

# Scope Management Guideline

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## Scope Management Overview

Scope Management is the process used to include all required work in a project or proposed project and to manage and control scope over the life of the project. New Jersey Department of Transportation (NJDOT) Capital Projects are properly authorized by the Capital Program Committee (CPC) using a Charter, have defined Scope Statements documenting project work for specific phases (Preliminary Engineering and Final Design).

### Purpose

The primary goal of scope management is to make certain the work of the project or proposed project is identified, authorized, defined and managed over the life of the project. Accomplishing this goal will help to eliminate unauthorized work, minimize unwarranted changes and ultimately minimize the cost of the project and the time required to complete the project.

### Definitions

See the Capital Project Delivery (CPD) Process Web Site Glossary Page for current definitions.

### Procedure

**Authorizing Work:** During the Problem Screening (PS) phase, Capital Investment Planning and Development (CIPD) reviews and screens Problem Statements to determine appropriate action. CIPD consults with Subject Matter Experts (SMEs), Management Systems Owners and the Division of Project Management, if needed. If a Problem Statement is to be recommended to advance into Concept Development (CD), CIPD coordinates with SMEs and creates a Charter. CIPD then presents the Charter and all other pertinent documentation to the Capital Program Screening Committee (CPSC) for recommendation to the CPC. Ultimately, the CPC approves the Charter authorizing the Problem Statement to advance into CD. This approval also authorizes the time and funds to complete the work of CD.

**Defining and Managing Scope:** For phases following PS, the scope of the effort must be documented and formally approved. This is accomplished using a Scope Statement. There are separate Scope Statement templates for Preliminary Engineering (PE) and Final Design (FD). Each Scope Statement template is based on the Project Delivery Process and lists all of the products for the phase. The Project Manager customizes each Scope Statement based on the specifics of the project or proposed project. The Project Manager uses the Scope Statements to manage and control work.

### Key Products

**Charter:** The Charter is a document created by CIPD and approved by the CPC that authorizes the existence and advancement of a problem statement, and provides the authority to apply organizational

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resources to work activities. The Charter typically includes the name of the problem statement, justification, objectives, recommendation, responsible unit and authorizing signatures.

**Scope Statement:** The PE and FD Phases each have a Scope Statement specific to the work to be accomplished in that phase. The Scope Statement lists the anticipated work for a project and includes details of the project deliverables. This includes a description of the limit of scope of the project to the extent known at the beginning of the phase.

## Major Stakeholders

**Capital Investment Planning and Development (CIPD):** CIPD reviews and ranks Problem Statements. CIPD also works with stakeholders, including SMEs, to develop Charters on behalf of Management System Owners for presentation to the CPSC.

**Capital Program Committee (CPC):** The CPC signs the Charter authorizing the proposed project to advance into CD and begin work. Following CD, the CPC will authorize proposed projects and projects to advance to PE and then to FD.

**Capital Program Screening Committee (CPSC):** The CPSC reviews the Charter and related documentation and submits to the CPC for authorization to advance into CD. In later phases, the CPSC will recommend the CPC authorize the proposed project or project to advance to the next phase.

**Designer:** The Designer performs work in accordance with the approved Scope Statement at the direction of the Project Manager.

**Division of Project Management (DPM):** DPM collaborates with CIPD and Management Systems Owners as needed during the development of the Charter. DPM concurs with the Charter before CIPD presents to CPSC. DPM creates and manages the PE and FD Scope Statements.

**Management System Owner:** Management System Owners track and rank transportation problems within their responsible areas. For appropriate transportation problems, Management System Owners present Problem Statements to CIPD for review. Management System Owners collaborate with CIPD and DPM during the creation of the Charter and the respective Scope Statements throughout the project lifecycle. The Management System Owner presents the Charter to the CPSC for recommendation to the CPC.

**Subject Matter Experts:** SMEs may be involved in any aspect of scope management. SMEs are often consulted during Problem Screening to provide input for Problem Screenings Reviews. SMEs are consulted during other Phases in the creation and review of Scope Statements. SMEs sign PE and FD Scope Statements indicating concurrence for their related work in context of the specific project.

## Change

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The Charter typically is not changed once authorization is granted. Changes to scope are the responsibility of the Project Manager. Significant changes to Scope Statements, must adhere to and follow Change Control Board (CCB) guidance.

## **Communication**

Communication occurs as needed between various stakeholders in the execution of the scope management process. Typically, stakeholders will communicate and collaborate in the development of the scope management products (Charter, and Scope Statements). Scope Team meetings must be attended by all involved SME groups and the representative must have sufficient authority, knowledge and experience to address issues and make decisions. The representative SME is responsible to communicate project or proposed project scope and all decisions to their respective organizations. The Design Communications Report (DCR) is utilized to document communications regarding design decisions. The Project Reporting System (PRS) is utilized to document and communicate project status.

## **Key Performance Indicators**

Key Performance Indicators are needed to measure the performance of the scope management process. It is important to measure performance of the scope management process, including the tools and the use of the tools, to see impact to the ultimate objectives of lower cost and fewer schedule delays and to identify additional improvements to be incorporated into the process. An initial measurement (baseline) should be made and used for comparison after the process changes have been in place for a significant period.

## **Charter**

### **Purpose**

The Charter authorizes work to begin on the proposed project. To accomplish this, the Charter must briefly state the scope of the work being authorized. The Charter is used to authorize CD only. After CD, the work is authorized by the approved Scope Statement specific to each phase. Since the Charter is used only for CD, the scope of work described is only the work to be completed during CD. The Charter is used in future phases to help keep scope aligned with the originally authorized work.

### **Charter Template Sections**

Most of the fields in the Charter Template are self-explanatory and align with data to be entered into PRS. Information entered into the descriptive fields is to be brief. Charters are expected to be no longer than one page. Charters for similar proposed projects originating in Management Systems can be combined into a single Charter for the group with an attached listing of the associated proposed projects.

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**Justification:** Explain why the work of this effort is important and why the work should be approved now. This should be a single paragraph. The intent is to answer “Why do this work now?”

**Objectives:** Provide a brief overview of what will be accomplished. The intent is, in one or two sentences, to answer “What will be fixed?” For example, “Replace the southbound bridge deck.”

**Description:** Provide additional detail as needed to explain the objectives. For example, “Route 130 is a state highway with two lanes in each direction with shoulders and a grassy median. The final product will be the same. The existing southbound lanes are on an older structure than the northbound lanes. The southbound deck has deteriorated and needs to be replaced. The southbound deck will be removed and a new deck constructed.”

**Summary Milestone Schedule:** At this point in the lifecycle of the proposed project there is not enough information to provide a detailed schedule with any confidence. Include in the Charter any summary milestones that are known. Include when CD is expected to begin and end. If possible, include what year FD will finish and in what year(s) Construction will occur.

**Summary Budget/Budget Cap:** The authorizing body, the CPC, is only authorizing CD. Include in the Charter the estimate for completing CD.

## When to Use

Charters are to be created at the end of PS and are used only for proposed projects that are to be recommended to advance into CD.

## Procedure

### During Problem Screening:

1. CIPD ensures the Problem Statement is properly completed, accurately describes the problem and that the work should be advanced at this time. For proposed projects advancing to CD, CIPD collaborates with the Management System Owner, DPM and SMEs to create the Charter.
2. CIPD will request the advancement of the Problem Statement and Charter to Concept Development via the CPC agenda as other business.
3. The CPSC recommends to the CPC that the proposed project advance to CD.
4. The CPC approves the Charter authorizing the proposed project to advance to CD.

### During Any Phase:

5. The Project Manager, Designer and SMEs refer to the Charter when assessing any requested change in scope. Any change that exceeds the original bounds of the Charter, as authorized by the CPC, must be presented to the CPSC and CPC for approval.

## Communication

Communication and collaboration are essential to successful scope management. CIPD works with Management System Owners and DPM to define a Charter that clearly summarizes the work to be

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authorized for CD. Management System Owners work with CIPD and DPM to prepare Charters and then present the Charters to the CPSC for recommendation for approval to the CPC. SMEs may also be consulted in the development of Charters. It is critical that the Scope for CD is clearly defined in the Charter and that the Management Systems Owner, CIPD and DPM all concur on the scope and the justification before the Charter is submitted to CPSC for recommendation to CPC.

## **Scope Statement**

### **Purpose**

The Scope Statement defines and formally authorizes work to complete for a specific phase of the proposed or actual project. To accomplish this, the Scope Statement must clearly document the scope of the work being authorized. Scope Statements are used to identify and authorize the work to be completed in PE and FD. Scope for the Construction (CON) Phase is defined and authorized in the Contract Documents. Each Scope Statement provides sufficient detail for a Designer to commit to completing the defined scope of work for an agreed to dollar amount over a specific period.

### **When to Use**

Scope Statements are created at the at the end of CD and PE and are used to define and manage the work to be completed during each particular phase.

### **Procedure for PE Scope Statement**

#### **During Concept Development:**

1. Near the end of CD, once the Preliminary Preferred Alternative has been created and the Local Officials have been briefed, the Project Manager uses the PE Scope Statement Template to create the PE Scope Statement for the specific proposed project.
2. Subject Matter Experts review the PE Scope Statement and provide comments to the Project Manager.
3. SMEs approve their assigned sections of the PE Scope Statement.
4. DPM Management reviews and approves the PE Scope Statement.
5. The Project Manager includes the PE Scope Statement in the CD Report.
6. The Project Manager uses the PE Scope Statement to solicit a Designer (if a Consultant will be used) or to develop an understanding with the in-house design staff to complete the scope of work for PE.

#### **During Preliminary Engineering:**

7. The Project Manager uses the PE Scope Statement to manage and control work.

### **Procedure for FD Scope Statement**

#### **During Preliminary Engineering:**

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8. Near the end of PE, during the creation of the PE Report, the Project Manager uses the FD Scope Statement Template to create the FD Scope Statement for the specific project.
9. Subject Matter Experts review the FD Scope Statement and provide comments to the Project Manager.
10. SMEs approve their assigned sections of the FD Scope Statement.
11. The Executive Regional Manager accepts the FD Scope Statement.
12. DPM Management reviews and approves the FD Scope Statement.
13. The Project Manager includes the FD Scope Statement in the PE Report.

#### **During Final Design:**

14. The Project Manager uses the FD Scope Statement to negotiate with the Design Consultant or with in-house design staff to complete the scope of work for Final Design.
15. The Project Manager uses the FD Scope Statement to manage and control work.
16. The Project Manager uses the FD Scope Statement to create Contract Documents.

#### **Communication**

Communication and collaboration are essential to successful scope management. Scope for a specific phase must be clearly defined in the phase Scope Statement. SMEs and DPM must concur on the scope to be completed. The SMEs and the Project Manager must attend and participate in Scope Meetings. Designers work with DPM and SMEs throughout the phases executing work as defined in Scope Statements.

#### **Managing Scope Changes**

All significant changes to a project's or a proposed project's scope are subject to NJDOT's Change Control Board Procedures. Guidance on these procedures is available on the NJDOT web site. All affected stakeholders (SMEs, NJDOT Senior Management, FHWA) must be notified of any significant change.

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