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 2022

Prepared by

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bluecrane ®

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October 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 October 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 who have not seen one of our assessments previously.

Please contact me with any questions or comments.

Sincerely,

Allen Mills

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Introductory Note on Project Structure

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

- eFiling
- Case Management
- Supervision

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

1. Executive Summary

1.1 Executive Overview

This report provides the October 2022 Quality Assurance (QA) assessment by Bluecrane, Inc. ("*bluecrane*") for the Washington State Administrative Office of the Courts (AOC) Courts of Limited Jurisdiction – Case Management System (CLJ-CMS) Project.

The CLJ-CMS Project continued to make good progress in October toward the start of Solution Validation and the subsequent Pilot Court go-live events. As a reminder, we repeat here the critical needs for being able to initiate Solution Validation, namely:

- Tyler Technologies' provision of custom-developed deliverables (after which the CLJ-CMS Project Team will need two to four weeks of time to assimilate the deliverables into the User Acceptance Test [UAT] environment to be used for Solution Validation)
- A "critical mass" of data loaded into the UAT environment to enable adequate testing of various data types during Solution Validation (with "critical mass" being defined by the Project Team working in collaboration with Court Business areas)
- An adequate number of legacy data exchanges ready for testing; these will include e-tickets, DOL-related data, and vehicle-related violations, among others; while not all legacy data exchanges need to be in place to initiate Solution Validation, it will be important to understand what tasks remain, and the time required to accomplish them, for those exchanges that are not ready when Solution Validation begins

In October, the weekly reports being published by the CLJ-CMS Project Manager reflected steady progress on data loading and legacy data exchange preparations. With respect to the Enterprise Data Repository (EDR) work, current status reports indicate that automated processes have "caught up" and are expected to be a part of the Minimal Viable Product (MVP) for Solution Validation.

No firm date has been set yet for the initiation of Solution Validation. As previously reported and noted above, the CLJ-CMS Project Manager wants two-to-four weeks following Tyler Technologies' delivery of its custom-developed deliverables to check configuration settings, conduct tests, and confirm that readiness preparations for Solution Validation have been completed. We support this careful approach, especially in light of the fact that Washington State and Bexar County, Texas, are the first two customers of Tyler's "Alliance" work to tightly link the Supervision product that it acquired (now known as "Enterprise Supervision") with Enterprise Justice (formerly "Odyssey").

With respect to the Tyler deliverables that are needed before Solution Validation begins, we encourage AOC and the Project Team to get specific commitments from Tyler on dates for deliveries. We are aware that there is a meeting with Tyler in Olympia on November 9 which should be an excellent opportunity to reinforce the importance of Tyler committing to dates for providing deliverables of acceptable quality. In addition, we suggest that the AOC Project Team and Tyler collaborate on a means to report progress on the completion of the deliverables in a manner similar to what the Project

Team has been doing for data loading and the legacy data exchanges. Such reporting would provide confidence that progress is being made to achieve the dates to which Tyler has committed and identify any issues along the way which require executive or management attention (from Tyler or AOC) to ensure obstacles to progress are being removed.

As we have noted for many months, Staffing continues to be a risk for the CLJ-CMS Project. Labor market challenges that are beyond AOC's control continue to be a challenge. *bluecrane* does not expect this risk to abate in the foreseeable future. For now, AOC is re-directing internal resources to CLJ-CMS in light of the Project being the Courts' highest priority IT effort.

We continue to encourage limited jurisdiction judges and other stakeholders to lobby the legislature to approve the Decision Package (DP) for the integration platform project (which is an internal infrastructure project separate from the CLJ-CMS Project) as well as other budgetary requests essential to keeping the JIS fully funded. At this time, the integration platform effort is progressing through appropriate governance processes without impacting the performance and delivery of the CLJ-CMS Project.

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 2022**	**September 2022**	**August 2022**
Governance	**Risk Being Addressed**	**Risk Being Addressed**	**Risk**
Scope: eFiling	**Risk Being Addressed**	**Risk Being Addressed**	**Risk**
Scope: Case Management	**Risk Being Addressed**	**Risk Being Addressed**	**Risk**
Scope: Supervision	**Risk Being Addressed**	**Risk Being Addressed**	**Risk**
Schedule: eFiling	**High Risk**	**High Risk**	**High Risk**

Project Management and Sponsorship			
Assessment Area	**October 2022**	**September 2022**	**August 2022**
Schedule: Case Management	High Risk	High Risk	High Risk
Schedule: Supervision	High Risk	High Risk	High Risk
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	**October 2022**	**September 2022**	**August 2022**
Stakeholder Engagement	No Risk Identified	No Risk Identified	No Risk Identified
OCM: eFiling	No Risk Identified	No Risk Identified	No Risk Identified
OCM: Case Management	No Risk Identified	No Risk Identified	No Risk Identified
OCM: Supervision	No Risk Identified	No Risk Identified	No Risk Identified
Communications	No Risk Identified	No Risk Identified	No Risk Identified

People			
Assessment Area	**October 2022**	**September 2022**	**August 2022**
Court Preparation and Training	No Risk Identified	No Risk Identified	No Risk Identified

Solution			
Assessment Area	**October 2022**	**September 2022**	**August 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 Being Addressed	Risk Being Addressed	Risk
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

Solution			
Assessment Area	**October 2022**	**September 2022**	**August 2022**
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	Risk	Risk	Risk
Deployment: Case Management	Risk	Risk	Risk
Deployment: Supervision	Risk	Risk	Risk

Data			
Assessment Area	**October 2022**	**September 2022**	**August 2022**
Data Preparation: Case Management	No Risk Identified	No Risk Identified	No Risk Identified
Data Conversion: Case Management	Risk Being Addressed	Risk Being Addressed	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 2022**	**September 2022**	**August 2022**
Infrastructure for Remote Work	Risk Being Addressed	Risk Being Addressed	Risk Being Addressed

Infrastructure			
Assessment Area	**October 2022**	**September 2022**	**August 2022**
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		
	Oct. 2022	Sept. 2022	Aug. 2022
	Risk Being Addressed	Risk Being Addressed	Risk

Findings

At its August 26, 2022 meeting, the JISC approved a motion for AOC to seek funding from the legislature and begin planning activities while awaiting funding to develop an "Enterprise Integration Platform." The platform will adopt a common communication standard for all systems, thereby enabling new systems to "be plugged into" existing systems at a lower cost with a much faster development time. The 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. It is expected that the platform will provide logging, auditability, and support features, including reporting and tracking mechanisms for problem resolution.

During the summer months of 2022, a significant risk to the CLJ-CMS Project was the potential expansion of project scope that was being contemplated by the Project Steering Committee (PSC) as tolerable and permissible. At this time, the risks continue but appear to be decreasing as established governance processes are being respected and utilized to approve separate project efforts to address the courts' needs.

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, we applaud all parties for adhering to approved governance processes to initiate work in this area.

Risks and Issues

The potential expansion of the CLJ-CMS Project's scope to include the development of an integrations platform and a pilot implementation of an integration with OCourt creates substantial risk to the CLJ-CMS Project. At this time, established governance processes are being respected and utilized to approve separate project efforts to accomplish this work, thereby mitigating the risks.

***bluecrane* Recommendations**

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.

Additionally, we encourage limited jurisdiction judges and other stakeholders to lobby the legislature to approve the DP for the integrations platform project as well as other budgetary requests essential to keeping the JIS fully funded.

2.1.2 Scope: eFiling

Project Management and Sponsorship			
Scope: eFiling	Three-Month Rolling Risk Levels		
	Oct. 2022	Sept. 2022	Aug. 2022
	Risk Being Addressed	Risk Being Addressed	Risk

Findings

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

As noted above under “Governance,” the risks to the CLJ-CMS Project’s scope continue but appear to be decreasing as established governance processes are being respected and utilized to approve separate project efforts to address the courts’ needs.

Risks and Issues

The potential expansion of the CLJ-CMS Project’s scope to include the development of an integrations platform and a pilot implementation of an integration with OCourt creates substantial risk to the CLJ-CMS Project. At this time, established governance processes are being respected and utilized to approve separate project efforts to accomplish this work, thereby helping to mitigate the risks.

***bluecrane* Recommendation**

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		
	Oct. 2022	Sept. 2022	Aug. 2022
	Risk Being Addressed	Risk Being Addressed	Risk

Findings

The scope of the CLJ-CMS Project is defined by the deliverables delineated in the SOW in the Tyler contract and the already-planned and approved AOC work to manage and support the project. The scope is further "decomposed" by the detailed requirements that AOC, the Court User Work Group (CUWG), and Tyler continue to validate. Scope is being managed through a Requirements Traceability Matrix (RTM), system vendor contract deliverables, and the Project Change Management process. The project team delivered an RTM to Tyler in August 2021.

Risks and Issues

The potential expansion of the CLJ-CMS Project's scope to include the development of an integrations platform and a pilot implementation of an integration with OCourt creates substantial risk to the CLJ-CMS Project. At this time, established governance processes are being respected and utilized to approve separate project efforts to accomplish this work, thereby helping to mitigate the risks.

***bluecrane* Recommendation**

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		
	Oct. 2022	Sept. 2022	Aug. 2022
	Risk Being Addressed	Risk Being Addressed	Risk

Findings

The scope of the Supervision effort is defined in the Tyler SOW and the already-planned and approved AOC work to manage and support the project. A fit-gap analysis was conducted in early January 2021 by AOC, the CUWG, and Tyler to validate requirements and identify any requirements that require custom development by Tyler. Scope is being managed through the RTM, system vendor contract deliverables, and the Project Change Management process.

Risks and Issues

The potential expansion of the CLJ-CMS Project's scope to include the development of an integrations platform and a pilot implementation of an integration with OCourt creates substantial risk to the CLJ-CMS Project. At this time, established governance processes are being respected and utilized to approve separate project efforts to accomplish this work, while helping to mitigate the risks.

bluecrane Recommendation

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		
	Oct. 2022	Sept. 2022	Aug. 2022
	High Risk	High Risk	High Risk

Findings

While our assessment of schedule remains "red" because of the number of unknowns that are still outstanding, the CLJ-CMS Project continued to make progress in October toward the start of Solution Validation and the subsequent Pilot Court go-live events. Critical needs for being able to initiate Solution Validation include:

- Tyler Technologies' provision of custom-developed deliverables (after which the CLJ-CMS Project Team will need two to four weeks of time to assimilate the deliverables into the User Acceptance Test [UAT] environment to be used for Solution Validation)
- A "critical mass" of data loaded into the UAT environment to enable adequate testing of various data types during Solution Validation (with "critical mass" being defined by the Project Team working in collaboration with Court Business areas)
- An adequate number of legacy data exchanges ready for testing; these will include e-tickets, DOL-related data, and vehicle-related violations, among others; while not all legacy data exchanges need to be in place to initiate Solution Validation, it will be important to understand what tasks remain, and the time required to accomplish them, for those exchanges that are not ready when Solution Validation begins

In October, the weekly reports being published by the CLJ-CMS Project Manager reflected steady progress on data loading and legacy data exchange preparations. With respect to the Enterprise Data Repository (EDR) work, current status reports indicate that automated processes have "caught up" and are expected to be a part of the Minimal Viable Product (MVP) for Solution Validation.

No firm date has been set yet for the initiation of Solution Validation. As previously reported and noted above, the CLJ-CMS Project Manager wants two-to-four weeks following Tyler Technologies' delivery of its custom-developed deliverables to check configuration settings, conduct tests, and confirm that readiness preparations for Solution Validation have been completed. We support this careful approach, especially in light of the fact that Washington State and Bexar County, Texas, are the first two customers of Tyler's "Alliance" work to tightly link the Supervision product that it acquired (now known as "Enterprise Supervision") with Enterprise Justice (formerly "Odyssey").

Risks and Issues

The delay in the start of Solution Validation has delayed deployment to the Pilot Courts.

***bluecrane* Recommendation**

We encourage the Project Team to move with all due haste to answer outstanding questions about Solution Validation and to develop a revised go-live date for the Pilot Court implementations. At the same time, we concur with the Team's decision to delay the announcement of a new date until they have a high-level of confidence that the date is attainable.

2.1.6 Schedule: Case Management

Project Management and Sponsorship			
Schedule: Case Management	Three-Month Rolling Risk Levels		
	Oct. 2022	Sept. 2022	Aug. 2022
	High Risk	High Risk	High Risk

Findings

Findings related to the schedule for Case Management are identical to those described above under 2.1.5 Schedule: eFiling.

Risks and Issues

The delay in the start of Solution Validation has delayed deployment to the Pilot Courts.

***bluecrane* Recommendation**

We encourage the Project Team to move with all due haste to answer outstanding questions about Solution Validation and to develop a revised go-live date for the Pilot Court implementations. At the same time, we concur with the Team's decision to delay the announcement of a new date until they have a high-level of confidence that the date is attainable.

2.1.7 Schedule: Supervision

Project Management and Sponsorship			
Schedule: Supervision	Three-Month Rolling Risk Levels		
	Oct. 2022	Sept. 2022	Aug. 2022
	High Risk	High Risk	High Risk

Findings

Findings related to the schedule for Case Management are identical to those described above under 2.1.5 Schedule: eFiling.

Risks and Issues

The delay in the start of Solution Validation has delayed deployment to the Pilot Courts.

***bluecrane* Recommendation**

We encourage the Project Team to move with all due haste to answer outstanding questions about Solution Validation and to develop a revised go-live date for the Pilot Court implementations. At the same time, we concur with the Team's decision to delay the announcement of a new date until they have a high-level of confidence that the date is attainable.

2.1.8 Project Staffing

Project Management and Sponsorship			
Project Staffing	Three-Month Rolling Risk Levels		
	Oct. 2022	Sept. 2022	Aug. 2022
	Risk	Risk	Risk

Findings

As we have noted for many months, Staffing continues to be a risk for the CLJ-CMS Project. Labor market challenges that are beyond AOC's control continue to be a challenge. *bluecrane* does not expect this risk to abate in the foreseeable future. For now, AOC is re-directing internal resources to CLJ-CMS in light of the Project being the Courts' highest priority IT effort.

Risks and Issues

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

***bluecrane* Recommendation**

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

2.1.9 Budget: Funding

Project Management and Sponsorship			
Budget: Funding	Three-Month Rolling Risk Levels		
	Oct. 2022	Sept. 2022	Aug. 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		
	Oct. 2022	Sept. 2022	Aug. 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		
	Oct. 2022	Sept. 2022	Aug. 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		
	Oct. 2022	Sept. 2022	Aug. 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		
	Oct. 2022	Sept. 2022	Aug. 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		
	Oct. 2022	Sept. 2022	Aug. 2022
	No Risk Identified	No Risk Identified	No Risk Identified

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	Oct. 2022		
	Oct. 2022	Sept. 2022	Aug. 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		
	Oct. 2022	Sept. 2022	Aug. 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		
	Oct. 2022	Sept. 2022	Aug. 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		
	Oct. 2022	Sept. 2022	Aug. 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		
	Oct. 2022	Sept. 2022	Aug. 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	Three-Month Rolling Risk Levels		
	Oct. 2022	Sept. 2022	Aug. 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		
	Oct. 2022	Sept. 2022	Aug. 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		
	Oct. 2022	Sept. 2022	Aug. 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		
	Oct. 2022	Sept. 2022	Aug. 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		
	Oct. 2022	Sept. 2022	Aug. 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.

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

2.3.7 Integrations: eFiling

Solution			
Integrations: eFiling	Three-Month Rolling Risk Levels		
	Oct. 2022	Sept. 2022	Aug. 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		
	Oct. 2022	Sept. 2022	Aug. 2022
	Risk Being Addressed	Risk Being Addressed	Risk

Findings

The CLJ-CMS Project Manager is now publishing weekly reports on “Enterprise Justice to EDR Data Exchange” progress. The latest report at the time of the writing of this QA report documents continued increases in “data seeding,” data loading into the Development environment, and data loading into the UAT environment. Data loading into the UAT environment had been lagging a bit due to issues with the automation of the loading. Current status reports indicate that automated processes have “caught up” and are expected to be a part of the Minimal Viable Product (MVP) for Solution Validation.

Another risk related to integrations is the potential expansion of project scope that was contemplated during the summer of 2022. The scope expansion included development of (1) an integration platform and (2) an integration with OCourt, each of which represents “new work” that is not included in the CLJ-CMS budget or timeline. At this time, the risks continue but appear to be decreasing as established governance processes are being respected. We encourage all parties to continue 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.

Risks and Issues

The unforeseen complexity and manual processes required to utilize EDR create substantial risk to the CLJ-CMS Project. At this time, the CLJ-CMS Project Team believes that legacy data exchange efforts can be completed before Solution Validation finishes.

bluecrane Recommendation

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		
	Oct. 2022	Sept. 2022	Aug. 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		
	Oct. 2022	Sept. 2022	Aug. 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		
	Oct. 2022	Sept. 2022	Aug. 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		
	Oct. 2022	Sept. 2022	Aug. 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		
	Oct. 2022	Sept. 2022	Aug. 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		
	Oct. 2022	Sept. 2022	Aug. 2022
	Risk	Risk	Risk

Findings

At this time, it is unclear whether or not the delay in the Pilot Court go-live date will impact the deployment schedule for subsequent courts. While we believe it is premature to assess the deployment schedule as an “issue,” it certainly is at risk. We will monitor progress on Solution Validation, the announcement of a new date for Pilot Court implementation, and the CLJ-CMS Project’s revised schedule as it emerges from Solution Validation.

The Associate Director of the Court Services Division (CSD) is identifying and analyzing emerging requirements for an eventual integration of OCourts with Enterprise Justice via the yet-to-be-developed

Integration Platform. His analysis will include how OCourts will interact with Enterprise Justice and production data. The results of this analysis and the timing of Solution Validation are each likely to have an impact on the CLJ-CMS Project's baseline schedule for deploying the new solution to various parts of the state. The work of determining whether the baseline deployment plan needs revising will also need to take into consideration those courts that desire to wait for the Integration Platform to be "productionalized" and the expected subsequent OCourt integration with the Integration Platform to be completed.

Risks and Issues

The delay in the Pilot Courts go-live date may impact planned dates for implementations in subsequent courts.

2.3.15 Deployment: Case Management

Solution			
Deployment: Case Management	Three-Month Rolling Risk Levels		
	Oct. 2022	Sept. 2022	Aug. 2022
	Risk	Risk	Risk

Findings

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

Risks and Issues

The delay in the Pilot Courts go-live date may impact planned dates for implementations in subsequent courts.

2.3.16 Deployment: Supervision

Solution			
Deployment: Supervision	Three-Month Rolling Risk Levels		
	Oct. 2022	Sept. 2022	Aug. 2022
	Risk	Risk	Risk

Findings

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

Risks and Issues

The delay in the Pilot Courts go-live date may impact planned dates for implementations in subsequent courts.

2.4 Data

2.4.1 Data Preparation: Case Management

Data			
Data Preparation: Case Management	Three-Month Rolling Risk Levels		
	Oct. 2022	Sept. 2022	Aug. 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		
	Oct. 2022	Sept. 2022	Aug. 2022
	Risk Being Addressed	Risk Being Addressed	No Risk Identified

Findings

The CLJ-CMS Project Manager is now publishing weekly reports on "Enterprise Justice to EDR Data Exchange" progress. Data loading into the UAT environment had been lagging a bit due to issues with the automation of the loading. Current status reports indicate that automated processes have "caught up" and are expected to be a part of the Minimal Viable Product (MVP) for Solution Validation.

Risks and Issues

The issues with data loading into the UAT are currently being addressed.

2.4.3 Data Conversion: Supervision

Data			
Data Conversion: Supervision	Three-Month Rolling Risk Levels		
	Oct. 2022	Sept. 2022	Aug. 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		
	Oct. 2022	Sept. 2022	Aug. 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		
	Oct. 2022	Sept. 2022	Aug. 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		
	Oct. 2022	Sept. 2022	Aug. 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		
	Oct. 2022	Sept. 2022	Aug. 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		
	Oct. 2022	Sept. 2022	Aug. 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		
	Oct. 2022	Sept. 2022	Aug. 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		
	Oct. 2022	Sept. 2022	Aug. 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		
	Oct. 2022	Sept. 2022	Aug. 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.

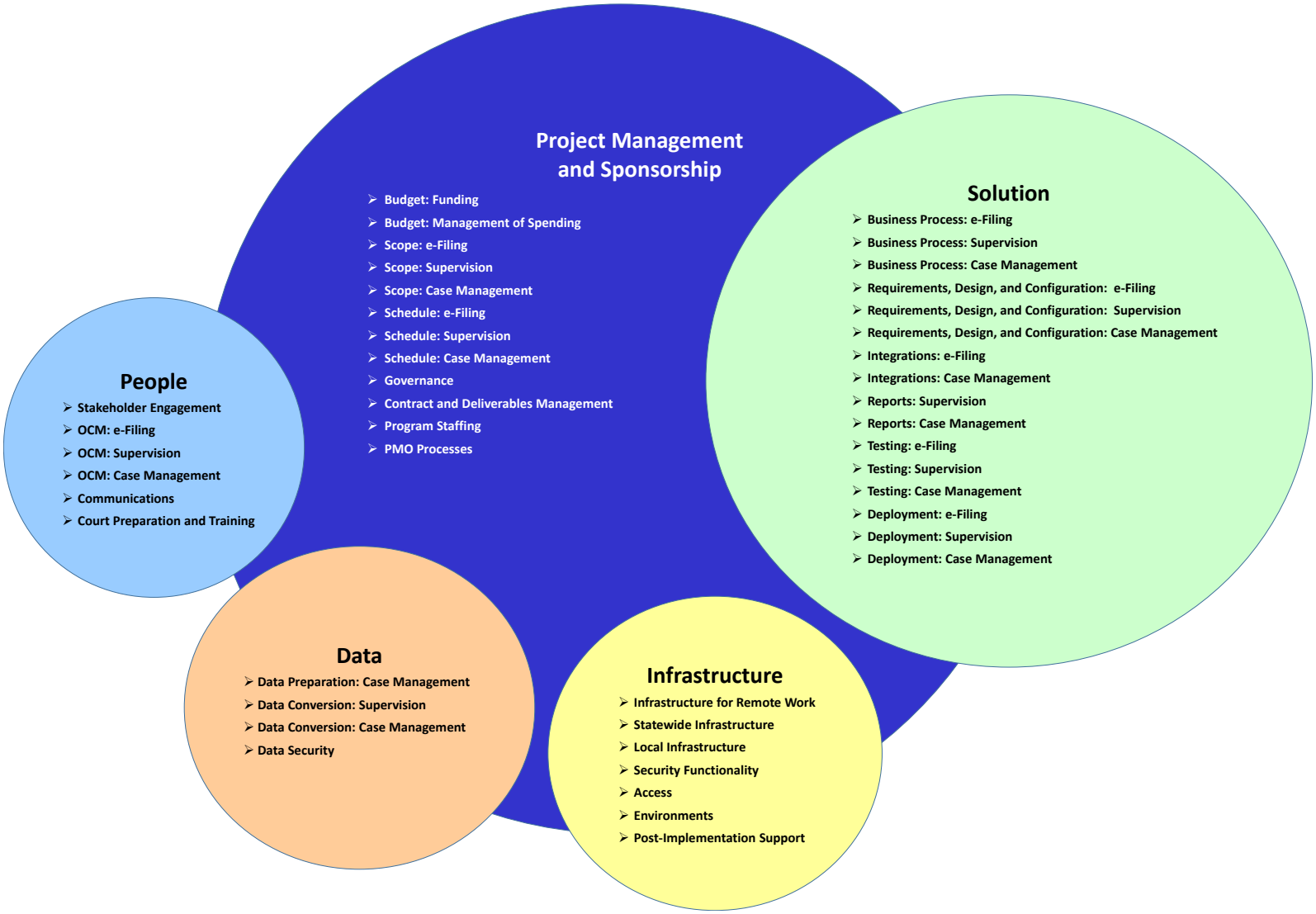

Figure 1. Areas of CLJ-CMS Project Assessed for Risks

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