

2009



C-IV Procurement Project

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ISSUE MANAGEMENT PLAN

This document sets out the procedures and processes whereby initial and ongoing issues will be identified, categorized, controlled, and reported throughout the C-IV Procurement Project.

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Revision History

RELEASE DATE	AUTHOR	SUMMARY OF CHANGE
3/26/2009	Leslie Johnson	Initial Release

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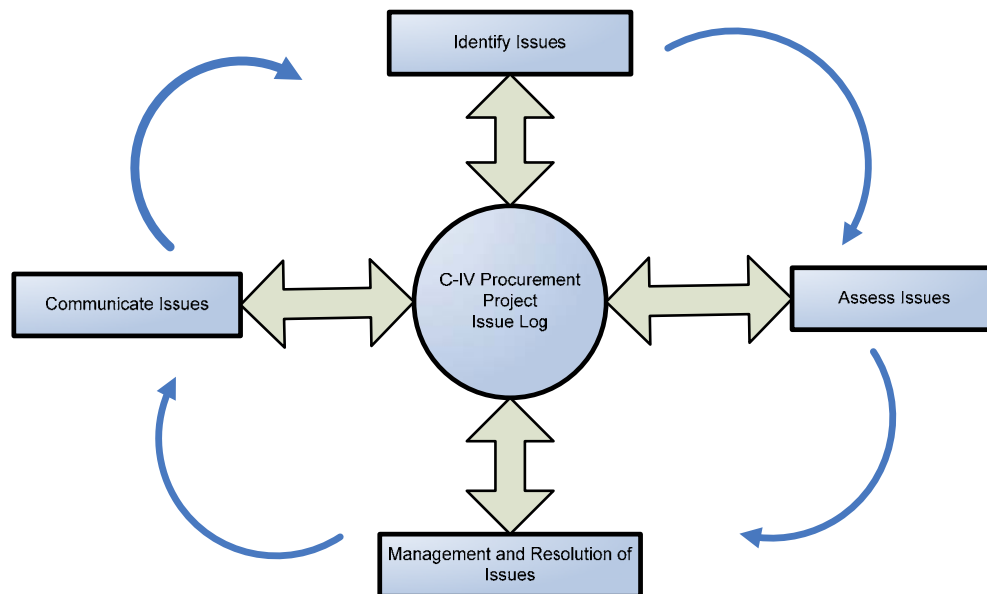
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1 Introduction

The C-IV Procurement Project will use a proven and structured process to address issue identification, assessment, management, resolution, and communication that is similar in practice to the Issue Management Approach employed by the C-IV Project. This document details the issue management approach based on four key elements:

Figure 1



2 Identifying Issues

It is important to distinguish between issues and risks. Risks are a proactive look at identifying possible events that could affect the project positively or negatively. Issues are items that have occurred and require resolution. If a risk is realized, it may become an issue. Pro-active risk management as described in the *C-IV Procurement Project Risk Management Plan* aims to minimize the issues that will occur, however despite best efforts, issues will naturally arise during this project. The management of issues once they do occur is an essential component of any project. The issue management approach outlined in this plan aims to remove or lessen the impact an issue may have on the achievement of C-IV Procurement Project objectives. Refer to the *C-IV Procurement Project Risk Management Plan* located in the C-IV Procurement Library at <http://www.c-iv.org/ProcurementLibrary.shtml> for more details related to managing risks.

Issue identification will occur throughout the C-IV Procurement Project's lifecycle. Issues may arise from various sources, such as; meetings, analysis, document reviews, workgroups, and other project activities. The first step in the process is determining that an issue exists. The following guidelines should be used when determining if an issue exists and should be recorded using the project issue tracking tools. If the answer to any of the following questions is 'Yes', an issue should be raised.

2.1 Is it an Issue?

- Does the issue impact project scope?
- Does the issue impact the project budget?
- Does the issue impact the project schedule?
- Does the issue involve differences of opinion?
- Does the issue require decisions from the Management or Executive levels?
- Does the issue depend upon the actions of external entities?

2.2 Risks that materialize into Issues

Newly raised issues may originate from risks that have been realized. When this occurs, the risk will be closed within the Risk Tracking Log and an issue will be recorded. Both the closed risk and the open Issue will reference each other. Additionally, any contingency actions or relevant mitigation activities recorded against the risk will be entered into the newly raised Issue. As with any issue, the risk originator will be notified of the latest risk/issue status.

2.3 Who can raise an Issue?

Anyone involved with or impacted by the C-IV Procurement Project may raise an issue. [Appendix A - Roles and Responsibilities](#), provides the responsibilities of the key C-IV Procurement Project staff roles and their responsibilities relating to issue management.

2.4 Identification & Documentation

Regardless of the source or nature of the issue, all issues will be raised by completing the **C-IV Procurement Project Issue Management Form (Attachment 1)**. The form must be submitted to the C-IV Procurement Manager or the Project Management Office (PMO).

The following basic information is required when an issue is raised, with further detail added (i.e., category, owner, etc) at the Issue Assessment stage.

- Issue Name - succinct descriptive title of the Issue;
- Date Raised – the date the issue was identified;
- Description – a description of the issue; and
- Issue Originator & Contact Information- the name and phone number and/or e-mail address of the person who identified the issue.

2.5 Validation and Assignment

Once an issue has been submitted, the C-IV Procurement Manager or PMO will review the issue to ensure that it is in fact an issue not a risk, and to validate that it does not already exist in the **C-IV Procurement Project Issue Log**. Each submitted issue will be assessed in detailed and assigned the appropriate category prior it being assigned to an Issue Owner. The PMO will:

- Assign a Issue Tracking ID
- Enter the information into the C-IV Procurement Project Issue Log
- Assign the issue to a Category
- Change the status to 'Assigned'
- Notify the Issue Originator of the latest status and provide the name of the Issue Owner

The following table lists the various statuses and categories:

After the issue log is updated, the PMO will reproduce and distribute the **C-IV Procurement Project Issue Management Form** as follows:

- 1 Original – PMO Office
- 2 One copy to the C-IV Procurement Manager
- 3 One copy to the Issue Owner
- 4 One copy to the Office of System Integration (OSI) Project Manager

3 Assessing Issues

3.1 Issue Owner

Although the C-IV Procurement Manager has overall responsibility for management of issues within the C-IV Procurement Project, the person to whom the issue has been assigned becomes the 'Issue Owner'. The Issue Owner performs a full analysis of the issue and is responsible for developing proposed resolution strategies.

The Issue Owner will maintain communication with the PMO throughout the analysis and resolution process by submitting updates to the PMO. The Issue Owner will present his/her recommended solution to the C-IV Procurement Management team. The C-IV Procurement Management team must approve the recommendation by consensus. In some cases, stakeholders may be included in the approval process. If the recommended solution is approved, the PMO will update the Issue Log and the Issue Owner will begin implementing the solution. If consensus cannot be reached, the issue may be escalated.

4 Resolving Issues

4.1 Issue Resolution

Resolving issues is a fundamental and complex activity within a project. Issues must be resolved quickly and effectively, however the potential impact of any resolution to other areas within the project must be carefully considered. The resolution strategy and the reasoning behind it must include the following:

- Impact to the project budget and/or schedule;
- Impact to staff and/or infrastructure resources;
- Impact to C-IV System users and or stakeholders;
- Impact to existing risks;
- Resolution alternatives, including the pros and cons of each alternative approach; and
- A recommended resolution.

4.2 Issue Closure

Upon successful completion of the approved issue resolution approach the Issue Owner will provide the PMO with a final update and the PMO will update the Issue Log. All closed issues will be reviewed for appropriateness by the management team before the issue status change is considered final.

4.3 Issue Escalation

When it is determined that an issue cannot be resolved at the lowest level or within the established timeframe, the issue will be escalated to the next level. The following diagram illustrates the Issue Escalation Process.

Figure 3

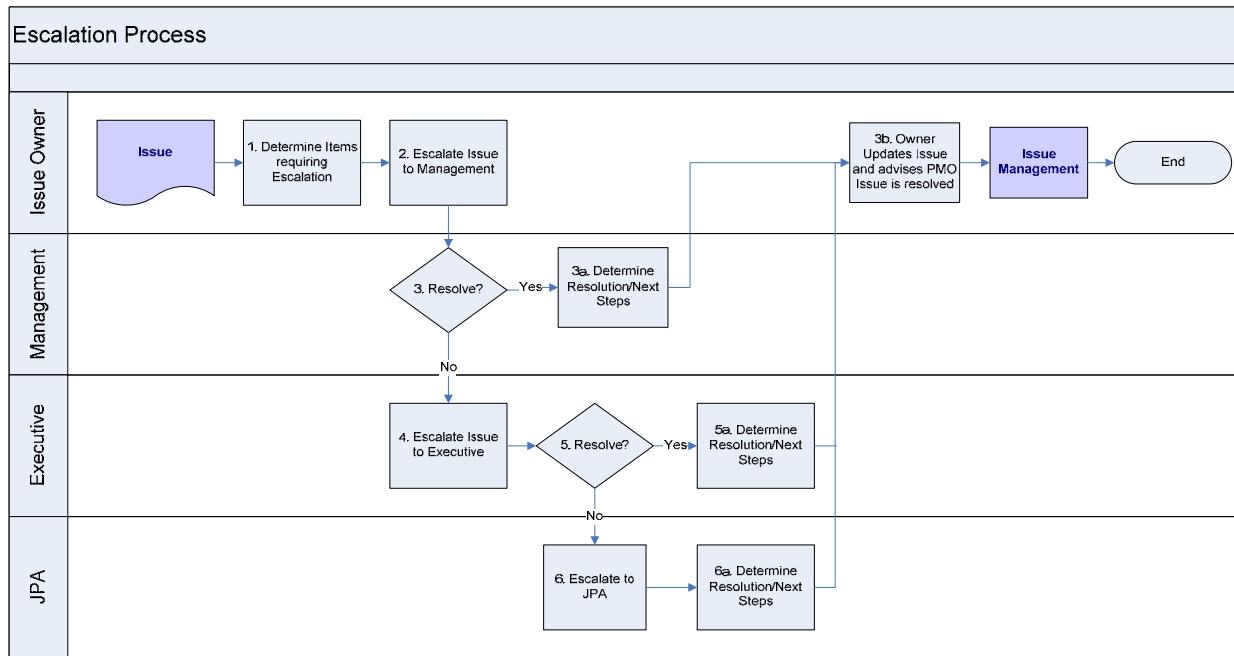


Table 2

Step	Governance Level	Actions
1	Issue Owner	<p>Determine Items requiring escalation</p> <ul style="list-style-type: none"> Issue Owner notifies PMO that the Issue requires escalation.
2	PMO	<p>Escalate Issue to Management</p> <ul style="list-style-type: none"> PMO reviews issue documentation with Issue Owner and updates notes as appropriate. PMO assigns the Issue to the next level of governance. If the issue is deemed to be of Critical or High priority, it will be escalated immediately. If not, it will be escalated at the next weekly C-IV Procurement Management meeting.

Step	Governance Level	Actions
3 & 3a	Management	<p>Resolve Issue and Determine Resolution/Next Steps</p> <ul style="list-style-type: none"> • Management analyzes the issue for the following: <ul style="list-style-type: none"> ○ Identify the systems/processes/resources/user groups affected and the impact of taking no action. ○ Engage Subject Matter Experts (SMEs) to identify potential resolution options. ○ Assess the cost, resources, and time required to execute each identified option. ○ Determine if current risks should be re-categorized as issues based on the results of the current mitigation activities. ○ Select a recommended option, and update the Issue Log. • If the issue is not resolved, go to Step 4.
3b	Issue Owner	<p>Owner updates issue and advises PMP Issue is resolved.</p> <ul style="list-style-type: none"> • Record the governance body's decision and any mitigating actions that are approved. • Advise PMO to Close the Issue.
4	Management	<p>Escalate the Issue to the Executive level</p> <ul style="list-style-type: none"> • If management cannot resolve the issue within one week, it is escalated to the Executive level. • If the issue is deemed to be of Critical or High priority, it will be escalated immediately. If not, it will be escalated at the next weekly C-IV Procurement Management meeting.
5 & 5a	Executive	<p>Resolve Issue and Determine Resolution/Next steps</p> <ul style="list-style-type: none"> • Refer to step 3, 3a & 3 b
6	Executive	<p>Escalate Issue to the C-IV Joint Powers Authority Board of Directors</p> <ul style="list-style-type: none"> • Refer to step 4
6a	JPA	<p>Resolve Issue and Determine Resolution/Next Steps</p> <ul style="list-style-type: none"> • Refer to Steps 3a, 3b

5 Issue Management

Project issues will be reviewed weekly at the C-IV Procurement Management meetings. This team will have ultimate responsibility for timely resolution of project issues. This approach encourages resolving issues at the lowest level.

The PMO will maintain the **C-IV Procurement Project Issue Log** and provide copies to the project management on a weekly basis. The PMO will also send e-mail reminders to the Issue Owner one week prior to the critical path deadline.

The management team will review the new, open, and overdue issues during regularly scheduled management team meetings. Periodically, these meetings will be used to monitor the effectiveness of this plan. The PMO will be responsible for maintaining and updating this plan as needed.

Figure 4

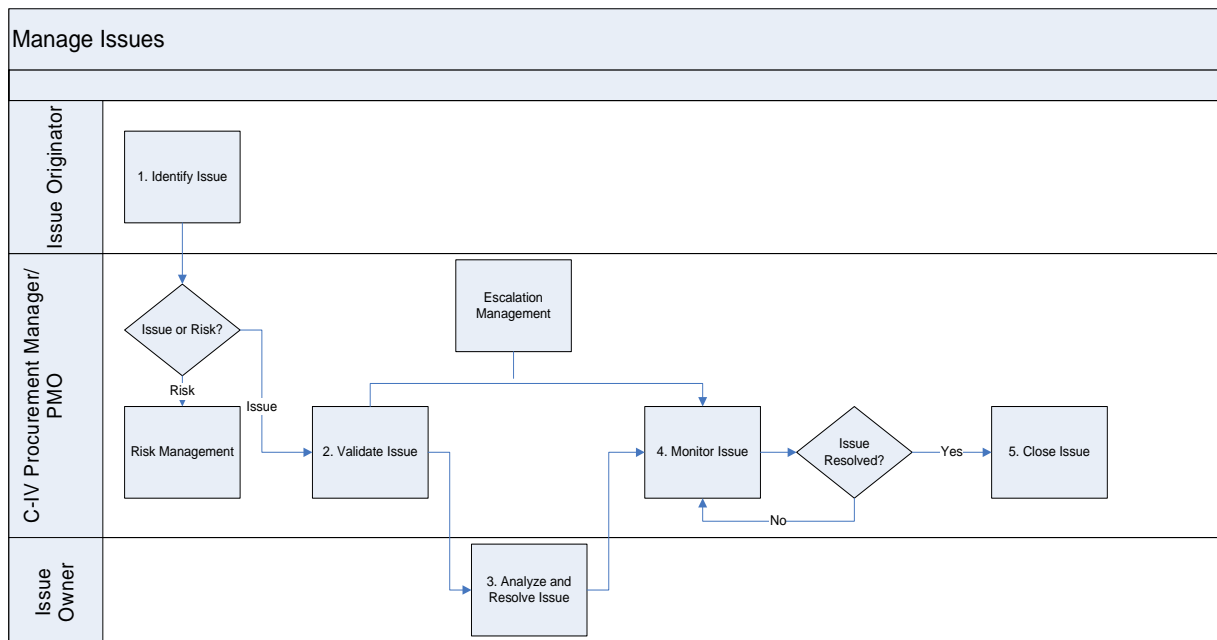


Table 3

Step	Governance Level	Actions
1	Issue Originator	<p>Identify Issue</p> <ul style="list-style-type: none"> • Issue identification is an ongoing process. • Any member of the Project team or stakeholder can raise issues • Raise issues by completing the C-IV Procurement Project Issue Form
2	C-IV Procurement Manager/PMO	<p>Validate Issue</p> <ul style="list-style-type: none"> • Review and confirm that the submitted issue is a valid issue not a risk. • Change the issue status to 'Closed' if it is invalid or a duplicate. • If the issue is valid, set status to 'Open', determine category, and prioritize. • Follow guidelines to determine whether escalation process should be initiated. • If an escalation is warranted, follow the Escalation Process. • If escalation is not warranted, establish critical path due date, and assign.
3	Issue Owner	<p>Analyze and Resolve Issue</p> <ul style="list-style-type: none"> • Analyze the issue and impact, and research resolution alternative involving all parties affected by the issue. • After determining a solution, communicate progress, and plan the implementation of the solution.
4	C-IV Procurement Manager/PMO	<p>Monitor Issue</p> <ul style="list-style-type: none"> • Regularly assess the status of the issue resolution progress. • Report status at the C-IV Procurement Project weekly status meetings. • Manage communication, notification, and escalation.

Step	Governance Level	Actions
5	C-IV Procurement Manager/PMO	Close Issue <ul style="list-style-type: none">• Close the issue once it has been resolved, or deemed not to be an issue at the start of the process.

6 Communication

The **C-IV PROCUREMENT PROJECT ISSUE LOG** is the reporting mechanism of issue, as it holds the full picture of issues and their management throughout the project. The issue log will be distributed at the weekly C-IV Procurement Management meetings and will be available to any stakeholder as defined in the C-IV Procurement Project Communication Plan, upon request.

A summary report of the current status of issues will also be included in the monthly status reports prepared by the Planning Consultant. This report will include:

- Total number of open issues
- Number of issues grouped by severity
- Number of group by category
- Number of issues opened and closed during the report period

6.1 Feedback to Issue Originator

In the case when the individual who raised the issue is external to the immediate project team, that individual will be updated regularly on the status of the issue. The PMO will issue updates to the individual at intervals agreed upon during the initial issue assessment.

APPENDIX A

ROLES AND RESPONSIBILITIES

Role	Responsibilities
C-IV Procurement Manager	<p>The C-IV Procurement Manager is responsible for development and implementation of the Issue Management Plan. The C-IV Procurement Manager is also responsible for:</p> <ul style="list-style-type: none"> ▪ Ensuring issue analysis is completed, and resolutions are developed and executed successfully; ▪ Reviewing issue resolution recommendations; ▪ Escalating issues as appropriate; ▪ Ensuring adherence to issue management process; and ▪ Making the final decision on issue resolutions unless the issue has been escalated.
Project Management Office (PMO)	<p>The PMO is responsible for administering and overseeing the C-IV Procurement Project Issue Management Plan and ensuring identified issues are being addressed in accordance with the plan. The PMO will also assist in the following:</p> <ul style="list-style-type: none"> ▪ Identifying issues; ▪ Maintaining the C-IV Procurement Project Issue Log; ▪ Preparing reports on issue status; ▪ Monitoring due dates; and ▪ Updating project issue forms, plans, and tracking methodologies, as appropriate.
C-IV Procurement Project Stakeholders	<p>C-IV Procurement Project Stakeholders as identified in the C-IV Procurement Project Communication Plan, are involved issue management activities as appropriate. Stakeholders will also receive escalated issues and assist with resolution as needed. The C-IV Procurement Project can be accessed from the C-IV Procurement Library located at: http://www.c-iv.org/ProcurementLibrary.shtml</p>

Role	Responsibilities
Issue Owner	The Issue Owner is the individual assigned to manage a specific issue.