



# CONNECTICUT

## Policy and Management

<b>Policy Title:</b>	Policy for the Management of State Information Technology (IT) Projects
<b>Originator:</b>	Office of Policy and Management (OPM)
<b>Effective Date:</b>	June 8, 2026
<b>Supersedes:</b>	Version 2.0, IT-SDLC-17-04 (December 13, 2017)
<b>History:</b>	Version 3.0
<b>Applies to:</b>	State Agencies defined in C.G.S. § 4d-1(3); State Executive Branch Agencies as defined by C.G.S. § 4-67o
<b>Relevant Laws or Regulations:</b>	C.G.S. §§ 4-5, 4-8, 4-65a, 4-66, 4-67o, 4-68z, 4d-1(3), and 4d-8a

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### Purpose

The policy is to provide state agencies with the necessary guidance, principles and expectations for the effective management of projects requiring significant information technology work or procurement. The purpose of this policy is to bring consistency to practices, risk management protocols and controls used in the planning and execution of Information Technology (IT) projects, regardless of funding sources, and promote better direction, delivery, and accountability for technology project timelines, costs, quality, and outcomes.

### Enabling Authority

In accordance with C.G.S. §§ 4-5, 4-8, 4-65a, 4-66, 4d-1(3), and 4d-8a, the Office of Policy and Management (“OPM”) is responsible for developing and implementing an integrated set of policies pertaining to information and telecommunications systems for state agencies. Pursuant to Section 4-68z of the General Statutes, OPM is also responsible for establishing and overseeing a state-wide process improvement initiative to assist executive branch agencies with business process analysis for purposes of (1) streamlining processes, (2) optimizing service delivery through information technology, (3) eliminating unnecessary work, (4) establishing standardized work flows, and (5) prioritizing available resources to promote economic growth, improve services and increase workforce productivity.

## **Scope and Reach**

This policy applies to all IT projects undertaken by all state agencies defined in C.G.S. § 4d-1(3) and state executive branch agencies as defined by C.G.S. § 4-67o. Agencies should extend this policy, by contract or otherwise, to vendors involved in such projects (including those vendors or contractors functioning as qualified project managers) to ensure project and fiscal accountability. Other branches of government, including the Legislature and the Judiciary, are encouraged to adopt similar standards.

This policy sets a baseline for agencies' initial project risk assessment activities and corresponding project management activities. Agency heads or their designees are encouraged to develop supplemental internal procedures consistent with this baseline and consistent with the agency's or the project's specific needs or any associated statutory or regulatory obligations regarding project governance or operations. Where such internal procedures are established on an agency-wide basis, they shall be furnished to the Senior Policy Advisor for IT, OPM. Project-specific procedures shall be provided to the Senior Policy Advisor for IT on request.

The head of the agency is responsible for ensuring compliance with this policy and may appoint a responsible designee from within their agency for policy oversight and administration. Agency heads and Qualified Project Managers should familiarize themselves with all [IT Policies](#) applicable to the project in question.

## **Policy Statement/Narrative**

Project management is the discipline of planning, organizing, securing, managing, leading, and controlling resources to achieve a specific business objective through a defined project.

IT projects in particular are often complicated endeavors, involving multiple business goals, external delivery deadlines, limited funding and/or resources, competition from other priorities, and so on.

Proper project management provides many key benefits, including:

- Clarity and agreement on the essential requirements, goals and scope of the project, as well as the pool of available resources,
- Alignment and commitment of resources across project participants and stakeholders,
- Identification and sequencing of project tasks and dependencies, leading to a realistic estimated timeframe for delivery,

- A vehicle through which the business owner, project participants and stakeholders can raise and manage project issues and risks,
- Focused leadership and oversight,
- Alignment of the risks impacting the likelihood of success of the project with the expenditure of resources; and
- Reasonable assurance that projects can be delivered on time and within budget.

Regardless of the scope of any business activity, effective project management helps ensure that agencies are using taxpayer resources responsibly, and that agencies and projects are positioned for success.

## **Standards**

1. Projects must have a qualified project manager designated or assigned. The qualified project manager must have the right level of skills, experience, subject matter expertise, available capacity and dedication to ensure successful delivery of the project and consistent with the complexity and risk profile of the proposal. The relative level of experience and expertise should correspond to the complexity and risk profile of a project.

2. All agencies must identify and follow an industry standard and proven project management methodology, framework and processes selected by the agency to support the needs of the project to ensure its successful and timely delivery (e.g., Agile, Waterfall, Hybrid or another). The selected method should be clearly articulated in the project charter and designed to align with the scope and complexity of the project, including the assessed project risk management profile. For example, for a relatively low-risk, low-cost project with few interdependencies it would likely be appropriate to follow a simple schema, such as Waterfall, with relatively simple and short documentation.

3. Each project must include a comprehensive and documented process evaluation and analysis that assesses the current (“as-is”) business process and defines the optimized (“to-be”) process necessary to support the project’s objectives. The resulting process(es) must be streamlined to improve efficiency, reduce burdens (internal and external), and improve service quality, accessibility, and consistency.

4. Each project shall develop a project risk management profile using the risk assessment matrix in Appendix A. While this policy and Appendix A use Waterfall, Agile and Hybrid methodologies the common artifacts associated with these schemas, these methodologies are exemplary only and any relevant model may be chosen, so long as its selection is clearly documented. Equivalent artifacts associated with the chosen methodology should be utilized where warranted. Risk management profiles should be

regularly assessed to account for significant changes in domain scoring criteria, such as a changes in project scope, complexity, cost, technical, regulatory or vendor-related risks.

5. Projects shall have a written Project Management Plan calculated to support the needs of the project. The content of the Project Management Plan and the level of effort within each artifact category should be executed at a reasonable and appropriate level of effort commensurate with the good faith assessment of the qualified project manager and the risk tier calculated in the risk management profile. Project artifacts vary according to the assigned governance tier. Please refer to Appendix A for detailed requirements; equivalents may be used depending on the methodology.

6. Projects funded through the Information Technology Investment Program administered by OPM shall include Tier 3 level (“Enhanced Governance”) artifacts unless otherwise specified by the project approval.

7. Exemptions from this policy or portions thereof may otherwise be granted by the OPM Secretary or their designee. Requests for exemptions should be provided to the Senior Policy Advisor for IT, OPM.

## **Compliance**

All projects must adhere to this policy based on their assigned governance tier. Agency heads are responsible for ensuring compliance with this policy and may appoint a responsible designee from within their agency for policy oversight and administration.

## **Definitions**

- **Agile Methodology** - Iterative delivery using short cycles, continual backlog refinement, and adaptive planning. Best for evolving requirements, user-centered systems, and rapid iteration.
- **Budget Estimate** – Preliminary projection of expected project costs used to support funding and investment decisions.
- **Budget Plan** – A detailed financial management plan describing how project funds will be allocated, tracked and controlled throughout the project lifecycle.
- **Change Control** – The structure procedure used to identify, document, evaluate, approve and implement modifications to a project scope, cost, schedule or deliverables.

- **Executive Sponsor** - The agency head or their designee who provides resources and support for the project and who is accountable for project success and business realization.
- **Hybrid Methodology** - Structured planning (scope, timelines, deliverables) with iterative build cycles. Best for large, complex modernization efforts, or when procurement requires fixed deliverables.
- **IT Manager** - A person holding the job title of Information Technology Manager (1, 2, 3, or 4), Agency Information Technology Manager, Customer Success Manager, or equivalent job title or functionality, who has been designated by the executive sponsor to serve as the IT Manager for the project.
- **Process Evaluation** - An in-depth analysis of a business process to determine where processes may be streamlined or made more efficient.
- **Project** – a temporary (fixed in a defined time) information technology initiative undertaken to create or modify an information technology product, service or system.
- **Project Charter** - A document that provides summary information about a project, including its objectives, milestones, metrics, stakeholders, risks, and governance.
- **Project Financial Details**- A document that provides a breakdown of the estimated costs of a project by type of expenditure, anticipated timeframe, and funding source(s), including the endorsement of the relevant agency Financial Officer.
- **Project Governance Framework** - The alignment of project objectives with the strategy of the larger organization by the project sponsor and project team. A project's governance is defined by and is required to fit within the larger context of the organization sponsoring it but is separate from organizational governance.
- **Project Steering Committee** - A group that is responsible for monitoring and evaluating the progress and integrity of a project, for handling escalations and potential deviations, for representing stakeholder interests in the project, and for ensuring commitments to the project by participating agencies and relevant business units.
- **Qualified Project Manager** – A qualified individual that oversees and manages day-to-day project operations, leads the project team to meet project goals and objectives. The level of authority the PM has to lead to the project include the following:
  - Resource management and allocation
  - Task assignment and oversight
  - Schedule management
  - Budget tracking and oversight

- Vendor management
- Risk management
- Quality assurance
- Communication management
- Minor adjustments to scope, budget, or timeline, provided they do not exceed defined boundaries
- **Risk Management Profile** – An assessment undertaken in good faith according to the attached Appendix A designed to quantify the relative risk of a proposed project and provide guidance as the level of resources, documentation and oversight appropriate for the project.
- **Waterfall Methodology** - Linear, phase gated delivery. Best for well defined, stable requirements, and compliance-heavy systems.

**Appendix A**  
**Risk Assessment Matrix**

**[This Attachment is available in an interactive spreadsheet with formulas]**

Project Management Methodology: **Waterfall** Linear, phase gated delivery. Best for: Well defined, stable requirements; compliance heavy systems

Risk Domain	Weight (%)	Score (1-5)	Weighted Score	Scoring Criteria (lookup)
Strategic / Mission Impact	15	1	0.15	Department-level improvement; low visibility.
Financial Exposure	25	1	0.25	<\$250K or discretionary; low overrun sensitivity.
Project Complexity	12	1	0.12	Single team; minimal dependencies; straightforward delivery.
Organizational Change Impact	12	1	0.12	Minimal workflow change; same roles/tools largely unchanged.
Technical Risk	12	1	0.12	Proven technology; no integrations; low security impact.
Regulatory / Compliance Risk	12	1	0.12	No regulatory, privacy, or audit implications.
Vendor / Procurement Risk	12	1	0.12	Existing contract/vehicle; low vendor dependency.
<b>Total Risk Score</b>	<b>100</b>	<b>7</b>	<b>1</b>	

Governance Tier: Waterfall - Basic Governance

Recommended PM Experience:

- 1 -3 Years
- Fundamental PM Training
- PM experience managing small projects - agency level oversight
- Demonstrated success delivering 1-2 similar projects (complexity and risk)

==> Refer to the [PM Deliverables](#) tab for further details

Required PM Deliverables:

- Project Charter (scaled)
- Governance Risk Scoring
- High-level Process Evaluation (as-is/to-be)
- Basic Schedule
- Budget Estimate
- Basic Issues and Risk Log
- Lightweight plans (communication, test, training, production support, change control)
- Monthly Status Report
- Lightweight Change Control
- Lightweight Project closeout report
- Project sponsor Sign-offs

==> Refer to the [PM Deliverables](#) tab for further details

## Domain Scoring Guidance (1–5)

### Strategic/Mission Impact

Score	Criteria
1	Department-level improvement; low visibility.
2	Single program/branch improvement; limited leadership visibility.
3	Multi-division impact; moderate leadership visibility.
4	Enterprise service impact or high executive visibility.
5	Enterprise-wide, legislative/public visibility, or mission-critical priority.

### Financial Exposure

Score	Criteria
1	<\$250K or discretionary; low overrun sensitivity.
2	\$250K–\$500K; limited funding complexity.
3	\$500K–\$2M or mixed funding sources; moderate scrutiny.
4	\$2M–\$3.75M, tight funding constraints, or high overrun sensitivity.
5	>\$3.75M, bond/federal funding, or high public scrutiny and audit attention.

### Project Complexity

Score	Criteria
1	Single team; minimal dependencies; straightforward delivery.
2	Two functional areas; limited integrations/dependencies.
3	3–5 functional areas; moderate dependencies and coordination.
4	Multiple systems/integrations; significant interdependencies; phased work.
5	Multi-agency/enterprise; major integrations; many dependencies/critical path risk.

### Organizational Change Impact

Score	Criteria
1	Minimal workflow change; same roles/tools largely unchanged.
2	Small process change; limited training required.
3	Significant process/role changes; structured training and comms required.
4	Major change to how work is done; high adoption risk.
5	Culture shift, job redesign, labor impact, or sustained behavior change required.

### Technical Risk

Score	Criteria
1	Proven technology; no integrations; low security impact.
2	Minor configuration; limited integrations; known patterns.
3	Moderate integrations or data migration; some uncertainty.
4	New platform/components; complex integration; higher security/cyber exposure.
5	Custom development, high availability requirements, significant customization, major cyber/architecture risk.

### Regulatory / Compliance Risk

Score	Criteria
1	No regulatory, privacy, or audit implications.
2	Low compliance sensitivity; limited records/privacy considerations.
3	PII/data privacy or audit requirements; documented controls needed.
4	High compliance burden; multiple policies/standards; frequent audit exposure.
5	Statutory, regulatory or grant mandates, enforcement risk, significant audit/FOIA/public accountability.

### Vendor / Procurement Risk

Score	Criteria
1	Existing contract/vehicle; low vendor dependency.
2	Simple quote process; low complexity contract.
3	Competitive RFP required; moderate vendor dependency.
4	Complex procurement; performance risk; multiple/interdependent vendors; strong contract management needed.
5	Sole source or limited market; long-term lock-in; high vendor failure impact.

Methodology	Definition
Waterfall	Linear, phase gated delivery. Best for: Well defined, stable requirements; compliance heavy systems
Agile	Iterative delivery using short cycles - Best for: evolving requirements, user centered systems, rapid iteration.
Hybrid	Structured planning (scope, timelines, deliverables) with iterative build cycles. Best for: Large, complex modernization efforts, or when procurement requires fixed deliverables.

Required PM Deliverables by Governance Tier*				
Governance Tier	Waterfall	Agile	Hybrid	Recommended PM Experience
<b>Tier 1 – Basic Governance</b>	<ul style="list-style-type: none"> <li>Project Charter (scaled)</li> <li>Governance Risk Scoring</li> <li>High-level Process Evaluation (as-is/to-be)</li> <li>Basic Schedule</li> <li>Budget Estimate</li> <li>Basic Issues and Risk Log</li> <li>Lightweight plans (communication, test, training, production support, change control)</li> <li>Monthly Status Report</li> <li>Lightweight Change Control</li> <li>Lightweight Project closeout report</li> <li>Project sponsor Sign-offs</li> </ul>	<ul style="list-style-type: none"> <li>Project Charter/definition (scaled)</li> <li>Governance Risk Scoring</li> <li>High-level Process Evaluation (as-is/to-be)</li> <li>Budget Estimate</li> <li>Product Vision</li> <li>Product Backlog</li> <li>Lightweight Release plan &amp; Risk Log</li> <li>Lightweight Sprint Artifacts (planning, backlog, review, retrospective)</li> <li>Monthly Status Report (Burndown/Burnup Charts)</li> <li>Project sponsor Sign-offs</li> </ul>	<ul style="list-style-type: none"> <li>Project Charter (scaled)</li> <li>Governance Risk Scoring</li> <li>High-level Process Evaluation (as-is/to-be)</li> <li>High-level schedule (milestones + sprints cycles)</li> <li>High-level Requirements + product Backlog</li> <li>Lightweight Risk Log</li> <li>Lightweight Sprint Artifacts (planning, backlog, review, retrospective)</li> <li>Lightweight Change Control</li> <li>Monthly Status Report (Burndown/Burnup Charts)</li> <li>Project sponsor Sign-offs</li> </ul>	<ul style="list-style-type: none"> <li>1 -3 Years</li> <li>Fundamental PM Training</li> <li>PM experience managing small projects - agency level oversight</li> <li>Demonstrated success delivering 1-2 similar projects (complexity and risk)</li> </ul>
<b>Tier 2 – Standard Governance</b>	<ul style="list-style-type: none"> <li>All Tier 1 Deliverables, plus:</li> <li>Full Project Management Plan</li> <li>Process Evaluation (as-is → to-be)</li> <li>Detailed Schedule &amp; Milestones</li> <li>Budget Plan (describe how approved budget will be managed)</li> <li>Test Plan</li> <li>Risk &amp; Issue Management Plan</li> <li>Enterprise architecture, Cyber &amp; Data Privacy assessments</li> <li>Communication Plan</li> <li>Change Management Plan</li> <li>Training Plan</li> <li>Basic Support Plan</li> <li>Implementation Plan</li> <li>Steering committee established and operational (Meeting cadence defined, stage gate approvals, decision escalation process, etc.)</li> <li>Monthly Status Report</li> <li>Key milestone reviews</li> <li>Project Closeout Reports</li> </ul>	<ul style="list-style-type: none"> <li>All Tier 1 Deliverables, plus:</li> <li>Full project charter/definition</li> <li>Process Evaluation (as-is → to-be)</li> <li>Product Vision &amp; Roadmap</li> <li>Release Plan</li> <li>Enterprise architecture, Cyber &amp; Data Privacy assessments</li> <li>Product Backlog with acceptance criteria</li> <li>Definition of Ready (DoR) / Definition of Done (DoD)</li> <li>Project Management Plan scaled to Agile (Test Plan, Risk Management Plan, Staffing, Change Management Plan, Training Plan)</li> <li>Sprint Planning Notes</li> <li>Sprint Backlog</li> <li>Sprint Review Summary</li> <li>Backlog Refinement Notes</li> <li>Velocity Tracking</li> <li>Monthly Status Report (Burndown/Burnup Charts)</li> <li>Project closeout reports</li> </ul>	<ul style="list-style-type: none"> <li>All Tier 1 Deliverables, plus:</li> <li>Full project charter</li> <li>Process Evaluation (as-is → to-be)</li> <li>Hybrid Project schedule (milestones + Release plan)</li> <li>Project Management Plan scaled to Agile (Test Plan, Risk Management Plan, Staffing, Change Management Plan, Training Plan)</li> <li>Enterprise architecture, Cyber &amp; Data Privacy assessments</li> <li>Requirements Baseline + Prioritized Backlog</li> <li>Product Backlog with acceptance criteria</li> <li>Definition of Ready (DoR) / Definition of Done (DoD)</li> <li>Sprint Planning Notes</li> <li>Sprint Backlog</li> <li>Sprint Review Summary</li> <li>Backlog Refinement Notes</li> <li>Velocity Tracking</li> <li>Monthly Status Report (Burndown/Burnup Charts)</li> <li>Project closeout reports</li> </ul>	<ul style="list-style-type: none"> <li>3 - 5 Years</li> <li>PM Certification preferred (CAPM, PMP, etc)</li> <li>Experience managing projects up to \$1M - \$5M and coordinating multiple stakeholders</li> <li>Demonstrated success delivering at least 2 similar projects (complexity, risk, governance requirements)</li> </ul>
<b>Tier 3 – Enhanced Governance</b>	<ul style="list-style-type: none"> <li>All Tier 2 Deliverables, plus:</li> <li>Quality Assurance Plan</li> <li>Formal Test Plan</li> <li>Staffing Plan</li> <li>Procurement Plan</li> <li>Formal Support Plan</li> <li>Project Performance and Success Measures</li> <li>Detailed reporting and risk management</li> <li>Formal Stage Gates</li> <li>Change Control Board</li> <li>Traceability Matrix</li> <li>Basic Benefits Realization Tracking</li> <li>Executive steering reports / Governance Reporting Dashboard</li> <li>Executive Sponsor Sign-offs</li> </ul>	<ul style="list-style-type: none"> <li>All Tier 2 Deliverables, plus:</li> <li>Program-level Roadmap (if multiple teams)</li> <li>Program increment (PI) plan</li> <li>Agile Release Train / Cadence Calendar (if applicable)</li> <li>Dependency &amp; Integration Maps</li> <li>Program Backlog</li> <li>Increment Review Documentation (beyond sprint level)</li> <li>Project performance and success measures</li> <li>Traceability Matrix (epics → stories → tests → releases)</li> <li>Basic Benefits Realization Tracking</li> <li>Executive steering reports / Governance Dashboard (velocity, quality, financials, risks)</li> <li>Executive Sponsor Sign-offs</li> </ul>	<ul style="list-style-type: none"> <li>All Tier 2 Deliverables, plus:</li> <li>Dependency &amp; Integration Maps</li> <li>Refined Product Backlog (risk-adjusted, prioritized)</li> <li>Agile Release Train / Cadence Calendar (if applicable)</li> <li>Dependency &amp; Integration Maps</li> <li>Program Backlog</li> <li>Full Procurement Plan</li> <li>Increment Review Documentation (beyond sprint level)</li> <li>Project performance and success measures</li> <li>Traceability Matrix (WBS ↔ Backlog ↔ Testing)</li> <li>Basic Benefits Realization Tracking</li> <li>Executive steering reports / Governance Dashboard (velocity, quality, financials, risks)</li> <li>Executive Sponsor Sign-offs</li> </ul>	<ul style="list-style-type: none"> <li>5 - 7 Years</li> <li>PMP or equivalent certification strongly preferred</li> <li>Experience managing large, complex projects with vendor management, risk management and governance reporting</li> <li>Demonstrated success delivering at least 2-3 large projects (comparable complexity, risk and governance requirements)</li> </ul>
<b>Tier 4 – High Control Governance</b>	<ul style="list-style-type: none"> <li>All Tier 3 Deliverables, plus:</li> <li>Independent Independent Verification &amp; Validation (if applicable)</li> <li>Monthly Executive Reporting</li> <li>Formal Benefits Realization Tracking</li> <li>Legislative/Public Reporting (if applicable)</li> </ul>	<ul style="list-style-type: none"> <li>All Tier 3 Deliverables, plus:</li> <li>Independent Independent Verification &amp; Validation (if applicable)</li> <li>Increment Approval Gates</li> <li>Monthly Executive Reporting</li> <li>Formal Benefits Realization Tracking</li> <li>Legislative/Public Reporting (if applicable)</li> </ul>	<ul style="list-style-type: none"> <li>Integrated Master Schedule combining Waterfall phases + Agile increments</li> <li>Enterprise-level Roadmap</li> <li>Requirements Baseline + Iterative Decomposition</li> <li>Formal Hybrid Gate Reviews (milestone package + demo)</li> <li>Vendor Performance Artifacts (aligned to contract)</li> <li>Detailed Risk Register + Sprint-Level Risk Updates 1</li> <li>Comprehensive Hybrid Traceability Matrix (reqs → features → stories → tests → increments → milestones)</li> </ul>	<ul style="list-style-type: none"> <li>7+ Years</li> <li>PMP or equivalent certification</li> <li>Experience managing large programs, enterprise projects or statewide initiatives, executive steering committees, legislative/public scrutiny, and complex vendor relationships</li> <li>Demonstrated success delivering at least 1-2 enterprise-wide or mission-critical projects (comparable complexity, risk and governance requirements)</li> </ul>

\* Equivalent artifacts should be used for alternatively selected Project Management methodologies