bluecrane

Management Consulting

for

State and Local

Governments

Quality Assurance

Executive Advisement

Project Oversight

Project Management

Independent Verification and Validation (IV&V)

Risk Reduction

Quality Assurance Assessment

for the

State of Washington

Administrative Office of the Courts (AOC)

CLJ-CMS Project

July 2022

Prepared by

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bluecrane ®

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July 31, 2022

Honorable Barbara Madsen, Justice
Washington Supreme Court

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

Dear Justice Madsen and Ms. Rubio:

bluecrane has completed its Quality Assurance Assessment of the CLJ-CMS Project for the month of July 2022.

This document is structured as follows:

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

Please contact me with any questions or comments.

Sincerely,

Allen Mills

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Introductory Note on Project Structure

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

- eFiling
- Case Management
- Supervision

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

1. Executive Summary

1.1 Executive Overview

The CLJ-CMS Project continued to make good progress in July. The current focus of the project is on the Pilot Court implementations which are now approximately three months away.

In July, Tyler Technologies (Tyler) spent time on-site at AOC in Olympia. Executives from Tyler met with the AOC executive management team and Tyler staff met with the AOC project staff. From all reports, these meetings were good and confirmed alignment on the Pilot Court effort and the project going forward.

Over the past several months, our primary concerns have been in the areas of Staffing and (Project) Governance, Scope, and Schedule. A number of noteworthy accomplishments related to staffing occurred in July. These include:

- A new product support business analyst started work in mid-July
- An offer was extended and accepted for a new administrative assistant for the project
- First round interviews were conducted for a Deputy Project Manager
- AOC Human Resources has informed the CLJ-CMS Project Manager that they have capacity at this time to focus on other, outstanding CLJ-CMS Project openings

Despite this progress, Staffing continues to be a risk for the CLJ-CMS Project. Labor market challenges that are beyond AOC's control continue to be a challenge. *bluecrane* does not expect this risk to abate in the foreseeable future. For now, the project team is monitoring the project schedule carefully and taking all reasonable measures to ensure that the Pilot Court timeline is not impacted by staff shortages.

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

As we reported last month, in June, the AOC CIO presented an overview of the current Washington Courts' governance approach which was an excellent reminder of context and process. The presentation included specific information on how to proceed expeditiously with submitting requests through the Washington Courts' governance process for (1) an integration platform solution and (2) an OCourt integration using the integration platform. AOC intends to submit a request for an integration platform solution through the governance process in August. The Decision Package (DP) for the request has already been completed.

As a reminder, an integration platform is essential to protect the state's network, servers, and systems from unauthorized access and intrusion when third-party systems are allowed to retrieve and update data that is protected for confidentiality purposes. An integration platform should provide logging, auditability, and support features, including reporting and tracking mechanisms for problem resolution. As noted on page 4 of the April 17, 2022 document entitled *Courts of Limited Jurisdiction Case Management System Integration Feasibility and Cost Analysis*, while there are requirements for migrating existing legacy data exchanges included in the scope of the CLJ-CMS implementation project, those requirements are "limited in scope for simple transactions with known systems and judicial partner agencies such as the Enterprise Data Repository, JIS, and DOL, respectively." The existing legacy data exchanges that *were* included in the scope of the CLJ-CMS Project do not require an integration platform to provide access and security features that are essential for "true" integrations that include access, updating, and other functionality across two or more disparate systems.

With respect to the existing legacy data exchanges whose migration to the new CLJ-CMS solution is included in the project's scope, concerns emerged in July about the completion of all required work by Pilot Court go-live. In light of these concerns, the project team is assessing progress on the data exchanges, both internally at AOC and with judicial partner agencies. Until the project team completes their assessment, we are reserving judgment on how serious a risk there is to finishing the required work prior to Pilot Court go-live.

1.2 Executive "At-a-Glance" QA Dashboard

The following table provides a summary of our risk assessment ratings for this month and the previous two months. Detailed findings, risk explanations, and recommendations for risk response are provided in Section 2 of this report. As a reminder to the reader, "blue" items indicate areas of ongoing risk; however, the mitigation and other response activities of the Program for blue items are assessed as adequate for the current review period.

Table 1. Summary Dashboard of QA Assessment Results

Project Management and Sponsorship			
Assessment Area	**July 2022**	**June 2022**	**May 2022**
Governance	**Risk**	**Risk** ***(Risk Increasing)***	**Risk** ***(Risk Increasing)***
Scope: eFiling	**Risk**	**Risk** ***(Risk Increasing)***	**Risk** ***(Risk Increasing)***
Scope: Case Management	**Risk**	**Risk** ***(Risk Increasing)***	**Risk** ***(Risk Increasing)***

Project Management and Sponsorship			
Assessment Area	**July 2022**	**June 2022**	**May 2022**
Scope: Supervision	Risk	Risk *(Risk Increasing)*	Risk *(Risk Increasing)*
Schedule: eFiling	Risk	Risk *(Risk Increasing)*	Risk *(Risk Increasing)*
Schedule: Case Management	Risk	Risk *(Risk Increasing)*	Risk *(Risk Increasing)*
Schedule: Supervision	Risk	Risk *(Risk Increasing)*	Risk *(Risk Increasing)*
Project Staffing	Risk	Risk	Risk
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	**July 2022**	**June 2022**	**May 2022**
Stakeholder Engagement	No Risk Identified	No Risk Identified	No Risk Identified
OCM: eFiling	No Risk Identified	Risk Being Addressed	Risk Being Addressed
OCM: Case Management	No Risk Identified	No Risk Identified	No Risk Identified

People			
Assessment Area	**July 2022**	**June 2022**	**May 2022**
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	**July 2022**	**June 2022**	**May 2022**
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
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	Risk *(Risk Increasing)*	Risk Being Addressed
Reports: Case Management	No Risk Identified	No Risk Identified	No Risk Identified

Solution			
Assessment Area	**July 2022**	**June 2022**	**May 2022**
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	**July 2022**	**June 2022**	**May 2022**
Data Preparation: Case Management	No Risk Identified	No Risk Identified	No Risk Identified
Data Conversion: Case Management	No Risk Identified	No Risk Identified	No Risk Identified
Data Conversion: Supervision	No Risk Identified	No Risk Identified	No Risk Identified
Data Security	No Risk Identified	No Risk Identified	No Risk Identified

Infrastructure			
Assessment Area	**July 2022**	**June 2022**	**May 2022**
Infrastructure for Remote Work	**Risk Being Addressed**	**Risk Being Addressed**	**Risk Being Addressed**
Statewide Infrastructure	**No Risk Identified**	**No Risk Identified**	**No Risk Identified**
Local Infrastructure	**No Risk Identified**	**No Risk Identified**	**No Risk Identified**
Security Functionality	**No Risk Identified**	**No Risk Identified**	**No Risk Identified**
Access	**No Risk Identified**	**No Risk Identified**	**No Risk Identified**
Environments	**No Risk Identified**	**No Risk Identified**	**No Risk Identified**
Post-Implementation Support	**No Risk Identified**	**No Risk Identified**	**No Risk Identified**

2. Detailed Assessment Report

2.1 Project Management and Sponsorship

2.1.1 Governance

Project Management and Sponsorship			
Governance	Three-Month Rolling Risk Levels		
	July 2022	June 2022	May 2022
	Risk	Risk *(Risk Increasing)*	Risk *(Risk Increasing)*

Findings

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

The integration of OCourt that the PSC is contemplating is *not* in the scope of the CLJ-CMS Project. As noted on page 4 of the April 17, 2022 document entitled *Courts of Limited Jurisdiction Case Management System Integration Feasibility and Cost Analysis*, while there are requirements for migrating existing legacy data exchanges included in the scope of the CLJ-CMS implementation project, those requirements are "limited in scope for simple transactions with known systems and judicial partner agencies such as the Enterprise Data Repository, JIS, and DOL, respectively." The existing legacy data exchanges that *were* included in the scope of the CLJ-CMS Project do not require an integration platform to provide access and security features that are essential for "true" integrations that include access, updating, and other functionality across two or more disparate systems.

The development of (1) an integration platform and (2) an integration with OCourt each represent "new work" that is not included in the CLJ-CMS budget or timeline. In June, the AOC CIO presented an overview of the current Washington Courts' governance approach which was an excellent reminder of context and process. The presentation included specific information on how to proceed expeditiously with submitting requests through the Washington Courts' governance process for (1) an integration platform solution and (2) an OCourt integration using the integration platform. AOC intends to submit a request for an integration platform solution through the governance process in August. The DP for the request has already been completed.

An integration platform is essential to protect the state's network, servers, and systems from unauthorized access and intrusion when third-party systems are allowed to retrieve and update data that is protected for confidentiality purposes. An integration platform should provide logging, auditability, and support features, including reporting and tracking mechanisms for problem resolution. For these reasons, any "true" integration (as defined above) has a ***dependency*** on the integration platform being operational before the integration is implemented.

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

Risks and Issues

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

bluecrane Recommendation

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

2.1.2 Scope: eFiling

Project Management and Sponsorship			
Scope: eFiling	Three-Month Rolling Risk Levels		
	July 2022	June 2022	May 2022
	Risk	**Risk** *(Risk Increasing)*	**Risk** *(Risk Increasing)*

Findings

Four motions approved by the CLJ-CMS PSC at its April 26 meeting related to adding ***to the CLJ-CMS Project*** the development of an "integrations platform" and the integration of a product known as "OCourt" as a pilot implementation using the integrations platform put the project's scope at highly increased risk. The JISC Chair has informed the PSC that the motions are inappropriate and that the appropriate route for proposing an OCourt integration is through established governance processes.

As noted in our May report, Pilot Courts posted local rules for eFiling. Meanwhile, DMCJA is championing a statewide rule for mandatory eFiling.

Risks and Issues

The scope of the eFiling activity is defined in the Tyler Statement of Work (SOW) and anticipates that eFiling will be implemented in all CLJ courts within calendar year 2021, prior to the roll-out of supervision and case management. With the July 2021 decision to delay eFiling implementation, AOC and the PSC anticipated a need to amend the Tyler contract. The AOC had already submitted a change request to delay eFiling. However, Tyler and AOC agreed to delay negotiations until after the results of the 2022 legislative budget process were announced. Now that the budget is final and includes funding for eFiling, we anticipate a revised approach of implementing eFiling concurrent with Enterprise Justice in each local court.

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

bluecrane Recommendation

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

2.1.3 Scope: Case Management

Project Management and Sponsorship			
Scope: Case Management	Three-Month Rolling Risk Levels		
	July 2022	June 2022	May 2022
	Risk	**Risk** ***(Risk Increasing)***	**Risk** ***(Risk Increasing)***

Findings

Four motions approved by the CLJ-CMS PSC at its April 26 meeting related to adding ***to the CLJ-CMS Project*** the development of an “integrations platform” and the integration of a product known as “OCourt” as a pilot implementation using the integrations platform put the project’s scope at highly increased risk. The JISC Chair has informed the PSC that the motions are inappropriate and that the appropriate route for proposing an OCourt integration is through established governance processes.

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.

Risks and Issues

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

***bluecrane* Recommendation**

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

2.1.4 Scope: Supervision

Project Management and Sponsorship			
Scope: Supervision	Three-Month Rolling Risk Levels		
	July 2022	June 2022	May 2022
	Risk	**Risk** ***(Risk Increasing)***	**Risk** ***(Risk Increasing)***

Findings

Four motions approved by the CLJ-CMS PSC at its April 26 meeting related to adding ***to the CLJ-CMS Project*** the development of an “integrations platform” and the integration of a product known as “OCourt” as a pilot implementation using the integrations platform put the project’s scope at highly increased risk. The JISC Chair has informed the PSC that the motions are inappropriate and that the appropriate route for proposing an OCourt integration is through established governance processes.

The scope of the supervision activity 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.

Risks and Issues

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

***bluecrane* Recommendation**

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

2.1.5 Schedule: eFiling

Project Management and Sponsorship			
Schedule: eFiling	Three-Month Rolling Risk Levels		
	July 2022	June 2022	May 2022
	Risk	**Risk** ***(Risk Increasing)***	**Risk** ***(Risk Increasing)***

Findings

Four motions approved by the CLJ-CMS PSC at its April 26 meeting related to adding ***to the CLJ-CMS Project*** the development of an "integrations platform" and the integration of a product known as "OCourt" as a pilot implementation using the integrations platform put the project's approved deployment schedule at highly increased risk. The JISC Chair has informed the PSC that the motions are inappropriate and that the appropriate route for proposing an OCourt integration is through established governance processes.

Risks and Issues

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

***bluecrane* Recommendation**

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

2.1.6 Schedule: Case Management

Project Management and Sponsorship			
Schedule: Case Management	Three-Month Rolling Risk Levels		
	July 2022	June 2022	May 2022
	Risk	Risk *(Risk Increasing)*	Risk *(Risk Increasing)*

Findings

Four motions approved by the CLJ-CMS PSC at its April 26 meeting related to adding ***to the CLJ-CMS Project*** the development of an "integrations platform" and the integration of a product known as "OCourt" as a pilot implementation using the integrations platform put the project's approved deployment schedule at highly increased risk. The JISC Chair has informed the PSC that the motions are inappropriate and that the appropriate route for proposing an OCourt integration is through established governance processes.

Risks and Issues

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

The risks noted below under "Project Staffing" have the potential to impact the CLJ Project's ability to remain on-schedule. We will monitor this carefully for delays that might impact the Pilot Courts' deployment schedule.

bluecrane Recommendation

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

2.1.7 Schedule: Supervision

Project Management and Sponsorship			
Schedule: Supervision	Three-Month Rolling Risk Levels		
	July 2022	June 2022	May 2022
	Risk	Risk *(Risk Increasing)*	Risk *(Risk Increasing)*

Findings

Four motions approved by the CLJ-CMS PSC at its April 26 meeting related to adding ***to the CLJ-CMS Project*** the development of an "integrations platform" and the integration of a product known as "OCourt" as a pilot implementation using the integrations platform put the project's approved deployment schedule at highly increased risk. The JISC Chair has informed the PSC that the motions are inappropriate and that the appropriate route for proposing an OCourt integration is through established governance processes.

Risks and Issues

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

The risks noted above under "Staffing" have the potential to impact the CLJ Project's ability to remain on-schedule. We will monitor this carefully for delays that might impact the Pilot Courts' deployment schedule.

***bluecrane* Recommendation**

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

2.1.8 Project Staffing

Project Management and Sponsorship			
Project Staffing	Three-Month Rolling Risk Levels		
	July 2022	June 2022	May 2022
	Risk	Risk	Risk

Findings

Staffing has been a concern for some time. A number of noteworthy accomplishments related to staffing occurred in July. These include:

- A new product support business analyst started work in mid-July
- An offer was extended and accepted for a new administrative assistant for the project
- First round interviews were conducted for a Deputy Project Manager
- AOC Human Resources has informed the CLJ-CMS Project Manager that they have capacity at this time to focus on other, outstanding CLJ-CMS Project openings

Despite these accomplishments, staffing remains a risk for the CLJ-CMS Project for the foreseeable future.

Risks and Issues

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

***bluecrane* Recommendation**

If specific positions pose hurdles, escalate the need to utilize contractors for those positions (at least temporarily) to AOC management as early as practical—and before the staff openings jeopardize the project's timeline.

2.1.9 Budget: Funding

Project Management and Sponsorship			
Budget: Funding	Three-Month Rolling Risk Levels		
	July 2022	June 2022	May 2022
	No Risk Identified	No Risk Identified	No Risk Identified

Findings

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

In addition, the approved state budget for FY2023 continues funding for the CLJ-CMS Project and funds eFiling on an ongoing basis, eliminating the need to charge user fees.

2.1.10 Budget: Management of Spending

Project Management and Sponsorship			
Budget: Management of Spending	Three-Month Rolling Risk Levels		
	July 2022	June 2022	May 2022
	No Risk Identified	No Risk Identified	No Risk Identified

Findings

The project is being managed within the approved budget.

2.1.11 Contracts and Deliverables Management

Project Management and Sponsorship			
Contracts and Deliverables Management	Three-Month Rolling Risk Levels		
	July 2022	June 2022	May 2022
	No Risk Identified	No Risk Identified	No Risk Identified

Findings

The “process” of deliverables management by the AOC contracts staff is appropriate and sufficient. The AOC staff are doing a diligent job of managing the Tyler contract. In addition, the project team is reviewing the contents of deliverables for compliance and quality.

2.1.12 PMO Processes

Project Management and Sponsorship			
PMO Processes	Three-Month Rolling Risk Levels		
	July 2022	June 2022	May 2022
	No Risk Identified	No Risk Identified	No Risk Identified

Findings

The project team is establishing processes, consistent with industry “best practices,” to manage and track the project. Project communications are occurring at regularly scheduled project team, sponsor, and steering committee meetings.

2.2 People

2.2.1 Stakeholder Engagement

People			
Stakeholder Engagement	Three-Month Rolling Risk Levels		
	July 2022	June 2022	May 2022
	No Risk Identified	No Risk Identified	No Risk Identified

Findings

The Organizational Change Management (OCM) and Communications Lead for the CLJ-CMS Project and AOC leadership team are doing an admirable and diligent job of reaching out to and engaging with the diverse CLJ stakeholder community.

2.2.2 OCM: eFiling

People			
OCM: eFiling	Three-Month Rolling Risk Levels		
	July 2022	June 2022	May 2022
	No Risk Identified	Risk Being Addressed	Risk Being Addressed

Findings

Given that the state budget for FY2023 includes initial and ongoing funding for eFiling, OCM activities focused on the Pilot Courts' and subsequent deployments include ensuring that the court community is informed about the deployment approach for eFiling as well as Enterprise Justice.

bluecrane is supportive not only of the work being done by the project's OCM Lead and others but also of the outreach being performed by the executive sponsors, sponsors, and the PSC, all of whom are critical elements of a comprehensive OCM program.

2.2.3 OCM: Case Management

People			
OCM: Case Management	Three-Month Rolling Risk Levels		
	July 2022	June 2022	May 2022
	No Risk Identified	No Risk Identified	No Risk Identified

Findings

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

2.2.4 OCM: Supervision

People			
OCM: Supervision	Three-Month Rolling Risk Levels		
	July 2022	June 2022	May 2022
	No Risk Identified	No Risk Identified	No Risk Identified

Findings

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

2.2.5 Communications

People			
Communications	Three-Month Rolling Risk Levels		
	July 2022	June 2022	May 2022
	No Risk Identified	No Risk Identified	No Risk Identified

Findings

The OCM and Communications Lead for the CLJ-CMS Project, CLJ-CMS Business Liaison, and AOC leadership team are doing an admirable and diligent job of reaching out to and engaging with the diverse CLJ stakeholder community. Project newsletters have been distributed monthly since September 2021, and a new project website was launched in October 2021.

2.2.6 Court Preparation and Training

People			
Court Preparation and Training	Three-Month Rolling Risk Levels		
	July 2022	June 2022	May 2022
	No Risk Identified	No Risk Identified	No Risk Identified

Findings

In June, the project initiated Pilot Court training (1) to introduce Enterprise Justice and Supervision and (2) on Forms.

2.3 Solution

2.3.1 Business Process: eFiling

Solution			
Business Process: eFiling	Three-Month Rolling Risk Levels		
	July 2022	June 2022	May 2022
	No Risk Identified	No Risk Identified	No Risk Identified

Findings

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

2.3.2 Business Process: Case Management

Solution			
Business Process: Case Management	Jan. 2022		
	July 2022	June 2022	May 2022
	No Risk Identified	No Risk Identified	No Risk Identified

Findings

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

2.3.3 Business Process: Supervision

Solution			
Business Process: Supervision	Three-Month Rolling Risk Levels		
	July 2022	June 2022	May 2022
	No Risk Identified	No Risk Identified	No Risk Identified

Findings

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

2.3.4 Requirements, Design, and Configuration: eFiling

Solution			
Requirements, Design, and Configuration: eFiling	Three-Month Rolling Risk Levels		
	July 2022	June 2022	May 2022
	No Risk Identified	No Risk Identified	No Risk Identified

Findings

Requirements for eFiling are minimal and relatively procedural in nature.

2.3.5 Requirements, Design, and Configuration: Case Management

Solution			
Requirements, Design, and Configuration: Case Management	Three-Month Rolling Risk Levels		
	July 2022	June 2022	May 2022
	No Risk Identified	No Risk Identified	No Risk Identified

Findings

Based on the ongoing excellent work by the CUWG, the project was able to send an RTM to Tyler in August 2021. At this time, the project is making any changes that are needed as a result of the CUWG's ongoing review of requirements.

2.3.6 Requirements, Design, and Configuration: Supervision

Solution			
Requirements, Design, and Configuration: Supervision	Three-Month Rolling Risk Levels		
	July 2022	June 2022	May 2022
	No Risk Identified	No Risk Identified	No Risk Identified

Findings

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

2.3.7 Integrations: eFiling

Solution			
Integrations: eFiling	Three-Month Rolling Risk Levels		
	July 2022	June 2022	May 2022
	No Risk Identified	No Risk Identified	No Risk Identified

Findings

Tyler certified the single integration required for eFiling in September 2021. Now that the eFiling funding issue has been resolved, the project will be able to leverage the work already done as well as the completed certification.

2.3.8 Integrations: Case Management

Solution			
Integrations: Case Management	Three-Month Rolling Risk Levels		
	July 2022	June 2022	May 2022
	Risk	Risk *(Risk Increasing)*	Risk Being Addressed

Findings

As noted on page 4 of the April 17, 2022 document entitled *Courts of Limited Jurisdiction Case Management System Integration Feasibility and Cost Analysis*, while there are requirements for migrating existing legacy data exchanges included in the scope of the CLJ-CMS implementation project, those requirements are “limited in scope for simple transactions with known systems and judicial partner agencies such as the Enterprise Data Repository, JIS, and DOL, respectively.” The

existing legacy data exchanges that *were* included in the scope of the CLJ-CMS Project do not require an integration platform to provide access and security features that are essential for "true" integrations that include access, updating, and other functionality across two or more disparate systems.

The development of (1) an integration platform and (2) an integration with OCourt each represent "new work" that is not included in the CLJ-CMS budget or timeline. In June, the AOC CIO presented an overview of the current Washington Courts' governance approach which was an excellent reminder of context and process. The presentation included specific information on how to proceed expeditiously with submitting requests through the Washington Courts' governance process for (1) an integration platform solution and (2) an OCourt integration using the integration platform.

With respect to the existing legacy data exchanges whose migration to the new CLJ-CMS solution is included in the project's scope, concerns emerged in July about the completion of all required work by Pilot Court go-live. In light of these concerns, the project team is assessing progress on the data exchanges, both internally at AOC and with judicial partner agencies. Until the project team completes their assessment, we are reserving judgment on how serious a risk there is to finishing the required work prior to Pilot Court go-live.

Risks and Issues

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

bluecrane Recommendation

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

2.3.9 Reports: Case Management

Solution			
Reports: Case Management	Three-Month Rolling Risk Levels		
	July 2022	June 2022	May 2022
	No Risk Identified	No Risk Identified	No Risk Identified

Findings

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

2.3.10 Reports: Supervision

Solution			
Reports: Supervision	Three-Month Rolling Risk Levels		
	July 2022	June 2022	May 2022
	No Risk Identified	No Risk Identified	No Risk Identified

Findings

Supervision reports are defined in the CLJ-CMS requirements.

2.3.11 Testing: eFiling

Solution			
Testing: eFiling	Three-Month Rolling Risk Levels		
	July 2022	June 2022	May 2022
	No Risk Identified	No Risk Identified	No Risk Identified

Findings

Planning for eFiling testing is underway.

2.3.12 Testing: Case Management

Solution			
Testing: Case Management	Three-Month Rolling Risk Levels		
	July 2022	June 2022	May 2022
	No Risk Identified	No Risk Identified	No Risk Identified

Findings

Planning for Case Management testing is underway.

2.3.13 Testing: Supervision

Solution			
Testing: Supervision	Three-Month Rolling Risk Levels		
	July 2022	June 2022	May 2022
	No Risk Identified	No Risk Identified	No Risk Identified

Findings

Planning for Supervision testing is underway.

2.3.14 Deployment: eFiling

Solution			
Deployment: eFiling	Three-Month Rolling Risk Levels		
	July 2022	June 2022	May 2022
	No Risk Identified	No Risk Identified	No Risk Identified

Findings

The approved state budget for FY2023 includes ongoing funding for eFiling that will subsidize the service with no need to charge user fees. Thus, the CLJ-CMS Project will move forward with including eFiling as part of each local court's implementation. The Project is well-positioned to include eFiling since much work (including testing) was done before eFiling was put "on hold," pending resolution of funding.

2.3.15 Deployment: Case Management

Solution			
Deployment: Case Management	Three-Month Rolling Risk Levels		
	July 2022	June 2022	May 2022
	No Risk Identified	No Risk Identified	No Risk Identified

Findings

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

If one or more integration projects are approved through the governance structure, they may impact the Deployment schedule. For example, even assuming the integrations work is a project that is funded

and performed separately and distinctly from CLJ-CMS, the composition and order of the approved court groupings for deployment may change (e.g., moving courts that will use an integration to "the back of the line"). At this time, we are not documenting a risk. However, we will monitor the ongoing integrations analysis and discussions at the PSC and will "open" a risk if and when warranted.

2.3.16 Deployment: Supervision

Solution			
Deployment: Supervision	Three-Month Rolling Risk Levels		
	July 2022	June 2022	May 2022
	No Risk Identified	No Risk Identified	No Risk Identified

Findings

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

2.4 Data

2.4.1 Data Preparation: Case Management

Data			
Data Preparation: Case Management	Three-Month Rolling Risk Levels		
	July 2022	June 2022	May 2022
	No Risk Identified	No Risk Identified	No Risk Identified

Findings

Business Analysts (BAs) on the CLJ-CMS Project team are sending reports to courts on a fairly regular basis, with requests that the courts review their data and clean it up as they are able. When the project's actual ("production") conversion begins, project technical staff will review data that is being converted and do additional clean-up at that time.

2.4.2 Data Conversion: Case Management

Data			
Data Conversion: Case Management	Three-Month Rolling Risk Levels		
	July 2022	June 2022	May 2022
	No Risk Identified	No Risk Identified	No Risk Identified

Findings

Data conversion trial runs continue with good outcomes. Achieving successful “practice” conversions early will position the project well for a smoother implementation effort when the time arrives for the final, “production” conversion.

2.4.3 Data Conversion: Supervision

Data			
Data Conversion: Supervision	Three-Month Rolling Risk Levels		
	July 2022	June 2022	May 2022
	No Risk Identified	No Risk Identified	No Risk Identified

Findings

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

2.4.4 Data Security

Data			
Data Security	Three-Month Rolling Risk Levels		
	July 2022	June 2022	May 2022
	No Risk Identified	No Risk Identified	No Risk Identified

Findings

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

2.5 Infrastructure

2.5.1 Infrastructure for Remote Work

Infrastructure			
Infrastructure for Remote Work	Three-Month Rolling Risk Levels		
	July 2022	June 2022	May 2022
	Risk Being Addressed	Risk Being Addressed	Risk Being Addressed

Findings

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

2.5.2 Statewide Infrastructure

Infrastructure			
Statewide Infrastructure	Three-Month Rolling Risk Levels		
	July 2022	June 2022	May 2022
	No Risk Identified	No Risk Identified	No Risk Identified

Findings

Because eFiling and supervision will be delivered via a "Software-as-a-Service" (SaaS) approach, those applications will be accessible through an internet browser, requiring little technical

infrastructure. The case management solution will require personal computers (desktops and laptops) and networking bandwidth adequate to support the application.

2.5.3 Local Infrastructure

Infrastructure			
Local Infrastructure	Three-Month Rolling Risk Levels		
	July 2022	June 2022	May 2022
	No Risk Identified	No Risk Identified	No Risk Identified

Findings

As noted above, the case management solution will require personal computers (desktops and laptops) and networking bandwidth adequate to support the application. Pilot courts have been provided a Technical Readiness checklist to help ensure, among other things, that all local technical infrastructure is in place.

2.5.4 Security Functionality

Infrastructure			
Security Functionality	Three-Month Rolling Risk Levels		
	July 2022	June 2022	May 2022
	No Risk Identified	No Risk Identified	No Risk Identified

Findings

The security functionality of Enterprise Justice has been approved previously by AOC for the Superior Court–Case Management System (SC-CMS).

As noted above under Data Security, the CLJ-CMS Project Technical Lead is meeting with AOC security staff on a monthly basis and validating the CLJ-CMS solution's security. In addition, he is currently working on a "Threat Model" which will be reviewed by AOC for approval prior to go-live.

2.5.5 Access

Infrastructure			
Access	Three-Month Rolling Risk Levels		
	July 2022	June 2022	May 2022
	No Risk Identified	No Risk Identified	No Risk Identified

Findings

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

2.5.6 Environments

Infrastructure			
Environments	Three-Month Rolling Risk Levels		
	July 2022	June 2022	May 2022
	No Risk Identified	No Risk Identified	No Risk Identified

Findings

All environments have been implemented.

2.5.7 Post-Implementation Support

Infrastructure			
Post-Implementation Support	Three-Month Rolling Risk Levels		
	July 2022	June 2022	May 2022
	No Risk Identified	No Risk Identified	No Risk Identified

Findings

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

Appendix: Overview of *bluecrane* Risk Assessment Approach

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

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

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

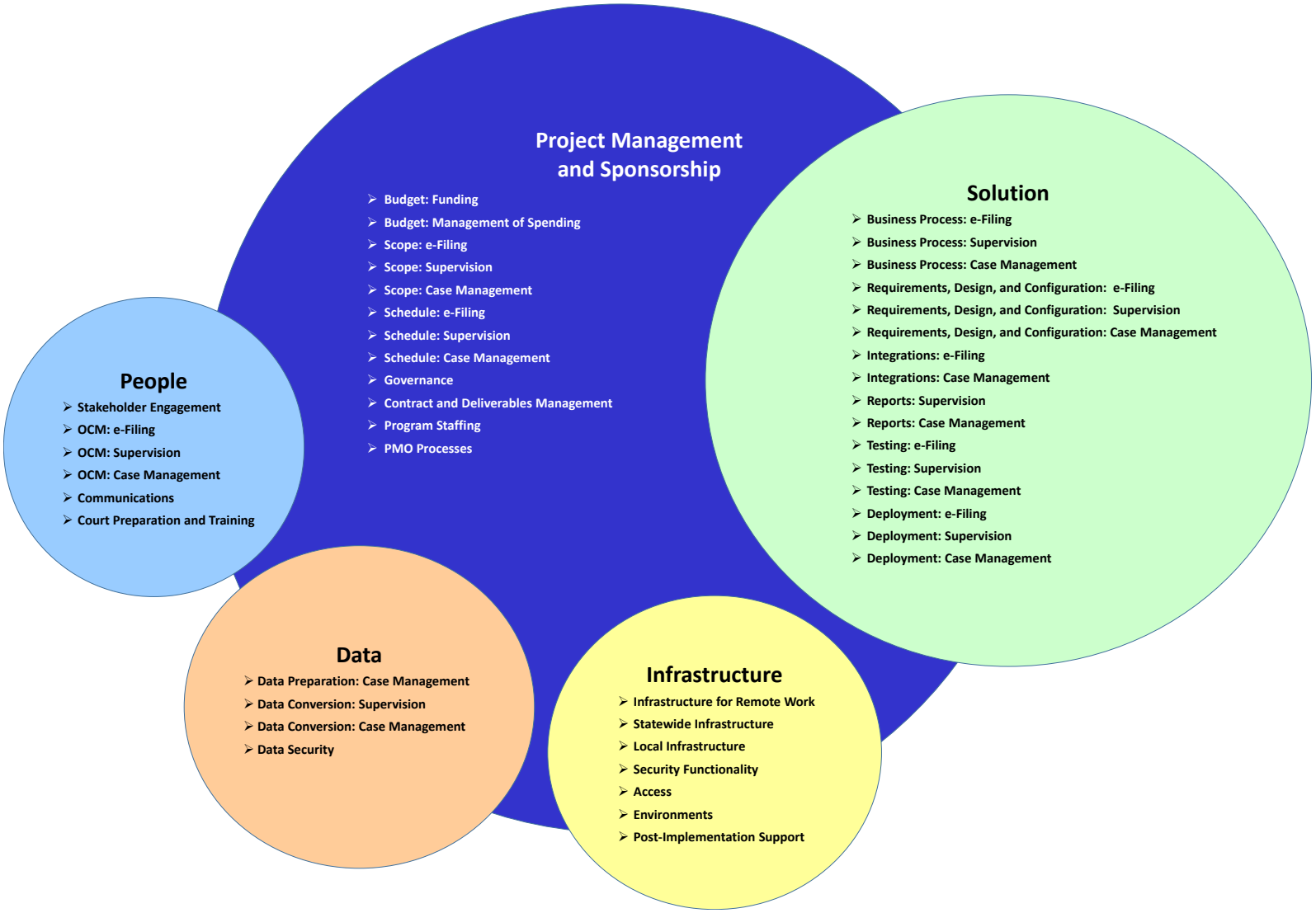

Figure 1. Areas of CLJ-CMS Project Assessed for Risks

Our risk ratings are summarized in Table 2 below.

Table 2. *bluecrane's* Risk Assessment Categorization

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