



THE TEXAS A&M  
UNIVERSITY SYSTEM

# TAC 216 Companion Guide

## IT Project Management Best Practices

**The Texas A&M University System**

**Version 2022 | Last Revised 09/01/2021**



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# 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 help satisfy 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, 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, 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](#) web page 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 use 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 in project management processes and templates.
  - 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 Assessment (two templates are available)
  - Compare the member's current approach to identifying and scoring each project's complexity and risk against the Companion Guide's Complexity Assessment.
  - Add complexity and risk categories found on the Companion Guide Complexity Assessment that are missing from the member's risk classification and scoring approach.
  - 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 Companion Guide templates that are missing on the member's templates.
  - Member templates may contain more data elements than are indicated on Companion Guide templates, but should contain the Companion Guide template data elements at a minimum.

- Members with less mature IT project management processes:

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

- If you use the Complexity Assessment Standard version, customize the “Total Cost including Payroll” section to match the member’s budget signing thresholds. Any project costing more than \$1MM is classified as a Level 4 project.
- If desired, brand Companion Guide templates with institution or agency branding.

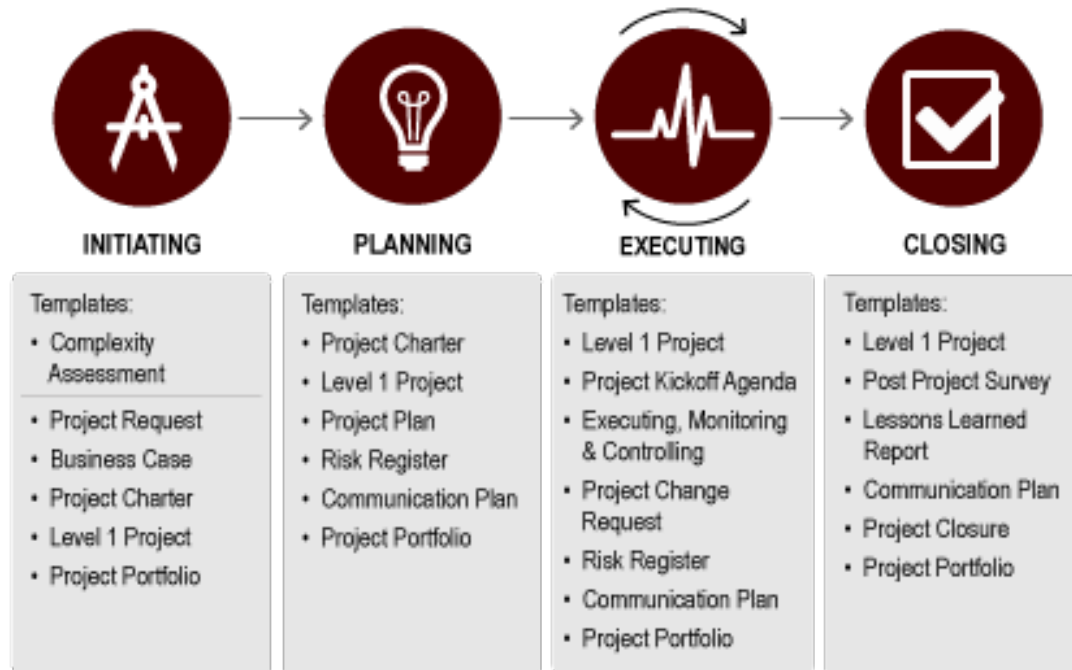
## **Getting Started with the Companion Guide**

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.

### Project Management Process Groups and Templates



### Initiating Processes

Initiating processes define the project and authorize project work.

### Planning Processes

Planning processes refine the details of the project and develop a 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.

DIR and TAC 216 imply that all information resources technology 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 project Classification Level.

## Best Practices

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.

Members with more mature IT project management processes: Check that you are using all items listed as 2016, 2018, 2020 and 2022 Best Practice Elements.

Members with less mature IT project management processes: Start with the 2016 Best Practices and add the 2018, 2020 and 2022 Best Practices as your project managers build skills.





### **Best Practices beginning Calendar Year 2022**

- Integrate organizational change management activities and tasks into your project. (See [Appendix E – Integrating Organizational Change Management and Project Management](#))

### **Best Practices beginning Calendar Year 2020**

- Use a Communication Plan to plan for and execute stakeholder communications.
- Use a Project Change Request to manage changes to the project's scope, schedule, deliverables, vendor contracts, etc.

### **Best Practices beginning Calendar Year 2018**

- Use a Project Request to describe the project and request approval to develop a Business Case or a Project Charter.
- Develop a Business Case to document a project's benefits and let decision makers review and decide if the project should be approved to go forward or rejected.
- Use the Project Plan to document key information about the project, including the scope, schedule, budget, stakeholders, resources and communication plans, and the project's approach to managing risk, quality and changes. The Project Planning template also documents how the result project will transition to IT operations when it finishes.
- Use the Project Portfolio Tracker to let IT management track how projects are meeting organizational strategic goals.

### **Best Practices beginning Calendar Year 2016**

- Use the Complexity Assessment to determine if the information resources 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.



# 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, 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

Information resources work normally falls into one of three categories: small pieces of work called **tasks**, repetitive **operational** work and temporary and unique endeavors called **projects**. As your institution or agency is building your project management skills, an easy place to begin thinking about information resources work is to consider everything as a project and use the **Project Complexity Assessment** to classify work as tasks, operations or projects.

TAC 216 applies only to work categorized as a **project**. 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 40 person-hours
- Involve only a few people
- Accomplish a single, well-defined goal

### 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 work 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 Assessment to determine if the effort is large enough to be 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 **Complexity Assessment** describes key complexity factors and scores projects based on these factors. The resulting score is used to determine the project Classification Level.

Visit the [\*\*TAC 216 Companion Guide Kit\*\*](#) web page for the Standard and Advanced Complexity Assessment templates.

## Customizing the Complexity Assessment

Two versions of the Complexity Assessment are available. The Standard version requires customization.

### Standard Version

Members should customize the **Complexity Assessment Standard** template 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.

### Advanced Version

No customization is needed for this template.

## Using the Complexity 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 project 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 A&M 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, the project manager, in consultation with IT leadership at their institution or agency, may decide to manage the project at a different project Classification Level (Level 1, Level 2, Level 3 or Level 4) than the level indicated by the Complexity Assessment. If a member decides to manage a project at a different project Classification Level than the level indicated by its complexity score, document the decision on the Project Charter.

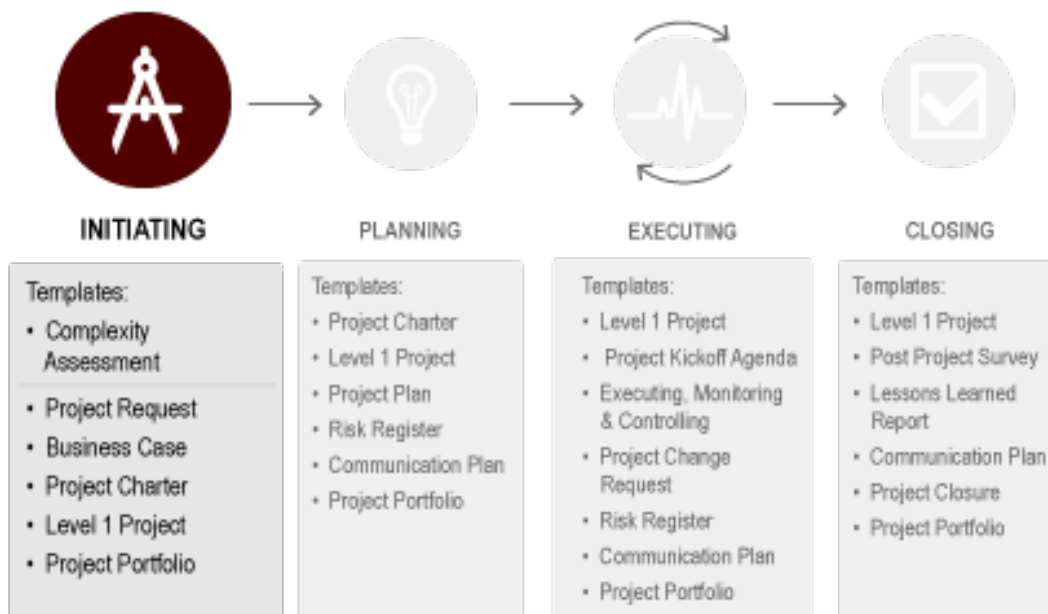
## Level 4 Projects

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

# Companion Guide Project Management Processes, Procedures and Documentation

## Project Initiation

### Project Management Process Groups and Templates



## 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) and/or a Business Case (template available)
- Classify the project (two Complexity Assessment templates available)
- Develop a Project Charter (template available)
- Approve the Project Charter to authorize the project to begin work
- Add the project to the Project Portfolio Tracker (template available)
- Confirm and identify stakeholders
- Create a document repository (See [\*\*Appendix C – Project Document Management\*\*](#))

A Project Initiation Documentation Checklist is available for reference in [\*\*Appendix D – Project Level Documentation.\*\*](#)

## Project Planning

### Project Management Process Groups and Templates



## 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:

- Potential problems are identified early since many people give the maximum consideration to ideas when they write them down. 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
  - Develop the Work Breakdown Structure
  - Develop the Project Schedule
  - Develop the Risk Register and begin identifying issues, risks and mitigation actions (template available)
  - Develop the Project Log (template available)
  - Develop the Project Change Request form (template available)
  - Develop the Project Communication Plan and begin identifying stakeholder communications (template available)
- Approve the Project Plan to move into Executing (template available)
- Update the Project Portfolio Tracker (template available)

A Project Planning Documentation Checklist is available for reference in **Appendix D – Project Level Documentation.**

## Project Execution, Monitoring and Controlling

### Project Management Process Groups and Templates



### Overview

During Executing, 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.
- Issues are identified early and can be addressed more effectively when project risks are actively monitored.



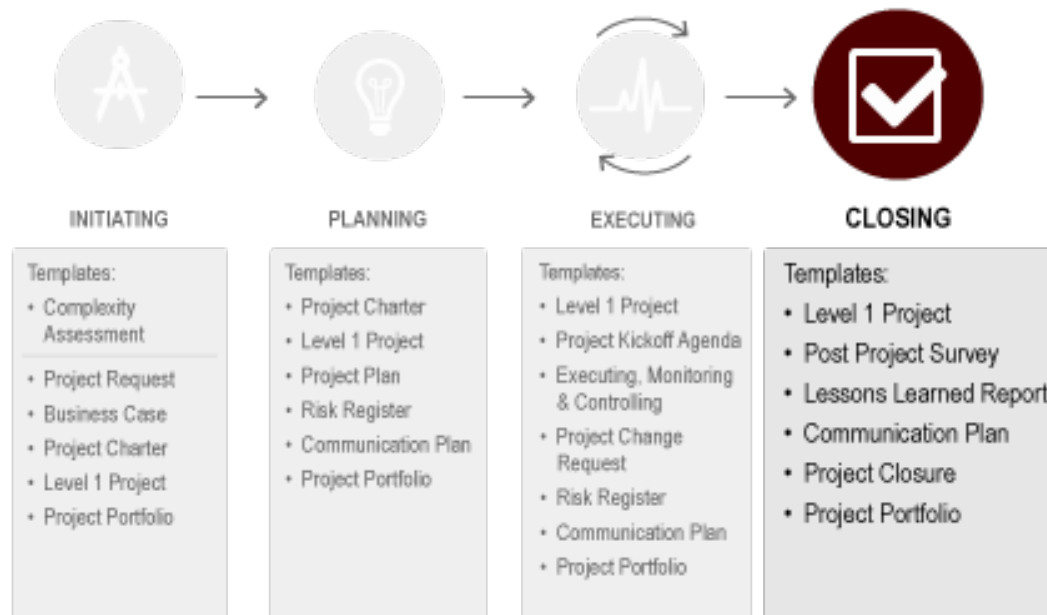
## Procedures

- Execute, monitor and control the project (templates available)
- Track issues, risks and mitigation actions in the Risk Register (template available)
- Track issues, changes, risks and lessons learned in the Project Log (template available)
- Update the Communication Plan and develop and execute stakeholder communications (template available)
- Request and manage project changes (template available)
- Update the Project Portfolio Tracker (template available)

A Project Executing, Monitoring and Controlling Documentation Checklist is available for reference in **Appendix D – Project Level Documentation.**

## Project Closing

### Project Management Process Groups and Templates



## 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 closure 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**)
- Update the Project Portfolio Tracker (template available)

A Project Closing Documentation Checklist is available for reference in **Appendix D – Project Level Documentation**.

# 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 a biennial report for their institution or agency to the Chair of the A&M System Executive IT Council's TAC 216 Subcommittee or the Chair's delegate by the end of January each year that the Companion Guide is scheduled to be reviewed. 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

In addition, members of the Project Management Community of Practice, a system-wide group of project managers and project coordinators, will review the Companion Guide and templates and recommend changes to the Chair of the A&M System Executive IT Council's TAC 216 Subcommittee or the Chair's delegate.

Although the Companion Guide is scheduled to be reviewed biennially, the Chair of the A&M System Executive IT Council's TAC 216 Subcommittee can request a mid-cycle review. Please see **TAC 216 Companion Guide Governance** for more information.

In addition, each member should gather information about the effectiveness of their IT project management practices at least biennially. The items below should be reviewed by the appropriate member governance body:

- Compiled results of stakeholder satisfaction surveys
- Compiled results of lessons learned

## Member IT Project Governance

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

Institutions and agencies will use 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, through 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
<b>Governance Body</b>	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)
<b>Updates Delivered by:</b>	Project Lead / Sponsor	Project Lead / Sponsor	Project Lead / Sponsor
<b>Business Case</b>			X
<b>Project Charter</b>	X	X	X
<b>Project Status (high level only)</b>	Milestones, including Go Live Date  R/Y/G Health Check <ul style="list-style-type: none"> <li>Red: Project negatively impacted, need help to address</li> <li>Yellow: Project threatened, have plan to address</li> <li>Green: On Track</li> </ul>	Milestones, including Go Live Date  R/Y/G Health Check <ul style="list-style-type: none"> <li>Red: Project negatively impacted, need help to address</li> <li>Yellow: Project threatened, have plan to address</li> <li>Green: On Track</li> </ul>	Milestones, including Go Live Date  R/Y/G Health Check <ul style="list-style-type: none"> <li>Red: Project negatively impacted, need help to address</li> <li>Yellow: Project threatened, have plan to address</li> <li>Green: On Track</li> </ul>
<b>Risk Log, with mitigation plan</b>	X	X	X



	Level 1	Level 2	Level 3
<b>Lessons Learned</b> <ul style="list-style-type: none"> <li>• PM Practices</li> <li>• Product/Service Development Process</li> </ul>	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 process of the TAC 216 Companion Guide will be governed by the A&M System Executive IT Council.

### November – March

The Project Management Community of Practice solicits feedback from CIOs and their IT staff and begins reviewing the guide to recommend updates.

### April – May

The A&M System Executive IT Council activates the TAC 216 Companion Guide Subcommittee granting the authority to approve, amend or reject recommended revisions to the Companion Guide. The Subcommittee will review member Companion Guide reports and recommended revisions.

Recommended revisions are reported to the Chair of the A&M System Executive IT Council as described in the [Effectiveness of Project Management Practices](#) section above.

### September

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

All institutions and agencies should begin incorporating the new TAC 216 Companion Guide and best practices into their project management tools and practices.





## **October**

The TAC 216 Companion Guide Subcommittee reports the results of its work to the Texas A&M System Executive IT Council. Approved changes are communicated to the CIO Council and project managers across the A&M System.

## **December**

All institutions and agencies should finish incorporating the new TAC 216 Companion Guide and best practices into their project management tools and 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 may ask for a mid-cycle review based on annual member feedback. Please see the **Effectiveness of Project Management Practices** section for more information.

## Subcommittee Membership

The TAC 216 Companion Guide Subcommittee of the Executive IT Council will convene biennially, from January to October during review years, to fulfill the TAC 216 requirement for continuous improvement of project management practices. Both Standing and Rotating members have voting authority. Membership for this subcommittee is described below:

### Standing Members

- A&M System Executive IT Council Chair, who serves as Chair of the Subcommittee
- A&M System Compliance Officer
- A&M System Executive Director, Program & Project Management
- One (1) member of the Project Management Community of Practice, representative chosen by the Community of Practice each review period

### Rotating Members

Rotating Members will be chosen by the A&M System Executive IT Council and must be members of the A&M System Executive IT Council.

- Two (2) CIOs
- Two (2) non-CIO representatives
  - Non-CIO representatives may delegate to a project management practitioner at their institution or agency.

### Membership Terms

- Rotating Members serve 4-year terms, with one CIO and one non-CIO representatives rolling off every two years.
- Rotating Members may serve two consecutive terms, and may serve again after staying off the Subcommittee for one biennial review cycle.
- If a Standing or Rotating Member cannot fulfill their term of service, their replacement will be determined by the Executive IT Council.

# Appendices

## Appendix A – Templates

Templates are available for download from the [TAC 216 Companion Guide Kit](#) web page. 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 templates already in place, but are encouraged to use the Companion Guide as a “best practices check” for the types of templates that should be used and the associated data elements.

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

**Table A1 – Project Management Templates**

Template or Discipline	Process Group	Description
<b>Project Request and Business Case*</b>	Initiating	Tool for stakeholders to request projects and provide an overview of the need for a project that can be submitted for funding approval.
<b>Complexity Assessment*</b>	Initiating	Generates project classification score.
<b>Project Charter*</b>	Initiating	Defines a clear vision for the project. Charter sign-off can be used as approval for assigning project resources.
<b>Level 1 Project*</b>	Initiating, 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.
<b>Organizational Change Management*</b>	Initiating, Planning, Executing, Monitoring and Controlling, Closing	Apply a structured process for leading the people side of change and increasing adoption and use of project deliverables and outcomes.
<b>Project Portfolio Tracker*</b>	Initiating, Planning, Executing, Monitoring and	Provides a means for tracking all Projects through the Project Management Life Cycle.

Template or Discipline	Process Group	Description
	Controlling, Closing	
<b>Project Plan*</b>	Planning	Describes the detailed approach to completing the project. Plan sign-off can be used as approval to begin project work.
<b>Communication Plan*</b>	Planning, Executing, Monitoring and Controlling, Closing	Helps plan and execute stakeholder communications.
<b>Risk Register*</b>	Planning, Executing, Monitoring and Controlling	Tracks issues, risks and mitigation actions.
<b>Project Kickoff Meeting Agenda</b>	Executing	Helps plan for and execute a project kickoff.
<b>Executing, Monitoring and Controlling Document</b>	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.
<b>Project Change Request*</b>	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.
<b>Post-Project Survey</b>	Closing	Tool for stakeholders to provide project feedback.
<b>Lessons Learned Report</b>	Closing	Compiles lessons learned from the whole project.
<b>Project Closure</b>	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 Resources Projects and Internal Audit

In accordance with **System Policy 10.01**, *Internal Auditing*, System Internal Audit is responsible for providing advisory and consulting services to assist management in meeting its objectives, including participating in the procurement, development, implementation or modification of major information systems. In addition, management is responsible for notifying the chief auditor when its institution begins the procurement, development, implementation or modification of a major information resources project.

System Internal Audit has historically issued an annual memo, as listed below, requesting that they be notified if a member is developing a major information resources project.



System Internal Audit

THE TEXAS A&M UNIVERSITY SYSTEM

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

FROM: Charlie Hrcir, CPA  
Chief Auditor

DATE: September 8, 2020

RE: Major Information Resources Project

This is the annual reminder of your responsibility to notify our department when your institution initially begins a major information resources project. Based on the information you provide, we will determine what level of involvement our department will take, if any, in the process. This will allow us to fulfill our responsibilities under System Policy 10.01, Internal Auditing.

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

- Has development, implementation or procurement costs of \$1 million or more
- Requires one year or longer to reach operations status
- Involves more than one system member
- 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](mailto: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 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.

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	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
reports distributed either internally or to other entities.		
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 Group Documentation

The project manager, in consultation with the sponsor(s), the PMO and other appropriate stakeholders, is responsible for determining which project management documents should be used on a project. While a TAC 216 Companion Guide template is not available for each document listed below, the list provides guidance on which documents should be used on each type of project.

**Table D1 – Process Group Documentation**

Symbol	Guidance
R	Required
E	Encouraged
Blank Space	Optional

Process Group	Document	Project Level			
		Level 1	Level 2	Level 3	Level 4
<b>1-Initiating</b>	Project Proposal	R	R	R	R
	Business Case	E	R	R	R
	Project Charter	R	R	R	R
	Project Scope	E	E	E	R
	Kickoff Presentation		E	R	R
<b>2-Planning</b>	Work Breakdown Structure		E	R	R
	Roles and Responsibilities (RACI)		E	R	R
	Project Schedule	R	R	R	R
	Stakeholder Register			R	R
	Requirements Document			E	R
	Requirements Traceability Matrix				E
	Design Document / Feature List		E	E	E
	Risk Register	R	R	R	R
	Risk Management Plan				E
	Communication Plan	E	E	R	R
	Quality Assurance Plan				E
	Test Plan			E	E
	Training Plan			E	E

Process Group	Document	Project Level			
		Level 1	Level 2	Level 3	Level 4
<b>3-Executing</b>	Meeting Agenda	E	E	R	R
	Meeting Notes / Minutes	E	R	R	R
	Decision Log			E	R
	Issue Log	E	E	R	R
	Risk Register	R	R	R	R
	Transition Plan			E	E
	Change Request			E	R
	Change Log			E	E
	Communication Plan and Materials	E	E	R	R
	Project Status Report / Update	R	R	R	R
	Executive Status Report			R	R
<b>4-Closing</b>	Project Closure Document			E	R
	Lessons Learned	R	R	R	R

## Appendix E – Integrating Organizational Change Management and Project Management

Organizational change management (OCM) emphasizes the “people side” of the change triggered by the results of a project. When OCM is done well, stakeholders feel engaged in the change process, work collectively towards a common objective and are able to fully adopt the benefits that come with whatever was created by the project. When OCM is not done, or not done well, it leads to failed projects and lingering stakeholder resentment which will impact future projects.

Although each institution and agency has its own culture and values, every project needs to address how a project impacts the stakeholders who have to do something differently as a result of the project. A new role is needed on your project and that is an organizational change manager. This role acts as an advocate for the stakeholder and helps the sponsors and project team not lose sight of the ability of the organization to adopt whatever was created by the project.

This appendix outlines OCM activities, tasks and deliverables that should be considered for your project and organizes them by the Companion Guide project management processes. References to Prosci eToolkit tools and templates are included with the activity they support. A subscription to the eToolkit is provided as part of the [Prosci 3-day Change Management Practitioner](#) class.

### **Which Project is a Good OCM Project?**

If faculty, staff, student workers or retirees have to do something differently because of what your project produces, you have a good OCM project.

### **Get Started with a Smaller, Lower Risk Project**

A good way to start integrating OCM activities and tasks into a project is to start with a lower risk project that has a sponsor who is willing to work differently.

Successful OCM efforts ask the sponsor to take responsibility for OCM activities in addition to project management activities. If the sponsor is not suited to take responsibility for OCM activities, consider adding a change sponsor who will partner with the project sponsor. The activities in this section represent the minimum OCM activities you should execute.



## Initiating

- Draft at least three OCM project success measures/criteria with the project sponsor and project manager.
- Quantify and qualify the size and nature of the change.
  - Draft a list of the stakeholder groups.
    - *Prosci eToolkit: Impact Index: ADKAR Analyzer*
  - Make a high level pass through the change impacts.
    - *Prosci eToolkit: Impact Index: Identifying Impact by Group, Change Characteristics Assessment*
- Work with the project manager to decide how to manage the OCM team and OCM project plan.
- Document OCM risk and either add it to the project risk register or keep it in a separate OCM risk register.
  - *Prosci eToolkit: Sponsor Risk Grid Customizations and all other Risk Assessment and Risk Grid Customization tools*
  - *TAC 216 Risk Register*

## Planning

- Finalize OCM project success measures/criteria with the project sponsor and project manager.
- Build all five OCM plans and include at least one activity in each plan.
  - Communications
    - Build a communications plan.
      - *Prosci eToolkit: Communications Plan Worksheet, Communications Key Messages*
      - *TAC 216 Communications Plan*
  - Sponsor Roadmap
    - Coach your sponsors on how they impact project success and adoption.
  - Coaching
  - Resistance Management
    - Think about where people will struggle and resist the change.
      - *Prosci eToolkit: Resistance Management Plan Template, Resistance Assessment Worksheet*
    - Build a change network and cascading change organization.
      - Decide how the network will support change adoption.
      - Determine their roles and responsibilities, meeting timeline and similar.
  - Training
    - If possible, work with local training resources to help you choose training channels and decide the most effective ways to deliver training in your culture and environment.
    - Develop a strategy to build and reinforce stakeholder skills and deliver training.
    - Decide how stakeholders will get help after go live.
- Continue to quantify and qualify the size and nature of the change.

- Update the scope and nature of the change.
  - Finalize the list of stakeholder groups and finalize the scope of the impact to each stakeholder group.
    - *Prosci eToolkit: Impact Index: ADKAR Analyzer, Identifying Impact by Group and separate Excel listing change impact details*
- Start making presentations across your organization. Start with leadership groups during Planning.
  - Talk about the importance of OCM for project adoption and what leaders will be asked to do to support their faculty, staff, student workers and retirees through the change.
  - Emphasize that those impacted by change want to hear the strategic reasons behind the initiative from their leaders, and they want to hear about how the change specifically affects them from their direct supervisor.

## Executing

- Execute your OCM plans.
  - Keep communicating!
- Start surveying and listening for feedback; adjust the other OCM plans based on what you learn.
  - *Prosci eToolkit: Listening to Employees and Gathering Feedback, Employee Feedback Worksheet, Resistance Assessment Worksheet*
- Fully document the change impacts.
  - Finalize the ADKAR Assessment and list of stakeholder groups.
  - Finalize the change impacts by stakeholder group.
    - *Prosci eToolkit: Change Impacts by Group (on the Impact Assessment)*
  - Build a separate Excel workbook detailing change impacts by category.
- Execute the Training Plan.
  - Define the training requirements from the change impacts.
    - *Prosci eToolkit: Training Requirements Template, separate Excel with Change Impacts by Stakeholder*
  - Build, deliver and assess training materials and training experiences.

## Closing

- Build an OCM lessons learned package for your project sponsors.
- Assess achievement of success measures/criteria.

## Integrate OCM into a Project

The following outline provides a suggested roadmap to integrate OCM activities, tasks and deliverables into a project plan.

### Initiating

During Initiating, introduce formal OCM principles and activities to the project manager, the project team, the sponsor and key stakeholders, and begin to show the impact OCM can have on project success and adoption.

#### Organizational Change Initiating Activities

- Draft at least three OCM project success measures/criteria with the project sponsor and project manager.
- Prepare your sponsors for OCM success.
  - Assess sponsor positions and competencies.
    - *Prosci eToolkit: Prosci Sponsor Competency Assessment, Prosci Primary Sponsor Evaluation, Sponsor Assessment Diagram (draw by hand), Sponsor Heat Map (consider the risks before using), Primary Sponsor Checklists*
  - Develop your Sponsor Roadmap and sponsor coaching plan; include tasks for Sponsors to engage visibly with the project team and stakeholders.
    - *Prosci eToolkit: Sponsor Roadmap template*
  - Work with the project manager to formally educate sponsors on their OCM role.
- Quantify and qualify the size and nature of the change.
  - Draft a list of the stakeholder groups.
    - *Prosci eToolkit: Impact Index: ADKAR Analyzer*
  - Make a high level pass through the change impacts.
    - *Prosci eToolkit: Impact Index: Identifying Impact by Group, Change Characteristics Assessment*
  - Assess project team and organizational change competencies.
    - *Prosci eToolkit: Prosci Risk Assessment, Organizational Attributes Assessment, Team Member Competency Assessment*

#### Organizational Change Project Management Initiating Activities

- Work with the project manager to decide how to manage the OCM team and OCM project plan.
- Take your first change triangle assessment (e.g., Prosci's PCT Assessment) score to understand strengths and weaknesses between leadership/sponsorship, project management and OCM project components.
  - *Prosci eToolkit: Impact Index: PCT Assessment*
- Document OCM risk and either add it to the project risk register or keep it in a separate OCM risk register.
  - *Prosci eToolkit: Sponsor Risk Grid Customizations and all other Risk Assessment and Risk Grid Customization tools*



## Planning

During Planning, start executing your sponsor roadmap, finalize the OCM project success measures and finalize the stakeholder groups and the scope of impact to each group. Build the initial version of each of the five OCM plans. Continue regular conversations with the project manager and sponsor and project team.

### Organizational Change Planning Activities

- Execute the Sponsor Roadmap.
  - Coach your sponsor(s).
  - Update the Sponsor Roadmap and coaching plans as needed.
- Educate and coach the project team on OCM.
  - *Prosci eToolkit: Change Management Overview, ADKAR Model, The Case for Change Management*
- Finalize OCM project success measures/criteria with the project sponsor and project manager.
- Update the scope and nature of the change.
- Finalize the list of stakeholder groups and finalize the scope of the impact to each stakeholder group.
  - *Prosci eToolkit: Impact Index: ADKAR Analyzer, Identifying Impact by Group and separate Excel listing change impact details*
- Draft and finalize something in each of the remaining OCM plans.
  - Communications
    - Build a brand identity that stakeholders can embrace.
    - Develop branded communication artifacts for each communication channel (e.g., web banners, emails, PowerPoints, etc.)
    - *Prosci eToolkit: Communications Plan Worksheet, Communications Key Messages*
    - *TAC 216 Communications Plan*
  - Coaching
    - *Prosci eToolkit: Coaching Plan Template, Individual Coaching Plan Template, Group Coaching Agenda, Coaching Training Template*
  - Resistance Management
    - Think about where people will struggle and resist the change.
      - *Prosci eToolkit: Resistance Management Plan Template, Resistance Assessment Worksheet*
    - Develop a strategy to use managers to fulfill their communicator, advocate, coach, liaison and resistance manager (i.e., Prosci's CLARC) roles.
      - *Prosci eToolkit: Manager Competency Assessment*
    - Develop a strategy for stakeholder engagement.
    - Decide how to structure and use a change network.
      - Develop an initial strategy for what the network will accomplish, their roles and responsibilities, meeting timeline and similar.
  - Training

- If possible, work with local training resources to help you choose training channels and decide the most effective ways to deliver training in your culture and environment.
  - Develop a strategy to build and reinforce stakeholder skills and deliver training.
  - Decide how stakeholders will get help after go live.
- Begin executing the Communications Plan.
  - Start drafting your detailed communications plan; start making presentations to leadership groups.
  - Start working on project branding and communication templates

#### Organizational Change Project Management Planning Activities

- Develop your OCM budget.
- Select and stand up the OCM project team and consultants (if needed).
- Determine the OCM timeline and key OCM milestones.
  - *Prosci eToolkit: Change Definition Checklist*
- Review the project plan for meetings where requirements are discussed with stakeholders and/or the project team and consider adding an OCM resource in the meetings to listen for change impacts.
- Schedule Change Network meetings and set up distribution lists, Listservs, collaboration sites, etc.
- Take your second change triangle assessment (e.g., Prosci's PCT Assessment) score.
  - *Prosci eToolkit: Impact Index: PCT Assessment*



## Executing

LISTEN! LISTEN! LISTEN! to the sponsors, project leadership and stakeholders. Continue executing and changing the OCM plans based on how the stakeholders are adopting the change. Finalize the change impacts and training plan, then develop and deliver training.

### Organizational Change Executing Activities

- Execute the Sponsor Roadmap.
- Execute the Communications Plan.
- Execute the Coaching Plan.
- Execute the Resistance Management Plan.
  - Meet regularly with your Change Network.
  - Start surveying and listening for feedback; adjust the other OCM plans based on what you learn.
    - *Prosci eToolkit: Listening to Employees and Gathering Feedback, Employee Feedback Worksheet, Resistance Assessment Worksheet*
  - Execute the Manager CLERC tasks you identified in Planning.
  - Develop Corrective Action Plans.
- Fully document the change impacts.
  - Finalize the ADKAR Assessment and list of stakeholder groups.
  - Finalize the change impacts by stakeholder group.
    - *Prosci eToolkit: Change Impacts by Group (on the Impact Assessment)*
  - Build a separate Excel of change impacts by category.
- Execute the Training Plan.
  - Define the training requirements from the change impacts.
    - *Prosci eToolkit: Training Requirements Template, separate Excel with Change Impacts by Stakeholder*
  - Build, deliver and assess training materials and training experiences.

### Organizational Change Project Management Executing Activities

- Update your budget.
- Update OCM risk.
- Take your third and fourth change triangle assessment (e.g., Prosci's PCT Assessment) scores.
  - *Prosci eToolkit: Impact Index: PCT Assessment*

## Closing

Assess what worked well for the OCM team, the sponsors, the project manager and the stakeholders and talk about what can be done differently next time.

### Organizational Change Closing Activities

- Build an OCM lessons learned package for your project sponsors.
- Assess achievement of success measures/criteria.

### Organizational Change Project Management Closing Activities

- Take your final change triangle assessment (e.g., Prosci's PCT Assessment) score.
  - *Prosci eToolkit: Impact Index: PCT Assessment*
- Conduct lessons learned.

## Appendix F – References

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# Document Logistics

## Change History

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

Ver	Date	Who	What
2022	09/01/2021	Leslie W. Lenser	Companion Guide for 2022 use.
2020	09/01/2019	Leslie W. Lenser	Companion Guide for 2020 use.
2018	09/01/2017	Leslie W. Lenser	Companion Guide for 2018 use.
2016	02/01/2016	Leslie W. Lenser	Companion Guide for 2016 use.
1.0	7/31/2015	Alison Winslow	Companion Guide for Early Adopter Test Drive.