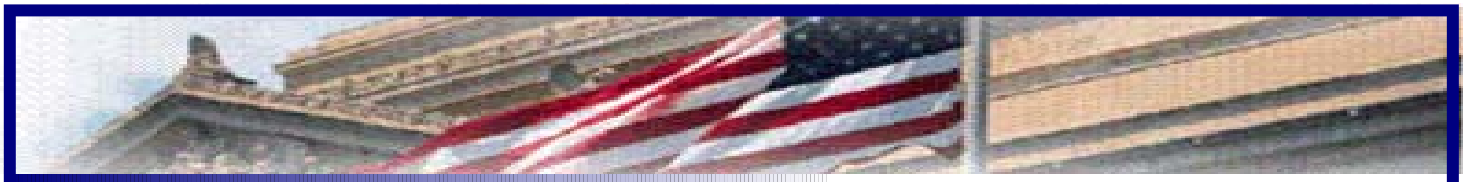

MANAGEMENT CONSULTING

FOR

STATE AND LOCAL GOVERNMENTS

QUALITY ASSURANCE (QA)

PROJECT OVERSIGHT

INDEPENDENT VERIFICATION AND VALIDATION (IV&V)

PROJECT MANAGEMENT

RISK REDUCTION

TECHNOLOGY ALIGNMENT

Quality Assurance Assessment

for the

State of Washington

Administrative Office of the Courts (AOC)

SC-CMS Project

July 31, 2012

Prepared by

Bluecrane, Inc.

bluecrane ®

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Part 1: Overview of July 2012 *bluecrane* QA Assessment

Executive Summary

This report provides the June 2012 quality assurance (QA) assessment by Bluecrane, Inc. ("*bluecrane*") for the State of Washington Administrative Office of the Courts (AOC) Superior Court – Case Management System (SC-CMS) Project.

Our report is organized by assessments in the project areas of:

- Project Management and Sponsorship
- People
- Application
- Data
- Infrastructure

Project Management and Sponsorship

Since publishing our first QA assessment in April of this year, we have raised concerns about the lack of plans documenting approaches that the SC-CMS Project team will utilize. From the beginning, we've stated our belief that the development of such plans has tangible benefits for the execution of the project and the delivery of expected benefits. First, the process of developing an approach (e.g., for SC-CMS project governance) and articulating the specifics of the approach in a plan leads the team to grapple with and resolve critical issues, and bring clarity to vital areas of project management. Without such plans, many areas of project management remain vague, imprecisely defined, and not very well-understood.

The new format for our QA reports (see Part 3 of this report) provides assessment results for each area assessed in the three aspects of planning, execution, and delivery of expected results. In performing our assessments, we first look to see if the project is doing an acceptable level of planning. Assuming adequate planning has been done, then the next question if whether or not the project is performing ("executing") tasks in alignment with the plans the project has established. (Without adequate planning, there's no way to measure such alignment.) The third aspect, delivery of expected results, is the objective of all of the planning and execution. A project with excellent planning and solid execution that does not deliver the expected results is not a successful project at all.

Given that effective planning is the right starting point and that SC-CMS is still in its early phases of activity, we have focused on planning. We are pleased to report that as of the end of July, the project team had made significant progress in a number of plans, including:

- **Communications Management Plan** – The project team developed and published a Communications Management Plan.

- **Draft Governance Management Plan** – QA reviewed the draft and provided comments. No serious deficiencies were identified.

- **Change Management Plan (including Scope Management)** – The team plans to document the process for managing scope in the Change Management Plan. The Change Management Plan is under development. QA reviewed a draft of the Plan in July and provided comments. No serious deficiencies were identified.

- **Schedule Management Plan** –The Schedule Management Plan is under development, and QA will review and comment when a draft is ready for our review.

- **Staffing Management Plan** – The Staffing Management Plan has been published, but it contains information that would be more easily managed in separate documents. Revisions to the Staffing Management Plan are currently underway. QA reviewed the Deliverable Expectation Document (DED) for the Plan and provided no comments. No serious deficiencies were identified.

- **Draft Risk Management Plan** – QA reviewed the draft and provided comments. No serious deficiencies were identified.

- **Draft Issue Management Plan** – QA reviewed the draft and provided comments. No serious deficiencies were identified.

- **Quality Management Plan** – The Quality Management Plan is under development, and QA will review and comment when a draft is ready for our review.

At the end of July, we identified continuing risks with:

- **Schedule Risks** – Although the schedule encompasses a majority of the project work, some activities are not identified in the schedule, some activities have zero (“0”) duration and some activities have long durations (greater than 100 days in some cases). These activities should be defined in greater detail.

- **Cost Management Plan** – Development of the Cost Management Plan is planned to begin in August.

People

At the end of July, there were two outstanding risks related to the vendor procurement.

First, a risk was identified by the project team that the evaluators may have insufficient training if the Evaluation Guidelines document is not completed and approved in the necessary timeframe. The project team is addressing the completion of the Evaluation Guidelines document with the procurement assistance vendor.

Second, there is a risk due to the fact that alternates for the proposal evaluators have not been identified for the job functions identified as Tier 1 judges, court administrators, and local technical staff. The project has elected to accept this risk.

Application

Risks identified in prior reports associated with system architecture planning and the INH project have been retired and the rationale for each change is documented in the detailed report in Part 3.

There is a risk, albeit one that is being addressed, with the Requirements Management Plan. QA reviewed the draft Plan in July and provided comments. Several deficiencies were identified including lack of consistency in describing the requirements management process, lack of integration with the Change Management Plan, and lack of integration with the Governance Management Plan. The Requirements Management Plan remains under development.

Data

QA assessments in this area have not begun yet.

Infrastructure

QA assessments in this area have not begun yet.

bluecrane QA Dashboard "Snapshot"

Project Area	Summary *bluecrane* QA Assessment				
	Urgency	May 2012	June 2012	July 2012	Observations/Risks
		Project Management and Sponsorship			
Governance	Serious Consideration	Risk	Risk	Risk Being Addressed	**Observation/Risk:** The project's governance structure and approach lack clarity and specificity.
Scope	Serious Consideration	Risk	Risk	Risk Being Addressed	**Observation/Risk:** The project's scope management approach and processes lack clarity and specificity.
Schedule	Serious Consideration	Risk	Risk	Risk	**Observation/Risk 1:** The project's approach to schedule management has not been developed or published. **Observation/Risk 2:** The SC-CMS project schedule has been developed and is being maintained. Although the schedule encompasses a majority of the project work, some activities are not identified in the schedule, some activities have zero ("0") duration and some activities have long durations - greater than 100 days in some cases.
Budget	Serious Consideration	Risk	Risk	Risk	**Observation/Risk:** The project's approach to managing budget and cost has not been developed or published.
Communication	N/A	Risk	Risk	No Risk Identified	**Observation:** The project has developed and published a Communications Management Plan.
Staffing and Project Facilities	Serious Consideration	Risk	Risk	Risk Being Addressed	**Observation/Risk:** Although the Staffing Management Plan has been published, it contains information that would be more easily managed in separate documents.

Project Area	Summary *bluecrane* QA Assessment				
	Urgency	May 2012	June 2012	July 2012	Observations/Risks
		Project Management and Sponsorship			
Change Management	Serious Consideration	Risk	Risk	Risk Being Addressed	**Observation/Risk:** The project's approach to change management has not been developed or published. (Note: this item refers to management of changes to the project, not organizational change management. Project changes may include modifications to scope, schedule, budget, requirements, resources, and other items.)
Risk Management	Serious Consideration	Risk	Risk	Risk Being Addressed	**Observation/Risk 1:** The project's approach to risk management has not been developed or published. **Observation/Risk 2:** Risks are not being adequately identified and tracked by the project.
Issue Management	Serious Consideration	Risk	Risk	Risk Being Addressed	**Observation/Risk 1:** The project's approach to issue management has not been developed or published. **Observation/Risk 2:** Issues are not being adequately identified and tracked by the project.
Quality Management	Serious Consideration	Risk	Risk	Risk Being Addressed	**Observation/Risk:** The project's approach to managing deliverable quality has not been developed or published.
		People			
Stakeholder Engagement	N/A	Risk	Risk Being Addressed	No Risk Identified	
Business Processes / System Functionality	N/A	Not Assessed	Not Assessed	Not Assessed	

Project Area	Summary *bluecrane* QA Assessment				
	Urgency	May 2012	June 2012	July 2012	Observations/Risks
		People			
Vendor Procurement	Serious Consideration	Risk Being Addressed	Risk Being Addressed	Risk	**Observation/Risk 1:** A risk has been identified by the project team that the evaluators may have insufficient training if the Evaluation Guidelines document is not completed and approved in the necessary timeframe. **Observation/Risk 2:** Alternates for the proposal evaluators have not been identified for the job functions identified as Tier 1 Judges, Court Administrators, and Local Technical Staff. Currently there are two evaluators assigned to each of these three job functions. If one of the two evaluators for a job function drops from the evaluation due to illness, injury, or other personal reasons, all of their previous scoring will not be considered in the evaluation.
Contract Management / Deliverables Management	Serious Consideration	Risk	Risk	Risk Being Addressed	**Observation/Risk:** The project's approach to contract management has not been developed or published.
Training and Training Facilities	N/A	Not Started	Not Started	Not Started	
Local Court Preparation	N/A	Not Started	Not Started	Not Started	
User Support	N/A	Not Started	Not Started	Not Started	

Project Area	Summary *bluecrane* QA Assessment				
	Urgency	May 2012	June 2012	July 2012	Observations/Risks
	Application				
Application Architecture	N/A	Risk	Risk	No Risk Identified	
Requirements Management	Serious Consideration	Risk	Risk	Risk Being Addressed	**Observation/Risk:** The Requirements Management Plan under development lacks consistency, and lacks integration with the Change and Governance Management Plans.
Application Interfaces	N/A	Risk	Risk Being Addressed	No Risk Identified	
Application Infrastructure	N/A	Not Started	Not Started	Not Started	
Implementation	N/A	Not Started	Not Started	Not Started	
Reporting	N/A	Not Started	Not Started	Not Started	
Testing	N/A	Not Started	Not Started	Not Started	
Tools	N/A	Not Started	Not Started	Not Started	

Project Area	Summary *bluecrane* QA Assessment				
	Urgency	May 2012	June 2012	July 2012	Observations/Risks
		Data			
Data Preparation	N/A	Not Started	Not Started	Not Started	
Data Conversion	N/A	Not Started	Not Started	Not Started	
Data Security	N/A	Not Started	Not Started	Not Started	
		Infrastructure			
Headquarters Infrastructure	N/A	Not Started	Not Started	Not Started	
Regional Infrastructure	N/A	Not Started	Not Started	Not Started	
Partner Infrastructure	N/A	Not Started	Not Started	Not Started	
Technical Help Desk	N/A	Not Started	Not Started	Not Started	

Part 2: Review of *bluecrane* Approach

We began our Quality Assurance engagement for the AOC SC-CMS Project by developing an understanding of the project at a macro level. We started by analyzing the following five "Project Areas":

- ***Project Management and Sponsorship***
- ***People***
- ***Application***
- ***Data***
- ***Infrastructure***

It is not our practice to duplicate Project Management activities by following and analyzing each task and each deliverable that our clients are tracking in their project management software (such as Microsoft Project). Rather, we identify those groups of tasks and deliverables that are key "signposts" in the project. While there are numerous tasks that may slip a few days or even weeks, get rescheduled, and not have a major impact on the project, there are always a number of significant "task groups" and deliverables which should be tracked over time because any risk to those items – in terms of schedule, scope, or cost – have a potentially significant impact on project success.

We de-compose the five Project Areas listed above into the next lower level of our assessment taxonomy. We refer to this next lower level as the "area of assessment" level. The list of areas of assessment grows over the life of the project. The following list is provided as an example of typical areas of assessment:

- ***Project Management and Sponsorship***
    - Governance
    - Scope
    - Schedule
    - Budget
    - Communication
    - Staffing and Project Facilities
    - Change Management
    - Risk Management
    - Issue Management
    - Quality Management
- ***People***
    - Stakeholder Engagement

  - Business Processes/System Functionality
  - Vendor Procurement
  - Contract Management/Deliverables Management
  - Training and Training Facilities
  - Local Court Preparation
  - User Support
- ***Application***
  - Application Architecture
  - Requirements Management
  - Implementation
  - Application Interfaces
  - Application Infrastructure
  - Reporting
  - Testing
  - Tools
- ***Data***
  - Data Preparation
  - Data Conversion
  - Data Security
- ***Infrastructure***
  - Headquarters Infrastructure
  - Regional Infrastructure
  - Partner Infrastructure
  - Technical Help Desk

For each area of assessment within a Project Area, we document in our QA Dashboard our observations, any issues and/or risks that we have assessed, and our recommendations. For each area of assessment, we classify our observations, identified risks, and identified issues into one of the following five groups:

- **Planning** – is the project doing an acceptable level of planning?
- **Executing** – assuming adequate planning has been done, is the project performing tasks in alignment with the plans the project has established?
- **Results** – are the expected results being realized? (A project that does a good job of planning and executing those plans, but does not realize the results expected by stakeholders, is a less than successful project. Ultimately, r*esults are what the project is all about!*)

Assessed status is rated at a macro-level using the scale shown in the table below.

Assessed Status	Meaning
Extreme Risk	**Extreme Risk:** a risk that project management must address or the entire project is at risk of failure; these risks are "show-stoppers"
Risk	**Risk:** a risk that is significant enough to merit management attention but not one that is deemed a "show-stopper"
Risk Being Addressed	**Risk Being Addressed:** a risk item in this category is one that was formerly red or yellow, but in our opinion, is now being addressed adequately and should be reviewed at the next assessment with an expectation that this item becomes green at that time
No Identified Risk	**No Risk:** "All Systems Go" for this item
Not Started	**Not Started:** this particular item has not started yet or is not yet assessed
Completed or Not Applicable	**Completed/Not Applicable:** this particular item has been completed or has been deemed "not applicable" but remains a part of the assessment for traceability purposes

We recognize that simultaneously addressing all risk areas identified at any given time is a daunting task – and not advisable. Therefore, we prioritize risk items in our monthly reports as:

1. Very Urgent Consideration
2. Urgent Consideration
3. Serious Consideration

Given the current phase of the SC-CMS Project, these priorities translate to:

1. Very Urgent Consideration – Potential Impact to the SC-CMS Vendor Procurement
2. Urgent Consideration – Potential Impact to Project's Readiness for Implementation
3. Serious Consideration – Potential Impact to the Successful Management of the Project

Rating risks at the macro-level using the assessed status and urgency scales described above provides a method for creating a snapshot that project personnel and executive management can review quickly, getting an immediate sense of project risks. The macro-level ratings are further refined by describing in detail what the risk/issue is and what remedial actions are being taken/should be taken to address the risk/issue. The result is a framework for AOC SC-CMS management to evaluate project risks – in terms of business objectives and traditional project management tasks.

We summarize the *bluecrane* QA Dashboard in Part 1 of our monthly report for review with client executives and project management. Part 3 of our monthly report provides the detailed QA Dashboard with all of the elements described above.

Part 3: *bluecrane* Detailed Assessment Report for July 2012

bluecrane Quality Assurance Dashboard for the Washington AOC SC-CMS Project	
Project Area Summary	
Project Area	Highest Level of Assessed Risk
Project Management and Sponsorship	Risk
People	Risk
Application	Risk Being Addressed
Data	Not Assessed
Infrastructure	Not Assessed

Project Management and Sponsorship	Governance	Serious Consideration

Summary *bluecrane* QA Assessment

May 2012	June 2012	July 2012	Observations/Risks ---------- Assessment/Recommendation(s)/Status
Risk	Risk	Risk Being Addressed	**Observation/Risk:** The project's governance structure and approach lack clarity and specificity.
			Impact: Lack of an effective governance process may hamper the project's ability to make timely decisions and may cause decisions to be revisited if appropriate stakeholders are not involved. **Recommendation:** The project team should develop and execute a Governance Management Plan. The objective here is to develop an effective governance process, not to create a "shelfware" document. However, the process of developing the approach for project governance and articulating the specifics of the approach in a plan will lead the team to grapple with and resolve critical issues, and bring clarity to a vital area that is currently imprecisely defined and understood. **Status:** The project team began developing a Governance Management Plan in July 2012. QA reviewed the draft Governance Management Plan in July 2012 and provided comments. No serious deficiencies were identified. The plan should be completed and the processes documented in the plan should begin to be executed.

Detailed *bluecrane* QA Assessment

Project Planning				Project Execution				Achievement of Expected Results			
May 2012	June 2012	July 2012	Assessment	May 2012	June 2012	July 2012	Assessment	May 2012	June 2012	July 2012	Assessment
Risk	Risk	Risk Being Addressed	**Observation/Risk:** The project's governance structure and approach lack clarity and specificity.	Not Assessed	Not Assessed	Not Assessed		Not Assessed	Not Assessed	No Risk Identified	
			Impact: Lack of an effective governance process may hamper the project's ability to make timely decisions and may cause decisions to be revisited if appropriate stakeholders are not involved. **Recommendation:** The project team should develop and execute a Governance Management Plan. **Status:** The project team began developing the Governance Management Plan in July 2012. QA reviewed the draft Governance Management Plan in July 2012 and provided comments. No serious deficiencies were identified. The plan should be completed and the processes documented in the plan should begin to be executed.				QA will perform an assessment of the execution of the Governance Management plan after it has been put into execution.				The SC-CMS RFP Steering Committee has provided the project team with guidance during the COTS vendor procurement phase of the project.

Project Management and Sponsorship	Scope	Serious Consideration

Summary *bluecrane* QA Assessment

May 2012	June 2012	July 2012	Observations/Risks ---------- Assessment/Recommendation(s)/Status
Risk	Risk	Risk Being Addressed	**Observation/Risk:** The project's scope management approach and processes lack clarity and specificity.
			Impact: Lack of a scope management process may allow the scope of the project to increase beyond the capacity of the project to deliver anticipated results in the required timeframe and may lead to exceeding the project's budget. **Recommendation:** Develop and execute a Scope Management Process. Document the process. **Status:** The team plans to document the process for managing scope in the Change Management Plan. The Change Management Plan is under development.

Detailed *bluecrane* QA Assessment

Project Planning				Project Execution				Achievement of Expected Results			
May 2012	June 2012	July 2012		May 2012	June 2012	July 2012	Assessment	May 2012	June 2012	July 2012	Assessment
Risk	Risk	Risk Being Addressed	**Observation/Risk:** The project's scope management approach and processes lack clarity and specificity.	Not Assessed	Not Assessed	Not Assessed		Not Assessed	Not Assessed	No Risk Identified	
			Impact: Lack of a scope management process may allow the scope of the project to increase beyond the capacity of the project to deliver anticipated results in the required timeframe and may lead to exceeding the project's budget. **Recommendation:** Develop and execute a Scope Management Process. Document the process.				QA will perform an assessment of the execution of the Change Management plan after it has been put into execution.				The project scope is currently defined by the business and technical requirements identified in the RFP. The system requirements and the associated scope will be further refined by the SC-CMS COTS vendor when they validate the RFP requirements.

Project Management and Sponsorship	Schedule	Serious Consideration

Summary *bluecrane* QA Assessment

May 2012	June 2012	July 2012	Observations/Risks ---------- Assessment/Recommendation(s)/Status
Risk	Risk	Risk	**Observation/Risk 1:** The project's approach to schedule management has not been developed or published. **Observation/Risk 2:** The SC-CMS project schedule has been developed and is being maintained. Although the schedule encompasses a majority of the project work, some activities are not identified in the schedule, some activities have zero ("0") duration and some activities have long durations - greater than 100 days in some cases.
			Impact of Observation/Risk 1: Lack of an effective schedule management process may lead to delays caused by ineffective dependency control, missed work, or overallocated resources. Schedule management can provide visibility of impacts to the schedule based on various scenarios. **Recommendation for Observation/Risk 1:** Develop an approach to schedule management and document the approach in a Schedule Management Plan. Begin to execute the Plan. **Status of Activities Related to Observation/Risk 1:** The Schedule Management Plan is under development. **Recommendation for Observation/Risk 2:** These activies should be defined in greater detail.

Detailed *bluecrane* QA Assessment

Project Planning				Project Execution				Achievement of Expected Results			
May 2012	June 2012	July 2012		May 2012	June 2012	July 2012	Assessment	May 2012	June 2012	July 2012	Assessment
Risk	Risk	Risk Being Addressed	**Observation/Risk:** The project's approach to schedule management has not been developed or published.	Not Assessed	Not Assessed	Risk	**Observation/Risk:** Although the schedule encompasses a majority of the project work, some activities are not identified in the schedule, some activities have zero ("0") duration and some activities have long durations - greater than 100 days in some cases.	Not Assessed	Not Assessed	No Risk Identified	
			Impact: Lack of an effective schedule management process may lead to delays caused by ineffective dependency control, missed work, or overallocated resources. Schedule management can provide visibility of impacts to the schedule based on various scenarios. **Recommendation:** Develop an approach to schedule management and document the approach in a Schedule Management Plan. Begin to execute the Plan. **Status:** The Schedule Management Plan is under development.				**Recommendation:** These activities should be defined in greater detail. (This is an example of on-going refinement of planning during execution.) **Note:** QA will perform an assessment of the execution of the Schedule Management Plan after it has been approved and published.				The project is utilizing a schedule to organize, assign, and track project work. Although the project schedule does not encompass all of the project work in sufficient detail, it appears that project activities are on track.

Project Management and Sponsorship	Budget	Serious Consideration

Summary *bluecrane* QA Assessment

May 2012	June 2012	July 2012	Observations/Risks ---------- Assessment/Recommendation(s)/Status
Risk	Risk	Risk	**Observation/Risk:** The project's approach to managing budget and cost has not been developed or published.
			Impact: Lack of an effective budgeting and cost management processes may hamper the project's ability to track, report, and control costs. **Recommendation:** Develop and execute a Cost Management Plan. The objective here is to develop effective budgeting and cost management processes, not to create a "shelfware" document. However, the process of developing the needed approaches and articulating the specifics of the approaches in a plan will lead the team to grapple with and resolve critical issues, and bring clarity to a vital area that is currently imprecisely defined and understood. **Status:** Development of the Cost Management Plan will begin in August 2012.

Detailed *bluecrane* QA Assessment

Project Planning				Project Execution				Achievement of Expected Results			
May 2012	June 2012	July 2012	Assessment	May 2012	June 2012	July 2012	Assessment	May 2012	June 2012	July 2012	Assessment
Risk	Risk	Risk	**Observation/Risk:** The project's approach to managing budget and cost has not been developed or published.	Not Assessed	Not Assessed	Not Assessed		Not Assessed	Not Assessed	No Risk Identified	
			Impact: Lack of an effective budgeting and cost management processes may hamper the project's ability to track, report, and control costs. **Recommendation:** Develop and execute a Cost Management Plan. The objective here is to develop effective budgeting and cost management processes, not to create a "shelfware" document. However, the process of developing the needed approaches and articulating the specifics of the approaches in a plan will lead the team to grapple with and resolve critical issues, and bring clarity to a vital area that is currently imprecisely defined and understood. **Status:** Development of the Cost Management Plan will begin in August 2012.				QA will perform an assessment of the execution of the Cost Management plan after it has been put into execution.				The SC-CMS project budget has been developed and is being maintained.

Project Management and Sponsorship	Communication	Urgency - Not Applicable

Summary *bluecrane* QA Assessment

May 2012	June 2012	July 2012	Observations/Risks ---------- Assessment/Recommendation(s)/Status
Risk	Risk	No Risk Identified	**Observation:** The project has developed and published a Communications Management Plan.
			Status: The Communications Management Plan contains an approach for both internal and external communications activities. Internal communication activities include project status reports, performance reports, and project team meetings. External communications are used to inform stakeholders and end-users in particular, of project activities that will affect them. Project status is communicated primarily orally in various project meetings. A project status report is developed bi-weekly but published only to the project library.

Detailed *bluecrane* QA Assessment

Project Planning				Project Execution				Achievement of Expected Results			
May 2012	June 2012	July 2012	Assessment	May 2012	June 2012	July 2012	Assessment	May 2012	June 2012	July 2012	Assessment
Risk	Risk	No Risk Identified		Not Assessed	Not Assessed	Not Assessed		Not Assessed	Not Assessed	Not Assessed	
			The project has developed and published a Communications Management Plan. The Communications Management Plan contains an approach for both internal and external communications activities. Internal communication activities include project status reports, performance reports, and project team meetings. External communications are used to inform stakeholders and end-users in particular, of project activities that will affect them.				Project status is communicated primarily orally in various project meetings. A project status report is developed bi-weekly but published only to the project library. QA will perform an assessment of the execution of the Communication Plan in August 2012.				QA will perform an assessment of the results of project communication activities in August 2012.

Project Management and Sponsorship	Staffing and Project Facilities	Serious Consideration

Summary *bluecrane* QA Assessment

May 2012	June 2012	July 2012	Observations/Risks ---------- Assessment/Recommendation(s)/Status
Project Management and Sponsorship			
Risk	Risk	Risk Being Addressed	**Observation/Risk:** The project's governance structure and approach lack clarity and specificity.
			Impact: Lack of an effective governance process may hamper the project's ability to make timely decisions and may cause decisions to be revisited if appropriate stakeholders are not involved. **Recommendation:** The project team should develop and execute a Governance Management Plan. The objective here is to develop an effective governance process, not to create a "shelfware" document. However, the process of developing the approach for project governance and articulating the specifics of the approach in a plan will lead the team to grapple with and resolve critical issues, and bring clarity to a vital area that is currently imprecisely defined and understood. **Status:** The project team began developing a Governance Management Plan in July 2012. QA reviewed the draft Governance Management Plan in July 2012 and provided comments. No serious deficiencies were identified. The plan should be completed and the processes documented in the plan should begin to be executed.

Detailed *bluecrane* QA Assessment

Project Planning				Project Execution				Achievement of Expected Results			
May 2012	June 2012	July 2012		May 2012	June 2012	July 2012	Assessment	May 2012	June 2012	July 2012	Assessment
Risk	Risk	Risk Being Addressed	**Observation/Risk:** The project's governance structure and approach lack clarity and specificity.	Not Assessed	Not Assessed	Not Assessed		Not Assessed	Not Assessed	No Risk Identified	
			Impact: Lack of an effective governance process may hamper the project's ability to make timely decisions and may cause decisions to be revisited if appropriate stakeholders are not involved. **Recommendation:** The project team should develop and execute a Governance Management Plan. **Status:** The project team began developing the Governance Management Plan in July 2012. QA reviewed the draft Governance Management Plan in July 2012 and provided comments. No serious deficiencies were identified. The plan should be completed and the processes documented in the plan should begin to be executed.				QA will perform an assessment of the execution of the Governance Management plan after it has been put into execution.				The SC-CMS RFP Steering Committee has provided the project team with guidance during the COTS vendor procurement phase of the project.

Project Management and Sponsorship	Change Management	Serious Consideration

Summary *bluecrane* QA Assessment

May 2012	June 2012	July 2012	Observations/Risks ---------- Assessment/Recommendation(s)/Status
Risk	Risk	Risk Being Addressed	**Observation/Risk:** The project's approach to change management has not been developed or published. (Note: this item refers to management of changes to the project, not organizational change management. Project changes may include modifications to scope, schedule, budget, requirements, resources, and other items.)
			Impact: Lack of an effective change management process may lead to schedule delays, cost overruns, and mismatched expectations. **Recommendation:** Develop an effective approach to project change management and articulate the management processes in a Change Management Plan. Begin to execute the Plan. **Status:** The Change Management Plan is under development. QA reviewed the draft Change Management Plan in July 2012 and provided comments. No serious deficiencies were identified.

Detailed *bluecrane* QA Assessment

Project Planning				Project Execution				Achievement of Expected Results			
May 2012	June 2012	July 2012	Assessment	May 2012	June 2012	July 2012	Assessment	May 2012	June 2012	July 2012	Assessment
Risk	Risk	Risk Being Addressed	**Observation/Risk:** The project's approach to change management has not been developed or published.	Not Assessed	Not Assessed	Not Assessed		Not Assessed	Not Assessed	No Risk Identified	
			Impact: Lack of an effective change management process may lead to schedule delays, cost overruns, and mismatched expectations. **Recommendation:** Develop an effective approach to project change management and articulate the management processes in a Change Management Plan. Begin to execute the Plan. **Status:** The Change Management Plan is under development.				QA will perform an assessment of the execution of the Change Management Plan after it has been put into execution.				There have been few changes to scope and schedule thus far in the project. Thus, lack of a change management process has not had a detrimental effect on project progress to-date. However, it is anticipated that more frequent changes to scope, schedule, budget, requirements, resources, and other aspects of the project will occur as the project progresses.

Project Management and Sponsorship	Risk Management	Serious Consideration

Summary *bluecrane* QA Assessment

May 2012	June 2012	July 2012	Observations/Risks ---------- Assessment/Recommendation(s)/Status
Risk	Risk	Risk Being Addressed	**Observation/Risk 1:** The project's approach to risk management has not been developed or published. **Observation/Risk 2:** Risks are not being adequately identified and tracked by the project.
			Impact of Observation/Risk 1: Lack of an effective risk management process may lead to schedule delays, cost overruns, and mismatched expectations. **Recommendation for Observation/Risk 1:** Develop an approach to risk management and document the approach in a Risk Management Plan. Begin to execute the Plan. **Status of Activities Related to Observation/Risk 1:** The Risk Management Plan is under development. QA reviewed the draft Risk Management Plan in July 2012 and provided comments. No serious deficiencies were identified. **Recommendation for Observation/Risk 2:** The project team should begin continuous risk identification and response activities immediately. Approval of the Risk Management Plan that is currently in draft form should facilitate immediate execution of risk management processes.

Detailed *bluecrane* QA Assessment

Project Planning				Project Execution				Achievement of Expected Results			
May 2012	June 2012	July 2012		May 2012	June 2012	July 2012	Assessment	May 2012	June 2012	July 2012	Assessment
Risk	Risk	Risk Being Addressed	**Observation/Risk:** The project's approach to risk management has not been developed or published.	Not Assessed	Not Assessed	Not Assessed	**Observation/Risk:** Risks are not being adequately identified and tracked by the project.	Not Assessed	Not Assessed	No Risk Identified	
			Impact: Lack of an effective risk management process may lead to schedule delays, cost overruns, and mismatched expectations. **Recommendation:** Develop an approach to risk management and document the approach in a Risk Management Plan. Begin to execute the Plan. **Status:** The Risk Management Plan is under development. QA reviewed the draft Risk Management Plan in July 2012 and provided comments. No serious deficiencies were identified.				QA will perform an assessment of the execution of the Risk Management Plan after it has been put into execution. The expectation is that the project team will begin regular, on-going risk identification and response activities.				Several risks are currently being tracked but expectations for risk outcomes have not been set with stakeholders.

Project Management and Sponsorship	Issue Management	Serious Consideration

Summary *bluecrane* QA Assessment

May 2012	June 2012	July 2012	Observations/Risks ---------- Assessment/Recommendation(s)/Status
Risk	Risk	Risk Being Addressed	**Observation/Risk 1:** The project's approach to issue management has not been developed or published. **Observation/Risk 2:** Issues are not being adequately identified and tracked by the project.
			Impact of Observation/Risk 1: Lack of an effective issue management process may lead to schedule delays, due to lack of decision-making or rework due to ineffective decision-making. **Recommendation for Observation/Risk 1:** Develop an approach to issue management and document the approach in a Issue Management Plan. Begin to execute the Plan. **Status of Activities Related to Observation/Risk 1:** The Issue Management Plan is under development. QA reviewed the draft Issue Management Plan in July 2012 and provided comments. No serious deficiencies were identified. **Recommendation for Observation/Risk 2:** The project team should begin to identify and track issues consistent with the Issue Management Plan as soon as the Plan is approved.

Detailed *bluecrane* QA Assessment

Project Planning				Project Execution				Achievement of Expected Results			
May 2012	June 2012	July 2012	Assessment	May 2012	June 2012	July 2012	Assessment	May 2012	June 2012	July 2012	Assessment
Risk	Risk	Risk Being Addressed	**Observation:** The project's approach to issue management has not been developed or published.	Not Assessed	Not Assessed	Not Assessed	**Observation:** Issues are not being adequately identified and tracked by the project.	Not Assessed	Not Assessed	Not Assessed	
			Impact: Lack of an effective issue management process may lead to schedule delays, due to lack of decision-making or rework due to ineffective decision-making. **Recommendation:** Develop an approach to issue management and document the approach in a Issue Management Plan. Begin to execute the Plan. **Status:** The Issue Management Plan is under development. QA reviewed the draft Issue Management Plan in July 2012 and provided comments. No serious deficiencies were identified.				QA will perform an assessment of the execution of the Issue Management plan after it has been put into execution. It is clear at this juncture that issues are not being identified and tracked in an effective, systematic, and documented approach. However, the project team is addressing issues as they arise, at least in an ad hoc fashion, and continuing to make progress. Subsequent to the approval of the draft Issue Management Plan, we anticipate an effective implementation and execution of the issue management processes.				Several issues have recently been identified by the project. There is insufficient information due to the newness of the issues to determine if the issues are being effectively managed.

Project Management and Sponsorship	Quality Management	Serious Consideration

Summary *bluecrane* QA Assessment

May 2012	June 2012	July 2012	Observations/Risks ---------- Assessment/Recommendation(s)/Status
Risk	Risk	Risk Being Addressed	**Observation/Risk:** The project's approach to managing deliverable quality has not been developed or published.
			Impact: Lack of an effective quality management process may result in unacceptable deliverables or deliverables that do not meet expectations. **Recommendation:** Develop an approach to quality management for project deliverables. Document the approach in a Quality Management Plan and begin to execute the Plan. **Status:** The Quality Management Plan is under development.

Detailed *bluecrane* QA Assessment

Project Planning				Project Execution				Achievement of Expected Results			
May 2012	June 2012	July 2012	Assessment	May 2012	June 2012	July 2012	Assessment	May 2012	June 2012	July 2012	Assessment
Risk	Risk	Risk Being Addressed	**Observation/Risk:** The project's approach to managing deliverable quality has not been developed or published.	Not Assessed	Not Assessed	Not Assessed		Not Assessed	Not Assessed	Not Assessed	
			Impact: Lack of an effective quality management process may result in unacceptable deliverables or deliverables that do not meet expectations. **Recommendation:** Develop an approach to quality management for project deliverables. Document the approach in a Quality Management Plan and begin to execute the Plan. **Status:** The Quality Management Plan is under development.				QA will perform an assessment of the execution of the Quality Management Plan after execution of the Plan begins.				Quality metrics are not being tracked by the project at this time. Therefore, there is insufficient information to perform an assessment of project quality.

People	Stakeholder Engagement	Urgency - Not Applicable

Summary *bluecrane* QA Assessment

May 2012	June 2012	July 2012	Observations/Risks ---------- Assessment/Recommendation(s)/Status
Risk	Risk Being Addressed	No Risk Identified	
			Status: Stakeholder engagement activities are underway including development of a Stakeholder Engagement Plan, internal newsletter, talking points, and PowerPoint presentations for AOC executives. Based on direction from the co-Project Sponsors, the Organization Change Management (OCM) Plan will be revised to include additional description of detailed OCM activities.

Detailed *bluecrane* QA Assessment

Project Planning				Project Execution				Achievement of Expected Results			
May 2012	June 2012	July 2012		May 2012	June 2012	July 2012	Assessment	May 2012	June 2012	July 2012	Assessment
Risk	Risk Being Addressed	No Risk Identified		Risk	Risk Being Addressed	No Risk Identified					
			Based on direction from the co-Project Sponsors, the Organization Change Management (OCM) Plan will be revised to include additional description of detailed OCM activities.				Stakeholder engagement activities are underway including development of a Stakeholder Engagement Plan, internal newsletter, talking points, and PowerPoint presentations for AOC executives.				The project has been engaging stakeholders through the RFP Steering Committee and information exchanges at meetings of the Clerks, Judges, and Administrators Associations.

People	Business Processes / System Functionality	Urgency - Not Applicable

Summary *bluecrane* QA Assessment

May 2012	June 2012	July 2012	Observations/Risks ---------- Assessment/Recommendation(s)/Status
Not Assessed	Not Assessed	Not Assessed	
			Status: The Court Business Office (CBO) is planning to perform analysis and validation of the business processes. The business processes will be presented to the Court User Work Group (CUWG) for approval in parallel with the analysis and validation activities. This work is planned to begin at the end of August 2012 and is planned to be completed in January 2013. QA will conduct an assessment of the planning for vendor readiness during August 2012.

Detailed *bluecrane* QA Assessment

Project Planning				Project Execution				Achievement of Expected Results			
May 2012	June 2012	July 2012	Assessment	May 2012	June 2012	July 2012	Assessment	May 2012	June 2012	July 2012	Assessment
Not Assessed	Not Assessed	Not Assessed		Not Assessed	Not Assessed	Not Assessed		Not Assessed	Not Assessed	Not Assessed	
			The CBO is planning to perform analysis and validation of the business processes. The business processes will be presented to the Court User Work Group for approval in parallel with the analysis and validation activities. This work is planned to begin at the end of August 2012 and is planned to be completed in January 2013.				There has been insufficient activity to assess progress with respect to the execution of business process and system functionality activities.				There has been insufficient activity to assess progress with respect to the execution of business process and system functionality activities.

People	Vendor Procurement	Serious Consideration

Summary *bluecrane* QA Assessment

May 2012	June 2012	July 2012	Observations/Risks ---------- Assessment/Recommendation(s)/Status
Risk Being Addressed	Risk Being Addressed	Risk	**Observation/Risk 1:** A risk has been identified by the project team that the evaluators may have insufficient training if the Evaluation Guidelines document is not completed and approved in the necessary timeframe. **Observation/Risk 2:** Alternates for the proposal evaluators have not been identified for the job functions identified as Tier 1 Judges, Court Administrators, and Local Technical Staff. Currently there are two evaluators assigned to each of these three job functions. If one of the two evaluators for a job function drops from the evaluation due to illness, injury, or other personal reasons, all of their previous scoring will not be considered in the evaluation.
			Status of Observation/Risk 1: The project team is addressing the completion of the Evaluation Guidelines document with the procurement assistance vendor. **Impact of Observation/Risk 2:** The project has a concern that if only one evaluator performs the scoring for the job function, then there will be a lack of balance in the scoring of the vendor proposals which may result in selection of a system that does not meet the needs of some of the courts or may result in lack of buy-in by some courts. In the unlikely event that two of the evaluators in a job function become unavailable, at least one new evaluator would be identified and the scoring of proposals would have to be restarted from the beginning for that job function. **Recommendation for Observation/Risk 2:** QA recognizes the impact to courts of providing evaluators, SMEs, testers, and other participants throughout the SC-CMS project. However, the participation of the courts in the vendor selection process and the subsequent implementation of the system is imperative to the successful implementation of the system. This risk should be communicated to the judge and court administrator organizations to set expectations in the event that only one evaluator is able to perform the evaluation. Additionally, a contingency plan should be developed for the situation in which one or both evaluators are not able to complete the evaluation. **Status of Observation/Risk 2:** ***The project has accepted this risk.***

People	Vendor Procurement (continued)	Serious Consideration

Detailed *bluecrane* QA Assessment

Project Planning				Project Execution				Achievement of Expected Results			
May 2012	June 2012	July 2012	Assessment	May 2012	June 2012	July 2012	Assessment	May 2012	June 2012	July 2012	Assessment
No Risk Identified	No Risk Identified	Risk	**Observation/Risk:** A risk has been identified by the project team that the evaluators may have insufficient training if the Evaluation Guidelines document is not completed and approved in the necessary timeframe.	Risk Being Addressed	Risk Being Addressed	Risk	**Observation/Risk:** Alternates for the proposal evaluators have not been identified for the job functions identified as Tier 1 Judges, Court Administrators, and Local Technical Staff. Currently there are two evaluators assigned to each of these three job functions. If one of the two evaluators for a job function drops from the evaluation due to illness, injury, or other personal reasons, all of their previous scoring will not be considered in the evaluation.	Not Assessed	Not Assessed	No Risk Identified	
			The procurement activities have been planned and documented in the Acquit ion Plan. The Acquisition Plan was published in June 2012.				**Impact:** The project has a concern that if only one evaluator performs the scoring for the job function, then there will be a lack of balance in the scoring of the vendor proposals which may result in selection of a system that does not meet the needs of some of the courts or may result in lack of buy-in by some courts. In the unlikely event that two of the evaluators in a job function become unavailable, at least one new evaluator would be identified and the scoring of proposals would have to be restarted from the beginning for that job function. **Recommendation:** QA recognizes the impact to courts of providing evaluators, SMEs, testers, and other participants throughout the SC-CMS project. However, the participation of the courts in the vendor selection process and the subsequent implementation of the system is imperative to the successful implementation of the system. This risk should be communicated to the judge and court administrator organizations to set expectations in the event that only one evaluator is able to perform the evaluation. Additionally, a contingency plan should be developed for the situation in which one or both evaluators are not able to complete the evaluation.				The procurement process has resulted in the development and release of the SC-CMS RFP. Proposals are due from the bidders in August 2012.

People	Contract Management / Deliverables Management	Serious Consideration

Summary *bluecrane* QA Assessment

May 2012	June 2012	July 2012	Observations/Risks ---------- Assessment/Recommendation(s)/Status
Risk	Risk	Risk Being Addressed	**Observation/Risk:** The project's approach to contract management has not been developed or published.
			Impact: Lack of an effective contract management process may lead to vendor deliverables that have not been sufficiently reviewed that may result in accepting low quality deliverables or deliverables with missing or incorrect content. **Recommendation:** Develop and execute an approach to contract management and document the approach in a Contract Management Plan. Begin execution of the Plan. **Status:** The Deliverables Management Plan is under development.

Detailed *bluecrane* QA Assessment

Project Planning				Project Execution				Achievement of Expected Results			
May 2012	June 2012	July 2012	Assessment	May 2012	June 2012	July 2012	Assessment	May 2012	June 2012	July 2012	Assessment
Risk	Risk	Risk Being Addressed	**Observation/Risk:** The project's approach to contract management has not been developed or published.	Not Assessed	Not Assessed	Not Assessed		Not Assessed	Not Assessed	Not Assessed	
			Impact: Lack of an effective contract management process may lead to vendor deliverables that have not been sufficiently reviewed that may result in accepting low quality deliverables or deliverables with missing or incorrect content. **Recommendation:** Develop and execute an approach to contract management and document the approach in a Contract Management Plan. Begin execution of the Plan. **Status:** The Deliverables Management Plan is under development.								

People	Various	Urgency - Not Applicable

Project Area	Summary *bluecrane* QA Assessment			
	May 2012	June 2012	July 2012	Observations/Risks ---------- Assessment/Recommendation(s)/Status
Training and Training Facilities	Not Started	Not Started	Not Started	
Local Court Preparation	Not Started	Not Started	Not Started	
User Support	Not Started	Not Started	Not Started	

Application	Application Architecture	Urgency - Not Applicable

Summary *bluecrane* QA Assessment

Urgency	May 2012	June 2012	July 2012	Observations/Risks ---------- Assessment/Recommendation(s)/Status
N/A	Risk	Risk	No Risk Identified	
				Status: QA had previously identified a risk due to the lack of a System Architecture Plan. In July 2012, the project decided to postpone development of the Architecture Plan until the apparently successful vendor has been announced because much of the content of the architecture plan is dependent on the architecture of the COTS system selected. QA concurs with this approach and will review the System Architecture Plan when it has been developed following award of the SC-CMS vendor contract.

Detailed *bluecrane* QA Assessment

Project Planning				Project Execution				Achievement of Expected Results			
May 2012	June 2012	July 2012	Assessment	May 2012	June 2012	July 2012	Assessment	May 2012	June 2012	July 2012	Assessment
Risk	Risk	No Risk Identified		Not Started	Not Started	Not Started		No Risk Identified	No Risk Identified	No Risk Identified	
			Status: QA had previously identified a risk due to the lack of a System Architecture Plan. In July 2012, the project decided to postpone development of the Architecture Plan until the apparently successful vendor has been announced because much of the content of the architecture plan is dependent on the architecture of the COTS system selected. QA concurs with this approach and will review the System Architecture Plan when it has been developed following award of the SC-CMS vendor contract.				Technical requirements have been developed and are specified in the COTS vendor RFP.				Technical requirements have been developed and are specified in the COTS vendor RFP.

Application	Requirements Management	Serious Consideration

Summary *bluecrane* QA Assessment

May 2012	June 2012	July 2012	Observations/Risks ---------- Assessment/Recommendation(s)/Status
Risk	**Risk**	**Risk Being Addressed**	**Observation/Risk:** The Requirements Management Plan under development lacks consistency, and lacks integration with the Change and Governance Management Plans.
			Impact: Lack of an effective requirements management process may lead to missing or incorrect functionality in the delivered system due to missing or unclear requirements. There is also a risk of schedule delay if the requirements are not at the appropriate level at each stage in the system implementation. **Recommendation:** Develop and execute an effective, internally-consistent approach to requirements management. Document the approach in the Requirements Management Plan **Status:** The Requirements Management Plan is under development. QA reviewed the draft Requirements Management Plan in July 2012 and provided comments. Several deficiencies were identified including lack of consistency in describing the requirements management process, lack of integration with the Change Management Plan, and lack of integration with the Governance Management Plan.

Application	Requirements Management (continued)	Serious Consideration

Detailed *bluecrane* QA Assessment

Project Planning				Project Execution				Achievement of Expected Results			
May 2012	June 2012	July 2012	Assessment	May 2012	June 2012	July 2012	Assessment	May 2012	June 2012	July 2012	Assessment
Risk	Risk	Risk Being Addressed	**Observation/Risk:** The Requirements Management Plan under development lacks consistency, and lacks integration with the Change and Governance Management Plans.	Not Started	Not Started	Not Started		No Risk Identified	No Risk Identified	No Risk Identified	
			Impact: Lack of an effective requirements management process may lead to missing or incorrect functionality in the delivered system due to missing or unclear requirements. There is also a risk of schedule delay if the requirements are not at the appropriate level at each stage in the system implementation. **Recommendation:** Develop and execute an effective, internally-consistent approach to requirements management. Document the approach in the Requirements Management Plan **Status:** The Requirements Management Plan is under development. QA reviewed the draft Requirements Management Plan in July 2012 and provided comments. Several deficiencies were identified including lack of consistency in describing the requirements management process, lack of integration with the Change Management Plan, and lack of integration with the Governance Management Plan.				Business requirements have been developed and are specified in the COTS vendor RFP.				Business requirements have been developed and are specified in the COTS vendor RFP.

Application	Application Interfaces	Urgency - Not Applicable

Summary *bluecrane* QA Assessment

May 2012	June 2012	July 2012	Observations/Risks ---------- Assessment/Recommendation(s)/Status
Risk	Risk Being Addressed	No Risk Identified	
			Status: A change in approach to the implementation of the Information Networking Hub (INH) has mitigated the risk that required components of the system would not be sufficiently implemented when needed by the SC-CMS Project. Modules being developed to provide an interface between the legacy superior court application, SCOMIS, and the Pierce County court application, LINX, will be used as the interface between INH and SCOMIS. Most of these modules have already been developed and tested. A small number of modules remain under development. QA will continue to assess the progress of the INH application and the likelihood of the application to be implemented in the necessary timeframe to support the SC-CMS project.

Detailed *bluecrane* QA Assessment

Project Planning				Project Execution				Achievement of Expected Results			
May 2012	June 2012	July 2012		May 2012	June 2012	July 2012	Assessment	May 2012	June 2012	July 2012	Assessment
Risk	Risk Being Addressed	No Risk Identified		Not Started	Not Started	Not Started		Not Started	Not Started	No Risk Identified	
			Status: A change in approach to the implementation of the Information Networking Hub (INH) has mitigated the risk that required components of the system would not be sufficiently implemented when needed by the SC-CMS Project. Modules being developed to provide an interface between the legacy superior court application, SCOMIS, and the Pierce County court application, LINX, will be used as the interface between INH and SCOMIS. Most of these modules have already been developed and tested. A small number of modules remain under development. QA will continue to assess the progress of the INH application and the likelihood of the application to be implemented in the necessary timeframe to support the SC-CMS project.				The plan for INH was modified and is currently being executed.				Progress is continuing on the development of the Superior Court Data Exchange (SCDX) and INH modules that will provide the interface between SC-CMS and the other AOC systems.

Application	Various	Urgency - Not Applicable

Project Area	Summary *bluecrane* QA Assessment			
	May 2012	June 2012	July 2012	Observations/Risks ---------- Assessment/Recommendation(s)/Status
Application Infrastructure	Not Started	Not Started	Not Started	
				The project has identified a risk that the court infrastructure may not be sufficient for the SC-CMS implementation. QA will conduct an assessment of the planning for vendor readiness during August 2012.
Implementation	Not Started	Not Started	Not Started	
Reporting	Not Started	Not Started	Not Started	
Testing	Not Started	Not Started	Not Started	
Tools	Not Started	Not Started	Not Started	

Data	Various	Urgency - Not Applicable

Project Area	Summary *bluecrane* QA Assessment			
	May 2012	June 2012	July 2012	Observations/Risks ---------- Assessment/Recommendation(s)/Status
Data Preparation	Not Started	Not Started	Not Started	
				The project has identified a risk that the court data preparation may not be sufficient for the SC-CMS implementation. QA will conduct an assessment of the planning for vendor readiness during August 2012.
Data Conversion	Not Started	Not Started	Not Started	
Data Security	Not Started	Not Started	Not Started	

Infrastructure	Various	Urgency - Not Applicable

Project Area	Summary *bluecrane* QA Assessment			
	May 2012	June 2012	July 2012	Observations/Risks ---------- Assessment/Recommendation(s)/Status
Headquarters Infrastructure	Not Started	Not Started	Not Started	
Regional Infrastructure	Not Started	Not Started	Not Started	
Partner Infrastructure	Not Started	Not Started	Not Started	
Technical Help Desk	Not Started	Not Started	Not Started	