

## ANALYSIS

### Department of Justice Legal Tools Replacement Project 3.0

---

**Analyst:** John Borden

**Request:** Acknowledge receipt of a report on the Legal Tools Replacement Project 3.0.

**Analysis:** The budget report for SB 5506 (2023), the omnibus budget measure, included the following budget note for the Department of Justice (DOJ):

The Department of Justice is directed to report to the Joint Legislative Committee on Information Management and Technology and the Joint Committee on Ways and Means prior to the 2024 legislative session on the status of the Legal Tools Replacement Project 3.0. The agency's reports to the Legislature shall include: (a) updates on project scope, schedule, budget, and total cost of ownership; (b) current project risks, likely impacts, and mitigation strategies; (c) independent quality assurance reporting; (d) Department of Administrative Services project reporting and direction; (e) client agency involvement in the planning and governance of the project; and (d) other information that helps inform the Legislature on the status of the project or issues that have arisen as the result of the project.

The genesis of the budget note is the Legislature's desire to monitor the status of DOJ's Legal Tools Replacement Project 3.0 (LTR 3.0) given the project's underlying importance and after two prior failed attempts to complete the project. The LTR 3.0 project is important because DOJ requires an electronic application to manage the agency's legal information efficiently and effectively for approximately 345 attorneys and 142 staff that bill approximately 100 client agencies an estimated \$323 million per biennium in hourly fees.

DOJ's current legal matter management "system" is a compilation of loosely coupled and dated applications, including: matter management (cases, events, parties to the case, etc.); document management (files and storage, etc.); time capture; client billing; and various custom linkages to office applications and system security. LTR 3.0's purpose is to replace these applications with a single commercial-off-the-shelf (COTS) solution. LTR 3.0 will not replace eDiscovery and the agency previously completed a document management project.

The LTR 3.0 project was originally approved by the 2015 Legislature and then reauthorized by subsequent legislatures and has been fully resourced by the Legislature. The 2023-25 legislatively adopted budget for the project totals \$3.9 million General Fund and \$21.2 million Other Funds and 22 limited duration positions (22.00 FTE). The source of the Other Funds is Article XI-Q general obligation bond proceeds. There is also \$2.5 million Other Funds for debt service to be paid from legal service billings to client agencies and \$320,000 Other Funds for the cost of the bond issuance from Article XI-Q bond proceeds. Of the Article XI-Q bond proceeds, \$7.2 million is for the 2025-27 biennium. Early after legislative bond approval, DOJ delayed a \$5 million bond sale from October 2023 to May 2024 to align with the vendor implementation timeline, which will result in unanticipated debt service savings.

DOJ's estimate of the cost of planning and implementing the project is between \$19.5 million and \$58.5

million. Total project costs, including ongoing operations and maintenance, will not be known until after a vendor solution has been contracted. After submission of the report, however, DOJ has reported selecting a vendor with a Microsoft platform-based product to replace the legacy case management, timekeeping, and billing applications. The amount of configuration to the COTS solution by DOJ is unstated in the report.

Oversight of the project includes the Department of Administrative Services - Enterprise Information Services (DAS-EIS) through the Stage Gate process and an independent quality management vendor (IQMS). DAS-EIS is only providing oversight of the four-component project within LTR 3.0 (Solution Implementation Legacy Systems, Ancillary Systems, and Business Transition) and provides no oversight for the overall program-level effort. IQMS is currently rating the status of the project as "Yellow" due primarily to the unknown costs of the vendor solution and the possibility that General Fund for non-bondable expenditures may be insufficient in the current biennium.

DOJ project management reporting also categorizes the project's status as "Yellow" primarily until: (a) the baseline schedule includes implementation activities (to be completed in collaboration with selected solution vendor in Q3 2024); and (b) requests to be reimbursed for General Fund expenditures on bondable items (Other Funds) are approved by DAS Capital Finance and the budget amount is shown to be sufficient for the selected product. DOJ categorizes the project scope as being "Green," noting that the scope is stable and is being properly managed through the change control process.

To-date, participation by client agencies in the LTR 3.0 project has been limited to several members of the Executive Steering Committee. DOJ is establishing a Stakeholder Engagement Committee, but that Committee will have had no input on the vendor or product selection.

In summary, the project is progressing, but the final scope, schedule, and budget are yet-to-be determined.

**Legislative Fiscal Office Recommendation:** The Legislative Fiscal Office recommends that the Joint Committee on Ways and Means acknowledge receipt of the report.

**Request:** Report on Senate Bill 5506 (2023) budget note regarding the status of the Legal Tools Project 3.0 by the Department of Justice (DOJ).

**Recommendation:** Acknowledge receipt of the report.

**Discussion:** As part of a budget note in Senate Bill 5506 (2023), DOJ was directed to report to the Joint Legislative Committee on Information Management and Technology and the Joint Committee on Ways and Means prior to the 2024 Legislative Session on the status of the Legal Tools Project 3.0. The report was directed to include updates on project scope, schedule, budget, and total cost of ownership; current project risks, likely impacts, and mitigation strategies; independent quality assurance reporting; Department of Administrative Services (DAS) project reporting and direction; client agency involvement in the planning and governance of the project; and other information that helps inform the Legislature on the status of the project or issues that have arisen as the result of the project.

DOJ's report provides the requested update on the Legal Tools Replacement Project 3.0, a program to modernize the Department's case management, timekeeping, and billing systems. DOJ reports that the project health status is yellow, indicating a moderate level of risk. The scope is presented as stable, but the schedule and budget are subject to potential delays and shortfalls due to procurement, Stage Gate approvals, bond sales, and vendor selection. DOJ has identified, and is monitoring, 27 risks and has implemented mitigation strategies for each. The top risks include ineffective interagency coordination, cloud readiness, immature organizational change management, procurement delays, and potential budget shortfall between planning and implementation.

DOJ reports the health of the project scope as green, and schedule and budget health as yellow, indicating a moderate risk. Schedule health remains yellow until they begin implementation with a vendor, and budget health will remain yellow until they begin being reimbursed for bondable activities. DOJ has moved its bond sale from October 2023 to May 2024 to align with the vendor implementation timeline. Delays mentioned in the report include delays in filling project positions and procurement support delays.

DOJ is working with NTT Data, an independent quality assurance contractor, to provide oversight and recommendations for improving the Department's outputs and outcomes. The project team is also following the reporting and direction from the DAS Enterprise Information Services, Procurement Services, and Capital Finance teams. DOJ is engaging client agencies in the planning and governance of the project, through stakeholder surveys, interviews, focus groups, and a stakeholder engagement committee. The project team is also providing regular communication and updates to the client agencies on the project status and benefits. DOJ is providing additional information on the request for proposals and vendor selection status, the governance structure, the benefits management and realization plan, and the roles of the planning and integration contractor (Deloitte) and the advisory services contractor (Info-Tech Research Group).



DEPARTMENT OF JUSTICE

Justice Building  
1162 Court Street NE  
Salem, Oregon 97301-4096  
Telephone: (503) 378-6002

January 9, 2024

Senator Elizabeth Steiner, Co-Chair  
Representative Tawna Sanchez, Co-Chair  
Interim Joint Committee on Ways and Means  
900 Court Street NE  
H-178 State Capitol  
Salem, OR 97301

Dear Co-Chairs Steiner and Sanchez:

**Nature of the Request**

The Oregon Department of Justice requests that the committee acknowledge receipt of this written report on the status of the Legal Tools Replacement Project.

**Agency Action**

The Oregon Department of Justice is responding to the following budget note:

**SB 5506 Budget Report**

**Budget Note:** The Department of Justice is directed to report to the Joint Legislative Committee on Information Management and Technology and the Joint Committee on Ways and Means prior to the 2024 legislative session on the status of the Legal Tools Replacement Project 3.0. The agency's reports to the Legislature shall include: (a) updates on project scope, schedule, budget, and total cost of ownership; (b) current project risks, likely impacts, and mitigation strategies; (c) independent quality assurance reporting; (d) Department of Administrative Services project reporting and direction; (e) client agency involvement in planning and governance of the project; and (f) other information that helps inform the Legislature on the status of the project or issues that have arisen as a result of the project.

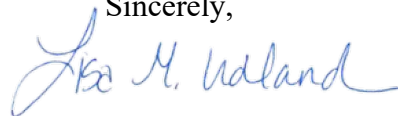
Senator Elizabeth Steiner, Co-Chair  
Representative Tawna Sanchez, Co-Chair  
January 9, 2024  
Page 2

Department representatives will be making a presentation to the committee and the department is also submitting the attached report to provide more complete and detailed information in response to the budget note.

### **Action Requested**

The Department of Justice requests that the Joint Committee on Ways and Means acknowledge receipt of the report.

Sincerely,

A handwritten signature in blue ink that reads "Lisa M. Udland". The signature is fluid and cursive, with the first name "Lisa" being particularly prominent.

LISA M. UDLAND  
Deputy Attorney General

cc: Richard Rylander, Chief Information Officer, DOJ  
Bill O'Donnell, Chief Financial Officer, DOJ  
John Borden, Principal Legislative Analyst, LFO  
Zachary Gehringer, Policy and Budget Analyst, DAS Chief Financial Officer



# LEGAL TOOLS

State of Oregon Department of Justice

---

## 2024 Budget Note Report

January 3, 2024

# Contents

- 1. Executive Summary ..... 4
- 2. Program Updates and Status ..... 6
  - 2.1. Scope Status..... 6
  - 2.2. Schedule Update ..... 7
    - 2.2.1. Solution Implementation Project Schedule Update ..... 7
    - 2.2.2. Legacy Systems Project Schedule Update ..... 7
    - 2.2.3. Ancillary Systems Project Schedule Update..... 7
    - 2.2.4. Business Transition Project Schedule Update ..... 8
  - 2.3. Budget Status ..... 9
  - 2.4. Total Cost of Ownership..... 12
- 3. Risk Management ..... 13
  - 3.1. Top Risks, Impacts and Mitigation Strategies ..... 13
- 4. Independent Quality Assurance (iQMS) Reporting..... 14
- 5. Department of Administrative Services Reporting and Direction ..... 15
  - 5.1. Enterprise Information Services..... 15
  - 5.2. Department of Administrative Services Procurement Services..... 15
  - 5.5. DAS Capital Finance ..... 15
- 6. Client Agency Involvement ..... 16
- 7. Additional Information..... 17
  - 7.1. Request for Proposals and Vendor Selection Status..... 17
  - 7.2. Program Governance ..... 17
    - 7.2.1. Program Structure ..... 17
    - 7.2.2. Quality Control/Quality Assurance ..... 17
    - 7.2.2. Change Control..... 18
    - 7.2.4. Executive Steering Committee ..... 20
    - 7.2.5. Stakeholder Engagement Committee ..... 20
    - 7.2.6. Legal Tools Roles & Responsibilities Matrix ..... 21
  - 7.3. Benefits Management & Realization ..... 21
  - 7.4. Deloitte, Planning & Integration Contractor..... 21
  - 7.5. Info-Tech Research Group, Advisory Services Contractor ..... 23
- Appendix A – Budget Note..... 25
- Appendix B – Program Organizational Chart ..... 26

Appendix C – Risk Log .....	27
Appendix D – Executive Steering Committee Organizational Chart .....	33
Appendix E – Change Request Process Flowchart .....	34
Appendix F – Vendor Recommendations Log .....	35

**Tables**

Table 1 Legal Tools Health and Status Overview as of November 2023 .....	6
Table 3 Legal Tools Change Request Rating and Governance Authority .....	19
Table 4 Legal Tools Risk Log .....	27
Table 5 Vendor Recommendations Log - In Progress Recommendations .....	35

**Figures**

Figure 1 Legal Tools 2023-25 Spending Plan vs. Actual Expenditures .....	9
Figure 2 Legal Tools 2023-25 Spending Plan and General Fund Burndown .....	11
Figure 3 Legal Tools Program Organizational Chart.....	26
Figure 4 Legal Tools Executive Steering Committee Organizational Chart.....	33
Figure 5 Legal Tools Change Request Process Flowchart .....	34

# 1. Executive Summary

## **Purpose**

The purpose of this document is to report on the required items outlined in the SB 5506 (2023) Budget Note for the Legal Tools Replacement Project 3.0, hereby referred to as “Legal Tools” or “the program.” The Budget Note directed The Oregon Department of Justice (DOJ) to report to the Joint Legislative Committee on Information Management and Technology (JLCIMT) on the status of the DOJ’s Legal Tools Replacement Project 3.0.

In response to the Budget Note, this report provides: (a) updates on project scope, schedule, budget, and total cost of ownership; (b) current project risks, likely impacts, and mitigation strategies; (c) independent quality assurance reporting; (d) Department of Administrative Services project reporting and direction; (e) client agency involvement in the planning and governance of the project; and (d) other information to help inform the Legislature on the status of the project or issues that have arisen as the result of the project.

## **Background**

DOJ is Oregon’s largest public law firm, serving state government and supporting safe and healthy communities throughout Oregon by providing essential legal services. DOJ was established by the Oregon Legislature in 1947, and today employs over 1,400 employees statewide. DOJ has an annual budget of \$813 million.

As Oregon’s chief law officer, the Attorney General represents the state in all court actions and legal proceedings (including appeals) in which the state is a party or has an interest, including cases involving elected and appointed state officials, and state agencies, boards, and commissions. DOJ also acts as the state’s in-house counsel and provides a broad range of legal services to state agencies, boards, and commissions, including day-to-day legal advice and representing state agencies in administrative hearings.

In addition to traditional legal services, DOJ operates several regulatory and service programs. These include the Consumer Hotline and Consumer Complaint process, the Crime Victims Compensation Fund, Address Confidentiality Program, Tobacco Master Settlement Agreement Enforcement (including publication of a directory of products approved for sale in Oregon), and regulation of Charitable entities (including publication of a database of registered charities).

DOJ’s work is divided among nine divisions, eight of which are impacted by the program: Appellate, Child Advocacy and Protection, Civil Enforcement, Criminal Justice, General Counsel, Trial, Crime Victim and Survivor Services, and Administrative Services. The remaining division, Child Support, is supported by the Origin System, which is not a part of this program.

## **Legacy Legal Software**

As DOJ employees work on their various legal matters and tasks, it is important that they have one location in which to store case information (e.g., similar to an electronic file folder) so that it is easily accessible by all members of the relevant team. DOJ currently uses homegrown case management systems referred to internally as “Matter Management” or “MatMan.”

Much of DOJ's legal work is funded through hourly billings to client agencies. Attorneys and staff track time in an online timekeeping system that coordinates with DOJ's billing system. In order to support DOJ's legal budget, which is housed in DOJ's Legal Fund, it is critical that employees are able to efficiently bill their time and that accurate and timely bills are sent to client agencies.

### **Legal Tools Program**

Legal Tools is an Oregon Department of Justice modernization program aimed at replacing the agency's legacy case management and associated timekeeping and billing systems with a new, integrated solution.

DOJ's legacy case management systems were built in-house in the 1990s and are challenging to support. These antiquated systems have created numerous data silos, resulting in data duplication and unnecessary manual work.

DOJ's billing system is at end-of-life. There have been no available updates from the vendors for years, meaning security vulnerabilities are not being addressed. Vendor support for the timekeeping system that tracks billable hours has been unsatisfactory and is unreasonably costly.

While these three systems, and the many ancillary systems built or acquired to support them, represent what should be a unified workflow, they are disjointed and lack the integration and functionality inherent in most modern case management systems. Modernizing our legal toolset will allow DOJ to provide clients and constituents better services and value.

Legal Tools is a multi-biennia program funded for the 2023-2025 biennium by Senate Bill 5506 through a one-time General Fund appropriation of \$3.9 million and Other Funds expenditure limitation of \$13.9 million. The program is anticipated to be complete in 2027. Legal Tools will provide DOJ with an integrated set of tools to unify user experiences as they move through their case, time, and billing management workflows. The program will also provide DOJ with access to a suite of reports and data analytics that will allow the agency to respond quickly and accurately to client inquiries and legislative requests for information and provide a powerful set of tools to manage data-driven workflows.

Legal Tools will generate value by meeting the following primary objectives:

- Implement a new solution for case management and associated timekeeping and billing
- Decommission legacy systems (12 instances of Matter Management, Carpe Diem, and Elite)
- Decommission or integrate 40+ related ancillary systems with the new solution
- Support stakeholders through organizational change management, business process redesign, cloud readiness, training, and communication

Value to DOJ

- Improved reporting capabilities
- Cleaner and more reliable data to support data-driven decision making
- Increased attorney and staff efficiency and productivity
- Reduced security risks
- Empowering users through modern workflows

Value to Client Agencies

- Enhanced ability to submit and access necessary information, including billing information
- Reduction in inquiry response time from DOJ

## Value to Oregonians

- Enhanced data security

The following sections provide specific information in response to each of the categories outlined in the Budget Note for SB 5506 (2023).

## 2. Program Updates and Status

The Legal Tools project management team follows a conservative and realistic approach to reporting on the health status of the program and its component projects, only reporting green status when indicators are truly low risk. This approach has proven to allow for honest discussions and collaboration around mitigation strategies to ensure the program remains on track and continues delivering quality and value.

As of the November 2023 monthly status report, the Legal Tools program health status is yellow, indicating a moderate level of risk. Program health is a cumulative indicator of the program’s scope health, schedule health, and budget health. Scope health is green, as scope is stable and is being properly managed through the program’s change control process. Schedule health is also yellow and will remain so until project schedule baselines include implementation activities, which will happen after the solution vendor is onboarded and implementation activities are scheduled. Finally, budget health will remain yellow until the program receives approval from DAS Capital Finance to capitalize bondable activities occurring July 2023 – December 2023, mitigating risks associated with available General Funds. Additional information regarding the program’s scope, schedule, and budget health is detailed in section two.

The following table represents the health and status of each indicator for the program as reported in the November 2023 monthly status report.

*Table 1 Legal Tools Health and Status Overview as of November 2023*

Indicator	Health	Status
Scope	● Green	Scope is stable and is being properly managed through the change control process.
Schedule	● Yellow	Schedule health remains yellow until baseline schedule includes implementation activities (to be completed in collaboration with selected solution vendor in Q3 2024).
Budget	● Yellow	Budget health remains yellow until requests to be reimbursed for General Fund expenditures on bondable items (Other Funds) are approved by DAS Capital Finance and the budget amount is shown sufficient for the selected product.

### 2.1. Scope Status

On January 18<sup>th</sup>, 2023, the Legal Tools Executive Steering Committee approved the organization of the program into four component projects, now officially recognized by Department of Administrative Services Enterprise Information Services (EIS). This structure provides clarity, focus, and organization of the work necessary to meet program objectives.

**Solution Implementation Project** – all processes included in the procurement, configuration, testing, and implementation of a new case management, timekeeping, and billing management solution.

**Legacy Systems Project** – all processes included in the decommissioning of Matter Management (12 disparate case management systems), Carpe Diem (timekeeping system), and Elite (billing management system), including data migration activities.

**Ancillary Systems Project** – all processes included in the rationalization of, and either decommissioning or retaining of, DOJ's more than 40 ancillary systems that currently support legacy case management, timekeeping, and/or billing management systems, including data migration activities.

**Business Transition Project** – all processes included in organizational change management, training, communications, business process redesign, change request management, and cloud readiness.

## 2.2. Schedule Update

Schedules for each project have been developed up to implementation.

### 2.2.1. Solution Implementation Project Schedule Update

The Solution Implementation Project is focused on vendor selection and the RFP process. The RFP evaluation committee completed Round 1 of the RFP evaluations on November 17, 2023. Amendment 2 for the RFP was posted on December 1, 2023, announcing the four solution vendors that will move forward to Round 2. These vendors will be doing product demonstrations with the evaluation committee in mid to late December. Additional Round 2 activities will include interviews with key vendor staff and may include a review of final cost proposals and client reference checks. Activities, deliverables, and milestones have been established and completed and endorsement by DAS Enterprise Information Services (EIS) has been received for Stage Gate 1 and Stage Gate 2.

### 2.2.2. Legacy Systems Project Schedule Update

The Legacy Systems Project schedule continues to be developed. Activities, deliverables, and milestones have been established and completed for the initiation phase including Stage Gate 1 endorsement by DAS Enterprise Information Services (EIS). Stage Gate 2/3 endorsement for planning and execution is pending approval by EIS. System documentation completed in 2022 is now being reviewed and updated as necessary in preparation for vendor onboarding. Also underway is systems and data mapping and reconciliation activities including contextual data mapping tasks (mapping all the ways data is ingested into the systems and all the places it is stored). These activities are necessary for successful data migration from legacy systems to the new solution.

### 2.2.3. Ancillary Systems Project Schedule Update

As with the other component projects, the Ancillary System Project schedule continues to be developed. Currently, contextual data mapping tasks are being added into the schedule. From a program perspective, the legacy system contextual mapping tasks are taking priority over the ancillary system tasks, so as not to over allocate resources. To date, the Ancillary System Project team has worked on detailed documentation of ancillary systems in preparation for vendor onboarding, received Stage Gate 1, and has requested Stage Gate 2/3 endorsement. The team is working on an application rationalization framework with Info-Tech Research Group to support decision making on which ancillary systems will be retired or retained (see section 7.5).

#### 2.2.4. Business Transition Project Schedule Update

The Business Transition Project schedule continues development as we prepare for implementation. Activities, deliverables, and milestones have been established and completed for the initiation phase and are being solidified in the planning phase as we work towards vendor onboarding. The current priority is identifying and decomposing the work breakdown structure for business process reengineering, which is critical to the successful implementation and acceptance of the new solution, and the development of the benefits management plan. To date, the Business Transition Project team has completed the Organizational Change Management Plan, the Training Management Plan, and received Stage Gate 1 endorsement.

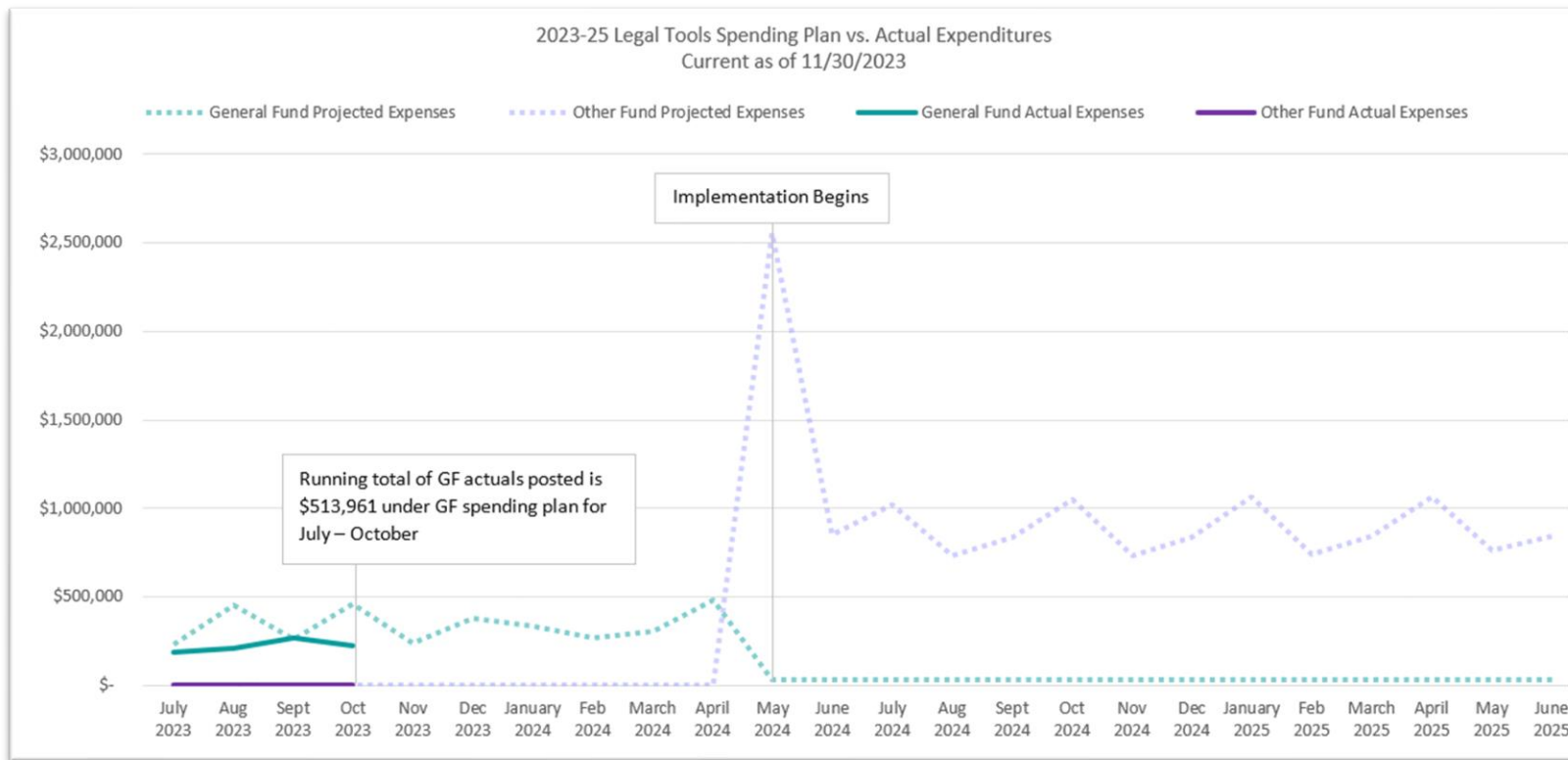
### 2.3. Budget Status

The program underspent \$596,403 at the end of the 21-23 biennium (pending final fiscal year close out), mostly due to vacancy savings from delays in positions being filled.

For the 23-25 biennium, in coordination with DOJ’s budget office, the program is shifting to a forecast budgeting model. This transition allows the program to report historic data, current actuals, and forecast, enabling a more proactive approach to identify risks and working towards mitigation.

According to the 2023-25 spending plan, the program budget is on track, see Figure 1.

Figure 1 Legal Tools 2023-25 Spending Plan vs. Actual Expenditures

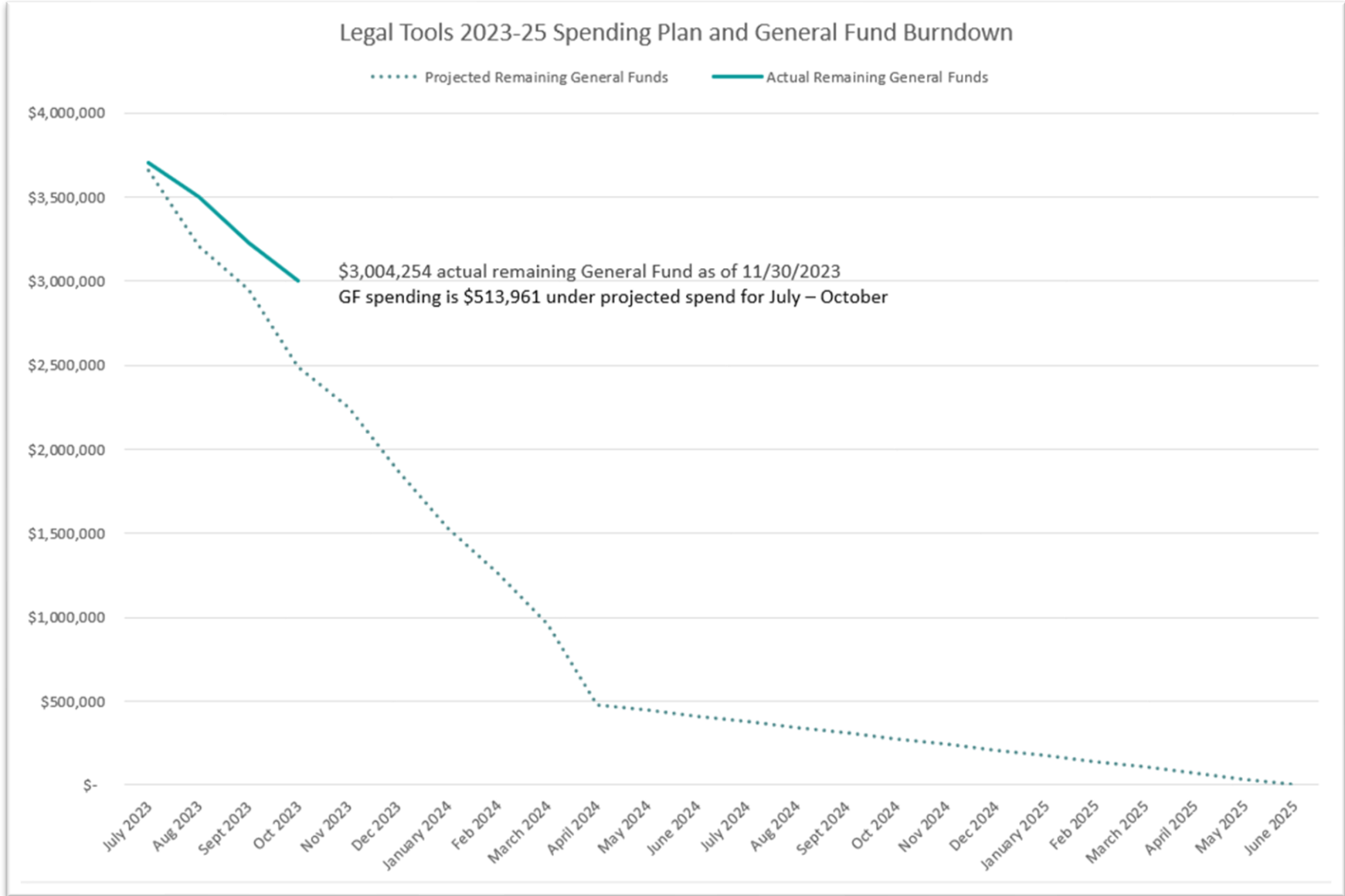


### **2023-25 Debt Service**

On September 8, 2023, the Legal Tools Change Control Board approved a request to move the October 2023 bond sale to May 2024 to better align with the vendor implementation timeline in the Solution Implementation Project schedule. During implementation, most expenses will be bondable, which will change the program's spend rate from General Funds to mostly Other Funds. The original debt service amount and expenditure limitation for debt service for the 2023-25 biennium was \$2,508,271. Due to the decision to add the October bond sale amount to the May 2024 bond sale, the debt service amount for the 2023-25 biennium has been reduced to \$2,392,416. This represents a savings of \$115,855 in the biennium's debt service amount and \$35,000 in savings in the cost of issuance.

### **2023-25 General Fund Expenditure**

From July through October, the actual expenses are \$888,992, which is less than the spending plan. However, it is too early to determine the exact amount of budgetary savings since the timing of contract payments, for example, are occurring later than the times estimated in the spending plan. The program is closely monitoring General Fund spend and working to mitigate risks related to the vendor implementation timeline and overspending of General Funds. See Figure 2 for current General Fund spend vs. projected spend. To mitigate the risk of General Fund overspend, the program is requesting Other Funds reimbursement from DAS Capital Finance for bondable activities occurring prior to vendor implementation. The program has begun collecting hours spent per position on bondable activities each month and is working with DOJ's Chief Financial Officer and DAS Capital Finance to submit reimbursement requests by month, starting with July 2023. The impact of this mitigation effort will not be known until requests are processed by DAS Capital Finance.



*Figure 2 Legal Tools 2023-25 Spending Plan and General Fund Burndown*

## 2.4. Total Cost of Ownership

For the purposes of this document, total cost of ownership (TCO) is the holistic approach that assesses the costs associated with implementation and operations of the Legal Tools solution from a broad perspective. It will include the initial purchase price as well as direct and indirect expenses such as software, installation, training, and operations and maintenance (O&M) for five years, not including the staffing needed for O&M. As we move through the program lifecycle, analysis for the TCO will be essential in optimizing expenses and preventing unnecessary costs in the future that can arise from looking only at the direct purchasing price of the software solution.

An estimate of TCO, including O&M for five years, will be defined after the new solution has been selected. Current estimate of total program implementation costs from 2019 through 2027 is \$39,000,000 +/-50%, the allowable variance for Enterprise Information Services' Stage Gate 2 endorsement level.

As of November 2023, the estimated TCO for the program is \$39,976,706, which includes actual program costs for the 2019-21 and 2021-23 biennia and estimated costs for 2023-25 and 2025-27 biennia. TCO will be further defined in 2024, after the solution vendor is selected and costs for operations and maintenance (O&M) for five years can be estimated.

## 3. Risk Management

Legal Tools is a multi-biennia program with a large-scale procurement that requires close risk monitoring.

Proactively managing risks is an ongoing part of the program's governance to boost the probability of success, alleviate anxiety, and offer a higher degree of predictability. The Legal Tools Program has an established Risk Management Plan, reviewed and updated semi-annually, that outlines the process to manage risks. The process begins with identifying risks, performing qualitative analysis, planning risk responses and mitigation strategies, and monitoring and controlling risks. Risks, issues, and opportunities are managed at the program level for all four component projects. The Risk Management Team meets bi-weekly to review risk statuses, assign risk owners, and define and/or provide updates on risk mitigation strategies.

### 3.1. Top Risks, Impacts and Mitigation Strategies

Risks in the risk log are categorized as new, open, watch, or closed. Any risks that become issues or issues that are brought forward move to the issue log. The issue log captures the date the issue was reported, a title and description, the owner, actions being taken to resolve or mitigate the issue, and the date the issue was resolved.

As of November 2023, the program's risk management team is monitoring a total of 27 risks. 12 of these risks are on the watchlist and have no issues. Risks on the watchlist are on the bubble of becoming issues. These risks are highlighted in monthly status reports and may be discussed at leadership meetings. Mitigation strategies are closely monitored and updated to reduce the impact and probability of the risk with the goal of keeping it from becoming an issue. The full risk log is available in Appendix C.

## 4. Independent Quality Assurance (iQMS) Reporting

In addition to monitoring risks identified by the program team and executive leadership, Legal Tools is working with NTT Data, the program's Independent Quality Management Services (iQMS) contractor, providing quality assurance oversight of the project as prescribed by EIS.

NTT Data, the quality assurance vendor, is integrated into the framework of the Legal Tools Program. Their participation and reporting help to ensure that the program is aware of and responds to quality and delivery risks and remain committed to delivering the project on time while ensuring we meet the needs of stakeholders and deliver value.

To achieve this objective, NTT Data interviews stakeholders both internal and external to the program team and participates or attends several meetings, including risk management, change control, executive steering committee, and Enterprise Information Services check-ins. They also review project documents and provided input on the RFP.

NTT Data provides quarterly and periodic quality reporting for the program. These reports highlight risks, suggest mitigation strategies, and provide recommendations for improving the program's outputs and outcomes. Every six weeks, Legal Tools receives one the following quality reports from NTT Data to help the program achieve quality excellence:

- Quarterly Quality Assurance Status and Improvement Report
- Periodic Quality Status Report

These reports provide a high-level overview of the project status, top risks, and NTT Data's top recommendations. The program logs each risk and recommendation in the Vendor Recommendations Log (see Appendix F) and takes appropriate actions to mitigate the identified risks.

In the Q3 2023 Quarterly QA Status Report, NTT Data continues to rate the overall health of the program yellow, primarily due to budget concerns related to the unknown cost of the solution that will be selected and the possibility of insufficient General Funds. Top concerns in their most recent status report include:

- Available General Fund: If the program spend rate uses all available GF before Bond Funding can be spent on implementation activities, then the program may need to seek additional GF to support program activities.
- Procurement Support Delays: If DAS Procurement resource issues continue, then the program's schedule and available funding could be impacted.
- Inadequate Budget Reporting: If the program budget is not presented in sufficient detail, then stakeholders and oversight partners will not have confidence that budget estimates are adequate to cover all program, vendor, and system costs for the life of the program.

One of NTT Data's continual recommendations is to maintain alignment with state oversight. The program's governance framework promotes regular interaction between program leadership, the project management team, and Department of Administrative Services (DAS) Enterprise Information Services (EIS) to ensure progress is made on the requirements for the Joint EIS/LFO Stage Gate process. More information on this process and how the program team is working with EIS is provided in section five.

Recommendations for each of these top concerns can be found in Appendix F. The mitigations and Legal Tools response is documented in the Legal Tools Vendor Recommendation Log.

## 5. Department of Administrative Services Reporting and Direction

### 5.1. Enterprise Information Services

Enterprise Information Services (EIS), in cooperation with the Legislative Fiscal Office (LFO), manage the Joint EIS/LFO Stage Gate process—an incremental funding and project oversight model for major IT initiatives that meet EIS oversight thresholds, such as Legal Tools.

EIS approved the program’s organization into four component projects and each project was assigned an oversight level with artifacts required for each Stage Gate approval. The program has worked with EIS to submit the artifacts for each Stage Gate via the Project Portfolio Management (PPM) tool.

EIS staff, Legal Tools program leadership, and the project management team meet twice monthly. This ongoing, scheduled collaboration provides direction, clarifies questions, identifies potential risks to the critical path, and ensures the program is aligned with the guiding principles for technology projects and the state of Oregon.

### 5.2. Department of Administrative Services Procurement Services

Department of Administrative Services (DAS) Procurement Services provides the Solution Implementation Project with oversight related to the procurement of the Legal Tools solution.

*Alignment* – DOJ met with DAS and Deloitte, the program’s planning and integration consultant, four times (May – June) to align on the development timeline for the RFP and the activities and content expected for the Solution Procurement Documentation deliverable purchased from Deloitte.

*Recommendations* – DAS Procurement edited multiple sections of the RFP and attachments to provide clarity and the highest quality documents possible, including recommendations regarding page limits, RFP posting period (including a suggested change from 30 to 45 days, which the program accepted), scoring, etc.

*Collaboration* – DOJ met with DAS Procurement and DOJ Business Transaction Services multiple times (July – August) to refine the RFP, align on submittal requirements and scoring criteria, and get the RFP posted in September, which was in alignment with the originally expected timeline.

*Direction* – DAS Procurement assisted DOJ in responding to vendor questions, reviewing, and providing recommendations on wording and responses, and in developing a resulting amendment to the RFP. Additional information on the request for proposals and vendor selection status is provided in section 7.1.

### 5.5. DAS Capital Finance

The program is working closely with DOJ’s Chief Financial Officer and DAS Capital Finance to ensure compliance with all required bond financing and bond proceeds reimbursement processes. During the 2023-25 biennium, the program has maintained communication and collaboration regarding bond sale dates and procedures, and the process for requesting and receiving reimbursement for bondable activities that can be expensed as Other Funds.

## 6. Client Agency Involvement

DOJ provides services to all state agencies. As external stakeholders, client agencies will be involved in Legal Tools through a subcommittee of the program's Stakeholder Engagement Committee. The Client Agency Subcommittee will consist of representatives from state agencies who receive services and billing statements from DOJ. This subcommittee will be used to communicate to external agencies about changes that will impact their billing statements. We will be communicating with this subcommittee to ensure we know the best way to communicate the changes to the agencies impacted. We will also work with the DOJ Administrative Services Billing team to ensure we meet all the needs of these external agencies.

The Client Agency Subcommittee will begin meeting after the Legal Tools solution vendor is selected and information is available to share and/or there is a need to solicit information from this group. Information gathered from the program's Stakeholder Engagement Committee will be presented for discussion at the program's Executive Steering Committee as appropriate (i.e., when new information may impact the program's scope, schedule, or budget). Section 7.2 provides additional details on the program's governance, including the role and responsibilities of the Executive Steering Committee.

## 7. Additional Information

### 7.1. Request for Proposals and Vendor Selection Status

From staffing the Legal Tools program team and developing the program's governance structure, to conducting market research and gathering requirements to define business needs, all the work completed thus far was essential in ensuring the critical milestone of releasing the Legal Tools Request for Proposals (RFP) was reached within the planned timeline.

The RFP was released via OregonBuys on September 13<sup>th</sup>, 2023. Seven vendors responded to the RFP with written proposals. Proposals were reviewed by the Legal Tools RFP Evaluation Committee, a cross-agency committee including representatives from DOJ's executive leadership team, Information Services, the Legal Tools program team, DOJ Oregon Association of Justice Attorneys, and non-legal DOJ staff. On November 16<sup>th</sup>, 2023, the Round 1 evaluation scoring tabulation meeting was held, and final scores were submitted to DAS Procurement Services on November 17, 2023.

Four vendors scored high enough to continue to Round 2, which will include full day vendor demonstrations and interviews with key vendor staff. Client reference checks and review of final and best offer cost proposals may also be included in Round 2. These activities will begin mid-December and Round 2 is expected to conclude late January.

### 7.2. Program Governance

Legal Tools governance provides a robust framework, functions, and process for monitoring, managing, and supporting the outcomes of the program.

#### 7.2.1. Program Structure

Legal Tools is led by a Project Management Professional certified program manager, who oversees the work of all program staff. While the Legal Tools program team works cross-functionally, dedicated program staff are organized into teams, as follows:

- Project Management Team
- Organizational Change Management Team
- Business Analyst Team
- Technical Team

The Legal Tools Program Organizational Chart is included in Appendix A.

#### 7.2.2. Quality Control/Quality Assurance

Legal Tools ensures quality consistency through the implementation of its quality management plan. With the goal to make sure the program meets the needs it is intended to meet; the team uses the following quality process:

- Deliverable and document acceptance criteria – Program and key stakeholders define and agree on deliverable acceptance criteria for Legal Tools artifacts, this may include the creation of a Deliverables Expectation Document
- Deliverable review – all formal documents and artifacts must undergo a review process, which could include a draft review, comment log review and/or deliverable acceptance review

- Deliverables Log – the Quality Manager documents all deliverables in the Deliverables Log. This log includes the type of deliverable, title, brief overview, acceptance criteria, if EIS approval is required, and the list of reviewers

#### *7.2.2.1. Lessons Learned*

Quarterly, the Legal Tools program team participates in the lessons learned meeting to document and share knowledge that reflects both the positive and negative experiences of the program. Capturing these items provide a valuable opportunity to reflect on past experiences and identify areas for improvement. The team focuses on four areas – what worked well, pain points, and unresolved. After the initial meeting, team members vote on their top three areas of priority and actions are created, documented, and reported to the team as well as uploaded to Alfresco, DOJ’s document management system. Through the lessons learned process, Legal Tools is able to increase collaboration, enhance learning, improve processes, increase confidence and trust in the processes and outcomes, and reduce risks in future projects and initiatives.

#### **7.2.2. Change Control**

The Legal Tools program change control process is a systematic approach to managing all changes requested and made to any of the component projects. This process is in place to avoid unnecessary changes, ensure all changes are documented, and assure requests are aligned with program goals. All requests are recorded in the change control log and assessed for potential changes to schedule, scope, and budget; project plans and schedules are only modified when changes are approved for implementation. Legal Tools change control has four levels of authority – Product Owner, Program Manager, Change Control Board and Executive Steering Committee.

The Legal Tools Change Control Board (CCB) plays a critical role in managing change to the program. This group meets regularly to consider changes to the project. Through a process of detailed examination, the change control board decides on the viability of the change request and makes recommendations and decisions accordingly. These decisions include:

- Approving change requests
- Deferring or denying the resolution/recommendation
- Requesting additional analysis
- Escalating the change request

The Legal Tools Change Request Process Flowchart for all levels of authority is included in Appendix B.

Table 2 Legal Tools Change Request Rating and Governance Authority

Change Request Rating	Very Low – Level 1	Low – Level 2	Moderate – Level 3	High – Level 4
<b>Governance Authority</b>	Product Owner	Program Manager	Change Control Board (CCB)	Executive Steering Committee (ESC)  *New EIS endorsement required if increasing scope, schedule, and/or budget by more than 10%
<b>Cost (budget)</b>	No impact	≤\$10,000	≤\$50,000	>\$50,000; up to 10% of total approved biennium budget
<b>Time (schedule)</b>	No impact	<ul style="list-style-type: none"> <li>• Does not change the critical path</li> <li>• No contract amendments</li> <li>• Deliverables may be moved; no additional funds required</li> </ul>	<ul style="list-style-type: none"> <li>• Critical Path is pushed 1 day to 2 weeks</li> <li>• A contract amendment is needed</li> <li>• Minor milestone is missed (e.g., feature is missed)</li> </ul>	<ul style="list-style-type: none"> <li>• Critical Path is pushed by more than 2 weeks</li> <li>• A contract amendment over \$50k is needed</li> <li>• A major milestone is missed</li> <li>• A critical deployment is missed</li> </ul>
<b>Scope</b>	Clarifications to the wording of requirements/features/ sub-features that do not change the intention of the requirement	Clarifications to wording of all features and minor changes to sub-features	Changes to requirements in content by feature and eliminates or adds sub-features	Change to a program requirement or feature groups and elimination or addition of features

#### 7.2.4. Executive Steering Committee

The Legal Tools Executive Steering Committee (ESC) is responsible for providing guidance and oversight to the program through issue resolution and change management processes. The ESC supports the program's objectives and makes key decisions regarding Legal Tools budgetary and scope changes. The committee members listed below meet monthly to review program scope, budget, risks, and schedule, and vote on level 4 change requests related to these topics. Voting members are listed below and an ESC organizational chart is included in Appendix D.

##### Voting Members

- Lisa Udland, Deputy Attorney General (Legal Tools Executive Sponsor)
- Paul Smith, Deputy Solicitor General (Legal Tools Business Owner)
- Bill O'Donnell, DOJ Chief Financial Officer
- Richard Rylander, DOJ Chief Information Officer
- Dania Opheim, DOJ Accounting Manager
- Joanne Southey, DOJ Child Advocacy and Protection Division Administrator
- Bryant Behr, Oregon Judicial Department Chief Information Officer

#### 7.2.5. Stakeholder Engagement Committee

The Legal Tools Stakeholder Engagement Committee (SEC) exists to ensure all impacted users have a voice regarding the changes impacting their work as a result of Legal Tools. The committee consists of at least one representative from each impacted division. SEC meetings are held quarterly and led by the program's organizational change manager. Agenda items for quarterly SEC meetings and ad hoc subcommittee meetings have/will include:

- Program status and procurement updates
- Requirements discussion, prioritization, and review
- Communication topics, preferences, and review
- Training topics, preferences, and review

Past, current, and future subcommittees include:

- Requirements Priority Validation Subcommittee – this group reviewed all 700 high level requirements and prioritized each as either useful, important, or critical; this work was used as an input to the solution vendor request for proposals.
- Communications Subcommittee – this group reviews all Legal Tools related communications for accuracy, readability, and relevance before communications are distributed to DOJ stakeholders.
- Client Agency Subcommittee – this group will participate in discussions and receive information related to changes involving accessing client billing information.
- Training Subcommittee – this group will participate in discussions around training preferences and review training materials for accuracy, usability, and relevance.
- Testing Subcommittee – this group will participate in testing activities to ensure the new solution is configured correctly.

### 7.2.6. Legal Tools Roles & Responsibilities Matrix

The program roles and responsibilities matrix helps provide clear communication guidelines and procedures. The program uses a RACI chart, a chart that describes who is responsible, accountable, consulted, and informed for each activity, to promote good decision making and remove roadblocks in the approvals process to ensure program success. RACI charts are also in use for each component project. The roles and responsibilities matrix and RACI charts are available upon request.

### 7.3. Benefits Management & Realization

Measurable benefits were outlined in each of the Legal Tools component project's business cases. To realize these benefits, Legal Tools has established a standard methodology and process, leveraging guidance and best practices provided by EIS, Info-Tech Research Group, the program's advisory services contractor, and Project Management Institute (PMI) resources for establishing baseline measurements, tracking benefits, and benefit reporting.

The program's Benefits Management Plan identifies the process to monitor and track benefits over the program's life cycle. Baseline measurements for identified benefits, both quantitative and qualitative, will be gathered through interviews with subject matter experts; reviews of current stat data, databases, and technical documentation; reviews of the most recent audit reports; reviews of help desk tickets; surveys; and observation.

Once baseline measurements have been collected, additional data will be collected and tracked beginning the quarter following go-live, or first go-live, if the new solution is rolled out in phases. A process is also set in place to track and manage benefits reporting.

Some benefits, such as those related to efficiency, user adoption, and stakeholder satisfaction, may not be fully realized until users have received sufficient training and are comfortable with the new workflows and processes, which may extend beyond the life of the program. Therefore, the Benefits Management Plan also outlines a plan for transitioning benefits management to operations and maintenance managers at the close of the program.

DOJ has never formally managed project benefits and the Legal Tools team is motivated to pilot and further refine this process, with the goal of establishing a standardized framework for the agency to use in future efforts.

### 7.4. Deloitte, Planning & Integration Contractor

The program first contracted with Deloitte for planning and integration services during the 2021-23 biennium. Partnership with Deloitte has continued into the 2023-25 biennium and continues to elevate the program team's expertise and knowledge of industry standard best practices. In addition to providing knowledge transfer sessions with program staff and executive leadership, Deloitte has collaborated with the program team to deliver the following:

#### Business Requirements Services

- Requirements Management Plan – describes how requirements were to be elicited, analyzed, and documented, as well as how requirements should be managed after original approval.
- Business Requirements Documents – a collection of documents that detail a high-level list of features, user stories, and prioritized requirements.

- Business Requirements Gathering Artifacts – a collection of notes, documents, diagrams, and artifacts used throughout the requirements gathering process.
- Requirement Traceability Matrix – an organized matrix of 700+ requirements, traced to agency required elements. This was used as a direct input into the RFP.
- Current State Assessment – a comprehensive assessment of current business processes, technical architecture, and information architecture. This information was used as a direct input into the development of the future state architecture and roadmap.
- Future State Assessment – a comprehensive assessment of DOJ’s desired future state, including future business processes, technical architecture, and information architecture.

#### Strategic Program Advisory Support Services

- Program Recommendations Report – high-level recommendations regarding program management, program organization, resource management, procurement support, and solution vendor management to support quality and timely implementation. These recommendations were added to the Vendor Recommendations Log (Appendix F) with action items assigned.
- Program Support Plan – recommendations to further define roles, tasks, deliverables, and timing to support the success of the program.
- Program Roadmap Report – describes the architecture that would enable DOJ to achieve the desired future state and program objectives. Details recommendations related to deliverables, resources, procurements/procurement paths, projects, planned timelines, and agency operational and technical readiness.

#### Procurement Support Services

- Market Research – Deloitte was critical in assisting with the development of the Request for Information (RFI). The RFI was successful in notifying the market of the upcoming RFP and proving to the agency that solutions exist on the market that would meet business needs within the agency’s budget.

In the current biennium, Deloitte has continued to provide Business Requirements Services and Procurement Support Services through the development of the following:

- Vendor Solution Procurement Documents – Deloitte assisted greatly in the development of the RFP, providing draft content, suggested criteria and scoring sheets, that were finalized in partnership with DAS Procurement Services.
- Vendor Demonstration Scripts – a library of scripts for vendor oral response during the Round 2 down-select process. These scripts have been approved and will be used during Round 2 vendor demonstrations.
- Solution Vendor Statement of Work Checklist – documented recommendations, best practices, and service-level agreements for the program to consider as negotiations with the solution vendor are conducted and the vendor’s contract is finalized. As of November, this plan is still in development.
- Business Process Transformation Plan – a detailed plan outlining the approach, a high-level timeline, tools, and stakeholders needed to enable the program’s business process transformation efforts. As of November 2023, this plan is still in development.

## 7.5. Info-Tech Research Group, Advisory Services Contractor

At the end of the 2021-23 biennium, the program contracted with Info-Tech Research Group (Info-Tech) to accelerate DOJ's broader Information Services (IS) team's readiness for the procurement, implementation, and sustainability of the new solution. This partnership has provided immense value to the program that will continue to be leveraged by the agency in future efforts.

Through regular advisory calls, IS managers are meeting with Info-Tech experts on multiple guided implementations of IT management and governance frameworks, including IT strategy application portfolio management, cloud strategy, benefits management, and project portfolio management. Additional guided implementations are being planned for 2024.

Thus far, the program's engagement with Info-Tech has added direct value to the program's Benefits Management Plan, which is discussed in section 7.3, and DOJ's Strategic Technology Plan. For example, assessments measuring business satisfaction and prioritizing business needs were conducted, and Info-Tech provided the agency with a structured approach for improving alignment of Information Services with agency needs and priorities, including identification and prioritization of IT initiatives that will yield high business value and further align Information Services with the rest of DOJ. This approach and the results from these assessments were incorporated into an updated version of DOJ's Strategic Technology Plan.

The Info-Tech engagement has also informed DOJ's cloud strategy, including the definition of the agency's cloud vision, mission, benefits, and goals. DOJ worked with Info-Tech advisors to assess the current state of the agency's cloud maturity in the areas of organizational readiness (skills and roles), governance (data, security, finance, vendor management, and technology (migration, adoption, provisioning, and monitoring)). The most recent cloud strategy outputs resulting from this engagement include a cloud portfolio readiness assessment framework, a cloud reference architecture, and an application cloud roadmap. Market research completed in the 2023-25 biennium has shown most modern case management systems are cloud hosted, so these efforts will directly benefit Legal Tools in the implementation of the new solution.

An industry standard application rationalization framework for rationalizing the many ancillary systems within the program's scope has also been provided by Info-Tech. This framework will be scaled to serve as the framework for enterprise-wide application portfolio management.

Finally, Information Services leadership is working with Info-Tech to develop a project portfolio management framework. Prior to the approval of Policy Option Package #135, which added significant limited duration resource capacity to make the Legal Tools Program feasible, DOJ's Information Services section had severe gaps in project management capacity and competency. While permanent project and portfolio management resourcing needs should be addressed in future biennia, this element of the Info-Tech engagement is a first step in ensuring a sustainable future for the state's investment in Legal Tools and other Information Services projects. The project portfolio management framework includes best practices and standards for:

- Project intake, approval, and prioritization
- Resource management
- Project management and project closure
- Benefits realization

- Status and progress reporting

Formalizing this framework enables initiation of the best projects with the appropriate resources, timely and trustworthy reporting to facilitate the flow of information for better decision making, and proper closure of projects, releasing of resources, and management of benefits realization, ensuring work is completed on time and achieves the desired outcomes.

## Appendix A – Budget Note

The following is an excerpt from pages 48-49 of the 82<sup>nd</sup> Oregon Legislative Assembly – 2023 Regular Session SB 5506 Budget Report and Measure Summary from the Joint Committee on Ways and Means, prepared by Tom MacDonald, Legislative Fiscal Office.

A one-time General Fund appropriation of \$3.9 million, Other Funds expenditure limitation increase of \$21.2 million, and the establishment of 22 limited duration positions (22.00 FTE) are approved for the Legal Tools Replacement Project 3.0. The revenue source of the Other Funds is Article XI-Q general obligation bonds. This increase is approved with the understanding the Department of Administrative Services will unschedule \$7.2 million Other Funds for Article XI-Q general obligation bond proceeds that will not be expended until the 2025-27 biennium (March 2025 bond sale).

The Subcommittee also approved, on a one-time basis, an Other Funds expenditure limitation of \$2.5 million for debt service payments for the Legal Tools Replacement Project 3.0. Debt service will be paid as part of hourly legal billings to state agencies. In addition, the measure includes a one-time Other Funds expenditure limitation of \$320,000 for the cost of the bond issuance for the Legal Tools Replacement Project 3.0 and which is to be budgeted under Debt Service and Related Costs program. The Subcommittee adopted the following budget note related to the Legal Tools Replacement Project 3.0:

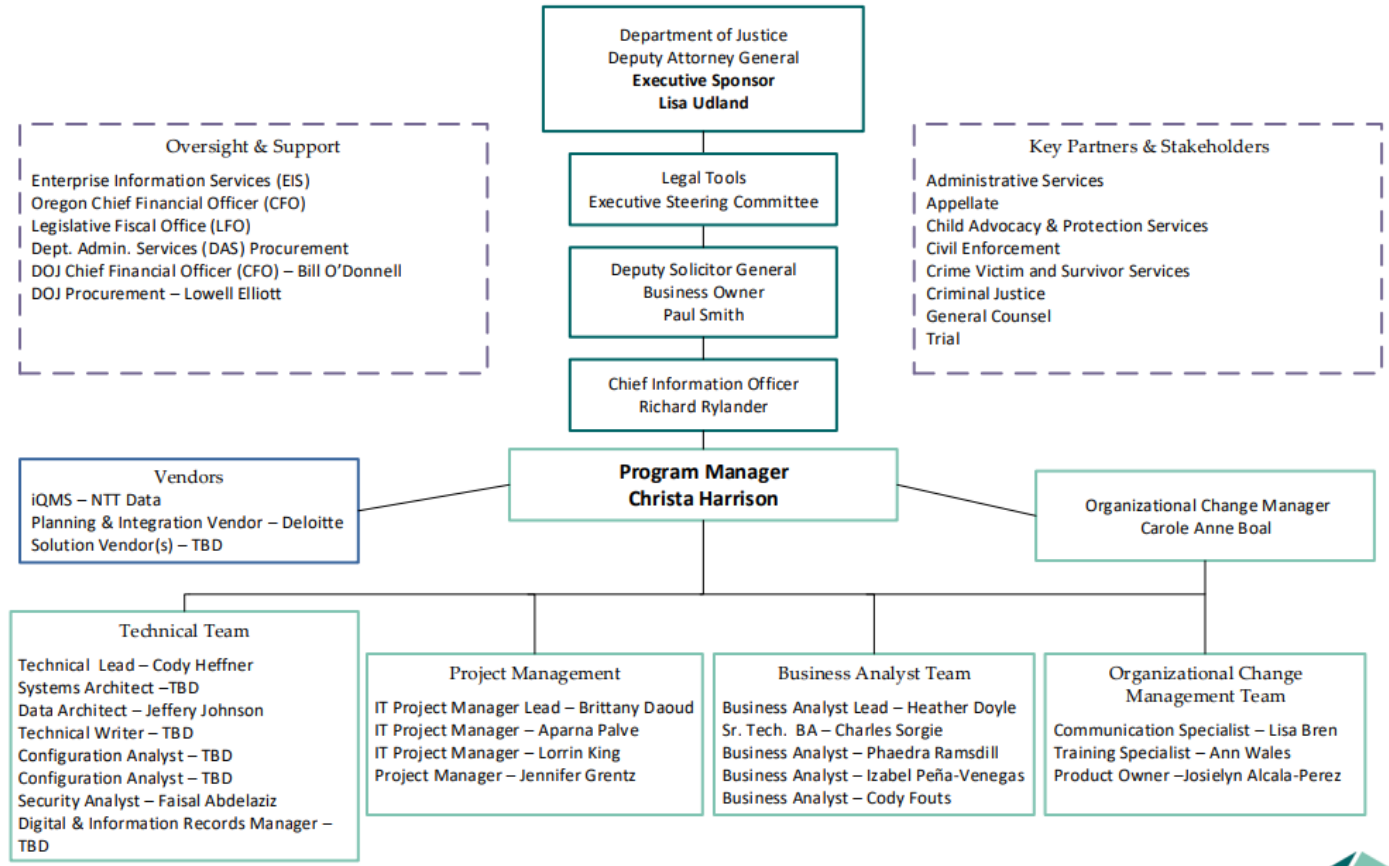
### **Budget Note**

The Department of Justice is directed to report to the Joint Legislative Committee on Information Management and Technology and the Joint Committee on Ways and Means prior to the 2024 legislative session on the status of the Legal Tools Replacement Project 3.0. The agency's reports to the Legislature shall include: (a) updates on project scope, schedule, budget, and total cost of ownership; (b) current project risks, likely impacts, and mitigation strategies; (c) independent quality assurance reporting; (d) Department of Administrative Services project reporting and direction; (e) client agency involvement in the planning and governance of the project; and (d)[sic] other information that helps inform the Legislature on the status of the project or issues that have arisen as the result of the project.

# Appendix B – Program Organizational Chart

Figure 3 Legal Tools Program Organizational Chart

## Program Organizational Chart



Expanded Team: Agency operational staff will provide subject matter expertise, conduct user-acceptance testing, and perform other activities such as training and instruction activities as part of the project's expanded team. Numbers of employees, timing, and duration of assignment will be determined based on needs of the project.



## Appendix C – Risk Log

Table 3 Legal Tools Risk Log

Risk	Likely Impacts	Mitigation Strategies
<p><b>EIS Stage Gate Approvals</b> Stage Gate Approvals may not be obtained within the expected timeframe.</p>	Schedule delays, including RFP/solution vendor implementation delay	<ul style="list-style-type: none"> <li>• Meet with LFO &amp; EIS to level set expectations</li> <li>• Develop visual timeline to align expectations</li> <li>• Make progress on next set of documents during waiting time on EIS feedback</li> </ul>
<p><b>Ineffective interagency/oversight coordination and/or misalignment</b> The program may encounter roadblocks/delays related to coordination/alignment with EIS, LFO, and/or DAS.</p>	Ineffective implementation, delays to go-live, and harm to relationship between Information Services and the business	<ul style="list-style-type: none"> <li>• Implement close and focused communication with DAS, EIS, DAS CHRO, LFO</li> <li>• Provide time in the schedule and a plan for disagreements to be resolved</li> <li>• Document decision making process and ensure stakeholder signoff</li> <li>• Keep a log of decisions and activities for reference</li> </ul>
<p><b>Cloud Readiness</b> DOJ Information Services may not be prepared to support, or support the implementation of, a cloud-based solution.</p>	Implementation timeline and operational transition; possible impact to data migration	<ul style="list-style-type: none"> <li>• Determine, develop, and implement governance, process, and operational needs</li> <li>• Identify technical and business objectives</li> <li>• Assess team skillsets and identify gaps</li> <li>• Identify operational readiness</li> </ul>
<p><b>Immature Organizational Change Management</b> Stakeholders do not understand the benefits of modernizing existing systems, improving processes, or implementing efficiencies.</p>	Ineffective or failed implementation	<ul style="list-style-type: none"> <li>• Provide communication feedback loop</li> <li>• Communicate OCM's purpose and how it helps achieve a successful implementation</li> <li>• Develop and implement assessment action plans</li> </ul>
<p><b>Procurement Delays</b> Coordination with DAS procurement and/or disagreement on the path/approach for developing the RFP(s) may cause schedule delays.</p>	Schedule delays, including delays to critical path	<ul style="list-style-type: none"> <li>• Begin procurement requests as early as possible</li> <li>• Maintain regular communication with DAS procurement</li> <li>• Document and escalate according to established processes</li> </ul>

Risk	Likely Impacts	Mitigation Strategies
<p><b>Subject Matter Expert (SME) Availability</b> SMEs may be unavailable or have limited availability to participate in requirements gathering activities.</p>	<p>Delays in requirements activities/deliverables, which would impact the schedule</p>	<ul style="list-style-type: none"> <li>• Consistent communication via ESC to keep requirements gathering on Division/Section leaders' radar</li> <li>• Align requirements gathering activities with P&amp;I vendor's deliverables</li> </ul>
<p><b>Requirements Gathering</b> Requirements may be insufficient, inaccurate, or improperly handled.</p>	<p>Solution not meeting business objectives or needs, not delivering adequate value; end users being unable to successfully complete day-to-day work; noncompliance with applicable rules/regulations</p>	<ul style="list-style-type: none"> <li>• iQMS will provide requirements expert to review requirements management plan, requirements, and the process</li> <li>• Involve stakeholder representatives as often and early as possible</li> <li>• Complete a Requirements Traceability Matrix</li> </ul>
<p><b>Incompatible Vision for Solution(s)</b> Uncertainty, and possible disagreement, regarding whether a single solution or multiple integrated solutions will best meet Legal Tools business needs or objectives may impact the program schedule and solution adoption.</p>	<p>Refusal to use new solution; inability to use new solution to complete day-to-day work</p>	<ul style="list-style-type: none"> <li>• Involve stakeholders throughout the program using a variety of communication tools</li> <li>• Provide a feedback loop</li> <li>• Reinforce the goals and outcomes of the final solution</li> <li>• Collaborate with the business-on-business process requirements</li> </ul>
<p><b>Program Staffing</b> Program staff may leave, take extended leave, become overallocated, lack adequate experience, misunderstand their role and responsibilities, have productivity or work quality issues. Some key tasks may not have sufficient backup resources.</p>	<p>Potential delay of deliverables; other staff becoming overallocated; quality issues</p>	<ul style="list-style-type: none"> <li>• Communicate with DOJ CIO as soon as aware of departure</li> <li>• Identify backup staff and cross train</li> <li>• Provide training (i.e., Udemy) to ensure program staff have necessary skills</li> <li>• Monitor staff capacity through task allocation and timesheets in the program schedule</li> </ul>
<p><b>Potential Budget Shortfall Between Planning and Implementation</b> Any internal or external delays that affect the timeline for beginning implementation activities may cause the project to run out of planning funds.</p>	<p>General Fund budget shortfall resulting in an impact to program staffing and schedule delays</p>	<ul style="list-style-type: none"> <li>• Maintain current RFP evaluation cycles/vendor demos</li> <li>• Stay on schedule</li> <li>• Create a month-by-month spending plan to identify whether funds will run out</li> <li>• Identify bondable expenses for reimbursement with DAS Capital Finance</li> </ul>

Risk	Likely Impacts	Mitigation Strategies
<p><b>Vendor Quality</b> Vendor may not meet expectations or deliver solution or deliverables as promised/as outlined in the contract.</p>	<p>Potential impact to quality and/or scope; schedule delays</p>	<ul style="list-style-type: none"> <li>• Define expectations</li> <li>• Perform a GAP analysis with vendor product</li> <li>• Clearly define measurable business outcomes and include them in selection criteria</li> <li>• Monitor vendor work quality and timeliness</li> <li>• Implement deliverable expectation documents for vendor deliverables</li> </ul>
<p><b>External System Changes</b> Technology system changes made by partner agencies or technology organizations could introduce new or modified requirements. Examples: DAS replaces SFMA.</p>	<p>Changes to requirements, and potentially scope; changes to testing and acceptance criteria, and/or business processes, resulting in schedule delays</p>	<ul style="list-style-type: none"> <li>• Monitor for announcements and evaluate impact</li> </ul>
<p><b>Misalignment between Legal Tools objectives and Information Technology Group Direction</b> Legal Tools may deliver a product that is not in alignment with ITG direction.</p>	<p>Legal Tools delivering a product unable to be supported by Information Services; increased effort required to manage the solution(s); ITG direction being undermined</p>	<ul style="list-style-type: none"> <li>• Engage Organization Change Manager once IS direction is confirmed</li> <li>• Bring on planning and integration (P&amp;I) consultant to create plan and strategy</li> <li>• Ongoing confirmation alignment and assessment to identify gaps</li> <li>• Develop Guiding Principles</li> </ul>
<p><b>Ineffective Stakeholder Communication</b> Division leadership and/or end users may be unprepared for implementation.</p>	<p>Ineffective implementation; worsened relationship between divisions and IS; delays to go-live</p>	<ul style="list-style-type: none"> <li>• Coordinate communication with leadership and using the right language</li> <li>• Assess and select the right communication tools (GovDelivery)</li> <li>• Stakeholder communication meetings</li> <li>• Develop communication for post solution selection</li> <li>• Hold meeting with different stakeholder levels</li> </ul>
<p><b>Unclear Roles and Responsibilities</b> Staff may lack understanding of their role and roles of others in program/project activities.</p>	<p>Program/project artifacts/deliverables are of low quality and/or do not meet expectations; staff feel insecure in the work they are doing</p>	<ul style="list-style-type: none"> <li>• Develop master roles and responsibilities list along with an updated RACI to help clarify roles and responsibilities</li> <li>• Establish all team meeting to help onboard team</li> </ul>

Risk	Likely Impacts	Mitigation Strategies
<p><b>Ancillary System Identification</b> Some critical ancillary systems may be lacking documentation, be misidentified, or be identified after the planning phase has been completed.</p>	<p>Potential schedule delays due to additional ancillary interfaces being developed along with additional implementation cost; ancillary systems missed may be needed and integrated after the new system(s) are implemented impacting the business' ability to perform their job</p>	<ul style="list-style-type: none"> <li>members be clear on their roles</li> <li>• Implement buddy system when onboarding new staff</li> <li>• We have identified this as in scope for one of our projects</li> <li>• Have P&amp;I consultant review existing ancillary documentation and identify gaps</li> <li>• Keep on the lookout as some might come up later in the program</li> <li>• BA team generate vertical map and bubble map</li> <li>• Consider treating ancillary systems replacement as an additional project within the program</li> <li>• Identify ancillary system SMEs, technical and functional, and incorporate into project planning and all downstream activities including requirements gathering</li> <li>• Interviews to include questions about ancillary systems known and unknown</li> </ul>
<p><b>Solution Security Vulnerabilities</b> Selected solution may include some security vulnerabilities</p>	<p>System is unavailable</p>	<ul style="list-style-type: none"> <li>• Identify components</li> <li>• Scan for known vulnerabilities</li> <li>• Thoroughly vet the software supply chain</li> <li>• Pre-assessment of solution prior to selection to include in RFP, including requesting a software bill of materials (SBOM)</li> </ul>
<p><b>Loss of Critical Staff on Business Side</b> Program sponsors or other key business leaders may leave</p>	<p>Possible loss of leadership support with replacement(s) maybe not agreeing with current direction; new leadership may not have the same vision or support as the previous leader(s); possible loss or change in sponsor(s)</p>	<ul style="list-style-type: none"> <li>• Maintain consistent focus with leadership, keep them informed</li> <li>• Identify those few, truly critical key roles that will need to be covered seamlessly from a business continuity perspective, and develop succession plan on how to satisfy the role</li> <li>• Work with leadership on identifying backup who could step in and allow the program to go on</li> </ul>

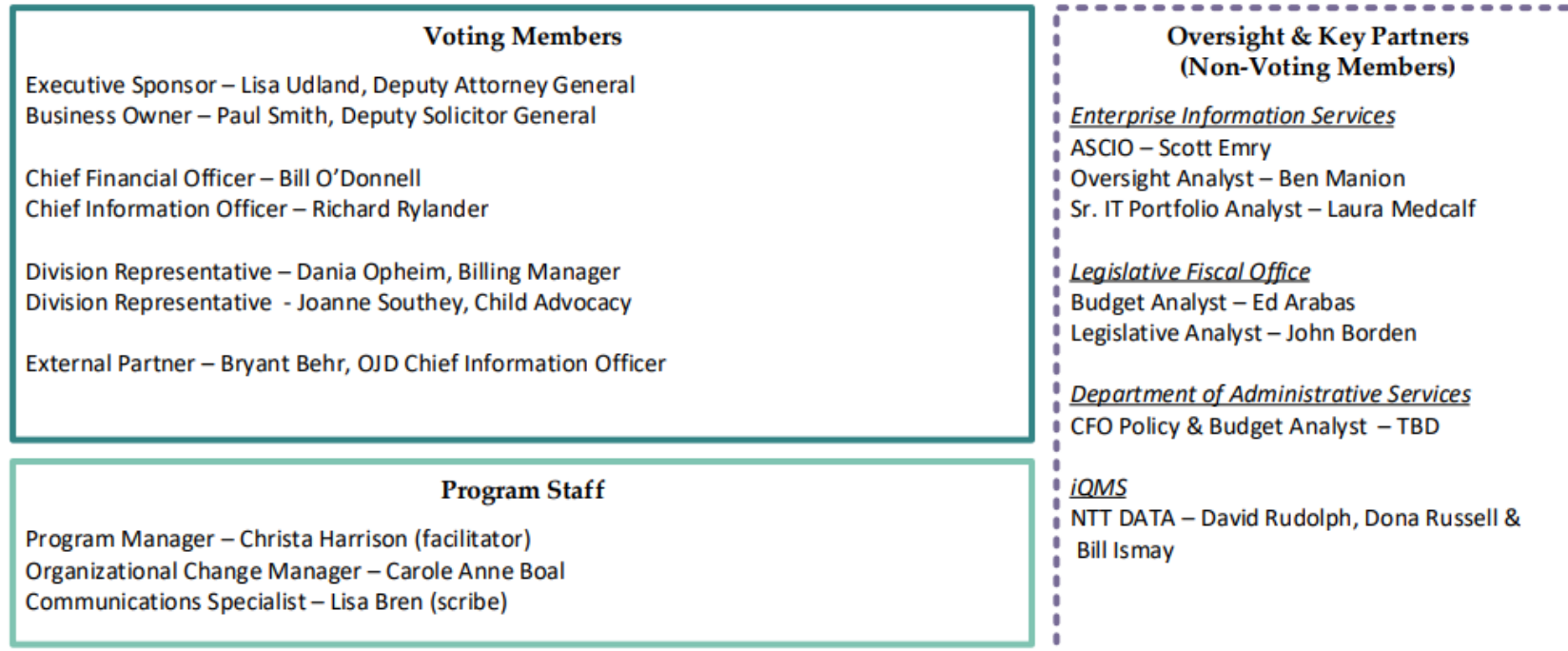
Risk	Likely Impacts	Mitigation Strategies
		<ul style="list-style-type: none"> <li>Develop a communication system for communicating with new administration about the program, value, and benefits, how it fits in with Agency goals</li> </ul>
<p><b>Change Resistance</b> Some end users will be resistant to change.</p>	<p>Business is dissatisfied, workarounds are created, solutions are not implemented successfully; division/section leaders may become disengaged, resistant, refuse to participate in program activities and/or make necessary changes to solutions/processes/workflows; potential inability to meet scope expectations; increased lack of confidence in IS' ability to meet business needs; increase in the number of staff ignoring communications from IS</p>	<ul style="list-style-type: none"> <li>Communication and training</li> <li>Conduct OCM assessments with division admins, managers, and staff, to help clarify, build trust, and reduce anxiety</li> <li>Richard meet with OCM team, team leads, and Paul to discuss and look at how these things are being communicated and develop strategy to reduce business anxiety and frustration.</li> </ul>
<p><b>Transition from Project to O&amp;M</b> DOJ IS may not be prepared to adequately monitor new systems or keep new systems running, patched, etc.</p>	<p>Increase workload on IS staff; delays in fixing issues or making modifications; lack of information on how systems are operating; difficulty in keeping systems secure</p>	<ul style="list-style-type: none"> <li>Create and implement transition and training plan</li> <li>Identify staffing needs, create staffing plans, request positions</li> <li>Add a requirement of the vendor to assist with gap analysis</li> <li>Workforce and succession staffing plan</li> </ul>
<p><b>Current System Failure</b> Current System may fail or experience unexpected extended downtime.</p>	<p>Causes delays to invoicing/billing etc. (Elite failure); staff have to manual track time (Carpe Diem failure); inability to create new matters, calendar events, management participants; would have to manually document activities, etc. (case system failure - MatMan, Case Tracker etc.)</p>	<ul style="list-style-type: none"> <li>Increase and improve backup frequency and improve redundancy</li> <li>Keep system upgraded</li> </ul>

Risk	Likely Impacts	Mitigation Strategies
<p><b>Program Support Tools</b> The program may not have sufficient tools to test and evaluate new systems, manage requirements, etc.</p>	<p>Schedule delays related to increased workload; testing requirements may be missed; unable to thoroughly assess whether the system will meet our needs</p>	<ul style="list-style-type: none"> <li>• Workarounds may have to be created to deal with gaps</li> <li>• Research tools we know we will need</li> <li>• Deloitte's program recommendation should include tooling</li> <li>• Document if toolsets are meeting needs</li> <li>• Identify and document needs</li> </ul>
<p><b>Mismanagement of Sensitive Information</b> Sensitive data may inadvertently be disclosed to unauthorized parties.</p>	<p>Information about our systems and/or infrastructure could be exposed; attorney-client privileged information, PII, FTI, or related data could be exposed; damage to Agency reputation</p>	<ul style="list-style-type: none"> <li>• Use encryption when emailing outside of DOJ</li> <li>• Limit access to documents based on need to know</li> <li>• Regular security awareness training</li> </ul>
<p><b>External Changes to Solution Technology</b> <b>Changes to solution technology ownership may affect quality and security of LT solution(s)</b> For Example: Microsoft replaces a cloud technology that the selected solution depends on. If a technology solution is bought out what will be the consequences for that?</p>	<p>Changes in business process</p>	<ul style="list-style-type: none"> <li>• Monitor for announcements and evaluate impact.</li> <li>• Research RFP finalists to see if the solution(s) is likely to be purchased by another company</li> </ul>
<p><b>Trust in Technology Support Services</b> Business lacks trust in technology support services.</p>	<p>Resistance to adoption, work arounds, morale</p>	<ul style="list-style-type: none"> <li>• Targeted communication</li> <li>• SEC meetings</li> <li>• Training Plan and training materials</li> </ul>
<p><b>AG Office up for Re-election</b> Current AG has decided not to seek re-election</p>	<p>The new AG could take the agency in another direction; impacting the program; a new AAG could be put in place</p>	<ul style="list-style-type: none"> <li>• Develop materials about the program to brief the new administration</li> <li>• Clear roles and responsibilities and training for the executive sponsor role</li> </ul>

# Appendix D – Executive Steering Committee Organizational Chart

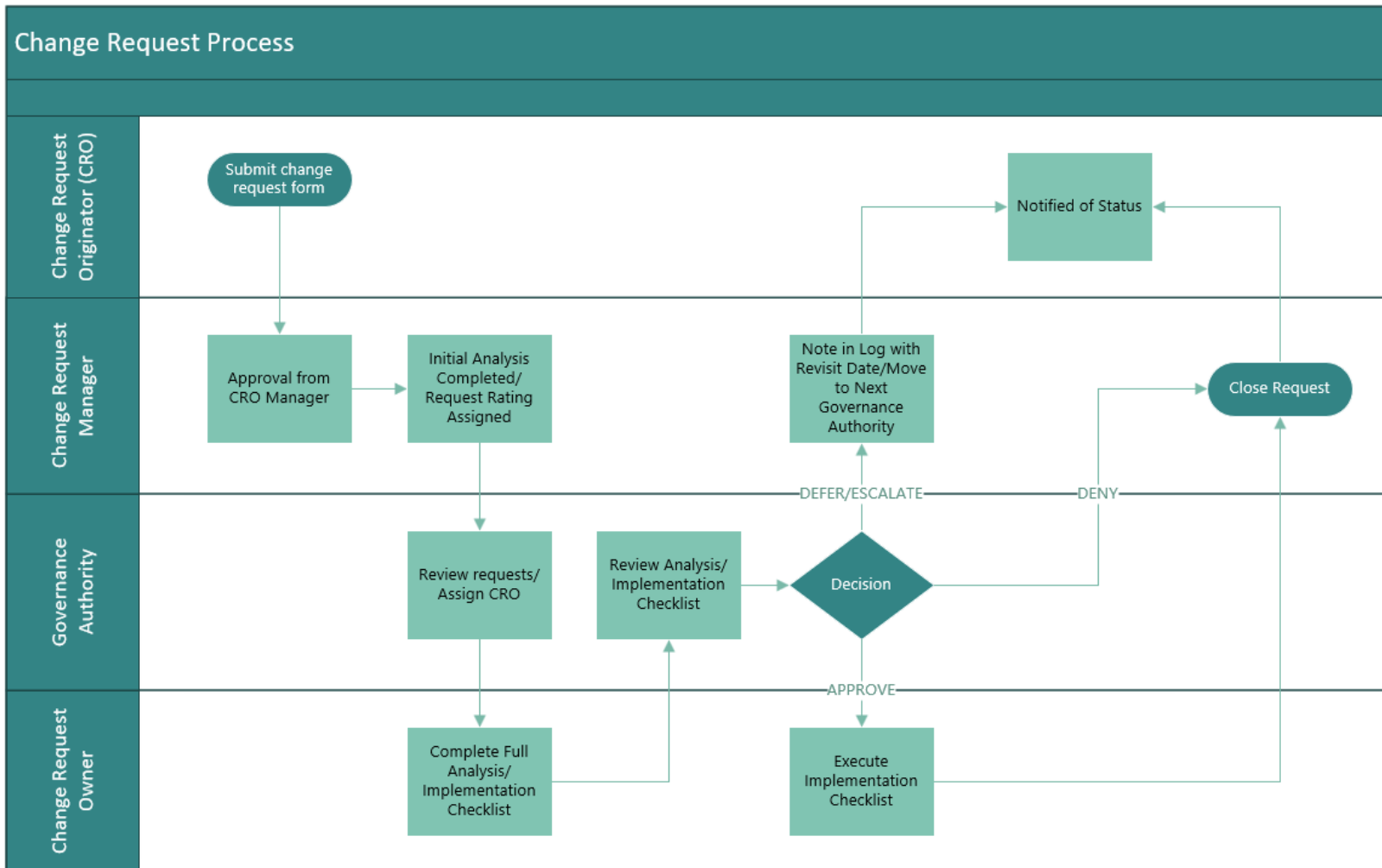
Figure 4 Legal Tools Executive Steering Committee Organizational Chart

## Executive Steering Committee



# Appendix E – Change Request Process Flowchart

Figure 5 Legal Tools Change Request Process Flowchart



## Appendix F – Vendor Recommendations Log

Table 4 Vendor Recommendations Log - In Progress Recommendations

Vendor	Deliverable	Risk Rating	Recommendation
<b>NTT DATA</b>	QA Deliverable 1.1 Risk Assessment Report	High	Develop a plan for documenting a detailed Roadmap for the path forward. In the plan, identify the solution approach direction, resources required, tasks / schedule, objectives and expected outcomes (e.g., what will the roadmap look like, who will approve).
<b>NTT DATA</b>	QA Deliverable 1.1 Risk Assessment Report	High	Obtain approval for the roadmap plan.
<b>NTT DATA</b>	QA Deliverable 4.1.5 Quarterly QA Status Report Q4 2022	High	Secure a full-time resource to manage program procurement activities.
<b>NTT Data</b>	QA Deliverable 3.3.5 Periodic Status Report February 2023	High	Detail all activities on the critical path for meeting funding timelines in the program schedule, including procurement and stage gates, and track progress accordingly.
<b>NTT Data</b>	QA Deliverable 3.3.6 Periodic Status Report May 2023	High	Identify the Bond Funded activities vs GF activities and ensure that information is prepared to request additional funding if needed.  9/30/2023 Update: The program met with Capital Finance for a preliminary meeting to understand the processes for approving bondable expenses. Lowered probability from 4 (Likely) to 3 (Possible), and the impact from 4 (High) to 3 (Moderate), as the procurement is on schedule, and the program is working to mitigate this risk.
<b>NTT Data</b>	QA Deliverable 3.3.6 Periodic Status Report May 2023	Medium	Determine the actual issues users are having with Alfresco.
<b>NTT Data</b>	QA Deliverable 3.3.6 Periodic Status Report May 2023	Medium	Negotiate a support contract with the vendor that can be used at the discretion of the State. Include a stabilization period and options to add additional years of support.
<b>NTT Data</b>	QA Deliverable 3.3.6 Periodic Status Report May 2023	Medium	Determine if existing agency IT staff have the bandwidth and skillset to support the new applications.

Vendor	Deliverable	Risk Rating	Recommendation
<b>NTT Data</b>	QA Deliverable 3.3.7 Periodic Status Report August 2023	Medium	Develop a plan for business process redesign and execute against the plan.
<b>NTT Data</b>	QA Deliverable 1.1 Risk Assessment Report	High	Determine whether known skill gaps are acceptable, mitigated through training, or if outside experts are required.
<b>NTT Data</b>	QA Deliverable 4.1.7 Quarterly QA Status Report Q2 2023	Low	Identify the State agencies that will be using the new LT portal, and include Agency outreach in the OCM Plan. Per the program requirements, the portal is used by external agencies to help manage invoices and billing.
<b>Deloitte</b>	Deliverable 2.1 Program Recommendations Report	N/A	Implement organizational change management and communications strategies and redesign business processes to help usher in change and improve efficiencies: Define an organizational change management strategy and communications approach for legal and IT staff; and assess and redesign business processes related to the implementation and decommission of legal tools.
<b>Deloitte</b>	Deliverable 2.2 Program Support Plan	N/A	Determine resources, funding, and inputs available for use during the project; develop a staffing/resource management plan.
<b>Deloitte</b>	Deliverable 2.2 Program Support Plan	N/A	Document and assess current state governance procedures, processes, and policies.
<b>Deloitte</b>	Deliverable 2.2 Program Support Plan	N/A	Coordinate stakeholder alignment sessions between the Legal Tools program, Information Services, and business unit goals, objectives, and priorities.
<b>Deloitte</b>	Deliverable 2.2 Program Support Plan	N/A	Prepare the organization for change by aligning on vision and values, ways of working, and expectations across the enterprise.
<b>Deloitte</b>	Deliverable 2.2 Program Support Plan	N/A	Conduct an assessment of existing BA team competencies and capabilities against those skills required for future project phases.
<b>Deloitte</b>	Deliverable 2.2 Program Support Plan	N/A	Identify trainings which need to be procured vs. purchased based on industry domain requirements, agency specific policy and procedures and knowledge to mature the stakeholders.
<b>Deloitte</b>	Deliverable 2.2 Program Support Plan	N/A	Determine methodology for rationalizing ancillary systems and other Legal Tools applications.
<b>Deloitte</b>	Deliverable 2.2 Program Support Plan	N/A	Map ancillary systems and their core capabilities to functionalities documented in the Requirements Traceability Matrix (RTM).