

The Next Generation
in
North Dakota Planning and Operations

Project Plan

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Purpose of the Project Plan

The purpose of the Project Plan is to formalize the vision, scope and project methodology to ensure the most coordinated and comprehensive implementation of the new planning system that incorporates the Strohl Systems software for all planning applications in the State of North Dakota.

Project Overview

Project Genesis

Initial Project Scope

In support of the National Strategy for Homeland Security, Governor Hoeven issued a directive on July 30, 2002, to all State entities to develop a business continuity/disaster recovery plan to ensure the continuity of State government in the event of a manmade or natural disaster. A Continuum of Government (COG) Plan is a comprehensive statement of consistent actions to be taken before, during, and after a disaster.

To assist State agencies and facilities in this effort, Governor Hoeven established the Continuum of Government (COG) Team. The COG Team is currently comprised of representatives from the Office of the Governor, Emergency Management, Highway Patrol, Department of Health, Information Technology Department, Facilities Management Division, and Risk Management Division.

The Risk Management Division of the Office of Management and Budget (OMB) serves as an information resource for State entities in developing their individual Continuum of Operations (COOP) plans and as a clearinghouse for information on the State Continuum of Government Plan.

Introduction of the Strohl Systems Software – Living Disaster Recovery Planning System (LDRPS)

As agencies began to submit their individual COOP plans, it became apparent that no system was currently in place to integrate the vast amount of plan information into a single, coherent, usable State COG plan.

After extensive research and a rigorous evaluation process, the COG Team made the collective decision to purchase a web-enabled, relational database software application from Strohl Systems Group, Inc.

Since 1988, Strohl Systems Group Inc., a privately held company with offices in King of Prussia, Pa. USA and London, has been dedicated solely to the design, development, marketing, and support of business continuity software and services. Strohl Systems' products are used in more than 60 countries by thousands of companies and organizations.

Boundless Implementation and the Ramifications to North Dakota Planning and Operations

After demonstrations by Strohl Systems representatives and the initial training of two COG Team members, the far-reaching application of the recently purchased software was realized.

Through the adaptation of the proven planning and operations methodology of the State Emergency Operations Plan (SEOP) combined with the robust, scalable qualities of the Strohl software, the strengths of both systems will be leveraged to dramatically enhance the current capability by:

- Creating a central repository for all North Dakota plan information;

- Producing integrated plans that identify interdependencies and potential cascading effects;
- Creating a fully-functional and universally-accessible statewide planning and operational tool through the use of a web-based system;
- Reducing or eliminating duplicative planning efforts;
- Standardizing plan structure and lexicon across all jurisdictions;
- Streamlining strategic planning and vulnerability assessments; and,
- Incorporating a comprehensive business impact analysis that spans multiple jurisdictions;

Project Approach

General Strategy

Project implementation at each level of government will be divided into five major project steps:

- Step I: Initiation and Planning – Construct the Project Plan
- Step II: Design the System
 - Develop System Structure and Hierarchy
 - Establish a Common Lexicon
 - Develop and Implement a Comprehensive Security Protocol
 - Develop and Implement a Data Management Protocol
 - Create a Training Philosophy
 - Establish a Pilot Team
- Step III: Pilot Deployment
 - Identify Pilot Agencies
 - Test Security and Data Administration Plan
 - Provide Training to Pilot Agencies
 - Refine the System
- Step IV: Full-scale Implementation
 - Create Training and Implementation Priority List
 - Schedule and Conduct Training
 - Allow Access to End-Users
 - Monitor System Implementation
 - Test and Refine
- Step V: Manage System Evolution
 - Continually refine and adjust evaluation standards
 - Adjust to changing threat environments
 - Adapt to changing capabilities
 - Seek out new planning methods/strategies
 - Incorporate new technology

Project Scope Statement

The scope statement provides a documented basis for making future project decisions and for confirming or developing a common understanding of project scope among stakeholders.

Project Purpose

The purpose of this project is to develop a comprehensive and standardized system for planning and operations in the State of North Dakota.

Consistent with the Governor's Directive and our Vision Statement, the State Continuum of Government (COG) team shall focus its initial efforts on the development and implementation of state agency continuity of operations plans through the use of the Strohl Systems' Living Disaster Recovery Planning System (LDRPS).

These plans, using common terminology, structure, and basic methodology, shall be used in the creation of the North Dakota State Continuum of Government (COG) Plan.

The State COG Plan will formalize response, preparedness, mitigation and recovery measures to ensure the executive, legislative, and judicial branches of state government can function under all circumstances.

Project Objectives and Deliverables

Project Objectives are the quantifiable criteria that must be met for the project to be successful. The Objectives below are organized by Project Steps, and each Objective has a product (Deliverable).

The Deliverables are identified in each Objective by an underline and are numbered according to the Project's Deliverables, which is attached and explained in Appendix IV.

INITIATION & PLANNING: Develop a detailed Project Plan by May 15, 2003.

SYSTEM DESIGN: Develop a comprehensive, compatible and secure system design to ensure all agencies/entities can interface with the system efficiently, effectively and within legal and Homeland Security parameters by June 15, 2003

- By June 1, 2003, develop a system hierarchy and/or structure and also an initial glossary of common terms commonly used and universally understood among the multiple disciplines, agencies and entities in the state.
- By June 8, 2003, draft a comprehensive Security Plan that considers all matters of security concerns (i.e. legal rights to privacy, Homeland Security issues, etc.)
- By June 15, 2003, draft Data Administration Plan that creates policy for database management (i.e. import/export rights, superusers, scheduled HR synchronization, password /user id management, maintenance, installation of new modules and upgrades, etc.)

PILOT IMPLEMENTATION: Upon completion of the initial system design, a system test with a Pilot Team will be conducted.

- By June 15, 2003, begin Pilot Implementation. This step includes identification of the Pilot Team, training of the Pilot Team, implementation of Data and Security plans and adjustment and refinement of the design.

FULL-SCALE IMPLEMENTATION: This step mirrors the Pilot Implementation except that all adjustments and/or refinements from the Pilot Implementation must be completed and implemented. A priority for implementation and training must developed.

- By July 1, 2003 begin Full-Scale Implementation. LDRPS training must be conducted for first set of agencies. Funding must be allocated.

MANAGE SYSTEM EVOLUTION: Inherent in the nature of the system design, continual modification, updating, and evolution is not only expected but highly encouraged. Besides regular system maintenance, new methods and technologies must always be assessed for integration into the existing planning and operations model

- Develop status reports or customize existing LDRPS reports to efficiently monitor agency progress.
- Develop a schedule or forum for status meetings for single and multiple jurisdictions similar to COG Team meetings.
- Identify a “New Technology” Team that continually seeks out new capabilities for potential systems integration into the new model.
- Continue communications with Strohl Systems for system design and implementation feedback. Take part in Strohl Systems User Group meetings held across the United States.

Project Schedule

Strohl Systems Implementation Schedule

May 6 - July 1, 2003

5/15
COG MEETING

Draft Project Plan Issued

- Vision Drafted
 - Scope Drafted
 - Roles Drafted
- (DEM Lead Agency)

5/6
Plan
Assignments
Formulated
and
Issued

- 6/2
- Plan Hierarchy Drafted
 - Common Terms Defined
- (DEM Lead Agency)

6/9
Security Plan Drafted
(ITD Lead Agency)

6/16
Data Administration Plan Drafted
(ITD Lead Agency)

PILOT (System Test) BEGINS

6/16 - 6/27
Identify Problems
Adjust Plan

7/1
FULL
IMPLEMENTATION
BEGINS
FOR
STATE AGENCIES



Outstanding Issue 1

- Training
- Funding
- Agency Priority
- Dates/Availability

Outstanding Issue 2

- Pilot Program (Test)
- Identify Pilot Agencies

Outstanding Issue 3

- Full Implementation
- User Schedule
- Priority of Agencies

Project Cost Estimates

The project's cost estimates are a quantitative assessment of the likely costs of the resources required to complete the project activities. As the system design is completed and the system test is conducted, additional requirements might be identified.

SECTION TO BE PUBLISHED

A complete listing of Strohl Systems Products can be found in Appendix VI.

Project Human Resources

Roles and Responsibilities

Project roles (who is what) and responsibilities (who does what) must be assigned to the appropriate project stakeholders.

Role	Name	Agency/Entity	Responsibilities	Time Commitment
Pilot Team		TBD	Approve Project Plan	
			Approve System Changes	
			Serve as Test Group for	
			Pilot Implementation	
			Provide Feedback on the	
			System Design/Function	
COG Team			Approve Project Scope for	
			Continuum of Government	
			Planning	
			Monitor COG Plan Progress	
			Provide Feedback on the	
			System Design/Function	
			Brief Chief Executives on	
			COG Plan progress	
Project Mgr	Craig Larson	ND DEM	Approve Changes to COG	
			Plan Concepts	
			Draft Project Plan	
			Monitor Progress on	
			Deliverables	
			Maintain Dialogue with	
		Strohl Implementation		
		Team		
System Design				
Data Admin	Larry Lee	ITD	Draft Data Admin Plan:	
Security	Al Veit		Database Management	
Hardware Acq	Duane Schell		Draft Security Plan	
Web Assistance	Eugene Roach		Import / Export Rights	
NT Authentication	Boris Miller		Global Replace / Delete	
	Jenny Witham		SuperUser Status	
			Administrator Rights	
			Legal / Privacy Issues	
			Homeland Security Issues	
Common Terms	Craig Larson	ND DEM	Survey Key Agencies and	

			Develop System Lexicon	
System Structure	Craig Larson	ND DEM	Develop Robust Structure to	
			Ensure All Possible Juris.	
			Can be Served by System	
Budget / Funding	Craig Larson	ND DEM	Research and Submit	
	Wayne Baron	ND DEM	Applications for HS Grants	
Training				
Philosophy	Craig Larson	ND DEM	Fundamentals of Planning	
LDRPS User	Craig Larson	ND DEM	Assist Strohl Technicians	
	Renaë Heller	Risk Mgmt	Assist Strohl Technicians	
Administration	Jo Zschomler	Risk Mgmt	Schedule Training	
			Maintain Student Lists	
			Maintain Student Records	

Project Risks

Risk Management is an iterative process to be applied during the whole life cycle of the project in order to reflect its evolution and to verify the implementation of the risk reduction actions. Risk is made up of two components: (1) The probability that a project will experience an undesired event such as cost overrun, schedule slippage, safety mishap and failure, and (2) The consequence, impact or severity of the undesired event.

Risks for the Next Generation Planning and Operations Project and the actions to be taken are listed below:

Risk Management Register									
Risk ID	Date Raised	Status	Risk Priority	Risk	Risk Probability	Risk Impact	Risk Score	Risk Assign-ment	Risk Response Plan
1	5/12/03	Open	1	System Implementation by initially proposed deadlines of June 15 and July 1	0.95	1.00	0.95	Craig Larson	Brief the Governor and Cabinet on Vision for the Project; Potentially reassess timeline for implementation
2	5/12/03	Open	2	System Integration with PeopleSoft fails or becomes ineffective	0.05	0.75	0.0375	Craig Larson	Develop comprehensive Data Administration Plan to address policy and technical issues/concerns
3									

Risk Score for a Specific Risk			
	<i>Impact (on cost, time, or scope)</i>		
<i>Probability</i>	Low = 0.05	Moderate = 0.20	High 0.80
High = 0.9	0.05	0.18	0.72
Moderate = 0.5	0.03	0.10	0.40
Low = 0.1	0.01	0.02	0.08

Supplementary Management Plans

Overall Change Control Process

The project manager will provide oversight for all potential and actual changes to the Project, particularly to the Project Scope, Schedule or Costs. A 'change' is defined as a variance from the originally defined Project Scope (Scope Statement), Schedule, or Costs. Project Changes are managed through the project Change Control Process:

- The project manager will proactively monitor the following areas on a weekly basis: the project objectives and deliverables defined in the Scope Statement, the Project Schedule, and the Project Costs. In addition, Project Status Reports will be prepared on a monthly basis for the Pilot Team and/or the COG Team.
- Potential changes to the Project Scope, Schedule, or Costs must be identified and reviewed by the project manager. Any subsidiary impacts must also be closely analyzed.
- If changes to the Project Scope, Schedule or Costs must occur, they need to be documented in a Change Control Form (see Appendix II) by the project manager and if necessary (according to the project manager's discretion), approved by the Pilot Team and/or the COG Team.

It is estimated that the stability of the Project Scope is moderate, and significant Scope Changes might occur.

Issue Management Process

A Project Issue is defined as a question or problem that in order to be resolved, a decision must be made by the Pilot Team and/or the COG Team.

Issues are closely related to risks, as they are often the result of an actual occurrence of an anticipated risk event. Therefore, proactive risk management on a project should reduce the number of Project Issues that occur.

If a Project Issue is identified, a Project Issue Form (see Appendix III) should be completed by the project manager and documented in the Issue Log. It is critical to define the 'Actions Necessary for Closure' for each Issue, so that action steps are defined and completed.

Communications Management Plan

The purpose of a Communications Management Plan is to determine and document the information and communications needs of stakeholders. This includes who needs what information and when they will need it. The expected communications for this project are attached below.

Description of Communication	To Whom / Stakeholders involved	Frequency	Facilitator (s)
Pilot Team Meeting	Pilot Team and Key Project Plan Developers.	TBD	Craig Larson
COG Meeting	COG Team and Project Plan Developers	TBD	Jo Zschomler

Project Status Reports	Governor/Cabinet; Pilot and COG Team as applicable	TBD	Craig Larson
Project Status Review Meetings	Project Plan Developers	TBD	Craig Larson
Strohl Systems Implementation Assistance Conference Calls	Project Plan Developers	TBD	Craig Larson Larry Lee
Strohl User Group Meetings	TBD	TBD	Craig Larson

The project manager will manage project communications, with electronic records stored in a folder on the Information Technology Department’s network, and paper records stored in a filing system maintained by the project manager. At the close of the project, electronic documents will be permanently archived to a CD-Rom and filed with the paper documents. The documents will be maintained for the appropriate records retention schedule.

This communications management plan will be modified on an as needed basis to meet the changing communications needs of stakeholders. The project manager will regularly discuss communications needs in the meetings named in the plan.

Quality Management Plan

The purpose of the Quality Management Plan is to determine and document how the project manager will implement processes for project quality control, quality assurance, and quality improvement.

In this project, Quality Control will be performed by monitoring specific project results to determine if they meet the expectations of project stakeholders. This will be managed by the project manager, who will review the completed project deliverables with the Pilot Team and/or COG Team (and others when appropriate)

Quality Assurance will be performed by reviewing quality management activities, namely through quality audits. This is necessary to provide an ongoing effort of reviewing project quality, and to identify areas of Quality Improvement.

Quality Improvement includes taking action to increase the effectiveness and efficiency of the project to provide added benefits to the project stakeholders. In most cases, implementing quality improvements will require preparation of Change Control Forms or taking other appropriate corrective actions.

Staffing Management Plan

The Staffing Management Plan describes when and how human resources will be brought onto and taken off of the project team. In this project, the only dedicated project team members are Craig Larson, the project manager and Larry Lee, System Design Manager.

The role of the project manager is to perform temporary, full-time coordination of System Design and Implementation across state agencies.

The project manager should complete an Agency Needs Analysis to determine the specific needs for System coordination and technical assistance. The project manager should incorporate the results of this analysis with an analysis of resource requirements within the Information Technology Department's Policy and Planning Division, in order to develop a Project Transition Plan.

Risk Management Plan

How risk identification, qualitative and quantitative analysis, response planning, monitoring, and control will be structured and performed during the project life cycle.

Risk Management is the systematic process of identifying, analyzing, and responding to project risk. It includes maximizing the probability and consequences of adverse events to project objectives. Risk Management is a proactive way (not reactive) to deal with potential problems. Risk analysis examines risks "before" they happen and provides an early warning for management.

Risk Management is an iterative process to be applied during the whole life cycle of the project in order to reflect its evolution and to verify the implementation of the risk reduction actions. Risk is made up of two components: (1) The probability that a project will experience an undesired event such as cost overrun, schedule slippage, safety mishap and failure, and (2) The consequence, impact or severity of the undesired event.

The Risk Management Register (shown below) is the primary tool used by the project manager for Project Risk Management.

Risk Management Register									
Risk ID	Date Raised	Status	Risk Priority	Risk	Risk Probability	Risk Impact	Risk Score	Risk Assignment	Risk Response Plan

The following steps should be followed for Risk Management in use with the Risk Management Register:

- Enter identifying information such as the Risk ID, the Date it was raised, the Status of the risk, the Risk Priority, and a description of the risk itself;
- Perform an analysis of each risk including assessing the impact and the probability of each risk, and combining those factors into a Risk Score. The Risk Score is calculated using the following table (source: *A Guide to the Project Management Body Of Knowledge*):

Risk Score for a Specific Risk			
	<i>Impact (on cost, time, or scope)</i>		
Probability	Low = 0.05	Moderate = 0.20	High 0.80
High = 0.9	0.05	0.18	0.72
Moderate = 0.5	0.03	0.10	0.40
Low = 0.1	0.01	0.02	0.08

- Identify responsibility for the risk in the Risk Assignment column, and the individual responsible determines the Agreed Response for the risk that is also entered into the Register. This process ensures that identified risks are properly addressed;
- Perform Risk response planning by developing options and determining actions to enhance opportunities and reduce threats to the project's objectives. The effectiveness of risk response planning will directly determine whether risk increases or decreases for the project.

Appendices

Appendix I - Activity Details

Last Revision Date: N/A

<SECTION TO BE PUBLISHED>

The purpose of this section is to assist with further planning and definition of identified project activities, and to provide historical documentation of those activities. This is accomplished by adding detail to the activities identified in the Project Schedule. These details are often times not available when the Project Plan is first developed, but become clearer as the planned start date approaches for each project activity. Therefore, this section of the Project Plan is continually updated and revised.

It is important to note that if any planning/detailing of activities within this section poses a change to the Project Schedule, proper steps should be taken according to the Schedule Management Plan to ensure change control.

EXAMPLE:

Agency Status Reports

- Collect Agency Status Reports

- Perform reviews of each agency's status to ensure a plan is in place milestones are being met

Appendix II - Project Change Control Form

Project Change Control Form

Change Order No.

Date Received:

Requestor's Name:

Phone No:

This analysis establishes how the request changes would be implemented and if the project time frame, cost, and/or resource assignments would be impacted.

Analysis Comments:

The change request will affect the original project plan's cost as follows:

--

The change request will affect the original project plan's delivery date as follows:

--

The change request will affect the original project plan's resource assignment schedule as follows:

--

I authorize the changes listed in this Change Order to be made.

PRJ. MANAGER SIGNATURE		Date
PROJECT OVERSIGHT COMMITTEE MEMBER SIGNATURE		Date:

Appendix III – Project Issue Form

Project Issue Form

Phase:		Issue Number:
Assigned To:		Initiated By:
Status:		Date Initiated:
Due Date:		Last Updated:

DESCRIPTION

IDENTIFY SPECIFICS (LIST THE FACTS)

ALTERNATIVES AND IMPACTS

RECOMMENDATIONS

ACTION REQUIRED FOR CLOSURE

Appendix IV – Project Deliverables

