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

January 31, 2016

Prepared by
Bluecrane, Inc.

bluecrane ®

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Part 1: Executive Dashboard

Introduction

This report provides the January 2016 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

As reflected in the following Executive Dashboard and the detailed report which follows, our primary areas of concern for January continue to be related to the resource constraints that the project is experiencing. The lack of sufficient resources may impact the quality and completeness of project deliverables going forward as well as the ability to resolve county support issues in a timely manner.

As we noted in our December 2015 QA report, the SC-CMS Project Team and other AOC management and staff are making significant efforts to facilitate and complete the implementation readiness activities for upcoming Counties and ***at the same time*** provide adequate support to the counties that have implemented Odyssey. The rollout of upcoming counties and support of counties that have implemented Odyssey requires sharing the limited AOC, Tyler, and county resources that (1) are knowledgeable and proficient in Odyssey functionality and (2) have experience with deployment of the system.

We also noted in December that County support needs will increase over the next several years as Odyssey is implemented in the remaining counties, creating a "bubble" of demand for support resources that should eventually subside as court personnel increase their knowledge and skills in utilization of the system and business processes. If the support "bubble" is not addressed, counties may experience delays in obtaining support from AOC and the quality of the SC-CMS rollout to the remaining counties may be affected as the project team attempts to participate in both rollout and support activities.

AOC is taking a number of actions to mitigate the risks due to constrained resources. We are working with AOC to refine and articulate a strategy for dealing with this risk which is not likely to go away during the remaining course of SC-CMS implementation. During January, *bluecrane* staff met with SC-CMS Project staff in several working sessions that began with brainstorming and then moved into planning for how best to leverage power users, site coordinators, judges, clerks, administrators, and others to help fill some of the resource gaps. The SC-CMS OCM/Training Lead has developed a Stakeholder Engagement Plan that incorporates the outcomes of the January working sessions. She is beginning to review the plan with project leadership. *bluecrane* continues to be involved in these efforts.

Other areas of focus for *bluecrane* in early 2016 include 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	Nov 2015	Dec 2015	Jan 2016	New or Change Since Prior Report	Comments
1. People						
Staffing	**Urgent Consideration**	**Risk Being Addressed**	**Risk**	**Risk**	**No Change in Assessment**	Project staffing continues to be a concern due to the increasing workload of supporting the four counties where Odyssey is now implemented while simultaneously planning and conducting implementation of Odyssey in additional counties in 2016. While the Project has taken a number of actions to mitigate this risk, we are continuing to assess this as a noteworthy risk as alternatives are considered in early 2016 and a definitive strategy is articulated (which may be, of necessity, to keep resources at the current level and lower expectations for the rapid resolution of issues for "implemented counties"). ***For detailed assessment, see:*** #Staffing

Area of Assessment	Urgency	Nov 2015	Dec 2015	Jan 2016	New or Change Since Prior Report	Comments
1. People (continued)						
User Support and Operations	**Urgent Consideration**	**No Risk Identified**	**Risk**	**Risk**	**No Change in Assessment**	As noted above, 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. This has begun to result in delays in resolving issues that are occurring in Odyssey production counties. Although 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, it is likely that a resource deficit will exist during the rollout timeframe. ***For detailed assessment, see:*** #Support

Area of Assessment	Urgency	Nov 2015	Dec 2015	Jan 2016	New or Change Since Prior Report	Comments
1. People (continued)						
Stakeholder Engagement and Organizational Change Management	**Serious Consideration**	**Risk**	**Risk**	**Risk Being Addressed**	**Risk Remains but Considerable Action Taken to Address**	Additional stakeholder engagement and In January, the OCM/Training Lead developed a Stakeholder Engagement Plan and began reviewing the plan with project leadership. ***For detailed assessment, see:*** #OCM
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

Area of Assessment	Urgency	Nov 2015	Dec 2015	Jan 2016	New or Change Since Prior Report	Comments
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. A planning exercise is recommended to assign priorities to the work that must be completed over the next two years and to inform decision-makers on needed allocations of AOC, Tyler, and county resources to planned activities. ***For detailed assessment, see:*** #Schedule

Area of Assessment	Urgency	Nov 2015	Dec 2015	Jan 2016	New or Change Since Prior Report	Comments
3. Software						
Software Integrations	**Very Urgent Consideration**	**No Risk Identified**	**No Risk Identified**	**Risk Being Addressed**	**Risk Level Increased**	A backlog of data problems has developed due to the resource constraints identified in the Staffing area, Modifications to Odyssey will be implemented in February that will prevent the incorrect data entry thus preventing the generation of data problems. ***For detailed assessment, see:*** #Integration
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 by counties prior to their Go-Live. ***For detailed assessment, see:*** #DataPreparation

Part 2: Detailed Assessment Report

People

		Nov 2015	Dec 2015	Jan 2016
Category:	**People**	**Risk Being Addressed**	**Risk**	**Risk**
Area of Assessment:	**Staffing**			
Urgency:	**Urgent Consideration**			

Observation/Risk: There has been significant effort by the SC-CMS Project Team and other AOC management and staff to facilitate and complete the implementation readiness activities for upcoming Counties and ***at the same time*** provide adequate support to the counties that have implemented Odyssey. The rollout of upcoming counties and support of counties that have implemented Odyssey requires sharing the limited AOC, Tyler, and county resources that (1) are knowledgeable and proficient in Odyssey functionality and (2) have experience with deployment of the system.

County support needs will increase over the next several years as Odyssey is implemented in the remaining counties, creating a “bubble” of demand for support resources that should eventually subside as court personnel increase their knowledge and skills in utilization of the system and business processes. If the support “bubble” is not addressed, counties may experience delays in obtaining support from AOC and the quality of the SC-CMS rollout to the remaining counties may be affected as the project team attempts to participate in both rollout and support activities.

Status: Although budget constraints and allocation of resources to other AOC operational areas and initiatives limit the amount of new resources that can be applied to the SC-CMS project, AOC is mitigating the risks of constrained resources by:

- Temporarily allocating staff from other areas of AOC to the SC-CMS project including allocating AOC Help Desk staff;
- Leveraging Tyler resources where possible;
- Leveraging business processes and Odyssey configurations from the implemented counties for the upcoming counties where Odyssey will be implemented;
- Preparing “Power Users” in the counties where Odyssey will be implemented in 2016 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 and Early Adopter County implementations in order to help ensure that it will be unnecessary to repeat “course adjustments” made during those implementations;

- Scheduling readiness activities to maximize use of limited resources for counties where Odyssey will be implemented 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 each other and to help with future county implementations.

To return to Executive Dashboard, click: #ExecDashboard

		Nov 2015	Dec 2015	Jan 2016
Category:	**People**	**No Risk Identified**	**Risk**	**Risk**
Area of Assessment:	**User Support and Operations**			
Urgency:	**Urgent Consideration**			

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. This has begun to result in delays in resolving issues that are occurring in Odyssey production counties. Although 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, it is likely that a resource deficit will exist during the rollout timeframe.

To return to Executive Dashboard, click: #ExecDashboard

Category:	People	Nov 2015	Dec 2015	Jan 2016
Area of Assessment:	Stakeholder Engagement and Organizational Change Management	Risk	Risk	Risk Being Addressed
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. The project team continues to conduct periodic meetings with the counties that have implemented Odyssey to discuss operational issues and activities. The project team also meets with the next several counties who will implement Odyssey. Although these meetings along with periodic Town Hall meetings and training provide information to the counties, the communications and engagement with stakeholders are limited. Additional organizational change management activities would help smooth the transition to the new system and business processes.

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.

Status: The SC-CMS Project Manager and OCM/Training Lead are beginning to allocate more time to strategic planning and engagement activities with stakeholders. In January, the OCM/Training Lead developed a Stakeholder Engagement Plan and began reviewing the plan with project leadership.

To return to Executive Dashboard, click: #ExecDashboard

		Nov 2015	Dec 2015	Jan 2016
Category:	**People**	**Risk Being Addressed**	**Risk Being Addressed**	**Risk Being Addressed**
Area of Assessment:	**Business Processes / System Functionality**			
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

		Nov 2015	Dec 2015	Jan 2016
Category:	**People**	**No Risk Identified**	**No Risk Identified**	**No Risk Identified**
Area of Assessment:	**Contract Management / Deliverables Management**			
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

		Nov 2015	Dec 2015	Jan 2016
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 some project management activities have not been performed to the full extent. 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.

A planning exercise is recommended to assign priorities to the work that must be completed over the next two years and to inform decision-makers on needed allocations of AOC, Tyler, and county resources to planned activities. It may be necessary to decrease the scope of some activities, postpone activities, or eliminate some of them all together. The planning should engage stakeholders from all affected areas of AOC and include stakeholders from both counties where Odyssey has been implemented and those counties where Odyssey has yet to be implemented. After consensus has been reached on allocation of resources, expectations should be set with AOC and county stakeholders on the level of effort allocated to SC-CMS activities.

To return to Executive Dashboard, click: #ExecDashboard

Category:	Project Management and Sponsorship	Nov 2015	Dec 2015	Jan 2016
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	Nov 2015	Dec 2015	Jan 2016
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.

It may be necessary to decrease the scope of some implementation activities to more effectively utilize the limited project resources allocated to the project.

To return to Executive Dashboard, click: #ExecDashboard

		Nov 2015	Dec 2015	Jan 2016
Category:	**Project Management and Sponsorship**	**No Risk Identified**	**No Risk Identified**	**No Risk Identified**
Area of Assessment:	**PMO Processes: Change, Risk, Issue, Quality Management**			
Urgency:	**N/A**			

Observation: The project is performing project management and tracking processes at a minimum level.

To return to Executive Dashboard, click: #ExecDashboard

		Nov 2015	Dec 2015	Jan 2016
Category:	**Project Management and Sponsorship**	**No Risk Identified**	**No Risk Identified**	**No Risk Identified**
Area of Assessment:	**Budget**			
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

		Nov 2015	Dec 2015	Jan 2016
Category:	**Software**	**No Risk Identified**	**No Risk Identified**	**Risk Being Addressed**
Area of Assessment:	**Software Integrations**			
Urgency:	**Very Urgent Consideration**			

Observation/Risk: Although the integration components that synchronize case and party data between Odyssey and other AOC judicial information systems (JIS) are working correctly, data errors are generated if information is not entered in a specific sequence in Odyssey. Due to the resource constraints identified in the Staffing area, a backlog of data problems has developed. Modifications to Odyssey will be implemented in February that will prevent future incorrect data entry, thus preventing the generation of data problems. Work-arounds for viewing data are being communicated to the Odyssey counties.

Additionally, AOC is working with counties and other stakeholders to develop a strategy to determine how best to implement the Odyssey e-Filing functionality.

To return to Executive Dashboard, click: #ExecDashboard

		Nov 2015	Dec 2015	Jan 2016
Category:	**Software**	**No Risk Identified**	**No Risk Identified**	**No Risk Identified**
Area of Assessment:	**Software Development and Configuration**			
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

		Nov 2015	Dec 2015	Jan 2016
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 project is conducting an analysis using Tyler resources to determine which of the legacy system reports that are still required can be replaced by Odyssey standard reports and which will require new reports developed using the Enterprise Custom Reports (ECR) tool.

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

		Nov 2015	Dec 2015	Jan 2016
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. 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

		Nov 2015	Dec 2015	Jan 2016
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

		Nov 2015	Dec 2015	Jan 2016
Category:	**Infrastructure**	**No Risk Identified**	**No Risk Identified**	**No Risk Identified**
Area of Assessment:	**Statewide Infrastructure**			
Urgency:	**N/A**			

Observation: The project continues readiness preparations to ensure sufficient capacity on the state network for the estimated volume of Odyssey and document management system transactions that will occur as counties are migrated into the production environment.

To return to Executive Dashboard, click: #ExecDashboard

		Nov 2015	Dec 2015	Jan 2016
Category:	**Infrastructure**	**No Risk Identified**	**No Risk Identified**	**No Risk Identified**
Area of Assessment:	**Local Infrastructure**			
Urgency:	**N/A**			

Observation: 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.