



CHILDS Replacement Program: F2018 Q4 Assessment Report

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Background



The Arizona Department of Child Safety (ADCS) has completed the Planning and Initiation phases and is managing the Delivery phase for the Program of projects to assess, procure, design, and implement a replacement of the current Federal Administration for Children and Families (ACF), Statewide Automated Child Welfare Information System (SACWIS) compliant system known as the Children’s Information Library and Data Source or CHILDS. The resulting CHILDS Replacement system will be known as Guardian and will align with the recently published (June 2016) ACF Comprehensive Child Welfare Information System (CCWIS) regulations.

The Planning phase work included the completion of a Feasibility Study, Cost-Benefit Analysis, the Federal Implementation Advance Planning Document (IAPD), a product and services roadmap, an overarching budget document and introduced an iterative procurement model for the Program of projects that will create the CHILDS replacement system (Guardian). The Initiation phase defined the Program delivery approach. The Delivery Phase has completed the rollout of the Mobility Solution and the selection of the Dynamics Platform. The Hosted 9300 implementation is almost complete while the Technical Integrator has been selected, with the Delivery planning underway.

The CHILDS Replacement Program (Guardian) includes the following components:

Program Management	Quality Management	Intake / Hotline	Case Management
Business Integration	Platform	Provider Management	Financial Management
Mobile Solution	Hosting	Data Warehouse	CHILDS Decommissioning
IV&V	Technical Integration	Document Management	

The State of Arizona Information Technology Authorization Committee (ITAC) recommends and requires that the CHILDS Replacement Program (Guardian) engages an independent third party firm to provide Independent Assessment (IA) services.

These IA services will provide supplementary project oversight to the CHILDS Replacement Program (Guardian) stakeholders to gauge the plan viability, project management, and project governance. IA findings will be shared and communicated by the CHILDS Replacement Program (Guardian) leadership to interested stakeholders.



Executive Summary

The CHILDS Replacement Program (Guardian) will enable the ADCS to implement a strong, robust system - one that is capable of increasing efficiency and service delivery to Arizona's families and children in need. This system will also fulfill Child Safety Specialist staff business use to more effectively and efficiently, execute the mission of the Department of Child Safety. The funding requests have been approved by the sponsoring organizations ITAC, JLBC and ACF.

This independent assessment reviewed project documentation and interviewed key stakeholders. **The results of the assessment indicate that the CHILDS Replacement Program (Guardian) continues to be positioned for success.**

The Plan is viable – it continues to focus on delivering value to the business (e.g. Mobility tools and functionality), documenting the future vision (e.g. Business Requirements / User Stories Business / Process Mapping) and laying the foundation for success (e.g. planning the solution delivery with the Microsoft – the Technical Integrator (TI) and documenting the terms of reference (Statement of Work – SOW)). Challenges focus around securing 'just-in-time' resources, developing detailed program management oversight including the integrated plan and clearly-defined critical path and enhancing reporting content tracking.

The CHILDS Replacement Program should focus on the following items:

- **Staffing and Resource Management:** Review staffing gaps with and clarify roles with TI vendor; update and publish the program organizational chart; source the necessary resources.
- **Schedule Management:** Enhance work stream schedules to create program view; integrate interdependencies and TI milestones.

Key Plan Viability Findings

- Selection process is complete; the TI vendor has started planning with scheduled kickoff in June.
- Integrated Guardian schedule is tracked; requires TI milestones.
- Staff levels increased and remaining gaps to be identified.
- Internal / external dependencies to be added for all work streams.
- Strong progress on user stories has prepared the business to collaborate with the TI vendor.
- Project reporting is transparent and continues to be improved.
- PMO and PCO continue to assist with ensuring project management consistency and process adherence.

Key Project Management Practice Findings

- Communications and business engagement are consistent strengths; effective feedback is being shared.
- Major spend being realized, and currently, overall scope and financial position are consistent.
- Rigour is being applied to Resource and Quality Management; forecasted needs will improve program preparedness.
- Transition Management team facilitating events with strong business ownership; overall program plan to be created.
- Key Guardian documents to be updated are the integrated Guardian Schedule, Critical Path, Org Chart, and TI Plan.



Assessment Findings & Recommendations

Plan Viability



F18 Q3	F18 Q4	Plan Viability	Comments
●	●	1. Completeness of Plan	Guardian plan outlines the available work stream detail. Key component specifics need developing – TI, Data, ECM, Shared Services, TM and QA. Plan detail and completeness to be solidified this quarter with TI vendor.
●	●	2. Project Timeline	Despite timeline extensions, implementation planning and delivery execution to kickoff in June. Overall release / deployment approach being investigated for potential timeline adjustments.
●	●	3. Staff Levels and Skill Sets	Resource mix identified: several outstanding gaps are in place with known remaining gaps being sourced. Guardian Specialists to be upskilled. Expectation of TI to identify further gaps and supply key resource skills.
●	●	4. Project Interdependencies and Interfaces	Project interdependencies need development as new work streams added and scope is refined. Data exchange partners identified, but interface development approach not yet defined.
●	●	5. Business Implementation Approach	Continued work on refining approach. More detail on BPM and TM scope required. Communication on BI efforts is effective. The team is working to meet expectations around detailed metrics and progress reporting.
●	●	6. Technical Platform and Support	Dynamics platform is in place – Implementation through collaborative partnership of Microsoft (Dynamics experts) and Accenture (child welfare experts). Data Management scope planning and execution required.
●	●	7. Stress Test	High-level testing responsibilities for DCS and TI vendor outlined in SOW. The program requires a clear testing strategy and forecasts for testing resource requirements.
●	●	8. Post Implementation	For Mobility, KPIs tracked closely and support by business initiatives. For Guardian, the development of benefits tracking is needed to support implementation. “Success / Complete” needs defining.
●	●	9. Overall Quality Assurance	QA approach outlined for DCS but not specifically for Guardian. Program structure is providing effective quality oversight for now. Expected to reinforce quality control with the TI vendor and highlighted workstream.
●	●	10. Program Management Environment	Program structure continues to shift and gaps exist around roles and responsibilities. Program oversight and TI integration processes are key focal points. Change in Program Manager.

Project Management Practice



F18 Q3	F18 Q4	Project Management Practice	Comments
●	●	1. Communication Management	Communications plan in place. Need to provide the appropriate detail in program team communication vehicles, particularly around metrics. Public Huddle boards updated and reviewed weekly.
●	●	2. Risk Management	Risks defined and managed closely by sponsors. Risks tend to focus on project challenges rather than program level concerns. Risk reviews reveal that the quality of risks can be enhanced.
●	●	3. Scope Management	Scope is consistent. Challenges may arise as TI joins the team and establishes the effort and delivery cadence. More detail is needed in the plan for scope to be effectively monitored going forward.
●	●	4. Schedule Management	Not all work streams have detailed schedules. Integrated schedule is defined and delivery is tracked using percentage of duration complete. Schedule to be baselined once TI vendor tasks are incorporated.
●	●	5. Quality Management	Quality management oversight in place for DCS with Guardian scope. High-level testing approach and responsibilities identified in Technical Integrator SOW.
●	●	6. Financial and Contract Management	Financial oversight in place for the program with the specific payment schedule outlined in the SOW. Concerns exist around spending cadence and availability of future funding due to delays in securing the TI vendor.
●	●	7. Resource Management	New resources hired and new gaps identified. Additional resource gaps to be identified with the Technical Integrator during planning. Program Organizational chart to be finalized.
●	●	8. Stakeholder Management	Continued consistent stakeholder management and communications both internally and externally. Engagement approach for TI vendor to be defined.
●	●	9. Organizational Change Management	OCM now Transition Management. Work stream continues to be implemented with strong business buy-in, but needs consistent ownership and direction.



FY18 Q4 Assessment Summary

Key FY18 Q4 Observations:

The Arizona Department of Child Safety has resolved many project challenges and identified some specific areas of improvement in the CHILDS Replacement program, between the FY18 Q3 assessment (dated February 28, 2018) and this FY18 Q4 assessment:

• **Staffing and Resource Management**

- The Guardian program management team is being set with project managers in place for major work streams (Technical Integrator, Business Integration, and Data Management; ECM and Integrated Shared Services to be added).
- Organizational structure has again shifted to better reflect current program management oversight.
- Roles and responsibility clarity required in areas where reporting structures are not clear and where scope is not fully defined; also being updated to reflect current program management oversight.
- Additional resource gaps to be identified with TI vendor.
- Change in Program Manager.

• **Schedule Management**

- Integrated program schedule is manually rolled up from current level of detail in work streams.
- TI work stream schedule has a dedicated owner and will be developed with TI vendor.
- Business Integration activities are listed including detailed tasks for each component area.

• **Delivery Update**

- Requirements (User Stories) are progressing as needed.

- TI vendor is selected and initial kickoff sessions are being held – Onsite kickoff begins next month.



FY18 Q4 Assessment Summary

Key FY18 Q4 Recommendations:

The FY18 Q4 assessment includes several recommendations for DCS to continue positioning the CHILDS Replacement Program for success:

• **Staffing and Resource Management**

- Publish the updated Guardian organizational chart to clarify the program roles, responsibilities and reporting structure.
- Align DCS resource levels with TI vendor identified needs and gaps.
- Supplement gaps with temporary TI vendor resources.
- Enhance resource management (allocations, planning) consistency across streams.

• **Schedule Management**

- Enhance the detail and completeness of schedules across work streams.
- Integrate DCS activities with Technical Integrator activities / milestones.
- Document work stream interdependencies, highlight delivery risks, and develop mitigation plans.
- Publish the updated program schedule incorporating the refined implementation approach.

• **Delivery Update**

- Integrate DCS activities with TI vendor approach.
- Manage TI vendor deliverables and align with milestone schedule.
- Complete User Stories and Business Process maps as input to Integration activities.
- Integrate TI Program Management processes within DCS approach.



Appendix A: Independent Assessment Process



Independent Assessment Process

Gather Baseline Information

- Review Project Documentation, including:
 - CIO Briefing Reports
 - Weekly Status Reports
 - Program Finance Slides
 - Guardian Master Roadmap and Integrated Schedule
 - work stream Work Plans
 - Contractor Organization Chart
 - Risk Register
 - Roadblock Register
 - Decision Log
 - IV&V Tracking List
- Conduct Stakeholder

Interviews

Perform Analysis

- Analyze Findings
- Determine Any Gaps
- Score Each Plan Viability & Project Management Practice Component:
 - Green = Strong Health
 - Yellow = Moderate Health
 - Red = Poor Health
- Assess Progress of the Previous Quarter's Recommendations

Develop Report

- Share Best Practices
- Report Key Findings
- Report Progress on Last Quarter's Recommendations
- Report This Quarter's Recommendations



Appendix B: Detailed Assessment



Plan Viability: Completeness of Plan

Best Practices

- Track against a baselined plan that includes all in-scope phases.
- Identify and monitor the critical path of the project.
- Track against identified milestones.
- Each component of the project plan or Work Breakdown Structure is assigned to a single point of responsibility.
- Perform regular risk assessment / review of plan.
- Refactor plan as appropriate when tolerances are exceeded.

Key Findings

FY18 Q3



FY18 Q4



- The program structure continues to adjust to include the appropriate work stream projects and associated resources.
- Manual connection points are used to update the integrated plan and roadmap from the detailed work stream plans.
- Not all work streams have detailed project plans.
- Current projects: Platform, Mobility, Technical Integrator (includes TI Vendor and Business Integration), Data Management, Enterprise Content Management, Integrated Shared Services, Hosting, CHILDS Decommissioning.
- Major supporting services: Transition Management, QA Oversight.

Last Quarter's Recommendations

Progress

- | | |
|---|------------|
| • Enhance the detailed plan based upon detailed Roadmap. | • Complete |
| • Expand the plan to include delivery work streams such as Quality Assurance and Operations management. | • Complete |
| • Incorporate dependency milestones into the program plan. | • Partial |
| • Document high-level program milestones and the program critical path. | • Partial |
| • Publish the integrated plan and critical path. | • Complete |
| • Add key Technical Integrator placeholder milestones as overall detailed plan is refined. | • Complete |

This Quarter's Recommendations

- Finalize project plans for Data Management, ECM, and Integrated Shared Services work streams.
- Document project plans for Transition Management and Quality Management work streams.
- Incorporate dependency milestones into the program plan – Include TI vendor and data exchange partner milestones.
- Document high-level program plan milestones and program critical path.



Plan Viability: Project Timeline

Best Practices

- Develop a complete project schedule with all tasks, activities, resources, effort and duration.
- Break the project down into major phases and sub-phases.
- Break sub phases down into tasks and sequenced in the most logical manner.
- Share timeline with sponsor, stakeholders and project team.
- Keep the project on schedule within 10%.
- Ensure sufficient time exists to complete the project if managed well.

Key Findings

FY18 Q3



FY18 Q4



- Current timeline extensions due to TI vendor selection and contracting process; anticipated go-live in mid-2020.
- Initial planning with the TI to start end of May; implementation kickoff scheduled for mid-June.
- Release and deployment alternatives being assessed; impacts to risk, cost, program scope, and the business being considered.
- Separation is not expected to impact the critical path for Guardian.
- The integrated program schedule being developed / refined.
- Delivery approach being reviewed to better align to program timeline.

Last Quarter's Recommendations

Progress

- | | |
|---|------------|
| • Build the detailed timeline with estimated activity durations and resource efforts. – For each work stream and consolidated for the Program/Portfolio view. | • Complete |
| • Establish timeline tolerances and identify appropriate mitigation plans. | • Partial |
| • Develop schedule metrics. | • Complete |
| • Report on timeline metrics such as schedule tolerance. | • Partial |
| • Enhance the project schedule to include TI vendor implementation activities. | • Partial |

This Quarter's Recommendations

- Enhance the project schedule to include TI vendor implementation activities.
- Establish timeline tolerances and identify appropriate mitigation plans.
- Report on timeline metrics such as schedule tolerance.



Plan Viability: Staff Levels and Skill Sets

Best Practices

- Project resources (Program Manager and delivery team) have previous experience with projects of this nature.
- Create a staffing plan that matches required skills to those available and gaps as well as how to fill those gaps.
- Create options for if there is a shortage on time or knowledge from the resources on the project.
- Appropriately on-board resources.
- Appropriately engage external stakeholders.
- Ensure roles and responsibilities are clearly defined and adhered to.

Key Findings

FY18 Q3



FY18 Q4



- Key roles filled – Guardian Specialists (7), TI PM, Data PM, Data Architect, Data Analyst, Business Analyst, BI PM, and DCS IT roles.
- The TI's project roles are identified; business and technical resources will be aligned with DCS across the levels of the Guardian program organizational chart.
- Known staffing gaps in the resource plan are being addressed but procurement of resourcing is slow – Guardian Specialist (1), Solution Architect, ECM PM, and Integrated Shared Services PM.
- A utilization plan is required, that maps to the program plan to show which resources are needed, when, and with how much allocation.

Last Quarter's Recommendations

Progress

- | | |
|---|------------|
| • Create a DCS and key vendor staff skills matrix. | • Complete |
| • Determine resource gaps and resource utilization plan – With TI vendor. | • Partial |

This Quarter's Recommendations

- Source known gaps (e.g. "Provider" Guardian Specialist, Solution Architect, and PMs for ECM and Integrated Shared Services).
- Appoint dedicated Transition Management and Quality Management owners for Guardian.
- Determine resource gaps and resource utilization plan – With TI vendor.

Plan Viability: Project Interdependencies and Interfaces



Best Practices

- Review documented project interdependencies / dependencies.
- Review documented project interfaces.
- Review documented constraints.
- Update schedule to reflect any changes with project interdependencies / dependencies.
- Ensure the delivery process is aligned with the internal customer's delivery constraints (e.g. customer's expected delivery timeframe and any timing constraints).

Key Findings

FY18 Q3



FY18 Q4



- High-level interdependencies are tracked in the integrated program schedule and roadmap; the program is working out the manual manipulation required to clearly present impacts to critical path.
- In anticipation of TI, data management work stream is working on current state CHILDS data assessments.
- Data management work stream has identified contacts for key external data exchange partners
- Approach for external data partner collaboration is to be defined.
- Project interdependencies are not yet shown for all projects (e.g. Data Management, ECM, and Integrated Shared Services).

Last Quarter's Recommendations

Progress

- | | |
|---|------------|
| • As the DCS Data Management Strategy is developed, identify potential project dependencies related to the flow of data through DES, Mobile, CHILDS, Guardian, OnBase and other interfaces. | • Complete |
| • Update a list of external data-trading partners that are relevant to Guardian; define the 'bi-directional' exchanges and integrations needed in the future solution. | • Complete |
| • Include business initiatives such as E-Procurement, HRIS, AFIS as external projects for monitoring. | • Complete |

This Quarter's Recommendations

- Document detailed interdependencies with Data Management, ECM, and Integrated Shared Services work streams.
- Highlight DCS vs. TI vendor dependencies.
- Document dependencies based on approach for collaboration with external data exchange partners.

Plan Viability: Business Implementation Approach



Best Practices

- Document business implementation approach.
- Schedule business requirements approvals.
- Confirm alignment with sponsor and stakeholders on approach.
- Track against identified implementation tasks.
- Document concerns / issues.

Key Findings

FY18 Q3



FY18 Q4



- Strong business ownership over BI activities, with 3 business analysts and 7 Guardian Specialists integrated into the program.
- First draft user stories are nearing completion using a streamlined review and signoff process; most to-be processes need finishing.
- Program team reviewing release and deployment options (one vs. multiple releases to production) with PAC and Steering Committee.
- Business implementation approach to be refined as per updated release and deployment strategy.
- Role and responsibility clarity will improve work stream project management consistency and communications.

Last Quarter's Recommendations

Progress

- | | |
|---|------------|
| • Define roles and responsibilities. – Clearly distinguish reporting structures including Program Manager, PAC, PMO & Executive Steering Committee. | • Complete |
| • Articulate the Business Process / Business Requirements / OCM consolidated approach. | • Partial |
| • Integrate Data and Quality Management stakeholders in the requirements / user story review process. | • Partial |
| • Use a mechanism or tool for categorizing requirements that are Needs/Mandatory vs. Wants/Desired. | • Partial |
| • Develop metrics and associated reporting processes for Business Integration efforts. | • Partial |

This Quarter's Recommendations

- Articulate the Business Process Mapping / Requirements / TM consolidated approach – More detail on BPM and TM approach, and BI resources / roles overall.
- Integrate Data and Quality Management stakeholders in the requirements / user story review process.
- Use a mechanism or tool for categorizing requirements that are Needs/Mandatory vs. Wants/Desired.
- Develop metrics and associated reporting processes for BI efforts – Measure changes and progress to quantities delivered, in combination with the defined effort / duration metrics.



Plan Viability: Technical Platform and Support

Best Practices

- Develop technology implementation plan.
- Document technology requirements.
- Identify technology constraints – hardware, software, resources.
- Develop and monitor key technical and support metrics.

Key Findings

FY18 Q3



FY18 Q4



- Microsoft / Accenture (partnership) is selected as the Technical Integrator (TI vendor), following a formal selection process.
- Microsoft included in its SOW the key skills needed and the support options required.
- TI work stream structure has an overall PM in charge of managing the TI relationship and schedule of all TI-related activities.
- Data Management work stream performed a pilot assessment of data quality / MDM to assess current state of CHILDS data quality.
- Data Management to hold monthly 'data meetings' to start educating the business on data quality and governance.

Last Quarter's Recommendations

Progress

- | | |
|--|------------|
| • Identify and document data backup and recovery requirements. | • Partial |
| • Ensure DCS technical ownership and processes are in place. | • Complete |
| • Establish support metrics. | • Partial |
| • Develop approach to work with integrator. | • Complete |
| • Develop the Data Management approach. | • Complete |

This Quarter's Recommendations

- Document the Guardian solution architecture.
- Document the ECM strategic priorities for Guardian.
- Document the Data Management strategic priorities for Guardian (i.e. data architecture approach, data models, data quality improvement, data migration).
- Identify and document data backup and recovery requirements.
- Establish support metrics.
- Incorporate TI vendor SOW commitments into DCS IT support processes.



Plan Viability: Stress Test

Best Practices

- Create test plan.
- Define stress test requirements.
- Define stress test environment. Identify where/when environment is needed.
- Have a well documented process for system testing (overall capacity testing).

Key Findings

FY18 Q3



FY18 Q4



- TI vendor has defined high-level testing responsibilities in the SOW.
- Performance testing is included within the defined scope.
- Change control processes are being refined.
- The QA and technical teams responsible for development and testing cannot yet roll out / pull back testing environments, i.e. provide this flexibility for agile development and testing.
- Overall Guardian testing plan and approach needs to be defined.
- Testing activities must incorporate DCS vs. TI vendor scope, preparation time (e.g. for DCS to create functional test plans), and resource requirements.

Last Quarter's Recommendations

Progress

- Develop Guardian testing plan and approach – Outline specifically what is to be expected from the TI vendor vs. DCS.

- Partial

This Quarter's Recommendations

- Develop Guardian testing plan and approach – Outline specifically what is to be expected from the TI vendor vs. DCS.
- Forecast resource requirements for testing activities, including time to prepare for testing execution.



Plan Viability: Post Implementation

Best Practices

- Ensure there is adequate business and technology training for end users.
- Establish Post Implementation Review process.
- Schedule Post Implementation Review.
- Focus on assessing the following:
 - Quality of deliverables
 - Benefits realization
 - Organizational impact

Key Findings

FY18 Q3



FY18 Q4



- Post implementation activities being added to Business Integration work stream (e.g. training, data stewardship, etc.).
- For Guardian, DCS has not yet defined what “Complete” looks like for all major stages of the program lifecycle.
- For Mobility, adoption of tablets is strong but usage of Diona apps is lower than expected.
- For Mobility, both existing KPIs and new data (e.g. 4G data usage) are being tracked to understand and drive usage and adoption.
- Action items log is live and managed on SharePoint
- IV&V results meetings scheduled / conducted.

Last Quarter's Recommendations

Progress

- Clearly define “Complete” for key stages and activities in the work stream plans and the integrated Guardian schedule.

- Partial

This Quarter's Recommendations

- Clearly define “Complete” for key stages and activities in the work stream plans and the integrated Guardian schedule.
- Establish a Benefits Tracking Process as a component of the Business Integration work stream.
- Align acceptance criteria / KPIs with expected benefits.



Plan Viability: Overall Quality Assurance

Best Practices

- Ensure that quality requirements is tied to quality assurance testing processes and are clearly communicated to all the project team members.
- Ensure that there is ownership of quality assurance.
- Ensure that decision requests are made with appropriate timing.
- Ensure there are Quality Control measures in place throughout the project cycle.
- Ensure that acceptance criteria and the process for acceptance is established for each deliverable.

Key Findings

FY18 Q3



FY18 Q4



- Quality control processes are included in business requirements user story and business process map development.
- QA resources are not yet dedicated solely to the Guardian program.
- Program quality oversight being handled by the program structure, with the DCS QA lead involved in supplying as-needed quality oversight and resources.
- Detailed development of Guardian quality plan is delayed due to late TI selection and demand for quality oversight in other programs.
- TI vendor has included quality assurance oversight as part of SOW. DCS representation was included as part of the QA definition.

Last Quarter's Recommendations

Progress

- | | |
|---|------------|
| • Create a detailed Quality Assurance plan (work stream details) | • Partial |
| • Identify DCS production test environments for Guardian. | • Partial |
| • Employ tactics to ensure that adequate requirements / user story validation takes place given the time-constraints. | • Complete |

This Quarter's Recommendations

- Create a detailed Quality Assurance plan (work stream details).
- Identify DCS production test environments for Guardian.
- Document quality assurance and testing activities in work streams, including time to prepare for testing execution.
- Document DCS vs. TI vendor QA accountability.



Plan Viability: Program Management Environment

Best Practices

- Establish a PMO as oversight for all project initiatives.
- Develop an agreed upon mandate and vision for the PMO to set it up for long-term success.
- Obtain buy-in and input from all relevant stakeholders early.
- Develop and implement standard templates and processes.
- Provide project management support.

Key Findings

FY18 Q3



FY18 Q4



- The program has reworked the organizational structure.
- Roles and responsibilities are being finalized.
- Program audit (project manager work stream review) being held with sponsoring executive (CIO) to ensure consistency of delivery.
- Weekly huddle boards outlining program and project activities, accomplishments, metrics, risks, and issues being created / refined.
- The team expects to balance its project management approach with the TI vendor.
- Change in Program Manager.

Last Quarter's Recommendations

Progress

- | | |
|---|------------|
| • Create a cadence for communicating the PMO's accomplishments and the status / progress of its activities. | • Complete |
| • Right-size high priority PMO processes with a focus on consumable and usable outputs. | • Complete |
| • Redesign the program organizational chart to fit the new projects (work streams) and supporting services. | • Complete |

This Quarter's Recommendations

- Finalize the program organizational chart to reflect final implementation projects and supporting services.
- Clarify Program vs. PMO vs. Portfolio responsibilities.
- Reinforce roles and responsibilities including the TI vendor.
- Integrate TI and DCS Program Management processes.
- Enforce project management consistency (reporting, scheduling, resource management and oversight).

Project Management Practice: Communication Management



Best Practices

- Actively follow through with an established communications plan.
- Project status review meetings are held regularly with IT leadership and relevant business stakeholders.
- Create and distribute regular program and project status updates.
- Capture and distribute meeting minutes for formal meetings.
- Variance analysis for schedule, budget, and effort is communicated on a regular basis.
- Project successes have been documented for inclusion for potential announcement and success stories.

Key Findings

FY18 Q3



FY18 Q4



- Program reporting structure, i.e. upward flow of information from PMs to the Program/Portfolio, continues to be formalized as new program and business stakeholders are integrated.
- Appropriate cadence of weekly and monthly meetings held.
- Huddle boards now in place for both business and IT teams.
- Communication gaps exist – Timely sharing of adequate program and project details (progress, metrics, critical path, dependencies) is a challenge that is being actively managed.
- The program, business, and Steering Committee are routinely sharing feedback on issues and expectations.

Last Quarter's Recommendations

Progress

- | | |
|--|--|
| <ul style="list-style-type: none"> • Include a view of the Guardian critical path in reporting to Portfolio and Executive leadership. | <ul style="list-style-type: none"> • Complete |
| <ul style="list-style-type: none"> • Develop metrics and dashboards for each Guardian work stream. | <ul style="list-style-type: none"> • Partial |

This Quarter's Recommendations

- Develop metrics for each Guardian work stream.
- Enhance Huddle Boards with metrics.
- Integrate TI vendor personnel into the weekly and monthly meetings.

Project Management Practice: Risk Management



Best Practices

- Risks are documented and have been evaluated for probability and impact.
- Document risk response plans.
- Establish regular risk reviews.
- Track and manage project risks separately from project issues.

Key Findings

FY18 Q3



FY18 Q4



- Risks being actively managed within the program and projects.
- Risk, Assumptions, Issues, and Decisions (RAID) logs are consolidated by program and project on SharePoint pages.
- Risks are ranked and prioritized in terms of a qualitative High-Medium-Low scale of probability and impact.
- Risks tend to focus on micro (within project challenges) and not macro (program level concerns).
- Risk reviews reveal that the quality of risks need to be enhanced.

Last Quarter's Recommendations

Progress

- Develop risk management definitions for Risk Ranking, including Risk Probability and Risk Impact.

- Complete

This Quarter's Recommendations

- Reassess completeness, consistency and quality of program and work stream risks.
- Capture new risks from ECM and Integrated Shared Services work streams.

Project Management Practice: Scope Management



Best Practices

- Document the project scope, including both in-scope and out-of-scope items.
- All in-scope deliverables are identified and reflected in the project plan.
- Project requirements have been clearly documented and are reviewed with the project team and the customer on a regular basis.
- Change control procedures have been defined and documented for managing changes to the project plan.
- Approved changes to the baselined project plan are communicated to the project team and the customer.

Key Findings

FY18 Q3



FY18 Q4



- TI vendor SOW scope completed and signed.
- Release / deployment approach changes may impact scope.
- Business Integration work stream amended to reflect added user stories and associated efforts.
- Data Management scope being defined as data assessments are performed; additional data stores and scope being identified.
- In-scope data exchanges and interfaces being identified.
- More tangible detail is needed for scope to be effectively monitored going forward (i.e. around processes, data management, ECM, integrated shared services, QA, testing, and TI activities).

Last Quarter's Recommendations

Progress

- | | |
|--|------------|
| • Document the Platform Integration work stream scope. | • Complete |
| • Document the detail Business Integration work stream scope. | • Complete |
| • Establish the DCS applications scope criteria. | • Complete |
| • Document the Data Management work stream to include in-scope components. | • Partial |

This Quarter's Recommendations

- Document the Data Management work stream to include in-scope components.
- Analyze scope impacts based on final implementation plan agreed upon with TI vendor.

Project Management Practice: Schedule Management



Best Practices

- Create a high-level schedule that clearly identified the major milestones and the dependencies between work components.
- Create a detailed Work Breakdown Structure (WBS) that includes all the work required to complete the project requirements.
- Regularly review the schedule to track actual versus baselined.
- A critical path analysis has been performed on the project schedule to identify activities on the Critical Path.

Key Findings

FY18 Q3



FY18 Q4



- Integrated program schedule and project schedules tracked in MS Project; project schedules manually rolled into program schedule.
- Inconsistent detail in project schedules have not rolled up consistently to the program view.
- Tracking delivery using percentage of duration complete.
- TI vendor components to be integrated within the program schedule.
- Data management component currently working in 8-week sprints.
- Expecting to baseline the program schedule with the TI vendor.

Last Quarter's Recommendations

Progress

- | | |
|---|------------|
| • Create detailed program schedule, including business related activities and adding in assigned resources to scheduled activities. | • Complete |
| • Create and maintain resource-constrained and/or resource-levelled schedules. | • Complete |
| • Develop schedule tracking criteria. | • Partial |
| • Baseline the schedule until Program completion, with high-level buckets for long-term activities and detailed breakdowns for short-term activities. | • Partial |
| • Create and publish the program Critical Path. | • Complete |
| • Report against major milestones as schedule shifts, and incorporate change management to adjust. | • Complete |

This Quarter's Recommendations

- Enhance schedule detail in Guardian work streams.
- Streamline the roll up process of work stream schedules to the overall program schedule / roadmap.
- Baseline the schedules until program completion.
- Develop schedule tracking criteria – Measure (1) Effort / duration; (2) Quantity delivered; (3) Progress by percentage completed, and (4) Variance.
- Report a one-page view of the program schedule with critical path and major milestones.

Project Management Practice: Quality Management



Best Practices

- Develop an overall quality management process and plan.
- Develop the quality management plan at the beginning of the project – actively manage throughout the project delivery process.
- Ensure the quality management plan addresses both technical and business (process) issues.
- Implement and track progress against an overall quality management process and plan.
- Develop specific acceptance criteria including functional, non-functional and business process items.

Key Findings

FY18 Q3



FY18 Q4



- Quality management oversight is in place for DCS.
- Team working with TI vendor to align with the integrated quality approach and clearly defined roles and responsibilities.
- Narrowing down tool(s) to be used for managing quality (e.g. over business requirements and development); DCS has internal skills to support potential tools (e.g. VSTS / TFS).
- Team to determine how to best provide program-wide quality control oversight with TI vendor (program delivery, child welfare policies, etc.).

Last Quarter's Recommendations

Progress

- | | |
|--|------------|
| • Begin sourcing for required quality management and testing roles as appropriate. | • Complete |
| • Hire additional quality and testing resources and bring them up to speed on the program. | • Partial |
| • Ensure the quality work plan and schedule is aligned with the integrated schedule. | • Partial |

This Quarter's Recommendations

- Ensure the Quality work plan and schedule is aligned with the integrated schedule.
- Hire additional quality and testing resources and bring them up to speed on the program.

Project Management Practice: Financial and Contract Management



Best Practices

- The project management environment adequately supports data gathering for financial reports.
- Financial standards and procedures have been established for the project and are being followed.
- Project expenditures can be tracked and compared with specific line items of the project budget.
- Monitor adherence to all agreements.
- Manage subcontractors on the work to be performed, coordinate the subcontractor's activities, and track and review the subcontractor's performance and results.

Key Findings

FY18 Q3



FY18 Q4



- Major planned spend on TI vendor realized.
- TI vendor payment schedule clearly outlined in SOW – Payments are tied to accepted deliverables.
- High-level financials being shared on huddle boards.
- Analyzing actual spend relative to planned spend and to total budget, with high-level reasons for variance / trends in spend.
- External factors (e.g. State and political support, Red for Ed) that may impact the long-term availability of program funding are being closely monitored and managed by DCS Executive Management.

Last Quarter's Recommendations

Progress

- | | |
|--|------------|
| • Develop and add variance reports. | • Partial |
| • Document change request process for TI work stream management. | • Complete |

This Quarter's Recommendations

- Develop and add variance reports.
- Forecast cash flows and compare to planned spend.
- Develop report to monitor and communicate the financial impact of TI vendor change requests.

Project Management Practice: Resource Management



Best Practices

- Clearly establish project objectives and success factors, and delegate responsibility based on work expertise and workload.
- Establish clear tasks and activities for each project team member so they know what needs to be accomplished.
- Determine the resource needs and match to availability.
- An organizational breakdown structure has been created to show lines of responsibility.
- Estimates for Business resources are planned and documented.
- Business and IT project team members are recognized for outstanding commitment or performance.

Key Findings

FY18 Q3



FY18 Q4



- Resourcing continues to shift – New hires added to Data work stream; Changes to TI, BI, and TM (OCM) resources; New gaps identified in ECM and Integrated Shared Service work streams.
- Organizational chart recalibrated to reflect shifts and to clarify Guardian program vs. HR reporting structures.
- Resource management is inconsistent across work streams which has led to multiple sources of truth of resource allocation and planning data; challenges are flagged at the portfolio level.
- Resource management processes / consistency being addressed by the working group of Portfolio-Program-Project stakeholders.

Last Quarter's Recommendations

Progress

- | | |
|---|------------|
| • Finalize and publish the Guardian Program Organizational Chart. | • Partial |
| • Clarify the reporting structure for Guardian SMEs (i.e. who they report to for Program vs. Admin / Operational responsibilities). | • Complete |
| • Develop Guardian Program resource management approach and plan. | • Complete |
| • Forecast detailed resource needs for the program duration mapped to the integrated schedule. | • Partial |

This Quarter's Recommendations

- Finalize and publish the Guardian Program Organizational Chart – Clarify program roles and responsibilities.
- Enhance consistency of resource allocation and planning across project managers.
- Forecast detailed resource needs for the program duration mapped to the integrated schedule.

Project Management Practice: Stakeholder Management



Best Practices

- Review and maintain a stakeholder register to identify which stakeholders to communicate with.
- Inform team members on the importance and influence of different stakeholders, as well as the appropriate method to manage stakeholders.
- Follow through with communication protocol on how information is transmitted. The protocol should include who is responsible for maintaining and monitoring stakeholder communication, and the frequency and format of the communication plan.

Key Findings

FY18 Q3



FY18 Q4



- Internal stakeholder management is effective as the team works to close gaps in IT–business communications:
 - Huddle boards complementing the regular cadence meetings;
 - Project management audits creating consistency;
 - SharePoint development continuing – the central repository for processes, program documents and status updates;
 - TM team identified 3 major groups of stakeholder to be actively engaged from a change management perspective.
- External stakeholders continue to be managed at Executive and technical (i.e. network, data exchange) levels.

Last Quarter's Recommendations

Progress

- | | |
|--|--|
| <ul style="list-style-type: none"> • Finalize onboarding packages and onboard new hires (Guardian SMEs, Data Architect, Data Analyst, PMO Support, etc.). | <ul style="list-style-type: none"> • Partial |
| <ul style="list-style-type: none"> • Train all Program resources on new SharePoint features, and monitor and optimize its usage. | <ul style="list-style-type: none"> • Complete |

This Quarter's Recommendations

- Finalize onboarding packages and onboard new hires.
- Identify prime and secondary DCS stakeholders across program areas that the TI vendor is to engage for specific purposes.

Project Management Practice: Organizational Change Management



Best Practices

- Build and maintain an Organizational Change Management Plan
- Address key points such as:
 - Engagement,
 - Quick Wins and Bright Spots,
 - Emotional Appeals,
 - Cultural Factors,
 - Environmental Factors

Key Findings

FY18 Q3



FY18 Q4



- OCM (now Transition Management) resources continue to shift.
- Guardian TM plan missing tactical roadmap, quantitative analysis of engagement efforts, measurements of success, etc.
- A tiered TM / communications approach is defined for three key stakeholder groups: Sponsors, Pathfinders, and Champions.
- High-level TM efforts are reported in the TI work stream plan.
- TM events (e.g. road show) garnering strong business participation.
- PAC meets regularly for updates and to direct major initiatives.

Last Quarter's Recommendations

Progress

- | | |
|--|------------|
| • Incorporate Guardian TM activities into the integrated schedule. | • Partial |
| • Include OCM progress updates as part of PAC oversight mandate. | • Complete |
| • Clarify the roles of TM resources. | • Partial |
| • Revise the Guardian TM plan to align with the latest program structure and business initiatives. | • Partial |

This Quarter's Recommendations

- Clarify the roles of TM resources – Include TI vendor.
- Revise the Guardian TM plan to align with the latest program structure and business initiatives.
- Incorporate Guardian TM activities into the integrated schedule.



Appendix C: List of Interviewed Stakeholders

List of Interviewed Stakeholders



Interviewees

Name	Project Role	Job Role
Bill Pawlowski	Data Architect, Data Management	Data Architect, DCS
Fred Yu	Quality Assurance Oversight	Quality Management, DCS
Greg McKay	DCS Executive - Steering Committee	Director, Arizona DCS
James Dean	PMO Manager, PMO	PMO Manager, PCG
Jean Phalke	Transition Management, Business Integration	OCM, PCG
Katherine Guffey	Business Sponsor - Advisory Committee	Chief Quality Improvement Officer, DCS
Kris Hurst	Project Manager, Data Management	Project Manager, DCS
Laura Foley	Transition Management / Business Processes, Business Integration	OCM, PCG
Linda Jewell	Program Owner	Chief Information Officer, DCS
Michael Jarvis	Project Manager, Technical Integrator	Project Manager, PCG
Mike Faust	Business Sponsor - Steering Committee	Deputy Director, Continuous Improvement, DCS
Robert Navarro	Business Sponsor - Budget Management	Deputy Assistant Director, Finance, DSC
Ryan Clemens	Business Sponsor - Reporting and Statistics / Field	Business SME, DCS
Sandra Milosavljevic	Business Sponsor - Controller / Support	Business SME, DCS
Shalom Jacobs	Business Sponsor - Steering Committee	Deputy Director, Field Operations, DSC
Shari Benkiel	Project Manager, Business integration	Business SME, DCS
Stephanie Verrone	Portfolio Coordinator, DCS	PCO, DCS
Tom Walsh	Business Analyst, Business Implementation	Business Analyst, DCS
Wayne Dickert	Program Manager, Guardian / Portfolio Manager, DCS	Portfolio Manager, DCS