



**JUDICIAL INFORMATION SYSTEM COMMITTEE (JISC)  
SPECIAL SESSION**

**FRIDAY, SEPTEMBER 9, 2011 9:00 A.M. – 3:00 P.M.**

**CALL IN NUMBER 800-591-2259 PC: 288483**

**RED LION HOTEL SEATAC, 18220 INTERNATIONAL BLVD.**

*LUNCH WILL BE PROVIDED*

1.	<b>Call to Order Introductions Approval of Minutes</b>	<b>Justice Mary Fairhurst</b>	<b>9:00 – 9:05</b>	<b>Tab 1</b>
2.	<b>JIS Account Fund Balance Projection</b>	<b>Mr. Ramsey Radwan, MSD Director</b>	<b>9:05 – 9:35</b>	<b>Tab 2</b>
3.	<b>ITG Request #2 – Superior Court Case Management Feasibility Amended Final Report:</b> <ul style="list-style-type: none"> <li>• Feasibility Study Process Review</li> <li>• Summary Review of Alternatives &amp; Final Recommendation</li> <li>• Mitigation Recommendations for High Risk Items</li> <li>• Decision Point and Motion</li> </ul>	<b>Ms. Kate Kruller, PMP Mr. Joe Wheeler, MTG Ms. Vonnie Diseth, CIO/ISD Director</b>	<b>9:35 – 2:45</b>	<b>Tab 3</b>
4.	<b>Spokane Municipal Court Request Update</b>	<b>Ms. Vonnie Diseth, CIO/ISD Director</b>	<b>2:45 – 3:00</b>	<b>Tab 4</b>
5.	<b>Informational Materials Q&amp;A from Briefings</b>			<b>Tab 5</b>

**Future Meetings:**

**October 7**

9:00 a.m. – 3:00 p.m. AOC SeaTac Facility

- JISC Policy on Rule 13 - Implementing a Local Court Record System
- ITG Request #95 or #27 Expanded – Spokane Municipal Data Exchange Request
- Economic Revenue Forecast
- 11-13 New ISD Budget Allocation
- JIS Priority Project Reports
- JIS Baseline Services Report
- Final Proviso Report

**December 2**

9:00 a.m. – 3:00 p.m. AOC SeaTac Facility

- Budget Status Report
- JIS Priority Project Reports
- IT Governance Requests
- JIS Policy on IT Governance Feasibility Studies
- Draft Bylaw Amendment for Legislative Comment Decision
- IT Governance Policy for Supreme Court and COA Requests

## JUDICIAL INFORMATION SYSTEM COMMITTEE

August 5, 2011  
9:00 a.m. to 3:00 p.m.  
AOC Office, SeaTac, WA

### DRAFT - Minutes

#### Members Present:

Mr. Larry Barker  
Ms. Linda Bell  
Judge Jeanette Dalton  
Justice Mary Fairhurst, Chair  
Mr. Jeff Hall  
Judge James Heller  
Mr. William Holmes  
Mr. N. F. Jackson  
Mr. Rich Johnson  
Mr. Marc Lampson  
Judge J. Robert Leach  
Mr. Steward Menefee  
Ms. Barb Miner  
Judge Steven Rosen  
Ms. Yolande Williams  
Judge Thomas J. Wynne

#### Members Absent:

Chief Robert Berg

#### AOC/Temple Staff Present:

Mr. Kevin Ammons  
Mr. Bill Burke  
Mr. Bill Cogswell  
Ms. Vonnie Diseth  
Ms. Vicky Marin  
Ms. Heather Morford  
Ms. Pam Payne  
Mr. Ramsey Radwan  
Justice Charlie Wiggins  
Mr. Kumar Yajamanam

#### Guests Present:

Mr. Shayne Boyd  
Ms. Lea Ennis  
Ms. Betty Gould  
Ms. Lynne Jacobs  
Ms. Marti Maxwell  
Mr. Chris Shambro  
Ms. Aimee Vance

### Call to Order

Justice Mary Fairhurst called the meeting to order at 9:00 a.m. and introductions were made.

### June 24, 2011 Meeting Minutes

Justice Fairhurst asked if there were any changes to the June 24 meeting minutes. Hearing no changes and only accolades, Justice Fairhurst deemed them approved.

### New JISC Member Appointments

Justice Fairhurst recognized our newest member to the JISC; Judge Jeanette Dalton. 4 others volunteered to continue their term on the JISC, Judge Thomas Wynne, Mr. William Holmes, Mr. Stew Menefee and Ms. Barb Miner. Justice Fairhurst thanked Judge Michael Trickey for his years of service.

### 2009 – 2011 Budget Close Out Report

Mr. Ramsey Radwan presented the final green sheet for the 2009-2011 biennium for project funding for ISD. We are closing with a positive number. The balance will roll over into the fund balance so will help with the cash balance for the 2011-2013 biennium.

Communications with legislature will begin in late September or early October to discuss the plans JISC has for the funding and the need to correct or ensure that the \$6 million fund swap was one time in nature.

## **IT Governance Requests**

### **ITG Request #2 – Superior Court Case Management Feasibility Study Report Status Update:**

Ms. Vonnie Diseth reported that during the July briefing to the Superior Court Judges Association (SCJA) it was discovered that a fourth alternative analysis was missing and had not been done. MTG was immediately contacted and after reviewing the analysis agreed it was missed and committed to about a 6 week time frame to complete the fourth alternative analysis. The Executive Steering Committee was reconvened to provide the oversight and direction to MTG on exactly what the scope of the fourth analysis should be and what they would be looking at. At the request of the SCJA, the remaining briefings on the feasibility study were canceled and rescheduled so the new briefings would contain the full analysis of all four alternatives. The new briefing schedule is posted on the courts website. [www.courts.wa.gov](http://www.courts.wa.gov)

Due to the time needed by MTG to complete the analysis the decision will be postponed until a special session on September 9. At that time a complete update will be given and a decision will be voted on.

Ms. Vonnie Diseth presented a letter received on August 4, written by Judge McDermott from King County to Judge Inveen, President of the SCJA. In that letter Judge McDermott stated King County is not in agreement with the approach MTG is taking on the fourth analysis. King County stated they have a different proposal for what the fourth analysis of a distributed model should be.

The direction MTG is taking is being directed by the Executive Steering Committee. MTG brought questions to the executive committee about how the distributed approach can be done. The committee discussed the mostly likely scenario of a distributed. The distributed model would be hosted locally and courts would be able to purchase their own case management system. Other ideas discussed were Master Contract management, negotiating pricing, identifying a list of products that are certifiable to do the data exchange and configuration and data standards.

Based on the letter, King County believes the best approach is separating the functionality of what the judges do and what the court administrators do from what the clerks do with in the same system (Distributed Functionality). The functions of the clerks need to remain centralized. That should be the major focus for the fourth alternative, replacing SCOMIS first and the distributed nature that would be asked for would allow the judges and administrators to go out and purchase a separate calendaring and case management system to do their local applications.

Ms. Diseth expressed a concern – if we change direction on MTG now, they won't be able meet the schedule and the expectations. This needs to be decided today so we can move forward.

Justice Fairhurst asked; what do the RFP and contract say? These are the source documents that this committee approved and MTG agreed to do. The language was reviewed so we can all be in agreement as to what we asked MTG to do.

Judge Thomas Wynne asked – “didn't we decide early on that the market couldn't support separating the clerk's functions and the judge's functions”? Ms. Diseth replied; Yes.

Judge Dalton commented that the SCJA has not yet had the opportunity to discuss the letter. The SCJA is schedule to meet August 6. This letter was given as a courtesy to the JISC.

Justice Fairhurst summarized – this is a feasibility study. The purpose is to determine the feasibility, it is not to buy a product; after this, what we are going to decide is whether or not to move forward, it looks like based on what we have – although we are looking at the one we overlooked, it makes sense to move forward with something integrated.

**Motion:** Judge Leach: *I move we instruct the steering committee to proceed as they are with MTG to be able to have a feasibility study to look at in August and evaluate in September.*

**Second:** Linda Bell

**In Favor:** Justice Fairhurst, Marc Lampson, Jeff Hall, Judge Rosen, William Holmes, Linda Bell, Rich Johnson, Judge Leach, Larry Barker, Judge Dalton, Stew Menefee, Judge Wynne, Judge Heller

**Against:** Barb Miner, N.F. Jackson

**Abstain:** Yolande Williams

**Not Voting:** Chief Berg

**Motion:** Mr. Jeff Hall: *I move we ask MTG to consider the letter from Judge McDermott to Judge Inveen to the extent that options 2 & 3 of the feasibility study address the concerns of the letter and MTG acknowledge and consider that in the final version as describing discussion options in the feasibility study.*

**Friendly Amendment** – Judge Rosen: *as long as the schedule remains unaffected.*

**Second:** Yolande Williams (accepts friendly amendment)

**In Favor:** Justice Fairhurst, Marc Lampson, Jeff Hall, Judge Rosen, William Holmes, Linda Bell, Rich Johnson, Judge Leach, Larry Barker, Judge Dalton, Stew Menefee, Judge Wynne, Judge Heller, Barb Miner, N.F. Jackson, Yolande Williams

**Not Voting:** Chief Berg

### **ITG Status Update & Capacity Review**

Mr. Kevin Ammons presented the ITG Status Report and also discussed the current status of the Information Services Division (ISD) resource utilization. He presented a list of projects completed in the last biennium as well as well as an overview of projects currently underway in ISD.

### **ITG Request #45 – Court of Appeals Electronic Filing Feasibility Study Results:**

Mr. Bill Burke presented the Appellate Courts Electronic Document Management System (EDMS) Feasibility Study Results to the JISC. The study determined that it was feasible to interface an EDMS to ACORDS, so that EDMS documents could be retrieved from within ACORDS and that case management data entered in either ACORDS or the EDMS could be transferred to the other system. The implementation of this interface will require AOC development but this interface design was tested with a development prototype and is not expected to be a significant effort. The feasibility study also evaluated Vendor EDMS products and provided a budget estimate for the Appellate Courts EDMS.

**Questions:** What are the annual software licensing costs for the proposed Appellate Courts EDMS?

**AOC:** \$42k annually.

**Question:** What is the risk associated with this project?

**AOC:** The risk for this project is considered Medium, based upon the objective criteria defined in the Washington State Information Services Board (ISB) Risk Assessment guidelines.

The JISC approved the recommendation of the Appellate Court Level Users Group (ACLUG) based upon the Feasibility Study presentation and authorized the implementation of an Appellate Courts EDMS. The JISC requested that prior to awarding a contract to an EDMS Vendor that the EDMS price estimate be provided to the JISC for review. In addition, the JISC requested that the Appellate Courts work to maximize the commonality of the automated document workflow processes between Courts, in order to minimize unique workflow customization required.

**Motion:** Judge Leach: *I move to adopt the Appellate Court Level User Group recommendation to buy an Electronic Document Management System to be used by the Court of Appeals Div 1, Div II, Div III and the Supreme Court.*

**Second:** Judge Wynne

**In Favor:** Justice Fairhurst, Marc Lampson, Jeff Hall, Judge Rosen, William Holmes, Linda Bell, Judge Leach, Larry Barker, Judge Dalton, Stew Menefee, Judge Wynne, Barb Miner, Judge Heller, Yolande Williams, Rich Johnson

**Not Voting:** Chief Berg

**Absent from Room:** N.F. Jackson

**2<sup>nd</sup> Motion:** Judge Leach: Adopt option 4, to fund project from small to medium project fund

**Second:** Rich Johnson

**In Favor:** Justice Fairhurst, Marc Lampson, Jeff Hall, Judge Rosen, William Holmes, Linda Bell, Judge Leach, Larry Barker, Judge Dalton, Stew Menefee, Judge Wynne, Judge Heller, Yolande Williams, Rich Johnson, Barb Miner

**3<sup>rd</sup> Motion:** Justice Fairhurst: the expectation is that an RFP will be issued and the Executive Steering committee will bring back a recommendation to the JISC to act on.

**Moved by Judge Wynne**

**Second:** Judge Leach

**In Favor:** Justice Fairhurst, Marc Lampson, Jeff Hall, Judge Rosen, William Holmes, Linda Bell, Judge Leach, Larry Barker, Judge Dalton, Stew Menefee, Judge Wynne, Judge Heller, Yolande Williams, Rich Johnson, Barb Miner

**Not Voting:** Chief Berg

#### **ITG Request #29 – Enhance JIS Law Table Updates**

Mr. Kevin Ammons presented one IT Governance request for JISC consideration. The request was Request #029 – Enhance JIS Law Table Updates. This request seeks to enhance the screen used in JIS to update the statewide and local law tables. Mr. Ammons clarified that this would enhance an existing process, not create a new process.

**Motion:** Mr. William Holmes: *I move this request be approved by the JISC.*

**Second:** Barb Miner

Mr. Jeff Hall spoke against the motion. He stated that a significant part of the governance process is also declining requests that do not show themselves to be of significant value during the governance process. Justice Fairhurst called a vote on the motion.

**Voting in favor:** None

**Voting against:** All members present

**Not Voting:** Chief Berg

### **JISC Rule 13 – Implement a Local Court Record System**

The Spokane Municipal Request was not on the agenda and was not directly discussed. However, Linda Bell provided the following update on the JISC Policy Workgroup on Implementation of Local Court Systems that was established at their June 24<sup>th</sup> meeting:

- The workgroup met twice - July 6<sup>th</sup> and 26<sup>th</sup>. The next scheduled meeting is on August 30<sup>th</sup>.
- Discussion continues on the policy content --- clarifying the local court and AOC responsibilities.
- We are separating out the “policy” from the “standards” that will still need to be developed and documented by AOC.
- Several more meetings are needed.
- Based on the workgroup members availability, it is not likely that the DRAFT Policy will be ready for presentation at the September 9<sup>th</sup> JISC meeting. (All presentation materials need to be completed two weeks prior to the meeting for review and inclusion in the JISC packet. That does not allow enough time to have the follow-on meetings to complete the policy discussion).

Work Remaining:

- Complete the Draft Policy for adoption by the JISC.
- Draft changes to Rule 13 to include reference to the IT Governance Process.
- Development of the “IT Standards” that must be complied with. This will take some time for AOC to develop and will occur independent of the policy adoption by the JISC.

As a result, it was decided that both of the following agenda items would be moved to the October 7<sup>th</sup> JISC meeting:

1. JISC Policy Workgroup on Implementation of Local Court Systems
2. Spokane Municipal Court Request

### **2011 Certification Results (Audit) of the Disaster Recovery Plan**

Ms. Vonnie Diseth reported twice a year we conduct Disaster Recovery Tests. The JIS Disaster Recovery Plan was audited and certified by Steven Craig of CONSORTIUM OF BUSINESS CONTINUITY PROFESSIONALS, Inc. (CBCP), In delivering the final audit report, Mr. Craig commented: “You’ve done a very nice job bringing the program to where it is to date,” and follow up with “Your plan is very mature.” This is great news!

### **11-13 Legislative Proviso Report**

Ms. Vonnie Diseth informed the committee that we are responsible for providing a report to the legislature by September 30, 2011 on the results of the Superior Court Management Feasibility Study and the status of the data exchanges.

Ms. Diseth requested the JISC authorize the JIS Executive committee to be the approval body when the report is ready to deliver to the legislature. The report will be the recommendation of the feasibility study, not the decision made by the JISC.

Judge Leach asked if it would be possible to circulate the report to allow members to comment to the executive committee with any feedback, realizing the timeframe would be short.

Ms. Diseth agreed to try to and make the report available for review if possible. Notification will be sent as soon as a draft is available.

## **JIS Priority Project Status Reports**

### ***ITG Request #81 – Adult Risk Assessment (ARA)***

Mr. Martin Kravik, Project Manager reported; the ARA project is in the Initiation Phase and Project Charter development has just started.

As requested by the Superior Court Judges Association through ITG Request #081, the project will create a statewide adult static risk assessment application using the STRONG version 2 model developed by Dr. Robert Barnoski.

Items currently viewed as in scope include the development of an interface to JIS data to facilitate automated risk scoring using Washington criminal history information; the development of user interfaces for manually entering out-of-state criminal history data, reviewing system generated risk assessments, and presenting assessments to Judges; working with pilot Courts to ensure system usability; and developing a standard implementation process for Courts choosing to use the adult static risk assessment tool.

Items currently viewed as out of scope include policy decisions, defining individual jurisdictional processes, a full statewide rollout, a BOXI reporting environment, and implementation of the Offender Needs Guide portion of STRONG.

During the next reporting period the project will continue to develop the Project Charter. A review draft should be finished by late August/early September. The Charter will then be advanced for review and approval by the soon to be formed Executive Steering Committee.

### ***Vehicle Related Violations (VRV)***

Mr. Mike Walsh, Project Manager reported the dissolution of what is currently the Department of Information Services (DIS) and the reorganization of the JINDEX operations support into the new Department of Enterprises Services (DES) may put the August Target date at risk.

All three tier 1 courts have had their JINDEX on board assessments examined, reviewed, and returned to the Courts' team to acknowledge the JINDEX rules. The tier 1 development teams have completed their development efforts and are ready to join the JINDEX release schedule and begin testing with AOC. We are waiting for DIS to receive Tier 1 Courts into the JINDEX release schedule. DIS has committed to enter tier 1 courts into the release schedule in the month of August. Mr. Walsh will continue to work with DES for a more defined schedule and escalate the issue if needed.

The AOC VRV project team is continuing to work with Judicial Services Division staff and Information Services Division's Operations staff to turn over the ongoing support, operations, and maintenance of the VRV project.

Now that American Traffic Solutions (ATS) (Lynnwood) and Redflex (Tacoma, Fife) have determined their solutions for integrating with the Justice Information Data Exchange (JINDEX), AOC will begin planning the integration for the Tier 2 pilot courts.

### ***Superior Court Data Exchange (SCDX)***

Mr. Bill Burke, Project manager presented a status on the Superior Court Data Exchange (SCDX) project. The project is in final contract negotiations with Sierra Systems to implement the first SCDX Production Increment. While the project can complete this increment with existing authorized funding, the current project estimate to complete all (58) SCDX web services will require an additional \$1M. This is based on a non-binding estimate from Sierra Systems, based on their evaluation of the work. A revised budget estimate will be submitted once work has been completed on the first SCDX Production Increment and Sierra Systems has a better understanding of the scope of work. No additional funding is being requested at this time.

**Question:** If AOC enters into a contract with Sierra Systems, won't AOC lose leverage for negotiating the price for subsequent increments, since Sierra Systems will already be on contract?

**AOC:** No. The contract will be structured so that it will allow AOC and Sierra Systems to agree to a specific increment of work for a specific fixed price. If AOC is unhappy with Sierra Systems performance or if the negotiated price on any subsequent increment is not acceptable to AOC, the contract will be terminated. This provides AOC with sufficient leverage for negotiation.

**Question:** What is different now that AOC believes that this project can be completed successfully when previous attempts have failed?

**AOC:** This is not an easy project. If it was, this project would have been completed 12 years ago. AOC employees assigned to this project are the most knowledgeable on the SCOMIS system, and include one of the original SCOMIS developers. In addition we have a contractor that is nationally recognized as an expert on developing National Information Exchange Model (NIEM) message formats. In addition, Sierra Systems has significant technical expertise in BizTalk, Websphere MQ and Jagacy, which are core technologies for the current solution. The AOC project team is also meeting regularly with the Pierce County LINX team to review each web service to validate the web service being planned is one that Pierce County can use to interface to the Superior Court Data Exchange. I believe that we have the right people and the right solution to move forward. This is a doable project that can be completed successfully.

**Motion:** Rich Johnson – Move forward with the first 10 web services with the existing budget.

**Second:** Judge Rosen

**Voting in favor:** Justice Fairhurst, Marc Lampson, Jeff Hall, Judge Rosen, William Holmes, Linda Bell, Judge Leach, Larry Barker, Judge Dalton, Stew Menefee, Judge Wynne, Judge Heller, Yolande Williams, Rich Johnson, Barb Miner

**Abstain:** Judge Dalton     **Not Voting:** Chief Berg

### **Committee Reports**

Mr. Rich Johnson reported the presentations given have covered any updates from Data Management Steering Committee (DMSC). Mr. Johnson shared Bill Burke is doing a great job. The projects under the DMSC are moving forward to the best of our ability.



Judge Thomas Wynne reported Data Dissemination committee will meet in September.

**Next Meeting**

The next meeting will be September 9, 2011, at SeaTac Red Lion Hotel; from 9:00 a.m. to 3:00 p.m.

Action Items:

<b>Action Items – From March 4th Meeting</b>			
1	At the end of the legislative session, ask the Supreme Court Rules Committee if it wants the Data Dissemination Committee to revisit GR15 in light of <i>Ishikawa</i> and <i>Bone-Club</i> .	Vicky Marin, Justice Fairhurst	Pending end of legislative session.
2	Draft JIS Policy on comment to the BJA/Legislature reflecting JISC consensus from March 4 <sup>th</sup> meeting.	Vicky Marin	<i>Postponed</i>
3	Amend JIS ITG Policy per JISC vote on 3/4/11	Vicky Marin	<i>Postponed</i>
<b>Action Items – From June 24th Meeting</b>			
4	AOC staff will collect the questions and answers from the SCMFS public sessions and post them on the SCMFS web page after each session	Heather Morford	Pending
5	AOC staff will address the risks identified by MTG in the SCMFS feasibility study and bring those back for the August 5th meeting.	Kate Kruller	Completed
6	An ad hoc workgroup will be formed and will meet at least once before the next JISC meeting on August 5. The purpose of the workgroup will be to develop the JIS draft policy on the JIS local automated court systems and also work on a proposed amendment to JISC Rule 13.	Linda Bell Chair	Completed

**Administrative Office of the Courts**  
**Estimated Revenue and Expenditures Judicial Information System Account**

Assumes the \$6 million transfer is on-going

<b>2009-2011 Biennial Estimate</b>	
Estimated JIS Fund Balance 7-1-09	\$8,000,000
Legislatively Authorized Fund Transfer -to SGF	(\$6,500,000)
Net Fund Balance	\$1,500,000
Estimated JIS Revenue	\$38,000,000
<b>Total Estimated JIS Resources Available</b>	<b>\$39,500,000</b>
Est. 09-11 JIS Expenditures	(\$29,107,000)
<b>Estimated Funding Available</b>	<b>\$10,393,000</b>
<b>Estimated Ending Fund Balance</b>	<b>\$10,393,000</b>

<b>2011-2013 Biennial Estimate</b>	
Estimated JIS Fund Balance 7-1-11	\$10,393,000
Legislatively Authorized Fund Swap	(\$6,011,000)
Net Fund Balance	\$4,382,000
Estimated JIS Revenue	\$38,000,000
<b>Total Estimated JIS Resources Available</b>	<b>\$42,382,000</b>
Est. 11-13 Initial JIS Appropriation	(\$26,238,000)
<b>Estimated Funding Available</b>	<b>\$16,144,000</b>
CMS, Small Project, Carryover & equip. replacement	(\$10,134,000)
<b>Estimated Ending Fund Balance</b>	<b>\$6,010,000</b>

<b>2013-2015 Biennial Estimate</b>	
Estimated JIS Fund Balance 7-1-13	\$6,010,000
Legislatively Authorized Fund Swap	(\$6,011,000)
Net Fund Balance	(\$1,000)
Estimated JIS Revenue	\$38,000,000
<b>Total Estimated JIS Resources Available</b>	<b>\$37,999,000</b>
Est. 13-15 Initial JIS Appropriation	(\$26,238,000)
<b>Estimated Funding Available</b>	<b>\$11,761,000</b>
CMS, Small Project & equip. replacement	(\$14,416,284)
<b>Estimated Ending Fund Balance</b>	<b>(\$2,655,284)</b>

<b>2015-2017 Biennial Estimate</b>	
Estimated JIS Fund Balance 7-1-15	(\$2,655,284)
Legislatively Authorized Fund Swap	(\$6,011,000)
Net Fund Balance	(\$8,666,284)
Estimated JIS Revenue	\$38,000,000
<b>Total Estimated JIS Resources Available</b>	<b>\$29,333,716</b>
Est. 15-17 Initial JIS Appropriation	(\$26,238,000)
<b>Estimated Funding Available</b>	<b>\$3,095,716</b>
CMS & equip. replacement	(\$15,088,374)
<b>Estimated Ending Fund Balance</b>	<b>(\$11,992,658)</b>

**Administrative Office of the Courts**  
**Estimated Revenue and Expenditures Judicial Information System Account**

Assumes the \$6 million transfer is one-time

<b>2009-2011 Biennial Estimate</b>	
Estimated JIS Fund Balance 7-1-09	\$8,000,000
Legislatively Authorized Fund Transfer -to SGF	( <b>\$6,500,000</b> )
Net Fund Balance	\$1,500,000
Estimated JIS Revenue	\$38,000,000
<b>Total Estimated JIS Resources Available</b>	<b>\$39,500,000</b>
Est. 09-11 JIS Expenditures	( <b>\$29,107,000</b> )
<b>Estimated Funding Available</b>	<b>\$10,393,000</b>
<b>Estimated Ending Fund Balance</b>	<b>\$10,393,000</b>

<b>2011-2013 Biennial Estimate</b>	
Estimated JIS Fund Balance 7-1-11	\$10,393,000
Legislatively Authorized Fund Transfer	( <b>\$6,011,000</b> )
Net Fund Balance	\$4,382,000
Estimated JIS Revenue	\$38,000,000
<b>Total Estimated JIS Resources Available</b>	<b>\$42,382,000</b>
Est. 11-13 Initial JIS Appropriation	( <b>\$26,238,000</b> )
<b>Estimated Funding Available</b>	<b>\$16,144,000</b>
CMS, Small Project, Carryover & equip. replacement	( <b>\$10,134,000</b> )
<b>Estimated Ending Fund Balance</b>	<b>\$6,010,000</b>

<b>2013-2015 Biennial Estimate</b>	
Estimated JIS Fund Balance 7-1-13	\$6,010,000
Legislatively Authorized Fund Transfer	
Net Fund Balance	\$6,010,000
Estimated JIS Revenue	\$38,000,000
<b>Total Estimated JIS Resources Available</b>	<b>\$44,010,000</b>
Est. 13-15 Initial JIS Appropriation	( <b>\$26,238,000</b> )
<b>Estimated Funding Available</b>	<b>\$17,772,000</b>
CMS, Small Project & equip. replacement	( <b>\$14,416,284</b> )
<b>Estimated Ending Fund Balance</b>	<b>\$3,355,716</b>

<b>2015-2017 Biennial Estimate</b>	
Estimated JIS Fund Balance 7-1-15	\$3,355,716
Legislatively Authorized Fund Transfer	
Net Fund Balance	\$3,355,716
Estimated JIS Revenue	\$38,000,000
<b>Total Estimated JIS Resources Available</b>	<b>\$41,355,716</b>
Est. 15-17 Initial JIS Appropriation	( <b>\$26,238,000</b> )
<b>Estimated Funding Available</b>	<b>\$15,117,716</b>
CMS & equip. replacement	( <b>\$15,088,374</b> )
<b>Estimated Ending Fund Balance</b>	<b>\$29,342</b>

**Administrative Office of the Courts Select Judicial Information System Account (JIS) Budget History**

<b>Biennium</b>	<b>Ongoing</b>	<b>FTEs</b>	<b>PSEA</b>	<b>JIS</b>	<b>Notes</b>
1997-1999	Fund Shift (leg initiated)	0.00	(\$1,350,000)	\$1,350,000	
1999-2001	Leg Initiated Carryforward Level Adjustment (CA)	0.00	(\$245,000)	\$245,000	
2001-2003	Leg Initiated Performance Level Adjustment	0.00	(\$606,000)	\$606,000	
2003-2005	AOC Requested Maint. Adjustment	10.00	(\$3,692,000)	\$3,692,000	
2006 Supp	Disaster Recovery	0.00	(\$380,000)	\$380,000	All future DR from JIS
2008 Supp	Disaster Recovery	0.00	(\$107,000)	\$107,000	All future DR from JIS
2011-2013	HB 1087 \$6,011,000	0.00	\$0	\$6,011,000	Section 113 decreased SGF approp by \$6,011,000 and increased JIS approp by \$6,011,000
	<b>Total Ongoing JIS Impacts</b>	<b>10.00</b>	<b>(\$6,380,000)</b>	<b>\$12,391,000</b>	
<b>Biennium</b>	<b>One-Time</b>	<b>FTEs</b>	<b>PSEA</b>	<b>JIS</b>	<b>Notes</b>
1999-2001	JIS System Maintenance	0.00	(\$680,000)	\$680,000	
2007-2009	Equipment Replacement	0.00	(\$1,545,000)	\$1,545,000	All future ER requested from JIS
	<b>Total One-Time Impacts</b>	<b>0.00</b>	<b>(\$2,225,000)</b>	<b>\$2,225,000</b>	
<b>Biennium</b>	<b>Fund Balance Shift (One-Time)</b>	<b>FTEs</b>	<b>N/A</b>	<b>JIS</b>	<b>Notes</b>
2007-2009	Transfer to GF	0.00	\$0	\$1,500,000	2008 Supplemental (Section 112, ESHB 2687) transferred \$1.5 million from PSEA to JIS account. Reversed in 09-11 CFL.
2009-2011	ESHB 1244: \$5 million transferred in FY 09 to GF	0.00	\$0	\$5,000,000	Section 1702 ESHB 1244 (2009 supplemental budget)
2009-2011	ESHB 1244: \$2.5 million per fiscal year to GF	0.00	\$0	\$5,000,000	Section 805 ESHB 1244 09-11-- Biennial
2009-2011	SB 6444 increased transfer by \$750,000/FY	0.00	\$0	\$1,500,000	Section 803 SB 6444 first 2010 Supplemental
	<b>Total Fund Balance Shift (One-Time)</b>	<b>0.00</b>	<b>\$0</b>	<b>\$13,000,000</b>	
	<b>Total Shift to JIS</b>			<b>\$27,616,000</b>	



# **Superior Court Management Feasibility Study (SCMFS) Process Review**

**September 9, 2011**



# Administrative Office of the Courts Project Perspective

- Responding to a Superior Court Request
- Supporting Superior Courts: Judge, Administrator and Clerk requirements



# SCMFS Project Work

## Q3 2010

- Published SCMFS RFP
- Gathered all CMS project material available and review it
- Reviewed NCSC, CAPS, and North Dakota RFP for a court system requirements information
- Read the Clerks Manual and court rules

# SCMFS Project Work

## Q4 2010

- Vendor selection for Feasibility Study
- Establish project governance bodies
- Project scope process underway
- Onsite court visit to Thurston County
- Completed: Project Charter, Plan and Schedule



# SCMFS Project Work Q4 2010

- Six Judge/Administrator meetings to review process flows and high level requirements:

<u>Judges</u>	
Judge Stephen Warning	Cowlitz Co.
Judge Jeanette Dalton	Kitsap Co
Judge Michael Trickey	King Co.
Judge Patricia Clark	King Co.
Judge Larry McKeeman	Snohomish Co.
Judge Thomas Wynne	Snohomish Co.

# SCMFS Project Work

## Q4 2010

<u>Court Administrators</u>	
Pat Austin – Administrator	Benton/Franklin Co.
Carol Vance – Juvenile Court Administrator	Benton/Franklin Co.
Frank Maiocco – Administrator	Kitsap Co.
Delilah George – Administrator	Skagit Co.
Marti Maxwell – Administrator	Thurston Co.
Chris Shambro – Business Process Analyst	Snohomish Co.
Ann Howard – Caseflow Manager	Snohomish Co.
Lea Ennis – IT Director	King Co.

# SCMFS Project Work

## Q1 2011

- Six County Clerk meetings to review process flows and high level requirements

<u>County Clerks</u>	
Kevin Stock	Pierce Co.
Sharon Vance	Skamania Co.
Betty Gould	Thurston Co.
Kim Eaton	Yakima Co.
Patty Chester	Stevens Co.
Kathy Martin	Walla Walla Co.
Barb Miner	King Co.
Kim Morrison	Chelan Co.
Linda Myhre-Enlow	Thurston Co.

# SCMFS Project Work

## Q1 2011

- Released RFI to vendor community
- Onsite court visit to Kitsap County
- Multiple Pierce County LINX Team meetings
- Technical information exchange meeting with King County
- Completed: Scope/Charter Amendment, High Level Cost Estimate, High Level Business and Technical Requirements

# SCMFS Project Work

## Q2 2011

- Multiple Pierce County LINX Team meetings
- Consultant Business Analyst/SCOMIS SME
- Indiana AOC and local court CMS implementation teleconference calls
- Completed: Requirements Gap Analysis, more detailed level Business and Technical Requirements, and Refined Cost Estimate

# SCMFS Project Work

## Q3 2011

- Onsite court visit to Benton/Franklin County
- Multiple association meeting briefings
- Completed: Refined Cost Estimate and Feasibility Study Report
- (Aug 24,25 and 30) Multiple Briefings on Feasibility Study Report

# Next Steps

- Complete Phase 1
  - JISC Discussion/Decision 9-9-2011
    - » Whether to proceed
    - » How to proceed
- Phase 2 (RFP Preparation) – 4 Months

# Washington State Administrative Office of the Courts

## Superior Court Management Feasibility Study

September 9, 2011



**MTG Management Consultants, LLC**  
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# Agenda

- Objectives
- Alternatives
- Comparison of Alternatives
- Cost-Benefit Analysis
- Summary and Recommendation

# Objectives

- Enable judges to:
  - » Direct and monitor court case progress.
  - » Schedule case events.
  - » Enforce court business rules.
  - » View case plans/schedule, status, progress, and case party information.
  - » Quickly and efficiently communicate court schedules and orders.
- Enable court administrators to:
  - » Report and view case plans/schedule, status, progress, and case party information.
  - » Quickly and efficiently schedule case events.
  - » Enforce court business rules.
  - » Quickly and efficiently communicate court schedules and orders.
- Improve county clerk operations.
  - » Maintain/improve current capabilities.
  - » Leverage what solution providers offer to better support the clerks.

## Alternatives

1. Employ an open source LINX application, to be hosted at Pierce County and the AOC.
2. Acquire a court calendaring, scheduling, and case flow management application.
3. Acquire a full-feature court case management application, to be hosted at the AOC.
4. Acquire a full-feature court case management application, to be hosted locally.

# Alternatives

## 1 – LINX

- The current LINX application:
  - » Meets functional requirements with a full-feature solution.
  - » Is not designed for multiple courts or AOC technical requirements.
  - » Is a very successful Integrated Justice Information System (IJIS).
- The new LINX application would be employed for this alternative.
- The new LINX application:
  - » Is an open source IJIS software solution.
  - » Requires 40,000 hours of software development under Pierce County leadership.
  - » Involves a public/private partnership.
  - » Meets functional and technical requirements.
  - » Is projected to meet a 5-year schedule.
- JISC would fund two-thirds of the software development.
- Organizational capabilities are being designed and developed.

# Alternatives

## 2 – *Calendar/Case Flow Management*

- This alternative involves licensing a calendaring, scheduling, case flow management application. This application:
  - » Is a commercial software solution.
  - » Has one vendor in the marketplace.
- This alternative:
  - » Meets many functional requirements, with modifications.
  - » Materially meets technical requirements.
  - » Offers limited organizational support.
  - » Will likely meet a 5-year schedule.

# Alternatives

## 3 – Centrally Hosted Full Case Management

- This alternative involves licensing a full-feature court case management application. This application:
  - » Is a commercial software solution.
  - » Has broad and deep vendor support in the marketplace.
- This alternative:
  - » Meets functional requirements.
  - » Meets technical requirements.
  - » Meets organizational support requirements.
  - » Will likely meet a 5-year schedule.

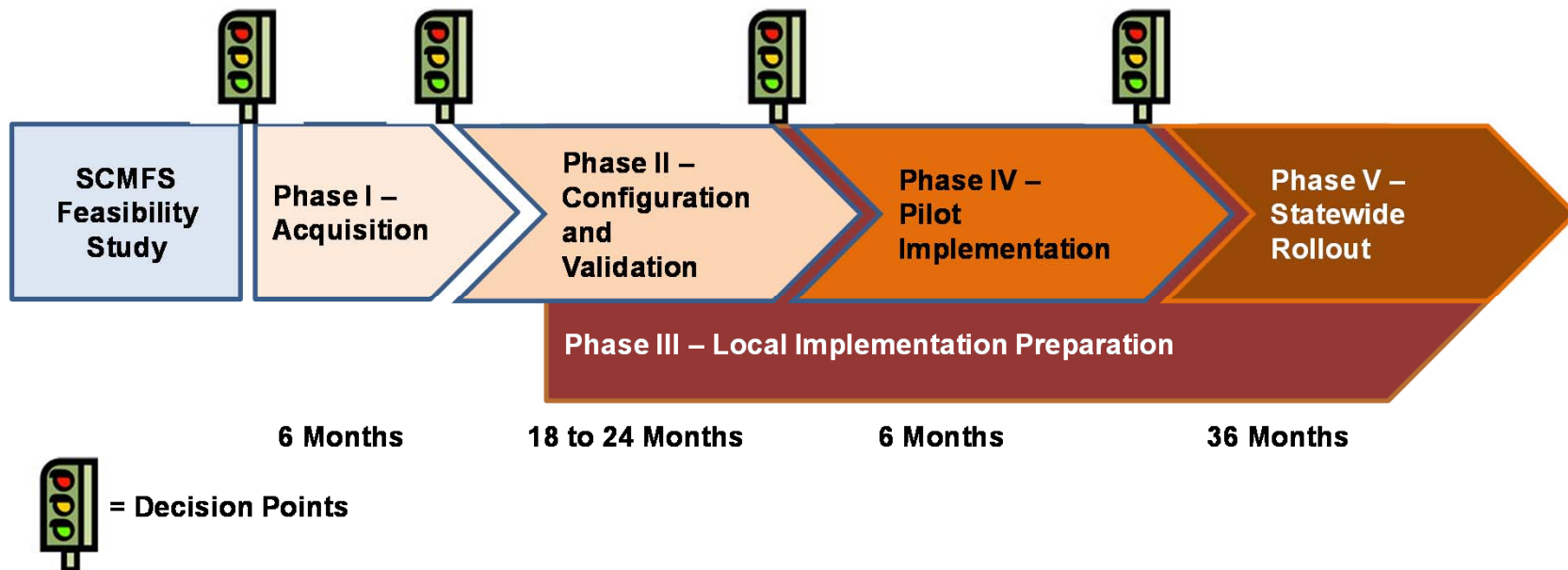
# Alternatives

## 4 – *Locally Hosted Full Case Management*

- This alternative involves local court implementation of a full-feature court case management application. This application:
  - » Is a commercial software solution.
  - » Has broad and deep vendor support in the marketplace.
  - » Would have AOC support during the master-contracting, configuration, and data-sharing phases.
  - » Would be based on local courts and court consortiums.
  - » Enables local selection, contracting, implementation, and operation.
- This alternative:
  - » Meets functional requirements.
  - » Meets technical requirements.
  - » Meets organizational support requirements.
  - » Is assumed to meet a 5-year schedule.

# Comparison of Alternatives

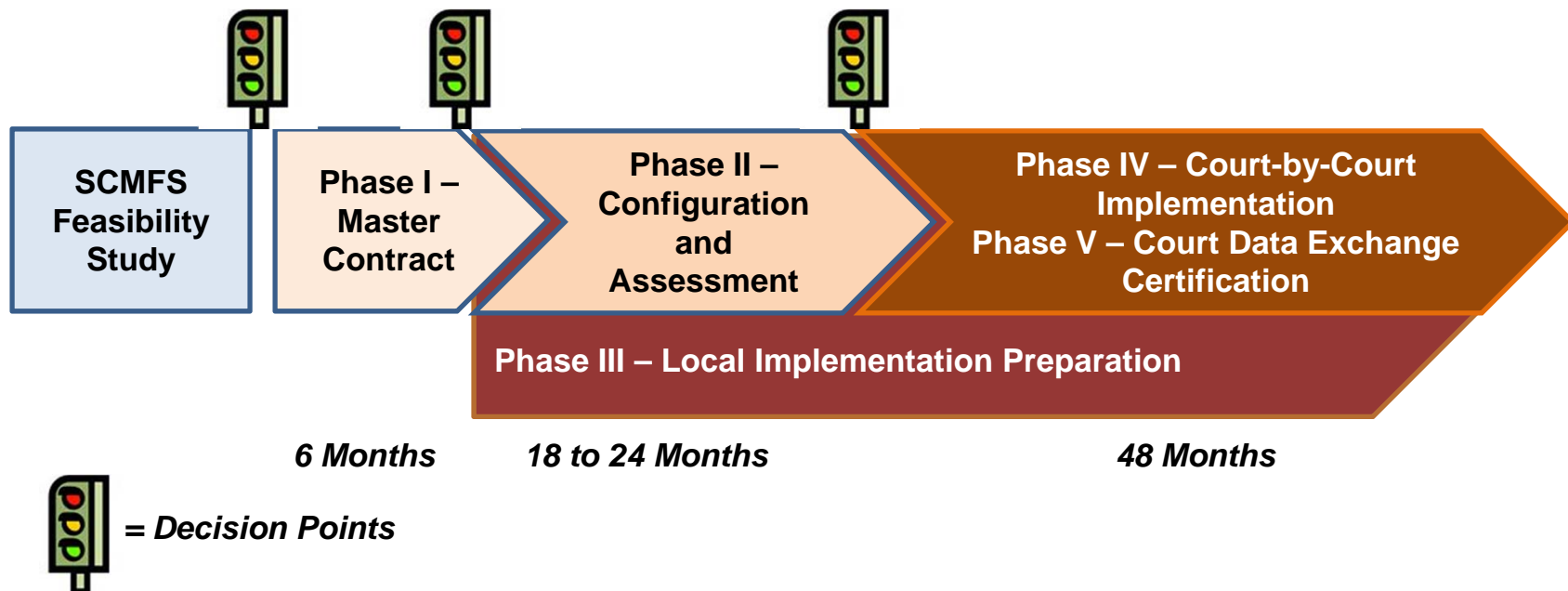
## *Central Hosting Approach and Time Frame*





# Comparison of Alternatives

## *Local Hosting Approach and Time Frame*



# Comparison of Alternatives

## *Alternative Cost-Benefit Analysis*

### Onetime Project Costs

Alternative	Alternative 1 – Pierce County LINX*	Alternative 3 – Centrally Hosted Commercial CMS*	Alternative 4 – Locally Hosted Commercial CMS*
Salaries and Wages	\$ 8,869	\$ 6,844	\$ 6,762
Employee Benefits	2,369	1,867	1,732
Personal Service Contracts	11,650	7,322	13,661
Communications	156	156	86
Goods/Services Not Listed	431	378	405
Travel	151	151	0
Hardware Purchase Capitalized	459	557	999
Software Purchase Capitalized	<u>0</u>	<u>3,446</u>	<u>4,307</u>
<b>TOTAL DEVELOPMENT</b>	<b>\$24,085</b>	<b>\$20,721</b>	<b>\$27,952</b>
Stakeholder Impact	<u>1,990</u>	<u>1,990</u>	<u>3,202</u>
<b>TOTAL DEVELOPMENT AND IMPACT</b>	<b>\$26,075</b>	<b>\$22,711</b>	<b>\$31,154</b>

\* Dollar figures are in thousands.

# Comparison of Alternatives

## *Alternative Cost-Benefit Analysis (continued)*

### 10-Year Life Cycle – Program and Operating Costs

Alternative	Alternative 1 – Pierce County LINX*	Alternative 3 – Centrally Hosted Commercial CMS*	Alternative 4 – Locally Hosted Commercial CMS*
Salaries and Wages	\$5,949	\$3,236	\$10,227
Employee Benefits	1,499	819	95
Goods and Services Not Listed	146	146	12
Software Maintenance and Upgrade	-	3,164	3,955
Hardware Purchase Capitalized	<u>919</u>	<u>1,115</u>	<u>1,250</u>
<b>TOTAL OPERATIONS</b>	<b>\$8,513</b>	<b>\$8,480</b>	<b>\$15,539</b>

\* Costs in Thousands

# Comparison of Alternatives

## *Alternative Cost-Benefit Analysis (continued)*

Alternative	Benefits	Project Costs	Operating Costs	Net Present Value (NPV)	Internal Rate of Return (IRR)
Alternative 1 – Pierce County LINX	\$43.3M	\$26.1M	\$8.5M	\$4.0M	7.1%
Alternative 3 – Centrally Hosted Commercial CMS	\$43.3M	\$22.7M	\$8.5M	\$7.2M	11.7%
Alternative 4 – Locally Hosted Commercial CMS	\$43.3M	\$31.2M	\$15.5M	\$(6.5M)	-2.4%

# Comparison of Alternatives

## *Alternative Risk Management*

Alternative	High Risk	Medium Risk	Low Risk	Appendix
Alternative 1 – Pierce County LINX	28	24	38	K
Alternative 3 – Centrally Hosted Commercial CMS	18	22	50	J
Alternative 4 – Locally Hosted Commercial CMS	29	38	23	L

# Comparison of Alternatives

## *Recommendation*

	Alternative 1 LINX	Alternative 2 Calendar/ CFMS	Alternative 3 Central Full-Function CMS	Alternative 4 Local Full-Function CMS
Custom Development	-	+	+	+
Organizational Support	-	Disqualifying	+	+
Functional Alignment	+	+	+	+
Technical Alignment	+	+	+	+
Application Evolution	~	-	+	+
Risk	28 High 24 Medium 38 Low	Not Assessed	18 High 22 Medium 50 Low	29 High 38 Medium 23 Low
Rate of Return	7.1%	Not Assessed	11.7%	-2.4%

***Acquire and centrally host a commercial, full-function CMS.***

# Cost-Benefit Analysis

## Project Costs – Commercial CMS

Fiscal Costs, Project Development	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	GRAND TOTAL
Salaries and Wages	\$397,488	\$1,358,310	\$1,380,084	\$1,236,108	\$1,236,108	\$1,236,108	\$6,844,206
Employee Benefits	100,651	357,202	357,202	350,516	350,516	350,516	1,866,604
Personal Service Contracts	100,000	1,599,750	1,442,250	1,363,500	1,363,500	1,453,500	7,322,500
Communications	26,000	26,000	26,000	26,000	26,000	26,000	156,000
Hardware Rent/Lease	0	0	0	0	0	0	0
Hardware Maintenance	0	0	0	0	0	0	0
Software Rent/Lease	0	0	0	0	0	0	0
Software Maintenance and Upgrade	0	0	0	0	0	0	0
Data Processing (DP) Goods/Services	0	0	0	0	0	0	0
Goods/Services Not Listed	42,525	126,525	55,600	49,375	51,225	52,475	377,725
Travel	7,525	15,050	15,050	37,625	37,625	37,625	150,498
Hardware Purchase Capitalized	0	221,023	229,581	106,868	0	0	557,471
Software Purchase Capitalized	0	0	172,300	861,500	1,033,800	1,378,400	3,446,000
Hardware Purchase – Non-Cap.	0	0	0	0	0	0	0
Software Purchase – Non-Cap.	0	0	0	0	0	0	0
Hardware Lease/Purchase	0	0	0	0	0	0	0
Software Lease/Purchase	0	0	0	0	0	0	0
Other (specify)	0	0	0	0	0	0	0
<b>TOTAL DEVELOPMENT</b>	<b>\$674,189</b>	<b>\$3,703,860</b>	<b>\$3,678,067</b>	<b>\$4,031,491</b>	<b>\$4,098,774</b>	<b>\$4,534,624</b>	<b>\$20,721,004</b>
Stakeholder Impact	0	53,849	340,443	500,267	763,752	331,239	1,989,551
<b>TOTAL DEVELOPMENT AND IMPACT</b>	<b>\$674,189</b>	<b>\$3,757,709</b>	<b>\$4,018,510</b>	<b>\$4,531,758</b>	<b>\$4,862,526</b>	<b>\$4,865,863</b>	<b>\$22,710,555</b>

NOTE: Slight variations in totals are due to rounding.

# Cost-Benefit Analysis

## Annual Program Costs – Commercial CMS

Operations Incremental Costs of Project	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021	GRAND TOTAL
Salaries and Wages	\$29,328	\$ 58,656	\$ 87,984	\$117,312	\$ 735,570	\$ 735,570	\$ 735,570	\$ 735,570	\$3,235,560
Employee Benefits	7,354	14,708	22,063	29,417	186,268	186,268	186,268	186,268	818,614
Personal Service Contracts	0	0	0	0	0	0	0	0	0
Communications	0	0	0	0	0	0	0	0	0
Hardware Rent/Lease	0	0	0	0	0	0	0	0	0
Hardware Maintenance	0	0	0	0	0	0	0	0	0
Software Rent/Lease	0	0	0	0	0	0	0	0	0
Software Maintenance and Upgrade	0	31,960	191,760	383,520	639,200	639,200	639,200	639,200	3,164,040
DP Goods/Services	0	0	0	0	0	0	0	0	0
Goods/Services Not Listed	8,100	1,250	10,600	3,750	45,500	25,625	25,625	25,625	146,075
Travel	0	0	0	0	0	0	0	0	0
Hardware Purchase Capitalized	0	0	221,023	229,581	106,868	221,023	229,581	106,868	1,114,942
Software Purchase Capitalized	0	0	0	0	0	0	0	0	0
Hardware Purchase – Non-Cap.	0	0	0	0	0	0	0	0	0
Software Purchase – Non-Cap.	0	0	0	0	0	0	0	0	0
Hardware Lease/Purchase	0	0	0	0	0	0	0	0	0
Software Lease/Purchase	0	0	0	0	0	0	0	0	0
Other (specify)	0	0	0	0	0	0	0	0	0
<b>TOTAL OPERATIONS</b>	<b>\$44,782</b>	<b>\$106,574</b>	<b>\$533,430</b>	<b>\$763,579</b>	<b>\$1,713,406</b>	<b>\$1,807,686</b>	<b>\$1,816,244</b>	<b>\$1,693,531</b>	<b>\$8,479,232</b>

NOTE: Slight variations in totals are due to rounding.



# Cost-Benefit Analysis

## *Annual Tangible Benefits*

ID	Description	Court/ County Clerk Benefit	Public Benefit
1-A	Reduce Number of Proceedings Rescheduled Due to Court Congestion	\$ 89,494	\$1,190,136
1-B	Reduce Number of Proceedings Rescheduled for Non-Congestion Reasons	161,085	2,142,204
1-C	Reduce Time Spent Searching for Open Calendar Dates	366,563	0
2-A	Provide Customer Self-Service Tools for Case Data and Calendar Searches	112,125	1,974,375
2-B	Provide Self-Service Protection Order Kiosks	281,520	33,048
3-A	Automate Production of and Outsource Mass Mailings to Centralized/Regionalized Print Facilities	1,622,433	0
3-B	Automate Distribution of Judgment and Sentence Pleadings	152,409	0
3-C	Automate Generation and Distribution of Certain Orders	286,231	0
4-A	Reduce Redundant Data Entry	<u>343,804</u>	<u>0</u>
Annual Benefit to Court/County Clerk and Public		\$3,415,664	\$5,339,763
<b>Total Annual Benefit</b>		<b>\$8,755,427</b>	

# Cost-Benefit Analysis Summary Analysis

	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021	Grand Total
<b>Total Outflows</b>	\$ 674,189	\$ 3,757,709	\$ 4,063,292	\$ 4,638,333	\$ 5,395,955	\$ 5,629,442	\$ 1,713,406	\$ 1,807,686	\$ 1,816,244	\$ 1,693,531	\$ 31,189,786
<b>Total Inflows</b>	\$ -	\$ -	\$ -	\$ 437,771	\$ 2,626,628	\$ 5,253,256	\$ 8,755,427	\$ 8,755,427	\$ 8,755,427	\$ 8,755,427	\$ 43,339,364
<b>Net Cash Flow</b>	\$ (674,189)	\$ (3,757,709)	\$ (4,063,292)	\$ (4,200,561)	\$ (2,769,327)	\$ (376,186)	\$ 7,042,021	\$ 6,947,741	\$ 6,939,183	\$ 7,061,896	
<b>Incremental NPV</b>	N/A	\$ (4,177,837)	\$ (7,869,379)	\$ (11,565,508)	\$ (13,925,573)	\$ (14,236,074)	\$ (8,606,611)	\$ (3,227,344)	\$ 1,976,183	\$ 7,105,042	
<b>Cumulative Costs</b>	N/A	\$ 4,431,898	\$ 8,495,190	\$ 13,133,523	\$ 18,529,478	\$ 24,158,921	\$ 25,872,326	\$ 27,680,012	\$ 29,496,256	\$ 31,189,786	
<b>Cumulative Benefit</b>	N/A	\$ -	\$ -	\$ 437,771	\$ 3,064,399	\$ 8,317,656	\$ 17,073,083	\$ 25,828,510	\$ 34,583,937	\$ 43,339,364	

Cost of Capital	Break-Even Period – Years <sup>1</sup>		NPV \$	IRR %
	Non-Discounted	Discounted		
3.25%	8	8	\$ 7,105,042	11.69%

<sup>1</sup> "Non-Discounted" represents break-even period for cumulative costs and benefits (no consideration of time value of money).  
"Discounted" considers effect of time value of money through incremental NPV.

**NOTE:** Slight variations in totals are due to rounding.

# Summary and Recommendation

- Superior courts lack the tools they need, resulting in:
  - » Delayed justice.
  - » Increased costs to all parties.
  - » Limited access to justice.
- SC-CMS offers opportunities for improvement in:
  - » Dispute resolution.
  - » Caseload management.
  - » Resource management.
  - » Record keeping and administration.
  - » Services to litigants, the bar, justice partners, and others.
  - » Lower court operating costs.

## Summary and Recommendation *(continued)*

- The project requires risk mitigation.
  - » Unify the leadership and vision of courts, clerks, and AOC concerning the project.
  - » Adapt current local practices.
  - » Deliver Information Networking Hub services.
  - » Manage the solution provider.
  - » Maintain funding across 3 biennia.
- SC-CMS is fundamental to:
  - » IT modernization.
  - » Optimized operations, timeliness, and services.
  - » Providing a new tool set for the courts.

***Address the risks and implement SC-CMS.***



# **Superior Court Management Feasibility Study (SCMFS)**

## **Mitigation Recommendations for High Risk Items**

**September 9, 2011**

# Risk Mitigation Recommendations

## 1. Unified Leadership and Vision – All Stakeholders

Risk Expectation	Objectives and outcomes are consistent among customers, stakeholders and the project team. A common understanding of the systems, services and processes. Procedures are in place to enable the users to review and accept appropriate deliverables.
Risk Numbers Covered	8, 36
Mitigation	Establish executive leadership and employ a co-equal representative governance structure. Write and sign a Statement of Purpose for the SC CMS project. Execute comprehensive communication to all stakeholders. Establish priority for SC-CMS initiative.

# Risk Mitigation Recommendations

## 2. Adapt Current Local Practices

Risk Expectation	The project enables and supports business operations and helps the organization achieve its outcomes and business objectives. The implementation of systems, services and processes is well defined and not overly complex. The impact to customer operations is reasonable. Data migration and conversion and well planned, configured and validated.
Risk Numbers Covered	1, 41, 84 and 85
Mitigation	The courts need to work together to be consistent with their processes wherever possible. Complexity can be reduced by establishing a limited number of standard configurations and substantial project planning.



# Risk Mitigation Recommendations

## 3. Deliver Information Networking Hub Services

<p>Risk Expectation</p>	<p>Clearly define and establish the architecture to build an AOC INH to support a Commercial Off-the-Shelf application (specifically SC CMS). Provide an INH strategy and roadmap that contains the Proof of Concept, interim build milestones and full implementation of SC CMS. Appropriate technical tools must be made available to support personnel that are implementing, supporting, and maintaining the systems, services, and processes. Build upon experience in implementing interfaces using the INH.</p>
<p>Risk Numbers Covered</p>	<p>3, 17, 35 and 42</p>
<p>Mitigation</p>	<p>AOC must build its capability through success at interim milestones and deliverables. Improve progress toward the INH by delivering LINX DX on schedule. Internally, AOC has an INH Track program in place to address its capability to implement and manage the INH for the courts. Contract a consultant with INH experience to participate on the team. Use the INH milestones and roadmap to report progress to the stakeholder community. Establish priority for SC-CMS initiative.</p>

# Risk Mitigation Recommendations

## 4. Manage Solution Provider

Risk Expectation	The project team has experience with the configuration and operation of commercial systems, processes and services. Project has implemented procedures to identify defects and deficiencies early in the process so that the project can correct problems without causing disruption.
Risk Numbers Covered	26 and 73
Mitigation	AOC needs to implement a solid project management, change management and contract management programs. Internally, AOC has a Transformation Track program in place to address its capability to implement and manage COTS for the courts.

# Risk Mitigation Recommendations

## 5. Maintain Funding Across Three Biennia

Risk Expectation	The project has sufficient budget and personnel resources to accomplish its tasks and achieve its outcomes.
Risk Numbers Covered	64
Mitigation	Meet legislative budget requirements and provisos. Keep legislature informed on project progress and accomplishments. Contract a Quality Assurance consultant.

Judicial Information System Committee Meeting

September 9, 2011

## **DECISION POINT – Superior Court Management Feasibility Study**

### **I. FACTS**

In 2010, the JISC authorized a feasibility study on the benefits, costs, and risks of a case management system for all of the superior courts in Washington. The Superior Court Judges' Association requested a case management system that enables judges to direct and monitor court case progress, schedule case events, enforce court business rules, view case plans/schedules, status progress, and case party information, and quickly and efficiently communicate court schedules and orders. The system would enable court administrators to report and view case plans/schedules, status, progress, and case party information, quickly and efficiently schedule case events, enforce court business rules, and quickly and efficiently communicate court schedules and orders. The system would improve county clerk operations to maintain or improve current capabilities, and leverage what solution providers offer to better support the clerks.

An outside firm, MTG Management Consultants, LLC, was selected to conduct the feasibility study. An Executive Sponsor Committee (ESC), with appointees representing superior court judges, court administrators, juvenile court administrators, and county clerks, provided oversight and guidance to MTG throughout the feasibility study process. MTG also worked with stakeholders to gather high-level business requirements used for the Gap Analysis. The feasibility study also included a Migration Plan, an Integration Evaluation, and a Cost-Benefit Analysis.

The Superior Court Management Feasibility Study analyzed four major alternatives for a superior court case management system:

1. Use the Pierce County Legal Information Network Exchange (LINX) application statewide.
2. Acquire a commercial application for statewide implementation focused on calendaring, scheduling, and case-flow management.
3. Acquire a full-featured commercial application for statewide implementation providing calendaring, scheduling, case-flow management, and other record-keeping functions.
4. Establish configuration and data standards, create protocols for data transmission, and provide a master contract with solution providers from which local courts could select applications. Individual courts, or groups of courts, would acquire, implement, operate, and maintain applications.

The feasibility study considered costs, benefits, and risks associated with each alternative. It concludes that Alternative 3, statewide implementation of a full-featured case management system, is the most economical and lowest risk alternative. The report concludes that this implementation would provide well over 200 benefits to the courts, the court community, and AOC, and provide an estimated benefit of almost \$8 million a year.

## **II. PROPOSAL**

MTG Management Consultants, LLC, recommend that the JISC direct AOC to acquire and centrally host a statewide full-featured, commercial case management system for superior courts to provide the tools to:

- Manage and resolve disputes prudently and efficiently.
- Manage caseloads efficiently with available facilities, resources, and staff.
- Enhance record-keeping and administrative resources for the county clerks.
- Enhance services to litigants, the bar, justice partners, and others in the court community.
- Lower court operating costs.

## **III. OUTCOME IF NOT PASSED –**

The feasibility study notes that superior court judicial officers and administrators statewide lack the tools they need to manage and resolve disputes in a timely manner, and manage case schedules, resources, and personnel as efficiently as possible. These limitations delay justice, increase costs to all parties, and limit access to justice.

## **PROPOSED MOTION – Superior Court Management Feasibility Study**

I. **BACKGROUND** – On September 6, 2011, the JISC Chair and AOC staff met with JISC members and stakeholders representing the Superior Court Judges Association, Association of Washington Superior Court Administrators, Washington State Association of County Clerks, and King County. Present at the meeting were:

- Justice Fairhurst – Supreme Court (JISC Chair)
- Judge Dalton – Kitsap Co. (JISC)
- Judge Wynne – Snohomish Co. (JISC)
- Judge Trickey – King Co.
- Judge Inveen – King Co. (President of SCJA)
- Judge McDermott – King Co. Presiding Judge
- Frank Maiocco – Administrator Kitsap Co. (President of AWSCA)
- N.F. Jackson – Administrator/Clerk Whatcom Co. (JISC)
- Paul Sherfey – Administrator King Co.
- Barb Miner – County Clerk King Co. (JISC)
- Betty Gould – County Clerk Thurston Co. (President of WSACC)
- Kevin Stock – County Clerk Pierce Co.
- Lea Ennis – King County IT Director
- Vonnie Diseth – AOC CIO
- Jeff Hall – AOC State Court Administrator
- Heather Morford – AOC Business Liaison for Superior Courts
- Kate Kruller – AOC Project Manager SCMFS
- Joe Wheeler – MTG Consultants

II. The stakeholder group agreed to the following vision and next steps.

### **MOTION:**

- I move that JISC direct AOC to develop an RFP that would implement the recommendation of MTG Management Consultants, in the Superior Court Case Management Feasibility Study Report, Version 1.3, that AOC acquire, implement, and centrally host a statewide, full-featured, commercial case management system for superior courts, subject to the following conditions:

- A new RFP Steering Committee needs to be formed, with a new charter and structure.
- There will be formal motions for all decisions and detailed minutes of all meetings held.
- The committee will be composed as follows:
  - 3 Clerks
  - 3 Judges/Court Administrators (1 from King County, at least 1 judge and 1 administrator)
  - 2 AOC representatives with limited voting ability (State Court Administrator and CIO. No vote on final recommendation.
- There will be a majority Vote (of four) for all decisions.
- The JISC cannot override a “no” vote or a “none of the above” vote from the RFP Steering Committee.
- The JISC can only support or reject a recommendation from the Steering Committee. It cannot adopt a substitute.
- A “none of the above” recommendation from the steering committee on the COTS alternative will result in review of the other feasibility study alternatives without going back through the IT Governance process.
- To meet the requirements of the legislative proviso, the presidents of the Superior Court Judges Association, Association of Washington Superior Court Administrators and the Washington State Association of County Clerks will affirmatively confirm that it meets the needs of their members in the 39 counties before the RFP is issued.
- The intention of the project is that this new CMS will eventually replace SCOMIS in the JIS Portfolio.
- There will be two stoplights in the process to re-evaluate before moving forward:
  1. After the RFP Development (Yes/No) (prior to release of the RFP). A “no” is an acceptable decision and would also be considered a success.
  2. Prior to contract award, if the RFP is issued. A “non-contract award” is an acceptable decision to not go forward.
- There must be recognition that the Data Exchange/Information Networking Hub (INH) must be completed regardless of this project. But, it is not a deliverable of this project.
- There is agreement among the above-named associations that there should be no net increase in the County Clerks’ labor with a new system. Meeting the County Clerks’ needs will be based on results (what needs to be done), not process (the manner in which it is done).
- 95% of King County’s functional requirements must be met.



**SPOKANE MUNICIPAL COURT**  
PUBLIC SAFETY BUILDING  
1100 W. MALLON  
SPOKANE, WASHINGTON 99260  
(509) 622-5867

Received

AUG 18 2011

August 16, 2011

Justice Mary E. Fairhurst

**MARY C. LOGAN**  
PRESIDING JUDGE

Justice Mary E. Fairhurst  
Washington State Supreme Court  
PO Box 40929  
Olympia, WA 98504-0929

Re: Spokane Municipal Court's Request for Approval of Local Automated  
Court Record System

Dear Justice Fairhurst:

First, let me say thank you for the attention you and the technical members of the JISC have shown to our request. We had no idea in Spokane that this would involve any expense or controversy on behalf of JISC or AOC. We were surprised to learn of the cost estimates and the concerns that have been voiced by other criminal justice associations. To that end we have reviewed our plan and have decided to take a different approach.

In your June 24, 2011, 'Options' response, to our request you laid out three options. The first is proving to be too expensive and controversial, while the last will not allow us in these tight budget times to meet our budget limitations and criminal justice needs. We have, therefore, focused on the second option of double entry and have done an analysis that has convinced us that while we will not achieve the savings we had initially planned, that we can still save money and operate far more efficiently by proceeding to implement while doing double entry into the JIS database. We will wait until such time as you have completed ITG 27 allowing us to transmit our daily data and then achieve our final cost savings.

Consequently, we do not believe there is any further need for the JISC committee or the technical staff to expend any further effort on behalf of our request to interface JustWare with the JIS system. I understand that Mr. Bledsoe of our City Legal Department advised Mr. Cogswell, of AOC, and your technical staff members of this decision on August 16, 2011, but I wanted to follow that up with this letter.

Once again, thank you for your assistance on this issue.

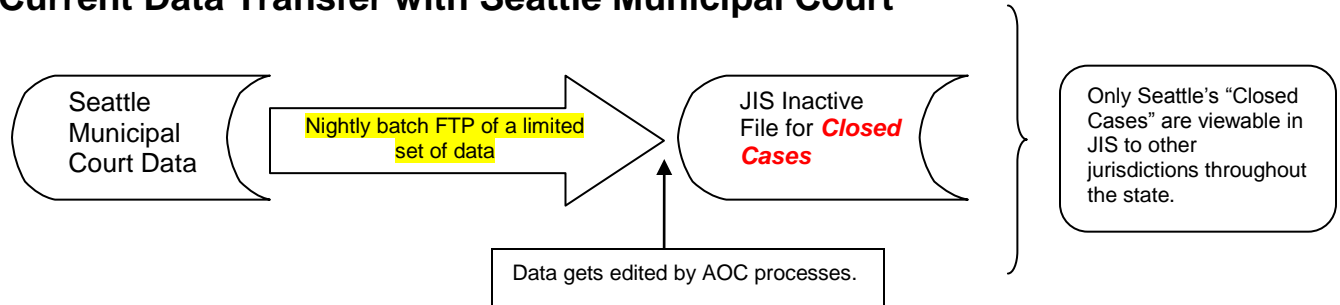
Sincerely,

Mary C. Logan  
Presiding Judge  
Spokane Municipal Court



**Spokane Municipal Court  
To Implement a  
Local Court Management System  
OPTIONS  
June 24, 2011**

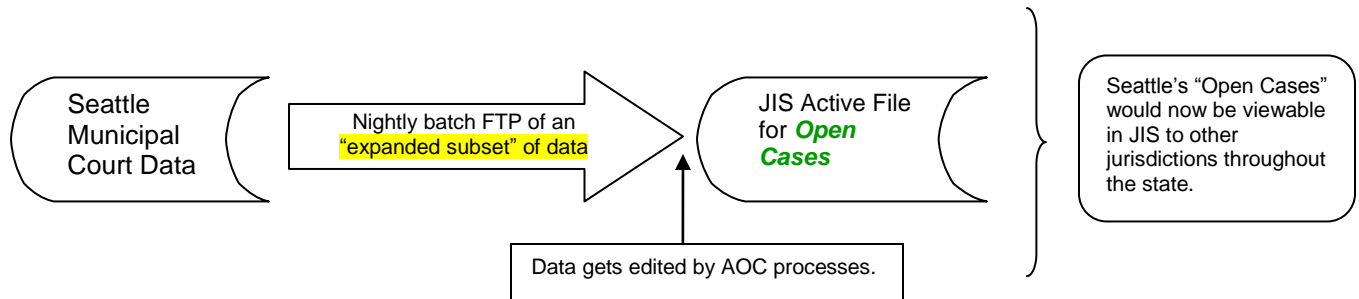
**Current Data Transfer with Seattle Municipal Court**



**Proposed Expanded Data Transfer with Seattle Municipal Court (ITG Request #27)**

The request has two distinct parts:

1. Expanded data transfer
2. Enhanced integration with MCIS and JABS



The intention is for the Spokane Municipal Court to use the same data transfer that gets developed for the Seattle Municipal ITG Request #27. It would become a generic data transfer that any local court could use.

**Current Estimate and Status:**

Hours: 1,400  
Time: 6-12 months  
Cost: \$100,000  
Resources: ISD internal programming staff  
Schedule: TBD. Not yet scheduled due to resource availability conflicts.  
JISC Priority: 5

**Options for Spokane Municipal Court**

**Option 1: Use the Existing Seattle Municipal Court File Transfer Process**

- Proceed with implementing *JustWare*.
- Use the current nightly FTP data transfer (as is) with only a limited subset of data that goes into the Inactive File for closed cases.

Pros	Cons
Spokane County Municipal Court can proceed with implementing their CMS as planned.	Exacerbates a known problem that currently exists and replicates an undesirable practice.
Spokane County Municipal Court would not have to do duplicate data entry to use the existing FTP data transfer.	AOC resources would need to be reprioritized to accommodate this request.
	Would require work for ISD to modify the existing process to accept data from Spokane. This would require special processing and coding to establish a secondary court ID for Spokane in JIS to distinguish between the filings that reside in JIS and those that reside in <i>JustWare</i> .
	ITG Request #27 would have to be deferred as Spokane's request would take priority and requires the same resources.
	Only Spokane's <u>closed/inactive cases</u> would be accessible to other courts throughout the state. This could pose a risk to public safety.
	Real time data would not be available.
	Further restricts the availability of statewide data for research and reporting.

# Spokane Municipal Court

## OPTIONS

June 24, 2011

### Option 2: Enter Data into both JIS and JustWare

- Proceed with implementing *JustWare*.
- Commit to continuing to enter the full set of required data separately into JIS (which may grow and change over time) until the generic expanded data transfer (ITG #27) is available for use.

Pros	Cons
Spokane County Municipal Court can proceed with implementing their CMS as planned.	Requires duplicate data entry for Spokane.
No additional impact or work for AOC staff.	It may be as long as two years before the expanded data transfer (ITG #27) is available for use.
Spokane's open/active cases would still be accessible to other courts throughout the state.	

### Option 3: Defer Implementation of JustWare

- Defer the implementation of *JustWare* until after the completion of ITG Request #27.

Pros	Cons
No additional impact or work for AOC staff.	Requires Spokane to wait until other JISC priorities are completed.
ITG Request #27 can be scheduled and proceed as planned.	It may be as long as two years before the expanded data transfer (ITG #27) is available for use.

### AOC Recommendation:

- Either Options 2 or 3, not Option 1. Choosing Option 1 would delay ITG Request #27 and is a bad practice relative to the reporting of statewide data.



**SPOKANE MUNICIPAL COURT**  
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**TRACY A. STAAB**  
MUNICIPAL COURT JUDGE

March 28, 2011

Judicial Information System Committee  
State Court Administrator  
Washington State Administrative Offices of the Courts  
PO Box 41170  
Olympia, WA 98504-1170

Re: Request for approval of local automated court record system.

Ladies and Gentlemen:

Pursuant to JISCR 13, the Spokane Municipal Court is providing notice that it plans to purchase an automated court records system. The court is seeking review and approval of this system from the Judicial Information System Committee.

Spokane Municipal Court has entered into negotiations with New Dawn Technologies to purchase licenses for the program JustWare. Information about this software can be found at [www.NewDawnTech.com](http://www.NewDawnTech.com) under the "Municipal Court" tab. Our court is particularly interested in this vendor because three other departments within our jurisdiction, probation, prosecution, and the public defenders, are already using this software. If and when the court obtains licenses, the software will provide an all-encompassing and paperless court records system.

Moving to this software and a paperless system will streamline work order, eliminate the need for duplicate data-entry between the various agencies, reduce the error rate, speed up the flow of information, and provide greater access to justice. New Dawn has assured the court that its software will bridge seamlessly with JIS to push and pull information from JIS without the need for additional data-entry. We anticipate that some of the JustWare information will be available on the court's website as well as a public terminal at the clerk's window. Paper forms will be created and provided to defendants and private counsel.

Judicial Information System Committee

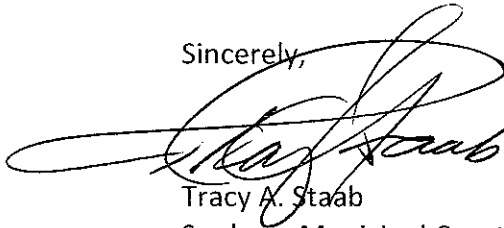
March 28, 2011

Page 2

In addition to the benefits this system will provide to the municipal court and related agencies, our use of JustWare will provide a great opportunity to determine if New Dawn can provide reliable software for a state-wide system. We anticipate purchasing and implementing this system as soon as the JIS Committee provides approval.

I would be happy to meet with the Committee along with representatives of New Dawn, and provide any additional information and/or a demonstration of the proposed court records system. Please advise as to any additional steps the Court should take to assist in the evaluation and approval process.

Sincerely,

A handwritten signature in black ink, appearing to read "Tracy A. Staab". The signature is fluid and cursive, with a large initial "T" and "S".

Tracy A. Staab

Spokane Municipal Court Judge

cc: Presiding Judge Mary C. Logan  
Veronica Diseth, Chief Information Officer  
Cindy Marshall, Spokane Municipal Court Administrator



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## General Questions

### **Q: What is in the Final Feasibility Report?**

**A:** The final feasibility study report delivers a comprehensive, formal written report to determine the feasibility of a project to implement a system or service which provides the managing for calendaring and for case flow management functions, along with participant/party information tracking, case records and relevant disposition services business functions of the Superior Courts. The Feasibility Report will contain required elements as detailed in the Feasibility Study Guidelines for Information Technology Investments ISB Policy No. 202-G1. The Feasibility Report includes:

- Purpose statement and executive summary
- Project background, business case, and objectives
- Organization of the document
- Assessment approach
- Customers, stakeholders and organizational entities impacted by the project
- Best-few product analysis and alternatives considered
- Business and technical requirements documentation
- Gap Analysis
- Migration Strategy
- Integration Evaluation
- Summation of assessment
- Best-few alternatives modules, with pricing, beyond calendaring and for case flow management functions, along with participant/party information tracking, case records and relevant disposition services business functions of the Superior Courts.
- Relationship to the agency's business and IT strategic plans and IT portfolio
- Relationship to and impacts on the agency and state technology infrastructure
- Quality assurance plan
- Estimated timeline and work plan
- Cost/benefit analysis, including any assumptions used in the analysis
- Risk assessment and mitigation strategy
- Summary statement assessing the feasibility of implementing the selected alternative within the business environments of AOC and the Superior Courts.

### **Q: What is the role of independent Quality Assurance (QA)?**

**A:** They identify risks in the project and recommend mitigation strategies for those risks. Having QA doesn't ensure success. But, if they see red flags, they raise the issues to executive and oversight groups to help prevent the project or its participants from going down a path of failure.. QA has a fiduciary responsibility to independently report to the CIO, State Court Administrator, and the JISC on the status of the project. Although we are a separate branch of government and are not required to comply with Executive



Branch rules, IT projects with an ISB Risk/Severity Assessment of Level 3 (the CMS project is a level 3 project), are required to have independent quality assurance monitoring the progress of the project.

**Q: When will we know if a product meets all our needs?**

**A:** In the acquisition phase there is an opportunity to see how vendors perform certain processes so all the stakeholders can have confidence that the product will meet their needs. The project team will setup test cases, using information directly from stakeholders and then make the vendor prove that they can do it.

**Q: Is the 5 year timeframe for implementation begin from today or from the date of completing the RFP process?**

**A:** The timeline begins from the date of completing the RFP process. The 5 year project estimate is the time it would take to complete the statewide rollout of all court implementations through the last court.

**Q: What is the likelihood of getting a system in 5 years?**

**A:** You have 5 major risks that have been identified that need to be solved. If you don't solve them you won't get there in 5 years.

**Q: If the INH isn't done, then we can't meet the 5 years right?**

**A:** There is a failsafe in case the INH isn't done. The vendors have their own architecture to allow for integration. It is not an absolute. But, it could provide the structure needed to share statewide and local data.

**Q: Could you use a new CMS and put it on top of SCOMIS?**

**A:** If CMS provides all the data for SCOMIS, then it is not cost effective to maintain SCOMIS. (Clarification: It is not financially efficient to maintain two different systems performing essentially the same function.)

**Q: Let's say all associations agree that a full featured CMS centrally hosted works best state wide, but we know that Pierce Co. won't go onto it and we do an RFP and vendors come back and they don't meet the needs of the clerks. What then? Do we still move forward and let them stay with SCOMIS?**

**A:** No. If that happens then this was not a successful acquisition and we stop.

**Q. Could you then say, let's keep SCOMIS and buy a new CMS and make it available to those who want to use it and let individual clerks choose to use it?**

**A:** Not really. SCOMIS is our world for clerks and we are back to square one. We would have to re-evaluate the whole thing again if it doesn't meet the needs of all of the stakeholders.

**Q: When you are talking about document management are you talking about images?**



**A:** Yes, images of documents. In terms of the scope of the project, Appendix A, page 1 shows that document management was not included in this project as it is currently scoped.

**Q: At this time, there is nothing specific that would prevent AOC from building the INH?**

**A:** Yes, that is correct. (Clarification; AOC work is dependent on funding levels, JISC Prioritization, etc.)

**Q: On Page 5 of the briefing presentation it says that tasks and task management might change. What does that mean?**

**A:** There are tasks that clerks, judges and/or administrators might do today. But with a new system, they might not do those same tasks in the same manner or it may be delegated in another way based on the new technologies.

**Q: When do we get in line? Will data exchanges for local courts be available for the new CMS system will be in place or is it parallel tracks?**

**A:** It's more parallel. With INH, the services we develop first will support the new CMS project and we will need to decide which priority the services arrive in.

**Q: Would it make sense to mitigate the risks and complete the INH before going forward with an RFP?**

**A:** We can build the RFP while we're mitigating the risks on INH. Waiting would be something similar to what California did and they ended up having to do a lot of re-work. Having a CMS implementation underway to see how it works relative to the data repository provides more certainty because it aides in the designing of the INH.

The INH stands on its own, separate from the CMS project. It's moving forward as a separate AOC initiative as part of the transformation effort. It has its own project manager, own team and we recognize how important it is. We have pieces of the INH already in place with BizTalk and we're building upon it.

**Q: Did you look at the ability of AOC to pull off all these other projects it has underway in addition to building the INH?**

**A:** Yes. We looked at it and it falls back to the risks identified. If you can tackle risk #1 and #2, your costs (could) go down substantially (like 25%). (Clarification: This is a high level order of magnitude estimate and difficult to validate.)

**Q: On slides 16,18,19 of the briefing presentation regarding SCOMIS replacement, it seems like SCOMIS could stay and we could implement a new system and the clerks could stay on SCOMIS. Is this true?**

**A:** Yes. There will be some courts on SCOMIS and some courts on new system as we roll out. JISC will have a decision to make at some point relative to SCOMIS. A local



court will use data exchanges to publish to the INH and that will share data between SCOMIS and the new system.

(Clarification: WITHIN A COURT, AOC believes it would be very difficult to uncouple the COTS CMS from their integrated Recordkeeping and substitute in SCOMIS.

A single court could have either #1) their own system (COTS or something they build) OR #2) the new AOC provided CMS OR #3) stay on SCOMIS (as long as it remains available). Once SCOMIS is retired, a court must choose #1 or #2. It is very difficult to mix and match the above three options within a single court due to the integrated nature of COTS packages.

**Q: If we go down this path and acquire a new central CMS, would SCOMIS be retired and what is the implication to local courts?**

**A:** The feasibility study considers all of the alternatives. But the JISC needs to make an important decision on what and when to retire applications from the portfolio. The implication is that eventually SCOMIS would be retired. But, when that would happen is not known.

**Q: What is the priority of replacing SCOMIS verses giving courts their features they've asked for?**

**A:** That is for the JISC to decide.

**Q: Could Clerks choose one product and the courts choose another product?**

**A:** It's technically possible but definitely not recommended. That would result in not being able to optimize use of the products and wouldn't be a good investment.

(Clarification: Again, it is important to distinguish if this is within a single court, or not. . An "a la carte" selection of COTS functions within the same system and within a court may present overwhelming technical difficulties.)

**Q: Was King County's CMS looked at as an option?**

**A:** No. The project team met with King County and listened to their concerns and needs for a new CMS. It was not offered as a possibility or considered as an alternative to be analyzed in the scope approved by the JISC.

**Q: What if King County goes their own way? Could we still do a centrally hosted system?**

**A:** Yes. If JISC votes to say that they want to implement a central system the courts will still have options to go their own way.

**Q: If everyone is saying that it must meet our needs 100% where is the line drawn on needs and wants and who draws that line?**

**A:** The JISC will need to make that decision.



**Q: Let's say the Information Networking HUB (INH) can't get off the ground. Are we dead in the water?**

**A:** No. There are options through the vendor community that offer facilities for integration. We factored those fees in the cost estimate as a backup or failsafe. There are capabilities to operate courts, interface with document management systems, state patrol etc. The vendors in this space have these interfaces. MTG has a high degree of confidence that this would work out fine if the INH was not in place in time.

**Q: If we decide to move forward, do we expect to see any enhancements for COTS or JIS during the six year rollout or is saying "yes" freezing everything we are doing?**

**A:** That depends upon the willingness to adapt. There will be a user group of stakeholders and as court ideas and concerns come up, courts could see modifications to the new CMS along the way. At some point JISC may want to freeze configurations as we add new courts.

Indiana as an example has opted to take advantage of other modules that they didn't start with. As the JISC looks towards changes in the system, it will find that many can be rolled out with a release plan. If it's something Washington Superior Courts need sooner Washington can pay for it to be developed sooner. Vendors don't like to do "one offs" but they want their customers to be able to use the product. Washington will have negotiating power because it is a large state implementation.

**Q: Would an off the shelf system (COTS) be able to be an integrated justice system like LINX is?**

**A:** Commercial vendors provide interfaces that can publish out events and capture events coming in from an external source. Yes, the vendors in this space speak of never keying in the same data twice so they interact with other systems.

**Q: How did you compare a known product to Washington State (LINX) with an unknown product (COTS)?**

**A:** In the Gap Analysis we looked at capabilities both in the functional and technical areas with both Pierce County and with vendors going through each one. One of the issues with LINX is that it's not documented while the vendors all have a lot of documentation. We sent out a Request for Information (RFI) with the exact same questions to both the LINX team and to the vendors. We gave LINX the benefit of the doubt that they were ready with the "new improved LINX" to compare it to the vendors.

**Q: For alternative 4, it says it would need to be a commercial system, but what about the systems that individual counties have already built? Why weren't those looked at?**

**A:** Because the JISC decided that they only wanted to look at commercial systems and LINX.



**Q: In Alternative 3, does that mean that the technology is hosted centrally and the index is central and documents are local?**

**A:** The index would be central with the INH and document management as proposed would be local. The new CMS doesn't provide in the scope of the project to include Electronic Document Management System (EDMS), although all of the vendors provide this functionality. The **assumption is that the new CMS would interface with existing local EDMS.**

## Costs and Benefits Questions

**Q: What are the costs to local courts?**

**A:** Local court project costs are identified in Appendix E, page E-7, beginning at Line 17 which outlines the stakeholder costs for the commercial CMS alternative. Worksheet E-18 (page E-26) provides detail on what makes up the stakeholder costs and identifies local court community impacts. This was in part derived from the experience of other states and how local courts might be impacted. Worksheet E-18 (page E-26) shows the estimated hour impact. Worksheet E-18 (page E-25) shows costs in dollars.

**Q: Are the annualized tangible benefits you've identified system wide?**

**A:** Yes. All costs include SCOMIS (as it exists today) and staff. No retirement of applications is included in cost baseline. We took a conservative approach and did not take advantage of benefits we could realize if we retired SCOMIS.

**Q: Is the rate of return based on an annual basis or across many years?**

**A:** It considers cash flows across all 10 years.

**Q: How does the projected ongoing annual costs compare to the current costs?**

**A:** We don't have that data. We can't specifically at this point in time identify what each specific application in the portfolio costs.

**Q: How do you identify what ongoing maintenance costs for an application are going to be?**

**A:** We don't currently have those capabilities at AOC to break out individual applications. We are working on it as part of the transformation efforts but it's not mature yet.

**Q: Is there a projected timeline when the costs are going to be available from AOC for each of the applications in the portfolio?**

**A:** We are currently working very hard on the portfolio and are underway with implementing a new tool to manage the portfolio that will allow us to generate reports and costs.



**Q: For the numbers on the benefits where do they come from? Is it happenstance that they are all the same across all the alternatives?**

**A:** They are all the same as they are geared to deliver the same benefits over a period of time. The benefits are assumed to be accrued after a year.

**Q: Under costs on the program costs and project costs is the hardware specific to the project? What kind of hardware are we talking about?**

**A:** Yes, it's specific to the project and its servers either centrally hosted or locally hosted and printing facilities.

**Q: Did you look at just the annual benefits for only courts that don't have CMS systems?**

**A:** The report looks at benefits for all the courts including courts that currently have existing CMS applications. Look at Appendix H to see the calculations for these benefits.

**Q: Is it a policy decision for JISC to determine who would pay the licensing fees – whether it's local or AOC?**

**A:** For centrally hosted COTS or LINX the JISC would pay. But, for locally hosted or local costs the JISC would need to decide.

**Q: Looking at annual costs going forward, after implementation is there a comparison between LINX and the COTS alternatives?**

**A:** Yes, page 5 of Appendix E, F, and G for each alternative in the feasibility study shows this comparison and breakdown.

**Q: Does the cost benefit include costs to the local courts?**

**A:** It does in the implementation efforts and planning for local hosting costs. The Executive Steering Committee struggled with how to characterize local costs. We don't know if some of the costs would be paid out of JISC fees and that is a policy decision for the JISC that would have to be decided upon. We decided to capture the costs in the report and recognize that it is a policy decision.

**Q: If you're a small county and you participate in a consortium (assuming Alternative 4), who pays for the staff and facilities?**

**A:** Those costs are identified in the alternative but the decision of who bears those costs is not identified because that is a policy decision.

**Q: Do we have costs for the gaps and fixes for those gaps between the alternatives?**

**A:** Yes, it's included in Deliverable 5



**Q: The report uses statewide continuances as a basis for ROI. If the CMS is optional, then is there a reduction in benefits if King and Pierce Counties don't participate?**

**A:** If King and Pierce County Superior courts do not participate, it is anticipated that there will be both fewer benefits and fewer costs.

**Q: Is there a comparison between LINX costs and Full Featured CMS?**

**A:** Yes. These costs are included in the Appendices. Appendix E is cost for CMS, Appendix F is cost for LINX.

**Q: Are the costs going to show that LINX is a better option?**

**A:** No. Based on data provided by the Pierce County CIO, the costs for LINX were greater than for a full-featured CMS. These costs are based on the low range cost estimates provided by the Pierce County CIO.

**Q: Getting LINX off the ground, would be more expensive than buying Off the Shelf?**

**A:** Yes. LINX as it is today is not viable as a statewide application serving multiple courts. The LINX alternative does not employ LINX as it exists today. Most people don't understand the technical architecture of LINX as it is today as compared to how it must be redesigned and rebuilt to be a viable option to be implemented outside of Pierce County. The alternative employs a "new" LINX. That involves re-engineering LINX into a new platform, re-engineering rules engines and establishing contracts and agreements to enable multiple courts to use the application, conducting fit assessments, and establishing a governing process. The new re-platformed LINX is what we looked at as an alternative.

While some people tend to think of LINX being "free" because it would be open-source, the LINX alternative really involves a transfer of money to pay for replatforming the application and performing the activities described above. While there is no licensing cost for LINX, there are costs with re-engineering and setting up governance, support, and maintenance.

In addition, the AOC may be drawn into being responsible for some aspects of maintenance. The question becomes, "Is AOC a programming shop or an integration shop?" The JISC directive has been clearly to move AOC away from being a programming shop.

**Q: How do we keep costs low?**

**A:** The better the courts are at managing risks, the lower the costs will be.

**Q: Would licensing costs for exchanging data in local system like Laserfiche be born locally?**





**A:** We will provide the handshake for exchanging data locally. But locally each court will have to do some things are their ends depending upon the systems that they have in place. The local courts may want to adjust and use locally systems that are not centrally provided and those costs may be local costs. The JISC has not discussed or made a decision on this yet.

**Q: Is the cost of replacing SCOMIS in the study?**

**A:** Yes. The vendor applications grew up as record keeping systems and evolved into full featured case management systems. While we included the cost of replacing SCOMIS in the study, we did not include the savings of retiring SCOMIS.

## Implementation and Migration Questions

**Q: Is migrating to the new application required?**

**A: No.** It is optional. However, the recommended alternative assumes that all courts employ SC-CMS. The commercial products that would likely be acquired provide the functions that are performed by SCOMIS. The complete rollout of SC-CMS would very likely lead to the retirement of SCOMIS to support court operations. SCOMIS retirement leads the courts to 1 of 2 options: use the new SC-CMS; or use their own system along with data exchange facilities to reports information to the statewide court data repository and justice partners.

**Q: Looking at the proposed organizational structure and workgroups, where would stand alone deputy clerks who work with juveniles be involved and/or impacted?**

**A:** Depending upon the interest and personnel availability courts could have more or less people involved in the Court User Work Group that is described on page 67.

**Q: How much would we have to redesign local business practices?**

**A:** Most Washington courts are using common applications now (legacy systems). In contrast Indiana courts have not historically used common applications or terminology statewide. They had to make more changes. They had to do things like name docket codes. We have a lot of commonality amongst our courts. There are some things that we will have to change. But, we are miles ahead of where Indiana started their efforts.

However, using Indiana as an example, 85% of the changes to business practices that Indiana made were changes that they decided to do, not because they were required by the system.

Some changes could be as a result of the changing roles for recording information in SC-CMS. With a new system the responsibilities may be shared differently than they



are now - broken up more than it is now, offering more savings or new services to litigants. Pierce County experienced these types of changes with LINX and they included deputizing court personnel to enter data normally entered by clerks.

**Q: What is the time frame for change management and processes at the courts?**

**A:** The planning efforts at the local level can range as much as two years. Counties have budget cycles and many things to consider at the individual county levels.

**Q: It is suggested that we have configurations for 3 courts, is that based on size (small, medium, large)?**

**A:** The suggestion is that we have configurations based on size for implementations. Washington may choose another set of configurations but we budgeted it this way to provide for a starting point. For small courts to help address the support and provide a baseline configuration to start with. It's anticipated that larger courts may have a different configuration due to their complexity and volume.

## Sharing Data and Data Exchange Questions

**Q: Referencing I-14, it says Information Networking Hub (INH) is essential. Where in the timeline must this be put into place?**

**A:** Operationally, the INH capabilities will need to be fully functional by the time the first pilot court is ready to stand up which according to the sample timeline that could be within 24 months.

**Q: A lot of local jurisdictions want to share data across criminal justice partners. How well do these systems talk to each other?**

**A:** The nature of exchanges through applications is by shared data structures. Often these other modules use separate data structures and they are able to interact with each other. An example is between Tyler and New Dawn. They interact between event based user interactions. Any event that occurs can report out using XML. It is easier to do with the major vendors so it depends upon the applications being used.

**Q: Can we continue to use our systems and integrate with SCOMIS until the new system is up?**

**A:** Yes.

**Q: If we liked our own system better than the new CMS, could we stay with our existing system and share data with the new CMS?**

**A:** Technically yes you could. However it would not be advisable because you would lose a lot of efficiencies and opportunities for optimization.



**Q: Will we be able to do data exchanges between all of the systems; SCOMIS, DISCIS, JIS etc. and be able to push data into the state system and be able to pull data out?**

**A:** That is the long-term strategic vision of our data exchange strategy. That data exchanges will be enabled across all of our courts and applications as needed. The current immediate focus is on docketing services, but it is anticipated that the additional services are needed.

**Q: Who makes the decision as to whether we can use our own systems and integrate with the new CMS to share data?**

**A:** It will be up to the individual courts to make that decision and we will have data exchanges setup (like for Pierce Co.) to do that. Whether it's for large chunks of data or for small bits, we will have data exchanges setup with the INH and it's up to courts to chose and they should also anticipate that there might be specific individual needs of local courts that are out of scope of the large project.

**Q: At what point do we look at local jurisdiction integration, like imaging applications?**

**A:** The Integration Evaluation covers this and other aspects of local jurisdiction integration.

**Q: Will the new CMS share document images across counties?**

**A:** That is a separate request moving through the IT Governance process (request #003) and is outside the scope of the CMS project.

**Q: Looking at Alternatives 3 or 4, if we have a document management system all ready in place, can we keep that existing document management system and use data exchange?**

**A:** Yes, we anticipate providing open API's and integration opportunities where we specifically factored in document managing systems to that.

**Q: Is the required Data Exchange separate from what we are working on now with the Superior Court Data Exchange?**

**A: Yes, it is separate, but related.** The current Superior Court Data Exchange (SCDX) project is the stepping stone for the Information Networking Hub (INH). The INH is part of the Enterprise Architecture strategy at AOC and AOC is building INH regardless of the CMS project. The two efforts (SCDX and INH) are related. CMS will take advantage of the work that is currently being done by the Superior Court Data Exchange project. They are however, two separate projects.

What is ultimately needed for the CMS project may prove to be around 100 services, depending on design decisions made in the configuration phase. The Superior Court Data Exchange project is chartered to provide 58 services.



**Q: Some of the larger counties may not choose to use the new application, but we need their data. How will this be accommodated?**

**A:** In the Integration Evaluation deliverable document, these scenarios are contemplated. It discusses data structures and exchanges that will be required. The data structures underneath SCOMIS would continue to survive for historical information. The counties that don't use the new CMS would have to deliver their data to AOC.

**Q: Are the costs included for creating the Information Networking Hub (INH) and if not, where is the money coming from?**

**A:** No, they are not included in the SC-CMS project cost estimate. AOC is already working on developing the INH as part of the Transformation & Modernization efforts and it has its own separate funding.

**Q: If the CMS will require more data exchange services than we currently have planned for with the Superior Court Data Exchange project, where are the costs accounted for to develop these additional services for CMS?**

**A:** Costs for the current Superior Court Data Exchange project are high because they have to connect to SCOMIS and that's very costly because of the older technology. We anticipate, all future services for the CMS will cost less and have been accounted for in the INH budget as part of the Transformation & Modernization efforts.

## Risk and Mitigation Questions

**Q: Is there a section in the report that addresses the risks?**

**A:** Yes. Section XII identifies the major risks of this alternative. These risks and their mitigation strategies for these risks are discussed in more detail in the Migration Strategy report.

**Q: When you looked at risk and time frames did you take into consideration any other states and what they had to consider with their architecture and data exchanges?**

**A:** Maryland and Oklahoma had similar architectures and we banked on longer timeframes to be conservative. We based on performance we could see from vendors around the country and that was factored into the estimates.

**Q: Regarding risks and shared visions. Is this something that should be at the front-end of the project or we should develop as we go along?**

**A:** You should have a shared vision, agreement, and commitment between the county clerks, judges and administrators at the start of this project. Otherwise, you increase the risk of failure.



**Q: How can we do a better job at mitigating the risks this time around?**

**A:** At this point, one of the most significant risks for this project is due to the lack of a commonly held vision of what should be done. You need to get an agreement on the vision for SC-CMS moving forward. When people ask (as was recently the case). What happens if the clerks say “Stop, don’t go forward”? This is a red flag showing that you don’t have agreement of vision. MTG’s job in creating the feasibility report is to put data and information about the viable alternatives on the table. It is not MTG’s job to convince everyone to adopt SC-CMS. It’s up to the county clerks, judges, administrators and other staff to decide to use the information in the feasibility study and to come to an agreement on vision of how to move forward.

This will be difficult. This is due in part to the fact that this project will change processes, roles, responsibilities, work load, and allocation of benefits. Local communities will look at this project and see a great deal of uncertainty and unpleasant change. The experience of other states suggests that it is important to be frank about the disagreements, the shortfalls, and the strengths of this project. Each court should come to an agreement amongst the diverse members of its community.

It is important to understand that Indiana has a similar structure to Washington State and they are successfully deploying a commercially provided CMS application. For Indiana, it didn’t happen overnight. It took blood, sweat and tears. Most of all it took strong leadership and unity at their AOC and in their courts and they had to come together with champions who were willing to make changes and make it work. It’s encouraging that Indiana was able to overcome risks similar to those that Washington has.

Under the Legislative Budget Proviso, we need to assure the legislature that all the courts are on board. We have to address the significant concerns of the County Clerks. They have one vote on JISC. What if everyone else agrees and they don’t? We need to address this as part of the process and plan for it. AOC wants to be the preferred technology provider and does not want to force courts into a system they do not want.

**Q: In Appendix I – it states that substantial customization of configurations is high risk. Is this built-in configuration or after it’s installed configuring?**

**A:** MTG recommends against substantial customization of the application. Configure, don’t customize. The risk referred to in Appendix I is that the courts will want to customize the product as has been done on other development projects. This substantially increases the risk. JISC is seeking to employ an off-the-shelf product. If the core product is customized, then it is no longer an off-the-shelf product. As a result, the superior courts would not be able to easily install free upgrades to the application.

Modern applications enable clients to avoid customization, providing more facilities for configuration. If the client is disciplined, they should not have to customize the application.



**Q: There are great benefits to information sharing for public safety like protection orders. Is it technically possible to get all the information we need through data sharing in this new CMS?**

**A:** It can be done. However, it depends upon the capabilities of the Information Networking Hub (INH) and manner in which the application is configured.

**Q: In reference to the risk identified of developing the Information Networking Hub (INH), how do we minimize risk on this and the data exchanges and how do these come together on the schedule?**

**A:** The project manager is in the planning stages and working on a pilot for the next 3 months to validate the technologies and strategies to make sure it's going to work. We have weekly updates on issues and schedules internally. The Superior Court Data Exchange project work is integral and foundational for INH. We will use that infrastructure as a basis for the INH piece. Right now for the INH piece, there is estimated to be approximately 100 services that will be needed. The Superior Court Data Exchange project working with Pierce County will deliver 58 of those services.

## County Specific Questions

**Q: When will you know that the vendors can meet 100% of King Counties needs?**

**A:** We just received the first set of requirements from King County and all of King Counties requirements have not been received so we cannot say with 100% certainty until we receive and review all of King Counties requirements. However, MTG has a high degree of confidence that the vendors can meet these needs.

**Q: King County doesn't have the money to pursue local options. If there is a decision to move forward with a new CMS system and King County's expectation is that the new system will meet 100% of our needs which includes integration as we have it setup. On slide 19 of the briefing presentation it says that in the future we couldn't integrate, is that true?**

**A:** JISC will provide the INH but it's up to the local courts to determine what they need to do for integration. If your needs are to reproduce exactly your application step for step, the new CMS won't do it. It will meet your needs, but the steps may be different. We're still in the process of setting up the RFP process, selection teams and who will be making decisions on how it will meet everyone's needs.

