WASHINGTON COURTS

Judicial Information System Committee (JISC)
Friday, August 25, 2023 (10:00 a.m. – 12:00 p.m.)

Register in advance for this meeting:

August 25th JISC Meeting Registration Link

Once registered, you will receive a confirmation email with details on how to join the meeting. Additional Zoom tips and instructions may be found in the meeting packet.

AGENDA

1.	**Call to Order** a. Introductions b. New and Re-Appointed JISC Members: • Judge Allyson Zipp (SCJA) – New • Ms. Heidi Percy (WSACC) – New • Judge Robert Olson (SCJA) • Mr. Joe Brusic (WAPA) • Mr. Dave Reynolds (WAJCA) c. Approval of Minutes	Justice Barbara Madsen, Chair	10:00 – 10:15	Tab 1
2.	**Change of Role – Scott Ahlf (Incoming CSD Director)**	Ms. Dawn Marie Rubio, State Court Administrator	10:15 – 10:20	
3.	**JIS Budget Update** a. 21-23 Budget Closeout b. Decision Point: 2024 Supplemental Budget IT Decision Packages	Mr. Chris Stanley, MSD Director	10:20 – 10:50	Tab 2
4.	**New IT Governance Requests for Authorization & Prioritization** a. Decision Point: Authorize/Prioritize ITG 1357 – Guardianship Monitoring and Tracking System (GMTS) b. Decision Point: Authorize/Prioritize ITG 1355 – Replace Appellate Court Case Management and E-Filing Systems	Mr. Kevin Ammons, ISD Associate Director	10:50 – 11:10	Tab 3
5.	**AOC ISD & CSD Resource Update**	Ms. Vonnie Diseth, ISD Director Mr. Dirk Marler, CSD Director	11:10 – 11:20	Tab 4
6.	**Blake Project Go-Live Update (ITG 1348)**	Mr. Moustafa Ibrahim, Project Manager	11:20 – 11:30	Tab 5
7.	**JIS Priority Project #1 (ITG 102):** **Courts of Limited Jurisdiction Case Management System (CLJ-CMS)**	Mr. Garret Tanner, Project Manager Mr. Allen Mills, Bluecrane	11:30 – 11:55	Tab 6

	a. Project Update b. QA Assessment Report			
8.	**Committee Reports** Data Dissemination Committee (DDC)	Judge John Hart, DDC Chair	11:55 – 12:05	Tab 7
9.	**Meeting Wrap Up**	Justice Barbara Madsen, Chair	12:05 – 12:10	

10.	**Informational Materials**
	    a. Board for Judicial Administration (BJA)
	           Meeting Minutes
	    b. ITG Status Report
				Tab 8

Persons with a disability, who require accommodation, should notify Anya Prozora at Anya.Prozora@courts.wa.gov to request or discuss accommodations. While notice 5 days prior to the event is preferred, every effort will be made to provide accommodations, as requested.				

Future Meetings:

2023 – Schedule

October 27, 2023

December 1, 2023

JUDICIAL INFORMATION SYSTEM COMMITTEE

June 23, 2023
10:00 a.m. to 12:00 p.m.
Online Zoom Meeting

Minutes

Members Present:
Judge Scott K. Ahlf
Mr. Derek Byrne
Mr. Donald Graham
Judge John Hart, Vice-Chair
Judge Kathryn Loring
Mr. Frank Maiocco
Judge David Mann
Ms. Barb Miner
Judge Robert Olson
Ms. Paulette Revoir
Ms. Dawn Marie Rubio
Ms. Margaret Yetter

Members Absent:
Justice Barbara A. Madsen, Chair
Ms. Mindy Breiner
Mr. Joseph Brusic
Chief Brad Moericke
Mr. Dave Reynolds

AOC Staff Present:
Mr. Kevin Ammons
Mr. Robert Anteau
Ms. Brittanie Collinsworth
Mr. Arsenio Escudero
Mr. Moustafa Ibrahim
Mr. Sriram Jayarama
Mr. Jamie Kambich
Mr. Mike Keeling
Mr. Combiz Khatiblou
Mr. Dirk Marler
Mr. Dexter Mejia
Ms. Aryn Nonamaker
Ms. Anya Prozora
Mr. Matt Rein
Mr. Chris Stanley
Mr. Garret Tanner
Ms. Natalia Veiga Zonatto

Guests Present:
Ms. Heather Dean
Ms. Laurie Garber
Mr. Enrique Kuttemplon
Mr. Allen Mills
Ms. Heidi Percy

Call to Order, Approval of Meeting Minutes & Welcome of New JISC Member

Judge John Hart called the Judicial Information System Committee (JISC) meeting to order at 10:03 a.m. This meeting was held virtually on Zoom.

Judge Hart recognized Ms. Barb Miner, the longstanding representative for the Washington State Association of County Clerks (WSACC) on the JISC, for her many years of service on the Committee and as the King County Clerk. Ms. Miner will be retiring in late July 2023. Judge Hart thanked her on behalf of the Committee for her innumerable contributions to the JISC, King County, and to the judicial system of Washington.

Judge Hart asked if there were any changes or additions to be made to the April 28, 2023 meeting minutes. Hearing none, the meeting minutes were approved as written.

21-23 JIS Budget & 23-25 IT Decision Packages Update & 23-24 Supplemental Budget Process

Mr. Chris Stanley provided a brief 21-23 budget and JIS 23-25 decision packages update. Of the $45 million that was requested in IT decision packages, the Legislature funded $34 million. All but two of the decision packages received partial to full funding. The most successful of the decision packages

was the request to bail out the JIS account and fully fund Judicial Branch IT Infrastructure. $24 million per biennium was requested, and the Legislature funded $20 million per biennium. Mr. Stanley noted that while this crucial funding does not fully "solve the problem", it is a good start that AOC hopes to build on in the coming years. He added that this fiscal year, we are still projected to end approximately $4 million "in the hole".

Regarding the 2024 Supplemental Budget process, all proposed decision packages are due today. Mr. Stanley and his team will then begin the process of analyzing, editing, and putting together the best package requests possible. He reminded the Committee that the Supplemental Budget is for technical fixes and critical/emergency needs only.

Rule Changes Update: GR 15 & GR 31

Mr. Arsenio Escudero gave a brief update on the status of the proposed changes to General Rules 15 and 31, which the JISC had previously approved and submitted to the Supreme Court for approval. GR 15's suggested changes related to clarifying statutory protections for sealed juvenile court records contained within Washington's Judicial Information System (JIS). GR 31's suggested changes related to clarifying that AOC is not responsible for any errors in court documents published through the JIS. Both proposed rule amendments were passed through the Supreme Court Rules Committee. Their publication date is set for June 27, 2023; prior to publication, the order will be subject to review by the Reporter of Decisions.

23-25 AOC IT Work & Proposed 2024 IT Supplemental Budget Requests

Mr. Kevin Ammons gave an overview of AOC's biennial work for 2023-25, which begins July 1, 2023. This work includes six projects which received funding from the Legislature as decision packages or as passed legislation. The projects are: ITG 1340 – Develop Enterprise Integration Platform, Upgrade Business Intelligence Tool (BIT), ITG 1326 – Court Interpreter Scheduling Study, Hope Card Program (House Bill 1766), ITG 1308 – Superior Court eFiling, and Implementing Office 365 for Appellate Courts and AOC. Existing work that will be continued during the coming biennium includes: CLJ-CMS Project (decision package), SECTOR Replacement (WSP funded project), and three projects that will utilize existing AOC staff: Supreme Court Opinion Application, Blake Refund System, and CLJ Protection Order View for Judicial Officers.

Mr. Ammons also mentioned four proposed 2024 IT Supplemental Decision Packages that have been submitted. These include Person Management Study, Appellate CMS (ACORDS) Replacement Study, Cyber Security Staffing, and Supreme Court Staffing.

Person Records Supplemental Budget Request & Decision Point

Mr. Dexter Mejia gave a follow-up presentation on the state of person records, which provides further details on the initial overview given at the April JISC meeting.

Incomplete, inaccurate, and improperly matched person records are on the rise and will continue to escalate unless we take steps toward creating better access to statewide person records by all court staff users, devise strategies to mitigate and prevent erroneous person records, and determine a future

state plan that is inclusive of all person and case data source systems. Contributing factors to this issue include the use of different case management systems to create person records, over and under-matching of person records, lack of access to statewide person records by court staff entering person data, and diminished application of the JIS Person Business Rules. Person records include person information such as name, date of birth/death, address, personal identifiers (such as driver's license number), and physical characteristics (race, ethnicity, eye color, height, weight, etc.). Person information is necessary to ensure the Individual's data entered on a case can be identified and associated with other cases featuring that same person identifying information. Person records, in the context of JIS, serve as the gateway for building individual case histories.

Mr. Mejia outlined how person records are created and managed, reviewed average monthly volumes of person records in source systems (totaling 140,000 new and 1,545,000 updated records a month), discussed JIS Person Business Rules (PBR) and policy statements, and listed current challenges. AOC will be putting together a supplemental budget decision package to accomplish two objectives: to hire third party consultants to analyze and propose solution options to statewide person record issues, and two add staff at AOC to address person record issues submitted by the courts. AOC is asking the JISC to approve the establishment of a Person Business Rules Subcommittee to update the existing JISC Person Business Rules.

Following some brief clarifying discussion, Judge Hart then asked if there was a motion to approve this decision point.

> **Motion:** **Judge Scott Ahlf**
>
> I move that the JISC approve the establishment of a Person Business Rules Subcommittee to update the existing Person Business Rules.
>
> **Second: Ms. Margaret Yetter**
>
> **Voting in Favor:** Judge Scott Ahlf, Mr. Derek Byrne, Mr. Donald Graham, Judge John Hart, Judge Kathryn Loring, Mr. Frank Maiocco, Judge David Mann, Ms. Barb Miner, Judge Robert Olson, Ms. Paulette Revoir, Ms. Dawn Marie Rubio, Ms. Margaret Yetter
>
> **Opposed:** None.
>
> **Absent:** Ms. Mindy Breiner, Mr. Joseph Brusic, Justice Barbara Madsen, Chief Brad Moericke, Mr. Dave Reynolds

The motion passed. AOC will now finalize the supplemental budget request and begin drafting the sub-committee charter and membership solicitation letters to be sent to the associations.

Blake Project Overview & Update (ITG 1348)

Mr. Moustafa Ibrahim gave an overview of the Blake Refund Application Project (ITG 1348). The Blake decision found the state's main drug possession statute unconstitutional; this impacted tens of thousands of individuals, requiring their convictions to be vacated by the court of record. Impacted individuals are entitled to request refunds of certain monies they paid related to the case. During the

recently concluded legislative session, convictions related to certain cannabis and paraphernalia offenses were added to the list of crimes that must be vacated. AOC has established a Blake Refund Bureau that will facilitate the new refund process. Beginning July 15, 2023, AOC will directly pay refunds on cases that have been vacated. AOC will provide a web application that allows the public to search for their case online, confirm their identity and address, and apply for a refund through the website.

Mr. Ibrahim then outlined the functionality of the Blake Refund application and who will use it, discussed the Blake Portal components, and provided short demonstrations of the Clerk, AOC, and Public portals.

JIS Priority Project #1 (ITG 102): Courts of Limited Jurisdiction – Case Management System (CLJ-CMS)

CLJ-CMS Project Update
Mr. Garret Tanner provided an update on the CLJ-CMS project; he provided an update on the Pilot go-live delay, and the project team's next steps going forward. The project team is working to complete legacy data exchanges with justice partners, resolving outstanding issues, and reviewing go-live tasks and assumptions to identify a new date for Pilot courts go-live. Tyler Technologies is scheduled to deliver the Enterprise Justice go-live candidate release today (June 23, 2023); Pilot User Acceptance Testing (UAT) will follow. If UAT goes well, the project will be able to lock in a go-live date and move towards end-user training. At this time, the project is targeting September 2023 as a potential go-live window, but this is a target only. A firm date for Pilot go-live will be provided at the August JISC meeting. Mr. Tanner then gave details on go-live readiness tasks, recent eFiling and CMS activities, project outreach, and other work in progress; he then highlighted updates to the project issues and risks.

Quality Assurance Assessment Report
Mr. Allen Mills, with the project's QA vendor Bluecrane, provided an overview of the May QA Assessment Report for the CLJ-CMS project. The full report can be found in the JISC meeting packet.

Superior Court CMS Upgrade Project Update (ITG 1352)

Mr. Combiz Khatiblou provided an update on the Superior Court CMS Upgrade project (ITG 1352). The project will upgrade the Superior Court CMS from the current Odyssey/Navigator 2018 to Enterprise Justice (EJ) 2023. This is a major system upgrade. EJ 2023 provides a path for implementing modernized features such as Integrated Judge and Clerk Edition. The project will be completed in two phases. Phase 1 will include EJ 2023 and CMS general functionality improvements, and will replace Microsoft Silverlight with Window Presentation Foundation (WPF), minimizing security risks imposed by Silverlight. QA and User Acceptance Testing is underway and will run through the end of October. Nine counties are participating in the UAT. This phase is estimated to be deployed on November 30, 2023. Phase 2 will include Integrated Judge Edition, Integrated Clerk Edition, and updates to text and email notifications. This phase is estimated to be developed in 2024. Mr. Khatiblou outlined current tasks and accomplishments, and reviewed project risks and next steps.

Data Dissemination Committee (DDC) Report

The Data Dissemination Committee did not meet this month, as there were no new agenda items.

Meeting Wrap Up & Adjournment

Judge Kathryn Loring announced that this would be her last JISC meeting. Judge Hart thanked her for her work and valuable contributions to the Committee throughout her term.

Judge Hart then adjourned the meeting at 11:49 a.m.

Next Meeting

The next meeting will be August 25, 2023, via Zoom from 10:00 a.m. to 12:00 p.m.

Action Items

	Action Items	Owner	Status

2024 Supplemental Budget Briefing

Christopher Stanley, CGFM – Chief Financial and Management Officer, AOC
August 25, 2023

Budget Outlook & Forecast

In billions

Projected Ending Balance, June 30, 2025: $1.984
      Add Rescue Plan Account: $0.798
      Add Rainy Day Fund: $1.342
Official Resources Available Total: **$4.124**

Where does it go?
- $3.0B is already booked in the 2025-27 biennium
- Caseload Changes and Maintenance Level Increases

On the four-year outlook, only about $500M is available.

Updated Revenue Forecast Coming September 26

Administrative Office of the Courts
2024 Supplemental Budget
Requested Total: TBD

Support Trial Courts

Improve Access to Justice

Maintain Critical IT Infrastructure

The Board for Judicial Administration is meeting on September 15, 2023 to make final determinations on non-IT budget requests.

1. Implement Small IT Projects
   a) Cyber Security
   b) Person Management
   c) Appellate Case Management
   d) Appellate Document Management

TBD

TBD

$1.8 million

![Washington Courts logo]

Questions?

Christopher.Stanley@courts.wa.gov
360-357-2406

Questions?

Christopher.Stanley@courts.wa.gov
360-357-2406

Blue Sheet: Administrative Office of the Courts (AOC)

Information Technology Decision Packages

				TOTAL REQUEST:	4.5	$1,769,200
Agency	Level	Title	Summary		FTE	Amt Requested
AOC	PL	Implement Small IT Projects	The Administrative Office of the Courts (AOC) requests 4.5 FTE and $882,600 in ongoing funding and $886,600 in one-time contracts and software licensing to complete small information technology projects to: 1) analyze appellate case management and eFiling alternatives; 2) provide specialized, technical expertise to the Appellate Court Enterprise Content Management System; 3) address Washington courts' decentralized person record management; and 4) support cybersecurity investments. These investments are necessary to inform the continued modernization of AOC technology and to secure and support existing information technology investments.		4.5	$1,769,200
			TOTAL		4.5	$1,769,200

Judicial Information System Committee Meeting   August 25, 2023

DECISION POINT – 2024 Supplemental Budget Decision Packages

MOTION:

I move that the JISC approve the 2024 supplemental budget request as presented, with the understanding that the dollar amounts and narrative may change slightly as the final submission is finalized later in September.

I.   BACKGROUND

RCW 2.68.010 provides that the JISC "shall determine all matters pertaining to the delivery of services available from the judicial information system." RCW 2.68.020 provides that the Administrative Office of the Courts (AOC) shall maintain and administer the Judicial Information System (JIS) account. JISC Rule 1 requires the Administrator for the Courts to operate the JIS, under the direction of the JISC and with the approval of the Supreme Court. JISC Rule 4 requires the Administrator for the Courts to prepare funding requests, under the direction of the JISC and with the approval of the Supreme Court.

II.   DISCUSSION

The proposed 2024 supplemental budget summary identifies those items, activities, or projects that will most likely need supplemental funding in the next fiscal year.

III.   PROPOSAL

AOC recommends that the JISC approve the 2024 supplemental budget request items as submitted with the understanding that the amounts per request may change slightly.

IV.   OUTCOME IF NOT PASSED

If not passed, the budget submittal could be delayed reducing the time available to propose the requests to the legislature. Delay could jeopardize the availability of funding.

Judicial Information System Committee Meeting   August 25, 2023

DECISION POINT – Authorize and Prioritize Information Technology Governance (ITG) Request #1357- Guardianship Monitoring and Tracking System (GMTS)

MOTION:

I move that ITG Request #1357 be authorized.

I. BACKGROUND

Since November 2021, the guardianship program has been discussing the need for a software solution for guardianship cases to aid the Guardianship Monitoring and Support Initiative (GMSI).

The GMSI is charged with providing a uniform approach that includes safeguard and accountability practices throughout the duration of adult guardianships and conservatorships in Washington State. This approach serves as structured guidance and support to guardians and other professionals to mitigate risks of mistreatment, neglect and exploitation, and protect vulnerable adults subject to guardianship or conservatorship.

GMSI staff met with court officials, guardians, and guardianship coordinators from different jurisdictions to understand the challenges and deficiencies in current guardianship monitoring practices. With constraints for time, lack of resources, workload by judges and court staff, lack of processes and electronic tools, the risks of guardianship cases becoming out of compliance and unchecked are high. The proposed software solution will address these concerns.

II. DISCUSSION

There is currently no statewide tracking and monitoring technology-based solution for guardianship cases, making the effort of tracking and monitoring largely a manual endeavor of re-creating cases outside of known case management systems and creating lists and spreadsheets. Furthermore, practices for tracking and monitoring guardianship cases vary by superior court, and in most jurisdictions the practice is absent due to the lack of resources, processes, and tools.

Providing a technology-based solution available to all of the superior courts is desired to support and promote the practice of proactively tracking and monitoring the guardianship cases while maintaining consistency and efficiency.

Providing a technology-based solution is one of the opportunities learned from Spokane County Superior Court, who leads the way in the practice of tracking and monitoring of

guardianship cases in Washington, and from discussions with the guardianship community and court leaders for helping jumpstart the tracking and monitoring practice. As such, GMSI seeks to develop tracking and monitoring practices that will be embodied and facilitated by a statewide technology-based solution.

III. OUTCOME IF NOT PASSED –

The GMSI program and superior courts will not have a standardized, effective, and efficient way to track adult guardianships and conservatorships in Washington.

Request:
This request is for a Guardianship Monitoring and Tracking System.

Summary of Proposed Solution:
The Administrative Office of the Courts (AOC) would build a software solution for guardianship cases to aid the Guardianship Monitoring and Support Initiative to achieve the following goals:

1. To provide the courts information that verifies the location of an adult subject to guardianship; confirms the physical, emotional, and financial well-being of adults subject to guardianship; and supports the court's determination regarding the continued appropriateness of guardianships or the option for less restrictive alternatives.
2. To strengthen the integrity and reliability of guardianship data and increase the court's capacity to track and monitor guardianships cases.
3. To engage with lay guardians to enhance their knowledge of court rules and processes and improve their understanding of the duties and powers entrusted to them by the court

Sizing:
The following estimate is based upon the best available information and does not include cost or effort estimates for on-going maintenance of the enhancement.

This request would be accomplished by AOC's internal resources. The system(s) affected by the change would be: Guardianship Tracking & Monitoring. If this request is recommended by the court level user group, it will proceed to the JISC for authorization.

AOC estimates that this project would take 18 months to complete at an estimated cost of roughly $1,500,000*. This is an estimate of the duration of the project from the date work would begin on the project until final implementation.

Business Impacts:
This change will enable the Guardianship Monitoring and Support Initiative (GMSI) to achieve the following:

- Enable the program to deliver and implement a statewide technology-based solution for tracking and monitoring guardianship cases.
- Adopt a technology-based guardianship monitoring and tracking solution by the Washington State's Superior Courts.
- Enable the analysis of data from the technology-based solution regarding non-compliance, delinquent guardianships, active guardianships, report due dates, and other required data points.
- Achieve a measurable decline of noncompliant guardianship cases due to the pro-active tracking and monitoring of the cases.
- Increase the use of least restrictive alternatives in guardianship cases including other protective arrangements.

Proposed Solution:
AOC proposes to develop and make available to the Washington State's Superior Courts, a tracking and monitoring program supported by a technology-based solution for guardianship cases that facilitates the consistent tracking and monitoring practices as defined by the GMSI program.

**ISD staff costs average $84 per hour. Contractor staff generally costs $120 - $150 per hour- include these costs if applicable

Assumptions:
- Staff resources to manage the project, collect requirements, design, develop, and test the desired technology-based solution will be made available
- Funding is available for the project
- Development will not begin until processes and requirements are completed and approved
- An options analysis will need to be undertaken to determine the approach whether to build or buy or refactor an existing solution.
- Project management will be required
- Training and operational support will be provided for the end-users by the GMSI program
- Scope will be analyzed and negotiated based on the vision, feasibility of the desired features, availability of funding, resources, and technology dependencies
- A pilot event is desired to proof the solution and processes
- Data contained or created in the technology-based solution is not expected to write back to the source case management systems used by the Superior Courts
- Data contained and created in the technology-based solution will be kept secured and confidential
- An iterative approach will be needed to build the desired capabilities or features

Risks:

This project entails the following risks:
- The program has been in discussion about developing a technology-based solution to support the tracking and monitoring of guardianship cases since November of 2021 and expectations were set for a finished product by early 2023. At the time of writing this document (September 2022), decisions are still pending regarding the business requirements, workflow processes, and technology-based solution specifications. Time will be needed to develop the vision, scope, design, elicit, and document the requirements, undertake an options analysis, and estimate the cost for developing a technology-based solution and its support over time.
  - Mitigation: Facilitate and complete envisioning, scoping, and high-level business requirements definition activities to submit a formal ITG request.
- The scope (which is still being determined) of the desired technology solution may be too large.
  - Mitigation: A phased or iterative approach should be considered.
- Availability of AOC resources to define requirements, build and test the application is at an all-time low due to recruitment challenges, retirements, and departures. At the writing of this document, there are no available business analysts, project managers, and development resources available.
  - Mitigation: Submit a formal ITG request to get in the queue and prioritization processes.
- Availability of funds for developing the technology-based solution has not been fully contemplated. Appropriation for one FTE was provided in 2021. While the position was filled, costing and level of effort information regarding the desired technology-based solution was not apparent.
  - Mitigation: Submit ITG and request a detailed options analysis to discover costs.
- Developing a technology-based solution will take too long.

- o Mitigation: The goals and objectives of the program are numerous and complex. To help expedite development of a solution, reduction of the scope and requirements or an iterative approach will be required.

Not doing this project entails the following risks:

If the request is declined, the GMSI program will:
- Not be able to deliver and implement a statewide technology-based solution for tracking and monitoring guardianship cases
- Not be able to analyze non-compliance, delinquent guardianships, active guardianships, report due dates, and other required data points
- Not be able to effectively reduce the number of noncompliant guardianship cases
- Will have to resort to inefficient manual processes to track and monitor guardianship cases

Judicial Information System Committee Meeting   August 25, 2023

DECISION POINT – Authorize and Prioritize Information Technology Governance (ITG) Request #1355- Replace Appellate Court Case Management and E-Filing Systems

MOTION:

I move that ITG Request #1355 be authorized.

I. BACKGROUND

The case management system used by the Supreme Court and Court of Appeals since 2003 is the Appellate Court Record and Data System (ACORDS). Modifications to this aging system are prohibitively risky, since changes are known to produce system instability. This risk prevents delivery of needed enhancements, resulting in the inability to meet current court needs. ACORDS lacks the reporting capabilities needed by the courts. Additionally, ACORDS lacks a modern court calendaring solution that would enable staff to schedule, conduct, and report on court hearings. These shortcomings require court staff to manually schedule, maintain, and report on all court hearings.

The e-File solutions are separate applications which require significant integration and support. They are built on a code base which is difficult to support due to a lack of sufficient development resources. The e-File solutions lack automated error handling and monitoring capabilities. This requires AOC staff to manually check for and correct issues with e-files on a daily basis.

II. DISCUSSION

The Supreme Court and Court of Appeals rely on AOC to provide the IT solutions that enable them to record and track cases for direct review and appeal. Cases are primarily filed via two e-File systems, one for public, and one for Department of Corrections (DOC) incarcerated individuals. Case management tasks include entering case information (details, participants, events, etc.), into the case management system. Additionally, case files are created, stored, and routed using the document management system. Court staff also produce reports, create and manage court calendars, notify parties, display calendars on a public-facing website, and manage the confirmations that result from the notifications.

Through this request, the AOC document business requirement, conduct an options analysis, and will purchase a COTS technology solution to replace ACORDS and the Appellate e-File Portal in order to attain a modernized and updated case management system and E-filing system.

III. OUTCOME IF NOT PASSED –

The Supreme Court and Court of Appeals will continue to use an increasingly antiquated and aging case management and e-filing system that the AOC will find more difficult to maintain.

Request:
The Supreme Court and Court of Appeals rely on AOC to provide the IT solutions that enable them to record and track cases for direct review and appeal. Cases are primarily filed via two e-File systems , one for public, and one for Department of Corrections (DOC) incarcerated individuals. Case management tasks include entering case information (details, participants, events, etc.), into the case management system. Additionally, case files are created, stored, and routed using the document management system. Court staff also produce reports, create and manage court calendars, notify parties, display calendars on a public-facing website, and manage the confirmations that result from the notifications.

The case management system (CMS) used by the Supreme Court and Court of Appeals since 2003 is the Appellate Court Record and Data System (ACORDS). Modifications to this aging system are prohibitively risky, since changes are known to produce system instability. This risk prevents delivery of needed enhancements, resulting in the inability to meet current court needs. The CMS lacks the reporting capabilities needed by the courts. Additionally, the CMS lacks a modern court calendaring solution that would enable staff to schedule, conduct, and report on court hearings. These shortcomings require court staff to manually schedule, maintain, and report on all court hearings.

The e-File solutions are separate applications which require significant integration and support. They are built on a code base which is difficult to support due to a lack of qualified application developers familiar with it. The e-File solutions lack automated error handling and monitoring capabilities. This requires AOC staff to manually check for and correct issues with e-files on a daily basis.

Summary of Proposed Solution:
The Administrative Office of the Courts (AOC) would initiate a project to evaluate options and purchase a commercially available "off the shelf" (COTS) technology solution to replace ACORDS and the Appellate e-File Portal.

Sizing:
The following estimate is based upon the best available information and does not include cost or effort estimates for on-going maintenance of the enhancement.

This request would be accomplished by AOC's internal resources and contracted vendor resources. The system(s) affected by the change would be: ACORDS – Appellate Court Record and Data System, OnBase, and both e-Filing solutions. If this request is recommended by the court level user group, it will proceed to the JISC for authorization.

AOC estimates that this project would will require three or more years to complete at an estimated cost of $2,000,000. This is an estimate of the duration of the project from the date work would begin on the project until final implementation.

Business Impacts:
This change will provide multiple benefits for Supreme Court, Court of Appeals, and AOC staff. For example:
- Reduce duplicate data entry by court staff
- Reduce complexity by enabling court users to create, track, and manage cases throughout lifecycle (e-File to disposition) from a singular system

- Simplify court user daily work with comprehensive views of case data and parties
- Enhance security with modern security access controls within the CMS
- Improve court user productivity with OnBase integration
- Improve user experience sending appellate court case data to the Enterprise Data Repository (EDR)
- Increase productivity through the use of modern, integrated calendar and scheduling capabilities
- Improve court user productivity by enabling them to configure hearing notices and printed calendars, as well as the ability to track and manage judicial recusals and hearing confirmations
- Simplify public's ability to see and understand their case status and information
- Improve court user productivity via user generated forms, letters, and reports
- Reduce time to locate information via modern search functions
- Improve customer experience with easy to follow e-File instructions for filers
- Improve court user productivity by simplifying the review, denial, or acceptance of e-Files

Proposed Solution:
AOC proposes to purchase a COTS technology solution to replace ACORDS and the Appellate e-File Portal. A project will be established, and an RFP executed to determine a viable solution. Once selected, the project would implement and transition/train AOC and the Supreme Court and Court of Appeals on the new technology.

Assumptions:
- This will be a multi-year project
- An all-in-one solution exists
- COTS solution will integrate with OnBase
- COTS solution will integrate with EDR
- Opinion tracking/management is separate from this effort

Risks:

This project entails the following risks:
- Potential learning curve for end users
- Transfer of old system data into new system
- Unknown how new authentication system may integrate
- Depending on project start date, could happen concurrently with M365 rollout
- COTS system may not integrate easily with OnBase
- COTS system may not integrate easily with EDR

Not doing this project entails the following risks:
- Continue using "brittle" ACORDS system
- Users continue to have to perform manual work
- Users continue performing duplicate data entry
- Legacy technology base for ACORDS presents security risks
- AOC continues being unable to modernize/enhance ACORDS

JISC IT Governance Priorities

August 25, 2023

Current JISC ITG Priorities

JISC Priorities				
Priority	**ITG#**	**Request Name**	**Status**	**Requesting CLUG**
1	102	Courts of Limited Jurisdiction Case Management System	In Progress	CLJ
2	27	Seattle Municipal Court CMS to EDR Data Exchange	In Progress	CLJ
3	1340	Enterprise Integration Platform and External API	In Progress	Non-JIS
4	1308	Integrated eFiling for Odyssey DMS Superior Courts	Authorized	Non-JIS

Authorized   In Progress   Completed   Withdrawn or Closed

Proposed JISC ITG Priorities

JISC Priorities

Priority	ITG#	Request Name	Status	Requesting CLUG
1	102	Courts of Limited Jurisdiction Case Management System	In Progress	CLJ
2	1355	Replace Appellate Court Case Management and E-Filing Systems	-	Appellate
3	27	Seattle Municipal Court CMS to EDR Data Exchange	In Progress	CLJ
4	1340	Enterprise Integration Platform and External API	In Progress	Non-JIS
5	1308	Integrated eFiling for Odyssey DMS Superior Courts	Authorized	Non-JIS
6	1357	Guardianship Monitoring and Tracking System	-	Superior

Requests to be prioritized, if authorized by JISC

Authorized   In Progress   Completed   Withdrawn or Closed

WASHINGTON COURTS
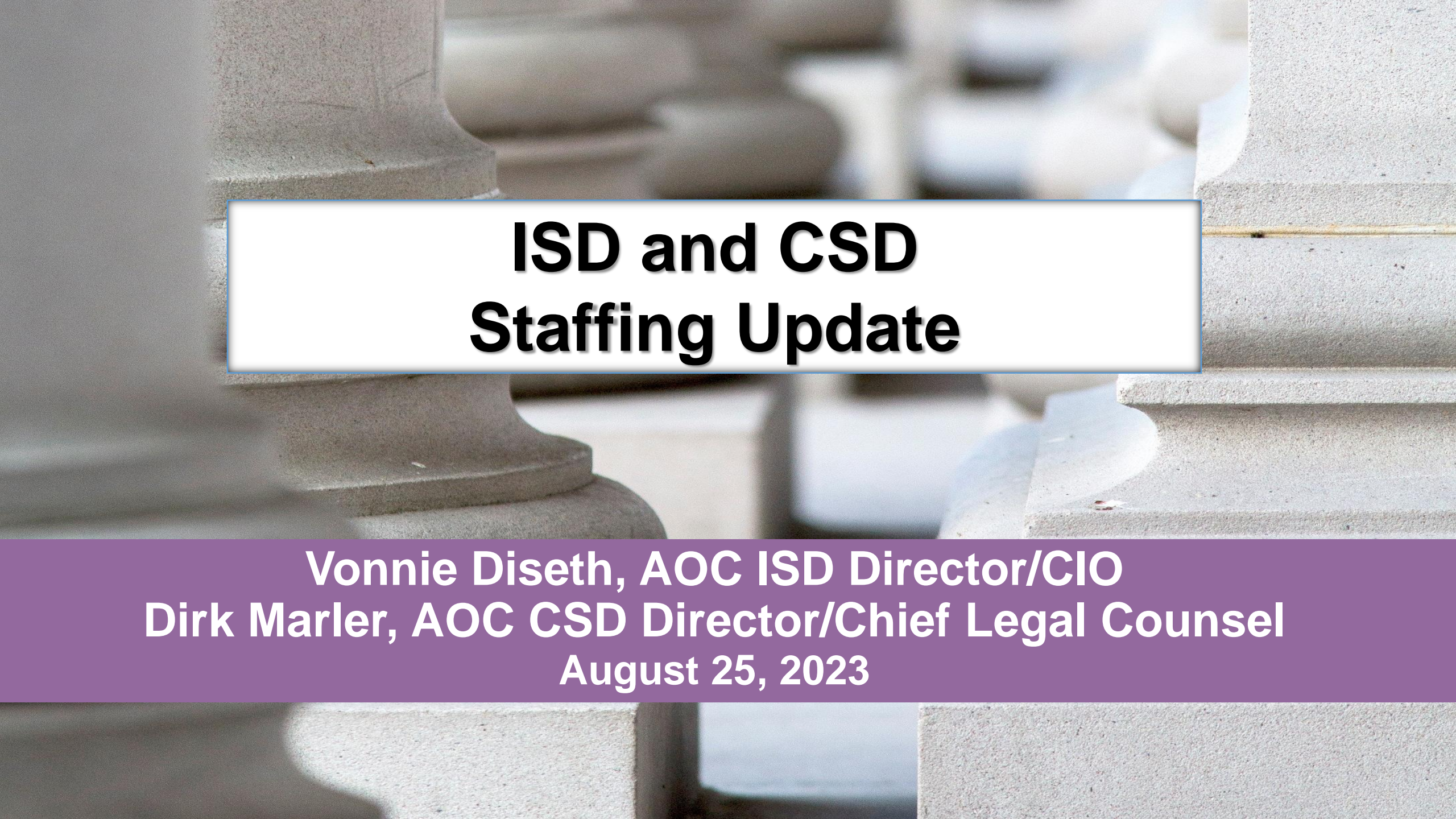
ISD and CSD Staffing Update

Vonnie Diseth, AOC ISD Director/CIO
Dirk Marler, AOC CSD Director/Chief Legal Counsel
August 25, 2023

What We Were Experiencing – Feb 2022

Agency Growth: New AOC positions

Staff leaving for higher paying jobs

Recruitments open for months at a time

Unprecedented demand on HR

46 Vacancies (19% Vacancy Rate)

What We Are Experiencing Now

More applicants to our recruitments

More <u>qualified</u> applicants to our recruitments

Improved staff support from HR (increased capacity)

21 Current Vacancies (8% Vacancy Rate)

February 2022 Vacancies by Program

Program	Impacted Projects	ISD Positions	CSD Positions
Appellate Court	Public Web Access Portal OnBase Version Upgrade Supreme Court Opinion Tracking System	Senior Developers (3) ✓ Bear Left – 4/1/22 ✓ Divya Sudhagoni – 6/1/22 ✓ Ishwor Ojha – 5/1/23	Business Analysts (1) ✓ Bailee Roby – 6/16/23 ✓ Brittni Rogers, Court Business Supervisor - 7/16/23
Superior Court	Odyssey Portal Support Text Messaging and Notifications SCDX Maintenance/Support HB1320 Legislative Changes New 2022 Legislative Changes	System Support Analyst (1) ✓ Heather Bisgaard -12/5/22	Business Analyst (1) ✓ Sergio Montemayor ✓ Veronica Willer – 12/1/22

WASHINGTON COURTS

February 2022 Vacancies by Program (cont.)

Program	Impacted Projects	ISD Positions	CSD Positions
Courts of Limited Jurisdiction	**CLJ-CMS Project** **ESSB-5226 Legislative Changes** **HB1320 Legislative Changes** **New 2022 Legislative Changes**	**Deputy Project Manager (1)** ✓ Brittanie Collinsworth – 9/5/22 **Senior Integrator (1)** **Data Migration Specialist (1)** **Production Support (3)** **SQA Tester (1)** ✓ Megha Chaturvedi – 8/16/23 **Application Security Analyst (1)** ✓ Jesse Christoffer – 6/1/23	**Business Analyst (2+)** ✓ Kelley McIntosh – 3/1/22 ✓ Cindi Hope - 11/8/22 ✓ Cathy Palermo - 9/1/22 ✓ Dawn Williams – 7/25/22 ✓ James Hayes – 1/3/22 **Customer Services (2)** ✓ Olivia Childress-White - 9/1/22 ✓ Carin Kissner – 6/6/22 ✓ Chrissy Lofgren – 4/18/22 ✓ Heather Peters – 4/18/22
Juvenile Court	**Juvenile Court Assessment Tool (JCAT)** **JCS Platform Migration** **HB1320 Legislative Changes** **New 2022 Legislative Changes**	**Senior Developer (2)** ✓ Christopher Smith – 5/1/22 ✓ Mahima Subbaraman – 1/16/23 **Senior Support Analyst (1)** ✓ Mark Mentzer – 12/1/22 **Tester (1)** ✓ Mark Edwards – 7/3/23	**Business Analyst (1)** ✓ Kristen Hersrud - 5/16/23 ✓ Scotty Jackson left - 5/19/23

WASHINGTON COURTS

February 2022 Vacancies by Program (cont.)

Program	ISD Positions	CSD Positions
JIS Enterprise Support (JABS, JIS-Link, EDR, JISC, Infrastructure, Architecture, etc.)	**IT Business Liaisons (2)** ✓ Arsenio Escudero – 4/1/22 ✓ Phillip Gonzales – 1/3/23 **Senior Server Admin. (1)** ✓ David Hill – 8/16/22 **Enterprise Architect (1)** ✓ Rick Villamil – 1/1/23 **Admin Secretary (1)** ✓ Aryn Nonamaker – 11/21/22 **PMO & QA Manager (1)** ✓ Robert Anteau – 4/1/23 **Data Quality Coordinator (1)** ❖ Holding/TBD	**Business Analyst EDR (1)** ✓ Anusha Makam - 5/1/23

WASHINGTON COURTS

February 2022 Vacancies by Program (cont.)

Program	ISD Positions	CSD Positions
JIS Enterprise Support (JABS, JIS-Link, EDR, JISC, Infrastructure, Architecture, etc.)	**System Integrator (1)** ✓ **Scott McGeary – 10/17/22** **Senior Developers (2)** ✓ **Andrew Enright – 9/12/22** ✓ **Praneetha Sistla - TBD**	
Grant Funding – Washington Traffic Safety Commission	**Integrators (2)** ❖ **N/A – Doing the work with existing internal resources**	**Business Analyst (1)** ❖ **N/A – Doing the work with existing internal resources**

February 2022 Vacancies by Program (cont.)

Program	ISD Positions	CSD Positions
Firearms Program		Business Analyst (1) Administrative Secretary (1)
JIS Training		Technology Educators (2) ✓ Franka Butler – 5/16/23
Court Services Division		CBO Manager (1) ✓ Jamie Kambich Sr. Administrative Assistant (1) ✓ TJ Grace - 1/16/23 Business Analyst (1) ✓ Jennefer Johnson – 6/16/23 Court Education Services (1) ✓ Maggie Christofferson – 8/16/23

February 2022 Vacancies by Program (cont.)

Program	ISD Positions	CSD Positions
Legal Services		**Principal Legal Analyst (1)** **Legal Services Sr. Analyst (1)** ✓ Stephanie Hyatt- 8/17/22 ✓ Victoria Latus – 10/10/22 ✓ Douglas Kiger – 5/16/23 **Court Program Analyst (1)** **Administrative Assistant (3)** ✓ Helen Hall - 5/16/23 ✓ Breda Fitzgerald – 4/4/22 ✓ Lilly Lindberg – 4/1/22 ✓ Samantha Varrone – 10/1/22
TOTAL VACANCIES (2022)	**28 Vacancies (19%)**	**18 Vacancies (19%)**

What We Did . . .

Completed 2021 Compensation Study (The Segal Group)

Submitted 2022 supplemental budget request to retain and recruit staff with competitive salaries

Hired some contracted resources

3.25% salary increase for all state employees – effective July 1, 2022

Posted starting salaries for recruitments at the mid-range of salary structure

4% salary increase for all state employees – effective July 1, 2023

Planning for another Compensation Study (Part 2)

WASHINGTON
COURTS

New 23-25 Legislative Funded Positions

Program	ISD Positions	CSD Positions
Appellate Court	**Senior Software Developer (1)** ✓ **Mark Gu – 6/1/23 (Supreme Court)**	**Business Analyst (1)**
Data Quality Program	**Senior System Integrator (1)** **System Integrator (1)** **IT Solutions Architect (1)**	**Business Analyst (2)** **Senior Court Program Analyst (1)**
Blake Implementation	**System Support Analyst (1)** ✓ **Sravya Chaparla – 7/17/23**	
Migrate to Office 365	**Senior Server Administrators (2)** **Desktop Support (2)**	
Protection Orders/Hope Cards – ESHB 1766	**IT Solutions Architect (1)**	**CBO Manager (1)**
Online Court Education LMS and Education Websites	**Senior Software Developer (1)**	

WASHINGTON COURTS

Current 2023 Vacancy Rates

	ISD	CSD
Total Number of Staff	157	92
Current Vacant Positions	16	5
2022 Vacancy Rate	19%	19%
2023 Vacancy Rate	10%	6%

Interesting Observation . . .

	ISD	CSD
Total Number of Staff	157	92
Total Number of NEW Staff (since June of 2021)	42	43
Percentage of Staff with less than 2 years of AOC and court knowledge	27%	47%

Blake Refund Application

Moustafa Ibrahim
August 25, 2023

New Blake Refund Process

- AOC has provided a web application that allows the public to search for their case, confirm their identity and address, and apply for a refund on the website
- On July 21st, AOC conducted a demonstration for the media and the public prior to implementation. Positive feedback was received.
- Successful System Go Live officially occurred on July 29th
- 21,000+ vacated cases uploaded to the system as of August 14th
- 29 refund requests received from the public as of August 14th

WASHINGTON
COURTS

Public Portal

  Login or Signup

Home   Eligible Refunds   Help

Blake Refund Bureau

Washington State's official online reimbursement center for court-ordered fines or costs paid in connection with *Blake*-related drug possession convictions.

Use of this website constitutes acceptance of the Terms and Conditions.

To apply for your *Blake*-related LFO refund(s):

Step 1 – Find your case

Find your case here after your *Blake*-related conviction(s) are vacated and refund eligibility is determined by the court(s). Help on searching for your case can be found here. If you do not see the refund you are looking for, please contact the court that you expect to issue your refund. Court information and resources to help with your vacate process can be found here.

Step 2 – Fill out the online form and upload all necessary documents

Once a completed request is submitted with proof of ID, you will receive an email and on-screen confirmation that your refund request has been filed. Instructions on filling out the form can be found here. Your refund will then be added to a queue for review. Incomplete requests and missing documents will delay our ability to process your refund request. *We cannot review your request until we have this information.*

Step 3 – Confirmation and review

After submitting your refund request, you will receive a confirmation message and an email indicating that your request has been received. Our team will review the information submitted and may contact you for further verification or clarification if needed. If you submitted your refund online, you can check the status at any time. View your application status / list of applications here. We may ask for more information from you via email as we progress through the refund process.

Step 4 – Processing and payment

Once your refund request has been reviewed and approved, our Blake Refund Bureau will process the payment. Your refund check will be mailed to the address provided. You can track your refund progress via this portal, as status updates will be updated throughout the process.

Court access: https://refundportal.courts.wa.gov/   Public access: https://refund.courts.wa.gov/

AOC access: https://aocrefunds.courts.wa.gov/

Questions?

WASHINGTON COURTS

Courts of Limited Jurisdiction Case Management System (CLJ-CMS)

GARRET TANNER, PROJECT MANAGER
August 25, 2023

Project Scope

- Three Components:
    - eFile & Serve (Odyssey File & Serve)
    - Enterprise Justice (Odyssey)
    - Enterprise Supervision (Tyler Supervision)

Go-Live Date

- Pilot Court Go-Live target October 23, 2023
- Next Steps
  - Implement feedback from Pilot Court UAT
  - Finalize system testing
  - Finalize Pilot Court configuration
  - Work Implementation Plan

Project Timeline
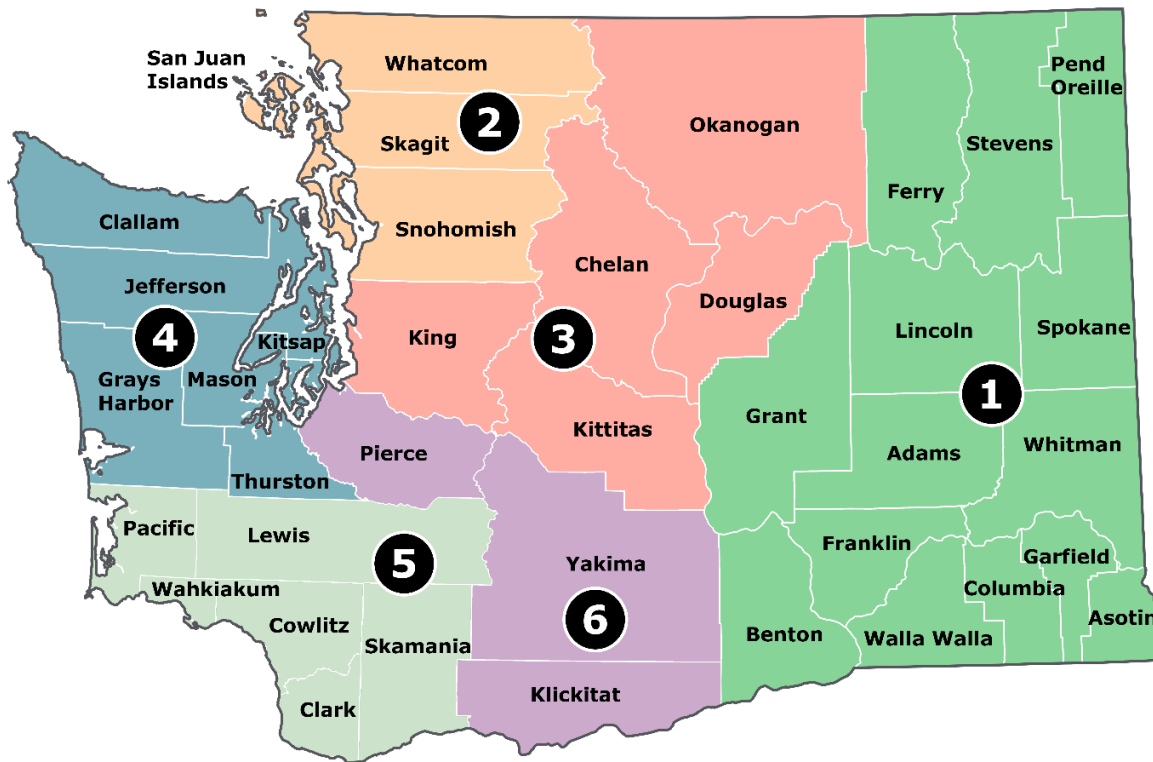
Counties by Phase

Pilot Courts
Pierce District, Tacoma Municipal,
Gig Harbor Municipal, Fircrest/Ruston Municipal

Phase 1
Eastern Washington - Adams, Asotin, Benton, Columbia, Ferry, Franklin, Garfield, Grant, Lincoln, Pend Oreille, Spokane, Stevens, Walla Walla, and Whitman

Phase 2
North Washington - Island, San Juan, Skagit, Snohomish, and Whatcom

Phase 3
North Central Washington - Chelan, Douglas, King Municipals, Kittitas, and Okanogan

Phase 4
Western Washington - Clallam, Grays Harbor, Jefferson, Kitsap, Mason, and Thurston

Phase 5
Southwest Washington - Clark, Cowlitz, Lewis, Pacific, Skamania, and Wahkiakum

Phase 6
South Central Washington - Klickitat, remainder of Pierce Municipals, and Yakima

WASHINGTON COURTS

Pilot Phase Timeline
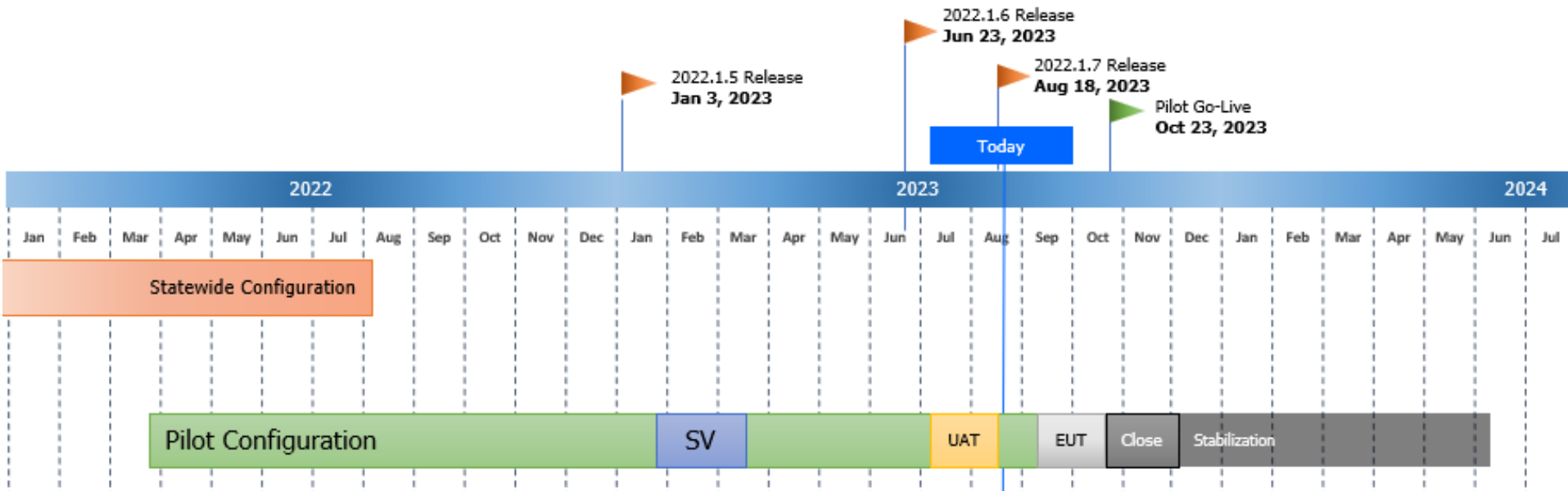
Go Live Readiness*

Focus Area	Status	Risk to Timeline
eFile & Serve	Ready	Low Risk
Development Enterprise Justice	In Development	Medium Risk
Development Enterprise Supervision	Testing	High Risk
Configuration Enterprise Justice	Testing	
Configuration Supervision	Testing	
Data Conversion Enterprise Justice	Testing	
Data Conversion Enterprise Supervision	Testing	
Data Exchanges (EDR)	Testing	
Data Exchanges (Other)	Testing	
Enterprise Justice Financials	Ready	
Enterprise Justice Reporting	Ready	
Enterprise Supervision Reporting	Ready	
Pilot Court Readiness	Ongoing	*As of August 1

WASHINGTON COURTS

Recent eFiling Activity

✓Solution Validation Completed

✓FAQs Updated

• Public-facing filer website and updates underway

• eFile training (webinars) scheduled

Recent Case Manager Activity

✓ Pilot Court UAT Completed

✓ Updated Implementation Plan distributed August 4

- Receiving & Testing fixes from the vendor

  - Ongoing

- End User Training Starts September 25

Project Outreach

- Continue working with Pilot Courts on internal court communications

- eFile outreach ongoing

Work in Progress

✓Pilot Court UAT analysis

• Issue Resolution ongoing

• Following the Implementation Plan

Project Issues – August 2023

Issue	Mitigation
Pilot Go Live – Delaying Pilot Go Live will impact future Phases.	**(August 3, 2023) Target for Pilot Go-Live updated to October 23, 2023.**
Local Rule – In order for eFiling to be mandatory courts need to enact the rule or make eFiling mandatory.	(April 5, 2022) DMCJA is championing a Statewide rule for mandatory eFiling. Pilot Courts will need to enact a local rule in the meantime.

WASHINGTON COURTS

Project Issues – August 2023

Active Issues	
Issue	Mitigation
Enterprise Supervision/Enterprise Justice Integrations (Alliance) – The two products are not yet seamlessly integrated.	**(August 3, 2023) Three Open issues pending resolution. Expected delivery by vendor in August 22, 2023.**
Staffing / Hiring – CLJ-CMS has been unable to fill several key positions. As of December 2022, CLJ-CMS has 9 project positions open. If these positions are not filled there may be impacts to the schedule.	**(August 3, 2023) Four pre-pilot vacancies. Additional AOC resources have been reassigned to CLJ-CMS.**

Project Issues – August 2023

Active Issues	
Issue	**Mitigation**
WSP Law Table Updates – WSP needs to update their law tables to accept two versions (one for JIS Courts and one for Enterprise Justice Courts).	**(August 3, 2023) Development split into two phases. Phase 1 development started August 2023.**
Third Party Integrations – Some courts have local systems that they would like integrated with Enterprise Justice.	(August 26, 2022) Legislature has approved ITG 1340 to build an enterprise integration platform. ITG 1345 has been approved by CIO. Schedule will require modification to align with extended rollout effected courts.

Project Risks – August 2023

Total Project Risks			
Low Probability	Moderate Probability	High Probability	Closed
0	3	3	19
High Risk Status			
Risk	Probability / Impact	Mitigation	
Equipment Funding – Additional funds may be needed to assist some courts with the local equipment purchases.	Moderate / Moderate	(September 22, 2020) If the CLJ-CMS project uses a similar funding model to the SC-CMS, then there are additional complexities to consider. There are significantly more CLJ courts which adds to the need.	

Project Risks – August 2023

High Risk Status		
Risk	Probability / Impact	Mitigation
Enterprise Supervision – Tyler has not done a statewide implementation of their new Supervision module. Previous implementations have always been with individual probation departments.	High / Major	**(August 3, 2023) Enterprise Supervision Data Conversion continues to be a high risk. Two Priority 1 Conversion rules are still outstanding.**

Project Risks – August 2023

High Risk Status		
Risk	Probability / Impact	Mitigation
Enterprise Justice version to be used (Phase 1) – In November 2021, Tyler determined that Enterprise Justice 2019 would not be compatible with some of the mandatory requirements.	High / High	(November 9, 2022) Tyler now recommends version 2024.x for Phase 1. Upgrade needs to be analyzed and planned for.

Project Risks – August 2023

High Risk Status		
Risk	Probability / Impact	Mitigation
Efficiency Concerns – It is expected that some users will experience short-term reduced efficiencies when compared against legacy systems.	Moderate / Moderate	**(August 4, 2023) Pilot Courts have completed UAT. Feedback has been gathered and results are being analyzed. Additional emphasis will be applied to key areas during End User Training.**

Project Risks – August 2023

High Risk Status		
Risk	Probability / Impact	Mitigation
Performance Issues – It is possible that users will feel that Enterprise Justice works less efficiently than the legacy system due to changing processes and procedures.	Moderate / Moderate	**(August 3, 2023) Performance issues continue to be identified and addressed on UAT. Primary mitigation is to schedule resource heavy jobs overnight. Feedback to Tyler on resource heavy jobs.**

WASHINGTON COURTS

Next Steps

Milestone	Date
Pilot Court End User Training	September 25 – October 20, 2023
Pilot Court JIS Access Restricted	October 19, 2023
Go-Live Activities	October 19 – October 22, 2023
Pilot Court Go-Live	October 23, 2023
Go-Live Support (AOC + Tyler On-Site)	October 23 – November 9, 2023

Independent Quality Assurance Update

ALLEN MILLS, BLUECRANE, INC.
August 25, 2023

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

July 2023

Prepared by

Bluecrane, Inc.

bluecrane ®

July 31, 2023

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 July 2023.

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 who have not seen one of our assessments previously.

Please contact me with any questions or comments.

Sincerely,

Allen Mills

Table of Contents

Table of Figures

Table of Tables

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

This report provides the July 2023 Quality Assurance (QA) assessment by Bluecrane, Inc. ("*bluecrane*") for the Washington State Administrative Office of the Courts (AOC) Courts of Limited Jurisdiction – Case Management System (CLJ-CMS) Project.

A very significant milestone occurred on Thursday, July 27, when the CLJ-CMS Project Steering Committee (PSC) voted to approve October 23, 2023, as the Pilot Courts Go-Live date. AOC and Tyler originally targeted September 18 for Pilot Courts Go-Live. Three Pilot Courts expressed acceptance of the September 18 date. On the other hand, due to a high-profile case in Pierce County Superior Court (which is in the same building as Pierce County District Court) that is likely to have a large media presence as well as possible civil unrest, Pierce County had requested deferring Go-Live to October 23. During initial discussions, Tyler Technologies (Tyler) expressed concerns about competing priorities for their support staff because the October 23 date was only about three weeks prior to a mid-November go-live date for Los Angeles County. After extensive discussions between AOC and Tyler, and Tyler re-assessing its deployment of support staff, Tyler revised its position to one of fully supporting the October 23 date for the CLJ-CMS Project with the caveat that once the Los Angeles County go-live occurs, defects other than "Priority 1" defects may have to wait in the support queue for a longer period of time. AOC voiced confidence that its staff who are experienced with Tyler products will be able to handle issues with configuration and other areas.

In July, our assessment found a number of other positive developments for the CLJ-CMS Project, including:

- Testing of the June 23, 2023, Core Delivery and on-going "package" deliveries from Tyler continued with good results; as of the writing of this report, Priority 1 issues had been reduced to 32 items, with 8 of those related to data conversion and expected to be resolved shortly

- The cadence of meetings with AOC and Tyler executives changed to weekly in July; the frequent check-ins are serving to keep all informed of progress on addressing the Priority 1 issues and meeting the Pilot Court Go-Live decision "gates" (see our June report for descriptions of the specific gates)

- Pilot Court User Acceptance Testing (UAT) of the configured Enterprise Justice and Enterprise Supervision solutions has begun

Despite the positive developments noted above, the updates needed to the Washington State Patrol (WSP) "Law Tables" have become a critical risk to go-live. Specifically, the updates needed to the Washington State Patrol (WSP) "Law Tables" are lagging and have become the critical technology solution-related risk to achieving Pilot Courts Go-Live. A temporary work-around solution known as "SECTOR Plan B" has been developed. AOC and Tyler are collaborating on how to accomplish this work with the full intention of keeping the Pilot Courts Go-Live on-track for October 23.

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	**July 2023**	**June 2023**	**May 2023**
Schedule: Case Management	Risk	Risk	High Risk *(risk decreasing)*
Schedule: Supervision	Risk	Risk	High Risk *(risk decreasing)*
Schedule: eFiling	Risk	Risk	High Risk *(risk decreasing)*
Scope: Case Management	Risk Being Addressed	Risk Being Addressed	Risk Being Addressed
Scope: Supervision	Risk Being Addressed	Risk Being Addressed	Risk Being Addressed
Scope: eFiling	Risk Being Addressed	Risk Being Addressed	Risk Being Addressed
Project Staffing	Risk	Risk	Risk
Governance	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
Contracts and Deliverables Management	No Risk Identified	No Risk Identified	No Risk Identified

Project Management and Sponsorship

Assessment Area	July 2023	June 2023	May 2023
PMO Processes	No Risk Identified	No Risk Identified	No Risk Identified

People

Assessment Area	July 2023	June 2023	May 2023
Stakeholder Engagement	No Risk Identified	No Risk Identified	No Risk Identified
OCM: Case Management	No Risk Identified	No Risk Identified	No Risk Identified
OCM: Supervision	No Risk Identified	No Risk Identified	No Risk Identified
OCM: eFiling	No Risk Identified	No Risk Identified	No Risk Identified
Communications	No Risk Identified	No Risk Identified	No Risk Identified
Court Preparation and Training	Risk Being Addressed	No Risk Identified	No Risk Identified

Solution

Assessment Area	July 2023	June 2023	May 2023
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
Business Process: eFiling	No Risk Identified	No Risk Identified	No Risk Identified

Solution			
Assessment Area	**July 2023**	**June 2023**	**May 2023**
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
Requirements, Design, and Configuration: eFiling	No Risk Identified	No Risk Identified	No Risk Identified
Integrations: Case Management	Risk Being Addressed	Risk Being Addressed	Risk Being Addressed
Integrations: eFiling	No Risk Identified	No Risk Identified	No Risk Identified
Reports: Case Management	No Risk Identified	No Risk Identified	No Risk Identified
Reports: Supervision	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
Testing: eFiling	No Risk Identified	No Risk Identified	No Risk Identified
Deployment: Case Management	Risk	Risk	Risk
Deployment: Supervision	Risk	Risk	Risk
Deployment: eFiling	Risk	Risk	Risk

Data			
Assessment Area	**July 2023**	**June 2023**	**May 2023**
Data Preparation: Case Management	No Risk Identified	No Risk Identified	No Risk Identified
Data Conversion: Case Management	Risk Being Addressed	Risk Being Addressed	Risk Being Addressed
Data Conversion: Supervision	Risk Being Addressed	Risk Being Addressed	Risk Being Addressed
Data Security	No Risk Identified	No Risk Identified	No Risk Identified

Infrastructure			
Assessment Area	**June 2023**	**May 2023**	**April 2023**
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	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 Schedule: Case Management

Project Management and Sponsorship			
Schedule: Case Management	**Three-Month Rolling Risk Levels**		
	July 2023	**June 2023**	**May 2023**
	Risk	**Risk**	**High Risk** *(risk decreasing)*

Findings

A very significant milestone occurred on Thursday, July 27, when the CLJ-CMS Project Steering Committee (PSC) voted to approve October 23, 2023 as the Pilot Courts Go-Live date. AOC and Tyler originally targeted September 18 for Pilot Courts Go-Live. Three Pilot Courts expressed acceptance of the September 18 date. On the other hand, due to a high profile case in Pierce County Superior Court (which is in the same building as Pierce County District Court) that is likely to have a large media presence as well as possible civil unrest, Pierce County had requested deferring Go-Live to October 23. During initial discussions, Tyler Technologies (Tyler) expressed concerns about competing priorities for their support staff because the October 23 date was only about three weeks prior to a mid-November go-live date for Los Angeles County. After extensive discussions between AOC and Tyler, and Tyler re-assessing its deployment of support staff, Tyler revised its position to one of fully supporting the October 23 date for the CLJ-CMS Project with the caveat that once the Los Angeles County go-live occurs, defects other than "Priority 1" defects may have to wait in the support queue for a longer period of time. AOC voiced confidence that its staff who is experienced with Tyler products will be able to handle issues with configuration and other areas.

Despite the positive developments noted above, the updates needed to the Washington State Patrol (WSP) "Law Tables" have become a critical risk to go-live. Specifically, the updates needed to the Washington State Patrol (WSP) "Law Tables" are lagging and have become the critical technology solution-related risk to achieving Pilot Courts Go-Live. A temporary work-around solution known as "SECTOR Plan B" has been developed. AOC and Tyler are collaborating on how to accomplish this work with the full intention of keeping the Pilot Courts Go-Live on-track for October 23.

The schedule for phases subsequent to the Pilot Phase (currently Phases 1 – 6) will be revised after initial "lessons learned" from the Pilot Phase are analyzed and reviewed. At this point, the schedule for subsequent phases is "an issue" (as opposed to "a risk"), but it is not a dependency for the Pilot Phase.

Risks and Issues

Risk to Pilot Court Go-Live Schedule: The CLJ-CMS Project has documented the critical "gates" for achieving the Pilot Courts Go-Live in October. "Passing" each gate when planned is essential to realizing the October 23 date. The increased cadence of joint meetings between AOC and Tyler is proving invaluable in mitigating risks to successful completion of each gate. The temporary work-around for the WSP Law Table issue is crucial to keeping Pilot Courts Go-Live on-track.

Schedule at Issue for Phases Subsequent to Pilot Phase: *bluecrane* fully supports deferring decisions on the longer-term schedule until initial results from the Pilot Phase are known.

2.1.2 Schedule: Supervision

Project Management and Sponsorship			
	Three-Month Rolling Risk Levels		
Schedule: Supervision	**July 2023**	**June 2023**	**May 2023**
	Risk	**Risk**	**High Risk** *(risk decreasing)*

Findings

Findings related to the schedule for Case Management are identical to those described above under 2.1.1 Schedule: Case Management.

Risks and Issues

Risk to Pilot Court Go-Live Schedule: The CLJ-CMS Project has documented the critical "gates" for achieving the Pilot Courts Go-Live in October. "Passing" each gate when planned is essential to realizing the October 23 date. The increased cadence of joint meetings between AOC and Tyler is proving invaluable in mitigating risks to successful completion of each gate. The temporary work-around for the WSP Law Table issue is crucial to keeping Pilot Courts Go-Live on-track.

Schedule at Issue for Phases Subsequent to Pilot Phase: *bluecrane* fully supports deferring decisions on the longer-term schedule until initial results from the Pilot Phase are known.

2.1.3 Schedule: eFiling

Project Management and Sponsorship			
	Three-Month Rolling Risk Levels		
	July 2023	**June 2023**	**May 2023**
Schedule: eFiling	**Risk**	**Risk**	**High Risk** *(risk decreasing)*

Findings

Findings related to the schedule for eFiling are identical to those described above under 2.1.1 Schedule: Case Management.

Risks and Issues

Risk to Pilot Court Go-Live Schedule: The CLJ-CMS Project has documented the critical "gates" for achieving the Pilot Courts Go-Live in October. "Passing" each gate when planned is essential to realizing the October 23 date. The increased cadence of joint meetings between AOC and Tyler is proving invaluable in mitigating risks to successful completion of each gate. The temporary work-around for the WSP Law Table issue is crucial to keeping Pilot Courts Go-Live on-track.

Schedule at Issue for Phases Subsequent to Pilot Phase: *bluecrane* fully supports deferring decisions on the longer-term schedule until initial results from the Pilot Phase are known.

2.1.4 Scope: Case Management

Project Management and Sponsorship			
	Three-Month Rolling Risk Levels		
	July 2023	**June 2023**	**May 2023**
Scope: Case Management	**Risk Being Addressed**	**Risk Being Addressed**	**Risk Being Addressed**

Findings

The scope of the CLJ-CMS Project is defined by the deliverables delineated in the SOW in the Tyler contract and the already-planned and approved AOC work to manage and support the project. 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.

Funding for the development of an integrations platform is included in the 23-25 Biennial Budget signed by the Governor in May 2023. The risks to potential expansion of the CLJ-CMS Project scope are being mitigated by established governance processes that are being used to charter and manage the

development of the integrations platform as an infrastructure project that is separate and apart from (although related to) the CLJ-CMS Project.

2.1.5 Scope: Supervision

Project Management and Sponsorship			
	Three-Month Rolling Risk Levels		
	July 2023	**June 2023**	**May 2023**
Scope: Supervision	**Risk Being Addressed**	**Risk Being Addressed**	**Risk Being Addressed**

Findings

The scope of the Supervision effort is defined in the Tyler SOW and the already planned and approved AOC work to manage and support the project. 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.

Funding for the development of an integrations platform is included in the 23-25 Biennial Budget signed by the Governor in May. The risks to potential expansion of the CLJ-CMS Project scope are being mitigated by established governance processes that are being used to charter and manage the development of the integrations platform as an infrastructure project that is separate and apart from (although related to) the CLJ-CMS Project.

2.1.6 Scope: eFiling

Project Management and Sponsorship			
	Three-Month Rolling Risk Levels		
	July 2023	**June 2023**	**May 2023**
Scope: eFiling	**Risk Being Addressed**	**Risk Being Addressed**	**Risk Being Addressed**

Findings

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

Funding for the development of an integrations platform is included in the 23-25 Biennial Budget signed by the Governor in May. The risks to potential expansion of the CLJ-CMS Project scope are being mitigated by established governance processes that are being used to charter and manage the development of the integrations platform as an infrastructure project that is separate and apart from (although related to) the CLJ-CMS Project.

2.1.7 Project Staffing

Project Management and Sponsorship			
	Three-Month Rolling Risk Levels		
	July 2023	**June 2023**	**May 2023**
Project Staffing	**Risk**	**Risk**	**Risk**

Findings

As we have noted for many months, staffing continues to be a risk for the CLJ-CMS Project. Labor market challenges that are beyond AOC's control continue to be a challenge. In a number of cases, AOC has provided the CLJ-CMS Project with staff from parts of AOC and the project has continued with minimal disruption. The number of vacancies remains a concern, however.

Risks and Issues

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

2.1.8 Governance

Project Management and Sponsorship			
	Three-Month Rolling Risk Levels		
	July 2023	**June 2023**	**May 2023**
Governance	**Risk Being Addressed**	**Risk Being Addressed**	**Risk Being Addressed**

Findings

Funding for the development of an integrations platform is included in the 23-25 Biennial Budget signed by the Governor in May. The risks to potential expansion of the CLJ-CMS Project scope are being mitigated by established governance processes that are being used to charter and manage the development of the integrations platform as an infrastructure project that is separate and apart from (although related to) the CLJ-CMS Project.

2.1.9 Budget: Funding

Project Management and Sponsorship			
	Three-Month Rolling Risk Levels		
	July 2023	**June 2023**	**May 2023**
Budget: Funding	**No Risk Identified**	**No Risk Identified**	**No Risk Identified**

Findings

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

In addition, the approved state biennial budget for 2023 – 2025 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			
	Three-Month Rolling Risk Levels		
	July 2023	**June 2023**	**May 2023**
Budget: Management of Spending	**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			
	Three-Month Rolling Risk Levels		
	July 2023	**June 2023**	**May 2023**
Contracts and Deliverables Management	**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**		
	July 2023	**June 2023**	**May 2023**
	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**		
	July 2023	**June 2023**	**May 2023**
	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.

2.2.2 OCM: Case Management

People			
OCM: Case Management	**Three-Month Rolling Risk Levels**		
	July 2023	**June 2023**	**May 2023**
	No Risk Identified	No Risk Identified	No Risk Identified

Findings

The OCM activities in this area are numerous, professional, and clear. Collaboration with Pilot Courts will be critical as Pilot Courts Go-Live approaches.

2.2.3 OCM: Supervision

People			
	Three-Month Rolling Risk Levels		
	July 2023	**June 2023**	**May 2023**
OCM: Supervision	**No Risk Identified**	**No Risk Identified**	**No Risk Identified**

Findings

The OCM activities in this area are numerous, professional, and clear. Collaboration with Pilot Courts will be critical as Pilot Courts Go-Live approaches.

2.2.4 OCM: eFiling

People			
	Three-Month Rolling Risk Levels		
	July 2023	**June 2023**	**May 2023**
OCM: eFiling	**No Risk Identified**	**No Risk Identified**	**No Risk Identified**

Findings

The OCM activities in this area are numerous, professional, and clear. Collaboration with Pilot Courts will be critical as Pilot Courts Go-Live approaches.

2.2.5 Communications

People			
	Three-Month Rolling Risk Levels		
	July 2023	**June 2023**	**May 2023**
Communications	**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.

2.2.6 Court Preparation and Training

People			
	Three-Month Rolling Risk Levels		
Court Preparation and Training	**July 2023**	**June 2023**	**May 2023**
	Risk Being Addressed	**No Risk Identified**	**No Risk Identified**

Findings

In order to avoid a gap of time between training of staff at Pilot Courts and the October 23 go-live date, Tyler will be providing Implementation Consultants to perform the CLJ-CMS training. Tyler describes the consultants that it will provide as experience trainers who do not perform training as the main role in their career currently but who are knowledgeable of the Tyler products and have demonstrated experience in training. For this reason, we are assessing this area as "Risk Being Addressed."

2.3   Solution

2.3.1 Business Process: Case Management

Solution			
	Three-Month Rolling Risk Levels		
Business Process: Case Management	**July 2023**	**June 2023**	**May 2023**
	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.

2.3.2 Business Process: Supervision

Solution			
Business Process: Supervision	**Three-Month Rolling Risk Levels**		
	July 2023	**June 2023**	**May 2023**
	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.

2.3.3 Business Process: eFiling

Solution			
Business Process: eFiling	**Three-Month Rolling Risk Levels**		
	July 2023	**June 2023**	**May 2023**
	No Risk Identified	**No Risk Identified**	**No Risk Identified**

Findings

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

2.3.4 Requirements, Design, and Configuration: Case Management

Solution			
Requirements, Design, and Configuration: Case Management	**Three-Month Rolling Risk Levels**		
	July 2023	**June 2023**	**May 2023**
	No Risk Identified	**No Risk Identified**	**No Risk Identified**

Findings

At this time, the project is making any changes that are needed as a result of the CUWG's ongoing review of requirements.

2.3.5 Requirements, Design, and Configuration: Supervision

Solution			
Requirements, Design, and Configuration: Supervision	**Three-Month Rolling Risk Levels**		
	July 2023	**June 2023**	**May 2023**
	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.

At the present time, configuration changes to Enterprise Supervision must be made by Tyler. The Enterprise Supervision solution is "in the 'cloud,'" unlike Enterprise Justice which is hosted at and configurable by AOC. We are not identifying a risk with this arrangement at this time, but we are raising awareness of the potential for a "bottleneck" as the CLJ-CMS solution moves into production. We continue to encourage AOC and Tyler to work to ensure the process is streamlined and that there is no "single-point-of-failure" for what will be ongoing Enterprise Supervision configuration needs.

2.3.6 Requirements, Design, and Configuration: eFiling

Solution			
Requirements, Design, and Configuration: eFiling	**Three-Month Rolling Risk Levels**		
	July 2023	**June 2023**	**May 2023**
	No Risk Identified	No Risk Identified	No Risk Identified

Findings

Requirements for eFiling are minimal and relatively procedural in nature.

2.3.7 Integrations: Case Management

Solution			
Integrations: Case Management	**Three-Month Rolling Risk Levels**		
	July 2023	**June 2023**	**May 2023**
	Risk Being Addressed	**Risk Being Addressed**	**Risk Being Addressed**

Findings

The updates needed to the Washington State Patrol (WSP) "Law Tables" are lagging and have become the critical risk to achieving Pilot Courts Go-Live. A temporary work-around solution known as "SECTOR Plan B" has been developed. AOC and Tyler are collaborating on how to accomplish this work and keep Pilot Courts Go-Live on-track for October 23.

Funding for the development of an integrations platform is included in the 23-25 Biennial Budget signed by the Governor in May. The risks to potential expansion of the CLJ-CMS Project scope are being mitigated by established governance processes that are being used to charter and manage the development of the integrations platform as an infrastructure project that is separate and apart from (although related to) the CLJ-CMS Project.

Risks and Issues

At this time, the remaining legacy data exchange efforts for the WSP Law Tables is *the* critical technology solution-related risk to achieving the planned Pilot Courts Go-Live. AOC and Tyler are collaborating on how to accomplish this work with the full intention of keeping the Pilot Courts Go-Live on-track for October 23.

2.3.8 Integrations: eFiling

Solution			
Integrations: eFiling	**Three-Month Rolling Risk Levels**		
	July 2023	**June 2023**	**May 2023**
	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.

2.3.9 Reports: Case Management

Solution			
Reports: Case Management	**Three-Month Rolling Risk Levels**		
	July 2023	**June 2023**	**May 2023**
	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	**Jan. 2023**		
	July 2023	**June 2023**	**May 2023**
	No Risk Identified	**No Risk Identified**	**No Risk Identified**

Findings

Supervision reports are defined in the CLJ-CMS requirements.

2.3.11 Testing: Case Management

Solution			
Testing: Case Management	**Three-Month Rolling Risk Levels**		
	July 2023	**June 2023**	**May 2023**
	No Risk Identified	**No Risk Identified**	**No Risk Identified**

Findings

Testing is ongoing as defects are resolved. At this time, no significant obstacles to completing the needed testing have been identified, and results from testing are good.

2.3.12 Testing: Supervision

Solution			
Testing: Supervision	**Three-Month Rolling Risk Levels**		
	July 2023	**June 2023**	**May 2023**
	No Risk Identified	**No Risk Identified**	**No Risk Identified**

Findings

Testing is ongoing as defects are resolved. At this time, no significant obstacles to completing the needed testing have been identified, and results from testing are good.

2.3.13 Testing: eFiling

Solution			
Testing: eFiling	**Three-Month Rolling Risk Levels**		
	July 2023	**June 2023**	**May 2023**
	No Risk Identified	**No Risk Identified**	**No Risk Identified**

Findings

With eFiling now being rolled out in tandem with Case Management and Supervision, the necessary testing for eFiling is now part of the ongoing testing effort in preparation for Pilot Courts Go-Live.

2.3.14 Deployment: Case Management

Solution			
Deployment: Case Management	**Three-Month Rolling Risk Levels**		
	July 2023	**June 2023**	**May 2023**
	Risk	**Risk**	**Risk**

Findings

The delay in the Pilot Courts Go-Live date has impacted the deployment schedule for subsequent courts. The schedule for phases subsequent to the Pilot Phase (currently Phases 1 – 6) will be revised after initial "lessons learned" from the Pilot Phase are analyzed and reviewed. At this point, the schedule for subsequent phases is "an issue" (as opposed to "a risk"), but it is not a dependency for the Pilot Phase.

The Associate Director of the Court Services Division (CSD) is identifying and analyzing emerging requirements for an eventual integration of OCourts with Enterprise Justice via the yet-to-be-developed Integration Platform. His analysis will include how OCourts will interact with Enterprise Justice and production data. The results of this analysis are likely to have an impact on the CLJ-CMS Project's baseline schedule for deploying the new solution to various parts of the state. The work of revising the baseline deployment plan will need to take into consideration those courts that desire to wait for the Integration Platform to be "productionalized" and the expected subsequent OCourts integration with the Integration Platform to be completed.

Risks and Issues

bluecrane fully supports deferring decisions on the longer-term schedule until initial results from the Pilot Phase are known.

2.3.15 Deployment: Supervision

Solution			
	Three-Month Rolling Risk Levels		
	July 2023	**June 2023**	**May 2023**
Deployment: Supervision	**Risk**	**Risk**	**Risk**

Findings

Findings related to the deployment for Supervision are identical to those described above under 2.3.14 Deployment: Case Management.

Risks and Issues

bluecrane fully supports deferring decisions on the longer-term schedule until initial results from the Pilot Phase are known.

2.3.16 Deployment: eFiling

Solution			
	Three-Month Rolling Risk Levels		
	July 2023	**June 2023**	**May 2023**
Deployment: eFiling	**Risk**	**Risk**	**Risk**

Findings

Findings related to the deployment for eFiling are identical to those described above under 2.3.14 Deployment: Case Management.

Risks and Issues

bluecrane fully supports deferring decisions on the longer-term schedule until initial results from the Pilot Phase are known.

2.4   Data

2.4.1 Data Preparation: Case Management

Data			
Data Preparation: Case Management	**Three-Month Rolling Risk Levels**		
	July 2023	**June 2023**	**May 2023**
	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**		
	July 2023	**June 2023**	**May 2023**
	Risk Being Addressed	**Risk Being Addressed**	**Risk Being Addressed**

Findings

At the time of the writing of this report, the outstanding Priority 1 issues that are related to data conversion rules have been significantly reduced in number. AOC and Tyler are working to get the remaining issues resolved.

2.4.3 Data Conversion: Supervision

Data			
Data Conversion: Supervision	**Three-Month Rolling Risk Levels**		
	July 2023	**June 2023**	**May 2023**
	Risk Being Addressed	**Risk Being Addressed**	**Risk Being Addressed**

<u>Findings</u>

At the time of the writing of this report, the outstanding Priority 1 issues that are related to data conversion rules have been significantly reduced in number. AOC and Tyler are working to get the remaining issues resolved.

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**		
	July 2023	**June 2023**	**May 2023**
	No Risk Identified	**No Risk Identified**	**No Risk Identified**

<u>Findings</u>

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**		
	July 2023	**June 2023**	**May 2023**
	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. At this time, more and more work is being conducted on-site with both AOC and Tyler Technologies staff present.

2.5.2 Statewide Infrastructure

Infrastructure			
Statewide Infrastructure	**Three-Month Rolling Risk Levels**		
	July 2023	**June 2023**	**May 2023**
	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. At this time, no significant risks have been identified.

2.5.3 Local Infrastructure

Infrastructure			
	Three-Month Rolling Risk Levels		
Local Infrastructure	**July 2023**	**June 2023**	**May 2023**
	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. Pilot Courts have been provided a Technical Readiness checklist to help ensure, among other things, that all local technical infrastructure is in place.

2.5.4 Security Functionality

Infrastructure			
	Three-Month Rolling Risk Levels		
Security Functionality	**July 2023**	**June 2023**	**May 2023**
	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			
	Three-Month Rolling Risk Levels		
	July 2023	**June 2023**	**May 2023**
Access	**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			
	Three-Month Rolling Risk Levels		
	July 2023	**June 2023**	**May 2023**
Environments	**No Risk Identified**	**No Risk Identified**	**No Risk Identified**

Findings

All environments have been implemented.

2.5.7 Post-Implementation Support

Infrastructure			
	Three-Month Rolling Risk Levels		
	July 2023	**June 2023**	**May 2023**
Post-Implementation Support	**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.

Project Management and Sponsorship

- Budget: Funding
- Budget: Management of Spending
- Scope: e-Filing
- Scope: Supervision
- Scope: Case Management
- Schedule: e-Filing
- Schedule: Supervision
- Schedule: Case Management
- Governance
- Contract and Deliverables Management
- Program Staffing
- PMO Processes

Solution

- Business Process: e-Filing
- Business Process: Supervision
- Business Process: Case Management
- Requirements, Design, and Configuration: e-Filing
- Requirements, Design, and Configuration: Supervision
- Requirements, Design, and Configuration: Case Management
- Integrations: e-Filing
- Integrations: Case Management
- Reports: Supervision
- Reports: Case Management
- Testing: e-Filing
- Testing: Supervision
- Testing: Case Management
- Deployment: e-Filing
- Deployment: Supervision
- Deployment: Case Management

People

- Stakeholder Engagement
- OCM: e-Filing
- OCM: Supervision
- OCM: Case Management
- Communications
- Court Preparation and Training

Data

- Data Preparation: Case Management
- Data Conversion: Supervision
- Data Conversion: Case Management
- Data Security

Infrastructure

- Infrastructure for Remote Work
- Statewide Infrastructure
- Local Infrastructure
- Security Functionality
- Access
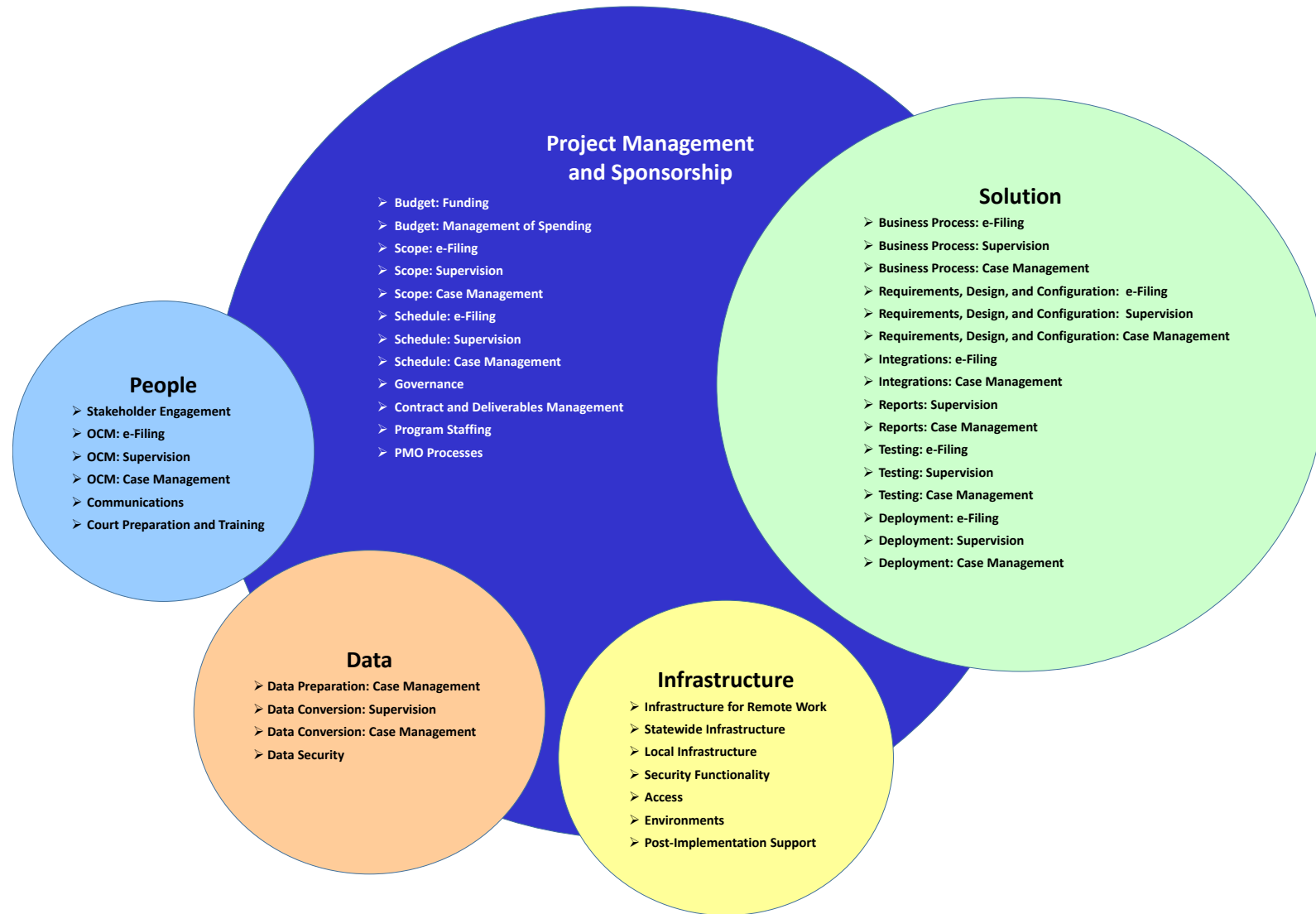- Environments
- Post-Implementation Support

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

IT Governance Status

July 2023 Report

Summary of Changes

New Requests: None

Endorsements: None

Analyzed: None

CLUG Decision: None

Authorized: 1365 – NaturalONE Upgrade

In Progress: 1364 – Upgrade to Natural 8.2.8

Completed: None

Closed: 1363 – EDR Accept and Store BAC/THC at Charge Level

JISC ITG Priorities

		JISC Priorities		
Priority	**ITG#**	**Request Name**	**Status**	**Requesting CLUG**
1	102	Courts of Limited Jurisdiction Case Management System	In Progress	CLJ
2	27	Seattle Municipal Court CMS to EDR Data Exchange	In Progress	CLJ
3	1340	Enterprise Integration Platform and External API	In Progress	Non-JIS
4	1308	Integrated eFiling for Odyssey DMS Superior Courts	Authorized	Non-JIS

Authorized　　In Progress　　Completed　　Withdrawn or Closed

WASHINGTON COURTS

3

ITG Priorities by CLUG

Priority	ITG #	Request Name	Status	Authority	Importance
Superior CLUG					
1	248	Washington State Juvenile Court Assessment (JCAT)	In Progress	Administrator	High
2	270	Allow MH-JDAT data to be accessed through BIT from the Data Warehouse	Authorized	CIO	High
3	283	Modify Odyssey Supervision Probation Category to Support Non-Criminal Cases	In-Progress	Administrator	Medium
4	284	Criminal cases w/HNO & DVP case types allow DV Y/N	In-Progress	CIO	Medium
5	269	Installation of Clerks Edition for Franklin County Superior Court Clerks Office	Authorized	CIO	Low
6	1357	Guardianship Monitoring and Tracking System	Recommended	JISC	Medium
Courts of Limited Jurisdiction CLUG					
1	102	Courts of Limited Jurisdiction Case Management System	In Progress	JISC	High
2	27	Seattle Municipal Court CMS to EDR Data Exchange	In Progress	JISC	High
3	1345	Integration of OCourt Platform into CLJ-CMS	Authorized	CIO	High
4	265	Kitsap District Court CMS to EDR Data Exchange	In-Progress	Administrator	High
5	256	Spokane Municipal Court CMS to EDR Data Exchange	Authorized	Administrator	High

Authorized   In Progress   Completed   Withdrawn or Closed

WASHINGTON COURTS

ITG Priorities by CLUG

Priority	ITG #	Request Name	Status	Approving Authority	Importance
Appellate CLUG					
1	1355	Replace Appellate Court Case Management and E-Filing Systems	Recommended	JISC	High
2	1325	Appellate Court Online Credit Card Payment Portal	In Progress	CIO	High
3	1313	Supreme Court Opinion Routing/Tracking System	In Progress	CIO	High
4	1324	Appellate Court Records Retention	Authorized	CIO	High
5	1356	Rebuild the Appellate Inmate E-Filing Application	In Progress	Administrator	High
6	1353	Build New Supreme Court Case Document Web Page	Authorized	CIO	Medium
Multi-Court Level CLUG					
1	1326	Online Interpreter Scheduling	In Progress	Administrator	Medium

Authorized   In Progress   Completed   Withdrawn or Closed

ITG Priorities by CLUG

Priority	ITG #	Request Name	Status	Approving Authority	Importance
Non-JIS CLUG (ISD Maintenance Work & Legislative Mandates)					
1	1340	Enterprise Integration Platform and External API	In Progress	JISC	Maintenance
2	1348	Blake Certification System	In Progress	Administrator	Proviso
3	1352	Upgrade SC-CMS to Enterprise Justice 2023	In Progress	Administrator	Maintenance
4	286	Statewide Reporting	In Progress	Administrator	Maintenance
5	276	Parking Tickets issued in SECTOR - Interim resolution	In Progress	Administrator	Maintenance
6	1361	Migrate to Office 365	In Progress	Administrator	Maintenance
7	1332	JCS Platform Migration	In Progress	CIO	Maintenance
8	1346	Create Application Configuration Vault	In Progress	CIO	Maintenance
9	1362	Upgrade BIT	In Progress	Administrator	Maintenance
10	1364	Upgrade to Natural 8.2.8	In Progress	CIO	Maintenance
11	1308	Integrated eFiling for Odyssey DMS Superior Courts	Authorized	JISC	Proviso
12	1296*	Superior Court Text Messaging and E-mail Notifications	On Hold	CIO	Maintenance
13	1365	NaturalONE Upgrade	Scheduled	CIO	Maintenance
14	275	Odyssey to EDR	Authorized	CIO	Maintenance
15	1331	Judicial Contract Tracking System	Authorized	CIO	Maintenance
16	1320	Public Case Search Modernization	Authorized	CIO	Maintenance
17	1297	Self-represented Litigants Access	Recommended	Administrator	New Program
18	1338	Provide Access to Historical RightNow Ticket Data	Authorized	CIO	Maintenance
19	1350	Embarcadero IT Modeling System Replacement	Authorized	CIO	Maintenance

Authorized   In Progress   Completed   Withdrawn or Closed

ITG Request Progress

Awaiting Endorsement	Awaiting Analysis	Awaiting Endorsement Confirmation	Awaiting CLUG Recommendation	Awaiting Authorization	Awaiting Scheduling
	1321** - Send JCAT data to the Data Warehouse to Facilitate Reporting	**1351** - Enhance DOL Feed to Include Date of Death		**1297 -** Self-Represented Litigants (SRL) Access to SC & CLJ Courts **1355 -** Replace Appellate Court Case Management & E-Filing Systems **1357** – Guardianship Monitoring and Tracking	**256 -** Spokane Municipal Court CMS to EDR Data Exchange **269 -** Installation Of Clerks Edition For Franklin County Superior Court Clerks Office **270 -** Allow MH-JDAT/MAISI data to be accessed through BIT from the Data Warehouse **275 -** Odyssey to EDR **1320 -** Public Case Search Modernization **1324 -** Appellate Court Electronic Record Retention **1331 -** Judicial Contract Tracking System (JCTS) **1338** - Store and provide access to historical RightNow ticket data **1345 -** Integration of Ocourt into CLJ-CMS **1350*** **-** IT Modelling System Replacement **1353** - Build New Supreme Court Web Page

** On Hold