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

July 31, 2015

Prepared by
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bluecrane ®

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Part 1: Executive Summary and Assessment Dashboard

Executive Summary

This report provides the July 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.

Early Adopter Go-Live Readiness

In July, AOC and the Project Team continued to provide support to Lewis County, following the successful Go-Live in mid-June. Feedback from Lewis County has been very positive.

Leveraging "Lessons Learned" from the Pilot implementation in Lewis County, AOC, the Project Team, and the Early Adopter Counties continued preparations during July for Early Adopter Go-Live in November. Additionally, the Project Team has appropriately set expectations with the Early Adopter Counties, AOC, Tyler, the SC-CMS Steering Committee, and other stakeholders to help all parties understand that, just like the Lewis County implementation, the Early Adopter implementations are likely to have a few bumps in the early days. Such is to be expected with any large systems implementation.

For this report, we have assessed "Early Adopter 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 Early Adopter Go-Live date is at risk. We have assessed five areas of "Early Adopter Go-Live Readiness" as "blue"; all other areas are assessed as "green." The five blue areas are:

- Staffing
- Business Processes
- Schedule
- Application Interfaces
- Data

Brief descriptions of our observations, concerns, and AOC's responses to mitigate risks follow below.

Staffing

Even with the recent addition of five redirected AOC resources to the SC-CMS project, the resources allocated for implementing the Early Adopter Counties appears to be below the level preferred by the SC-CMS Project Team and Tyler. This is compounded by the need to support Lewis County in resolving issues and helping them to best utilize the new system. However, all parties including AOC, Tyler, and the Early Adopter Counties are working together to find ways to make the implementation successful with the resources available. Activities have been prioritized with resources allocated to the most critical areas of the project. Lessons learned, business process revisions, and Odyssey configurations from the Lewis County implementation are being applied to Early Adopter Counties to add efficiencies to readiness activities. The Early Adopter Counties have committed to preparing “Super Users” in each county to become very proficient in the use of Odyssey so that they can assist other staff during the ramp-up following Go-Live.

Business Processes

The resource risk described above under “Staffing” has business process implications as well. Although it would have been preferable to allocate resources to a more detailed review of business processes for the Early Adopter Counties, the upcoming effort to review, revise, document, and communicate business processes to management and staff of the Early Adopter Counties is expected to be sufficient.

Schedule Risks Related to Integrations Work

The resource risk described above under “Staffing” has schedule implications as well. Although it is anticipated that the work on integrations that synchronize party data between Odyssey and existing AOC and external systems will continue past Early Adopter Counties Go-Live, temporary solutions used with Lewis County are in place and will continue through the implementation of Early Adopter Counties.

Data

Although data preparation activities have been underway for some time, it is likely that some existing data quality problems present in the Early Adopter Counties data 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.

Summary

Despite these concerns, as noted earlier, we see no indication that the Early Adopter Go-Live date is at risk, given the mitigation activities already underway.

Executive Dashboard – Risks At-a-Glance

Category	Area of Assessment	Urgency	Noteworthy Risks/Comments
Extreme Risks			
(No Extreme Risks to Report)			
Noteworthy Risks			
(No Unaddressed Risks to Report)			
Risks Being Addressed			
See Next Page			

Category	Area of Assessment	Urgency	Noteworthy Risks/Comments
Risks Being Addressed			
People	Staffing	Urgent Consideration	There is a risk to effective implementations in the three Early Adopter Counties if sufficient resources cannot be allocated to planned efforts. The SC-CMS Project is mitigating this risk by: • Temporarily allocating resources from other areas of AOC and Tyler to the SC-CMS project and allocating resources across the three Early Adopter Counties; • Leveraging business processes and Odyssey configurations from Lewis County for the Early Adopter Counties where possible; • Preparing "Super Users" in each Early Adopter County to become very proficient in the use of Odyssey so that they can assist other staff during the ramp-up following Go-Live; • Utilizing "Lessons Learned" from the Lewis County implementation in order to help ensure that it will be unnecessary to repeat "course adjustments" made during the Lewis County effort in the Early Adopter County implementations.
People	Business Processes	Serious Consideration	• The resource risk described above has business process implications as well. However, as noted above, the SC-CMS Project is mitigating the resource risk.

Category	Area of Assessment	Urgency	Noteworthy Risks/Comments
Risks Being Addressed			
Project Management and Sponsorship	Schedule	Serious Consideration	• The resource risk described above has schedule implications as well. However, as noted above, the SC-CMS Project is mitigating the resource risk.
Application	Application Interfaces	Serious Consideration	• AOC continues to work towards refinement of party integration efforts.
Data	Data Preparation	Serious Consideration	• Although data preparation activities have been underway for some time, it is likely that some existing data quality problems present in the Early Adopter Counties data 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.

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

bluecrane Quality Assurance Dashboard for the Washington AOC SC-CMS Project	
Project Area Summary	
Project Area	**Highest Level of Assessed Risk**
People	**Risk Being Addressed**
Project Management and Sponsorship	**Risk Being Addressed**
Application	**Risk Being Addressed**
Data	**Risk Being Addressed**
Infrastructure	**No Risk Identified**

		May 2015	Jun 2015	Jul 2015
Category:	**People**	**Risk**	**Risk Being Addressed**	**Risk Being Addressed**
Area of Assessment:	**Staffing**			
Urgency:	**Serious Consideration**			

Observation/Risk: The SC-CMS Project Team has shifted attention to the simultaneous implementation of the three Early Adopter Counties that will require sharing the limited resources that (1) are knowledgeable and proficient in Odyssey functionality and (2) have experience with the deployment of the system.

Impact: There is a risk to effective implementations in the three Early Adopter Counties if sufficient resources cannot be allocated to planned efforts due to budget constraints and other practical restrictions (such as a limited set of appropriately skilled and knowledgeable resources).

Status: The SC-CMS Project is mitigating this risk by:

- Temporarily allocating resources from other areas of AOC and Tyler to the SC-CMS project and allocating resources across the three Early Adopter Counties;
- Leveraging business processes and Odyssey configurations from Lewis County for the Early Adopter Counties where possible;
- Preparing “Super Users” in each Early Adopter County to become very proficient in the use of Odyssey so that they can assist other staff during the ramp-up following Go-Live;
- Utilizing “Lessons Learned” from the Lewis County implementation in order to help ensure that it will be unnecessary to repeat “course adjustments” made during the Lewis County effort in the Early Adopter County implementations.

Early Adopter Go-Live Readiness – Some Readiness Limitations, but No Impact to Planned Go-Live Date: The SC-CMS project team has sufficiently mitigated the resource risk to allow the implementation of the Early Adopter Counties to continue on schedule.

Category:	People	May 2015	Jun 2015	Jul 2015
Area of Assessment:	Business Processes / System Functionality	Risk Being Addressed	Risk Being Addressed	Risk Being Addressed
Urgency:	Serious Consideration			

Observation/Risk: The resource risk described above under "Staffing" has business process implications as well. However, as noted above, the SC-CMS Project is mitigating the resource risk.

Early Adopter Go-Live Readiness – Some Readiness Limitations, but No Impact to Planned Go-Live Date: Although it would have been preferable to allocate resource to a more detailed review of business processes for the Early Adopter Counties, the upcoming effort to review, revise, document, and communicate business processes to management and staff of the Early Adopter Counties is expected to be sufficient.

Category:	People	May 2015	Jun 2015	Jul 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.

Early Adopter Go-Live Readiness – No Identified Readiness Risks to Planned Go-Live Date: As with the Lewis County implementation in June, there will be problems identified during the Early Adopter Go-Live events as well. However, we believe the project team has appropriately set expectations with Early Adopter Counties, AOC, Tyler, the SC-CMS steering committee and other stakeholders that the Early Adopter Counties implementation will not be without its snags and bumps. Early Adopter County staff will be trained on Odyssey and the revised business processes to provide awareness of how their work will be affected by implementation of the new system.

Category:	People	May 2015	Jun 2015	Jul 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.

Early Adopter Go-Live Readiness – No Identified Readiness Risks to Planned Go-Live Date: Vendor deliverables required for Early Adopter Counties Go-Live will be completed on schedule. Many are already finished and delivered.

Category:	Project Management and Sponsorship	May 2015	Jun 2015	Jul 2015
Area of Assessment:	Schedule	Risk Being Addressed	Risk Being Addressed	Risk Being Addressed
Urgency:	Serious Consideration			

Observation: The resource risk described above under “Staffing” has schedule implications as well. However, as noted above, the SC-CMS Project is mitigating the resource risk.

Early Adopter Go-Live Readiness – Some Readiness Limitations, but No Impact to Planned Go-Live Date: Although it is anticipated that the work on integrations between Odyssey and existing AOC and external systems will continue past Early Adopter Counties Go-Live, temporary solutions used with Lewis County are in place. Other project activities related to the implementation of Early Adopter Counties have been completed or will be completed in time for Early Adopter Counties Go-Live.

Category:	Project Management and Sponsorship	May 2015	Jun 2015	Jul 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.

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

Category:	Project Management and Sponsorship	May 2015	Jun 2015	Jul 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.

Early Adopter 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.

Category:	Project Management and Sponsorship	May 2015	Jun 2015	Jul 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.

Early Adopter 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 throughout the county rollout timeframe.

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

Observation: 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.

Early Adopter Go-Live Readiness – No Identified Readiness Risks to Planned Go-Live Date: The SC-CMS Project Team has addressed the lack of sufficient project resources in several ways, as noted in the Staffing section of this report.

		May 2015	Jun 2015	Jul 2015
Category:	**Application**	**Risk Being Addressed**	**Risk Being Addressed**	**Risk Being Addressed**
Area of Assessment:	**Application Interfaces**			
Urgency:	**Serious Consideration**			

Observation/Risk: The risk related to completion of the integrations that synchronize party data between Odyssey and other AOC judicial information systems (JIS) that we have noted for several months will continue through the implementation of the Early Adopter Counties. Work on integration components and data problems continues.

Impact: Planned temporary solutions have been utilized to keep the data synchronized between the Lewis Odyssey database and the existing AOC systems. This approach will continue through the implementation of Early Adopter Counties.

Recommendation: *bluecrane* agrees with the approach by AOC to continue working towards completion and refinement of the integrations. 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 Early Adopter Go-Live.

Early Adopter Go-Live Readiness – Some Readiness Limitations, but No Impact to Planned Go-Live Date: Although it is anticipated that there will be issues with the integrations that synchronize party data between Odyssey and existing AOC and external systems at Early Adopter Counties Go-Live, temporary solutions were developed for the Lewis County Go-live and will used as needed for the Early Adopter counties Go-Live.

Category:	Application	May 2015	Jun 2015	Jul 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.

Early Adopter Go-Live Readiness – No Identified Readiness Risks to Planned Go-Live Date: The application architecture for the project will be implemented in Early Adopter Counties.

Category:	Application	May 2015	Jun 2015	Jul 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 To-Be processes as needed.

Early Adopter 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 Early Adopter Counties.

Category:	Data	May 2015	Jun 2015	Jul 2015
Area of Assessment:	Data Preparation	No Risk Identified	No Risk Identified	Risk Being Addressed
Urgency:	Serious Consideration			

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 the 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.

Early Adopter 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 existing data quality problems present in the Early Adopter Counties' data 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	May 2015	Jun 2015	Jul 2015
Area of Assessment:	Data Conversion	No Risk Identified	No Risk Identified	No Risk Identified
Urgency:	N/A			

Observation: Conversion activities for Early Adopter Counties continued in July.

Early Adopter Go-Live Readiness – No Identified Readiness Risks to Planned Go-Live Date: Trial data conversions have been conducted for Early Adopter Counties. With each conversion, data mapping and data anomalies have been identified and resolved.

Category:	Infrastructure	May 2015	Jun 2015	Jul 2015
Area of Assessment:	Statewide Infrastructure	Risk	No Risk Identified	No Risk Identified
Urgency:	N/A			

Observation: The project continued readiness preparations in July with the Early Adopter Counties to ensure sufficient capacity on the state network for the estimated volume of Odyssey and document management system transactions that will occur in the production environment following Go-Live.

Early Adopter Go-Live Readiness – No Identified Readiness Risks to Planned Go-Live Date: The Odyssey server infrastructure and state network infrastructure have been appropriately sized for the Early Adopter Counties and will be tested prior to Go-Live.

Category:	Infrastructure	May 2015	Jun 2015	Jul 2015
Area of Assessment:	Local Infrastructure	No Risk Identified	No Risk Identified	No Risk Identified
Urgency:	N/A			

Observation: Infrastructure readiness activities are underway for Early Adopter Counties.

Early Adopter Go-Live Readiness – No Identified Readiness Risks to Planned Go-Live Date: The SC-CMS project team has been working with each of the Early Adopter Counties to ensure that the local county workstations have been configured correctly, and the county servers and network are appropriately sized to handle the volume at 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.