

STATE OF OHIO



DEPARTMENT OF REHABILITATION
AND CORRECTION

SUBJECT: IT Internal & External Project Management Process	PAGE <u>1</u> OF <u>6</u>
	NUMBER: 05-OIT-08
RULE/CODE REFERENCE:	SUPERSEDES: 05-OIT-08 dated 09/20/13
RELATED ACA STANDARDS:	EFFECTIVE DATE: December 14, 2015
	APPROVED: 

I. AUTHORITY

This policy is issued in compliance with Ohio Revised Code 5120.01 which delegates to the Director of the Ohio Department of Rehabilitation and Correction the authority to manage and direct the total operations of the Department and to establish such rules and regulations as the Director prescribes.

II. PURPOSE

The purpose of this policy is to establish a standardized process for managing Ohio Department of Rehabilitation and Correction internal and external information technology (IT) projects.

III. APPLICABILITY

This policy applies to all Ohio Department of Rehabilitation and Correction (DRC) employees and contractors involved with DRC IT projects.

IV. DEFINITIONS

DRC Information Technology Governance Group (ITGG) - The multi-disciplinary leadership group, chaired by the Office of Administration Deputy Director and comprised of DRC executive staff and administrators appointed by the Office of Administration Deputy Director and Bureau of Information Technology Services (BITS), charged with the responsibility of guiding DRC's information technology biennial plan to ensure that information technology system assets are identified, obtained, and utilized in an efficient and effective manner to achieve and sustain DRC's mission and business continuity.

IT Biennial Plan – The written DRC IT plan completed by the Chief of BITS and approved by the ITGG pursuant to Department Policy 05-OIT-19, DRC Information Technology Biennial Planning.

IT Project – An information technology automation undertaking, completed internally by DRC staff and/or externally by contractors, approved by the DRC ITGG that requires a structured effort and specific programming resources to complete, has global impact for DRC and produces a necessary IT product or service in alignment with the DRC IT Biennial Plan.

V. POLICY

It is the policy of the Ohio Department of Rehabilitation and Correction to utilize a standardized process to manage IT projects that are approved by the DRC ITGG and completed internally by DRC staff and/or externally by contractors.

VI. PROCEDURES

- A. A DRC executive staff member has the authority to propose a DRC IT project and must take the following steps when proposing that an IT project be initiated:
1. Complete the IT Project Proposal Form (DRC1843), secure the signature approval from the appropriate Managing Director, Deputy Director, Chief Legal Counsel, Office of Enterprise Development Chief, Office of Human Resources Chief, or Office of Correctional Health Care Chief, and submit the form with any supporting documentation to the IT Project Manager.
 2. The IT Project Manager shall complete a quality assurance review of the IT Project Proposal Form (DRC1843) to ensure complete information is provided. If additional information is needed, the IT Project Manager shall return the form to the project sponsor with a request for revisions. If no additional information is needed, the IT Project Manager shall forward the form with any supporting documentation to the Chief Information Officer of BITS.
- B. Upon receipt of an IT Project Proposal Form (DRC1843), the Chief Information Officer of BITS shall assign the proposed project to the appropriate BITS staff members for completion of a qualitative IT project risk analysis and cost analysis. The risk analysis and cost analysis shall be completed within two (2) weeks and shall be documented on the IT Project Proposal Form (DRC1843). At a minimum, the risk analysis shall include:
1. A list of the possible negative internal and external factors (e.g., conditions, events, situations, circumstances, results, outcomes) that could act as a threat or an obstacle to the successful completion of the proposed project.
 2. A risk rating, expressed as high, medium or low, for each negative internal or external factor identified as being associated with the proposed project.
 3. Cost analysis shall include the estimated amount of programming hours, hardware/equipment requirements, licensing costs, etc.
 4. Upon completion of the risk and cost analysis, the BITS staff member shall send the IT Project Proposal Form (DRC1843) to the IT Project Manager.
- C. The IT Project Manager shall complete an IT Project Priority Matrix (DRC1751) and schedule the project to be presented to the ITGG. Project sponsors shall be notified of the scheduled date and shall present the project to the ITGG for approval.

1. The ITGG members shall vote on the projects presented. ITGG members shall abstain from voting on projects sponsored by their own areas. Projects shall be approved by a majority vote. If a tie occurs, the Office of Administration Deputy Director shall make a final determination.
 2. If the ITGG disapproves the proposed project the IT Project Manager shall inform the staff member who submitted the project in accordance with section A.2 of this policy, the executive staff member, and proposed project sponsor accordingly.
 3. If the ITGG approves the proposed project, the IT Project Priority Matrix (DRC1751) shall also be reviewed and approved by the ITGG. Projects shall be assigned a high, medium, or low priority level.
 4. The ITGG shall maintain a written record of IT project decisions.
- D. The Chief Information Officer of BITS shall assign approved projects for implementation based on their priority level to the appropriate BITS manager, who shall serve as the IT project manager. The Chief Information Officer of BITS shall inform the staff member who approved the project in accordance with section A.2 of this policy, the executive staff member, and project sponsor accordingly. A funding source must be secured prior to the project being initiated. Projects shall be assigned per the below priority levels:
1. High priority level shall be initiated immediately.
 2. Medium priority level shall be assigned and initiated as soon as possible.
 3. Low priority level shall be placed on a project list maintained by the IT Project Manager. Low priority projects shall be initiated chronologically when resources permit.
- The IT Project Manager shall conduct an annual review of the project list to ensure there have been no changes to the approved projects.
- E. The IT project sponsor shall be a DRC executive staff member who shall work in concert with the IT project manager during the course of the project. The sponsor shall provide the IT project manager with the necessary guidance, resources, and assistance to successfully complete the project.
- F. The IT project manager shall be responsible for:
1. Coordinating and completing tasks, activities, and assignments related to the project's initiation, planning, execution and closure.
 2. Serving as a primary liaison with any contractor selected for the project, ensuring that the contractor completes the mandated work tasks and activities, provides all deliverables and meets all requirements pursuant to the project scope, the agreed upon statement of work and the project contract.
 3. Conducting regular project update meetings with the parties involved in the project, to include a contractor if the project is completed externally, to monitor and oversee the completion of project tasks and activities, to resolve project problems, and to ensure that

requirements are met pursuant to the project scope, the agreed upon statement of work, and the project contract.

4. Completing and/or maintaining the required project tracking documentation which includes, but is not limited to:
 - a. A statement of work (SOW) in a format acceptable to the Chief Information Officer of BITS, the project sponsor and any contractor selected for the project.
 - b. Project meeting agendas and attendance sheets.
 - c. Project meeting minutes and written results from Joint Application Design (JAD) sessions, user focus groups, and contractor meetings.
 - d. Financial documents (e.g., Request to Purchase and Equipment Justification Forms, copies of contracts, contractor invoices, etc.).
 - e. A Project Change History Log (DRC2025) that documents both routine and emergency project changes and contains a list of each change, date of change, person requesting the change, a description and purpose of the change, the name of the authority approving the change, and the date the change was implemented.
 - f. Other documentation provided by the contractor, sponsor, or other individuals associated with the project.
 - g. An implementation plan in a format acceptable to the Chief Information Officer of BITS and project sponsor, that shall contain activities, assignments and timeframes pertinent to the testing of new technology, the user acceptance of new technology, the training of users, the rollout of new technology, and integration of the new technology into existing DRC systems .
 - h. A Project Closure Report, if requested by the Chief Information Officer of BITS or project sponsor, that shall contain in a memorandum format:
 - i. Project background information.
 - ii. An assessment of whether the project achieved its goals by producing the specified products, deliverables or benefits within budget and scope and to the quality levels required by the customer.
 - iii. Actions that must be taken to sustain any products, deliverables, or benefits generated by the project.
 - iv. Lessons learned that can be applied to future products.
- G. All contractors selected for DRC IT projects shall be responsible for:
1. Meeting all state contracting procurement requirements established by DRC and the Department of Administrative Services (DAS), including all contracting procurement requirements established by DAS, General Services Division, IT Procurement Services.
 2. Assisting the project manager, when requested, by:
 - a. Co-facilitating JAD sessions and other user meetings to identify user requirements and needs.
 - b. Providing the necessary technical information for the completion of a project SOW.
 - c. Providing the necessary information for completing a project scope.
 - d. Providing the necessary information for completing the project change history log.

- e. Providing the necessary information for completing an implementation plan.
 - f. Providing the necessary information for completing the project closure report.
 - g. Providing other necessary project documentation and information.
 - h. Attending meetings to review project progress and resolve project problems.
3. Adhering to the following DRC IT project standards during the course of the project engagement:
- a. The contractor must assign a project manager, proficient in project management principles, to work in concert with the DRC IT project manager.
 - b. The contractor must utilize an IT project documentation and tracking process and forms that mirrors the DRC IT project documentation and tracking process.
 - c. The contractor must host a software application development, testing and support environment that mirrors DRC's software application development, testing and support environment.
 - d. The contractor must provide DRC with mutually agreed upon over-the-shoulder knowledge transfer, skill development and documentation for the purpose of DRC taking over maintenance and support responsibilities at the conclusion of the DRC – contractor engagement.
 - e. The contractor must complete the mandated work tasks and activities, provide all deliverables and meet all requirements and expectations, pursuant to the project scope, the agreed upon statement of work and the project contract.
 - f. The contractor must cooperate with other contractors and DRC staff assigned to or associated with the project.
 - g. During the course of the project engagement, on reasonable notice and during customary business hours, the contractor must allow DRC to audit the contractor's records and other materials that pertain directly to the project.
 - h. The contractor must acknowledge that DRC has specific deliverable ownership rights, unless DRC explicitly waives said rights prior to the project engagement.
4. The DRC IT project standards mandated in this policy shall be included in all new DRC IT software contracts finalized on or after March 26, 2012. Any IT software project contractor engaged in a contract that was finalized before March 26, 2012 shall be exempt from the provisions of the project standards until such time as DRC and the contractor agree to incorporate the provisions of this policy into a new DRC IT software contact.
- H. When managing, monitoring, or overseeing DRC IT projects, DRC BITS shall be responsible for:
1. Following all state contracting procurement requirements established by DRC and the Department of Administrative Services (DAS), including all contracting procurement requirements established by DAS, General Services Division, IT Procurement Services
 2. Supporting the project manager, sponsor, and contractor with appropriate resources and expertise to ensure successful completion of the project.
 3. Adhering to the following DRC IT project standards not otherwise specified in this policy:

- a. DRC BITS must host a software application development, testing and support environment, separate from any production environment, for all major automated DRC systems.
- b. For internal IT projects, DRC must complete the mandated work tasks and activities, provide all deliverables and meet all requirements and expectations, pursuant to the project scope and the agreed upon statement of work.

Related Department Forms:

IT Project Priority Matrix	DRC1751
IT Project Proposal Form	DRC1843
Project Change History Log	DRC2025