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 Assessment

for the

State of Washington

Administrative Office of the Courts (AOC)

CLJ-CMS Project

May 2021

Prepared by

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May 31, 2021

Honorable Barbara Madsen, Justice
Washington Supreme Court

Ms. Dawn Marie Rubio
Administrator, Administrative Office of the Courts

Dear Justice Madsen and Ms. Rubio:

bluecrane has completed its Quality Assurance Assessment of the CLJ-CMS Project for the month of May 2021.

This document is structured as follows:

1. Executive Summary and Assessment Dashboard.
2. A detailed report of our CLJ-CMS assessment as of May month-end.
3. An explanation of our approach for those readers that have not seen one of our assessments previously.

Please contact me with any questions or comments.

Sincerely,

Allen Mills

Table of Contents

Introductory Note on Project Structure ..... **iv**

1. Executive Summary **1**

1.1 Executive Overview 1

1.2 Areas of Assessment 2

1.3 Executive "At-a-Glance" QA Dashboard 4

2. Detailed Assessment Report **8**

2.1 Project Management and Sponsorship 8

2.1.1 Scope: e-Filing 8

2.1.2 Scope: Case Management 9

2.1.3 Scope: Supervision 9

2.1.4 Schedule: e-Filing 10

2.1.5 Schedule: Case Management 11

2.1.6 Schedule: Supervision 11

2.1.7 Budget: Funding 12

2.1.8 Budget: Management of Spending 12

2.1.9 Governance 13

2.1.10 Contracts and Deliverables Management 13

2.1.11 Project Staffing 14

2.1.12 PMO Processes 15

2.2 People 15

2.2.1 Stakeholder Engagement 15

2.2.2 OCM: e-Filing 16

2.2.3 OCM: Case Management 17

2.2.4 OCM: Supervision 17

2.2.5 Communications 17

2.2.6 Court Preparation and Training 18

2.3 Solution 18

2.3.1 Business Process: e-Filing 18

2.3.2 Business Process: Case Management 18

2.3.3 Business Process: Supervision 19
2.3.4 Requirements, Design, and Configuration: e-Filing 19
2.3.5 Requirements, Design, and Configuration: Case Management 19
2.3.6 Requirements, Design, and Configuration: Supervision 20
2.3.7 Integrations: e-Filing 20
2.3.8 Integrations: Case Management 21
2.3.9 Reports: Case Management 22
2.3.10 Reports: Supervision 22
2.3.11 Testing: e-Filing 22
2.3.12 Testing: Case Management 23
2.3.13 Testing: Supervision 23
2.3.14 Deployment: e-Filing 23
2.3.15 Deployment: Case Management 24
2.3.16 Deployment: Supervision 24
2.4 Data 24
2.4.1 Data Preparation: Case Management 24
2.4.2 Data Conversion: Case Management 25
2.4.3 Data Conversion: Supervision 25
2.4.4 Data Security 25
2.5 Infrastructure 26
2.5.1 Infrastructure for Remote Work 26
2.5.2 Statewide Infrastructure 26
2.5.3 Local Infrastructure 27
2.5.4 Security Functionality 27
2.5.5 Access 28
2.5.6 Environments 28
2.5.7 Post-Implementation Support 28
Appendix: Overview of *bluecrane* Risk Assessment Approach 29

Table of Figures

Figure 1. Areas of CLJ-CMS Project Assessed for Risks 3

Table of Tables

Table 1. Summary Dashboard of QA Assessment Results 4
Table 3. bluecrane's Risk Assessment Categorization 29

Introductory Note on Project Structure

The Courts of Limited Jurisdiction – Case Management System (CLJ-CMS) Project consists of three primary areas of activity, namely:

- e-Filing
- Supervision
- Case Management

These three high-level "workstreams" or "sub-projects" ultimately combine to deliver an integrated solution for participating district and municipal courts (and some other entities such as violations bureaus). However, work in each sub-project is being planned and conducted as a separate activity with a keen awareness of interdependencies and the interrelationships that will eventually come into play. For these reasons, much of our risk analysis will assess the three sub-projects individually. For consistency in terminology, we will reserve the term "CLJ-CMS" to refer to the three combined sub-projects and use the terms "e-Filing," "Supervision," and "Case Management" to refer to the individual efforts.

1. Executive Summary

1.1 Executive Overview

In May, our risk assessment found that the CLJ-CMS Project is working to make progress while addressing a number of obstacles to keeping on the planned timeline. In our assessment, ***the highest priority risks for the Project leadership, sponsors, and Steering Committee at this time*** are the following:

- **Questions and concerns** continue to be raised by judges, court managers, and attorneys **about e-Filing fees, mandatory e-Filing rules, and implementation schedules.** In an effort to keep the project on-schedule, the CLJ-CMS Project Team and Project Steering Committee continue to gather information, meet regularly, analyze the issues, and respond to the concerns. In the meantime:
  - ✓ Courts have been advised of the rapidly approaching deadline to post their proposed local rules for comment.
  - ✓ The project team, AOC staff, members of the JISC, and members of the Attorney General's Office are reviewing a variety of challenges to the proposed rules and e-Filing processes.
  - ✓ The project team is reaching out to courts to assist in their implementation processes.
- **Completing the integration required for e-Filing and obtaining Tyler "certification"** of the integration prior to the pilot courts going live with e-Filing. The certification was originally scheduled for May 10. The certification has now been pushed to June 18 with pilot court "Go-Live" now scheduled for June 21.
- Although Tyler is beginning to "catch-up" on its late deliverables, the **quality of the deliverables** is an issue. AOC has returned a number of deliverables for Tyler to address deficiencies identified by the project team.
- While progress has been made to rectify the deficiencies in the completeness of tasks and activities in the integrated schedule as originally delivered by Tyler, associated **resources are not identified in the schedule** as of yet. This portends likely over-allocation of available resources, which the Project Manager will need to monitor carefully.

1.2 Areas of Assessment

To determine the areas of highest priority risks for leadership as well as to identify risks that should be addressed at lower levels of the project, we have focused on 45 areas of assessment as depicted in Figure 1. We have grouped the areas into our familiar categories of :

- **Project Management and Sponsorship**
- **People**
- **Solution**
- **Data**
- **Infrastructure**

In keeping with our dislike of “cookie cutter” approaches, we tailored the specific areas of assessment for relevance and importance to CLJ-CMS *at this stage of its program lifecycle*. Some of the areas noted in the diagram have been assessed at a relatively detailed level, while others are so early in their lifecycle that a more thorough assessment will come later.

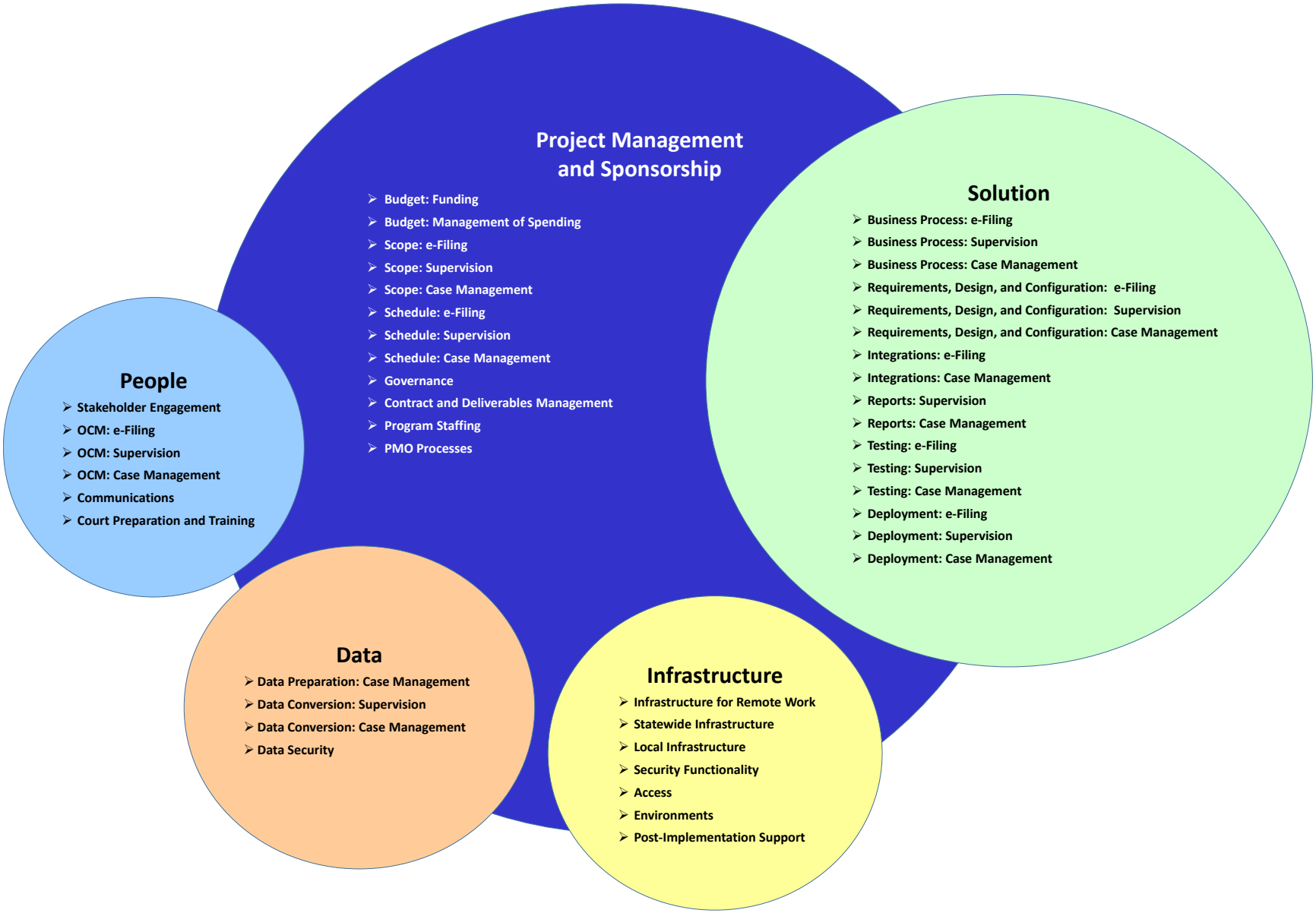

Figure 1. Areas of CLJ-CMS Project Assessed for Risks

1.3 Executive "At-a-Glance" QA Dashboard

The following table provides a summary of our risk assessment ratings for this month and the previous two months. Detailed findings, risk explanations, and recommendations for risk response are provided in Section 2 of this report. As a reminder to the reader, "blue" items indicate areas of ongoing risk; however, the mitigation and other response activities of the Program for blue items are assessed as adequate for the current review period.

Table 1. Summary Dashboard of QA Assessment Results

Project Management and Sponsorship			
Assessment Area	**May 2021**	**April 2021**	**March 2021**
Scope: e-Filing	Risk	Risk	Risk
Scope: Case Management	No Risk Identified	No Risk Identified	No Risk Identified
Scope: Supervision	No Risk Identified	No Risk Identified	No Risk Identified
Schedule: e-Filing	Risk Being Managed	Risk Being Managed	Risk *(risk increasing)*
Schedule: Case Management	Risk Being Managed	Risk Being Managed	Risk *(risk increasing)*
Schedule: Supervision	Risk Being Managed	Risk Being Managed	Risk *(risk increasing)*
Budget: Funding	No Risk Identified	No Risk Identified	No Risk Identified
Budget: Management of Spending	No Risk Identified	No Risk Identified	No Risk Identified
Governance	No Risk Identified	No Risk Identified	No Risk Identified
Contract and Deliverables Management	Risk Being Managed	Risk Being Managed	Risk *(risk increasing)*
Project Staffing	Risk Being Managed	Risk Being Managed	Risk Being Managed

Project Management and Sponsorship			
Assessment Area	**May 2021**	**April 2021**	**March 2021**
PMO Processes	No Risk Identified	No Risk Identified	No Risk Identified

People			
Assessment Area	**May 2021**	**April 2021**	**March 2021**
Stakeholder Engagement	No Risk Identified	No Risk Identified	No Risk Identified
OCM: e-Filing	Risk	Risk	Risk *(risk increasing)*
OCM: Case Management	No Risk Identified	No Risk Identified	No Risk Identified
OCM: Supervision	No Risk Identified	No Risk Identified	No Risk Identified
Communications	No Risk Identified	No Risk Identified	No Risk Identified
Court Preparation and Training	No Risk Identified	No Risk Identified	No Risk Identified

Solution			
Assessment Area	**May 2021**	**April 2021**	**March 2021**
Business Process: e-Filing	No Risk Identified	No Risk Identified	No Risk Identified
Business Process: Case Management	No Risk Identified	No Risk Identified	No Risk Identified

Solution			
Assessment Area	**May 2021**	**April 2021**	**March 2021**
Business Process: Supervision	No Risk Identified	No Risk Identified	No Risk Identified
Requirements, Design, and Configuration: e-Filing	No Risk Identified	No Risk Identified	No Risk Identified
Requirements, Design, and Configuration: Case Management	No Risk Identified	No Risk Identified	No Risk Identified
Requirements, Design, and Configuration: Supervision	No Risk Identified	No Risk Identified	No Risk Identified
Integrations: e-Filing	Risk Being Managed	Risk Being Managed	No Risk Identified
Integrations: Case Management	Risk Being Managed	Risk Being Managed	Risk
Reports: Case Management	No Risk Identified	No Risk Identified	No Risk Identified
Reports: Supervision	No Risk Identified	No Risk Identified	No Risk Identified
Testing: e-Filing	No Risk Identified	No Risk Identified	Not Started
Testing: Case Management	No Risk Identified	No Risk Identified	Not Started
Testing: Supervision	No Risk Identified	No Risk Identified	Not Started
Deployment: e-Filing	No Risk Identified	No Risk Identified	No Risk Identified
Deployment: Case Management	No Risk Identified	No Risk Identified	No Risk Identified
Deployment: Supervision	No Risk Identified	No Risk Identified	No Risk Identified

Data			
Assessment Area	**May 2021**	**April 2021**	**March 2021**
Data Preparation: Case Management	No Risk Identified	No Risk Identified	No Risk Identified
Data Conversion: Case Management	Not Started	Not Started	Not Started
Data Conversion: Supervision	No Risk Identified	No Risk Identified	No Risk Identified
Data Security	No Risk Identified	No Risk Identified	No Risk Identified

Infrastructure			
Assessment Area	**May 2021**	**April 2021**	**March 2021**
Infrastructure for Remote Work	Risk Being Addressed	Risk Being Addressed	Risk Being Addressed
Statewide Infrastructure	No Risk Identified	No Risk Identified	No Risk Identified
Local Infrastructure	No Risk Identified	No Risk Identified	No Risk Identified
Security Functionality	No Risk Identified	No Risk Identified	No Risk Identified
Access	No Risk Identified	No Risk Identified	No Risk Identified
Environments	No Risk Identified	No Risk Identified	Risk
Post-Implementation Support	No Risk Identified	No Risk Identified	No Risk Identified

2. Detailed Assessment Report

2.1 Project Management and Sponsorship

2.1.1 Scope: e-Filing

Project Management and Sponsorship			
Scope: e-Filing	Three-Month Rolling Risk Levels		
	May 2021	Apr 2021	Mar 2021
	Risk	Risk	Risk

Findings

The scope of the e-Filing activity is defined in the Tyler Statement of Work (SOW) and anticipates that e-Filing will be implemented in all CLJ courts within calendar year 2021, prior to the roll-out of supervision and case management.

Some courts are questioning the “mandate” for e-Filing. In particular, courts that will be implementing case management toward the latter periods of the five-year project are questioning the need for an “interim” solution.

In May, questions and concerns continued to be raised by judges, court managers, and attorneys about e-Filing fees, mandatory e-Filing rules, and implementation schedules. In an effort to keep the project on-schedule, the CLJ-CMS Project Team and Project Steering Committee continued to gather information, meet regularly, analyze the issues, and respond to the concerns. In the meantime:

- Courts have been advised of the rapidly approaching deadline to post their proposed local rules for comment.
- The project team, AOC staff, members of the JISC, and members of the Attorney General’s Office are reviewing a variety of challenges to the proposed rules and e-Filing processes.
- The project team is reaching out to courts to assist in their implementation processes.

Risks and Issues

If some courts delay their implementation of e-Filing, then the original scope of the effort to implement e-Filing first in all CLJ-CMS courts may be in jeopardy.

***bluecrane* Endorsement of Current Mitigation Activities**

To maintain the originally planned scope of e-Filing and to keep the project on schedule, the CLJ-CMS Project Team and Project Steering Committee should continue their excellent efforts to gather information, meet regularly, analyze the issues, and respond to the concerns as quickly as practical.

2.1.2 Scope: Case Management

Project Management and Sponsorship			
Scope: Case Management	Three-Month Rolling Risk Levels		
	May 2021	Apr 2021	Mar 2021
	No Risk Identified	No Risk Identified	No Risk Identified

Findings

The scope of the CLJ-CMS Project is established in the deliverables defined in the SOW in the Tyler contract. AOC, the CUWG, and Tyler continue to validate requirements and to identify any requirements that require custom development by Tyler. Scope will be managed through the Requirements Traceability Matrix, system vendor contract deliverables, and the Project Change Management process.

2.1.3 Scope: Supervision

Project Management and Sponsorship			
Scope: Supervision	Three-Month Rolling Risk Levels		
	May 2021	Apr 2021	Mar 2021
	No Risk Identified	No Risk Identified	No Risk Identified

Findings

The scope of the supervision activity is defined in the Tyler SOW. A fit-gap analysis was conducted in early January by AOC, the CUWG, and Tyler to validate requirements and to identify any requirements that require custom development by Tyler. Scope will be managed through the Requirements Traceability Matrix, system vendor contract deliverables, and the Project Change Management process.

2.1.4 Schedule: e-Filing

Project Management and Sponsorship			
Schedule: e-Filing	Three-Month Rolling Risk Levels		
	May 2021	Apr 2021	Mar 2021
	Risk Being Addressed	Risk Being Addressed	Risk *(risk increasing)*

Findings

While progress has been made to rectify the deficiencies in the completeness of tasks and activities in the integrated schedule as originally delivered by Tyler, associated **resources are not identified in the schedule** as of yet. This portends likely over-allocation of available resources, which the Project Manager will need to monitor carefully.

The questions and concerns being raised by judges, court managers, and attorneys about e-Filing fees, mandatory e-Filing rules, and implementation schedules (noted above under "Scope: e-Filing") have the potential to impact the e-Filing schedule. At the present time, the Go-Live for the e-Filing pilot courts has been pushed to June 21 (for reasons related to the required integration, discussed later in this report). Other than the delay for pilot courts, there have been no changes to the implementation dates for other groups of courts.

Risks and Issues

- **Risk 1:** If the questions and concerns related to e-Filing are not resolved in a timely manner, the e-Filing sub-project timeline is at risk.
- **Risk 2:** If resources are not associated with specific tasks and activities in the integrated schedule, there is a likelihood of over-allocation of available resources, eventually leading to staff burn-off, or worse, staff departures.

bluecrane Endorsement of Current Mitigation Activities

To maintain the originally planned scope of e-Filing and to keep the project on schedule, the CLJ-CMS Project Team and Project Steering Committee should continue their excellent efforts to gather information, meet regularly, analyze the issues, and respond to the concerns as quickly as practical.

bluecrane Recommendation

AOC should collaborate with Tyler to assign resources to tasks and activities in the schedule in order to monitor resource allocation and ensure that the level of planned resources is adequate for the anticipated work.

2.1.5 Schedule: Case Management

Project Management and Sponsorship			
Schedule: Case Management	Three-Month Rolling Risk Levels		
	May 2021	Apr 2021	Mar 2021
	Risk Being Addressed	Risk Being Addressed	Risk *(risk increasing)*

Findings

As noted under "Schedule: e-Filing" above, while progress has been made to rectify the deficiencies in the completeness of tasks and activities in the integrated schedule as originally delivered by Tyler, associated **resources are not identified in the schedule** as of yet. This portends likely over-allocation of available resources, which the Project Manager will need to monitor carefully.

Risks and Issues

If resources are not associated with specific tasks and activities in the integrated schedule, there is a likelihood of over-allocation of available resources, eventually leading to staff burn-off, or worse, staff departures.

***bluecrane* Recommendation**

AOC should collaborate with Tyler to assign resources to tasks and activities in the schedule in order to monitor resource allocation and ensure that the level of planned resources is adequate for the anticipated work.

2.1.6 Schedule: Supervision

Project Management and Sponsorship			
Schedule: Supervision	Three-Month Rolling Risk Levels		
	May 2021	Apr 2021	Mar 2021
	Risk Being Addressed	Risk Being Addressed	Risk *(risk increasing)*

Findings

As noted under "Schedule: e-Filing" above, while progress has been made to rectify the deficiencies in the completeness of tasks and activities in the integrated schedule as originally delivered by Tyler, associated **resources are not identified in the schedule** as of yet. This portends likely over-allocation of available resources, which the Project Manager will need to monitor carefully.

Risks and Issues

If resources are not associated with specific tasks and activities in the integrated schedule, there is a likelihood of over-allocation of available resources, eventually leading to staff burn-off, or worse, staff departures.

bluecrane Recommendation

AOC should collaborate with Tyler to assign resources to tasks and activities in the schedule in order to monitor resource allocation and ensure that the level of planned resources is adequate for the anticipated work.

2.1.7 Budget: Funding

Project Management and Sponsorship			
Budget: Funding	Three-Month Rolling Risk Levels		
	May 2021	Apr 2021	Mar 2021
	No Risk Identified	No Risk Identified	No Risk Identified

Findings

Funding allocated to the project is consistent with the approved plan.

2.1.8 Budget: Management of Spending

Project Management and Sponsorship			
Budget: Management of Spending	Three-Month Rolling Risk Levels		
	May 2021	Apr 2021	Mar 2021
	No Risk Identified	No Risk Identified	No Risk Identified

Findings

The project is being managed within the approved budget.

2.1.9 Governance

Project Management and Sponsorship			
Governance	Three-Month Rolling Risk Levels		
	May 2021	Apr 2021	Mar 2021
	No Risk Identified	No Risk Identified	No Risk Identified

Findings

The implementation of the CLJ-CMS project involves and impacts many stakeholders at the courts, AOC, and other state agencies. The complexity of the diverse stakeholder community is a challenge to the efficient and effective decision-making that will be needed to keep the project progressing successfully through the implementation.

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

Business functionality governance is achieved through the Court User Workgroup (CUWG).

2.1.10 Contracts and Deliverables Management

Project Management and Sponsorship			
Contract and Deliverables Management	Three-Month Rolling Risk Levels		
	May 2021	Apr 2021	Mar 2021
	Risk Being Addressed	Risk Being Addressed	Risk *(risk increasing)*

Findings

The “process” of deliverables management by the AOC contracts staff is appropriate and sufficient. AOC staff are doing a diligent job of managing the Tyler contract, including addressing the current situation with late deliverables. In addition, the project team is reviewing the contents of deliverables for compliance and quality.

However, notwithstanding the adequacy of the process, Tyler has consistently failed to meet deliverable due dates. The list of late deliverables quickly accumulated in March of this year. Although Tyler is beginning to “catch-up” on its late deliverables, the **quality of the deliverables** is an issue. AOC has returned a number of deliverables for Tyler to address deficiencies identified by the project team.

Risks and Issues

If the quality of Tyler deliverables does not improve quickly, then the overall project timeline is at-risk due to re-work and multiple reviews of deliverables.

bluecrane Endorsement of Current Mitigation Activities

AOC and the project team should continue to insist on high-quality deliverables and monitor the time it takes to remediate inadequate quality for any impacts to the overall project schedule.

2.1.11 Project Staffing

Project Management and Sponsorship			
Project Staffing	Three-Month Rolling Risk Levels		
	May 2021	Apr 2021	Mar 2021
	Risk Being Addressed	Risk Being Addressed	Risk Being Addressed

Findings

Staffing has been going well, despite the challenges posed by the current remote work environment. In fact, significant progress was made in May with a Deputy Project Manager and a Communications Lead joining the project team.

Risks and Issues

If the challenges to recruiting and hiring in the COVID-19 remote work environment delay critical hires for the project team, then AOC may need to fill some positions with contractors (at least temporarily) or risk delays in the project's timeline.

bluecrane Endorsement of Current Mitigation Activities

The project team should continue to manage through the recruiting and hiring challenges.

bluecrane Recommendation

If specific positions pose hurdles, escalate the need to utilize contractors for those positions (at least temporarily) to AOC management as early as practical—and before the staff openings jeopardize the project's timeline.

2.1.12 PMO Processes

Project Management and Sponsorship			
PMO Processes	Three-Month Rolling Risk Levels		
	May 2021	Apr 2021	Mar 2021
	No Risk Identified	No Risk Identified	No Risk Identified

Findings

The project team is establishing processes, consistent with industry "best practices," to manage and track the project. Project communications are occurring at regularly scheduled project team, sponsor, and steering committee meetings.

2.2 People

2.2.1 Stakeholder Engagement

People			
Stakeholder Engagement	Three-Month Rolling Risk Levels		
	May 2021	Apr 2021	Mar 2021
	No Risk Identified	No Risk Identified	No Risk Identified

Findings

The OCM and Communications Lead for the CLJ-CMS Project, CLJ-CMS Business Liaison, and AOC leadership team are doing an admirable and diligent job of reaching out to and engaging with the diverse CLJ stakeholder community.

As noted under "Scope: e-Filing," some courts are questioning the "mandate" for e-Filing. In particular, courts that will be implementing case management toward the latter periods of the five-year project are questioning the need for an "interim" solution. This situation creates challenges for Stakeholder Engagement but, for now, we view the risk as primarily related to the scope of the e-Filing effort.

2.2.2 OCM: e-Filing

People			
OCM: e-Filing	Three-Month Rolling Risk Levels		
	May 2021	Apr 2021	Mar 2021
	Risk	**Risk**	**Risk *(risk increasing)***

Findings

OCM is vital to addressing the scope risk related to e-Filing raised earlier in this report. OCM activities in this area are numerous, professional, and clear. Despite the admirable efforts, the court community is "pushing back" on:

- Costs and mandatory aspects of fees
- Timing, especially among courts that may be five years away from the implementation of case management with Odyssey
- Nature of the mandate for e-Filing (i.e., can a court "opt-out" or not?)
- Other aspects of e-Filing

Risks and Issues

If some courts delay their implementation of e-Filing, then the original scope of the effort to implement e-Filing first in all CLJ-CMS courts may be in jeopardy.

***bluecrane* Endorsement of Current Mitigation Activities**

To maintain the originally planned scope of e-Filing and to keep the project on-schedule, OCM activities should continue to focus on supporting the CLJ-CMS Project Team and Project Steering Committee in their efforts to gather information, meet regularly, analyze the issues, and respond to concerns as quickly as practical.

2.2.3 OCM: Case Management

People			
OCM: Case Management	Three-Month Rolling Risk Levels		
	May 2021	Apr 2021	Mar 2021
	No Risk Identified	No Risk Identified	No Risk Identified

Findings

OCM activities in this area are numerous, professional, and clear.

2.2.4 OCM: Supervision

People			
OCM: Supervision	Three-Month Rolling Risk Levels		
	May 2021	Apr 2021	Mar 2021
	No Risk Identified	No Risk Identified	No Risk Identified

Findings

OCM activities in this area are numerous, professional, and clear.

2.2.5 Communications

People			
Communications	Three-Month Rolling Risk Levels		
	May 2021	Apr 2021	Mar 2021
	No Risk Identified	No Risk Identified	No Risk Identified

Findings

The OCM and Communications Lead for the CLJ-CMS Project, CLJ-CMS Business Liaison, and AOC leadership team are doing an admirable and diligent job of reaching out to and engaging with the diverse CLJ stakeholder community. Communications is an area of particular focus for the project Steering Committee.

2.2.6 Court Preparation and Training

People			
Communications	Three-Month Rolling Risk Levels		
	May 2021	Apr 2021	Mar 2021
	No Risk Identified	No Risk Identified	No Risk Identified

Findings

The current focus is on the e-Filing pilot courts which will go live in June.

2.3 Solution

2.3.1 Business Process: e-Filing

Solution			
Business Process: e-Filing	Three-Month Rolling Risk Levels		
	May 2021	Apr 2021	Mar 2021
	No Risk Identified	No Risk Identified	No Risk Identified

Findings

The business processes for e-Filing are minimal and relatively procedural in nature.

2.3.2 Business Process: Case Management

Solution			
Business Process: Case Management	Three-Month Rolling Risk Levels		
	May 2021	Apr 2021	Mar 2021
	No Risk Identified	No Risk Identified	No Risk Identified

Findings

The business processes for case management are documented. The project is making any changes that are needed as a result of the CUWG's ongoing review of requirements.

2.3.3 Business Process: Supervision

Solution			
Business Process: Supervision	Three-Month Rolling Risk Levels		
	May 2021	Apr 2021	Mar 2021
	No Risk Identified	No Risk Identified	No Risk Identified

Findings

The business processes for supervision are documented. The project is making any changes that are needed as a result of the CUWG's ongoing review of requirements.

2.3.4 Requirements, Design, and Configuration: e-Filing

Solution			
Requirements, Design, and Configuration: e-Filing	Three-Month Rolling Risk Levels		
	May 2021	Apr 2021	Mar 2021
	No Risk Identified	No Risk Identified	No Risk Identified

Findings

Requirements for e-Filing are minimal and relatively procedural in nature.

2.3.5 Requirements, Design, and Configuration: Case Management

Solution			
Requirements, Design, and Configuration: Case Management	Three-Month Rolling Risk Levels		
	May 2021	Apr 2021	Mar 2021
	No Risk Identified	No Risk Identified	No Risk Identified

Findings

The CUWG conducted a fit-gap analysis with Tyler. Fifty-six requirements will need custom development by Tyler. The effort is estimated to be within the hours bid by Tyler for custom development work.

2.3.6 Requirements, Design, and Configuration: Supervision

Solution			
Requirements, Design, and Configuration: Supervision	Three-Month Rolling Risk Levels		
	May 2021	Apr 2021	Mar 2021
	No Risk Identified	No Risk Identified	No Risk Identified

Findings

Supervision requirements are included in the requirements reviews being conducted over time by the CUWG.

2.3.7 Integrations: e-Filing

Solution			
Integrations: e-Filing	Three-Month Rolling Risk Levels		
	May 2021	Apr 2021	Mar 2021
	Risk Being Addressed	Risk Being Addressed	No Risk Identified

Findings

e-Filing requires a single integration which was originally scheduled to be completed and “certified” by Tyler on May 10. The certification has now been pushed to June 18 with pilot court “Go-Live” now scheduled for June 21. The integration is required so that data can be shared between Tyler’s Odyssey File and Serve service for e-Filing and AOC legacy systems that courts will continue using until the Odyssey Case Management product for CLJ-CMS is installed and operational.

Risks and Issues

If the required integration is not completed and certified by Tyler by June 18, then the pilot courts go-live date of June 21 is at-risk.

***bluecrane* Endorsement of Current Mitigation Activities**

The AOC project team should continue its daily check-points on this effort to help ensure that the June 18 deadline is met.

2.3.8 Integrations: Case Management

Solution			
Integrations: e-Filing	Three-Month Rolling Risk Levels		
	May 2021	Apr 2021	Mar 2021
	Risk Being Addressed	Risk Being Addressed	Risk

Findings

On June 5, 2020, the AOC Architecture Review Board (ARB) made the decision to utilize a "middleware" approach to CLJ-CMS integrations rather than a "point-to-point" approach. Generally speaking, a middleware approach should be an efficient and effective approach since a point-to-point approach, while simple in nature, requires a software development effort for each integration and a middleware approach does not.

The issue is complicated by the fact that AOC's current middleware solution is a version of the product Biztalk that will be out-of-support *during the CLJ-CMS Project.* AOC is currently considering whether to move to a newer version of Biztalk or to move to a more modern platform such as Amazon Web Services (AWS) or Microsoft's Azure solution. Moving to a new, modern middleware platform would require expertise that AOC does not currently possess.

Discussions related to the technical approach continue. While there are differences of opinion on a preferred approach, timing and budget may dictate the solution. At the present time, the risk is manageable

Risks and Issues

If the integration approach for CLJ-CMS changes during the project, there will be a need for re-work of the integrations done prior to the change.

***bluecrane* Recommendation**

AOC should determine a single consistent approach for integrations on all aspects of the CLJ-CMS Project.

2.3.9 Reports: Case Management

Solution			
Reports: Case Management	Three-Month Rolling Risk Levels		
	May 2021	Apr 2021	Mar 2021
	No Risk Identified	No Risk Identified	No Risk Identified

Findings

Case management reports are defined in the CLJ-CMS requirements.

2.3.10 Reports: Supervision

Solution			
Reports: Supervision	Three-Month Rolling Risk Levels		
	May 2021	Apr 2021	Mar 2021
	No Risk Identified	No Risk Identified	No Risk Identified

Findings

Supervision reports are defined in the CLJ-CMS requirements.

2.3.11 Testing: e-Filing

Solution			
Testing: e-Filing	Three-Month Rolling Risk Levels		
	May 2021	Apr 2021	Mar 2021
	No Risk Identified	No Risk Identified	Not Started

Findings

Planning for e-Filing testing is underway.

2.3.12 Testing: Case Management

Solution			
Testing: Case Management	Three-Month Rolling Risk Levels		
	May 2021	Apr 2021	Mar 2021
	No Risk Identified	No Risk Identified	Not Started

Findings

Planning for Case Management testing is underway.

2.3.13 Testing: Supervision

Solution			
Testing: Supervision	Three-Month Rolling Risk Levels		
	May 2021	Apr 2021	Mar 2021
	No Risk Identified	No Risk Identified	Not Started

Findings

Planning for Supervision testing is underway.

2.3.14 Deployment: e-Filing

Solution			
Deployment: e-Filing	Three-Month Rolling Risk Levels		
	May 2021	Apr 2021	Mar 2021
	No Risk Identified	No Risk Identified	No Risk Identified

Findings

After the pilot court implementations, e-Filing deployment will follow the same regional rollout plan as the one that will be utilized for case management and supervision.

2.3.15 Deployment: Case Management

Solution			
Deployment: Case Management	Three-Month Rolling Risk Levels		
	May 2021	Apr 2021	Mar 2021
	No Risk Identified	No Risk Identified	No Risk Identified

Findings

The CLJ-CMS Steering Committee has approved a regional rollout plan for case management and supervision.

2.3.16 Deployment: Supervision

Solution			
Deployment: Supervision	Three-Month Rolling Risk Levels		
	May 2021	Apr 2021	Mar 2021
	No Risk Identified	No Risk Identified	No Risk Identified

Findings

The CLJ-CMS Steering Committee has approved a regional rollout plan for case management and supervision.

2.4 Data

2.4.1 Data Preparation: Case Management

Data			
Data Preparation: Case Management	Three-Month Rolling Risk Levels		
	May 2021	Apr 2021	Mar 2021
	No Risk Identified	No Risk Identified	No Risk Identified

Findings

Business Analysts (BAs) on the CLJ-CMS Project team are sending reports to courts on a fairly regular basis, with requests that the courts review their data and clean it up as they are able. When the project's conversion begins, project technical staff will review data that is being converted and do additional clean-up at that time.

2.4.2 Data Conversion: Case Management

Data			
Data Conversion: Case Management	Three-Month Rolling Risk Levels		
	May 2021	Apr 2021	Mar 2021
	Not Started	Not Started	Not Started

Findings

As noted above, data clean-up activities are underway, prior to conversion.

2.4.3 Data Conversion: Supervision

Data			
Data Conversion: Supervision	Three-Month Rolling Risk Levels		
	May 2021	Apr 2021	Mar 2021
	No Risk Identified	No Risk Identified	No Risk Identified

Findings

Thirteen courts are currently on the CaseLoad Pro probation system, 39 courts have “homegrown” solutions, and some number of courts are on Tyler’s supervision solution already. The data conversion plan for supervision is to ***not*** convert data from non-Tyler solutions. For the courts using Tyler’s supervision solution currently, their data is already housed at Tyler and will be transferred to the new CLJ-CMS supervision solution.

2.4.4 Data Security

Data			
Data Security	Three-Month Rolling Risk Levels		
	May 2021	Apr 2021	Mar 2021
	No Risk Identified	No Risk Identified	No Risk Identified

Findings

The CLJ-CMS Project Technical Lead is meeting with AOC security staff on a monthly basis and validating the CLJ-CMS solution’s security. In addition, he is currently working on a “Threat Model” which will be reviewed by AOC for approval prior to go-live.

2.5 Infrastructure

2.5.1 Infrastructure for Remote Work

Infrastructure			
Infrastructure for Remote Work	Three-Month Rolling Risk Levels		
	May 2021	Apr 2021	Mar 2021
	Risk Being Addressed	Risk Being Addressed	Risk Being Addressed

Findings

The CLJ-CMS Project has adapted well to the remote work environment implemented in response to the COVID-19 pandemic. While there are intermittent issues with bandwidth to/from certain geographic areas, the team has managed to move forward with project activities.

2.5.2 Statewide Infrastructure

Infrastructure			
Statewide Infrastructure	Three-Month Rolling Risk Levels		
	May 2021	Apr 2021	Mar 2021
	No Risk Identified	No Risk Identified	No Risk Identified

Findings

Because e-Filing and supervision will be delivered via a “Software-as-a-Service” (SaaS) approach, those applications will be accessible through an internet browser, requiring little technical infrastructure. The case management solution will require personal computers (desktops and laptops) and networking bandwidth adequate to support the application.

2.5.3 Local Infrastructure

Infrastructure			
Local Infrastructure	Three-Month Rolling Risk Levels		
	May 2021	Apr 2021	Mar 2021
	No Risk Identified	No Risk Identified	No Risk Identified

Findings

As noted above, the case management solution will require personal computers (desktops and laptops) and networking bandwidth adequate to support the application. The CLJ-CMS Project Manager has a list of technical infrastructure requirements that she will be sending out to the court community. In addition, she is starting conversations with AOC leadership regarding courts that have limited resources.

2.5.4 Security Functionality

Infrastructure			
Security Functionality	Three-Month Rolling Risk Levels		
	May 2021	Apr 2021	Mar 2021
	No Risk Identified	No Risk Identified	No Risk Identified

Findings

The security functionality of Odyssey has been approved previously by AOC for the Superior Court – Case Management System (SC-CMS).

As noted above under Data Security, the CLJ-CMS Project Technical Lead is meeting with AOC security staff on a monthly basis and validating the CLJ-CMS solution's security. In addition, he is currently working on a "Threat Model" which will be reviewed by AOC for approval prior to go-live.

2.5.5 Access

Infrastructure			
Access	Three-Month Rolling Risk Levels		
	May 2021	Apr 2021	Mar 2021
	No Risk Identified	No Risk Identified	No Risk Identified

Findings

e-Filing and supervision access will be via browser. A computer will be required for access to the case management solution.

2.5.6 Environments

Infrastructure			
Environments	Three-Month Rolling Risk Levels		
	May 2021	Apr 2021	Mar 2021
	No Risk Identified	No Risk Identified	Risk

Findings

An agreement has been reached on the number of environments. This risk is now closed. The risk related to the number of tenets required for supervision has been resolved and closed.

2.5.7 Post-Implementation Support

Infrastructure			
Post-Implementation Support	Three-Month Rolling Risk Levels		
	May 2021	Apr 2021	Mar 2021
	No Risk Identified	No Risk Identified	No Risk Identified

Findings

Based on **"**Lessons Learned" from the Superior Court – Case Management System (SC-CMS) Project, the CLJ-CMS Project staffing plan includes having four Business Analysts on-board before going live with pilot courts. These BAs will be able to develop expertise with the new solution that will be essential to post-go-live support.

Appendix: Overview of *bluecrane* Risk Assessment Approach

For this Independent QA Assessment, we have focused on 45 areas of assessment as depicted in Figure 1 earlier in this report. We have grouped the areas into our familiar categories of :

- **Project Management and Sponsorship**
- **People**
- **Solution**
- **Data**
- **Infrastructure**

In keeping with our dislike of "cookie cutter" approaches, we tailored the specific areas of assessment for relevance and importance to the CLJ-CMS Project *at this stage of its program lifecycle*.

Our risk ratings are summarized in Table 3 below.

Table 2. *bluecrane's* Risk Assessment Categorization

Assessed Risk Status	Meaning
No Risk Identified	Program activities in the area assessed are not encountering any risks
Risk Being Addressed	A risk that is being adequately mitigated. The risk may be ongoing with the expectation it will remain blue for an extended period of time, or it may be sufficiently addressed so that it becomes green as the results of the corrective actions are realized
Risk	A risk that is significant enough to merit management attention but not one that is deemed a "show-stopper"
High Risk	A risk that project management must address or the entire planning effort is at risk of failure; these risks are "show-stoppers"

Assessed Risk Status	Meaning
Not Started	This particular activity has not yet started or is not yet assessed
Completed or Not Applicable	This particular item has been completed or has been deemed “not applicable” but remains a part of the assessment for traceability purposes