State of Kansas

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INFORMATION TECHNOLOGY EXECUTIVE COUNCIL

ATTACHMENT A TO ITEC POLICY 2400

**INFORMATION TECHNOLOGY PROJECT
PLANNING GUIDELINES**

IT Project Planning

Information Technology Project Defined
The 1998 Senate Bill (SB) 5 defines an information technology project as a major computer, telecommunications, or other information technology improvement with an estimated cumulative cost of $250,000 or more and any new or used equipment or software for (1) improvements to existing equipment and any computer systems, programs, or software upgrades for it or (2) data, consulting, or other professional services for such a project. Cumulative cost means the total expenditures, from all funding sources, for any information technology project by one or more state entities to meet project objectives from project start through project completion or termination.[1]

Information Technology Planned Projects
Approximately 95% of projects are identified to the CITO by the state entities in the Annual Summary of Agency Three Year IT Management and Budget Plans, which a part of includes current and three years of long-range planning for IT projects, in accordance with K.S.A 75-7210. However, state entities may identify planned projects to the CITO at any time with submission of the Planned Project Template found at https://ebit.ks.gov/kito/it-project-oversight/planned-it-projects. Planned projects are in the conceptual stage and have estimated costs and timeframes. The project estimates identified at this stage are rough estimates and are not yet benchmarked for JCIT reporting. Percentage variances outlined in JCIT policy do not apply. Projects remain as Planned Projects until the state entity decides whether or not to move forward with the project. It is in the state entity's best interest to identify all potential efforts to the CITO which are within 10% the $250,000 threshold and fall under KSA 75-7202 – 75-7212 for oversight, also known as Senate Bill (SB) 5 of 1998, by submitting the Planned Project Template. A written determination is provided to the state entity from the CITO indicating if the effort does, or does not, fall within the law of a CITO reportable project. If the effort is determined to meet the criteria of a CITO reportable project, next steps before moving the project forward are provided. Submission of this template does not constitute project approval. Established procedures should be followed for approval/change to project **plans** as outlined at https://ebit.ks.gov/kito/it-project-oversight/proposed-it-project-plans.

Information Technology Project Plan
SB 5 requires state entities in all branches of government to prepare a project plan for information technology projects when the project has an estimated cost of $250,000 or more.[1,2] **The $250,000 threshold covers all funding _including internal_ cost which may be associated with the project.**[4] The threshold is to be at least $125,000 budgeted/external cost. Internal cost alone will not be used to determine the $250,000 threshold. Internal costs are defined as state government staff associated with a parent task on the Work Breakdown Structure (WBS) at least 50% of the time. After review of the Information Technology Project Plan, the Chief Information Technology Officer may recommend an amount to be included in the project budget to cover the cost of an appropriate level of independent oversight.[3] It is recommended that state entities consult with the CITO anytime anything that could be construed as an enhancement, alteration or addition is discovered that is related to an IT project that was not disclosed in the original CITO approved project plan. Written determination can then be provided to the state entity from the CITO indicating if the effort does, or does not, fall within the definition of a CITO reportable project and establishes there is a positive record of disclosure.

Feasibility Study Report

State entities with projects greater than $1 million will be required to submit a set of documents in addition to the project plan called a Feasibility Study Report. When the cost of completing a Feasibility Study has an estimated cost of $250,000 or more, the Feasibility Study itself will be considered a project and require CITO approval _prior_ to execution of the study. State entities with projects of this magnitude should contact the Enterprise Project Management Office (EPMO) regarding Feasibility Study Reports.

High-Level Project Plan

A high-level IT project plan must receive CITO approval prior to contract award and/or project execution.[4] The high-level plan includes the following items which must be completed prior to the submission of the plan to the CITO for approval:

- ☐ A cover letter signed by the state entity head requesting approval of the high-level project plan,
- ☐ State Entity Checklist for High-Level IT Project Plan [1,2]
- ☐ DA518 Information Technology Request Explanation,
- ☐ DA519 Information Technology Cost-Benefit Statement
- ☐ Work Breakdown Structure (WBS) with major milestones,
- ☐ Risk Identification Summary,
- ☐ Architectural Compliance statement,
- ☐ Ownership of Software Code and Related Intellectual Property Statement
- ☐ Accessibility Statement _and_ approval letter from the State Director of IT Accessibility*
- ☐ Electronic Record Retention Statement _and_ approval letter from the State Archivist**
- ☐ Risk Assessment Analysis (RAM)[3]

*__Note: State Director of IT Accessibility Approval letter required for Accessibility Statement and associated documentation__. See instructions below under _Accessibility Statement - ITEC Policy 1210_ for further explanation of requirements for the __high-level project plan__.

**__Note: State Archivist Approval Letter required for projects involving records with retention periods of 10 or more years.__ For the high-level project plan to be approved by the CITO, it must be accompanied by a letter from the State Archivist indicating that appropriate provisions have been made for these records __in the high-level project plan__, in the system design, and for their ingestion into the Kansas Enterprise Electronic Preservation (KEEP) system.

The sections below provide explanation of these documents. For copies of specific forms and statements, as well as examples, see
https://ebit.ks.gov/kito/it-project-oversight/proposed-it-project-plans.

One _digital_ copy of the project plan is to be submitted to the CITO for your respective branch of government*. The submission should be made at least two (2) to four (4) weeks prior to contract award and/or project execution, based on time the agency may need to address any issues, questions, and/or revisions prior to CITO approval.

When the project plan has received CITO approval, a copy of the approved project plan will be sent to the Division of the Budget, the Joint Committee on Information Technology in care of the Legislative Chief Information Technology Officer, and to the Legislative Research Department. Receipt of the digital copy will facilitate the quick distribution of these copies.

Specifications

Any task order, proposal or RFP specifications related to an approved project shall be submitted for CITO approval. KSA 75-7209 states all specifications for bids or proposals related to an approved information technology project of one or more state entity shall be reviewed by the chief information technology officer of each branch of state government of which the state entity is a part.[1,2,3]

All specifications for bids or proposals related to an approved IT project shall now be approved by the CITO.[4]

If a variance of 10% or more in time or cost to the approved high-level project plan would occur at the time of vendor selection, a revised high-level project plan will be submitted for CITO approval and the CITO's approval shall be received, *prior* to contract award. The CITO will notify JCIT of such events as per their request.

If an award is ***required*** to complete the Detailed Project Plan for CITO approval, contract award may be completed. However, awards are to be made only to those vendors needed to complete the detailed project plan. The detailed project plan should be submitted to the CITO for approval within 45 days of this award.

Detailed Project Plan

The high-level project plan will need to be updated with detailed information and receive final CITO approval. As required by statute and reinforced by the JCIT, the detailed project plan must receive CITO approval *prior* to project execution. https://ebit.ks.gov/kito/it-project-oversight/proposed-it-project-plans. It is recommended that state entities consult with the CITO anytime anything that could be construed as an enhancement, alteration or addition is discovered that is related to an IT project that was not disclosed in the original CITO approved project plan. Written determination can then be provided to the state entity from the CITO indicating if the effort does, or does not, fall within the definition of a CITO reportable project and establishes there is a positive record of disclosure.

Projects with multi-year financing should be divided into subprojects of approximately 12 to 16 months. Subprojects should include deliverables and benefits or gains which can be identified. Subprojects do not necessarily run sequentially, they may be overlapping. CITO approval for the overall intent of the project, along with approval for the first subproject is provided. Updated plans are then provided to the CITO prior to the start of each subsequent subproject for approval.

<u>Detailed Project Plan</u>
The Detailed project plan includes the following items <u>which must be completed prior to the submission of the plan to the CITO for approval</u>:

- ☐ A cover letter signed by the state entity head requesting approval of the detailed project plan
- ☐ State Entity Checklist for Detailed IT Project Plan
- ☐ DA518 Information Technology Request Explanation
- ☐ DA519 Information Technology Cost-Benefit Statement
- ☐ Work Breakdown Structure (WBS)
- ☐ Work Product Identification (WPI)
- ☐ Risk Identification Summary
- ☐ Architecture Statement
- ☐ Security Statement
- ☐ Privacy Statement
- ☐ Accessibility Statement <u>and</u> approval letter from the State Director of IT Accessibility*
- ☐ Electronic Record Retention Statement <u>and</u> approval letter from the State Archivist**
- ☐ Risk Assessment Analysis (RAM)[3]

*Note: State Director of IT Accessibility Approval letter required for Accessibility Statement and associated documentation. See instructions below under *Accessibility Compliance Statement - ITEC Policy 1210* for further explanation of requirements for the **detailed project plan**.

Note: State Archivist Approval Letter for projects involving records with retention periods of 10 or more years. For the detailed project plan to be approved by the CITO, it must be accompanied by a letter from the State Archivist indicating that appropriate provisions have been made for these records **in the detailed project plan, in the system design, and for their ingestion into the Kansas Enterprise Electronic Preservation (KEEP) system.

<u>Subproject Detailed Project Plan</u>
Another set of documents needs to be submitted when requesting approval for each subsequent subproject. At a minimum this includes a cover letter signed by the state entity head requesting project approval, WBS and WPI. Subsequent subproject plans should also include any revisions to documents from the overall project plan.

One *digital* copy of the project plan is to be submitted to the CITO for your respective branch of government*. The submission should be at least two (2) to four (4) weeks prior to contract award and/or project execution based on time the state entity may need to address any issues, questions, and/or revisions prior to CITO approval.

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*Chief Information Technology Officer
Judicial Branch
Office of the Judicial Administrator
Judicial Center

*Chief Information Technology Officer
Legislative Branch
C/o Legislative Administrative Services
State Capitol- Room 443

State Entity Checklist of Proposed IT Project Plan –

High-Level Plan - https://ebit.ks.gov/kito/it-project-oversight/proposed-it-project-plans
Detailed Plan -   https://ebit.ks.gov/kito/it-project-oversight/proposed-it-project-plans

Each proposed project plan should include a completed checklist.

Cover Letter
A cover letter signed by the state entity head to the CITO requesting project approval is to be included with submittal of all proposed project plans.

Information Technology Project Request Explanation - DA518
https://ebit.ks.gov/kito/it-project-oversight/proposed-it-project-plans
An Information Technology Project Request Explanation form (DA518) must be prepared for every project proposed. In proposing information technology projects, state entities should be realistic in assessing the need for a particular project, specifically in relation to financing methods and availability. Following are some of the basic instructions for completing the DA518.

Item 1, enter a brief title of the project and the state entity name. Care should be exercised in the choice of terminology to assure the title clearly reflects the nature and scope of the proposed project, not a stand-alone acronym.
Item 2, enter the priority designation assigned to the project. State entities should assign priority designations irrespective of the fiscal years f or which the projects have been proposed. The highest priority would receive a "1," the next highest a "2," etc.
Item 3, provide the estimated planning start and close-out end date of the project. The estimated planning start date is when the state entity begins its formal planning work. KSA 75-7102 (j) 'Project Start' means the date and time when a state entity begins a formal study of a business process or technology concept to assess the needs of the state entity, determines project feasibility or prepares an information technology project budget estimate under KSA 2000 Supp. 75-7209 and amendments thereto. The estimated close-out end date is when the state entity has completed project close-out activities including by not limited to completion of the Post Implementation Evaluation Report (PIER).
Item 4, provide a description of, and justification for, the project. This should include an analysis of project activities and needs. Explanations should cover the intended uses and improvements to existing information technologies. Please note if the project is in your current Annual Summary of Agency Three Year IT Management and Budget Plans. The detailed project description and justification must contain the following information:

1. An analysis of the programs, activities, needs, and intended uses for the additional or improved information technology.
2. A statement of project scope, including identification of the organizations and individuals to be affected by the project, and a definition of the functionality to be achieved by the project.
3. An analysis of the alternative means by which such information technology needs and uses could be satisfied.
4. Include project goals and objectives. The relationship between project goals and state entity goals should be discussed as well as the goals of the State Information Management (SIM) plan. The justification should cover mandated changes, cost savings, as well as service enhancements. The project justification is a key part of the information technology project plan. The plan will be evaluated based on a number of considerations, such as:
   Data sharing
   Hardware and software sharing
   Design sharing
   Deliverables

You may attach a separate sheet if more space is required.

Has Business Process Modeling been completed during the IT project and business design? (Y/N)
State entities need to update their business processes to stabilize operations, reduce costs, and/or gain efficiencies. No matter what the driver, the key to success is viewing business processes from the customers' perspective – instead of an internal view – and designing process to deliver the greatest value to the customer. Without good processes in place that address customers' needs, Kansas will be at a competitive disadvantage. To accomplish this vision, state entities will use business process improvement and business process management for better government services, integrated government processes, collaboration, and information sharing. The expectation is to apply a customer perspective and engage customers (citizens, businesses and other government entities) in process improvement. A collaborative governance group for business process, representing business managers and IT across the state, will establish models for documenting business processes in the state, and sponsor a clearinghouse regarding those processes, applying a consistent documentation framework and standards.

CITO recommended candidate to the business process modeling group in the government-to-business realm? (Y/N) *This field is protected and will be completed by the CITO during project approval. When a CITO recommendation to this committee is made, the Business Process Modeling Group will contact the state entity Chief Information Officer.*

CITO recommended candidate to the business process modeling group in the government-to-citizen realm? (Y/N) *This field is protected and will be completed by the CITO during project approval. When a CITO recommendation to this committee is made, the Business Process Modeling Group will contact the state entity Chief Information Officer.*

CITO recommended candidate to the business process modeling group in the government-to-government realm? (Y/N) *This field is protected and will be completed by the CITO during project approval. When a CITO recommendation to this committee is made, the Business Process Modeling Group will contact the state entity Chief Information Officer.*

Will national and/or industry data standards be used? (Y/N) *If yes, please specify*.
Information sharing among government entities, branches, and local government is necessary for the achievement of improved services. Having the proper information available, shared, and integrated can lead to cost reduction, time efficiencies, and better decision making in government. Information from multiple sources should be integrated and available for seamless customer use. Information integration leads to enterprise agility. Access to enterprise wide information supports evolution and innovation. Information should be easy to locate, use, and analyze. This goal can be achieved by having standards for state entities to easily share information.

List any collaboration that has taken place in the planning of the IT Project, and/or will take place during Execution of the project. Include tools, methods and best practices used for providing collaboration, user input and continued social networking.
Collaboration includes joint pursuit of common goals, leading to the simplification of processes and maximizing the use of government resources throughout the state. The citizen, business, and local government leaders that participated in the Kansas Strategic Information Management (SIM) Plan outreach effort want to participate in the planning, funding, design, and development of state solutions that affect them. Full partnership and participation are desired, not just focus groups and requirements meetings. Developing solutions in a collaborative environment will take considerable effort and time. State leadership is essential to the encouragement, establishment, preparation, and participation of these collaborative efforts. To accomplish this, there is a need for processes and infrastructure that provide the capability for collaboration. With those processes and infrastructure in place, state entity plans for enterprise-wide collaboration should be developed. Citizen, business and local government engagement is critical.

<u>Item 5</u>, Space is available to report the estimated costs associated with the project. Include these costs by category of expenditure. The cost is for all years through project close-out. Because this area is only a subset of all the estimates included in the annual budget submission, the estimates presented on this form for a given project must be included in the appropriate place within the state entities budget and added into the totals. A new project estimated to cost $250,000 or more would most likely be requested as an enhancement. However, the project could be included in the "current service" budget if offsetting reductions are made in other expenditure categories to stay within the allocation amount determined by the Division of the Budget.
<u>Item 6</u>, Indicate the name, start date, end date, and internal and external cost of each subproject. Internal costs include the direct cost of state government staff. When project costs are reported they should clearly show the costs associated with planning, execution and close-out. Again, provide totals**.** *Planning Start and Close-Out End dates are protected fields which are automatically populated from information entered in Item 3.*
<u>Item 7</u>, This item calls for the amount of financing by funding source. Enter in the appropriate column the amounts necessary to show the total cost of the project by fiscal year. If the project will be financed from sources other than the State General Fund, the amounts should be placed in Columns 2 through 5, with the columns labeled with the proper funding source.

<u>Project costs and dates should be consistent across all plan documents.</u>

Information Technology Cost-Benefit Statement - DA519

An Information Technology Project Request Explanation form (DA519) must be prepared for every project proposed.

This form will assist with the preparation of an information technology project cost benefit statement, as required by SB 5.

Item 1, *Project Title is a protected field which is automatically populated from information entered on the DA518.*
Item 2, *Planning Start and Close-Out End are protected fields which are automatically populated from information entered on the DA518.*
Item 3, *State entity name is a protected field which is automatically populated from information entered on the DA518.*
Item 4, enter project director/manager name.
Item 5, provide an explanation of Qualitative and Quantitative Savings derived as outlined in Item 6. These savings are a method of justifying why your state entity needs to spend money. It is a method of knowing where to invest money to keep your state entity growing. Qualitative and Quantitative Savings should clearly document the savings and benefits from the solution. They are designed to clearly and concisely communicate the value proposition of the proposed solution. Interviewing customers is often used to provide real world validation.

You may attach a separate sheet if more space is required.

Item 6, Qualitative and Quantitative Savings Estimates are detailed with saving estimates description and estimated amounts by State Fiscal Year (SFY).
When figuring soft and hard dollar savings, think about the four categories listed below and the examples of savings.

Cost Avoidance (Soft Dollars)
> Labor Savings - the savings due to expected headcount reduction from implementing the planned project.
>
> Productivity Benefits - the gains in user productivity from implementing a solution, including reductions in system downtime or efficiency gains in performing specific user tasks. Often, productivity benefits are discounted, to account for the fact that not all of the productivity gains will yield a gain in productive work time.
>
> Accessibility Factors - the cost avoidance achieved by initial compliance with accessibility requirements, including the decreased potential for high legal expenses, and forestalling the need for more difficult and expensive post-deployment retrofitting.

Cash Savings (Hard Dollars)
> Capital Expense Reductions - the savings in expenses such as office supplies, printing costs, power or facilities expenses from implementing the planned project.
> Business Benefit - the gains in profit resulting from revenue.

Examples of Savings:

    Testing Labor Avoidance (creating a more stable foundation that eases the testing burden and helps ensure quality)

    Maintenance Labor Avoidance (reduce the maintenance burden, so critical development resources can focus on strategic business issues)

    Deployment Acceleration (enterprise installation done easily through a login script, batch file or third-party software installer)

    Downtime Loss Avoidance (lost productivity)

    Support (saving time and money of help desk resources, eliminating costly technical support calls)

    Accessibility (decreases need for multiple implementations when accessibility enables interoperability with different devices; reduces demand for alternate formats of content, saving production and distribution costs)

    Evolve (components are reusable, portable across platforms and updated to integrate new technologies, saving time, money and resources during application evolution).

<u>Item 7</u>, *Project Costs is a protected field which is automatically populated from information entered on the DA518.* Net Cost Benefit, Cost Benefit per Month and Calendar Months to Break Even are automatically populated based on information entered into the form. The formula used to calculate these figures is found in the bottom left-hand corner of the DA519.

<u>Item 8</u>, enter estimated Ongoing Cost. These are operational/maintenance cost from any source of funds, for three ensuing state fiscal years after the project is complete. If the proposed system contains records with retention periods of ten or more years as approved by the State Records Board, Supreme Court Rule 108, or the Legislature, cost to provide ingestion of these records into the Kansas Electronic Preservation system when the system becomes operational is to be included here. ***(Note: All funds identified for this purpose will be transferred at the start of each fiscal year to the Kansas State Historical Society's Records Management Fund.)***

Project costs and dates should be consistent across all plan documents.

Work Breakdown Structure (WBS) @ 8/80 duration level

https://ebit.ks.gov/kito/it-project-oversight/proposed-it-project-plans

These methods are minimum requirements for developing a Work Breakdown Structure (WBS) (project schedule) to prepare for, manage and control an IT project.

All Planning Phase Team members are responsible for development of the WBS. However, the Project Manager carries primary responsibility in the completion of this document.

The WBS must show activities associated with planning, execution and close-out. An execution start date must be clear to establish when formal execution work begins. This could be announcement of project execution start by a steering committee, award of bid or task order, signing of contracts, purchase of software/hardware, etc. The WBS contains the following columns:

> Task Number (ID): [Work breakdown structure number for the task]
> Task Name: [tasks should be descriptive]
> Duration [shown using less than or equal to 80 hours of duration/elapsed calendar time]
> Work: [planned total person/hours of work effort of all resources for the task] *
> Start: [Date the task begins]
> Finish: [Date the task finishes]
> Dependencies (Predecessors): [A link between tasks. A dependency controls the start or finish of one task relative to the start or finish of another task or tasks.]
> Resource Names: [assigned to the task]
> Milestone: [Significant events that will be reached in the project or imposed upon the project.]

*Note: All work <u>hours</u> shown in this plan must represent work effort (person/hours), not elapsed calendar time and must include hours from all resources including internal staff.

Project costs and dates should be consistent across all plan documents.

Defining Tasks or Activities
Tasks are assignments of work which cumulatively produce the deliverables and accomplish the business goals of a project. WBS tasks are developed by asking, "What tasks need to be done to accomplish the project objective?"

Note that the WBS must specifically include all relevant tasks for achieving accessibility compliance, including any remediation, development, and testing/verification activities.

Task Development
The WBS development process may be started using a facilitated workshop session with the Planning Phase Team. Parent (or high level) tasks are identified during this session.

The next step would be to decompose the Parent tasks and develop Children (detailed level) tasks. This may also be accomplished using a facilitated workshop session with the Planning Phase Team or you may wish to identify work teams and have them develop these detailed tasks outside the meeting. The detailed tasks can then be shared with the entire Planning Phase Team for review and comment.

> Tasks are unique items of work for which responsibility can be assigned.
> Tasks are broken down until accurate estimates of duration, resources and cost can be reasonably made. Parent (or high level) tasks can be identified first. The Parent (or high level) tasks can then be decomposed to develop the associated children tasks.
> Each child task should begin with an action verb.
> If the task is not on the WBS, it should not be worked on unless the WBS is adjusted.

Estimating Task Work Effort, Durations and Resources
The next step to development of the WBS is the estimation of task work effort, duration and resources. It is helpful to complete these three estimations concurrently, as each affects the other.

In developing these estimations be sure to keep in mind the 8/80 Rule. Limit the work to be performed to a short period to facilitate tracking. This period should generally be from 8 to 80 hours of duration/elapsed calendar time. (PMM Ver.2.3 Sec. 3 Pg. 9, Sec. 4 Pg. 7)

The task work effort and duration are rarely overestimated, but are frequently underestimated.

The estimation process is complex because task work effort and duration is affected by numerous variables that must be dealt with concurrently in the planning phase. Some of these variables include staff availability, the skill level of the person assigned to the task, unexpected events, efficiency of work time, and mistakes and misunderstandings during the development of the project plan.

When estimating the duration of a task, reality is a major factor. Estimating should take into account absenteeism, holidays, vacations, meetings, discussions, and interaction among the staff. No one is 100% productive every hour of the workday. If a scheduled task assumes 100% productivity, the schedule rapidly falls apart. Standards currently used consider 6.5 hours as a productive workday.

Identifying Task Dependencies/Predecessors
If tasks are dependent on each other, the task dependencies should be indicated. That is, if one task must be completed before another, then the first is a predecessor to the second, and the second task is a successor to the first. This relationship would be a Finish-to-Start relationship, i.e., the first task must finish before the second task can begin.

Task relationships include:

Finish-to-Start - this task must finish before the second task can begin.
Start-to-Finish - this task must start before the previous one can finish
Start-to-Start - this task must start at the same time as the other task
Finish-to-Finish - this task must finish at the same time as the other task.

Identifying Milestones
Important and significant events are tracked using milestones. Deliverables associated with tasks are also shown in the WBS as 'milestones'. The milestone itself has no work effort and has a duration of zero days. Milestones are usually the result of a series of tasks.

Resource Leveling
It is strongly suggested that the Resource Usage in the Work Breakdown Structure (WBS) (found in Microsoft Project under the View pull down menu) be reviewed. This view displays resources that may be over allocated and in need of leveling.

An over allocated resource has more work assigned than can be done in the resource's available time. Resource leveling is a way to resolve having too much work assigned to the resource.

An example would be a resource who has Max Units of 80%, indicating this resource is only available to the project 80% of the time. This resource consistently works 9 to 13 hours per day. It's not until you level this resource over allocation that this conflict is resolved.

Over allocated resources present a high risk factor to successful completion of the project on time and within budget.

Work Project Identification Form - ITEC PM02-6
 https://ebit.ks.gov/kito/it-project-oversight/proposed-it-project-plans
While the deliverables list is a compilation of information identified in the WBS, it is useful to maintain a separate list since deliverable completion can be a key metric of project progress. Separate tracking of deliverables will help keep the project on track.

Project costs and dates should be consistent across all plan documents.

Risk Identification Summary – ITEC PM02-11a
https://ebit.ks.gov/kito/it-project-oversight/proposed-it-project-plans
The procedure that the team will use to identify and manage project risks is defined in the Project Management Methodology. Risk management deals with the following risk phases: risk identification; risk analysis, quantification and prioritization, risk mitigation planning; and risk response. The Risk Management Plan documents the procedures used to manage risk throughout the project. In addition to documenting the results of the risk identification and analysis phases, it must cover who is responsible for managing various areas of risk, how risks will be tracked throughout the life cycle, how contingency plans will be implemented, and how project resources will be allocated to handle risks. The Risk Identification Summary must identify, at a minimum, the top five risks to the project. It is to include the category, probability, impact, risk and mitigation approaches for each of the top project risks.

Architectural Statement - ITEC Policy 4010 and 9500
https://ebit.ks.gov/itec/resources/policies

High-Level Project Plan. This element in the information technology project plan is a written statement of compliance regarding the products and standards that will be followed for the acquisition and development of equipment, software, communications, and other technologies employed to accomplish the project. If different, attach your written CITA waiver from the ITEC Policies.

Detailed Project Plan. This element in the information technology project plan is a ***listing*** of the products and standards that will be implemented to accomplish the project including a written statement of compliance with ITEC Policy. If different, attach your written CITA waiver from the ITEC Policies.

Ownership of Software Code and Related Intellectual Property - ITEC Policy 1500
https://ebit.ks.gov/itec/resources/policies
This element in the information technology project plan is a written statement of compliance regarding the retention of exclusive ownership of all software code and related intellectual property (as defined in the above policy) you contract for as part of the project. If during contract formation the acquisition does not retain Exclusive Ownership provisions, attach a written CITO approval of the alternative ownership as described in the ITEC Policy. (Please note exceptions in Section 3.0 of the policy.)

Privacy Statement – The Privacy Act of 1974, Health Insurance Portability and Accountability Act 1996 (HIPAA)

https://www.justice.gov/opcl/overview-privacy-act-1974-2015-edition
https://www.hhs.gov/hipaa/index.html

Description of how the project will address data privacy issues. (If privacy issues are not relevant to this project, explain why). Description of privacy issues must address:

1. What information is collected that identifies individuals, organizations or computers?
2. Why the information is collected.
3. How the information will be used.
4. Opportunities for individuals or organizations to have all or part of their attributes excluded from the database.
5. How the privacy provision included in this project help implement the 1974 Privacy Act as interpreted for information technology by the General Accounting Office.
6. If your state entity is subject to other requirements, such as HIPAA, what are the items you are required to comply with?
7. Estimate of the total cost of addressing privacy issues in the project.

Security Statement - ITEC Policies 7230, 7300, 9500

https://ebit.ks.gov/itec/resources/policies

This element in the information project plan is a written statement of compliance regarding security measures, technologies used, and compliance with policy and standards that will be followed in this project. If different, explain.

Accessibility Statement - ITEC Policy 1210

https://ebit.ks.gov/itec/resources/policies

This element in the project plan is a written statement confirming compliance with the accessibility requirements outlined in ITEC Policy 1210. See the following link for requirements:
https://ebit.ks.gov/itec/resources/policies/policy-1210

High-level Project Plan. An Accessibility Statement must accompany the high-level plan. At the high-level stage, the Accessibility Statement must:

1 – Confirm the intention to comply with the accessibility requirements outlined in ITEC Policy 1210. If accessibility standards do not apply, please provide explanation. If the system is not anticipated to comply with the accessibility requirements upon implementation, please provide explanation and attach an exception from the requirements from the State ADA Coordinator.

2 – If project is not provided an exception in Item 1 above, indicate the state entity will incorporate ITEC Policy 1210 in any bid specifications and systems requirements for all products that are procured, provided as a service, or custom built as part of the project; and require documentation of conformance using the Voluntary Product Accessibility Template® (VPAT®), version 2.0 or later, available at https://www.itic.org/policy/accessibility/vpat, including the Web Content Accessibility Guidelines (WCAG) 2.0 Level A, WCAG 2.0 Level AA, and the Revised Section 508 standards. *Note:* If using VPAT Version 2.2 or later, the "508" edition is required.

3 - Include an approval letter from the State Director of IT Accessibility indicating the **high-level plan** is in conformance with these requirements.

Detailed Project Plan. An Accessibility Statement must accompany the detailed project plan. At the detailed stage, the Accessibility Statement must:

1 - If project is not provided an exception as part of high-level project plan approval above, confirm compliance for all products that are procured, provided as a service, or custom-built as part of the project with the accessibility requirements outlined in ITEC Policy 1210. If accessibility standards do not apply, please provide explanation. If the product is not anticipated to be compliant upon initial implementation, please provide explanation and attach an exception from the State ADA Coordinator.

2 – If project is not provided an exception as part of either high-level project plan approval or Item 1 above, include a completed Accessibility Conformance Report produced using VPAT 2.0 (or later) for all products that are procured, provided as a service, or custom built as part of the project. This report must include WCAG 2.0 Level A, WCAG 2.0 Level AA, and Revised Section 508 standards conformance. *Note:* If using VPAT Version 2.2 or later, the "508" edition is required.

3 – If project is not provided an exception as part of either high-level project plan approval or Item 1 above:

   a) If the Accessibility Conformance Report indicates full compliance on all items, the Accessibility Statement should include the identification of the task number(s) in the WBS where verification of overall compliance will occur.

   b) For any Accessibility Conformance Report item where full compliance is not indicated, the Accessibility Statement should identify task number(s) in the WBS where remediation of compliance issues will occur, and the task number(s) that include(s) verification of overall compliance.

4 – Include an approval letter from the State Director of IT Accessibility indicating the **detailed plan** is in conformance with these requirements.

Electronic Record Retention Statement (address each question outlined in KSA 45-403 and KSA 45-215 through 45-223

https://www.kshs.org/p/records-management-and-the-law/11348

Government records are public property and cannot be destroyed without authorization from the State Records Board or through an approved retention and disposition schedule (K.S.A. 45-403) unless specifically exempted, government records are to be kept open for public inspection (K.S.A. 45-215 through 45-223). Electronic information systems present unique records management challenges. The following questions need to be addressed when requesting CITO approval of information technology projects.

1. For each business function supported by the proposed system, what paper records are being replaced and which will continue to exist in both paper and electronic form.
2. What new business functions will be implemented?
3. For each business function identified in 1. and 2. above, what are the legal, regulatory or operational reasons for performing it?
4. What legal, regulatory or operational requirements, including State Records Board approved retention schedules, exist for keeping records related to each business function?

5. Will any of the data necessary to document the business functions either be maintained in another system within the state entity or in a system outside the state entity? If so, please specify.
6. What are the legal, regulatory or operational requirements to providing public access to the records?
7. What are the legal, regulatory or operational requirements for controlling access to the records in order to ensure confidentially?
8. Identify all records with retention periods of ten or more years that will be affected by the project or indicate that the project has no such records involved.
9. Estimate of the three-year total cost of addressing records identified in No. 8 above and included on the DA519, Item #8.

Risk Assessment Model (RAM)

The Risk Assessment Model (RAM) is a tool that assists the CITO and state project managers with quantifying and summarizing information on technology project risks. The model breaks down IT project risk into several categories: Strategic, Financial, Project Management, Technology and Change Management/Operational. A project receives a risk "score" in each category-- the scores are ultimately scaled against a calibrated index to show high, medium and low risk. A summary of the risks is presented graphically in terms of red, amber or green in each risk category, providing a simple yet vivid risk "picture". The objective of such information is to provide the CITO and the project manager with focus areas for risk mitigation. A copy of the summary of the risks is submitted with the IT project plan.[3] For a CD with the RAM application, please contact the EPMO at (785) 368-7161.

Fiscal Note

A copy of fiscal notes related to the project and/or cost associated with the project should be attached with the plan.[4]

<u>Baseline</u>

Upon CITO approval of the Detailed Project Plan, state entities are to baseline the project Work Breakdown Structure (WBS) prior to execution of the project. The baseline is a valuable tool to use as the project progresses which can help the project track the progress and compare this progress to the approved plan. All project plans should be baselined prior to execution.

<u>History</u>
Implemented 10/2000; Rev. 10/2004; Rev. 7/2010; Rev. 12/2010; Rev. 4/2019; Links Updated 2/2021

<u>Footnotes</u>

1 - KSA 75-7201 thru 75-7212 -- https://ebit.ks.gov/itec/resources/statutes

2 - ITEC Policy 2400 -- https://ebit.ks.gov/itec/resources/policies

3 - ITEC Policy 2510 -- https://ebit.ks.gov/itec/resources/policies

4 - JCIT 2004 Recommendations -- https://ebit.ks.gov/kito