

## Project Management Policy/Standard (“Policy/Standard”)

1. **Overview.** This Policy/Standard establishes Project management requirements applicable to Information Technology Projects of Participating Agencies in the State of Iowa, including:
  - 1.1. Requiring the assignment and continued use of Project Managers during the Planning, Execution, and Completion phases of a Project;
  - 1.2. Establishing minimum qualifications for those serving as Project Managers; and
  - 1.3. Defining certain roles, responsibilities, and duties and standards of practice of and for assigned Project Managers.
2. **Purpose.** The purpose of this Policy/Standard is to establish a consistent discipline for the management of IT Projects throughout State government and to ensure successful Project Completion without runaway costs, unclear scope, or schedule overruns.
3. **Scope/Application.** This Policy/Standard applies to all Participating Agencies and any State Personnel of the foregoing. Non-Participating Agencies are encouraged to follow this Policy/Standard and other Enterprise IT Governance Documents. This Policy/Standard shall be deemed to have been adopted by all Participating Agencies. Participating Agencies may adopt Governance Documents augmenting but not diminishing this Policy Standard. In the event of any conflict or inconsistency between this Policy/Standard and a Governance Document adopted by a Participating Agency, this Policy/Standard shall prevail.
4. **Definitions.** Capitalized terms not defined herein shall have the same meaning as the corresponding defined term in the following sources, as may be amended from time to time, in the following priority order: Iowa Code Chapter 8B, Iowa Administrative Code Chapter 129; and the Information Technology Governance Document Taxonomy (“**Taxonomy**”). In addition to any other terms specifically defined herein, the following terms, primarily sourced from the [Project Management Institute](#) (“**PMI**”), are defined as follows:
  - 4.1. “**Approval to Plan**” means a Justification Form that has been approved by the CIO.
  - 4.2. “**Approval to Proceed**” means a Request to Proceed that has been approved by the CIO.
  - 4.3. “**Information Technology Contract(s)**” or “**Contract(s)**” has the same meaning as given it in the Taxonomy.
  - 4.4. “**Information Technology Project(s)**,” “**IT Project(s)**,” or “**Project(s)**” has the same meaning as given it in the Taxonomy.
  - 4.5. “**Project Approval(s)**” or “**Approval(s)**” means any and all necessary approvals or signatures required over the Project Lifecycle as a precondition to proceeding to the next Project phase, including but not limited to an Approval to Plan, Approval to Proceed, or any other approval or signature as may otherwise required by:

- 4.5.1. The CIO or Office;
- 4.5.2. Any applicable IT Subcommittees; or
- 4.5.3. Any applicable laws, rules, or IT Governance Documents.
- 4.6. **“Project Budget”** or **“Budget”** has the same meaning as given it in the Taxonomy.
- 4.7. **“Project Change Approval(s)”** or **“Change Approval(s)”** means a Change Request that has been Approved by the CIO.
- 4.8. **“Project Change(s)”** or **“Change(s)”** means a change to the Scope, Budget, Timeline, Milestones, and/or other deliverables or resources of or related to a Project.
- 4.9. **“Project Change Request(s)”** or **“Change Request(s)”** means a formal request submitted to the CIO/Office for a Change to a Project.
- 4.10. **“Project Charter”** or **“Charter”** means a document signed by the head of the Participating Agency sponsoring the Project which, at a minimum:
  - 4.10.1. Provides express authorization to proceed with a Project;
  - 4.10.2. Designates a Project Manager with the authority to apply organizational resources to Project activities and otherwise carry out and coordinate the successful Completion of the Project;
  - 4.10.3. Describes the anticipated Scope;
  - 4.10.4. Identifies an estimated Budget; and
  - 4.10.5. Identifies initial, estimated key Milestones and Timelines, including an estimated Project Completion date.
- 4.11. **“Project Closeout Report”** or **“Closeout Report”** means a final, formalized report, at a minimum:
  - 4.11.1. Summarizing the Completed Project and comparing the Project as Completed against the Approved Scope, Budget, Timeline, and Milestones, including any previously Approved Changes to any of the foregoing; and
  - 4.11.2. Describing any key lessons learned or issues encountered over the Project Lifecycle.
- 4.12. **“Project Completion,” “Project Closeout,” “Completion,”** or **“Closeout”** means the successful delivery of a Project consistent with the Scope, including any previously Approved Changes thereto. Completion includes any final tasks, steps, documentation, reports, or offboarding completed, generated, or required to officially close a Project, including the submission of the Project Closeout Report to the CIO/Office.

- 4.13. **“Project Execution”** or **“Execution”** means, following the receipt of an Approval to Proceed from the CIO, by way of example only, the:
- 4.13.1. Execution of any Contract(s) or Purchasing Instrument(s) resulting from any procurement processes completed during Project Planning;
  - 4.13.2. Execution of any Purchasing Instruments under any pre-existing Contract(s) vehicles.
  - 4.13.3. In the case where the Project will be accomplished through the deployment of existing State resources available through the Office, in whole or in part, execution of any statement of work or other like document between the Participating Agency and the Office documenting and formalizing the roles, responsibilities, and expectations of the parties.
  - 4.13.4. Directing, managing, performing, and accomplishing of Project work; provisioning of deliverables; and/or provisioning of work performance information.
- 4.14. **“Project Initiation”** or **“Initiation”** means launching the process that can result in the authorization of a new project. Initiation begins at the idea/conception stage.
- 4.15. **“Project Justification Form(s)”** or **“Justification Form(s)”** means a formal request for approval submitted to the CIO/Office at the beginning towards the end of Project Initiation, but before Project Planning, outlining the business need for a proposed Project.
- 4.16. **“Project Life Cycle”** or **“Life Cycle”** means the entire series of phases that a Project passes through from Initiation through Completion/Closeout.
- 4.17. **“Project Manager”** means a designated individual who is responsible for leading and managing a Project from Planning through Completion/Closeout. This individual is designated in the Charter.
- 4.18. **“Project Milestone(s)”** or **“Milestone(s)”** has the same meaning as given it in the Taxonomy.
- 4.19. **“Project Planning”** or **“Planning”** means, following the receipt of an Approval to Plan from the CIO, the process of:
- 4.19.1. Drafting and executing a Charter;
  - 4.19.2. Identifying, defining, estimating, and documenting the anticipated Scope, Budget, Timeline, Milestones and other goals, objectives, tasks, deliverables and risks associated with or required to successfully Complete a proposed Project;
  - 4.19.3. Identifying and documenting any procurement processes that may need to be followed or pre-existing Contract(s) vehicles that may be utilized to successfully Complete a proposed Project;

- 4.19.4. Conducting any procurement processes and drafting any resulting Contracts and/or Purchasing Instruments that may need be executed;
- 4.19.5. Drafting any Purchasing Instruments under any pre-existing Contract(s) vehicles that may need to be executed;
- 4.19.6. In the case where the Project will be accomplished through the deployment of existing State resources available through the Office, in whole or in part, drafting of any statement of work or other like document between the Participating Agency and the Office documenting and formalizing the roles, responsibilities, and expectations of the parties.
- 4.19.7. Securing any other Approvals required prior to Execution.
- 4.20. **“Project Scope”** or **“Scope”** has the same meaning as given it in the Taxonomy.
- 4.21. **“Project Status Report(s)”** or **“Status Report(s)”** means a regular, formalized report summarizing the Project progress/status against the Approved Scope, Budget, Timeline, and Milestones, including any previously Approved Changes any of the foregoing.
- 4.22. **“Project Timeline(s)”** or **“Timeline”** has the same meaning as given it in the Taxonomy.
- 4.23. **“Purchasing Instrument(s)”** has the same meaning as given it in the Taxonomy.
- 4.24. **“Request(s) to Proceed”** means a formal request for approval submitted to the CIO/Office towards the end of Project Planning, but before Project Execution:
  - 4.24.1. Describing the Project’s final documented Scope, Budget, Timelines, and Milestones and a summary of any Changes; and
  - 4.24.2. Which request must be accompanied by:
    - 4.24.2.1. Any applicable Contracts and/or corresponding Purchasing Instruments that are ready for countersignature following the CIO’s Approval;
    - 4.24.2.2. In the case where the Project will be accomplished through the deployment of existing State resources available through the Office, in whole or in part, a statement of work or other lik document between the Participating Agency and the Office documenting and formalizing the roles, responsibilities, and expectations of the parties.

**5. Enterprise Project Management Policy (“Policy”).** It is the policy of the State of Iowa that, regardless of the estimated Project Budget, Participating Agencies conducting an IT Project shall deploy a Project Manager during the Planning, Execution, and Completion phases of a Project, and in accordance with the Enterprise Project Management Standard set forth below.

## 6. Enterprise Project Management Standard (“Standard”).

### 6.1. *Who may serve/experience.*

6.1.1. Who may serve. To the extent consistent with the requirements of Section 6.1.2 (Experience), below, and other applicable laws, rules, regulations, and IT Governance Documents, a Project Manager may be any of the following:

- 6.1.1.1. Existing State Personnel employed by a Participating Agency;
- 6.1.1.2. Newly hired State Personnel employed by Participating Agency;
- 6.1.1.3. State Personnel made available by and through the OCIO Project Management Division; or
- 6.1.1.4. Vendor Contractors or Vendor Personnel.

6.1.2. Experience. All Participating Agencies conducting a Project shall assign a Project Manager during Project Planning, and continue the use of Project Manager through Project Completion or until a Project is otherwise terminated, with the following experience in accordance with the following dollar thresholds:

- 6.1.2.1. All Participating Agencies conducting a Project with an estimated project value of less than or equal to \$100,000 shall assign a Project Manager. No specific prior or formal experience is required for a Project with this estimated value, but a designated point of contact responsible for the coordination and Completion of the Project is essential to a Project’s success.
- 6.1.2.2. All Participating Agencies conducting a Project with an estimated Project value of over \$100,000 shall assign a Project Manager who can demonstrate **either**:
  - 6.1.2.2.1. Past experience managing at least one Project of similar size, scale, and complexity; **or**
  - 6.1.2.2.2. Formal Project management training.
- 6.1.2.3. All Participating Agencies conducting a Project with an estimated Project value of over \$500,000 shall assign a Project Manager who can demonstrate **both**:
  - 6.1.2.3.1. Past experience managing at least one Project of similar size, scale and complexity; **and**
  - 6.1.2.3.2. Formal Project management training.

6.2. *Project Manager’s roles, responsibilities, and duties and standards of practice.* Each Participating Agency shall require as a condition of employment/assignment that the assigned Project Manager be responsible for defining, describing, documenting, planning, monitoring, coordinating, and managing appropriate aspects of the following during the Planning, Execution, and Completion phases of a Project:

6.2.1. Project Planning. The Project Manager shall be responsible for facilitating and coordinating Planning activities and assisting in the preparation of necessary documentation during the Planning phase. This includes, but is not limited to, in coordination with appropriate State Personnel from the Participating Agency and/or other stakeholders of the Project, and, to the extent appropriate, other Governmental Entities responsible for overseeing/managing State procurement/contracting/project management processes:

6.2.1.1. Scope, Budget, Timelines, and Milestones. Identifying, defining, describing, estimating, and documenting, as applicable, the anticipated Scope, Budget, Timeline, Milestones and other goals, objectives, tasks, deliverables and risks associated with or required to successfully Complete a proposed Project, in accordance with the following:

6.2.1.1.1. **Scope**. In identifying, defining, describing, and documenting the Scope, the Project Manager shall make reasonable efforts to ensure that the Scope includes all the work required, **and only the work required**, to successfully Complete the Project.

6.2.1.1.2. **Budget**. In estimating and documenting the Project Budget, the Project Manager shall, in coordination with appropriate State Personnel from the Participating Agency and/or other Project stakeholders, forecast and document all reasonable anticipated costs and expenses expected to be incurred over the entire Project Life Cycle.

6.2.1.1.3. **Timelines/Milestones**.

6.2.1.1.3.1. In identifying and documenting estimated Project Timelines and Project Milestones, the Project Manager shall, in coordination with appropriate State Personnel from the Participating Agency and/or other stakeholders of the Project, work to identify desired, yet reasonably achievable, Project Timelines and Milestones.

6.2.1.1.3.2. In identifying and documenting estimated Project Timelines and Project Milestones, the Project Manager shall ensure the Project

has both an estimated beginning and end date.

6.2.1.2. Project Charter.

6.2.1.2.1. Assisting in the drafting and facilitating the execution of a Project Charter by the head of the Participating Agency; and

6.2.1.2.2. Submitting, answering questions and supplying follow-up information, and defending the Project Charter to the Projects and Investments Subcommittee in the course of obtaining an Approval to Proceed from the CIO in accordance with and as required by the Information Technology Project Governance IT Governance Process.

6.2.1.3. Procurement/Sourcing Processes. Identifying, assisting, and coordinating in the performance, negotiation, and drafting of or related to any necessary, as applicable:

6.2.1.3.1. Procurement processes and resulting Contracts and/or Purchasing Instruments that may need be executed;

6.2.1.3.2. Purchasing Instruments under any pre-existing Contract(s) vehicles;

6.2.1.3.3. In the case where the Project will be accomplished through the deployment of existing State resources available through the Office, in whole or in part, any statement(s) of work or other like document(s) between the Participating Agency and the Office documenting and formalizing the roles, responsibilities, and expectations of the parties.

6.2.1.4. Request to Proceed.

6.2.1.4.1. Assisting in the drafting and finalization of a Request to Proceed; and

6.2.1.4.2. Submitting, answering questions and supplying follow-up information, and defending the Request to Proceed to the Projects and Investments Subcommittee in the course of obtaining an Approval to Proceed from the CIO in accordance with and as required by the Information Technology Project Governance IT Governance Process.

6.2.1.4.3. Supplying to the Projects and Investments Subcommittee in connection with a Request to Proceed:

6.2.1.4.3.1. Contracts and/or corresponding Purchasing Instruments that are ready for countersignature following the CIO's Approval;

6.2.1.4.3.2. In the case where the Project will be accomplished through the deployment of existing State resources available through the Office, in whole or in part, a statement(s) of work or other like document(s) between the Participating Agency and the Office documenting and formalizing the roles, responsibilities, and expectations of the parties.

6.2.2. Project Execution. The Project Manager shall be responsible for facilitating and coordinating Execution activities and assisting in the preparation of necessary documentation during the Execution phase. This includes, but is not limited to, in coordination with appropriate State Personnel from the Participating Agency and/or other stakeholders of the Project, and, to the extent appropriate, other Governmental Entities responsible for overseeing/managing State procurement/contracting/project management processes:

6.2.2.1. Procurement/Sourcing Processes. Coordinating and facilitating the execution of any necessary:

6.2.2.1.1. Contracts and/or corresponding Purchasing Instruments that are ready for countersignature following the CIO's Approval;

6.2.2.1.2. In the case where the Project will be accomplished through the deployment of existing State resources available through the Office, in whole or in part, a statement(s) of work or other like document(s) between the Participating Agency and the Office documenting and formalizing the roles, responsibilities, and expectations of the parties.

6.2.2.2. Scope, Budget, Timelines, and Milestones. Tracking and documenting:

6.2.2.2.1. **Scope.** All work completed against the previously Approved Scope.



- 6.2.2.2.2. **Budget.** The actual costs incurred against the previously Approved Budget.
- 6.2.2.2.3. **Timelines/Milestones.** All work completed against the previously Approved Timelines and Milestones in accordance with applicable contract terms, conditions, and procedures, including but not limited to those related to the testing or acceptance of any deliverables;
- 6.2.2.3. Project Changes. Actively managing, monitor, and documenting all Changes and, with respect to such Changes:
  - 6.2.2.3.1. Assisting in the drafting and finalization of Project Change Requests;
  - 6.2.2.3.2. Submitting, answering questions and supplying follow-up information, and defending Project Change Requests to the Projects and Investments Subcommittee in the course of obtaining a Change Approval from the CIO in accordance with and as required by the Information Technology Project Governance IT Governance Process;
  - 6.2.2.3.3. Supplying to the Projects and Investments Subcommittee in connection with a Change Request:
    - 6.2.2.3.3.1. Proposed Contract amendments, and/or proposed new Purchasing Instruments, amendments to previously executed Purchasing Instruments, or change orders, as applicable, that are ready for countersignature following the CIO's Approval;
    - 6.2.2.3.3.2. In the case where the Project will be accomplished through the deployment of existing State resources available through the Office, in whole or in part, proposed new statement(s) of work, amendments to statement(s) of work, change orders, or other like documents documenting and formalizing the roles, responsibilities, and expectations of the parties in light of the proposed Change.

6.2.2.4. Performance. Otherwise monitoring, coordinating, facilitating, or directing the performance of Project Work, including but not limited to:

6.2.2.4.1. Escalating any issues that may substantially impair the Project's success to appropriate State Personnel from the Participating Agency and/or other stakeholders of the Project, and, to the extent appropriate, other Governmental Entities responsible for overseeing/managing State procurement/contracting/project management processes;

6.2.2.4.2. Ensuring applicable Contract or statement(s) of work terms, conditions, and procedures are followed.

6.2.3. Project Status Reports. The Project Manager shall be responsible for drafting and submitting Project Status Reports to the Projects and Investments Subcommittee during both the Planning and Execution phases in accordance with and as required by the Information Technology Project Governance IT Governance Process.

6.2.4. Project Closeout. The Project Manager shall be responsible for facilitating and coordinating Closeout activities and assisting in the preparation of necessary documentation during the Closeout phase. This includes, but is not limited to, in coordination with appropriate State Personnel from the Participating Agency and/or other stakeholders of the Project, and, to the extent appropriate, other Governmental Entities responsible for overseeing/managing State procurement/contracting/project management processes:

6.2.4.1. Project Closure Report. Drafting and submitting a Closeout Report to the Projects and Investments Subcommittee in accordance with and as required by the Information Technology Project Governance IT Governance Process.

6.2.4.2. Ensuring all applicable contract or statement(s) of work terms, conditions, and procedures are completed, including but not limited to those related to the testing or acceptance of any deliverables;

6.2.4.3. Meeting with appropriate State Personnel from the Participating Agency and/or other stakeholders of the Project to discuss the overall successes or failures.

7. **Vendors/Contractors**. Participating Agencies deploying Vendor Contractors or Vendor Personnel as a Project Manager for a Project shall make compliance with this IT Governance Document contractual obligations of such Vendor Contractors or Vendor Personnel.

8. **Amendment.** This IT Governance Document shall be reviewed at least every two (2) years and amended as needed. This IT Governance Document may be amended in the sole discretion of the CIO, taking into consideration the advice and input of the TLG and its various Subcommittees.
9. **Enforcement.** This IT Governance Document shall be enforced pursuant to Iowa Administrative Code rules 11— 25.11 and 11—117.11 and Iowa Code sections 8B.21(1)(d), (f), and (h), 8B.23(1), 8B.23, and 8B.24(1), as applicable. Upon a finding of a violation of or noncompliance with this IT Governance Document, the Office may, by way of example only:
  - 9.1. Bar or otherwise limit a Participating Agency’s use of Contracts entered into by the office;
  - 9.2. Remove or bar State Personnel of a Participating Agency from participating on IT Governance Subcommittees, work groups, or task forces established, organized, or managed by the Office;
  - 9.3. Report such violations or noncompliance to the department of management, office of the governor, or auditor of state;
  - 9.4. Recover administrative fees commensurate with any increased fees incurred by the Office or other Participating Agencies as a result of the violation or noncompliance.
10. **Waiver/Variance.** Iowa Administrative Code rules 11—25.11(2) and 11—117.11(3) and Iowa Code section 8B.21(5) provide for variances\waivers from IT Governance Documents. Requests for a waiver/variance from any of the requirements of this IT Governance Document shall be submitted in writing to the Office in accordance with the requirements of those statutes and rules, as applicable.
11. **Dispute resolution.** If a dispute arises between the Office and a Participating Agency as it relates to compliance with or the administration or enforcement of this IT Governance Document, such dispute shall be resolved as provided by Iowa Code section 679A.19.

**IN WITNESS WHEREOF**, the CIO has caused the CIO’s duly authorized representative to execute this IT Governance Document, which is effective as of the date of signature below.

Chief Information Officer  
State of Iowa