DES/DCS Separation Project:

F2018 Q4 Assessment Report

Prepared for: Arizona Department of Child Safety (DCS)

Prepared by: Info-Tech Research Group

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INFO~TECH
RESEARCH GROUP

Background

The Arizona Department of Child Safety (DCS) has become a separate Agency from the Department of Economic Safety (DES). The DES/DCS Separation Project was established to create a new technology infrastructure for the DCS and to allow DCS to be primarily independent of DES technology solutions and services.   The scope is to create a new infrastructure consisting of domain, network, firewall, VPN, software, share drives, user profiles and permissions.

The project was originally divided into four phases as follows:

1. Phase 1 – DES Active Directory Federated Service (ADFS) – Trusted-DCS
2. Phase 2 – User Migration – DES to DCS
3. Phase 3 – Applications & Data
4. Phase 4 – Modernization / Utilization / Optimization

Phases 1 and 2 are Complete as originally scoped. The project is executing on Phase 3, specifically reviewing the portfolio of applications as well as delivering key infrastructure components to support the CHILDS replacement program. Separation delivery has been divided into Network Separation, Application Remediation and OneDrive Migration which are designated as Operations, Separation, and/or Guardian building blocks. Phase 4 has been de-scoped to reflect the new delivery approach.

The State of Arizona Information Technology Authorization Committee (ITAC) recommends and requires the DES/DCS Separation Project to engage an independent third party consulting firm to provide Independent Assessment (IA) services.

These Independent Assessments will provide supplementary project oversight for DES/DCS Separation Project stakeholders to gauge the plan viability, project management, and project governance. Findings from the Independent Assessments will be communicated to ITAC, ADOA-ASET, and related stakeholders.

These assessments will focus on the remaining efforts for the DES/DCS Separation Project. Key activities will include interviews with project delivery stakeholders and review of current documentation. The Separation Project received funding in May 2016, enabling the team to plan and execute the initial phases with work continuing through FY2019.

Executive Summary

The DES/DCS Separation Project will provide DCS with the infrastructure baseline for all future initiatives and give independence to deliver DCS business focused solutions. The program goal is to improve user experience.

This interim assessment reviewed project documentation and interviewed key stakeholders. The results of the assessment indicates that **the DES/DCS Separation Project continues to be positioned for success** with the successful delivery of Phases 1, 2 and 3 (Applications Assessments) and the identification, scoping and delivery of related Operations (large and small), Separation and Guardian initiatives. The program has completed the Application Assessment Phase and is positioned to implement, as operational activities, the recommendations. The Project Management Processes continue to deliver value with effective PM leadership, communications and execution. The Program's Viability remains positive, as the team has the skills, processes and support to succeed. Technical resources have been added to the team as the operations organizational structure is being implemented. The Operations effectiveness continues to improve as more process, documentation and service delivery rigour is implemented within the DCS Operations structure.

Overall Plan Viability remains good with focus on enhancing the schedule details. Future challenges include scoping the Application Remediation efforts, completing the Network Separation activities, and developing the OneDrive Migration approach.

The DES/DCS Separation Project should focus on the following items:

○ **Operational Processes:** Optimize and implement transition focused processes; roll out the service catalog.

○ **Scheduling:** Expand on the detail / activities of projects; report one program view that shows variances across work streams.

Key Plan Viability Findings	Key Project Management Practice Findings
• Program oversight consolidated to one Project Manager, which will support project management oversight. • The consolidated program plan is in place with the PM reworking project specific schedules. • Program timeline is extended due to prior network delays and new scope of application remediation activities. • Resource are procured and staff levels / skills are being optimized for future support. • Operations support is in place and maturing but constrained; new service catalog and delivery process will soon be available.	• Detailed project management practices are in place, however process implementation and monitoring could be improved. • Strong communication has benefited execution and reporting. • Consolidated RAID logs are tracked on SharePoint. • Risk management consistency is still an area of focus. • Schedules are being amended to include more detailed activities, milestones and dependencies. • The program is leveraging DCS QA Lead as needed. • The go forward Guardian and Operations responsibilities of DCS staff is clearer.

Assessment Findings & Recommendations

Plan Viability

F18 Q3	F18 Q4	Plan Viability	Comments
🟢	🟢	1. Completeness of Plan	9300 installation nearing completion. Separation program focused on Network Separation, Application Remediation and OneDrive Migration. Operations transition activities are being added to plan.
🟡	🟡	2. Project Timeline	Program timeline has been extended to accommodate network separation and application remediation scope / activities. Re-baselined to focus on remaining effort.
🟢	🟢	3. Staff Levels and Skill Sets	Project Manager role consolidated to one resource. Staff levels have been expanded to fill identified gaps, including network lead and analyst. Hiring CRM resources to help transition and deliver future state support.
🟢	🟢	4. Project Interdependencies and Interfaces	Dependencies updated in program schedule as project schedules are consolidated. Regular meetings occur to align with the DCS Portfolio. External, Operations, and Guardian dependencies identified.
🟢	🟢	5. Business Implementation Approach	The program is executing effectively on its projects and sponsors are aligned on remaining approach. Collaboration with the business and Guardian program continues.
🟢	🟢	6. Technical Platform and Support	Service delivery processes are being enhanced and revamped service catalog being rolled out. Added focus on future state technical support, such as completing runbooks and documentation.
🟢	🟢	7. Stress Test	Future state testing environment and tools for DCS Operations are being enhanced. Network separation proceeding with test resources in place.
🟢	🟢	8. Post Implementation	The team is applying lessons learned. Operations support processes and application runbooks are being developed to achieve post-implementation vision for service delivery.
🟢	🟢	9. Overall Quality Assurance	Operations team and Separation program working with DCS Quality Lead to ensure appropriate oversight in place for delivery processes.
🟢	🟢	10. Program Management Environment	Project Manager role consolidated to one person. Separation PM updates Guardian Hosting work stream. Overall project management and PMO oversight is effective.

Project Management Practice

F18 Q3	F18 Q4	Project Management Practice	Comments
🟢	🟢	1. Communication Management	Consistent communications are in place. Status updates and reviews are managed through SharePoint and Huddle reports. Improved transparency around DCS IT challenges and resource allocations.
🟢	🟡	2. Risk Management	Risk management in place with program and sponsor oversight. Risk completeness and quality to be reassessed. Go-forward risk identification to include both tactical and strategic perspectives.
🟢	🟢	3. Scope Management	Remaining program scope has been defined as Network Separation, Application Remediation and OneDrive Migration projects.
🟡	🟡	4. Schedule Management	Program schedule includes appropriate high-level blocks for remaining projects. Detailed activities, interim milestones, and schedule variance metrics required to clarify effort and progress.
🟢	🟢	5. Quality Management	Quality oversight being implemented using DCS QA on a project-by-project basis. Specific QA activities and forecasted QA resource needs to be added.
🟢	🟢	6. Financial and Contract Management	Program financial position has remained consistent. Funding is being reviewed to align remaining funds to remaining activities.
🟡	🟢	7. Resource Management	Resources have been added to the team to enable the appropriate DCS IT and program support. Better alignment with PMO and Guardian on resource planning standards, tools, and contentions.
🟢	🟢	8. Stakeholder Management	Good transparency in communications and collaboration between Separation and Operational stakeholders.
🟢	🟢	9. Organizational Change Management	Organizational impacts have been considered. DCS is developing TI / Microsoft change processes with Separation and Operational impacts to be monitored.

FY18 Q4 Assessment Summary

Key FY18 Q4 Observations:

The Arizona Department of Child Safety has resolved several of the Separation action items and adjusted to project resourcing changes between the FY18 Q3 assessment (dated February 28, 2018) and this FY18 Q4 assessment:

- **Operational Processes**

  - Incorporating Operations and Separation activities in one structure to monitor dependencies and transition.
  - Service Management Office has initiated process revisions and designed a new service catalog.
  - Implementation and monitoring of operational processes continue to be enhanced with PMO / SMO support.

- **Scheduling**

  - Acceptable timeline extension to complete remaining scope; no critical path impact to Guardian.
  - Additional detailed activities, milestones, and dependencies are added to the schedule.
  - Project schedules being consolidated and summarized at the program view.

- **Resource Management**

  - Project Manager role consolidated to one person.
  - Operations staff added in key areas (network, CRM).
  - Coordinating with Guardian TI vendor to align technical resources.
  - PMO-Portfolio-PMs aligning on resource planning standards, tools, and contentions.

- Delivery Update

FY18 Q4 Assessment Summary

Key FY18 Q4 Recommendations:

The FY18 Q4 assessment includes several recommendations for DCS to continue positioning the DES-DCS Separation Project for success:

- **Operational Processes**

  - Roll out the service catalog, promote engagement, and monitor usage.
  - Entrench operational processes (change and release management) and monitor process adherence / metrics.

- **Scheduling**

  - Document activities and milestones for Network Separation, Application Remediation, and OneDrive Migration.
  - Add dependencies with Guardian TI and ECM work streams.
  - Report on schedule variance for each work stream and the program.

- **Resource Management**

  - Integrate new resources into the overall plan and establish clarity in roles and responsibilities.
  - Increase resource planning collaboration; enable a view of DCS portfolio-wide resource needs for PMs.

- **Delivery Update**

  - Focus on Network Separation, Application Remediation, and OneDrive Migration delivery and oversight.
  - Ensure alignment with Guardian TI work stream on planned resources and activities.

Appendix A: Independent Assessment Process

Independent Assessment Process

Gather Baseline Information	Perform Analysis	Develop Report

Gather Baseline Information

- Review Project Documentation
  - Weekly Project Status Reports
  - Project Plan
  - CIO Briefing Report
  - Microsoft Project Status Report
  - Communications Plan
  - Quality Management Plan
  - Risk Register
  - Issue Log
  - Reference Architecture
  - IV&V Response
  - Microsoft Current State Assessment
- Conduct Stakeholder

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 ●

- Remaining major efforts are Network Separation, OneDrive Migration, and Application Remediation.
- Additional Q4 progress made on filling resource gaps and initiating the separation from DES network; network separation underway at corporate headquarters, with a roadmap for completion.
- Determining the full scope of applications to be remediated – risks related to resource and funding limitations are captured.
- Program dependencies with Guardian continue to be monitored, with no expected impact on either programs' critical path.

Last Quarter's Recommendations | Progress

Last Quarter's Recommendations	Progress
• Define DCS expectations for the Plans / Schedules submitted by vendor PMs, to ensure consistency and adherence to DCS Change Control, Testing, and Releases protocols.	• Complete

This Quarter's Recommendations

- Add appropriate external vendor activities.
- Add additional milestones to support completion tracking.

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 🟡

- Program timeline will be extended one more year to accommodate network separation and application remediation scope / activities.
- The timeline has been re-baselined for remaining activities.
- 9300 installation delayed but tracking to updated timeline.
- The activities have been consolidated into one schedule.

Last Quarter's Recommendations

Last Quarter's Recommendations	Progress
• Finalize a list of future Operational documentation needs, assign owners for their completion (from DCS or vendors) and set appropriate deadlines for their creation.	• Partial

This Quarter's Recommendations

- Finalize a list of future Operational documentation needs, assign owners for their completion (from DCS or vendors) and set appropriate deadlines for their creation.
- Enhance the program timeline as needed to align with final scope.

Plan Viability: Staff Levels and Skill Sets

Best Practices

- Project resources (Project 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 ○

- Program management role consolidated to one Project Manager.
- DCS IT has filled many identified resource gaps.
- Twelve DCS IT positions have been identified as necessary to support Operations; job requisitions are being developed now.
- Hiring CRM resources to help transition and future state support
- The team is training on other key skill gaps.
- A SMO-focused resource joined and initiated the JDWI service process; SMO PM replacement to start soon.

Last Quarter's Recommendations | Progress

Last Quarter's Recommendations	Progress
• In the resource plan, identify the desired skill sets in the COBIT 5 framework and align these to roles.	• Complete

This Quarter's Recommendations

- Align positions to support Guardian and DCS IT Operations needs.

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 ⬤

- Dependencies are being updated in the program schedule as the PM consolidates and reworks project schedules.
- Regular communications occur with Portfolio-PMO to discuss interdependencies and interfaces.
- Dependencies with DES and ADOA and the associated risks and impacts to DCS Programs are known.
- DCS is aligning with external State agencies on cloud-first initiatives.
- Service catalog interface being rolled out.

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

This Quarter's Recommendations

- Identify dependencies on the Guardian TI vendor.
- Identify dependencies related to Guardian ECM.
- Identify dependencies related to Guardian Data Management.

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 ⬤

- Sponsors are aligned on remaining program approach.
- Separation Network team collaborating with Real Estate division to set the final list of sites to be separated; some discrepancies exist but they do not pose a risk to the program.
- Requests and changes for Separation and Operations projects are reviewed by DCS Operations management.
- DCS OnBase team collaborating with Guardian BI staff to capture content management requirements; overlap expected to grow with new Guardian ECM work stream.

Last Quarter's Recommendations

Last Quarter's Recommendations	Progress
• Build a DCS process and template for appropriately estimating cost and effort of solution design and building (starting with the CRM pilot).	• Complete
• Capture dependencies and requirements for ECM in current Business Requirements efforts.	• Complete

This Quarter's Recommendations

- Align OnBase activities with Guardian ECM work stream.

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 ⬤

- Service delivery processes being developed (e.g. JDWI).
- Revamped service catalog nearing completion and roll out.
- Two contractors in place to assist with runbook and documentation creation.
- As Separation wraps up, planning emphasis / focus is on future state Operations; technical breadth and knowledge being built with the addition of 12 DCS IT staff.
- DCS Operations team positioned to work with TI Vendor (Microsoft) in developing Dynamics expertise and management processes.

Last Quarter's Recommendations

Last Quarter's Recommendations	Progress
• Develop ongoing support strategies. – Develop processes for incident management, problem analysis, ticket escalation, and service catalog management.	• Partial
• Complete runbooks / appropriate documentation. – Assign specific owners over each asset and set deadlines in the project plan.	• Partial
• Create appropriate hand-off documentation. – Identify assets that need vendor input/creation and set deadlines in the project plan.	• Partial

This Quarter's Recommendations

- Develop ongoing support strategies – Develop processes for incident management, problem analysis, ticket escalation, and service catalog management.
- Complete runbooks / appropriate documentation – Assign specific owners over each asset and set deadlines in the project plan.
- Create appropriate hand-off documentation – Identify assets that need vendor input/creation and set deadlines in the project plan.
- Create an IT Operations project dedicated to developing "Day 2" service support.

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

Key Findings	FY18 Q3	🟢	FY18 Q4	🟢

- Network separation proceeding.
- Go-forward network separation testing approach in place with DCS IT staff are aware of their involvement.
- Disaster recovery plans are minimal due to mostly hosted environment; DR testing should be included in plans for all hosts.

Last Quarter's Recommendations

Last Quarter's Recommendations	Progress
• Schedule and perform stress tests. – Update the test schedule in alignment with the re-baselined project timeline, including any new tests that arise from the network re-assessment.	• Complete
• Define and baseline non-functional requirements for testing. – Outline what needs to be done from a systems testing standpoint, and if with existing staff and/or tool sets or not.	• No
• Update Disaster Recovery / Business Continuity Planning strategies for the future state environment.	• No

This Quarter's Recommendations

- Define and baseline non-functional requirements for testing – Outline what needs to be done from a systems testing standpoint, and if with existing staff and/or tool sets or not.
- Update Disaster Recovery / Business Continuity Planning strategies for the future state environment.

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 ⬤

- DCS IT team sourcing skills and tools required to support to-be CRM data management and enterprise content management.
- Service delivery to complete service catalog and roll out of operations processes.
- The vision for future state DCS Service Delivery entails:
  - Distinct teams for Legacy, COTS, and Shared Services;
  - Focus on configuration over development;
  - Useful / scalable processes and documentation;
  - Metrics / data-driven (i.e. measuring releases with bugs);
  - Effective, decentralized asset management;
  - Empowered business with system control, process ownership.

Last Quarter's Recommendations	Progress
• Establish a process for tracking benefits as part of managing benefits realization. – Include KPIs and organizational impact (outcomes) related to the operation of platforms on DCS infrastructure and applications.	• Partial
• Collaborate with Guardian efforts to build out the application portfolio and make rationalization recommendations.	• Complete
• Apply learnings from right-sizing the PMO to building the SMO.	• Complete

This Quarter's Recommendations

- Establish a process for tracking benefits as part of managing benefits realization – Include KPIs and organizational impact (outcomes) related to the operation of platforms on DCS infrastructure and applications.
- Align program metrics and KPIs with acceptance criteria.

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 ⬤

- Separation employs QA staff as-needed.
- QA resource shortages are still a challenge but 3 full-time QA resources (including a Lead) are identified and approved for hire.
- QA constraints should not limit the timely completion of Separation.
- High-level testing and QA needs are in the schedule, but QA activities and resource requirements to be planned in more detail.
- Metrics to measure the quality of technical support are still being developed.

Last Quarter's Recommendations

Recommendation	Progress
Update quality assurance plan and assign ownership to it. – Review the QA plan with the Separation PMs.	• Complete
Develop go forward testing approach / strategy. – Develop the strategy for how DCS will conduct ongoing Operations testing and monitoring in a managed services environment.	• Partial

This Quarter's Recommendations

- Develop go forward testing approach / strategy – Develop the strategy for how DCS will conduct ongoing Operations testing and monitoring in a managed services environment.
- Include QA activities within overall program / work stream schedules.

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 🟢

- One Project Manager to run Separation to completion; some required rework and updating of Separation plan / schedule.
- Project status reports have added significant more details; percentage complete being regularly reported.
- SharePoint used to track status and maintain program documents.
- Portfolio-PCO-PMO-PM collaboration is effective.
- PMO has 'right-sized' some processes and templates that were overly complex or unusable.

Last Quarter's Recommendations	Progress
• Implement Project Governance processes. – Work with Operations to provide guidance, templates and standards.	• Complete
• Build flexible and scalable processes for Request/Project Intake, Testing, Change Management, Release Management, and Systems Configuration.	• Partial
• Apply DCS methodologies and frameworks to Operational project deliverables (i.e. Service Delivery Management).	• Partial

This Quarter's Recommendations

- Build flexible and scalable processes for Request/Project Intake, Testing, Change Management, Release Management, and Systems Configuration.
- Apply DCS methodologies and frameworks to Operational project deliverables (i.e. Service Delivery Management).

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.
- 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 ⬤

- Weekly status updates highlight accomplishments and trends.
- Huddle reports summarizing status in percentages.
- DCS IT communicating with PMs to allocate project vs. ops time.
- DCS IT formalizing communications on process challenges and learnings, with added focus on transition to DCS IT operations.
- Service Delivery is better integrated into communications and kept aware of change impacts in advance of meetings.

Last Quarter's Recommendations

Recommendation	Progress
Add the appropriate variance analysis to weekly status reports.	• Complete
Include Service Desk as a stakeholder in Program communications, especially for changes and releases.	• Complete
Document Separation communications learnings for application to Guardian and Operations.	• Complete

This Quarter's Recommendations

- Add specific counts of quantities delivered and associated percentage complete into status reports (e.g. for network separation, add number of sites).

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 🟡

- Risk, assumptions, issues, and decisions (RAID) log is consolidated and centralized in one list on SharePoint.
- In the fully separated DCS environment, DCS IT expects to be able to identify all infrastructure, software and users, manage assets more closely, and better scope/resolve issues.
- Risk log being reviewed for completeness and quality as part of program oversight.
- Go-forward risk identification to include both tactical and strategic perspectives

Last Quarter's Recommendations

Recommendation	Progress
Ensure a process exists where DCS IT / Security / Service Desk are Informed or Consulted for Mobile initiatives.	• Complete
Develop Security policies for Mobile (i.e. for local data storage, images, communication of security threats).	• Complete

This Quarter's Recommendations

- Reassess completeness, consistency and quality of program risks.
- Identify strategic (e.g. program level) risks as well as tactical (e.g. project challenges) ones.

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 ○

- Managing scope through DCS management oversight.
- Program scope expansion to include application remediation.
- 8 non-CMDB applications have been identified as eligible for remediation from the completed application assessment.
- Analysis to be completed for 6 of the applications to understand potential to add business value in remediation – scope of what can be completed on-time and in budget to be determined.
- OneDrive Migration broken out into its own project work stream.

Last Quarter's Recommendations

	Progress
• Use the latest application assessment/portfolio to inform ongoing Operational scope decisions.	• Complete
• Refine Intake Process to better control scope and acceptance of Separation / Operations projects.	• Complete

This Quarter's Recommendations

- Confirm Application Remediation scope.

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 ⬤

- Project Manager is updating the integrated schedule, incorporating activities from work streams, quality assurance, and IT operations.
- Current schedule does not reflect the all network separation sites; full scope of effort to be mapped out based on current progress of corporate headquarter separation and the final site list.
- Current schedule only reflects a large block of time for application remediation – to be broken out in detail as scope / effort is finalized.
- Project Manager is working to report schedule variance.

Last Quarter's Recommendations | Progress

• Add Operations activities to project schedule. – Collaborate with IT Ops and Service Delivery Management to establish Operational priorities, highlight dependencies, and plot Operational projects on consolidated Program schedules.	• Complete

This Quarter's Recommendations

- Document Network Separation schedule activities.
- Document Application Remediation schedule activities.
- Report a one-page view of the program schedule with critical path and major milestones.

Project Management Practice: Quality Management

Best Practices

- Implement and track progress against an overall quality management process and plan.
- Standards and procedures for technical performance, business performance, quality, and metrics have been established, documented, and is being followed.
- Develop specific acceptance criteria including functional, non-functional and business process items.
- Project metric data are collected and analyzed to identify project trends.

Key Findings | FY18 Q3 ⬤ | FY18 Q4 ⬤

- The current process for engaging QA resources is to go directly to the DCS Quality Manager.
- Limited QA resource capacity is an impediment to QA efficiency.
- DCS is narrowing down on selecting QA tools to automate testing.
- Technical Review Board established for Guardian has not fully launched, but will provide quality management oversight for DCS.

Last Quarter's Recommendations

	Progress
Document and report on quality assurance and quality control activities. – Ensure that Program stakeholders understand the Quality KPIs being monitored.	• Partial
Define a scalable process and rules of engagement for leveraging QA staff on Separation/Guardian and Operations Projects.	• Complete

This Quarter's Recommendations

- Document and report on quality assurance and quality control activities.

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.
- Manage subcontractors on the work to be performed, coordinate the subcontractor's activities, and track and review the subcontractor's performance and results.
- Financial procedures to close the project are planned.

Key Findings   FY18 Q3 ◯   FY18 Q4 ◯

- Program budget is tracking the same over last quarter, and is still in a good financial position.
- The budget position is being reassessed to optimize what is remaining ands how it will be used.
- Updated PIJ.

Last Quarter's Recommendations	Progress
• N/A	

This Quarter's Recommendations

- Match available funding to remaining scope.

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.
- 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 ⬤

- Additional resources have been added to the program.
- Allocation tool and a defined process for resource planning in place.
- PMs manage independent trackers and report to the PCO.
- Resources are not tracked in the program schedule.
- As Separation transitions to Operations, clarity is required from a portfolio level about how to allocate resources in Projects vs. Ops.

Last Quarter's Recommendations

Recommendation	Progress
Develop the resource planning and allocation standard(s) with identified tools and best practices.	• Complete
Design the process for managing contentions / dependencies in resource planning.	• Complete

This Quarter's Recommendations

- Increase resource planning collaboration and consistency.
- Enable a view of DCS portfolio-wide resource needs for PMs.

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 ⬤

- External legislative stakeholders support the program.
- Separation PM is providing Operational stakeholders with visibility into the program, and also helping them to align their priorities and activities with the program.
- Service catalog has been defined and positioned as a baseline for DCS service offerings to the stakeholder community.

Last Quarter's Recommendations | Progress

Last Quarter's Recommendations	Progress
• Leverage Guardian Communication Plan to develop a general Plan or Guidelines for DCS Operations.	• Complete

This Quarter's Recommendations

- Develop stakeholder communications for the service catalog roll out.

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 ⬤

- PMs, DCS Operations and Service Delivery provide change control process for Separation and Operations.
- Determining if onsite resources are needed to help with remote site-specific change management after separation.
- PMO and TI vendor to align on change and release management processes for DCS Transition Management; Separation impacts are to be monitored.

Last Quarter's Recommendations

Last Quarter's Recommendations	Progress
Document the change control process for emergency changes.	• Partial
Implement Service Management Office concepts.	• Partial
Monitor Service Desk requests to offer additional training to stakeholders (e.g. on using the new @dcs.com emails, local network, tablets, etc.).	• Complete

This Quarter's Recommendations

- Implement Service Management Office concepts.
- Document the change control process for emergency changes.
- Define remote site change management approach.

Appendix C: List of Interviewed Stakeholders

List of Interviewed Stakeholders

Interviewees		
Name	**Project Role**	**Job Role**
DeAnn Seneff	Sponsor	IT Operations Director, Deputy CIO, DCS
GeJuan Nelson	Business Analyst	Business Analyst, DCS
John Tyree	Service Delivery Manager	IT Service Manager, DCS
Josh Konantz	Operations Manager	IT Operations Manager, DCS
Linda Jewell	Executive Sponsor	CIO, DCS
Matthew Grant	OnBase Manager	IT Development Manager, DCS
Mike Hale	Project Manager	IT Project Manager, DCS

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