

**Core Technology Services**

**Student Data Privacy Bill of Rights**

**Project Plan**

|  |  |
| --- | --- |
| Project Short Name: | Student Data Privacy Bill of Rights |
| Business Unit/Program: | CTS |
| Project Sponsor: | Jody French  |
| Project Manager: | Angela O’Leary |
| Version: | 1.0 |
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**Document Control**

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 | 09-23-20220 | Project plan formally approved |
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# Introduction

## 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.

## Project Purpose

The SBHE passed policy 503.2 Student Data Privacy Bill of Rights on May 29, 2020. The policy states in summary: The SBHE, the NDUS, and NDUS institutions are committed to responsibly collecting, storing, and using the PPII of students, while protecting student PII from unauthorized access or disclosure. This Policy reflects the reality that students are the owners of their PII and should control access to and distribution of their PII to the greatest extent possible, yet many NDUS programs and technologies require student PII to function for the students’ benefit. This Policy outlines student rights related to the privacy and security of their educational and personal data.

Link to the entire policy: [503.2 Student Data Privacy Bill of Rights](https://ndusbpos.sharepoint.com/%3Aw%3A/s/NDUSPoliciesandProcedures/EW9capMJhvlGiEhQ6h28FrcBSBkmwDiPJzG0LVF6F_O2Dw?e=tyePI5)

CTS is responsible to comply with the new policy by December 2020 and have a process in place for when a student submits a request about PII data, CTS is prepared to respond.

## Project History

CTS developed a team of individuals to identify the basic PII elements that are collected, stored, and shared with vendors and contractors from applications/products that are supported, managed, and maintained by the organization.

## Project Assumptions and Constraints

### Assumptions

The project has the following assumptions:

* NDUS institutions are developing their own separate process to comply with policy 503.2
* CTS resources are available to complete the project
* CTS will use current tools to develop a process listed in business need three
* CTS will not procure a software to address the business needs listed in section 3.0
* The new process will begin with the student initiating a request through their campus, not CTS

### Constraints

The project has the following constraints:

* CTS resources are available and dedicated to completing the project by December 2020
* Timeline
* Cost, schedule, scope, and quality are often in conflict during projects. The sponsor elected to prioritize as follows:
1. Schedule
2. Scope
3. Quality
4. Cost

## 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

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 the Student Data Privacy Bill of Rights channel and is located in the NDUS CTS Application Support Microsoft Teams site.Security access for this 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:

* 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

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

Table 1: Related Documents

| **Document Name** | **Version/Date** |
| --- | --- |
| Project Charter | 1.0 |
| Project Plan |  |
| Project Control Register |  |
| Copy of the 503.2 SBHE policy |  |
| Copy of the FERPA regs. |  |
| Minutes/Agendas |  |

## Acronyms/Abbreviations

Table 2: Acronyms/Abbreviations

| **Acronym/Abbreviation** | **Description** |
| --- | --- |
| AST | Academic Services Training  |
| ASM | Assessment Strategy Model |
| BI | Business Intelligence  |
| CIO | Chief Information Officer |
| CS | Campus Solutions  |
| CTS | Core Technology Services |
| ESC | Executive Steering Committee |
| ES | Enterprise Services |
| FIN | Financials  |
| HCM | Human Capital Management  |
| IR | Institution Research  |
| IT | Information Technology |
| NDCC | North Dakota Century Code |
| NDUS | North Dakota University System |
| PII | Personally Identifiable Information |
| SaaS | Software as a Service |
| SBHE | State Board of Higher Education |
| SME | Subject Matter Expert |
| US | United States |

# 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

### 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)

The ESC is responsible for overseeing the project. The ESC provides guidance and support to the sponsor and project manager. 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 responsible for reviewing the status at project milestones and recommending and approving significant changes to the project plan The ESC is chaired by the sponsor (or designee) and meets no less than once per quarter.

The ESC must be comprised of the NDUS CIO or Deputy CIO, the Sponsor, any CTS director or designee who has team members involved with the project, and the project manager. If this is an institution-based project, the institution’s CIO or designee must also be included. Additional members may be included in an advisory capacity. The ESC may set a threshold for changes that would be required to be raised to their attention prior to action.

#### Sponsor

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.

#### 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

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
Required Responsibilities

| **Resource Responsibility**

|  |  |
| --- | --- |
| R | Responsible (Primary) |
| A | Approval Authority (Accountable) |
| C | Contributor (Consulted) |
| I | Information Only (Informed) |

 |  **Sponsor** |  **Project Manager** |  **Executive Steering Committee**  |  **Business Analyst(s)** |  **Project Team** |  **Technical Lead** |
| **General** |
| Ensure requirements are met | A/I | R | I | C | C | C |
| Review and provide guidance and direction on project documentation and processes related to cost, schedule, scope, and quality | A/C | R | I | I | I | I |
| ESC meetings: facilitate/create agenda, schedule meeting, and taking notes | C/I | R | C/I | I | I | I |
| Act as primary contact between project team and sponsor or ESC | C/I | R | C/I | I | I | I |
| **Project Management** |
| Facilitate overall project team communication | C | R | I | C | C | C |
| Project plan and schedule | C | R | I | I | I | I |
| Analysis documents | C/I | C | I | C | C | C |
| Project meetings: facilitate agenda, schedule meetings, and take notes | A | R | I | I | I | I |
| Delegate and assign activities to project team | A | R | I | C | C | C |
| Implementation plan | A | R | I | C | C | C |
| Manage and execute the project plan, scope, schedule, cost, control process, project risks, issues and action items, and change control. | A | R | I | C | C | C |
| Secure acceptance and approval of deliverables | A | R | I | C | C | C |
| Provide status to ESC and project team | A/R | R | I | I | I | I |
| Validate project status updates before updates are communicated | A | R | I | C | C | C |
| Validate all project budget/schedule baseline changes | A | R | I | I | I | I |
| Maintain project repository | A | R | I | C | C | C |
| **Reporting** |
| Status Report | A | R | I | C | C | C |
| Variance report | I | R | I | C | C | C |
| **Post Project**  |
| Post-Implementation Report | A | R | I | I/C | I/C | I/C |
| Archive project documentation | I | R | I | I/C | I/C | I/C |
| Perform project cleanup (e.g., vendor security access) | A | R | I | I/C | I/C | I/C |

**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.

Table 4: Authority/Responsibility Matrix
Additional Responsibilities

| **Resource Responsibility**

|  |  |
| --- | --- |
| R | Responsible (Primary) |
| A | Approval Authority (Accountable) |
| C | Contributor (Consulted) |
| I | Information Only (Informed) |

 |  **Sponsor** |  **Project Manager** |  **Executive Steering Committee**  |  **Business Analyst(s)** |  **Project Team** |  **Technical Lead** |
| **Design** |
| Design Documents | A | R | I | C | C | C |
| **Testing** |
| Unit and system testing | I | I/C | I | R | I/C | R |
| User acceptance test plan | I | I/C | I | R | I/C | R |
| User acceptance testing | I | I/C | I | R | I/C | R |

**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

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

**Sponsor**

Jody French

**Department Heads**

Brad Miller

Corey Quirk

Tom McNaughton

Ellen Kotrba

**Project Manager**

Angela O’Leary

**(Leads) Application Support s**

 **(Leads)Programmers**

Dan Newland

Dee Muir

Ericka Westphal

Kelly Restad

Joe Goplin

Karin Stinar

Jason Bedsaul

Jen Weber

Jason Bedsaul

Chad Gilbertson

Sheri Gilbertson

Shiaomin Grimestad

Arul ThangappanThangam

Jason Bedsaul

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 using the Deliverable Acceptance template.

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.

### 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 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

### In Scope

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

* Project charter

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

* Project plan
* Governance
	+ Establish ESC Members
	+ Project Status update to CTS Senior Staff monthly
* Project schedule
	+ Agile (Wall Card in TeamDynamix)
* Variance report
* Analysis
	+ Requirements document
	+ Use cases
	+ Data dictionary
	+ Develop a Requirements traceability matrix spreadsheet

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

* Assessment Strategy Workshops with each of the nine areas
	+ Development of Assessment Strategy Model
		- Develop an Agenda
		- Include questions to ask
		- Review data (PII elements) that need to be identified and collected
		- Schedule workshops
	+ Updated traceability matrix with content collected
* Development of process
	+ Schedule brainstorming session with team
	+ Identify a variety of approaches in developing a process
* Testing of the process
	+ Test plan with scenarios for testing
	+ Integration testing according to the defined test plan
	+ User acceptance testing according to the defined test plan
* Implementation/transition
	+ Implementation/transition plan
	+ Production deployment

The Closing phase will consist of:

* Create and conduct surveys
* Post implementation report

### Out of Scope

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:

* Identifying queries and extract files such as 188 and 027 that have the in-scope PII elements listed under each application/product
* Working with the NDUS institutions to identify types of student PII that are collected, stored, and provided to vendors and contractors
* Working with the NDUS institutions in establish their own internal process for student requests
* Addressing number 10 in the 503.2 policy
* Other types of PII that are not listed as “in-scope”

## 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 the Microsoft Teams site, Student Privacy Data Bill of Rights Channel. The project schedule will be baselined before work on activities begins, and performance will be measured against the baseline.

Table 4: Phase/Delivery/Milestone Chart

| **Phase/Deliverable/Milestone** | **Planned Start Date** | **Planned End Date** |
| --- | --- | --- |
| Identify types of student PII that are collected, stored, and provided to vendors and contractors from each of the nine areas | 09/2020 | 10/2020 |
| Document in a Matrix Spreadsheet the data collected by each area that will be used to develop a process | 10/2020 | 10/2020 |
| Implement a customer friendly process for inquiries | 10/2020 | 11/2020 |
| Document a plan to manage and maintain the data the process uses to ensure the student is receiving the most current information | 12/2020 | 12/2020 |

## 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

Implementation and Transition plan template is located in the P3/M Workspace briefcase in Team Dynamix under the Planning subfolder of Project Management

# Cost Management

The only cost the project anticipates accruing are CTS resource costs. The project will not be purchasing software, hardware, etc. nor bringing in consultants.

# 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

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:

Meetings are one of the major communication tools used in this project and should be documented in the format of minutes stored in the Teams site. The minutes will be e-mailed and/or a link will be provided by the author to the meeting attendees.

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

Table 6: Meetings

| **Meeting Type** | **Purpose** | **Frequency** | **Facilitator(s)** | **Attendees** | **Minutes Required?** |
| --- | --- | --- | --- | --- | --- |
| Planning | Create the project charter and the project plan | Weekly thru Sept.  | Project manager | Project team members and Sponsor | No |
| Analysis/Schedule | Gather the various tasks for the project  | Weekly thru Sept./Oct. | Project Manager | Project team members and Leads | Yes |
| Design of the process | Create a variety of approaches and determine how the process will work | Weekly (beginning October)  | Endpoint Services Team | Project team members | Yes |
| Project Team | Discuss topics relevant to the project | Bi-Weekly- Beginning in October  | Project manager | All Project team members and Sponsor | Yes |
| Executive Steering Committee | Convey project information, or for the sponsor to receive assistance on a project decision | Monthly – beginning in October- Dec.  | Project sponsor | Executive Steering Committee members | Yes |
| Project Closeout | Used to discuss what worked and didn’t work in the project | Within 2 months after implementation | Project manager | Project team members | No |

### Project Team Communication Tools and Documentation

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

Table 7: Communication tools and documents

| **Communication Tool** | **Description** | **Frequency** | **Author(s)** | **Recipient(s)** | **Approval Required?** |
| --- | --- | --- | --- | --- | --- |
| Status Reports | Summarize progress of the project and upcoming activities, including reporting budget and schedule variance | Monthly (last week in Sept.) | Project manager | Project Team, ESC | No |
| 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:

Table 8: External Communication Tools

| **Communication Tool** | **Description** | **Frequency** | **Author(s)** | **Recipient(s)** | **Distribution Method** |
| --- | --- | --- | --- | --- | --- |
| Status Reports | Summarize progress of the project and upcoming activities, including reporting budget and schedule variance | Monthly | Project Manager | External Stakeholders | CTS Website and Email |
| Website | Post Project Charter and Status Reports on the CTS website | Monthly | Project Manager | External Stakeholders | CTS Website |

# 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.

## 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 <https://www.nd.gov/itd/sites/itd/files/legacy/services/pm/project-management-guidebook.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.

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
* Acceptance management – verifies that the deliverables are of acceptable quality and that they meet the established project requirements

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

* Process design walkthroughs with design team – verifies compliance with the design specifications and 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 process designed correctly
* Process setup walkthrough with all of Dan Newland’s team– verifies compliance with the design specifications, quality, and knowledge transfer
* 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
* Usability testing (after system testing) – determines if the design is “user-friendly” and to provide lessons learned for the design team
* Security testing – ensure that the system adheres to appropriate security levels, test vulnerabilities, as well as user roles and data security
* User acceptance testing – ensures compliance with the design and that the process/system operates as expected using “real life” scenarios

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

# 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 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 the variance spreadsheet*.* 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 the variance Spreadsheet
	+ 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 the variance spreadsheet. 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 the variance spreadsheet (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 the variance spreadsheet 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 for this project will be addressed at each Team and ESC meeting.

## Action Items Management Plan

All action items will be documented in the minutes from each meeting and followed up accordingly.

# 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 the Variance Spreadsheet.

## Change Control Process

Steps for the change control process are as follows:

1. Complete a write-up for the proposed change and submit copies to the sponsor who will in turn provide to relevant parties for assessment
2. Record the request in the Change Requests section of the Variance Spreadsheet
3. Project Manager will 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 repository
6. Project team agrees whether the change should be performed and obtain authorization sign-off of the change request
7. The appropriate document is created and sent via DocuSign for approval

If change is not approved:

1. The sponsor and project manager will discuss and document the issue
2. The proposed change can be modified and re-submitted, or withdrawn, if it is agreed to be non-essential (with the reasons documented)

If change is approved:

1. Once the change request has been approved and signed by the authorized parties, work may begin
2. Project manager will adapt project plans to incorporate the approved change
3. Project Team 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 in the project repository: [TeamDynamix](https://ndus.teamdynamix.com/TDNext/Home/Desktop/Default.aspx)

## 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.

# Appendix I –Data Elements Descriptions

## Cost and Schedule Variance

Refer to the Project Control Register in the document repository

## Budget

Refer to the Project Control Register in the document repository

* 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
* Date Identified – date the risk was identified
* Title – short name to identify the risk
* Owner – person(s) responsible for monitoring for the risk
* Assigned To – person responsible for mitigating or managing the risk if it occurs
* Status – identifies whether the risk is active, postponed, or closed
* Category – Helps group similar type risks
* Due Date – Not used for this project
* Probability – likelihood that the risk will occur (descriptive words used: Very likely to occur, Probably will occur, 50% change to occurring, Unlikely, Very Unlikely)
* Impact – effect to the project if the risk event occurs (descriptive words used: Negligible, Minor, Moderate, Serious, Critical
* Exposure Score – 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 Exposure Score Table

|  |  |
| --- | --- |
|  | **Impact** |
| **Probability** | **Negligible (1)** | **Minor (3)** | **Moderate (5)** | **Serious (8)** | **Critical (10)** |
| Very likely to occur (5) | 5 | 15 | 25 | 40 | 50 |
| Probably will occur (4) | 4 | 12 | 20 | 32 | 40 |
| About 50% chance of occurring (3) | 3 | 9 | 15 | 24 | 30 |
| Unlikely (2) | 2 | 6 | 10 | 16 | 20 |
| Very unlikely to occur (1) | 1 | 3 | 5 | 8 | 10 |
|  |  |  |  |  |  |

* Description – description of the risk – should be stated as Cause-Risk-Effect – should also include the agreed response as noted below
	+ 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
* Mitigation Plan – description of a plan that the project manager can use to reduce or eliminate the risk probability, risk impact, or both
* Contingency Plan – description of an alternative plan that can help to reduce the potential impact of the risk, if it occurs
* Trigger Description – description of the condition that may cause the event to occur

## Issues

* ID – ID number of the issue
* 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

## Change Requests

* ID – ID number of the change request, associated with the change request form
* 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