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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

May 31, 2015

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Part 1: Executive Summary and Assessment Dashboard

Executive Summary

This report provides the May 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.

Pilot (Lewis County) Go-Live Readiness

For this report, we have assessed "Pilot Go-Live Readiness" for each of the "Areas of Assessment" in the detailed section of this report. For this readiness assessment, we have used the following special assessment scale:

Green	No Identified Readiness Risks to Planned Go-Live Date
Blue	Some Readiness Limitations, but No Impact to Planned Go-Live Date
Yellow	Some Readiness Limitations with Potential Impact(s) to Planned Go-Live Date
Red	Serious Concerns Regarding Readiness for Planned Go-Live Date

We are pleased to report that we have found no concerns to indicate that the Pilot Go-Live date for Lewis County is at risk. We have assessed three areas of "Pilot Go-Live Readiness" as "blue"; all other areas are assessed as "green."

At this point, we believe AOC, the Project Team, and Lewis County are ready for Go-Live. Moreover, we believe the Project Team has appropriately set expectations with Lewis County, AOC, Tyler, the SC-CMS Steering Committee, and other stakeholders to help them understand that the implementation will very likely have a few bumps in the early days. Such is to be expected with any large systems implementation.

Resource Constraints

Late completion of data integration components, business processes, and other key deliverables have resulted from resource limitations in several areas of the project due to budgetary constraints and the difficulty in developing accurate estimates of effort for activities that are unfamiliar to the staff assigned to perform them. The project continues to make effective use of the resources allocated to the project and to utilize AOC resources outside of the project team to work towards a successful Pilot Go-Live. However, based on preliminary results from an evaluation by *bluecrane* of the resources required for implementing the remaining counties in the 2015 to 2017 timeframe, the current resource allocation appears to be insufficient to support the rollout of counties beyond Lewis County.

Schedule Risks Related to Integrations Work

We continue to note the schedule risk related to completion of the integrations between Odyssey and other AOC judicial information systems (JIS). Several of the integration components will not be ready for use until after the Lewis County Go-Live event. Additionally,

there may be production data problems if defects are not identified due to the late delivery of integration components prior to Lewis County Go-Live. It may be necessary for the Project Team to implement work-arounds involving manual manipulation of data in Odyssey, JIS, or both systems.

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

We learned in December 2014 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-CMS 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			
People	Staffing	Urgent Consideration	• The current resource allocation appears to be insufficient to support the rollout of counties beyond the Pilot (Lewis County) in accordance with the currently planned schedule. A resource assessment is underway.
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.

Category	Area of Assessment	Urgency	Noteworthy Risks/Comments
Risks Being Addressed			
Project Management and Sponsorship	Schedule	Urgent Consideration	• Several of the integration components will not be ready for use until after the Lewis County Go-Live event.
People	Business Processes	Urgent Consideration	• Because of the continuation of constrained resources, completion of the business processes has been delayed. The evaluation of activities assigned to project staff is underway.
Application	Application Interfaces	Urgent Consideration	• Several of the integration components will not be ready for use until after the Lewis County Go-Live event.

Part 2: *bluecrane* Detailed Assessment Report for May 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	**Risk**
Application	**Risk Being Addressed**
Data	**No Risk Identified**
Infrastructure	**Risk**

Category:	Project Management and Sponsorship	Mar 2015	Apr 2015	May 2015
Area of Assessment:	Governance	No Risk Identified	No Risk Identified	No Risk Identified
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.

Pilot Go-Live Readiness – No Identified Readiness Risks to Planned Go-Live Date: The governance structure currently in place will continue to be used for Lewis County Go-Live.

Category:	Project Management and Sponsorship	Mar 2015	Apr 2015	May 2015
Area of Assessment:	Scope	No Risk Identified	No Risk Identified	No Risk Identified
Urgency:	N/A			

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

A decision was made in March to increase the number of users of the system through the addition of court staff that work with juvenile cases who would be granted read-only access to some of the Superior Court case and party data. Training, user support, organizational change management, and infrastructure are being modified to accommodate the change in project scope.

Pilot Go-Live Readiness – No Identified Readiness Risks to Planned Go-Live Date: Although the decision to include juvenile staff in the implementation has required additional use of scarce project resources, the change was made under scope control. The project was able to absorb the impact of this change.

		Mar 2015	Apr 2015	May 2015
Category:	**Project Management and Sponsorship**			
Area of Assessment:	**Schedule**	**Risk Being Addressed**	**Risk Being Addressed**	**Risk Being Addressed**
Urgency:	**Urgent Consideration**			

Observation/Risk 1 – Integrations between Odyssey and JIS: We continue to note the schedule risk related to completion of the integrations between Odyssey and other AOC judicial information systems (JIS). Several of the integration components will not be ready for use until after the Lewis County Go-Live event. Additionally, there may be production data problems if defects are not identified during testing prior to Lewis County Go-Live.

Impact: Impacts to Lewis County and AOC and planned manual work-arounds will be identified prior to Lewis County Go-Live along with a timeframe for the work-arounds.

Recommendation: The remaining integration tasks should be prioritized in terms of the manual effort required to maintain any data between Odyssey and JIS that is not being processed through the automated interface with focus given to the integrations that will reduce the most manual effort following Go-Live.

Status: The project continued execution of contingency plans in May in response to the anticipated lack of several integration components for the Lewis County Go-Live event. The contingency plans include use of the SC-CMS Help Desk that will perform manual work-arounds in addition to monitoring and correcting integration transaction failures. Lessons learned from the three Mock Go-Lives have been incorporated into Lewis County Go-Live planning and deliverables.

Pilot Go-Live Readiness – Some Readiness Limitations, but No Impact to Planned Go-Live Date: Although it is clear that not all integrations with existing AOC and external systems will be in place, integration work-arounds are in place and all other project activities have been completed or will be completed in time for Lewis County Go-Live.

Category:	Project Management and Sponsorship	Mar 2015	Apr 2015	May 2015
Area of Assessment:	Budget	No Risk Identified	No Risk Identified	No Risk Identified
Urgency:	N/A			

Observation: The budget may be impacted through the addition of staff resources to support the roll-out of the remaining counties following the Lewis County Go-Live event.

Also, when information/results are available from the Lewis County implementation, the Steering Committee will reassess the local cost framework, potentially revise the framework based on the Lewis 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.

Pilot Go-Live Readiness – No Identified Readiness Risks to Planned Go-Live Date: The budget is adequate to support the Lewis County Go-Live.

Category:	Project Management and Sponsorship	Mar 2015	Apr 2015	May 2015
Area of Assessment:	Staffing and Project Facilities	Risk Being Addressed	Risk Being Addressed	Risk
Urgency:	Serious Consideration			

Observation/Risk: Late completion of data integration components, business processes, and other key deliverables have resulted from resource limitations in several areas of the project due to budgetary constraints and the difficulty in developing accurate estimates of effort for activities that are unfamiliar to the staff assigned to them. The project continues to make effective use of the resources allocated to the project and to utilize AOC resources outside of the project team to work towards a successful Lewis County Go-Live. However, based on preliminary results from an evaluation by *bluecrane* of the resources required for implementing the remaining counties in the 2015 to 2017 timeframe, the current resource allocation appears to be insufficient to support the rollout of counties beyond Lewis County.

Pilot Go-Live Readiness – No Identified Readiness Risks to Planned Go-Live Date: Although there are sufficient AOC and SC-CMS project resources available to support, preliminary results from our resource assessment point to the need for additional resources to sustain the rollout of Odyssey to the remaining counties.

Category:	Project Management and Sponsorship	Mar 2015	Apr 2015	May 2015
Area of Assessment:	PMO Processes: Change, Risk, Issue, Quality Management	No Risk Identified	No Risk Identified	No Risk Identified
Urgency:	N/A			

Observation: The project is performing project management and tracking processes at an appropriate level. Risks, issues, changes, and decisions are being identified, tracked, and managed. SC-CMS and Tyler provide monthly status reports and updates in weekly meetings.

Pilot Go-Live Readiness – No Identified Readiness Risks to Planned Go-Live Date: The Project Office processes utilized thus far in the project will continue to be used through the county rollout timeframe.

Category:	People	Mar 2015	Apr 2015	May 2015
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.

Pilot Go-Live Readiness – No Identified Readiness Risks to Planned Go-Live Date: As with any new system implementation there will be problems identified during the Lewis County Go-Live event. However, we believe the project team has appropriately set expectations with Lewis County, AOC, Tyler, the SC-CMS steering committee and other stakeholders that the implementation will not be without its snags and bumps. Lewis County staff have been appropriately trained and have participated in three Mock Go-Live events to provide awareness of how their work will be affected by the new system.

		Mar 2015	Apr 2015	May 2015
Category:	**People**	**Risk Being Addressed**	**Risk Being Addressed**	**Risk Being Addressed**
Area of Assessment:	**Business Processes / System Functionality**			
Urgency:	**Serious Consideration**			

Observation/Risk: The completion of the business processes for Lewis County Go-Live was initially scheduled for January and then, due to resource constraints, targeted for completion at the end of March. However, the business analysts assigned to developing the business processes are also assigned to completing the configuring of Odyssey and establishing rules for data conversion. Because of the continuation of constrained resources, the business processes completion due date was again missed in March but was subsequently completed in May.

Impact: If sufficient resources are not allocated to the completion of business process, system configuration, and conversion, one or more of the activities may not be completed in time for county go-lives or may be completed with less than desirable quality.

Recommendation: *bluecrane* will assess the resources required for completion of activities for roll-out of the remaining counties.

Pilot Go-Live Readiness – No Identified Readiness Risks to Planned Go-Live Date: The business processes for Lewis County have been appropriately documented and communicated to Lewis County management and staff.

Category:	People	Mar 2015	Apr 2015	May 2015
Area of Assessment:	Contract Management / Deliverables Management	No Risk Identified	No Risk Identified	No Risk Identified
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.

Pilot Go-Live Readiness – No Identified Readiness Risks to Planned Go-Live Date: Vendor deliverables required for Lewis County Go-Live have been completed or will be completed on schedule.

Category:	Application	Mar 2015	Apr 2015	May 2015
Area of Assessment:	Application Architecture	No Risk Identified	No Risk Identified	No Risk Identified
Urgency:	N/A			

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

Pilot Go-Live Readiness – No Identified Readiness Risks to Planned Go-Live Date: The application architecture developed for the project will be implemented in Lewis County.

Category:	Application	Mar 2015	Apr 2015	May 2015
Area of Assessment:	Requirements Management	No Risk Identified	No Risk Identified	No Risk Identified
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 have been documenting Use Cases for the new processes.

Pilot Go-Live Readiness – No Identified Readiness Risks to Planned Go-Live Date: The requirements defined for the system will be validated with the implementation of Lewis County.

Category:	Application	Mar 2015	Apr 2015	May 2015
Area of Assessment:	Application Interfaces	Risk Being Addressed	Risk Being Addressed	Risk Being Addressed
Urgency:	Urgent Consideration			

Observation/Risk: In previous reports, we noted the risk that several of the integration components will not be ready for use until after the Lewis County Go-Live event.

Impact: See Schedule impact above.

Recommendation: See Schedule recommendation above.

Status: Several integration components will not be ready in time for Lewis County Go-Live. However, the implementation of work-arounds, as part of the contingency planning, have been established for the Lewis County Go-Live.

Pilot Go-Live Readiness – Some Readiness Limitations, but No Impact to Planned Go-Live Date: Although not all integrations with existing AOC and external systems will be in place for Lewis County Go-Live, integration work-arounds are being developed and are anticipated to be in place in time for Lewis County Go-Live.

Category:	Data	Mar 2015	Apr 2015	May 2015
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 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.

Pilot Go-Live Readiness – Some Readiness Limitations, but No Impact to Planned Go-Live Date: Although data preparation activities have been underway for some time, it is likely that some currently existing data quality problems will be transferred to the new system during conversion. Data quality issues may affect the synchronization and replication processes which could indirectly (or directly) impact court operations.

Category:	Data	Mar 2015	Apr 2015	May 2015
Area of Assessment:	Data Conversion	No Risk Identified	No Risk Identified	No Risk Identified
Urgency:	N/A			

Observation: Conversion activities for the Lewis County Go-Live continued in May.

Pilot Go-Live Readiness – No Identified Readiness Risks to Planned Go-Live Date: Four trial data conversions have been conducted for Lewis County. With each conversion, data mapping and data anomalies have been identified and resolved.

		Mar 2015	Apr 2015	May 2015
Category:	**Infrastructure**	**Risk**	**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 Lewis 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 Lewis County 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-CMS project should be avoided to ensure the successful implementation of the new case management system.

Pilot Go-Live Readiness – No Identified Readiness Risks to Planned Go-Live Date: The Odyssey server infrastructure and state network infrastructure has been appropriately sized and tested for the Lewis County Go-live.

		Mar 2015	Apr 2015	May 2015
Category:	**Infrastructure**	**No Risk Identified**	**No Risk Identified**	**No Risk Identified**
Area of Assessment:	**Local Infrastructure**			
Urgency:	**N/A**			

Observation: Lewis County infrastructure activities have been completed. Early Adopter infrastructure readiness activities are underway.

Pilot Go-Live Readiness – No Identified Readiness Risks to Planned Go-Live Date: The local county network, server, printer, and scanner infrastructure has been appropriately sized and tested for the Lewis County Go-live.

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.