

THE TEXAS A&M
UNIVERSITY SYSTEM

TAC 216 Companion Guide

IT Project Management Best Practices

The Texas A&M University System

Version 2016 | Last Revised 02/01/2016



Table of Contents

Introduction	4
The A&M System’s Approach to Help Members Achieve Compliance with TAC 216	4
Using the Companion Guide	5
Starting on the Path to Compliance with TAC 216	5
Getting Started with the Companion Guide	6
Best Practice Elements for Calendar Year 2016.....	7
Project Management Practices.....	8
Projects, Tasks and Ongoing Operations	8
Project Classification	9
Customizing the Complexity and Risk Assessment	9
Using the Complexity and Risk Assessment.....	9
Always Check for Reasonableness	9
Level 4 Projects and/or Confidential Data	9
Companion Guide Project Management Processes, Procedures and Documentation	10
Project Initiation	10
Project Planning	11
Project Execution, Monitoring and Controlling	12
Project Closing	13
Assessment and Reporting	14
Effectiveness of IT Project Management Practices.....	14
Member IT Project Governance.....	15
TAC 216 Companion Guide Governance.....	17
Biennial Review Process.....	17
Mid-Cycle Review Process	17
Subcommittee Logistics	18
Appendices.....	19
Appendix A – Templates	19
Appendix B – TAC 216, Major Information Systems Projects and Internal Audit.....	21
Appendix C – Project Document Management	22
Appendix D – Process Checklists.....	25
Appendix E – References	29



Document Logistics 30
 Change History 30

Introduction

The A&M System's Approach to Help Members Achieve Compliance with TAC 216

TAC 216 requires institutions and agencies to manage information resources projects based on project management practices. It requires the definition of several minimum elements, including a single reference source for project management practices. The approach described in this Companion Guide is intended to assist in satisfying the requirements of TAC 216, listed below:

(Effective November 23, 2015, 40 TexReg 8198)

- 216.21: (1) Include a method and repeatable method for delivery of information resources projects that solve business problems;
- 216.21: (2) Include a method for governing application of project management practices;
- 216.21: (3) Be documented and include a single reference source (e.g., handbook, guide, repository);
- 216.21: (4) Include a project classification method developed by DIR (see <http://dir.texas.gov/View-Resources/Pages/Content.aspx?id=16>), the institution of higher education, the agency, or another source that:
 - (A) Differentiates and categorizes projects according to level of complexity and risk (e.g., technology, size, budget, time to deliver); and
 - (B) Defines how to use the project classification method to establish, scale, and execute the appropriate level of processes;
- 216.21: (5) Include a method to periodically review, assess, monitor, measure and improve the impact of organizational project management practices on the institution of higher education or agency's ability to achieve its strategic objectives and deliver business value;
- 216.21: (6) Accommodate use of other practices and methods that intersect with application of project management practices; and
- 216.21: (7) Be reviewed and updated at least every two years to facilitate continuous process improvement.

Per A&M System policy 29.01 Information Resources, §2.3 (<http://policies.tamus.edu/29-01.pdf>), each member is responsible for developing and implementing rules and/or procedures to ensure compliance with applicable Texas Department of Information Resources' rules, including compliance with Texas Administrative Code. The TAC 216 Companion Guide provides a framework for complying with TAC 216 for those members not already in compliance, and describes a minimum standard for project management and oversight.

This Companion Guide defines a project, provides a method for classifying projects based on their complexity and risk, and outlines minimum requirements for completing projects based on their classification level. The Companion Guide also outlines TAC 216 requirements for project governance, assessment and reporting. The appendices include useful tools and additional information. Visit the [TAC 216 Companion Guide Kit](#) for project management templates and a glossary of project management terms.

Using the Companion Guide

Starting on the Path to Compliance with TAC 216

Members may use any IT project management methodology and templates, as long as they address TAC 216 required processes and documentation. The Companion Guide has been tested with both agile and waterfall development approaches.

Members can follow one of the following options to work towards compliance with TAC 216:

- Members with more mature IT project management processes:

Use the Companion Guide to help check for gaps. Review current IT project management processes and templates against the Companion Guide and modify the member's processes and templates as needed to address any gaps.

- Complexity and Risk Assessment
 - Compare the member's current approach to identifying and scoring each project's complexity and risk against the Companion Guide's Complexity and Risk Assessment.
 - Add complexity and risk categories found on the Companion Guide Complexity and Risk Assessment that are missing from the member's risk classification and scoring approach.
 - Customize the "Total Cost including Payroll" section of the Complexity and Risk Assessment to match the member's budget signing thresholds. Any project costing more than \$1MM will be classified as the most complex of projects.
 - Adjust the member's project classification levels to include four (4) levels of projects based on increasing complexity and risk (i.e., Level 1, Level 2, Level 3, Level 4).
- Templates
 - Compare the member's current templates against those included with the Companion Guide.
 - Add data elements found on the Companion Guide templates that are missing on the member's templates.
 - Member templates may contain more data elements than are indicated on the Companion Guide templates, but should contain at least the data elements on the Companion Guide templates.

- Members with less mature IT project management processes:

Use the Companion Guide “as is”, using the procedures and templates indicated in the Companion Guide.

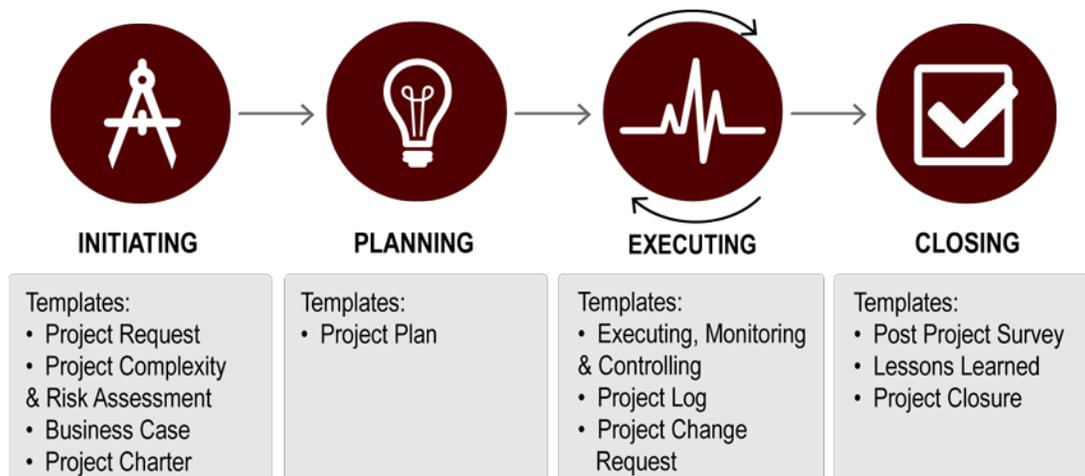
- Customize the “Total Cost including Payroll” section of the Complexity and Risk Assessment to match the member’s budget signing thresholds. Any project costing more than \$1MM will be classified as the most complex of projects.
- If desired, brand Companion Guide templates with institution or agency branding.

Getting Started with the Companion Guide

TAC 216 requires identification and adoption of one or more standards as a basis for project management practices to meet project requirements in a minimum of the following knowledge areas:

- Integration Management
- Scope Management
- Schedule Management
- Cost Management
- Quality Management
- Human Resources Management
- Communications Management
- Risk Management
- Procurement (Acquisition) Management
- Stakeholder Management

The Companion Guide organizes these knowledge areas across four project management process groups.



Initiating Processes

Initiating processes define the project and authorize project work.

Planning Processes

Planning processes refine the details of the project and develop the plan for completion.

Executing, Monitoring and Controlling Processes

Executing, Monitoring and Controlling processes perform the project work according to the plan and regularly identify variances from the plan so corrective actions can be taken to improve project outcomes.

Closing Processes

Closing processes bring the project to an orderly end by assessing and formalizing acceptance of project results and closing out any procurement contracts.

For each process group, core procedures have been identified and sample templates have been created. See [Appendix A – Templates](#) for more information.

Per TAC 216, all projects must follow a project management methodology. Larger, more complex projects require more stringent procedures and documentation than smaller, less complex projects. The Companion Guide provides procedures and documentation requirements for each project Classification Level and each IT project management process group.

Note: Projects that meet the State of Texas definition for a Major Information Resources Project are required to follow the Texas Project Delivery Framework, regardless of the Classification Level.

Best Practice Elements for Calendar Year 2016

Because every member has a different level of project management skills and capabilities, some members are compliant with TAC 216 today and other members will need to work toward compliance over the next few years as they develop their project management skills. The following Companion Guide elements provide a starting point towards compliance:

- Use the Complexity and Risk Assessment on all IT projects to determine if the effort is a project and if it is a project, classify it as a Level 1, Level 2, Level 3 or Level 4 project.
- Develop a Project Charter for all project levels (using either the member's template or the Companion Guide template).
- Develop and maintain a Risk Register for all project levels (using either the member's template or the Companion Guide template).
- Develop Lessons Learned for all project levels (using either the member's template or the Companion Guide template).
- For smaller projects, the Level 1 Project template brings elements of the Project Charter, the Risk Register and Lessons Learned into one concise document.

For members with project management processes already in place, it is recommended that you evaluate your current processes to ensure TAC 216 compliance.

Project Management Practices

TAC 216 requires a project classification method, based on complexity and risk, to determine the appropriate combination of project management practices for each project.

This section is focused on the following TAC 216 requirement:

- *216.21: (4) Include a project classification method developed by DIR ([see dir.texas.gov/View-Resources/Pages/Content.aspx?id=24](http://dir.texas.gov/View-Resources/Pages/Content.aspx?id=24)), the institution of higher education, the agency, or another source that:
 - (A) Differentiates and categorizes projects according to level of complexity and risk (e.g., technology, size, budget, time to deliver); and
 - (B) Defines how to use the project classification method to establish, scale, and execute the appropriate level of processes;*

Projects, Tasks and Ongoing Operations

TAC 216 applies only to work categorized as a **project**. The work of an Information Technology department normally falls into the categories defined below. Tasks and work to support ongoing operations are not subject to TAC 216.

Tasks

A task is a small piece of work that is independent from a project. Tasks may be part of operational work and should meet the following criteria:

- Last no longer than 24 person-hours
- Involve only a few people
- Accomplish a single, well-defined goal

The **Project Complexity and Risk Assessment** may be used to determine whether the work to be done is a task or project.

Operations

Operations are the ongoing work to sustain or provide a service. Operations may be subject to change control processes, but are not subject to TAC 216. It is possible that during the course of sustaining or providing a service, the need to add additional features of a service or product, or to create a new unique product or service could be defined as a project according to TAC 216. In these cases, please use the Complexity and Risk Assessment to determine if the effort scores as a project.

Projects

A project is a temporary endeavor with a defined beginning and end. It creates a new, unique product, service or result. Projects may require progressive elaboration as work progresses and more information becomes available.

Project Classification

The **Project Complexity and Risk Assessment**, describes key complexity and risk factors and scores projects based on these factors. The resulting score is used to determine the Classification Level of the project.

Visit the [TAC 216 Companion Guide Kit](#) for the Complexity and Risk Assessment.

Customizing the Complexity and Risk Assessment

Members should customize the **Project Complexity and Risk Assessment** by defining appropriate values for “Total Cost including Payroll”. Open the assessment template and customize the cost values to appropriately reflect a project’s risk based on the information technology budget at your institution or agency.

Using the Complexity and Risk Assessment

As new project ideas and requests are brought forward for consideration, classify them using your customized assessment tool. The project’s score is used to determine its Classification Level (Level 1, Level 2, Level 3 or Level 4). Each Classification Level has a set of project management procedures and documentation appropriate to the complexity and risk presented by the project.

Note: The State of Texas defines a Major Information Resources Project in [Texas Government Code, Section 2054.003\(10\)](#). Projects that meet this definition are required to follow the [Texas Project Delivery Framework](#). Also, the A&M System Internal Audit Department may participate in projects that meet certain criteria. See System Policy 10.01 and [Appendix B – TAC 216, Major Information Systems Projects and Internal Audit](#).

Always Check for Reasonableness

Regardless of a project’s score, a project manager, in consultation with IT leadership at their institution or agency may decide to manage the project at a different Classification Level (Level 1, Level 2, Level 3 or Level 4) than the level indicated by the Complexity and Risk Assessment. If a member decides to manage a project at a different Classification Level than the level indicated by its Complexity and Risk score, document the decision on the Project Charter.

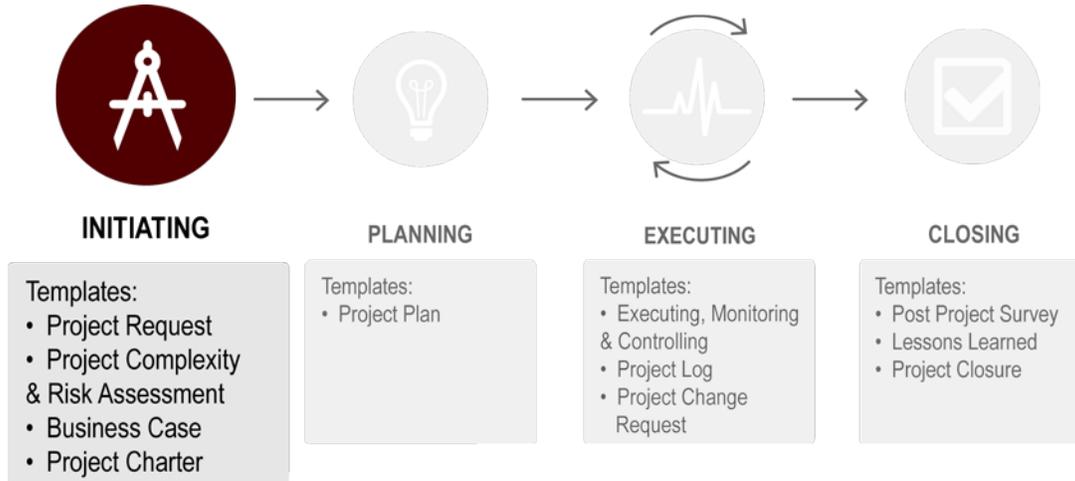
Level 4 Projects and/or Confidential Data

Because of the complexity and risk of Level 4 projects, please contact Internal Audit at iaudit@tamus.edu when you identify a Level 4 project. (See [Appendix B – TAC 216, Major Information Systems and Internal Audit](#))

If you regularly include confidential data in your projects, and you feel that the projects are generally not Level 4 projects based on the complexity and risk of the project, please contact Internal Audit at iaudit@tamus.edu to discuss your processes for managing confidential data.

Companion Guide Project Management Processes, Procedures and Documentation

Project Initiation



Overview

During initiation, classify the project, identify the basic project information, evaluate the proposed project and reach consensus with stakeholder and IT leadership on whether the project should move forward and into Planning. This structured approach to project initiation provides the following benefits:

- Project selection is transparent, documented and based on the enterprise context of strategic value, risk and urgency.
- The organization demonstrates good stewardship by focusing on project outcomes and ensuring that limited resources are applied to the highest value projects.
- The Project Charter provides a single point of reference defining a common vision for the project. Charter approval and signoff demonstrates commitment and accountability for project outcomes.

Procedures

- Complete a Project Request (template available)
- Classify the project (Complexity and Risk Assessment available)
- Develop a Business Case (template available)
- Develop a Project Charter (template available)
- Approve the Project Charter to authorize the project to begin work
- Confirm and identify stakeholders
- Create a document repository (See [Appendix C – Project Document Management](#))

A Project Initiation Procedures and Documentation Checklist is available for reference in [Appendix D – Table D1](#).

Project Planning



Overview

During planning, review and refine the components of the Project Charter and provide the necessary detail to support project execution. Consider holding a project planning kick off meeting and include key team members, subject matter experts and stakeholders. This collaborative and systematic approach to project planning provides the following benefits:

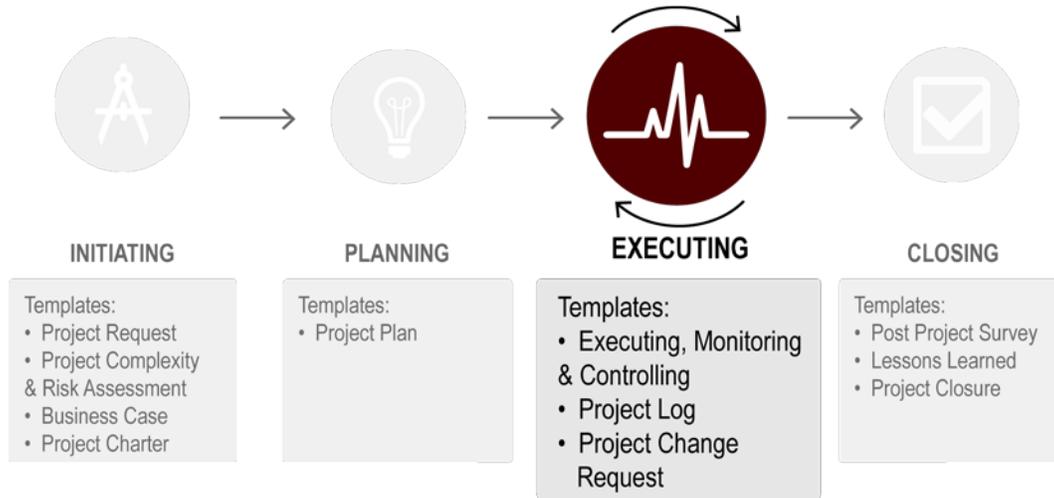
- Since most people give the maximum consideration to ideas when they write them down, potential problems are identified early and the time and effort to produce the plan will consistently be less than the time and rework experienced without the plan.
- A written plan provides a consistent tool for communicating with stakeholders. This becomes increasingly important as the size and complexity of projects increase.
- A written plan helps set expectations and confirms commitments and accountability among project team members and between the team and other stakeholders.

Procedures

- Develop a Project Plan (template available)
- Develop executing, monitoring and controlling templates (templates available)
- Approve the Project Plan to move into Execution

A Project Planning Procedures and Documentation Checklist is available for reference in [Appendix D – Table D2](#).

Project Execution, Monitoring and Controlling



Overview

During execution, monitoring and controlling, perform the project work according to the project plan and schedule to produce the desired result. This approach to project delivery provides the following benefits:

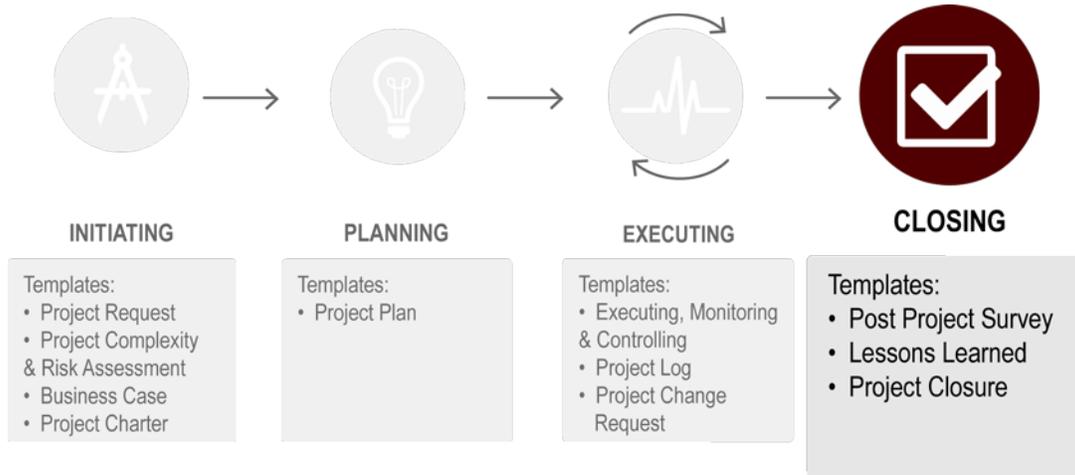
- Project performance is observed and measured regularly to identify variances from the Project Plan.
- Project outcomes are generally improved through heightened accountability and the ability to take corrective actions.
- Because project risks are actively monitored, issues are identified early and can be addressed more effectively.

Procedures

- Execute, monitor and control the project (templates available)
- Track issues and actions, risks, etc. (template available)
- Manage project changes (template available)

A Project Execution, Monitoring and Controlling Checklist is available for reference in [Appendix D – Table D3](#).

Project Closing



Overview

During closing, assess project results, close out any procurement contracts, and package the project assets for the project archive. This formal approach to project closing provides the following benefits:

- A realistic transition period to establish operational procedures, complete project documentation and address minor outstanding items.
- Formal closure of procurements avoids unnecessary charges and late payment fees.
- Project reviews provide an opportunity to recognize, reward and document team member performance and capture knowledge that can be passed on to future projects to avoid duplication of effort or repetition of mistakes.

Procedures

- Obtain acceptance of project completion from project sponsor(s)
- Close the project (template available)
 - Deploy the product or service created by the project and transition maintenance and support to operations
 - Close out procurement relationships
 - Survey stakeholders and project team members (template available)
 - Document Lessons Learned (template available)
- Archive project documents (See [Appendix C – Project Document Management](#))

Assessment and Reporting

TAC 216 requires both a method for governing application of project management practices and a method for understanding the impact of project management practices on the ability of the institution or agency to achieve its core mission. This section is focused on the following TAC 216 requirements:

- *216.21: (2) Include a method for governing application of project management practices;*
- *216.21: (5) Include a method to periodically review, assess, monitor, measure and improve the impact of organizational project management practices on the institution of higher education or agency's ability to achieve its strategic objectives and deliver business value;*

Effectiveness of IT Project Management Practices

Institutions and agencies need to review projects to assess and monitor compliance with TAC 216 and to measure the effectiveness of project management practices.

For institutions and agencies using the Companion Guide, CIOs or their representatives will submit an annual report for their institution or agency to the Chair of the A&M System Executive IT Council by the end of January each calendar year. The report will outline the following information:

- TAC 216 Companion Guide processes and templates that are being followed with little issue or challenge
- TAC 216 Companion Guide processes and templates that are difficult for the institution or agency to use
- Suggested revisions to the TAC 216 Companion Guide

Although the Companion Guide is scheduled to be reviewed biennially, the Chair of the A&M System Executive IT Council could ask for a mid-cycle review based on member feedback gathered each January. Please see [TAC 216 Companion Guide Governance](#) for more information.

Note: If the A&M System Executive IT Council is not operating by November of 2016, information on where to send Companion Guide feedback will be provided at that time.

At the same time each year, each member should gather information about the effectiveness of their IT project management practices. The items listed below should be reviewed by the appropriate member governance body:

- Compiled results of stakeholder satisfaction survey (for Level 3 projects only)
- Compiled results of Project Lessons Learned (for Level 2 and Level 3 projects)

Member IT Project Governance

The assessment and reporting model described below defines an approach that can be taken to governing application of project management practices through each member’s IT governance framework.

Institutions and agencies will utilize their own IT governance framework to review Level 1, Level 2 and Level 3 projects. Level 4 projects can either be reviewed through the member’s IT governance framework or, in the case of a multi-member Level 4 project, a governance framework that represents the members involved in the project.

See Table 1 below for suggested governance bodies and reporting activities for each type of project. Reviews should focus on high-level status reporting and can be used to provide information and seek input on project actions based on the goals of the member’s IT governance framework.

Table 1 – Example Member Project Governance Approach

	Level 1	Level 2	Level 3
Governance Body	IT Department Governing Body (e.g., IT Directors / Senior Staff)	IT Department Governing Body (e.g., IT Directors / Senior Staff)	Member IT Governing Body (any group that represents all IT voices (e.g., academic, administrative, research, student, customer) at the member)
Updates Delivered by:	Project Lead/Sponsor	Project Lead/Sponsor	Project Lead/Sponsor
Business Case			X
Project Charter	X	X	X
Project Status (high level only)	Milestones, including Go Live Date R/Y/G Health Check <ul style="list-style-type: none"> • Red: Project negatively impacted, need help to address • Yellow: Project threatened, have plan to address • Green: On Track 	Milestones, including Go Live Date R/Y/G Health Check <ul style="list-style-type: none"> • Red: Project negatively impacted, need help to address • Yellow: Project threatened, have plan to address • Green: On Track 	Milestones, including Go Live Date R/Y/G Health Check <ul style="list-style-type: none"> • Red: Project negatively impacted, need help to address • Yellow: Project threatened, have plan to address • Green: On Track
Risk Log, with mitigation plan	X	X	X



	Level 1	Level 2	Level 3
Lessons Learned <ul style="list-style-type: none">• PM Practices• Product/Service Development Process	X	X	X

TAC 216 Companion Guide

Governance

TAC 216 requires a review and update of project management practices every two years to help ensure continuous process improvement.

This section is focused on the following TAC 216 requirement:

- *216.21: (7) Be reviewed and updated at least every two years to facilitate continuous process improvement.*

Biennial Review Process

The biennial review and continuous improvement of the TAC 216 Companion Guide will be commissioned by the A&M System Executive IT Council every other year.

January

The A&M System Executive IT Council will activate a TAC 216 Companion Guide Subcommittee to review member assessments and determine revisions to the TAC 216 Companion Guide. Suggested revisions will be reported to the Chair of the A&M System Executive IT Council, as described in the Effectiveness of Project Management Practices section above.

June

The A&M System Executive IT Council will approve or reject revisions presented by the TAC 216 Companion Guide Subcommittee.

August

The TAC 216 Companion Guide Subcommittee will release an updated Texas A&M System TAC 216 Companion Guide, which will be effective January of the following year.

December

All institutions and agencies should incorporate revisions to the TAC 216 Companion Guide and best practices for the next calendar year into their project management practices.

Mid-Cycle Review Process

Although the Companion Guide is scheduled to be reviewed biennially, the Chair of the A&M System Executive IT Council could ask for a mid-cycle review based on annual member feedback. Please see Effectiveness of Project Management Practices for more information.

Subcommittee Logistics

A TAC 216 Companion Guide Subcommittee will be convened biennially, from January to August, to fulfill the TAC 216 requirement for continuous improvement of project management practices. The members of this subcommittee will select the subcommittee chair. The chair must be a member of the A&M System Executive IT Council, preferably a member CIO. Membership for this committee is described below:

Standing Members

- A&M System Compliance Officer
- A&M System Executive Director, Program & Project Management

Rotating Members

Representatives will serve 4-year terms, with two representatives rotating off every two years. CIOs or their representative should be chosen from those members using the Companion Guide.

- Two (2) CIOs from the A&M System Executive IT Council
- Two (2) representatives chosen by A&M System Executive IT Council members
 - Two council members will be asked to serve or they can appoint a project management practitioner from their institution or agency.
 - In the first review, one (1) representative will be selected from the original TAC 216 Companion Guide Working Group to serve a two-year term.
- Two (2) representatives from the A&M System

Note: If the A&M System Executive IT Council is not operating by November of 2016, information on how the Companion Guide will be reviewed and updated will be provided at that time.

Appendices

Appendix A – Templates

Templates are available for download from the [TAC 216 Companion Guide Kit](#). The templates have been aligned with the Companion Guide project management processes and provide a resource for members who do not have templates in place.

Institutions and agencies may use any templates already in place, but please use the Companion Guide as a “best practices check” for the types of templates and the associated data elements.

Table A1, below, provides a list of the templates available and a description of their purposes. For those members with less mature project management processes, suggested templates to start with in 2016 are marked in gray and with an asterisk.

Table A1 – Project Management Templates

Template	Process Group	Description
Project Request	Initiating	Tool for stakeholders to request projects
Project Complexity and Risk Assessment*	Initiating	Generates project classification score
Business Case	Initiating	Provides an overview of the need for a project that can be submitted for funding approval
Project Charter*	Initiating	Defines a clear vision for the project. Charter sign-off can be used as approval for assigning project resources
Level 1 Project*	Initiation, Planning, Executing, Monitoring and Controlling, Closing	For Level 1 projects, this template brings elements of the Project Charter, the Risk Register and Lessons Learned into one concise document.
Project Plan	Planning	Describes the detailed approach to completing the project. Plan sign-off can be used as approval to begin project work
Executing, Monitoring and Controlling Document	Executing, Monitoring and Controlling	Provides status information on the project and tracking checklists and is used as a resource in project team meetings. Store multiple versions to keep a history of project status over time.
Project Log	Executing, Monitoring and Controlling	Tracks issues, changes, risks and lessons learned

Template	Process Group	Description
Project Change Request	Executing, Monitoring and Controlling	Defines requested project changes, the impact they will have on the project and a request for approval to make the change.
Risk Register*	Executing, Monitoring and Controlling	Tool to record project risks, their impact and a response to managing the risk
Post-Project Survey	Closing	Tool for requesting stakeholder feedback on projects
Lessons Learned*	Closing	Compiles lessons learned from the whole project
Project Closure	Closing	Closure sign-off describes the final outcomes of the project and can be used as approval to end project work and release resources.



Appendix B – TAC 216, Major Information Systems Projects and Internal Audit

System Internal Audit is required by System Policy 10.01 to “Provide advisory and consulting services to assist management in meeting their objectives, including participating in the development or modification of major information systems”. To fulfill this requirement System Internal Audit has historically issued an annual memo, listed below, requesting that they be notified if a member is developing or modifying a major information system.



System Internal Audit

THE TEXAS A&M UNIVERSITY SYSTEM

MEMORANDUM

TO: Chief Executive Officers
The Texas A&M University System

FROM: Charlie Hrcir, CPA 
Chief Auditor

DATE: September 22, 2015

RE: Major Information Systems

If you are developing or modifying a major information system at your institution, please notify us so that we can determine what level of involvement our department will take, if any, in the process.

The definition for a “major information system” is any information system, whether developed in-house or bought externally, that meets at least one of the following criteria:

- Has development costs of \$1 million or more;
- Involves more than one System member;
- Manages confidential data such as student grades, client credit card information, or personnel records;
- Significantly alters work methods of core administrative and business processes and supports financial, personnel, or strategic decision-making.

If you have questions regarding the above, please contact David Maggard dmaggard@tamus.edu or 979-458-7122).

Appendix C – Project Document Management

Project documentation should be maintained throughout the life of a project and for a certain time period following project completion.

When a project is initiated, create a project repository. A project repository provides a common storage place for all project materials. It is common for project team members to have access to the repository during the life of the project. When the project is closed out, the project assets must be packaged and archived for record retention purposes. Digital project repositories are subject to all policies, rules and standard administrative procedures pertaining to the security of electronic information resources.

Records management in the A&M System is governed by [System Regulation 61.99.01](#). Records retention requirements apply only to record copies. A record copy is an original or official record. Record copies are distinct from “working” or “convenience” copies, which are duplicates used for reference purposes. It is possible for the same document to be present in two or more units of an institution or agency and be the record copy in each unit if it serves a different function in each of those units.

Working or convenience copies of project documents may be destroyed at the discretion of the project manager, project sponsor and project team members. Record copies of project documents cannot be destroyed until the retention period has expired and the System institution or agency Records Officer has approved the destruction. A record copy cannot be destroyed if any litigation, claim, negotiation, audit, open records request, administrative review, or other action involving the record is initiated before the expiration of the retention period. The record must be retained until the completion of the action and the resolution of all issues that arise from it, or until the expiration of the retention period, whichever is later.

The project manager is responsible for complying with the records retention schedule published by the A&M System Records Management Officer at <http://www.tamus.edu/legal/records-management/>.

The following records retention requirements apply to information technology projects and the rules, policies and procedures that govern them:

Table C1 – Records Retention

Record Type	Retention Period	Example
Correspondence –Administrative – Incoming/outgoing and internal correspondence, in any format, pertaining to the formulation, planning, implementation, interpretation, modification, or redefinition of the programs, services, or projects of an institution or agency and the administration of policies, procedures and programs that govern them.	4 years	Examples include inter- and intra-office correspondence related to initiating, planning, executing, monitoring and controlling, and closing a project including change requests, decisions of a change review board and decisions of any other project governance body. Emails may be considered official records if they contain project-related decisions that are not documented elsewhere.
Correspondence – General – Non-administrative incoming/outgoing and internal correspondence, in any media, pertaining to or arising from the routine operations of the policies, programs, services, or projects of an institution or agency.	2 years	Inter- and intra-office correspondence related to project work including agendas, minutes, end user announcements and status updates.
Executive Orders – Any document that initiates, rescinds, or amends a regulation, policy, or procedure that governs the programs, services, or projects of an institution or agency.	Until superseded + 3 years	Formal communications regarding project management and project governance policies and practices.
Plans and Planning Records – Plans and records relating to the process of planning new or redefined programs, services or projects of an institution or agency that are not included in or directly related to other records series in this schedule.	After determination whether to implement process + 3 years	Project planning documents.
Reports and Studies (Non-fiscal) – Annual, sub-annual, or special reports or studies on non-fiscal aspects of an institution’s or agency’s programs, services, or projects compiled by institution or agency personnel, by advisory committees, or by consultants under contract with an institution or agency that are not noted elsewhere in this schedule. Includes reports distributed either internally or to other entities.	3 years	Reports on the impact of project management practices on the ability of to achieve core mission, as required by TAC 216.

Record Type	Retention Period	Example
Agency Rules, Policies, and Procedures – Final – Manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an institution or agency that sets out the rules, policies, and procedures that govern an institution’s or agency’s programs, services, or projects.	After completion or termination of programs, rules, policies or procedures + 3 years	These documents published rules, policies and procedures related to project management and project governance, and should be retained in the appropriate repository.
Agency Rules, Policies, and Procedures – Working Files – Manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an institution or agency that sets out the rules, policies, and procedures that govern an institution’s or agency’s programs, services, or projects.	After completion or termination of programs, rules, policies or procedures + 3 years	These documents draft copies of rules, policies and procedures related to project management and project governance, and should be retained in the appropriate repository.
Research Files (Funded Projects) – Proposals, Agreements, and Related Records.	After completion of the project or longer as required by the contract or grant, or applicable federal or state law + 5 years	Grant applications, grant agreements and subsequent project records

Appendix D – Process Checklists

Table D1 – Project Initiation Procedures and Documentation

Procedures and Documentation	Level 1	Level 2	Level 3	Level 4
Develop Business Case			X	X
Project Overview				
Business Need			X	X
Business Goals/Objectives			X	X
Recommendation			X	X
Justification and Impact			X	X
Customer			X	X
Project Manager Involvement			X	X
Projected Project Budget and Funding Source			X	X
Assumptions			X	X
Limitations/Constraints			X	X
Risks			X	X
Project Evaluation				
Strategic Alignment			X	X
Business Value			X	X
Institution/Agency Priority			X	X
Develop Project Charter				
Project Information				
Project Name	X	X	X	X
Performing Organization	X	X	X	X
Project Overview				
What are you trying to achieve?	X	X	X	X
Why is this important? How does it align to business goals and objectives?	X	X	X	X
How will success be measured? Financial/Quantitative – are you retiring a piece of hardware, software, recovering a license cost? Business Impact – are you expanding a workflow, bringing new functionality to end users, including more end users in a workflow?	X	X	X	X
Scope				
What are you going to do?	X	X	X	X
What is explicitly not going to be included?	X	X	X	X
Stakeholders				
Project Sponsor(s)	X	X	X	X
Project Manager	X	X	X	X
Other Key Stakeholders	X	X	X	X
Schedule, Budget and Resources				
Develop a rough schedule.	X	X	X	X
Develop a rough budget.	X	X	X	X
Define funding and oversight authority.			X	X
Identify key resources, roles and responsibilities.	X	X	X	X
Risk and Quality Considerations				
What can go wrong?	X	X	X	X
Does the project involve confidential information?	X	X	X	X
Is the project subject to Internal Audit participation?			X	X

Assumptions and Constraints				
Describe any assumptions about the events or circumstances you are expecting to occur during the project.	X	X	X	X
Describe limitations or restrictions that may impact execution of the project.	X	X	X	X
Prioritize the triple constraints (i.e., scope, time, cost).	X	X	X	X
Who will support/operate the result when the project ends?		X	X	X
Approve Project Charter for Planning	X	X	X	X
Confirm and Identify Stakeholders	X	X	X	X
Create Document Repository (See Appendix C – Project Document Management) and Collaboration Environment	X	X	X	X

Table D2 – Project Planning Procedures and Documentation

Procedures and Documentation	Level 1	Level 2	Level 3	Level 4
Prepare a baseline Project Plan				
Address the following topics in the appropriate detail:				
Scope				
Develop a statement of scope.	X	X	X	X
Develop a list of requirements.	X	X	X	X
Develop a list of deliverables.	X	X	X	X
Develop a work breakdown structure.			X	X
Schedule				
Update the schedule.	X	X	X	X
Provide the level of uncertainty for estimates.		X	X	X
Document work assignments.	X	X	X	X
Budget and Oversight				
Update the budget.	X	X	X	X
Provide the level of uncertainty for estimates.		X	X	X
Who will approve the budget?			X	X
Develop the procurement plan.	X	X	X	X
Resources, Roles and Responsibilities				
Develop a RACI (Responsible, Accountable, Consulted and Informed) chart for project milestones.	X	X	X	X
Risks				
Identify and analyze risks.	X	X	X	X
Plan for risk prevention and response.	X	X	X	X
Formalize the risk register.			X	X
Quality				
Identify applicable quality standards.	X	X	X	X
Define quality assurance and control processes.			X	X
Communication				
Develop project communication plan. Identify who needs to know what, when they need to know it and how information will be disseminated.	X	X	X	X
Stakeholder Register				
Analyze current and desired level of engagement for key stakeholders.			X	X
Analyze impacts to stakeholders.			X	X
Assumptions and Constraints				
Update assumptions and constraints.	X	X	X	X

Change Control				
Define how changes to scope, schedule and budget will be requested.	X	X	X	X
Identify who will receive requests and make decisions.	X	X	X	X
Plan frequency of change control board or project steering committee meetings.			X	X
Deployment, Stabilization and Transition to Operations				
Define the project deployment approach and processes.	X	X	X	X
Plan how the result will be transitioned to operational status.		X	X	X
Describe project support requirements. Who will be responsible for meeting these requirements?	X	X	X	X
Develop Executing, Monitoring & Controlling Templates				
<ul style="list-style-type: none"> • Change Log • Status Report • Lessons Learned • Issues Log 	X	X	X	X
Approve Plan for Executing	X	X	X	X

Table D3 – Project Executing, Monitoring and Controlling Procedures and Documentation

Procedures and Documentation	Level 1	Level 2	Level 3	Level 4
Execute, Monitor and Control the Project				
Build and train the project team.	X	X	X	X
Ensure key stakeholders are familiar with the Project Plan: <ul style="list-style-type: none"> • Project goals and objectives • Project budget and schedule • Project team roles and responsibilities, and collaboration methods/tools • Critical success factors and deliverables acceptance criteria • Risk and issue management processes • Project communication strategy • Change control processes 	X	X	X	X
Perform project work including quality assurance and procurement activities.	X	X	X	X
Track progress of actual performance against projected performance and analyze reasons for any variations.	X	X	X	X
Manage project communications and stakeholder engagement.	X	X	X	X
Capture and communicate requested and approved changes.	X	X	X	X
Maintain the Project Log: <ul style="list-style-type: none"> • Review and update the Issues Log • Review and update the Risk Register • Review and update Action Items • Update the Change Log 	X	X	X	X
Make necessary updates to the Project Plan.	X	X	X	X
For complex deployments, develop and execute a deployment plan that also addresses communication.			X	X
Obtain sign-off on project deliverables.	X	X	X	X



Table D4 – Project Closing Procedures and Documentation

Procedures and Documentation	Level 1	Level 2	Level 3	Level 4
Obtain final acceptance of project completion	X	X	X	X
Close out the project				
Deployment and Transition to Operations				
Notify users.	X	X	X	X
Develop end-user and operational documentation.	X	X	X	X
Transfer knowledge to operational staff and service desk.	X	X	X	X
Update information resources management system/configuration management database.			X	X
Update service catalog/IT services list and business processes.	X	X	X	X
Establish product/service governance, if applicable.			X	X
Release new products/services.	X	X	X	X
Stabilization				
Identify and address any open issues on the project.	X	X	X	X
Finalize project backlog.		X	X	X
Close Out Procurement Relationship				
Finalize any open claims.	X	X	X	X
Update records to reflect final results.	X	X	X	X
Evaluate and document vendor performance.	X	X	X	X
Conduct Lessons Learned for Continuous Improvement				
Complete Compliance Validation Checklist.	X	X	X	X
Project management processes		X	X	X
Change management processes		X	X	X
Product/service development processes		X	X	X
Archive project documents (See Appendix C – Project Document Management)	X	X	X	X

Appendix E – References

Department of Information Resources (2013). Texas Project Delivery Framework;
<http://dir.texas.gov/View-Resources/Pages/Content.aspx?id=16>.

Department of Information Resources (2015). PM Lite 2.0;
<http://publishingext.dir.texas.gov/portal/internal/resources/DocumentLibrary>.

Project Management Institute (2013). *A Guide to the Project Management Body of Knowledge (PMBOK guide)*. Newtown Square, PA: Project Management Institute. <http://www.pmi.org>

Texas Administrative Code, Chapter 216, Subchapter C: Project Management Practices for Institutions of Higher Education.
[https://texreg.sos.state.tx.us/public/readtac\\$ext.ViewTAC?tac_view=5&ti=1&pt=10&ch=216&sch=C&rl=Y](https://texreg.sos.state.tx.us/public/readtac$ext.ViewTAC?tac_view=5&ti=1&pt=10&ch=216&sch=C&rl=Y)

Texas Tech University System (2009). IT Project Management Practices Guide;
www.depts.ttu.edu/infotech/pmguide.pdf.

Document Logistics

Change History

Identify changes to the document. Insert the most recent revision at the top of the list.

Ver	Date	Who	What
2016	02/01/2016	Leslie Lenser	Companion Guide for 2016 use.
1.0	7/31/2015	Alison Winslow	Companion Guide for Early Adopter Test Drive.
