



Judicial Information System Committee (JISC)

Friday, December 2, 2016 (10:00 a.m. – 2:00 p.m.)

CALL IN NUMBER: 877-820-7831 PC: 394116#

SeaTac Facility: 18000 INTERNATIONAL BLVD, SUITE 1106, SEATAC, WA 98188

AGENDA

1.	<p>Call to Order</p> <ul style="list-style-type: none"> a. Introductions b. Announcements <ul style="list-style-type: none"> • Keturah Knutson – New ISD Associate Director • Brady Horenstein – New Judicial & Leg. Relations Associate Director • Justice Fairhurst • Judge Svaren • Judge Wynne c. Approval of Minutes 	Justice Mary Fairhurst, Chair	10:00 – 10:10	Tab 1
2.	<p>JIS Budget Update</p> <ul style="list-style-type: none"> a. 15-17 Budget Update b. 2017-2019 JIS Budget Request Update (as submitted) c. 2018 Supplemental Budget Request List 	Mr. Ramsey Radwan, MSD Director	10:10 – 10:20	Tab 2
3.	<p>JIS Priority Project #1 (ITG 2): Superior Court Case Management System (SC-CMS) Update</p> <ul style="list-style-type: none"> a. Project & Integrations Update b. Decision Point: Change to Statewide Rollout Schedule for Clark and Spokane Counties c. SC-CMS QA Report (Last Report) 	<p>Ms. Maribeth Sapinoso, PMP Mr. Keith Curry, PMP Ms. Vonnie Diseth, ISD Director</p> <p>Mr. Allen Mills, Bluecrane</p>	10:20 – 11:20	Tab 3
4.	<p>JIS Priority Project #4 (ITG 102): Courts of Limited Jurisdiction Case Management System (CLJ-CMS) Project Update</p> <ul style="list-style-type: none"> a. Project Update b. Decision Point: Steering Committee request to revise the membership of the Court User Work Group (CUWG) Charter c. CLJ-CMS QA Report 	<p>Mr. Mike Walsh, PMP Ms. Vonnie Diseth, ISD Director</p> <p>Mr. Allen Mills, Bluecrane</p>	11:20 – 12:00	Tab 4
Lunch (Working)			12:00 – 12:20	
5.	<p>Other JIS Priority Project Updates</p> <ul style="list-style-type: none"> a. Expedited Data Exchange (EDE) Pilot Implementation Project <ul style="list-style-type: none"> 1. AOC Project Update 2. King County District Court Project Update 3. King County Clerk's Office Project Update 	<p>Mr. Kevin Ammons, PMP</p> <p>Mr. Othniel Palomino</p> <p>Ms. Barb Miner, King Co. Clerk</p>	12:20 – 12:50	Tab 5

	<p>4. EDE QA Report</p> <p>b. Priority Project #2 (ITG 45) – AC-ECMS Project Update</p> <p>c. BOXI Upgrade - Business Intelligence Tool (BIT) Project Update</p>	<p>Mr. Tom Boatright, ISG Ms. Gena Cruciani, ISG Mr. John Anderson, ISG</p> <p>Mr. Martin Kravik</p> <p>Ms. Charlene Allen</p>	<p>12:50 – 1:15</p> <p>1:15 – 1:30</p>	
6.	<p>Committee Report</p> <p>a. Data Dissemination Committee (DDC)</p>	Judge Thomas Wynne	1:30 – 1:50	
7.	<p>Meeting Wrap-Up</p>	Justice Mary Fairhurst, Chair	1:50 – 2:00	
8.	<p>Information Materials</p> <p>a. ITG Status Report</p>			Tab 6

Persons with a disability, who require accommodation, should notify Brian Elvin at 360-705-5277 brian.elvin@courts.wa.gov to request or discuss accommodations. While notice 5 days prior to the event is preferred, every effort will be made to provide accommodations, when requested.

Future Meetings:

2017 – Schedule

February 24, 2017

April 28, 2017

June 23, 2017

August 25, 2017

October 27, 2017

December 1, 2017

JUDICIAL INFORMATION SYSTEM COMMITTEE

August 26, 2016
10:00 a.m. to 12:30 p.m.
AOC Office, SeaTac, WA

Draft - Minutes

Members Present:

Justice Mary Fairhurst, Chair
Mr. Larry Barker
Ms. Lynne Campeau - phone
Judge Jeanette Dalton
Ms. Callie Dietz
Mr. Rich Johnson
Judge J. Robert Leach
Mr. Frank Maiocco
Judge G. Scott Marinella
Ms. Barb Miner
Chief Brad Moericke
Ms. Brooke Powell
Judge David Svaren
Mr. Bob Taylor
Mr. Jon Tunheim - phone
Ms. Aimee Vance
Judge Thomas J. Wynne

Members Absent:

AOC Staff Present:

Mr. Kevin Ammons
Ms. Kathy Bradley
Ms. Vicky Cullinane
Mr. Keith Curry
Ms. Vonnie Diseth
Mr. Brian Elvin
Mr. Martin Kravik
Mr. Dirk Marler
Ms. Pam Payne
Mr. Ramsey Radwan
Ms. Maribeth Sapinoso
Mr. Mike Walsh

Guests Present:

Mr. Tom Boatright
Ms. Beth Baldwin
Ms. Gena Cruciani
Ms. Cynthia Marr
Mr. Allen Mills
Mr. Othniel Palomino
Judge Glenn Phillips
Mr. Brian Rowe
Judge Donna Tucker
Ms. Melanie Vanek

Call to Order

Justice Mary Fairhurst called the meeting to order at 10:00 a.m. and introductions were made.

April 22, 2016 Meeting Minutes

Justice Fairhurst noted two corrections, and asked if there were any corrections to the June 24, 2016 meeting minutes. Hearing none, Justice Fairhurst deemed them approved.

JIS Budget Update (15-17 Biennium)

Mr. Ramsey Radwan reported on the green sheet, which is a summary of the amounts allocated and expended for the various projects. Spending is on track as expected.

We will review the 2017-2019 budget requests and amounts and report on those at the October meeting. We may revise the 2017-2019 request if additional or more relevant detail is available.

The Supreme Court budget committee held an open public forum regarding the 2017-2019 budget request on August 4th at the Temple of Justice. The Supreme Court Budget Committee will consider all budget requests at their September 7, 2016 meeting.

JIS Priority Project #4 CLJ-CMS

Mr. Michael Walsh presented the project update on the Courts of Limited Jurisdiction Case Management System (CLJ-CMS) project. Bluecrane, Inc., was selected as the independent quality assurance vendor. Bluecrane will focus on providing risk awareness and project management oversight to the project team, Project Steering Committee, AOC leadership and the JISC. A special assistant attorney general (SAAG) is under contract to assist and advise the AOC Contract's Office during the establishment of the Request for Proposal (RFP) and later on during the CLJ-CMS vendor's contract negotiations. The RFP has gone through a tiered process of review including the project team, AOC management with extensive experience in procurement and contract management, AOC's Contracts Office, the SAAG and Bluecrane. The final review was conducted by the CLJ-CMS Steering Committee, which cleared the document as being ready for the JISC approval to proceed with publication of the document to the state's procurement website, WEBS.

All project budget provisos are being addressed through follow-up activities. In accordance with the provisos requesting quarterly quality assurance reports, reports were submitted for April and July 2016. The project steering committee submitted their report to the legislature on procurement status and court inclusions. The RFP will be ready for publication prior to the January 1, 2017 deadline. Lastly, the steering committee is working with the Office of the Chief Information Officer on the most efficient RFP evaluation strategy.

The business process engineers (BPEs) have been assisting with data cleanup in preparation for data conversion tasks. The BPEs have been doing site visits to local courts and probation departments to experience firsthand court and probation operations. The project architect is refining the implementation strategy in the areas of data conversion, testing, and deployment. The organizational change management team is working to ensure communication reaches all levels of court and probation stakeholders

The project is seeking approval today for the publication of the RFP on September 1st. The project team will continue to make local court and probation site visits through October 2016. A pre-proposal conference for interested vendors is scheduled for September 14th. Vendor proposals are due on December 2nd.

Motion: Mr. Larry Barker

I move that the JISC authorize release of the Courts of Limited Jurisdiction Case Management System (CLJ-CMS) Request for Proposal (RFP) as recommended by the CLJ-CMS Project Steering Committee.

Second: Ms. Aimee Vance

Voting in Favor: Justice Mary Fairhurst, Mr. Larry Barker, Ms. Lynne Campeau, Ms. Callie Dietz, Judge Jeanette Dalton, Mr. Rich Johnson, Judge J. Robert Leach, Mr. Frank Maiocco, Judge G. Scott Marinella, Ms. Barb Miner, Chief Brad Moericke, Ms. Brooke Powell, Judge David Svaren, Mr. Bob Taylor, Mr. Jon Tunheim, Ms. Aimee Vance, Judge Thomas J. Wynne

Opposed: None

Absent: None

JIS Priority Project #1 – SC-CMS

Ms. Maribeth Sapinosa provided an update on the SC-CMS project beginning with the most recent activities with Event #3 (Snohomish County) and the post implementation support for the Odyssey Courts. Ms. Sapinosa also provided recent activities for Event #4 (Asotin, Columbia, Garfield, and Whitman counties) including the request of Spokane County to delay their implementation due to needing more time to understand Odyssey and how it may or may not support their existing business processes. Ms. Sapinosa explained that Spokane's request to delay their Go-Live was brought to the Project Steering Committee, which unanimously approved it. Spokane's new Go-Live date has not yet been determined and is scheduled for analysis and review with Tyler, AOC, and the Project Steering Committee. Next, Ms. Sapinosa provided recent activities for Event #5 (Clark, Cowlitz, Grays Harbor, Klickitat, Mason, Pacific, Skamania, and Wahkiakum counties). In addition, other recent activities were mentioned such as the successful implementation of the Supervision module in Franklin County, completing Snohomish County Advanced Financial Training, successful completion of a three day on-site hands-on training in Yakima County, completion of a new Bonds training in Snohomish County, and successful completion of Odyssey Release 1. Last, a summary of SC-CMS post implementation support was provided for Go-Live and eService tickets resolved to date.

Data Dissemination Committee Report (DDC)

Judge Wynne reported the committee has received multiple requests. The committee approved a request from American Information Research regarding data aggregators and financial data. The committee also has received two academic requests, one from UC Berkley regarding financial data, debt collection and garnishment, which was approved. The other academic request was from Harvard regarding the prevalence of convictions dealing with financial judgements. The committee is doing ongoing review of the DD policy, and will make a recommendation in the near future.

AOC Expedited Data Exchange (EDE) Pilot Implementation Project

Mr. Kevin Ammons presented the update on the Expedited Data Exchange Project. Mr. Ammons announced that the project had secured a vendor, InfoTrellis, for the Data Integration portion of the project. He explained that the primary work for the vendor consisted of providing the software necessary to propagate statewide data from the JIS database to the Enterprise Data Repository. He also provided an update on the status of work with partner agencies to update the data exchanges to source data from the Enterprise Data Repository.

ITG #45 – AC-ECMS Update

Mr. Martin Kravik presented a status update on the AC-ECMS project. He reported that following the execution of the contract amendment the project started up again on July 6, 2016 with an agile training session for the combined vendor/AOC project team.

The first project iteration began on July 7, 2016 and was comprised of developing the initial set of product requirements, creating a new development environment based on the latest version of Hyland OnBase, verifying the accuracy of the OnBase Court of Appeals document structure, and mapping OnBase document attributes with ACORDS.

The next iteration began on July 20, 2016 and consisted of configuring the verified Court of Appeals document structure in OnBase, verifying the Supreme Court document structure, finalizing the document conversion maps for the three Court of Appeals (COA) document management systems, creating export processes for the document management systems in COA Divisions I and III, and began designing the Supreme Court document export processes.

The next iteration began on August 3, 2016 and configured the Supreme Court document structure in OnBase, created the Supreme Court document export process, tested the COA document export processes, built the OnBase client application installation scripts, and began building the processes to import documents into OnBase.

The next iteration began on August 17, 2016 and as of the JISC meeting was still in progress. Work continues on building the document import processes and work began on ingesting documents and metadata from the appellate court eFiling system.

The agile development process is working as anticipated. The combined development team is working well together and the incremental presentation to stakeholders of developed system functionality results in better understanding of what is happening.

Judge Leach raised the question of what the process would be for continued support after the contract term ends with the current vendor. He was concerned as to the current process in place and what support system would be available at that time to ensure continued support. Mr. Kravik stated AOC is working with ImageSoft staff and is actively involved in the development process to ensure that AOC staff will be able to carry on once the ImageSoft contract ends.

Mr. Rich Johnson initiated a discussion on project funding and the budget process going forward to ensure success. Discussion followed on the current budget proposal and next steps to assess future needs for a possible 2018 supplemental budget request based on the determination of the project status at end of the year.

Justice Fairhurst clarified that the budget discussions were for the current packages approved in concept to be submitted in October. Furthermore, by December all parties will have a better idea of AOC's ability to continue after the vendor's contract ends, and the project executive steering committee will give their blessing or not. If, in the long run, it is not going to satisfy all or be successful, then the ECMS steering committee can respond with their proposal and the JIS committee will move on from there with the option of a supplemental budget request if necessary.

ITG 41 Priority Project #3 – CLJ Revised Computer Records Retention/Destruction Process

Mr. Kevin Ammons reported that the ITG 41 - CLJ Revised Records Retention and Destruction project had completed implementation of new retention and destruction rules in 32 courts. The

project is now considered to be an operational implementation and status updates will be provided in the Announcements section of the Inside Courts webpage.

Adjournment

The meeting was adjourned by Justice Fairhurst at 12:45pm.

Next Meeting

The next meeting will be October 28, 2016, at the AOC SeaTac Facility; from 10:00 a.m. to 2:00 p.m.

Action Items

	Action Item – From October 7 th 2011 Meeting	Owner	Status
	Confer with the BJA on JISC bylaw amendment regarding JISC communication with the legislature.	Justice Fairhurst	
	Action Item – From (mtg date) Meeting		

**Administrative Office of the Courts
Information Services Division Project Allocation & Expenditure Update
2015-2017 Allocation**

Biennial Balances as of 9/30/2016

Initiatives--JIS Transition	ALLOTTED	EXPENDED	VARIANCE
Expedited Data Exchange (EDE)			
15-17 Allocation	\$8,540,000	\$2,518,592	\$6,021,408
Information Networking Hub (INH) - Subtotal	\$8,540,000	\$2,518,592	\$6,021,408
Superior Court CMS			
15-17 Allocation	\$13,090,000	\$12,754,257	\$335,743
Superior Court CMS Subtotal	\$13,090,000	\$12,754,257	\$335,743
Courts of Limited Jurisdiction CMS			
15-17 Allocation	\$3,789,000	\$572,382	\$3,216,618
Courts of Limited Jurisdiction CMS - Subtotal	\$3,789,000	\$572,382	\$3,216,618
Appellate Courts Enterprise CMS			
15-17 Allocation	\$584,000	\$584,000	\$0
Appellate Courts Enterprise CMS - Subtotal	\$584,000	\$584,000	\$0
Equipment Replacement			
15-17 Allocation	\$2,365,000	\$1,126,890	\$1,238,110
Equipment Replacement Subtotal	\$2,365,000	\$1,126,890	\$1,238,110
TOTAL 2015-2017	\$28,368,000	\$17,556,121	\$10,811,879

**2017-2019 Information Technology Budget Requests AOC
Final November 2016**

Administrative Office of the Courts – Information Technology Requests		
Title	FTE	Revised Amount
Superior Court-CMS	FTE 14.0	\$12,000,000
Funding is requested to continue the statewide implementation of the Superior Court Case Management System (SC-CMS). JIS Account		
Courts of Limited Jurisdiction-CMS	FTE 24.5	\$13,146,000
Funding is requested to continue the implementation of the Courts of Limited Jurisdiction Case Management System (CLJ-CMS). JIS Account		
Equipment Replacement	FTE 0.0	\$1,226,000
Funding is requested to replace end of life equipment in the courts and county clerk's offices. JIS Account		
Odyssey Continuing Support	FTE 8.0	\$1,429,000
Funding is requested continue support staff for the Superior Court Case Management System (Odyssey). JIS Account		
EDE Carryover	FTE 0.0	\$3,100,000
Funding is requested to continue the Expedited Data Exchange. General Fund State.		
EDE Fund Shift	FTE 0.0	\$2,413,000
Fund shift from the state general fund to the JIS Account for EDE costs during the 2015-2017 biennium. General Fund State.		
Total Request-JIS	FTE 46.5	Total \$33,314,000 JIS \$27,801,000 SGF \$5,513,000

**2018 Supplemental Information Technology Budget Requests AOC
Draft December 2016
Not in Priority Order**

Administrative Office of the Courts – Information Technology Requests		
Title	FTE	Revised Amount
Superior Court-CMS Extension	FTE TBD	\$1,400,000
Funding to implement an additional go live event (8). Funds will allow for the extension of the Tyler contract and continue AOC SC-CMS project staff for six (6) months. Will be considered by JISC on December 2, 2017.		
Enterprise Data Repository	FTE TBD	\$TBD
Funding to build the data exchange that will allow SC-CMS to send data to the EDR.		
Equipment Replacement-External	FTE 0.0	\$1,040,000
Funding to continue the five-year information technology replacement cycle for courts and county clerks offices.		
Equipment Replacement-Internal	FTE 0.0	\$1,823,000
Funding to replace end of life equipment and to improve performance of heavily used JIS services.		
EDE Ongoing Maintenance	FTE TBD	\$TBD
Funding to provide on-going maintenance and support for the Information Networking Hub (INH). The INH is the solution created for the Expedited Data Exchange.		
AC-ECMS	FTE TBD	\$TBD
Funding to continue development of the new commercial off-the-shelf electronic content management system for the Supreme Court and Court of Appeals. Amount will most likely change.		
Total Request	FTE TBD	Total \$TBD

TBD-Costs and funding levels have not been determined as of December 2016. Amounts will be provided once developed and finalized.

Superior Court Case Management System (SC-CMS) Project Update

Maribeth Sapinoso, AOC Program Manager, PMP
Keith Curry, AOC Deputy Project Manager

December 2, 2016

Recent Activities

Event #4

(Asotin, Columbia, Garfield, and Whitman Counties)

- ✓ Live with Odyssey – October 31, 2016
- ✓ Go Live issues as of November 10, 2016:

Logged	Open	Closed	New Development
28	7	21	0

- ✓ Conducted lessons learned – November 2016
 - On-Site post implementation support – December 2016

Recent Activities

Event #5 - May 2017 Go Live

(Cowlitz, Grays Harbor, Klickitat, Mason, Pacific, Skamania, and Wahkiakum Counties)

- ✓ Conducted two recurring stakeholder meeting – October and November 2016
- ✓ Completed first conversion of case data from SCOMIS to Odyssey – November 2016
- ✓ Conducted 3rd Party Document Management System (DMS) Kick-off meeting with Pacific, Klickitat, and Skamania Counties – November 2016
- ✓ Completed Power User training – November 2016

Recent Activities

Event #6 – November 2017 Go Live (Clallam, Island, Jefferson, Kitsap, San Juan, Skagit, and Whatcom Counties)

- ✓ Scheduled Implementation Planning Kick Off meetings
– December 2016
- ✓ Scheduled bi-weekly technical team meetings

Upcoming Activities

Event #5 – May 2017 Go Live

- Conduct first data conversion review – December 2016
- Conduct Business Process Reviews (BPRs) – December 2016

Event #6 – November 2017 Go Live

- Conduct Implementation Planning Kick-off meetings – December 2016
- Conduct Odyssey demonstrations and discussion of change – January 2017

Spokane County

- Meeting with AOC to explain EDE Project – December 5, 2016
- Kick-off meeting with SC-CMS Project Team to discuss functionalities of local applications with Odyssey – December 8, 2016
- New Implementation Date - TBD

Project Steering Committee

- Clark County requested to delay their scheduled implementation in May 2017 due to their local network requiring an upgrade.
 - ✓ Unanimously accepted by committee – September 2016
- Committee recommends the project timeline be extended six months by adding a new Go Live event and recommend the JISC request additional funding from the legislature in the 2018 supplemental budget.
 - ✓ Unanimously agreed by the committee – October 2016

Event 4 Implementation Asotin, Columbia, Garfield, Whitman

MILESTONES or PROJECT DELIVERABLES	CURRENT PLAN DATE
✓ Kickoff Completed	January 28, 2016
✓ Local Court Configurations Begins	May 16, 2016
✓ Second Data Conversion Push & Power User Review	August 4, 2016
✓ 60 Day Go-Live Readiness Assessment	September 6, 2016
✓ 30 Day Go-Live Readiness Assessment	October 3, 2016
✓ Document Image Extracts Completed	October 20, 2016
✓ End-User Training Completed	October 20, 2016
✓ Go-Live	October 31, 2016

Event 5 Implementation

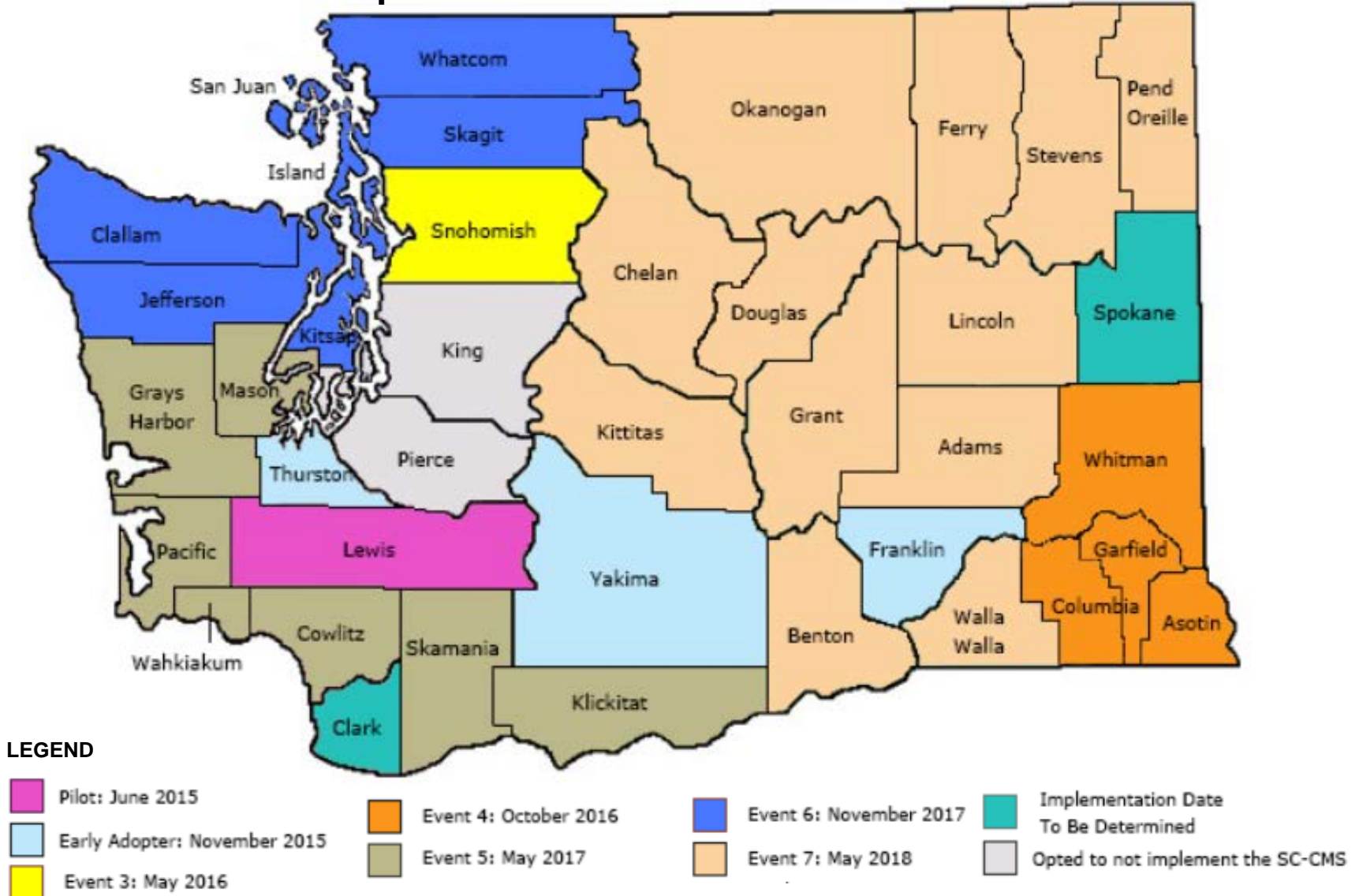
Cowlitz, Grays Harbor, Klickitat, Mason, Pacific, Skamania, Wahkiakum

MILESTONES or PROJECT DELIVERABLES	CURRENT PLAN DATE
✓ Kickoff Completed	June 9, 2016
✓ Begin Event 5 Monthly Stakeholder Meetings	October 27, 2016
✓ Initial Technical Assessment	October 28, 2016
✓ Third Party DMS Link Only Kickoff	November 17, 2016
✓ Begin Event 5 Bi-weekly Technical Meetings	November 21, 2016
✓ Event 5 Power User Training	December 1, 2016
▪ Business Process Reviews Begin	December 12, 2016
▪ First Data Conversion Push & Power User Review	January 27, 2017

Decision Point

- Extend the project's timeline by six months, adding a new Go Live event and allow the request for additional funding from the legislature in the 2018 supplemental budget

SC-CMS Statewide Implementation



Judicial Information System Committee Meeting, December 2, 2016

DECISION POINT – Superior Court Case Management System – Request to Extend Project Timeline

MOTION:

- I move that the JISC approve the SC-CMS Project Steering Committee's recommendation to extend the project's timeline by six months, add a new Go Live event, and support a request for additional funding from the legislature in the 2018 supplemental budget with a cost estimate of \$1.4 million.

I. BACKGROUND

While the Pilot and Early Adopter counties were determined early on in the project, the statewide rollout for the SC-CMS project was unanimously approved by the Project Steering Committee on September 15, 2015. The original statewide rollout plan included a total of seven events. Each event includes a group of counties, for a total of 37 counties, based on significant consideration of user counts, location, and geographic proximity as listed below:

Go-Live Event No.	County/Counties (user count)	Schedule	Number of Users
Event 1 (Pilot)	Lewis (29)	June 2015	29
Event 2 (Early Adopters)	Franklin (31), Thurston (87), Yakima (120)	November 2015	238
Event 3	Snohomish (135)	May 2016	135
Event 4	Asotin (10), Columbia (4), Garfield (4), Spokane (168), Whitman (4)	November 2016	190
Event 5	Clark (98), Cowlitz (37), Grays Harbor (14), Klickitat (7), Mason (19), Pacific (3), Skamania (6), Wahkiakum (3)	May 2017	187
Event 6	Clallam (22), Island (19), Jefferson (15), Kitsap (75), San Juan (9), Skagit (37), Whatcom (47)	November 2017	223
Event 7	Adams (7), Benton (53), Chelan (30), Douglas (7), Ferry (3), Grant (23), Kittitas (10), Lincoln (10), Pend Oreille (5), Okanogan (16), Stevens (17), Walla Walla (14)	June 2018	195

In August 2016, Spokane County requested a delay of their November 2016 scheduled implementation of to allow time to explore in detail with the AOC and Tyler Technologies if

and how the new case management system (Odyssey) can replace the functionalities of their local Superior Court applications. In August 2016, the Project Steering Committee unanimously accepted Spokane County's request for the delay.

In September 2016, Clark County also requested a delay of their scheduled implementation of May 2017 to allow their county the opportunity to upgrade their internal network necessary to efficiently operate and support Odyssey. In September 2016, the Project Steering Committee unanimously accepted Clark County's request for the delay.

II. DISCUSSION

The project has been successful, thus far, in keeping on track with the statewide implementation schedule; however, the delay of two large counties, Spokane and Clark County, significantly impacts the remaining statewide rollout schedule and the project's ability to stay on course in successfully implementing the remaining events on schedule.

As mentioned above, the statewide plan rollout was created with a load balance based on user counts, location, and geographic proximity. Several options were explored and analyzed with the Project Steering Committee on where best to place Spokane and Clark County in the existing statewide rollout.

Moving Spokane and Clark counties into existing go live events or creating a new event that overlaps the existing events presents a significant risk to both of these counties as well as the counties that are already scheduled. These risks include but are not limited to:

- Significant business process review risks that would dilute the focus from Event 6 and Event 7 counties.
- Significant training risks associated with user counts that are beyond the capacity of the current implementation team.
- Significant risk to project staff retention.

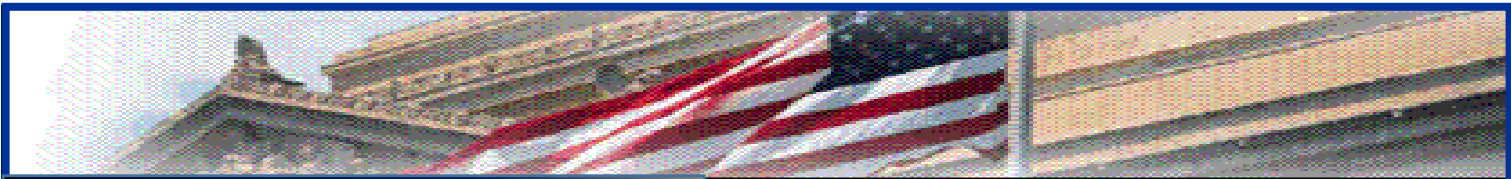
In addition, including Spokane and/or Clark County with Event 7 not only presents significant risks to the project's capacity of successfully implementing the largest number of counties in a single event but also is the event that includes at least three counties that currently lack agreement with their choice of document management system. Diluting the focus of management into implementation of additional counties during Event 7 introduces another level of risk in the area of change management.

Extending the project schedule, as proposed, will have a significant impact on the current project budget.

OUTCOME IF NOT PASSED –

The AOC would need to acquire and train additional staff to assist with the burden of implementing these two large counties within the same timeline as the current project timeline. These additional staff would not have the benefit of the years already spent on the project. This would result in a significant risk to the success of the project as the staff with experience would still need to be involved in every county regardless of the staffing levels.

There also exists a significant risk to the project in our ability to even recruit trainable and qualified staff for such a short timeframe. Staff that would be successful in this environment are highly desirable and would be very difficult if not impossible to recruit. This would potentially affect the project, the AOC and the counties being implemented by introducing risk in the form of staff that may not have the knowledge, skills and abilities nor the potential to gain these attributes in the time available.



bluecrane

Management Consulting

for

State and Local

Governments

Quality Assurance

Executive Advisement

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, 2016

Prepared by

Bluecrane, Inc.



bluecrane ®



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Part 1: Executive Dashboard

Introduction

This report provides the September 2016 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. This bi-monthly report covers the period of August 1 – September 30.

Executive Summary

For this two-month reporting period, we continue to highlight risks associated with the Spokane County implementation originally scheduled for Event 4 in late October. In July, Spokane County made a request to keep their Access database applications that duplicate calendaring and case management functionality in Odyssey and that require duplicate data entry to maintain synchronization with AOC systems. This request created a risk to the timely implementation of Event 4, planned for late October. In September, Spokane County agreed to review their processes in detail with AOC to determine if Odyssey will meet their needs, and a decision was made to delay Spokane County’s implementation to sometime after Event 4. This decision eliminated the immediate risk to a timely Event 4 Go-Live; however, a new risk has emerged to the overall rollout schedule as Spokane County’s implementation of Odyssey must be re-scheduled to a later date, presumably without impacting the overall timeline of the SC-CMS Project.

In addition to the postponement of Spokane County’s implementation of Odyssey, Clark County made a request to postpone their planned May 2017 implementation due to a lack of available resources in their county information technology organization. Rescheduling these two county implementations poses a risk to completing the SC-CMS Project within the original timeframe. Options for a revised rollout plan are under consideration by the project team, AOC, and the SC-CMS Steering Committee. The possibility of extending the overall SC-CMS Project timeline is an unattractive one, as doing so would assuredly result in increased costs.

Additional risks noted in this and prior reports related to resources and “integration” of Odyssey with other AOC judicial information systems remain concerns. At this point, impacted stakeholders are well aware of these risks and much is being done to mitigate the risks to the extent practical.

The project team continues to move forward successfully with readiness activities for the October 31, Event 4 implementation with the remaining four counties and the May 2017, Event 5 implementation with the remaining six counties.

Business Processes and System Functionality	Urgent Consideration	New Risk	May	July	Sept
			A	X	R

Spokane has two software applications, SuperMan and SuperCal (SM/SC) that Judges and the Court Administrator staff have integrated into their business processes. These local systems duplicate some of the functionality provided by Odyssey and require duplicate data entry into the Superior Court Management Information System (SCOMIS) to keep the Judicial Information System (JIS) updated with Spokane’s case information. Initially, Spokane’s preference was to maintain the current arrangement with Judges and the Court

Legend

N No Risk Identified	R Risk	X Extreme Risk	A Risk Being Addressed
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Administrator staff continuing to use only SM/SC to manage court business and have the County Clerk update Odyssey instead of SCOMIS to keep the data between the three systems synchronized.

In September, a decision was made to postpone the Spokane County implementation originally planned for October in order to provide time to review Spokane’s business processes in more detail. The goal of the review is to determine if there is an approach that is acceptable to both Spokane County and AOC to re-start planning for Odyssey implementation in Spokane County for a later date, while addressing the SM/SC issues.

For detailed assessment, see: [#BusinessProcesses](#)

Schedule	Urgent Consideration	Actions Taken to Address	May A	July A	Sept R
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As noted in the Business Process / System Functionality section, implementation of Spokane County will be postponed to a later date if they are able to replace their current local applications with Odyssey functionality. Additionally, Clark County requested postponement of their planned May 2017 implementation, citing a lack of available resources in their county information technology organization. The repositioning of these two counties in an already tight implementation timeframe may impact the overall project schedule for rollout of the remaining counties. Alternatives for incorporating Spokane and Clark counties later in the implementation schedule are being considered by the project team, AOC, and Steering Committee.

For detailed assessment, see: [#Schedule](#)

Budget	Serious Consideration	Actions Taken to Address	May N	July N	Sept R
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As noted in the Schedule section above, there is a risk that the overall implementation schedule may have to be extended to accommodate the repositioning of Spokane and Clark counties. If the implementation schedule is extended, there will likely be associated budget implications.

For detailed assessment, see: [#Staffing](#)

Staffing	Serious Consideration	Actions Taken to Address	May A	July A	Sept A
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With respect to resources, there continue to be more demands on the SC-CMS Project team than there are resources to fulfill the needs. Steps have been taken to help reduce the risk of constrained resources by moving operational support to other teams within AOC and leveraging county personnel to assist during upcoming county rollouts and to support each other in resolving issues.

For detailed assessment, see: [#Staffing](#)

Legend

- N No Risk Identified
- R Risk
- X Extreme Risk
- A Risk Being Addressed



Solution Integrations	Serious Consideration	Actions Taken to Address	May A	July A	Sept A
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With respect to the integration risk, recall that although the integration components that synchronize case and party data are working properly, replication process errors were being generated due to data entry errors in the counties that had implemented Odyssey. Additional resources applied to the problem were able to make a significant reduction in the backlog prior to the Snohomish implementation in May. However, the backlog began rising again in June and has continued to rise. In July additional resources were identified for recruitment and when hired they will be applied to reducing the backlog. This activity will require constant vigilance by the SC-CMS Project team until the all counties have been implemented and there is no longer a need for replication. Judges and court personnel have been notified of the potential problem of stale data in JIS and have been given instructions on how to view the most recent data using other data viewers such as the Odyssey Portal.

For detailed assessment, see: [#Integration](#)

Stakeholder Engagement/Organizational Change Management	Serious Consideration	Actions Taken to Address	May A	July A	Sept A
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Plans are moving forward to facilitate communication between counties to support each other with (1) a Washington-specific area within Tyler Community for asking/answering questions, (2) automated email distribution lists, and (3) facilitated conference calls with the implemented counties.

For detailed assessment, see: [#OCM](#)

Rollout, User Support and Operations	Serious Consideration	Actions Taken to Address	May A	July A	Sept A
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As noted in "Staffing," support of counties where Odyssey has already been implemented, in addition to facilitating the rollout of Odyssey to other counties in the future, is stretching available resources. There have been some delays in resolving issues that are occurring in counties where Odyssey has already been implemented. Work is underway to begin to transition support and maintenance of SC-CMS to an operational organization within AOC.

For detailed assessment, see: [#Support](#)

Legend

- N No Risk Identified
- R Risk
- X Extreme Risk
- A Risk Being Addressed



Part 2: Detailed Assessment Report



Project Management and Sponsorship

Category	Project Management and Sponsorship	May	July	Sept
Area of Assessment	Schedule	Risk Being Addressed	Risk Being Addressed	Risk
Urgency	Urgent Consideration			

Observation/Risk 1: As noted in the Business Process / System Functionality section, Spokane will be postponed to a later implementation if they are able to replace their current local applications with Odyssey functionality. Additionally, Clark County requested postponement of their planned May 2017 implementation, citing a lack of available resources in their county information technology organization. The repositioning of these two counties in an already tight implementation timeframe may impact the overall project schedule for rollout of the remaining counties. Alternatives for incorporating Spokane later in the county implementation schedule are being considered by the project team, AOC, and Steering Committee.

Observation/Risk 2: The resource risk described under “Staffing” (see the “People” section below within this detailed assessment) has schedule implications as well. As noted, the SC-CMS Project is mitigating the resource risk through careful scheduling and execution of readiness activities for the remaining Odyssey counties while supporting the five counties where Odyssey has been implemented. In some areas, activities are limited to the minimum necessary to continue with the county implementation schedule. For example, business process and configuration work has been limited and some project management activities have not been performed to the full extent. Although work on project activities related to future county implementations is progressing on schedule, concerns remain with over-allocation of resources and the potential for problems related to quality of deliverables, including the possibility of incomplete deliverables.

Status: AOC conducted a planning exercise to assign priorities to the work that must be completed over the next two years to identify allocations of AOC, Tyler, and county resources to planned activities. As noted in the Staffing area, funding for additional resources was provided by the legislature. Additionally, it may be necessary to decrease the scope of some activities, postpone activities, or eliminate some of them all together. This reduction applies to both project and legacy system support activities. Expectations should be set accordingly with AOC and county stakeholders on the level of effort allocated to SC-CMS and legacy system activities. The SC-CMS Steering Committee began a discussion of these concerns at their September meeting and will continue discussions as additional analysis by AOC staff and the SC-CMS Project is provided.

To return to Executive Dashboard, click: [#ExecDashboard](#)

Category	Project Management and Sponsorship	May	July	Sept
Area of Assessment	Budget	No Risk Identified	No Risk Identified	Risk
Urgency	N/A			

Observation/Risk: As noted in the Schedule section above, there is a risk that the overall implementation schedule may have to be extended to accommodate the repositioning of Spokane and Clark counties. If the implementation schedule is extended, there will likely be associated budget implications.

To return to Executive Dashboard, click: [#ExecDashboard](#)

Category	Project Management and Sponsorship	May	July	Sept
Area of Assessment	PMO: 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 a minimum level.

To return to Executive Dashboard, click: [#ExecDashboard](#)

Category	Project Management and Sponsorship	May	July	Sept
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.

To return to Executive Dashboard, click: [#ExecDashboard](#)

Category	Project Management and Sponsorship	May	July	Sept
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.

It may be necessary to decrease the scope of some implementation activities to more effectively utilize the limited project resources allocated to the project.

To return to Executive Dashboard, click: [#ExecDashboard](#)



Solution

Category	Solution	May	July	Sept
Area of Assessment	Business Processes / System Functionality	Risk Being Addressed	Extreme Risk	Risk
Urgency	Urgent Consideration			

Observation/Risk: Several years ago, Spokane developed two Microsoft Access software applications, SuperMan and SuperCal (SM/SC), to supplant the limited calendaring and case management functionality provided by SCOMIS. Judges and the Court Administrator staff have integrated these local systems into their business processes. Although SM/SC are able to pull statewide case data from the AOC JIS data repository, the Spokane County Clerk must enter data from SM/SC into SCOMIS to keep JIS updated with Spokane's case information thus requiring that the same data be entered twice.

Initially, the AOC SC-CMS Project team understood SM/SC to be similar to software applications that were implemented at other counties to supplement the functionality provided by SCOMIS. In the other counties implemented thus far, software with duplicative functionality has been decommissioned and Judges, Court Administrator, and County Clerk personnel in those counties now use Odyssey to support their court business processes. Initially Spokane's preference was to maintain the current arrangement with Judges and the Court Administrator staff continuing to use only SM/SC to manage court business and have the County Clerk update Odyssey instead of SCOMIS to keep the data between the local SM/SC systems synchronized with the state Odyssey system.

In 2014, we noted a risk of increased costs with the implementation of ancillary systems that duplicate Odyssey functionality. If counties or courts implement custom-developed or purchased systems that have overlapping functionality with SC-CMS, then the scope, complexity, and cost of SC-CMS will almost certainly increase, adding risk to the Project. Counties that implement their own court case management systems not only bear the one-time implementation costs of the one-off, stand-alone software, but also will have on-going maintenance costs for the software as well. In contrast, counties do not have direct costs for the Odyssey system as the solution is funded at the state level. AOC would incur on-going maintenance costs for custom integration if one-off, stand-alone systems were implemented. This ancillary system risk was successfully mitigated in October 2014 with a change to AOC policy that does not allow integrations of ancillary county systems with duplicative functionality. The policy change was followed up with a recommendation by the Project Steering Committee and approved by the JISC in June 2016 that the SC-CMS Project not allocate funding or resources to develop integrations with local ancillary systems that duplicate functionality provided by Odyssey.

In September, Spokane agreed to work with the SC-CMS Project team to determine if there are means acceptable to both Spokane and AOC to be able to discontinue the use of SM/SC. Changes may be required in Odyssey functionality or Spokane business processes to bridge any identified gaps.

Recommendation: *bluecrane* agrees with the approach taken by AOC and Spokane to identify, in detail, the specific differences between SM/SC and Odyssey, and perform an analysis of alternatives to modify Spokane business processes or enhance Odyssey to meet Spokane's business requirements if needed. Although commercial off-the-shelf (COTS) systems such as Odyssey do not offer the same degree of flexibility for modifications as custom systems do, the lower costs and faster timelines to implement make them very attractive alternatives to custom development. Typically, the differences between a legacy system and a COTS replacement system include the location of data fields in the user interface and variances in workflow. Changes



in software interfaces are never easy for solution users to absorb initially, but become “second nature” over time. Training materials that map data fields and workflow between the legacy SM/SC system and Odyssey would help to overcome concerns in adapting to the new system.

To return to Executive Dashboard, click: [#ExecDashboard](#)

Category	Solution	May	July	Sept
Area of Assessment	Solution Integrations	Risk Being Addressed	Risk Being Addressed	Risk Being Addressed
Urgency	Serious Consideration			

Observation/Risk: Although the integration components that synchronize case and party data between Odyssey and other AOC judicial information systems (JIS) are working correctly, replication process errors are generated if information is not entered into Odyssey in a specific sequence by the counties. Due to the resource constraints identified in the Staffing area, a backlog of replication process problems began to develop in late 2015 and continued to grow until March 2016. The backlog prevents the synchronization of Odyssey data with data in other AOC and state systems. This has the potential to result in legal problems if court decisions are made using stale data in the JIS.

Status: Additional resources applied to the problem were able to make a significant reduction in the backlog prior to the Snohomish implementation in May. However, the backlog began rising again in June and has continued to rise. In July additional resources were identified for recruitment and when hired they will be applied to reducing the backlog.

In addition to applying resources to resolve replication errors, AOC has taken the following measures to prevent replication process errors from occurring:

1. Provide upcoming and implemented Odyssey counties with additional education and work guides to prevent incorrect data entry.
2. Implement modifications to Odyssey that will prevent future incorrect data entry, thus preventing the generation of replication process problems.
3. Remove restrictions from the SCOMIS legacy case management system that require that data be entered in a specific sequence.

The replication problem will persist until all counties have been migrated to Odyssey in 2018. In the meantime, there are “workarounds” available to help ensure that all critical information is available to court personnel via other means. Specifically, judges and court personnel have been notified of the potential problem of stale data in JIS and have been given instructions on how to view the most recent data using other data viewers such as the Odyssey Portal.

To return to Executive Dashboard, click: [#ExecDashboard](#)

Category	Solution	May	July	Sept
Area of Assessment	System Requirements, Design, and Configuration	No Risk Identified	No Risk Identified	No Risk Identified
Urgency	N/A			



Observation: Configuration for Event 4 Counties that will be implemented in late October is underway. It is anticipated that modifications to statewide and local configurations will be made for the Odyssey-implemented counties as they become more familiar with the new system in the coming months. Significant changes to the configuration will be approved by the CUWG and will be processed through the Change Management process.

To return to Executive Dashboard, click: [#ExecDashboard](#)



Category	Solution	May	July	Sept
Area of Assessment	Information Retrieval and Reporting	No Risk Identified	No Risk Identified	No Risk Identified
Urgency	N/A			

Observation: Requirements gathering, analysis, and development of SC-CMS reports has been ongoing since the early stages of the project. A minimum set of reports was made available for the Pilot and Early Adopter Counties. Additional reports have been developed as needed to fulfill requirements as they have been identified for the upcoming and implemented counties. The project conducted an analysis to determine legacy system reports that can be replaced by Odyssey standard reports and those legacy reports that will require new reports developed using the Enterprise Custom Reports (ECR) tool.

The Odyssey Portal has been implemented to provide case information access to selected members of the public, including attorneys and title companies. Currently, multiple Portal access IDs are required for those that need access to case information and documents from multiple counties. Alternatives to remedy this problem are being developed.

The public will continue to use JIS-Link to access case information for counties where Odyssey has yet to be implemented.

To return to Executive Dashboard, click: [#ExecDashboard](#)



People

Category	People	May	July	Sept
Area of Assessment	Staffing	Risk Being Addressed	Risk Being Addressed	Risk Being Addressed
Urgency	Serious Consideration			

Observation/Risk: There has been significant effort by the SC-CMS Project Team and other AOC management and staff to facilitate and complete the implementation readiness activities for upcoming Counties and, **at the same time**, provide adequate support to the counties that have implemented Odyssey. The rollout of upcoming counties and support of counties that have implemented Odyssey requires sharing the limited AOC, Tyler, and County resources that (1) are knowledgeable and proficient in Odyssey functionality and (2) have experience with deployment of the system. Some of the resource deficit can be attributed to increasing of the initial scope of the project with document management, financials, and other functionality while having to hold project staffing to align with approved legislative funding levels.

Odyssey support and operational needs have been increasing over the past year since the Pilot County (Lewis County) implementation with the rollout of Early Adopter and Snohomish counties and will continue to increase over the next several years as Odyssey is implemented in the remaining counties. These needs include first and second level Help Desk support, configuration support, business process support, on-going training, release testing and deployment, AOC system integration support, county system integration support, and infrastructure support. The SC-CMS rollout will create a “bubble” of demand for support and operational resources that should eventually subside as court personnel increase their knowledge and skills in utilization of Odyssey and as AOC and county resources are redirected from support of legacy systems to support of SC-CMS. If the support “bubble” is not addressed, counties may experience delays in obtaining support from AOC, and the quality of the SC-CMS rollout to the remaining counties may be affected as the project team attempts to participate in both rollout and operational support activities.

Status: AOC continues to mitigate the risks of constrained resources using the following approaches:

- AOC is continuing to transition operational support for the implemented SC-CMS counties to the groups in AOC that are responsible for operational support of the legacy systems. Due to the support bubble identified above, the level of operational support for legacy systems, including SCOMIS, will decrease as non-project resources at AOC take on the operational support of SC-CMS. This approach is very typical of new system implementations and necessary to ensure adequate resources are allocated to rollout and support of the new system. Support needs for legacy systems fall off sharply as a new replacement system is implemented since there is typically little value in allocating more than the minimum resources to keep the legacy system operating. Other support needs such as Help Desk and ongoing training are not required because of the in-depth knowledge of the legacy system in the counties. This allows the remaining counties to be nearly self-supporting during the rollout of the new system.
- AOC is preparing “Power Users” in the counties where Odyssey will be implemented in 2016 to become very proficient in the use of Odyssey so that they can assist other staff during the ramp-up following Go-Live;
- Engaging upcoming county staff to assist with readiness activities;



- Engaging county staff from the four counties where Odyssey has now been implemented to assist each other and to help with future county implementations;
- Temporarily allocating staff from other areas of AOC to the SC-CMS project;
- Leveraging Tyler resources where possible;
- Leveraging business processes and Odyssey configurations from the implemented counties for the upcoming counties where Odyssey will be implemented; and
- Utilizing “Lessons Learned” from the completed county implementations in order to help ensure that it will be unnecessary to repeat “course adjustments” made during those implementations.

To return to Executive Dashboard, click: [#ExecDashboard](#)

Category	People	May	July	Sept
Area of Assessment	Stakeholder Engagement / Organizational Change Management	Risk Being Addressed	Risk Being Addressed	Risk Being Addressed
Urgency	Serious Consideration			

Observation/Risk: Although stakeholder engagement and organizational change management (OCM) activities have been utilized to help prepare AOC and county staff for transitioning to the new system, efforts in this area have been limited primarily to training activities due to resource constraints. The project team continues to conduct periodic meetings with the counties that have implemented Odyssey to discuss operational issues and activities. The project team also meets with the next several counties who will implement Odyssey to discuss implementation activities. Although these meetings, along with periodic Town Hall meetings and Odyssey training, provide information to the counties, communications and engagement with stakeholders are limited. Additional organizational change management activities would help smooth the transition to the new system and business processes.

Recommendation: Additional resources should be allocated to stakeholder engagement and organizational change management activities using the SC-CMS Communication Plan as a guide to help smooth the transition through increased communication and awareness activities. These stakeholder activities should be coordinated with the business process activities identified in the Business Process/System Functionality area.

To return to Executive Dashboard, click: [#ExecDashboard](#)

Category	People	May	July	Sept
Area of Assessment	Rollout, User Support, and Operations	Risk Being Addressed	Risk Being Addressed	Risk Being Addressed
Urgency	Serious Consideration			

Observation/Risk: Project resources are being stretched for support and operations of counties where Odyssey has already been implemented in addition to facilitating the rollout of Odyssey to the remaining counties. As a result, there have been delays in resolving issues that are occurring in Odyssey production counties. Work is underway to transition support and maintenance of SC-CMS to the operational organization within AOC. Additionally, as identified in the Staffing area, funding for additional resources was provided by the



legislature. However, even with these mitigations, it is likely that a resource deficit will exist during the rollout timeframe.

To return to Executive Dashboard, click: [#ExecDashboard](#)



Category	People	May	July	Sept
Area of Assessment	Contract and 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. Vendor deliverables required for Go-Live events in the counties where Odyssey has been implemented thus far were completed in time for the implementations.

To return to Executive Dashboard, click: [#ExecDashboard](#)



Data

Category	Data	May	July	Sept
Area of Assessment	Data Preparation	Risk Being Addressed	Risk Being Addressed	No Risk Identified
Urgency	Serious Consideration			

Observation/Risk: The AOC Data Quality Coordinator is coordinating preparation of data in AOC and local court applications. One of the preparation activities is the development of a data profiling report that will identify anomalies in data stored in the 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.

To return to Executive Dashboard, click: [#ExecDashboard](#)

Category	Data	May	July	Sept
Area of Assessment	Data Conversion	No Risk Identified	No Risk Identified	No Risk Identified
Urgency	N/A			

Observation: Conversion readiness activities, including validation of converted data converting documents for incorporating into Odyssey, are underway for Snohomish and Spokane Counties.

To return to Executive Dashboard, click: [#ExecDashboard](#)



Infrastructure

Category	Infrastructure	May	July	Sept
Area of Assessment	Statewide Infrastructure	No Risk Identified	No Risk Identified	No Risk Identified
Urgency	N/A			

Observation: The project continues readiness preparations to ensure sufficient capacity on the state network for the estimated volume of Odyssey and document management system transactions that will occur as counties are migrated into the production environment.

To return to Executive Dashboard, click: [#ExecDashboard](#)

Category	Infrastructure	May	July	Sept
Area of Assessment	Local Infrastructure	No Risk Identified	No Risk Identified	No Risk Identified
Urgency	N/A			

Observation: The SC-CMS project team is working with counties where Odyssey will be implemented in the future to ensure that (1) the local county workstations have been configured correctly and (2) the county servers and network are appropriately sized to handle the volume at Go-Live. Purchases of additional workstation and server hardware are being made as needed to fulfill infrastructure requirements.

To return to Executive Dashboard, click: [#ExecDashboard](#)



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***
- ***Solution***
- ***People***
- ***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 that 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
 - PMO: Change, Risk, Issue, Quality Management
- ***Solution***
 - Business Processes/System Functionality
 - System Requirements, Design, and Configuration
 - Solution Integrations
 - Information Retrieval and Reporting
- ***People***
 - Staffing
 - Stakeholder Engagement and Organizational Change Management
 - Rollout, User Support, and Operations



- Contract Management / Deliverables Management
- **Data**
 - Data Preparation
 - Data Conversion
- **Infrastructure**
 - Statewide Infrastructure
 - Local Infrastructure

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, *results 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.

Court of Limited Jurisdiction Case Management System (CLJ-CMS)

Project Update

Michael Walsh, PMP - Project Manager

December 2, 2016

Project Activities

- Project Team is focused on stakeholder outreach:
 - ✓ Visited with staff from 36 court and probation sites.
 - Providing a project information table at upcoming conferences.
 - Advisement on EDE project activities.

Procurement Activities

- Request for Proposal (RFP):
 - ✓ Published on August 26th.
 - ✓ Preproposal conference held September 14th.
 - ✓ Replied to 87 vendor submitted questions.
 - ✓ Three vendors submitted the letters of intent to bid.
 - ✓ Steering Committee has selected the proposal evaluation team.
- Proposals due December 2nd.

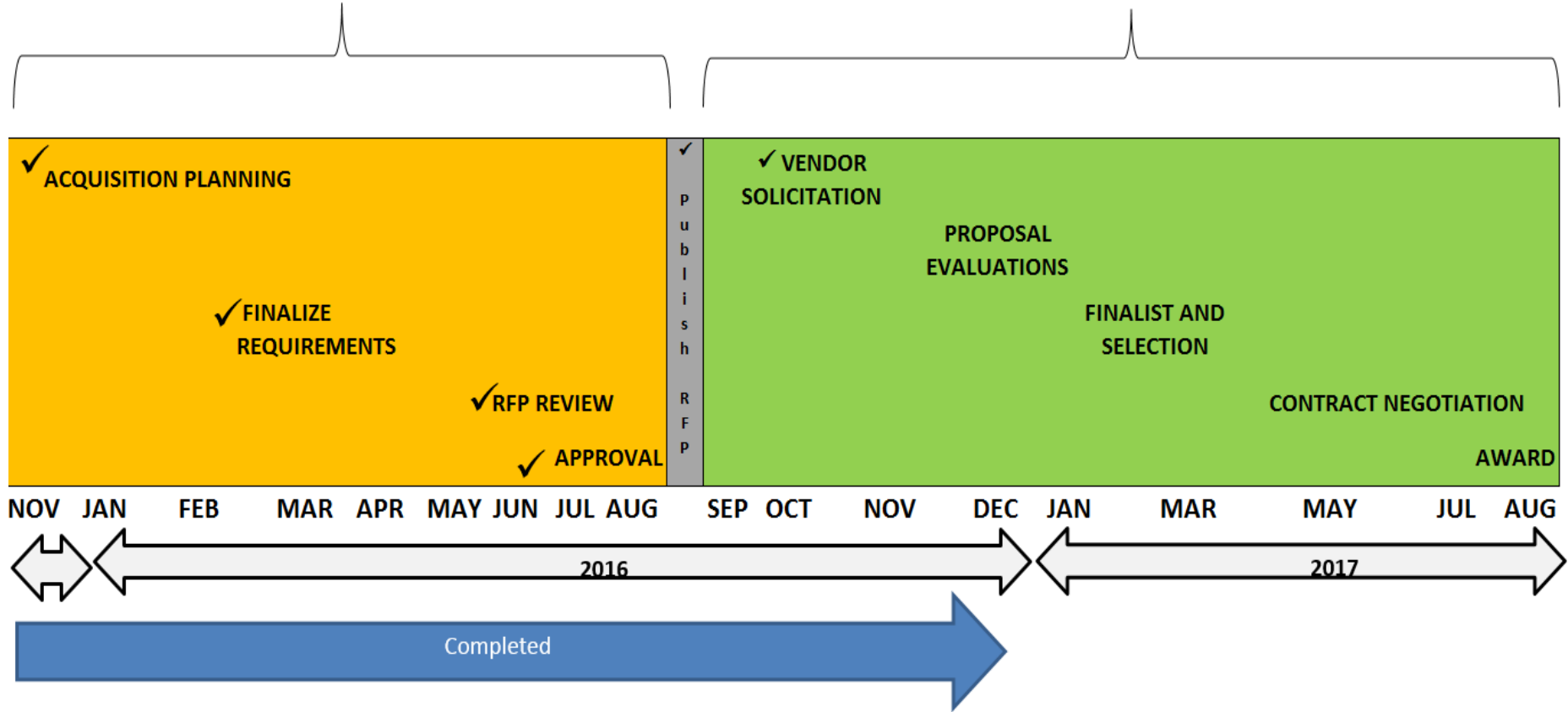
RFP Evaluation Team Composition

Evaluation Tasks	Job Function	Tier I Evaluators	Tier II Evaluators
Evaluate Written Proposals 12/7/16 to 1/11/17 Attend/Score Demonstrations 2/13/17 to 2/24/17 Conduct Site Visits 4/10/17 to 4/28/17	Probation Staff	3	3
	Court Managers	4	4
	Judges	3	3
	Local Technical Staff	3	3
	AOC ISD Staff	5	5
	AOC JSD Staff	2	2
On-site visits – Attendees 4/10/17 to 4/28/17 (non-scoring)	AOC CIO CLJ-CMS Project Manager JSD CBO Manager		3

Acquisition Schedule

Pre RFP publication activities

Post RFP publication activities



✓ Indicates activity is complete

Indicates pre publication activities

Indicates RFP publication activities

Indicates post publication activities

Active Project Risks

Total Project Risks		
Low Exposure	Medium Exposure	High Exposure
1	1	1

Significant Risk Status

Risk	Probability/Impact	Mitigation
There is a risk that continued involvement of CUWG members whose courts are implementing their own CMS solution could expose the CLJ-CMS procurement to protest.	Med/High	Request a revision to the CUWG charter for the CLJ associations to limit members to courts and probation departments participating in the CLJ-CMS implementation.

Active Project Issues

Total Project Issues			
Active	Monitor	Deferred	Closed
0	2	0	0

Significant Issues Status

Issue	Urgency/Impact	Action
None		

Next Steps

Milestone	Date
Vendor proposals due	Dec. 2, 2016
Written proposal evaluations start	Dec. 7, 2016
Vendor demonstrations	Feb. 14-17 & Feb. 21-24, 2017
On-site visits	April 10-14, April 17-21, & April 24-28, 2017
Award decision	May 17, 2017
Expected contract start	Sept. 1, 2017

Decision Point

Judicial Information System Committee Meeting, December 2, 2016

DECISION POINT – Courts of Limited Jurisdiction Case Management System (CLJ-CMS) – Court User Work Group Charter Amendment

MOTIONS:

1. I move that the JISC amend the Court User Workgroup (CUWG) Charter for the Courts of Limited Jurisdiction Case Management System Project to remove non-voting representatives from the DMCJA and DMCMA courts that have not committed to use the statewide case management solution provided by AOC.

I. BACKGROUND

On April 25, 2014, the JISC approved the CLJ-CMS Project Steering Committee, and Court User Work Group (CUWG) charters. The CUWG charter included a non-voting representative of the DMCMA from a court not intending to implement the statewide case management system. On June 27, 2014, the JISC amended the CUWG charter to include a representative of the DMCJA from a court not intending to implement the statewide case management system. The intention of including these non-voting members was to ensure that the project captured all the business requirements from the Courts of Limited Jurisdiction. That objective has been met.

The DMCMA and DMCJA appointed non-voting members to the CUWG from King County District Court, and they have provided valuable input in creating inclusive statewide business requirements. After the CUWG was chartered, King County District Court has since contracted with Journal Technologies to implement an independent case management system. The system is scheduled to go live in its first pilot court in August, 2017.

On November 1, 2016, the CLJ-CMS Project Steering Committee discussed the current and future work of the CUWG on this project. At this stage, the project will be evaluating vendor's products and making decisions about configuration and implementation of the statewide system.

II. DISCUSSION

A project risk and concern has been identified with having courts who are actively implementing products from vendors who may respond to the CLJ-CMS RFP serve as CUWG members on the CLJ-CMS project. By doing so, we could potentially open the door to a protest from vendors because of CUWG members' experience with the vendor implementing the King County District Court project. It is important

that the project minimize any risks that could potentially lead to a protest of the selection of a vendor for the statewide system.

In this phase of the project, the CUWG will be making decisions about how to configure the system so it works best for courts across the state. Because of this, the CLJ-CMS Project Steering Committee believes the project should now only involve courts that are committed to implementing the statewide system. Therefore, the steering committee voted on November 1, 2016 to recommend amendment of the CLJ-CMS CUWG charter to remove the DMCMA and DMCJA members from courts not intending to implement the statewide system.

The Project Steering Committee appreciates the work that those members contributed to the development of the business requirements for the Courts of Limited Jurisdiction RFP.

III. OUTCOME IF NOT PASSED –

If the JISC does not amend the CUWG charter to remove members from courts not intending to implement the statewide system, the project risks a protest from vendors because of CUWG members' experience with the vendor implementing the King County District Court project.



**Courts of Limited Jurisdiction
Case Management System Project
Court User Work Group
Charter**

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Document Revision History

Author	Version	Date	Comments
D. Mejia	.1	3/14/2014	Initial draft
	1.0	2/7/2014	Changes based on internal team review
	4.0	6/4/2014	Add CUWG member names
M. Walsh	5.1	7/2/2014	Approved version accepted by JISC, PSC
	5.2	7/29/2014	Added rep. selected by the ATJ Board
		8/5/2014	Added rep. selected by the WSBA
M. Walsh	5.4	-11/17/15	CUWG member replacements for Judges and AOC
M. Walsh	5.5	2/3/2016	CUWG member replacement for ATJ member
M. Walsh	5.8	11/2/2016	Updates to DMCMA and DMCJA participation.

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1 Introduction

The Courts of Limited Jurisdiction wish to acquire and implement at a statewide level, a commercially available off-the-shelf court case management system to replace the aging District Court Information System (DISCIS) aka Judicial Information System (JIS). On April 25, 2014, the Judicial Information System Committee (JISC) authorized the project and the formation of the CLJ Project Steering Committee and the CLJ Court User Work Group (CLJ-CUWG) to establish an effective project governance structure ensure a successful project.

The CLJ-CUWG will serve as subject matter experts on court business processes, court operations, and the use of the DISCIS/Judicial Information System (JIS) for the purposes of defining and implementing the court's desired business processes and requirements through a case management system.

2 Purpose

The CLJ-CUWG is needed to support the project by providing guidance and essential information regarding the court's business processes and requirements. The CLJ-CUWG will work closely with AOC's Court Business Office (CBO) and the CLJ project's business analysts to capture and document the desired processes to be implemented via a new case management system.

The CLJ-CUWG will be a decision making body in regard to the court's business processes and requirements, ensuring that the process and requirements being captured are complete and accurate.

The CLJ-CUWG will strive to identify opportunities to establish common court business processes that could be packaged and configured as a model for deploying a new case management system across the state.

The CUWG will also need to provide insight on potential impacts, opportunities, and constraints associated with the transition to a new case management system.

The CLJ-CUWG will need to exist throughout the duration of the CLJ-CMS project to provide consistency.

3 Sponsor

The Judicial Information System Committee (JISC) is the sponsor for the formation of the CUWG.

4 Guiding Principles

The CLJ-CUWG will be guided by the following principles:

- Members will have a statewide and system-wide view of court operations, and shall pursue the best interests of the court system at large while honoring local decision making authority and local practice.
- Members will make timely decisions as needed to successfully implement a statewide solution.
- Members will be open to changing practices where it makes sense.
- Members will not avoid or ignore conflicting processes, requirements, and stakeholder views, and will proactively discuss and resolve issues.
- Members will strive to build a healthy and collaborative partnership among the court stakeholders, the AOC, and vendor representatives that is focused on providing a successful outcome.
- Members will ensure the CLJ-CMS Project Team complete and document validated court functions and processes to arrive at a complete understanding of the current and desired future state of court business processes.
- Members will work to understand the features and capabilities of the new case management system.
- Members will fulfill a leadership role in communicating with their peers about issues and decisions.
- Members will be guided by the [Access to Justice Technology Principles](#).

5 Decision Making and Escalation Process

The CLJ-CUWG should work towards unanimity, but make decisions based on majority vote. Decisions made by the CLJ-CUWG are binding. Issues that are not able to be resolved by the CLJ-CUWG will be referred to the CLJ-CMS Project Steering Committee for resolution. Any issue that cannot be resolved by the CLJ-CMS Project Steering Committee and will materially affect the project's scope, schedule or budget, will be referred to the Judicial Information System Committee (JISC) for a final decision.

6 Membership

The CUWG will include representatives from the District and Municipal Court Judges' Association (DMCJA), the District and Municipal Court Management Association (DMCMA), the Misdemeanant Corrections Association (MCA), the Administrative Office of the Courts (AOC), the Washington State Bar Association (WSBA), and the Access To Justice (ATJ) Board.

Membership from the court should include a cross section of different geographic locations and court characteristics (district court, municipal court, court size, rural, metropolitan, etc.).

The CLJ-CUWG will be comprised of ~~15~~13 total members of which only 11 are voting members who are direct users of the system and ~~4~~2 are non-voting members.

The voting members will be appointed by the following associations and organizations:

- 2 members from the District and Municipal Court Judges' Association (DMCJA)
- 5 members from the District and Municipal Court Management Association (DMCMA)
- 2 members from the Misdemeanant Corrections Association (MCA).
- 2 members from the Administrative Office of the Courts (AOC).

The ~~4~~2 non-voting members will be appointed by the following associations and organizations:

- ~~1 representative from the DMCMA from a court that has not expressed an intent to use the statewide case management solution provided by AOC.~~
- ~~1 representative from the DMCJA from a court that has not expressed an intent to use the statewide case management solution provided by AOC.~~
- 1 representative from Washington State Bar Association (WSBA).
- 1 representative from the Access to Justice Board (ATJ).

Non-voting members are encouraged to provide subject matter expertise and input into the decision making process. Other subject matter experts may be invited to provide additional detailed information to support and inform the decision making process.

All CLJ-CUWG members should have deep knowledge of court functions, business processes, and business rules in the following areas:

- Manage Case
 - Initiate case, case participant management, adjudication/disposition, search case, compliance deadline management, reports, case flow lifecycle
- Calendar/Scheduling
 - Schedule, administrative capabilities, calendar, case event management, hearing outcomes, notifications, reports and searches
- Entity Management
 - Party relationships, search party, party management, reports and searches, administer professional services
- Manage Case Records
 - Docketing/case notes, court proceeding record management, exhibit management, reports and searches
- Pre-/Post Disposition Services
 - Compliance, access to risk assessment tools, reports and searches
- Administration

- o Security, law data management

7 Membership Terms

CLJ-CUWG members must be consistent to maintain continuity and minimize risk. Members are expected to attend all meetings for the duration of the project. If a member is not able to attend a meeting, the member must delegate an alternate or proxy from their association in advance and notify the AOC CBO.

Organization	Member(s)	Alternate(s)
District and Municipal Court Judges' Association	<p>Judge R.W. Buzzard, Lewis County District Court Judge Tam Bui Snohomish County District Court Everett Division</p> <p>Judge Patricia Connolly Walker, Spokane County District Court</p> <p>(non-voting) Judge Donna Tucker, King County District Court</p>	
District and Municipal Court Management Association	<p>Ms. Suzanne Elsner, Marysville Municipal Court,</p> <p>Ms. Paulette Revoir, Lynnwood Municipal Court</p> <p>Ms. Amy Shaffer, Tukwila Municipal CourtTBD</p> <p>Mr. Maury Baker, Kitsap County District Court</p> <p>Ms. Karen Carr, Pierce County District Court</p> <p>(non-voting) Ms. Leanna Young, King County District Court</p>	

Organization	Member(s)	Alternate(s)
Misdemeanant Corrections Association	Mindy Breiner, Tukwila/SeaTac Municipal Probation Services Kristine Nisco, Pierce County District Court Probation Department	
Administrative Office of the Courts	Eric Kruger , <u>Jenni Christopher</u> Information Services Division Michelle Pardee, Judicial Services Division	
Washington State Bar Association	Virginia Amato	
Access to Justice Board	Rita Dermody <u>Marc Lampson</u>	

8 Roles and Responsibilities

JISC – The JISC shall authorize the creation of the CUWG and is the final authority when issues are escalated by the CLJ-CMS Project Steering Committee that affect scope, budget and/or schedule.

CLJ-CMS Project Steering Committee – The project steering committee will establish the CLJ-CUWG charter and provide overall guidance and decision making authority on issues that are not resolvable at the CLJ-CUWG level.

Associations – The various associations will select members to represent them on the CLJ-CUWG.

CLJ-CUWG Members – The CLJ-CUWG members will actively participate in court business process discussions, make timely decisions, and complete assignments as needed to accomplish business process initiatives, improvements, and standardization.

- Identify common court business processes that could be packaged and configured as a model and used for deployments to courts with similar characteristics
- Identify opportunities to refine court business processes through review, analysis and continuous process improvement
- Must be open to new ideas and new ways of doing things

- Ensure that court business processes and requirements are complete, accurate and documented
- Provide insight on potential impacts, opportunities, and constraints associated with transforming court business processes and transitioning to new systems.
- Advocate for the agreed-upon process change, innovation, and standardization
- Advocate for and communicate decisions and changes to their staff, colleagues, associations, and coworkers

Court Business Office – The CBO staff will facilitate the CLJ-CUWG meetings and work collaboratively with the CUWG, vendor representatives, and others in AOC in identifying common court business processes that could be packaged and configured as a model for deploying a new case management system across the state. CBO staff will regularly report to the JISC on the activities of the CUWG.

CLJ-CMS Project Team – The project team is responsible for providing the project plan, executing the project activities, and making decisions at the project level that do not have a significant impact on the overall schedule, scope, and budget. Additionally, the project team will provide analysis and documentation to support the CUWG, the project steering committee and/or sponsors for business decision processing when the decision cannot or should not be made at the project level.

AOC CLJ-CMS Project Sponsors (State Court Administrator, Information Services Division Director and Judicial Services Division Director) – The project sponsors make non-policy decisions that have an impact on the scope, schedule or budget for the CLJ-CMS project and provides analysis to the AOC and the CLJ-CUWG to support the decision making process when escalated to the CLJ-CMS Project Steering Committee.

9 Meetings

- The CLJ- CUWG shall hold meetings as necessary by the project schedule and associated deliverables.
- Travel expenses shall be covered under the project budget.
- There must be a quorum of 6 voting members present to hold a vote; 1 from the DMCJA, 3 from the DMCMA, 1 from the MCA, and 1 from the AOC.
- If a voting member is not available, proxy voting is allowed.

Meeting Frequency:

- Meetings will be scheduled as needed, but are expected to be monthly.
- The meeting will be held in-person at AOC's SeaTac facility or a designated alternate facility.
- Meetings will begin promptly at 8 a.m.
- It is expected that each meeting will last up to 6 hours.
- Voting members will be mandatory attendees on meeting schedule notices and every effort will be made to avoid scheduling conflicts.

- Subject matter experts brought to the meeting by the members – to provide expert information on a specific topic – will be identified in advance to ensure that they are included on the agenda and receive meeting materials.
- AOC's CBO will facilitate the meetings and will be responsible for providing the members pertinent meeting information and artifacts at least 3 days before the scheduled meeting.

Decisions:

- The CLJ-CUWG will use the majority voting model.
- Voting members who disagree or have concerns with a decision must articulate the reasons for the conflict and concern. The concerns will be documented by the CBO and the work group will strive to answer and address the conflict until all members are comfortable with the direction to move forward.
- If all options have been explored by the group and a clear impasse exists, the issue will be directed to the CLJ-CMS Project Steering Committee for direction and decision.
- Decisions must be made in a timely manner to ensure the successful progression of the project activities dependent on the completeness and accuracy of the business processes and requirements.
- All decisions that materially impact scope, schedule or budget of the project will be automatically escalated to the CLJ-CMS Project Manager to follow the established governance process.

10 Budget

~~There is no designated funding for the CLJ project in the current biennium.~~ All project resources ~~for the initial phase of this project~~ will be provided ~~using internal AOC staff~~ through funds designated to the CLJ-CMS project from the legislature. ~~—~~ Staffing is dependent on current workloads and staff availability. Future phases of the project are dependent on funding from the legislature.

11 Signatures

<p>_____</p> <p>Date _____</p> <p>Callie T. Dietz Washington State Court Administrator Administrative Office of the Courts</p>	<p>_____</p> <p>Date _____</p> <p>Honorable G. Scott Marinella Veronica Alicea Galvan President District and Municipal Court Judges Association (DMCJA) Judge Des Moines Municipal Court Columbia County District Court</p>
<p>_____</p> <p>Date _____</p> <p>Aimee Vance Paulette Revoir President District and Municipal Court Management Association (DMCMA) Administrator Kirkland Municipal Court Lynnwood Municipal Court</p>	<p>_____</p> <p>Date _____</p> <p>Deena Kaelin Molly O. Davidson President Misdemeanant Corrections Association (MCA) Probation Clerk/Officer Puyallup and Milton Municipal Probation Services Spokane County Cheney Probation Services</p>



bluecrane
Management Consulting
for
State and Local
Governments

Quality Assurance

Executive Advisement

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)

CLJ-CMS Project

September 30, 2016

Prepared by
Bluecrane, Inc.



bluecrane ®



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Part 1: Executive Dashboard

Introduction

This report provides the September 2016 quality assurance (QA) assessment by Bluecrane, Inc. (“bluecrane”) for the State of Washington Administrative Office of the Courts (AOC) Courts of Limited Jurisdiction – Case Management System (CLJ-CMS) Project.

Executive Summary

The primary focus of the project at this time is the procurement for the CLJ-CMS software vendor, which is progressing smoothly. Other areas of the project are in planning stages or are underway. The project got early starts in several areas, including organizational change management activities, establishing the Court User Workgroup (CUWG), and developing a set of future-state business processes.

Although we have not identified any risks to the overall project scope, schedule, or budget, we have highlighted several areas that bear monitoring due to the critical dependence required for a successful project.

Vendor Procurement	Urgency: N/A	Status: Monitor	July N	Sept N	Nov <input type="checkbox"/>
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Procurement for the CLJ-CMS software vendor is underway. The Request for Proposals (RFP) was approved by the CLJ-CMS Steering Committee and Judicial Information System Committee (JISC) in August and released on August 26. Planning is underway for the evaluations that are scheduled for December and demonstrations by top-ranked vendors in February.

For detailed assessment, see: [#Procurement](#)

Solution Integrations	Urgency: N/A	Status: Monitor	July N	Sept N	Nov <input type="checkbox"/>
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State-level data and system integration will be provided through the AOC Enterprise Data Repository (EDR) that is currently under development. The EDR is planned for implementation in mid-2017 by the Expedited Data Exchange (EDE) project. The CLJ-CMS Project’s reliance on the EDR establishes a very heavy dependency on the success of the EDE project. We recommend that the CLJ-CMS Project team stay in close touch with the EDE project to monitor progress and participate in testing activities.

For detailed assessment, see: [#Integration](#)

Staffing	Urgency: N/A	Status: Monitor	July N	Sept N	Nov <input type="checkbox"/>
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The project has adequate resources to complete the procurement phase. Additional technical resources will be on-boarded starting in January.

Legend

N	No Risk Identified	R	Risk	X	Extreme Risk	A	Risk Being Addressed
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Implementation of CLJ-CMS will require sharing the limited AOC, vendor, and local court and probation resources that are knowledgeable and proficient in the new system functionality. Setting expectations with local courts for the level of support they can expect for rollout and operational support of both the new and legacy systems will help smooth the transition.

For detailed assessment, see: [#Staffing](#)

Stakeholder Engagement / Organizational Change Management	Urgency: N/A	Status: Monitor	July	Sept	Nov
			N	N	

Organizational Change Management (OCM) activities are underway with project information being disseminated through association meetings and other events, Washington court websites, and awareness surveys.

The CLJ-CMS Project has a large number of stakeholders dispersed throughout the state. The engagement of these dispersed stakeholders requires an emphasis on project activities to ensure that stakeholders are informed, have their concerns addressed, and have their expectations set appropriately. Two-way communication is exceedingly important in gaging the effectiveness of communications. OCM strategies cannot be effectively implemented without sufficient resources to perform the work.

For detailed assessment, see: [#OCM](#)

Legend



No Risk Identified



Risk



Extreme Risk



Risk Being Addressed



Part 2: Detailed Assessment Report



Project Management and Sponsorship

Category	Project Management and Sponsorship	July	Sept	Nov
Area of Assessment	Governance	No Risk Identified	No Risk Identified	
Urgency	N/A			

Observation: The implementation of the CLJ-CMS project involves and impacts many stakeholders at the courts, AOC, and other state agencies. The structure of the project presents a challenge to the efficient and effective decision-making that will be needed to keep the project progressing successfully through the implementation.

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

Business functionality governance is achieved through the Court User Workgroup.

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Category	Project Management and Sponsorship	July	Sept	Nov
Area of Assessment	Scope	No Risk Identified	No Risk Identified	
Urgency	N/A			

Observation: Effective management of scope is critical to the success of the project in meeting schedule and budget constraints. A “baseline” for scope is established prior to the start of contract negotiations and then managed using the project change control and governance processes through the life of the project. Project scope is reviewed and communicated frequently during the project through the organizational change management process. These activities will help to ensure that stakeholders understand the scope of the project and are involved in changes to scope at appropriate levels of the organization.

The scope of the CLJ-CMS project is established in the system vendor RFP requirements and includes the deliverables defined in the Statement of Work (SOW). It is possible that the scope will be modified during the fit-gap analysis when the requirements are validated by the selected system vendor, AOC, and the CUWG. Scope will be managed through the Requirements Traceability Matrix, system vendor contract deliverables, and the Project Change Management process.

Modifications to project scope can impact the project schedule and budget. Project scope can be increased through the addition of requirements or by expansion of project activities. As the requirements are further defined during the fit-gap activity, there may be discoveries that result in the need for additional scope that was not identified in the RFP requirements, or there may be refinements of requirements that result in the expansion of work activities that impact the schedule or budget.

It may be necessary to modify the scope of implementation activities if project resources allocated to the project are limited due to budget constraints.

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Category	Project Management and Sponsorship	July	Sept	Nov
Area of Assessment	Schedule	No Risk Identified	No Risk Identified	
Urgency	N/A			

Observation: The procurement phase is currently on schedule. The project team is beginning to plan timelines for subsequent phases of the project, but the full project schedule will not be baselined until the vendor contract is executed and a project schedule has been developed collaboratively by the system vendor and project team and approved by the Steering Committee. System bidders have been asked to provide a detailed schedule with their RFP proposal submission.

Recommendation: As project timelines are refined, schedule contingency time should be allocated to mitigate the risk of unforeseen complexities, staff changes, or imprecise estimates of effort. Schedule contingency can be allocated to individual tasks, intermediate milestones, or at the overall schedule level. Explicit schedule contingency is easier to track as it is consumed. The percentage of schedule contingency should be based on the level of confidence in the estimates for the individual tasks as affected by factors such as the experience of the estimators, whether or not the resources are 100% allocated to project activities or will also be providing operational support, familiarity with the technology, familiarity with business processes, interdependencies, etc.

If the schedule has no contingency to consume and activities require more time than planned, there may be a tendency to reduce time allotted to activities near the end of the configuration phase, including testing and training, to avoid extending the date for pilot Go-Live. If time is reduced for critical activities, the quality of the implementation can be compromised.

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Category	Project Management and Sponsorship	July	Sept	Nov
Area of Assessment	Budget	No Risk Identified	No Risk Identified	
Urgency	N/A			

Observation: An initial budget for the project has been allocated. The budget may be revised based on the executed system vendor contract.

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Category	Project Management and Sponsorship	July	Sept	Nov
Area of Assessment	PMO: Change, Risk, Issue, Quality Management	No Risk Identified	No Risk Identified	
Urgency	N/A			

Observation: The project team is beginning to establish processes to manage and track the project. Project communications are occurring at regularly scheduled project team, sponsor, and steering committee meetings.

It is important that the quality of project deliverables be considered when estimating effort and resources required to complete the deliverables. Stakeholders at all levels should consider the impact to the success of the project if quality is compromised to meet previously identified milestones. The effect of quality on the success of the project will be most apparent in the areas of requirements, organizational change management, testing, and integrations.

Recommendation: As identified in the Project Schedule area, an evaluation should be performed in all areas of the project to ensure that estimates of effort and resources remain accurate and include sufficient contingency to allow for discoveries that will occur in the upcoming phases. Project stakeholders should support the project's evaluation of effort and time required to produce quality deliverables and results.

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People

Category	People	July	Sept	Nov
Area of Assessment	Staffing	No Risk Identified	No Risk Identified	
Urgency	N/A			

Observation: The project has adequate resources to complete the procurement phase. Based on lessons learned from the SC-CMS project, CLJ-CMS resources were allocated early in the project to perform business analysis, technical analysis, and organizational change management. These project resources are being utilized to support the procurement of the CLJ-CMS vendor as well as beginning preparations for upcoming phases of the project. Additionally, planning is underway to determine the resource needs and timing for the remainder of the project to ensure adequate funding and allocation of resources when needed. Areas under consideration include business analysis, conversion, training, deployment, and operational support.

Recommendation: *bluecrane* agrees with the project's approach to conduct early planning for resource requirements through the duration of the project. Lack of sufficient resources continues to be an issue with the SC-CMS project as they attempt to facilitate and complete the implementation readiness activities for upcoming courts and, **at the same time**, provide adequate support to the courts where the system has been implemented. Implementation requires sharing the limited AOC, vendor, and local court and probation resources that are knowledgeable and proficient in the new system functionality. This resource "bubble" of demand for support and operational resources will eventually subside as court personnel increase their knowledge and skills in the use of the new system and as AOC and local court resources are redirected from support of legacy systems to support of the new system. However, setting expectations with local courts for the level of support they can expect for rollout and operational support of both the new and legacy systems will help smooth the transition.

Status: As identified in the project staffing plan, additional resources are planned to be added to the project starting in January. The additions will be primarily technical resources.

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Category	People	July	Sept	Nov
Area of Assessment	Stakeholder Engagement / Organizational Change Management	No Risk Identified	No Risk Identified	
Urgency	N/A			

Observation: Organizational Change Management (OCM) activities are underway with project information being disseminated through association meetings and other events, Washington court websites, and awareness surveys. The OCM lead has formed a sub-team with participants from the CLJ-CMS project and from other business and information technology support areas at AOC. OCM requirements have been identified in the vendor RFP and include requirements for vendor support and involvement in OCM activities.

Note that we differentiate between four types of stakeholder engagement communications that occur during a system implementation: stakeholder relationship management, organizational change management, project communications, and transition management.



1. **Stakeholder relationship management** communication activities are aimed at ensuring support and positive involvement of stakeholders who have the ability to influence the success of the project.
2. **Organizational change management** communication activities focus on change within the social infrastructure of the workplace to support new ways of doing work and overcome resistance to change by setting expectations with regards to specific changes to the workplace.
3. **Project communications** are used to inform executives, sponsors, business management, interface partners, and other stakeholders of project progress, accomplishments, planned activities, risks, and issues.
4. **Transition management** communications provide stakeholders with information about the product and changes to operations primarily through training.

This section of the report focuses on the first two areas of stakeholder relationship management and organizational change management. Project communications are assessed in the PMO Processes section and transition management is assessed in the Training and Rollout, User Support, and Operations sections.

Recommendation: Effective organizational change management and stakeholder relationship management are key to successful implementation of any project. These areas are especially critical in this project due to the need to implement standardized processes across the state and the large number of stakeholders dispersed throughout the state. The engagement of these dispersed stakeholders requires an emphasis on project activities to ensure that stakeholders are informed of project progress, are aware of short-term and long-term impacts to business processes, have their concerns solicited and addressed through the life of the project, and have their expectations set as to the functionality that will and *will not* be available in the system.

bluecrane agrees with the approach taken by the OCM team in assessing stakeholder groups on a regular basis to monitor their level of involvement and support of the project and how court staff are moving along the Change Acceptance Curve through awareness and understanding. Two-way communication is exceedingly important in gauging the effectiveness of communications.

bluecrane also agrees with the approach to have the system vendor provide resources to support OCM activities. Although OCM is primarily an activity that should be driven by AOC and court business leaders, OCM strategies cannot be effectively implemented without sufficient resources to perform the work.

To return to Executive Dashboard, click: [#ExecDashboard](#)

Category	People	July	Sept	Nov
Area of Assessment	Training	No Risk Identified	No Risk Identified	
Urgency	N/A			

Observation: Planning for system training has begun, including consideration of the involvement of system vendor in providing training, the timing of training, and configuration of the system training environment. Training requirements have been specified in the RFP.

Training for evaluators who will score the vendor RFP proposals is being planned as well.

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Category	People	July	Sept	Nov
Area of Assessment	Rollout, User Support, and Operations	No Risk Identified	No Risk Identified	
Urgency	N/A			

The project team has begun implementation planning with respect to the timing and resource requirements for court preparation, conversion, training, Go-Live events, and transition to operations. Due to the large number of courts to be moved to the new system (300+), consideration is being given to the best approach that will result in quality implementations in the least amount of time. Alternatives include 1) beginning the pilot implementation with one or more of the larger courts to quickly begin building a reserve of court staff that will assist with implementations in other courts or 2) starting small to gain experience with smaller courts first. Bidders have been asked to propose a rollout strategy in their response to the system implementation RFP.

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Category	People	July	Sept	Nov
Area of Assessment	Contract and Deliverables Management	No Risk Identified	No Risk Identified	
Urgency	N/A			

Observation: The draft system vendor contract has been completed and included in the RFP. Development of the draft contract was a collaborative effort by the AOC Contracts Office, CLJ-CMS stakeholders, and the State Attorney General's Office.

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Solution

Category	Solution	July	Sept	Nov
Area of Assessment	Vendor Procurement	No Risk Identified	No Risk Identified	
Urgency	N/A			

Observation: The procurement for the CLJ-CMS software vendor is progressing smoothly. The development of the RFP was approved by the CLJ-CMS Steering Committee and Judicial Information System Committee (JISC) in August and released on August 26. A pre-proposal conference was conducted in mid-September. Vendor questions were received in late September and responses will be provided in early October. Planning is underway for the evaluations that are scheduled for December and demonstrations by top-ranked vendors in February.

Recommendation: Expectations should be set with evaluators and alternate evaluators as to the time commitment required to perform a quality evaluation of the RFP vendor proposals. Evaluators will be expected to attend evaluator training, perform the evaluations, attend vendor demonstrations, and deliberate on vendor selection.

To return to Executive Dashboard, click: [#ExecDashboard](#)

Category	Solution	July	Sept	Nov
Area of Assessment	Business Processes / System Functionality	No Risk Identified	No Risk Identified	
Urgency	N/A			

Observation: The CBO got an early start on defining the CLJ business processes that will be used as a basis for deriving the requirements for system functionality to support the processes. The CLJ-CMS CUWG was formed to represent the business interests of the CLJ courts and engaged to develop a set of future-state business processes. The CBO worked with CUWG members to identify and address problems that courts are currently experiencing with the legacy system and their existing business processes.

Recommendation: *bluecrane* agrees with the approach taken by the CBO to work with the CLJ CUWG, Steering Committee, and court stakeholders to standardize business processes as much as possible across the state to align with core system functionality of the selected Commercial Off-the-Shelf system. Standardized business processes will reduce cost and complexity of both the short-term project implementation and long-term operational support of the business processes and supporting system functionality. We highly recommend that, where possible, courts modify their business processes to align with the standardized processes.

A second recommendation is to identify as early as possible any local systems that have been implemented in the courts or any systems planned for implementation that have duplicative functionality with the derived requirements. It is important to understand the mapping of these ancillary systems to CLJ-CMS requirements to determine an approach for providing similar functionality in the new system and decommissioning the local legacy systems.

To return to Executive Dashboard, click: [#ExecDashboard](#)



Category	Solution	July	Sept	Nov
Area of Assessment	Solution Requirements, Design, and Configuration	No Risk Identified	No Risk Identified	
Urgency	N/A			

Observation: Requirements for information system implementation projects are typically divided into those required to support business processes and those to support the technical needs. Both types of requirements have been identified in the RFP, being further divided into mandatory and desirable requirements. The business requirements were developed by the CBO in conjunction with the CUWG. The CBO focused on deriving the approximately 1,500 requirements based on future-state business processes that were developed by addressing problems that courts are currently experiencing. A requirements traceability matrix is being maintained to log changes to the requirements including the reason for each change. Using lessons learned from the SC-CMS project, the requirements development was begun well in advance of the development of the RFP. It is expected that not all identified business requirements will be implemented due to budget constraints. This expectation has been communicated to the CUWG and Steering Committee.

Technical requirements have been identified in the RFP as well, including browser, security, and performance requirements. The technical requirements are based on information technology best practices and were derived using input from the AOC technical SMEs, technical requirements from the SC-CMS RFP, and lessons learned from the SC-CMS project.

Recommendation: *bluecrane* agrees with the approach taken by the project to drive towards limiting the amount of software customizations and modifications in the configuration of the system for local court implementations. Software customizations are problematic long-term due to the need for ongoing testing and modifications necessary to keep system customizations in synch with new versions of the core system as they are released. Variances in local configurations increase the implementation resources and timeframe for each court, and are difficult and expensive to support long-term. In nearly all cases, a less expensive and less troublesome approach is for courts to make the often minor modifications to their business processes to align with the core system functionality.

To return to Executive Dashboard, click: [#ExecDashboard](#)



Category	Solution	July	Sept	Nov
Area of Assessment	Software Integrations	No Risk Identified	No Risk Identified	
Urgency	N/A			

Observation: There are two levels of integrations between CLJ-CMS and other computer systems. State-level integrations will provide the transfer of information between CLJ-CMS and other state systems, including those at AOC and other state agencies such as the Department of Corrections and State Patrol. The systems at AOC include the Judicial Information System (JIS) that provides access to case information across the state. The second type of integrations are local court integrations that will provide the transfer of information between CLJ-CMS and local court and city information systems.

State-level integration will be provided through the AOC Enterprise Data Repository (EDR), which is currently under development. The EDR is planned for implementation in mid-2017 by the Expedited Data Exchange (EDE) project. King County District Court will be the first court supported by the EDR as part of the independent King County case management system implementation. If the EDR is not implemented in time for the first CLJ-CMS court, then the CLJ-CMS project would have to either (1) delay the first court implementation until the EDR is completed or (2) build separate integrations using completed components of the EDR to support the CLJ-CMS courts.

The CLJ-CMS project's reliance on the EDR establishes a very heavy dependency on the success of the EDE project. A similar dependency existed between the SC-CMS project and the Information Networking Hub (INH) project. While the INH project was completed in time for the SC-CMS pilot, there was not sufficient time for testing, which has resulted in continuing integration-related problems for the SC-CMS rollout. At this time, we simply provide an observation that the dependency between the two projects is significant, but we are not raising a risk.

Recommendation: We recommend that one or more members of the CLJ-CMS project team attend EDE project meetings to stay informed on project progress, issues, and risks. We also recommend that the CLJ-CMS project be involved in EDR testing as early as possible to reduce the possibility of integration problems during and following pilot.

To return to Executive Dashboard, click: [#ExecDashboard](#)

Category	Solution	July	Sept	Nov
Area of Assessment	Information Retrieval and Reporting	No Risk Identified	No Risk Identified	
Urgency	N/A			

Observation: The business requirements identified in the CLJ-CMS RFP include requirements for reporting and on-line access to party and case information. As part of the implementation, the project will conduct an analysis to determine legacy system reports that can be replaced by reports that come standard with the new system and those legacy reports that will require new reports to be developed using a report development tool.

To return to Executive Dashboard, click: [#ExecDashboard](#)



Data

Category	Data	July	Sept	Nov
Area of Assessment	Data Preparation	No Risk Identified	No Risk Identified	
Urgency	N/A			

Observation: The project team has an early start on communicating to courts the need to resolve data inaccuracies in the legacy systems on an on-going operational basis prior to conversion of their data to the new system. Data profiling reports are being provided to courts to identify data anomalies in the Judicial Information System (JIS). The preparation of data for conversion is typically a long, tedious activity that should be started as early as possible since the local court and probation resources that are allocated to data clean-up also have daily operations responsibilities.

If local courts do not allocate sufficient resources to data preparation activities, data problems will be transferred to the new system. Data quality issues may affect synchronization processes, which could indirectly (or directly) impact court operations.

Recommendation: *bluecrane* agrees with the approach being taken by the project to encourage courts to review data quality reports and resolve noted data problems as part of their normal on-going operational processes.

To return to Executive Dashboard, click: [#ExecDashboard](#)

Category	Data	July	Sept	Nov
Area of Assessment	Data Conversion	Not Assessed	Not Assessed	
Urgency	N/A			

This area will be assessed later in the project.

To return to Executive Dashboard, click: [#ExecDashboard](#)



Infrastructure

Category	Infrastructure	July	Sept	Nov
Area of Assessment	Statewide Infrastructure	Not Assessed	Not Assessed	
Urgency	N/A			

This area will be assessed later in the project.

To return to Executive Dashboard, click: [#ExecDashboard](#)

Category	Infrastructure	July	Sept	Nov
Area of Assessment	Local Infrastructure	Not Assessed	Not Assessed	
Urgency	N/A			

This area will be assessed later in the project.

To return to Executive Dashboard, click: [#ExecDashboard](#)



Part 3: Review of *bluecrane* Approach

We began our Quality Assurance engagement for the AOC CLJ-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***
- ***Solution***
- ***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 that 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
 - PMO: Change, Risk, Issue, Quality Management
- ***People***
 - Staffing
 - Stakeholder Engagement/Organizational Change Management
 - Training
 - Rollout, User Support, and Operations
 - Contract and Deliverables Management
- ***Solution***
 - Vendor Procurement
 - Business Processes / System Functionality



- Solution Requirements, Design, and Configuration
- Solution Integrations
- Information Retrieval and Reporting
- **Data**
 - Data Preparation
 - Data Conversion
- **Infrastructure**
 - Statewide Infrastructure
 - Local Infrastructure

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, *results 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

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 CLJ-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.

Expedited Data Exchange (EDE)

Program Update

Kevin Ammons, PMP
Program Manager

December 2, 2016

INH Expedited Data Exchange

Program Manager Kevin Ammons
Architecture Manager Kumar Yajamanam
Program Architect Eric Kruger

INH Enterprise Data Repository

Project Manager
Sriram Jayarama
Solution Architect
Chau Ngyuen

Major Activities

1. Design the EDR database to support JIS Standards for Local Automated Court Record Systems
2. Develop and implement a data exchange solution to enable systems to read, update, and delete data in the EDR
3. Support EDR onboarding of AOC, KCDC and other systems

JIS Application Integration

Project Manager
Dan Belles
Solution Architect
Rama Sunchu

Major Activities

1. Implement changes to current JIS applications necessitated by statewide data not being available from the JIS database
2. Re-engineer business processes to support changed functions of existing applications
3. Develop training and education for changed applications

Data Integration

Project Manager
Sree Sundaram
Solution Architect
Vijay Kumar

Major Activities

1. Develop processes for initial load and on-going updates of JIS data to the EDR
2. Provide consultation to KCDC regarding JIS data, if necessary
3. Purge KCDC records from JIS after KCDC has implemented its case management system

Data Validation

Project Manager
Sree Sundaram
Solution Architect
Vijay Kumar

Major Activities

1. Develop data validation business rules and person business rules
2. Implement solution to evaluate data written to the EDR and record a score relating to the quality of the data
3. Develop solution for reference data management

Data Warehouse

Project Manager
TBD
Solution Architect
TBD

Major Activities

1. Conduct impact analysis and develop strategy
2. Implement changes to the data warehouse to support selected strategy
3. Develop training and education for changes implemented in the data warehouse

Recent Activities - EDR

- Continuing development of the EDR Abstraction Layer, which makes interfacing with the EDR simpler for developers
 - ✓ Added Delete functionality to Abstraction Layer
 - Developing Security User Interface
- Began EDR performance testing

Recent Activities – Application Integration

- Working closely with partner agencies to agree on approaches for new data exchanges
 - ✓ High-level approaches have been agreed to with most agencies
- Evaluating impact of providing JABS access to prosecuting attorneys and public defenders on the planned EDE application changes
 - ✓ Determined that JCS changes are unlikely to be implemented prior to King County CMS implementations
 - Resource conflict limits AOC's ability to update Adult Static Risk Assessment (ASRA)

Recent Activities – Data Integration

- ✓ Data Integration Vendor, InfoTrellis presented Proof of Concept
 - ✓ Transferred small amount of data from JIS to EDR
 - ✓ Given approval to proceed with development for first push of JIS data to EDR
 - ✓ Detailed solution design presented to AOC
- First load of JIS data to the EDR planned to occur no later than January 31

Recent Activities – Data Validation

- ✓ Released Data Validation RFP on October 14
- ✓ Pre-bid conference completed on October 24
- Vendor responses due on November 29
- ASV will be announced on January 20
- Contract execution and vendor on-boarding planned for February 14

Recent Activities – Data Warehouse

- On boarding new Project Manager
- Finalizing the approach for Data Warehouse
- Identifying and aligning available internal resources

Active Project Risks

Total Project Risks		
Low Exposure	Medium Exposure	High Exposure
2	4	8

Significant Risk Status

Risk	Probability/Impact	Description
Justice Partner Agency Interfaces	High/High	Work required with justice partner agencies may conflict with resource availability in the other agencies
JIS Application Dependencies	High/High	Most JIS applications require changes prior to the first jurisdiction implementing its new CMS. Delays could impact users of statewide data.

Significant Risk Status (cont.)

Risk	Probability/Impact	Description
King County & AOC Project Schedules	High/High	The project schedules required to support the current schedule remain aggressive and heavily interdependent. Any disruption will impact all participants.

Steering Committee is managing and reviewing all risks.

Active Project Issues

Total Project Issues			
Low Urgency	Medium Urgency	High Urgency	Closed
1	1	6	1

Significant Issues Status

Issue	Description	Action
Resource shortages amongst developers and business analysts	The program does not have sufficient resources to complete all required tasks	AOC is contracting business analysts due to lack of adequate results from recruitment of employees. Also attempting to locate a uniPaaS programmer.
New Business Processes	Significant changes to JIS court business processes will be required	AOC is preparing a Business Impact Analysis to initiate the communication of impacts with the JIS user community.

Significant Issues Status (cont.)

Issue	Description	Action
Codes and Governance	If there is not uniform governance of codes and other policies, changes in one system could result in significant complications with data in the EDR.	This issue is being analyzed, but it will likely be escalated to the JISC for action.
Implementation Schedule Conflicts	The current implementation schedule will carry the project beyond the planned end date.	The issue is being analyzed by the EDE Program.

Steering Committee is managing and reviewing all risks.

Project Milestones

King County Milestones	Date
<i>KCDC Pilot Go Live – One location</i>	<i>August 2017</i>
<i>KCDC Additional Go Live Events – Seven remaining locations</i>	<i>Complete NLT December 2018</i>
<i>King County Clerk’s Office Go Live</i>	<i>January 2018</i>

AOC Milestones	
✓ Release EDR version 1	June 2016
✓ Contract Data Integration Vendor	August 2016
✓ Release Data Validation RFP	October 2016
JIS Data Integration Complete	April 2017
EDR Version 2 Release	June 2017
Support KCDC Go Live	August 2017



King County District Court Case Management System Project Update

Judge Donna Tucker – Presiding Judge

Othniel Palomino – Chief Administration Officer

December 2, 2016

Project Overview

Project Description:

King County District Court is implementing a unified case management system using modern technology that would allow the Court to become more efficient and provide new services to the public.

In Scope

- Core Case Management System
- eFiling
- Probation System Replacement
- Document Management System
- eMitigation System
- Digital Signatures
- Electronic Data Exchange – EDR
- External Interfaces not covered through Data Exchange

Out of Scope

- Video Conferencing Capabilities
- Court Audio Recording

Recent Activities

- **Completed** Baseline system configuration
- System & interface design & configuration – **In Process**
- EDR interface analysis & design to send and retrieve statewide data – **In Process**
- DOL & KCDC working on specifications to send and retrieve drivers record data – **In Process**
- Data Conversion analysis & design – **In Process**

Project Milestones



King County
District Court

Mile	Planned Completion Date
✓ Project Kickoff	April 2016
Analysis/Design/Configuration	March 2017
System Testing	July 2017
Interfaces/Data Conversion	August 2017
Pilot Go Live	August 2017



King County
Department of Judicial
Administration

King County Clerk's Office Systems Replacement Project

Project Update

Barbara Miner
King County Clerk

December 2, 2016

Project Overview

- In Scope
 - Case Management functionality that replaces JIS/SCOMIS and functionality in 3 KCCO systems
 - Financial Management functionality that replaces JRS and JASS
 - Integrations with internal KCCO and King County systems, AOC, DOL, and others
- Out of Scope
 - Replacement of existing:
 - Document Management System
 - eFiling Application
 - Public-facing and partner-facing Document Viewers

Recent Activities

- Configured general ledger and receipting functionality
- Mapping data fields and creating conversion scripts for JIS data conversion
- Developing EDR interface to send and retrieve statewide data
- Implemented standard integration with existing document management system
- Kicked-off engagement with Quality Assurance Consultants - Case Associates, Inc.
- Reviewing proposals from Software Testing firms



Project Milestones

Milestone	Date
✓ Project Kick-off	April 2016
Analysis/Design/Configuration	June 2017
Interfaces/Data Conversion	November 2017
System & User Acceptance Testing	November 2017
Final Data Conversion & Go-Live	January 2018

Administrative Office of the Courts

Quality Assurance Consulting Services

Integrated Solutions Group LLC

INH-EDE Steering Committee Follow-on Report #3

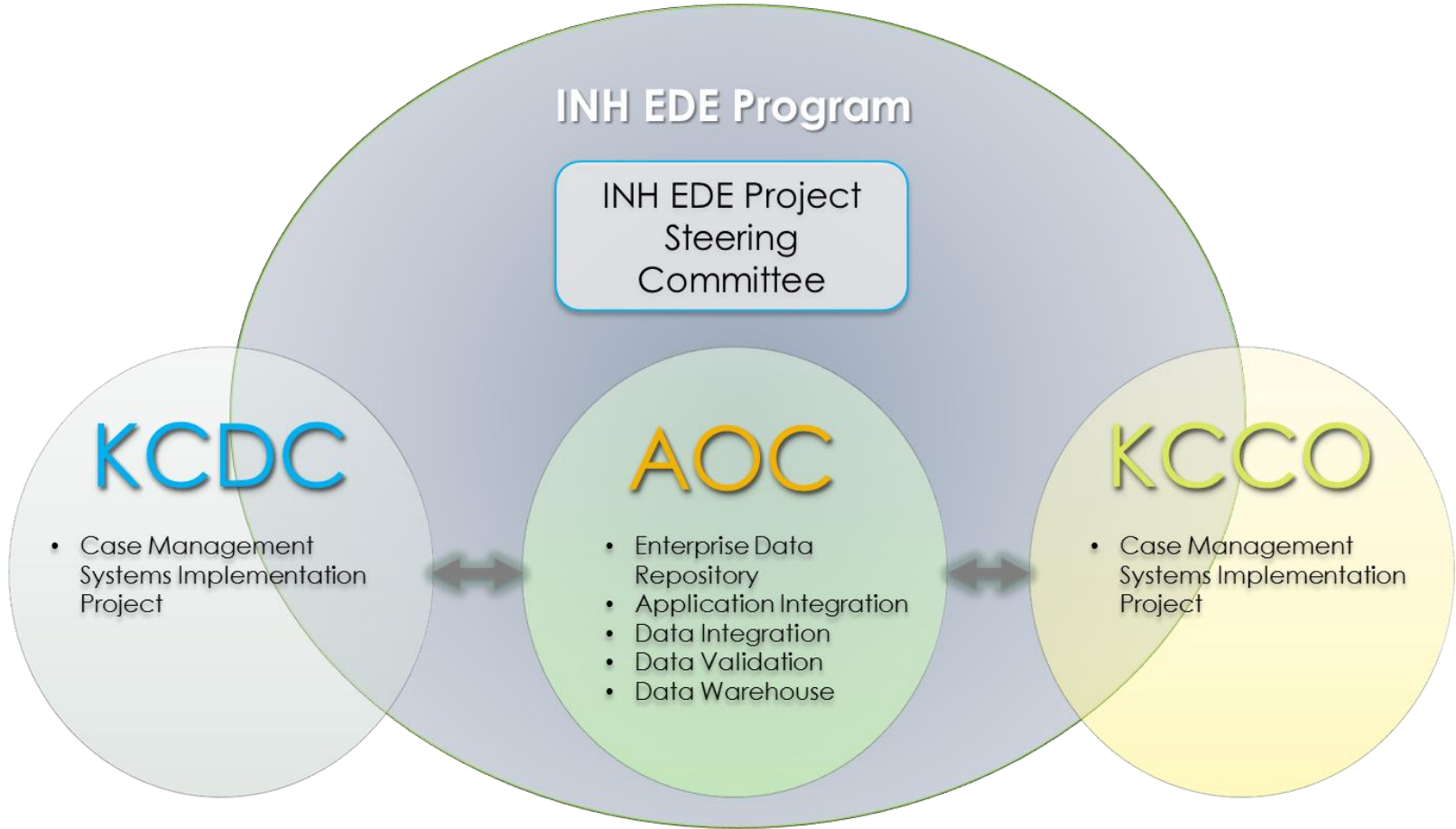
November 18th, 2016

INH EDE – QA Report Interim Findings Report #2

- Introduction 2 min.
- Process Overview 2 min.
- Assessment 15 min.

Closing/Questions

INH EDE Program



Process for Report #2

- ✓ Assessment Interviews
- ✓ Documentation Discovery
- ✓ Operational Meetings and Observations

ISG Assessment Framework

1. Planning Oversight
 2. Project Management
 3. Quality Management
 4. Requirements Management
 5. Software Development
 6. System and Acceptance Testing
 7. Data Management
- ❑ Operations Oversight

Follow-on Assessment

ISG Quantitative Analysis System

Green – 1 through 3 impact weighting –

Best practices, expected processes, procedures and policy, and active application of management controls. No or very little adverse impact is anticipated.

1 to 3

Yellow – 4 through 7 impact weighting –

practices, procedures, processes and policy analysis yield findings that could adversely impact project outcomes; recommendations for correction or remediation are warranted.

4 to 7

Red – 8 through 10 impact weighting –

practices, procedures, processes and policy analysis yield findings that have a high likelihood to adversely impact program outcomes. Recommendations for correction or remediation are time sensitive and prioritized as needing immediate attention.

8 to 10

Follow-on Assessment Rating System

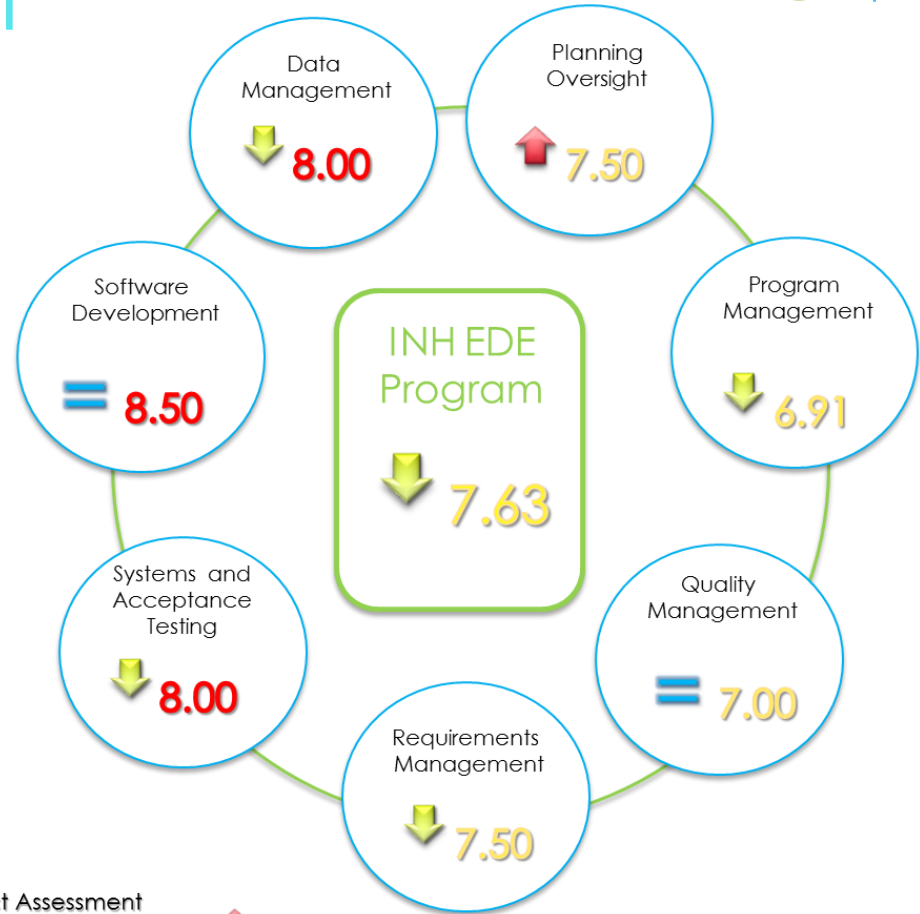
Impact Assessment rating has decrease from previous reporting period



Impact Assessment rating has not changed from previous reporting period



Impact Assessment rating has increased from previous reporting period



Executive Summary

Accomplishments

- 1) PMP Development:** Version 1.0 of the PMP has been developed with several of the program controls implemented and functioning as expected.
- 2) Program Controls Operationalized:** Use of foundational program controls (IPS, Project Managers status reporting processes, Steering Committee processes in relationship to program review, decisions and improvements to various communication forums (Project Managers meeting, Program Managers meetings, Steering Committee meetings)) provides guidance that the collective teams are working on the right things and more effectively communicating across integration points.
- 3) Data Validation RFP Released:** Although behind schedule, the Data Validation solicitation was released during the reporting period. ISG observed that there were 17 potential vendors in the pre-bid conference, a positive indicator in regards to anticipated vendor response pool strength.

Executive Summary






Emphasis of Follow-on Report #3

- 1) **Resource Roles and Responsibilities:** Adequate resourcing and clear roles and responsibilities continues to be a challenge, especially in critical areas such as defining requirements, standard reference codes, security codes, and standard queries. ISG recommends sponsors act immediately to address the resource constraints.
- 2) **Program Communications:** Continue to improve and mature communication and meeting processes including optimization of the weekly Project Management meeting (Monday afternoons) so that meaningful discussion occurs at lower levels within the program prior to Steering Committee discussion. Consider expanding the meeting and reducing the frequency, adopting a structured agenda, incorporating remote meeting techniques (Skype or WebEx), and using risk, issue and change management processes to queue up decisions for Steering Committee agendas.
- 3) **Coordination of Integration Points:** The INH EDE program is an integration effort across multiple organizations and systems. Continued emphasis on development and implementation of Requirements Management, Test Management Plan and Data Management Plans is critically important to the Program.

Assessment Summary

Summary Findings	Assessment Summary	Impact Trending	Current Assessment	Baseline Assessment
<p>Planning Oversight</p>	<ul style="list-style-type: none"> ↑ Data Validation (DV) procurement project is behind schedule however has been released as an RFP for response. ↑ Procurement processes to acquire Business Analyst(s) for the Program is in progress, however has been described to be several months out and potentially not completed until February of 2017. ↑ AOC's procurement support process continues to present challenges to the program in relationship to time required to acquire contracted resources. ↑ Convenience contracts and/or other accelerated processes for procuring resources will not be pursued by the agency and thus will not be available to the program. 		<p>7.50</p>	<p>7.00</p>






Assessment Summary

Summary Findings	Assessment Summary	Impact Trending	Current Assessment	Baseline Assessment
<p>Program Management</p>	<ul style="list-style-type: none">  The Program Management controls continue to be assessed as maturing. The program management controls that are key to the program's function are in place.  Program project management level meetings have improved communications and progress towards meeting INH EDE program objectives.  The Program's project resources continue to be assessed as a high-risk impact area. Understaffing, clarity of roles and responsibilities and dysfunctional working relationship within the program's managers are all areas that have potential to dramatically increase program risk.  Business Impact Analysis continues to be a resource impacted area of the program. Ability to make needed progress in this sequentially important step in the program's process is being hampered by lack of resources. 		<p>6.91</p>	<p>7.79</p>






Assessment Summary

Summary Findings	Assessment Summary	Impact Trending	Current Assessment	Baseline Assessment
<p>Quality Management</p>	<p>↑ The drafted PMP outlines formal review and approval process of IPS deliverables to ensure business needs and quality objectives are being met. Once implemented, this will improve the program's ability to ensure IPS milestones and deliverables are reviewed and accepted by all required stakeholders.</p> <p>= Once implemented, the neutral impact assessment can rapidly transition to a lower impact rating an improving the trending indicator.</p>	<p>=</p>	<p>7.00</p>	<p>7.00</p>

Assessment Summary

Summary Findings	Assessment Summary	Impact Trending	Current Assessment	Baseline Assessment
Requirements Management	<p>  The program is in the process of developing a requirements management process. Development of program requirements definitions is in process and is assessed to potentially meet needed program requirements expectations. </p> <p>  Lack of Business Analyst (BA) resources within AOC is a risk that the Program Manager has escalated to the Program Sponsors. </p>		7.50	8.50
Software Development	<p>  Without the design elements being defined by requirements and ultimately design and requirements being managed by a program defined and adopted configuration management system, the development area of the program is at a critical risk level. </p>		8.50	8.50

Assessment Summary

Summary Findings	Assessment Summary	Impact Trending	Current Assessment	Baseline Assessment
System and Acceptance Testing	<p>  The program is in the process of developing a test strategy and testing plan. Efforts in this process have been observed to be on track with needed testing process of the program. </p> <p>  While testing within the program remains months away within the program's schedule, lack of definition of testing interaction points within the program increases risk until it is defined, understood and agreed to by all parties impacted within the program. </p>		8.00	8.50
Data Management	<p>  The PMP has set the high-level framework for program data management processes; however, until it is understood and agreed to by all parties impacted within the program, the risk is high and increases as program activities and schedule progresses without it being in place. </p>		8.00	8.50
Operations Oversight No findings as part of the baseline as this activity is deferred to a subsequent assessment			Deferred assessment activity	

Close and Questions



ITG Request 45 – Appellate Courts Enterprise Content Management System (AC-ECMS)

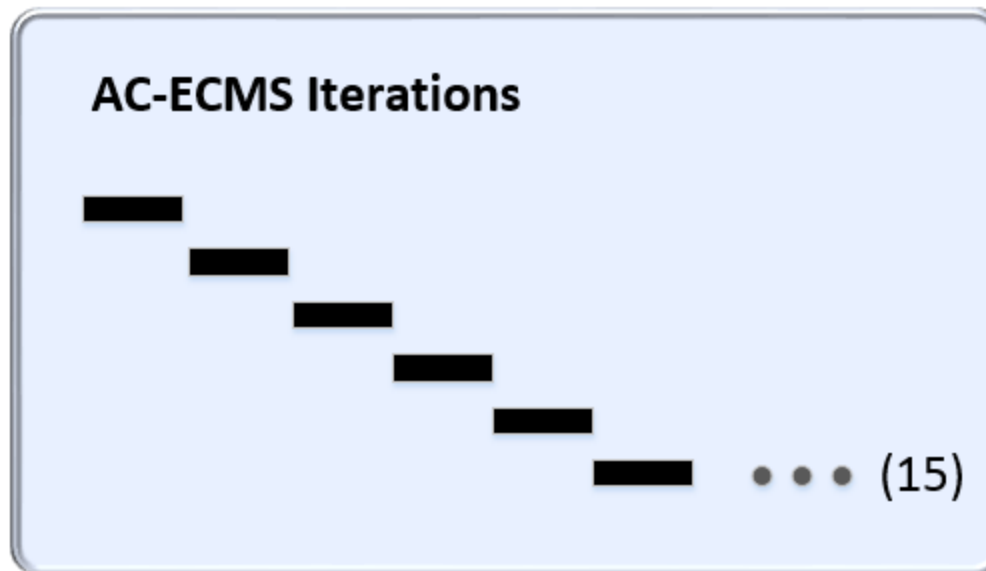
Project Update

Martin Kravik, Project Manager

December 2, 2016

Recent Activities

- ✓ Contract amendment executed on June 30, 2016
 - Adopted an “agile” development approach
 - Two week iterations



Recent Activities

- ✓ Iteration 4 began on August 31, 2016
 - Focused on the document conversion processes for the existing COA document management systems

- ✓ Iteration 5 began on September 14, 2016
 - Created the ability to seal documents at the case level
 - Made document search easier for the COA Divisions
 - Created the queue that determines routing of filed documents
 - Made various keyword changes

Recent Activities

- ✓ Iteration 6 began on September 28, 2016
 - Started building the processes for importing documents from multi-function devices
 - Created the Supreme Court document conversion process
 - Developed the ACORDS lookup for Supreme Court document conversion
 - Continued testing the court document conversion processes
 - Started collecting document conversion metrics

Recent Activities

- ✓ Iteration 7 began on October 12, 2016
 - Started the activities for building a document indexing environment
 - Created the Filing Review queue
 - Started configuration of a public kiosk environment
 - Continued building the processes for ingesting documents from multi-function devices
 - Made various keyword changes

Recent Activities

- ✓ Iteration 8 began on October 26, 2016
 - Built the queue for secondary review
 - Conducted analysis for using Active Directory
 - Began process for exporting folders and documents to a network location
 - Developed various notes to apply to documents
 - Developed the various eforms for passing work from one user to another
 - Made various keyword changes

Recent Activities

- ✓ Iteration 9 began on November 9, 2016
 - Built various user executed tasks to move work from one queue to another
 - Built a document hold queue
 - Built queues for judge review and judicial administrative assistant review
 - Built queues for clerk review
 - Install the software that indexes documents during importation
 - Made various keyword changes

Active Project Issues

Total Project Issues			
Low Urgency	Medium Urgency	High Urgency	Closed
0	0	1	0

Significant Issues Status

Issue	Urgency/Impact	Action
System will not be fully developed before contract funding is exhausted.	High/High	<p>Ensure AOC team members are trained well enough to continue.</p> <p>Conduct long term strategic budget planning after contract is over.</p>

Next Steps

- Iteration 10 begins on November 28, 2016
- Iteration 11 begins on December 7, 2016
- Iteration 12 begins on January 3, 2017
- Iteration 13 begins on January 18, 2017
- Iteration 14 begins on February 1, 2017
- Iteration 15 begins on February 15, 2017

BOXI Version Upgrade Business Intelligence Tool (BIT) Upgrade Project

Project Update

Charlene Allen, Project Manager

December 2, 2016

Recent Activities

- ✓ The current version of Business Objects, known as BOXI (Business Object version XI), is no longer supported by the vendor and must be upgraded.
- ✓ To eliminate changing the name of the tool every time the vendor changes the version, AOC is renaming BOXI to Business Intelligence Tool, or BIT.
- ✓ The Business Intelligence Tool (BIT) Upgrade Project will implement the BOXI version upgrade.

Recent Activities

✓ Vendor Solicitation

- RFQQ created and released.
- Six vendors responded.
- DUNNS Solutions Group was the successful vendor.

✓ Project Activity

- Developing project schedule.
- Installing new tools.
- Distributing project brochure to help raise project awareness.

Next Steps

- Determine how the upgrade impacts our existing reports.

Complexity Category	Category Impact	
Simple Reports	65%	41,105
Standard Reports	25%	15,810
Complex Reports	10%	6,324

- Begin asking courts to remove unused reports to facilitate a timely migration. There are 1,940 customers using this tool.
- Create a timeline to enable project team to fix as many reports as possible.
- Project is expected to be completed by June 2017.

Active Project Risks

Total Project Risks		
Low Exposure	Medium Exposure	High Exposure
0	0	1

Significant Risk Status

Risk	Probability/Impact	Mitigation
Project not completed by the end of the biennium	Low/High	Delete as many unused reports as possible to ensure unused reports are not moved to the new environment.

Active Project Issues

Total Project Issues			
Low Urgency	Medium Urgency	High Urgency	Closed
0	0	0	0

Significant Issues Status

Issue	Urgency/Impact	Action
None		

Project Milestones

Milestone	Date
Vendor Started	October 2016
Project Planning Phase Ends	November 2016
Environment Server Setup Ends	December 2016
Testing and Fixing Reports Begins	January 2016
Production (Go Live) Complete	June 2017

*JIS IT Governance Report
October 2016*

Strategic
Alignment

Value
Delivery

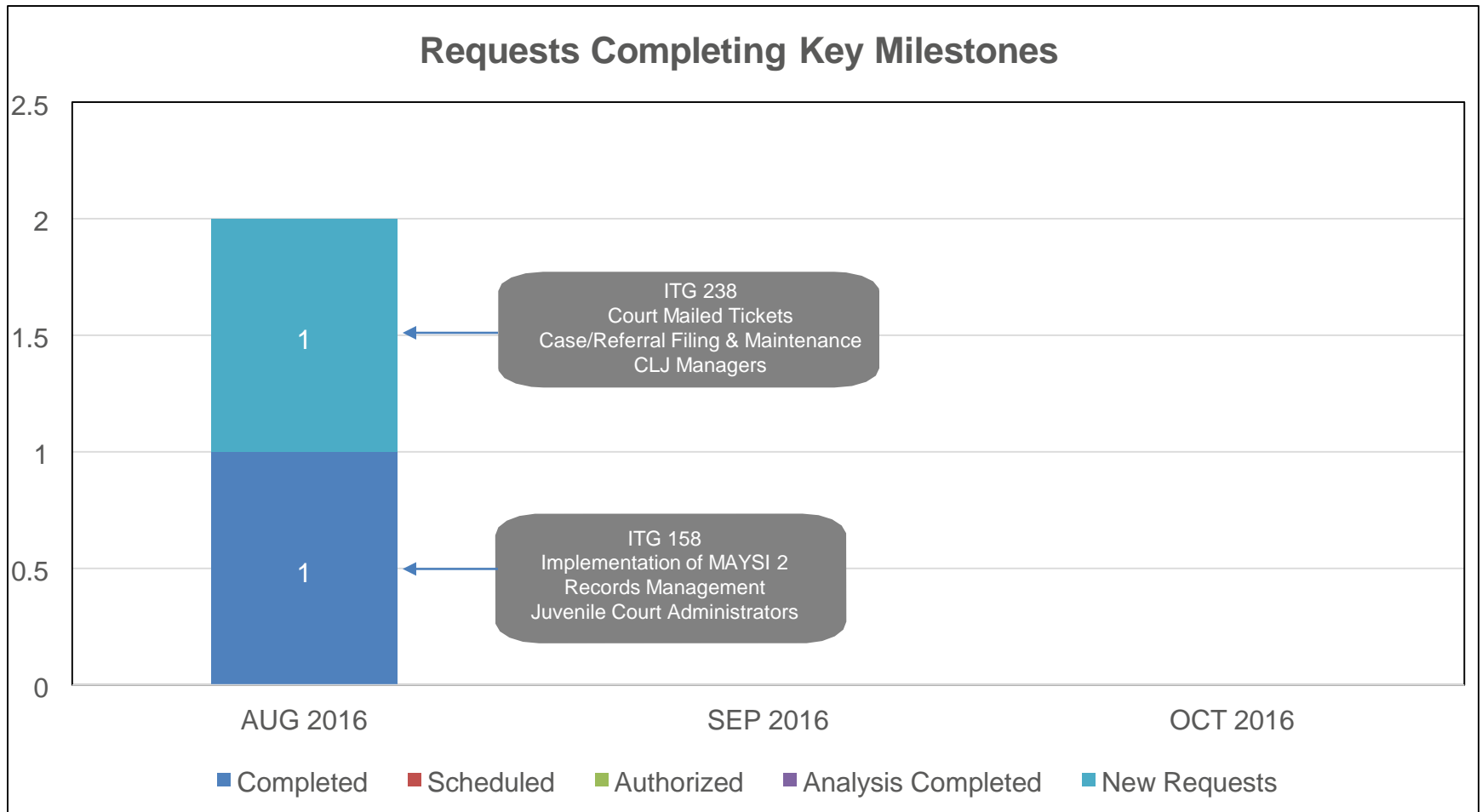
Performance
Measurement

Risk
Management

Resource
Management

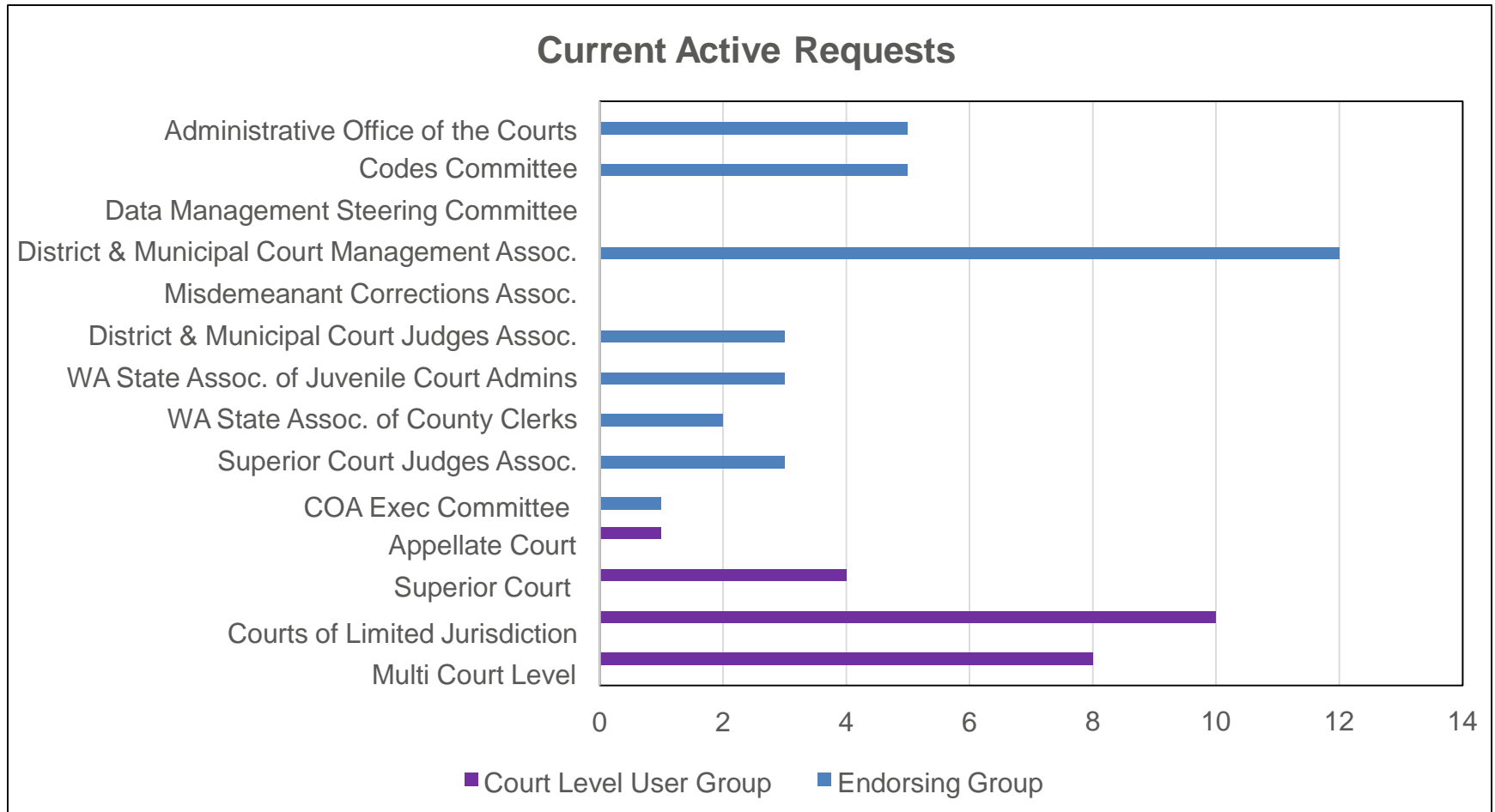
IT Governance

Executive Summary



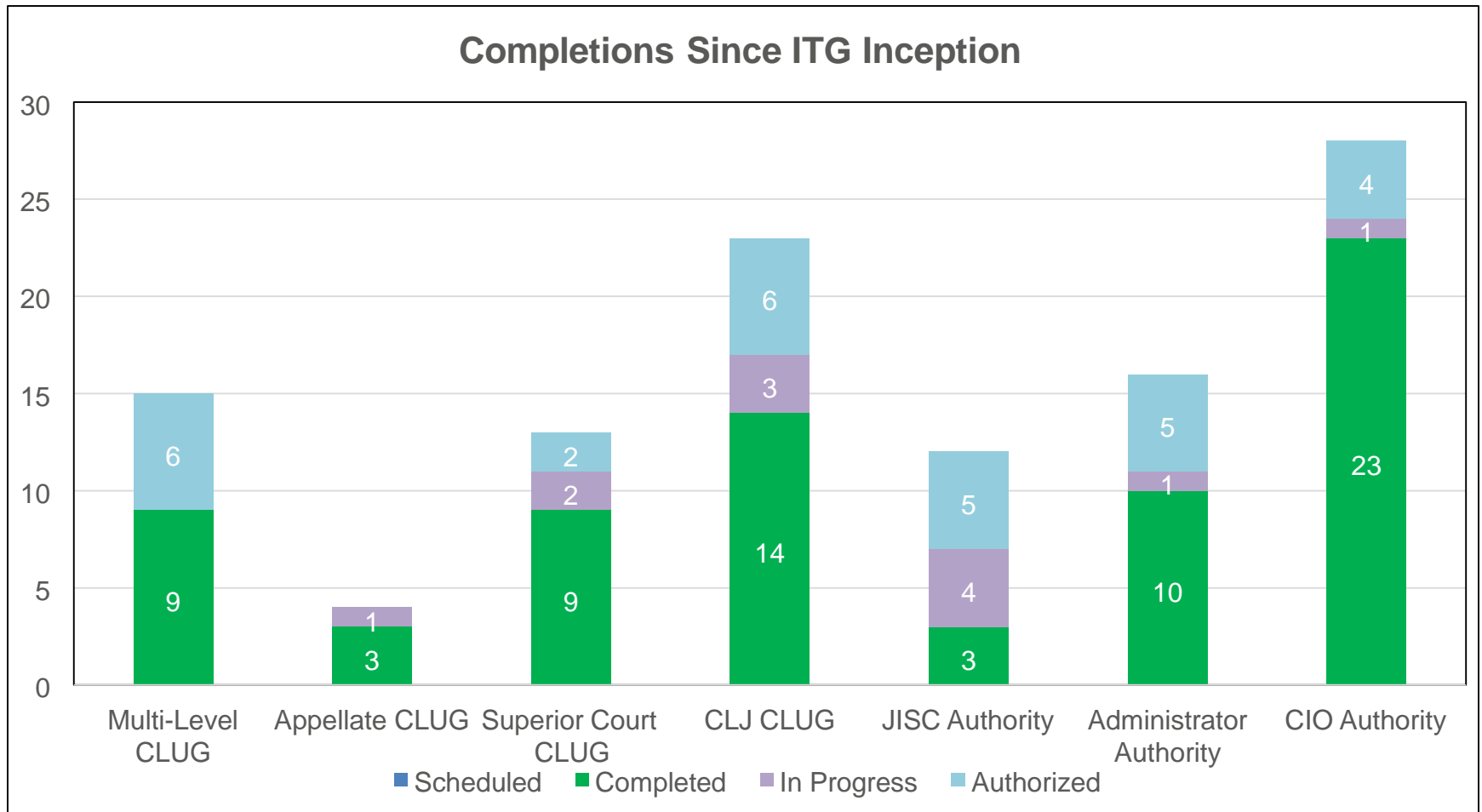
"IT Governance is the framework by which IT investment decisions are made, communicated and overseen."

Executive Summary (cont.)



"IT Governance is the framework by which IT investment decisions are made, communicated and overseen."

Executive Summary (cont.)



"IT Governance is the framework by which IT investment decisions are made, communicated and overseen."

Current ITG Priorities For the Court Level User Groups

JISC Priorities					
Priority	ITG #	Request Name	Status	Approving Authority	CLUG Importance
1	2	Superior Court Case Management System	In Progress	JISC	High
2	45	Appellate Court ECMS	In Progress	JISC	High
3	41	CLJ Revised Computer Records and Destruction Process	In Progress	JISC	High
4	102	Request for new Case Management System to replace JIS	In Progress	JISC	High
5	27	Expanded Seattle Municipal Court Case Data Transfer	Authorized	JISC	High
6	62	Automate Courts DCXT Table Entries	Authorized	JISC	Medium
7	7	SCOMIS Field for CPG Number	Authorized	JISC	High
8	26	Prioritize Restitution recipients	Authorized	JISC	Medium
9	31	Combine True Name and Aliases for Timepay	Authorized	JISC	Medium

"IT Governance is the framework by which IT investment decisions are made, communicated and overseen."

Current ITG Priorities For the Court Level User Groups

Appellate CLUG Priorities

Priority	ITG #	Request Name	Status	Approving Authority	CLUG Importance
1	45	Appellate Courts ECMS	In Progress	JISC	High

Superior CLUG Priorities

Priority	ITG #	Request Name	Status	Approving Authority	CLUG Importance
1	107	PACT Domain 1 Integration	Authorized	Administrator	High
2	7	SCOMIS Field for CPG Number	Authorized	JISC	High

Non-Prioritized Requests

N/A	2	Superior Court Case Management System	In Progress	JISC	High
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Current ITG Priorities For the Court Level User Groups

Courts of Limited Jurisdiction CLUG Priorities

Priority	ITG #	Request Name	Status	Approving Authority	CLUG Importance
1	102	New Case Management System to Replace JIS	In Progress	JISC	High
2	27	Expanded Seattle Municipal Court Case Data Transfer	Authorized	JISC	High
3	41	CLJ Revised Computer Records Retention and Destruction Process	In Progress	JISC	High
4	106	Allow Criminal Hearing Notices to Print on Paper and allow edits	In Progress	Administrator	Medium
5	32	Batch Enter Attorney's to Multiple Cases	Authorized	CIO	Medium
6	68	Allow Full Print on Docket Public View Rather than Screen Prints	Authorized	Administrator	Medium
7	46	CAR Screen in JIS	Authorized	CIO	Medium
8	31	Combine True Name and Aliases for Timepay	Authorized	JISC	Medium
9	26	Prioritize Restitution Recipients	Authorized	JISC	Medium

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Current ITG Priorities For the Court Level User Groups

Multi Court Level CLUG Priorities					
Priority	ITG #	Request Name	Status	Approving Authority	CLUG Importance
1	152	DCH and Sealed Juvenile Cases	Authorized	CIO	High
2	178	Race & Ethnicity Data Fields	Authorized	Administrator	Medium
3	116	Display of Charge Title Without Modifier of Attempt	Authorized	Administrator	Medium
4	62	Automate Courts DCXT Table Entries	Authorized	JISC	Medium
5	141	Add Bond Transferred Disposition Code	Authorized	CIO	Medium
Non-Prioritized Requests					
N/A	3	Imaging and Viewing of Court Documents	Authorized	Administrator	Not Specified