bluecrane

Management Consulting

for

State and Local

Governments

Quality Assurance

Executive Advisement

Project Oversight

Project Management

Independent Verification and Validation (IV&V)

Risk Reduction

Quality Assurance Assessment

for the

State of Washington

Administrative Office of the Courts (AOC)

CLJ-CMS Project

March 2021

Prepared by

Bluecrane, Inc.

bluecrane ®

Corporate Headquarters
655 Deep Valley Drive, Suite 300
Rolling Hills Estates, CA 90274
www.bluecranesolutions.com
310-793-0000

March 31, 2021

Honorable Barbara Madsen, Justice
Washington Supreme Court

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

Dear Justice Madsen and Ms. Rubio:

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

This document is structured as follows:

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

Please contact me with any questions or comments.

Sincerely,

Allen Mills

Table of Contents

1. Executive Summary 1

1.1 Executive Overview 1

1.2 Areas of Assessment 4

1.3 Executive "At-a-Glance" QA Dashboard 6

2. Detailed Assessment Report 10

Appendix: Overview of *bluecrane* Risk Assessment Approach 30

Table of Figures

Figure 1. Areas of CLJ-CMS Project Assessed for Risks 5

Table of Tables

Table 1. Summary Dashboard of QA Assessment Results 6

Table 2. Detailed Findings and Recommendations from *bluecrane's* QA Risk Assessment 10

Table 3. *bluecrane's* Risk Assessment Categorization 30

1. Executive Summary

1.1 Executive Overview

Background

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

- e-Filing
- Supervision
- Case Management

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

Key Updates Since Our February Report

At a high-level, our March risk assessment found that the CLJ-CMS Project is continuing to make good progress, despite the lack of an approved integrated project schedule. Highlights of our risk assessment include:

- **Tyler is Significantly Behind in Providing its Deliverables**
  - ✓ Tyler is consistently failing to meet deliverable due dates. The list of late deliverables quickly accumulated in March. While "start-up" challenges are not unusual and the remote work environment necessitated by the on-going COVID-19 crisis adds complexity to the effort, AOC recognizes that this is not a sustainable approach and must be addressed quickly.
  - ✓ AOC took action on March 9 by communicating its dissatisfaction with the current situation and demanding that Tyler provide, among other things, (1) a realistic schedule that is mutually agreed to by both AOC and Tyler and (2) a proposal to address issues that led to the current slippages to help ensure the issues are not repeated going forward.
  - ✓ AOC and Tyler met in mid-March to discuss the current issues and how best to move forward.
  - ✓ On March 25, Tyler provided proposed dates for "catching-up" on delayed deliverables.
  - ✓ In addition, Tyler has proposed more frequent "executive check-ins" going forward.
  - ✓ Without timely mitigation, the CLJ schedule could be at-risk. The actions that AOC has taken bode well for resolving the current issues. For now, we assess the current situation as a "yellow" risk with the level of risk increasing. Given AOC's attention to the

issues and actions that are already underway, we anticipate that this risk area will be "blue" by April or May. We will monitor closely.

- **Lack of an Approved Integrated Schedule**
  - ✓ One of the Tyler deliverables that has not been completed with satisfactory quality is the integrated project schedule. The integrated project schedule from Tyler was due October 28, 2020. A draft was delivered on January 29, 2021, three months late. Deficiencies in the completeness of the schedule have been identified by AOC, and a new draft is now due on April 9, 2021.
  - ✓ The integrated project schedule should be a schedule for each of the sub-projects (e-Filing, Supervision, and Case Management). In addition, it should include the work of AOC (OCM, technical, project management, court liaison, communications, testing, training, etc.) and the work of any partner organizations (e.g., a state agency that has to conduct integrations-related work, if any).
  - ✓ Work is moving ahead on e-Filing, despite the challenges with the integrated schedule deliverable.
  - ✓ In terms of "what does success look like" to resolve this risk, we respectfully submit that AOC adopt the following criteria:
    - ❖ Whether in a single schedule (file) (which we prefer and highly recommend) or otherwise (multiple files), the "integrated schedule" should provide ***confidence*** that:
      - All ***elements of work*** are captured to some level (even if fairly high-level)
      - An analysis has been conducted to determine the ***resources*** necessary to conduct all of the work and an analysis has been conducted to ensure that resources are ***not over-allocated*** (i.e., creating non-sustainable levels of effort for some resources)
      - ***Interdependencies*** are identified (across "workstreams," etc.)
      - The Program is currently ***executing*** against the schedule with success
    - ❖ If the schedule is spread across multiple files, then there should be a documented approach that explains ***how***:
      - An adequate resource analysis was conducted *across multiple artifacts*
      - A comprehensive identification of interdependencies was conducted *across multiple artifacts*
      - The critical path was identified *across multiple artifacts*
      - The integrated schedule will be baselined *across multiple artifacts*

- ❖ If these things can be demonstrated with a high degree of confidence, then the schedule is ready to be **baselined** so that future progress can be measured against it.

- ✓ The foregoing "definition of success" is not unusual or overly demanding. It is "part and parcel" of ***the work*** of project management ***and is a contractual Tyler deliverable.***
- ✓ We acknowledge that producing an integrated schedule is often a challenge for new projects, especially those that contract with a third-party vendor for a technical solution. Even large global vendors sometimes struggle to create a comprehensive schedule that is ***not*** centric to their SOW only. We have seen this in the State of Washington on more than one project. However, that is not an excuse. It is simply an acknowledgement of how important it is for the state agency client (in this case, AOC) to demand a quality schedule that is comprehensive. We applaud AOC and specifically the CLJ Project Manager for "riding herd" on this effort.
- ✓ Because of the criticality of the integrated project schedule and the ongoing delays in the deliverable, we have noted "yellow" risks in all schedule-related areas. The risks are increasing and rapidly approaching "red" ratings.

➢ **Court Community Questions on e-Filing Remain**

- ✓ As we noted in our February report, the predominant challenges with e-Filing are in the OCM space. There are numerous questions among the court community related to:
  - ❖ Costs and mandatory aspects of fees
  - ❖ Timing, especially among courts that may be five years away from the implementation of case management with Odyssey
  - ❖ Nature of the mandate for e-Filing (i.e., can a court "opt-out" or not?)
  - ❖ Other aspects of e-Filing
- ✓ The FAQ produced by the project is aimed at addressing these questions and providing a baseline reference document for courts. The project team has conducted several webinars (with attendance by several hundred individuals from the court community) to better inform stakeholders about the planned e-Filing capability and implementation.
- ✓ The Tyler project manager for e-Filing has been very responsive to the AOC project manager and team. Work on e-Filing continues to move forward as the questions noted above are addressed and communications to the courts to share information proceed. With the specific activities related to e-Filing well-defined, work is able to proceed despite the lack of an overall integrated CLJ-CMS schedule.
- ✓ We have captured these risks under "Scope: e-Filing" and "OCM: e-Filing" and assessed them as "yellow," with notations that the risks are increasing as time passes.

➢ **Other Risks of Note**

- ✓ **Program Staffing** continues to be a challenge. A "Test Lead" and a "Conversion Lead" started on March 1. Recruiting for a Deputy Project Manager and an "Integrations Lead"

continues. We assess risks in this area as “Risk Being Managed” and use our “blue” rating color.

- ✓ **Integrations: Case Management** is an area that we continue to rate “yellow.” Discussions among technical staff continue as AOC strives to determine a single consistent approach for integrations on all aspects of the CLJ-CMS Project.
- ✓ **Environments** is an area that we assess as “yellow.” AOC should work to quickly resolve the open issue of number of tenets required for supervision and have Tyler update the integrated schedule deliverable to reflect the decision.

1.2 Areas of Assessment

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

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

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

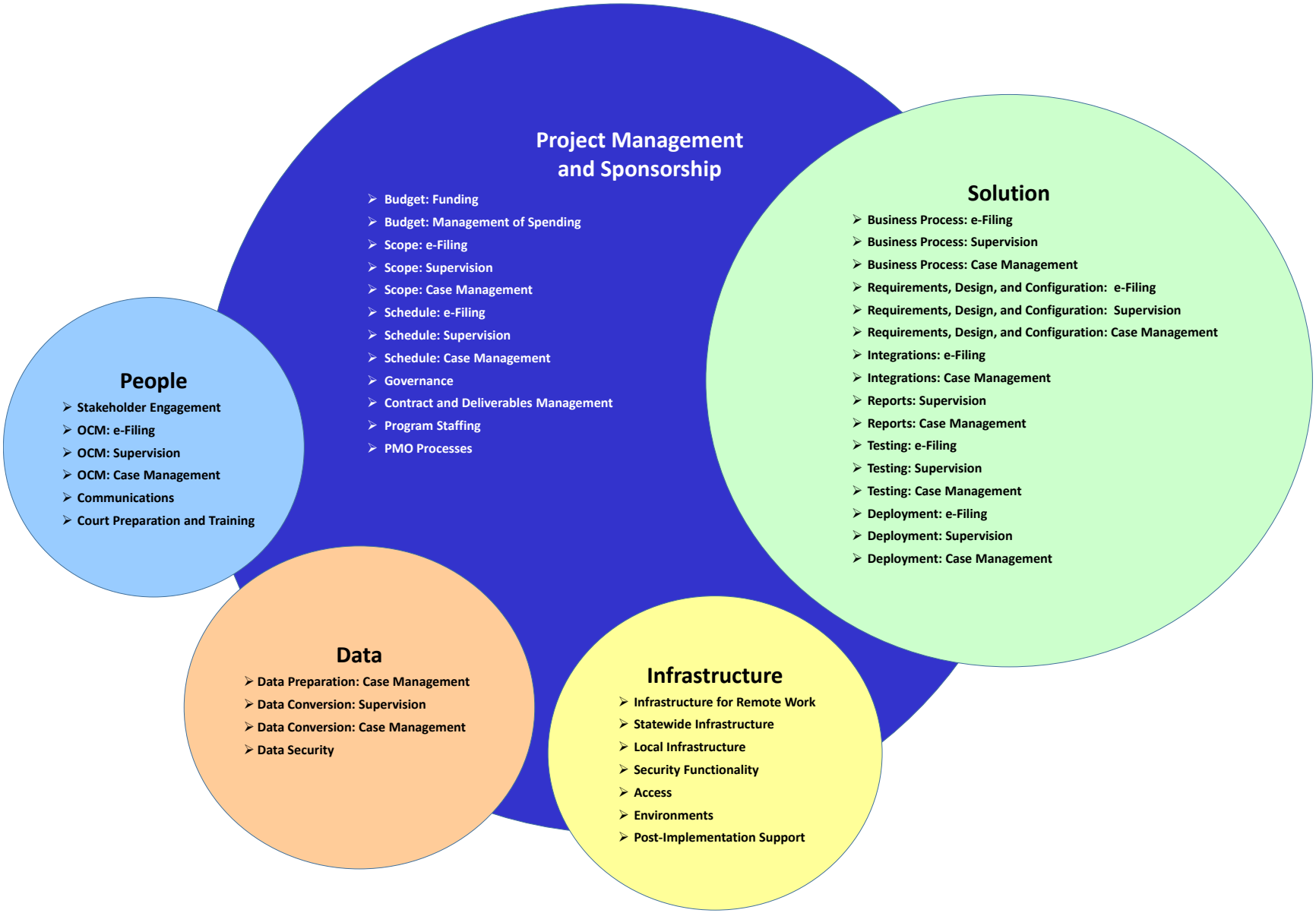

Figure 1. Areas of CLJ-CMS Project Assessed for Risks

1.3 Executive "At-a-Glance" QA Dashboard

The following tables provide a summary of our risk assessment ratings for this month and the previous two months (February 2021 is our first month of reporting; future reports will populate prior month columns.) Detailed findings, risk explanations, and recommendations for risk response are provided in Section 2 of this report. As a reminder to the reader, "blue" items indicate areas of ongoing risk; however, the mitigation and other response activities of the Program for blue items are assessed as adequate for the current review period.

Table 1. Summary Dashboard of QA Assessment Results

Project Management and Sponsorship			
Assessment Area	**March 2021**	**February 2021**	**January 2021**
Budget: Funding	No Risk Identified	No Risk Identified	Not Assessed
Budget: Management of Spending	No Risk Identified	No Risk Identified	Not Assessed
Scope: e-Filing	Risk *(risk increasing)*	Risk	Not Assessed
Scope: Supervision	No Risk Identified	No Risk Identified	Not Assessed
Scope: Case Management	No Risk Identified	No Risk Identified	Not Assessed
Schedule: e-Filing	Risk *(risk increasing)*	Risk	Not Assessed
Schedule: Supervision	Risk *(risk increasing)*	Risk	Not Assessed
Schedule: Case Management	Risk *(risk increasing)*	Risk	Not Assessed
Governance	No Risk Identified	No Risk Identified	Not Assessed
Contract and Deliverables Management	Risk *(risk increasing)*	No Risk Identified	Not Assessed
Program Staffing	Risk Being Managed	Risk Being Managed	Not Assessed

Project Management and Sponsorship			
Assessment Area	**March 2021**	**February 2021**	**January 2021**
PMO Processes	No Risk Identified	No Risk Identified	Not Assessed

People			
Assessment Area	**March 2021**	**February 2021**	**January 2021**
Stakeholder Engagement	No Risk Identified	No Risk Identified	Not Assessed
OCM: e-Filing	Risk *(risk increasing)*	Risk	Not Assessed
OCM: Supervision	No Risk Identified	No Risk Identified	Not Assessed
OCM: Case Management	No Risk Identified	No Risk Identified	Not Assessed
Communications	No Risk Identified	No Risk Identified	Not Assessed
Court Preparation and Training	No Risk Identified	No Risk Identified	Not Assessed

Solution			
Assessment Area	**March 2021**	**February 2021**	**January 2021**
Business Process: e-Filing	No Risk Identified	No Risk Identified	Not Assessed
Business Process: Supervision	No Risk Identified	No Risk Identified	Not Assessed

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

Data			
Assessment Area	**March 2021**	**February 2021**	**January 2021**
Data Preparation: Case Management	No Risk Identified	No Risk Identified	Not Assessed
Data Conversion: Supervision	No Risk Identified	No Risk Identified	Not Assessed
Data Conversion: Case Management	Not Started	Not Started	Not Assessed
Data Security	No Risk Identified	No Risk Identified	Not Assessed

Infrastructure			
Assessment Area	**March 2021**	**February 2021**	**January 2021**
Infrastructure for Remote Work	Risk Being Addressed	Risk Being Addressed	Not Assessed
Statewide Infrastructure	No Risk Identified	No Risk Identified	Not Assessed
Local Infrastructure	No Risk Identified	No Risk Identified	Not Assessed
Security Functionality	No Risk Identified	No Risk Identified	Not Assessed
Access	No Risk Identified	No Risk Identified	Not Assessed
Environments	Risk	Risk	Not Assessed
Post-Implementation Support	No Risk Identified	No Risk Identified	Not Assessed

2. Detailed Assessment Report

Table 2. Detailed Findings and Recommendations from *bluecrane's* QA Risk Assessment

Project Management and Sponsorship					
Assessment Area	**Three-Month Rolling Risk Levels**			**Detailed Risk Assessment**	
	Mar 2021	**Feb 2021**	**Jan 2021**	**Risks and Findings**	***bluecrane* Recommendations**
Budget: Funding	**No Risk Identified**	**No Risk Identified**	**Not Assessed**	✓ **FINDINGS:** Funding allocated to the project is consistent with the approved plan. The recently announced state budget surplus bodes well for continued funding.	N/A
Budget: Management of Spending	**No Risk Identified**	**No Risk Identified**	**Not Assessed**	✓ **FINDINGS:** The project is being managed within the approved budget.	N/A
Scope: e-Filing	**Risk** ***(risk increasing)***	**Risk**	**Not Assessed**	✓ **RISK:** If some courts delay their implementation of e-Filing, then the original scope of the effort to implement e-Filing first in all CLJ-CMS courts may be in jeopardy. ✓ **FINDINGS:** The scope of the e-Filing activity is defined in the Tyler Statement of Work (SOW) and anticipates that e-Filing will be implemented in all CLJ courts over the next 10 months prior to the roll-out of supervision and case management.	✓ **RECOMMENDATION:** The project Steering Committee and AOC leadership should clearly articulate what e-Filing options exist for CLJ courts.

Project Management and Sponsorship

Assessment Area	Three-Month Rolling Risk Levels			Detailed Risk Assessment	
	Mar 2021	Feb 2021	Jan 2021	Risks and Findings	*bluecrane* Recommendations
				Some courts are questioning the "mandate" for e-Filing. In particular, courts that will be implementing case management toward the latter periods of the five-year project are questioning the need for an "interim" solution. In March, the project Steering Committee, AOC leadership, the CLJ OCM Lead, and others on the team continued to better articulate what e-Filing options exist for CLJ courts and to work with court stakeholders to understand their concerns.	
Scope: Supervision	**No Risk Identified**	**No Risk Identified**	**Not Assessed**	✓ **FINDINGS:** The scope of the supervision activity is defined in the Tyler SOW. A fit-gap analysis was conducted in early January by AOC, the CUWG, and Tyler to validate requirements and to identify any requirements that require custom development by Tyler. Scope will be managed through the Requirements Traceability Matrix, system vendor contract deliverables, and the Project Change Management process.	N/A

Project Management and Sponsorship

Assessment Area	Three-Month Rolling Risk Levels			Detailed Risk Assessment	
	Mar 2021	Feb 2021	Jan 2021	Risks and Findings	*bluecrane* Recommendations
Scope: Case Management	**No Risk Identified**	**No Risk Identified**	**Not Assessed**	✓ **FINDINGS:** The scope of the CLJ-CMS Project is established in the deliverables defined in the SOW in the Tyler contract. As noted in the preceding item, a fit-gap analysis was conducted in early January by AOC, the CUWG, and Tyler to validate requirements and to identify any requirements that require custom development by Tyler.	N/A
Schedule: e-Filing	**Risk** ***(risk increasing)***	**Risk**	**Not Assessed**	✓ **RISK:** If corrections to the integrated project schedule from Tyler delay the final deliverable, the e-Filing sub-project timeline is at risk. ✓ **FINDINGS:** The integrated project schedule from Tyler was due October 28, 2020. A draft was delivered on January 29, 2021, three months late. Deficiencies in the completeness of the schedule have been identified by AOC, and a new draft is now due on April 9, 2021. The integrated project schedule should be a schedule for each of the sub-projects (e-Filing, Supervision, and Case Management). In addition, it should include the work of AOC (OCM, technical, project management, court liaison, communications, testing, training, etc.) and the work of any partner organizations (e.g., a state agency that has to conduct integrations-related work, if any).	✓ **RECOMMENDATION:** AOC should collaborate with Tyler to correct inconsistencies in the integrated project schedule and complete this Tyler deliverable as soon as practical.

Project Management and Sponsorship

Assessment Area	Three-Month Rolling Risk Levels			Detailed Risk Assessment	
	Mar 2021	Feb 2021	Jan 2021	Risks and Findings	*bluecrane* Recommendations
				Work is moving ahead on e-Filing, despite the challenges with the integrated schedule deliverable.	
Schedule: Supervision	**Risk** ***(risk increasing)***	**Risk**	**Not Assessed**	✓ **RISK:** If corrections to the integrated project schedule from Tyler delay the final deliverable, the supervision sub-project timeline is at risk. ✓ **FINDINGS:** The same schedule risk that is impacting e-Filing (see preceding item) is impacting the ability to finalize a schedule for supervision. In addition, answers to some of the open questions noted above under "Scope" may affect the contents of the schedule and the overall timeline. For example, if the number of tenets is expanded, that is additional work that needs to be accounted for in the schedule.	✓ **RECOMMENDATION:** AOC should collaborate with Tyler to correct inconsistencies in the integrated project schedule and complete this Tyler deliverable as soon as practical.
Schedule: Case Management	**Risk** ***(risk increasing)***	**Risk**	**Not Assessed**	✓ **RISK:** If corrections to the integrated project schedule from Tyler delay the final deliverable, the case management system sub-project timeline is at risk. ✓ **FINDINGS:** The same schedule risk that is impacting supervision (see preceding item) is impacting the ability to finalize a schedule for case management. Case management is a longer-term sub-project than e-Filing, for example, and can	✓ **RECOMMENDATION:** AOC should collaborate with Tyler to correct inconsistencies in the integrated project schedule and complete this Tyler deliverable as soon as practical.

Project Management and Sponsorship

Assessment Area	Three-Month Rolling Risk Levels			Detailed Risk Assessment	
	Mar 2021	Feb 2021	Jan 2021	Risks and Findings	*bluecrane* Recommendations
				probably "absorb" some early minor slippages. However, with all of the specificity of the SOW, there is no reason to delay completion of the schedule deliverable.	
Governance	No Risk Identified	No Risk Identified	Not Assessed	✓ **FINDINGS:** The implementation of the CLJ-CMS project involves and impacts many stakeholders at the courts, AOC, and other state agencies. The complexity of the diverse stakeholder community is a challenge to the efficient and effective decision-making that will be needed to keep the project progressing successfully through the implementation. Project governance is defined in the Project Charter and is being executed effectively by the Project Leadership, Executive Sponsors, Steering Committee, and JISC. Business functionality governance is achieved through the Court User Workgroup (CUWG).	N/A

Project Management and Sponsorship

Assessment Area	Three-Month Rolling Risk Levels			Detailed Risk Assessment	
	Mar 2021	Feb 2021	Jan 2021	Risks and Findings	*bluecrane* Recommendations
Contract and Deliverables Management	**Risk** *(risk increasing)*	**No Risk Identified**	**Not Assessed**	✓ **RISK:** If Tyler does not quickly "catch-up" on deliverables that are currently late as of March 2021, the CLJ-CMS timeline is at risk. ✓ **FINDINGS:** The "process" of deliverables management by the AOC contracts staff is appropriate and sufficient. AOC staff are doing a diligent job of managing the Tyler contract, including addressing the current situation with late deliverables. In addition, the project team is reviewing the contents of deliverables for compliance and quality. However, notwithstanding the adequacy of the process, Tyler is consistently failing to meet deliverable due dates. The list of late deliverables quickly accumulated in March. While "start-up" challenges are not unusual and the remote work environment necessitated by the on-going COVID-19 crisis adds complexity to the effort, AOC recognizes that this is not a sustainable approach and must be addressed quickly. AOC took action on March 9 by communicating its dissatisfaction with the current situation and demanding that Tyler provide, among other things, (1) a realistic schedule that is mutually agreed to by both AOC and Tyler and (2) a proposal to address issues that led to the current slippages to	✓ **RECOMMENDATION:** AOC should continue its efforts to insist that Tyler address the issues with its consistently late delivery of required items and demonstrate compliance with their contract.

Project Management and Sponsorship

Assessment Area	Three-Month Rolling Risk Levels			Detailed Risk Assessment	
	Mar 2021	Feb 2021	Jan 2021	Risks and Findings	*bluecrane* Recommendations
				help ensure the issues are not repeated going forward. AOC and Tyler met in mid-March to discuss the current issues and how best to move forward. On March 25, Tyler provided proposed dates for “catching-up” on delayed deliverables. In addition, Tyler has proposed more frequent “executive check-ins” going forward.	

Project Management and Sponsorship

Assessment Area	Three-Month Rolling Risk Levels			Detailed Risk Assessment	
	Mar 2021	Feb 2021	Jan 2021	Risks and Findings	*bluecrane* Recommendations
Program Staffing	**Risk Being Addressed**	**Risk Being Addressed**	**Not Assessed**	✓ **RISK:** If the challenges to recruiting and hiring in the COVID-19 remote work environment delay critical hires for the project team, then AOC may need to fill some positions with contractors (at least temporarily) or risk delays in the project's timeline. ✓ **FINDINGS:** Staffing has been going well, despite the challenges posed by the current remote work environment. A "Test Lead" and a "Conversion Lead" started on March 1. Recruiting for a Deputy Project Manager and an "Integrations Lead" continues.	✓ **RECOMMENDATION:** Continue to manage through the recruiting and hiring challenges. ✓ **RECOMMENDATION:** If specific positions (such as the "Integrations Lead") continue to 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.
PMO Processes	**No Risk Identified**	**No Risk Identified**	**Not Assessed**	✓ **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.	N/A

People

Assessment Area	Three-Month Rolling Risk Levels			Detailed Risk Assessment	
	Mar 2021	Feb 2021	Jan 2021	Risks and Findings	*bluecrane* Recommendations
Stakeholder Engagement	**No Risk Identified**	**No Risk Identified**	**Not Assessed**	✓ **FINDINGS:** The OCM and Communications Lead for the CLJ-CMS Project, CLJ-CMS Business Liaison, and AOC leadership team are doing an admirable and diligent job of reaching out to and engaging with the diverse CLJ stakeholder community. As noted under "Scope: e-Filing," some courts are questioning the "mandate" for e-Filing. In particular, courts that will be implementing case management towards the latter periods of the five-year project are questioning the need for an "interim" solution. This situation creates challenges for Stakeholder Engagement but, for now, we view the risk as primarily related to the scope of the e-Filing effort.	N/A
OCM: e-Filing	**Risk** ***(risk increasing)***	**Risk**	**Not Assessed**	✓ **RISK:** If some courts delay their implementation of e-Filing, then the original scope of the effort to implement e-Filing first in all CLJ-CMS courts may be in jeopardy. **FINDINGS:** OCM is vital to addressing the scope risk related to e-Filing raised earlier in this report. OCM activities in this area are numerous, professional, and clear. Despite the admirable efforts, the court community is "pushing back" on: • Costs and mandatory aspects of fees	✓ **RECOMMENDATION:** Utilize the recently developed FAQ document to assist in communicating clearly and consistently with the court community. ✓ **RECOMMENDATION:** The project Steering Committee and AOC leadership should clearly

People

Assessment Area	Three-Month Rolling Risk Levels			Detailed Risk Assessment	
	Mar 2021	Feb 2021	Jan 2021	Risks and Findings	*bluecrane* Recommendations
				• Timing, especially among courts that may be five years away from the implementation of case management with Odyssey • Nature of the mandate for e-Filing (i.e., can a court "opt-out" or not?) • Other aspects of e-Filing	articulate what e-Filing options exist for CLJ courts.
OCM: Supervision	**No Risk Identified**	**No Risk Identified**	**Not Assessed**	✓ **FINDINGS:** OCM activities in this area are numerous, professional, and clear.	N/A
OCM: Case Management	**No Risk Identified**	**No Risk Identified**	**Not Assessed**	✓ **FINDINGS:** OCM activities in this area are numerous, professional, and clear.	N/A
Communi-cations	**No Risk Identified**	**No Risk Identified**	**Not Assessed**	✓ **FINDINGS:** The OCM and Communications Lead for the CLJ-CMS Project, CLJ-CMS Business Liaison, and AOC leadership team are doing an admirable and diligent job of reaching out to and engaging with the diverse CLJ stakeholder community. Communications is an area of particular focus for the project Steering Committee. The project team has conducted several webinars on e-Filing since mid-February.	N/A

People

Assessment Area	Three-Month Rolling Risk Levels			Detailed Risk Assessment	
	Mar 2021	Feb 2021	Jan 2021	Risks and Findings	*bluecrane* Recommendations
Court Preparation and Training	No Risk Identified	No Risk Identified	Not Assessed	✓ **FINDINGS:** The CLJ-CMS Project has hired a "Training Lead" with previous AOC experience. The current focus is on the e-Filing pilot courts which will go live later this spring.	N/A

Solution

Assessment Area	Three-Month Rolling Risk Levels			Detailed Risk Assessment	
	Mar 2021	Feb 2021	Jan 2021	Risks and Findings	*bluecrane* Recommendations
Business Process: e-Filing	No Risk Identified	No Risk Identified	Not Assessed	✓ **FINDINGS:** The business processes for e-Filing are minimal and relatively procedural in nature.	N/A
Business Process: Supervision	No Risk Identified	No Risk Identified	Not Assessed	✓ **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.	N/A
Business Process: Case Management	No Risk Identified	No Risk Identified	Not Assessed	✓ **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.	N/A
Requirements, Design, and Configuration: e-Filing	No Risk Identified	No Risk Identified	Not Assessed	✓ **FINDINGS:** Requirements for e-Filing are minimal and relatively procedural in nature.	N/A

Solution

Assessment Area	Three-Month Rolling Risk Levels			Detailed Risk Assessment	
	Mar 2021	Feb 2021	Jan 2021	Risks and Findings	*bluecrane* Recommendations
Requirements, Design, and Configuration: Supervision	No Risk Identified	No Risk Identified	Not Assessed	✓ **FINDINGS:** Supervision requirements are included in the requirements reviews being conducted over time by the CUWG.	N/A
Requirements, Design, and Configuration: Case Management	No Risk Identified	No Risk Identified	Not Assessed	**FINDINGS:** The CUWG conducted a fit-gap analysis with Tyler. Fifty-six requirements will need custom development by Tyler. The effort is estimated to be within the hours bid by Tyler for custom development work.	N/A
Integrations: e-Filing	No Risk Identified	No Risk Identified	Not Assessed	✓ **FINDINGS:** e-Filing requires a single integration across the agency and courts. Work is on-track using Biztalk 2020.	N/A

Solution

Assessment Area	Three-Month Rolling Risk Levels			Detailed Risk Assessment	
	Mar 2021	Feb 2021	Jan 2021	Risks and Findings	*bluecrane* Recommendations
Integrations: Case Management	**Risk**	**Risk**	**Not Assessed**	✓ **RISK:** If the integration approach for CLJ-CMS changes during the project, there will be a need for re-work of the integrations done prior to the change. ✓ **FINDINGS:** On June 5, 2020, the AOC Architecture Review Board (ARB) made the decision to utilize a "middleware" approach to CLJ-CMS integrations rather than a "point-to-point" approach. Generally speaking, a middleware approach should be an efficient and effective approach since a point-to-point approach, while simple in nature, requires a software development effort for each integration and a middleware approach does not. The issue is complicated by the fact that AOC's current middleware solution is a version of the product Biztalk that will be out-of-support *during the CLJ-CMS Project.* AOC is currently considering whether to move to a newer version of Biztalk or to move to a more modern platform such as Amazon Web Services (AWS) or Microsoft's Azure solution. Moving to a new, modern middleware platform would require expertise that AOC does not currently possess.	✓ **RECOMMENDATION:** AOC should determine a single consistent approach for integrations on all aspects of the CLJ-CMS Project.

Solution

Assessment Area	Three-Month Rolling Risk Levels			Detailed Risk Assessment	
	Mar 2021	Feb 2021	Jan 2021	Risks and Findings	*bluecrane* Recommendations
Reports: Supervision	No Risk Identified	No Risk Identified	Not Assessed	✓ **FINDINGS:** Supervision reports are defined in the CLJ-CMS requirements.	N/A
Reports: Case Management	No Risk Identified	No Risk Identified	Not Assessed	✓ **FINDINGS:** Case management reports are defined in the CLJ-CMS requirements.	N/A
Testing: e-Filing	Not Started	Not Started	Not Assessed	✓ **FINDINGS:** The CLJ-CMS “Test Lead” started work on March 1.	N/A
Testing: Supervision	Not Started	Not Started	Not Assessed	✓ **FINDINGS:** The CLJ-CMS “Test Lead” started work on March 1.	N/A

Solution

Assessment Area	Three-Month Rolling Risk Levels			Detailed Risk Assessment	
	Mar 2021	Feb 2021	Jan 2021	Risks and Findings	*bluecrane* Recommendations
Testing: Case Management	Not Started	Not Started	Not Assessed	✓ **FINDINGS:** The CLJ-CMS "Test Lead" started work on March 1.	N/A
Deployment: e-Filing	No Risk Identified	No Risk Identified	Not Assessed	✓ **FINDINGS:** After the pilot court implementations, e-Filing deployment will follow the same regional rollout plan as the one that will be utilized for supervision and case management.	N/A
Deployment: Supervision	No Risk Identified	No Risk Identified	Not Assessed	✓ **FINDINGS:** The CLJ-CMS Steering Committee has approved a regional rollout plan for supervision and case management.	N/A
Deployment: Case Management	No Risk Identified	No Risk Identified	Not Assessed	✓ **FINDINGS:** The CLJ-CMS Steering Committee has approved a regional rollout plan for supervision and case management.	N/A

Data

Assessment Area	Three-Month Rolling Risk Levels			Detailed Risk Assessment	
	Mar 2021	Feb 2021	Jan 2021	Risks and Findings	*bluecrane* Recommendations
Data Preparation: Case Management	No Risk Identified	No Risk Identified	Not Assessed	✓ **FINDINGS:** Business Analysts (BAs) on the CLJ-CMS Project team are sending reports to courts on a fairly regular basis, with requests that the courts review their data and clean it up as they are able. When the project's conversion begins, project technical staff will review data that is being converted and do additional clean-up at that time.	N/A
Data Conversion: Supervision	No Risk Identified	No Risk Identified	Not Assessed	✓ **FINDINGS:** Thirteen courts are currently on the CaseLoad Pro probation system, 39 courts have "homegrown" solutions, and some number of courts are on Tyler's supervision solution already. The data conversion plan for supervision is to ***not*** convert data from non-Tyler solutions. For the courts using Tyler's supervision solution currently, their data is already housed at Tyler and will be transferred to the new CLJ-CMS supervision solution.	N/A
Data Conversion: Case Management	Not Started	Not Started	Not Assessed	✓ **FINDINGS:** As noted above, data clean-up activities are underway, prior to conversion.	N/A

Data

Assessment Area	Three-Month Rolling Risk Levels			Detailed Risk Assessment	
	Mar 2021	Feb 2021	Jan 2021	Risks and Findings	*bluecrane* Recommendations
Data Security	No Risk Identified	No Risk Identified	Not Assessed	✓ **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.	N/A

Infrastructure

Assessment Area	Three-Month Rolling Risk Levels			Detailed Risk Assessment	
	Mar 2021	Feb 2021	Jan 2021	Risks and Findings	*bluecrane* Recommendations
Infrastructure for Remote Work	Risk Being Addressed	Risk Being Addressed	Not Assessed	✓ **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.	N/A

Infrastructure

Assessment Area	Three-Month Rolling Risk Levels			Detailed Risk Assessment	
	Mar 2021	Feb 2021	Jan 2021	Risks and Findings	*bluecrane* Recommendations
Statewide Infrastructure	**No Risk Identified**	**No Risk Identified**	**Not Assessed**	✓ **FINDINGS:** Because e-Filing and supervision will be delivered via a "Software-as-a-Service" (SaaS) approach, those applications will be accessible through an internet browser, requiring little technical infrastructure. The case management solution will require personal computers (desktops and laptops) and networking bandwidth adequate to support the application.	N/A
Local Infrastructure	**No Risk Identified**	**No Risk Identified**	**Not Assessed**	✓ **FINDINGS:** As noted above, the case management solution will require personal computers (desktops and laptops) and networking bandwidth adequate to support the application. The CLJ-CMS Project Manager has a list of technical infrastructure requirements that she will be sending out to the court community. In addition, she is starting conversations with AOC leadership regarding courts that have limited resources.	N/A
Security Functionality	**No Risk Identified**	**No Risk Identified**	**Not Assessed**	✓ **FINDINGS:** The security functionality of Odyssey has been approved previously by AOC for the Superior Court – Case Management System (SC-CMS). As noted above under Data Security, the CLJ-CMS Project Technical Lead is meeting with AOC security staff on a monthly basis and validating the	N/A

Infrastructure

Assessment Area	Three-Month Rolling Risk Levels			Detailed Risk Assessment	
	Mar 2021	Feb 2021	Jan 2021	Risks and Findings	*bluecrane* Recommendations
				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.	
Access	**No Risk Identified**	**No Risk Identified**	**Not Assessed**	**FINDINGS:** e-Filing and supervision access will be via browser. A computer will be required for access to the case management solution.	N/A
Environments	**Risk**	**Risk**	**Not Assessed**	✓ **RISK:** If the number of tenets for supervision is expanded, then the additional work needs to be accounted for in the integrated schedule deliverable developed by Tyler. ✓ **FINDINGS:** The CLJ-CMS Project is collaborating with Tyler on the number of "tenants" (essentially "system instances") that will be required to service courts in the state and setting up certain parameters in Odyssey related to supervision.	✓ **RECOMMENDATION:** AOC should work to quickly resolve the open issue of number of tenets required for supervision and have Tyler update the integrated schedule deliverable to reflect the decision.
Post-Imple-mentation Support	**No Risk Identified**	**No Risk Identified**	**Not Assessed**	✓ **FINDINGS:** Based on "Lessons Learned" from the Superior Court – Case Management System (SC-CMS) Project, the CLJ-CMS Project staffing plan includes having four Business Analysts on-board before going live with pilot courts. These BAs will be able to develop expertise with the new solution that will be essential to post-go-live support.	N/A

Appendix: Overview of *bluecrane* Risk Assessment Approach

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

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

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

Our risk ratings are summarized in Table 3 below.

Table 3. *bluecrane's* Risk Assessment Categorization

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

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