The logo consists of a grid of blue squares arranged in a staircase pattern, with the top row having 1 square, the second row 2, the third 3, the fourth 4, and the fifth 5 squares.

TEXAS PROJECT DELIVERY  
**FRAMEWORK**

## Handbook

Version 2.8 • 31 AUG 2013

This Handbook is a printed version of the Texas Project Delivery Framework. A new version of the Handbook is released when the Framework Web information is modified. Information that may change frequently, such as contact names and email addresses is maintained on the Web only.

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# Texas Project Delivery Framework Version History

Version history for the Framework Web content, and therefore the Handbook, is maintained in the Framework Version History.

Framework tools are available on the Framework Web site. Version history for each tool is maintained in the Instructions document for the tool.

A Tool Version Inventory—identifying tool version information in relation to the Framework version—is maintained on the Framework Web site.

Release Date	Framework Version	Description
31-Aug-2013	2.8	Version 2.8 Web information and equivalent Handbook released. Revisions reflect changes recommended by the Framework Change Advisory Board (CAB) and approved by DIR (change requests 66 and 70). Revisions also include adding a statutory reference recommended by the State Auditor's Office, changes to the Framework Quick Reference recommended by DIR, and updating the membership of the Contract Advisory Team.
31-Dec-2012	2.7	Version 2.7 Web information and equivalent Handbook released. Revisions reflect changes recommended by the Framework Change Advisory Board (CAB) and approved by DIR (change requests 54, 64, 66, 68 and 69).
18-Nov-2011	2.6	Version 2.6 Web information and equivalent Handbook released. Revisions reflect changes recommended by the Framework Change Advisory Board (CAB) and approved by DIR (change requests 49, 53, 54, 57, and 61).
21-Dec-2010	2.5	Version 2.5 Web information and equivalent Handbook released. Revisions reflect changes recommended by the Framework Change Advisory Board (CAB) and approved by DIR (change requests 55 and 56).
30-Jun-2010	2.4	Version 2.4 Web information and equivalent Handbook released. Revisions reflect emergency changes approved by DIR (Change request 62) and changes recommended by the Framework Change Advisory Board (CAB) and approved by DIR (change requests 37 and 56).
23-Dec-2009	2.3	Version 2.3 Web information and equivalent Handbook released. Revisions reflect emergency changes approved by DIR (Change request 53) and changes recommended by the Framework Change Advisory Board (CAB) and approved by DIR (change request 38).
30-Jun-2009	2.2	Version 2.2 Web information and equivalent Handbook released. Revisions reflect emergency changes approved by DIR (Change requests 49, 50, and 51) and changes recommended by the Framework Change Advisory Board (CAB) and approved by DIR (change requests 38, 46, 47, and 48).
31-Oct-2008	2.1	Version 2.1 Web information and equivalent Handbook released. Revisions reflect changes recommended by the Framework Change Advisory Board (CAB) and approved by DIR (change requests 38, 41, 43, 45, and 46).
30-May-2008	2.0	Version 2.0 Web information and equivalent Handbook released. Revisions reflect emergency changes approved by DIR (Change requests 39, 40, and 44) and changes recommended by the Framework Change Advisory Board (CAB) and approved by DIR (change requests 37, 38, and 42). <b>Version 2.0 marks elimination of separate plans (tools) for communication, configuration, performance, and risk management.</b>

Release Date	Framework Version	Description
31-Jan-2008	1.9	Version 1.9 Web information and equivalent Handbook released. Revisions reflect emergency changes approved by DIR (Change request 41), and changes recommended by the Framework Change Advisory Board (CAB) and approved by DIR (change requests 8, 14, 16, 28, 31, 32, and 36).
28-Sep-2007	1.8	Version 1.8 Web information and equivalent Handbook released. Revisions reflect emergency changes approved by DIR (change requests 39 and 40).
1-Sep-2007	1.7	Version 1.7 Web information and equivalent Handbook released. Revisions reflect changes recommended by the Framework Change Advisory Board (CAB) and approved by DIR (change requests 7, 10, 13, 15, 25, 26, 27, 29, 33, 34, and 37).
31-May-2007	1.6	Version 1.6 Web information and equivalent Handbook released. Revisions reflect changes recommended by the Framework Change Advisory Board (CAB) and approved by DIR. Updated the Framework Quick Reference and Submissions Requirements information (change requests 1, 2, 3, 4, 5, and 6).
13-Mar-2007	1.5	Version 1.5 Web information and equivalent Handbook released. Replaced IT project with technology project. Updated Audience and Intent to clarify required versus supplemental tools. Updated Introduction, Core Principles (7), Framework Quick Reference, Project Planning Review Gate Description and Activity Flow, Project Implementation Review Gate Description and Activity Flow, Framework Graphical Overview, Glossary, Frequently Asked Questions, and Contact Information to reflect addition of Framework Extensions and references to the System Development Life Cycle Extension.
08-Dec-2006	1.4	Version 1.4 Web information and equivalent Handbook released. Updated Framework Quick Reference (Project Planning Review Gate), Project Planning Tools and Deliverables, Solicitation and Contracting Review Gate Activity Flow, Framework Graphical Overview, and Glossary.
13-Oct-2006	1.3	Version 1.3 Web information and equivalent Handbook released. Updated Framework intent, Core Principles (3, 6, and 7), Framework Quick Reference, agency head key questions for all review gates, activity flows (2, 3, and 4), submission timeline requirements, and Glossary. Note: Major Contract Questionnaire tool replaced by CATRAD application. See Tool Version Inventory for updated tools. <b>Version 1.3 marks completion of the initial baseline of the Framework.</b>
30-Jun-2006	1.2	Version 1.2 Web information and equivalent Handbook released. Updated Roles and Responsibilities for QAT, LBB, SAO, DIR, TBPC, and CAT; Core Principles (8); submission and approval contact information; and Glossary. See Tool Version Inventory for updated tools.
24-May-2006	1.1	Version 1.1 Web information and equivalent Handbook released. Updated with System Development Life Cycle tools, guideline, and glossary.
28-Apr-2006	1.0	Version 1.0 Web information and equivalent Handbook released. Pre-1.0 History: 26-Apr-2006: General Web information revised, including the addition of Project Implementation and Benefits Realization review gates. 13-Sep-2005: General Web information revised, including the addition of Project Planning and Solicitation/Contracting review gates. 28-April-2005: General Web information released, including Business Justification review gate.

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For assistance with the Texas Project Delivery Framework,  
please email [projectdelivery@dir.texas.gov](mailto:projectdelivery@dir.texas.gov)

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# Introduction

Technology projects can be delivered successfully using the Texas Project Delivery Framework (Framework). The Framework establishes a consistent, statewide method for project selection, control, and evaluation based on alignment with business goals and objectives. Utilizing the Framework will ensure that agency heads have the tools and information to guide technology deployment towards the right business outcome.

The Framework consists of five review gates with guidance and tools for each of the gates. A review gate is a distinct division of effort for a specified purpose during project delivery. Each review gate is intended to synchronize the state's investment in a project based on approval of business outcomes at a specific point during project delivery. Completion of a review gate requires agency head approval based on careful assessment of whether a project is ready to proceed to the next project delivery stage. The review gates are:

- Business Justification – initial review gate for selection and approval of the project
- Project Planning – planning for both project management and technology-related activities and deliverables
- Solicitation and Contracting – development and management of technology solicitations and contracts
- Project Implementation – development, testing, and deployment based on project planning deliverables
- Benefits Realization – final review gate for measurement and evaluation of all project outcomes

The Framework also consists of Framework Extensions. Framework Extensions interpret and extend the base set of practices found in the Framework by providing a standard set of guidance and tools for various types of technology projects and project delivery environments. Framework Extensions, when specifically referenced, are separate and distinct extensions of the base Framework. Submission of Framework Extension deliverables is not required. In addition, Framework Extensions can be proposed and developed by any agency. Refer to Texas Project Delivery Framework Extensions on the Framework Web site for a list of current extensions.

*Note: Various types of technology projects may require different practices, processes, and strategies to successfully deliver the expected business outcomes. These practices, processes, and strategies defined within agency project management practices (Texas Government Code, Chapter 2054, Information Resources and Texas Administrative Code, Chapter 216) must align with use of the Framework.*

## **Audience and Intent**

The Framework provides guidance and tools for development of deliverables, and review, assessment, and approval of project outcomes during each review gate of project delivery. The Framework provides guidance to agency heads by presenting fundamental information on delivery of technology projects to help them assess the agency's ability to manage state investments. The Framework was developed to assist agency heads with deciding whether the

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project is ready to proceed to the next review gate. Additionally, the Framework should function in concert with existing project management practices established at the agency level.

The Framework also provides a toolset (Appendix A – graphical overview of required and supplemental tools) for practitioners directly involved with delivery of the project. Agencies must use required Framework tools as defined in statute. Agencies must use supplemental tools or replace a supplemental tool with an equivalent tool that serves the same purpose and intent. When an equivalent tool is used, it must include, at a minimum, the information identified in the Framework supplemental tool it is replacing. Regardless of whether a Framework supplemental or agency-equivalent tool is used, certain project deliverables must be submitted. Refer to Submission and Approval to identify required agency-level approval and state-level submission processes for each deliverable.

Use of the Framework tools is designed and intended to be customized to fit specific agency and project needs. The toolset includes templates, questionnaires, checklists, and guidelines that are consistent with other statewide efforts that overlap with the Framework, such as the Comptroller of Public Accounts (CPA) Contract Management Guide<sup>1</sup> and Quality Assurance Team (QAT) processes. A primary focus of the Framework is to reuse project information for multiple statewide purposes and to include only the information that is necessary to convey changes from the previous review gate.

Currently, the Framework is intended for use during delivery of major information resources projects as defined in Texas Government Code, Chapter 2054, Information Resources, and for certain major contracts. Refer to the CPA Contract Management Guide for guidance on which major contracts are required to use the Framework. Agencies may choose to use the Framework for non-major information resources projects.

In summary, the Framework is intended to:

- Provide guidance to agency heads by presenting fundamental information on delivery of technology projects for use during assessment and approval of business outcomes
- Identify a clear line of accountability within an agency for business outcomes
- Provide generic tools that can be used to fit specific agency and project needs
- Establish a consistent, statewide method for project selection, control, and evaluation based on alignment with state and agency business goals and objectives
- Work in concert with existing agency-level project management practices and structures
- Provide comprehensive guidance on which project activities and deliverables should be included as part of project delivery from a statewide perspective
- Integrate overlapping project activities and deliverables that span across multiple statewide entities such as Texas Department of Information Resources (DIR) and CPA
- Reuse project information for multiple purposes (e.g., for both QAT and Framework)
- Minimize redundancy of project delivery information

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<sup>1</sup> Comptroller of Public Accounts, *Contract Management Guide*. Retrieved 1-August-2013 from <http://www.window.state.tx.us/procurement/pub/contractguide/>.

# Roles and Responsibilities

Several roles are involved in the completion of review gate deliverables; however, the agency head plays a critical accountability role. The agency head is the top-most senior manager with operational accountability for an agency such as an executive director, commissioner, university president, university chancellor, comptroller, or board president. Project delivery responsibility must not be delegated to a Chief Information Officer (CIO) or an Information Resources Manager (IRM), for example. Although the agency head is not unilaterally responsible for all business outcomes, the agency head must approve review gate deliverables based on ongoing involvement, assessment, support, and input by agency staff.

## Agency Head Responsibilities

Responsibilities of the agency head include:

- Ensures careful assessment of business outcomes during each of the review gates
- Approves all business outcomes that result from activities during each of the review gates
- Decides whether a project is ready to proceed to the next project delivery stage
- Ensures business solution is aligned with state and agency business goals and objectives
- Ensures key questions regarding business outcomes can be answered accurately based on supporting project evidence
- Makes the final recommendation on procurement decisions involving management of solicitations and contracts
- Approves business case analysis, statewide impact analysis, project planning, and procurement planning results
- Approves contract amendment and change orders if the amendment or change order changes the contract amount above 10 percent or significantly changes the contract completion date as determined by the QAT

## Other Roles and Responsibilities

Roles may vary based on the needs of each agency and technology project. Roles may be designated specific to each of the review gates and, when specified, are identified in instructions associated with the tool. Unless specifically identified and required as part of the Framework, approval signatures are defined by each agency. The roles and associated responsibilities include:

Other Roles	Responsibilities
Executive Sponsor <i>Non-IT senior-level manager</i>	<ul style="list-style-type: none"> <li>• Oversees project delivery from a business perspective</li> <li>• Signs off on results during project delivery, including business case analysis, statewide impact analysis, project planning, and procurement planning</li> </ul>
Technology Sponsor <i>IT senior-level manager, typically the agency IRM</i>	<ul style="list-style-type: none"> <li>• Oversees project delivery from a technology perspective</li> <li>• Signs off on results during project delivery, including business case analysis, statewide impact analysis, project planning, and procurement planning</li> </ul>

Other Roles	Responsibilities
Quality Assurance Team <i>Consists of a representative from the Legislative Budget Board, State Auditor's Office, and DIR</i>	<ul style="list-style-type: none"> <li>• Performs quality assurance review</li> <li>• Reviews business case analysis and statewide impact analysis results</li> <li>• Reviews project planning, procurement planning, and post-implementation results</li> <li>• May approve projects identified in an agency's Biennial Operating Plan</li> <li>• Determines if a contract completion date has changed significantly</li> <li>• Approve contract amendments for contracts having a total value above \$1 million if contract costs increase above 10%</li> </ul>
Legislative Budget Board (LBB)	<ul style="list-style-type: none"> <li>• As part of legislative process, approves project funding requests</li> </ul>
State Auditor's Office (SAO)	<ul style="list-style-type: none"> <li>• As part of statewide auditing process, audits projects</li> </ul>
Department of Information Resources	<ul style="list-style-type: none"> <li>• As part of statewide technology impact process, assesses projects</li> </ul>
Comptroller of Public Accounts (CPA)	<ul style="list-style-type: none"> <li>• As part of statewide procurement process, post solicitations</li> <li>• Coordinates Contract Advisory Team activities</li> </ul>
Contract Advisory Team <i>Consists of a representative from the Comptroller of Public Accounts, the Facilities Commission, the Health and Human Services Commission, the Office of the Governor, DIR, and an agency of fewer than 100 employees</i>	<ul style="list-style-type: none"> <li>• Assists agencies with improving contract management practices, in part by reviewing solicitations for major contracts</li> </ul>
Other Participants	<ul style="list-style-type: none"> <li>• Business process owners who support project activities from a business perspective</li> <li>• Contract Managers who manage project activities from a contract management perspective</li> <li>• Project Managers who manage project activities from both a business and/or technical perspective</li> <li>• Technology staff who perform functions such as systems deployment, software development, analysis of statewide technology impact, business case analysis technology estimates, and other technology activities</li> </ul>

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# Core Principles

A set of core principles underlies development of the Framework which ultimately affects use of the Framework by agencies. These underlying principles establish a basis for how the Framework guidance and tools fit together from a broad, foundational perspective. For example, the Framework guidance and tools are assessed against the principles to determine whether the Framework consistently ties together. The core principles are:

**1. Avoid imposing on agency project management practices unless mandated**

The Framework is intended to frame existing project management practices, structures, and processes (e.g., governance, project management methodology, authority) at the agency-level by providing guidance at the statewide level which is deemed one level higher.

**2. Include deliverable content based on a minimum data set approach**

Each Framework tool is designed to provide the minimum set of data needed to accomplish the specific purpose of the associated deliverable. Some project delivery data may be excluded and instead included in a different tool during tool design to avoid content redundancy that does not add value to the intent of the deliverable that is developed using the tool. For example, project risks are excluded in the Project Charter deliverable which is used to fulfill the purpose of initiating/authorizing a project whereby risks can then be identified and analyzed as part of the Project Plan.

**3. Assume project delivery information evolves over the life of the project**

Each Framework tool is designed based on the expectation that the deliverable developed using the tool will be approved, baselined, revised, and re-baselined. Project delivery is an integrative and iterative effort.

**4. Minimize redundancy of deliverable content within and across review gates**

Each Framework section is designed to be updated only if the information contained within that section has changed. Although project delivery information evolves over the life of the project, if the information within a section has not changed, the agency may reference an existing baselined project deliverable that contains the information.

**5. Demonstrate deliverable section linkage among the various Framework tools**

A Framework tool may have sections that are identical with other sections in a different tool (i.e., in order to satisfy core principles two, three, and four). A future iteration of the Framework will provide a cross-reference of content among the various Framework tools.

**6. Indicate the review gate in which development of deliverables is initiated**

Each Framework tool identified in each review gate represents the initiation of development for that particular deliverable. In some cases, the actual project level approval and execution

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of activities associated with the deliverable may span across review gates. Project delivery is both integrative and iterative.

**7. Include Framework Extensions that provide guidance and tools for different types of projects and project delivery environments**

By extending the base set of practices provided by the Framework, Framework Extensions provide a basis for integrating and further aligning the Framework when varied project requirements, needs, and conditions exist at the agency level.

**8. Reconcile Framework with project management practices**

Agencies must manage information resources projects based on project management practices. Information resources projects that meet the threshold for a major information resources project or certain major contracts (refer to the CPA Contract Management Guide) must use the Framework and align project management practices with the Framework.

**9. Work for different project sizes and types**

The Framework is intended for use with major information resources projects and certain major contracts (refer to the CPA Contract Management Guide), but can be used for smaller size projects as deemed appropriate by the agency. The Framework is intended for use with all types of technology projects, including systems operations, telecommunications, software development, and others.

**10. Clearly identify who receives deliverables expected at the state level**

Specific Framework deliverables must be provided to various statewide entities as identified in an Activity Flow for each review gate and the Framework Quick Reference. Specific conditions for when the deliverable is provided are identified in the respective review gate information.

**11. Create separate instructions for each standalone Framework tool**

Each standalone tool has separate instructions. Some tools are included in the tool's appendices without separate instructions. The instructions provide a description of the content required within each section and subsection of the tool.

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## Submission and Approval

Certain Framework deliverables must be approved by agency-level roles (e.g., Agency Head, Executive Sponsor) as defined in statute. Certain Framework deliverables must be submitted to designated state-level entities (e.g., Quality Assurance Team) as defined in statute. Refer to the QAT Web site<sup>2</sup> for additional information about QAT processes. For example, refer to the QAT Web site for information about state-level project approval.

Refer to the Framework Quick Reference as follows to identify required agency-level approval and state-level submission for each deliverable. Refer to Tool Tailoring, Signature Authority and Delegation, Submission Delivery Method, and Submission Requirements in this section for details regarding submission.

### Framework Quick Reference

The following tables identify by review gate each Framework tool and its statutory references, agency-level approval authorities, and submission entities. The dash (—) means *does not apply*.

#### Business Justification Review Gate

Tool	Required	Statutory Reference	Approved By	Submit To
Business Case	Yes	2054.303	Agency Head Executive Sponsor Technology Sponsor Project Manager Information Security Officer	QAT
Business Case Checklist	Yes	—	—	—
Business Case Workbook	Yes	2054.303	Agency Head Executive Sponsor Technology Sponsor Project Manager Information Security Officer	QAT
Business Case Workbook Checklist	Yes	—	—	—
Statewide Impact Analysis	Yes	2054.303	Agency Head Executive Sponsor Technology Sponsor Project Manager Information Security Officer	QAT
Project Charter	Yes	2054.307	Executive Sponsor	—
Business Justification Review Gate Approval	Yes	2054.307	Agency Head	—

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<sup>2</sup> Quality Assurance Team Web site accessed 1-August-2013 at <<http://qat.state.tx.us/>>.

### Project Planning Review Gate

Tool	Required	Statutory Reference	Approved By	Submit To
Project Plan	Yes	2054.304 / 2054.1181	Agency Head Executive Sponsor Technology Sponsor Project Manager Information Security Officer	QAT
Supplemental Tools: Project Plan <ul style="list-style-type: none"> <li>• Project Contact Register</li> <li>• Work Breakdown Structure</li> <li>• Change Control Request</li> <li>• Issues Tracking</li> <li>• Project Status</li> <li>• Quality Register (*)</li> <li>• Quality Project Areas, Categories, and Measures</li> <li>• Communication Register (*)</li> <li>• Configuration Items Register (*)</li> <li>• Performance Register (*)</li> <li>• Performance Project Areas, Categories, and Measures</li> <li>• Risk Assessment Tables</li> <li>• Risk Register (*)</li> <li>• Risk Checklists</li> <li>• Risk Item</li> <li>• Risk Status</li> </ul>	Yes, if marked (*)	—	—	QAT, if marked (*)
Monitoring Report	Yes	2054.1181	—	QAT
Project Planning Review Gate Approval	Yes	2054.307	Agency Head	—

### Solicitation and Contracting Review Gate

Tool	Required	Statutory Reference	Approved By	Submit To
Technology Addendum – CPA Contract Management Guide	Yes	2262.101	—	—
Acquisition Plan (Identified in 2054.305 as Procurement Plan)	Yes	2054.305 / 2054.1181	Agency Head Executive Sponsor Technology Sponsor Contract Manager Project Manager Legal Information Security Officer	QAT
Contract Advisory Team Review and Delegation (CATRAD) Application – CPA	Yes	2262.101	—	CAT

### Solicitation and Contracting Review Gate, continued

Tool	Required	Statutory Reference	Approved By	Submit To
Contract Amendment and Change Order Approval	Yes	2054.307 GAA Art. IX, 9.01(c) <sup>3</sup>	Agency head approval if contract costs increase above 10% or contract completion date changes significantly	QAT—if contract costs increase above 10%
Solicitation and Contracting Review Gate Approval	Yes	2054.307	Agency Head	—

### Project Implementation Review Gate

Tool	Required	Statutory Reference	Approved By	Submit To
Acceptance to Deploy	Yes	2054.307	—	—
Project Closeout Report	Yes	2054.307	—	—
Project Implementation Review Gate Approval	Yes	2054.307	Agency Head	—

### Benefits Realization Review Gate

Tool	Required	Statutory Reference	Approved By	Submit To
Post-Implementation Review of Business Outcome	Yes	2054.306	Agency Head Executive Sponsor Technology Sponsor Project Manager Information Security Officer	QAT
Benefits Realization Review Gate Approval	Yes	2054.307	Agency Head	—

## Tool Tailoring

Agencies must use the Framework tools as published to produce *required* deliverables. Therefore, tool tailoring guidelines for required tools do not exist. Agencies may add signatures in addition to those specifically identified and required as part of the Framework. Although no additions, modifications, or deletions are allowed except for additional signatures, agencies may choose to state “not applicable” in a deliverable section. A justification must be included in the deliverable section if “not applicable” is used. The justification must explain why the section does not apply to the project at all or at that point during project delivery.

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<sup>3</sup> General Appropriations Act, Article IX, section 9.01 – Purchases of Information Resources Technologies, p. IX-41, 83rd Legislature, Regular Session.

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## Signature Authority and Delegation

The Framework functions with existing project management practices established within the agency. The processes and strategies defined within agency project management practices should direct internal staff regarding signature authority and delegation (if any) on project deliverables required for submission.

### Delegation of Authority

The delegation of approval and signature authority, as long as such delegation does not conflict with Texas Government Code, 2054.307, is a matter of agency discretion that is beyond the scope of the Framework. Project delivery accountability is not delegable. For example, agency head accountability is not delegable to a Chief Information Officer (CIO) or an Information Resources Manager (IRM).

### Approvals

Agencies must adhere to statutory requirements relating to approvals and signatures. For example, each project deliverable required by Texas Government Code, Chapter 2054, Subchapter J, must be approved and signed by the agency head. The Framework Quick Reference identifies by review gate each Framework tool and its statutory references, agency-level approval authorities, and submission entities.

### Documenting Approval Signatures

Framework deliverables require one or more signatures of approval. How agencies document an approval depends on whether the agency has captured an approval via email or by wet-ink signature. Any combination of email and/or wet/ink signatures can be used in a single submission.

- **Email Approval** – Attach each approval email in its native format (not as a PDF) to the Framework submission transmittal email. The cover page for each deliverable—which shows the names, titles, and contact information for each reviewer—must also be included in the submission.
- **Wet-ink Signature** – If one or more approval is indicated via a wet-ink signature on the cover page of a deliverable, scan the cover page and submit it as separate PDF attachment or merge it into the PDF file of the deliverable.
- **Digital Signature** – Agencies may choose to use digital signature capabilities. A list of approved digital signature/public key infrastructure providers is located on the DIR Web site at <http://www.dir.texas.gov/pubs/srrpubs/pages/srrpub13-providers.aspx>.

The methods described above for documenting approval signatures meet the auditability requirements of Texas Business and Commerce Code Chapter 322.017(b)(3).

Refer to Appendix D – Sample Transmittal Email for sample language describing approval signatures.

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## Submitting Framework Deliverables

Submit Framework deliverables—except for the CATRAD Application, which is submitted to Contract Advisory Team—to the Quality Assurance Team. The Framework Quick Reference lists the entity (QAT or CAT) who receives each deliverable. See the Framework Contacts page (<http://www.dir.texas.gov/management/projectdelivery/projectframework/Pages/Contacts.aspx>) for current QAT and CAT contact information.

### Submission File

A submission file includes the deliverable, a transmittal email, and any attachments. Each deliverable should be submitted as a searchable PDF file, except for the Business Case Workbook, which must be submitted in its native format as an Excel file. The transmittal email should specify how each approval signature is documented—whether by email attachment or by scan of a wet-ink signature on the deliverable’s cover page. Refer to Appendix D – Sample Transmittal Email.

In the transmittal email, specify in the subject line the name of the deliverable(s) and the project name. For example: Business Case and Statewide Impact Analysis – Case Management Modernization Project (CMMP). The project name should be consistent for all deliverable submissions for the project. If the project name is changed, notify the QAT.

### Sample Project Plan Deliverable

An example Project Plan is provided with the Framework Web site (<http://www.dir.texas.gov/management/projectdelivery/projectframework/planning/Documents/ProjectPlanSample.pdf>).

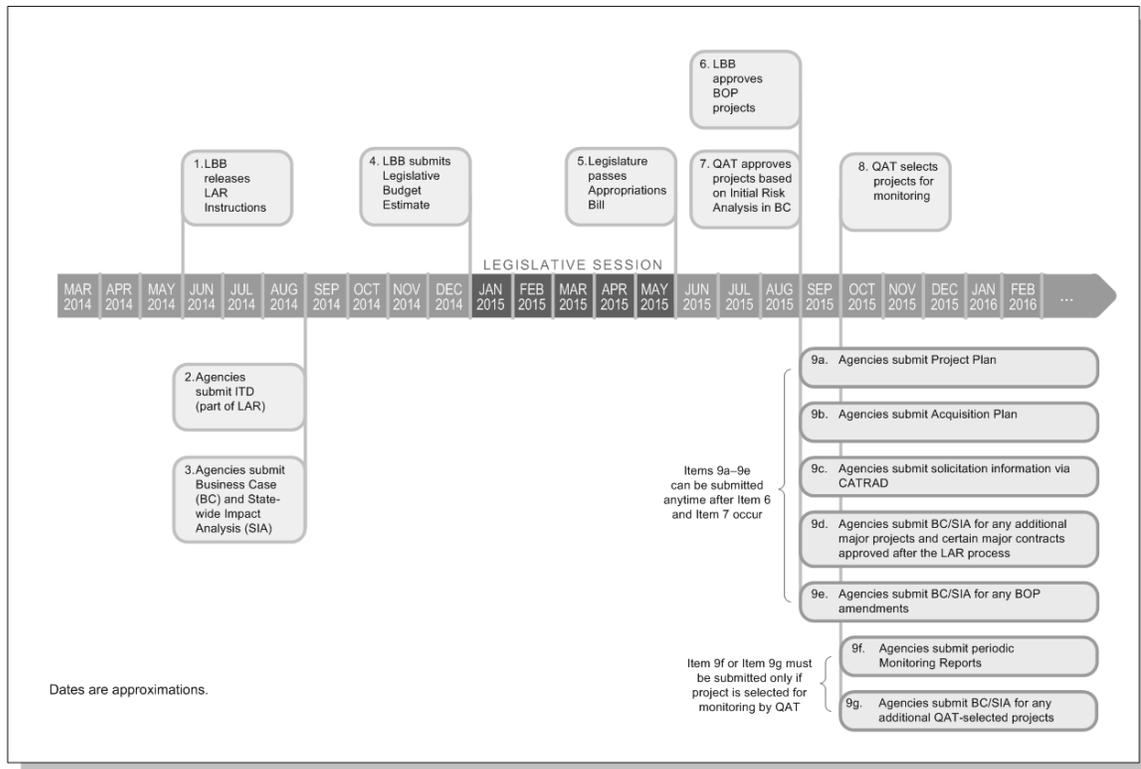
Supplemental deliverables associated with the Project Plan—Quality Register, Communication Register, Configuration Item Register, Performance Register, and Risk Register—must be included as appendices to the Project Plan regardless of how an agency maintains those deliverables internally.

## Submission Requirements Timeline

The Submission Requirements Timeline identifies submission requirements for Framework deliverables in relation to reporting requirements of the Legislative Appropriations Request (LAR). Descriptions for each notated action are provided after the graphic. Refer to the LBB Web site<sup>4</sup> for additional information about LBB processes identified in the submission timeline.

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<sup>4</sup> Legislative Budget Board Web site accessed 1-August-2013 at <<http://www.lbb.state.tx.us/>>.



TEXAS PROJECT DELIVERY FRAMEWORK  
**Submission Requirements Timeline**  
 July 3, 2013

## Timeline Descriptions

1. Legislative Budget Board releases Legislative Appropriations Request Instructions to agencies.
2. Agencies submit an Information Technology Detail as part of the Legislative Appropriations Request for capital and non-capital projects and other information resource expenditures. All projects that meet the criteria for major information resources projects and certain major contracts (refer to CPA Contract Management Guide), regardless of the funding source based on appropriated funds, must use the Framework. Appropriated funds, as defined in the General Appropriations Act, include general revenue, general revenue dedicated, federal, and other funds.
3. Agencies submit a Business Case, Business Case Workbook, and Statewide Impact Analysis for each major information resources project identified in the Information Technology Detail and certain major contracts (refer to CPA Contract Management Guide). A submitted Business Case, Business Case Workbook, and Statewide Impact Analysis must map directly to projects identified in the Information Technology Detail. To further clarify, if project "X" is identified in the Information Technology Detail, then a Business Case, Business Case Workbook, and Statewide Impact Analysis for project "X" must exist. Agencies may cut and paste redundant information between the Information Technology Detail and Business Case.

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*Note: Projects that span biennia are sometimes identified in the Information Technology Detail each biennium. For example, a project may require additional funding and is identified again in the Information Technology Detail. New projects (i.e., projects not approved in a previous biennium) require a Business Case, Business Case Workbook, and Statewide Impact Analysis. Projects that have already been approved in a previous biennium and request additional funding that causes the total project costs to change by more than 10 percent require submission of a revised Business Case, Business Case Workbook, and Statewide Impact Analysis.*

4. Legislative Budget Board submits budget recommendations to the Legislature.
5. When the Legislature passes the appropriations bill, funding is approved.
6. Legislative Budget Board approves projects identified in the agency's Biennial Operating Plan (General Appropriations Act, Article 9, Section 9.02(b)). The Biennial Operating Plan is an approved Information Technology Detail following changes made throughout the appropriations process. The Biennial Operating Plan supports and reflects funding appropriated by the Legislature for information resources projects.

*Note: Legislative Budget Board approval of Biennial Operating Plan projects and Quality Assurance Team project approval (next action) are the only instances where prior state-level project approval is required before appropriated funds may be expended. Upon Legislative Budget Board approval of Biennial Operating Plan projects, the Business Case, Business Case Workbook, and Statewide Impact Analysis must be revised to correspond with the approved project budget and scope.*

7. Quality Assurance Team may approve projects identified in an agency's Biennial Operating Plan based on an analysis of responses to the initial risk consideration evaluation factor in the Business Case and Business Case Workbook (General Appropriations Act, Article 9, Section 9.02(b)).
8. Quality Assurance Team selects projects for monitoring to ensure those projects have the means to meet stated objectives. Refer to the Monitoring Report Instructions for additional information about project monitoring.
- 9a. Agencies submit Project Plans anytime after the project has been approved at the state level. Refer to the Project Planning review gate description and associated deliverables instructions within the review gate for additional information regarding Project Plan submission.
- 9b. Agencies submit Acquisition Plans anytime after the project has been approved at the state level. Refer to the Solicitation and Contracting review gate description and Acquisition Plan Instructions within the review gate for additional information regarding Acquisition Plan submission.

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- 9c. Agencies submit solicitation information via CATRAD application anytime after the project has been approved at the state level. Refer to the Comptroller of Public Accounts Web site for process information located in the Contract Management Guide.
  - 9d. Agencies submit Business Case/Business Case Workbook/Statewide Impact Analysis for any additional major projects approved after the Legislative Appropriations Request process and certain major contracts (refer to the CPA Contract Management Guide).

*Note: Projects that do not initially meet the threshold and have since evolved to a major information resources project over time must use the Framework. These types of projects are considered additional major information resources projects approved after the Legislative Appropriation Request process.*

- 9e. Agencies submit Business Case, Business Case Workbook, and Statewide Impact Analysis whenever the Biennial Operating Plan is amended.
- 9f. Agencies submit periodic monitoring reports if the project is selected for Quality Assurance Team monitoring. Refer to the Monitoring Report Instructions for additional information about project monitoring.
- 9g. Agencies submit Business Case, Business Case Workbook, and Statewide Impact Analysis for any additional project not previously selected by the Quality Assurance Team.

*Note: If the project has not started, a Business Case, Business Case Workbook, and Statewide Impact Analysis must be submitted. When the QAT selects a project that has already started for monitoring, the QAT will determine on a case-by-case basis whether a Business Case, Business Case Workbook, and Statewide Impact Analysis should be submitted.*

# Review Gate: Business Justification

## Description

The Business Justification Review Gate is the initial review gate during project delivery. Business Justification consists of project and/or alternative selection, approval, and initiation. Before a business solution is selected, the agency must examine the solution's investment value in relation to other technology projects and DIR must assess the project's impact on use of information technology resources across the state. Once both of these activities have been completed, the proposed business solution may then be formally approved and initiated as a project. Business Justification processes are intended to work in concert with existing agency project management practices.

When a potential opportunity is identified to improve business processes or services through technology, a business case analysis should be initiated. A project's investment value is examined by conducting the business case analysis. The business case analysis compares business case costs to project benefits gained for business process, service, and technology improvements. A key focus is alignment of the project with business goals and objectives. Once completed, the analysis results should help prioritize the project as an agency, and thus, state investment. The business case analysis results must be forwarded to the QAT and resubmitted to the QAT if project cost increases more than 10 percent.

When a potential opportunity is identified to improve business processes or services through technology, an impact analysis of the project's effect on information resources common throughout the state must also be initiated. Project impact on use of information technology resources is assessed based on agency responses to an impact analysis questionnaire. The responses are forwarded to the QAT for review and assessment, and resubmitted to the QAT if project cost increases more than 10 percent. DIR must ensure that the proposed business solution does not unnecessarily duplicate existing statewide information technology resources and that it aligns with statewide technology goals and objectives.

If the proposed business solution is selected, the solution is formally approved and initiated by establishing a charter for a project. Approval and initiation of the project signifies that formal project activities can then begin. For example, project roles and staff assignments can then be identified. A critical aspect of initiating a project is refinement of the business goals and objectives identified during the business case analysis. A project's primary purpose is to meet the stated business goals and objectives.

Before any formal project planning activities can occur (next review gate), the agency head must approve the business outcomes at that specific point during project delivery. Approval indicates the agency head agrees the state should further invest in delivery of the project.

## Key Questions

Key questions that must be answered during Business Justification include:

- What business problem does the project solve?

- What other alternatives have been considered?
- What is the impact of not doing this project?
- What is the project's justification, in terms of expected benefits?
- When will the project deliver expected benefits and business outcomes?
- What are the opportunities for reuse of business processes and technical components?

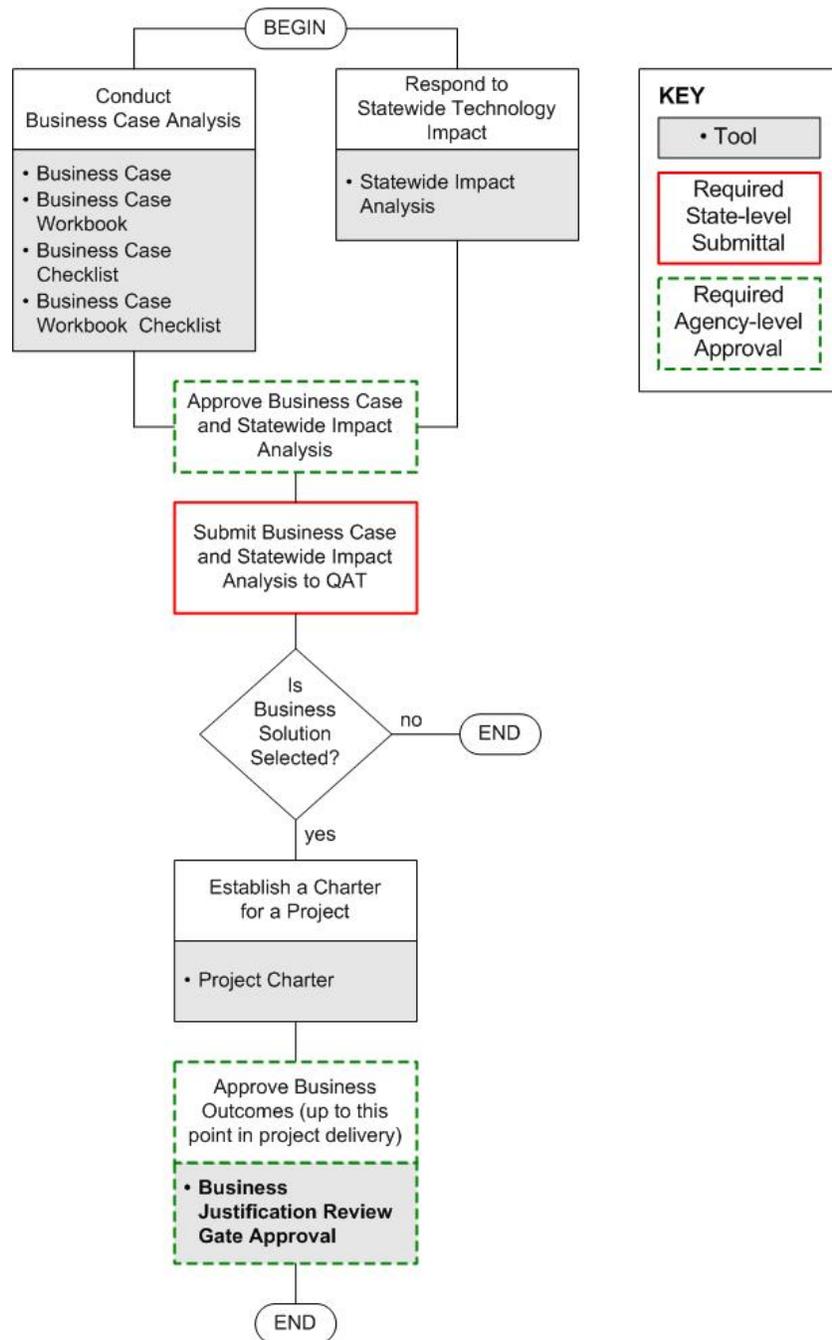
## Tools and Deliverables

Several deliverables are completed during the Business Justification Review Gate. Templates and a questionnaire are provided as tools for development of these deliverables.

Deliverable	Description	Tools
Business Case	Provides a narrative comparison of business solution costs and project benefits based on a business case analysis process. Content can be used as the basis for developing an Information Technology Detail (ITD). The ITD is a part of the LBB's Legislative Appropriations Request (LAR) process. The Business Case can also support completion of the Information Resources (IR) Strategic Plan regarding management of information technology resources.	<ul style="list-style-type: none"> <li>• Business Case Instructions</li> <li>• Business Case Template</li> </ul>
Business Case Checklist	Provides a plain language summarized list of requirements for the Business Case deliverable. The checklist is based on existing Framework guidance and the Business Case Instructions.	<ul style="list-style-type: none"> <li>• Business Case Checklist Instructions</li> <li>• Business Case Checklist Template</li> </ul>
Business Case Workbook	Provides quantified estimates of business solution costs, project benefits, and return on investment.	<ul style="list-style-type: none"> <li>• Business Case Workbook (instructions for this template are included within the Excel spreadsheet)</li> </ul>
Business Case Workbook Checklist	Provides a plain language summarized list of requirements for the Business Case Workbook deliverable. The checklist is based on existing Framework guidance and the Business Case Instructions.	<ul style="list-style-type: none"> <li>• Business Case Workbook Checklist Instructions</li> <li>• Business Case Workbook Checklist Template</li> </ul>
Statewide Impact Analysis	Provides information necessary for assessment of the project's impact on use of information technology resources across the state. DIR assesses the impact based on the information provided.	<ul style="list-style-type: none"> <li>• Statewide Impact Analysis Instructions</li> <li>• Statewide Impact Analysis Template</li> </ul>
Project Charter	Includes information used to formally approve and initiate activities for delivery of the project.	<ul style="list-style-type: none"> <li>• Project Charter Instructions</li> <li>• Project Charter Template</li> </ul>
Business Justification Review Gate Approval	Agency head approval of business outcomes at that specific point during project delivery.	<ul style="list-style-type: none"> <li>• Review Gate Approval Instructions</li> <li>• Review Gate Approval Template</li> </ul>

## Activity Flow

The Business Justification Review Gate Activity Flow shows each major activity, the tools for use during this stage of project delivery, required approvals, and required submittals. Refer to the Framework Quick Reference to identify required approval authority for each deliverable.



## Review Gate: Project Planning

### Description

The Project Planning Review Gate includes planning for both project management and technology-related activities and deliverables. Planning involves definition and sequencing of activities and resources to actually deliver the product and/or service. From a project management perspective, methods for managing the planned project activities over the life of the project are included. From a technology perspective, technology aspects of the product or service, such as requirements and descriptions for translation into an actual product or service, are also completed as part of the project planning activities. Planned activities that relate directly to technology aspects of the product and/or service vary according to the desired project results.

In addition, decisions regarding procurement are made during the Project Planning Review Gate. An assumption regarding each procurement decision may have been made in the Business Justification Review Gate in order to develop project estimates. For technology projects that require management of solicitations and contracts to achieve the business goals and objectives, the agency head must make the final determination on the procurement decision.

Project management activities identified during the Project Planning Review Gate are communicated in terms of: what tasks will be performed; who will perform the tasks; when will the tasks be performed; what resources will be applied to accomplish the tasks; how the tasks will be sequenced; how will the product and/or service performance be measured and are the measurements aligned with the stated business goals and objectives; how will the project performance be measured; how will project changes be monitored and controlled; and, what risks are involved and how will they be managed. Time spent developing the appropriate structure for organizing, managing, and implementing project activities and deliverables improves performance in later review gates of project delivery.

Project planning results must be finalized, approved at the agency level, and forwarded to the QAT prior to spending more than 10 percent of the funds allocated to the project and/or prior to an issuance of a vendor solicitation for the project. Project status information for statewide monitoring purposes must be forwarded to the QAT based on the reporting frequency as determined by the QAT.

Technology-related activities identified during the Project Planning Review Gate are communicated in terms of: what are the requirements for the product or service; how will the product or service be tested and deployed; and how will the technology deliverables, including the product, services, and associated documentation, be reviewed for correctness and accuracy. Time spent developing the best foundational structure for implementation of the product and/or service improves performance in later review gates of project delivery. A key emphasis is placed on obtaining technology results that align with the business goals and objectives.

Before issuance of a vendor solicitation (if necessary) and implementation activities can occur (next two review gates), the agency head must approve the business outcomes at that specific

point during project delivery. Approval indicates the agency head agrees the state should further invest in delivery of the project.

## Key Questions

Key questions that must be answered during Project Planning include:

- What business needs used to justify the project changed?
- What project management and technology-related activities are planned in order to solve the problem?
- What are the quantifiable outcomes that can be used to measure success?
- How was an achievable scope defined?
- How are the cost, schedule, and performance baselines complete and thorough?
- What are the project risks that have been identified and ranked?

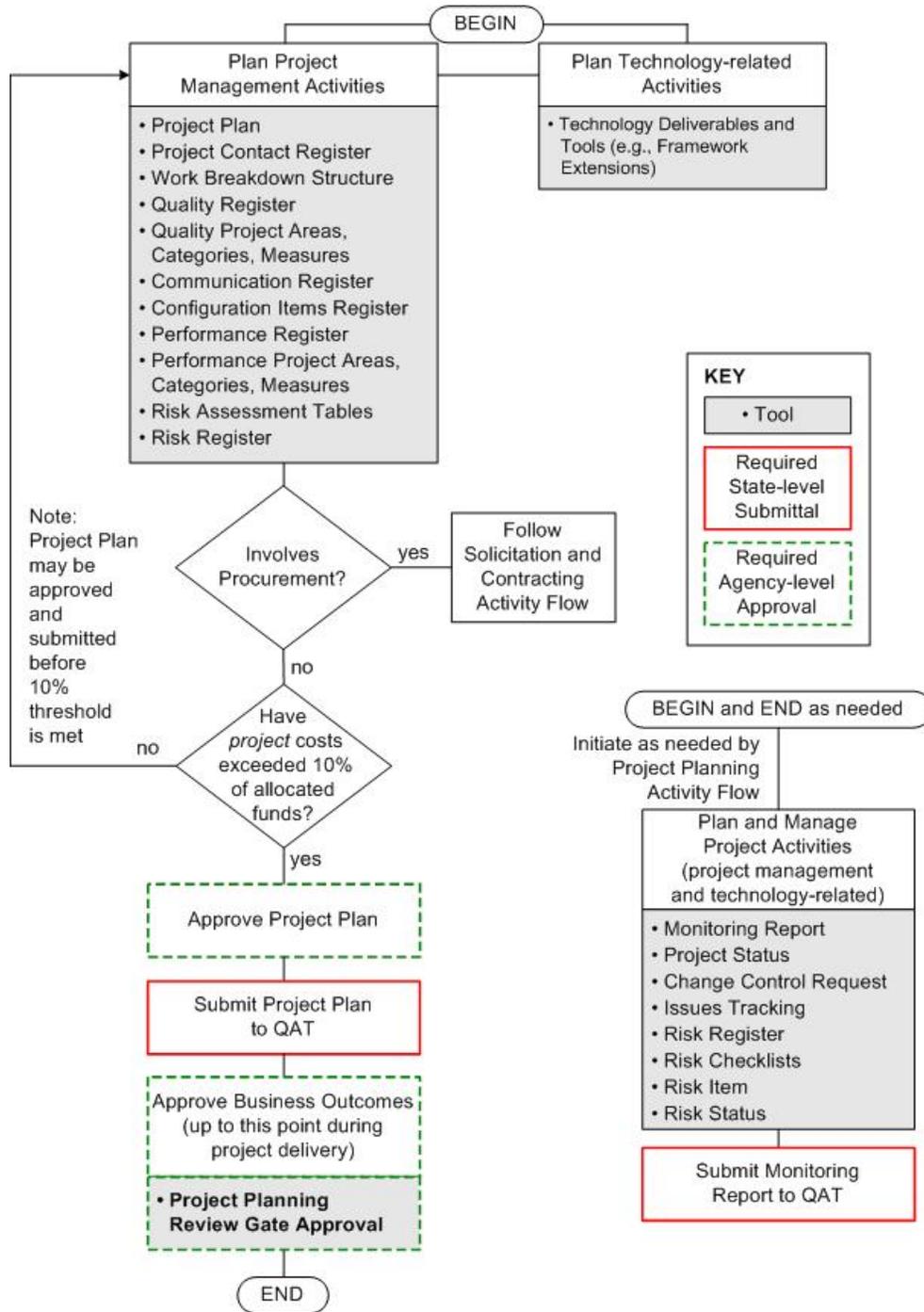
## Tools and Deliverables

Several deliverables are completed during the Project Planning Review Gate. Templates, checklists, and guidelines are provided as tools during development of these deliverables.

Deliverable	Description	Tools
Project Plan	Includes general planning information, monitoring and control methods, and quality, communication, configuration, performance, and risk management.	<ul style="list-style-type: none"> <li>• Project Plan Instructions</li> <li>• Project Plan Template</li> <li>• Project Plan Supplemental Tools:               <ul style="list-style-type: none"> <li>- Project Contact Register</li> <li>- Work Breakdown Structure</li> <li>- Change Control Request</li> <li>- Issues Tracking</li> <li>- Project Status</li> <li>- Quality Register</li> <li>- Quality Project Areas, Categories, and Measures</li> <li>- Communication Register</li> <li>- Configuration Items Register</li> <li>- Performance Register</li> <li>- Performance Project Areas, Categories, and Measures</li> <li>- Risk Assessment Tables</li> <li>- Risk Register</li> <li>- Risk Checklists</li> <li>- Risk Item</li> <li>- Risk Status</li> </ul> </li> </ul>
Monitoring Report	Provides project status information to QAT for monitoring purposes. Is delivered based on the reporting frequency (e.g., bimonthly, quarterly) defined by the QAT.	<ul style="list-style-type: none"> <li>• Monitoring Report Instructions</li> <li>• Monitoring Report Template</li> </ul>
Project Planning Review Gate Approval	Agency head approval of business outcomes at that specific point during project delivery.	<ul style="list-style-type: none"> <li>• Review Gate Approval Instructions</li> <li>• Review Gate Approval Template</li> </ul>

### Activity Flow

The Project Planning Review Gate Activity Flow shows each major activity, the tools for use during this stage of project delivery, required approvals, and required submittals. Refer to the Framework Quick Reference to identify required approval authority for each deliverable.



# Review Gate: Solicitation and Contracting

## Description

The Solicitation and Contracting Review Gate includes development and management of technology solicitations and contracts. Decisions regarding procurement are made during the Project Planning Review Gate. An assumption regarding each procurement decision may have been made in the Business Justification Review Gate in order to develop project estimates. For technology projects that require management of solicitations and contracts to achieve the business goals and objectives, the agency head makes the final determination on the procurement decision.

Plans involving management of solicitations and contracts should be developed in conjunction with project planning results. Procurement planning is a subset of project management that includes the activities to acquire goods and/or services from outside the organization through management of solicitations and contracts. Procurement planning addresses activities for solicitation planning, solicitation development and posting, source selection, contract award, contract management, and contract closeout. As a subset of project management, managing a technology procurement project relies on the project management practices (e.g., change control, project monitoring, performance management) defined in the Project Planning Review Gate.

Solicitations and contracts are developed and managed using the CPA Contract Management Guide,<sup>5</sup> which includes an addendum for technology projects. Procurement planning should support and rely on the agency's internal procurement practices for management of solicitations and contracts.

Procurement planning results must be finalized, approved at the agency level, and forwarded to the QAT prior to issuance of a solicitation for the project. The agency awards the contract. The agency head must approve contract amendment and change orders if the amendment or change order changes the contract amount above 10 percent or significantly changes the contract completion date as determined by the QAT. Contract amendment results must be finalized, approved at the agency level, and forwarded to QAT if the amendment changes the total value of the contract by more than 10 percent. Contract management should support and rely on the agency's project management practices for change control of all types of project changes, regardless of funding and/or schedule impacts.

Before any implementation activities can occur (next review gate), the agency head must approve the business outcomes at that specific point during project delivery. Approval indicates the agency head agrees the state should further invest in delivery of the project.

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<sup>5</sup> Comptroller of Public Accounts, *Contract Management Guide*. Retrieved 1-August-2013 from <http://www.window.state.tx.us/procurement/pub/contractguide/>.

## Key Questions

Key questions that must be answered during Solicitation and Contracting include:

- What business needs used to justify the project changed?
- What are the performance standards?
- What are the incentives to encourage delivery of expected outcomes?
- What is the procedure to evaluate vendor performance?
- What requirements are stipulated in the solicitation document to attain accountability?
- How are the requirements in the solicitation document measurable?

## Tools and Deliverables

Several deliverables are completed during the Solicitation and Contracting Review Gate.

Templates and a questionnaire are provided as tools during development of these deliverables.

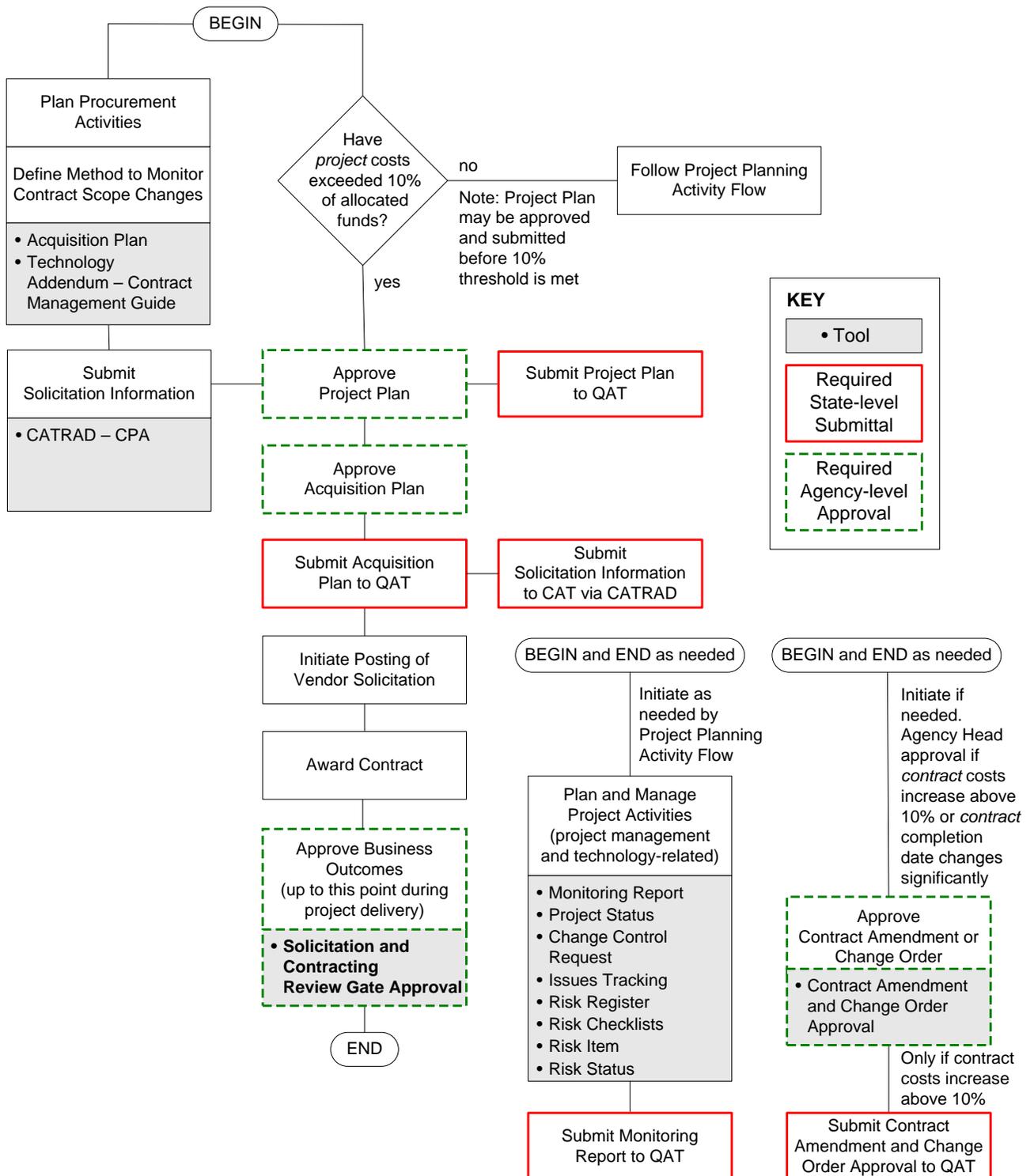
Deliverable	Description	Tools
Acquisition Plan	Includes procurement planning information for acquiring goods and/or services outside of the organization through management of solicitations and contracts.	<ul style="list-style-type: none"> <li>• Acquisition Plan Instructions</li> <li>• Acquisition Plan Template</li> <li>• Technology Addendum – CPA Contract Management Guide<sup>6</sup></li> </ul>
Solicitation information via CATRAD application	Provides information for risk assessment of projects involving the procurement of goods and/or services.	<ul style="list-style-type: none"> <li>• CATRAD application – CPA<sup>7</sup></li> </ul>
Contract Amendment and Change Order Approval	Used to obtain approval of contract amendment and change orders.	<ul style="list-style-type: none"> <li>• Contract Amendment and Change Order Approval Instructions</li> <li>• Contract Amendment and Change Order Approval Template</li> </ul>
Solicitation and Contracting Review Gate Approval	Agency head approval of business outcomes at that specific point during project delivery.	<ul style="list-style-type: none"> <li>• Review Gate Approval Instructions</li> <li>• Review Gate Approval Template</li> </ul>

6 Comptroller of Public Accounts, Contract Management Guide. Retrieved 1-August-2013 from <http://www.window.state.tx.us/procurement/pub/contractguide/> – see “DIR Technology Addendum” section in Chapter 2.

7 Comptroller of Public Accounts. Accessed 1-August-2013 from <http://www.window.state.tx.us/procurement/res/CAT/catrad> – see the “Gaining Access to CATRAD” section.

## Activity Flow

The Solicitation and Contracting Review Gate Activity Flow shows each major activity, the tools for use during this stage of project delivery, required approvals, and required submittals. Refer to the Framework Quick Reference to identify required approval authority for each deliverable.



# Review Gate: Project Implementation

## Description

The Project Implementation Review Gate includes development, testing, and deployment based on project planning activities and deliverables. Development includes any activity that is necessary to make the product and/or service ready for operations. Development activities may involve activities such as hardware configuration, system configuration, software development, and system design. Technology aspects of the project, such as requirements and product descriptions, are translated to operationalize the product and/or service. Testing is performed to help ensure the product and/or service is ready to be operationalized. Implementation activities that relate directly to technology aspects of the product and/or service vary according to the desired project results.

Project planning, management, and implementation are iterative processes. Technology-based plans initiated during project planning are completed, reviewed, finalized, and executed as part of project implementation. For example, technology-based plans may include deployment, test, and/or operations and maintenance plans. Project implementation relies on the project management practices (e.g., change control, project monitoring, performance management) defined in the Project Planning Review Gate. For example, monitoring and control processes defined as part of project planning in the Project Planning Review Gate are used throughout the project life cycle until project closure.

Stakeholder representatives must agree the product and/or service can transition to an operational status. As part of implementation, project deliverables must be accepted prior to deployment in order to clearly indicate buy-in to business outcomes resulting from use of the product and/or service.

As part of concluding the implementation of the project, final product and/or service acceptance is addressed as part of project closeout. The stakeholder representatives are given another opportunity to specifically focus on whether the stated business goals and objectives were met prior to the project closeout. Project closeout is then executed to conclude implementation of the project, including archival of project documentation for future reference, reassignment of project resources, and identification of lessons learned.

Before assessment of benefits realized through delivery of the project (next review gate), the agency head must approve the business outcomes at that specific point during project delivery. Approval indicates the agency head agrees the state should conclude investment in delivery of the project.

## Key Questions

Key questions that must be answered during Project Implementation include:

- What business needs used to justify the project changed?
- How is the project aligned with business requirements?
- How does the project meet defined technical requirements?

- What are the planned milestones/deliverables that were and were not met?
- How has the vendor met defined performance requirements?

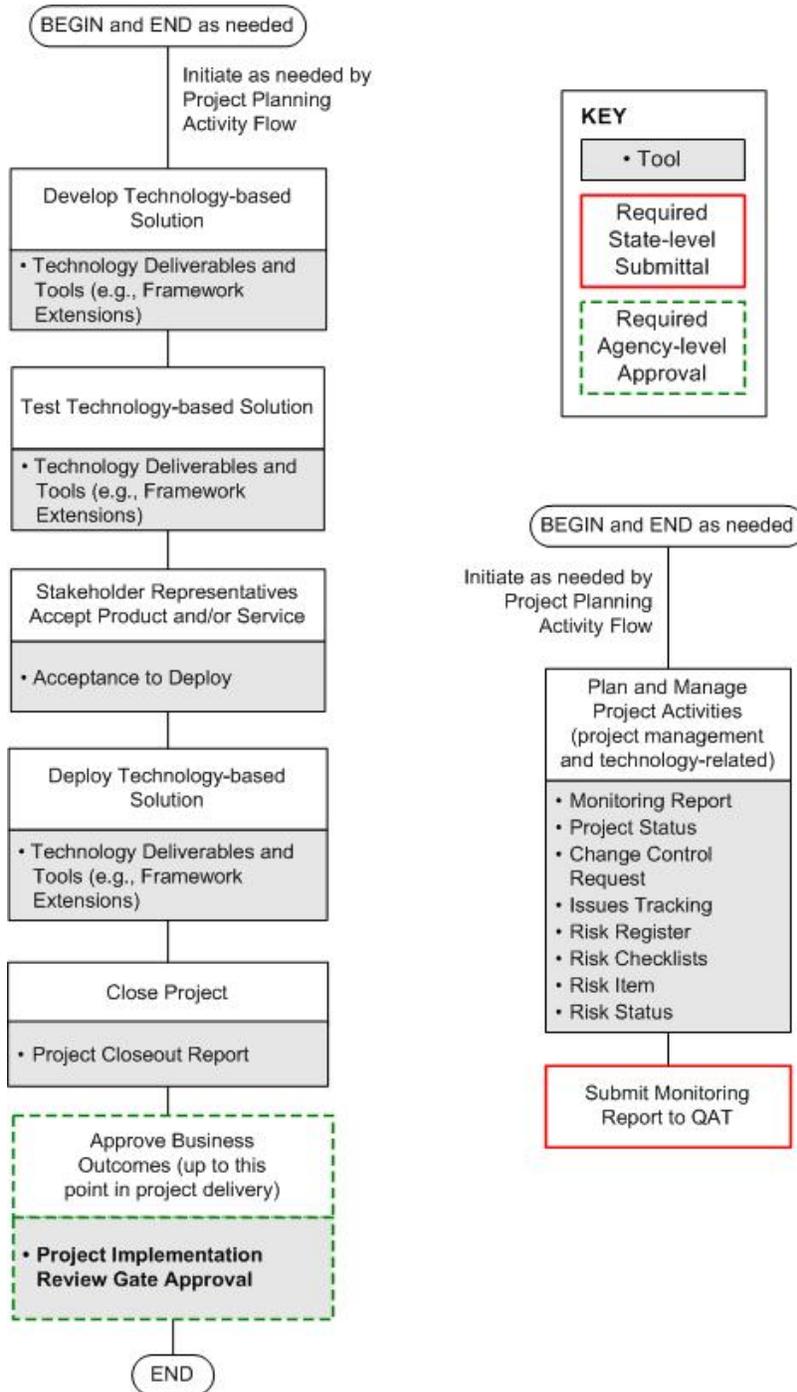
### Tools and Deliverables

Several deliverables are completed during the Project Implementation Review Gate. Templates are provided as tools during development of these deliverables.

Deliverable	Description	Tools
Acceptance to Deploy	Used to obtain formal agreement from stakeholder representatives before deployment of the product and/or service. Indicates buy-in to expected business outcomes resulting from use of the product and/or service.	<ul style="list-style-type: none"> <li>• Acceptance to Deploy Instructions</li> <li>• Acceptance to Deploy Template</li> </ul>
Project Closeout Report	Provides information for formal closeout of the project, including administrative, financial, and logistical aspects. Used as input to Benefit Realization Review Gate deliverables.	<ul style="list-style-type: none"> <li>• Project Closeout Instructions</li> <li>• Project Closeout Template</li> </ul>
Project Implementation Review Gate Approval	Agency head approval of business outcomes at that specific point during project delivery.	<ul style="list-style-type: none"> <li>• Review Gate Approval Instructions</li> <li>• Review Gate Approval Template</li> </ul>

## Activity Flow

The Project implementation Review Gate Activity Flow shows each major activity, the tools for use during this stage of project delivery, required approvals, and required submittals. Refer to the Framework Quick Reference to identify required approval authority for each deliverable.



# Review Gate: Benefits Realization

## Description

The Benefits Realization Review Gate includes evaluation of all project outcomes, specifically addressing whether the desired benefits, goals, and objectives stated during the Business Justification Review Gate and refined in the Project Planning Review Gate were achieved. Conclusions about whether the delivered product and/or service solved the business problem are drawn.

A post-implementation review of business outcomes is conducted. By conducting a review of project delivery, agency heads obtain useful information on technology investment decisions. The review results can help agencies refine planning, estimation, forecasting, and implementation processes. A systematic post-implementation process allows project teams to identify obstacles for better planning and overall project delivery.

A comparative analysis of expected benefits and outcomes to realized benefits and outcomes from a business perspective is completed. Business goals, objectives, and associated performance measures identified during project justification and refined during project planning are reviewed. Quantitative and qualitative benefits are also reviewed.

A comparative analysis of expected outcomes to realized outcomes from a project delivery perspective is included. Quality, scope, cost, and schedule outcomes identified during project planning and managed throughout project delivery are reviewed.

Lessons learned at the agency and state level are identified as part of the post-implementation review. These lessons learned can be used to improve agency and/or state level processes (e.g., project management practices, Texas Project Delivery Framework, Quality Assurance Team) at a broader level than the project level.

Post-implementation review results must be finalized, approved at the agency level, and forwarded to the QAT within six months after the project is closed.

The agency head must approve the business outcomes at that specific point after project delivery. Approval indicates the agency head agrees with the stated benefits realization results.

## Key Questions

Key questions that must be answered during Benefits Realization include:

- What were the expected benefits and business outcomes that were not realized?
- What were the expected performance standards that were not satisfied?
- What are the lessons learned and process improvement recommendations based on this experience?

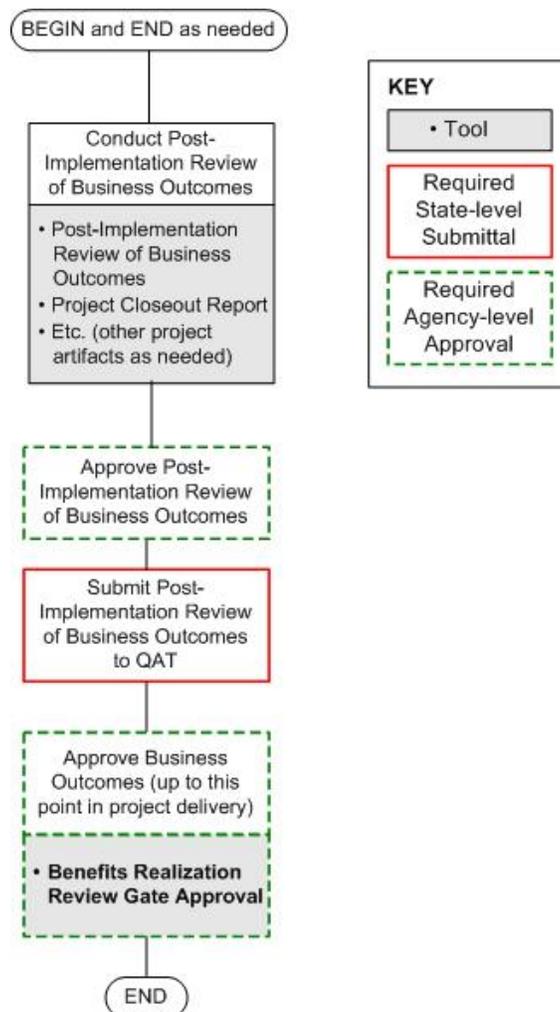
## Tools and Deliverables

Several deliverables are completed during the Benefits Realization Review Gate. Templates are provided as tools during development of these deliverables.

Deliverable	Description	Tools
Post-Implementation Review of Business Outcomes	Documents review of project success based on evaluation of whether the product and/or service met the stated business goals and objectives, including whether the anticipated business outcomes were achieved.	<ul style="list-style-type: none"> <li>• Post-Implementation Review of Business Outcomes Instructions</li> <li>• Post-Implementation Review of Business Outcomes Template</li> </ul>
Benefits Realization Review Gate Approval	Agency head approval of business outcomes at that specific point during project delivery.	<ul style="list-style-type: none"> <li>• Review Gate Approval Instructions</li> <li>• Review Gate Approval Template</li> </ul>

## Activity Flow

The Benefits Realization Review Gate Activity Flow shows each major activity, the tools for use during this stage of project delivery, required approvals, and required submittals. Refer to the Framework Quick Reference to identify required approval authority for each deliverable.



# Appendix A – Framework Graphical Overview

REVIEW GATES				
BUSINESS JUSTIFICATION▶	PROJECT PLANNING▶	SOLICITATION AND CONTRACTING▶	PROJECT IMPLEMENTATION▶	BENEFITS REALIZATION
DESCRIPTION				
Initial review gate for selection and approval of the project	Planning for both project management and technology-related activities and deliverables	Development and management of technology solicitations and contracts	Development, testing, and deployment based on project planning deliverables	Final review gate for measurement and evaluation of all project outcomes
REQUIRED TOOLS				
<ul style="list-style-type: none"> <li>• Business Case (submit to QAT)</li> <li>• Business Case Workbook (submit to QAT)</li> <li>• Statewide Impact Analysis (submit to QAT)</li> <li>• Business Case Checklist</li> <li>• Business Case Workbook Checklist</li> <li>• Project Charter</li> </ul>	<ul style="list-style-type: none"> <li>• Project Plan (submit to QAT)</li> <li>• Monitoring Report (submit to QAT)</li> </ul>	<ul style="list-style-type: none"> <li>• Technology Addendum – CPA Contract Management Guide</li> <li>• Acquisition Plan (submit to QAT)</li> <li>• Solicitation information via CPA CATRAD application (submit to CAT)</li> <li>• Contract Amendment and Change Order Approval (submit to QAT if contract costs increase above 10%)</li> </ul>	<ul style="list-style-type: none"> <li>• Acceptance to Deploy</li> <li>• Project Closeout Report</li> </ul>	<ul style="list-style-type: none"> <li>• Post-Implementation Review of Business Outcomes (submit to QAT)</li> </ul>
SUPPLEMENTAL TOOLS (Submit to QAT if marked (*))				
	<ul style="list-style-type: none"> <li>• Project Plan:               <ul style="list-style-type: none"> <li>- Project Contact Register</li> <li>- Work Breakdown Structure</li> <li>- Change Control Request</li> <li>- Issues Tracking</li> <li>- Project Status</li> <li>- Quality Register (*)</li> <li>- Quality Project Areas, Categories, and Measures</li> <li>- Communication Register (*)</li> <li>- Configuration Items Register (*)</li> <li>- Performance Register (*)</li> <li>- Performance Project Areas, Categories, and Measures</li> <li>- Risk Assessment Tables</li> <li>- Risk Register (*)</li> <li>- Risk Checklists</li> <li>- Risk Item</li> <li>- Risk Status</li> </ul> </li> </ul>			
AGENCY HEAD APPROVAL				
Business Justification Review Gate Approval	Project Planning Review Gate Approval	Solicitation and Contracting Review Gate Approval	Project Implementation Review Gate Approval	Benefits Realization Review Gate Approval

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## Appendix B – Glossary

The Framework uses the following terms:

**agency:** as defined in Texas Government Code, Chapter 2054, a department, commission, board, office, council, authority, or other agency in the executive or judicial branch of state government that is created by the constitution or a statute of this state, including a university system or institution of higher education

**agency head:** top-most senior manager with operational accountability for an agency, such as an executive director, commissioner, university president, university chancellor, comptroller, or board president

**artifact:** any item created during project delivery such as meeting minutes, contract, Project Plan, and deliverables

**baseline:** a group of products and/or deliverables that have been formally accepted at a specific point within the project; serves as a basis for further work and can be changed only through formal change control processes

**business:** activities that achieve the core mission(s) of the organization. The activities include providing direct services to constituents, and indirect support such as accounting and information resources management

**business outcomes:** results of the project that improve the ability of the organization to achieve its mission. Outcomes may include things such as fulfilling broad organization goals, attaining specific operational objectives, and providing specific, measurable operational improvements.

**CAT:** Contract Advisory Team

**CATRAD:** CPA's Contract Advisory Team Review and Delegation application used to submit solicitation information

**Change Control Board (CCB):** group of stakeholders responsible for evaluating and approving proposed changes to project baselines such as project scope and budget

**change management:** process and procedures to identify, propose, document, review, evaluate, authorize, and track any changes to project baselines such as project scope and budget changes

**communication management:** subset of project management that includes the processes for formal management of project communication among stakeholders

**configuration control:** an element of configuration management that consists of the evaluation, coordination, approval, and implementation of changes to configuration items

**Configuration Control Board (CCB):** group of stakeholders responsible for evaluating and approving proposed changes to configuration items, and for ensuring implementation of approved changes

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**configuration identification:** element of configuration management that consists of selecting the configuration items to place under configuration management

**configuration item:** work product that is placed under configuration management and treated as a single entity

**configuration management:** subset of project management that includes the processes for formally identifying and controlling project configuration items

**configuration status accounting:** element of configuration management that consists of recording and reporting information needed to manage a configuration effectively

**CPA:** Comptroller of Public Accounts

**Executive Sponsor:** a non-IT senior-level manager who oversees development of specific Framework deliverables from a business perspective and who certifies the accuracy, viability, and defensibility of the business-related content of those deliverables

**Framework Extensions:** guidance and tools for various types of technology projects and project delivery environments that interpret and extend the base set of practices already found in the Framework

**functional configuration audit:** audit conducted to verify that the development of a configuration item was completed satisfactorily, that the item achieved the performance and functional characteristics specified in the requirements, and that its operational and support documents are complete and satisfactory

**LBB:** Legislative Budget Board

**major contract:** contract that has a value of at least \$1 million during the original term of the contract, not including any renewal periods

**major information resources project:** as defined in Texas Government Code, Chapter 2054, any information resources technology project identified in a state agency's biennial operating plan whose development costs exceed \$1 million and that:

- requires one year or longer to reach operations status;
- involves more than one state agency; or
- substantially alters work methods of state agency personnel or the delivery of services to clients;

and any information resources technology project designated by the legislature in the General Appropriations Act as a major information resources project

**PDF:** Portable Document Format; a standard for representing electronic documents, allowing them to be transmitted and reproduced accurately

**performance management:** subset of project management that includes the processes for measuring the performance of the product and/or service delivered by the project

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**physical configuration audit:** audit conducted to verify that a configuration item, as built, conforms to the technical documentation that defines it

**project:** as defined in Texas Government Code, Chapter 2054, a project means an initiative that provides information resources technologies and creates products, services, or results within or among elements of a state agency; and is characterized by well-defined parameters, specific objectives, common benefits, planned activities, a scheduled completion date, and an established budget with a specified source of funding

**project costs:** as defined in the Information Technology Detail (ITD) instructions, a total of all costs that are associated with a project, including all Information Resources (IR) internal staff costs and all IR procurements, whether purchased, rented, leased, leased for purchase, or licensed, for all hardware, software, and services, regardless of source of funding or method of procurement. The project life-cycle costs include all development costs until a project is placed in production. End-user staff members advising the project team on user requirements are not included in the project cost unless more than half of their time is devoted to the project.

**project management practices:** as defined in Texas Government Code, Chapter 2054 and Texas Administrative Code, Chapter 216; documented and repeatable activities through which a state agency applies knowledge, skills, tools, and techniques to satisfy project activity requirements

**QAT:** Quality Assurance Team

**quality management:** within the context of a project, a subset of project management that includes the processes required to help ensure the project will satisfy the business goals and objectives; it consists of quality planning, quality assurance, and quality control

**required tool:** a tool included or referenced within the base Framework that must be used/completed for major information resources projects and for certain major contracts

**review gate:** a distinct division of project effort for a specified purpose that involves successful completion of specific deliverables in order to obtain agency head approval before proceeding with the remaining project activities. Each review gate is intended to synchronize the state's investment in a project based on approval of business outcomes at a specific point during project delivery.

**risk management:** subset of project management that includes the processes for identification, analysis, and responses to project risks

**SAO:** State Auditor's Office

**scope:** within the context of a project, the sum of the products and services to be provided by the project

**SDLC:** System Development Life Cycle

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**searchable PDF:** a file format that is an image of the original document with a hidden, searchable text layer. Unlike a normal PDF file that can be edited in Acrobat, a searchable PDF file can only have the text searched from within Acrobat or other searching software.

**stakeholder:** a group or individual who can affect or who is affected by the success of a project

**supplemental tool:** a tool that agencies must use or replace with an equivalent tool that serves the same purpose and intent. When an equivalent tool is used, it must include, at a minimum, the information identified in the Framework supplemental tool it is replacing. Regardless of whether a Framework supplemental or agency-equivalent tool is used, certain project deliverables must be submitted.

**Technology Sponsor:** an information technology senior-level manager who oversees development of specific Framework deliverables from a technology perspective, who certifies the accuracy, viability, and defensibility of the technology-related content of those deliverables, and who functions as the IRM or a person designated by the IRM.

**transmittal email:** the vehicle for submitting Framework deliverables and attachments (see Appendix D for a sample transmittal email).

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## Appendix C – Frequently Asked Questions (FAQs)

### **Does the Framework apply to all major contracts, in addition to major information resources projects?**

The Framework is required for major information resources projects and certain major contracts as described in the CPA Contract Management Guide. Note that a technology procurement project involving a major contract may or may not meet the threshold for a major information resources project. In either scenario, the Framework is required.

### **What happened to Quality Assurance (QA) Guidelines?**

Use of DIR QA Guidelines, which established DIR model quality assurance guidelines for agencies to develop their own internal quality assurance procedures, was superseded by the legislative intent of House Bill 1789. House Bill 1789, adopted in the 80th Texas Legislature Regular Session (2007), directed DIR to establish by rule guidelines for project management practices. Agencies must manage information resources projects based on project management practices that meet specific criteria as defined in Texas Administrative Code, Chapter 216.

### **Does the Framework provide a project management methodology?**

The Framework provides guidance to agency heads by presenting fundamental information on delivery of technology projects to help them assess the agency's ability to manage state investments. The Framework functions in concert with existing governance structures and project management processes established at the agency level. The Framework also provides a toolset for practitioners directly involved in delivery of the project.

### **Are the Framework tools based on industry standards?**

The Framework tools, when applicable, are based on standards developed by organizations such as the Institute of Electrical and Electronics Engineers (IEEE), Project Management Institute (PMI), and International Organization for Standardization (ISO).

### **What distinguishes Framework Extensions from the Framework?**

Framework provides a base set of practices for project delivery. Framework Extensions build on that base set by providing guidance and tools for various types of technology projects and project delivery environments that interpret and extend the base set of practices already found in the Framework.

### **Does the Framework specifically address security, e-records, accessibility, privacy, or other compliance/technical considerations that impact delivery of a project?**

The Framework provides tools and guidance whose use may be adapted to fit individual project needs. Identification and management of specific requirements in areas of the aforementioned compliance/technical considerations are dealt with on a project-by-project basis. Sound industry practices indicate these requirements must be identified and addressed throughout the project

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delivery. A future iteration of the Framework will address integration of various compliance/technical considerations with project delivery.

**Is the Framework currently required for use by agencies?**

Refer to the Framework Quick Reference to identify which Framework deliverables are required. Use of the Framework would help to establish a consistent, statewide method for project selection, control, and evaluation.

**Can the Framework be used as is for all projects?**

Various types of technology projects may require different practices, processes, and strategies to successfully deliver the expected business outcomes. The Framework does not focus on specific types of project management processes and life cycles commonly used to deliver technology projects. Instead, the Framework provides tools and guidance that may be adapted to fit individual agency and project needs.

**Can the Framework be used for all projects?**

The Framework is intended for use during delivery of major information resources projects as defined in Texas Government Code, Chapter 2054, and certain major contracts (refer to the CPA Contract Management Guide). The Framework can be used for smaller size projects as deemed appropriate by the agency.

**Can the Framework be used if agency project management practices do not exist?**

The Framework promotes use of agency project management practices for delivery of projects, especially for delivery of major information resources projects and technology procurement projects that involve certain major contracts (refer to the CPA Contract Management Guide). The extent and formality of these practices may vary from agency to agency. If these industry practices do not exist to some extent, the agency may find it difficult to effectively assess business outcomes during each of the review gates.

**Is the 10 percent contract cost threshold based on the initial contract amount or an amended contract amount?**

The contract cost threshold is based on the initial contract amount.

**What happens if a project does not meet the QAT threshold for a major information resources project after the project has been initiated?**

Nothing – required Framework deliverables must still be used and submitted for the project.

**What happens if a project meets the QAT threshold for a major information resources project after the project has been initiated?**

The agency must amend its Biennial Operating Plan and proceed as described in Submission Requirements.

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### **What happened to the Communication, Configuration, Performance, and Risk Management Plans?**

Separate plans (tools) for communication, configuration, performance, and risk management were eliminated in Framework Version 2.0. Data initially defined and captured in those four tools were included in the Project Plan as a single project management tool.

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## Appendix D – Sample Transmittal Email

From: Project Manager 1

To: Quality Assurance Team <qat@lbb.state.tx.us>

Subject: Submission of the Business Case and Statewide Impact Analysis (SIA) for the Case Management Modernization Project (CMMP)

Attachments: CMMP Business Case – PDF file  
CMMP Business Case Workbook – Excel file  
CMMP Statewide Impact Analysis – PDF file  
Agency Head Approval of CMMP Business Case and SIA – email  
Executive Sponsor Approval of CMMP Business Case – email  
Executive Sponsor Approval of CMMP SIA – email

Dear Quality Assurance Team (QAT):

Attached please find the Framework deliverables Business Case version 1.0 and SIA version 1.0 for the Case Management Modernization Project (CMMP), submitted to the QAT in compliance with Texas Project Delivery Framework guidelines.

All required agency signatories have reviewed and approved these deliverables.

- The approvals of the Agency Head and Executive Sponsor are documented through the attached approval tracking emails.
- The approvals of the Technology Sponsor, Project Manager, and Information Security Officer are documented by their wet-ink signatures on the scanned cover pages of each deliverable.

Please let me know if you have any questions.

Best regards,  
Project Manager 1  
Division XYZ  
Agency ABC