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

October 2021

Prepared by

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October 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 October 2021.

This document is structured as follows:

1. Executive Summary and Assessment Dashboard.
2. A detailed report of our CLJ-CMS assessment for the current reporting period.
3. An explanation of our approach for those readers that have not seen one of our assessments previously.

Please contact me with any questions or comments.

Sincerely,

Allen Mills

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Introductory Note on Project Structure

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

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

1. Executive Summary

1.1 Executive Overview

CLJ-CMS Project continued to make positive progress in October. In particular:

- The first of five "practice" data conversions was completed with a high level of success in validating the process, and the second data conversion was started
- The project team completed training on Electronic Court Records (ECR)
- The project team prepared for its first technical "sprint" which will focus on the refinement and proof-of-concept integration from Odyssey to the Enterprise Data Repository (EDR); the project is using an iterative approach to its work that consists of sequential 2-week periods known as "sprints," each of which focuses on previously agreed-upon work content
- A new project website was launched and feedback on the first two project newsletters was received
- Configuration of Odyssey CMS for the CLJ courts continued
- A new Deployment Lead started in mid-October
- Additional recruitments continued in a very tight labor market
- The Deputy Project Manager provided the Steering Committee with a concise and informative presentation on Agile and Scrum concepts that the team is using for its work; "Agile" is a method that emphasizes teamwork and frequent delivery of interim working "product," and Scrum is a framework within which people can address complex adaptive problems while delivering products; Scrum is not limited to Agile efforts, but almost all Agile efforts utilize Scrum

Also, AOC submitted a change request to delay eFiling. At this time, Tyler and AOC have agreed to delay further negotiations until after the results of the 2022 legislative budget process are known.

Meanwhile, the Steering Committee and AOC continued to explore alternative funding models for eFiling. AOC staff drafted a set of options that provided a sound structure for analysis as discussions continue. The results of the 2022 legislative budget process will determine whether all options continue to be feasible.

In addition, discussions concerning the topic we highlighted in our September report, namely the development of a strategy for whether or not integrations of local court applications to Odyssey will be permitted and, if so, to what degree AOC will be able to support such integrations, also continued. Here again, AOC staff provided excellent staff support to the Steering Committee by developing a set of draft "imperatives for local integrations" that the Steering Committee is discussing, refining, and validating. Once fully vetted and approved by the Steering Committee, these imperatives should be very useful in informing decisions related to a viable integrations strategy.

The are no new risks assessed in our October report.

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	**October 2021**	**September 2021**	**August 2021**
Scope: eFiling	Risk Being Managed	Risk Being Managed	Risk Being Managed
Scope: Case Management	No Risk Identified	No Risk Identified	No Risk Identified
Scope: Supervision	No Risk Identified	No Risk Identified	No Risk Identified
Schedule: eFiling	Risk Being Managed	Risk Being Managed	Risk Being Managed
Schedule: Case Management	Risk Being Managed	Risk Being Managed	Risk Being Managed
Schedule: Supervision	Risk Being Managed	Risk Being Managed	Risk Being Managed
Budget: Funding	No Risk Identified	No Risk Identified	No Risk Identified
Budget: Management of Spending	No Risk Identified	No Risk Identified	No Risk Identified
Governance	No Risk Identified	No Risk Identified	No Risk Identified
Contracts and Deliverables Management	No Risk Identified	No Risk Identified	No Risk Identified
Project Staffing	Risk Being Managed	Risk Being Managed	Risk Being Managed

Project Management and Sponsorship			
Assessment Area	**October 2021**	**September 2021**	**August 2021**
PMO Processes	No Risk Identified	No Risk Identified	No Risk Identified

People			
Assessment Area	**October 2021**	**September 2021**	**August 2021**
Stakeholder Engagement	No Risk Identified	No Risk Identified	No Risk Identified
OCM: eFiling	Risk Being Addressed	Risk Being Addressed	Risk Being Addressed
OCM: Case Management	No Risk Identified	No Risk Identified	No Risk Identified
OCM: Supervision	No Risk Identified	No Risk Identified	No Risk Identified
Communications	No Risk Identified	No Risk Identified	No Risk Identified
Court Preparation and Training	No Risk Identified	No Risk Identified	No Risk Identified

Solution			
Assessment Area	**October 2021**	**September 2021**	**August 2021**
Business Process: eFiling	No Risk Identified	No Risk Identified	No Risk Identified
Business Process: Case Management	No Risk Identified	No Risk Identified	No Risk Identified

Solution			
Assessment Area	**October 2021**	**September 2021**	**August 2021**
Business Process: Supervision	**No Risk Identified**	**No Risk Identified**	**No Risk Identified**
Requirements, Design, and Configuration: eFiling	**No Risk Identified**	**No Risk Identified**	**No Risk Identified**
Requirements, Design, and Configuration: Case Management	**No Risk Identified**	**No Risk Identified**	**No Risk Identified**
Requirements, Design, and Configuration: Supervision	**No Risk Identified**	**No Risk Identified**	**No Risk Identified**
Integrations: eFiling	**No Risk Identified**	**No Risk Identified**	**No Risk Identified**
Integrations: Case Management	**Risk Being Managed**	**Risk Being Managed**	**Risk Being Managed**
Reports: Case Management	**No Risk Identified**	**No Risk Identified**	**No Risk Identified**
Reports: Supervision	**No Risk Identified**	**No Risk Identified**	**No Risk Identified**
Testing: eFiling	**No Risk Identified**	**No Risk Identified**	**No Risk Identified**
Testing: Case Management	**No Risk Identified**	**No Risk Identified**	**No Risk Identified**
Testing: Supervision	**No Risk Identified**	**No Risk Identified**	**No Risk Identified**
Deployment: eFiling	**No Risk Identified**	**No Risk Identified**	**No Risk Identified**
Deployment: Case Management	**No Risk Identified**	**No Risk Identified**	**No Risk Identified**
Deployment: Supervision	**No Risk Identified**	**No Risk Identified**	**No Risk Identified**

Data			
Assessment Area	**October 2021**	**September 2021**	**August 2021**
Data Preparation: Case Management	No Risk Identified	No Risk Identified	No Risk Identified
Data Conversion: Case Management	No Risk Identified	No Risk Identified	No Risk Identified
Data Conversion: Supervision	No Risk Identified	No Risk Identified	No Risk Identified
Data Security	No Risk Identified	No Risk Identified	No Risk Identified

Infrastructure			
Assessment Area	**October 2021**	**September 2021**	**August 2021**
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 Scope: eFiling

Project Management and Sponsorship			
Scope: eFiling	Three-Month Rolling Risk Levels		
	Oct. 2021	Sept. 2021	August 2021
	Risk Being Addressed	Risk Being Addressed	Risk Being Addressed

Findings

As previously reported, the CLJ-CMS Project Steering Committee made a unanimous decision in July 2021 to delay implementation of eFiling in order to provide time to address the various issues that have arisen.

While this decision will necessarily require some re-planning and re-scheduling of the project's eFiling activities, it does not prevent the project team from moving forward with CMS and Supervision tasks. In addition, the work done to-date for eFiling (such as the single integration and its certification by Tyler in September 2021) will position the project well to resume eFiling-specific tasks when appropriate.

Risks and Issues

The scope of the eFiling activity is defined in the Tyler Statement of Work (SOW) and anticipates that eFiling will be implemented in all CLJ courts within calendar year 2021, prior to the roll-out of supervision and case management.

With the recent decision to delay eFiling implementation, there will be a need to amend the Tyler contract. AOC has already submitted a change request to delay eFiling. At this time, Tyler and AOC have agreed to delay further negotiations until after the results of the 2022 legislative budget process are known.

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

We continue to encourage everyone involved to take advantage of the additional time provided by the delay and continue to work on the issues with a sense of urgency and to strive to achieve resolution of the most critical issues prior to eFiling implementation work resuming.

2.1.2 Scope: Case Management

Project Management and Sponsorship			
Scope: Case Management	Three-Month Rolling Risk Levels		
	Oct. 2021	Sept. 2021	August 2021
	No Risk Identified	No Risk Identified	No Risk Identified

Findings

The scope of the CLJ-CMS Project is established in the deliverables defined in the SOW in the Tyler contract. The AOC, CUWG, and Tyler continue to validate requirements and to identify any requirements that require custom development by Tyler. Scope will be managed through a Requirements Traceability Matrix (RTM), system vendor contract deliverables, and the Project Change Management process. The project team delivered an RTM to Tyler in August 2021.

2.1.3 Scope: Supervision

Project Management and Sponsorship			
Scope: Supervision	Three-Month Rolling Risk Levels		
	Oct. 2021	Sept. 2021	August 2021
	No Risk Identified	No Risk Identified	No Risk Identified

Findings

The scope of the supervision activity is defined in the Tyler SOW. A fit-gap analysis was conducted in early January 2021 by AOC, the CUWG, and Tyler to validate requirements and to identify any requirements that require custom development by Tyler. Scope will be managed through the RTM, system vendor contract deliverables, and the Project Change Management process.

2.1.4 Schedule: eFiling

Project Management and Sponsorship			
Schedule: eFiling	Three-Month Rolling Risk Levels		
	Oct. 2021	Sept. 2021	August 2021
	Risk Being Addressed	Risk Being Addressed	Risk Being Addressed

Findings

The CLJ-CMS Project Steering Committee made a unanimous decision in July 2021 to delay implementation of eFiling in order to provide time to address the various issues that have arisen.

Risks and Issues

As noted above under “Scope: eFiling,” the Tyler SOW anticipates that eFiling will be implemented in all CLJ courts within calendar year 2021, prior to the roll-out of supervision and case management.

With the recent decision to delay eFiling implementation, there will be a need to amend the Tyler contract. AOC has already submitted a change request to delay eFiling. At this time, Tyler and AOC have agreed to delay further negotiations until after the results of the 2022 legislative budget process are known.

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

We support the Steering Committee’s decision to delay eFiling and address outstanding policy issues prior to implementation.

2.1.5 Schedule: Case Management

Project Management and Sponsorship			
Schedule: Case Management	Three-Month Rolling Risk Levels		
	Oct. 2021	Sept. 2021	August 2021
	Risk Being Addressed	Risk Being Addressed	Risk Being Addressed

Findings

Previous concerns with the project schedule have been largely addressed. However, until the revised timing of the eFiling implementation is determined, the integrated project schedule cannot be baselined.

Regardless of this, the CMS and Supervision tasks in the yet-to-be-baselined schedule are moving forward.

2.1.6 Schedule: Supervision

Project Management and Sponsorship			
Schedule: Supervision	Three-Month Rolling Risk Levels		
	Oct. 2021	Sept. 2021	August 2021
	Risk Being Addressed	Risk Being Addressed	Risk Being Addressed

Findings

Previous concerns with the project schedule have been largely addressed. However, until the revised timing of the eFiling implementation is determined, the integrated project schedule cannot be baselined.

Regardless of this, the CMS and Supervision tasks in the yet-to-be-baselined schedule are moving forward.

2.1.7 Budget: Funding

Project Management and Sponsorship			
Budget: Funding	Three-Month Rolling Risk Levels		
	Oct. 2021	Sept. 2021	August 2021
	No Risk Identified	No Risk Identified	No Risk Identified

Findings

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

2.1.8 Budget: Management of Spending

Project Management and Sponsorship			
Budget: Management of Spending	Three-Month Rolling Risk Levels		
	Oct. 2021	Sept. 2021	August 2021
	No Risk Identified	No Risk Identified	No Risk Identified

Findings

The project is being managed within the approved budget.

2.1.9 Governance

Project Management and Sponsorship			
Governance	Three-Month Rolling Risk Levels		
	Oct. 2021	Sept. 2021	August 2021
	No Risk Identified	No Risk Identified	No Risk Identified

Findings

The implementation of the CLJ-CMS project involves and impacts many stakeholders at the courts, AOC, and other state agencies. The complexity of the diverse stakeholder community is a challenge to the efficient and effective decision-making that will be needed to keep the project progressing successfully through the implementation.

Project governance is defined in the Project Charter and is being executed effectively by the Project Leadership, Executive Sponsors, Steering Committee, and JISC.

Business functionality governance is achieved through the CUWG.

2.1.10 Contracts and Deliverables Management

Project Management and Sponsorship			
Contracts and Deliverables Management	Three-Month Rolling Risk Levels		
	Oct. 2021	Sept. 2021	August 2021
	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.

2.1.11 Project Staffing

Project Management and Sponsorship			
Project Staffing	Three-Month Rolling Risk Levels		
	Oct. 2021	Sept. 2021	August 2021
	Risk Being Addressed	Risk Being Addressed	Risk Being Addressed

Findings

Staffing has been going well, despite the challenges posed by a highly competitive labor market and the current remote work environment.

Risks and Issues

If the challenges to recruiting and hiring 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.

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

The project team should continue to manage through the recruiting and hiring challenges.

***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.

2.1.12 PMO Processes

Project Management and Sponsorship			
PMO Processes	Three-Month Rolling Risk Levels		
	Oct. 2021	Sept. 2021	August 2021
	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		
	Oct. 2021	Sept. 2021	August 2021
	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.

There is a need for continuing communications with stakeholders regarding the eFiling implementation delay in order to ensure the court community has accurate information about the issues that need to be resolved.

2.2.2 OCM: eFiling

People			
OCM: eFiling	Three-Month Rolling Risk Levels		
	Oct. 2021	Sept. 2021	August 2021
	Risk Being Addressed	Risk Being Addressed	Risk Being Addressed

Findings

The OCM program is vital to ensuring that the court community is informed with accurate information about the eFiling delay and the issues that need to be addressed.

Risks and Issues

In the absence of an informed stakeholder community, rumors and inaccurate information may fill the void.

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

We are supportive not only of the work being done by the project's OCM Lead and others but also of the outreach being performed by the Executive Sponsors, Sponsors, and the Project Steering Committee, all of whom are critical elements of a comprehensive OCM program.

2.2.3 OCM: Case Management

People			
OCM: Case Management	Three-Month Rolling Risk Levels		
	Oct. 2021	Sept. 2021	August 2021
	No Risk Identified	No Risk Identified	No Risk Identified

Findings

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

2.2.4 OCM: Supervision

People			
OCM: Supervision	Three-Month Rolling Risk Levels		
	Oct. 2021	Sept. 2021	August 2021
	No Risk Identified	No Risk Identified	No Risk Identified

Findings

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

2.2.5 Communications

People			
Communications	Three-Month Rolling Risk Levels		
	Oct. 2021	Sept. 2021	August 2021
	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. Communications is an area of particular focus for the project Steering Committee, especially in sharing accurate information regarding the eFiling delay. Two project newsletters have been distributed as of September 2021, and a new project website was launched in October 2021.

2.2.6 Court Preparation and Training

People			
Court Preparation and Training	Three-Month Rolling Risk Levels		
	Oct. 2021	Sept. 2021	August 2021
	No Risk Identified	No Risk Identified	No Risk Identified

Findings

The project team is working with courts to systematically wrap up eFiling activities and implementation tasks begun with pilot courts and Regions 1 through 5. The goal is to help ensure that work can resume from the point at which it was halted, minimizing the need for any re-work.

2.3 Solution

2.3.1 Business Process: eFiling

Solution			
Business Process: eFiling	Three-Month Rolling Risk Levels		
	Oct. 2021	Sept. 2021	August 2021
	No Risk Identified	No Risk Identified	No Risk Identified

Findings

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

2.3.2 Business Process: Case Management

Solution			
Business Process: Case Management	Three-Month Rolling Risk Levels		
	Oct. 2021	Sept. 2021	August 2021
	No Risk Identified	No Risk Identified	No Risk Identified

Findings

The business processes for case management are documented. The project is making any changes that are needed as a result of the CUWG's ongoing review of requirements.

2.3.3 Business Process: Supervision

Solution			
Business Process: Supervision	Three-Month Rolling Risk Levels		
	Oct. 2021	Sept. 2021	August 2021
	No Risk Identified	No Risk Identified	No Risk Identified

Findings

The business processes for supervision are documented. The project is making any changes that are needed as a result of the CUWG's ongoing review of requirements.

2.3.4 Requirements, Design, and Configuration: eFiling

Solution			
Requirements, Design, and Configuration: eFiling	Three-Month Rolling Risk Levels		
	Oct. 2021	Sept. 2021	August 2021
	No Risk Identified	No Risk Identified	No Risk Identified

Findings

Requirements for eFiling are minimal and relatively procedural in nature.

2.3.5 Requirements, Design, and Configuration: Case Management

Solution			
Requirements, Design, and Configuration: Case Management	Three-Month Rolling Risk Levels		
	Oct. 2021	Sept. 2021	August 2021
	No Risk Identified	No Risk Identified	No Risk Identified

Findings

Based on the ongoing excellent work by the CUWG, the project was able to send an RTM to Tyler in August 2021.

2.3.6 Requirements, Design, and Configuration: Supervision

Solution			
Requirements, Design, and Configuration: Supervision	Three-Month Rolling Risk Levels		
	Oct. 2021	Sept. 2021	August 2021
	No Risk Identified	No Risk Identified	No Risk Identified

Findings

Supervision requirements are included in the requirements reviews being conducted over time by the CUWG.

2.3.7 Integrations: eFiling

Solution			
Integrations: eFiling	Three-Month Rolling Risk Levels		
	Oct. 2021	Sept. 2021	August 2021
	No Risk Identified	No Risk Identified	No Risk Identified

Findings

Tyler certified the single integration required for eFiling in September 2021. Regardless of the delay in eFiling, the integration will be needed eventually. The goal will be to leverage the work already done as well as the completed certification.

2.3.8 Integrations: Case Management

Solution			
Integrations: Case Management	Three-Month Rolling Risk Levels		
	Oct. 2021	Sept. 2021	August 2021
	Risk Being Addressed	Risk Being Addressed	Risk Being Addressed

Findings

The project has begun discussions to inform the development of a strategy for whether or not integrations of local court applications to Odyssey will be permitted and, if so, to what degree AOC will be able to support such integrations. Readers of prior monthly QA reports may recall that 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.

On the other hand, a middleware approach does require some level of technical support to implement. If the issue of whether or not to permit integrations of local court applications was merely a question of AOC providing a middleware solution and “exposing” what are known as Application Programming Interfaces (APIs) for Odyssey for local courts to use in their interface development approaches, the issue would be relatively simple to explore and resolve. The complicating factor is, as one key AOC technical staff member indicated from past experience with Odyssey on the Superior Court – Case Management System (SC-CMS), each interface requires a significant investment of AOC staff resources to complete, test, and implement the interface. With that being the case, a high demand for

local court application integrations would be beyond the scope of what AOC could support. More discussions will be needed to formulate a viable strategy in this area.

Risks and Issues

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

***bluecrane* Recommendation**

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

2.3.9 Reports: Case Management

Solution			
Reports: Case Management	Three-Month Rolling Risk Levels		
	Oct. 2021	Sept. 2021	August 2021
	No Risk Identified	No Risk Identified	No Risk Identified

Findings

Case management reports are defined in the CLJ-CMS requirements.

2.3.10 Reports: Supervision

Solution			
Reports: Supervision	Three-Month Rolling Risk Levels		
	Oct. 2021	Sept. 2021	August 2021
	No Risk Identified	No Risk Identified	No Risk Identified

Findings

Supervision reports are defined in the CLJ-CMS requirements.

2.3.11 Testing: eFiling

Solution			
Testing: eFiling	Three-Month Rolling Risk Levels		
	Oct. 2021	Sept. 2021	August 2021
	No Risk Identified	No Risk Identified	No Risk Identified

Findings

Planning for eFiling testing is underway.

2.3.12 Testing: Case Management

Solution			
Testing: Case Management	Three-Month Rolling Risk Levels		
	Oct. 2021	Sept. 2021	August 2021
	No Risk Identified	No Risk Identified	No Risk Identified

Findings

Planning for Case Management testing is underway.

2.3.13 Testing: Supervision

Solution			
Testing: Supervision	Three-Month Rolling Risk Levels		
	Oct. 2021	Sept. 2021	August 2021
	No Risk Identified	No Risk Identified	No Risk Identified

Findings

Planning for Supervision testing is underway.

2.3.14 Deployment: eFiling

Solution			
Deployment: eFiling	Three-Month Rolling Risk Levels		
	Oct. 2021	Sept. 2021	August 2021
	No Risk Identified	No Risk Identified	No Risk Identified

Findings

eFiling deployment will be a critical subject of the re-planning that is taking place in response to the Project Steering Committee's decision to delay eFiling.

2.3.15 Deployment: Case Management

Solution			
Deployment: Case Management	Three-Month Rolling Risk Levels		
	Oct. 2021	Sept. 2021	August 2021
	No Risk Identified	No Risk Identified	No Risk Identified

Findings

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

2.3.16 Deployment: Supervision

Solution			
Deployment: Supervision	Three-Month Rolling Risk Levels		
	Oct. 2021	Sept. 2021	August 2021
	No Risk Identified	No Risk Identified	No Risk Identified

Findings

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

2.4 Data

2.4.1 Data Preparation: Case Management

Data			
Data Preparation: Case Management	Three-Month Rolling Risk Levels		
	Oct. 2021	Sept. 2021	August 2021
	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		
	Oct. 2021	Sept. 2021	August 2021
	No Risk Identified	No Risk Identified	No Risk Identified

Findings

The first of five "practice" data conversions was completed with a high level of success in validating the process. A second data conversion has begun.

Achieving successful "practice" conversions early will position the project well for a smoother implementation effort when the time arrives for the final, "production" conversion.

2.4.3 Data Conversion: Supervision

Data			
Data Conversion: Supervision	Three-Month Rolling Risk Levels		
	Oct. 2021	Sept. 2021	August 2021
	No Risk Identified	No Risk Identified	No Risk Identified

Findings

Thirteen courts are currently on the CaseLoad Pro probation system, 39 courts have “homegrown” solutions, and some number of courts are on Tyler’s supervision solution already. The data conversion plan for supervision is to ***not*** convert data from non-Tyler solutions. For the courts using Tyler’s supervision solution currently, their data is already housed at Tyler and will be transferred to the new CLJ-CMS supervision solution.

2.4.4 Data Security

Data			
Data Security	Three-Month Rolling Risk Levels		
	Oct. 2021	Sept. 2021	August 2021
	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		
	Oct. 2021	Sept. 2021	August 2021
	Risk Being Addressed	Risk Being Addressed	Risk Being Addressed

Findings

The CLJ-CMS Project has adapted well to the remote work environment implemented in response to the COVID-19 pandemic. While there are intermittent issues with bandwidth to/from certain geographic areas, the team has managed to move forward with project activities.

2.5.2 Statewide Infrastructure

Infrastructure			
Statewide Infrastructure	Three-Month Rolling Risk Levels		
	Oct. 2021	Sept. 2021	August 2021
	No Risk Identified	No Risk Identified	No Risk Identified

Findings

Because eFiling and supervision will be delivered via a “Software-as-a-Service” (SaaS) approach, those applications will be accessible through an internet browser, requiring little technical infrastructure. The case management solution will require personal computers (desktops and laptops) and networking bandwidth adequate to support the application.

2.5.3 Local Infrastructure

Infrastructure			
Local Infrastructure	Three-Month Rolling Risk Levels		
	Oct. 2021	Sept. 2021	August 2021
	No Risk Identified	No Risk Identified	No Risk Identified

Findings

As noted above, the case management solution will require personal computers (desktops and laptops) and networking bandwidth adequate to support the application. The CLJ-CMS Project Manager has a list of technical infrastructure requirements that she will be sending out to the court community. In addition, she is starting conversations with AOC leadership regarding courts that have limited resources.

2.5.4 Security Functionality

Infrastructure			
Security Functionality	Three-Month Rolling Risk Levels		
	Oct. 2021	Sept. 2021	August 2021
	No Risk Identified	No Risk Identified	No Risk Identified

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 CLJ-CMS solution's security. In addition, he is currently working on a "Threat Model" which will be reviewed by AOC for approval prior to go-live.

2.5.5 Access

Infrastructure			
Access	Three-Month Rolling Risk Levels		
	Oct. 2021	Sept. 2021	August 2021
	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		
	Oct. 2021	Sept. 2021	August 2021
	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		
	Oct. 2021	Sept. 2021	August 2021
	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 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.

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.

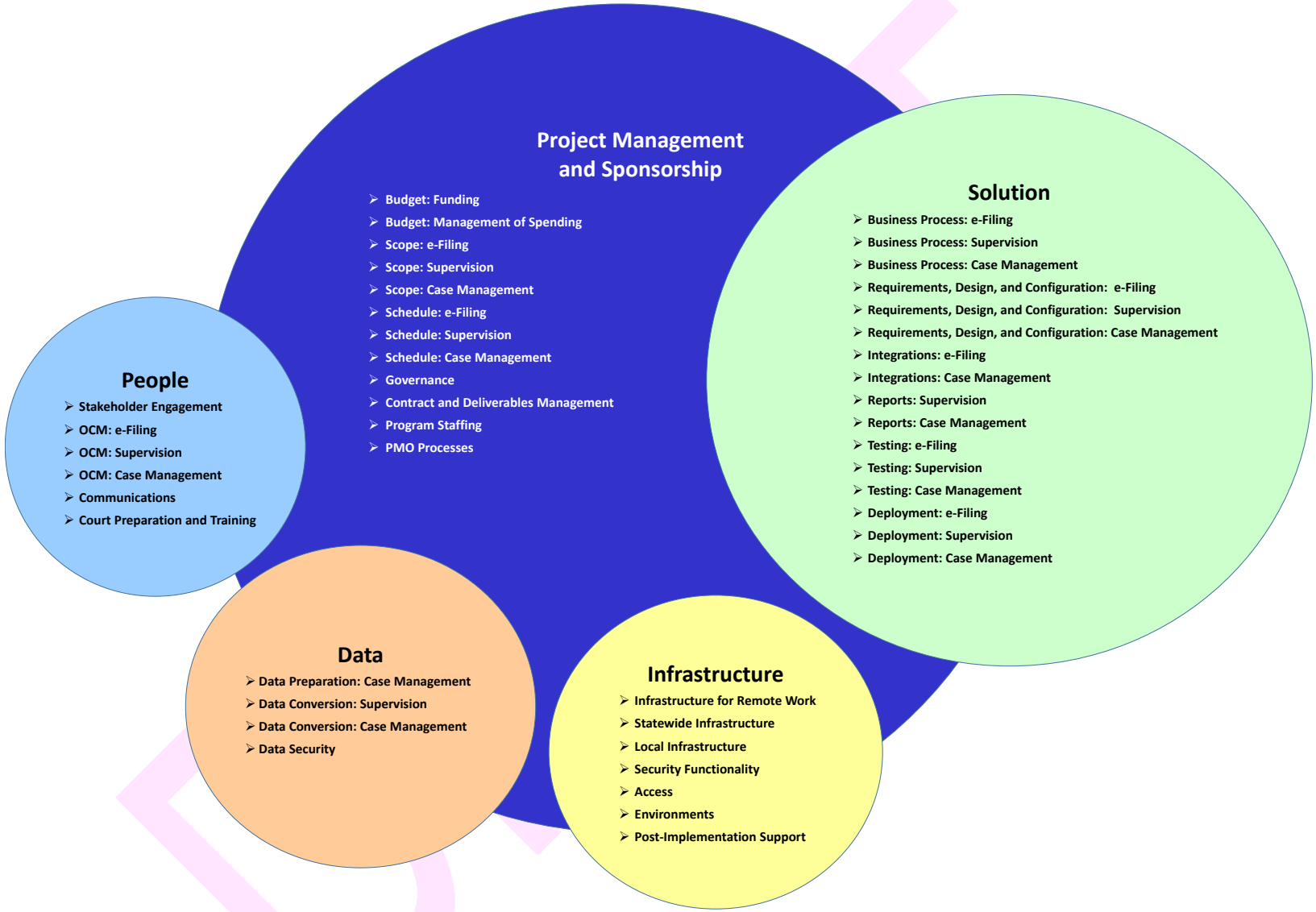

Figure 1. Areas of CLJ-CMS Project Assessed for Risks

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

DRAFT