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 2024

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, 2024

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 2024.

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 on 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 2024 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 July, the CLJ-CMS Project continued their "heads-down" focus on the Early Adopter Go-Live that is scheduled for late October 2024 while continuing to resolve defects affecting the two Pilot Courts that are in production. As we have noted in previous reports, it is extremely important that the production support issues be resolved as quickly as is prudently possible. If the production issues remain unresolved, they will become impediments to further implementations, the first instance being the Early Adopter courts. *We view this risk as the single most critical risk as the project moves closer to Early Adopter implementation.*

The main areas of focus for the project team continue to be:

- Vendor management
- Issue management
- High-level planning for the remaining phases of the project
- Keeping the Early Adopters implementation on-schedule, within approved scope, and within budget

In July, there was important progress on contracting with Tyler Technologies. First, a new approach for AOC development needs has been established so that a request that has been vetted and approved internally at AOC can be forwarded to Tyler with no need for contractual modifications (almost like a "work order" approach). This will enable AOC to "feed" requests to Tyler on a more continual basis rather than "batching" requests for a period of time and then seeking a contractual modification to address the collective requests. This improved process has the potential to reduce future "backlogs" of support issues like the ones noted above in this report. If issues can be addressed on a more "flow" basis, that will help eliminate large batches of work in the critical paths leading to the phased implementations.

Second, contract provisions for more Enterprise Supervision (ES) and Alliance environments from Tyler have been put in place. AOC is now waiting for Tyler's plan to provide those environments which are needed to better separate differing activities (e.g., configuration testing, User Acceptance Testing [UAT], and pre-implementation environments for training, data preparation, and other activities).

In a similar vein, the CLJ-CMS Project needs more Enterprise Justice (EJ) environments, which are provided by AOC's internal infrastructure operations. It is our understanding that the AOC internal team is working diligently to provide additional EJ environments, but work is being delayed due to issues with a vendor who provides infrastructure hardware and software to AOC. While we need to understand more about the details of this potential risk, we encourage AOC to investigate the risk and determine

what mitigation steps might be appropriate. From our independent external perspective, this is work that should be done and "out of the way" as soon as practical in order to facilitate the project's work with more separation of competing tasks and interests within a single environment. ***If progress is not realized soon on these environments to be provided by AOC, we will be raising the level of this risk.***

Also of note in July, 372 "envelopes" needing eFile refunds (for charges that should never have been incurred considering that the legislature has approved General Funds to cover eFiling costs) have been reported as being complete. This work was completed well ahead of the 31-day deadline that was established to remedy the problem. At the time of the writing of this report, the Project Team is working to verify that the refunds were completed.

Work is progressing with the Project Team, the Project Steering Committee (PSC), and Tyler to develop a revised rollout plan for phased statewide implementation. For the past couple of monthly QA reports, we have assessed the risks to the schedule for deployment as "Being Addressed." We are pleased to report that progress in July was positive. While the plan is not yet finalized, it is taking shape with input from all interested parties.

Lastly—and far from least—we are enthusiastically pleased to report that the CLJ-CMS Project has made significant progress in staffing. The Project has five vacant positions with two open recruitments. The business "subteam" is fully staffed. Two of three educator positions have been filled. While most people view the Pandemic as something in the past, the cascading effects of staffing issues that began during the Pandemic and continue afterwards have had impacts on the abilities of projects like CLJ-CMS (which is far from alone in this circumstance) to achieve their timelines as planned prior to the Pandemic (and, in many cases, since the Pandemic). Congratulations to the Project Team and to AOC for getting staffing to this point. It may not be possible to "make up for lost time," but an almost-fully-staffed project bodes well for achieving future deployment plans on time.

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 2024**	**June 2024**	**May 2024**
Schedule: Case Management	Risk Being Addressed	Risk Being Addressed	Risk Being Addressed
Schedule: Supervision	Risk Being Addressed	Risk Being Addressed	Risk Being Addressed
Schedule: eFiling	Risk Being Addressed	Risk Being Addressed	Risk Being Addressed
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 Being Addressed	Risk Being Addressed	Risk Being Addressed
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 2024**	**June 2024**	**May 2024**
PMO Processes	No Risk Identified	No Risk Identified	No Risk Identified

People			
Assessment Area	**July 2024**	**June 2024**	**May 2024**
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	Risk Being Addressed	Risk Being Addressed

Solution			
Assessment Area	**July 2024**	**June 2024**	**May 2024**
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 2024**	**June 2024**	**May 2024**
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 Being Addressed	Risk Being Addressed	Risk Being Addressed
Deployment: Supervision	Risk Being Addressed	Risk Being Addressed	Risk Being Addressed
Deployment: eFiling	Risk Being Addressed	Risk Being Addressed	Risk Being Addressed

Data			
Assessment Area	**July 2024**	**June 2024**	**May 2024**
Data Preparation: Case Management	No Risk Identified	No Risk Identified	No Risk Identified
Data Conversion: Case Management	No Risk Identified	No Risk Identified	No Risk Identified
Data Conversion: Supervision	No Risk Identified	No Risk Identified	No Risk Identified
Data Security	No Risk Identified	No Risk Identified	No Risk Identified

Infrastructure			
Assessment Area	**July 2024**	**June 2024**	**May 2024**
Infrastructure for Remote Work	No Risk Identified	No Risk Identified	No Risk Identified
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 2024	June 2024	May 2024
	Risk Being Addressed	Risk Being Addressed	Risk Being Addressed

Findings

The AOC and CLJ-CMS Project have identified 10 Early Adopter Courts who have committed to being participants in a fall 2024 deployment. In June, the CLJ-CMS Project continued to make progress toward the Early Adopter Go-Live that is being planned for late October 2024 while continuing to resolve defects affecting the two Pilot Courts that are in production. It is extremely important that the production support issues be resolved as quickly as is prudently possible. If the production issues remain unresolved, they will become impediments to further implementations, the first instance being the Early Adopter courts. *We view this risk as the single most critical risk as the project moves closer to Early Adopter implementation.*

Risks and Issues

Risk 1: The speed of resolution of the production support issues from the Pilot Courts is emerging as a risk to the success of the Early Adopter deployment in the fall of 2024. AOC and Tyler continue to focus on addressing production defects with increased urgency. Tyler has added a “Go-Live Critical” column to their defect tracker tool in order to better prioritize bug fixes. As of July 11, there were 28 “Go-Live Critical” defects. The Project Manager is pressing Tyler to provide expected dates for each fix.

Risk 2: We continue to recognize risks to the deployment timeline since groupings of courts for deployment after the Early Adopter Courts have yet to be determined. However, work is progressing with the Project Team, the Project Steering Committee (PSC), and Tyler to develop a revised rollout plan for phased statewide implementation. While the plan is not yet finalized, it is taking shape with input from all interested parties.

2.1.2 Schedule: Supervision

Project Management and Sponsorship			
Schedule: Supervision	Three-Month Rolling Risk Levels		
	July 2024	June 2024	May 2024
	Risk Being Addressed	Risk Being Addressed	Risk Being Addressed

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 1: The speed of resolution of the production support issues from the Pilot Courts is emerging as a risk to the success of the Early Adopter deployment in the fall of 2024. AOC and Tyler continue to focus on addressing production defects with increased urgency.

Risk 2: We continue to recognize risks to the deployment timeline since groupings of courts for deployment after the Early Adopter Courts have yet to be determined. However, work is progressing with the Project Team, the Project Steering Committee (PSC), and Tyler to develop a revised rollout plan for phased statewide implementation. While the plan is not yet finalized, it is taking shape with input from all interested parties.

2.1.3 Schedule: eFiling

Project Management and Sponsorship			
Schedule: eFiling	Three-Month Rolling Risk Levels		
	July 2024	June 2024	May 2024
	Risk Being Addressed	Risk Being Addressed	Risk Being Addressed

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 1: The speed of resolution of the production support issues from the Pilot Courts is emerging as a risk to the success of the Early Adopter deployment in the fall of 2024. AOC and Tyler continue to focus on addressing production defects with increased urgency.

Risk 2: We continue to recognize risks to the deployment timeline since groupings of courts for deployment after the Early Adopter Courts have yet to be determined. However, work is progressing with the Project Team, the Project Steering Committee (PSC), and Tyler to develop a revised rollout plan for phased statewide implementation. While the plan is not yet finalized, it is taking shape with input from all interested parties.

2.1.4 Scope: Case Management

Project Management and Sponsorship			
Scope: Case Management	Three-Month Rolling Risk Levels		
	July 2024	June 2024	May 2024
	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 development of an integrations platform is being managed internally by AOC as an infrastructure project, 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 2024	June 2024	May 2024
	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.

The development of an integrations platform is being managed internally by AOC as an infrastructure project, separate and apart from (although related to) the CLJ-CMS Project.

In addition, AOC continues to work with Tyler Technologies (Tyler) to assess the viability of implementing Enterprise Supervision (i.e., the probation solution) as a “stand-alone” system to address the urgent end-of-life issues with the Probatum courts and the withdrawal of Pierce County District Court as a CLJ-CMS pilot. The AOC and Tyler have discussed using a shared tenant model with the CLJ-CMS Project during which implementation will be performed entirely by Tyler for the Probatum Courts and Pierce County District Court because AOC does not have the capacity to do so while keeping the CLJ-CMS Project (as a whole) on track. The AOC and Tyler are continuing to flesh out the details of the plan.

As noted in previous QA reports, the potential for a separate statewide implementation of eSupervision has also been raised at CLJ-CMS Steering Committee meetings and requested by an MPA memo dated February 15, 2024. However, this approach was not contemplated by the procurement, the contract, or the project workplan which identifies an integrated statewide system of eFiling, Enterprise Justice, and eSupervision. Additionally, the legislative funding decision packages and appropriations reflect an integrated solution. There is no mention of a standalone system for eSupervision. Discussions regarding a potential separate effort continue between AOC and Tyler.

2.1.6 Scope: eFiling

Project Management and Sponsorship			
Scope: eFiling	Three-Month Rolling Risk Levels		
	July 2024	June 2024	May 2024
	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.

The development of an integrations platform is being managed internally by AOC as an infrastructure project, separate and apart from (although related to) the CLJ-CMS Project. A procurement for a development vendor recently concluded.

2.1.7 Project Staffing

Project Management and Sponsorship			
Project Staffing	Three-Month Rolling Risk Levels		
	July 2024	June 2024	May 2024
	Risk Being Addressed	Risk Being Addressed	Risk Being Addressed

Findings

We are enthusiastically pleased to report that the CLJ-CMS Project has made significant progress in staffing. The Project has five vacant positions with two open recruitments. The business "subteam" is fully staffed. Two of three educator positions have been filled. While most people view the Pandemic as something in the past, the cascading effects of staffing issues that began during the Pandemic and continue afterward have had impacts on the abilities of projects like CLJ-CMS (which is far from alone in this circumstance) to achieve their timelines as planned prior to the Pandemic (and, in many cases, since the Pandemic). Congratulations to the Project Team and to AOC for getting staffing to this point. It may not be possible to "make up for lost time," but an almost-fully-staffed project bodes well for achieving future deployment plans on time.

2.1.8 Governance

Project Management and Sponsorship			
Governance	Three-Month Rolling Risk Levels		
	July 2024	June 2024	May 2024
	Risk Being Addressed	Risk Being Addressed	Risk Being Addressed

Findings

The development of an integrations platform is being managed internally by AOC as an infrastructure project, separate and apart from (although related to) the CLJ-CMS Project. A procurement for a development vendor recently concluded.

2.1.9 Budget: Funding

Project Management and Sponsorship			
Budget: Funding	Three-Month Rolling Risk Levels		
	July 2024	June 2024	May 2024
	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 2024	June 2024	May 2024
	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 2024	June 2024	May 2024
	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 2024	June 2024	May 2024
	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 occur 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 2024	June 2024	May 2024
	No Risk Identified	No Risk Identified	No Risk Identified

Findings

In parallel with Early Adopter Go-Live efforts and production defects resolution work, the Associate Director of CSD and members of the CLJ Project Team have been conducting demonstrations of the new solution to CLJ courts around the state. The demonstrations have been very well received by the participating courts.

2.2.2 OCM: Case Management

People			
OCM: Case Management	Three-Month Rolling Risk Levels		
	July 2024	June 2024	May 2024
	No Risk Identified	No Risk Identified	No Risk Identified

Findings

The solution demonstrations noted above under Stakeholder Engagement are important elements of Organizational Change Management (OCM) as they create improved awareness and knowledge of what the new CLJ solution entails. The demonstrations are also contributing to increased eagerness on the part of court stakeholders to implement the new solution in their courts. A number of CLJ courts have taken the time to formally thank the team providing the demonstrations and to express their appreciation for the information shared with the courts. We concur with those “kudos” and add our congratulations for a job well done. The next challenge in this area will be to maintain the enthusiasm that has been generated among the participating courts.

Beginning in July and continuing into August for a total of three weeks, the Associate Director of CSD and members of the CLJ Project Team are planning to spend time meeting in-person with Early Adopter courts to continue to prepare them for implementation and to continue the momentum toward the late October go-live.

2.2.3 OCM: Supervision

People			
OCM: Supervision	Three-Month Rolling Risk Levels		
	July 2024	June 2024	May 2024
	No Risk Identified	No Risk Identified	No Risk Identified

Findings

The solution demonstrations described under OCM: Case Management include demonstrations of Enterprise Supervision.

2.2.4 OCM: eFiling

People			
OCM: eFiling	Three-Month Rolling Risk Levels		
	July 2024	June 2024	May 2024
	No Risk Identified	No Risk Identified	No Risk Identified

Findings

The solution demonstrations described under OCM: Case Management are generating excitement among participating courts to implement the new solution.

2.2.5 Communications

People			
Communications	Three-Month Rolling Risk Levels		
	July 2024	June 2024	May 2024
	No Risk Identified	No Risk Identified	No Risk Identified

Findings

The OCM and Communications Lead for the CLJ-CMS Project, the Associate Director of CSD, 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 2024	June 2024	May 2024
	Risk Being Addressed	Risk Being Addressed	Risk Being Addressed

Findings

Some of the concerns voiced by Pierce County District Court before their withdrawal as a “pilot” court were related to the training of system users in the courts and ensuring that the training combines an understanding not only of how to use the new Tyler technology solutions but how to apply those solutions within the context of the court’s business processes. Given these concerns, AOC is working to ensure more effective training for Early Adopters and other courts going forward.

Risks and Issues

Issue: Training for Pilot Courts did not include enough information about using the Tyler solution in the context of Washington CLJs. The CLJ Project team is working to ensure a more effective training approach for the Early Adopter courts.

2.3 Solution

2.3.1 Business Process: Case Management

Solution			
Business Process: Case Management	Three-Month Rolling Risk Levels		
	July 2024	June 2024	May 2024
	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 2024	June 2024	May 2024
	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 2024	June 2024	May 2024
	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 2024	June 2024	May 2024
	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 2024	June 2024	May 2024
	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 2024	June 2024	May 2024
	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 2024	June 2024	May 2024
	Risk Being Addressed	Risk Being Addressed	Risk Being Addressed

Findings

A solution for the Washington State Patrol (WSP) “Law Tables” was implemented for the Tacoma Municipal Court go-live.

The development of an integrations platform is being managed internally by AOC as an infrastructure project, separate and apart from (although related to) the CLJ-CMS Project. A procurement for a development vendor recently concluded.

2.3.8 Integrations: eFiling

Solution			
Integrations: eFiling	Three-Month Rolling Risk Levels		
	July 2024	June 2024	May 2024
	No Risk Identified	No Risk Identified	No Risk Identified

Findings

Tyler certified the single integration required for eFiling in September 2021. The project leveraged the work already done as well as the completed certification for the Tacoma Municipal Court and Fircrest-Ruston deployments and will continue to do so moving forward.

2.3.9 Reports: Case Management

Solution			
Reports: Case Management	Three-Month Rolling Risk Levels		
	July 2024	June 2024	May 2024
	No Risk Identified	No Risk Identified	No Risk Identified

Findings

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

2.3.10 Reports: Supervision

Solution			
Reports: Supervision	Three-Month Rolling Risk Levels		
	July 2024	June 2024	May 2024
	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 2024	June 2024	May 2024
	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. However, the recently-contracted ES and Alliance environments to be provided by Tyler and the planned addition of more EJ environments by AOC's internal infrastructure operations should further reduce the risks to timely and effective testing.

2.3.12 Testing: Supervision

Solution			
Testing: Supervision	Three-Month Rolling Risk Levels		
	July 2024	June 2024	May 2024
	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. However, the recently-contracted ES and Alliance environments to be provided by Tyler and the planned addition of more EJ environments by AOC's internal infrastructure operations should further reduce the risks to timely and effective testing.

2.3.13 Testing: eFiling

Solution			
Testing: eFiling	Three-Month Rolling Risk Levels		
	July 2024	June 2024	May 2024
	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 court go-live implementations.

2.3.14 Deployment: Case Management

Solution			
Deployment: Case Management	Three-Month Rolling Risk Levels		
	July 2024	June 2024	May 2024
	Risk Being Addressed	Risk Being Addressed	Risk Being Addressed

Findings

Work is progressing with the Project Team, the Project Steering Committee (PSC), and Tyler to develop a revised rollout plan for phased statewide implementation.

Risks and Issues

We continue to recognize risks to the overall deployment timeline since groupings of courts has not been determined. For the past couple of monthly QA reports, we have assessed the risks to the schedule for deployment as “Being Addressed.” We are pleased to report that progress in July was positive. While the plan is not yet finalized, it is taking shape with input from all interested parties.

2.3.15 Deployment: Supervision

Solution			
Deployment: Supervision	Three-Month Rolling Risk Levels		
	July 2024	June 2024	May 2024
	Risk Being Addressed	Risk Being Addressed	Risk Being Addressed

Findings

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

Risks and Issues

We continue to recognize risks to the overall deployment timeline since groupings of courts has not been determined. For the past couple of monthly QA reports, we have assessed the risks to the schedule for deployment as “Being Addressed.” We are pleased to report that progress in July was positive. While the plan is not yet finalized, it is taking shape with input from all interested parties.

2.3.16 Deployment: eFiling

Solution			
Deployment: eFiling	Three-Month Rolling Risk Levels		
	July 2024	June 2024	May 2024
	Risk Being Addressed	Risk Being Addressed	Risk Being Addressed

Findings

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

Risks and Issues

We continue to recognize risks to the overall deployment timeline since groupings of courts has not been determined. For the past couple of monthly QA reports, we have assessed the risks to the schedule for deployment as “Being Addressed.” We are pleased to report that progress in July was positive. While the plan is not yet finalized, it is taking shape with input from all interested parties.

2.4 Data

2.4.1 Data Preparation: Case Management

Data			
Data Preparation: Case Management	Three-Month Rolling Risk Levels		
	July 2024	June 2024	May 2024
	No Risk Identified	No Risk Identified	No Risk Identified

Findings

The project is focusing on data conversion on a court-by-court basis as each court goes live.

2.4.2 Data Conversion: Case Management

Data			
Data Conversion: Case Management	Three-Month Rolling Risk Levels		
	July 2024	June 2024	May 2024
	No Risk Identified	No Risk Identified	No Risk Identified

Findings

Data conversion for Tacoma Municipal Court and Fircrest-Ruston was successfully accomplished during the week prior to each of their respective “go-live” events.

2.4.3 Data Conversion: Supervision

Data			
Data Conversion: Supervision	Three-Month Rolling Risk Levels		
	July 2024	June 2024	May 2024
	No Risk Identified	No Risk Identified	No Risk Identified

Findings

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

2.4.4 Data Security

Data			
Data Security	Three-Month Rolling Risk Levels		
	July 2024	June 2024	May 2024
	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.

2.5 Infrastructure

2.5.1 Infrastructure for Remote Work

Infrastructure			
Infrastructure for Remote Work	Three-Month Rolling Risk Levels		
	July 2024	June 2024	May 2024
	No Risk Identified	No Risk Identified	No Risk Identified

Findings

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

2.5.2 Statewide Infrastructure

Infrastructure			
Statewide Infrastructure	Three-Month Rolling Risk Levels		
	July 2024	June 2024	May 2024
	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 2024	June 2024	May 2024
	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 with 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 2024	June 2024	May 2024
	No Risk Identified	No Risk Identified	No Risk Identified

Findings

There are no identified risks with security functionality.

2.5.5 Access

Infrastructure			
Access	Three-Month Rolling Risk Levels		
	July 2024	June 2024	May 2024
	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 2024	June 2024	May 2024
	No Risk Identified	No Risk Identified	No Risk Identified

Findings

The issue of lack of back-ups for various environments (e.g., test, training, development, and production) raised in October 2023 has been addressed.

In July, contract provisions for more Enterprise Supervision (ES) and Alliance environments from Tyler have been put in place. AOC is now waiting for Tyler's plan to provide those environments which are needed to better separate differing activities (e.g., configuration testing, User Acceptance Testing [UAT], and pre-implementation environments for training, data preparation, and other activities).

In a similar vein, the CLJ-CMS Project needs more Enterprise Justice (EJ) environments, which are provided by AOC's internal infrastructure operations. It is our understanding that the AOC internal team is working diligently to provide additional EJ environments, but work is being delayed due to issues with a vendor who provides infrastructure hardware and software to AOC. While we need to understand more about the details of this potential risk, we encourage AOC to investigate the risk and determine what mitigation steps might be appropriate. From our independent external perspective, this is work that should be done and "out of the way" as soon as practical in order to facilitate the project's work with more separation of competing tasks and interests within a single environment. ***If progress is not realized soon on these environments to be provided by AOC, we will be raising the level of this risk.***

2.5.7 Post-Implementation Support

Infrastructure			
Post-Implementation Support	Three-Month Rolling Risk Levels		
	July 2024	June 2024	May 2024
	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 is ensuring Business Analysts' participation during 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.

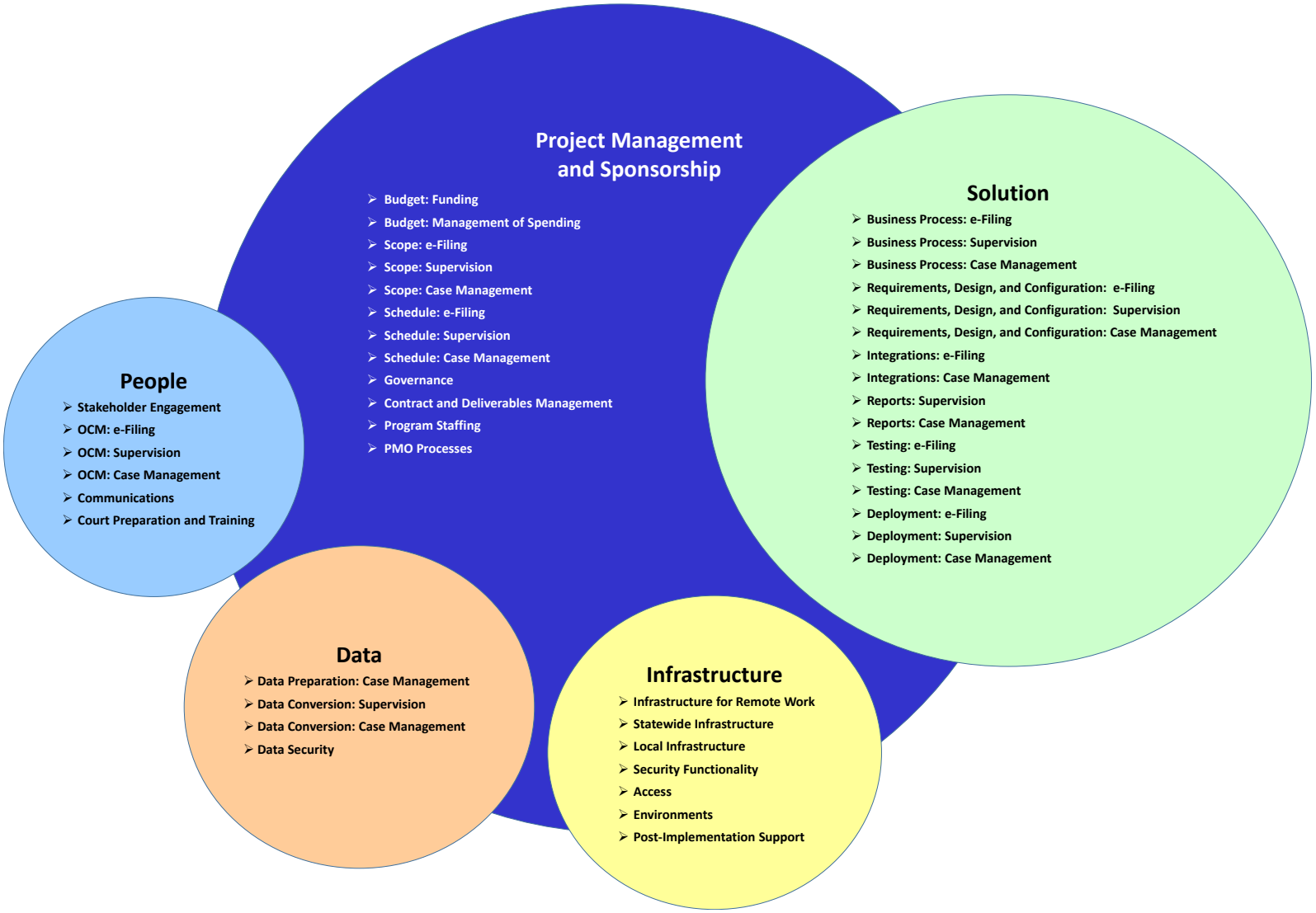

Figure 1. Areas of CLJ-CMS Project Assessed for Risks

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