Washington State Administrative Office of the Courts

Quality Assurance Consulting Services

INH EDE Program

Follow-on Assessment Report #4

April 14th, 2017

ISG Team

Name	Title	Phone	E-mail
John Anderson	Founder and President	360.970.4414	john.anderson@isg-nw.com
Gena Cruciani	Principal	253.376.0439	gena.cruciani@isg-nw.com
Tom Boatright	Principal	360.915.3965	tom.boatright@isg-nw.com

Revision History

Revision	Revision Date	Name	Notes
1.0	April 14th, 2017	Tom Boatright	Draft Assessment #4

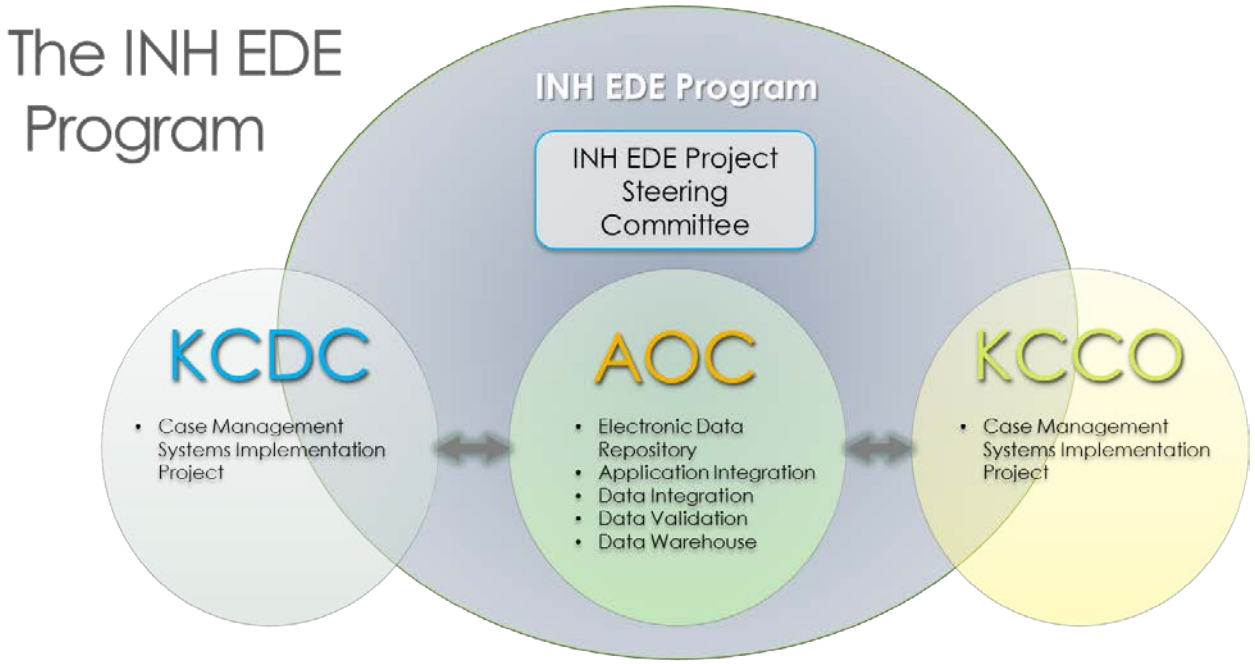
Table of Contents

Executive Summary....4
INH EDE Follow-on Assessment Report #4 – Assessment Diagram....8
Executive Summary Dashboard - INH EDE Follow-on Assessment Report....9
1.0 Planning Oversight.... 12
2.0 Program Management.... 13
2.1 Project Sponsorship.... 13
2.2 Management Assessment.... 14
2.3 Project Management.... 15
2.4 Business Process Reengineering.... 16
2.5 Risk Management.... 16
2.6 Change Management.... 16
2.7 Communications Management.... 17
2.8 Configuration Management.... 17
2.9 Program Estimating and Scheduling.... 18
2.10 Program Personnel.... 18
2.11 Program Organization.... 19
2.12 Subcontractors and External Staff.... 19
3.0 Quality Management.... 20
3.2 Quality Assurance.... 20
4.0 Requirements Management.... 21
4.1 Requirements Management.... 21
4.2 Security Requirements.... 21
4.3 Requirements Analysis.... 22
4.4 Interface Requirements.... 22
7.0 Software Development.... 23
7.1 High Level Design.... 23
7.2 Detailed Design.... 23
7.3 Code.... 23
8.0 System and Acceptance Testing.... 24
8.1 Acceptance and Turnover.... 24
10.0 Data Management.... 25
10.1 Data Conversion.... 25
11.0 Operations Oversight.... 26
11.1 Operations Oversight.... 26
Appendix B. ISG INH EDE Discovery Interviews.... 27
AOC Interviews.... 27
INH EDE Stakeholder Interviews.... 27
Appendix B. INH EDE Follow-on Assessment Report.... 28
ISG QA Process Background and Approach.... 28
ISG Qualitative Analysis System.... 28
Appendix C. ISG INH EDE Discovery Documentation.... 29

Executive Summary

This follow-on report constitutes the fourth of nine (9) quality assurance assessment reports that will be conducted for the Information Networking Hub Expedited Data Exchange (INH EDE) Program. The final assessment will be comprised of a "lessons learned" report. This fourth report builds on the Baseline and subsequent reports provided by the Integrated Solutions Group (ISG) team starting in June of 2016.

The Information Networking Hub Expedited Data Exchange (INH EDE) is currently under development by the Administrative Office of the Courts (AOC). When complete, the INH EDE will perform a critical business function of providing access to offender data statewide, across jurisdictions so that continued public safety of Washington residents can be assured. The INH EDE will eventually replace a legacy data repository that contains offender data from all thirty-nine Washington counties.



The Bassline Assessment report emphasized the need for the INH EDE stakeholders to recognize the endeavor as a program and not as individual projects. Additionally, the Baseline Assessment and follow-on reports #2 and #3 highlighted and prioritized recommendations that focused on achieving ***efficient planning*** (develop and implement a Program Management Plan – (PMP); ***effective communications*** (develop and implement the communication plan within the PMP); and implementation of ***program controls*** (operationalize processes in the PMP). The Program has made strides in this regard, with development and utilization of program level management and control mechanisms that have enhanced not only the program's performance, but also have reduced assessed risks to deliver on the program's critical milestones.

ISG developed assessment report #4 during the four months following delivery of assessment report #3. During the four months since delivery of assessment report #3 significant technical challenges were identified and brought forward to the Steering Committee and Executive Stakeholders. Initially in the December and January Steering Committees, issues around data management between enterprise AOC information system were reported. These issues were followed by the program manager reporting in the subsequent month's Steering Committee, that lack of resources within several AOC tracks were significantly impacting the program's projected Integrated Program Schedule (IPS) milestone completion dates. Both sets of issues were brought to the Steering Committee for resolution. In February of 2017, the Steering Committee requested that the managers form a focus group to resolve the resource and technical complexity issues and risks. The three (3) organizations of AOC, KCDC and KCCO spent several focused sessions working to develop potential resolutions. In the end, the group determined that the best path forward was to re-cast the program schedule. The program's focused group worked in a collaborative and productive manner to produce a revised program schedule. This new program schedule was a clear reflection of the program management team working together to represent the whole program and not only their own respective tracks. The program managers presented the revised program plan in the March Steering Committee for approval. The Steering Committee voted in favor of moving forward utilizing the revised program plan. Significant commitment to a program perspective resulted in what ISG has assessed to be a workable re-casting of the program schedule.

In addition to the progress achieved in re-casting the program plan, ISG recognizes the accomplishments made by AOC during the reporting period including:

- **AOC INH EDE Team Reorganization**: AOC has reorganized their internal teams to align to the recasting of the program plan. In addition, the team now includes a business owner to further secure the business requirements lifecycle within the program.
- **Program Resource Acquisitions**: All levels of the program, from executive stakeholders to the business teams represented within the program have worked to acquire business analysts. This process is producing results and program managers are optimistic that the business analyst resource issues will be mitigated.
- **Vendor Management**: AOC is managing the Data Integration contract in a manner that continues to produce needed outcomes. In addition, Data Validation procurement support has been realigned to support unforeseen changes in the procurement schedule, and at the time of this assessment, the DV procurement process has been assessed to be on track.

Emphasis of Follow-on Report #4

ISG emphasizes for this reporting period three (3) critical program areas to mitigate risks and improve the likelihood of success specific to scope, schedule, and budget. The following areas represent those themes and are a summary of the recommendations that follow throughout the detailed recommendations provided in this assessment report.

1) **Proficient Management Controls:** With the development of the re-casted program

plan, a detailed program schedule has been developed to actively manage at a detailed task level the activities of the program. This detailed program schedule should be a point of emphasis by the Steering Committee and Executive Stakeholders. The detailed program schedule should have assigned to it, sufficient resource to ensure its daily update and should be utilized by program stakeholder and managers to carefully assess the program's ability to meet its revised schedule around critical milestones.

2) **Effective Communication:** Because of the number of stakeholders and dependencies across the tracks and projects, the detailed program plan will require active and regular communication sessions to ensure the various parties are working in concert toward common goals and objectives.
    a. Continue to improve and mature communication and meeting processes including optimization of the weekly Project Management meeting (Monday afternoons) so that meaningful discussion occurs at lower levels within the program prior to Steering Committee discussion. Consider expanding the meeting and reducing the frequency, adopting a structured agenda, incorporating remote meeting techniques (Skype or WebEx), and using risk, issue and change management processes to queue up decisions for Steering Committee agendas.
3) **Coordination of Integration Points**: The INH EDE program is an integration effort across multiple organizations and systems. To be successful, the program must establish plans for effective integration as follows:
    a. Adopt **Requirements Management** processes immediately. The program continues to discuss requirements without a clear definition and common understanding of what is being built. The program needs to answer what functionality will be in place and by when for the multiple parties to successfully integrate.
    b. Develop a **Test Management Plan** as rapidly as possible that defines an agreed upon end to end testing approach including testing definitions, scope, scenarios, roles/responsibilities, schedule, environments, data preparation, release cycles and timing, and defect reporting and triage. Without advance definition and agreement, an aggressive testing cycle in the upcoming schedule of events will likely not result in the expected outcomes.
    c. Finalize and implement the **Data Migration Plan** as rapidly as possible that defines data sources, targets, timing, methodology, mapping, etc. Now that Data Integration is in production, this document should actively govern on-going processes.

Although the INH EDE program has endured several months of significant challenges and issues, the commitment of executive sponsors and managers to work through those

challenges has been in full view and has been an outstanding indicator of the commitment this group has and needs to achieve the program's goals and objectives.

That said, the program now faces new decision points. With resource constraints still being experienced within the program as well as the continued emergence of technical complexity of several areas of the program, it is highly likely that more support from executive stakeholder will be required. The ISG overall assessment diagram that follows depicts a program that is operating at extreme risk thresholds and will face program wide critical issues in the upcoming months.

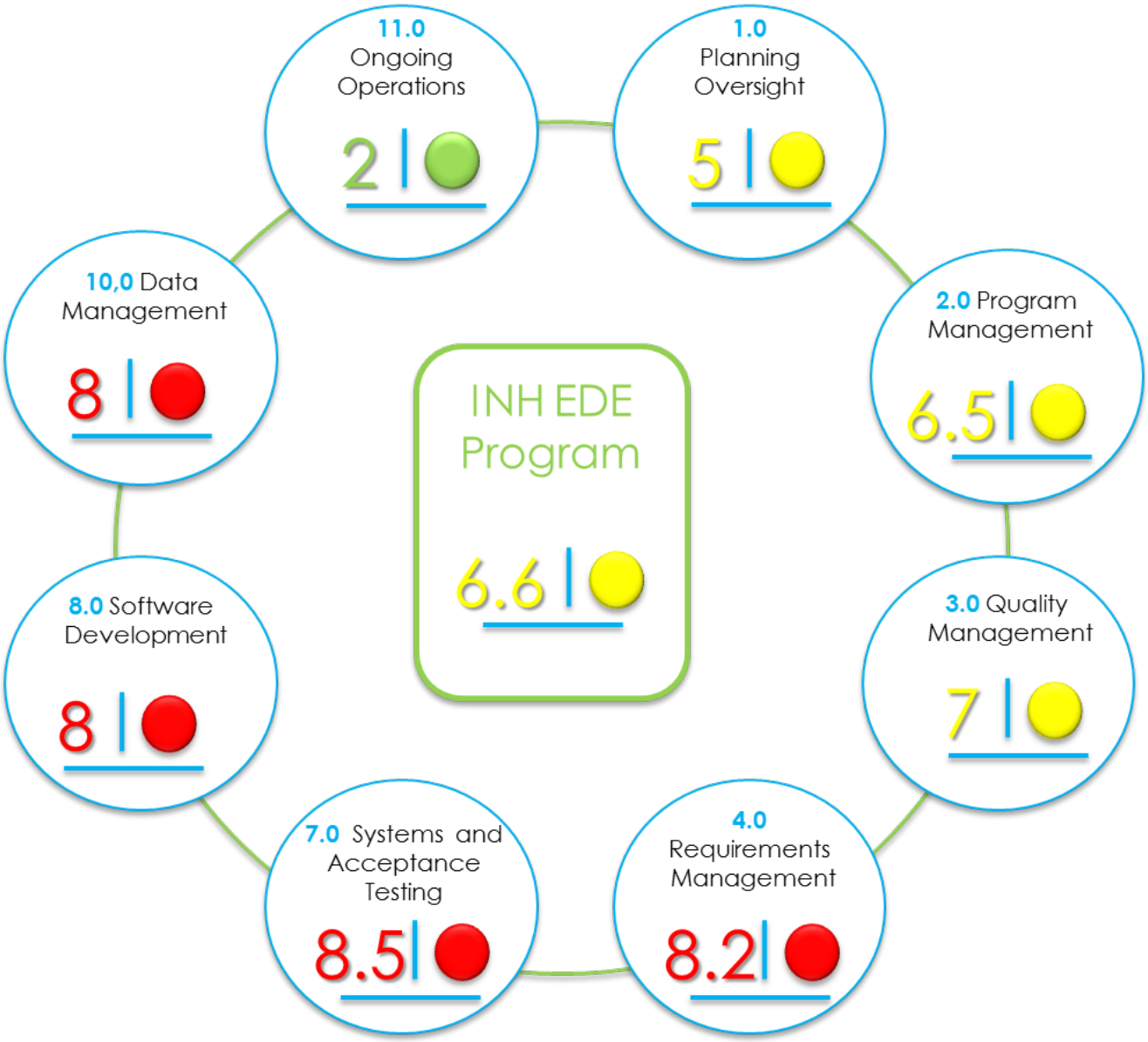
The program should utilize its strengths during this period of time, focusing on the assets that have supported the program's progress to this point:

1) **Executive Sponsorship:** the program has committed and involved executive sponsors. The executive sponsors will continue to be important to the program as it will continue to face challenges that require support. Resourcing challenges, budget support, system functional issues have all been supported by the executive sponsors of this project and will be required through the program's completion.
2) **Program Steering Committee:** the program has benefited by the support of a strong Steering Committee. Cross program representation, managerial expertise and technical expertise have all benefited the program in resolving issues that emerged during its early phases. Continued focus of the Steering Committee Charis on the productivity of this forum, and participation of all its members will be critically important as the program moves into it's pilot and implementation phases.
3) **Program Managers:** the program managers that represent all the tracks of this program, and their commitment to working together for the overall achievement of the program goals will continue to be critical as the program enters its next stages. The program managers group has made significant progress in this regard and no doubt will continue to be asked to continue maturing their working relationships as the program enters implementation phases.

The executive and detailed summaries that follow describe the qualitative and quantitative results of the evaluation processes utilized by ISG. For the follow-on report, evaluation is based on assessments of baseline report recommendations. Newly added recommendations are highlighted as such, but within the same numbering scheme as established in the baseline assessment report.

The INH EDE program's impact assessment rating of **6.60** for the 4th assessment report reflects a program that is inherently complex and will likely be a high-risk project throughout its entire lifecycle. This rating should result in a continued urgency by executive sponsors and program managers to continue taking recommended action to mitigate the risks.

INH EDE Follow-on Assessment Report #4 – Assessment Diagram



ISG Quantitative Analysis System

Green – 1 through 3 impact weighting – Best practices, expected processes, procedures and policy, and active application of management controls. No or very little adverse impact is anticipated. 1 to 3

Yellow – 4 through 7 impact weighting – practices, procedures, processes and policy analysis yield findings that could adversely impact project outcomes; recommendations for correction or remediation are warranted. 4 to 7

Red – 8 through 10 impact weighting – practices, procedures, processes and policy analysis yield findings that have a high likelihood to adversely impact program outcomes. Recommendations for correction or remediation are time sensitive and prioritized as needing immediate attention. 8 to 10

Executive Summary Dashboard - INH EDE Follow-on Assessment Report

The table below includes summary of recommendations for each of the assessment categories that follow in the detailed assessment tables. See INH EDE Follow-on Assessment Report in the following section for all recommendations.

Category Level Assessment and Recommendations Summary	Impact Assessment
1.0 Planning Oversight	
Assessment Summary The alignment and coordination of the procurement services support for the program have been determined to be aligned to program needs. In addition, the program's actively changing procurement needs have been met by the procurement support team, indicating a high level of coordination and commitment that is needed to ensure requirements are met. **Recommendations Summary** Continued coordination and communication should be a point of emphasis between the procurement services and program managers. The observed coordination in this reporting period has had a positive impact on the program's performance.	5
2.0 Program Management	
Assessment Summary The AOC program management team was reorganized to include a program manager, technical track manager and business track manager. In addition, the program's schedule was re-cast into a detailed program plan. Both program management adjustments were assessed by the ISG team as being required of the program to meet its overall milestones and goals. **Recommendations Summary** The program management team should have weekly meetings focused on review and assessment of program activities utilizing the newly developed program detailed plan. Current program manager one (1) hour meetings should be a focus point for this management effort.	6.5
3.0 Quality Management	

Assessment Summary As the program moves into a phase of its lifecycle that has the highest levels of deliverables being finalized, a focus on quality management and thorough review process of deliverables is a critical function to ensure the program goals and objectives are met in a timely manner. **Recommendations Summary** Program manager, technical lead and business leads should use the detailed program plan and deliverables/milestones definition to enact required approval of all program deliverables.	7
4.0 Requirements Management	
Assessment Summary The program continues to discuss requirements without a clear definition and common understanding of what is being built. The program needs to answer what functionality will be in place and by when for the multiple parties to successfully integrate. **Recommendations Summary** Program manager, technical lead and business leads need the detailed program requirements catalog to manage program requirements as the program moves into its next stages. Definition of the business requirements is critical to program ongoing activities.	8.2
7.0 Software Development	
Assessment Summary With the re-casting of the program plan and the focus on prioritizing the development activities, application development will reside within newly defined program goals. This integration and prioritization of software development to reside within program goals, is critical for managing and the utilization of resources. **Recommendations Summary** Program managers will be required to diligently manage development activities within each goal ensuring that activities align to plans.	8.0
8.0 System and Acceptance Testing	

Assessment Summary Develop a Test Management Plan as rapidly as possible that defines an agreed upon end to end testing approach including testing definitions, scope, scenarios, roles/responsibilities, schedule, environments, data preparation, release cycles and timing, and defect reporting and triage. Without advance definition and agreement, an aggressive testing cycle next spring will likely not result in the expected outcomes. **Recommendations Summary** A focus on program testing and associated testing plans should be an emphasis of weekly program managers' meetings. Communications in weekly meetings should illicit the gathering of data regarding the test plan, coordination and testing progress.	8
10.0 Data Management	
Assessment Summary Finalize and implement the Data Migration Plan as rapidly as possible that defines data sources, targets, timing, methodology, mapping, etc. Now that Data Integration is in production, this document should actively govern data management processes. **Recommendations Summary** Program manager, technical lead and business leads should focus on the development of the Data Migration Plan.	8
11.0 Operations Management	
Assessment Summary Program manager, technical lead and business leads are working on the development of the operations plans the program will utilize once it enters its pilot and implementation phases. **Recommendations Summary** Program manager, technical lead and business leads should work to have draft plans in time for the review cycles to occur before the plan is needed in Pilot phases.	2

1.0 Planning Oversight

QA Framework Elements for Planning Oversight Category and Sub-Category														
PO1	PO2	PO3	PO4	PO5										

Recommendations	Status	Current Assessments	Follow-on #4	Follow-on #3
1.1.1. High Priority Recommendation: Develop a procurement strategy to support program vendor and staffing needs.	Closed	The alignment and coordination of the procurement services support for the program have been determined to be aligned to program needs. In addition, the programs actively changing procurement needs have been met by the procurement support team, indicating that there is a high level of coordination and commitment that is needed to ensure requirements are met. A. Programs management of the Data Integration (DI) vendor has been important to ensuring the goals and objectives of the DI track are met. B. The acquisitions of business and technical resources needed to support the program during the assessment period has been instrumental in providing needed resources for the program. C. Management of the Data Validation procurement process during the project re-casting will be a benefit to the program as this service is required in the upcoming phases of the programs activities.	5.0	7.0
1.1.2. High Priority Recommendation: Account for procurement tasks and dependencies within the overall schedule.	Closed			
1.1.3. Develop a high-level procurement plan and strategy that can be utilized by other areas of the program for planning purposes.	Closed			
1.1.4. High Priority Recommendation: Consider development of alternative procurement processes and methods (i.e. convenience contracts that would enable the development of talent pools to be utilized by the project).	Closed			

2.0 Program Management

QA Framework Elements for Project Management (PM 1 through 39) Category and Sub-Category's														
PM1	PM2	PM3	PM4	PM5	PM6	PM7	PM8	PM9	PM10	PM11	PM12	PM13	PM14	PM15
PM16	PM17	PM25	PM25	PM28	PM30	PM31	PM32	PM38	PM39					

Recommendations	Status	Current Assessments	Follow-on #4	Follow-on #3
2.1 Project Sponsorship				
2.1.1. High Priority Recommendation: Adopt a standard executive view dashboard to report program and track status monthly so that progress can be monitored in an objective and measurable way.	**Open**	The Program has developed and is in the process of implementing a new detailed program plan. This tool will be used as an extended detail of the re-cast Integrated Program Schedule (IPS). The Program Manager and Technical Manager have committed to producing a network diagram facilitated by the (.mpp) for use by the Steering Committee to monitor status.	5.0	6.0
2.1.2. Re-affirm or adjust Steering Committee membership and voting roles given recent staffing additions.	**Closed**	The Program Manager drafted a revised Steering Committee Charter that refined membership and roles. The charter has been adopted and approved, this recommendation is closed.		
2.1.3. Identify all decisions to be addressed in advance of the Steering Committee and include on the agenda.	**Closed**	The Steering Committee decision making process has been modified to include decisions to be addressed within upcoming meeting. this recommendation is closed		

Recommendations	Status	Current Assessments	Follow-on #4	Follow-on #3
2.1.4. Make a decision during the Steering Committee meeting; OR, clearly identify the path to a decision in a decision log. Follow up on the identified action item at the next meeting until the decision is complete and documented in the log	**Open**	The Steering Committee decision making process has been modified to include a decision log. This recommendation evaluation stays open for continued evaluation of defined processes.		
2.1.5. Communicate decisions back to respective team members after each Steering Committee meeting.	**Closed**	The Steering Committee decision making process and associated communication process has been defined. This recommendation is closed.		
2.1.6. Review the meeting protocols and reaffirm or adjust as agreed to by the membership.	**Closed**	The Program Manager drafted a revised Steering Committee Charter that refined membership and roles. The charter has been adopted and approved		
2.1.7. Agree on notice for SC materials to be published.	**Closed**	The Program Sponsors implemented a process for SC materials review and notice.		
2.1.8. Identify decisions on SC agenda in advance of meeting.	**Open**	The Steering Committee decision making process and associated communication process has been developed. This evaluation stays open for continued evaluation of defined processes.		
2.2 Management Assessment				
2.2.1. High Priority Recommendation: Clarify roles and responsibilities, lines of authority and communication, within tracks and across the program.	**Closed**	The Program has developed a new organization chart that reflects positions and assignments.		

Recommendations	Status	Current Assessments	Follow-on #4	Follow-on #3
2.2.2. High Priority Recommendation: Identify responsibility for decision making and criteria for escalation	Closed	The newly establish Program Management Plan (PMP) does establish an issues management process and in association, a decision-making management process.	5.0	7.0
2.2.3. High Priority Recommendation: Develop an integrated, high-level view of the schedule showing critical milestones and inter-dependencies across projects/tracks.	Open	The Program has developed and is in the process of implementing a new detailed program plan. This tool will be used as an extended detail of the re-cast Integrated Program Schedule (IPS). The Program Manager and Technical Manager have committed to producing a network diagram facilitated by the (.mpp) for use by the Steering Committee to monitor status.		
2.2.4. High Priority Recommendation: Conduct a program kick off with the teams to reinforce the program schedule, scope, roles and responsibilities, etc. Consider coordinating this activity with current town hall program meetings.	Closed	The program has focused on communicating the revised plans throughout stakeholder groups and as a result has completed this recommendation.		
2.3 Project Management				
2.3.1. Develop a Program Management Plan (PMP) that aligns with the recommended PMBOK PMP. To realize the benefit of a PMP as quickly as possible, ISG recommends development of the PMP in three (3) iterations: 1st Iteration: Document the three (3) program baselines (scope, schedule and budget); 2nd iteration: Document standard processes to be applied across the program for Communications Management, Stakeholder Management, Procurement Management, Human Resources Management, Change Management and Risk	Closed	The Program Manager has made significant progress on developing the Program Management Plan (PMP). ISG has been reviewing and actively providing input to this plan as it's in the development process. The current version of the PMP is comprehensive and will realize the benefits that a PMP can bring to a Program such as the INH EDE endeavor.	6.0	6.0

Recommendations	Status	Current Assessments	Follow-on #4	Follow-on #3
Management; 3rd iteration: Document standard processes to be applied across the program for Configuration Management, Scope Management, Schedule Management, Cost Management, Quality Management, Process Improvement and Requirements Management.				
2.4 Business Process Reengineering				
2.4.1. High Priority Recommendation: Conduct a business impact assessment to determine overall impact and determine need for organizational change management and business process re-engineering to support continued public safety.	**Open High Priority**	ISG has assessed that the business impact areas of the program are in development and a plan is being assembled. Recommendation emphasis continues in regard to this effort in terms of prioritization for needed resources and agency focus to ensure a process can be enacted and support the programs goals. This recommendation is a High Priority Recommendation and under continued evaluation by the ISG team.	8.5	8.5
2.4.2. High Priority Recommendation: Develop a plan for addressing business impacts based on outcomes of the assessment. Consider bringing in a User Advisory Group to consult on impact and approach.	**Open High Priority**			
2.5 Risk Management				
2.5.1. High Priority Recommendation: Develop and maintain a RAID log documenting risks, assumptions, issues and decisions; publish log in a central repository for communicating to team members.	**Closed**	The Program Manager has implemented a defined risk management process (defined in the PMP).	6.0	7.0
2.5.2. Log all decisions in a central repository so there is a clear record and the decisions can be communicated broadly to the team.	**Open**	The program manager is in the process of developing an associated decision log to be utilized to track program decision process and agreements.		
2.6 Change Management				

Recommendations	Status	Current Assessments	Follow-on #4	Follow-on #3
2.6.1. Develop a Change Management Plan as part of the larger PMP (see recommendation 2.3.1) that identifies the formal process for identifying, approving and communicating changes to scope, schedule and budget.	**Open**	Change Management is addressed in the PMP, however has yet to be implemented. This will remain an open recommendation and under continued evaluation by the ISG team.	9.0	9.0
2.7 Communications Management				
2.7.1. High Priority Recommendation: Schedule regularly occurring meetings for AOC Program Manager and Track Program Managers to stay in synch and coordinate activities across tracks.	**Open**	Communications Management is addressed in the PMP, and the Program Manager has taken steps to implement the described processes. ISG has assessed progress in implementing measure to meet this recommendation to having positive impacts to programs operations. Additional focus on agenda's, cadence of meetings, tools (Skype), duration and focus points of program forums is recommended for the continued pursuit of benefits. ISG will continue to assess this recommendation for closure through the upcoming assessment cycle.	5.0	6.5
2.7.2. High Priority Recommendation: Schedule regularly occurring meetings between AOC managers, KCDC and KCCO PMs to address integration points between AOC and other jurisdictions.	**Open**	The program manager needs to immediately formalize the weekly program manager meeting. ISG is urging that a formal agenda be developed, that the forum has a focus on the detailed program plans and that thorough communication occur in this forum to ensure all understand status and issues facing the program.		
2.8 Configuration Management				

Recommendations	Status	Current Assessments	Follow-on #4	Follow-on #3
2.8.1. High Priority Recommendation: Review configuration management processes in project management level and technical management level meetings.	**Open High Priority**	Configuration Management has not been established within the Program and in such remains an ISG recommendation. As the month's pass and scheduled Program milestones approach, not having a defined configuration management processes in place and implemented is an increasing risk to the Program. This recommendation is a High Priority Recommendation and under continued evaluation by the ISG team.	9.5	9.5
2.9 Program Estimating and Scheduling				
Note: See Recommendation 2.3.1 for developing a PMP that includes a program Schedule Baseline. The baseline should be developed using estimates from the team performing the work and should clearly identify the critical path. Once baselined, defined change management processes should be used to identify and approve a critical path schedule change.	**Open**	The Program is in the process of developing the detailed program plan. This plan includes detail for all the activities within the program, to include dependencies and resource requirements.	7.0	4.0
2.10 Program Personnel				
2.10.1. High Priority Recommendation: As part of the PMP, develop a program level staffing management plan that provides a high-level plan for staffing needs, acquisition and management.	**Open**	The program has made strides in attending to the resources needs realized by the program over the past few months. Executive stakeholder, program		

Recommendations	Status	Current Assessments	Follow-on #4	Follow-on #3
2.10.2. High Priority Recommendation: With staffing management plan developed, look to meet staffing needs by: 1) Consider reallocating staff within or across organizations. 2) Complete the work with the least resource dependent approach. 3) Re-schedule resource dependent tasks that are not on the critical path.	**Open**	sponsors and stakeholders across the program are working to resolve resource issues and this commitment is assessed as making strides in mitigating the resources needs of the program.	7.0	9.5
2.11 Program Organization				
2.11.1. Develop a project organizational chart with clear lines of communication and authority along with clear roles and responsibility definitions as part of the PMP Staffing Management Plan (see recommendation 2.3.1).	**Closed**	The Program Manager has developed an updated organization chart.	7.0	8.0
2.12 Subcontractors and External Staff				
The programs management of sub-contracted and contracted resources is an assessed area of strength as such, there are no recommendations.	**Closed**	The Program continues to manage sub-contractors and contracted resources in efficient and effective ways, incorporating the resources into the Program at an integrated and productive level.	2.0	2.0

3.0 Quality Management

QA Framework Elements for Quality Management (QM 4) Category and Sub-Category's														
QM 4														

Recommendations	Status	Current Assessments	Follow-on #4	Follow-on #3
3.2 Quality Assurance				
3.2.1. Develop a program level quality review for program deliverables at a project and track level.	**Open**	The Program Management Plan has a defined quality review and program deliverables process defined. ISG has reviewed this process and believes once implemented has the potential to ensure all Projects within the Program approve deliverables and Program's progress toward milestones as defined by these deliverables.	7.0	7.0

4.0 Requirements Management

QA Framework Elements for Requirements Management (QM 4) Category and Sub-Category's														
RM 1	RM 2	RM 8	RM 10	RM 11	RM 12	RM 13	RM 14	RM 15	RM 16					

Recommendations	Status	Current Assessments	Follow-on #4	Follow-on #3
4.1 Requirements Management				
4.1.1. High Priority Recommendation: Develop a program level requirements management plan and process as part of the PMP (see recommendation 2.3.1). 1) Utilize a centralized repository model that is available to both technical teams as well as business analysts. Expand licensing of TFS to accommodate central repository model. 2) Develop processes for requirements traceability throughout SDLC.	**Open High Priority**	ISG has assessed the approach and resources required to facilitate the development of the Requirements Management plan and processes. Assessment has been focused on the newly developed program components definition diagram. This tool will be used to organize further requirements management process. The Program being well into its projected development activities, this management tool is significantly behind schedule and creates a scenario where work efforts that are in motion may not be informed by the Program's Requirements. This recommendation will is a High Priority Recommendation and under continued evaluation by the ISG team.	7.5	7.5
4.2 Security Requirements				
4.2.1. High Priority Recommendation: Develop a program level security requirements assessment and monitoring program as part of the overall requirements management component of the PMP.	**Open High Priority**	As described above, the Program does and is utilizing past system security requirements as a foundation for this area, however these requirements need to be reviewed and reconfirmed. This	8.5	8.5

Recommendations	Status	Current Assessments	Follow-on #4	Follow-on #3
		recommendation will is a High Priority Recommendation and under continued evaluation by the ISG team.		
4.3 Requirements Analysis				
4.3.1. High Priority Recommendation: Conduct a program level requirements analysis review as a part of the overall requirements management processes for the program.	**Open High Priority**	As described above, the Program is in the processes of conducting this analysis. This recommendation is a High Priority Recommendation and under continued evaluation by the ISG team.	8.5	8.5
4.4 Interface Requirements				
4.4.1. High Priority Recommendation: Conduct a program level interface requirements analysis review as a part to the overall requirements management processes for the program.	**Open High Priority**	As described above, the Program is in the processes of conducting this analysis. This recommendation is a High Priority Recommendation and under continued evaluation by the ISG team.	8.5	8.5

7.0 Software Development

QA Framework Elements for Software Development Category and Sub-Category's														
SD 2	SD 3	SD 4	SD 5	SD 8	SD 10	SD 11	SD 21							

Recommendations	Status	Current Assessments	Follow-on #4	Follow-on #3
7.1 High Level Design				
7.1.1. High Priority Recommendation: Develop a program level high-level design document. 1) Ensure design requirements can be traced back to system requirements. 2) Create configuration control within high level design documents.	**Open High Priority**	The program level high-level design document is being developed. AOC has allocated new and dedicated resources to this effort. This recommendation is a High Priority Recommendation and under continued evaluation by the ISG team.	8.0	8.5
7.2 Detailed Design				
7.2.1. High Priority Recommendation: Create program level detailed design documentation and processes. 1) Ensure design requirements can be traced back to system requirements. 2) Create configuration control within high level design documents.	**Open High Priority**	As described above, the Program is in the processes of conducting this analysis. This recommendation is a High Priority Recommendation and under continued evaluation by the ISG team.	8.0	8.5
7.3 Code				
7.3.1. High Priority Recommendation: Create configuration control within development plan and approach	**Open High Priority**	The new Program Management Plan outlines configuration control processes, AOC will implement these Program controls within the reporting period potentially reducing this high-risk area. This recommendation is a High Priority Recommendation and under continued evaluation by the ISG team.	8.0	8.5

8.0 System and Acceptance Testing

QA Framework Elements for System and Acceptance Testing Category and Sub-Category's														
ST 15														

Recommendations	Status	Current Assessments	Follow-on #4	Follow-on #3
8.1 Acceptance and Turnover				
8.1.1. High Priority Recommendation: Complete and publish a program-wide test plan that identifies testing definitions, schedule, roles and responsibilities, approach, methodology, scope, entrance and exit criteria for different phases of testing, test reporting, and testing inter-dependencies across components.	**Open High Priority**	The Program Manager has described approach and resources required to facilitate the development of the Testing Plan. The program needs a thorough testing plan to coordinate all levels of testing required of the program. The plan will outline system testing and acceptance processes. This recommendation is a High Priority Recommendation and under continued evaluation by the ISG team.	8.0	8.0

10.0 Data Management

QA Framework Elements for Data Management (DM) Category and Sub-Category's															
DM 1	DM 2														

Recommendations	Status	Current Assessments	Follow-on #4	Follow-on #3
10.1 Data Conversion				
10.1.1. High Priority Recommendation: Develop program level data management plan to include an overall inventory of interfaces identifying parameters by interface as well as individual interface control documents (ICDs) that define the details about the interface including data mapping between systems, ETL and data validation rules, frequency, method of transfer.	**Open High Priority**	The new Program Management Plan outlines program data management processes, AOC will implement Data management process through the development of the Data Management Plan. This plan will be built on and implemented with a focus of coordinating "major data-related events" and reporting these events up to the steering committee if they are items tracked within the new detailed program schedule. The initial census has identified 18 events to be managed under data management. Program controls within the reporting period potentially reducing this high-risk area. This recommendation is a High Priority Recommendation and under continued evaluation by the ISG team.	8.0	8.0

11.0 Operations Oversight

QA Framework Elements for Data Management (DM) Category and Sub-Category's														
OO 1	OO 2	OO 3	OO 4	OO 5										

Recommendations	Status	Current Assessments	Follow-on #4	Follow-on #3
11.1 Operations Oversight				
The assessment of this are of the program has been initiated during this assessment period. No recommendations are being presented to the program at this time.	N/A	ISG has reviewed early drafts of the INH EDE Operations plans and has found the framework of those plans to be aligned to best practices. ISG will continue to evaluate the drafts as they materialize of the next assessment periods.	2.0	2.0

Appendix B. ISG INH EDE Discovery Interviews

ISG conducted interviews as an information gathering and validation process of the discovery and assessment phase. Interview sessions were designed to gather information in relationship to the ISG QA Framework. Interviewee questions were prepared in advance by the ISG team assigning specific QA Framework questions to the roles of individuals being interviewed.

AOC Interviews

1. Kevin Ammons
2. Christine Cook
3. Jenni Christopher
4. Sree Sundaram
5. Kumar Yajamanam
6. Chau Nguyen

INH EDE Stakeholder Interviews

1. Shuyi Hu
2. Barb Miner

Appendix B. INH EDE Follow-on Assessment Report

ISG QA Process Background and Approach

ISG's process in developing the baseline assessment report included discovery interviews, program artifact reviews, and program meeting attendance. Meeting attendance included INH EDE Program Steering Committee, JISC, and/or other program level meetings. Artifact review includes project plans, project budget reports, status reports, deliverable documentation and project management methodology, please refer to (Appendix B & C) for full list interviewees and deliverables reviewed.

Within the follow-on assessment reporting tables that follow, the reader will find both Qualitative and Quantitative assessment findings, both of which are defined as follows.

ISG Qualitative Analysis System

Assessment/Findings:

Describes ISG assessment findings in narrative and qualitative form. This information is gathered from key staff interviews and documentation review and is specific to the ISG QA framework area being assessed.

Expected Outcome:

This area of the assessment report is intended to provide the reviewer with a high-level definition of what is expected from the assessment area. ISG can provide additional detail in these areas to include examples and templates in some cases for AOC utilization.

Project Controls:

The program controls section lists PMI PMBOK and general industry best practices, program/project control techniques and tools. ISG can support this section with examples and discussion of techniques and tools.

Recommendations:

For categories of the assessment framework that have assessment findings, ISG has included recommendations. Recommendations are based on industry best practices and practical ISG team experiences.

Appendix C. ISG INH EDE Discovery Documentation

ISG was provided the following project documents in the assessment and discovery phase. ISG's assessment and findings is based in part on review of the documents reviewed.

INH EDE Program

1. Project Charters/Scope
2. Project Governance
3. Draft EDE Schedule
4. EDR Project Charter _ KC Go Live
5. EDE Program SharePoint site
6. EDE Ingestion List
7. EDE All Staff Presentation 20160426
8. EDE Docs Status Matrix
9. EDE Org Chart Feb9

Committee/meeting

1. JISC Reporting and presentation
2. INH-EDE Project Steering Committee reporting
3. Steering Committee Meeting Minutes
4. JISC EDR Data Standards
5. INH EDE Program Town hall
6. 2016-03-11 AOC & KC Meeting Minutes
7. AOC Expedited Data Exchange March 2016
8. Expedited Data Exchange Budget Status April 2016
9. Expedited Data Exchange Major Milestones
10. Provisionally Approved JIS Data Standards for Alternative Electronic Court Records Systems
11. Application Integration High Level ver 0 9
12. Expedited Data Exchange Steering Committee Agenda 04-15-16
13. 2016-01-15 AOC & KC Meeting Minutes

Project/track

1. Project Track Schedules
2. Project Track Resourcing Information
3. Project Track monthly reports
4. EDE SharePoint Portal
5. EDE Project Budget Summary (Steering Committee)
6. AOC KC Data Exchange Proposal 02-27-15
7. Data Integration and Data Validation Charter _signed
8. EDR InScope_OutOfScopeV1 5
9. JIS Application Integration and Data Warehouse Charter signed
10. Signed AOC Expedited Data Exchange Steering Committee Charter
11. Justification DW
12. Priority Checklist
13. Statement of Work EDE Application Integration revised 4-6-16