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 2023

Prepared by

Bluecrane, Inc.

bluecrane ®

Corporate Headquarters
46 Peninsula Ctr. Dr., Ste. E, PMB 517
Rolling Hills Estates, CA 90274
www.bluecranesolutions.com
310-200-8535

July 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 July 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

Table of Contents

Introductory Note on Project Structure iii

1. Executive Summary 1

1.1 Executive Overview 1
1.2 Executive "At-a-Glance" QA Dashboard 2

2. Detailed Assessment Report 6

2.1 Project Management and Sponsorship 6
2.1.1 Schedule: Case Management 6
2.1.2 Schedule: Supervision 7
2.1.3 Schedule: eFiling 8
2.1.4 Scope: Case Management 8
2.1.5 Scope: Supervision 9
2.1.6 Scope: eFiling 9
2.1.7 Project Staffing 10
2.1.8 Governance 10
2.1.9 Budget: Funding 11
2.1.10 Budget: Management of Spending 11
2.1.11 Contracts and Deliverables Management 11
2.1.12 PMO Processes 12
2.2 People 12
2.2.1 Stakeholder Engagement 12
2.2.2 OCM: Case Management 12
2.2.3 OCM: Supervision 13
2.2.4 OCM: eFiling 13
2.2.5 Communications 13
2.2.6 Court Preparation and Training 14
2.3 Solution 14
2.3.1 Business Process: Case Management 14
2.3.2 Business Process: Supervision 15
2.3.3 Business Process: eFiling 15
2.3.4 Requirements, Design, and Configuration: Case Management 15
2.3.5 Requirements, Design, and Configuration: Supervision 16
2.3.6 Requirements, Design, and Configuration: eFiling 16
2.3.7 Integrations: Case Management 17
2.3.8 Integrations: eFiling 17
2.3.9 Reports: Case Management 18
2.3.10 Reports: Supervision 18
2.3.11 Testing: Case Management 18
2.3.12 Testing: Supervision 19
2.3.13 Testing: eFiling 19
2.3.14 Deployment: Case Management 19
2.3.15 Deployment: Supervision 20
2.3.16 Deployment: eFiling 20

2.4 Data 21
2.4.1 Data Preparation: Case Management 21
2.4.2 Data Conversion: Case Management 21
2.4.3 Data Conversion: Supervision 22
2.4.4 Data Security 22
2.5 Infrastructure 23
2.5.1 Infrastructure for Remote Work 23
2.5.2 Statewide Infrastructure 23
2.5.3 Local Infrastructure 24
2.5.4 Security Functionality 24
2.5.5 Access 25
2.5.6 Environments 25
2.5.7 Post-Implementation Support 25

Appendix: Overview of *bluecrane* Risk Assessment Approach 26

Table of Figures

Figure 1. Areas of CLJ-CMS Project Assessed for Risks 27

Table of Tables

Table 1. Summary Dashboard of QA Assessment Results 2

Table 2. *bluecrane's* Risk Assessment Categorization 28

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 July 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.

A very significant milestone occurred on Thursday, July 27, when the CLJ-CMS Project Steering Committee (PSC) voted to approve October 23, 2023, as the Pilot Courts Go-Live date. AOC and Tyler originally targeted September 18 for Pilot Courts Go-Live. Three Pilot Courts expressed acceptance of the September 18 date. On the other hand, due to a high-profile case in Pierce County Superior Court (which is in the same building as Pierce County District Court) that is likely to have a large media presence as well as possible civil unrest, Pierce County had requested deferring Go-Live to October 23. During initial discussions, Tyler Technologies (Tyler) expressed concerns about competing priorities for their support staff because the October 23 date was only about three weeks prior to a mid-November go-live date for Los Angeles County. After extensive discussions between AOC and Tyler, and Tyler re-assessing its deployment of support staff, Tyler revised its position to one of fully supporting the October 23 date for the CLJ-CMS Project with the caveat that once the Los Angeles County go-live occurs, defects other than "Priority 1" defects may have to wait in the support queue for a longer period of time. AOC voiced confidence that its staff who are experienced with Tyler products will be able to handle issues with configuration and other areas.

In July, our assessment found a number of other positive developments for the CLJ-CMS Project, including:

- Testing of the June 23, 2023, Core Delivery and on-going "package" deliveries from Tyler continued with good results; as of the writing of this report, Priority 1 issues had been reduced to 32 items, with 8 of those related to data conversion and expected to be resolved shortly
- The cadence of meetings with AOC and Tyler executives changed to weekly in July; the frequent check-ins are serving to keep all informed of progress on addressing the Priority 1 issues and meeting the Pilot Court Go-Live decision "gates" (see our June report for descriptions of the specific gates)
- Pilot Court User Acceptance Testing (UAT) of the configured Enterprise Justice and Enterprise Supervision solutions has begun

Despite the positive developments noted above, the updates needed to the Washington State Patrol (WSP) "Law Tables" have become a critical risk to go-live. Specifically, the updates needed to the Washington State Patrol (WSP) "Law Tables" are lagging and have become the critical technology solution-related risk to achieving Pilot Courts Go-Live. A temporary work-around solution known as "SECTOR Plan B" has been developed. AOC and Tyler are collaborating on how to accomplish this work with the full intention of keeping the Pilot Courts Go-Live on-track for October 23.

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 2023**	**June 2023**	**May 2023**
Schedule: Case Management	Risk	Risk	High Risk *(risk decreasing)*
Schedule: Supervision	Risk	Risk	High Risk *(risk decreasing)*
Schedule: eFiling	Risk	Risk	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

Project Management and Sponsorship			
Assessment Area	**July 2023**	**June 2023**	**May 2023**
PMO Processes	No Risk Identified	No Risk Identified	No Risk Identified

People			
Assessment Area	**July 2023**	**June 2023**	**May 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	Risk Being Addressed	No Risk Identified	No Risk Identified

Solution			
Assessment Area	**July 2023**	**June 2023**	**May 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

Solution			
Assessment Area	**July 2023**	**June 2023**	**May 2023**
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
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	**July 2023**	**June 2023**	**May 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	Risk Being Addressed
Data Security	No Risk Identified	No Risk Identified	No Risk Identified

Infrastructure			
Assessment Area	**June 2023**	**May 2023**	**April 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		
	July 2023	June 2023	May 2023
	Risk	Risk	High Risk *(risk decreasing)*

Findings

A very significant milestone occurred on Thursday, July 27, when the CLJ-CMS Project Steering Committee (PSC) voted to approve October 23, 2023 as the Pilot Courts Go-Live date. AOC and Tyler originally targeted September 18 for Pilot Courts Go-Live. Three Pilot Courts expressed acceptance of the September 18 date. On the other hand, due to a high profile case in Pierce County Superior Court (which is in the same building as Pierce County District Court) that is likely to have a large media presence as well as possible civil unrest, Pierce County had requested deferring Go-Live to October 23. During initial discussions, Tyler Technologies (Tyler) expressed concerns about competing priorities for their support staff because the October 23 date was only about three weeks prior to a mid-November go-live date for Los Angeles County. After extensive discussions between AOC and Tyler, and Tyler re-assessing its deployment of support staff, Tyler revised its position to one of fully supporting the October 23 date for the CLJ-CMS Project with the caveat that once the Los Angeles County go-live occurs, defects other than “Priority 1” defects may have to wait in the support queue for a longer period of time. AOC voiced confidence that its staff who is experienced with Tyler products will be able to handle issues with configuration and other areas.

Despite the positive developments noted above, the updates needed to the Washington State Patrol (WSP) “Law Tables” have become a critical risk to go-live. Specifically, the updates needed to the Washington State Patrol (WSP) “Law Tables” are lagging and have become the critical technology solution-related risk to achieving Pilot Courts Go-Live. A temporary work-around solution known as “SECTOR Plan B” has been developed. AOC and Tyler are collaborating on how to accomplish this work with the full intention of keeping the Pilot Courts Go-Live on-track for October 23.

The schedule for phases subsequent to the Pilot Phase (currently Phases 1 – 6) will be revised after initial “lessons learned” from the Pilot Phase are analyzed and reviewed. At this point, the schedule for subsequent phases is “an issue” (as opposed to “a risk”), but it is not a dependency for the Pilot Phase.

Risks and Issues

Risk to Pilot Court Go-Live Schedule: The CLJ-CMS Project has documented the critical "gates" for achieving the Pilot Courts Go-Live in October. "Passing" each gate when planned is essential to realizing the October 23 date. The increased cadence of joint meetings between AOC and Tyler is proving invaluable in mitigating risks to successful completion of each gate. The temporary work-around for the WSP Law Table issue is crucial to keeping Pilot Courts Go-Live on-track.

Schedule at Issue for Phases Subsequent to Pilot Phase: *bluecrane* fully supports deferring decisions on the longer-term schedule until initial results from the Pilot Phase are known.

2.1.2 Schedule: Supervision

Project Management and Sponsorship			
Schedule: Supervision	Three-Month Rolling Risk Levels		
	July 2023	June 2023	May 2023
	Risk	Risk	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

Risk to Pilot Court Go-Live Schedule: The CLJ-CMS Project has documented the critical "gates" for achieving the Pilot Courts Go-Live in October. "Passing" each gate when planned is essential to realizing the October 23 date. The increased cadence of joint meetings between AOC and Tyler is proving invaluable in mitigating risks to successful completion of each gate. The temporary work-around for the WSP Law Table issue is crucial to keeping Pilot Courts Go-Live on-track.

Schedule at Issue for Phases Subsequent to Pilot Phase: *bluecrane* fully supports deferring decisions on the longer-term schedule until initial results from the Pilot Phase are known.

2.1.3 Schedule: eFiling

Project Management and Sponsorship			
Schedule: eFiling	Three-Month Rolling Risk Levels		
	July 2023	June 2023	May 2023
	Risk	Risk	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

Risk to Pilot Court Go-Live Schedule: The CLJ-CMS Project has documented the critical "gates" for achieving the Pilot Courts Go-Live in October. "Passing" each gate when planned is essential to realizing the October 23 date. The increased cadence of joint meetings between AOC and Tyler is proving invaluable in mitigating risks to successful completion of each gate. The temporary work-around for the WSP Law Table issue is crucial to keeping Pilot Courts Go-Live on-track.

Schedule at Issue for Phases Subsequent to Pilot Phase: *bluecrane* fully supports deferring decisions on the longer-term schedule until initial results from the Pilot Phase are known.

2.1.4 Scope: Case Management

Project Management and Sponsorship			
Scope: Case Management	Three-Month Rolling Risk Levels		
	July 2023	June 2023	May 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 2023. 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		
	July 2023	June 2023	May 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		
	July 2023	June 2023	May 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		
	July 2023	June 2023	May 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		
	July 2023	June 2023	May 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		
	July 2023	June 2023	May 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 biennial budget for 2023 – 2025 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 2023	June 2023	May 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		
	July 2023	June 2023	May 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		
	July 2023	June 2023	May 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		
	July 2023	June 2023	May 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		
	July 2023	June 2023	May 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 Pilot Courts Go-Live approaches.

2.2.3 OCM: Supervision

People			
OCM: Supervision	Three-Month Rolling Risk Levels		
	July 2023	June 2023	May 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 Pilot Courts Go-Live approaches.

2.2.4 OCM: eFiling

People			
OCM: eFiling	Three-Month Rolling Risk Levels		
	July 2023	June 2023	May 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 Pilot Courts Go-Live approaches.

2.2.5 Communications

People			
Communications	Three-Month Rolling Risk Levels		
	July 2023	June 2023	May 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		
	July 2023	June 2023	May 2023
	Risk Being Addressed	No Risk Identified	No Risk Identified

Findings

In order to avoid a gap of time between training of staff at Pilot Courts and the October 23 go-live date, Tyler will be providing Implementation Consultants to perform the CLJ-CMS training. Tyler describes the consultants that it will provide as experience trainers who do not perform training as the main role in their career currently but who are knowledgeable of the Tyler products and have demonstrated experience in training. For this reason, we are assessing this area as “Risk Being Addressed.”

2.3 Solution

2.3.1 Business Process: Case Management

Solution			
Business Process: Case Management	Three-Month Rolling Risk Levels		
	July 2023	June 2023	May 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		
	July 2023	June 2023	May 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		
	July 2023	June 2023	May 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		
	July 2023	June 2023	May 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		
	July 2023	June 2023	May 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 continue to 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		
	July 2023	June 2023	May 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		
	July 2023	June 2023	May 2023
	Risk Being Addressed	Risk Being Addressed	Risk Being Addressed

Findings

The updates needed to the Washington State Patrol (WSP) "Law Tables" are lagging and have become the critical risk to achieving Pilot Courts Go-Live. A temporary work-around solution known as "SECTOR Plan B" has been developed. AOC and Tyler are collaborating on how to accomplish this work and keep Pilot Courts Go-Live on-track for October 23.

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

At this time, the remaining legacy data exchange efforts for the WSP Law Tables is ***the*** critical technology solution-related risk to achieving the planned Pilot Courts Go-Live. AOC and Tyler are collaborating on how to accomplish this work with the full intention of keeping the Pilot Courts Go-Live on-track for October 23.

2.3.8 Integrations: eFiling

Solution			
Integrations: eFiling	Three-Month Rolling Risk Levels		
	July 2023	June 2023	May 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		
	July 2023	June 2023	May 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		
	July 2023	June 2023	May 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		
	July 2023	June 2023	May 2023
	No Risk Identified	No Risk Identified	No Risk Identified

Findings

Testing is ongoing 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		
	July 2023	June 2023	May 2023
	No Risk Identified	No Risk Identified	No Risk Identified

Findings

Testing is ongoing 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		
	July 2023	June 2023	May 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		
	July 2023	June 2023	May 2023
	Risk	Risk	Risk

Findings

The delay in the Pilot Courts Go-Live date has impacted the deployment schedule for subsequent courts. The schedule for phases subsequent to the Pilot Phase (currently Phases 1 – 6) will be revised after initial “lessons learned” from the Pilot Phase are analyzed and reviewed. At this point, the schedule for subsequent phases is “an issue” (as opposed to “a risk”), but it is not a dependency for the Pilot Phase.

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

bluecrane fully supports deferring decisions on the longer-term schedule until initial results from the Pilot Phase are known.

2.3.15 Deployment: Supervision

Solution			
Deployment: Supervision	Three-Month Rolling Risk Levels		
	July 2023	June 2023	May 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

bluecrane fully supports deferring decisions on the longer-term schedule until initial results from the Pilot Phase are known.

2.3.16 Deployment: eFiling

Solution			
Deployment: eFiling	Three-Month Rolling Risk Levels		
	July 2023	June 2023	May 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

bluecrane fully supports deferring decisions on the longer-term schedule until initial results from the Pilot Phase are known.

2.4 Data

2.4.1 Data Preparation: Case Management

Data			
Data Preparation: Case Management	Three-Month Rolling Risk Levels		
	July 2023	June 2023	May 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		
	July 2023	June 2023	May 2023
	Risk Being Addressed	Risk Being Addressed	Risk Being Addressed

Findings

At the time of the writing of this report, the outstanding Priority 1 issues that are related to data conversion rules have been significantly reduced in number. AOC and Tyler are working to get the remaining issues resolved.

2.4.3 Data Conversion: Supervision

Data			
Data Conversion: Supervision	Three-Month Rolling Risk Levels		
	July 2023	June 2023	May 2023
	Risk Being Addressed	Risk Being Addressed	Risk Being Addressed

Findings

At the time of the writing of this report, the outstanding Priority 1 issues that are related to data conversion rules have been significantly reduced in number. AOC and Tyler are working to get the remaining issues resolved.

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 2023	June 2023	May 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		
	July 2023	June 2023	May 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		
	July 2023	June 2023	May 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		
	July 2023	June 2023	May 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		
	July 2023	June 2023	May 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		
	July 2023	June 2023	May 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		
	July 2023	June 2023	May 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		
	July 2023	June 2023	May 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.

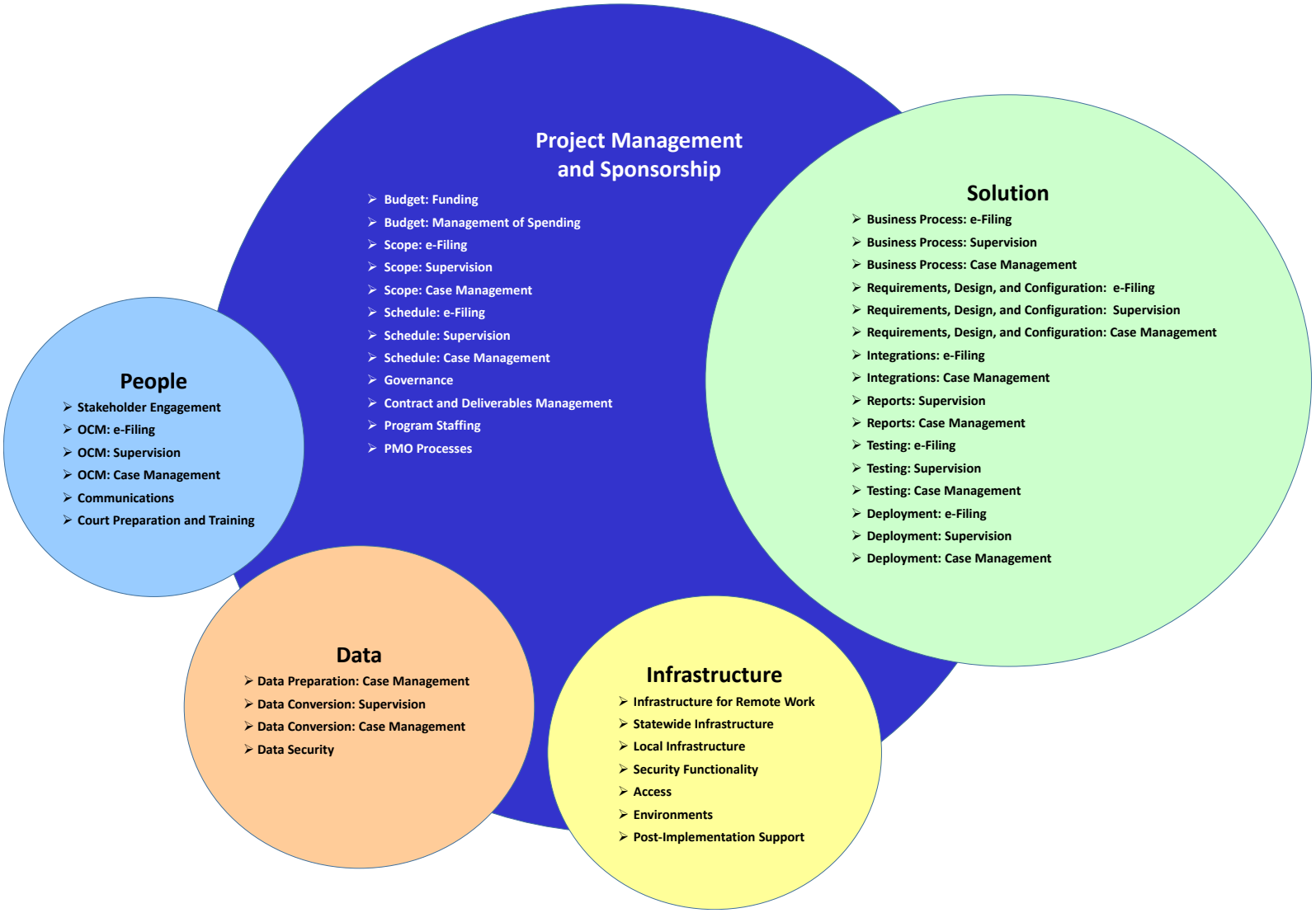

Figure 1. Areas of CLJ-CMS Project Assessed for Risks

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