



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**

November 30, 2012

Prepared by
Bluecrane, Inc.



bluecrane ®



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Part 1: Overview of the November 2012 *bluecrane* QA Assessment

Executive Summary

This report provides the November 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

Simultaneously with the delivery of this "regular" monthly QA assessment, we are also providing an update to the *bluecrane* "QA Spotlight Report" that we provided last month. The purpose of this particular QA Spotlight Report is to identify and assess SC-CMS Project activities that should be performed **prior to arrival of the SC-CMS vendor**. Vendor preparation activities ensure that:

- Processes are in place for successful management of the vendor.
- The vendor has the information necessary to begin work on various aspects of the project.
- The project team and subject matter experts (SMEs) are prepared to participate in the vendor requirements validation and design sessions.

A few critical items from the Spotlight report have been incorporated into this monthly report as well.

Project Management and Sponsorship

Project Management Plans

Although the project management plans have not been approved (other than the Schedule Management Plan), the project is executing the processes. While this may not seem terribly important at this point in the project, the discipline of utilizing the project processes (as opposed to "operational" practices or even "ad hoc" practices) will become extremely critical when the



SC-CMS vendor comes on-board. Continuing the discipline of these processes during the remaining pre-vendor activities will be important.

People

Staffing

The staffing risk raised in the October report related to lack of business analysts with deep court business process knowledge has been closed. Business analysts with the requisite knowledge have been added to the project.

Facilities

bluecrane completed its assessment of facilities preparation as a part of the special “QA Spotlight Report” and has noted the lack of adequate office space as “No Identified Risk” given the planned approach to utilize vendor facilities.

Contracts Management/Deliverables Management

The project team has addressed the risk identified in previous QA assessments related to the lack of a documented approach to contract management. Outlines of vendor deliverables are being developed. Planning is underway for contract negotiations.

Application

Requirements Management/Tools

The delay in the utilization of the requirements management tool has been addressed. The tool will be implemented in December.

Data

Data Preparation

The Data Quality Coordinator will coordinate preparation of data in AOC and local court applications. One of the activities to be undertaken is the development of a data profiling report which will identify anomalies in data stored in JIS.



bluecrane QA Dashboard “Snapshot”

Project Area	Summary <i>bluecrane</i> QA Assessment				
	Urgency	September 2012	October 2012	November 2012	Observations/Risks ----- Assessment/Recommendation(s)/Status
Project Management and Sponsorship					
Governance	N/A	Risk Being Addressed	No Risk Identified	No Risk Identified	Observation: The Governance Management Plan and Court User Work Group Charter have been approved by the project sponsors and JISC.
Scope	N/A	No Risk Identified	No Risk Identified	No Risk Identified	Observation: The project is utilizing the change management process to manage changes to scope, schedule and budget consistent with the change management plan.
Schedule	N/A	Risk Being Addressed	No Risk Identified	No Risk Identified	Observation: The project is utilizing a schedule to organize, assign, and track project work. Currently there are no significant tasks behind schedule.
Budget	N/A	Risk Being Addressed	Risk Being Addressed	No Risk Identified	Observation/Risk: The AOC Management Services Division and the project is utilizing an effective approach to management of cost and budget.
Communication	N/A	No Risk Identified	No Risk Identified	No Risk Identified	Observation: The team is utilizing effective communications to manage project activities and to keep stakeholders updated on project status consistent with the Communications Plan .
Staffing and Project Facilities	N/A	Risk	Risk Being Addressed	No Risk Identified	Observation/Risk 1: The risk due to a lack of business analysts with deep court business process knowledge has been addressed. This risk is closed. Observation 2: The project team has addressed the risk raised in previous QA assessments related to the Staffing Management Plan. This risk is closed.
Change Management	N/A	Risk Being Addressed	No Risk Identified	No Risk Identified	Observation: The project is utilizing the change management process to manage changes to scope, schedule and budget consistent with the Change Management Plan.



Project Area	Summary <i>bluecrane</i> QA Assessment				
	Urgency	September 2012	October 2012	November 2012	Observations/Risks ----- Assessment/Recommendation(s)/Status
Project Management and Sponsorship					
Risk Management	N/A	Risk Being Addressed	No Risk Identified	No Risk Identified	Observation: The project is identifying and managing risks consistent with the Risk Management Plan.
Issue Management	N/A	Risk Being Addressed	No Risk Identified	No Risk Identified	Observation: The project team is identifying and tracking issues consistent with the Issue Management Plan.
Quality Management	N/A	Risk Being Addressed	Risk Being Addressed	No Risk Identified	Observation/Risk: The project team has developed a Quality Management Plan.
People					
Stakeholder Engagement	N/A	No Risk Identified	No Risk Identified	No Risk Identified	Observation: Stakeholder engagement and organizational change management activities are underway.
Business Processes / System Functionality	N/A	No Risk Identified	No Risk Identified	No Risk Identified	Observation: The Court Business Office (CBO) is performing 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 underway and is planned to be completed in January 2013.
Vendor Procurement	N/A	No Risk Identified	No Risk Identified	No Risk Identified	Observation: Vendor procurement is underway. No risks have been identified.
Contract Management / Deliverables Management	Serious Consideration	Risk Being Addressed	Risk Being Addressed	Risk Being Addressed	Observation/Risk: The project team has addressed the risk identified in previous QA assessments related to the lack of a documented approach to contract management. Outlines of vendor deliverables are being developed. Planning is underway for contract negotiations.



Project Area	Summary <i>bluecrane</i> QA Assessment				
	Urgency	September 2012	October 2012	November 2012	Observations/Risks ----- Assessment/Recommendation(s)/Status
Application					
Application Architecture	N/A	No Risk Identified	No Risk Identified	No Risk Identified	Observation: The SC-CMS Architecture Plan has been updated to identify information known at this point. The remaining areas will be updated after the vendor has begun execution of the contract.
Requirements Management	Serious Consideration	Risk Being Addressed	Risk Being Addressed	Risk Being Addressed	Observation/Risk: A delay in the utilization of the requirements management tool has been addressed. The tool will be implemented in December.
Application Interfaces	N/A	No Risk Identified	No Risk Identified	No Risk Identified	Observation: The INH and COT- Prep Application are defining and preparing interfaces using the information currently available. Additional activities will be planned and executed when the SC-CMS vendor contract has been awarded and further definition of SC-CMS interface requirements are made available.
Tools	Serious Consideration	Risk Being Addressed	Risk Being Addressed	Risk Being Addressed	Observation/Risk: A delay in the utilization of the requirements management tool has been addressed. The tool will be implemented in December.
Data					
Data Preparation	N/A	Not Started	No Risk Identified	No Risk Identified	Observation: The Data Quality Coordinator will coordinate preparation of data in AOC and local court applications. One of the activities is the development of a data profiling report which will identify anomalies in data stored in JIS.
Infrastructure					
Headquarters Infrastructure	N/A	Not Started	No Risk Identified	No Risk Identified	
Regional Infrastructure	N/A	Not Started	No Risk Identified	No Risk Identified	



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 we assess activities in the following three stages of delivery:

- **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, *results 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 October 2012

<i>bluecrane</i> Quality Assurance Dashboard for the Washington AOC SC-CMS Project	
Project Area Summary	
Project Area	Highest Level of Assessed Risk
Project Management and Sponsorship	No Risk Identified
People	Risk Being Addressed
Application	Risk Being Addressed
Data	No Risk Identified
Infrastructure	No Risk Identified



Project Management and Sponsorship	Governance	Urgency - Not Applicable
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Summary *bluecrane* QA Assessment

September 2012	October 2012	November 2012	Observations/Risks ----- Assessment/Recommendation(s)/Status
Risk Being Addressed	No Risk Identified	No Risk Identified	Observation: The Governance Management Plan and Court User Work Group Charter have been approved by the project sponsors and JISC.

Detailed *bluecrane* QA Assessment

Project Planning				Project Execution				Achievement of Expected Results			
September 2012	October 2012	November 2012	Assessment	September 2012	October 2012	November 2012	Assessment	September 2012	October 2012	November 2012	Assessment
No Risk Identified	No Risk Identified	No Risk Identified	Observation: The Governance Management Plan and Court User Work Group Charter have been approved by the Project Sponsors and JISC.	Not Assessed	Not Assessed	Not Assessed		No Risk Identified	No Risk Identified	No Risk Identified	
							QA will perform an assessment of the execution of the Governance Management plan as it is put into execution.				The SC-CMS Project Steering Committee has provided the project team with guidance during the COTS vendor procurement phase of the project.



Project Management and Sponsorship	Scope	Urgency - Not Applicable
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Summary *bluecrane* QA Assessment

September 2012	October 2012	November 2012	Observations/Risks ----- Assessment/Recommendation(s)/Status
No Risk Identified	No Risk Identified	No Risk Identified	Observation: The project is utilizing the change management process to manage changes to scope, schedule and budget consistent with the change management plan.

Detailed *bluecrane* QA Assessment

Project Planning				Project Execution				Achievement of Expected Results			
September 2012	October 2012	November 2012	Assessment	September 2012	October 2012	November 2012	Assessment	September 2012	October 2012	November 2012	Assessment
No Risk Identified	No Risk Identified	No Risk Identified	Observation: The Change Management Plan has been approved by the Project Sponsors.	Not Assessed	Not Assessed	Not Assessed		No Risk Identified	No Risk Identified	No Risk Identified	
							QA will perform an assessment of the execution of the Change Management plan as it is 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 vendor when during validation of the RFP requirements.



Project Management and Sponsorship	Schedule	Urgency - Not Applicable
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Summary *bluecrane* QA Assessment

September 2012	October 2012	November 2012	Observations/Risks ----- Assessment/Recommendation(s)/Status
Risk Being Addressed	Risk Being Addressed	No Risk Identified	Observation/Risk: The AOC Management Services Division and the project is utilizing an effective approach to management of cost and budget.

Detailed *bluecrane* QA Assessment

Project Planning				Project Execution				Achievement of Expected Results			
September 2012	October 2012	November 2012	Assessment	September 2012	October 2012	November 2012	Assessment	September 2012	October 2012	November 2012	Assessment
Risk Being Addressed	No Risk Identified	No Risk Identified		Risk Being Addressed	No Risk Identified	No Risk Identified		No Risk Identified	No Risk Identified	No Risk Identified	
											The project is utilizing a schedule to organize, assign, and track project work. Currently there are no significant tasks behind schedule.



Project Management and Sponsorship	Budget	Urgency - Not Applicable
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Summary *bluecrane* QA Assessment

September 2012	October 2012	November 2012	Observations/Risks ----- Assessment/Recommendation(s)/Status
Risk Being Addressed	Risk Being Addressed	No Risk Identified	Observation/Risk: The AOC Management Services Division and the project is utilizing an effective approach to management of cost and budget.

Detailed <i>bluecrane</i> QA Assessment											
Project Planning				Project Execution				Achievement of Expected Results			
September 2012	October 2012	November 2012	Assessment	September 2012	October 2012	November 2012	Assessment	September 2012	October 2012	November 2012	Assessment
Risk Being Addressed	Risk Being Addressed	No Risk Identified	Observation/Risk: The AOC Management Services Division and the project is utilizing an effective approach to management of cost and budget.	Not Assessed	Not Assessed	Not Assessed		No Risk Identified	No Risk Identified	No Risk Identified	
			Status: The Cost Management Plan has been presented to the Project Sponsors for review and approval.				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

September 2012	October 2012	November 2012	Observations/Risks ----- Assessment/Recommendation(s)/Status
No Risk Identified	No Risk Identified	No Risk Identified	<p>Observation: The team is utilizing effective communications to manage project activities and to keep stakeholders updated on project status consistent with the Communications Plan .</p>
			<p>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.</p> <p>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.</p>



Project Management and Sponsorship	Communication (continued)	Urgency - Not Applicable
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Detailed bluecrane QA Assessment

Project Planning				Project Execution				Achievement of Expected Results			
September 2012	October 2012	November 2012	Assessment	September 2012	October 2012	November 2012	Assessment	September 2012	October 2012	November 2012	Assessment
No Risk Identified	No Risk Identified	No Risk Identified	Observation: The project has developed and published a Communications Management Plan.	Not Assessed	No Risk Identified	No Risk Identified	Observation: The team is utilizing effective communications to manage project activities and to keep stakeholders updated on project status consistent with the Communications Plan.	Not Assessed	No Risk Identified	No Risk Identified	
			<p>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.</p> <p>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.</p>				<p>Project status is communicated primarily orally in several project meetings including the Project Steering Committee Meeting, the AOC Management Advisory Team Meeting, and the Project Team Meeting. A project status report is developed bi-weekly but published only to the project library.</p>				<p>Communication between project team members, between the SC-CMS project and other areas of AOC, and between the SC-CMS project and external stakeholders provides adequate exchange of information to coordinate and compete project activities on schedule. Communication issues are typically resolved through additional ad-hoc meetings and by documenting additional information.</p>



Project Management and Sponsorship

Staffing and Project Facilities

Urgency - Not Applicable

Summary *bluecrane* QA Assessment

September 2012	October 2012	November 2012	Observations/Risks ----- Assessment/Recommendation(s)/Status
Risk	Risk Being Addressed	No Risk Identified	<p>Observation/Risk 1: The risk due to a lack of business analysts with deep court business process knowledge has been addressed. This risk is closed.</p> <p>Observation 2: The project team has addressed the risk raised in previous QA assessments related to the Staffing Management Plan. This risk is closed.</p>
			<p>Status of Observation 1: The SC-CMS and COTS-Prep projects recently added business analysts with extensive court business process and system experience and knowledge to their projects. In October, the SC-CMS and CBO business analysts completed site visits to courts with the purpose of gaining a more thorough understanding of court processes and the auxiliary systems being used in the courts to augment the existing systems.</p> <p>Status of Observation 2: Project staffing is at appropriate levels. Over the last several months, the project managers and project sponsors re-evaluated the staffing plan and made adjustments based on the needs for system configuration and implementation activities.</p>



Project Management and Sponsorship

Staffing and Project Facilities
(continued)

Urgency - Not Applicable

Detailed *bluecrane* QA Assessment

Project Planning				Project Execution				Achievement of Expected Results			
September 2012	October 2012	November 2012	Assessment	September 2012	October 2012	November 2012	Assessment	September 2012	October 2012	November 2012	Assessment
Risk Being Addressed	Risk Being Addressed	No Risk Identified	Observation/Risk: The project team has addressed the risk raised in previous QA assessments related to the Staffing Management Plan. This risk is closed.	Not Assessed	Not Assessed	Not Assessed		Risk	Risk Being Addressed	No Risk Identified	Observation/Risk: The risk due to a lack of business analysts with deep court business process knowledge has been addressed. This risk is closed
			Status: Project staffing is at appropriate levels. Over the last several months, the project managers and project sponsors re-evaluated the staffing plan and made adjustments based on the needs for system configuration and implementation activities.								Status of Observation 1: The SC-CMS and COTS-Prep projects recently added business analysts with extensive court business process and system experience and knowledge to their projects. In October, the SC-CMS and CBO business analysts completed site visits to courts with the purpose of gaining a more thorough understanding of court processes and the auxiliary systems being used in the courts to augment the existing systems.



Project Management and Sponsorship

Change Management

Urgency – Not Applicable

Summary *bluecrane* QA Assessment

September 2012	October 2012	November 2012	Observations/Risks ----- Assessment/Recommendation(s)/Status
Risk Being Addressed	No Risk Identified	No Risk Identified	Observation: The project is utilizing the change management process to manage changes to scope, schedule and budget consistent with the Change Management Plan.

Detailed *bluecrane* QA Assessment

Project Planning				Project Execution				Achievement of Expected Results			
September 2012	October 2012	November 2012	Assessment	September 2012	October 2012	November 2012	Assessment	September 2012	October 2012	November 2012	Assessment
Risk Being Addressed	No Risk Identified	No Risk Identified	Observation: The Change Management Plan has been approved by the Project Sponsors.	Not Assessed	Not Assessed	Not Assessed	Observation: The project is utilizing the change management process to manage changes to scope, schedule and budget.	No Risk Identified	No Risk Identified	No Risk Identified	



Project Management and Sponsorship

Risk Management

Urgency – Not Applicable

Summary *bluecrane* QA Assessment

September 2012	October 2012	November 2012	Observations/Risks ----- Assessment/Recommendation(s)/Status
Risk Being Addressed	No Risk Identified	No Risk Identified	Observation: The project is identifying and managing risks consistent with the Risk Management Plan.

Detailed *bluecrane* QA Assessment

Project Planning				Project Execution				Achievement of Expected Results			
September 2012	October 2012	November 2012	Assessment	September 2012	October 2012	November 2012	Assessment	September 2012	October 2012	November 2012	Assessment
Risk Being Addressed	No Risk Identified	No Risk Identified	Observation: The Risk Management Plan has been approved by the Project Sponsors.	Risk Being Addressed	No Risk Identified	No Risk Identified	Observation: The Project is identifying and managing risks.	No Risk Identified	No Risk Identified	No Risk Identified	
											Risks are being identified and tracked but expectations for risk outcomes have not been set with stakeholders.



Project Management and Sponsorship

Issue Management

Urgency – Not Applicable

Summary *bluecrane* QA Assessment

September 2012	October 2012	November 2012	Observations/Risks ----- Assessment/Recommendation(s)/Status
Risk Being Addressed	No Risk Identified	No Risk Identified	Observation: The project team is identifying and tracking issues consistent with the Issue Management Plan.

Detailed *bluecrane* QA Assessment

Project Planning				Project Execution				Achievement of Expected Results			
September 2012	October 2012	November 2012	Assessment	September 2012	October 2012	November 2012	Assessment	September 2012	October 2012	November 2012	Assessment
Risk Being Addressed	No Risk Identified	No Risk Identified		Risk Being Addressed	No Risk Identified	No Risk Identified		Not Assessed	No Risk Identified	No Risk Identified	
			Status: The Issue Management Plan was approved by the Project Sponsors in September.				Status: The project team is identifying and tracking issues consistent with the Issue Management Plan.				



Project Management and Sponsorship

Quality Management

Serious Consideration

Summary *bluecrane* QA Assessment

September 2012	October 2012	November 2012	Observations/Risks ----- Assessment/Recommendation(s)/Status
Risk Being Addressed	Risk Being Addressed	No Risk Identified	Observation/Risk: The project team has developed a Quality Management Plan.
			Status: The Quality Management Plan has been presented to the Project Sponsors for review and approval.

Detailed *bluecrane* QA Assessment

Project Planning				Project Execution				Achievement of Expected Results			
September 2012	October 2012	November 2012	Assessment	September 2012	October 2012	November 2012	Assessment	September 2012	October 2012	November 2012	Assessment
Risk Being Addressed	Risk Being Addressed	No Risk Identified	Observation/Risk: The project team has developed a Quality Management Plan.	Not Assessed	Not Assessed	Not Assessed		Not Assessed	Not Assessed	Not Assessed	
			Status: The Quality Management Plan has been presented to the Project Sponsors for review and approval.				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
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Summary *bluecrane* QA Assessment

September 2012	October 2012	November 2012	Observations/Risks ----- Assessment/Recommendation(s)/Status
No Risk Identified	No Risk Identified	No Risk Identified	Observation: Stakeholder engagement and organizational change management activities are underway.

Detailed <i>bluecrane</i> QA Assessment											
Project Planning				Project Execution				Achievement of Expected Results			
September 2012	October 2012	November 2012	Assessment	September 2012	October 2012	November 2012	Assessment	September 2012	October 2012	November 2012	Assessment
No Risk Identified	No Risk Identified	No Risk Identified		No Risk Identified	No Risk Identified	No Risk Identified	Observation: Stakeholder engagement and organizational change management activities are underway.	Not Assessed	Not Assessed	Not Assessed	
											The project has been engaging stakeholders through the Project Steering Committee and information exchanges at meetings of the Clerks, Judges, and Administrators Associations.



People	Business Processes / System Functionality	Urgency - Not Applicable
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Summary *bluecrane* QA Assessment

September 2012	October 2012	November 2012	Observations/Risks ----- Assessment/Recommendation(s)/Status
No Risk Identified	No Risk Identified	No Risk Identified	<p>Observation: The Court Business Office (CBO) is performing 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 underway and is planned to be completed in January 2013.</p>

Detailed <i>bluecrane</i> QA Assessment											
Project Planning				Project Execution				Achievement of Expected Results			
September 2012	October 2012	November 2012	Assessment	September 2012	October 2012	November 2012	Assessment	September 2012	October 2012	November 2012	Assessment
No Risk Identified	No Risk Identified	No Risk Identified	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 and is planned to be completed in January 2013.	Not Assessed	Not Assessed	Not Assessed		Not Assessed	Not Assessed	Not Assessed	



People	Vendor Procurement	Urgency - Not Applicable
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Summary *bluecrane* QA Assessment

September 2012	October 2012	November 2012	Observations/Risks ----- Assessment/Recommendation(s)/Status
No Risk Identified	No Risk Identified	No Risk Identified	Observation: Vendor procurement is underway. No risks have been identified.

Detailed *bluecrane* QA Assessment

Project Planning				Project Execution				Achievement of Expected Results			
September 2012	October 2012	November 2012	Assessment	September 2012	October 2012	November 2012	Assessment	September 2012	October 2012	November 2012	Assessment
No Risk Identified	No Risk Identified	No Risk Identified	Observation: Vendor procurement is underway. No risks have been identified.	Risk	No Risk Identified	No Risk Identified	Observation: Vendor procurement is underway. No risks have been identified.	No Risk Identified	No Risk Identified	No Risk Identified	
											The evaluators have completed scoring of the SC-CMS proposals. Vendor demos were conducted for two vendors in October on schedule.



People	Contract Management / Deliverables Management	Serious Consideration
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Summary *bluecrane* QA Assessment

September 2012	October 2012	November 2012	Observations/Risks ----- Assessment/Recommendation(s)/Status
Risk Being Addressed	Risk Being Addressed	Risk Being Addressed	<p>Observation/Risk: The project team has addressed the risk identified in previous QA assessments related to the lack of a documented approach to contract management. Outlines of vendor deliverables are being developed. Planning is underway for contract negotiations.</p>
			<p>Status: The Deliverables Management Plan is being drafted and is planned for completion in December. A responsibility assignment matrix will be used to identify responsibilities of project team members in reviewing and approving vendor deliverables.</p>

Detailed <i>bluecrane</i> QA Assessment											
Project Planning				Project Execution				Achievement of Expected Results			
September 2012	October 2012	November 2012	Assessment	September 2012	October 2012	November 2012	Assessment	September 2012	October 2012	November 2012	Assessment
Risk Being Addressed	Risk Being Addressed	Risk Being Addressed	<p>Observation/Risk: The project team has addressed the risk identified in previous QA assessments related to the lack of a documented approach to contract management. Outlines of vendor deliverables are being developed. Planning is underway for contract negotiations.</p>	Not Assessed	Not Assessed	Not Assessed		Not Assessed	Not Assessed	Not Assessed	
			<p>Status: The Deliverables Management Plan is being drafted and is planned for completion in December. A responsibility assignment matrix will be used to identify responsibilities of project team members in reviewing and approving vendor deliverables.</p>				<p>QA will perform an assessment of the execution of the Deliverables Management Plan after execution of the Plan begins.</p>				



Application	Application Architecture	Urgency - Not Applicable
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Summary *bluecrane* QA Assessment

September 2012	October 2012	November 2012	Observations/Risks ----- Assessment/Recommendation(s)/Status
No Risk Identified	No Risk Identified	No Risk Identified	Observation: The SC-CMS Architecture Plan has been updated to identify information known at this point. The remaining areas will be updated after the vendor has begun execution of the contract.

Detailed *bluecrane* QA Assessment

Project Planning				Project Execution				Achievement of Expected Results			
September 2012	October 2012	November 2012	Assessment	September 2012	October 2012	November 2012	Assessment	September 2012	October 2012	November 2012	Assessment
No Risk Identified	No Risk Identified	No Risk Identified	Observation: The SC-CMS Architecture Plan has been updated to identify information known at this point. The remaining areas will be updated after the vendor has begun execution of the contract.	Not Started	Not Started	Not Started		Not Started	Not Started	Not Started	
											Technical requirements have been developed and are specified in the SC-CMS vendor RFP.



Application	Requirements Management	Serious Consideration
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Summary *bluecrane* QA Assessment

September 2012	October 2012	November 2012	Observations/Risks ----- Assessment/Recommendation(s)/Status
Risk Being Addressed	Risk Being Addressed	Risk Being Addressed	<p>Observation/Risk: A delay in the utilization of the requirements management tool has been addressed. The tool will be implemented in December.</p>
			<p>Status: A decision was made in October to have the SC-CMS business analyst configure the requirements management tool using the information gathered in a series of prior sessions that defined the enterprise design for managing requirements. This approach leverages the enterprise approach while moving forward with the implementation of the requirements management tool for SC-CMS. The tasks to configure the tool are being closely monitored by the project to ensure that the tool will be ready for use by the CBO in December to document refined requirements.</p>

Detailed *bluecrane* QA Assessment

Project Planning				Project Execution				Achievement of Expected Results			
September 2012	October 2012	November 2012	Assessment	September 2012	October 2012	November 2012	Assessment	September 2012	October 2012	November 2012	Assessment
Risk	Risk Being Addressed	Risk Being Addressed	<p>Observation/Risk: A delay in the utilization of the requirements management tool is being addressed by AOC management.</p>	Not Started	No Risk Identified	No Risk Identified		Not Started	Not Started	Not Started	
			<p>Status: A decision was made in October to have the SC-CMS business analyst configure the requirements management tool using the information gathered in a series of prior sessions that defined the enterprise design for managing requirements. This approach leverages the enterprise approach while moving forward with the implementation of the requirements management tool for SC-CMS. The tasks to configure the tool are being closely monitored by the project to ensure that the tool will be ready for use by the CBO in December to document refined requirements.</p>				<p>Business requirements have been developed and are specified in the COTS vendor RFP. The CBO and Court User Work Group will review business requirements and business processes beginning in December.</p>				



Application	Application Interfaces	Urgency - Not Applicable
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Summary *bluecrane* QA Assessment

September 2012	October 2012	November 2012	Observations/Risks ----- Assessment/Recommendation(s)/Status
No Risk Identified	No Risk Identified	No Risk Identified	<p>Observation: The INH and COT- Prep Application are defining and preparing interfaces using the information currently available. Additional activities will be planned and executed when the SC-CMS vendor contract has been awarded and further definition of SC-CMS interface requirements are made available.</p>

Project Planning				Project Execution				Achievement of Expected Results			
September 2012	October 2012	November 2012	Assessment	September 2012	October 2012	November 2012	Assessment	September 2012	October 2012	November 2012	Assessment
No Risk Identified	No Risk Identified	No Risk Identified		No Risk Identified	No Risk Identified	No Risk Identified	<p>Observation: The INH and COT- Prep Application are defining and preparing interfaces using the information currently available. Additional activities will be planned and executed when the SC-CMS vendor contract has been awarded and further definition of SC-CMS interface requirements are made available.</p>	No Risk Identified	No Risk Identified	No Risk Identified	



Application	Tools	Serious Consideration
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Summary *bluecrane* QA Assessment

September 2012	October 2012	November 2012	<div style="text-align: center;">Observations/Risks</div> <hr style="border-top: 1px dashed white;"/> <div style="text-align: center;">Assessment/Recommendation(s)/Status</div>
Risk	Risk Being Addressed	Risk Being Addressed	<p>Observation/Risk: A delay in the utilization of the requirements management tool has been addressed. The tool will be implemented in December.</p> <p>Status: A decision was made in October to have the SC-CMS business analyst configure the requirements management tool using the information gathered in a series of prior sessions that defined the enterprise design for managing requirements. This approach leverages the enterprise approach while moving forward with the implementation of the requirements management tool for SC-CMS. The tasks to configure the tool are being closely monitored by the project to ensure that the tool will be ready for use by the CBO in December to document refined requirements.</p>



Data and Infrastructure	Various	Urgency - Not Applicable
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Project Area	Summary <i>bluecrane</i> QA Assessment			
	September 2012	October 2012	November 2012	Observations/Risks ----- Assessment/Recommendation(s)/Status
	Data			
Data Preparation	Not Started	No Risk Identified	No Risk Identified	<p>Observation: The Data Quality Coordinator will coordinate preparation of data in AOC and local court applications. One of the activities is the development of a data profiling report which will identify anomalies in data stored in JIS.</p>
Infrastructure				
Headquarters Infrastructure	Not Started	No Risk Identified	No Risk Identified	
Regional Infrastructure	Not Started	No Risk Identified	No Risk Identified	



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
Spotlight
Report**

for the
State of Washington
**Administrative
Office of the
Courts (AOC)**

**SC-CMS
Project
Vendor
Preparation
Activities**

November 30, 2012

Prepared by
Bluecrane, Inc.



bluecrane [®]



AOC SC-CMS Activities to Prepare for SC-CMS Vendor Arrival
Assessment Date: November 30, 2012

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1. EXECUTIVE SUMMARY

1.1 Introduction

This “QA Spotlight Report” is an update to the *bluecrane* “QA Spotlight Report” that we provided at the end of October. The purpose of this QA Spotlight Report is to identify and assess SC-CMS Project activities that should be performed **prior to arrival of the SC-CMS vendor**.

Vendor preparation activities ensure that:

- Processes are in place for successful management of the vendor.
- The vendor has the information necessary to begin work on various aspects of the project.
- The project team and subject matter experts (SMEs) are prepared to participate in the vendor requirements validation and design sessions.

1.2 Assessment Results

The key observations and conclusions of this report are:

- The staffing risk raised in the October report related to lack of business analysts with deep court business process knowledge has been closed and changed from “Risk Being Addressed” to “No Identified Risk”. Business analysts with the requisite knowledge have been added to the project. (The risk noted in October was associated with the area of “AOC interfaces to internal applications”.)
- *bluecrane* completed its assessment of facilities preparation and has noted the lack of adequate office space as “No Identified Risk” given the planned approach to utilize vendor facilities.
- The SC-CMS Project team continues to make progress on the numerous activities underway at AOC to prepare for the SC-CMS vendor.
- Of the thirty-five (35) areas of activity related to preparation for vendor arrival that *bluecrane* has assessed, thirty-three (33) are assessed as “No Identified Risk” and the remaining two (2) are assessed as “Risk Being Addressed.”

The result of this spotlight assessment has been documented in *bluecrane*’s November month-end QA report to AOC.



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1.3 Dashboard Summary of Assessment

Area	QA Assessment of:			Comments
	Planning	Execution	Results	
Infrastructure and Data Preparation				
AOC Preparation				
AOC Infrastructure	No Identified Risk	No Identified Risk	Not Started	Observation: No risk identified.
AOC Interfaces to internal applications	No Identified Risk	No Identified Risk	Not Started	Observation: No risk identified.
AOC Interfaces to outside agencies	No Identified Risk	Not Started	Not Started	Observation: No risk identified.
AOC Applications	No Identified Risk	Not Started	Not Started	Observation: No risk identified.
AOC Data preparation	No Identified Risk	Not Started	Not Started	Observation: No risk identified.
Information Technology Standards	No Identified Risk	Not Started	Not Started	Observation: No risk identified.
Courts Preparation				
Pilot Identification	No Identified Risk	Not Started	Not Started	Observation: No risk identified.
County rolling wave implementation	No Identified Risk	Not Started	Not Started	Observation: No risk identified.
Local court Infrastructure	No Identified Risk	Not Started	Not Started	Observation: No risk identified.
Local court Interfaces	No Identified Risk	Not Started	Not Started	Observation: No risk identified.
Local court applications	No Identified Risk	Not Started	Not Started	Observation: No risk identified.
Local court data preparation	No Identified Risk	Not Started	Not Started	Observation: No risk identified.
Local court business processes	No Identified Risk	Not Started	Not Started	Observation: No risk identified.



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Area	QA Assessment of:			Comments
	Planning	Execution	Results	
Integrated Management				
Project Management				
Project Management Processes	No Identified Risk	Not Started	Not Started	Observation: No risk identified.
Project Governance	No Identified Risk	Not Started	Not Started	Observation: No risk identified.
Project Communication	No Identified Risk	Not Started	Not Started	Observation: No risk identified.
Contract and Deliverable Management				
Pre-defined Acceptance Criteria	No Identified Risk	Not Started	Not Started	Observation: No risk identified.
Deliverable Review and Approval Process	No Identified Risk	Not Started	Not Started	Observation: No risk identified.
Defect Tracking Process	No Identified Risk	Not Started	Not Started	Observation: No risk identified.
Tracking Tools				
Project Tracking	No Identified Risk	Not Started	Not Started	Observation: No risk identified.
Requirements Tracking	Risk Being Addressed	Not Started	Not Started	Observation: Delay in utilization of selected requirements management tool is being addressed.
Deliverable Tracking	No Identified Risk	Not Started	Not Started	Observation: No risk identified.
Defect Tracking	No Identified Risk	Not Started	Not Started	Observation: No risk identified.
Test Script Tracking	Risk Being Addressed	Not Started	Not Started	Observation: Delay in utilization of selected requirements management tool is being addressed.
Project Library	No Identified Risk	Not Started	Not Started	Observation: No risk identified.



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Area	QA Assessment of:			Comments
	Planning	Execution	Results	
Requirements, System Functionality and Business Processes Preparation				
Baseline Business Process Cohesion	No Identified Risk	Not Started	Not Started	Observation: No risk identified.
Business Process Documentation	No Identified Risk	Not Started	Not Started	Observation: No risk identified.
UAT Test Scripts	No Identified Risk	Not Started	Not Started	Observation: No risk identified.
Reporting, Forms, and Correspondence	No Identified Risk	Not Started	Not Started	Observation: No risk identified.
Security Functionality	No Identified Risk	Not Started	Not Started	Observation: No risk identified.
User Interface Standards	No Identified Risk	Not Started	Not Started	Observation: No risk identified.
Facilities Preparation				
Office Space	No Identified Risk	Not Started	Not Started	Observation: No risk identified.
Meeting rooms	No Identified Risk	Not Started	Not Started	Observation: No risk identified.
Testing Rooms	No Identified Risk	Not Started	Not Started	Observation: No risk identified.
Training Rooms	No Identified Risk	Not Started	Not Started	Observation: No risk identified.

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2. ASSESSMENT METHODOLOGY

2.1 Stage of Delivery

As with the monthly QA report, for each area of the assessment, we assess activities in the following three stages of delivery:

- **Planning (P)** – is the project doing an acceptable level of planning?
- **Executing (E)** – assuming adequate planning has been done, is the project performing tasks in alignment with the plans the project has established?
- **Results (R)** – 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, results are what the project is all about!)

2.2 Risk Assessment Ratings

For each area of assessment, we classify our observations, identified risks, and identified issues into one of the following five groups 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”



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Assessed Status	Meaning
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 Assessed	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



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3. DETAILED RISK ASSESSMENT

Area	Activity	Responsible	QA Assessment of:			Comments
			Planning	Execution	Results	
Infrastructure and Data Preparation						
AOC Preparation						
AOC Infrastructure			No Identified Risk	No Identified Risk	Not Started	Observation: No risk identified.
	Prepare infrastructure including network, servers, desktop workstations, and printers at AOC	COTS-Prep Infrastructure				Status Planning, analysis, and implementation activities continue. AOC is working with Consolidated Technology Services (CTS) to increase network capacity to eight court sites. AOC has determined that Service Level Agreements (SLAs) are adequate. Requirements are being reviewed to confirm design of interfaces. Some infrastructure preparation activities are on hold until vendor requirements are known.



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Area	Activity	Responsible	QA Assessment of:			Comments
			Planning	Execution	Results	
AOC Interfaces to internal applications			No Identified Risk	No Identified Risk	Not Started	Observation: No risk identified.
	Add or modify AOC application interfaces to support SC-CMS. Prepare documentation to provide to vendor for each interface.	COTS-Prep Application Inter-Networking Hub (INH)				Status COTS-Prep: Planning and analysis activities are continuing. Currently documenting existing systems that will potentially interface with SC-CMS and identifying data items that may need transformation due to format or content changes. Some activities are on hold until vendor system interface requirements are known. INH: The INH Project is continuing with design and implementation activities. SC-CMS requirements for INH services have been finalized and agreed upon by both projects. Approaches are being developed for data items identified by COTS-Prep that will require transformation. Examples are 1) the case type field which may likely have a different format or may have additional case types and 2) name field which is one field in JIS but may be three separate fields in SC-CMS.
AOC Interfaces to outside agencies			No Identified Risk	Not Started	Not Started	Observation: No risk identified.
	Add or modify AOC interfaces to external agencies to support SC-CMS. Prepare documentation to provide to vendor for each interface.	INH				Status Planning and analysis activities are continuing. Some interfaces to outside agencies will not change because they are linked to JIS. Some interfaces will be provided by INH. AOC IT Operations maintains a list of integrations with outside agencies.



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Area	Activity	Responsible	QA Assessment of:			Comments
			Planning	Execution	Results	
AOC Applications			No Identified Risk	Not Started	Not Started	Observation: No risk identified.
	Modify AOC applications as necessary to support SC-CMS	COTS-Prep Application				Status The COTS-Prep Application project is Identifying known and potential impacts to applications and associated data repositories as noted above in status of AOC Interfaces. What-if scenarios are being analyzed – isolate JCS, develop a new JABS, modify existing JABS, JIS and SCOMIS.
AOC Data preparation			No Identified Risk	Not Started	Not Started	Observation: No risk identified.
	Initiate data preparation for incorrect data, invalid data, and missing data	Data Quality Coordinator				Status The Data Quality Coordinator is coordinating preparation of data in AOC and local court applications. One of the activities is the development of a data profiling report which will identify anomalies in data stored in JIS. These efforts will be coordinated with the data transformation activities identified for the interface and application areas above.



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Area	Activity	Responsible	QA Assessment of:			Comments
			Planning	Execution	Results	
Information Technology Standards			No Identified Risk	Not Started	Not Started	Observation: No risk identified.
	Document architecture and software development standards with which the vendor must comply	SC-CMS Architect				Status AOC has defined system architecture and application standards in the SC-CMS RFP. The system architecture will be defined in detail by the vendor after the vendor contract has been awarded.
Courts Preparation						
Pilot Identification			No Identified Risk	Not Started	Not Started	Observation: No risk identified.
	Identification of Pilot Courts	Business Liaison				Status A solicitation will be conducted to identify courts that are interested in participating as one of the two courts that will pilot the SC-CMS application prior to beginning the full rollout of the courts. A court readiness survey will be utilized to evaluate the suitability of candidate courts.



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Area	Activity	Responsible	QA Assessment of:			Comments
			Planning	Execution	Results	
County rolling wave implementation			No Identified Risk	Not Started	Not Started	Observation: No risk identified.
	Coordination of preparation activities and responsible parties in courts for the rolling wave implementation	Organizational Change Management (OCM)				<p>Status</p> <p>The Organizational Change Management (OCM) team is responsible for coordinating both OCM and technical readiness activities at the courts. OCM activities focus on helping users of the new system understand and accept the changes and impacts to their work. Technical readiness activities focus on making modifications to the local court infrastructure, applications, and interfaces that are necessary to implement SC-CMS. A readiness tool was sent to courts in January, 2012 to help courts plan for the upcoming implementation. The OCM team is preparing a follow-on readiness survey to courts that will be used to assess the scope of work required to implement SC-CMS in each county.</p>



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Area	Activity	Responsible	QA Assessment of:			Comments
			Planning	Execution	Results	
Local court Infrastructure			No Identified Risk	Not Started	Not Started	Observation: No risk identified.
	Prepare infrastructure of network, servers, desktop, and printers prior to vendor arrival	Courts OCM (coordinate)				Status The OCM team is preparing a follow-on readiness survey to courts that will be used to assess the scope of work required to implement SC-CMS in each county.
Local court Interfaces			No Identified Risk	Not Started	Not Started	Observation: No risk identified.
	Add or modify court and/or county interfaces to support SC-CMS. Prepare documentation to provide to vendor for each interface.	Courts OCM (coordinate)				Status The OCM team is preparing a follow-on readiness survey to courts that will be used to assess the scope of work required to implement SC-CMS in each county.



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Area	Activity	Responsible	QA Assessment of:			Comments
			Planning	Execution	Results	
Local court applications			No Identified Risk	Not Started	Not Started	Observation: No risk identified.
	Modify court and county applications to support SC-CMS	Courts OCM (coordinate) CBO				<p>Status The OCM team is coordinating efforts at AOC to establish a single point of contact at AOC and a one or two points of contact at each of the counties that would focus communications, requests, and activities that involve court personnel so that courts do not receive similar or conflicting requests for information or participation from separate areas in AOC.</p> <p>The CBO in collaboration with the OCM team and the SC-CMS Architect will assist with the coordination of soliciting and collecting information from the courts regarding local court applications to get a complete picture of the court's systems and IT environment. This information will potentially be used to determine the court's characteristics for the purposes of configuring the SC-CMS system for the court.</p>
Local court data preparation			No Identified Risk	Not Started	Not Started	Observation: No risk identified.
	Initiate data preparation in court and/or county applications for incorrect data, invalid data, and missing data	Courts OCM (coordinate)				<p>Status The OCM team is preparing a follow-on readiness survey to courts that will be used to assess the scope of work required to implement SC-CMS in each county.</p>



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Area	Activity	Responsible	QA Assessment of:			Comments
			Planning	Execution	Results	
Local court business processes			No Identified Risk	Not Started	Not Started	Observation: No risk identified.
	Modification of court business processes required to implement SC-CMS and for desired process improvements	Courts CBO (coordinate)				Status The Court User Work Group (CUWG) is being formed and the first meeting has been targeted for January. The CBO will review with the CUWG the As-Is business processes to ensure a baseline understanding of the current processes. The As-Is will be used as the baseline information to then develop the To-Be business processes. The To-Be business processes will include the requirements describing the desired features and functions. The To-Be business processes will be used as the basis for a gap analysis once the SC-CMS vendor is engaged.
Integrated Management						
Project Management						
Project Management Processes			No Identified Risk	Not Started	Not Started	Observation: No risk identified.
	Develop the approach for merging AOC project management processes with vendor project management processes	SC-CMS Project Office				Status The current set of project management plans will be updated to include vendor participation after the SC-CMS vendor contract has been awarded.



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Area	Activity	Responsible	QA Assessment of:			Comments
			Planning	Execution	Results	
Project Governance			No Identified Risk	Not Started	Not Started	Observation: No risk identified.
	Develop the approach for project, system functionality, and technical decision-making in conjunction with vendor	SC-CMS Project Office CBO				<p>Status Project Office: The current Governance Plan will be updated to identify vendor participation after the SC-CMS vendor contract has been awarded.</p> <p>CBO: The CUWG Charter identifies a consensus model for making system functionality decisions during the vendor requirements validation and design sessions. If multiple simultaneous vendor sessions are required the CUWG will modify the decision model to accommodate multiple CUWG groups.</p>
Project Communication			No Identified Risk	Not Started	Not Started	Observation: No risk identified.
	Implement regular, routine meetings and status reports providing integrated updates of vendor and state activities and milestones	SC-CMS Project Office				<p>Status The current Communication Management Plan will be updated to identify vendor participation after the SC-CMS vendor contract has been awarded.</p>



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Area	Activity	Responsible	QA Assessment of:			Comments
			Planning	Execution	Results	
Contract and Deliverable Management						
Pre-defined Acceptance Criteria			No Identified Risk	Not Started	Not Started	Observation: No risk identified.
	Prepare outlines and initial drafts of deliverable expectation documents	SC-CMS Project Team				Status The SC-CMS project team will prepare deliverable outlines for each vendor deliverable. The outlines will describe the requirements that each deliverable must meet to be approved.
Deliverable Review and Approval Process			No Identified Risk	Not Started	Not Started	Observation: No risk identified.
	Define and document roles and processes to review and accept vendor deliverables including software and documents	SC-CMS Project Office				Status The Deliverable Management Plan under development will describe the process of how members of the SC-CMS project team, the CBO, the CUWG, SC-CMS sponsors, AOC staff and management and other stakeholders will participate in review and approval of vendor deliverables. The Deliverable Management Plan will contain a RACI matrix showing the level of participation by SC-CMS stakeholders.



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Area	Activity	Responsible	QA Assessment of:			Comments
			Planning	Execution	Results	
Defect Tracking Process			No Identified Risk	Not Started	Not Started	Observation: No risk identified
	Develop approach for tracking defects for software and other deliverables and monitoring progress with specific metrics	SC-CMS Project Office				Status The Deliverable Management Plan will describe the process for recording, tracking, and managing deliverable defects.
Tracking Tools						
Project Tracking			No Identified Risk	Not Started	Not Started	Observation: No risk identified.
	Implement tools for tracking schedule, budget, changes, risks, issues, resources, and decisions	SC-CMS Project Office				Status The tools that will be used to support project management processes for the SC-CMS project are being implemented. The same set of tools will be used when the vendor joins the project.



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Area	Activity	Responsible	QA Assessment of:			Comments
			Planning	Execution	Results	
Requirements Tracking			Risk Being Addressed	Not Started	Not Started	Observation: In September a risk was identified that a delay in utilization of the selected requirements management tool might delay critical path tasks which may in turn delay the start of Phase 2.
	Implement a tool for tracking changes to requirements, status of requirements, and traceability of requirements	CBO				Status Rational Requirements Composer (RRC) has been selected as the tool for managing requirements, and AOC has purchased licenses for the tool. However, there is a desire that the SC-CMS project use the AOC enterprise requirements management processes, which have not been defined yet. A decision was made by the AOC CIO in October for the SC-CMS business analyst to configure RRC for use by the CBO and SC-CMS Project. The business analyst will attempt to use as much of the previously defined enterprise requirements management definitions as possible. Currently the RRC configuration work is underway and on schedule to be completed in December.
Deliverable Tracking			No Identified Risk	Not Started	Not Started	Observation: No risk identified.
	Implement a tool for tracking of software, document, and service deliverables - receipt, review, approval, status, etc., to support the deliverable management process	SC-CMS Project Office				Status The Deliverable Management Plan under development will identify a tool to be used to track deliverables. The implementation of the deliverable tracking tool is planned for prior to vendor arrival.



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Area	Activity	Responsible	QA Assessment of:			Comments
			Planning	Execution	Results	
Defect Tracking			No Identified Risk	Not Started	Not Started	Observation: No risk identified.
	Implement a tool for tracking defects identified for software, documents, and service deliverables to support the deliverable management process	SC-CMS Project Office				Status The Deliverable Management Plan under development will identify a tool to be used to track defects. The implementation of the defect tracking tool is planned for prior to vendor arrival.
Test Script Tracking			Risk Being Addressed	Not Started	Not Started	Observation: In September a risk had been identified that a delay in utilization of the selected requirements management tool might delay critical path tasks which may in turn delay the start of Phase 2.
	Implement a tool to document, manage, and track User Acceptance Testing test scripts	SC-CMS Quality Assurance Lead				Status The Quality Assurance (QA) team will develop UAT test scripts to test that the RFP requirements have been met by the implementation of SC-CMS. The test scripts will be managed using the Rational Requirements Composer (RRC) tool which is currently being configured (see Requirements Management above).



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Area	Activity	Responsible	QA Assessment of:			Comments
			Planning	Execution	Results	
Project Library			No Identified Risk	Not Started	Not Started	Observation: No risk identified.
	Implement a project library tool for management of project documents including those developed both by state and vendor resources	SC-CMS Project Office				Status Microsoft SharePoint has been selected as the tool to manage project documentation. The SC-CMS Project Office and Organizational Change Management teams are designing changes to the SC-CMS SharePoint site to incorporate structure for state and vendor deliverables.



AOC SC-CMS Activities to Prepare for SC-CMS Vendor Arrival
Assessment Date: November 30, 2012

Area	Activity	Responsible	QA Assessment of:			Comments
			Planning	Execution	Results	
Requirements, System Functionality and Business Processes Preparation						
Baseline Business Process Cohesion			No Identified Risk	Not Started	Not Started	Observation: No risk identified.
	Obtain agreement by subject matter experts (SMEs) on baseline requirements, system functionality, and business processes prior to vendor arrival	CBO Court User Workgroup (CUWG)				<p>Status The members of the CUWG have been designated as the SMEs who will participate in the vendor requirements validation sessions and SC-CMS design sessions and have been given authority to make all decisions regarding requirements, system functionality, and business processes.</p> <p>CUWG meetings are planned starting in January. The CBO will review with the CUWG the As-Is business processes to ensure a baseline understanding of the current processes. The As-Is will be used as the baseline model for the development of the To-Be business processes.</p>



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						<p>The To-Be business processes will include the requirements describing the desired features and functions. The CBO will also elicit local processes that can be standardized to be included into the To-Be process baseline.</p> <p>The To-Be business processes will be used as the basis for a gap analysis once the SC-CMS vendor is engaged. The baselined To-Be processes may also be used by the courts to prepare for implementation by checking alignment and documenting differences from the baseline.</p>



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Business Process Documentation			No Identified Risk	Not Started	Not Started	Observation: No risk identified.
	Develop baselined court business process documentation	CBO CUWG				<p>Status As noted above in the Business Process Cohesion section, the CBO and the CUWG will review and validate the As-Is business processes and subsequently develop and baseline the To-Be business processes.</p> <p>The To-Be business processes will include the requirements describing the desired features and functions. The CBO will also elicit local processes that can be standardized to be included into the To-Be process baseline.</p> <p>The To-Be business processes will be used as the basis for a gap analysis once the SC-CMS vendor is engaged. The baselined To-Be processes may also be used by the courts to prepare for implementation by checking alignment and documenting differences from the baseline.</p>



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UAT Test Scripts			No Identified Risk	Not Started	Not Started	Observation: No risk identified.
	Develop User Acceptance Test (UAT) test scripts that will be given to vendor at the beginning of requirements validation to define vendor accountability criteria, enable agreement by SMEs on requirements and functionality	SC-CMS Quality Assurance Lead				Status As noted above, the QA team will develop UAT test scripts that will be used during UAT to validate that the requirements have been met.



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Reporting, Forms, and Correspondence			No Identified Risk	Not Started	Not Started	Observation: No risk identified.
	Define and document report layouts and identify a set of forms and correspondence layouts prior to vendor arrival	CBO, SC-CMS BAs, and CUWG				<p>Status In October, the CBO and the SC-CMS Business Analysts began obtaining an inventory of reports that will be incorporated into the As-Is business model and will be reviewed as part of the development of the To-Be business model.</p> <p>Similarly, the CBO and the SC-CMS Business Analysts will obtain an inventory of forms or correspondence generated by the current systems that will be incorporated in the As-Is business models and will be reviewed as part of the development of the To-Be business models.</p>
Security Functionality			No Identified Risk	Not Started	Not Started	Observation: No risk identified.
	Define user roles and a security profile for each user role	CBO, SC-CMS BAs, and CUWG				<p>Status User roles will be defined as part of the As-Is and To-Be process model development.</p>



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User Interface Standards			No Identified Risk	Not Started	Not Started	Observation: No risk identified.
	Develop look-and-feel and keyboarding requirements	CBO and CUWG				<p>Status</p> <p>The RFP contains several keyboarding requirements that will be addressed during the design and configuration of SC-CMS. Because SC-CMS will be a Commercial Off-the-Shelf (COTS) implementation, there may be little or no ability to modify the user interface.</p>



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Facilities Preparation						
Office Space			No Identified Risk	Not Started	Not Started	Observation: The AOC office building lacks sufficient space to co-locate the project and vendor teams.
	Acquire adequate office space for state staff and vendor staff prior to vendor arrival					Status The vendor staff will be located in an off-site vendor building. This will require frequent travel of the project team, CUWG SMEs, business analysts, technical SMEs, and other AOC staff to the vendor site.
Meeting rooms			No Identified Risk	Not Started	Not Started	Observation: The AOC office building lacks adequate meeting rooms for vendor requirements validation sessions and subsequent SC-CMS design sessions.
	Ensure there are adequate meeting rooms for vendor requirements validation sessions and subsequent SC-CMS design sessions. There should be allowances for the possibility for multiple simultaneous vendor sessions.					Status: The vendor staff will be located in an off-site vendor building. This will require frequent travel of the project team, CUWG SMEs, business analysts, technical SMEs, and other AOC staff to the vendor site.



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Testing Rooms			No Identified Risk	Not Started	Not Started	Observation: The AOC office building lacks adequate space for UAT testing.
	Reserve adequate space for performing system and user acceptance testing					Status Testing rooms for UAT will be located in an off-site vendor building. This will require frequent travel of the project team, CUWG SMEs, business analysts, technical SMEs, and other AOC staff to the vendor site.
Training Rooms			No Identified Risk	Not Started	Not Started	Observation: No risk identified.
	Reserve adequate space for performing training					Status: The Training Plan will identify the location of SC-CMS training.