

Project Plan Appendix A

for Major Project Plans

This Appendix includes the information on standard descriptions, procedures, and processes that are part of the project plan. For easier reference, the various sections reflect the numbering from the project plan.

Table of Contents

3	Governance.....	2
3.1	Governance Approach.....	2
3.2.4	Acceptance Management.....	3
3.2.5	Escalation Process.....	3
4	Scope Management	4
4.1	Scope Control	4
5	Time Management.....	4
5.1	Time Management Description.....	4
5.2	Schedule Control	4
6	Cost Management	5
6.1	Cost Control.....	5
7	Communication Management.....	5
7.1	Communication Management Information.....	5
7.2	Meeting Ground Rules.....	5
8	Quality Management.....	6
8.1	Quality Management Information	6
8.2	Quality Assurance.....	6
8.2.1	Project Quality Assurance	6
8.3	Quality Control	6
8.3.1	Project Quality Control	6
11	Integrated Change Control.....	7
11.1	Integrated Change Control Description	7
11.2	Change Request Procedure	7
11.3	Change Control Process.....	7
12	Other Management Plans.....	8
12.1	Decision Management.....	8
12.2	Risk Management.....	9
12.3	Issue Management	10
12.4	Action Item Management.....	12
12.5	Human Resource Management.....	13
12.5.1	New or Returning Members	13
12.5.2	Parting Members	14
12.6	Procurement Management.....	14

3 Governance

3.1 Governance Approach

Governance identifies the key governance roles and responsibilities for the project. In addition to documenting the stakeholders involved in managing the project, this governance section covers who is responsible for approving project documents, who approves deliverables and who makes the final decision to accept the system and product. The escalation process for issues will also be defined.

The objective of this section is to detail the structure of the project organization, and the methods by which it reaches official decisions and carries out regular business. This ensures commitment and effective management of the project in order to:

- Ensure the project remains on course to deliver products of the required quality to meet the business case
- Approve all major deliverables
- Authorize deviations through integrated change control
- Arbitrate on internal project conflicts
- Negotiate solutions to problems within the project if they arise, and between the project and external bodies
- Ensure communication between the vendor(s) and state project team is effective and consistent

3.2.1.1 Oversight Committee (OC)

The Oversight Committee (OC) is responsible for overseeing the project. The OC shall monitor the overall health of the project and may provide recommendations on project decisions including but not limited to contracts, budget, schedule, quality, and scope changes. The chief information officer (CIO) appoints the chair of the committee, and the committee meets no less than once per quarter unless project health allows the project manager to send a status report to the committee in lieu of the quarterly meeting requirement.

The OC must be appointed with consideration of the five defined voting members (Subsection 3, below), though the membership of the committee will be determined by the agency director, the Office of Management and Budget (OMB) director, and the CIO. The OC must vote on recommendations with a majority vote required to make the change. The OC may define items for its review and recommendation prior to project sponsor or agency approval, including procurements, deliverables, situations, documents, information, and/or thresholds.

North Dakota Century Code (NDCC) §54-59-32 Major information technology projects – Oversight:

Subsection 1: “An executive branch state agency, excluding institutions under the control of the state board of higher education, proposing to conduct a major information technology project, the department, and the office of management and budget, in consultation with the attorney general, shall collaborate on the procurement, contract negotiation, and contract administration of the project. The agency, the department, and the office of management and budget, in consultation with the attorney general, shall approve the solicitation, contract, or agreement, and any amendments relating to the project before submission to the oversight committee as provided in subsection 3.”

Subsection 3: “An oversight committee must be appointed to oversee a major information technology project. The chief information officer shall appoint a chairman of the committee. The oversight committee may include the director of the office of management and budget or a designee of the director, the chief information officer or a designee of the officer, the head of the agency contracting for the project or a designee, the project sponsor, and a large project

oversight analyst designated by the chief information officer. The oversight committee shall monitor the overall status of the project and make recommendations to the head of the agency contracting for the project or a designee, and the project sponsor, regarding project decisions, negotiation and execution of contracts, approval of project budgets, implementation of project schedules, assessment of project quality, and consideration of scope changes.”

3.2.1.2 Procurement Collaboration Staff

The procurement collaboration staff consists of subject matter experts that are responsible for reviewing, negotiating, and making recommendations to the OC and project sponsor for procurement and purchase documents (e.g., Requests for Proposal [RFP], work orders, and contracts).

The procurement collaboration staff must be comprised of members from the agencies defined in the NDCC, though additional members may be included in an advisory capacity. The procurement collaboration staff must approve any procurement and purchase documents, including work orders and contract addendums/amendments, and participate in procurement decisions and negotiations.

NDCC §54-59-32 Major information technology projects – Oversight defines the staff that must collaborate related to procurements for major projects:

Subsection 1: “An executive branch state agency, excluding institutions under the control of the state board of higher education, proposing to conduct a major information technology project as described in Subsection 10 of section 54-35-15.2, the department, and the office of management and budget, in consultation with the attorney general, shall collaborate on the procurement, contract negotiation, and contract administration of the project. The agency, the department, and the office of management and budget, in consultation with the attorney general, shall approve the solicitation, contract, or agreement, and any amendments relating to the project before submission to the executive steering committee as provided in Subsection 3.”

3.2.1.3 Oversight Analyst (OA)

The OA is responsible for tracking all major or other assigned projects to ensure compliance with established NDCC and related standards. The OAs are staffed with North Dakota Information Technology’s (NDIT’s) Project Management Office and are typically voting members of the OC.

3.2.4 Acceptance Management

All project deliverables are date-driven and aligned with the project schedule. Deliverables will be stored on the Teams site and tracked in North Dakota Visualize Integrated Enterprise Project Work (ND VIEW).

When a deliverable is ready for acceptance, the responsible party creating the deliverable will submit the deliverable information to the project manager. The project manager will coordinate review and approval of the deliverable with the sponsor and whoever else is identified as having approval authority. It may be necessary to have multiple review periods for certain deliverables.

Due dates for action will be established for each deliverable. Action must be taken on a deliverable (accept, reject, or escalate) prior to the due date otherwise the deliverable is considered late. When the action is escalation, refer to the Escalation Process and Issue Management sections below.

3.2.5 Escalation Process

The escalation process addresses those situations when an agreement cannot be reached between the project and one or more of its stakeholders in a timely manner. The project may enlist the assistance of its stakeholders in the resolution of an issue to ensure the resolution represents the best interests of the project and its stakeholders.

The first level in the escalation path would be to the sponsor. If the issue cannot be resolved at that level within the defined time period, the issue is escalated to the OC.

The project team should always strive to make decisions and address items at the lowest level possible; however, when a resolution cannot be reached, the item should be escalated to ensure a decision is made before it impacts the project.

Per NDCC §54-59-23, should the project cost or schedule variance reach 20% or more, the project is required to report to NDIT with a recovery plan. The project may rebaseline as part of this recovery plan. If the project has not taken corrective action within ninety days or continues to have issues and is deemed to have a “red” status, the project is required to report to the Legislative Information Technology Committee (LITC).

4 Scope Management

4.1 Scope Control

Scope control is concerned with influencing the factors that create scope changes, determining that a scope change has occurred, and managing the actual changes when and if they occur. The control of changes to the scope will be managed through the integrated change control procedure. Further information on this procedure is found in the Integrated Change Control section of this project plan.

5 Time Management

5.1 Time Management Description

Time management includes the processes required to manage timely completion of the project. The objective of the time management plan is to establish a structured, repeatable time management process to ensure the following:

- Creation of a master detailed schedule
- Creation of a baseline for the originally planned work's start and finish dates
- Regular updates to the schedule
- Routine monitoring of the progress of all activities against the baseline
- Regular reporting of variance against the baseline
- Corrective action if the project deviates significantly from the plan
- New commitments or changes to planned work follow the integrated change management procedure
- Utilization of a scheduling tool to maintain a consistent schedule structure

5.2 Schedule Control

The schedule will be monitored and controlled by the project manager(s) in the following manner:

- Baseline the project schedule in ND VIEW
- Monitor the project schedule on a minimum of a bi-weekly basis to determine if the project will be completed within the original effort, cost, and duration
 - Identify activities that have been completed during the previous time period, update the schedule to show they are finished, and determine whether there are any other activities that should be completed but are not
 - If not, determine the critical path and look for ways to accelerate these activities to get the project back on its original schedule
- Integrate any approved change requests into the project schedule baseline and provide project teams with an assessment of the impact on the timeline

- Utilize performance reports to identify which dates in the schedule have or have not been met, as well as for alerting the project team to any issues that may cause schedule performance problems in the future
- Obtain progress reports at least bi-weekly from the various project teams to monitor the status of tasks by collecting information such as start and finish dates, remaining durations for unfinished activities, and any known risks or issues
- Changes to the schedule will be managed through the integrated change control procedure
- ND VIEW will be used to manage and report schedule variance by all project teams

6 Cost Management

6.1 Cost Control

Changes to the budget will be managed through the integrated change control procedure.

The cost baseline will be entered into the State's ND VIEW tool. As costs accrue, the actual costs will be entered into the tool and measured against the planned costs to determine the cost variance. Updates to ND VIEW will occur at least bi-weekly.

7 Communication Management

7.1 Communication Management Information

Communication management includes the processes required to ensure timely and appropriate generation, collection, dissemination, storage, and ultimately disposition of project information.

Verbal and written communication is a responsibility for all members of the project team and is important to project success.

The communication tools and documents addressed in the project plan are used for communication between project team members, and between the project team members and stakeholders. All of these documents will be stored on the Microsoft Teams site. Other locations may be used for document communication and storage on this project and are noted in the Meetings table in this project plan.

7.2 Meeting Ground Rules

- Meetings will start and end on time
- Facilitator will send agendas or meeting goals/purpose will be sent out in advance of the meeting
- Attendees are expected to read any required documents and come prepared to speak to the meeting topic
- Required invitees who cannot attend are expected to find their own designees or accept meeting outcomes
- All invitees are expected to review the meeting minutes to obtain information about the discussions and decisions in the meeting

8 Quality Management

8.1 Quality Management Information

Project quality management includes the processes and activities of the performing organization that determine quality policies, objectives, and responsibilities. This allows the project to satisfy the needs for which it was undertaken. It implements the quality management system through policy and procedures with continuous process improvement activities conducted throughout, as appropriate.

Quality management plans may be formal or informal (e.g., a checklist) depending on the project and the organization.

8.2 Quality Assurance

Quality assurance is the process of auditing the quality requirements and the results from quality control measurements to ensure use of appropriate quality standards and operational definitions.

8.2.1 Project Quality Assurance

Following are the quality assurance processes for this project:

- Integrated change control – verifies that any changes to quality during the project are discussed and approved by the appropriate person
- Monitoring schedule and cost variance – ensures oversight of the project schedule and cost in relation to the project baseline to provide visibility to any potential project schedule or cost issues
- OA – ensures compliance of the project with NDCC and [STD009](#)
- Definition of deliverable acceptance criteria and/or expectations – verifies that the deliverables are of an acceptable quality and meet the customer's expectations
- Acceptance management – verifies that the deliverables are of acceptable quality and that they meet the established project requirements
- Peer review of project management documents – provides documents associated with management of this project (e.g., project charter and this project plan) a review by other NDIT project managers for clarity and implementations of previous lessons learned

8.3 Quality Control

Quality control is the process of monitoring and recording results of executing the quality activities to assess performance and recommend necessary changes.

8.3.1 Project Quality Control

Following are the quality control measures the project manager will apply to this project:

- At a project milestone, the project cost variance will not exceed the baseline budget by 20% or more
- Project schedule variance will not exceed the baseline schedule by 20% or more
- Acceptance management process requires approval of deliverables as criteria to move forward with the project (the submission of a deliverable does not constitute acceptance or approval)

11 Integrated Change Control

11.1 Integrated Change Control Description

Integrated change control is the process of reviewing all change requests, approving changes, and managing changes to deliverables, project documents, and the project plan. Changes to the project after the project's budget, scope, and schedule have been baselined may impact a variety of areas including cost, scope, schedule, and quality. Changes that impact one or more of these areas must be approved via the change control process. A change request must specify what the change is, the reason for the change, and how it will impact cost, scope, schedule, and/or quality.

11.2 Change Request Procedure

For projects that include a contract:

The change request procedure is defined in the contract, under the Integrated Change Control Process section.

For NDIT projects, or for projects that have a work order instead of a contract:

The project team will utilize the following change request procedure to manage changes during the life of the project.

1. A change request must be in writing to document the potential change. The write-up for the proposed change must be submitted to the vendor and project manager who will in turn provide it to relevant parties for assessment.
2. All change orders will be logged and tracked. The project manager will record the request in ND VIEW and will update the log throughout the process.
3. The change will be reviewed and, if acceptable to the sponsor, the vendor will submit an estimate of the impact to cost, schedule, scope, and quality.
4. The vendor will continue performing the services in accordance with the original agreement unless otherwise agreed upon by the sponsor or project manager. Work shall not commence on any new activities related to the change request until all parties agree in writing.
5. The project manager will adapt the project plan to incorporate approved changes.

11.3 Change Control Process

All change requests will be documented in ND VIEW.

All change requests must be reviewed by the OC and a recommendation provided to the sponsor, unless they designate a threshold for independent sponsor approval. Any thresholds for sponsor approval will be documented in the Threshold Delegations section of this project/program plan.

Steps for the change control process are as follows:

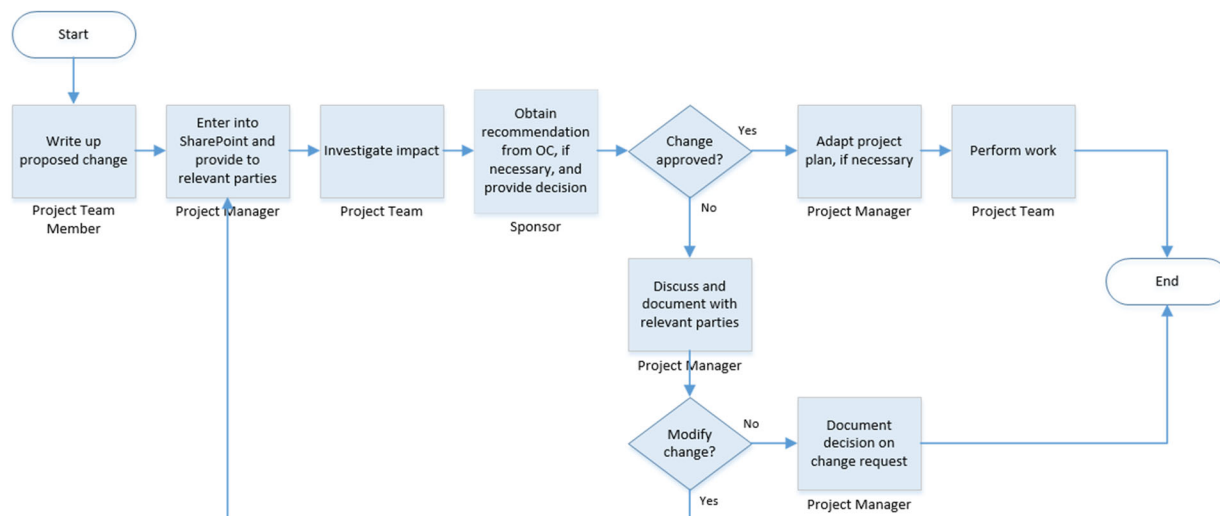


Figure 1: Integrated Change Control Process

1. Complete a write-up for the proposed change and submit copies to the primary and vendor project managers who will in turn provide to relevant parties for assessment
2. Record the request in ND VIEW
3. Investigate the impact of the proposed change and evaluate the impact of not performing the change
4. Document the impacts and recommendations in ND VIEW
5. All parties discuss if the change should be performed
6. The appropriate document is created:

If change is not accepted:

- a) The vendor project manager will discuss and document the rejection with the project manager
- b) The proposed change can be modified and re-submitted, or withdrawn, if it is agreed to be non-essential (in this case, the reasons will be documented)

If change is accepted:

- a) Once the change request has been approved by the sponsor (with a possible recommendation by the OC) and, if necessary, signoff obtained on any contract amendments, work may begin
- b) The project manager will adapt project plans to incorporate the approved change, if necessary
- c) All parties must agree that the change has been complete

12 Other Management Plans

12.1 Decision Management

Decisions made during the project are an integral part of the project process. Though they are documented in locations such as meeting minutes, a comprehensive area for all decisions is helpful for reference purposes.

This project will document all major decisions in ND VIEW.

The typical decisions that are documented are:

- OC votes
- Project strategy and/or direction changes
- Business strategy and/or direction changes
- Technology choices

The project team may choose to document other types of decisions, in addition to the ones above. Decisions made regarding specific risks, issues, or change requests will be documented in those items only.

12.2 Risk Management

Risk management is the systematic process of identifying, analyzing, and responding to project risks. It includes maximizing the probability and consequences of positive events, and minimizing the probability and consequences of adverse events to project objectives.

A risk is an event that has the potential to occur. The practice of risk management is intended to plan and prepare for those possibilities and identify new potential risks throughout the duration of the project.

All risks will be documented in ND VIEW.

The process for flagging and managing risks is as follows:

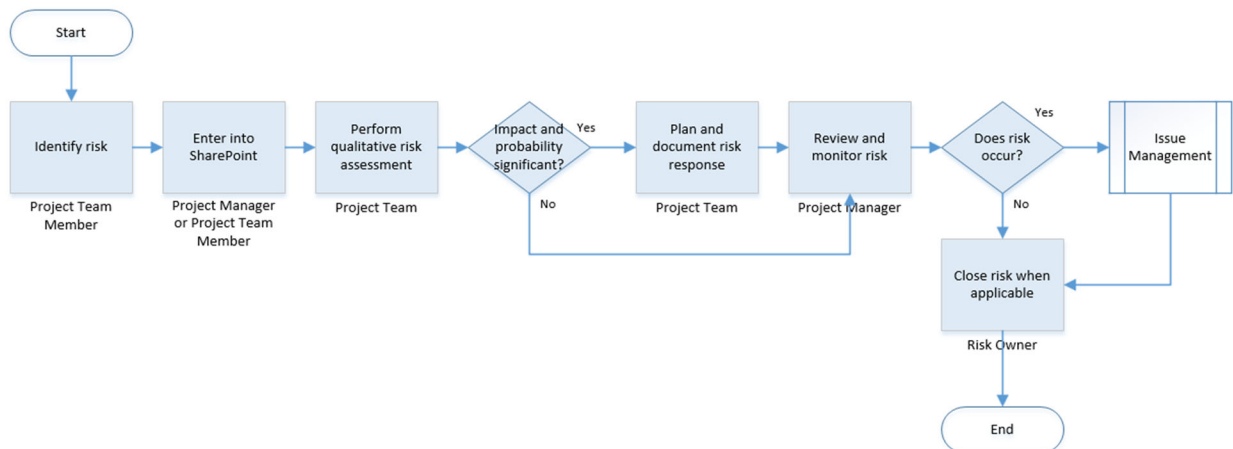


Figure 2: Risk Management Process

- Risk identification
 - Risks are identified by reviewing project documentation and by conducting brainstorming sessions with the project team
 - During the planning phase, the project manager leads the project team in a risk evaluation
 - The project manager enters the risk into ND VIEW
 - Project team members may identify new risks at any point during the project
- Qualitative assessment
 - The risks identified are assessed for impact (I) and probability (P) of occurrence and the project manager will assign them the appropriate numerical score

- For the purpose of this plan no quantitative analysis will be performed
- Risk response planning
 - The risk index is used to prioritize risks
 - The project team creates response plans for all risks considered significant
 - The project manager documents remaining risks as low severity risks, and periodically reviews them with the project team to see if the impact or probability has changed during the course of the project
- Risk Monitoring & Control
 - For all the risks considered significant, the risk owner monitors this risk through the project execution and reports the status during every project team meeting
 - The project team communicates any updates to the probability or impact of the risks to the project manager
 - When a risk occurs during the project it is considered an “issue” and is handled according to the agreed response plan
- Risk Reporting
 - The project team reviews and updates the risk log with changes in the probability/impact of existing risks, information on new risks, and noting the risks that have occurred
 - The project manager reviews the risks regularly at project team meetings
- Change Requests & Lessons Learned
 - Any change to the project activities to mitigate a risk or workaround for an unidentified risk may generate change requests
 - Change requests will follow the procedures detailed in the Integrated Change Control section of this document
 - Any lessons learned will be documented in the lessons learned repository and in the post implementation report for the project

12.3 Issue Management

An issue is defined as any point at which an unsettled matter requires a decision. In this case, it is necessary to identify the specific effects and/or alternative(s) of an issue. Alternatives replace the current item or plan. The issue could be related to applications, workflows, procedures, or equipment. Issues differ from risks because an issue already exists; risks are only a potential event. If a risk occurs, it can become an issue, and conversely, a new issue can generate new risks.

An issue can be created due to the following:

- An event documented in a risk has happened
- Question or problem that needs a decision
- Requested functionality that is outside the scope of the project
- Escalation of an action item
- The technical lead, business lead, and/or the project manager determine that a problem could affect the schedule, cost, scope, and/or quality of the project

All issues will be documented in ND VIEW.

The procedures for handling an issue are as follows:

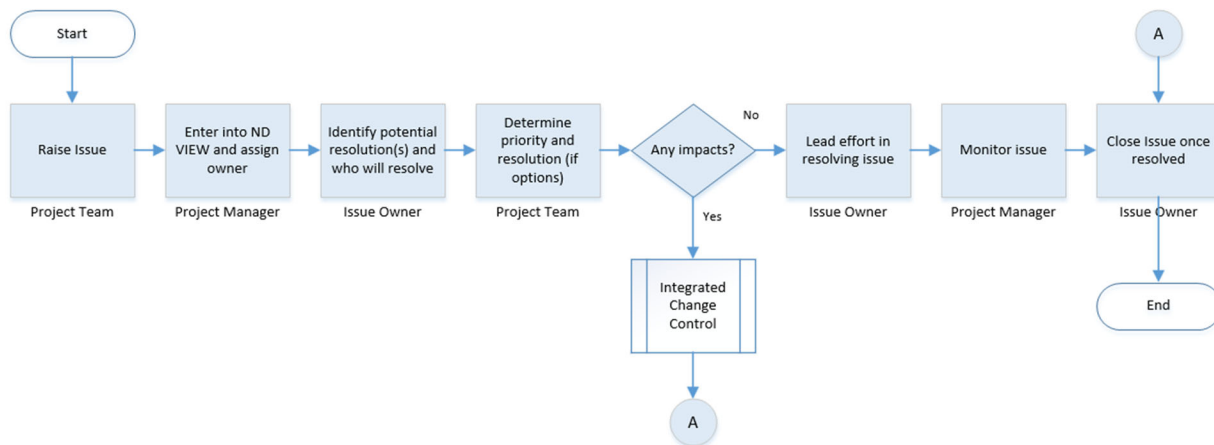


Figure 3: Issue Management Process

- **Raising the issue**
 - Any team member may raise an issue by notifying the project manager of the issue
 - The project manager enters the issue into ND VIEW (each issue entry will contain a description of the situation, any recommendations or alternatives, and/or effects to the project)
 - The project manager determines the person who is responsible for resolving the issue (the owner)
 - The project manager notifies the owner of the issue
- **Analysis**
 - The owner identifies potential alternatives for issue resolution and who will be assigned to do the work to resolve the issue
 - The project manager analyzes each issue with the owner and the assigned person and/or project team to determine its effect on schedule, scope, cost and/or quality
- **Prioritization**
 - Each issue will have a priority assigned to it
 - Low – for issues that do not affect tasks on the critical path and may have a minimal impact or require a minor project adjustment; these will be monitored and resolved by the project team
 - Medium – for issues that will cause a minor delay to a milestone with no impact on the critical path; these will be escalated to the project manager for resolution
 - High – for issues that will cause a milestone on the critical path to be missed or has the potential to stop the project completely; these will be escalated to the project sponsor for resolution (with a possible recommendation by the OC)
 - The project manager determines the initial priority
 - Priority may be changed upon further review
- **Resolution**
 - The owner leads the effort in resolving the issue
 - The resolution of some issues may require an escalation to the sponsor (with a possible recommendation by the OC)
 - The assigned person enters the resolution to the issue

- If the resolution results in a change to cost, schedule, scope, and/or quality a change request is also required (see the Integrated Change Control section of this document)
- Communication
 - Open issues in the Issues section of ND VIEW will be addressed on the status reports and at project team meetings to ensure resolution
 - After the issue has been resolved, the project manager reviews the resolution and communicates the resolution to the project team and/or person(s) affected by the decision
- Closing the issue
 - After the issue has been resolved and communicated, the owner closes the issue
 - The project manager audits to ensure issues are resolved and closed

12.4 Action Item Management

An action item is defined as a question, problem, or condition that requires a follow up activity for resolution. If unsettled, an action item can become an issue or a risk, depending upon the severity of the impact.

All action items will be documented in ND VIEW.

The procedures for handling an action item are as follows:

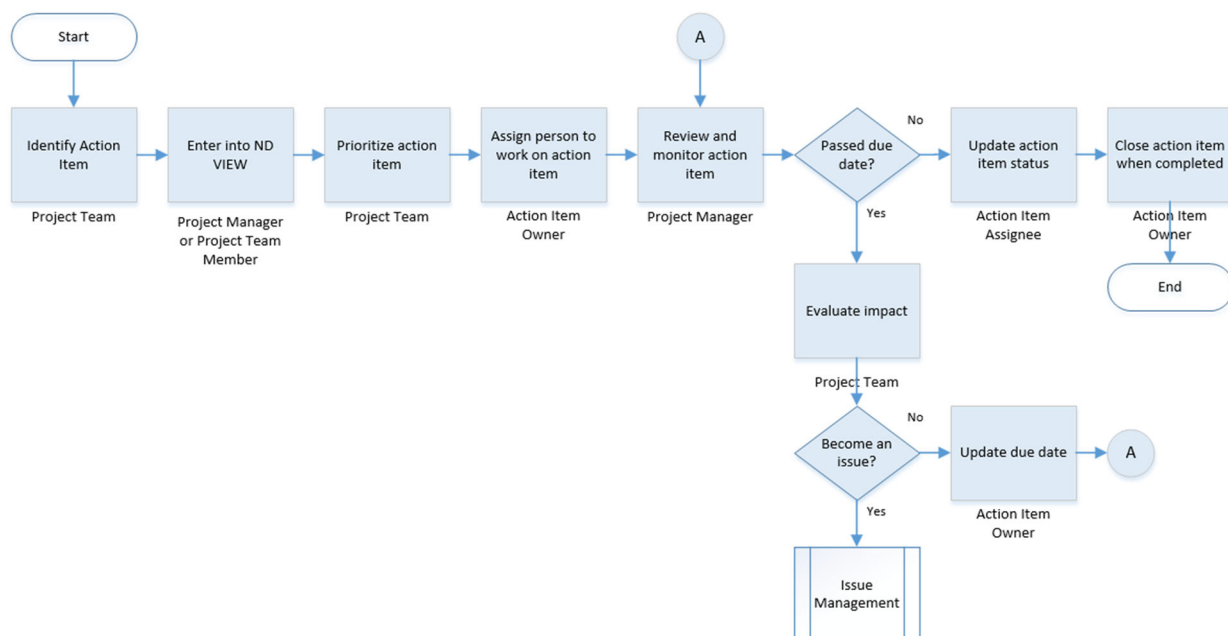


Figure 4: Action Item Management Process

- Raising the Action Item
 - All project team members are responsible for identifying action items
 - The project manager designates the team member who will act as the owner
 - The owner enters the action item
 - The owner determines the person(s) who are assigned to resolve the action item and notifies them

- The owner is the primary point of contact responsible for action item tracking, resolution, and closure
- Evaluate/Prioritize Action Items
 - The project manager, with key stakeholders, objectively assesses the priority each action item will receive with respect to its impact on the project
 - Consideration in determining priority (high, normal, or low) includes:
 - Assessing the consequences of a delayed response to an action item on quality, project cost, scope, technical success, and schedule
 - Assessing the impact of an outstanding action item on the overall project – not just the discrete action item
 - Identifying potential risks associated with the action item
 - Determining possible response to resolve an outstanding action item
- Monitor and Control
 - Review action item log and assess existing action items that are not complete to determine if:
 - The priority has changed
 - The due date needs to be changed (if the due date is past due it either needs to be extended out further, or an explanation needs to be added to the notes section providing a current update on the action item and when it is expected to be completed)
 - Ownership needs to be changed
 - The action item is complete and may be closed
 - Identify and assess new action items
- Communicate status of action items to team members and stakeholders
- Escalation – once the project manager identifies that an action item due date has passed without resolution, the action item may become an issue, based on the priority and potential impact to the project
- Closing the action item
 - After it has been completed and communicated, the owner completes the action item
 - The project manager audits to ensure action items are resolved and closed

12.5 Human Resource Management

The project manager will be responsible for ensuring that the appropriate levels of staffing are available throughout the life cycle of the project. The staffing levels will be based upon the requirements found within the project management plan and project schedule to ensure that the project is successful.

Any personnel issues will be handled via the project manager with the team member's respective functional manager and/or the sponsor. Any additions or changes to members of the project team will be handled as follows:

12.5.1 New or Returning Members

New members will be provided necessary security access and given a copy of the charter and project plan. New members will meet with the project manager for a short orientation regarding the project status, goals, expectations, responsibilities, and roles.

12.5.2 Parting Members

Members of the project team that are leaving the project will be asked to have a meeting with the project manager to debrief prior to their last day. The purpose of this meeting will be to gather outstanding information, obtain status of any work, reassign any issue resolutions or action items, discuss replacement if necessary, terminate security, and obtain any comments or concerns regarding the project.

12.6 Procurement Management

Project procurement management includes the processes necessary to purchase or acquire goods and services from outside the project team. It also includes the contract management and integrated change control processes required to develop and administer contracts or purchase orders issued by the project.

NDCC §54-59-32.4 stipulates signatures required for any procurements for this project: "An agreement or contract, including an amendment, revision, or scope change, for a major information technology project may not be entered unless signed by the head of the contracting agency or a designee and the chief information officer or a designee of the officer."

The CIO, the head of the agency, and the director of the OMB will appoint the members of the procurement collaboration staff. The procurement collaboration staff will participate in all procurements. See the Procurement Collaboration section of this document for further information.

The following processes will be followed for the procurement management of this project as required by the State of North Dakota OMB: <https://www.omb.nd.gov/doing-business-state/procurement/procurement-laws-rules-guidelines>.

- Contact the OMB Procurement Officer assigned to the project and the agency purchasing agent
- The processes of submitting an RFP, obtaining responses, selecting a seller, and awarding a contract can be located at <https://www.ndit.nd.gov/services/it-procurement>
- For the process of submitting a work order (vendor pool), refer to <https://apps.nd.gov/csd/spo/services/bidder/listCurrentContracts.htm> and reference the State Term Contract 095, IT Professional Services Contract Pool
- For an NDIT service, create a request through the [NDIT Service Portal](#)
- The OC may provide recommendations on all procurement approaches, and negotiation and execution of contracts
- Procurement documents will require review and a recommendation for approval by the procurement collaboration staff
- The procurement collaboration staff will participate with the procurement officer in contract negotiation