Judicial Information System Committee (JISC)

Friday, April 28, 2017 (10:00 a.m. – 12:15 p.m.)
CALL IN NUMBER: ***877-820-7831 PC: 394116#***
SeaTac Facility: *18000 INTERNATIONAL BLVD, SUITE 1106, SEATAC, WA 98188*

AGENDA

1.	**Call to Order** a. Introductions b. Approval of Minutes	Chief Justice Mary Fairhurst, Chair	10:00 – 10:10	Tab 1
2.	**JIS Budget Update** a. 15-17 Budget Update b. 2017-2019 JIS Budget Status Update	Mr. Ramsey Radwan, MSD Director	10:10 – 10:25	Tab 2
3.	**Legislative Update**	Brady Horenstein, Legislative Relations Associate Director	10:25 – 10:35	Tab 3
4.	**Discussion:** Does JISC wish to receive BJA Information at JISC Meetings	Chief Justice Mary Fairhurst, Chair	10:35 – 10:45	
5.	**JIS Priority Project #1 (ITG 2):** ***Superior Court Case Management System (SC-CMS) Update*** Project & Integrations Update	Ms. Maribeth Sapinoso, PMP Mr. Keith Curry, PMP	10:45 – 10:55	Tab 4
6.	**JIS Priority Project #2 (ITG 45):** ***Appellate Court Enterprise Content Management System (AC-ECMS) Update*** Project Update	Mr. Martin Kravik	10:55 – 11:05	Tab 5
7.	**JIS Priority Project #4 (ITG 102):** ***Courts of Limited Jurisdiction Case Management System (CLJ-CMS) Update*** a. Project Update b. CLJ-CMS QA Report	Mr. Mike Walsh, PMP Mr. Allen Mills, Bluecrane	11:05 – 11:15	Tab 6
8.	**AOC Expedited Data Exchange (EDE) Pilot Implementation Project:** a. QA Report b. AOC Project Update c. King County District Court Project Update d. King County Clerk's Office Update	Mr. Tom Boatright, ISG, Ms. Gena Cruciani, ISG, Mr. John Anderson, ISG Mr. Kevin Ammons, PMP Mr. Othniel Palomino, Court Administrator Ms. Barb Miner, King Co. Clerk	11:15 – 11:45	Tab 7
9.	**Other JIS Project Updates** Business Intelligence Tool (BIT) Project Update		11:45 – 11:55	Tab 8

CANCELLED

		Ms. Charlene Allen		
10.	**Committee Report** Data Dissemination Committee (DDC)	Judge Thomas Wynne	11:55 – 12:05	
11.	**Meeting Wrap-Up**	Chief Justice Mary Fairhurst, Chair	12:05 – 12:15	
12.	**Information Materials** ITG Status Report			Tab 9
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.				

CANCELLED

Future Meetings:

2017 – Schedule

June 23, 2017

August 25, 2017

October 27, 2017

December 1, 2017

JUDICIAL INFORMATION SYSTEM COMMITTEE

February 24, 2017
10:00 a.m. to 12:30 p.m.
AOC Office, SeaTac, WA

Minutes

Members Present:
Chief Justice Mary Fairhurst, Chair
Ms. Lynne Campeau - Phone
Judge Jeanette Dalton - Phone
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
Ms. Aimee Vance
Judge Thomas J. Wynne

Members Absent:
Mr. Larry Barker

AOC Staff Present:
Mr. Kevin Ammons
Ms. Kathy Bradley
Ms. Vicky Cullinane
Ms. Teonie Curtis
Ms. Vonnie Diseth
Mr. Brian Elvin
Mr. Brady Horenstein
Mr. Mike Keeling
Ms. Keturah Knutson
Mr. Terry Overton
Mr. Dirk Marler
Mr. Ramsey Radwan
Mr. Junior Smith
Mr. Kumar Yajamanam

Guests Present:
Mr. Tom Boatright
Mr. Fred Jarrett
Mr. Enrique Kuttemplon
Mr. Brian Rowe
Judge Donna Tucker

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Call to Order

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

December 2, 2016 Meeting Minutes

Justice Fairhurst asked if there were any changes or corrections to the December 2, 2016 meeting minutes. Hearing none, Justice Fairhurst deemed them approved.

Legislative Update

Mr. Brady Horenstein, Legislative Relations Associate Director reported on the current legislative session. Mr. Horenstein reports things are going well for court impact bills with today, February 24th, the Fiscal Committee cutoff date. This is a big cutoff date for the legislature in Olympia. All bills that have a fiscal impact have to make it out of the house appropriations committee or the senate Ways and Means Committee by today. Mr. Brady reports by, next week, AOC should have an idea of what we are dealing with for the rest of session. However, certain bills necessary to implement the budget can

be introduced at any time. For example, the surcharge bill, which would extend the judicial stabilization account surcharge to July 20-21 is a bill that would be necessary to implement the budget.

Board for Judicial Administration (BJA) has several request bills that are alive in one form or another and have made cutoff. BJA's Interpretive Services and Civil Cases bill were voted out of the House Appropriations Committee a couple of days ago as well as the Judicial Stabilization Account bill mentioned previously. In addition, an Interpreter Oath bill has now passed the house and now awaiting a hearing in the senate. This bill would allow interpreters to take the oath once, when first credentialed, making it permanent for the remainder of the time they serve as. Currently, they are required to renew every couple of years. Also, an Office of Public Guardianship bill, which would expand the service methods the office at AOC can provide around guardianship has passed the house. The senate has held a hearing but is expected to consider the house bill. Mr. Brady provided a report highlighting various IT bills. Currently, there are not many IT bills being considered that could impact the work JISC is doing. One bill, introduced by Senator Fain, would explicitly require all courts to implement electronic case filing by December 21, 2019. While it does appear to be dead for the session, it is a great example of how some legislators are very interested in court IT and the work of the JIS committee.

JISC member Bob Taylor asked why the bill had died. Mr. Horenstein explained, it did not move out of the senate Law and Justice Committee and missed the cutoff. In his conversations, with senate leadership and senate members, Mr. Horenstein relayed it was the legislature's way to raise the issue and ensure AOC is aware of many legislatures interest in getting to that point. Mr. Horenstein conveyed to Senator Fain and others that AOC is working a number of projects in support of electronic filing. In addition it is not something AOC is opposed to but presently a matter of resources, timing and how it is fit in with other projects. Discussion was held on whether Mr. Horenstein believed this would be a reoccurring bill for upcoming legislative sessions.

Chief Justice Fairhurst stated she did not feel Senator Fain believed it would go anywhere but it was partially a message bill. Chief Justice Fairhurst stated her belief should AOC not move in the direction of electronic filing, once the case management systems are completed and the Expedited Data Exchange (EDE) is rolled out, the legislature would look to bring back the bill. They are aware passing the bill would impact AOC's capabilities to continue with current projects.

Numerous bills have been revived from past legislative sessions including comprehensive legal financial obligations, impaired and distracted driving bills. None, however, have been deemed to impact AOC in a significant manner.

Mr. Horenstein relayed to the committee they can reach out to him anytime with questions on any bills by responding to his weekly legislative update email.

JIS Budget Update

Mr. Ramsey Radwan reported on the green sheet, a summary of the amounts allocated and expended to date thru January 31st 2017 for the major information technology projects at AOC. Everything on the money side is going well in the current biennium. Presently, there are variances for the Expedited Data Exchange (EDE), Courts of Limited Jurisdiction and equipment replacement. Staff will be working to fine tune the estimated amount of carryover and expended funds for the EDE and Courts of Limited

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Jurisdiction which will adjust the budget request. AOC is underspending for the EDE, which is normal for this type of project, and advantageous by putting unspent money back into the account for other uses and unknowns for the next biennium. It is always good to have a little extra money in the JIS account. Mr. Radwan expects the equipment replacement allocation to be spent as planned by Dennis Longnecker who normally expends all funds allotted for the current biennium.

Mr. Radwan reported on the technology requests for the 17-19 biennium with one change made to Odyssey Continuing Support. The previous submission was for $1,429,000 and has been revised down to $938,000. Mr. Radwan explained this did not mean AOC was receiving less funding but the math behind it required less funding. When the budget is built there is a bow wave computation that was not noticed. If left as submitted it would have resulted in $492,000 to much in the request. As submitted it will fully fund the 8 staff received in the current biennium and it is just a technical adjustment.

EDE Carryover and EDE Fund shift numbers will likely change as the numbers are derived approximately a year prior. In approximately mid-March Mr. Radwan will be in talks with legislative staff and will have more of an idea on what those numbers will change to. It was noted the total amount will stay the same with the possibility of one or the other going up or down.

On the fund balance computation all are in agreement as has not always been the case. The adjustment on the above noted Odyssey Continuing Support has been added into that computation which gave $492,000 more in the fund balance. Mr. Radwan will continue discussions with legislative staff in the coming months on the 17-19 budget request.

IT Security Update

Mr. Terry Overton, ISD Information Security Officer, presented an update on AOC Information Security. Beginning with an overview of the last security update, provided in February 2014, he presented a year-by-year overview of efforts and improvements towards the security posture of JIS information systems.

In 2014, a private IT security firm (Intrinium) completed a thorough risk assessment of the AOC Eastside Network, including all JIS environments. Work began immediately, and continued progress has been made toward addressing findings from this assessment. One of Intrinium's highest priority findings was the hiring of a security officer. In response, AOC selected Mr. Overton in December of 2013. In the same year, AOC conducted their first Annual Security Awareness Training, which continues as an annual requirement. A decision was also made, to adopt the "SANS Top 20" security framework, as a model for AOC Information Security policies, plans, and processes. Critical risks were identified and prioritized, and Information Security Risk Assessments required for new and ongoing projects.

In November 2014, a new JIS Data Security Standard for Data Classification was adopted. This is an internal tool to identify the information systems that must be protected, which are most sensitive and business-critical, and to what standard they must be secured. A number of new security tools were procured for security improvements to include: Vulnerability Scanner, Network Access Control, Automated Patch Management Tool and a Web App Firewall.

In 2015 AOC hired a full-time Network Security Analyst; Junior Smith. Mr. Smith is an expert in vulnerability detection and remediation. He has assisted in implementation and configuration of several new tools, and automating processes for rapid deployment of patches. Intrinium was once again

contracted to perform security assessments at the Supreme Court and the three Appellate Court divisions, completing the overall assessment that began with AOC Eastside offices. Many of the findings were anticipated due to similarity to those found in the earlier assessment, allowing remediation efforts to begin quickly.

Notable Security Initiatives in 2015. Among them were the implementation of a Software Management process, which resolved an enterprise-wide vulnerability detected by the Intrinium assessments. Also implemented was a standardized application assessment process, to efficiently integrate security into projects at their inception, and continue throughout the subsequent phases. Mr. Overton presented a number of statistical graphs, illustrating the progression of security vulnerabilities and attacker methods over a period of years. He stressed the importance of rapid deployment of security patches to address new vulnerabilities as they arise.

In 2016 AOC hired a full-time Application Security Analyst; Teonie Curtis. Ms. Curtis is an expert in Web Application Security, and works closely with project teams and new product analysis. Mr. Overton also provided a progress update on removal of "Local Administrator" privileges from AOC user workstations, stating the last few computers were being completed at AOC, and efforts would soon begin to remediate Appellate systems. He referenced the goal of completing this work on all enterprise workstations by the end of second quarter 2017. Mr. Overton expressed concerns associated with employee-owned, cloud-based collaboration services. He described the risk related to this approach and stated he'd been working with AOC Infrastructure for some time to vet enterprise-grade products that could meet off-network collaboration needs. He said one product from "BOX.com" was being tested with the Supreme Court, and was working well, but it remained to be seen if it was the best choice for all AOC customers. AOC Infrastructure and Security continue to research available products, and are leveraging work in progress by other State agencies who are also trying to resolve this issue.

In 2017 Mr. Overton stressed the basics have not changed, with regard to defending our networks against cyber actors. Phishing exploits still facilitate nearly all successful intrusions, and unpatched software further enables the majority of attacks. Excess privileges make hacks much easier and more effective, and weak or stolen credentials are still the methods of choice for attackers. Multifactor authentication is rapidly becoming the new standard to alleviate this vulnerability. In an ever evolving threatscape, cyber criminals have organized with established crime families as well as new groups. Ransomware is on the rise, costing business and government billions. Effectively protecting access to data is more important than ever, and a trained workforce is still the best defense we have against cyber criminals.

Additional areas of focus in the future will be early detection and risk avoidance. The security team has also begun work on enhancing the Incident Response Plan (IRP). The intent is to further identify types of incidents, expand roles, and develop a testing regimen similar to AOC's Disaster Recovery Program. The security team will continue to improve automation of risk assessments to better balance workload and hopefully make the process more intuitive for project teams. Mr. Overton's stated goal was a process that effectively 'bakes in' security throughout the project, rather than trying to 'bolt-on' awkward and often ineffective controls afterwards. He stated his belief that these changes would provide more secure, less expensive products, with seamless controls resulting in better customer acceptance.

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Mr. Overton closed the presentation with the 2016 Verizon Breach Report, showing more people are opening and clicking on phishing emails than ever before, rising 30% from the previous year. This is in spite of efforts to heighten user awareness of common vulnerabilities and attacker methods. The report shows stolen credentials are the most coveted prize, with 63% of the confirmed data breaches in 2015 involving the use of stolen passwords.

Data Dissemination Committee – Policy Change

Judge Wynne and Ms. Happold presented the amended Data Dissemination Policy (Policy) that was approved by the Data Dissemination Committee (DDC). Judge Wynne reports the amendments are intended to be a comprehensive rewrite of the Policy. DDC members who also worked on GR 31 discussed whether a dissemination policy was still needed. The DDC decided that there was still a need as GR 31 did not replace everything addressed in the Policy. However the Policy was never updated after GR 31 was adopted, and many of the changes were needed to be consistent with the court rule. Procedurally, JIS Rule 12 applies which requires the JIS committee to submit rules for the release of information contained in the JIS System to the Supreme Court. The Supreme Court may alter them or may send them back to the JIS Committee for further consideration. If the Supreme Court does not act within 45 days, then the rules adopted by the JIS Committee would go into effect. Judge Wynne explained it was his position that JISCR 12 applies to the Policy amendments.

Ms. Happold reported the DDC worked on the policy amendments for quite some time and she echoed Judge Wynne's position that the Policy was in dire need of updating. As the last comprehensive update of the Policy happened in 1998, it needed to be modernized with case law and GR 31, and scrivener's errors and statute citations needed to be updated. The important changes to the Policy include:

- Allowing the dissemination of compiled reports, including defendant and individual case histories, to any requestor. Public requestors will only receive publically available cases.
- Establishing a process for fulfilling financial data requests submitted to the Administrative Office of the Courts (AOC).
- Updating the list of confidential data elements.
- Prohibiting the dissemination of addresses contained in the case management systems unless the request or report falls under the exemptions provided in the Policy.
- Listing distinct dissemination allowances for the local courts and county clerk's offices in order to continue effective business practices and avoid an increase of staff work.

Ms. Happold also pointed out that section VI. Procedures, subsection B. will now allow for disclaimer exemptions for reports, such as those created automatically in JIS which makes attaching a disclaimer difficult. This section will allow courts and county clerks to come to the DDC and ask for a disclaimer exemption due to technical impossibilities.

Due to JISC member feedback, Ms. Happold will also change the Policy to add full write outs for DOC, JABS, SID and GR acronyms for definition purposes.

During its October 28, 2016, meeting the DDC unanimously approved the draft Policy and recommended it to the JISC for approval. AOC staff was also instructed to send it to all court, judicial partner, and county clerk associations for review and comment. Based on questions and comments

received during the review period, the DDC edited certain sections that required clarification and finalized the draft for JISC approval.

Motion: Judge Thomas Wynne

I move the adoption of the Data Dissemination Policy as amended by the JISC

Second: Ms. Barb Miner

Voting in Favor: Chief Justice Mary Fairhurst, Ms. Lynne Campeau, 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, Ms. Aimee Vance, Judge Thomas J. Wynne

Opposed: None

Absent: Mr. Larry Barker, Judge Jeanette Dalton

The motion was passed with the understanding that the acronyms will have their names spelled out and initials following the first time in brackets and will then be referred to by initials in the body of the policy. The next steps will be to transmit the policy to Justice Johnson and the rules committee, with a reminder to see rule 12 and the 45 day inaction clause.

CIO Report

Ms. Vonnie Diseth briefed the JIS Committee on AOC projects. Ms. Diseth reported the Appellate Court combined team continue to work on the OnBase document management system using agile sprint methodology. Very good progress has been made with the successful completion of ten major workflows. At the December JISC meeting it was reported funding for the vendor was to close at the end of February. However, the Supreme Court, Court of Appeals, AOC and the Project Steering committee have agreed to continue the funding for the project thru this fiscal year. This will allow the vendor to complete the production implementation of the first release of the project. Extra funds were contributed from the Appellate operating funds to keep ImageSoft onboard till the end of the biennium. Major development activities for release one should be ending in March as well as the beginning of user testing of the new system. Document migration into the new system is planned for April of this year in addition to a new rollout of the system towards the end of the month. This would give the project access to the vendor for operational support during the months of May and June. Any additional time with the vendor would be spent working on release two.

The SC-CMS project team is preparing for their next event, Go Live Event #5. Event #5 implementation will begin in May with seven counties making it the largest in terms of counties in one event. One issue dealing with link-only counties was discovered and was discussed at the steering committee meeting this month. Due to the counties technical abilities, the three whom have chosen the link-only document management option, will not be ready to have the option implemented for the May Go Live event. Therefore, the affected counties have requested more time to continue working on this technical issue. The steering committee made a motion and agreed the primary goal is to have Odyssey implemented in all the counties, independent of the DMS option they choose. If a link-only county, choosing a third party option, will not be ready in time for the Go Live event they will still go live with Odyssey and continue to work on the DMS implementation. In this instance, they will do it in two releases, first they

will make sure the third party DMS link works in their county network so clicking on the Odyssey link will work and second, they will continue to work on opening document access up to other counties. AOC received commitment that all counties, in situations where this occurs, would still continue to work to make the access available to all counties. For the three counties with the link-only option who will not be going live with their third party DMS in May; AOC will continue to work with them at that time.

The CLJ-CMS project recently concluded two weeks of vendor demonstrations presented by the top two vendors. The next steps will be assessing the results of the demonstration and decide whether one or both vendors will receive onsite visits. Onsite visits will occur in April with Notice of Apparent Successful Vendor in May followed by contract negotiations.

AOC Expedited Data Exchange (EDE) Pilot Implementation Project

Mr. Kevin Ammons presented the update on the Expedited Data Exchange Project. Mr. Ammons began by reviewing the overall structure of the Expedited Data Exchange Program and providing a review of the purpose of the program. He informed the committee that the program had encountered resource and scheduling issues that prevented the effort from achieving all of its plan according to the existing schedule. Mr. Ammons reported that a critical shortage of business analysts and some technical resources had resulted in unsupportable demands on the time of project resources.

Mr. Ammons stated that AOC had responded by re-focusing program activities on a smaller number of key activities to prevent overloading of existing staff. He reported that part of the re-focusing includes a change in the order of courts beginning to send data to the EDR. King County Clerk's Office will begin sending data to the EDR beginning in January of 2018 and will be the first, non-JIS case management system to integrate with the EDR.

Mr. Ammons also addressed a budget risk that has been identified. While the project is well within its authorized budget, uncertainty over the adequacy of the JIS fund in the next biennium raises a risk that the authorized budget may not be available in its entirety next biennium. Mr. Ramsey Radwan stated that more clarity on this risk will come when the legislative budget is approved. While the funding has been allocated for the project, there is not enough funding in the entire JIS account to do everything as planned. In the current biennium there is no budget issue with EDE, there is $8.5 million appropriated and can be spent but in the new biennium any leftover or unexpended funds from the JIS account will go back into the account. That account will then be drawn down on from multiple projects, carryover for EDE, CLJ, SC-CMS and normal operating costs. The JIS has the responsibility to say what is in that pool of money and how it will be sliced in the new biennium. It is not necessarily that EDE has an expenditure or funding problem but the entire JIS account has a funding problem in how the limited resources will be allocated to each project and ongoing support.

Data Dissemination Committee Report (DDC)

Judge Wynne reported the DDC received a request from the Umatilla County District Attorney's office to provide the same access bondsman to JIS Link. That request was denied. King County Public Defenders requested level 3 access which was approved. Another request for public defenders to have access to routing records to EDR thru JABS was approved due to a change in state law. The DDC has

an ongoing request thru the Legal Voice regarding federal legislation interpretation. A work group is being created so a solution can be found that is satisfactory to all parties.

Adjournment

The meeting was adjourned by Justice Fairhurst at 11:51 am.

Next Meeting

The next meeting will be April 28, 2017, at the AOC SeaTac Facility; from 10:00 a.m. to 2:00 p.m.

Action Items

	Action Items	Owner	Status

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Administrative Office of the Courts
Information Services Division Project Allocation & Expenditure Update
2015-2017 Allocation
Biennial Balances as of 03/31/2017

Initiatives--JIS Transition	ALLOTTED	EXPENDED	VARIANCE
Expedited Data Exchange (EDE)			
15-17 Allocation	$8,540,000	$3,870,469	$4,669,531
Information Networking Hub (INH) - Subtotal	**$8,540,000**	**$3,870,469**	**$4,669,531**
Superior Court CMS			
15-17 Allocation	$13,090,000	$13,090,000	$0
Superior Court CMS Subtotal	**$13,090,000**	**$13,090,000**	**$0**
Courts of Limited Jurisdiction CMS			
15-17 Allocation	$3,789,000	$977,409	$2,811,591
Courts of Limited Jurisdiction CMS - Subtotal	**$3,789,000**	**$977,409**	**$2,811,591**
Appellate Courts Enterprise CMS			
15-17 Allocation	$677,171	$677,171	$0
Appellate Courts Enterprise CMS - Subtotal	**$677,171**	**$677,171**	**$0**
Equipment Replacement			
15-17 Allocation	$2,365,000	$1,293,570	$1,071,430
Equipment Replacement Subtotal	**$2,365,000**	**$1,293,570**	**$1,071,430**
TOTAL 2015-2017	**$28,461,171**	**$19,908,619**	**$8,552,552**

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

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

April 28, 2017

Recent Activities

Event #5 - May 2017 Go Live

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

- ✓ End user training – March/April 2017
- ✓ IT staffing training – February 2017
- ✓ On-site Go Live plan review with superior court and county clerk staff

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

- ✓ Completed on-site Odyssey demonstrations to superior court and county clerk staff – January 2017
- ✓ Completed technical kickoff meetings – February 2017
- ✓ Conducted first stakeholder meetings – April 2017

Recent Activities

- ✓ Business requirements for auditing functionality vetted with CUWG – January 2017
  - ✓ Design approved by CUWG – March 2017
- ✓ On-site advanced financial training for Yakima County – March 2017

Upcoming Activities

Event #5 – Go Live May 2017

- On-site training labs – May 2017
- Judicial officer training – May 2017
- **Go Live implementation: May 7 – May 19, 2017**
- Post Go Live lessons learned – May 2017
- Post Go Live implementation support – June 2017
- Advanced financial training – June 2017
- Forms training – June 2017

Upcoming Activities – cont'd

Event #6 – Go Live November 2017

- Power user training – June 2017
- Conduct on-site business process reviews – July/Aug 2017
- Finalize end user training logistics

Event #7 – Go Live June 2018

- On-site Odyssey demonstrations - July 2017
- Technical review kickoff meetings - July 2017

Integrations

Third Party Document Management System (DMS)
Link Only Option

DMS Link Only Summit – March 2017

- 19 Link Only counties and their DMS vendors attended
- Established an understanding of roles and responsibilities
- Determined Link Only is a viable option

DMS Link Only Option Has Two Phases

- Phase 1 – Documents accessible only within the County - by each Go Live
- Phase 2 – Documents accessible in all Odyssey Counties – by end of project

Event 5 Implementation

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

MILESTONES or PROJECT DELIVERABLES	CURRENT PLAN DATE
✓ Kickoff Completed	October 2106
✓ Local Configuration Begins	November 2016
✓ Second Conversion Push and Power User Review	March 2107
✓ 60 Day Go-Live Readiness Assessment	March 2017
✓ 30 Day Go-Live Readiness Assessment	April 2017
▪ Document Image Extracts Complete	May 2017
▪ Document Links and Meta Data Extract Complete	May 2017
▪ End User Training Complete	May 2 017
▪ Go Live Implementation	May 2017

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

Project Update

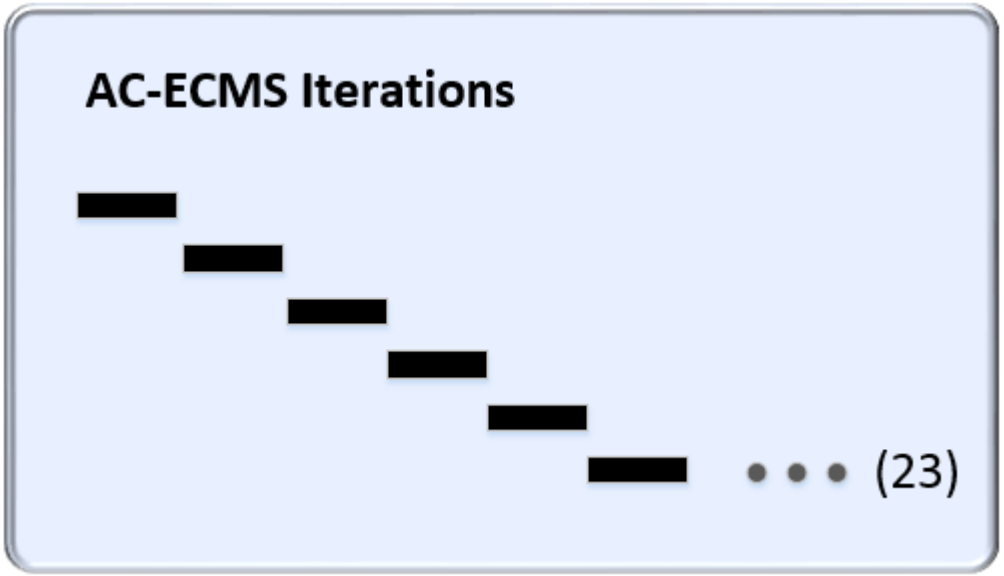
Martin Kravik, Project Manager

April 28, 2017

Recent Activities

✓ Added Project Funding

- The Supreme Court, Court of Appeals, and AOC collectively added $185,000 to the project
- Extends the project until the end of June



Recent Activities

Iterations 10 through 18

✓ Built the following business process workflows:

- COA Personal Restraint Petition
- COA Commissioner Decision
- COA Clerk Decision
- COA Judge Decision
- COA Judge Panel Decision
- COA Motion Status Tracking
- Flagging/Notification of Expedited Cases

Recent Activities

- ✓ Built the following business process workflows (continued):
  - Supreme Court Filing Review
  - Supreme Court Commissioner Amicus Review
  - Supreme Court Clerk Review
  - Case Consolidation/Deconsolidation
  - Case Linking/Unlinking
  - Case Transfer from COA Division to COA Division, COA Division to Supreme Court, and Supreme Court to COA Division

Recent Activities

- ✓ Finalized updated appellate court eFiling system
- ✓ Refined the lookup to ACORDS to improve accuracy and response time
- ✓ Installed and configured document indexing
- ✓ Conducted a hands-on functionality review for court staff
- ✓ Planned document conversion

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	Ensure AOC team members are trained well enough to continue. Conduct long term strategic budget planning after contract is over.

Next Steps

Iterations 19 through 23

- Wrap up development
- Perform initial document conversion
- Four “go live” events

Court	May 15	May 30	June 12	June 26
Supreme Court	●			
COA Division III		●		
COA Division II			●	
COA Division I				●

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

Project Update

Michael Walsh, PMP - Project Manager

April 28, 2017

Project Activities

- Project Team is focused on stakeholder outreach:
  - Continuing our court and probation site visits.
  - Providing legislative fact sheets and talking points.
  - Continuing to provide project information at upcoming conferences.
  - Advising on integration dependencies with the EDE project.
  - Refining the CLJ-CMS requirements traceability matrix.

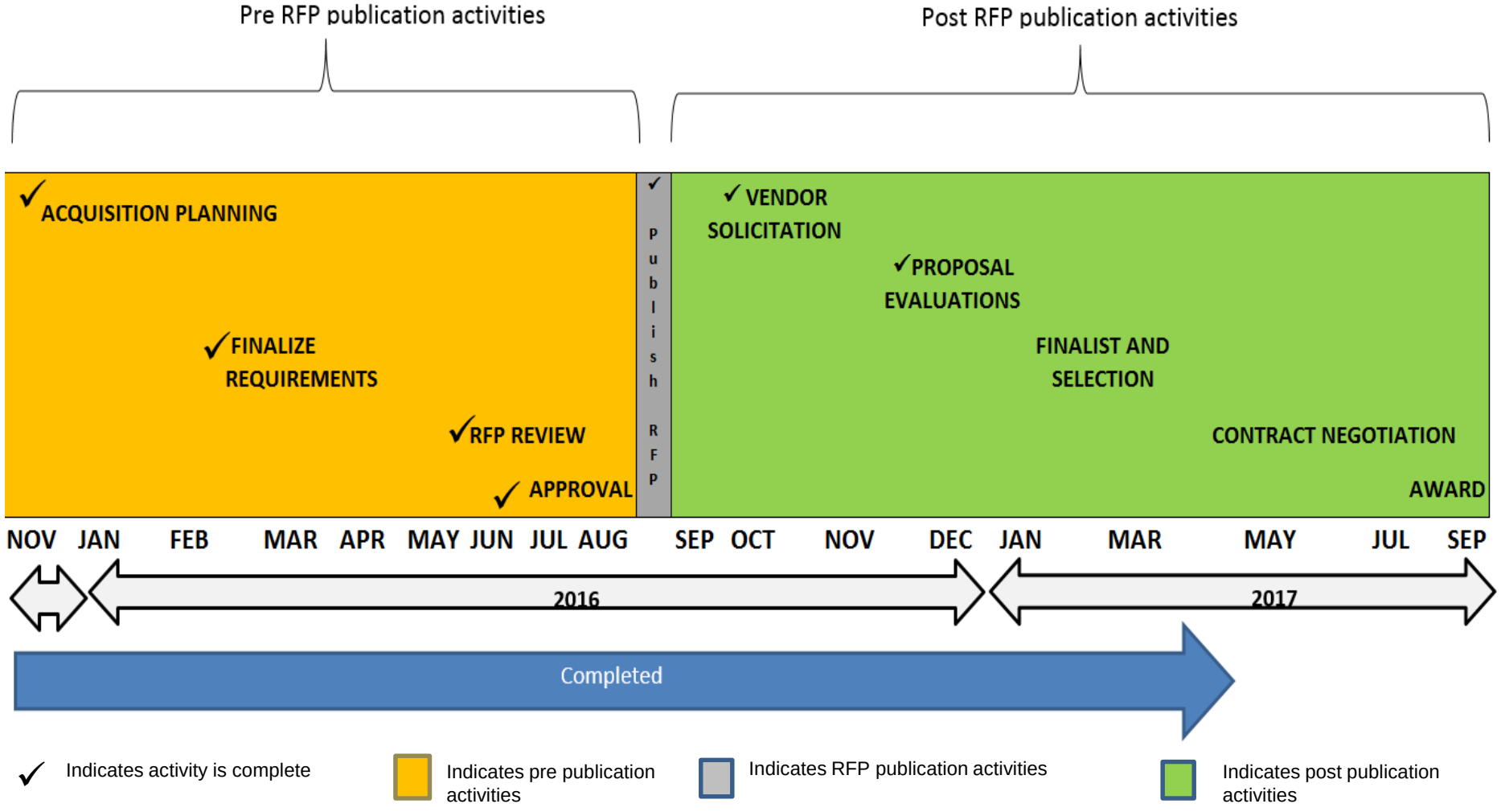
Procurement Activities

- Request for Proposal (RFP):
  - ✓ Phase I Written Proposal evaluation completed 1/17/2017.
  - ✓ Phase 2 Demonstration evaluation completed 3/7/2017
  - Phase 3 On-site evaluations 4/24/2017 & 4/26/2017
  - Cost Proposal Evaluation scheduled for 5/16/2017
  - Vendor/Solution recommendation by steering committee scheduled for 5/19/2017

On-site Evaluation Team

Evaluation Tasks	Job Function	Evaluators
Conduct Site Visits 4/24/17 & 4/26/17	Probation Staff	2
	Court Managers	2
	Judges	2
	Local Technical Staff	2
	AOC ISD Staff	2
	AOC CSD Staff	1
On-site visits – Attendees 4/24/17 & 4/26/17 (non-scoring)	AOC ISD Director/CIO AOC CSD Director CLJ-CMS Project Manager CSD CBO Manager	4
		15

Acquisition Schedule



Active Project Risks

Total Project Risks		
Low Exposure	Medium Exposure	High Exposure
2	1	0

Significant Risk Status

Risk	Probability/Impact	Mitigation

Active Project Issues

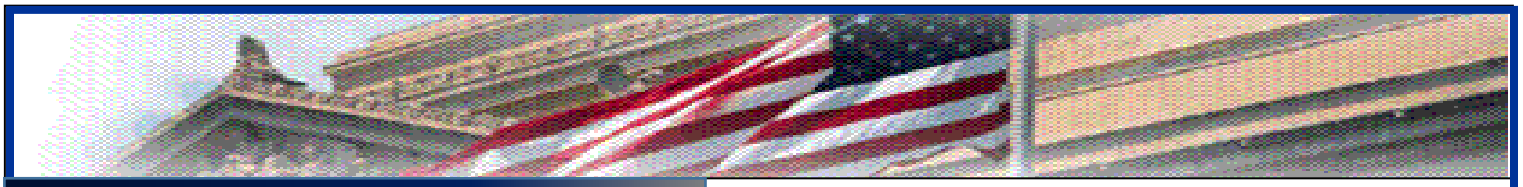
Total Project Issues			
Active	Monitor	Deferred	Closed
0	2	0	0

Significant Issues Status

Issue	Urgency/Impact	Action
None		

Next Steps

Milestone	Date
On-site visits	April 24,& April 26, 2017
Steering Committee recommendation decision	May 19, 2017
Apparent Successful Vendor (ASV) decision	June 2, 2017
Expected contract start	Sept. 1, 2017



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

March 31, 2017

Prepared by

Bluecrane, Inc.

bluecrane ®

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March 31, 2017

Honorable Mary Fairhurst, Chief Justice
Washington Supreme Court

Ms. Callie Dietz
Administrator, Administrative Office of the Courts

Dear Chief Justice Fairhurst and Ms. Dietz:

This report provides the March 2017 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. The QA assessment covers the two-month period ending March 31.

Bluecrane's assessment of the CLJ-CMS Project is based on the professional experience and judgment of our expert consulting team. The report was prepared independently of project participants and stakeholders.

Please contact me with any questions or comments.

Sincerely,

Allen Mills

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1. Executive Summary

In February and March of this year, the focus of the Courts of Limited Jurisdiction – Case Management System (CLJ-CMS) Project continued to make good progress. *bluecrane* observed activities, and participated actively where appropriate, in:

- Support of the procurement of commercially available case management software and associated professional services. This was the primary focus of the project in February and March. Vendor demonstrations were conducted in February. Site visits to active court clients of the two vendors have been planned for later in April. At this point, the procurement schedule remains on-track for an announcement of the Apparently Successful Vendor (ASV) in May and contract award by September.
- On-going Change Management and Stakeholder Engagement. The CLJ project continues to leverage "lessons learned" on the Superior Court – Case Management System (SC-CMS) project. Project team members continue to visit multiple court and probation offices across the state and to provide project information and make presentations at various stakeholder conferences and other meetings.
- Several meetings with the business team and the CLJ project team to better define intermediate goals that link the high-level goals from the CLJ project charter to the detailed requirements in the CLJ procurement documents. These discussions appear to be driven by another lesson learned from SC-CMS, namely, the need to refer to clearly enunciated and documented rationale for "why" certain requirements were included as needs in CLJ, since memories can fade over time about the original motivations and justifications for requirements.

Within this positive context, we continue to monitor three risks that we raised in our January 31 QA report and a new risk that we identified during this reporting period. These four risks are summarized in the "dashboard" on the following page with additional detail about them provided in the more expansive assessment in Section 3.

Beginning with this report, we are also adding a tracking log of our recommendations and AOC responses that we will maintain over the course of the CLJ project. We have begun to include such a tracking log for our clients that are subject to policies promulgated by the Washington State Office of the Chief Information Officer (OCIO). While we recognize that AOC is not necessarily obligated to comply with those executive branch policies, we have found the tracking log to be a useful tool and will employ it here. Note that some risks are not easily mitigated and may remain open for extended periods of time. Such is not unusual. Hopefully, the tracking log will provide a "quick reference" for open and closed risks over the life of the CLJ project.

2. Summary Dashboard of Identified Risks

Area of Assessment	Risk Level	Change in Risk Level from Previous Assessment	Comments
People-Related Areas			
Staffing	Risk	Unchanged	Although the project has adequate resources to complete the procurement phase, discussions occurred in January regarding resource allocation for AOC projects currently underway including the CLJ-CMS project, the Expedited Data Exchange (EDE) project (which is implementing the Enterprise Data Repository {EDR} and is critical to the King County projects), and the SC-CMS project. Although no reallocation of resources is currently planned, there is a risk that CLJ-CMS project resources could be redirected to the EDE project and potentially impact the schedule of the CLJ-CMS project.
Project Management and Sponsorship-Related Areas			
Schedule	Risk	Unchanged	Although the procurement for the CLJ-CMS software vendor is progressing on schedule with vendor site visits planned for April, the resource risk identified in the Staffing area could impact the CLJ-CMS schedule. Planning for CLJ-CMS is challenging since a baselined schedule will not be available until vendor negotiations have been completed in mid to late 2017.
AOC Policy Regarding e-filing	Risk	New Risk	The CLJ-CMS RFP contains explicit requirements for the solution to address e-filing. However, recent discussions among business, the project team, and other stakeholders have revealed a lack of clarity between AOC policy regarding e-filing and the CLJ e-filing requirements. Without clarity, there is risk to planning specific activities related to e-filing for CLJ implementation, putting scope and schedule at risk for “muddiness” at a minimum and possibly inadequate staffing and time allocation.

Area of Assessment	Risk Level	Change in Risk Level from Previous Assessment	Comments
Solution-Related Areas			
Solution Integrations	Risk	Unchanged	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 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.

3. Detailed Assessment for February 1 – March 31, 2017

Project Management and Sponsorship

Category	Project Management and Sponsorship	Nov	Jan	Mar
Area of Assessment	Schedule	No Risk Identified	Risk	Risk
Urgency	Serious Consideration			

March 31, 2017 Update: Concerns raised at the end of January remain, and are primarily related to staffing and contingency planning. The procurement phase of the project continues to be on-schedule.

Observation/Risk 1: As noted in the Staffing area below, there have been discussions regarding reallocation of CLJ-CMS resources to the Expedited Data Exchange (EDE) project that is responsible for the construction and implementation of the Enterprise Data Repository (EDR). From an AOC project portfolio perspective, such a reallocation may or may not be important to preserving the integrity of schedules for several “in-flight” projects. From a purely CLJ-CMS Project perspective, the impact would likely be an unexpected delay in the timeline for rolling out the new CLJ-CMS solution to the many courts anticipating its use.

Recommendation: From the perspective of the CLJ-CMS Project, the optimum solution would be to allocate the scarce AOC and vendor resources in such a way that the implementation of both CLJ-CMS and EDR are coordinated and neither project is waiting on the other. Unfortunately, a baseline schedule for CLJ-CMS will not be finalized until vendor negotiations have been completed in mid- to late 2017. In the meantime, it may be possible to develop several project portfolio scenarios using the proposed schedules from the CLJ-CMS vendor proposals, variations of EDE project schedules (incorporating the schedule for supporting the King County projects), and other projects underway at AOC to help inform resource allocation options from a broad project portfolio perspective.

Observation 2: The procurement phase is currently on schedule. The two responses to the CLJ-CMS RFP were evaluated in December, vendor demos were conducted in February, and customer site visits are scheduled for April. 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 submitted a proposed project schedule with their RFP response submission. The project team is reviewing the proposed vendor project schedules to understand the approach of each vendor in configuring the system and implementing the large number of courts involved.

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 the resources are 100 percent 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.

Category	Project Management and Sponsorship	Nov	Jan	Mar
Area of Assessment	AOC Policy Regarding e-Filing	No Risk Identified	No Risk Identified	Risk
Urgency	Urgent Consideration			
March 31, 2017 Update: Newly identified risk.				

Observation: The CLJ-CMS RFP contains explicit requirements for the solution to address e-filing. However, recent discussions among business, the project team, and other stakeholders have revealed a lack of clarity between AOC policy regarding e-filing and the CLJ e-filing requirements. Without clarity, there is risk to planning specific activities related to e-filing for CLJ implementation, putting scope and schedule at risk for "muddiness" at a minimum and possibly inadequate staffing and time allocation.

While this risk is closely related to the "Solution" area, we have chosen to list this risk in the "Project Management and Sponsorship" area because resolution will almost certainly require the attention of the CLJ Project Steering Committee, AOC executive staff, and, possibly, the JISC.

Category	Project Management and Sponsorship	Nov	Jan	Mar
Area of Assessment	Governance	No Risk Identified	No Risk Identified	No Risk Identified
Urgency	N/A			
March 31, 2017 Update: No change.				

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 (CUWG).

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

March 31, 2017 Update: The business team is working with the project team to develop a list of implementation goals for areas such as conversion, training, and court rollout that will be used to inform vendor negotiations.

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 to stakeholders 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 vendor 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.

If project scope is expanded without a corresponding increase in project resources due to budget constraints, it may be necessary to increase the duration of implementation activities.

Status: The business team is working with the project team to develop a list of implementation goals for areas such as conversion, training, and court rollout that will be used to inform vendor negotiations. The communication of goals will help ensure that vendor, AOC, and court expectations and resource allocation is aligned with stakeholder needs and will provide guidance for project implementation.

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

March 31, 2017 Update: No change.

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

Category	Project Management and Sponsorship	Nov	Jan	Mar
Area of Assessment	PMO: Change, Risk, Issue, Quality Management	No Risk Identified	No Risk Identified	No Risk Identified
Urgency	N/A			
March 31, 2017 Update: No change.				

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.

People

Category	People	Nov	Jan	Mar
Area of Assessment	Staffing	No Risk Identified	Risk	Risk
Urgency	Urgent Consideration			

March 31, 2017 Update: Concerns raised at the end of January remain. It will be difficult to estimate the impact of resource allocation on the CLJ-CMS project until a vendor has been selected and a baseline schedule has been established.

Observation/Risk: 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 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.

Although the project has sufficient resources for this stage of the project, discussions occurred in January regarding resource allocation for AOC projects currently underway, including the CLJ-CMS project, the Expedited Data Exchange (EDE) project (implementing the Enterprise Data Repository), and the SC-CMS project. Although no reallocation of resources has occurred since then, a risk remains that CLJ-CMS project resources could be redirected to the EDE and/or SC-CMS projects, and potentially impact the schedule of the CLJ-CMS project. It will be difficult to estimate the impact of resource allocation on the CLJ-CMS project until a vendor has been selected and a baseline schedule has been established.

Recommendation: As noted in the Software Integrations area, the CLJ-CMS project is heavily dependent upon the implementation of the EDR. If a decision is made to not implement any CLJ-CMS courts prior to a stable integration between CLJ-CMS and EDR, then a delay in the implementation of the EDR or the integration between CLJ-CMS and EDR would have a corresponding delay in the Go-Live date of CLJ-CMS.

At the same time, if resources are reallocated from the CLJ-CMS project to the EDE project for reasons important to the integrity of schedules of other projects in AOC's project portfolio, then the impact to CLJ-CMS is likely to be later than planned rollout to the courts involved. From a purely CLJ-CMS Project perspective, the optimum solution would be to allocate the scarce AOC and vendor resources in such a way that the implementation of both CLJ-CMS and EDR are coordinated and neither project is waiting on the other. As previously noted, a baseline schedule for CLJ-CMS will not be finalized until vendor negotiations have been completed in mid- to late 2017. In the meantime, it may be possible to develop several project portfolio scenarios using the proposed schedules from the CLJ-CMS vendor proposals, variations of EDE project schedules (incorporating the schedule for supporting the King County projects), and other projects underway at AOC to help inform resource allocation options from a broad project portfolio perspective.

With regard to planning for the CLJ-CMS project, *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 the courts are implemented and court personnel increase their knowledge and skills in the use of the new system. Eventually, AOC and local court resources will be 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 during the implementation of both the new and legacy systems will help smooth the transition.

Status: As identified in the project staffing plan, resources are being added to the project as needed. An approach has been outlined by the project for the AOC operations staff to begin supporting CLJ-CMS at the point of pilot implementation.

Category	People	Nov	Jan	Mar
Area of Assessment	Stakeholder Engagement/Organizational Change Management	No Risk Identified	No Risk Identified	No Risk Identified
Urgency	N/A			
March 31, 2017 Update: No change.				

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. An OCM sub-team has been formed 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 overcoming resistance to change by setting expectations with regard 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 area and transition management is assessed in the Training and Rollout, User Support, and Operations areas.

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.

Category	People	Nov	Jan	Mar
Area of Assessment	Training	No Risk Identified	No Risk Identified	No Risk Identified
Urgency	N/A			
March 31, 2017 Update: No change.				

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

Category	People	Nov	Jan	Mar
Area of Assessment	Rollout, User Support, and Operations	No Risk Identified	No Risk Identified	No Risk Identified
Urgency	N/A			
March 31, 2017 Update: No change.				

Observation: 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.

Category	People	Nov	Jan	Mar
Area of Assessment	Contract and Deliverables Management	No Risk Identified	No Risk Identified	No Risk Identified
Urgency	N/A			
March 31, 2017 Update: No change.				

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. The final contract will be negotiated with the selected CLJ-CMS vendor.

Solution

Category	Solution	Nov	Jan	Mar
Area of Assessment	Software Integrations	No Risk Identified	Risk	Risk
Urgency	Serious Consideration			

March 31, 2017 Update: No change.

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 state-level 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 local government 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 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 an operational 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. (Note, however, that we have raised a risk of the potential for resource reallocation from the CLJ-CMS project to the EDE project.)

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 the pilot.

Status: A problem has existed since the implementation of the SC-CMS pilot with the integration components that synchronize case and party data between Odyssey and other AOC judicial information systems (JIS). This has resulted in a backlog that prevents the timely update of Odyssey data in other AOC and state systems. The backlog has the potential to result in legal problems if court decisions are made using stale data in the JIS.

In November 2016, analysis was conducted to determine if there were alternatives to the SC-CMS replication process that could be implemented in a short enough timeframe to provide benefit to the project. One of the alternatives considered at that time is to build an integration between Odyssey and the Enterprise Data Repository (EDR) currently under construction. It is not clear if the implementation of any of the alternatives will have a schedule, budget, or scope impact on the CLJ-CMS project. However, if resources are reallocated from construction of the EDR-to-SCCMS integration, the timeline for implementation of the EDR could be impacted.

Additionally, resources may be reallocated from the CLJ-CMS project to assist with the SC-CMS integration effort or with the construction of the EDR.

Category	Solution	Nov	Jan	Mar
Area of Assessment	Vendor Procurement	No Risk Identified	No Risk Identified	No Risk Identified
Urgency	N/A			
March 31, 2017 Update: The procurement for the CLJ-CMS software vendor continues on-track.				

Observation: Two vendor proposals were received in December 2016. Proposal evaluations were conducted in December, with both vendors moving on to the demonstration stage of the procurement. Demonstrations by vendors were conducted in February and customer site visits are scheduled for April.

Category	Solution	Nov	Jan	Mar
Area of Assessment	Business Processes/System Functionality	No Risk Identified	No Risk Identified	No Risk Identified
Urgency	N/A			
March 31, 2017 Update: No change.				

Observation: The Court Business Office (CBO) got an early start on defining the CLJ business processes that were 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 CLJ-CMS functional 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.

Category	Solution	Nov	Jan	Mar
Area of Assessment	Solution Requirements, Design, and Configuration	No Risk Identified	No Risk Identified	No Risk Identified
Urgency	N/A			
March 31, 2017 Update: No change.				

Observation: Requirements for information systems 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 amount of implementation resources and timeframe needed 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.

Category	Solution	Nov	Jan	Mar
Area of Assessment	Information Retrieval and Reporting	No Risk Identified	No Risk Identified	No Risk Identified
Urgency	N/A			
March 31, 2017 Update: No change.				

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.

Data

Category	Data	Nov	Jan	Mar
Area of Assessment	Data Preparation	No Risk Identified	No Risk Identified	No Risk Identified
Urgency	N/A			
March 31, 2017 Update: No change.				

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 ongoing operational processes.

Category	Data	Nov	Jan	Mar
Area of Assessment	Data Conversion	Not Assessed	No Risk Identified	No Risk Identified
Urgency	N/A			
March 31, 2017 Update: No change.				

Observation: A conversion specialist was hired in January.

Infrastructure

Category	Infrastructure	Nov	Jan	Mar
Area of Assessment	Statewide Infrastructure	Not Assessed	Not Assessed	Not Assessed
Urgency	N/A			

This area will be assessed later in the project, as needed.

Category	Infrastructure	Nov	Jan	Mar
Area of Assessment	Local Infrastructure	Not Assessed	Not Assessed	Not Assessed
Urgency	N/A			

This area will be assessed later in the project, as needed.

4. Tracking Log of Quality Assurance Recommendations and AOC Responses

Recommendation		Finding(s)	Date Offered	Date Closed	QA Status
1	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.	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. Potential system vendors have been asked to provide a detailed schedule with their proposal submission.	07/31/16	Open	The project team is beginning to plan timelines for phases that are subsequent to the procurement phase, 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.
2	One or more members of the CLJ-CMS project team should 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.	The CLJ-CMS project's reliance on the EDR establishes a very heavy dependency on the success of the EDE project.	07/31/16	Open	The CLJ-CMS project team has developed a contingency plan if the EDR integration ability is not available when needed.
3	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.	09/30/16	11/30/16	The procurement for the CLJ-CMS software vendor is progressing smoothly.

Recommendation		Finding(s)	Date Offered	Date Closed	QA Status
4	Consider the possibility of developing several project portfolio scenarios using the proposed schedules from the CLJ-CMS vendor proposals, variations of EDE project schedules (incorporating the schedule for supporting the King County projects), and other projects underway at AOC to help inform resource allocation options from a broad project portfolio perspective.	Discussions regarding reallocation of CLJ-CMS resources to the Expedited Data Exchange (EDE) project that is constructing the Enterprise Data Repository (EDR) are on-going.	01/31/17	Open	From the perspective of the CLJ-CMS Project, the optimum solution would be to allocate the scarce AOC and vendor resources in such a way that the implementation of both CLJ-CMS and EDR were coordinated and neither project was waiting on the other.
5	Immediately raise the priority of addressing the apparent disconnect between AOC policy and the CLJ requirements with respect to e-filing. Resolution will almost certainly require the attention of the CLJ Project Steering Committee, AOC executive staff, and, possibly, the JISC.	The CLJ-CMS RFP contains explicit requirements for the solution to address e-filing. However, recent discussions among business, the project team, and other stakeholders have revealed a lack of clarity between AOC policy regarding e-filing and the CLJ e-filing requirements.	03/31/17	Open	Without clarity, there is risk to planning specific activities related to e-filing for CLJ implementation, putting scope and schedule at risk for “muddiness” at a minimum and possibly inadequate staffing and time allocation.

5. Explanation of *bluecrane's* Approach to Quality Assurance

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
  - Software Integrations

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  - 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, r*esults are what the project is all about!*)

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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 item has not started yet or is not yet assessed
Completed or Not Applicable	**Completed/Not Applicable:** this 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.

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Washington State Administrative Office of the Courts

Quality Assurance Consulting Services

INH EDE Program

Follow-on Assessment Report #4

April 14th, 2017

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Revision History

Revision	Revision Date	Name	Notes
1.0	April 14th, 2017	Tom Boatright	Draft Assessment #4

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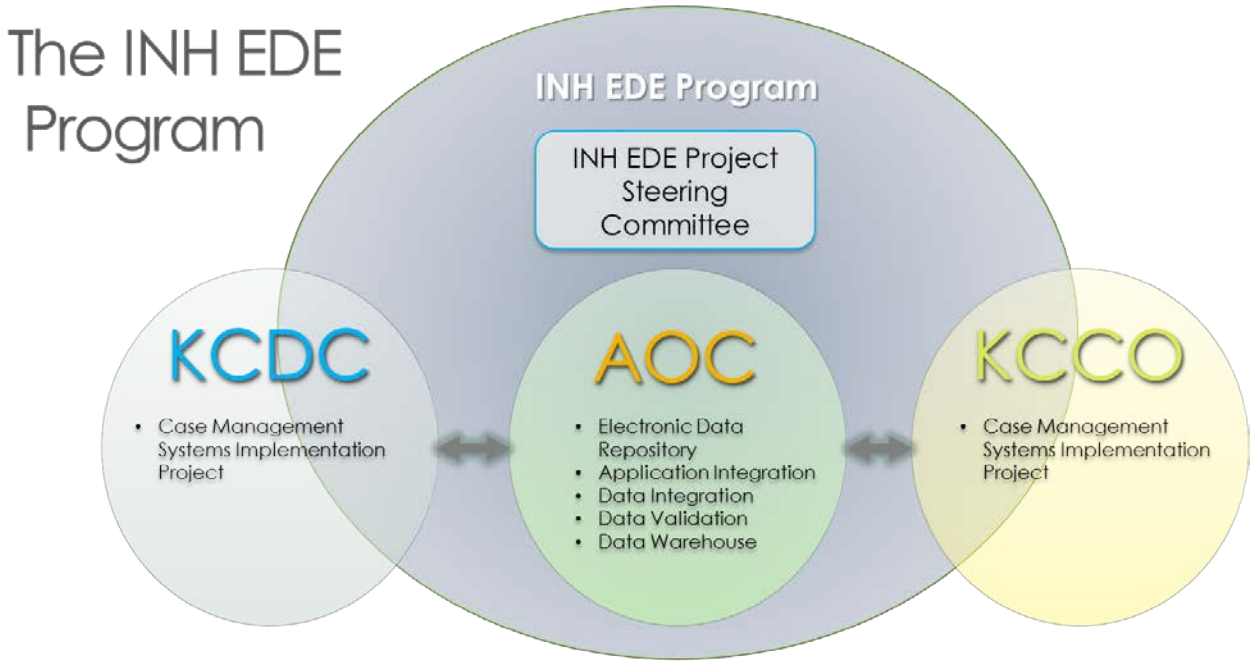
Executive Summary

This follow-on report constitutes the fourth of nine (9) quality assurance assessment reports that will be conducted for the Information Networking Hub Expedited Data Exchange (INH EDE) Program. The final assessment will be comprised of a "lessons learned" report. This fourth report builds on the Baseline and subsequent reports provided by the Integrated Solutions Group (ISG) team starting in June of 2016.

The Information Networking Hub Expedited Data Exchange (INH EDE) is currently under development by the Administrative Office of the Courts (AOC). When complete, the INH EDE will perform a critical business function of providing access to offender data statewide, across jurisdictions so that continued public safety of Washington residents can be assured. The INH EDE will eventually replace a legacy data repository that contains offender data from all thirty-nine Washington counties.



The Bassline Assessment report emphasized the need for the INH EDE stakeholders to recognize the endeavor as a program and not as individual projects. Additionally, the Baseline Assessment and follow-on reports #2 and #3 highlighted and prioritized recommendations that focused on achieving ***efficient planning*** (develop and implement a Program Management Plan – (PMP); ***effective communications*** (develop and implement the communication plan within the PMP); and implementation of ***program controls*** (operationalize processes in the PMP). The Program has made strides in this regard, with development and utilization of program level management and control mechanisms that have enhanced not only the program's performance, but also have reduced assessed risks to deliver on the program's critical milestones.

ISG developed assessment report #4 during the four months following delivery of assessment report #3. During the four months since delivery of assessment report #3 significant technical challenges were identified and brought forward to the Steering Committee and Executive Stakeholders. Initially in the December and January Steering Committees, issues around data management between enterprise AOC information system were reported. These issues were followed by the program manager reporting in the subsequent month's Steering Committee, that lack of resources within several AOC tracks were significantly impacting the program's projected Integrated Program Schedule (IPS) milestone completion dates. Both sets of issues were brought to the Steering Committee for resolution. In February of 2017, the Steering Committee requested that the managers form a focus group to resolve the resource and technical complexity issues and risks. The three (3) organizations of AOC, KCDC and KCCO spent several focused sessions working to develop potential resolutions. In the end, the group determined that the best path forward was to re-cast the program schedule. The program's focused group worked in a collaborative and productive manner to produce a revised program schedule. This new program schedule was a clear reflection of the program management team working together to represent the whole program and not only their own respective tracks. The program managers presented the revised program plan in the March Steering Committee for approval. The Steering Committee voted in favor of moving forward utilizing the revised program plan. Significant commitment to a program perspective resulted in what ISG has assessed to be a workable re-casting of the program schedule.

In addition to the progress achieved in re-casting the program plan, ISG recognizes the accomplishments made by AOC during the reporting period including:

- **AOC INH EDE Team Reorganization**: AOC has reorganized their internal teams to align to the recasting of the program plan. In addition, the team now includes a business owner to further secure the business requirements lifecycle within the program.
- **Program Resource Acquisitions**: All levels of the program, from executive stakeholders to the business teams represented within the program have worked to acquire business analysts. This process is producing results and program managers are optimistic that the business analyst resource issues will be mitigated.
- **Vendor Management**: AOC is managing the Data Integration contract in a manner that continues to produce needed outcomes. In addition, Data Validation procurement support has been realigned to support unforeseen changes in the procurement schedule, and at the time of this assessment, the DV procurement process has been assessed to be on track.

Emphasis of Follow-on Report #4

ISG emphasizes for this reporting period three (3) critical program areas to mitigate risks and improve the likelihood of success specific to scope, schedule, and budget. The following areas represent those themes and are a summary of the recommendations that follow throughout the detailed recommendations provided in this assessment report.

1) **Proficient Management Controls:** With the development of the re-casted program

plan, a detailed program schedule has been developed to actively manage at a detailed task level the activities of the program. This detailed program schedule should be a point of emphasis by the Steering Committee and Executive Stakeholders. The detailed program schedule should have assigned to it, sufficient resource to ensure its daily update and should be utilized by program stakeholder and managers to carefully assess the program's ability to meet its revised schedule around critical milestones.

2) **Effective Communication:** Because of the number of stakeholders and dependencies across the tracks and projects, the detailed program plan will require active and regular communication sessions to ensure the various parties are working in concert toward common goals and objectives.
    a. 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. To be successful, the program must establish plans for effective integration as follows:
    a. Adopt **Requirements Management** processes immediately. The program continues to discuss requirements without a clear definition and common understanding of what is being built. The program needs to answer what functionality will be in place and by when for the multiple parties to successfully integrate.
    b. Develop a **Test Management Plan** as rapidly as possible that defines an agreed upon end to end testing approach including testing definitions, scope, scenarios, roles/responsibilities, schedule, environments, data preparation, release cycles and timing, and defect reporting and triage. Without advance definition and agreement, an aggressive testing cycle in the upcoming schedule of events will likely not result in the expected outcomes.
    c. Finalize and implement the **Data Migration Plan** as rapidly as possible that defines data sources, targets, timing, methodology, mapping, etc. Now that Data Integration is in production, this document should actively govern on-going processes.

Although the INH EDE program has endured several months of significant challenges and issues, the commitment of executive sponsors and managers to work through those

challenges has been in full view and has been an outstanding indicator of the commitment this group has and needs to achieve the program's goals and objectives.

That said, the program now faces new decision points. With resource constraints still being experienced within the program as well as the continued emergence of technical complexity of several areas of the program, it is highly likely that more support from executive stakeholder will be required. The ISG overall assessment diagram that follows depicts a program that is operating at extreme risk thresholds and will face program wide critical issues in the upcoming months.

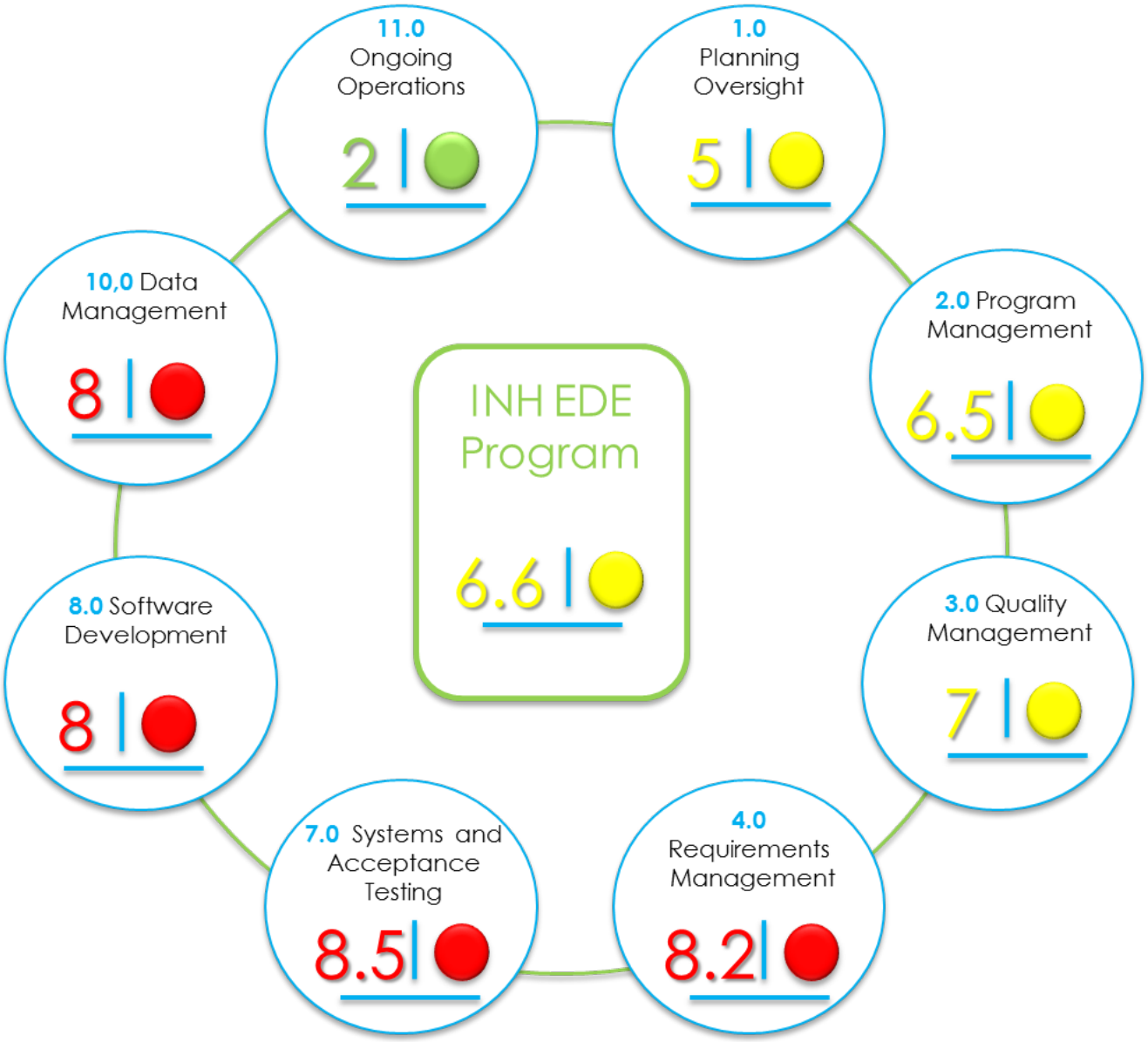
The program should utilize its strengths during this period of time, focusing on the assets that have supported the program's progress to this point:

1) **Executive Sponsorship:** the program has committed and involved executive sponsors. The executive sponsors will continue to be important to the program as it will continue to face challenges that require support. Resourcing challenges, budget support, system functional issues have all been supported by the executive sponsors of this project and will be required through the program's completion.
2) **Program Steering Committee:** the program has benefited by the support of a strong Steering Committee. Cross program representation, managerial expertise and technical expertise have all benefited the program in resolving issues that emerged during its early phases. Continued focus of the Steering Committee Charis on the productivity of this forum, and participation of all its members will be critically important as the program moves into it's pilot and implementation phases.
3) **Program Managers:** the program managers that represent all the tracks of this program, and their commitment to working together for the overall achievement of the program goals will continue to be critical as the program enters its next stages. The program managers group has made significant progress in this regard and no doubt will continue to be asked to continue maturing their working relationships as the program enters implementation phases.

The executive and detailed summaries that follow describe the qualitative and quantitative results of the evaluation processes utilized by ISG. For the follow-on report, evaluation is based on assessments of baseline report recommendations. Newly added recommendations are highlighted as such, but within the same numbering scheme as established in the baseline assessment report.

The INH EDE program's impact assessment rating of **6.60** for the 4th assessment report reflects a program that is inherently complex and will likely be a high-risk project throughout its entire lifecycle. This rating should result in a continued urgency by executive sponsors and program managers to continue taking recommended action to mitigate the risks.

INH EDE Follow-on Assessment Report #4 – Assessment Diagram



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

Executive Summary Dashboard - INH EDE Follow-on Assessment Report

The table below includes summary of recommendations for each of the assessment categories that follow in the detailed assessment tables. See INH EDE Follow-on Assessment Report in the following section for all recommendations.

Category Level Assessment and Recommendations Summary	Impact Assessment
1.0 Planning Oversight	
Assessment Summary The alignment and coordination of the procurement services support for the program have been determined to be aligned to program needs. In addition, the program's actively changing procurement needs have been met by the procurement support team, indicating a high level of coordination and commitment that is needed to ensure requirements are met. **Recommendations Summary** Continued coordination and communication should be a point of emphasis between the procurement services and program managers. The observed coordination in this reporting period has had a positive impact on the program's performance.	 5
2.0 Program Management	
Assessment Summary The AOC program management team was reorganized to include a program manager, technical track manager and business track manager. In addition, the program's schedule was re-cast into a detailed program plan. Both program management adjustments were assessed by the ISG team as being required of the program to meet its overall milestones and goals. **Recommendations Summary** The program management team should have weekly meetings focused on review and assessment of program activities utilizing the newly developed program detailed plan. Current program manager one (1) hour meetings should be a focus point for this management effort.	 6.5
3.0 Quality Management	

Assessment Summary As the program moves into a phase of its lifecycle that has the highest levels of deliverables being finalized, a focus on quality management and thorough review process of deliverables is a critical function to ensure the program goals and objectives are met in a timely manner. **Recommendations Summary** Program manager, technical lead and business leads should use the detailed program plan and deliverables/milestones definition to enact required approval of all program deliverables.	 7
4.0 Requirements Management	
Assessment Summary The program continues to discuss requirements without a clear definition and common understanding of what is being built. The program needs to answer what functionality will be in place and by when for the multiple parties to successfully integrate. **Recommendations Summary** Program manager, technical lead and business leads need the detailed program requirements catalog to manage program requirements as the program moves into its next stages. Definition of the business requirements is critical to program ongoing activities.	 8.2
7.0 Software Development	
Assessment Summary With the re-casting of the program plan and the focus on prioritizing the development activities, application development will reside within newly defined program goals. This integration and prioritization of software development to reside within program goals, is critical for managing and the utilization of resources. **Recommendations Summary** Program managers will be required to diligently manage development activities within each goal ensuring that activities align to plans.	 8.0
8.0 System and Acceptance Testing	

Assessment Summary Develop a Test Management Plan as rapidly as possible that defines an agreed upon end to end testing approach including testing definitions, scope, scenarios, roles/responsibilities, schedule, environments, data preparation, release cycles and timing, and defect reporting and triage. Without advance definition and agreement, an aggressive testing cycle next spring will likely not result in the expected outcomes. **Recommendations Summary** A focus on program testing and associated testing plans should be an emphasis of weekly program managers' meetings. Communications in weekly meetings should illicit the gathering of data regarding the test plan, coordination and testing progress.	 8
10.0 Data Management	
Assessment Summary Finalize and implement the Data Migration Plan as rapidly as possible that defines data sources, targets, timing, methodology, mapping, etc. Now that Data Integration is in production, this document should actively govern data management processes. **Recommendations Summary** Program manager, technical lead and business leads should focus on the development of the Data Migration Plan.	 8
11.0 Operations Management	
Assessment Summary Program manager, technical lead and business leads are working on the development of the operations plans the program will utilize once it enters its pilot and implementation phases. **Recommendations Summary** Program manager, technical lead and business leads should work to have draft plans in time for the review cycles to occur before the plan is needed in Pilot phases.	 2

1.0 Planning Oversight

QA Framework Elements for Planning Oversight Category and Sub-Category														
PO1	PO2	PO3	PO4	PO5										

Recommendations	Status	Current Assessments	Follow-on #4	Follow-on #3
1.1.1. High Priority Recommendation: Develop a procurement strategy to support program vendor and staffing needs.	Closed	The alignment and coordination of the procurement services support for the program have been determined to be aligned to program needs. In addition, the programs actively changing procurement needs have been met by the procurement support team, indicating that there is a high level of coordination and commitment that is needed to ensure requirements are met. A. Programs management of the Data Integration (DI) vendor has been important to ensuring the goals and objectives of the DI track are met. B. The acquisitions of business and technical resources needed to support the program during the assessment period has been instrumental in providing needed resources for the program. C. Management of the Data Validation procurement process during the project re-casting will be a benefit to the program as this service is required in the upcoming phases of the programs activities.	5.0	7.0
1.1.2. High Priority Recommendation: Account for procurement tasks and dependencies within the overall schedule.	Closed			
1.1.3. Develop a high-level procurement plan and strategy that can be utilized by other areas of the program for planning purposes.	Closed			
1.1.4. High Priority Recommendation: Consider development of alternative procurement processes and methods (i.e. convenience contracts that would enable the development of talent pools to be utilized by the project).	Closed			

2.0 Program Management

QA Framework Elements for Project Management (PM 1 through 39) Category and Sub-Category's														
PM1	PM2	PM3	PM4	PM5	PM6	PM7	PM8	PM9	PM10	PM11	PM12	PM13	PM14	PM15
PM16	PM17	PM25	PM25	PM28	PM30	PM31	PM32	PM38	PM39					

Recommendations	Status	Current Assessments	Follow-on #4	Follow-on #3
2.1 Project Sponsorship				
2.1.1. High Priority Recommendation: Adopt a standard executive view dashboard to report program and track status monthly so that progress can be monitored in an objective and measurable way.	**Open**	The Program has developed and is in the process of implementing a new detailed program plan. This tool will be used as an extended detail of the re-cast Integrated Program Schedule (IPS). The Program Manager and Technical Manager have committed to producing a network diagram facilitated by the (.mpp) for use by the Steering Committee to monitor status.	5.0	6.0
2.1.2. Re-affirm or adjust Steering Committee membership and voting roles given recent staffing additions.	**Closed**	The Program Manager drafted a revised Steering Committee Charter that refined membership and roles. The charter has been adopted and approved, this recommendation is closed.		
2.1.3. Identify all decisions to be addressed in advance of the Steering Committee and include on the agenda.	**Closed**	The Steering Committee decision making process has been modified to include decisions to be addressed within upcoming meeting. this recommendation is closed		

Recommendations	Status	Current Assessments	Follow-on #4	Follow-on #3
2.1.4. Make a decision during the Steering Committee meeting; OR, clearly identify the path to a decision in a decision log. Follow up on the identified action item at the next meeting until the decision is complete and documented in the log	**Open**	The Steering Committee decision making process has been modified to include a decision log. This recommendation evaluation stays open for continued evaluation of defined processes.		
2.1.5. Communicate decisions back to respective team members after each Steering Committee meeting.	**Closed**	The Steering Committee decision making process and associated communication process has been defined. This recommendation is closed.		
2.1.6. Review the meeting protocols and reaffirm or adjust as agreed to by the membership.	**Closed**	The Program Manager drafted a revised Steering Committee Charter that refined membership and roles. The charter has been adopted and approved		
2.1.7. Agree on notice for SC materials to be published.	**Closed**	The Program Sponsors implemented a process for SC materials review and notice.		
2.1.8. Identify decisions on SC agenda in advance of meeting.	**Open**	The Steering Committee decision making process and associated communication process has been developed. This evaluation stays open for continued evaluation of defined processes.		
2.2 Management Assessment				
2.2.1. High Priority Recommendation: Clarify roles and responsibilities, lines of authority and communication, within tracks and across the program.	**Closed**	The Program has developed a new organization chart that reflects positions and assignments.		

Recommendations	Status	Current Assessments	Follow-on #4	Follow-on #3
2.2.2. High Priority Recommendation: Identify responsibility for decision making and criteria for escalation	Closed	The newly establish Program Management Plan (PMP) does establish an issues management process and in association, a decision-making management process.	5.0	7.0
2.2.3. High Priority Recommendation: Develop an integrated, high-level view of the schedule showing critical milestones and inter-dependencies across projects/tracks.	Open	The Program has developed and is in the process of implementing a new detailed program plan. This tool will be used as an extended detail of the re-cast Integrated Program Schedule (IPS). The Program Manager and Technical Manager have committed to producing a network diagram facilitated by the (.mpp) for use by the Steering Committee to monitor status.		
2.2.4. High Priority Recommendation: Conduct a program kick off with the teams to reinforce the program schedule, scope, roles and responsibilities, etc. Consider coordinating this activity with current town hall program meetings.	Closed	The program has focused on communicating the revised plans throughout stakeholder groups and as a result has completed this recommendation.		
2.3 Project Management				
2.3.1. Develop a Program Management Plan (PMP) that aligns with the recommended PMBOK PMP. To realize the benefit of a PMP as quickly as possible, ISG recommends development of the PMP in three (3) iterations: 1st Iteration: Document the three (3) program baselines (scope, schedule and budget); 2nd iteration: Document standard processes to be applied across the program for Communications Management, Stakeholder Management, Procurement Management, Human Resources Management, Change Management and Risk	Closed	The Program Manager has made significant progress on developing the Program Management Plan (PMP). ISG has been reviewing and actively providing input to this plan as it's in the development process. The current version of the PMP is comprehensive and will realize the benefits that a PMP can bring to a Program such as the INH EDE endeavor.	6.0	6.0

Recommendations	Status	Current Assessments	Follow-on #4	Follow-on #3
Management; 3rd iteration: Document standard processes to be applied across the program for Configuration Management, Scope Management, Schedule Management, Cost Management, Quality Management, Process Improvement and Requirements Management.				
2.4 Business Process Reengineering				
2.4.1. High Priority Recommendation: Conduct a business impact assessment to determine overall impact and determine need for organizational change management and business process re-engineering to support continued public safety.	**Open High Priority**	ISG has assessed that the business impact areas of the program are in development and a plan is being assembled. Recommendation emphasis continues in regard to this effort in terms of prioritization for needed resources and agency focus to ensure a process can be enacted and support the programs goals. This recommendation is a High Priority Recommendation and under continued evaluation by the ISG team.	8.5	8.5
2.4.2. High Priority Recommendation: Develop a plan for addressing business impacts based on outcomes of the assessment. Consider bringing in a User Advisory Group to consult on impact and approach.	**Open High Priority**			
2.5 Risk Management				
2.5.1. High Priority Recommendation: Develop and maintain a RAID log documenting risks, assumptions, issues and decisions; publish log in a central repository for communicating to team members.	**Closed**	The Program Manager has implemented a defined risk management process (defined in the PMP).	6.0	7.0
2.5.2. Log all decisions in a central repository so there is a clear record and the decisions can be communicated broadly to the team.	**Open**	The program manager is in the process of developing an associated decision log to be utilized to track program decision process and agreements.		
2.6 Change Management				

Recommendations	Status	Current Assessments	Follow-on #4	Follow-on #3
2.6.1. Develop a Change Management Plan as part of the larger PMP (see recommendation 2.3.1) that identifies the formal process for identifying, approving and communicating changes to scope, schedule and budget.	**Open**	Change Management is addressed in the PMP, however has yet to be implemented. This will remain an open recommendation and under continued evaluation by the ISG team.	9.0	9.0
2.7 Communications Management				
2.7.1. High Priority Recommendation: Schedule regularly occurring meetings for AOC Program Manager and Track Program Managers to stay in synch and coordinate activities across tracks.	**Open**	Communications Management is addressed in the PMP, and the Program Manager has taken steps to implement the described processes. ISG has assessed progress in implementing measure to meet this recommendation to having positive impacts to programs operations. Additional focus on agenda's, cadence of meetings, tools (Skype), duration and focus points of program forums is recommended for the continued pursuit of benefits. ISG will continue to assess this recommendation for closure through the upcoming assessment cycle.	5.0	6.5
2.7.2. High Priority Recommendation: Schedule regularly occurring meetings between AOC managers, KCDC and KCCO PMs to address integration points between AOC and other jurisdictions.	**Open**	The program manager needs to immediately formalize the weekly program manager meeting. ISG is urging that a formal agenda be developed, that the forum has a focus on the detailed program plans and that thorough communication occur in this forum to ensure all understand status and issues facing the program.		
2.8 Configuration Management				

Recommendations	Status	Current Assessments	Follow-on #4	Follow-on #3
2.8.1. High Priority Recommendation: Review configuration management processes in project management level and technical management level meetings.	**Open High Priority**	Configuration Management has not been established within the Program and in such remains an ISG recommendation. As the month's pass and scheduled Program milestones approach, not having a defined configuration management processes in place and implemented is an increasing risk to the Program. This recommendation is a High Priority Recommendation and under continued evaluation by the ISG team.	9.5	9.5
2.9 Program Estimating and Scheduling				
Note: See Recommendation 2.3.1 for developing a PMP that includes a program Schedule Baseline. The baseline should be developed using estimates from the team performing the work and should clearly identify the critical path. Once baselined, defined change management processes should be used to identify and approve a critical path schedule change.	**Open**	The Program is in the process of developing the detailed program plan. This plan includes detail for all the activities within the program, to include dependencies and resource requirements.	7.0	4.0
2.10 Program Personnel				
2.10.1. High Priority Recommendation: As part of the PMP, develop a program level staffing management plan that provides a high-level plan for staffing needs, acquisition and management.	**Open**	The program has made strides in attending to the resources needs realized by the program over the past few months. Executive stakeholder, program		

Recommendations	Status	Current Assessments	Follow-on #4	Follow-on #3
2.10.2. High Priority Recommendation: With staffing management plan developed, look to meet staffing needs by: 1) Consider reallocating staff within or across organizations. 2) Complete the work with the least resource dependent approach. 3) Re-schedule resource dependent tasks that are not on the critical path.	**Open**	sponsors and stakeholders across the program are working to resolve resource issues and this commitment is assessed as making strides in mitigating the resources needs of the program.	7.0	9.5
2.11 Program Organization				
2.11.1. Develop a project organizational chart with clear lines of communication and authority along with clear roles and responsibility definitions as part of the PMP Staffing Management Plan (see recommendation 2.3.1).	**Closed**	The Program Manager has developed an updated organization chart.	7.0	8.0
2.12 Subcontractors and External Staff				
The programs management of sub-contracted and contracted resources is an assessed area of strength as such, there are no recommendations.	**Closed**	The Program continues to manage sub-contractors and contracted resources in efficient and effective ways, incorporating the resources into the Program at an integrated and productive level.	2.0	2.0

3.0 Quality Management

QA Framework Elements for Quality Management (QM 4) Category and Sub-Category's														
QM 4														

Recommendations	Status	Current Assessments	Follow-on #4	Follow-on #3
3.2 Quality Assurance				
3.2.1. Develop a program level quality review for program deliverables at a project and track level.	**Open**	The Program Management Plan has a defined quality review and program deliverables process defined. ISG has reviewed this process and believes once implemented has the potential to ensure all Projects within the Program approve deliverables and Program's progress toward milestones as defined by these deliverables.	7.0	7.0

4.0 Requirements Management

QA Framework Elements for Requirements Management (QM 4) Category and Sub-Category's														
RM 1	RM 2	RM 8	RM 10	RM 11	RM 12	RM 13	RM 14	RM 15	RM 16					

Recommendations	Status	Current Assessments	Follow-on #4	Follow-on #3
4.1 Requirements Management				
4.1.1. High Priority Recommendation: Develop a program level requirements management plan and process as part of the PMP (see recommendation 2.3.1). 1) Utilize a centralized repository model that is available to both technical teams as well as business analysts. Expand licensing of TFS to accommodate central repository model. 2) Develop processes for requirements traceability throughout SDLC.	**Open High Priority**	ISG has assessed the approach and resources required to facilitate the development of the Requirements Management plan and processes. Assessment has been focused on the newly developed program components definition diagram. This tool will be used to organize further requirements management process. The Program being well into its projected development activities, this management tool is significantly behind schedule and creates a scenario where work efforts that are in motion may not be informed by the Program's Requirements. This recommendation will is a High Priority Recommendation and under continued evaluation by the ISG team.	7.5	7.5
4.2 Security Requirements				
4.2.1. High Priority Recommendation: Develop a program level security requirements assessment and monitoring program as part of the overall requirements management component of the PMP.	**Open High Priority**	As described above, the Program does and is utilizing past system security requirements as a foundation for this area, however these requirements need to be reviewed and reconfirmed. This	8.5	8.5

Recommendations	Status	Current Assessments	Follow-on #4	Follow-on #3
		recommendation will is a High Priority Recommendation and under continued evaluation by the ISG team.		
4.3 Requirements Analysis				
4.3.1. High Priority Recommendation: Conduct a program level requirements analysis review as a part of the overall requirements management processes for the program.	**Open High Priority**	As described above, the Program is in the processes of conducting this analysis. This recommendation is a High Priority Recommendation and under continued evaluation by the ISG team.	8.5	8.5
4.4 Interface Requirements				
4.4.1. High Priority Recommendation: Conduct a program level interface requirements analysis review as a part to the overall requirements management processes for the program.	**Open High Priority**	As described above, the Program is in the processes of conducting this analysis. This recommendation is a High Priority Recommendation and under continued evaluation by the ISG team.	8.5	8.5

7.0 Software Development

QA Framework Elements for Software Development Category and Sub-Category's

SD 2	SD 3	SD 4	SD 5	SD 8	SD 10	SD 11	SD 21							

Recommendations	Status	Current Assessments	Follow-on #4	Follow-on #3
7.1 High Level Design				
7.1.1. High Priority Recommendation: Develop a program level high-level design document. 1) Ensure design requirements can be traced back to system requirements. 2) Create configuration control within high level design documents.	**Open High Priority**	The program level high-level design document is being developed. AOC has allocated new and dedicated resources to this effort. This recommendation is a High Priority Recommendation and under continued evaluation by the ISG team.	8.0	8.5
7.2 Detailed Design				
7.2.1. High Priority Recommendation: Create program level detailed design documentation and processes. 1) Ensure design requirements can be traced back to system requirements. 2) Create configuration control within high level design documents.	**Open High Priority**	As described above, the Program is in the processes of conducting this analysis. This recommendation is a High Priority Recommendation and under continued evaluation by the ISG team.	8.0	8.5
7.3 Code				
7.3.1. High Priority Recommendation: Create configuration control within development plan and approach	**Open High Priority**	The new Program Management Plan outlines configuration control processes, AOC will implement these Program controls within the reporting period potentially reducing this high-risk area. This recommendation is a High Priority Recommendation and under continued evaluation by the ISG team.	8.0	8.5

8.0 System and Acceptance Testing

QA Framework Elements for System and Acceptance Testing Category and Sub-Category's

ST 15														

Recommendations	Status	Current Assessments	Follow-on #4	Follow-on #3
8.1 Acceptance and Turnover				
8.1.1. High Priority Recommendation: Complete and publish a program-wide test plan that identifies testing definitions, schedule, roles and responsibilities, approach, methodology, scope, entrance and exit criteria for different phases of testing, test reporting, and testing inter-dependencies across components.	**Open High Priority**	The Program Manager has described approach and resources required to facilitate the development of the Testing Plan. The program needs a thorough testing plan to coordinate all levels of testing required of the program. The plan will outline system testing and acceptance processes. This recommendation is a High Priority Recommendation and under continued evaluation by the ISG team.	8.0	8.0

10.0 Data Management

QA Framework Elements for Data Management (DM) Category and Sub-Category's

DM 1	DM 2													

Recommendations	Status	Current Assessments	Follow-on #4	Follow-on #3
10.1 Data Conversion				
10.1.1. High Priority Recommendation: Develop program level data management plan to include an overall inventory of interfaces identifying parameters by interface as well as individual interface control documents (ICDs) that define the details about the interface including data mapping between systems, ETL and data validation rules, frequency, method of transfer.	**Open High Priority**	The new Program Management Plan outlines program data management processes, AOC will implement Data management process through the development of the Data Management Plan. This plan will be built on and implemented with a focus of coordinating "major data-related events" and reporting these events up to the steering committee if they are items tracked within the new detailed program schedule. The initial census has identified 18 events to be managed under data management. Program controls within the reporting period potentially reducing this high-risk area. This recommendation is a High Priority Recommendation and under continued evaluation by the ISG team.	8.0	8.0

11.0 Operations Oversight

QA Framework Elements for Data Management (DM) Category and Sub-Category's														
OO 1	OO 2	OO 3	OO 4	OO 5										

Recommendations	Status	Current Assessments	Follow-on #4	Follow-on #3
11.1 Operations Oversight				
The assessment of this are of the program has been initiated during this assessment period. No recommendations are being presented to the program at this time.	N/A	ISG has reviewed early drafts of the INH EDE Operations plans and has found the framework of those plans to be aligned to best practices. ISG will continue to evaluate the drafts as they materialize of the next assessment periods.	2.0	2.0

Appendix B. ISG INH EDE Discovery Interviews

ISG conducted interviews as an information gathering and validation process of the discovery and assessment phase. Interview sessions were designed to gather information in relationship to the ISG QA Framework. Interviewee questions were prepared in advance by the ISG team assigning specific QA Framework questions to the roles of individuals being interviewed.

AOC Interviews

1. Kevin Ammons
2. Christine Cook
3. Jenni Christopher
4. Sree Sundaram
5. Kumar Yajamanam
6. Chau Nguyen

INH EDE Stakeholder Interviews

1. Shuyi Hu
2. Barb Miner

Appendix B. INH EDE Follow-on Assessment Report

ISG QA Process Background and Approach

ISG's process in developing the baseline assessment report included discovery interviews, program artifact reviews, and program meeting attendance. Meeting attendance included INH EDE Program Steering Committee, JISC, and/or other program level meetings. Artifact review includes project plans, project budget reports, status reports, deliverable documentation and project management methodology, please refer to (Appendix B & C) for full list interviewees and deliverables reviewed.

Within the follow-on assessment reporting tables that follow, the reader will find both Qualitative and Quantitative assessment findings, both of which are defined as follows.

ISG Qualitative Analysis System

Assessment/Findings:

Describes ISG assessment findings in narrative and qualitative form. This information is gathered from key staff interviews and documentation review and is specific to the ISG QA framework area being assessed.

Expected Outcome:

This area of the assessment report is intended to provide the reviewer with a high-level definition of what is expected from the assessment area. ISG can provide additional detail in these areas to include examples and templates in some cases for AOC utilization.

Project Controls:

The program controls section lists PMI PMBOK and general industry best practices, program/project control techniques and tools. ISG can support this section with examples and discussion of techniques and tools.

Recommendations:

For categories of the assessment framework that have assessment findings, ISG has included recommendations. Recommendations are based on industry best practices and practical ISG team experiences.

Appendix C. ISG INH EDE Discovery Documentation

ISG was provided the following project documents in the assessment and discovery phase. ISG's assessment and findings is based in part on review of the documents reviewed.

INH EDE Program

1. Project Charters/Scope
2. Project Governance
3. Draft EDE Schedule
4. EDR Project Charter _ KC Go Live
5. EDE Program SharePoint site
6. EDE Ingestion List
7. EDE All Staff Presentation 20160426
8. EDE Docs Status Matrix
9. EDE Org Chart Feb9

Committee/meeting

1. JISC Reporting and presentation
2. INH-EDE Project Steering Committee reporting
3. Steering Committee Meeting Minutes
4. JISC EDR Data Standards
5. INH EDE Program Town hall
6. 2016-03-11 AOC & KC Meeting Minutes
7. AOC Expedited Data Exchange March 2016
8. Expedited Data Exchange Budget Status April 2016
9. Expedited Data Exchange Major Milestones
10. Provisionally Approved JIS Data Standards for Alternative Electronic Court Records Systems
11. Application Integration High Level ver 0 9
12. Expedited Data Exchange Steering Committee Agenda 04-15-16
13. 2016-01-15 AOC & KC Meeting Minutes

Project/track

1. Project Track Schedules
2. Project Track Resourcing Information
3. Project Track monthly reports
4. EDE SharePoint Portal
5. EDE Project Budget Summary (Steering Committee)
6. AOC KC Data Exchange Proposal 02-27-15
7. Data Integration and Data Validation Charter _signed
8. EDR InScope_OutOfScopeV1 5
9. JIS Application Integration and Data Warehouse Charter signed
10. Signed AOC Expedited Data Exchange Steering Committee Charter
11. Justification DW
12. Priority Checklist
13. Statement of Work EDE Application Integration revised 4-6-16

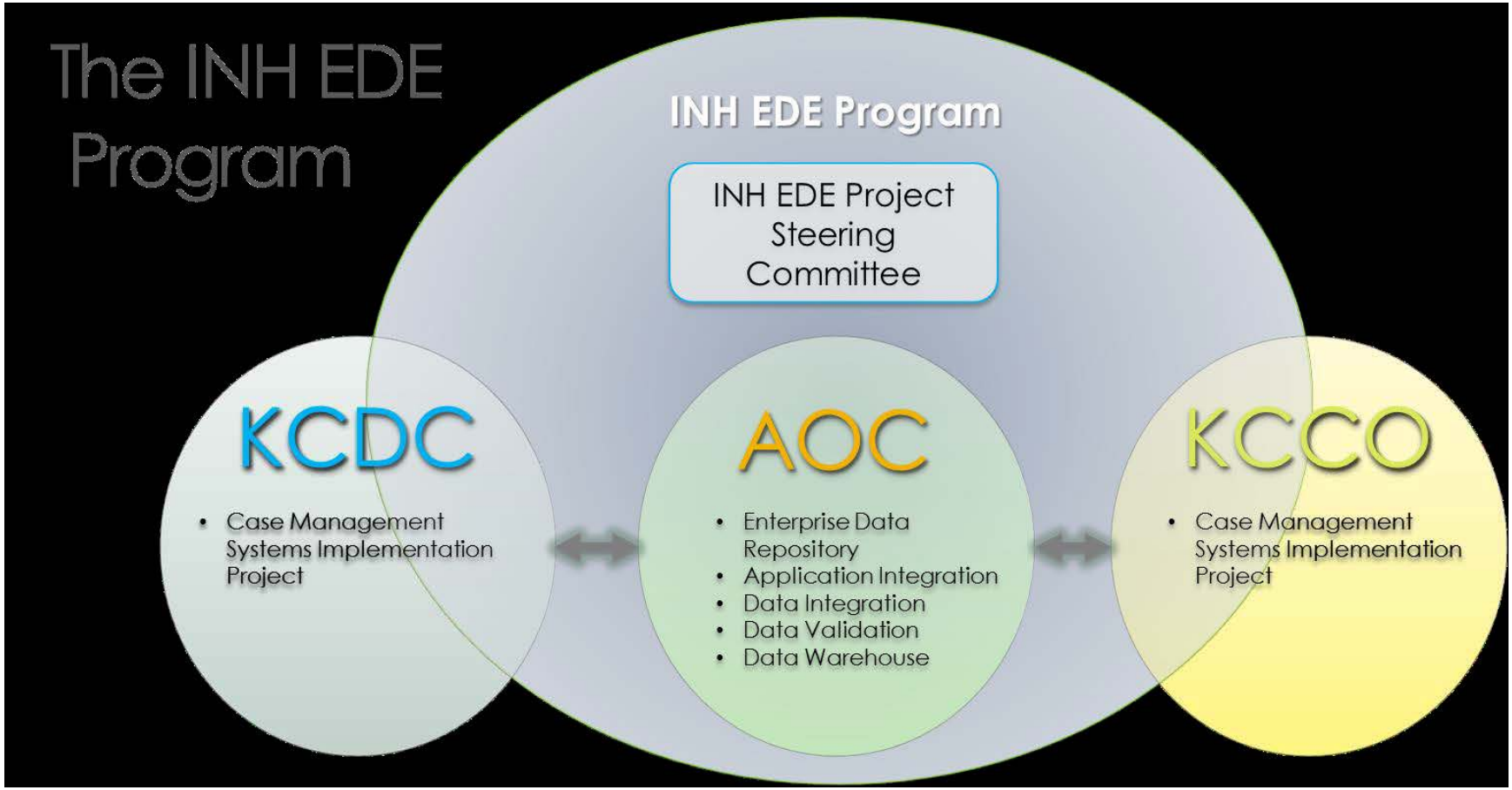
Expedited Data Exchange (EDE)

Program Update

Kevin Ammons, PMP
Program Manager

April 28, 2017

INH EDE Program



Program Purpose

The Expedited Data Exchange (EDE) Program will perform the critical business function of providing access to statewide data, across jurisdictions, so that the continued public safety of Washington residents can be assured.

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 on-boarding 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

Resource Issue Update

- AOC has identified a Court Business Coordinator to organize the activities of the business resources for the EDE Program
  - The business team will be organized under the Court Business Office and currently has five of a planned seven staff assigned
- Technical resources are also constrained in several areas including uniPaaS/Magic, data expertise, and testing
  - Recent hires of uniPaaS developer and two testers will help

Schedule Issue Update

- The EDE Program has been reorganized into 11 Goals to focus resources on accomplishing specific objectives and then moving to further objectives

Goal	Title	Goal	Title
1	Data Integration	7	KCDC 2nd Go-Live
2	Infrastructure & Environments	8	Data Validation, Phase 2
3	KCCO Go-Live	9	Final EDR Release
4	JABS & JIS Link	10	KCDC 3rd Go-Live
5	Data Validation, Phase 1	11	Data Warehouse
6	Applications & Data Exchanges		

Recent Activities
Goal 1 – Data Integration

- ✓ Completed a series of performance tests in March of the Initial Load of JIS Person data into the EDR
- Tests indicated that the EDR performed well, but the Data Integration component could not meet performance requirements to enable a successful load in an acceptable timeframe
- EDE has selected a different methodology to complete the Initial Load of all JIS data to the EDR
- Business team working to finalize Standard Reference Data

Recent Activities
Goal 2 – Infrastructure & Environments

- Finalizing Environment Map to identify hardware and software requirements for re-focused work plan
- Initiated Transition Planning to identify future sustainment of all deliverables produced by the EDE Program

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.
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

Milestones	
✓ Release EDR version 1	June 2016
✓ Contract Data Integration Vendor	August 2016
✓ Release Data Validation RFP	October 2016
EDR Version 2 Release	June 2017
Goal 2 – Infra & Environs Complete	June 2017
Goal 1 – Data Integration Complete	July 2017
KCDC 1st Go-Live	August 2017
KCCO Go-Live	January 2018
KCDC 2nd Go-Live	April 2018
KCDC 3rd Go-Live	July 2018

King County
District Court

KING COUNTY DISTRICT COURT
CASE MANAGEMENT SYSTEM PROJECT UPDATE

Judge Donna Tucker – Presiding Judge

Othniel Palomino – Chief Administration Officer

KCDC
Updated: April 7, 2017

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. The primary objective of this implementation is to ensure public safety.

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

PROJECT PHASES

- Phase 1 – August 2017
  - "Limited Civil" case types – Summons & Complaints, Judgment Summaries, Foreign Judgments, Collections – including Exparte Motions processing
  - New system for "Limited Civil" deployed to Burien, Issaquah, and Seattle locations
  - eFiling functionality
  - Public Portal

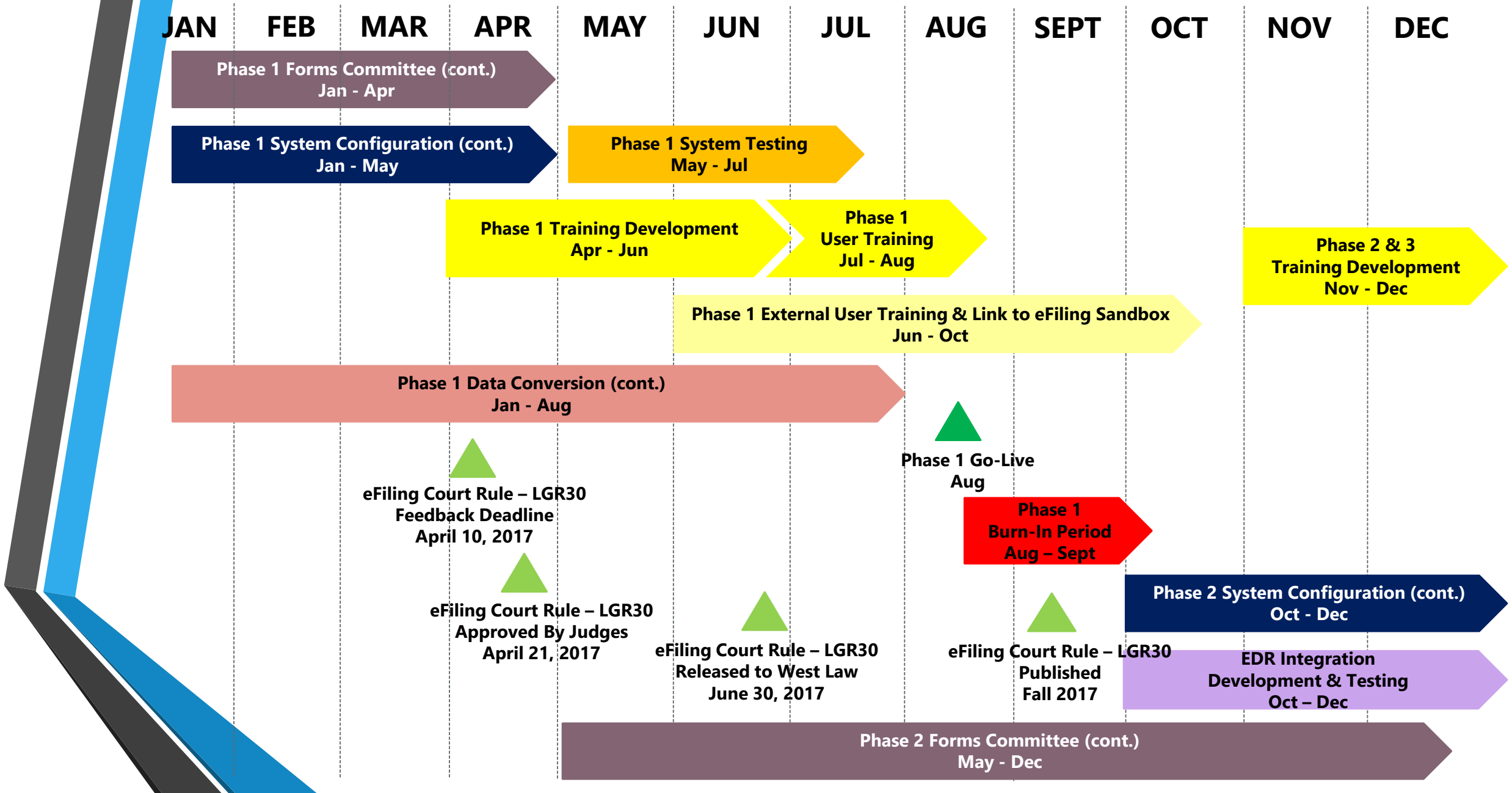
- Phase 2 – Spring 2018
  - "Full Civil" case types – Small Claims, Name Changes, Impounds, Protection Orders
  - New system for "Full Civil" deployed to all locations
  - Integration with the EDR

- Phase 3 – Summer 2018
  - "Criminal" & "Infraction" case types
  - New system for "Criminal" & "Infraction" deployed to all locations

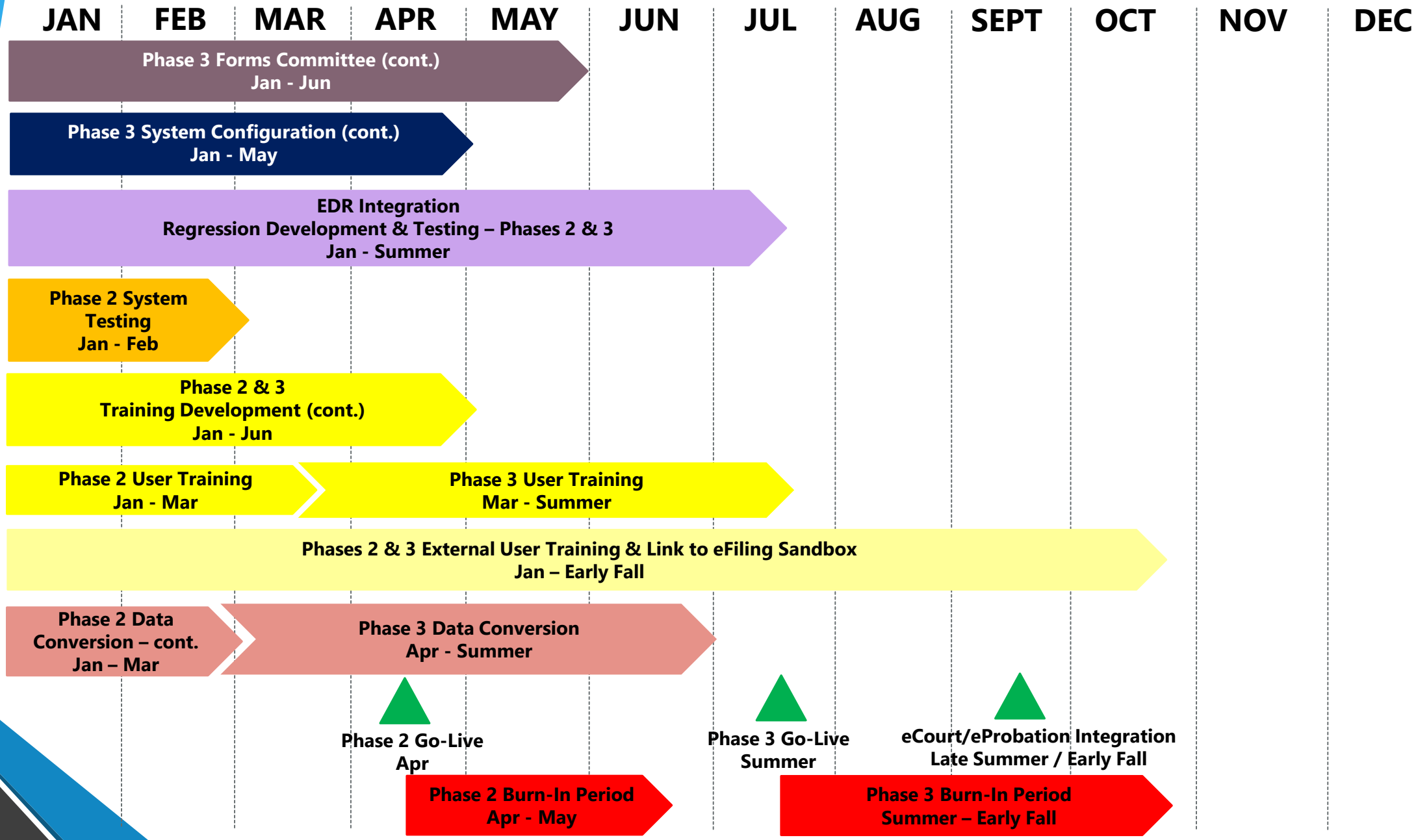
RECENT & UPCOMING EVENTS

- "Limited Civil" operational/clerk power user session – 3/27 & 3/28 - **COMPLETE**
- "Limited Civil" judicial power user session – 3/29 & 3/30 - **COMPLETE**
- "Limited Civil" Training Coordinator training kick-off – 4/10 - **COMPLETE**
- Computer 'Word/Outlook/Internet' training – 4/11, 4/19, 4/28 - **COMPLETE**
- Computer 'Excel' training for managers – 5/3, 5/9, 5/11
- Clerk & Manager Training – 7/5 – 8/11
- Judicial Training – 7/5 – 8/11

PROJECT HIGH-LEVEL TIMELINE - 2017



PROJECT HIGH-LEVEL TIMELINE - 2018



King County
Department of Judicial Administration

King County Clerk's Office Systems Replacement Project

Project Update

Barbara Miner
King County Clerk

April 28, 2017

Project Overview

King County
Department of Judicial Administration

- 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

King County
Department of Judicial Administration

Recent Activities

- **Completed** hiring Software Testing firm
- **Completed** initial Performance Testing
- System design and configuration – **In Progress**
- Testing conversion of JIS case data – **In Progress**
- Enterprise Data Repository (EDR) interface development to send and retrieve statewide data – **In Progress**
- Department of Licensing (DOL) interface development to retrieve drivers record data **– In Progress**

Project Milestones

King County
Department of Judicial Administration

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

BOXI Version Upgrade Business Intelligence Tool (BIT) Upgrade Project

Project Update

Charlene Allen, Project Manager

April 28, 2017

Background

- ✓ 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 upgrade BOXI to the current version.

Recent Activities

- Project Activity
  - ✓ Presented BIT upgrade project at county clerk spring conference.
  - ✓ Development server built and tested.
  - Determine the impacts on existing reports.
  - Install and configure production server.
  - Develop training plan.
- Court Activity
  - Release notes to courts to clean up unused documents.
  - Courts cleaning up content based on our News Alerts.

Court Action

- Action Deadlines
- Action Steps
- Results if no action taken

BIT Project Page

BIT Project Documents

Project Documents	News Alerts	Technical Documents	Training & Communications *NOTE: Videos Require Windows Media Player*
BIT Brochure	Clean up: Inbox		BIT User Interface Crosswalk
	* Clean Up BOXI/BIT Personal and Court Folders		* A Different Look and Feel
			* What is Web Intelligence
			* Web Intelligence Overview
			* Getting to Your Reports

* - New Document

Return to Main Project Page

Documents

- Project Background
- Project Brochure
- Project Documents
- Procurement Documents

Contact Us

Send your e-mail to
BITProject@courts.wa.gov

Next Steps

- Target for clean up of environment:

Object	Before	Project After
Webi	63,239	40,349
PDF	94,748	200
Excel	75,278	100
Total	233,265	40,649

- Continue asking courts to remove unused reports to facilitate a timely migration using “News Alerts”
- Project is scheduled for implementation June 19, 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	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	1	0

Significant Issues Status

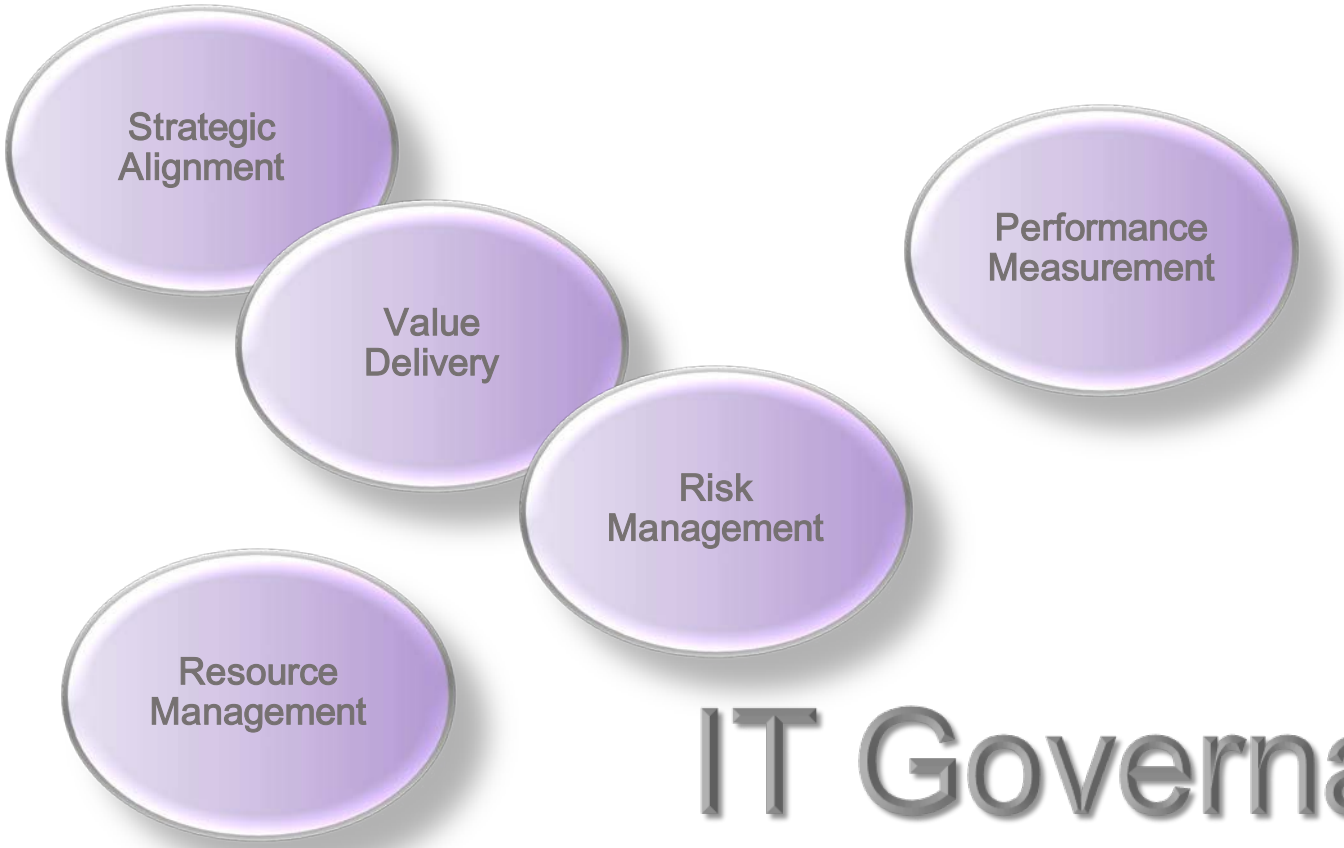
Issue	Urgency/Impact	Action
Training of customers	High	Created training videos (20 are planned) and hands-on opportunities before and after go-live

Project Milestones

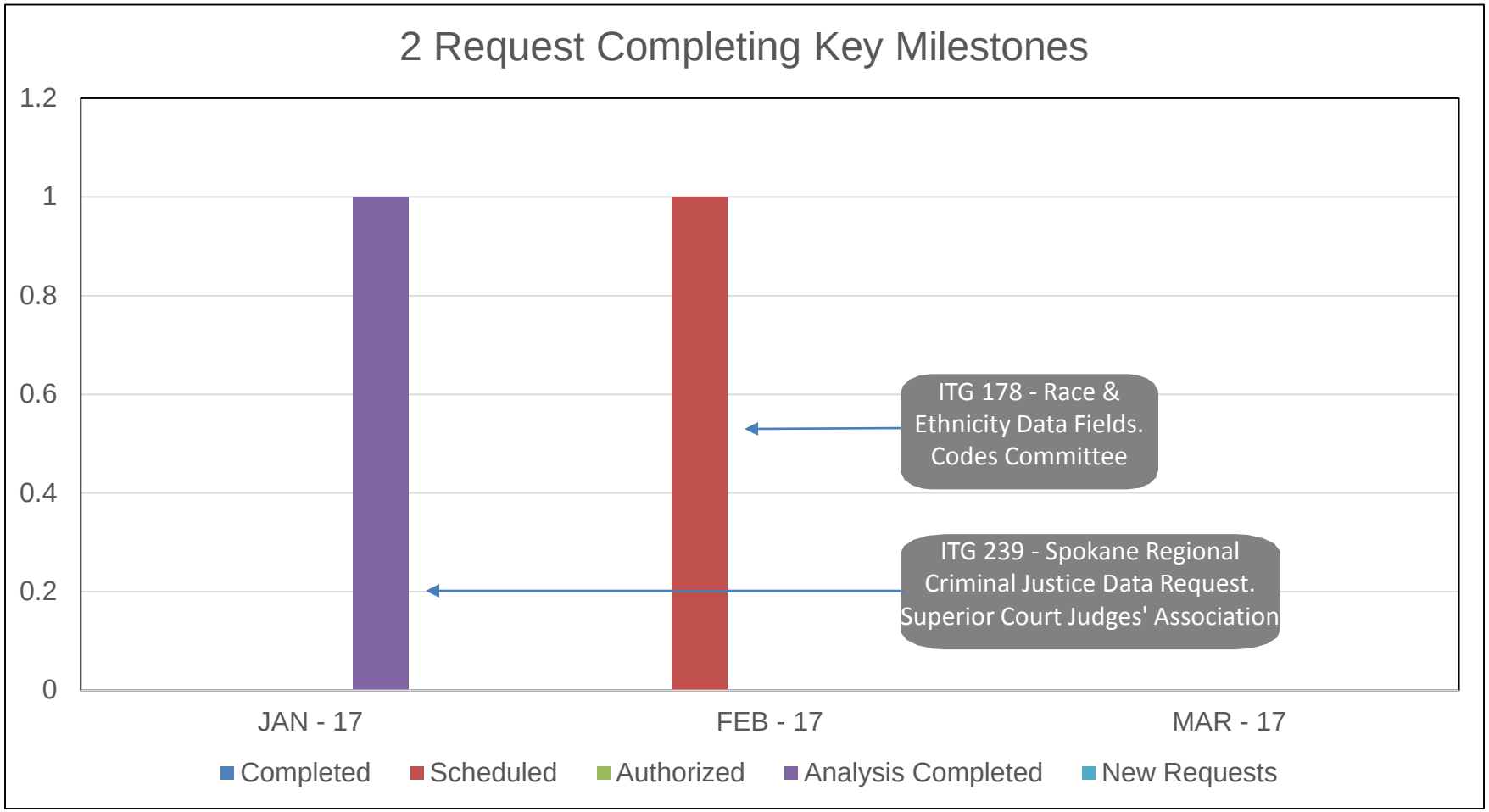
Milestone	Date
Initial testing of production environment	April 2017
Hands-on experience with statewide reporting workgroup	May 2017
AOC staff training	May 2017
Finalize material for customer training	June 2017
Production (Go Live) Complete	June 19, 2017

WASHINGTON COURTS

JIS IT Governance Report
March 2017

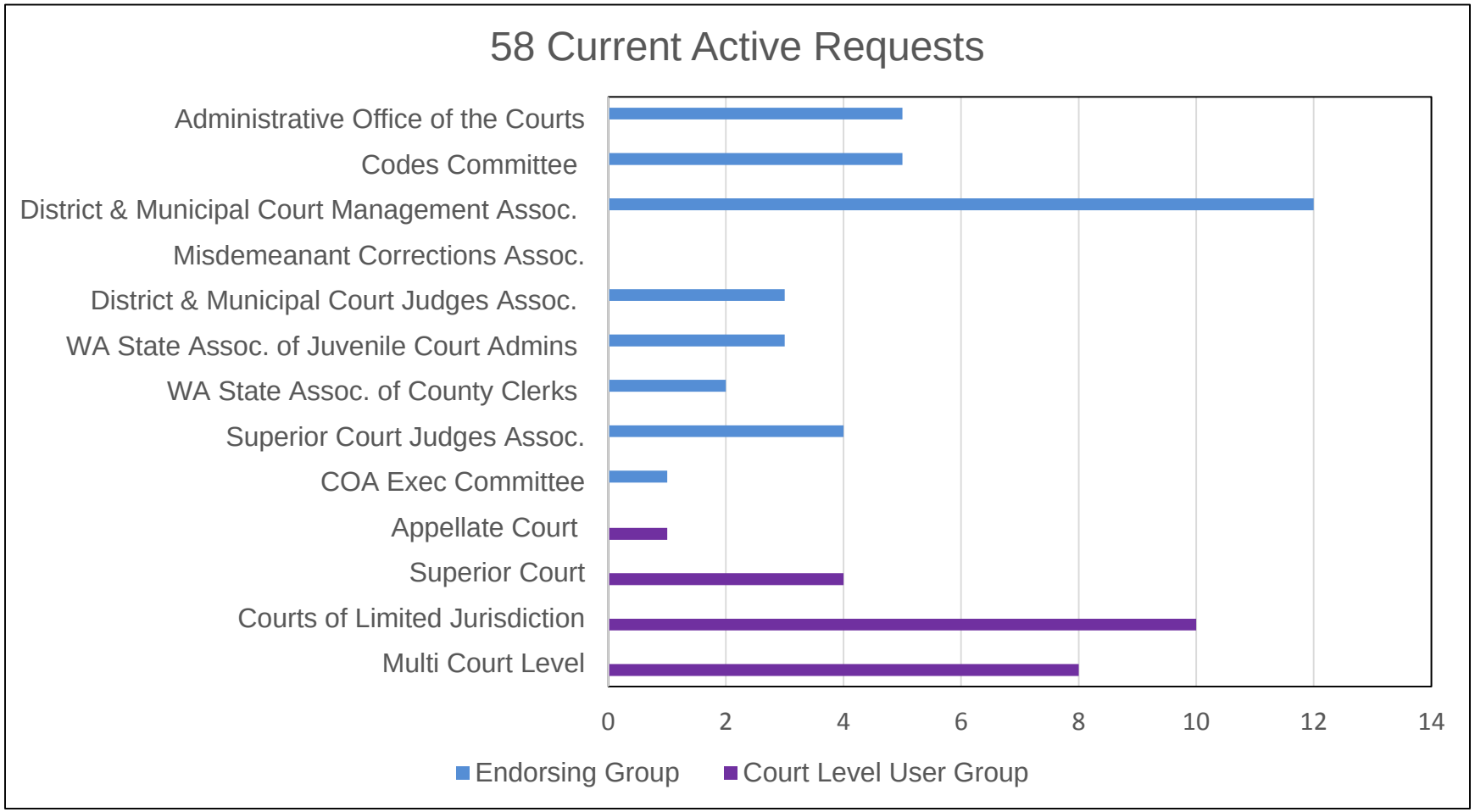


Executive Summary



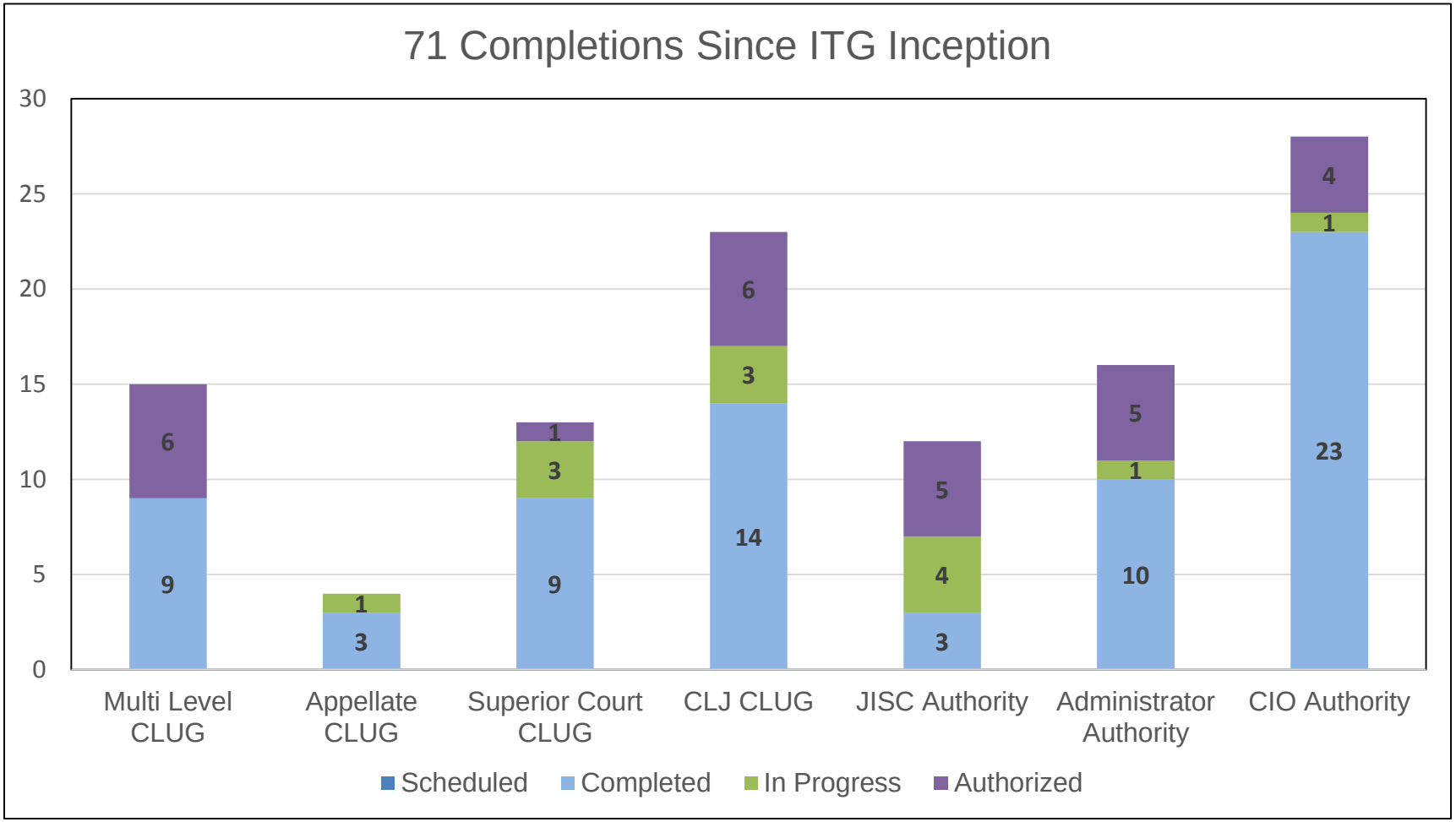
"IT Governance is the framework by which IT investment decisions are made, communicated and overseen."

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

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

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	In Progress	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

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