**PROJECT ASSESSMENT TYPE**

1. **SCOPE**

This work instruction establishes a Project Type using a risk based assessment. The Project Assessment Type is completed as part of the [0300-0310-005-C PROJECT INITIATION](https://it.nc.gov/media/1003/open) procedure within [0300-0300-005-B PROJECT MANAGEMENT PROCESS](https://it.nc.gov/media/1002/open). The approach is to classify a project using core risk assessment areas related to the State Chief Information Officer’s (SCIO) mission, major project lessons learned, as well as a project’s cost, schedule, resource availability and security impact. This information is used to identify and communicate to Business Owners and all other key stakeholders the potential barriers that may prevent a project from achieving stated objectives. Project typing is reviewed and updated throughout the project life-cycle to continually drive leadership awareness and decision-making.

1. **OWNER**
   1. The State Chief Information Officer (SCIO) owns this procedure. No changes, additions or alterations may be made without the owner’s written approval.
2. **REFERENCE DOCUMENTS**

|  |  |
| --- | --- |
| **DOCUMENT IDENTIFICATION** | **DOCUMENT TITLE** |
| NC General Statute 147, Article 15 | [DEPARTMENT OF INFORMATION TECHNOLOGY](http://www.ncleg.net/EnactedLegislation/Statutes/PDF/ByArticle/Chapter_143B/Article_15.pdf) |
| Data Classification Policy | [DATA CLASSIFICATION POLICY](https://it.nc.gov/media/1545/open) |
| 0100-0800-010-B | **FORMS AND RECORDS CONTROL** |
| 0300-0300-005-B | [PROJECT MANAGEMENT PROCESS](https://it.nc.gov/media/1002/open) |
| 0300-0310-005-C | [PROJECT INTIATION](https://it.nc.gov/media/1003/open) |
| 0300-0330-010-C | [PROJECT GO-LIVE READINESS ASSESSMENT](https://it.nc.gov/media/1031/open) |
| 0300-0360-005-C | [PROJECT CHANGE REQUEST](https://it.nc.gov/media/1120/open) |
| 0300-0375-005-C | [PROGRAM/PROJECT REVIEW](https://it.nc.gov/media/1035/open) |

1. **ASSOCIATED FORMS**

|  |  |
| --- | --- |
| **FORMS IDENTIFICATION** | **FORM TITLE** |
| 0300-0310-020-D | [PROJECT ASSESSMENT TYPE FORM](https://it.nc.gov/media/1119/open) |
| 0810-0810-005-D | [QUALITY CONTROL DECISION POINTS](https://it.nc.gov/media/309/open) |

**5.0 DEFINITIONS**

* NONE

1. **PROCEDURE**

The Project Assessment Type is a “snapshot” risk assessment rating of an IT Project that can be updated throughout the project life-cycle. The Project Assessment Type is a key component of the project Business Case.

**NOTE:** *The Project Assessment Type Form is completed as a project detail page in the Touchdown System, but these forms can be used by Project Managers as a template*.

* 1. **Project Initiation Phase - Type Identification**
     1. During the Project Initiation phase the agency Project Manager (PM), in conjunction with the Business Owner, will complete the [0300-0310-020-D PROJECT ASSESSMENT TYPE FORM](https://it.nc.gov/media/1119/open) and upload the document into the Project Site Document Library in the TOUCHDOWN System.
     2. The [0300-0310-020-D PROJECT ASSESSMENT TYPE FORM](https://it.nc.gov/media/1119/open) consists of eight (8) “Risk Assessment Area” criteria to be rated as ***“Low”, “Medium” or “High”*** risk based on a weighted scale. For each of the Risk Assessment Areas, fill in the value from 1-5 that reflects the risk rating for this project.
        1. Estimated Project Budget
        2. Estimated Project Duration
        3. Business Owner Involvement
        4. Impact to Owning Organization
        5. Impact to Citizens, Business or Industry
        6. Required due to Legislation or Mandates
        7. Resource Availability (Skills, Availability, Commitment, Over allocation, Dependency on External Agencies)
        8. Sensitive Info (Data Classification) - use Public for Low, Restricted for Medium and Highly Restricted for High –this coincides with the Data classification policy <https://it.nc.gov/document/statewide-data-classification-and-handling-policy>.

**Note:** *Required due to Legislation or Mandates is a “Yes” or “No” question with “Yes” receiving the highest weight.*

* + 1. Security Data Classification - The classification of the data in the system. This based on the ESRMO Data [DATA CLASSIFICATION POLICY](https://it.nc.gov/media/1545/open). If the classification is “medium” or “high” then a [PROJECT GO-LIVE READINESS ASSESSMENT](https://it.nc.gov/media/1031/open) must be completed.
    2. The “Total” is the weighted sum of the “Rating” scores. Per the “Project Type / Total Rating Range” table: Project Total Rating of **85-165** indicates **“Low”** risk; Project Total Rating of **166-330** indicates **“Medium”** risk; and, Project Total Rating of **331-500** indicates **“High”** risk.

**Note:** *Projects with a total project budget/cost greater than $10M and identified as “High” risk per this work instruction will require independent review and validation of the cost estimates.*

* + 1. If a discrepancy exists in the “Project Total Rating” and/or “Project Type” on the completed [0300-0310-020-D PROJECT ASSESSMENT TYPE FORM](https://it.nc.gov/media/1119/open), the Enterprise Project Management Office (EPMO) Project Management Advisor (PMA) will review the findings with the PM.
    2. The EPMO will review and validate the completed [0300-0310-020-D PROJECT ASSESSMENT TYPE FORM](https://it.nc.gov/media/1119/open) as part of [0300-0310-005-C PROJECT INITIATION](https://it.nc.gov/media/1003/open).
  1. **Project Life-Cycle - Type Identification**
     1. Throughout the Project Life-Cycle, the agency PM will update the [0300-0310-020-D PROJECT ASSESSMENT TYPE FORM](https://it.nc.gov/media/1119/open) following the same procedure identified in 6.1.2 - 6.1.5 above. Examples of events that may require an update to the [0300-0310-020-D PROJECT ASSESSMENT TYPE FORM](https://it.nc.gov/media/1119/open) include:
        1. Initiating a Change Request per [0300-0360-005-C PROJECT CHANGE REQUEST](https://it.nc.gov/media/1120/open)
        2. Reaching a Decision Point per [0810-0810-005-D QUALITY CONTROL DECISION POINTS](https://it.nc.gov/media/309/open)
        3. Entering a new Project Phase (I.e. Initiation; Planning and Design; Execution and Build; Implementation; or, Closeout)
        4. Preparing for a [0300-0375-005-C PROGRAM/PROJECT REVIEW](https://it.nc.gov/media/1035/open)
        5. Preparing for a [0300-0330-010-C PROJECT GO-LIVE READINESS ASSESSMENT](https://it.nc.gov/media/1031/open)

1. **RECORDS**
   1. Unless otherwise specified in this Procedure/QWI, Records shall be maintained in accordance with

**0100-0800-010-B FORMS AND RECORDS CONTROL** procedure.

1. **REASON FOR CHANGE**
   1. Corrected cross reference errors in section 3.0 REFERENCE DOCUMENTS. Updated paragraphs 6.1.2 and 6.1.3 to reflect revised Assessment Area Rating Scale and Total Rating Ranges.
   2. Corrected cross reference errors in section 3.0 REFERENCE DOCUMENTS. Updated section 6.0 PROCEDURE to add clarification.
   3. Updated Legislation Information.
   4. Change assessment question from 11 to 8.
   5. Added new weighting of assessment questions.
   6. Removed delegation authority.
   7. Clarified meaning of Required due to Legislation or Mandates.
   8. Remove Project Decision Memo, no longer used.
   9. Changed the Security Risk Criteria.
   10. Added Security Data Classification and process for “Medium” or “High” classification to require the project manager to complete a Go-Live Readiness Assessment.