**State of North Dakota**

**< Agency Name >**

**<Agency Logo>**

**Project Name**

**Project Plan**

|  |  |
| --- | --- |
| **Version:** |  |
| **Author:** |  |
| **Revision Date:** |  |

**Document Control**

*The Document Control section is to aid in documenting changes to the project plan after its initial approval. For small changes, such as a spelling error, increase the number on the right of the decimal by one. Upon formal approval of the project plan for major modifications, integrate these changes in with the formally requested modifications.*

Once the project plan is formally approved, changes must be requested utilizing the Integrated Change Control process. Upon approval of requested modifications the version number will increase by one and the following information documented in the table below:

| **Version** | **Date Applied** | **Change** |
| --- | --- | --- |
| 1.0 | xx/xx/xx | Project plan formally approved |
|  |  |  |
|  |  |  |
|  |  |  |

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# Executive Summary

*The Executive Summary is an optional section for the project plan, and may be used for providing a summary of the information contained in the project plan.*

# Introduction

*The Introduction provides the foundation for the project plan by covering the purpose of the plan itself, the project‘s background and purpose, assumptions and constraints, the approach/methodology for managing and executing the project, the project’s relationship to other systems/projects, and lastly, a list of related documents.*

## Purpose of this document

The purpose of the project plan is to define the project scope, schedule, budget, and quality expectations of the project, and to provide a comprehensive strategy for managing the project.

## Background

*This information may be transferred from the background section of the project charter and updated as necessary.*

The State has provided …

## Project Purpose

*Include the project justification and its relationship to the agency business/strategic plan. This could also include a summary description of the product of the project.*

It is important to the citizens of the State …

## Project Assumptions and Constraints

### Assumptions

The project has the following assumptions:

* xxxx
* xxxx

### Constraints

The project has the following constraints:

* xxxx
* Cost, schedule, scope, and quality are often in conflict during projects. The sponsor elected to prioritize as follows: *Consult with sponsor and arrange according to project priority.*

1. Quality
2. Scope
3. Cost
4. Schedule

## Project Approach

The method of project management to be used in this project is based on the Project Management Institute’s *Project Management Body of Knowledge (PMBOK)* and the North Dakota Project Management Guidebook. Both methodologies are based on initiating, planning, executing, controlling, and closing processes to ensure that the project completes its objectives on time and on budget, while meeting the quality expectations of the stakeholders.

## Project Repository

*This area may need to be customized for agencies that have their own repository or if another type of repository is used.*

The official project repository is the location where all project documentation will be stored. This repository will be the primary repository of record in accordance with the records retention section of STD009-05 and/or the performing organization’s records retention policies.

The project repository is a Microsoft SharePoint site and is located at *insert*. Security access for this SharePoint site must be granted by the project manager.

The repository is the primary tool the project manager will use to manage and control the project, and contains areas for the following:

*Consider adding the link or making the bullets below a hyperlink.*

* Project Control Register to track cost/schedule variance and budget
* Procurement management
* Deliverable acceptance management
* Action items
* Issue management
* Change management
* Risk management

## List of Related Documents

*This list would cover any other planning related documents and may include the project business case, the project charter, advanced planning document, ITD estimates, contracts, RFI/RFP documents, statement of work, and any other document deemed pertinent to the project plan.*

The following documents are important to this project and provide additional information for review.

Table 1: Related Documents

| **Document Name** | **Version/Date** |
| --- | --- |
|  |  |
|  |  |
|  |  |
|  |  |

## Acronyms/Abbreviations

*Add acronyms/abbreviations that are specific to your program.*

Table 2: Acronyms/Abbreviations

| **Acronym/Abbreviation** | **Description** |
| --- | --- |
| COTS | Commercial off-the-shelf |
| EAC | Estimate at completion |
| ESC | Executive Steering Committee |
| I | Impact |
| IAPD | Implementation Advance Planning Document |
| ITD | Information Technology Department |
| LPO | Large Project Oversight |
| LPOA | Large project oversight analyst |
| P | Probability |
| PMBOK | Project Management Body of Knowledge |
| RFP | Request for Proposal |
| RI | Risk Index |
| WMS | Work Management System |

# Governance

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 vendors and project team is effective and consistent

## Process

*This section should be modified to meet specific project needs. For example, if the project is not a large* *project, there is language in the Project Sponsor section that should be taken out.*

### Authority

Stakeholders are all of the people that are in any way affected by the new product or service. Since the organization will rely on various stakeholders it is important to understand the roles and responsibilities.

#### Executive Steering Committee (ESC)

*For projects under $500,000, use the following verbiage:*

The ESC provides guidance and support to the sponsor and project manager. The ESC is responsible for reviewing the status at project milestones and recommending and approving significant changes to the project plan. The ESC acts as an advisory group to the sponsor as it relates to managing the project’s cost, schedule, scope, and quality. Project issues may be brought to the ESC via the project manager. The ESC meets at the request of the sponsor, no less than once per quarter.

*If the project has a budget below $250,000 and is not governed by STD009-05, delete the section below:*

STD009-05 provides the following requirement for large projects as it relates to the ESC:

“An Executive Steering Committee shall be established to provide management support to the project. The committee members shall include at minimum, the project manager, sponsor, and key stakeholders. The LPOA assigned to the project shall be invited to attend as an ex officio member. The committee shall be responsible for reviewing the status at project milestones, authorizing significant changes to the project plan, and facilitating decision-making.  The committee shall meet quarterly, or on a more frequent basis as defined in this project plan.”

*For projects over $500,000, use the following verbiage:*

The ESC is responsible for overseeing the project. The ESC shall monitor the overall health of the project and review all project decisions including but not limited to contracts, budget, schedule, quality, and scope changes. The ESC is chaired by the sponsor (or designee) and meets no less than once per quarter.

The ESC must be comprised of five defined voting members (subsection 3, below), though additional members may be included in an advisory capacity. The ESC must vote on any major change to the project, including cost, scope, schedule, and quality, with four of the five votes required to make the change. In addition, a project decision declared by any voting member of the committee to be a major project decision must be brought before the ESC for discussion and a formal vote. The ESC may set a threshold for voting and allow the project manager and/or sponsor to make decisions below this threshold.

*NDCC 54-59-32 Major information technology projects – Appointment of executive steering committees* defines the voting members and approvals of the ESC:

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.”

Subsection 3: “An executive steering committee must be appointed to oversee each major information technology project. The agency project sponsor shall serve as chairman of the committee. The executive steering committee must consist of 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 executive steering committee shall monitor the overall status of the project and review project decisions, including negotiation and execution of contracts, approval of project budgets, implementation of project schedules, assessment of project quality, and consideration of scope changes. Any project decision declared by a member of the committee to be a major project decision requires at least four affirmative votes.”

Subsection 4: “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.”

#### Procurement Collaboration Staff

*This section is required for projects over $500,000 needing procurement.*

The procurement “collaboration staff” consists of subject matter experts that are responsible for reviewing, negotiating, and making recommendations for approval to the ESC for all 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 Century Code, 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 addendums/amendments with a value of $250,000 or more. A moajority vote is required to make the recommendation of approval. The ESC may request that any work orders and addendums/amendments under $250,000 also go through review by the procurement collaboration staff.

*NDCC 54-59-32 Major information technology projects – Appointment of executive steering committees* 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.”

#### Sponsor

*For projects under $500,000, use the following verbiage:*

The sponsor has a demonstrable interest in the outcome of the project and has sole authority to make decisions determining the operation, order, and management of the project including the prioritization of cost, schedule, scope, and quality. The sponsor is responsible for conflict resolution, authorizing changes, managing contingencies, managing stakeholder expectations, and ensuring expected benefits are realized.

The sponsor is ultimately responsible for the interaction between the performing organization/project and the large project oversight analyst (LPOA).

*For projects over $500,000, use the following verbiage:*

The sponsor has a demonstrable interest in the outcome of the project and chairs the Executive Steering Committee (ESC). The sponsor is responsible for conflict resolution, managing contingencies, managing stakeholder expectations, and ensuring expected benefits are realized.

The sponsor is ultimately responsible for the interaction between the performing organization/project and the large project oversight analyst (LPOA).

#### Project Manager

The project manager is the person responsible for ensuring that the project team completes the project successfully by resolving the strategic problems/needs of the business that led to the origination of the project. He/she is also the primary connection between the project team and the sponsor/performing organization. The project manager develops the project plan with the team and manages the team’s performance of project tasks. The project manager is also responsible for securing acceptance and approval of deliverables from the sponsor and stakeholders.

#### Project Team

The project team is responsible for identifying requirements and making recommendations for decisions.  The group participates in the project, assists in the resolution of conflicts, and provides overall direction to the project efforts.  In addition, they assist the project manager in developing a project plan including task details, budgets, schedules, risk management plan, scope control plan, communications plan, and other project planning documents. They also perform tasks as needed to ensure successful completion of the project.  The project team meets weekly, or on a more frequent basis as defined in the project plan.

### Authority/Responsibility Matrix

*This responsibility matrix should be customized for each individual project when assigning the resource responsibilities. This matrix is the only place where information is duplicated within this project plan. If there is a change in a management plan, this matrix may also need to be adjusted accordingly.*

*If the PM Checklist was used during the initiation phase to define project roles, that table may be copied/pasted into this document and used as the matrix - Contributor and Information Only roles will need to be defined.*

*Note that those project management tasks already marked as “Responsible” are part of the role of the primary project manager on projects falling under the executive order – these should not be changed.*

The following section describes the authority of those involved in the project, lines of accountability, and the flow of information.

Table 3: Authority/Responsibility Matrix

|  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **Resource Responsibility**   |  |  | | --- | --- | | R | Responsible (Primary) | | A | Approval Authority (Accountable) | | C | Contributor (Consulted) | | I | Information Only (Informed) | | **Sponsor** | **Project Manager** | **Executive Steering Committee** | **Administrative Staff Support** | **Business Analyst** | **Project Team** | **Quality Assurance Manager** | **Technical Lead** | **Test Lead** | **Legal Counsel** | **Procurement Officer** | **Contract Manager** | **Resource Manager** | **Release Manager** |  |
| Ensure requirements of executive order 2011-20 are met |  | R |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Ensure requirements of STD009-05 are met |  | R |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Review and provide guidance and direction on project documentation and processes related to cost, schedule, scope, and quality |  | R |  |  |  |  |  |  |  |  |  |  |  |  |  |
| ESC meetings: facilitate/create agenda |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| ESC meetings: schedule/notice meeting |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| ESC meetings: take minutes |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Participate in ESC as a non-voting member |  | R |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Organize and lead procurement |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Work with procurement officer to facilitate procurement process |  | R |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Procurement Committee: facilitate/create agenda |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Procurement Committee: schedule/notice meeting |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Procurement Committee: take minutes |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| RFI/RFP/Work order |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Scoring/reviewing procurement responses |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Contract negotiation |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Act as primary contact between project team and sponsor or ESC |  | R |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Act as primary contact between vendors and project sponsor or ESC |  | R |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Facilitate overall project team communication |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Project plan and schedule |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Analysis documents |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Author LPO Startup Report |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Present LPO Startup Report |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Design Documents |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Project meetings: facilitate |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Project meetings: create agenda |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Project meetings: schedule/notice meeting |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Project meetings: take minutes |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Contract management (e.g., vendor payments, legal enforcement) |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Monitor and control vendor contracts (e.g., managing work schedule and effort) |  | R |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Validate vendor invoice prior to payment |  | R |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Delegate and assign activities to project team |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Implementation plan |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Unit and system test plan |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Unit and system testing |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| User acceptance test plan |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| User acceptance testing |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Manage and execute the project plan |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Manage project scope/scope control |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Manage/update project schedule |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Manage quality control processes |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Manage project costs and update project budget |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Track and report cost variances and budget forecasts |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Track project expenses |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Monitor and control project risks |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Monitor and control project issues and action items |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Manage change control process in relation to cost, schedule, scope, and quality |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Secure acceptance and approval of deliverables |  | R |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Provide status to ESC, project team, and LPOAs |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Validate project status updates before updates are communicated |  | R |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Validate all project budget/schedule baseline changes |  | R |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Maintain project repository |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Variance report |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| LPO Quarterly Status Report |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Supplemental status reports |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Post-Implementation Report |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Author LPO Closeout Report |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Present LPO Closeout Report |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Archive project documentation |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Perform project cleanup (e.g., vendor security access) |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |

**Responsible (Primary):** Those who do the work to achieve the deliverable or task.

**Approval Authority (Accountable):** The one ultimately answerable for the correct and thorough completion of the deliverable or task. (i.e., the *approval authority* must sign off on the work that the *responsible* provides.)

**Contributor (Consulted):** Those whose opinions are sought to assist in completing the deliverable or task.

**Information Only (Informed):** Those who are responsible to keep themselves informed on the progress of the deliverable or task.

### Organization Chart

*This organizational chart should be customized based on the individual project hierarchy. The chart may include resource names.*

An organizational chart is a graphic display of the project organization which shows relationships. It also communicates the project structure.



Figure 1: High Level Org Chart

### Acceptance Management

All project deliverables are date-driven and aligned with the project schedule. Deliverables will be tracked in the Deliverables document library in the project’s SharePoint site utilizing the workflow process.

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.

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 issue management process.

*In some cases, it may be appropriate to use language indicating, “If the assignee fails to take action (accept, reject, or escalate), the deliverable will be assumed to be accepted. Depending on the project, it may be necessary to include multiple review periods for each deliverable”.*

### Escalation Process

*To reference this process in another section of the project plan, include a statement such as the following: “In the event a resolution cannot be reached by the stakeholders, the issue may be escalated via the escalation process”. The second paragraph should be customized based on individual project escalation requirements.*

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 ESC.

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.

# Scope Management

## Project Scope Statement

*This section should be developed as a paragraph statement. It should contain a full description of the product of the project. The scope statement should also include a summary of the project objectives and major deliverables (what’s in scope and what’s out of scope). This may also include a summary of any other systems or projects that might have a potential impact on this project.*

### In Scope

*In addition to the deliverables of the project, this section should include those processes that are within the scope of the project but may not be defined as a deliverable in the acceptance management log. The list included with this template should be modified to meet the needs of the individual project.*

*For example:*

The initiation phase was conducted under an advance planning document and included the following activities:

* Project charter
* Governance document
* Implementation Advance Planning Document (IAPD)

The planning phase of the project began upon the approval of the project charter.  The activities included in this phase are:

* Project plan
* Project schedule
* Variance report
* Large project oversight Startup Report
* Software Development Life Cycle Matrix
* Analysis
  + Requirements document
  + Business process model (current and future)
  + Conceptual architecture (roadmap)
  + Architectural diagram (technical architecture diagram)
  + Use cases
  + Data dictionary
  + Entity Relationship Diagram
  + Analysis document
  + After-Analysis Cost Estimate
  + Requirements traceability matrix

The execution phase of the project begins upon approval of the project plan and will consist of the following:

* Design
  + Prototype
  + Physical data model
  + Updated traceability matrix
  + Site map (potentially)
  + System security plan
  + Information security risk assessment
* Development
  + Application and interface development
  + Period code/development reviews
* Testing
  + Test plan with scenarios for testing
  + Integration testing according to the defined test plan
  + Load testing
  + User acceptance testing according to the defined test plan
* Training
* Implementation/transition
  + Implementation/transition plan
  + Production deployment

The Closing phase will consist of:

* Post implementation report
* Closeout report

### Out of Scope

*Sometimes it is as important to state what is out of scope for the project as it is to state what is in scope in order to ensure complete understanding of the scope of the project. The list included with this template should be modified to meet the needs of the individual project.*

*For example:*

Any element not listed as “in scope” is considered out of the scope of the project. However, specifically, the scope of the project does not include:

* The <component> component of the <COTS product> was not purchased and will not be implemented
* The interface to the <system> system will not be developed

## 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.

# Time Management

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

The schedule for this project will be maintained using <*Microsoft Project or other system – update for your project>*. The project schedule will be baselined before work on activities begins, and performance will be measured against the baseline.

*The chart below illustrates the high-level project schedule. To view the initial baseline schedule, refer to the project repository. Add wording describing what schedule files will exist and where they will be stored.*

*Phases and deliverables should include both a planned start and planned end date. Milestones should only show the planned end date.*

Table 4: Phase/Delivery/Milestone Chart

| **Phase/Deliverable/Milestone** | **Planned Start Date** | **Planned End Date** |
| --- | --- | --- |
|  |  |  |
|  |  |  |
|  |  |  |
|  |  |  |

## Schedule Control

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

* Monitor the project schedule on a 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 weekly progress reports 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
* The project control register will be used as a tool to manage and report schedule variance by all project teams

## Implementation and Transition Plan

*The Implementation and Transition Plan discusses how to transition the project from the project team to the organization (e.g., post-implementation activities, organizational change, end-user support, and any plans for ongoing training).*

*This section must include a description of the high-level elements required to successfully transition the project.*

*For smaller projects, insert the transition plan here. For large projects this is usually a standalone plan due to the level of detail required, and because transition details will not be known until closer to deployment. Up front, feel free to add any details known at the time into this project plan.*

*Following is the link to the implementation and transition plan template:* [*G:\Project Management\Implementation and Transition Plan\Implementation and Transition Plan.docx*](file:///G:\Project%20Management\Implementation%20and%20Transition%20Plan\Implementation%20and%20Transition%20Plan.docx)

# Cost Management

Cost management includes the processes required to ensure that the project is completed within the approved budget. The costs addressed in this plan are for *describe what the costs cover.*

## Budget

The chart below illustrates the high-level budget. *Add, delete rows as necessary****.***

Table 5: Budget

|  |  | **Appropriated** |  | **Reallocated** |  | **Total** |
| --- | --- | --- | --- | --- | --- | --- |
| **Project Costs** |  |  |  |  |  |  |
| Hardware |  | $- |  | $- |  | $- |
| Software/Licenses |  | $- |  | $- |  | $- |
| Consulting |  | $- |  | $- |  | $- |
| Training |  | $- |  | $- |  | $- |
| Project Management |  | $- |  | $- |  | $- |
| Travel |  | $- |  | $- |  | $- |
| Add/delete more as needed |  | $- |  | $- |  | $- |
| **Sub-Total** |  | **$-** |  | **$-** |  | **$-** |
|  |  |  |  |  |  |  |
| Risk Contingency |  | $- |  | $- |  | $- |
| **Baseline Sub-Total** |  | **$-** |  | **$-** |  | **$-** |
|  |  |  |  |  |  |  |
| Management Reserve |  | $- |  | $- |  | $- |
| **Budget Total** |  | **$-** |  | **$-** |  | **$-** |

*Note (For ITD Projects):* The original cost estimate is based on the product scope defined in this project plan. A revised cost estimate will be created at the end of the analysis phase. This estimate is done based on the requirements identified in the analysis document. *When the budget above reflects the after-analysis budget, this section may be removed.*

The Work Management System (WMS) will be used for this project to track and record ITD project team assignments. WMS is also used for approval of budget items such as planning estimates, budget estimates and after-analysis cost estimates.

A description of the budget data elements is available in Appendix I.

## Cost Control

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

The cost baseline will be logged in the project control register. As costs accrue, the actual costs will be entered into the register and measured against the planned costs to determine the cost variance. Updates to the register will occur *weekly, monthly, as costs accrue*.

*Other items to note include: Where does cost information come from? Who signs off on invoices? Is there a process for authorizing payments?*

# Communication Management

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

## Communications Management Plan

*Depending on the size and complexity of the project, communications management may be informal or highly sophisticated. Regardless of formality, the communications plan should be incorporated into your overall project plan for the project and reviewed regularly. You will commonly see a communications plan represented in a table format with the following fields:*

* *The type (description) of the communication – status meetings, status reports, presentations, memos, newsletters, meeting notes, etc.*
* *To whom the communication will be given – senior management, team members, the sponsor, etc.*
* *The facilitator of the communication – the project manager is the facilitator for most communications!*
* *The frequency of the communication – daily, weekly, monthly, etc.*
* *How the communication will be stored*

*It should be clearly stated which meetings required formal minutes.*

*Where “location” is noted below, please state where these documents will be stored.*

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 in *location*, which will be the repository for the project. All project team members will have access to this repository. Other locations will be used for document communication and storage on this project. These, along with the repository are noted below:

*Note the exact locations (links showing the website address if applicable) of the document storage.*

* Link to SharePoint site

\*Login required to access this link

* Work Management System (WMS) Work Order #/Service Request #

\*Login required to access this location

* Link to website

### Meetings

Meetings are one of the major communication tools used in this project and should be documented in the format of minutes stored in *location*. The minutes should be released within *X days* of the meeting and approved within *X days* of receipt. Some meetings (e.g., the Executive Steering Committee meeting) may have different timelines for approval of minutes. Please see the Meetings table below for differing timelines.

Minutes for a meeting will be approved by the sponsor or designee.

*The following paragraph may be used instead if your project does not have a shared repository or if minutes will not be approved via the workflow in the repository.*

The minutes will be e-mailed and/or a link will be provided by the author to the meeting attendees for approval, along with a deadline for any comments or changes. Non-response to the e-mail will be considered approval of the minutes. Once approved via this e-mail process, the author or project manager will electronically approve *(if applicable)* and store the minutes.

The following are the types of meetings to be held during this project, the frequency of the meetings, and who should attend:

*Fill in/change as applicable.*

*While planning and analysis are typically completed at the time the project plan is finalized, these activities may be controlled using the management plans in this template. Therefore, leave these meetings in this table during planning – they may be removed at the time the plan is finalized.*

Table 6: Meetings

| **Meeting Type** | **Purpose** | **Frequency** | **Facilitator(s)** | **Attendees** | **Minutes Required?** |
| --- | --- | --- | --- | --- | --- |
| Planning | Create the project charter and/or the project plan |  | Project manager | Project team members |  |
| Analysis | Gather the requirements for the project and create the ITD after-analysis cost estimate |  | Technical project lead | Project team members |  |
| Design | Create use cases and determine how the system will work |  | Technical project lead | Project team members |  |
| Project Team | Discuss topics relevant to the project |  | Project manager | Project team members |  |
| Other relevant communications outside of meetings | Discuss topics relevant to the project |  | Determined as needed | Determined as needed |  |
| Status | Review progress, upcoming activities, and discuss issues and risks |  | Project manager | Project team members |  |
| Executive Steering Committee | Convey project information, or for the sponsor to receive assistance on a project decision | Quarterly | Project sponsor | Executive Steering Committee members | Yes, approved at next meeting |
| Project Closeout | Used to discuss what worked and didn’t work in the project | Within 6 months after implementation | Project manager | Project team members |  |

### Project Team Communication Tools and Documentation

Following are the types of tools used for internal communication in this project:

*Fill in/change as applicable.*

Table 7: Communication tools and documents

| **Communication Tool** | **Description** | **Frequency** | **Author(s)** | **Recipient(s)** | **Location** | **Approval Required?** |
| --- | --- | --- | --- | --- | --- | --- |
| Progress Reports | Summarize individual progress, and plan upcoming activities and inputs to the status reports |  | Project team members |  |  | No |
| Status Reports | Summarize progress of the project and upcoming activities, including reporting budget and schedule variance | Monthly | Project manager |  |  | No |
| LPO Status Reports | Summarize progress of the project and upcoming activities, including reporting budget and schedule variance, and also summarize issues, impacts, and risks | Quarterly |  | LPOA |  |  |
| Minutes | Written record of a meeting |  | Facilitator or designee | Meeting attendees and other interested parties |  | Yes |

### External Stakeholder Communication Tools and Documentation

Following are the types of tools used for external communication in this project:

*Fill in/change as applicable.*

Table 8: External Communication Tools

| **Communication Tool** | **Description** | **Frequency** | **Author(s)** | **Recipient(s)** | **Distribution Method** |
| --- | --- | --- | --- | --- | --- |
| Status Reports |  |  |  |  |  |
| Website |  |  |  |  |  |
| Newsletter |  |  |  |  |  |
| E-mail |  |  |  |  |  |
| Presentation |  |  |  |  |  |
| WebEx |  |  |  |  |  |

# Quality Management

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.

*Describe how you will monitor and manage the project according to relevant quality standards such as technical standards (e.g., coding/development standards). State the specific standards that the project must follow. Discuss the verification (e.g., requirements verification) and validation (e.g., testing after development) that will be done on the project.*

*Describe the process that will be used for project health checks. Identify core components that need to be tested and re-tested with any major change.*

*Consider including business process metrics in the quality management plan. Business process metrics helps to ensure that the project is meeting the objectives it was intended to accomplish.*

*Quality management plans should be specific to the type of project. For instance, when the project is information technology related, be sure to include the process for conducting quality reviews such as code walk-throughs.*

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

## Plan Quality

Quality planning is the process of identifying quality requirements and/or standards for the project and product, and documenting how the project will demonstrate compliance.

The following documents provide input in determining the quality assurance and quality control processes for this project and the product:

* The State of North Dakota’s Project Management Guidebook – located on the web at <http://www.nd.gov/itd/standards/project-management/project-management-guidebooks-and-templates>
* Projects with a budget greater than $250,000 will follow Enterprise Architecture Standard STD009-05 Project Management of Large Information Technology Projects - <http://www.nd.gov/epm/oversight/doc/std009-05.pdf>

## Perform 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.

*If there are any vendors participating in this project, review and include their quality processes.*

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
* Large Project Oversight (LPO) – ensures compliance of the project with the North Dakota Century Code
* Acceptance management – verifies that the deliverables are of acceptable quality and that they meet the established project requirements
* Peer review of project documents – provides documents associated with this project (e.g., business case, project charter, and this project plan) a review by other ITD project managers for clarity and implementations of previous lessons learned

Following are the quality assurance processes for the product produced by this project:

*Add or remove as necessary*

* Web design walkthroughs with ITD’s software architect and web design team – verifies compliance with the design specifications and web design quality
* Proof-of-concept – screen shots are shown to the appropriate user group to confirm that the requirements were understood and the system designed correctly
* Usability testing (before development) – provides further validation that the requirements were understood and the system designed correctly (while no databases are in place, this is used to walk users through the application and determine if requirements need to be clarified or changed before the design is complete)
* Code walkthroughs with ITD’s software architect – verifies compliance with the design specifications and code quality
* Unit testing – happens periodically during development to ensure sections of code are meeting the design specifications
* System testing – verifies the system operates per the design specifications; a system test plan will be produced as a deliverable of this project
* Regression testing – retests a modified program to verify that the fix did not introduce any additional errors
* Usability testing (after system testing) – determines if the design is “user-friendly” and to provide lessons learned for the ITD web design team (this can also provide notice of possible future enhancements for the product)

*Note details of the usability testing: Will it be done before or after the development? Are there any specific goals of the testing (e.g., validating the design, or determining if drop-downs or radio buttons are desired)? Who will be participating? How will requests to change the design be handled?*

* Performance/Load testing – ensures the system can support the number of users or data; automated test that may utilize existing test scenarios to determine system performance and identify any system issues
* Security testing – ensure that the system adheres to appropriate security levels; test vulnerabilities, as well as user roles and data security
* Agency/User acceptance testing – ensures compliance with the design and that the system operates as expected using “real life” scenarios; an acceptance test plan will be produced as a deliverable of this project

## Perform Quality Control

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

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)

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

* The product will not move forward to agency/user acceptance testing if any “show stopper” errors are present
* The product may move forward to agency/user acceptance testing at the discretion of the sponsor if high-level errors are present
* The project will move forward to agency/user acceptance testing if minimal/cosmetic errors are present

*Ideas: What metrics are associated with the load test plan (e.g., how many users will be simulated and what are the expected results)? Will the product be moved to either the system test or acceptance test phases if there are known errors? If so, what level of errors will be allowed?*

# 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.

## Risk Management Plan

A risk is considered to be 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 the *Risks section of SharePoint.* The process for flagging and managing risks is as follows:

* 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 the Risks section of SharePoint
  + 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
  + The project manager calculates the risk index (RI) using RI = P \* I as per the scoring table shown in Appendix I
  + 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 with a risk index of 20 or greater
  + The project manager documents all risks with a risk index less than 20 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 with a risk index of 20 or greater, 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

A description of the risk log data elements is available in Appendix I.

# Issues 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 to an application system, a workflow, a procedure, 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.

## Issues Management Plan

An issue can be created due to the following:

* 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 an action item or problem could affect the schedule, cost, scope, and/or quality of the project

All issues will be documented in the *Issues section of SharePoint*. The procedures for handling an issue are as follows:

* 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 SharePoint (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(s) 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 primary project manager and governing committee 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 ESC for resolution
  + 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 project sponsor and/or the ESC
  + 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 SharePoint 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

A description of the issue log data elements is available in Appendix I.

# Action Items

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.

## Action Items Management Plan

All action items will be documented in the *Action Items log section of SharePoint*. The procedures for handling an action item are as follows:

* 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 for 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 in a “Closed” status 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 an 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 closes the action item
  + The project manager audits to ensure action items are resolved and closed

A description of the action item log data elements is available in Appendix I.

# Integrated Change Control

Integrated change control is the process of reviewing all change requests, approving changes, and managing changes to deliverables, project documents, and the project management 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.

All change requests must be approved or rejected by the ESC, unless they designate a threshold for sponsor approval, and will be documented in *the Change Requests section of SharePoint (the change management log for the project)*.

## Change Request Procedure

*Replace the words CONTRACTOR and AGENCY with the actual vendor and agency. Keep in mind ITD could be the contractor.*

*Note any thresholds the ESC has provided for sponsor approval – this can be budget or schedule thresholds.*

<<CONTRACTOR>> and <<AGENCY>> 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 – submit the write-up for the proposed change to <<CONTRACTOR>> and <<AGENCY>>’s project managers who will in turn provide it to relevant parties for assessment
2. All change orders will be logged and tracked – the <<AGENCY>>’s project manager will record the request in the *Change Requests section of SharePoint* and will update the log throughout the process
3. The change will be reviewed and, if acceptable to <<AGENCY>>, <<CONTRACTOR>> will submit to <<AGENCY>> an estimate of the impact to cost, schedule, scope, and quality
4. <<CONTRACTOR>> will continue performing the services in accordance with the original agreement unless otherwise agreed upon by the <<AGENCY>>’s project manager (work cannot commence on any new activities related to the change request until all parties agree in writing)
5. <<CONTRACTOR>>’s project manager and <<AGENCY>>’s project manager will adapt project plans to incorporate approved changes
6. Based on the size of the change, <<CONTRACTOR>> and <<AGENCY>> will determine if a contract amendment is warranted

## Change Control Process

State contracts outline the requirements for vendors in relation to the change control process. Following is the verbiage from the contract:

During the course of the Contract, if CONTRACTOR determines or could reasonably determine any STATE actions or directions constitute a requirement to perform additional work, CONTRACTOR shall notify STATE within 30 days that STATE has requested CONTRACTOR to perform additional work in the form of a documented change request utilizing the procedures above. CONTRACTOR understands that it waives the right to request additional time and reimbursable costs if CONTRACTOR fails to notify STATE within 30 days of determining or reasonably being able to determine that any STATE actions or directions constitute a requirement to perform additional work under the Contract.

Steps for the change control process are as follows:

1. Complete a write-up for the proposed change and submit copies to <<CONTRACTOR>> and <<AGENCY>>’s project manager(s) who will in turn provide to relevant parties for assessment
2. Record the request in the *Change Requests section of SharePoint*
3. Investigate the impact of the proposed change and evaluate the impact of not performing the change
4. Prepare a response to the proposed change
5. Retain the original in the project library
6. <<CONTRACTOR>> and <<AGENCY>> agree whether the change should be performed and obtain authorization sign-off of the change request
7. The appropriate document is created

If change is not accepted:

1. <<CONTRACTOR>>’s project manager will discuss and document the issue with <<AGENCY>>’s project manager
2. 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:

1. Once the change request has been approved and signed by the authorized parties, work may begin
2. <<CONTRACTOR>>’s project manager and <<AGENCY>>’s project manager will adapt project plans to incorporate the approved change
3. Both <<CONTRACTOR>> and <<AGENCY>> must sign-off that a change has been complete
4. The change management log will be updated
5. The change management log will be supplied at the progress meetings and/or in status reports

A description of the change management log data elements is available in Appendix I.

# Human Resource Management

Human resource management includes the processes required to make the most effective use of the people involved with the project.

The project team directory is located in the project SharePoint site: *provide link*

## Staffing Management Plan

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 team project manager with their respective functional managers and/or sponsor. Any additions or changes to members of the project team will be handled as follows:

### 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.

### 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.

## Team Development Plans

*If special training for team members is required for this project, include information on the training below.*

*If no special training for team members is required, note that in this section instead.*

# 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.

## Procurement Management Plan

The following processes will be followed for the procurement management of this project as required by the State of North Dakota Office of Management and Budget: [www.nd.gov/spo/legal/guidelines](http://www.nd.gov/spo/legal/guidelines).

*If institutions of higher education, Legislative Branch, or Judicial Branch, insert the policies and procedures established by the branch.*

*This section is important for procurements that occur during the planning section. Once the project plan is finalized prior to execution, this verbiage can be made past tense.*

### Plan

*The plan is the process of documenting project purchasing decisions, specifying the approach, and identifying potential sellers.*

* The project will procure the following:

*Provide a bulleted list of all procurement and hyperlink the tool (e.g., requirements document, make or buy analysis, or expert judgment) you used to identify what you want to procure.*

* + Commercial-off-the-shelf (COTS) product that will…
* Procurement responsibilities

*Identify who will procure each item (e.g., ITD or Agency). Note that a certified state procurement officer required.*

* + The procurement officer for… will lead the effort to create a Request for Proposal (RFP) to…

*For projects over $500,000, include verbiage on the Procurement Collaboration Staff process.*

* + The procurement collaboration staff as defined in NDCC 59-59-32 will be responsible for reviewing and approving recommendation of the… to the ESC
  + The ESC will formally approve the…
* Procurement type

*Identify how to acquire what will be procured (i.e., RFP, work order for a vendor from the vendor pool, contract for alternate procurement, or purchase order).*

* + The procurement will be a… *(e.g., fixed-price, cost-reimbursable, time and material)*
* Due date
  + The project requires that…

### Conduct

*Conducting procurement is the process of obtaining seller responses, selecting a seller, and awarding a contract.*

* The processes of submitting an RFP, obtaining responses, selecting a seller, and awarding a contract can be located at [www.nd.gov/itd/planning/procurement](http://www.nd.gov/itd/planning/procurement)
* For the process of submitting a work order (vendor pool), refer to [www.nd.gov/spo](http://www.nd.gov/spo) and reference the State Term Contract 095, IT Professional Services Contract Pool
* For an ITD service, create a WMS service request
* When submitting a work order or purchase order, contact your agency purchasing agent

### Administer

*The process of managing procurement relationships, monitoring contract performance and making changes and corrections as needed.*

* The contract will be administered by…

*Determine who will administer what has been procured (e.g., contract, maintenance and service, or professional services).*

* Human resources and security/system access

*Contact human resources (HR) for a current copy of the New Contract Employee Orientation Checklist - this checklist and form will be required to be submitted for all contractors working on this project.*

* + Human resources includes… and will be administered by…

*Human Resources – background checks, training videos, finger printing, confidentiality agreements, etc.*

* + Security/system access includes… and will be administered by…

*Security – building access, system access, etc.*

* If there are any changes to a contract, follow the Integrated Change Control section of this document
* *For projects over $500,000, include verbiage on the Procurement Collaboration Staff process.*
* Changes to the contract will require review and a recommendation for approval by the Procurement Committee, followed by approval from the ESC

### Close

*The process of completing the project procurement:*

* …is responsible for contract closeout
* Determine how close-out will be completed
  + Finalizing open claims
  + Audit acceptance criteria and sign-off of acceptance that procurement is complete
  + Review security management
  + Records management will follow state retention policies

# Appendix I – SharePoint List Data Elements Descriptions

## Cost and Schedule Variance

Refer to the Project Control Register in the Control Document library on the project SharePoint site

## Budget

Refer to the Project Control Register in the Control Document library on the project SharePoint site

* Project Costs – This is an itemized breakdown of known project costs (lines may be added or deleted to allow for customization of this section)
* Sub-Total – This is the sum of all known project costs
* Risk Contingency – This is the budget line item resulting from the risk qualification/quantification exercise to account for the costs associated with potential risk events
* Baseline Sub-Total – This is the sum of the Sub-Total and Risk Contingency and represents the total cost baseline used to calculate variance
* Management Reserve – These funds are set aside by management to account for unforeseen scope changes and are not included in the cost variance calculation
* Budget Total – This is the sum of the Baseline Sub-Total and the Management Reserve
* Appropriated – This column represents those original project costs which were legislatively requested and authorized specifically for the purpose of the project
* Reallocated – This column represents those original project costs which were reallocated from other sections of the performing organizations budget
* Original Baseline – This is the sum of the Appropriated and Reallocated columns and represents the total known cost of the project
* Current Baseline – This column represents the associated cost of scope changes (increase/decrease) throughout the project
* Actual Cost – This column represents the actual cost to data date (the value of project costs owed should be recorded when the goods or services are received and approved and should not be delayed until the actual payment is issued)
* % Cost Variance – This is a calculated field generated from the variance report tab and is required on the large project quarterly report
* Over/Under – This field is generated from the variance report tab and is required on the large project quarterly report
* Estimate at Completion (EAC) – The two fields represented are calculated fields generated from the variance report tab and represent the best and worst case EAC using earned value calculations(this data is for the benefit of the project team and is not required on the large project quarterly report)

## Risks

* ID – ID number of the risk (automatically assigned in numerical order by SharePoint)
* Date Identified – date the risk was identified
* Title – short name to identify the risk
* Owner – person(s) responsible for monitoring the risk
* Description – description of the risk
* Status – identifies whether the risk is potential, active, or closed
* Probability – likelihood that the risk will occur (descriptive words used: Very Unlikely, Low, Maybe, Probably, Very Likely, and Very High)
* Impact – effect to the project if the risk event occurs (descriptive words used: Very Low, Low, Moderate, High, or Very High)
* Score (Matrix) – those risks trending towards high impact and high probability will require more extensive review regularly by the project team; to allow for easier oversight and prioritization of risks, the following scoring table will be used



Figure 2: Risk Score Table

* Date Triggered – date the risk occurred
* Assigned To – person(s) responsible for the risk if it should occur
* Agreed Response – strategy that is most likely to be effective
  + *Avoid* – entails changing the project plan to eliminate the risk or condition or to protect the project objectives from its impact
  + *Transfer* – seeks to shift the consequence of a risk to a third party together with ownership of the response (transferring the risk simply gives another party responsibility for its management, it does not eliminate it)
  + *Mitigate* – seeks to reduce the probability and/or consequences of an adverse risk event to an acceptable threshold (taking early action to reduce the probability of a risk occurring or its impact on the project is more effective than trying to repair the consequences after it occurs)
  + *Accept* – indicates that the project team has decided not to change the project plan to deal with a risk or is unable to identify any other suitable response strategy
* Response Plan – actions the project team or the assignee will follow should the risk occur
* Related Issue IDs – show what issues (if any) the risk is related to

## Issues

* ID – ID number of the issue (automatically assigned in numerical order by SharePoint)
* Title – short name to identify the issue
* Description – description of the issue
* Owner (Initiator) – primary point of contact responsible for issue tracking and closure
* Priority – representation of the level of escalation assigned to an issue; see the Issues section of this document for information on the priorities
  + High
  + Medium
  + Low
* Assigned To – person assigned to resolve the issue
* Due Date – target date set for resolving the issue (this date is dependent on multiple factors and will be set by the project team)
* Status – identifies whether the issue is open, completed, closed, or postponed
* Possible Impact to Cost/Schedule/Scope/Quality – identifies impacts in each of these areas by the issue if not resolved, or impacts to these areas for the resolution(s)
* Alternatives – description of other options to resolve the issue
* Resolution – notes regarding the issue resolution, including a description of the final resolution

## Action Items

* ID – ID number of the action item (automatically assigned in numerical order by SharePoint)
* Title – short name to identify the action item
* Predecessors – other action items that need completion before work can be done on this one
* Priority – representation of the level of urgency (high, normal, or low) associated with the completion of the action item
* Status – identifies whether the action item is open, completed (responded to), closed, or postponed
* % Complete – identifies how close the action item is to completion
* Assigned To – person assigned to resolve the action item
* Description – description of the action item
* Date Completed – date the action item was completed and status changed to closed

## Change Requests

* ID – ID number of the change request, associated with the change request form (automatically assigned in numerical order by SharePoint)
* Title – short name to identify the change
* Description – description of the change request
* Owner – primary person responsible for change request tracking and action
* Status – identifies whether the change request is open, being worked on, completed, closed, or postponed
* Reasons/Goals for Change – notes and information regarding the change and why it has been requested and what it hopes to accomplish
* Recommendations – recommendation regarding if the change should be approved or rejected
* Cost/Scope/Schedule/Quality Impact – identifies impacts in each of these areas caused by the change
* Solution – description of the solution to the change request
* Related Issues – show what issues, if any, the change is related to
* Date Submitted for Approval – date the change request was submitted to the appropriate parties for approval

Approval for change requests is handled via the SharePoint workflow.