

Electronic Interface Change Control Process

Interconnection Services

Copyright

April 14, 1998

© BellSouth Telecommunications

BellSouth Telecommunications reserves the right to revise this document for any reason, with concurrence of the CLEC/BellSouth Review Board, including but not limited to, conformity with standards promulgated by various government or regulatory agencies, utilization of advance in the state of the technical arts, or the reflection of changes in the design of any equipment, techniques, or procedures described or referred to herein. **LIABILITY TO ANYONE ARISING OUT OF USE OR RELIANCE UPON ANY INFORMATION SET FORTH HEREIN IS EXPRESSLY DISCLAIMED, AND NO REPRESENTATIONS OR WARRANTIES, EXPRESSED OR IMPLIED, ARE MADE WITH RESPECT TO THE ACCURACY OR UTILITY OF ANY INFORMATION SET FORTH HEREIN**

This document is not to be construed as a suggestion to any manufacturer to modify or change any of its products, nor does this document represent any commitment by BellSouth Telecommunications to purchase any product whether or not it provides the described characteristics.

This document is not to be construed as a contract. It does not create an obligation on the part of BellSouth Telecommunications or the Competitive Local Exchange Carriers to perform any modification, change or enhancement of any product or service.

Nothing contained herein shall be construed as conferring by implication, estoppel or otherwise, any license or right under any patent, whether or not the use of any information herein necessarily employs an invention of any existing or later issued patent.

Contents

Subject	Page
Introduction	v
Purpose	v
Version Information	vi
1. Change Control Organization	1
1.1 Change Control Organization	1
2. Change Control Decision Process	3
2.1 Change Control Decision Process	3
3. Electronic Interface Change Control Process Flow	5
3.1 Process Flow Diagram	5
3.2 Detailed Process Flow	5
4. Enhancement Review	15
4.1 Enhancement Review Meeting	15
4.2 Enhancement Review Package	15
4.3 Prioritizing Change Requests	16
5. Changes To This Process	17
5.1 Changes To This Process	17
6. Terms and Definitions	19
6.1 Terms And Definitions	19
Appendix A. Change Control Forms	23
A.1 Change Control Forms	23
Appendix B. Release Management	29
B.1 Release Management	29
B.2 Attachment B-1	29
B.3 Attachment B-2	33
B.4 Attachment B-3	34
B.5 Attachment B-4	35
B.5.1 Work Breakdown Structure Template	35
B.6 Attachment B-5	36
B.7 Attachment B-6	37
B.8 Attachment B-7	39
B.9 Attachment B-8	40
B.10 Attachment B-9	47
B.11 Attachment B-10	49
B.12 Attachment B-11	50
B.13 Attachment B-12	51

Appendix C. Additional Documents	53
C.1 Attachment C-1	53
C.2 Attachment C-2	54
C.3 Attachment C-3	55
C.4 Attachment C-4	56
C.5 Attachment C-5	57
C.6 Attachment C-6	58
Appendix D. Steering Committee Members	59
D.1 Steering Committee Members	59
Appendix E. Miscellaneous	61
E.1 Examples of Data Defined by Business Rules	61
E.2 Change Request Status Codes	61

Introduction

Purpose

Jointly developed by the EI Change Control Sub-team comprised of BellSouth and CLEC Representatives.

This document establishes the process by which BellSouth Telecommunications (BST) and Competitive Local Exchange Carriers (CLECs) will manage requested changes to the BellSouth Local Electronic Interfaces. **This process will only cover Change Requests for enhancements that affect existing external users of BellSouth's Electronic Interface Applications.** This process shall be referred to as the Electronic Interface Change Control Process

The Electronic Interface Change Control Process will only cover Change Requests for enhancements that have the potential to impact the interfaces connected to BellSouth and is applicable to the following existing interfaces:

- Local Exchange Navigation System (LENS)
- Local Pre-Order Gateway (LPOG) a.k.a EC-Lite
- Electronic Data Interchange (EDI), including EDI-PC
- Trouble Administration Facilitation Interface (TAFI)
- Electronic Communications Trouble Administration (EC-TA) Local

The types of changes that will be handled by this process are as follows:

- Software
- Hardware
- Industry Standards
- Product and Services
- New or Revised Edits
- Process
- Regulatory
- Documentation

As new interfaces are deployed they will be added to the scope of this document and requested changes managed via this process.

The scope of the Electronic Interface Change Control Process **does not** include the following:

- Defect Change Requests
- BonaFide Requests (BFR)

- Production Support (i.e. adding new users to existing interfaces, existing users requesting first time use of existing BST functionality)
- Contractual Agreements

Change Requests of this nature will be handled through existing BellSouth processes.

Objectives:

- Migrate and adhere to the Industry standards that impact Electronic Interfaces relative to order, pre-order, and maintenance.
- Ensure continuity of business processes and systems operations
- Establish process for communicating and managing changes
- Allow for mutual impact assessment and resource planning to manage and schedule changes
- Capability to prioritize requested changes

The minimum requirements for participation in the Electronic Interface Change Control Process are:

- Word 6.0 or greater
- Excel 5.0 or greater
- Internet E-mail address
- Web access

Version Information

Table A Revision History

Chapter	Action Request #	Date/Issue	Description
All	N/A	April 14, 1998 / 1	Initial Issue.

1. Change Control Organization

1.1 Change Control Organization

The Change Control organizational structure supports the Electronic Interface Change Control Process. Each position within the organization has defined roles and responsibilities as outlined in the Electronic Interface Change Control Process Flow - Section 4 of this document. Identified positions, along with associated roles and responsibilities are as follows

Enhancement Review Participants. Representatives from Competitive Local Exchange Carriers (CLECs) and BellSouth. This team meets periodically to review, prioritize, and make recommendations for Candidate Change Requests. The Candidate Change Requests are used as input to the Internal Change Management Processes (refer to process step 8).

Steering Committee. Committee comprised of CLEC and BellSouth Representatives who meet periodically to facilitate compliance to the Change Control process. Committee membership is limited to a maximum of 15 (fifteen) members. Membership is open to all CLECs on a voluntary basis. No more than 2 (two) representatives per CLEC are allowed to participate on the Steering Committee at the same time. Once the 15 (fifteen) member limit is reached and as new members are identified, existing members will rotate off the committee.

BellSouth Change Control Manager (BCCM). The BCCM is responsible for managing the Electronic Interface Change Control Process and is the single point of contact for Change Requests. This individual is responsible for maintaining the integrity of the Change Requests, prepares for and facilitates the Enhancement Review Meetings, presents the Candidate Change Requests to the BST Internal Change Management Process, and ensures that all Notifications are communicated to the appropriate parties.

CLEC Change Control Manager (CCCM). The CCCM is the CLEC single point of Contact for Electronic Interface Change Requests. This individual is responsible for presenting and prioritizing Candidate Change Request at the Enhancement Review Meetings; distributing supporting Change Request documentation to the CLEC industry 33 (thirty-three) business days prior to the Enhancement Review Meeting, weekly review of Change Request Log and returning Company Preliminary Priority list to the BCCM 5 (five) business days prior to the Enhancement Review Meeting.

Release Management Project Team. A team of CLEC and BellSouth Project Managers who manage the implementation of scheduled Electronic Interface releases.

2. Change Control Decision Process

2.1 Change Control Decision Process

The figure below shows the top-level process that will be used to evaluate Electronic Interface Change Requests. If the identified need is a defect, the BellSouth SPOC for CLECs will handle it. The BellSouth Account Team(s) will handle BFR requests and production support issues. Enhancements will be handled through the Electronic Interface Change Control Process.

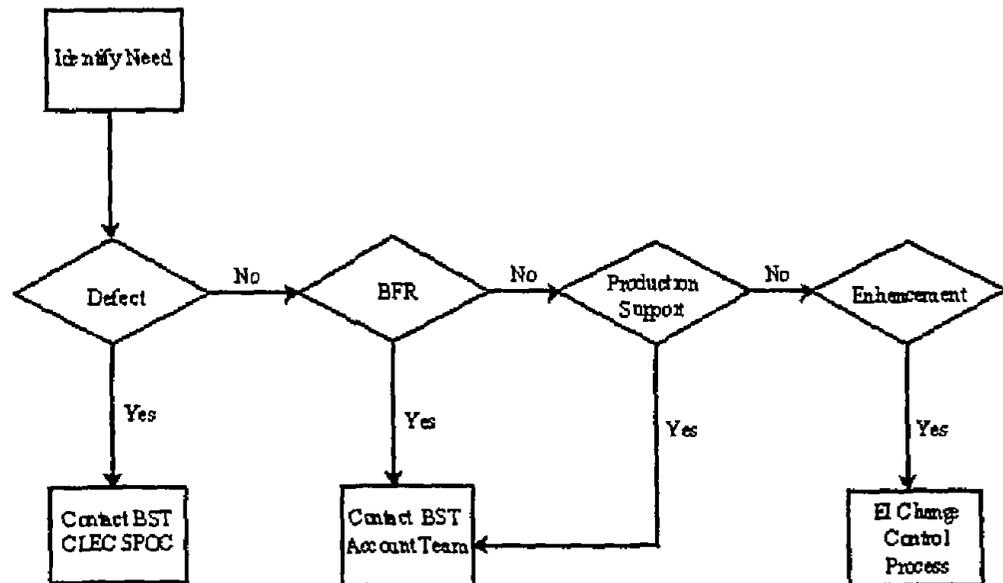


Figure 1 Change Control Decision Process

3. Electronic Interface Change Control Process Flow

3.1 Process Flow Diagram

The figure below provides the process flow for reviewing and scheduling implementation of a typical Change Request. The process diagram applies to Change Requests submitted via the Electronic Interface Change Control Process. See Detailed Process Flow for detailed process steps

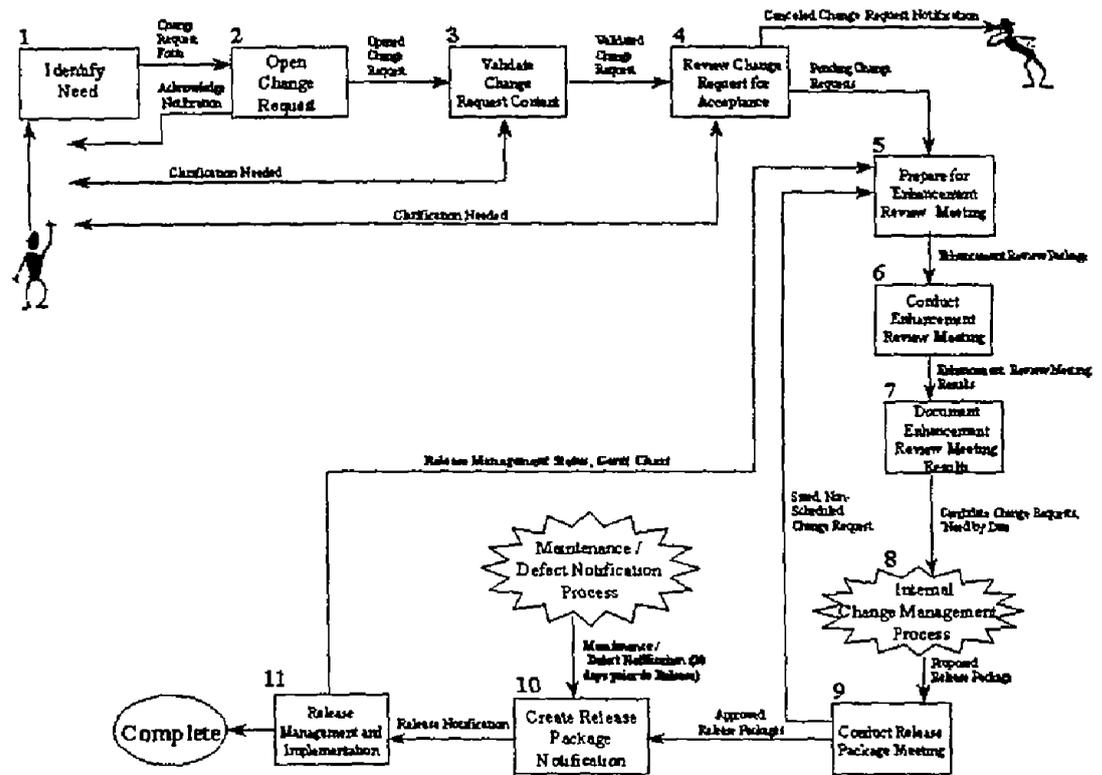


Figure 2 Electronic Interface Change Control Process Flow

3.2 Detailed Process Flow

The table below details the steps, accountable individuals, tasks, and the inputs/outputs of each sub-process in the EI Change Control process. This process will be used to develop Candidate Change Requests that will be used as input to the Internal Change Management Process. Steps shown in the table are sequential unless otherwise indicated

STEP	ACTION
1	<ul style="list-style-type: none"> • Accountability <ul style="list-style-type: none"> - CCCM - BCCM • <u>Identify Need</u> <ul style="list-style-type: none"> a Internally determine need for enhancement (Consideration of legal or contractual obligations) b Originator and CCCM or BCCM should complete the standardized Change Request Form according to Checklist - Attach related requirements and specification documents. (See Checklist, Item 22) 1 Appropriate CCCM/BCCM submits Change Request Form and related information via e-mail to BellSouth • <u>Inputs</u> <ul style="list-style-type: none"> - Change Request Form (Attachment) - Change Request Form Checklist (Attachment) • <u>Outputs</u> Completed Change Request Form with related documentation • Cycle Time -- N/A
2	<ul style="list-style-type: none"> • Accountability BCCM • <u>OPEN CHANGE REQUEST</u> <ul style="list-style-type: none"> 1 Log Request in Change Request Log (Excel Spreadsheet) 3 Send Acknowledgement Notification (Attachment) to CCCM or BCCM via e-mail 1. Establish request status ('N' for New Request) • <u>Inputs</u> Completed Change Request Form with related documentation • <u>Outputs</u> New Change Request Acknowledgment Notification • Cycle Time

STEP	ACTION
	2 Bus Days
3	<ul style="list-style-type: none">• Accountability BCCM• <u>VALIDATE CHANGE REQUEST FOR COMPLETENESS BCCM</u><ul style="list-style-type: none">a BCCM reviews change request for mandatory fields using the Change Request Form Checklistb Verify Change Request specifications and related information exists.c Send Clarification Notification (Attachment) if needed.d Update Change Request Status to ' PC' for Pending Clarification if clarification is needed. <p>Make necessary corrections per Clarification Notification and submit Change Request Clarification Response (Attachment)</p> <ul style="list-style-type: none">• <u>Inputs</u><ul style="list-style-type: none">- New Change Request- Change Request Form Checklist- Change Request Clarification Response• <u>Outputs</u><ul style="list-style-type: none">- Validated Change Request- Clarification Notification• Cycle Time <p>3 -10 Bus Days</p>
4	<ul style="list-style-type: none">• Accountability BCCM• <u>REVIEW CHANGE REQUEST FOR ACCEPTANCE</u><ul style="list-style-type: none">a Review Change Request and related information for contentb Determine status of request<ul style="list-style-type: none">- If enhancement already exists forward Cancellation Notification (Attachment) to

STEP	ACTION
	<p>CCCM or BCCM and update status to 'C' for Request Canceled</p> <ul style="list-style-type: none">- If request is valid update Change Request status to 'P' for Pending in Change Request Log- If Change Request Clarification Notification not received send Cancellation Notification and update status to 'C' for Request Canceled <p>c. Requests for additional information on cancelled requests should be referred to the BCCM.</p> <ul style="list-style-type: none">• Inputs<ul style="list-style-type: none">- New Change Request- Validated Change Request- Clarification Notification (if required)• Outputs<ul style="list-style-type: none">- Pending Change Request- Clarification Notification (if required)- Cancellation Notification (if required)• Cycle Time 7-10 Bus Days
5	<ul style="list-style-type: none">• Accountability<ul style="list-style-type: none">- BCCM- CCCM• <u>PREPARE FOR ENHANCEMENT REVIEW MEETING</u><ul style="list-style-type: none">a <u>BCCM:</u> Prepare an agendab Make meeting preparationsc Update Change Request Log with current status for new and existing Change Requestsd Prepare and distribute Enhancement Review Packagee <u>CCCM/BCCM (Internal Activities)</u> Analyze Pending Change Requests and evaluate against Approved Release Package(s)f Develop Company Priority List for Change Requests and establish "desired/want date"

STEP	ACTION
	<ul style="list-style-type: none"> g Forward Company Priority List to BCCM 1 week prior to Enhancement Review Meeting h. Distribute additional Change Request documentation 45 days prior to Enhancement Review Meeting • <u>Inputs</u> <ul style="list-style-type: none"> - Pending Change Request Notifications - Release Management Status (Step 11) - Change Request Log - Sized, Non-Scheduled Change Request (Step 9) • <u>Outputs</u> <ul style="list-style-type: none"> - Enhancement Review Package - Company's Preliminary Priority List and Desired/Want Dates - Consolidated Preliminary Priority List - Impact analysis • <u>Cycle Time</u> <ul style="list-style-type: none"> - 22 Bus Days prior to ERM send Review Package - 33 Bus Days prior to ERM, CR must be in "P" Status
6	<ul style="list-style-type: none"> • <u>Accountability</u> <ul style="list-style-type: none"> - BCCM - CCCM • <u>CONDUCT ENHANCEMENT REVIEW MEETING</u> <ul style="list-style-type: none"> a Review regulatory issues for impact b Initiators present Change Requests c Discuss impacts d Review current Release Management statuses e Prioritize Change Requests using Consolidated Priority List f Determine disposition of Change Requests (sized/non-scheduled request) g Develop final Candidate Change Requests by interface, 'Need by Dates' and prioritized Change Request

STEP	ACTION
	<ul style="list-style-type: none"><li data-bbox="683 497 1179 570">h. Update status of Change Request to 'ERC' for Enhancement Review Complete, 'RC' for Candidate Request List, as appropriate<li data-bbox="683 583 1179 629">i. Review issues and action items and assign owners<li data-bbox="643 642 748 668">• <u>Inputs</u><ul style="list-style-type: none"><li data-bbox="683 676 1008 702">- Enhancement Review Package<li data-bbox="683 710 967 736">- Consolidated Priority List<li data-bbox="683 744 911 770">- Desired/Want Dates<li data-bbox="683 778 870 804">- Impact analysis<li data-bbox="643 817 764 842">• <u>Outputs</u><ul style="list-style-type: none"><li data-bbox="683 851 886 876">- Meeting minutes<li data-bbox="683 885 1000 910">- Updated Change Request Log<li data-bbox="683 919 1130 974">- Candidate Change Request List with agreed upon 'Need by Dates'<li data-bbox="683 983 1138 1038">- Pending Change Requests (requests not prioritized at Enhancement Review meeting)<li data-bbox="683 1046 1073 1072">- Issues and Actions Items (if required)<li data-bbox="683 1081 976 1106">- Diskette of meeting output<li data-bbox="643 1115 797 1140">• <u>Cycle Time</u> 1-5 Bus Days
7	<ul style="list-style-type: none"><li data-bbox="643 1310 821 1400">• <u>Accountability</u><ul style="list-style-type: none"><li data-bbox="683 1344 797 1370">- BCCM<li data-bbox="683 1378 748 1404">- —<li data-bbox="643 1412 1105 1489">• <u>DOCUMENT ENHANCEMENT REVIEW MEETING RESULTS</u> Prepare and distribute outputs from 6<li data-bbox="643 1498 959 1549">• <u>Inputs</u> Outputs from 6 above on diskette<li data-bbox="643 1557 919 1608">• <u>Outputs</u> Distribution of outputs from 6<li data-bbox="643 1617 797 1642">• <u>Cycle Time</u> 5 Bus Days

STEP	ACTION
8	<ul style="list-style-type: none">• Accountability<ul style="list-style-type: none">- BCCM- CCCM• <u>INTERNAL CHANGE MANAGEMENT PROCESSES</u><p>Both BellSouth and CLECs will perform analysis, impact, sizing and estimating activities only to the Candidate Change Requests that meet the criteria established by the Internal Change Management Process. This ensures that participating parties are reviewing capacity and impacts to INTERNAL CHANGE MANAGEMENT PROCESSES. Both BellSouth and CLECs will perform analysis, impact, sizing and estimating activities only to the Candidate Change Requests that meet the criteria established by the Internal Change Management Process. This ensures that participating parties are reviewing capacity and impacts to schedules before assigning resources to activities</p>• <u>Inputs</u><ul style="list-style-type: none">- Candidate Change Request List with agreed upon 'Need by Dates'- Change Request Log• <u>Outputs</u><p>BellSouth's Proposed Release Schedule</p>• Cycle Time<ul style="list-style-type: none">- 22 Bus Days- 5-7 Bus Days prior to Release Package Mtg
9	<ul style="list-style-type: none">• Accountability<ul style="list-style-type: none">- BCCM- CCCM• <u>CONDUCT RELEASE PACKAGE MEETING</u><ul style="list-style-type: none">a Prepare agendab Make meeting preparationsc Evaluate proposed release scheduled Each company presents proposed changes to the Candidate Request Liste. If needed - Make recommendations for changes to proposed release schedule

STEP	ACTION
	<ul style="list-style-type: none"> f Non-scheduled Change Requests returned to Step 5 as Input for the "Prepare for Enhancement Review Meeting" process. g Based on BST/CLEC consensus create Approved Release Package h Identify Release Management Project Manager, if possible i Establish date for initial Release Management Project Meeting • Inputs <ul style="list-style-type: none"> - BellSouth's Proposed Release Schedule - Change Request Log • Outputs <ul style="list-style-type: none"> - Approved Release Package - Updated Change Request Log - Meeting Minutes - Non-Scheduled Change Requests (Return to Step 5) - Date for initial Release Management Project Meeting • Cycle Time 1-5 Bus Days
10	<ul style="list-style-type: none"> • Accountability <ul style="list-style-type: none"> - BCCM - — • CREATE RELEASE PACKAGE NOTIFICATION Develop and distribute Release Notification Package via e-mail • Inputs <ul style="list-style-type: none"> - Approved Release Package - Maintenance/Defect Notification (a BellSouth function exclusively – Notification provided 30 days prior to release) • Outputs Release Package Notification • Cycle Time

STEP	ACTION
	5 Bus Days after Release Package Mtg
11	<ul style="list-style-type: none">• Accountability<ul style="list-style-type: none">- BCCM (Project Managers from each participating company)- —• <u>RELEASE MANAGEMENT AND IMPLEMENTATION</u><ul style="list-style-type: none">a. Provide Project Management and Implementation of Release (See Appendix B)b. Lead Project Manager communicates Release Management Project status to BCCM for inclusion in Enhancement Review Package• <u>Inputs</u> Release Package Notification• <u>Outputs</u><ul style="list-style-type: none">- Project Release Status- Implementation Date- Project Plan, WBS, Risk Assessment, Executive Summary, etc• Cycle Time Ongoing

4. Enhancement Review

4.1 Enhancement Review Meeting

The Enhancement Review meeting provides the forum for reviewing and prioritizing Pending Change Requests, generating Candidate Change Requests, and submitting Candidate Change Requests for sizing. Meetings are to be held three times per year and are open to all CLECs with a maximum of 2 (two) participants from each company. Meetings will be structured according to category (pre-order, order, and maintenance) and will run in sequential sessions. A CLEC may choose to send different representatives to each of the sessions, however only 2 (two) participants will be allowed per session.

During the Enhancement Review Meeting each originator of a Change Request will be allowed 5 (five) minutes to present their Change Request. This presentation will be followed by a 15 (fifteen) minute question and answer session. After all presentations for a particular interface are complete, the prioritization process will begin.

An Enhancement Review Package containing all Change Requests to be reviewed, will be distributed 30 (thirty) calendar days prior to the Enhancement Review meeting. A Change Request must reach "P (Pending)" status 33 (thirty-three) business days prior to the distribution of the Enhancement Review Package to be placed on the agenda for the next scheduled meeting.

4.2 Enhancement Review Package

The Enhancement Review Package will be distributed to all participants 22 (twenty-two) business days prior to the Enhancement Review meeting. The package will include the following

- Meeting Notice
- Agenda
- Current Approved Release Package (from process step 9) – Descriptive view by release by Electronic Interface
- List of Change Requests to be reviewed (Change Request Log)
- Copy of Electronic Interface Change Control Process or reference to it on the BST web-site (for CLECs not familiar with the process, new CLECs or CLECs that choose to participate after the initial roll out)
- Distribution List of participating CCCMs
- Preliminary Prioritization List Form (to be completed by CLEC and mailed to BCCM)

4.3 Prioritizing Change Requests

Prior to the Enhancement Review Meeting, each participating CLEC will receive a Preliminary Prioritization List Form. The CLEC should use this form to provide a preliminary ranking of enhancements by category, by interface. Individual rankings will be consolidated by the BCCM and handed out at the Enhancement Review Meeting. The CCCMs must send their company's prioritization list to the BCCM one week prior to the Enhancement Review Meeting

Final prioritization will be determined at the Enhancement Review meeting after presentation of the Change Requests for each category.

Prioritization Voting Rules

- Voting on an interface not used by the CLEC is prohibited
- One vote per CLEC, per interface
- Forced Ranking (1 to N, with N being the highest) will be used
- Votes will be tallied to determine order of ranking
- Enhancements will be ranked by category, by interface
- The top 3 Enhancements from each interface will be included in the Candidate Request List for sizing and sequencing with a maximum of 22 Enhancements (4 Enhancements for LENS – 2 for order and 2 for pre-order)
- In case of a tie, the affected Enhancements will be re-ranked and prioritized based on the re-ranking

Example: The top 2 Enhancements from high to low are E5 and E2, with E1 and E4 tied for 3rd. E1 and E4 would be re-ranked and prioritized according to the re-ranking

Pre-Order LENS	CLEC 1	CLEC 2	CLEC 3	Total
E1	3	6	1	10
E2	4	2	6	12
E3	6	1	2	9
E4	2	4	4	10
E5	5	5	3	13
E6	1	3	5	9

5. Changes To This Process

5.1 Changes To This Process

The current, approved version of this process document will be stored under the component name "Exchgmg3.doc". The BellSouth Electronic Interface Change Control Manager BCCM (and alternate) will be the only persons authorized to update the document version.

Requests for changes to the Change Control Process may be submitted to the BellSouth Electronic Interface Change Control Manager (BCCM) using the Change Request form located in the Appendix A. Cosmetic changes may be made and published by the BCCM (or alternate) without further review. Other changes must be reviewed and approved by the CLEC/BST Steering Committee. When approval has been obtained, the BCCM (or alternate) will update the document version.

6. Terms and Definitions

6.1 Terms And Definitions

Accountability.	Individual(s) having responsibility for completing and producing the outputs of each sub-process as defined in the Detailed Process Flow.
Acknowledgment Notification.	Notification returned to originator by BCCM indicating receipt of Change Request
Approved Release Package.	Calendar of Candidate Change Requests with consensus target implementation dates as determined at the Release Package Meeting.
BellSouth Change Control Manager (BCCM).	BellSouth Single Point of Contact for processing Change Requests.
BFR (Bona fide Request).	Process used for providing custom products and/or services. Bona fide Requests are outside the scope of the Change Control Process and should be referred to the appropriate BellSouth Account Team.
Business Rules.	The logical business requirements associated with the Electronic Interfaces referenced in this document Business rules determine the when and the how to populate data for an Electronic Interface. Examples of data defined by Business Rules are: (Click here for examples) See Appendix E
Cancellation Notification.	Cancellation Notification Notification returned to originator by the BCCM indicating a Change Request has been canceled for one of the following reasons: duplicate request, training issue, or failure to respond to clarification.
Candidate Request List.	List of prioritized Change Requests with associated "Need by Dates" as determined at an Enhancement Review Meeting. These requests will be submitted for sizing and sequencing.
Candidate Change Request.	Change Requests that have been prioritized at an Enhancement Review Meeting and are eligible for independent sizing and sequencing by BellSouth and each CLEC

Change Request.	A formal request, submitted on a Change Request Form, to add new functions or Enhancements to existing Electronic Interfaces (as identified in the scope) in a production environment.
Change Request Status.	The status of a Change Request as it flows through the Change Control process as described in the Detailed Process Flow. (Click here for Change Request Status Codes) See Appendix E.
Clarification Notification.	Notification returned to the originator by the BCCM indicating required information has been omitted from the Change Request and must be provided prior to acceptance of the Change Request. The Change Request will be cancelled if clarification is not received by the date indicated on the Clarification Notification.
CLEC Change Control Manager (CCCM).	CLEC Single Point of Contact for processing Change Requests.
Cycle Time.	The time allotted to complete each step in the Change Control Process prior to moving to the next step in the process.
Defect (Production).	A "production defect" is a defect found in a production environment when the system is not operating as specified in a baseline business requirements document; that is, required functionality is not there.
Enhancement.	Functions which have never been introduced into the system; improving or expanding existing functions; required functional changes to system interfaces (user and other systems), data, or business rules (processing algorithms – how a process must be performed); any change in the User Requirements in a production system.
Enhancement Review Meeting.	Meeting held by the Enhancement Review participants to review and prioritize pending Change Request, generate Candidate Change Request, and submit Candidate Change Request for sizing and sequencing
Enhancement Review Package.	Package distributed by the BCCM 22 (twenty-two) business days prior to the Enhancement Review Meeting. The package includes the Meeting Notice, Agenda, Approved Release Package, Change Request Log, etc.

Internal Change Management Process.

Internal process unique to BellSouth and each participating CLEC for managing and controlling Change Requests.

Need-by-Date.

Date used to determine implementation of a Change Request. This date is derived at the Enhancement Review Meeting through team consensus. Example: 1Q99 or Release XX.

Priority.

The urgency assigned for resource allocation to implement an enhancement. Priority may be initially entered by the originator of the Change Request, but may be changed by the BCCM with concurrence from the originator or the Review Meeting participants. One of four priorities may be assigned. These levels reflect the order in which the work will be performed:
Urgent. Should be implemented as soon as possible. Resources may be pulled from scheduled release efforts to expedite this item. A need-by date will be established during the Enhancement Review Meeting. A special release may be required if the next scheduled release does not meet the agreed upon need-by date.
High. Implement in the next possible scheduled major release, as determined during the Release Package Meeting.
Medium. Implement in a future scheduled major release. A scheduled release will be established during the Release Package Meeting.
Low. Implement in a future scheduled major release only after all other priorities. A scheduled release will be established during the Release Package Meeting.

Project Plan.

Document which defines the strategy for Release Management and Implementation, including Scope Statement, Communication Plan, Work Breakdown Structure, etc. See Release Management Project Plan template, Attachment B-1.

Release – Major.

Implementation of scheduled Enhancement(s) which may or may not impact all CLECs; may or may not require CLECs to make changes to their interface and may or may not prohibit the use of an interface upon implementation of the Enhancement(s)
Application-to-Application and Machine-to-Human

Release – Minor.	Implementation of scheduled Enhancement(s) which do not require coordination with the entire CLEC industry, do not require CLECs to make changes to their interface or do not prohibit the use of an interface upon implementation of the Enhancement(s). Machine-to-Human.
Release Package.	Package distributed by the BCCM listing the Candidate Change Requests that have been targeted for a scheduled release.
Release Package Notification.	Package distributed by the BCCM and used to conduct an initial Release Management and Implementation meeting. The package includes the list of participants, meeting date, time, Approved Release Package, Maintenance/Defect Notification, etc.
Single Point of Contact (SPOC).	Single Point of Contact within BellSouth for reporting defects to Electronic Interfaces.
Specifications.	Detailed, exact document(s) describing enhancement requested and included with the Change Request as additional information.
Version (Document)	Indicates variation of an earlier Change Control process document. Users can identify the latest version by the version control number.

A. Change Control Forms

A.1 Change Control Forms

This section identifies the forms to be used during the initial phases of the Change Control process accompanied by a brief explanation of their use. Attachments A1 – A-4A contains sample Change Control forms and line by line Checklists.

Change Request Form.	Used when submitting a request for an enhancement. Go to: http://www.bellsouth.com/interconnection/forms/lec/lec_form.htm to access this form.
Change Request Form Checklist.	Provides line-by-line instructions for completing the Change Request form. Go to: http://www.bellsouth.com/interconnection/forms/lec/lec_form.htm to access these instructions.
Change Request Clarification Response.	Used when responding to request for clarification or Clarification Notification. Go to: http://www.bellsouth.com/interconnection/forms/lec/lec_form.htm to access this form.
Change Request Clarification Checklist.	Provides line-by-line instructions for completing the Change Request Clarification Response. Go to: http://www.bellsouth.com/interconnection/forms/lec/lec_form.htm to access these instructions.
Acknowledgement Notification.	Advises originator of receipt of Change Request by BCCM (Click here for sample).
Acknowledgement Notification Checklist.	Provides line-by-lines instructions for completing the Acknowledgement Notification. (Click here for Checklist)
Cancellation Notification. .	Advises the originator of cancellation of a Change Request (Click here for Sample).
Cancellation Notification Checklist.	Provides line-by-line instructions for completing the Cancellation Notification. (Click here for Checklist).
Clarification Notification.	Advises originator that a Change Request is being held pending receipt of additional information (Click here for sample).
Clarification Notification Checklist.	Provides line-by-line instructions for completing the Clarification Notification (Click here for Checklist).

(1) Change Request Log #: 878	(2) Date Change Request Submitted: 04/01/1998
(4) Internal Reference #: ARX00000	(3) Date Change Request Received: 04/01/1998
	(5) Date of Notification: 04/04/1998
(6) Company Name: John Doe Telephone	
(7) Title of Change: Creation of new EDI transaction for jeopardy processing - 870 transaction number	
(8) Request Category: Add New Functionality	
(9) Response due date: 04/08/1998	
(10) BCCM Contact name _____	(11) Phone _____

Figure 3 Acknowledgement Notification (Sample)

(1) Change Request Log #: 878	(2) Date Change Request Submitted: 04/01/1998
(4) Internal Reference #: ARX00000	(3) Date Change Request Received: 04/01/1998
	(5) Date of Notification: 04/04/1998
(6) Company Name: John Doe Telephone	
(7) Title of Change: Creation of new EDI transaction for jeopardy processing - 870 transaction number	
(8) Cancellation Type: Duplicate Request	
(9) Cancellation Acknowledgment Date: 05/15/1998	
(10) Cancellation Explanation: Same functionality as Change Request RWR52434	
(11) BCCM Contact name _____	(12) Phone _____

Figure 4 Cancellation Notification (Sample)

(1) Change Request Log #: 878	(2) Date Change Request Submitted: 04/01/1998
(4) Internal Reference #: ARX00000	(3) Date Change Request Received: 04/01/1998
(5) Date of Notification: 04/04/1998	
(6) Company Name: John Doe Telephone	
(7) Title of Change: Creation of new EDI transaction for jeopardy processing - 870 transaction number	
(8) Request Category: Add New Functionality	
(9) Please Clarify:	
<input type="checkbox"/> Date Change Request Submitted (2)	<input type="checkbox"/> CLEC or BST (3)
<input type="checkbox"/> Company Name (4)	<input type="checkbox"/> CCM (5)
<input type="checkbox"/> CCM Phone (6)	<input type="checkbox"/> CCM E-mail (7)
<input type="checkbox"/> Fax (8)	<input type="checkbox"/> Alternate CCM (9)
<input type="checkbox"/> Alternate Phone (10)	<input type="checkbox"/> Title of Change (13)
<input type="checkbox"/> Category (14)	<input type="checkbox"/> Assessment of Impact (16)
<input type="checkbox"/> Priority (17)	<input type="checkbox"/> Interfaces affected (18)
<input type="checkbox"/> Type of Change (19)	<input type="checkbox"/> Description (20)
<input type="checkbox"/> Known dependencies (21)	<input type="checkbox"/> Additional Information (22)
(10) Response due by: 04/08/1998	
(11) BCCM Contact name _____ (12) Phone _____	

Figure 5 Clarification Notification (Sample)

Table B Acknowledgement Notification Checklist

Field	Checklist	Description	Instructions	Action Required
1	Mandatory	A Change Request Log Number generated by "the Change Request Logging system".	Return to sender	Log number - system generated.
2	Mandatory	Date Change Request sent to BCCM.	Return to sender	
3	Mandatory	Date Change Request received by BCCM	Return to sender	
4	Optional	Optional field for the initiator to use for internal tracking. The request may be generated prior to submission into the BellSouth EI Change Control Process.	Return to sender (if used).	No action

- continued -

Table B Acknowledgement Notification Checklist (continued)

Field	Checklist	Description	Instructions	Action Required
5	Mandatory	Date of Change Request Notification.	Return to sender	Current system date/ time.
6	Mandatory	Originating Company name of the Change Request	Return to sender	
7	Mandatory	A short, but descriptive name (title) for referencing the Change Request.	Return to sender	
8	Mandatory	Identify request category for the Change Request.	Return to sender	
9	Mandatory	Response due date.	Return to sender	
10	Mandatory	BCCM Contact Name.	Return to sender	
11	Mandatory	BCCM Contact Phone Number	Return to sender	

Table C Cancellation Notification Checklist

Field	Checklist	Description	Instructions	Action Required
1	Mandatory	A Change Request Log Number generated by "the Change Request Logging system".	Return to sender	Log number - system generated.
2	Mandatory	Date Change Request sent to BCCM.	Return to sender	
3	Mandatory	Date Change Request received by BCCM.	Return to sender	
4	Optional	Optional field for the initiator to use for internal tracking. The request may be generated prior to submission into the BellSouth EI Change Control Process.	Return to sender (if used)	No action.

- continued -

Table C Cancellation Notification Checklist (continued)

Field	Checklist	Description	Instructions	Action Required
5	Mandatory	Date of Change Request Notification	Return to sender	Current system date/time.
6	Mandatory	Originating Company name of the Change Request.	Return to sender	
7	Mandatory	A short, but descriptive name (title) for referencing the Change Request.	Return to sender	
8	Mandatory	Canceled Change Request reasoning.	Return to sender	
9	Mandatory	Cancellation Acknowledgment Date	Return to sender	
10	Mandatory	BCCM Contact Name	Return to sender	
11	Mandatory	BCCM Contact Phone Number	Return to sender	

Table D Clarification Notification Checklist

Field	Checklist	Description	Instructions	Action Required
1	Mandatory	A Change Request Log Number generated by "the Change Request Logging system".	Return to sender	Log number - system generated.
2	Mandatory	Date Change Request sent to BCCM.	Return to sender	
3	Mandatory	Date Change Request received by BCCM.	Return to sender	
4	Optional	Optional field for the initiator to use for internal tracking. The request may be generated prior to submission into the BellSouth EI Change Control Process.	Return to sender (if used).	No action.

- continued -

Table D Clarification Notification Checklist (continued)

Field	Checklist	Description	Instructions	Action Required
5	Mandatory	Date of Change Request Notification.	Return to sender	Default to current system date/time.
6	Mandatory	Originating Company name of the Change Request.	Return to sender	
7	Mandatory	A short, but descriptive name (title) for referencing the Change Request.	Return to sender	
8	Mandatory	Request Category	Return to sender	
9	Mandatory	Clarification Considerations - Numbers in parentheses refer to corresponding fields on the Change Request Form.	Return to sender	
10	Mandatory	Response due by date.	Return to sender	
11	Mandatory	BCCM Contact Name.	Return to sender	Default to BCCM.
12	Mandatory	BCCM Contact Phone Number	Return to sender	Default to BCCM Number.

B. Release Management

B.1 Release Management

Release Management and Project Implementation is described in Step 11 of the Change Control Process. Project Managers are responsible for confirming the release date, developing project plans and requirements, providing the WBS, Gantt chart and Executive Summary to the BCCM for input to the Enhancement Review Package and ensuring the successful implementation of the release.

The BST Change Control Manager (BCCM) will distribute the Release Notification Information via email. The Notification should contain the following information:

- List of participants (Project Managers from each stakeholder)
- Date(s) for the next Project Manage Release meeting(s)
- Times
- Logistics
- Meeting facilitator and minutes originator (rotated between stakeholders)
- Current Approved Release Package (email attachment)
- Current Maintenance/Defect Notification Information (email attachment)
- Draft Release Project Plan - WBS (email attachment created by the Lead Project Manager (s) assigned in step 9 of the Change Control Process)
- Lead Project Manager (s) assigned to the Release with reach numbers (s)

Attachments B1 – B12 contain templates designed to assist the Project Manager(s) in conducting project management responsibilities as needed for Release Management and Implementation.

B.2 Attachment B-1

PROJECT NAME - RELEASE NUMBER	PREPARED BY (PRINT)	SIGNATURE	DATE PREPARED

Scope Statement

The project scope defines the boundaries by which the project will operate. The scope statement will be used to obtain agreement and approval from the customers and stakeholders for the project funding.

Note: See *Scope Statement Template*

Communication Plan

The project team will determine the type and frequency of communications that must take place during the project life cycle to enable the project's success. The table below outlines the agreed to communication vehicles.

Status Communiqué	Distribution	Frequency	Owner
Project Release Status Report	•Team Members •Enhancement Review Team	•Weekly •Monthly	Project Manager
Team Member To Do List	•Team Member	•Weekly	Project Manager
Executive Summary	•Project Sponsor	•Monthly	Project Manager
Status Meeting/Minutes	•Team Members	•Weekly	Project Manager

All escalations will be communicated by the project manager to the project sponsor.

Note: See *Project Release Status Report*

Note: See *CCP To Do List/Resource (part of Microsoft Project file - Custom Report)*

Note: See *CCP To Do List/Dates (part of Microsoft Project file - Custom Report)*

Project Tracking Plan

Project tracking and control is the process whereby the project manager determines the degree to which the project plan is being met. The focus is on the schedule, budget and resource allocations.

The project manager will hold regularly scheduled team meetings for the purpose of updating the Work Breakdown Schedule (WBS) with accurate information. During these meetings, all new issues will be raised and assigned to an owner for resolution. All existing issues will be reviewed for current status and/or closure.

Other documents to be updated during the team meetings are as follows:

- Change Control Plans
- Risk Management Plans
- Communication Plans
- Scope Statements
- Team Roster and Responsibilities

Project status will be created and distributed as defined in the Communications Plan.

Work Breakdown Structure

The project manager will develop a Work Breakdown Structure (WBS) in the appropriate project management software application, including tasks, durations, start/end dates, dependencies, personnel resources, and related costs. A draft version of the WBS will be created by the project manager and reviewed with the project team in an effort to effectively utilize the team's time. The WBS will be revised and agreed to by the entire team to facilitate activity ownership and commitment.

While creating the WBS, the team should consider all resource, time, budget and performance constraints associated with the project.

Note: See *WBS Template (part of Microsoft Project file - Gantt View)*

Roles and Responsibilities

Project roles will be defined to clearly identify expectations among project participants. Update the table below with the correct project roles and responsibilities.

Roles	Responsibilities
Project Manager	Identify Preliminary Resources Hold Kick-off Meeting Develop Project Plan Documents Track Project Status Time Cost Manage Change Control Manage Issues Communicate Project Status
Project Sponsor	Understand Current Project Status Single Point of Contact for Escalations Communicate Project Status Define/Approve Milestone Exit Criteria
Stakeholder	Provide Team Members / External Project Support Understand Current Project Status Define Milestone Exit Criteria
External Project Support	Perform Agreed to Activities as Defined Provide Project Manager Status
Team Members	Attend Project Team Meetings Perform Agreed to Activities as Defined Provide Project Manager Status

Project Team Roster

A list of all parties associated with or impacted by the project should be documented and distributed to the team.

Note: *See Project Team Roster*

Risk Management Plan In an effort to mitigate possible negative impacts to the project, a high-level risk assessment should be performed during the initial phase of the project. For each high-level risk, the team should develop a mitigation strategy or position. As potential risks are identified during the project life cycle, the team should again develop a mitigation strategy or position.

Note: *See High-Level Risk Assessment*

Note: *See Risk Event Assessment and Planning*

Change Control Plan

Throughout the project life cycle, changes will be introduced which will impact the project scope statement. These changes could be due to a new customer need/requirement or a miss communication of an existing requirement. Each change must be evaluated to effectively understand the possible impact to resources, time and/or cost.

Note: *See Scope Change Request and Evaluation*

Note: *See Scope Change Request Log*

Project Issues

Day to day issues will be entered on a project issues log as an interim solution until further discussion can take place among the team. Each issue could result in the addition of a new activity to the WBS, a risk to be evaluated in the Risk Management Plan, or a change to be managed through the Change Control Plan.

Note: *See Project Issue Log*

B.3 Attachment B-2

Scope Statement Template

Document Preparation Information	
PROJECT NAME - REQUIRE NUMBER	DATE PREPARED
Project Definitions	
PROJECT TITLE	
PROJECT MANAGER	
PROJECT TEAM MEMBERS	
GOALS/OBJECTIVES	
SCOPE STATEMENT	
ASSUMPTIONS	
MAJOR RISKS	
DELIVERABLES	
ACCEPTANCE CRITERIA	
PHASES	
KEY MILESTONES	
KEY RESOURCE REQUIREMENTS	
EXTERNAL CONSTRAINTS	
RELATED PROJECTS	

Figure 6 Scope Statement Template

B.4 Attachment B-3

Project Release Status Report

Document Preparation Information				
PROJECT NAME	RELEASE NUMBER	PREPARED BY (PART)	DATE	DATE PREPARED

General Information				
PROJECT MANAGER	CURRENT PROJECT PHASE	SUPPORTING DOCUMENTS ATTACHED*	WEEK END DATE	
		<input type="checkbox"/> Yes <input type="checkbox"/> No		

Report Information		
Status Changes from Last Report	<input checked="" type="checkbox"/>	Explain
Assumptions	<input type="checkbox"/>	
Scope	<input type="checkbox"/>	

Schedule Information				
High-Level Phase Deliverable	Original Complete Date	New Est. Complete Date	Actual Complete Date	Explanation

Budget Information					
Project Tracking Element	YTD Budget	YTD Actual	YTD Diff.	% Diff.	Explanation

Deliverable Information
COMPLETED DELIVERABLES
DELIVERABLES DUE NEXT PERIOD

Figure 7 Project Release Status Report

B.5 Attachment B-4

B.5.1 Work Breakdown Structure Template

Table E Project Management WBS Template

ID	Task Name	Duration	Start	Finish	Pred	Resource
1	Obtain Executive Commitment	1d	1/9/98	1/9/98		All
2	Define Requirements	3d	1/9/98	1/13/98		
3	Gather/Analyze Existing Documentation	1d	1/9/98	1/9/98		All
4	Meet to Baseline Requirements (several meetings)	1d	1/12/98	1/12/98	3	All
5	Produce Baseline Requirements Document	1d	1/13/98	1/13/98	4	All
6	Perform Analysis	4d	1/14/98	1/19/98		
7	Analyze Requirements Document	1d	1/14/98	1/14/98	5	BST
8	Produce/Distribute Updated Requirements Document	1d	1/15/98	1/15/98	7	BST
9	Meet to Understand Updated Requirements Document	1d	1/16/98	1/16/98	8	All
10	Analyze/Finalize Updated Requirements Document	1d	1/19/98	1/19/98	9	All
11	Perform Coding/Construction (design, code, unit test)	1d	1/20/98	1/20/98	10	All
12	Perform Testing	5d	1/20/98	1/26/98		
13	Create Test Plans	1d	1/20/98	1/20/98	10	All
14	Perform Internal Testing (systems, integration)	1d	1/21/98	1/21/98	13, 11	All
15	Perform External Testing	3d	1/22/98	1/26/98		
16	Perform Network Validation Testing (NVT)	1d	1/22/98	1/22/98	14	All
17	Perform End to End Testing	1d	1/23/98	1/23/98	16	All
18	Perform Stress/Volume	1d	1/26/98	1/26/98	17	All
19	Make Go/No Go Decision	1d	1/27/98	1/27/98	18	All

- continued -

Table E Project Management WBS Template (continued)

ID	Task Name	Duration	Start	Finish	Pred	Resource
20	Deploy Release/Cut Over	11d	1/15/98	1/29/98		
21	Develop Recovery Plan (Back-Out)	1d	1/15/98	1/15/98	23FS-10d	All
22	Develop Migration Plan Old to New (60-90 days) (Freeze Old Code)	1d	1/28/98	1/28/98	19	All
23	Perform Cut-Over	1d	1/28/98	1/28/98	19	All
24	Develop Post Implementation Audit Report	1d	1/29/98	1/29/98	23	All
25	Perform Training	8d	1/20/98	1/29/98		
26	Develop Training Plan	1d	1/20/98	1/20/98	10	All
27	Develop Training Package	1d	1/21/98	1/21/98	26	All
28	Train Users	1d	1/29/98	1/29/98	23	All

B.6 Attachment B-5

Table F To Do List by Resource as of 2/10/98

ID	Task Name	Duration	Start	Finish	Predecessors	Resource
Week of Jan 4						
1	Obtain Executive Commitment	1d	1/9/98	1/9/98		All
3	Gather/Analyze Existing Documentation	1d	1/9/98	1/9/98		All
Week of Jan 11						
4	Meet to Baseline Requirements (several meetings)	1d	1/12/98	1/12/98	3	All
5	Produce Baseline Requirements Document	1d	1/13/98	1/13/98	4	All
21	Develop Recovery Plan (Back-Out)	1d	1/15/98	1/15/98	23FS-10d	All
9	Meet to Understand Updated Requirements Document	1d	1/16/98	1/16/98	8	All
Week of Jan 18						

- continued -

Table F To Do List by Resource as of 2/10/98 (continued)

ID	Task Name	Duration	Start	Finish	Predecessors	Resource
10	Analyze/Finalize Updated Requirements Doc	1d	1/19/98	1/19/98	9	All
11	Perform Coding/Construction (design, code)	1d	1/20/98	1/20/98	10	All
13	Create Test Plans	1d	1/20/98	1/20/98	10	All
26	Develop Training Plan	1d	1/20/98	1/20/98	10	All
14	Perform Internal Tests (systems, integration)	1d	1/21/98	1/21/98	13, 11	All
27	Develop Training Package	1d	1/21/98	1/21/98	26	All
16	Perform Network Validation Testing (NVT)	1d	1/22/98	1/22/98	14	All
17	Perform End to End Testing	1d	1/23/98	1/23/98	16	All
Week of Jan 25						
18	Perform Stress/Volume	1d	1/26/98	1/26/98	17	All
19	Make Go/No Go Decision	1d	1/27/98	1/27/98	18	All
22	Develop Migration Plan Old to New	1d	1/28/98	1/28/98	19	All
23	Perform Cut-Over	1d	1/28/98	1/28/98	19	All
24	Develop Post Implementation Audit Report	1d	1/29/98	1/29/98	23	All
28	Train Users	1d	1/29/98	1/29/98	23	All

B.7 Attachment B-6

Table G To Do List by Dates as of 2/10/98

ID	Task Name	Duration	Start	Finish	Predecessors	Resource
1	Obtain Executive Commitment	1d	1/9/98	1/9/98		All
3	Gather/Analyze Existing Documentation	1d	1/9/98	1/9/98		All
4	Meet to Baseline Requirements (several mtgs)	1d	1/12/98	1/12/98	3	All
5	Produce Baseline Requirements Document	1d	1/13/98	1/13/98	4	All

- continued -

Table G To Do List by Dates as of 2/10/98 (continued)

ID	Task Name	Duration	Start	Finish	Predecessors	Resource
7	Analyze Requirements Document	1d	1/14/98	1/14/98	5	BST
8	Distribute Updated Requirements Document	1d	1/15/98	1/15/98	7	BST
21	Develop Recovery Plan (Back-Out)	1d	1/15/98	1/15/98	23FS-10d	All
9	Meet to Understand Updated Requirements Document	1d	1/16/98	1/16/98	8	All
10	Analyze/Finalize Updated Requirements Doc	1d	1/19/98	1/19/98	9	All
11	Perform Coding/Construction (design, code)	1d	1/20/98	1/20/98	10	All
13	Create Test Plans	1d	1/20/98	1/20/98	10	All
26	Develop Training Plan	1d	1/20/98	11/20/98	10	All

B.8 Attachment B-7

Project Team Roster

Document Preparation Information

PROJECT NAME - RELEASE NUMBER	PREPARED BY (PRINT)	WORKSITE	DATE PREPARED
			BY DATE

Guideline Use this roster format as guidance, expanding or condensing as necessary

Project Management

PROJECT MANAGER	EMAIL	PHONE	FACSIM	FAX

Sponsor/Stakeholder

PROJECT SPONSOR	EMAIL	PHONE	FACSIM	FAX
STAKEHOLDER	EMAIL	PHONE	FACSIM	FAX

External Project Support

NAME	EMAIL	PHONE	FACSIM	FAX
NAME	EMAIL	PHONE	FACSIM	FAX
NAME	EMAIL	PHONE	FACSIM	FAX
NAME	EMAIL	PHONE	FACSIM	FAX

Project Team

NAME	EMAIL	PHONE	FACSIM	FAX
NAME	EMAIL	PHONE	FACSIM	FAX
NAME	EMAIL	PHONE	FACSIM	FAX
NAME	EMAIL	PHONE	FACSIM	FAX
NAME	EMAIL	PHONE	FACSIM	FAX
NAME	EMAIL	PHONE	FACSIM	FAX
NAME	EMAIL	PHONE	FACSIM	FAX

Figure 8 Project Team Roster

B.9 Attachment B-8

High-Level Risk Assessment

Document Preparation Information

PROJECT NAME - RELEASE NUMBER	INITIATOR (PART)	DATE	PREPARED BY

Instructions: Put a check in the column that provides the best answer. Use the attached sheets for an explanation of each item. After all items have been evaluated, provide an overall risk assessment based on the individual responses.

High-Level Risk Assessment

Risk Category	Level of Risk			
	Not Applicable	Low Risk	Moderate Risk	High Risk
Strategic importance				
Management support				
Budget availability				
Resource availability				
Project manager availability				
Time frame				
Clarity of and agreement on project objectives				
Participation in project definition				
Customer interest and involvement				
User involvement				
Technical complexity				
Technology maturity				
Relevant experience				
Supplier/contractor involvement				
Major obstacles				
OVERALL RISK				

Figure 9 High-Level Risk Assessment

Guidelines

Strategic Importance

Assess the strategic importance of the project. How essential is it to the planned corporate objectives or to the maintenance of current operations? The less essential the project, the greater the risk that it will not receive sufficient support and attention.

Low Risk: The project has substantial strategic importance; it has either been mentioned directly as a major initiative or directly supports a major initiative.

Moderate Risk: Failure to complete the project would jeopardize the achievement of major initiatives. Project sponsors would designate the project as "necessary."

High Risk: The project does not directly relate to any major strategic initiatives. Project sponsors would designate the project as "nice to have."

Management Support

Determine the extent to which management throughout the company actively supports the project. Management support is essential if the project is to be effectively carried out. Management provides the resources by which the project is accomplished.

Low Risk: Management in all organizations that will participate in the project actively supports the project initiative and willingly commits resources to the effort.

Moderate Risk: Project sponsor provides strong support and establishes momentum among other managers who control resources.

High Risk: Project sponsor is not strongly interested; no significant management attention or interest from any side.

Budget Availability

Evaluate the availability of funding to support the project. Determine whether funding will be available in the time frame necessary to carry out the work. Ensure funding is available for all resources—people, suppliers, material, computer time, and so on.

Low Risk: Funding has been identified for the project, matching the time frame in which funds are required.

Moderate Risk: Funding has not been identified specifically for the project; however, funding is available within established budgets and management has approved its use.

High Risk: Funding has not been identified for the project, and funds are tight or unavailable within existing budgets.

Resource Availability

People are the most critical resource for the project. Evaluate the availability of human resources, assessing not only whether the required number of people are available but whether the right types of skills and experience levels are also available.

Low Risk: A project team has already been identified with the requisite skills; team members have been committed to the effort.

Moderate Risk: Project team members have not been identified specifically. Most skills are thought to be readily available within the company.

High Risk: Project team members have not been identified. Resources are scarce, and obtaining the necessary skills will be difficult in the required time frame.

Project Manager Availability

The availability of a qualified project manager will increase the chances of project success. Assess whether a project manager is available and will be assigned to the project.

Low Risk: A project manager has already been identified for the project and is available in the required time frame.

Moderate Risk: A project manager has not been specifically identified, but qualified project managers are available.

High Risk: No qualified project manager is available to assume responsibility for the project.

Time Frame

Assess the time frame in which the project is required. Tighter time frames increase overall project risk. There should be sufficient time to plan the project thoroughly and to accomplish all project tasks.

Low Risk: There is sufficient time available for project planning and project execution, including provision for a reasonable amount of slack time to accommodate unforeseen delays.

Moderate Risk: There is sufficient time for project planning and project execution, assuming an optimized schedule with an aggressive critical path.

High Risk: Even with the most aggressive scheduling, the project time frame is unrealistic. Deadlines will possibly result in cutting corners to meet the schedule.

**Clarity of and Agreement on
Project Objectives**

Assess the degree to which project objectives have been defined clearly. If the objectives are not clear, it is unlikely that the project will be carried out successfully. Also important is the extent to which the project objectives have been communicated and bought into by the company's organizational elements that will contribute to or support the project.

Low Risk: Project objectives are clearly defined, have been communicated throughout relevant organizations, and have been agreed to.

Moderate Risk: Project objectives have been generally defined, and there is general agreement with them. There is no detailed description of the objectives, however.

High Risk: Project objectives have not been defined, or there is substantial disagreement with them among the organizations.

**Participation in Project
Definition**

Determine whether the project has already been defined or if the project manager and project team will be allowed to participate in the project definition. Projects that are defined and handed to the project team are generally more difficult to complete than projects in which the project team participates in the project definition process.

Low Risk: There is no current project definition, the project team will be a key player in the project definition process.

Moderate Risk: There is a current project definition; however, the project team will have an opportunity to review and revise that definition during the planning process.

High Risk: The project definition is already established, the project team will have no opportunity to revise it.

