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

March 2022

Prepared by

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bluecrane ®

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March 31, 2022

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 March 2022.

This document is structured as follows:

1. Executive Summary and Assessment Dashboard.
2. A detailed report of our CLJ-CMS assessment for the current reporting period.
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

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Introductory Note on Project Structure

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

- eFiling
- Case Management
- Supervision

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 "eFiling," "Supervision," and "Case Management" to refer to the individual efforts.

1. Executive Summary

1.1 Executive Overview

The CLJ-CMS Project continued to make good progress in March. Noteworthy accomplishments include:

- Kick-off meetings were conducted with the four CLJ-CMS "Pilot" Courts:
  - Fircrest Municipal Court
  - Gig Harbor Municipal Court
  - Pierce County District Court
  - Tacoma Municipal Court
- Tyler Technologies Organizational Readiness assessment was completed with positive initial results; the CLJ-CMS Project Team is awaiting a final report
- Training on Clerk Edition Minute Order processing was completed on March 9; this set of capabilities provides court clerks with a quick method for entering certain orders
- Testing of the upgrade to Enterprise Justice 2022.1 (formerly known as "Odyssey 2022.1") continued with no significant issues
- Preparations for Data Push 4, the fourth of five data conversion "trial" runs, began
- Progress continued on work related to the Enterprise Data Repository (EDR) and the ability to transfer CLJ-CMS data between Enterprise Justice and EDR

The "countdown clock" for the implementation of the four Pilot Courts has started, with implementation 200 calendar days away as of March 31 (which includes 61 weekend days and holidays!). The pilot courts have completed initial questionnaires that include inquiries to determine preparedness for implementation. The CLJ-CMS Project team will utilize the information from the questionnaires and other implementation readiness checklists and tools to tailor work over the next six and one-half months.

Our primary areas of concern at the time of the writing of this report are in the areas of:

- **Staffing**
- **eFiling**
- **Local Court Integrations**

Our current perspectives on the risks in these areas are outlined below.

Staffing

As we have noted numerous times in past reports, recruiting and retaining talent in today's competitive labor market has already been a challenge for the CLJ-CMS Project. The current effort to recruit a new Deputy Project Manager highlights the hurdles to recruiting in the current environment.

For the CLJ-CMS Project, current major staffing gaps are:

- Customer Service (3 additional hires planned by pilot)
- Production Support (4 additional hires planned by pilot)
- Deployment (1 additional hire planned by pilot)
- System Test Analyst / QA (1 additional hire planned by pilot)
- Senior Integrator (1 additional hire planned by Pilot)
- Senior System Support Analyst / Conversion (1 additional hire planned by pilot)
- Deputy PM (backfill for Garret needed as soon as practical)

Because of the current vacancies, market conditions for recruiting and hiring, and backlog of recruitments pending at AOC, we are increasing our assessment of the risk in this area to "yellow." In fact, the risks in this area are rapidly approaching a "red," all-hands-on-deck level, but, for now, we simply note that the risks are increasing and serious. Also, the potential to "burn out" current staff due to so many open positions is a very real risk and should not be minimized.

As we have said before, there is nothing that AOC can do about the market conditions. At the same time, we applaud AOC management's efforts to take actions on aspects of the problem that are within their control. AOC has submitted a supplemental budget request, is exploring contracting options, and is planning a 2022 compensation study that is a follow-up to a 2021 study. There is also a 3.25 percent salary increase for state employees that will take effect July 1, 2022, pending the passage of the state budget for FY2023. The salary increase should be helpful, although it will apply to higher paying positions in Executive Branch agencies as well.

eFiling

The approved state budget for FY2023 includes ongoing funding for eFiling that will subsidize the service with no need to charge user fees. Thus, the CLJ-CMS Project will move forward with including eFiling as part of each local court's implementation. The Project is well-positioned to include eFiling since much work (including testing) was done before eFiling was put "on hold," pending resolution of funding.

Local Court Integrations

At the present time, next steps regarding local court integrations remain the following:

1. Report on the integration analysis by the Associate Director of CSD to the PSC on April 19, 2022.

2. A PSC decision on whether to submit a proposal through the approved governance structure for an integrations project based on the data documented in the integrations analysis.
3. Given the anticipated size of the integration project, presentation of the proposed project to the Judicial Information Systems Committee (JISC) for approval.

1.2 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	**March 2022**	**February 2022**	**January 2022**
Project Staffing	**Risk** ***(Risk Increasing)***	**Risk**	**Risk Being Addressed**
Scope: eFiling	**Risk Being Addressed**	**Risk Being Addressed**	**Risk Being Addressed**
Scope: Case Management	**No Risk Identified**	**No Risk Identified**	**No Risk Identified**
Scope: Supervision	**No Risk Identified**	**No Risk Identified**	**No Risk Identified**
Schedule: eFiling	**Risk Being Addressed**	**Risk Being Addressed**	**Risk Being Addressed**
Schedule: Case Management	**Risk Being Addressed**	**Risk Being Addressed**	**Risk Being Addressed**
Schedule: Supervision	**Risk Being Addressed**	**Risk Being Addressed**	**Risk Being Addressed**
Budget: Funding	**No Risk Identified**	**No Risk Identified**	**No Risk Identified**
Budget: Management of Spending	**No Risk Identified**	**No Risk Identified**	**No Risk Identified**

Project Management and Sponsorship			
Assessment Area	**March 2022**	**February 2022**	**January 2022**
Governance	No Risk Identified	No Risk Identified	No Risk Identified
Contracts and Deliverables Management	No Risk Identified	No Risk Identified	No Risk Identified
PMO Processes	No Risk Identified	No Risk Identified	No Risk Identified

People			
Assessment Area	**March 2022**	**February 2022**	**January 2022**
Stakeholder Engagement	No Risk Identified	No Risk Identified	No Risk Identified
OCM: eFiling	Risk Being Addressed	Risk Being Addressed	Risk Being Addressed
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	**March 2022**	**February 2022**	**January 2022**
Business Process: eFiling	No Risk Identified	No Risk Identified	No Risk Identified
Business Process: Case Management	No Risk Identified	No Risk Identified	No Risk Identified
Business Process: Supervision	No Risk Identified	No Risk Identified	No Risk Identified
Requirements, Design, and Configuration: eFiling	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: eFiling	No Risk Identified	No Risk Identified	No Risk Identified
Integrations: Case Management	Risk Being Addressed	Risk Being Addressed	Risk Being Addressed
Reports: Case Management	No Risk Identified	No Risk Identified	No Risk Identified
Reports: Supervision	No Risk Identified	No Risk Identified	No Risk Identified
Testing: eFiling	No Risk Identified	No Risk Identified	No Risk Identified
Testing: Case Management	No Risk Identified	No Risk Identified	No Risk Identified
Testing: Supervision	No Risk Identified	No Risk Identified	No Risk Identified
Deployment: eFiling	No Risk Identified	No Risk Identified	No Risk Identified

Solution			
Assessment Area	**March 2022**	**February 2022**	**January 2022**
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	**March 2022**	**February 2022**	**January 2022**
Data Preparation: Case Management	No Risk Identified	No Risk Identified	No Risk Identified
Data Conversion: Case Management	No Risk Identified	No Risk Identified	No Risk Identified
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	**March 2022**	**February 2022**	**January 2022**
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

Infrastructure			
Assessment Area	**March 2022**	**February 2022**	**January 2022**
Access	**No Risk Identified**	**No Risk Identified**	**No Risk Identified**
Environments	**No Risk Identified**	**No Risk Identified**	**No Risk Identified**
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 Project Staffing

Project Management and Sponsorship			
Project Staffing	Three-Month Rolling Risk Levels		
	Mar. 2022	Feb. 2022	Jan. 2022
	Risk *(Risk Increasing)*	**Risk**	**Risk Being Addressed**

Findings

As we have noted numerous times in past reports, recruiting and retaining talent in today's competitive labor market has already been a challenge for the CLJ-CMS Project. The current effort to recruit a new Deputy Project Manager highlights the hurdles to recruiting in the current environment.

The staffing challenges AOC-wide were described in a presentation to the JISC on Friday, February 25, 2022. At the time of the presentation, there were 28 vacancies in ISD and 18 vacancies in CSD of AOC. The vacancies are due to agency growth, staff leaving for higher paying jobs (many at Executive Branch agencies), and recruitments taking months to fill. The situation has created an unprecedented demand on AOC's Human Resources.

For the CLJ-CMS Project, current major staffing gaps are:

- Customer Service (3 additional hires planned by pilot)
- Production Support (4 additional hires planned by pilot)
- Deployment (1 additional hire planned by pilot)
- System Test Analyst / QA (1 additional hire planned by pilot)
- Senior Integrator (1 additional hire planned by Pilot)
- Senior System Support Analyst / Conversion (1 additional hire planned by pilot)
- Deputy PM (backfill for Garret needed as soon as practical)

Because of the current vacancies, market conditions for recruiting and hiring, and backlog of recruitments pending at AOC, we are increasing our assessment of the risk in this area to "yellow." In fact, the risks in this area are rapidly approaching a "red," all-hands-on-deck level, but, for now, we simply note that the risks are increasing and serious. Also, the potential to "burn out" current staff due to so many open positions is a very real risk and should not be minimized.

Of course, there is nothing that AOC can do about the market conditions. At the same time, we applaud AOC management's efforts to take actions on aspects of the problem that are within their control. AOC has submitted a supplemental budget request, is exploring contracting options, and is planning a 2022 compensation study that is a follow-up to a 2021 study. There is also a 3.25 percent salary increase for state employees that will take effect July 1, 2022, pending the passage of the state budget for FY2023. The salary increase should be helpful, although it will apply to higher paying positions in Executive Branch agencies as well.

Risks and Issues

If the filling of CLJ Project positions becomes a prolonged effort, the project's timeline may be at risk.

***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.

2.1.2 Scope: eFiling

Project Management and Sponsorship			
Scope: eFiling	Three-Month Rolling Risk Levels		
	Mar. 2022	Feb. 2022	Jan. 2022
	Risk Being Addressed	Risk Being Addressed	Risk Being Addressed

Findings

The approved state budget for FY2023 includes ongoing funding for eFiling that will subsidize the service with no need to charge user fees. Thus, the CLJ-CMS Project will move forward with including eFiling as part of each local court's implementation.

The work done to-date for eFiling (such as the single integration and its certification by Tyler in September 2021) has positioned the project well to resume eFiling-specific tasks which were put "on hold," in July 2021 pending resolution of funding.

Risks and Issues

The scope of the eFiling activity is defined in the Tyler Statement of Work (SOW) and anticipates that eFiling will be implemented in all CLJ courts within calendar year 2021, prior to the roll-out of supervision and case management. With the July 2021 decision to delay eFiling implementation, AOC and the PSC anticipated a need to amend the Tyler contract. The AOC had already submitted a change request to delay eFiling. However, Tyler and AOC agreed to delay negotiations until after the results of the 2022 legislative budget process were announced. Now that the budget is final and

includes funding for eFiling, we anticipate that negotiations will resume with a revised approach of implementing eFiling concurrent with Enterprise Justice in each local court.

2.1.3 Scope: Case Management

Project Management and Sponsorship			
Scope: Case Management	Three-Month Rolling Risk Levels		
	Mar. 2022	Feb. 2022	Jan. 2022
	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. The AOC, Court User Working Group (CUWG), and Tyler continue to validate requirements and to identify any requirements that require custom development by Tyler. Scope will be managed through a Requirements Traceability Matrix (RTM), system vendor contract deliverables, and the Project Change Management process. The project team delivered an RTM to Tyler in August 2021.

2.1.4 Scope: Supervision

Project Management and Sponsorship			
Scope: Supervision	Three-Month Rolling Risk Levels		
	Mar. 2022	Feb. 2022	Jan. 2022
	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 2021 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 RTM, system vendor contract deliverables, and the Project Change Management process.

2.1.5 Schedule: eFiling

Project Management and Sponsorship			
Schedule: eFiling	Three-Month Rolling Risk Levels		
	Mar. 2022	Feb. 2022	Jan. 2022
	Risk Being Addressed	Risk Being Addressed	Risk Being Addressed

Findings

As noted above, the approved state budget for FY2023 includes ongoing funding for eFiling that will subsidize the service with no need to charge user fees. Thus, the CLJ-CMS Project will move forward with including eFiling as part of each local court's implementation.

The work done to-date for eFiling (such as the single integration and its certification by Tyler in September 2021) has positioned the project well to resume eFiling-specific tasks which were put "on hold," in July 2021 pending resolution of funding.

Risks and Issues

As noted above under "Scope: eFiling," the Tyler SOW anticipates that eFiling will be implemented in all CLJ courts within calendar year 2021, prior to the roll-out of supervision and case management. With the July 2021 decision to delay eFiling implementation, AOC and the PSC anticipated a need to amend the Tyler contract. The AOC had already submitted a change request to delay eFiling. However, Tyler and AOC agreed to delay negotiations until after the results of the 2022 legislative budget process were announced. Now that the budget is final and includes funding for eFiling, we anticipate that negotiations will resume with a revised approach of implementing eFiling concurrent with Enterprise Justice in each local court.

2.1.6 Schedule: Case Management

Project Management and Sponsorship			
Schedule: Case Management	Three-Month Rolling Risk Levels		
	Mar. 2022	Feb. 2022	Jan. 2022
	Risk Being Addressed	Risk Being Addressed	Risk Being Addressed

Findings

In early December 2021, AOC signed an amendment with Tyler that incorporates new dates from the integrated project schedule. The project is now tracking to these new dates.

Risks and Issues

The risks noted above under "Staffing" have the potential to impact the CLJ Project's ability to remain on-schedule. We will monitor this carefully for delays that might impact the Pilot Courts deployment schedule.

2.1.7 Schedule: Supervision

Project Management and Sponsorship			
Schedule: Supervision	Three-Month Rolling Risk Levels		
	Mar. 2022	Feb. 2022	Jan. 2022
	Risk Being Addressed	Risk Being Addressed	Risk Being Addressed

Findings

Supervision activities are tracking to the dates in the most recently signed contract amendment.

Risks and Issues

The risks noted above under "Staffing" have the potential to impact the CLJ Project's ability to remain on-schedule. We will monitor this carefully for delays that might impact the Pilot Courts deployment schedule.

2.1.8 Budget: Funding

Project Management and Sponsorship			
Budget: Funding	Three-Month Rolling Risk Levels		
	Mar. 2022	Feb. 2022	Jan. 2022
	No Risk Identified	No Risk Identified	No Risk Identified

Findings

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

In addition, the recently approved state budget for FY2023 continues funding for the CLJ-CMS Project and funds eFiling on an ongoing basis, eliminating the need to charge user fees.

2.1.9 Budget: Management of Spending

Project Management and Sponsorship			
Budget: Management of Spending	Three-Month Rolling Risk Levels		
	Mar. 2022	Feb. 2022	Jan. 2022
	No Risk Identified	No Risk Identified	No Risk Identified

Findings

The project is being managed within the approved budget.

2.1.10 Governance

Project Management and Sponsorship			
Governance	Three-Month Rolling Risk Levels		
	Mar. 2022	Feb. 2022	Jan. 2022
	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 CUWG.

2.1.11 Contracts and Deliverables Management

Project Management and Sponsorship			
Contracts and Deliverables Management	Three-Month Rolling Risk Levels		
	Mar. 2022	Feb. 2022	Jan. 2022
	No Risk Identified	No Risk Identified	No Risk Identified

Findings

The "process" of deliverables management by the AOC contracts staff is appropriate and sufficient. The AOC staff are doing a diligent job of managing the Tyler contract. In addition, the project team is reviewing the contents of deliverables for compliance and quality.

2.1.12 PMO Processes

Project Management and Sponsorship			
PMO Processes	Three-Month Rolling Risk Levels		
	Mar. 2022	Feb. 2022	Jan. 2022
	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		
	Mar. 2022	Feb. 2022	Jan. 2022
	No Risk Identified	No Risk Identified	No Risk Identified

Findings

The Organizational Change Management (OCM) and Communications Lead for the CLJ-CMS Project and AOC leadership team are doing an admirable and diligent job of reaching out to and engaging with the diverse CLJ stakeholder community.

Kick-off meetings with the four Pilot Courts were held in March. Interactions with the Pilot Courts are increasing as their implementation dates are six and one-half months away as of March 31.

2.2.2 OCM: eFiling

People			
OCM: eFiling	Three-Month Rolling Risk Levels		
	Mar. 2022	Feb. 2022	Jan. 2022
	Risk Being Addressed	Risk Being Addressed	Risk Being Addressed

Findings

Given that the recently-approved state budget for FY2023 includes initial and ongoing funding for eFiling, OCM activities focused on the Pilot Courts and subsequent deployments will include ensuring that the court community is informed about the deployment approach for eFiling as well as Enterprise Justice.

Risks and Issues

In the absence of an informed stakeholder community, rumors and inaccurate information may impede the successful rollout of eFiling.

***bluecrane* Acknowledgement of Current Mitigation Activities**

We are supportive not only of the work being done by the project's OCM Lead and others but also of the outreach being performed by the executive sponsors, sponsors, and the PSC, all of whom are critical elements of a comprehensive OCM program.

2.2.3 OCM: Case Management

People			
OCM: Case Management	Three-Month Rolling Risk Levels		
	Mar. 2022	Feb. 2022	Jan. 2022
	No Risk Identified	No Risk Identified	No Risk Identified

Findings

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

2.2.4 OCM: Supervision

People			
OCM: Supervision	Three-Month Rolling Risk Levels		
	Mar. 2022	Feb. 2022	Jan. 2022
	No Risk Identified	No Risk Identified	No Risk Identified

Findings

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

2.2.5 Communications

People			
Communications	Three-Month Rolling Risk Levels		
	Mar. 2022	Feb. 2022	Jan. 2022
	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. Project newsletters have been distributed monthly since September 2021, and a new project website was launched in October 2021.

2.2.6 Court Preparation and Training

People			
Court Preparation and Training	Three-Month Rolling Risk Levels		
	Mar. 2022	Feb. 2022	Jan. 2022
	No Risk Identified	No Risk Identified	No Risk Identified

Findings

Preparation activities are well-underway for the four Pilot Courts. In light of the recently approved state budget, preparation activities include those necessary to rollout eFiling.

2.3 Solution

2.3.1 Business Process: eFiling

Solution			
Business Process: eFiling	Three-Month Rolling Risk Levels		
	Mar. 2022	Feb. 2022	Jan. 2022
	No Risk Identified	No Risk Identified	No Risk Identified

Findings

The business processes for eFiling are minimal and relatively procedural in nature.

2.3.2 Business Process: Case Management

Solution			
Business Process: Case Management	Jan. 2022		
	Mar. 2022	Feb. 2022	Jan. 2022
	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		
	Mar. 2022	Feb. 2022	Jan. 2022
	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: eFiling

Solution			
Requirements, Design, and Configuration: eFiling	Three-Month Rolling Risk Levels		
	Mar. 2022	Feb. 2022	Jan. 2022
	No Risk Identified	No Risk Identified	No Risk Identified

Findings

Requirements for eFiling 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		
	Mar. 2022	Feb. 2022	Jan. 2022
	No Risk Identified	No Risk Identified	No Risk Identified

Findings

Based on the ongoing excellent work by the CUWG, the project was able to send an RTM to Tyler in August 2021. At this time, the project is making any changes that are needed as a result of the CUWG's ongoing review of requirements.

2.3.6 Requirements, Design, and Configuration: Supervision

Solution			
Requirements, Design, and Configuration: Supervision	Three-Month Rolling Risk Levels		
	Mar. 2022	Feb. 2022	Jan. 2022
	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: eFiling

Solution			
Integrations: eFiling	Three-Month Rolling Risk Levels		
	Mar. 2022	Feb. 2022	Jan. 2022
	No Risk Identified	No Risk Identified	No Risk Identified

Findings

Tyler certified the single integration required for eFiling in September 2021. Now that the eFiling funding issue has been resolved, the project will be able to leverage the work already done as well as the completed certification.

2.3.8 Integrations: Case Management

Solution			
Integrations: Case Management	Three-Month Rolling Risk Levels		
	Mar. 2022	Feb. 2022	Jan. 2022
	Risk Being Addressed	Risk Being Addressed	Risk Being Addressed

Findings

On January 18, a facilitated Executive Session of the CLJ-CMS Project Steering Committee (PSC) was conducted. *bluecrane* provided facilitation services. The attendees at the Executive Session reviewed:

- Status of the executed contract with Tyler Technologies and the project that is well-underway at AOC

- The CLJ-CMS Project's approved governance structure and the thresholds that trigger reviews of proposed changes for escalation to higher-level decision bodies within the governance structure
- Roles and responsibilities of the PSC
- Best practices for modernization projects dealing with scope change
- The purpose and likely outcomes of the integration analysis being conducted by the Associate Director of AOC's Court Services Division (CSD)
- Changes in court operations since the beginning of the COVID-19 pandemic
- Financial, political, and practical constraints within which the CLJ-CMS Project continues to operate

After a healthy discussion of the above topics, the attendees discussed next steps for the integrations analysis and how best to move forward. Next steps include:

1. Report on the integration analysis by the Associate Director of CSD to the PSC on April 19
    - The analysis will provide a high-level description of the work that will be required to integrate a local court system (OCourt will be the "test case") by:
        - AOC, including build-out of an "integration platform," integration work specific to the OCourt integration, and ongoing maintenance and operations of the integration
        - Tyler Technologies
        - Omiga (vendor of OCourt)
    - The analysis will provide cost estimations for all of the above work
    - The analysis will document assumptions, constraints, and risks for the integration work
2. The PSC decision on whether to submit a proposal through the approved governance structure for an integrations project based on the data documented in the integrations analysis; any proposal is expected to:
    - Request a separate project for the integrations work with its own charter, funding, and staff (in order to avoid a renegotiation of the CLJ-CMS Project contract with Tyler Technologies and the need to justify a change order for the increased costs to AOC and an extension of the six-year CLJ-CMS Project timeline)
    - Consideration of the additional costs to the CLJ-CMS Project which will be incurred due to anticipated changes needed in the previously-approved Deployment Plan (such as moving courts that use the integration to "the back of the line") and a likely extension to the six-year CLJ-CMS Project timeline *even if the integrations project is a separate project*

3. Given the anticipated size of the integration project, presentation of the proposed project to the JISC for approval

The PSC discussions of an approach for local court integrations continued in early February.

Risks and Issues

1. If integrations of local court applications to Enterprise Justice ***are not*** allowed in the CLJ solution, then courts that perceive any functionality gaps between Enterprise Justice's features and the applications they have been using locally will need time to prepare alternative business processes or other "workarounds" for addressing the gaps.
2. If integrations of local court applications to Enterprise Justice ***are*** allowed in the CLJ solution, then AOC will need additional technical resources. In this case, there will need to be adequate time and resources to (a) develop estimates of interfaces that will be developed, (b) estimate staff resources required, and (c) prepare governance budget requests and approvals to support integration projects.

***bluecrane* Recommendation**

The AOC and the PSC should determine (1) whether or not integrations of local court applications will be allowed and, if so, (2) to what degree AOC will be able to provide support to those efforts.

2.3.9 Reports: Case Management

Solution			
Reports: Case Management	Three-Month Rolling Risk Levels		
	Mar. 2022	Feb. 2022	Jan. 2022
	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		
	Mar. 2022	Feb. 2022	Jan. 2022
	No Risk Identified	No Risk Identified	No Risk Identified

Findings

Supervision reports are defined in the CLJ-CMS requirements.

2.3.11 Testing: eFiling

Solution			
Testing: eFiling	Three-Month Rolling Risk Levels		
	Mar. 2022	Feb. 2022	Jan. 2022
	No Risk Identified	No Risk Identified	No Risk Identified

Findings

Planning for eFiling testing is underway.

2.3.12 Testing: Case Management

Solution			
Testing: Case Management	Three-Month Rolling Risk Levels		
	Mar. 2022	Feb. 2022	Jan. 2022
	No Risk Identified	No Risk Identified	No Risk Identified

Findings

Planning for Case Management testing is underway.

2.3.13 Testing: Supervision

Solution			
Testing: Supervision	Three-Month Rolling Risk Levels		
	Mar. 2022	Feb. 2022	Jan. 2022
	No Risk Identified	No Risk Identified	No Risk Identified

Findings

Planning for Supervision testing is underway.

2.3.14 Deployment: eFiling

Solution			
Deployment: eFiling	Three-Month Rolling Risk Levels		
	Mar. 2022	Feb. 2022	Jan. 2022
	No Risk Identified	No Risk Identified	No Risk Identified

Findings

The approved state budget for FY2023 includes ongoing funding for eFiling that will subsidize the service with no need to charge user fees. Thus, the CLJ-CMS Project will move forward with including eFiling as part of each local court's implementation. The Project is well-positioned to include eFiling since much work (including testing) was done before eFiling was put "on hold," pending resolution of funding.

2.3.15 Deployment: Case Management

Solution			
Deployment: Case Management	Three-Month Rolling Risk Levels		
	Mar. 2022	Feb. 2022	Jan. 2022
	No Risk Identified	No Risk Identified	No Risk Identified

Findings

The CLJ-CMS Steering Committee has approved a regional rollout plan for CMS and Supervision.

If one or more integration projects are approved through the governance structure, they may impact the Deployment schedule. For example, even assuming the integrations work is a project that is funded

and performed separately and distinctly from CLJ-CMS, the composition and order of the approved court groupings for deployment may change (e.g., moving courts that will use an integration to "the back of the line"). At this time, we are not documenting a risk. However, we will monitor the ongoing integrations analysis and discussions at the PSC and will "open" a risk if and when warranted.

2.3.16 Deployment: Supervision

Solution			
Deployment: Supervision	Three-Month Rolling Risk Levels		
	Mar. 2022	Feb. 2022	Jan. 2022
	No Risk Identified	No Risk Identified	No Risk Identified

Findings

The CLJ-CMS Steering Committee has approved a regional rollout plan for CMS and Supervision.

2.4 Data

2.4.1 Data Preparation: Case Management

Data			
Data Preparation: Case Management	Three-Month Rolling Risk Levels		
	Mar. 2022	Feb. 2022	Jan. 2022
	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 actual ("production") 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		
	Mar. 2022	Feb. 2022	Jan. 2022
	No Risk Identified	No Risk Identified	No Risk Identified

Findings

"Practice" data conversions continue with a high level of success in validating the process. In March, preparations for Data Push 4, the fourth of five data conversion "trial" runs, began. Achieving successful "practice" conversions early will position the project well for a smoother implementation effort when the time arrives for the final, "production" conversion.

2.4.3 Data Conversion: Supervision

Data			
Data Conversion: Supervision	Three-Month Rolling Risk Levels		
	Mar. 2022	Feb. 2022	Jan. 2022
	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		
	Mar. 2022	Feb. 2022	Jan. 2022
	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		
	Mar. 2022	Feb. 2022	Jan. 2022
	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		
	Mar. 2022	Feb. 2022	Jan. 2022
	No Risk Identified	No Risk Identified	No Risk Identified

Findings

Because eFiling 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		
	Mar. 2022	Feb. 2022	Jan. 2022
	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 he will be sending out to the court community. In addition, he 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		
	Mar. 2022	Feb. 2022	Jan. 2022
	No Risk Identified	No Risk Identified	No Risk Identified

Findings

The security functionality of Enterprise Justice 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		
	Mar. 2022	Feb. 2022	Jan. 2022
	No Risk Identified	No Risk Identified	No Risk Identified

Findings

eFiling and Supervision access will be via browser. A “local application” will be required for access to the case management solution.

2.5.6 Environments

Infrastructure			
Environments	Three-Month Rolling Risk Levels		
	Mar. 2022	Feb. 2022	Jan. 2022
	No Risk Identified	No Risk Identified	No Risk Identified

Findings

All environments have been implemented.

2.5.7 Post-Implementation Support

Infrastructure			
Post-Implementation Support	Three-Month Rolling Risk Levels		
	Mar. 2022	Feb. 2022	Jan. 2022
	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 specifically for Post-Implementation (or “Production”) Support.

Appendix: Overview of *bluecrane* Risk Assessment Approach

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 over 40 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.

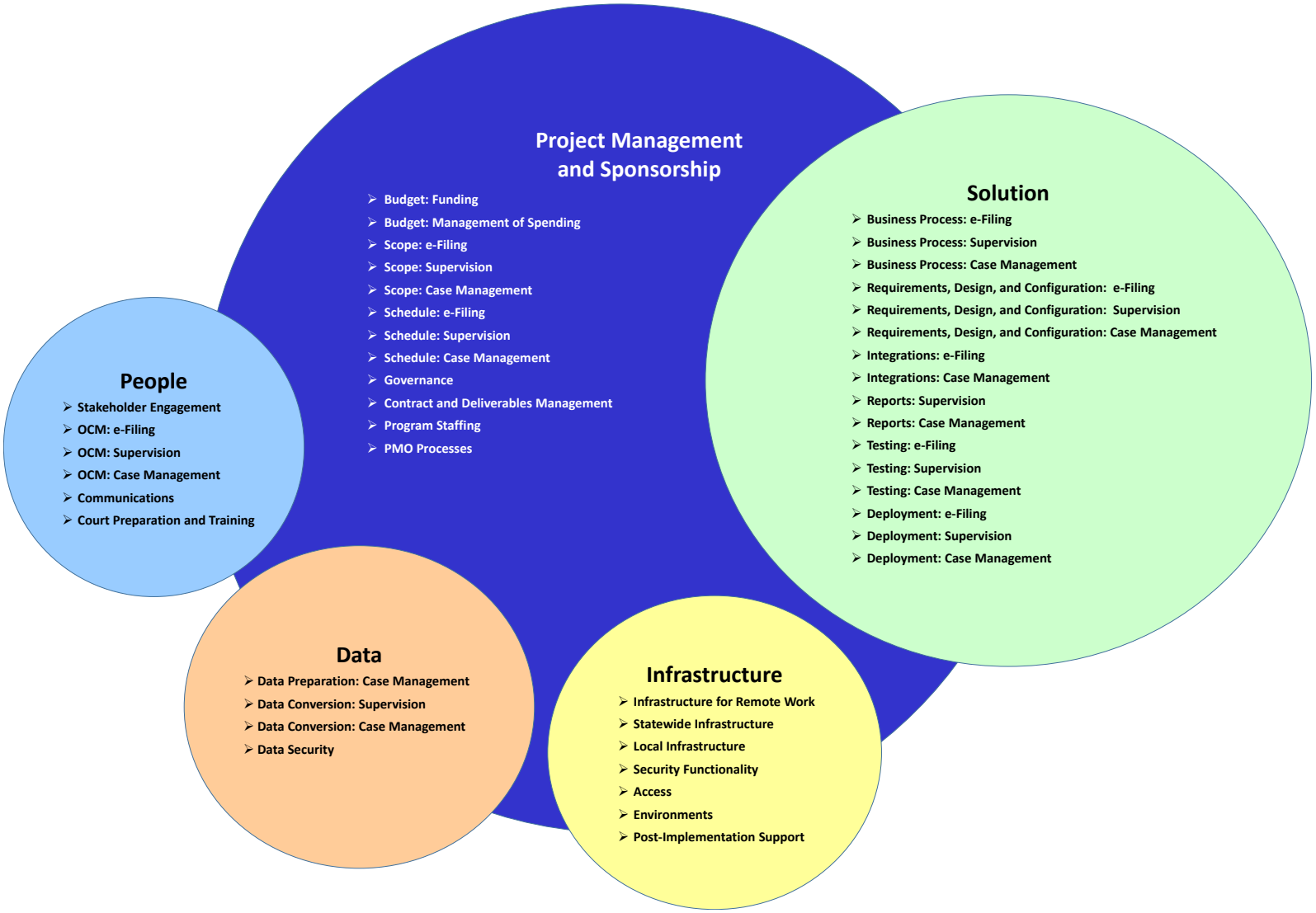

Figure 1. Areas of CLJ-CMS Project Assessed for Risks

Our risk ratings are summarized in Table 2 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"
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