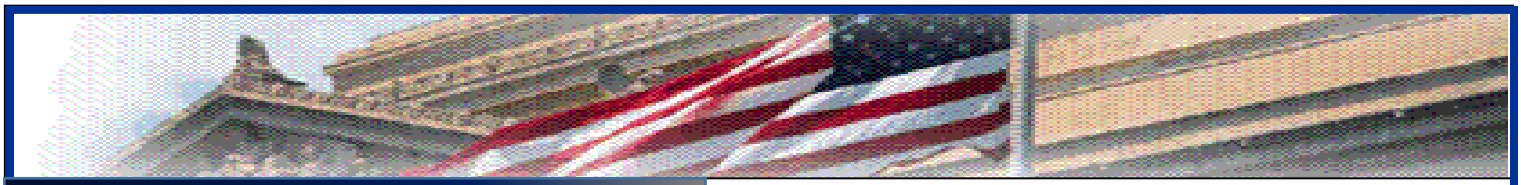

bluecrane

Management Consulting for State and Local Governments

Quality Assurance

Executive Advisement

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)

CLJ-CMS Project

May 31, 2018

Prepared by

Bluecrane, Inc.

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May 31, 2018

Honorable Mary Fairhurst, Chief Justice
Washington Supreme Court

Ms. Callie Dietz
Administrator, Administrative Office of the Courts

Dear Chief Justice Fairhurst and Ms. Dietz:

This report provides the May 2018 quality assurance (QA) assessment by Bluecrane, Inc. ("*bluecrane*") for the State of Washington Administrative Office of the Courts (AOC) Courts of Limited Jurisdiction – Case Management System (CLJ-CMS) Project. As with recent reports, this QA assessment departs from our typical format and provides our suggestions and insights on the current state of the CLJ-CMS Project.

bluecrane's assessment of the CLJ-CMS Project is based on the professional experience and judgment of our expert consulting team. The report was prepared independently of project participants and stakeholders.

Please contact me with any questions or comments.

Sincerely,

Allen Mills

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1. Background

As noted in previous reports, the CLJ-CMS procurement effort resulted in the selection of an Apparently Successful Vendor (ASV) and then proceeded into contract negotiations. During the course of those negotiations (which started in August 2017 and ended in November of the same year), a number of issues arose for which the ASV's positions differed from the State of Washington's positions. Eventually, the ASV's refusal to comply with certain critical State of Washington terms and conditions became irreconcilable. As a result, contract negotiations ended.

In November, the CLJ-CMS Steering Committee decided to re-evaluate the product functionality of Odyssey, the product provided by the second-ranked vendor, Tyler Technologies ("Tyler"). The purpose of the re-evaluation is to: (1) assess the capability of the software to meet AOC and CLJ-CMS requirements, (2) seek answers to a variety of questions, and (3) allow a dialogue between the evaluators and the vendor.

In-person discussions between the CLJ Steering Committee, supporting AOC staff, and Tyler Technologies were conducted at SeaTac on January 23 – 24. Eric Olson of *bluecrane* attended all of the sessions. An Open Discussion without Tyler present was facilitated by Allen Mills of *bluecrane* on the morning of January 25, and the Steering Committee met on the afternoon of January 25.

Following the January meetings at SeaTac, AOC staff conducted additional research on a number of fronts, including obtaining details about the implementation of Odyssey and other CMS products by other district and municipal courts. The team also took the "straw dog" chart of options that we offered in our January QA Assessment and expanded the list of options and considerations.

After careful study and deliberation, the CLJ-CMS Steering Committee made the very difficult decision in February to recommend to the JISC that the CLJ-CMS solicitation should be closed and that the Steering Committee would re-evaluate options for moving forward. From our perspective, the Steering Committee determined that an approach of a "one size fits all" contract would not be satisfactory to all stakeholders. The JISC approved the Steering Committee's recommendation on March 2.

2. Steering Committee Decision to "Reset"

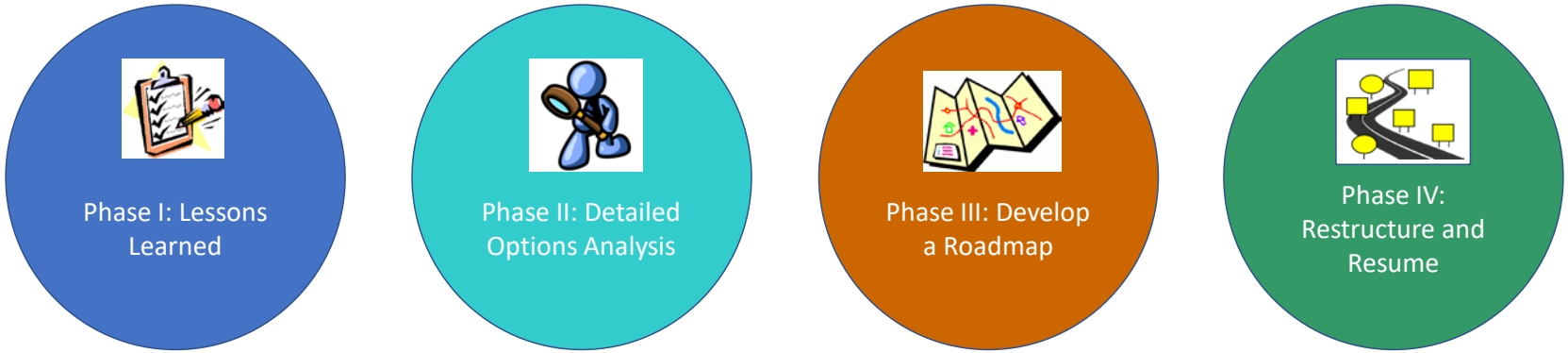
In our February report, we noted that in our advisory roles over the years, we have encountered situations that have not gone as planned and confusion has set-in, at least temporarily. As painful as it feels at first, we have found that a good approach in such situations of uncertainty is to declare an official "pause/reset" period – with a defined plan for how to determine what to do next.

With this in mind, we made a recommendation to the Steering Committee and Sponsors that they declare a "pause/reset" period for CLJ-CMS. At their March meeting, the Steering Committee adopted our recommendation, with the following steps outlined:

- **Phase I: Lessons Learned**
  - Conduct a formal lessons learned process and document in a written report what has been learned by all parties (AOC, Steering Committee, and other involved stakeholders).
- **Phase II: Detailed Options Analysis**
  - Conduct a truly ***facts-based*** analysis of viable options in a consistent, comprehensive, and logical manner.
  - Avoid random analysis and "chasing after squirrels."
  - Answer questions like:
    - What are the options for automation?
    - What are the logical "groupings" of courts?
    - What are the one-time and ongoing costs, and what are the benefits of each option?
    - What are the risks of each option (technical, management, budget, level of CLJ participation, legislative support, and other)?
    - How could each option be procured, rolled-out, and maintained?
    - What would be the impacts to the CLJs? What would be the impacts to AOC?
    - How does the option support the project's goals and objectives?
- **Phase III: Develop a "Roadmap"**
  - Once a solid option analysis is complete, present it to the Steering Committee
  - Select an option
  - Create a "Roadmap" that details the necessary steps to implement the selected option
- **Phase IV: Restructure and Resume**
  - Restructure and resume the CLJ-CMS Project per the Roadmap

As noted above, one of the questions that we encourage AOC and the Steering Committee to address is "what are the logical 'groupings' of courts?" This question arises because several stakeholders have suggested that, because of the diversity of CLJs, it may be wise to categorize participating courts into groups of courts that share similar characteristics. While an approach that involves differing approaches for different groups will be complex (certainly more so than the "one size fits all" approach), it may be reasonable given that needs vary widely among the CLJs.

The diagram on the following page presents our recommendation, as adopted by the Steering Committee, in a one-page graphic.



Phase I: Lessons Learned
- Conduct a formal lessons learned
- Document the lessons learned

Phase II: Detailed Options Analysis
- Conduct a facts-based analysis of viable options
- Avoid random analysis
- Answer questions like:
  - ✓ What are the options for automation?
  - ✓ What the logical "groupings" of courts?
  - ✓ What are the one-time and ongoing costs, and what are the benefits of each option?
  - ✓ What are the risks of each option (technical, management, budget, level of CLJ participation, legislative support, and other)?
  - ✓ How could each option be procured, rolled-out, and maintained?
  - ✓ What would be the impacts to the CLJs? What would be the impacts to AOC?
  - ✓ How does the option support the project's goals and objectives?

Phase III: Develop a Roadmap
- Present options to the Steering Committee
- Select an option
- Create a "Roadmap" that details the necessary steps to implement the selected option

Phase IV: Restructure and Resume
- Restructure and resume the CLJ-CMS Project per the Roadmap

Figure 1. *bluecrane's* Recommend Process to Establish a Go-Forward Plan for CLJ-CMS after Declaring a "Reset"

3. Summary of Progress through May

In the March – April timeframe, the size of the CLJ-CM Project Team was reduced to approximately 4 staff members, including the Project Manager. The reduction in force is unfortunate but not unexpected given the budgetary requirements of maintaining the full team.

At the April 17 Steering Committee, the Project Manager and attending team members reviewed their progress on collecting and documenting lessons learned. Those lessons learned covered numerous areas (such as RFP, requirements, and many others). These are valuable insights that can be implemented at the tactical project level during the next solicitation and associated project activities.

At the same meeting, Allen Mills of *bluecrane* encouraged the Steering Committee to think of lessons learned at a higher level and come together as a group on objectives for the project. Mr. Mills facilitated a four-hour session with the Steering Committee on May 16 create a first-draft of the Committee's project "imperatives," or high-level objectives.

Once finalized and adopted by the Steering Committee, the project imperatives will ***frame the direction*** that the Sponsors and Steering Committee provide to the project team and form the basis for decision-making by the Sponsors and Steering Committee. The draft imperatives are presented in Section 4 of this report.

Prior to adjourning the May 16 meeting, the Steering Committee passed a motion directing AOC to move forward with a solicitation to obtain a neutral, third-party firm to conduct an Options Analysis (Phase II of the Go Forward Plan described in Section 2 of this report). Options to be analyzed include:

- A "best of breed" approach, which means buying separate products (like the best case management system, the best probation system, the best document management system) and integrating them;
- Modernizing JIS/DISCIS, including adding missing functions, such as document management or probation management; and
- A hybrid approach: Modernizing JIS, and linking it with off-the-shelf products for the missing functions like DMS and probation.

An analysis of commercial-off-the-shelf (COTS) products is not included as the Steering Committee believes an adequate analysis exists from (1) the information, experience, and analysis of the CLJ Project to date and (2) a detailed COTS analysis conducted by Gartner, Inc. earlier this year and provided to the CLJ Project by Seattle Municipal Court.

4. Draft CLJ-CMS Imperatives

The following Overarching Guiding Principle and *draft* CLJ-CMS imperatives were developed by the Steering Committee at its May 16 facilitated session. The draft will be reviewed and potentially adopted by the Steering Committee at its June meeting.

CLJ-CMS Overarching Guiding Principle

The CLJ-CMS must provide improved service for the court and probation customers of AOC in a technically sound, secure, accurate, and cost-effective manner.

DRAFT CLJ-CMS Imperatives

The CLJ-CMS must . . .

- **Be flexible, sustainable, and cost-efficient**; CLJ-CMS must:
  - Provide features that advance the business processes of the courts to the desired future state.
  - Be built on a long-term, sustainable application architecture and technology platform.
  - Be configurable within the bounds of best practices and legal requirements to meet the needs of local jurisdictions.
  - Provide the ability to deploy and maintain operations remotely to locations that have little or no IT support staff.
- **Enable and support data access and sharing**; CLJ-CMS must:
  - Provide secure access to data, documents, and solution functionality based on user role.
  - Provide a statewide document management system to enable judicial officers and others with the appropriate permissions to readily view documents from all courts that use the CLJ-CMS.
  - Provide the ability to see a complete Washington State case history in one place.
  - Have comprehensive reporting capabilities for pre-defined and ad hoc reports.
  - Provide for seamless integration and/or data exchanges between court and probation solutions.
  - Provide for data exchanges with external stakeholder systems.
  - Provide the capability to meet record retention requirements, including deletion.
- **Enable efficient and effective court operations and workflow**; CLJ-CMS must:
  - Provide a capability for high-volume transaction processing.
  - Improve efficiency through paperless methods; encourage the use of paperless / electronically generated or filed documents and data management/storage.
  - Provide an electronic filing capability.
  - Provide efficient screen navigation during routine court processes.
  - Provide for the creation of automated forms.
  - Provide workflow capabilities.

  - Allow for opportunities to provide self-service functionality to reduce the workload on the courts.
  - Provide automated notifications of court or probation appearance dates via a variety of media (e.g., email, text messaging, or phone).
- **Address the needs of probation**, including providing a probation risk assessment tool with commonly understood definitions and standards.
- **Provide accessibility** from a wide variety of commonly used mobile devices and operating systems (address mobility factors).
- **Address the needs of state auditors**; CLJ-CMS must have financial management capabilities that satisfy state audit requirements.

5. Summary

bluecrane applauds the CLJ Steering Committee for taking the time to work-through and develop the project imperatives as a group. Once the imperatives are finalized and adopted, we encourage the Steering Committee to (1) review the imperatives regularly to make sure they “hold up” over the evolution of the CLJ-CMS Project and (2) use the imperatives as a “check” for proposed activities, tasks, approaches, and, eventually, proposed solutions, and later, configuration and implementation work. The “check” should ensure that everything undertaken by the CLJ Project adheres to the shared intent, collective vision, and mutually-defined “context” of the imperatives as adopted by the Steering Committee.