

**Statement of Work**  
to  
**Contract PSC/[XXXXXX]**  
for  
**INH EDE Quality Assurance**  
**Consulting Services**

This Statement of Work (SOW) is made and entered into by and between the Administrative Office of the Courts (“AOC”) and *<company name>*, for Information Technology (IT) Quality Assurance (QA) consulting services for the Information Networking Hub (INH) Expedited Data Exchange (EDE) project.

This SOW incorporates by reference the terms and conditions of Contract PSC/[XXXXXX] in effect between AOC and Vendor. In case of any conflict between the SOW and the contract the contract shall prevail. AOC and Vendor agree as follows:

**1. INTRODUCTION**

The primary deliverables under this SOW are related to IT QA consulting services for the INH EDE project. The services provided under this SOW will enable AOC in coordination with King County to ensure successful integration of AOC’s INH EDE with new case management system for the King County District Court.

Vendor is to provide quality assurance (QA) consulting services for the INH EDE project.

The INH EDE project will develop and implement a data exchange and central data repository which meets the needs of the King County District Court (KCDC), King County Superior Court Clerk (KCSC) - King County Department of Judicial Administration (KCDJA) (also referred to as King County Clerk’s Office) and the AOC. The INH EDE project will be developed by AOC to facilitate the process for local courts with their own case management systems to electronically exchange statewide data with the AOC for access by other courts across the state. The statewide data exchange will be built using the Judicial Information System Committee (JISC) approved statewide JIS Data Standards for Alternative Electronic Court Record Systems. See **EXHIBIT G** of ACQ-2015-1218-RFQQ for further information. The INH will enable new case management systems to provide data to a statewide, central repository. This repository, the Enterprise Data Repository (EDR), will be available for use by local court systems and the data will be accessible by courts across the state via a statewide viewer, the Judicial Access Browser System (JABS). Further development of the EDR to include data validation services and to integrate other statewide and AOC data sources will be completed following successful implementation of the pilot and the early adopter courts.

The INH EDE project will launch with a pilot court, KCDC, and then at a later time, KCSC-KCDJA as an early adopter court, to conduct system testing. The INH EDE will then be available for other courts that already have existing local systems. Some functionality of the EDE will be available in the AOC production environment for KCDC to begin working with, no later than Winter 2016; with planned go-live no later than Spring 2017. The KCSC-KCDJA is currently planning to go-live in January 2018 and then the INH EDE will be generally available to other courts in September 2018.

## **2. PROJECT OBJECTIVES**

Quality assurance (QA) consulting services will include multiple assessments of the overall project health and project management factors that are important to project success. The quality assurance reports must include scope, schedule, budget, resources, milestones, risks and other applicable reviews per Vendor methodology. As part of this effort, Vendor shall provide an initial baseline quality assurance report followed by additional reports for the duration of the project at a frequency determined by the INH EDE Project Steering Committee based on the status and risks of the project. The INH EDE Project Steering Committee will schedule all meetings at least 4 weeks in advance, if required.

The audience for this report is the INH EDE Project Steering Committee and other stakeholders as determined by the Committee. The INH EDE Project Steering Committee includes representatives from AOC, KCDC, KCSC and KCDJA. Vendor will report directly to the Project Steering Committee co-chairs. The quality assurance reports are based upon how well the project management team performed in reference to the baseline assessment (see Section 3.2, Task 2.1) regarding matters that may impact the planned project outcome.

To support the QA consulting efforts, Vendor will attend occasional ad hoc meetings with the INH EDE Project Steering Committee, JISC, and/or other governing bodies or entities in attendance. Vendor may be required to participate in other project activities as identified by the INH EDE Project Steering Committee.

As relevant to the Pilot Court, the QA Vendor can assume that the INH EDE Project will provide the following during the term of the contract:

1. Project management artifacts including project plans, proposed procurements by AOC, budgets and status reports from which to develop quality assessments;
2. Access to draft and final vendor deliverable documentation, where applicable;
3. Access to the INH EDE project team members, steering committee members and other stakeholders, as identified by the INH EDE Project Steering Committee, to respond to questions and address issues;
4. Access to AOC financial reporting related to INH EDE as reported to the JISC no more frequently than monthly; and

5. Access to the AOC project management methodology to enable for QA review of the alignment of the INH EDE Project Plan and deliverables to the methodology.

Vendor will focus on INH EDE Project Management Team effectiveness (90 – 95% of QA Vendor reporting) in moving the project forward as planned as related to scope, schedule, budget and risk management. Vendor will also perform a quantitative review of vendor performance for Vendor(s) contracted by AOC to provide specific software solutions and (5 – 10% of QA Vendor reporting) as it relates to meeting deliverable timelines, for deliverable based engagements.

1. Quality Assurance services will include assessment of AOC’s INH EDE Project Management Team in the following areas:

- a) Project Management performance effectiveness, including:
  - i) Planning and control
  - ii) Scope management.
  - iii) Schedule management.
  - iv) Cost management and budget projections.
  - v) Quality management.
  - vi) Risk and issue management.
  - vii) Vendor management.
  - viii) Resource management.
  - ix) Communications.
  - x) Status reporting.
- b) Quantitative review of deliverables produced by vendors contracted by AOC
  - i) Contract scope of work, acceptance criteria and deliverables.
  - ii) The INH EDE project’s management of Vendor performance per contractual obligations, such as:
    - a) Completion of deliverables per contract scope.
    - b) Completion of deliverables per contract schedule/timelines.
    - c) Completion of deliverables per contract price.
    - d) INH EDE project acceptance of vendor deliverables.
  - iii) If necessary, meet with the project managers or account managers of Vendor(s) contracted by AOC related to their obligations of meeting the deliverables specified in their contracts with AOC.
- c) Stakeholder/customer involvement and effectiveness
  - i) Verification that lines of reporting and responsibility provide adequate and effective technical and managerial oversight.
  - ii) Verification of routine and effective project communication with the Steering Committee and other key stakeholders.

- iii) Evaluation of the project decision-making, governance and oversight processes.
  - iv) Evaluation.
  - v) Project organization and governance.
2. Consultant approach consists of two phases designed to formally initiate project activity and provide the required QA services in the following phased approach:
- a.) QA Project Initiation Phase.
  - b.) QA Assessments Phase.

The significance of each phase is discussed below, and specific tasks, deliverables, and outcomes are outlined. Primary deliverables will be presented in draft form to the INH EDE Project Steering Committee, followed by a formal facilitated review session, if needed, conducted by Vendor, in order to solicit feedback and buy-in prior to the delivery of a final report.

### **3. SCOPE OF WORK**

#### **3.1. QA Project Initiation Phase**

Vendor shall initiate this phase by meeting with the INH EDR project staff and INH EDE Project Steering Committee members to review and refine QA project goals and objectives and, if needed, strengthen or adjust Vendor's approach to meeting the specific needs of this engagement. In this phase, Vendor will work with the INH EDE project staff to finalize the key project components for review during the QA assessments.

Vendor shall conduct a kick-off meeting with INH EDE Project Steering Committee and project staff. At this kick off meeting, Vendor will review its Quality Assurance methodology and approach as it relates specifically to the work described above. Vendor shall also provide an outline for the baseline report and subsequent periodic QA assessment report at the kick-off meeting.

Vendor will develop a detailed QA work plan depicting the QA deliverables, milestones and tasks to be completed for the project. The work plan will mirror the overall INH EDE Project work plan and schedule and will be reviewed and approved by the INH EDE Project Steering Committee.

This phase also includes the review of the INH EDE Project Steering Committee Charter which was created to clarify project roles and responsibilities, reporting relationships, and project tool usage and expectations. Specific tasks to be performed in this phase are as follows:

- a.) Task 1.1 – Conduct project kickoff meeting. The meeting must include an overview of QA Vendor's methodology and initial engagement plan and be

attended by, at a minimum, both the project manager and technical lead proposed in the QA Vendor's proposal to ACQ-2015-1218-RFQQ.

- b.) Task 1.2 – Develop QA work plan, as submitted with the QA Vendor's proposal, and associated QA Vendor resource loaded schedule for approval by the INH EDE Project Steering Committee. AOC expects Vendor to begin development of this deliverable using the draft Work Plan submitted as part of Vendor's proposal associated with ACQ-2015-1218-RFQQ.
- c.) Task 1.3 – Review INH EDE Project Steering Committee Charter and recommend corrections and/or additions to the INH EDE Project Steering Committee Charter to establish more effective governance.

### **3.1.1. Deliverables**

- a.) Task 1.1. – Conduct project kick off meeting within ten (10) business days of contract execution.
- b.) Task 1.2 – Vendor shall deliver a *DRAFT* QA Work Plan within fifteen (15) business days following the completion of the project kickoff meeting. AOC and the INH EDE Project Steering Committee will have ten (10) business days to review and provide feedback regarding the *DRAFT* QA Work Plan. Vendor shall make any edits, corrections, etc. without delay. Vendor shall deliver *FINAL* QA Work Plan to AOC and the INH EDE Project Steering Committee within five (5) business days following notification of requirements for edits or acceptance by the project sponsors.

### **3.2. QA Assessments Phase**

The Quality Assurance Assessments Phase will begin the work necessary to conduct a complete review and assessment of all project elements, or those selected by the INH EDE Project Steering Committee, outlined in Vendor's quality assurance /risk assessment methodology. Specific tasks in this phase include:

- 1) Task 2.1 – Conduct baseline review and issue baseline quality assessment (QA) report based on the following items.
  - a.) INH EDE Project Work Plan.
  - b.) INH EDE Project Risk and Issue Management Plans including Project Financials as reported to the JISC.
  - c.) INH EDE Project Communications Plan.
  - d.) Meet with INH EDE Project Steering Committee to identify risks, issues and concerns regarding the INH EDE Project
  - e.) Submit baseline assessment

- f.) If needed, present findings and recommendations regarding project structure and activities to ensure overall success with the INH EDE Project Steering Committee.
- 2) Tasks 2.2 through 2.9 – Conduct project health monitoring (scope, schedule, budget, resources, risks and other items, as applicable) and issue a QA report.
  - a.) Review project artifacts, to include as applicable:
    - i.) Requirements and design
    - ii.) Detailed implementation plan
    - iii.) Staffing plan including core project team, consultants and other assigned resources
    - iv.) Testing adherence and progress to plan
    - v.) Vendor performance (as applicable)
    - vi.) Architecture plan
    - vii.) Data analysis and data conversion plans
    - viii.) Scope, schedule, budget, resources, risks and issues.
  - b.) Meet with appropriate INH EDR Project staff and INH EDE Project Steering Committee, and, as necessary, meet with other stakeholders, and AOC-contracted Vendor project manager(s) related to their obligations of meeting the deliverables.
  - c.) Submit QA report.
  - d.) Present findings and recommendations to the INH EDE Project Steering Committee.
  - e.) Present findings and recommendations to the JISC, as required.
- 3) Task 2.10 – Conduct post-implementation review and issue post implementation QA report.
  - a.) Submit final QA report.

**3.2.1. Deliverables - Tasks 2.1 through 2.10**

- 1) Task 2.1 - Baseline Assessment Deliverable: March 2016
- 2) Task 2.2 - QA Report Deliverable: as determined by the Steering Committee
- 3) Task 2.3 - QA Report Deliverable: as determined by the Steering Committee
- 4) Task 2.4 - QA Report Deliverable: as determined by the Steering Committee
- 5) Task 2.5 - QA Report Deliverable: as determined by the Steering Committee
- 6) Task 2.6 - QA Report Deliverable: as determined by the Steering Committee
- 7) Task 2.7 - QA Report Deliverable: as determined by the Steering Committee
- 8) Task 2.8 - QA Report Deliverable: as determined by the Steering Committee
- 9) Task 2.9 - QA Report Deliverable: as determined by the Steering Committee

10) Task 2.10 - Post Implementation QA Report Deliverable: June 2017

#### 4. QUALITY ASSURANCE ASSESSMENT PHASE - TASK DESCRIPTION

The initial project baseline assessment report in Task 2.1 shall be comprehensive and establish the baseline assessment from which all subsequent QA reports will be measured. The consultant shall create a document that assesses the initial project quality baseline and provides an independent assessment of project planning and controls, risk management plan, project management team performance/effectiveness, scope, schedule, budget, resources, risks, and viability of the plan to achieve desired results. Vendor shall cover all of the major project milestones and deliverables in the following areas:

- Detailed project management plan.
- Staffing plan, including core project team, Vendor, and other assigned resources.
- Testing plans.
- Vendor deliverable timeline, if applicable, for use to measure whether contracted Vendor(s) are meeting scheduled due dates and if the deliverables are accepted by the project.

In addition, Vendor will focus on the other dimensions of successful project completion – all of the management and framework needs of a project of this nature, and according to Vendor methodology.

The deliverables for Task 2.1 are the QA project work plan and baseline assessment.

Tasks 2.2 through 2.9 encompass the QA project health (scope, schedule, budget, resources, risks and other as applicable) monitoring activities related to the pilot and early adopter jurisdictions' implementation of the INH EDE Project with King County. These activities focus on identifying any changes to the project health since the last review – especially those involving the required elements as well as scope, schedule, budget, resources and risks. If corrections to scope, schedule and/or budget are required, Vendor shall assess the rationale behind the adjustments and determine if the INH EDE Project has taken the correct steps to address project risks and issues that arose. Vendor shall carry out the project reviews by interviewing key project staff, the INH EDE Project Steering Committee, and other stakeholders as required to achieve measurement of project quality assurance. QA Vendor project manager shall provide to the INH EDE Project Steering Committee weekly QA status reports via e-mail every Monday during each assessment period, starting when the first meeting is held with project staff and ending when the QA report is submitted, identifying the tasks completed in the past week, activities to be conducted in the following week, and any project and QA assessment risks or issues for immediate attention. The QA reports shall be sent via e-mail on the first Monday of the month in which the report is due. Vendor will evaluate the scope, schedule and budget against the baseline assessment and the previous reports and document findings. The findings will include identified risks to the project success

and Vendor's recommended mitigating actions to minimize the risk impact and lead to successful project completion. The deliverables for Tasks 2.2 through 2.9 are the subsequent periodic non-prescheduled QA reports, which will be requested during the term of Contract PSC/[XXXXX] as determined by the INH EDE Project Steering Committee based on the status and risks to the project. For each submitted report, attend required meetings with the INH EDE Project Steering Committee, JISC, and other governing bodies, as required. At a minimum, provide two (2) presentations per QA report period, as defined by the INH EDE Project Steering Committee, during the projected time frame for the INH EDE project.

Task 2.10 shall measure the quality of the INH EDE project against original project goals, objectives, and requirements as a means of assessing the INH EDE project success. Additional activities required for task include evaluating adherence to project scope, schedule, and budget and capturing lessons learned. Vendor shall document the overall assessment of the entire project, utilizing each of the QA assessment reports, the recommendations indicated from each, a summary of all changes from the original project, and measures of how the project tracked according to the final plan. A post implementation QA report shall be delivered to the INH EDE Project Steering Committee for review and final approval no later than sixty (60) calendar days after the EDE project completion. It is anticipated that this report will be due no later than June 2017.

## **5. REPORT ACCEPTANCE CRITERIA**

All QA Assessment reports are comprehensive and build on the initial project baseline assessment report. The reports shall include the following:

- 1.) Full written document provided in Microsoft Office, Adobe PDF, or another common format, outlining, in detail, assessment findings following each assessment.
- 2.) The assessment will include findings related to risks for successful project completion and associated recommendations to address risks.
- 3.) High-level PowerPoint presentation slide deck outlining assessment findings following each assessment. The content of this presentation will be based on the information from the most recent quality assurance report.
- 4.) Status reports delivered via e-mail during each assessment period.

### Task 2.1 – Baseline QA Report

Three (3) working days in advance of delivering the baseline assessment report, Vendor shall provide a draft report to the INH EDE Project Steering Committee for review and feedback. The INH EDE Project Steering Committee will provide a response within three (3) working days. No later than two (2) working days after receiving the feedback from the INH EDE Project Steering Committee, Vendor shall deliver the baseline assessment report to the INH EDE Project Steering Committee.

Task 2.2 through 2.9 - QA Reports

After the initial assessment, the INH EDE Project Steering Committee will provide notification to the AOC project management team and Vendor two weeks prior to the start of each assessment. This will include coordinating resources (people, documents, site space, etc.) Vendor needs to complete the assessment as well as the start date and duration of the assessment.

Three (3) working days in advance of delivering the QA reports, Vendor shall provide a draft report to the INH EDE Project Steering Committee for review and feedback. The INH EDE project Steering Committee will provide feedback within three (3) working days. No later than two (2) working days after receiving the feedback from the INH EDE Project Steering Committee, Vendor shall deliver the final QA report to the INH EDE Project Steering Committee.

Task 2.10 - Final QA Assessment Report

Five (5) working days in advance of delivering the final QA report, Vendor shall provide a *draft* of the final quality assurance report to the INH EDE Project Steering Committee for review and feedback. The INH EDE Project Steering Committee will provide feedback with a five (5) working days turnaround. No later than three (3) working days after receiving the feedback from the INH EDE Project Steering Committee, Vendor shall deliver the final QA assessment report to the INH EDE Project Steering Committee

All on-site meetings with INH EDE Project Steering Committee and/or project staff will be scheduled based on facility availability.

**6. TIMELINE AND PERIOD OF PERFORMANCE**

The Period of Performance for this project will begin immediately upon Contract execution which shall start on the Effective Date of the Contract. Work tasks are estimated to continue through June 30, 2017. AOC has the right to extend or terminate this SOW as permitted in the Contract PSC[XXXXX].

Changes to the SOW shall be mutually agreed upon and incorporated into the contract under an amendment mutually signed by both parties.

**7. COMPENSATION AND PAYMENT**

AOC shall pay Vendor an amount not to exceed [*amount to be completed after contract negotiation*] dollars (*\$XX,XXX.XX*) for the performance of all activities necessary for or incidental to the performance of work as set forth in this SOW. Vendor's compensation for Services rendered shall be based on Prices as set forth in the **Appendix A** of Contract PSC[XXXXX].

AOC shall not reimburse Contractor for any travel and other expenses incurred in performing work under this SOW, except as provided in the Contract PSC[XXXXX].

**8. VENDOR STAFF, ROLES AND RESPONSIBILITIES**

**8.1. Vendor Key Project Staff**

Vendor project team staff will hold the following key staff positions including roles and responsibilities as provided below:

<b>Vendor Key Staff Name</b>	<b>Title</b>
<i>[TBD as proposed by Vendor]</i>	Project Manager
<i>[TBD as proposed by Vendor]</i>	Technical Lead

**8.2. Vendor Personnel**

Vendor may not change or replace any of the staff assigned to this Contract without prior approval of AOC, which approval will not be unreasonably withheld. Vendor is not responsible for delays or repeated tasks caused by factors outside its control. These factors include, but are not limited to, availability of AOC personnel, equipment, and telecommunication provider services.

For work to be performed for AOC, AOC reserves the right to reject any of Vendor employees. Any and all costs or expenses associated with replacement of any person or entity shall be borne by Vendor.

Vendor will provide the applicable and necessary labor, consultation, materials, project management and/or tools to perform the Services and provide the Deliverables described herein.

Vendor will be required to provide all computer equipment and software necessary for any Vendor project staff requiring an assigned workstation for work to be performed onsite at AOC Headquarters in Olympia, WA.

Vendor shall be responsible to ensure that all its employees are properly trained, certified, or licensed as appropriate and are properly qualified by education and experience to perform the work. Vendor shall avoid overstaffing the work or shuffling personnel assigned to said work.

During all work effort required to be performed under this SOW, Vendor is responsible to monitor all required certifications for assigned employees, and to maintain proof of certification renewals during any term of the SOW.

Vendor will conduct work in the most appropriate location based on the required work activities and planned meeting locations.

Vendor will participate in presentations for AOC executive management and the steering committees, as required.

Vendor will provide the applicable and necessary labor, consultation, materials, project management and/or tools to perform the Services and provide the Deliverables described herein.

**8.3. Vendor Project Management Responsibilities**

Vendor will assign a Project Manager to provide project management oversight of Vendor project team responsibilities defined in this SOW. The purpose of this activity is to provide technical direction and control of Vendor project personnel and to provide a mutual framework for project planning, monitoring and control, communications, and contractual activity.

**9. ADDITIONAL TERMS AND CONDITIONS SPECIFIC TO SOW**

Vendor will work collaboratively with all necessary project leadership, project staff and project partners assigned to this project. Work products produced by Vendor for AOC will become the property of AOC. Vendor must be able to work collaboratively with AOC, project partners and other Vendors to gain understanding of project activities, schedules, issues, etc..