OAKS Issues Management Plan

Prepared

for

The State of Ohio

OAKS Project

Prepared By

Accenture

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	Originator:	*Andrew W. Gordon*
Contact Information:	Author:	*Andrew W. Gordon*
	Phone:	*614-387-3001*
	E-mail Address:	*Andrew.gordon@oaks.state.oh.us*

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Deliverable Tracking

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1 Introduction

1.1 Document Overview

Issue Management is the process for identification, analysis, resolution, reporting, and escalation of the program's issues. The process will enable the OAKS Program to create strategies to effectively address potential barriers to program success.

Issue Management should be carried out at all levels within the program: team, release, and program, and the issue management process should ensure that issues are resolved at the appropriate level and communicated as appropriate.

Issues are scope/scale items, significant design or technical items that the Release teams addresses and for which resolutions are required. The issue management tool is not meant to capture every question that arises during the design, every to-do, or every discussion within the team.

Issues should be:

- Resolvable with action items
- Questions or problems that span teams, releases or external groups
- Proactively discovered during the course of development
- Design questions that will take several days to resolve or that won't be addressed until a later phase of the project but need to be documented
- Any question or problem related to scope/scale

Issues should NOT be:

- Questions/suggestions for other team members that might be resolved quickly
- Tasks that are already listed in the work plan and scheduled to be completed
- Anything that should be documented elsewhere (meeting minutes, gaps, tasks, etc.)

1.2 Objectives

Successful management of programs always requires informed, proactive and timely management of issues. The objectives of the OAKS Program's Issue Management approach is to:

- Ensure urgent issues (those impacting service, schedule, costs, performance, and/or quality) are quickly identified in order to communicate, proactively resolve, and escalate issues in a timely manner
- Facilitate attention to key issues impacting the program
- Produce meaningful information that allows management to focus efforts on the "right" issues with an effective coordination of effort
- To ensure all stakeholders are informed and, if applicable, participate in the resolution
- To record an audit trail of discussions and resolutions of program issues

Program Management will operate a process to enable timely resolution of team, release, or program impacting issues.

1.3 Scope

The scope of the effort includes managing those issues that have the potential to impact the success of the OAKS Program. Examples of such include issues that cannot be resolved by one project team, and concerns that are controversial between areas and/or important to a large group within the firm.

1.4 Guiding Principles and Success Factors

In order to be successful, the issue management approach will be managed with the following guiding principles:

- Issues originate anywhere in the business and may impede progress unless resolved (can be identified by any team member.)
- Distinguish team-specific issues vs. release-specific issues vs. program level issues and escalate appropriately
- Ensure release and team issues are addressed internally (managed within the project or team, with escalation process defined.)
- Monitor issues requiring executive attention and assign priority based on criticality to the program
- **If it's not documented in the Issue Management tool, it is not an issue**

The following critical success factors are imperative to ensure effective management of issues.

- Clear issue identification, logging, communication, and escalation procedures
- Common definition and understanding of issues
- Commitment by program directors and Project Team Leads to execution of issue resolution at team, release and program level
- Commitment by all team members to resolve issues as quickly as possible

1.5 Potential Obstacles

As with all processes, there are potential obstacles that may inhibit the success of the process. Here are some potential obstacles as well as means to mitigate their impact.

- Issue tool/repository becomes a "bottomless pit" (issues identified but not resolved or resolutions not implemented) → issue metrics track overdue issues and include in Program Performance Reports
- Lack of ownership of issues → establish and agree to "owner" in issue meeting, assign a single owner with responsibility (even if several people need to assist in defining the resolution)
- Unrealistic due dates established → due dates for issues reviewed and confirmed with owner when issue is assigned

Issue resolution not agreed to by impacted parties or executives → resolutions approved by business owner prior to closing issues; high priority issues reviewed with executives for approval

1.6 Responsibility For the Plan

The Issues Management Plan was prepared by the OAKS Quality Management Lead (Andrew Gordon), who is also responsible for updating it with any significant changes, and making sure that all project members adhere to all issue management processes.

1.7 Roles and Responsibilities

The Program Management Office (PMO) is responsible for the design and oversight of the issue resolution process. The key players include:

1.7.1 Issue Database Manager (PMO)

- Generate issue reports for Issue meeting(s) and ad-hoc requests
- Monitor the status of issue resolution
- Communicate status to issue originators and issue "resolvers" (owner(s))
- Execute the issue closure process

1.7.2 Functional Team Leads

- Clarify, consolidate and document issues
- Maintain data in issue management tool
- Establish initial priority, owner, and target due date
- Establish priority of issues and define target dates
- Establish owner of issue and confirm target dates
- Identify issues for escalation to leadership team
- Work with other teams, and Project Team Leads to facilitate solutions to issues which are in jeopardy of not meeting target dates

1.7.3 Project Team Leads

- Review status, priority, owner, and completeness of issues
- Work with Team Leads to facilitate issues resolution on an as-needed basis
- Escalate issues as required
- Approve resolutions
- Support resolution implementation
- Assist in cross-organization or controversial issue resolution

1.7.4 Program Executives

- Approve resolutions for escalated issues
- Support resolution implementation for escalated issues
- Assist in cross-organization or controversial issue resolution

2 Issue Management Process

The issue management process will facilitate focused issue resolution, monitor progress and highlight risks. The issue management process begins when an issue is identified and is entered into the issue management tool, and ends when an issue is resolved, approved, published and closed. A detailed view of the issue management process is depicted as follows:

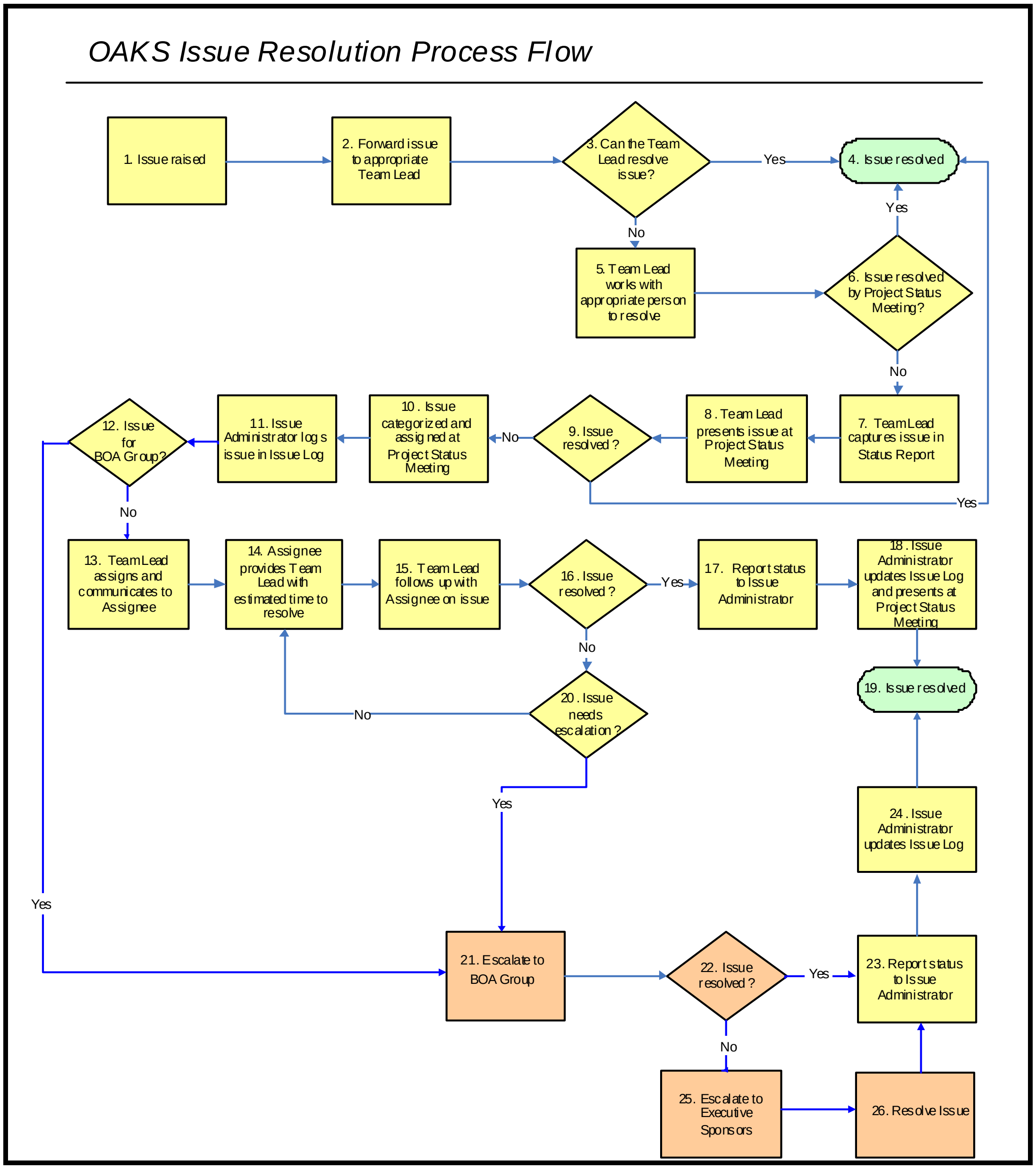

Figure 1 - Issues Management Process

2.1 Issues Resolution Procedure:

1. Any member of the project team raises the issue.

2. The identifier communicates the issue to his/her respective Team Lead. The communication can be in any form - verbal or written. Use the following chart to determine the appropriate Team Lead.

Function	OAKS/Accenture Team
Program Management	David White/John Hrusovsky
HCM Functional	Chuck Burkhart/Rajeev Sharma
Financials Functional	Rod Barnaby/Susan Tangren
Technical	Brian Welch/Lee Hoelscher
Change Management	Steve Lampe/Brenda Spite

Table 1 - State and Contractor Project Team Leads

3. If the respective Team Lead can resolve the issue, he/she will resolve the issue immediately.

4. The issue is resolved.

5. If the respective Team Lead cannot resolve the issue, he/she will work with the appropriate person or other Team Lead to assist in resolving the issue.

6. Every week (per the project team leads status meeting schedule), a standing Project Status Meeting will be held where outstanding issues will be documented and discussed. If the issue can be resolved before the team lead's Project Status Meeting, the issue is closed and will not be presented at the meeting.

7. If the issue is not resolved by the standing team lead's Project Status Meeting, the Team Lead will capture the issue in their respective Team Status Report.

8. The Team Lead will present the issue at the Project Status Meeting.

9. If the issue can be resolved in the Project Status Meeting, the issue is closed.

10. If the issue cannot be resolved in the Project Status Meeting, the issue will be categorized and assigned at the meeting.

11. The Issue Administrator will log the unresolved issues from the Project Status Meeting, and with the responsible Team Lead, enter the appropriate data in the Issue Log.

12. The responsible Team Lead will determine if the issue is an issue for the BOA Group. Proceed to Step 21 if determined an issue for BOA Group.

13. If the issue is not for the BOA Group, the responsible Team Lead will assign the issue to one of their team members and communicate with the team member of his/her assignment.

14. The Assignee will provide the Team Lead an estimation of the time it will take to resolve.

15. The responsible Team Lead will follow up with the Assignee base on the estimated time to resolve.

16. The Assignee and Team Lead will determine if the issue is resolved.

17. If the issue is resolved, the Team Lead will report the resolved status to the Issue Administrator.

18. The Issue Administrator will update the Issue Log and present the current status of all issues (newly opened and closed within the week) at the weekly Project Status Meeting.

19. The issue is resolved and closed.

20. If from Step 16, the issue is NOT resolved, the Team Lead will determine whether the issue should be escalated. If the issue should not be escalated and a new estimated time for resolution must be made, the process will go back to Step 14 where the Team Lead will obtain a new estimate from the Assignee. If the issue must be assigned to a different person, the responsible Team Lead will communicate the new assignment to another person on his/her team or to another Team Lead.

21. If the issue is to be escalated, the first level of escalation will be to the OAKS BOA Group.

22. Once the OAKS BOA Group has addressed the issue, it will be determined whether they are able to resolve the issue.

23. If the issue is resolved by the OAKS BOA Group, a member from that team will report the resolved status and resolution to the Issue Administrator.

24. The Issue Administrator will update the Issue Log and as Step 19 indicates, the issue is resolved and closed.

25. If from Step 22, the OAKS BOA Group is unable to resolve the issue, they will escalate the issue to the Executive Sponsors.

The Executive Sponsors are the final point of escalation and must make a decision to resolve the issue. Once the issue is resolved by the Executive Sponsors, a member of the Executive Sponsors will communicate the resolution to the OAKS Program Management.

An issue may be entered into the issue management tool by any team member. All known information should be captured up front. If unsure about a particular field (owner, due date, assigned to, etc.), leave it blank. The Team Leads or Project Team Leads will fill in the missing information.

Each of the Project Team Leads will facilitate weekly meetings to discuss status of issues in progress, to confirm owners, due dates, and priority of new issues, and review/approve proposed resolutions of issues. Typically these discussions will occur during the Project Team Lead's status meeting where issue discussion is a routine part of the meeting agenda. The attendees of the meeting will include the Project Team Leads, the Team Leads and other team members as necessary.

Those issues requiring executive approval (based on their priority) will be reviewed/signed-off by the Program Directors at a separate meeting, facilitated by the Project Team Leads. The PMO will publish all resolved issues to ensure that the program is aware of the resolution.

2.2 Time Frame for Resolution

In order for the OAKS project team to remain focused on project activities it is imperative that all issues be resolved in a timely manner. In order to facilitate the issue resolution process the following time lines for issue resolution have been developed.

Activity	Responsibility	Time to Complete
Issue Documentation	The person who identifies an issue.	One Business Day
Assignment	Project Management	One Business Day
Documentation and Recommendation Development	Assignee	Determined by Project Management when assigned. Generally, this should be completed in 3 to 5 Business Days. The actual duration of this activity will be based on the priority and current task load of the team members.
Project Team Decision	Team Leads and Project Management	The options available for this are to accept the recommendation or refer the issue to the BOA Group. Generally this review process should be completed in 2 to 3 Business Days.
BOA Group	BOA Group	Determined by the OAKS program director. Generally this should be completed within 5 Business Days.
Executive Sponsors	Executive Sponsors	Determined by the Executive Sponsors. Generally this should be completed within 5 Business Days.

Table 2 - Time Frame for Resolving Issues

In the event that the recommendation is not approved, any resulting rework or delays that result will be considered out-of-scope and subject to the change order process.

In the event that any decision made by the OAKS PMO team, BOA Group, or Executive Sponsors is later reversed, any resulting rework will be considered out-of-scope and subject to the change order process.

2.3 Issues Data

The following is the issues data that is captured by the issues management tool.

Contact/Assignment Information

Data Element	Description
Program	This field defaults to the OAKS Program
Project	This field defaults to OAKS Systems Integration
Release	This field specifies the specific sub-project (release of the OAKS Systems Integration phase). Valid values are: • Change Management • Financials 1 • Financials 2a • Financials 2b • HCM 1 • HCM 2 • Technology • EPM
Opened Team	Valid values are: • Change Management • Financials 1 • Financials 2a • Financials 2b • HCM 1 • HCM 2 • Technology • EPM
Opened By	This field specifies the person who raised the issue.
Opened Date	This field specifies the date the issue was created
Owner	This field specifies the person who has been assigned ownership of the issue
Assigned Team	This field specifies the team that is ultimately responsible for the issue's resolution. The team specified here should be the team where the issue owner works. Valid values are:

	• Change Management • Financials 1 • Financials 2a • Financials 2b • HCM 1 • HCM 2 • Technology • EPM
Assigned to	This field specifies who issue resolution has been delegated to. The issue owner determines who to assign the task of issue resolution.
Assigned Date	This field specifies the date when the issue was assigned to someone for resolution.
Due Date	This field specifies the projected issue resolution date.
Deferred to Date	If it has been determined that the issue resolution is to be delayed to a later date, this field specifies the deferred to date.

Table 3 - Issues Data (Contact & Assignment Information)

Issue Details

Data Element	Description
Issue Number	This is the system generated issue number.
Issue Type	This field specifies what type of issue is being created. Valid values include: • Cross Function • Policy • Regulatory • Other
Status	This field specifies the issues current status. This valid statuses are listed in order below: • New – status of issue upon creation • Approved – status of issue once the Project Team Lead determines it is a valid issue • Assigned – status of issue once it has been assigned to someone for resolution • Deferred – status of issue if it has been determined that issue resolution is being delayed • Closed – status of issue when issue has been resolved • Re-Opened – status of issue if a closed issue need to be reopened.

Priority	This field is used to specify the importance of the issue. The lower the number the more important the issue. Valid values include: 1 – Urgent 2 - High 3 – Medium 4 – Low
Escalation Level	Valid values include: • Directors • Management • Team
Description	This field is used to describe in detail the description of the issue.

Table 4 - Issues Data (Issues Details)

Resolution

Data Element	Description
Resolution	This field is used to describe in detail the steps taken to resolve the issue.
Approver	This field specifies who approved the issue's resolution strategy.
Approved Date	This field specifies the date the resolution was approved.
Reviewer	
Review Date	This field is used to document the date the issue was marked as closed.
Submit Date	
Closed By	
Closed Date	This field is used to document the date the issue was marked as closed.

Table 5 - Issues Data (Issues Resolution)

2.4 Issue Status

Issues will be maintained in the Issue Management tool and will have predefined statuses. **The issue status should only be modified by the person to whom it was assigned**.

All issues have the initial status "New." Once work has begun on the issue, the status should be changed to "Assigned" (To change the status of an issue, select the desired status from the Action drop down list box. Click OK to confirm the change.) After the resolution is entered, the issue status should be changed to "Approved". Then, assuming that the resolution is accepted, the issue status should be changed to "Closed." The status can be changed to "Re-opened," or "Deferred," at any time in the process, as needed. In addition, an issue can also be set back to "Open" at any time.

2.5 Issue Categorization

Issues will be categorized into four levels of importance, Urgent, High, Medium, and Low, based on their impact to the Program goals and objectives, timeline and costs. Issues that are categorized as Urgent will be approved by the Project Team Leads and will be included in Program Performance Reports.

- 1. Urgent – "I can't move forward until this issue is resolved."
- 2. High – "I'm fine for right now, but unless this issue is resolved by the due date, I won't
  3. be able to move forward."
- 4. Medium – "I'm fine for the right now, but this may impact my ability to move forward in the near future."
- 5. Low – "This issue is not impacting my ability to move forward."

2.6 Issue Escalation Process

The Functional Team Leads and Project Team Leads will proactively manage open issues to facilitate their timely resolution. The Project Team Leads will review issues on a regular basis with their respective Project Manager. Special focus will be given to issues meeting the following criteria:

- Urgent issues
- Past due issues (Urgent, High, Medium and Low)
- High, Medium and Low importance issues with due dates within the next month

Issues will be escalated to the Program Directors based on their level of priority and impact to the program. The criteria and timeframe for this escalation will be defined by the Program Directors and Executive sponsors. The following criteria will be used in escalating issues to the Executive sponsors:

- All Urgent issues
- Issues which are beyond the authority of an individual program and require a consensus decision
- Owner of the issue is not clear or cannot be established
- Issues which are not being properly addressed and may impede the progress of the Program (Such issues generally affect the program scope, costs and timeline.)

The Executive sponsors will evaluate the issue and determine the appropriate steps to ensure that the issue is resolved. If deemed necessary, the issue will be escalated to the Steering Committee. Only issues that could materially impact the program objectives, scope, costs and timeline will be escalated to the Steering Committee.

2.7 Issue Reporting

There are several pre-defined queries and reports that are accessible to the entire team. Users can create their own reports by executing customized full text searches in the issues management tool. The list of pre-defined Issue Reports are as follows:

1. All issues ranked by severity
2. TBD

3 Issues Management Tool

The Issues Management tool used for the OAKS Program is BI Designer. BI Designer is also used for configuration control of deliverables, records management, Risks, CRs and SIRs. Issues are processed (using BI Designer) the same as risks, CRs, and SIRs, so if you are familiar with using BI Designer for those functions, you can apply them to issues as well.

Please note that BI Designer requires Internet Explorer version 6.0, SP2, and a one-time download and installation of content management applets. Therefore, users must have install privileges on their desktop PC in order to successfully execute the initial configuration of BI Designer.

The path to issues in BI Designer is as follows: *OAKS\Cabinets\Project Management\Issues*