Information Technology

Scope & Approach Instructions

Prepared by
Oakland County Department of Information Technology
Project Management Office

April 20, 2018
Introduction

All new IT project requests are initiated by creating a preliminary Scope & Approach document and a corresponding Return on Investment (ROI) Analysis. Requests are typically made during the beginning of the Master Planning period, but can be also be made at other times throughout this two-year period. The project initiation process consists of the following major steps:

1. The Project Sponsor creates the preliminary Scope & Approach and Return on Investment (ROI) Analysis.
2. The Leadership Group reviews these documents, and either approves or denies the request.
3. If approved, the IT Supervisor provides an initial size estimate for the project and refines the Return on Investment (ROI) Analysis.
4. At the next Leadership Group meeting, the Leadership Group reviews the proposal and either approves or denies the request.
5. If approved, the Leadership Group prioritizes the project on the Master Plan.

This process is more thoroughly documented from the Project Sponsor’s perspective in the IT Leadership Group Processes and Procedures.

The first step in the process is for the Project Sponsor to create a preliminary project Scope & Approach and Return on Investment (ROI) Analysis. Examples of Scope & Approach documents can be found within the Project Management Office (PMO) web site, specifically http://www.oakgov.com/pmo/leadership_grp/. Detailed instructions for completing the Return on Investment (ROI) Analysis can be found in the Return on Investment (ROI) Analysis Instructions.doc. You can also contact your IT Supervisor for more information.

Once complete, the Project Sponsor should forward electronic copies of the preliminary Scope & Approach and the Return on Investment (ROI) Analysis to their IT Supervisor. The IT Supervisor will review the documents, and then forward those to the IT PMO at least one week prior to the next scheduled Quarterly Leadership Group meeting. PMO will place copies of the documents within the appropriate Leadership Group specifically http://www.oakgov.com/pmo/leadership_grp/.

The Project Sponsor must also notify all Representatives in their Leadership Group that a new project is being presented for review. All parties attending the Leadership Group meeting are expected to review the Scope & Approach and the Return on Investment (ROI) Analysis and print their own hardcopies prior to the Leadership Group meeting.

If approved by the Leadership Group, the project is forwarded to the IT Supervisor. The Supervisor creates an initial estimate of the project labor, and refines the Return on Investment (ROI) Analysis to include initial cost estimates. These estimates are reviewed at the next Leadership Group meeting. If approved, the project is prioritized on the Master Plan. IT Supervisors can refer to Section 11: Master Planning of the Project Management Handbook for more information about these steps of the process.
IT will work on projects based on Master Plan priority and resource availability. When IT is ready to begin work on a particular project the project is assigned a Project Manager. The Project Manager will revise the Scope & Approach document and the Return on Investment (ROI) Analysis, and prepare a detailed plan for completing the work. This plan is then presented to the IT Steering Committee for approval, and then to the Project Sponsor for his/her approval. Updates on the progress of the project are presented to the Leadership Group at the Quarterly Status Meeting. Once complete, the Scope & Approach and Return on Investment (ROI) are again presented to the Project Sponsor for signoff and the project is closed.

Examples of detailed Scope & Approach documents completed by IT can be found within Clarity. Project Managers can also refer to Section 2: Planning of the Project Management Handbook for more information on detailed project planning, or contact a member of PMO for assistance. Once the Scope & Approach and the detailed project plan are complete the project must be submitted for approval by the IT Steering Committee. Refer to the Project Approval Process in Section 5: Scheduling of the Project Management Handbook for more information.

This document will provide information to assist Project Sponsors in completing a preliminary Scope & Approach, and also to assist Project Managers in completing a detailed Scope & Approach. For information on completing the Return on Investment (ROI) Analysis, please refer to the instructions in the Return on Investment (ROI) Analysis Instructions.doc.

A preliminary Scope & Approach should be created by opening the Scope & Approach Template.doc and saving it as a separate document. Never create a new Scope & Approach from a Scope & Approach from an existing project, as the Scope & Approach template is revised periodically. You want to be certain that you are using the most current copy of the template.

The remaining sections in this document correspond to the sections in the Scope & Approach template. Each section contains a definition and examples, and also indicates who should complete that section (Project Sponsor or Project Manager). The Project Sponsor is only responsible for completing certain sections of the document for the preliminary Scope & Approach. The remaining sections will be completed by the IT Project Manager once IT is ready to begin work on the project.

**Header Table**

The Scope & Approach template begins with a table of information referencing the organizational information about the project. Project Sponsors will complete certain sections of this table; the IT Project Manager will fill in the remaining sections when doing detailed planning.

The Project Sponsor will complete the following sections: Leadership Group, Department, Division, Project Sponsor, Date Requested, Grant Funded, Mandate, and Mandate Source. Also update the Project Rev date in the document footer.

A project is Grant Funded if all or part of the initial development costs are provided by non-county funds.

A Mandated project is defined as any program passed by Federal or State law that requires Oakland County resources to implement. The Mandate Source is the legal entity initiating the mandate (i.e., Federal, State, and Local).

The Project Manager will complete the following sections: PM Customer Number, Request Type, IT Team Name, IT Team Number, Project Manager/Leader, Account Number, Account Description and Customer Name. The Project Manager should also complete the Project Name and Project ID in the document header and the Project Rev date in the document footer.
The Project Manager may need to refer to the following sections of the Project Management Handbook:

<table>
<thead>
<tr>
<th>Section</th>
<th>Value</th>
</tr>
</thead>
<tbody>
<tr>
<td>Appendix A</td>
<td>Project ID (Project ID is the same as the Clarity Project ID), IT Team Names and Numbers</td>
</tr>
<tr>
<td>Appendix G</td>
<td>Definitions of Customer Support, Planned System Maintenance or Upgrade, System Enhancements, and New Development</td>
</tr>
<tr>
<td>Appendix L</td>
<td>Customer Numbers</td>
</tr>
</tbody>
</table>

Also refer to the Customer/Account Number List for information regarding the Account Number, Account Description and Customer Name.

**Project Goal**

The Project Sponsor is responsible for completing the Project Goal statement. Provide a single Project Goal that indicates the end to which efforts of the project are to be directed. The format for the goal statement is as follows:

To *(high level expected achievement goes here)* so that *(high level expected results goes here)*.

For example:

- To develop an automated system of scheduling a Circuit Court Settlement Week so that the docket of cases 18 months or older can be reduced by 50%.
- To provide Friend of the Court with a daily ledger accounting facility so that historical information for each payee may be accumulated, and an audit trail for accruals and adjustments may be provided.
- To develop a standard address definition in County databases so that independent systems can be integrated and enterprise analysis performed.

The Project Manager should review the Project Goal statement and revise it as needed.

**Business Objective(s)**

The Project Sponsor is responsible for providing the Business Objectives. Objectives must be stated in business terms, such as increasing revenue, improving customer satisfaction, reducing errors, cutting costs, or improving control. Objectives should state the reasons for performing the project, not how the objective will be achieved. For example, “to implement a client/server analysis system” is not a valid business objective; it tells us more about the solution than the problem being addressed. On the other hand, “improving the targeting of accounts”, and “increasing productivity”, would be very valid objectives. This kind of clear statement provides for the basis for partnering with IT and for defining the project’s success criteria.

Objectives should be specific, measurable, and verifiable. If possible, they should be stated in terms of deliverable items. For example, the statement “improve customer service so that 95% of responses to the customer satisfaction survey are very satisfied”, is quantifiable, simply stating “improve customer satisfaction” is not. Unquantified objectives involve a higher risk.
Several *Business Objectives* may be entered. *Business Objectives* differ from the *Project Goal* in that the *Project Goal* is the overriding reason for performing the project. *Business Objectives* are a refinement of the *Project Goal* and include a more precise statement of the desired outcome.

**Major Deliverables**

For each *Business Objective*, the *Project Manager* should list the *Major Deliverables* that must be produced in order to meet that *Business Objective*. A *Major Deliverable* is the measurable, tangible, verifiable result of a task. Each task in the project plan should produce a deliverable. A *Major Deliverable* is typically composed of several task-level deliverables, and often corresponds with the completion of a project phase or a key activity. Examples of *Major Deliverables* include a requirements definition document, a system design specification, a test plan, working computer code, and user manuals.

**Approach**

The *Project Manager* should indicate the work activities that must be performed in order to produce the *Major Deliverables*. The *Approach* should roughly correspond to the activities and phases of the project plan.

**Research & Analysis**

The *IT Project Manager* must complete the *Research & Analysis* section for the Gartner Research Recommendation.

**Gartner Research Recommendation**

For the *Gartner Research Recommendation*, a review of any new product, service, process or application must be completed utilizing the Gartner website. Contact your *Supervisor* to request the relevant Gartner research. The Project Manager is responsible for completing the *Gartner recommendation* section as follows:

<table>
<thead>
<tr>
<th>Value</th>
</tr>
</thead>
<tbody>
<tr>
<td>Research Conducted – Nothing Found.</td>
</tr>
<tr>
<td>Research Conducted – See recommendation below (enter short paragraph).</td>
</tr>
<tr>
<td>Research Conducted – See summary recommendation below and detail information attached to the project in Clarity.</td>
</tr>
</tbody>
</table>
Benefits

The Project Sponsor should complete the Benefits sections. All Benefits should be stated in quantitative, measurable terms. Otherwise, it is difficult to determine whether or not the benefit has been realized upon completion of the project. Benefits are categorized as follows:

Return on Investment (ROI) Analysis

A detailed Return on Investment (ROI) Analysis must be completed for each project. The instructions for completing the Return on Investment (ROI) Analysis are in the Return on Investment ROI Analysis Instructions.doc.

Revenue/Cost Recovery

Revenue/Cost Recovery should indicate those benefits that will increase revenue or aid in recovering costs. (E.g., reduce liability for all taxing authorities on interest payments for Michigan tax tribunal refunds by 50%.)

Intangible

See Return on Investment ROI Analysis Instructions.doc.

Improved Service

Improved Service includes the specific streamlining, resulting reduction in effort, or enhancement to an existing service resulting from the project. (E.g., document production will be turned around faster, as clerical staff will not need to locate the document and then generate copies for the public.) It is estimated that the time needed to produce a document will be reduced from 5-15 minutes to less than 2 minutes per document.

Product/Service Accuracy

Product/Service Accuracy refers to the reduction of risk or measurable improvement to a specific product or service resulting from the project. (E.g., incidents of lost, misfiled, or misrouted files will be minimized or eliminated.)

Product/Service Productivity

Product/Service Productivity refers to the measurable increase in the production of a product or service resulting from the project. (E.g., eliminate the process of pulling data from multiple sources for quarterly State reporting.) This can presently take up to 80 hours per quarter.
**Impact**

The *Project Sponsor* is responsible for completing the *Impact* sections as follows:

<table>
<thead>
<tr>
<th>Section</th>
<th>Value</th>
</tr>
</thead>
<tbody>
<tr>
<td>Number of Users</td>
<td>Indicate the number of users directly affected by the project.</td>
</tr>
<tr>
<td>Divisions</td>
<td>List the <em>County Divisions</em> directly affected by the project.</td>
</tr>
<tr>
<td>Leadership Groups</td>
<td>List the <em>Leadership Groups</em> directly affected by the project.</td>
</tr>
</tbody>
</table>

**Risk**

**Business Environment Risk**

The *Project Sponsor* is responsible for completing the *Business Environment Risk* section. Indicate *High*, *Medium*, or *Low* risk, depending on the following criteria:

<table>
<thead>
<tr>
<th>Risk</th>
<th>Criteria</th>
</tr>
</thead>
<tbody>
<tr>
<td>High</td>
<td>Project will dramatically change existing business processes or will negatively effect the business environment if implementation is unsuccessful.</td>
</tr>
<tr>
<td>Medium</td>
<td>Project will require some changes to existing business processes.</td>
</tr>
<tr>
<td>Low</td>
<td>Little or no impact to existing business processes.</td>
</tr>
</tbody>
</table>

**Technical Environment Risk**

The *Project Manager* is responsible for completing the *Technical Environment Risk* section. Indicate *High*, *Medium*, or *Low* risk, depending on the following criteria:

<table>
<thead>
<tr>
<th>Risk</th>
<th>Criteria</th>
</tr>
</thead>
<tbody>
<tr>
<td>High</td>
<td>New or non-standard technology.</td>
</tr>
<tr>
<td>Medium</td>
<td>Previously implemented technologies with new aspects and/or new requirements.</td>
</tr>
<tr>
<td>Low</td>
<td>Proven and previously implemented technologies.</td>
</tr>
</tbody>
</table>
Assumptions

Assumptions are factors important to the success of the project that are believed to be true.

The Project Manager is responsible for completing the Assumptions sections, with the exception of the Funding sub-section. The Project Sponsor should complete the Funding sub-section. Assumptions are categorized as indicated below:

Staffing

Information Technology Staffing (indicate the following):

- Resources will be available for the hours indicated per the attached project plan.
- Resources from other teams (e.g., this is an Application Services project and a DBA is needed) require approval from their Resource Manager. Prior to project approval, all resource assignments must be approved by the Resource Manager.
- A source system expert may be assigned to the project. This is an individual, usually from IT, who is needed on the project for a small amount of time to provide knowledge of an existing computer system. He or she may consult with other team members, review deliverables, etc. However, the source system expert is not typically a full-time resource on the project and is not assigned major work tasks.

Non-Information Technology Staffing (indicate the following):

- Additional staffing will be available as follows:
  Role: Name: Hours per Day:
  Project Sponsor
- Identify the Role, Name, and Hours per Day for each resource needed for the project. Indicate “TBD” as the Name to fill a role if a particular individual is not known at the time the Scope & Approach is created. Prior to project approval, all “TBD” resources must be replaced with a specific resource Name and the Hours per Day indicated.
- The Project Sponsor is the individual who “owns the business need” and stands behind the project. The sponsor understands the project’s mission, knows its status, demands performance, and gives the project total support.
- Other Roles may be added or deleted as needed to indicate the resources required for this particular project.

Facilities

List any assumptions about the Facilities that are needed for this project. For example:

- The IT building has space to accommodate the 4 contractors that will be hired for this project.
- The project staff will have access to the Computer Room for the installation and testing of agents and software.
- Must have access to the kiosk in One-Stop-Shop.
Technical

List any assumptions about the Technical aspects of this project. For example:

- The necessary data exists on mainframe systems and/or tape backup systems.
- Oakland County will configure system security ID’s for the end-user community.
- The Wide-Area Network must be implemented so that Community Corrections staff working at the District Courts can access the system.

Funding

The Project Sponsor should complete this section. List any special source of funding for this project. For example: a specific grant, the Board of Commissioners, existing revenue, new revenue, etc.

In order for the project to be considered 'funded', IT labor funds must be transferred to IT prior to the project starting. Transferring the labor funds to OCIT prior to the project starting will allow IT to hire additional staff for the project without the IT budget going into a deficit.

If there is no special funding, indicate Information Technology as the funding source.

Other

List any additional project assumptions that do not fit into the previous categories in the Other section. For example:

- Data Warehouse Team will provide formal Business Objects training to the end user community.
- Software can be ordered independently of hardware and can be delivered within 14 business days.
- There will be bugs and functionality issues in the vendor-supplied software due to it being a “.0” release and the extensive use of the product by Oakland County compared to the vendor’s existing customer base.

For Mandated projects, the specific source of the Mandate, such as a State or Federal Bill, must be listed in this section.

IT frequently partners with third-party vendors to outsource software development or to implement software packages. If this project involves a third-party vendor, this section must include a description of IT’s responsibilities for the project (e.g., the vendor will be responsible for implementing the software package. IT will be performing data conversion and providing technical support).

Priority

Priority indicates the Leadership Group’s priority of this project in relation to the other projects, planned or in process, by that Leadership Group. The Priority is a number indicating this relationship, with “1” being the highest priority. The Priority of this project can be determined by referencing the most recent copy of the Master Plan Quarterly Status report.
Constraints

The *Project Manager* should complete this section. List any known restrictions that could impact the success of this project. For example:

- Current and prospective legislation that regulates employment of imaging in governmental agencies, laws applicable specifically to *Medical Examiner* and related areas, and current court practices (such as non-acceptance of digital photography as credible evidence) will affect system design and implementation to assure compliance.
- Data may not be available for the entire time period specified to be converted.
- Backfile conversion must occur on-site due to the sensitivity of the documents and the requirement that they always be readily accessible.

Exclusions

The *Exclusions* section will be completed by the *Project Manager*. The purpose of this section is to clarify the work that will *not* be included in this project. For example:

- The purpose of this project is to conduct a feasibility study for a new web site. It does not include the design, development, or implementation of the web site.
- E-filing will be addressed as a separate project.
- The project does not include the implementation of new forms. It covers only the modification of existing forms in light of the new data requirements.

Project Phase Authorization

The *Project Manager* should complete the following sections prior to submitting the document for project approval:

<table>
<thead>
<tr>
<th>Section</th>
<th>Value</th>
</tr>
</thead>
<tbody>
<tr>
<td>Phase(s)</td>
<td>List all phases for which approval is being requested. Do not include any phases marked as preliminary. If approval is being requested for the entire project, indicate ‘All’.</td>
</tr>
<tr>
<td>Total Estimated Application Services / Technical Systems / CLEMIS / Internal Services</td>
<td>Complete the appropriate section for your division. Indicate the Hours as identified in <em>Clarity Open Workbench, Assurance &amp; Compliance</em> folder, Cost Detail by Billing Rate view.</td>
</tr>
</tbody>
</table>

Once the detailed project has been approved by the *IT Steering Committee*, each *IT Division Manager* will sign on the *Division Manager Approval* line. The *Director* or *Deputy Director* will sign on the *IT Management* line.

The *Project Manager* will also present the document to the *Project Sponsor* for signature.

Original signatures are required on the document (*i.e., do not fax the document to any parties for signature*). Once signed the entire *Scope & Approach* document must be filed with *IT Administration*.
Project Summary

If the project has preliminary phases, the Project Manager must complete this section as follows:

<table>
<thead>
<tr>
<th>Section</th>
<th>Value</th>
</tr>
</thead>
<tbody>
<tr>
<td>Authorized Development</td>
<td>Indicate the Hours as identified in Clarity Open Workbench, Assurance &amp; Compliance folder, Project Labor Estimate (include Prelim) view. The Authorized Development Hours should match the sum of the Project Phase Authorization Total Estimated Application Services, Technical Systems, CLEMIS, and/or Internal Services hours.</td>
</tr>
<tr>
<td>Preliminary Estimated Systems Development for Future Phases</td>
<td>The Hours are the difference between the Grand Total and Authorized sections.</td>
</tr>
<tr>
<td>Grand Total Estimated Systems Development</td>
<td>Indicate the Hours and Cost as identified in Clarity Open Workbench, Assurance &amp; Compliance folder, Project Labor Estimate (include Prelim) view.</td>
</tr>
</tbody>
</table>

Project Completion Authorization

Upon project completion, the Project Manager will review the project with the Project Sponsor and present for signature. Then the Project Manager submits a request to PMO to have the project closed. See Section 9: Closing Projects of the Project Management Handbook for more information.