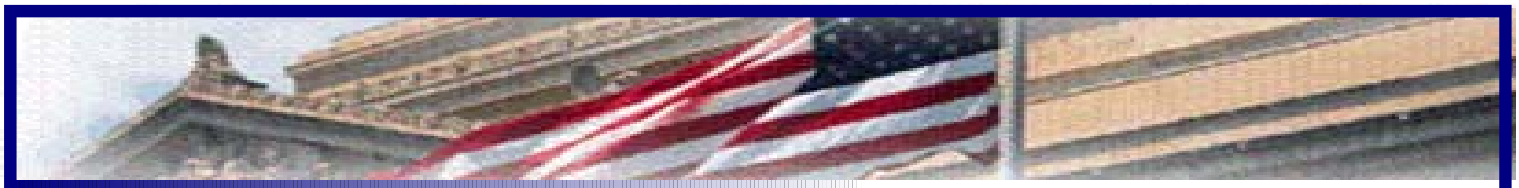

MANAGEMENT CONSULTING
FOR
STATE AND LOCAL
GOVERNMENTS

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

January 31, 2013

Prepared by

Bluecrane, Inc.

bluecrane ®

Table of Contents

Part 1: Overview of the January 2013 *bluecrane* QA Assessment 1

Executive Summary 1

People 2

bluecrane QA Dashboard "Snapshot" 3

Part 2: Review of *bluecrane* Approach 7

Part 3: *bluecrane* Detailed Assessment Report for January 2013 11

Part 1: Overview of the January 2013 *bluecrane* QA Assessment

Executive Summary

This report provides the January 2013 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.

In January, as in December, a great deal of AOC management attention, including SC-CMS Project Management staff time, was focused on responding to the Court Clerks' letter of December 18 and other subsequent communications, effectively requesting a halt to the current procurement activities. The resultant risk to the SC-CMS vendor procurement is the single risk that we have chosen to highlight below in this month's Executive Summary.

A dashboard "snapshot" summary of our January assessment follows the discussion of the vendor procurement risk and a brief discussion of feasibility studies.

People

Vendor Procurement

Status: **Extreme Risk**

Observation: The SC-CMS vendor procurement is continuing after a four-week delay to respond to a request from the Clerks, represented by the clerks on the Steering Committee, to stop the procurement. The Clerks stated on December 18 that they cannot support moving forward with any of the vendor products that are in the process of being evaluated as part of the SC-CMS vendor procurement. The Clerks cite two points of opposition: 1) vendor bids were higher than the estimated costs in the SC-CMS Feasibility Study and 2) lack of functionality to meet the Clerk's requirements. The Clerk's written statement did not provide specific detail for the two points. AOC requested further details on December 19, and the Clerk's responded with a second statement on December 27 providing additional detail.

Risk 1: In December, *bluecrane* identified a risk with stopping the evaluation of COTS systems before it was sufficiently determined that a COTS system would not meet the requirements – both the stated RFP requirements and the subsequently identified Clerk stakeholder requirements. For example, the Clerk stakeholder group has stated in their letter of December 18 that their primary functionality concern is that the COTS solution will require more mouse clicks to process a case than the current solution. However, an evaluation has not been performed to determine that the overall effort required by clerks using a COTS alternative would be more than what is required for the current solution.

Risk 2: *bluecrane* identified a second risk with the potential cost of a non-COTS solution. If a COTS solution is not selected, an alternative may be selected that has a higher long-term cost despite the fact that the proposals submitted were significantly higher than the feasibility study estimates. The other alternatives identified in the SC-CMS Feasibility Study were estimated to cost more to implement than a COTS solution.

Impact: When implementing a new solution, there are often modifications made to business process and interfaces to other systems that reduces the overall amount of effort required by staff to perform their jobs. If a decision is made to select an alternative other than a COTS solution, when the COTS solution actually meets the requirements, then a solution could be implemented that is more costly and additionally may not meet stakeholder requirements.

Recommendation: *bluecrane* agrees with the direction taken by the SC-CMS Steering Committee to continue evaluation of COTS systems. Risk 1 identified above will be reduced through continued analysis of the ability of a COTS solution to meet the combined requirements of the Clerks', Judges', and Court Administrators' stakeholder groups.

bluecrane QA Dashboard "Snapshot"

Project Area	Summary *bluecrane* QA Assessment				
	Urgency	Nov 2012	Dec 2012	Jan 2013	Observations/Risks ---------- Assessment/Recommendation(s)/Status
		Project Management and Sponsorship			
Governance	N/A	No Risk Identified	No Risk Identified	No Risk Identified	**Observation:** The JISC Charter, Steering Committee Charter, 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	No Risk Identified	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	No Risk Identified	No Risk Identified	No Risk Identified	**Observation/Risk:** The AOC Management Services Division and the project are utilizing an effective approach to management of cost and budget.
Communication	N/A	No Risk Identified	No Risk Identified	No Risk Identified	**Observation:** Consistent with the Communications Management Plan, the team is utilizing effective communications to manage project activities and to keep stakeholders updated on project status.
Staffing and Project Facilities	N/A	No Risk Identified	No Risk Identified	No Risk Identified	**Observation:** Consistent with the Staffing Management Plan, the project is utilizing a staffing matrix to manage the capacity and timing of project staff.

Project Area	Summary *bluecrane* QA Assessment				
	Urgency	Nov 2012	Dec 2012	Jan 2013	Observations/Risks
		Project Management and Sponsorship			
Change Management	N/A	No Risk Identified	No Risk Identified	No Risk Identified	**Observation:** Consistent with the Change Management Plan, the project is utilizing the change management process to manage changes to scope, schedule, and budget.
Risk Management	N/A	No Risk Identified	No Risk Identified	No Risk Identified	**Observation:** Consistent with the Risk Management Plan, the project is identifying and managing risks consistent with the Risk Management Plan.
Issue Management	N/A	No Risk Identified	No Risk Identified	No Risk Identified	**Observation:** Consistent with the Issue Management Plan, the project team is identifying and tracking issues.
Quality Management	N/A	No Risk Identified	No Risk Identified	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) has performed analysis and validation of the business processes. The Court User Work Group (CUWG) will review the business processes for approval in parallel with analysis and validation activities.

Project Area	Summary *bluecrane* QA Assessment				
	Urgency	Nov 2012	Dec 2012	Jan 2013	Observations/Risks ---------- Assessment/Recommendation(s)/Status
		People			
Vendor Procurement	Very Urgent Consideration	No Risk Identified	Extreme Risk	Extreme Risk	**Observation:** The SC-CMS vendor procurement is continuing after a four-week delay to respond to a request from the Clerks, represented by the clerks on the Steering Committee, to stop the procurement. The Clerks stated on December 18 that they cannot support moving forward with any of the vendor products that are in the process of being evaluated as part of the SC-CMS vendor procurement. The Clerks cite two points of opposition: 1) vendor bids were higher than the estimated costs in the SC-CMS Feasibility Study and 2) lack of functionality to meet the Clerk's requirements. The Clerk's written statement did not provide specific detail for the two points. AOC requested further details on December 19, and the Clerk's responded with a second statement on December 27 providing additional detail. **Risk 1:** In December, *bluecrane* identified a risk with stopping the evaluation of COTS systems before it was sufficiently determined that a COTS system would not meet the requirements – both the stated RFP requirements and the subsequently identified Clerk stakeholder requirements. For example, the Clerk stakeholder group has stated in their letter of December 18th that their primary functionality concern is that the COTS solution will require more mouse clicks to process a case than the current solution. However, an evaluation has not been performed to determine that the overall effort required by clerks using a COTS alternative would be more than what is required for the current solution. **Risk 2:** *bluecrane* identified a second risk with the potential cost of a non-COTS solution. If a COTS solution is not selected, an alternative may be selected that has a higher long-term cost despite the fact that the proposals submitted were significantly higher than the feasibility study estimates. The other alternatives identified in the SC-CMS Feasibility Study were estimated to cost more to implement than a COTS solution.
Contract Management / Deliverables Management	N/A	Risk Being Addressed	No Risk Identified	No Risk Identified	**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 *bluecrane* QA Assessment				
	Urgency	Nov 2012	Dec 2012	Jan 2013	Observations/Risks
	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	N/A	No Risk Identified	No Risk Identified	No Risk Identified	**Observation:** The Court Business Office is documenting detailed use cases. A requirements management tool is being used to document requirements and for traceability.
Application Interfaces	N/A	No Risk Identified	No Risk Identified	No Risk Identified	**Observation:** The INH and COTS-Prep Application projects 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.
		Data			
Data Preparation	N/A	No Risk Identified	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.

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, 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 January 2013

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	**No Risk Identified**
People	**Extreme Risk**
Application	**No Risk Identified**
Data	**No Risk Identified**
Infrastructure	**No Risk Identified**

Project Management and Sponsorship	Governance	Urgency - Not Applicable

Summary *bluecrane* QA Assessment

Nov 2012	Dec 2012	Jan 2013	Observations/Risks ---------- Assessment/Recommendation(s)/Status
No Risk Identified	No Risk Identified	No Risk Identified	**Observation:** The JISC Charter, Steering Committee Charter, 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			
Nov 2012	Dec 2012	Jan 2013	Assessment	Nov 2012	Dec 2012	Jan 2013	Assessment	Nov 2012	Dec 2012	Jan 2013	Assessment
No Risk Identified	No Risk Identified	No Risk Identified	**Observation:** The JISC Charter, Steering Committee Charter, 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	
											The SC-CMS Project Steering Committee and Project Sponsors has provided the project team with guidance during the COTS vendor procurement phase of the project.

Project Management and Sponsorship	Scope	Urgency - Not Applicable

Summary *bluecrane* QA Assessment

Nov 2012	Dec 2012	Jan 2013	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			
Nov 2012	Dec 2012	Jan 2013	Assessment	Nov 2012	Dec 2012	Jan 2013	Assessment	Nov 2012	Dec 2012	Jan 2013	Assessment
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.	Not Assessed	Not Assessed	Not Assessed		No Risk Identified	No Risk Identified	No Risk Identified	
							bluecrane 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

Summary *bluecrane* QA Assessment

Nov 2012	Dec 2012	Jan 2013	Observations/Risks ---------- Assessment/Recommendation(s)/Status
Project Management and Sponsorship			
No Risk Identified	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.

Detailed *bluecrane* QA Assessment

Project Planning				Project Execution				Achievement of Expected Results			
Nov 2012	Dec 2012	Jan 2013	Assessment	Nov 2012	Dec 2012	Jan 2013	Assessment	Nov 2012	Dec 2012	Jan 2013	Assessment
No Risk Identified	No Risk Identified	No Risk Identified		No Risk Identified	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

Summary *bluecrane* QA Assessment

Nov 2012	Dec 2012	Jan 2013	Observations/Risks ---------- Assessment/Recommendation(s)/Status
Project Management and Sponsorship			
No Risk Identified	No Risk Identified	No Risk Identified	**Observation/Risk:** The AOC Management Services Division and the project are utilizing an effective approach to management of cost and budget.

Detailed *bluecrane* QA Assessment

Project Planning				Project Execution				Achievement of Expected Results			
Nov 2012	Dec 2012	Jan 2013	Assessment	Nov 2012	Dec 2012	Jan 2013	Assessment	Nov 2012	Dec 2012	Jan 2013	Assessment
No Risk Identified	No Risk Identified	No Risk Identified	**Observation/Risk:** The AOC Management Services Division and the project are 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.				*bluecrane* 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

Nov 2012	Dec 2012	Jan 2013	Observations/Risks ---------- Assessment/Recommendation(s)/Status
Project Management and Sponsorship			
No Risk Identified	No Risk Identified	No Risk Identified	**Observation:** Consistent with the Communications Management Plan, the team is utilizing effective communications to manage project activities and to keep stakeholders updated on project status.
			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.

Project Management and Sponsorship	Communication (continued)	Urgency - Not Applicable

Detailed *bluecrane* QA Assessment

Project Planning				Project Execution				Achievement of Expected Results			
Nov 2012	Dec 2012	Jan 2013	Assessment	Nov 2012	Dec 2012	Jan 2013	Assessment	Nov 2012	Dec 2012	Jan 2013	Assessment
No Risk Identified	No Risk Identified	No Risk Identified	**Observation:** Consistent with the Communications Management Plan, the team is utilizing effective communications to manage project activities and to keep stakeholders updated on project status.	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 Management Plan.	No Risk Identified	No Risk Identified	No Risk Identified	
			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.				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.				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.

Project Management and Sponsorship	Staffing and Project Facilities	Urgency - Not Applicable

Summary *bluecrane* QA Assessment

Nov 2012	Dec 2012	Jan 2013	Observations/Risks ---------- Assessment/Recommendation(s)/Status
No Risk Identified	No Risk Identified	No Risk Identified	**Observation:** Consistent with the Staffing Management Plan, the project is utilizing a staffing matrix to manage the capacity and timing of project staff.
			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.

Project Management and Sponsorship	Staffing and Project Facilities (continued)	Urgency - Not Applicable

Detailed *bluecrane* QA Assessment

Project Planning				Project Execution				Achievement of Expected Results			
Nov 2012	Dec 2012	Jan 2013	Assessment	Nov 2012	Dec 2012	Jan 2013	Assessment	Nov 2012	Dec 2012	Jan 2013	Assessment
No Risk Identified	No Risk Identified	No Risk Identified	**Observation:** Consistent with the Staffing Management Plan, the project is utilizing a staffing matrix to manage the capacity and timing of project staff.	Not Assessed	Not Assessed	Not Assessed		No Risk Identified	No Risk Identified	No Risk Identified	
			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.								

Project Management and Sponsorship	Change Management	Urgency – Not Applicable

Summary *bluecrane* QA Assessment

Nov 2012	Dec 2012	Jan 2013	Observations/Risks ---------- Assessment/Recommendation(s)/Status
No Risk Identified	No Risk Identified	No Risk Identified	**Observation:** Consistent with the Change Management Plan, the project is utilizing the change management process to manage changes to scope, schedule, and budget.

Detailed *bluecrane* QA Assessment

Project Planning				Project Execution				Achievement of Expected Results			
Nov 2012	Dec 2012	Jan 2013	Assessment	Nov 2012	Dec 2012	Jan 2013	Assessment	Nov 2012	Dec 2012	Jan 2013	Assessment
No Risk Identified	No Risk Identified	No Risk Identified	**Observation:** Consistent with the Change Management Plan, 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	**Observation:** Consistent with the Change Management Plan, 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

Nov 2012	Dec 2012	Jan 2013	Observations/Risks ---------- Assessment/Recommendation(s)/Status
No Risk Identified	No Risk Identified	No Risk Identified	**Observation:** Consistent with the Risk Management Plan, 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			
Nov 2012	Dec 2012	Jan 2013	Assessment	Nov 2012	Dec 2012	Jan 2013	Assessment	Nov 2012	Dec 2012	Jan 2013	Assessment
No Risk Identified	No Risk Identified	No Risk Identified	**Observation:** Consistent with the Risk Management Plan, the project is identifying and managing risks consistent with the Risk Management Plan.	No Risk Identified	No Risk Identified	No Risk Identified	**Observation:** Consistent with the Risk Management Plan, the project is identifying and managing risks consistent with the Risk Management Plan.	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

Nov 2012	Dec 2012	Jan 2013	Observations/Risks ---------- Assessment/Recommendation(s)/Status
No Risk Identified	No Risk Identified	No Risk Identified	**Observation:** Consistent with the Issue Management Plan, the project team is identifying and tracking issues.

Detailed *bluecrane* QA Assessment

Project Planning				Project Execution				Achievement of Expected Results			
Nov 2012	Dec 2012	Jan 2013	Assessment	Nov 2012	Dec 2012	Jan 2013	Assessment	Nov 2012	Dec 2012	Jan 2013	Assessment
No Risk Identified	No Risk Identified	No Risk Identified		No Risk Identified	No Risk Identified	No Risk Identified	**Observation:** Consistent with the Issue Management Plan, the project team is identifying and tracking issues.	No Risk Identified	No Risk Identified	No Risk Identified	
			Status: The Issue Management Plan was approved by the Project Sponsors in September.								

Project Management and Sponsorship	Quality Management	Urgency - Not Applicable

Summary *bluecrane* QA Assessment

Nov 2012	Dec 2012	Jan 2013	Observations/Risks ---------- Assessment/Recommendation(s)/Status
No Risk Identified	No Risk Identified	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			
Nov 2012	Dec 2012	Jan 2013	Assessment	Nov 2012	Dec 2012	Jan 2013	Assessment	Nov 2012	Dec 2012	Jan 2013	Assessment
No Risk Identified	No Risk Identified	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.				*bluecrane* 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

Nov 2012	Dec 2012	Jan 2013	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 *bluecrane* QA Assessment

Project Planning				Project Execution				Achievement of Expected Results			
Nov 2012	Dec 2012	Jan 2013	Assessment	Nov 2012	Dec 2012	Jan 2013	Assessment	Nov 2012	Dec 2012	Jan 2013	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 three associations for Clerks, Judges, and Administrators.

People	Business Processes / System Functionality	Urgency - Not Applicable

Summary *bluecrane* QA Assessment

Nov 2012	Dec 2012	Jan 2013	Observations/Risks ---------- Assessment/Recommendation(s)/Status
No Risk Identified	No Risk Identified	No Risk Identified	**Observation:** The Court Business Office (CBO) has performed analysis and validation of the business processes. The Court User Work Group (CUWG) will review the business processes for approval in parallel with analysis and validation activities.

Detailed *bluecrane* QA Assessment

Project Planning				Project Execution				Achievement of Expected Results			
Nov 2012	Dec 2012	Jan 2013	Assessment	Nov 2012	Dec 2012	Jan 2013	Assessment	Nov 2012	Dec 2012	Jan 2013	Assessment
No Risk Identified	No Risk Identified	No Risk Identified	**Observation:** The Court Business Office (CBO) has performed analysis and validation of the business processes. The Court User Work Group (CUWG) will review the business processes for approval in parallel with analysis and validation activities.	Not Assessed	Not Assessed	Not Assessed		Not Assessed	Not Assessed	Not Assessed	

People	Vendor Procurement	Urgency - Very Urgent

Summary *bluecrane* QA Assessment

Nov 2012	Dec 2012	Jan 2013	Observations/Risks ---------- Assessment/Recommendation(s)/Status
No Risk Identified	**Extreme Risk**	**Extreme Risk**	**Observation:** The SC-CMS vendor procurement is continuing after a four-week delay to respond to a request from the Clerks, represented by the clerks on the Steering Committee, to stop the procurement. The Clerks stated on December 18 that they cannot support moving forward with any of the vendor products that are in the process of being evaluated as part of the SC-CMS vendor procurement. The Clerks cite two points of opposition: 1) vendor bids were higher than the estimated costs in the SC-CMS Feasibility Study and 2) lack of functionality to meet the Clerk's requirements. The Clerk's written statement did not provide specific detail for the two points. AOC requested further details on December 19, and the Clerk's responded with a second statement on December 27 providing additional detail. **Risk 1:** In December, *bluecrane* identified a risk with stopping the evaluation of COTS systems before it was sufficiently determined that a COTS system would not meet the requirements – both the stated RFP requirements and the subsequently identified Clerk stakeholder requirements. For example, the Clerk stakeholder group has stated in their letter of December 18th that their primary functionality concern is that the COTS solution will require more mouse clicks to process a case than the current solution. However, an evaluation has not been performed to determine that the overall effort required by clerks using a COTS alternative would be more than what is required for the current solution. **Risk 2:** *bluecrane* identified a second risk with the potential cost of a non-COTS solution. If a COTS solution is not selected, an alternative may be selected that has a higher long-term cost despite the fact that the proposals submitted were significantly higher than the feasibility study estimates. The other alternatives identified in the SC-CMS Feasibility Study were estimated to cost more to implement than a COTS solution.

People	Vendor Procurement (continued)	Urgency - Very Urgent

Summary *bluecrane* QA Assessment

Nov 2012	Dec 2012	Jan 2013	Observations/Risks ---------- Assessment/Recommendation(s)/Status
			Impact: When implementing a new solution, there are often modifications made to business process and interfaces to other systems that reduces the overall amount of effort required by staff to perform their jobs. If a decision is made to select an alternative other than a COTS solution, when the COTS solution actually meets the requirements, then a solution could be implemented that is more costly and additionally may not meet stakeholder requirements. **Recommendation:** *bluecrane* agrees with the direction taken by the SC-CMS Steering Committee to continue evaluation of COTS systems. Risk 1 identified above will be reduced through continued analysis of the ability of a COTS solution to meet the combined requirements of the Clerks', Judges', and Court Administrators' stakeholder groups.

People	Vendor Procurement (continued)	Urgency - Very Urgent

Detailed *bluecrane* QA Assessment

Project Planning				Project Execution				Achievement of Expected Results			
Nov 2012	Dec 2012	Jan 2013	Assessment	Nov 2012	Dec 2012	Jan 2013	Assessment	Nov 2012	Dec 2012	Jan 2013	Assessment
No Risk Identified	Extreme Risk	Extreme Risk		No Risk Identified	Extreme Risk	Extreme Risk	**Observation:** The SC-CMS vendor procurement is continuing after a four-week delay to respond to a request from the Clerks, represented by the clerks on the Steering Committee, to stop the procurement. The Clerks stated on December 18 that they cannot support moving forward with any of the vendor products that are in the process of being evaluated as part of the SC-CMS vendor procurement. The Clerks cite two points of opposition: 1) vendor bids were higher than the estimated costs in the SC-CMS Feasibility Study and 2) lack of functionality to meet the Clerk's requirements. The Clerk's written statement did not provide specific detail for the two points. AOC requested further details on December 19, and the Clerk's responded with a second statement on December 27 providing additional detail. **Risk 1:** In December, *bluecrane* identified a risk with stopping the evaluation of COTS systems before it was sufficiently determined that a COTS system would not meet the requirements – both the stated RFP requirements and the subsequently identified Clerk stakeholder requirements. For example, the Clerk stakeholder group has stated in their letter of December 18th that their primary functionality concern is that the COTS solution will require more mouse clicks to process a case than the current solution. However, an evaluation has not been performed to determine that the overall effort required by clerks using a COTS alternative would be more than what is required for the current solution. **Risk 2:** *bluecrane* identified a second risk with the potential cost of a non-COTS solution. If a COTS solution is not selected, an alternative may be selected that has a higher long-term cost despite the fact that the proposals submitted were significantly higher than the feasibility study estimates. The other alternatives identified in the SC-CMS Feasibility Study were estimated to cost more to implement than a COTS solution.	No Risk Identified	Extreme Risk	Extreme Risk	
							Impact: If a decision is made to select an alternative other than a COTS solution, when the COTS solution actually meets the requirements, then a solution could be implemented that is more costly and/or does not meet stakeholder requirements. When implementing a new solution, there are often modifications made to business process and interfaces to other systems that reduces the overall amount of effort required by staff to perform their jobs. Also, as part of the COTS configuration process, it may be possible to implement typing automation that will perform a number of mouse and keyboard actions with one keystroke.				

People	Contract Management / Deliverables Management	Urgency - Not Applicable

Summary *bluecrane* QA Assessment

Nov 2012	Dec 2012	Jan 2013	Observations/Risks ---------- Assessment/Recommendation(s)/Status
Risk Being Addressed	No Risk Identified	No Risk Identified	**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.
			Status: The Deliverables Management Plan is being drafted and is planned for completion in January. A responsibility assignment matrix will be used to identify responsibilities of project team members in reviewing and approving vendor deliverables.

People	Contract Management / Deliverables Management (continued)	Urgency - Not Applicable

Detailed *bluecrane* QA Assessment

Project Planning				Project Execution				Achievement of Expected Results			
Nov 2012	Dec 2012	Jan 2013	Assessment	Nov 2012	Dec 2012	Jan 2013	Assessment	Nov 2012	Dec 2012	Jan 2013	Assessment
Risk Being Addressed	No Risk Identified	No Risk Identified	**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.	Not Assessed	Not Assessed	Not Assessed		Not Assessed	Not Assessed	Not Assessed	
			Status: The Deliverables Management Plan is being drafted and is planned for completion in January. A responsibility assignment matrix will be used to identify responsibilities of project team members in reviewing and approving vendor deliverables.				*bluecrane* will perform an assessment of the execution of the Deliverables Management Plan after execution of the Plan begins.				

Application	Application Architecture	Urgency - Not Applicable

Summary *bluecrane* QA Assessment

Nov 2012	Dec 2012	Jan 2013	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			
Nov 2012	Dec 2012	Jan 2013	Assessment	Nov 2012	Dec 2012	Jan 2013	Assessment	Nov 2012	Dec 2012	Jan 2013	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	Urgency - Not Applicable

Summary *bluecrane* QA Assessment

Nov 2012	Dec 2012	Jan 2013	Observations/Risks ---------- Assessment/Recommendation(s)/Status
No Risk Identified	No Risk Identified	No Risk Identified	**Observation:** The Court Business Office is documenting detailed use cases. A requirements management tool is being used to document requirements and for traceability.
			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 AOC enterprise-wide 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 to document refined requirements.

Application	Requirements Management (continued)	Urgency - Not Applicable

Detailed *bluecrane* QA Assessment

Project Planning				Project Execution				Achievement of Expected Results			
Nov 2012	Dec 2012	Jan 2013	Assessment	Nov 2012	Dec 2012	Jan 2013	Assessment	Nov 2012	Dec 2012	Jan 2013	Assessment
No Risk Identified	No Risk Identified	No Risk Identified	**Observation:** The Court Business Office is documenting detailed use cases. A requirements management tool is being used to document requirements and for traceability.	No Risk Identified	No Risk Identified	No Risk Identified		Not Started	Not Started	Not Started	
			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 AOC enterprise-wide 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 to document refined requirements.				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 January.				

Application	Application Interfaces	Urgency - Not Applicable

Summary *bluecrane* QA Assessment

Nov 2012	Dec 2012	Jan 2013	Observations/Risks ---------- Assessment/Recommendation(s)/Status
No Risk Identified	No Risk Identified	No Risk Identified	**Observation:** The INH and COTS-Prep Application projects 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.

Detailed *bluecrane* QA Assessment

Project Planning				Project Execution				Achievement of Expected Results			
Nov 2012	Dec 2012	Jan 2013	Assessment	Nov 2012	Dec 2012	Jan 2013	Assessment	Nov 2012	Dec 2012	Jan 2013	Assessment
No Risk Identified	No Risk Identified	No Risk Identified		No Risk Identified	No Risk Identified	No Risk Identified	**Observation:** The INH and COTS-Prep Application projects 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.	No Risk Identified	No Risk Identified	No Risk Identified	

Data	Data Preparation	Urgency - Not Applicable

Summary *bluecrane* QA Assessment

Nov 2012	Dec 2012	Jan 2013	Observations/Risks ---------- Assessment/Recommendation(s)/Status
No Risk Identified	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.

Detailed *bluecrane* QA Assessment

Project Planning				Project Execution				Achievement of Expected Results			
Nov 2012	Dec 2012	Jan 2013	Assessment	Nov 2012	Dec 2012	Jan 2013	Assessment	Nov 2012	Dec 2012	Jan 2013	Assessment
No Risk Identified	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.	Not Started	Not Started	Not Started		Not Started	Not Started	Not Started	