Modernization Program
Scope Management Plan

Version: 2.0
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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 taxes, payment of unemployment insurance benefits, and delivery of employment services will be replaced. 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 reported for the modernization projects.

Document Audience

This document is intended for these primary audiences:

- **Program 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** – 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 program’s risk management plan for further details on the risk and issue process.

**ASSUMPTIONS**

- Solution vendors will comply with the processes and rigor required to track scope.

- We will partner with solution vendors to incorporate their implementation methodology. Further, the agency prefers to leverage an existing solution and configure it to meet the agency’s needs, which requires a different level of requirements than is needed for a design-build methodology. This partnership and preference will guide the processes used to validate that items within scope are delivered.

- We will adjust business processes to utilize anticipated best practices inherent within a commercial off-the-shelf, framework, or other vendor proven solution.
CONSTRAINTS

- Oregon laws and rules pertaining to the agency’s lines of business define how the vendor solution should be configured. Over the course of the project, some of these laws and rules may change, requiring legislative action.

- The agency’s policies define how a vendor’s solutions should be configured. Agency policies may change during the course of a project, and vendors must be flexible to conform to these policies as changes are made.

- Aligning scope management needs for system development with appropriate oversight requirements will require cooperation with oversight entities including the independent quality management services (iQMS) vendor and the Office of the State Chief Information Officer.

- If scope baselines change by +/- 10%, Office of the State Chief Information Officer must be notified and review for re-endorsement.

Roles and Responsibilities

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

**Figure 1 – Roles and Responsibilities**

<table>
<thead>
<tr>
<th>Role</th>
<th>Responsibilities</th>
</tr>
</thead>
<tbody>
<tr>
<td>Modernization Sponsor</td>
<td>Ensures scope of modernization projects is clearly defined and collectively delivers the program benefits.</td>
</tr>
<tr>
<td>(Modernization Director)</td>
<td>Accepts new systems upon implementation.</td>
</tr>
<tr>
<td>Modernization sponsors</td>
<td>Provides input to the modernization team to ensure functionality delivered meets business needs.</td>
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<tr>
<td>Modernization Program Manager</td>
<td>Develops the scope management strategy, and works with Modernization Scope Analyst to develop sufficient management processes.</td>
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<td></td>
<td>Escalates or guides scope-related decisions, risks, or changes per the appropriate project management process.</td>
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<tr>
<td></td>
<td>Reviews scope reports to ensure the scope components are being delivered as planned and are of high quality.</td>
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<td></td>
<td>Incorporates scope reports within the program’s status reports.</td>
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<tr>
<td></td>
<td>Recommends acceptance of systems after system implementation.</td>
</tr>
<tr>
<td>Role</td>
<td>Responsibilities</td>
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<tr>
<td>Modernization Scope Analyst</td>
<td>Develops and maintains the scope management plan. Works with business and technical staff to define scope for modernization projects and identify requirements. Develops methods to measure scope delivery. Facilitates regular team review and assessment of scope delivery. Compiles data and prepares and presents regular scope variance reports. Escalates or guides scope-related decisions, risks, or changes per the appropriate project management process.</td>
</tr>
<tr>
<td>Project Technical Team Manager</td>
<td>Works with agency leadership to decide how system solutions should be designed and configured. Focus is on technical functionality. Ensures functionality delivered by new systems solutions meets technical requirements and adheres to agency architectural strategies. Provides guidance and direction to the project team on technical matters. Works with the project technical team to ensure vendor deliverables meet technical requirements. Recommends acceptance of systems after system implementation.</td>
</tr>
<tr>
<td>Project Business Team Manager</td>
<td>Works with agency leadership to decide how system solutions should be designed and configured. Focus is on business functionality. Ensures functionality delivered by new systems solutions meets business needs, adheres to agency strategies, and fulfills the program benefits. 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. Works with the project team to analyze vendor deliverables, ensures deliverables meet business requirements and quality standards, and recommends acceptance of vendor deliverables. Recommends acceptance of systems after system implementation.</td>
</tr>
<tr>
<td>Role</td>
<td>Responsibilities</td>
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</table>
| **Project business team**  
(comprised of business analysts responsible to design and configure new system solutions) | Consults with business and technical staff to define and document business needs and problems, translates that information into business and technical requirements.  
Researches rules, statutes, concepts, or other policies and provides recommendations.  
Works with vendor staff and project technical team to design and configure system solutions to meet business needs and deliver project scope.  
Performs functional testing to ensure systems are configured and behave as designed, and recommends acceptance of deliverables.  
Works with Modernization Scope Analyst to assess and track scope delivery. |
| **Project technical team and vendor team(s)** | Designs and configures new system solutions per specifications and requirements to deliver project scope. |
| **Modernization Quality and Risk Analyst** | Performs testing to ensure systems are behaving as designed.  
Monitors and facilitates management of scope-related risks.  
Conducts quality control reviews of scope management processes. |
| **Independent quality management services (iQMS) vendor** | Conducts independent quality control reviews of scope management processes. |
| **Modernization change control board** | Reviews and decides whether scope-related changes should be approved or escalated per the program’s change control process. |

**Scope Parameters**

**Items in scope:**

- Implementation of vendor solutions that support unemployment insurance and employment services.
- Configuration, development, or modification of vendor solutions to meet the agency’s detailed business requirements.
- Modifications to internal systems that are impacted as a result of implementing new systems.
- Revised high-level business process documentation that reflects changes in process as a result of a new system solution.
- Knowledge transfer and technical documentation to support the new systems.

**Items not in scope:**

- Changes to IT operations and governance processes (i.e. regular desktop hardware and software upgrades, new computers).
• Replacement of systems that do not directly support unemployment insurance or employment services (e.g., payroll, finance, procurement, or phone systems).

Scope Components

The project scope will be defined by 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 that 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 later 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 later 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 will be established and measured at the project level. While goals and objectives have been established at the program level, delivery will occur through the various modernization projects. Further, program metrics define what will be measured to validate that objectives are met. As modernization projects are chartered, metrics will be established for what will be delivered through implementation.

Project scope is driven by the systems and capabilities that support unemployment insurance and employment services. Once these systems are identified, further assessment will be conducted to analyze the interfaces and connections with other systems. These interfaces will also be a component in developing overall scope for the modernization projects.

The modernization team will work with agency representatives and partners to identify business and technical requirements for new systems. Further, customer feedback will also be considered as business
requirements are developed. Current state process maps reflect how work flows through systems and business units within the agency. Manual processes, constraints, and challenges identified within these process maps will be considered and reflected as business requirements for new systems solutions. Requirements are prioritized by the MoSCOW prioritization methodology (Must, Should, Could, Won’t). All requirements categorized as “Must” are in scope for the project. Requirements categorized as “Should” or “Could” will be included in scope if the requirement can be met with little or no impact to the budget, schedule, resources, partners, or system quality. Requirements categorized as “Won’t”, while considered, are not in scope.

Project scope is initially developed during the project’s initiation phase. Because OED seeks to implement an existing solution, initial scope is captured at the level of business capabilities rather than at the level of individual functional requirements. A project-level scope document and supporting spreadsheets list the specific items for each scope component. Requirements are developed based on current agency understanding of what a new solution must provide. Requirements at this stage serve to support procurement of new solutions and define the functionality and capabilities that a new solution must support. 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 more specifically how capabilities will be delivered within the new solution, and to identify the needs to modify or decommission legacy systems.

The project team will engage with partners to review process maps to confirm or refine our understanding of how processes connect, discuss challenges, and provide opportunities for strategic improvements in how work is conducted between agencies. Additionally, we will conduct customer surveys and focus groups to provide opportunities to include the voice of our customers and reflect their needs within business requirements.

Guiding principles identified when establishing the Modernization Program are outlined within the program’s charter. These guiding principles, along with agency preferences, will be used to develop scope, and will also inform the project teams as they design and implement solutions. For example, the agency has a preference to “buy” not “build,” and will adjust or adapt to new solutions to meet the agency’s needs. This preference guides 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. The level of detail and style of requirements are based on this preference. Agency preferences relating to modernization are reflected within the program’s charter.

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 will occur daily as design decisions are made about 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 and development of new solutions before implementation.

Any proposed adjustments to these scope baselines must be reviewed by the modernization change control board. If identified change thresholds are met, recommendations may be escalated to the appropriate governing body for decision. The change control process is described within the program’s change control plan.
Regular scope reviews will be conducted 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 program’s risk and issue management plan.

Requirement Traceability

The mechanics of tracking and verifying requirements will depend upon the solution vendor’s implementation methodology. The agency prefers to “buy” not “build” new solutions, and seeks, where advantageous or reasonable, to adopt the functionality provided by new systems, and configure or adjust those solutions to meet the agency’s business needs. The agency desires to adapt its processes rather than customizing a new solution to existing processes. The methods for tracking and verifying requirements may not follow a traditional design-build traceability matrix.

The agency commits to developing a means to ensure that business requirements are realized through implementation of the new solution. Modernization projects will be staffed with business and technical analysts responsible to deliver the scope for the project. The methods by which requirements are traced through to system implementation will be determined at the project level, and the project management plan will describe the traceability methods that will be used.

Scope Monitoring and Reporting

The Modernization Scope Analyst conducts reviews with the business and technical analysts to assess whether 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.
Once review is complete, the data is compiled and metrics reported out to show progress towards completion for each scope component. See report example below:

Figure 2 – Example of Scope Component Report

Acceptance Criteria

Vendor deliverables will be accepted throughout each project based on designated deliverable acceptance criteria, the review and recommended acceptance of the designated deliverable reviewer. The process for deliverable review is described within the program’s contract management plan.

At the end of each project, or upon implementation of any system components, systems will be accepted once all relevant scope components are successfully addressed and the project team has validated that systems are functioning as expected. The Modernization 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.

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\014\Shared\00 Program Management\Program Plans. 
<table>
<thead>
<tr>
<th>Version</th>
<th>Date</th>
<th>Author</th>
<th>Change Description</th>
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<tr>
<td>V1.0</td>
<td>12/2018</td>
<td>Jennifer Hannan, Modernization Program Manager</td>
<td>Initial version of the document.</td>
</tr>
<tr>
<td>V2.0</td>
<td>5/2019</td>
<td>Jennifer Hannan, Modernization Program Manager</td>
<td>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.</td>
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**Approving Authorities**

_Ethan Benatan_
Ethan Benatan, Modernization Sponsor
Modernization Director

(Jun 3, 2019)

_Jennifer Hannan (Jun 3, 2019)_

Jennifer Hannan, Modernization Program Manager

Date

_Ryan Bell (Jun 3, 2019)_

Ryan Bell, Modernization Scope Analyst

Date