Compliance

The primary purpose of Compliance projects is to ensure compliance with applicable laws, regulations, agreements, etc. Northwestern IT will have limited-to-no flexibility in choosing the work that needs to be performed and by when the project will be delivered.

Run

The primary purpose of Run projects is to maintain current capabilities and/or performance. Northwestern will have limited flexibility in choosing the work that needs to be performed and by when the project will be delivered.

Change Northwestern

The primary purpose of Change Northwestern projects is to improve, change, or add business / technical capabilities or to increase efficiency and/or productivity.

- **Change Northwestern** projects are *discretionary*. Each request will be assessed for strategic value to Northwestern.
- **Compliance** projects are *non-discretionary*. Each request will be assessed for mandate, compliance, and urgency.
- **Run** projects are *non-discretionary*. Each project request will be validated for urgency and risk for Northwestern.
Compliance Validation

Compliance projects are non-discretionary. Northwestern has little-to-no flexibility in the choosing the work and the delivery due date.

Validation Criteria – Level 1
1. Has the appropriate external entity (e.g. Dept. of Education | ED, Internal Revenue Service | IRS, Health and Human Services | HHS, etc.) issued guidance regarding the targeted outcome(s)?
2. Has documentation supporting the clause and/or stipulating the outcome(s) been published or provided?

Validation Criteria – Level 2
3. Have the project outcome(s) and deliverable(s) been clearly defined, and are those outcomes achievable with the successful completion of this project?
4. Has the basis for determining how this project will satisfy the regulatory/compliance need been determined? Have alternatives and trade-offs been considered?
5. Does the mandate stipulate a technology solution?
6. Is there a due date by which the solution must be available? Can this date be met? Is this project deferrable?
7. Does the project request include only the scope, deliverables, and/or requirements specified by the mandate?

Run Validation

Run projects are non-discretionary. Northwestern has limited flexibility in the choosing the work and the delivery due date.

Validation Criteria – Level 1
1. Does the project request capture the critical risk (probability and impact) to Northwestern if this project is not performed at this time?
2. Does the project request clearly and thoroughly identify:
   a. The critical risk of not selecting the project this year?
   b. The breadth and frequency of how the system and/or process is used to run Northwestern?
   c. The severity and incident rate of issues if this project is not selected this year?

Validation Criteria – Level 2
3. Have the project outcome(s) and deliverable(s) been clearly defined, and are those outcomes achievable with the successful completion of this project?
4. Has the basis for determining how this project will satisfy the regulatory/compliance need been determined? Have alternatives and trade-offs been considered?
5. Does the mandate stipulate a technology solution?
6. Is there a due date by which the solution must be available? Can this date be met? Is this project deferrable?
7. Does the project request include only the scope, deliverables, and/or requirements specified by the mandate?