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

September 2024

Prepared by

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bluecrane ®

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September 30, 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 September 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 September 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.

With the month of September drawing to a close, the Early Adopter go-live event scheduled for October 28, 2024, is less than a month away. The CLJ-CMS Project Team is focused on pre-go-live activities including:

- Working with Tyler to obtain fixes through "package" deliveries (i.e., software deliveries for specific needs that are provided outside of the regular "release" deliveries)
- User training which began on Monday, September 16
- Meeting with court staff from Early Adopter courts to confirm completion of readiness tasks and, where necessary, to assist in task completion

With respect to the first bulleted item above, Enterprise Justice release version 2022.1.12 was "promoted" to the Production environment on September 13. This release provided fixes to a number of defects that were outstanding at the time. With 2022.1.12 in production, attention is now focused on five defects that are deemed critical. Fixes for one of those defects was delivered on September 24 and is being tested. Fixes for the four remaining defects are expected to be delivered by Tyler on October 8 (three fixes) and October 15 (1 fix). Obviously, there will be limited time for testing those defects before the Early Adopter go-live, but the CLJ-CMS Project Team will be at-the-ready to move quickly when the software deliveries are made.

While the goal of the CLJ-CMS Project Team, AOC, Tyler, and all others involved is to address all critical defects by Early Adopter go-live, the CLJ-CMS Project Team has developed contingency plans in case some of the defects are not fixed by go-live. This is to be commended. It is a Best Practice and a sound approach. No system "goes live" with no defects at all, despite the best plans, commendable intentions, and diligent efforts of project staff. The important considerations are to (1) minimize critical defects, (2) have plans for dealing with outstanding issues at go-live, and (3) continue to move forward with correcting the defects as soon as practical after 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	**September 2024**	**August 2024**	**July 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	**September 2024**	**August 2024**	**July 2024**
PMO Processes	No Risk Identified	No Risk Identified	No Risk Identified

People			
Assessment Area	**September 2024**	**August 2024**	**July 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	**September 2024**	**August 2024**	**July 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	**September 2024**	**August 2024**	**July 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	Risk Being Addressed	Risk Being Addressed	No Risk Identified
Testing: Supervision	Risk Being Addressed	Risk Being Addressed	No Risk Identified
Testing: eFiling	Risk Being Addressed	Risk Being Addressed	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	**September 2024**	**August 2024**	**July 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	**September 2024**	**August 2024**	**July 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	Risk Being Addressed	Risk Being Addressed	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		
	Sept. 2024	August 2024	July 2024
	Risk Being Addressed	Risk Being Addressed	Risk Being Addressed

Findings

With the month of September drawing to a close, the Early Adopter go-live event scheduled for October 28, 2024, is less than a month away. The CLJ-CMS Project Team is focused on pre-go-live activities including:

- Working with Tyler to obtain fixes through “package” deliveries (i.e., software deliveries for specific needs that are provided outside of the regular “release” deliveries)
- User training which began on Monday, September 16
- Meeting with court staff from Early Adopter courts to confirm completion of readiness tasks and, where necessary, to assist in task completion

With respect to the first bulleted item above, Enterprise Justice release version 2022.1.12 was “promoted” to the Production environment on September 13. This release provided fixes to a number of defects that were outstanding at the time. With 2022.1.12 in production, attention is now focused on five defects that are deemed critical. Fixes for one of those defects was delivered on September 24 and is being tested. Fixes for the four remaining defects are expected to be delivered by Tyler on October 8 (three fixes) and October 15 (1 fix). Obviously, there will be limited time for testing those defects before the Early Adopter go-live, but the CLJ-CMS Project Team will be at-the-ready to move quickly when the software deliveries are made.

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 October 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 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		
	Sept. 2024	August 2024	July 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 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		
	Sept. 2024	August 2024	July 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 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		
	Sept. 2024	August 2024	July 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 Statement of Work (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		
	Sept. 2024	August 2024	July 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 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.

2.1.6 Scope: eFiling

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

2.1.7 Project Staffing

Project Management and Sponsorship			
Project Staffing	Three-Month Rolling Risk Levels		
	Sept. 2024	August 2024	July 2024
	Risk Being Addressed	Risk Being Addressed	Risk Being Addressed

Findings

We are 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		
	Sept. 2024	August 2024	July 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.

2.1.9 Budget: Funding

Project Management and Sponsorship			
Budget: Funding	Three-Month Rolling Risk Levels		
	Sept. 2024	August 2024	July 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		
	Sept. 2024	August 2024	July 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		
	Sept. 2024	August 2024	July 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		
	Sept. 2024	August 2024	July 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		
	Sept. 2024	August 2024	July 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		
	Sept. 2024	August 2024	July 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.

2.2.3 OCM: Supervision

People			
OCM: Supervision	Three-Month Rolling Risk Levels		
	Sept. 2024	August 2024	July 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		
	Sept. 2024	August 2024	July 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		
	Sept. 2024	August 2024	July 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		
	Sept. 2024	August 2024	July 2024
	Risk Being Addressed	Risk Being Addressed	Risk Being Addressed

Findings

User training for Early Adopter court staff began on Monday, September 16. Feedback has been positive thus far. At the end of the Early Adopter effort, the CLJ-CMS Project will assess the effectiveness of the training, especially with respect to changes that have been made since the Pilot Court effort to ensure that the training incorporates court business processes and not just instruction on software product use.

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 has worked to ensure a more effective training approach for the Early Adopter courts. The effectiveness of the changes will be evaluated after the training is completed.

2.3 Solution

2.3.1 Business Process: Case Management

Solution			
Business Process: Case Management	Three-Month Rolling Risk Levels		
	Sept. 2024	August 2024	July 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		
	Sept. 2024	August 2024	July 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		
	Sept. 2024	August 2024	July 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		
	Sept. 2024	August 2024	July 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		
	Sept. 2024	August 2024	July 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		
	Sept. 2024	August 2024	July 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		
	Sept. 2024	August 2024	July 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.

2.3.8 Integrations: eFiling

Solution			
Integrations: eFiling	Three-Month Rolling Risk Levels		
	Sept. 2024	August 2024	July 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		
	Sept. 2024	August 2024	July 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		
	Sept. 2024	August 2024	July 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		
	Sept. 2024	August 2024	July 2024
	Risk Being Addressed	Risk Being Addressed	No Risk Identified

Findings

The lack of the additional environments discussed elsewhere in this report complicates the testing. Given that the additional environments needed cannot be provided before Early Adopter go-live and that the Project has a viable approach to accomplishing the required testing and training for the go-live event, *bluecrane* assesses the risks in the areas of Testing and Environments as “Risk Being Addressed.” To clearly emphasize the point: there are risks, but the Project’s approach to mitigating and otherwise responding to the risks is sound. Of course, we strongly encourage AOC, the Project, and Tyler to provide the needed additional environments as soon as practical after the Early Adopter go-live so that this will not be a risk or issue to future deployment events.

2.3.12 Testing: Supervision

Solution			
Testing: Supervision	Three-Month Rolling Risk Levels		
	Sept. 2024	August 2024	July 2024
	Risk Being Addressed	Risk Being Addressed	No Risk Identified

Findings

The lack of additional environments to separate project activities (training, configuration development, testing, etc.) is a risk for testing. The Project has a sound approach for mitigating the risk. See discussion above under “Testing: Case Management.”

2.3.13 Testing: eFiling

Solution			
Testing: eFiling	Three-Month Rolling Risk Levels		
	Sept. 2024	August 2024	July 2024
	Risk Being Addressed	Risk Being Addressed	No Risk Identified

Findings

The lack of additional environments to separate project activities (training, configuration development, testing, etc.) is a risk for testing. The Project has a sound approach for mitigating the risk. See discussion above under “Testing: Case Management.”

2.3.14 Deployment: Case Management

Solution			
Deployment: Case Management	Three-Month Rolling Risk Levels		
	Sept. 2024	August 2024	July 2024
	Risk Being Addressed	Risk Being Addressed	Risk Being Addressed

Findings

Work is progressing with the Project Team, the 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 have not been determined. 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		
	Sept. 2024	August 2024	July 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 have not been determined. 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		
	Sept. 2024	August 2024	July 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 have not been determined. 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		
	Sept. 2024	August 2024	July 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		
	Sept. 2024	August 2024	July 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		
	Sept. 2024	August 2024	July 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		
	Sept. 2024	August 2024	July 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		
	Sept. 2024	August 2024	July 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		
	Sept. 2024	August 2024	July 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		
	Sept. 2024	August 2024	July 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. Early Adopter 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		
	Sept. 2024	August 2024	July 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		
	Sept. 2024	August 2024	July 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		
	Sept. 2024	August 2024	July 2024
	Risk Being Addressed	Risk Being Addressed	No Risk Identified

Findings

In prior QA reports, we have noted the importance of establishing more “environments” for eFile, Enterprise Supervision, Enterprise Justice, and Alliance in order to facilitate multiple streams of work while separating competing tasks and interests. As the reader may recall, Tyler provides environments for eFile, Enterprise Supervision, and Alliance (the Software-as-a-Service, or SaaS, products) while AOC provides environments for Enterprise Justice (a product that is hosted “on premises” at AOC). In August, some progress was made on providing additional environments. An Enterprise Supervision training environment was made available by Tyler on August 28. An eFile environment was provisioned and pending configuration on August 28. In addition, AOC made progress in August on working with its infrastructure vendors to provide essential components for AOC to be able to provide additional environments for Enterprise Justice. Despite this positive progress, Project Leadership determined on August 29 that the level of effort remaining to have all of the needed environments provisioned, configured, tested, and populated in time for Early Adopter training is simply too great with less than 60 days remaining before Early Adopter go-live.

Risks and Issues

Given that the additional environments needed cannot be provided before Early Adopter go-live and that the Project has a viable approach to accomplishing the required testing and training for the go-live event, *bluecrane* assesses the risks in the areas of Testing and Environments as “Risk Being Addressed.” To clearly emphasize the point: there are risks, but the Project’s approach to mitigating and otherwise responding to the risks is sound. Of course, we strongly encourage AOC, the Project, and Tyler to provide the needed additional environments as soon as practical after the Early Adopter go-live so that this will not be a risk or issue to future deployment events.

2.5.7 Post-Implementation Support

Infrastructure			
Post-Implementation Support	Three-Month Rolling Risk Levels		
	Sept. 2024	August 2024	July 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.

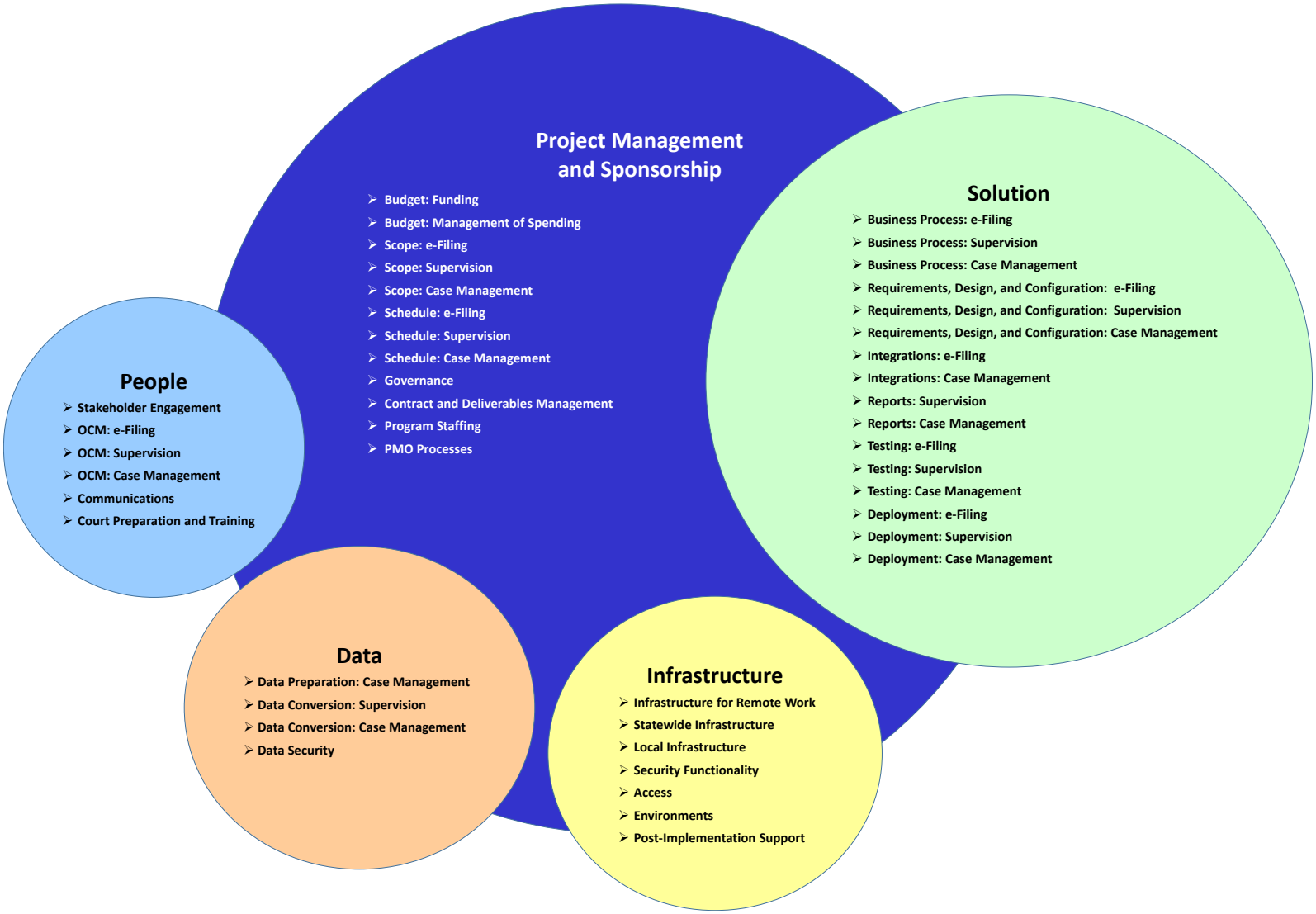

Figure 1. Areas of CLJ-CMS Project Assessed for Risks

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