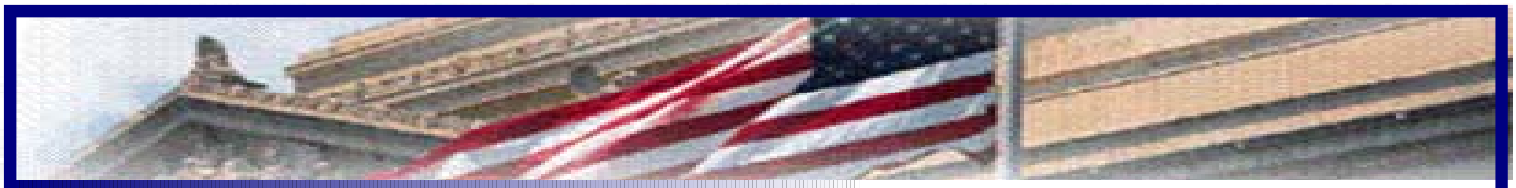

MANAGEMENT CONSULTING

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

February 28, 2013

Prepared by

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bluecrane ®

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February 28, 2013

Honorable Mary Fairhurst, Justice
Washington Supreme Court

Ms. Callie Dietz
Administrator, Administrative Office of the Courts

Dear Justice Fairhurst and Ms. Dietz:

bluecrane has completed its Quality Assurance Assessment of the SC-CMS Project for the month of February 2013.

This document is structured as follows:

1. Executive Summary and Assessment Dashboard.
2. An explanation of our approach for those readers that have not seen one of our assessments previously.
3. A detailed report of our SC-CMS assessment as of February month-end. Each assessed item in the detailed report begins with a summary table for the reader's quick reference that provides an impact statement, recommendations, and status. The summary table is followed by a more detailed assessment across project planning, project execution, and achievement of expected results.

Please contact me with any questions or comments.

Sincerely,

Allen Mills

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Part 1: Executive Summary and Assessment Dashboard

Executive Summary

This report provides the February 2013 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.

Our report is organized by assessments in the project areas of:

- Project Management and Sponsorship
- People
- Application
- Data
- Infrastructure

The SC-CMS Project Steering Committee selected Tyler as the Apparent Successful Vendor in February and elected to conduct a three-day clarification session with Tyler to further analyze the capabilities of Tyler's Odyssey product in meeting the requirements as specified in the RFP and as stated by the Clerks. The SC-CMS Project Steering Committee will discuss the results of the clarification session in March and make a recommendation to the JISC to either go forward with the implementation of Tyler Odyssey or to not go forward. It has not been determined what the implications of not going forward with the implementation of Tyler Odyssey would be to the project. As noted in the Assessment Dashboard below and the detailed report in Part 3 of this report, *bluecrane* agrees with the direction taken by the SC-CMS Project to continue identification of any mandatory requirements that are not able to be met by the Tyler Odyssey product. We assess the risk to the Vendor Procurement as "Risk Being Addressed" as of the end of February.

bluecrane QA Assessment Dashboard

Area of Assessment	Urgency	Dec 2012	Jan 2013	Feb 2013	Summary Status/Recommendations
Project Management and Sponsorship					
Governance	N/A	No Risk Identified	No Risk Identified	No Risk Identified	The JISC Charter, Steering Committee Charter, Governance Management Plan and Court User Work Group Charter have been approved by the project sponsors and JISC.
Scope	N/A	No Risk Identified	No Risk Identified	No Risk Identified	The project is utilizing the change management process to manage changes to scope, schedule, and budget consistent with the Change Management Plan.
Schedule	N/A	No Risk Identified	No Risk Identified	No Risk Identified	The project is utilizing a schedule to organize, assign, and track project work. Currently, there are no significant tasks behind schedule.
Budget	N/A	No Risk Identified	No Risk Identified	No Risk Identified	The AOC Management Services Division and the project are utilizing an effective approach to management of cost and budget.
Communication	N/A	No Risk Identified	No Risk Identified	No Risk Identified	Consistent with the Communications Management Plan, the team is utilizing effective communications to manage project activities and to keep stakeholders updated on project status.
Staffing and Project Facilities	N/A	No Risk Identified	No Risk Identified	No Risk Identified	Consistent with the Staffing Management Plan, the project is utilizing a staffing matrix to manage the capacity and timing of project staff. Project staffing is at appropriate levels. Over the last several months, the project managers and project sponsors re-evaluated the staffing plan and made adjustments based on the needs for system configuration and implementation activities.

Area of Assessment	Urgency	Dec 2012	Jan 2013	Feb 2013	Summary Status/Recommendations
Change Management	N/A	No Risk Identified	No Risk Identified	No Risk Identified	Consistent with the Change Management Plan, the project is utilizing the change management process to manage changes to scope, schedule, and budget.
Risk Management	N/A	No Risk Identified	No Risk Identified	No Risk Identified	Consistent with the Risk Management Plan, the project is identifying and managing risks consistent with the Risk Management Plan.
Issue Management	N/A	No Risk Identified	No Risk Identified	No Risk Identified	Consistent with the Issue Management Plan, the project team is identifying and tracking issues.
Quality Management	N/A	No Risk Identified	No Risk Identified	No Risk Identified	The Quality Management Plan has been presented to the Project Sponsors for review and approval.
People					
Stakeholder Engagement	N/A	No Risk Identified	No Risk Identified	No Risk Identified	Stakeholder engagement and organizational change management activities are underway.
Business Processes/ System Functionality	N/A	No Risk Identified	No Risk Identified	No Risk Identified	The Court Business Office (CBO) has performed analysis and validation of the business processes. The Court User Work Group (CUWG) has begun reviewing business processes for approval in parallel with analysis and validation activities.

Area of Assessment	Urgency	Dec 2012	Jan 2013	Feb 2013	Summary Status/Recommendations
Vendor Procurement	Very Urgent Consideration	Extreme Risk	Extreme Risk	Risk Being Addressed	The SC-CMS Project Steering Committee selected Tyler as the Apparent Successful Vendor in February and elected to conduct a three-day clarification session with Tyler to further analyze the capabilities of Tyler's Odyssey product in meeting the requirements as specified in the RFP and as stated by the Clerks. The clarification session was conducted in February and addressed over 400 questions posed by the Clerks. The session also addressed questions and clarifications by the Judges and Court Administrators as well. Overall, Tyler was able to demonstrate how most of the SC-CMS requirements would be met through configuration of the base system. The SC-CMS Project Steering Committee will discuss the results of the clarification session in March and make a recommendation to the JISC to either go forward with the implementation of Tyler Odyssey or to not go forward. It has not been determined what the implications of not going forward with the implementation of Tyler Odyssey would be to the project. **Recommendation:** *bluecrane* agrees with the direction taken by the SC-CMS Project to continue identification of any mandatory requirements that are not able to be met by the Tyler Odyssey product.
Contract Management / Deliverables Management	N/A	No Risk Identified	No Risk Identified	No Risk Identified	The project team has addressed the risk identified in previous QA assessments related to the lack of a documented approach to contract management. Outlines of vendor deliverables are being developed. Planning is underway for contract negotiations.
Application					
Application Architecture	N/A	No Risk Identified	No Risk Identified	No Risk Identified	The SC-CMS Architecture Plan has been updated to identify information known at this point. The remaining areas will be updated after the vendor has begun execution of the contract.

Area of Assessment	Urgency	Dec 2012	Jan 2013	Feb 2013	Summary Status/Recommendations
Requirements Management	N/A	No Risk Identified	No Risk Identified	No Risk Identified	The Court Business Office is documenting detailed use cases. A requirements management tool is being used to document requirements and for traceability.
Application Interfaces	N/A	No Risk Identified	No Risk Identified	No Risk Identified	The Inter-Networking Hub (INH) and Commercial Off-the-Shelf Preparation (COTS Prep) application projects are defining and preparing interfaces using the information currently available. Additional activities will be planned and executed when the SC-CMS vendor contract has been awarded and further definition of SC-CMS interface requirements are made available.
Data					
Data Preparation	N/A	No Risk Identified	No Risk Identified	No Risk Identified	The Data Quality Coordinator will coordinate preparation of data in AOC and local court applications. One of the activities is the development of a data profiling report which will identify anomalies in data stored in JIS.

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 the following five "Project Areas":

- ***Project Management and Sponsorship***
- ***People***
- ***Application***
- ***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 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 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
    - Communication
    - Staffing and Project Facilities
    - Change Management
    - Risk Management
    - Issue Management
    - Quality Management
- ***People***
    - Stakeholder Engagement

  - Business Processes/System Functionality
  - Vendor Procurement
  - Contract Management/Deliverables Management
  - Training and Training Facilities
  - Local Court Preparation
  - User Support
- ***Application***
  - Application Architecture
  - Requirements Management
  - Implementation
  - Application Interfaces
  - Application Infrastructure
  - Reporting
  - Testing
  - Tools
- ***Data***
  - Data Preparation
  - Data Conversion
  - Data Security
- ***Infrastructure***
  - Headquarters Infrastructure
  - Regional Infrastructure
  - Partner Infrastructure
  - Technical Help Desk

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 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

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 SC-CMS Vendor Procurement
2. Urgent Consideration – Potential Impact to Project's Readiness for Implementation
3. Serious Consideration – Potential Impact to the Successful Management of the Project

Rating risks at the macro-level using the assessed status and urgency scales described above provides a method for creating a snapshot that project personnel and executive management can review quickly, getting an immediate sense of project risks. The macro-level ratings are further refined by describing in detail what the risk/issue is and what remedial actions are being taken/should be taken to address the risk/issue. The result is a framework for AOC SC-CMS management to evaluate project risks – in terms of business objectives and traditional project management tasks.

We summarize the *bluecrane* QA Dashboard in Part 1 of our monthly report for review with client executives and project management. Part 3 of our monthly report provides the detailed QA Dashboard with all of the elements described above.

Part 3: *bluecrane* Detailed Assessment Report for February 2013

bluecrane Quality Assurance Dashboard for the Washington AOC SC-CMS Project	
Project Area Summary	
Project Area	**Highest Level of Assessed Risk**
Project Management and Sponsorship	**No Risk Identified**
People	**Risk Being Addressed**
Application	**No Risk Identified**
Data	**No Risk Identified**
Infrastructure	**No Risk Identified**

		Dec 2012	Jan 2013	Feb 2013
Category:	**Project Management and Sponsorship**			
Area of Assessment:	**Governance**	**No Risk Identified**	**No Risk Identified**	**No Risk Identified**
Urgency:	**N/A**			

Observation: The JISC Charter, Steering Committee Charter, Governance Management Plan and Court User Work Group Charter have been approved by the project sponsors and JISC.

		Dec 2012	Jan 2013	Feb 2013
Category:	**Project Management and Sponsorship**			
Area of Assessment:	**Scope**	**No Risk Identified**	**No Risk Identified**	**No Risk Identified**
Urgency:	**N/A**			

Observation: The project is utilizing the change management process to manage changes to scope, schedule, and budget consistent with the Change Management Plan.

		Dec 2012	Jan 2013	Feb 2013
Category:	**Project Management and Sponsorship**			
Area of Assessment:	**Schedule**	**No Risk Identified**	**No Risk Identified**	**No Risk Identified**
Urgency:	**N/A**			

Observation: The project is utilizing a schedule to organize, assign, and track project work. Currently, there are no significant tasks behind schedule.

		Dec 2012	Jan 2013	Feb 2013
Category:	**Project Management and Sponsorship**			
Area of Assessment:	**Budget**	**No Risk Identified**	**No Risk Identified**	**No Risk Identified**
Urgency:	**N/A**			

Observation/Risk: The AOC Management Services Division and the project are utilizing an effective approach to management of cost and budget.

		Dec 2012	Jan 2013	Feb 2013
Category:	**Project Management and Sponsorship**			
Area of Assessment:	**Communication**	**No Risk Identified**	**No Risk Identified**	**No Risk Identified**
Urgency:	**N/A**			

Observation: Consistent with the Communications Management Plan, the team is utilizing effective communications to manage project activities and to keep stakeholders updated on project status.

Status: The Communications Management Plan contains an approach for both internal and external communications activities. Internal communication activities include project status reports, performance reports, and project team meetings. External communications are used to inform stakeholders and end-users, in particular, of project activities that will affect them.

Project status is communicated primarily orally in various project meetings. A project status report is developed bi-weekly but published only to the project library.

		Dec 2012	Jan 2013	Feb 2013
Category:	**Project Management and Sponsorship**			
Area of Assessment:	**Staffing and Project Facilities**	**No Risk Identified**	**No Risk Identified**	**No Risk Identified**
Urgency:	**N/A**			

Observation: Consistent with the Staffing Management Plan, the project is utilizing a staffing matrix to manage the capacity and timing of project staff.

Status: Project staffing is at appropriate levels. Over the last several months, the project managers and project sponsors re-evaluated the staffing plan and made adjustments based on the needs for system configuration and implementation activities.

		Dec 2012	Jan 2013	Feb 2013
Category:	Project Management and Sponsorship	No Risk Identified	No Risk Identified	No Risk Identified
Area of Assessment:	Change Management			
Urgency:	N/A			

Observation: Consistent with the Change Management Plan, the project is utilizing the change management process to manage changes to scope, schedule, and budget.

		Dec 2012	Jan 2013	Feb 2013
Category:	Project Management and Sponsorship	No Risk Identified	No Risk Identified	No Risk Identified
Area of Assessment:	Risk Management			
Urgency:	N/A			

Observation: Consistent with the Risk Management Plan, the project is identifying and managing risks consistent with the Risk Management Plan.

		Dec 2012	Jan 2013	Feb 2013
Category:	Project Management and Sponsorship	No Risk Identified	No Risk Identified	No Risk Identified
Area of Assessment:	Issue Management			
Urgency:	N/A			

Observation: Consistent with the Issue Management Plan, the project team is identifying and tracking issues.

		Dec 2012	Jan 2013	Feb 2013
Category:	**Project Management and Sponsorship**			
Area of Assessment:	**Quality Management**	**No Risk Identified**	**No Risk Identified**	**No Risk Identified**
Urgency:	**N/A**			

Observation/Risk: The project team has developed a Quality Management Plan.

Status: The Quality Management Plan has been presented to the Project Sponsors for review and approval.

		Dec 2012	Jan 2013	Feb 2013
Category:	**People**			
Area of Assessment:	**Stakeholder Engagement**	**No Risk Identified**	**No Risk Identified**	**No Risk Identified**
Urgency:	**N/A**			

Observation: Stakeholder engagement and organizational change management activities are underway.

		Dec 2012	Jan 2013	Feb 2013
Category:	**People**			
Area of Assessment:	**Business Processes / System Functionality**	**No Risk Identified**	**No Risk Identified**	**No Risk Identified**
Urgency:	**N/A**			

Observation: The Court Business Office (CBO) has performed analysis and validation of the business processes. The Court User Work Group (CUWG) has begun reviewing business processes for approval in parallel with analysis and validation activities.

		Dec 2012	Jan 2013	Feb 2013
Category:	**People**			
Area of Assessment:	**Vendor Procurement**	**Extreme Risk**	**Extreme Risk**	**Risk Being Addressed**
Urgency:	**Very Urgent Consideration**			

Observation: The SC-CMS Project Steering Committee selected Tyler as the Apparent Successful Vendor in February and elected to conduct a three-day clarification session with Tyler to further analyze the capabilities of Tyler's Odyssey product in meeting the requirements as specified in the RFP and as stated by the Clerks. The clarification session was conducted in February and addressed over 400 questions posed by the Clerks. The session also addressed questions and clarifications by the Judges and Court Administrators as well. Overall, Tyler was able to demonstrate how most of the SC-CMS requirements would be met through configuration of the base system. The SC-CMS Project Steering Committee will discuss the results of the clarification session in March and make a recommendation to the JISC to either go forward with the implementation of Tyler Odyssey or to not go forward.

Risk: If the Tyler Odyssey COTS solution is not selected, an alternative may be selected that has a higher long-term cost despite the fact that the proposals submitted were significantly higher than the feasibility study estimates. The other alternatives identified in the SC-CMS Feasibility Study were estimated to cost more to implement than a COTS solution.

Status: It has not been determined what the implications of not going forward with the implementation of Tyler Odyssey would be to the project.

Recommendation: *bluecrane* agrees with the direction taken by the SC-CMS Project to continue identification of any mandatory requirements that are not able to be met by the Tyler Odyssey product.

		Dec 2012	Jan 2013	Feb 2013
Category:	People	No Risk Identified	No Risk Identified	No Risk Identified
Area of Assessment:	Contract Management / Deliverables Management			
Urgency:	N/A			

Observation/Risk: The project team has addressed the risk identified in previous QA assessments related to the lack of a documented approach to contract management. Outlines of vendor deliverables are being developed. Planning is underway for contract negotiations.

		Dec 2012	Jan 2013	Feb 2013
Category:	Application	No Risk Identified	No Risk Identified	No Risk Identified
Area of Assessment:	Application Architecture			
Urgency:	N/A			

Observation: The SC-CMS Architecture Plan has been updated to identify information known at this point. The remaining areas will be updated after the vendor has begun execution of the contract.

		Dec 2012	Jan 2013	Feb 2013
Category:	**Application**			
Area of Assessment:	**Requirements Management**	**No Risk Identified**	**No Risk Identified**	**No Risk Identified**
Urgency:	**N/A**			

Observation: The Court Business Office is documenting detailed use cases. A requirements management tool is being used to document requirements and for traceability.

		Dec 2012	Jan 2013	Feb 2013
Category:	**Application**			
Area of Assessment:	**Application Interfaces**	**No Risk Identified**	**No Risk Identified**	**No Risk Identified**
Urgency:	**N/A**			

Observation: The INH and COTS-Prep Application projects are defining and preparing interfaces using the information currently available. Additional activities will be planned and executed when the SC-CMS vendor contract has been awarded and further definition of SC-CMS interface requirements are made available.

		Dec 2012	Jan 2013	Feb 2013
Category:	**Data**			
Area of Assessment:	**Data Preparation**	**No Risk Identified**	**No Risk Identified**	**No Risk Identified**
Urgency:	**N/A**			

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