City of Portland

Public Safety Systems Revitalization Program

Regional Justice Information Network Project

Periodic QA Evaluation Report

For the Month of January 2013
Deliverable: RegJIN.C.3

V2.0 FINAL
02/13/2013

Prepared By:

CASE
Associates
Incorporated

Clifford Smith, PMP, Project Lead, Quality Assurance Consultant
David Sharon, QA Consultant and Engagement Manager
Beverly Hempleman, QA Consultant
Contract # 30002849

Periodic QA Evaluation Report
For January 2013

Table of Contents

Summary of Project QA Progress and Status 3
- OVERALL PROJECT QA STATUS 3
- OVERALL PROJECT HEALTH 4
- QUALITY FOCAL POINTS RATED ALERT 4
- QUALITY FOCAL POINTS RATED ATTENTION 4

Quality Focal Point Summary Chart 5

Quality Focal Points 6
- *Milestones* 6
- *Requirements Management* 6
- *Project Schedule* 7
- *Communications* 8
- *Risk and Issue Management* 8
- *IT Acquisition* 9
- *Technical Transition and Business Process Re-Engineering* 10
- *Project Organization and Leadership* 11
- *Project Resources* 12
- *Project & Quality Management and Reporting* 13
- *Budget Planning and Tracking* 14
- *Scope and Change Control* 14
- *Roles and Responsibilities and Communications* 15
- *IT Architecture* 15
- *IT Acquisition Management* 15
- *Project Library and Configuration Management* 16
- *System Definition Process* 17
- *System Design Process* 17
- *Data Conversion and Migration* 18
- *Configuration and Construction Process* 18
- *Testing (Functional, Capacity, and Performance)* 19
- *User Acceptance Process and Business Process Transition* 20
- *Training* 20
- *Implementation Process* 21
- *Deployment Process* 21

Purpose and Methodology 22
- PURPOSE OF THE MONTHLY REPORT 22
- METHODOLOGY 22

Version	Date	Comments
V1.0	2/6/2013	Version for PSSRP review
V2.0	2/13/2013	Final version incorporating suggestions from PSSRP

Periodic QA Evaluation Report
For January 2013

Summary of Project QA Progress and Status

The PSSRP Regional Justice Information Network (RegJIN) Records Management System (RMS) Project is to replace the existing Portland Police Data System (PPDS) along with increasing the integration between its various components and enhancing its core capabilities.

CASE Associates Inc. (CAI) was selected to perform the independent QA on the City of Portland PSSRP Program which includes the RegJIN Project. This is the third monthly RegJIN Periodic QA Evaluation Report intended to assess the health of the project and provide independent observations (positive or negative) and recommendations for avoiding and/or responding to any future negative impacts.

Overall Project QA Status

Contract negotiations with Versaterm are underway. Site visits to discuss the use of the Versaterm RMS occurred in December 2012 and January 2013. Twenty six scoping sessions with Versaterm took place the week of 1/14/2013. Eighty people from ten law enforcement agencies participated in the sessions. The discussions, decisions, and action items from the scoping sessions were documented by Versaterm and sent to the RegJIN Team for review and comment. The contract negotiation process is on schedule.

The Master IGA and the draft Participant IGA (P-IGA) were completed and are being prepared for distribution to the partner agencies for review.

The project is well managed. The Versaterm Negotiation Plan/Schedule and the project status reporting are comprehensive. Project Status Reports are prepared weekly and posted on the RegJIN website along with the minutes from the PAC Meetings. The Project Management documentation will be updated when the contract with Versaterm is finalized. CAI will review the project documents as they are updated and will provide suggestions and recommendations for revising and/or creating the documents necessary for managing the project.

Periodic QA Evaluation Report
For January 2013

Overall Project Health

Overall Rating: Stable

The overall health of the project is based on the three main areas described in the table below:

Health Factor	Rating	Comments
Schedule	Stable	The project has a schedule that describes the plan and tasks for the contract negotiations with Versaterm, The negotiation tasks are on schedule.
Budget	Stable	The project has a budget that is more than the Versaterm's proposal. The sufficiency of the budget will be better known after contract negotiations with Versaterm. A rise in system sustainability costs could impact partner agency participation. Additional costs may result from the scoping sessions with Versaterm.
Scope	Stable	The product scope was clearly defined in the RFP. Verifying and validating the scope with Versaterm is part of the negotiation plan. Scoping Sessions with Versaterm occurred the week of January 14. Decisions and action items (tasks) resulting from the scoping sessions have been documented and are being reviewed.

Quality Focal Points Rated Alert

NONE - No Quality Focal Points are impacting the project at this time.

Quality Focal Points Rated Attention

NONE - No Quality Focal Points need attention so they won't impact the project.

Definition of Risk Factors:

Stable - The Quality Focal Point is stable and not currently impacting the project.

CAI may include a **Suggestion** in a QFP rated as Stable. CAI rated the QFP as stable because it is not impacting the project at this time. The suggested action is a preventive measure to keep the QFP stable.

Attention - The Quality Focal Point needs some improvement so it won't impact the project.

CAI includes a **Recommendation** for every QFP rated Attention. The recommended action is a corrective measure to improve the QFP so it won't impact the project.

Alert - The Quality Focal Point is impacting the project and needs immediate attention.

CAI includes a **Recommendation** for every QFP rated Alert. The recommended action is a corrective measure to improve the QFP that is currently impacting the project.

Periodic QA Evaluation Report
For January 2013

Quality Focal Point Summary Chart

Quality Focal Point	Impact	Prior as of: 12/5/2012	Prior as of: 01/02/2013	Current as of 02/06/2013
1. Meeting Milestones	High	Stable	Stable	Stable
Quality Planning	**Impact**	**Prior as of: 12/5/2012**	**Prior as of: 01/02/2013**	**Current as of 02/06/2013**
2. Requirements Management	High	Stable	Stable	Stable
3. Project Schedule	High	Stable	Stable	Stable
4. Communications	Medium	Stable	Stable	Stable
5. Risk and Issue Management	Low	Stable	Stable	Stable
6. IT Acquisition	Low	Stable	Stable	Stable
7. Tech. Transition and Business Proc. Re-engr'g	Medium	Stable	Stable	Stable
Quality Assurance / Quality Control	**Impact**	**Prior as of: 12/5/2012**	**Prior as of: 01/02/2013**	**Current as of 02/06/2013**
8. Project Organization and Leadership	High	Stable	Stable	Stable
9. Project Resources	High	Stable	Stable	Stable
10. Project/Quality Management and Reporting	Medium	Stable	Stable	Stable
11. Budget Planning and Tracking	High	Stable	Stable	Stable
12. Scope and Change Control	High	Stable	Stable	Stable
13. Roles, Responsibilities and Communications	High	NR[1]	NR	NR
14. IT Architecture	Low	NR	NR	NR
15. IT Acquisition Management	Low	NR	NR	NR
16. Project Library and Configuration Mgt.	Low	Stable	Stable	Stable
System Delivery	**Impact**	**Prior as of: 12/5/2012**	**Prior as of: 01/02/2013**	**Current as of 02/06/2013**
17. System Definition Process	Medium	NR	NR	NR
18. System Design Process	Medium	NR	NR	NR
19. Data Conversion/Migration	High	NR	NR	NR
20. Configuration/Construction	High	NR	NR	NR
21. Testing (Functional, Capacity, Performance)	High	NR	NR	NR
22. User Acceptance, Business Process Transition	High	NR	NR	NR
23. Training	High	NR	NR	NR
24. Implementation Process	High	NR	NR	NR
25. Deployment Process	High	NR	NR	NR

[1] "NR" indicates Not Rated for this report.

Periodic QA Evaluation Report
For January 2013

Quality Focal Points

1	Milestones **Project milestones are being met on schedule.** The Milestone QFP assesses the scheduled completion of interim and major project milestones and their impact on overall project completion. **Risk Level** Stable / Attention / Alert
1.1	Are interim project milestones being met so far? **Finding**: YES – All milestones have been met to date. Initial contract negotiations with Versaterm occurred November 29 and 30. Site visits took place in December and January to better understand the use of the Versaterm RMS. Scoping Sessions were conducted with Versaterm the week of 1/14/2013. The City Attorney has completed the Master IGA and the draft Participant IGA (P-IGA) and associated exhibits. Both the Master IGA and the draft P-IGA will be reviewed by the partner agencies. It is not known at this time if there will be a loss of partner agency participation due to unacceptable terms and conditions in the Master and/or Partner IGAs or due to a rise in system sustainability costs.
1.2	Are major project milestones being met so far? **Finding:** YES - See the RegJIN Weekly Project Status Report dated 02/01/2013.
1.3	Is there sufficient time (with appropriate slack) to complete the project before the committed completion date? **Finding:** TBD – The project will not have a committed completion date until the contract with Versaterm is finalized.

2	Requirements Management **The Requirements Management process is appropriate and thorough.** **Risk Level** Stable / Attention / Alert
2.1	Are the System and Business Requirements understood and confirmed? **Finding:** YES – Business and Technical Requirements were defined and documented in the RFP. These requirements and the project's scope are being verified and validated as part of the negotiation process with Versaterm. A thorough gap analysis will be conducted during contract negotiations. Approved customizations will be included in the contract. Scoping Sessions were conducted with Versaterm the week of 1/14/2013 to address all subjects that impact costs, scope and timing.
2.2	Are requirements traceable to design? **Finding:** TBD
2.3	Are requirement change impacts understood and documented? **Finding:** TBD during the scope sessions with Versaterm.
2.4	Are test conditions defined to validate requirements compliance? **Finding:** TBD

Periodic QA Evaluation Report
For January 2013

3	Project Schedule **The project is appropriately planned.** The Planning QFP provides an assessment of the breadth and depth of project planning, scope definition, scheduling and identification of external dependencies. **Risk Level** Stable / Attention / Alert
3.1	Are all appropriate tasks identified in the work breakdown structure (WBS) and/or project plan? **Finding:** TBD after the contract with Versaterm is finalized, however see 3.10 below. The contract will include the work breakdown structure (WBS) and statement of work (SOW). With the WBS and SOW a complete, detailed project schedule can be prepared. A tentative Project Schedule was updated in October. The schedule includes the tasks for the contract negotiations with Versaterm. The detailed Master Project Schedule cannot be developed until the contract with Versaterm is finalized.
3.2	Are dependencies among tasks identified, including decision dependencies? **Finding:** TBD
3.3	Has a schedule been established and is it reasonable based on resources (budget), productivity assumptions and dependencies? **Finding:** TBD
3.4	Is the plan clear and detailed enough to monitor progress? **Finding:** TBD
3.5	Is the project plan used to track progress and updated on a regular basis? **Finding:** TBD
3.6	Are external project dependencies identified in the plan? **Finding:** TBD
3.7	Have appropriate interim and major milestones been defined? **Finding: TBD**
3.8	Has the project plan been reviewed, approved and signed off by the project Stakeholders? **Finding:** TBD
3.9	Is there an appropriate process for updating the project schedule with actuals and tracking project progress? **Findings: TBD**
3.10	Are reasonable plans available to manage the Project? **Finding**: YES – The RegJIN Project Manager has comprehensive plan and schedule for managing the negotiation process. The negotiation process is on schedule.

Periodic QA Evaluation Report
For January 2013

4	Communications **The project communications are effective and adequately controlled.** Assessment of the Communications QFP examines the project status reporting and communication processes for task completion and budget. **Risk Level** Stable / Attention / Alert
4.1	Have communications been planned, identified and documented? **Finding:** Yes, in the Communications Plan**.**
4.2	Is the Communications Plan being followed? **Finding:** YES
4.3	Does the project receive appropriate and timely executive and project sponsor attention? **Finding:** YES
4.4	Are project status and activities being monitored and reported in enough detail and with enough frequency to ensure early detection of problems or schedule slippage? **Finding:** YES - The Project Manager prepares a comprehensive Project Status Report every week and posts the Status Report on the RegJIN website. PAC Meeting presentations and minutes are also posted on the RegJIN website.

5	Risk and Issue Management **Project risks are identified and appropriately managed.** The Risk Management QFP provides an assessment of the risk identification, mitigation strategy and contingency planning for high probability and/or high impact risks. It also assesses the continuing validity of high impact assumptions. **Risk Level** Stable / Attention / Alert
5.1	Are project risks and issues identified and categorized as to likelihood and impact? **Finding:** YES, in the RegJIN Risk Register. The RegJIN Project Risks are presented and discussed at the PSSRP Executive Steering Committee Meetings.
5.2	Are appropriate risk and issue mitigation strategies in place with appropriate monitoring measures? **Finding**: YES
5.3	For high probability or high impact risks, are contingency plans developed in case the risk mitigation strategy fails? **Finding**: YES
5.4	Are ongoing risk identification, assessment and management processes in place and operating effectively? **Finding**: YES
5.5	Have project assumptions been verified & appropriate monitoring measures been put in place to ensure failed assumptions do not become risks? **Finding**: Not yet. Assumptions will be incorporated in the Project Plan and Risk Management Plan as necessary.

Periodic QA Evaluation Report
For January 2013

6	IT Acquisition **The IT Acquisition is adequately planned and executed.** The IT Acquisition QFP assesses the breadth and depth of the project's procurement process, RFP and vendor contract. **Risk Level** Stable / Attention / Alert
6.1	The RFP was prepared per City Procurement Office guidelines**. Finding:** YES
6.2	The RFP defines deliverables that meet the business requirements. **Finding:** YES
6.3	The RFP included appropriate scoring and evaluation instructions. **Finding**: YES
6.4	Is the Pre-Award Plan completed and understood by Evaluation Team? **Finding**: YES it was. The apparent successful vendor was announced in October 2012.
6.5	Is the Pre-Award Plan being followed? **Finding**: YES it was.
6.6	Are contract negotiations proceeding as planned? **Finding**: Contract negotiations with Versaterm officially started November 29 and 30, 2012 and are proceeding as planned. The Contract Negotiation Team met to review exceptions and deviations in the Versaterm proposal. The next negotiation and scoping sessions with Versaterm occurred the week of 1/14/2013. Site visits to discuss the use of the Versaterm RMS took place December 2012 and January 2013.

Periodic QA Evaluation Report
For January 2013

7	Technical Transition and Business Process Re-Engineering **The Technical Transition is adequately planned.** This QFP assesses the preparation for managing and conducting the technical transition. **Business Process Re-engineering is adequately planned.** This QFP assesses the preparation for managing and conducting the business transition. **Technical Transition Risk Level** Stable Attention Alert **Business Process Re-Engineering Risk Level** Stable Attention Alert
7.1T	Has the Technical Transition Plan been defined? **Finding:** To be developed as a result of contract negotiations. Currently a RegJIN System Sustainment Plan is being refined. In the Baseline Evaluation interviews, concern about available resources to support new technology while also supporting the current PPDS was expressed several times.
7.2T	Has the Technical Transition Plan been reviewed and approved? **Finding:** TBD - The System Sustainment Plan will be reviewed and approved when completed.
7.3T	Has the COTS vendor's architecture been assessed relative to the City's architecture? **Finding:** TBD during contract negotiations.
7.4T	Are there appropriate resources to implement the Plan? **Finding:** TBD during contract negotiation.
7.5B	Has the Business Process Re-engineering Plan been defined? **Finding:** In process. The PAC Business Process Review Workgroup is reviewing and documenting the "as is" processes to be compared with Versaterm's "to-be" processes and is identifying affected business processes and desired changes based on the new system. In the Baseline Evaluation interviews, workflow changes and end-user resistance were the most common concerns expressed.
7.6B	Has the Business Process Re-engineering Plan been reviewed and approved? **Finding:** TBD
7.7B	Has the COTS vendor's workflow been assessed relative to changes from the City's "as-is" processes? **Finding:** TBD
7.8B	Are there appropriate resources to implement the Plan? **Finding:** TBD after contract negotiations are completed.

Periodic QA Evaluation Report
For January 2013

8	Project Organization and Leadership **The project is appropriately organized.** The Organization QFP assesses the breadth and depth of the project's organization and the commitment to the project within the organization. This determines if the project's organizational structure can manage both tactical and strategic project issues. **Risk Level** Stable / Attention / Alert
8.1	The Steering Committee is comprised of executive decision-makers and is functioning? **Finding:** YES
8.2	Executive Sponsors have been designated? **Finding:** YES
8.3	Project Management roles and responsibilities with lines of authority and accountability have been defined, assigned and agreed upon? **Finding**: YES – in the Project Charter and Project Governance documents.
8.4	Management is committed to the project. **Finding:** YES
8.5	RegJIN Staff and Partners are committed to the project. **Finding**: YES there is active involvement in the Project Team, the RegJIN PAC, and the several subcommittees of the PAC and Project Team.
8.6	There is Stakeholder Support and Buy-in. **Finding**: YES, however, the concerns of the Unions must be addressed proactively. It is not known at this time if there will be a loss of partner agency participation due to unacceptable terms and conditions in the Master and/or Partner IGAs or due to a rise in system sustainability costs. In the Baseline Evaluation, interviewees cited loss of political support and opposition from unions as project risks.
8.7	Has a Change Management Plan been prepared? **Finding**: TBD after contract negotiations with Versaterm.
8.8	Are there appropriate resources to implement the Change Management Plan? **Finding:** TBD
8.9	Is the Change Management Process adequately supported by Agency Management? **Finding:** TBD

Periodic QA Evaluation Report
For January 2013

9	Project Resources **The project is appropriately resourced.** The Resources Quality Focal Point assesses three resource components: The capacity and skill set of the assigned project staff, supporting tools and facilities, and budget or financial resources. **Risk Level** Stable / Attention / Alert
9.1	Is the level of effort estimated planned for each project deliverable at an appropriate activity level; and, is it reasonable? **Finding:** TBD after the contract with Versaterm is finalized. The contract will include the work breakdown structure and statement of work. With the WBS and SOW, a complete, detailed project schedule and resource plan can be prepared.
9.2	Are appropriate staff resources (skill set and quantity) available and assigned to complete the project? **Finding:** TBD – During the Baseline Evaluation respondents indicated concerns about resources to complete the project. They cited partner agencies and their resource commitments. They also cited City resources and the potential need for significantly more resources that are currently assigned. This will be difficult to address until the vendor contract is signed. Then the project and the vendor can clearly define the needed City and partner agency resources.
9.3	Are appropriate staff support resources (skill and quantity) available and assigned to provide on-going operations support? **Finding:** TBD
9.4	Are appropriate tools and other necessary facilities available and effectively utilized? **Finding:** TBD
9.5	Is the Budget (financial resources) sufficient to support the RegJIN Project? **Finding:** TBD during contract negotiations. See QFP #11.

Periodic QA Evaluation Report
For January 2013

10	Project & Quality Management and Reporting **The project is appropriately managed and quality controlled.** Assessment of the Project Management, Quality Assurance and Quality Control Processes and Plans. Are the Plans in place and followed to ensure project deliverables meet requirements and are accomplished on time and within budget? **Risk Level** Stable / Attention / Alert
10.1	Have formal Project Management and Quality Management Plans been developed? **Finding:** CAI prepared a Quality Assurance Management Plan (QAMP). The formal Project Management documents will be updated as a result of the contract with Versaterm. The RegJIN Project Manager updated the Project Charter and Project Governance documents.
10.2	Are the Plans being followed? **Finding:** CAI is following its QAMP. The overall project PMP and QAMP will be assessed after contract negotiations are finished.
10.3	Have appropriate metrics and processes been put in place to successfully manage the project? **Finding:** Will be defined as a result of the contract negotiations.
10.4	Have objective quality metrics been put in place for project deliverables? **Finding:** Not Yet.
10.5	Are Project Progress and Deliverables measured against the metrics? **Finding:** Not Yet.
10.6	Are the results of the metric measurements reported to the appropriate sponsor, users, and other stakeholders? **Finding:** Not Yet.
10.7	Are appropriate corrective actions put in place when measurements are not acceptable? **Finding:** TBD
10.8	Are appropriate status reports prepared for tracking and monitoring all project tasks? **Finding:** YES - Currently the RegJIN Project Manager prepares comprehensive weekly Project Status Reports.

Periodic QA Evaluation Report
For January 2013

11	**Budget Planning and Tracking** **The project budget is appropriately planned, managed and tracked.** Assessment of the Project Budget Planning and Tracking Processes. Are the Plans in place and followed to ensure project deliverables meet requirements and are accomplished on time and within budget? **Risk Level** Stable / Attention / Alert
11.1	Do the RegJIN Project Manager and the Project Sponsor meet on a regular basis? **Finding:** YES
11.2	Is the RegJIN Project Budget thoroughly planned and Budget to Actuals reported in a timely manner? **Finding:** YES for the procurement/acquisition/negotiation phase of the project. After the contract with Versaterm is finalized, the contract will include the work breakdown structure and statement of work. With the WBS and SOW a complete, detailed project budget can be prepared along with a project resource plan. The resource plan will address both the City's and partner agency's resource needs. It is not known at this time if there will be a loss of partner agency participation due to a rise in system sustainability costs.
11.3	Are the appropriate funds budgeted in order to conduct required activities and complete and support the project? **Finding:** TBD after contract negotiations.
11.4	Does the Project Manager maintain a tracking report of expenditure? **Finding:** YES in the Weekly Status Reports.
12	**Scope and Change Control** **The project scope is appropriately controlled.** Scope and Change Control assesses the implementation and adherence to change requests. **Risk Level** Stable / Attention / Alert
12.1	Scope is being adhered to? Note: Changes in scope usually impact budget. **Finding:** Defining the project's scope is an important part of the contract negotiations with Versaterm. Scoping sessions were conducted with Versaterm to verify and validate the project's scope during the week of January 14, 2013. Decisions and action items (tasks) resulting from the scoping sessions have been documented and are being reviewed.
12.2	Are change requests appropriately identified, escalated, and resolved in a timely manner? **Finding:** TBD – the processing of change requests are to be part of the contract with Versaterm.
12.3	Are change requests effectively recognized, analyzed for impact, and approved prior to inclusion in the project scope? **Finding:** TBD

Periodic QA Evaluation Report
For January 2013

13	Roles and Responsibilities and Communications **The project is staffed with appropriate roles and responsibilities. Communications are effective.** Assessment of the Monitoring and Control QFP examines the project status reporting and communication processes. **Risk Level** Stable / Attention / Alert — NOT APPLICABLE AT THIS TIME *This QFP is similar to QFP #4 that focuses on Communications Planning. This QFP will be assessed when the Communications Plan is revised and executed based on the outcome of the contract negotiations.*
13.1	Has a formal Communications Plan been developed? **Finding:**
13.2	Is the Communications Plan being executed? **Finding**
13.3	Are communications identified in the plan and produced by the Project effective? **Finding:**
13.4	Are the external project communication dependencies included in project status reporting? **Finding:**
13.5	Are the project roles and responsibilities documented and understood by all parties? **Finding"**

14	IT Architecture **The project adheres to architecture standards.** Verification that the Project conforms to IT Architecture standards. **Risk Level** Stable / Attention / Alert — NOT APPLICABLE AT THIS TIME
14.1	The computing environment supports connectivity, portability, scalability, and interoperability. **Finding:**
14.2	The Project supports the Architecture Framework? **Finding:**
14.3	The Project supports the Architecture Framework strategic objectives? **Finding:**

15	IT Acquisition Management **The vendor deliverables meet the Project requirements and standards per the Contract Terms and Conditions.** **Risk Level** Stable / Attention / Alert — NOT APPLICABLE AT THIS TIME

Periodic QA Evaluation Report
For January 2013

16	Project Library and Configuration Management **The project has an appropriate Project Library in place to support Project Management and a Configuration Management Process in place to support System Delivery.** **Risk Level** Stable / Attention / Alert
16.1	A Secure library has been defined? **Finding:** YES
16.2	Procedures are documented for configuring and maintaining the library? **Finding:** TBD - CAI will verify in a subsequent Periodic QA Evaluation Report.
16.3	Procedures are documented for checking items in and out of the library? **Finding**: TBD - CAI will verify in a subsequent Periodic QA Evaluation Report.
16.4	There are contractor controls and monitoring in place. **Finding:** TBD after Versaterm's contract is executed.
16.5	There are procedures for reviewing changes to items in the library? **Finding**: TBD

Periodic QA Evaluation Report
For January 2013

SYSTEM DELIVERY - Quality Focal Points

17	System Definition Process **The system analysis and definition process are appropriate and thorough.** **Risk Level** Stable / Attention / Alert — NOT APPLICABLE AT THIS TIME
17.1	Are the System and Business Requirements understood and confirmed? **Finding:**
17.2	Are requirements traceable to design? **Finding:**
17.3	Are requirement change impacts understood, documented and incorporated in the Project Plan. **Finding:**
17.4	Are test conditions defined to validate requirements compliance? **Finding:**

18	System Design Process **The system design process is appropriate and thorough.** **Risk Level** Stable / Attention / Alert — NOT APPLICABLE AT THIS TIME
18.1	Are specifications/designs in agreement with the system/business requirements? **Finding:**
18.2	Are the application specifications reasonable and acceptable? **Finding:**
18.3I	Is the system architecture reasonable and acceptable? **Finding:**
18.4	Are the Database Conversion and Migration specifications reasonable and acceptable? **Finding:**
18.5A	Are the Interface specifications reasonable and acceptable? **Finding:**

Periodic QA Evaluation Report
For January 2013

19	Data Conversion and Migration **The data conversion and migration process is appropriate for migrating data to the new system** **Risk Level** Stable / Attention / Alert — NOT APPLICABLE AT THIS TIME
19.1	Are the Data Conversion/Migration Strategy and Plans reasonable? **Finding:** TBD In the Baseline Evaluation interviews, Data migration from the current systems was a commonly cited risk.
19.2	Do the plans include data cleanup, testing, and user acceptance criteria **Finding:**
19.3	Is the Data Migration complete? **Finding:**
19.4	Has the converted/migrated data been tested to verify they function according to the specifications? **Finding:**
19.5	Are the unit test scripts are complete and thorough with respect to the business processes. **Finding:**

20	Configuration and Construction Process **The configuration and development of the new system are appropriate.** **Risk Level** Stable / Attention / Alert — NOT APPLICABLE AT THIS TIME
20.1	The configuration specifications have been verified to meet RegJIN Project requirements. **Finding:**
20.2	The Development Methodology is appropriate and is followed. **Finding:**
20.3	The Test Plans have been updated to reflect the configuration specifications **Finding:**
20.4	The specific system modules are tested to verify they function according to the specifications. **Finding:**
20.5	Has the converted/migrated data been tested to verify they function according to the specifications? **Finding:**
20.6	Are the unit test scripts are complete and thorough with respect to the business processes. **Finding:**

Periodic QA Evaluation Report
For January 2013

21	Testing (Functional, Capacity, and Performance) **The project is appropriately tested.** Appropriate functional, capacity and performance acceptance testing processes and plans are in place and meet the operational needs of the system and verify and validate acceptable compliance to requirements. **Risk Level** Stable / Attention / Alert — NOT APPLICABLE AT THIS TIME
21.1	Has a formal Test Management Plan been developed? **Finding:**
21.2	Is the Plan being followed? **Finding:**
21.3	Do the documented functional specifications meet the business needs? **Finding:**
21.4	Are the business users involved in establishing the functional acceptance testing scope and standards? **Finding:**
21.5	Are the functional acceptance test processes appropriate and are results monitored and tracked? **Finding:**
21.6	Do the capacity and performance specifications match operational needs? **Finding:**
21.7	Are the capacity and performance acceptance test processes appropriate and are results monitored and tracked? **Finding:**
21.8	Is comprehensive end-to-end functional, capacity and performance acceptance testing planned and performed for all software, hardware, and telecommunication components? **Finding:**
21.9	Are infrastructure conditions (down to the computing hardware level) that may affect the application being considered, tested and resolved? **Finding:**
21.10	Was a defect log maintained and effective corrective actions taken? **Finding:**

Periodic QA Evaluation Report
For January 2013

22	User Acceptance Process and Business Process Transition **The User Acceptance Process is appropriate and defines the methods, test plans, test procedures, and test results required to ensure the delivered system meets customer requirements.** **Risk Level** Stable / Attention / Alert — NOT APPLICABLE AT THIS TIME
22.1	A User Acceptance Test Plan has been prepared. **Finding:**
22.2T	The acceptance test scripts are complete. **Finding:**
22.3	Testing standards are understood and followed. **Finding:**
22.4	A defect log was maintained and corrective actions were effective. **Finding:**
22.5	The Business Process Changes have been effectively tested. **Finding:**
22.6	User acceptance criteria have been met. **Finding:**

23	Training **The project staff and system users are appropriately trained in a timely manner.** Assessment of training plans and materials. **Risk Level** Stable / Attention / Alert — NOT APPLICABLE AT THIS TIME
23.1	Has formal Training Plan been developed? **Finding:** Not yet. In the Baseline Evaluation interviews, effective and timely training for Law Enforcement Officers (LEOs) and records technicians were concerns.
23.2	Are the Plans being followed? **Finding:**

Periodic QA Evaluation Report
For January 2013

24	Implementation Process **The new system has been successfully moved into the production environment.** **Risk Level** Stable / Attention / Alert — NOT APPLICABLE AT THIS TIME
24.1	The installation specification is complete and reasonable. **Finding:**
24.2	The training plans and the new Business Processes (workflows and procedures) are complete and acceptable. **Finding:**
24.3	The actual training was acceptable. **Finding:**
24.4	System documentation is complete and acceptable. **Finding:**
24.5	The implementation acceptance criteria have been met. **Finding:**

25	Deployment Process **The new system has been successfully deployed.** **Risk Level** Stable / Attention / Alert — NOT APPLICABLE AT THIS TIME
25.1	Deployment Plans are complete and reasonable. **Finding:**
25.2	Training City staff was complete and acceptable. **Finding:**
25.3	User documentation is complete and acceptable. **Finding:**
25.4	Deployment acceptance criteria have been met. **Finding:**

Periodic QA Evaluation Report
For January 2013

Purpose and Methodology

CASE Associates Inc. (CAI) started its current QA effort for the City's Public Safety Systems Revitalization Project (PSSRP) in September, 2012. This Periodic QA Evaluation Report is delivered monthly as specified in the Quality Assurance Management Plan (QAMP).

Purpose of the Monthly Report

With this report, CAI provides independent observations about the Regional Justice Information Network Project. Included with the observations are recommendations for avoiding and/or responding to any negative impacts.

Methodology

CAI Consultants use the following methodology each month to prepare this report:

1. Review project documents and deliverables. The documents that are reviewed are listed in the Documents Reviewed section of the Monthly QA Status Report (separate deliverable).
    a. Project Manager's weekly status reports
    b. Issues and Risk logs
    c. Charter and other initiating documents
    d. The Project Management Plan (PMP) and other associated plans
    e. The Work Breakdown Structure and Project Schedule
2. Attend meetings and conduct interviews with RegJIN Project Managers, project team members, project participants and stakeholders in order to determine the project's status and identify possible issues and risks. The Interviews Conducted and Meetings Attended are reported in the Documents Reviewed section of the Monthly QA Status Report (separate deliverable).
    a. Weekly Project Managers' meeting
    b. Monthly PAC meetings
    c. Meetings as needed with the Project Manager and the Program Office Manager (POM)
    d. Meetings with other project participants as needed
3. Based on CAI's informed judgment and the documents and evidence reviewed, meetings attended, and interviews conducted, CAI comes to an independent, unbiased opinion of the status of the project and the health of the project. When CAI determines that the project status needs improvement, CAI develops recommendations and includes them in this report.

CAI's knowledge and experience is based upon the following:

1. Project Management Institute, "Project Management Body of Knowledge" (PMBOK). We guide and mentor our clients in applying project management and quality assurance methodologies.
2. Total Quality Management concepts and the Institute of Internal Auditors Process Audit Standards.
3. The Control Objectives for Information and Related Technology (CobiT) standards developed by the Information Systems Audit and Control Foundation for use in Information Technology audits.
4. The tenets of software management, including the functions of Quality Assurance (QA) (Per IEEE-Std 730) and Independent Verification and Validation (IV&V), that is found in Managing the Software Process by Watts Humphrey.
5. The processes described in CAI's Business/System Process Improvement Project, and further documented in the article The Process of Managing System Transitions by David Sharon of CASE Associates Inc. Mr. Sharon's article is based on his personal experiences in managing complex transition projects and documents and recommends a road map for a successful project Quality Assurance and Risk Management experience.