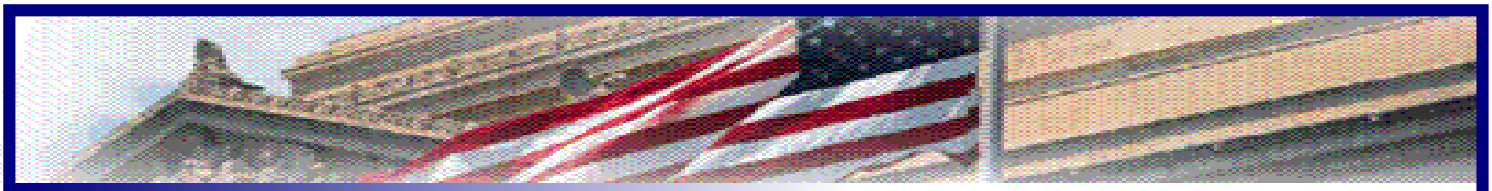

MANAGEMENT CONSULTING

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

June 30, 2013

Prepared by

Bluecrane, Inc.

bluecrane ®

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Part 1: Executive Summary and Assessment Dashboard

Executive Summary

This report provides the June 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 2013/15 budget developed by the Washington state legislature was passed on June 29 and signed by the Governor on June 30. The enacted budget contains funding for the SC-CMS project, averting a cancelation of the project.

Contract negotiations with Tyler Technologies continued satisfactorily in June and, if negotiations are completed in early July, a recommendation for moving forward will be made by the SC-CMS Steering Committee at the July 19 JISC meeting. If the negotiations are delayed past early July, the recommendation will be made at the September JISC meeting. Vendor activities will begin approximately six weeks following execution of the vendor contract.

Additionally, preparations for the next phase of the project continued in June in all areas of the project. The AOC Court Business Office continued to evolve business process models through facilitation of the Court User Work Group. During June, work progressed on an approach for selecting one or two pilot courts with the drafting of messages to initiate communications with courts who may choose to volunteer as a pilot court. Also, preparations of the technical environment continued in June with the continued development and testing of Information Networking Hub services.

bluecrane QA Assessment Dashboard

Area of Assessment	Urgency	April 2013	May 2013	June 2013	Summary Status/Recommendations
Project Management and Sponsorship					
Governance	**N/A**	No Risk Identified	No Risk Identified	No Risk Identified	The SC-CMS Steering Committee made a recommendation to begin negotiations with Tyler Technologies for purchase and implementation of their Odyssey court system. The JISC has approved the recommendation. The Steering Committee will make a final recommendation to the JISC on the procurement following contract negotiations with Tyler Technologies which are currently underway and expected to be completed in July. If the negotiations are completed in early July, the Steering Committee will make a recommendation to the JISC at the July19 JISC meeting. The recommendation will be to either go forward with executing the Tyler Technologies contract or consider another yet undetermined option. The Project Charter and Steering Committee Charter are being revised in preparation for starting the next phase of the project.
Scope	**N/A**	No Risk Identified	No Risk Identified	No Risk Identified	The scope of the SC-CMS project has been established in the SC-CMS RFP requirements for procurement of the COTS system. The recommendation from the SC-CMS Steering Committee to the JISC contains provisions for increasing the scope of the project through the addition of functionality including document management, financial management, and e-filing. AOC has planned for resources to implement and support the SC-CMS project based on the scope currently defined in the SC-CMS RFP. Adding the implementation of one or more additional modules may increase the risk of completing the project successfully. It is imperative that the project utilize its previously established change management process.

Area of Assessment	Urgency	April 2013	May 2013	June 2013	Summary Status/Recommendations
Schedule	N/A	No Risk Identified	No Risk Identified	No Risk Identified	The project is utilizing a project schedule to organize, assign, and track project work. The SC-CMS procurement began contract negotiations with Tyler Technologies on schedule in April. The negotiations continued in May and June. It is anticipated that contract negotiations will be concluded in July. At this time, there are no significant tasks behind schedule.
Budget	Very Urgent Consideration	Extreme Risk	Extreme Risk	No Risk Identified	A special session of the Washington legislature convened on May 13 and developed a joint budget that was passed and signed by the Governor on June 30. The enacted budget contains funding for the SC-CMS project. The June legislative action removes the risk created in March when the Washington Senate proposed a 2013-15 state operating budget that provided no funding for the Superior Court Case Management System (SC-CMS) and swept over $20 million from the Judicial Information System (JIS) account administered by the Administrative Office of the Courts.
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	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. If the project scope is increased through negotiations with Tyler Technologies, the staffing plan should be re-evaluated to identify any additional resource requirements to support the additional scope.

Area of Assessment	Urgency	April 2013	May 2013	June 2013	Summary Status/Recommendations
Change Management	N/A	No Risk Identified	No Risk Identified	No Risk Identified	Adding the implementation of one or more additional Tyler Technologies Odyssey modules may increase the risk of completing the project successfully. It is imperative that the project utilize its previously established change management process to identify and assess the impacts of any proposed change.
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.
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, including talking points for executives, development of a court readiness assessment, and inquiries to courts regarding interest in participating as “pilots.”
Business Processes/ System Functionality	N/A	No Risk Identified	No Risk Identified	No Risk Identified	In March, the Court User Work Group (CUWG) began reviewing and validating the As-Is business process models. Development and validation of the As-Is business processes are scheduled to be completed prior to execution of the Tyler Technologies contract.

Area of Assessment	Urgency	April 2013	May 2013	June 2013	Summary Status/Recommendations
Vendor Procurement	N/A	No Risk Identified	No Risk Identified	No Risk Identified	The SC-CMS Project Steering Committee selected Tyler Technologies as the Apparently Successful Vendor (ASV) in February. Contract negotiations began in April, continued through May and June, and are anticipated to be completed in July. If negotiations are completed in early July, a recommendation for moving forward will be made at the July 19 JISC meeting. If the negotiations are delayed past early July, the recommendation will be made at the September JISC meeting. Vendor activities will begin approximately six weeks following execution of the vendor contract.
Contract Management / Deliverables Management	N/A	No Risk Identified	No Risk Identified	No Risk Identified	Outlines of vendor deliverables have been developed and were used for planning contract negotiations. The list and schedule of vendor deliverables will be updated following successful completion of 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.
Requirements Management	N/A	No Risk Identified	No Risk Identified	No Risk Identified	The Court Business Office has loaded the SC-CMS requirements into the Rational Requirements Composer (RRC) requirements management tool that is being used to document requirements and for traceability. The Court Business Office and Court User Work Group will document Use Cases for the To-Be processes as needed.
Application Interfaces	N/A	No Risk Identified	No Risk Identified	No Risk Identified	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.

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 June 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	**No Risk Identified**
Application	**No Risk Identified**
Data	**No Risk Identified**
Infrastructure	**No Risk Identified**

		April 2013	May 2013	June 2013
Category:	**Project Management and Sponsorship**	**No Risk Identified**	**No Risk Identified**	**No Risk Identified**
Area of Assessment:	**Governance**			
Urgency:	**N/A**			

Observation: The SC-CMS Steering Committee made a recommendation to begin negotiations with Tyler Technologies for purchase and implementation of their Odyssey court system. The JISC has approved the recommendation. The Steering Committee will make a final recommendation to the JISC on the procurement following contract negotiations with Tyler Technologies which are currently underway and expected to be completed in July. If the negotiations are completed in early July, the Steering Committee will make a recommendation to the JISC at the July 19 JISC meeting. The recommendation will be to either go forward with executing the Tyler Technologies contract or consider another yet undetermined option.

The JISC Charter, Steering Committee Charter, Governance Management Plan and Court User Work Group Charter have been approved by the project sponsors and JISC. The Project Charter and Steering Committee Charter are being revised in preparation for starting the next phase of the project.

		April 2013	May 2013	June 2013
Category:	**Project Management and Sponsorship**	**No Risk Identified**	**No Risk Identified**	**No Risk Identified**
Area of Assessment:	**Scope**			
Urgency:	**N/A**			

Observation: The scope of the SC-CMS project has been established in the SC-CMS RFP requirements for procurement of the COTS system. The recommendation from the SC-CMS Steering Committee to the JISC contains provisions for increasing the scope of the project through the addition of functionality including document management, financial management, and e-filing. AOC has planned for resources to implement and support the SC-CMS project based on the scope currently defined in the SC-CMS RFP. Adding the implementation of one or more additional modules may increase the risk of completing the project successfully. For example, if financial management were to be added to the project without a subsequent increase in AOC resources to support the implementation, the successful implementation of the entire project could be at risk. In order to identify

and assess the impacts of any proposed change in scope and the likely resultant changes to resources, schedule, and budget required to support the change, it is imperative that the project utilize its previously established change management process.

Category:	Project Management and Sponsorship	April 2013	May 2013	June 2013
Area of Assessment:	Schedule	No Risk Identified	No Risk Identified	No Risk Identified
Urgency:	N/A			

Observation: The project is utilizing a project schedule to organize, assign, and track project work. The SC-CMS procurement began contract negotiations with Tyler Technologies on schedule in April. The negotiations continued in May and June. It is anticipated that contract negotiations will be concluded in July. At this time, there are no significant tasks behind schedule.

The project is reviewing the schedule provided by Tyler Technologies in their proposal to start identifying the integration points of the implementation schedule, but firm timeframes will not be established until contract negotiations with Tyler Technologies have been completed.

Category:	Project Management and Sponsorship	April 2013	May 2013	June 2013
Area of Assessment:	Budget	Extreme Risk	Extreme Risk	No Risk Identified
Urgency:	N/A			

Observation/Risk: A special session of the Washington legislature convened on May 13 and developed a joint budget that was passed and signed by the Governor on June 30. The enacted budget contains funding for the SC-CMS project. The June legislative action alleviated the risk created in March when the Washington Senate proposed a 2013-15 state operating budget that provided no funding for the Superior Court Case Management System (SC-CMS) and swept over $20 million from the Judicial Information System (JIS) account administered by the Administrative Office of the Courts.

		April 2013	May 2013	June 2013
Category:	**Project Management and Sponsorship**	**No Risk Identified**	**No Risk Identified**	**No Risk Identified**
Area of Assessment:	**Communication**			
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.

		April 2013	May 2013	June 2013
Category:	**Project Management and Sponsorship**	**No Risk Identified**	**No Risk Identified**	**No Risk Identified**
Area of Assessment:	**Staffing and Project Facilities**			
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. 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. If the project scope is increased through negotiations with Tyler Technologies, the staffing plan should be re-evaluated to identify any additional resource requirements to support the additional scope.

Identification of subject matter experts (SMEs) from the court clerks, judges, and administrators should begin well before the requirements validation and system configuration session that will last three to four months and will start soon after contract negotiations are complete.

		April 2013	May 2013	June 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. Changes in scope as part of the negotiations with Tyler Technologies should be processed as change orders.

		April 2013	May 2013	June 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.

		April 2013	May 2013	June 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.

		April 2013	May 2013	June 2013
Category:	**Project Management and Sponsorship**	**No Risk Identified**	**No Risk Identified**	**No Risk Identified**
Area of Assessment:	**Quality Management**			
Urgency:	**N/A**			

Observation: The project team has developed a Quality Management Plan which has been presented to the Project Sponsors for review and approval.

		April 2013	May 2013	June 2013
Category:	**People**	**No Risk Identified**	**No Risk Identified**	**No Risk Identified**
Area of Assessment:	**Stakeholder Engagement**			
Urgency:	**N/A**			

Observation: Stakeholder engagement and organizational change management activities are underway, including talking points for executives, development of a court readiness assessment, and inquiries to courts regarding interest in participating as “pilot courts.”

		April 2013	May 2013	June 2013
Category:	**People**	**No Risk Identified**	**No Risk Identified**	**No Risk Identified**
Area of Assessment:	**Business Processes / System Functionality**			
Urgency:	**N/A**			

Observation: In 2012 and early 2013, the Court Business Office (CBO) performed analysis and validation of the existing court business processes and began developing As-Is process models. In March, the Court User Work Group (CUWG) began reviewing and validating the As-Is business process models. Development and validation of the As-Is business processes are scheduled to be completed prior to execution of the Tyler Technologies contract.

		April 2013	May 2013	June 2013
Category:	**People**	**No Risk Identified**	**No Risk Identified**	**No Risk Identified**
Area of Assessment:	**Vendor Procurement**			
Urgency:	**N/A**			

Observation: The SC-CMS Project Steering Committee selected Tyler Technologies as the Apparently Successful Vendor (ASV) in February. Contract negotiations began in April, continued through May and June, and are anticipated to be completed in July. If negotiations are completed in early July, a recommendation for moving forward will be made at the July 19 JISC meeting. If the negotiations are delayed past early July, the recommendation will be made at the September JISC meeting. Vendor activities will begin approximately six weeks following execution of the vendor contract.

		April 2013	May 2013	June 2013
Category:	**People**	**No Risk Identified**	**No Risk Identified**	**No Risk Identified**
Area of Assessment:	**Contract Management / Deliverables Management**			
Urgency:	**N/A**			

Observation/Risk: Outlines of vendor deliverables have been developed and were used for planning contract negotiations. The list and schedule of vendor deliverables will be updated following successful completion of negotiations.

		April 2013	May 2013	June 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.

		April 2013	May 2013	June 2013
Category:	**Application**	**No Risk Identified**	**No Risk Identified**	**No Risk Identified**
Area of Assessment:	**Requirements Management**			
Urgency:	**N/A**			

Observation: The Court Business Office has loaded the SC-CMS requirements into the Rational Requirements Composer (RRC) requirements management tool that is being used to document requirements and for traceability. The Court Business Office and Court User Work Group will document Use Cases for the To-Be processes as needed.

		April 2013	May 2013	June 2013
Category:	**Application**	**No Risk Identified**	**No Risk Identified**	**No Risk Identified**
Area of Assessment:	**Application Interfaces**			
Urgency:	**N/A**			

Observation: The INH and COTS-Prep Application projects are defining and preparing interfaces using the interface 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.

		April 2013	May 2013	June 2013
Category:	**Data**	**No Risk Identified**	**No Risk Identified**	**No Risk Identified**
Area of Assessment:	**Data Preparation**			
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.