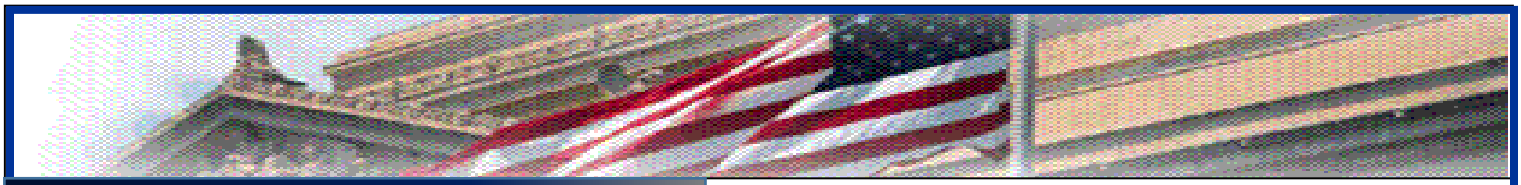

bluecrane

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

May 31, 2017

Prepared by

Bluecrane, Inc.

bluecrane ®

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May 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 May 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 May 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 April and May of this year, 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 April and May. Vendor demonstrations were held in February. Site visits to active court clients of the two vendors were conducted in April. The procurement schedule for an announcement of the Apparently Successful Vendor (ASV) has been extended from May to June to accommodate the submission of Best and Final Offers (BAFOs) from the competing vendors.
- On-going Organizational Change Management (OCM) 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. The formality of the OCM and Stakeholder Engagement planning and the specific details being developed are impressive and appear to reinforce an effective effort going forward.
- 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 four risks that we tracked in our March 31 QA report. 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 the March report, we added a tracking log for 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 early 2017 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	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 Being Addressed	E-filing requirements are being addressed	The CLJ-CMS RFP contains explicit requirements for the solution to address e-filing. However, 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. The need for an e-filing policy was discussed at a CLJ-CMS Steering Committee in May. A decision was made by the Steering Committee for the project team to work with the CUWG to define policy needs as they consider an approach to satisfy e-filing business requirements.

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 April 1 – May 31, 2017

Project Management and Sponsorship

Category	Project Management and Sponsorship	Jan	Mar	May
Area of Assessment	Schedule	Risk	Risk	Risk
Urgency	Serious Consideration			

May 31, 2017 Update: Concerns raised at the end of January and March remain, and are primarily related to staffing and contingency planning. The procurement phase of the project was extended a month accommodate the submission of Best and Final Offers (BAFOs) from the competing vendors.

Observation/Risk 1: As noted in the Staffing area below, the reallocation of CLJ-CMS resources to the Expedited Data Exchange (EDE) project continues to be a possibility. The objective of the EDE project is to build and implement the Enterprise Data Repository (EDR) which will eventually house data from all court related systems. 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 later in 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 has been extended approximately one month. The two responses to the CLJ-CMS RFP were evaluated in December, vendor demos were held in February, and customer site visits were conducted scheduled in April. The procurement schedule for an announcement of the Apparently Successful Vendor (ASV) has been extended from May to June to accommodate the submission of BAFOs from the competing vendors. 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	Jan	Mar	May
Area of Assessment	AOC Policy Regarding e-Filing	No Risk Identified	Risk	Risk Being Addressed
Urgency	Serious Consideration			
May 31, 2017 Update: The need for a policy to satisfy e-filing business requirements will be discussed by the CUWG.				

Observation: The CLJ-CMS RFP contains explicit business requirements to address an e-filing capability. However, 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 requires the attention of the CLJ Project Steering Committee, AOC executive staff, and possibly by the JISC.

Status: The e-filing requirements are being updated. The need for an e-filing policy was discussed at a CLJ-CMS Steering Committee in May. A decision was made by the Steering Committee for the project team to work with the CUWG to define policy needs as they consider an approach to satisfy e-filing business requirements.

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

May 31, 2017 Update: The business team is continuing to work 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	Jan	Mar	May
Area of Assessment	Budget	No Risk Identified	No Risk Identified	No Risk Identified
Urgency	N/A			

May 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	Jan	Mar	May
Area of Assessment	PMO: Change, Risk, Issue, Quality Management	No Risk Identified	No Risk Identified	No Risk Identified
Urgency	N/A			
May 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	Jan	Mar	May
Area of Assessment	Staffing	Risk	Risk	Risk
Urgency	Urgent Consideration			

May 31, 2017 Update: Concerns raised at the end of January and March 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, training, deployment, and operational support.

Although the project has sufficient resources for this stage of the project, discussions occurred in early 2017 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 a later than the planned rollout to the CLJ courts. 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	Jan	Mar	May
Area of Assessment	Stakeholder Engagement/Organizational Change Management	No Risk Identified	No Risk Identified	No Risk Identified
Urgency	N/A			
May 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	Jan	Mar	May
Area of Assessment	Training	No Risk Identified	No Risk Identified	No Risk Identified
Urgency	N/A			
May 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	Jan	Mar	May
Area of Assessment	Rollout, User Support, and Operations	No Risk Identified	No Risk Identified	No Risk Identified
Urgency	N/A			
May 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	Jan	Mar	May
Area of Assessment	Contract and Deliverables Management	No Risk Identified	No Risk Identified	No Risk Identified
Urgency	N/A			
May 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	Jan	Mar	May
Area of Assessment	Software Integrations	Risk	Risk	Risk
Urgency	Serious Consideration			
May 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 continue to 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	Jan	Mar	May
Area of Assessment	**Vendor Procurement**	No Risk Identified	No Risk Identified	No Risk Identified
Urgency	**N/A**			
May 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 held in February. Customer site visits were conducted in April.

Category	Solution	Jan	Mar	May
Area of Assessment	**Business Processes/System Functionality**	No Risk Identified	No Risk Identified	No Risk Identified
Urgency	**N/A**			
May 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	Jan	Mar	May
Area of Assessment	**Solution Requirements, Design, and Configuration**	**No Risk Identified**	**No Risk Identified**	**No Risk Identified**
Urgency	**N/A**			
May 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 modifications and testing 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 COTS system functionality.

Category	Solution	Jan	Mar	May
Area of Assessment	**Information Retrieval and Reporting**	**No Risk Identified**	**No Risk Identified**	**No Risk Identified**
Urgency	**N/A**			
May 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	Jan	Mar	May
Area of Assessment	Data Preparation	No Risk Identified	No Risk Identified	No Risk Identified
Urgency	N/A			
May 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	Jan	Mar	May
Area of Assessment	Data Conversion	No Risk Identified	No Risk Identified	No Risk Identified
Urgency	N/A			
May 31, 2017 Update: No change.				

Observation: The conversion specialist has begun to analyze the legacy data to begin building estimates for conversion complexity and duration. The business analysts have also begun to analyze the legacy data and are starting work on conversion rules. A Conversion Strategy document has been developed.

Infrastructure

Category	Infrastructure	Jan	Mar	May
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	Jan	Mar	May
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	*Closed Item – see end of table*				

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.

CLOSED ITEMS

Recommendation		Finding(s)	Date Offered	Date Closed	QA Status
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.

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

  - 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!*)

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.