*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

## May 2023

Prepared by

**Bluecrane, Inc.**

bluecrane ®

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May 31, 2023

Honorable Barbara Madsen, Justice
Washington Supreme Court

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

Dear Justice Madsen and Ms. Rubio:

*bluecrane* has completed its Quality Assurance Assessment of the CLJ-CMS Project for the month of May 2023.

This document is structured as follows:

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

Please contact me with any questions or comments.

Sincerely,

Allen Mills

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## Introductory Note on Project Structure

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

- eFiling
- Case Management
- Supervision

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

# 1. Executive Summary

## 1.1 Executive Overview

This report provides the May 2023 Quality Assurance (QA) assessment by Bluecrane, Inc. ("*bluecrane*") for the Washington State Administrative Office of the Courts (AOC) Courts of Limited Jurisdiction – Case Management System (CLJ-CMS) Project.

In May, the CLJ-CMS Project continued to test fixes to defects delivered by Tyler Technologies, Inc. ("Tyler") and move closer to setting a Go-Live date for the Pilot Courts. For May, we continue to assess the risks to schedule as "red." While the path to a Go-Live date is much clearer now thanks to the defects tracking spreadsheets that are being shared between Tyler and AOC (and we acknowledge this by noting that "risks are decreasing"), the fact that there are still several defects whose resolutions do not have definitive delivery dates is troubling.

We believe the time has come to set a Go-Live date for the Pilot Courts and "drive" to that date with all resources focused on making it happen. We are encouraging the AOC CLJ-CMS Project Sponsors to establish weekly meetings with executives from Tyler who have the authority to set priorities for work and deliverables at Tyler. At each weekly meeting, the topics should be:

1. What was expected to be delivered during the week (including "package" fixes from Tyler as well as other activities that were planned to be completed, even if they are not "deliverables" per se)
2. What was actually delivered and what activities were completed
3. If any expected deliverables were not provided as planned or any planned activities were not completed, then development of a plan (in "real-time" in the meeting) to get those deliverables back on-track with all due haste
4. Testing results for the week
5. Review of what is expected to be delivered/completed the following week, including any items from topic #3 that are late

The starting point is a "stake in the ground" for Pilot Courts Go-Live with an expectation that nothing short of a catastrophic surprise (for example, an unexpected security vulnerability) will delay the date.

Other risks remain unchanged from the April QA report. None of those risks rise to the level of criticality as those associated with not having a schedule for Pilot Courts 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** | **May 2023** | **April 2023** | **March 2023** |
| **Schedule: Case Management** | **High Risk *(risk decreasing)*** | **High Risk *(risk decreasing)*** | **High Risk *(risk decreasing)*** |
| **Schedule: Supervision** | **High Risk *(risk decreasing)*** | **High Risk *(risk decreasing)*** | **High Risk *(risk decreasing)*** |
| **Schedule: eFiling** | **High Risk *(risk decreasing)*** | **High Risk *(risk decreasing)*** | **High Risk *(risk decreasing)*** |
| **Scope: Case Management** | **Risk Being Addressed** | **Risk Being Addressed** | **Risk Being Addressed** |
| **Scope: Supervision** | **Risk Being Addressed** | **Risk Being Addressed** | **Risk Being Addressed** |
| **Scope: eFiling** | **Risk Being Addressed** | **Risk Being Addressed** | **Risk Being Addressed** |
| **Project Staffing** | **Risk** | **Risk** | **Risk** |
| **Governance** | **Risk Being Addressed** | **Risk Being Addressed** | **Risk Being Addressed** |
| **Budget: Funding** | **No Risk Identified** | **No Risk Identified** | **No Risk Identified** |
| **Budget: Management of Spending** | **No Risk Identified** | **No Risk Identified** | **No Risk Identified** |
| **Contracts and Deliverables Management** | **No Risk Identified** | **No Risk Identified** | **No Risk Identified** |
| **PMO Processes** | **No Risk Identified** | **No Risk Identified** | **No Risk Identified** |

| People | | | |
|---|---|---|---|
| **Assessment Area** | **May 2023** | **April 2023** | **March 2023** |
| Stakeholder Engagement | No Risk Identified | No Risk Identified | No Risk Identified |
| OCM: Case Management | No Risk Identified | No Risk Identified | No Risk Identified |
| OCM: Supervision | No Risk Identified | No Risk Identified | No Risk Identified |
| OCM: eFiling | No Risk Identified | No Risk Identified | No Risk Identified |
| Communications | No Risk Identified | No Risk Identified | No Risk Identified |
| Court Preparation and Training | No Risk Identified | No Risk Identified | No Risk Identified |

| Solution | | | |
|---|---|---|---|
| **Assessment Area** | **May 2023** | **April 2023** | **March 2023** |
| Business Process: Case Management | No Risk Identified | No Risk Identified | No Risk Identified |
| Business Process: Supervision | No Risk Identified | No Risk Identified | No Risk Identified |
| Business Process: eFiling | No Risk Identified | No Risk Identified | No Risk Identified |
| Requirements, Design, and Configuration: Case Management | No Risk Identified | No Risk Identified | No Risk Identified |
| Requirements, Design, and Configuration: Supervision | No Risk Identified | No Risk Identified | No Risk Identified |
| Requirements, Design, and Configuration: eFiling | No Risk Identified | No Risk Identified | No Risk Identified |

| Solution | | | |
|---|---|---|---|
| **Assessment Area** | **May 2023** | **April 2023** | **March 2023** |
| Integrations: Case Management | Risk Being Addressed | Risk Being Addressed | Risk Being Addressed |
| Integrations: eFiling | No Risk Identified | No Risk Identified | No Risk Identified |
| Reports: Case Management | No Risk Identified | No Risk Identified | No Risk Identified |
| Reports: Supervision | No Risk Identified | No Risk Identified | No Risk Identified |
| Testing: Case Management | No Risk Identified | No Risk Identified | No Risk Identified |
| Testing: Supervision | No Risk Identified | No Risk Identified | No Risk Identified |
| Testing: eFiling | No Risk Identified | No Risk Identified | No Risk Identified |
| Deployment: Case Management | Risk | Risk | Risk |
| Deployment: Supervision | Risk | Risk | Risk |
| Deployment: eFiling | Risk | Risk | Risk |

| Data | | | |
|---|---|---|---|
| **Assessment Area** | **May 2023** | **April 2023** | **March 2023** |
| Data Preparation: Case Management | No Risk Identified | No Risk Identified | No Risk Identified |
| Data Conversion: Case Management | Risk Being Addressed | Risk Being Addressed | Risk Being Addressed |
| Data Conversion: Supervision | Risk Being Addressed | Risk Being Addressed | No Risk Identified |

| Data | | | |
|---|---|---|---|
| Assessment Area | May 2023 | April 2023 | March 2023 |
| Data Security | No Risk Identified | No Risk Identified | No Risk Identified |

| Infrastructure | | | |
|---|---|---|---|
| Assessment Area | May 2023 | April 2023 | March 2023 |
| Infrastructure for Remote Work | Risk Being Addressed | Risk Being Addressed | Risk Being Addressed |
| Statewide Infrastructure | No Risk Identified | No Risk Identified | No Risk Identified |
| Local Infrastructure | No Risk Identified | No Risk Identified | No Risk Identified |
| Security Functionality | No Risk Identified | No Risk Identified | No Risk Identified |
| Access | No Risk Identified | No Risk Identified | No Risk Identified |
| Environments | No Risk Identified | No Risk Identified | No Risk Identified |
| Post-Implementation Support | No Risk Identified | No Risk Identified | No Risk Identified |

# 2. Detailed Assessment Report

## 2.1 Project Management and Sponsorship

### 2.1.1 Schedule: Case Management

| Project Management and Sponsorship | | | |
|---|---|---|---|
| Schedule: Case Management | Three-Month Rolling Risk Levels | | |
| | May 2023 | Apr. 2023 | Mar. 2023 |
| | **High Risk** *(risk decreasing)* | **High Risk** *(risk decreasing)* | **High Risk** *(risk decreasing)* |

**Findings**

In May, the CLJ-CMS Project continued to test fixes to defects delivered by Tyler Technologies, Inc. ("Tyler") and move closer to setting a Go-Live date for the Pilot Courts. For May, we continue to assess the risks to schedule as "red." While the path to a Go-Live date is much clearer now thanks to the defects tracking spreadsheets that are being shared between Tyler and AOC (and we acknowledge this by noting that "risks are decreasing"), the fact that there are still several defects whose resolutions do not have definitive delivery dates is troubling.

We believe the time has come to set a Go-Live date for the Pilot Courts and "drive" to that date with all resources focused on making it happen. We are encouraging the AOC CLJ-CMS Project Sponsors to establish weekly meetings with executives from Tyler who have the authority to set priorities for work and deliverables at Tyler. At each weekly meeting, the topics should be:

1. What was expected to be delivered during the week (including "package" fixes from Tyler as well as other activities that were planned to be completed, even if they are not "deliverables" per se)
2. What was actually delivered and what activities were completed
3. If any expected deliverables were not provided as planned or any planned activities were not completed, then development of a plan (in "real-time" in the meeting) to get those deliverables back on-track with all due haste
4. Testing results for the week
5. Review of what is expected to be delivered/completed the following week, including any items from topic #3 that are late

The starting point is a "stake in the ground" for Pilot Courts Go-Live with an expectation that nothing short of a catastrophic surprise (for example, an unexpected security vulnerability) will delay the date.

## Risks and Issues

Open defects that are critical to the Pilot Courts Go-Live continue to delay the selection and announcement of a Pilot Courts Go-Live date.

## *bluecrane* Recommendation

In our opinion, the time has come to set a Go-Live date for the Pilot Courts and "drive" to that date with all resources focused on making it happen.

### 2.1.2 Schedule: Supervision

| Project Management and Sponsorship | | | |
|---|---|---|---|
| Schedule: Supervision | Three-Month Rolling Risk Levels | | |
| | May 2023 | Apr. 2023 | Mar. 2023 |
| | **High Risk** *(risk decreasing)* | **High Risk** *(risk decreasing)* | **High Risk** *(risk decreasing)* |

## Findings

*Findings related to the schedule for Case Management are identical to those described above under 2.1.1 Schedule: Case Management.*

## Risks and Issues

Open defects that are critical to the Pilot Courts Go-Live continue to delay the selection and announcement of a Pilot Courts Go-Live date.

## *bluecrane* Recommendation

In our opinion, the time has come to set a Go-Live date for the Pilot Courts and "drive" to that date with all resources focused on making it happen.

### 2.1.3 Schedule: eFiling

| Project Management and Sponsorship | | | |
|---|---|---|---|
| Schedule: eFiling | Three-Month Rolling Risk Levels | | |
| | May 2023 | Apr. 2023 | Mar. 2023 |
| | **High Risk** *(risk decreasing)* | **High Risk** *(risk decreasing)* | **High Risk** *(risk decreasing)* |

## Findings

*Findings related to the schedule for eFiling are identical to those described above under 2.1.1 Schedule: Case Management.*

## Risks and Issues

Open defects that are critical to the Pilot Courts Go-Live continue to delay the selection and announcement of a Pilot Courts Go-Live date.

## *bluecrane* Recommendation

In our opinion, the time has come to set a Go-Live date for the Pilot Courts and "drive" to that date with all resources focused on making it happen.

### 2.1.4 Scope: Case Management

| Project Management and Sponsorship | | | |
|---|---|---|---|
| Scope: Case Management | Three-Month Rolling Risk Levels | | |
| | May 2023 | Apr. 2023 | Mar. 2023 |
| | Risk Being Addressed | Risk Being Addressed | Risk Being Addressed |

## Findings

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

Funding for the development of an integrations platform is included in the 23-25 Biennial Budget signed by the Governor in May. The risks to potential expansion of the CLJ-CMS Project scope are being mitigated by established governance processes that are being used to charter and manage the development of the integrations platform as an infrastructure project that is separate and apart from (although related to) the CLJ-CMS Project.

### 2.1.5 Scope: Supervision

| Project Management and Sponsorship | | | |
|---|---|---|---|
| Scope: Supervision | Three-Month Rolling Risk Levels | | |
| | May 2023 | Apr. 2023 | Mar. 2023 |
| | Risk Being Addressed | Risk Being Addressed | Risk Being Addressed |

**Findings**

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

Funding for the development of an integrations platform is included in the 23-25 Biennial Budget signed by the Governor in May. The risks to potential expansion of the CLJ-CMS Project scope are being mitigated by established governance processes that are being used to charter and manage the development of the integrations platform as an infrastructure project that is separate and apart from (although related to) the CLJ-CMS Project.

### 2.1.6 Scope: eFiling

| Project Management and Sponsorship | | | |
|---|---|---|---|
| Scope: eFiling | Three-Month Rolling Risk Levels | | |
| | May 2023 | Apr. 2023 | Mar. 2023 |
| | Risk Being Addressed | Risk Being Addressed | Risk Being Addressed |

**Findings**

Pilot Courts have posted local rules for eFiling. Meanwhile, DMCJA is championing a statewide rule for mandatory eFiling.

Funding for the development of an integrations platform is included in the 23-25 Biennial Budget signed by the Governor in May. The risks to potential expansion of the CLJ-CMS Project scope are being mitigated by established governance processes that are being used to charter and manage the development of the integrations platform as an infrastructure project that is separate and apart from (although related to) the CLJ-CMS Project.

### 2.1.7 Project Staffing

| Project Management and Sponsorship | | | |
|---|---|---|---|
| Project Staffing | Three-Month Rolling Risk Levels | | |
| | May 2023 | Apr. 2023 | Mar. 2023 |
| | 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. In a number of cases, AOC has provided the CLJ-CMS Project with staff from parts of AOC and the project has continued with minimal disruption. The number of vacancies remains a concern, however.

**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.

### 2.1.8 Governance

| Project Management and Sponsorship | | | |
|---|---|---|---|
| Governance | Three-Month Rolling Risk Levels | | |
| | May 2023 | Apr. 2023 | Mar. 2023 |
| | Risk Being Addressed | Risk Being Addressed | Risk Being Addressed |

**Findings**

Funding for the development of an integrations platform is included in the 23-25 Biennial Budget signed by the Governor in May. The risks to potential expansion of the CLJ-CMS Project scope are being mitigated by established governance processes that are being used to charter and manage the development of the integrations platform as an infrastructure project that is separate and apart from (although related to) the CLJ-CMS Project.

### 2.1.9 Budget: Funding

| Project Management and Sponsorship | | | |
|---|---|---|---|
| Budget: Funding | Three-Month Rolling Risk Levels | | |
| | May 2023 | Apr. 2023 | Mar. 2023 |
| | No Risk Identified | No Risk Identified | No Risk Identified |

**Findings**

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

In addition, the approved state 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 | | |
| | May 2023 | Apr. 2023 | Mar. 2023 |
| | No Risk Identified | No Risk Identified | No Risk Identified |

**Findings**

The project is being managed within the approved budget.

### 2.1.11 Contracts and Deliverables Management

| Project Management and Sponsorship | | | |
|---|---|---|---|
| Contracts and Deliverables Management | Three-Month Rolling Risk Levels | | |
| | May 2023 | Apr. 2023 | Mar. 2023 |
| | No Risk Identified | No Risk Identified | No Risk Identified |

**Findings**

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

### 2.1.12 PMO Processes

| Project Management and Sponsorship | | | |
|---|---|---|---|
| PMO Processes | Three-Month Rolling Risk Levels | | |
| | May 2023 | Apr. 2023 | Mar. 2023 |
| | No Risk Identified | No Risk Identified | No Risk Identified |

**Findings**

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

## 2.2 People

### 2.2.1 Stakeholder Engagement

| People | | | |
|---|---|---|---|
| Stakeholder Engagement | Three-Month Rolling Risk Levels | | |
| | May 2023 | Apr. 2023 | Mar. 2023 |
| | No Risk Identified | No Risk Identified | No Risk Identified |

**Findings**

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

### 2.2.2 OCM: Case Management

| People | | | |
|---|---|---|---|
| OCM: Case Management | Three-Month Rolling Risk Levels | | |
| | May 2023 | Apr. 2023 | Mar. 2023 |
| | No Risk Identified | No Risk Identified | No Risk Identified |

**Findings**

The OCM activities in this area are numerous, professional, and clear. Collaboration with Pilot Courts will be critical as SV concludes.

### 2.2.3 OCM: Supervision

| People | | | |
|---|---|---|---|
| OCM: Supervision | Three-Month Rolling Risk Levels | | |
| | May 2023 | Apr. 2023 | Mar. 2023 |
| | No Risk Identified | No Risk Identified | No Risk Identified |

**Findings**

The OCM activities in this area are numerous, professional, and clear. Collaboration with Pilot Courts will be critical as SV concludes.

### 2.2.4 OCM: eFiling

| People | | | |
|---|---|---|---|
| OCM: eFiling | Three-Month Rolling Risk Levels | | |
| | May 2023 | Apr. 2023 | Mar. 2023 |
| | No Risk Identified | No Risk Identified | No Risk Identified |

**Findings**

The OCM activities in this area are numerous, professional, and clear. Collaboration with Pilot Courts will be critical as SV concludes.

### 2.2.5 Communications

| People | | | |
|---|---|---|---|
| Communications | Three-Month Rolling Risk Levels | | |
| | May 2023 | Apr. 2023 | Mar. 2023 |
| | No Risk Identified | No Risk Identified | No Risk Identified |

**Findings**

The OCM and Communications Lead for the CLJ-CMS Project, CLJ-CMS Business Liaison, and AOC leadership team are doing an admirable and diligent job of reaching out to and engaging with the diverse CLJ stakeholder community.

### 2.2.6 Court Preparation and Training

| People | | | |
|---|---|---|---|
| Court Preparation and Training | Three-Month Rolling Risk Levels | | |
| | May 2023 | Apr. 2023 | Mar. 2023 |
| | No Risk Identified | No Risk Identified | No Risk Identified |

**Findings**

Training for Pilot Courts is planned to be conducted prior to the initiation of Go-Live activities.

## 2.3 Solution

### 2.3.1 Business Process: Case Management

| Solution | | | |
|---|---|---|---|
| Business Process: Case Management | Three-Month Rolling Risk Levels | | |
| | May 2023 | Apr. 2023 | Mar. 2023 |
| | No Risk Identified | No Risk Identified | No Risk Identified |

**Findings**

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

### 2.3.2 Business Process: Supervision

| Solution | | | |
|---|---|---|---|
| Business Process: Supervision | Three-Month Rolling Risk Levels | | |
| | May 2023 | Apr. 2023 | Mar. 2023 |
| | No Risk Identified | No Risk Identified | No Risk Identified |

**Findings**

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

### 2.3.3 Business Process: eFiling

| Solution | | | |
|---|---|---|---|
| Business Process: eFiling | Three-Month Rolling Risk Levels | | |
| | May 2023 | Apr. 2023 | Mar. 2023 |
| | No Risk Identified | No Risk Identified | No Risk Identified |

**Findings**

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

### 2.3.4 Requirements, Design, and Configuration: Case Management

| Solution | | | |
|---|---|---|---|
| Requirements, Design, and Configuration: Case Management | Three-Month Rolling Risk Levels | | |
| | May 2023 | Apr. 2023 | Mar. 2023 |
| | No Risk Identified | No Risk Identified | No Risk Identified |

**Findings**

At this time, the project is making any changes that are needed as a result of the CUWG's ongoing review of requirements.

### 2.3.5 Requirements, Design, and Configuration: Supervision

| Solution | | | |
|---|---|---|---|
| Requirements, Design, and Configuration: Supervision | Three-Month Rolling Risk Levels | | |
| | May 2023 | Apr. 2023 | Mar. 2023 |
| | No Risk Identified | No Risk Identified | No Risk Identified |

**Findings**

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

At the present time, configuration changes to Enterprise Supervision must be made by Tyler. The Enterprise Supervision solution is "in the 'cloud,'" unlike Enterprise Justice which is hosted at and configurable by AOC. We are not identifying a risk with this arrangement at this time, but we are raising awareness of the potential for a "bottleneck" as the CLJ-CMS solution moves into production.

We encourage AOC and Tyler to work to ensure the process is streamlined and that there is no "single-point-of-failure" for what will be ongoing Enterprise Supervision configuration needs.

### 2.3.6 Requirements, Design, and Configuration: eFiling

| Solution | | | |
|---|---|---|---|
| Requirements, Design, and Configuration: eFiling | Three-Month Rolling Risk Levels | | |
| | May 2023 | Apr. 2023 | Mar. 2023 |
| | No Risk Identified | No Risk Identified | No Risk Identified |

**Findings**

Requirements for eFiling are minimal and relatively procedural in nature.

### 2.3.7 Integrations: Case Management

| Solution | | | |
|---|---|---|---|
| Integrations: Case Management | Three-Month Rolling Risk Levels | | |
| | May 2023 | Apr. 2023 | Mar. 2023 |
| | Risk Being Addressed | Risk Being Addressed | Risk Being Addressed |

**Findings**

It is important that the CLJ-CMS Project and its partners complete necessary work to utilize the Enterprise Data Exchange (EDE) and to ensure all legacy data exchanges are viable in the new solution's environment. As has been previously reported, data conversion for Enterprise Supervision is becoming a complex undertaking, given the manner in which probation information is stored in JIS. The CLJ-CMS Project Team's testing of Alliance (the assimilation of the new Enterprise Supervision solution with Enterprise Justice) continues.

Funding for the development of an integrations platform is included in the 23-25 Biennial Budget signed by the Governor in May. The risks to potential expansion of the CLJ-CMS Project scope are being mitigated by established governance processes that are being used to charter and manage the development of the integrations platform as an infrastructure project that is separate and apart from (although related to) the CLJ-CMS Project.

**Risks and Issues**

The unforeseen complexity and manual processes required to utilize EDR create substantial risk to the CLJ-CMS Project. At this time, the legacy data exchange efforts have extended beyond the end of SV.

***bluecrane* Recommendation**

AOC and the Project Team should re-assess the progress of EDR-related work as a part of the plan to resolve all Go-Live critical issues as soon as practical.

### 2.3.8 Integrations: eFiling

| Solution | | | |
|---|---|---|---|
| Integrations: eFiling | Three-Month Rolling Risk Levels | | |
| | May 2023 | Apr. 2023 | Mar. 2023 |
| | No Risk Identified | No Risk Identified | No Risk Identified |

**Findings**

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

### 2.3.9 Reports: Case Management

| Solution | | | |
|---|---|---|---|
| Reports: Case Management | Three-Month Rolling Risk Levels | | |
| | May 2023 | Apr. 2023 | Mar. 2023 |
| | No Risk Identified | No Risk Identified | No Risk Identified |

**Findings**

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

### 2.3.10 Reports: Supervision

| Solution | | | |
|---|---|---|---|
| Reports: Supervision | Jan. 2023 | | |
| | May 2023 | Apr. 2023 | Mar. 2023 |
| | No Risk Identified | No Risk Identified | No Risk Identified |

**Findings**

Supervision reports are defined in the CLJ-CMS requirements.

### 2.3.11 Testing: Case Management

| Solution | | | |
|---|---|---|---|
| Testing: Case Management | Three-Month Rolling Risk Levels | | |
| | May 2023 | Apr. 2023 | Mar. 2023 |
| | No Risk Identified | No Risk Identified | No Risk Identified |

**Findings**

Testing is ongoing post-Solution Validation (SV) as defects are resolved. At this time, no significant obstacles to completing the needed testing have been identified, and results from testing are good.

### 2.3.12 Testing: Supervision

| Solution | | | |
|---|---|---|---|
| Testing: Supervision | Three-Month Rolling Risk Levels | | |
| | May 2023 | Apr. 2023 | Mar. 2023 |
| | No Risk Identified | No Risk Identified | No Risk Identified |

**Findings**

Testing is ongoing post-Solution Validation (SV) as defects are resolved. At this time, no significant obstacles to completing the needed testing have been identified, and results from testing are good.

### 2.3.13 Testing: eFiling

| Solution | | | |
|---|---|---|---|
| Testing: eFiling | Three-Month Rolling Risk Levels | | |
| | May 2023 | Apr. 2023 | Mar. 2023 |
| | No Risk Identified | No Risk Identified | No Risk Identified |

**Findings**

With eFiling now being rolled out in tandem with Case Management and Supervision, the necessary testing for eFiling is now part of the ongoing testing effort in preparation for Pilot Courts Go-Live.

### 2.3.14 Deployment: Case Management

| Solution | | | |
|---|---|---|---|
| Deployment: Case Management | Three-Month Rolling Risk Levels | | |
| | May 2023 | Apr. 2023 | Mar. 2023 |
| | Risk | Risk | Risk |

**Findings**

There is little doubt that the delay in the Pilot Courts Go-Live date will impact the deployment schedule for subsequent courts. We will continue to monitor progress on addressing Go-Live critical defects, the announcement of a new date for Pilot Courts implementation, and, eventually, the CLJ-CMS Project's revised schedule for future phases of the solution rollout.

The Associate Director of the Court Services Division (CSD) is identifying and analyzing emerging requirements for an eventual integration of OCourts with Enterprise Justice via the yet-to-be-developed Integration Platform. His analysis will include how OCourts will interact with Enterprise Justice and production data. The results of this analysis are likely to have an impact on the CLJ-CMS Project's baseline schedule for deploying the new solution to various parts of the state. The work of revising the baseline deployment plan will need to take into consideration those courts that desire to wait for the Integration Platform to be "productionalized" and the expected subsequent OCourts integration with the Integration Platform to be completed.

**Risks and Issues**

The delay in the Pilot Courts Go-Live will impact planned dates for implementations in subsequent courts.

### 2.3.15 Deployment: Supervision

| Solution | | | |
|---|---|---|---|
| Deployment: Supervision | Three-Month Rolling Risk Levels | | |
| | May 2023 | Apr. 2023 | Mar. 2023 |
| | Risk | Risk | Risk |

**Findings**

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

**Risks and Issues**

The delay in the Pilot Courts Go-Live will impact planned dates for implementations in subsequent courts.

### 2.3.16 Deployment: eFiling

| Solution | | | |
|---|---|---|---|
| Deployment: eFiling | Three-Month Rolling Risk Levels | | |
| | May 2023 | Apr. 2023 | Mar. 2023 |
| | Risk | Risk | Risk |

**Findings**

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

**Risks and Issues**

The delay in the Pilot Courts Go-Live will 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 | | |
| | May 2023 | Apr. 2023 | Mar. 2023 |
| | 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 | | |
| | May 2023 | Apr. 2023 | Mar. 2023 |
| | Risk Being Addressed | Risk Being Addressed | Risk Being Addressed |

**Findings**

At the time of the writing of this report, there are outstanding Priority 1 issues that are related to data conversion rules. Tyler Technologies is working to get these issues resolved.

**Risks and Issues**

The Priority 1 issues with data conversion must be resolved prior to Pilot Courts Go-Live.

### 2.4.3 Data Conversion: Supervision

| Data | | | |
|---|---|---|---|
| Data Conversion: Supervision | Three-Month Rolling Risk Levels | | |
| | May 2023 | Apr. 2023 | Mar. 2023 |
| | Risk Being Addressed | Risk Being Addressed | No Risk Identified |

**Findings**

As has been previously reported, data conversion for Enterprise Supervision has become a complex undertaking, given the manner in which probation information is stored in JIS. The CLJ-CMS Project Team's testing of Alliance (the assimilation of the new Enterprise Supervision solution with Enterprise Justice) continues.

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.

**Risks and Issues**

The Priority 1 issues with data conversion must be resolved prior to Pilot Courts Go-Live.

### 2.4.4 Data Security

| Data | | | |
|---|---|---|---|
| Data Security | Three-Month Rolling Risk Levels | | |
| | May 2023 | Apr. 2023 | Mar. 2023 |
| | No Risk Identified | No Risk Identified | No Risk Identified |

**Findings**

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

## 2.5 Infrastructure

### 2.5.1 Infrastructure for Remote Work

| Infrastructure | | | |
|---|---|---|---|
| Infrastructure for Remote Work | Three-Month Rolling Risk Levels | | |
| | May 2023 | Apr. 2023 | Mar. 2023 |
| | Risk Being Addressed | Risk Being Addressed | Risk Being Addressed |

**Findings**

The CLJ-CMS Project has adapted well to the remote work environment implemented in response to the COVID-19 pandemic. While there are intermittent issues with bandwidth to/from certain geographic areas, the team has managed to move forward with project activities. At this time, more and more work is being conducted on-site with both AOC and Tyler Technologies staff present.

### 2.5.2 Statewide Infrastructure

| Infrastructure | | | |
|---|---|---|---|
| Statewide Infrastructure | Three-Month Rolling Risk Levels | | |
| | May 2023 | Apr. 2023 | Mar. 2023 |
| | No Risk Identified | No Risk Identified | No Risk Identified |

**Findings**

Because eFiling and Supervision will be delivered via a “Software-as-a-Service” (SaaS) approach, those applications will be accessible through an internet browser, requiring little technical infrastructure. The Case Management solution will require personal computers (desktops and laptops) and networking bandwidth adequate to support the application. At this time, no significant risks have been identified.

### 2.5.3 Local Infrastructure

| Infrastructure | | | |
|---|---|---|---|
| Local Infrastructure | Three-Month Rolling Risk Levels | | |
| | May 2023 | Apr. 2023 | Mar. 2023 |
| | No Risk Identified | No Risk Identified | No Risk Identified |

**Findings**

As noted above, the case management solution will require personal computers (desktops and laptops) and networking bandwidth adequate to support the application. Pilot Courts have been provided 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 | | |
| | May 2023 | Apr. 2023 | Mar. 2023 |
| | 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 | | |
| | May 2023 | Apr. 2023 | Mar. 2023 |
| | No Risk Identified | No Risk Identified | No Risk Identified |

**Findings**

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

### 2.5.6 Environments

| Infrastructure | | | |
|---|---|---|---|
| Environments | Three-Month Rolling Risk Levels | | |
| | May 2023 | Apr. 2023 | Mar. 2023 |
| | No Risk Identified | No Risk Identified | No Risk Identified |

**Findings**

All environments have been implemented.

### 2.5.7 Post-Implementation Support

| Infrastructure | | | |
|---|---|---|---|
| Post-Implementation Support | Three-Month Rolling Risk Levels | | |
| | May 2023 | Apr. 2023 | Mar. 2023 |
| | No Risk Identified | No Risk Identified | No Risk Identified |

**Findings**

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

## Appendix: Overview of *bluecrane* Risk Assessment Approach

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

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

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

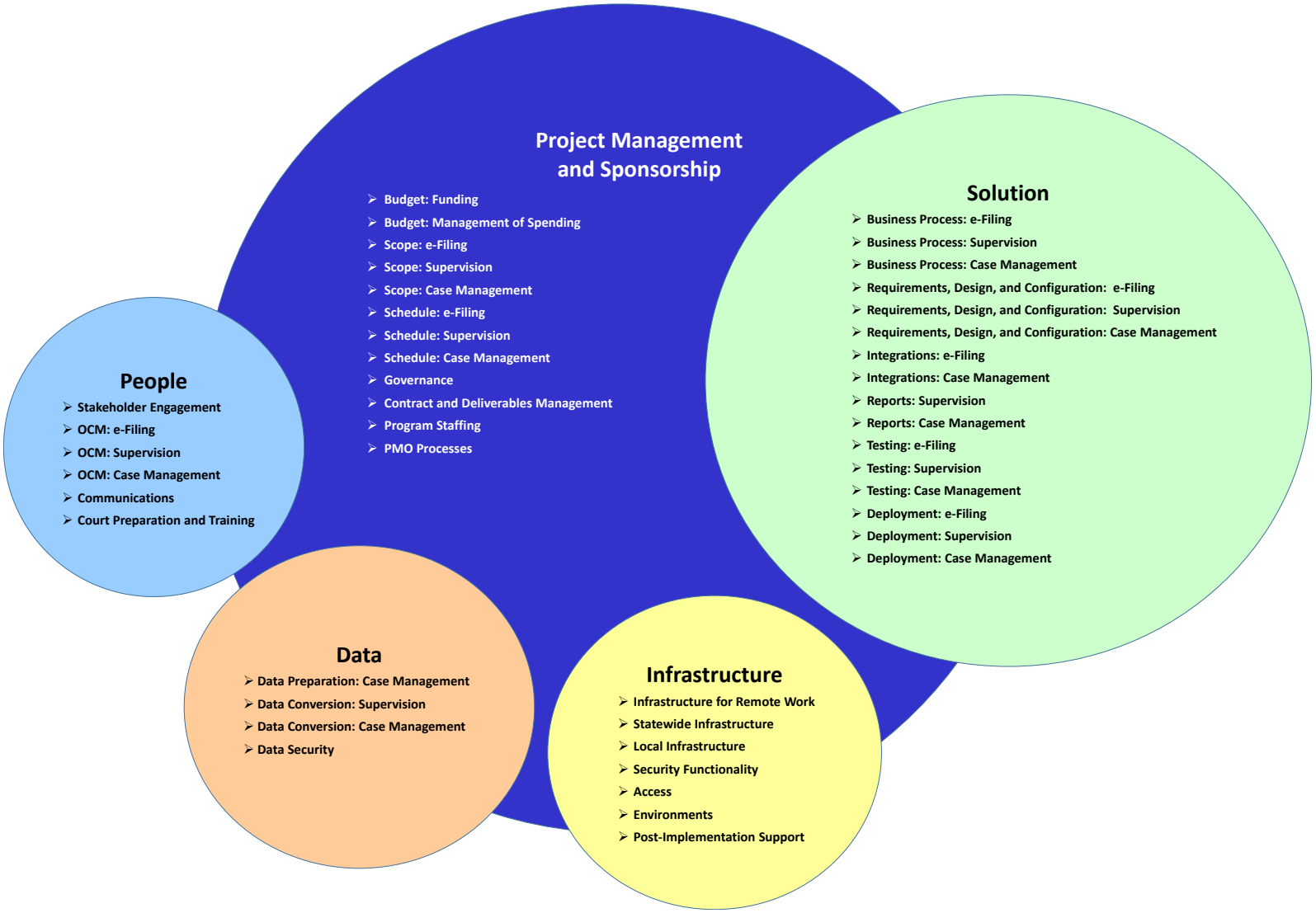


**Figure 1. Areas of CLJ-CMS Project Assessed for Risks**

Our risk ratings are summarized in Table 2 below.

**Table 2. *bluecrane's* Risk Assessment Categorization**

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