bluecrane

MANAGEMENT CONSULTING FOR STATE AND LOCAL GOVERNMENTS

EXECUTIVE ADVISEMENT

QUALITY ASSURANCE

PROJECT OVERSIGHT

PROJECT MANAGEMENT

INDEPENDENT VERIFICATION AND VALIDATION (IV&V)

RISK REDUCTION

Quality Assurance Report

for the

State of Washington

Administrative Office of the Courts (AOC)

SC-CMS Project

January 31, 2015

Prepared by
Bluecrane, Inc.

bluecrane ®

Table of Contents

Part 1: Executive Summary and Assessment Dashboard 1

Part 2: *bluecrane* Detailed Assessment Report for January 2015..... 4

Part 3: Review of *bluecrane* Approach 18

Part 1: Executive Summary and Assessment Dashboard

Executive Summary

This report provides the January 2015 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.

Schedule Risks Related to Integrations Work

As noted in our previous report, although there continues to be some uncertainty with respect to the estimation of the work required to complete integrations between Odyssey and other AOC systems, the project has made good progress in many areas including business processes, conversion, outreach to pilot and early adopter counties, and preparation and planning for Pilot Go-Live.

We continue to note the schedule risk related to completion of the integrations between Odyssey and other AOC systems. Work began in January to develop a high level summary schedule that will be used to track project activities in all related areas of the project. Additionally, work began on the decomposition of party integration activities.

Risk of Data Center Move *If Done during the SC-CMS Implementation*

We learned in December that AOC has been asked to assess the viability of migrating server and network equipment currently residing in the AOC data center to the state Consolidated Technology Services (CTS) data center as part of the state data center consolidation initiative. The initiation of a project to migrate the AOC data center to the state data center *during the SC-CMS implementation* would create a significant risk to the success of the SC-CMS project. The SC-CMS project has very high visibility to the judicial, legislative, and executive branches of the state government. All unnecessary risks to the on-time completion of the SC-SCM project should be avoided to ensure the successful implementation of the new court system.

Executive Dashboard – Risks At-a-Glance

Category	Area of Assessment	Urgency	Noteworthy Risks/Comments
Extreme Risks			
(No Extreme Risks to Report)			
Noteworthy Risks			
Infrastructure	Statewide Infrastructure	Serious Consideration	• AOC has been requested to assess the viability of migrating server and network equipment currently residing in the AOC data center to the state data center as part of the state data center consolidation initiative. The initiation of a project to migrate the AOC data center to the state data center *during the SC-CMS implementation* would create a significant risk to the success of the SC-CMS project.
Risks Being Addressed			
Project Management and Sponsorship	Schedule	Urgent Consideration	• Although efforts to identify and estimate the work required to complete the integration of Odyssey with other AOC systems continued in January, there continues to be uncertainty in the effort and duration of activities.

Category	Area of Assessment	Urgency	Noteworthy Risks/Comments
Risks Being Addressed (continued)			
Application	Application Interfaces	Urgent Consideration	• Although additional technical and testing resources have been allocated to the integration activities, there continues to be uncertainty in the effort and duration of activities.

Part 2: *bluecrane* Detailed Assessment Report for January 2015

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 Being Addressed**
People	**No Risk Identified**
Application	**Risk Being Addressed**
Data	**No Risk Identified**
Infrastructure	**Risk**

		Nov 2014	Dec 2014	Jan 2015
Category:	**Project Management and Sponsorship**	**No Risk Identified**	**No Risk Identified**	**No Risk Identified**
Area of Assessment:	**Governance**			
Urgency:	**N/A**			

Observation: Governance is defined in the Project Charter and is being executed effectively by the Project Leadership, Executive Sponsors, Steering Committee, and JISC.

		Nov 2014	Dec 2014	Jan 2015
Category:	**Project Management and Sponsorship**	**No Risk Identified**	**No Risk Identified**	**No Risk Identified**
Area of Assessment:	**Scope**			
Urgency:	**N/A**			

Observation: Scope is being managed effectively through the Requirements Traceability Matrix, Tyler contract deliverables, and the Project Change Management process.

		Nov 2014	Dec 2014	Jan 2015
Category:	**Project Management and Sponsorship**	**Risk Being Addressed**	**Risk Being Addressed**	**Risk Being Addressed**
Area of Assessment:	**Schedule**			
Urgency:	**Urgent Consideration**			

Observation/Risk – Lack of Schedule Decomposition and Integration: Successful on-time delivery of the SC-CMS Project requires the ability to estimate and plan the work required to complete the project, monitor the plan as the project progresses, and make adjustments to keep the project on track to meet the pilot go-live date of June 2015.

In order to ensure adequate tracking of the SC-CMS, Tyler, and AOC integration and infrastructure efforts, it is necessary to have (1) project schedules that are at a level of detail adequate to determine resource requirements to achieve timing commitments and (2) an integrated view of the schedules that provides a level of confidence that dependencies between and among the individual projects are being tracked and coordinated so that the overall combined efforts are on-track for timely completion.

Impact: If project work is not adequately identified and tracked, the amount of work to complete project activities may be underestimated or resources may be over-allocated. If inaccurate estimates are not identified until late in a work activity, a delay in the completion of those components could result in a delay of the SC-CMS pilot go-live date or a reduction in scope or quality. Additionally, lack of identifying dependencies between work activities may result in delayed milestones or unintentional misrepresentation of scheduled activities.

Recommendation:

We agree with the approach being taken by the SC-CMS Project Team AOC to continue to work with AOC project managers and stakeholders to:

- Review and identify all work required to launch the pilot site including: requirements, design, development, conversion, testing (unit, system, integration, performance, User Acceptance Test), county readiness, training, support, deployment, work performed by the CUWG, Business Analysts, CBO, SC-CMS project team, integration project teams, AOC testing team, AOC Maintenance and Operations team, AOC infrastructure team, counties, end-users, and Tyler.
- Develop reasonable estimates for the identified work.
- Identify dependencies between various work efforts.
- Allocate resources based on capacity.
- Avoid compromising quality of work activities by shortening them to meet previously published milestone dates.

We further recommend that the project consolidate all of the integration tracking sheets and schedules into one comprehensive project schedule used to estimate and track the integration effort. The integration tasks should be prioritized in terms of the manual effort required to maintain the data and focus be given to the integrations that will reduce the most manual effort at Go-Live.

Status: Efforts to identify the work required to complete integration and develop activity estimates continued in January. The AOC PMO has allocated a resource to assess the remaining integration work. Based on preliminary estimates, some integration activities will likely have to be extended several months. It is not yet clear what impact the extension of integration work will have on the overall project schedule and on the pilot go-live date. Additional technical and testing resources have been allocated to integration activities to mitigate the schedule risk.

		Nov 2014	Dec 2014	Jan 2015
Category:	**Project Management and Sponsorship**			
Area of Assessment:	**Budget**	**No Risk Identified**	**No Risk Identified**	**No Risk Identified**
Urgency:	**N/A**			

Observation: When information/results are available from the Pilot County implementation, the Steering Committee will reassess the local cost framework, potentially revise the framework based on the Pilot County experience, and then make a recommendation to the JISC for cost sharing between the State and the local levels for the next phase of SC-CMS.

		Nov 2014	Dec 2014	Jan 2015
Category:	**Project Management and Sponsorship**			
Area of Assessment:	**Project Communications**	**No Risk Identified**	**No Risk Identified**	**No Risk Identified**
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 monthly. 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 weekly status report. Tyler provides a monthly status report.

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.

		Nov 2014	Dec 2014	Jan 2015
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: The project added a testing resource in January.

		Nov 2014	Dec 2014	Jan 2015
Category:	**Project Management and Sponsorship**			
Area of Assessment:	**Change Management**	**No Risk Identified**	**No Risk Identified**	**No Risk Identified**
Urgency:	**N/A**			

Observation: The scope and budget have been baselined. All requests for changes to scope or budget will go through the SC-CMS change management process. Many of the work activities in the project schedules have not been baselined.

		Nov 2014	Dec 2014	Jan 2015
Category:	**Project Management and Sponsorship**			
Area of Assessment:	**Risk Management**	**No Risk Identified**	**No Risk Identified**	**No Risk Identified**
Urgency:	**N/A**			

Observation: The project is identifying and tracking risks at an adequate level.

		Nov 2014	Dec 2014	Jan 2015
Category:	**Project Management and Sponsorship**			
Area of Assessment:	**Issue Management**	**No Risk Identified**	**No Risk Identified**	**No Risk Identified**
Urgency:	**N/A**			

Observation: The project is identifying and tracking issues at an adequate level.

		Nov 2014	Dec 2014	Jan 2015
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.

		Nov 2014	Dec 2014	Jan 2015
Category:	**People**	**No Risk Identified**	**No Risk Identified**	**No Risk Identified**
Area of Assessment:	**Stakeholder Engagement**			
Urgency:	**N/A**			

Observation: Stakeholder engagement and organizational change management activities are underway.

		Nov 2014	Dec 2014	Jan 2015
Category:	**People**	**No Risk Identified**	**No Risk Identified**	**No Risk Identified**
Area of Assessment:	**Business Processes / System Functionality**			
Urgency:	**N/A**			

Observation: Process flows that represent the current state of court business processes have been developed and reviewed by the CUWG. The business processes will be utilized in upcoming configuration activities to identify how Washington courts processes will be supported by Odyssey. The initial set of business processes will be focused on the Pilot County. Configuration of Odyssey for state processes and pilot county processes was completed in December.

		Nov 2014	Dec 2014	Jan 2015
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 identified in the Tyler contract and are being managed by the project team.

		Nov 2014	Dec 2014	Jan 2015
Category:	**Application**	**No Risk Identified**	**No Risk Identified**	**No Risk Identified**
Area of Assessment:	**Application Architecture**			
Urgency:	**N/A**			

Observation: Application architecture has been developed and documented and is being implemented in the various project activities.

		Nov 2014	Dec 2014	Jan 2015
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.

		Nov 2014	Dec 2014	Jan 2015
Category:	**Application**	**Risk Being Addressed**	**Risk Being Addressed**	**Risk Being Addressed**
Area of Assessment:	**Application Interfaces**			
Urgency:	**Urgent Consideration**			

Observation/Risk: In previous reports, we had identified a concern that software components required to integrate Odyssey with other AOC and state systems would not be completed on schedule.

Impact: See Schedule impact above.

Recommendation: See Schedule recommendation above.

Status: See Schedule status above.

		Nov 2014	Dec 2014	Jan 2015
Category:	**Data**	**No Risk Identified**	**No Risk Identified**	**No Risk Identified**
Area of Assessment:	**Data Preparation**			
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 Judicial Information System (JIS).

The AOC System Support Technician will prepare and extract SCOMIS data for each superior court and county clerk office in the format that Tyler can import into Odyssey.

Status: AOC has begun identifying candidate areas in JIS that will be the focus of data cleansing activities. One of the areas of focus will be person data.

The Pilot County has communicated that it would like the opportunity to clean up its data prior to going live.

		Nov 2014	Dec 2014	Jan 2015
Category:	**Data**	**No Risk Identified**	**No Risk Identified**	**No Risk Identified**
Area of Assessment:	**Data Conversion**			
Urgency:	**N/A**			

Observation: Conversion activities for the Pilot County continued in January.

		Nov 2014	Dec 2014	Jan 2015
Category:	**Infrastructure**	**No Risk Identified**	**Risk**	**Risk**
Area of Assessment:	**Statewide Infrastructure**			
Urgency:	**Serious Consideration**			

Observation: AOC has been requested to assess the viability of migrating server and network equipment currently residing in the AOC data center to the state data center as part of the state data center consolidation initiative. The initiation of a project to migrate the AOC data center to the state data center *during the SC-CMS implementation* would create a significant risk to the success of the SC-CMS project. The pilot county go-live date for the SC-CMS project is June 2015, with early-adopter counties scheduled for the following November and the remaining counties through 2018. The implementation for the pilot and early-adopter counties is very compressed with no schedule contingency.

Impact: A data center migration would result in two significant impacts to the SC-CMS project. First, the planning and execution of a data center migration would consume resources allocated to the SC-CMS implementation resulting in the delay of project deliverables and milestones that could impact the go-live dates for county implementations. The other potential impact would be to the availability of the statewide network or the availability of web, application, or data servers due to operational problems associated with a data center migration including performance, network, data, or security problems.

Recommendation: The SC-CMS project has very high visibility to the judicial, legislative, and executive branches of the state government. All unnecessary risks to the on-time completion of the SC-SCM project should be avoided to ensure the successful implementation of the new case management system.

		Nov 2014	Dec 2014	Jan 2015
Category:	**Infrastructure**	**No Risk Identified**	**No Risk Identified**	**No Risk Identified**
Area of Assessment:	**Local Infrastructure**			
Urgency:	**N/A**			

Observation: The project team has begun discussions with the pilot county on local infrastructure readiness activities. The project meets with the pilot county weekly, via a conference call, to discuss any questions or issues.

Part 3: 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 Risk Identified	**No Risk Identified:** "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 2 of our monthly report provides the detailed QA Dashboard with all of the elements described above.