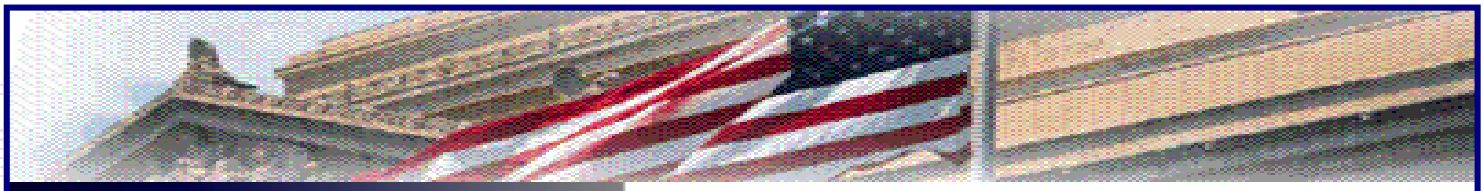

bluecrane

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

October 31, 2015

Prepared by
Bluecrane, Inc.

bluecrane ®

Table of Contents

PART 1: EXECUTIVE DASHBOARD 1

PART 2: DETAILED ASSESSMENT REPORT 6

PART 3: REVIEW OF *bluecrane* APPROACH 21

Part 1: Executive Dashboard

Introduction

This report provides the October 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.

Executive Summary

The month of October concluded with the start of the Go-Live weekend for the three Early Adopter Counties. The Go-Live weekend continued into the first days of November with the successful implementation of all three Early Adopter Counties, bringing the total number of counties where Odyssey has been implemented to four. Importantly, the risk related to completion of the integration components that synchronize party data between Odyssey and other AOC judicial information systems (JIS) that we have noted for several months was resolved prior to the Early Adopter Go-Live events. We extend a hearty congratulations to everyone involved in making these events such a success.

As reflected in the following Executive Dashboard and the detailed report which follows, our primary areas of concern for October continue to be related to the resource limitations that the project is experiencing. The lack of sufficient resources may impact the quality and completeness of project deliverables going forward.

We will focus in the coming months on assessments in the areas of data quality, user support and problem management, improvement of the rollout process, stakeholder engagement, and infrastructure capacity and performance.

Changes to Risk Assessment Since Previous Report

The following table lists the risks we have identified and summarizes (1) those areas where risks continue from the previous report, (2) those areas of assessment for which our risk ratings have changed since our previous report and (3) new risks identified since the previous report.

Area of Assessment	Urgency	Aug 2015	Sept 2015	Oct 2015	New or Change Since Prior Report	Comments
1. People						
Stakeholder Engagement and Organizational Change Management	**Serious Consideration**	**No Risk**	**No Risk**	**Risk**	**Increased Risk**	Additional resources should be allocated to stakeholder engagement and organizational change management activities using the SC-CMS Communication Plan as a guide to help smooth the transition through increased communication and awareness activities. ***For detailed assessment, see:*** #OCM
Staffing	**Serious Consideration**	**Risk Being Addressed**	**Risk Being Addressed**	**Risk Being Addressed**	**No Change in Assessment**	Project staffing continues to be a concern due to the increasing workload of supporting the total of four counties where Odyssey is now implemented while simultaneously planning and conducting implementation of Odyssey in additional counties in 2016. ***For detailed assessment, see:*** #Staffing

Area of Assessment	Urgency	Aug 2015	Sept 2015	Oct 2015	New or Change Since Prior Report	Comments
Business Processes and System Functionality	**Serious Consideration**	**Risk Being Addressed**	**Risk Being Addressed**	**Risk Being Addressed**	**No Change in Assessment**	Staffing concerns extend to the ability to document business processes and complete the Odyssey configuration with quality results. ***For detailed assessment, see:*** #BusinessProcesses
2. Project Management and Sponsorship						
Project Schedule	**Serious Consideration**	**Risk Being Addressed**	**Risk Being Addressed**	**Risk Being Addressed**	**No Change in Assessment**	Resource constraints lead to concerns regarding the quality and completeness of project deliverables. This concern may be mitigated by the filling of the Deputy Project Manager position. ***For detailed assessment, see:*** #Schedule

Area of Assessment	Urgency	Aug 2015	Sept 2015	Oct 2015	New or Change Since Prior Report	Comments
3. Software						
Software Integrations	**N/A**	**Risk Being Addressed**	**Risk Being Addressed**	**No Risk**	**Risk Mitigated**	Final Integration components that synchronize party data between Odyssey and other AOC judicial information systems (JIS) were implemented in October. ***For detailed assessment, see:*** #Integrations

Area of Assessment	Urgency	Aug 2015	Sept 2015	Oct 2015	New or Change Since Prior Report	Comments
4. **Data**						
Data Preparation	**Serious Consideration**	**Risk Being Addressed**	**Risk Being Addressed**	**Risk Being Addressed**	**No Change in Assessment**	Data quality problems in the current system will be transferred to the new system during conversion unless addressed prior to county Go-Live. ***For detailed assessment, see:*** #DataPreparation

Part 2: Detailed Assessment Report

People

		Aug 2015	Sept 2015	Oct 2015
Category:	**People**	**No Risk Identified**	**No Risk Identified**	**Risk**
Area of Assessment:	**Stakeholder Engagement and Organizational Change Management**			
Urgency:	**Serious Consideration**			

Observation/Risk: Although stakeholder engagement and organizational change management activities have been utilized to help prepare AOC and county staff for the transition to the new system, resource constraints have limited efforts in this area primarily to training activities.

Recommendation: Additional resources should be allocated to stakeholder engagement and organizational change management activities using the SC-CMS Communication Plan as a guide to help smooth the transition through increased communication and awareness activities. These stakeholder activities should be coordinated with the business process activities identified in the Business Process / System Functionality area. Now that the SC-CMS Deputy Project Manager position has been filled, the SC-CMS Project Manager may be able to allocate additional focus to stakeholder engagement.

To return to Executive Dashboard, click: #ExecDashboard

		Aug 2015	Sept 2015	Oct 2015
Category:	**People**	**Risk Being Addressed**	**Risk Being Addressed**	**Risk Being Addressed**
Area of Assessment:	**Staffing**			
Urgency:	**Serious Consideration**			

Observation/Risk: The simultaneous implementations of the three Early Adopter Counties required sharing the limited resources that (1) are knowledgeable and proficient in Odyssey functionality and (2) have experience with deployment of the system. The result has been significant effort by AOC management and staff to facilitate and complete the readiness activities for the Early Adopter Counties, adequately support Lewis County, and facilitate and complete the readiness activities for the counties in which Odyssey will be implemented in 2016.

Resources will be most heavily allocated across the three Early Adopter Counties in November to provide sufficient ratios of SC-CMS support personnel to county users for the first two weeks of Go-Live. Following Go-Live, support resources will taper off as the county users learn the new system. However, now that the three Early Adopter Counties have been implemented in addition to the Pilot County (Lewis County), resources will be required to provide “production” support to these four counties on an on-going basis while work continues to plan and conduct implementation in other counties in 2016.

Status: The SC-CMS Project is mitigating the risks of constrained resources by:

- Temporarily augmenting resources from other areas of AOC and Tyler to the SC-CMS project and allocating resources across the three Early Adopter Counties for the first two weeks of Go-Live;
- Leveraging business processes and Odyssey configurations from Lewis County for the Early Adopter Counties where possible;
- Preparing “Super Users” in each Early Adopter County to become very proficient in the use of Odyssey so that they can assist other staff during the ramp-up following Go-Live;
- Utilizing “Lessons Learned” from the Lewis County implementation in order to help ensure that it will be unnecessary to repeat “course adjustments” made during the Lewis County effort in the Early Adopter County implementations;
- Scheduling readiness activities to maximize use of limited resources for counties that will Go-Live in 2016;
- Engaging upcoming county staff to assist with readiness activities; and

- Engaging county staff from the four counties where Odyssey has now been implemented to assist with Go-Live support in future county implementations.

The recent announcement of the filling of the Deputy Project Manager position with someone knowledgeable and experienced in AOC's business as well as the Odyssey solution, is a welcome event as the SC-CMS Project Manager was performing this role – in addition to several other roles! – in October. Regardless, the risks of constrained resources remains.

To return to Executive Dashboard, click: #ExecDashboard

Category:	People	Aug 2015	Sept 2015	Oct 2015
Area of Assessment:	Business Processes / System Functionality	Risk Being Addressed	Risk Being Addressed	Risk Being Addressed
Urgency:	Serious Consideration			

Observation/Risk: The resource risk described above under “Staffing” has business process implications as well. Although the effort to review, revise, and document the business processes of the Early Adopter Counties was sufficient for the initial roll-out of SC-CMS, it is anticipated that additional effort will be needed to work with counties, both where Odyssey has already been implemented and those where implementation is planned, to complete the full analysis of the business processes.

Additionally, as the counties where Odyssey has already been implemented become more familiar with the solution in the months following their Go-Live events, modifications to business processes may be desired or required to improve efficiencies of the processes. For example, as the counties come to “trust” the system more, reliance on paper copies and forms may be reduced, along with any associated duplicate data entry.

To return to Executive Dashboard, click: #ExecDashboard

Category:	People	Aug 2015	Sept 2015	Oct 2015
Area of Assessment:	User Support and Operations	No Risk Identified	No Risk Identified	No Risk Identified
Urgency:	N/A			

Observation: As identified in the Staffing area, support of counties where Odyssey has already been implemented, in addition to facilitating the rollout of Odyssey to other counties in the future, is stretching available resources. In some cases, this may result in delays in resolving issues that are occurring in counties where Odyssey is already implemented. Work is underway to develop a plan for the transition of support and maintenance of SC-CMS to a sustainable model and organization within AOC.

To return to Executive Dashboard, click: #ExecDashboard

Category:	People	Aug 2015	Sept 2015	Oct 2015
Area of Assessment:	Contract Management / Deliverables Management	No Risk Identified	No Risk Identified	No Risk Identified
Urgency:	N/A			

Observation: The list and schedule of vendor deliverables are identified in the Tyler contract and are being managed by the project team. Vendor deliverables required for Early Adopter Counties Go-Live events were completed in time for the implementations.

To return to Executive Dashboard, click: #ExecDashboard

Project Management and Sponsorship

		Aug 2015	Sept 2015	Oct 2015
Category:	**Project Management and Sponsorship**	**Risk Being Addressed**	**Risk Being Addressed**	**Risk Being Addressed**
Area of Assessment:	**Schedule**			
Urgency:	**Serious Consideration**			

Observation/Risk: The resource risk described above under “Staffing” has schedule implications as well. As noted above, the SC-CMS Project is mitigating the resource risk through careful scheduling and execution of readiness activities for counties in which Odyssey will be implemented in 2016 while supporting the four counties where Odyssey was implemented in 2015. In some areas, activities are limited to the minimum necessary to continue with the county implementation schedule. For example, business process and configuration work has been limited, and due to the vacancy of the SC-CMS Deputy Project Manager position, some project management activities were not performed to the full extent. Now that the Deputy Project Manager position has been filled, additional focus may be placed on managing the project schedule for future county implementations and support activities for the four counties in which Odyssey has already been implemented.

Although work on project activities related to future county implementations is progressing on schedule, concerns remain with over-allocation of resources and the potential for problems related to quality of deliverables, including the possibility of incomplete deliverables.

To return to Executive Dashboard, click: #ExecDashboard

Category:	Project Management and Sponsorship	Aug 2015	Sept 2015	Oct 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.

To return to Executive Dashboard, click: #ExecDashboard

Category:	Project Management and Sponsorship	Aug 2015	Sept 2015	Oct 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.

Although the decision to include juvenile staff in the implementation has required additional use of scarce project resources, the change was made under scope control. The project was able to absorb the impact of this change.

To return to Executive Dashboard, click: #ExecDashboard

Category:	Project Management and Sponsorship	Aug 2015	Sept 2015	Oct 2015
Area of Assessment:	PMO Processes: Change, Risk, Issue, Quality Management	No Risk Identified	No Risk Identified	No Risk Identified
Urgency:	N/A			

Observation: The project is performing project management and tracking processes at a minimum level. With the filling of the SC-CMS Deputy Project Manager position, additional focus may be placed on the management of risks, issues, changes, and decisions.

To return to Executive Dashboard, click: #ExecDashboard

Category:	Project Management and Sponsorship	Aug 2015	Sept 2015	Oct 2015
Area of Assessment:	Budget	No Risk Identified	No Risk Identified	No Risk Identified
Urgency:	N/A			

Observation: In August, the JISC gave the SC-CMS Steering Committee authority to make decisions on county spending for the three Early Adopter Counties within a $125K budget.

The SC-CMS Project Team has addressed the lack of sufficient project resources in several ways, as noted in the Staffing section of this report.

To return to Executive Dashboard, click: #ExecDashboard

Software

Category:	Software	Aug 2015	Sept 2015	Oct 2015
Area of Assessment:	Software Integrations	Risk Being Addressed	Risk Being Addressed	No Risk Identified
Urgency:	N/A			

Observation/Risk: The risk related to completion of the integration components that synchronize party data between Odyssey and other AOC judicial information systems (JIS) that we have noted for several months has, for the most part, been resolved. Work towards completion and refinement of the integration components and data problems continued up through Early Adopter Go-Live and was successfully implemented in October. Integration with the Early Adopter document management systems and with their local systems was also completed successfully.

To return to Executive Dashboard, click: #ExecDashboard

Category:	Software	Aug 2015	Sept 2015	Oct 2015
Area of Assessment:	Software Development and Configuration	No Risk Identified	No Risk Identified	No Risk Identified
Urgency:	N/A			

Observation: Configuration of Odyssey for the Early Adopter Counties was completed in October for the November Go-Live event. Configuration for future counties will be performed prior to their Go-Live events. It is anticipated that modifications to statewide and local configurations will be made as the counties become more familiar with the new system in the coming months. Significant changes to the configuration will be approved by the CUWG and will be processed through the Change Management process.

To return to Executive Dashboard, click: #ExecDashboard

		Aug 2015	Sept 2015	Oct 2015
Category:	**Software**	**No Risk Identified**	**No Risk Identified**	**No Risk Identified**
Area of Assessment:	**Information Retrieval and Reporting**			
Urgency:	**N/A**			

Observation: Requirements gathering, analysis, and development of SC-CMS reports has been on-going since the early stages of the project. A minimum set of reports was made available for the Pilot and Early Adopter Counties. Additional reports will be developed as needed to fulfill requirements as they are identified for the upcoming and implemented counties.

The Odyssey Portal was implemented for the Pilot and Early Adopter Counties to provide case information access to selected members of the public, including attorneys and title companies. The public will continue to use JIS-Link to access case information for counties where Odyssey has yet to be implemented.

To return to Executive Dashboard, click: #ExecDashboard

Data

		Aug 2015	Sept 2015	Oct 2015
Category:	**Data**	**Risk Being Addressed**	**Risk Being Addressed**	**Risk Being Addressed**
Area of Assessment:	**Data Preparation**			
Urgency:	**Serious Consideration**			

Observation/Risk: 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 the Judicial Information System (JIS) that will be used by counties to clean the data. The preparation of data for conversion is typically a long, tedious activity that should be started as early as possible since the county resources that are allocated to data clean-up also have daily operations responsibilities. If counties do not allocate sufficient resources to data preparation activities, data problems will be transferred to the new system.

Although data preparation activities have been underway for some time, it is likely that some existing data quality problems present in the Early Adopter Counties' data will be transferred to the new system during conversion. Data quality issues may affect the synchronization and replication processes which could indirectly (or directly) impact court operations.

To return to Executive Dashboard, click: #ExecDashboard

		Aug 2015	Sept 2015	Oct 2015
Category:	**Data**	**No Risk Identified**	**No Risk Identified**	**No Risk Identified**
Area of Assessment:	**Data Conversion**			
Urgency:	**N/A**			

Observation: Conversion activities including validation of converted data were completed in October for Early Adopter Counties.

The Project Team continues to work with other counties on conversion readiness activities, including converting documents for incorporating into Odyssey.

To return to Executive Dashboard, click: #ExecDashboard

Infrastructure

		Aug 2015	Sept 2015	Oct 2015
Category:	**Infrastructure**	**No Risk Identified**	**No Risk Identified**	**No Risk Identified**
Area of Assessment:	**Statewide Infrastructure**			
Urgency:	**N/A**			

Observation: The project completed readiness preparations in October with the Early Adopter Counties to ensure sufficient capacity on the state network for the estimated volume of Odyssey and document management system transactions that will occur in the production environment following Go-Live.

To return to Executive Dashboard, click: #ExecDashboard

		Aug 2015	Sept 2015	Oct 2015
Category:	**Infrastructure**	**No Risk Identified**	**No Risk Identified**	**No Risk Identified**
Area of Assessment:	**Local Infrastructure**			
Urgency:	**N/A**			

Observation: Local infrastructure readiness activities were completed in October for Early Adopter Counties.

The SC-CMS project team is working with counties where Odyssey will be implemented in the future to ensure that the local county workstations have been configured correctly, and the county servers and network are appropriately sized to handle the volume at Go-Live. Purchases of additional workstation and server hardware are being made as needed to fulfill infrastructure requirements.

To return to Executive Dashboard, click: #ExecDashboard

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
    - PMO Processes: Change, Risk, Issue, Quality Management
- ***People***
    - Staffing
    - Stakeholder Engagement and Organizational Change Management
    - Business Processes / System Functionality
    - User Support and Operations
    - Contract Management / Deliverables Management
- ***Software***
    - Software Integrations
    - Software Development and Configuration

  - Information Retrieval and Reporting
- ***Data***
  - Data Preparation
  - Data Conversion
- ***Infrastructure***
  - Statewide Infrastructure
  - Local Infrastructure

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.