bluecrane

MANAGEMENT CONSULTING FOR STATE AND LOCAL GOVERNMENTS

EXECUTIVE ADVISEMENT

QUALITY ASSURANCE

PROJECT OVERSIGHT

PROJECT MANAGEMENT

INDEPENDENT VERIFICATION AND VALIDATION (IV&V)

RISK REDUCTION

Quality Assurance Report

for the

State of Washington

Administrative Office of the Courts (AOC)

SC-CMS Project

March 31, 2015

Prepared by
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bluecrane ®

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Part 1: Executive Summary and Assessment Dashboard

Executive Summary

This report provides the March 2015 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.

Resource Constraints

Late completion of data integration components, business processes, and other key deliverables have resulted from resource limitations in several areas of the project due to budgetary constraints and the difficulty in developing accurate estimates of effort for activities that are unfamiliar to the staff assigned to them. Although the project continues to make effective use of the resources allocated to the project and to utilize AOC resources outside of the project team to work towards a successful Pilot Go-Live, the current resource allocation may be insufficient to adequately support the rollout of counties beyond the pilot.

In the past several reports, we have recommended that the project perform an evaluation of the resources required for a successful rollout to early adopter counties in the later part of 2015 and follow-on counties in 2016. However, since the current project resources are consumed with completing deliverables and preparation for the Pilot Go-Live, *bluecrane* will conduct a resource assessment in collaboration with the project team as part of our planned Go-Live readiness assessment. The resource assessment will evaluate resources required to complete preparations for the Pilot Go-Live, support Lewis County following Go-Live, and implement the early adopter and remaining follow-on counties.

Integrations Mock Go-Live

A second Mock Go-Live for Lewis County targeting the integration and synchronization of data between Odyssey and the Judicial Information System (JIS) was conducted in March. Although problems were identified and some of the integrations had not been fully tested prior to the Mock Go-live, the event was successful in evaluating the integration architectural framework and infrastructure. A Lessons Learned session was conducted following the Mock Go-Live to identify areas for improvements for the upcoming additional Mock Go-Lives.

Schedule Risks Related to Integrations Work

We continue to note the schedule risk related to completion of the integrations between Odyssey and other AOC systems. The project developed and began execution of contingency plans in March for the possibility that some of the less frequently used integrations will not be ready for use until after the Lewis Go-Live event.

Risk of Data Center Move *If Conducted during the SC-CMS Implementation*

We learned in December that AOC has been asked to assess the viability of migrating server and network equipment currently residing in the AOC data center to the state Consolidated Technology Services (CTS) data center as part of the state data center consolidation initiative. The initiation of a project to migrate the AOC data center to the state data center *during the SC-*

CMS implementation would create a significant risk to the success of the SC-CMS project. The SC-CMS project has very high visibility to the judicial, legislative, and executive branches of the state government. All unnecessary risks to the on-time completion of the SC-CMS project should be avoided to ensure the successful implementation of the new court system.

Executive Dashboard – Risks At-a-Glance

Category	Area of Assessment	Urgency	Noteworthy Risks/Comments
Extreme Risks			
(No Extreme Risks to Report)			
Noteworthy Risks			
Infrastructure	Statewide Infrastructure	Serious Consideration	• AOC has been requested to assess the viability of migrating server and network equipment currently residing in the AOC data center to the state data center as part of the state data center consolidation initiative. The initiation of a project to migrate the AOC data center to the state data center *during the SC-CMS implementation* would create a significant risk to the success of the SC-CMS project.
Risks Being Addressed			
Project Management and Sponsorship	Schedule	Urgent Consideration	• Although efforts to identify and estimate the work required to complete the integration of Odyssey with other AOC systems continued in March, there continues to be uncertainty in the effort and duration of activities.

Category	Area of Assessment	Urgency	Noteworthy Risks/Comments
Risks Being Addressed (continued)			
People	Staffing	Urgent Consideration	• The current resource allocation may be insufficient to adequately support the rollout of counties beyond the pilot, in accordance with the currently planned schedule. A resource assessment is underway.
People	Business Processes	Urgent Consideration	• Because of the continuation of constrained resources, the business processes completion due date was again missed in March. The evaluation of activities assigned to project staff is underway.
Application	Application Interfaces	Urgent Consideration	• Although additional technical and testing resources have been allocated to the integration activities, there continues to be uncertainty in the effort and duration of activities.

Part 2: *bluecrane* Detailed Assessment Report for March 2015

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	**Risk Being Addressed**
People	**Risk Being Addressed**
Application	**Risk Being Addressed**
Data	**No Risk Identified**
Infrastructure	**Risk**

Category:	Project Management and Sponsorship	Jan 2015	Feb 2015	Mar 2015
Area of Assessment:	Governance	No Risk Identified	No Risk Identified	No Risk Identified
Urgency:	N/A			

Observation: Governance is defined in the Project Charter and is being executed effectively by the Project Leadership, Executive Sponsors, Steering Committee, and JISC.

Category:	Project Management and Sponsorship	Jan 2015	Feb 2015	Mar 2015
Area of Assessment:	Scope	No Risk Identified	No Risk Identified	No Risk Identified
Urgency:	N/A			

Observation: Scope is being managed effectively through the Requirements Traceability Matrix, Tyler contract deliverables, and the Project Change Management process.

A decision was made in March to increase the number of users of the system through the addition of court staff that work with juvenile cases who would be granted read-only access to some of the Superior Court case and party data. Work is underway to incorporate the impact to training, user support, organizational change management, and infrastructure.

		Jan 2015	Feb 2015	Mar 2015
Category:	**Project Management and Sponsorship**	**Risk Being Addressed**	**Risk Being Addressed**	**Risk Being Addressed**
Area of Assessment:	**Schedule**			
Urgency:	**Urgent Consideration**			

Observation/Risk 1 – Integrations between Odyssey and JIS: We continue to note the schedule risk related to completion of the integrations between Odyssey and other AOC judicial information systems (JIS). Some of the integration components may not be ready for use until after the Lewis Go-Live event or may cause production data problems if defects are not identified during testing.

Impact: If some of the integrations have not been completed or thoroughly tested by the Lewis County Go-Live event, it may be necessary to implement work-arounds that may require manual manipulation of data in either Odyssey or JIS or both.

Recommendation: We agree with the approach being taken by the SC-CMS Project Team to develop contingency plans in response to the risk that not all integration components will be operational at the time of the Lewis County Go-Live in June. The integration tasks should be prioritized in terms of the manual effort required to maintain any data between Odyssey and JIS that is not being processed through the automated interface with focus given to the integrations that will reduce the most manual effort at Go-Live.

Status: The project developed and began execution of contingency plans in March for the possibility that some of the less frequently needed integration components will not be ready for use until after the Lewis Go-Live event. The contingency planning will include use of the SC-CMS Help Desk who will perform any manual work-arounds in addition to monitoring and correcting integration transaction failures.

Observation 2 - Mock Go-Live: A second Mock Go-Live for Lewis County targeting the integration and synchronization of data between Odyssey and the Judicial Information System (JIS) was conducted in March. Although problems were identified and some of the integrations had not been fully tested prior to the Mock Go-live, the event was successful in evaluating the integration architectural framework and infrastructure. A Lessons Learned session was conducted following the Mock Go-Live to identify areas for improvements for the upcoming additional Mock Go-Lives.

Category:	Project Management and Sponsorship	Jan 2015	Feb 2015	Mar 2015
Area of Assessment:	Budget	No Risk Identified	No Risk Identified	No Risk Identified
Urgency:	N/A			

Observation: When information/results are available from the Pilot County implementation, the Steering Committee will reassess the local cost framework, potentially revise the framework based on the Pilot County experience, and then make a recommendation to the JISC for cost sharing between the State and the local levels for the next phase of SC-CMS.

The budget may be impacted through the addition of juvenile court users to the project scope.

		Jan 2015	Feb 2015	Mar 2015
Category:	**Project Management and Sponsorship**			
Area of Assessment:	**Project Communications**	**No Risk Identified**	**No Risk Identified**	**No Risk Identified**
Urgency:	**N/A**			

Observation: The project utilizes several approaches to communicate information to project stakeholders. Project status is communicated to AOC management, project team members, and other AOC stakeholders in multiple weekly meetings. Project Steering Committee Meetings are conducted monthly. Information is provided to representatives of the Judges, Clerks, and Administrators associations who pass information to the association members through their normal communication paths.

Status: The SC-CMS project and Tyler publish a monthly status report.

Recommendation: Although there are multiple approaches to communicating project status and organizational change management information, it would be advisable for the project to conduct periodic surveys to determine the effectiveness of the various forms of communication being utilized. Effectiveness could be measured by gauging the project-related knowledge of internal and external stakeholders at all levels. Based on the results of surveys, approaches to project communications can be revised. Some approaches may be eliminated if they are found to be ineffective, or supplemental communications may be necessary to augment the current forms of communications.

Category:	Project Management and Sponsorship	Jan 2015	Feb 2015	Mar 2015
Area of Assessment:	Staffing and Project Facilities	No Risk Identified	No Risk Identified	Risk Being Addressed
Urgency:	N/A			

Observation/Risk: Late completion of data integration components, business processes, and other key deliverables have resulted from resource limitations in several areas of the project due to budgetary constraints and the difficulty in developing accurate estimates of effort for activities that are unfamiliar to the staff assigned to them. Although the project continues to make effective use of the resources allocated to the project and to utilize AOC resources outside of the project team to work towards a successful Pilot Go-Live, the current resource allocation may be insufficient to adequately support the rollout of counties beyond the pilot. In the past several reports, we have recommended that the project perform an evaluation of the resources required for a successful rollout to early adopter counties in the later part of 2015 and follow-on counties in 2016. However, since the current project resources are consumed with completing deliverables and preparation for the Pilot Go-Live, *bluecrane* will conduct a resource assessment in collaboration with the project team as part of our planned Go-Live readiness assessment. The resource assessment will evaluate resources required to complete preparations for the Pilot Go-Live, support Lewis County following Go-Live, and implement the early adopter and remaining follow-on counties.

Category:	Project Management and Sponsorship	Jan 2015	Feb 2015	Mar 2015
Area of Assessment:	Change Management	No Risk Identified	No Risk Identified	No Risk Identified
Urgency:	N/A			

Observation: The scope and budget have been baselined. All requests for changes to scope or budget will go through the SC-CMS change management process. Many of the work activities in the project schedules have not been baselined.

A change request was processed to increase the number of users of the system with the addition of juvenile court users.

		Jan 2015	Feb 2015	Mar 2015
Category:	**Project Management and Sponsorship**	**No Risk Identified**	**No Risk Identified**	**No Risk Identified**
Area of Assessment:	**Risk Management**			
Urgency:	**N/A**			

Observation: The project is identifying and tracking risks at an adequate level.

		Jan 2015	Feb 2015	Mar 2015
Category:	**Project Management and Sponsorship**	**No Risk Identified**	**No Risk Identified**	**No Risk Identified**
Area of Assessment:	**Issue Management**			
Urgency:	**N/A**			

Observation: The project is identifying and tracking issues at an adequate level.

		Jan 2015	Feb 2015	Mar 2015
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.

		Jan 2015	Feb 2015	Mar 2015
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.

		Jan 2015	Feb 2015	Mar 2015
Category:	**People**	**No Risk Identified**	**No Risk Identified**	**Risk Being Addressed**
Area of Assessment:	**Business Processes / System Functionality**			
Urgency:	**N/A**			

Observation/Risk: The completion of the business processes for Pilot Go-Live was initially scheduled for January and then, due to resource constraints, targeted for completion at the end of March. However, the business analysts assigned to developing the business processes are also assigned to completing the configuring Odyssey and establishing rules for data conversion. Because of the continuation of constrained resources, the business processes completion due date was again missed in March.

Impact: If sufficient resources are not allocated to the completion of business process, system configuration, and conversion, one or more of the activities may not being completed in time for Go-Live or may be completed with inadequate quality.

Recommendation: *bluecrane* will assist the project team in assessing the resources required for completion of activities for Pilot Go-Live and the roll-out of the remaining counties.

		Jan 2015	Feb 2015	Mar 2015
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 identified in the Tyler contract and are being managed by the project team.

		Jan 2015	Feb 2015	Mar 2015
Category:	**Application**	**No Risk Identified**	**No Risk Identified**	**No Risk Identified**
Area of Assessment:	**Application Architecture**			
Urgency:	**N/A**			

Observation: Application architecture has been developed and documented and is being implemented in the various project activities.

		Jan 2015	Feb 2015	Mar 2015
Category:	**Application**	**No Risk Identified**	**No Risk Identified**	**No Risk Identified**
Area of Assessment:	**Requirements Management**			
Urgency:	**N/A**			

Observation: The project's business analysts have 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 CBO and CUWG will document Use Cases for the To-Be processes as needed.

		Jan 2015	Feb 2015	Mar 2015
Category:	**Application**	**Risk Being Addressed**	**Risk Being Addressed**	**Risk Being Addressed**
Area of Assessment:	**Application Interfaces**			
Urgency:	**Urgent Consideration**			

Observation/Risk: In previous reports, we had identified a concern that software components required to integrate Odyssey with other AOC and state systems may not be completed on schedule.

Impact: See Schedule impact above.

Recommendation: See Schedule recommendation above.

Status: An Integrations Mock Go-Live was conducted at the end of March. The Mock Go-Live demonstrated that the production integration infrastructure operates correctly and is providing adequate performance. Integration components that had been completed by the end of March were tested during the Integrations Mock Go-Live by participants from Lewis County. Although the Integration Mock Go-Live was successful in the evaluation of the underlying data integration framework, many of the integration components have not be tested and some component development is still underway. It is likely that some integration components will not be ready in time for Pilot Go-Live. However, the development of contingency plans for this risk is underway.

		Jan 2015	Feb 2015	Mar 2015
Category:	**Data**			
Area of Assessment:	**Data Preparation**	**No Risk Identified**	**No Risk Identified**	**No Risk Identified**
Urgency:	**N/A**			

Observation: The AOC 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 Judicial Information System (JIS).

The AOC System Support Technician will prepare and extract SCOMIS data for each superior court and county clerk office in the format that Tyler can import into Odyssey.

Status: AOC has begun identifying candidate areas in JIS that will be the focus of data cleansing activities. One of the areas of focus will be person data.

		Jan 2015	Feb 2015	Mar 2015
Category:	**Data**			
Area of Assessment:	**Data Conversion**	**No Risk Identified**	**No Risk Identified**	**No Risk Identified**
Urgency:	**N/A**			

Observation: Conversion activities for the Pilot County continued in March.

		Jan 2015	Feb 2015	Mar 2015
Category:	**Infrastructure**			
Area of Assessment:	**Statewide Infrastructure**	**Risk**	**Risk**	**Risk**
Urgency:	**Serious Consideration**			

Observation: AOC has been requested to assess the viability of migrating server and network equipment currently residing in the AOC data center to the state data center as part of the state data center consolidation initiative. The initiation of a project to migrate the AOC data center to the state data center *during the SC-CMS implementation* would create a significant risk to the success of the SC-CMS project. The pilot county Go-Live date for the SC-CMS project is June 2015, with early-adopter counties scheduled for the following November and the remaining counties through 2018. The implementation for the pilot and early-adopter counties is very compressed with no schedule contingency.

Impact: A data center migration would result in two significant impacts to the SC-CMS project. First, the planning and execution of a data center migration would consume resources allocated to the SC-CMS implementation resulting in the delay of project deliverables and milestones that could impact the Go-Live dates for county implementations. The other potential impact would be to the availability of the statewide network or the availability of web, application, or data servers due to operational problems associated with a data center migration including performance, network, data, or security problems.

Recommendation: The SC-CMS project has very high visibility to the judicial, legislative, and executive branches of the state government. All unnecessary risks to the on-time completion of the SC-CMS project should be avoided to ensure the successful implementation of the new case management system.

		Jan 2015	Feb 2015	Mar 2015
Category:	**Infrastructure**	**No Risk Identified**	**No Risk Identified**	**No Risk Identified**
Area of Assessment:	**Local Infrastructure**			
Urgency:	**N/A**			

Observation: The project team has begun discussions with the pilot county on local infrastructure readiness activities. The project meets with the pilot county weekly, via a conference call, to discuss any questions or issues.

Part 3: 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***
  - Statewide Infrastructure
  - Local 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 Risk Identified	**No Risk Identified:** "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 Configuration of the System
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 2 of our monthly report provides the detailed QA Dashboard with all of the elements described above.