



# Oversight Transformation

## Detailed Roadmap

September 2023

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## Background

Through Oversight, WaTech currently oversees nearly 80 state agency information technology projects valued at approximately \$1.6 billion. Oversight serves a key role in ensuring these projects align with business goals and priorities, achieve success in meeting business outcomes, and are completed within approved scope, schedule, and budget.

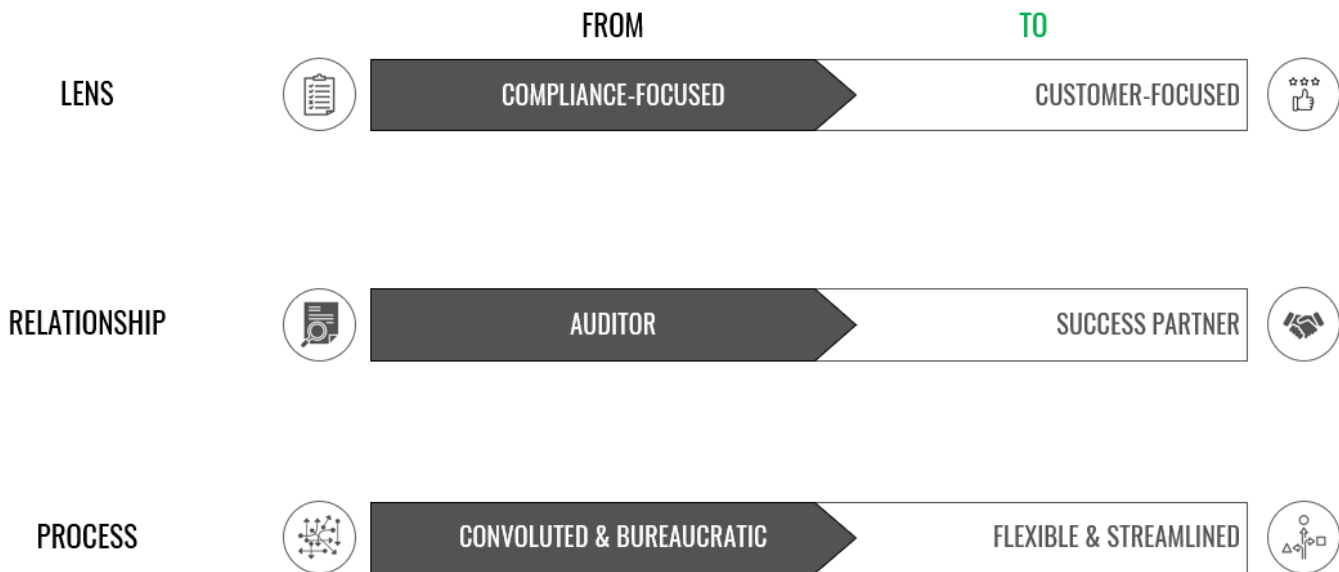
To identify oversight improvement opportunities, the WaTech engaged an independent consulting firm in 2019 to assess existing project approval and oversight processes and practices, and produced the [Project Approval and Oversight Process Assessment](#). Participating in focus groups and working sessions, key stakeholders identified what worked well and the pain points of the existing oversight model and processes. These stakeholders included Technology Service Board (TSB) members, legislative members and staff, independent quality assurance (QA) providers, the state Chief Information Officer, WaTech staff, and 20 agencies representing small, medium, and large organizations.

The result of the engagement was the Oversight Transformation (OT) project.

## Vision

WaTech works in partnership with state agencies to implement successful, fiscally sound projects to further their delivery of essential government services. IT project oversight is integrated, streamlined, and focused on highest value to ensure the best use of resources to support on-time, on-budget IT projects that deliver planned outcomes as described in Figure 1.

**Figure 1: WaTech OCIO Collaborative Compliance Vision (CCV)**



**Takeaways:**

- The Oversight process is adding an engagement component in addition to compliance enforcement.
- WaTech is viewed as a partner; engagement is early (up front) and often to help build a solid foundation borne out of best practices.
- Employ a One WaTech mindset; bring multiple disciplines in to support projects.
- Collaboratively work with project Quality Assurance providers and the agency to develop project key indicators to ensure we get early reads on areas of trouble and intervene with a one WaTech approach.
- It's all our shared responsibility with agency partners to ensure projects are successful.
- Boldly intervene with the success of the project in mind.

**Principles**

- Focus oversight on delivering the highest value and partnering with agencies to effectively manage, mitigate and minimize risk to deliver successful project outcomes.
- Emphasize trust, respect, and partnership, recognizing the unique environments and strengths when applying the oversight process.
- Align knowledgeable and skilled resources who can create value and maximize efficiency according to the size, complexity, and risk level of projects.
- Apply best practices and lessons learned.
- Maintain the professional independence of oversight.

- Maintain transparency, be responsive and accountable to the authorizing environment.

## Project Objectives

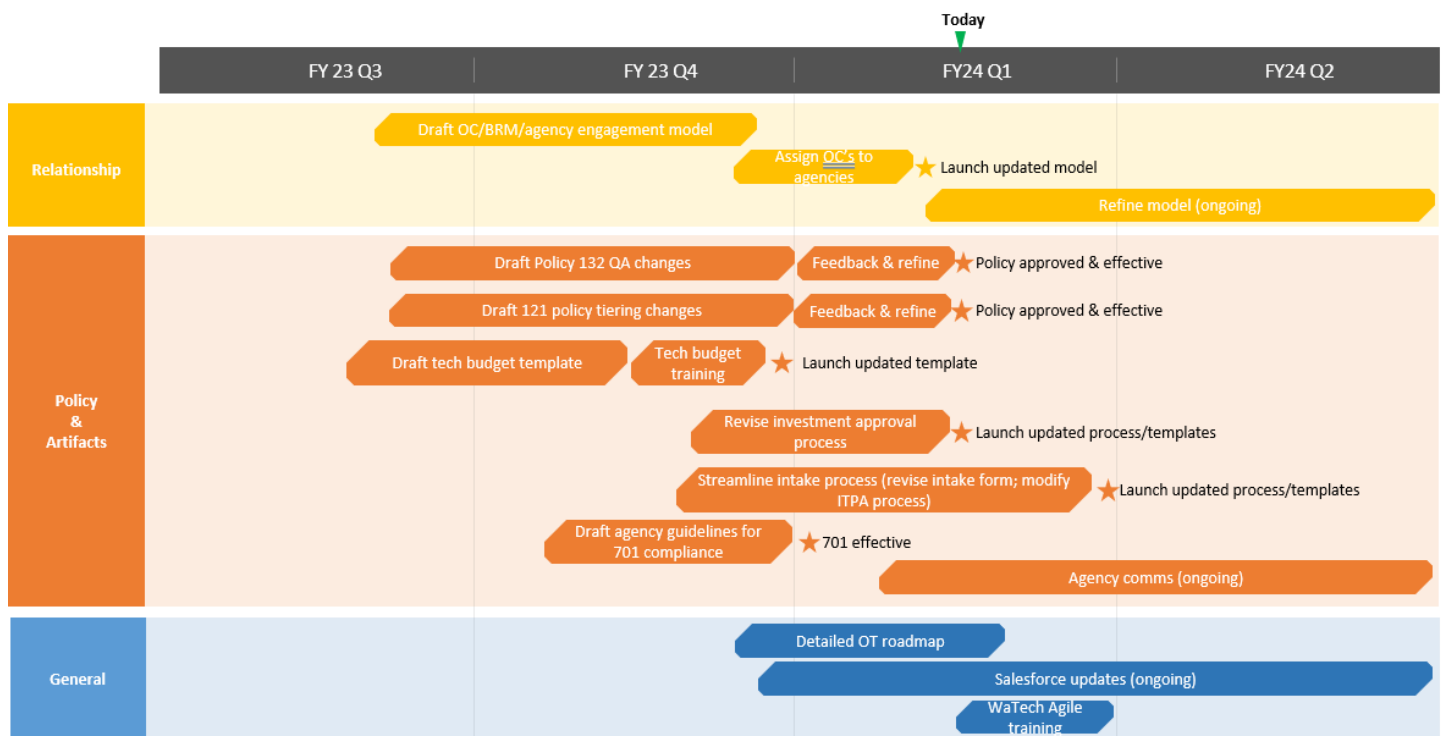
- Improve project outcomes for agency partners and Washington residents.
- Build customer's trust by being proactive, predictable, and consistent.
- Engage with a consultant-based mindset where we collaborate and advise customers, becoming a partner in solving problems together.
- Offer multidisciplinary services to meet customer needs.
- Establish an efficient oversight process that adds value while balancing the customer journey with the requirements of the authorizing environment.
- Work with agency partners to develop project risk mitigation strategies and support project success.
- Fully leverage oversight consultants as strategic project advisors.
- Embrace continuous improvement, proactively and consistently engaging the voice of the customer.

## Organizational Benefits

- Implement recommendations for a more customer-focused oversight process.
- Address existing organizational and process gaps by ensuring a more seamless communications workflow while applying modern planning tools and industry best practices.
- Enable partner agency project and program success through collaboration.
- Provide the best customer experience possible through continuous engagement and process improvement.
- Enhance a system of accountability within the authorizing environment.
- Improve strategic alignment of partner agency business goals with Oversight activities.
- Transform Oversight Service and Delivery.
- Champion industry best practices for governance, performance, and accountability.
- Provide evidence-based thought leadership and guidance on industry best practices, standards, performance criteria and metrics.

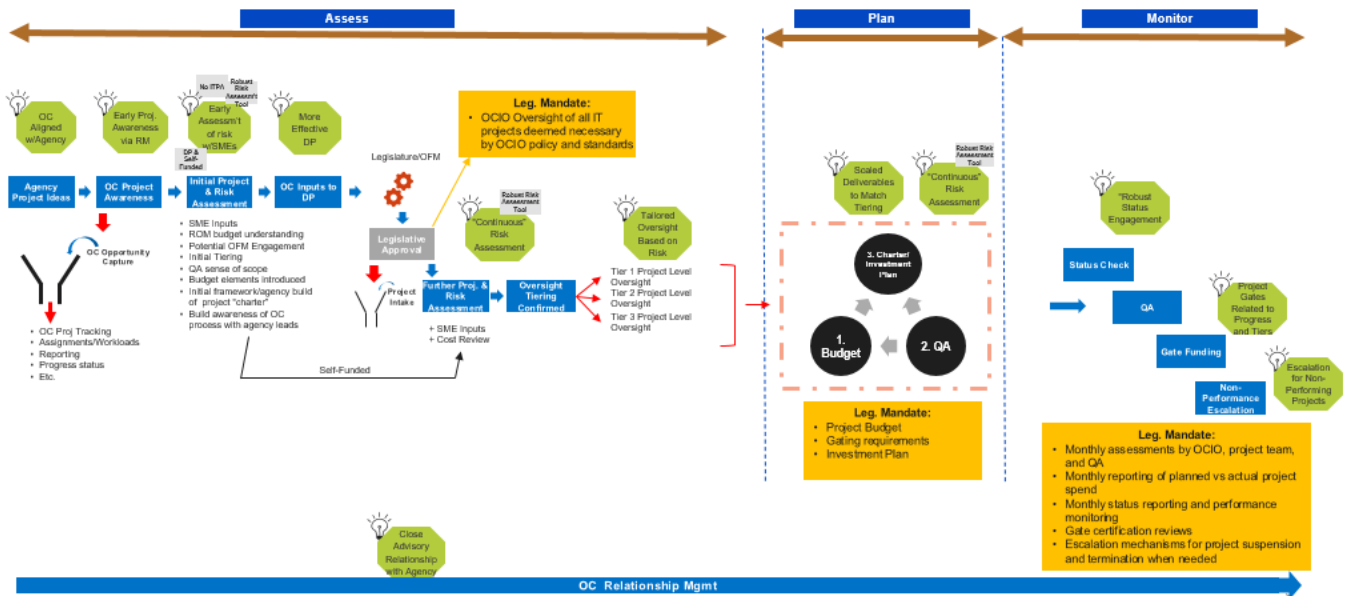
## Timeline

Based on Executive Team and agency feedback, the OT project work has been organized into three primary swim lanes: *Relationship, Policy & Artifacts* and *General*.



## Process

### OC Future State Business Process - High Level Delivery Model



## Summary of Process Changes

- Relationship: We will assign oversight consultants by agency, deepening OCs' domain expertise and relationships with key partners. Additionally, OCs will engage earlier and more often with agency partners in coordination with the business relationship managers (BRMs) and other WaTech resources. Early engagement on projects allows for sharing lessons learned, planning, budgeting, and connecting with similar or related projects. Early knowledge of upcoming projects will allow oversight consultants to:
  - Develop an appreciation for the partner's vision, mission, goals, objectives, and unique circumstances as they collaborate in planning to meet future business needs.
  - Confer with other WaTech subject matter experts (SMEs) to provide their specialized information and knowledge to the agency during the project's inception through completion.
  - Provide guidance on skillsets needed to improve the likelihood of project manager and team success.
  - Provide insight on project scoping and decision package development.
- Intake: The IT Project Assessment tool (ITPA) will be modified and/or replaced by a project tiering assessment.

- The assessment will categorize projects within tiers based on defined criteria, establishing the oversight deliverables required for the project. See [Tiering](#) section later in this document for details.
- Investment plans: Investment plans are not required for every project. Oversight processes are intended to build on existing best practices for investment planning and documentation. Projects must provide essential information for informed investment approval. Whenever possible, this information will be obtained from existing materials such as the project charter, project management plans, QA readiness assessment, and other documents that are available on the Washington State IT Projects Dashboard.
- Success Partners: Most importantly, oversight consultants will focus on consulting and advising agencies for project success as opposed to rigidly enforcing rules and policies.

## Oversight Early Engagement Model

- Oversight consultants will establish working relationships with each agency by assignment. This will foster early engagement on projects for sharing lessons learned, planning, budgeting, and making connections with similar or related projects.
- Having early knowledge of upcoming projects will allow oversight consultants to:
  - Confer with other subject matter experts within WaTech and bring that information to the agency during the project's inception.
  - Provide guidance on necessary skillsets needed for a project manager to be successful.
  - Provide insight on project scoping and decision package development.
- OCs will collaborate with the BRM team to share relevant information and consolidate meetings as appropriate to offer services in the best interest of the agency.

## Key Policy Changes – Tiering & QA

### Tiering

[Policy PM-01](#) establishes the roles and responsibilities of the OCIO and state agencies in the planning and implementation of major IT investments. It seeks to ensure the success and transparency of all business-driven major IT investments through a relevant and responsive evaluation, approval and monitoring process beginning early in the project's lifecycle.

The policy and its associated standards and templates have been revised to align with:

- Changes in Section 701 of the 2023-25 enacted operating budget.
- Tiered oversight engagement. See PM-01-03-S [here](#) for more details.
- Clarifying procedures, reporting requirements. See PM-01-04-S [here](#) for more details.



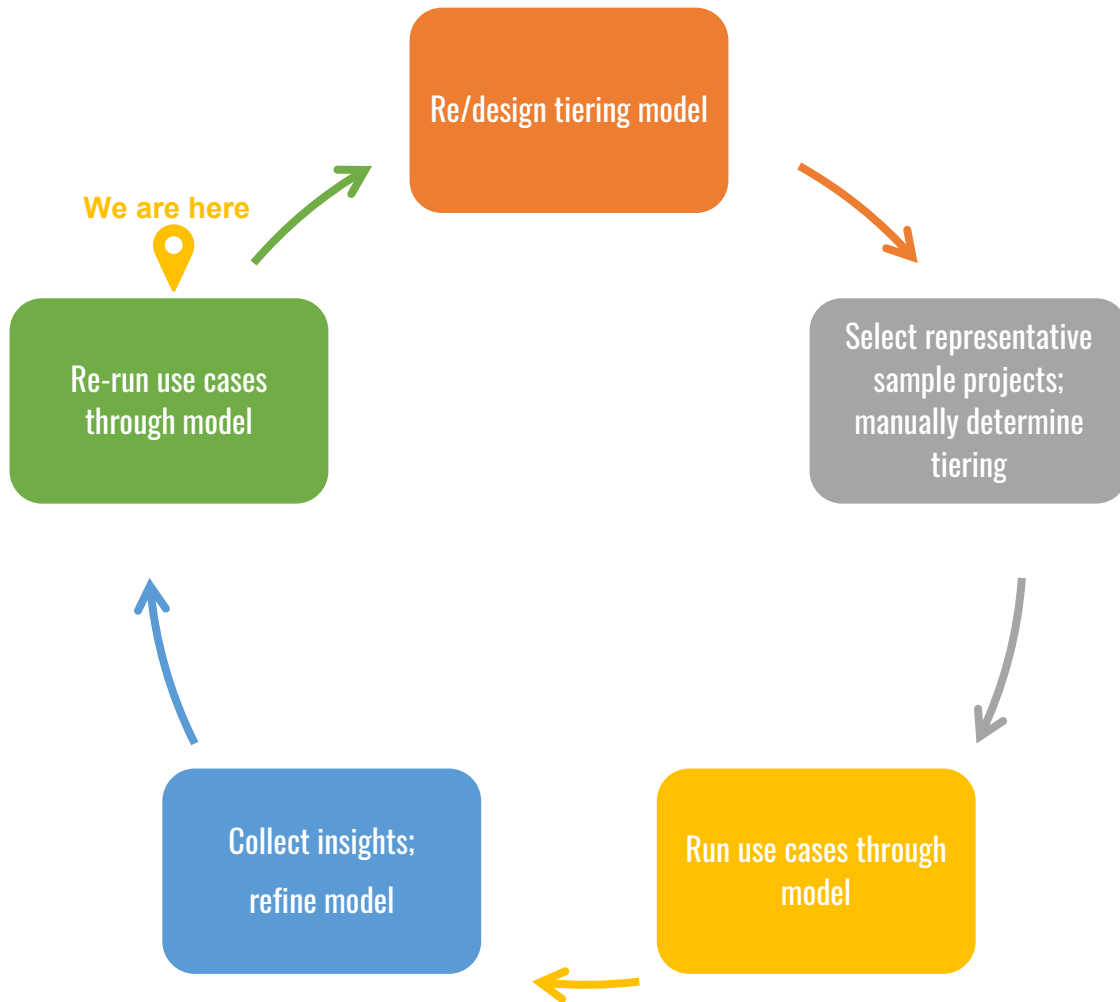
Currently, all major IT investments are subject to OCIO oversight irrespective of project complexity/risk. Tiered oversight differentiates projects based on their risk and complexity and sorts them into three categories as shown in the table below. It enables both agencies and OC consultants to provide increased focus on the highest risk and most complex projects. It streamlines the oversight requirements. This will drive greater transparency on major projects and reduce time investment on smaller projects.

Project risk assessment evaluates the risk associated with each project under oversight to inform the level of oversight attention an individual project requires. The assessment level assigned to each project is designated as the project’s tier. While the project tier is associated with the project risk, it does not directly inform whether the project is determined to be under oversight, which is determined by several factors.

*Table 1: Project Tiers*

Tier	Oversight Level	Features (not exhaustive)	Ideal % of portfolio
1	Minimal	<ul style="list-style-type: none"> <li>• Up to \$10M</li> <li>• Up to 25 FTE (# of resources working on project – including contractors)</li> <li>• ~2 year timeline</li> </ul>	50%
2	Standard	<ul style="list-style-type: none"> <li>• \$10-50M</li> <li>• 26-50 FTE</li> <li>• 2-3 year timeline</li> </ul>	35%
3	Comprehensive	<ul style="list-style-type: none"> <li>• \$50+M</li> <li>• &gt;50 FTE</li> <li>• 3+ year timeline</li> </ul>	15%

**Process:**



For additional details on tiering levels & intake questions, please see Appendix A.

**Quality Assurance**

[Policy PM-03](#) lays out the minimum requirements for independent project quality assurance. The greatest value of QA is realized when they are present at all stages of a project, from feasibility through implementation. They can help anticipate problems before they occur and ensure business value is realized.

The policy and its associated standards and guidelines have been revised to align with:

- Tiered oversight and quality assurance engagement requirements.
- QA service provider qualifications aligned with oversight tier.
- Requirements for QA plan, monthly assessments, and QA report contents.

## Section 701

### Background

As listed in Chapter 475, Laws of 2023 (ESSB 5187), section 701 of the 2023-2025 biennium enacted state budget [here](#), state agencies are directed to adopt Agile delivery principles on their projects subject to 701 effective July 1, 2023. See the list of IT projects [here](#).

### Experience Journey



### Compliance

Section 701 has been passed by the Legislature and is now law. **There is no waiver process for complying with 701.** See the FAQ table at the end of this section for more details.

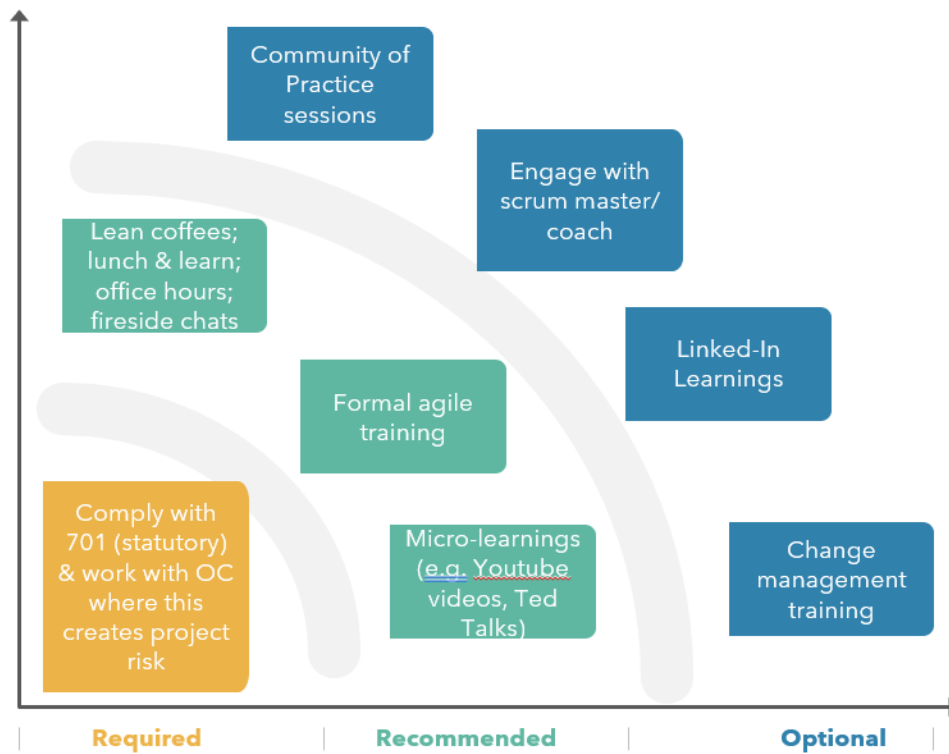
### Training Plan

Given the wide variety of Agile readiness across state agencies, Agile training plans will differ based on an agency's Agile maturity profile. We have listed training opportunities by persona to help support agencies in their Agile journeys. We advise agencies to:

1. Review this section in detail.
2. Draft an Agile training plan specific to their needs.
3. Work with their assigned OC to document 701 compliance.

- Engage in continuous learning opportunities such as Lean coffee sessions, lunch-and-learns, OC office hours, and Community of Practice events.

### Training Opportunities



### Training Matrix by Persona

#	Training	Project Manager	Analyst / SME	Contractor / Vendor	Leadership
1	<a href="#">What is Agile</a> - McKinsey	X	X	X	X
2	<a href="#">Agile</a> - Project Mgmt. Institute	X	X	X	X
3	<a href="#">Beginner's Guide to Agile PM</a> - Adobe	X	X	X	X

4	<a href="#">Agile Project Management - Project Mgmt. Institute</a>	X	X	X	X
5	<a href="#">Agile LinkedIn Learnings</a> , Ted Talks, YouTube	X	X	X	X
6	Lean Coffee	X	X	X	X
7	<a href="#">Agile PMO</a>	X			X
8	<a href="#">Agile Change Management - Prosci</a>	X			X
9	<a href="#">Certified Scrum Master Training</a> - Scrum Alliance	X			
10	Lunch & Learn	X	X		
11	OC Office Hours	X	X		
12	Community of Practice	X	X		

**FAQs**

#	Question	For Discussion
1	Does Section 701 apply to all IT projects that agencies work on?	<p>No, it does not apply to all projects.</p> <p>It does, however, apply to specific IT projects that <b>either</b>:</p> <p><b>A:</b> Are directly funded in the IT Pool and listed on the LEAP document located <a href="#">here</a>. These projects are funded in section 701; <b>or</b></p> <p><b>B:</b> Are either funded directly to an agency or are funded within your agency budget, and with the proviso that it is "subject to the conditions, limitations, and review requirements of section 701 of this act."</p> <p><b>Then</b> your project must adhere to the requirements in the law.</p> <p><b>Note:</b> WaTech may, in consultation with OFM, identify additional projects not specifically called out in the budget as subject to the conditions of section 701.</p>
2	When is 701 effective?	July 1, 2023.
3	Does it apply to new or in-flight projects?	Both.
4	What is the waiver process?	Section 701 is law, there is no waiver process. Instead, projects subject to 701 are required to follow 701 requirements and work with their OC to document which specific parts of 701 would put the project in jeopardy and why.
5	Section 701 (8) requires an agile development methodology with live system demonstration every two weeks - what do I do?	<ul style="list-style-type: none"> <li>For in-flight projects: please work with your OC to determine how your project can become compliant with these requirements.</li> <li>For new projects: prepare your project plans in accordance with 701 requirements. Once the project is in flight, please work with your OC to document your efforts and adjust as needed.</li> </ul>
6	Section 701 (9) requires production deployment within 180 days of signed contract - what do I do?	

#	Question	For Discussion
7	Section 701 4.d requires that key project functions deemed critical must be retained by state personnel and not outsourced - what do I do?	

## Intake

The intake process is a comprehensive tool designed to provide support for incoming projects while also establishing useful and actionable information about their nature, expected risk and requirements. The steps in the intake process are designed as follows:

1. Agency designates a point-of-contact resource for the project.
2. Point-of-contact resource completes online intake form.
3. OC and Architecture team review the formal intake and, if the project meets requirements, schedule a meeting to review findings with the project point of contact.
4. Project added to oversight portfolio and assigned an OC.

## Technology Budget

- The ideal technology budget template will be incorporated into the Salesforce tool with an easy-to-follow user interface. This is a large change that will require significant time to design and develop. A mid-term goal for the technology budget is to create an automated process to upload gate timeframes and costs into the project record in Salesforce in addition to uploading the budget through Apptio for display on the public-facing dashboard.
- Near-term, section 701 of the 23-25 operating and transportation budgets includes requirements for the technology budget, which prevents significant modifications to the technology budget template. However, the technology budget template was modified in the following minor ways for fiscal year 2024:
  - Combined gated and non-gated budgets into a single template to avoid misuse or version control issues.
  - Added "General Wage Increase" to state employee staffing calculations by fiscal year with ability for the user to add increases for future years.
  - Added a gate summary for uploading to Salesforce.

- Deleted the deliverable status and date complete so projects do not need to update the budget at each gate only for deliverable status updates.

## Project Charter

Enacted operating budget for 2023-25 section 701 5(a) specifies “Each project must have a project charter” and prescribes elements of information required therein. We have established [PM-01-02-S Standard IT Project Charter](#) as a template to support this requirement. Agencies may use this template or their own format ensuring their artifacts include all necessary elements.

The project charter, when approved by the project Executive Sponsor, will establish the baseline project governing document with the following items:

1. Project governance team and organization chart with roles and responsibilities.
2. Project Roadmap.
3. Metrics to support the project strategy and vision.
4. Implementation schedule including critical milestones and deliverables.
5. Performance measures.

This simplifies the OCIO approval requirements for IT projects under oversight and supports using existing agency documentation.

## Investment Plan

Enacted operating budget for 2023-25 section 701 5(b) delegates authority to the OCIO to determine whether a project must have an Investment Plan in addition to Project Charter.

The [PM-01-06-S IT Investment Plan Standard](#) provides the template agencies will use if a specific project is required to have an Investment Plan.

## Investment Approval

OCIO will issue an Investment Approval (replacing the current Investment Plan approval), which may include necessary conditions, and specific elements of oversight that may vary from standard oversight requirements for the assessed Tier.

OCIO approval of agency investment requires the following:

1. Technology Budget completed and approved by OCIO and OFM.
2. QA Readiness assessment (QA-RA), to be completed by QA provider.
3. Project may have an approved waiver of QA, per policy PM-03 [here](#), including the agency response to QA-RA findings, to be completed by Project team.
4. Project Charter covering all elements required by section 701, to be approved by project Executive Sponsor and reviewed by the OC.
5. Investment Plan - if required by the OCIO in line with Section 701 5(b).



## SEED

### **Background**

The Solution for Efficiency and Excellence with Data (SEED) workflow automation and request tracking tool is for agency requests coming to the OCIO, and covers the oversight consultant, enterprise architecture and policy waiver teams.

This tool, added to the OCIO Salesforce implementation, provides a single source of record for all incoming requests, their routing through various workflow stages for review and approval, and their disposition. For oversight consultants, SEED covers technology budgets, gate certification, investment approvals, policy waivers, advisory memos, and triggers authorization memos where applicable.

SEED was rolled out June 2022 to support oversight workflow management and add greater visibility on project oversight compliance activities. SEED integrates with back-end project data that feeds the front-end OCIO project dashboard located [here](#). While SEED is available to all WaTech, in this document we will focus on the SEED tool as it is used in the context of Oversight Transformation.

### **Governance**

The Oversight team will designate a product manager who will own the backlog and enhancements for SEED usage. The Business Relationship Manager team will maintain a Product Owner to assist with contract and vendor management.

### **Backlog**

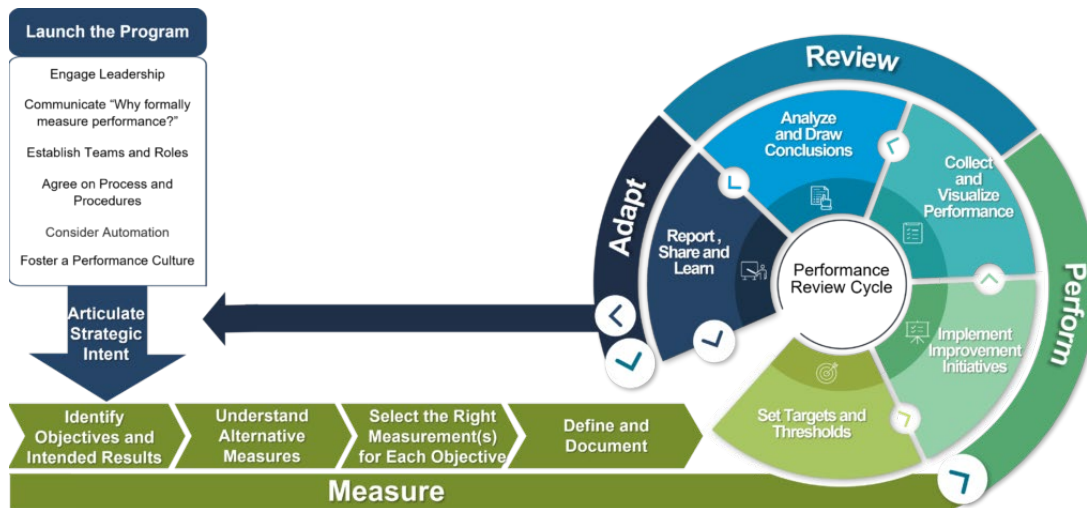
We currently have a list of SEED enhancements that have been added to the post go-live backlog. This backlog will continue to be prioritized to ensure we are addressing the highest priority use cases within the available budget.

## Adoption & KPIs

### **Background**

As with any major effort, adoption, and key performance indicators (KPIs) are crucial to ensure changes are adopted and effectively implemented. KPIs are measurable values which demonstrate how effectively we are achieving key business objectives outlined in this Oversight Transformation work. Our vision is to implement KPIs measuring strategic goals and objectives, operational measures, employee performance, and to use these to help evaluate performance and make future adjustments.

Specifically, we are following an Agile KPI process as follows:



## Key Performance Indicators

Here are some KPIs we will use to measure the success of this Oversight Transformation work:

### ➤ Objective Metrics

We will achieve the above by being transparent and reliable in leveraging a tiering system for oversight based on the tiering identified in the [Tiering](#) section of Key Policy Changes, the application and portfolio percentage will be monitored monthly by the OC program with quarterly reporting on outcomes.

### **Adoption Metrics for the OT project:**

Agencies will have the opportunity to opt into a pilot of the new process when open through October 2023, after which all agencies/entities will be required to leverage the new system 100% of the time. Exceptions and considerations necessary to meet the intent of 701 will be captured and reported on a quarterly basis, designed to address and communicate any additional policy/legislative considerations accordingly. Adoption metrics will be tracked and reported on by the OC team.

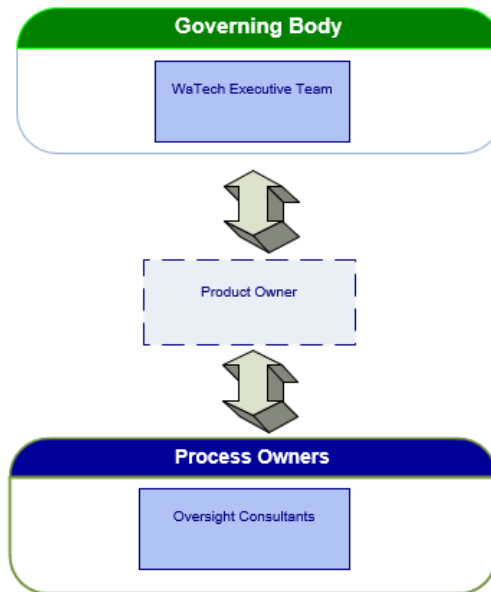
## Transition to Operations

### Governance Structure

The OC Business Process Governance Model defines the approach to managing the “future state” OC business process. The OC process governance process is “owned” by the collective OC team but overseen by the governing body as depicted below. The governance team includes a subset of the WaTech executive team as the governing body; the Assistant Director of Strategy & Management Division as the product owner; and two OCs, rotating quarterly as the process owners. These team members will be responsible for assessing and driving accountability for business process execution

and adherence by the OC team members and relevant business process stakeholders. This includes updates to the Risk Assessment and Tiering Model, tracking metrics, and change requests to relevant policies and procedures. This team will meet monthly to understand and manage issues related to sustaining OT.

## Oversight Transformation Governance



## Governing Body

The role of the Oversight Transformation governing body is to ensure the development and implementation of SEED upgrades and expansion of services meets the agency's direction and establishes a change control mechanism.

Governance considers and demonstrates the following three activities - Evaluate, Direct, and Monitor:

### Evaluate

- Assess requests for enhancements and implementation of new Salesforce products.
- Determine business needs, including organizational relationships with other entities and individuals.
- Provide a consistent and integrated approach with other steering committees in the agency.
- Improve and confirm compliance with agency, legal and regulatory requirements.
- Provide a consistent and integrated approach aligned with enterprise governance.
- Enable IT-related decisions aligned with the enterprise's strategies and objectives.
- Ensure risks do not exceed agency risk tolerances and appetite.
- Identify readiness of the organization to change.

## **Direct**

- Assign responsibilities to the product owner, who ensures preparing and implementing strategies and policies for the organization.
- Focus on setting the directions for Oversight Transformation activities, investment (current and future), priorities, etc.
- Help justify the investment decisions.
- Ensure resource availability.
- Ensure stakeholder transparency.
- Enable the IT-related decisions aligned with the enterprise's strategies and objectives.
- Oversee the IT-related processes to ensure effectiveness and efficiency.
- Secure an optimal value from IT-enabled initiatives, IT services and service assets.
- Support business needs by providing the right visibility of costs that are reliable and accurate to support business needs effectively and efficiently.

## **Monitor**

- Routinely monitor system performance metrics.
- Oversee the IT-related processes to ensure effectiveness and efficiency.
- Improve and confirm compliance with agency, legal, security and regulatory requirements.

## **WaTech's E-Team**

As the governing body, the E-Team is the final decision point when the product owner escalates requests for approval to proceed. Requests and supporting documentation will be presented to the governing body for final evaluation and directions on how to proceed with the recommended request.

The governing body is also responsible for monitoring the Salesforce system enhancements and/or new product integrations for progress and performance. Metrics will be applied to Salesforce products in production to continually monitor performance, business value and sustainability.

## **Product Owner: Assistant Director SMD**

The product owner is essential in determining if a request submitted by the process owner should proceed through the Governance process. All requests for enhancements or new Salesforce products will be submitted to the product owner to further evaluate and direct.

Requests will be prioritized based on the following criteria:

- Business need.
- Value added.
- Financial requirements.
- Resource availability.
- Identify risks and dependencies.

Decisions to proceed with product enhancements requiring no additional funding or resources will be made by the product owner.

Decisions to proceed with product enhancements requiring additional funding or resources will be escalated to the governing body for further review and action.

### **Process Owner: Oversight Consultants**

The process owner is accountable for designing an effective and efficient process and delivering quality outcomes as required within the organization. The process owner is responsible for submitting all requests to the product owner for analysis and prioritization. The process owner will evaluate the requests submitted by oversight consultants and other service owners within WaTech and expand on the original request by including the following information:

- Impact on Oversight Transformation processes.
- Impacts of change.
- Value added.
- Resource availability.
- Identify risks and dependencies.

## RACI

See Appendix B for the RACI chart of key tasks. This RACI chart will help ensure alignment across stakeholder teams.

## Organizational Change Management

### **Customer Experience Journey**

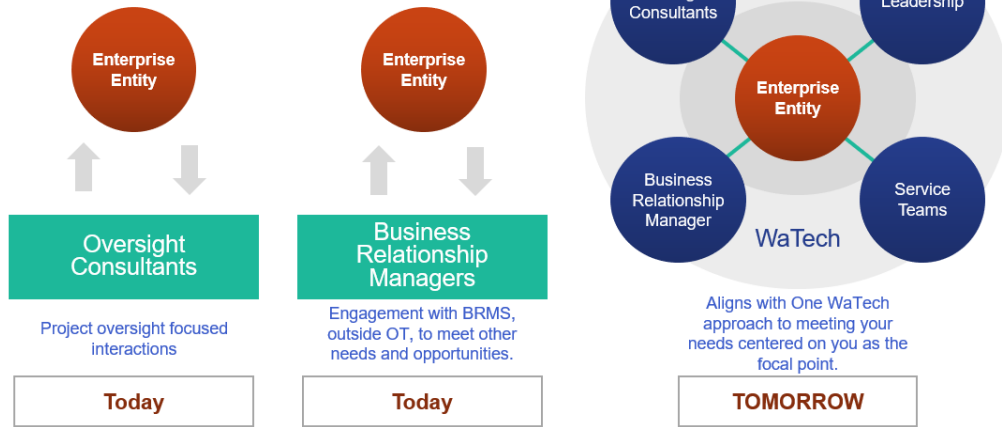
Below we have outlined the main steps on this Oversight Transformation journey:



### Future Engagement Model

The Office of Organizational Change Management (OCM) collaborated with the Oversight Transformation project to conduct risk assessments, identify impacted groups, and establish a future engagement model. A detailed analysis of the change impact is included as Appendix C: Change Impact Canvas. As the project transitions to program, OCM activities will continue as new enhancements, projects and program expansions are initiated to maintain the vision for “Tomorrow.”

## Future Engagement Model



## Impacted Groups

Below we have outlined the primary groups that will be impacted as a result of the Oversight Transformation work.



## Prosci Change Triangle (PCT) Path the Green

The Prosci Change Triangle Model (PCT) describes the four aspects of a successful initiative and how those aspects relate to one another. Using the model and supporting assessment, change practitioners can evaluate project health to identify risks and improve initiative outcomes.

The PCT represents four aspects that are necessary for a successful change. They include success, leadership/sponsorship, project management, and change management. Assessments are conducted throughout the lifecycle of the project to monitor the probability of success and identify aspects of the PCT requiring action.

The final PCT assessment resulted in the following scores:



The aspects of Success and Change Management were scored in the range of 20-24. This range is appropriate for a successful implementation at Go-Live.

To increase the likelihood of continued success, the recommendation is to leverage Change Management for the course of three months.

## Operations Backlog

Following project closure on Sept 30, 2023, the backlog of additional items that still need to be completed, including SEED enhancements, is available [here](#).



## Contact

Questions? Email the Oversight Consultants team [here](#).

# Appendix

## Appendix A: Policy -PM-01 Tiering

### Policy PM-01: Tiering Details

Content	Tier 3	Tier 2	Tier 1	Responsibility and Frequency
Feasibility Study	Required	Recommended	Agency Discretion	Agency
PM Level of engagement	Dedicated	Dedicated	May be shared	Agency
Project Charter		Required		Agency
Technology Budget		Required		OCIO
Investment Approval		Required		OCIO
Investment Plan		Required (If deemed so by OCIO)		Agency to complete. OCIO to approve & post
QA Plan		Required		QA service provider
QA Readiness Assessment		Required		QA service provider
Agency response to QA findings		Required		Agency
Project Management (PM) Plan		Required	Optional	Agency
Associated Project Management Plans	See below			
•Detailed workplan (schedule, work breakdown structure)		Required	Agency discretion to include with Project Charter / PM Plan	Agency
•Procurement Plan		As applicable		Agency
•Vendor Management Plan	Required	Required May be include with Project Charter / PM Plan	Agency discretion to include with Project Charter / PM Plan	Agency
•Project Quality Assurance Plan		Required	Required for projects over \$2M TPPS	Agency
•OCM Plan	Required	As applicable	As applicable	Agency
•Communications Plan	Required	Required May be include with Project Charter / PM Plan	Agency discretion to include with Project Charter / PM Plan	Agency
•Scope management / Change Control plan	Required	Required May be include with Project Charter / PM Plan	Agency discretion to include with Project Charter / PM Plan	Agency

•Project roles and responsibilities	Required	Required May be include with Project Charter / PM Plan	Agency
•Risk and Issue management plan (including RAID log)	Required	Required May be included with Project Charter / PM Plan	Agency
•Test Plan	Required	Required May be include with Project Charter / PM Plan	Agency
•Training Plan	Required	Required May be include with Project Charter / PM Plan	Agency
•Knowledge Transfer / M&O readiness plan	Required	Required May be include with Project Charter / PM Plan	Agency
Project Status Reports and health assessment	Required		Agency Monthly for Tier 3 and Tier 2, Quarterly for Tier 1 projects.
Quality Assurance Reports and project health assessment	Required		QA service provider Monthly for Tier 3 and Tier 2, Quarterly for Tier 1 projects.
OCIO Project health assessment	Required		OCIO Monthly for Tier 3 and Tier 2, Quarterly for Tier 1 projects.
Gate certifications and approvals	Required (Gated funding projects only)		OCIO
Go-live readiness criteria and review	Required		N/A
Post Implementation Review Report	Required		Agency
QA Closeout Report & Lessons Learned	Required		QA service provider

**Policy PM-01: Draft Tiering Questionnaire - July 2023**

#	Question
1	What is the total budget request for this project?
2	How would you describe the size of the budget relative to other projects in your organization?
3	How many people are required to complete this project at its peak activity?
4	From project initiation to project implementation, what is the expected project duration?
5	How many deployments will this project have?
6	Are there constraints on the project schedule?
7	How will the proposed business outcomes of the project change how your external customers interact with the system?
8	Which of the options best describe the project's impact on agency staff?
9	Which of the options best describe the project's impact on Washingtonians?
10	Which of the options best describe the project's impact to external (to the agency) entities / organizations?
11	Which of the options best describe the impact if the project fails?
12	What degree of change will be required to supporting technologies for solution implementation?
13	What degree of change will be required to supporting technologies for solution implementation?
14	What degree of change will be required to supporting technologies for solution implementation?
15	What type of software solution will be implemented by this project? (Possibility of multiple solutions hosted different ways)
16	How many separate contracts (excluding QA, IV&V and OCM) associated with key deliverables are planned for this project?
17	How many agencies are involved for decision making, funding, providing resources and governance of the project?
18	How do you expect team workload allocation to impact project timelines?
19	Which of the options best describe the authority and experience of the project's executive sponsor?
20	How many Major Projects has the agency successfully delivered (e.g., on-time, on-budget) in the last five years?
21	Which of the options best describe the project's management and governance processes, and the project manager's experience?
22	Which of the options best describe the project's funding?

#	Question
23	Are project requirements clear and documented?
24	Which of the options best describe the project's interdependency with other projects?
25	Does the system collect, process, or use sensitive or confidential data?
26	Which of the options best describe (for this project) the system data migrations?
27	Which of the options best describe (for this project) the system interfaces?
28	If the project proposes to have system interfaces (Q25), which of the options best describe (for this project) the level of interoperability?

**Appendix B: RACI**

Task	Office of Chief Information			Contractors		Customers		
	OC Lead	Oversight Consultant	Biz Rel Mgr	Project Management Partner	Quality Assurance Provider	Agencies	OFM	Leg
<b>Project Initiation</b>								
Submit project intake request	C	C	C	C	C	R		
Review proposed IT projects.	A	R	C	C		I		
Consult on Decision Packages: Evaluate project proposals and recommend for approval, redirection, or rejection.	R	C	A	C				
Serve as liaison with the authorizing environment	A	R	I	C				
Ensure Policy / Law Compliance (e.g. 701, PM-01, PM-03, ect...)	A	R	I	C	C	C	I	I
Determine oversight & tiering requirements for project.	A	R	I	C	C	C		
<b>Project Planning</b>								
Assist with agency technology budgets, investment plan, project charters, and related artifacts.	A	R	I	C	C		I	I
Submit agency technology budgets, investment plan, project charters, & related artifacts.		C	C	C	C	AR		

Task	Office of Chief Information			Contractors		Customers		
	OC Lead	Oversight Consultant	Biz Rel Mgr	Project Management Partner	Quality Assurance Provider	Agencies	OFM	Leg
Approve or reject and propose modifications to proposed IT projects.	<b>A</b>	<b>R</b>	<b>C</b>	<b>C</b>	<b>I</b>	<b>C</b>	<b>I</b>	<b>I</b>
Review technology budgets and project charters and recommend for approval or approval with conditions.	<b>A</b>	<b>R</b>	<b>C</b>	<b>C</b>	<b>I</b>	<b>C</b>	<b>R</b>	<b>I</b>
Coordinate architecture, security and privacy reviews.	<b>I</b>	<b>I</b>	<b>R</b>	<b>I</b>	<b>I</b>	<b>A</b>		
Create and Maintain project quality management plans.		<b>C</b>		<b>C</b>	<b>C</b>	<b>AR</b>		
Produce project work plans and schedules, budget, financial gating proposals and other critical project artifacts.		<b>C</b>	<b>C</b>	<b>C</b>	<b>C</b>	<b>AR</b>		
Produce documents for procurement, including project quality assurance, project management, technology solutions and solution integrators.		<b>C</b>	<b>C</b>	<b>C</b>	<b>C</b>	<b>AR</b>		
Provide a QA readiness assessment at the start of the engagement and at the beginning of each project phase thereafter.	<b>C</b>	<b>C</b>	<b>C</b>	<b>C</b>	<b>R</b>	<b>A</b>		



Task	Office of Chief Information			Contractors		Customers		
	OC Lead	Oversight Consultant	Biz Rel Mgr	Project Management Partner	Quality Assurance Provider	Agencies	OFM	Leg
<b>Project Execution &amp; Monitoring</b>								
Review gated funding deliverables and project performance for gate certification recommendation.	<b>A</b>	<b>R</b>	<b>I</b>	<b>C</b>	<b>C</b>	<b>C</b>	<b>I</b>	<b>I</b>
Recommend projects for suspension or termination when a project is not meeting or is not expected to meet anticipated performance and business outcomes.	<b>A</b>	<b>R</b>	<b>I</b>	<b>C</b>	<b>C</b>	<b>C</b>	<b>I</b>	<b>I</b>
Advise the authorizing environment and provide recommendations regarding oversight observations, concerns, and risks to project success.	<b>A</b>	<b>R</b>	<b>I</b>	<b>C</b>	<b>C</b>	<b>C</b>	<b>I</b>	<b>I</b>
Identify and report or escalate project risks when necessary.	<b>R</b>	<b>R</b>	<b>R</b>	<b>R</b>	<b>R</b>	<b>R</b>		
Coach and mentor project sponsors and project managers.	<b>A</b>	<b>R</b>	<b>C</b>	<b>R</b>	<b>R</b>	<b>C</b>		
Monitor vendor performance and manage relationship.	<b>C</b>	<b>C</b>	<b>C</b>	<b>C</b>	<b>C</b>	<b>AR</b>		
Conduct routine quality assurance assessments,		<b>C</b>			<b>AR</b>	<b>C</b>		

Task	Office of Chief Information			Contractors		Customers		
	OC Lead	Oversight Consultant	Biz Rel Mgr	Project Management Partner	Quality Assurance Provider	Agencies	OFM	Leg
including findings and recommendations.								
Review project deliverables for quality and adherence to specifications.		C		C	C	AR		
Manage project resources.		C		C	C	AR		
Monitor and report on project performance including key performance indicators.		C		C	C	AR		
<b>Project Closure</b>								
Ensure appropriate retention or disposition of key project artifacts.		C		C	R	AR		
Compile and document lessons learned.		C		C	C	AR		
Provide consultation and mentoring in project management methodologies and best practices during the project lifecycle.	A	R		R	R	C		
<b>Community of Practice</b>								
Contribute to the improvement of statewide project management processes and practices within	A	R		R	C	C	I	I

Task	Office of Chief Information			Contractors		Customers		
	OC Lead	Oversight Consultant	Biz Rel Mgr	Project Management Partner	Quality Assurance Provider	Agencies	OFM	Leg
state agencies and the OCIO.								
Share best practices, lessons learned and associated project management tools and templates.		R		AR	R	C		
Produce leading / best practice white papers		C		AR				
Publish annual and periodic reports on leading / best practices	C	C		AR	C	C		I
<b>Other</b>								
Perform gate certification	A	R	I	C	C	R	R	I
Implement process updates	A	R	I	C	I	C	I	I
Own Salesforce SEED process, features, backlog	A	R	I	C				
Others?								
Others?								

**Legend:**

Responsible	Accountable	Consult	Inform
Carries out the activity	Has ultimate ownership over the activity (includes decision authority)	Contributes or reviews the activity	Is kept informed about the activity

**Appendix C: Change Impact Canvas**



<b>Adoption Challenge</b>	Oversight Transformation
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<b>Group</b>	Project Enterprise
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Yesterday (before the change)	Aspect	Tomorrow (after the change)	Degree of Impact (0-5)
Oversight considerations are based on the full process and considerations attached to artifacts provided.	Processes	Earlier engagement, consultative two-way engagement help to inform a project tiering, giving greater clarity on what is needed and theoretically a reduced requirement for lower-risk projects.	5
Projects are navigated through different systems, including Salesforce, Excel, MS forms.	Systems	Future backlog epic: system will be moved into a single system (not occurring with this release)	1
Tools are available on WaTech public-facing Internet.	Tools	Updated tools and training materials will be available through on-demand video recordings, internet resource and launch lunch-and-learn offerings. Small changes in the Tech Budget form.	1
Overseeing and monitoring operations, ensuring compliance with regulations, identifying and rectifying issues, and enforcing established norms and procedures.	Job Roles	In partnership with BRM team, actively engaging stakeholders, providing guidance and support, fostering collaboration, and leveraging expertise to drive growth, innovation, and achieve shared objectives while ensuring compliance and regulatory adherence.	3

Yesterday (before the change)	Aspect	Tomorrow (after the change)	Degree of Impact (0-5)
Focus on monitoring, control, enforcement, and reactive responses to identified issues or deviations.	Critical Behaviors	Proactive and collaborative approach, including active engagement, open communication, empathy, knowledge sharing, and a commitment to continuous improvement, fostering a culture of partnership, innovation, and achieving desired outcomes while ensuring oversight and compliance.	3
Strict oversight, compliance, and a focus on identifying and rectifying issues or deviations from established norms or regulations	Mindset/ Attitudes/ Beliefs	Combines consultative partnership with a continued commitment to oversight and compliance, integrating proactive engagement, collaboration, empathy, continuous learning, and innovation to achieve both regulatory adherence and positive outcomes.	3
No change	Reporting Structure	No change	0
No change	Performance Reviews	No change	0
No change	Compensation	No change	0
No change	Location	No change	0

## **10 Aspects of Change Impact**

Describes the way a person or group may be impacted by change. Can be used to define what is changing for a person or group and assess the degree of impact.

### **1. Processes**

The actions or steps taken to achieve a defined end or outcome.

Example: steps in the client engagement process and actions taken to capture data in a cloud-based CRM system.

### **2. Systems**

A combination of people and automated applications organized to meet a set of objectives.

Example: the introduction of a new cloud-based CRM solution to manage and analyze client interactions and data throughout the customer lifecycle.

### **3. Tools**

An item or implement used for a specific purpose; can be a physical object such as a mechanical tool or a technical object such as a web authoring tool or software program.

Example: a conversion tool to move data from one CRM solution to another one mapping data as needed.

### **4. Job Roles**

A description of what a person does including competencies essential to performing well in that job capacity.

Example: the client services role responsible for engaging directly with clients.

### **5. Critical Behaviors**

Vital or essential response of an individual or group to an action, environment, person or stimulus.

Example: the actions of a client services associate based on client needs expressed including engagement with other team members to collaborate on solutions.

### **6. Mindset/Attitudes/Beliefs**

A mental inclination, disposition or frame of mind reflected in behaviors.

Example: the transition from a transactional mode of financial services engagement to one built on relationships with the mindset of improving client retention and advocacy.

### **7. Reporting Structure**

The authority relationships in a company or organization, who reports to whom.

Example: the move from regional sales teams to a global client services team with a different executive leader.

## **8. Performance Reviews**

The process and indicators of how performance is measured and assessed relative to objectives.

Example: the introduction of specific client retention and advocacy objectives for client services associates.

## **9. Compensation**

The amount of the monetary and non-monetary pay provided in return for work performed.

Example: the commission structure and bonus plan for client services associates.

## **10. Location**

A physical geographical place that provides facilities for a stated purpose.

Example: the consolidation of all client services associates to one floor of the building instead of three separate locations by region.