Oregon Secretary of State

3.3.9 Periodic Quality Status Report

Prepared for: Oregon Secretary of State
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Background

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Oregon Votes Project Background

- The Oregon Centralized Voter Registration System (OCVR) is a critical application used by County and state elections employees to manage election and voter records. OCVR is now over 15 years old and needs significant enhancements or replacement.

- In the current ecosystem, OCVR, ORESTAR, and EBS contain duplicate data, the Agency is managing and maintaining multiple databases and the current platform lacks the ability to *easily* implement modern security best practices.

- County Elections offices have minimal tools to improve the voter experience and can't keep voters updated on the status of their voter registration and completed ballots. OCVR has significant challenges in communicating with third-party systems that are critical to the election process, such as tabulators and scanners.

- The below guiding principals have been recently reviewed by the Quality Assurance Providers and the Project Implementation team and continue to be relevant and achievable.

Guiding Principle	Description
Align to Best Practices	**Standard, out-of-box processes aligned to industry best practices will be the default approach over customization,** unless required to support a valuable differentiating Agency or County need. Exceptions will be considered to accommodate unique legislative, fiscal, regulatory or security requirements.
Prioritize Requirements	Operational improvements that **benefit the Agency and County Elections Offices** will be prioritized over improvements that benefit only a small subset of stakeholders.
Increase Internal Efficiencies	Elections are critical to our community, but also a non-revenue producing activity. As a result, the OCVR replacement will look for opportunities to **improve efficiency through use of automation, real-time data sharing, advances in new technology, the reduction of technical debt, and user friendly to reduce training requirements**
Enhance Voter Communication	To improve the voters and the Counties ability to communicate, incorporate **portals, integrated calendars and communications features** to effectively manage voter history and improve communications using tools such as SMS text and email in addition to snail mail notifications.
Improve Data Integrity, Sharing, and Security	To improve reporting, overall data quality, and security, Agency and the Counties will **standardize data as much as possible, incorporate data validation and privacy/security best practices** within the system.

Introduction
Periodic Quality Status Reports

*This **6-Week QA Status and Improvement Report** summarizes Gartner's observations associated with project performance and risk, for the recent period, associated with the **Oregon Votes Project***

- Gartner's risk ratings conform to the color-coded risk rating criteria established in the table to the right.

- Risk ratings reflect Gartner's findings that includes risks, issues and statements of facts that may be positive or neutral as well as the anticipated lead times for risk mitigation.

Risk Levels	Risk Rating Definitions
Low	**Green** — Risk area is being managed according to applicable best practices and there is no material impact from this risk area on project success at this time.
Medium	**Yellow** — Risk area is being managed according to some of the applicable best practices, but others are missing, or the inherent risk can only be mitigated to a limited extent. There is a potential material impact from this risk area on project success that needs to be addressed proactively at this time.
High	**Red** — Risk area is in need of applicable best practices to avoid downstream ramifications, or there is significant inherent risk that cannot be reasonably mitigated. There is a definite material impact from this risk area on project success if this area is not addressed now.

Executive Summary

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Executive Summary

Low	Medium	High

Overall rating

- There is a disconnect between the Vendor and the State on what stage the project is in. The vendor, KNOWiNK, believes MVP is ready to be tested and signed off on. The State has not accepted this statement. This issue MUST be sorted out immediately in order for the project to move forward.

- A new schedule for testing MVP, completing any outstanding bugs, etc. must be put in place and most importantly agreed to by all parties as soon as possible.

- The State has indicated that system security is insufficient, however, they have struggled to clearly define the Security Standard the System needs to meet.

- Over the last several weeks, the State's response to project planning items has be extremely slow – hampering the projects ability to identify a path forward.

- Between now and when Go-Live is scheduled (see above) there are many activities that will require County involvement (Mock Election, UAT 2, Data Validation, Training, etc.) and it is likely there isn't enough time for all these activities to be completed. The SOS and the Vendor should develop a contingency plan in the event all activities cannot be completed.

- County impressions of the system continue to be of a concern. The County Conference solidified the concerns. County testing, training and ultimate use must be prioritized and worked into the overarching schedule.

- Defects continue to be tracked in Azure Dev Ops environment. There continue to be bugs identified in the MVP. Also the number of donut charts that are being produced are confusing to the project.

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Executive Summary - Continued

Low	Medium	High

Overall rating

- There continues to be outstanding security issues that must be resolved in order for Go-live to move forward. It is not clear exactly what must be done to alleviate these issues and allow for the testing to occur without scrambled data. Specific details need to be agreed to on both sides.

- The CORE system issues are no longer a dependency for Go-live but there is a concern around which instance the ORVIS system is currently on. When over-the-shoulder reviews are conducted the vendor has indicated that some, but not all, of the system is still on the previous instance.

- Given that the bulk of the development work for the solution is complete, the dependency on the CORE system has largely been removed. However, given the low maturity of the current system, scope additions in the form of enhancements will likely be identified as Users get deeper into testing as well after Go-Live. This scope will need to be managed deployed prior to Phase 2 Go-Live.

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Oregon Votes Project Status

Category	Rating	Comments
Scope	❌	○ **Scope:** The overall scope of the solution has been clearly defined and is well understood by both SOS and the Vendor team. However, given that the schedule is uncertain and the amount of work needed to complete petition and Phase 2 work re-scoping and an addition Phase may be needed. **Requirements:** Requirements are being tracked in Azure DevOps, but the number of high-level charts are confusing and obscure the project status. Development of the initial set of requirements seems to be complete, however there still seems to be some needed testing and new and old bugs must be logged and tracked. As noted, there are enhancements to the system that will be necessary for the State to improve overall efficiency. ○ **Petitions and Phase 2:** Petition and Phase 2 scope has been made minimal progress.
Schedule	❌	○ **Schedule Change:** KNOWiNK and the SOS must agree, in writing to a new schedule. Go-Live date that includes petitions, Phase 2 work and possible Phase 3 work must be implement as soon as possible or the project is may fail. This updated schedule must account for the very heavy election schedule. ○ **Training:** The counties and the state are committed to more training in each of the counties regions. This training must be incorporated into the new schedule. Counties, through the ESC and Sub-Committee must buy off on the new schedule. ○ **Data Validation:** Security concerns from the SOS's office continue to limited the ability for users to validate the system using unscrambled data. This delay in system validation continues to push the schedule. ○ **Resources:** There are a lot of activities planned between now and eventual Go-Live that will require County involvement (Mock Election, Data Validation, Training, UAT 2) and it's possible that there isn't enough time for all these activities to be completed prior to Go-Live

Oregon Votes Project Status

Category	Rating	Comments
Budget	❌	○ **Budget:** The project has developed a budget management plan, which details the various funding sources available for the project, and roles/responsibilities for distributing the funds. However, there continues to be little visibility into the line item details of the burndown of the budget. As we move into the final phases of the project the ESC and IQMS should have more understanding of where the budget stands. ○ **Unknown Budget Concerns:** With the concerns listed here and elsewhere, the need to keep OCVR running and other unknow issues there are budget concerns that need to be addressed. ○ **Cost Allocation:** The Statewide cost allocation model is not finalized. An update to the ESC on where this item is and will likely land is needed. If there is a gap between future systems costs, and the costs the Counties are willing to bear, it may delay the completion of the Inter-Agency Agreements. These agreements must be in place prior to Go-Live. This allocation methodology must be signed off on by the State and the County ASAP.
Quality	❌	○ **County Availability:** The excitement of the previous clerks conference has been replaced with concern for quality, completeness and ***. Hopefully the counties concerns can be alleviated with a successful UAT and more training. The retired county clerks that the state hired should communicate with their colleagues. A new training strategy should also be constructed and implemented since the previous training coordinator has left the SoS. ○ **Regression Testing:** This continues to be a problem. Every time a new release is uploaded something in the previous release(s) breaks. It is unclear if this is due to insufficient testing or if there are issues with the Core Functionality. In any case this must be corrected. ○ **Interfaces:** The enhanced DMV interface is live, which ensures the new system will achieve one of the key objectives of improving data quality used during the voter registration process.

iQMS Activity Summary

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Significant Accomplishments for Current Reporting Period –

Activity	Date	Summary
Completed 4.1.6 Quality Assurance Report	May 2022	Reviewed Project Artifacts, Conducted Stakeholder Interviews and completed Initial Risk Assessment
Quality Assurance Briefings	May 2022	Conducted Risk Assessment Brief to key stakeholders including the Project Team, Executive Steering Committee, County Sub-Committee, LFO
Executive Steering Committee	May / June / July / August	Attended the Oregon Votes Executive Steering Committees
County Sub-Committee	May / June / July / August	Attended the Oregon Votes County Sub-Committee Meeting
Weekly Project Status Meeting	May / June / July / August	Attended the Weekly Project Status Meeting
Requirements Validation Sessions	May / June / July / August	Attended each of the Requirements Validation Session Workshops
Bi-Weekly Project Management Call	May / June / July / August	Facilitated a bi-weekly call with the Project Management Team and iQMS
Project Sponsor Meeting	May / June / July / August	Facilitated a Monthly call with the Project Sponsor
Executive Meetings	May / June / July / August	Discussion with ODOT leadership on the DMV interface requirements

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Status of Key Deliverables

#	Deliverable	Date	Status
0.1	Project Initiation Document (PID)	6/18/2021	Complete
0.2	Stakeholder Analysis	6/18/2021	Complete
0.3	QA Communications Plan	6/18/2021	Complete
1.1	Project Risk Assessment Report	7/31/2021	Complete
2.1	Quality Standards – Operational Definitions Report	9/6/2021	Complete
2.2	Quality Checklists for Task 3.1 Deliverables, *Quality Control Review Reports* for selected Project-related documentation.	9/6/2021	Complete
2.3	Quality Management Plan	9/6/2021	Complete
2.4	Baseline QMS Work Plan (Updated by the Parties from time-to-time to reflect mutually agreeable adjustments, if any, to QMS Deliverables)	9/6/2021	Complete
2.5	Internal/External Presentations and Special Requests	N/A	Option Reserved
2.6	Lessons Learned Report – Project Evaluation	N/A	Option Reserved
3.1.1	Solution requirements related information and data components of the final solution contract with the successful Proposer	10/22/2021	Complete
3.1.2	Solution Requirements (Requirements Traceability Matrix)	10/22/2021	Complete
3.1.3	Solution consultant's Implementation Plan	2/7/2023	Not Started

| #	Deliverable	Date	Status
3.1.4	Authorized Purchaser's Project Management Plan, which includes: Project Charter, Communications Plan, Change Management Plan, Quality Management Plan, Schedule Management Plan, Budget Management Plan, Risk Management Plan, and Staffing Management Plan.	9/14/2021	Complete
3.1.5	Solution Contractor System testing and User Acceptance Testing.	6/3/2022	Not Started
3.1.6	Solution Contractor statement of work deliverables (OCM)	2/15/2022	In Progress
3.2.1	Security Review / Security Review Report	4/30/2022	To Be Removed
3.2.2	Security Code Review and Sampling Report(s)	5/30/2022	To Be Removed
3.3.1	Periodic Quality Status Reports	9/10/2021	Complete
3.3.2	Periodic Quality Status Reports	12/3/2021	Complete
3.3.3	Periodic Quality Status Reports	2/25/2022	Complete
3.3.4	Periodic Quality Status Reports	5/20/2022	Complete
3.3.5	Periodic Quality Status Reports	8/12/2022	Complete
3.3.6	Periodic Quality Status Reports	11/4/2022	Complete
3.3.7	Periodic Quality Status Reports	1/27/2023	Complete
3.3.8	Periodic Quality Status Reports	4/21/2023	Complete

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Status of Key Deliverables

#	Deliverable	Date	Status
4.1.1	Quarterly QA Status and Improvement Reports / Presentations	10/22/21	Complete
4.1.2	Quarterly QA Status and Improvement Reports / Presentations	1/14/22	Complete
4.1.3	Quarterly QA Status and Improvement Reports / Presentations	4/8/22	Complete
4.1.4	Quarterly QA Status and Improvement Reports / Presentations	7/1/22	Complete
4.1.5	Quarterly QA Status and Improvement Reports / Presentations	9/23/22	Complete
4.1.6	Quarterly QA Status and Improvement Reports / Presentations	12/16/22	Complete
4.4.7	Quarterly QA Status and Improvement Reports / Presentations	3/10/23	Complete
4.4.8	Quarterly QA Status and Improvement Reports / Presentations	6/2/23	Complete

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Executive Summary

Oregon Votes Risk Profile over Time

- Although the overall rating is still yellow, or medium risk, progress and actions are being made. The ESC and Executives should support the team in a laser focus on Go Live with no distractions.

- The County Clerks Conference created huge engagement and excitement around the project. This continues with the Weekly Open house and the UAT Trainings. The ESC and Executives should reach out to their county counterpart to encourage the continuation of this enthusiasm.

- Contract amendment details have been agreed to, but signature are taking longer than expected. The ESC and executives should continue to push forward to completion on this action.

- Go Live Criteria is not as clear as needed. The ESC and Executives should encourage this to be clearly documented, presented at the ESC, edited as needed, and agreed to by all before UAT starts.

- Platform stability including access, maintenance, security, through-put, and other future state activities are a concern. The ESC and Executives should help the project prioritize which of these is critical to Go Live and which, while still critical, can be a secondary priority.

- IQMS still has concerns regarding the overall budget, especially details. The ESC and Executives should clarify their need for more specific budget detail.

Low	Medium	High

Overall rating

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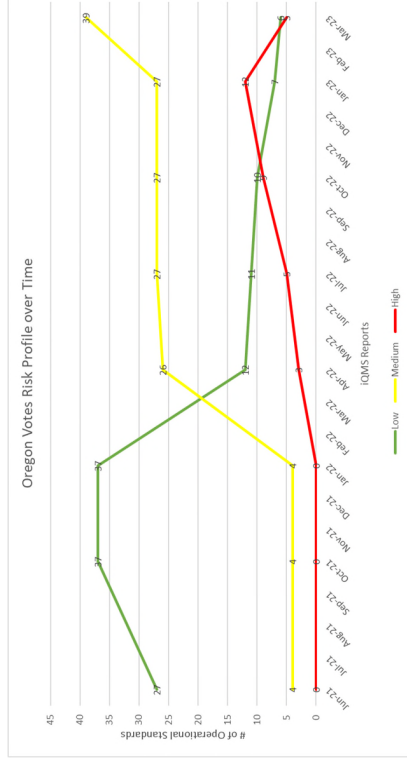
Assessment Summary
Key Strengths

Low	Medium	High

Overall rating ◄

1 High Level of Commitment and Ownership

- The Secretary of State Project team, County sub-committee and other stakeholders supporting the project are committed to project success and have a high-level of ownership in the outcomes.
- Executive Leadership, at all levels, is committed to the project and the outcomes.
- Executive Leadership supports the project by removing roadblocks and supporting team actions.
- All members of the project team are professional, and their words and actions are aligned.

2 Appropriate Escalations

- As the project team encounters project issues, the team has escalated issues beyond their control to Executive Leadership who are actively engaging with KnowINK leadership to resolve them

3 Strong Guiding Principals

- All members of the team are adhering to the guiding principles and vision of the project. Adherence to these principles is helping drive the projects towards the desired outcomes.
- The citizen and the integrity of the Voter Registration and Election Management are the focus of all the teams efforts.

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Assessment Summary

Key Risks

Low	Medium	High

Overall rating ▲

1

Go-Live Criterion

- As the project has progressed the State is working with the Vendor to address risks related to system functionality, operations and maintenance support, and security. However, the State has not defined, and may not be internally aligned on which items need to be addressed prior to the system going live. If the State doesn't clearly define the Go-Live criterion and communicate that to the Vendor – there is a risk that resources will be spending time addressing lower priority items while ignoring critical items impacting the Go-Live Milestone.

2

User Acceptance Testing

- UAT is a critical milestone and SOS and the Counties last opportunity to identify system defect prior to Go-Live. It's critical that Counties dedicate sufficient time of critical end-users to participate in UAT and provide feedback. If there is insufficient participation, the system may not be sufficiently tested and Go-Live could fail – resulting in the State having to fail-back to the legacy OCVR system.

- In addition to County Participation, UAT will provide the Counties an opportunity to validate accuracy of the data being converted from the legacy system to Oregon Votes. If the data is not in a format that allows Counties to validate its accuracy, there is a risk that data quality issues will not be identified with sufficient time for the Vendor to address them prior to Go-Live.

3

Platform Stability

- The State still had concerns about items related to Operations & Maintenance, Security, Disaster Recovery

- The Oregon Votes solution is being built on a re-platformed version of an older BPro solution, and Oregon will be one of the first customers to use this solution. Although this solution is built on previously deployed and tested software, there is considerable risk that this new product will not be as optimized due to the fact it hasn't been previously deployed, and battle tested.

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Assessment Summary
Key Recommendations

Low	Medium	High

Overall rating ◀

Go-Live Criterion

1

- As the State moves closer to Go-Live, the project team needs to develop the critical milestones that must be satisfied prior to the Go-Live, these milestones should be shared with and ratified by the Executive Steering Committee, and a Go-No Decision point calendared so the ESC can participate in the decision.

User Acceptance Testing

2

- The State should define what minimum level of County participation required in order to Exit User Acceptance Testing. This could be tracked by determining the unique Users or Counties that executed test scripts – to ensure that sufficient feedback was received from the various different user groups / types.

- If this criterion is not meet, then the State would need to assess the risk associated with the User gap prior to exiting User Acceptance Testing

- Provide unscrambled data.

Platform Stability

3

- DR / Security: The State needs to track these critical items and remedy non-go live dependent items prior to Phase 2 Go Live

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Risk Assessment Scorecard

Low	Medium	High

Overall rating

Quality Standard	Prev	Cur
Business Mission & Goals		
Customer Perception	Green	Green
Workflow	Green	Green
Political Influences	Green	Green
Convenient Date		Yellow
Project Management		
Definition of the Project	Yellow	Yellow
Project Objectives	Green	Green
Leadership	Yellow	Yellow
Project Management Approach		
Project Management Communication	Red	Red
Project Manager Authority	Yellow	Yellow
Project Parameters		
Budget & Resource Size	Red	Red
Budget Constraints	Yellow	Yellow
Cost Controls		
Delivery Commitment	Red	Red
Development Schedule	Yellow	Yellow
Specification and Design		
Requirements Management	Yellow	Yellow
Security Requirements		

Quality Standard	Prev	Cur
Project Team		
Team Member Availability (SOS, Vendors, Other)	Yellow	Yellow
Application Experience	Red	Yellow
Training of Team		
Team Productivity		
Organization Management		
Organizational Stability	Red	Yellow
Program Organizational Roles and Responsibilities	Red	Yellow
Policies and Standards		
Executive Involvement	Red	Yellow
Resource Conflict		
Customer Conflict		
Customer / User		
User Involvement	Yellow	Yellow
User Acceptance		
User Training		
Product Content		
Requirement Stability	Green	Green
Requirements Complete and Clear	Red	Yellow
Testability	Red	Yellow
Implementation Difficulty		
System Dependencies		

Quality Standard	Prev	Cur
Development Process		
Commit Process	Yellow	Yellow
Development Documentation		
Use of Defined Engineering Process	Yellow	Yellow
Defect Tracking	Green	Green
Change Control for Work Products	Yellow	Yellow
Development Environment		
Disaster Recovery	Gray	
Deployment		
Response or Other Performance Factors	Gray	Yellow
Customer Service Impact	Yellow	Yellow
Data Migration Requirement	Yellow	Yellow
Pilot Approach		
External Interfaces	Green	
Deployment Approach	Yellow	Yellow
Maintenance		
Solution Complexity	Red	Red
Support Personnel	Gray	
Vendor Support	Gray	Yellow

Vendor Deliverable Status

No.	Milestone Name	Delivery Date	Status	Notes
1	Project Management	31-Aug-21	Complete	N/A
2	Requirements, Data Mapping	31-Oct-21	Complete	N/A
3	Functional Design	20-Dec-21	Complete	N/A
4	Technical Design, OCM	28-Feb-22	Complete	N/A
5	Hosting, Development – Sprint 10	30-Apr-22	Complete	N/A
6	Development – Sprint 13	30-Jun-22	Complete	N/A
7	Development Completion	31-Mar-23	In Progress	Functional Design, Technical Design, Security Plan, DR Plan and Training Plan Submited
8	System Test	30-Apr-23	In Progress	UAT Planning and Training Underway
9	Data Migration	31-Jul-223	In Progress	In Progress
10	UAT and Mock Election	30-Jun-23	In Progress	Planning in Progress
11	MVP Closeout	01-Jul-23	Not Started	
12	Phase II Development	01-Aug-23	Not Started	
13	Phase II Go-Live Readiness	30-Sep-23	Not Started	
14	System Implemented	31-Oct-23	Not Started	

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