Annual Report

OVERVIEW OF MAJOR INFORMATION RESOURCES PROJECTS REPORTED TO THE QUALITY ASSURANCE TEAM

December 2021 to November 2022
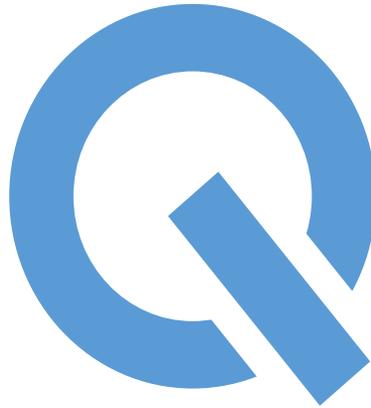
Quality Assurance Team

Comptroller of Public Accounts

Texas Department of Information Resources

Legislative Budget Board

State Auditor's Office (Advisory)

December 1, 2022

QUALITY ASSURANCE TEAM

♦ **Comptroller of Public Accounts** ♦ **Texas Department of Information Resources** ♦

♦ **Legislative Budget Board** ♦ **State Auditor's Office (Advisory)** ♦

TO: Governor Greg Abbott
Lt. Governor Dan Patrick   Speaker Dade Phelan
State Senator Brandon Creighton   State Representative Greg Bonnen
State Senator Joan Huffman   State Representative Mary González
State Senator Lois Kolkhorst   State Representative Morgan Meyer
State Senator Charles Schwertner   State Representative Armando Walle

FROM: Glenn Hegar, Texas Comptroller of Public Accounts
Amanda Crawford**,** Executive Director, Texas Department of Information Resources
Jerry McGinty, Director, Legislative Budget Board

DATE: December 1, 2022

SUBJECT: 2022 Quality Assurance Team Annual Report

The attached report is the Quality Assurance Team Annual Report on monitored major information resources projects at Texas state agencies. Projects are assessed to determine if they are operating on time and within budget and scope. The analysis is provided by the Quality Assurance Team (QAT) pursuant to the Texas Government Code, Section 2054.1183.

The QAT, which includes representatives of the Comptroller of Public Accounts, Texas Department of Information Resources, Legislative Budget Board, and the State Auditor's Office (advisory member), is charged with overseeing and assisting with the development of major information resources projects.

An electronic version of this report is available at https://qat.dir.texas.gov/pubs.htm. If you have any questions, please contact Bobby Pounds of the Comptroller of Public Accounts at (512) 463-4941, John Hoffman of the Texas Department of Information Resources at (512) 936-2501, Richard Corbell of the Legislative Budget Board at (512) 463-1200, or Michael Clayton of the State Auditor's Office at (512) 936-9500.

Attachments

CONTENTS

OVERVIEW OF MAJOR INFORMATION RESOURCES PROJECTS REPORTED TO THE QUALITY ASSURANCE TEAM

The Quality Assurance Team (QAT) includes representatives from the Comptroller of Public Accounts (CPA), the Texas Department of Information Resources (DIR), the Legislative Budget Board (LBB), and the State Auditor's Office (SAO) (advisory member). QAT oversees the state's major technology project portfolio, which is a single view of all agencies' major information resources projects. The team monitored 60 projects during the reporting period from December 2021 to November 2022. Of these projects, 20 are expected to exceed their original planned duration by more than 10.0 percent. Eleven projects are expected to exceed their initial budgets by more than 10.0 percent. **Appendix A** includes the initial and current estimated costs and durations for these projects.

A major information resources project is statutorily defined in the Texas Government Code, Title 10, Chapter 2054. These projects typically include information technology projects that meet a certain dollar threshold and require one year or longer to reach operational status.

From December 2021 to November 2022, QAT provided process improvement strategies to state entities that manage the projects in the portfolio. These strategies include agency consultations, trainings, and dissemination of best practices.

FACTS AND FINDINGS

♦ From December 2021 to November 2022, the state's major technology project portfolio included 60 projects with an estimated total cost of $1.2 billion.

♦ Of the 60 projects monitored, 35 currently are within 10.0 percent of both original planned duration and planned costs. Four of these 35 projects report using a waterfall methodology, while 15 report using agile methodology, and 14 report using a hybrid methodology of both waterfall and agile methods. The remaining projects have not yet identified a project methodology.

COMMON METHODOLOGIES FOR MAJOR INFORMATION RESOURCES PROJECTS

Agile Methodology

The agile methodology is a way to manage a project by breaking it up into several phases. It involves constant collaboration with stakeholders and continuous improvement at every stage. Once the development begins, various teams' cycle through a process of planning, executing, and evaluating.

Waterfall methodology

The waterfall method is a traditional approach to project management. In it, tasks and phases are completed in a linear, sequential manner, and each stage of the project must be completed before the next begins.

♦ Agencies are increasingly implementing agile methodology, which can increase project flexibility, control costs, and reduce risks. Thirty-two of the 60 projects reported using the agile methodology.

♦ Projects that have a development schedule of less than 28 months are meeting their initial costs and duration estimates at a higher rate than projects with longer durations.

♦ As of November 2022, 18 projects were reported to be complete or near completion. Ten of these 18 projects (55.6 percent) were within 10.0 percent of original budget and duration.

♦ QAT has approved project framework for 11 projects to date for calendar year 2022.

♦ From December 2021 to November 2022, QAT reviewed three contracts at a total value of $194.8 million.

DISCUSSION

Staff from the CPA, DIR, LBB, and SAO (advisory) serve in a joint capacity on the QAT. QAT reviews and monitors state agency major information resources projects; identifies potential major information resources projects from agencies' Biennial Operating Plans; monitors the status of major information resources projects; and provides feedback regarding agencies' framework deliverables. Agencies issuing contracts for major information resources projects with an expected value of at least $10.0 million also must obtain QAT review of the contract before execution.

BACKGROUND

QAT operates pursuant to the Texas Government Code, Chapter 2054, and the Eighty-seventh Legislature, General Appropriations Act (GAA), 2022–23 Biennium, Article IX, Sections 9.01 and 9.02. QAT reviews and monitors information resources projects. It also reviews and provides recommendations regarding certain contracts and contract amendments related to those projects. Since its inception, the team has published annual reports that provide the status of these projects.

Each member agency of the team provides staff with expertise in certain areas, including system development, budgeting, and contracting.

Agencies must use DIR's Texas Project Delivery Framework during delivery of major information resources projects as defined in the Texas Government Code, Chapter 2054, and for certain major contracts. DIR's framework includes the following phases:

- initiation;
- planning;
- execution;
- monitoring and control; and
- closing.

As part of the QAT, each member agency performs specific duties related to their role.

LBB staff specify procedures for the submission, review, approval, and disapproval of Biennial Operating Plans and amendments, including procedures for review or reconsideration of the LBB's disapproval of a Biennial Operating Plan or its amendments.

CPA staff review contracts, contract amendments, and related solicitation documents. CPA staff also provide input on project framework deliverables.

SAO recuses itself from making recommendations and participating in additional oversight initiatives related to contracting contained in this report. This separation is necessary to ensure that SAO maintains its independence so that future audits of contracts and amendments overseen by QAT can be conducted in accordance with professional auditing standards.

In the course of performing its duties, QAT may request additional information from agencies to facilitate more comprehensive project analyses. For example, QAT may request an updated version of a project plan from an agency to

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MAJOR INFORMATION RESOURCES PROJECTS

Pursuant to the Texas Government Code, Chapter 2054, a major information resources project is:

- any information resources technology project identified in a state agency's Biennial Operating Plan whose development costs exceed $5.0 million and that:
  - requires one year or longer to reach operations status,
  - involves more than one state agency, or
  - substantially alters the work methods of state agency personnel or the delivery of services to clients;
- any information resources technology project designated by the Legislature in the General Appropriations Act as a major information resources project; and
- any information resources technology project of a state agency designated for additional monitoring pursuant to the Texas Government Code, Section 2261.258(a)(1), if the development costs for the project exceed $5.0 million.

This definition includes any institutions of higher education or state agencies that receive a rating of Additional Monitoring Warranted in the State Auditor's Office report on Contract Monitoring Assessment at Certain State Agencies.

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better understand a project's revised scope. Additionally, QAT may require an agency to submit third-party reports, including independent verification and validation reports, when the project is reviewed. Such reports can serve as crucial sources of insight to evaluate information technology (IT) project risks.

Finally, QAT may request SAO to perform project reviews. These reviews have provided valuable input to QAT from an independent perspective. SAO did not perform any project reviews during the current reporting period.

PROJECT PERFORMANCE OBSERVATIONS

From December 2021 to November 2022, the state's technology project portfolio included 60 projects totaling $1.2 billion and which are in various stages of development or have been completed during the past year.

OBSERVATIONS AND TRENDS

QAT observations and trends are based on self-reported information as of November 2022. Information reported for ongoing projects may change as their implementation progresses.

Although QAT provides oversight for major information resources projects, agencies ultimately are responsible for the successful delivery of their projects.

The following trends and statistics apply to 50 projects that were at least 30.0 percent complete as of November 2022. Typically, projects that exceed planned durations also are more likely to exceed their budgets, whereas projects within schedule tend to remain closer to the initial budgets **(**see Figure 2**)**.

Observation 1: Duration and Budget of Projects

Projects that have a shorter development schedule were more likely to meet both their estimated current cost and duration projections, as indicated by the following examples:

- 38 of 50 projects (76.0 percent) had an initial duration of 27 months or less; four of these 38 projects (10.5 percent) exceeded both their initial cost and duration estimates by more than 10.0 percent; and

- 12 of 50 projects (24.0 percent) had an initial duration of 28 months or more; three of these 12 projects (25.0 percent) exceeded their initial cost and duration estimates by more than 10.0 percent.

Longer projects that have initial estimated costs of more than $10.0 million were less likely to be implemented within budget and duration.

Observation 2: Timeframe and Procurement Method

A sound acquisition plan should outline the procurement strategy for managing the acquisition in accordance with statutory and regulatory requirements and in support of the program's needs. The procurement strategy should be guided by a realistic procurement timeframe that considers the complexity and dynamism of the procurement.

Setting a realistic timeframe can be a challenge, especially considering the unpredictability of contract negotiations. Relevant market research and key input from stakeholders and the vendor community can provide the project team with sufficient information to set reasonable timing expectations and avoid or minimize project schedule overrun, which is common for large projects. QAT has observed that agencies that have large procurements often are delayed by several months during the acquisition phase.

Agencies should prepare a request for proposal (RFP) consistent with state law and the CPA's *State of Texas Procurement and Contract Management Guide.* Typically, an RFP is recommended when factors other than price are to be considered or when objective criteria cannot be defined. Agency procurement staff should assist in determining a reasonable timeline for the solicitation and should consider the agency's evaluation process and executive signoff procedures for major purchases. For contracts that are expected to exceed $10.0 million in value, agencies are encouraged to notify QAT early in the process to prevent unnecessary delay in the final contract review. When evaluating vendors that respond to RFP's, it is important to evaluate their past performance and current financial status. Agencies make the finale vendor selection using the original approved selection criteria, including end-user feedback.

Data Center Services (DCS) agencies should engage the DIR's Shared Technology Services (STS) team for assistance before posting a solicitation. The team will aid in developing language to offer a solution option that is hosted in a state data center, including hosting in the secure public cloud offerings of the DIR's STS program; provide for improved long-term network planning; and consult on DCS exemptions if necessary. DCS agencies that pursue contracts without consulting DIR risk having the necessity to renegotiate awards and delay the project.

QAT-MONITORED PROJECTS' STATUS

The Texas Government Code, Section 2054.151, states, "The legislature intends that state agency information resources and information resources technologies projects will be successfully completed on time and within budget and that the projects will function and provide benefits in the manner the agency projected in its plans submitted to the department [DIR] and in its appropriations requests submitted to the legislature."

Figures 1 and 2 show the status of QAT-monitored projects that were at least 30.0 percent complete as of November 2021 and November 2022, respectively. Each circle in the figures represents a project. Projects that are less than 30.0 percent complete are not included in this analysis because these projects may be in the planning or procurement phases.

Figure 1 shows agencies reported 36 projects that were at least 30.0 percent complete as of November 2021.

FIGURE 1
PERCENTAGE OF PROJECT COMPLETE VS. PERCENTAGE OF BUDGET SPENT ON QUALITY ASSURANCE TEAM-MONITORED PROJECTS, NOVEMBER 2021
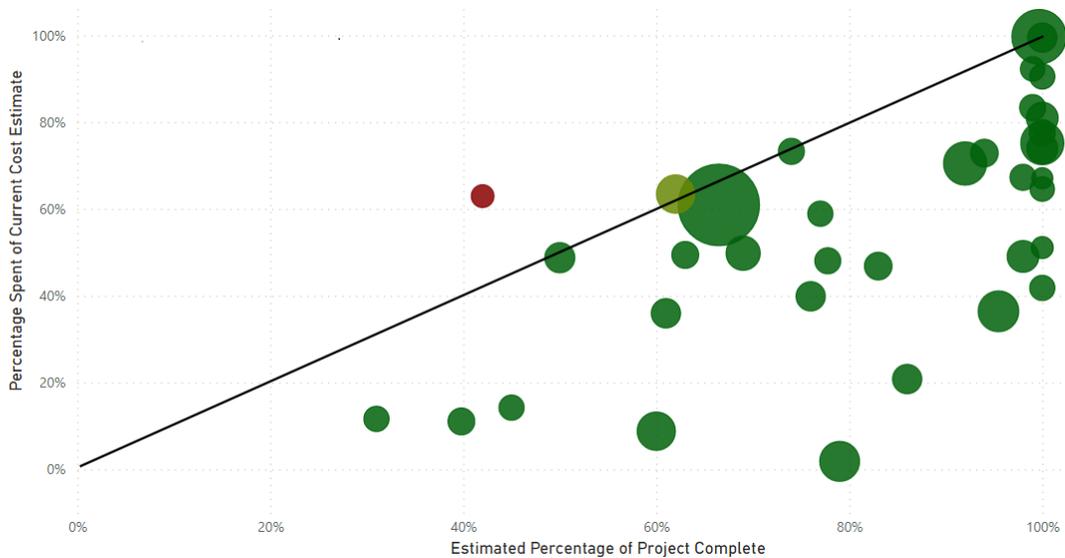
NOTES:
(1) Each circle on the graph represents a project that was at least 30.0 percent complete (36 of 56 projects). Projects depicted in green, on or below the diagonal line, are within budget at their current levels of completion. Projects above the line have cost proportionally more than budgeted. See Appendix A for further information on each project.
(2) The size of each circle corresponds to the project's current estimated budget.
SOURCES: Agency self-reported monitoring reports.

Figure 2 shows the 50 projects that were at least 30.0 percent complete as of November 2022.

FIGURE 2

PERCENTAGE OF PROJECT COMPLETE COMPARED TO PERCENTAGE OF BUDGET SPENT IN QUALITY ASSURANCE TEAM-MONITORED PROJECTS, AS OF NOVEMBER 2022
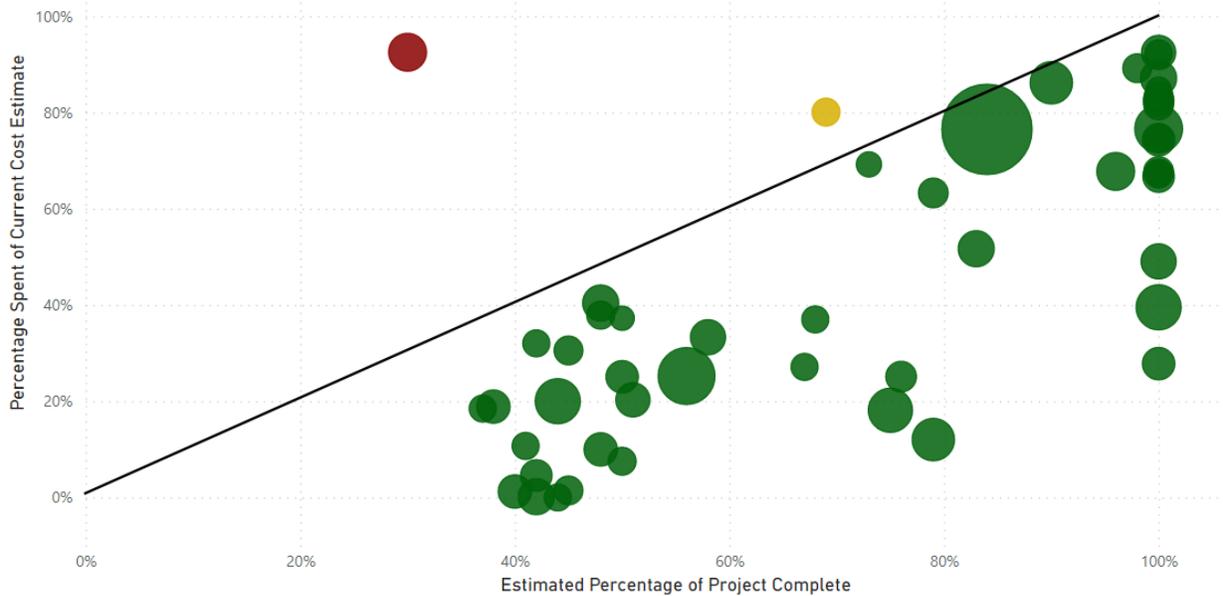

NOTES:
(1)   Each circle on the graph represents a project that was at least 30.0 percent complete (50 of 60 projects). Projects depicted in green, on or below the diagonal line, are within budget at their current levels of completion. Projects above the line have cost proportionally more than budgeted. See Appendix A for further information on each project.
(2)   The size of each circle corresponds to the project's current estimated budget.
SOURCES: Agency self-reported monitoring reports.

POST-IMPLEMENTATION REVIEW OF BUSINESS OUTCOMES

A Post-implementation Review of Business Outcomes (PIRBO) describes the expected benefits and outcomes compared to the realized benefits and outcomes of implementing a major information resources project. In that report, the agency also identifies the lessons it learned that can be used to improve agency-level or state-level processes.

The agency must submit a PIRBO to QAT within six months after a project has been completed.

COMPARISON OF 2021 AND 2022 PROJECT PERFORMANCE

For projects reported at least 30.0 percent completion as of November 2021, 50.0 percent were within their original estimated costs and durations, and 12.0 percent exceeded both cost and duration. For projects reported at least 30.0 percent complete as of November 2022, 42.0 percent are within their original estimated costs and durations, and 18.0 percent exceeded both cost and duration. For agencies whose projects are within their original estimated costs and durations, this status may be attributed to the following actions:

- utilizing agile methodology in management of new projects;

- allocating more time to developing initial cost estimates, benefits, quality, and scope;

- managing projects in conjunction with the agency project management office;

- completing original scope before adding new requirements to existing projects;

- thoroughly identifying system requirements; and

- dividing large-scale, system replacement projects into multiple, smaller-scale projects.

Projects with durations of three years or less are becoming common, as IT often becomes obsolete after that period. Despite this trend toward shorter durations, some large-scale systems could have a development duration of five years or more. QAT has observed that these large-scale projects are most likely to exceed budget or fall behind schedule.

PROJECT HIGHLIGHTS DURING MONITORED YEARS 2021 AND 2022

As previously mentioned, projects lasting less than 28 months were more likely to be successful (i.e., meet their cost and duration estimates). QAT monitored several successful projects during fiscal year 2022, including the following projects:

- Health and Human Services Commission (HHSC) Migrate Vision21 Off Non-Stop Kernel Platform

    According to the agency, the migration project eliminated a dependency on outdated proprietary legacy technology by converting legacy applications and processes and migrating them onto an operating platform based on open hardware standards and industry-standard data management solutions already in use within the state.

    HHSC began the project during fiscal year 2020. The initial estimated project cost was $10,125,791. The initial planned project start and completion dates were August 14, 2020, and February 1, 2022, respectively. The final project cost of $8,258,809 was 18.6 percent less than the estimated cost, and the project's completion remained within the initial timeframe of 18 months.

- Department of State Health Services (DSHS) COVID-19 Integrated Provider Relationship Management and Integrated File Management System Modernization Project

    This modernization project has enabled the Texas Immunization Registry to fulfill providers' vaccine needs across the state through an automated process. According to the agency, this improvement has given vaccine providers the ability to register rapidly as providers and submit vaccine data to receive and reorder vaccines to mitigate the spread of infectious diseases in Texas.

    DSHS began the project during fiscal year 2021. The initial estimated project cost was $2,822,218. The initial planned project start and completion dates were July 5, 2021, and April 29, 2022, respectively. The final project cost of $2,391,762 was 15.3 percent less than the estimated cost, and the project's completion remained within the initial timeframe of 10 months.

ADDITIONAL QAT OVERSIGHT INITIATIVES

Contract Oversight

Pursuant to the 2022–23 GAA, Article IX, Section 9.01, and the Texas Government Code, Section 2054.160, any contract for the development of major information resources projects with an expected value of at least $10.0 million must be reviewed by QAT before it can be executed by an agency. QAT will review the contract to check that it follows the best practices established in the *State of Texas Procurement and Contract Management Guide* (TPCMG) and all applicable rules and regulations. QAT may provide recommendations regarding reviewed contracts and reserves the right to waive the contract review requirement within certain circumstances. TPCMG provides state agencies with guidance regarding the full procurement cycle, and QAT conducts contract reviews based on adherence to the practices within the guide.

Agencies must notify QAT when they advertise an RFP, request for bid, or other similar activity common to the competitive bidding processes for a major information resources project. Additionally, agencies must notify QAT within 10 business days of awarding a contract for a major information resources project valued at $10.0 million or greater for QAT review. Agencies must submit to QAT a justification for amendments that increase a contract's value by at least 10.0 percent.

QAT has fostered increased collaboration among oversight agencies, enabling DIR, CPA, LBB, and SAO to partner on training initiatives through CPA's mandatory procurement training and continuing education programs. QAT also has provided improved insight into statewide contracting issues, informing the focus of the Statewide Procurement Division's (SPD) continuing education offerings. The Procurement Oversight and Delegation team within SPD, which administers the Contract Advisory Team (CAT), has collaborated with QAT to provide additional oversight of state agencies' adherence to contracting requirements. The increased communication and partnership have enabled improved overall oversight.

QAT also collaborates with agencies to provide feedback regarding contracts that are not subject to formal approval. As required by statute, the solicitation will be reviewed by CAT, and QAT will coordinate with CAT to remain informed regarding planned procurements.

Senate Bill 799 Additional Oversight

Pursuant to Senate Bill 799, Eighty-seventh Legislature, Regular Session, 2021, DIR is required to provide additional oversight for agency projects designated by SAO for additional monitoring for any major information resources project designated by the Governor, Lieutenant Governor, or Speaker of the House of Representatives. DIR, in consultation with QAT, developed an additional oversight matrix to guide the implementation of this requirement. Additional oversight will be provided as appropriate based on individual project performance, as determined by QAT, in the areas of risk management, quality assurance services, independent project monitoring, and project management.

ADDITIONAL OVERSIGHT LEVEL	EXAMPLES OF ADDITIONAL OVERSIGHT ACTIVITIES
High	Establish executive steering committee meetings with QAT, use of enterprise risk management tools, consideration of contracts with independent quality assurance vendor, independent verification and validation vendor, and project manager
Medium	Enhanced project data capture, initiate agency project team reviews with QAT staff
Low	Increase monitoring frequency, improve defining and tracking project quality

Project Oversight: Public Dashboard

All major information resources projects currently report all performance measures.

The QAT dashboard, which is updated quarterly, includes interactive graphics, and shows a summary of projects that QAT monitors, along with detailed performance metrics by project. It is available at https://public.tableau.com/app/profile/state.of.texas.lbb/viz/4626_QualityAssuranceTeam_16690525041530/StatewideOverview

The performance indicators for the areas of budget, schedule, scope, and quality reported from state agencies for each project are calculated in the following manner:

- schedule performance index (SPI) – SPI is a standard project management measure of how close the project is to being completed compared to the schedule. For waterfall methodology projects, it is calculated by dividing the budgeted cost of work performed, or earned value, by the planned value. For agile methodology projects, SPI is calculated based on completed activities compared to planned activities;

- cost performance index (CPI) – CPI is a standard project management measure of the financial effectiveness and efficiency of a project. It represents the amount of completed work for every unit of cost spent. For waterfall methodology projects, it is calculated by dividing the budgeted cost of work performed, or earned value, by the actual cost of the work performed. For agile methodology projects, it is calculated based on completed activities compared to the actual costs or hours completing those features;

PROJECT LEVEL SCHEDULE PERFORMANCE INDEX AND COST PERFORMANCE INDEX RATING	CORRESPONDING COLOR
0.90 or greater	Green
From 0.80 to less than 0.90	Yellow
Less than 0.80	Red

- scope performance – This measure is derived from reviewing the budgetary impact of project scope changes during the preceding 12 months; and

SCOPE PERFORMANCE INDEX SCOPE CHANGES DURING THE PRECEDING 12 MONTHS THAT IMPACT THE PROJECT BUDGET BY AN INCREASE OF:	CORRESPONDING COLOR
10.0% or less	Green
Greater than 10.0% and less than or equal to 20.0%	Yellow
Greater than 20.0%	Red

- quality performance –Quality is measured throughout the project's life cycle during project deliverable reviews, during testing, and after the system has been implemented. The quality of vendor performance also is measured. Quality performance is measured against agency-developed Quality Management Plans or Quality Registers.

QUALITY PERFORMANCE INDEX	CORRESPONDING COLOR
Project is achieving its stated quality objectives.	Green
Project is missing some of its quality objectives and requires agency management notification.	Yellow
Project is not achieving its quality objectives and requires agency management intervention.	Red

The metrics are established in the Statewide Project Automated Reporting (SPAR) system to track and review projects. Agencies that are implementing major information resources projects enter project data directly into the SPAR system for QAT's review. Additionally, the SPAR system tracks whether an agency has considered cloud computing service options and whether the agency has considered QAT best practices pursuant to the Texas Government Code, Section 2054.304. To ensure that agencies understand all requirements associated with these projects, the use of the Project Delivery Framework, the use of the SPAR system, and the public dashboard, DIR provides training to agency staff through agency visits, webinars, and DIR-sponsored forums. Agencies are encouraged to request trainings directly with DIR at projectdelivery@dir.texas.gov.

As part of continuous process improvement efforts, QAT and DIR are collaborating on several developments to help agencies improve the delivery of projects. Figure 3 shows these improvement efforts.

FIGURE 3
QUALITY ASSURANCE TEAM AND DEPARTMENT OF INFORMATION RESOURCES IMPROVEMENTS
NOVEMBER 2022

- QAT and the DIR will emphasize incorporating best practices in modern information technology project management outreach and training with agencies using various methods: webinars, individual training, classroom settings, and electronic delivery of content.
- QAT coordinates information sharing with the Legislative Budget Board's Contract Oversight Team.

- DIR is revising rules and regulations pursuant to the Texas Administrative Code, Title 1, Part 10, Chapter 216, which pertains to project management practices, and is updating the rules to help agency practitioners manage legislative changes regarding projects.
- QAT may require a project demonstration after project deployment.
- DIR coordinates information sharing among state agencies to disseminate best practices.

SOURCE: Quality Assurance Team.

BEST PRACTICES TO BE CONSIDERED BY AGENCIES
The Texas Government Code, Section 2054.304, requires state agencies to consider incorporating applicable best practices into their major information resources project plans. Based on successful activities performed by entities across the public sector and at the federal level, QAT has identified the following best practices that contribute to the success of state agency information systems:

- divide large projects into smaller, more manageable projects with schedules of less than 28 months and budgets of less than $10.0 million. For large legacy-replacement projects, consider strategies to migrate the legacy system incrementally by gradually replacing specific pieces of functionality with new applications and services; The Strangler Fig pattern (https://docs.microsoft.com/en-us/azure/architecture/patterns/strangler-fig) is an example of one such strategy;

- consider leveraging DIR's STS program for project delivery needs related to cloud, application development, maintenance, security, and other technology solutions. Participation in the STS program may enable an agency to meet evolving project needs, while minimizing risk and maintaining project and business continuity;

- combine agile development with user-centered design to enable the development team continuously to iterate toward solving and meeting end users' needs (including digital accessibility). A culture shift is required across the organization to successfully implement agile development successfully;

- build IT systems using loosely coupled parts, connected by open and available application programming interface to enable flexible, sustainable systems that meet users' needs and cost less than traditional systems;

- include security planning in the initiation phase of the project. Complete a security risk assessment for the project, include a secure code review and vulnerability testing, conduct a penetration test of the application, and remediate findings before moving to production. Obtain and review the Statement on Standards for Attestation Engagements No. 18 report compiled by the American Institute of Certified Public Accountants Inc., for any external service provider that will be hosting or managing your data or services;

- perform system categorization and determine the appropriate security control baselines for the information system based on confidentiality, integrity, and availability requirements;

- include metadata strategy in project plans to account for how metadata will be developed through project delivery, and for how the new metadata will be maintained and integrated into the broader ecosystem to align the metadata strategy with business priorities;

- embed electronic and information resources accessibility into project planning with emphasis on vetting accessible products and services, iterative quality assurance testing, and user testing that includes people with disabilities;

- consider agile procurement for procurements that have a moderate level of uncertainty and complexity. Agile procurement is a method that enables the procurement to be divided into a series of manageable iterative stages, from developing the solicitation in stages to providing a series of vendor demonstrations and discussions throughout the procurement phase; and

- divide large contracts into shorter-term, lower-dollar-amount contracts through modular contracting, which enables the agency to decrease project risk and incentivizes contractor performance while meeting the agency's need for timely access to rapidly changing technology. The resulting contract language should enable modular product delivery that includes user-centered modules that can be remediated without jeopardizing the success of the entire project.

QAT identified strategies that agencies should use to ensure an appropriate methodology for project selection, control, and evaluation based on alignment with business goals and objectives. **Figure 4** shows these strategies as of November 2022.

FIGURE 4
STRATEGIES FOR AN APPROPRIATE PROJECT METHODOLOGY
NOVEMBER 2022

- Provide adequate time for project procurement activities.
- Consider the allowable funding for a biennium when planning a project and contract.
- Include employee benefit costs as part of full-time-equivalent position costs when reporting project costs in monitoring reports.
- Integrate accessibility requirements and standards in the Texas Administrative Code, Title 1, Part 10, Chapter 213, Electronic and Information Resources, during procurement, product and services analysis, development, and testing.
- Assess and document potential risks including their potential impact and probability. Identifying risks will help remediate them sooner and reduce project time and cost overages.

- Conduct a thorough analysis of resource availability before submitting a project to agency management for approval. Failure to adhere to this practice can lead to unrealistic expectations.
- Submit monitoring reports within 30 days after the end of each quarter. Monitoring reports often are submitted late or with inaccurate or inconsistent information.
- Submit a contract amendment change order when change orders or amendments increase the total contract amount by at least 10.0 percent.
- Perform iterative quality assurance testing during development cycles and user testing that includes users with disabilities. Remediation should be complete before implementation.

SOURCE: Quality Assurance Team.

LEGISLATION INVOLVING PROJECTS

The Eighty-seventh Legislature, Regular Session, 2021, passed key legislation related to cybersecurity, data management, and legacy modernization efforts that may affect major information resources projects monitored by QAT. Agencies should consider the following requirements that may be applicable to their IT projects:

- Senate Bill 475 added the Texas Government Code, Section 2054.0593, which stipulates that each agency contracting for cloud computing services must require the vendor to comply with the newly implemented Texas Risk and Authorization Management Program's (TX-RAMP) requirements. Agencies leveraging cloud services in the implementation of a product should ensure thorough vetting for regulatory requirements, including certification and compliance with TX-RAMP;

- Senate Bill 475 added the Texas Government Code, Section 2054.138, which requires each agency, during solicitation development, to include a provision in the contract requiring the vendor to meet the security controls the agency determines are proportionate with the agency's risk in accordance with the contract based on the sensitivity of the agency's data. The vendor periodically must provide to the agency evidence that the vendor meets the security controls required in accordance with the contract;

- Senate Bill 475 added the Texas Government Code, Section 2054.161, which requires an agency, on initiation of an information resources technology project, to include an application development project and any information resources projects described in Chapter 2054, Subchapter G, to classify the data produced from or used in the project and determine appropriate data security and applicable retention requirements pursuant to the Texas Government Code, Section 441.185, for each classification.;

- House Bill 3130 adds the phrase native mobile application to the Texas Government Code, Section 2054.113, which requires state agencies to notify DIR before contracting with a third party to build an application that duplicates functions provided by the state site Texas.gov; and

- House Bill 3130, Eighty-seventh Legislature, Regular Session, 2021, adds the phrase "native mobile application" to the Texas Government Code, Section 2054.113, which requires state agencies to notify DIR before contracting with a third party to build a native mobile application that duplicates functions provided by Texas.gov.

CONCLUSION

Agencies retain ultimate responsibility for project management and success. QAT seeks to increase transparency and provide guidance to agencies that are executing major information resources projects. To meet this goal, QAT provides recommendations to enhance an agency's ability to satisfy commitments made to state leadership. Although many factors contribute to a successful project, one key factor that increases the risk of failure for major state technology projects is the project size.

Circumstances may require agencies to terminate a contract before the project is completed. The earlier the agency decides to cancel a contract, the sooner resources can be assigned to complete the project, which increases the probability of its success.

Other factors connected with project success are those that provide adequate time for procurement activities, align scope with approved budgets, and defer new requirements until a later phase or until a new project can be initiated. QAT will continue to collaborate with agencies and state leadership to execute effective project oversight projects.

APPENDIX A

MAJOR INFORMATION RESOURCES PROJECTS REPORTED TO THE QUALITY ASSURANCE TEAM
ORDERED ALPHABETICALLY BY AGENCY

(Data are self-reported by the agencies. Original budgets do not include operational costs after implementation.) Expenditures to date are actual expenditures and do not include agency obligation costs. Individual performance metrics (Budget, Schedule, Scope, and Quality) color coding is defined on page 8 of this report. The larger circles next to the agency name may not correspond with the smaller circles for individual performance metrics.

Overall project classifications include colored circles identified for projects that are reported as at least 30.0 percent complete as of November 2022. No overall project classification is included for projects less than 30.0 percent complete.

🔴 Indicates the project currently exceeds the original estimated cost AND original estimated duration by more than 10.0 percent.
🟡 Indicates the project currently exceeds the original estimated cost OR original estimated duration by more than 10.0 percent.
🟢 Indicates the project currently is within 10.0 percent of the original estimated cost AND original estimated duration.

AGENCY	PROJECT	(IN MILLIONS)			PERCENTAGE COMPLETE	ORIGINAL ESTIMATED DATES	CURRENT ESTIMATED DATES
		ORIGINAL BUDGET	CURRENT BUDGET	EXPENDITURES TO DATE			
Comptroller of Public Accounts 🟢 Budget Performance – 🟢 Schedule Performance – 🟢 Scope Performance – 🟢 Quality Performance – 🟢	Centralized Accounting Payroll and Personnel System (CAPPS) HR /Payroll - Agency Deployment FY21	$8.8	$8.8	$7.3	100.0%	09/20 to 09/21	09/20 to 09/21
Comptroller of Public Accounts 🟢 Budget Performance – 🟢 Schedule Performance – 🟢 Scope Performance – 🟢 Quality Performance – 🟢	Centralized Accounting Payroll and Personnel System (CAPPS) Financials – Agency Deployment FY21	$8.4	$8.4	$6.2	100.0%	09/20 to 10/21	09/20 to 10/21
Comptroller of Public Accounts 🟢 Budget Performance – 🟢 Schedule Performance – 🟢 Scope Performance – 🟢 Quality Performance – 🟢	Centralized Accounting Payroll and Personnel System (CAPPS) HR/Payroll – Agency Deployment FY22	$9.2	$9.2	$6.7	100.0%	09/21 to 09/22	09/21 to 09/22
Comptroller of Public Accounts 🟢 Budget Performance – 🟢 Schedule Performance – 🟢 Scope Performance – 🟢 Quality Performance – 🟢	Centralized Accounting Payroll and Personnel System (CAPPS) Financials – Agency Deployment FY22	$8.2	$8.2	$7.3	98.0%	09/21 to 10/22	09/21 to 10/22
Department of State Health Services 🟢 Budget Performance – 🟢 Schedule Performance – 🟢 Scope Performance – 🟢 Quality Performance – 🟢	COVID-19 IPRM and Integrated File MMS	$2.8	$2.8	$2.4	100.0%	07/21 to 04/22	07/21 to 04/22

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Department of State Health Services 🔴 Budget Performance – 🔴 Schedule Performance – 🔴 Scope Performance – 🟢 Quality Performance – 🟢	COVID-19 Data Validation and Correction (1)	$10.5	$17.4	$16.1	100.0%	01/21 to 08/21	01/21 to 08/22
Department of State Health Services Budget Performance – 🟢 Schedule Performance – 🟢 Scope Performance – 🟢 Quality Performance – 🟢	COVID-19 Case Management and Investigation System	$21.5	$21.5	$0.3	26.0%	10/21 to 07/23	10/21 to 07/23
Department of State Health Services (DSHS) 🟡 Budget Performance – 🟢 Schedule Performance – 🟢 Scope Performance – 🟢 Quality Performance – 🟢	DSHS Website/Website Content Management System (WCMS) Upgrade	$6.5	$10.2	$6.5	79.0%	08/20 to 12/22	08/20 to 12/22
Department of State Health Services 🔴 Budget Performance – 🟢 Schedule Performance – 🔴 Scope Performance – 🔴 Quality Performance – 🟢	Electronic Ordering and Reporting (EOR) (1)	$3.9	$6.3	$0.5	50.0%	09/20 to 08/22	09/20 to 07/24
Department of State Health Services Budget Performance – 🟢 Schedule Performance – 🔴 Scope Performance – 🟢 Quality Performance – 🟢	Emergency Medical Services and Trauma Registry System Enhancements	$6.4	$6.4	$0.0	13.0%	06/22 to 08/23	06/22 to 08/23

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Department of State Health Services 🟡 Budget Performance – 🟢 Schedule Performance – 🟢 Scope Performance – 🟢 Quality Performance – 🔴	HIV2000, Real-time Education and Counseling Network, AIDS Regional Information Evaluation System Implementation	$14.6	$15.5	$11.5	100.0%	09/17 to 02/20	06/18 to 03/22
Department of State Health Services 🟡 Budget Performance – 🟢 Schedule Performance – 🟢 Scope Performance – 🟢 Quality Performance – 🟢	Infectious Disease Data Integration	$14.4	$21.1	$18.4	100.0%	09/20 to 08/23	09/20 to 08/22
Department of State Health Services Budget Performance – 🟢 Schedule Performance – 🟢 Scope Performance – 🟢 Quality Performance – 🟢	ImmTrac2 Modernization	$14.4	$14.4	$0.05	21.0%	04/22 to 06/24	04/22 to 06/24
Department of State Health Services 🟡 Budget Performance – 🟢 Schedule Performance – 🟢 Scope Performance – 🟢 Quality Performance – 🟢	NEDSS Interoperability and Functionality Improvements (NIFI)	$21.0	$21.7	$8.8	48.0%	09/21 to 07/23	09/21 to 07/23
Department of State Health Services 🟢 Budget Performance – 🟢 Schedule Performance – 🟢 Scope Performance – 🟢 Quality Performance – 🟢	STD/TB/HIV/AIDS/ Reporting and Response System (STHARRS)	$12.5	$12.5	$0.6	42.0%	10/21 to 12/23	10/21 to 12/23

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Department of State Health Services 🟡 Budget Performance – 🟢 Schedule Performance – 🔴 Scope Performance – 🟢 Quality Performance – 🟢	Texas Healthcare Safety Network Replacement	$8.5	$6.9	$2.6	48.0%	09/20 to 08/22	09/20 to 07/23
Department of State Health Services 🟡 Budget Performance – 🟢 Schedule Performance – 🟡 Scope Performance – 🟢 Quality Performance – 🟢	Upgrade Laboratory Information Management System (LIMS)	$6.8	$5.5	$2.1	68.0%	09/19 to 08/21	09/19 to 08/23
Department of State Health Services 🔴 Budget Performance – 🟢 Schedule Performance – 🟢 Scope Performance – 🔴 Quality Performance – 🟢	Vaccine Allocation and Ordering System (1)	$6.4	$22.3	$11.5	83.0%	06/20 to 08/21	06/20 to 08/23
Department of State Health Services 🟢 Budget Performance – 🟢 Schedule Performance – 🟢 Scope Performance – 🟢 Quality Performance – 🟢	Vaccine Client Encounters System	$7.8	$8.9	$7.7	100.0%	01/21 to 03/22	01/21 to 12/21
Health and Human Services Commission 🟡 Budget Performance – 🟢 Schedule Performance – 🔴 Scope Performance – 🟢 Quality Performance – 🟢	1915(c) Waivers Migration to the Texas Medicaid Healthcare Partnership (TMHP) Long-term Care Online Portal (LTCOP)	$13.0	$12.3	$8.2	100.0%	10/19 to 08/21	10/19 to 07/22

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Health and Human Services Commission 🟢 Budget Performance – 🟢 Schedule Performance – 🔴 Scope Performance – 🟢 Quality Performance – 🟢	Application Remediation for Data Center Consolidation FY22-23	$1.0	$1.0	$0.4	50.0%	09/21 to 02/23	09/21 to 02/23
Health and Human Services Commission 🟢 Budget Performance – 🟢 Schedule Performance – 🟡 Scope Performance – 🟢 Quality Performance – 🟢	CAPPS Financials Consolidated Application Control Environment (CACE) Remediation for Hub Agencies	$5.9	$5.9	$1.9	42.0%	09/21 to 02/23	09/21 to 08/23
Health and Human Services Commission Budget Performance – 🟢 Schedule Performance – 🔴 Scope Performance – 🟢 Quality Performance – 🟢	CAPPS Human Capital Management (HCM) Consolidated Application Control Environment (CACE) Compliance	$8.3	$8.3	$2.1	23.0%	09/21 to 02/23	09/21 to 08/23
Health and Human Services Commission 🟢 Budget Performance – 🟢 Schedule Performance – 🟢 Scope Performance – 🟢 Quality Performance – 🟢	Enterprise Data Governance	$50.7	$50.7	$38.9	100.0%	09/11 to 01/22	08/15 to 03/22
Health and Human Services Commission Budget Performance – 🟢 Schedule Performance – 🟢 Scope Performance – 🟢 Quality Performance – 🟢	Enterprise Data Governance (EDG) – Enterprise Information Management (EIM)	$6.5	$6.5	$0.0	0.0%	04/22 to 08/23	04/22 to 08/23

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Health and Human Services Commission Budget Performance – 🟢 Schedule Performance – 🔴 Scope Performance – 🟢 Quality Performance – 🟢	Enterprise Identity and Access Management Solution (IAM)	$35.3	$35.6	$7.9	23.0%	08/21 to 07/23	08/21 to 07/23
Health and Human Services 🟢 Commission Budget Performance – 🟢 Schedule Performance – 🟢 Scope Performance – 🟢 Quality Performance – 🟢	EVV Home Health Care Services Expansion	$5.0	$5.2	$0.0	44.0%	09/21 to 01/23	09/21 to 09/23
Health and Human Services 🔴 Commission Budget Performance – 🟢 Schedule Performance – 🟡 Scope Performance – 🟢 Quality Performance – 🟢	Foster Care Litigation and Community Living Assistance and Support Services (CLASS) Stabilization	$5.3	$18.4	$3.7	51.0%	08/20 to 09/22	10/20 to 10/23
Health and Human Services 🟡 Commission Budget Performance – 🟢 Schedule Performance – 🟢 Scope Performance – 🟢 Quality Performance – 🟢	Health Insurance Portability and Accountability Act Compliance (formerly OCR CAP)	$23.4	$11.2	$9.2	100.0%	09/18 to 09/21	09/18 to 08/22
Health and Human Services 🟢 Commission Budget Performance – 🟢 Schedule Performance – 🟢 Scope Performance – 🟢 Quality Performance – 🟢	Medicaid Fraud and Abuse Detection System (MFADS) – Migration and Modernization	$5.0	$5.3	$4.9	100.0%	09/19 to 08/21	09/19 to 08/21

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Health and Human Services 🟢 Commission Budget Performance – 🟢 Schedule Performance – 🟢 Scope Performance – 🟢 Quality Performance – 🟢	Medicaid Fraud and Abuse Detection System Enhancement Project	$5.0	$5.0	$1.4	67.0%	09/21 to 08/23	09/21 to 08/23
Health and Human Services 🟢 Commission Budget Performance – 🟢 Schedule Performance – 🟢 Scope Performance – 🟢 Quality Performance – 🟢	Migration of Medicaid Management Information System Applications from Riata to Data Center Services	$15.3	$15.3	$4.2	100.0%	08/20 to 08/21	08/20 to 10/21
Health and Human Services 🟢 Commission Budget Performance – 🟢 Schedule Performance – 🟢 Scope Performance – 🟢 Quality Performance – 🟢	Migrate Vision21 Off Non-Stop Kernel (Highly Faulty Servers)	$10.1	$10.1	$8.3	100.0%	08/20 to 02/22	08/20 to 02/22
Health and Human Services 🟡 Commission Budget Performance – 🟢 Schedule Performance – 🟡 Scope Performance – 🟢 Quality Performance – 🟢	MMIS-Medicaid Advanced Analytics Transformation (MAAT)	$7.3	$6.0	$1.1	37.0%	12/21 to 03/23	12/21 to 06/23
Health and Human Services 🟢 Commission Budget Performance – 🟢 Schedule Performance – 🟢 Scope Performance – 🟢 Quality Performance – 🟢	Performance Management and Analytics System (PMAS) Assessment, Acquisitions Planning, and Pilot Support	$19.3	$19.3	$9.5	100.0%	09/19 to 08/21	09/19 to 08/21

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Health and Human Services Commission 🟢 Budget Performance – 🟢 Schedule Performance – 🟢 Scope Performance – 🟢 Quality Performance – 🟢	Performance Management and Analytics System (PMAS) FY 22-23	$8.9	$8.9	$2.7	45.0%	09/21 to 08/23	09/21 to 08/23
Health and Human Services Commission 🔴 Budget Performance – 🟢 Schedule Performance – 🟢 Scope Performance – 🟢 Quality Performance – 🔴	Provider Management and Enrollment System (PMES)	$20.5	$26.5	$18.0	96.0%	12/18 to 07/20	12/18 to 10/22
Health and Human Services Commission 🟡 Budget Performance – 🟢 Schedule Performance – 🟢 Scope Performance – 🟢 Quality Performance – 🟢	Public Health Data Sharing (PHDS)	$12.3	$19.4	$6.5	58.0%	05/21 to 08/23	05/21 to 08/23
Health and Human Services Commission 🔴 Budget Performance – 🟡 Schedule Performance – 🟡 Scope Performance – 🟢 Quality Performance – 🟢	Regulatory Services Systems Modernization (RSSM) Phase IV - Protecting People in Regulated Facilities (PPRF)	$4.7	$6.9	$5.5	69.0%	09/18 to 08/21	09/18 to 04/23
Health and Human Services Commission Budget Performance – 🟢 Schedule Performance – 🟢 Scope Performance – 🟢 Quality Performance – 🟢	Search Texas Child Care and CLASS Functionality Updates	$10.6	$10.6	$0.0	0.0%	08/22 to 02/24	08/22 to 02/24

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Health and Human Services 🟢 Commission Budget Performance – 🟢 Schedule Performance – 🟢 Scope Performance – 🟢 Quality Performance – 🟢	Stabilize eDiscovery	$7.7	$7.7	$0.1	45.0%	09/21 to 08/23	09/21 to 08/23
Health and Human Services 🟡 Commission Budget Performance – 🟢 Schedule Performance – 🟢 Scope Performance – 🟡 Quality Performance – 🟢	State Health Analytics and Reporting Platform (SHARP)	$10.7	$10.7	$2.7	76.0%	05/21 to 08/22	05/21 to 11/22
Health and Human Services 🟢 Commission Budget Performance – 🟢 Schedule Performance – 🟢 Scope Performance – 🟢 Quality Performance – 🟢	System Changes to IDD Carve-In-Long-Term Care Systems Enhancements	$15.5	$15.5	$2.9	38.0%	01/22 to 07/23	01/22 to 07/23
Health and Human Services 🟢 Commission Budget Performance – 🟢 Schedule Performance – 🟢 Scope Performance – 🟢 Quality Performance – 🟢	System Changes to IDD Carve-In-STAR+PLUS Pilot Program	$21.7	$21.7	$0.04	42.0%	01/22 to 08/23	01/22 to 08/23
Health and Human Services 🟡 Commission Budget Performance – 🟢 Schedule Performance – 🟢 Scope Performance – 🟢 Quality Performance – 🟢	Vendor Drug Program (VDP) Pharmacy Benefit Services (PBS) Modernization	$37.3	$36.2	$4.3	79.0%	09/19 to 08/22	09/19 to 09/23

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Health and Human Services Commission 🟢 Budget Performance – 🟢 Schedule Performance – 🔴 Scope Performance – 🟢 Quality Performance – 🟢	WebSphere and Application Security Modernization	$5.5	$5.5	$0.6	41.0%	09/21 to 08/23	09/21 to 06/23
Health and Human Services Commission 🟡 Budget Performance – 🟢 Schedule Performance – 🔴 Scope Performance – 🟢 Quality Performance – 🟢	Women, Infants and Children (WIC) MOSAIC	$43.0	$35.3	$30.4	90.0%	09/19 to 09/21	02/20 to 12/22
Health and Human Services Commission Budget Performance – 🟢 Schedule Performance – 🔴 Scope Performance – 🟢 Quality Performance – 🟢	WIC MOSAIC Enhancements Phase 3	$20.0	$19.3	$0.03	21.0%	09/21 to 08/23	01/22 to 03/24
Office of Attorney General 🟢 Budget Performance – 🟢 Schedule Performance – 🟢 Scope Performance – 🟢 Quality Performance – 🟢	IT System Modernization Phase II	$26.5	$25.9	$24.0	30.0%	09/21 to 08/23	09/21 to 08/23
Office of Court Administration 🟡 Budget Performance – 🟢 Schedule Performance – 🟢 Scope Performance – 🟢 Quality Performance – 🟢	eFile Texas 2.0	$23.7	$2.2	$1.5	73.0%	09/19 to 09/21	09/19 to 10/23

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Office of Court Administration 🟡 (OCA) Budget Performance – 🟢 Schedule Performance – 🟢 Scope Performance – 🟢 Quality Performance – 🟢	OCA Uniform Case Management System	$41.0	$41.0	$7.4	75.0%	11/20 to 07/22	11/20 to 01/23
Secretary of State Budget Performance – 🟢 Schedule Performance – 🟢 Scope Performance – 🟢 Quality Performance – 🟢	Modernization and Upgrade of Legacy Enterprise Technology (BEST)	$18.2	$18.2	$0.0	0.0%	09/22 to 08/25	09/22 to 08/25
Texas Department of Criminal Justice Budget Performance – 🟢 Schedule Performance – 🔴 Scope Performance – 🟢 Quality Performance – 🟢	Corrections Information Technology System	$45.5	$29.2	$5.9	27.0%	09/21 to 08/23	12/21 to 08/23
Texas Department of Transportation 🔴 Budget Performance – 🔴 Schedule Performance – 🟢 Scope Performance – 🟢 Quality Performance – 🟡	Modernize Portfolio and Project Management (MPPM II)	$125.4	$218.5	$167.1	84.0%	08/16 to 08/19	08/16 to 02/23
Texas Railroad Commission 🟡 Budget Performance – 🟢 Schedule Performance – 🟢 Scope Performance – 🟢 Quality Performance – 🟢	Mainframe Transformation Phase I (2)	$42.3	$42.3	$16.7	100.0%	09/19 to 08/21	09/19 to 02/22

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| AGENCY | PROJECT | (IN MILLIONS) | | EXPENDITURES TO DATE | PERCENTAGE COMPLETE | ORIGINAL ESTIMATED DATES | CURRENT ESTIMATED DATES |
		ORIGINAL BUDGET	CURRENT BUDGET				
Texas Railroad Commission 🟡 Budget Performance – 🟢 Schedule Performance – 🔴 Scope Performance – 🟢 Quality Performance – 🟢	Mainframe Transformation Phase II (2)	$42.4	$42.4	$8.5	47.0%	09/21 to 08/23	09/21 to 08/23
Texas Workforce Commission 🟢 Budget Performance – 🟢 Schedule Performance – 🟡 Scope Performance – 🟢 Quality Performance – 🟢	Child Care Case Management	$15.4	$15.6	$0.02	40.0%	09/21 to 09/23	09/21 to 09/23
Texas Workforce Commission 🟡 Budget Performance – 🟢 Schedule Performance – 🟡 Scope Performance – 🟢 Quality Performance – 🟢	Unemployment Insurance (UI) System Replacement	$66.5	$76.1	$19.2	56.0%	09/19 to 01/24	09/19 to 03/24
Texas Workforce Commission 🟢 Budget Performance – 🟢 Schedule Performance – 🟢 Scope Performance – 🟢 Quality Performance – 🟢	Vocational Rehabilitation Replacement (VRR)	$25.0	$15.6	$1.6	48.0%	09/21 to 12/24	09/21 to 08/23
Texas Workforce Commission 🟢 Budget Performance – 🟢 Schedule Performance – 🔴 Scope Performance – 🟢 Quality Performance – 🟢	Workforce Case Management (WFCM)	$24.7	$13.8	$3.5	50.0%	09/21 to 12/24	09/21 to 08/23

NOTES:
(1)   Project scope and duration was increased Department of State Health Services activities related to the COVID-19 pandemic.
(2)   Railroad Commission of Texas project costs represent all phases.
SOURCE: Quality Assurance Team information from agency monitoring reports. Original costs and schedules are derived from agency business case submissions at the time of project approval.

CONTACT

An electronic version of this report is available at qat.dir.texas.gov/pubs.htm. If you have any questions, please contact Bobby Pounds of the Comptroller of Public Accounts at (512) 463-4941, John Hoffman of Texas Department of Information Resources at (512) 936- 2501, Richard Corbell of the Legislative Budget Board at (512) 463-1200, or Michael Clayton of the State Auditor's Office at (512) 936-9500.