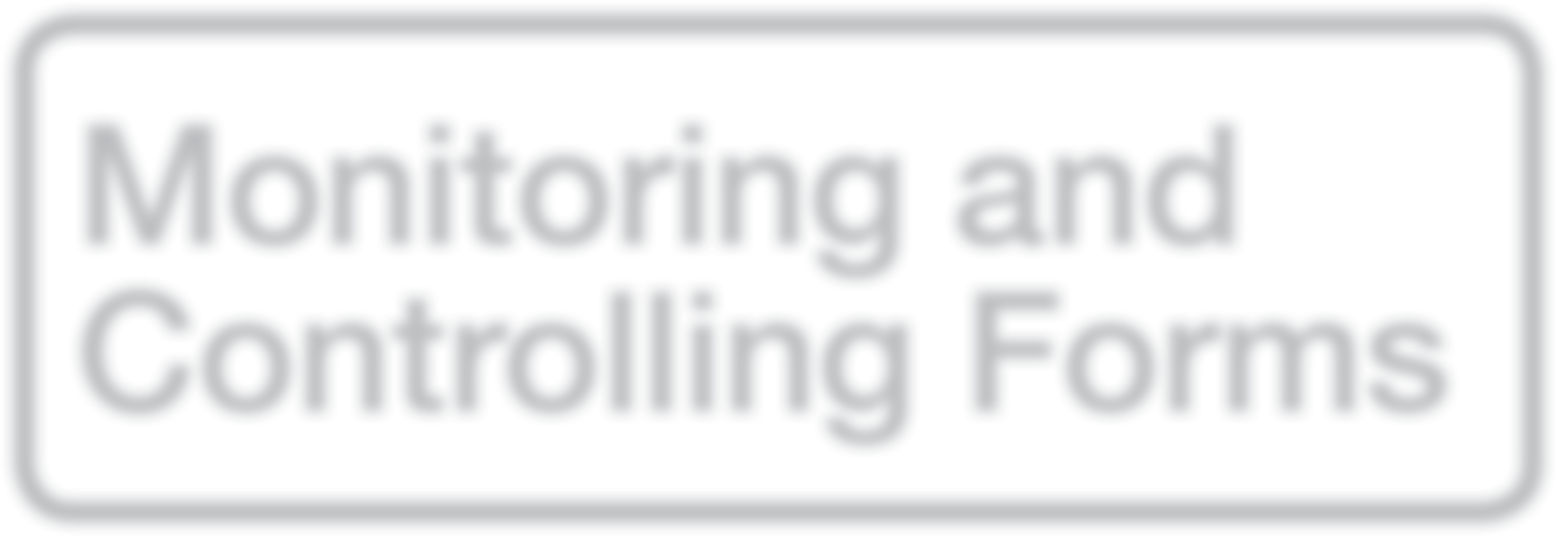
4



Monitoring and Controlling Forms

## MoniTorinG anD ConTroLLinG proCeSS Group

The purpose of the Monitoring and Controlling Process Group is to review project work results and com- pare them to planned results. A significant variance indicates the need for preventive actions, corrective actions, or change requests. There are 11 processes in the Monitoring and Controlling Process Group:

* + - Monitor and Control Project Work
    - Perform Integrated Change Control
    - Validate Scope
    - Control Scope
    - Control Schedule
    - Control Costs
    - Control Quality
    - Control Resources
    - Monitor Communications
    - Monitor Risks
    - Control Procurements
    - Monitor Stakeholder Engagement

The intent of the Monitoring and Controlling Process Group is to at least:

* + - Review and analyze project performance
    - Recommend changes and corrective and preventive actions
    - Process change requests
    - Report project performance
    - Monitor risk activities, responses, and status
    - Manage contractors
    - Monitor the effectiveness of stakeholder engagement

Monitoring and controlling takes place throughout the project, from inception to closing. All variances are identified, and all change requests are processed here. The product deliverables are also accepted in the monitoring and controlling processes.

The forms used to document these activities include:

* + - Team member status report
    - Project status report
    - Variance analysis
    - Earned value analysis
    - Risk audit
    - Contractor status report
    - Procurement audit
    - Contract closeout
    - Product acceptance

### Monitoring and Controlling Forms 191

* 1. TeaM MeMber STaTuS reporT

The team member status report is filled out by team members and submitted to the project manager on a regular basis. It tracks schedule, quality, and cost status for the current reporting period and provides planned information for the next reporting period. Status reports also identify new risks and issues that have arisen in the current reporting period. Typical information includes:

* + - Activities planned for the current reporting period
    - Activities accomplished in the current reporting period
    - Activities planned but not accomplished in the current reporting period
    - Root causes of activities variances
    - Funds spent in the current reporting period
    - Funds planned to be spent for the current reporting period
    - Root causes of funds variances
    - Quality variances identified in the current reporting period
    - Planned corrective or preventive action
    - Activities planned for the next reporting period
    - Costs planned for the next reporting period
    - New risks identified
    - New issues identified
    - Comments

This information is generally compiled by the project manager into a project status report. The team member status report and the project status report are examples of work performance reports, as men- tioned in 4.5 Monitor and Control Project Work in the *PMBOK*® *Guide* – Sixth Edition. This report is sub- mitted at predefined intervals throughout the project.

### Tailoring Tips

Consider the following tips to help tailor the team member status report to meet your needs:

* + - You can add a field for escalations to identify those areas that need to be escalated to the sponsor, program manager, or other appropriate individual.
    - Some reports include a field to record decisions made. These would be transferred to the project decision log.
    - If your organization has a robust knowledge management process you might consider adding fields for knowledge transfer or lessons learned. These can then be transferred to the organization’s knowl- edge repository or lessons learned register.

### alignment

The team member status report should be aligned and consistent with the following documents:

* + - Project schedule
    - Cost estimates
    - Project budget
    - Issue log
    - Risk register
    - Project status report
    - Variance analysis
    - Earned value status report

Description

You can use the element descriptions in Table 4.1 to assist you in developing the team member status report.

TabLe 4.1 elements of a Team Member Status report

Document element Description

Activities planned this reporting period List all activities scheduled for this period, including work to

be started, continued, or completed.

Activities accomplished this reporting period List all activities accomplished this period, including work

that was started, continued, or completed.

Activities planned but not accomplished this reporting period

List all activities that were scheduled for this period, but not started, continued, or completed.

Root cause of variances For any work that was not accomplished as scheduled, identify the cause of the variance.

Funds spent this reporting period Record funds spent this period.

Funds planned to be spent this reporting period Record funds that were planned to be spent this period.

Root cause of variances For any expenditures that were over or under plan, identify the cause of the variance. Include information on labor vs. material variances. Identify if the basis of estimates or the assumptions were inaccurate.

Quality variances identified this period Identify any product performance or quality variance.

Planned corrective of preventive action Identify any actions needed to recover cost, schedule, or

quality variances or prevent future variances.

Activities planned for next reporting period List all activities scheduled for next period, including work

to be started, continued, or completed.

Costs planned for next reporting period Identify funds planned to be expended next period.

New risks identified Identify any new risks that have arisen. New risks should be recorded in the risk register as well.

Issues Identify any new issues that have arisen. New issues should be recorded in the issue log as well.

Comments Document any comments that add relevance to this report.



# TEAM MEMBER STATUS REPORT

project Title: Date prepared:

Team Member: role:

activities planned for This reporting period

1.

2.

3.

4.

5.

6.

activities accomplished This reporting period

1.

2.

3.

4.

5.

6.

activities planned but not accomplished This reporting period

1.

2.

3.

4.

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# TEAM MEMBER STATUS REPORT

root Cause of activity Variances

Funds Spent This reporting period

Funds planned to be Spent This reporting period

root Cause of Cost Variances

Quality Variances identified This period

planned Corrective or preventive action

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# TEAM MEMBER STATUS REPORT

activities planned for next reporting period

1.

2.

3.

4.

5.

Costs planned for next reporting period

new risks identified

risk

new issues identified

issue

Comments

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### 196 Monitoring and Controlling Forms

* 1. projeCT STaTuS reporT

The project status report (sometimes known as a performance report or progress report) is filled out by the project manager and submitted on a regular basis to the sponsor, project portfolio management group, project management office (PMO), or other project oversight person or group. The information is compiled from the team member status reports and includes overall project performance. It contains summary-level information, such as accomplishments, rather than detailed activity-level information. The project status report tracks schedule and cost status for the current reporting period and provides planned information for the next reporting period. It indicates impacts to milestones and cost reserves as well as identifying new risks and issues that have arisen in the current reporting period. Typical information includes:

* + - Accomplishments for the current reporting period
    - Accomplishments planned but not completed in the current reporting period
    - Root causes of accomplishment variances
    - Impact to upcoming milestones or project due date
    - Planned corrective or preventive action
    - Funds spent in the current reporting period
    - Root causes of budget variances
    - Impact to overall budget or contingency funds
    - Planned corrective or preventive action
    - Accomplishments planned for the next reporting period
    - Costs planned for the next reporting period
    - New risks identified
    - Issues
    - Comments

The project status report is an example of a work performance report, an output of 4.5 Monitor and Control Project Work in the *PMBOK*® *Guide* – Sixth Edition. This report is submitted at predefined intervals throughout the project.

### Tailoring Tips

Consider the following tips to help tailor the project status report to meet your needs:

* + - You can add a field for escalations to identify those areas that need to be escalated to the sponsor, program manager, or other appropriate individuals.
    - Some reports include a field to record decisions made. These would be transferred to the project decision log.
    - If there were any change requests that were submitted during the reporting period you may want to summarize them and refer the reader to the change log.
    - If your organization has a robust knowledge management process you might consider adding fields for knowledge transfer or lessons learned. These can then be transferred to the organization’s knowl- edge repository or lessons learned register.
    - In addition to tailoring the content of the project status report, you can tailor the presentation. Many

PMOs have reporting software that transforms the data into dashboards, heat reports, stop light charts, or other representations.

### alignment

The project status report should be aligned and consistent with the following documents:

* + - Team member status reports
    - Project schedule

### Monitoring and Controlling Forms 197

* + - Cost estimates
    - Project budget
    - Issue log
    - Risk register
    - Variance analysis
    - Earned value status report
    - Contractor status report

### Description

You can use the element descriptions in Table 4.2 to assist you in developing the project status report.

TabLe 4.2 elements of a project Status report

Document element Description

Accomplishments for this reporting period

Accomplishments planned but not completed this reporting period

List all work packages or other accomplishments scheduled for comple- tion for the current reporting period.

List all work packages or other accomplishments scheduled for the cur- rent period but not completed.

Root cause of variances Identify the cause of the variance for any work that was not accomplished

as scheduled for the current period.

Impact to upcoming milestones or project due date

Planned corrective or preventive action

Identify any impact to any upcoming milestones or overall project schedule for any work that was not accomplished as scheduled. Identify any work currently behind on the critical path or if the critical path has changed based on the variance.

Identify any actions needed to make up schedule variances or prevent future schedule variances.

Funds spent this reporting period Record funds spent this period.

Root cause of variance Identify the cause of the variance for any expenditure over or under

plan. Include information on the labor variance versus material variance and whether the variance is due to the basis of estimates or estimating assumptions.

Impact to overall budget or contin- gency funds

Planned corrective or preventive action

Accomplishments planned for next reporting period

Costs planned for next reporting period

Indicate the impact to the overall project budget or whether contingency funds must be expended.

Identify any actions needed to recover cost variances or to prevent future schedule variances.

List all work packages or accomplishments scheduled for completion next period.

Identify funds planned to be expended next period.

New risks identified Identify any new risks that have been identified this period. These risks should be recorded in the risk register as well.

Issues Identify any new issues that have arisen this period. These issues should be recorded in the issue log as well.

Comments Record any comments that add relevance to the report.



# PROJECT STATUS REPORT

project Title: Date prepared:

project Manager: Sponsor:

accomplishments for This reporting period

1.

2.

3.

4.

5.

6.

accomplishments planned but not Completed This reporting period

1.

2.

3.

4.

root Cause of Variances

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# PROJECT STATUS REPORT

impact to upcoming Milestones or project Due Date

planned Corrective or preventive action

Funds Spent This reporting period

root Cause of Variances

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# PROJECT STATUS REPORT

impact to overall budget or Contingency Funds

planned Corrective or preventive action

accomplishments planned for next reporting period

1.

2.

3.

4.

Costs planned for next reporting period

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# PROJECT STATUS REPORT

new risks identified

risk:

issues

issue:

Comments

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### 202 Monitoring and Controlling Forms

* 1. VarianCe anaLySiS

Variance analysis reports collect and assemble information on project performance variances. Common topics are schedule, cost, and quality variances. Information on a variance analysis includes:

* + - Schedule variance
      * Planned results
      * Actual results
      * Variance
      * Root cause
      * Planned response
    - Cost variance
      * Planned results
      * Actual results
      * Variance
      * Root cause
      * Planned response
    - Quality variance
      * Planned results
      * Actual results
      * Variance
      * Root cause
* Planned response

Variance analysis is an example of a data analysis technique in the *PMBOK*® *Guide* – Sixth Edition. The information can be provided as a standalone report, as part of the project status report, or as backup to an earned value status report. It is identified as a technique in these processes:

* + - 4.5 Monitor and Control Project Work
    - 4.7 Close Project or Phase
    - 5.6 Control Scope
    - 6.6 Control Schedule
    - 7.4 Control Costs

### Tailoring Tips

Consider the following tips to help tailor the variance analysis to meet your needs:

* + - Scope variance can be included but is generally indicated by a schedule variance, as either more or less scope will have been accomplished over time.
    - The variance analysis can be done at an activity, resource, work package, control account, or project level depending on your needs.
    - You can add a check box to indicate if the information needs to be escalated to the sponsor, pro- gram manager, or other appropriate individuals.
    - You may want to add a field that indicates the implications of continued variance. This can include a forecast based on a trend analysis or based on identified responses.
    - In addition to tailoring the content of the variance analysis, you can tailor the presentation. Many PMOs have reporting software that transforms the data into dashboards, heat reports, stop light charts, or other representations.

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alignment

The variance analysis should be aligned and consistent with the following documents:

* + - Team member status reports
    - Project status report
    - Project schedule
    - Cost estimates
    - Project budget
    - Issue log
    - Earned value status report
    - Contractor status report

### Description

You can use the element descriptions in Table 4.3 to assist you in developing the variance analysis.

TabLe 4.3 elements of Variance analysis

|  |  |  |
| --- | --- | --- |
| Document elements | Description |  |
| Schedule variance | Planned result | Describe the work planned to be accomplished. |
|  | Actual result | Describe the work actually accomplished. |
|  | Variance | Describe the variance. |
|  | Root cause | Identify the root cause of the variance. |
|  | Planned response | Document the planned corrective or preventive action. |
| Cost variance | Planned result | Record the planned costs for the work planned to be accomplished. |
|  | Actual result | Record the actual costs expended. |
|  | Variance | Calculate the variance. |
|  | Root cause | Identify the root cause of the variance. |
|  | Planned response | Document the planned corrective or preventive action. |
| Quality variance | Planned result | Describe the planned performance or quality measurements. |
|  | Actual result | Describe the actual performance or quality measurements. |
|  | Variance | Describe the variance. |
|  | Root cause | Identify the root cause of the variance. |
|  | Planned response | Document the planned corrective action. |



# VARIANCE ANALYSIS

project Title: Date prepared:

Schedule Variance

|  |  |  |
| --- | --- | --- |
| planned result | actual result | Variance |
|  |  |  |
|  |  |  |
|  |  |  |
| root Cause | | |
| planned response | | |

Cost Variance

|  |  |  |
| --- | --- | --- |
| planned result | actual result | Variance |
|  |  |  |
|  |  |  |
|  |  |  |

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# VARIANCE ANALYSIS

root Cause

planned response

Quality Variance

|  |  |  |
| --- | --- | --- |
| planned result | actual result | Variance |
|  |  |  |
|  |  |  |
|  |  |  |
| root Cause | | |
| planned response | | |

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