MANAGEMENT CONSULTING

FOR

STATE AND LOCAL GOVERNMENTS

QUALITY ASSURANCE (QA)

PROJECT OVERSIGHT

INDEPENDENT VERIFICATION AND VALIDATION (IV&V)

PROJECT MANAGEMENT

RISK REDUCTION

TECHNOLOGY ALIGNMENT

Quality Assurance Assessment

for the

State of Washington

Administrative Office of the Courts (AOC)

SC-CMS Project

May 31, 2012

Prepared by

Bluecrane, Inc.

bluecrane ®

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Part 1: Summary of May 2012 Report

This report provides the May 2012 quality assurance (QA) assessment by Bluecrane, Inc. ("*bluecrane*") for the State of Washington Administrative Office of the Courts (AOC) Superior Court – Case Management System (SC-CMS) Project.

During May, the project continued to focus on the preparation of the RFP as the main priority for resources currently available to the project. With RFP release planned for late June, the focus was entirely appropriate.

During the course of the month, *bluecrane* provided support to the project in three key areas:

- Our consultants actively participated in reviewing the RFP documents, along with the project team members, sponsors, and RFP Steering Committee. We provided a substantial number of comments through the formal comment process. We also provided input and recommendations in numerous meetings that focused on various aspects of the RFP.

- At the request of the RFP Steering Committee, we developed an ad hoc risk assessment on the imminent departure of AOC Administrator Jeff Hall. Our assessment is incorporated here as an attachment to this report.

- On May 29, we provide Sponsor Training for the SC-CMS Co-Executive Sponsors, the Co-Sponsors, and the Project Manager. The training covered three broad topics, namely:

    - The context of project sponsorship;

    - The roles and responsibilities of project sponsorship; and

    - An overview of project management principles and approaches.

With project resources fully engaged in finalizing the RFP for release and the busy schedule of non-typical activities in May, we are not adding to the list of risks for the project at this juncture. With the current (appropriate) pre-occupation with the RFP, any new non-RFP related risks have the added risk of getting "lost in the noise." We will resume the identification and assessment of new risks with the June month-end report.

In the meantime, we are pleased to report that AOC has made significant progress in addressing the most urgent risks that were identified and outstanding at the end of April. The table that begins on page 3 summarizes our May 31 QA assessment.

As always, we recognize that simultaneously addressing all risk areas identified at any given time is a daunting task – and not advisable. Therefore, we prioritize risk items in our monthly reports as:

1. Very Urgent Consideration
2. Urgent Consideration
3. Serious Consideration

Given the current phase of the SC-CMS Project, these priorities translate to:

1. Very Urgent Consideration – Potential Impact to the RFP Release
2. Urgent Consideration – Potential Impact to the Procurement
3. Serious Consideration – Potential Impact to the Successful Management of the Project

Urgency/ Priority	Category	Track	Area of Assessment	Risk/Concern	Initial Assessed Status (April 10)	April 30 Assessed Status	May 31 Assessed Status
Very Urgent	Management	Schedule	Request for Proposal (RFP) Review	Inadequate Time Allotted in Schedule	Risk	Risk Being Addressed	Risk Being Addressed
	People	Resources	Procurement	Acquisition Vendor Expertise Likely to Be Needed After Issuance of RFP	Risk	Risk Being Addressed	Risk Closed
Urgent	Management	RFP Development	Evaluation Criteria	Non-Scored References May Create Vulnerability to Vendor Protests	Risk	Risk Being Addressed	Risk Closed
	Management	Project Management	Procurement Management	Multiple Managers Responsible for Procurement Activities	Risk	Risk Being Addressed	Risk Being Addressed
	Management	Project Management	Project Manager Responsibilities	PM Overburdened with Administrative Tasks	Risk	Risk Being Addressed	Risk Closed

Urgency/ Priority	Category	Track	Area of Assessment	Risk/Concern	Initial Assessed Status (April 10)	April 30 Assessed Status	May 31 Assessed Status
Serious	Management	Project Structure	Positioning of SC-CMS Project Manager Role in AOC	SC-CMS Project Manager Role Too Deeply "Buried" in the AOC Organization and Not Broad Enough to Encompass Business Stakeholders	**Risk**	**Risk Being Addressed**	**Risk Closed**
	Management	Project Management	Project Management Plans	Majority of Project Management Plans Not Developed and Published	**Risk**	**Risk**	**Risk**
	Management	Project Management	Project Management Processes	Project Processes Not Being Fully Utilized by the Project	**Risk**	**Risk**	**Risk**
	Management	Project Management	System Development Lifecycle (SDLC) Plans	No SDLC Plans Have Been Published	**Risk**	**Risk**	**Risk**
	Management	Project Management	System Development Lifecycle (SDLC) Management Processes	SDLC Processes Appropriate for Current Phase of Project Not Being Fully Utilized	**Risk**	**Risk**	**Risk**

Urgency/ Priority	Category	Track	Area of Assessment	Risk/Concern	Initial Assessed Status (April 10)	April 30 Assessed Status	May 31 Assessed Status
	Application	Interfaces	Dependencies Related to Information Networking Hub (INH) and Commercial-Off-the-Shelf Preparation (COTS Prep) Projects	Need to Address Risks that These Projects May Not be Completed in the Timeframe Required for Implementing SC-CMS	**Risk**	**Risk**	**Risk**

Our summary discussion below of the noteworthy risks is presented by the three priority categories.

Very Urgent Considerations – Potential Impacts to the RFP Release

- **RFP Review** (Management Category, Schedule Track)
    - **Summary:** In our initial assessment of April 10, we noted that the time allotted for RFP Steering Committee and AOC internal stakeholders to make comments and have them incorporated into the RFP document was very aggressive. There were risks to the quality of the RFP document and of undesirable consequences in subsequent phases of the project.

      During May 2012 the SC-CMS project successfully tracked to the schedule that was revised at the end of April 2012. The revised schedule provides more realistic timeframes for sequential reviews by key participants and stakeholders. Although the new schedule is somewhat aggressive, we believe with continued vigilance by the SC-CMS project manager and AOC management, the new schedule is achievable.
    - **Assessed Status:** Risk Being Addressed

      The revised schedule has reduced the risks to the quality of the RFP document and of undesirable consequences in subsequent phases of the project.
    - **Recommendation:** Continue to monitor progress against the revised schedule. Address any missed deadlines (MTG or AOC-internal) immediately.
- **Procurement** (People Category, Resources Track)
    - **Summary:** In our initial assessment of April 10, we noted that the Acquisition Vendor will likely be the best resource for answering many of the questions or problems that will inevitably arise during the remainder of the procurement. We also noted that needs may arise to develop addendums to the RFP and that questions may be raised concerning the content of the RFP during evaluation.

      In May 2012, the Acquisition Vendor contract with MTG was extended through the end of the procurement phase.
    - **Assessed Status:** **Risk Closed**
    - **Recommendation:** No further action required.

Urgent Considerations – Potential Impacts to the Procurement

- **Evaluation Criteria** (Management Category, RFP Development Track)
  - **Summary:** In our initial assessment of April 10, we noted that the subjectivity of the non-scored, qualitative vendor reference evaluations might create an unacceptable level of vulnerability to protests from non-Apparently Successful Vendors (non-ASVs). Such protests have been known to "tie-up" procurements for many months.

    In April 2012, AOC completely revised the SC-CMS procurement evaluation scoring criteria to include scored references as part of a multi-tiered evaluation process. The RFP Steering Committee adopted the scoring model in May 2012. Because of successful mitigation, this observation has been closed.
  - **Assessed Status:** **Risk Closed**
  - **Recommendations:** No further action required.
- **Procurement Management** (Management Category, Project Management Track)
  - **Summary:** In our initial assessment of April 10, we noted that there were multiple managers responsible for procurement activities. At that time, both the Vendor Relations Coordinator and the Project Manager were responsible for procurement activities.

    As part of the re-positioning of the Project Manger role and broadening of Project Manager responsibilities, the Project Manager has shifted responsibility for the procurement to the Vendor Relations Coordinator and Acquisition Vendor as resources to the project. This has freed the Project Manager to begin to coordinate other project activities including project planning and vendor readiness. As an example, during May 2012, the Project Manager worked with the organizational change management (OCM) coordinator to conduct a kick-off meeting for OCM activities including the development of the project Communications Plan.
  - **Assessed Status:** Risk Being Addressed

    When the Project Manager takes on project work in one area of the project, this can result in a lack of focus in other areas of the project. When roles and responsibilities are not well-defined or there is overlap in responsibilities, there can be miscommunication, multiple people working separately on the same task, or tasks that are not performed because each person thought the other person was responsible for the task.

- **Recommendation:** The Project Manager and AOC management should continue to ensure that these roles remain separate.

- **Project Manager Responsibilities** (Management Category, Project Management Track)

  - **Summary:** In our initial assessment of April 10, we noted that the Project Manager was performing project tasks including maintaining the project schedule, writing project plans, preparing agendas, taking minutes, and scheduling meetings. As we stated at the time, the Project Manager should manage the project and ensure that tasks are being completed according to plan, schedule, and budget but should not perform project tasks.

    During May 2012, the Project Manager continued to delegate to other project team members various sets of project activities including procurement tasks, meeting administration, project scheduling, and organizational change management. The Project Manager is continuing to add resources to the project, and it is anticipated that over the next several months, additional project work will be transferred from the Project Manager to the project team.

  - **Assessed Status:** **Risk Closed**

    When the Project Manager takes on project work in one area of the project, this can result in a lack of focus in other areas of the project.

  - **Recommendations:** This risk has been closed. However, this is an area that should continue to be monitored as the PM-related workload changes during the various phases of SC-CMS. It is incumbent on the Project Manager to raise issues and concerns with project sponsors if resources become constrained as project complexity increases.

Serious Considerations – Potential Impacts to the Successful Management of the Project

- **Positioning of Project Manager Role in AOC** (Management Category, Project Structure Track)

  - **Summary:** In our initial assessment of April 10, we noted that the SC-CMS Project Manager role was too deeply “buried” in the AOC organization and was not broad enough to encompass business stakeholders. The Project Manager role did not have sufficient authority over the areas in the organization that will participate in the implementation of SC-CMS including procurement, business process improvement, infrastructure readiness, and software development. The

significance and complexity of the SC-CMS project requires a strong leader with experience in leading projects of similar size and complexity.

In April 2012, AOC re-positioned the SC-CMS Project Manager role to report directly to co-sponsors (the Information Services Division [ISD] Director and Judicial Services Division [JSD] Director) and indirectly to the executive sponsors (AOC Administrator and Judicial Information Systems Committee [JISC] Chairperson). While the SC-CMS Project is at its very core a largely IT effort, AOC has re-positioned the project as an "AOC transformational project" that will have far-reaching impacts for almost all aspects of the organization's business. Because of successful mitigation, this observation has been closed.

- **Assessed Status:** **Risk Closed**

  The Project Manager role did not have sufficient authority over the areas in the organization that will participate in the implementation of SC-CMS including procurement, business process improvement, infrastructure readiness, and software development. The significance and complexity of the SC-CMS project requires a strong leader with experience in leading projects of similar size and complexity.

- **Recommendations:** The immediate need to re-position the Project Manager role within AOC has been addressed. The risk has been closed.

- **Project Management Plans** (Management Category, Project Management Track)

  - **Summary:** Although some project management plans have been developed or are under development, the majority of project management plans have not been developed or published. The following project management plans have been established:

    - Project Charter
    - Acquisition Plan

    In May, the project continued to focus on the preparation of the RFP as the main priority for current resources available to the project. There was continued work on the Staffing Plan and a draft Communication Plan was developed and sent out for review.

  - **Assessed Status:** Risk

    Project management plans identify the methods with which the project will be managed. The project management plans provide guidance to the project team on how to conduct project activities.

The process of developing project management plans tends to foment agreement on how the project will be managed, which project activities will be performed and how those activities will be performed. The absence of project management plans (and the process of developing them) creates a risk that project management processes will be performed inconsistently or not at all.

- **Recommendation:** Publish a set of project management plans preferably by modifying a standard set of plans provided by the AOC Project Management Office (PMO). The following additional project management plans should be published:
  - Master Project Management Plan
  - Schedule Management Plan
  - Governance Management Plan
  - Risk Management Plan
  - Issue Management Plan
  - Change Management Plan
  - Cost Management Plan

- **Project Management Processes** (Management Category, Project Management Track)

  - **Summary:** Although some project management processes are being used (including periodic project meetings, project schedule updates, and risk identification), project processes are not being fully utilized by the project. When industry best practices are ***adapted to the specific context of SC-CMS***, they become practical tools and offer pragmatic approaches to reducing risk.

    The project continues to focus on the preparation of the RFP as the main priority for current resources available to the project. A scheduling resource has been assigned to the project and has assumed responsibility for maintaining the project schedule. However, primary project processes such as risk, issue, communication and change management are not being formally managed.

  - **Assessed Status:** Risk

    Utilization of project management processes reduces the risk of project delays, budget overruns, miscommunication, and lack of stakeholder support.

  - **Recommendation:** In conjunction with development and publication of project management plans, increase utilization of project management processes.

- **System Development Lifecycle (SDLC) Plans** (Management Category, Project Management Track)

- **Summary:** Although many of the SDLC plans will be provided by the SC-CMS primary vendor, some SDLC plans should be published prior to the vendor coming on-board. Currently, no SDLC plans for the project have been published. SDLC plans identify the methods with which the system will be implemented. The SDLC plans provide guidance to the project team on how to conduct implementation activities.

  The project continues to focus on the preparation of the RFP as the main priority for current resources available to the project. A resource has been assigned to coordinate organizational change management (OCM) activities for the project. An OCM kickoff meeting was conducted in May 2012. The OCM coordinator is developing the Communications Plan. However, primary SDLC plans such as a Systems Architecture Plan and a Requirements Management Plan have yet to be developed and utilized.

- **Assessed Status:** Risk

  Without a documented set of SDLC plans, SDLC processes may be performed inconsistently or not at all. In more practical terms, agreement is lacking on how the implementation will be managed, which implementation activities will be performed, and how those activities will be performed – and this increases risks for the project.

- **Recommendation:** Publish SDLC plans appropriate for each phase of the project, preferably by modifying a standard set of plans provided by the AOC PMO. As an example, the Organizational Change Management Plan should be developed and implemented in this phase of the project. (Additional suggestions are provided in our detailed QA Dashboard in Part 3 of this report.)

- **System Development Lifecycle (SDLC) Management Processes** (Management Category, Project Management Track)

  - **Summary:** SDLC processes appropriate for this phase of the project are not being fully utilized by the project.

  - **Assessed Status:** Risk

    Utilization of SDLC processes reduces the risk of the implemented system not meeting business needs.

  - **Recommendation:** In conjunction with development and publication of SDLC plans, increase utilization of SDLC processes in order to reduce the risk of the implemented system not meeting business needs.

- **Dependencies Related to Information Networking Hub (INH) and Commercial-Off-the-Shelf Preparation (COTS Prep)** (Application Category, Interfaces Track)

  - **Summary:** In our initial assessment of April 10, we noted that because of the uncertainty in estimating the work required to complete the Information Networking Hub (INH) and Commercial-Off-the-Shelf Preparation (COTS Prep) projects, there is risk that these projects may not be completed in the timeframe required for implementing the SC-CMS project.

    A detailed schedule for the INH project is under development. This risk will be re-assessed when the schedule is published.

  - **Assessed Status:** Risk

    Without a "workaround", the SC-CMS implementation will be delayed if the INH and COTS Prep projects are not completed on time.

  - **Recommendation:** Detailed project schedules for both the INH and COTS Prep projects should be developed, maintained, and tracked. Major milestone dependencies should be linked to the SC-CMS project schedule. A contingency plan has been identified that will be implemented if the INH project is not available when SC-CMS is implemented. A similar contingency plan should be developed for the COTS Prep project which may require assigning priorities for re-scoping or de-scoping the project, should such actions become necessary.

Part 2: Review of *bluecrane* Approach

We began our Quality Assurance engagement for the AOC SC-CMS Project by developing an understanding of the project at a macro level. We started by analyzing "Categories" of project activities and risks. Our approach and tools are flexible enough to permit us to define any Categories that we find appropriate. However, experience has shown that the following five Categories are typically comprehensive in understanding what a project is all about and what risks the project will face:

- ***Management***
- ***People***
- ***Application***
- ***Data***
- ***Infrastructure Technology***

It is not our practice to duplicate Project Management activities by following and analyzing each task and each deliverable that our clients are tracking in their project management software (such as Microsoft Project). Rather, we identify those groups of tasks and deliverables that are key "signposts" in the project. While there are numerous tasks that may slip a few days or even weeks, get rescheduled, and not have a major impact on the project, there are always a number of significant "task groups" and deliverables which should be tracked over time because any risk to those items – in terms of schedule, scope, or cost – have a potentially significant impact on project success.

We de-compose the five categories listed above into the next lower level of our assessment taxonomy. We refer to this next lower level as the "track" level. We further breakdown tracks into "areas of assessment."

For each area of assessment within a track and category, we document in our QA Dashboard our observations, any issues and/or risks that we have assessed, and our recommendations. We provide the full QA Dashboard in Part 3 of our monthly report, and we summarize the Dashboard in Part 1 of our monthly report for review with client executives and project management.

Assessed status is rated at a macro-level using the scale shown in the table on the following page.

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 Identified Risk	**No Risk:** "All Systems Go" for this item
Not Started	**Not Started:** this particular item has not started yet or is not yet assessed
Completed or Not Applicable	**Completed/Not Applicable:** this particular item has been completed or has been deemed "not applicable" but remains a part of the assessment for traceability purposes

Rating risks at the macro-level using the scale 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 analysis described here provides AOC SC-CMS management with a framework for evaluating project risks – in terms of business objectives and traditional project management tasks.

Part 3: Full Report from *bluecrane* Dashboard

bluecrane Quality Assurance Dashboard for the Washington AOC SC-CMS Project	
Category Summary	
Category	**Highest Level of Assessed Risk**
Management	**Risk**
People	**No Identified Risk**
Application	**Risk**
Data	Not assessed to-date
Infrastructure Technology	Not assessed to-date

Category: MANAGEMENT						
Ref. No.	**Management Track**	**Area of Assessment**	**Assessed Status**	**Observation**	**Risks/Potential Impacts**	**Recommendations**
M0001	**Schedule**	RFP Review	Risk Being Addressed	**Status Update – 5/12** During May 2012 the SC-CMS project successfully tracked to the schedule that was revised at the end of April 2012. The revised schedule provides more realistic timeframes for sequential reviews by key participants and stakeholders. Although the new schedule is somewhat aggressive, we believe with continued vigilance by the SC-CMS project manager and AOC management, the new schedule is achievable. **Initial Assessment – 4/12** In our initial assessment of April 10, we noted that the time allotted for RFP Steering Committee and AOC internal stakeholders to make comments and have them incorporated into the RFP document was very aggressive.	The revised schedule has reduced the risks to the quality of the RFP document and of undesirable consequences in subsequent phases of the project.	Continue to monitor progress against the revised schedule. Address any missed deadlines (MTG or AOC-internal) immediately.

Category: MANAGEMENT

Ref. No.	Management Track	Area of Assessment	Assessed Status	Observation	Risks/Potential Impacts	Recommendations
M0002	**Project Structure**	Positioning of PM Role in AOC	Risk Closed	**Status Update – 5/12** In April 2012, AOC re-positioned the SC-CMS Project Manager role to report directly to co-sponsors (the Information Services Division [ISD] Director and Judicial Services Division [JSD] Director) and indirectly to the executive sponsors (AOC Administrator and Judicial Information Systems Committee [JISC] Chairperson). While the SC-CMS Project is at its very core a largely IT effort, AOC has re-positioned the project as an "AOC transformational project" that will have far-reaching impacts for almost all aspects of the organization's business. Because of successful mitigation, this observation has been closed. **Initial Assessment – 4/12** In our initial assessment of April 10, we noted that the SC-CMS Project Manager role was too deeply "buried" in the AOC organization and was not broad enough to encompass business stakeholders.	The Project Manager role did not have sufficient authority over the areas in the organization that will participate in the implementation of SC-CMS including procurement, business process improvement, infrastructure readiness, and software development. The significance and complexity of the SC-CMS project requires a strong leader with experience in leading projects of similar size and complexity.	The immediate need to re-position the Project Manager role within AOC has been successfully mitigated. This risk has been closed.

Category: MANAGEMENT						
Ref. No.	**Management Track**	**Area of Assessment**	**Assessed Status**	**Observation**	**Risks/Potential Impacts**	**Recommendations**
M0003	**RFP Development**	Evaluation Criteria	Risk Closed	**Status Update – 5/12** In April 2012, AOC completely revised the SC-CMS procurement evaluation scoring criteria to include scored references as part of a multi-tiered evaluation process. The RFP Steering Committee adopted the scoring model in May 2012. Because of successful mitigation, this observation has been closed. **Initial Assessment – 4/12** In our initial assessment of April 10, we noted that the subjectivity of the non-scored, qualitative vendor reference evaluations might create an unacceptable level of vulnerability to protests from non-Apparently Successful Vendors (non-ASVs).	Protests have been known to "tie-up" procurements for many months.	The immediate need to revise the scoring criteria has been successfully mitigated. This risk has been closed.

Category: MANAGEMENT						
Ref. No.	**Management Track**	**Area of Assessment**	**Assessed Status**	**Observation**	**Risks/Potential Impacts**	**Recommendations**
M0004	**Project Management**	Project Management Plans	Risk	**Status Update – 5/12** The project continues to focus on the preparation of the RFP as the main priority for current resources available to the project. There was continued work on the Staffing Plan and a draft Communication Plan was developed and sent out for review. **Initial Assessment – 4/12** Although some project management plans have been developed or are under development, the majority of project management plans have not been developed or published. The following project management plans have been established: • Project Charter • Acquisition Plan	Project management plans identify the methods with which the project will be managed. The project management plans provide guidance to the project team on how to conduct project activities. The process of developing project management plans tends to foment agreement on how the project will be managed, which project activities will be performed and how those activities will be performed. The absence of project management plans (and the process of developing them) creates a risk that project management processes will be performed inconsistently or not at all.	Publish a set of project management plans preferably by modifying a standard set of plans provided by the AOC PMO. The following additional project management plans should be published: • Master Project Management Plan • Schedule Management Plan • Governance Management Plan • Risk Management Plan • Issue Management Plan • Change Management Plan • Cost Management Plan

Category: MANAGEMENT						
Ref. No.	**Management Track**	**Area of Assessment**	**Assessed Status**	**Observation**	**Risks/Potential Impacts**	**Recommendations**
M0005	**Project Management**	Project Management Processes	Risk	**Status Update – 5/12** The project continues to focus on the preparation of the RFP as the main priority for current resources available to the project. A scheduling resource has been assigned to the project and has assumed responsibility for maintaining the project schedule. However, primary project processes such as risk, issue, communication and change management are not being formally managed. **Initial Assessment – 4/12** Although some project processes are being used including periodic project meetings, project schedule updates, and risk identification, project processes are not being fully utilized by the project. When industry best practices are adapted to ***the specific context of SC-CMS***, they become practical tools and offer pragmatic approaches to reducing risk.	Utilization of project management processes reduces the risk of project delays, budget overruns, miscommunication, and lack of stakeholder support.	In conjunction with development and publication of project management plans, increase utilization of project management processes.

Category: MANAGEMENT						
Ref. No.	**Management Track**	**Area of Assessment**	**Assessed Status**	**Observation**	**Risks/Potential Impacts**	**Recommendations**
M0006	**Project Management**	System Development Lifecycle (SDLC) Plans	Risk	**Status Update – 5/12** The project continues to focus on the preparation of the RFP as the main priority for current resources available to the project. A resource has been assigned to coordinate organizational change management (OCM) activities for the project. An OCM kickoff meeting was conducted in May 2012. The OCM coordinator is developing the Communications Plan. However, primary SDLC plans such as a Systems Architecture Plan and a Requirements Management Plan have yet to be developed and utilized. **Initial Assessment – 4/12** Although many of the SDLC plans will be provided by the SC-CMS vendor, some SDLC plans should be published prior to the vendor coming on-board. Currently, no SDLC plans for the project have been published. SCLC plans identify the methods with which the system will be implemented. SDLC plans provide guidance to the project team on how to conduct implementation activities.	Without a documented set of SDLC plans, SDLC processes may be performed inconsistently or not at all. In more practical terms, agreement is lacking on how the implementation will be managed, which implementation activities will be performed, and how those activities will be performed – and this increases risks for the project.	Publish SDLC plans appropriate for each phase of the project, preferably by modifying a standard set of plans provided by the AOC PMO. The following SDLC plans should be published for the current phase of the project: • System Architecture Plan • Requirements Management Plan • Organizational Change Management Plan Additional plans will be published for later phases of the project, including: • Training Plan • Testing Plan • Conversion Plan • Deployment Plan • Maintenance Plan

Category: MANAGEMENT

Ref. No.	Management Track	Area of Assessment	Assessed Status	Observation	Risks/Potential Impacts	Recommendations
M0007	**Project Management**	System Development Lifecycle (SDLC) Management Processes	Risk	**Status Update – 5/12** The project continues to focus on the preparation of the RFP as the main priority for current resources available to the project. A resource has been assigned to coordinate organizational change management (OCM) activities for the project. An OCM kickoff meeting was conducted in May 2012. The OCM coordinator is developing the Communications Plan. However, primary SDLC plans such as a Systems Architecture Plan and a Requirements Management Plan have yet to be developed and utilized. **Initial Assessment – 4/12** SDLC processes appropriate for this phase of the project are not being fully utilized by the project.	Utilization of SDLC processes reduces the risk of the implemented system not meeting business needs.	In conjunction with development and publication of SDLC plans, increase utilization of SDLC processes in order to reduce the risk of the implemented system not meeting business needs.

Category: MANAGEMENT

Ref. No.	Management Track	Area of Assessment	Assessed Status	Observation	Risks/Potential Impacts	Recommendations
M0008	**Project Management**	Procurement Management	Risk Being Addressed	**Status Update – 5/12** As part of the re-positioning of the Project Manger role and broadening of Project Manager responsibilities, the Project Manager has shifted responsibility for the procurement to the Vendor Relations Coordinator and Acquisition Vendor as resources to the project. This has freed the Project Manager to begin to coordinate other project activities including project planning and vendor readiness. As an example, during May 2012, the Project Manager worked with the organizational change management (OCM) coordinator to conduct a kick-off meeting for OCM activities including the development of the project Communications Plan. **Initial Assessment – 4/12** In our initial assessment of April 10, we noted that there were multiple managers responsible for procurement activities. At that time, both the Vendor Relations Coordinator and the Project Manager were responsible for procurement activities.	When the Project Manager takes on project work in one area of the project, this can result in a lack of focus in other areas of the project. When roles and responsibilities are not well-defined or there is overlap in responsibilities, there can be miscommunication, multiple people working separately on the same task, or tasks that are not performed because each person thought the other person was responsible for the task.	The Project Manager and AOC management should continue to ensure that these roles remain separate.

Category: MANAGEMENT

Ref. No.	Management Track	Area of Assessment	Assessed Status	Observation	Risks/Potential Impacts	Recommendations
M0009	**Project Management**	Project Manager Responsibilities	Risk Closed	**Status Update – 5/12** During May 2012, the Project Manager continued to delegate to other project team members various sets of project activities including procurement tasks, meeting administration, project scheduling, and organizational change management. The Project Manager is continuing to add resources to the project, and it is anticipated that over the next several months, additional project work will be transferred from the Project Manager to the project team. **Initial Assessment – 4/12** In our initial assessment of April 10, we noted that the Project Manager was performing project tasks including maintaining the project schedule, writing project plans, preparing agendas, taking minutes, and scheduling meetings. As we stated at the time, the Project Manager should manage the project and ensure that tasks are being completed according to plan, schedule, and budget but should not perform project tasks.	When the Project Manager takes on project work in one area of the project, this can result in a lack of focus in other areas of the project.	This risk has been closed. However, this is an area that should continue to be monitored as the PM-related workload changes during the various phases of SC-CMS. It is incumbent on the Project Manager to raise issues and concerns with project sponsors if resources become constrained as project complexity increases.

Category: MANAGEMENT

Ref. No.	Management Track	Area of Assessment	Assessed Status	Observation	Risks/Potential Impacts	Recommendations
M0010	**Project Management**	Project Charter	No Identified Risk	Project Charter is in place.		
M0011	**Project Management**	Project Scope and Objectives	Not Yet Assessed	Further analysis needed as we move past the current urgency related to the RFP release.		Need to determine if the project's scope, objectives, and deliverables are clearly defined, supported by management and stakeholders, and routinely revisited for continuing validity and achievability.
M0012	**Project Structure**	Business Organization's Structure	Not Yet Assessed	Further analysis required to determine if the business organization is structured to be effective, given the project's needs.		Need to review the new Court Business Office (CBO) organization.

Category: MANAGEMENT

Ref. No.	Management Track	Area of Assessment	Assessed Status	Observation	Risks/Potential Impacts	Recommendations
M0013	**Stakeholder Management**	Active Engagement	Not Yet Assessed	Further analysis is required to determine if executive sponsors, key executives, and other stakeholders are adequately engaged in the project.		
M0014	**Stakeholder Management**	Two-Way Communication	Not Yet Assessed	Further analysis is required to determine if routine and effective two-way communication is occurring with executive sponsors, key executives, and other stakeholders.		At a minimum, ensure that appropriate project meetings are taking place and that reporting has been established.
M0015	**Stakeholder Management**	Project Steering Committee	No Identified Risk	Project Steering Committee has been established and is active in overseeing the project.		

Category: MANAGEMENT

Ref. No.	Management Track	Area of Assessment	Assessed Status	Observation	Risks/Potential Impacts	Recommendations
M0016	**Stakeholder Management**	Project Governance	No Identified Risk	Governance for the RFP has been defined. However, project, business functionality, and technical governance have not been fully defined.	Not treating this area as a risk yet; however, we will continue to assess the evolution of project governance to ensure broader coverage.	
M0017	**Project Schedule and Planning**	Project Schedule	No Identified Risk	Milestones have been identified in the project schedule.		

Category: PEOPLE						
Ref. No.	**People Track**	**Area of Assessment**	**Assessed Status**	**Observation**	**Risks/Potential Impacts**	**Recommendations**
P0001	**Resources**	Procurement	Risk Closed	**Status Update – 5/12** In May 2012, the Acquisition Vendor contract with MTG was extended through the end of the procurement phase. This risk has been closed. **Initial Assessment – 4/12** In our initial assessment of April 10, we noted that the Acquisition Vendor will likely be the best resource for answering many of the questions or problems that will inevitably arise during the remainder of the procurement. We also noted that needs may arise to develop addendums to the RFP and that questions may be raised concerning the content of the RFP during evaluation.	If the acquisition vendor contract was not extended, there may be delays in the project due resulting from additional work to resolve issues and develop addendums.	No further action required.

Category: APPLICATION						
Ref. No.	**Application Track**	**Area of Assessment**	**Assessed Status**	**Observation**	**Risks/Potential Impacts**	**Recommendations**
A0001	**Interfaces**	Dependencies Related to Information Networking Hub (INH) and Commercial-Off-the-Shelf Preparation (COTS Prep) Projects	Risk	**Status Update – 5/12** A detailed schedule for the INH project is under development. This risk will be re-assessed at that time. **Initial Assessment – 4/12** Because of the uncertainty in estimating the work required to complete the INH and COTS Prep projects, there is risk that these projects may not be completed in the timeframe required for implementing the SC-CMS project.	Without a "workaround", the SC-CMS implementation will be delayed if the INH and COTS Prep projects are not completed on time.	Detailed project schedules for both the INH and COTS Prep projects should be developed, maintained, and tracked. Major milestone dependencies should be linked to the SC-CMS project schedule. A contingency plan has been identified that will be implemented if the INH project is not available when SC-CMS is implemented. A similar contingency plan should be developed for the COTS Prep project which may require assigning priorities for re-scoping or de-scoping the project, should such actions become necessary.

	Category: DATA					
Ref. No.	**Data Track**	**Area of Assessment**	**Assessed Status**	**Observation**	**Risks/Potential Impacts**	**Recommendations**
	No Assessments in this Category to-Date		Not Yet Assessed			

	Category: INFRASTRUCTURE TECHNOLOGY					
Ref. No.	**Application Track**	**Area of Assessment**	**Assessed Status**	**Observation**	**Risks/Potential Impacts**	**Recommendations**
	No Assessments in this Category to-Date		Not Yet Assessed			

Attachment: Risk Analysis Item from RFP Steering Committee Meeting of May 15, 2012

Risk Analysis Item from RFP Steering Committee Meeting of May 15, 2012

Response to Barb Miner's Request that *bluecrane* Provide its Assessment of the Risk to SC-CMS of Jeff Hall's Departure

First, there have been some questions raised about whether Jeff's departure should be analyzed as an "issue" (something that has occurred and needs to be addressed) rather than as a "risk" (an uncertain future event that, if it occurs, may impact the project). Without becoming too pedantic, we've interpreted the situation as follows:

- Jeff's departure creates an issue that AOC must address by recruiting and hiring a new Administrator.
- Barb's question goes to whether or not Jeff's departure creates new risks to SC-CMS (previously unforeseen potential future events) or increases the likelihood of occurrence for risks that have already been identified.

While Jeff's departure from AOC will be a true loss, the project will be well-served by the commitment of the remaining Project Sponsors, Vonnie Diseth and Dirk Marler, and the remaining Executive Sponsor, the Honorable Justice Mary Fairhurst. The three remaining members of the "sponsorship team" are already providing strong leadership and direction for the SC-CMS Project.

Given the timing of Jeff's departure, it is somewhat ironic that *bluecrane* is going to be providing "Sponsor Training" for Executive Sponsors and Project Sponsors at AOC on Tuesday, May 29. Of the 150 PowerPoint slides we've prepared for the training, one lists the fundamental roles and responsibilities of Executive Sponsors/Project Sponsors as:

- Provides and approves resources (budget, time, staff, materials), consistent with the authority approved by the Governance/JISC process;
- Ensures multi-divisional (or multi-agency) participation on the project where appropriate;
- Acts as an advocate for the project, the project leader, and project team – *throughout the life of the project;* builds a coalition of support with senior leaders and managers;

- Oversees and communicates project progress at major milestones – to stakeholders, and to AOC Governance/JISC in its project health oversight role;
- Communicates key messages to the organization to demonstrate their commitment to the change that will result from the project and to build awareness of the need for change;
- Monitors project progress, intervenes as needed, makes decisions, and resolves escalated issues;
- Oversees project budget, schedule, and scope, and presents significant changes to the AOC Governance/JISC process for review and approval;
- Asks probing questions of the project manager and team;
- Approves movement of the project from one phase to the next; and
- Accepts the final work product.

There is little doubt that the three remaining members of the sponsorship team can provide the tangible, practical responsibilities of sponsorship and should be able to incorporate Jeff's replacement into the sponsorship team when that transition is complete.

The more engaging question to us at this time is how essential Jeff's personal involvement is (was) to the existence of compelling reasons for AOC's pursuit of SC-CMS. Answering that question goes beyond any analytical models we use for risk assessment (and there are many!) and, given our newness to the project, is probably best addressed by the remaining three members of the sponsorship team, the RFP Steering Committee, and other key stakeholders.

Viewed from another perspective, the questions we're asking you as key stakeholders are:

- Do the compelling reasons for undertaking SC-CMS survive Jeff's departure?
- Will the remaining stakeholders/sponsors be able to "champion the cause" and keep making forward progress while a new AOC Administrator is recruited and hired?

If the answer to the first question is "no," then the risk level is "off the charts" and SC-CMS is in big trouble. If the answer to the first question is "yes," but the answer to the second question is "no," then SC-CMS is at high risk.

Fortunately, we believe the answer to each of these questions is "yes." With respect to the first question, the SC-CMS Feasibility Study Report provides many compelling reasons ("burning platforms"[1]) for the need to pursue the project that go beyond the sponsorship of a single individual Administrator. The Feasibility Study Report rejects any notion of "muddling along" with current disparate systems as an acceptable vision of the future for Washington courts. The continued participation of the members of the RFP Steering Committee is testimony to that fact.

As noted, we think the answer to the second question regarding "championing the cause" is positive as well. But, this is crucial: no project the size of SC-CMS is successful without someone or a group of individuals "driving" the project to success. More often than not, a successful project has been driven to succeed by a sponsor and a project manager each of whom operates in a "heads down, take no prisoners" mode with a passion for completing the project.

Thus, we return to the question of whether that level of passion and commitment exists "outside of Jeff." We've already noted that the ***commitment*** appears to exist, and we are hopeful that the ***driving passion*** exists as well – or will be "re-fueled" by a combination of the existing sponsorship/steering committee/management team members and the new Administrator. So, the next question is: What can AOC do to minimize any increased risk caused by Jeff's departure? Here, we believe that the following are essential:

[1] "Burning platform" is a metaphor used frequently in strategic planning and organizational change management to refer to a looming crisis (or a substantial opportunity) that requires a significant change in organizational thinking and behavior. The metaphor begins with a group of people standing on a platform surrounded by water. Their knowledge of what lies beneath the surface of the water is vague or non-existent. The fundamental idea is that if the platform that the people are standing on is burning, they are motivated to jump into the water (even without perfect knowledge of how that decision will work out in the future). If the platform is not on fire, then there's little motivation to take a leap into the unknown. By analogy, continue to "muddle through," "don't fix it if it ain't broke," etc.

Risk Analysis Item from RFP Steering Committee Meeting of May 15, 2012

1. **Communicate, communicate, communicate!**
   - Create a Communications Plan (or component of the project's Communications Plan) specific to dealing with various stakeholder audiences and providing a clear, consistent message that SC-CMS is moving forward and that the remaining project sponsors and stakeholders are solidly behind the project and its continuance.
     - Create an "elevator speech" vision for SC-CMS.
     - Include the imperative for change (the burning platform) in the overall vision.
     - Coach key managers on the messages.
   - Remember that the project team is not the least of all interested stakeholders! Include them in communications. They are likely to be somewhat demoralized, if not cynical – especially those that were around for the previous attempt at SC-CMS.
   - Communicate frequently and openly about:
     - Progress on the project;
     - On-going stakeholder support for the project; and
     - Progress on finding Jeff's replacement.
   - Manage expectations regarding:
     - SC-CMS progress, and
     - Progress on hiring Jeff's replacement.
   - Keep external stakeholders informed and involved; pre-empt the "rumor mill."
   - Once Jeff's replacement is on-board, communicate immediately about his/her enthusiasm for and support of SC-CMS.

2. **Make recommendations to the hiring process to include SC-CMS specific qualifications.**
    - For example, if there is a recruiting effort for external candidates, then perhaps an addition to the "normal" AOC Administrator qualifications is: "Prior experience overseeing the implementation of a court system, preferably a commercial-off-the-shelf (COTs) system."
    - For internal candidates, perhaps there is some requirement, albeit subjective, to enthusiastically embrace the need for change and evidence a willingness to champion the project.

3. **Do all that is possible to move the hiring process along as quickly as is practicable.** While we are not suggesting a hasty process, we are noting that if the replacement process drags on for too long, the continuing vacancy is likely to create additional risks to SC-CMS.