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 2022

Prepared by

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bluecrane ®

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May 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 May 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 May. The current focus of the project is on the Pilot Court implementations which are now approximately five months away. The project's work is extensive. A few highlights from May include:

- Work is continuing on training materials for local court subject matter experts (SMEs); training is planned to be conducted in mid-to-late June; more generally, the project's Training Team is working on a training calendar and is expected to provide training deliverables shortly
- Pilot courts have posted local rules for eFiling
- Responses to numerous pilot court questions on the questionnaires they are completing related to readiness for implementation have been received; the project's Organizational Change Management (OCM) and Communications Lead is aggregating responses for publication in an upcoming project newsletter
- A "roadshow" was conducted by the project for the DMCMA spring conference
- The project team has demonstrated the ability to extract and transform data from Enterprise Justice (formerly known as "Odyssey") and manually load the information to the Enterprise Data Repository (EDR); work is progressing to automate the data loading process
- Review of the results from the fourth data conversion trial run continues with good outcomes

Our primary concerns at the time of the writing of this report are the same as documented in our April report in the areas of Staffing and (Project) Governance, Scope, and Schedule.

As readers of our monthly QA reports are aware, Staffing has been a concern for some time. AOC has taken a number of positive steps to address aspects of resourcing that are within the agency's control (see our April 2022 report). Labor market challenges that are beyond AOC's control continue to be a challenge. *bluecrane* does not expect this risk to abate in the foreseeable future. For now, the project team is monitoring the project schedule carefully and taking all reasonable measures to ensure that the Pilot Court timeline is not impacted by staff shortages.

Our April 2022 monthly report provided fairly extensive details on the risks to project governance, scope, and schedule due to the expansion of project scope that is being contemplated by the Project Steering Committee (PSC). At this time, the risks continue. We encourage all parties to follow the project governance processes that they approved at project initiation and the higher level governance processes that are in place within Washington Courts. We believe the additional needs of the CLJ courts can be addressed through appropriate governance processes without jeopardizing the performance and delivery of the CLJ-CMS Project.

As this report was being written, the Chair of the CLJ-CMS PSC announced her resignation. While personnel changes in the governance structure of projects always introduces some level of risk, we

assume at this time that the CLJ-CMS PSC and other governing bodies such as the JISC will follow established procedures for filling the vacant position and approving a newly elected Chair.

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	**May 2022**	**April 2022**	**March 2022**
Governance	Risk *(Risk Increasing)*	Risk *(Risk Increasing)*	No Risk Identified
Scope: eFiling	Risk *(Risk Increasing)*	Risk *(Risk Increasing)*	Risk Being Addressed
Scope: Case Management	Risk *(Risk Increasing)*	Risk *(Risk Increasing)*	No Risk Identified
Scope: Supervision	Risk *(Risk Increasing)*	Risk *(Risk Increasing)*	No Risk Identified
Schedule: eFiling	Risk *(Risk Increasing)*	Risk *(Risk Increasing)*	Risk Being Addressed
Schedule: Case Management	Risk *(Risk Increasing)*	Risk *(Risk Increasing)*	Risk Being Addressed
Schedule: Supervision	Risk *(Risk Increasing)*	Risk *(Risk Increasing)*	Risk Being Addressed
Project Staffing	Risk	Risk	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

Project Management and Sponsorship			
Assessment Area	**May 2022**	**April 2022**	**March 2022**
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	**May 2022**	**April 2022**	**March 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	**May 2022**	**April 2022**	**March 2022**
Business Process: eFiling	No Risk Identified	No Risk Identified	No Risk Identified

Solution			
Assessment Area	**May 2022**	**April 2022**	**March 2022**
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
Deployment: Case Management	No Risk Identified	No Risk Identified	No Risk Identified

Solution			
Assessment Area	**May 2022**	**April 2022**	**March 2022**
Deployment: Supervision	No Risk Identified	No Risk Identified	No Risk Identified

Data			
Assessment Area	**May 2022**	**April 2022**	**March 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	**May 2022**	**April 2022**	**March 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
Access	No Risk Identified	No Risk Identified	No Risk Identified

Infrastructure			
Assessment Area	**May 2022**	**April 2022**	**March 2022**
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 Governance

Project Management and Sponsorship			
Governance	Three-Month Rolling Risk Levels		
	May 2022	Apr. 2022	Mar. 2022
	Risk *(Risk Increasing)*	**Risk** *(Risk Increasing)*	**No Risk Identified**

Findings

The primary risk to the CLJ-CMS Project currently is the potential expansion of project scope that is contemplated by the Project Steering Committee (PSC) as tolerable and permissible. The CLJ-CMS Project's scope, like any project scope, is narrowly defined by the project's requirements. The scope is initially defined by broad, general statements in a project charter. The statements in the charter are "decomposed" during the project's Initiation and Planning phases to a more detailed and refined set of requirements that are then used by Governance bodies (steering committees, change control boards, and others), along with approved budgets and timelines, to review and assess proposals for expanding scope.

Over the past few months, the CMS-CLJ PSC has reverted to using the broad, general statements from the project charter to justify potential inclusion of additional work for the project. This goes against project management best practices and is a recipe for project failure.

The CLJ-CMS PSC exists to provide governance over the delivery of a CLJ-CMS solution ***as defined by the approved, documented requirements for the case management system.*** Project steering committees generally devote energy to "protecting" their projects from "scope creep," not advocating proposals that increase scope.

The approved, documented requirements define the scope of the CLJ-CMS Project. The "Imperatives" that were developed as over-arching guidelines and the broad, general statement of scope in the project charter (which is *always* used only as a starting point for further decomposition of scope) should not be used as justification for adding work to a project with an approved budget and timeline. If they are mis-used in that way, the project is highly likely to fail.

At the same time, we all acknowledge that "the world has changed" due to the COVID-19 pandemic. Members of the CLJ-CMS PSC deal with virtual operations every day—in ways that were not contemplated prior to the pandemic. However, if the "new reality" of daily operations has created the need for additional functionality that is not provided by the already-defined (and contracted-for) CLJ-CMS solution, ***the approach to addressing the new needs should follow the Courts' defined governance processes and project management best practices.***

Risks and Issues

The potential addition of the development of an integrations platform and a pilot implementation of an integration with OCourt creates substantial risk to the CLJ-CMS Project.

bluecrane Recommendation

If the integration of OCourt—or any other software product utilized locally by various CLJs—is essential to the business needs of those courts, then we encourage proponents of those local solutions to prepare proposals with all due haste for consideration by established governance processes. If approved and funded, the development of an integrations platform should be governed and managed as an infrastructure project that is separate and apart from (although related to) the CLJ-CMS Project.

2.1.2 Scope: eFiling

Project Management and Sponsorship			
Scope: eFiling	Three-Month Rolling Risk Levels		
	May 2022	Apr. 2022	Mar. 2022
	Risk *(Risk Increasing)*	**Risk** *(Risk Increasing)*	**Risk Being Addressed**

Findings

Four motions approved by the CLJ-CMS PSC at its April 26 meeting related to adding ***to the CLJ-CMS Project*** the development of an "integrations platform" and the integration of a product known as "OCourt" as a pilot implementation using the integrations platform put the project's scope at highly increased risk.

In May, Pilot Courts posted local rules for eFiling. Meanwhile, DMCJA is championing a statewide rule for mandatory eFiling.

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.

At the same time, the potential addition of the development of an integrations platform and a pilot implementation of an integration with OCourt creates substantial risk to the CLJ-CMS Project.

***bluecrane* Recommendation**

If the integration of OCourt—or any other software product utilized locally by various CLJs—is essential to the business needs of those courts, then we encourage proponents of those local solutions to prepare proposals with all due haste for consideration by established governance processes. If approved and funded, the development of an integrations platform should be governed and managed as an infrastructure project that is separate and apart from (although related to) the CLJ-CMS Project.

2.1.3 Scope: Case Management

Project Management and Sponsorship			
Scope: Case Management	Three-Month Rolling Risk Levels		
	May 2022	Apr. 2022	Mar. 2022
	Risk *(Risk Increasing)*	**Risk** *(Risk Increasing)*	**No Risk Identified**

Findings

Four motions approved by the CLJ-CMS PSC at its April 26 meeting related to adding ***to the CLJ-CMS Project*** the development of an "integrations platform" and the integration of a product known as "OCourt" as a pilot implementation using the integrations platform put the project's scope at highly increased risk.

The scope of the CLJ-CMS Project is defined by the deliverables delineated in the SOW in the Tyler contract. The scope is further "decomposed" by the detailed requirements that AOC, the Court User Work Group (CUWG), and Tyler continue to validate. Scope is being 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.

Risks and Issues

The potential addition of the development of an integrations platform and a pilot implementation of an integration with OCourt creates substantial risk to the CLJ-CMS Project.

***bluecrane* Recommendation**

If the integration of OCourt—or any other software product utilized locally by various CLJs—is essential to the business needs of those courts, then we encourage proponents of those local solutions to prepare proposals with all due haste for consideration by established governance processes. If approved and funded, the development of an integrations platform should be governed and managed as an infrastructure project that is separate and apart from (although related to) the CLJ-CMS Project.

2.1.4 Scope: Supervision

Project Management and Sponsorship			
Scope: Supervision	Three-Month Rolling Risk Levels		
	May 2022	Apr. 2022	Mar. 2022
	Risk *(Risk Increasing)*	**Risk** *(Risk Increasing)*	**No Risk Identified**

Findings

Four motions approved by the CLJ-CMS PSC at its April 26 meeting related to adding ***to the CLJ-CMS Project*** the development of an "integrations platform" and the integration of a product known as "OCourt" as a pilot implementation using the integrations platform put the project's scope at highly increased risk.

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 identify any requirements that require custom development by Tyler. Scope is being managed through the RTM, system vendor contract deliverables, and the Project Change Management process.

Risks and Issues

The potential addition of the development of an integrations platform and a pilot implementation of an integration with OCourt creates substantial risk to the CLJ-CMS Project.

bluecrane Recommendation

If the integration of OCourt—or any other software product utilized locally by various CLJs—is essential to the business needs of those courts, then we encourage proponents of those local solutions to prepare proposals with all due haste for consideration by established governance processes. If approved and funded, the development of an integrations platform should be governed and managed as an infrastructure project that is separate and apart from (although related to) the CLJ-CMS Project.

2.1.6 Schedule: eFiling

Project Management and Sponsorship			
Schedule: eFiling	Three-Month Rolling Risk Levels		
	May 2022	Apr. 2022	Mar. 2022
	Risk *(Risk Increasing)*	**Risk** *(Risk Increasing)*	**Risk Being Addressed**

Findings

Four motions approved by the CLJ-CMS PSC at its April 26 meeting related to adding ***to the CLJ-CMS Project*** the development of an "integrations platform" and the integration of a product known as "OCourt" as a pilot implementation using the integrations platform put the project's approved deployment schedule at highly increased risk.

Risks and Issues

The potential addition of the development of an integrations platform and a pilot implementation of an integration with OCourt creates substantial risk to the CLJ-CMS Project's approved deployment schedule.

***bluecrane* Recommendation**

If the integration of OCourt—or any other software product utilized locally by various CLJs—is essential to the business needs of those courts, then we encourage proponents of those local solutions to prepare proposals with all due haste for consideration by established governance processes. If approved and funded, the development of an integrations platform should be governed and managed as an infrastructure project that is separate and apart from (although related to) the CLJ-CMS Project.

2.1.7 Schedule: Case Management

Project Management and Sponsorship			
Schedule: Case Management	Three-Month Rolling Risk Levels		
	May 2022	Apr. 2022	Mar. 2022
	Risk *(Risk Increasing)*	**Risk** *(Risk Increasing)*	**Risk Being Addressed**

Findings

Four motions approved by the CLJ-CMS PSC at its April 26 meeting related to adding ***to the CLJ-CMS Project*** the development of an "integrations platform" and the integration of a product known as "OCourt" as a pilot implementation using the integrations platform put the project's approved deployment schedule at highly increased risk.

Risks and Issues

The potential addition of the development of an integrations platform and a pilot implementation of an integration with OCourt creates substantial risk to the CLJ-CMS Project's approved deployment schedule.

The risks noted below under "Project 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.

***bluecrane* Recommendation**

If the integration of OCourt—or any other software product utilized locally by various CLJs—is essential to the business needs of those courts, then we encourage proponents of those local solutions to prepare proposals with all due haste for consideration by established governance processes. If approved and funded, the development of an integrations platform should be governed and managed as an infrastructure project that is separate and apart from (although related to) the CLJ-CMS Project.

2.1.8 Schedule: Supervision

Project Management and Sponsorship			
Schedule: Supervision	Three-Month Rolling Risk Levels		
	May 2022	Apr. 2022	Mar. 2022
	Risk ***(Risk Increasing)***	**Risk** ***(Risk Increasing)***	**Risk Being Addressed**

Findings

Four motions approved by the CLJ-CMS PSC at its April 26 meeting related to adding ***to the CLJ-CMS Project*** the development of an "integrations platform" and the integration of a product known as "OCourt" as a pilot implementation using the integrations platform put the project's approved deployment schedule at highly increased risk.

Risks and Issues

The potential addition of the development of an integrations platform and a pilot implementation of an integration with OCourt creates substantial risk to the CLJ-CMS Project's approved deployment schedule.

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.

***bluecrane* Recommendation**

If the integration of OCourt—or any other software product utilized locally by various CLJs—is essential to the business needs of those courts, then we encourage proponents of those local solutions to prepare proposals with all due haste for consideration by established governance processes. If approved and funded, the development of an integrations platform should be governed and managed as an infrastructure project that is separate and apart from (although related to) the CLJ-CMS Project.

2.1.5 Project Staffing

Project Management and Sponsorship			
Project Staffing	Three-Month Rolling Risk Levels		
	May 2022	Apr. 2022	Mar. 2022
	Risk	**Risk**	**Risk** ***(Risk Increasing)***

Findings

Staffing has been a concern for some time. While we are not ready to reduce the assessed risk of Staffing for the CLJ-CMS Project, AOC has taken a number of positive steps to address aspects of resourcing staff that are within the agency's control (see our April 2022 report). Labor market challenges that are beyond AOC's control continue to be a challenge. *bluecrane* does not expect this risk to abate in the foreseeable future. For now, the project team is monitoring the project schedule carefully and taking all reasonable measures to ensure that the Pilot Court timeline is not impacted by staff shortages.

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.

2.1.9 Budget: Funding

Project Management and Sponsorship			
Budget: Funding	Three-Month Rolling Risk Levels		
	May 2022	Apr. 2022	Mar. 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.

2.1.10 Budget: Management of Spending

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

Findings

The project is being managed within the approved budget.

2.1.11 Contracts and Deliverables Management

Project Management and Sponsorship			
Contracts and Deliverables Management	Three-Month Rolling Risk Levels		
	May 2022	Apr. 2022	Mar. 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		
	May 2022	Apr. 2022	Mar. 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		
	May 2022	Apr. 2022	Mar. 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.

In May, the OCM and Communications Lead drafted responses to numerous pilot court questions on the questionnaires they are completing related to readiness for implementation. She is aggregating responses for publication in an upcoming project newsletter.

The CLJ-CMS Project conducted a "roadshow" for the DMCMA spring conference in May.

2.2.2 OCM: eFiling

People			
OCM: eFiling	Three-Month Rolling Risk Levels		
	May 2022	Apr. 2022	Mar. 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		
	May 2022	Apr. 2022	Mar. 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		
	May 2022	Apr. 2022	Mar. 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		
	May 2022	Apr. 2022	Mar. 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		
	May 2022	Apr. 2022	Mar. 2022
	No Risk Identified	No Risk Identified	No Risk Identified

Findings

Work is continuing on training materials for local court subject matter experts (SMEs). Training is planned to be conducted in mid-to-late June.

More generally, the project's Training Team is working on a training calendar and is expected to provide training deliverables shortly.

2.3 Solution

2.3.1 Business Process: eFiling

Solution			
Business Process: eFiling	Three-Month Rolling Risk Levels		
	May 2022	Apr. 2022	Mar. 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		
	May 2022	Apr. 2022	Mar. 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		
	May 2022	Apr. 2022	Mar. 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		
	May 2022	Apr. 2022	Mar. 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		
	May 2022	Apr. 2022	Mar. 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.

A key technology milestone was achieved by the CLJ-CMS Project in May when the transfer of data from Enterprise Justice (formerly known as "Odyssey") to the Enterprise Data Repository (EDR) became fully functional.

2.3.6 Requirements, Design, and Configuration: Supervision

Solution			
Requirements, Design, and Configuration: Supervision	Three-Month Rolling Risk Levels		
	May 2022	Apr. 2022	Mar. 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		
	May 2022	Apr. 2022	Mar. 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		
	May 2022	Apr. 2022	Mar. 2022
	Risk Being Addressed	Risk Being Addressed	Risk Being Addressed

Findings

On April 19, the Associate Director of CSD provided the CLJ-CMS PSC with a presentation on the feasibility and cost analysis that he has performed regarding the development of an AOC integrations platform, including authentication services and other security issues, as a vehicle for enabling local courts to integrate third-party solutions with Enterprise Justice.

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 is pending. 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)
- Consider 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*

- Present the proposed project to the JISC for approval, given the anticipated size of the integration project

Risks and Issues

1. 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.
2. 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.

***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		
	May 2022	Apr. 2022	Mar. 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		
	May 2022	Apr. 2022	Mar. 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		
	May 2022	Apr. 2022	Mar. 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		
	May 2022	Apr. 2022	Mar. 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		
	May 2022	Apr. 2022	Mar. 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		
	May 2022	Apr. 2022	Mar. 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		
	May 2022	Apr. 2022	Mar. 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		
	May 2022	Apr. 2022	Mar. 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		
	May 2022	Apr. 2022	Mar. 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		
	May 2022	Apr. 2022	Mar. 2022
	No Risk Identified	No Risk Identified	No Risk Identified

Findings

Review of the results from the fifth data conversion trial run continues with good outcomes. 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		
	May 2022	Apr. 2022	Mar. 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		
	May 2022	Apr. 2022	Mar. 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		
	May 2022	Apr. 2022	Mar. 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		
	May 2022	Apr. 2022	Mar. 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		
	May 2022	Apr. 2022	Mar. 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 send 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		
	May 2022	Apr. 2022	Mar. 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		
	May 2022	Apr. 2022	Mar. 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		
	May 2022	Apr. 2022	Mar. 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		
	May 2022	Apr. 2022	Mar. 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.

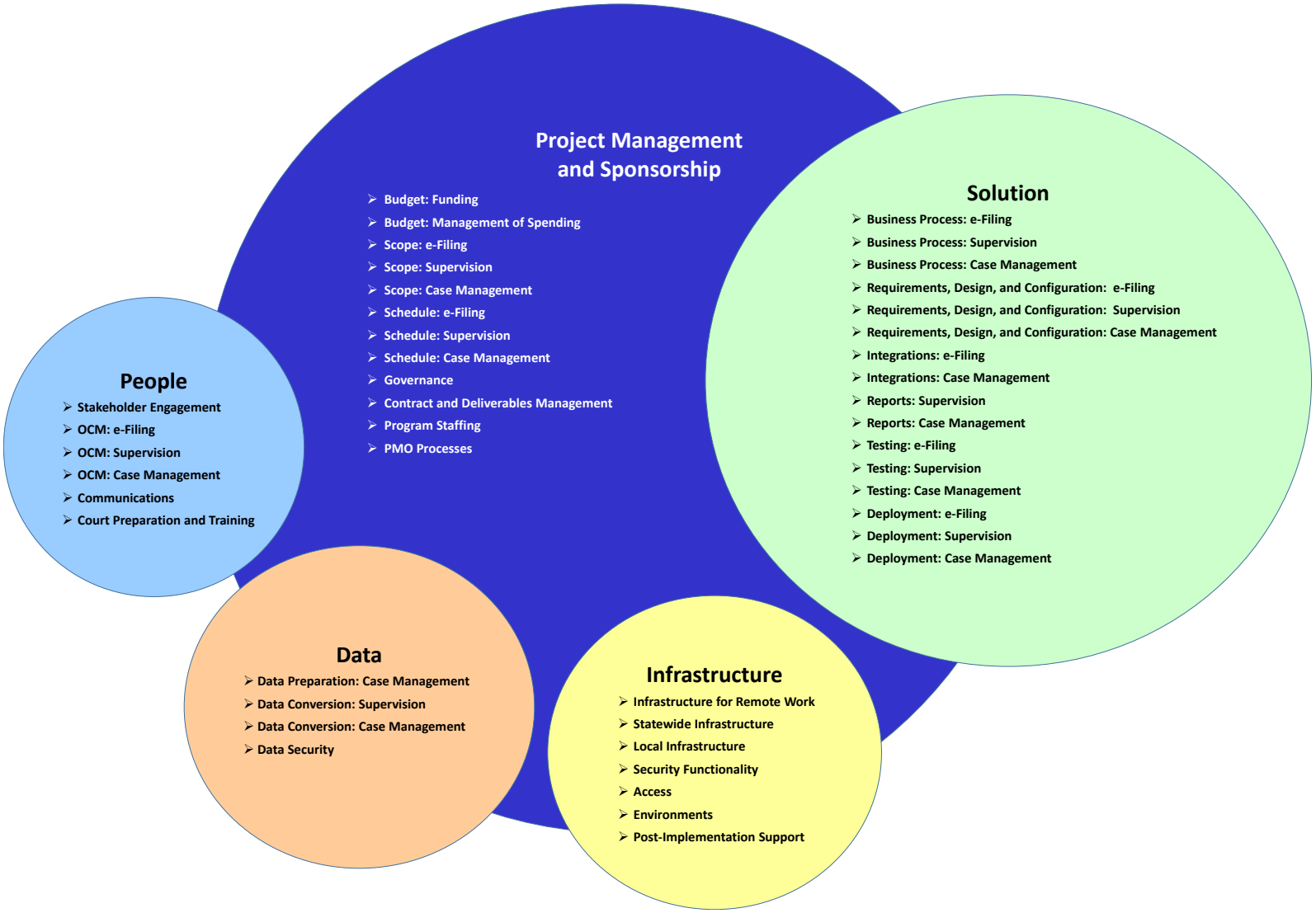

Figure 1. Areas of CLJ-CMS Project Assessed for Risks

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