ITG Request 045 – Appellate Electronic Filing

Presented to the JISC for
Authorization decision

IT GOVERNANCE REQUEST DECISION

Recommend Decision (4th step)
Appellate Level User Group (ACLUG)

Court Level User Group	**Appellate Court Level User Group**
Chair of Group	Justice Debra Stephens (Supreme Court)

IT Request - **#45 – Appellate e-Filing**								
Endorsing Group – Court of Appeals Executive Committee								
Date of Decision – January 13th, 2011								
Decision to Recommend for Approval	X **Approve** *(unanimously)* ☐ **Decline** *(unanimously)* ☐ **Split Vote:** *moves forward to JISC with pros & cons*							
Prioritization of Request	**# 1 HIGH**							
Scoring of Request	**Business Value** (1-10)	**Relative Priority** (1-10)	**Cost** (1-5)	**Complexity/ Level of Effort** (1-10)	**Risk** (1-5)	**Benefit /Impact** (1-5)	**Impact of Doing Nothing** (1-5)	**Request Total Score** (0-50)
	10	**10**	**3**	**6**	**3**	**5**	**5**	**42**
Pros & Cons *(if vote is not unanimous)*								
Additional Statements *(attachments from other groups in support or additional information that should go to the JISC for consideration)*	X **No =** additional statements/attachments ☐ **Yes =** additional statements/attachments							
Additional Notes	***The group wishes the JISC to know that this is their top priority**							

Proposed Solution for IT Governance Request #045
Appellate Electronic Filing

Summary of Analysis:

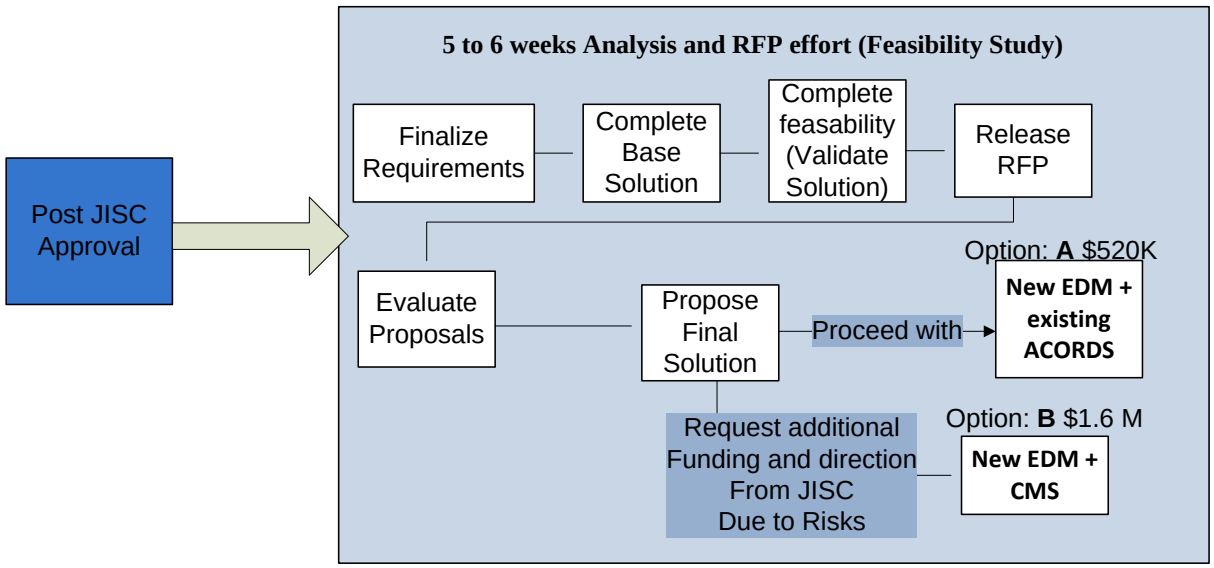
The Administrative Office of the Courts (AOC) proposes, after conducting in person court visits and video conferences with key stakeholders, to refine the request requirements. The AOC Solutions team researched information from five vendors which included phone interviews and internet research to determine if viable products existed to meet the courts needs. The vendor market for Electronic Document Management (EDM) is mature and there is a selection of solutions that could address the business problem.

After the visits to the courts and a review of both internal and external documentation, AOC has completed its analysis of the current applications utilized by the Courts of Appeal (COA) and Supreme Court. The appellate courts require a statewide enterprise document management system that interfaces with an appellate case management system to provide an integrated solution to support their business needs. This will greatly increase the efficiency of the courts. The complete solution for the courts includes the following components that work together: **Web Portal** supporting **E-filing; Document** and **Information Access**; **Workflow** supported **Document** and **Case** management.

Sizing:

Duration of Project:
Due to the maturity in the area of EDM a fairly aggressive time-table is being proposed. The effort for analysis and RFP should be 5 to 6 weeks. The basic functionality of the electronic document management effort for implementation should take 4 to 5 months, depending on components deployed and staff resource availability. Integration of the EDM with ACORDS is estimated at 1,000 hrs. If it is determined a new Case Management System (CMS) is needed to replace ACORDS, then the project to implement EDM + CMS would be 9 to 12 months in duration for deployment to the four courts.

Post JISC :



COSTS Summary *

			Option A		Option B	
Analysis, RFP (Feasibility Study)	Portal, Electronic document management	Integration of existing ACORDS (if possible)	**New EDM + existing ACORDS**	OR	**New EDM + CMS**	
$26,000	$374,000	$120,000	$520,000		$1,600,000	**+ or - 20%**

* on going yearly maintenance is not included in cost

AOC estimates of internal resources to support the project.

For Option A:

Group	Hours	Comments
Court Education	200	SMEs for feasibility study
Business Analysis	240	Gather and document requirements
Architecture	250	Consult and guide study and solution
Maintenance (Java)	1000	Integration (Depends on feasibility study)
Data Warehouse	0	
Quality Assurance	1000	Testing and validation
Project Management	300	Coordination and oversight
Total	**2,990 hours**	

For Option B:

Group	Hours	Tasks
Court Education	300	SMEs for feasibility study
Business Analysis	480	Gather and document requirements
Architecture	500	Consult and guide study and solution
Maintenance (Java)	0	
Data Warehouse	0	
Quality Assurance	2000	Testing and validation
Project Management	1500	Coordination and oversight
Total	**4,780 hours**	

ISD staff costs average $76 per hour. Contractor staff generally costs $120 - $150 per hour.

Request:

The COA and the Supreme Court require immediate action to develop and implement a web portal to facilitate electronic filing and an EDM system to support sharing documents across all four courts, indexing, storage, retrieval, and searching of documents, and an integrated workflow and correspondence module to improve productivity and efficiency in the processing of cases.

- **Web Portal**
- **Electronic Document Management**

- **Case Management Integration** (to eliminate double entry of information)

Business Impacts:

The existing manual, paper-based system is extremely resource intensive. Currently most appellate court processes are manual and paper driven. Manual internal case processing methods are slow, expensive, inefficient, and lead to an unacceptable lost/misfile rate. The paper based records not only prohibit multiple internal users, but also prevent access to the trial courts, litigants, the public, other divisions of the COAs and the Supreme Court.

The COA's have implemented various non-integrated electronic document imaging applications to alleviate the lack of a comprehensive integrated appellate level information system. The Supreme Court still does not have an electronic document imaging application. The only integrated application the courts have is the ACORDS case management application and it is currently lacking in the ability to add functionality to meet the long term needs of the courts. For example, ACORDS currently lacks the functionality of document management and has limited correspondence/workflow capabilities or complete calendaring support. Double data entry is also required to keep the existing EDM in the COA's office and the ACORDS application in sync.

Proposed Solution:

AOC proposes a solution that addresses the following areas; **EDM** and **Case Management integration.** EDM is comprised of a **Web Portal** supporting **E-filing**, **E-Document** and **Information Access** with **Document Management and Workflow. Case Management** integration requires that the EDM integrates with a CMS to eliminate double data entry. Currently the CMS used by the Appellate Courts is ACORDS. The preference is for the EDM to integrate with the existing case management application.

The solution AOC proposes is to put out an RFP which includes an in-depth analysis phase of the integration capabilities of the in-house case management system, ACORDS. As part of the solution, vendors who have a document management system and who either have or can integrate to a new CMS other than ACORDS will also be considered. Internal AOC capabilities as well as vendor solutions will be evaluated during the RFP process in order to get the most value. This will provide better understanding of cost and effort needed to complete the integration of the EDM and CMS components.

As part of the RFP process, a cost benefit analysis will be completed for each proposal which includes an EDM system that integrates with ACORDS or an EDM system integrated with a new CMS. Depending on the outcome of the RFP evaluations, a combination of internal and vendor supplied products could be implemented to achieve the desired results. For example, ISD already has considerable work completed on a web portal for the courts. ISD could provide the web portal component while an outside vendor provides the additional functionality.

To manage the analysis and RFP creation and evaluation a team will be assembled that includes members from COA and Supreme Court, as well as staff from AOC. The team make up should consist of a minimum of an ISD project manager, a solution architect, a business analyst, and two members from each court.

Assumptions:

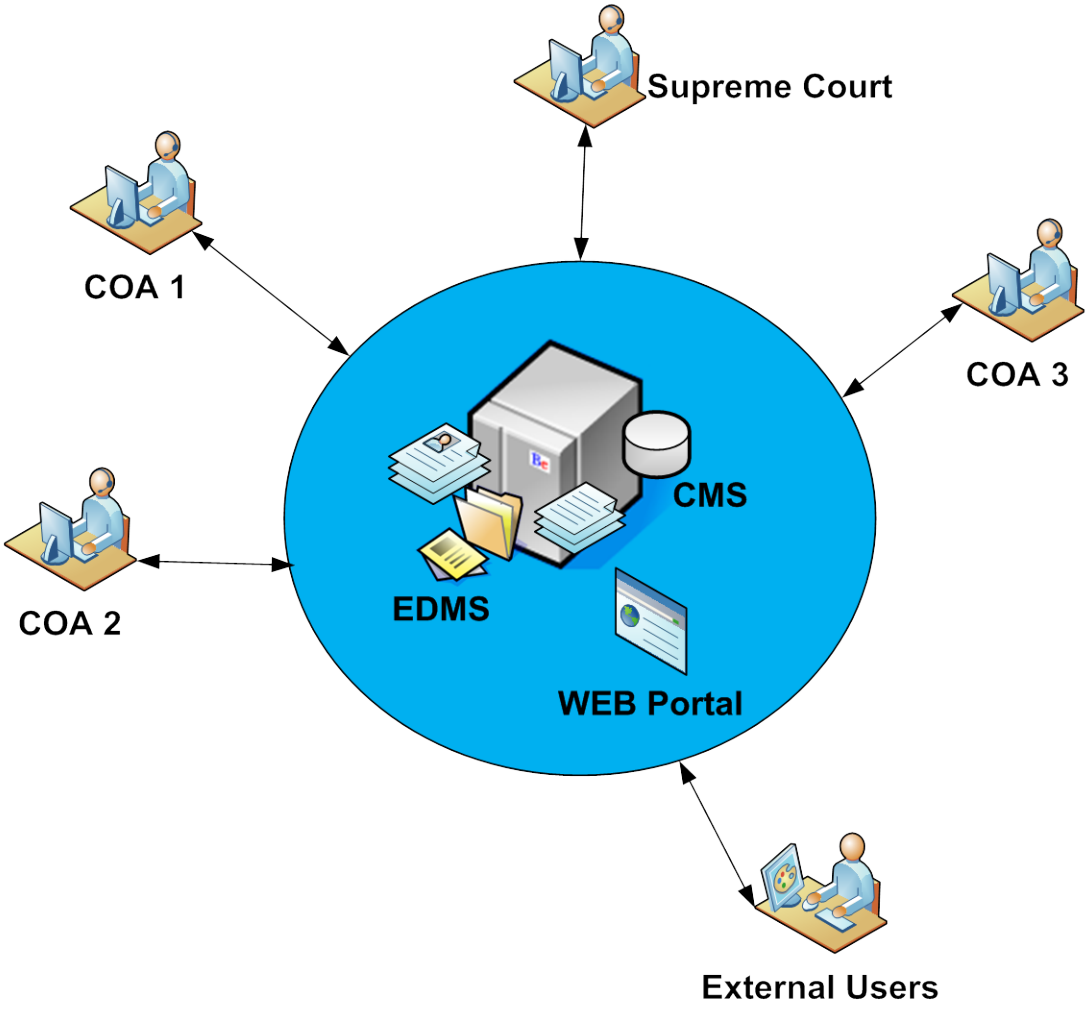
1. Current case management system is easily integrated with an electronic document management application.

Risks:

1. The case management system is not easily integrated with an electronic document management application.

Vision

Supreme\Appellate Court Integrated Information System



All four courts using the same Enterprise system

Appellate Electronic Filing

Request Detail

Requestor Name:
Johnson, Richard D

Origination Date:
10/26/2010

Requestor Email:
richard.johnson@courts.wa.gov

Requestor Phone:
206-464-5871

Recommended Endorser:
Court of Appeals Executive Committee

Request Status: Awaiting CLUG Recommendation

Request Type: New System

Which Systems are affected? Appellate Court System (ACORDS)
Judicial Information System (JIS)

Other affected Systems / Business Processes

Business Area: Court Case Management

Communities Impacted: Appellate Court Judges
Appellate Court Clerks
Public and Other Users

Impact if not Resolved: High

Impact Description:

Request Attachments

JISC Request - Appellate Electronic Filing.pdf

What is the Business Problem or Opportunity

See attached request

Expected Benefit:

See attached request

Any Additional Information:

Endorsement Detail

Endorsing Committee
Court of Appeals Executive Committee

Endorser Name:
Johnson, Richard D

Origination Date:
10/28/2010

Endorser Email:
richard.johnson@courts.wa.gov

Endorser Phone:
206-464-5871

Endorsing Action: Endorsed

Endorser's Explanation and Comments

On behalf of Court of Appeals Executive Committee as directed by Presiding Chief Judge Dennis Sweeney

AOC Analysis Detail

Analysis Date: 01/11/2011

Request Rationale

Aligns with JIS Business Priorities, IT Strategies & Plans: Yes

Aligns with applicable policies and with ISD Standards: Yes

Breadth of Solution Benefit: Wide

Cost Estimates

Cost Benefit Analysis Complete? No

Cost to 2,990 -

Key Business Objectives:

The COA and the Supreme Court require immediate action to develop and implement a web portal to facilitate electronic filing and an EDM system to support sharing documents across all four courts, indexing, storage, retrieval, and searching of documents, and an integrated workflow and correspondence module to improve productivity and efficiency in the processing of cases.

- ~~eeeeeeee~~ **Web Portal**
- ~~eeeeeeee~~ **Electronic Document Management**
- ~~eeeeeeee~~ **Case Management Integration** (to eliminate double entry of information)

Benefits and Business Value:

Appellate Electronic Filing

Cost to Implement?	2,000 4,780 hours plus contractor costs
Positive Return on Investment?	
Projected Maintenance cost?	TBD
Feasibility Study needed?	Yes

Court Level User Group

Appellate Courts

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AOC Analysis - Proposed Solution

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AOC Analysis - Proposed Approach

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Additional Systems Affected

Addtional Court Communities Affected

AOC Analysis Attachments

Analysis of ITG Request 045 - Appellate Electronic Filing.docx

Confirmation of Endorsing Action Detail

Endorsing Committee

Court of Appeals Executive Committee

Endorser Name:

Johnson, Richard D

Origination Date:

01/11/2011

Endorser Email:

richard.johnson@courts.wa.gov

Endorser Phone:

206-464-5871

Endorsing Action: Endorsed

Endorser's Explanation and Comments