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

November 2024

Prepared by

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November 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 November 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

Table of Contents

Introductory Note on Project Structure ..... **iv**

1. Executive Summary **1**

1.1 Executive Overview 1
1.2 Executive "At-a-Glance" QA Dashboard 3

2. Detailed Assessment Report **7**

2.1 Project Management and Sponsorship 7
2.1.1 Schedule: Case Management 7
2.1.2 Schedule: Supervision 8
2.1.3 Schedule: eFiling 8
2.1.4 Scope: Case Management 9
2.1.5 Scope: Supervision 9
2.1.6 Scope: eFiling 10
2.1.7 Project Staffing 11
2.1.8 Governance 11
2.1.9 Budget: Funding 12
2.1.10 Budget: Management of Spending 12
2.1.11 Contracts and Deliverables Management 12
2.1.12 PMO Processes 13
2.2 People 13
2.2.1 Stakeholder Engagement 13
2.2.2 OCM: Case Management 14
2.2.3 OCM: Supervision 14
2.2.4 OCM: eFiling 15
2.2.5 Communications 15
2.2.6 Court Preparation and Training 15
2.3 Solution 16
2.3.1 Business Process: Case Management 16
2.3.2 Business Process: Supervision 16
2.3.3 Business Process: eFiling 16
2.3.4 Requirements, Design, and Configuration: Case Management 17
2.3.5 Requirements, Design, and Configuration: Supervision 17
2.3.6 Requirements, Design, and Configuration: eFiling 18
2.3.7 Integrations: Case Management 18
2.3.8 Integrations: eFiling 18
2.3.9 Reports: Case Management 19
2.3.10 Reports: Supervision 19
2.3.11 Testing: Case Management 19
2.3.12 Testing: Supervision 20
2.3.13 Testing: eFiling 20
2.3.14 Deployment: Case Management 21
2.3.15 Deployment: Supervision 21
2.3.16 Deployment: eFiling 22

2.4 Data 22
2.4.1 Data Preparation: Case Management 22
2.4.2 Data Conversion: Case Management 23
2.4.3 Data Conversion: Supervision 23
2.4.4 Data Security 23
2.5 Infrastructure 24
2.5.1 Infrastructure for Remote Work 24
2.5.2 Statewide Infrastructure 24
2.5.3 Local Infrastructure 25
2.5.4 Security Functionality 25
2.5.5 Access 25
2.5.6 Environments 26
2.5.7 Post-Implementation Support 27

Appendix: Overview of *bluecrane* Risk Assessment Approach 28

Table of Figures

Figure 1. Areas of CLJ-CMS Project Assessed for Risks 29

Table of Tables

Table 1. Summary Dashboard of QA Assessment Results 3

Table 2. bluecrane's Risk Assessment Categorization 30

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 November 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.

As most, if not all, readers of this report are aware, AOC systems were down on Monday, November 4, following the detection of unauthorized activity over the prior weekend. In an abundance of caution, AOC proactively took down systems and worked around the clock to secure them and restore services as quickly as possible. Systems were back on-line on Monday, November 18, after a two-week long interruption.

The security incident and the system downtime which followed were not related to the CLJ-CMS Project specifically. However, the Early Adopter (EA) Courts had gone live only one week earlier on Monday, October 28, and found themselves, like almost all other courts in the State, missing critical automated services. Following the two-week interruption, EA Courts began to restore business processes to leverage the new solution and pick up where things were left at the end of the first week following deployment.

The CLJ-CMS Project offered "office hours" 8:00am – 5:00pm, Monday through Friday, November 18 – 22, for EA and Pilot courts to get quick responses to questions and issues. The CLJ-CMS Project provided the EA and Pilot Courts with additional job aids recommending (but not requiring) approaches to take as systems and business processes were being restored. In general, the CLJ-CMS Project re-started activities originally planned for "Week 2" following EA go-live, but in a remote model rather than an on-site model. At the same time, the CLJ-CMS Project worked to get staff out to several specific EA courts that had requested on-site assistance.

Of course, the security issue, resolution, and recovery consumed AOC leadership attention and resources for the first half of November, as it should have. While progress stalled on establishing the new "environments" that we have discussed in prior QA reports, that work is expected to get back on track now. In the meantime, all components for new training environments are in place but not yet "connected." In addition, the CLJ-CMS Project was notified on Monday, November 18, that they now have access to what Tyler calls "Alliance Community Builder" or "ACB." This access should provide the Project with more insight into Alliance which has heretofore been anything but transparent.

Similarly, due to the outage, there has been little attention devoted to the issues related to project-level governance that selects and prioritizes defects that need addressing. We highlighted those issues in our October 2024 QA Report. As we said in October, we have assessed the risks in this area as "being addressed" with a color coding of blue. While the weekly meetings and various tracking mechanisms for defects and fixes have maintained a spotlight on problems that need addressing, there is clearly a shortfall in terms of effectiveness, given that the EA courts "went live" with outstanding defects that have been present, in some cases, for long periods of time. As we noted in October, the current

approach is unsustainable for the CLJ-CMS Project. We encourage AOC and Tyler to make this topic a top priority at their next strategic planning meeting which is currently scheduled to occur in January.

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	**November 2024**	**October 2024**	**September 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	**November 2024**	**October 2024**	**September 2024**
PMO Processes	No Risk Identified	No Risk Identified	No Risk Identified

People			
Assessment Area	**November 2024**	**October 2024**	**September 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	**November 2024**	**October 2024**	**September 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	**November 2024**	**October 2024**	**September 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	Risk Being Addressed
Testing: Supervision	Risk Being Addressed	Risk Being Addressed	Risk Being Addressed
Testing: eFiling	Risk Being Addressed	Risk Being Addressed	Risk Being Addressed
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	**November 2024**	**October 2024**	**September 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	**November 2024**	**October 2024**	**September 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	Risk Being Addressed
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		
	Nov. 2024	Oct. 2024	Sept. 2024
	Risk Being Addressed	Risk Being Addressed	Risk Being Addressed

Findings

The AOC systems were down on Monday, November 4, following the detection of unauthorized activity over the prior weekend. In an abundance of caution, AOC proactively took down systems and worked around the clock to secure them and restore services as quickly as possible. Systems were back on-line on Monday, November 18, after a two-week long interruption.

The security incident and the system downtime which followed were not related to the CLJ-CMS Project specifically. However, the EA Courts had gone live only one week earlier on Monday, October 28, and found themselves, like almost all other courts in the State, missing critical automated services. Following the two-week interruption, EA Courts began to restore business processes to leverage the new solution and pick up where things were left at the end of the first week following deployment. The AOC and the CLJ-CMS Project left it up to individual courts how to handle returning to “normal” business processes. Some courts that have non-AOC systems, such as their own document management solutions, OCourt, etc., were able to continue using those systems during the interruption to AOC systems.

On Monday and Tuesday, November 18 – 19, the CLJ-CMS offered “office hours” for EA courts to get quick responses to questions and issues. The CLJ-CMS Project provided the EA and Pilot Courts with additional job aids recommending (but not requiring) approaches to take as systems and business processes were being restored. In general, the CLJ-CMS Project re-started activities originally planned for “Week 2” following EA go-live, but in a remote model rather than an on-site model. At the same time, the CLJ-CMS Project worked to get staff out to several specific EA courts that had requested on-site assistance.

Risks and Issues

Risk 1: The speed of resolution of production support issues and other defects is emerging as a risk to the success of future deployments.

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		
	Nov. 2024	Oct. 2024	Sept. 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 production support issues and other defects is emerging as a risk to the success of future deployments.

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		
	Nov. 2024	Oct. 2024	Sept. 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 production support issues and other defects is emerging as a risk to the success of future deployments.

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		
	Nov. 2024	Oct. 2024	Sept. 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		
	Nov. 2024	Oct. 2024	Sept. 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 has received an initial, rudimentary plan from Tyler that AOC is reviewing. A key concern for the CLJ-CMS Project will be whether there are impacts to the Project's resources (which, as noted above, could disrupt the CLJ-CMS deployment timeline). *This is another example of the need for all parties to coordinate and present a credible, united front.*

2.1.6 Scope: eFiling

Project Management and Sponsorship			
Scope: eFiling	Three-Month Rolling Risk Levels		
	Nov. 2024	Oct. 2024	Sept. 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		
	Nov. 2024	Oct. 2024	Sept. 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 six vacant positions. 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		
	Nov. 2024	Oct. 2024	Sept. 2024
	Risk Being Addressed	Risk Being Addressed	Risk Being Addressed

Findings

Because of the security-related outage during the first two weeks of November, there has been little attention devoted to the issues related to project-level governance that selects and prioritizes defects that need addressing. We highlighted those issues in our October 2024 QA Report. As we said in October, we have assessed the risks in this area as “being addressed” with a color coding of blue. While the weekly meetings and various tracking mechanisms for defects and fixes have maintained a spotlight on problems that need addressing, there is clearly a shortfall in terms of effectiveness, given that the EA courts “went live” with outstanding defects that have been present, in some cases, for long periods of time. As we noted in October, the current approach is unsustainable for the CLJ-CMS Project. We encourage AOC and Tyler to make this topic a top priority at their next strategic planning meeting which is currently scheduled to occur in January.

2.1.9 Budget: Funding

Project Management and Sponsorship			
Budget: Funding	Three-Month Rolling Risk Levels		
	Nov. 2024	Oct. 2024	Sept. 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		
	Nov. 2024	Oct. 2024	Sept. 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		
	Nov. 2024	Oct. 2024	Sept. 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		
	Nov. 2024	Oct. 2024	Sept. 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		
	Nov. 2024	Oct. 2024	Sept. 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		
	Nov. 2024	Oct. 2024	Sept. 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		
	Nov. 2024	Oct. 2024	Sept. 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		
	Nov. 2024	Oct. 2024	Sept. 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		
	Nov. 2024	Oct. 2024	Sept. 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 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		
	Nov. 2024	Oct. 2024	Sept. 2024
	Risk Being Addressed	Risk Being Addressed	Risk Being Addressed

Findings

Training for the EA courts was conducted as planned. The Project intends to assess “lessons learned” and make adjustments, if and as needed, for the next go-live event.

2.3 Solution

2.3.1 Business Process: Case Management

Solution			
Business Process: Case Management	Three-Month Rolling Risk Levels		
	Nov. 2024	Oct. 2024	Sept. 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		
	Nov. 2024	Oct. 2024	Sept. 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		
	Nov. 2024	Oct. 2024	Sept. 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		
	Nov. 2024	Oct. 2024	Sept. 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		
	Nov. 2024	Oct. 2024	Sept. 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		
	Nov. 2024	Oct. 2024	Sept. 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		
	Nov. 2024	Oct. 2024	Sept. 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 was recently concluded.

2.3.8 Integrations: eFiling

Solution			
Integrations: eFiling	Three-Month Rolling Risk Levels		
	Nov. 2024	Oct. 2024	Sept. 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		
	Nov. 2024	Oct. 2024	Sept. 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		
	Nov. 2024	Oct. 2024	Sept. 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		
	Nov. 2024	Oct. 2024	Sept. 2024
	Risk Being Addressed	Risk Being Addressed	Risk Being Addressed

Findings

The lack of the additional environments discussed elsewhere in this report complicates testing. We strongly encourage AOC, the Project, and Tyler to provide the needed additional environments as soon as practical so that this will not be a risk to or issue with future deployment events.

2.3.12 Testing: Supervision

Solution			
Testing: Supervision	Three-Month Rolling Risk Levels		
	Nov. 2024	Oct. 2024	Sept. 2024
	Risk Being Addressed	Risk Being Addressed	Risk Being Addressed

Findings

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

2.3.13 Testing: eFiling

Solution			
Testing: eFiling	Three-Month Rolling Risk Levels		
	Nov. 2024	Oct. 2024	Sept. 2024
	Risk Being Addressed	Risk Being Addressed	Risk Being Addressed

Findings

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

2.3.14 Deployment: Case Management

Solution			
Deployment: Case Management	Three-Month Rolling Risk Levels		
	Nov. 2024	Oct. 2024	Sept. 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		
	Nov. 2024	Oct. 2024	Sept. 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		
	Nov. 2024	Oct. 2024	Sept. 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		
	Nov. 2024	Oct. 2024	Sept. 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		
	Nov. 2024	Oct. 2024	Sept. 2024
	No Risk Identified	No Risk Identified	No Risk Identified

Findings

Data conversion for the EA courts was successfully accomplished.

2.4.3 Data Conversion: Supervision

Data			
Data Conversion: Supervision	Three-Month Rolling Risk Levels		
	Nov. 2024	Oct. 2024	Sept. 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		
	Nov. 2024	Oct. 2024	Sept. 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		
	Nov. 2024	Oct. 2024	Sept. 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		
	Nov. 2024	Oct. 2024	Sept. 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		
	Nov. 2024	Oct. 2024	Sept. 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.

2.5.4 Security Functionality

Infrastructure			
Security Functionality	Three-Month Rolling Risk Levels		
	Nov. 2024	Oct. 2024	Sept. 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		
	Nov. 2024	Oct. 2024	Sept. 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		
	Nov. 2024	Oct. 2024	Sept. 2024
	Risk Being Addressed	Risk Being Addressed	Risk Being Addressed

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).

Of course, the security issue, resolution, and recovery consumed AOC leadership attention and resources for the first half of November, as it should have. While progress stalled on establishing the new “environments” that we have discussed in prior QA reports, that work is expected to get back on track now. In the meantime, all components for new training environments are in place but not yet “connected.” In addition, the CLJ-CMS Project was notified on Monday, November 18, that they now have access to what Tyler calls “Alliance Community Builder” or “ACB.” This access should provide the Project with more insight into Alliance which has heretofore been anything but transparent.

Risks and Issues

For the EA deployment, the Project had a viable approach to accomplishing the required testing and training. For this reason, *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 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		
	Nov. 2024	Oct. 2024	Sept. 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.

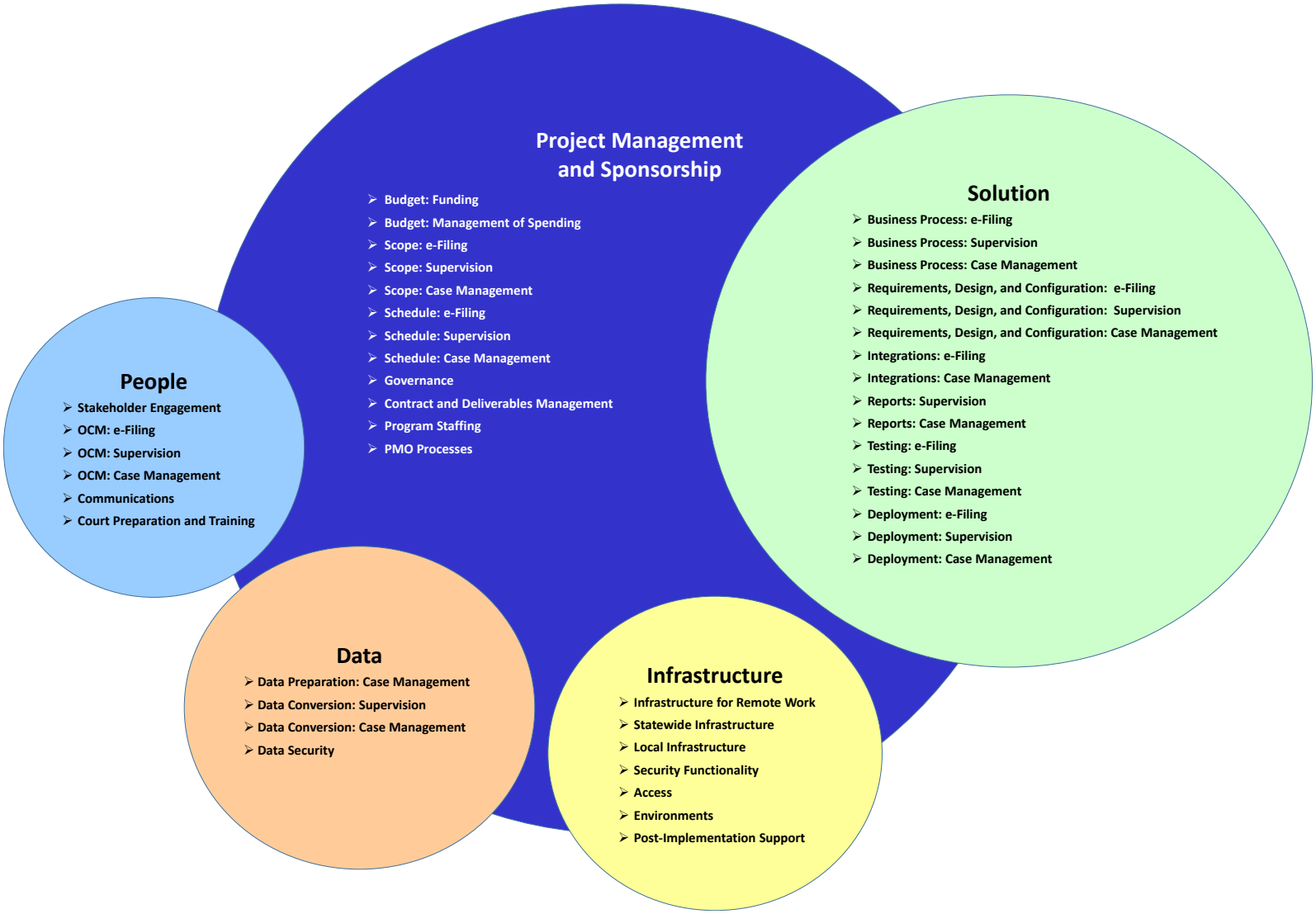

Figure 1. Areas of CLJ-CMS Project Assessed for Risks

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