

Modernization Program Scope Management Plan

Version: 4.0

Revision date: April 2023

TABLE OF CONTENTS

Document Maintenance	3
Program Overview	4
Document Purpose	4
Document Relationships	4
Document Audience	4
Risks, Assumptions, and Constraints	4
Roles and Responsibilities.....	5
Scope Components	9
Scope Development.....	9
Scope Management	10
Scope Monitoring and Reporting.....	11
Acceptance Criteria.....	11
Approving Authorities.....	12

TABLE OF FIGURES

Figure 1 – Roles and Responsibilities.....	6
--	---

Document Maintenance

This document is maintained by the Modernization team and will be reviewed and updated annually or when major revisions are necessary. Periodic process reviews assess the effectiveness of program plans and processes. Any identified changes or improvements are incorporated in program processes and reflected within revisions to these program plans. All program plans are stored within the program's file share here: <\\WPOEDFILL04\Modernization\00 Program Management\Program Plans>

Version	Date	Author	Change Description
V1.0	12/2018	Jennifer Hannan, Modernization Program Manager	Initial version of the document.
V2.0	5/2019	Jennifer Hannan, Modernization Program Manager	Added clarity for how scope is initially developed and later refined with a solution vendor during detailed planning, changed name of modernization sponsor, and made other minor editorial adjustments.
V2.1	2/2021	Ryan Bell, Modernization Business Analyst	Added language to include PFMLI, added language to indicate decisions needed to validate scope changes that impact vendor statement of work/contractual obligation, changed filename to clearly delineate from Project scope plans.
V3.0	5/2021	Chris Mandeville, Modernization Business Analyst	Made minor edits and updates to document for Stage Gate 3. Aligned document with other relevant plans.
	9/2021	David Ford, Modernization Program Manager	Reconciled change log; made proposed updates to this document and updated the change log with recommended updates for the next version. Validated/fact-checked processes and document relationships. Updated to promote greater consistency with other plans and with current practices.
V4.0	4/2023	Martin Kraal, Modernization Project Manager	Updated standardized text to align with other plans; updated roles and responsibilities; and edited to align with the Modernization Program Requirements Management Plan.

Program Overview

The Employment Department's Modernization Program is a multi-year initiative focused on transforming the agency's business processes and core technology systems. Computer systems supporting receipt of unemployment insurance (UI) taxes, Paid Leave Oregon contributions, payment of UI and Paid Leave Oregon benefits, and delivery of employment services will be replaced or established. Further, business processes will be transformed to take advantage of opportunities and benefits available through new system capabilities.

Document Purpose

This plan outlines the processes involved in defining and managing scope. Further, this plan describes how progress to deliver scope will be monitored and reported for Modernization projects.

Document Relationships

This plan is an extension of the Modernization Program's Project Management Plan. This plan also relies upon or references other plans. For a complete list of document relationships see the Document Matrix in the Modernization Document Registry, located here: Q:\00 Program Management\Program Plans\Document Registry.

Document Audience

This document is intended for these primary audiences:

- **Sponsors and steering committee members** – to understand the processes that will be followed, as well as their role in planning and monitoring the program scope. They also have a responsibility to ensure processes are appropriate and are enforced.
- **Internal and external oversight entities** – to monitor whether appropriate processes are in place and continue to be followed.
- **Program and project team members and vendor staff** – to understand their roles and responsibilities, and processes that will be followed to ensure scope is managed appropriately.
- **Agency employees and interested parties** – to reference for general awareness.

Risks, Assumptions, and Constraints

RISKS

Risks related to scope and other project management process groups are described and managed through the program's risk and issue process. See the Modernization Program Risk and Issue Management Plan for further details on the risk and issue process. The Modernization Program Risk and Issue Management Plan is located here: Q:\00 Program Management\Program Plans\Risk and Issue Management Plan. See the Modernization Risk-Issue Registries for a current listing of scope management risks. The registries are located here: Q:\00 Program Management\Risk-Issue\Risk and Issue Registries.

ASSUMPTIONS

- Solution vendors will apply the processes and rigor required to track scope based upon the Project Management Institute's (PMI) *A Guide to the Project Management Body of Knowledge* (PMBOK Guide – Sixth Edition (2017)).
- The Modernization Program plans to adopt or integrate with solution vendor implementation methodologies and toolsets for each chartered project. The agency prefers to leverage existing solutions and configure them to meet the agency's needs, which requires a different level of requirements than is needed for a design-build methodology. These vendor partnerships and agency preferences will guide the processes used to validate that items within scope are delivered.
- We will adjust business processes to incorporate the anticipated best practices inherent within a commercial off-the-shelf framework or other proven vendor solution(s).

CONSTRAINTS

- House Bill 2005 (2019) (Oregon Revised Statutes 657B) established the paid family and medical leave insurance program, known as Paid Leave Oregon, and assigned the Oregon Employment Department the authority to create and administer the program. It further mandated that the Paid Leave Oregon program should "leverage existing state infrastructure wherever possible."
- The timelines imposed by legislative mandate and the program schedule are rigid, constraining scope. Changes to scope that would extend project timelines would require the approval of agency leadership, Enterprise Information Services (EIS) Project Portfolio Performance (P3) and, possibly, the state legislature.
- Scope, whether program or project, is constrained by the governance structure and change process. Changes to scope must go through rigorous analysis and approval processes in order to be implemented (refer to the Modernization Program Governance Plan and Change Control Plan).
- If a project's scope changes by thresholds established in the State's stage gate process, EIS P3 must be notified and supporting documentation may be required for review and approval.

Roles and Responsibilities

Significant roles and responsibilities involved in the scope management process are described below.

Figure 1 – Roles and Responsibilities

Role	Responsibilities
<p>Modernization Executive Sponsor (Agency Director)</p>	<p>Monitors enterprise, national, and agency environments for impacts to program and projects scope, and provides guidance to Program Sponsor.</p> <p>Removes barriers and works with agency executives, legislature, and state and federal regulatory and oversight bodies to ensure the complete achievement of program and project objectives.</p> <p>Engages with oversight entities and key partners to provide awareness and understanding of the program’s scope.</p>
<p>Modernization Program Sponsor (Modernization Director)</p>	<p>Ensures scope of the Modernization Program and its projects are clearly defined and collectively deliver the program benefits.</p> <p>Works with agency executives, legislature, and state and federal regulatory and oversight bodies to ensure the complete achievement of program and project objectives.</p> <p>Maintains relationships with partners to develop, validate, plan, and execute scope for Modernization projects.</p> <p>Makes decisions regarding changes to program and projects scope in alignment with the Modernization Program Governance Plan.</p> <p>Accepts new systems upon implementation.</p> <p>Accountable for ensuring that the program is delivered within the agreed-upon scope.</p>
<p>Modernization Business Sponsors (Unemployment Insurance Division Director Workforce Operations Division Director Paid Leave Oregon Division Director Chief Information Officer)</p>	<p>Provides input to the Modernization team to ensure functionality delivered meets business needs.</p> <p>Makes decisions regarding changes to program and projects scope in alignment with the Modernization Program Governance Plan.</p> <p>Holds their managers and subject matter experts participating in Modernization accountable to providing the input necessary to ensure functionality delivered meets business needs.</p> <p>Maintains relationships with partners to develop, validate, plan, and execute scope for modernization projects.</p>
<p>Modernization Executive Steering Committee</p>	<p>Reviews scope reports.</p> <p>Monitors program and projects scope to ensure their alignment to agency objectives and the delivery of program goals.</p> <p>Authorizes scope for Modernization projects.</p> <p>Makes decisions regarding significant changes to program and projects scope in accordance with program governance plans and change control processes.</p>

Role	Responsibilities
Deputy Modernization Director	<p>Serves as the back up to the Modernization Director and provides leadership for the program.</p> <p>Maintains relationships with agency leadership to develop, validate, plan, and execute scope for Modernization projects.</p> <p>Communicates scope changes to the Modernization Operations and Policy Team.</p>
Modernization Program Manager	<p>In consultation with the Modernization Program Sponsor, develops the scope management strategy and works with the Modernization Scope Analyst to develop sufficient management processes.</p> <p>Develops and maintains the scope management plan.</p>
<p>Modernization Scope Analyst (Modernization Business Analyst)</p>	<p>Works with business and technical staff to define scope for Modernization projects and identify requirements.</p> <p>Consults with business and technical staff to define and document business needs and problems, and translates that information into business and technical requirements.</p> <p>In consultation with the Modernization Program Sponsor and Modernization Program Manager, develops methods to measure and report on scope delivery.</p> <p>Facilitates team review and assessment of scope delivery as needed.</p> <p>Compiles data and prepares and presents scope variance reports to support project reporting and other needs.</p> <p>Escalates or guides scope-related decisions, risks, or changes per the appropriate project management process.</p>
Modernization Project Managers	<p>Manage and monitor scope for chartered Modernization projects.</p> <p>Escalate or guide scope-related decisions, risks, or changes per the appropriate project management process.</p> <p>Review scope reports to ensure the scope components are being delivered as planned and are of acceptable quality.</p> <p>Work with implementation vendor(s) project manager to deliver approved project scope.</p> <p>Report on scope within the appropriate reports and channels.</p> <p>Recommend acceptance of systems after system implementation.</p>

Role	Responsibilities
Project Technical Team Manager	<p>Works with Modernization and IT leadership to decide how system solutions, focusing on technical functionality, should be designed and configured.</p> <p>Ensures functionality delivered by new systems solutions meets technical requirements, adheres to agency architectural strategies, and fulfills the program and project benefits.</p> <p>Provides guidance and direction to the project team on technical matters, and makes scope-related technical decisions within their authority level per the program’s decision process.</p> <p>Recommends acceptance of systems after system implementation.</p>
Project Business Team Manager	<p>Works with Modernization and business leadership to decide how system solutions, focusing on business functionality, should be designed and configured.</p> <p>Ensures functionality delivered by new systems solutions meets business needs, adheres to agency strategies, and fulfills the program benefits.</p> <p>Provides guidance and direction to the project team on business scope priorities, and makes scope-related decisions within their authority level per the program’s decision process.</p> <p>Recommends acceptance of systems after system implementation.</p>
Project Business Analysts	<p>Research rules, statutes, concepts, or other policies and provide recommendations on how to deliver in-scope components.</p> <p>Work with vendor staff and project technical team to design and configure system solutions to meet business needs and deliver project scope.</p> <p>Perform functional testing to ensure systems are configured and behave as designed, and recommend acceptance of scope deliverables.</p> <p>Work with Modernization Scope Analyst to assess and track scope delivery.</p>
Project Technical Analysts	<p>Design and configure new system solutions per specifications and requirements to deliver project scope.</p> <p>Work with Modernization Scope Analyst to assess and track scope delivery.</p>
Modernization Quality and Risk Analyst	<p>Monitors and facilitates management of scope-related risks.</p> <p>Conducts quality control reviews of scope management processes.</p>
Independent quality management services (iQMS) vendor	<p>Conducts independent quality control reviews of scope management processes and scope delivery through chartered projects.</p>

Role	Responsibilities
Modernization Change Control Board	Reviews and decides whether scope-related changes should be approved, denied, or escalated per the program's change control process.

Scope Components

Each project is unique and may have needs that are more or less different from others in the Modernization Program. At minimum, the scope of each project is to be defined by these eight components:

- **Legacy Systems Replaced** – Legacy systems that support business functions that will be replaced with a new solution. These systems may also provide services to partners and customers, or control and manage the data used to perform business functions, or that is shared with other agencies.
- **Legacy Systems Impacted** – Legacy systems that will not be replaced with a new solution, but will be impacted in some way. Changes to these legacy systems are necessary to ensure the connections are maintained between systems, appropriate functionality continues after system implementation, and functionality is not broken.
- **External Data Transfers and Interfaces** – Data transferred or system-to-system interaction between in-scope systems and partner agency systems. Data transfers and interfaces will be analyzed to determine how information might be shared with a new system.
- **Internal Data Transfers** – Data transferred between in-scope systems and other internal systems. These data transfers will be analyzed to determine how information might be shared with a new system.
- **External System Access** – External entities that have direct access into in-scope systems. These entities will need profiles established and training on the use of a new system.
- **Mandatory Reports** – Mandatory federal, state, and financial reports that are produced using data from in-scope systems. These reports must be replicated or addressed by the new solution. All other reports will be tracked under business requirements.
- **Business Requirements** – The business functional capabilities that must be included in a new solution.
- **Technical Requirements** – The technical capabilities that must be included in a new solution.

Scope Development

Scope is established and measured at the project level. While goals and objectives are established at the program level, delivery occurs through the various Modernization projects. Program metrics define what is measured to validate that objectives are met. As Modernization projects are chartered, metrics are established for what will be delivered through implementation. For each project, a project-level scope document and supporting artifacts will list the specific items for each scope component.

Each project's scope is driven by the systems and capabilities that support UI and Paid Leave Oregon, and employment services. Once the in-scope systems are identified, assessments are conducted to

analyze the interfaces and connections with other systems. These interfaces are also a component in developing overall scope for each Modernization project.

The Modernization team works with agency representatives and partners to identify scope for each Modernization project. Current-state process maps may be developed, or existing maps utilized, to reflect how work flows through systems and business units within the agency. These process maps facilitate the understanding of business processes and help identify scope components. The Modernization team engages with partners to review process maps to confirm or refine understanding of how processes connect, discuss challenges, and provide opportunities for strategic improvements in how work is conducted between agencies to ensure appropriate scope is developed for each project. Additionally, customer surveys and focus groups are conducted to provide opportunities to include the voice of customers and reflect their needs within business requirements and project scope.

Project scope is first developed during the project's initiation phase, as is noted in the project charters. Program Guiding Principles, identified when establishing the Modernization Program, along with Agency Preferences, are leveraged to develop scope, and also inform the project teams as they design and implement solutions. For example, the agency has a preference to "buy" not "build", leverage existing solutions, and to adjust or adapt to new solutions in order to meet the agency's needs. For that reason, initial scope is captured at the level of (core) business capabilities rather than at the level of (detailed) individual functional requirements. Additionally, these preferences guide the project team in developing requirements at a level that ensures the business and technical needs are met by a new solution but do not prescribe how the solution might meet those needs.

Project scope is further refined and baselined once detailed planning has been conducted with a solution vendor. At this stage, scope components can be refined to reflect more specifically how capabilities will be delivered within the new solution, and to identify the need to modify or decommission legacy systems. The decommissioning (or sunseting and final disposition) of legacy systems and applications is managed by IT. The project scope document and process, as well as many activities that are required for new solution(s) implementation, are inputs to the IT legacy decommissioning process.

Scope Management

Scope baselines are established after detailed planning has been conducted with solution vendors, and serve as the measures used to ensure business and technical needs are met. Scope management may occur daily as design decisions are made about the configuration or development of new solutions. The Modernization project teams are responsible to verify that all identified scope components are accounted for within the design, development, and testing of new solutions before implementation.

Any proposed adjustments to these scope baselines must be reviewed by the Modernization Change Control Board. Scope will be documented in project scope documents and supplemental inventories. If change thresholds defined by the State's stage gate process are met, or scope adjustment may impact the vendor statement of work or contractual obligations, recommendations may be escalated to the appropriate governing body for consultation and/or a decision. The change control process is described within the Modernization Program Change Control Plan, which is located in the following folder - Q:\00 Program Management\Program Plans\Change Control Plan.

Regular scope reviews will be conducted by the Modernization Scope Analyst with project business and technical staff to evaluate the scope components that have been met to that point. These reviews also

provide a process to assess any potential risk to delivering scope as planned. The risk management process is described within the Modernization Program Risk and Issue Management Plan.

Scope Monitoring and Reporting

The Modernization Scope Analyst conducts reviews with the business and technical resources to assess whether the requirements associated with scope components have been met. Each area of scope is reviewed with the appropriate individuals. For example, business analysts review the business requirements and technical analysts review the technical requirements. Subject matter experts and process owners will also be involved to provide clarity when needed. During these reviews, if requirements are unclear, the Modernization Scope Analyst will work with business analysts and the project team business and technical managers to clarify and annotate the requirement to ensure consistent understanding throughout the project; this process may involve taking a requirement to the Change Control Board for review and decision. Once review is complete, the data is compiled and metrics are reported to show progress towards completion for each scope component.

For each modernization project, scope will be monitored and reported taking into account the vendor's implementation methodology and project management information system.

- For the UI Modernization Project, scope components (e.g., requirements, interfaces) are tracked and reported using Delivery Workbench, FAST's project management tool. Additional project-specific information is noted in the UI Modernization Project FAST Implementation Project Management Plan.
- For the Workforce Modernization Project, specific scope monitoring and reporting processes and tools will be identified and selected in collaboration with the solution vendor(s).

Acceptance Criteria

Vendor deliverables will be accepted throughout each project based on designated deliverable acceptance criteria, and the review and recommended acceptance of the designated deliverable reviewer(s). The general process for deliverable review is described within the Modernization Program Contract Management Plan. Each vendor contract will contain specific deliverable review processes as negotiated with the specific vendor for that contract.

At the end of each project, or upon implementation of system components, systems will be accepted in compliance with vendor contract acceptance processes. System acceptance should include expectations that all relevant scope components are successfully addressed and the project team has validated that systems are functioning as expected. The Modernization Program Sponsor is responsible to formally accept all systems implemented and will consider input and recommendation from other Modernization sponsors and the project team to inform their decision.

Approving Authorities

Renee Royston
[Renee ROYSTON \(Apr 28, 2023 14:47 PDT\)](#)

Renee Royston, Modernization Program Sponsor
Modernization Director

Date

Brad McKinney
[Brad McKinney \(Apr 28, 2023 14:03 PDT\)](#)

Brad McKinney, Interim Deputy Modernization Director

Date

David B. FORD
[David B. FORD \(May 1, 2023 08:24 PDT\)](#)

David Ford, Modernization Program Manager

Date











Modernization Program Scope Management Plan V4.0


Final Audit Report


2023-05-01


Created:	2023-04-28
By:	Martin KRAAL (martin.e.kraal@employ.oregon.gov)
Status:	Signed
Transaction ID:	CBJCHBCAABAAWVXJIY-5rvPJNEhsl5bUEiBRH0meLNHM

"Modernization Program Scope Management Plan V4.0" History

-  Document created by Martin KRAAL (martin.e.kraal@employ.oregon.gov)
2023-04-28 - 8:51:17 PM GMT
-  Document emailed to Renee ROYSTON (renee.royston@employ.oregon.gov) for signature
2023-04-28 - 8:54:02 PM GMT
-  Document emailed to brad.a.mckinney@employ.oregon.gov for signature
2023-04-28 - 8:54:02 PM GMT
-  Document emailed to David FORD (david.b.ford@employ.oregon.gov) for signature
2023-04-28 - 8:54:02 PM GMT
-  Email viewed by brad.a.mckinney@employ.oregon.gov
2023-04-28 - 9:03:32 PM GMT
-  Signer brad.a.mckinney@employ.oregon.gov entered name at signing as Brad McKinney
2023-04-28 - 9:03:45 PM GMT
-  Document e-signed by Brad McKinney (brad.a.mckinney@employ.oregon.gov)
Signature Date: 2023-04-28 - 9:03:47 PM GMT - Time Source: server
-  Email viewed by Renee ROYSTON (renee.royston@employ.oregon.gov)
2023-04-28 - 9:46:18 PM GMT
-  Document e-signed by Renee ROYSTON (renee.royston@employ.oregon.gov)
Signature Date: 2023-04-28 - 9:47:39 PM GMT - Time Source: server
-  Email viewed by David FORD (david.b.ford@employ.oregon.gov)
2023-05-01 - 3:22:05 PM GMT

 Signer David FORD (david.b.ford@employ.oregon.gov) entered name at signing as David B. FORD
2023-05-01 - 3:24:19 PM GMT

 Document e-signed by David B. FORD (david.b.ford@employ.oregon.gov)
Signature Date: 2023-05-01 - 3:24:21 PM GMT - Time Source: server

 Agreement completed.
2023-05-01 - 3:24:21 PM GMT