

APPENDIX N

**APPENDIX N
DELIVERABLES MANGEMENT GUIDELINE**

**COMMONWEALTH OF PENNSYLVANIA
DEPARTMENT OF HUMAN SERVICES
DELIVERABLES MANAGEMENT GUIDELINE**

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Deliverables Management Guideline

Introduction

The deliverables management guideline documents the process for receiving, monitoring, managing, verifying, reviewing, and determining the disposition of project related deliverables for contracts managed by the Department of Public Welfare Bureau (DPW).

Purpose

The purpose of this document is to provide a process, methodology, and reference guide for the management and control of project related deliverables, with focus on contractor-developed deliverables.

The deliverable management process assists DPW Project Officers and staff by providing support for the management and control of a project and the specific deliverables associated with that project.

Objectives

The objectives of the deliverables management process are to:

- Define the steps associated with receiving, reviewing and determining disposition of project related deliverables.
- Identify the responsible individuals and/or groups and their associated tasks.
- Ensure deliverables are reviewed by the appropriate staff to promote quality.
- Document the disposition of deliverables as they are moved through the process.

Benefits

The use of the deliverables management process benefits the project officer, designated reviewers, those responsible for creating and providing the defined deliverables, and the Department by:

- Clearly identifying required deliverables
- Assisting in maintaining the project schedule by ensuring agreed upon deliverables are received timely
- Reviewing processes clearly outlined, defined and documented
- Providing guidance to the Project Officer and defining the status and disposition of deliverables
- Providing support and documentation for resolving issues, if required

- Reducing the likelihood that the quality, performance or functionality of the deliverables will be impaired
- Ensuring that the appropriate individuals have input in the process of review
- Reducing the likelihood of stakeholder dissatisfaction

Definitions

Refer to **Appendix A** for a list of the terms and acronyms used in this document.

Roles and Responsibilities

There are various staff resources and stakeholders involved in managing the contract for this project. In some cases, one individual may perform multiple roles in the process. Refer to **Appendix B** for specific roles and responsibilities, as they pertain to Contract Management.

All project staff will be trained on their contract management responsibilities by their manager/lead when they join the project. Project meetings are used to brief staff on any changes to the process.

Overview of the Deliverables Process

Submission

The performing organization provides the required deliverables to the DPW Project Officer.

Review

The designated reviewers review and validate the deliverables and forward their findings to the DPW Project Officer for compilation. The Project Officer reviews the consolidated comments and produces a recommended disposition for the deliverable.

Disposition

The Project Officer makes a final determination as to the disposition of the deliverable, based in part on the information compiled from the reviewing process and disposition letter to the performing organization.

Step 1 – Submission

Deliverables, appointment and termination letters, and invoices are developed and submitted by the performing organization for DPW's review and approval through the deliverables management process described herein.

Develop Deliverable

Deliverables are defined based on business needs and project scope. These deliverables may be defined in a Request for Quotation (RFQ), Request for Proposal (RFP), Vendor Proposal, Contract, Requirements Document, Statement of Work (SOW), cost submission, work order, or similar purposed document.

After receiving authorization for the work to proceed, and in line with the approved timeframe, the performing organization develops project or initiative deliverables.

Submit Deliverable

After the contractor ensures a deliverable meets the agreed upon requirements and quality objectives, the contractor then prepares an email message to DPW attaching the deliverable, correspondence letter, and any other required documents. The email is submitted to the DPW Project Officer.

Step 2 – Review

Review Deliverable

The designated reviewers examine the deliverable to ensure it satisfies the terms defined in the contract or in the requirements definition or other project documentation. (Refer to **Appendix C** for a partial list of examples of criteria reviewers consider during their examination of the deliverable.) The reviewers ensure the deliverable has been through the appropriate processes and reviews and deliverable verification consistent with DPW Standards. The reviewers then document their findings and comments. The contract defines the maximum number of days for the reviewers to review, document, and respond.

Recommend Disposition

Once the Project Officer reviews reviewers' comments then provides a disposition of the deliverable: 1) approval, 2) conditional approval, or 3) rejection.

Approval indicates unconditional acceptance of the deliverable. Conditional approval requires the contractor to satisfactorily respond to reviewer comments within the number of days specified in the contract. The contractor's response in turn passes through the review cycle for approval. Rejection requires the contractor to respond to comments through the review cycle also, again within the timeframe established in the contract. The difference between the two is conditional approval allows work on the next phase of the project to continue and for the invoice to be paid, while rejection halts work on the next phase and does not allow the invoice for the current body of work to be paid until the contractor's response has been approved.

Step 3 – Disposition

Submit Final Disposition

The Project Officer prepares the disposition letter. Acceptance or non-acceptance of a deliverable is at the discretion of the DPW Project Officer.

Final disposition is forwarded to the performing organization for notification. If a disposition other than approval is reached, the conditions that must be met for acceptance are provided to the performing organization with the disposition letter. In such a case, the performing organization must correct the deficiencies at no charge and resubmit the deliverable within the established timeframe, proceeding through the process as described in the previous steps.

Appendix A – Definitions

Contract

A contract is a type of written agreement, regardless of what it may be called, for the procurement of supplies, services, or construction and executed by all parties in accordance with the Commonwealth.

Contract Correspondence

Contract correspondence is additional, non-project specific documents submitted for review. Examples include: DBE (Disadvantaged Business Enterprise) commitment proposals, SLA (Service Level Agreement) waivers, and Corrective Action Plans.

Contract Management

Contract management is the final two essential steps of procurement management that includes activities such as monitoring and control of performance, reviewing progress, making payments, recommending modifications, and approving contractors' actions to ensure compliance with contractual terms during contract execution. It is the process of ensuring the contractor's performance meets contractual requirements.

Deliverable

A deliverable is a physical item or tangible work product required by a contract/work order, produced by the contractor, and delivered to the Department. (See the definition for Work Product for clarification on the distinction between a deliverable and a work product.)

Performing Organization

The performing organization is an organizational unit responsible for the performance and management of resources to develop, document, and submit specified deliverables for review and approval. The Performing Organization is either a particular external contractor or a division or divisions within the Department's Bureau of Information Systems for in-house development projects

Work Order

A work order is a document submitted by the contractor that – when approved by the DPW Contract Manager – authorizes work to be performed on an initiative, and approves costs and timeframes for the deliverables associated with that work.

Appendix B – Roles and Responsibilities

Contractor

A contractor is any entity that has entered into a contract for the provision of goods or services with a Commonwealth agency and/or Department Program, Project Team, or Representative.

Project Officer

The project officer has the single authority to act for DPW under the contract. Whenever the Commonwealth is required by terms of the contract to provide written notice to the contractor, such notice is signed by the project officer, or in that individual's absence or inability to act, such notice may be signed by the project officer's designee.

The project officer is also responsible for acceptance or non-acceptance of each deliverable identified in the contract. Prior to any payment being made, the DPW Project Officer certifies via the acceptance process that the products or services, for which invoices were issued, have been received and accepted.

Designated Reviewer

The designated reviewer is an individual or group that has the responsibility to ensure the deliverable satisfies the terms defined in the project documentation and contract.

Appendix C – Review Acceptance Criteria

Reviewers examine the deliverable for acceptance criteria such as the following partial list:

- Is there sufficient funding available for this?
- Is this within scope?
- Is it what was agreed upon?
- Is it feasible?
- Is it accurate?
- Does the solution fit in with DPW's requirements?
- Does it meet standards?
- Is the verbiage used appropriate and understandable?
- Does the solution meet the federally mandated policy?
- Is there undesirable impact on DPW staff or resources?
- Is there adequate validation?
- Is the deliverable complete?
- Is there sufficient time allotted?