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

September 30, 2015

Prepared by
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bluecrane ®

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Part 1: Executive Dashboard

Introduction

This report provides the September 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.

Executive Summary

As reflected in the following Executive Dashboard and the detailed report which follows, our primary areas of concern for September are related to the resource limitations that the project is experiencing. The lack of sufficient resources may impact the quality and completeness of project deliverables.

Special "Early Adopter Go-Live Readiness" Assessments

As a reminder to the reader, our reports between now and Early Adopter Go-Live include assessments in each of the areas of the detailed report on "Early Adopter Go-Live Readiness." These readiness assessments are provided *in addition to* our usual monthly risk assessment.

Important Reminder

From a quick glance at the following summary dashboard, there is a "sea of blue" in this report. We want to remind the reader that "*blue is not green!*" Rather, "blue" is our rating for an area *where risks still exist,* but we believe the SC-CMS Project has begun effective mitigation activities to manage the risks. For "blue" areas, we continue to monitor the risks themselves as well as the mitigation efforts to determine if the desired effects are being realized.
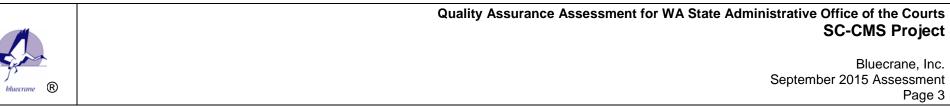
Blue is not always a precursor to green in a subsequent report. If we assess the mitigation efforts as falling short in some way, then we will assess the area as yellow or red, as appropriate, in a subsequent review.

All of this is to say that there is, of course, some level of "comfort" in a blue rating. Knowing the SC-CMS Project is taking steps that we believe are adequate and appropriate to face and address risks is both positive and noteworthy. It is *not*, however, the same as saying "no risks have been identified."

Changes to Risk Assessment Since Previous Report

The following table lists the risks we have identified and summarizes (1) those areas where risks continue from the previous report, (2) those areas of assessment for which our risk ratings have changed since our previous report and (3) new risks identified since the previous report.

Area of Assessment	Urgency	July 2015	Aug 2015	Sept 2015	New or Change Since Prior Report	Comments
1. People						
Staffing	**Serious Consideration**	**Risk Being Addressed**	**Risk Being Addressed**	**Risk Being Addressed**	**No Change in Assessment**	Project staffing continues to be a concern due to the simultaneous implementation of the three Early Adopter Counties which requires sharing the limited resources. ***For detailed assessment, see:*** #Staffing
Business Processes and System Functionality	**Serious Consideration**	**Risk Being Addressed**	**Risk Being Addressed**	**Risk Being Addressed**	**No Change in Assessment**	Staffing concerns extend to the ability to document business processes and complete the Odyssey configuration with quality results. ***For detailed assessment, see:*** #BusinessProcesses

Area of Assessment	Urgency	July 2015	Aug 2015	Sept 2015	New or Change Since Prior Report	Comments
2. Project Management and Sponsorship						
Project Schedule	**Serious Consideration**	**Risk Being Addressed**	**Risk Being Addressed**	**Risk Being Addressed**	**No Change in Assessment**	Resource constraints lead to concerns regarding the quality and completeness of project deliverables. *For detailed assessment, see:* #Schedule

Area of Assessment	Urgency	July 2015	Aug 2015	Sept 2015	New or Change Since Prior Report	Comments
3. Application						
Application Integrations	**Serious Consideration**	**Risk Being Addressed**	**Risk Being Addressed**	**Risk Being Addressed**	**No Change in Assessment**	Concerns continue with the completion of the integration components that synchronize party data between Odyssey and other AOC judicial information systems (JIS) continues the Early Adopter Counties. ***For detailed assessment, see:*** #Integrations

Area of Assessment	Urgency	July 2015	Aug 2015	Sept 2015	New or Change Since Prior Report	Comments
4. Data						
Data Preparation	**Serious Consideration**	**Risk Being Addressed**	**Risk Being Addressed**	**Risk Being Addressed**	**No Change in Assessment**	Data quality problems in the current system will be transferred to the new system during conversion unless addressed prior to county Go-Live. *For detailed assessment, see:* #DataPreparation

Part 2: Detailed Assessment Report

	People				

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

Observation/Risk: The simultaneous implementation of the three Early Adopter Counties 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). There is also a risk to adequate support of Lewis County and readiness activities for the 2016 counties.

Status: The SC-CMS Project is mitigating these risks by:

- Temporarily augmenting resources from other areas of AOC and Tyler to the SC-CMS project and allocating resources across the three Early Adopter Counties for the first two weeks of Go-Live;

- 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;

- Scheduling readiness activities for upcoming 2015 and 2016 counties to maximize use of limited resources; and

- Engaging county staff to assist with readiness activities.

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. Resources will be most

heavily allocated across the three Early Adopter Counties to provide sufficient ratios of SC-CMS support personnel to county users for the first two weeks of Go-Live. Following Go-Live, support resources will taper off as the county users learn the new system.

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Category:	**People**		**Jul 2015**	**Aug 2015**	**Sept 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 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 for the initial roll-out of SC-CMS. It is anticipated that as the Early Adopter Counties become more familiar with Odyssey in the months following Go-Live, modifications to business processes may be desired or required to improve efficiencies of the processes. For example as the counties come to trust the system more, reliance on paper copies and forms may be reduced along with the associated duplicate data entry.

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Category:	People		Jul 2015	Aug 2015	Sept 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.

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Category:	People		Jul 2015	Aug 2015	Sept 2015
Area of Assessment:	Contract Management / Deliverables Management		No Risk Identified	No Risk Identified	No Risk Identified
Urgency:	N/A				

Observation: 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.

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Project Management and Sponsorship

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

Observation/Risk: 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 through careful scheduling and execution of readiness activities for upcoming 2015 and 2016 counties to maximize use of the limited resources.

Early Adopter Go-Live Readiness – Some Readiness Limitations, but No Impact to Planned Go-Live Date: Although work on project activities related to the implementation of Early Adopter Counties is progressing on schedule, concerns remain with over-allocation of resources and the potential for problems related to quality of deliverables or the possibility of incomplete deliverables.

To return to Executive Dashboard, click: #ExecDashboard

Category:	**Project Management and Sponsorship**	**Jul 2015**	**Aug 2015**	**Sept 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.

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Category:	**Project Management and Sponsorship**	**Jul 2015**	**Aug 2015**	**Sept 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.

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Category:	**Project Management and Sponsorship**	**Jul 2015**	**Aug 2015**	**Sept 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.

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Category:	**Project Management and Sponsorship**	**Jul 2015**	**Aug 2015**	**Sept 2015**
Area of Assessment:	**Budget**	**No Risk Identified**	**No Risk Identified**	**No Risk Identified**
Urgency:	**N/A**			

Observation: In August, the JISC gave the SC-CMS Steering Committee authority to make decisions on county spending for the three Early Adopter Counties within a $125K budget.

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.

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Application

Category:	**Application**		**Jul 2015**	**Aug 2015**	**Sept 2015**
Area of Assessment:	**Application Integrations**		**Risk Being Addressed**	**Risk Being Addressed**	**Risk Being Addressed**
Urgency:	**Serious Consideration**				

Observation/Risk: The risk related to completion of the integration components 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. If significant modifications are not completed in time for Early Adopter Counties, the counties will be required to use temporary manual and automated solutions to maintain synchronized data.

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 as needed.

To return to Executive Dashboard, click: #ExecDashboard

Category:	Application		Jul 2015	Aug 2015	Sept 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.

To return to Executive Dashboard, click: #ExecDashboard

Category:	Application		Jul 2015	Aug 2015	Sept 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 requirements management tool (Rational Requirements Composer) that is being used to document requirements and for traceability. Requirements have been mapped to functionality in Odyssey.

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.

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	Data				

			Jul 2015	**Aug 2015**	**Sept 2015**
Category:	**Data**				
Area of Assessment:	**Data Preparation**		**No Risk Identified**	**Risk Being Addressed**	**Risk Being Addressed**
Urgency:	**Serious Consideration**				

Observation/Risk: 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) that will be used by counties to clean the data. The preparation of data for conversion is typically a long, tedious activity that should be started as early as possible since the county resources that are allocated to data clean-up also have daily operations responsibilities. If counties do not allocate sufficient resource to data preparation activities, data problems will be transferred to the new system.

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.

To return to Executive Dashboard, click: #ExecDashboard

Category:	Data		Jul 2015	Aug 2015	Sept 2015
Area of Assessment:	Data Conversion		No Risk Identified	No Risk Identified	No Risk Identified
Urgency:	N/A				

Observation: Conversion activities including validation of converted data continued in September for Early Adopter Counties.

Early Adopter Go-Live Readiness – No Identified Readiness Risks to Planned Go-Live Date: The Project Team has been working with the Early Adopter Counties for several months on conversion readiness activities including converting documents for incorporating into Odyssey. This is a primary activity for the project and is being managed through on-site visits and weekly meetings with the Early Adopter Counties.

To return to Executive Dashboard, click: #ExecDashboard

Infrastructure

Category:	Infrastructure		Jul 2015	Aug 2015	Sept 2015
Area of Assessment:	Statewide Infrastructure		**No Risk Identified**	**No Risk Identified**	**No Risk Identified**
Urgency:	N/A				

Observation: The project continued readiness preparations in September 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.

To return to Executive Dashboard, click: #ExecDashboard

Category:	Infrastructure		Jul 2015	Aug 2015	Sept 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. Purchases of additional workstation and server hardware have been made as needed to fulfill infrastructure requirements.

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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

- o   Contract Management/Deliverables Management
- o   Training and Training Facilities
- o   Local Court Preparation
- o   User Support

- *Application*
    - o   Application Architecture
    - o   Requirements Management
    - o   Implementation
    - o   Application Interfaces
    - o   Application Infrastructure
    - o   Reporting
    - o   Testing
    - o   Tools

- *Data*
    - o   Data Preparation
    - o   Data Conversion
    - o   Data Security

- *Infrastructure*
    - o   Statewide Infrastructure
    - o   Local Infrastructure
    - o   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.