## Introduction

The purpose of this Project Management Checklist is to assist project managers in carrying out their duties by providing a general, high-level guide to assist the project manager through the North Dakota processes, laws, standards, and best practices. This Checklist can be used to ensure that common and defined processes have been considered and required deliverables produced. Note that each project is unique and may have processes and deliverables not defined in this Checklist. It is intended to be a guide on what to do, not how to do it.

## Icon Key

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|  | Deliverable – a measurable, tangible, verifiable product produced for a project |
| Process Documentation Icon Stock Illustrations – 752 Process Documentation  Icon Stock Illustrations, Vectors &amp; Clipart - Dreamstime | Documentation/Tools – used in support of deliverable development or project management processes |
|  | Resource – person or group assigned to the project |
| IconExperience » G-Collection » Process Icon | Process – project management process employed on the project |

## Using the Checklist

1. Make a copy of the checklist and place it in the project repository
2. Review the checklist and complete the tasks as appropriate (Note: if you have a program, the initial tasks may be done for the program as a whole, while the majority of tasks are done on the various projects in your program, therefore this checklist typically uses the term “project”, but project managers should adapt the tasks according to the project or program)
3. Mark items as you complete them
4. See the Appendix for links to the resources mentioned in this Checklist, along with other information
5. Suggestions for modifications to the checklist template should be submitted to Sarah Lee

## Document Quick Links

[Checklist](#_Checklist)

[APPENDIX A: Executive Steering Committee Checklist](#_APPENDIX_A:_Executive)

[APPENDIX B: Procurement Checklist](#_APPENDIX_B:_Procurement)

[APPENDIX C: Plan and Execute Checklist](#_APPENDIX_C:_Plan)

[APPENDIX D: Project Management Resources](#_APPENDIX_D:_Project)

[APPENDIX E: Acronyms and Abbreviations](#_APPENDIX_E:_Acronyms)

## Checklist

| **Done?** | **Tag** | **Deliverable, Process Documentation, Resource, or Task** | **When** | **Time Sensitivity** | **Applies to Projects Under $100,000?** | **Applies to Project Between $100,000 - $499,999?** | **Applies to Project $500,000 or More (Major Projects)?** | **Tips and Tasks** | **General Comments** |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
|  |  |  |  |  |  |  |  |  |  |
|  | Process Documentation Icon Stock Illustrations – 752 Process Documentation  Icon Stock Illustrations, Vectors &amp; Clipart - Dreamstime | Initiative Intake (a.k.a. PPA) | Prior to project/program start | Prior to the PM being assigned to the project/program | Yes | Yes | Yes | The customer submits the request through the NDIT Self Service Portal (ServiceNow) using the Initiative Intake request type. | The Initiative Intake request has replaced the former Project Exploration process. This request is used to determine if an effort is a project/program and to assign the person who will fill the PM role. |
|  |  | Project/Program Sponsor | Prior to project/program start | Prior to assigning PM or commencing work on the project | Yes | Yes | Yes | A person must be identified to fill the project sponsor role on all projects. The sponsor must be identified prior to assigning a PM to the project.  For programs you will need an overall program sponsor along with a project sponsor for each project in the program (this may or may not be the same person) | The sponsor needs to be visible and engaged during the project as they provide the vision for the project and make project decisions.  For small projects, the PM and the sponsor may be the same person. |
|  |  | Project/Program Manager (PM) | Project/program start | Assigned prior to commencing work on the project/program | Yes | Yes | Yes | A person must be identified to fill the PM role on all projects/programs. For smaller projects, this person does not have to be a member of the PMO.  For programs you will need an overall program manager along with a project manager for each project in the program (this may or may not be the same person)  For Major Projects, the PM will be assigned by the PMO manager in accordance with NDCC. See NDIT’s Project Oversight webpage for more information and qualifications. |  |
|  |  | Oversight Analyst | Project/program start | Assigned at the same time as the PM | No | Maybe | Yes | The PMO manager will assign the oversight analyst to all Major Projects. | Projects with budgets between $100,000 and $499,999 may be subject to oversight at the request of the State CIO. |
|  |  | Technology Business Partner (TBP) | Project/program start | Identified at the start of the project/program | Yes | Yes | Yes | Contact the NDIT TBP for the sponsoring agency and find out how they want to be involved in the project/program. For Major Projects, invite them to all ESC meetings. |  |
|  | Process Documentation Icon Stock Illustrations – 752 Process Documentation  Icon Stock Illustrations, Vectors &amp; Clipart - Dreamstime | Outlook folder | Project/program start | Immediately upon being assigned as PM | Yes | Yes | Yes | Create a folder in Outlook to store project/program emails. At the end of the project/program, the folder will be converted to a .PDF and added to the project repository for the retention period. |  |
|  | IconExperience » G-Collection » Process Icon | Sponsor meeting | Project/program start | Immediately upon being assigned as PM | Yes | Yes | Yes | Discuss the business needs and desired outcomes for the project/program.  Provide the sponsor the “I’m a sponsor, now what?” one-pager. Go through the PM section of the SOW template.  Discuss the sponsor role and responsibilities and ensure the sponsor has a basic understanding of the project management process. | Check the Initiative Intake request or the NDIT problem analysis document for more information, as often the basic business needs and outcomes have been defined by the intake process.  If you are also filling the change manager role, this is also a time to educate the sponsor on change management, if necessary. |
|  |  | Change Manager | Project/program start | Identified during the Sponsor Meeting | Maybe | Maybe | Yes | Find out from the sponsor who will fill the change manager role – this could be the PM or another change practitioner. | Change management is required on all Major Projects. PMO staff are required to use change management on all projects. |
|  | Process Documentation Icon Stock Illustrations – 752 Process Documentation  Icon Stock Illustrations, Vectors &amp; Clipart - Dreamstime | PM Cost Estimate  *\*either for the full project or just the Initiation/Procurement/ Planning work* | Project/program start | Immediately upon being assigned as PM | Maybe | Maybe | Maybe | Use the PM Cost Estimate template to create this estimate for project management, and possibly change management time, and run by the PMO manager or one of the oversight analysts.  This estimate is created based on the Sponsor Meeting and decisions made on the PM’s role.  For programs, you may need to do multiple cost estimates for the various projects instead of one holistic estimate – whichever makes sense to your situation.  For PMO staff: once completed, save to the PMO Teams site under General>PMO Cost Estimates – Templates and Submitted>Submitted PMO Estimates. | This estimate only applies to NDIT chargeable staff filling the PM role, and must be done for all projects (internal and external to NDIT) regardless of size.  This cost estimate is presented to external customers via the Statement of Work document. Depending on the size and complexity of the project, this estimate may need to be done twice – once for the Initiation/Procurement/Planning work and again for the Execution/Closing work. |
|  |  | Statement of Work (SOW)  *\*either for the full project or just the Initiation/Procurement/ Planning work* | Project/program start | Immediately upon being assigned as PM | Maybe | Maybe | Maybe | The PM facilitates creation of this deliverable, along with obtaining the necessary cost estimates for NDIT staff that are chargeable to the project.  The PM obtains final signoff from the sponsor and Greg Hoffman by sending it via Adobe Sign. Make sure to CC Brandy Bentley so she gets notified when there is an executed copy.  For programs, you may need to do multiple SOWs for the various projects instead of one holistic SOW – whichever makes sense to your situation.  If there are any changes to the SOW document or estimates included, the PM facilitates creating an amendment to the SOW and getting signoff from the sponsor and Greg Hoffman.  For PMO staff: save the signed copy to the project Teams site. | This document only applies if there are NDIT chargeable staff working on the project and the customer is external to NDIT. This must be done for all projects meeting that criteria, regardless of size.  Depending on the size and complexity of the project, this document may need to be done twice – once for the Initiation/Procurement/Planning work and again for the Execution/Closing work. |
|  | Process Documentation Icon Stock Illustrations – 752 Process Documentation  Icon Stock Illustrations, Vectors &amp; Clipart - Dreamstime | WFS SOW Bucket (NDIT time keeping system) – for non-NDIT projects | Project/program start | Immediately upon being assigned as PM | Maybe | Maybe | Maybe | PMO staff are required to submit the request for this bucket to the PMO manager or one of the oversight analysts. Others may submit the request directly.  A single WFS SOW will put all hours/costs into one bucket, so if you have a program with multiple projects consider if receiving a lump sum of hours per resource is ok, or if you need those broken up by project – if you need them broken up, you will need to request multiple WFS SOWs (one for each project in the program).  Obtain the charge code, department code, and division code from the customer. Then provide the following to the PMO manager or one of the oversight analysts: project/program name and abbreviation, agency, sponsor, department code, division code (if applicable), and the charge code. | This only applies if there are NDIT staff (both chargeable and non-chargeable) working on the project. This must be done for all projects meeting that criteria, regardless of size (including those that are internal to NDIT).  The PMO manager or one of the oversight analysts will submit a ServiceNow/Billing Questions and Changes request to have the new project bucket added to WFS. |
|  | Process Documentation Icon Stock Illustrations – 752 Process Documentation  Icon Stock Illustrations, Vectors &amp; Clipart - Dreamstime | WFS Bucket – for NDIT projects | Project/program start | Immediately upon being assigned as PM | Maybe | Maybe | Maybe | PMO staff are required to submit the request for this bucket to the PMO manager or one of the oversight analysts. Others may submit the request directly.  A single WFS charge bucket will put all hours/costs into one bucket, so if you have a program with multiple projects consider if receiving a lump sum of hours per resource is ok, or if you need those broken up by project – if you need them broken up, you will need to request multiple WFS buckets (one for each project in the program). | The PMO manager or one of the oversight analysts will submit an email request to Brandy Bently to get the appropriate WFS project bucket and the department code, the division code (if applicable), and the charge code. |
|  | Process Documentation Icon Stock Illustrations – 752 Process Documentation  Icon Stock Illustrations, Vectors &amp; Clipart - Dreamstime | Project/Program Repository (Microsoft Teams) | Project/program start | Within the first week of being assigned the project/program | Yes | Yes | Yes | Set up a project document repository in an electronic platform owned and managed by the state (Microsoft Teams is preferred).  PMO staff should request a new Teams site from the PMO manager or one of the oversight analysts.  If you have a procurement, you will need to set up a private procurement channel for procurement documents – vendors and other state staff outside the project team should not be able to access these procurement documents.  Store all documentation gathered or created for the project in this repository. The exception is Personably Identifiable Information (PII), which must be removed from documents before storing. | PMO staff are required to use Teams. See the ND VIEW PMO User Guide for information on requesting and setting up the Teams site.  For NDIT, the project repository is kept for six years after the project closes and then all documents are deleted. For agencies that don’t have their own project document retention schedule, the state’s General Schedule is three years after the project closes. |
|  | Process Documentation Icon Stock Illustrations – 752 Process Documentation  Icon Stock Illustrations, Vectors &amp; Clipart - Dreamstime | ND VIEW Entry | Project/program start | Within the first week of being assigned the project | Maybe | Yes | Yes | The ND VIEW administrator will create the ND VIEW entry for you when the Initiative Intake/PPA request is identified as a project. If you do not have an ND VIEW entry, or if an Initiative Intake/PPA request is still pending, please alert the ND VIEW administrator.  Note that ND VIEW entries must be created per project, so if you have a program, you will have multiple ND VIEW entries, which you will tie back to a single program in the system. | PMO staff are required to use ND VIEW for all projects, regardless of size. See the ND VIEW PMO User Guide for information on creating and maintaining a project in ND VIEW.  For external agency PMs, only those projects above $100,000 are required to be in ND VIEW. |
|  | Chart, bubble chart  Description automatically generated | Enterprise Architect | Project/program start | Prior to choosing a solution, beginning procurement activities, or project planning | Yes | Yes | Yes | Contact the appropriate architect team lead and request name of assigned architect, then enter into ND VIEW and enter as resource on the schedule (no need to give them a schedule task assignment). For applications/software projects, contact Eli Cornell, and for infrastructure/hardware projects, contact Ryan Kramer.  Contact the assigned architect to ask how they want to be included in the project, what documents they want to review, and which meetings they want to attend. | Typically, the architect will: provide feedback on or help prepare technology-specific requirements, either score or review vendor proposals and provide technology evaluation recommendations, lead the architect review effort prior to signing any vendor contracts, provide project guidance related to enterprise architecture standards, and help with any architecture-related questions during the project. |
|  | Chart, bubble chart  Description automatically generated | Security Analyst | Project/program start | Prior to choosing a solution, beginning procurement activities, or project planning | Yes | Yes | Yes | Contact Josh Kadrmas and request the name of the assigned security analyst, then enter as a resource on the schedule (no need to give them a schedule task assignment yet). | Typically, the security analyst will: provide feedback on or help prepare technology-specific requirements, perform security assessment, provide project guidance related to security standards, implement the security risk framework, and help with any security-related questions during the project. |
|  | Process Documentation Icon Stock Illustrations – 752 Process Documentation  Icon Stock Illustrations, Vectors &amp; Clipart - Dreamstime | Gather related project/program documentation | Project/program start | Within the first week of being assigned the project/program | Yes | Yes | Yes | Gather all applicable documentation from the sponsoring agency (e.g., grant documents, scope information, market research, NDIT problem analysis) and store in the Teams site. |  |
|  |  | Executive Steering Committee (ESC) | Project/program start | ESC must be established prior to any procurement decisions and prior to Charter approval | No | No | Yes | Email the OMB director, the CIO, and the sponsoring agency head to find out if they will be sitting on the ESC or delegating.  Become familiar with open meeting and open records laws.  Send out the “I’m an ESC member, now what?” one-pager to all the members.  Establish protocols with the ESC early on – see the ESC section of this Checklist for more information. | See the [Executive Steering Committee page](#_Project_Management_Resources) in this Checklist for additional information.  For projects under $500,000, the PM will work with the sponsor to verify governance authority. An ESC may be established, but it’s not required and would not need to vote on project decisions.  Note that anytime more than two ESC members talk about the project/program, it’s considered a quorum and an official ESC meeting, and they will be violating open meetings laws by having this discussion. This includes things like hallway conversations and legislative testimony. Therefore, it’s important that ESC members do not have positions that require them to discuss the project/program outside of ESC meetings with more than one other member at a time. |
|  | Process Documentation Icon Stock Illustrations – 752 Process Documentation  Icon Stock Illustrations, Vectors &amp; Clipart - Dreamstime | Deliverable Acceptance Form  *\*Optional* | Project start and throughout project | As needed throughout the project | Maybe | Maybe | Maybe | These forms must be approved by someone authorized to accept deliverables – usually the sponsor and/or the ESC.  Store these forms in the Teams site. | These forms are not required documents for a project if other methods to accept deliverables have been agreed to by the Sponsor and project team. |
|  |  | Charter | Project/program start | Prior to beginning procurement activities; must be completed prior to the Planning phase | Yes | Yes | Yes | Create the Charter with the project team and the sponsor, using any business case information already created.  Enter the Teams site name on the Project Charter page in ND VIEW.  For programs, consider if it’s more appropriate to create an overall program charter vs. individual project charters. Since projects in a program typically share a common business need, often the PM will create a single program charter.  On projects under $500,000, for PMO staff, a peer review is done with the PMO manager or one of the oversight analysts prior to finalizing.  For Major Projects, the PM reviews the Charter with the PMO manager, the oversight analysts, and a PMO member of their choice prior to finalizing and sending to the ESC for approval.  The approved Charter is submitted to the oversight analyst. | If procurement activities must happen in tandem with creating the Charter, at least the business needs and objectives should be known and documented in the Charter prior to the start of procurement.  For projects under $500,000 the PM will work with the sponsor to determine who will review and approve the Charter (typically it’s the sponsor at this level).  For Major Projects, the ESC typically approves the Charter. |
|  | IconExperience » G-Collection » Process Icon | Procurement | Situational, but typically at project start | Situational, but typically after Charter is approved or there is agreement on business needs and objectives | Yes | Yes | Yes | Any procurements over $25,000 need to involve the NDIT procurement officer. Enter information as to whether or not there is a procurement into ND VIEW. | See the [Procurement page](#_APPENDIX_B:_Procurement_1) in this Checklist for additional information.  Procurements should be led by those who are certified by OMB for the appropriate level of procurement. For Major Projects, procurements are typically led by an OMB procurement officer in partnership with the agency procurement officer.  Procurement can take multiple forms (e.g., RFI, RFP, vendor pool, or sole-source request). Contact OMB if you have any questions. |
|  |  | Procurement Collaboration Group | Situational, but typically at project start | Prior to starting any procurement activities | No | No | Yes | Contact OMB to find out who will serve as the OMB procurement officer, then enter into ND VIEW.  Except the agency participants, the other participants are typically the same people/roles that serve all Major Projects. | See the [Procurement page](#_APPENDIX_B:_Procurement_1) in this Checklist for additional information.  This is a multi-agency group required by law and comprised of representatives from NDIT, OMB, and the sponsoring agency. This group collaborates on all facets of the procurement (amendments, work orders, RFIs, RFPs, alternate procurements, contract negotiation, etc.) on behalf of the ESC. However, this group does not vote or make decisions, they only provide recommendations for the ESC to approve. |
|  | Chart, bubble chart  Description automatically generated | Business Application Support Representative | Project/program start | Prior to starting any contract negotiations | No | No | Yes | Contact Uday Madireddy and request the name of the assigned business application support representative, then give this name to the procurement officer. The procurement officer will invite them to contract meetings. | Typically the business application support rep will provide feedback on service/maintenance agreements. |
|  |  | Procurement Deliverables | Situational, but typically at project start | Situational | Yes | Yes | Yes | Any procurements over $25,000 need to have their documents reviewed by the NDIT procurement officer.  Any solicitation documents (e.g., RFIs and RFPs) plus any signed contracts or work orders are submitted to the oversight analyst. | See the [Procurement page](#_APPENDIX_B:_Procurement_1) in this Checklist for additional information.  These documents are stored in the private procurement channel on the Teams site.  Procurement deliverables may come in many forms (e.g., RFI, RFP, alternate procurement, contract, amendment, work order). |
|  | IconExperience » G-Collection » Process Icon | Risk Framework | Project start and throughout project | Once the vendor contract has been signed and throughout the project | Yes | Yes | Yes | This process is the responsibility of the security architect. The PM’s responsibility is just to track this work on the schedule. Risk Framework tasks are included in the schedule template.  If security determines the Risk Framework process is not needed, they will do a risk assessment once the system is ready (typically during UAT). This task is listed as an option in the schedule template. | See the [Procurement page](#_APPENDIX_B:_Procurement_1) in this Checklist for information on the TPRM that launches the Risk Framework  Risk Management Framework is a process followed by the security team to manage risk for our state systems - typically applies to regulated systems involving CMS, IRS, SSA, or CJIS. |
|  |  | Project Status Report | Project start and throughout project | Update a minimum of every 2 weeks | Maybe | Yes | Yes | The project schedule and ND VIEW information must be kept updated at a minimum of every 2 weeks. This information is automatically pulled at daily intervals and available to state leaders and executives via a dashboard.  At the start of the project, before you know the full project schedule, enter and baseline estimates for initiation, procurement, and planning tasks in the schedule. These baselines can continue to be adjusted for actuals until you do the first official baseline of the project at the end of project planning. | Applies to those projects that are entered into ND VIEW.  For Major Projects, this same report is pulled and saved off on a quarterly basis for the LITC. This is done for all Major Project tagged in ND VIEW as “In Flight,” regardless what phase they are in. |
| N/A | IconExperience » G-Collection » Process Icon | Major Project Summary Report | Project start and throughout project | Quarterly | No | No | Yes | The PMO manager will create and issue the report from ND VIEW. The PM’s only responsibility is to keep the schedule and information updated in ND VIEW. | The CIO submits this report to SITAC and the LITC at the end of every quarter. This is done the first month of the following quarter (i.e., January, April, July, October). |
|  | IconExperience » G-Collection » Process Icon | Advance the project from Initiating to Planning in ND VIEW | Project start | After Charter is approved | Maybe | Yes | Yes |  | Applies to those projects that are entered into ND VIEW.  See the ND VIEW PMO User Guide for information on advancing the project to the next phase. |
|  |  | Project Planning Kickoff Meeting | Project start | After Charter is approved | Yes | Yes | Yes | Ensure the planning team (including any vendors) understands the PMO methodology and has access to the repository.  Make sure to include the assigned enterprise architect in all planning meetings and planning communications. | This doesn’t have to be a separate meeting, but instead can just be a connection via email or agenda topic. |
|  | IconExperience » G-Collection » Process Icon | Change Management (Organizational Change Management) | Project start and throughout project | Once enough information is known to start analysis activities | Maybe | Maybe | Yes | If the PM is not filling the change manager role, the PM will work with the change manager to incorporate the change management activities into the project as appropriate (e.g., adding change communications to the communications plan). | The change manager role, using the state’s change management methodology, is required for all Major Projects and all projects managed by the PMO, though change management is encouraged for all projects.  At a minimum, all projects should consider the impacted groups and what changes they will experience because of the project, and plan how to get those groups through the change. |
|  | Process Documentation Icon Stock Illustrations – 752 Process Documentation  Icon Stock Illustrations, Vectors &amp; Clipart - Dreamstime | Work Breakdown Structure (WBS) | Project start | During Planning, prior to creating the project schedule; if there is a procurement, this is dependent on having a vendor selected | Yes | Yes | Yes | While this can be accomplished directly in MS Project, it may be easier for some teams to create this using a whiteboard, Post-Its, or the Planner application in Teams. | Define the project work and tasks (this can be at a high level). If a vendor is involved and providing you with a schedule, this may take the form of the tasks that the state team needs to do, which may be beyond the scope of the vendor’s work (e.g., change management activities or business process improvement activities). |
|  |  | Project Schedule | Project start | During Planning after the WBS is created; if there is a procurement, this is dependent on having a vendor selected and receiving their schedule | Yes | Yes | Yes | Projects over $100,000 need to be in ND VIEW. All PMO staff are required to put their projects of any size into ND VIEW.  Even if the vendor maintains a schedule, the schedule must still be entered into ND VIEW, as that is the schedule of record. If the vendor sends you a schedule, and it’s in MS Project in the appropriate format, you can either import it into ND VIEW or re-enter it (note that if the vendor has not followed best practices, sometimes re-entry is easier).  Baseline the schedule prior to starting execution work. | See the [Plan and Execute page](#_APPENDIX_C:_Plan_1) of this Checklist for additional information.  Lay out the project work and tasks (you may need to be more detailed than in the WBS), including how long each task will take to get done and what the task start and end dates are. If you are not required to put the project into ND VIEW, consider using the Planner application on your project Teams site.  See the PMO Scheduling Best Practices document for guidance. |
|  | Process Documentation Icon Stock Illustrations – 752 Process Documentation  Icon Stock Illustrations, Vectors &amp; Clipart - Dreamstime | PM Cost Estimate  *\*Execution/Closing sections* | Project start | Once planning and the schedule are far enough along to understand what the project timeline and effort look like | Yes | Yes | Yes | Use the PM Cost Estimate template to create project management estimate for the remaining execution and closing phases of the project, and possibly change management work. Run this estimate by the PMO manager or one of the oversight analysts.  This estimate is created based on the Sponsor Meeting and decisions made on the PM’s role, and the known timeline and effort for the project. | This estimate only applies if the original PM Cost Estimate was only done for the Initiation/Procurement/Planning work on the project.  This estimate only applies to NDIT chargeable staff filling the PM role, and must be done for all projects (internal and external to NDIT) regardless of size.  This cost estimate is presented to the customer via the Execution and Closing Statement of Work document. |
|  |  | Statement of Work (SOW)  *\*Execution/ Closing version* | Project start | Once Planning and the schedule are far enough along to understand what the project timeline and effort look like | Yes | Yes | Yes | The PM facilitates creation of this deliverable, along with obtaining the necessary cost estimates for NDIT staff that are chargeable to the project. The PM obtains final signoff from the sponsor and Greg Hoffman.  If there are any changes to the SOW document or estimates included, the PM facilitates creating an amendment to the SOW and getting signoff from the sponsor and Greg Hoffman. | This document only applies if the original SOW was only done for the Initiation/Procurement/Planning work on the project.  This document only applies if there are NDIT chargeable staff working on the project and the customer is external to NDIT. This must be done for all projects meeting that criteria, regardless of size. |
|  | Process Documentation Icon Stock Illustrations – 752 Process Documentation  Icon Stock Illustrations, Vectors &amp; Clipart - Dreamstime | Risk Register | Project start | Initial risks defined prior to completion of the Project Plan | Maybe | Yes | Yes | Enter the initial project risks that the team has identified into ND VIEW. This may need to be a specific topic of conversation with the team in order to identify project risks and their probability and impact. | Though any project of any size is encouraged to use a risk register, this mainly applies to those projects that are entered into ND VIEW. |
|  | Process Documentation Icon Stock Illustrations – 752 Process Documentation  Icon Stock Illustrations, Vectors &amp; Clipart - Dreamstime | Requests for Exemption from IT Standards | Project start | As soon as a solution is identified, or an exemption known | Yes | Yes | Yes | Assist the agency in filling out a Request for Exemption if required. This needs to be done ASAP once a possible exemption is identified and can often happen in parallel with contract negotiation. | The most common exemption requested is for the vendor or a third party to host the solution – common for all SaaS/subscription solutions. |
|  |  | Project/Program Plan | Project start | After the Charter is approved (cannot be completed until the schedule is done); must be completed prior to starting the execution work | Yes | Yes | Yes | Create the Project/Program Plan with the project team and the sponsor, using any business case or Charter information already created.  On projects under $500,000, for PMO staff, a peer review should be done with the PMO manager or one of the oversight analysts prior to finalizing, and the schedule should be reviewed by Val Brostrom  For Major Projects, the PM reviews the Project Plan with the PMO manager, the oversight analysts, and a PMO member of their choice prior to finalizing and sending to the ESC for approval, and the schedule should be reviewed by Val Brostrom  The approved Project/Program Plan is submitted to the oversight analyst. | For projects under $500,000 the PM will work with the sponsor to determine who will review and approve the Project Plan and schedule (typically it’s the sponsor at this level).  For Major Projects, the ESC typically approves the Project Plan and schedule. |
|  | Process Documentation Icon Stock Illustrations – 752 Process Documentation  Icon Stock Illustrations, Vectors &amp; Clipart - Dreamstime | ND VIEW information updates | Project start and throughout project | As information is defined through the Initiation and Planning phases | Maybe | Yes | Yes | Update the various pages and information in ND VIEW as your project is defined. | Applies to those projects that are entered into ND VIEW. |
|  | Process Documentation Icon Stock Illustrations – 752 Process Documentation  Icon Stock Illustrations, Vectors &amp; Clipart - Dreamstime | Lessons Learned | Project start and throughout project | As lessons learned are identified | Yes | Yes | Yes | Document lessons learned and any corrective actions throughout the project to improve future projects. This may be added as a task to the schedule at specific project milestones, if desired.  If a lesson learned is not specific to your agency and project situation and can apply to other projects, project teams, or agencies, enter it into the Lesson Learned list on ND VIEW. |  |
|  | IconExperience » G-Collection » Process Icon | Advance the project from Planning to Executing in ND VIEW | Execution | After Project Plan is approved | Maybe | Yes | Yes |  | Applies to those projects that are entered into ND VIEW.  See the ND VIEW PMO User Guide for information on advancing the project to the next phase. |
|  | IconExperience » G-Collection » Process Icon | EPMO fee billed | Execution | After Project Plan is approved | No | No | Yes |  | For Major Projects, the oversight analyst will request that NDIT bill the EPMO fee identified in the project budget. |
|  |  | Project Startup Report | Execution | Due within 2 weeks of Project Plan approval | No | No | Yes | The Startup Report is submitted to the oversight analyst, who provides it to the LITC. If they choose, the LITC may have the project sponsor/agency testify regarding the project. | This is a copy/paste of information from the Charter and Project Plan. Any changes need to happen on those two documents vs. on the Startup Report as there should be no differences.  The ESC or sponsor does not need to approve this document, since they have approved this information in the Charter and Project Plan. |
|  |  | Project Kickoff Meeting | Execution | After Project Plan is approved | Yes | Yes | Yes | For larger or more complex projects, consider who should attend the kickoff meeting and if multiple kickoff meetings should be held for various audiences (e.g., detailed meeting for the project team vs. high-level meeting for executives). | Meeting to go over the Project Plan and schedule with the project team prior to the execution work beginning. |
|  | Process Documentation Icon Stock Illustrations – 752 Process Documentation  Icon Stock Illustrations, Vectors &amp; Clipart - Dreamstime | ND VIEW schedule, project status and project site updates | Execution | Every 2 weeks throughout project | Maybe | Yes | Yes | Update the information in ND VIEW as your project progresses (e.g., risk register, change requests, action items, issues, project status, and project schedule) | Applies to those projects that are entered into ND VIEW. |
|  | IconExperience » G-Collection » Process Icon | Vendor Management | Execution | Daily | Yes | Yes | Yes | Work with the procurement officer as needed, and ensure contract compliance by the vendor and state. |  |
|  |  | Other Project Deliverables (those not produced by the PM) | Execution | Situational | Yes | Yes | Yes |  | These deliverables are essentially the products of the project (e.g., vendor or project team deliverables, such as gap analysis or system configuration). Deliverable Acceptance Forms may be used to approve, if another approval method has not been identified. |
|  | IconExperience » G-Collection » Process Icon | Project Change Requests | Execution | Situational | Yes | Yes | Yes | Document the changes to the project baseline, project budget, core elements of the project plan, project objectives or measurements, or other agreed-upon elements of the project.  Change requests are entered into ND VIEW for any project that has an ND VIEW entry.  The project may only be rebaselined for approved scope changes, and then only those scope changes plus any future tasks impacted by the new or removed scope can be rebaselined. Meaning, the original baselines for all previous tasks must remain. For Major Projects, talk to your Oversight Analyst prior to rebaselining.  Any project replanning effort to modify the baseline without new or removed scope must be approved by the PMO Manager. | For projects under $500,000 the PM will work with the sponsor to determine who will review and approve the change request (typically it’s the sponsor at this level).  For Major Projects, the ESC often delegates a certain threshold for the sponsor to approve change requests, and once that threshold is reached, then the ESC must approve. |
|  | Process Documentation Icon Stock Illustrations – 752 Process Documentation  Icon Stock Illustrations, Vectors &amp; Clipart - Dreamstime | Project/Program Plan updates | Execution | Situational, but after the original approval of the Project/Program Plan | Yes | Yes | Yes | The PM must keep the Project/Program Plan up to date if the project circumstances require a change, and monitor the Project/Program Plan to ensure the project is following the plan. If changes are required, a change order may need to be created in addition to the change to the Project/Program Plan. | Depending on the language in the original Project/Program Plan, small changes to the Project/Program Plan (e.g., addition or change in the communication plan or adjustment of names on the org chart) can usually be done with only sponsor approval. |
|  | Process Documentation Icon Stock Illustrations – 752 Process Documentation  Icon Stock Illustrations, Vectors &amp; Clipart - Dreamstime | Implementation Checklist | Execution | Prior to go-live of the solution (at least 1 month depending on project) | Yes | Yes | Yes | Review checklist and verify that applicable items have been or will be covered with the team and documented. | This does not need to be a formal project document, but instead is meant as a trigger for conversation and to make sure appropriate implementation decisions, items, and tasks have been considered. |
|  |  | Implementation and Transition Plan | Execution | Prior to go-live of the solution | Yes | Yes | Yes | For smaller projects, this may just be a conversation or an elaboration of the existing Project Plan vs. a separate deliverable.  Remember to inform the Help Desk of any IT-related implementations for which they may receive customer calls. | It’s important to consider how your solution moves from the project structure to the maintenance and operations structure. Who will be the product owner? How will feedback or issues with the solution be handled? Who will prioritize requested enhancements and fixes? etc.  This is often a deliverable from the vendor but should be reviewed and approved by the personnel who will be taking on the solution once the project is completed. |
|  | Process Documentation Icon Stock Illustrations – 752 Process Documentation  Icon Stock Illustrations, Vectors &amp; Clipart - Dreamstime | Create Change in Service Management application | Prior to implementation | 1-2 weeks prior to go-live of the solution | Maybe | Maybe | Maybe | Currently, this only applies to NDIT-hosted systems. Suggestion is to have the agency create this request so it comes from the agency.  Be prepared to summarize the justification, implementation plan, risk and impact analysis, backout plan, test plan, and who is impacted.  Determine if public notification is required. |  |
|  | IconExperience » G-Collection » Process Icon | Notify Service Desk of upcoming go live | Prior to implementation | At least 1 week prior to go-live of the solution | Yes | Yes | Yes | Email Randy Jensen ([rwjensen@nd.gov](mailto:rwjensen@nd.gov)) and provide high level on what the system is, how the system is accessed, and where to send tickets if there is a problem.  If this is a large system, or if NDIT will need to be involved in support, consider meeting with a segment of the Service Desk team to demonstrate the system at a high level and explain what it does. |  |
|  | IconExperience » G-Collection » Process Icon | Notify Accounting of system/release completion | End of project | At go live | Maybe | Maybe | Maybe | Email Brandee Rensch with the agency, project name, what NDIT is billing for, and any original quotes NDIT sent the customer.  Purpose of this is to keep Accounting in the loop and make sure that NDIT is billing for things that we told the customer were costs, so that the customer isn’t back-billed at a much later date. Currently Accounting doesn’t have a way to know we are sending out these quotes or that the project is finished. | Applies only to projects that have costs that NDIT will be billing for beyond the hourly rates, e.g., servers. |
|  | IconExperience » G-Collection » Process Icon | Advance the project from Execution to Closing/Closed in ND VIEW | End of project | Once the baselined and contracted project work has completed | Maybe | Yes | Yes | You may need to advance it past Transition to Operations, if that is not a significant project stage for your team. | Applies to those projects that are entered into ND VIEW.  See the ND VIEW PMO User Guide for information on advancing the project to the next phase. |
|  | Process Documentation Icon Stock Illustrations – 752 Process Documentation  Icon Stock Illustrations, Vectors &amp; Clipart - Dreamstime | Project Closeout Survey | End of project | After the baselined and contracted project work has completed; prior to creating the PIR  *\*Note that for iterative projects you can send out surveys throughout the work if desired* | Maybe | Maybe | Yes | This survey is sent to all team members and involved stakeholders. Responses are used to inform the Post-Implementation Report and/or the project closeout meeting.  This template can be modified to fit your project as necessary.  For programs, you will still do individual closeouts for each project, so that you can verify progress towards the program goals and identify and adapt lessons learn into future projects within the program. | Applies to Major Projects, though PMO staff are required to do the survey on all projects, unless approved by the PMO manager or oversight analyst.  All projects have the option of sending out a closeout survey to both state and vendor project team members at the end of the project.  There is a template survey pre-built in Microsoft Forms. Make sure to duplicate this template prior to sending or making any modifications. |
|  |  | Post-Implementation Report (PIR) | End of project | After the baselined project work has completed, final costs identified, initial objective measurements are completed, and survey results are received | Maybe | Maybe | Yes | Create the Post-Implementation Report using the final actuals and variances on the project.  This document is presented at the closeout meeting.  The approved Post-Implementation Report is submitted to the Oversight Analyst.  For PMO staff, noteworthy lessons learned should be shared with the PMO. | Applies to Major Projects, though all projects can do this report if desired.  For projects under $500,000 the PM will work with the sponsor to determine who will review and approve the Post-Implementation Report (typically it’s the sponsor at this level).  For Major Projects, the ESC typically approves the Post-Implementation Report. |
|  |  | Project Closeout Meeting | End of project | After the PIR is completed; if there is no PIR being prepared, then after the baselined project work has completed, final costs identified, initial objective measurement are completed, and any survey results are received | Yes | Yes | Yes | The PM facilitates this meeting to discuss the final project results and lessons learned with the project team.  If no closeout survey was conducted, use this opportunity to gather lessons learned and feedback from the project team.  If no PIR was created, document the final actuals, final variances, and the lessons learned in the meeting minutes. | For Major Projects, this is the meeting where the ESC would typically approve the Post-Implementation Report and vote to disband. |
|  |  | Project Closeout Report | End of project | Due within 2 weeks of PIR approval | No | No | Yes | The Closeout Report is submitted to the oversight analyst, who provides it to the LITC. If they choose, the LITC may have the project sponsor/agency testify regarding the Closeout Report. | This is a copy/paste of information from the PIR. Any changes need to happen on that document vs. on the Closeout Report as there should be no differences.  The ESC or sponsor does not need to approve this document, since they have approved this information in the PIR. |
|  | IconExperience » G-Collection » Process Icon | Project Administrative Closeout | End of project | Once all closeout activities are completed | Yes | Yes | Yes | Common tasks:   1. Close out contracts and work orders that are not to remain open for maintenance and operations (e.g., professional services) 2. Close out any open ServiceNow requests that are not needed for maintenance and operations 3. Remove any security access granted during the project – this may include VPN, ndgov accounts, building access, etc. 4. Notify agency’s state fiscal person of project closeout |  |
|  | IconExperience » G-Collection » Process Icon | Archive Project Documentation | End of project | Once all closeout activities are completed | Yes | Yes | Yes | Common tasks:   1. Clean up the Teams repository as needed 2. Convert the project Outlook folder to PDF and save to the Teams repository – if this is a big or long project, it may need to be broken down into smaller batches to PDF (consider yearly or quarterly depending on the number of attachments) 3. Export the All Activities tab out of Proxima into Excel and save to the Teams repository (the agency may continue to use Proxima for change management, so just archive the information that is there at closeout) – the All Activities tab includes the combined ADKAR blueprint and Core Plans |  |
|  | IconExperience » G-Collection » Process Icon | Archive Teams site | End of project | Once all closeout activities are completed | Yes | Yes | Yes | Common tasks:   1. Allow the sponsoring agency to make a copy of anything in the Teams site they want to keep for their own records retention – otherwise we will keep it for 6 years past closeout, then delete 2. If this is a project-specific Teams site, or a project-specific channel, remove access for all team members, with the exception of the primary PM, the PMO director, and the two Oversight Analysts (leave as Owners) 3. If this is an operations Team site, put all project documentation into a single folder and save it by project name into the -Tm-IT-PMO-Project-Reporting > Project Archive channel | NDIT’s project documentation retention schedule is to retain project information 6 years after the project closes. Other agencies may have their own retention schedule for project documents that would apply to any documents they copy from the Teams site. If they do not have a specific retention schedule, then the General Schedule is to retain project documents for 3 years after the project closes.  Once the 6 years is reached, the Teams site will be removed by the NDIT Teams program administrator. |
|  | IconExperience » G-Collection » Process Icon | Change the Project State from “In Flight” to “Completed” in ND VIEW | End of project | Once all closeout activities are completed | Maybe | Yes | Yes |  | Applies to those projects that are entered into ND VIEW.  See the ND VIEW PMO User Guide for information. |
|  | IconExperience » G-Collection » Process Icon | Prepare ND VIEW project for archive | End of project | Once all closeout activities are completed | Yes | Yes | Yes | Common tasks:   1. Let the ND VIEW administrator know to remove team member licenses and access to ND VIEW 2. Remove any team members that you may have added in directly to the Project Site in ND VIEW | ND VIEW administrator will change the archive status from “Active” to “Archived” |
|  | IconExperience » G-Collection » Process Icon | Enter project into Accomplishments list | End of project | Once all closeout activities are completed | Yes | Yes | Yes | Accomplishments list is found as a tab on the top of the Statewide IT Planning Teams site (-Tm-IT-Statewide-IT-Planning) |  |
|  | IconExperience » G-Collection » Process Icon | Notify Accounting that WFS SOW should be considered closed | End of project | Once all closeout activities are completed | Yes | Yes | Yes | Create a service request in ServiceNow under Administrative and Billing > Billing Questions and Changes and note that the project is closed and no additional time should be billed to the WFS SOW  Consider removing this SOW from your favorites in WFS and alerting your project team that they should no longer charge to that SOW |  |

## APPENDIX A: Executive Steering Committee Checklist

This checklist lays out more detailed tasks specific to the ESC.

| **Done?** | **ESC Tasks, Tips, and Notes** |
| --- | --- |
|  |  |
|  | In addition to the ESC membership outlined in the Project/Program Plan, also invite the following roles to the ESC meetings as non-voting participants:   * TBP assigned to the sponsoring agency * Attorney General representative for the ESC (currently Rachel Sinness) * OMB procurement officer * Other participants as needed, or as requested by the sponsor or the agency (e.g., the agency’s attorney general representative, the agency procurement officer, NDIT procurement officer, or subject matter experts) |
|  | ESC meetings follow Robert’s Rules of Order, so brush up on that meeting procedure if you are unfamiliar. |
|  | ESC meetings are open meetings and subject to open records laws. They must be posted online on the Secretary of State’s ND Public Meeting Notices website, posted to the agency’s website, and posted via paper copy on the door of any physical location. Access to post these meetings is requested through the Secretary of State Office and that person must be given the permissions to post meetings on behalf of that agency. Therefore, it’s better to have a person from the sponsoring agency post these meetings. |
|  | Send the “I’m an ESC member, now what?” one-pager to the ESC members as a reminder of their role and what serving on the ESC entails. This is meant to be a high-level overview and so you may need to provide further education or answer questions for any new member or one that hasn’t served in a while. |
|  | At the first ESC meeting, the ESC should determine how often they want to meet. Though they are required to meet quarterly, most ESCs schedule a monthly meeting. The recommendation is to schedule the ESCs out at the appropriate cadence for the duration of the project. If a meeting is not needed, it can be cancelled. Remember to also cancel the open meeting notice. |
|  | Post all the meetings for that calendar year on the ND Public Meeting Notices website with a generic agenda covering the common topics. These meetings then become “regular” meetings and you are allowed to deviate from the agenda topics posted. If your project runs into the next calendar year, you can post the next year’s meetings in December/January.  These meeting day/times can be changed and still be considered “regular” meetings, as long as you update the posted list. If an additional ESC meeting is needed, it is then considered a “special” meeting and you are not allowed to deviate from the agenda.  Note that you are required to post meetings as soon as you know the meeting date/time – so generally right after you determine a day/time and send out the invite to the ESC members. |
|  | Because ESC meetings are open to the public, including any vendors that want to attend, consult with the oversight analyst prior to the meeting if there are any questions regarding discussing a certain topic in public. Procurement and contract discussions happen in an executive session and vendors and other members of the public are asked to leave during those discussions. |
|  | If you anticipate you will be going into an executive session for an ESC meeting (most often for procurement or contract discussions), you will need to do the following:   * Note this on your agenda under the topic (this is typically the procurement discussion): this topic may need to be discussed in executive session per NDCC §54-44.4-05 or §44-04-19.1(9) * Set up a breakout room in Teams or set up a separate Teams meeting for the ESC members and other appropriate state staff * Obtain a copy of the appropriate executive session script to read at the meeting * Be prepared to record the executive session in Teams as all executive sessions need to be recorded * The recorded Teams file will save in Microsoft Stream – download the file and send it to your Oversight Analyst who will keep it for the required six months period before deleting * Make sure to delete the original recording in Stream after you confirm the Oversight Analyst has the file   Note that you should go into executive session to discuss appropriate procurement or contract topics even if there are no vendors or other members of the public in the meeting. This is because anything that happens in executive session is protected from standard open records requests and has another layer of approval that’s required before the recording can be obtained. If you have a question as to what discussions need to happen in executive session, check with the oversight analyst. |
|  | In addition to the ESC, there are other committees that may be associated with your project that are legislatively mandated, and therefore also subject to open meetings. Identify any of these committees and verify that they have a person responsible for posting and taking minutes at these meetings. |
|  | The oversight analyst and sponsor cannot delegate their ESC role to anyone, meaning if they are absent, they cannot send another person in their place. |
|  | The sponsor is required to chair the ESC meetings. Ensure they are active and engaged. While the PM may speak to agenda items, they should not be leading the meeting.   * Though the PM is typically responsible for creating the ESC agenda, the sponsor should approve the agenda in advance of the meeting * At the first ESC meeting, the sponsor should give a background of the project, including the business needs and objectives of the project, and why the project is strategically important to the agency * The role of the sponsor as ESC chair is in law – this can be used to hold the sponsor accountable for their meeting duties |
|  | Prior to the first ESC meeting, meet with the sponsor to review their responsibilities, discuss how to conduct the ESC meeting, go over the agenda, and confirm that the PM will be keeping minutes. |
|  | Work with the sponsor to create your initial ESC meeting agenda. Example:   * Call to Order (Sponsor) * Roll Call (Sponsor) – note that only ESC members are part of the roll call, members of the public are allowed to attend anonymously * Introductions – this is optional if the ESC attendees have served on multiple projects and all know each other, again, note that members of the public should not be asked to introduce themselves * Project/Program Introduction (Sponsor) * Project Updates   + Project Status (PM) – the PM uses the ESC Presentation template to present this information   + Procurement Update: this topic may need to be discussed in executive session per NDCC §54-44.4-05 (Procurement Officer) – if you don’t have any procurement, you can delete this topic   + Items Requiring ESC Review (PM) * Meeting Cadence (PM) – how often does the ESC want to meet? * New Business * Meeting Adjourned (Sponsor)   Other topics can be added based on the experience of your ESC, such as:   * General Meeting Basics   + Display the ongoing agenda template and confirm if anything should be added   + Discuss the difference between a regular meeting and a special meeting   + Explain the need for a quorum – three of the five ESC members must be present to hold a meeting * Meeting Minutes   + Confirm how the meeting minutes will be distributed – typically the PM sends the minutes from the previous meeting out to the ESC just prior to the current meeting and then also quickly displays those previous minutes at the current meeting   + Confirm how the ESC wants to approve minutes – typically after the PM displays the previous meeting’s minutes, the sponsor asks if there are any changes, and if there aren’t any, the minutes are considered approved; a vote is not required * Voting Procedures   + Discuss the basics of Robert’s Rules of Order   + Confirm what votes the ESC wants to be “major” – this means that four of the five ESC members must vote “yes” vs. having a simple majority; typically, major votes are noted in the Project Plan template and can be adjusted if desired * Open Meetings and Open Records Laws   + Records, including email, are generally not considered confidential and are therefore subject to open records laws   + Attorney General’s Office must be consulted before responding to any open records request   + ESC cannot have discussions or hold votes over email – information may be sent via email (e.g., an agenda or documents for review), but votes and responses to the entire group are not allowed (meaning, “Reply All” is not allowed on any email to the ESC); this applies to other written messaging systems as well |
|  | Create the agenda for ongoing ESC meetings that can be added to your posted meetings list. Example:   * Call to Order (Sponsor) * Roll Call (Sponsor) – note that only ESC members are part of the roll call, members of the public may attend anonymously * Consideration of last meeting’s minutes (Sponsor) * Project Updates   + Project Status (PM) – the PM uses the ESC Presentation template to present this information   + Procurement: this topic may need to be discussed in executive session per NDCC §54-44.4-05 (Procurement Officer)   + Items Requiring ESC Review (PM) * New Business * Meeting Adjourned (Sponsor) |
|  | Note any areas on the Project Plan where the ESC will need to make a decision in order to complete the Project Plan (e.g., the sponsor’s change request approval thresholds) – the ESC approves these things by approving the Project Plan |

## APPENDIX B: Procurement Checklist

This checklist lays out more detailed tasks specific to Procurement.

| **Done?** | **Procurement Tasks, Tips, and Notes** |
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|  | Review the procurement officer responsibilities prior to starting a procurement. OMB’s State Procurement Office (SPO) has procurement staff who most often fill this role in major projects, though SPO may also delegate this role to a member of the agency’s procurement staff. The procurement officer should set up and facilitate procurement meetings, author documents, communicate with the vendor(s), bring in appropriate people to participate in the procurement, and provide guidance on the best procurement path to take for the project.  If the PM is asked to be fully responsible for any of these duties (e.g., act as the procurement officer, or perform a partial set of those duties), discuss with the project sponsor as additional costs may be incurred. |
|  | Add the Admins as owners when creating the private procurement channel in Teams, as they are not automatically added. |
|  | Assist the procurement officer with who should be invited to the Procurement Collab meetings. Note that you cannot have a quorum of ESC members at these meetings, so typically no other ESC members are invited besides the oversight analyst and the sponsor. However, if the agency determines that they want a third member of the ESC to participate, alert the oversight analyst so that arrangements can be made to avoid a quorum.  These roles are always invited:   * Agency procurement officer (if they are serving as the lead procurement officer) * SPO procurement officer * NDIT procurement officer * PM * Oversight analyst * Sponsor * Attorney General representative for the ESC * NDIT security analyst and enterprise architect(s) – they may not be invited to every meeting and only brought in as needed (confirm level of involvement with the architect team lead and security architect) * NDIT business application support representative – they should be invited to contract meetings   Clarify with the sponsor if others should be invited, some examples:   * Agency procurement officer (if they are not serving as the lead procurement officer) * Attorney General representative for the agency * Agency/business subject matter experts |
|  | Once a vendor is chosen, the vendor needs to go through a Third Party Risk Management (TPRM) process. This process typically takes about two weeks, happens in tandem with contract negotiations, and needs to be completed before signing any contract:   * Procurement officer submits a ServiceNow request to NDIT (ServiceNow path: Request Something > Find or Improve a Technology Solution > IT Review request > in the Background Information field, note the vendor’s name and request at TRPM review) * NDIT security team will send a security survey to the vendor * Vendor completed the survey and submits back to NDIT * NDIT review the survey responses and discuss findings with the procurement officer and possibly the evaluation group * If risks are found, NDIT and Procurement Collab team may give the vendor an opportunity to remediate them * If risks are not remediated, agency head may choose to accept the risk with consultation from NDIT, or vendor may be rejected * NDIT will provide signed documentation to the procurement officer that confirms the vendor has been reviewed and ongoing monitor will take place (NDIT Architectural and Security Review Report, possibly an Exemption Waiver) |
|  | Once a vendor is chosen, verify the procurement officer has contacted the assigned security analyst. The security analyst will initiate and perform the security assessment. This process happens in tandem with contract negotiations and the assessment should be completed prior to signing any contract in case there are concerns. |
|  | Develop a distribution list for signed contractual documents (including work orders, SOWs, and amendments). This should include the oversight analyst and the appropriate procurement officer(s). Often the financial representative of the agency will need copies of these documents as well. |
|  | Review the contracts or work orders to ensure that all project tasks are in the schedule. Contracts can contain requirements that are not necessarily associated with the product scope, such as requiring insurance or annual certification documentation from the vendor at a certain point in the project. |
|  | Add procurement-related risks to the risk log (e.g., Will the contract need to be renewed or extended during the project if the project is not completed on time?). Consider adding a yearly contract review to your project management tasks to review the contract dates and mitigate the risk of the contract ending before the project. If a contract manager has been identified, this person can assist with this. |
|  | If the project or program has a lot of procurements, consider creating a spreadsheet summarizing the various procurement documents. You may include the vendor’s name, procurement type, contract purpose, original dollar value, current dollar value, original term date, current term date, and remaining renewals and extensions. This should be stored on the private Procurement channel in Teams. |

## APPENDIX C: Plan and Execute Checklist

This checklist lays out more detailed tasks specific to Planning and Executing.

| **Done?** | **Category** | **Plan and Execute Task, Tips, and Notes** |
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|  | Communication | As a state agency, NDIT is subject to privacy laws and laws granting public access to information. Treat your projects as sensitive information and exercise discretion when discussing project work outside of the office. |
|  | Communication | Due to the number of projects handled by the PMO, consider starting each email communication with the project short name for quick sorting in Outlook. |
|  | Communication | Work with your project team to establish ground rules for meetings. Note that ground rules may need to be adjusted for various projects or meeting groups within projects. |
|  | Communication | For development projects, understand where the developers store their source code and how they conduct versioning. The link can be documented in the project repository. |
|  | Communication | Keep your camera on and take a few minutes to chat with the meeting participants at the start of a meeting. In the virtual meeting world, it’s easy to lose connections with co-workers. |
|  | Communication | Use the Executive Summary page of the Project Plan. Consider providing it to functional managers of your project team members or other staff in the sponsoring agency as a high-level explanation of the project. |
|  | Communication | Involve the public information officer (PIO) on any publications or communication with the legislature or the public. All press releases should be handled by the PIO. |
|  | Financial | Discuss the difference between the project budget and the project funding with your sponsor. The project may have multiple funding sources that all roll into the project budget, or the project budget may only be a portion of the project funding that was granted. The PM is focused on the project budget, while the agency is often focused on the project funding. Though the PM should assist the agency in tracking their funding as related to the project when appropriate, multiple funding sources shouldn’t influence the setup of a project if it doesn’t make sense to manage the project that way – to the PM, it’s all one pot of money. |
|  | Financial | Encourage your sponsor to include both risk contingency and management reserve dollars in the project budget. Risk contingency is the higher priority, but some grants may not allow it.  Risk contingency is meant to cover any cost overruns or change requests – this dollar amount is part of the baselined budget. Management reserve is an additional amount that the agency has set aside to cover any costs if the project goes beyond the baselined budget – this dollar amount is not part of the baselined budget. |
|  | Financial | Be aware of any constraints associated with the use of funds, such as…   * Obligation and expenditure dates * Funding expiration dates * If dollars can be returned should the project finish under budget * If the project has access to the full amount of dollars awarded in a grant, or if some of those dollars will be used internally by the agency and are not available to the project |
|  | Financial | Set up your schedule and associated payments to account for any hosting fees, license fees, etc. that need to be paid towards the beginning of the project (common to SaaS/subscription solutions). |
|  | Financial | Touch base with the financial representative for the agency. Note that for some projects, the sponsoring agency and the agency that is funding the project could be different. The discussion should include:   * Any financial risks, assumptions, or constraints that are attached to the funding source(s) * Documentation required by the agency (e.g., project information needed by the agency for their reports to the funding agent) * Process for paying invoices   + Understand or determine what documentation the vendor is required to provide along with the invoice   + The PM should always review and approve invoices to ensure compliance with the deliverable acceptance criteria, and may also review for compliance with the contract if a contract manager is not actively working on the project   + Typically the sponsor must also approve the invoice at the recommendation of the PM   + Determine who else needs to receive the invoices and/or where the invoice the associated documentation should be sent once approved   + Turnaround time for invoice payment * For any costs that the PM does not have access to, how and when these actual costs will be communicated back to the PM * What information the agency may need from the PM to track costs against the funding source(s) * Any incidentals or overhead that the agency charges to the project that needs to be included in the budget   Identify any schedule or budget risks from this conversation.  Make sure an agency fiscal person is assigned to monitor the overall budget if there are multiple agencies providing funds for the project. |
|  | General | Monitor the project objectives and be honest with the likelihood that the project will meet those objectives. We traditionally define success as delivering a project on time and on budget, but sometimes, if the project no longer aligns to the agency strategy or will no longer meet the desired objectives, the best outcome could be project termination. |
|  | Human Resources | If a vendor or customer requires long-term access to the Normandy building, ensure they are provided the safety policies/procedures for the building. Also ask HR to add them to any notification groups or communication for on-site staff. |
|  | Human Resources | Track all security that is granted throughout the project so that you can request for it to be removed at the end of the project, as appropriate. |
|  | Human Resources | Understand the type of data the solution will capture or use, as the project team may need to document specific requirements around this data, or the data may be restricted (e.g., federal tax information data from the IRS cannot be accessible by contracted staff). Access to certain data may also require specific background checks. |
|  | Human Resources | Verify what vendor staff needs background checks. The contract terms and conditions should note the right of the state to conduct background checks. The state often requires separate background checks even if the vendor does their own.  Typically, a vendor will need a background check if they are getting a ndgov account or if they will have access to PII. Contact HR with any questions on background checks or to have one done. |
|  | Human Resources | For PMs who hold certificates (e.g., PMPs or Certified Scrum Masters), consider whether any continuing education units were gained during the project and update the certifying entity accordingly. |
|  | Quality | When creating the quality section of the project Plan, or when determining a list of quality processes and requirements to employ for the project, review the entire list of stakeholders and ask what quality they desire/need. |
|  | Risk Management | Review your list of assumptions and constraints from the Project Charter and Project Plan. Typically, each one will generate an associated risk (e.g., if you have a constraint that your funding expires on a certain date, the risk is what happens if your project isn’t done by then; or, if you have an assumption that federal regulations will not change during your project, that risk is what happens if they do). |
|  | Schedule | Before developing the project schedule, determine which methodology is most appropriate (use the Methodology Selection Tool document and the Agile Methodology Blend Matrix for assistance). |
|  | Schedule | Identify any obligations members of the project team which may affect their availability and therefore the schedule (e.g., the team is unavailable the first week of every quarter due to reporting work, or a certain time of year requires that they focus solely on their day-to-day work). |
|  | Schedule | There may be instances where a set of small tasks repeat throughout a project. Rather than continually repeating the set of small tasks in the schedule, consider creating a procedure noting those tasks. The schedule can then just call out running the procedure however many times it’s needed. |
|  | Training | If state staff needs to be re-trained to support the solution, discuss the training with the project team and try to talk to someone who does that work for a living to understand the full scope of what they will need to know. The cost of training may be more than you think it will be (e.g., retraining mainframe programmers to be .NET programmers doesn’t just mean .NET training, they also need to be trained in framework, version control, etc.). |
|  | Training | If the project is bringing in training for the project team, consider adding this training to PeopleSoft’s ELM so the state staff gets credit for their training. Contact HR for more information on this. |

## APPENDIX D: Project Management Resources

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Applications** | **Description** | **Publicly Available** | **Access Must Be Granted** | **Available to PMO Staff Only** |
|  |  |  |  |  |
| *\*Internal application links have not been included for security reasons.* | *See the PMO for these links and access, if needed.* |  |  |  |
| [North Dakota Public Meeting Notices](https://intranetapps.nd.gov/sos/ndpmn/mainmenu.htm) | Website/tool used to search for existing open meeting notices | X |  |  |
| [NDIT Service Portal](https://northdakota.service-now.com/serviceportal) | Tool used to create service requests for NDIT |  | X |  |
| **Project Management Information Links** | **Description** | **Publicly Available** | **Access Must Be Granted** | **Available to PMO Staff Only** |
|  |  |  |  |  |
| [Agile Methodology Blend Matrix](https://www.ndit.nd.gov/sites/www/files/documents/project-management-office/agile-methodology-blends-matrix.pdf) | Online document that describes and helps determine what blend of Agile approaches may work for your project – used in conjunction with the Methodology Selection Tool | X |  |  |
| [Agile Reference Manual](https://www.ndit.nd.gov/sites/www/files/documents/project-management-office/epmo-agile-reference-manual.pdf) | Online document that provides examples and options for managing an Agile project in state government | X |  |  |
| [Organizational Change Management](https://www.ndit.nd.gov/sites/www/files/documents/project-management-office/org-change-mgmt-for-large-projects.pdf) | Online document that provides information for project managers on incorporating change management work into large projects | X |  |  |
| [ESCs and Open Meetings](https://ndgov.sharepoint.com/:f:/r/sites/-Tm-IT-Project-Management-Office/Shared%20Documents/General/ESCs%20and%20Open%20Meetings?csf=1&web=1&e=MM31gf) | PMO Teams file with information on ESCs and open meetings, including Executive Session scripts |  |  | X |
| [Methodology Selection Tool](https://www.ndit.nd.gov/sites/www/files/documents/project-management-office/epmo-methodology-selection-tool.xlsx) | Online document that helps teams assess and discuss project approaches, including blended methods – use in conjunction with the Agile Methodology Blend Matrix | X |  |  |
| [ND VIEW PMO User Guide](https://ndgov.sharepoint.com/:w:/r/sites/-Tm-IT-Project-Management-Office/Shared%20Documents/ND%20VIEW/User%20Guides%20and%20Training%20Documents/NDVIEW%20PMO%20User%20Guide.docx?d=w3154c2ac60394954be1dd61dc7ba9589&csf=1&web=1&e=z2e4dT) | PMO Teams document with instructions and information specific to the PMO use of the ND VIEW tool |  |  | X |
| [Request for Exemption](https://www.ndit.nd.gov/enterprise-architecture/request-exemption) | Website with information and links to request an exemption from an IT Standard or IT Statutory policy | X |  |  |
| [PM Quick Start Guide (The Way of the PMO)](https://www.ndit.nd.gov/sites/www/files/documents/project-management-office/pm-quick-start-guide.pdf) | Online document with basic instructions for NDIT staff on how to manage smaller projects (Project Management Lite) | X |  |  |
| [Standard STD009: Project Management for IT Projects](https://www.ndit.nd.gov/standards/POL0020207) | Website with the details of the Project Management for Information Technology Standard STD009-06 | X |  |  |
| [PMO Scheduling Best Practices](https://www.ndit.nd.gov/sites/www/files/documents/project-management-office/nd-pmo-scheduling-best-practices.pdf) | Online document that notes the state’s best practices and expectations for schedules in Microsoft Project/ND VIEW | X |  |  |
| [Project Management Statement of Work](https://www.ndit.nd.gov/it-services/find-or-improve-technology-solution/project-management) | Website with the general Statement of Work for an NDIT project manager – this informs but does not replace the project-specific Statement of Work document | X |  |  |
| [Project Oversight](https://www.ndit.nd.gov/it-services/find-or-improve-technology-solution/project-management/project-management-oversight) | Website with information on Project Oversight | X |  |  |
| [Project Oversight by Phase Flow Chart](https://ndgov.sharepoint.com/:b:/r/sites/-Tm-IT-Project-Management-Office/Shared%20Documents/General/Process%20Documentation/Project%20Oversight%20by%20Phase%20Flow%20Chart.pdf?csf=1&web=1&e=35IOIu) | PMO Teams document showing the Oversight process and responsibilities by project phase |  |  | X |
| [Robert’s Rules of Order (Simplified)](https://assembly.cornell.edu/sites/default/files/roberts_rules_simplified.pdf) | Online document with a simple description of the meeting principles and format used for ESC meetings | X |  |  |
| [Workforce Time Reports / NDIT-WorkForce workspace](https://app.powerbigov.us/groups/7f697ea1-63f9-4ee7-afa4-c8fa5bf52c09/list) | Power BI Reports with actual hours (billable and non-billable) worked by NDIT staff, taken from WFS – the typical one we use to obtain actuals is the “Workforce Project Management” report |  | X |  |
| [WFS Time Entry Instructions](https://ndgov.sharepoint.com/:w:/r/sites/-Tm-IT-Project-Management-Office/Shared%20Documents/General/PMO%20Tools%20and%20Instructions/Workforce%20Time%20Entry%20Training%20as%20of%207-1-21.docx?d=wcc01f4ffb1994be39ec840c265b4bccb&csf=1&web=1&e=BKeY6I) for PMO | PMO Teams document with instructions on how to do time entry in WFS |  |  | X |
|  |  |  |  |  |
| **Project Management Template Links** | **Description** | **Publicly Available** | **Access Must Be Granted** | **Available to PMO Staff Only** |
|  |  |  |  |  |
| [ESC Status Presentation](https://ndgov.sharepoint.com/:p:/r/sites/-Tm-IT-Project-Management-Office/Shared%20Documents/General/ESCs%20and%20Open%20Meetings/ESC%20Status%20Presentation%20Template%202021.03.17.pptx?d=w182fd9f3a3294af297466eb9c45a4092&csf=1&web=1&e=6TL58z) | PMO Teams template for ESC presentations on project status |  |  | X |
| [PMO Cost Estimates – Templates and Submitted](https://ndgov.sharepoint.com/:f:/r/sites/-Tm-IT-Project-Management-Office/Shared%20Documents/General/PMO%20Cost%20Estimates%20-%20Templates%20and%20Submitted?csf=1&web=1&e=Gdm3Ll) | PMO Teams file with the templates for Project Management Cost Estimates and the place to store completed estimates |  |  | X |
| [Project Closeout Survey](https://forms.office.com/Pages/ShareFormPage.aspx?id=ZATqLVHaiEq64rPblLwMVO-N110i8bpGseaTFHLomthUN0xSOU1BUkRQM1RVOEM1WUxQM0hWWE9CQi4u&sharetoken=Qeq8VIfxTy8XGnWZzZqG) | Microsoft Forms template that provides basic questions for a project closeout survey – make sure to duplicate the survey before using |  | Available with link |  |
| [Project Management Tools and Templates](https://www.ndit.nd.gov/services/project-management#collapse-accordion-792-2) | Website with templates for all the standard project management deliverables and tools | X |  |  |
| [SOW Templates](https://ndgov.sharepoint.com/:f:/r/sites/-Tm-IT-Project-Management-Office/Shared%20Documents/General/SOW%20Templates?csf=1&web=1&e=GjZOq3) | PMO Teams file with the templates for the Statement of Work documents |  |  | X |
| **Procurement Links** | **Description** | **Publicly Available** | **Access Must Be Granted** | **Available to PMO Staff Only** |
|  |  |  |  |  |
| [IT Procurement](https://www.ndit.nd.gov/services/it-procurement) | Website with information on requirements for IT procurements | X |  |  |
| [State Contracts List](https://www.omb.nd.gov/doing-business-state/procurement/state-contracts) | Website with the list of existing state contracts that can be leveraged for related goods and services (a.k.a. the “vendor pool” contracts) | X |  |  |
| [Procurement Collaboration Flowchart](https://ndgov.sharepoint.com/:b:/r/sites/-Tm-IT-Project-Management-Office/Shared%20Documents/General/Procurement/Procurement%20Collaboration%20Flow%20Chart.pdf?csf=1&web=1&e=di4qc1) | PMO Teams document showing the procurement process related to the Procurement Collaboration Group for Major Projects |  |  | X |
| [State Procurement](https://www.omb.nd.gov/doing-business-state/procurement) | Website with information on requirements for North Dakota procurements | X |  |  |
| **NDIT Information Links** | **Description** | **Publicly Available** | **Access Must Be Granted** | **Available to PMO Staff Only** |
|  |  |  |  |  |
| [NDIT Website](https://www.ndit.nd.gov/) | Publicly available website for information related to NDIT | X |  |  |
| [NDIT InsITe Website](https://ndgov.sharepoint.com/sites/ndit) | Internal website for NDIT employees |  | X |  |
| [NDIT Billing Rates](https://www.ndit.nd.gov/support/billing) | Online website with information on NDIT rates and funding, including documents showing the NDIT hourly rates for various roles | X |  |  |
| [NDIT Business Application Support Teams](https://ndgov.sharepoint.com/sites/ndit/Shared%20Documents/Forms/AllItems.aspx?id=%2Fsites%2Fndit%2FShared%20Documents%2FOrg%20Chart%2FBusiness%20App%20Support%20Teams%2Epdf&parent=%2Fsites%2Fndit%2FShared%20Documents%2FOrg%20Chart) | InsITe document showing the NDIT staff assigned to support various business applications |  | X |  |
| [NDIT Organizational Chart](https://ndgov.sharepoint.com/sites/ndit/SitePages/Org-Chart.aspx) | InsITe page with the NDIT organizational chart |  | X |  |
| [NDIT Scrum Teams](https://ndgov.sharepoint.com/sites/ndit/SitePages/Scrum-Teams.aspx) | InsITe page showing the NDIT staff assigned to scrum teams |  | X |  |

## APPENDIX E: Acronyms and Abbreviations

Following are general acronyms and abbreviations you often hear while working on projects.

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Acronym/Abbreviation** | **Meaning** |  | **Acronym/Abbreviation** | **Meaning** |
|  |  |  |  |  |
| BA | Business Analyst |  | SaaS | Software as a Service |
| BAAM | Business Analyst Account Manager |  | SDLC | Software Development Lifecycle |
| CIO | Chief Information Officer |  | SPO | State Procurement Office |
| TBP | Technology Business Partner |  | SITAC | State Information Technology Advisory Committee |
| CSSQ | Cost, Schedule, Scope, Quality |  | SOW | Statement of Work |
| ELM | Enterprise Learning Management (found in PeopleSoft) |  | STAGEnet | State Government Electronic Network |
| ESC | Executive Steering Committee |  | VPN | Virtual Private Network |
| HR | Human Resources |  | WBS | Work Breakdown Structure |
| IT | Information Technology |  | WFS | Workforce Software (NDIT time keeping system) |
| LITC | Legislative Information Technology Committee |  | WMS | Work Management System |
| NDCC | North Dakota Century Code (North Dakota laws) |  |  |  |
| NDIT | North Dakota Information Technology |  |  |  |
| ND VIEW | North Dakota Visualize Integrated Enterprise Work |  |  |  |
| OA | Oversight Analyst |  |  |  |
| OMB | Office of Management and Budget |  |  |  |
| PII | Personally Identifiable Information |  |  |  |
| PIO | Public Information Officer |  |  |  |
| PM | Project Manager |  |  |  |
| PMBOK | Project Management Body of Knowledge |  |  |  |
| PMI | Project Management Institute |  |  |  |
| PMO | Project Management Office |  |  |  |
| PMP | Project Management Professional |  |  |  |
| PPA | Project, Strategic Planning, Business/Process Analysis |  |  |  |
| PPM | Project and Portfolio Management |  |  |  |
| PWA | Project Web App |  |  |  |
| RACI | Responsible, Approve, Contribute, Informed |  |  |  |
| RFI | Request for Information |  |  |  |
| RFP | Request for Proposal |  |  |  |