



# Department of Transportation

***Project Name***

***Scope Management Plan***

***Project ID:***

Division, Program Name

Prepared by:

Date:

## Template Revision History

REVISION HISTORY			
REVISION #	DATE OF RELEASE	OWNER	SUMMARY OF CHANGES
1.0	8/2009	ETID - PMO	Initial Release of Caltrans Scope Management Plan template

Remove template revision history and insert Scope Management Plan revision history.

## Template Revision Approvals

NAME	ROLE	DATE

Insert Project Approvals here.

## Template Instructions:

This template is color coded to differentiate between boilerplate language, instructions, sample language, and hyperlinks. In consideration of those reviewing a black and white hard copy of this document, we have also differentiated these sections of the document using various fonts and styles. The details are described below. **Please remove the template instructions when the document is finalized.**

Standard boilerplate language has been developed for this management plan. This language is identified in black Arial font and will not be modified without the prior approval of the Enterprise Technology Investment Division (ETID) Project Management Office (PMO). If the project has identified a business need to modify the standard boilerplate language, the request must be communicated to the PMO for review.

Instructions for using this template are provided in blue Times New Roman font and describe general information for completing this management plan. All blue text should be removed from the final version of this plan.

*Sample language is identified in red italic Arial font. This language provides suggestions for completing specific sections. All red text should be replaced with project-specific information and the font color replaced with black text.*

Hyperlinks are annotated in purple underlined Arial text and can be accessed by following the on-screen instructions. To return to the original document after accessing a hyperlink, click on the back arrow in your browser's toolbar. The "File Download" dialog box will open. Click on "Open" to return to this document.

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## 1. INTRODUCTION

### 1.1 Purpose

The purpose of the Scope Management Plan is to ensure that the project is composed of all the work required, and only the work required, to successfully complete the project. It is the blueprint for how the project's scope will be defined, developed, verified and controlled. The Scope Management Plan documents the scope management approach; roles and responsibilities pertaining to project scope, further defines those who will be responsible for managing project scope and serves as a guide for actually managing and controlling project scope. Project Scope Management consists of the following processes:

### 1.2 Scope Management Planning

Reviewing <Project Name> objectives and requirements needed to achieve them is one of the first steps in formulating a scope management plan. Key inputs such as the project charter, stakeholder register, preliminary scope statements, and other project planning and procurement documents become the foundation of scope elements. Scope elements whether they concern themselves with work composition, products, people or processes come together in enough detail to characterize and establish the project's scope. The documentation of scope elements serves as input to defining the project scope and creating the project scope statement.

### 1.3 Scope Management Approach

The approach to managing the project's scope should be clearly defined and documented. The scope management approach outlines:

- Who has responsibility for scope management.
- Who authorizes and approves the project's scope content and changes to it.
- How the scope is designed (i.e. Project Charter, Stakeholder Register, Preliminary Scope Statements, WBS Elements, WBS Dictionary, Statements of Work.)
- How project scope is measured and verified (Work Performance Measurements, Scope Baselines, Deliverable Checklists, WBS Elements completed.)
- Who is responsible for final deliverable acceptance and scope verification.

For the <Project Name>, scope management is the sole responsibility of the Lead Change Manager (Project Manager.) The scope of this project is defined by:

List scope elements such as,

- Scope Statement
- Work Breakdown Structure
- Work Breakdown Structure Dictionary

- Project Charter
- Stakeholder Register
- Statements of Work.
- Other Project Planning and Procurement Documents

The Project Sponsor, Project Manager, and stakeholders are responsible for establishing and approving documents for project scope measurement, this would include deliverable quality checklists and any work performance measurements. As the project moves through its lifecycle and planned scope becomes completed project objectives, managers and stakeholders must know what is being accomplished in relation to expended resources and meeting stakeholder expectations.

List what documents, checklists, status reports and other tools will be used to perform project scope measurement. Determine how the completion of scope objectives will be assessed and tracked.

Any proposed change in scope can be compared to the project scope as defined in the WBS Dictionary and the project's statement of work. This comparison step performed by the Project Manager and Project Team helps ensure that only work described in the project's original scope is completed. If changes to project scope are absolutely necessary a formal change management process is followed. ([Link to the project Change Management Plan](#))

## 1.4 Scope Definition

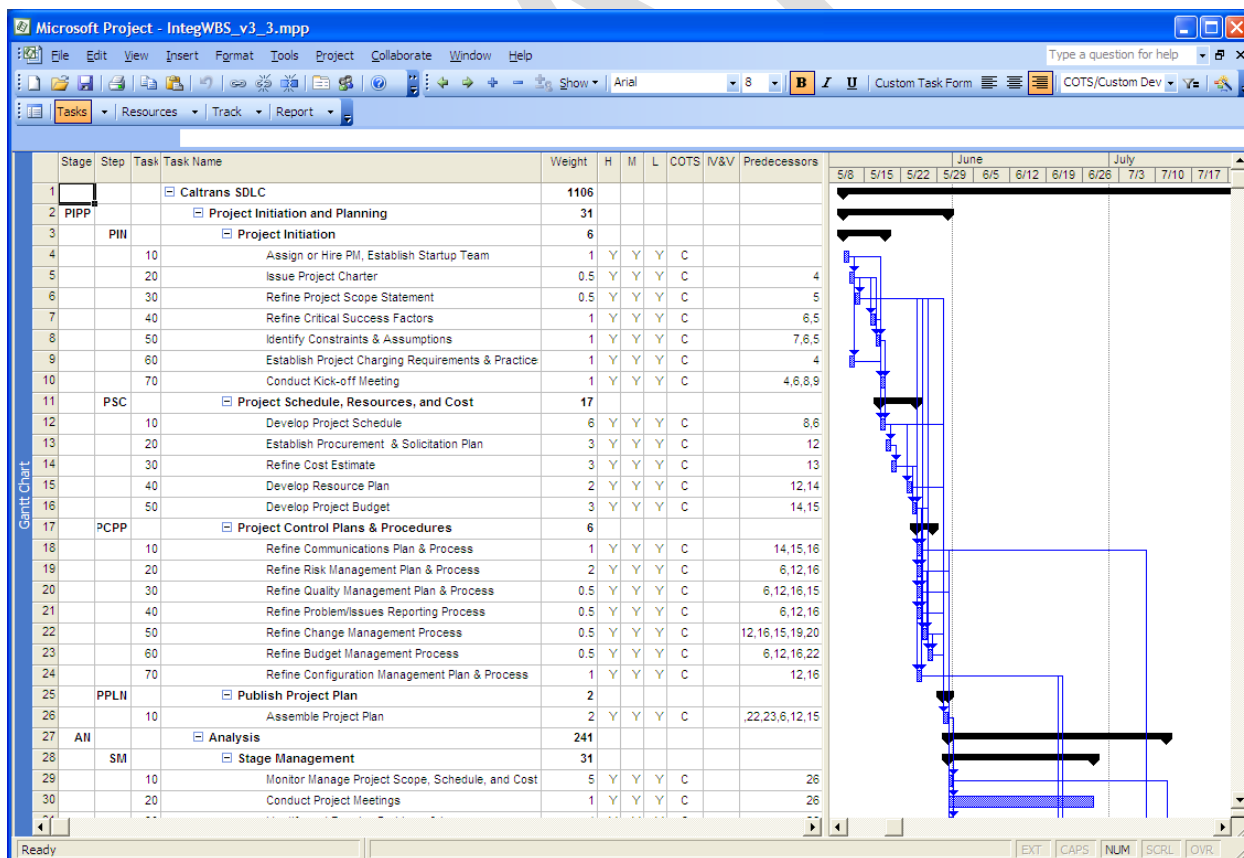
Scope definition details the process for developing the project's scope statement. The scope statement includes constraints, assumptions, exclusions, deliverables and acceptance criteria. It also details what related or implied work will not be performed as part of the defined project. The scope definition process starts with reviewing key project documents such as procurement scope statements, work breakdown structure, the Project Charter, Stakeholder Register, and Preliminary Scope Statements for identifying scope elements. Project scope must be communicated with the Project Sponsor and key stakeholders so there is a common understanding about what the project will or will not address. As time progresses the project's scope becomes clearer, more specifically defined through the elaboration of comprehensive requirements, input from subject matter experts, technical support, business applications, and accepted scope changes. The project's base lined scope should answer the project's requirements.

Include the <Project Name> Scope Statement in this section. Identify any work that is related or implied that is out of scope.

## 1.5 Work Breakdown Structure Creation

The Work Breakdown Structure (WBS) and its corresponding Dictionary are integral components of effective scope management. A WBS is a hierarchical decomposition of work, typically deliverable oriented, subdivided into individual work packages with corresponding product deliverables and project management deliverables. Its purpose is to allow the Project Manager to more effectively manage the project's scope while presenting project work in terms of small packages to facilitate stakeholder understanding of the tasks that must be done to complete the project. Work packages are defined as "bundles of tasks and activities" not exceeding 40 hours and not less than 4 hours in duration. The WBS process is iterative and stakeholders must agree on what level is required to successfully complete the project. Most Information Technology projects can be successfully completed by decomposing work to three or four levels such as Stage, Step, Task and Sub-task. The creation of the WBS should come from those who will be responsible for completing the work. Once work packages are adequately defined they become the basis for developing schedules, estimating resources and work sequencing. The WBS is incorporated into the project schedule. Caltrans uses the Microsoft Project 2007 scheduling tool.

For example:



To help clearly define project work the WBS Dictionary is created. The WBS Dictionary has an entry for each WBS work component. It includes detailed descriptions of WBS element, deliverables, and resource requirements. The scope baseline is composed of the approved project scope statement, the WBS and WBS Dictionary.

### Sample WBS Dictionary

<Project Name>					Project Number 2660-XXX	
WBS Level	WBS Code	WBS Element Name	Description of Work	Deliverable(s)	Committed Resources	Comments

## 1.6 Scope Verification/Validation

Scope verification is the process of determining how deliverables will be compared to the original project scope and how they will be formally accepted. Project deliverables should be verified to project scope and formally accepted by the appropriate stakeholders throughout the life of the project. As the project progresses, the Project Manager must verify that interim deliverables correspond to deliverables originally specified in the project's scope statement, the WBS and/or the WBS Dictionary. After the Project Manager verifies that the project's scope is in align with all the requirements in the project plan and has been met; deliverables can be formally accepted. Acceptance and approval of deliverables, as well as validation that the deliverables are correct and the project's scope has been met, will be evidenced by signing a deliverable acceptance document.

### Sample Deliverable Verification Matrix

<Project Name>					Project Number 2660-XXX	
WBS Level	WBS Code	WBS Element Name	Planned Deliverable	Deliverable Submitted	Variance	Comments


## 1.7 Scope Control

The process of Scope Control involves monitoring scope elements and drivers over the course of the project for possible changes that can impact approved project scope baselines. The Project Manager and Project Team are responsible for monitoring and addressing any unplanned impacts to scope and must resolve scope change issues before they become critical. It is for this reason that scope elements and drivers should be reviewed regularly.

Proposed changes in project scope may be initiated by the Project Sponsor, Project Manager, team members and other stakeholders by completing Project Change Requests (PCRs.) Completed Project Change Requests must be submitted to the Project Manager who will evaluate the scope change request. Any change being considered must be analyzed for impacts the scope change may have on the project's triple constraints. Risk factors must be identified and presented to stakeholders affected. An un-rejected PCR will go to the Project Steering Committee and possibly the Information Technology Governance Board for further consideration. Upon approval all project documents will be updated to reflect the change and the change will be communicated to all stakeholders.

See the project Change Management Plan for information on the project's change management process and instructions on completing and submitting a Project Change Request. (Link to the project Change Management Plan)

## 1.8 References

### 1.8.1 External References

PMBOK Guide, 3rd Edition, Chapter 5 – Project Scope Management

OCIO CA-PMM, Section 3.1.2 Scope Management Plan

Project Management Docs – [www.ProjectManagementDoc.com](http://www.ProjectManagementDoc.com)

Global Knowledge – [www.globalknowledge.com](http://www.globalknowledge.com)

### 1.8.2 Project Centralized Repository Document

If applicable, indicate the name of the document management tool the project is using. If the project is not using a specific tool, list any relevant documents that can be used as references for this document and its corresponding location. A copy of all project management plans, control agency approval documents, and project status reports must be saved into the IT Project Management Office (PMO) centralized document repository. These files are located on the network in the directory N:\PMO\_New.

### 1.9 Glossary and Acronyms

List only glossary and acronyms that are applicable to this document.

OCIO	Office of the Chief Information Officer
PMBOK	Project Management Body of Knowledge
PMO	Project Management Office
PCR	Project Change Request
WBS	Work Breakdown Structure

### 1.10 Document Maintenance

This document will be reviewed quarterly and updated as needed, as the project proceeds through each phase of the system development life cycle. If the document is written in an older format, the document should be revised into the latest PMO template format at the next quarterly review.

This document contains a revision history log. When changes occur, the document's revision history log will reflect an updated version number as well as the date, the owner making the change, and change description will be recorded in the revision history log of the document.

## 2. SCOPE MANAGEMENT PARTICIPANT ROLES AND RESPONSIBILITIES

This section describes the roles and responsibilities of the <Project Name> staff with regard to the Scope Management Plan.

Note that these are roles, not positions or titles. One person may fulfill more than one role. There are various staff resources and stakeholders involved in managing project risks. In some cases, one individual may perform multiple roles in the process.

**2.1 Change Manager** - The <Project Name> Technical Lead will serve as the Change Manager for the project. Responsibilities include:

- Identify and document project scope changes.
- Receive, validate and log Project Change Requests (PCRs) for scope changes.

- Assign PCR priority.
- Facilitate team level scope change reviews.
- Participate in scheduled change control meetings
- Participate in scope change assessment impact meetings.
- Facilitate/perform scope verification and validation activities
- Record changes according to provisions of Change Management Plan.
- Record decisions on proposed changes.
- Ensure that changes are incorporated into appropriate project documents.

**2.2 Lead Change Evaluator** – The <Project Name> Project Manager will serve as the Lead Change Evaluator for the project. Responsibilities include:

- Advise Change Manager of project scope changes.
- Facilitate PCRs.
- Perform/facilitate timely and adequate evaluation of scope changes in terms of their impact on project deliverables and constraints.
- Outline options and recommend courses of action and priorities for changes.
- Organize and facilitate scheduled change control meetings
- Track and facilitate timely decisions on changes.
- Facilitate/perform scope verification and validation activities
- Ensure appropriate levels of review and approval.
- Communicate outcomes of scope change requests to the project team and stakeholders

**2.3 Change Requestor** – Change requests may come from sources internal or external to the project. Responsibilities of Change Requestors include:

- Advise Change Manager or Lead Change Evaluator of proposed change.
- Provide additional information or clarification if request.
- Participate in evaluation of proposed change.
- Assist in documenting proposed change.

**2.4 Change Decision Maker** – Depending on significance of change, Change Decision Maker(s) may be the Project Manager, the Project Sponsor and/or the Steering Committee, Responsibilities include:

- Evaluate the need for scope change requests.
- Evaluate options and recommended courses of action for changes.
- Approve or reject scope change requests.
- Accept project deliverables

**2.5 Contractors**

- Advise Project Manager of proposed change.
- Participate in evaluation of proposed change.

- 
- Assist in documenting proposed change

## **2.6 Departmental Roles** (Information Technology Governance Board, Program Managers)

- Advise Project Manager of proposed change.
- Participate in evaluation of proposed change.
- Assist in documenting proposed change

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