



***Need/Concept Phase
Procedures***

Version 1.1

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Version History

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1. Need/Concept Phase

The Department of Housing and Urban Development’s (HUD) Project Planning and Management (PPM) Life Cycle is the rigorous application of sound investment, project management principles and best practices for organizing and managing information technology (IT) projects. As a component of HUD’s overarching Information Technology Management (ITM) Framework, it provides the context for the HUD IT governance process and describes the interdependencies between project management, investment management, and capital planning components.

The PPM Life Cycle covers all aspects of a project from the initial development of an idea through to its decommissioning. Because there is wide variance in the methods, techniques, and tools needed to support an IT project, the PPM Life Cycle is flexible and can be tailored to address the needs and requirements of each individual project regardless of its size. It aims to capture the minimum level of detail necessary to ensure project success. Each project, working in conjunction with the Office of the Chief Information Officer (OCIO), will capture decisions around PPM Life Cycle tailoring in the *Project Process Agreement* (PPA), which documents the reasons for using, combining, or skipping specific artifacts applicable to the project.

The PPM Life Cycle applies to all HUD IT projects, including but not limited to:

- New projects
- Major enhancements to existing projects
- Projects associated with steady state investments
- High-priority, fast-track IT projects
- New Commercial-Off-the-Shelf (COTS) product acquisitions

There are seven major phases of the PPM Life Cycle; artifacts have been created for each phase. These artifacts are interrelated, either rolling up other artifacts, or building upon a concept to define a lower level of detail.

This document addresses the processes and related procedures for the Need/Concept Phase, the first phase in the PPM Life Cycle.



PPM Life Cycle – Need/Concept Phase

The purpose of this document is to:

- Provide a detailed description of the phase
- Identify the tasks and activities that take place during the phase
- Give guidance and templates on completing the tasks and activities required to exit the phase
- Detail the roles and responsibilities associated with completing each of the tasks and activities for this phase



1.1 Need/Concept Phase Description

The Need/Concept Phase of the Project Planning and Management (PPM) Life Cycle provides the structure for defining, prioritizing, and accepting all types of IT projects. By completing upfront planning and management tasks, each project maintains a direct line of sight to HUD's strategic goals and technical architecture. During the Need/Concept Phase, a business need is identified and reviews are conducted to determine if there is sufficient justification to proceed to the Definition Phase. The Need/Concept Phase may be triggered by any of the following:

- Business process improvement tasks
- Changes in business functions
- Advances in information technology
- External sources such as congressional legislation or Office of Management and Budget (OMB) mandates

After an idea has been generated and approved within a HUD business area, the business area's Investment Review Sub-Committee (IRC) representative is informed and a project sponsor and business project manager (PM) are identified. The project sponsor and the business PM create a *Work Request* for the project and submit it to the Office of the Chief Information Officer (OCIO) customer relationship coordinator (CRC) assigned to that program area. The CRC, in consultation with the program area and other stakeholders within the OCIO, establishes the priority of the request relative to other work requests and then determines if the necessary resources are available. If a project receives the go-ahead to move forward, the CRC assists the business PM and project sponsor in the creation of a preliminary *Project Charter*.

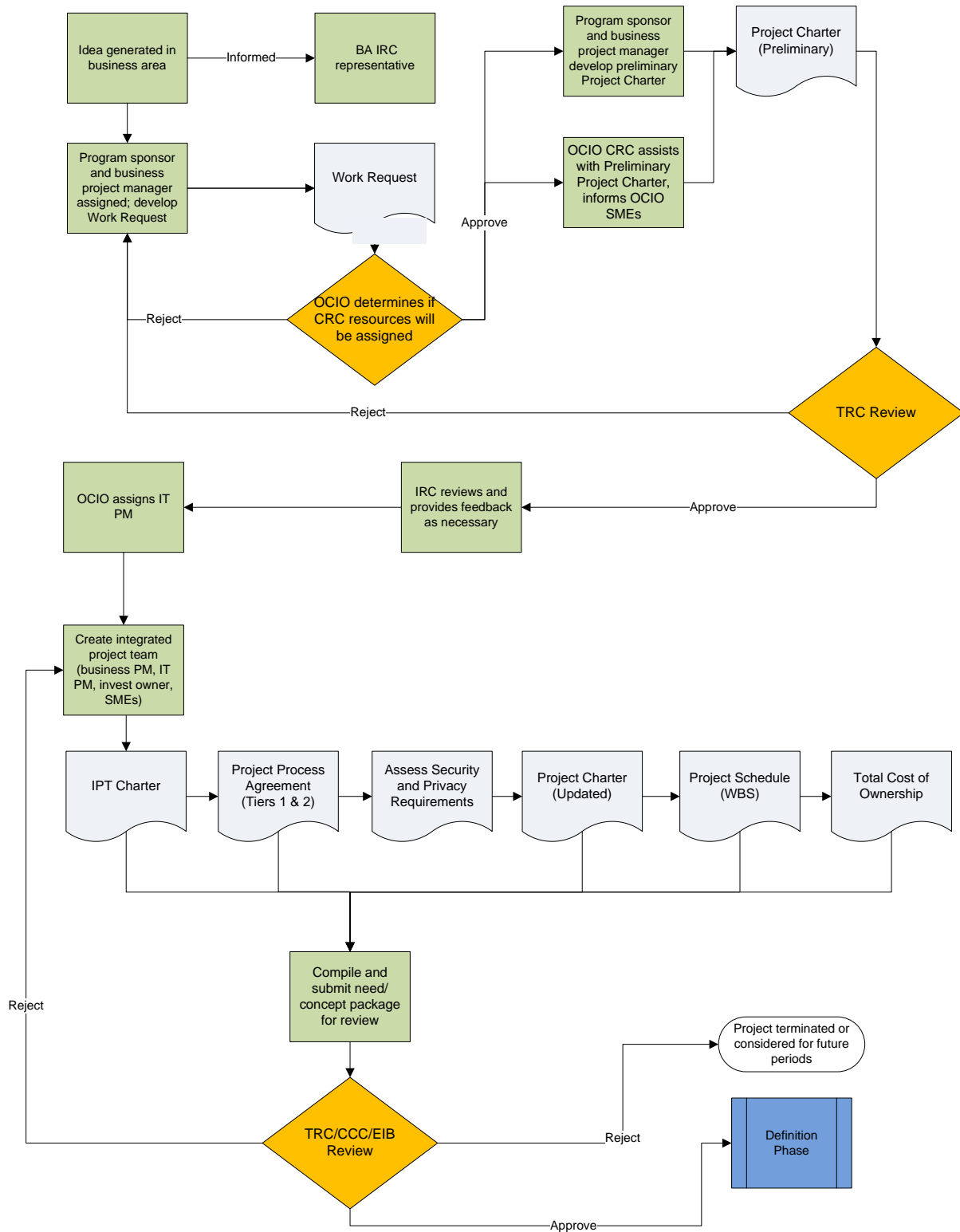
The Technical Review Sub-Committee (TRC) then reviews the preliminary *Project Charter* and either approves or rejects it. Approved project charters are reviewed by the Investment Review Sub-committee (IRC) to ensure that the IRC members have insight into proposed projects, and so they can provide feedback as necessary.

Once the project passes the initial Need/Concept Phase control gate, the OCIO assigns an IT PM to the proposed project. The IT and business PMs work together to create an Integrated Project Team (IPT). The IPT creates an *Integrated Project Team Charter* and the *Project Process Agreement* (Tiers 1 and 2), security and privacy artifacts, updates the *Project Charter*, and creates a detailed project schedule and cost estimate through at least the Definition Phase.

Once the artifacts are created, the IPT compiles them into a Need/Concept Phase package and submits it to the TRC for the final Need/Concept Phase control gate review. Approved project proposals are deemed full-fledged projects and move into the next phase of the PPM Life Cycle – the Definition Phase.



1.1.1 High-Level Task Process Flow





1.1.2 Entry Criteria/Input

The Need/Concept Phase begins with a customer idea(s) or the identification of an IT solution that could potentially result in business process improvements.

1.1.3 Control Gate Review Criteria¹

In order to pass through the Need/Concept Phase control gate, the project team must receive approval of the Need/Concept Phase package from the governance board(s). The Need/Concept Phase package should consist of:

- *Work Request*
- *Project Charter*
- *Integrated Project Team Charter*
- *Project Process Agreement (Tier 1 and Tier 2)*
- Security and privacy artifacts
- *Project Schedule (WBS) through at least the Definition Phase*
- *Total Cost of Ownership Estimate*

1.1.4 Tasks

The following tasks will take place in the Need/Concept Phase:

- **T1-1** Generate Idea for a Project
- **T1-2** Create *Work Request*
- **T1-3** Create Preliminary *Project Charter*
- **T1-4** Assemble IPT
- **T1-5** Create *Project Process Agreement (Tier 1 and 2)*
- **T1-6** Assess Security and Privacy Requirements
- **T1-7** Update *Project Charter*
- **T1-8** Create Detailed *Project Schedule (at Least through the Definition Phase)*
- **T1-9** Create *Total Cost of Ownership Estimate (at Least through the Definition Phase)*
- **T1-10** Compile and Submit Need/Concept Package for Go/No Go Decision

¹ See task descriptions for specific quality criteria and standards



1.2 Need/Concept Phase Task Descriptions

T1-1 Generate Idea for a Project

What Happens?

A business area generates an idea for a new project, and obtains a project sponsor and business PM. In addition, an OCIO CRC is assigned to the project and the business area's IRC representative is informed about the project.

Who Does What?

Through its own internal process and guidelines, a business area creates an idea for a new project and assigns a project sponsor. The business area also informs its representative on the IRC.

The project sponsor appoints a business PM, who will guide the project through the rest of the PPM Life Cycle.

The project sponsor and business PM also contact the OCIO to inform them of the proposed project and request a CRC for assistance with project management tasks.

What Comes in?

- Customer idea(s)

What Controls Need to be Used?

Users of the PPM Life Cycle should utilize the controls listed below when creating the relevant artifacts:

- Program area internal procedures and guidelines
- Federal and Departmental IT policies and standards
- OCIO CRC guidelines and procedures

What is Produced?

- Assignment of a business PM

Detailed Tasks:

The following defines the detailed sub-tasks that must take place within this task:

T1-1.1 Business area acquires a project sponsor to support the idea – After it has developed an idea in accordance with its internal controls and procedures, a business area assigns a project sponsor. Only HUD employees at or above the level of program-director are eligible to be project sponsors.

T1-1.2 Business area informs their IRC representative that the project is being pursued – After assigning a project sponsor, a business area must inform its IRC representative about the new project that is being pursued. This is a purely information-gathering and not decision-making step, with the goal of giving the IRC insight into projects that will be passing through the PPM Life Cycle.



T1-1.3 Project sponsor appoints a business PM – The project sponsor is responsible for appointing a business PM. The business PM plays a key role in guiding a project through the PPM Life Cycle and in preparing necessary artifacts.

T1-1.4 Business area contacts the OCIO to inform of proposed project and requests Customer Relationship Coordinator (CRC) assistance – The project sponsor and business PM are responsible for reaching out to the OCIO to inform them about the new project and to request CRC assistance in navigating the PPM Life Cycle and producing necessary documentation, particularly the preliminary *Project Charter*. The CRC helps identify and contact subject matter experts (SMEs) within OCIO to assist in the planning phases of the PPM Life Cycle.



T1-2 Create Work Request

What Happens?

The project sponsor and business PM create a *Work Request* and submits it to their customer relationship coordinator for review.

Who Does What?

The business PM leads the development of the *Work Request*, which contains information on:

- Work request information, including high level business requirements, assumptions, and success criteria
- Project information
- Formal endorsement from the project sponsor and the business PM

The business PM, project sponsor, and CRC review the preliminary *Work Request* to determine compliance with the *Work Request Template*.

The CRC prioritizes the work request relative to other work requests and then determines if the necessary resources are available to pursue the project.

What Comes in?

- Assigned business PM
- Assigned project sponsor

What Controls Need to be Used?

Users of the PPM Life Cycle should utilize the controls listed below when creating the relevant artifacts:

- *Work Request Template*
- HUD goals

What is Produced?

Work Products	Responsibilities		Must Create	Should Create	Should Update	Must Update	Must Complete
Work Request	Responsible	Business PM	X				
	Accountable	Project sponsor					
	Consulted	CRC, OCIO PMO					
	Informed	TRC					

Detailed Tasks:

The following defines the detailed sub-tasks that must take place within this task:



T1-2.1 Create Work Request – The business PM creates a *Work Request* for the project. The *Work Request* includes the following sections:

- **Requestor Information:** Contact information for the business PM
- **Work Request Details:** Description of high-level business and functional requirements, assumptions, benefits, success criteria, and expected delivery timeframe
- **Project Information:** Information on funding availability, the type of project, project priority, and other relevant information

T1-2.2 Submit the Work Request for review and prioritization – The business PM submits the *Work Request* to the CRC assigned to that program area. The CRC prioritizes the request relative to other requests and determines the availability of resources to initiate the project. The *Work Request* submission may have any one of the following status designations:

- **Submitted:** The *Work Request* has been submitted by the project sponsor and the business PM
- **Under Review:** The *Work Request* is currently under review by a customer relationship coordinator
- **Accepted:** The *Work Request* has been accepted by the OCIO and the project will proceed to the next task (T1-3)
- **Accepted with Conditions:** The *Work Request* has been accepted with conditions by the OCIO. The project will proceed to the next task (T1-3) once the project sponsor and the business PM have addressed those conditions.
- **Postponed:** The *Work Request* has been postponed. Lack of resources, for example, could lead to a 'Postponed' status.



T1-3 Create Preliminary Project Charter

What Happens?

The business PM with the assistance of a CRC creates the preliminary *Project Charter*².

Who Does What?

The business PM leads the development of the preliminary *Project Charter*, which contains:

- A detailed business need description
- A scope statement which must be updated throughout the PPM Life Cycle
- A description of the project's goals and its alignment with HUD's strategic plan and architecture
- Identification of the investment which the project supports
- Documented high-level business, functional, and technical requirements; project assumptions, constraints, risks, and business impacts
- A complete list of project stakeholders
- High-level analysis of alternatives
- Estimated total project cost

The business PM, project sponsor and CRC review the preliminary *Project Charter* to determine compliance with the *Project Charter Template Instructions*.

The TRC conducts a preliminary technical feasibility review of the *Project Charter*. Once the TRC approves the *Project Charter*, the IRC provides feedback on the proposed project.

What Comes in?

- *Work Request*
- Assigned OCIO CRC representative

What Controls Need to be Used?

Users of the PPM Life Cycle should utilize the controls listed below when creating the relevant artifacts:

- *Project Charter* Template, Checklist, and Instructions
- HUD's goals

² The *Project Charter* will be updated later within the Need/Concept Phase as well as throughout the remainder of the project life cycle.



What is Produced?

Work Products	Responsibilities		Must Create	Should Create	Should Update	Must Update	Must Complete
Preliminary Project Charter	Responsible	Business PM	X				
	Accountable	Project sponsor					
	Consulted	CRC					
	Informed	TRC, IRC, CCC, EIB					

Detailed Tasks:

The following defines the detailed sub-tasks that must take place within this task:

T1-3.1 Create a preliminary Project Charter – The preliminary *Project Charter* identifies an opportunity for improving a business or technology function by highlighting where strategic goals are not being met or where performance can be improved, and demonstrates a proposed project’s worth and its potential impacts on systems, staff, and operations.

The business PM and the CRC use the *Project Charter Template Instructions* to complete all components of the preliminary *Project Charter* to the best of their ability given the limited information at this point of the project. The *Project Charter* is comprised of the following sections:

- **Business Need:** Explains why the customers need this project to be completed, and identifies the problem to be solved. This section contains a high-level description of the benefits the business and customers will receive as a result of this project. The benefits are high level at this point and shall be updated as more information is gathered throughout the project.
- **Scope:** Contains the preliminary scope statement that highlights what the project will include, any high-level resource or requirement descriptions, and what will constitute completion of the project. All of the information within the preliminary scope statement will be expanded upon in greater detail as the project moves forward.
- **Goals and Alignment with Strategic Plan:** Identifies the HUD strategic goals, business goals, program area goals, and IT goals that the project meets. In addition, this section explicitly describes the project’s alignment within HUD’s IT portfolio.
- **High-Level Business, Functional, and Non-Functional Requirements:** Lists all requirements already identified at this stage of the project. A complete list of requirements will be created in the *Requirements Definition* document in the Definition Phase.
- **Assumptions and Constraints:** Records the assumptions and constraints that the documentation is based on, and identifies interdependencies, timelines, regulations, and any other relevant criteria.
- **High-Level Risk Identification:** Identifies any business, technology, or enterprise risks associated with the project. This section identifies only high-level risks known at this



time. A complete *Risk Management Plan* and *Risk Log* shall be completed during the Definition Phase of the PPM Life Cycle.

- **Business Impacts:** Outlines the business functions and processes that may be impacted by successful implementation of the project.
- **Stakeholder Identification:** Identifies stakeholders and organizations that are impacted and/or have a stake in the success of the project. Many of these stakeholders may become members of the IPT and play a significant role in the execution of the project.
- **High Level Analysis of Alternatives:** Explores the high-level alternatives that are being considered for the solution (buy, build, service, or reuse). Further analysis of these options will be performed in the *Project Business Value Analysis* within the Definition Phase.
- **Estimated Total Project Cost:** Utilizes the *Total Cost of Ownership Estimate template* to estimate the cost of the resources that shall be required to implement the project. This estimate is understood to be preliminary, and is intended to determine probable approval and funding levels and to assist in obtaining funding support.

T1-3.2 Submit the Project Charter for technical review and approval – The business PM, in conjunction with the project sponsor and CRC, submits the preliminary *Project Charter* to the TRC for a technical feasibility review of the artifacts completed. The TRC will either approve the preliminary *Project Charter* or agree to assign OCIO resources to the proposed project or reject the project.

The approved preliminary *Project Charter* is sent to the IRC for review and feedback.

T1-3.3 IRC reviews and provides feedback, if any – Once the preliminary *Project Charter* is approved by the TRC, the IRC reviews the project and provides feedback on the proposed project to the IPT. The project then continues on to task T1-4.



T1-4 Assemble the Integrated Project Team (IPT) and Create IPT Charter

What Happens?

The OCIO assigns an IT PM to the project and an IPT is assembled to complete the remaining tasks throughout the PPM Life Cycle. The IPT also monitors project developments and creates necessary documentation throughout the rest of the project’s life cycle.

Who Does What?

The OCIO prioritizes a project and assigns it an IT PM in accordance with its internal controls, protocols, and procedures.

The business and IT PMs, project sponsor, and CRC determine which SMEs can contribute to the successful development of the project and should be included in the IPT.³

Once assembled, the IPT creates the *Integrated Project Team Charter*.

What Comes in?

- TRC-approved preliminary *Project Charter*

What Controls Need to be Used?

Users of the PPM Life Cycle should utilize the controls listed below when creating the relevant artifacts:

- Federal and Departmental IT policies and standards
- *Integrated Project Team Charter* Template, Checklist, and Instructions

What is Produced?

Work Products	Responsibilities		Must Create	Should Create	Should Update	Must Update	Must Complete
<i>Integrated Project Team Charter</i>	Responsible	Business PM, IT PM	X				
	Accountable	Project sponsor					
	Consulted	IPT					
	Informed	TRC, CCC, EIB					

Detailed Tasks:

The following defines the detailed sub-tasks that must take place within this task:

T1-4.1 OCIO prioritizes project and assigns an IT PM– The OCIO, using its own internal controls, prioritizes projects and then assigns an IT PM to the proposed project.

³ The project sponsor, business PM, and IT PM are required members of the IPT. Other key personnel needed on the IPT vary from project to project. The business PM, IT PM and the selected IPT must ensure that people with the right skill sets are participating to ensure that the correct information is considered when making classification and artifact requirement decisions and complete the all activities throughout the PPM Life Cycle. Both business and technology SMEs shall make up the IPT.



T1-4.2 Business and IT PMs identify necessary members of the IPT – The project sponsor and business PM, assisted by the CRC, identify the IPT members who are necessary to successfully continue the development of the project. This is done according to Federal and Departmental IT policies and standards.

The IPT works as a team of decision makers to achieve consensus on tasks related to guiding projects through the PPM Life Cycle. The IPT ensures that all stakeholders are involved during all of the phases of the PPM Life Cycle, and that significant concerns are directed towards the appropriate governance board.

T1-4.3 Business and IT PMs create the Integrated Project Team Charter – The members of the IPT, co-chaired by the IT and business PMs, create an *Integrated Project Team Charter* which describes the IPT's goals, objectives, meetings, communications, membership, roles and responsibilities, rules of order, duration, and authority. While creating the charter, the IPT members follow the *Integrated Project Team Charter Template Instructions*. To be approved, an *Integrated Project Team Charter* must:

- Identify IPT meeting frequency
- Define IPT organization (membership, roles and responsibilities, and sub-groups)
- Clarify rules of order and voting mechanisms
- Be signed by all members of the IPT as a formalized contract of acceptance



T1-5 Create Project Process Agreement

What Happens?

The project is customized to determine the minimum necessary level of detail and the appropriate level of governance oversight to ensure project success.

Who Does What?

The IPT determines the minimum necessary level of detail and the appropriate level of governance oversight based on cost, exposure, interoperability, and the level of detail in documentation. There are two parts of the *Project Process Agreement* relevant to the PPM Life Cycle:

- Tier 1 determines the minimum necessary level of detail required in the Need/Concept Phase and Definition Phase documents by looking at cost, interoperability, and exposure⁴
- Tier 2 takes into account the information gathered in Tier 1 to determine the appropriate level of governance oversight

The IT PM provides the results of the initial *Project Process Agreement* evaluation to the quality assurance team for review.

The IT PM also provides the quality assurance team's report to the IPT for review and action, if any. The IT PM escalates issues that cannot be resolved by the quality assurance team and the project team to next management level for resolution. The next level of management is the managers to whom the IPT and quality assurance team report.

What Comes in?

- Assigned business and IT PMs
- *Integrated Project Team Charter*
- *Preliminary Project Charter*

What Controls Need to be Used?

Users of the PPM Life Cycle should utilize the controls listed below when creating the relevant artifacts:

- *Project Process Agreement Template Instructions*
- Federal and Departmental IT policies and standards

⁴ Security, privacy, and other issues may require higher levels of detail to be captured in project documentation due to personally identifiable information (PII) or other implications. In such cases, the TRC and its members may decide to increase the level of detail required from a project's work products in order to adhere to Federal and Departmental policies and procedures.



What is Produced?

Work Products	Responsibilities		Must Create	Should Create	Should Update	Must Update	Must Complete
Project Process Agreement (Tiers 1 and 2)	Responsible	Business PM, IT PM	X				
	Accountable	IPT					
	Consulted	QA Team					
	Informed	TRC					

Detailed Tasks:

The following defines the detailed sub-tasks that must take place within this task:

T1-5.1 Complete Tier 1 of the Project Process Agreement – The IPT creates Tier 1 of the *Project Process Agreement* to identify the scope and complexity of the project, which in turn will determine the artifacts that must be produced. This determination is based on the following criteria:

- **Cost:** A project’s cost provides a general indication of the level of risk associated with it, and the cost is categorized based on the total development, modernization, or enhancement (DME) funding a project will require over its life cycle.
- **Interoperability:** Interoperability refers to the number of business areas that a project affects. The greater a projects level of interoperability, the greater the risk its delayed implementation poses to HUD.
- **Exposure:** Exposure is defined as the degree to which HUD’s internal and external stakeholders express interest in a project.

The table below provides a summary of the threshold criteria for determining the level of oversight for a project.

Criteria	TRC Level Project	CCC Level Project	EIB Level Project
DME Life Cycle Costs	Below \$500,000	From \$500,001 – 5,000,000	Above \$5,000,000
Exposure	Negligible ⁵ or Non-Major ⁶	Non-Major	Moderate to Major ⁷
Interoperability	One program area	Two program areas	Three or more program areas

⁵ This may be defined as a project that has not had any significant level of interest outside of the primary business area. This is not an exhaustive definition.

⁶ This may be defined as a project that has not had any significant level of interest above the General Deputy Assistant Secretary (GDAS) level. This is not an exhaustive definition.

⁷ Moderate to Major exposure may be defined as a project initiated by senior leadership, a project that addresses a need that has been articulated by senior leadership, or a project that senior leadership has expressed direct interest in. This is not an exhaustive definition.



The level of detail in project artifacts should capture the minimum level of detail required to ensure project success. The more complex a project, the higher the level of detail required.

T1-5.2 Complete Tier 2 of the Project Process Agreement – The IPT determines and recommends the appropriate level of governance oversight for the project (TRC, CCC, or EIB) based on the cost, exposure, and interoperability thresholds determined in Tier 1.

A project will be categorized as an EIB or CCC level project if it meets two or more of the criteria for these levels. IT PMs will work with business areas and assist in making determinations as to the appropriate level of oversight. Governance boards will keep in mind the fact that projects in the initial phases of development will likely have limited information. Best estimates will provide an initial level of information for decision making.

T1-5.3 Review Project PPM Customization Decisions – The quality assurance team, assisted by the IT PM and IPT, reviews the *Project Process Agreement* Tiers 1 and 2 against the *Project Process Agreement Template Instructions*.

If any disputes arise during the review of the project customization, the IT PM provides the quality assurance team's report to the IPT for review and action, if any. The IT PM escalates issues that cannot be resolved by the quality assurance team and the IPT to the next level of management for resolution.



T1-6 Assess Security and Privacy Requirements

What Happens?

The IT PM works with the IT security specialist to register the system in Cyber Security and Assessment Management (CSAM) system; determine the appropriate security categorization; and, complete the *Federal Information Processing Standard (FIPS) 199 Form*, and the *Initial Privacy Assessment (IPA)*.

Who Does What?

The IT PM works with the IT security specialist on the IPT to assess the security and privacy requirements for the IT solution.

The IT PM registers the system in CSAM and completes the necessary metadata about the system by following the HUD security standards and guidelines.

The IT PM and IT security specialist determine the appropriate security categorization for the system and complete the *FIPS 199 Form* within CSAM following the HUD security standards and guidelines.

The IT PM completes the IPA by following the HUD privacy standards and guidelines.

The IT PM produces reports or takes screen prints of the completed registration and artifacts within CSAM for review by peers and at the control gate.

What Comes in?

- Assigned business and IT PMs
- *Integrated Project Team Charter*
- *Preliminary Project Charter*
- *Project Process Agreement (Tier 1 and Tier 2)*

What Controls Need to be Used?

Users of the PPM Life Cycle should utilize the controls listed below when creating the relevant artifacts:

- Federal security standards and guidelines
- HUD security standards and guidelines
- HUD privacy standards and guidelines



What is Produced?

Work Products	Responsibilities		Must Create	Should Create	Should Update	Must Update	Must Complete
CSAM Registration	Responsible	IT PM, IT security specialist	X				
	Accountable	Project sponsor					
	Consulted	IPT					
	Informed	TRC/CCC/EIB					
Security Categorization	Responsible	IT PM, IT security specialist	X				
	Accountable	Project sponsor					
	Consulted	IPT					
	Informed	TRC/CCC/EIB					
FIPS 199	Responsible	IT PM, IT security specialist	X				
	Accountable	Project sponsor					
	Consulted	IPT					
	Informed	TRC/CCC/EIB					
IPA	Responsible	IT PM, Privacy Lead	X				
	Accountable	Project sponsor					
	Consulted	IPT					
	Informed	TRC/CCC/EIB					

Detailed Tasks:

The following defines the detailed sub-tasks that must take place within this task:

- T1-6.1 Register in CSAM** – The IT PM registers the system in CSAM and completes the necessary metadata by following the HUD security standards and guidelines.
- T1-6.2 Determine Security Categorization** – The IT PM works with the IT security specialist to determine the proposed solutions initial security categorization by following the HUD security standards and guidelines.
- T1-6.3 Complete FIPS 199 Form** – The IT PM works with the IT security specialist to complete the *FIPS 199 Form* in CSAM following the HUD security standards and guidelines.
- T1-6.4 Conduct IPA** – The IT PM works with the privacy lead to complete the *Initial Privacy Assessment* following HUD privacy standards and guidelines.



T1-7 Update Project Charter

What Happens?

The IPT updates the *Project Charter* based on new information gathered throughout the Need/Concept Phase.

Who Does What?

The IPT updates all necessary sections of the *Project Charter* with new information. The IT PM and additional OCIO IPT members review and update each section of the *Project Charter*. The IPT pays particular attention when updating the following sections:

- Statement of scope
- A description of the project's goals and its alignment with HUD's strategic plan and architecture
- Identification of the investment which the project supports
- Documented high-level business, functional, and technical requirements; project assumptions, constraints, risks; and, business impacts
- A complete list of project stakeholders
- High-level analysis of alternatives
- Estimated total project cost

The IPT reviews the *Project Charter* against the *Project Charter Checklist* and the *Project Charter Template Instructions*. If the IPT approves the project, it is allowed to move into the next task (T1-8).

The IT PM finalizes the *Project Charter* documentation and provides them to the quality assurance team for independent review.

What Comes in?

- Assigned business and IT PMs
- *Integrated Project Team Charter*
- *Preliminary Project Charter*
- *Project Process Agreement* (Tier 1 and Tier 2)
- Security and privacy artifacts

What Controls Need to be Used?

Users of the PPM Life Cycle should utilize the controls listed below when creating the relevant artifacts:

- *Project Process Agreement Template*
- *Project Charter Checklist*
- *Project Charter Template Instructions*



What is Produced?

Work Products	Responsibilities		Must Create	Should Create	Should Update	Must Update	Must Complete
<i>Project Charter</i>	Responsible	Business PM, IT PM					
	Accountable	IPT				X	
	Consulted	QA Team					
	Informed	TRC/CCC/EIB					

Detailed Tasks:

The following defines the detailed sub-tasks that must take place within this task:

T1-7.1 Integrated Project Team reviews/updates Project Charter – All members on the IPT review the preliminary *Project Charter* and make updates based on newly available information.

The IT PM and members of the IPT review and update each section of the *Project Charter*. The IPT pays particular attention when updating the following sections:

- **Scope:** Contains the scope statement which highlights what the project will include, any high-level resource or requirement descriptions, and what will constitute completion of the project.
- **Goals and Alignment with Strategic Plan:** Identifies the HUD strategic goals, business/program area goals, and/or IT goals that the project satisfies. In addition, this section explicitly describes the project’s alignment within HUD’s IT Portfolio. The IPT assists in identifying the IT goals and alignment with HUD’s IT portfolio.
- **High Level Business, Functional, and Non-Functional Requirements:** Lists all requirements already identified at this stage of the project. OCIO IPT members assist in identifying technical requirements for the solution.
- **High Level Risk Identification:** Identifies any business, technology, or enterprise risks associated with the project. This section identifies only high-level risks known at this time.
- **Stakeholder Identification:** Identifies stakeholders and organizations that are impacted and/or have a stake in the success of the project.
- **High Level Analysis of Alternatives:** Explores the high-level alternatives that are being considered for the solution (buy, build, service, or reuse). Further analysis of these options will be performed in the *Project Business Value Analysis* within the Definition Phase.
- **Estimated Total Project Cost:** Utilize the *Total Cost of Ownership Estimate Template* to estimate the cost of the resources that is required to implement the project. This estimate is understood to be preliminary, and is intended to determine probable approval and funding levels and to assist in obtaining funding support.

The IPT reviews and approves the *Project Charter* against the *Project Charter Checklist* and the *Project Charter Template Instructions*.



T1-7.2 QA Team Review Project Charter – The quality assurance team, assisted by the IT PM and IPT, reviews the results of the *Project Charter* against the *Project Charter Template Instructions*.

If any disputes arise during the review of the project customization, the IT PM provides the quality assurance team's report to the IPT for review and action, if any. The IT PM escalates issues that cannot be resolved by the quality assurance team and the IPT to the next level of management for resolution. If the IPT approves the project, it is allowed to move into the next task (T1-8). If the *Project Charter* is not approved, it is sent back for revision.



T1-8 Create Detailed Project Schedule (WBS) (at Least through the Definition Phase)

What Happens?

A detailed *Project Schedule* (through the Definition Phase) is created.

Who Does What?

The IT PM with assistance from members of the IPT develops a *Project Schedule* that defines the tasks from project inception through the Definition Phase at the level of detail necessary to support successful implementation. The *Project Schedule* is developed using the customized artifacts identified in Tier 1 of the *Project Process Agreement* and following the *Project Schedule Template*, *Project Schedule Checklist*, and the *Project Schedule Template Instructions*.

The IT PM provides the *Project Schedule* to the IPT for review.

What Comes in?

- Assigned business and IT PMs
- *Integrated Project Team Charter*
- *Project Charter*
- *Project Process Agreement*
- Security and privacy artifacts

What Controls Need to be Used?

Users of the PPM Life Cycle should utilize the controls listed below when creating the relevant artifacts:

- *Project Schedule Template*, *Project Schedule Checklist*, and the *Project Schedule Template Instructions*

What is Produced?

Work Products	Responsibilities		Must Create	Should Create	Should Update	Must Update	Must Complete
Project Schedule (through the Definition Phase)	Responsible	IT PM	X				
	Accountable	IPT					
	Consulted	IPT					
	Informed	TRC/CCC/EIB					

Detailed Tasks:

The following defines the detailed sub-tasks that must take place within this task:

T1-8.1 Create/Update Project Schedule (at Least Through Definition Phase) – The IT PM and IPT create a *Project Schedule* (at least through the Definition Phase) using the *Project Schedule Template*, *Integrated Project Team Charter*, and *Project Process Agreement* Tier 1 and Tier 2 as references.



T1-8.2 Integrated Project Team Reviews and Approves Project Schedule – The IPT reviews the *Project Schedule* against the *Project Schedule Checklist*, HUD enterprise architecture standards and guidelines, and HUD investment standards and guidelines and makes any necessary revisions.



T1-9 Create Total Cost of Ownership Estimate (at Least through the Definition Phase)

What Happens?

A *Total Cost of Ownership Estimate* at least through the Definition Phase, if applicable, is created.

Who Does What?

The IT PM and IPT develop a *Total Cost of Ownership Estimate* at least through the Definition Phase that defines the tasks from project inception through the Definition Phase.

The IT PM provides the documents to the IPT for review.

What Comes in?

- Assigned business and IT PMs
- *Integrated Project Team Charter*
- *Project Charter*
- *Project Process Agreement*
- *Project Schedule*
- Security and privacy artifacts

What Controls Need to be Used?

Users of the PPM Life Cycle should utilize the controls listed below when creating the relevant artifacts:

- *Total Cost of Ownership Estimate Template*

What is Produced?

Work Products	Responsibilities		Must Create	Should Create	Should Update	Must Update	Must Complete
Project Cost Estimate (through the Definition Phase)	Responsible	IT PM	X				
	Accountable	IPT					
	Consulted	IPT					
	Informed	TRC/CCC/EIB					

Detailed Tasks:

The following defines the detailed sub-tasks that must take place within this task:

T1-9.1 Create Total Cost of Ownership Estimate – The IT PM and IPT create the *Total Cost of Ownership Estimate* (at least through the Definition Phase) using the *Project Charter*, *Integrated Project Team Charter*, *Project Process Agreement*, *Project Schedule*, and the *Total Cost of Ownership Estimate Template*.

T1-9.2 Review and Approve Total Cost of Ownership Estimate – The IPT reviews the *Total Cost of Ownership Estimate* against the appropriate HUD investment standards and guidelines and makes any necessary revisions.



T1-10 Compile and Submit Need/Concept Package for Go/No Go Decision

What Happens?

The IPT assembles the *Integrated Project Team Charter*, *Project Charter*, *Project Process Agreement*, *Project Schedule*, and the *Total Cost of Ownership Estimate* into a Need/Concept Phase package and submits it to the TRC for review and approval.

The proposed project documents are reviewed for approval. A Go/No Go Decision is made before moving into the Definition Phase.

Who Does What?

The IPT compiles the Need/Concept Phase documentation (which includes the *Project Charter*, *Integrated Project Team Charter*, Tiers 1 and 2 of the *Project Process Agreement*, *Project Schedule*, and the *Total Cost of Ownership Estimate* through at least the Definition Phase) into a Need/Concept Phase Package. Along with this package, the IPT submits a *Control Gate Request Form* to formally request that the IT governance bodies review and approve the project.

The TRC must decide whether a project will move into the Definition Phase, allow the project to proceed subject to certain conditions, or reject the project based on the outcome of artifact reviews. If the project is rejected the IPT must follow the appeals process to re-submit the project for review.

If the project requires additional oversight from the CCC and/or the EIB, the TRC provides them the documentation along with a written summary of their recommendations and the rationale behind them.

What Comes in?

- Need/Concept Phase Package

What Controls Need to be Used?

Users of the PPM Life Cycle should utilize the controls listed below when creating the relevant artifacts:

- *Project Charter* Template
- *Integrated Project Team Charter* Template
- *Project Process Agreement* Template
- *Project Schedule* Template
- *Total Cost of Ownership* Template
- HUD EA Standards and Guidelines
- Governance Plan Guidelines and Procedures
- Federal Security Standards and Guidelines
- HUD Security Standards and Guidelines
- HUD Privacy Standards and Guidelines

Detailed Tasks:

The following defines the detailed sub-tasks that must take place within this task:

T1-10.1 Assemble Need/Concept Package – The IPT compiles the Need/Concept documentation into a Need/Concept Phase Package. The Need/Concept Phase Package shall include:



- *Work Request Form*
- *Project Charter*
- *Integrated Project Team Charter*
- *Project Process Agreement (Tiers 1 and 2)*
- *Project Schedule*
- *Security and privacy artifacts*
- *Total Cost of Ownership*
- *Control Gate Request Form*

T1-10.2 Obtain Need/Concept Phase Go/No Go Decision – The TRC reviews the Need/Concept Phase Package and either:

- *Approves the project into the Definition Phase,*
- *Approves the project with conditions, or*
- *Rejects the project*

If the project requires additional oversight from the CCC or EIB as identified in Tier 2 of the *Project Process Agreement*, the TRC must communicate with the chair of the appropriate body and provide the necessary documentation for review.

T1-10.3 Resolve Any Conditions for Project Approval – If the TRC, CCC, or EIB have approved the project with conditions, the IPT must adjudicate these comments and re-submit the changes for approval prior to moving into the Definition Phase.