King County

ABT PROGRAM

Accountable Business Transformation

ABT Program

Issue Management Plan

May, 2008

Revision History

Version	Prepared by	Date	Reviewed by	Approved by	Note
Original v.1	Keith Pace – CIBER	May 13, 2008	Marjorie Mills	Manny Ovena	

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1.0 ISSUE MANAGEMENT OVERVIEW

1.1 ISSUE MANAGEMENT DEFINED

An issue is a problem, concern, question, roadblock, or activity that occurs during ABT Program activities and subprojects that:

- Must be resolved before tasks can begin or be completed;
- Requires some level of action to resolve;
- Is not addressed by a planned activity; and

- Requires resolution within a prescribed timeframe.

Issue management is a process for reviewing and addressing issues in a consistent and disciplined manner in order to control schedules, costs, and program quality. The issue management process ensures that concerns, questions, and unplanned requests are properly defined, escalated for management attention, resolved efficiently, and when necessary incorporated within the scope of work of the ABT Program.

Issue management must handle technical problems or issues, as well as process, organizational, and operational issues. The process considers:

- Adequate information gathering and communications (including a web enabled tool to capture, distribute and communicate information across networks and locations for all ABT implementation (internal & external) project team members)
- Responsibility for researching or resolving issues
- Appropriate policies and procedures for issue escalation
- Issue management, control, and tracking procedures
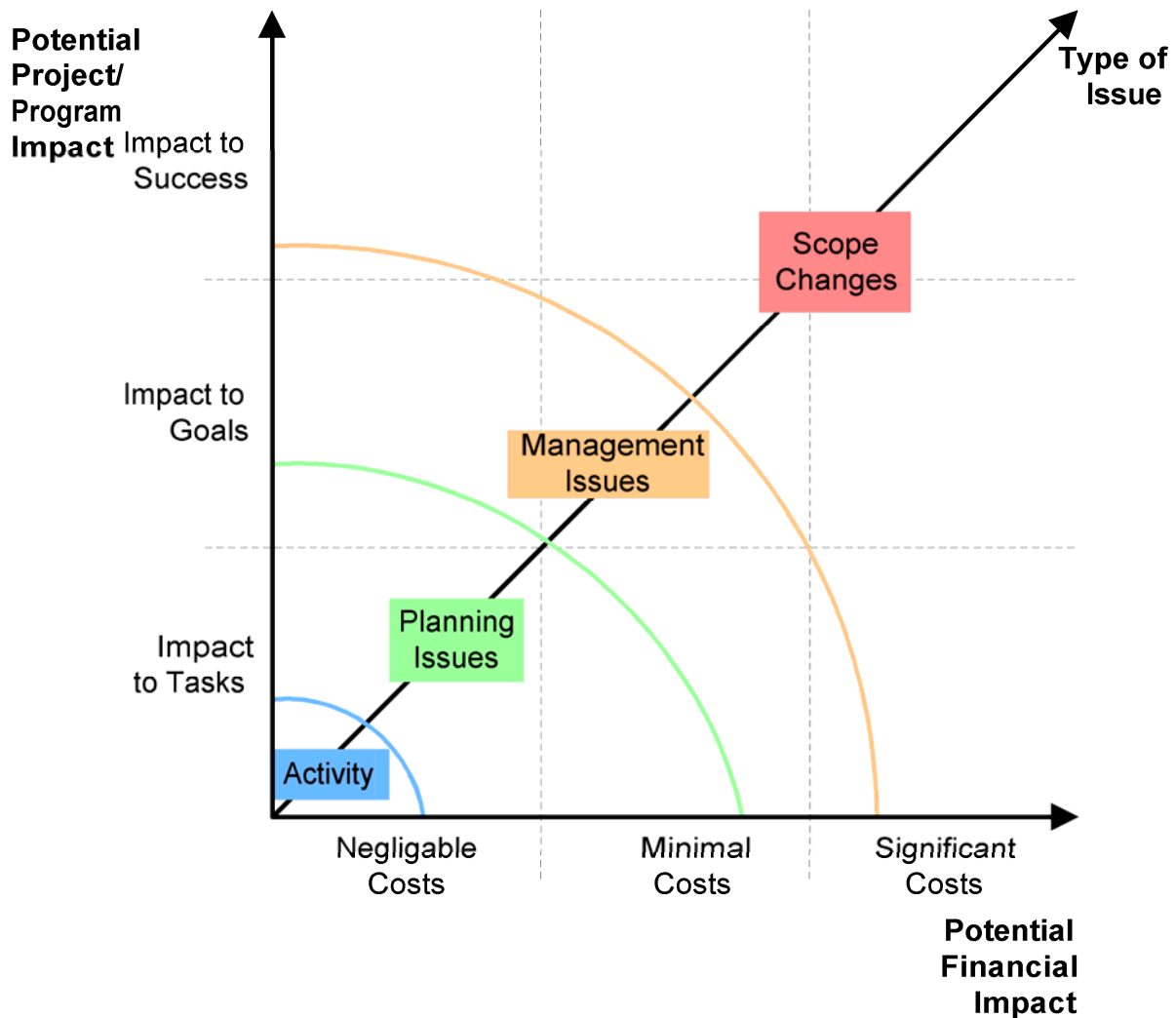
1.2 TYPES OF ISSUES

There are five levels of issues that may arise during any effort, which are generally defined based on the potential impact to the program/project, resources required to address the issue, and authority required to determine and approve the resolution:

1. Activity Issues – Activity issues relate to specific tasks being performed by the project. Such issues are either a step that has been overlooked or unplanned, or to a task that has been completed but requires a minor correction. Often, these issues can be immediately resolved by an individual who is performing a task, and are minor in their impact to a project. In such cases, reporting may take place after-the-fact in order to accurately capture work performed.

2. Planning Issues – Planning issues relate to project work or tasks that are significant enough to impact the work plans of the project. Resolution often requires the creation and assignment of an action item, and may require new tasks to be included in the plan or may impact

operations. Such issues require tracking and reporting, but resolution can usually be determined and managed by the project/program manager and team leads. ***These issues represent the majority of items administered within the issue management procedures.***

3. <u>Management Issues</u> – Management issues are broad concerns regarding general direction of a group of tasks, or the strategy and approach being taken to achieve some aspect of the program. These issues typically require management level discussion in order to resolve.

4. <u>Scope Changes</u> – Large issues that require substantial resources to address and which pose a risk to program success if not addressed – usually represent actual changes to the project/program scope. When such an issue is identified, it should be managed following the scope management procedures.

5. <u>Implementation & Testing Issues/Defects</u> – Designing and testing the Oracle EBS and PeopleSoft applications will result in software defects, coding defects, design issues and process issues that, if not adequately addressed, will adversely affect the ABT implementation and/or testing schedule. Issues and defects are expected and are planned for, but the project plan also presumes an efficient issue management/resolution process in order to maintain expected project performance.

The following diagram graphically represents the relationship between impact, costs, and types of issues.

Potential Project/ Program Impact — vertical axis labeled (top to bottom): Impact to Success, Impact to Goals, Impact to Tasks

Horizontal axis labeled: Negligable Costs, Minimal Costs, Significant Costs — **Potential Financial Impact**

Diagonal axis labeled: **Type of Issue**

Zones (inner to outer): Activity, Planning Issues, Management Issues, Scope Changes

2.0 ISSUE CAPTURE AND INITIATION

2.1 ISSUE IDENTIFICATION AND DESCRIPTION

Issues that develop during the program/project need to be identified, and captured in a manner that allows the ABT Program Management Office (PMO) to manage the issues, and for team members to know that they will be addressed. Issues are initially captured when a program participant completes an Issue Recording Form (Appendix A) and submits it to the Program Office. A form template will be available on the ABT Program website.

Note, the use of a web enabled tool, like CIBER's PMRx project management tool or HP's Test Director or other, is required for the ABT implementation, due to the large volume of issues, the amount of data to be collected and managed, and the cross-team collaboration—potentially

spanning various networks and locations—that must be efficiently managed in order to manage implementation related issues.

The following information must be included on the form (or in the chosen issue tracking software tool):

- Submitter: Name of person reporting the issue.

- Date: Date of submission.

- Department: Submitter's home department.

- Phone: Phone number submitter can be reached for more information.

- Issue Topic/Name: Identifier regarding the issue and the subject to which it relates.

- Issue Description: Provide a description of the issue with as much detail as is required.

- Issue Type/Folder: Select one of Activity, Planning or Management Issue, or Other.

- Attachments (if any): Specify if there are attachments documenting the issue.

- Date Resolution Needed: Specify if there is a deadline associated with resolving the issue.

- Recommended Priority: Identify Low, Medium, High or Unknown priority.

- Potential Impact to Scope/Schedule/Budget (if not resolved): Document the problems to the program if the issue is not resolved. This is **NOT** an estimate of the cost and time required to address the issue, but rather an estimate of the negative impact to program scope, schedule, and/or budget if the issue is not addressed.

- Initial Recommendation: If the submitter has a recommended resolution to the issue, provide details.

2.2 ISSUE INITIATION

Once submitted the ABT Project Administrator will enter the issue in the Program Tracking Database for management and tracking. The Project Administrator will work with the submitter to ensure that the issue submittal is complete.

Upon entry of a new issue, the submitter will receive courtesy notification of receipt of the issue. The Program Manager will receive immediate notification of the creation of the issue.

3.0 ISSUE REVIEW POLICIES

3.1 ISSUE ANALYSIS POLICIES

All new issues will be reported to the Program Manager. It is the responsibility of the Program Manager to perform the following regarding all issues:

- Review all issues
- Define the "official" priority for issues
- Assign resources required to address the issues
- Identify escalation requirements
- Accept status changes and resolutions

3.2 REGULAR AND SCHEDULED REPORTING

Monthly, the ABT Operations and Change Management Committee will receive a report of all new and open issues. The Program Manager is responsible for providing the ABT Operations and Change Management Committee with the monthly issue status report.

As part of the monthly program status reporting to the Project Review Board (PRB), the Program Manager may report selected issues to the PRB. If the ABT Program is ever reported to be in a status of anything other than "Green Light," there must be an open issue that warrants such a downgrade of the program status. In those cases, the relevant issue(s) will be reported to the PRB as part of the status report.

For all issues requiring management review and escalation, the issues will be reported to the Program Sponsor and the ABT Management Team. Such reports will be made on an ad hoc basis as the conditions warrant escalation, as determined by the ABT Operations and Change Management Committee.

Once implementation begins, there may be a need to have more frequent meetings. ABT implementation issues, will require frequent meetings at the Program level and may require weekly or bi-weekly meetings with the Operations and Change Management Committee depending on the particular stage in the implementation.

3.3 DISPOSITION REVIEW

Issues have only two statuses – Resolved and Unresolved. Unresolved issues may be Active or Inactive.

Individual unresolved issues will be discussed by the ABT Operations and Change Management Committee at their discretion. Otherwise, unresolved issues will be managed by the Program Manager following the resolution procedures outlined in Section 4.

When an issue is resolved, the final disposition of the issue will be reported to the ABT Operations and Change Management Committee by the Program Manager.

4.0 ISSUE MANAGEMENT AND RESOLUTION

4.1 ISSUE ANALYSIS PROCEDURES

All issues receive a preliminary evaluation from the Program Manager or a designee. The purpose of this evaluation is to decide on one of three initial actions for the issue:

1. If the issue is not valid or has already been resolved, the issue will be recorded and identified as completed.

2. If the issue represents a major scope, budget or schedule change to the program, the issue will be handled as a change request; following the scope management procedures (see Chart 2). The action will be noted and the issue identified as completed.

3. If the issue is a valid issue, it will be recorded and assigned to an identified staff member for evaluation and resolution.

Issues that require changes to the program/project plan will generate a change request as an output of the issue resolution process (see Chart 2).

The Program Manager reviews and approves the disposition of all issues. The ABT Operations and Change Management Committee have the authority to discuss and re-open issues that are not resolved to their satisfaction.

4.2 ISSUE MANAGEMENT PROCEDURES

Chart 1 describes the process for managing issues within the ABT Program.

4.3 ISSUE REPORTING PROCEDURES

Within five business days prior to the end of each month, the Program Manager will create and distribute a Monthly Status Report as defined in the ABT Program Communications Plan and Reporting Procedures. The Monthly Status Report will include issue reporting.

For ABT implementation issues, the review, reporting and escalation process may need to be more regular, like every week or bi-weekly depending on the particular stage in the implementation.

The following issues will be reported:

- All issues resolved during the reporting period
- All issues that are scheduled to be resolved during the next reporting period

- All new issues opened during the reporting period, regardless of target resolution date

Information regarding each issue will include the following:

- Issue name
- Due date
- Status/disposition
- Explanation – For resolved issues, the explanation is the answer or action taken to resolve the issue; For unresolved issues, the explanation is the description of the issue

The discussion of issues will be a standing agenda item for all ABT Operations and Change Management Committee meetings. The Program Manager will be prepared to discuss any significant results of the issues, and to provide additional details about outstanding issues as requested during the meeting. At each meeting, the ABT Operations and Change Management Committee will do the following:

- Discuss the issue status report in general.

- Accept the status of resolved issues, or request that specific issues be re-opened for further analysis and work.

- Provide guidance and direction to the Program Manager regarding unresolved issues.

- Ensure resources from individual agencies required to address specific issues are available and properly allocated to support the program.

4.4 ISSUE ESCALATION PROCEDURES

All issues will be reported by the Program Manager to the ABT Operations and Change Management Committee monthly. The Operations and Change Management Committee will be responsible for resolving identified program issues. If the Operations and Change Management Committee cannot resolve an issue, the issue, may be escalated by the Program Manager through the ABT Governance Structure.

All escalated issues will include a report from the Program Manager, providing details about the issue, and about the specific points that have either caused the Operations and Change Management Committee to fail to reach agreement or require management intervention.

Procedures:

1. The ABT Operations and Change Management Committee may request the Program Manager to escalate an unresolved issue to the Program Sponsor and ABT Management Team.

   To address an issue, the Program Sponsor may invite representatives from the impacted departments or agencies to present their perspective regarding an issue at an ABT Management Team meeting.

The ABT Management Team may convene the ABT Advisory Committee if advice from separately elected agencies is needed to resolve the issue.

2. If an issue is not resolved by the ABT Management Team in a timely manner, the issue shall be referred to the ABT Leadership Committee of the Strategic Advisory Council. The ABT Leadership Committee may request the assistance of the External Advisory Committee to resolve issues.

   The ABT Leadership Committee will make a recommendation to the County Executive on how the issue shall be resolved. The County Executive's decision shall be recorded and sent to all Leadership Committee members, ABT Management Team, ABT Advisory Committee and ABT Operations and Change Management Committee.

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2.0 APPENDIX A: ISSUE RECORDING FORM

A. General Information
Information to be provided in this section gives a specific name to the project as well as pertinent information about the personnel involved.

Submitter: _____   *Date:* _____

Department: _____   *Phone:* _____

Issue Topic/Name: _____

B. Issue Background
Issue Description:

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Issue Type (please check one):

☐ Activity Issue (minor task/item**)**   ☐ Management Issue (broad concerns)

☐ Planning Issue (action required)   ☐ Other Issue_____

Attachments (if any):   ☐ Yes   ☐ No

Date Resolution Needed: _____

Recommended Priority (please check one):

☐ Low   ☐ Medium   ☐ High   ☐ Unknown

Potential Impact to Scope/Schedule/Budget (if not resolved):

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C. Initial Resolution Recommendation
Initial Recommendation:

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ABT Program Analyst Use: Complete Estimate of Additional Effort

Actions/Tasks Required	Resources Required	Work Days/Costs

Instructions

A. General Information:

- <u>Submitter</u>: Name of person reporting the issue.
- <u>Date</u>: Date of submission.
- <u>Department:</u> Submitter's home department
- <u>Phone</u>: Phone number submitter can be reached for more information
- <u>Issue Topic/Name</u>: Identifier regarding the issue and the subject to which it relates.

B. Issue Background

- <u>Issue Description</u>: Provide a description of the issue with as much detail as is required.
- <u>Issue Type</u>: Select one of the boxes

    - <u>Activity Issues</u> – Activity issues relate to specific tasks being performed by the project. Such issues are either a step that has been overlooked or unplanned, or to a task that has been completed but requires a minor correction.

    - <u>Planning Issues</u> – Planning issues relate to project work or tasks that are significant enough to impact the work plans of the project. Resolution often requires the creation and assignment of an action item, and may require new tasks to be included in the plan or may impact operations.

    - <u>Management Issues</u> – Management issues are broad concerns regarding general direction of a group of tasks, or the strategy and approach being taken to achieve some aspect of the program.

    - <u>Other Issue</u> – Note what other category of issue.

- <u>Attachments (if any)</u>: Specify if there are attachments documenting the issue.
- <u>Date Resolution Needed</u>: Specify if there is a deadline associated with resolving the issue.
- <u>Recommended Priority: Select one of the boxes.</u>
- <u>Potential Impact to Scope/Schedule/Budget (if not resolved)</u>: Document the problems to the program if the issue is not resolved. This is **NOT** an estimate of the cost and time required to address the issue, but rather an estimate of the negative impact to program scope, schedule, and/or budget if the issue is not addressed.

C. Initial Resolution Recommendation

- <u>Initial Recommendation</u>: If the submitter has a recommended resolution to the issue, provide details.

- <u>Estimate of Additional Effort:</u> The ABT Analyst assigned to this issue will develop an estimate of effort and resource required to address the issue.

CHART A: ABT ISSUES MANAGEMENT PROCESS

Chart 1: ABT Issues Management Process

ABT Program Participant
- Identify Issue
- Fills out Issue Recording Form
- Issue Recording Form (IRF)
- Initiator informed of Issue Disposition

ABT Project Administrator
- Record issue into DB
- Review
  - Invalid/ Resolved Issue
  - Valid Issue
- Update DB w/ rationale, flag completed.

ABT Program Manager
- Refer issue to Escalation Process
- plan review/ approval
  - Approved
  - Not approved
- -Prioritize ranking -Assign to analyst -Update DB
- Review
  - Scope Change
  - Valid Issue
- Refer to Change Management Process
- Report Issues Disposition to Appropriate groups

Assigned Analyst
- Update DB w/ rationale and forward to PM
- Requires Escalation?
  - Yes
  - No
- Implement Action Plan
- Evaluate Issue and develop action plan for resolution
- Resolve Issue and update DB

Escalation Process
- Present to OCM Committee
- Issue Solved?
  - No
  - Yes
- Present to ABT Management Team
- Issue Solved?
  - No
  - Yes
- Present to ABT Leadership Committee
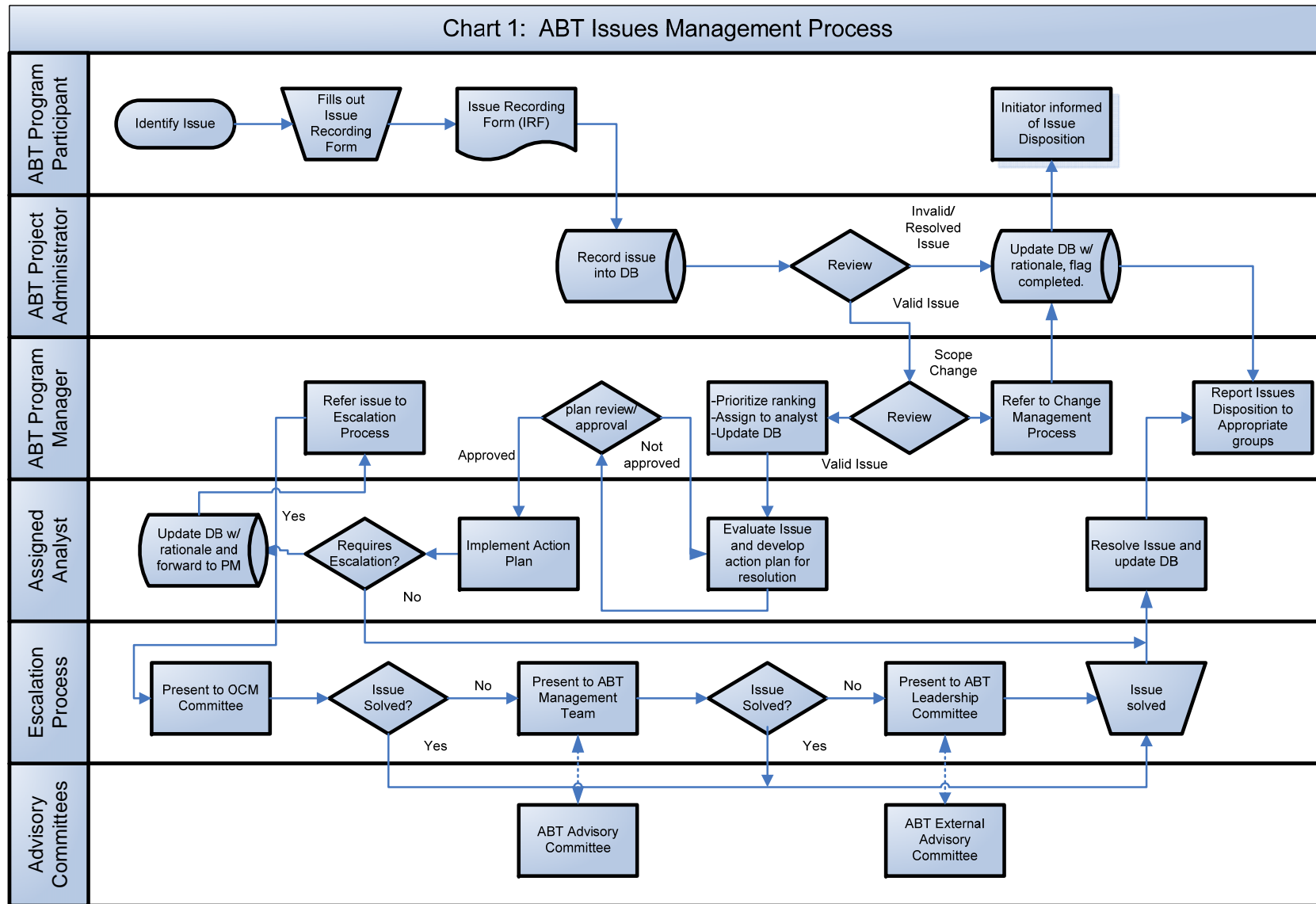- Issue solved

Advisory Committees
- ABT Advisory Committee
- ABT External Advisory Committee

CHART B: ABT CHANGE MANAGEMENT PROCESS

Chart 2: ABT Change Management Process

ABT Program Participant
- Program change identifed
- Fills out Change Request Form
- Change Request Form (CRF)
- Initiator informed of Issue/Change Request Disposition

ABT Program Office
- Referred from Issue Mgmt process
- Record Change Request in DB
- Review — Not Valid / Valid request
- Record rationale, flag action

Assigned Analyst
- Identify impact to scope/budget/schedule
- Develop recommendation
- No Impact

ABT Program Manager
- Review and develop Action Plan
- Implementation requires PRB approval of increased scope, budget (contingency), schedule
- Present to the OCM Committee
- PM approves/disapproves change
- Provide Monthly Reports to OCM/ABT Mgmt Team

OCM Committee
- Requires Escalation? — No
- Agrees w/rec — No
- Review change and recommendation
- Approves Change — Yes / No

ABT Management Team
- Escalated to ABT Management Team — Yes
- Makes decision/approves/disaproves action — Yes
- Advisory Committee
- Change request Addressed