs	0%	30 days	2/6/2012	3/16/2012
Load Set-up Tables (as necessary)	0%	30 days	2/6/2012	3/16/2012
Load transactional data	0%	30 days	2/6/2012	3/16/2012
Develop and Unit Test Modifications	0%	30 days	2/6/2012	3/16/2012
Develop and Unit Test Interfaces	0%	30 days	2/6/2012	3/16/2012
Develop and Unit Test Queries and Reports	0%	30 days	2/6/2012	3/16/2012
Configure Application Security	0%	30 days	2/6/2012	3/16/2012
Phase IV - Testing (System and UAT)	**0%**	**36 days**	**3/16/2012**	**5/4/2012**
System Testing	*0%*	*21 days*	*3/16/2012*	*4/13/2012*
Create System Test Scripts	0%	10 days	3/16/2012	3/29/2012
Execute System Test Scripts	0%	10 days	4/2/2012	4/13/2012
UAT (Preparation, Execution, Fixes)	*0%*	*25 days*	*4/2/2012*	*5/4/2012*
UAT Preparation	*0%*	*15 days*	*4/2/2012*	*4/20/2012*
Determine UAT Participants	0%	15 days	4/2/2012	4/20/2012
Determine UAT logistics	0%	15 days	4/2/2012	4/20/2012
Create UAT Test Scripts	0%	15 days	4/2/2012	4/20/2012
UAT Execution	*0%*	*5 days*	*4/23/2012*	*4/27/2012*
Execute UAT Scripts	0%	5 days	4/23/2012	4/27/2012
UAT Fixes, Migrations, Retest	0%	5 days	4/30/2012	5/4/2012
Develop & Unit Test UAT Show-Stopper Fixes	0%	5 days	4/30/2012	5/4/2012
Migrate Objects to Test Environment	0%	5 days	4/30/2012	5/4/2012
Retest Show-Stopper Fixes	0%	5 days	4/30/2012	5/4/2012
Phase V - (Training and Rollout)	**0%**	39 days	4/2/2012	5/23/2012
Roll-Out Planning	*0%*	*29 days*	*4/16/2012*	*5/23/2012*
Establish Roll-Out Meetings	0%	20 days	4/16/2012	5/11/2012
Establish Roll-Out Plan	0%	29 days	4/16/2012	5/23/2012
Build Contingency Plan	0%	20 days	4/16/2012	5/11/2012
Establish Go No-Go Checklist	0%	20 days	4/16/2012	5/11/2012
End User Training	*0%*	*35 days*	*4/2/2012*	*5/18/2012*
Deliver End-User Training	0%	10 days	5/7/2012	5/18/2012
Develop Communications Materials	*0%*	*30 days*	*4/2/2012*	*5/11/2012*
Design Communications	0%	25 days	4/2/2012	5/4/2012
Prepare print piece	0%	25 days	4/2/2012	5/4/2012
Print and Distribute Employee Communications	0%	5 days	5/7/2012	5/11/2012
Production/ Go-Live	*0%*	*6 days*	*5/15/2012*	*5/21/2012*
Setup Production Application Security	0%	4 days	5/15/2012	5/18/2012
Prepare for Production Move (Go Live)	0%	4 days	5/15/2012	5/18/2012
Move programs to production	0%	2 days	5/19/2012	5/21/2012
Load / convert data	0%	2 days	5/19/2012	5/21/2012
Go-Live	**0%**	**0 days**	**5/21/2012**	**5/21/2012**

Case Study Exercise #3

Review the Project Plan for the Expense Reimbursement Project for completeness: (1) based on the deliverables and processes outlined in the Enterprise Performance Lifecycle and (2) the results of Exercises 1 & 2.

Findings / Areas of Concern:

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Exercise #4

Interview Evaluation and Cross Reference

Interview Questionnaire	
Name: Tim Johnson	**Position: Director Finance**
1. What are your concerns about the project?	*I am concerned that we may be oversimplifying the process based on the different agencies and scenarios that make up our organization.*
2. Do you still feel about the overall timeline is reasonable?	*Yes*
3. What other events are occurring in the organization that may have an impact on this project?	*We process 1099 for tax purposes the last two weeks in January every year. This process is time consuming for both our functional and technical staff.*
4. Who is not engaged in the project that should be?	*Nobody that I can think of*
5. Based on the design session, do you see additional changes or impacts to the organization / users?	*Yes, it appears that we missed some business requirements in the RFP, we will need to validate if the system can meet those requirements.*
6. How do you plan to communicate change?	*The vendor is putting a plan together for that. We are not responsible for those tasks.*
7. Are decisions being made in a timely manner?	*So far, but we have not encountered anything significant.*
8. Do you currently have a business continuity plan and when was the last time it was tested?	*No*
9. Are the contracts being fulfilled according to the award or approved changes?	*So far*
10. Do you feel the budget is sufficient to meet the needs of the project? If not, do you have a contingency plan?	*We have held back 10% of the budget in case of unexpected expenditures.*
11. Have performance goal and project success criteria been developed and communicated? Do you anticipate any issues in meeting the goals?	*Our success criteria is cutting over to the new system on-time.*

Interview Questionnaire	
Name: Sally Jeffries	**Position: Software Vendor Project Manger**
1. What are your concerns about the project?	*The client has made several resource changes and I am not sure that we have the right people involved in the project. Many of the people originally assigned to the project are busy with operational issues.*
2. Do you still feel about the overall timeline is reasonable?	*Yes*
3. What other events are occurring in the organization that may have an impact on this project?	*Nothing that I am aware of.*
4. Who is not engaged in the project that should be?	*The resources that have been changed out of the project are being pulled to help with operations and 1099 processing.*
5. Based on the design session, do you see additional changes or impacts to the organization / users?	*Yes, it appears the client missed some business requirements in the RFP, we will need to validate if the system can meet those requirements. However, our solution is comprehensive and based on a preliminary review, I think the impact will be minimal.*
6. How do you plan to communicate change?	*We are developing the communication plan, but will need help from the client for message development and delivery. I believe the tasks are identified on the project plan.*
7. Are decisions being made in a timely manner?	*Yes*
8. Do you currently have a business continuity plan and when was the last time it was tested?	*I am not sure that they have one, but being we are implementing a SaaS Solution that is part of what the client is purchasing from us.*
9. Are the contracts being fulfilled according to the award or approved changes?	*So far*
10. Do you feel the budget is sufficient to meet the needs of the project? If not, do you have a contingency plan?	*Yes*
11. Have performance goal and project success criteria been developed and communicated? Do you anticipate any issues in meeting the goals?	*The project will be successful if we meet the cut-over date.*

Interview Questionnaire	
Name: Dale Barnes	**Position: IT Director**
1. What are your concerns about the project?	*I am not completely comfortable implementing a system in which we are not in control of the technical environment. We have sensitive employee data in this system and strict connectivity requirements that take a while to get in place. I am not sure that the team understands how long it takes to establish secure connectivity.*
2. Do you still feel about the overall timeline is reasonable?	*I am not sure that we are going to be able to convert the data and get the secure connectivity for interfaces in place.*
3. What other events are occurring in the organization that may have an impact on this project?	*1099 Processing*
4. Who is not engaged in the project that should be?	*The technical architecture team.*
5. Based on the design session, do you see additional changes or impacts to the organization / users?	*No*
6. How do you plan to communicate change?	*The vendor is taking care of that*
7. Are decisions being made in a timely manner?	*Yes*
8. Do you currently have a business continuity plan and when was the last time it was tested?	*We have a back-up and recovery plan in place, but we have not tested it. The SaaS solution will give us a better solution.*
9. Are the contracts being fulfilled according to the award or approved changes?	*Yes*
10. Do you feel the budget is sufficient to meet the needs of the project? If not, do you have a contingency plan?	*Yes*
11. Have performance goal and project success criteria been developed and communicated? Do you anticipate any issues in meeting the goals?	*No*

Case Study Exercise #5

Review the results of your interviews with the Key Project Participants and cross reference them to the

results of Exercises 1-3 to determine additional areas of concern.

Findings / Areas of Concern:

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Exercise #5:

Determining Findings and Recommendations

Case Study Exercise #5

Use the follow Report Template to organize and summarize your Project Assurance Assessment.

Project:	Reviewed by:	Date:

Section 1 - Assessment Process

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Section 2 - Summarized Findings

-
-
-

Section 3- Project Management

Issues / Areas of Concern

-
-
-

Section 4 - Functional Areas

Issues / Areas of Concern

-
-
-

Section 5 - Technical Areas

Issues / Areas of Concern

-
-
-

Section 6 - Change Management

Issues / Areas of Concern

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-
-

Based on the results of your Project Assurance Assessment, make your recommendations to improve the projects odds of success:

Recommendations:

1. _____

2. _____

3. _____

4. _____

5. _____

6. _____

7. _____

Exercise #6

Conducting an Intervention

Case Study Exercise #6

You have completed the Project Assurance Assessment and feel confident about your recommendations. Based on the project team structure below, determine your approach for navigating the organization to communicate your findings.

Project Team

Name	Department	Title	Decision Role	Relationship Rating	Accessibility
Tim Johnson	Finance	Director | Project Sponsor	D	S	U
Dale Barnes	IT	Manager	NI	W	E
Sally Jeffries	Vendor	Project Manager	I	M	A
Mary Potts	IT	CIO | Project Sponsor	D	W	U
Patty Marshall	IT	Project Manager	C	S	E
Adam Bell	Vendor	VP | Project Sponsor	D	W	U
Sandy Yost	Finance	Business Analyst	T	M	E

Legend

Decision Role	Relationship Rating	Accessibility
D Decision Maker	**S** Strong	**E** Easily Accessible
I Influencer	**M** Moderate	**A** Accessible
C Champion	**W** Weak	**U** Un-accessible
N Negative Influence		
T Team Member / Contributor		

Based on the information provided, develop a high level strategy for communicating your findings with the following people:

1. Dale Barnes _____

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2. Tim Johnson _____

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3. Mary Potts _____

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4. Adam Bell _____

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