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

July 31, 2013

Prepared by

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bluecrane

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July 31, 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 July 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 July 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 July 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.

The SC-CMS contract negotiations with Tyler Technologies (Tyler) were completed in July. The Steering Committee made a recommendation to the JISC at the July 19 JISC meeting to go forward with executing the Tyler contract. The JISC unanimously approved the recommendation to execute the contract, and the contract was executed on July 25. Project activities will begin September 3.

In addition to the contract completion and execution, preparations for the next phase of the project continued in July in many areas. The AOC Court Business Office continued to evolve business process models through facilitation of the Court User Work Group. 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. Preparations of the technical environment continued with the development and testing of Information Networking Hub services.

Over the last several months, the project managers and project sponsors made adjustments to the staffing plan based on the needs for system configuration and implementation activities. Because the project scope increased through negotiations with Tyler, the staffing plan is being re-evaluated to identify any additional resource requirements.

Identification and commitment of subject matter experts (SMEs) from AOC staff, court clerks, judges, and administrators should begin well before the requirements validation and system configuration session that will start soon now that contract negotiations are complete and will last three to four months. Participation in the configuration, design, and user acceptance testing activities by business area representatives with substantial knowledge of their business processes will be critical to the success of the project. Often the staff with the best knowledge of business processes are also needed to keep the business processes running effectively, and

the level of service provided by the business can be degraded if resources are pulled away to perform project work.

It may be necessary to provide additional temporary resources to backfill staff utilized for project activities. It may also be necessary for the business to delay work, reduce the level of services, or fill the resource gap with overtime in order to provide the necessary project resources. Management will need to consider and evaluate the impact of resource constraints on operations and project activities, and the risk of implementing a system that does not meet the business needs of the organizations involved (due to overly constrained resources during configuration and implementation). Expectations should be set with management and staff in the business areas and with their customers about the potential impact to business operations by the reallocation of resources during the project timeframe.

bluecrane QA Assessment Dashboard

Area of Assessment	Urgency	May 2013	June 2013	July 2013	Summary Status/Recommendations
Project Management and Sponsorship					
Governance	**N/A**	No Risk Identified	No Risk Identified	No Risk Identified	The SC-CMS contract negotiations with Tyler Technologies (Tyler) were completed in July. The Steering Committee made a recommendation to the JISC at the July 19 JISC meeting to go forward with executing the Tyler contract. The JISC unanimously approved the recommendation to execute the contract that was negotiated with Tyler over the last several months. The contract was executed on July 25. 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 is established in the SC-CMS RFP requirements and now includes the deliverables as established by the SC-CMS contract. The scope has been increased through the addition of functionality beyond the RFP requirements with the inclusion of 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. The additional modules will increase the resources required to complete the project successfully. The planning for resources to support the additional scope is underway.

Area of Assessment	Urgency	May 2013	June 2013	July 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. Contract negotiations concluded on schedule in July. At this time, there are no significant tasks behind schedule. The project is reviewing the schedule provided by Tyler in their proposal to start identifying the integration points of the implementation schedule. The project will work with Tyler during August in preparation for arrival of the Tyler team in September.
Budget	N/A	Extreme Risk	No Risk Identified	No Risk Identified	The Washington legislature passed a 2013-15 state budget that provides funding for the SC-CMS project. Discussions are underway to determine the level of AOC support for local implementation costs.
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.

Area of Assessment	Urgency	May 2013	June 2013	July 2013	Summary Status/Recommendations
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. Currently, project staffing is at appropriate levels. Over the last several months, the project managers and project sponsors made adjustments based on the needs for system configuration and implementation activities. Because the project scope increased through negotiations with Tyler, the staffing plan is being re-evaluated to identify any additional resource requirements. Identification and commitment of subject matter experts (SMEs) from AOC staff, court clerks, judges, and administrators should begin well before the requirements validation and system configuration session that will start soon now that contract negotiations are complete and last three to four months. Participation in the configuration, design, and user acceptance testing activities by business area representatives with substantial knowledge of their business processes will be critical to the success of the project. Often the staff with the best knowledge of business processes are also needed to keep the business processes running effectively, and the level of service provided by the business can be degraded if resources are pulled away to perform project work. It may be necessary to provide additional temporary resources to backfill staff utilized for project activities. It may also be necessary for the business to delay work, reduce the level of services, or fill the resource gap with overtime in order to provide the necessary project resources. Management will need to consider and evaluate the impact of resource constraints on operations and project activities, and the risk of implementing a system that does not meet the business needs of the organizations involved (due to overly constrained resources during configuration and implementation). Expectations should be set with management and staff in the business areas and with their customers about the potential impact to business operations by the reallocation of resources during the project timeframe.

Area of Assessment	Urgency	May 2013	June 2013	July 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.
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 project team has developed a Quality Management Plan.
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 “pilot courts.”
Business Processes/ System Functionality	N/A	No Risk Identified	No Risk Identified	No Risk Identified	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. Development and validation of the As-Is business processes has been completed.

Area of Assessment	Urgency	May 2013	June 2013	July 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 as the Apparently Successful Vendor (ASV) in February. Contract negotiations began in April, continued through May and June, and were completed in July. A recommendation for moving forward with the contract was approved at the July 19 JISC meeting. The contract was executed in July, completing the prime vendor procurement. Vendor activities will begin September 3.
Contract Management / Deliverables Management	N/A	No Risk Identified	No Risk Identified	No Risk Identified	The list and schedule of vendor deliverables are confirmed in the executed contract with Tyler. Management of the contract will begin with project startup in September.
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. Update of the remaining areas will begin with the start of vendor activities in September.
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.

Area of Assessment	Urgency	May 2013	June 2013	July 2013	Summary Status/Recommendations
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 interface information currently available. Additional activities will be planned as further definition of SC-CMS interface requirements are made available with the start of vendor activities in September.
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 July 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

		May 2013	June 2013	July 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 contract negotiations with Tyler Technologies (Tyler) were completed in July. The Steering Committee made a recommendation to the JISC at the July 19 JISC meeting to go forward with executing the Tyler contract. The JISC unanimously approved the recommendation to execute the contract, and the contract was executed on July 25.

The Project Charter and Steering Committee Charter are being revised in preparation for starting the next phase of the project.

		May 2013	June 2013	July 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 is established in the SC-CMS RFP requirements and now includes the deliverables as established by the SC-CMS contract. The scope has been increased through the addition of functionality beyond the RFP requirements with the inclusion of 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. The additional modules will increase the resources required to complete the project successfully. The planning for resources to support the additional scope is underway.

		May 2013	June 2013	July 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 project schedule to organize, assign, and track project work. Contract negotiations concluded on schedule in July. At this time, there are no significant tasks behind schedule.

The project is reviewing the schedule provided by Tyler in their proposal to start identifying the integration points of the implementation schedule. The project will work with Tyler during August in preparation for arrival of the Tyler team in September.

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

Observation: The Washington legislature passed a 2013-15 state budget that provides funding for the SC-CMS project. Discussions are underway to determine the level of AOC support for local implementation costs.

		May 2013	June 2013	July 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.

		May 2013	June 2013	July 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. Currently, project staffing is at appropriate levels. Over the last several months, the project managers and project sponsors made adjustments based on the needs for system configuration and implementation activities. Because the project scope increased through negotiations with Tyler, the staffing plan is being re-evaluated to identify any additional resource requirements.

Identification and commitment of subject matter experts (SMEs) from AOC staff, court clerks, judges, and administrators should begin well before the requirements validation and system configuration session that will start soon now that contract negotiations are complete and will last three to four months. Participation in the configuration, design, and user acceptance testing activities by business area representatives with substantial

knowledge of their business processes will be critical to the success of the project. Often the staff with the best knowledge of business processes are also needed to keep the business processes running effectively, and the level of service provided by the business can be degraded if resources are pulled away to perform project work. It may be necessary to provide additional temporary resources to backfill staff utilized for project activities. It may also be necessary for the business to delay work, reduce the level of services, or fill the resource gap with overtime in order to provide the necessary project resources. Management will need to consider and evaluate the impact of resource constraints on operations and project activities, and the risk of implementing a system that does not meet the business needs of the organizations involved(due to overly constrained resources during configuration and implementation). Expectations should be set with management and staff in the business areas and with their customers about the potential impact to business operations by the reallocation of resources during the project timeframe.

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

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

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

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

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

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

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

		May 2013	June 2013	July 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, including talking points for executives, development of a court readiness assessment, and inquiries to courts regarding interest in participating as “pilot courts.”

		May 2013	June 2013	July 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. Development and validation of the As-Is business processes has been completed.

		May 2013	June 2013	July 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 as the Apparently Successful Vendor (ASV) in February. Contract negotiations began in April, continued through May and June, and were completed in July. A recommendation for moving forward with the contract was approved at the July 19 JISC meeting. The contract was executed in July. Vendor activities will begin September 3.

		May 2013	June 2013	July 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 list and schedule of vendor deliverables are confirmed in the executed contract with Tyler. Management of the contract will begin with project startup in September.

		May 2013	June 2013	July 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. Update of the remaining areas will begin with the start of vendor activities in September.

		May 2013	June 2013	July 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 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.

		May 2013	June 2013	July 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 interface information currently available. Additional activities will be planned as further definition of SC-CMS interface requirements are made available with the start of vendor activities in September.

		May 2013	June 2013	July 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.