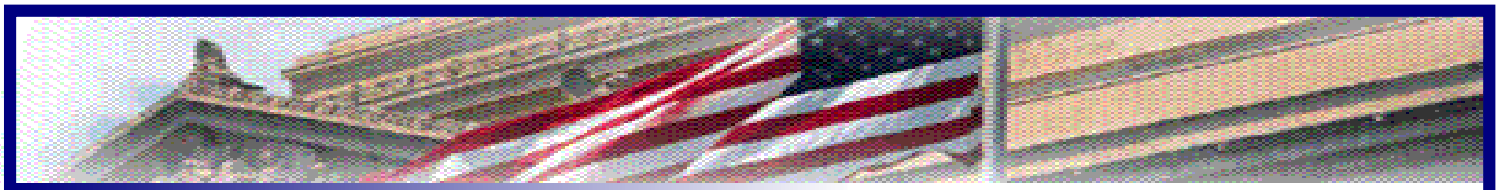

MANAGEMENT CONSULTING

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, 2013

Prepared by

Bluecrane, Inc.

bluecrane ®

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Part 1: Executive Summary and Assessment Dashboard

Executive Summary

This report provides the November 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

We continue to identify three critical risks that rise to a level of concern noteworthy of tracking in our monthly report to the project Executive Sponsors. As we've noted before, these risks require immediate attention because they have the potential to impact the SC-CMS Project in terms of cost, scope, and/or timeline. These risks are:

- **A budget risk** regarding the level of AOC funding support for local preparation and implementation costs. If a decision is made to fund the local costs at a level that exceeds the $1.9M currently allocated to local implementation, additional funding will have to be acquired from elsewhere such as reduction of SC-CMS scope, additional appropriation from the legislature, or reduction of funding for other AOC projects.
- **An application architecture risk** with the design of document management. If clerks do not use Odyssey to store copies of documents, then some document management functionality may not be available in Odyssey including statewide viewing of documents. In mid-November, a meeting was held at SeaTac with representatives from the judges, clerks, and administrative associations present. Although there were further discussions on the advantages and disadvantages of various options, an agreement on direction was not reached. Further discussions are planned for January.
- **County ancillary systems that duplicate the functionality of Odyssey.** This risk was discussed at the Judicial Information Systems Committee (JISC) meeting on October 25. Counties purchase of products that provide the same functionality as Odyssey components duplicate functionality and costs and needs to be addressed by AOC, and potentially, the JISC. As with the previous risk noted above, having a policy and approach in place sooner (now) rather than later *reduces the uncertainty* of an approach that essentially says "we'll worry about this when it becomes an issue."

bluecrane QA Assessment Dashboard

Area of Assessment	Urgency	Sept 2013	Oct 2013	Nov 2013	Summary Status/Recommendations
Project Management and Sponsorship					
Governance	**Urgent Consideration**	Risk	Risk	Risk	Currently, AOC does not have a policy regarding the support of county ancillary systems that duplicate the functionality of AOC systems that are in the process of being implemented. This risk was discussed at the Judicial Information Systems Committee (JISC) meeting on October 25. Counties purchase of products that provide the same functionality as Odyssey components duplicate functionality and costs. This is a risk that should be addressed by AOC, and potentially, the JISC. If counties or courts continue to implement custom-developed or purchased systems that have overlapping functionality with SC-CMS, then the scope, complexity, and cost of SC-CMS will almost certainly increase, adding risk to the project. Counties would bear not only the one-time implementation costs of the one-off, stand-alone software, but would have on-going maintenance costs for the software as well. Likewise, AOC would incur on-going maintenance costs for custom interfaces if one-off, stand-alone systems are implemented. Failure to mitigate this risk now with a defined policy and approach fosters a continuing high degree of uncertainty. AOC and the JISC are considering the adoption of an ancillary system policy that would provide guidance to counties on the implementation of software that provides overlapping functionality.

Area of Assessment	Urgency	Sept 2013	Oct 2013	Nov 2013	Summary Status/Recommendations
Scope	Urgent Consideration	Risk	Risk	Risk	The risk of duplicated functionality (and associated costs) discussed above under Governance, has ramifications related to Scope as well. Replacement of ancillary systems with SC-CMS functionality is an important aspect of the SC-CMS implementation in order to realize cost savings and improved reliability inherent in an integrated system. If counties implement custom-developed or purchased systems that have overlapping functionality with SC-CMS, then the scope, complexity, and cost of SC-CMS will almost certainly increase, adding risk to the project.
Schedule	N/A	No Risk Identified	No Risk Identified	No Risk Identified	The SC-CMS deputy project manager is working with Tyler and SC-CMS project leads to develop an integrated project schedule that will be used to manage high level milestones and near term project activities. Integration fit/gap sessions were conducted on schedule in November. Initial conversion extracts and hardware installation were completed ahead of schedule.
Budget	Urgent Consideration	No Risk Identified	Risk	Risk	Discussions are underway to determine the level of AOC support for local preparation and implementation costs. A list of potential categories of costs has been developed. The SC-CMS Feasibility Study estimated the costs for local preparation and implementation costs to be approximately $1.9 million dollars, and this amount of funding has been allocated to the project budget over the implementation timeframe. Estimating local implementation costs is difficult because of varying county needs. Although it is reasonable for counties to receive some assistance in implementation costs, it is also reasonable that counties would incur some of the preparation and implementation costs based on the benefit that they will derive from the implementation since the software license fees and overall implementation costs for the statewide system are being waived for all counties.

Area of Assessment	Urgency	Sept 2013	Oct 2013	Nov 2013	Summary Status/Recommendations
					If a decision is made to fund the local costs that exceed the $1.9 million currently allocated for local implementation, then additional funding will have to be transferred from elsewhere, such as reduction of SC-CMS scope, additional appropriation from the legislature, or reduction of funding for other AOC projects. The alternatives for resolving this issue should be documented with an analysis of advantages and disadvantages, impacts, and costs from both a local and statewide perspective.
Communication	**N/A**	No Risk Identified	No Risk Identified	No Risk Identified	Although there are multiple approaches to communicating project status and organizational change management information, it would be advisable for the project to conduct periodic surveys to determine the effectiveness of the various forms of communication being utilized. Effectiveness could be measured by gauging the project-related knowledge of internal and external stakeholders at all levels. Based on the results of surveys, approaches to project communications can be revised. Some approaches may be eliminated if they are found to be ineffective, or supplemental communications may be necessary to augment the current forms of communications.

Area of Assessment	Urgency	Sept 2013	Oct 2013	Nov 2013	Summary Status/Recommendations
Staffing and Project Facilities	N/A	No Risk Identified	No Risk Identified	No Risk Identified	The staffing plan is being re-evaluated to identify any additional resource requirements due to the increase in project scope through the addition of the Odyssey document management, financial management, and e-filing modules. This will impact not only AOC resources but also will require the involvement of court staff during all phases of implementation. Detailed requirements for these modules will have to be developed and vetted, design and configuration deliverables will have to be reviewed, and the modules will have to be tested. Identification and commitment of subject matter experts (SMEs) from AOC staff, court clerks, judges, and administrators should begin well before the requirements validation and system configuration session that will start soon now that contract negotiations are complete and will last three to four months. Participation in the configuration, design, and user acceptance testing activities by business area representatives with substantial knowledge of their business processes will be critical to the success of the project.
Change Management	N/A	No Risk Identified	No Risk Identified	No Risk Identified	With the execution of the Tyler contract, the scope and budget have been baselined. All changes to scope or budget will be processed through the change management process.
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.
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.

Area of Assessment	Urgency	Sept 2013	Oct 2013	Nov 2013	Summary Status/Recommendations
Quality Management	N/A	No Risk Identified	No Risk Identified	No Risk Identified	The project team has developed a Quality Management Plan.
People					
Stakeholder Engagement	N/A	No Risk Identified	No Risk Identified	No Risk Identified	Stakeholder engagement and organizational change management activities are underway. Thurston and Lewis counties have been selected to participate in the project as “pilot sites”. The solicitation for “early adopters” was sent to counties in November. Counties selected as an “early adopter” will implement the solution after the pilot counties have been implemented.
Business Processes/ System Functionality	N/A	No Risk Identified	No Risk Identified	No Risk Identified	Current state business process flows have been developed and reviewed by the CUWG. The business processes were utilized in the fit/gap sessions to identify how Washington courts processes will be supported by Odyssey.
Vendor Procurement	N/A	No Risk Identified	No Risk Identified	No Risk Identified	The SC-CMS Project Steering Committee contract with Tyler Technologies was executed in July, 2013. No other vendor procurements are planned at this time.
Contract Management / Deliverables Management	N/A	No Risk Identified	No Risk Identified	No Risk Identified	The list and schedule of vendor deliverables are confirmed in the executed contract with Tyler. Management of the contract began in September and continued in October.

Area of Assessment	Urgency	Sept 2013	Oct 2013	Nov 2013	Summary Status/Recommendations
Application					
Application Architecture	**Urgent Consideration**	No Risk Identified	Risk	Risk	In September, we noted an application architecture risk with the design of document management. If clerks do not use Odyssey to store copies of documents, then some document management functionality may not be available in Odyssey including statewide viewing of documents. Additionally, counties will have to pay license, implementation, and infrastructure costs for the local implementation of their document management system. Last month at the October 25 JISC meeting, we reiterated our view of this risk and the uncertainties that it perpetuates in terms of costs, scope, and timeline for the SC-CMS Project. In mid-November, a meeting was held at SeaTac with representatives from the judges, clerks, and administrative associations present. Although there were further discussions on the advantages and disadvantages of various options, an agreement on direction was not reached. Discussion will continue in a subsequent meeting in January. The alternatives for mitigating this risk should be documented with an analysis of advantages and disadvantages, impacts, and costs from both a local and statewide perspective. This analysis should be used in subsequent discussions of the risk. Once a decision has been reached on the selected alternative, the decision should be documented, along with the reasoning upon which the decision was based.
Requirements Management	**N/A**	No Risk Identified	No Risk Identified	No Risk Identified	The project's business analysts have 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 CBO and CUWG will document Use Cases for the To-Be

Area of Assessment	Urgency	Sept 2013	Oct 2013	Nov 2013	Summary Status/Recommendations
					processes as needed.
Application Interfaces	**N/A**	No Risk Identified	No Risk Identified	No Risk Identified	For over a year now, the Internetworking Hub (INH) and COTS-Prep Application projects have been defining and preparing AOC interfaces using the SC-CMS information that was available prior to and in the SC-CMS request for proposal (RFP). Now that the Odyssey implementation is underway, further definition of the interfaces will be started. A discussion on the assignment of the work to build the SC-CMS translation component began in October. Decisions were made in October that (1) the translations between the National Information Exchange Model (NIEM) and SC-CMS will be the responsibility of Tyler and (2) the design, development, and implementation of Odyssey-side client interfaces with INH will be the responsibility of Tyler.
Data					
Data Preparation	**N/A**	No Risk Identified	No Risk Identified	No Risk Identified	The AOC 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. The project has hired a System Support Technician who will help prepare and extract SCOMIS data for each superior court and county clerk office in the format that Tyler can import into Odyssey.

Area of Assessment	Urgency	Sept 2013	Oct 2013	Nov 2013	Summary Status/Recommendations
Infrastructure					
Statewide Infrastructure	**N/A**	No Risk Identified	No Risk Identified	No Risk Identified	The statewide server infrastructure was installed in the AOC data center in November, ahead of schedule.
Local Infrastructure	**N/A**	Not Started	Not Started	Not Started	This activity has not yet started.

Part 2: Review of *bluecrane* Approach

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

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

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

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

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

  - Business Processes/System Functionality
  - Vendor Procurement
  - Contract Management/Deliverables Management
  - Training and Training Facilities
  - Local Court Preparation
  - User Support
- ***Application***
  - Application Architecture
  - Requirements Management
  - Implementation
  - Application Interfaces
  - Application Infrastructure
  - Reporting
  - Testing
  - Tools
- ***Data***
  - Data Preparation
  - Data Conversion
  - Data Security
- ***Infrastructure***
  - Statewide Infrastructure
  - Local 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 Configuration of the System
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 November 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	Risk
People	No Risk Identified
Application	Risk
Data	No Risk Identified
Infrastructure	No Risk Identified

		Sept 2013	Oct 2013	Nov 2013
Category:	**Project Management and Sponsorship**			
Area of Assessment:	**Governance**	**Risk**	**Risk**	**Risk**
Urgency:	**Urgent Consideration**			

Observation/Risk: Currently, AOC does not have a policy regarding the support of county ancillary systems that duplicate the functionality of AOC systems that are in the process of being implemented. This risk was discussed at the Judicial Information Systems Committee (JISC) meeting on October 25. Counties purchase of products that provide the same functionality as Odyssey components duplicate functionality and costs. This is a risk that should be addressed by AOC, and potentially, the JISC.

Risk/Impact: If counties or courts continue to implement custom-developed or purchased systems that have overlapping functionality with SC-CMS, then the scope, complexity, and cost of SC-CMS will almost certainly increase, adding risk to the project. Counties would bear not only the one-time implementation costs of the one-off, stand-alone software, but would have on-going maintenance costs for the software as well. Likewise, AOC would incur on-going maintenance costs for custom interfaces if one-off, stand-alone systems are implemented. Failure to mitigate this risk now with a defined policy and approach fosters a continuing high degree of uncertainty.

Recommendation: AOC and/or the JISC should adopt a policy regarding the implementation of ancillary systems by counties that provide duplicative functionality of systems being implemented by AOC. Existing policies should be reviewed to see if modification of a current policy would provide the necessary guidance for counties. If an existing policy cannot be modified, then a new policy should be adopted to outline the AOC support guidelines for county systems.

Status: AOC and/or the JISC are considering the adoption of an ancillary system policy that will provide guidance to counties on the implementation of software that provides overlapping functionality.

		Sept 2013	Oct 2013	Nov 2013
Category:	**Project Management and Sponsorship**			
Area of Assessment:	**Scope**	**Risk**	**Risk**	**Risk**
Urgency:	**Urgent Consideration**			

Observation/Risk 1: The scope of the SC-CMS project is established in the SC-CMS RFP requirements and deliverables as established by the SC-CMS contract with Tyler Technologies. The risk of duplicated functionality (and associated costs) discussed above under Governance has ramifications related to Scope as well.

Risk/Impact: Over time, several Washington counties have implemented ancillary systems to supplement the lack of functionality in the legacy systems that SC-CMS will replace. Replacement of these ancillary systems with SC-CMS functionality is an important aspect of the SC-CMS implementation in order to realize cost savings and improved reliability inherent in an integrated system. If counties continue to implement custom-developed or purchased systems that have overlapping functionality with SC-CMS, then the scope, complexity, and cost of SC-CMS will almost certainly increase, adding risk to the project. Counties will bear not only the one-time implementation costs of the one-off, stand-alone software, but will have on-going maintenance costs for the software. Likewise, AOC will incur on-going maintenance costs for custom interfaces if one-off, stand-alone systems are implemented.

Recommendation: AOC should work with counties to help them understand the capabilities of Odyssey components, including SessionWorks Judges Edition and the functionality, integration, and cost advantages of using Odyssey components.

Status: AOC and/or the JISC are considering the adoption of an ancillary system policy that would provide guidance to counties on the implementation of software that provides overlapping functionality. In October, the AOC CIO and SC-CMS Project Manager attended the Association of City and County CIOs Conference to give an overview of the scope and status of the SC-CMS implementation. Overall, the SC-CMS information provided was well received by those in attendance.

Observation 2: Project scope was increased during contract negotiations with the inclusion of Odyssey document management, financial management, and e-filing modules in the SC-CMS implementation. AOC had planned for resources to implement and support the SC-CMS project based on the scope currently defined in the SC-CMS RFP. These additional modules will increase the resources required to complete the project successfully. The planning for resources to support the additional scope is underway. (See Staffing and Project Facilities below.)

		Sept 2013	Oct 2013	Nov 2013
Category:	**Project Management and Sponsorship**			
Area of Assessment:	**Schedule**	**No Risk Identified**	**No Risk Identified**	**No Risk Identified**
Urgency:	**N/A**			

Observation: The SC-CMS deputy project manager is working with Tyler and SC-CMS project leads to develop an integrated project schedule that will be used to manage high-level milestones and near-term project activities. Integration fit/gap sessions were conducted on schedule in November.

		Sept 2013	Oct 2013	Nov 2013
Category:	**Project Management and Sponsorship**			
Area of Assessment:	**Budget**	**Risk**	**Risk**	**Risk**
Urgency:	**Urgent Consideration**			

Observation/Risk: Discussions are underway to determine the level of AOC support for local preparation and implementation costs. A list of potential categories of costs has been developed. The SC-CMS Feasibility Study estimated the costs for local preparation and implementation costs to be approximately $1.9 million dollars, and this amount of funding has been allocated to the project budget over the implementation timeframe. Estimating local implementation costs is difficult because of varying county needs. Although it is reasonable for counties to receive some assistance in implementation costs, it is also reasonable that counties would incur some of the preparation and implementation costs based on the benefit that they will derive from the implementation since the software license fees and overall implementation costs for the statewide system are being waived for all counties.

Impact: If a decision is made to fund the local costs that exceed the $1.9 million currently allocated for local implementation, then additional funding will have to be transferred from elsewhere such as reduction of SC-CMS scope, additional appropriation from the legislature, or reduction of funding for other AOC projects.

Recommendation: The alternatives for resolving this issue should be documented with an analysis of advantages and disadvantages, impacts, and costs from both a local and statewide perspective. This analysis should include the likelihood of each alternative being implemented. For example, although reduction of SC-CMS may be an alternative, the likelihood of being able to reduce scope may be low. These alternatives should be processed through the SC-CMS governance process to obtain a decision. It is important to adopt an approach soon in order to reduce the uncertainty to future costs (and likely ripple effects to SC-CMS scope and timeline) that not addressing this risk perpetuates.

Status: This risk was discussed at the October 25 JISC meeting. The project is accumulating information from counties on projected local costs, and a meeting has been scheduled in early December for Project Steering Committee members to define cost categories and criteria.

		Sept 2013	Oct 2013	Nov 2013
Category:	**Project Management and Sponsorship**	**No Risk Identified**	**No Risk Identified**	**No Risk Identified**
Area of Assessment:	**Project Communications**			
Urgency:	**N/A**			

Observation: The project utilizes several approaches to communicate information to project stakeholders. Project status is communicated to AOC management, project team members, and other AOC stakeholders in multiple weekly meetings. Project Steering Committee Meetings are conducted weekly. Information is provided to representatives of the Judges, Clerks, and Administrators associations who pass information to the association members through their normal communication paths.

Status: The SC-CMS project publishes a monthly internal status report, and Tyler provides a monthly status report as well.

Recommendation: Although there are multiple approaches to communicating project status and organizational change management information, it would be advisable for the project to conduct periodic surveys to determine the effectiveness of the various forms of communication being utilized. Effectiveness could be measured by gauging the project-related knowledge of internal and external stakeholders at all levels. Based on the results of surveys, approaches to project communications can be revised. Some approaches may be eliminated if they are found to be ineffective, or supplemental communications may be necessary to augment the current forms of communications.

		Sept 2013	Oct 2013	Nov 2013
Category:	**Project Management and Sponsorship**	**No Risk Identified**	**No Risk Identified**	**No Risk Identified**
Area of Assessment:	**Staffing and Project Facilities**			
Urgency:	**N/A**			

Observation: The staffing plan is being re-evaluated to identify any additional resource requirements due to the increase in project scope through the addition of the Odyssey document management, financial management, and e-filing modules. This will impact not only AOC resources but also will require the involvement of court staff during all phases of implementation. Detailed requirements for these modules will have to be developed and vetted, design and configuration deliverables will have to be reviewed, and the modules will have to be tested.

Identification and commitment of subject matter experts (SMEs) from AOC staff, court clerks, judges, and administrators should begin well before the requirements validation and system configuration session that will start soon now that contract negotiations are complete and will last three to four months. Participation in the configuration, design, and user acceptance testing activities by business area representatives with substantial knowledge of their business processes will be critical to the success of the project. Often the staff with the best knowledge of business processes are also needed to keep the business processes running effectively, and the level of service provided by the business can be degraded if resources are pulled away to perform project work. It may be necessary to provide additional temporary resources to backfill staff utilized for project activities. It may also be necessary for the business to delay work, reduce the level of services, or fill the resource gap with overtime in order to provide the necessary project resources. Management will need to consider and evaluate the impact of resource constraints on operations and project activities, and the risk of implementing a system that does not meet the business needs of the organizations involved (due to overly constrained resources during configuration and implementation). Expectations should be set with management and staff in the business areas and with their customers about the potential impact to business operations by the reallocation of resources during the project timeframe.

Status: Planning for implementation resources is being performed by SC-CMS project team members in conjunction with Tyler team members. The Tyler team has gathered information that will be used to outline the AOC and pilot court resource requirements for the next six months. This information will be used to update the Staffing Plan and project schedule. Resource requests for Information System Division resources will be identified using the Clarity system. AOC business staff and pilot courts will be notified of their expected levels of participation as well.

		Sept 2013	Oct 2013	Nov 2013
Category:	**Project Management and Sponsorship**	**No Risk Identified**	**No Risk Identified**	**No Risk Identified**
Area of Assessment:	**Change Management**			
Urgency:	**N/A**			

Observation: With the execution of the Tyler contract, the scope and budget have been baselined. All changes to scope or budget will be processed through the change management process.

		Sept 2013	Oct 2013	Nov 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.

		Sept 2013	Oct 2013	Nov 2013
Category:	**Project Management and Sponsorship**			
Area of Assessment:	**Issue Management**	**No Risk Identified**	**No Risk Identified**	**No Risk Identified**
Urgency:	**N/A**			

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

		Sept 2013	Oct 2013	Nov 2013
Category:	**Project Management and Sponsorship**			
Area of Assessment:	**Quality Management**	**No Risk Identified**	**No Risk Identified**	**No Risk Identified**
Urgency:	**N/A**			

Observation: The project team has developed a Quality Management Plan.

		Sept 2013	Oct 2013	Nov 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. Thurston and Lewis counties have been selected to participate in the project as “pilot sites”. The solicitation for “early adopters” was sent to counties in November. Counties selected as an “early adopter” will implement the solution after the pilot counties have been implemented.

		Sept 2013	Oct 2013	Nov 2013
Category:	**People**	**No Risk Identified**	**No Risk Identified**	**No Risk Identified**
Area of Assessment:	**Business Processes / System Functionality**			
Urgency:	**N/A**			

Observation: Current state business process flows have been developed and reviewed by the CUWG. The business processes were utilized in the fit/gap sessions to identify how Washington courts processes will be supported by Odyssey.

		Sept 2013	Oct 2013	Nov 2013
Category:	**People**	**No Risk Identified**	**No Risk Identified**	**No Risk Identified**
Area of Assessment:	**Vendor Procurement**			
Urgency:	**N/A**			

Observation: The SC-CMS contract with Tyler Technologies was executed in July, 2013. No other vendor procurements are planned at this time.

		Sept 2013	Oct 2013	Nov 2013
Category:	**People**	**No Risk Identified**	**No Risk Identified**	**No Risk Identified**
Area of Assessment:	**Contract Management / Deliverables Management**			
Urgency:	**N/A**			

Observation/Risk: The list and schedule of vendor deliverables are confirmed in the executed contract with Tyler. Management of the contract began in September and continued in October.

		Sept 2013	Oct 2013	Nov 2013
Category:	**Application**			
Area of Assessment:	**Application Architecture**	**Risk**	**Risk**	**Risk**
Urgency:	**Urgent Consideration**			

Observation/Risk: In September, we noted an application architecture risk with the design of document management. Last month at the October 25 JISC meeting, we reiterated our view of this risk and the uncertainties that it perpetuates in terms of costs, scope, and timeline for the SC-CMS Project. A few days later, a letter from the Washington State Association of County Clerks (WSACC) dated October 28, 2013 stated that "Clerks collectively decided to continue storing records locally in order to preserve local custody and control of the records". In discussing the WSACC letter at an SC-CMS Project Steering Committee meeting on October 29, county clerk members of the Steering Committee stated that each county clerk remains free to exercise his or her independent judgment about whether to use the integrated Tyler document management solution that the state is offering through the SC-CMS Project.

Impact: If clerks do not use Odyssey to store copies of documents, then some document management functionality may not be available in Odyssey and counties will have to pay license, implementation, and infrastructure costs for the local implementation of their document management system. Additionally, counties have the option of using a local document management server or centralized document management server for storage of their documents. Only documents stored in the centralized Odyssey server will be available for viewing in other counties unless an alternative approach is architected, scoped, priced, and adopted.

Status: In mid-November, a meeting was held at SeaTac with representatives from the judges, clerks, and administrative associations present. Although there were further discussions on the advantages and disadvantages of various options, an agreement as to the direction of the project was not reached. Discussion will continue in a subsequent meeting in January.

While unanswered questions (and therefore, a lingering degree of uncertainty) remain, we view the on-going, open discussions on mitigating this risk as positive. It is our understanding that Tyler is currently working on providing the AOC CIO with a document that details Tyler's ability to create an interface with each of the known third-party document management systems currently in use throughout the state (Liberty, Laserfiche, On-Base, Highview, and AX) and the impacts to the SC-CMS Project of accommodating all of these solutions with the multiple interfaces that will be required.

Recommendation: The alternatives for mitigating this risk should be documented with an analysis of advantages and disadvantages, impacts, and costs from both a local and statewide perspective. This analysis should be used in subsequent discussions of the risk. Once a decision has been reached on the selected alternative, the decision should be documented along with the reasoning upon which the decision was based.

		Sept 2013	Oct 2013	Nov 2013
Category:	**Application**	**No Risk Identified**	**No Risk Identified**	**No Risk Identified**
Area of Assessment:	**Requirements Management**			
Urgency:	**N/A**			

Observation: The project's business analysts have 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 CBO and CUWG will document Use Cases for the To-Be processes as needed.

		Sept 2013	Oct 2013	Nov 2013
Category:	**Application**	**No Risk Identified**	**No Risk Identified**	**No Risk Identified**
Area of Assessment:	**Application Interfaces**			
Urgency:	**N/A**			

Observation: For over a year, the Internetworking Hub (INH) and COTS-Prep Application projects have been defining and preparing AOC interfaces using the SC-CMS information available that was available prior to and in the SC-CMS request for proposal (RFP). Now that the Odyssey implementation is underway, further definition of the interfaces will be started. The interface work began with a series of integration sessions in November that identified and documented the details of the work necessary to integrate Odyssey with the state systems at AOC and local systems in each of the counties. A collection of translation messages will be constructed to bridge the AOC INH to Odyssey.

A discussion on the assignment of the work to build the SC-CMS translation component began in October. Four alternatives are being considered:

1. AOC resources will build the translation.
2. AOC will hire a vendor to build the translation.
3. Tyler resources will build the translation.
4. A combination of AOC and Tyler resources will build the translation.

There are both short-term and long-term considerations to making the resource allocation decision. Short-term considerations include the impact to schedule, funding, and quality. Use of vendor resources with no knowledge of INH or Odyssey interfaces may impact the SC-CMS schedule and may result in lower quality of the translation component. AOC resources or vendor funding applied to the translation development will reduce resources available for other areas of the SC-CMS project and other AOC projects. Similarly, development hours originally assigned to translation development can be redirected to other areas if AOC or contracted vendor resources are available to do the work. Use of AOC resources to maintain the interfaces may result in lower long-term costs.

Status: The alternatives for resolving this issue were documented with an analysis of advantages and disadvantages, impacts, and costs from both a short-term and long-term perspective. In October, these alternatives were processed through the SC-CMS governance process and decisions were documented. In summary, the decisions were (1) that the translations between the National Information Exchange Model (NIEM) and SC-CMS will be the responsibility of Tyler and (2) that the design, development and implementation of Odyssey-side client interfaces with INH will be the responsibility of Tyler.

		Sept 2013	Oct 2013	Nov 2013
Category:	**Data**			
Area of Assessment:	**Data Preparation**	**No Risk Identified**	**No Risk Identified**	**No Risk Identified**
Urgency:	**N/A**			

Observation: The AOC 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.

The project has hired a System Support Technician who will help prepare and extract SCOMIS data for each superior court and county clerk office in the format that Tyler can import into Odyssey.

		Sept 2013	Oct 2013	Nov 2013
Category:	**Data**			
Area of Assessment:	**Data Conversion**	**No Risk Identified**	**No Risk Identified**	**No Risk Identified**
Urgency:	**N/A**			

Observation: The first conversion extract of data from SCOMIS was executed ahead of schedule in November. Subsequent data extracts have been planned.

		Sept 2013	Oct 2013	Nov 2013
Category:	**Infrastructure**	**No Risk Identified**	**No Risk Identified**	**No Risk Identified**
Area of Assessment:	**Statewide Infrastructure**			
Urgency:	**N/A**			

Observation: The statewide sever infrastructure was installed in the AOC data center in November ahead of schedule.

		Sept 2013	Oct 2013	Nov 2013
Category:	**Infrastructure**	**Not Started**	**Not Started**	**Not Started**
Area of Assessment:	**Local Infrastructure**			
Urgency:	**N/A**			

Observation: This activity has not yet started.