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

September 2023

Prepared by

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bluecrane ®

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September 30, 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 September 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

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Introductory Note on Project Structure

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

- eFiling
- Case Management
- Supervision

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

1. Executive Summary

1.1 Executive Overview

This report provides the September 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.

On Friday, September 29, the CLJ-CMS Project Manager informed AOC Leadership that he will be recommending to the Project Steering Committee (PSC) on Tuesday, October 3, that the PSC approve the Pilot Courts Go-Live to occur on October 23, 2023, as planned. While this may appear to many as a "project management formality," it is a truly significant milestone to obtain the PSC's approval for Pilot Court Go-Live after what has been a long journey with many challenges along the way. Notwithstanding a global pandemic, staffing difficulties, data exchange complexities, solution defect resolutions, and other things, the CLJ-CMS Project is "ready for takeoff." We congratulate all involved for persevering through all of the trials and tribulations along the way and reaching this exciting moment.

On Monday, September 25, end user training for all three Pilot Courts began. In preparation for the end user training, the Tyler Implementation Consultants that were assigned to provide the training spent two weeks in Olympia prior to the initiation of training. Reports are that the training is going well.

"Part 1" of Phase 1 of the Washington State Patrol (WSP) "Law Tables" Sector Plan B has been delivered and is being tested. Work on the remaining elements of Phase 1 is reported to be going well and risks are minimal, given that a manual work-around exists. An issue has been identified with a Tyler component and has been escalated within Tyler for resolution.

There are other issues being worked at this time, including some related to e-citations. While the resolutions of these remaining issues are important, at this time they do not appear to be impacting the Pilot Courts Go-Live date.

The CLJ-CMS Project Team is consumed with deployment activities, including moving all of the solution code into the Production environment and getting all data exchanges ready for production operations. Reports are that the work is going well.

There are no new risks to report in September.

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	**September 2023**	**August 2023**	**July 2023**
Schedule: Case Management	Risk	Risk	Risk
Schedule: Supervision	Risk	Risk	Risk
Schedule: eFiling	Risk	Risk	Risk
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 Being Addressed	Risk Being Addressed	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
PMO Processes	No Risk Identified	No Risk Identified	No Risk Identified

People			
Assessment Area	**September 2023**	**August 2023**	**July 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	No Risk Identified	Risk Being Addressed	Risk Being Addressed

Solution			
Assessment Area	**September 2023**	**August 2023**	**July 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
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

Solution			
Assessment Area	**September 2023**	**August 2023**	**July 2023**
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	**September 2023**	**August 2023**	**July 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			
Assessment Area	**September 2023**	**August 2023**	**July 2023**
Data Security	**No Risk Identified**	**No Risk Identified**	**No Risk Identified**

Infrastructure			
Assessment Area	**September 2023**	**August 2023**	**July 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		
	Sept. 2023	Aug. 2023	July 2023
	Risk	Risk	Risk

Findings

On Friday, September 29, the CLJ-CMS Project Manager informed AOC Leadership that he will be recommending to the Project Steering Committee (PSC) on Tuesday, October 3, that the PSC approve the Pilot Courts Go-Live to occur on October 23, 2023, as planned. While this may appear to many as a "project management formality," it is a truly significant milestone to obtain the PSC's approval for Pilot Court Go-Live after what has been a long journey with many challenges along the way. Notwithstanding a global pandemic, staffing difficulties, data exchange complexities, solution defect resolutions, and other things, the CLJ-CMS Project is "ready for takeoff." We congratulate all involved for persevering through all of the trials and tribulations along the way and reaching this exciting moment.

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, risks exist to the schedule for subsequent phases, but the overall project timeline is not a dependency for the Pilot Phase.

Risks and Issues

Risk to Pilot Court Go-Live Schedule: The risks to Pilot Court Go-Live are being addressed. If we were assessing risks to the Pilot Court Go-Live schedule alone, we would rate the risks as "blue."

Schedule at Issue for Phases Subsequent to Pilot Phase: Risks to phases subsequent to the Pilot Phase remain until a new overall project timeline is developed and approved. *bluecrane* fully supports deferring decisions on the longer-term schedule until initial results from the Pilot Phase are known. However, it is due to these risks that we continue to assess the overall schedule as "yellow."

2.1.2 Schedule: Supervision

Project Management and Sponsorship			
Schedule: Supervision	Three-Month Rolling Risk Levels		
	Sept. 2023	Aug. 2023	July 2023
	Risk	Risk	Risk

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 risks to Pilot Court Go-Live are being addressed. If we were assessing risks to the Pilot Court Go-Live schedule alone, we would rate the risks as "blue."

Schedule at Issue for Phases Subsequent to Pilot Phase: Risks to phases subsequent to the Pilot Phase remain until a new overall project timeline is developed and approved. *bluecrane* fully supports deferring decisions on the longer-term schedule until initial results from the Pilot Phase are known. However, it is due to these risks that we continue to assess the overall schedule as "yellow."

2.1.3 Schedule: eFiling

Project Management and Sponsorship			
Schedule: eFiling	Three-Month Rolling Risk Levels		
	Sept. 2023	Aug. 2023	July 2023
	Risk	Risk	Risk

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 risks to Pilot Court Go-Live are being addressed. If we were assessing risks to the Pilot Court Go-Live schedule alone, we would rate the risks as "blue."

Schedule at Issue for Phases Subsequent to Pilot Phase: Risks to phases subsequent to the Pilot Phase remain until a new overall project timeline is developed and approved. *bluecrane* fully supports deferring decisions on the longer-term schedule until initial results from the Pilot Phase are known. However, it is due to these risks that we continue to assess the overall schedule as "yellow."

2.1.4 Scope: Case Management

Project Management and Sponsorship			
Scope: Case Management	Three-Month Rolling Risk Levels		
	Sept. 2023	Aug. 2023	July 2023
	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			
Scope: Supervision	Three-Month Rolling Risk Levels		
	Sept. 2023	Aug. 2023	July 2023
	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			
Scope: eFiling	Three-Month Rolling Risk Levels		
	Sept. 2023	Aug. 2023	July 2023
	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			
Project Staffing	Three-Month Rolling Risk Levels		
	Sept. 2023	Aug. 2023	July 2023
	Risk Being Addressed	Risk Being Addressed	Risk

Findings

AOC has made significant progress in filling vacant positions over the past 18 months. The number of open positions on the CLJ-CMS Project has been reduced considerably. In several cases, AOC has provided the CLJ-CMS Project with staff from other parts of AOC and the project has continued with minimal disruption.

2.1.8 Governance

Project Management and Sponsorship			
Governance	Three-Month Rolling Risk Levels		
	Sept. 2023	Aug. 2023	July 2023
	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			
Budget: Funding	Three-Month Rolling Risk Levels		
	Sept. 2023	Aug. 2023	July 2023
	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			
Budget: Management of Spending	Three-Month Rolling Risk Levels		
	Sept. 2023	Aug. 2023	July 2023
	No Risk Identified	No Risk Identified	No Risk Identified

Findings

The project is being managed within the approved budget.

2.1.11 Contracts and Deliverables Management

Project Management and Sponsorship			
Contracts and Deliverables Management	Three-Month Rolling Risk Levels		
	Sept. 2023	Aug. 2023	July 2023
	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		
	Sept. 2023	Aug. 2023	July 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		
	Sept. 2023	Aug. 2023	July 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		
	Sept. 2023	Aug. 2023	July 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			
OCM: Supervision	Three-Month Rolling Risk Levels		
	Sept. 2023	Aug. 2023	July 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.

2.2.4 OCM: eFiling

People			
OCM: eFiling	Three-Month Rolling Risk Levels		
	Sept. 2023	Aug. 2023	July 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.

2.2.5 Communications

People			
Communications	Three-Month Rolling Risk Levels		
	Sept. 2023	Aug. 2023	July 2023
	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			
Court Preparation and Training	Three-Month Rolling Risk Levels		
	Sept. 2023	Aug. 2023	July 2023
	No Risk Identified	Risk Being Addressed	Risk Being Addressed

Findings

On Monday, September 25, end user training for all three Pilot Courts began. In preparation for the end user training, the Tyler Implementation Consultants that were assigned to provide the training spent two weeks in Olympia prior to the initiation of training. Reports are that the training is going well.

2.3 Solution

2.3.1 Business Process: Case Management

Solution			
Business Process: Case Management	Three-Month Rolling Risk Levels		
	Sept. 2023	Aug. 2023	July 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		
	Sept. 2023	Aug. 2023	July 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		
	Sept. 2023	Aug. 2023	July 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		
	Sept. 2023	Aug. 2023	July 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		
	Sept. 2023	Aug. 2023	July 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		
	Sept. 2023	Aug. 2023	July 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		
	Sept. 2023	Aug. 2023	July 2023
	Risk Being Addressed	Risk Being Addressed	Risk Being Addressed

Findings

“Part 1” of Phase 1 of the Washington State Patrol (WSP) “Law Tables” Sector Plan B has been delivered and is being tested. Work on the remaining elements of Phase 1 is reported to be going well and risks are minimal, given that a manual work-around exists. An issue has been identified with a Tyler component and has been escalated within Tyler for resolution.

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		
	Sept. 2023	Aug. 2023	July 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		
	Sept. 2023	Aug. 2023	July 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		
	Sept. 2023	Aug. 2023	July 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		
	Sept. 2023	Aug. 2023	July 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		
	Sept. 2023	Aug. 2023	July 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		
	Sept. 2023	Aug. 2023	July 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		
	Sept. 2023	Aug. 2023	July 2023
	Risk	Risk	Risk

Findings

The CLJ-CMS Project Team is consumed with deployment activities, including moving all of the solution code into the Production environment and getting all data exchanges ready for production operations. Reports are that the work is going well.

Risks to phases subsequent to the Pilot Phase remain until a new overall project timeline is developed and approved. *bluecrane* fully supports deferring decisions on the longer-term schedule until initial results from the Pilot Phase are known. However, it is due to these risks that we continue to assess the overall schedule as “yellow.”

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			
Deployment: Supervision	Three-Month Rolling Risk Levels		
	Sept. 2023	Aug. 2023	July 2023
	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			
Deployment: eFiling	Three-Month Rolling Risk Levels		
	Sept. 2023	Aug. 2023	July 2023
	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		
	Sept. 2023	Aug. 2023	July 2023
	No Risk Identified	No Risk Identified	No Risk Identified

Findings

The project is focusing on data conversion at this time.

2.4.2 Data Conversion: Case Management

Data			
Data Conversion: Case Management	Three-Month Rolling Risk Levels		
	Sept. 2023	Aug. 2023	July 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		
	Sept. 2023	Aug. 2023	July 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.

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		
	Sept. 2023	Aug. 2023	July 2023
	No Risk Identified	No Risk Identified	No Risk Identified

Findings

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

2.5 Infrastructure

2.5.1 Infrastructure for Remote Work

Infrastructure			
Infrastructure for Remote Work	Three-Month Rolling Risk Levels		
	Sept. 2023	Aug. 2023	July 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		
	Sept. 2023	Aug. 2023	July 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			
Local Infrastructure	Three-Month Rolling Risk Levels		
	Sept. 2023	Aug. 2023	July 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 with a Technical Readiness checklist to help ensure, among other things, that all local technical infrastructure is in place.

2.5.4 Security Functionality

Infrastructure			
Security Functionality	Three-Month Rolling Risk Levels		
	Sept. 2023	Aug. 2023	July 2023
	No Risk Identified	No Risk Identified	No Risk Identified

Findings

There are no identified risks with security functionality.

2.5.5 Access

Infrastructure			
Access	Three-Month Rolling Risk Levels		
	Sept. 2023	Aug. 2023	July 2023
	No Risk Identified	No Risk Identified	No Risk Identified

Findings

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

2.5.6 Environments

Infrastructure			
Environments	Three-Month Rolling Risk Levels		
	Sept. 2023	Aug. 2023	July 2023
	No Risk Identified	No Risk Identified	No Risk Identified

Findings

All environments have been implemented.

2.5.7 Post-Implementation Support

Infrastructure			
Post-Implementation Support	Three-Month Rolling Risk Levels		
	Sept. 2023	Aug. 2023	July 2023
	No Risk Identified	No Risk Identified	No Risk Identified

Findings

Based on **“**Lessons Learned” from the Superior Court–Case Management System (SC-CMS) Project, the CLJ-CMS Project staffing plan includes having four Business Analysts on board specifically for Post-Implementation (or “Production”) Support.

Appendix: Overview of *bluecrane* Risk Assessment Approach

To determine the areas of highest priority risks for leadership as well as to identify risks that should be addressed at lower levels of the project, we have focused on over 40 areas of assessment as depicted in Figure 1. We have grouped the areas into our familiar categories of:

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

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

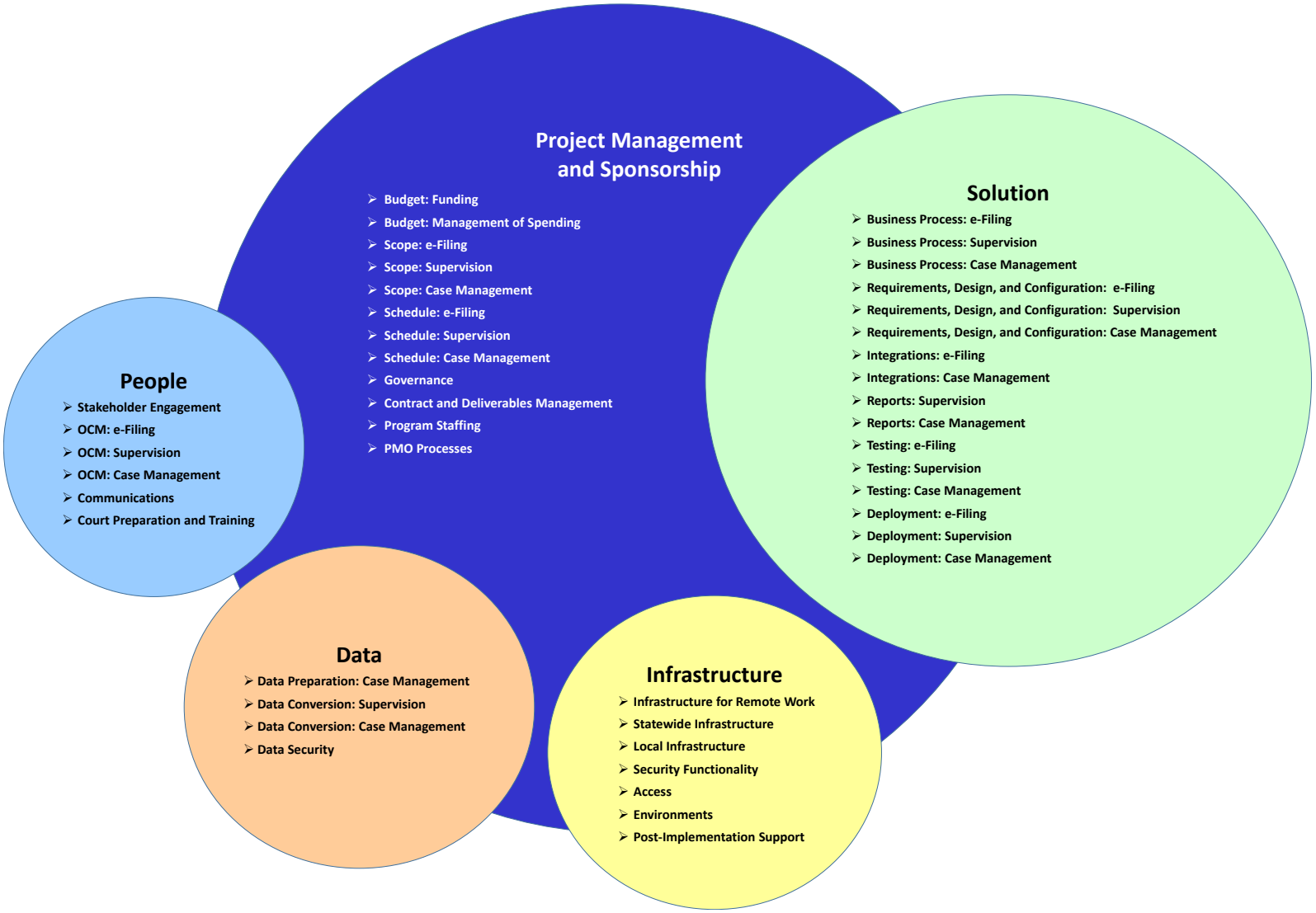

Figure 1. Areas of CLJ-CMS Project Assessed for Risks

Our risk ratings are summarized in Table 2 below.

Table 2. *bluecrane's* Risk Assessment Categorization

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