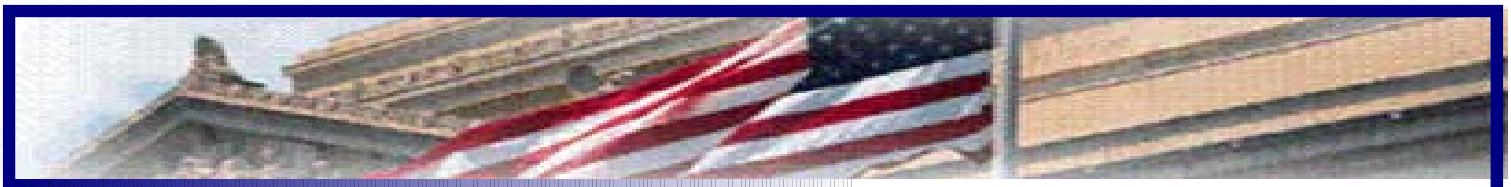

MANAGEMENT CONSULTING
FOR
STATE AND LOCAL
GOVERNMENTS

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

March 31, 2013

Prepared by

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bluecrane ®

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March 31, 2013

Honorable Mary Fairhurst, Justice
Washington Supreme Court

Ms. Callie Dietz
Administrator, Administrative Office of the Courts

Dear Justice Fairhurst and Ms. Dietz:

bluecrane has completed its Quality Assurance Assessment of the SC-CMS Project for the month of March 2013.

This document is structured as follows:

1. Executive Summary and Assessment Dashboard.
2. An explanation of our approach for those readers that have not seen one of our assessments previously.
3. A detailed report of our SC-CMS assessment as of March month-end. Each assessed item in the detailed report begins with a summary table for the reader's quick reference that provides an impact statement, recommendations, and status. The summary table is followed by a more detailed assessment across project planning, project execution, and achievement of expected results.

Please contact me with any questions or comments.

Sincerely,

Allen Mills

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Part 1: Executive Summary and Assessment Dashboard

Executive Summary

This report provides the March 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

The SC-CMS Project Steering Committee selected Tyler Technologies as the Apparently Successful Vendor (ASV) in February and elected to conduct a three-day clarification session with Tyler to further analyze the capabilities of Tyler's Odyssey product in meeting the requirements as specified in the RFP and as stated by the Clerks. The clarification session was conducted in February and addressed over 400 questions posed by the Clerks. The session also addressed questions and clarifications by the Judges and Court Administrators as well. Overall, Tyler was able to demonstrate how most of the SC-CMS requirements would be met through configuration of the base system. The SC-CMS Project Steering Committee reviewed the results of the clarification session in March and made a recommendation to the JISC to enter into contract negotiations with Tyler Technologies. The JISC approved the recommendation on March 22 and contract negotiations were scheduled.

The risk of successful procurement was significantly reduced in March with the recommendation from the SC-CMS Steering Committee to the JISC to enter into negotiations with Tyler Technologies and the subsequent acceptance of the recommendation by the JISC. Negotiations with Tyler will begin in April and will continue through May as previously planned.

bluecrane QA Assessment Dashboard

Area of Assessment	Urgency	Jan 2013	Feb 2013	Mar 2013	Summary Status/Recommendations
Project Management and Sponsorship					
Governance	**N/A**	No Risk Identified	No Risk Identified	No Risk Identified	The SC-CMS Steering Committee made a recommendation to begin negotiations with Tyler Technologies for purchase and implementation of their Odyssey court system. The JISC has approved the recommendation.
Scope	**N/A**	No Risk Identified	No Risk Identified	No Risk Identified	The recommendation from the SC-CMS Steering Committee to the JISC contains provisions for increasing the scope of the project through the addition of functionality including document management, financial management, and e-filing. AOC has planned for resources to implement and support the SC-CMS project based on the scope currently defined in the SC-CMS RFP. Adding the implementation of one or more additional modules may increase the risk of completing the project successfully. It is imperative that the project utilize its previously established change management process to identify and assess the impacts of any proposed change.
Schedule	**N/A**	No Risk Identified	No Risk Identified	No Risk Identified	The SC-CMS procurement is currently on schedule to begin contract negotiations with Tyler Technologies in April per the baselined schedule for procurement milestones. The negotiations are expected to continue through May. At this time, there are no significant tasks behind schedule.
Budget	**N/A**	No Risk Identified	No Risk Identified	No Risk Identified	The cost proposed by Tyler Technologies is approximately $16M more than what was estimated in the SC-CMS Feasibility Study. Four areas accounting for most of the increase are described on page 13 of this report.
Communication	**N/A**	No Risk Identified	No Risk Identified	No Risk Identified	Consistent with the Communications Management Plan, the team is utilizing effective communications to manage project activities and to keep stakeholders updated on project status.

Area of Assessment	Urgency	Jan 2013	Feb 2013	Mar 2013	Summary Status/Recommendations
Staffing and Project Facilities	N/A	No Risk Identified	No Risk Identified	No Risk Identified	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. If the project scope is increased through negotiations with Tyler Technologies, the staffing plan should be re-evaluated to identify any additional resource requirements to support the additional scope.
Change Management	N/A	No Risk Identified	No Risk Identified	No Risk Identified	Adding the implementation of one or more additional Tyler Odyssey modules may increase the risk of completing the project successfully. It is imperative that the project utilize its previously established change management process to identify and assess the impacts of any proposed change.
Risk Management	N/A	No Risk Identified	No Risk Identified	No Risk Identified	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	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	The Quality Management Plan has been presented to the Project Sponsors for review and approval.
People					
Stakeholder Engagement	N/A	No Risk Identified	No Risk Identified	No Risk Identified	Stakeholder engagement and organizational change management activities are underway, including talking points for executives, development of a court readiness assessment, and inquiries to courts regarding interest in participating as “pilots.”
Business Processes/ System Functionality	N/A	No Risk Identified	No Risk Identified	No Risk Identified	In March, the Court User Work Group (CUWG) began reviewing and validating the As-Is business process models. Development and validation of the As-Is business processes are scheduled to be completed prior to execution of the Tyler Technologies contract.

Area of Assessment	Urgency	Jan 2013	Feb 2013	Mar 2013	Summary Status/Recommendations
Vendor Procurement	Very Urgent Consideration	Extreme Risk	Risk Being Addressed	No Risk Identified	The SC-CMS Project Steering Committee selected Tyler Technologies as the Apparently Successful Vendor (ASV) in February and elected to conduct a three-day clarification session with Tyler to further analyze the capabilities of Tyler's Odyssey product in meeting the requirements as specified in the RFP and as stated by the Clerks. The clarification session was conducted in February and addressed over 400 questions posed by the Clerks. The session also addressed questions and clarifications by the Judges and Court Administrators as well. Overall, Tyler was able to demonstrate how most of the SC-CMS requirements would be met through configuration of the base system. The SC-CMS Project Steering Committee reviewed the results of the clarification session in March and made a recommendation to the JISC to enter into contract negotiations with Tyler Technologies. The JISC approved the recommendation on March 22 and contract negotiations were scheduled for April.
Contract Management / Deliverables Management	N/A	No Risk Identified	No Risk Identified	No Risk Identified	Outlines of vendor deliverables are being developed. Planning is underway for contract negotiations.
Application					
Application Architecture	N/A	No Risk Identified	No Risk Identified	No Risk Identified	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	The Court Business Office has loaded the SC-CMS requirements into the Rational Requirements Composer (RRC) requirements management tool that is being used to document requirements and for traceability. The Court Business Office and Court User Workgroup will document Use Cases for the To-Be processes as needed.

Area of Assessment	Urgency	Jan 2013	Feb 2013	Mar 2013	Summary Status/Recommendations
Application Interfaces	N/A	No Risk Identified	No Risk Identified	No Risk Identified	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	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 March 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	**No Risk Identified**
Application	**No Risk Identified**
Data	**No Risk Identified**
Infrastructure	**No Risk Identified**

		Jan 2013	Feb 2013	Mar 2013
Category:	**Project Management and Sponsorship**			
Area of Assessment:	**Governance**	**No Risk Identified**	**No Risk Identified**	**No Risk Identified**
Urgency:	**N/A**			

Observation: The SC-CMS Steering Committee has been given the authority to make decisions regarding the procurement of a COTS system to replace the existing SCOMIS application and to make a recommendation on vendor selection for the COTS system to the Judicial Information Systems Committee (JISC). The SC-CMS Steering Committee made a recommendation to begin negotiations with Tyler Technologies for purchase and implementation of their Odyssey court system. The JISC has approved the recommendation.

The JISC Charter, Steering Committee Charter, Governance Management Plan and Court User Work Group Charter have been approved by the project sponsors and JISC.

		Dec 2012	Jan 2013	Feb 2013
Category:	**Project Management and Sponsorship**			
Area of Assessment:	**Scope**	**No Risk Identified**	**No Risk Identified**	**No Risk Identified**
Urgency:	**N/A**			

Observation: The scope of the SC-CMS project has been established in the SC-CMS RFP requirements for procurement of the COTS system. The recommendation from the SC-CMS Steering Committee to the JISC contains provisions for increasing the scope of the project through the addition of functionality including document management, financial management, and e-filing. AOC has planned for resources to implement and support the SC-CMS project based on the scope currently defined in the SC-CMS RFP. Adding the

implementation of one or more additional modules may increase the risk of completing the project successfully. For example, if financial management were to be added to the project without a subsequent increase in AOC resources to support the implementation, the successful implementation of the entire project could be at risk. In order to identify and assess the impacts of any proposed change in scope and the likely resultant changes to resources, schedule, and budget required to support the change, it is imperative that the project utilize its previously established change management process.

		Dec 2012	Jan 2013	Feb 2013
Category:	**Project Management and Sponsorship**			
Area of Assessment:	**Schedule**	**No Risk Identified**	**No Risk Identified**	**No Risk Identified**
Urgency:	**N/A**			

Observation: The project is utilizing a project schedule to organize, assign, and track project work. The SC-CMS procurement is currently on schedule to begin contract negotiations with Tyler Technologies in April per the baselined schedule for procurement milestones. The negotiations are expected to continue through May. At this time, there are no significant tasks behind schedule.

		Dec 2012	Jan 2013	Feb 2013
Category:	**Project Management and Sponsorship**			
Area of Assessment:	**Budget**	**No Risk Identified**	**No Risk Identified**	**No Risk Identified**
Urgency:	**N/A**			

Observation/Risk: The AOC Management Services Division and the project are utilizing an effective approach to management of cost and budget. The cost proposed by Tyler Technologies is approximately $16M more than what was estimated in the SC-CMS Feasibility Study. However the items in the following list developed by the AOC project team account for most of the increase:

1. The feasibility study considered support and maintenance costs through 2021; the RFP requires those costs through 2023. This accounts for $2.2 million of the cost difference.

2. The RFP includes additional requirements than were used in estimating costs in the feasibility study. The additional requirements include technical requirements that were added and an increased level of support. This accounts for $3.3 million of the cost difference.

3. The vendor proposed a higher cost of maintenance and support. This accounts for over $4.7 million of the cost difference.

4. The vendor personnel hourly rates in the RFP responses were higher than the rates used in the Feasibility Study. This accounts for $4.3 million of the cost difference.

		Dec 2012	Jan 2013	Feb 2013
Category:	**Project Management and Sponsorship**			
Area of Assessment:	**Communication**	**No Risk Identified**	**No Risk Identified**	**No Risk Identified**
Urgency:	**N/A**			

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.

		Dec 2012	Jan 2013	Feb 2013
Category:	**Project Management and Sponsorship**			
Area of Assessment:	**Staffing and Project Facilities**	**No Risk Identified**	**No Risk Identified**	**No Risk Identified**
Urgency:	**N/A**			

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. If the project scope is increased through negotiations with Tyler Technologies, the staffing plan should be re-evaluated to identify any additional resource requirements to support the additional scope.

		Dec 2012	Jan 2013	Feb 2013
Category:	**Project Management and Sponsorship**			
Area of Assessment:	**Change Management**	**No Risk Identified**	**No Risk Identified**	**No Risk Identified**
Urgency:	**N/A**			

Observation: Consistent with the Change Management Plan, the project is utilizing the change management process to manage changes to scope, schedule, and budget.

		Dec 2012	Jan 2013	Feb 2013
Category:	Project Management and Sponsorship	No Risk Identified	No Risk Identified	No Risk Identified
Area of Assessment:	Risk Management			
Urgency:	N/A			

Observation: Consistent with the Risk Management Plan, the project is identifying and managing risks consistent with the Risk Management Plan.

		Dec 2012	Jan 2013	Feb 2013
Category:	Project Management and Sponsorship	No Risk Identified	No Risk Identified	No Risk Identified
Area of Assessment:	Issue Management			
Urgency:	N/A			

Observation: Consistent with the Issue Management Plan, the project team is identifying and tracking issues.

		Dec 2012	Jan 2013	Feb 2013
Category:	Project Management and Sponsorship	No Risk Identified	No Risk Identified	No Risk Identified
Area of Assessment:	Quality Management			
Urgency:	N/A			

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.

		Dec 2012	Jan 2013	Feb 2013
Category:	**People**			
Area of Assessment:	**Stakeholder Engagement**	**No Risk Identified**	**No Risk Identified**	**No Risk Identified**
Urgency:	**N/A**			

Observation: Stakeholder engagement and organizational change management activities are underway, including talking points for executives, development of a court readiness assessment, and inquiries to courts regarding interest in participating as “pilots.”

		Dec 2012	Jan 2013	Feb 2013
Category:	**People**			
Area of Assessment:	**Business Processes / System Functionality**	**No Risk Identified**	**No Risk Identified**	**No Risk Identified**
Urgency:	**N/A**			

Observation: In 2012 and early 2013, the Court Business Office (CBO) performed analysis and validation of the existing court business processes and began developing As-Is process models. In March, the Court User Work Group (CUWG) began reviewing and validating the As-Is business process models. Development and validation of the As-Is business processes are scheduled to be completed prior to execution of the Tyler Technologies contract.

		Dec 2012	Jan 2013	Feb 2013
Category:	**People**	**Extreme Risk**	**Risk Being Addressed**	**No Risk Identified**
Area of Assessment:	**Vendor Procurement**			
Urgency:	**Very Urgent Consideration**			

Observation: The SC-CMS Project Steering Committee selected Tyler Technologies as the Apparently Successful Vendor (ASV) in February and elected to conduct a three-day clarification session with Tyler to further analyze the capabilities of Tyler's Odyssey product in meeting the requirements as specified in the RFP and as stated by the Clerks. The clarification session was conducted in February and addressed over 400 questions posed by the Clerks. The session also addressed questions and clarifications by the Judges and Court Administrators as well. Overall, Tyler was able to demonstrate how most of the SC-CMS requirements would be met through configuration of the base system. The SC-CMS Project Steering Committee reviewed the results of the clarification session in March and made a recommendation to the JISC to enter into contract negotiations with Tyler Technologies. The JISC approved the recommendation on March 22 and contract negotiations were scheduled.

Status: The risk of successful procurement was significantly reduced in March with the recommendation from the SC-CMS Steering Committee to the JISC to enter into negotiations with Tyler Technologies and the subsequent acceptance of the recommendation by the JISC. Negotiations with Tyler will begin in April and will continue through May as previously planned.

		Dec 2012	Jan 2013	Feb 2013
Category:	People	No Risk Identified	No Risk Identified	No Risk Identified
Area of Assessment:	Contract Management / Deliverables Management			
Urgency:	N/A			

Observation/Risk: Outlines of vendor deliverables are being developed. Planning is underway for contract negotiations.

		Dec 2012	Jan 2013	Feb 2013
Category:	Application	No Risk Identified	No Risk Identified	No Risk Identified
Area of Assessment:	Application Architecture			
Urgency:	N/A			

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.

		Dec 2012	Jan 2013	Feb 2013
Category:	**Application**			
Area of Assessment:	**Requirements Management**	**No Risk Identified**	**No Risk Identified**	**No Risk Identified**
Urgency:	**N/A**			

Observation: The Court Business Office has loaded the SC-CMS requirements into the Rational Requirements Composer (RRC) requirements management tool that is being used to document requirements and for traceability. The Court Business Office and Court User Workgroup will document Use Cases for the To-Be processes as needed.

		Dec 2012	Jan 2013	Feb 2013
Category:	**Application**			
Area of Assessment:	**Application Interfaces**	**No Risk Identified**	**No Risk Identified**	**No Risk Identified**
Urgency:	**N/A**			

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.

		Dec 2012	Jan 2013	Feb 2013
Category:	**Data**			
Area of Assessment:	**Data Preparation**	**No Risk Identified**	**No Risk Identified**	**No Risk Identified**
Urgency:	**N/A**			

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.